
Processes vs. Systems for Tracking & Analyzing Project Expenditures and Accomplishments

Standardizing and Communicating Reporting Requirements

Identifying Report Format & Frequency

- Common requirements - monthly status reports on beneficiaries, expenditures, accomplishments
 - Construction-specific requirements
 - MBE/WBE, Section 3
 - Procurement
 - Single audit
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LMDC Reporting Matrix

LMDC Reporting Matrix

AT EXECUTION	Exhibit A-1 (or included in Subrecipient Agreement Section 1.C.)	Levels of Performance Performance indicators include target completion dates and are to be monitored on an ongoing basis.
	Schedule C, Attachment C-1	Workforce Employment Utilization Report
	Schedule C, Attachment C-2	MBE/WBE Compliance Report
	Exhibit A-7	Workforce Utilization Report for Section 3 Clause
	Exhibit A-8	Workforce Utilization Report Employees Impacted by September 11, 2001
MONTHLY	Exhibit A-5	Monthly Progress Reports Subrecipient summarizes project status, including progress, any problems, corrective action, subconsultant/subcontractor performance, and levels of performance.
	Schedule C, Attachment C-1 LMDC Construction Contract	Monthly Employment Utilization Report
	Schedule C, Attachment C-2 Construction	MBE/WBE Compliance Report – Construction

LMDC Reporting Matrix (cont.)

QUARTERLY	Schedule C, Attachment C-1 Non-Construction	Workforce Employment Utilization Report
	Schedule C, Attachment C-2 Non-Construction	MBE/WBE Compliance Report LMDC Non-Construction Contract
	Exhibit A-7	Workforce Utilization Report for Section 3 Clause
	Exhibit A-8	Workforce Utilization Report Employees Impacted by September 11, 2001
AS REQUIRED	Procurement Notification	Written or electronic notification to LMDC no later than 5 days prior to posting notification of procurement opportunities
	Request for LMDC approval of a subconsultant/ subcontractor	Written or electronic approval from LMDC is required for each of the Subrecipient's subconsultants or subcontractors prior to engaging their services. <i>Reminder:</i> Subrecipients must pass down regulatory and other required contract provisions to subconsultant/ subcontractor (Subrecipient Agreement, Section X.D.2.c.)
	Insurance	<ol style="list-style-type: none"> 1. Commercial General Liability Insurance 2. Automobile Liability and Property Damage Insurance 3. Workers' Compensation 4. Excess Liability Insurance
	Single Audits	Required of all Subrecipient expending \$500,000 or more in Federal awards during the Subrecipient's fiscal year or as required by OMB Circular A-133. Obtain and review Single Audits. Follow-up on corrective action taken on weaknesses noted in report.

Standardizing Project Files

Documenting Review of Submissions and Compliance

- Checklists for submission of required reports
 - Identification of report issues
 - Documentation of communication
 - Subcontractor issues
 - Documentation of monitoring issues
-

LMDC Monthly Status Reports

Subrecipient: _____ *Project/Program:* _____

LMDC Manager: _____ *Subrecipient Contact:* _____ *Contract #:* _____

1. **Required Reports:** Obtain/review the most recent reports. Indicate report date; initial to evidence review.

Monitoring Reports (Monthly/Quarterly)	Required for Construction	Required for Non-Construction	Report Date	PM's Initials
A-5 (Monthly Progress Report)	Monthly	Monthly	_____	_____
C-1 (Employment Utilization Report)	Monthly	Quarterly	_____	_____
C-2 (MBE/WBE Compliance report)	Monthly	Quarterly	_____	_____
A-7 (Section 3 Workforce Utilization Report)	Quarterly	Quarterly	_____	_____
A-8 (Sept 11 Workforce Utilization Report)	Quarterly	Quarterly	_____	_____

Note: Exhibit A-1 (Levels of Performance) to Subrecipient Agreement is provided as benchmark for Subrecipient's A-5 Monthly Progress Reporting.

2. **Report Issues:** Identify problems or issues related to the above listed monthly reports. Explain action taken or planned to obtain any past due documents including who has been contacted.

