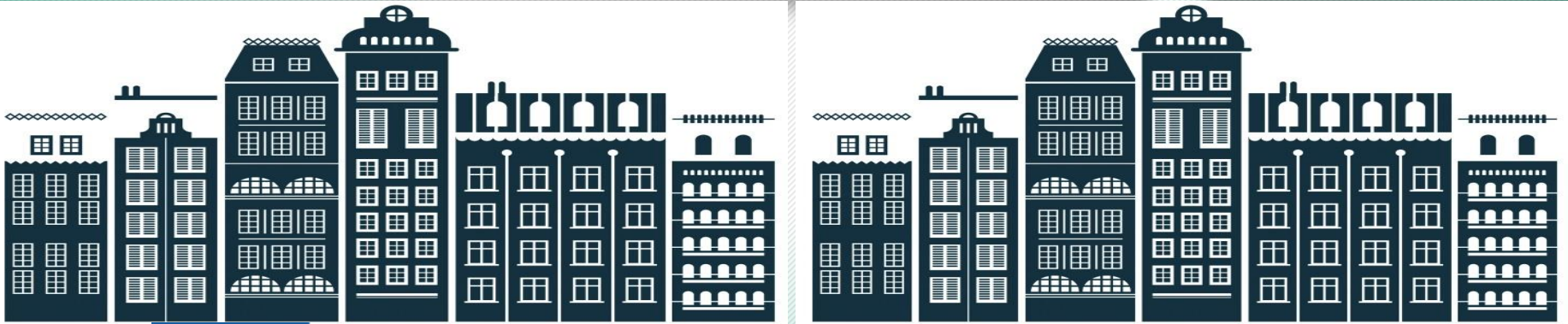


U.S. Department of Housing and Urban Development (HUD)
Office of Lead Hazard Control and Healthy Homes (OLHCHH)

FY2021 NEW GRANTEE ORIENTATION

Grant Monitoring and Oversight

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Government Technical Representatives



VIRTUAL CONFERENCE, MAY 3RD - MAY 14TH, 2021

We will discuss:

- What is monitoring?
- Objectives of monitoring?
- Who monitors?
- Monitoring Tools



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of corporate grants.

Federal Grants come with more red tape than foundation, corporate grants, local government, etc.!



With lots of policies and regulations!

....and because of this, there must be oversight and monitoring.

To Monitor is:

- To watch, check on, observe, supervise, examine, scrutinize, etc.
- Ongoing, Integral management tool
- Insure successful implementation and completion of activities
- Identify program's strengths and weaknesses



**WE'VE BEEN WATCHING YOU
ON THE SURVEILLANCE CAMERA.**

GTR conducts Monitoring & Oversight

HUD OLHCHH

Responsibilities of GTR:

- Check in Calls
- Quarterly Reports
 - Performance Reporting
 - Financial Reports
- Risk Analysis
- On-site Monitoring Visit
- Remote Monitoring

Grantee

Responsibilities of prime recipient:

- Subrecipient
- Contractors
- Partners

Program Monitoring Overview



Every grant must have a program monitoring component and plan.



Grantee has flexibility in designing and implementing their monitoring plan.



OHLHC expects the grantee to monitor the work of all sub-grantees and contractors.



OHLHC holds grantee responsible for all work completed by sub-grantee and contractors.

Evaluation of Sub-Grantees and Sub-Contractors

A formal plan for evaluation that includes a monitoring schedule should be mutually agreed upon by both parties.

OHHLHC expects the grantee to monitor the work of all sub-grantees and sub-contractors.

OHHLHC holds grantee responsible for all work completed by sub-grantee and contractors.

Evaluation of Contractors

- Grantee is expected to ensure contractors are certified as required by grant program (EPA Abatement Firm/Supervisor/Worker)
- Grantee staff should monitor work completed in units.

Ongoing Grantee Monitoring

- **Monitoring of Completed Units**
 - **Ensure ownership does not change during contracted period; 3-5 Years**
 - **Ensure units available to eligible families**
 - **Follow-up visits to check quality of work and owner maintenance over time.**

