

## FY 2008 ICDBG APPLICATION CHECKLIST \*

1. \_\_\_\_\_ Narrative to all five of the rating factors.
2. \_\_\_\_\_ SF-424, Application for Federal Assistance.
3. \_\_\_\_\_ SF-424 SUPP, Supplement Survey on Ensuring Equal Opportunity for Applicants ("Faith-Based" EEO Survey).
4. \_\_\_\_\_ HUD 2880, Applicant /Recipient Disclosure Update Report.
5. \_\_\_\_\_ HUD-2993, Acknowledgement of Application Receipt (relevant only to applicants granted a waiver of the electronic submission requirements and who are submitting a paper application).
6. \_\_\_\_\_ Resolution from tribe stating that tribal organization is applying on tribe's behalf (if relevant).
7. \_\_\_\_\_ HUD-4125, Implementation Schedule. A schedule for implementing the project.
8. \_\_\_\_\_ Form 4123, Cost Summary. Cost information for each separate project, including specific activity costs, administration, planning, technical assistance and total HUD share.
9. \_\_\_\_\_ Tribal resolution documenting that tribe has met the citizen participation requirements of 24 CFR 1003.604(a).
10. \_\_\_\_\_ Map. The application should contain a map showing project location, if appropriate.
11. \_\_\_\_\_ Low- and Moderate-Income Benefit. Information demonstrating compliance with the primary objectives of ICDBG. Applicants must demonstrate that at least 70 percent of grant funds will benefit low- and moderate-income (LMI) persons.
12. \_\_\_\_\_ Demographic Data: If applicable, the applicant must submit the demographic data statement identifying the total beneficiaries and the LMI beneficiaries, along with supporting documentation (ex. sample copy of survey form).
13. \_\_\_\_\_ Project-Specific Thresholds.
  - \_\_\_\_\_ a. *Housing Rehabilitation* (statement that tribe has adopted rehabilitation standards and policies, funds used only to rehab HUD homes if buyers are current).

\_\_\_\_\_ b. *New Construction* (CBDO must be eligible, statement that tribe adopted construction standards, application must also demonstrate: no other housing is available or suitable; no other funds can meet need; rehabilitation is not feasible; the household(s) is/are overcrowded; or the household has no current residence).

\_\_\_\_\_ c. *Economic Development* (financial analysis submitted).

14. \_\_\_\_\_ **Commitment to Housing for Land Acquisition to Support New Housing Projects.** If applicable, applicants must include evidence of financial commitment and an ability to construct at least 25 percent of the housing units on the land proposed for acquisition.
15. \_\_\_\_\_ **Health Care Facilities:** If proposed facility will provide services to be funded by IHS must include a statement that facility will meet all applicable IHS requirements requirements.
16. \_\_\_\_\_ **Correctional Facilities/Juvenile Detention Centers:** If proposed facility will provide services to be funded by DOJ or BIA, must include a statement that the facility/center meets all applicable BIA/DOJ standards.
17. \_\_\_\_\_ **You Are Our Client! Grant Application Survey (HUD 2994-A) (Optional).**
18. \_\_\_\_\_ **Program Outcome Logic Model (Optional).**
19. \_\_\_\_\_ **Code of Conduct:** (if applicant's code is not listed on HUD's website or if information on the website has changed the applicant must submit a copy of its code with its application).
20. \_\_\_\_\_ **Disclosure of Lobbying Activities (SF-LLL):** (Federally recognized Indian tribes are excluded from this requirement but state recognized tribes and TDHEs established only under state law must submit the SF-LLL).

\* includes documents/items required by the General Section (Section III.C.2) and ICDBG NOFA Checklist (Section IV.B.2.)

# 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)
--	---

<input type="checkbox"/> <b>Original</b> (check here if this is the first submission to HUD)	<input type="checkbox"/> <b>Revision</b> (check here if submitted with implementation schedule as part of pre-award requirements)	<input type="checkbox"/> <b>Amendment</b> (check here if submitted after HUD approval of grant)	Date (mm/dd/yyyy)
---	--	--	-------------------

4. <b>Project Name &amp; Project Category</b> (see instructions on back)  a	<b>ICDBG</b>	<b>Program Funds</b> (in thousands of \$ )	
	Amount Requested for each activity b	Other Source Amount for each activity c	<b>Other</b> Source of Other Funds for each activity d
	\$	\$	
<b>5. Administration</b>			
a. General Management and Oversight			
b. Indirect Costs: Enter indirect costs to be charged to the program pursuant to a cost allocation plan.			
c. Audit: Enter estimated cost of Program share of A-133 audits.			
<b>Administration Total *</b>			
<b>6. Planning</b> The Project description must address the proposed use of these funds.			
<b>7. Technical Assistance</b> Enter total amount of ICDBG funds requested for technical assistance. **			
<b>8. Sub Total</b> Enter totals of columns b. and c.	\$	\$	
<b>9. Grand Total</b> Enter sum of column b. plus column c.			\$

\* 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).

---

Public reporting burden for this collection of information is estimated to average 40 hours per response, including the time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. This agency may not collect this information, and you are not required to complete this form, unless it displays a currently valid OMB control number.

This collection of information requires that each eligible applicant submit information to enable HUD to select the best projects for funding during annual competitions for the ICDBG Program. The information will be used by HUD to determine whether applications meet minimum screening eligibility requirements and application submission requirements. Applicants provide general information about the project which is preliminary to the review of the applicant's response to the criteria for rating the application. The information is essential for HUD in monitoring grants to ensure that grantees are making proper use of Federal dollars. Responses to the collection are required by Section 105 of the Department of Housing and Urban Development Reform Act (P.L. 101-235) as amended by the Cranston-Gonzales National Affordable Housing Act of 1990. The information requested does not lend itself to confidentiality.

---

#### **Instructions for Item 4.**

##### **Project Name and Project Type**

Participants enter the project name and the name of one of the following three categories of activities:

- Housing
- Community Facilities
- Economic Development

Also enter the component name if applicable. Use a separate Cost Summary sheet (form HUD-4123) for each project included in the application.

Examples of categories and/or components including examples of eligible activities are listed below.

##### **Housing**

###### **Rehabilitation Component**

- Rehabilitation
- Demolition

###### **Land to Support New Housing Component**

###### **New Housing Construction Component**

##### **Community Facilities**

###### **Infrastructure Component**

- Water
- Sewer
- Roads and Streets
- Storm Sewers

###### **Buildings Component**

- Health Clinic
- Daycare Center
- Community Center
- Multi-purpose Center

##### **Economic Development**

- Commercial (wholesale, retail)
- Industrial
- Motel/Hotel
- Restaurant
- Agricultural Development

# FEDERAL CASH TRANSACTIONS REPORT

(See instructions on the back. If report is for more than one grant or assistance agreement, attach completed Standard Form 272A.)

1. Federal sponsoring agency and organizational element to which this report is submitted

## 2. RECIPIENT ORGANIZATION

Name:  
  
Number and Street:  
  
City, State and ZIP Code:

4. Federal grant or other identification number

5. Recipient's account number or identifying number

6. Letter of credit number

7. Last payment voucher number

**Give total number for this period**

8. Payment Vouchers credited to your account

9. Treasury checks received (whether or not deposited)

## 10. PERIOD COVERED BY THIS REPORT

## 3. FEDERAL EMPLOYER IDENTIFICATION NO.

FROM (month, day, year)

TO (month, day, year)

## 11. STATUS OF FEDERAL CASH

(See specific instructions on the back)

a. Cash on hand beginning of reporting period

\$

b. Letter of credit withdrawals

c. Treasury check payments

d. Total receipts (Sum of lines b and c)

e. Total cash available (Sum of lines a and d)

f. Gross disbursements

g. Federal share of program income

h. Net disbursements (Line f minus line g)

i. Adjustments of prior periods

j. Cash on hand end of period

\$

## 12. THE AMOUNT SHOWN ON LINE 11j, ABOVE, REPRESENTS CASH REQUIREMENTS FOR THE ENSUING

Days

## 13. OTHER INFORMATION

a. Interest income

\$

b. Advances to subgrantees or subcontractors

\$

## 14. REMARKS (Attach additional sheets of plain paper, if more space is required)

## 15. CERIFICATION

I certify to the best of my knowledge and belief that this report is true in all respects and that all disbursements have been made for the purpose and conditions of the grant or agreement.	AUTHORIZED	SIGNATURE	DATE REPORT SUBMITTED
	CERTIFYING OFFICIAL	TYPED OR PRINTED NAME AND TITLE	TELEPHONE (Area Code, Number, Extension)

THIS SPACE FOR AGENCY USE

## INSTRUCTIONS

Public reporting burden for this collection of information is estimated to average 120 minutes per response, including time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Send comments regarding the burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to the Office of Management and Budget, Paperwork Reduction Project (0348-0003), Washington, DC 20503.

**PLEASE DO NOT RETURN YOUR COMPLETED FORM TO THE OFFICE OF MANAGEMENT AND BUDGET. SEND IT TO THE ADDRESS PROVIDED BY THE SPONSORING AGENCY.**

Please type or print legibly. Items 1, 2, 8, 9, 10, 11d, 11e, 11h, and 15 are self explanatory, specific instructions for other items are as follows:

<i>Item</i>	<i>Entry</i>	<i>Item</i>	<i>Entry</i>
3	Enter Employer Identification Number (EIN) assigned by the U.S. Internal Revenue Service or the FICE (institution) code.		benefits if treated as a direct cost, interdepartmental charges for supplies and services, and the amount to which the recipient is entitled for indirect costs.
4	If this report covers more than one grant or other agreement, leave items 4 and 5 blank and provide the information on Standard Form 272A, Report of Federal Cash Transactions - Continued.  Enter Federal grant number, agreement number, or other identifying numbers if requested by sponsoring agency.	11g	Enter the Federal share of program income that was required to be used on the project or program by the terms of the grant or agreement.
5	This space reserved for an account number or other identifying number that may be assigned by the recipient.	11i	Enter the amount of all adjustments pertaining to prior periods affecting the ending balance that have not been included in any lines above. Identify each grant or agreement for which adjustment was made, and enter an explanation for each adjustment under "Remarks." Use plain sheets of paper if additional space is required.
6	Enter the letter of credit number that applies to this report. If all advances were made by Treasury check, enter "NA" for not applicable and leave items 7 and 8 blank.	11j	Enter the total amount of Federal cash on hand at the end of the reporting period. This amount should include all funds on deposit, imprest funds, and undeposited funds (line e, less line h, plus or minus line i).
7	Enter the voucher number of the last letter-of-credit payment voucher (Form TUS 5401) that was credited to your account.	12	Enter the estimated number of days until the cash on hand, shown on line 11j, will be expended. If more than three days cash requirements are on hand, provide an explanation under "Remarks" as to why the drawdown was made prematurely, or other reasons for the excess cash. The requirement for the explanation does not apply to prescheduled or automatic advances.
11a	Enter the total amount of Federal cash on hand at the beginning of the reporting period including all of the Federal funds on deposit, imprest funds, and undeposited Treasury checks.	13a	Enter the amount of interest earned on advances of Federal funds but not remitted to the Federal agency. If this includes any amount earned and not remitted to the Federal sponsoring agency for over 60 days, explain under "Remarks." Do not report interest earned on advances to States.
11b	Enter total amount of Federal funds received through payment vouchers (Form TUS 5401) that were credited to your account during the reporting period.	13b	Enter the amount of advance to secondary recipients included in item 11h.
11c	Enter the total amount of all Federal funds received during the reporting period through Treasury checks, whether or not deposited.	14	In addition to providing explanations as required above, give additional explanation deemed necessary by the recipient and for information required by the Federal sponsoring agency in compliance with governing legislation. Use plain sheets of paper if additional space is required.
11f	Enter the total Federal cash disbursements, made during the reporting period, including cash received as program income. Disbursements as used here also include the amount of advances and payments less refunds to subgrantees or contractors; the gross amount of direct salaries and wages, including the employee's share of		

<b>FEDERAL CASH TRANSACTIONS REPORT</b>		<b>OMB APPROVAL No. 0348-0003</b>	
<b>CONTINUATION</b>		1. FEDERAL SPONSORING AGENCY AND ORGANIZATIONAL ELEMENT TO WHICH THIS REPORT IS SUBMITTED	
<i>(This form is completed and attached to Standard Form 272 only when reporting more than one grant or assistance agreement.)</i>			
2. RECIPIENT ORGANIZATION <i>(Give name only as shown in item 2, SF-272)</i>		3. PERIOD COVERED BY THIS REPORT <i>(As shown on SF-272)</i>	
		FROM <i>(month, day, year)</i>	TO <i>(month, day, year)</i>
4. List information below for each grant or other agreement covered by this report. Use additional forms if more space is required.			
FEDERAL GRANT OR OTHER IDENTIFICATION NUMBER <i>(Show a subdivision by other identifying numbers if required by the Federal Sponsoring Agency)</i> <i>(a)</i>	RECIPIENT ACCOUNT NUMBER OR OTHER IDENTIFYING NUMBER <i>(b)</i>	FEDERAL SHARE OF NET DISBURSEMENTS	
		NET DISBURSEMENTS <i>(Gross disbursements less program income received)</i> FOR REPORTING PERIOD <i>(c)</i>	CUMULATIVE NET DISBURSEMENTS <i>(d)</i>
		\$	\$
5. TOTALS <i>(Should correspond with amounts shown on SF 272 as follows: column (c) the same as line 11h; column (d) the sum of lines 11h and 11i of the SF-272 and cumulative disbursements shown on last report. Attach explanation of any differences.)</i>		\$	\$

Public reporting burden for this collection of information is estimated to average 120 minutes per response, including time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Send comments regarding the burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to the Office of Management and Budget, Paperwork Reduction Project (0348-0003), Washington, DC 20503.

**PLEASE DO NOT RETURN YOUR COMPLETED FORM TO THE OFFICE OF MANAGEMENT AND BUDGET. SEND IT TO THE ADDRESS PROVIDED BY THE SPONSORING AGENCY.**

# Contract and Subcontract Activity

Public Reporting Burden for this collection of information is estimated to average .50 hours per response, including the time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. This information is voluntary. HUD may not collect this information, and you are not required to complete this form, unless it displays a currently valid OMB Control Number.

Executive Order 12421 dated July 14, 1983, directs the Minority Business Development Plans shall be developed by each Federal Agency and that these annual plans shall establish minority business development objectives. The information is used by HUD to monitor and evaluate MBE activities against the total program activity and the designated minority business enterprise (MBE) goals. The Department requires the information to provide guidance and oversight for programs for the development of minority business enterprise concerning Minority Business Development. If the information is not collected HUD would not be able to establish meaningful MBE goals nor evaluate MBE performance against these goals. While no assurances of confidentiality is pledged to respondents, HUD generally discloses this data only in response to a Freedom of Information request.

**Privacy Act Notice** - The United States Department of Housing and Urban Development, Federal Housing Administration, is authorized to solicit the information requested in this form by virtue of Title 12, United States Code, Section 1701 et seq., and regulations promulgated thereunder at Title 12, Code of Federal Regulations. It will not be disclosed or released outside the United States Department of Housing and Urban Development without your consent, except as required or permitted by law.

1. Grantee/Project Owner/Developer/Sponsor/Builder/Agency	Check if: PHA <input type="checkbox"/> IHA <input type="checkbox"/>	2. Location (City, State, ZIP Code)		
3a. Name of Contact Person	3b. Phone Number (Including Area Code)	4. Reporting Period <input type="checkbox"/> Oct. 1 - Sept. 30 (Annual-FY)	5. Program Code (Not applicable for CPD programs.) See explanation of codes at bottom of page. Use a separate sheet for each program code.	6. Date Submitted to Field Office

Grant/Project Number or HUD Case Number or other identification of property, subdivision, dwelling unit, etc. 7a.	Amount of Contract or Subcontract 7b.	Type of Trade Code (See below) 7c.	Contractor or Subcontractor Business Racial/Ethnic Code (See below) 7d.	Woman Owned Business (Yes or No) 7e.	Prime Contractor Identification (ID) Number 7f.	Sec. 3 7g.	Subcontractor Identification (ID) Number 7h.	Sec. 3 7i.	Contractor/Subcontractor Name and Address 7j.														
									Name	Street	City	State	Zip Code										

- |  |  |  |
|--|--|--|
| <b>CPD:</b><br>1 = New Construction<br>2 = Education/Training<br>3 = Other | <b>7c: Type of Trade Codes:</b><br><b>Housing/Public Housing:</b><br>1 = New Construction<br>2 = Substantial Rehab.<br>3 = Repair<br>4 = Service<br>5 = Project Mangt.<br>6 = Professional<br>7 = Tenant Services<br>8 = Education/Training<br>9 = Arch./Engrg. Appraisal<br>0 = Other | <b>7d: Racial/Ethnic Codes:</b><br>1 = White Americans<br>2 = Black Americans<br>3 = Native Americans<br>4 = Hispanic Americans<br>5 = Asian/Pacific Americans<br>6 = Hasidic Jews |
|--|--|--|

- 5: Program Codes** (Complete for Housing and Public and Indian Housing programs only):
- |                                      |                           |
|--------------------------------------|---------------------------|
| 1 = All insured, including Section 8 | 5 = Section 202           |
| 2 = Flexible Subsidy                 | 6 = HUD-Held (Management) |
| 3 = Section 8 Noninsured, Non-HFDA   | 7 = Public/Indian Housing |
| 4 = Insured (Management)             |                           |



This report is to be completed by grantees, developers, sponsors, builders, agencies, and/or project owners for reporting contract and subcontract activities of \$10,000 or more under the following programs: Community Development Block Grants (entitlement and small cities); Urban Development Action Grants; Housing Development Grants; Multifamily Insured and Noninsured; Public and Indian Housing Authorities; and contracts entered into by recipients of CDBG rehabilitation assistance.

Contracts/subcontracts of less than \$10,000 need be reported only if such contracts represent a significant portion of your total contracting activity. Include only contracts executed during this reporting period.

This form has been modified to capture Section 3 contract data in columns 7g and 7i. Section 3 requires that the employment and other economic opportunities generated by HUD financial assistance for housing and community development programs shall, to the greatest extent feasible, be directed toward low- and very low-income persons, particularly those who are recipients of government assistance for housing. Recipients using this form to report Section 3 contract data must also use Part I of form HUD-60002 to report employment and training opportunities data. Form HUD-2516 is to be

completed for public and Indian housing and most community development programs. Form HUD-60002 is to be completed by all other HUD programs including State administered community development programs covered under Section 3.

A Section 3 contractor/subcontractor is a business concern that provides economic opportunities to low- and very low-income residents of the metropolitan area (or nonmetropolitan county), including a business concern that is 51 percent or more owned by low- or very low-income residents; employs a substantial number of low- or very low-income residents; or provides subcontracting or business development opportunities to businesses owned by low- or very low-income residents. Low- and very low-income residents include participants in Youthbuild programs established under Subtitle D of Title IV of the Cranston-Gonzalez National Affordable Housing Act.

The terms "low-income persons" and "very low-income persons" have the same meanings given the terms in section 3(b)(2) of the United States Housing Act of 1937. Low-income persons mean families (including single persons) whose incomes do not exceed 80 per centum of the median income for the area, as determined by the Secretary, with adjustments for smaller and larger families, except that the Secretary

may establish income ceilings higher or lower than 80 per centum of the median for the area on the basis of the Secretary's findings that such variations are necessary because of prevailing levels of construction costs or unusually high or low-income families. Very low-income persons means low-income families (including single persons) whose incomes do not exceed 50 per centum of the median family income for the area, as determined by the Secretary with adjustments for smaller and larger families, except that the Secretary may establish income ceilings higher or lower than 50 per centum of the median for the area on the basis of the Secretary's findings that such variations are necessary because of unusually high or low family incomes.

Submit two (2) copies of this report to your local HUD Office within ten (10) days after the end of the reporting period you checked in item 4 on the front.

Complete item 7h. only once for each contractor/subcontractor on each semi-annual report.

Enter the prime contractor's ID in item 7f. for all contracts and subcontracts. Include only contracts executed during this reporting period. PHAs/IHAs are to report all contracts/subcontracts.

### Community Development Programs

1. **Grantee:** Enter the name of the unit of government submitting this report.
3. **Contact Person:** Enter name and phone of person responsible for maintaining and submitting contract/subcontract data.
- 7a. **Grant Number:** Enter the HUD Community Development Block Grant Identification Number (with dashes). For example: B-32-MC-25-0034. For Entitlement Programs and Small City multi-year comprehensive programs, enter the latest approved grant number.
- 7b. **Amount of Contract/Subcontract:** Enter the dollar amount rounded to the nearest dollar. If subcontractor ID number is provided in 7f, the dollar figure would be for the subcontract only and not for the prime contract.
- 7c. **Type of Trade:** Enter the numeric codes which best indicates the contractor's/subcontractor's service. If subcontractor ID number is provided in 7f., the type of trade code would be for the subcontractor only and not for the prime contractor. The "other" category includes supply, professional services and all other activities except construction and education/training activities.
- 7d. **Business Racial/Ethnic/Gender Code:** Enter the numeric code which indicates the racial/ethnic /gender character of the owner(s) and controller(s) of 51% of the business. When 51% or more is not owned and controlled by any single racial/ethnic/gender category, enter the code which seems most appropriate. If the subcontractor ID number is provided, the code would apply to the subcontractor and not to the prime contractor.
- 7e. **Woman Owned Business:** Enter Yes or No.
- 7f. **Contractor Identification (ID) Number:** Enter the Employer (IRS) Number of the Prime Contractor as the unique identifier for prime recipient of HUD funds. Note that the Employer (IRS) Number must be provided for each contract/subcontract awarded.
- 7g. **Section 3 Contractor:** Enter Yes or No.
- 7h. **Subcontractor Identification (ID) Number:** Enter the Employer (IRS) Number of the subcontractor as the unique identifier for each subcontract awarded from HUD funds. When the subcontractor ID Number is provided, the respective Prime Contractor ID Number must also be provided.
- 7i. **Section 3 Contractor:** Enter Yes or No.
- 7j. **Contractor/Subcontractor Name and Address:** Enter this information for each

Previous editions are obsolete.

firm receiving contract/subcontract activity only one time on each report for each firm.

### Multifamily Housing Programs

1. **Grantee/Project Owner:** Enter the name of the unit of government, agency or mortgagor entity submitting this report.
3. **Contact Person:** Same as item 3 under CPD Programs.
4. **Reporting Period:** Check only one period.
5. **Program Code:** Enter the appropriate program code.
- 7a. **Grant/Project Number:** Enter the HUD Project Number or Housing Development Grant or number assigned.
- 7b. **Amount of Contract/Subcontract:** Same as item 7b. under CPD Programs.
- 7c. **Type of Trade:** Same as item 7c. under CPD Programs.
- 7d. **Business Racial/Ethnic/Gender Code:** Same as item 7d. under CPD Programs.
- 7e. **Woman Owned Business:** Enter Yes or No.
- 7f. **Contractor Identification (ID) Number:** Same as item 7f. under CPD Programs.
- 7g. **Section 3 Contractor:** Enter Yes or No.
- 7h. **Subcontractor Identification (ID) Number:** Same as item 7h. under CPD Programs.
- 7i. **Section 3 Contractor:** Enter Yes or No.
- 7j. **Contractor/Subcontractor Name and Address:** Same as item 7j. under CPD Programs.

### Public Housing and Indian Housing Programs

PHAs/IHAs are to report all contracts/subcontracts. Include only contracts executed during this reporting period.

1. **Project Owner:** Enter the name of the unit of government, agency or mortgagor entity submitting this report. Check box as appropriate.
3. **Contact Person:** Same as item 3 under CPD Programs.
4. **Reporting Period:** Check only one period.
5. **Program Code:** Enter the appropriate program code.
- 7a. **Grant/Project Number:** Enter the HUD Project Number or Housing Development Grant or number assigned.
- 7b. **Amount of Contract/Subcontract:** Same as item 7b. under CPD Programs.
- 7c. **Type of Trade:** Same as item 7c. under CPD Programs.
- 7d. **Business Racial/Ethnic/Gender Code:** Same as item 7d. under CPD Programs.
- 7e. **Woman Owned Business:** Enter Yes or No.
- 7f. **Contractor Identification (ID) Number:** Same as item 7f. under CPD Programs.
- 7g. **Section 3 Contractor:** Enter Yes or No.
- 7h. **Subcontractor Identification (ID) Number:** Same as item 7h. under CPD Programs.
- 7i. **Section 3 Contractor:** Enter Yes or No.
- 7j. **Contractor/Subcontractor Name and Address:** Same as item 7j. under CPD Programs.

**FINANCIAL STATUS REPORT**  
(Long Form)

(Follow instructions on the back)

1. Federal Agency and Organizational Element to Which Report is Submitted	2. Federal Grant or Other Identifying Number Assigned By Federal Agency	OMB Approval No. <b>0348-0039</b>	Page of _____ pages
3. Recipient Organization (Name and complete address, including ZIP code)			
4. Employer Identification Number	5. Recipient Account Number or Identifying Number	6. Final Report <input type="checkbox"/> Yes <input type="checkbox"/> No	7. Basis <input type="checkbox"/> Cash <input type="checkbox"/> Accrual
8. Funding/Grant Period (See instructions) From: (Month, Day, Year)	To: (Month, Day, Year)	9. Period Covered by this Report From: (Month, Day, Year)	To: (Month, Day, Year)
10. Transactions:	I Previously Reported	I This Period	III Cumulative
a. Total outlays			
b. Refunds, rebates, etc.			
c. Program income used in accordance with the deduction alternative			
d. Net outlays (Line a, less the sum of lines b and c)			
<b>Recipient's share of net outlays, consisting of:</b>			
e. Third party (in-kind) contributions			
f. Other Federal awards authorized to be used to match this award			
g. Program income used in accordance with the matching or cost sharing alternative			
h. All other recipient outlays not shown on lines e, f or g			
i. Total recipient share of net outlays (Sum of lines e, f, g and h)			
j. Federal share of net outlays (line d less line i)			
k. Total unliquidated obligations			
l. Recipient's share of unliquidated obligations			
m. Federal share of unliquidated obligations			
n. Total Federal share (sum of lines j and m)			
o. Total Federal funds authorized for this funding period			
p. Unobligated balance of Federal funds (Line o minus line n)			
<b>Program income, consisting of:</b>			
q. Disbursed program income shown on lines c and/or g above			
r. Disbursed program income using the addition alternative			
s. Undisbursed program income			
t. Total program income realized (Sum of lines q, r and s)			
11. Indirect Expense	a. Type of Rate (Place "X" in appropriate box) <input type="checkbox"/> Provisional <input type="checkbox"/> Predetermined <input type="checkbox"/> Final <input type="checkbox"/> Fixed		
	b. Rate	c. Base	d. Total Amount
e. Federal Share			
12. Remarks: Attach any explanations deemed necessary or information required by Federal sponsoring agency in compliance with governing legislation.			
13. Certification: I certify to the best of my knowledge and belief that this report is correct and complete and that all outlays and unliquidated obligations are for the purposes set forth in the award documents.			
Typed or Printed Name and Title		Telephone (Area code, number and extension)	
Signature of Authorized Certifying Official		Date Report Submitted	

**FINANCIAL STATUS REPORT**  
(Long Form)

Public reporting burden for this collection of information is estimated to average 30 minutes per response, including time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Send comments regarding the burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to the Office of Management and Budget, Paperwork Reduction Project (0348-0039), Washington, DC 20503.

**PLEASE DO NOT RETURN YOUR COMPLETED FORM TO THE OFFICE OF MANAGEMENT AND BUDGET.**

Please type or print legibly. The following general instructions explain how to use the form itself. You may need additional information to complete certain items correctly, or to decide whether a specific item is applicable to this award. Usually, such information will be found in the Federal agency's grant regulations or in the terms and conditions of the award (e.g., how to calculate the Federal share, the permissible uses of program income, the value of in-kind contributions, etc.). You may also contact the Federal agency directly.

Item	Entry	Item	Entry
1, 2 and 3.	Self-explanatory.	10b.	Enter any receipts related to outlays reported on the form that are being treated as a reduction of expenditure rather than income, and were not already netted out of the amount shown as outlays on line 10a.
4.	Enter the Employer Identification Number (EIN) assigned by the U.S. Internal Revenue Service.	10c.	Enter the amount of program income that was used in accordance with the deduction alternative.
5.	Space reserved for an account number or other identifying number assigned by the recipient.	Note:	Program income used in accordance with other alternatives is entered on lines q, r, and s. Recipients reporting on a cash basis should enter the amount of cash income received; on an accrual basis, enter the program income earned. Program income may or may not have been included in an application budget and/or a budget on the award document. If actual income is from a different source or is significantly different in amount, attach an explanation or use the remarks section.
6.	Check yes only if this is the last report for the period shown in item 8.	10d.	e, f, g, h, i and j. Self-explanatory.
7.	Self-explanatory.	10k.	Enter the total amount of unliquidated obligations, including unliquidated obligations to subgrantees and contractors.  Unliquidated obligations on a cash basis are obligations incurred, but not yet paid. On an accrual basis, they are obligations incurred, but for which an outlay has not yet been recorded.  Do not include any amounts on line 10k that have been included on lines 10a and 10j.  On the final report, line 10k must be zero.
8.	Unless you have received other instructions from the awarding agency, enter the beginning and ending dates of the current funding period. If this is a multi-year program, the Federal agency might require cumulative reporting through consecutive funding periods. In that case, enter the beginning and ending dates of the grant period, and in the rest of these instructions, substitute the term "grant period" for "funding period."	10l.	Self-explanatory.
9.	Self-explanatory.	10m.	On the final report, line 10m must also be zero.
10.	The purpose of columns I, II, and III is to show the effect of this reporting period's transactions on cumulative financial status. The amounts entered in column I will normally be the same as those in column III of the previous report <i>in the same funding period</i> . If this is the first or only report of the funding period, leave columns I and II blank. If you need to adjust amounts entered on previous reports, footnote the column I entry on this report and attach an explanation.	10n.	o, p, q, r, s and t. Self-explanatory.
10a.	Enter total gross program outlays. Include disbursements of cash realized as program income if that income will also be shown on lines 10c or 10g. Do not include program income that will be shown on lines 10r or 10s.  For reports prepared on a cash basis, outlays are the sum of actual cash disbursements for direct costs for goods and services, the amount of indirect expense charged, the value of in-kind contributions applied, and the amount of cash advances and payments made to subrecipients. For reports prepared on an accrual basis, outlays are the sum of actual cash disbursements for direct charges for goods and services, the amount of indirect expense incurred, the value of in-kind contributions applied, and the net increase or decrease in the amounts owed by the recipient for goods and other property received, for services performed by employees, contractors, subgrantees and other payees, and other amounts becoming owed under programs for which no current services or performances are required, such as annuities, insurance claims, and other benefit payments.	11a.	Self-explanatory.
		11b.	Enter the indirect cost rate in effect during the reporting period.
		11c.	Enter the amount of the base against which the rate was applied.
		11d.	Enter the total amount of indirect costs charged during the report period.
		11e.	Enter the Federal share of the amount in 11d.
		Note:	If more than one rate was in effect during the period shown in item 8, attach a schedule showing the bases against which the different rates were applied, the respective rates, the calendar periods they were in effect, amounts of indirect expense charged to the project, and the Federal share of indirect expense charged to the project to date.