LMDC Monthly Status Reports (Cont.)

3. **Meetings and Communications.** Describe the method, date and purpose of significant and/or your most recent communications with the Subrecipient representatives including on-site visits. If not addressed above include results of these communications.

4. **Subcontractor Issues.** Identify subcontractors and their expected contract values. Indicate the date LMDC reviewed and approval the subcontractors. Verify insurance is current and names LMDC as “additional insured”. Also, identify procurement issues.

Subcontractor	E.I.N.	\$ Value	Date Approved	Insurance Expiration	<i>Add'l Insured</i>	Issues

5. **Monitoring Summary.** Summarize the overall project/program status to date and address planned courses of action or targets. Evaluate and summarize the progress made by the Subrecipient towards achieving the Levels of Performance expected since the last review. Specifically, address their success in meeting previously noted targets. Identify project delays or concerns and explain plans to resolve these matters. *(An attachment may be used if additional space is needed).*

Systems for Tracking & Analyzing Project Accomplishments

In-House vs. Commercial Software

- Tracking and analyzing expenditures/ accomplishments for activities across time
 - Aggregating financial and accomplishment data across activities
 - Tracking monitoring across activities
 - Tracking resolution of monitoring and audit findings and question costs
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Formatting Subgrantee Report Data for Entry into Systems

**Quarterly Progress Report
Florida Small Cities Community Development Block Grant Program**

Quarter Ending	Mar	June	Sept	Dec
Local Government	_____			
Contract Number	_____			
Local Contact Person	_____			
Telephone Number	_____			
Email Address	_____			

1	2	3	4	5	6
Activity #	Name of Activity	Unit of Measure	Total Beneficiaries To Date	LMI Beneficiaries To Date	National Objective (specify Low-Mod, Urgent Need or Slum and Blight)

State of Florida – Grant Record Information Tracking System

CDIG Grants Management System
Contracts Edit Reports System Administrator Edit

Contract Master

Home | **Down** | Tracking | **Processing** | Monitoring | Closeout | Comments

Contract: Town of Orange Park

IDIG Number

Requests for Funds Pending Approved	Audits Pending Approved Required Audits
Amendments Pending Approved	Interest PGI Interest PGI
Davis Bacon <input checked="" type="checkbox"/> Applicable? Tracking	Activities Report Close Out Original & Current Line Item Tracking Data & Reports
Total Number of Undup. Beneficiaries	<input type="button" value="+"/> <input type="button" value="X"/> <input type="button" value="K"/> <input type="button" value="L"/> <input type="button" value="R"/> <input type="button" value="P"/> <input type="button" value="A"/> <input type="button" value="B"/>

Tracking Activities

CDBG Grants Management System
 Contracts Edit Reports System Developer Administrator Exit

Line Item Activities

Categories of Activities

Activity Category	DCA Code	IDIS Code
Acquisition	01	01
Asbestos Removal	03R	03R
Catch Basin, Retention Pond	03I	03I
Cleanup of Contaminated Sites	04A	04A
Clearance & Demolition	04A	04A
Code Enforcement	14A	14A
Commercial Rehabilitation	17C	17C
Construction of New Housing	12	12
Demolition	04A	04A
Disposition	02	02
Employment Training	05H	05H

+ Add

✎ Edit

✕ Delete

Click to make a selection and display the category's activities.

Activities Per Category

Activity	U-M	Natl Obj.	Fund Cnt.	Current?
Building Construction (NB)	BLU	LM		Y
Buyouts (EI-Nine)	site	LM		Y
Property Donation	Parcel		141141-05	Y
Site Acquisition (ED)	each	LM		Y

+ Add

✎ Edit

✕ Delete

Tracking Monitoring

Monitoring

Monitoring Visit Information

Monitor: Patrick Howard **Arrival Time:** Desk **Visit:** 04/26/2006 - 04/26/2006

