

# FY 2021 Indian Community Development Block Grant (ICDBG) NOFO Training

FR-6500-N-23

Applications Due October 25, 2021





**Funding Opportunity Description**



**Award Information**



**Eligibility Information**



**Application and Submission Information**



**Application Review Information**

**Agenda**

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Award Administration Information



Agency Contacts



Other Information



Appendix

Agenda (Continued)

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# FY 2021 ICDBG - NOFO Overview

## Key Dates and Figures:

- **Funding Available: \$76,555,025**
- **Application Due Date: October 25, 2021**
- **Budget Period and Period of Performance: Max of 5 years**
- **Estimated Program Start Date: 1/19/2022**
- **Estimated Project End Date: 1/19/2027**
- **Expected Number of Awards: 80**
- **Minimum Award Amount: \$500,000 (for all)**
- **Maximum Award Amount: \$4,000,000 (grant ceilings vary by Area ONAP)**
- **Cost Sharing, Matching, or Leverage: Not Required**
- **Funding Opportunity Number: FR-6500-N-23**
- **CFDA or Assistance Listing: 14.862**



# I. Funding Opportunity Description

## ICDBG Program Purpose

The purpose of the Indian Community Development Block Grant (ICDBG) program is the development of viable Indian and Alaska Native communities, including the creation of decent housing, suitable living environments, and economic opportunities primarily for persons with low- and moderate- incomes.



# FY 2021 ICDBG – GRANT TYPES

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**Single Purpose Grants-** Projects funded by the ICDBG program must principally benefit low- and moderate-income persons (24 CFR §1003.208). These are competitive grants and are the subject of this NOFO.

**Imminent Threat Grants-** Projects funded with Imminent Threat grant funds are to address issues that have an immediate negative impact on public health or safety of tribal residents. These are first-come, first-serve and awarded until the set aside amount is expended.

# I. Funding Opportunity Description

## Imminent Threat Grants

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Apply directly to your Area ONAP office in accordance with ONAP Program Guidance 2018-04 - Imminent Threat Grants, and the requirements in 24 CFR part 1003 Subpart E.

See the full ICDBG regulation at 24 CFR part 1003.



# Changes From Previous ICDBG NOFO

Fiscal Year 2021



## Changes From Previous NOFO

### Section I.A. Purpose



- Added a hyperlink to take you directly to the Imminent Threat Guidance
  - [ONAP Program Guidance 2018-04, “Imminent Threat Grants](#)
  - [24 CFR Part 1003 Subpart E](#)

## Changes From Previous NOFO

### Section II.A. Available Funds



The available funds for the FY21 NOFO was updated to \$76,555,025.



This NOFO covers one fiscal year, whereas the previous NOFO covered two fiscal years. An explanation was included of how the amount was calculated.



Announced the availability of up to \$4,000,000 in noncompetitive funding for ICDBG Imminent Threat grants.



The Area ONAP allocations and grant ceilings have been updated.

## Changes From Previous NOFO

**Section II.B.-Number of Awards** - Updated the number of expected awards to 80.

**Section II.C.- Minimum/Maximum Award Information-** Some area ONAP ceilings were adjusted to reflect regional conditions.



# Changes From Previous NOFO

- **Section II.D.-Period of Performance**

The period of performance and budget period is 5 years. Applicants may request a shorter period of performance based on the project(s) proposed for ICDBG funding.

- **Section III.C.-Cost Sharing or Matching**

Added the following language to Rating Factor 4 regarding leveraging:

“HUD will award maximum points for applications that propose a certain percentage of leverage and provide the required firm commitments and/or supporting documentation to support each source of leverage. All leveraging must be secured and used by the end of the grant term. Other Federal sources are only allowed to be used as leveraging if permitted by the statutory authorities governing the other Federal source. Grantees will be required to show evidence that leveraging resources were actually received and used for their intended purposes through quarterly Federal Financial Reports (SF-425) as the project proceeds.”



# I. Funding Opportunity Description

## Changes From Previous NOFO

### Section III.D.- Threshold Eligibility Requirements

**Threshold #3-Grant Ceiling:** Clarifies that if an applicant requests more than the maximum Area ONAP grant ceiling amount applicable under this NOFO, then the application will not be reviewed.

**Threshold #4-Rating Factor Thresholds:** Added language that applicants must receive a minimum score of 17 points for Rating Factor 1 and an overall score of 70 points (without the addition of Preference Points) to be eligible for an award under this competition.

### Section IV.A.- Obtaining an Application Package- Instructions for Applicants

Updated Area Office contact information chart

## Changes from Previous NOFO

### Section IV.B.-Content and Form of Application Submission

- **Submissions for All Projects Instructions:** Added examples of what ONAP will consider as “submitted incorrectly” under this NOFO.
- **Narrative addressing the five rating factors in Section V.A. language was divided into the following submission requirements:**
  - e) One-Page Proposal Summary (Curable deficiency) and
  - f) Workplan Narrative.
- **Added instructions on how to complete the following submission items.** HUD also may require successful applicants to update errors on these forms based on the pre-award requirement process outlined in this NOFO:
  - a) Application for Federal Assistance (SF-424)
  - b) Implementation Schedule (HUD-4125)
  - c) Cost Summary (HUD-4123)



# Changes from Previous NOFO

### Section IV.B.-Content and Form of Application Submission, continued.

- **Budget Narrative:** This is a new submission item. Applicants must include a Budget Narrative separate from the Workplan Narrative that shows a breakdown for each budget line, including all sources and uses of funding for the proposed project(s).
- **Acknowledgement of Application Receipt (HUD-2993):** This is now a curable deficiency.
- **Firm Commitment Documentation:** This submission item replaces “Resolution on Tribal Funds Committed.” Applicants proposing leveraging must submit the appropriate firm commitment documentation as explained in Rating Factor 4 of this NOFO

# Changes from Previous NOFO

## Section IV.B.- Content and Form of Application Submission, continued.

- “Public Services” submission requirement from the FY19/20 competition was moved to Section IV.F.-Funding Restrictions.
- Indirect Cost Rate Agreement: Added instructions on what to submit if requesting indirect costs.



## FY 2021 ICDBG - NOFO Changes

- **Section IV.B.-Content and Form of Application Submission**, continued.
  - Submission Requirements for Preference Points: Added Preference Point forms to the list of application materials. Applicants may qualify for either Opportunity Zone Preference Points or Promise Zones Preference Points, not both.
  - Certification for Opportunity Zone Preference Points (HUD-2996): This is a new submission item. Applicants will be required to complete and submit this form along with the SF-424 in order to be eligible for Opportunity Zone preference points.
  - Certification of Consistency with Promise Zone Goals and Implementation (HUD- 50153): Added to the list of submission items. To receive Promise Zones Preference Points, applicants must submit form HUD-50153, "Certification of Consistency with Promise Zone Goals and Implementation," signed by the Promise Zone Official authorized to certify that the project meets the criteria to receive preference points.

## Changes from Previous NOFO

**Section IV.F.-Funding Restrictions-** Added the following content to this section:

- **Eligible activities:** Projects funded under this NOFO are limited to eligible activities consistent with 24 CFR part 1003 subpart C.
- **Program administration costs:** No more than 20 percent of the sum of any grant plus program income received shall be expended for activities described in 24 CFR 1003.206 and in 24 CFR 1003.205.
- **Pre-award costs:** With the exception of proposal costs incurred to prepare an application for submission under this NOFO and the value of land acquisition used towards an applicant's leveraging contribution as discussed in Rating Factor 4, all costs, including leveraging resources, must be incurred within the period of performance dates established in the ICDBG grant agreement.





## FY 2021 ICDBG - NOFO Changes

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### Section IV.F.-Funding Restrictions, continued- Added the following:

- Consultant Cap: In accordance with 24 CFR 1003.501, ICDBG funds may not be used, directly or indirectly, to pay or provide reimbursement for payment of compensation to a consultant in an employer-employee type of relationship at more than the daily equivalent of the rate paid for the Level IV of the Executive Schedule (2021 rate: \$82.65/hr., \$661.24/day).
- Public Services: An applicant may not receive a Single Purpose grant solely to fund public service activities. However, an application may contain a public service component for up to 15 percent of the total grant. In addition, the public service(s) may be unrelated to the other project(s) in the application. If an application does not receive full funding, HUD will reduce the public service allocation so that it comprises no more than 15 percent of the total grant award. A complete description of public service projects can be found at 24 CFR 1003.201(e).

## FY 2021 ICDBG - NOFO Changes

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- **Section V.A.-Review Criteria- Rating Factor Changes:**
  - Minimum total points decreased to 70 without the addition of Preference Points.
  - The language for new and current was removed such that all subfactors apply to all applicants.
- Rating Factor 1 -
  - Subfactors 1.3, 1.7, and 1.9 were we changed to include all ONAP programs
  - Added language to the Rating Factor chart specifying that applicants must receive a minimum score of 17 points for Rating Factor 1-Capacity of the Applicant.
  - Subfactor 1.1. Managerial and Technical Staff was changed from Subfactor 1.1.a for clarity. The 8-point requirement to describe the roles/responsibilities and knowledge/experience of key staff was changed from "most" to "each".



# FY 2021 ICDBG - NOFO Changes

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- **Section V.A.-Review Criteria- Rating Factor Changes:**
  - Rating Factor 1, continued -
    - Subfactor 1.2. Audit Submission was changed from Subfactor 1.1.b for clarity. The maximum points allowed was decreased to 4. Language was added to address submission delays caused by COVID-19.
    - Subfactor 1.3. The word Findings was added to the subfactor title and was changed from Subfactor 1.1.c for clarity.
    - Subfactor 1.4. Procurement and Contract Management was changed from Subfactor 1.1.d for clarity. The maximum points allowed was decreased to 4.
    - Subfactor 1.5. Program Performance Going Forward was added to Rating Factor 1 that requires a detailed explanation of applicants are affected by COVID-19.
    - Subfactor 1.6. Disbursements subfactor has higher percentages than last year.

## FY 2021 ICDBG - NOFO Changes

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### Section V.A.-Review Criteria- Rating Factor Changes, continued:

- Rating Factor 2-
  - Subfactor 2.3. Connection to Tribal Youth. Added a second option to earn points by addressing pandemic-related issues of social isolation and hunger among youth as a public service activity.
  - Subfactor 2.4. New/Unfunded Applicants (New Applicants Only). Decreased the maximum points allowed to 5.
- Rating Factor 3 –
  - Subfactor 3.1. Description of and Rationale for Proposed Project section. The 10-point requirement to “Describe how you will train and/or employ Section 3 residents or contract with Section 3 businesses to provide other economic opportunities in accordance with Section VI.B.1. of this NOFO” was removed.
  - Subfactor 3.4. Commitment to Sustain Activities. Decreased the maximum points allowed for Rating Factor 3 to 5.



## FY 2021 ICDBG - NOFO Changes

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### Section V.A.-Review Criteria- Rating Factor Changes, continued:

- Rating Factor 3 –
  - Subfactor 3.2. Budget: Added language specifying that HUD will evaluate whether the budget is thoroughly prepared, mathematically correct, and that all costs including leveraging are eligible under ICDBG, allowable, allocable, reasonable, and necessary for implementing the proposed project and activities. Additionally, the budget on the SF-424, Cost Summary, Budget Narrative, and supporting documentation must be consistent.
- Rating Factor 4 -
  - Updated language to address acceptable pre-award leveraging resources (value of land acquisition and proposal costs). Otherwise, all other leveraged resources must be incurred within the Period of Performance of the award.
  - Added “Federal Resources” and “Loans” categories to the firm commitment chart.

## FY 2021 ICDBG - NOFO Changes

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### Section V.A.-Review Criteria- Rating Factor Changes:

- Rating Factor 4 - continued:
  - Specified that land that has previously been used as leverage towards other ONAP competitions may not be proposed as leveraging for this NOFO.
  - Added that if the applicant does not provide HUD with evidence of the firm commitment from the original leverage source or an alternative source within six months of the date of grant approval, or if anticipated leverage is not provided, HUD will re-rate and re-rank the application with the updated leverage information. If the application no longer meets the threshold point requirements after re-rating and re-ranking the application, HUD will rescind the grant and recapture grant funds.
  - Provided a more detailed example of how HUD will calculate the percentage of leveraged resources for this Rating Factor.



# FY 2021 ICDBG - NOFO Overview

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### A. Available Funds:

Funding of approximately **\$ 76,555,025** is available through this NOFO.

- \$ 70,000,000 2021 Appropriations for ICDBG Single Purpose and Imminent Threat
  - \$ 4,000,000 set aside for Imminent Threat grants.
  - \$ 66,000,000 available for Single Purpose grants.
- \$10,555,025 carryover from the FY19/20 competition.
- Applications that pass the initial application screening and threshold requirements will be rated and ranked. Funds will be awarded in descending rank order based on the score received on the application submitted under this NOFO.
- HUD reserves the right to issue a supplemental or independent NOFO if necessary (e.g., to ensure that all appropriated funds are awarded or if additional requirements apply to future funds).

## II. Award Information

# FY 2021 ICDBG - NOFO Overview

### A. Available Funds:

### Allocations to Area ONAPs.

The ICDBG regulations specify how the funds for the Single Purpose ICDBGs will be allocated among the six Area ONAPs. See 24 CFR 1003.101.

<b>Area ONAP Office</b>	<b>Total Area ONAP Allocations</b>
<b>Alaska</b>	<b>\$9,458,215</b>
<b>Eastern Woodlands</b>	<b>\$6,030,948</b>
<b>Northern Plains</b>	<b>\$11,429,259</b>
<b>Northwest</b>	<b>\$3,834,751</b>
<b>Southern Plains</b>	<b>\$21,493,549</b>
<b>Southwest</b>	<b>\$24,308,303</b>

## II. Award Information

### FY 2021 ICDBG - NOFO Overview

#### A. Available Funds:

#### Grant Ceilings.

- Applications may include more than one project but the entire grant may not exceed the limits listed below for your region.
- Applicants submitting above the ceilings will have their applications removed from the competition

Area ONAP	Population	Ceiling
Alaska	ALL	\$800,000
Eastern Woodlands	ALL	\$700,000
Northern Plains	ALL	\$1,200,000
Northwest	ALL	\$750,000
Southern Plains	ALL	\$1,000,000
Southwest		
	50,001+	\$4,000,000
	10,501- 50,000	\$2,000,000
	7,501-10,500	\$1,600,000
	7,500 and below	\$800,000

In the Southwest ONAP (SWONAP) region, the ceilings are based on the population that resides on a reservation or Rancheria. Contact SWONAP prior to applying to confirm the population of record and applicable grant ceiling.

❖ NOTE: There are changes from the previous NOFO.



