

# Community Development Block Grant Disaster Recovery (CDBG-DR) Program Grantee Projections of Expenditures and Outcomes

## *Explanatory Guidance for Completing the Template*

### **I. Background**

The Department is requiring CDBG-DR grantees to submit projections regarding the expenditure of CDBG-DR funds over the life of the award, as well as the outcomes associated with planned activities. The purpose of these projections is to allow both HUD and the grantee to evaluate the grantee's progress, and ensure accomplishments are achieved in a timely manner.

To assist grantees in meeting this requirement, the Department has created an Excel template, "HUD Template for Grantee Projections". This guidance can be used to complete that template. Each grantee must submit its projections to the Department in accordance with the applicable *Federal Register* Notice. Some grantees were required by the Notice to submit the projections with the published Action Plan while others were only required to submit projections with the DRGR Action Plan.

The projections must be based on each quarter's expected performance—beginning with the quarter funds are available to the grantee and continuing each quarter until all funds are expended. Note that each grantee is expected to submit revised projections to HUD following program changes that impact projected outcomes, funding levels, and recovery timelines. The grantee should upload the projections in the Disaster Recovery Grant Reporting (DRGR) system with the initial DRGR Action Plan and upload revised projections as necessary.

### **II. Expenditure Projections**

Expenditure projections can be completed using the "Financial Proj" tab in the template. Grantees are encouraged to estimate expenditure projections for three major activity categories—Housing, Non-Housing, and Planning & Administration. Quarterly expenditure projections should be entered in the **GREEN** cells adjacent to the row header titled "Quarterly Projection." This row represents the projected expenditures (i.e., grant funds plus program income disbursements) the grantee anticipates making during each quarter. An example of how to populate the file is provided below:

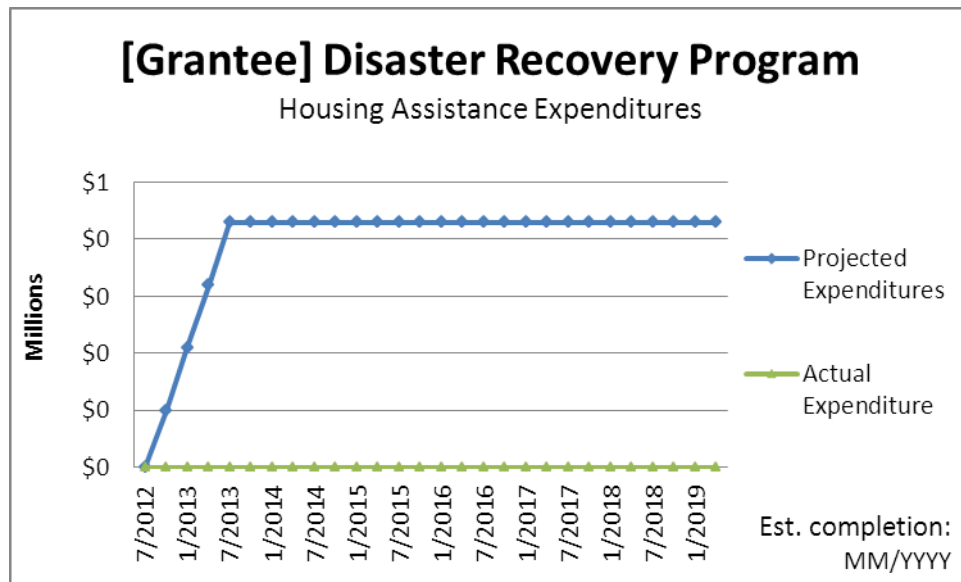
Basic Example – Projecting Housing Expenditures:

