



American Recovery and Reinvestment Act of 2009

Department of Housing and Urban Development

Program-Level Plan

Indian Community Development Block Grants (Formula)

a. FUNDING TABLE:

ACTIVITY	FUNDING LEVEL
Improve or add to housing stock, provide community facilities, improve infrastructure, and expand job opportunities by supporting economic development of the communities, especially by nonprofit tribal organizations or local development corporations	\$10,000,000.00
Deliver training, technical assistance, monitoring, enforcement, research and evaluation activities	\$477,950.00

b. OBJECTIVES:

HUD's Recovery Act funds support three themes that align with the broader goals of the Recovery Act: (1) promoting energy efficiency and creating green jobs, (2) unlocking the credit markets and supporting shovel-ready projects, and (3) mitigating the effects of the economic crisis and preventing community decline. HUD's overriding objective in support of these goals is the creation and preservation of jobs.

The Recovery Act includes a \$10 million appropriation for the Indian Community Development Block Grant Program (ICDBG). The primary purpose of the ICDBG program is the development of viable Indian and Alaska Native communities, including decent housing, a suitable living environment and economic opportunities, principally for low- and moderate- income persons.

The expected benefits of ICDBG are to reduce greenhouse gas emission, decrease consumer energy costs, increase the quality and longevity of Native American housing stock, unlock private lending, and create or preserve jobs.

c. ACTIVITIES:

Kinds and scope of projects and activities to be performed: Indian tribes and Alaska Native villages may use block grants to improve housing stock, provide community facilities, make infrastructure improvements, and expand job opportunities by supporting the economic development of their communities. Activities which are eligible for funding include housing construction, rehabilitation, acquisition of land for housing, direct assistance to facilitate homeownership among low- and moderate-income persons, construction of tribal and other facilities for single or multi-use, streets and other public facilities, and economic development projects.

Project/Activity: Improve or add to housing stock, provide community facilities, improve infrastructure, and expand job opportunities by supporting economic development of the communities, especially by nonprofit tribal organizations or local development corporations.

Description: Activities support new housing construction (if carried out by a community-based develop-





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ment organization), rehabilitation of existing housing, land acquisition to support new housing and public facilities, assistance to households to become homeowners, community buildings and other public facilities (including energy conservation activities), economic development activities, microenterprise development and neighborhood revitalization

Funding: \$10,000.000.00

Project/Activity: Deliver training, technical assistance, monitoring, enforcement, research and evaluation activities.

Description: HUD will hire staff, build systems and capacity and work with grantees to ensure effective and efficient implementation.

Funding: \$477,950.00

d. CHARACTERISTICS:

Type of Financial Award: B - Project Grants

Funding Amount: \$10,000,000.00

Methodology for Award Selection: In accordance with the Recovery Act, these competitive grants will be awarded to those entities receiving Indian Community Development Block Grant funds in FY 2008.

Type(s) of Recipients: Government - Federal Recognized Indian Tribal Governments, Non-Government - Individual/Family, Non-Government - Minority Group, Non-Government - Quasi-Public Nonprofit Institution/Organization, Non-Government - Native American Organization

Type(s) of Beneficiaries: Federally Recognized Indian Tribal Governments, Minority group, Individual/Family, Indian/Native American Tribal Government (Federally Recognized), Indian/Native American Tribal Government (Other than Federally Recognized), Indian/Native American Tribal Designated Organization, Quasi-public nonprofit organization Native American Organizations American Indian, Unemployed, Senior Citizen (60+), Moderate Income, Low Income, Rural

Estimated dollar amount of Federal in-house activity: \$477,950.00

e. DELIVERY SCHEDULE:

Milestone Description: The key milestones for the competitive grants include issuing the Notice of Funding Availability (NOFA), the application deadline, the funding awards, the obligation of funds by grantees, and the expenditure of funds by grantees.