## II. Award Information

### FY 2021 ICDBG - NOFO Overview

#### A. Available Funds:

#### Housing Rehabilitation Cost Limits.

- HUD will not provide more than the following amounts for each housing unit rehabilitated with ICDBG funds.
- Rehabilitation costs may exceed these limits, but your budget must show that you will not spend more than these amounts of ICDBG funds on each unit.

Area ONAP	NOFO Page Housing Rehab Cost Limit
Alaska	\$120,100
Eastern Woodlands	up to \$78,650
Northern Plains	up to \$78,650
Northwest	up to \$78,650
Southern Plains	up to \$78,650
Southwest	up to \$78,650

HUD expects to make 80 awards under this NOFO.

# FY 2021 ICDBG - NOFO Overview

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### **C. Minimum/Maximum Award Information: (Refer to the grant ceilings)**

- Minimum Award Amount: \$500,000 per project period
- Maximum Award Amount: \$4,000,000 per project period

### **D. Period of Performance (POP):**

- The POP and planned drawdowns must be identified in the Implementation Schedules and approved by HUD.
- Costs must be incurred during the POP.
- HUD can require you to spend funds in accordance with the Implementation Schedule
- HUD reserves the right to recapture awarded funds if you do not make progress toward meeting your Implementation Schedule.



# FY 2021 ICDBG - NOFO Overview

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### D. Period of Performance, cont.

- POP for projects cannot exceed 5 years.
- Applicants may request a shorter POP based on the project(s) that is being proposed.
  - **Estimated Project Start Date: 1/19/2022**
  - **Estimated Project End Date: 1/19/2027**
  - **Length of Project Periods: 5 years**

NOTE: Changes from the previous NOFO.



# FY 2021 ICDBG - NOFO Overview

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### A. Eligible Applicants:

- ❖ **Native American Tribal Governments** (Federally Recognized)
- ❖ **Native American Tribal Organizations** (Other than Federally Recognized Tribal Governments)
  - *Any Indian tribe, band, group, or nation, including Alaska Indians, Aleuts, and Eskimos, and any Alaska Native village of the United States which is considered an eligible recipient under Title I of the Indian Self-Determination and Education Assistance Act (25 U.S.C. 450) or which had been an eligible recipient under the State and Local Fiscal Assistance Act of 1972 (31 U.S.C. 1221).*
  - *Eligible Tribal organizations (under Title I of the Indian Self- Determination and Education Assistance Act) may apply under this NOFO on behalf of any likewise eligible Indian tribe, band, group, nation, or Alaska Native village.*

**See “Indian Entities Recognized by and Eligible to Receive Services From the US BIA” for more info.**

# FY 2021 ICDBG - NOFO Overview

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### A. Eligible Applicants, cont.

- The applicant must submit concurring resolutions from the entities authorizing the Tribal Organization to apply on its behalf.
- The applicant must also provide letter from the BIA or IHS stating the Tribal organization is eligible under Title I of the Indian Self Determination and Education Assistance Act.
- A copy of this letter must be included in your application submission, unless your organization has already provided such a letter in previous years approved by HUD and the status of your tribal organization has not changed.
- HUD will not review an application submitted by a tribal organization on behalf of a specific tribe if the tribe itself submits an application for the same funding round.



# FY 2021 ICDBG - NOFO Overview

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### A. Eligible Applicants, cont.

#### For Alaska applicants:

- Only one ICDBG application may be submitted for each area within the jurisdiction of an eligible entity.
- A tribal organization applying for funding to conduct activities in the jurisdiction of one or more eligible tribes or villages must include a concurring resolution from each tribe or village authorizing the submission of the application.
- Hierarchy for funding priority: The IRA Council, Traditional Village Council, Alaska Native Claims Settlement Act (ANCSA) Village Corporation, and the ANCSA Regional Corporation.
- Questions regarding eligibility and documentation requirements should be referred to the Alaska Area ONAP prior to the application deadline.



# FY 2021 ICDBG - NOFO Overview

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### B. Ineligible Applicants:

- HUD does not award grants to individuals and will not review applications from ineligible applicants.

C. Cost Sharing or Matching: No Cost Sharing, Cost Matching, or Leveraging is not required for this program.

- While not required, applicants are encouraged to leverage other Federal and non-Federal sources, including IHBG formula funds.
- HUD will award maximum points under Rating Factor 4 for applications that propose a certain percentage of leverage and provide the required firm commitments and/or supporting documentation to support each source of leverage.
- All leveraging must be secured and used by the end of the period of performance.
- Other Federal sources are only allowed to be used as leveraging if permitted by a program's authorizing statute. Grantees will be required to show evidence that leveraging resources were actually received and used for their intended purposes through quarterly Federal Financial Reports (SF-425) as the project proceeds.

NOTE: There are changes from the previous NOFO.

# FY 2021 ICDBG - NOFO Overview

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### Eligibility Information, cont.

#### **D. Threshold Eligibility Requirements.**

**1. Resolution of Civil Rights Matters.** Outstanding charges of civil rights matters must be resolved before the application deadline.

a. Ineligible Applications: Applications from applications with unresolved civil rights matters will be deemed ineligible and will not be reviewed. See the NOFO, page 18 for the types of charges, cause determination, lawsuits, or letters of finding that apply.

b. HUD Determinations: HUD will determine if actions taken to resolve the charge, cause determination, lawsuits, or letters of finding before the application deadline will resolve the matter. See the NOFO, pages 18 and 19, for examples of sufficient actions to resolve matters.

**2. Timely Submission of Applications.** Late applications are ineligible and will not be considered for funding. Applications submitted after the deadline stated within this NOFO that do not meet the requirements of the grace period policy will be marked late. See Section IV. D. Application Submission Dates and Times.



## III. Eligibility Information:

### **D. Threshold Eligibility Requirements, continued.**

**3. Grant Ceiling:** If an applicant requests more than the maximum Area ONAP grant ceiling amount applicable under this NOFO , then the application will not be reviewed. Applicants must clearly document the amount requested under this NOFO on line 18a of the Application for Federal Assistance (SF-424). See Section IV.B.2.a.for guidance.

**4. Rating Factor Thresholds.** Applicants must receive a minimum score of 17 points for Rating Factor 1-Capacity of the Applicant and an overall score of 70 points (without the addition of Preference Points) to be eligible to receive a grant under this competition.

NOTE: There are changes from the previous NOFO.



## III. Eligibility Information, continued, D. Threshold Eligibility Requirements.

**5. ICDBG Program and Project Specific Thresholds.** The following are threshold requirements and will not be considered curable deficiencies if not submitted or submitted incorrectly. If the thresholds are not met, the application will be deemed ineligible.

- a. **Outstanding ICDBG Obligation:** Pursuant to 24 CFR part 1003.301(a), if you have an outstanding ICDBG obligation to HUD that is in arrears or not addressed with a repayment schedule, the application will be disqualified from the competition and not evaluated.
- b. **Untimely ICDBG Closeouts:** If you have an ICDBG grant open two or more years after its due date for close out, per the last approved implementation schedule, HUD will not review your application.

c.

# FY 2021 ICDBG - NOFO Overview

## III. Eligibility Information, continued:

### **D. Threshold Eligibility Requirements, 5. ICDBG Program and Project Specific Thresholds (continued)**

**c. Housing Rehabilitation projects:** The requirements for this threshold are in Section IV of the NOFO (slide 52)

**d. New Housing Construction projects:** The requirements for this threshold are in Section IV of the NOFO (slide 53).

**e. Economic Development projects:** The requirements for this threshold are in Section IV of the NOFO (slide 55).



## III. Eligibility Information, continued:

### **E. Statutory and Regulatory Requirements Affecting Eligibility.**

**Eligibility Requirements for Applicants of HUD's Grants Programs** The following requirements affect applicant eligibility. Detailed information on each requirement is posted on [HUD's Funding Opportunities Page](#).

- Active Prime and Sub Recipient registration with SAM.gov
- Outstanding Delinquent Federal Debts
- Debarments and/or Suspensions
- Pre-selection Review of Performance
- Sufficiency of Financial Management System
- False Statements
- Mandatory Disclosure Requirement
- Prohibition Against Lobbying Activities
- Equal Participation of Faith-Based Organizations in HUD Programs and Activities



# FY 2021 ICDBG - NOFO Overview

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## III. Eligibility Information, continued:

### **F. Program-Specific Requirements.**

If you are awarded a grant under this NOFO you will have to comply with all laws, regulations, and other requirements relating to federal funds, as well as the specific ICDBG requirements found at 24 CFR part 1003.

Other statutory or regulatory requirements specific to the ICDBG program are:

**Indian Preference** - HUD has determined that the ICDBG program is subject to Section 7(b) of the Indian Self-Determination and Education Assistance Act (25 U.S.C.450e(b)). The provisions and requirements for this section are found at 24 CFR 1003.510.

**Eligible Activities**- A complete list and description of eligible activities can be found at 24 CFR part 1003, subpart C.

### **G. Criteria for Beneficiaries.**

The ICDBG program must primarily benefit persons with low- and moderate income as defined in 24 CFR 1003.4.

# FY 2021 ICDBG - NOFO Overview

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## IV. Application and Submission Information.

### **A. Obtaining an Application Package. Instructions for Applicants.**

- You must download both the Application Instructions and the Application Package from Grants.gov.
- You must verify that the following match this NOFO:
  - Assistance Listing Number (CFDA): 14.862
  - Assistance Listing Description: The purpose of the ICDBG program is the development of viable Indian and Alaska Native communities, including the creation of decent housing, suitable living environments, and economic opportunities primarily for persons with low and moderate incomes.
  - Funding Opportunity Title: Community Development Block Grant Program for Indian Tribes and Alaska Native Villages
  - Funding Opportunity Number: FR-6500-N-23
- The Application Package contains the portable document forms (PDFs) available on Grants.gov, such as the SF-424 Family.
- The Instruction Download contains official copies of the NOFO and forms necessary for a complete application. These may be in Microsoft Word, Microsoft Excel, etc.



# FY 2021 ICDBG - NOFO Overview

## IV. Application and Submission Information.

### A. Obtaining an Application Package. Instructions for Applicants, continued.

- Waivers for electronic submittal may be requested, in writing, with good cause.
- HUD must receive the request at least 7 business days before the application deadline.
- Applicants granted waivers of electronic submittal must meet the application deadline.
- To request a waiver, you must contact your area office:

Area ONAP	Contact Info and Addresses	
Alaska	(907) 677-9860	3000 C Street, Suite 401
	<a href="mailto:Greg.M.Stuckey@hud.gov">Greg.M.Stuckey@hud.gov</a>	Anchorage, AK 99503
	(800) 735-3239	Metcalfe Federal Building
Eastern Woodlands	<a href="mailto:Elton.Jones@hud.gov">Elton.Jones@hud.gov</a>	77 West Jackson Boulevard, Rm. 2404
	<a href="mailto:Mary.White@hud.gov">Mary.White@hud.gov</a>	Chicago, Illinois 60604-3507
Northern Plains	(303) 672-5465	1670 Broadway, 24th Floor
	<a href="mailto:CustomerService@hud.gov">CustomerService@hud.gov</a>	Denver, CO 80202-4801
Northwest	(206) 220-5270	909 1st Avenue, Suite 300
	<a href="mailto:David.P.Boyd@hud.gov">David.P.Boyd@hud.gov</a>	Seattle, WA 98104-1000
Southern Plains	(405) 609-8520	301 N.W. 6th Street Suite 200
	<a href="mailto:David.W.Southerland@hud.gov">David.W.Southerland@hud.gov</a>	Oklahoma City, OK 73102
	<b>Phoenix Office</b>	<b>ABQ Office</b>
Southwest	One North Central Ave., Ste. 600	500 Gold Avenue SW, Suite 7301
	Phoenix, AZ, 85004-2361	PO Box 906
	(602) 379-7213	Albuquerque, NM 87103-0906
	<a href="mailto:Robert.J.Holden@hud.gov">Robert.J.Holden@hud.gov</a>	(505) 346-6923
		<a href="mailto:Cheryl.Dixon.Zuni@hud.gov">Cheryl.Dixon.Zuni@hud.gov</a>



## IV. Application and Submission Information.

### B. Content and Form Application Submission.

#### 1. Content.

- SF-424, Application for Federal Assistance-
  - Required for all applications, by due date.
  - Verify boxes 11, 12, and 13 on the SF-424 match the NOFO. If they do not match, you've downloaded the wrong application package.
- HUD-2880, Applicant/Recipient/Disclosure/Update Report

## IV. Application and Submission Information.

### B. Content and Form Application Submission.

#### 1. Content, continued.

- HUD-4125, Implementation Schedule
  - Dates listed on the Implementation Schedule must match the dates on the SF-424 blocks 17a-b.
  - For applications with multiple projects, submit a separate Implementation Schedule for each project.
- HUD-4123, Cost Summary: Provide cost information for:
  - Specific Activities
  - Planning and Administration,
  - Total project resources (federal and non-federal)
  - For applications with multiple projects, submit a separate Implementation Schedule for each project.



## IV. Application and Submission Information.

### B. Content and Form Application Submission.

#### 1. Content. HUD-4123, Cost Summary, continued:

The Cost Summary totals must match the following information on the SF-424 and Budget Narrative, and must be completed as follows:

1. Planned ICDBG Expenditure (Column b)
  - Only list amount requested under this grant.
  - This must match requested amount listed in Line 18a of the SF-424.
  - Do not include any proposed federal funding used as leveraged funds.
2. Planned Other Federal Funds Expenditures (Column c) List any proposed federal leverage, like IHBG.
3. Planned Non-Federal Funds Expenditure (Column d) List any proposed non-federal leverage.

Note: The totals for Columns c and d must match the total leveraged funds proposed in lines 18b-18f of the SF-424.

## IV. Application and Submission Information.

### B. Content and Form Application Submission.

#### 1. Content. HUD-4123, Cost Summary, continued:

The Cost Summary totals must match the following information on the SF-424 and Budget Narrative as follows (continued):

#### 4. Administration (Line 5 a-c):

- List any Planning and Administration costs
- Any funds proposed towards indirect costs must be noted in Line 5b.

#### 5. Grand Total (Line 7): The total must match the overall total in line 18g of the SF-424

**HUD may require corrections to errors on the SF-424, HUD-4125 and HUD-4123 based on pre-award requirements.**



## IV. Application and Submission Information.

### B. Content and Form Application Submission.

#### 1. Content, continued.

##### a. One-Page Proposal Summary (Curable Deficiency)

- Include a one-page summary of the proposed project.
- If applying for more than one project, include a summary for each project.
- Note the type of project.
- This will facilitate HUD's review. It will not be considered in your rating.

## IV. Application and Submission Information.

### **B. Content and Form Application Submission, 1. Content, continued.**

#### **b. Workplan Narrative:**

The application must include a Workplan Narrative that responds to all five rating factors in Section V.A. of this NOFO.

