

INDIAN COMMUNITY DEVELOPMENT BLOCK GRANT APPLICATION REQUIREMENTS

LEARNING OBJECTIVES:

After completing this module, you will have a working knowledge of:

- The NOFA definitions applicable to the rating process
- The ICDBG initial and threshold requirements
- How to respond to the NOFA rating factors
- How to conduct an internal review of the ICDBG application
- How to respond to technical deficiencies and/or pre-award conditions

A. THE NOFA DEFINITIONS AND RESPONDING TO THE NOFA

The definitions historically used in the ICDBG NOFA are discussed in Module 1. It is important to understand the definitions since they directly impact an applicant's responses to the thresholds and rating factors. Several of these definitions bear repeating to ensure familiarity with what the NOFA is requesting. The definitions are as follows:

- **Adopt** – Adopt means to approve the action through formal resolution by the governing body. For example, a Tribal Council passes a resolution to adopt its financial policies and procedures. Information on the resolution would be submitted with the grant application.
- **Document** – Several of the thresholds and/or rating factors ask the applicant to “submit documentation” or “document” information provided. The applicant must provide supporting written information or data with the application to satisfy the NOFA requirement.
- **Outputs** – Rating Factor 5 asks for measurable outcomes and “outputs”. Outputs are the direct products of a program's activities, and should be

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clear enough to allow HUD to monitor and assess the proposed project if funded. Outputs are usually measured in terms of the volume of work accomplished.

- **Outcomes** – Some of the rating factors ask you to identify “outcomes”. Outcomes are the ultimate benefits that you hope to achieve with the proposed project. Outcomes should be quantifiable measures or indicators and should be identified in terms of the change in the community, lives of individuals, economic status, and so forth.
- **Measurement Reporting Tools** – Measurement reporting tools are the tools used to track output or outcome information (e.g., survey instruments, scales, attendance logs, case reports, pre-post tests, waiting lists, and the like).
- **Evaluation Process** – The evaluation process is the methodology that will be used to periodically assess success in meeting project, outputs and outcome results.
- **Statement** – When a “written statement” is requested for any threshold, program requirement, or rating factor, the applicant must address in writing the specific item cited.

B. UNDERSTANDING THRESHOLD REQUIREMENTS IN THE NOFA

When each application is received, two preliminary screenings are completed: initial screening and threshold screening. The two screenings occur prior to rating of the application. If the application does not pass both screenings it will not be rated for funding.

1. Initial Screening:

The initial screening focuses on the completeness and eligibility of the application. The following questions must be answered affirmatively:

- Was the application received by the due date and time established in the NOFA?

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- Does the project comply with the primary objectives of the ICDBG program and include evidence that at least 70% of the grant funds will be used for activities that benefit **low- and moderate-income persons**?
- Is the project an eligible activity?
- Is the applicant an eligible applicant?
- Is the total of the requested funds within the published grant ceiling?
- Are all the application components included in the application?

2. Threshold Screening:

The NOFA describes two types of threshold screenings that will be performed. Applicants must meet the program-related thresholds as well as the project-specific thresholds. If the application does not meet any one of the thresholds, it will not be rated. A brief summary of the thresholds is detailed below.

- **Program-Related Thresholds** – These thresholds apply to all project types. The program-related thresholds are as follows:
 1. An applicant who has an outstanding ICDBG financial obligation to HUD that is in arrears, or one that has not agreed to a repayment schedule, does not pass the threshold and will be disqualified from the competition;
 2. Federally recognized Indian tribes must comply with the nondiscrimination provisions at 24 CFR 1003.601.
- **Project-Specific Thresholds** – Applicants must pass the threshold for the specific type of project applied for. Project-specific thresholds are:
 1. **Housing Rehabilitation Projects** – Applicants must have adopted rehabilitation standards and rehabilitation policies before submitting an ICDBG application. Applications must include evidence that the policies or standards have been adopted in accordance with tribal law or practice. Applicants must also provide assurance that project funds will be used to rehabilitate HUD-assisted houses only when the

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tenant/homebuyer's payments are current or the tenant/homebuyer is current in a repayment agreement except in emergency situations. The ONAP Administrator may grant exceptions to these requirements on a case-by-case basis.

2. **Land Acquisition to Support New Housing Projects** – There are no project-specific threshold requirements for land acquisition to support new housing projects.
3. **New Housing Construction Projects** – New housing can be constructed only when necessary and only through a Community Based Development Organization (CBDO). Eligible CBDOs are described in 24 CFR 1003.204(c). Applicants must provide documentation establishing that the entity implementing the new housing construction project qualifies as a CBDO. The 3 options that are used to document an entity is a CBDO are:
 1. Community-improvement oriented non-profit with board that represent the community that can procure materials/assets and is not subject to asset reversions;
 2. An entity that has Section 301(d) Small Business Investment Act designation, is an SBA approved organization, is HUD recognized Community Housing Development Organization or is a tribally created community development non-profit;
 3. An organization that can document that its mission is aligned with the purposes of organizations described under Option 1 or 2 and with structural and operational similarities to those options.

The application must indicate that the applicant has a current tribal resolution adopting and identifying construction standards and documentation that:

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- No other housing is available in the immediate reservation area that is suitable for households to be assisted;
 - No other financial sources (including IHBG) are available;
 - Rehabilitation of existing units is not feasible;
 - Households to be assisted either are in overcrowded units or have no current residence.
4. **Homeownership Assistance Projects** – There are no project-specific thresholds for homeownership assistance projects.
5. **Public Facilities and Improvements Projects** – There are no project-specific thresholds for public facilities and improvements projects.
6. **Economic Development Projects** – The application must include a financial analysis that demonstrates that the project is feasible and has a reasonable chance of success. The analysis must also demonstrate the public benefits resulting from the ICDBG assistance. The more funds requested, the greater the public benefit you must demonstrate. To the extent applicable, the application must also demonstrate 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; and
 - grant funds used for the project will be disbursed on a pro-rata basis with amounts from other sources.

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7. **Microenterprise Projects** - There are no project-specific threshold requirements for Microenterprise projects.

You must respond to **each part** of the applicable thresholds. For example, the project-specific threshold for housing rehabilitation has three “tests” you must meet. If you provide evidence that the required policies were adopted, but do not provide the required assurances, the application will fail this threshold.

C. RATING FACTOR ONE – CAPACITY OF THE APPLICANT

Responses to this factor should demonstrate how the applicant’s administrative infrastructure and staff have the necessary knowledge, skills and experience to manage the project and funds successfully if an ICDBG award is made.