- The grantee has 10 housing activities (2 new housing construction, 4 homeownership assistance, and 4 housing repair/rehab activities)
- The grantee anticipates expending \$10,000 for each activity during the 4<sup>th</sup> quarter of federal fiscal year 2012 (FY12 Q4 is the period from 7/1/12 through 9/30/12) (*Note:* FY12 Q4 is represented in the charts as the first month of the following quarter – 10/2012. This will allow the reader to visualize what activity is expected to occur during the previous three months.)
- Enter the total amount (\$100,000) for the expenditures the grantee anticipates occurring during the quarter in the **GREEN** cell below the appropriate column header (10/2012)
- During the next three quarters, the grantee anticipates expending \$11,000 on each of the 10 activities (1/2013, 4/2013, and 7/2013).
- Enter the total amount (\$110,000) for the expenditures that the grantee anticipates occurring during the quarters in each of the GREEN cells below in the appropriate column header (1/2013, 4/2013, and 7/2013) as shown:

Housing	7/2012	10/2012	1/2013	4/2013	7/2013	10/2013
Projected Expenditures	\$0	\$100,000	\$210,000	\$320,000	\$430,000	\$430,000
Quarterly Projection	\$0	\$100,000	\$110,000	\$110,000	\$110,000	\$110,000
Actual Expenditure	\$0	\$0	\$0	\$0	\$0	\$0
Actual Quarterly Expend (from QPRs)	\$0					

- Using this same methodology, continue entering the anticipated expenditures for each quarter until all of the projected funding will be expended under the housing category.

The “Projected Expenditures” row (located immediately above the “Quarterly Projection” row) aggregates the quarterly projected expenditures, and automatically populates the housing chart as shown:



Note: HUD acknowledges that numerous factors, including program size and design, impact expenditure and accomplishment rates. As such, the Department encourages grantees to take these factors into account when developing realistic and achievable projections.

As stated above, the Department has classified activities under three major activity categories for expenditures—Housing, Non-Housing, and Planning & Administration. Thus, **the grantee must estimate expenditures for each of these activity categories**. The below lists illustrate how DRGR activity types are classified by category:

**Housing – DRGR Activity Types commonly identified under the housing category:**

- Acquisition – buyout of residential properties
- Acquisition of property for replacement housing
- Acquisition of relocation properties
- Clearance & Demolition\*
- Construction of new housing
- Construction of new replacement housing
- Debris Removal\*
- Disposition
- Homeownership Assistance (with waiver only)
- Homeownership Assistance to low- and moderate-income
- Rehabilitation/reconstruction of residential structures

- Relocation payments and assistance

**Non-Housing** (*Economic Development, Public Facilities, and Infrastructure*) – DRGR Activity Types commonly identified under the non-housing category:

- Acquisition – buyout of non-residential properties
- Acquisition – general
- Acquisition of buildings for the general conduct of government
- Acquisition, construction, reconstruction of public facilities
- Clearance and Demolition\*
- Code enforcement
- Construction of buildings for the general conduct of government
- Construction/reconstruction of water lift stations
- Construction/reconstruction of water/sewer lines or systems
- Construction/reconstruction of streets
- Debris removal\*
- Dike/dam/stream-river bank repairs
- Econ. Development or recovery activity that creates/retains jobs
- Privately owned utilities
- Public services
- Rehabilitation/reconstruction of a public improvement
- Rehabilitation/reconstruction of other non-residential structures
- Rehabilitation/reconstruction of public facilities

**Planning & Administration** – DRGR Activity Types Include:

- Planning
- Administration

*Note:* Activities marked with an asterisk (\*) are commonly classified as Housing and/or Non-Housing activities. Please select one or the other and remain consistent across all activities.

Last, the “**Total Expenditures**” table sums the Housing, Non-Housing, and Planning & Administrative projections to arrive at the expenditure projection for the entire grant. The cumulative total of the three major categories should equal the total grant amount. No direct action is required to populate this table in the template, as the formulas built into the table will automatically pull data entered in the other tables and populate this table and associated chart.

