

Program Management and Grant Reporting

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2022 Healthy Homes Production and Older Adult Home Modification New Grantee Orientation

Content

Setting Up Your Grant Program for Success

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Grant Progress Reporting

HUD Monitoring of Grantee Progress

Helpful Reminders and Tools

Setting Up Your Systems for Success

Understand All Program Eligible and Ineligible Costs as mentioned in OAHMP and HHP NOFO

Establish a detailed and sufficient Financial System to track expenses, and systems

Monitor eLOCCS requirements and maintain your access to prevent termination

PG 2015-02

Meet with all subgrantee, partners, and contractors to discuss program funding

Collect and Provide Fiscal back-up documentation that correlates to your eLOCCS request and the submitted

(Part 3)

Complete Quarterly Report Reporting and Attach Quarterly SF-425 at the bottom to report

Inform OLHCHH on all major administrative and programmatic changes within the Program

Keep necessary recordkeeping of key grant filings

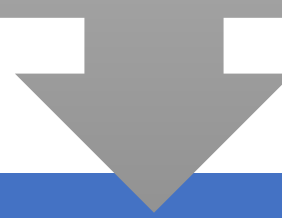
Programmatic Oversight

Grantee must track, monitor, and evaluate their processes which includes:

Enrollment process, from intake to unit completion;

**Applicant Income Verification
Process and source documentation;
and**

**Unit assessment, Scope of Work,
Bidding, and Contracts.**



Monitoring and Oversight is key – know where your bottlenecks are, and work to address them

Programmatic Oversight

Evaluation of Subgrantee, Partners and Contractors

- Every grantee should have a formal plan for evaluation and monitoring that includes expectations, performance measures, and benchmarks
- Grantees are expected to monitor the work of all sub-grantees, partners, and contractors
- Grantees should ensure that contractors have required licenses and certifications to perform the work
- OLHCHH holds grantee responsible for all work completed by sub-grantee and contractors, should review work from start to finish
- Grantee should also touch base with the client to ensure satisfactory work

Programmatic Oversight: Unit Files

Attachment 1: Checklist for Unit Files

Section I – Application for Unit Enrollment

- Application
- Photo Identification (Tenant, Homeowner, or Landlord)
- Household Eligibility Verification (i.e. Local Income Chart)
- Proof of Income Documentation (i.e. check stubs, copy of tax documentation, social security income)
 - What Definition of Income is Your Program Using?
- Confidentiality Releases for 3rd Party Reports (i.e. bank statements, tax documentation, DHHS benefits, social security letter)
 - Verification of the Income
- Lead Pamphlet Sign Off
- Case Notes (communication on production timeline - i.e. intake, risk assessment, procurement, clearance)
- Landlord/Owner Agreement or Disclosure for Vacant Units (if applicable)
 - Prioritizing families with children under six for no less than 3 years following completion of work.

Section II – Property Information

- Verified Deed (follow state or local requirement)
- Tax Receipts (follow state or local requirement)
- Insurance Declaration (follow state or local requirement)
- Tier-II Environmental Review Documentation
 - SHPO Flood

Section III – Medical Information

- Documentation of recent blood level tests of children under 6 or consent for testing (i.e. -Health Department Verification).
- Affidavit Documentation on non-consent of testing children under 6 (if applies)-
 - Some Form of Age Identification Documentation

Section IV – Contracts

- Homeowner Participation Agreement
 - Sign Off on General Conditions

Unit Address:
 Property Type:
 Child(ren) Present:
 AMI Income:

- Owner Accepts Scope of Work
- Relocation Information/Agreement
- Relocation Analysis

Section V – Financial

- Change Orders
- Project Completion Documentation
- Invoices (Partial Payments and Final Payments)
- Match Documentation

Section VI – Lead/Healthy Homes

- Lead Inspection/Risk Assessment Report
 - Unit sketch
 - Dust Wipe Sample Lab Reports
 - Clearance Achievement or Failure Notice
- Health Homes Inspection/Assessment & Healthy Homes Clearance Report
- Any miscellaneous Lead Information
- On-going Maintenance Plan with sign off