# FINANCIAL STATUS REPORT

(Short Form)

(Follow instructions on the back)

1. Federal Agency and Organizational Element to Which Report is Submitted	2. Federal Grant or Other Identifying Number Assigned By Federal Agency	OMB Approval No. <b>0348-0038</b>	Page of  pages
3. Recipient Organization (Name and complete address, including ZIP code)			
4. Employer Identification Number	5. Recipient Account Number or Identifying Number	6. Final Report <input type="checkbox"/> Yes <input type="checkbox"/> No	7. Basis <input type="checkbox"/> Cash <input type="checkbox"/> Accrual
8. Funding/Grant Period (See instructions) From: (Month, Day, Year)	To: (Month, Day, Year)	9. Period Covered by this Report From: (Month, Day, Year)	To: (Month, Day, Year)
10. Transactions:	I Previously Reported	II This Period	III Cumulative
a. Total outlays			
b. Recipient share of outlays			
c. Federal share of outlays			
d. Total unliquidated obligations			
e. Recipient share of unliquidated obligations			
f. Federal share of unliquidated obligations			
g. Total Federal share(Sum of lines c and f)			
h. Total Federal funds authorized for this funding period			
i. Unobligated balance of Federal funds(Line h minus line g)			
11. Indirect Expense	a. Type of Rate(Place "X" in appropriate box) <input type="checkbox"/> Provisional <input type="checkbox"/> Predetermined <input type="checkbox"/> Final <input type="checkbox"/> Fixed		
	b. Rate	c. Base	d. Total Amount
			e. Federal Share
12. Remarks: Attach any explanations deemed necessary or information required by Federal sponsoring agency in compliance with governing legislation.			
13. Certification: <b>I certify to the best of my knowledge and belief that this report is correct and complete and that all outlays and unliquidated obligations are for the purposes set forth in the award documents.</b>			
Typed or Printed Name and Title		Telephone (Area code, number and extension)	
Signature of Authorized Certifying Official		Date Report Submitted	

**FINANCIAL STATUS REPORT**

*(Short Form)*

Public reporting burden for this collection of information is estimated to average 90 minutes per response, including time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Send comments regarding the burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to the Office of Management and Budget, Paperwork Reduction Project (0348-0038), Washington, DC 20503.

**PLEASE DO NOT RETURN YOUR COMPLETED FORM TO THE OFFICE OF MANAGEMENT AND BUDGET. SEND IT TO THE ADDRESS PROVIDED BY THE SPONSORING AGENCY.**

Please type or print legibly. The following general instructions explain how to use the form itself. You may need additional information to complete certain items correctly, or to decide whether a specific item is applicable to this award. Usually, such information will be found in the Federal agency's grant regulations or in the terms and conditions of the award. You may also contact the Federal agency directly.

Item	Entry	Item	Entry
1, 2 and 3.	Self-explanatory.		
4.	Enter the Employer Identification Number (EIN) assigned by the U.S. Internal Revenue Service.		
5.	Space reserved for an account number or other identifying number assigned by the recipient.		
6.	Check <i>yes</i> only if this is the last report for the period shown in item 8.	10b.	Self-explanatory.
7.	Self-explanatory.	10c.	Self-explanatory.
8.	Unless you have received other instructions from the awarding agency, enter the beginning and ending dates of the current funding period. If this is a multi-year program, the Federal agency might require cumulative reporting through consecutive funding periods. In that case, enter the beginning and ending dates of the grant period, and in the rest of these instructions, substitute the term "grant period" for "funding period."	10d.	Enter the total amount of unliquidated obligations, including unliquidated obligations to subgrantees and contractors.  Unliquidated obligations on a cash basis are obligations incurred, but not yet paid. On an accrual basis, they are obligations incurred, but for which an outlay has not yet been recorded.  Do not include any amounts on line 10d that have been included on lines 10a, b, or c.  On the final report, line 10d must be zero.
9.	Self-explanatory.	10e.	f, g, h, h and i. Self-explanatory.
10.	The purpose of columns I, II, and III is to show the effect of this reporting period's transactions on cumulative financial status. The amounts entered in column I will normally be the same as those in column III of the previous report in <i>the same funding period</i> . If this is the first or only report of the funding period, leave columns I and II blank. If you need to adjust amounts entered on previous reports, footnote the column I entry on this report and attach an explanation.	11a.	Self-explanatory.
10a.	Enter total program outlays less any rebates, refunds, or other credits. For reports prepared on a cash basis, outlays are the sum of actual cash disbursements for direct costs for goods and services, the amount of indirect expense charged, the value of in-kind contributions applied, and the amount of cash advances and payments made to subrecipients. For reports prepared on an accrual basis, outlays are the sum of actual cash disbursements for direct charges for goods and services, the amount of indirect expense incurred,	11b.	Enter the indirect cost rate in effect during the reporting period.
		11c.	Enter the amount of the base against which the rate was applied.
		11d.	Enter the total amount of indirect costs charged during the report period.
		11e.	Enter the Federal share of the amount in 11d.
		Note:	If more than one rate was in effect during the period shown in item 8, attach a schedule showing the bases against which the different rates were applied, the respective rates, the calendar periods they were in effect, amounts of indirect expense charged to the project, and the Federal share of indirect expense charged to the project to date.

# Implementation Schedule

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.  
Submit a separate implementation schedule for each project category.

1. Name of Applicant (as shown in Item 5, Standard Form 424)	2. Application/Grant Number (to be assigned by HUD)	3. <input type="checkbox"/> Original (First submission to HUD) <input type="checkbox"/> Pre-Award Submission <input type="checkbox"/> Amendment (submitted after grant approval)	Date (mm/dd/yyyy)
4. Name of Project (as shown on form HUD-4123, item 4)	5. Effective Date (mm/dd/yyyy)	Expected Completion Date (mm/dd/yyyy)	Expected Closeout Date (mm/dd/yyyy)

6. Environmental Review Status

**Exempt** (As described in 24 CFR 58.34)     **Under Review** (Review underway; findings not yet made)     **Finding of No Significant Impact** (Finding made that request for release of funds for project is not an action which may significantly affect the environment.)

**EIS Required** (Finding that project may significantly affect environment or EIS automatically required by 24 CFR 58.37)     **Not Started** (Review not yet begun)     **Certification** (Environmental review completed; certification and request for release of funds being prepared for submission.)     **Categorically Excluded** (as described in 24 CFR 58.35)

7. Tribal Fiscal Year (mm/dd/yyyy)

8. Task List  
(List tasks such as environmental assessment, acquisition, etc.)

9. Schedule.  
Use Calendar Year (CY) quarters. Fill-in the CY below. See detailed instructions on back.

	CY				CY				Date (mm/dd/yyyy) (If exceeds 8th Qtr)
	1st Qtr.	2nd Qtr.	3rd Qtr.	4th Qtr.	5th Qtr.	6th Qtr.	7th Qtr.	8th Qtr.	
10. <b>Planned Drawdowns by Quarter</b> (Enter amounts non-cumulatively)	\$	\$	\$	\$	\$	\$	\$	\$	\$Total
11. <b>Cumulative Drawdown</b> (If more than one page, enter total on last page only)	\$	\$	\$	\$	\$	\$	\$	\$	\$Total

---

Public reporting burden for this collection of information is estimated to average 40 hours per response, including the time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Send comments regarding this burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to the Reports Management Officer, Paperwork Reduction Project (2577-0191), Office of Information Technology, U.S. Department of Housing and Urban Development, Washington, D.C. 20410-3600. This agency may not collect this information, and you are not required to complete this form, unless it displays a currently valid OMB control number.

This collection of information requires that each eligible applicant submit information to enable HUD to select the best projects for funding during annual competitions for the ICDBG Program. The information will be used by HUD to determine whether applications meet minimum screening eligibility requirements and application submission requirements. Applicants provide general information about the project which is preliminary to the review of the applicant's response to the criteria for rating the application. The information is essential for HUD in monitoring grants to ensure that grantees are making proper use of Federal dollars. Responses to the collection are required by Section 105 of the Department of Housing and Urban Development Reform Act (P.L. 101-235) as amended by the Cranston-Gonzales National Affordable Housing Act of 1990. The information requested does not lend itself to confidentiality.

---

**Instructions for Item 9 Schedule:** Use Calendar Year (CY) quarters. Fill-in the CY below. If the project begins in May, for example, enter under "1st Qtr.", A(April), M(May), J(June). Indicate time period required to complete each activity, e.g., acquisition, by entering "X" under the months it will begin and end. Draw a horizontal line from the first to the second "X". If the completion date will extend beyond the 8th quarter, enter date in the far right column and attach an explanation.

---

**IT IS RECOMMENDED THAT YOU PRINT THESE INSTRUCTIONS BEFORE CONTINUING**

**NOTE: The eLogic Model™ is built on a Microsoft Excel™ platform and therefore follows all the conventions of Excel™. In this context, the eLogic Model™ is also referred to as the "Workbook" and individual screens which are accessed by the 12 Tabs at the bottom of the eLogic Model™ or Workbook are referred to as "Worksheets."**

It may be helpful to print out a copy of the instructions and have them on hand while creating your eLogic Model™. The printed instructions may not look exactly as displayed on your screen. To print any of the 12 Worksheets, click on the Tab for the Worksheet you want to access and then use your print function (usually File | Print).

**Do not modify or change the integrity of the Workbook by adding additional Tabs or Worksheets. The Instructions provided here will meet your needs. When saving your Workbook, save it in the Excel format. Do not convert it into PDF.**

**SECURITY AND THE USE OF "MACROS"**

The 2008 HUD eLogic Model™ when downloaded and opened may prompt a "Macro" alert on your screen. "Macros" are a form of programming used in Excel to enable additional functionality. You will need to "enable" the "Macros" to use all functions on your eLogic Model™. After submission of your eLogic Model™ award application, you may reset your security levels to their original settings. Depending on your version of Excel™, there are several steps you must take in order to use the eLogic Model™. A description is provided below for the three most common versions of Excel™ in use today, one of which is probably installed on your computer.

**NOTE:** If you do not enable the "Macros", your eLogic Model™ will not function properly. If you are working in a network, and you cannot control your desktop settings, contact your system administrator for support. Some of you may already be very familiar with Macros. If you are not, here are some easy step-by-step instructions for you to follow to enable the Macros.

**Excel™ 2003** - There are four levels of security regarding the use of "Macros": Very High, High, Medium, and Low. If upon opening the eLogic Model™ the dialog box states that you must change your Security setting to enable "Macros", your security settings are either set to Very High or High and you must take the following steps: Go to the toolbar at the top of the screen and click on "Tools". Then click "Options" and then click the tab labeled "Security" located on the top right of the window. At the bottom right of the window, click the button that says "Macro Security" and select Medium as your setting. Click "OK" and then click "OK" in the Options window. Close your eLogic Model™. Re-open your eLogic Model™. You will now receive a dialog box with the message "Security Warning". Click on the button at the bottom that says "Enable Macros". Your eLogic Model™ will open and be fully functional.

If upon opening the eLogic Model™ the dialog box gives you an option to enable "Macros" at that moment, it means that Security is set to Medium. All you need to do is to click the button at the bottom of the dialog box that says "Enable Macros". Your eLogic Model™ will open and be fully functional.

If upon opening the eLogic Model™ there is no dialog box, your Security setting is set on "Low" and your Macros are already enabled. No additional step is needed.

**Excel™ 2000** - There are three levels of security regarding the use of "Macros": High, Medium, and Low. The High security setting automatically disables most Macros and does not alert you to the action. If, when entering Services/Activities in Column 3, or Outcomes in Column 5, you select "other," the word "other" appears and remains in the cell, the Macro is not functioning. Save and close changes you have made thus far. Then from the menu, select "Tools," "Macro," "Security". A dialog box will open. Click on the "Security" TAB and select "Medium," then click "OK." Reopen your eLogic Model™. A dialog box will open. Select "Enable Macros". Your eLogic Model™ will open and be fully functional.

If your copy of Excel is already set to "Medium" security, the enable Macros dialog box will appear and you can proceed as above.

The low security setting automatically enables all Macros and you will not receive any message. The eLogic Model™ will open and be fully functional.



**Excel™ 1997** - If you are using this version of Excel, please contact HUD's NOFA Information Center for assistance at (800) HUD-8929. Persons with hearing or speech impairments may access this number via TTY by calling the Federal Information Relay Service at (800) 877-8339. The NOFA Information Center is open between the hours of 10 a.m. and 6:30 p.m. Eastern Time, Monday through Friday, except federal holidays.

#### **eLOGIC MODEL™ 2008 SPECIAL FEATURES**

The 2008 eLogic Model™ has been updated with several new features:

##### **Year-to-Date (YTD) Column**

For both **Column 4 “Measure”**, which relates to Column 3 “Service or Activities/Output” and **Column 6 “Measure”**, which relates to Column 5, “Outcome”, there is a field labeled “YTD” which stands for “Year-to-Date.” The “YTD” column allows you to view your actual accomplishments during a reporting period as well as the cumulative totals over the course of each year of the award.

When you receive your HUD approved eLogic Model™, your approved projections entered in the “Pre” fields in Column 4 and the “Pre” fields in Column 6, will be locked. The “Post” and “YTD” fields will be opened for reporting purposes. When reporting, enter Year1 accomplishments utilizing the Year1 Tab, Year 2 accomplishments utilizing the Year2 Tab, and Year3 accomplishments utilizing the Year3 Tab. Use the Total Tab for your final report. If you have a one year award you only need to complete Year1 for your final report. If you have a two year award use Year1, Year2, and Total Worksheets for your report. If you have a three year award use Year1, Year2, Year3 and Total Worksheets for your report. Please make sure that the totals entered on the Total Worksheet match the totals provided each reporting period.

In each reporting period, enter your non-cumulative accomplishments under the column labeled “Post”. The “YTD” column should be used to enter your cumulative accomplishments for each year of your award.

##### **Reporting Services/Activities – Column 4**

When reporting the first quarter Services/Activities in **Year1**, enter your first quarter accomplishments in the “Post” column and the cumulative accomplishments in the “YTD” column. For the first quarter reporting, the numbers or dates will be the same in both columns. For the second quarter of Year1 reporting, you will enter the non-cumulative second quarter results (the accomplishments that actually occurred in the second quarter independent of the previous quarter) in the “Post” column. In the “YTD” column, you will enter the cumulative total of both the first and second quarter accomplishments. Follow this same process for all quarters in Year1.

When reporting the first quarter Services/Activities in **Year2**, enter your first quarter accomplishments of Year2 non-cumulative in the “Post” column and the cumulative accomplishment of Year2 in the “YTD” column. For the first quarter reporting the numbers or dates will be the same in both columns. For the second quarter of Year2 reporting, you will enter the non-cumulative second quarter results (the accomplishments that actually occurred in the second quarter independent of the previous quarter) of the Year2 in the “Post” column. In the “YTD” column, you will enter the cumulative total of both the first and second quarter accomplishments for Year2. Follow these instructions for all quarters in Year2.

When reporting the first quarter Services/Activities in **Year3**, enter your first quarter accomplishments of Year3 non-cumulative in the “Post” column and the cumulative accomplishment of Year3 in the “YTD” column. For the first quarter reporting the numbers or dates will be the same in both columns. For the second quarter of Year3 reporting, you will enter the non-cumulative second quarter results (the accomplishments that actually occurred in the second quarter independent of the previous quarter) of the Year3 in the “Post” column. In the “YTD” column you will enter the cumulative total of both the first and second quarter of accomplishments for Year3. Follow these instructions for all quarters in Year3.

## Reporting Outcomes – Column 6

When reporting the first quarter Outcomes in **Year1**, enter your first quarter accomplishments in the “Post” column and the cumulative accomplishments in the “YTD” column. For the first quarter reporting, the numbers or dates will be the same in both columns. For the second quarter of Year1 reporting, you will enter the non-cumulative second quarter results (the accomplishments that actually occurred in the second quarter independent of the previous quarter) in the “Post” column. In the “YTD” column, you will enter the cumulative total of both the first and second quarter accomplishments. Follow this same process for all quarters in Year1.

When reporting the first quarter Outcomes in **Year2**, enter your first quarter accomplishments of Year2 non-cumulative in the “Post” column and the cumulative accomplishment of Year2 in the “YTD” column. For the first quarter reporting the numbers or dates will be the same in both columns. For the second quarter of Year2 reporting, you will enter the non-cumulative second quarter results (the accomplishments that actually occurred in the second quarter independent of the previous quarter) of the Year2 in the “Post” column. In the “YTD” column, you will enter the cumulative total of both the first and second quarter accomplishments for Year2. Follow these instructions for all quarters in Year2.

When reporting the first quarter Outcomes in **Year3**, enter your first quarter accomplishments of Year3 non-cumulative in the “Post” column and the cumulative accomplishment of Year3 in the “YTD” column. For the first quarter reporting the numbers or dates will be the same in both columns. For the second quarter of Year3 reporting, you will enter the non-cumulative second quarter results (the accomplishments that actually occurred in the second quarter independent of the previous quarter) of the Year3 in the “Post” column. In the “YTD” column you will enter the cumulative total of both the first and second quarter of accomplishments for Year3. Follow these instructions for all quarters in year Year3.

Similarly, if you are reporting on a semi-annual basis, you would be following the same procedures as above but entering your 1st semi-annual report in the “Post” column for Year1 (the accomplishments that actually occurred in the first semi-annual reporting period). In the “YTD” column you would enter the cumulative total for the reporting period. For the first semi-annual report the numbers or dates will be the same in both columns. For the 2nd semi-annual report in Year1, you will enter the non-cumulative reporting period results (the accomplishments that actually occurred in the second quarter independent of the previous reporting period) in the “Post” column. In the “YTD” column, you will enter the cumulative total of both the first and second semi-annual report.

When reporting the first semi-annual report for Year2, enter your non-cumulative accomplishments achieved during the first semi-annual reporting period for Year 2 in the “Post” column. In the “YTD” column you will enter the cumulative accomplishments for the first semi-annual reporting period in Year2. For the 1st semi-annual reporting period in Year2, the numbers or dates will be the same in both columns. For the 2nd semi-annual reporting period in Year2, in the “Post” column enter the non-cumulative accomplishments achieved during the 2nd semi-annual reporting period in Year2. In the “YTD” column, enter the cumulative accomplishments achieved during the 1st and 2nd semi-annual reporting period. Follow these instructions for all semi-annual reporting periods for your award.

## Total Worksheet

The “Total” Worksheet should be used to capture the total accomplishments for Services/Activities and Outcomes. Grantees with a one year award do not need to complete the Total Worksheet, as the results will be the same as entered on the Year1 Worksheet. Grantees with multi-year awards should follow these instructions:

The “Total” Worksheet is a running total of all Services/Activities and Outcomes also referred to as accomplishments. You will only use the YTD Column in the Total Worksheet.

Starting with Year2, on the “Total” Worksheet, for the 1st quarterly report for each activity, enter in the “YTD” column the cumulative total of service/activities achieved during Year1 and the 1st quarter of Year2. The total service/activities for Year1 activities can be found in the “YTD” column of the last quarterly report for activities (Column 4).

Starting with Year3, on the “Total” Worksheet, for the 1st quarterly report for each activity, enter in the “YTD” column the cumulative total of service/activities achieved during Year2 and the 1st quarter of Year3. The total service/activities for Year2 activities can be found in the “YTD” column of the last quarterly report for activities (Column 4).

Starting with Year2, on the "Total" Worksheet, for the 1st quarterly report for each activity, enter in the "YTD" column the cumulative total of outcomes achieved during Year1 and the 1st quarter of Year2. The total outcomes for Year1 activities can be found in the "YTD" column of the last quarterly report for activities (Column 4).

Starting with Year3, on the "Total" Worksheet, for the 1st quarterly report for each activity, enter in the "YTD" column the cumulative total of outcomes achieved during Year2 and the 1st quarter of Year3. The total outcomes for Year2 activities can be found in the "YTD" column of the last quarterly report for activities (Column 4).

The procedures for semi-annual reporting on the "Total" Worksheet should use the same procedures; however, as with the Year1, Year2 and Year3 Worksheets, the "Total" Worksheet for grantees reporting on a semi-annual basis will show semi-annual reporting totals rather than quarterly reporting totals.

### **Project Type**

Immediately below "Project Name," there is a field for "**Project Type.**" Project Type describes the type of project you are doing, e.g. technical assistance, counseling, housing group home, independent living, homeownership, transitional housing, supportive housing, or economic development. See the program NOFA for specific instructions. If the program NOFA does not have specific instructions, leave this field blank.

### **Construction Type**

Immediately below "Project Type" is a field for "**Construction Type.**" Construction Type describes the type of Construction you are doing, e.g. new construction, rehabilitation, acquisition, or mixed use development. See the program NOFA for specific instructions. If the program NOFA does not have specific instructions, leave this field blank.

### **Designation of HUD Policy Priorities in the Service/Activity and Outcome Drop-down Listings.**

HUD is keenly interested in the achievement of its Goals and Policy Priorities, particularly by applicants that have been awarded points during the competitive funding process for demonstrating in the application that they will carry out Policy Priority related services/activities and achieve specific outcomes. In the FY 2008 eLogic Model TM, the services/activities and outcomes related to HUD's Policy Priorities have been tagged as Policy Priority items. HUD believes that this will enable the Department to better quantify specific achievements related to these Policy Priorities by grantee as well as by HUD program.

### **Response to Management Questions**

The Management Questions are located in the Reporting Tab and Evaluation Tab. The Reporting Tab is the actual place where you will report. The Evaluation Tab describes the evaluation process using the Management Questions. Each program has different Management Questions that are applicable to that program only. The Management Questions contained in the eLogic Model TM ask key questions related to all activities and outcomes in the drop-down listings in the eLogic Model TM template for each HUD program. Applicants are required to report on the Management Questions which relate to the specific activities and outcomes that are in their HUD approved eLogic Models TM. HUD will use the approved eLogic Model™ for monitoring accountability throughout the project. The activities and outcomes identified in your approved eLogic Model TM, and resultant data reported in your eLogic Model™ over the award performance period should enable you to address most or all of the Management Questions reflective of your project. The data collected during the course of your work and captured in the eLogic Model™ will also be useful to you in evaluating the effectiveness of your program. For eLogic Model™ Training via webcast, consult the webcast schedule found at HUD's website at: <http://www.hud.gov/offices/adm/grants/fundsavail.cfm>. If you have any questions regarding reporting requirements, please contact your HUD program representative.

For 2008, HUD has converted the Management Questions from narrative responses to data-driven responses. When responding to the Management Questions in the Worksheet labeled "Reporting", enter the responses to the Management Questions by using the fields labeled "Count/Amount", and the text box when answering the last Management Question.

This ends the 2008 Special Features Highlights section. The following are the full detailed instructions for completing the eLogic Model™.

## INSTRUCTIONS FOR COMPLETING THE eLOGIC MODEL™

### Background

The eLogic Model™ forms (4 copies: Year1 Year2 Year3 and Total) are contained within this Excel™ Workbook. The Workbook has 12 separate Worksheets and each Worksheet is identified by a Tab at the bottom of the page. If you cannot see all the Tabs, be sure to maximize your Workbook by clicking the middle button in the top right corner of the Workbook to expand your window or move your bottom scroll bar so all the Tabs appear. Usually this situation does not occur. If it does, the Reporting Tab and the Evaluation Tab may be hidden until you follow the above procedure. The Worksheet(s) labeled "Year1 Year2 Year3 and Total" contain the actual form that you should complete. The other Worksheet(s) provide supportive and reporting information. The Tabs are:

Instructions	} 12 - Worksheets
Year1	
Year2	
Year3	
Total	
GoalsPriorities	
Needs	
Services	
Outcomes	
Tools	
Reporting	
Evaluation	

### ACCESSING THE eLOGIC MODEL™

Select the Tab labeled "Year1." This is the first copy of the eLogic Model™ form. The additional copies of the form labeled Year2, Year3 and Total are used for a multiple year award to specify Services/Activities and Outcomes by year for each year of the proposed program. Year2 for example, would contain Services/Activities and Outcomes projected for the second year ONLY (not a cumulative total for Year1 and Year2, etc.)). Applicants applying for a multiple year award must complete a Worksheet for each year of performance. The "Total" Worksheet should be used to show the cumulative accomplishments achieved for all Services/Activities and Outcomes for all years covered by the award. The "Total" worksheet must reflect the sum of all years of the award. For example, a two-year award would include the Worksheets showing all Services/Activities and Outcomes for Year1, all Services/Activities and Outcomes for year Year2 and the "Total" Worksheet showing the cumulative totals for all Services/Activities and Outcomes for both Year1 and Year2. A three-year award would include the Worksheets showing all Services/Activities and Outcomes for Year1, all Services/Activities and Outcomes for year Year2, all Services/Activities and Outcomes for year Year3, and the "Total" Worksheet showing the cumulative totals for all Services/Activities and Outcomes for Year1, Year2, Year 3. A one-year award would include ONLY Year1. A Total Worksheet is not required for a one year award.

**NOTE: Each cell of the Worksheet is "lock protected" so you can only make entries in cells that are for input as directed by these instructions.**

To complete the eLogic Model™ form, in the first row there is a label, "**Applicant Name**", cell [E1]. Enter the name of the applicant organization applying for funding. Enter the Applicant Name exactly as it appears in box 8a of the SF-424. Once you have entered your "Applicant Name" in the Worksheets labeled Year1, the Year2, Year3, and Total, Worksheets will automatically populate the same information.

In the second row there is a label, "**Project Name.**" Enter the name of your project in cell [E2]. Use exactly the same name as you did on box 15 of the form SF-424. If you are submitting multiple applications under the same applicant name for the same HUD program, you must include a project name that can distinguish between the two applications and logic models submitted, e.g. HBCU-Dillard-Affordable Housing15, HBCU-Dillard-Affordable Housing16. If the project name is not known at time of application, then insert TBD1, TBD2, etc, e.g. HBCU-Dillard-TBD1, HBCU-Dillard-TBD2. Once you have entered your "Project Name" in the Worksheets labeled Year1, the Year2, Year3, and Total, Worksheets will automatically populate the same information.

Immediately below "Project Name," there is a field for "**Project Type.**" Project Type describes the type of project you are doing, e.g. technical assistance, counseling, housing group home, independent living, homeownership, transitional housing, supportive housing, or economic development. See the program NOFA for specific instructions. If the program NOFA does not have specific instructions, leave this field blank.

Immediately below "Project Type" is a field for "**Construction Type.**" Construction Type describes the type of Construction you are doing, e.g. new construction, rehabilitation, acquisition, or mixed use development. See the program NOFA for specific instructions. If the program NOFA does not have specific instructions, leave this field blank.

Immediately to the right of the "Applicant Name" there is a field labeled "**HUD Program.**" This field is already pre-filled; please verify that it matches the program for which you are applying.

To the right of the "HUD Program" there is a field labeled "**Component Name**" cell [N-4]. If the program under which you are applying has components, e.g., EOI or PEI under the Fair Housing Initiatives Program, or a TA Program under the CDTA NOFA, enter the name of the program component for which you are applying. If there are no components in the funding opportunity for which you are seeking funding, leave this field blank. Once you have entered your "Component Name" in the worksheet labeled Year1, Year2, Year3, and Total, it will automatically populate the same information.

Immediately below the "HUD Program" there are fields labeled "**Period**", "**Start Date**" and "**End Date.**" **LEAVE THESE FIELDS BLANK.** They are for reporting purposes. See additional details under, INSTRUCTIONS FOR REPORTING PERFORMANCE TO HUD.

Immediately to the left of the "Component Name" there is a field which is already pre-filled with one of the following; Year1, or Year2, or Year3, or Total.

Please make sure that you are using the OMB Approved form for 2008. Any form that has an expiration date prior to 2008 is not a valid form. A copy of the current form can be found in the download instructions of the program application made available at [www.grants.gov](http://www.grants.gov)

Services/Activities and Outcomes do not populate as there are any number of combinations of activities and outcomes that can be performed over the life of an award.

#### **COLUMNS OF THE eLOGIC MODEL™ (1-7)**

##### **Column 1 – Policy**

Under the "Policy" Column (1), there are actually two columns; one for HUD Goals, and one for Policy Priority. Review the HUD Goals and Policy Priorities by clicking on the Tab labeled, "GoalsPriorities" at the bottom of the Workbook. For each of the eLogic Model™ Worksheets used in your application (Year1 Year2 Year3 Total) select the HUD Goals and Policy Priorities that your program will address. You do this by clicking the mouse in one of the cells in Column (1) of the worksheets labeled (Year1 Year2 Year3 Total). A little dropdown arrow appears. Click the dropdown arrow and a dropdown list of letters and numbers that correspond to the HUD Goals and Policy Priority will appear. Select one of the HUD Goals and Policy Priority letter/number in the list by clicking it. If you make an error and want to remove the listing, select the cell and click the DELETE KEY on your keyboard. The item will be deleted.

To associate the Goals and Policy Priorities to particular Services/Activities, select a Goal/Policy priority in Column 1 and then select a related Service/Activity in Column 3, Programming. If there are several Services/Activities to be completed related to the Goal/Policy Priority, select all the related Services/Activities and associated outcomes and then skip a row before entering the next goal/policy priority. Applicants/Grantees can make clear during each Year of their award what Services/Activities are related to the achievement of the HUD Goal/Policy Priority selected.

