



HUD Office of Housing Counseling

Grant Administration for Oversight Agencies (Intermediary Organizations, State Housing Finance Agencies, and Multi State Organizations)

Oversight of Networks Webinar Series

June 25, 2015

Welcome

- William “Bill” McKee, Deputy Director, Office of Policy and Grant Administration, U.S. Department of Housing and Urban Development (HUD)

Moderator & Presenters

- Moderator
 - **Shawna LaRue Moraille**, ICF International
- Presenters
 - **Aisha Williams**, ADW & Associates, subcontractor to ICF International
 - **Jason Zavala**, MitiGate, Inc., subcontractor to ICF International
 - **Stephanie Williams**, Sr. Housing Program Officer, Office of Policy and Grant Administration, OHC, HUD
 - **E. Carolyn Hogans**, Division Deputy Director, Office of Oversight and Accountability, OHC, HUD

Q and A

- Questions – supported by **Chantel Key**, ICF International
 - **Written Questions Box:** You may enter your question into the question box at any time during the presentation. The questions will be read aloud at the end of each section
 - **Audible Questions:** If listening to the presentation over the phone, make sure to press in your audio pin provided (#xx#). Please raise your hand and we will unmute your line to ask your question.

Q and A (Cont.)

GoToWebinar: Ask Questions



Your Participation

Please submit your text questions and comments using the Questions Panel.

You can also send questions and comments to:

housing.counseling@hud.gov

Note: Today's presentation is being recorded and will be provided within 48 hours. The replay information will be sent out via ListServ.

Webinar Series Overview

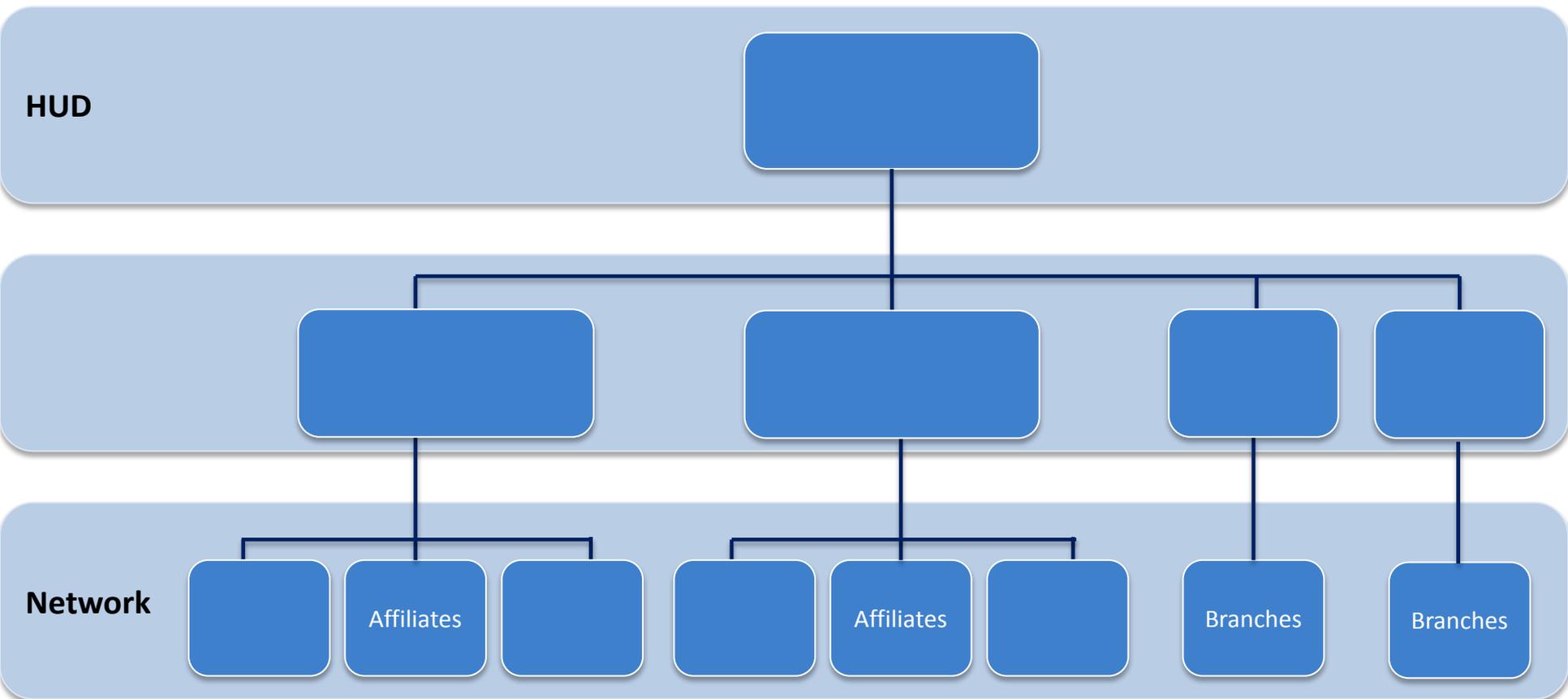
1. Oversight of Networks (10/15/14)
2. Network Monitoring (2/27/15)
3. Grant Administration (Today)
4. Network Agency Eligibility and Evaluation (Upcoming)
5. Right-Sizing Your Network (Upcoming)
6. Performance Reviews (Upcoming)