Label each section of your narrative in accordance with the applicable factors and subfactors in the NOFO.



## IV. Application and Submission Information.

### B. Content and Form Application Submission.

#### 1. Content, continued.

##### c. Budget Narrative (NEW REQUIREMENT)\*\*:

- The application must include a separate Budget Narrative, separate from the Workplan Narrative, that shows a breakdown for each budget line, including all sources and uses of funding (including leveraging resources) for the proposed project(s).
- Format of your own choosing
- Applications proposing multiple projects must include a separate Budget Narrative for each project.
- This Budget Narrative must:
  - Provide details on eligible activities and all planning and administrative costs (including indirect costs).
  - Match the figures on the SF- 424 (Blocks 18a-g) and Cost Summary (HUD-4123).

HUD may require successful applicants to update errors on the Budget Narrative based on the pre-award requirement process outlined in this NOFO.

NOTE: There are changes from the previous NOFO.

## IV. Application and Submission Information, B. Content and Form Application Submission, 1. Content, continued.

**d. Citizen Participation:** The applicant must submit a current tribal resolution stating the Citizen Participation requirements were followed in accordance with 24 CFR 1003.604.

**e. Low and Moderate-Income (LMI) Benefit:**

- Must demonstrate that at least 70 percent of the grant funds will be used for activities that benefit LMI persons in accordance with the requirements of 24 CFR 1003.208.
- See Section IV subfactor 2.2 Project Benefit, for non-housing projects.
- If you are applying for any type of housing-related activity (construction, rehabilitation, and acquisition) or housing assistance, you must state in your application that all units will be occupied by LMI households upon completion or when assistance (e.g., down payment assistance) is provided.



# FY 2021 ICDBG - NOFO Overview

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## IV. Application and Submission Information, B. Content and Form Application Submission, 1. Content, continued.

**f. Resolution for Tribal Organization to Submit:** Tribal organizations submitting on behalf of Tribe must include a resolution from the Tribe/Alaska Village authorizing the application on their behalf.

**g. Firm Commitment Documentation (if applicable):** If you are proposing any leveraged resources for this NOFO, you must provide the appropriate firm commitment documentation as discussed in Rating Factor 4.

**h. Demographic Data (if applicable):**

- If your proposed project is anything besides a housing project, the application must include information about number of LMI persons that will benefit from the project.
- You can either use the data provided on HUD's website at: [FY 2019 Data Update for Low- and Moderate-Income \(LMI\) Area Benefit Designation for HUD ICDBG](#); or submit your own data.
- For more information on how to submit your own demographic data, see Rating Factor 2, in Section V.A.1 of this NOFO.

**NOTE: There are changes from previous NOFO**

## IV. Application and Submission Information, B. Content and Form Application Submission, 1. Content, continued.

### i. Housing Rehabilitation Project Requirements (if applicable):

In accordance with 24 CFR part 1003.302(a), you must submit:

1. A written statement in the Workplan Narrative that the applicant has adopted rehabilitation standards and policies.
  - The adopted rehabilitation standards and policies must be adopted before the application submission.
  - **Do not submit the policies** in the application.
  
2. A written statement in the Workplan Narrative that ICDBG funds will be used to rehabilitate housing only when the homeowner's payments are current or the homeowner is current in a repayment agreement.
  - This includes rental units that are being rehabilitated.
  - You may request an exception with your application.



## IV. Application and Submission Information, B. Content and Form Application Submission, 1. Content, continued.

### **j. New Housing Construction Project Requirements (if applicable):**

In accordance with 24 CFR 1003.302(b), you must submit:

1. Documentation to demonstrate new housing construction will be implemented through a Community Based Development Organization (CBDO). If the organization has been previously determined by ONAP to be a CBDO, do not resubmit documentation of this in the application. Please contact your Area ONAP to determine if your CBDO has not been previously approved.

2. Statement in the Workplan Narrative that the project will be constructed in accordance with construction standards that were adopted by tribal resolution prior to the application deadline date.

# FY 2021 ICDBG - NOFO Overview

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## IV. Application and Submission Information, B. Content and Form Application Submission, 1. Content, continued. k. New Housing Construction Project Requirements (if applicable)

In accordance with 24 CFR 1003.302(b), you must submit the required information below (continued):

3. Provide documentation that shows:
  - i. No other housing is available in the immediate reservation area that is suitable for the households to be assisted; **and**
  - ii. No other sources, including IHBG, can meet the needs of the household(s) to be served (applicants that receive minimum IHBG funding pursuant to the IHBG regulation at 24 CFR 1000.328 are exempt from this provision); **and**
  - iii. Rehabilitation of the unit occupied by the household(s) to be assisted is not economically feasible; **or**
  - iv. The household(s) to be assisted is currently living in overcrowded conditions (more than one household per house); **or**
  - v. The household to be assisted has no current residence.



# FY 2021 ICDBG - NOFO Overview

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## IV. Application and Submission Information, B. Content and Form Application Submission, 1. Content, continued.

### k. Citizen Participation: A repeat!!

**I. Economic Development Project Threshold Requirements (if applicable):** In accordance with 24 CFR 1003.302(c), you must provide an analysis which shows public benefit commensurate with the ICDBG assistance requested will result from the assisted project.

This analysis should also establish that:

- Reasonable financial support will be committed from non-Federal sources prior to disbursement of Federal funds
- Any grant amount provided will not substantially reduce the amount of non-Federal financial support for the activity
- Not more than a reasonable rate of return on investment is provided to the owner
- That grant funds used for the project will be disbursed on a pro rata basis with amounts from other sources.
- The project is financially feasible and that it has a reasonable chance of success.

## IV. Application and Submission Information, B. Content and Form Application Submission, 1. Content, continued.

**m. Infrastructure Projects (if applicable):** If your infrastructure project will support future housing or community development project(s), you must submit evidence that the housing or community development project(s) will be completed **within three years of the grant award.**

**n. Land Acquisition to Support New Housing Projects (if applicable):** Land for future housing projects must include evidence that:

- The land is suitable for housing.
- There is a reasonable ratio between the number of net usable acres to be acquired and the number of LMI persons to benefit from the project. See Rating Factor 3, Subfactor 1.1 in Section V.A.1. of this NOFO.

Award of a grant does not constitute approval of specific sites where activities that are subject to environmental review may be carried out.



## IV. Application and Submission Information, B. Content and Form Application Submission, 1. Content, continued.

**o. Health Care Facilities (if applicable):** If you are applying for a facility that would provide health care services funded by the Indian Health Service (IHS), **you must include a statement in the Workplan Narrative** that the facility will meet all applicable IHS facility requirements. If using adopted Tribal standards, you must assure these standards are comparable to nationally accepted minimum standards.

**p. Correctional Facilities/Juvenile Detention Centers (if applicable):** If applying for a correctional facility or juvenile detention center that would provide correctional services to be funded by the U.S. Department of Justice (DOJ) and/or Bureau of Indian Affairs (BIA), **you must include a statement in the Workplan Narrative** that the facility meets all applicable BIA/DOJ standards regarding correctional operations, programs and designs.

**q. Evidence of Partner Commitment (if applicable):** If you are proposing to partner with other entities/organizations on your project, **you must submit a letter on letterhead** of the entity/organization and signed by the chief executive of the entity/organization that demonstrates that the entity/organization is willing and able to participate. This includes entities providing funds for the project as well as service providers and entities contributing to the operation of the project.

# FY 2021 ICDBG - NOFO Overview

## IV. Application and Submission Information, B. Content and Form Application Submission, 1. Content, continued.

**r. Indirect Cost Rate Agreement (Curable deficiency):** If your application will include funds for indirect costs:

- If using a federally negotiated indirect cost rate:
  - Application must clearly state the approved rate and distribution base in Subfactor 3.2 Budget and the Cost Summary
  - Applicant must also include a letter stating the approved rate and distribution base or other documentation from the cognizant agency showing the approved rate
- If applicant does not have a current negotiated indirect cost rate and wishes to use de minimis rate, application must clearly state the intent to use the de minimis

**s. Code of Conduct (Curable deficiency):**

- If your Code of Conduct (code) is not listed on HUD's website at [Code of Conduct for HUD Grant Programs](#) or if the information on the website has changed, you must submit a copy of your code of conduct with your application.
- This requirement is applicable to all applicants, even if the Code of Conduct is on file with the Area ONAP.



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## IV. Application and Submission Information, B. Content and Form Application Submission, 1. Content, continued.

*Applicants may qualify for Opportunity Zone or Promise Zones Preference Points (not both) under this NOFO by submitting the information below.*

**t. Certification for Opportunity Zone Preference Points (HUD-2996):** Submit the HUD-2996. The proposed activities/projects must be located in a census tract that has been designated as an Opportunity Zone.

Applications that intend to use less than 50% of the award in the Opportunity zone will not be considered unless they can show:

- a.) the inability to expend more than 50% can be justified; or
- b.) the amount expended will have significant impact.

To view the list of designated OZs, please see the following link on the U.S. Department of the Treasury Opportunity Zones website:

**NOTE: Changes from previous NOFO**

# FY 2021 ICDBG - NOFO Overview

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## IV. Application and Submission Information., B. Content and Form Application Submission. 1. Content, continued.

*Preference Points continued.*

### **u. Certification of Consistency- Promise Zone Goals and Implementation (HUD- 50153):**

To receive Promise Zones Preference Points, applicants must

- submit form HUD-50153
- signed by the Promise Zone Official authorized to certify that the project meets the criteria to receive preference points.

For more info on Promise Zones and authorized officials, please see the [Promise Zone webpages](#).



# FY 2021 ICDBG - NOFO Overview

## IV. Application and Submission Information., B. Content and Form Application Submission.

### 2. Format and Form

- Maximum Length of Narrative: 30 pages
  - Double spaced 12-point (minimum) Times Roman font on letter sized paper (8 ½ x 11 inches with at least 1-inch margin on all sides)

# FY 2021 ICDBG - NOFO Overview

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## IV. Application and Submission Information. C. SAM and DUNS Numbers.

### 1. SAM Registration Requirement.

- Applicants must be registered with the System for Award Management (SAM) [www.sam.gov](http://www.sam.gov).
- Applicants must maintain current information in [Sam.gov](http://Sam.gov).

### 2. DUNS Number Requirement.

- Applicants must provide a valid, registered and active DUNS number in the application.

### 3. Registration in Grants.gov Requirement.

To submit an application, you must be registered in [Grants.gov](http://Grants.gov) and be approved by the E-Biz POC in SAM to submit applications for the organization. Applicants without a valid registration cannot apply through [grants.gov](http://grants.gov).

Complete registration instructions and guidance are provided on [grants.gov](http://grants.gov). *Allow up to 4 weeks to complete the multi-step registration process for SAM.gov and grants.gov.*



## IV. Application and Submission Information.

### D. Application Submission Times and Dates.

- The application deadline is 11:59:59 PM Eastern Standard time on October 25, 2021.
- Any applications received after the deadline will be considered ineligible and will not be reviewed.
- Applications must be received in Grants.gov unless HUD has issued you a waiver allowing you to submit your application in paper form.

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## IV. Application and Submission Information.

### D. Application Submission Times and Dates.

Applications received by Grants.gov must be validated by Grants.gov to be received by HUD. Visit [Grants.gov](https://www.grants.gov) for a complete description of processing steps after applying.

- **"Received by Grants.gov"** – When your application is successfully submitted, you will receive a confirmation of receipt and an application tracking number from Grants.gov. A submission attempt that does not result in confirmation of receipt and an application tracking number is not considered received by Grants.gov.
- **"Validated by Grants.gov"**- This confirmation means the application has been accepted and was not rejected with errors.
- **"Rejected with Errors"**- This notice means the application has been rejected and you must correct the error(s) and resubmit the application before the 24-hour grace period ends. Applications that are not corrected in the 24-hour grace period will not be received by HUD.
- If you do not receive notice that the application was validated, check the status of your application Grants.gov. Select "Applicants" at the top of the page, then "Track my application" from the dropdown list.

HUD strongly recommends you submit your applications at least **48 hours before the deadline** and during regular business hours to allow enough time to correct errors or overcome other problems.



## IV. Application and Submission Information.

### D. Application Submission Times and Dates.

HUD strongly recommends you submit your applications at least 2 business days prior to the deadline to allow enough time to correct errors or overcome other problems.

#### **Grants.gov Customer Support:**

Online customer support: <https://www.grants.gov/web/grants/support.html>

Customer Service phone number: (800) 518-GRANTS (518-4726)

For Hearing or speech impaired: Federal Relay Service's teletype service at 800-877-8339.

Email Customer Service: [support@grants.gov](mailto:support@grants.gov).

## IV. Application and Submission Information.

### D. Application Submission Times and Dates.

#### **1. Amending or Resubmitting an Application.**

You may amend a validated application through Grants.gov before the submission deadline, by resubmitting a revised application. The resubmitted application must be received and validated by Grants.gov by the applicable deadline.

If HUD receives an original and a revised application, HUD will evaluate only the last submission received by Grants.gov before the deadline.

#### **2. Grace Period for Grants.gov Submissions.**

If your application is received by Grants.gov before the deadline, but is rejected with errors, you have a grace period of 24 hours after the application deadline to submit a corrected application.

The date and time stamp on the Grants.gov system determines the application receipt time. Any application submitted during the grace period not received and validated by Grants.gov will not be considered for funding. There is no grace period for paper applications.

#### **3. Late Applications.**

An application received after the NOFO deadline date that does not meet the Grace Period requirements will be marked late and will not be received by HUD for funding consideration. Improper or expired registration and password issues are not causes that allow HUD to accept applications after the deadline.



## IV. Application and Submission Information

# FY 2021 ICDBG - NOFO Overview

### D. Application Submission Times and Dates cont.

#### 4. Corrections to Deficient Applications.

HUD will uniformly notify applicants of each curable deficiency.

- Examples of curable (correctable) deficiencies include inconsistencies in the funding request and failure to submit required certifications. These examples are non-exhaustive.
- When HUD identifies a curable deficiency, HUD will notify the authorized organization representative identified on the SF 424 Application for Federal Assistance via email. This email is the official notification of a curable deficiency.
- Applicants must respond within the time limits specified in the notification.
- The time allowed to correct deficiencies will be no less than 48 hours and no more than 14 calendar days from the date of the email notification. The start of the cure period will be the date stamp on the email sent from HUD.

## IV. Application and Submission Information

# FY 2021 ICDBG - NOFO Overview

### D. Application Submission Times and Dates cont.

#### 5. Authoritative Versions of HUD NOFOs.

The version of these NOFOs as posted on Grants.gov are the official documents HUD uses to solicit applications.

#### 6. Exemptions.

Parties that believe the requirements of the NOFO would impose a substantial burden on the exercise of their religion should seek an exemption under the Religious Freedom Restoration Act (RFRA).