### **III. Accomplishment Projections**

Accomplishment projections can be completed using the “Performance Proj” tab in the template. Accomplishment projections should be entered for each of the grantee’s activity types (as selected using DRGR). Samples are provided in the template; however, they may need to be modified (or new tables may need to be created) to align with the program areas described in the grantee’s DRGR Action Plan.

Next, the grantee must enter quarterly outcome projections in the **GREEN** cells adjacent to the row header titled “Quarterly Projection” for each activity type. The “Quarterly Projection” row represents the projected accomplishments (i.e. housing units, households benefitting, # of businesses assisted, # of jobs created/retained, linear feet of public improvement, public facilities, etc.) the grantee anticipates completing during each quarter. An example of how to populate the file is provided on the following page.

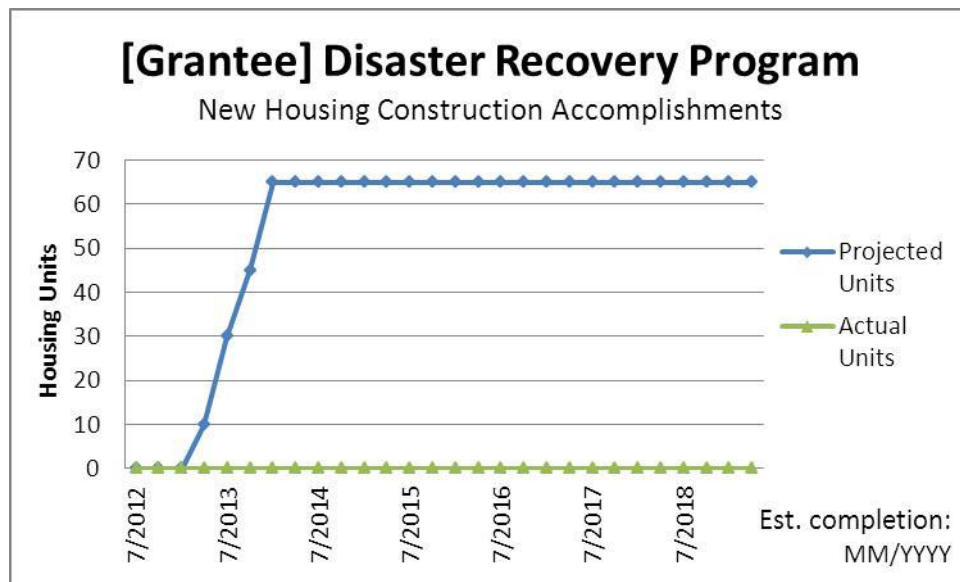
Basic Example – New Housing Construction accomplishments projection:

- The Action Plan contains two new housing construction activities (one meeting the low- and moderate-income national objective and one meeting the urgent need national objective). The grantee anticipates constructing a total of 150 new housing units through the two activities
- The grantee anticipates completing 10 housing units during the 2<sup>nd</sup> quarter of federal fiscal year 2013 (FY13 Q2 = 1/1/13 – 3/31/13) (*Note: FY13 Q2 is represented in the charts as the first month of the following quarter – 4/2013. This will allow the reader to visualize what activity is expected to be completed during the previous three months.*)
- Enter the total number of housing units (10) the grantee anticipates completing during the quarter in the GREEN cell below the appropriate column header (4/2013)
- The grantee anticipates completing 20, 15, and 20 units during the next three quarters (7/2013, 10/2013, and 1/2014).
- Enter the total number of housing units the grantee anticipates completing during the quarters in the GREEN cells below the appropriate column header (7/2013, 10/2013, and 1/2014) as shown:

3 Construction of New Housing	7/2012	10/2012	1/2013	4/2013	7/2013	10/2013
4 Projected Units	0	0	0	10	30	45
5 # of Housing Units (Quarterly Projection)	0	0	0	10	20	15
6 Actual Units	0	0	0	0	0	0
7 # of Housing Units (Populated from QPR Reporting)	0					

- Using this same methodology, continue entering the number of accomplishments the grantee anticipates completing each quarter until it is identified when all of the projected housing units will be constructed.

