

**UNITED STATES VIRGIN ISLANDS
HOUSING FINANCE AUTHORITY**

**CAPACITY ASSESSMENT CHECKLIST
&
INITIAL SCOPE & BUDGET FORM**

VERSION: 1.0
APPLICABLE: October 29, 2018

Prepared by:
Virgin Islands Housing Finance Authority



PURPOSE AND CONTENTS:

The purpose of this document is to provide necessary information on the CDBG-DR program or project for the development of a Memorandum of Understanding (MOU) between VIHFA and the Implementing Partner. The packet will assist in gathering the following:

- Capacity Assessment Checklist
- Initial Scope & Budget Form
 - Project Overview
 - National Objective
 - CDBG-DR Eligibility
 - Project Costs and Timeline
 - Project Details
 - Project Location

Please submit a completed copy of the Capacity Assessment Checklist and Project Scope & Budget Form with supporting documentation to **Brittany Brin Robinson** at brobinson@vihfa.gov.

Capacity Assessment Document Request Checklist

The following checklist is intended to provide an initial list of supporting documents for various areas within your organization to facilitate a capacity assessment as required by HUD for CDBG-DR funding.

Partner/ Subrecipient Name: _____

Description	YES	NO*	N/A*	Document Reference**
1. Accounting Policies and Procedures including, a. Retention Policy b. System of internal controls c. Source documentation policy (i.e. cancelled checks, invoices, payroll, time and attendance, corporate credit card, and travel and expenses)				
2. Procurement Policies and Procedures				
3. Grants Management Policies and Procedures including, a. Fraud, waste and abuse reporting				
4. Organizational Chart				
5. Copy of most recent A-133 Single Audit final report				
6. Copy of most recent Annual Audit Report				
7. Copy of most recent Internal Audit Report				

Partners/Subrecipients will be contacted to schedule a site visit with the key individuals responsible for the areas in which documents are requested (for example, CFO and/or Accounting Manager, Procurement Director, Grants Manager, HR Manager, Internal Auditor etc.), subsequent to receipt of the required documents.

Contact Information:

Contact Name, Agency, Title **Contact Email & Telephone**

*If you answer “NO” or “N/A” to any question, please provide a written explanation.

**Document Reference should include the name of the document being provided that satisfies the request. All documents are to be provided when sending the completed checklist.

Initial Scope and Budget Form

Implementing Partner Submission Authorization
AUTHORIZED BY:
PRINTED NAME:
TITLE:
DATE:

PROJECT OVERVIEW

<p>Implementing Partner: <i>Name, Address, Phone and Fax Number, DUNS Number, and SAM CAGE Code Number</i></p>	<p>Project Name:</p> <p>Project Address:</p> <p>Project Target Area: <i>Geographical area to benefit from project; latitude/longitude of project site.</i></p>
<p>Partner’s Project Manager Contact: <i>Name, Address, Phone Number, Email Address,</i></p>	<p>Consultant Information: <i>Name, Address, Phone Number and Email Address of Consultant: (if applicable)</i></p> <p>Architectural/Engineering Firm <i>Name, Address, Phone Number and Email Address (if applicable)</i></p>
<p>Implementing Partner’s Financial Contact <i>Name, Address, Phone Number and Email Address</i></p>	<p>Implementing Partner’s Legal Contact <i>Name, Address, Phone Number and Email Address</i></p>
<p>Implementing Partner’s Procurement Contact <i>Name, Address, Phone Number and Email Address of</i></p>	<p>Implementing Partner’s Environmental Review Contact <i>Name, Address, Phone Number and Email Address</i></p>

CDBG-DR ELIGIBILITY

For details on how to determine and document eligibility, please fill out the information below.

SECTOR: *(Housing, Economic Revitalization, Energy, Education, Water, etc.)*

CDBG-DR Program from the USVI Action Plan:

NATIONAL OBJECTIVE (check one).

