

# HHP Program Start Up and Capacity Building

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**Healthy Homes Production and Older Adult Home Modification New Grantee Orientation**

# Program Objectives

## Objectives:

- Budget Tracking Documents
- Start Up Activities - Eligible Costs
- Workplan Development Overview
- Procurement Process Standards
- Capacity Building Objectives

# Grant Agreement (HUD-1044)

- Provided at start of grant
- Includes key information related to grant :
  - Grantee information (Address, AO, and PM)
  - OLHCHH staff information (GO and GTR assigned)
  - Award amount
- Needs to be signed by AO and GO
- Updated 1044 is required if any listed information changes (i.e., key personnel, amendments, budget items over 10% etc.)

Assistance Award/Amendment		U.S. Department of Housing and Urban Development Office of Administration	
1. Assistance Instrument <input type="checkbox"/> Cooperative Agreement <input type="checkbox"/> Grant		2. Type of Action <input type="checkbox"/> Award <input type="checkbox"/> Amendment	
3. Instrument Number	4. Amendment Number	5. Effective Date of this Action	6. Control Number
7. Name and Address of Recipient		8. HUD Administering Office	
		8a. Name of Administrator Deb Roane	8b. Telephone Number Grant Services Director,
10. Recipient Project Manager		9. HUD Government Technical Representative	
11. Assistance Arrangement <input type="checkbox"/> Cost Reimbursement <input type="checkbox"/> Cost Sharing <input type="checkbox"/> Fixed Price	12. Payment Method <input type="checkbox"/> Treasury Check Reimbursement <input type="checkbox"/> Advance Check <input type="checkbox"/> Automated Clearinghouse	13. HUD Payment Office	
14. Assistance Amount		15. HUD Accounting and Appropriation Data	
Previous HUD Amount		15a. Appropriation Number	15b. Reservation number
HUD Amount this action	\$ 0		
Total HUD Amount		Amount Previously Obligated	

# Certified Budget Worksheet (HUD- 424CBW)

Form HUD-424-CBW

Completed for each grant during negotiations


Requires approval from OLHCHH for any changes

Tracks all costs associated with your OLHCHH grant

Data from budget will be uploaded to HHGMS grant award page

# Budget Narrative Reminders

*The budget narrative needs to be updated along with budget worksheet throughout the grant life cycle if any changes are made to the budget and submitted in HHGMS through a Grantee Request*



*Budget narrative and budget worksheet adjustment must always stay within direct/admin minimum requirements per policy or budget will not be approved*

# Tracking Budget Documents

OLHCHH has developed a tool that takes the budget lines items from your Certified Budget Worksheet (CBW) to help identify all program cost

Budget tool will calculate percentages for Administrative Costs, Direct Costs, and Match Funding.

Budget tool will create a Part 3 Form for use with LOCCS requests.

- Grantee will be able to track Administrative Costs over time using this Part 3 Form.
- If applicable, leverage contribution is also tracked within the Part 3 Form.
- Grantee will be able to see the total balances for each cost category and the amount remaining over time

Grantee is required to complete the SF-425 Form each quarter.

# Eligible Cost Activities at Start Up

Agreements with Contractors/Subgrantees  
(contract/agreement may be uploaded to HHGMS)



Establish the marketing and educational materials for  
the grant



Start outreach and education of the program

***Eligible Start  
Up Cost  
Activities -  
Continued....***

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Create client applications for program

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Start intake and enrollment of eligible units

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Create assessments and scope of work templates before the Tier I Environmental Review is complete

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Establish flow chart for activities for the grant, allows for tracking of progress to obtain benchmarks

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Start training of contractors to build capacity

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Set up unit file checklist



# HHP Workplan Documents Overview

Benchmarks

Workplan

Policies and  
Procedures  
Components

## Benchmarks (Due within 30 Days)

Grant Number:	Grantee Organization:				
	Q1 Oct - Dec 2015	Q2 Jan - Mar 2016	Q3 April - June 2016	Q4 July - Sept 2016	Q5 Oct - Dec 2016
<b>Paint Inspections/Risk Assessments: 202</b>					
Performance Standard		2%	5%	15%	30%
Work Plan Milestone		4	10	30	60
Actual # to be Completed per Quarter		4	6	20	30
Actual # Completed					
Actual % Completed					
<b>** Units in Progress</b>					
<b>Units Completed and Cleared: 172</b>					
Performance Standard		0%	5%	15%	30%
Work Plan Milestone		0	8	26	51
Actual # to be Completed per Quarter		0	22	17	15
Actual # Completed					
Actual % Completed					
Work Plan Milestone for HHI: 29			2	3	8
Actual # to be Completed per Quarter, HHI			5	5	5
Actual # Completed Quarterly, HHI					
<b>Cumulative LOCCS DRAWDOWNS Grant Award Amount = \$3,231,610.00</b>					
Performance Standard	0	1%	5%	10%	15%
LOCCS Drawdown Work Plan Milestone		\$32,316	\$161,581	\$323,161	\$482,042
Actual LOCCS Drawdown					