Repeat this process until you have selected all HUD Goals Policy Priorities that apply to your application.

### Column 2 – Planning

Under the "Planning" Column (2), select a "Problem, Need, Situation" statement. Do this by clicking the mouse in one of the cells of this column. A little dropdown arrow appears. Click the dropdown arrow and a dropdown list of "Problem, Need, Situation" Statements will appear. Select one or more of these Statements in the list by clicking it. Because the column is too narrow to show the full Statement in the dropdown list, you may wish to refer to the Tab labeled "Needs" to see the full Statements or you can (using your mouse) click on the shaded cell [D5] labeled "Problem, Need, Situation" and this will expand the cell. To return the cell to its original size, click again on cell [D5] labeled "Problem, Need, Situation."

**NOTE: When expanding and returning the cell to its original size, click once. Do not double click.**

When you select a "Problem, Need, Situation" Statement, the full Statement will fill the cell. If you don't want this Statement, you can simply click the dropdown arrow again and select another item; or, you can delete a Statement by selecting the cell and clicking the DELETE KEY on your keyboard. If you want to select more than one Statement, go to the next cell in the column and repeat the process, selecting the appropriate Statement. You can do this until you have selected all the Statements that are appropriate to your proposed program. The selections should reflect the problems, needs or situations identified in your response to your Rating Factor narratives. There is no need to select all the Statements if they do not apply to what you plan to address or accomplish with the funding requested.

### Column 3 – Programming

Under the "Programming" Column (3), select a Service or Activity. You do this by clicking the mouse in one of the cells of this column. A little dropdown arrow appears. Click the dropdown arrow and a dropdown list of eligible Services or Activities appears. Select one of the Services or Activities in the list by clicking it. Identify your Year1 Services or Activities using the Year1 Worksheet. Identify Year2 Services or Activities using the Year2 Worksheet. Identify Year3 Activities using the Year3 Worksheet. Make a composite Logic Model of all years on the Total Worksheet. If you are only applying for a one year award, you do not need to create a composite Logic Model on the Total Tab. Because the column is too narrow to show the full Services or Activities/Outputs Statement in the dropdown list, you may wish to refer to the Tab labeled "Services" to see the full range of eligible Services or Activities/Outputs, or you can (using your mouse) click on the shaded cell [E5] Service or Activities/Outputs. This will expand the cell. To return the cell to its original size, click on shaded cell [E5] Service or Activities/Outputs.

**NOTE: When expanding and returning the cell to its original size, click once. Do not double click.**

**NOTE: If the Service or Activity/Outputs that you are looking for does not appear on the dropdown list, choose "Other" from the dropdown list.** A dialog box will appear that says "Year1". Click "OK" and another dialog box will appear that says, "You have selected 'Other' which means that you must create a new Activity or Outcome and a Unit of Measure, are you prepared to do this Now?"; click "Yes" if you wish to continue. You will see an input window that says, "Enter a new Activity or Outcome to your selection list". Enter your Service or Activity in the field provided and click "OK". A second window will appear that says, "Specify a Unit of Measure for the Activity or Outcome you entered". Enter the unit of measure in the field provided and click "OK". The new Service or Activity will appear in the Logic Model cell and it will be added to the dropdown list. **YOU ARE ONLY PERMITTED TO ADD A TOTAL OF THREE NEW SERVICES OR ACTIVITIES PER LOGIC MODEL.**

In the event that you want to delete, or change your newly created Service or Activity, click the Tab labeled Services at the bottom of your screen and then click cell [B1] "Click here to allow deletion of New Activities" at the top right of the window. A dialog box will appear that says "Click on a new Activity to delete it from you Logic Model", click "OK". A dialog box will appear that says "Caution! This will delete all instances of new services or activities in your Logic Model, do you wish to continue?" Click "Yes". The new Activity you added will be displayed with the prefix "new". You can only delete new Services or Activities.

To find out how to associate a service/activity and outcome to a HUD goal and/or policy priority see the instructions under Column 1, Policy.

### Column 4 – Measure

Notice that as the Service or Activity you selected appears in Column 3, a corresponding Unit of Measure appears or populates in the Column 4, Measure. The Unit of Measure could be "persons", "dollars", "square feet", "houses", date, or some other Unit of Measure that relates to the selected Service or Activity. Immediately below the Unit of Measure are three blank cells. Enter the projected number of persons or units (or dates if applicable) you are proposing to deliver or accomplish in the "Pre" column. When entering the date, use the format MM/DD/YYYY. When entering your projection in the "Pre" column, type the number or date in the cell and tab down or use your mouse to go to the next cell. If you click the Enter key, you will see the error message, "Run-time error '13' :". If you see this message, click the button labeled End to continue. The "Run-time error '13' :". will not affect your work.

Please note that the "Post" and the Year-to-Date (YTD) columns are locked to be used later for reporting purposes.

### Column 5 – Impact

Under Column 5, "Impact", select the Outcome that best corresponds to the "Problem, Need, Situation" Statement, Column 2 and Service or Activity, Column 3, that you just previously identified and selected for your logic model. This is the same procedure used for completing Column 3. When you select an Outcome from the dropdown list, a Unit of Measure automatically appears in the next column "Measure". Because the column is too narrow to show the full Outcome Statement in the dropdown list, you may wish to refer to the Tab labeled "Outcomes" to see the full range of Outcomes, or you can (using your mouse) click on the shaded cell [J5] Outcome. This will expand the cell. To return the cell to its original size, click on shaded cell [J5] Outcome.

**NOTE: When expanding and returning the cell to its original size, click once. Do not double click.**

**NOTE:** If the Outcome that you are looking for does not appear on the dropdown list, choose "Other" from the dropdown list. A dialog box will appear that says "Year1". Click "OK" and another dialog box will appear that says, "You have selected 'Other' which means that "you must create a new Activity or Outcome and a Unit of Measure, are you prepared to do this Now?" ; click "Yes" if you wish to continue. You will see an input window that says, "Enter a new Activity or Outcome to your selection list". Enter your Outcome in the field provided and click "OK". A second window will appear that says, "Specify a Unit of Measure for the Activity or Outcome you entered". Enter the Unit of Measure in the field provided and click "OK". The new Outcome will appear in the Logic Model cell and it will be added to the dropdown list. **YOU ARE ONLY PERMITTED TO ADD A TOTAL OF THREE NEW OUTCOMES PER LOGIC MODEL.**

In the event that you want to delete, or change your newly created Outcome, click the Tab labeled Outcomes at the bottom of your screen and then click cell [B1] "Click here to allow deletion of New Outcomes" at the top right of the window. A dialog box will appear that says "Click on a new Outcome to delete it from your Logic Model", click "OK". A dialog box will appear that says "Caution! This will delete all instances of new outcomes in your Logic Model, do you wish to continue?" Click "Yes". The new Outcome you added will be displayed with the prefix "new". You can only delete new Outcomes.

### Column 6 – Measure

As the Outcomes you selected appear in the cell, a corresponding Unit of Measure appears or populates in Column 6, Measure. The Unit of Measure could be "persons", "dollars", "square feet", "houses", date, or some other Unit of Measure that relates to the selected Service or Activity. Immediately below the Unit of Measure are three blank cells. Enter the projected number of persons or units (or dates if applicable) you are proposing to deliver or accomplish in the "Pre" column. When entering the date, use the format MM/DD/YYYY. When entering your projection in the "Pre" column, type the number or date in the cell and tab down or use your mouse to go to the next cell. If you click the Enter key, you will see the error message, "Run-time error '13':". If you see this message, click the button labeled End to continue. The "Run-time error '13':" will not affect your work.

The "Post" and the Year-to-Date (YTD) columns are locked to be used later for reporting purposes.

### Review for Using Columns 2, 3, 4, 5, and 6 of the eLogic Model™

Repeat the process of specifying a "Policy", "Problem, Need, Situation", "Service or Activity" and "Outcome" using as many rows as is necessary to fully describe your proposal. The eLogic Model™ form extends to six pages when printed out. You may view a preprint of your logic model at any time by selecting from the Menu bar at the very top of the Excel Window: FILES | Print Preview. It is recommended that you do this periodically to get a better view of the logic model you are creating.

**NOTE:** You can adjust the look of your logic model by skipping rows, so that "Problem, Need, Situation", "Service or Activity" and "Outcome" are grouped or associated together. If you are conducting a multi-year project and the "Service or Activity" occurs in Year1 with the resulting Outcome occurring in Year2, make sure that you show the relationship between the Service/Activity in Year1 with the Outcomes occurring in Year2 and similarly the relationships between Year2 Service/Activity with the Outcomes occurring in Year3. You can do this by leaving blank fields and not repeating Activities/Services in Year2 and Year3.

**CAUTION, DO NOT CUT & PASTE ITEMS FROM ONE COLUMN TO ANOTHER.** For example, do not cut and paste an item from the “Problem, Need, Situation” column to the “Service or Activity” Column, or the “Service or Activity” Column to the “Outcome” Column. Doing so will produce an unstable worksheet which will behave erratically, requiring you to start over with a new blank eLogic Model™ workbook.

### Column 7 – Accountability

Under the “Accountability” Column (7), enter the tools and the process of collection and processing of data in your organization to support all project management, reporting, and responses to the Management Questions. This column provides the framework for structuring your data collection efforts. If the collection and processing of data is not well planned, the likelihood of its use to further the management of the program and support evaluation activity is limited. If data are collected inconsistently, or if data are missing, not retrievable, or mishandled, the validity of any conclusions is weakened.

The structure of Column 7 contains five components in the form of dropdown fields that address the Evaluation Process. You are responsible for addressing each of the five steps that address the process of managing the critical information about your project.

- A. Tools for Measurement
- B. Where Data Maintained
- C. Source of Data
- D. Frequency of Collection
- E. Processing of Data

You may select up to five choices for each of the five processes (A-E) that supports Accountability and tracks Outputs and Outcomes. Given the limited space, please identify the most frequent sources for the processes (A-E). As you proceed through the remaining components, B through E, specify those components in the same order as you selected the “Tools for Measurement” listed under item A. That is, if the first Tool is “Pre-post Test,” then the first item under B “Where Data Maintained” must identify where the pre-post test data is maintained, and so on through E the first entry should pertain to “Pre-post Test.” Likewise, if the second item in A is “Satisfaction Surveys,” then specify the second item in B through E as it pertains to “Satisfaction Surveys.”

**A. Tools for Measurement.** A device is needed for collecting data; e.g. a test, a survey, an attendance log, an inspection report, etc. The tool “holds” the evidence of the realized Output or Outcome specified in the logic model. At times, there could be multiple tools for a given event. A choice can be made to use several tools, or rely on one that is most reliable, or most efficient but still reliable. Whatever the tool, it is important to remain consistent throughout the project.

**Instructions:** Under Column 7, Accountability, select your choices of “Tools for Measurement” to Track Outputs and Outcomes. You do this by clicking the mouse in one of the cells of this column. A little dropdown arrow appears. Click the dropdown arrow and a dropdown list of Tools appears. Select one or more of the Tools in the list by clicking it.

**B. Where Data Maintained.** A record of where the data or data tool resides must be maintained. It is not required that all tools and all data are kept in one single place. You may keep attendance logs at the main office files, but keep other tools or data such as a “case record” in the case files at the service site. It is important to designate where tools and/or data are to be maintained. For example, if your program has a sophisticated computer system and all data is entered into a custom-designed database, it is necessary to designate where the original or source documents will be maintained.

**Instructions:** Under Column 7, Accountability, select your choices of “Where Data Maintained.” You do this by clicking the mouse in one of the cells of this column. A little dropdown arrow appears. Click the dropdown arrow and a dropdown list of Where Data Maintained appears. Select one or more of the Where Data Maintained in the list by clicking it.

**C. Source of Data.** This is the source where the data originates. Identify the source and make sure that it is appropriate.

**Instructions:** Under Column 7, Accountability, select your choices of “Source of Data.” You do this by clicking the mouse in one of the cells of this column. A little dropdown arrow appears. Click the dropdown arrow and a dropdown list of Source of Data appears. Select one or more of the Source of Data in the list by clicking it.



**D. Frequency of Collection.** Timing matters in data collection. In most instances, you want to get it while it occurs. Collect data at the time of the encounter; if impossible, when it is most opportune immediately thereafter. For example, collect report card data immediately upon the issuance of report cards. Do not wait until after the school year is over. Collect feedback surveys at the conclusion of the event, not a few months later when clients may be difficult to reach. Reporting can be done at anytime if the data is already collected. Another important aspect of this dimension is consistency. If some post tests are collected soon after the event, but others are attempted months later, the data are confounded by the differences in the timing. If some financial data are collected at the middle of the month and others at the end of the month, the data may be confounded by systematic timing bias.

**Instructions:** Under Column 7, Accountability, select your choices of "Frequency of Collection." You do this by clicking the mouse in one of the cells of this column. A little dropdown arrow appears. Click the dropdown arrow and a dropdown list of Frequency of Collection appears. Select one or more of the Frequency of Collection in the list by clicking it.

**E. Processing of Data.** This is where you identify the mechanism that will be employed to process the data. Some possibilities are: manual tallies, computer spreadsheets, flat file database, relational database, statistical database, etc. The eLogic Model™ is only a summary of the program and it cannot accommodate a full description of your management information system. There is an implicit assumption that the grantee has thought through the process to assure that the mechanism is adequate to the task(s).

**Instructions:** Under Column 7, Accountability, select your choices of "Processing of Data." You do this by clicking the mouse in one of the cells of this column. A little dropdown arrow appears. Click the dropdown arrow and a dropdown list of Processing of Data appears. Select one or more of the Process of Data in the list by clicking it.

#### **SAVING YOUR eLOGIC MODEL™**

When you are finished completing the eLogic Model™ form(s), or wish to stop and continue later, save the file by going to the Excel™ Menu bar and choosing FILE | Save As. Then specify a name for the file, and note where you save the file on your hard drive. Use the name of the HUD Program and your organization name to form a file name for your eLogic Model™, e.g. HBCU-Dillard.xls or HCP-UrbanLeague.xls. Excel™ automatically adds the file extension ".xls" to your file name. Make sure the file extension .xls is not capitalized. In following these directions, if your organizational name exceeds the 50 character limit for space, you should abbreviate your organizational name by either using its initials or a recognizable acronym, e.g. South Carolina State University maybe written as SCSU; Howard University maybe written as HOWDU.

If you are submitting multiple applications under the same applicant name for the same HUD program, you must include a project name that can distinguish between the two applications and logic models submitted, e.g. HBCU-Dillard-Affordable Housing15.xls, HBCU-Dillard-Affordable Housing16.xls. Please be sure to review the file formats and naming requirements contained in the General Section.

Later, you will "Attach" this file to your application. Please remember the name of the file that you are saving. Be sure to delete any earlier version so that when you go to attach the file to your application, you select the appropriate and final file.

A single workbook will be adequate for completing your eLogic Model™.

This ends the instructions for completing your Logic Model for application submission.

#### **INSTRUCTIONS FOR REPORTING PERFORMANCE TO HUD**

**Do not modify or change the integrity of the Workbook by adding additional Tabs or Worksheets. The Instructions provided here will meet your needs. When saving your Workbook, save it in the Excel format. Do not convert it into PDF.**

If your project is selected for funding, the eLogic Model™ will be used as a monitoring and reporting tool upon final approval from the HUD program office. Upon approval, HUD will open the reporting side of the eLogic Model™ allowing you to submit actual Outputs and Outcomes against approved Services/Activities and projected Outcomes. Specifically, HUD will open the "Post" and "YTD" fields in both Columns 4 and 6, and will close the "Pre" fields in the same columns. HUD will also open the Reporting Tab for you to meet the reporting requirements that are discussed below. The HUD program office will send you the approved eLogic Model™ to be used for reporting purposes. Identify the reporting period covered by the report in Column "I" of the worksheet lines 1, 2 and 3.

#### **Reporting Period, Start and End Dates**

Below the "HUD Program" field, there are additional fields labeled "Period", "Start Date" and "End Date." When actually reporting performance on your approved eLogic Model™, first identify the Period of reporting by using the dropdown feature for quarterly, semiannually, annually, final. Then enter a Start Date and End Date that reflects the reporting period you will be submitting in accordance with required reporting time frames. **When entering the dates, you must use this format, MM/DD/YYYY including the slashes.**

## **COMPLETING PERFORMANCE INFORMATION in YEAR1, YEAR2, YEAR3, AND TOTAL TABS.**

As previously described, the HUD approved eLogic Model™ will be used as a monitoring and reporting tool for your award. HUD will open the reporting side of the eLogic Model™ allowing you to submit actual Outputs and Outcomes against approved Services/Activities and projected Outcomes. The HUD program office will send you the approved eLogic Model™ to be used for reporting purposes.

Your projections approved by HUD that were entered in the "Pre" Column will be locked and the "Post" and "YTD" will be opened for reporting purposes. When reporting, enter Year1 accomplishments utilizing the Year1 Tab, Year 2 accomplishments utilizing the Year2 Tab, and Year3 accomplishments utilizing the Year3 Tab. For multi-year awards, use the Total Tab to capture cumulative reporting during years 2 and 3 and for your final report. If you have a one year award you only need to complete Year1 for your final report. If you have a two year award, use Year1, Year2, and Total.

In each reporting period, enter your non-cumulative accomplishments under the column labeled "Post". Cumulative per year should be entered in the column labeled "YTD." For example:

When reporting the first quarter Activities in **Year1**, enter your first quarter accomplishments in the "Post" column and the cumulative accomplishments in the "YTD" column. For the first quarter reporting, the numbers or dates will be the same in both columns. For the second quarter of Year1 reporting, you will enter the non-cumulative second quarter results (what actually occurred in the second quarter independent of the previous quarter) in the "Post" column. In the "YTD" column, you will enter the cumulative total of both the first and second quarter accomplishments. Follow this same process for all quarters in Year1.

When reporting the first quarter Activities in **Year2**, enter your first quarter accomplishments of Year2 non-cumulative in the "Post" column and the cumulative accomplishment of Year2 in the "YTD" column. For the first quarter reporting the numbers or dates will be the same in both columns. For the second quarter of Year2 reporting, you will enter the non-cumulative second quarter results (what actually occurred in the second quarter independent of the previous quarter) of the Year2 in the "Post" column. In the "YTD" column, you will enter the cumulative total of both the first and second quarter accomplishments for Year2. Follow these instructions for all quarters in Year2.

When reporting the first quarter Activities in **Year3**, enter your first quarter accomplishments of Year3 non-cumulative in the "Post" column and the cumulative accomplishment of Year3 in the "YTD" column. For the first quarter reporting the numbers or dates will be the same in both columns. For the second quarter of Year3 reporting, you will enter the non-cumulative second quarter results (what actually occurred in the second quarter independent of the previous quarter) of the Year3 in the "Post" column. In the "YTD" column you will enter the cumulative total of both the first and second quarter of accomplishments for Year3. Follow these instructions for all quarters in Year3.

### **Using the Total Worksheet**

If you have a multi-year award, you will begin to use the "Total" Tab at the beginning of the second year. The "Total" Tab is designed to show cumulative totals of Year1, Year2, and Year3. The "Total" Worksheet will show the progress made for all quarters in Year1 and the first quarter in Year2 in the "Post" column. The "YTD" column will show progress in Year1 and the first quarter of Year2. Follow these instructions for all quarters in Year2, and Year3. At the end of the award period, the "Total" Worksheet will contain the cumulative total for all years. A full discussion about using the Total Worksheet is in the beginning of these Instructions in the "eLOGIC MODEL™ 2008 SPECIAL FEATURES" section.

### **Using the Reporting Worksheet**

The Reporting Worksheet serves two functions: 1) Respond to the Management Questions identified in the Evaluation Tab, and 2) Describe or explain actual performance as compared to what was projected and provide an explanation of any deviation (positive or negative) from the projections in your approved eLogic Model™.

For 2008, HUD has converted the Management Questions from narrative responses to data driven responses. Use the Reporting Worksheet to enter your responses to the Management Questions by entering the appropriate "Count/Amount" in the fields provided. The last question asks, "Describe the population you are serving in the space below." Enter a brief summary description of the demographic and socio-economics characteristics of the area or clients you are serving. Your description should be short and to the point -- a paragraph or less.

Explain any variances between projected Services or Activities and Outcomes vs. Actual Services or Activities and Outcomes in the text box provided.

**Narrative Description - Positive/Negative Deviation from Approved Logic Model Projections**

In addition to your submission of your eLogic Model™ results, you must include a narrative indicating any positive or negative deviations from projected Services/Activities/Outputs and Outcomes as contained in your approved eLogic Model™ and explain the basis for the actual performance as compared to what was projected. In your narrative be sure to identify the Services/Activities/Outputs and Outcomes from your approved eLogic Model™ that you are describing and the reason why this deviation occurred. When doing this, create a paragraph header labeled, "Narrative Description - Positive/Negative Deviation from Approved Logic Model Projections".

Save the eLogic Model™ file you receive from HUD. Each time you submit your report to HUD, add the reporting period and year to the file name, e.g. HBCU-Dillard-Affordable Housing16qtr107 for a 1st quarter report, HBCU-Dillard-Affordable Housing16qtr207 for a 2nd quarter or semi-annual report, HBCU-Dillard-Affordable Housing16qtr307 for a 3rd quarter report, and HBCU-Dillard-Affordable Housing 16qtr407 for a 4th quarter or annual report. When reporting for a multiple year award, use the same format but change the year, e.g. HBCU-Dillard-Affordable Housing16qtr108.

**Response to Management Questions**

The Management Questions are located in the Reporting Tab and Evaluation Tab. The Reporting Tab is the actual place where you will report. The Evaluation Tab describes the evaluation process using the Management Questions. Each program has different Management Questions that are applicable to that program only. The Management Questions contained in the eLogic Model™ ask key questions related to all Services/Activities and Outcomes in the drop-down listings in the eLogic Model™ forms for each HUD program. Applicants are required to report on the Management Questions which relate to the specific Services/Activities and Outcomes that are in their HUD approved eLogic Models™. HUD will use the approved eLogic Models™ for monitoring accountability throughout the project. The Services/Activities and Outcomes identified in your approved eLogic Model™, and resultant data reported in your eLogic Model™ over the award performance period should enable you to address most or all of the Management Questions reflective of your project. The data collected during the course of your work and captured in the eLogic Model™ will also be useful to you in evaluating the effectiveness of your program. For eLogic Model™ Training via webcast, consult the webcast schedule found at HUD's website at: <http://www.hud.gov/offices/adm/grants/fundsavail.cfm>. If you have any questions regarding reporting requirements, please contact your HUD program representative.

For 2008, HUD has converted the Management Questions from narrative responses to data-driven responses. When responding to the Management Questions in the Worksheet labeled "Reporting", enter the responses to the Management Questions by using the fields labeled "Count/Amount" and the text box when answering the last Management Question.

**Submission Requirements**

In addition to following the reporting requirements in your award agreement, you must also submit an electronic copy. (See the FY2007 General Section of the NOFA in the HUD approved electronic formats)



Applicant Name:   
 Project Name:   
 Project Type:   
 Construction Type:

HUD Program: **ICDBG**  
 Period:   
 Start Date:   
 End Date:

US Department of Housing and Urban Development  
 OMB Approval 2535-0114 exp. 2008 Pending  
 Component Name:

HUD Goals	Policy Priority	Problem, Need, Situation	Services or Activities/Outputs	Measure			Outcome	Year 1 Measure			Evaluation Tools
				Pre	Post	YTD		Pre	Post	YTD	
1	2	3	4	5	6	7					
Policy	Planning	Programming	Pre	Post	YTD	Impact	Pre	Post	YTD	Accountability	
				#N/A			#N/A			<b>A. Tools for Measurement</b>	
				#N/A			#N/A				
				#N/A			#N/A				
				#N/A			#N/A			<b>B. Where Data Maintained</b>	
				#N/A			#N/A				
				#N/A			#N/A				
				#N/A			#N/A			<b>C. Source of Data</b>	
				#N/A			#N/A				
				#N/A			#N/A				
				#N/A			#N/A			<b>D. Frequency of Collection</b>	
				#N/A			#N/A				
				#N/A			#N/A				
				#N/A			#N/A			<b>E. Processing of Data</b>	
				#N/A			#N/A				
				#N/A			#N/A				
				#N/A			#N/A				
				#N/A			#N/A				
				#N/A			#N/A				
				#N/A			#N/A				
				#N/A			#N/A				
				#N/A			#N/A				
				#N/A			#N/A				
				#N/A			#N/A				



Applicant Name:   
 Project Name:   
 Project Type:   
 Construction Type:

HUD Program: **ICDBG**  
 Period:   
 Start Date:   
 End Date:

US Department of Housing and Urban Development  
 OMB Approval 2535-0114 exp. 2008 Pending

Component Name:

Year 1

HUD Goals	Policy Priority	Problem, Need, Situation	Services or Activities/Outputs	Measure			Outcome	Measure			Evaluation Tools
				Pre	Post	YTD		Pre	Post	YTD	
1	2	3		4		5	6		7		
Policy	Planning	Programming		Pre	Post	YTD	Impact	Pre	Post	YTD	Accountability



**Applicant Name:**   
**Project Name:**   
**Project Type:**   
**Construction Type:**

**HUD Program:** **ICDBG**  
**Period:**   
**Start Date:**   
**End Date:**

HUD Goals	Policy Priority	Problem, Need, Situation	Services or Activities/Outputs	Measure			Outcome	Year 1 Measure			Evaluation Tools
				Pre	Post	YTD		Pre	Post	YTD	
1	Policy	2	3	4	5	6	7	Accountability			
		Planning	Programming	#N/A	Impact	#N/A					
				#N/A		#N/A					
				#N/A		#N/A					
				#N/A		#N/A					
				#N/A		#N/A					
				#N/A		#N/A					
				#N/A		#N/A					
				#N/A		#N/A					
				#N/A		#N/A					
				#N/A		#N/A					
				#N/A		#N/A					
				#N/A		#N/A					
				#N/A		#N/A					
				#N/A		#N/A					
				#N/A		#N/A					
				#N/A		#N/A					
				#N/A		#N/A					
				#N/A		#N/A					
				#N/A		#N/A					
				#N/A		#N/A					



Applicant Name: \_\_\_\_\_  
 Project Name: \_\_\_\_\_  
 Project Type: \_\_\_\_\_  
 Construction Type: \_\_\_\_\_

HUD Program: **ICDBG**  
 Period: \_\_\_\_\_  
 Start Date: \_\_\_\_\_  
 End Date: \_\_\_\_\_

US Department of Housing and Urban Development  
 OMB Approval 2535-0114 exp. 2008 Pending

Component Name: \_\_\_\_\_

Year 1

HUD Goals	Policy Priority	Problem, Need, Situation	Services or Activities/Outputs	Measure			Outcome	Measure			Evaluation Tools
				Pre	Post	YTD		Pre	Post	YTD	
1	2	3	4	5	6	7					
Policy	Planning	Programming	Pre	Post	YTD	Impact	Pre	Post	YTD	Accountability	
			#N/A				#N/A				
			#N/A				#N/A				
			#N/A				#N/A				
			#N/A				#N/A				
				#N/A			#N/A				
				#N/A			#N/A				
				#N/A			#N/A				
				#N/A			#N/A				
				#N/A			#N/A				
					#N/A			#N/A			
					#N/A			#N/A			
					#N/A			#N/A			
					#N/A			#N/A			
					#N/A			#N/A			
				#N/A			#N/A				
				#N/A			#N/A				
				#N/A			#N/A				
				#N/A			#N/A				
				#N/A			#N/A				
					#N/A			#N/A			
					#N/A			#N/A			
					#N/A			#N/A			
					#N/A			#N/A			
					#N/A			#N/A			



Applicant Name: \_\_\_\_\_  
 Project Name: \_\_\_\_\_  
 Project Type: \_\_\_\_\_  
 Construction Type: \_\_\_\_\_

HUD Program: **ICDBG**  
 Period: \_\_\_\_\_  
 Start Date: \_\_\_\_\_  
 End Date: \_\_\_\_\_

US Department of Housing and Urban Development  
 OMB Approval 2535-0114 exp. 2008 Pending

Component Name: \_\_\_\_\_

Year 1

HUD Goals	Policy Priority	Problem, Need, Situation	Services or Activities/Outputs	Measure			Outcome	Measure			Evaluation Tools
				Pre	Post	YTD		Pre	Post	YTD	
1	2	3	4	5	6	7					
Policy	Planning	Programming		Impact		Accountability					
			#N/A		#N/A						
			#N/A		#N/A						
			#N/A		#N/A						
			#N/A		#N/A						
			#N/A		#N/A						
			#N/A		#N/A						
			#N/A		#N/A						
			#N/A		#N/A						
			#N/A		#N/A						
			#N/A		#N/A						
			#N/A		#N/A						
			#N/A		#N/A						
			#N/A		#N/A						
			#N/A		#N/A						
			#N/A		#N/A						
			#N/A		#N/A						





Applicant Name:

Project Name:

Project Type:

Construction Type:

HUD Program: **ICDBG**

Period:

Start Date:

End Date:

Year 1

HUD Goals	Policy Priority	Problem, Need, Situation	Services or Activities/Outputs	Measure			Outcome	Measure			Evaluation Tools
				Pre	Post	YTD		Pre	Post	YTD	
1	2	3	4	5	6	7					
Policy	Planning	Programming	Impact	Pre	Post	YTD	Pre	Post	YTD	Accountability	
				#N/A				#N/A			
				#N/A				#N/A			
				#N/A				#N/A			
				#N/A				#N/A			
				#N/A				#N/A			
				#N/A				#N/A			
				#N/A				#N/A			
				#N/A				#N/A			
				#N/A				#N/A			
				#N/A				#N/A			
				#N/A				#N/A			
				#N/A				#N/A			
				#N/A				#N/A			
				#N/A				#N/A			
				#N/A				#N/A			
				#N/A				#N/A			
				#N/A				#N/A			
				#N/A				#N/A			
				#N/A				#N/A			
				#N/A				#N/A			
				#N/A				#N/A			
				#N/A				#N/A			
				#N/A				#N/A			



Applicant Name: 0
Project Name: 0
Project Type: 0
Construction Type: 0

HUD Program: ICDBG
Period:
Start Date:
End Date:

US Department of Housing and Urban Development
OMB Approval 2535-0114 exp. 2008 Pending
Component Name:

Year 2 0

Main data table with 7 main columns: HUD Goals, Policy Priority, Problem, Need, Situation, Services or Activities/Outputs, Measure, Outcome, Measure, Evaluation Tools. Includes sub-headers for Pre, Post, YTD and Accountability, A. Tools for Measurement, B. Where Data Maintained, C. Source of Data, D. Frequency of Collection, E. Processing of Data.



