



Community Development Block Grant National Disaster Resilience (CDBG- NDR) Competition

Phase 1 Factors

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Agenda

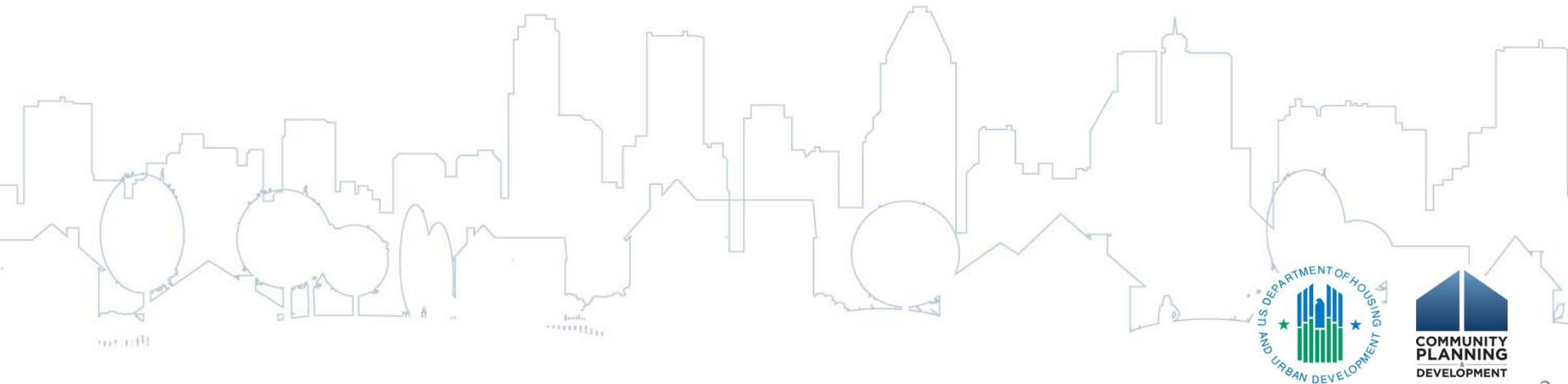
- NDRC background
- Factor 1 - Capacity
- Factor 2 – Need / Extent of the Problem
- Factor 3 – Soundness of Approach
- Factor 4 – Leverage and Outcomes
- Factor 5 – Long-term Commitment
- Phase 1 optional materials



Purpose

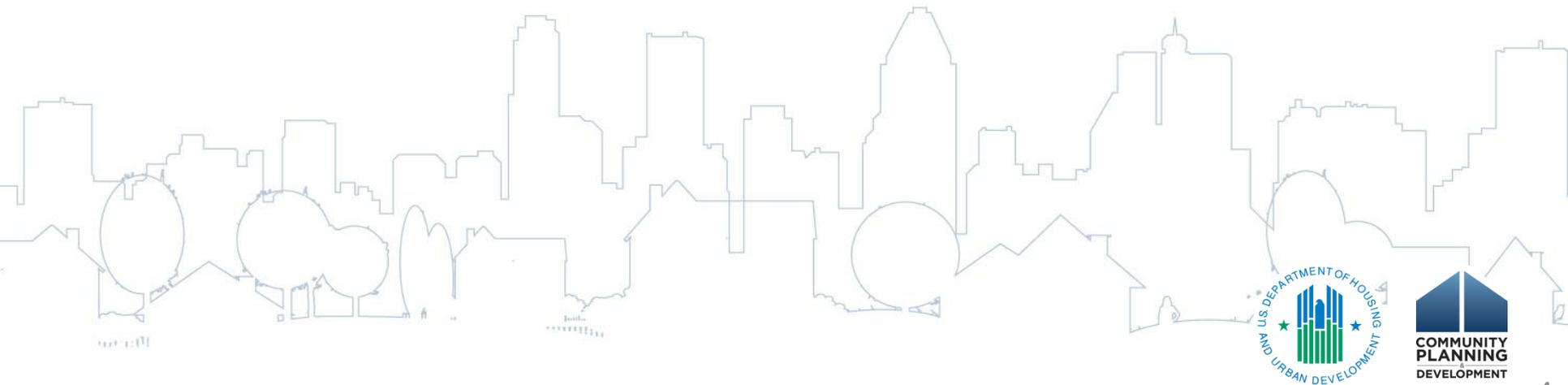
- Summarize NDRC for context
- Establish familiarity with the Phase 1 factors
- Discuss scoring considerations

Note: The NDRC NOFA prevails if anything in this presentation conflicts or appears to conflict with the NOFA.



NDRC Background

- Sandy Appropriation
- CDBG-NDR NOFA
- Eligible Applicants
- Thresholds
 - MID-URN Threshold
- Two Phases



NDRC Background

“Among major disaster recovery programs, CDBG is notable in its statutory focus on determining and meeting the unmet needs of vulnerable lower-income people and communities and targeting the most impacted and distressed areas. CDBG is also singular in its ability to consider a wide range of local community development objectives related to recovery and economic revitalization, including integrally related resilience objectives. HUD intends that the most successful proposals in this competition will . . . envision and implement recovery projects that serve multiple purposes and position recovering communities for a prosperous and more resilient future.”



Phase 1 Summary

PHASE 1	Points	Minimum
Factor 1- Capacity	25	12
Subfactor: General Management	5	
Subfactor: Technical Capacity	7	
Subfactor: Community Engagement	7	
Subfactor: Regional Capacity	6	
Factor 2 – Need / Extent of the Problem	25	15
Subfactor: Unmet needs	5	3
Subfactor: Most Impacted and Distressed	5	3
Subfactor: Response to questions	15	
Factor 3 – Soundness of Approach	30	15
Subfactor: Stakeholder consultation	15	5
Subfactor: Ideas/Concept	15	5
Factor 4 – Leverage and outcomes	15	
Subfactor: Outcomes	7	
Subfactor: Leverage narrative	6	
Subfactor: Leverage commitments	2	
Factor 5- Long-Term Commitment	5	1
Subtotal Phase 1	100	65