**E. Intergovernmental Review:** This program is not subject to Executive Order 12372, Intergovernmental Review of Federal Programs.



## IV. Application and Submission Information

# FY 2021 ICDBG - NOFO Overview

### F. Funding Restrictions

- **1. Eligible activities:** Projects funded under this NOFO are limited to eligible activities consistent with 24 CFR part 1003 subpart C.
- **2. Program administration costs:** No more than 20 percent of the sum of any grant plus program income received shall be expended for activities described in 24 CFR 1003.206 and in 24 CFR 1003.205—Eligible planning, urban environmental design and policy-planning-management capacity building activities.
- This does not include staff and overhead costs directly related to carrying out activities eligible under 24 CFR 1003.201 through 1003.204, since those costs are eligible as part of such activities.
- In addition, technical assistance costs associated with developing the capacity to undertake a specific funded activity are also not considered program administration costs. These costs must not, however, exceed 10% of the total grant award.
- **3. Pre-award costs:** With the exception of proposal costs incurred to prepare an application for submission under this NOFO and the value of land acquisition used towards an applicant's leveraging contribution as discussed in Rating Factor 4, all costs, including leveraging resources, must be incurred within the period of performance dates established in the ICDBG grant agreement.
- Applicants requesting reimbursement of proposal costs associated with the preparation of the ICDBG application must clearly identify this amount and activity in the narrative. If successful, any proposal costs incurred that are reimbursed with grant funds will count towards the applicant's program administration costs.

## IV. Application and Submission Information

# FY 2021 ICDBG - NOFO Overview

### F. Funding Restrictions cont.

#### 4. Consultant Cap:

- In accordance with 24 CFR 1003.501, ICDBG funds may not be used, directly or indirectly, to pay or provide reimbursement for payment of compensation of a consultant in an employer-employee type of relationship at more than the daily equivalent of the rate paid for the Level IV of the Executive Schedule (2021 rate: \$82.65/hr. \$661.24/day).
- For more information on the Executive Schedule, please see the Office of Personnel Management (OPM) website: <https://www.opm.gov/policy-data-oversight/pay-leave/salaries-wages/salary-tables/21Tables/exec/html/EX.aspx>.



## IV. Application and Submission Information

# FY 2021 ICDBG - NOFO Overview

### F. Funding Restrictions cont.

#### 5. Public Services:

- An applicant may not receive a Single Purpose grant solely to fund public service activities. However, an application may contain a public service component for up to 15 percent of the total grant. In addition, the public service(s) may be unrelated to the other project(s) in the application.
- If an application does not receive full funding, HUD will reduce the public service allocation so that it comprises no more than 15 percent of the total grant award. A complete description of public service projects can be found at 24 CFR part 1003.201(e).

## IV. Application and Submission Information

# FY 2021 ICDBG - NOFO Overview

### F. Funding Restrictions cont.

#### Indirect Cost Rate

If you have a Federally negotiated indirect cost rate, your application must clearly state the approved rate and distribution base and

- must include a letter or other documentation from the cognizant agency showing the approved rate.

If your agency **does not** have a current negotiated rate (including provisional) rate and elects to use the de minimis rate, **your application must clearly state** you intend to use the de minimis rate of 10% of Modified Total Direct Costs (MTDC).

- Costs must be consistently charged as either indirect or direct costs but may not be double charged or inconsistently charged as both (2 CFR 200.403).
- Once elected, the de minimis rate must be applied consistently for all Federal awards until you choose to negotiate for a rate.
- Normal indirect cost rules under 2 CFR part 200, subpart E apply.



## IV. Application and Submission Information

# FY 2021 ICDBG - NOFO Overview

### G. Other Submission Requirements

#### 1. Application, Assurances and Certifications.

- Standard Form 424 (SF-424) Application for Federal Assistance Programs
  - SF-424B (Assurances of on Construction Programs) or
  - SF424D (Assurances for Construction Programs)
- ❖ Applications receiving funds for both non-construction programs and construction programs must submit both the SF-424B and SF-424D.

## IV. Application and Submission Information

# FY 2021 ICDBG - NOFO Overview

### G. Other Submission Requirements

#### 1. Application, Assurances and Certifications Cont.

- By signing the forms in the SF-424 either through electronic submission or in paper copy submission (for those granted a waiver), the applicant and the signing authorized organization representative affirm that they have reviewed the certifications and assurances associated with the application for Federal assistance.
- Aware the submission of the SF-424 is an assertion that the relevant certifications and assurances are established.
- Acknowledge that the truthfulness of the certifications and assurances are material representations upon which HUD will rely when making an award to the applicant.
- By submitting your application, you provide assurances that, if selected to receive an award, you will comply with U.S. statutory and public policy requirements, including, but not limited to civil rights requirements.
- HUD accepts these assurances in the form of the SF-424B and SF-424D, which also require compliance with all general federal nondiscrimination requirements in the administration of the grant.



# FY 2021 ICDBG - Rating Factors Review

## RATING FACTORS

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

## V. Application Review Information

# FY 2021 ICDBG - Rating Factors Review

### A. Review Criteria

#### 1. Rating Factors.

A maximum of 100 points may be awarded under Rating Factors 1 through 5.

An additional 2 points are available for Opportunity Zones or Promise Zones.

### **TO BE CONSIDERED FOR FUNDING your application must receive:**

- Minimum of 17 points - Rating Factor 1
- Total of at least 70 points (without the addition of Preference Points)

**NOTE:** The Criteria for Subfactors 2.2. and 3.4 will vary according to the type of project you are applying for.



<u>RATING</u>	<u>FACTOR TITLE</u>	<u>POINTS</u>
<b>1</b>	<b><u>CAPACITY OF THE APPLICANT</u></b> <b><u>Minimum of 17 Points Required</u></b>	<b>34</b>
<b>1.1</b>	Managerial and Technical Staff	8
<b>1.2</b>	Audit Submission	4
<b>1.3</b>	Audit Findings	4
<b>1.4</b>	Procurement and Contract Management	4
<b>1.5</b>	Program Performance Going Forward	4
<b>1.6</b>	Disbursements	3
<b>1.7</b>	Timely Reporting	3
<b>1.8</b>	Close-outs	2
<b>1.9</b>	Monitoring Findings	2

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<u>RATING</u>	<u>FACTOR TITLE</u>	<u>POINTS</u>
<b>2</b>	<b><u>NEED/EXTENT OF THE PROBLEM</u></b>	<b>25</b>
<b>2.1</b>	Need and Viability	6
<b>2.2</b>	Project Benefit	10
<b>2.2.a</b>	Public Facilities and Infrastructure Projects	---
<b>2.2.b</b>	Economic Development Projects	---
<b>2.2.c</b>	New Housing Construction, Housing Rehabilitation, Housing Acquisition, Land Acquisition to Support New Housing, and Homeownership Assistance Projects	---
<b>2.2.d</b>	Microenterprise Programs	----
<b>2.3</b>	Project Connection to Tribal Youth	4
<b>2.4</b>	New/Unfunded Applicants (New Applicants Only)	5



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<u>RATING</u>	<u>FACTOR TITLE</u>	<u>POINTS</u>
<b>3</b>	<b><u>SOUNDNESS OF APPROACH</u></b>	<b>29</b>
<b>3.1</b>	Description of Rationale for Proposed Project	10
<b>3.2</b>	Budget	10
<b>3.3</b>	Project Implementation Schedule	4
<b>3.4</b>	Commitment to Sustain Activities	5
<b>3.4.a</b>	Public Facilities and Infrastructure Projects	---
<b>3.4.b</b>	Economic Development Projects	---
<b>3.4.c</b>	New Housing Construction, Housing Rehabilitation, Housing Acquisition and Homeownership Assistance Projects	---
<b>3.4.d</b>	Microenterprise Programs	---
<b>3.4.e</b>	Land Acquisition Projects	---
<b>4</b>	<b>LEVERAGING RESOURCES</b>	<b>6</b>
<b>5</b>	<b>COMPREHENSIVENESS AND COORDINATION</b>	<b>6</b>
<b>5.1</b>	Coordination	2
<b>5.2</b>	Outputs, Outcomes, and/or Goals	4

<u>Preference Points</u>	<u>POINTS</u>
<b>Opportunity Zones or Promise Zones</b>	<b>2</b>
<b>All Rating Factors: (Total Points)</b> ( <u>Minimum of 70 points needed</u> , without the addition of Preference Points, to meet threshold requirement)	<b>102</b>

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**Maximum total  
34 points:**

**Rating Factor 1:**

**Capacity of the  
Applicant**



# **Rating Factor 1: Subfactors**

- 1.1 – Managerial and Technical Staff (Up to 8 points)**
- 1.2 – Audit Submission (Up to 4 points)**
- 1.3– Audit Findings (Up to 4 points)**
- 1.4 – Procurement and Contract Management (Up to 4 points)**
- 1.5 – Program Performance Going Forward (Up to 4 points)**
- 1.6 – Disbursements (Up to 3 points)**
- 1.7 - Timely Reporting (Up to 3 points)**
- 1.8 –Close-outs (Up to 2 points)**
- 1.9 - Monitoring Findings (Up to 2 points)**



## Subfactor 1.1 – Managerial and Technical Staff (up to 8 points)

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Application must Describe:

- Specific roles and responsibilities of key staff and/or contractors
- Knowledge and Experience of key staff and/or contractors in:
  - Planning projects
  - Managing projects
  - Implementing projects

HUD will consider whether the knowledge and experience is:

- Recent, within the last 5 years
- Relevant, to the proposed project
- Successful, based on outcomes, community impact, or award recognition.

Note:

- Do not include job descriptions or resumes.
- Individuals or Contractors must be listed, not just their company or organization.
- The following rating criteria apply to contractors and key staff, as applicable.

**NOTE:** This is a change from previous NOFO.

## Subfactor 1.1 – Managerial and Technical Staff (up to 8 points)

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- 8 Points – The applicant thoroughly described all of the following:
  - Roles and responsibilities of each key staff in planning, managing, and implementing the proposed project
  - The knowledge and experience of key staff is recent, relevant, and successful
  - Either the applicant confirmed there were no gaps in the staff capacity or an assessment and plan for addressing identified capacity gaps was provided.
  
- 6 Points – The applicant described:
  - Some but not all key staff's roles and responsibilities were described
  - One applies: The knowledge and experience described is either not recent, relevant, or successful.
  - It was confirmed that there were no gaps in the staff capacity or an assessment and plan for addressing identified capacity gaps was provided.

**NOTE:** This is a change from previous NOFO.



## Subfactor 1.1 – Managerial and Technical Staff (up to 8 points)

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### ► 4 Points –

- Some but not all key staff's roles and responsibilities were described
- Two apply: The knowledge and experience described is either not recent, relevant, or successful.
- The applicant neither confirmed that there were no capacity gaps nor provided nor an assessment and plan for addressing identified capacity gaps was provided.

### ► 0 Points – The applicant did not address any of the required components for this rating factor.

## Subfactor 1.2 – Audit Submission (up to 4 points)

---

Indicate whether an audit submission was required for the last two years and whether they were submitted timely.

If the audits were required but were not submitted timely, provide explanation including any supporting documentation like a VCA or extension granted by the FAC.

- ▶ 4 Points – One of the following is applicable:
  - The last 2 years' audits were submitted timely and accepted.
  - The FAC granted an extension which was met, extension letter was included.
  - The applicant does not meet the threshold and is not required to submit an audit.
- ▶ 0 Points – The application did not contain sufficient information to award points.

**NOTE:** This is a change from previous NOFO.



## Subfactor 1.2 – Audit Submission (up to 4 points)

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### Delays due to COVID-19

#### Documents needed:

- A copy of a Voluntary Compliance Agreement (VCA) or,
- copy of a Letter of Warning (LOW)
- Evidence of compliance (Audit Progress Report).

**NOTE:** This is a change from previous NOFO.

## Subfactor 1.3 – Audit Findings (up to 4 points)

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Describe whether there are any single audit, HUD OIG or GAO audit findings cited to HUD programs or any financial statement findings that impact the management of ONAP programs during the rating period. If any are identified, describe when they will be resolved.

- ▶ 4 Points- No audit findings or under the audit threshold
- ▶ 2 Points- All open findings were resolved during the rating period, by the established target dates and the most recent audit contained an unmodified opinion.
- ▶ 0 Points- Open findings were not resolved during the rating period by the target dates established.

**NOTE:** This is a change from previous NOFO.



## Subfactor 1.4 – Procurement and Contract Management (up to 4 points)

---

Describe how compliant procurement and contract management policies and procedures are in place and will be followed in accordance with the following:

- General procurement standards at 2 CFR 200.318-327 (excluding 200.322 and except that 200.326 shall only apply under the terms of 24 CFR 1003.501 (a) (8))
- Indian and Tribal Preference at 24 CFR 1003.510
- Conflict of Interest at 24 CFR 1003.606.

- 4 Points- How policies and procedures would be implemented was clearly described

**NOTE:** This is a change from previous NOFO.

## Subfactor 1.4 – Procurement and Contract Management (up to 4 points)

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- 2 Points- The description of how procurement and contract management policies and procedures would be implemented did not address all of the following:
  - General procurement standards at 2 CFR 200.318-327 (excluding 200.322 and except that 200.326 shall only apply under the terms of 24 CFR 1003.501 (a)(8))
  - Indian and Tribal Preference at 24 CFR 1003.510
  - Conflict of Interest at 24 CFR 1003.606
- 0 Points- Either there was no description or the description of how the policies and procedures would be implemented was incomplete.

**NOTE:** This is a change from previous NOFO.

## Subfactor 1.5 – Program Performance Going Forward (up to 4 points)

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HUD recognizes the significant challenges COVID-19 poses for Tribes to conduct normal program operations.

Performance in this subfactor is based on the brief summary of how the pandemic has affected operations and your plans and ability to meet submission and reporting deadline requirements moving forward. Explain processes already in place, or that will be in place, to ensure requirements will be met.

- ▶ 4 Points- A brief but thorough summary of the impact of COVID-19 on operations was provided and a detailed explanation of how submission and reporting deadlines will be met going forward. Both addressed all the requirements listed in the subfactor: drawdowns, closeouts, the submission of audits, the resolution of audit and monitoring findings, the submission of financial reports, and the submission of ONAP program reports.

**NOTE:** This is a change from previous NOFO.



## Subfactor 1.5 – Program Performance Going Forward (up to 4 points)

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- ▶ 2 Points- The applicant provided a summary of COVID-19 impact on operations and an explanation of how submissions and reporting deadlines will be met going forward but did not address two or more of the following performance areas in either the summary or explanation: drawdowns, closeouts, the submission of audits, the resolution of audit and monitoring findings, the submission of financial reports, and the submission of ONAP program reports.
- ▶ 0 Points- The application did not contain sufficient information to award points in this subfactor.