Applicant Name: 0  
 Project Name: 0  
 Project Type: 0  
 Construction Type: 0

HUD Program: ICDBG  
 Period:  
 Start Date:  
 End Date:

US Department of Housing and Urban Development  
 OMB Approval 2535-0114 exp. 2008 Pending

Component Name:  
 0

HUD Goals	Policy Priority	Problem, Need, Situation	Services or Activities/Outputs	Measure			Outcome	Year 2			Evaluation Tools
				Pre	Post	YTD		Pre	Post	YTD	
1	Policy	2	3	4	5	6	7				
		Planning	Programming		Impact		Accountability				
				#N/A				#N/A			
				#N/A				#N/A			
				#N/A				#N/A			
				#N/A				#N/A			
				#N/A				#N/A			
				#N/A				#N/A			
				#N/A				#N/A			
				#N/A				#N/A			
				#N/A				#N/A			
				#N/A				#N/A			
				#N/A				#N/A			
				#N/A				#N/A			
				#N/A				#N/A			
				#N/A				#N/A			
				#N/A				#N/A			
				#N/A				#N/A			
				#N/A				#N/A			
				#N/A				#N/A			
				#N/A				#N/A			
				#N/A				#N/A			
				#N/A				#N/A			
				#N/A				#N/A			
				#N/A				#N/A			
				#N/A				#N/A			
				#N/A				#N/A			
				#N/A				#N/A			
				#N/A				#N/A			
				#N/A				#N/A			



Applicant Name: 0  
 Project Name: 0  
 Project Type: 0  
 Construction Type: 0

HUD Program: ICDBG  
 Period:  
 Start Date:  
 End Date:

Component Name: 0

HUD Goals		Policy Priority	Problem, Need, Situation	Services or Activities/Outputs			Measure			Outcome	Year 2 Measure			Evaluation Tools
1		2	3	4			5	6			7			
Policy		Planning	Programming	Pre	Post	YTD	Impact	Pre	Post	YTD	Accountability			
					#N/A				#N/A					
					#N/A				#N/A					
					#N/A				#N/A					
					#N/A				#N/A					
					#N/A				#N/A					
					#N/A				#N/A					
					#N/A				#N/A					
					#N/A				#N/A					
					#N/A				#N/A					
					#N/A				#N/A					
					#N/A				#N/A					
					#N/A				#N/A					
					#N/A				#N/A					
					#N/A				#N/A					
					#N/A				#N/A					
					#N/A				#N/A					
					#N/A				#N/A					
					#N/A				#N/A					
					#N/A				#N/A					
					#N/A				#N/A					
					#N/A				#N/A					
					#N/A				#N/A					
					#N/A				#N/A					
					#N/A				#N/A					
					#N/A				#N/A					
					#N/A				#N/A					
					#N/A				#N/A					
					#N/A				#N/A					
					#N/A				#N/A					
					#N/A				#N/A					
					#N/A				#N/A					
					#N/A				#N/A					
					#N/A				#N/A					
					#N/A				#N/A					
					#N/A				#N/A					
					#N/A				#N/A					
					#N/A				#N/A					
					#N/A				#N/A					



Applicant Name: 0  
 Project Name: 0  
 Project Type: 0  
 Construction Type: 0

HUD Program: **ICDBG**  
 Period:   
 Start Date:   
 End Date:   
 US Department of Housing and Urban Development  
 OMB Approval 2535-0114 exp. 2008 Pending

Component Name: **0**

HUD Goals	Policy Priority	Problem, Need, Situation	Services or Activities/Outputs	Measure			Outcome	Year 2 Measure			Evaluation Tools
				Pre	Post	YTD		Pre	Post	YTD	
1	Policy	2	3	4			5	6			7
		Planning	Programming				Impact				Accountability
				#N/A				#N/A			
				#N/A				#N/A			
				#N/A				#N/A			
				#N/A				#N/A			
				#N/A				#N/A			
				#N/A				#N/A			
				#N/A				#N/A			
				#N/A				#N/A			
				#N/A				#N/A			
				#N/A				#N/A			
				#N/A				#N/A			
				#N/A				#N/A			
				#N/A				#N/A			
				#N/A				#N/A			
				#N/A				#N/A			
				#N/A				#N/A			
				#N/A				#N/A			
				#N/A				#N/A			
				#N/A				#N/A			
				#N/A				#N/A			
				#N/A				#N/A			
				#N/A				#N/A			
				#N/A				#N/A			
				#N/A				#N/A			



Applicant Name: 0  
 Project Name: 0  
 Project Type: 0  
 Construction Type: 0

HUD Program: **ICDBG**  
 Period:  
 Start Date:  
 End Date:

Component Name: **0**

HUD Goals		Problem, Need, Situation	Services or Activities/Outputs	Measure			Outcome	Year 2			Evaluation Tools	
1	Policy Priority			4	Pre	Post		YTD	6	Pre		Post
	Policy	Planning	Programming		#N/A		Impact		#N/A		Accountability	
					#N/A					#N/A		
					#N/A					#N/A		
					#N/A					#N/A		
					#N/A					#N/A		
					#N/A					#N/A		
					#N/A					#N/A		
					#N/A					#N/A		
					#N/A					#N/A		
					#N/A					#N/A		
					#N/A					#N/A		
					#N/A					#N/A		
					#N/A					#N/A		
					#N/A					#N/A		



Applicant Name: 0  
 Project Name: 0  
 Project Type: 0  
 Construction Type: 0

HUD Program: **ICDBG**  
 Period:  
 Start Date:  
 End Date:

US Department of Housing and Urban Development  
 OMB Approval 2535-0114 exp. 2008 Pending

Component Name:

Year 2

0

HUD Goals	Policy Priority	Problem, Need, Situation	Services or Activities/Outputs	Measure			Outcome	Measure			Evaluation Tools
				Pre	Post	YTD		Pre	Post	YTD	
1	2	3	4	5	6	7					
Policy	Planning	Programming		Impact		Accountability					
			#N/A		#N/A						
			#N/A		#N/A						
			#N/A		#N/A						
			#N/A		#N/A						
			#N/A		#N/A						
			#N/A		#N/A						
			#N/A		#N/A						
			#N/A		#N/A						
			#N/A		#N/A						
			#N/A		#N/A						
			#N/A		#N/A						
			#N/A		#N/A						
			#N/A		#N/A						
			#N/A		#N/A						



Applicant Name: 0  
 Project Name: 0  
 Project Type: 0  
 Construction Type: 0

HUD Program: ICDBG  
 Period:  
 Start Date:  
 End Date:

US Department of Housing and Urban Development  
 OMB Approval 2535-0114 exp. 2008 Pending

Component Name:

Year 3

0

HUD Goals	Policy Priority	Problem, Need, Situation	Services or Activities/Outputs	Measure			Outcome	Measure			Evaluation Tools
1	2	3		4			5	6			7
Policy	Planning	Programming		Pre	Post	YTD	Impact	Pre	Post	YTD	Accountability
				#N/A				#N/A			A. Tools for Measurement
				#N/A				#N/A			
				#N/A				#N/A			
				#N/A				#N/A			B. Where Data Maintained
				#N/A				#N/A			
				#N/A				#N/A			
				#N/A				#N/A			
				#N/A				#N/A			C. Source of Data
				#N/A				#N/A			
				#N/A				#N/A			
				#N/A				#N/A			D. Frequency of Collection
				#N/A				#N/A			
				#N/A				#N/A			
				#N/A				#N/A			E. Processing of Data
				#N/A				#N/A			
				#N/A				#N/A			
				#N/A				#N/A			
				#N/A				#N/A			
				#N/A				#N/A			
				#N/A				#N/A			
				#N/A				#N/A			
				#N/A				#N/A			
				#N/A				#N/A			
				#N/A				#N/A			
				#N/A				#N/A			





Applicant Name: 0  
 Project Name: 0  
 Project Type: 0  
 Construction Type: 0

HUD Program: **ICDBG**  
 Period:  
 Start Date:  
 End Date:

US Department of Housing and Urban Development  
 OMB Approval 2535-0114 exp. 2008 Pending

Component Name:  
**0**

HUD Goals	Policy Priority	Problem, Need, Situation	Services or Activities/Outputs	Measure			Outcome	Year 3 Measure			Evaluation Tools
				Pre	Post	YTD		Pre	Post	YTD	
1	Policy	2 Planning	3 Programming	4			5 Impact	6			7 Accountability
				#N/A				#N/A			
				#N/A				#N/A			
				#N/A				#N/A			
				#N/A				#N/A			
				#N/A				#N/A			
				#N/A				#N/A			
				#N/A				#N/A			
				#N/A				#N/A			
				#N/A				#N/A			
				#N/A				#N/A			
				#N/A				#N/A			
				#N/A				#N/A			
				#N/A				#N/A			
				#N/A				#N/A			
				#N/A				#N/A			
				#N/A				#N/A			
				#N/A				#N/A			
				#N/A				#N/A			
				#N/A				#N/A			
				#N/A				#N/A			
				#N/A				#N/A			
				#N/A				#N/A			
				#N/A				#N/A			
				#N/A				#N/A			
				#N/A				#N/A			
				#N/A				#N/A			
				#N/A				#N/A			
				#N/A				#N/A			
				#N/A				#N/A			
				#N/A				#N/A			
				#N/A				#N/A			

eLogic Model™



Applicant Name: 0  
 Project Name: 0  
 Project Type: 0  
 Construction Type: 0

HUD Program: **ICDBG**  
 Period:  
 Start Date:  
 End Date:

US Department of Housing and Urban Development  
 OMB Approval 2535-0114 exp. 2008 Pending  
 Component Name:

HUD Goals		Policy Priority	Problem, Need, Situation	Services or Activities/Outputs		Measure			Outcome	Year 3			Evaluation Tools
1	2	3		4	5	6	7	Pre	Post	YTD	8	9	
			Planning	Programming	Pre	Post	YTD	Impact	Pre	Post	YTD	Accountability	
						#N/A				#N/A			
						#N/A				#N/A			
						#N/A				#N/A			
						#N/A				#N/A			
						#N/A				#N/A			
						#N/A				#N/A			
						#N/A				#N/A			
						#N/A				#N/A			
						#N/A				#N/A			
						#N/A				#N/A			
						#N/A				#N/A			
						#N/A				#N/A			
						#N/A				#N/A			
						#N/A				#N/A			
						#N/A				#N/A			
						#N/A				#N/A			
						#N/A				#N/A			
						#N/A				#N/A			
						#N/A				#N/A			



Applicant Name: 0  
 Project Name: 0  
 Project Type: 0  
 Construction Type: 0

HUD Program: ICDBG  
 Period:  
 Start Date:  
 End Date:

US Department of Housing and Urban Development  
 OMB Approval 2535-0114 exp. 2008 Pending  
 Component Name:

Year 3 0

HUD Goals	Policy Priority	Problem, Need, Situation	Services or Activities/Outputs	Measure			Outcome	Measure			Evaluation Tools
				Pre	Post	YTD		Pre	Post	YTD	
1	2	3	4	5			6			7	
Policy	Planning	Programming		Impact			Accountability				
				#N/A			#N/A				
				#N/A			#N/A				
				#N/A			#N/A				
				#N/A			#N/A				
				#N/A			#N/A				
				#N/A			#N/A				
				#N/A			#N/A				
				#N/A			#N/A				
				#N/A			#N/A				
				#N/A			#N/A				
				#N/A			#N/A				
				#N/A			#N/A				
				#N/A			#N/A				
				#N/A			#N/A				
				#N/A			#N/A				
				#N/A			#N/A				
				#N/A			#N/A				
				#N/A			#N/A				
				#N/A			#N/A				
				#N/A			#N/A				



Applicant Name:	0
Project Name:	0
Project Type:	0
Construction Type:	0

HUD Program:	ICDBG
Period:	
Start Date:	
End Date:	

US Department of Housing and Urban Development  
OMB Approval 2535-0114 exp. 2008 Pending  
**Component Name:**

HUD Goals		Problem, Need, Situation	Services or Activities/Outputs	Measure			Outcome	Measure			Evaluation Tools
1	Policy Priority			4	Pre	Post		YTD	6	Pre	
	Policy	Planning	Programming	#N/A			Impact	#N/A			Accountability
				#N/A				#N/A			
				#N/A				#N/A			
				#N/A				#N/A			
				#N/A				#N/A			
				#N/A				#N/A			
				#N/A				#N/A			
				#N/A				#N/A			
				#N/A				#N/A			
				#N/A				#N/A			
				#N/A				#N/A			
				#N/A				#N/A			
				#N/A				#N/A			
				#N/A				#N/A			
				#N/A				#N/A			
				#N/A				#N/A			
				#N/A				#N/A			
				#N/A				#N/A			
				#N/A				#N/A			
				#N/A				#N/A			
				#N/A				#N/A			
				#N/A				#N/A			
				#N/A				#N/A			
				#N/A				#N/A			
				#N/A				#N/A			
				#N/A				#N/A			
				#N/A				#N/A			
				#N/A				#N/A			
				#N/A				#N/A			
				#N/A				#N/A			
				#N/A				#N/A			

eLogic Model™



Applicant Name: 0  
 Project Name: 0  
 Project Type: 0  
 Construction Type: 0

HUD Program: **ICDBG**  
 Period:  
 Start Date:  
 End Date:

US Department of Housing and Urban Development  
 OMB Approval 2535-0114 exp. 2008 Pending

Component Name:

Year 3

0

HUD Goals	Policy Priority	Problem, Need, Situation	Services or Activities/Outputs	Measure			Outcome	Measure			Evaluation Tools
				Pre	Post	YTD		Pre	Post	YTD	
1	Policy	2 Planning	3 Programming	4			5 Impact	6			7 Accountability
				#N/A				#N/A			
				#N/A				#N/A			
				#N/A				#N/A			
				#N/A				#N/A			
				#N/A				#N/A			
				#N/A				#N/A			
				#N/A				#N/A			
				#N/A				#N/A			
				#N/A				#N/A			
				#N/A				#N/A			
				#N/A				#N/A			
				#N/A				#N/A			



Applicant Name: 0  
 Project Name: 0  
 Project Type: 0  
 Construction Type: 0

HUD Program: **ICDBG**  
 Period:  
 Start Date:  
 End Date:

US Department of Housing and Urban Development  
 OMB Approval 2535-0114 exp. 2008 Pending

Component Name:  
**0**

HUD Goals		Policy Priority	Problem, Need, Situation	Services or Activities/Outputs			Measure			Outcome	Measure			Evaluation Tools
1	2			3	4	5	6	7						
Policy	Planning	Programming	Pre	Post	YTD	Impact	Pre	Post	YTD	Accountability				
			#N/A				#N/A			A. Tools for Measurement				
			#N/A				#N/A							
			#N/A				#N/A							
			#N/A				#N/A			B. Where Data Maintained				
			#N/A				#N/A							
			#N/A				#N/A							
			#N/A				#N/A			C. Source of Data				
			#N/A				#N/A							
			#N/A				#N/A							
			#N/A				#N/A			D. Frequency of Collection				
			#N/A				#N/A							
			#N/A				#N/A							
			#N/A				#N/A			E. Processing of Data				
			#N/A				#N/A							
			#N/A				#N/A							
			#N/A				#N/A							
			#N/A				#N/A							
			#N/A				#N/A							
			#N/A				#N/A							
			#N/A				#N/A							
			#N/A				#N/A							
			#N/A				#N/A							
			#N/A				#N/A							
			#N/A				#N/A							
			#N/A				#N/A							
			#N/A				#N/A							
			#N/A				#N/A							
			#N/A				#N/A							
			#N/A				#N/A							
			#N/A				#N/A							
			#N/A				#N/A							
			#N/A				#N/A							
			#N/A				#N/A							



Applicant Name: 0  
 Project Name: 0  
 Project Type: 0  
 Construction Type: 0

HUD Program: ICDBG  
 Period:  
 Start Date:  
 End Date:

US Department of Housing and Urban Development  
 OMB Approval 2535-0114 exp. 2008 Pending

Component Name: 0

HUD Goals	Policy Priority	Problem, Need, Situation	Services or Activities/Outputs	Measure			Outcome	Measure			Evaluation Tools
1	2	3	4			5	6			7	
Policy	Planning	Programming	Pre	Post	YTD	Impact	Pre	Post	YTD	Accountability	
				#N/A				#N/A			
				#N/A				#N/A			
				#N/A				#N/A			
				#N/A				#N/A			
				#N/A				#N/A			
				#N/A				#N/A			
				#N/A				#N/A			
				#N/A				#N/A			
				#N/A				#N/A			
				#N/A				#N/A			
				#N/A				#N/A			
				#N/A				#N/A			
				#N/A				#N/A			
				#N/A				#N/A			
				#N/A				#N/A			
				#N/A				#N/A			
				#N/A				#N/A			
				#N/A				#N/A			
				#N/A				#N/A			
				#N/A				#N/A			
				#N/A				#N/A			
				#N/A				#N/A			
				#N/A				#N/A			
				#N/A				#N/A			
				#N/A				#N/A			
				#N/A				#N/A			
				#N/A				#N/A			
				#N/A				#N/A			
				#N/A				#N/A			
				#N/A				#N/A			
				#N/A				#N/A			
				#N/A				#N/A			
				#N/A				#N/A			
				#N/A				#N/A			
				#N/A				#N/A			
				#N/A				#N/A			



Applicant Name: 0  
 Project Name: 0  
 Project Type: 0  
 Construction Type: 0

HUD Program: **ICDBG**  
 Period:  
 Start Date:  
 End Date:

Total **0**

HUD Goals	Policy Priority	Problem, Need, Situation	Services or Activities/Outputs			Outcome	Measure			Evaluation Tools
			Pre	Post	YTD		Pre	Post	YTD	
1	Policy	2	3	4	5	6	7			
		Planning	Programming		Impact				Accountability	
				#N/A		#N/A				
				#N/A		#N/A				
				#N/A		#N/A				
				#N/A		#N/A				
				#N/A		#N/A				
				#N/A		#N/A				
				#N/A		#N/A				
				#N/A		#N/A				
				#N/A		#N/A				
				#N/A		#N/A				
				#N/A		#N/A				
				#N/A		#N/A				
				#N/A		#N/A				
				#N/A		#N/A				
				#N/A		#N/A				
				#N/A		#N/A				
				#N/A		#N/A				





Applicant Name: 0  
 Project Name: 0  
 Project Type: 0  
 Construction Type: 0

HUD Program: **ICDBG**  
 Period:  
 Start Date:  
 End Date:

US Department of Housing and Urban Development  
 OMB Approval 2535-0114 exp. 2008 Pending

Component Name:  
**0**

HUD Goals	Policy Priority	Problem, Need, Situation	Services or Activities/Outputs	Measure			Outcome	Measure			Evaluation Tools
				Pre	Post	YTD		Pre	Post	YTD	
1	2	3	4			5	6			7	
Policy	Planning	Programming	Pre	Post	YTD	Impact	Pre	Post	YTD	Accountability	
				#N/A				#N/A			
				#N/A				#N/A			
				#N/A				#N/A			
				#N/A				#N/A			
				#N/A				#N/A			
				#N/A				#N/A			
				#N/A				#N/A			
				#N/A				#N/A			
				#N/A				#N/A			
				#N/A				#N/A			
				#N/A				#N/A			
				#N/A				#N/A			
				#N/A				#N/A			
				#N/A				#N/A			
				#N/A				#N/A			
				#N/A				#N/A			
				#N/A				#N/A			
				#N/A				#N/A			
				#N/A				#N/A			
				#N/A				#N/A			
				#N/A				#N/A			
				#N/A				#N/A			
				#N/A				#N/A			
				#N/A				#N/A			
				#N/A				#N/A			
				#N/A				#N/A			
				#N/A				#N/A			
				#N/A				#N/A			
				#N/A				#N/A			
				#N/A				#N/A			
				#N/A				#N/A			
				#N/A				#N/A			
				#N/A				#N/A			



Applicant Name: 0  
 Project Name: 0  
 Project Type: 0  
 Construction Type: 0

HUD Program: ICDBG  
 Period:  
 Start Date:  
 End Date:

US Department of Housing and Urban Development  
 OMB Approval 2535-0114 exp. 2008 Pending  
 Component Name:  
 0

HUD Goals	Policy Priority	Problem, Need, Situation	Services or Activities/Outputs	Measure			Outcome	Measure			Evaluation Tools
				Pre	Post	YTD		Pre	Post	YTD	
1	Policy	2 Planning	3 Programming	4			5 Impact	6			7 Accountability
				#N/A				#N/A			
				#N/A				#N/A			
				#N/A				#N/A			
				#N/A				#N/A			
				#N/A				#N/A			
				#N/A				#N/A			
				#N/A				#N/A			
				#N/A				#N/A			
				#N/A				#N/A			
				#N/A				#N/A			
				#N/A				#N/A			
				#N/A				#N/A			
				#N/A				#N/A			
				#N/A				#N/A			
				#N/A				#N/A			
				#N/A				#N/A			
				#N/A				#N/A			



Applicant Name: 0  
 Project Name: 0  
 Project Type: 0  
 Construction Type: 0

HUD Program: **ICDBG**  
 Period:  
 Start Date:  
 End Date:

US Department of Housing and Urban Development  
 OMB Approval 2535-0114 exp. 2008 Pending

Component Name:

Total **0**

HUD Goals	Policy Priority	Problem, Need, Situation	Services or Activities/Outputs	Measure			Outcome	Measure			Evaluation Tools
				Pre	Post	YTD		Pre	Post	YTD	
1	Policy	2	3	4			5	6			7
		Planning	Programming				Impact				Accountability
				#N/A				#N/A			
				#N/A				#N/A			
				#N/A				#N/A			
				#N/A				#N/A			
				#N/A				#N/A			
				#N/A				#N/A			
				#N/A				#N/A			
				#N/A				#N/A			
				#N/A				#N/A			
				#N/A				#N/A			
				#N/A				#N/A			
				#N/A				#N/A			

HUD Goals		HUD Priorities	
A.1	<b>Increase homeownership opportunities.</b> (1) Expand national homeownership opportunities.	A	<b>Providing Increased Homeownership and Rental Opportunities for Low- and Moderate-Income Persons, Persons with Disabilities, the Elderly, Minorities, and Persons with Limited English Proficiency.</b>
A.2	<b>Increase homeownership opportunities.</b> (2) Increase minority homeownership.	B.1	<b>Improve our Nation's Communities.</b> (1) Bring private capital into distressed communities.
A.3	<b>Increase homeownership opportunities.</b> (3) Make the home-buying process less complicated and less expensive.	B.2	<b>Improve our Nation's Communities.</b> (2) Finance business investments to grow new businesses.
A.4	<b>Increase homeownership opportunities.</b> (4) Reduce predatory lending practices through reform, education and enforcement.	B.3	<b>Improve our Nation's Communities.</b> (3) Maintain and expand existing businesses.
A.5	<b>Increase homeownership opportunities.</b> (5) Help HUD-assisted renters become homeowners.	B.4	<b>Improve our Nation's Communities.</b> (4) Create a pool of funds for new small and minority-owned businesses.
A.6	<b>Increase homeownership opportunities.</b> (6) Keep existing homeowners from losing their homes.	B.5	<b>Improve our Nation's Communities.</b> (5) Create decent jobs for low-income persons.
B.1	<b>Promote Decent Affordable Housing.</b> (1) Expand access to and availability of decent, affordable rental housing.	B.6	<b>Improve our Nation's Communities.</b> (6) Improve the environmental health and safety of families living in public and privately owned housing.
B.2	<b>Promote Decent Affordable Housing.</b> (2) Improve the management accountability and physical quality of public and assisted housing.	B.7	<b>Improve our Nation's Communities.</b> (7) Make communities more livable.
B.3	<b>Promote Decent Affordable Housing.</b> (3) Improve housing opportunities for the elderly and persons with disabilities.	C.1	<b>Encouraging Accessible Design Features.</b> (1) Visitability in new construction and substantial rehabilitation.
B.4	<b>Promote Decent Affordable Housing.</b> (4) Promote housing self-sufficiency.	C.2	<b>Encouraging Accessible Design Features.</b> (2) Universal Design.
B.5	<b>Promote Decent Affordable Housing.</b> (5) Facilitate more effective delivery of affordable housing by reforming public housing and the Housing Choice Voucher program.	D	<b>Providing Full and Equal Access to Grassroots Faith-Based and Other Community Organizations in HUD Program Implementation.</b>
C.1	<b>Strengthen Communities.</b> (1) Assist disaster recovery in the Gulf Coast region.	E	<b>Participation of Minority-Serving Institutions (MSIs) in HUD Programs.</b>
C.2	<b>Strengthen Communities.</b> (2) Enhance sustainability of communities by expanding economic opportunities.	F.1	<b>Ending Chronic Homelessness.</b> (1) Creation of affordable housing units, supportive housing, and group homes.
C.3	<b>Strengthen Communities.</b> (3) Foster a suitable living environment in communities by improving physical conditions and quality of life.	F.2	<b>Ending Chronic Homelessness.</b> (2) Establishment of a set-aside of units of affordable housing for the chronically homeless.
C.4	<b>Strengthen Communities.</b> (4) End chronic homelessness and move homeless families and individuals to permanent housing.	F.3	<b>Ending Chronic Homelessness.</b> (3) Establishment of substance abuse treatment programs targeted to the homeless population.
C.5	<b>Strengthen Communities.</b> (5) Mitigate housing conditions that threaten health.	F.4	<b>Ending Chronic Homelessness.</b> (4) Establishment of job training programs that will provide opportunities for economic self-sufficiency.
D.1	<b>Ensure Equal Opportunity in Housing.</b> (1) Ensure access to a fair and effective administrative process to investigate and resolve complaints of discrimination.	F.5	<b>Ending Chronic Homelessness.</b> (5) Establishment of counseling programs that assist homeless persons in finding housing, managing finances, managing anger, and building interpersonal relationships.
D.2	<b>Ensure Equal Opportunity in Housing.</b> (2) Improve public awareness of rights and responsibilities under fair housing laws.	F.6	<b>Ending Chronic Homelessness.</b> (6) Provision of supportive services, such as health care assistance that will permit homeless individuals to become productive members of society.
D.3	<b>Ensure Equal Opportunity in Housing.</b> (3) Improve housing accessibility for persons with disabilities.	F.7	<b>Ending Chronic Homelessness.</b> (7) Provision of service coordinators or one-stop assistance centers that will ensure that chronically homeless persons have access to a variety of social services.
D.4	<b>Ensure Equal Opportunity in Housing.</b> (4) Ensure that HUD-funded entities comply with fair housing and other civil rights laws.	G	<b>Removal of Regulatory Barriers to Affordable Housing.</b>
E.1	<b>Embrace High Standards of Ethics, Management, and Accountability.</b> (1) Strategically manage human capital to increase employee satisfaction and improve HUD performance.	H.1	<b>Promoting Energy Efficiency and Energy Star.</b> (1) Replace older obsolete products and appliances with Energy Star-labeled products, when replacing existing products is more cost-effective than repair and /or the appliance is no longer in operating condition.
E.2	<b>Embrace High Standards of Ethics, Management, and Accountability.</b> (2) Improve HUD's management and its internal controls to ensure program compliance and resolve audit issues.	H.2	<b>Promoting Energy Efficiency and Energy Star.</b> (2) Build new or rehabilitate existing single-family homes to Energy Star standards for new homes, or include combined heat and power in multifamily properties.
E.3	<b>Embrace High Standards of Ethics, Management, and Accountability.</b> (3) Improve accountability, service delivery, and customer service of HUD and its partners.	H.3	<b>Promoting Energy Efficiency and Energy Star.</b> (3) Meet the requirements for Energy Star qualified New Homes for gut rehabilitation or new construction of low-rise multifamily housing.
E.4	<b>Embrace High Standards of Ethics, Management, and Accountability.</b> (4) Capitalize on modernized technology to improve the delivery of HUD's core business functions.	H.4	<b>Promoting Energy Efficiency and Energy Star.</b> (4) Meet ASHRAE 90.1-2004, Appendix G plus 20 percent.

F.1	<p><b>Promote Participation of Faith-Based and Other Community Organizations.</b>  (1) Reduce barriers to faith-based and other community organizations.</p>	I.1	<p><b>Utilization and Promotion of FHA Insured Mortgages and Fair Lending Practices.</b>  (1) Provide low-and moderate-income households with information on FHA products as safe consumer alternatives to reduce costs and reliance on subprime lenders.</p>
F.2	<p><b>Promote Participation of Faith-Based and Other Community Organizations.</b>  (2) Conduct outreach and provide technical assistance to strengthen the capacity of faith-based and community organizations to attract partners and secure resources.</p>	I.2	<p><b>Utilization and Promotion of FHA Insured Mortgages and Fair Lending Practices.</b>  (2) Provide consumers with information on Fair Lending and discriminatory lending practices in languages appropriate to the clientele being served.</p>
F.3	<p><b>Promote Participation of Faith-Based and Other Community Organizations.</b>  (3) Encourage partnerships between faith-based and other community organizations and HUD's grantees and subgrantees.</p>		



**CAMP eLogic Model™**

**Column 2**

**PROBLEM, NEEDS, SITUATION**

Indian Tribes and Alaskan natives are in need of suitable living environments with decent housing, particularly for people with low to moderate incomes.

Indian Tribes and Alaskan Natives are in need of community infrastructure and facilities to improve the health, safety, and well-being of residents.

Indian Tribes and Alaskan natives are in need of economic development and job creation activities to foster self-sufficiency.

There are urgent unmet needs that impact upon the health and safety of the Native American and Alaskan Native communities that must be addressed.