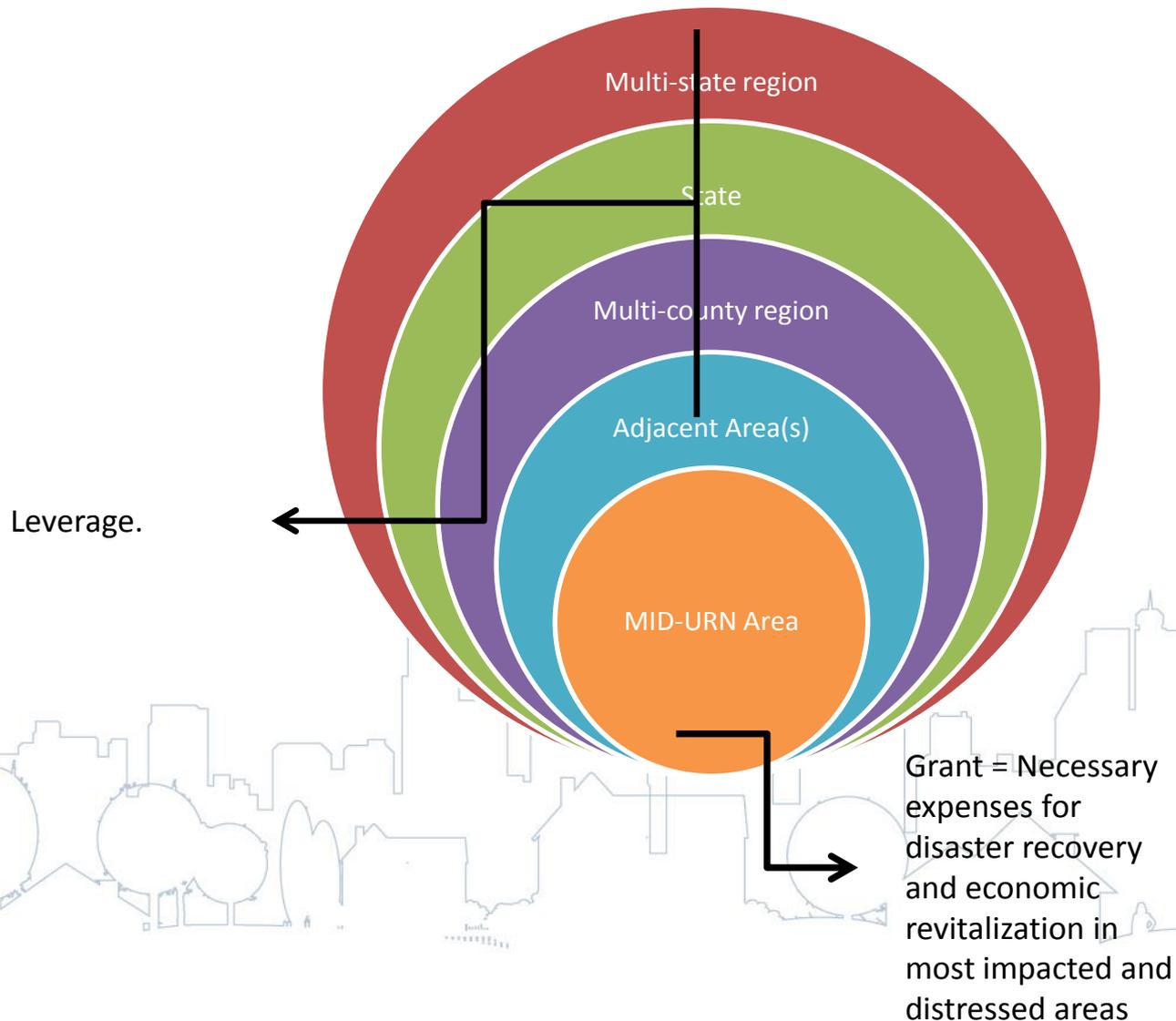


What is Phase 1 for?

- HUD is aware that potential applicants for this competition will be at varying points in resilience-related planning and will respond to the questions accordingly in present, future, or past tense.
- The NOFA characterizes Phase 1 as a “framing phase” and summarizes this way: *“The applicant’s responses in Phase 1 will describe this framing process and its results, identify the partners and other resources, and describe the resulting resilient recovery concept or idea.”*



How does geography affect allowable costs?



Why should you apply?

“Why should you apply for this competition? One of the key lessons of the Rebuild by Design Process is that, when federal, state, local and philanthropic goals align, community capacity and innovation can leapfrog forward. HUD is confident that every state and local government honestly and wholeheartedly participating in the risk and idea framing process in Phase 1 will benefit from the effort and emerge with a better understanding of the risks it faces today and in the future, what resilience issues to consider in making major public investments, and how to enhance resilience to extreme events and climate change.”



Where to get more information

On NDRC:

- [Link to HUD Exchange](#)

On Resilience:

- [Link to HUD Resilience](#)

On Rockefeller Foundation Resilience Work:

- [Link to Rockefeller Foundation National Disaster Resilience Competition](#)

To ask HUD a question about NDRC:

- [Email ResilientRecovery@hud.gov](mailto:ResilientRecovery@hud.gov)



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PHASE 1 FACTOR 1 CAPACITY





Capacity

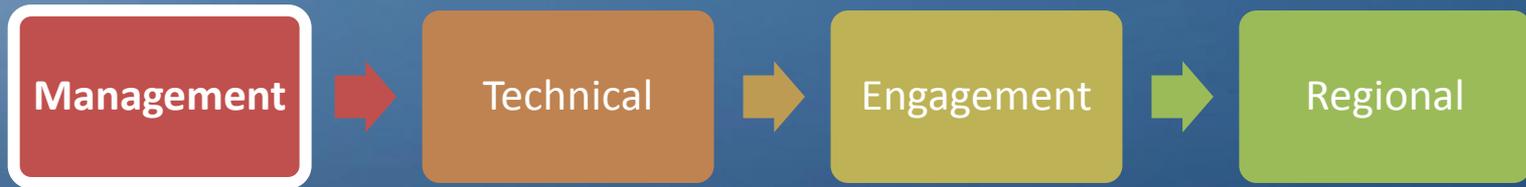
- Four parts
 - General management capacity
 - Cross-disciplinary technical capacity
 - Community engagement capacity
 - Regional capacity
- Applicant plus Partners
 - Capacity of Partners will only be considered if Partner documentation is with application
 - If Applicant becomes a Grantee after Phase 2, Partners may become co-funders, subrecipients, developers, contractors, etc.
 - NOFA provides single source permission, provided cost analysis is done

Building capacity

Capacity Response

- Applicant
- Partners
- Regional Coordination





Management

- You will be rated on the degree to which you demonstrate clear capacity, or a plan to get capacity, in managing federal funds, project management roughly on the scale of your idea or proposal, and leadership capacity to coordinate among proposed partners
- Lead agency role
 - Project management
 - Quality assurance
 - Financial and procurement
 - Internal control
- Experience managing and coordinating partners
- Who wrote the application?