**NOTE:** This is a change from previous NOFO.

## Subfactor 1.6 – Disbursements (up to 3 points)

Performance will be evaluated for all ICDBG grants, to include Imminent Threat grants and excluding ICDBG CARES and ARP grants, that are open during the rating period.

ICDBG funds awarded within 2-years of the application deadline are not included when calculating the LOCCS percentage under this subfactor. However, ICDBG grants closed during the 2-year rating period are included in the calculating the LOCCS percentage under the subfactor.

- ▶ 3 Points- Up to 35% or applicant is not a current ICDBG Grantee
- ▶ 2 Points- More than 35% but less than 50%
- ▶ 1 Point- More than 50% but less than 80%
- ▶ 0 Points- More than 80%

**Do not submit supporting attachments; HUD will utilize its records.**

**NOTE:** This is a change from previous NOFO.

## Subfactor 1.7 – Timely Reporting (up to 3 points)

---

Current HUD-ONAP grantees will be evaluated on the timely submission of reports across ALL open ONAP grants during the rating period.

The applicants must have ensured the timely submission of Annual Performance Report (APR), Annual Status and Evaluation Report (ASER), and the Federal Financial Report (SF-425) to receive full points.

Applicants who have never received a HUD-ONAP grant will be awarded 1 point under this Subfactor.

- ▶ 3 Points- All required reporting was submitted timely
- ▶ 2 Points- Some but not all required reporting was submitted timely
- ▶ 1 Point- Applicant has never received a HUD-ONAP grant
- ▶ 0 Points- None of the required reporting was submitted during the rating period.

**NOTE:** This is a change from previous NOFO.



## Subfactor 1.8 – Close-outs (up to 2 points)

---

Performance will be evaluated for all ICDBGs that were closed, due to be closed, or should have been closed during the rating period.

Timely NOFO Applicants submitted closeout documents in accordance with 24 CFR 1003.508 within 90 days from the date that the project was completed based on the latest Project Implementation Schedule (HUD-4125) and the date that the final Federal Financial Report (SF-425) was submitted showing that all grant funds and leveraged resources had been disbursed.

- ▶ 2 Points- Close-out documents were submitted timely or there were no applicable projects during the rating period.
- ▶ 0 Points- Close-out documents were not submitted timely

**Do not submit supporting attachments on this Subfactor, as HUD will utilize its records.**

## Subfactor 1.9 – Monitoring Findings (up to 2 points)

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For this subfactor, performance will be evaluated for resolved or unresolved HUD-ONAP monitoring findings during the rating period.

- 2 Points- The applicant did not have HUD-ONAP monitoring findings during the rating periods.
- 1 Point- The applicant did have open monitoring findings but either resolved them timely during the rating period or the established target dates have not yet passed.
- 0 Points- The applicant had open monitoring findings with target dates during the rating period that were not resolved.

**Do not submit supporting documentation on this Subfactor; HUD will utilize its records to verify.**

**Do not submit responses to open findings with the application, only to the issuing Area ONAP.**

A decorative graphic on the left side of the slide. It features a dark blue vertical bar on the far left. A black arrow points to the right from the top of this bar. Below the arrow, several thin, curved lines in shades of blue and grey sweep upwards and to the right across the page.

# End of Rating Factor 1

**Capacity of the Applicant**






**Maximum total  
25 points:**

**Rating Factor 2:**

**Need/Extent of the  
Problem**



# **Rating Factor 2: Subfactors**

**2.1 – Need and Viability (Up to 6 points)**

**2.2 – Project Benefit (Up to 10 points)**

**2.2.a – Public Facilities and Infrastructure Projects**

**2.2.b – Economic Development Projects**

**2.2.c – New Housing construction, Housing Rehabilitation, Housing Acquisition, Land Acquisition to Support New Housing, and Homeownership Assistance Projects**

**2.2.d – Microenterprise Programs**

**2.3 – Project Connection to Tribal Youth (Up to 4 points)**

**2.4 – New/Unfunded Applicants (New Applicants Only) – (Up to 5 points)**



## Subfactor 2.1. Identified Needs (Up to 6 points)

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- The applicant must:
  - Identify the needs of the tribe which may include but are not limited to issues of housing cost burden, overcrowding, housing shortages, and/or issues related to plumbing issues.
  - The applicant must identify the viability of the project which may include how the project will help the community grow and develop.



## Subfactor 2.1. Identified Needs (Up to 6 points) Cont.

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- ▶ **(6 points)** To receive full points:
  - You describe the need for the project
  - You demonstrate that the project will meet an essential community development need,
  - You describe **how and why** the project will improve the viability of the community.
  
- ▶ **(3 points)** To receive points:
  - You describe the need for the project
  - You demonstrate that the project meets an essential community development need **or**
  - You describe how and why the project will improve the viability of the community.
  
- ▶ **(0 points)** The application did not contain information sufficient to award points under this Subfactor.

## Subfactor 2.2. Project Benefit (Up to 10 points) Cont.

- The criteria for this subfactor varies according to the type of project you are applying for.

### **To determine the percentage of LMI:**

- Using HUD Data

**If you wish to use HUD data, you must indicate which tabulation of census data you will use from the 2019 tables at: <https://www.huduser.gov/portal/icdbg/home.html>**

- Using Your Own Data

**You may submit data that are unpublished, not generally available, and not older than the latest data available from the U.S. Census Bureau. If you are submitting demographic data other than the Census, you must state in your application that:**

- Generally available published data are substantially inaccurate or incomplete;
- Data you are submitting has been collected systematically and is statistically reliable;
- Data are, to the greatest extent feasible, independently verifiable; and
- Data differentiate between reservation and BIA service area populations, when applicable.

## Subfactor 2.2. Project Benefit (Up to 10 points) Cont.

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**If you are submitting your own data, you must include each of the following in your application:**

- A sample copy of the survey form used to collect the data;
  - An explanation of the methods used to collect the data;
  - The number of persons that will benefit from the project;
  - A list of incomes by household including household size; and
  - The number of LMI persons that will benefit from the project.
- 
- Your survey cannot be older than 2010. If you fail to include all components listed above to support your own demographic data, HUD will use the information at: <https://www.huduser.gov/portal/icdbg/home.html>; to determine points to be assigned in this subfactor.
  - Applicants proposing projects that meet the standard for limited clientele activities as described in 24 CFR 1003.208(b) will receive the full 10 points in this subfactor and do not have to submit demographic information.



## Subfactor 2.2.a Public Facilities and Infrastructure Projects (Up to 10 points)

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- If you are proposing a project that will serve a limited clientele as defined in 24 CFR 1003.208(b) you must demonstrate that at least 51 percent of families/individuals to be served by the project will be LMI to receive the full points in this subfactor.
- **(10 points)** At least 85 percent of the beneficiaries are LMI.
- **(5 points)** At least 75 percent but less than 85 percent of the beneficiaries are LMI.
- **(2 points)** At least 51 percent but less than 75 percent of the beneficiaries are LMI.
- **(0 points)** Less than 51 percent of the beneficiaries are LMI.

## Subfactor 2.2.b. Economic Development Projects (Up to 10 points)

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- ▶ The beneficiaries from this type of project can be the persons served by the project (see above) and/or persons employed by the project based on the jobs created or retained because of the project.
- ▶ To document persons employed by the project, you must describe the nature and number of jobs created or retained for LMI people.

### **The Information includes but is not limited to:**

- brief descriptions of proposed job responsibilities,
  - job titles, salaries, and
  - the number of full-time equivalent positions.
- 
- ▶ HUD will assess whether the person employed by the project qualifies as LMI if the person will be LMI at the time the person is hired.
  - ▶ If jobs will be retained because of the ICDBG project, you must include information that shows clearly and objectively that jobs will be lost without the project.

**Jobs retained only for the period of the grant will not count under this rating factor; they must be permanent jobs.**

## Subfactor 2.2.b. Economic Development Projects (Up to 10 points) Cont.

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- ▶ Points will be assigned as follows:
  - **(10 points)** At least 85 percent of the beneficiaries are LMI.
  - **(5 points)** At least 75 percent but less than 85 percent of the beneficiaries are LMI.
  - **(2 points)** At least 51 percent but less than 75 percent of the beneficiaries are LMI.
  - **(0 points)** Less than 51 percent of the beneficiaries are LMI.





Subfactor 2.2.c. New Housing Construction, Housing Rehabilitation, Housing Acquisition, Land Acquisition to Support New Housing and Homeownership Assistance Projects (up to 10 points)

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**Every year a Factor 2 Needs Table (Needs Table) is used to determine the need for housing in tribal areas.**

- ▶ The ratio is based on the dollars allocated to a tribe/TDHE under the IHBG formula program for need divided by the total number of American Indian and Alaskan Native (AIAN) households in the following categories:
  - annual income below 80 percent of the median; annual income below 80 percent of the median;
  - overcrowded or without kitchen or plumbing;
  - housing cost burden greater than 50 percent of annual income; and
  - housing shortage (number of low-income AIAN households less total number of NAHASDA and Formula Current Assisted Stock).

**You can find a copy of the Needs Table in the zip file with the Application Instructions for the ICDBG program when you download your application from [grants.gov](https://www.grants.gov).**

- ▶ **Note:** You do not need to attach the table with your application.

Subfactor 2.2.c. New Housing Construction, Housing Rehabilitation, Housing Acquisition, Land Acquisition to Support New Housing and Homeownership Assistance Projects (up to 10 points) Cont.

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- **(10 points)** The dollar amount for the Indian tribe is \$0 - \$750 or the tribe's total FY 2020 IHBG amount was \$100,000 or less and the Needs Table indicates that the Indian tribe has American Indian and Alaskan Natives (AIAN) households experiencing income or housing problems.
- **(5 points)** The dollar amount for the Indian tribe is \$751 - \$1,250.
- **(2 points)** The dollar amount for the Indian tribe is \$1,251 - \$3,999.
- **(0 points)** The dollar amount for the Indian tribe is \$4,000 or higher, or the Needs Table indicates that the Indian tribe has no AIAN households experiencing income or housing problems.

## Subfactor 2.2.d. Microenterprise Programs (Up to 10 points)

Cont.

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**Microenterprise** - A business with five or fewer employees, one or more of whom owns the business.

- Owner(s) must be LMI
- Majority of Jobs created or retained must be for LMI persons

### **Documentation Requirements:**

- For documenting persons employed by the project, you do not need to submit a demographic data statement and corresponding documentation
- You need to submit information that describes the nature and number of the jobs created or retained



## Subfactor 2.2.d. Microenterprise Programs (Up to 10 points)

Cont.

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- **(10 points)** All employees are LMI.
- **(5 points)** At least 75 percent but less than 100 percent of the employees are LMI.
- **(2 points)** At least 51 percent but less than 75 percent of the employees are LMI.
- **(0 points)** Less than 51 percent of the employees are LMI.

## Subfactor 2.3. Connection to Tribal Youth (Up to 4 points)

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**This sub factor provides points to tribes/tribal organizations under two options.**

(1) Proposing ICDBG-related activities with the main purpose of helping prepare youth to be contributing members of their community by increasing access to developmental programs.

OR

(2) Public service activities under 24 CFR 1003.201(e) that address childhood hunger or social isolation caused by the disruption of community youth social activities that provide support, social circles, and/or mentorship due to the COVID-19 pandemic.

**NOTE:** This is a change from previous NOFO.

## Subfactor 2.3. Connection to Tribal Youth (Up to 4 points)

Cont.

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Listed below are the requirements for each option.

### Option 1:

- **The applicant will receive maximum points if proposing ICDBG-related activities with the main purpose of helping prepare youth to be contributing members of their communities.**
- The ICDBG project may include other activities, but the main purpose must be preparing youth to be contributing members of their community for the proposed project to receive points under this subfactor.
- **Applicants Requirements:**
  - Must demonstrate how the ICDBG project would foster opportunities for youth in general skill building, including life skills, pursuing higher education, access to trades, leadership opportunities, etc.
  - Required to provide a description of how the project will have a clear and direct connection to the youth and impact their communities, in addition to being able to show reportable output and outcome measures.



## Subfactor 2.3. Connection to Tribal Youth (Up to 4 points)

Cont.

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### **Examples of youth-related projects include:**

- **Projects that house or provide dedicated space for youth such as:**
  - Homeless shelters for families,
  - Gymnasiums, classrooms, student housing, and recreational centers,
  
- **Projects that incorporate youth into the actual design and construction portion of the project:**
  - Training of youth for building trades and related on-the-job training.

## Subfactor 2.3. Connection to Tribal Youth (Up to 4 points)

Cont.

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### Option 2:

**If proposing public service activities under 24 CFR 1003.201(e), the applicant will receive maximum points if the entire 15% public service component goes toward:**

- Public services that address childhood hunger.
- Social isolation caused by the disruption of community youth social activities that provided support, social circles, and/or mentorship due to the COVID-19 pandemic.
- ➔ **The amount of ICDBG funds used for public services shall not exceed 15 percent of the grant.**
- ➔ **Public Service projects must therefore be submitted with one or more other projects, which must comprise at least 85 percent of the total requested ICDBG grant amount. Outcomes/Output measures must also be in Factor 5.**

**NOTE:** This is a change from previous NOFO.

## Subfactor 2.3. Connection to Tribal Youth (Up to 4 points)

Cont.

### Points will be assigned as follows:

- **(4 points) Option one:** The main purpose of the proposed project and/or activities is to prepare youth to be contributing members of their community, the proposed project has a clear and direct connection to tribal youth and the proposed project will have a direct impact on the community;
- **Option two:** OR for a public service activity to address childhood hunger or social isolation, 15% of the proposed grant amount is for a public service activity to address childhood hunger or social isolation, due to COVID-19 pandemic disruptions.
- **(2 points) Option one:** The proposed project includes activities designed to prepare youth to be contributing members of their community and the proposed project and/or activities are geared towards tribal youth, but these activities are not the main purpose of the proposed project.
- **Option two:** OR for a public service activity to address childhood hunger or social isolation, less than 15% but more than 10% of the proposed grant amount is for a public service activity to address childhood hunger or social isolation brought on by COVID-19 pandemic disruption.
- **(0 points)** The application did not contain information sufficient to award points under this subfactor.



## Subfactor 2.4. New and Unfunded Applicants (Up to 5 points) Cont.

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- ▶ Points are provided in this subfactor to applicants who have not received ICDBG awards, excluding ICDBG ARP and CARES awards, in recent years.
- ▶ It applies to the tribe, or the tribal organization on whose behalf the tribal organization is submitting the application, not the subrecipient working on the project.
- ▶ **(5 points)** You have not received an ICDBG award since the FY2014 NOFO.
- ▶ **(0 points)** You have received an ICDBG award since the FY2014 NOFO.