Applicant capacity subfactors include:

- Managerial, technical, and administrative capacity and responsibilities
- Project implementation plan and program evaluation
- Financial management
- Procurement and contract management
- Past performance, if applicable

Managerial, Technical, and Administrative Capacity

The information included in the application must include **documentation** demonstrating that the applicant possesses or can obtain managerial, technical, and administrative capability necessary to carry out the project. In your response to this factor, address who will administer the project and how the technical aspects of project execution will be handled.

Managerial and Technical Staff – The application must describe the roles, responsibilities, qualifications, and experience of the proposed project director and staff, including the day to day program manager, consultants, and contractors in planning, managing, and implementing projects in accordance with the implementation schedule for which funding is being requested. The experience of staff proposed to undertake eligible program activities will be judged in terms of its being recent, relevant and successful.

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Experience within the last 5 years will be considered to be recent; experience pertaining to the specific activities being proposed will be relevant, and experience producing specific accomplishments will be considered successful. The more recent the experience and the more experience the staff who will work on the project have in successfully conducting and completing similar activities, the greater the number of points that can be received for this factor.

- Explain and demonstrate how the combination of staff will manage the proposed project (with help from consultants, strategic partners, and other third parties, as applicable).
- Provide a project staffing plan incorporating project staff, contractors, consultants, and strategic partners
- Explain the roles and responsibilities for each key position
- Present biographical sketches for each key position that include knowledge and experience in planning, managing, and implementing projects similar to the one being proposed

After completing this section, applicants should answer the following questions:

- *Is the experience of key staff identified in the application recent (within the last 5 years), relevant to this project, and does it demonstrate past success in similar responsibilities?*
- *Did the application **describe** the roles and responsibilities of staff?*

To support the descriptions provided in this section, consider supplementing the response to this factor by providing the following:

- *Written summaries of qualifications and past experience of proposed staff, descriptions of staff responsibilities and references or letters of endorsement.*

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- *If contracting, a description of the expertise and qualifications of the contractor. If the contractor has not been identified, have you stated the minimum experience and qualifications that will be required?*
- *Include an organizational chart and staffing plan (or level of effort chart)*

Do NOT submit job descriptions or resumes. Do not include the Social Security numbers of project staff.

Project Implementation Plan and Project Evaluation - The project implementation plan component of the application identifies the specific tasks and timelines for completion of the project on time and within budget. The project implementation plan should be clear and concise. It should include a logical breakdown of the project, and discuss the strategy taken to accomplish the project over the project period.

The tasks are the specific activities required to complete the project. The tasks should be presented in a logical sequence with specified timeframes for completion. The Project Implementation Schedule, Form HUD-4125, can be used as the required schedule.

The project evaluation component describes how the project will be evaluated from project start up to project completion. The evaluation process should describe the specific outputs, outcomes, and goals that have been incorporated into and assessed through the evaluation plan.

If the Logic Model, HUD Form 96010 is used in the application, it also provides the information on the project evaluation plan.

After completing this section applicants should answer the following questions:

- *Is a project implementation schedule included that details tasks and project timelines?*
- *Does the implementation plan show that the project will be within budget?*
- *Are the implementation timelines realistic?*

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- *Did you identify a process for measuring and evaluating project outputs and outcomes?*

Financial Management - The financial management section should address the applicant's ability to manage funds and ensure accountability to the tribe, the community, and ONAP. Applicants must:

- **Describe** how the applicant will meet the requirements of 24 CFR part 85 and 24 CFR part 1003.
- **Describe** how you will apply the financial management systems to the specific project applied for.
- The type of audit findings in your current audit will be evaluated. You must state whether you are required to submit annual audits in accordance with OMB Circular A-133. If you are required to have an audit but do not have a current audit, you must **submit** a letter from the tribe's independent public accountant that is dated **within** the past 12 months stating that the financial management system complies with all regulatory requirements.

In addition to the above information, you may want to provide information on your financial management system in the following areas:

- Internal Controls
- Components that address each of the financial management standards
- Cash management
- Property and equipment
- Program income

After completing this section, applicants should answer the following questions:

- *Is there an appropriate written and signed document adopting the financial management and internal control policies and procedures?*
- *Is there a written summary describing the financial management system?*
- *Is there a financial management plan that explains how the ICDBG project funds will be managed for the specific project?*

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Procurement and Contract Management - The procurement and contract management section provides an overview of the applicant's procurement policies and procedures and describes the method by which contracts will be managed. Applicants must:

- **Describe** how the tribe's procurement and contract management policies and procedures will facilitate effective procurement and contract control over the proposed project and meet the requirements of 24 CFR part 85 and 24 CFR part 1003.
- **Describe** how the procurement and contract management systems will be applied to the specific project applied for.
- The type of audit findings in your current audit will be evaluated. If you are required to have an audit but do not have a current audit, you must **submit** a letter from the tribe's independent public accountant **stating** that the procurement and contract management system complies with all applicable regulatory requirements.

The contract management narrative should provide information on how contracts are managed by the applicant and could include the following information:

- Components of a standard contract
- Procedures for ensuring quality and completion of work prior to payment
- Criteria for authorizing change orders
- Method for periodic evaluation of the contractor
- Records management for the contract
- Contract close-out procedure and required documents

After completing this section applicants should answer the following questions:

- *Have you described the procurement policies and procedures?*
- *Have you described your contract management procedures as they relate to this project?*

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Past Performance - This component is applicable only if you have an open ICDBG grant. Key areas of performance that you should describe related to past performance are:

- Completion of tasks according to the timeframes set out in the implementation schedule.
- Timely submission of the Annual Status and Evaluation Reports and Federal Cash Transactions Reports.
- Timely submission of close-out documents.
- Submission of the annual audit in accordance with ICDBG requirements and OMB Circular A-133 and its compliance supplements.
- The timely resolution of ICDBG monitoring and controlled audit findings.

After completing this section applicants should answer the following questions:

- *Have you provided information on past performance, if applicable?*
- *Does the information address completion of tasks, reporting, any audit and/or monitoring findings?*

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Key Staff, Contractor, Consultant, or Strategic Partner	Project Responsibilities	Qualifications
1.		
2.		
3.		

Project Implementation Plan and Program Evaluation

List five of the tasks necessary to complete the project, including the timelines for performing each task.

Task	Begin Date	End Date
1.		
2.		
3.		
4.		
5.		

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List one outcome for the project: _____

For the outcome identified above, list the output(s) result, measurement tool(s), and evaluation process.

Outcome:		
Output(s) Result	Measuring Tool(s)	Evaluation Process

Financial Management

Describe how the applicant's financial management system provides effective financial control for the project.

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Procurement and Contract Management

Describe one component of your procurement system.

Describe one example of a past procurement activity for a similar project.

Describe one component of your contract management system.