**CAMP eLogic Model™**

*Click here to allow deletion of 'New' Activities*

**Column 3**

<b>SERVICES OR ACTIVITIES/OUTPUTS</b>	<b>UNITS</b>
Economic Development – Facility (New construction, acquisition, rehabilitation)	Square Feet
Economic Development – Jobs Created	Jobs
Economic Development – Jobs Retained	Jobs
Economic Development – Land Acquisition	Acres
Homebuyer Assistance – (Interest rate subsidies, loan guarantees, down payments, closing costs)	Grants/Loans
Housing Rehabilitation – Homeownership	Units
Housing Rehabilitation – Homeownership – Average cost per unit	Dollars
Housing Rehabilitation – Rental	Units
Housing Rehabilitation – Rental – Average cost per unit	Dollars
Infrastructure – Communications	Households
Infrastructure – Gas & Electric Lines/Roads/Water/Sewer	Linear Feet
Infrastructure – Land Acquisition	Acres
Job Training	Persons
Land for future housing	Acres
Micro-enterprises – Grants/Loans	Grants/Loans
Micro-enterprises – Technical Assistance	Persons
New Housing Construction – Rental	Units
New Housing Construction – Homeownership	Units
Policy Priority – Housing constructed – Design incorporates universal design	Units
Policy Priority – Housing constructed – Design incorporates visitability standards	Buildings
Policy Priority – Housing rehabilitated – Design incorporates universal design	Units
Policy Priority – Housing rehabilitated – Design incorporates visitability standards	Buildings
Public Facilities – Acquisition – Cost per building	Dollars
Public Facilities – Acquisition – Square feet	Square Feet
Public Facilities – Acquisition (Facilities, health & safety, recreation, community services)	Facilities
Public Facilities – New Construction – Cost per building	Dollars
Public Facilities – New Construction – Square feet	Square Feet
Public Facilities – New Construction (Facilities, health & safety, recreation, community services)	Facilities
Public Facilities – Rehabilitation – Cost per building	Dollars
Public Facilities – Rehabilitation – Square feet	Square Feet
Public Facilities – Rehabilitation (Facilities, health & safety, recreation, community services)	Facilities
Public Services	Persons Assisted
other	Other



**CAMP eLogic Model™**

*Click here to allow  
deletion of 'New'  
Outcomes*

**Column 5**

<b>ACHIEVEMENT OUTCOMES GOALS AND INDICATORS</b>	<b>UNITS</b>
Facility developed for economic development purposes	Jobs created
Improved infrastructure – Units connected to gas, phone or electric lines/roads/water/sewer	Units
Improved quality of life due to public services	Persons
Improved quality of life due to services provided by the public facility	Persons
Increase in available rental housing	Units
Increase in homeownership rates	Households
Increased economic self-sufficiency of program beneficiaries	Persons
Increased income resulting from employment generated by project	Persons
Micro-enterprises – Small businesses created – Businesses	Businesses
Micro-enterprises – Small businesses created – Jobs	Jobs
Policy Priority – Housing constructed – Units incorporate universal design	Units
Policy Priority – Housing constructed – Units incorporate visitability standards	Buildings
Policy Priority – Housing rehabilitated – Units incorporate universal design	Units
Policy Priority – Housing rehabilitated – Units incorporate visitability standards	Buildings
Reduction in drug-related crimes	Persons
Reduction in health-related hazards	Persons
Reduction in the number of substandard housing units lived in by families	Units
Residents with skills to create microenterprises/small businesses	Persons
other	other





### CAMP eLogic Model™

<b>A. Tools For Measurement</b>
Bank accounts
Construction log
Database
Enforcement log
Financial aid log
Intake log
Interviews
Mgt. Info. System-automated
Mgt. Info. System-manual
Outcome scale(s)
Phone log
Plans
Pre-post tests
Post tests
Program specific form(s)
Questionnaire
Recruitment log
Survey
Technical assistance log
Time sheets
<b>B. Where Data Maintained</b>
Agency database
Centralized database
Individual case records
Local precinct
Public database
School
Specialized database
Tax Assessor database
Training center
<b>C. Source of Data</b>
Audit report
Business licenses
Certificate of Occupancy
Code violation reports
Counseling reports
Employment records
Engineering reports
Environmental reports
Escrow accounts
Financial reports
GED certification/diploma
Health records
HMIS
Inspection results
Lease agreements
Legal documents
Loan monitoring reports
Mortgage documents
Payment vouchers
Permits issued
Placements
Progress reports
Referrals
Sale documents
Site reports
Statistics
Tax assessments
Testing results
Waiting lists
Work plan reports
<b>D. Frequency of Collection</b>
Daily
Weekly
Monthly
Quarterly
Biannually
Annually
Upon incident
<b>E. Processing of Data</b>
Computer spreadsheets
Flat file database
Manual tallies
Relational database
Statistical database

### Response to Management Questions

		<b>Measure</b>	<b>Count/Amount</b>
1	How many persons are you serving (unduplicated count)?	Persons	
2	How many public facilities were constructed?	Facilities	
3	What is the total square footage of constructed public facilities?	Square Feet	
4	How many public facilities were rehabilitated?	Facilities	
5	What is the total square footage of rehabilitated public facilities?	Square Feet	
6	How many public facilities were renovated?	Facilities	
7	What is the total square footage of renovated public facilities?	Square Feet	
8	What was the value of public facilities constructed, rehabilitated or renovated?	Dollars	
9	How many residential buildings were constructed?	Building	
10	What is the total square footage of constructed residential buildings?	Square Feet	
11	How many residential buildings were rehabilitated?	Building	
12	What is the total square footage of rehabilitated residential buildings?	Square Feet	
13	How many residential buildings were renovated?	Building	
14	What is the total square footage of renovated residential buildings?	Square Feet	
15	What was the value of residential buildings constructed, rehabilitated or renovated?	Dollars	
16	How many new businesses or micro-enterprises were created?	Micro-Enterprises	
17	What was the value (projected earnings) of new businesses or micro enterprises created?	Dollars	
18	How many jobs were created or obtained as a result of economic development activity?	Jobs	
19	What was the value of jobs created or obtained based on an annual wage?	Dollars	
20	How many persons purchased a home?	Persons	
21	What was the value of homes purchased?	Dollars	
22	How many educational or job training opportunities were provided?	Training Opportunities	
23	<b>Describe the population you are serving in the space below:</b>		
	<b>If you are collecting client level data, identify the number of persons receiving services:</b>		
	How many persons receiving services are under the age of 6?	Persons	
	How many persons receiving services are ages 6-17?	Persons	
	How many persons receiving services are ages 18-30?	Persons	
	How many persons receiving services are ages 31-50?	Persons	
	How many persons receiving services are ages 51-61?	Persons	
	How many persons receiving services are age 62 and older?	Persons	

<b><u>Explanation of Any Deviations From the Approved eLogic Model</u></b>
--

## Evaluation Process

**These are standard requirements that HUD will expect every program manager receiving a grant to do as part of their project management.**

- An evaluation process will be part of the on-going management of the program.
- Comparisons will be made between projected and actual numbers for both outputs and outcomes.
- Deviations from projected outputs and outcomes will be documented and explained on space provided on the "Reporting" Tab.
- Analyze data to determine relationship of outputs to outcomes; what outputs produce which outcomes.

**The reporting requirements are specified in the program specific NOFA and your funding award.**

### **HUD Will Use The Following Management Questions To Evaluate Your Program**

1. How many persons are you serving (unduplicated count)?
2. How many public facilities were constructed?
3. What is the total square footage of constructed public facilities?
4. How many public facilities were rehabilitated?
5. What is the total square footage of rehabilitated public facilities?
6. How many public facilities were renovated?
7. What is the total square footage of renovated public facilities?
8. What was the value of public facilities constructed, rehabilitated or renovated?
9. How many residential buildings were constructed?
10. What is the total square footage of constructed residential buildings?
11. How many residential buildings were rehabilitated?
12. What is the total square footage of rehabilitated residential buildings?
13. How many residential buildings were renovated?
14. What is the total square footage of renovated residential buildings?
15. What was the value of residential buildings constructed, rehabilitated or renovated?
16. How many new businesses or micro-enterprises were created?
17. What was the value (projected earnings) of new businesses or micro enterprises created?
18. How many jobs were created or obtained as a result of economic development activity?
19. What was the value of jobs created or obtained based on an annual wage?
20. How many persons purchased a home?
21. What was the value of homes purchased?
22. How many educational or job training opportunities were provided?
23. Describe the population you are serving.

If you are collecting client level data, identify the number of persons receiving services:

24. How many persons receiving services are under the age of 6?
25. How many persons receiving services are ages 6-17?
26. How many persons receiving services are ages 18-30?
27. How many persons receiving services are ages 31-50?
28. How many persons receiving services are ages 51-61?
29. How many persons receiving services are age 62 and older?

### **Carter-Richmond Methodology**

The above Management Questions developed for your program are based on the Carter-Richmond Methodology<sup>1</sup>. A description of the Carter-Richmond Methodology appears in the General Section of the NOFA.

<sup>1</sup> © The Accountable Agency – How to Evaluate the Effectiveness of Public and Private Programs,” Reginald Carter, ISBN Number 9780978724924.

## **Title 24: Housing and Urban Development**

### **PART 1003—COMMUNITY DEVELOPMENT BLOCK GRANTS FOR INDIAN TRIBES AND ALASKA NATIVE VILLAGES**

---

#### **Section Contents**

##### **Subpart A—General Provisions**

- § 1003.1 Applicability and scope.
- § 1003.2 Program objective.
- § 1003.3 Nature of program.
- § 1003.4 Definitions.
- § 1003.5 Eligible applicants.
- § 1003.6 Waivers.

##### **Subpart B—Allocation of Funds**

- § 1003.100 General.
- § 1003.101 Area ONAP allocation of funds.
- § 1003.102 Use of recaptured and unawarded funds.

##### **Subpart C—Eligible Activities**

- § 1003.200 General policies.
- § 1003.201 Basic eligible activities.
- § 1003.202 Eligible rehabilitation and preservation activities.
- § 1003.203 Special economic development activities.
- § 1003.204 Special activities by Community-Based Development Organizations (CBDOs).
- § 1003.205 Eligible planning, urban environmental design and policy-planning-management-capacity building activities.
- § 1003.206 Program administration costs.
- § 1003.207 Ineligible activities.
- § 1003.208 Criteria for compliance with the primary objective.

##### **Subpart D—Single Purpose Grant Application and Selection Process**

- § 1003.300 Application requirements.
- § 1003.301 Selection process.
- § 1003.302 Project specific threshold requirements.
- § 1003.303 Project rating.
- § 1003.304 Funding process.
- § 1003.305 Program amendments.

##### **Subpart E—Imminent Threat Grants**

- § 1003.400 Criteria for funding.
- § 1003.401 Application process.
- § 1003.402 Availability of funds.

### **Subpart F—Grant Administration**

- § 1003.500 Responsibility for grant administration.
- § 1003.501 Applicability of uniform administrative requirements and cost principles.
- § 1003.502 Agreements with subrecipients.
- § 1003.503 Program income.
- § 1003.504 Use of real property.
- § 1003.505 Records to be maintained.
- § 1003.506 Reports.
- § 1003.507 Public access to program records.
- § 1003.508 Grant closeout procedures.
- § 1003.509 Force account construction.
- § 1003.510 Indian preference requirements.
- § 1003.511 Use of escrow accounts for rehabilitation of privately owned residential property.

### **Subpart G—Other Program Requirements**

- § 1003.600 Faith-based activities.
- § 1003.601 Nondiscrimination.
- § 1003.602 Relocation and real property acquisition.
- § 1003.603 Labor standards.
- § 1003.604 Citizen participation.
- § 1003.605 Environment.
- § 1003.606 Conflict of interest.
- § 1003.607 Lead-based paint.
- § 1003.608 Debarment and suspension.

### **Subpart H—Program Performance**

- § 1003.700 Review of grantee's performance.
- § 1003.701 Corrective and remedial action.
- § 1003.702 Reduction or withdrawal of grant.
- § 1003.703 Other remedies for noncompliance.

---

**Authority:** 42 U.S.C. 3535(d) and 5301 *et seq.*

**Source:** 61 FR 40090, July 31, 1996, unless otherwise noted. Redesignated at 62 FR 12349, Mar. 12, 1998.

## **Subpart A—General Provisions**

### **§ 1003.1 Applicability and scope.**

The policies and procedures described in this part apply to grants to eligible applicants under the Community Development Block Grant (CDBG) program for Indian tribes and Alaska native villages.

### **§ 1003.2 Program objective.**

The primary objective of the Indian CDBG (ICDBG) Program and of the community development program of each grantee covered under the Act is the development of viable Indian and Alaska native communities, including decent housing, a suitable living environment, and economic opportunities, principally for persons of low and moderate income. The Federal assistance provided in this part is not to be used to reduce substantially the amount of tribal financial support for community development activities below the level of such support before the availability of this assistance.

### **§ 1003.3 Nature of program.**

The selection of single purpose grantees under subpart B of this part is competitive in nature. Therefore, selection of grantees for funds will reflect consideration of the relative adequacy of applications in addressing tribally determined need. The selection of grantees of imminent threat grants under the provisions of subpart B of this part is not competitive in nature. However, applicants for funding under either subpart must have the administrative capacity to undertake the community development activities proposed, including the systems of internal control necessary to administer these activities effectively without fraud, waste, or mismanagement.

### **§ 1003.4 Definitions.**

*Act* means Title I of the Housing and Community Development Act of 1974, as amended (42 U.S.C. 5301 *et seq.* )

*Area ONAPs* mean the HUD Offices of Native American Programs having field office responsibility for the ICDBG Program.

*Assistant Secretary* means the Assistant Secretary for Public and Indian Housing.

*Buildings for the general conduct of government* mean office buildings and other facilities in which the legislative, judicial or general administrative affairs of the government are conducted. This term does not include such facilities as neighborhood service centers or special purpose buildings located in low and moderate income areas that house various non-legislative functions or services provided by the government at decentralized locations.

*Chief executive officer* means the elected official or legally designated official who has the prime responsibility for the conduct of the affairs of an Indian tribe or Alaska native village.

*Eligible Indian population* means the most accurate and uniform population data available from data compiled and published by the United States Bureau of the Census available from the

latest census referable to the same point or period of time for Indian tribes and Alaska native villages eligible under this part.

*Extent of overcrowded housing* means the number of housing units with 1.01 or more persons per room, based on data compiled and published by the United States Bureau of the Census available from the latest census referable to the same point or period of time.

*Extent of poverty* means the number of persons whose incomes are below the poverty level, based on data compiled and published by the United States Bureau of the Census referable to the same point or period in time and the latest reports from the Office of Management and Budget.

*HUD* means the Department of Housing and Urban Development.

*ICDBG Program* means the Indian Community Development Block Grant Program.

*Identified service area* means:

- (1) A geographic location within the jurisdiction of a tribe (but not the entire jurisdiction) designated in comprehensive plans, ordinances, or other tribal documents as a service area;
- (2) The Bureau of Indian Affairs (BIA) service area, including residents of areas outside the geographic jurisdiction of the tribe; or
- (3) The entire area under the jurisdiction of a tribe which has a population of members of under 10,000.

*Imminent threat* means a problem which if unresolved or not addressed will have an immediate negative impact on public health or safety.

*Low and moderate income beneficiary* means a family, household, or individual whose income does not exceed 80 percent of the median income for the area, as determined by HUD, with adjustments for smaller and larger households or families. However, HUD may establish income ceilings higher or lower than 80 percent of the median for the area on the basis of HUD's findings that such variations are necessary because of unusually high or low household or family incomes. In reporting income levels to HUD, the applicant must include and identify the distributions of tribal or village income to families, households, or individuals.

*Microenterprise* means a business that has five or fewer employees, one or more of whom owns the enterprise.

*Secretary* means the Secretary of HUD.

*Small business* means a business that meets the criteria set forth in section 3(a) of the Small Business Act (15 U.S.C. 631, 636, and 637).

*Subrecipient* means a public or private nonprofit agency, authority or organization, or a for-profit entity described in §1003.201(o), receiving ICDBG funds from the grantee or another subrecipient to undertake activities eligible for assistance under subpart C of this part. The term

excludes a CBDO receiving ICDBG funds from the grantee under the authority of §1003.204, unless the grantee explicitly designates it as a subrecipient. The term does not include contractors providing supplies, equipment, construction or services subject to the procurement requirements in 24 CFR 85.36 or in 24 CFR Part 84, as applicable.

*Tribal government, Tribal governing body or Tribal council* means the governing body of an Indian tribe or Alaska native village as recognized by the Bureau of Indian Affairs.

*Tribal resolution* means the formal manner in which the tribal government expresses its legislative will in accordance with its organic documents. In the absence of such organic documents, a written expression adopted pursuant to tribal practices will be acceptable.

*URA* means the Uniform Relocation and Real Property Acquisition Policies Act of 1970, as amended (42 U.S.C. 4601 *et. seq.* ).

### **§ 1003.5 Eligible applicants.**

(a) Eligible applicants are any Indian tribe, band, group, or nation, including Alaska Indians, Aleuts, and Eskimos, and any Alaska native village of the United States which is considered an eligible recipient under Title I of the Indian Self-Determination and Education Assistance Act (25 U.S.C. 450) or which had been an eligible recipient under the State and Local Fiscal Assistance Act of 1972 (31 U.S.C. 1221). Eligible recipients under the Indian Self-Determination and Education Assistance Act will be determined by the Bureau of Indian Affairs and eligible recipients under the State and Local Fiscal Assistance Act of 1972 are those that have been determined eligible by the Department of Treasury, Office of Revenue Sharing.

(b) Tribal organizations which are eligible under Title I of the Indian Self-Determination and Education Assistance Act may apply on behalf of any Indian tribe, band, group, nation, or Alaska native village eligible under that act for funds under this part when one or more of these entities have authorized the tribal organization to do so through concurring resolutions. Such resolutions must accompany the application for funding. Eligible tribal organizations under Title I of the Indian Self-Determination and Education Assistance Act will be determined by the Bureau of Indian Affairs or the Indian Health Service, as appropriate.

(c) To apply for funding in a given fiscal year, an applicant must be eligible as an Indian tribe or Alaska native village, as provided in paragraph (a) of this section, or as a Tribal organization, as provided in paragraph (b) of this section, by the application submission date.

(Approved by the Office of Management and Budget under control number 2577–0191)

### **§ 1003.6 Waivers.**

Upon determination of good cause, HUD may waive any provision of this part not required by statute. Each waiver must be in writing and must be supported by documentation of the pertinent facts and grounds.

## **Subpart B—Allocation of Funds**

### **§ 1003.100 General.**



(a) *Types of grants.* Two types of grants are available under the Indian CDBG Program.

(1) *Single purpose grants* provide funds for one or more single purpose projects consisting of an activity or set of activities designed to meet a specific community development need. This type of grant is awarded through competition with other single purpose projects.

(2) *Imminent threat grants* alleviate an imminent threat to public health or safety that requires immediate resolution. This type of grant is awarded only after an Area ONAP determines that such conditions exist and if funds are available for such grants.

(b) *Size of grants.* —(1) *Ceilings.* Each Area ONAP may recommend grant ceilings for single purpose grant applications. Single purpose grant ceilings for each Area ONAP shall be established in the NOFA (Notice of Funding Availability).

(2) *Individual grant amounts.* An Area ONAP may approve a grant amount less than the amount requested. In doing so, the Area ONAP may take into account the size of the applicant, the level of demand, the scale of the activity proposed relative to need and operational capacity, the number of persons to be served, the amount of funds required to achieve project objectives, the reasonableness of the project costs, and the administrative capacity of the applicant to complete the activities in a timely manner.

[61 FR 40090, July 31, 1996, unless otherwise noted. Redesignated at 62 FR 12349, Mar. 12, 1998, as amended at 66 FR 4580, Jan. 17, 2001; 66 FR 8176, Jan. 30, 2001]

#### **§ 1003.101 Area ONAP allocation of funds.**

(a) Except as provided in paragraph (b) of this section, funds will be allocated to the Area ONAPs responsible for the program on the following basis:

(1) Each Area ONAP will be allocated \$1,000,000 as a base amount, to which will be added a formula share of the balance of the ICDBG Program funds, as provided in paragraph (a)(2) of this section.

(2) The amount remaining after the base amount is allocated and any amount retained by the Headquarters ONAP to fund imminent threat grants pursuant to the provisions of §1003.402 is subtracted, will be allocated to each Area ONAP based on the most recent data compiled and published by the United States Bureau of the Census referable to the same point or period in time, as follows:

(i) Forty percent (40%) of the funds will be allocated based upon each Area ONAP's share of the total eligible Indian population;

(ii) Forty percent (40%) of the funds will be allocated based upon each Area ONAP's share of the total extent of poverty among the eligible Indian population; and

(iii) Twenty percent (20%) of the funds will be allocated based upon each Area ONAP's share of the total extent of overcrowded housing among the eligible Indian population.

(b) HUD will use other criteria to determine an allocation formula for distributing funds to the Area ONAPs if funds are set aside by statute for a specific purpose in any fiscal year if it is determined that the formula in paragraph (a) of this section is inappropriate to accomplish the purpose. HUD will use other criteria if it is determined that, based on a limited appropriation of funds, the use of the formula in paragraph (a) of this section is inappropriate to obtain an equitable allocation of funds.

(c) Data used for the allocation of funds will be based upon the Indian population of those tribes and villages that are determined to be eligible ninety (90) days before the beginning of each fiscal year.

#### **§ 1003.102 Use of recaptured and unawarded funds.**

(a) The Assistant Secretary will determine on a case-by-case basis the use of grant funds which are:

- (1) Recaptured by HUD under the provisions of §1003.703 or §1003.704;
- (2) Recaptured by HUD at the time of the closeout of a program; or
- (3) Unawarded after the completion by an Area ONAP of a funding competition.

(b) The recaptured or unawarded funds will remain with the Area ONAP to which they were originally allocated unless the Assistant Secretary determines that there is an overriding reason to redistribute these funds outside of the Area ONAP's jurisdiction. The recaptured funds may be used to fund the highest ranking unfunded project from the most recent funding competition, an imminent threat, or other uses. Unawarded funds may be used to fund an imminent threat or other uses.

### **Subpart C—Eligible Activities**

#### **§ 1003.200 General policies.**

An activity may be assisted in whole or in part with ICDBG funds only if the activity meets the eligibility requirements of section 105 of the Act as further defined in this subpart and if the criteria for compliance with the primary objective of the Act set forth under §1003.208 have been met. The requirements for compliance with the primary objective of the Act do not apply to imminent threat grants funded under subpart E of this part.

#### **§ 1003.201 Basic eligible activities.**

ICDBG funds may be used for the following activities:

(a) *Acquisition.* Acquisition in whole or in part by the grantee, or other public or private nonprofit entity, by purchase, long-term lease, donation, or otherwise, of real property (including air rights, water rights, rights-of-way, easements, and other interests therein) for any public purpose, subject to the limitations of §1003.207.

(b) *Disposition*. Disposition, through sale, lease, donation, or otherwise, of any real property acquired with ICDBG funds or its retention for public purposes, including reasonable costs of temporarily managing such property or property acquired under urban renewal, provided that the proceeds from any such disposition shall be program income subject to the requirements set forth in §1003.503.

(c) *Public facilities and improvements*. Acquisition, construction, reconstruction, rehabilitation or installation of public facilities and improvements, except as provided in §1003.207(a), carried out by the grantee or other public or private nonprofit entities. In undertaking such activities, design features and improvements which promote energy efficiency may be included. [However, activities under this paragraph may be directed to the removal of material and architectural barriers that restrict the mobility and accessibility of elderly or severely disabled persons to publicly owned and privately owned buildings, facilities, and improvements including those provided for in §1003.207(a)(1).] Such activities may also include the execution of architectural design features, and similar treatments intended to enhance the aesthetic quality of facilities and improvements receiving ICDBG assistance. Facilities designed for use in providing shelter for persons having special needs are considered public facilities and not subject to the prohibition of new housing construction described in §1003.207(b)(3). Such facilities include shelters for the homeless; convalescent homes; hospitals, nursing homes; battered spouse shelters; halfway houses for run-away children, drug offenders or parolees; group homes for mentally retarded persons and temporary housing for disaster victims. In certain cases, nonprofit entities and subrecipients including those specified in §1003.204 may acquire title to public facilities. When such facilities are owned by nonprofit entities or subrecipients, they shall be operated so as to be open for use by the general public during all normal hours of operation. Public facilities and improvements eligible for assistance under this paragraph (c) are subject to the following policies in paragraphs (c)(1) through (c)(3) of this section:

(1) *Special policies governing facilities*. The following special policies apply to:

(i) *Facilities containing both eligible and ineligible uses*. A public facility otherwise eligible for assistance under the ICDBG program may be provided with ICDBG funds even if it is part of a multiple use building containing ineligible uses, if:

(A) The facility which is otherwise eligible and proposed for assistance will occupy a designated and discrete area within the larger facility; and

(B) The grantee can determine the costs attributable to the facility proposed for assistance as separate and distinct from the overall costs of the multiple-use building and/or facility. Allowable costs are limited to those attributable to the eligible portion of the building or facility.

(ii) *Equipment purchase*. As stated in §1003.207(b)(1), the purchase of equipment with ICDBG funds is generally ineligible. However, the purchase of construction equipment for use as part of a solid waste facility is eligible. In addition, the purchase of fire protection equipment is considered to be an integral part of a public facility, and, therefore, the purchase of such equipment is also eligible.

(2) *Fees for use of facilities*. Reasonable fees may be charged for the use of the facilities assisted with ICDBG funds, but charges such as excessive membership fees, which will have the effect of precluding low and moderate income persons from using the facilities, are not permitted.

(3) *Special assessments under the ICDBG program.* The following policies relate to special assessments under the ICDBG program:

(i) *Definition of special assessment.* The term *special assessment* means the recovery of the capital costs of a public improvement, such as streets, water or sewer lines, curbs, and gutters, through a fee or charge levied or filed as a lien against a parcel of real estate as a direct result of benefit derived from the installation of a public improvement, or a one-time charge made as a condition of access to a public improvement. This term does not relate to taxes, or the establishment of the value of real estate for the purpose of levying real estate, property, or ad valorem taxes, and does not include periodic charges based on the use of a public improvement, such as water or sewer user charges, even if such charges include the recovery of all or some portion of the capital costs of the public improvement.

(ii) *Special assessments to recover capital costs.* Where ICDBG funds are used to pay all or part of the cost of a public improvement, special assessments may be imposed as follows:

(A) Special assessments to recover the ICDBG funds may be made only against properties owned and occupied by persons not of low and moderate income. Such assessments constitute program income.

(B) Special assessments to recover the non-ICDBG portion may be made provided that ICDBG funds are used to pay the special assessment on behalf of all properties owned and occupied by low and moderate income persons; except that ICDBG funds need not be used to pay the special assessments on behalf of properties owned and occupied by moderate income persons if the grantee certifies that it does not have sufficient ICDBG funds to pay the assessments in behalf of all of the low and moderate income owner-occupant persons. Funds collected through such special assessments are not program income.

(iii) *Public improvements not initially assisted with ICDBG funds.* The payment of special assessments with ICDBG funds constitutes ICDBG assistance to the public improvement. Therefore, ICDBG funds may be used to pay special assessments provided:

(A) The installation of the public improvements was carried out in compliance with requirements applicable to activities assisted under this part including environmental and citizen participation requirements; and

(B) The installation of the public improvement meets a criterion for the primary objective in §1003.208; and,

(C) The requirements of §1003.201(c)(3)(ii)(B) are met.

(d) *Clearance activities.* Clearance, demolition, and removal of buildings and improvements, including movement of structures to other sites. Demolition of HUD-assisted housing units may be undertaken only with the prior approval of HUD.

(e) *Public services.* Provision of public services (including labor, supplies, materials, and the purchase of personal property and furnishings) which are directed toward improving the community's public services and facilities, including but not limited to those concerned with employment, crime prevention, child care, health, drug abuse, education, fair housing counseling, energy conservation, welfare (but excluding the provision of income payments

identified under §1003.207(b)(4)), homebuyer downpayment assistance or recreational needs. To be eligible for ICDBG assistance, a public service must be either a new service, or a quantifiable increase in the level of an existing service above that which has been provided by or on behalf of the grantee through funds raised by the grantee, or received by the grantee from the Federal government in the twelve calendar months before the submission of the application for ICDBG assistance. (An exception to this requirement may be made if HUD determines that any decrease in the level of a service was the result of events not within the control of the grantee.) The amount of ICDBG funds used for public services shall not exceed 15 percent of the grant. Such projects must therefore be submitted with one or more other projects, which must comprise at least 85 percent of the total requested ICDBG grant amount.

(f) *Interim assistance.* (1) The following activities may be undertaken on an interim basis in areas exhibiting objectively determinable signs of physical deterioration where the grantee has determined that immediate action is necessary to arrest the deterioration and that permanent improvements will be carried out as soon as practicable:

(i) The repairing of streets, sidewalks, parks, playgrounds, publicly owned utilities, and public buildings; and

(ii) The execution of special garbage, trash, and debris removal, including neighborhood cleanup campaigns, but not the regular curbside collection of garbage or trash in an area.

(2) In order to alleviate emergency conditions threatening the public health and safety in areas where the chief executive officer of the grantee determines that such an emergency condition exists and requires immediate resolution, ICDBG funds may be used for:

(i) The activities specified in paragraph (f)(1) of this section, except for the repair of parks and playgrounds;

(ii) The clearance of streets, including snow removal and similar activities; and

(iii) The improvement of private properties.

(3) All activities authorized under paragraph (f)(2) of this section are limited to the extent necessary to alleviate emergency conditions.

(g) *Payment of non-Federal share.* Payment of the non-Federal share required in connection with a Federal grant-in-aid program undertaken as part of ICDBG activities, provided, that such payment shall be limited to activities otherwise eligible and in compliance with applicable requirements under this subpart.

(h) *Relocation.* Relocation payments and other assistance for permanently and temporarily relocated individuals families, businesses, nonprofit organizations, and farm operations where the assistance is:

(1) Required under the provisions of §1003.602 (b) or (c); or

(2) Determined by the grantee to be appropriate under the provisions of §1003.602(d).