Today's Webinar Series Agenda

- Part 1: Review
- Part 2: Grant administration basic definitions and key facts
- Part 3: 7 Steps of the grant life-cycle for oversight agencies
- Part 4: Recap and additional resources
- Q & A
- This presentation is intended to help oversight agencies achieve efficiencies in grant administration and implementation. It does **NOT** replace the grant agreement or other webinars concerning grant requirements.

Part 1: Review

HUD-Oversight Agency-Network Relationship Diagram

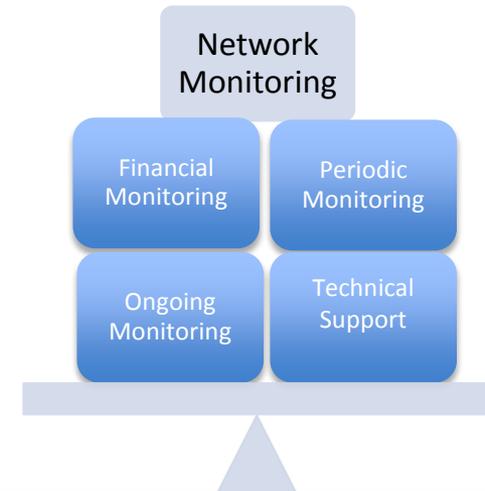


Who are we talking to today?

- Audience
 - Agencies with Oversight Responsibilities
 - Grant administrators at oversight agencies
- Network agencies impacted by today's information
 - Subgrantees (i.e. funded affiliates)
 - Limited alignment to unfunded affiliates

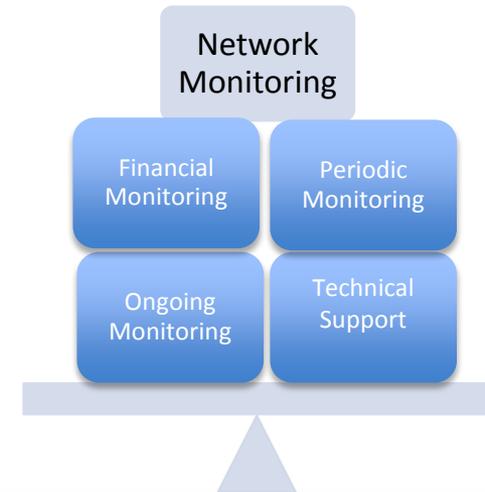
Alignment with Network Monitoring

- Last topic covered in this series
- 4 types of network monitoring: ongoing monitoring (OM), periodic monitoring (PM), financial monitoring (FM), technical support (TS)
- Required and relevant OM and FM activities
 - Collect and review Form HUD-9902s
 - Review counseling and education activities reflected in CMS
 - Collect and verify personnel activity charges and documentation



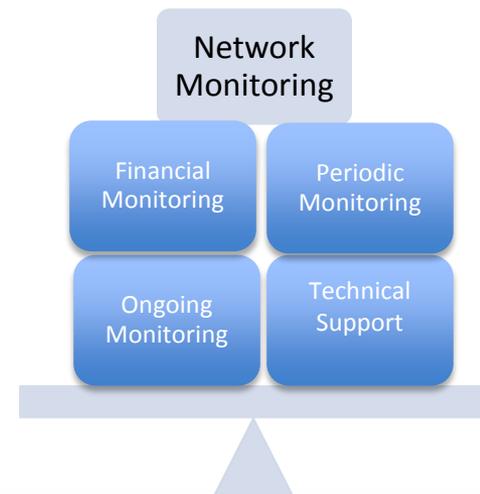
Alignment with Network Monitoring (Cont.)