The “Projected Units” row aggregates the quarterly projected accomplishments (housing units in this example), and this row will automatically populate the New Housing Construction Accomplishments chart as shown:



*Note:* the expenditure and accomplishment tables in the template contain rows with cells highlighted in GRAY. These sections will be used to measure actual progress compared to the provided projections. By exporting Quarterly Performance Report (QPR) data from DRGR to Excel using the Reports Module (MicroStrategy), grantee, CPD Field Office, and HUD HQ staff have the ability to visually compare projections with the data submitted to HUD through the QPR reporting process.

## IV. Sources of Information for Projections

Grantees often enter budgets for groupings of programs by activity category into PROJECTS in DRGR. For state grantees, this often matches their published method of distribution. Grantees enter more specific information on awards to local governments (recipients or subrecipients) for each activity type on Pages 1 and 2 of Edit Activity under the ACTION PLAN module, including information on budgets and start/end dates, and proposed accomplishments. This information is often based on agreements with local governments (classified as recipients or subrecipients). Once entered into DRGR, this information can be exported using Microstrategy in the REPORTS tab.

Budgets and Start/End Dates show on Page 1 of Edit Activity. Performance measures show on Page 2.

In the Reports tab, start and end dates can be viewed with **Admin Rept02b**. Users can group these activities by activity type and category to sum budgets and review start/end dates.

Activity Number	Activity Title	Responsible Organizations	Activity Type	Activity Status	Env Assess Status	Action Plan - Projected Start Date	Action Plan - Projected End Date	Activity Budget (PF+PI)
12-CDBG-DR-010-Passaic	State Admin - Passaic County	New Jersey Department of Community Affairs	Administration	Under Way	EXEMPT	8/27/2011	10/31/2017	\$623,940.00
12-CDBG-DR-011-not Passaic	State Admin - not Passaic	New Jersey Department of Community Affairs	Administration	Under Way	EXEMPT	8/27/2011	10/31/2017	\$155,985.00
12-CDBG-DR-005-HR-UN	Pompton Lakes - Housing Rehab	Pompton lakes Borough	Rehabilitation/reconstruction of residential structures	Planned	UNDERWAY	8/27/2011	10/31/2017	\$233,271.00
12-CDBG-DR-003-HB-LM	Wayne - 2 Home Buyout Activities	Wayne Township	Acquisition - buyout of residential properties	Planned	UNDERWAY	8/27/2011	10/31/2017	\$2,106,620.00
12-CDBG-DR-004-HB-UN	Pompton Lakes - Home Buyout	Pompton lakes Borough	Acquisition - buyout of residential properties	Planned	UNDERWAY	8/27/2011	10/31/2017	\$303,917.00
12-CDBG-DR-006-HB-LM	Little Falls - Home Buyout	Little Falls Township	Acquisition - buyout of residential properties	Planned	UNDERWAY	8/27/2011	10/31/2017	\$2,106,621.00
12-CDBG-DR-007-HB-LM	Paterson - Home Buyout	Paterson City	Acquisition - buyout of residential properties	Planned	UNDERWAY	8/27/2011	10/31/2017	\$2,106,621.00
12-CDBG-DR-008-HB-UN	Woodland Park - Home Buyout	Woodland Park Borough	Acquisition - buyout of residential properties	Planned	UNDERWAY	8/27/2011	10/31/2017	\$867,151.00
12-CDBG-DR-010-HB-UN	Totowa - Home Buyout	Totowa Borough	Acquisition - buyout of residential properties	Planned	UNDERWAY	8/27/2011	10/31/2017	\$947,979.00
12-CDBG-DR-001-PF	Passaic County - Public Facilities	Passaic County	Rehabilitation/reconstruction of a public improvement	Planned	UNDERWAY	8/27/2011	10/31/2017	\$210,662.00
12-CDBG-DR-002-PF	Passaic City - Public Facilities	Passaic City	Dike/dam/stream-river bank repairs	Planned	UNDERWAY	8/27/2011	10/31/2017	\$2,106,621.00

Once entered into DRGR, performance data projections can be reviewed using **Perf Rept02a**. Grantees can sort the data to group similar activity types and then add up key measures across activities. Grantees could use this report to project quarterly estimates based on start and end dates, budgets, and projected accomplishments across activities within each activity category.

