

American Recovery and Reinvestment Act of 2009

Department of Housing and Urban Development

Program-Level Plan

Native Hawaiian Housing Block Grant

a. FUNDING TABLE:

ACTIVITY	FUNDING LEVEL
Develop, acquire or rehabilitate affordable housing units, and include elements that lead to greater energy efficiency, and develop or improve infrastructure to support affordable housing	\$10,200,000.00
Deliver training, technical assistance, monitoring, enforcement, research and evaluation activities	\$16,850.00

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 \$510 million appropriation for the Native American Housing Block grants (or "NAHBG," actually, the Indian Housing Block Grant, or "IHBG"). Of that amount, \$255,000,000 is disbursed based on a formula, and \$242,250,000 is allocated competitively.

The purpose of this program is to (1) assist and promote affordable housing activities to develop, maintain, and operate affordable housing in safe and healthy environments on Indian reservations and in other Indian areas for occupancy by low-income Indian families; (2) ensure better access to private mortgage markets for Indian tribes and their members and to promote self-sufficiency of Indian tribes and their members; (3) coordinate activities to provide housing for Indian tribes and their members with Federal, State, and local activities to further economic and community development for Indian tribes and their members; (4) plan for and integrate infrastructure resources for Indian tribes with housing development for tribes; and (5) promote the development of private capital markets in Indian country and to allow such markets to operate and grow, thereby benefiting Indian communities.

The expected benefits of NAHBG are to increase the quality and longevity of Native American housing stock, produce affordable housing units, unlock private lending, prevent homelessness, and create or preserve jobs.

c. ACTIVITIES:

Kinds and scope of projects and activities to be performed: Under the Recovery Act, funds may be used for new construction, acquisition, rehabilitation, including energy efficiency and conservation, and infrastructure development. Funds can also be used to leverage private-sector financing for new construction, renovation and energy retrofit investments. Funds will be obligated within 30 days of the enactment of the Recovery Act. In selecting projects to be funded with Recovery Act funds, the recipient shall



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give priority to projects for which contracts can be awarded within 180 days from the date that such funds are available to the recipient.

Project/Activity: Develop, acquire or rehabilitate affordable housing units, and include elements that lead to greater energy efficiency, and develop or improve infrastructure to support affordable housing.

Description: Specific activities are those eligible under the NAHASDA, which includes the new construction of affordable housing units, the acquisition of affordable housing units, the rehabilitation of existing affordable housing units, the incorporation of energy efficient systems and components in new or existing affordable housing units and the development or improvement of infrastructure on reservations to support affordable housing.

Funding: \$10,200,000.00

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: \$16,850.00

d. CHARACTERISTICS:

Type of Financial Award: A - Formula Grants

Funding Amount: \$10,200,000.00

Methodology for Award Selection: In accordance with the Recovery Act, NHHBG formula grants will be made under the Native American Block Grants appropriation for a housing entity eligible to receive funding under title VII of NAHASDA.

Type(s) of Recipients: State

Type(s) of Beneficiaries: state, individual family, minority group, homeowner, other non-white, seniors, low income, and suburban and rural

Estimated dollar amount of Federal in-house activity: \$16,850.00

e. DELIVERY SCHEDULE:

Milestone Description: The recipient will be required to obligate 100 percent of their funds within one year of the date funds are made available, expend at least 50 percent of such funds within two years of the date in which funds became available, and expend 100 percent of such funds within three years of such date. If the recipient fails to comply with the 2-year expenditure requirement, funds will be recap-



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ured. If the recipient fails to comply with the 3- year expenditure requirement, the balance of the funds originally awarded to the recipient will be recaptured.

Milestone: HUD allocates funds to DHHL

Expected Completion Date: 3/17/2009

Milestone: DHHL obligates 100% of funds

Expected Completion Date: 5/22/2010

Milestone: DHHL spends 100% of funds

Expected Completion Date: 5/22/2012

f. ENVIRONMENTAL REVIEW COMPLIANCE:

AREA OF COMPLIANCE	ACTIVITY
Compliance with National Environmental Policy Act (NEPA)	The grantee will comply with NEPA, if required. Activities will be dependent on the type of project.
Compliance with National Historic Preservation Act and related statutes	The grantee will comply with NHPA, if required. Activities will be dependent 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



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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

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>
\$10,000,000	\$10,000,000	0	\$10,000,000	\$20,200,000	\$10,200,000

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>
\$10,000,000	\$10,000,000	0	\$10,000,000	\$10,000,000	\$0

Measure: Number of Jobs Created or Retained

Measure Type: Output



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Measure Frequency: Quarterly

Direction of Measure: Increasing

Unit of Measure: FTEs

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		
<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>
N/A	N/A	0	N/A	N/A	0

Measure: Number of Affordable Housing Units Developed

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 new affordable housing units developed 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>
91	91	0	91	91	0



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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)
4	4	0	4	4	0

Measure: Number of units receiving energy conservation/green improvements

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 increasing the quality of housing stock and increasing energy efficiency by tracking the number of units receiving energy conservation and/or other 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.



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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)
45	45	0	45	45	0


h. MONITORING AND EVALUATION:

(1) Data Collection and Reporting

- a. Spend Plans: After award, but before gaining access to funds, the grantees must submit a plan on how they will use their funds. DHHL will submit an amended Native Hawaiian Housing Plan containing, by eligible affordable housing activity, its proposed accomplishments. Office of Native American Programs (ONAP) reviews the Plan for compliance and issues a grant agreement.
- 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: ONAP does not categorize DHHL as a high-risk grantee. However, ONAP will follow its procedures and monitor this grantee accordingly. Both remote and on-site monitoring are available options, pursuant to NAHASDA and its implementing regulations. This involves reviewing program files, and on-site program examinations. To ensure timely expenditure of funds, ONAP will track disbursements through its systems. To ensure quality expenditure of funds, ONAP will assign its Native Hawaiian Program Specialist, located in Honolulu, to regularly monitor activities at the project level through the review of data and information submitted. Follow-up on issues or matters of concern that are discovered will occur, and the Native Hawaiian Program Specialist is available to go on-site to assess DHHL’s activities at any time with no additional travel resources needed. To ensure budget and cost compliance, all disbursements will be monitored against DHHL’s Native Hawaiian Housing Plan’s proposed affordable housing activities. 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 Annual Performance Report, Form HUD 2721- Financial Status Report, OMB Circular A-133 audits, and procedures outlined in ONAP’s Grants Evaluation





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Handbook. If necessary, interventions will occur and categorical training and technical assistance will be offered to resolve specific problems. 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 section 818 of NAHASDA and 24 CFR 1006.430 and .440.

(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.