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D. RATING FACTOR TWO – NEED/EXTENT OF THE PROBLEM

The information included in the application should demonstrate the extent of the documented problem, illustrate the applicant's understanding of the problem and its impact on the target population, and demonstrate the applicant's ability to address the problem successfully through the proposed project if an ICDBG award is made. Need/extent of the problem subfactors include:

- Documentation demonstrating that the project meets an essential community development need
- Certification that the project benefits the neediest segment of the population

Documentation of Need - The information included in the application should clearly explain the process by which the problem to be addressed was identified (including the community's involvement in the process as outlined in Part C of Module 2), the scope of the problem, and outcomes that would successfully address the identified problem(s). The applicant must:

- present quantitative data to define the problem from such sources as community surveys (include a copy of the survey in the application packet), data from existing programs, statistical data from other agencies (e.g. IHP, I.H.S., school district, or B.I.A.), and existing resources (or lack thereof) to address the need.

To respond to this criterion, the applicant may want to:

- provide historical data on the growth of the problem or past events that have increased the extent of the problem (such as natural disasters, growth in population, or changes in public policy)
- include a written summary of community involvement and processes used in determining community problems
- develop a program hypothesis that is based on the quantitative data that outlines steps to address the problem and explains how addressing the identified problem will improve the well-being of the community.

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After completing this section applicants should answer the following questions:

- *Does the narrative clearly define a severe community problem, the process used for identifying this problem, and describe how the community was involved in problem identification?*
- *Is the data presented accurate and verifiable? Is it presented in a way that is clear and easy to understand?*
- *Will the project hypothesis presented as the last component of the Factor 2 narrative address the documented community problem?*

Project Benefits to Community Members - Applicants should clearly explain how the project benefits the neediest segment of the population in accordance with the program's primary objective, and the ways in which the applicant will certify the accuracy of the information regarding the target beneficiary population. The applicant **may**:

- Rely on census data, or
- Provide demographic data identifying the total number of persons benefiting from the proposed project (include both Native and non-Native persons to be served), and the number of persons benefiting who are LMI. If demographic data is submitted, include a sample copy of a completed survey form, an explanation of the methods used to collect the data, and a listing of incomes by household including household size.

If unpublished data is used, include a demographic data statement along with documentation in the application that states:

- The published data are substantially inaccurate or incomplete
- Data provided have been collected systematically and are statistically reliable
- Data have been independently verified (to the extent possible) and data differentiate between reservation and BIA service area populations, when applicable.

In documenting that persons to be employed by the project are LMI, it is not necessary to submit demographic data. The applicant must submit

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information that describes the nature of the jobs to be created or retained for LMI community members. Information can include the following:

- Proposed job descriptions, salaries, and the number of full-time equivalent positions.
- If jobs will be retained as a result of the project, include information that shows clearly and objectively that jobs would be lost without the ICDBG project. Note that jobs retained only for the period of the proposed grant will not be counted.

Required criteria showing that the proposed project benefits the neediest population vary according to the type of project requested. The criteria for specific project types follow:

- Public Facilities and Improvements and Economic Development Projects. The extent to which the proposed project benefits the neediest segment of the population will be evaluated and points will be awarded based on the percentage of beneficiaries that are LMI. For economic development projects, beneficiaries of the project are persons served by the project and persons employed by the project, and jobs created or retained by the project.
- New Housing Construction, Housing Rehabilitation, Land Acquisition to Support New Housing, and Homeownership Assistance Projects. The need for the project will be determined by data from the tribe's IHBG formula information.
- Microenterprise Programs. Points will be awarded based on the number of employees that are LMI and whether the owners are LMI.

After completing this section applicants should answer the following questions (dependent on project type):

- *Is information included on the number of jobs created or retained for LMI persons, if applicable?*
- *Is there information on the types of jobs created or retained, job descriptions, and salaries, if applicable?*
- *If you submitted demographic data, did you address all the NOFA-required information?*

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PARTICIPANT WORK ACTIVITY FIVE
Rating Factor Two – Need/Extent of the Problem

Project Selected In Activity 3: _____

- Housing Rehabilitation
- Land Acquisition
- New Housing Construction
- Homeownership Assistance
- Public Facilities and Improvements
- Economic Development
- Microenterprise
- Other _____

Documentation demonstrating that the project meets an essential community development need

Describe the community problem being addressed by the project.

Briefly describe the process that was used to identify the problem. How was the community involved in that process?

List three data sources used to document the problem.

1. _____
2. _____
3. _____

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What is the extent of the problem in the community?

Identify one outcome for the project: _____

Briefly describe the community involvement in the project design.

Project benefits the neediest segment of the population

Describe the benefits of the project.

Write down one attachment to include in the application that supports how the project will benefit the neediest segment of the population and explain why that attachment was included.

1. _____

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E. RATING FACTOR THREE – SOUNDNESS OF APPROACH

A response to this factor demonstrates the quality and effectiveness of the applicant's project outcomes in enhancing community viability and in meeting the needs identified in Factor 2. Additionally, the applicant's commitment to sustain the project is also established in this section of the application.

Soundness of approach subfactors include:

- Description of and rational for the proposed project
- Budget and cost estimates
- HUD policy priorities
- Commitment to sustain activities

The first three subfactors relate to all projects regardless of type of project; however, the last subfactor is project-specific.

Description of and Rational for the Proposed Project - The information should clearly demonstrate that the project is a viable and cost-effective approach to addressing the problems of the target population that were identified in Factor 2. The project must be **described** in detail and the application must **describe** *why* the project is a good choice to address the identified problem(s). The proposed outcomes for the project should clearly describe how the community's quality of life will be improved and include applicable output and outcomes measures that are listed in Rating Factor 5. The application must:

- describe the tasks that have been planned for completion of the project and achievement of the outcomes.
- explain why the planned project is the most effective approach to resolving the problems of the community.
- include the size, type, and location of the project, with a rational for project design.
- discuss the cost savings anticipated due to innovative designs and construction methods. Include the rational for the cost savings, and historical data on past methods used, if applicable.

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- provide information and supporting documentation that establishes the ratio between the number of net usable acres to be acquired and the LMI households to benefit from the project if the project includes land acquisition to support new housing projects.
- state the proposed outcomes for the project.

The application must include information that establishes that there is a reasonable ratio between the number of net usable acres to be acquired and the number of low- and moderate- income households to benefit from the project.