- Activities Benefiting Low/Moderate Income Persons
- Prevention/Elimination of Slums or Blight
- Urgent Need
- Not Applicable—Planning

ELIGIBLE ACTIVITY(IES): In order to be eligible for funding, a project must include one or more of the activities described in **Title 24 Section 570.200 to 570.206** of the Code of Federal Regulations. Select from the listing below the activities that this proposed project entails.

<input type="checkbox"/> Acquisition of real property;	<input type="checkbox"/> Relocation payments and other assistance for permanently and temporarily relocated individual families or businesses;
<input type="checkbox"/> Disposition of property acquired with CDBG funds;	<input type="checkbox"/> Removal of architectural barriers;
<input type="checkbox"/> Acquisition, construction, reconstruction, rehabilitation, or installation of public facilities and improvements;	<input type="checkbox"/> Acquisition, construction, reconstruction, rehabilitation or installation of the distribution lines and facilities of privately owned utilities;
<input type="checkbox"/> Clearance, demolition, and removal of buildings and improvements;	<input type="checkbox"/> Rehabilitation or development of privately owned buildings for residential purposes, improvements to the exterior of commercial or industrial buildings or the rehabilitation, preservation or restoration of historic properties;
<input type="checkbox"/> Provision of public services (including labor, supplies and materials) 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 treatment or prevention, education, fair housing counseling, energy conservation or recreation needs;	<input type="checkbox"/> Acquisition, construction, reconstruction, rehabilitation or installation of commercial or industrial buildings, structures or the provision of assistance for for-profit businesses;
	<input type="checkbox"/> housing services, such as housing counseling
<input type="checkbox"/> Repairing of streets, sidewalks, parks, playgrounds, publicly owned utilities and public buildings, special	<input type="checkbox"/> provision of direct assistance to facilitate and expand homeownership among persons of low and

garbage, trash and debris removal in areas exhibiting signs of physical deterioration or in order to eliminate emergency conditions;	moderate income
()Payment of the costs of completing an urban renewal project funded under Title I of the Housing Act of 1937, as amended;	()Planning and survey

TIE TO THE DISASTER

How can you document a tie to either Hurricane Irma or Hurricane Maria?

- *For physical losses – Damage or insurance estimates (the most effective tool)*
- *For economic or other non-physical losses – Post-disaster analyses or assessments (documenting relationship between loss and disaster)¹*
- *Funds may be used to address an unmet need that arose from a previous disaster, which was exacerbated by a disaster cited in the Appropriation.*

¹ <https://www.hudexchange.info/resources/documents/CDBG-DR-Eligible-Activities-Slides.pdf>

TOTAL PROJECT COSTS AND TIMELINE

FUNDS, SOURCE, STATUS, AND USE

Project Funds	Amount	Status & Use
CDBG-DR	\$0.00	
Private Funds	\$0.00	
Other Territorial Funds	\$0.00	
Federal Funds (non-CDBG-DR)		
FEMA Public Assistance	\$0.00	
FEMA Public Assistance – 406 Mitigation	\$0.00	
FEMA HMGP	\$0.00	
Department of Interior	\$0.00	
Department of Transportation	\$0.00	
FHWA-ER	\$0.00	
U.S. Army Corps of Engineers	\$0.00	
Department of Energy	\$0.00	
Environmental Protection Agency	\$0.00	
Other Sources:		
	\$0.00	
	\$0.00	
	\$0.00	
	\$0.00	
TOTAL FUNDS	\$0.00	

GENERAL TIMELINE AND ANTICIPATED PHASING OR MILESTONES

PROJECT DETAILS

PROJECT DESCRIPTION

Insert concise description here, including the following: What is the project? What is being torn down, built, provided, etc.? What are the objectives of the project? What are the expected results? Does the project involve the construction of a new facility or modifications or repairs to an existing facility? Are any historic or landmarked properties impacted? Will the project break ground? Is land acquisition involved? What are the previous and proposed uses of the impacted property or site?

PROJECT LOCATION & SITE PLAN:

Provide a conceptual site plan depicting location of the project.

PROJECT STATUS:

Has any component (i.e., procurement of A/E, construction, etc.) of the project begun:

- No Yes

If yes, please provide a description as to which project activities;

- (1) have been completed;
- (2) are currently underway and the percent complete; and,
- (3) if the intent is to use CDBG-DR funds to pay for activities either completed or currently underway.