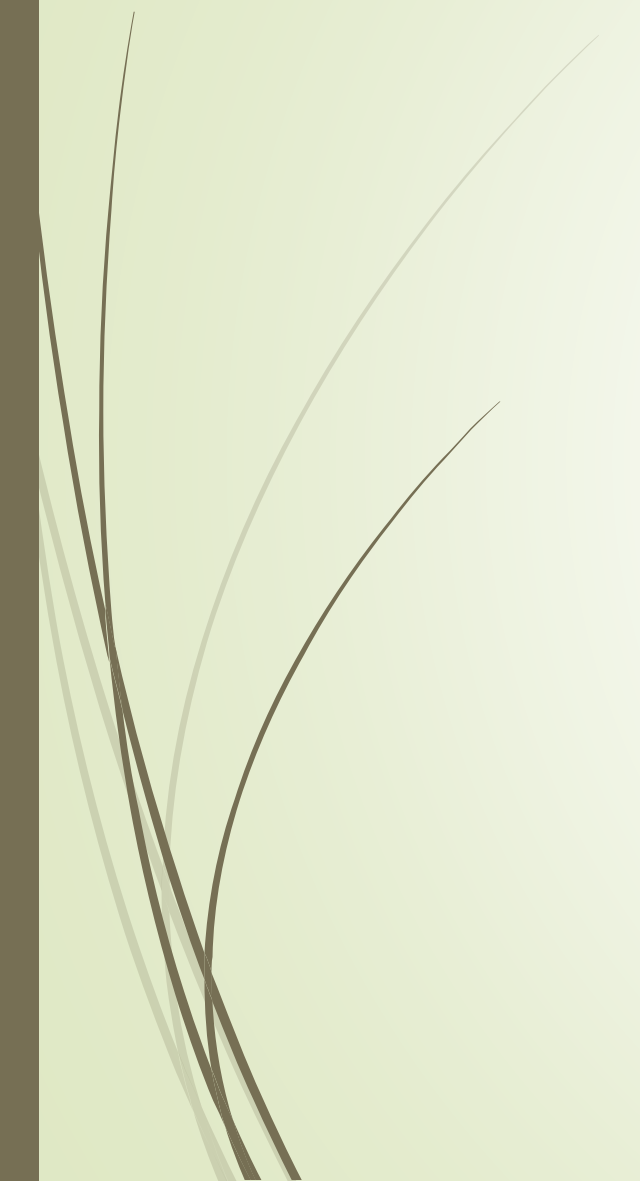
Do not submit supporting attachments on this Subfactor, as HUD will utilize its records.

**NOTE:** This is a change from previous NOFO.



# End of Rating Factor 2

Need/Extent of the Problem






**Maximum total  
29 points:**

**Rating Factor 3:**

**Soundness of  
Approach**





# **Rating Factor 3: Subfactors**

**Subfactor 3.1. Description of and Rationale for Proposed Project  
(Up to 10 points)**

**Subfactor 3.2. Budget (Up to 10 points)**

**Subfactor 3.3. Project Implementation Schedule (Up to 4 points)**

**Subfactor 3.4. Commitment to Sustain Projects (Up to 5 points)**

**Subfactor 3.4.a. Public Facilities and Infrastructure Projects**

**Subfactor 3.4.b. Economic Development Projects**

**Subfactor 3.4.c. New Housing Construction, Housing Rehabilitation,  
Housing Acquisition, and Homeownership Assistance Projects**

**Subfactor 3.4.d. Microenterprise Programs**

**Subfactor 3.4.e. New Land Acquisition Projects to Support New  
Housing**

# Subfactor 3.1. Description of and Rationale for Proposed Project (Up to 10 points)

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## ➤ (10 points) To receive full points:

- You describe the project in detail including the size (for example: square feet, linear feet, and bedroom size as applicable); type (for example: type of building, type of construction, and material used); and location (for example: a map, address and aerial photo), if available, provide architectural renderings and floor plans;
- You described how the project is feasible and cost effective;
- You explain your rationale behind the project design;
- NOFO Describe how you will comply with Indian Preference requirements.
- **Housing Construction/Rehabilitation or Public Facility Building projects (only):** You describe and provide the cost savings (in percentage or dollar amount) resulting from either the building design or construction methods or energy efficiency measures will be realized in future years;

**Land for Future Housing (only):** You establish there is a reasonable ratio between the number of usable acres to be acquired and the number of LMI households to benefit from the project.

**NOTE:** This is a change from previous NOFO.

## Subfactor 3.1. Description of and Rationale for Proposed Project (Up to 10 points) Continue

- **(5 points) To receive points:**
  - You described the project, but not in detail including the size (for example: square feet, linear feet, and bedroom size as applicable); type (for example: type of building, type of construction, and material used); and location (for example: a map, address and aerial photo), if available, provide architectural renderings and floor plans;
  - You describe how the project is feasible and/or cost-effective; or (but not both)
  - You explain your rationale behind the project design;
  - **Housing Construction/Rehabilitation or Public Facility Building projects (only):** You describe and provide the cost savings (in percentage or dollar amount) resulting from either the building design or construction methods or energy efficiency measures will be realized in future years;
  - **Land for Future Housing (only):** You establish there is a reasonable ratio between the number of usable acres to be acquired and the number of LMI households to benefit from the project.



## Subfactor 3.1. Description of and Rationale for Proposed Project (Up to 10 points) Continue

- ( 2 points) To receive full points:
  - You did not describe the project in detail;
  - You did not describe how the project is cost-effective; or
  - You did not explain your rationale behind the project design;
  - **Housing Construction/Rehabilitation or Public Facility Building projects (only):** You did not describe and provide the cost savings (in percentage or dollar amount) resulting from either the building design or construction methods or energy efficiency measures will be realized in future years;
  - **Land for Future Housing (only):** You did not establish there is a reasonable ratio between the number of usable acres to be acquired and the number of LMI households to benefit from the project.
- (0 points) The application did not contain information sufficient to award points under this Subfactor.

## Subfactor 3.2. Budget (Up to 10 points)

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### ➤ The applicant must submit:

- **Cost Summary** (Form HUD-4123) and,
- a detailed **Budget Narrative** for the proposed project and activities.

### ➤ **Budget:** Thoroughly prepared, mathematically correct, and all costs (including leveraging) are eligible under ICDBG, allowable, allocable, reasonable, and necessary for implementing the proposed project activities.

- Additionally, the budget on the SF-424, Cost Summary, Budget Narrative, and supporting documentation must be consistent.
- If your application includes a public service component, your budget must also include a breakdown of those costs.

### ➤ **Planning and administrative costs:**

- Do not include direct project costs /activity delivery costs (e.g. certain architectural/engineering, environmental, technical assistance, and some staff/overhead costs related to directly carrying out eligible activities)

Include any funds the applicant will contribute toward administering the grant.

**NOTE:** This is a change from previous NOFO.

## Subfactor 3.2. Budget (Up to 10 points)

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### ➤ **Indirect Cost:**

- If applicable, applicants including indirect costs as part of the budget must demonstrate how they are calculating these costs in accordance with either their current federally- approved negotiated rate or the de minimis rate in accordance with 2 CFR 200.414.
- Indirect costs that are administrative costs will count towards the administration and planning cap.
- If you are not requesting ICDBG funds to administer the project, you must specify who will pay for this.
- Finally, you must describe the qualifications and experience of the individual(s) that prepared the budget and how the experience is recent (within the last 5 years) and relevant to the proposed the specific activities being proposed in your application.



## Subfactor 3.2. Budget (Up to 10 points) Continue

### ➤ (10 points) To receive full points:

- The budget is thoroughly prepared, mathematically correct, and all costs (including leveraging) are eligible under ICDBG, allowable, allocable, reasonable, and necessary for implementing the proposed project and activities.
- Your budget is reasonable and reflects construction costs for the area, if applicable.
- To demonstrate the budget is reasonable, you must provide a cost comparison to one or more similar type(s) of project(s) in the area.
- Costs are broken down by line item for each proposed activity and the budget includes planning and administration.
- You described the qualifications of the person who prepared the cost estimates.
- Experience of the cost estimator is recent and relevant.

## Subfactor 3.2. Budget (Up to 10 points) Continue

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➤ **(5 points)** To receive full points:

- The budget is adequately prepared. Some calculations might not be completely mathematically correct, and some costs (including leveraging) are eligible under ICDBG, allowable, allocable, reasonable, and necessary for implementing the proposed project and activities
- Your budget is reasonable, but no cost comparisons were provided.
- Costs are broken down for each proposed activity.
- You described the experience of the person who prepared the cost estimates. The experience is relevant, but not recent.

**(0 points)** The application did not contain information sufficient to award points under this Subfactor.

## Subfactor 3.3. Project Implementation Schedule (Up to 4 points)

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Points will be assigned based on the level of detail provided in your Implementation Schedule (form HUD-4125) and/or project implementation narrative. Points will be assigned as follows:

**(4 points)** Your implementation schedule (form HUD-4125) and/or project implementation narrative includes a detailed breakdown of tasks needed to complete your project.

**(2 points)** Your implementation schedule and/or project implementation narrative includes a breakdown of tasks needed to complete your project, but it lacks detail.

**(0 points)** The application did not contain information sufficient to award points under this Subfactor.



## Subfactor 3.4. Commitment to Sustain Projects (Up to 5 points)

The tribe or another entity adopted an operations and maintenance (O&M) plan to maintain the project and commits by resolution or commitment letter, the funds to do so including the dollar amount. The O&M plan should also include a cost breakdown for annual expenses and indicate a time frame for maintaining and operating the project is not less than five years following the grant closeout date. These five components must be addressed in an O&M plan:

1. Daily or other periodic maintenance activities;
2. Repairs such as replacing broken windows;
3. Capital improvements or replacement reserves for repairs such as replacing the roof;
4. Fire and liability insurance (may not apply to infrastructure projects, such as water and sewer lines or roads); and
5. Security (may not apply to infrastructure projects, such as water and sewer lines or roads).

**NOTE:** This is a change from previous NOFO.

## Subfactor 3.4.a. Public Facilities and Infrastructure Projects

- **(5 points)** To receive full points:
  - You included the O&M statement and funding commitment described above.
  - You described how the O&M plan addresses all five of the above components and included a satisfactory cost breakdown for annual expenses along with a commitment to maintain the project for at least 5 years after the grant closeout date. (For public facilities or community buildings, applicant demonstrated the funds for recreation, social, or other services will be provided in the building are committed.)
  - You included letters of commitment from outside service providers that identify both operating expenses and space needs. If the applicant is providing the funds for the recreation, social or other services a written statement to that effect was provided.
  - For infrastructure projects like: water, sewer lines or roads, the applicant only needs to address the first 3 O&M of the 5 components.

## Subfactor 3.4.a. Public Facilities and Infrastructure Projects

### Continue

- **(3 points)** To receive full points:
  - You included the O&M statement and funding commitment described above.
  - You described how the O&M plan addresses at least four of the above components and included a satisfactory cost breakdown for annual expenses along with a commitment to maintain the project for at least 5 years after the grant closeout date. (For public facilities or community buildings, applicant also demonstrated that funds for recreation, social, or other services are committed.)
  - You included letters of commitment from outside service providers that identify either operating expenses or space needs but not both. If the applicant is providing the funds for the recreation, social or other services a written statement to that effect was provided.
  - For infrastructure projects like water, sewer lines or roads, the applicant only addressed 2 of the first 3 O&M components.



## Subfactor 3.4.a. Public Facilities and Infrastructure Projects

### Continue

➤ **(2 points)** To receive full points:

- You included the O&M statement and funding commitment described above.
- You described how the O&M plan addresses at least three of the above components and/or did not include a satisfactory cost breakdown for annual expenses along with a commitment to maintain the project for at least 5 years after the grant closeout date. (For public facilities or community buildings, applicant did not demonstrate that funds for recreation, social, or other services are committed.).
- You included letters of commitment from outside service providers, but the commitments do not address either operating expenses or space needs.
- For infrastructure projects like water, sewer lines or roads, only 1 of the first 3 O&M components was addressed.
- **(0 points)** The application did not contain information sufficient to award points under this Subfactor.

## Subfactor 3.4.b. Economic Development Projects

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- ▶ In accordance with 24 CFR 1003.302(c), you must provide an analysis which shows public benefit commensurate with the ICDBG assistance requested will result from the assisted project. The analysis should establish to the extent practicable:
  - Reasonable financial support will be committed from non-Federal sources prior to disbursement of Federal funds;
  - Any grant amount provided will not substantially reduce the amount of non-Federal financial support for the activity;
  - Not more than a reasonable rate of return on investment is provided to the owner; and,
  - That grant funds used for the project will be disbursed on a pro rata basis with amounts from other sources.
- In addition, it must be established the project is financially feasible and it has a reasonable chance of success.
- Finally, the analysis must be prepared by a qualified party that has recent and relevant experience in the type of project being proposed.

## Subfactor 3.4.b. Economic Development Projects *Continue*

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- Points will be assigned as follows:
  - **(5 points)** You addressed all of the components listed above and provided evidence the projects chance for financial success is excellent.
  - **(3 points)** You addressed most of the components listed above and provided evidence the projects chance for financial success is average.
  - **(2 points)** You addressed some of the components listed above and provided evidence the projects chance for financial success is fair.
  - **(0 points)** The application did not contain information sufficient to award points under this Subfactor.





## Subfactor 3.4.c. New Housing Construction, Housing Rehabilitation, Housing Acquisition, and Homeownership Assistant Projects

■ Points will be assigned as follows:

**(5 points)** You described the ongoing maintenance and insurance responsibilities (if applicable) of the applicant and/or participants in detail. You also stated who is paying for it.

**(3 points)** You described the ongoing maintenance and insurance responsibilities (if applicable) of the applicant and/or the participants in general. You also stated who is paying for it.

**(2 points)** You described the maintenance and insurance responsibilities (if applicable) of the applicant and/or the participants but not who is paying for it.

**(0 points)** The application did not contain information sufficient to award points under this Subfactor.

## Subfactor 3.4.d. Microenterprise Programs

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- ▶ Your application must describe the microenterprise program including the types of assistance offered to microenterprise applicants and the types of entities eligible to apply for the assistance. It must explain how you will analyze microenterprise applicants, business plans, market studies, and financial feasibility. For credit programs, you must describe how you will determine the loan terms (i.e. interest rate, maximum loan amount and duration, loan servicing provisions) that you will offer to individual microenterprise applicants.

## Subfactor 3.4.d. Microenterprise Programs **Continue**

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► Points will be assigned as follows:

**(5 points)** You addressed all of the above information or documentation applicable to the proposed project and provided evidence the chance for success is excellent.

**(3 points)** You addressed the above information or documentation applicable to the proposed project and provided evidence the chance for success is reasonable.

**(2 points)** You addressed the above information or documentation applicable to the proposed project and provided evidence the chance for success is marginal.