“Inherently governmental responsibilities”

“Under P.L. 113-2, although Partners may assist in carrying out CDBG-NDR projects, the Grantee remains legally and financially accountable for the use of all funds and may not delegate or contract to any other party any inherently governmental responsibilities related to management of the funds, such as oversight, policy development, and financial management.”





Technical.

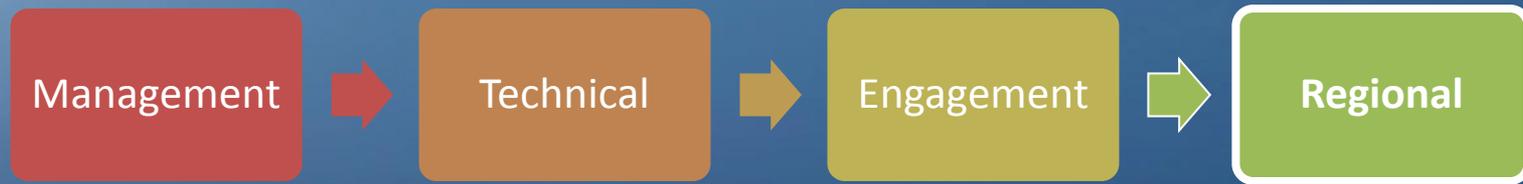
- You will be rated on the degree to which you and any Partners possess sufficient cross-disciplinary capacity to fully design and implement a major project(s) (or a plan to get capacity)
- Capacity and experience of applicant and Partners with cross-disciplinary work
 - Look at list of technical areas in Phase 2 Factor 2
- Note specific question on capacity to assess science-based climate change information to determine current and future risks
- Assess civil rights and fair housing issues
- Determine and ensure design quality to enhance long-term resilience
- Determine cost reasonableness
- If no Partner(s) or lose Partner, how will you (re)acquire capacity?



Community engagement.

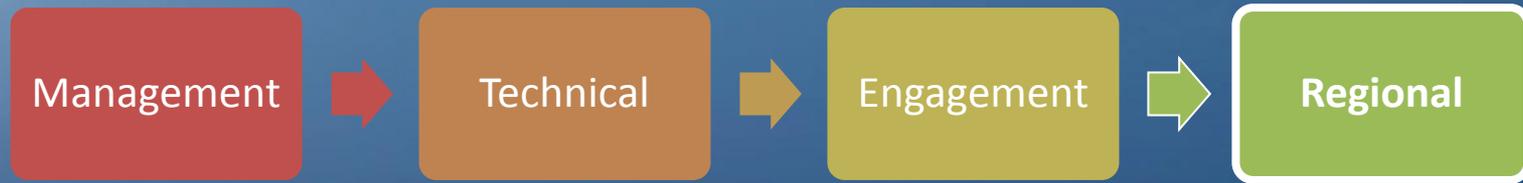
- You will be rated on the extent to which you show capacity and experience with productive engagement with a wide range of community stakeholders, including vulnerable populations.
- Demonstrate capacity in discussing and identifying unmet recovery and resilience needs, and designing and selecting approaches to address the needs.
- Includes outreach and feedback
- Emphasis on vulnerable populations and the businesses that serve them
- Relationships with formal and informal community leaders, especially in recovery from Qualified Disaster





Regional.

- You will be rated on the extent you clearly demonstrate capacity to reach beyond the most impacted and distressed target area and work on a multi-governmental regional or statewide basis to address disaster recovery and resilience.
- HUD strongly encourages using a multi-entity regional organization to expand the reach of the overall resilience effort beyond the most impacted and distressed target area for which CDBG-NDR funds may be used.
- Use of a multi-entity organization is **not** required.
- Are your threats or hazards regional?



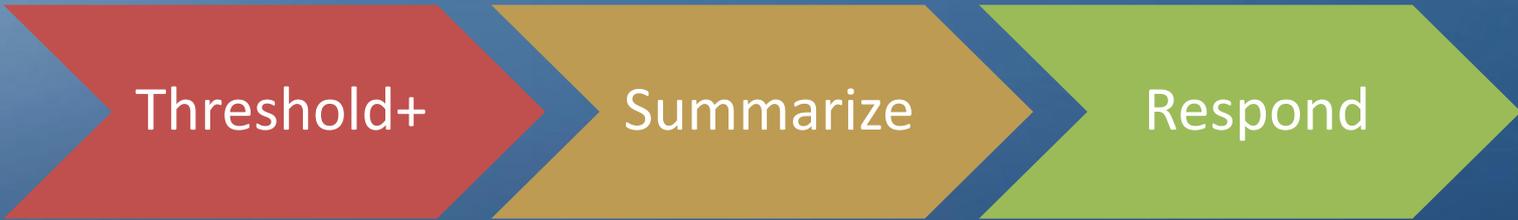
- What is the extent of your experience working on and effectively addressing regional problems? Describe how you will work regionally on resilience.
- Are the threat(s) and/or hazard(s) you are addressing regional? Would local solutions negatively affect other areas?
- Would a regional solution be more practical, protect a greater population, and be more cost effective?
- Are there best practices that can be used in building this regional approach?
- Have you considered how a regional approach could reduce protected class-related disparities and improve choices and opportunities for vulnerable populations?

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PHASE 1 FACTOR 2 NEED / EXTENT OF THE PROBLEM





Threshold+

Summarize

Respond

Need / Extent of the Problem.

- You will be rated for this factor based on your clarity and thoroughness in your response.
- Frame your unmet disaster recovery, disaster relief, affordable housing, restoration of infrastructure, and economic revitalization need using an evidence-based practice approach.
- Cite or provide quality data sources or other evidence or information used in determining Unmet Recovery Need (URN) and justifying the conclusion that a particular geographic area is most impacted and distressed (MID) as a result of the effects of the Qualified Disaster.
- See Appendix G for detail and instructions on determining and documenting MID-URN. Also see the posted webinar.





Threshold+

Summarize

Respond

- In your Factor 2 response, HUD strongly encourages you to consider regional or statewide resilience needs that can be addressed with leveraged funding sources, and
- Encourages you to specifically address present and future recovery, revitalization, and resilience needs resulting from current and projected effects of climate change in the geography considered.