OLHCHH's Evaluation

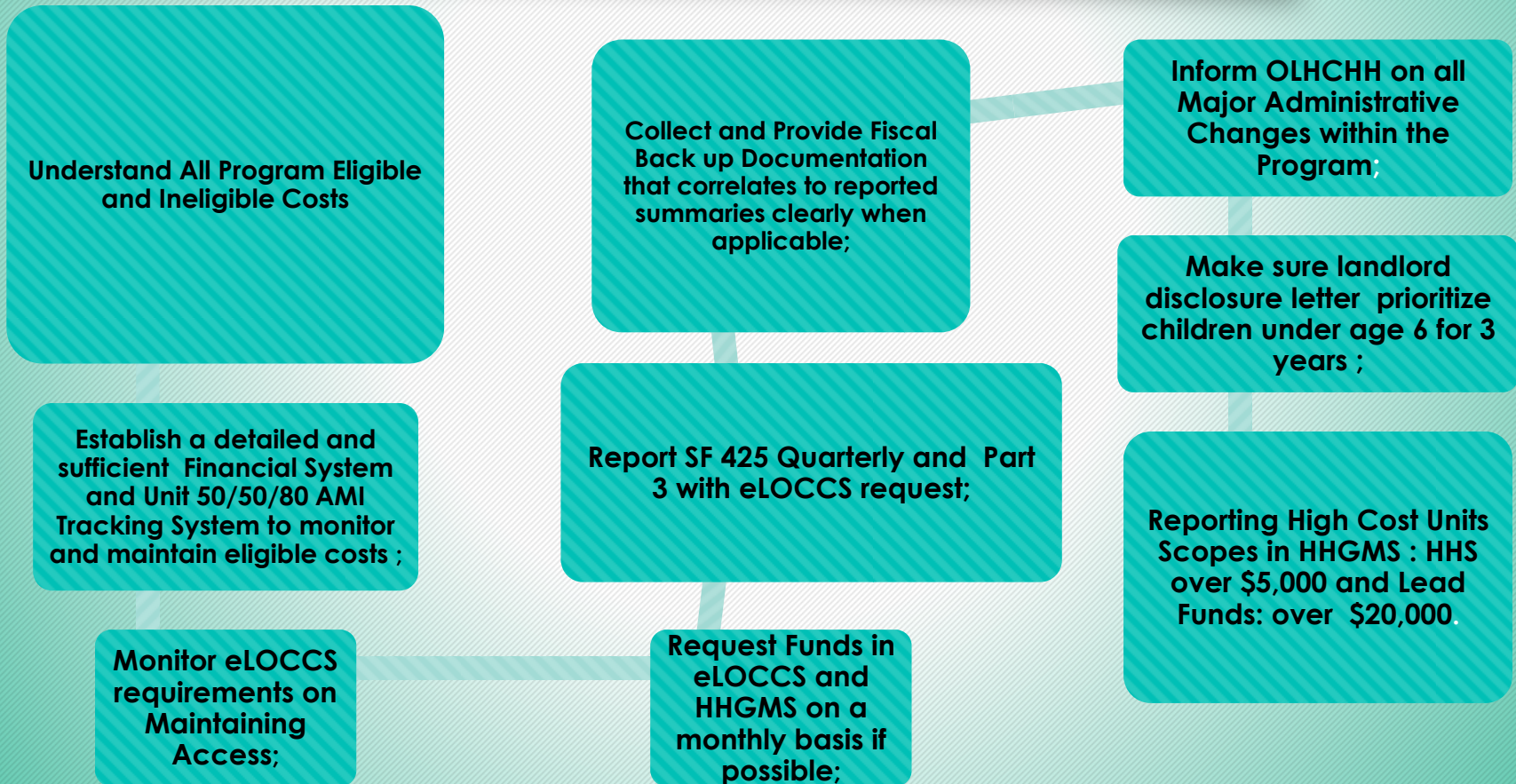
**How
OLHCHH
evaluates
your
program:**

- Quarterly Reports provide HUD with an update on your grant performance;
 - Quarterly Ratings: Green, Yellow, Red Scoring;
 - Pre-High Risk: consistent Yellow designation; and
 - High Risk: 2 consistent Red designations.

Evaluating Program Progress, cont'd

- Grantee needs to track, monitor, and evaluate their processes which includes:
 - Enrollment process, from intake to unit completion
 - Applicant Income Verification Process
 - LIRA, Scope of Work, Bidding, and Proceed Order
- Monitoring is key - know where your bottlenecks are, and work to adjudicate them

Monitoring Checklist



Details on Invoice Submission of Allowable Costs

- Administrative costs should be broken down clearly on the Part 3.
- Invoicing Details of Services is Key (when receiving invoices from contractors make sure they have description of services);
- Ensure to collect supporting documentation for invoice review;
- Match justification for every line and expense;
- Sufficient financial management system to track cost and file invoice data.

Examples of Ineligible Disallowable Grant Costs

- ❑ HOME funds
- ❑ Outdated/No Compliance LIRA (**No Fair Rating, Poor Rating**)
- ❑ No unit related EBL testing (**No outreach blood testing**)
- ❑ No lead hazards within LIRA and services done in Scope of Work (**NO Intact Items Perform**) – **Please see LIRA policy on more details**
- ❑ Roof/Tub Replacements without a justifiable cost related to **Lead and HHS Funding may be applied** (please talk with GTR for justification approval)

Policy References

- Income Verification Guidance - PG 2017-05
- 2019 Determining Subrecipient or Contractor PG 2019-01
- Purpose of Healthy Homes Supplemental Funding PG 2018-01
- Updated eLOCCS Procedures PG 2015-02
- Lead Inspection-Risk Assessment Reporting PG 2013-01
- Clarification of Cost LHRD - 2015-01
- Unit Eligibility - 2014-01
- Timely Provision of Blood Testing - PG 2000-04

- HUD-OLHCHH Website:
http://portal.hud.gov/hudportal/HUD?src=/program_offices/healthy_homes/lbp/lhc

Grantee Startup Resources Include:
Workplan Samples
Benchmark Templates
Relevant Policy Guidance Documents

Your GTRs

Resources

Questions