- Required and relevant OM and FM activities
 - HCS verification
 - Monitor financial performance and use of pass-through funds (i.e. perform accounting of admin costs; verify documentation of expenses)



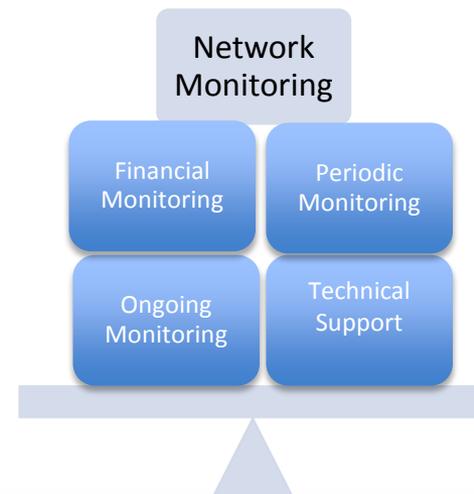
Alignment with Network Monitoring (Cont.)

- Required and relevant OM and FM activities
 - Ensure 2 CFR 200 (Omni Circular) integration
 - Review source documentation of direct and indirect costs
 - Perform accounting for financial performance
 - Review personnel costs and activities
 - OHC and Booth Management Inc. webinar on Omni-Circular Training
http://portal.hud.gov/hudportal/documents/huddoc?id=OHC_OMBCIR050515.pdf



Alignment with Network Monitoring (Cont.)

- Required and relevant OM, PM, FM, TS
 - Providing training
 - Communicate regularly
 - Follow up and follow through
 - Review work plans
 - Develop checklists and document templates (e.g., standard operating procedures (SOPs))



Pop Quiz



- Which of these required network monitoring activities is relevant to grant administration?
 - a. Collect and review Form HUD-9902s
 - b. Review counseling and education activities reflected in CMS
 - c. Collect and verify personnel activity charges and documentation
 - d. Monitor financial performance and use of pass-through funds
 - e. All of the above

Part 2:

Grant Administration Basic Definitions and Important Facts

Grant Administration Basic Definitions

- **Government Technical Representative (GTR)** monitors the grantee's grant agreement performance, pay requests and reports. Performs technical and financial oversight of grantee.
- **Government Technical Monitor (GTM)** monitors the activities of grantee. May be assigned duties by GTR.
- **Point of Contact (POC)** assists with policy and guidance, technical assistance. One or two HUD staff may simultaneously serve as GTR, GTM, and/or POC.
- Housing Counseling Agreement is the NOFA grant agreement
- HUD Handbook 7610.1 REV-5
- HUD Handbook 2210.17, Discretionary Grant and Cooperative Agreement Policies and Procedures, Chapter 5

Grant Administration Basic Definitions (Cont.)

- Housing counseling system (HCS) is a web application used for agency program data
- Client management system (CMS) is used for service data storage and report production
- Electronic Line of Credit Control System (eLOCCS) handles access and draw-downs of grant funds
- HUD-9902 is a report that captures housing counseling activity (submitted quarterly)