Threshold+

Summarize

Respond

MID-URN Threshold.

- Complete your response to Appendix G MID-URN threshold requirements.
- At minimum, you must submit **one** qualified most impacted and distressed target area to meet the NDRC threshold for application scoring.
- You are welcome to describe and justify additional MID target areas in your threshold submission and factor responses.
- Remember, CDBG-NDR may only assist costs for demonstrated MID areas with URN





Threshold+

Summarize

Respond

Summarize.

- Provide a narrative *summary* with a cross-reference to your response to the MID-URN threshold requirement. Summarize your unmet needs and the characteristics and location of your MID target area(s).
- If you plan to approach responses to the factors from a geographic perspective larger than the minimum required (as HUD strongly encourages you to), you must provide a summary of the characteristics and location of the larger area(s) too.





Threshold+

Summarize

Respond

- Use a comprehensive risk approach to analyzing need. 5 points for MID, 5 points for URN
- Describe the science-based risk approach you will employ to select your project, or if you propose a recovery program, the approach you will employ to select projects and activities within your proposed program



Threshold+

Summarize

Respond

- Throughout your Summary and your Response to prompts, at minimum:
 - Consider disaster impacts and resilience needs related to risks or threats, including climate change, in the following areas:
 - public health and safety
 - direct and indirect economic
 - social
 - environmental
 - cascading impacts and interdependencies within and across communities.
 - Include both quantitative and qualitative measures and recognize the inherent uncertainty in predictive analysis.





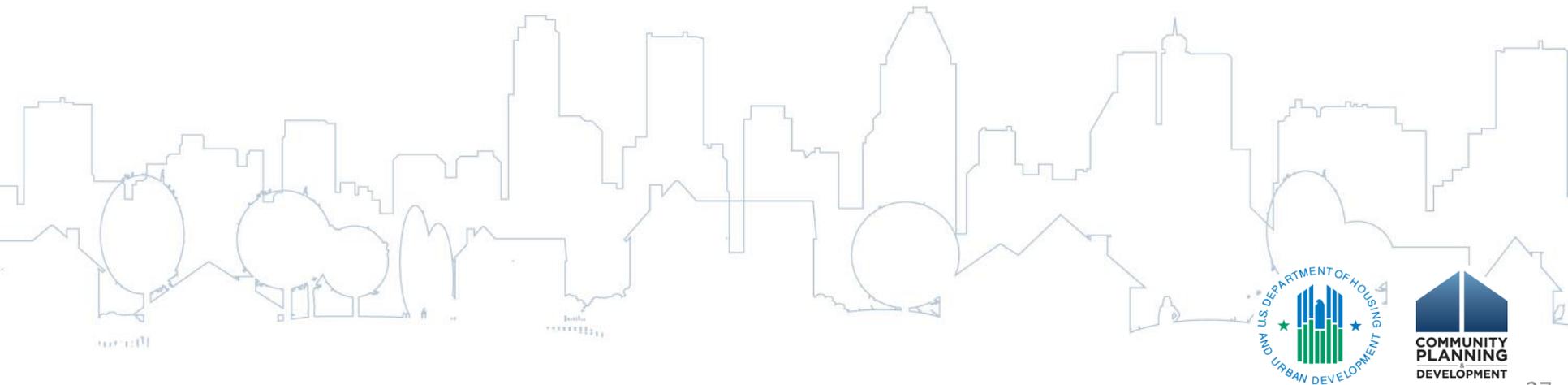
Threshold+

Summarize

Respond

Respond to the prompts.

- Answer the Factor 2 questions at a minimum as they relate to the MID-URN areas from the Qualified Disaster (15 points).
- If you respond for a larger geography, break out your MID-URN area(s) separately within the response.





Threshold+

Summarize

Respond

Risk and Data Prompts.

- What threat(s), hazard(s), or vulnerability(ies) are you focusing on? How did you identify it/them? Who and what are/have been/will be affected by events related to them and what are the future risks from the threat(s), hazard(s), or vulnerability(ies)?
- What data and other information did you use to identify the risk(s) or vulnerability(ies) and over what timeframe?
- The law directs HUD to use the best available data. Why is the information you considered the best data in your geographic area?
- Given the history of your region, climate change projections, demographic and development trends, and other factors as appropriate, what risks is your community facing?
 - How serious and likely are the risks?
 - What are your “known unknowns”?





Threshold+

Summarize

Respond

Insurance prompts.

- To what extent are public and private buildings, improvements, and residences in your community uninsured or under-insured for the risk(s) you have identified?
 - If your community has been subject to repeated flooding, what is the estimated portion of the uninsured structures are subject to the so-called “one bite rule” related to the requirement to maintain federal flood insurance coverage?
- How has this affected and how will this affect your current recovery and future resilience?
- What factors are affecting individual and community decision about purchasing and maintaining sufficient insurance?



Threshold+

Summarize

Respond

Disproportionate-effects prompts.

- Are there risks with disproportionate effects on any population groups? Describe and identify whether the disproportionate effects relate to household income or a particular protected class.
- Will some of the risks disproportionately affect those with accessibility challenges? Can potential solutions benefit those with functional needs?



Threshold+

Summarize

Respond

Opportunity and context prompts.

- Does the identified vulnerability offer any opportunity for disaster recovery and economic revitalization, including resilience to future and current risk?
- Why is addressing the risk related to this vulnerability important to your state, region, and local community?
- Are there existing conditions in your community that exacerbate vulnerability (e.g. environmental pollution, significant economic downturn)? You may cross-reference and summarize your response to the MID-URN threshold, if such a condition(s) is described there.