**(0 points)** The application did not contain information sufficient to award points under this Subfactor.





## Subfactor 3.4.e. New Land Acquisition Projects to Support New Housing

- ▶ Your application must show the results of a preliminary investigation conducted by a qualified independent entity demonstrating the proposed site has:
  - Suitable soil conditions for housing and related infrastructure;
  - Potable drinking water accessible for a reasonable cost;
  - Access to utilities;
  - Vehicular access;
  - Drainage;
  - Nearby social and community services;
  - No known environmental problems; and
  - The land is zoned for the type of housing proposed.



## Subfactor 3.4.e. New Land Acquisition Projects to Support New Housing Continue

- ▶ Points will be assigned as follows:
  - **(5 points)** Your application includes all of the above information and demonstrates that 100 percent of all units will be constructed within two years after site purchase.
  - **(3 points)** Your application includes all of the above information and demonstrates that 50 percent of the units will be constructed within two years after site purchase.
  - **(2 points)** Your application includes most of the above information and demonstrates that 25 percent of the units will be constructed within two years after site purchase.
  - **(0 points)** The application did not contain information sufficient to award points under this Subfactor.



# End of Rating Factor 3

Soundness of Approach







**Maximum total  
6 points:**

**Rating Factor 4:**

**Leveraging  
Resources**

## Rating Factor 4 – Leveraging Resources (Up to 6 points)

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- Cost sharing or mandatory matching is not required under this grant; but
- Voluntary leveraging with both Federal (including IHBG formula funding) and non-Federal funds is encouraged.

### **If proposing leveraging:**

- You must identify the source and specific amount in the Workplan Narrative and,
- Include references to the Firm Commitment documentation submitted with the application.

**NOTE:** This is a change from previous NOFO.

## Rating Factor 4 – Leveraging Resources (Up to 6 points)Cont.

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- ▶ A Firm Commitment must be submitted for any sources of leveraging including cash or in-kind contributions.

### **Examples:**

- Property or services such as computers,
- Software,
- Furniture
- Equipment,

**NOTE:** This is a change from previous NOFO.



## Rating Factor 4 – Leveraging Resources (Up to 6 points)<sub>Cont.</sub>

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- **Contributions that could be considered as leveraged resources for point award include, but are not limited to:**
- Tribal government funds;
  - Donations from individuals or organizations, private foundations, businesses;
  - Private foundations, businesses, state or federal loans (e.g., IHBG Title VI) or guarantees;
  - Other federal grants permitted by statute, including IHBG funds;
  - Donated goods and services;
  - Land needed for the project (which can include land purchased prior to the application deadline date) **but not land that has been used as leverage towards other ONAP competitions;**
  - Land used for a building expansion project if the land was not previously used for leverage
  - Direct administrative costs but only up to the 20% cap allowed for administrative costs of the ICDBG grant amount

**NOTE:** This is a change from previous NOFO.

## Rating Factor 4 – Leveraging Resources (Up to 6 points)<sub>Cont.</sub>

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- Funds that have been expended on the project prior to the Period of Performance start date **will not** be counted as leverage.  
(Exceptions: Value of Land Acquisition and Proposal Costs)
- Applicants are not allowed to spend leveraged dollars before the approval of the Request for Release of funds, with the exception of acceptable pre-award leveraging (value of land acquisition and proposal costs).
- Leverage resources must be for the same project that is proposed and incurred within the timeframe Period of Performance as the proposed project.

**All ICDBG requirements apply to the commitment or use of both ICDBG and non-ICDBG funds in a leveraged project.**

**Federal sources are only allowed to be used as leveraging if permitted by a program's authorizing statute.**

**NOTE:** This is a change from previous NOFO.

## Rating Factor 4 – Leveraging Resources (Up to 6 points)<sub>Cont.</sub>

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### ► **Disallowed Leverage:**

- Indirect administrative costs as identified in 2 CFR part 200; and
- The value of the existing facility (if your application is to expand or rehab an existing facility).

**HUD will award points based on the percentage of non-ICDBG resources provided relative to project costs.**



Type of Leveraged Resources	Evidence/ Documentation Needed
Tribal Resources	<p>Tribal resolution committing funds or equivalent; the resolution (or equivalent) must identify the exact dollar amount (or value of resources to be committed)</p> <p>If using in-kind funds, a method of valuation detailing the dollars used must be included.</p>
<b><u>Federal Resources</u></b>	<p>IHBG formula funds (whether administered by the tribe or a TDHE):</p> <p>Leveraging with current program year funds: The most recently approved Indian Housing Plan (IHP) must identify the dollar amount and commit the IHBG resources to the project. If not currently approved in the most recent IHP, the application must state that an amendment to the IHP will be processed if the applicant is awarded ICDBG funds.</p> <p>Future IHBG funding: If future IHBG funds will be used, then the application must identify the program year and the dollar amount of IHBG funds that will be used.</p> <p>Other Federal Program Funds: might include funds from the U.S. Department of Agriculture, Indian Health Service, Bureau of Indian Affairs, or any other federal agency. If allowable by the federal program's statute, the applicant should submit a statement (e.g. letter, email, etc.) from the federal agency approving the amount of funds to be committed for leveraging.</p>
Tribal Organization (applicant) Resources	Statement committing and identifying the amount of funds to be committed for leveraging.

**NOTE:** This is a change from previous NOFO

**Type of Leveraged Resources**

**Evidence/ Documentation Needed**

Public Agency, Foundation or Other Private Party

**Letters of commitment which must include:**

- the donor organization's name,
- the specific funds proposed,
- the dollar amount of the financial or in-kind resource,
- method for valuation, and
- the purpose of that resource within the proposed project.

An official of the organization legally authorized to make commitments on behalf of the organization must sign the commitment.

**Memorandum of understanding, and/or agreement to participate, including any conditions to which the contribution may be subject.**


Goods and Services

Must demonstrate that the donated items are necessary to the actual development of the project and include comparable costs that support the donation.

Land

**Land valuation methods and the documentation must be contained in the application.**

- The application of land valuation documentation must state the method used to determine land value and identify the land value.
- Land that has previously been used as leverage towards other ONAP competitions **may not be proposed as leveraging** .
- **Methods include:**



Type of Leveraged Resources	Evidence/ Documentation Needed
Land	<ul style="list-style-type: none"><li>• A site-specific appraisal no more than two years old;</li><li>• An appraisal (e.g., tax assessment) of a nearby comparable site also no more than two years old;</li><li>• A reasonable extrapolation of land value based on current area realtor value guides; or</li><li>• A reasonable extrapolation of land value based on recent sales of similar properties in the same area.</li></ul>

Grantees will be required to show evidence that leveraging resources were actually received and used for their intended purposes through quarterly reports (SF-425) as the project proceeds.



## Rating Factor 4 – Leveraging Resources (Up to 6 points)<sub>Cont.</sub>

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- ❑ **Environmental review requirements under 24 CFR part 58 apply to the commitment or use of both ICDBG and non-ICDBG funds in a leveraged project. (Section VI.B. of this NOFO).**
  
- ❑ **Firm commitment of non-tribal funds not received by the application deadline:**
  - Must include a statement from the contributing entity that describes why the firm commitment cannot be made at the current time.
  - The statement must say that your tribe/organization and proposed project meets the eligibility criteria for receiving the leveraged funds.
  - It must also include a date by which the funding decisions will be made.
  - This date cannot be over six months from the anticipated date of grant approval by HUD.

## Rating Factor 4 – Leveraging Resources (Up to 6 points)<sub>Cont.</sub>

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**HUD will re-rate and re-rank the application with the updated leverage information:**

- If you do not provide HUD with evidence of the firm commitment from the original leverage source or an alternative source within six months of the date of grant approval.
- If the anticipated leverage is not provided.

**HUD will rescind the grant and recapture grant funds.**

- If the application no longer meets the threshold point requirements after re-rating and re-ranking the application.
- If the application no longer meets the threshold point requirements after re-rating and re-ranking the application.
- **HUD reserves the right to terminate the grant for cause and to recapture and award grant funds.**

**NOTE:** This is a change from previous NOFO.

**Leveraged funds will be calculated by dividing total eligible leverage resources by the total project cost as identified on line 18g of the SF-424.**

Example: Percentage of leverage = (equals) Total leverage resource amount/ (divided by) Total project cost (grant amount requested + total leverage resource amount)

Non-ICDBG Resources to Total Projects Costs	Points
25 percent or more	6
At least 18 percent but less than 25 percent	5
At least 11 percent but less than 18 percent	4
At least 4 percent but less than 11 percent	2
Less than 4 percent	0

**NOTE:** This is a change from previous NOFO.





# End of Rating Factor 4

Leveraging Resources





Maximum total  
6 points:

Rating Factor 5:

**Comprehensiveness  
& Coordination**



**Rating**

**Factor 5:**

**Subfactors**

**5.1 – Coordination (Up to 2 points)**

**5.2 – Outputs, Outcomes, and/or Goals (Up to 4 points)**





## Subfactor 5.1 – Coordination (Up to 2 points)

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- The applicant must:
  - Please note that if a grant is awarded to an applicant and it is not clear whether the citizen participation requirements of 24 CFR 1003.604 were met, the grantee will have to show citizen participation compliance at pre-award.

## Subfactor 5.1 – Coordination (Up to 2 points) Continued

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➤ **(2 points)** To receive full points:

- You demonstrated that the activities are consistent with strategic plans or policy goals of your community.
- You identified and described how you plan to coordinate and work on the project with organizations that will not be providing leveraged funds to the project.
- You summarized how you involved the community in developing the application pursuant to the regulatory requirements for citizen participation requirements.

➤ **(1 points)** To receive full points:

- You stated that the activities are consistent with plans and goals of the community but did not say how.
- You identified and described how you plan to coordinate with other organizations but does not summarize how you involved the community in developing the application.
- You did not include citizen participation description.

➤ **(0 points)** The application did not contain information sufficient to award points under this Subfactor.

## Subfactor 5.2 – Outputs, Outcomes, and/or Goals (Up to 4 points)

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- The applicant must:
  - Include outputs and outcomes it strives to achieve with the project and,
  - Describe outputs and outcomes in detail.



## Subfactor 5.2 – Outputs, Outcomes, and/or Goals (Up to 4 points) Continued

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➔ **Outputs** – are measured in the volume of work accomplished and must be identified by each key task proposed in the workplan.

➔ **Examples of outputs could include but are not limited to:**

- Number of housing units rehabilitated;
- Number of jobs created;
- Number of housing units constructed;
- Number of community facilities built;
- Square feet for any public facility;
- Number of education or job training opportunities provided;
- Number of tribal youth participants;
- Number of homeownership units constructed or financed;
- Number of businesses supported (including number of minority/Native American);
- Number of persons assisted;
- Linear feet of infrastructure.

## Subfactor 5.2 – Outputs, Outcomes, and/or Goals (Up to 4 points) *Continued*

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**Outcomes** – are measured by the impact achieved from the outputs of the proposed project. Outcomes should be quantifiable measures or indicators that identify the change in the community, people's lives, economic status, etc.



**Examples of outcomes could include but are not limited to:**

- Reduction in the number of families living in substandard housing;
- Reduction in overcrowding;
- Increased income and self-sufficiency resulting from employment generated by project;
- Increase enrollment figures in higher education;
- Increase in homeownership rates;
- Reduction of drug-related crime or health-related hazards;
- Increased units connected to gas, phone or electric lines/roads/water/sewer;
- Improved accessibility for person with disabilities; and
- Improved energy efficiency.

## Subfactor 5.2 – Outputs, Outcomes, and/or Goals (Up to 4 points) *Continued*

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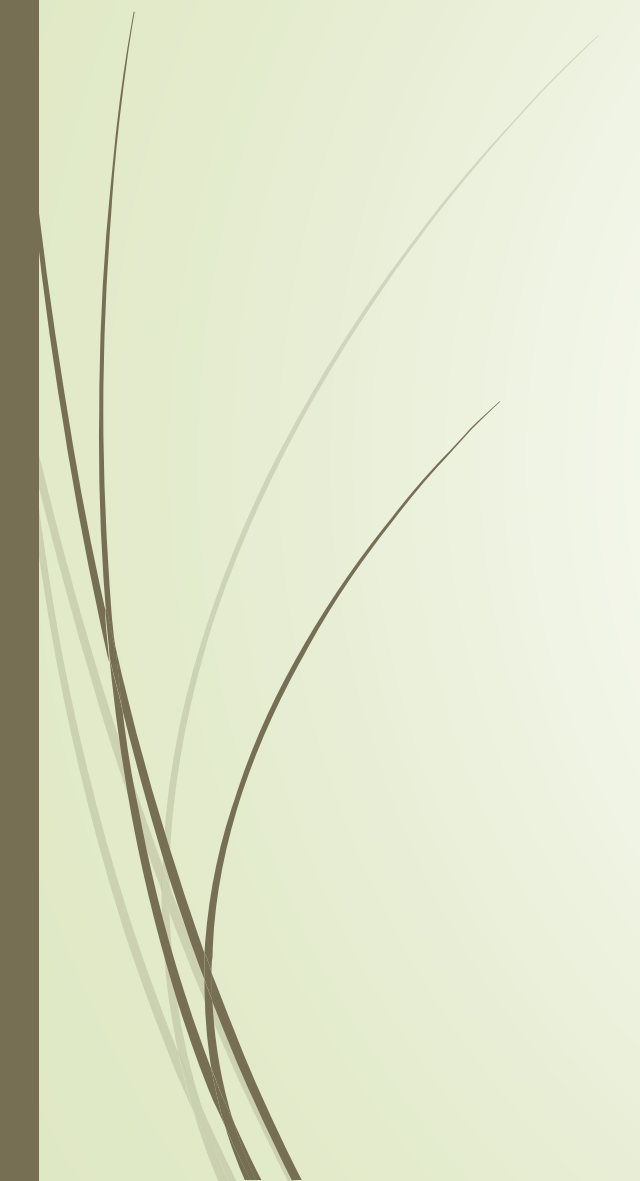
- **(4 points)** To receive full points:
  - You included measurable output(s) and outcome(s) for the proposed activity.
- **(2 points)** To receive points:
  - You included measurable outputs, but not outcomes, or vice versa.
- **(0 points)** The application did not contain information sufficient to award points under this Subfactor.





# End of Rating Factor 5

Comprehensiveness & Coordination  
and  
Preference (Bonus) Points



Rating Factor 5:

# Preference (Bonus) Points

Maximum total

2 points:





## Preference (Bonus) Points (Up to 2 points)

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- Opportunity Zones (OZ)
- Promise Zones (PZ)

**NOTE:** Applicants can earn points for either Opportunity Zones (OZ) or Promise Zones (PZ), not both.



## Preference (Bonus) Points Opportunity Zones (Up to 2 points)

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Applicants proposing projects in Opportunity Zone (OZ) communities must submit:

**Certification for Opportunity Zone Preference Points (HUD-2996)** that identifies the state, county, and census tract.

- If using less than 50% of the award within OZ – ineligible to receive points unless,
  - a.) the applicant can show why they are unable to expend at least 50% of the grant award within Opportunity Zone designated tracts, or
  - b.) the applicant is able to make a compelling case for why the amount that will be expended will have a significant impact within Opportunity Zone designated tracts.