After completing this section, applicants should answer the following questions:

- *Have I provided a clear description of the project?*
- *Does the information included answer the question of why the project should be selected?*
- *Have I included information that demonstrates how the project will address the problem(s) of the community as identified in rating factor 2?*
- *Are letters from the appropriate professionals supporting the effectiveness of the project attached?*

Budget and Cost Estimates - The budget provides the financial plan for the project and must reflect the total resources (ICDBG and non ICDBG) required for completion of each of the project tasks. The key to developing a sound budget is to identify and secure input from individuals with extensive experience in development and management of the project being proposed. The cost estimate should be documented and include a line item cost for each proposed activity including planning and administration. Applicants should also provide a description of the qualifications of the person who prepared the budget. An example is presented below:

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NITRATE TREATMENT PLAN COMPONENT

Project Name: Infrastructure Improvement Plan – Phase 1
Component: Nitrate Treatment Plant

Ion-Exchange System	Quantity	Unit	Unit Price	Total
IX Treatment System	1	Unit	\$238,000	\$238,000
Enclosure (16' W x 20' L x 10'T)	1	Unit	\$70,000	\$70,000
Concrete Pad (16' x 20')	320	Ft	\$20	\$6,400
Electrical & Telephone Connection	1	LS	\$20,000	\$20,000
Interconnection Piping	1	LS	\$25,000	\$25,000
Data Collection & Pump Control System	1	LS	\$30,000	\$30,000
Site Fencing	360	LF	\$50	\$18,000
6" Sewer Line	100	LF	\$30	\$3,000
Manhole	1	EA	\$1,800	\$1,800
Waste Brine Tank 3000 gallons	1	EA	\$4,000	\$4,000
Concrete Tank Pad	75	Ft		\$1,500
Pilot Plant Study				\$7,600
Sewer Connection Fee				\$5,777
Total Construction Cost				\$431,030
Contingency	15%			\$64,662
IHS Project Technical Support	10%			\$43,108
Total Estimated Cost				\$538,800
Land for Ion Exchange Plan				\$80,000

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HYDROPNEUMATIC TANKS COMPONENT

Project Name: Infrastructure Improvement Plan – Phase 1
Component: Hydropneumatic Tank & Control System

PHASE 1

Hydropneumatic Tank & Control System	Quantity	Unit	Unit Price	Total
Demolition of Existing Hydropneumatic Tank	1	LS	\$10,000	\$10,000
Rental of Temporary Pressure Booster System	1	LS	\$8,000	\$8,000
Bladder Tank Installation	1	EA	\$20,000	\$20,000
Pressure Tank Pressure Switch	1	EA	\$500	\$500
Piping and Valves (1 tank only)	1	LS	\$2,500	\$2,500
Tank & Well SCADA System	1	LS	\$37,000	Phase II
BACKUP SOURCE SUBTOTAL				\$41,000
CONSTRUCTION CONTINGENCY 10%				\$4,100
IHS TECHNICAL SUPPORT 10%				\$4,100
TOTAL ESTIMATED PHASE 1 COST				\$49,200

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PRESSURE BOOSTERS COMPONENT

PROJECT NAME: Infrastructure Improvement Plan – Phase 1
COMPONENT: Pressure Boosters

Houses		Unit Cost		Total	
Boosters	4	\$	700.00	\$	2,800.00
Installation	4	\$	300.00	\$	1,200.00
Subtotal					4,000.00
IHS Technical Support (15%)					600.00
TOTAL					4,600.00

METERS COMPONENT

PROJECT NAME: Infrastructure Improvement Plan – Phase 1
COMPONENT: Touch Meters

PHASE 1					
Item	Units		Unit Cost		Total Budget Cost
Water Meters	50	\$	250.00	\$	12,500.00
Water Meter Installation	50	\$	50.00	\$	2,500.00
Water Meter Boxes	5	\$	500.00	\$	2,500.00
Water Meter Boxes Installation	5	\$	200.00	\$	1,000.00
Portable Handheld Touch-Read Unit	1	\$	6,600.00	\$	6,600.00
Meter Reading Management Software	1	\$	4860.00		4,860.00
Construction Sub- total					29,960.00
Project Contingency	15%				4,494.00
IHS Technical Support	10%				2,996.00
TOTAL BUDGET					37,450.00

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WELLHEAD PROTECTION COMPONENT (FENCING)

PROJECT NAME: Infrastructure Improvement Plan – Phase 1
COMPONENT: Wellhead Protection/Fencing

Environmental Protection Department		Unit Cost		total	
Environmental Director	20	\$	28.31	\$	566.00
Sr. Natural Resource Policy Advisor	10	\$	35.00	\$	350.00
Contractor Fencing Installation	1	\$	950.00		
	1	\$	250.00		8336.00
Other			758 Bid Package		748.00
TOTAL					10,000.00

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PROJECT ADMINISTRATION/OVERSIGHT/INDIRECT COST

PROJECT NAME: Infrastructure Improvement Plan – Phase II
COMPONENT: Administration/Oversight/Indirect Costs

Phase 1

Personnel	Calculation	Request
FTE Environmental Programs Director	\$28.31 x 120 hours	3,397
FTE Environmental Coordinator	\$22.00 x 100 hours	2,200
1 FTE Environmental Specialist II	\$18.91 x 4000 hours	75,640
Sr. Resource Policy Advisor	\$35.00 x 100 hours	3,500
GIS Specialist	\$18.91 x 20 hours	4,375
FTE Administrative Assistant	\$11.50 x 40 hours	460
Fringe Benefits		
FICA	0.0765	6,894
FUTA	0.018	1,622
SHS	0.0221	1,991
Health Insurance	\$363/mo x 1 FTE x 24 mos.	8,712
Vacation Liability	0.04	3,604
Retirement Benefits	0.01	901
Travel		
Local Travel	5,600 x .375	2,100
Supplies		
Departmental Supplies	485/mo x 24	1,560
Other		
Cell Phone	\$50/mo x 24 mos.	1,200
Communications/Maintenance, operations and repairs	Telephone, Internet, Mail etc.	3,890
Indirect Charges	9.94% of direct costs minus contractual and equipment	12,000

Indirect costs may be charged to the ICDBG program under a cost sharing plan prepared in accordance with OMB Circular A-21, A-87, or A-122 as applicable.

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Cost Summary

Indian Community Development Block Grant (ICDBG)

U.S. Department of Housing and Urban Development
Office of Public and Indian Housing

OMB Approval No. 2577-0191
(exp. 10/31/2009)

See Instructions and Public Reporting Statement on back.