(i) *Loss of rental income.* Payments to housing owners for losses of rental income incurred in holding, for temporary periods, housing units to be used for the relocation of individuals and families displaced by program activities assisted under this part.

(j) *Housing services.* Housing services, as provided in section 105(a)(21) of the Housing and Community Development Act of 1974 [42 U.S.C. 5305(a)(21)].

(k) *Privately owned utilities.* ICDBG funds may be used to acquire, construct, reconstruct, rehabilitate, or install the distribution lines and facilities of privately owned utilities, including the placing underground of new or existing distribution facilities and lines.

(l) *The provision of assistance to facilitate economic development.* (1) The provision of assistance either through the grantee directly or through public and private organizations, agencies, and other subrecipients (including nonprofit and for-profit subrecipients) to facilitate economic development by:

(i) Providing credit, including, but not limited to, grants, loans, loan guarantees, and other forms of financial support, for the establishment, stabilization, and expansion of microenterprises;

(ii) Providing technical assistance, advice, and business support services to owners of microenterprises and persons developing microenterprises; and

(iii) Providing general support, including, but not limited to, peer support programs, counseling, child care, transportation, and other similar services, to owners of microenterprises and persons developing microenterprises.

(2) Services provided under paragraph (l)(1) of this section shall not be subject to the restrictions on public services contained in §1003.201(e).

(3) For purposes of this paragraph (l), *persons developing microenterprises* means such persons who have expressed interest and who are, or after an initial screening process are expected to be, actively working toward developing businesses, each of which is expected to be a microenterprise at the time it is formed.

(m) *Technical assistance.* Provision of technical assistance to public or nonprofit entities to increase the capacity of such entities to carry out eligible neighborhood revitalization or economic development activities. Capacity building for private or public entities (including grantees) for other purposes may be eligible as a planning cost under §1003.205.

(n) *Assistance to institutions of higher education.* Provision of assistance by the grantee to institutions of higher education where the grantee determines that such an institution has demonstrated a capacity to carry out eligible activities under this subpart.

(o) *Homeownership assistance.* ICDBG funds may be used to provide direct homeownership assistance to low- and moderate-income households to:

(1) Subsidize interest rates and mortgage principal amounts for low-and moderate-income homebuyers;

- (2) Finance the acquisition by low-and moderate-income homebuyers of housing that is occupied by the homebuyers;
- (3) Acquire guarantees for mortgage financing obtained by low-and moderate-income homebuyers from private lenders (except that ICDBG funds may not be used to guarantee such mortgage financing directly, and grantees may not provide such guarantees directly);
- (4) Provide up to 50 percent of any downpayment required from a low-and moderate-income homebuyer; or
- (5) Pay reasonable closing costs (normally associated with the purchase of a home) incurred by a low-or moderate-income homebuyer.

**§ 1003.202 Eligible rehabilitation and preservation activities.**

(a) Types of buildings and improvements eligible for rehabilitation or reconstruction assistance. ICDBG funds may be used to finance the rehabilitation of:

- (1) Privately owned buildings and improvements for residential purposes; improvements to a single-family residential property which is also used as a place of business, which are required in order to operate the business, need not be considered to be rehabilitation of a commercial or industrial building, if the improvements also provide general benefit to the residential occupants of the building;
- (2) Low-income public housing and other publicly owned residential buildings and improvements;
- (3) Publicly or privately owned commercial or industrial buildings, except that the rehabilitation of such buildings owned by a private for-profit business is limited to improvements to the exterior of the building and the correction of code violations (further improvements to such buildings may be undertaken pursuant to §1003.203(b)); and
- (4) Nonprofit-owned nonresidential buildings and improvements not eligible under §1003.201(c);
- (5) Manufactured housing when such housing constitutes part of the community's permanent housing stock.

(b) *Types of assistance.* ICDBG funds may be used to finance the following types of rehabilitation or reconstruction activities, and related costs, either singly, or in combination, through the use of grants, loans, loan guarantees, interest supplements, or other means for buildings and improvements described in paragraph (a) of this section, except that rehabilitation of commercial or industrial buildings is limited as described in paragraph (a)(3) of this section.

- (1) Assistance to private individuals and entities, including profit making and nonprofit organizations, to acquire for the purpose of rehabilitation, and to rehabilitate properties, for use or resale for residential purposes;
- (2) Labor, materials, and other costs of rehabilitation of properties, including repair directed toward an accumulation of deferred maintenance, replacement of principal fixtures and

components of existing structures, installation of security devices, including smoke detectors and dead bolt locks, and renovation through alterations, additions to, or enhancement of existing structures, which may be undertaken singly, or in combination;

(3) Loans for refinancing existing indebtedness secured by a property being rehabilitated with ICDBG funds if such financing is determined by the grantee to be necessary or appropriate to achieve the grantee's community development objectives;

(4) Improvements to increase the efficient use of energy in structures through such means as installation of storm windows and doors, siding, wall and attic insulation, and conversion, modification, or replacement of heating and cooling equipment, including the use of solar energy equipment;

(5) Improvements to increase the efficient use of water through such means as water saving faucets and shower heads and repair of water leaks;

(6) Connection of residential structures to water distribution lines or local sewer collection lines;

(7) For rehabilitation carried out with ICDBG funds, costs of:

(i) Initial homeowner warranty premiums;

(ii) Hazard insurance premiums, except where assistance is provided in the form of a grant; and

(iii) Flood insurance premiums for properties covered by the Flood Disaster Protection Act of 1973, pursuant to 24 CFR 58.6(a).

(iv) Lead-based paint activities in part 35 of this title.

(8) Costs of acquiring tools to be lent to owners, tenants, and others who will use such tools to carry out rehabilitation;

(9) Rehabilitation services, such as rehabilitation counseling, energy auditing, preparation of work specifications, loan processing, inspections, and other services related to assisting owners, tenants, contractors, and other entities, participating or seeking to participate in rehabilitation activities authorized under this section;

(10) Improvements designed to remove material and architectural barriers that restrict the mobility and accessibility of elderly or severely disabled persons to buildings and improvements eligible for assistance under paragraph (a) of this section.

(c) *Code enforcement.* Code enforcement in deteriorating or deteriorated areas where such enforcement together with public or private improvements, rehabilitation, or services to be provided, may be expected to arrest the decline of the area.

(d) *Historic preservation.* ICDBG funds may be used for the rehabilitation, preservation or restoration of historic properties, whether publicly or privately owned. Historic properties are those sites or structures that are either listed in or eligible to be listed in the National Register of Historic Places, listed in a State or local inventory of historic places, or designated as a State or



local landmark or historic district by appropriate law or ordinance. Historic preservation, however, is not authorized for buildings for the general conduct of government.

(e) *Renovation of closed buildings.* ICDBG funds may be used to renovate closed buildings, such as closed school buildings, for use as an eligible public facility or to rehabilitate such buildings for housing.

[61 FR 40090, July 31, 1996, as amended at 64 FR 50230, Sept. 15, 1999]

### **§ 1003.203 Special economic development activities.**

A grantee may use ICDBG funds for special economic development activities in addition to other activities authorized in this subpart which may be carried out as part of an economic development project. Special activities authorized under this section do not include assistance for the construction of new housing. Special economic development activities include:

(a) The acquisition, construction, reconstruction, rehabilitation or installation of commercial or industrial buildings, structures, and other real property equipment and improvements, including railroad spurs or similar extensions. Such activities may be carried out by the grantee or public or private nonprofit subrecipients.

(b) The provision of assistance to a private for-profit business, including, but not limited to, grants, loans, loan guarantees, interest supplements, technical assistance, and other forms of support, for any activity where the assistance is necessary or appropriate to carry out an economic development project, excluding those described as ineligible in §1003.207(a). In order to ensure that any such assistance does not unduly enrich the for-profit business, the grantee shall conduct an analysis to determine that the amount of any financial assistance to be provided is not excessive, taking into account the actual needs of the business in making the project financially feasible and the extent of public benefit expected to be derived from the economic development project. The grantee shall document the analysis as well as any factors it considered in making its determination that the assistance is necessary or appropriate to carry out the project. The requirement for making such a determination applies whether the business is to receive assistance from the grantee or through a subrecipient.

(Approved by the Office of Management and Budget under control number 2577–0191)

### **§ 1003.204 Special activities by Community-Based Development Organizations (CBDOs).**

(a) *Eligible activities.* The grantee may provide ICDBG funds as grants or loans to any CBDO qualified under this section to carry out a neighborhood revitalization, community economic development, or energy conservation project. The funded project activities may include those listed as eligible under this subpart, and, except as described in paragraph (b) of this section, activities not otherwise listed as eligible under this subpart. For purposes of qualifying as a project under paragraphs (a)(1), (a)(2), and (a)(3) of this section, the funded activity or activities may be considered either alone or in concert with other project activities either being carried out or for which funding has been committed. For purposes of this section:

(1) Neighborhood revitalization project includes activities of sufficient size and scope to have an impact on the decline of a geographic location within the jurisdiction of a grantee (but not the

entire jurisdiction) designated in comprehensive plans, ordinances, or other local documents as a neighborhood, village, or similar geographical designation; or the entire jurisdiction of a grantee which is under 25,000 population;

(2) Community economic development project includes activities that increase economic opportunity, principally for persons of low- and moderate-income, or that stimulate or retain businesses or permanent jobs, including projects that include one or more such activities that are clearly needed to address a lack of affordable housing accessible to existing or planned jobs;

(3) Energy conservation project includes activities that address energy conservation, principally for the benefit of the residents of the grantee's jurisdiction; and

(4) To carry out a project means that the CBDO undertakes the funded activities directly or through contract with an entity other than the grantee, or through the provision of financial assistance for activities in which it retains a direct and controlling involvement and responsibilities.

(b) *Ineligible activities.* Notwithstanding that CBDOs may carry out activities that are not otherwise eligible under this subpart, this section does not authorize:

(1) Carrying out an activity described as ineligible in §1003.207(a);

(2) Carrying out public services that do not meet the requirements of §1003.201(e), except services carried out under this section that are specifically designed to increase economic opportunities through job training and placement and other employment support services, including, but not limited to, peer support programs, counseling, child care, transportation, and other similar services;

(3) Carrying out an activity that would otherwise be eligible under §1003.205 or §1003.206, but that would result in the grantee's exceeding the spending limitation in §1003.206.

(c) *Eligible CBDOs.* (1) A CBDO qualifying under this section is an organization which has the following characteristics:

(i) Is an association or corporation organized under State or local law to engage in community development activities (which may include housing and economic development activities) primarily within an identified geographic area of operation within the jurisdiction of the grantee; and

(ii) Has as its primary purpose the improvement of the physical, economic or social environment of its geographic area of operation by addressing one or more critical problems of the area, with particular attention to the needs of persons of low and moderate income; and

(iii) May be either non-profit or for-profit, provided any monetary profits to its shareholders or members must be only incidental to its operations; and

(iv) Maintains at least 51 percent of its governing body's membership for low- and moderate-income residents of its geographic area of operation, owners or senior officers of private

establishments and other institutions located in and serving its geographic area of operation, or representatives of low- and moderate-income neighborhood organizations located in its geographic area of operation; and

(v) Is not an agency or instrumentality of the grantee and does not permit more than one-third of the membership of its governing body to be appointed by, or to consist of, elected or other public officials or employees or officials of an ineligible entity (even though such persons may be otherwise qualified under paragraph (c)(1)(iv) of this section); and

(vi) Except as otherwise authorized in paragraph (c)(1)(v) of this section, requires the members of its governing body to be nominated and approved by the general membership of the organization, or by its permanent governing body; and

(vii) Is not subject to requirements under which its assets revert to the grantee upon dissolution; and

(viii) Is free to contract for goods and services from vendors of its own choosing.

(2) A CBDO that does not meet the criteria in paragraph (c)(1) of this section may also qualify as an eligible entity under this section if it meets one of the following requirements:

(i) Is an entity organized pursuant to section 301(d) of the Small Business Investment Act of 1958 (15 U.S.C. 681(d)), including those which are profit making; or

(ii) Is an SBA-approved Section 501 State Development Company or Section 502 Local Development Company, or an SBA Certified Section 503 Company under the Small Business Investment Act of 1958, as amended; or

(iii) Is a Community Housing Development Organization (CHDO) under 24 CFR 92.2, designated as a CHDO by the HOME Investment Partnerships program participating jurisdiction, with a geographic area of operation of no more than one neighborhood, and has received HOME funds under 24 CFR 92.300 or is expected to receive HOME funds as described in and documented in accordance with 24 CFR 92.300(e); or

(iv) Is a tribal-based nonprofit organization. Such organizations are associations or corporations duly organized to promote and undertake community development activities on a not-for-profit basis within an identified service area.

(3) A CBDO that does not qualify under paragraphs (c)(1) or (2) of this section may also be determined to qualify as an eligible entity under this section if the grantee demonstrates to the satisfaction of HUD, through the provision of information regarding the organization's charter and by-laws, that the organization is sufficiently similar in purpose, function, and scope to those entities qualifying under paragraphs (c)(1) or (2) of this section.

### **§ 1003.205 Eligible planning, urban environmental design and policy-planning-management-capacity building activities.**

(a) Planning activities which consist of all costs of data gathering, studies, analysis, and preparation of plans and the identification of actions that will implement such plans, including,

but not limited to comprehensive plans, community development plans and functional plans in areas such as housing and economic development. In addition, other plans and studies such as capital improvements programs, individual project plans, general environmental studies, and strategies and action programs to implement plans, including the development of codes and ordinances are also eligible activities. With respect to the costs of individual project plans, engineering and design costs related to a specific activity are eligible as part of the cost of such activity under §§1003.201 through 1003.204 and are not considered planning costs. Also, costs necessary to comply with the requirements of 24 CFR part 58, including project specific environmental assessments and clearances for activities eligible under this part are eligible as part of the cost of such activities under §§1003.201 through 1003.204.

(b) Policy—planning—management—capacity building activities including those which will enable the grantee to determine its needs, set long term goals and short term objectives, devise programs to meet these goals and objectives, evaluate the progress being made in accomplishing the goals and objectives. In addition, actions necessary to carry out management, coordination and monitoring of activities necessary for effective planning implementation are eligible planning activities, however the costs necessary to implement the plans are not.

#### **§ 1003.206 Program administration costs.**

ICDBG funds may be used for the payment of reasonable administrative costs and carrying charges related to the planning and execution of community development activities assisted in whole or in part with funds provided under this part. No more than 20 percent of the sum of any grant plus program income received shall be expended for activities described in this section and in §1003.205—Eligible planning, urban environmental design and policy-planning-management capacity building activities. This does not include staff and overhead costs directly related to carrying out activities eligible under §§1003.201 through 1003.204, since those costs are eligible as part of such activities. In addition, technical assistance costs associated with developing the capacity to undertake a specific funded activity are also not considered program administration costs. These costs must not, however, exceed 10% of the total grant award.

(a) *General management, oversight and coordination.* Reasonable costs of overall program management, coordination, monitoring, and evaluation. Such costs include, but are not necessarily limited to, necessary expenditures for the following:

(1) Salaries, wages, and related costs of the grantee's staff, the staff of local public agencies, or other staff engaged in program administration. In charging costs to this category the grantee may either include the entire salary, wages, and related costs allocable to the program of each person whose primary responsibilities with regard to the program involve program administration assignments, or the pro rata share of the salary, wages, and related costs of each person whose job includes any program administration assignments. The grantee may use only one of these methods during the grant period. Program administration includes the following types of assignments:

(i) Providing tribal officials and citizens with information about the program;

(ii) Preparing program budgets and schedules, and amendments thereto;

(iii) Developing systems for assuring compliance with program requirements;

- (iv) Developing interagency agreements and agreements with subrecipients and contractors to carry out program activities;
  - (v) Monitoring program activities for progress and compliance with program requirements;
  - (vi) Preparing reports and other documents related to the program for submission to HUD;
  - (vii) Coordinating the resolution of audit and monitoring findings;
  - (viii) Evaluating program results against stated objectives; and
  - (ix) Managing or supervising persons whose primary responsibilities with regard to the program include such assignments as those described in paragraph (a)(1) (i) through (viii) of this section.
- (2) Travel costs incurred for official business in carrying out the program;
  - (3) Administrative services performed under third party contracts or agreements, including such services as general legal services, accounting services, and audit services; and
  - (4) Other costs for goods and services required for administration of the program, including such goods and services as rental or purchase of equipment, furnishings, or other personal property (or the payment of depreciation or use allowances for such items in accordance with OMB Circulars A-21, A-87 or A-122, as applicable), insurance, utilities, office supplies, and rental and maintenance (but not purchase) of office space. (OMB Circulars are available from the Executive Office of the President, Publication Service, 725 17th Street, N.W., Suite G-2200, Washington, DC 20503, Telephone, 202-395-7332.)
- (b) *Public information.* The provisions of information and other resources to residents and citizen organizations participating in the planning, implementation, or assessment of activities being assisted with ICDBG funds.
  - (c) *Indirect costs.* Indirect costs may be charged to the ICDBG program under a cost allocation plan prepared in accordance with OMB Circular A-21, A-87, or A-122 as applicable.
  - (d) *Submission of applications for Federal programs.* Preparation of documents required for submission to HUD to receive funds under the ICDBG program. In addition, ICDBG funds may be used to prepare applications for other Federal programs where the grantee determines that such activities are necessary or appropriate to achieve its community development objectives.

**§ 1003.207 Ineligible activities.**

The general rule is that any activity that is not authorized under the provisions of §§1003.201 through 1003.206 is ineligible to be assisted with ICDBG funds. This section identifies specific activities that are ineligible and provides guidance in determining the eligibility of other activities frequently associated with housing and community development.

- (a) The following activities may not be assisted with ICDBG funds:

(1) Buildings or portions thereof used for the general conduct of government as defined at §1003.4 cannot be assisted with ICDBG funds. This does not include, however, the removal of architectural barriers under §1003.201(c) involving any such building. Also, where acquisition of real property includes an existing improvement which is to be used in the provision of a building for the general conduct of government, the portion of the acquisition cost attributable to the land is eligible, provided such acquisition meets the primary objective described in §1003.208.

(2) *General government expenses.* Except as otherwise specifically authorized in this subpart or under OMB Circular A–87, expenses required to carry out the regular responsibilities of the grantee are not eligible for assistance under this part.

(3) *Political activities.* ICDBG funds shall not be used to finance the use of facilities or equipment for political purposes or to engage in other partisan political activities, such as candidate forums, voter transportation, or voter registration. However, a facility originally assisted with ICDBG funds may be used on an incidental basis to hold political meetings, candidate forums, or voter registration campaigns, provided that all parties and organizations have access to the facility on an equal basis, and are assessed equal rent or use charges, if any.

(b) The following activities may not be assisted with ICDBG funds unless authorized under provisions of §1003.203 or as otherwise specifically noted herein, or when carried out by a CBDO under the provisions of §1003.204.

(1) *Purchase of equipment.* The purchase of equipment with ICDBG funds is generally ineligible.

(i) *Construction equipment.* The purchase of construction equipment is ineligible, but compensation for the use of such equipment through leasing, depreciation, or use allowances pursuant to OMB Circular A–21, A–87 or A–122 as applicable for an otherwise eligible activity is an eligible use of ICDBG funds.

(ii) *Furnishings and personal property.* The purchase of equipment, fixtures, motor vehicles, furnishings, or other personal property not an integral structural fixture is generally ineligible. Exceptions to this general prohibition are set forth in §1003.201(o).

(2) *Operating and maintenance expenses.* The general rule is that any expense associated with repairing, operating or maintaining public facilities, improvements and services is ineligible. Specific exceptions to this general rule are operating and maintenance expenses associated with public service activities, interim assistance, and office space for program staff employed in carrying out the ICDBG program. For example, the use of ICDBG funds to pay the allocable costs of operating and maintaining a facility used in providing a public service would be eligible under §1003.201(e), even if no other costs of providing such a service are assisted with such funds. Examples of ineligible operating and maintenance expenses are:

(i) Maintenance and repair of streets, parks, playgrounds, water and sewer facilities, neighborhood facilities, senior centers, centers for persons with a disability, parking and similar public facilities; and

(ii) Payment of salaries for staff, utility costs and similar expenses necessary for the operation of public works and facilities.

(3) *New housing construction.* ICDBG funds may not be used for the construction of new permanent residential structures or for any program to subsidize or assist such new construction, except:

(i) As provided under the last resort housing provisions set forth in 24 CFR part 42; or

(ii) When carried out by a CBDO pursuant to §1003.204(a);

(4) *Income payments.* The general rule is that ICDBG funds may not be used for income payments. For purposes of the ICDBG program, income payments means a series of subsistence-type grant payments made to an individual or family for items such as food, clothing, housing (rent or mortgage) or utilities, but excludes emergency payments made over a period of up to three months to the provider of such items or services on behalf of an individual or family.

### **§ 1003.208 Criteria for compliance with the primary objective.**

The Act establishes as its primary objective the development of viable communities by providing decent housing and a suitable living environment and expanding economic opportunities, principally for persons of low and moderate income. Consistent with this objective, not less than 70 percent of the expenditures of each single purpose grant shall be for activities which meet the criteria set forth in paragraphs (a), (b), (c) and (d) of this section. Activities meeting these criteria as applicable will be considered to benefit low and moderate income persons unless there is substantial evidence to the contrary. In assessing any such evidence, the full range of direct effects of the assisted activity will be considered. (The grantee shall appropriately ensure that activities that meet these criteria do not benefit moderate income persons to the exclusion of low income persons.)

(a) *Area benefit activities.* (1) An activity, the benefits of which are available to all the residents in a particular area, where at least 51 percent of the residents are low and moderate income persons. Such an area need not be coterminous with census tracts or other officially recognized boundaries but must be the entire area served by the activity. An activity that serves an area that is not primarily residential in character shall not qualify under this criterion.

(2) For purposes of determining qualification under this criterion, activities of the same type that serve different areas will be considered separately on the basis of their individual service area.

(3) In determining whether there is a sufficiently large percentage of low and moderate income persons residing in the area served by an activity to qualify under paragraph (a) (1) or (2) of this section, the most recently available decennial census information shall be used to the fullest extent feasible, together with the Section 8 income limits that would have applied at the time the income information was collected by the Census Bureau. Grantees that believe that the census data does not reflect current relative income levels in an area, or where census boundaries do not coincide sufficiently well with the service area of an activity, may conduct (or have conducted) a current survey of the residents of the area to determine the percent of such persons that are low and moderate income. HUD will accept information obtained through such surveys, to be used in lieu of the decennial census data, where it determines that the survey was conducted in such a manner that the results meet standards of statistical reliability that are comparable to that of the decennial census data for areas of similar size. Where there is substantial evidence that provides a clear basis to believe that the use of the decennial census

data would substantially overstate the proportion of persons residing there that are low and moderate income, HUD may require that the grantee rebut such evidence in order to demonstrate compliance with section 105(c)(2) of the Act.

(b) *Limited clientele activities.* (1) An activity which benefits a limited clientele, at least 51 percent of whom are low or moderate income persons. (The following kinds of activities may not qualify under paragraph (b) of this section: Activities, the benefits of which are available to all the residents of an area; activities involving the acquisition, construction or rehabilitation of property for housing; or activities where the benefit to low and moderate income persons to be considered is the creation or retention of jobs except as provided in paragraph (b)(4) of this section.) To qualify under paragraph (b) of this section, the activity must meet one of the following tests:

(i) Benefit a clientele who are generally presumed to be principally low and moderate income persons. Activities that exclusively serve a group of persons in any one of the following categories may be presumed to benefit persons, 51 percent of whom are low-and moderate-income: abused children, battered spouses, elderly persons, adults meeting the Bureau of the Census' current Population Reports definition of "severely disabled", homeless persons, illiterate adults, persons living with AIDS, and migrant workers; or

(ii) Require information on family size and income so that it is evident that at least 51 percent of the clientele are persons whose family income does not exceed the low and moderate income limit; or

(iii) Have income eligibility requirements which limit the activity exclusively to low and moderate income persons; or

(iv) Be of such nature and be in such location that it may be concluded that the activity's clientele will primarily be low and moderate income persons.

(2) An activity that serves to remove material or architectural barriers to the mobility or accessibility of elderly persons or adults meeting the Bureau of the Census' Current Population Reports definition of "severely disabled" will be presumed to qualify under this criterion if it is restricted, to the extent practicable, to the removal of such barriers by assisting:

(i) The reconstruction of a public facility or improvement, or portion thereof, that does not qualify under §1003.208(a); or

(ii) The rehabilitation of a privately-owned nonresidential building or improvement that does not qualify under §1003.208 (a) or (d); or

(iii) The rehabilitation of the common areas of a residential structure that contains more than one dwelling unit.

(3) A microenterprise assistance activity carried out in accordance with the provisions of §1003.201(l) with respect to those owners of microenterprises and persons developing microenterprises assisted under the activity during the grant period who are low and moderate income persons. For purposes of this paragraph, persons determined to be low and moderate income may be presumed to continue to qualify for up to a three year period.



(4) An activity designed to provide job training and placement and/or other employment support services, including but not limited to, peer support programs, counseling, child care, transportation, and other similar services, in which the percentage of low and moderate income persons assisted is less than 51 percent may qualify under this paragraph in the following limited circumstance:

(i) In such cases where such training or provision of supportive services assists business(es), the only use of ICDBG assistance for the project is to provide the job training and/or supportive services; and

(ii) The proportion of the total cost of the project borne by ICDBG funds is no greater than the proportion of the total number of persons assisted who are low or moderate income.

(c) *Housing activities.* An eligible activity carried out for the purpose of providing or improving permanent residential structures which, upon completion, will be occupied by low and moderate income households. This would include, but not necessarily be limited to, the acquisition or rehabilitation of property, conversion of non-residential structures, and new housing construction. Funds expended for activities which qualify under the provisions of this paragraph shall be counted as benefiting low and moderate income persons but shall be limited to an amount determined by multiplying the total cost (including ICDBG and non-ICDBG costs) of the acquisition, construction or rehabilitation by the percent of units in such housing to be occupied by low and moderate income persons. If the structure assisted contains two dwelling units, at least one must be occupied by low and moderate income households, and if the structure contains more than two dwelling units, at least 51 percent of the units must be so occupied. Where two or more rental buildings being assisted are or will be located on the same or contiguous properties, and the buildings will be under common ownership and management, the grouped buildings may be considered for this purpose as a single structure. For rental housing, occupancy by low and moderate income households must be at affordable rents to qualify under this criterion. The grantee shall adopt and make public its standards for determining "affordable rents" for this purpose. The following shall also qualify under this criterion:

(1) When less than 51 percent of the units in a structure will be occupied by low and moderate income households, ICDBG assistance may be provided in the following limited circumstances:

(i) The assistance is for an eligible activity to reduce the development cost of the new construction of a multifamily, non-elderly rental housing project;

(ii) Not less than 20 percent of the units will be occupied by low and moderate income households at affordable rents; and

(iii) The proportion of the total cost of developing the project to be borne by ICDBG funds is no greater than the proportion of units in the project that will be occupied by low and moderate income households.

(2) When ICDBG funds are used for housing services eligible under §1003.201(j), such funds shall be considered to benefit low-and moderate-income persons if the housing for which the services are provided is to be occupied by low-and moderate-income households.

(d) *Job creation or retention activities.* An activity designed to create or retain permanent jobs where at least 51 percent of the jobs, computed on a full time equivalent basis, involve the

employment of low and moderate persons. For purposes of determining whether a job is held by or made available to a low or moderate income person, the person may be presumed to be a low or moderate income person if: he/she resides within a census tract (or block numbering area) where not less than 70 percent of the residents have incomes at or below 80 percent of the area median; or, if he/she resides in a census tract (or block numbering area) which meets the Federal Empowerment Zone or Enterprise Community eligibility criteria; or, if the assisted business is located in and the job under consideration is to be located in such a tract or area. As a general rule, each assisted business shall be considered to be a separate activity for purposes of determining whether the activity qualifies under this paragraph. However, in certain cases such as where ICDBG funds are used to acquire, develop or improve a real property (e.g., a business incubator or an industrial park) the requirement may be met by measuring jobs in the aggregate for all the businesses which locate on the property, provided such businesses are not otherwise assisted by ICDBG funds. Where ICDBG funds are used to pay for the staff and overhead costs of a CBDO under the provisions of §1003.204 making loans to businesses from non-ICDBG funds, this requirement may be met by aggregating the jobs created by all of the businesses receiving loans during any one year period. For an activity that creates jobs, the grantee must document that at least 51 percent of the jobs will be held by, or will be available to, low and moderate income persons. For an activity that retains jobs, the grantee must document that the jobs would actually be lost without the ICDBG assistance and that either or both of the following conditions apply with respect to at least 51 percent of the jobs at the time the ICDBG assistance is provided: The job is known to be held by a low or moderate income person; or the job can reasonably be expected to turn over within the following two years and that steps will be taken to ensure that it will be filled by, or made available to, a low or moderate income person upon turnover. Jobs will be considered to be available to low and moderate income persons for these purposes only if:

- (1) Special skills that can only be acquired with substantial training or work experience or education beyond high school are not a prerequisite to fill such jobs, or the business agrees to hire unqualified persons and provide training; and
  - (2) The grantee and the assisted business take actions to ensure that low and moderate income persons receive first consideration for filling such jobs.
- (e) *Additional criteria.* (1) Where the assisted activity is acquisition of real property, a preliminary determination of whether the activity addresses the primary objective may be based on the planned use of the property after acquisition. A final determination shall be based on the actual use of the property, excluding any short-term, temporary use.
- (2) Where the assisted activity is relocation assistance that the grantee is required to provide, such relocation assistance shall be considered to address the primary objective as addressed by the displacing activity.
  - (3) In any case where the activity undertaken for the purpose of creating or retaining jobs is a public improvement and the area served is primarily residential, the activity must meet the requirements of paragraph (a) of this section as well as those of paragraph (d) of this section in order to qualify as benefiting low and moderate income persons.
  - (4) Expenditures for activities meeting the criteria for benefiting low and moderate income persons shall be used in determining the extent to which the grantee's overall program benefits such persons. In determining the percentage of funds expended for such activities:

(i) Costs of administration and planning, eligible under §1003.205 and §1003.206 respectively, will be assumed to benefit low and moderate income persons in the same proportion as the remainder of the ICDBG funds and, accordingly, shall be excluded from the calculation.

