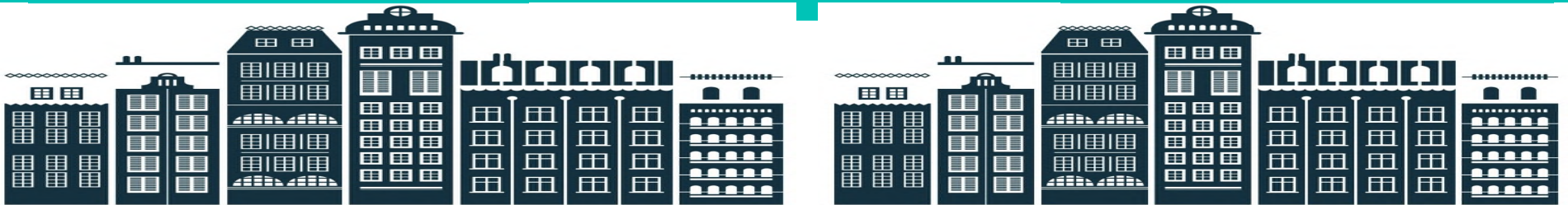


U.S. DEPARTMENT OF HOUSING AND URBAN DEVELOPMENT (HUD)
OFFICE OF LEAD HAZARD CONTROL AND HEALTHY HOMES (OLHCHH)

FY18 PROGRAM MANAGER SCHOOL

2016-2017
MONITORING VISIT
RESULTS/ISSUES

YOLANDA DOMNEY'S AND JONNETTE H. SIMMONS



OMAHA, NE APRIL 30-MAY 3, 2018

OBJECTIVES

- Provide Grantees an overview of an on-site monitoring visit.
- Highlight insights on issues that were identified during the OLHCHH 2016-2017 compliance monitoring site visits, including positive outlooks on how to resolve some of the observations, concerns, and findings.
- Discuss the **Good**, the **Bad**, and the **Ugly** of the compliance monitoring site visits.

INS AND OUTS OF MONITORING

- **Site Monitoring Visits Includes:**
 - Entrance Conference, Meeting with Authorizing Official
 - One on One meeting with Lead Program Manager
 - Review of Project Files and Database
 - Financial Management, Procurement and Review of Records
 - Meeting with sub recipients and partners
 - On Site Project Visit
 - Exit Conference

INS AND OUTS OF MONITORING

- **Project File Review and Unit Tracking Database:**
 - GTR begin reviewing Project Files and Unit Databases
 - For this part of review GTR randomly selects up to 5 folders.
 - GTR looks for items such as household eligibility verification, unit information including LIRAs, Appendix A, scope of work, bidding, contracts, relocation, unit monitoring, and clearances beside other items.
 - GTR and HUD Staff also look at the unit production tracking database that tracks the projects from intake to clearance

INS AND OUTS OF MONITORING

- **Project File Review and Unit Tracking Database (cont'd):**
 - Financial Management and Review of Records
 - Review Contract and Procurement Policy and Standards used
 - GTR meets with the Program's Fiscal staff who prepares and requests drawdowns on regular basis. Usually review the last two drawdowns.
 - GTR reviews the Part-3s, invoices, and all backup documentation.
 - GTR also reviews and confirms the following: Grant Award Spent to date, match eligibility (source and use) match expended to date, how grantee tracks administrative costs, how healthy homes supplemental dollars tracked, etc.

INS AND OUTS OF MONITORING

- **Meeting with sub recipients and partners:**
 - GTR also meets with Sub recipients and partners to discuss their responsibilities
 - On-Site Project Visit and Review –
 - GTR visits at least 2 units in progress and/or 1 completed and cleared unit (GTR will have LIRA, work write up to review during the site visit to the unit)

INS AND OUTS OF MONITORING

○ **Exit Conference:**

- GTR briefly discusses strengths and weaknesses with the Program Manager and program staff (as well as findings, concerns, and observations).
- GTR then meets with the Authorizing Official to discuss in more detail the specific findings, concerns, and observations; and inform them that a report will be provided within 30 days of the monitoring visit.
- The program has an additional 30 days to respond to the monitoring report (it should include actions needed to resolve any findings, concerns, and/or observations)

INS AND OUTS OF MONITORING

- Remember this is not a “**gotcha**” visit, your GTR is here to help you
- The goal of the visit to identify and address root cause issues that are or could impact your performance. We want to take the time to be the subject matter expert, technical assistant and audit specialist to prepare you for challenges and overcome them.