1. Name of Applicant (as shown in Item 5, Standard Form 424)		2. Application/Grant Number (to be assigned by HUD upon submission)	
3. Original <input checked="" type="checkbox"/> (check here if this is the First submission to HUD)		Revision <input type="checkbox"/> (check here if submitted with implementation schedule after As part of pre-award requirements)	Amendment <input type="checkbox"/> (check here if submitted HUD approval of grant)
Date (mm/dd/yyyy)			
4. Project Name & Project Category (see instructions on back) a	ICDBG Amount Required For each activity b	Program Funds (in thousands of \$)	
		Other Source Amount For each activity c	Other Source of Other Funds For each activity d
Environmental Assessment	\$ 8,000.00	\$ 0.00	
Install Nitrate Treatment Plant	402,450.00	136,350.00	Tribe/Cash/Inkind
Land for Nitrate Treatment Plant	0.00	80,000.00	Tribe/Inkind
Install Hydropneumatic Tank	36,200.00	13,000.00	Tribe/Cash/Inkind
Install Pressure Boosters	3,400.00	1,200.00	Tribe/Cash/Inkind
Install Touch Meters	33,950.00	3,500.00	Tribe/Cash/Inkind
Wellhead Protection	0.00	10,000.00	EPA
5. Administration			
a. General Management and Oversight	109,000.00	13,046.00	Tribe/Cash
b. Indirect Costs: Enter indirect costs to be charged to the Program pursuant to a cost allocation plan.	12,000.00	0.00	
c. Audit: Enter estimated cost of Program share of A-133 audits.	0.00	0.00	
Administration Total *	121,000.00	13,046.00	
6. Planning The project description must address the proposed use of these funds.	0.00	0.00	
7. Technical Assistance Enter total amount of ICDBG funds Requested for technical assistance. **	0.00	0.00	
8. Sub Total Enter totals of columns b. and c.	\$ 605,000.00	\$ 257,096.00	
9. Grand Total Enter sum of column b. plus column c.			\$ 862,096.00

* The total of items 5 and 6 cannot exceed 20% of the total ICDBG funds requested.

** No more than 10% of ICDBG funds requested may be used for technical assistance. If funds are requested under this line item, a separate project description must accompany the application to describe the technical assistance the application intends to obtain. Only technical assistance costs associated with the development of a capacity to undertake a specific funded program activity are eligible (24 CFR 1003.206).

After completing this section applicants should answer the following questions:

- *Is information included that states the qualification of the individual preparing the budget?*
- *Does the cost estimate include supporting documentation?*

HUD Policy Priorities - The applicant should explain how the project addresses either of the following policy priorities: “Improving Our Nation’s Communities” or “Encouraging Accessible Design Features”. The narrative should also include the relationship between the project and the policy.

Improving Our Nation’s Communities includes:

1. Bringing private capital into distressed communities to:
 - a. Finance business investments to grow new businesses
 - b. Maintain and expand existing business
 - c. Create a pool of funds for new small and minority-owned businesses
 - d. Create decent jobs for low-income persons
2. Improving the environmental health and safety of families living in public and privately owned housing by:
 - a. Coordinating lead hazard reduction programs or weatherization activities funded by state and local government
 - b. Reducing or eliminating health related hazards in homes caused by toxic agents including: molds, allergens, carbon monoxide and other hazardous agents and conditions
3. Making communities more livable by:
 - a. Providing public and social services
 - b. Improving infrastructure and community facilities

NOTES:

The goal for “Encouraging Accessible Design” was new in the ICDBG program in FY 2008. This includes Visitability in new construction and substantial rehabilitation and Universal Design.

Visitability standards allow a person with mobility impairments access into the home but do not require that all features be made accessible.

Universal Design applies in the construction or rehabilitation of housing, entail establishments and community facilities. Universal design is the design of products and environments to be usable by all people to the greatest extent possible, without the need for adaptation or specialized design.

While completing this section applicants should answer the following questions:

- *Does my project relate to the HUD Policy Priority “Improving Out nation’s Communities”?*
- *Does my project relate to the HUD Policy Priority “Encouraging Accessible Design Features”?*

Participation in Energy Star activities includes:

1. Developing Energy Star promotional and informational materials
2. Providing outreach to low- and moderate-income renters and buyers about the benefits and savings of using Energy Star products and appliances.
3. Utilizing Energy Star-designated products in the construction or rehabilitation of housing units.
4. Replacing worn products or facilities such as light bulbs, water heaters, furnaces, and the like with Energy Star products to reduce operating costs

While completing this section applicants should answer the following questions:

- *Does my project relate to the HUD Policy Priority “Improving Our Nation’s Communities”?*
- *Which of the elements of the policy does my project address?*

NOTES:

- *Did I describe how my project relates to the policy?*

Commitment to Sustain Activities- The information included should document and demonstrate how the project will be sustained and provide on-going benefits to the community. The information provided must be sufficient to determine that the project will proceed effectively and that the investment of funds in the project will have long-term, positive impacts. The information to be included in the application will vary based on the type of project. Each project type is discussed separately.

Public Facilities and Improvement Projects - The narrative should identify who will assume responsibility for the operation and maintenance of the public facilities and improvements.

If the tribe is assuming responsibility for the operation and maintenance of the public facilities and improvements it must provide a written statement that it has adopted an O&M plan and commits the necessary funds to provide for these responsibilities. In addition, applicants must describe how the operation and maintenance plan addresses maintenance, repairs, insurance, security and replacement reserves and include a cost breakdown for annual expenses.

If an entity other than the tribe commits to pay for operation and maintenance for the public facilities, applicants should include “a written statement that the entity has developed the operation and maintenance plan and commits the necessary funds to provide for these responsibilities. In addition, describe how the operation and maintenance plan addresses maintenance, repairs, insurance, security, and replacement reserves.”

For public facility buildings, a commitment is included that identifies the source of, and commits the necessary operating funds for any recreation, social or other services to be provided. In addition, the applicant should include letters of commitment from service providers that address both the operating expenses and space needs.

New Housing Construction, Housing Rehabilitation, and Homeownership Assistance Projects - The narrative should provide information on the on-going maintenance responsibilities. The specific

NOTES:

responsibilities of both the tribe and participants should be addressed in specific detail. The following documents should also be included in the application:

- Statement to be signed by the participant as a condition of receiving grant assistance, if applicable. The statement would include the participants' specific maintenance responsibilities.
- Tribal resolution or letter of commitment from the entity assuming responsibilities for on-going maintenance, as applicable.

An application could also include the following information:

- Summaries of existing maintenance policies
- Sample homebuyer/tenant outreach information

Economic Development Projects - Provide information that demonstrates the financial viability of the project. If a business plan has been prepared for the project, it will contain much of the information to be included in this section of the application.

- Provide information on the organizational system and capacity of the entity operating the business. This information can be found in the entity's business plan and includes assets of the entity, qualifications of the management team, organizational structure, and other information specific to the entity.
- Document the separation of government functions from business operating decisions. The provision of articles of incorporation and bylaws of the venture verify the separation of government functions from business operating decisions.
- Describe the operating plan for the project. The operating plan provides information about all aspects of the business including management, sales, and production of goods or provision of services. The operating plan can be supported by the business plan.
- Provide information on the feasibility study and market analysis of the proposed business activity. The feasibility and market study for the

NOTES:

business can support the information. The feasibility study should indicate how the proposed business will capture a reasonable share of the market. Both studies should be current (no more than two years old) and conducted by an independent entity.