### Benchmarks should be:

- Realistic that the goals will be met within months Period of Performance Dates (NO Backloading)
- Achievable with documented program capacity
- Communicated/Shared to all partners and contributors
- Evaluate Benchmarks in HHGMS and communicate timely to GTR needs on any adjustments or updates.

# Work Plan (Due 60 Days Upon Grant Start Up)

- The “what” component of your grant program
- Presents information on grant performance .
- Can be updated (with GTR approval) throughout grant period when program changes acquire.
- The workplan must be submitted into HHGMS after completion.

# Workplan Development (Examples)

## Administrative Tasks

- Hiring a qualified Program Manager or other key staff
- Key staff responsibilities and duties towards the program
- RFP/MOUs for Contractors, Subrecipients and Partners
- Outreach and Enrollment Plan
- Determine Type of Procurement

# HHP WORKPLAN DEVELOPMENT

- Lead Inspection/Risk Assessment of the unit(s) LI/RA (if addressing lead)
- Healthy Homes Assessment (29 Hazards)
- Work Specifications (Lead /HH)
- List of Qualified Contractors
- Bidding the work
- Selecting the contractor/sign contract
- Unit Walkthrough Process
- Ongoing Unit Monitoring and Maintenance

# Polices and Procedures (Due 60 Days Upon Grant Start Up)

- The “how” component of your grant program
- Presents information on grant protocols and practices.  
example items include:
  - Income Verification definition and enrollment document collection process
  - Procurement Selection Criteria
  - Paying Contractors
  - Flow of funds to contractors/sub-grantees
  - Conflict Resolution Plan to Settle Disputes
  - Evaluation plan
    - Including plan to monitor contractors/sub-grantees
- Should be updated (with GTR approval) throughout grant period if any protocols change
- Can be combined with workplan document or separate attachment



# PROCUREMENT STANDARDS OVERVIEW

- Please reference Policy Guidance 2017-04 OHLHCHH Grant Procurement Standards for more in depth details .



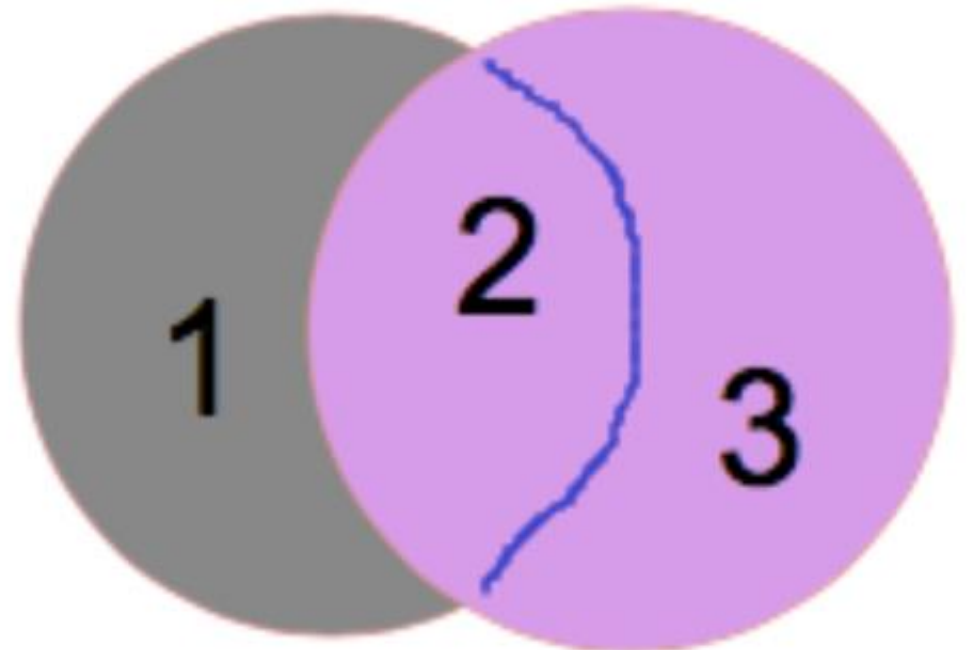
# Methods of Procurement to be followed

## 2CFR§ 200.320

- **Methods of Procurement to be followed**

The non-Federal entity must use one of the following methods of procurement.