We are a team!

EXEMPLARY RESULTS

- Identifying supplemental resources to assist families enrolled in the LHC grant program with improving their home, health and quality of life.
 - Securing state and local funds to repair hazards that are not eligible for the grant program;
 - Coordinating with foundations, housing and health agencies, community/faith based organizations to provide other needed resources;
 - Educating and training property on lead safe work practices and on-going maintenance.

EXEMPLARY RESULTS

- A comprehensive and well organized web-based housing database or application (app)
 - Allows staff/inspectors to upload all documents (including photos) related to a property from intake to clearance.
 - A multi-user with limited access (password protected) system.
 - An electronic database that includes all units completed through OLHCHH grant program and allows Grantee staff to generate reports for multiple fields and variables related to the OLHCHH grant.
 - Ability to upload and update data in the field.
 - Network with grantees ask questions about their current housing intake, field inspection and reporting system.

TECHNICAL ASSISTANCE

- Experienced OLHCHH staff will review and discuss your program files and procedures with key staff to determine:
 - What procedures and processes can be streamlined;
 - Strategies to increase enrollment, contractor capacity, and unit production;
 - How to identify and prevent issues that may potentially lead to findings

MONITORING RESULTS/ISSUES

- **A few issues that were found during the site visits this past year:**
 - LIRA reports include intact, fair, and poor paint conditions;
 - XRF results are completed by hand and the writing is illegible;
 - Soil sampling is not conducted in bare soil areas;
 - Worksites are not monitored regularly;
 - Grantees are not monitoring sub-grantees;
 - Grantees count dust only units that were paid for by match sources
 - Temporary relocation not fully supported and documented in the files.

MONITORING RESULTS/ISSUES

○ Insights (Cont'd):

- HUD has consistently identified LIRAs that are not in compliance with Policy Guidance 2013-01;
- The paint conditions are now Intact and Deteriorated;
- HUD has webinars archived for staff and firms working with your program to review and gain an understanding of the grant specific requirements; and
- The GTR will work with Risk Assessors to comply with the Policy Guidance.

○ Counting dust only units:

- Remember you cannot count dust only units, the units must have **deteriorate paint conditions** in order to address it with our funding and count it
- There maybe additional testing required to locate the lead based paint hazard.

MONITORING RESULTS/ISSUES

○ Insights (Cont'd):

- Remember it is important to monitor all lead hazard control work to ensure compliance with containment and work is done in a lead safe manner;
- Initial containment should be reviewed and approved by the grantee (i.e., lead supervisor/consultant) prior to work starting and monitored at least twice during the time the work is being conducted; and
- After the worksite has been monitored the Grantee is required to document the files or database of what was observed during the site visit and corrective actions, if applicable.

MONITORING RESULTS/ISSUES

○ Insights (Cont'd):

- Just as HUD monitors your performance, you are required to monitor the performance of your subgrantees;
- Must have measurable goals and a timeline related to the contract/MOU agreement for services;
- It is important to your success that you ensure that your partners are in compliance with the regulations and your policies and procedures; and
- After you monitor your subgrantees issue a report of their performance and/ findings or concerns to the subgrantee leadership.

MONITORING RESULTS/ISSUES

○ Insights (Cont'd):

- State or regional grantees having difficulty getting contractors to bid on projects due to travel constraints and distance.
 - Consider packaging 2 or more projects in one bid to make the travel more economical.
 - Increase activity to build contractor capacity and connect with the local weatherization program and local housing agencies.



○ Questions