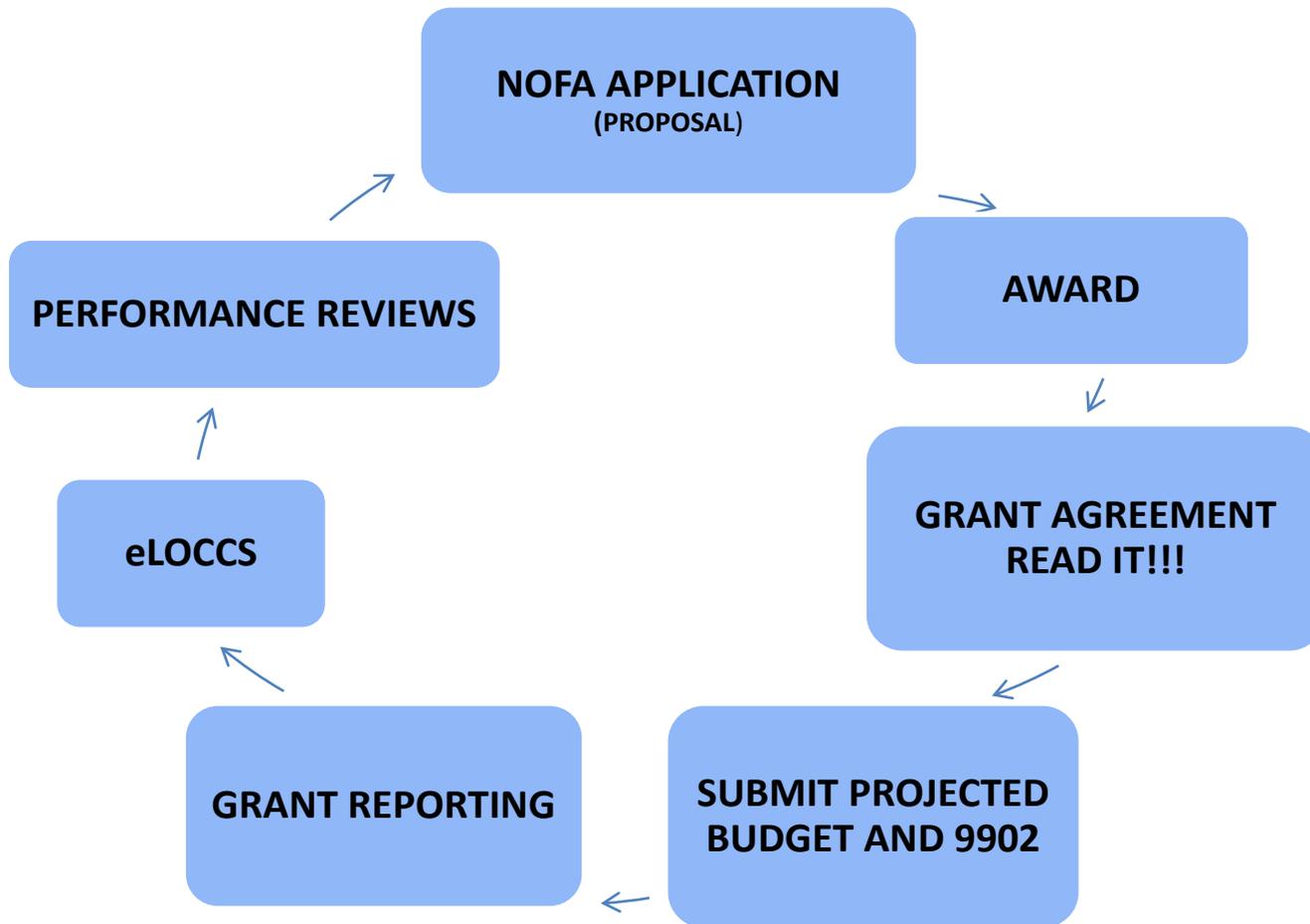
Grant Administration Important Facts

- Implementation occurs through the HUD housing counseling network
- Oversight agencies and their network agencies must manage their own daily program operations based on grant agreement and applicable laws
- Agency with oversight responsibilities accepts responsibility for network production, performance, and compliance under agreement

Part 3:

7 Steps of the Grant Life-Cycle for Oversight Agencies

7 Steps of the Grant Life-Cycle



7 Steps of the Grant Life-Cycle Review Plus Additional Information

1. Application
2. Award
3. Signed Grant Agreements
4. Projected Budget and 9902 (Performance projections)
5. Grant Reporting
6. eLOCCS
7. Performance Reviews

Step 1: NOFA Application

- Critical, defining activities
 - Collect and verify subgrantee application
 - Submit network grant application to HUD
- Tips
 - Verification of subgrantee data:
 - Do units add up?
 - Do units make sense given last year's performance?
 - Does budget support performance?
 - Do activities sufficiently fulfill HUD requirements?