Has an environmental review been initiated?

- No Yes

If yes, please provide detail:

PROJECT CONTEXT:

Narrative should provide answers to questions such as: Is this a stand alone project or part of a larger plan/project? If so, is it sufficiently separate from that plan or project, in the sense that it does not rely on it and does not trigger CDBG-DR requirements on other parts of the plan/project?

Given this context, what inter-agency coordination will be required?

BENEFICIARIES/PUBLIC BENEFIT/TARGET AREA:

Provide a narrative answering questions such as: Who are the beneficiaries? What are the benefits to these beneficiaries, and where do they live? How do you plan to document this for the National Objective?

RECOVERY RATIONALE:

Provide a narrative answering questions such as: How does this project address the impacts of Hurricanes Irma or Maria? How does it foster the recovery of the community from these disasters?

DESCRIPTION OF CONSTRUCTION INVOLVED:

Provide a narrative answering questions such as: How extensive is the proposed construction? Is there digging/earthwork, etc.? The purpose of this subsection is to assist in determining the level of environmental review required.

DESCRIPTION OF ACQUISITION INVOLVED:

Describe the nature of any necessary land or property acquisition.

MITIGATION/RESILIENCY PLAN:

Provide a description as to how the design of the project considers and/or proposes a mitigation/resiliency plan to minimize damage in the event of future flooding or extreme weather.

GREEN BUILDING STANDARDS FOR REHABILITATION AND NEW CONSTRUCTION

Green Building Requirement FRN 6066-N-01

Meaning of Green Building Standard. For purposes of this notice, the Green Building Standard means the grantee will require that all construction covered by subparagraph a, above, meet an industry-recognized standard that has achieved certification under at least one of the following programs: (i) ENERGY STAR (Certified Homes or Multifamily High-Rise), (ii) Enterprise Green Communities, (iii) LEED (New Construction, Homes, Midrise, Existing Buildings Operations and Maintenance, or Neighborhood Development), (iv) ICC-700 National Green Building Standard, (v) EPA Indoor AirPlus (ENERGY STAR a prerequisite), or (vi) any other equivalent comprehensive green building program acceptable to HUD.

Rehabilitation of nonsubstantially damaged residential buildings. For rehabilitation other than that described in subparagraph a, above, grantees must follow the guidelines specified in the HUD CPD Green Building Retrofit Checklist, available at

<https://www.hudexchange.info/resource/3684/guidance-on-the-cpd-green-building-checklist/>.

Grantees must apply these guidelines to the extent applicable to the rehabilitation work undertaken, including the use of mold resistant products when replacing surfaces such as drywall. When older or obsolete products are replaced as part of the rehabilitation work, rehabilitation is required to use ENERGY STAR-labeled, WaterSense-labeled, or Federal Energy Management Program (FEMP)-designated products and appliances.

d. *Implementation of green building standards.* (i) For construction projects completed, underway, or under contract prior to the date that assistance is approved for the project, the grantee is encouraged to apply the applicable standards to the extent feasible, but the Green Building Standard is not required. (ii) For specific required equipment or materials for which an ENERGY STAR-or WaterSense-labeled or FEMP-designated product does not exist, the requirement to use such products does not apply.

GREEN INFRASTRUCTURE AND SUSTAINABLE DESIGN

Are there green infrastructure or other sustainability design components? For the purpose of completing

this section, green infrastructure is defined as the integration of natural systems and processes, or engineered systems that mimic natural systems and processes, into investments in resilient infrastructure. “Green Infrastructure” takes advantage of the services and natural defenses provided by land and water systems such as wetlands, natural areas, vegetation, sand dunes, and forests, while contributing to the health and quality of life of those in recovering communities.

PROJECT FEASIBILITY:

Provide a narrative as to the likelihood of the project being implemented. Are there any significant regulatory hurdles to overcome, and are any problems or issues with entitlement anticipated? If the project requires additional financial support beyond the VIHFA CDBG-DR funding, are those funds committed?