- Other required information to include in the application:
 - Detailed cost summary for the development of the project
 - Five-year operating or cash flow financial projections
 - Copies of the financial statements for the most recent three years (or the life of the business, if less than three years), if the project is the expansion of an existing business.

The project's chance for success will be evaluated. The applicant must address *the following information to meet this requirement:*

- *Does the business plan seem thorough and does the organizational structure have quality control and responsibilities for the completion of key activities built in?*
- *Does the business plan or market analysis indicate that a substantial market share is likely within five years?*
- *Do the costs appear reasonable given projected income and information about inputs?*
- *Does the business plan or cash flow analysis indicate that cash flow will be positive within the first year?*
- *Does the auditor's financial statement specify that there are no irregularities or other indications of concern?*

Microenterprise Programs - The narrative should include a description of the overall plan for program operations. The description should include the following:

- A description of the microenterprise program including the types of assistance offered to microenterprise applicants.
- Types of services the program will offer and the methods for providing the services
- Types of entities that will be eligible for the service

NOTES:

- The process for analyzing the participants' business plans, market studies, and financial feasibility
- The process for determining the loan terms to be offered to the participants if lending activities are to be part of the project

Land Acquisition Projects to Support New Housing - The application must include the results of a preliminary investigation conducted by a qualified independent entity. The investigative report must document that the:

- Site has suitable soil conditions for housing and related infrastructure
- Site has potable drinking water accessible for a reasonable cost
- Site has access to utilities
- Site has vehicular access and drainage
- Site is located near social and community services
- Site has no known environmental problems

For sites that do not have all of the necessary infrastructure, include specific information on the resources to be used and the implementation schedule for development of the infrastructure for the housing project.

After completing this section, applicants should answer the following questions, keeping in mind the applicable specific project area.

- *Does the application clearly outline the tribe's commitment to sustaining or increasing the community's viability through the project?*
- *Is there suitable documentation (depending on project type) that speaks to this commitment?*
- *Does the application clearly define the processes, policies and other necessary documentation that are in place (or will be developed) to ensure sustainability?*

NOTES:

PARTICIPANT WORK ACTIVITY SIX
Rating Factor Three – Soundness of Approach

Project Selected In Activity 3: _____

- Housing Rehabilitation
- Land Acquisition
- New Housing Construction
- Homeownership Assistance
- Public Facilities and Improvements
- Economic Development
- Microenterprise
- Other _____

Description of and rationale for the proposed project

Describe why the project is a viable and cost effective approach to address the community's problems identified in activity 5.

<p>NOTES:</p>

List two pieces of information that can be included in the application that demonstrate how the project resolves the problems identified in activity 5.

1. _____
2. _____

Budget and cost estimates

Develop the line item budget for one project activity.

Project Activity: _____

Line Item	ICDBG Funds	Non ICDBG Funds	Total
Total			

List the qualifications of the individual(s) that prepared the budget.

List three individuals to review the budget.

1. _____
2. _____
3. _____

NOTES:

HUD policy priorities

Explain how the project addresses the either HUD policy priority “Improving Our Nation’s Communities” or “Energy Star”

Commitment to sustain activities

Explain how the project will be sustained (the methods used will depend on the project proposed).

List two pieces of information or documentation to include in the application that will demonstrate the sustainability of activities or project benefits.

1. _____
2. _____

<p>NOTES:</p>

F. RATING FACTOR FOUR – LEVERAGING RESOURCES

The information included in this section should **document** the resources that will be committed for the proposed project.

The information should also **describe** how the funds will be used in the performance of the project and specify the amount from each source. When the amount from each source is stated, documentation must be provided showing how the value was established if the contribution is not cash. Letters and other sources of documentation for both firm and potential commitments from the source must also be included in the application.

Listed below are examples of documentation for different sources of leveraged funds.

- Tribal trust funds. Tribal resources – a written statement that identifies and commits the tribal resources to the projects.
- Loans from individuals, organizations, private foundations, or businesses. Documentation would be a signed letter of commitment or a fully executed loan agreement.
- State or Federal loans or guarantees. Documentation would be a letter of commitment, loan agreement, or other appropriate legal document.
- Other grants. Documentation would be the grant award document and the terms and conditions that relate to the project.
- Indian Housing Block Grant (IHBG). Documentation would be the Indian Housing Plan (IHP) or if it is not in the current plan, a tribal resolution or legal equivalent that commits the IHBG resources.
- Donated goods and services needed for the project. Documentation would be a letter from the donor. To establish the value of donated services, include supporting information such as the company or business current invoices to clients other than the applicant. To establish the value of donated goods, supporting information could include certification from an appropriate professional such as an accountant.
- Land used for leverage. Only value the land that is necessary for the project. Documentation would be an appraisal, realtor value guide, or

NOTES:

data on recent land sales. Land valuation must be established using one of the following methods:

- A site-specific appraisal no more than two years old
- An appraisal of a nearby comparable site also no more than two years old
- A reasonable extrapolation of land value based on current area realtor value guides
- A reasonable extrapolation of land value based on recent sales of similar properties in the same area

Points for leveraging are awarded based on the percentage of non-ICDBG resources that make up the proposed total project cost.

After completing this section, applicants should answer the following questions:

- *Have I stated the source for each of the leveraged funds identified in the application?*
- *Have I provided information on how the leveraged funds will be used and why the funds are necessary for the project?*
- *Have I provided the appropriate documentation of commitment and value for each source?*

NOTES:

PARTICIPANT WORK ACTIVITY SEVEN

Rating Factor Four – Leveraging Resources

Project Selected In Activity 3: _____

- Housing Rehabilitation
- Land Acquisition
- New Housing Construction
- Homeownership Assistance
- Public Facility/Improvements
- Economic Development
- Microenterprise
- Other _____

Identify four sources of leveraged resources for the project; include the amount for each source and the type of documentation for each source.

Source	Amount	Documentation
1.		
2.		
3.		
4.		

Calculate the percentage of leveraged funds for the project. _____%

NOTES:

G. RATING FACTOR FIVE – COMPREHENSIVENESS AND COORDINATION

Applicants should clearly explain how they have coordinated with tribal departments and other entities that are not providing direct financial support to the project to meet community needs in a holistic and comprehensive manner. The section also includes information on the project outputs and outcomes.