Step 1: NOFA Application (cont.)

- Tips
 - Verify that subs meet/exceed HUD approval or are HUD approved
 - Verify that there are no significant former unresolved compliance issues
 - Grantee application
 - Do numbers add up and align with subgrantee apps?
 - All factors properly addressed?
 - Are all the columns completed?
 - Were narratives completed where there were opportunities?
 - **SUBMIT APPLICATION ON TIME!!!**

Step 1: NOFA Application (cont.)

- Tips

- Accounting Tips:

- Use Budget Form HUD-424-CB to compare value proposition of services across subgrantees

- Non-accounting Tips

- 9906 Chart B: Subgrantee check
 - 9906 Chart G: OA self-check
 - 9906 Charts B & G: Network functioning and grant performance

Step 1: NOFA Application (Cont.)

CHART G.1: INTERMEDIARIES, MSOs AND SFHAs ONLY

For Rating Factor 3, Sub-factor 1(c), in addition to providing a narrative describing network management activities performed as part of the actual FY 2014 work plan, Intermediaries, MSOs and SFHAs must complete Chart G.1, by placing an **X** in **Column B** and the **number** of sub-grantees/ branches in which oversight and quality control activities were performed as part of the actual FY 2014 work plan in **Column C**.

For Rating Factor 3, Sub-factor 2(b), in addition to providing a narrative describing network management activities that will be performed as part of the proposed FY 2015 work plan, Intermediaries, MSOs and SFHAs must complete Chart G.1, by placing an **X** in **Column D** and the **number** of sub-grantees/ branches in which oversight and quality control activities that will be performed as part of the proposed FY 2015 work plan in **Column E**.

• HUD 9906 – Chart G

A	Rating Factor 3, Sub-factor 1 (c)		Rating Factor 3, Sub-factor 2 (b)	
	B	C	D	E

Type of Oversight	
i.	Train and provide technical assistance to sub-grantees
ii.	Monitoring, evaluating and ensuring quality of service including:
	Verifying sub-grantees that are not HUD-approved approval standards.
	Monitoring the grant funded work of sub-grantees throughout the grant year.
	Identifying and rectifying service delivery deficiencies in the network.
iii.	Process sub-grantees' and branches' disbursements
	Requiring and reviewing supporting documentation
	Conducting quality control of disbursement process
	Recording how disbursement decisions are made
iv.	Other (Applicant must list other activities to receive

NOTE: Below is a completed example of Chart B. Complete the blank Chart on Page 2. Applicants proposing to fund sub-grantees and/or branches* must include the number of proposed sub-grantees and branches which will provide the proposed services. *Include branches of sub-grantees.

A	B	C	D	E	F	G	H	I	J	K
EXAMPLE: Housing Counseling Service	Indicate if One-on-One Counseling Provided by Applicant	# of Sub-grantees and/or Branches* that Provided One-on-One Counseling	Indicate if Group Education Provided by Applicant	# of Sub-grantees and/or Branches* that Provided Group Education	Service Will be Provided In Person	# of Sub-grantees and/or Branches* that Will Provide Service In Person	Service Will be Provided Via Telephone	# of Sub-grantees and/or Branches* that Will Provide Service Via Telephone	Service Will be provided Over the Internet?	# of Sub-grantees and/or Branches* that Will Provide Service Over the Internet
Pre-purchase/Home buying	x	5	x	4	x	5			x	2
Resolving/Preventing Mortgage Delinquency or Default	x	5			x	5	x	5		
Home Maintenance and Financial Management for Homeowners (Non-Delinquency Post-Purchase)										
Rental Topics										
Homeless Assistance										
Reverse Mortgage										
TOTAL	2	10	1	4	2	10	1	5	1	2

• HUD 9906 – Chart B



Step 1: NOFA Application (cont.)

