

## 3 PROGRAM MANAGEMENT GUIDE

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### 3.1 EXECUTIVE SUMMARY

The Program Management Guide serves as an overarching framework for the Nebraska Department of Economic Development (DED) to implement programs funded by CDBG-DR for the State of Nebraska. This manual should be consulted to determine the roles and responsibilities of the agencies, organizations, and partners needed for successful CDBG-DR program implementation and grant distribution (see **Section 3.2: Roles and Responsibilities**). The primary program contributors covered within this manual include:

- DED, as the program Grantee (program administrator),
- Partner organizations who will be consulted or hired as part of the program implementation process.
- Technical Providers, as supplemental staff; and
- Subrecipients and Successful Applicants as the recipient of grant funds and program implementors.

The manual is also designed to provide an overview of each CDBG-DR program category and the associated program policies and procedures (see **Section 3.3: Program Overview**). The program types covered within the State of Nebraska CDBG-DR program and referenced within this manual are inclusive of the following program types:

- Infrastructure Programs
  - Public Assistance Match
  - Hazard Mitigation Grant Program Match
- Housing Programs
  - Affordable Housing Construction Program
  - Homeowner Assistance Program
- Planning Programs
  - Risk Awareness Planning Program

This manual should be used to give a “big picture” overview of the program and as a proverbial springboard to initiate program implementation under the operational structures that will be used for administration of CDBG-DR funds.

In implementing this manual for the CDBG-DR Program, the State of Nebraska will ensure that no person is excluded from participation in, denied the benefit of, or subjected to discrimination in any housing program or activity because of their age, race, color, creed, religion, familial status, national origin, sexual orientation, military status, sex, disability, marital status, or any other federally protected class.

## **3.2 ROLES AND RESPONSIBILITIES**

### **3.2.1 GRANTEE (DED)**

As Lead Agency, DED is responsible for administration of the CDBG-DR funds. DED must ensure that CDBG-DR funds are expended in compliance with HUD regulations contained in the Federal Register Notice dated January 27, 2020 (85 FR 4681) and at 24 CFR Part 570 and all other applicable Federal Register Notices. These responsibilities include:

- Determining allocations based on Unmet Needs Assessment and has developed the CDBG-DR Action Plan;
- Ensuring that the State complies with its Citizen Participation Plan during the Action Plan development process;
- Submitting the Action Plan and any subsequent Amendments to HUD;
- Submitting all required reports including the Quarterly Performance Report, Semi-Annual Davis-Bacon reports, Section 3 Reports, and Program Monitoring Reports;
- Executing Subrecipient Agreements with Subrecipients and funding agreements with Successful Applicants;
- Providing technical assistance to Subrecipients and Successful Applicants of CDBG-DR funds throughout the program lifecycle: Subrecipient and Successful Applicant selection process, program setup, implementation, and closeout;
- Ensuring any capacity gaps in DED or its Subrecipients and Successful Applicants are filled by hiring additional staff, engaging outside consultants, or getting support from government agencies, as needed;
- Completing all Environmental Reviews and acting as the Responsible Entity for HUD Environmental Clearances;
- Setting up activities and budgets in the DRGR system;
- Ensuring all invoices paid in the program align with CDBG-DR rules and regulations, compliance documents are completed, Performance Reports (PRs) are submitted, and budgets are managed;

- Procuring qualification-based contracts and will use this authority to procure relevant support services;
- Executing CDBG-DR draws through the DRGR system;
- Ensuring expenditures do not duplicate benefits of other funding sources;
- Monitoring Subrecipients and Successful Applicants for program compliance with HUD and State requirements;
- Internally monitoring the CDBG-DR funded activities to ensure compliance with HUD regulatory requirements;
- Tracking performance metrics to ensure timely expenditure of funds; and
- Ensuring that the CDBG-DR website is in compliance with HUD requirements.