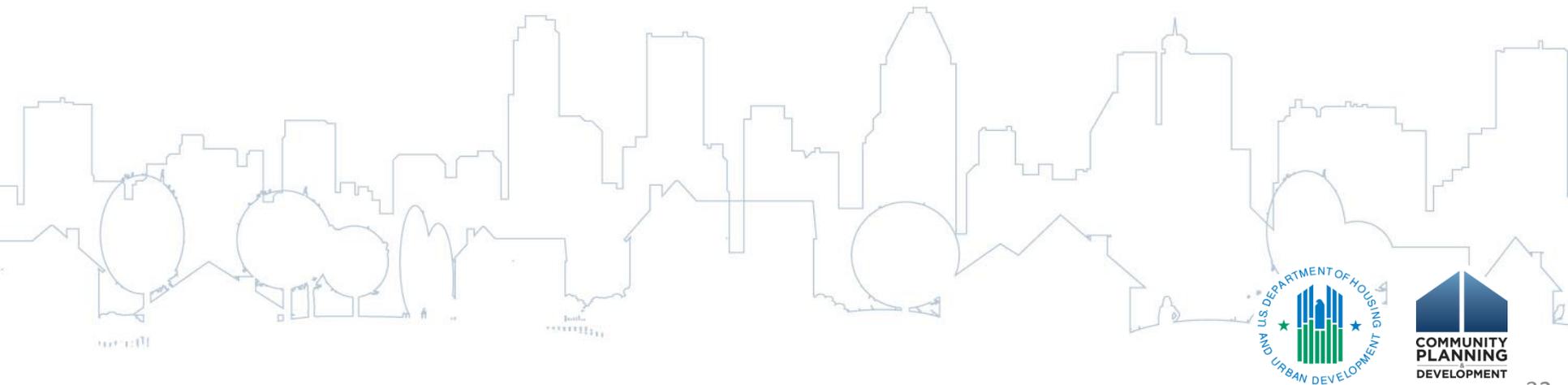
Threshold+

Summarize

Respond

Status and barriers prompts.

- What have you already done to address the risks from this vulnerability(ies)?
- What barriers are keeping you from completing a solution?



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PHASE 1 FACTOR 3 SOUNDNESS OF APPROACH



Consult



Idea

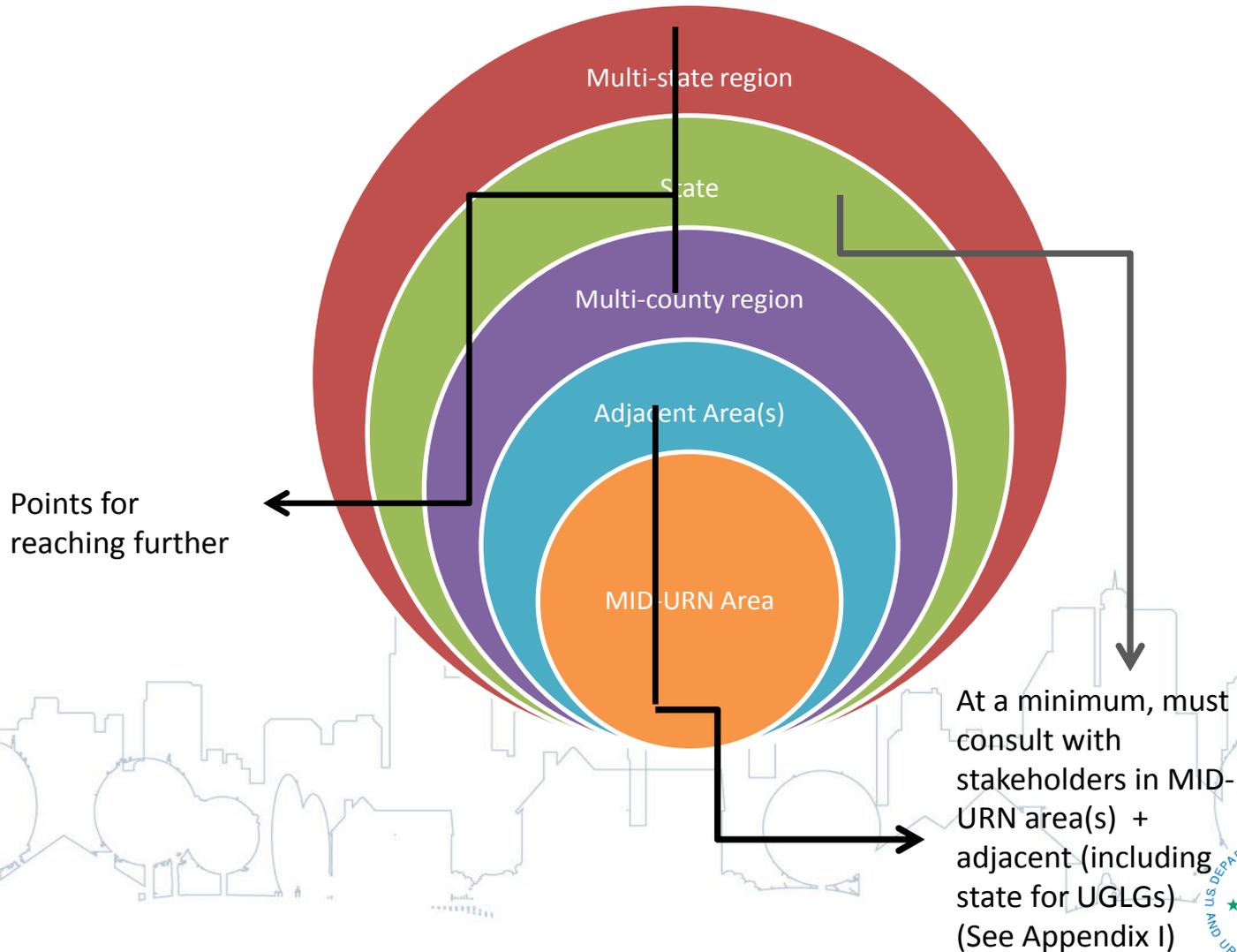


Sound
Approach

- Two sections:
 - Consultation (15 pts)
 - Idea or Concept (15 pts)
- Overall, HUD will evaluate your Factor 3 responses for clarity, thoroughness, completeness, and inclusion of the input from, needs of, and potential benefits to vulnerable populations and the businesses that employ and serve them.



Stakeholder geography





Consultation

- You will be evaluated on the Consultation sub-factor based on the overall breadth of your consultation (and planned consultation) with regional local governments, state agencies, and stakeholders and their involvement in framing issues and determining priorities.
- Discussion with stakeholders will increase your awareness of their recovery needs, community development issues and priority vulnerabilities.
- You can provide data and technical assistance to increase stakeholder ability to contribute to the framing process.



Consult



Idea



Sound
Approach

- What are your plans for collaboration, outreach, and communication? What have you already discussed with stakeholders?
- Who are the stakeholders for this project, and how have you worked with them on developing this proposal?
- How will you work with them if you are selected to go forward to Phase 2?
- How have you involved the greater community, especially vulnerable populations, in the development of this proposal?
- How have you worked with advocacy groups or directly with vulnerable populations to best identify their needs in the proposed approach?