(ii) Funds expended for the acquisition, new construction or rehabilitation of property for housing those qualified under §1003.208(c) shall be counted for this purpose, but shall be limited to an amount determined by multiplying the total cost (including ICDBG and non-ICDBG costs) of the acquisition, construction, or rehabilitation by the percent of units in such housing occupied by low and moderate income persons.

(iii) Funds expended for any other activity which qualifies under §1003.208 shall be counted for this purpose in their entirety.

#### **Subpart D—Single Purpose Grant Application and Selection Process**

##### **§ 1003.300 Application requirements.**

(a) *Application information.* A Notice of Funding Availability (NOFA) shall be published in the Federal Register not less than 30 days before the deadline for application submission. The NOFA will provide information relating to the date and time for application submission, the form and content requirements of the application, specific information regarding the rating and ranking criteria to be used, and any other information pertinent to the application process.

(b) *Costs incurred by applicant.* Costs incurred by an applicant prior to the submission of the single purpose grant application to HUD will not be recognized by HUD as eligible ICDBG expenses.

(c) HUD will not normally reimburse or recognize costs incurred before HUD approval of the application for funding. However, under unusual circumstances, the Area ONAP may consider and approve written requests to recognize and reimburse costs incurred after submission of the application where failure to do so would impose undue hardship on the applicant. Such written authorization will be made only before the costs are incurred and where the requirements for reimbursement have been met in accordance with 24 CFR 58.22 and with the understanding that HUD has no obligation whatsoever to approve the application or to reimburse the applicant should the application be disapproved.

(Approved by the Office of Management and Budget under control number 2577–0191)

##### **§ 1003.301 Selection process.**

(a) *Threshold requirement.* An applicant that has an outstanding ICDBG obligation to HUD that is in arrears, or one that has not agreed to a repayment schedule, will be disqualified from the competition.

(b) *Application rating.* NOFAs will define and establish weights for the selection criteria, will specify the maximum points available, and will describe how point awards will be made.

[66 FR 4581, Jan. 17, 2001; 66 FR 8176, Jan. 30, 2001]

**§ 1003.302 Project specific threshold requirements.**

(a) *Housing rehabilitation projects.* All applicants for housing rehabilitation projects shall adopt rehabilitation standards and rehabilitation policies before submitting an application. The applicant shall assure that it will use project funds to rehabilitate units only when the homeowner's payments are current or the homeowner is current in a repayment agreement that is subject to approval by the Area ONAP. The Area ONAP administrator may grant exceptions to this requirement on a case-by-case basis.

(b) *New housing construction projects.* New housing construction can only be implemented through a nonprofit organization that is eligible under §1003.204 or is otherwise eligible under §1003.207(b)(3). All applicants for new housing construction projects shall adopt, by current tribal resolution, construction standards before submitting an application. All applications which include new housing construction projects must document that:

(1) No other housing is available in the immediate reservation area that is suitable for the household(s) to be assisted; and

(2) No other sources can meet the needs of the household(s) to be assisted; and

(3) Rehabilitation of the unit occupied by the household(s) to be assisted is not economically feasible; or

(4) The household(s) to be housed currently is in an overcrowded housing unit (sharing with another household); or

(5) The household(s) to be assisted has no current residence.

(c) *Economic development projects.* All applicants for economic development projects must provide an analysis which shows public benefit commensurate with the ICDBG assistance requested will result from the assisted project. This analysis should also establish that to the extent practicable: reasonable financial support will be committed from non-Federal sources prior to disbursement of Federal funds; any grant amount provided will not substantially reduce the amount of non-Federal financial support for the activity; not more than a reasonable rate of return on investment is provided to the owner; and, that grant funds used for the project will be disbursed on a pro rata basis with amounts from other sources. In addition, it must be established that the project is financially feasible and that it has a reasonable chance of success.

**§ 1003.303 Project rating.**

Each project included in an application that meets the threshold requirements shall be competitively rated within each Area ONAP's jurisdiction under the five following rating factors. Additional details regarding the rating factors will be provided in the periodic NOFAs.

(a) *Capacity.* This factor will address the applicant's organizational resources necessary to successfully implement the proposed activities in a timely manner.

(b) *Need/Extent of the problem.* This factor will address the extent to which there is a need for the proposed project to address a documented problem among the intended beneficiaries.

(c) *Soundness of Approach.* This factor will address the quality and cost effectiveness of the proposed project, the commitment to sustain the proposed activities, and the degree to which the proposed project provides other benefits to community members.

(d) *Leveraging of resources.* This factor will address the level of tribal resources and resources from other entities that are used in conjunction with ICDBG funds to support the proposed project. HUD will evaluate the level of non-ICDBG resources based on the percentage of non-ICDBG resources provided relative to project costs.

(e) *Comprehensiveness and coordination.* This factor will address the extent to which the applicant's proposed activities are consistent with the strategic plans or policy goals of the community and further on-going priorities and activities of the community.

[66 FR 4581, Jan. 17, 2001, as amended at 66 FR 8176, Jan. 30, 2001]

#### **§ 1003.304 Funding process.**

(a) *Notification.* Area ONAPs will notify applicants of the approval or disapproval of their applications. Grant amounts offered may reflect adjustments made by the Area ONAPs in accordance with §1003.100(b)(2).

(b) *Grant award.* (1) As soon as the Area ONAP determines that the applicant has complied with any pre-award requirements and absent information which would alter the threshold determinations under §1003.302, the grant will be awarded. The regulations become part of the grant agreement.

(2) All grants shall be conditioned upon the completion of all environmental obligations and approval of release of funds by HUD in accordance with the requirements of part 58 of this title and, in particular, subpart J of part 58 of this title, except as otherwise provided in part 58 of this title.

(3) HUD may impose other grant conditions where additional actions or approvals are required before the use of funds.

(Approved by the Office of Management and Budget under OMB Control No. 2577-0191)

#### **§ 1003.305 Program amendments.**

(a) Grantees shall request prior HUD approval for program amendments which will significantly change the scope, location, objective, or class of beneficiaries of the approved activities, as originally described in the application.

(b) Amendment requests of \$100,000 or more shall include all application components required by the NOFA published for the last application cycle; those requests of less than \$100,000 do not have to include the components which address the selection criteria.

(c) Approval of an amendment request is subject to the following:

(1) A rating equal to or greater than the lowest rating received by a funded project during the most recent funding competition must be attained by the amended project if the request is for \$100,000 or more;

(2) Demonstration by the grantee of the capacity to promptly complete the modified or new activities;

(3) Demonstration by the grantee of compliance with the requirements of §1003.604 for citizen participation; and

(4) The preparation of an amended or new environmental review in accordance with part 58 of this title, if there is a significant change in the scope or location of approved activities.

(d) Amendments which address imminent threats to health and safety shall be reviewed and approved in accordance with the requirements of subpart E of this part.

(e) If a program amendment fails to be approved and the original project is no longer feasible, the grant funds proposed for amendment shall be recaptured by HUD.

### **Subpart E—Imminent Threat Grants**

#### **§ 1003.400 Criteria for funding.**

The following criteria apply to requests for assistance under this subpart:

(a) In response to requests for assistance, HUD may make funds available under this subpart to applicants to alleviate or remove imminent threats to health or safety. The urgency and immediacy of the threat shall be independently verified before the approval of an application. Funds may only be used to deal with imminent threats that are not of a recurring nature and which represent a unique and unusual circumstance, and which impact on an entire service area.

(b) Funds to alleviate imminent threats may be granted only if the applicant can demonstrate to the satisfaction of HUD that other tribal or Federal funding sources cannot be made available to alleviate the threat.

(c) HUD will establish grant ceilings for imminent threat applications.

#### **§ 1003.401 Application process.**

(a) *Letter to proceed.* The Area ONAP may issue the applicant a letter to proceed to incur costs to alleviate imminent threats to health and safety only if the assisted activities do not alter environmental conditions and are for temporary or permanent improvements limited to protection, repair, or restoration actions necessary only to control or arrest the effects of imminent threats or physical deterioration. Reimbursement of such costs is dependent upon HUD approval of the application.

(b) *Applications*. Applications shall include the information specified in the Notice of Funding Availability (NOFA).

(c) *Application approval*. Applications which meet the requirement of this section may be approved by the Area ONAP without competition in accordance with the applicable requirements of §1003.304.

(Approved by the Office of Management and Budget under control number 2577–0191)

#### **§ 1003.402 Availability of funds.**

Of the funds made available by the NOFA for the ICDBG program, an amount to be determined by the Assistant Secretary may be reserved by HUD for grants under this subpart. The amount of funds reserved for imminent threat funding during each funding cycle will be stated in the NOFA. If any of the reserved funds are not used to fund imminent threat grants during a fiscal year, they will be added to the allocation of ICDBG funds for the subsequent fiscal year and will be used as if they were a part of the new allocation.

#### **Subpart F—Grant Administration**

#### **§ 1003.500 Responsibility for grant administration.**

(a) One or more tribal departments or authorities, including existing tribal public agencies, may be designated by the chief executive officer of the grantee to undertake activities assisted by this part. A public agency so designated shall be subject to the same requirements as are applicable to subrecipients.

(b) The grantee is responsible for ensuring that ICDBG funds are used in accordance with all program requirements. The use of designated public agencies, subrecipients, or contractors does not relieve the grantee of this responsibility. The grantee is also responsible for determining the adequacy of performance under subrecipient agreements and procurement contracts, and for taking appropriate action when performance problems arise, such as the actions described in §1003.701.

#### **§ 1003.501 Applicability of uniform administrative requirements and cost principles.**

(a) Grantees and subrecipients which are governmental entities (including public agencies) shall comply with the requirements and standards of OMB Circular No. A–87, “Principles for Determining Costs Applicable to Grants and Contracts with State, Local and Federally recognized Indian Tribal Governments”, OMB Circular A–128, “Audits of State and Local Governments” (implemented at 24 CFR part 44) and with the following sections of 24 CFR part 85 “Uniform Administrative Requirements for Grants and Cooperative Agreements to State and Local Governments”.

(1) Section 85.3, “Definitions”.

(2) Section 85.6, “Exceptions”.

(3) Section 85.12, “Special grant or subgrant conditions for ‘high-risk’ grantees”.

- (4) Section 85.20, "Standards for financial management systems," except paragraph (a).
- (5) Section 85.21, "Payment".
- (6) Section 85.22, "Allowable costs".
- (7) Section 85.25, "Program income," except as modified by §1003.503.
- (8) Section 85.26, "Non-federal audits".
- (9) Section 85.32, "Equipment," except in all cases in which the equipment is sold, the proceeds shall be program income.
- (10) Section 85.33, "Supplies".
- (11) Section 85.34, "Copyrights".
- (12) Section 85.35, "Subawards to debarred and suspended parties".
- (13) Section 85.36, "Procurement," except paragraphs (a) States, (i)(5) Compliance with the Davis Bacon Act (40 U.S.C. 276a to a-7) and (i)(6) Compliance with sections 103 and 107 of the Contract Work Hours and Safety Standards Act (40 U.S.C. 327-330). There may be circumstances under which the bonding requirements of §85.36(h) are inconsistent with other responsibilities and obligations of the grantee. In such circumstances, acceptable methods to provide performance and payment assurance may include:
  - (i) Deposit with the grantee of a cash escrow of not less than 20 percent of the total contract price, subject to reduction during the warranty period, commensurate with potential risk; or
  - (ii) Letter of credit for 25 percent of the total contract price, unconditionally payable upon demand of the grantee, subject to reduction during the warranty period commensurate with potential risk.
- (14) Section 85.37, "Subgrants".
- (15) Section 85.40, "Monitoring and reporting program performance," except paragraphs (b) through (d) and paragraph (f).
- (16) Section 85.41, "Financial reporting," except paragraphs (a), (b), and (e).
- (17) Section 85.42, "Retention and access requirements for records". The retention period referenced in §85.42(b) pertaining to individual ICDBG activities starts from the date of the submission of the final status and evaluation report as prescribed in §1003.506(a) in which the specific activity is reported.
- (18) Section 85.43, "Enforcement".
- (19) Section 85.44, "Termination for convenience".



(20) Section 85.51 “Later disallowances and adjustments”.

(21) Section 85.52, “Collection of amounts due”.

(b) Subrecipients, except subrecipients that are governmental entities, shall comply with the requirements and standards of OMB Circular No. A–122, “Cost Principles for Nonprofit Organizations,” or OMB Circular No. A–21, “Cost Principles for Educational Institutions,” as applicable, and OMB Circular A–133, “Audits of Institutions of Higher Education and Other Nonprofit Institutions” (implemented at 24 CFR part 45). Audits shall be conducted annually. Such subrecipients shall also comply with the following provisions of 24 CFR part 84 “Uniform Administrative Requirements for Grants and Agreements With Institutions of Higher Education, Hospitals and Other Non-Profit Organizations”).

(1) Subpart A—“General”.

(2) Subpart B—“Pre-Award Requirements,” except for §84.12, “Forms for Applying for Federal Assistance”.

(3) Subpart C—“Post-Award Requirements,” except for §84.22, “Payment Requirements,” grantees shall follow the standards of §§85.20(7) and 85.21 in making payments to subrecipients.

(4) Section 84.23, “Cost Sharing and Matching”.

(5) Section 84.24, “Program Income”, as modified by §1003.503.

(6) Section 84.25, “Revision of Budget and Program Plans”.

(7) Section 84.32, “Real Property.” In lieu of §84.32, ICDBG subrecipients shall follow §1003.504 of the ICDBG regulations.

(8) Section 84.34(g) “Equipment,” except that in lieu of the disposition provisions of this paragraph:

(i) In all cases in which equipment is sold during the grant period as defined in 24 CFR 85.25, the proceeds shall be program income; and

(ii) Equipment not needed by the subrecipient for ICDBG activities shall be transferred to the grantee for the ICDBG program or shall be retained after compensating the grantee.

(9) Section 84.51, “Monitoring and Reporting Program Performance.” Only §84.51(a) applies to ICDBG subrecipients.

(10) Section 84.52, “Financial Reporting”.

(11) Section 84.53(b), “Retention and access requirements for records.” The retention period referenced in §84.53(b) pertaining to individual ICDBG activities starts from the date of the submission of the final status and evaluation report as prescribed in §1003.506(a), in which the specific activity is reported.

(12) Section 84.61, "Termination." In lieu of the provisions of this section, ICDBG subrecipients shall comply with §1003.502 (b)(7) of the ICDBG regulations.

(13) Subpart D—"After-the-Award Requirements," except for §84.71, "Closeout Procedures".

(c) Cost principles. (1) All items of cost listed in Attachment B of OMB Circulars A-21, A-87, or A-123, as applicable, which require prior Federal agency approval are allowable without the prior approval of HUD to the extent that they comply with the general policies and principles stated in Attachment A of such circulars and are otherwise eligible under subpart C of this part, except for the following:

(i) Depreciation methods for fixed assets shall not be changed without specific approval of HUD or, if charged through a cost allocation plan, the Federal cognizant agency.

(ii) Fines and penalties are unallowable costs to the ICDBG program.

(2) No person providing consultant services in an employer-employee type of relationship shall receive more than a reasonable rate of compensation for personal services paid with ICDBG funds. In no event, however, shall such compensation exceed the equivalent of the daily rate paid for Level IV of the Executive Schedule.

(Approved by the Office of Management and Budget under control number 2577-0191)

#### **§ 1003.502 Agreements with subrecipients.**

(a) Before disbursing any ICDBG funds to a subrecipient, the grantee shall sign a written agreement with the subrecipient. The agreement shall remain in effect during any period that the subrecipient has control over ICDBG funds, including program income.

(b) At a minimum, the written agreement with the subrecipient shall include provisions concerning the following items:

(1) *Statement of work.* The agreement shall include a description of the work to be performed, a schedule for completing the work, and a budget. These items shall be in sufficient detail to provide a sound basis for the grantee effectively to monitor performance under the agreement.

(2) *Records and reports.* The grantee shall specify in the agreement the particular records the subrecipient must maintain and the particular reports the subrecipient must submit in order to assist the grantee in meeting its recordkeeping and reporting requirements.

(3) *Program income.* The agreement shall include the program income requirements set forth in §85.25 as modified by §1003.503.

(4) *Uniform administrative requirements.* The agreement shall require the subrecipient to comply with applicable administrative requirements, as described in §1003.501.

(5) *Other program requirements.* The agreement shall require the subrecipient to carry out each activity in compliance with all Federal laws and regulations described in subpart G of this part,

except that the subrecipient does not assume the grantee's environmental responsibilities described at §1003.605.

(6) *Conditions for religious organizations.* Where applicable, the conditions prescribed by HUD for the use of ICDBG funds by religious organizations shall be included in the agreement.

(7) *Suspension and termination.* The agreement shall specify that, in accordance with 24 CFR 85.43, suspension or termination may occur if the subrecipient materially fails to comply with any term of the award, and that the award may be terminated for convenience in accordance with 24 CFR 85.44.

(8) *Reversion of assets.* The agreement shall specify that upon its expiration the subrecipient shall transfer to the grantee any ICDBG funds on hand at the time of expiration and any accounts receivable attributable to the use of ICDBG funds. It shall also include provisions designed to ensure that any real property under the subrecipient's control that was acquired or improved in whole or in part with ICDBG funds (including ICDBG funds provided to the subrecipient in the form of a loan) in excess of \$25,000 is either:

(i) Used to meet the primary objective as stated in §1003.208 until five years after expiration of the agreement, or for such longer period of time as determined to be appropriate by the grantee; or

(ii) Not used in accordance with paragraph (b)(8)(i) of this section, in which event the subrecipient shall pay to the grantee an amount equal to the current market value of the property less any portion of the value attributable to expenditures of non-ICDBG funds for the acquisition of, or improvement to, the property. The payment is program income to the grantee if it is received during the grant period. (No payment is required after the period of time specified in paragraph (b)(8)(i) of this section.)

(Approved by the Office of Management and Budget under control number 2577–0191)

### **§ 1003.503 Program income.**

(a) Program income requirements for ICDBG grantees are set forth in 24 CFR 85.25, as modified by this section.

(b) *Program income* means gross income received by the grantee or a subrecipient directly generated from the use of ICDBG funds during the grant period, except as provided in paragraph (b)(4) of this section. When program income is generated by an activity that is only partially assisted with ICDBG funds, the income shall be prorated to reflect the percentage of ICDBG funds used.

(1) Program income includes, but is not limited to, the following:

(i) Proceeds from the disposition by sale or long-term lease of real property purchased or improved with ICDBG funds;

(ii) Proceeds from the disposition of equipment purchased with ICDBG funds;

(iii) Gross income from the use or rental of real or personal property acquired by the grantee or by a subrecipient with ICDBG funds, less costs incidental to generation of the income;

(iv) Gross income from the use or rental of real property, owned by the grantee or by a subrecipient, that was constructed or improved with ICDBG funds, less costs incidental to generation of the income;

(v) Payments of principal and interest on loans made using ICDBG funds, except as provided in paragraph (b)(3) of this section;

(vi) Proceeds from the sale of loans made with ICDBG funds except as provided in paragraph (b)(4) of this section;

(vii) Proceeds from sale of obligations secured by loans made with ICDBG funds;

(viii) Interest earned on funds held in a revolving fund account;

(ix) Interest earned on program income pending its disposition; and

(x) Funds collected through special assessments made against properties owned and occupied by households not of low and moderate income, where the assessments are used to recover all or part of the ICDBG portion of a public improvement.

(2) Program income does not include income earned on grant advances from the U.S. Treasury. The following items of income earned on grant advances must be remitted to HUD for transmittal to the U.S. Treasury and will not be reallocated:

(i) Interest earned from the investment of the initial proceeds of a grant advance by the U.S. Treasury;

(ii) Income (e.g., interest) earned on loans or other forms of assistance provided with ICDBG funds that are used for activities determined by HUD either to be ineligible or that fail substantially to meet any other requirement of this part.

(3) The calculation of the amount of program income for the grantee's ICDBG program as a whole (i.e., comprising activities carried out by a grantee and its subrecipients) shall exclude payments made by subrecipients of principal and/or interest on loans received from grantees where such payments are made from program income received by the subrecipient. (By making such payments, the subrecipient shall be deemed to have transferred program income to the grantee.) The amount of program income derived from this calculation shall be used for reporting purposes and in determining limitations on planning and administration and public services activities to be paid for with ICDBG funds.

(4) Program income does not include any income received in a single year by the grantee and all its subrecipients if the total amount of such income does not exceed \$25,000.

(5) Examples of other receipts that are not considered program income are proceeds from fundraising activities carried out by subrecipients receiving ICDBG assistance; funds collected through special assessments used to recover the non-ICDBG portion of a public improvement;

and proceeds from the disposition of real property acquired or improved with ICDBG funds when the disposition occurs after the applicable time period specified in §1003.502(b)(8) for subrecipient-controlled property, or in §1003.504 for grantee-controlled property.

(6) For purposes of determining the applicability of the program income requirements included in this part and in 24 CFR 85.25, the grant period is the time between the effective date of the grant agreement and the close-out of the grant pursuant to the requirements of §1003.508.

(7) As provided for in 24 CFR 85.25(g)(2), program income received will be added to the funds committed to the grant agreement and shall be used for purposes and under the conditions of the grant agreement.

(8) Recording program income. The receipt and expenditure of program income as defined in §1003.503(b) shall be recorded as part of the financial transactions of the grant program.

(Approved by the Office of Management and Budget under control number 2577–0191)

#### **§ 1003.504 Use of real property.**

The standards described in this section apply to real property within the grantee's control which was acquired or improved in whole or in part using ICDBG funds in excess of \$25,000. These standards shall apply from the date ICDBG funds are first spent for the property until five years after the closeout of the grant from which the assistance to the property was provided.

(a) A grantee may not change the use or planned use of any such property (including the beneficiaries of such use) from that for which the acquisition or improvement was made unless the grantee provides affected citizens with reasonable notice of, and opportunity to comment on, any proposed change, and either:

(1) The new use of such property qualifies as meeting the primary objective set forth in §1003.208 and is not a building for the general conduct of government; or

(2) The requirements in paragraph (b) of this section are met.

(b) If the grantee determines, after consultation with affected citizens, that it is appropriate to change the use of the property to a use which does not qualify under paragraph (a)(1) of this section, it may retain or dispose of the property for the changed use if the grantee's ICDBG program is reimbursed in the amount of the current fair market value of the property, less any portion of the value attributable to expenditures of non-ICDBG funds for acquisition of, and improvements to, the property.

(c) If the change of use occurs after program closeout, the proceeds from the disposition of the real property shall be used for activities which meet the eligibility requirements set forth in subpart C of this part and the primary objective set forth in §1003.208.

(d) Following the reimbursement of the ICDBG program in accordance with paragraph (b) of this section, the property no longer will be subject to any ICDBG requirements.

### **§ 1003.505 Records to be maintained.**

Each grantee shall establish and maintain sufficient records to enable the Secretary to determine whether the grantee has met the requirements of this part.

(Approved by the Office of Management and Budget under control number 2577–0191)

### **§ 1003.506 Reports.**

(a) *Status and evaluation report.* Grantees shall submit a status and evaluation report on previously funded open grants 45 days after the end of the Federal fiscal year and at the time of grant close-out. The report shall be in a narrative form addressing these areas.

(1) *Progress.* The progress made in completing approved activities should be described. This description should include a listing of work remaining together with a revised implementation schedule, if necessary.

(2) *Expenditure of funds.* A breakdown of funds spent on each major project activity or category should be provided.

(3) *Grantee assessment.* If the project has been completed, an evaluation of the effectiveness of the project in meeting the community development needs of the grantee should be provided.

(b) *Minority business enterprise reports.* Grantees shall submit to HUD, by April 10, a report on contract and subcontract activity during the first half of the fiscal year and by October 10 a report on such activity during the second half of the year.

(Approved by the Office of Management and Budget under control number 2577–0191)

### **§ 1003.507 Public access to program records.**

Notwithstanding the provisions of 24 CFR 85.42(f), grantees shall provide citizens with reasonable access to records regarding the past use of ICDBG funds, consistent with applicable State and tribal laws regarding privacy and obligations of confidentiality.

### **§ 1003.508 Grant closeout procedures.**

(a) *Criteria for closeout.* A grant will be closed out when the Area ONAP determines, in consultation with the grantee, that the following criteria have been met:

(1) All costs to be paid with ICDBG funds have been incurred, with the exception of closeout costs (e.g., audit costs) and costs resulting from contingent liabilities described in the closeout agreement pursuant to paragraph (c) of this section. Contingent liabilities include, but are not limited to, third-party claims against the grantee, as well as related administrative costs.

(2) With respect to activities which are financed by means of escrow accounts, loan guarantees, or similar mechanisms, the work to be assisted with ICDBG funds has actually been completed.

(3) Other responsibilities of the grantee under the grant agreement and applicable laws and regulations appear to have been carried out satisfactorily or there is no further Federal interest in keeping the grant agreement open for the purpose of securing performance.

(b) *Closeout actions.* (1) Within 90 days of the date it is determined that the criteria for closeout have been met, the grantee shall submit to the Area ONAP a copy of the final status and evaluation report described in §1003.506(a) and a completed Financial Status Report (SF-269). If acceptable reports are not submitted, an audit of the grantee's program activities may be conducted by HUD.

(2) Based on the information provided in the status report and other relevant information, the grantee, in consultation with the Area ONAP, will prepare a closeout agreement in accordance with paragraph (c) of this section.

(3) The Area ONAP will cancel any unused portion of the awarded grant, as shown in the signed grant closeout agreement. Any unused grant funds disbursed from the U.S. Treasury which are in the possession of the grantee shall be refunded to HUD.

(4) Any costs paid with ICDBG funds which were not audited previously shall be subject to coverage in the grantee's next single audit performed in accordance with 24 CFR part 44. The grantee may be required to repay HUD any disallowed costs based on the results of the audit, or on additional HUD reviews provided for in the closeout agreement.

(c) *Closeout agreement.* Any obligations remaining as of the date of the closeout shall be covered by the terms of a closeout agreement. The agreement shall be prepared by the grantee in consultation with the Area ONAP. The agreement shall identify the grant being closed out, and include provisions with respect to the following:

(1) Identification of any closeout costs or contingent liabilities subject to payment with ICDBG funds after the closeout agreement is signed;

(2) Identification of any unused grant funds to be canceled by HUD;

(3) Identification of any program income on deposit in financial institutions at the time the closeout agreement is signed;

(4) Description of the grantee's responsibility after closeout for:

(i) Compliance with all program requirements, certifications and assurances in using program income on deposit at the time the closeout agreement is signed and in using any other remaining ICDBG funds available for closeout costs and contingent liabilities;

(ii) Use of real property assisted with ICDBG funds in accordance with the principles described in §1003.504; and

(iii) Ensuring that flood insurance coverage for affected property owners is maintained for the mandatory period;

(5) Other provisions appropriate to any special circumstances of the grant closeout, in modification of or in addition to the obligations in paragraphs (c) (1) through (4) of this section. The agreement shall authorize monitoring by HUD, and shall provide that findings of noncompliance may be taken into account by HUD as unsatisfactory performance of the grantee in the consideration of any future grant award under this part.

(d) *Termination of grant for convenience.* Grant assistance provided under this part may be terminated for convenience in whole or in part before the completion of the assisted activities, in accordance with the provisions of 24 CFR 85.44. The grantee shall not incur new obligations for the terminated portions after the effective date, and shall cancel as many outstanding obligations as possible. HUD shall allow full credit to the grantee for those portions of obligations which could not be canceled and which had been properly incurred by the grantee in carrying out the activities before the termination. The closeout policies contained in this section shall apply in such cases, except where the approved grant is terminated in its entirety. Responsibility for the environmental review to be performed under 24 CFR part 50 or 24 CFR part 58, as applicable, shall be determined as part of the closeout process.

(e) *Termination for cause.* In cases in which HUD terminates the grantee's grant under the authority of subpart H of this part, or under the terms of the grant agreement, the closeout policies contained in this section shall apply, except where the approved grant is canceled in its entirety. The provisions in 24 CFR 85.43(c) on the effects of termination shall also apply. HUD shall determine whether an environmental review is required, and if so, HUD shall perform it in accordance with 24 CFR part 50.

#### **§ 1003.509 Force account construction.**

(a) The use of tribal work forces for construction or renovation activities performed as part of the activities funded under this part shall be approved by the Area ONAP before the start of project implementation. In reviewing requests for an approval of force account construction or renovation, the area ONAP may require that the grantee provide the following:

(1) Documentation to indicate that it has carried out or can carry out successfully a project of the size and scope of the proposal;

(2) Documentation to indicate that it has obtained or can obtain adequate supervision for the workers to be used;

(3) Information showing that the workers to be used are, or will be, listed on the tribal payroll and are employed directly by a unit, department or other governmental instrumentality of the tribe or village.

(b) Any and all excess funds derived from the force account construction or renovation activities shall accrue to the grantee and shall be reprogrammed for other activities eligible under this part in accordance with §1003.305 or returned to HUD promptly.

(c) Insurance coverage for force account workers and activities shall, where applicable, include worker's compensation, public liability, property damage, builder's risk, and vehicular liability.

(d) The grantee shall specify and apply reasonable labor performance, construction, or renovation standards to work performed under the force account.



(e) The contracting and procurement standards set forth in 24 CFR 85.36 apply to material, equipment, and supply procurement from outside vendors under this section.

(Approved by the Office of Management and Budget under control number 2577–0191)

**§ 1003.510 Indian preference requirements.**

(a) *Applicability.* HUD has determined that grants under this part are subject to Section 7(b) of the Indian Self-Determination and Education Assistance Act (25 U.S.C. 450b). Section 7(b) provides that any contract, subcontract, grant or subgrant pursuant to an act authorizing grants to Indian organizations or for the benefit of Indians shall require that, to the greatest extent feasible:

(1) Preference and opportunities for training and employment shall be given to Indians; and

(2) Preference in the award of contracts and subcontracts shall be given to Indian organizations and Indian-owned economic enterprises as defined in section 3 of the Indian Financing Act of 1974 (25 U.S.C. 1452).