Planning and Coordination - Applicants must **describe** the intra- and inter-organizational coordination that led to the design and development of the project. The application also should explain those organizations' interests in and relationship to the project goal. This can be accomplished by:

- providing information on the types of coordination activities specific to the project. This could be through monthly meetings of department directors, quarterly meetings with groups that provide services to the same populations, and/or special meetings to work on specific projects.
- providing a list of the tribal departments, organizations, governmental units, and businesses that are part of the coordination activities for the project.
- providing information on the roles of each of the entities identified above.
- presenting the interrelationship between the goal of the project and the goals of each of the entities

Measurable Outputs and Outcomes to Enhance Community Viability-

The applicant must provide planned, estimated measurable outputs and outcomes for the project.

Outputs must include, where applicable:

- Number of houses rehabilitated
- Number of jobs created or obtained
- Square feet for any public facility
- Number of education or job training opportunities provided
- Number of homeownership units constructed or financed
- Number of businesses assisted including the number that are minority or Native American owned

NOTES:

- Number of families proposed to be assisted with drug-elimination or health-related hazards elimination programs

Outcomes must include, where appropriate:

- Reduction in the number of families living in substandard housing
- Increased income resulting from employment generated from the project
- Increased quality of life due to services provided by the public facility
- Increased economic self-sufficiency of recipients or program beneficiaries
- An increase in the homeownership rate
- Reduction of drug-related crimes or health-related hazards

After completing this section applicants should answer the following questions:

- *Have you provided information on the process for coordination with other entities?*
- *Have you listed all of the entities with whom you have coordinated and their roles?*
- *Have you shown how the goals of the project are related to and support the goals of the other entities?*
- *Have you quantified each of the project outputs and outcomes?*

NOTES:

PARTICIPANT WORK ACTIVITY EIGHT

Rating Factor Five – Comprehensiveness and Coordination

Project Selected In Activity 3: _____

- Housing Rehabilitation
- Land Acquisition
- New Housing Construction
- Homeownership Assistance
- Public Facility/Improvements
- Economic Development
- Microenterprise
- Other _____

Planning and coordination

List four groups with whom you coordinated on the project, the coordinated activities, and the interest that each group has in the project goal.

Group	Coordination Activities	Relationship To Project Goal
1.		
2.		
3.		
4.		

NOTES:

Measurable outputs and outcomes to enhance community viability

List two outputs of the project

- 1. _____
- 2. _____

List two outcomes of the project

- 1. _____
- 2. _____

List the other three rating factors for which you had to state outputs and outcomes.

- 1. _____
- 2. _____
- 3. _____

Are your outputs and outcomes consistently stated in all four areas? _____

NOTES:

The following table summarizes the FY 2008 current point system for the five rating factors.

RATING FACTOR	TITLE	POINTS	PROJECT TYPE
1	CAPACITY OF THE APPLICANT	30	Minimum of 15 Points Required
1	Managerial, Technical and Administrative	15 or 30*	
1.a.	Managerial and Technical Staff	8	All Project Types
1.b.	Project Implementation Plan	3 or 8*	All Project Types
1.c.	Financial Management	2 or 7*	All Project Types
1.d.	Procurement and Contract Management	2 or 7*	All Project Types
2.	Past Performance	15 or 0*	
2.a.	Implementation Schedule	3 or 0*	All Project Types
2.b.	Reports	3 or 0*	All Project Types
2.c.	Close-outs	3 or 0*	All Project Types
2.d.	Audits	3 or 0*	All Project Types
2.e.	Findings	3 or 0*	All Project Types
2	NEED/EXTENT OF THE PROBLEM	16	
1	Need and Viability	4	All Project Types
2	Project Benefit	12	All Project Types
2.a.	Public Facilities and Improvement Projects	12	Public Facilities and Improvement Projects
2.b.	Economic Development Projects	12	Economic Development Projects
2.c.	New Housing Construction, Housing	12	New Housing Construction, Housing Rehabilitation, Land Acquisition to
2.d.	Microenterprise Programs	12	Microenterprise Programs

RATING FACTOR	TITLE	POINTS	PROJECT TYPE
3	SOUNDNESS OF APPROACH	36	
1	Description of and Rationale for Proposed	13	All Project Types
2	Budget and Cost Estimates	8	All Project Types
3	HUD Policy Priorities	1	All Project Types
4	Intent to Meet Section 3 Requirements	2	All Project Types
5	Commitment to Sustain Activities	12	
5.a.	Public Facilities and Improvement Projects	12	Public Facilities and Improvements
5.b.	New Housing Construction, Housing	12	New Housing Construction, Housing Rehabilitation, and Homeownership
5.c.	Economic Development Projects	12	Economic Development Projects
5.d.	Microenterprise Programs	12	Microenterprise Programs
5.e.	Land Acquisition Projects to Support New Housing	12	Land Acquisition to Support New Housing
4	LEVERAGING RESOURCES	8	All Project Types
5	COMPREHENSIVENESS AND COORDINATION	10	All Project Types
1	Coordination	2	All Project Types
2	Outputs, Outcomes and/or Goals	8	All Project Types
TOTAL		100	Minimum of 70 Points Required

**The first number listed indicates the maximum of points available to current applicants and the second number represents the maximum number available to new applicants.*

H. INTERNAL APPLICATION REVIEW

There are many benefits to conducting an internal review of the application before you submit it. The application internal review can provide three perspectives for review of the material. Each perspective is important, adds value and increases the likelihood of funding.

The first step in the internal application review is to establish the review team. Quality reviews require an “expert pair of eyes” and take time. Identify these “experts” early in the application development process to allow the reviewers to schedule time for the review. Both internal and external resources should be considered. Internal resources could include:

- Planning director
- Director of a department that serves the same population
- Staff grant writers who were not the authors of the application

External resources include:

- A strategic partner identified within the project
- Other tribes’ or organizations’ grant writers or planners
- Consultants

The initial meeting of the internal review team is critical to the quality of the internal review. At the initial meeting, provide team members with the NOFA and discuss the information contained in the NOFA. Also discuss the process for the internal review; provide tools (NOFA checklist) to assist them in conducting the review, and specify the information to be provided by the internal review team members.

The internal review team should include at least one internal or applicant staff member and one external reviewer. The size of the team will determine the amount of time that will need to be scheduled for the review, analysis of recommendations, and selection of recommendations to be incorporated in the review. The review time must be identified and planned for in the application development schedule. Be sure to schedule time for meetings with the review team, review of the application by team members, analysis of recommendations, and time to make changes to the application.

NOTES:

Internal Review Perspectives

The review team should not only focus on the content of the application, but also on three specific areas that are very important to ONAP staff as they carry out the application assessment and rating process. These areas are organization and completeness, readability and comprehensiveness, and point assignment.