- Did any of your discussions with stakeholders bring to light potential cumulative impacts of your risks and vulnerabilities?
- Have you considered and discussed with stakeholders the indirect risks and vulnerabilities in the environment of your most impacted and distressed target area and (optionally) region or state, with particular attention to potential sources of contamination, such as wastewater treatment facilities or brownfields?
- How have the results of the collaboration with stakeholders, project partners, and/or citizens shaped your proposal?
- Provide a summary of the consultation process and complete and submit the Consultation Summary form in Appendix I



Consult



Idea

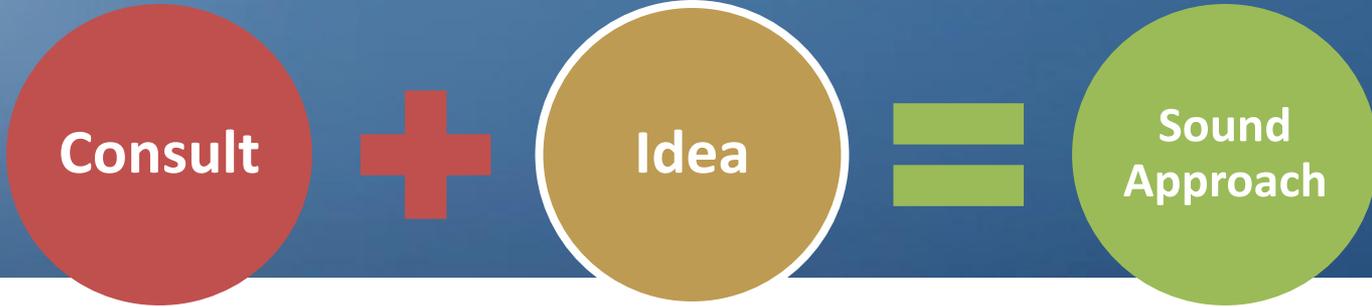


Sound
Approach

Idea or concept.

- You will be evaluated on the Idea or Concept sub-factor based on innovativeness, relevance of the idea or concept to your expressed needs and objectives, and the extent to which the idea expressed involves cross-disciplinary or greater regional approaches, with a special focus on issues of importance to vulnerable subpopulations.





Consult



Idea



Sound
Approach

- Do you have an idea(s) or concept(s) that will address identified unmet needs and the risks and opportunity(ies) of your vulnerability(ies) in a way that will make you more resilient? What is/are your general idea(s)? Build something? Relocate something? Finance something?
 - Are you open to alternatives, or are you already committed to a particular approach?
 - What actions have you already taken to make your state/community more resilient? Do you want to augment or replace existing actions?
 - How will you ensure your idea will be feasible and effective at supporting recovery and resilience?
 - Does your idea provide long-term or permanent resilience?

Consult



Idea



Sound
Approach

- How are you considering potential **co-benefits** of implementing your idea (e.g. environmental and human health, workforce and business development)? Are there other community development objectives that can be met through your resilience project(s)? How does your idea represent integrated thinking across disciplines such as those listed in Phase 2 of the Capacity Factor?
- How has or will your proposal **involve** and address residents and small businesses that are **least resilient or most vulnerable** to future threat(s) and hazard(s), including future effects that may be caused by climate change?



Consult



Idea



Sound Approach

- How will your idea affect **adjacent areas** (positively or negatively)?
- What are the local and regional **interdependencies** among sectors (e.g., housing, transportation, energy, environmental)? If you don't know, how have you or will you **collaborate with your neighbors** to learn about and consider these issues?
- Can you resolve your vulnerability(ies) and meet unmet recovery needs inside your jurisdiction, or will you need to work with other UGLGs or state(s) or regional organizations?
 - If you need others, have you already approached them?
 - If yes, are they supportive of this application?
 - Do you have a formal agreement to cooperate? In what disciplines or areas?
 - Can any other jurisdiction prevent you from addressing the risks from this vulnerability using your approach?
 - Are there cross-jurisdictional mechanisms (plans, commitments, bodies with decision-making authority) that are already in place to support this activity?





Consult



Idea



Sound
Approach

- Characterize your community's **overall approach to resilience** now and in the foreseeable future.
 - Characterize your community's approach to resilience **incorporating risks associated with climate change.**
 - Does your most impacted and distressed target area(s) and region or state participate in the National Flood Insurance Program (NFIP) Community Rating System?
 - Do you participate in any other state, regional, national, or international program that rates overall community commitment to resilience? If yes, briefly describe your commitment, rating, and results.
 - Does your state or community have a climate change adaptation plan? If yes, briefly describe the actions it outlines.



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PHASE 1 FACTOR 4 LEVERAGE AND OUTCOMES





Outcomes

Leverage

Commitments

- **Outcomes** consists of measuring how well you meet your objectives.
- **Leverage** consists not only of planning, design and construction or implementation resources, it may also include resources to maintain or expand the improvement into the future, throughout its intended useful life. (Note that maintenance is generally not an eligible CDBG-NDR activity.)
- Maintaining an improvement across time is often easier if the improvement was designed and developed to be effective given future conditions and to be sustainable, in the sense of using green or natural resources or approaches compatible with or supporting the natural environment.
- Leverage may also include extending your resilience investments beyond the most impacted and distressed area(s) where you are allowed to use your CDBG-NDR assistance.



Outcomes



Leverage



Commitments

Outcomes.

- You will be evaluated on the degree to which your responses demonstrate that you are seeking to achieve multiple disaster recovery (past) and community development objectives such as vulnerability and risk reduction (future) benefits, the degree to which you are seeking co-benefits from your proposed approach, and that you measure and evaluate those benefits.
- How long do you want your solution to last?
 - Are you considering a large-scale up-front effort followed by limited maintenance (such as a flood or fire buyouts program) or a multi-phase construction project that will continue over time and require substantial resources to maintain it, such as construction of sections of a levee?
 - Have you considered infrastructure solutions, such as green or nature-based infrastructure, that provide co-benefits, like recreational opportunities, stormwater management, summer cooling, or habitat?
 - Whether or not your idea involves infrastructure investment, what are the potential co-benefits of implementing your idea?