(b) *Definitions.* (1) The Indian Self-Determination and Education Assistance Act [25 U.S.C. 450b] defines “Indian” to mean a person who is a member of an Indian tribe and defines “Indian tribe” to mean any Indian tribe, band, nation, or other organized group or community including any Alaska native village or regional or village corporation as defined or established pursuant to the Alaska Native Claims Settlement Act, which is recognized as eligible for the special programs and services provided by the United States to Indians because of their status as Indians.

(2) In section 3 of the Indian Financing Act of 1974 (25 U.S.C. 1452) *economic enterprise* is defined as any Indian—owned commercial, industrial, or business activity established or organized for the purpose of profit, except that Indian ownership must constitute not less than 51 percent of the enterprise. This act defines *Indian organization* to mean the governing body of any Indian tribe or entity established or recognized by such governing body.

(c) *Preference in administration of grant.* To the greatest extent feasible, preference and opportunities for training and employment in connection with the administration of grants awarded under this part shall be given to Indians.

(d) *Preference in contracting.* To the greatest extent feasible, grantees shall give preference in the award of contracts for projects funded under this part to Indian organizations and Indian-owned economic enterprises.

(1) Each grantee shall:

(i) Advertise for bids or proposals limited to qualified Indian organizations and Indian-owned enterprises; or

(ii) Use a two-stage preference procedure, as follows:

(A) *Stage 1.* Invite or otherwise solicit Indian-owned economic enterprises to submit a statement of intent to respond to a bid announcement or request for proposals limited to Indian-owned firms.

(B) *Stage 2.* If responses are received from more than one Indian enterprise found to be qualified, advertise for bids or proposals limited to Indian organizations and Indian-owned economic enterprises; or

(iii) Develop, subject to Area ONAP one-time approval, the grantee's own method of providing preference.

(2) If the grantee selects a method of providing preference that results in fewer than two responsible qualified organizations or enterprises submitting a statement of intent, a bid or a proposal to perform the contract at a reasonable cost, then the grantee shall:

(i) Re-advertise the contract, using any of the methods described in paragraph (d)(1) of this section; or

(ii) Re-advertise the contract without limiting the advertisement for bids or proposals to Indian organizations and Indian-owned economic enterprises; or

(iii) If one approvable bid or proposal is received, request Area ONAP review and approval of the proposed contract and related procurement documents, in accordance with 24 CFR 85.36, in order to award the contract to the single bidder or offeror.

(3) Procurements that are within the dollar limitations established for small purchases under 24 CFR 85.36 need not follow the formal bid or proposal procedures of paragraph (d) of this section, since these procurements are governed by the small purchase procedures of 24 CFR 85.36. However, a grantee's small purchase procurement shall, to the greatest extent feasible, provide Indian preference in the award of contracts.

(4) All preferences shall be publicly announced in the advertisement and bidding or proposal solicitation documents and the bidding and proposal documents.

(5) A grantee, at its discretion, may require information of prospective contractors seeking to qualify as Indian organizations or Indian-owned economic enterprises. Grantees may require prospective contractors to include the following information prior to submitting a bid or proposal, or at the time of submission:

(i) Evidence showing fully the extent of Indian ownership and interest;

(ii) Evidence of structure, management and financing affecting the Indian character of the enterprise, including major subcontracts and purchase agreements; materials or equipment supply arrangements; and management salary or profit-sharing arrangements; and evidence showing the effect of these on the extent of Indian ownership and interest; and

(iii) Evidence sufficient to demonstrate to the satisfaction of the grantee that the prospective contractor has the technical, administrative, and financial capability to perform contract work of the size and type involved.

(6) The grantee shall incorporate the following clause (referred to as the Section 7(b) clause) in each contract awarded in connection with a project funded under this part:

(i) The work to be performed under this contract is on a project subject to Section 7(b) of the Indian Self-Determination and Education Assistance Act (25 U.S.C. 450b) (Indian Act). Section 7(b) requires that to the greatest extent feasible:

(A) Preferences and opportunities for training and employment shall be given to Indians; and

(B) Preferences in the award of contracts and subcontracts shall be given to Indian organizations and Indian-owned economic enterprises.

(ii) The parties to this contract shall comply with the provisions of Section 7(b) of the Indian Act.

(iii) In connection with this contract, the contractor shall, to the greatest extent feasible, give preference in the award of any subcontracts to Indian organizations and Indian-owned economic enterprises, and preferences and opportunities for training and employment to Indians.

(iv) The contractor shall include this Section 7(b) clause in every subcontract in connection with the project, and shall, at the direction of the grantee, take appropriate action pursuant to the subcontract upon a finding by the grantee or HUD that the subcontractor has violated the Section 7(b) clause of the Indian Act.

(e) *Complaint procedures.* The following complaint procedures are applicable to complaints arising out of any of the methods of providing for Indian preference contained in this part, including alternate methods enacted and approved in a manner described in this section:

(1) Each complaint shall be in writing, signed, and filed with the grantee.

(2) A complaint must be filed with the grantee no later than 20 calendar days from the date of the action (or omission) upon which the complaint is based.

(3) Upon receipt of a complaint, the grantee shall promptly stamp the date and time of receipt upon the complaint, and immediately acknowledge its receipt.

(4) Within 20 calendar days of receipt of a complaint, the grantee shall either meet, or communicate by mail or telephone, with the complainant in an effort to resolve the matter. The grantee shall make a determination on a complaint and notify the complainant, in writing, within 30 calendar days of the submittal of the complaint to the grantee. The decision of the grantee shall constitute final administrative action on the complaint.

(Approved by the Office of Management and Budget under control number 2577-0191)

**§ 1003.511 Use of escrow accounts for rehabilitation of privately owned residential property.**

(a) *Limitations.* A grantee may withdraw funds from its line of credit for immediate deposit into an escrow account for use in funding loans and grants for the rehabilitation of privately owned

residential property under §1003.202(a)(1). The following additional limitations apply to the use of escrow accounts for residential rehabilitation loans and grants closed after September 7, 1990:

(1) The use of escrow accounts under this section is limited to loans and grants for the rehabilitation of primarily residential properties containing no more than four dwelling units (and accessory neighborhood-scale non-residential space within the same structure, if any, e.g., a store front below a dwelling unit).

(2) An escrow account shall not be used unless the contract between the property owner and the contractor selected to do the rehabilitation work specifically provides that payment to the contractor shall be made through an escrow account maintained by the grantee, by a subrecipient as defined in §1003.4, by a public agency designated under §1003.500(a), or by an agent under a procurement contract governed by the requirements of 24 CFR 85.36. No deposit to the escrow account shall be made until after the contract has been executed between the property owner and the rehabilitation contractor.

(3) All funds withdrawn under this section shall be deposited into one interest earning account with a financial institution. Separate bank accounts shall not be established for individual loans and grants.

(4) The amount of funds deposited into an escrow account shall be limited to the amount expected to be disbursed within 10 working days from the date of deposit. If the escrow account, for whatever reason, at any time contains funds exceeding 10 days cash needs, the grantee immediately shall transfer the excess funds to its program account. In the program account, the excess funds shall be treated as funds erroneously drawn in accordance with the requirements of U.S. Treasury Financial Manual, paragraph 6–2075.30.

(5) Funds deposited into an escrow account shall be used only to pay the actual costs of rehabilitation incurred by the owner under the contract with a private contractor. Other eligible costs related to the rehabilitation loan or grant, e.g., the grantee's administrative costs under §1003.206 or rehabilitation services costs under §1003.202(b)(9), are not permissible uses of escrowed funds. Such other eligible rehabilitation costs shall be paid under normal ICDBG payment procedures (e.g., from withdrawals of grant funds under the grantee's line of credit with the Treasury).

(b) *Interest.* Interest earned on escrow accounts established in accordance with this section, less any service charges for the account, shall be remitted to HUD at least quarterly but not more frequently than monthly. Interest earned on escrow accounts is not required to be remitted to HUD to the extent the interest is attributable to the investment of program income.

(c) *Remedies for noncompliance.* If HUD determines that a grantee has failed to use an escrow account in accordance with this section, HUD may, in addition to imposing any other sanctions provided for under this part, require the grantee to discontinue the use of escrow accounts, in whole or in part.

## **Subpart G—Other Program Requirements**

### **§ 1003.600 Faith-based activities.**

(a) Religious organizations are eligible, on the same basis as any other eligible organization, to participate in the ICDBG program. Neither the federal government nor a tribal government nor any other entity that administers any program or activity under this part shall discriminate against an organization on the basis of the organization's religious character or affiliation.

(b) Organizations that receive direct HUD funds under the ICDBG program may not engage in inherently religious activities, such as worship, religious instruction, or proselytization, as part of the programs or services funded under this part. If an organization conducts such inherently religious activities, the inherently religious activities must be offered separately, in time or location, from the programs, activities or services supported by direct HUD funds under this part, and participation must be voluntary for the beneficiaries of the programs, activities, or services provided.

(c) A religious organization that participates in the ICDBG program will retain its independence from federal, state, local, and tribal governments, and may continue to carry out its mission, including the definition, practice, and expression of its religious beliefs, provided that it does not engage in any inherently religious activities, such as worship, religious instruction, or proselytization, as part of the programs or services funded under a program or activity pursuant to this part. Among other things, religious organizations may use space in their facilities to provide ICDBG-funded services, without removing religious art, icons, scriptures, or other religious symbols. In addition, a religious organization participating in the ICDBG program retains its authority over its internal governance, and it may retain religious terms in its organization's name, select its board members on a religious basis, and include religious references in its organization's mission statements and other governing documents.

(d) A religious organization's exemption from the federal prohibition on employment discrimination on the basis of religion, set forth in section 702(a) of the Civil Rights Act of 1964 (42 U.S.C. 2000e-1), is not forfeited when the organization participates in a HUD program. Some HUD programs, however, contain independent statutory provisions that impose certain nondiscrimination requirements on all grantees. Accordingly, grantees should consult with the appropriate HUD program office to determine the scope of applicable requirements.

(e) An organization that receives direct funds under the ICDBG program shall not, in providing program assistance, discriminate against a program beneficiary or prospective program beneficiary on the basis of religion or religious belief.

(f) ICDBG funds may not be used for the acquisition, construction, or rehabilitation of structures to the extent that those structures are used for inherently religious activities. ICDBG funds may be used for the acquisition, construction, or rehabilitation of structures only to the extent that those structures are used for conducting eligible activities under this part. Where a structure is used for both eligible and inherently religious activities, ICDBG funds may not exceed the cost of those portions of the acquisition, construction, or rehabilitation that are attributable to eligible activities in accordance with the cost accounting requirements applicable to ICDBG funds in this part. Sanctuaries, chapels, or other rooms that an ICDBG-funded religious congregation uses as its principal place of worship, however, are ineligible for ICDBG-funded improvements. Disposition of real property after the term of the grant, or any change in use of the property during the term of the grant, is subject to government-wide regulations governing real property disposition ( see 24 CFR parts 84 and 85).

(g) If a tribal government voluntarily contributes its own funds to supplement federally funded activities, the tribal government has the option to segregate the federal funds or commingle them. However, if the funds are commingled, this section applies to all of the commingled funds. Further, if a state or local government is required to contribute matching funds to supplement a federally funded activity, the matching funds are considered commingled with the federal assistance and therefore subject to the requirements of this section. Some HUD programs requirements govern any project or activity assisted under those programs. Accordingly, grantees should consult with the appropriate HUD program office to determine the scope of applicable requirements.

[69 FR 62169, Oct. 22, 2004]

#### **§ 1003.601 Nondiscrimination.**

(a) Under the authority of section 107(e)(2) of the Act, the Secretary waives the requirement that grantees comply with section 109 of the Act except with respect to the prohibition of discrimination based on age, sex, religion, or against an otherwise qualified disabled individual.

(b) A grantee shall comply with the provisions of title II of Pub. L. 90–284 (24 U.S.C. 1301—the Indian Civil Rights Act) in the administration of a program or activity funded in whole or in part with funds made available under this part. For purposes of this section, “program or activity” is defined as any function conducted by an identifiable administrative unit of the grantee; and “funded in whole or in part with funds made available under this part” means that ICDBG funds in any amount have been transferred by the grantee to an identifiable administrative unit and disbursed in a program or activity.

#### **§ 1003.602 Relocation and real property acquisition.**

(a) *Minimize displacement.* Consistent with the other goals and objectives of this part, grantees shall assure that they have taken all reasonable steps to minimize the displacement of persons (households, businesses, nonprofit organizations, and farms) as a result of a project assisted under this part.

(b) *Temporary relocation.* The following policies cover residential tenants who will not be required to move permanently but who must relocate temporarily for the project. Such tenants must be provided:

(1) Reimbursement for all reasonable out-of-pocket expenses incurred in connection with the temporary relocation, including the cost of moving to and from the temporarily occupied housing and any increase in monthly housing costs (e.g., rent/utility costs).

(2) Appropriate advisory services, including reasonable advance written notice of:

(i) The date and approximate duration of the temporary relocation;

(ii) The location of the suitable, decent, safe and sanitary dwelling to be made available for the temporary period;

(iii) The terms and conditions under which the tenant may occupy a suitable, decent, safe, and sanitary dwelling in the building/complex following completion of the repairs; and

(iv) The provisions of paragraph (b)(1) of this section.

(c) *Relocation assistance for displaced persons.* A displaced person (defined in paragraph (g) of this section) must be provided relocation assistance at the levels described in, and in accordance with the requirements of, the Uniform Relocation Assistance and Real Property Acquisition Policies Act of 1970, as amended (URA)(42 U.S.C. 4601–4655) and implementing regulations at 49 CFR part 24.

(d) *Optional relocation assistance.* Under section 105(a)(11) of the Act, the grantee may provide relocation payments and other relocation assistance to persons displaced by a project that is not subject to paragraph (c) of this section. The grantee may also provide relocation assistance to persons receiving assistance under paragraph (c) of this section at levels in excess of those required. For assistance that is not required by State or tribal law, the grantee shall adopt a written policy available to the public that describes the relocation assistance that it has elected to furnish and provides for equal relocation assistance within each class of displaced persons.

(e) *Real Property acquisition requirements.* The acquisition of real property for an assisted activity is subject to 49 CFR part 24, subpart B. Whenever the grantee does not have the authority to acquire the real property through condemnation, it shall:

(1) Before discussing the purchase price, inform the owner:

(i) Of the amount it believes to be the fair market value of the property. Such amount shall be based upon one or more appraisals prepared by a qualified appraiser. However, this provision does not prevent the grantee from accepting a donation or purchasing the real property at less than its fair market value.

(ii) That it will be unable to acquire the property if negotiations fail to result in an amicable agreement.

(2) Request HUD approval of the proposed acquisition price before executing a firm commitment to purchase the property. The grantee shall include with its request a copy of the appraisal(s) and, when applicable, a justification for any proposed acquisition payment that exceeds the fair market value of the property. HUD will promptly review the proposal and inform the grantee of its approval or disapproval.

(f) *Appeals.* A person who disagrees with the grantee's determination concerning whether the person qualifies as a "displaced person," or the amount of relocation assistance for which the person is eligible, may file a written appeal of that determination with the grantee. A person who is dissatisfied with the grantee's determination on his or her appeal may submit a written request for review of that determination to the HUD Area ONAP.

(g) *Responsibility of grantee.* (1) The grantee shall certify that it will comply with the URA, the regulations at 49 CFR part 24, and the requirements of this section, *i.e.*, provide assurance of compliance as required by 49 CFR part 24. The grantee shall ensure such compliance notwithstanding any third party's contractual obligation to the grantee to comply with these provisions.

(2) The cost of required relocation assistance is an eligible project cost in the same manner and to the same extent as other project costs. However, such assistance may also be paid for with funds available to the grantee from any other source.

(3) The grantee shall maintain records in sufficient detail to demonstrate compliance with this section.

(h) *Definition of displaced person.* (1) For purposes of this section, the term *displaced person* means any person (household, business, nonprofit organization, or farm) that moves from real property, or moves his or her personal property from real property, permanently, as a direct result of rehabilitation, demolition, or acquisition for a project assisted under this part. The term “displaced person” includes, but is not limited to:

(i) A tenant-occupant of a dwelling unit who moves from the building/complex permanently after the submission to HUD of an application for financial assistance that is later approved.

(ii) Any person, including a person who moves before the date described in paragraph (h)(1)(i) of this section, that either HUD or the grantee determines was displaced as a direct result of acquisition, rehabilitation, or demolition for the assisted project.

(iii) A tenant-occupant of a dwelling who moves from the building/complex permanently, after the execution of the agreement between the grantee and HUD, if the move occurs before the tenant is provided written notice offering him or her the opportunity to lease and occupy a suitable, decent, safe and sanitary dwelling in the same building/complex, under reasonable terms and conditions, upon completion of the project. Such reasonable terms and conditions include a monthly rent and estimated average monthly utility costs that do not exceed the greater of:

(A) The tenant's monthly rent and estimated average monthly utility costs before the agreement; or

(B) 30 percent of gross household income.

(iv) A tenant-occupant of a dwelling who is required to relocate temporarily, but does not return to the building/complex, if either:

(A) The tenant is not offered payment for all reasonable out-of-pocket expenses incurred in connection with the temporary relocation, including the cost of moving to and from the temporarily occupied unit, any increased housing costs and incidental expenses; or

(B) Other conditions of the temporary relocation are not reasonable.

(v) A tenant-occupant of a dwelling who moves from the building/complex after he or she has been required to move to another dwelling unit in the same building/complex in order to carry out the project, if either:

(A) The tenant is not offered reimbursement for all reasonable out-of-pocket expenses incurred in connection with the move; or



(B) Other conditions of the move are not reasonable.

(2) Notwithstanding the provisions of paragraph (h)(1) of this section, a person does not qualify as a “displaced person” (and is not eligible for relocation assistance under the URA or this section), if:

(i) The person moved into the property after the submission of the application for financial assistance to HUD, but, before signing a lease or commencing occupancy, was provided written notice of the project, its possible impact on the person (e.g., the person may be displaced, temporarily relocated or suffer a rent increase) and the fact that the person would not qualify as a “displaced person” or for any assistance provided under this section as a result of the project;

(ii) The person is ineligible under 49 CFR 24.2(g)(2).

(iii) The grantee determines the person is not displaced as a direct result of acquisition, rehabilitation, or demolition for an assisted project. To exclude a person on this basis, HUD must concur in that determination.

(3) A grantee may at any time ask HUD to determine whether a specific displacement is or would be covered under this section.

(i) *Definition of initiation of negotiations.* For purposes of determining the formula for computing the replacement housing assistance to be provided to a person displaced as a direct result of rehabilitation or demolition of the real property, the term “initiation of negotiations” means the execution of the agreement covering the rehabilitation or demolition.

(Approved by the Office of Management and Budget under control number 2577–0191)

### **§ 1003.603 Labor standards.**

In accordance with the authority under section 107(e)(2) of the Act, the Secretary waives the provisions of section 110 of the Act (Labor Standards) with respect to this part, including the requirement that laborers and mechanics employed by the contractor or subcontractor in the performance of construction work financed in whole or in part with assistance received under this part be paid wages at rates not less than those prevailing on similar construction in the locality, as determined by the Secretary of Labor in accordance with the Davis-Bacon Act (40 U.S.C. 276 a to a–7).

### **§ 1003.604 Citizen participation.**

(a) In order to permit residents of Indian tribes and Alaska native villages to examine and appraise the applicant's application for funds under this part, the applicant shall follow traditional means of resident involvement which, at the least, include the following:

(1) Furnishing residents with information concerning the amounts of funds available for proposed community development and housing activities and the range of activities that may be undertaken.

(2) Holding one or more meetings to obtain the views of residents on community development and housing needs. Meetings shall be scheduled in ways and at times that will allow participation by residents.

(3) Developing and publishing or posting a community development statement in such a manner as to afford affected residents an opportunity to examine its contents and to submit comments.

(4) Affording residents an opportunity to review and comment on the applicant's performance under any active community development block grant.

(b) Prior to submission of the application to HUD, the applicant shall certify by an official Tribal resolution that it has met the requirements of paragraph (a) of this section; and

(1) Considered any comments and views expressed by residents and, if it deems it appropriate, modified the application accordingly; and

(2) Made the modified application available to residents.

(c) No part of the requirement under paragraph (a) of this section shall be construed to restrict the responsibility and authority of the applicant for the development of the application and the execution of the grant. Accordingly, the citizen participation requirements of this section do not include concurrence by any person or group in making final determinations on the contents of the application.

(Approved by the Office of Management and Budget under control number 2577-0191)

#### **§ 1003.605 Environment.**

(a) In order to assure that the policies of the National Environmental Policy Act of 1969 and other provisions of Federal law which further the purposes of that act (as specified in 24 CFR 58.5) are most effectively implemented in connection with the expenditure of ICDBG funds, the grantee shall comply with the Environment Review Procedures for Entities Assuming HUD Environmental Responsibilities (24 CFR part 58). Upon completion of an environmental review, the grantee shall submit a certification and request for release of funds for particular projects in accordance with 24 CFR part 58. The grantee shall also be responsible for compliance with flood insurance, coastal barrier resource and airport clear zone requirements under 24 CFR 58.6.

(b) In accordance with 24 CFR 58.34(a)(8), grants for imminent threats to health or safety approved under the provisions of subpart E of this part are exempt from some or all of the environmental review requirements of 24 CFR part 58, to the extent provided in that section.

#### **§ 1003.606 Conflict of interest.**

(a) *Applicability.* (1) In the procurement of supplies, equipment, construction, and services by grantees and subgrantees, the conflict of interest provisions in 24 CFR 85.36 and 24 CFR 84.42 shall apply.

(2) In all cases not governed by 24 CFR 85.36 and 24 CFR 84.42, the provisions of this section shall apply. Such cases include the provision of assistance by the grantee or by its subrecipients to businesses, individuals, and other private entities under eligible activities that authorize such assistance (e.g., rehabilitation, preservation, and other improvements of private properties or facilities under §1003.202; or grants, loans, and other assistance to businesses, individuals, and other private entities under §1003.203 or §1003.204.).

(b) *Conflicts prohibited.* Except for the use of ICDBG funds to pay salaries and other related administrative or personnel costs, the general rule is that no persons described in paragraph (c) of this section who exercise or have exercised any functions or responsibilities with respect to ICDBG activities assisted under this part or who are in a position to participate in a decision-making process or gain inside information with regard to such activities, may obtain a personal or financial interest or benefit from an ICDBG assisted activity, or have an interest in any contract, subcontract or agreement with respect thereto, or the proceeds thereunder, either for themselves or those with whom they have family or business ties, during their tenure or for one year thereafter.

(c) *Persons covered.* The conflict of interest provisions of paragraph (b) of this section apply to any person who is an employee, agent, consultant, officer, or elected or appointed official of the grantee, or of any designated public agencies, or CBDOs under §1003.204, receiving funds under this part.

(d) *Exceptions requiring HUD approval.* —(1) *Threshold requirements.* Upon the written request of a grantee, HUD may grant an exception to the provisions of paragraph (b) of this section on a case-by-case basis, when it determines that such an exception will serve to further the purposes of the Act and the effective and efficient administration of the grantee's program or project. An exception may be considered only after the grantee has provided the following:

(i) A disclosure of the nature of the possible conflict, accompanied by an assurance that there has been public disclosure of the conflict and a description of how the public disclosure was made; and

(ii) An opinion of the grantee's attorney that the interest for which the exception is sought would not violate Tribal laws on conflict of interest, or applicable State laws.

(2) *Factors to be considered for exceptions:* In determining whether to grant a requested exception after the grantee has satisfactorily met the requirements of paragraph (d)(1) of this section, HUD shall consider the cumulative effect of the following factors, where applicable:

(i) Whether the exception would provide a significant cost benefit or essential expert knowledge to the program or project which would otherwise not be available;

(ii) Whether an opportunity was provided for open competitive bidding or negotiation;

(iii) Whether the affected person has withdrawn from his or her functions or responsibilities, or from the decision-making process, with reference to the specific assisted activity in question;

(iv) Whether the interest or benefit was present before the affected person was in a position as described in paragraph (b) of this section;

(v) Whether undue hardship will result, either to the grantee or to the person affected, when weighed against the public interest served by avoiding the prohibited conflict;

(vi) Any other relevant considerations.

(e) *Circumstances under which the conflict prohibition does not apply.* (1) In instances where a person who might otherwise be deemed to be included under the conflict prohibition is a member of a group or class of beneficiaries of the assisted activity and receives generally the same interest or benefits as are being made available or provided to the group or class, the prohibition does not apply, except that if, by not applying the prohibition against conflict of interest, a violation of Tribal or State laws on conflict of interest would result, the prohibition does apply. However, if the assistance to be provided is housing rehabilitation (or repair) or new housing, a public disclosure of the nature of the assistance to be provided and the specific basis for the selection of the proposed beneficiaries must be made prior to the submission of an application to HUD. Evidence of this disclosure must be provided as a component of the application.

(f) *Record retention.* All records pertaining to the grantee's decision under this section shall be maintained for HUD review upon request.

(Approved by the Office of Management and Budget under control number 2577-0191)

#### **§ 1003.607 Lead-based paint.**

The requirements of the Lead-Based Paint Poisoning Prevention Act (42 U.S.C. 4821-4846), the Residential Lead-Based Paint Hazard Reduction Act of 1992 (42 U.S.C. 4851-4856), and implementing regulations part 35, subparts A, B, J, K, and R of this title apply to activities conducted under this program.

[64 FR 50230, Sept. 15, 1999]

#### **§ 1003.608 Debarment and suspension.**

The requirements in 2 CFR part 2424 are applicable. ICDBG funds cannot be provided to excluded or disqualified persons.

[72 FR 73497, Dec. 27, 2007]

### **Subpart H—Program Performance**

#### **§ 1003.700 Review of grantee's performance.**

(a) *Objective.* HUD will review each grantee's performance to determine whether the grantee has:

(1) Complied with the requirements of the Act, this part, the grant agreement and other applicable laws and regulations;

(2) Carried out its activities substantially as described in its application;

- (3) Made substantial progress in carrying out its approved program;
  - (4) A continuing capacity to carry out the approved activities in a timely manner; and
  - (5) The capacity to undertake additional activities funded under this part.
- (b) *Basis for review.* In reviewing each grantee's performance, HUD will consider all available evidence which may include, but not be limited to, the following:

- (1) The approved application and any amendments thereto;
- (2) Reports prepared by the grantee;
- (3) Records maintained by the grantee;
- (4) Results of HUD's monitoring of the grantee's performance, including field evaluation of the quality of the work performed;
- (5) Audit reports;
- (6) Records of drawdowns on the line of credit;
- (7) Records of comments and complaints by citizens and organizations; and
- (8) Litigation.

**§ 1003.701 Corrective and remedial action.**

(a) *General.* One or more corrective or remedial actions will be taken by HUD when, on the basis of the performance review, HUD determines that the grantee has not:

- (1) Complied with the requirements of the Act, this part, and other applicable laws and regulations, including the environmental responsibilities assumed under section 104(g) of title I of the Act;
- (2) Carried out its activities substantially as described in its applications;
- (3) Made substantial progress in carrying out its approved program; or
- (4) Shown the continuing capacity to carry out its approved activities in a timely manner.

(b) *Action.* The action taken by HUD will be designed, first, to prevent the continuance of the deficiency; second, to mitigate any adverse effects or consequences of the deficiency; and third, to prevent a recurrence of the same or similar deficiencies. The following actions may be taken singly or in combination, as appropriate for the circumstances:

- (1) Request the grantee to submit progress schedules for completing approved activities or for complying with the requirements of this part;

(2) Issue a letter of warning advising the grantee of the deficiency (including environmental review deficiencies and housing assistance deficiencies), describing the corrective actions to be taken, establishing a date for corrective actions, and putting the grantee on notice that more serious actions will be taken if the deficiency is not corrected or is repeated;

(3) Advise the grantee to suspend, discontinue, or not incur costs for the affected activity;

(4) Advise the grantee to reprogram funds from affected activities to other eligible activities, provided that such action shall not be taken in connection with any substantial violation of part 58 and provided that such reprogramming is subjected to the environmental review procedures of part 58 of this title;

(5) Advise the grantee to reimburse the grantee's program account or line of credit in any amount improperly expended;

(6) Change the method of payment from a line of credit basis to a reimbursement basis; and/or

(7) Suspend the line of credit until corrective actions are taken.

#### **§ 1003.702 Reduction or withdrawal of grant.**

(a) *General.* A reduction or withdrawal of a grant under paragraph (b) of this section will not be made until at least one of the corrective or remedial actions specified in §1003.701(b) has been taken and only then if the grantee has not made an appropriate and timely response. Before making such a grant reduction or withdrawal, the grantee also shall be notified and given an opportunity within a prescribed time for an informal consultation regarding the proposed action.

(b) *Reduction or withdrawal.* When the Area ONAP determines, on the basis of a review of the grantee's performance, that the objectives set forth in §1003.700(a)(2) or (3) have not been met, the Area ONAP may reduce or withdraw the grant, except that funds already expended on eligible approved activities shall not be recaptured.

#### **§ 1003.703 Other remedies for noncompliance.**

(a) *Secretarial actions.* If the Secretary finds a grantee has failed to comply with any provision of this part even after corrective actions authorized under §1003.701 have been applied, the following actions may be taken provided that reasonable notice and opportunity for hearing is made to the grantee. (The Administrative Procedure Act (5 U.S.C. 551 et seq.), where applicable, shall be a guide in any situation involving adjudications where the Secretary desires to take actions requiring reasonable notice and opportunity for a hearing):

(1) Terminate the grant to the grantee;

(2) Reduce the grant to the grantee by an amount equal to the amount which was not expended in accordance with this part; or

(3) Limit the availability of funds to projects or activities not affected by such failure to comply; provided, however, that the Secretary may on due notice revoke the grantee's line of credit in

whole or in part at any time if the Secretary determines that such action is necessary to preclude the further expenditure of funds for activities affected by such failure to comply.

(b) *Secretarial referral to the Attorney General.* If there is reason to believe that a grantee has failed to comply substantially with any provision of the Act, the Secretary may refer the matter to the Attorney General of the United States with a recommendation that an appropriate civil action be instituted. Upon such a referral, the Attorney General may bring a civil action in any United States district court having venue thereof for such relief as may be appropriate, including an action to recover the amount of the assistance furnished under this part which was not expended in accordance with this part or for mandatory or injunctive relief.