Section VII – Project Information

- Scope of Work –
 - Lead Work specifications
 - Healthy Homes Work Specification
- In -House Cost Estimate
- Bidders List
- Request for Proposal
- All Original Bids
- Bid Opening Chart (if required for local procurement standards)
- Pre-Construction Meeting (if required for local program procurement standards)
- Contractor Evaluation Criteria
- Intent to Award
- Occupant Protection Plan
- Monitoring Work Site Documentation
- Abatement Project Notification (follow state or local requirement)
- Notice to Proceed
- Building Permit
- Contractor Licenses/Worker Certificates
- Job Completion photos

Key Dates of Completion

Intake: LIRA: Contract: Clearance: Unit Production Total Days:

Programmatic Oversight: Unit Files

Attachment 2: Electronic Database System

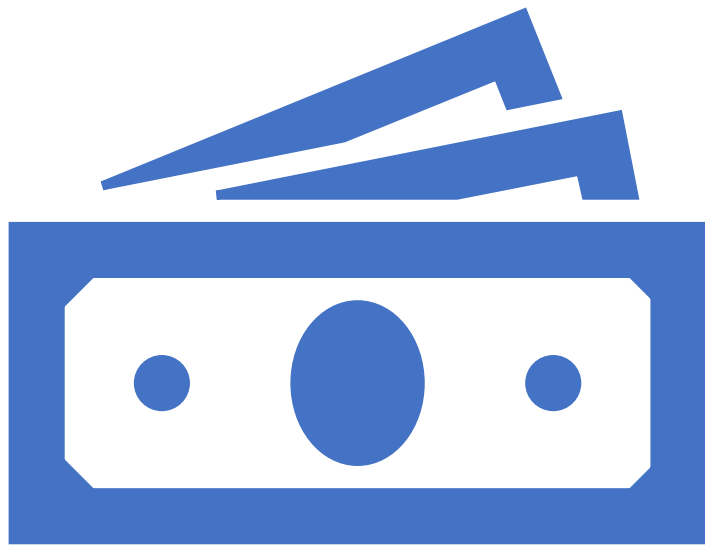
Basic information that grantees should maintain in the database:

- Date of Referral
- Date of initial application or intake
- Date of inspection/assessment (LEAD and HHS)
- Property address
- Age of property
- Multi-family or single-family property
- Owner Occupied or Rental Unit
- Local Income Verification Percentage (50% or 80%)
- Date Relocation Begins
- Date scope of work is completed (Lead and HHS)
- Date for release of bidding information (Lead and HHS)
- Date bids are due/received (Lead and HHS)
- Date the contractor was selected (Lead and HHS)
- Date work began (Lead and HHS)
- Date work is completed (Lead and HHS)
- Date unit achieves clearance
- Dates contractor monitoring was completed
- Cost of the unit
- Types of funding used to cover the costs
- Date of the final invoices are received
- Date of the contractors are paid in full
- Date that the family can return
- Dates of any follow up visits
- Number of children enrolled in program
- Number of units assisted with children or family members with asthma or other health hazards

Financial Management

eLOCCS Drawdowns

- Establish a detailed and sufficient financial system to track expenses for HHP and/or OAHMP programs
- GTR Recommendation is to request funds in eLOCCS and HHGMS on a monthly basis, or at a minimum quarterly
- Any eLOCCS requests greater than or equal to \$100,000 need complete supporting documentation sufficient to justify the request in support of all costs



Financial Management

Federal Financial Reporting Form (SF- 425)

- Must be submitted with the quarterly report on a quarterly basis
- Programmatic staff should work with financial staff to confirm accuracy of financial reporting data

Grant Progress Reporting: Quarterly Reports

- All grantees are required to submit quarterly reports
 - January 1- March 31
 - April 1- June 30
 - July 1- September 30
 - October 1- December 31
- **Quarterly reports are due 30 days after the quarter ends**
- Opportunity to provide HUD (GTR) with strengths and weaknesses regarding grant performance
- Completed Financial Reporting Form (SF- 425) are required with quarterly reports