## **3.2.2 PARTNER ORGANIZATIONS**

Nebraska DED leads all programs under the CDBG-DR grant. Within DED, the CDBG-DR grant has a single oversight point of contact and program implementation staff are integrated with the annual CDBG Program to ensure, as appropriate and applicable, consistent policies and implementation.

DED will coordinate with other state partners as necessary to gain information, technical assistance, or ensure coordination on program goals.

### **3.2.2.1 NEBRASKA EMERGENCY MANAGEMENT AGENCY (NEMA)**

The Infrastructure Match Program will be administered in partnership with NEMA, which administers the Federal Emergency Management Agency's (FEMA) Public Assistance (PA) and Hazard Mitigation Grant Program (HMGP) funds.

### **3.2.2.2 NEBRASKA INVESTMENT FINANCE AUTHORITY (NIFA)**

Through the application phase of the Affordable Housing Construction Program conducted in coordination with the NIFA's Low Income Housing Tax Credit (LIHTC) application, DED and NIFA will coordinate to leverage CDBG-DR funds with LIHTC and affordable housing tax credits (AHTC) to increase the supply of affordable rental housing in disaster-impacted areas. CDBG-DR funds will be used as gap funding for LIHTC developments in impacted communities, incentivizing developers to target these communities.

### **3.2.2.3 NEBRASKA DEPARTMENT OF NATURAL RESOURCES (NEDNR)**

The Risk Awareness Planning Program will be administered in partnership with NeDNR. As part of this collaboration, NeDNR will assist DED by sharing data related to zoning in floodplains and regularly attending meetings to collaborate on decision making as it relates to the program.

## **3.2.3 TECHNICAL PROVIDERS**

Supplementing staff, DED has retained a technical provider to provide grant implementation and management assistance for the award. The technical provider will be responsible for assisting with the program design, pre-application and application process, project development, bidding and pre-construction, construction, reviewing invoices and bidding processes by Subrecipients and Successful Applicants, managing budget reports and other supportive financial management duties as assigned, and closeout associated with programs. The Director of Disaster Recovery provides administrative oversight of the technical provider for the activities conducted pursuant to the agreement and makes final determinations and approvals of any documents or materials.

## **3.2.4 SUBRECIPIENTS AND SUCCESSFUL APPLICANTS**

Subrecipients and Successful Applicants will implement the planning, housing and infrastructure programs, as appropriate, with oversight and technical assistance from DED and other partner agencies. DED will be in regular communication with Subrecipients and Successful Applicants to ensure program implementation and ensure projects done by different Subrecipients and Successful Applicants do not conflict with each other.

Subrecipient and Successful Applicant responsibilities include:

- Implementing program operations including:
  - Application Intake;
  - Eligibility review, including duplication of benefits (DOB) check;
  - Ensuring beneficiaries are always aware of their project status;
  - All requirements described in the SRA or Funding Agreement;
  - Project management;
  - Financial management (i.e., contractor invoicing); and
  - Project closeout.
- Coordinating with DED for review of program expenditures and reporting to HUD in DRGR;

- Coordinating with DED for reporting in Federal Funding Accountability Act Subaward Reporting System, as applicable;
- Coordinating with DED Finance for payment and DED for reimbursement through draws working through the AmpliFund grant management system;
- Managing detailed program implementation budgets, including Activity Delivery Costs and Project Costs;
- Reviewing all procurement for HUD regulatory requirements, as applicable, subject to verification by DED;
- Leveraging existing purchasing processes and ensure purchasing follows CDBG-DR purchasing procedures; and
- Coordinating with DED to prepare for any HUD and the Office of the Inspector General monitoring or audits.

Under the annual CDBG program, Subrecipients are required to hire or employ a Nebraska CDBG Certified Administrator (CA) to oversee projects and ensure the project and parties involved are in good standing. DED strongly encourages CDBG-DR Subrecipients and Successful Applicants to utilize CAs (or equivalent). Subrecipients and Successful Applicants are encouraged to participate in DED's CDBG CA Program.