Outcomes



Leverage



Commitments

- How can your idea be implemented in an environmentally and financially sustainable way?
- Can your response to your vulnerability be an opportunity to bring one or more potential community assets, such as unemployed persons, Section 3 residents and businesses, or blighted property, into place/condition to help economically revitalize your MID target area, and region or state?
- What will **success** look like to you and how will you **measure** it?
- What **specific** program evaluation factors will you measure and incorporate in your Phase 2 proposal (if selected)?



Outcomes



Leverage



Commitments

Leverage.

- You will be evaluated 1) on the degree to which you demonstrate commitment as an indicator of support in the community for the CDBG-NDR effort and 2) on the extent to which your response indicates a thorough exploration of potential funding and financing sources.
- What local or regional partners or resources are you aware of that could potentially address the implementation and maintenance aspects of your response to your vulnerability?
 - What conversations have you had with insurance or reinsurance representatives to discuss how your issues and vulnerabilities might affect risk considerations and insurance premiums for public and private property in your most impacted and distressed target area, and region or state?
 - How your idea might affect risk considerations or attract co-funding from insurers or other community stakeholders?



Outcomes



Leverage



Commitments

- How can potential co-benefits of implementing your idea (e.g. environmental and human health, workforce development) contribute toward its financing?
 - Alternatively, what are the cost savings (*by general type and order of magnitude*) that you envision as part of the co-benefits (e.g. investment in X also saves money on Y)?
- What are the streams of public funding that are likely to be used differently as a result of co-benefits? For how long?
- To what extent do you have commitments that extend the reach of your idea or concept beyond the most impacted and distressed area eligible for CDBG-NDR funding? How far does your idea indicate your project may extend – multi-county, regional, statewide?



Outcomes



Leverage



Commitments

Firm commitments.

- To the extent you have commitments at the time of a Phase 1 submission to support planning and future implementation activities, you must demonstrate them in accordance to the guidance provided under Factor 4: Phase 2 Leverage.
- You will receive **1** point if your application includes a total commitment of direct financial assistance (e.g. cash) in an amount not less than \$50,000 from either yourself or a unit of general government Partner or a philanthropic organization and **2** points if the amount is not less than \$250,000.
- **Note that** grantees will be required to show evidence that committed leverage resources were actually received and used for their intended purposes through quarterly reports as the project proceeds. Sources of leverage funds may be substituted after grant award, as long as the dollar commitment is met.



Outcomes



Leverage



Commitments

- Resources must be firmly committed as of the application deadline date. “Firmly committed” means that the amount of the resource and its dedication to CDBG-NDR Grant activities is explicit. Endorsements or general letters of support from organizations or vendors alone **will not** count as resources and should not be included in the application.
- Leverage documents must represent valid and accurate commitments of future support. They must detail the dollar amount and any terms of the commitment. They must also indicate that the funding is available to you for the activities directly related to undertaking your proposal.
 - (a) If a commitment document is for more than one resource/amount, they should be indicated individually in the document rather than in one lump sum.
 - (b) An example of a good commitment: “X Agency commits to providing \$100,000 in funds for a technical study to support the CDBG-NDR/NDRC proposal in XX target area.”



Outcomes



Leverage



Commitments

- Resource commitments must be written and signed by a person authorized to make the commitment and dated. For example, a PHA nonprofit's Executive Director cannot commit the funds of another agency, organization or government body (unless you can demonstrate otherwise in the application).
- Commitment letters must be on letterhead or they will not be accepted.
- If the commitment document is not included in the application and submitted before the NOFA deadline date, it will not be considered.
- Staff time and benefits of the Applicant and/or Partner(s) (if any) are not an eligible leverage resource.



Outcomes

Leverage

Commitments

Leverage funding may come from a variety of sources, including any of the following:

- Public, private, and nonprofit entities;
- State and local housing finance agencies;
- Local governments;
- Foundations;
- Government Sponsored Enterprises such as the Federal Home Loan Bank, Fannie Mae, and Freddie Mac;
- Colleges and universities;
- HUD and other federal agencies, provided the statutory language of the funding source allows the funds to be used for these purposes. Public Housing funds and other funding provided under the U.S. Housing Act of 1937, as amended may be not used as match or leverage. Funds awarded under P.L. 113-2 may not be considered as leverage, although annual CDBG awards under the HCD Act may be considered. In the case of HUD's annual Community Development Block Grant (CDBG) funds, the work activity must be included in the CDBG recipient's annual action plan. Such plans may be amended to include the CDBG-NDR funded activity(ies) eligible under those grants;
- Financial institutions, banks, or insurers;
- Other private funders.



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Outcomes

Leverage

Commitments

A supporting commitment is funding that your Partners have available for their use to carry out activities that directly support the proposal.

- Examples of this type of commitment include a university professor who received grant funding to conduct a healthy environment study for the target area or a city that commits its own funding to conduct a traffic redesign study for an intersection or corridor in the target area or a state that changes its low-income housing tax credit qualified allocation plan to direct tax credit resources to meet affordable housing unmet needs of the target area.
- This does not include in-kind contributions, such as professional staff time or office and meeting space from your Partners.

No funds may be counted towards the leverage factor to the extent that the CDBG-DR or CDBG-NDR funds are considered match or cost share by the source of those funds.



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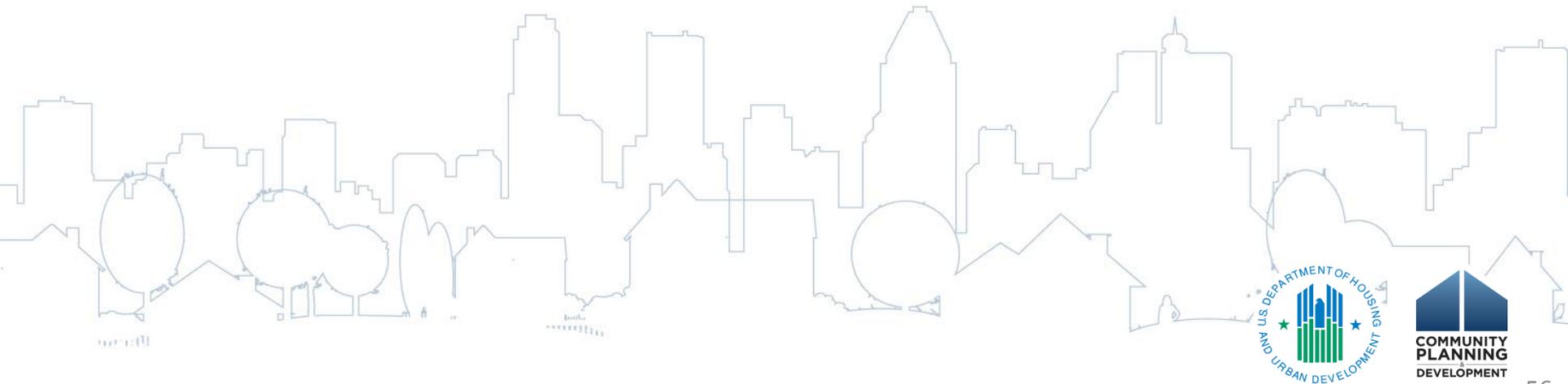
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PHASE 1 FACTOR 5 LONG-TERM COMMITMENT