Milestone: HUD obligates 100% of funds to grantees



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Expected Completion Date: 9/30/2009

Milestone: Grantees obligate 100% of funds

Expected Completion Date: 9/30/2010

Milestone: Grantees spend 100% of funds

Expected Completion Date: 11/30/2012

f. ENVIRONMENTAL REVIEW COMPLIANCE:

AREA OF COMPLIANCE	ACTIVITY
Compliance with National Environmental Policy Act (NEPA)	Grantees will comply with NEPA if required. Activities will depend on the type of project.
Compliance with National Historic Preservation Act and related statutes	Grantees will comply with NHPA if required. Activities will depend on the type of project.
Milestones dependent on environmental review process	Yes.
Potential impact of environmental reviews on project implementation	The need for environmental reviews may require additional time to implement projects.

g. MEASURES:

All targets for job creation and retention and units developed and rehabilitated do not take into consideration the fact that additional funds may be leveraged, which may understate our projections. HUD is continuing to identify and evaluate the impact of leveraged funds on its targets.

Measure: Funds obligated by grantees

Measure Type: Efficiency

Measure Frequency: Quarterly

Direction of Measure: Increasing

Unit of Measure: Dollars

Explanation of Measure: Quantifies efficiency and timeliness by measuring the dollar amount of funds obligated by grantees on a quarterly basis.

Actual: TBD



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Goal Lead: Ed Fagan

Measurement Methodology: HUD will collect Quarterly Recipient Reports from grantees.

How result will be readily accessible to the public: This data will be made available on HUD.gov/Recovery.

2009 Projections			2010 Projections		
<u>Original Program Target</u>	<u>Revised Program Target</u>	<u>Target (incremental change in performance)</u>	<u>Original Program Target</u>	<u>Revised Program Target</u>	<u>Target (incremental change in performance)</u>
\$62,000,000	\$67,000,000	\$5,000,000	\$62,000,000	\$67,000,000	\$5,000,000

Measure: Funds expended by grantees

Measure Type: Efficiency

Measure Frequency: Quarterly

Direction of Measure: Increasing

Unit of Measure: Dollars

Explanation of Measure: Quantifies efficiency and timeliness by measuring the dollar amount of funds expended by grantees on a quarterly basis.

Actual: TBD

Goal Lead: Ed Fagan

Measurement Methodology: HUD will collect Quarterly Recipient Reports from grantees.

How result will be readily accessible to the public: This data will be made available on HUD.gov/Recovery.

2009 Projections			2010 Projections		
<u>Original Program Target</u>	<u>Revised Program Target</u>	<u>Target (incremental change in performance)</u>	<u>Original Program Target</u>	<u>Revised Program Target</u>	<u>Target (incremental change in performance)</u>
\$62,000,000	\$62,000,000	\$0	\$62,000,000	\$63,000,000	\$1,000,000

Measure: Number of Jobs Created or Retained

Measure Type: Output

Measure Frequency: Quarterly

Direction of Measure: Increasing

Unit of Measure: FTEs



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Explanation of Measure: Tracks the number of jobs created or retained through Program activity each quarter.

Actual: TBD

Goal Lead: Ed Fagan

Measurement Methodology: HUD will collect Quarterly Recipient Reports from grantees.

How result will be readily accessible to the public: This data will be made available on HUD.gov/Recovery.

2009 Projections			2010 Projections		
Original Program Target	Revised Program Target	Target (incremental change in performance)	Original Program Target	Revised Program Target	Target (incremental change in performance)
N/A	N/A	0	N/A	N/A	8

Measure: Number of Affordable Housing Units Rehabilitated

Measure Type: Output

Measure Frequency: Quarterly

Direction of Measure: Increasing

Unit of Measure: Housing Units

Explanation of Measure: Measures Program success in contributing to HUD's goals of supporting shovel-ready projects and increasing the quality of housing stock by tracking the number of affordable housing units rehabilitated each quarter.

Actual: TBD

Goal Lead: Ed Fagan

Measurement Methodology: HUD will collect Quarterly Recipient Reports from grantees.

How result will be readily accessible to the public: This data will be made available on HUD.gov/Recovery.