## **3.3 PROGRAM OVERVIEW**

### **3.3.1 TYPES OF PROGRAMS**

DED has defined a series of programs within the Action Plan. Each program has a separate program guide that defines all programmatic operations, expectations for Subrecipients or Successful Applicants, and key standards for program implementation that exceed the cross-cutting standards set forth for the CDBG-DR program.

**Table 1: Types of Programs**

Program Category	Program Name	Primary Resource
Infrastructure Programs	Public Assistance Match	Infrastructure Match Program Guide
	Hazard Mitigation Grant Program Match	
Housing Programs	Affordable Housing Construction Program	Affordable Housing Construction Program Guides
Planning Programs	Risk Awareness Planning Program	Risk Awareness Planning Program Guide
	Housing Resiliency Planning Program	Housing Resiliency Planning Program Guide

Alignment of the National Objectives to program activities are defined in the table below.

**Table 2: CDBG-DR Program Descriptions**

Program Name	Description	Connection to National Objectives
<b>INFRASTRUCTURE</b> Infrastructure Match Program	This program will utilize CDBG-DR funding to alleviate the burden for local communities in meeting the local match requirements for the PA program and HMGP in the aftermath of the 2019 disasters.	Benefiting LMI Persons; Urgent Need

Program Name		Description	Connection to National Objectives
HOUSING	Affordable Housing Construction Program	<p>This program is intended to increase affordable renter- and owner-occupied housing supply in flood-impacted areas. The program will be administered by DED and will consist of three subprograms:</p> <ul style="list-style-type: none"> <li>• CDBG-DR LIHTC Gap Financing;</li> <li>• Small/Non-LIHTC Rental Production; and</li> <li>• Homeownership Production.</li> </ul>	Benefiting LMI Persons
PLANNING	Risk Awareness Planning Program	<p>This program will target areas with risk exposure from private levees or levee-like structures in counties that received a disaster declaration under DR-4420 and focus on flood hazard vulnerabilities that led to flood damage during Winter Storm Ulmer. Efforts under this program will educate individuals on the risk associated with private levees and levee-like structures as water control infrastructure and provide alternative flood mitigation options to promote resilience.</p>	N/A
	Housing Resiliency Planning Program	<p>This program focuses on providing support to Subrecipients to develop plans related to housing recovery, housing resilience, and affordable housing that reduce flood vulnerability. The program intends to provide for the development of housing plans to address flood vulnerabilities.</p>	N/A

### 3.3.2 CDBG-DR TIMELINE OVERVIEW

A general overview of the timeline for project launch and implementation is described in **Figure 1**. Note this will differ by project, as defined within the respective Program Guides. This overview is for planning purposes only.

**Figure 1: Timeline Overview**

Months 0-1	Months 0-3	Months 3-closeout		
<p>DED executes the Subrecipient Agreement with the Subrecipient or Funding Agreement with the Successful Applicant</p> <p>Subrecipient or Successful Applicant is provided access to the Grants Management System (i.e., AmpliFund) and sets up an account</p>	<p>Subrecipient or Successful Applicant submits Special Conditions to DED</p> <p>Subrecipient or Successful Applicant reviews P&amp;Ps and applicable program guide(s)</p> <p>Subrecipient or Successful Applicant uploads applicable files needed for launch</p>	<p>DED and the Subrecipient or Successful Applicant execute contracts associated with project activities</p> <p>Project activities begin</p> <p>DED can submit Request for Funds (i.e., drawdowns) to HUD</p>	<p>Subrecipient or Successful Applicant is under the period of performance</p> <p>Subrecipient or Successful Applicant must submit quarterly reports</p> <p>DED conducts regular monitoring reviews</p>	<p>DED and the Subrecipient or Successful Applicant conduct closeout by completing the following:</p> <ul style="list-style-type: none"> <li>Request Closeout</li> <li>Final reporting (e.g., Financial, Performance Report, Wage Compliance, Planning Product)</li> </ul>