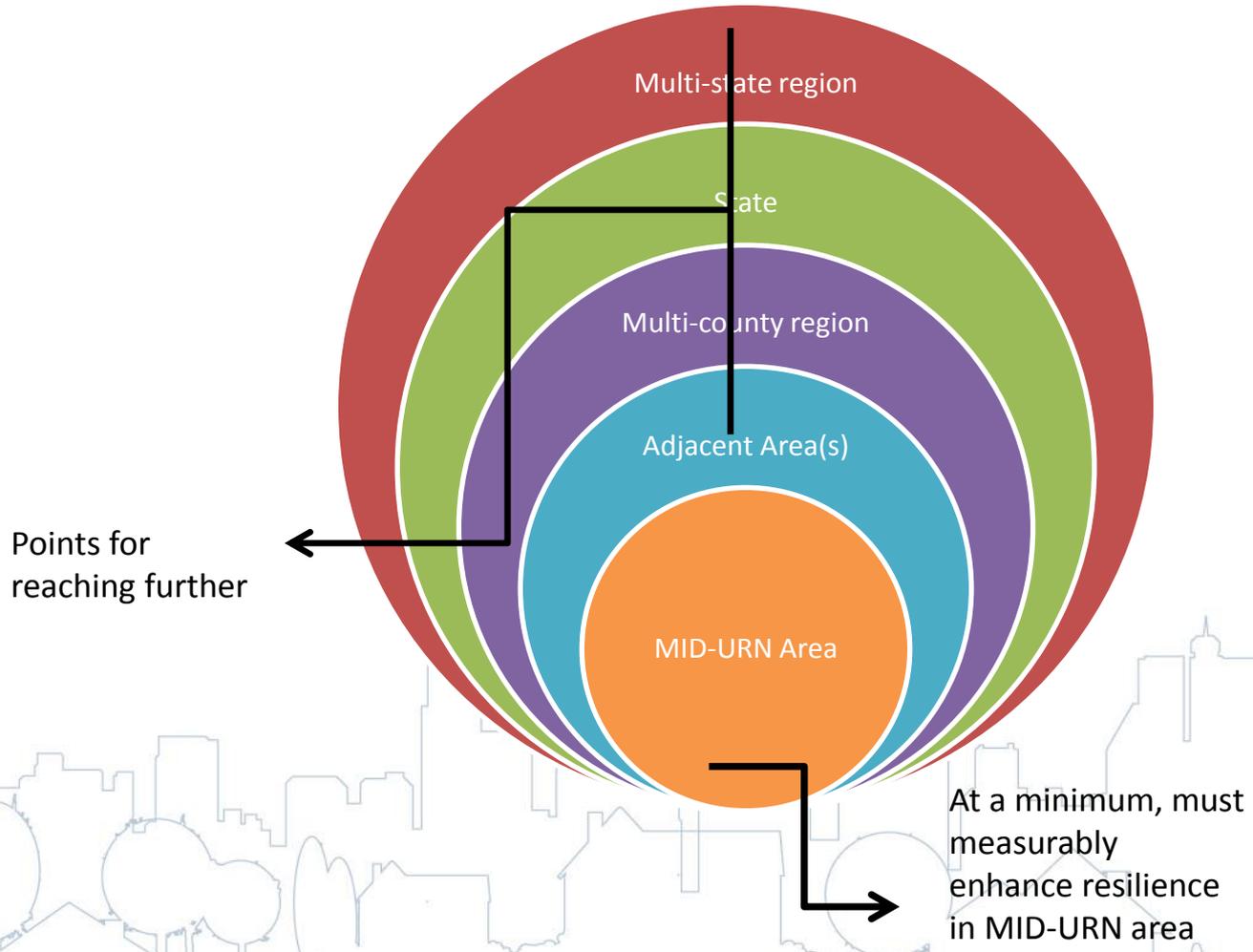


Factor 5: Long-term Commitment

- Describe any significant or major steps you have already taken or are seriously considering that commit you to increasing the resilience in your jurisdiction regardless of whether you receive a CDBG-NDR award.



Commitment Geography



Commitment timeframe

- HUD will only award points for Phase 1 or invite an Applicant to Phase 2 if it has already taken (after the date of the Qualified Disaster) or firmly commits to take within one year of the announcement of Phase 2 results, one or more actions improving permanent resilience in a geography including at a minimum its MID target area(s).



Resilience metric and dates

- To receive points for this factor, you must provide a baseline and a goal outcome measure for at least one metric, (e.g., number of persons, households, businesses, acres of land, structures for XXX years) expected to be positively protected by each action or commitment.
- You must also provide the actual or planned effective date of any change.

Scoring considerations

- Examples are provided in Phase 2: Factor 5 for categories and examples of changes that will be highly considered.
- You will be evaluated taking into account the geographic scale of the area served by the resilience improvement or protection, and the degree to which the action as you describe it will clearly result in a significant improvement in resilience from the existing status or policy baseline for the area before the date of the Qualified Disaster.
- HUD will also take into account significant new actions taken after the date of NOFA publication.



Commitment categories

- Categories to consider
 - Lessons Learned
 - Legislative Action
 - Raising Standards
 - Resilience-related plan alignments and updates
 - Resilience-related financing, credit and insurance



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PHASE 1 OPTIONAL MATERIALS



Optional Materials

- Maps, drawings, renderings, and other graphical representations of the overall project or target area are optional, but encouraged. See the submission instructions the Application and Submission Requirements section of the NOFA.
- Text on optional materials should be limited to labels and legends and will not be used for purposes of scoring factor responses.

