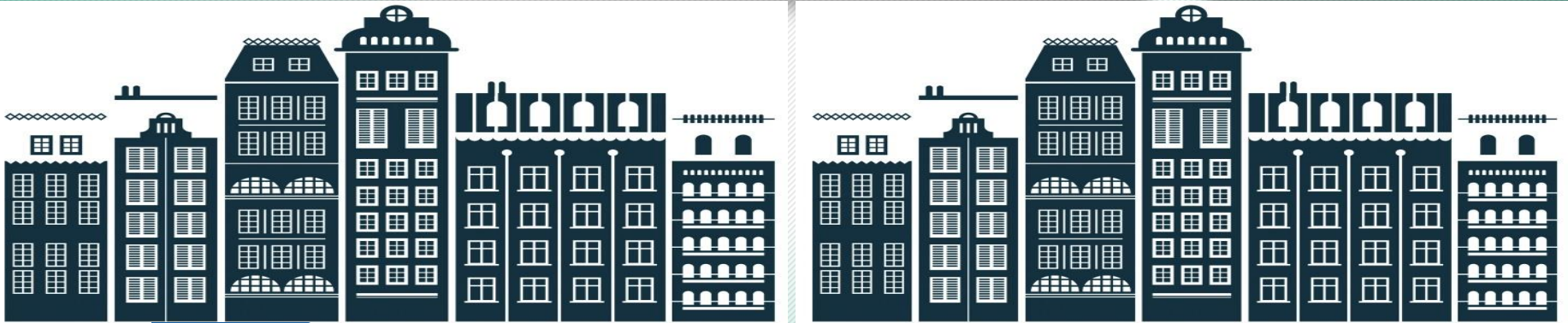U.S. Department of Housing and Urban Development (HUD)
Office of Lead Hazard Control and Healthy Homes (OLHCHH)

FY2021 New Grantee Orientation

Program Management, Reporting and Oversight

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Virtual Conference, May 3rd -June 18th, 2021

A Successful Program is the Goal

- Components of a Successful Program
  - Achieving all benchmarks (assessments, completed units, LOCCS draw downs)
  - Adequate Staff
  - Effective Outreach/Marketing Plan
  - Enrollment/Client Eligibility
  - Successful partnerships
  - Sufficient Contractor Pool
  - Efficient Project work timeline

Evaluating Program Progress

- What are you evaluating?
  - Outreach
    - How many cases are created from outreach efforts and which medium is the most successful; put your efforts into successful methods.
  - Staffing
    - Do you have the right people for the right job and are they putting their best foot forward
  - Enrollment
    - Create a timeline from intake to unit completion
      - How long does it take to complete an application
      - Verify Income
      - Verifying if the family has children under the age of 6 years old etc.

Evaluating Program Progress, cont'd

- Completing the Inspection
    - How long does it take to complete the inspections, risk assessment (LIRA)
    - Scope of work (SOW)
    - Bidding process and issuing the proceed order

Evaluating Program Progress, cont'd

- Sub-grantees or Partners
  - Are your sub-grantees or partners completing their missions to your program effectively and timely

- Contractor Pool
  - Do you have a sufficient contractor pool
  - Are the contractors completing jobs during the allotted timeframe.

Reporting

- Quarterly Reports
- Submitted at the end of each quarter by grantee staff
    - Within 30 days of close of quarter (Next one due by July 30th 2021)
- Submitted through HHGMS and includes narrative and production information
- Reviewed by OLHCHH staff and scored based on achievements toward established quarterly performance benchmarks

Match Reporting

- What is Match?

- Match is the Grantee's contribution to the grant program that can be accomplished using eligible cash or cash equivalents general from non-federal sources and/or value of donated materials, equipment, labor and professional services.

- Grantees must provide match in an amount equal to no less than 10 percent of the total award amount for LHC grants and 25 percent for LHRD grants.

Match Reporting, cont'd

- On a quarterly basis, the grantee should submit their match via the Part 3 and SF-425 form which will be tracked through HHGMS.

- The GTR may recommend the grantee to track match through each voucher draw but at a minimum on a quarterly basis.