2009 Projections			2010 Projections		
Original Program Target	Revised Program Target	Target (incremental change in performance)	Original Program Target	Revised Program Target	Target (incremental change in performance)
254	254	0	254	254	0

Measure: Number of Affordable Units Receiving Energy Conservation/Green Improvements



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Measure Type: Output

Measure Frequency: Quarterly

Direction of Measure: Increasing

Unit of Measure: Housing Units

Explanation of Measure: Measures Program success in contributing to HUD's goals of supporting shovel-ready projects and increasing the quality of housing stock by tracking the number of units receiving energy conservation/green improvements each quarter.

Actual: TBD

Goal Lead: Ed Fagan

Measurement Methodology: HUD will collect Quarterly Recipient Reports from grantees.

How result will be readily accessible to the public: This data will be made available on HUD.gov/Recovery.

2009 Projections			2010 Projections		
<u>Original Program Target</u>	<u>Revised Program Target</u>	<u>Target (incremental change in performance)</u>	<u>Original Program Target</u>	<u>Revised Program Target</u>	<u>Target (incremental change in performance)</u>
127	127	0	127	127	0

Measure: Number of Buildings Built

Measure Type: Output

Measure Frequency: Quarterly

Direction of Measure: Increasing

Unit of Measure: Structures

Explanation of Measure: Measures Program success in contributing to HUD's goals of supporting shovel-ready projects and preventing neighborhood blight by tracking the number of public facility buildings constructed each quarter using CDBG funds.

Actual: TBD

Goal Lead: Ed Fagan

Measurement Methodology: HUD will collect Quarterly Recipient Reports from grantees.

How result will be readily accessible to the public: This data will be made available on HUD.gov/Recovery.



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2009 Projections			2010 Projections		
Original Program Target	Revised Program Target	Target (incremental change in performance)	Original Program Target	Revised Program Target	Target (incremental change in performance)
47	47	0	47	47	0

h. MONITORING AND EVALUATION:

(1) Data Collection and Reporting

- a. Spend Plans: An eligible applicant must submit an application in response to a Notice of Funding Available. The applications contain information on their proposed project including timeframes for project implementation. The Area Office of Native American Programs (ONAP) will rate and rank the application. If funded, but before gaining access to funds, the grantees must execute a grant agreement with special conditions related to the Recovery Act.
- b. Financial Reports: HUD has two financial reports that will be generated and analyzed on a weekly basis. These include a Summary Financial Report that indicates the amount of funds for each program, and a Funding Notification Report, which shows the amount of funding by program for every jurisdiction, including local governments and some states.
- c. Quarterly Recipient Reports: The cornerstone of HUD's monitoring and evaluation system is the project and contract data collected from grantees. The Recovery Act specifically requires data collection fields for grantees and contractors. In addition to these data, HUD will also collect program-specific measures from grantees (e.g., number of units rehabilitated, etc.).
- d. Sample Survey of Outcomes: There is no planned survey of outcomes for this program.

(2) Ongoing Grantee Management:

HUD categorizes grantees by risk, then monitors and works with grantees to resolve performance issues, including providing training, technical assistance, and, if warranted, enforcement actions. Findings of non-compliance will trigger the remedial process. High-risk grantees are those that are in the process of having remedies imposed. Both remote and on-site monitoring are available options, pursuant to regulations. To ensure timely expenditure of funds, ONAP tracks disbursements through its systems. To ensure quality expenditure of funds, ONAP regularly monitors activities at the project level through the review of data and information submitted. Follow-up will occur on issues or matters of concern that are discovered. To ensure budget and cost compliance grantees submit to regular audits. Quarterly reports will be reviewed to verify expenditure and obligation rates. To ensure legal compliance and prevent fraud, all activities under this grant will be tracked for compliance with statutory, regulatory, and administrative requirements by the ONAP Headquarters Grants Evaluation staff through the use of regular risk assessment tools, such as the use of the Annual Status and Evaluation Report, Form SF-272-Federal Cash Transaction Report, and OMB Circular A-133 audits. If





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necessary, enforcement actions will occur and categorical training and technical assistance will be offered to resolve specific problems. Enforcement actions for non-compliance include shutting down access to funds, letters of warning, notices of intent to impose remedies, and imposition of sanctions pursuant to 24 CFR §§ 1003.701, 1003.702, 1003.703. Remedies can be triggered if HUD determines that the grantee has not complied with the statute or regulations, has not carried out the activities as described in its applications, has not made substantial progress on the funded project, or has not shown the continuing capacity to carry out its approved activities. Grants will not be awarded to tribes with remedies currently imposed.