Return to DCA: 04/26/2006	Green Card: / /	Consultant: Robert L. Jones Other Staff: <input type="text"/> Other Staff: <input type="text"/>
Report Due: 05/26/2006	Response Due: / /	
Mailed: 04/28/2006	Response Rec'd: / /	
	Ext. Requested: / /	
	Extended Until: / /	

Early/Late: 28 Early **Early/Late:** 0

Areas Monitored

Area	Finding	Cleared	Concern	Cleared	Comment
Procurement	✓	05/05/200		/ /	Memo

Identification of Key Requirements – Compliance Categories

Contract Master

Names | Admin | Tracking | Processing | Monitoring | Closeout | Comments

Contact: [Field] Hobbes County

All Possible Monitoring Areas	Selected Areas	More Required?
Acquisition Audit Monitoring Commercial Rehabilitation Construction of Community Facility Economic Development Environmental-Fund Release Monitor Environmental-Review Record Fair Housing & Equal Opportunity (FHE)	Activity Filterby	<input type="checkbox"/>

Visits (by Arrival Date)

Address	Action
[Field]	Add
	Edit
	Delete

Status/Acc-Comments for Description & Status Report

Status	Monitor
Open	Fancy Howard

02/14/2008 02/13/2008

[Navigation icons]

Producing Reports from Report and Monitoring Data

- **Grant Information Reports** – Grants by Monitor, Expired Grants, Open Grants, Grants by Time Period
 - **Contracts/ Amendments** – Contract Tracking, Amendment Tracking, Detail by Contract, Line Item Tracking
 - **Labor Standards** – Bids Open, Construction Contracts, Wage Requests
 - **Financial Reports** – Requests for Funds Pending Approval, Payment Records, Funds Drawn
 - **Monitoring Reports** – Never Monitored, Tracking, Reports Not Mailed
 - **Audit Reports** – Received, Cleared, Not Cleared, Response Required, Unresolved
-

Sample Monitoring Profile Report

Contract #: 07DB-3V-09-21-01-Z 01 **Recipient:** Collier County **Contract Period:** 06/20/2007 -06/19/2009
Contract Amount: \$2,339,882.00 **Monitor:** Jennifer Marshall **County:** COLLIER **Close-out Status:** Open
Expenditures: \$11,818.00 **Consultant:** **Contact:** Ms. Marcy Krumbine (239) 774-8097

Coming To Town Letter	Visit Date	Exit Date	Return to DCA	Report Due	Report Approved	Report Mailed	Early/ Late	Green Card	Response Due	Response Rec'd	Early/ Late
	10/11/2007	10/11/2007	11/06/2007	12/06/2007		11/20/2007	16 E				

Monitoring Area	Finding?	Date Cleared	Concern?	Date Cleared	More Required?	Comments
Program Administration	N		Y		N	<p>Concern #3: Review of the Attachment B Work Plans section of the contract indicates that accomplishments and expenditures to date are ninety days or more behind schedule.</p> <p>Requested Action: The County should submit an amendment to the Attachment B Work Plans which more accurately reflects expected progress.</p> <p>Concern #4: The County indicated in their desktop monitoring response that they, and/or sub-recipients, wish to procure professional administrative and/or engineering services to assist with proposed disaster recovery activities. However, no contracts have been executed to date although Section II, Program Conditions, Item 1, Subparagraph F requires such action within 90 days after the grant agreement is executed.</p> <p>Requested Action: If the County and/or sub-recipients intend to procure an administrator or engineer, immediate action should be taken to do so and appropriate documentation thereof must be submitted to the Department in accordance with program requirements.</p> <p>Concern #5: Copies of sub-recipient and/or interlocal agreements have not been submitted to the Department.</p> <p>Requested Action: The County should take immediate action to execute any needed sub-recipient and/or interlocal agreements, and submit the appropriate documentation to the Department in accordance with program requirements.</p>
Financial Management I - System Review	N		Y		N	<p>Concern #1: Documentation of hourly rate or salary for local staff charging administration to the grant was not submitted with desktop monitoring response.</p> <p>Requested Action: The County should submit the applicable information for both Tammy Hammer and Lisa Oien, the local staff charging administration to the grant.</p>