- Eligible match resources must be from non-federal sources and may include any state or local government contributions and private contributions.
  - Community Development Block Grant funds (CDBG) are statutorily and considered local funds

Match Reporting, cont'd

- What is not allowed for Match?
- HOME Investment Partnerships Program (HOME)
- U.S. Department of Energy's Weatherization Assistance Program Funds.
- For further guidance you may reference the Policy Guidance PGI-2012-03 Eligibility of Units Counted as Match Contribution; 2 CFR 200.225; 2 CFR 200.230.

Annual Reporting Requirements

- Annual Grant Reports Required for OLHCHH
  - Submit reports for each active grant
  - Submit by January 10th each year
    - Section 3
- http://portal.hud.gov/hudportal/documents/huddoc?id=sec3report14.pdf
      - OLHCHH will provide updates upon resolution of issues with online reporting method
  - Race and Ethnic Data Report
- http://portal.hud.gov/hudportal/documents/huddoc?id=27061.pdf
- Annual Audit (A-133)
  - Provided to OLHCHH upon completion by auditors
  - Typically completed during Summer of the following year

Risk Analysis

- What is a Risk Analysis and Why do we have to report this?

- Each year GTRs conduct Risk Analysis for each of their assigned grants.

- The Annual Risk Analysis is required under the Departmental Management Control Program Handbooks.

- This establishes both quantitative and qualitative risk-based monitoring factors to be used in examining and ranking high-risk activities and grantees.

- It requires that program areas assign an annual risk rating to each grantee through a risk assessment process using the OLHCHH Risk Assessment Worksheet.

Risk Analysis, cont'd

- The assessment and analysis can then be used to establish priorities for monitoring and ensure that the highest-risk grantees be monitored for the following fiscal year.

- The annual Risk Analysis include:
  - Grantee High Risk Designation History;
  - Financial management and oversight;
  - Quarterly Reports;
  - Audits;
  - Previous remote or on-site monitoring results;
  - Other government entities; and
  - Local issues

Final Report

- What is a Final Report?

- A final report is a closeout action required with associated timeframes for the grantee and GTR;

- The Grantee will receive grant close out instructions and close out letter from the OLHCHH Grant Officer, which should be submitted within 90 days prior to grant period of performance end date;

- Following approval of the grantees final report, the grantee will receive a letter of approval of the final report from their GTR and a final HUD 1044 from the OLHCHH Grant Officer.

- Failure to submit a final report within the 120 days from the end of the grant period of performance may result in the grant being administratively closed and all outstanding funds recaptured.

- OLHCHH reserves the right to withhold five-percent (5%) of the Federal award amount pending the receipt and approval of a final narrative report.

Final Report, cont'd

- Grantee will have 120 days to submit the following:
  - Final narrative report
  - Final break-down and justification of budget categories,
    - Direct costs
    - Administrative Costs
    - In-direct cost if applicable
  - Final Status Report (SF-425)
  - Final invoice for Incurred Expenses
  - Final report into the on-line quarterly reporting system (only if additional units were completed and cleared during the close out period)
  - A letter confirming if match commitment was met by listing the source and amount.
- For additional information on Final Report see relevant Policy Guidance:
- http://portal.hud.gov/hudportal/documents/huddoc?id=2020-06.pdf
  - PGI 2020-06 Closeout Procedures for OLHCHH Grantees

Poll Question

- When should you start to evaluate your program?
- Annually
- Once a quarter
- From day one
- Yearly
- Not at all

Oversight

- HOME funds (cannot be used as match)

- U.S. Department of Energy's Weatherization Assistance Program Funds. (cannot be used as match)

- Failure to submit a final report within the 120 days from the end of the grant period of performance may result in the grant being administratively closed and all outstanding funds recaptured.

- Not submitting your SF 425 along with your quarterly report

Resources

- HHGMS
- https://na2.salesforcelcom/home/home.jsp
- HUD-OLHCHH Website
- http://portal.hud.gov/hudportal/HUD?src=/program-offices/healthy-homes/lbp/lhc
    - Policy Guidance PGI-2012-03 Eligibility of Units Counted as Match Contribution;
    - PGI-2012-01 Administrative and Indirect costs;
    - PGI-2015-01 Clarification of Costs for LHRD and LBPHC grant
    - 2 CFR 200.200.225; 2 CFR 200.230.

Your Field Representatives, GTRs, and GOs

Questions

- Any questions?