(3) Longer Term Evaluation and Research: There is no planned long-term evaluation of this program.

i. and j. TRANSPARENCY AND ACCOUNTABILITY:

With respect to reporting, OMB has issued detailed guidance on the requirements for recipients of the Recovery Act funds. Specifically, each prime and first tier recipient is required to report specified information to HUD 10 days after the end of each calendar quarter. This includes but is not limited to a detailed list of all projects and activities for which Recovery Act funds were obligated or expended, an evaluation of the completion status of the project or activity, and an estimate of the number of jobs created or retained. In addition to the overarching requirements of the Recovery Act, HUD has also identified a number of program-specific measures that will be collected through this reporting process.

HUD expects that the transparency requirements of the Recovery Act, specifically the requirement to publish both spending and recipient performance reports, will create accountability amongst its managers and grantees. That said, HUD will establish additional internal management controls to create a greater level of accountability for performance. The HUD Recovery Act program management team will work with the leads of the program and cross-cutting teams to prepare a bi-weekly program snapshot report for the steering committee to review with the Deputy Secretary and Secretary. Drawing from the program and risk management plans, the reports will include summary-level quantitative financial and programmatic performance measures and targets, key milestones, and issues or risks. Interim spending and performance targets will be set to ensure that annual objectives from the program plans are met. Performance data will be summarized by grantee risk category, as defined in the agency's risk management plan. Performance measure targets and milestones that are missed, or that are in jeopardy of being missed, will be accompanied by an explanation of the reasons why, including any issues affecting progress and the specific plan for their resolution or mitigation. The report will also identify specific grantees with performance issues, and summarize the actions being taken to address them. In addition to the bi-weekly reporting, each program team will meet with the Secretary, Deputy Secretary and Steering Committee on a monthly basis to review a more detailed set of Recovery Act performance measures. On a quarterly basis, these monthly meetings will include updated grant recipient data described above.



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k. BARRIERS TO EFFECTIVE IMPLEMENTATION:

Phase	Barrier/Concern	Proposed Solution	Targeted Resolution Date
Pre-Implementation	<p><u>Time Constraints:</u></p> <p>Remote locations of many tribal and Alaska Native communities increase the time and expense of obtaining materials. There is also a small window of opportunity to complete the projects (due to extreme weather and geographic location) impeding the ability to expend funds timely.</p>	<p>Grant recipients are experienced in addressing these issues, and have developed systems and processes unique to rural Alaska in order to get the jobs done. HUD program officials will work with the Grant recipients to ensure ARRA funding and the time constraints for expenditures are fully complied with and understood.</p>	On-going
Post-Implementation	<p><u>Systems Capability:</u></p> <p>Performance Tracking Database (PTD) is being modified to address the implementation scheduling of funds.</p>	<p>Modifications to PTD will include provisions to address the implementation scheduling for one, two, and three years obligation, expenditure of funds, and reporting as required under the Act.</p>	July 2009

I. FEDERAL INFRASTRUCTURE INVESTMENTS:

This program does not invest in Federal infrastructure. However, for HUD's programs that include construction or rehabilitation or are Federal investments in privately owned housing: New buildings and major renovations financed through formula grants are required to meet local energy codes. New construction and major renovations financed through some competitive grant programs will, in the case of single family homes, be built to the standard for Energy Star for New Homes (15 percent more efficient than the 2004 International Residential Code); or in the case of multifamily buildings to exceed ASHRAE (American Society of Heating, Refrigeration, and Air-conditioning Engineers) Code 90.1 2007, Appendix G, by 20 percent. HUD's competitive program requirements also ensure that new construction and major renovations follow sustainable design and green construction principles to (1) optimize energy efficiency and performance; (2) employ integrated design principles (and controls); (3) protect and conserve water; (4) enhance indoor air quality; and (5) reduce environmental impact of materials used.