- (a) Procurement by micro-purchases.
- (b) Procurement by small purchase procedures
- (c) Procurement by sealed bids (formal advertising).
- (d) Procurement by competitive proposals
- (f) Procurement by noncompetitive proposals.





# GRANTEES RESPONSIBILITIES

<b>Provide</b>	Provide fair and equitable treatment of all persons or firms involved in purchasing.
<b>Assure</b>	Assure that supplies, equipment or services are procured efficiently, effectively, and at the most favorable prices.
<b>Promote</b>	Promote competition in contracting.
<b>Assure</b>	Assure that purchasing actions are in full compliance with 2 CFR §200.317 through §200.326, the Grant Agreement, and OLHCHH's Policies.



## Examples of Common Competition Documentation

Procurement Type Reference <i>OLHCHH Policy 2017-04</i> <i>Procurement Types</i>  GRANTEE MUST SUBMIT THESE DOCUMENTS RELATED TO THE PROCUREMENT TYPE USED	Blanket Purchase Agreement (BPA) Small (Threshold is 150,000)	Blanket Purchase Agreement (BPA) Large (Threshold is above 150,000)	Small Purchase Procedures (Threshold is 150,000 total or less)	Sealed Bids	Competitive Proposals	Non-Competitive Proposals/ Sole Source
<b>Local Procurement Policy (if not already on file)</b>						✓
<b>Invitation for Bids</b>		✓		✓		
<b>Request for Quotes (RFQ)</b>	✓		✓		✓	
<b>Request for Proposals (RFP)</b>		✓		✓	✓	
<b>Evaluation Method</b>	✓	✓	✓	✓	✓	
<b>Selection Criteria</b>	✓	✓	✓	✓	✓	
<b>Bid Sheet Summary</b>	✓	✓	✓	✓	✓	
<b>Draft or actual Contract/Agreement with Award Amounts</b>	<i>Overall BPA Scope and Limitations of use</i>	✓	✓	✓	✓	✓

# Grantee Responsibilities in Contractor Management

- **Internal Controls:** Provide safeguards for maintaining a procurement system of quality and integrity.
- ***Contract Claims and Disputes:*** The Grantee is responsible for good administrative practice and sound business judgment, for the settlement of all contractual and administrative issues arising out of procurements. (2 CFR §200.318(k))
- These issues include, but are not limited to:
  - source evaluation; protests; disputes; and claims.



## PAYMENT TO CONTRACTORS



- **Prompt Payments to Contractors** must adhere to 2 CFR §200.305. The Grantee must make timely payment to contractors in accordance with the contract provisions.
- **Reimbursement:** When the reimbursement method is used, the Grantee must make payment within 30 calendar days after receipt of the billing, unless the OLHCHH or the Grantee reasonably believes the request to be improper (See 2 CFR §200.53, Improper Payments)

# Building Program Capacity



What elements should be taken into consideration?



Staff



Partners- Community



Financial



Contractors



Outreach/ Marketing



Education

# How to Start Building Program Capacity

- Who are your current partners ?
- Identify clients and pipeline for enrollment – how to recruit, where, who, when?
- What contractor capacity incentives can be provided to increase recruitment ?
- Are program staff healthy homes trained properly to create, manage, and monitor healthy homes assessment tools and intervention?
- Start up documents and program reporting done. What's next in building program capacity:

# Program Capacity – Continued

## **How to continue building program capacity?**

- Evaluate the environment/organization routinely
- Constantly monitor Strengths and weaknesses of organization
- Staff Needs/Resources (skill set and number of individuals needed,)

## **Identify capacity building elements.**

- What are continued program components needed to meet benchmark intervals
- Establish Timeline Processes to complete a unit - what, who, how, when, where?

## **. What are the components for a strong program?**

- What partnerships, contractors, subs, and additional support do you need - what, who, how, when, where?

# Communicate Often on Capacity Status

- Communicate often (highs and lows):
- Engage partners quarterly or monthly
- Request monthly status reports
- Identify performance issues early in the process
- Bring partners into the process by evaluating their impact on the program production rate, efficiency, efficacy and sustainability. Let them know their value and impact/ need.
- Provide technical support/ training



# OLHCHH Policies and Resources

1. *Healthy Homes Production NOFO*
2. *Refer to Start Up Templates by Regional GTR*
3. *Other OLHCHH Policies Website:*  
[https://www.hud.gov/program\\_offices/healthy\\_homes/lbp/pg](https://www.hud.gov/program_offices/healthy_homes/lbp/pg)