Applicants who do not complete this form and submit it along with the rest of their application package will not be eligible to receive the points.

To view list of designated OZ tracts: <https://www.cdfifund.gov/Pages/Opportunity-Zones.aspx>

## Preference (Bonus) Points Opportunity Zones

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- Please download most recent updated (**Certification for Opportunity Zone Preference Points**) (**HUD-2996**) form in Grants.gov. included in the application package.
- Applicants that receive waivers to submit paper applications can print and submit **Certification for Opportunity Zone Preference Points** form with application.

## Preference (Bonus) Points Promise Zones (PZ) (Up to 2 points)

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Applicants proposing activities in Promise Zones (OZ) must submit:

### **Certification of Consistency with Promise Zone Goals and Implementation (HUD-50153).**

- Signed by Promise Zone Official authorized to certify project meets criteria.

To view list of designated Promise Zones and persons authorized to certify:

<https://www.hudexchange.info/programs/promise-zones/>

# Review and Selection Process

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## Past Performance:

### To evaluate past performance:

- The ability to account for funds in compliance with applicable reporting and recordkeeping requirements;
- Timely use of funds received from HUD;
- Timely submission and quality of reports submitted to HUD;
- Meeting program requirements;
- Meeting performance targets as established in the grant agreement;
- The applicant's organizational capacity, including staffing structures and capabilities;
- Timely completion of activities and receipt and expenditure of promised matching or leveraged funds;
- The number of persons served or targeted for assistance;

HUD may reduce scores based on the past performance review and reserves the right to take any of the remedies provided in Section III E., Statutory and Regulatory Requirements Affecting Eligibility, "Pre-selection Review of Performance". [HUD's Funding Opportunities Page](#)



# Review and Selection Process **continued**

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## **Assessing Applicant Risk:**

### **To evaluate risk:**

- Financial stability;
- Quality of management systems and ability to meet the management standards prescribed in this part;
- History of performance. The applicant's record in managing Federal awards, if it is a prior recipient of Federal awards, including timeliness of compliance with applicable reporting requirements, failing to make significant progress in a timely manner, failing to meet planned activities in a timely manner, conformance to the terms and conditions of previous Federal awards, and if applicable, the extent to which any previously awarded amounts will be expended prior to future awards;
- Reports and findings from audits performed under Subpart F—Audit Requirements of this part or the reports and findings of any other available audits; and
- The applicant's ability to effectively implement statutory, regulatory, or other requirements imposed on non-Federal entities.

# Review and Selection Process **continued**

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## Application Selection Process:

**Each application will be reviewed and assigned points using the following selection factors:**

- a. **Application Screening and Acceptance** - The Area ONAP will screen and accept applications if they meet all the criteria listed below.
  - The application is received or submitted in accordance with the requirements of this NOFO.
  - The applicant is eligible to submit an application.
  - The proposed project is eligible.
  - The application contains all of the applicable components listed in Section IV. B. of this NOFO.
  - Application shows that at least 70 percent of the grant funds are to be used for activities that benefit LMI persons.  
*HUD will use the census data posted at FY2019 Data Update for Low- and Moderate-Income (LMI) Area Benefit Designation for HUD's ICDBG if the data submitted with the application does not meet this screening requirement.*
- b. **Threshold Compliance** – Applications reviewed to ensure that each applicant and each proposed project meets the eligibility and submission thresholds.
- c. **ICDBG Past Performance** - Past performance will be evaluated of current grantees in Rating Factor 1.
- d. **Rating** - Conduct review and rate each project that meets the acceptance criteria and threshold requirements
- e. **Minimum Points** - a minimum of 17 points under Rating Factor 1 and an overall score of 70 points (without the addition of Preference Points).

# Review and Selection Process **continued**

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## **Ranking:**

- **All projects will be ranked against each other** - according to the point totals they receive, regardless of the type of project or component under which the points were awarded.
- **Projects will be selected for funding** - based on the final ranking to the extent that funds are available.

**Grant Amounts** - The Area ONAP will determine individual grant amounts in a manner consistent with the considerations in 24 CFR 1003.100(b)(2) and may consider:

- size of the applicant,
- level of demand,
- scale of the activity proposed relative to need and operational capacity,
- number of persons to be served, the amount of funds required to achieve project objectives,
- reasonableness of the project costs and the administrative capacity of the applicant to complete the activities in a timely manner.

If there are not enough funds available to fund a project as proposed by the applicant, funding may be declined for that project. HUD will fund the next highest-ranking project(s) for which adequate funds are available.

# Review and Selection Process continued

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## Ranking:

### Tiebreakers -

- HUD will approve projects that can be fully funded over those that cannot be fully funded;
- Applicant received a higher score on the Youth Subfactor 2.3 Connection to Tribal Youth;
- The applicant with the fewest active ICDBGs; and
- The project that would benefit the highest percentage of LMI persons

### Technical Deficiencies and Pre-award Requirements-

- **Technical Deficiencies-** If there are technical deficiencies in successful applications, you must satisfactorily address these deficiencies within the established deadline before HUD can make a grant award.



# Review and Selection Process continued

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## Ranking:

### Pre-Award Requirements-

- You may have to provide supporting documentation before a grant agreement can be executed.
- HUD may ask for additional information regarding the project(s) or information to verify the commitment of other resources.
- **Notifications by email.**
- Will have **fourteen (14) calendar days** from the date of receipt of the HUD notification to respond to these requirements. No extensions will be provided.
- If you do not respond within the prescribed time period or makes an insufficient response, the Area ONAP will determine that the requirement has not been met and will withdraw the grant offer.
- You may not substitute new projects for those originally proposed in the application and any new information will not affect the project's rating and ranking.
- The time period for calculating the response deadline for pre-award requirements **begins on the day after receipt of the pre-award letter** from the Area ONAP.

# Review and Selection Process continued

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## Ranking:

- ▶ **Agency Errors-** Judgments made within the provisions of this NOFO and the program regulations (24 CFR part 1003) are not subject to claim of error. There is no appeal process.
- ▶ You may, however, bring arithmetic and HUD errors within your application score to the attention of your Area ONAP's within 30 days of being informed your score.
- ▶ **Performance and Compliance Actions of Funding Recipients -** HUD will measure and address the performance of and order compliance actions by funding recipients in accordance with the applicable standards and sanctions of their respective programs.

## VI. Award Administration Information.

### A. Award Notices.

#### ➤ **Following the evaluation process,**

- HUD will notify successful applicants of their selection for funding.
- Notify other applicants, whose applications were received by the deadline, but have not been chosen for award.
- Notifications will be sent **by email** to the person listed as the AOR in item 21 of the SF424.

#### ➤ **Negotiation.** After HUD has made selections,

- Will negotiate specific terms of the funding agreement and budget with selected applicants.
- If HUD and a selected applicant do not successfully conclude negotiations in a timely manner, or a selected applicant fails to provide requested information, an award will not be made to that applicant.
- In this case, HUD may select another eligible applicant.

## VI. Award Administration Information.

### A. Award Notices.

#### ➤ **Adjustments to Funding.**

**To ensure the fair distribution of funds and enable the purposes or requirements of a specific program to be met,**

➤ HUD reserves the right to fund less than the amount requested in an application.

➤ **a. Fund no portion of an application that:**

- (1) Is not eligible for funding under applicable statutory or regulatory requirements;
- (2) Does not meet the requirements of this notice; or
- (3) Duplicates other funded programs or activities from prior year awards or other selected applicants.



## VI. Award Administration Information.

### A. Award Notices.

#### ➤ **Adjustments to Funding.**

- **b. If funds are available after funding the highest-ranking application,** HUD may fund all or part of another eligible fundable application. If an applicant turns down an award offer, or if HUD and an applicant do not successfully complete grant negotiations, HUD may withdraw the award offer and make an offer of funding to another eligible application.
- **c. If funds remain after all selections have been made,** remaining funds may be made available within the current FY for other competitions within the program area, or be held for future competitions, or be used as otherwise provided by authorizing statute or appropriation.
- **d. If, after announcement of awards made under the current NOFO,** additional funds become available either through the current appropriations, a supplemental appropriation, other appropriations or recapture of funds, HUD may use the additional funds to provide additional funding to an applicant awarded less than the requested amount of funds to make the full award, and/or to fund additional applicants that were eligible to receive an award but for which there were no funds available.

## VI. Award Administration Information.

### A. Award Notices.

#### ➤ **Funding Errors.**

- If HUD commits an error that when corrected would cause selection of an applicant during the funding round of a Program NOFO, HUD may select that applicant for funding, subject to the availability of funds.
- If funding is not available to award in the current fiscal year, HUD may make an award to this applicant during the next fiscal year, if funding is available then.

#### ➤ **If Selected:**

- Your Area ONAP will send you an award letter and a grant agreement to sign and return.
- You must establish an account in LOCCS to draw down grant funds.
- Encouraged to participate in award implementation training offered by your Area ONAP.

**All grants are conditioned on the completion of all environmental obligations and approval of release of funds by the Area ONAP (24 CFR Part 28)**

# Statutory and Administrative, National and Department Requirements for HUD Recipients

## All Statutory and Administrative National and Department Requirements for HUD Recipients

[For a full list and detailed description of each requirement access the link below.](#)

### Examples:

- Compliance with Fair Housing and Civil Rights Laws,
- Improving Access to Services for Persons with Limited English Proficiency (LEP)
- Accessible Technology
- Equal Access Requirements.
- Ensuring the Participation of Small Disadvantaged Business, and Women-Owned Business.
- Equal Participation of Faith-Based Organizations in HUD Programs and Activities.
- Etc...

[Administrative, National and Department Policy Requirements and Terms for HUD Financial Assistance Awards apply.](#)

# Statutory and Administrative, National and Department Requirements for HUD Recipients

## Environmental Review.

- **Activities under this NOFO are subject to the environmental review provisions set out at 24 CFR 1003.605.**
- Tribal organization applying on behalf of an Indian tribe, the tribe is considered the grantee responsible for environmental review requirements.

**More information on the environmental review process and requirements is available on the HUD Exchange at <https://www.hudexchange.info/programs/environmental-review/>.**

## Lead Based Paint Requirements.

- When providing housing assistance funding for purchase, lease, support services, operation, or work that may be disturb painted surfaces, of pre-1978 housing,
- When providing education or counseling on buying or renting housing that may include pre-1978 housing



# Reporting Requirements

## Performance and financial reports:

- **Recipient Integrity and Performance Matters.**
- **Race, Ethnicity and Other Data Reporting.**
- **Compliance with the Federal Funding Accountability and Transparency Act of 2006 (Pub. L. 109-282) as amended (FFATA).**
- **Program-Specific Reporting Requirements ICDBG - Post-Award Reporting Requirements**
  - **a. Quarterly Financial Reports**
  - **b. Annual Status and Evaluation Report (ASER)**
  - **c. Minority Business Enterprise Report**
  - **d. Close-Out Report**

Please direct questions regarding specific reporting requirements to Grants Management Director at [ONAP-ICDBG@hud.gov](mailto:ONAP-ICDBG@hud.gov) or for Federal Relay Service at 800-877-8339.

# Debriefing

- Debriefings will be conducted for a period of at least 120 days, 30 days after the public announcement of awards.
- Provided upon organization representative or successor's request.
- Must must be made in writing or by email and,
- Submitted to: Grants Management Director at [ONAP-ICDBG@hud.gov](mailto:ONAP-ICDBG@hud.gov)

## **Information provided may include:**

- Final score the applicant received for each rating factor,
- Final evaluator comments for each rating factor, and the
- Final assessment indicating the basis upon which funding was approved or denied.

# Agency Contact(s)

Questions regarding specific program requirements for this NOFO should be directed to the POC listed below.

**ONAP Grant Management Director**

**Email: [ONAP-ICDBG@hud.gov](mailto:ONAP-ICDBG@hud.gov)**

- ❖ **Please note that HUD staff cannot assist applicants in preparing their applications.**

# Other Information

## 1. National Environmental Policy Act.

- This NOFO provides funding under 24 CFR part 1003 and applicants are required to follow the environmental requirements that are outlined at 24 CFR 1003.605. This NOFO does not alter any of those environmental requirements. Accordingly, under 24 CFR 50.19(c)(5), this NOFO is categorically excluded from environmental review under the National Environmental Policy Act of 1969 (42 U.S.C. 4321).
- This NOFO provides funding under 24 CFR part 1003, and applicants are required to follow the environmental requirements that are outlined at 24 CFR 1003.605. This NOFO does not alter any of those environmental requirements.

## 2. Web Resources.

- **Affirmatively Furthering Fair Housing**
- **Code of Conduct list**
- **Assistance Listing (formerly CFDA)**
- **Dun & Bradstreet**
- **Equal Participation of Faith-Based Organizations**
- **Federal Awardee Performance and Integrity Information System**
- **FFATA Subaward Reporting System**
- **Grants.gov**
- **HBCUs**



## **Other Information** continued

- **Healthy Homes Strategic Plan**
- **Healthy Housing Reference Manual**
- **HUD's Strategic Plan**
- **HUD Grants**
- **Limited English Proficiency**
- **NOFO Webcasts**
- **Opportunity Zone**
- **Procurement of Recovered Materials**
- **Promise Zones**
- **Section 3 Business Registry**
- **State Point of Contact List**
- **System for Award Management (SAM)**
- **Uniform Relocation Assistance and Real Property Acquisition Act of 1970 (URA)**
- **USA Spending**

Area ONAP	Phone Numbers and Addresses	
Alaska	(907) 677-9800	3000 C Street, Suite 401 Anchorage, AK 99503
Eastern Woodlands	(800) 735-3239	Ralph H. Metcalfe Federal Building 77 West Jackson Boulevard, Room 2404 Chicago, Illinois 60604-3507
Northern Plains	(303) 672-5465	1670 Broadway, 24th Floor Denver, CO 80202-4801
Northwest	(206) 220-5270	909 1st Avenue, Suite 300 Seattle, WA 98104-1000
Southern Plains	(405) 609-8520	301 N.W. 6th Street Suite 200 Oklahoma City, OK 73102
Southwest	Phoenix Office One North Central Avenue Suite 600 Phoenix, AZ, 85004-2361 (602) 379-7213	Albuquerque Office 500 Gold Avenue 7th Floor, Suite 7301 PO Box 906 Albuquerque, NM 87103-0906 (505) 346-6923