	A	R	C	D	F	F	G
1	Perf Rept02a: CUM - Projected vs Cum Totals for Performance Measure Sorted by Resp Org and Activity Type						
2							
3	Responsible Organization	Activity Type	Activity Number	Measure type	Projected	Actual	
4	Pompton Lakes Borough	Rehabilitation/reconstruction of residential structures	12-CDBG-DR-005-HR-UN	# of Households	12	0	
5	Pompton Lakes Borough	Rehabilitation/reconstruction of residential structures	12-CDBG-DR-005-HR-UN	# of Housing Units	12	0	
6	Pompton Lakes Borough	Rehabilitation/reconstruction of residential structures	12-CDBG-DR-005-HR-UN	# of Properties	12	0	
7	Pompton Lakes Borough	Rehabilitation/reconstruction of residential structures	12-CDBG-DR-005-HR-UN	# of Singlefamily Units	12	0	
8	Pompton Lakes Borough	Rehabilitation/reconstruction of residential structures	12-CDBG-DR-005-HR-UN	# Owner Households	12	0	
9	Passaic County	Rehabilitation/reconstruction of a public improvement	12-CDBG-DR-001-PF	# of Linear feet of Public Improvement	208	0	
10	Passaic County	Rehabilitation/reconstruction of a public improvement	12-CDBG-DR-001-PF	# of Persons	951	0	
11	Passaic City	Dike/dam/stream-river bank repairs	12-CDBG-DR-002-PF	# of Persons	67,274	0	
12	Passaic City	Dike/dam/stream-river bank repairs	12-CDBG-DR-002-PF	# of Public Facilities	1	0	
13	Hawthorne Borough	Acquisition - buyout of residential properties	12-CDBG-DR-009-HB-UN	# of Housing Units	3	0	
14	Little Falls Township	Acquisition - buyout of residential properties	12-CDBG-DR-006-HB-LM	# of Housing Units	13	0	
15	Paterson City	Acquisition - buyout of residential properties	12-CDBG-DR-007-HB-LM	# of Housing Units	9	0	
16	Pompton Lakes Borough	Acquisition - buyout of residential properties	12-CDBG-DR-004-HB-UN	# of Housing Units	15	0	
17	Totowa Borough	Acquisition - buyout of residential properties	12-CDBG-DR-010-HB-UN	# of Housing Units	5	0	
18	Wayne Township	Acquisition - buyout of residential properties	12-CDBG-DR-003-HB-LM	# of Housing Units	19	0	
19	Woodland Park Borough	Acquisition - buyout of residential properties	12-CDBG-DR-008-HB-UN	# of Housing Units	3	0	
20	Little Falls Township	Acquisition - buyout of residential properties	12-CDBG-DR-006-HB-LM	# of Parcels acquired voluntarily	13	0	
21	Paterson City	Acquisition - buyout of residential properties	12-CDBG-DR-007-HB-LM	# of Parcels acquired voluntarily	9	0	
22	Pompton Lakes Borough	Acquisition - buyout of residential properties	12-CDBG-DR-004-HB-UN	# of Parcels acquired voluntarily	15	0	
23	Wayne Township	Acquisition - buyout of residential properties	12-CDBG-DR-003-HB-LM	# of Parcels acquired voluntarily	19	0	
24	Little Falls Township	Acquisition - buyout of residential properties	12-CDBG-DR-006-HB-LM	# of Persons	10,854	0	

67