1. Organization & Completeness

Organize the application exactly as it will be organized for submission. This will include:

- Using tabs for each rating factor and rating sub factor (most applicants will be submitting applications electronically and should otherwise demarcate sections)
- Numbering each page consecutively. Page numbers should be located on a table of contents as close to the front of the application as appropriate to provide a guide to finding key application information and the supporting documentation being submitted.
- Providing all supporting documentation that will be included in the application

Each year's NOFA usually provides a checklist for applicants to use. Use this checklist as part of the internal review. This will allow reviewers to verify that all needed information is contained within the application. Failing to attach a required form or supporting documentation or addressing an issue contained within the NOFA may prevent your application from receiving valuable rating points. Often, after reading and re-reading a NOFA, applicants can feel like they understand every aspect of the application. However, it is easy to overlook critical components of the application, including assurances, certifications, and required statements. Be sure to read each factor line by line to ensure that you have addressed what is requested. Did you "describe", "document", "adopt", etc., when required?

NO missing document or additional clarifying information can be added after the application has been submitted, so the assuring of completeness is a critical component of the review.

NOTES:

2. Readability & Comprehensiveness

All grant writers need to be sure that they have effectively communicated their intended message. Having a different set of eyes read the application helps to ensure that the correct message is being transmitted. To do this, the application should be reviewed to ensure that such issues as the community problem and the solution to the problem are clearly and completely presented.

For example, in describing staff experience, which example conveys the best message?

Our staff has experience in managing new housing programs.

or

Our staff has more than ten (10) years' experience in each element of new housing development including: land purchase, housing design, and construction.

Applications must be both comprehensive as well as concise. The 2008 NOFA recommends that all applicants limit their narrative explanations to 15 pages for all factors. Proposal writers understand that there is only one opportunity to be considered for funding, and that opportunity occurs when the application is being reviewed. Therefore, everything necessary for the reviewers to determine that your project meets the NOFA funding criteria must be clearly and concisely presented in the application. An internal review helps to ensure that both these objectives are met.

3. Point Assignment

When the draft application is sent to the internal review team, let team members know that you look forward to their critical evaluation of the draft. Conducting a preliminary rating of the application will identify strengths and weaknesses of the application.

Provide each member of the review team with a scoring sheet that details each rating criterion, the subfactors contained within the criterion, and the points assigned to each subfactor. The estimation of points by the internal review team will provide valuable information for use in making changes to the application prior to submission.

NOTES:

By having a *variety* of professionals review and provide feedback on the application, the applicant can help to ensure the application is organized, complete, thorough and concise.

I. TECHNICAL DEFICIENCIES AND PRE-AWARD REQUIREMENTS

Technical Deficiencies. If there are technical deficiencies in successful applications, they must be satisfactorily addressed before HUD can make a grant award. The applicant may be contacted to clarify an item in the application or to correct technical deficiencies. The applicant will not be contacted to provide clarification of items or responses that improve the substantive quality of the response to any rating factors. The applicant may be contacted to ensure proper completion of the application. Examples of correctable technical deficiencies include failure to submit proper certifications or failure to submit an application signed by an authorized official. Consistent with 24 CFR part 4, subpart B, HUD may not consider any unsolicited information the applicant may want to provide in its response to HUD's request for technical deficiency correction.

HUD will notify applicants of any request for technical deficiency correction requirements by fax or the U.S. Postal Service. Clarifications or corrections of technical deficiencies must be submitted within 14 calendar days of the date of receipt of the HUD notification. If the deadline falls on a Saturday, Sunday or federal holiday, responses must be received by HUD on the next day that is not a Saturday, Sunday or federal holiday. If the technical deficiency is not corrected within the time period, HUD will reject the application as incomplete and it will not be considered for funding.

Pre-award Requirements. Before a grant agreement can be executed, successful applicants may be required to provide supporting documentation concerning the management, maintenance, operation, or financing of proposed projects. Such documentation may include additional specifications on the scope, magnitude, timing, or method of implementing the project, or information to verify the commitment of other resources required to complete, operate, or maintain the proposed project. Applicants will be provided 30 calendar days to respond to the requirements. **No extensions will be provided.** If a response is not received within the time period or the response is insufficient, the Area ONAP will determine that the applicant has not met the requirements and will withdraw the grant offer.

NOTES:

J. SUMMARY

The first step in the application process is to meet initial and threshold requirements for review of the application. Care must be taken to ensure that the application is submitted in a timely manner, that the project complies with the primary objective of the ICDBG program, that the project is an eligible activity, that the amount requested does not exceed the ceiling, and that all required components are contained in the application. The threshold requirements must be reviewed carefully to ensure that the project complies with the appropriate requirements.

Each rating factor has assigned point values and a successful application addresses each rating factor completely. Factor One requires information about the capacity of the applicant. The components of rating Factor One include managerial, technical, and administrative capacity and responsibilities; project implementation plan and program evaluation; financial management; procurement and contract management; and past performance, if applicable. Rating Factor Two requires documentation demonstrating that the project meets an essential community development need/community problem and that the project benefits the neediest segment of the population. Rating Factor Three requires that the applicant describe the proposed project outcomes and show how those outcomes would result in sustainable community benefits and reduce or eliminate the community problems documented in Factor Two. The components of Rating Factor Three include a description of and rationale for the proposed project, budget and cost estimates, relationship of the project to the HUD policy priorities, and a commitment to sustain activities. Rating Factor Four addresses the leveraged resources brought to the project by the applicant and its partners. Rating Factor Five components include information on the planning and coordination that resulted in project design and development and a description of the measurable outputs and outcomes that will result from the project and that will enhance community viability.

If the project is successful, there may be technical deficiencies that must be addressed to enable the making of a grant award. The technical deficiencies must be responded to within 14 calendar days from notification by HUD of the deficiencies. The last activity might be pre-award conditions which must be addressed within 30 calendar days.

NOTES:

SAMPLE INTERNAL REVIEW WORKSHEET

Rate each of the areas of the application.

Factor	Organization and Completeness	Readability and Comprehensiveness	Comments
Factor 1 - Capacity of the Applicant			
Managerial, technical, & administrative			
Project implementation plan & program evaluation			
Financial management			
Procurement & contract management			
Past performance			
Factor 2 - Need/Extent of the Problem			
Documentation of community problem and that project addresses problems			

NOTES:

Project benefits neediest population			
Factor 3 - Soundness of Approach			
Description of & rationale for project			
Budget & cost estimates			
HUD policy priorities			
Commitment to sustain activities			
Factor 4 - Leveraging Resources			
Factor 5 - Comprehensive-ness and Coordination			
Planning & coordination			
Measurable outputs & outcomes			

NOTES:

List Overall Strengths of the Application: _____

List Overall Weaknesses of the Application: _____

Recommendations: _____

NOTES: