



U.S. DEPARTMENT OF HOUSING AND URBAN DEVELOPMENT
WASHINGTON, D.C. 20410-3000

OFFICE OF LEAD HAZARD CONTROL

POLICY GUIDANCE NUMBER: 2000-02		DATE: March 30, 2000
SUBJECT:	Closeout Procedures for Lead-Based Paint Hazard Control Grants	
STATUS:	Current	
APPLICABILITY:	All grant rounds.	
RELATED GUIDANCES:	Policy guidance 96-02	
COMMENTS:	This guidance supersedes those portions of Policy Guidance 96-02 that relates to final reports and final reporting requirements.	

This letter provides instructions to assist in closing out a lead hazard control grant. As stated in the NOFA and grant agreement, one percent of your grant will be withheld until all tasks are completed and your final report is received and approved by this office. Your final report is due 90 days after the expiration of the grant period. Several tasks must be accomplished to complete the closeout. They are shown below.

Time or Action	Actions by Grantee	Actions by HUD GTR/GO
90 days prior to grant expiration	Determine if grant extension is required (if extension is required, submit request)	Act on requests for extension
Up to 90 days after grant expiration	Submit final report for HUD review and approval Submit final Financial Status Report (SF 269) Submit final Section 3 (HUD 60002) report Submit final invoice for remaining funds	Review final report. Approve or request changes. Notify grantee of final approval. Review final Financial Status Report
Following approval of final report		Pay final LOCCS voucher. Prepare GTR Performance Assessment (HUD 24016). Grant Officer will send closeout letter and grant modification (if appropriate)

If you have additional questions, please call your Government Technical Representative.

Sincerely,

Ellis G. Goldman
Director, Program Management Division

Enclosures

Final Report Outline

The HUD Regulations on Grant Administration provides guidance on performance (and final) reports. That portion of the regulation (24 CFR 85.40 (b) with emphasis added) is provided below

“(b) Nonconstruction performance reports. The Federal agency may, if it decides that performance information available from subsequent applications contains sufficient information to meet its programmatic needs, require the grantee to submit a performance report only upon expiration or termination of grant support. Unless waived by the Federal agency this report will be due on the same date as the final Financial Status Report.

(1) ... The final performance report will be due 90 days after the expiration or termination of grant support. If a justified request is submitted by a grantee, the Federal agency may extend the due date for any performance report. Additionally, requirements for unnecessary performance reports may be waived by the Federal agency.

(2) Performance reports will contain, for each grant, brief information on the following:

(i) A comparison of actual accomplishments to the objectives established for the period. Where the output of the project can be quantified, a computation of the cost per unit of output may be required if that information will be useful.

(ii) The reasons for slippage if established objectives were not met.

(iii) Additional pertinent information including, when appropriate, analysis and explanation of cost overruns or high unit costs.

(3) Grantees will not be required to submit more than the original and two copies of performance reports.

(4) Grantees will adhere to the standards in this section in prescribing performance reporting requirements for subgrantees.”

The Final Report for a Lead Hazard Control grant should summarize all the program activities and accomplishments. Although it is a summary of the grant program activities, it does not have to be long (most are under 20 pages). Because the report serves to summarize the entire grant effort, it should be comprehensive and easily understood. You should expect the reader of the report to be knowledgeable about lead issues but to have no previous exposure to your grant. As such, please include appropriate background information in the report.

Provided below is an outline for a Final Report which you may use. Feel free to add other things which will highlight specific aspects of your grant program.

Lead-Based Paint Final Report Outline

Topic	Discussion of Final Report Content
Overview of Grant Program	
Cover Letter	Cover letter transmitting the final report to the Office of Lead Hazard Control
Summary of Grant	Provide a brief overview of the grant, grant goals, and results. You should discuss the funding, number of units, and significant partnerships. You should also discuss the target areas selected for lead hazard control activities and the objectives and significant accomplishments of the grant effort.
Implementing Title X	Discuss how the efforts funded under the grant have assisted in implementing lead hazard control efforts and awareness in your community. Specifically address programs which have been established as part of the grant program which will continue beyond the life of the grant.
Assessment of Grant Activities	
Assessment of Original Workplan Strategy	Discuss the effectiveness of the strategy in the original grant application or workplan. What aspects required refinement? What was the impact of the changes made on cost, production, or the overall effectiveness of the program?
Schedule	Compare your schedule in the original proposal and workplan with the actual schedule. Address why the schedule changes occurred.
Chronology of Grant Modifications	Please provide a listing of the grant modifications which have occurred over the life of the grant. Include the modification number, the date, and the reason(s) for the grant modification (e.g., time extension to Jan 1999, reduce units from 355 to 320)
Grant Accomplishments	Please provide a summary of the grant activities. You should discuss development of community capacity to address lead hazards, commitment of other funding sources, numbers of children assisted, target area resident jobs created, specific outcome measures such as the reduction in EBL incidence or reduced dust lead in housing, etc. This information will be used to understand your accomplishments.
Units Completed	How many units were inspected? How many units received lead hazard control? Describe a typical hazard control job. Comparing your units completed to the original grant agreement, discuss any differences.
Task and Activity Assessment	Discuss each of the tasks in your workplan. Please summarize the task, the objectives, and what was accomplished. In this discussion you should also address the efforts of your sub-grantees, contractors, and other partners. What were the costs and duration of the tasks? Describe your major implementation problems and how they were addressed.

Assessment of Grant Activities (continued)	
Education and Outreach	Discuss the accomplishments in the area of education and outreach in terms of the specific accomplishments and related to the workplan.
Evaluations or Research	Discuss your involvement with evaluation or research activities. While you do not need to provide a final report for the evaluation or research effort, briefly summarize the goals and significant findings of such efforts.
Final Quarterly Report	The final quarterly report should be developed and submitted as scheduled. It is not necessary to submit a quarterly report with the final report.
Conclusions and Lessons Learned	Discuss how well the effort satisfied the requirements of the grant program and the needs of the community. What lessons has your community learned about lead hazard control that can be used by other grantees (or communities)? What significant changes in the original strategy were necessary?

Expenditures	
Financial Summary	Discuss the costs associated with the various aspects of your grant. You should include information on average costs (total costs, inspection, lead hazard control, other rehabilitation, relocation, and others). We recognize that each grantee situation may be unique; therefore we ask that you discuss the activities associated with each cost and how matching funds were used. The cost summary should be written so that we may extract the costs and scope so others may gauge their costs in relation to your experience. In addition, provide a task and line item (labor, fringe, etc.) financial summary of the categories in your original and revised budgets.. This should include the financial reporting requirements of the quarterly report (SF 269 and Cost Element Breakdown) and reflect both Federal and matching funds.
Matching Funds	Discuss your matching contribution, including the sources of the matching funds and their uses. Please include information on the matching funds process which could be used by other grantees.
Remaining Funds	Discuss any Federal funds remaining on the grant. Federal funds not used will be deobligated after your GTR approves your final LOCCS voucher for payment.

In addition to the written final report, please include photographs showing units (before and after), work in progress, and other items of interest. The Office of Lead Hazard Control may use the images for presentations, displays, or publications. Please provide electronic photos, using the Photo CD (not picture CD) format. If the images are already electronic, JPG format is acceptable as an alternative. Converting or reproducing photos for this purpose is an eligible grant expense.