Grant Progress Reporting: Quarterly Reports

- Quarterly Report Rating System:

Green 100 - 90

Yellow 89 - 71

Red Scoring - below 70

- Consistent red designation scoring on quarterly report may result in High-Risk Designation

Grant Progress Reporting: Quarterly Reports

Other Reporting Requirements

- Race and Ethnicity Reporting (HUD Form 27061)
- Section 3 Reporting Requirements (If applicable)
- Tier One and Tier Two Environmental Reviews
- Federal Funding Accountability and Transparency Act (FFATA)
- Single Audits

HUD Monitoring of Grantees

Check-In Calls

Quarterly Reports

Financial Reports
(eLOCCS Drawdowns
and Financial
Reporting Forms)

Risk Analysis Tools

On-Sight Monitoring
Visit

Remote or Desk
Monitoring

Risk Analysis

- Completed Annually
- Helps determine monitoring schedule
- Identify OAHMP and HHP program strength and weaknesses
- Establishes on-going monitoring
- Review of two (2) complete files (owner and rental)
- Review two (2) draws (under and over \$100,000)
- Uploaded in HHGMS

On-Site Monitoring: Before, During, and After the Visit

Before the Monitoring Visit

- GTR notifies program staff 30 days in advance
- Dates confirmed GTR informs Regional HUD Staff, and the Authorizing Official of upcoming site visit
- Email to Authorizing Official and Program Staff includes letter, Agenda, Fillable Pre-Evaluation Form
- GTR will complete a monitoring at least once during the POP

On-Site Monitoring: Before, During, and After the Visit

During the Monitoring Visit

- **Site visit** - Two properties typically selected by the GTR
- **Entrance Conference** – with the Authorizing Official and program staff to go over visit purpose and agenda
- **Exit conference** - summary which could include findings, Comments and Recommendations

On-Site Monitoring: Before, During, and After the Visit

During the Monitoring Visit Continued

Site Visit Review Feedback

- **Finding(s)** - noncompliance with the statutory or policy requirements of the program
- **Concerns** - points out deficiency in program performance
- **Recommendations** - help improve procedures and practices
- **Comments** - usually are positive such as excellent tracking systems, strong enrollment processes and pipeline, etc.

On-Site Monitoring: Before, During, and After the Visit

After the Monitoring Visit Continued

- Site summary report approximately 30 - 90 days;
- Grantee replies to finding or concern within 45-day; and
- Reviewed and if no other actions necessary the report is closed.

Remote or Desk Monitoring

Remote monitoring is similar on-site monitoring visits

Microsoft Teams will typically be the platform to complete the assessments Entrance and Exit Conferences

After remote monitoring has concluded, a monitoring summary report is provided within 30- 90 days

Grantee replies with resolution(s) if needed, GTR accepts and approved, then remote monitoring visit closed

Helpful Reminders and Key Takeaways

- Keep in constant communication with staff and partners
- Key HUD abreast of any changes related to grant progress, challenges, or concerns
- Key accurate and up-to date recordkeeping for grant materials

Resources

Older Adult Home Modification Program Notice of Funding Opportunity (NOFO)

Healthy Homes Production Notice of Funding Opportunity (NOFO)

HUD Healthy Homes for Healthy Families Home Page

https://www.hud.gov/program_offices/healthy_homes/healthyhomes

Office of Lead Hazard Control Programs Home Page

https://www.hud.gov/program_offices/healthy_homes/lbp/lhc

Policy Guidance 2015-02: Updated eLOCCS Procedure

https://www.hud.gov/sites/documents/201502_UPDATED_ELOCCS.PDF

Policy Guidance 2017-05: Income Verification Guidelines

https://www.hud.gov/sites/dfiles/HH/documents/PG_2017_05_Income_Verification_Guidance.pdf

Policy Guidance 2013-03: Requesting Grant Amendments

https://www.hud.gov/sites/documents/PGI_2013-03.PDF



Questions?