- Booth Management webinar reminders
 - Financial cycle
 - Budgets
 - Certifications
 - Disclosures
 - Reporting
 - Acceptable practices

Step 2: Award

- Critical, defining activities
 - HUD awards money to an oversight agency for its network
 - Oversight agency makes sub-awards to subgrantees
- Tips
 - Step 2 (Award) and Step 4 (Budget) go hand-in-hand
 - Adjust production projections after confirming with subgrantees and prior to making final sub-awards
 - Double check: do the projections and budgets align with subgrantee proposed scope of work?
 - Example: # of FTEs perform housing counseling services
 - Do your OA and monitoring activities projections, can they be accomplished on the modified budget?

Step 3: Grant Agreement

- Critical, defining activities
 - Agreement between HUD and the oversight agency
 - Sub-grant agreement between the oversight agency and subgrantee
- Review (sub)grant agreements with all administrators
- Another opportunity to anticipate problems and plan adjustments
- Sub-grant agreements should mirror HUD grant agreements
- Sub-grant agreements should clearly identify sub-grant award, expected units, critical oversight and monitoring activities (e.g. performance reviews, quarterly reports, etc.)

Step 4: Projected Budget and 9902 (Performance Projections)

- Critical, defining activities
 - Submit modified budget and projected counseling and education units based on the amount awarded
- Projected Budget
 - Reallocation of funds by counseling activity and subgrantee
- 9902
 - Checking to ensure numbers make sense given the actual awarded amount vs. the requested amount

Graphic Representation of Relationship Between Steps 2, 3, and 4

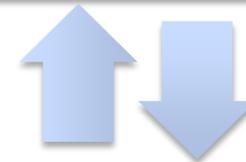
Step 1 of Lifecycle (Application)

- HUD tells Grantees award and funding methodology, factors, and decision criteria
- Grantee (OA) tells HUD and Subgrantees the same information concerning its own process



Step 2 of Grant Lifecycle (Award)

- HUD announces Grantee/OA awards, which are based on factors from step 1
- OA determines sub-grant awards based on factors from Step 1 and Step 4 activities



Step 3 of Grant Lifecycle (Grant Agreement)

- OA signs grant agreement with HUD AND
- OA memorializes with subs what was confirmed in Steps 2 and 4



Step 4 of Grant Lifecycle (Performance Projections)

- OA completes modified budget and 9902 projections based on award notification from HUD and conversations with subgrantees

Step 5: Grant Reporting

- Critical, defining activities
 - Upload 9902 in HCS
 - Submit expenses and documentation
 - Submit narrative (final report)
 - Submit documentation of personnel activities
 - Note: Quarterly reports must be provided even if there is no draw request.
- Tips to use quarterly reporting as a tool
 - Ensure program administration and services occur as projected (9902, budget Chart G from step 1)
 - Performance evaluation analyzes report data

Step 6: eLOCCS

- Critical, defining activities
 - Line of Credit Control System (LOCCS)
 - System used for disbursement and cash management for HUD programs
- the Oversight agency must be registered in e Loccs in order to draw down funds.
- If you're having problems with eLOCCS contact your HUD POC
- Know what's happening with eLOCCS so you're fully aware of what's happening with your grant – don't just leave it to the accounting department

Step 6: eLOCCS

Key Screens (Cont.)



(HA Name)

Grant Information

[Menu](#) [Auth](#)

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Menu → Portfolio → Grant Information

XX43P000501-00 (CFP) Capital Fund Program

[General](#)
[Budget](#)
[Vouchers](#)
[Obl/Exp](#)

✓ **Paid**

	Voucher No	Status	Entered	Amount	Schedule No	Est Deposit Date
1	092-076824	✓	10-28-2002 by e. User	85,605.00	LH9334	10/30/2002
2	092-073229	✓	10-04-2002 by e. User	101,478.00	LH9281	10/08/2002
3	092-067376	✓	09-03-2002 by e. User	81,730.00	LH9183	09/05/2002

	Balance
	0.00
	30,350.20

Line Item	Name	Authorized	Disbursed	Payments in Process	Balance
1465	Dwelling Equip				
1475	Non-Dwelling E				
1495	Relocation Cos				
1502	Contingency				
1406	Operations	25,000.00	25,000.00	0.00	0.00
	03/01/2001 Voucher 092-005165		25,000.00		
1408	Management Improvement	70,000.00	39,649.80	0.00	30,350.20
	11/14/2000 Voucher 092-000707		3,884.00		
	05/24/2002 Voucher 092-052920		35,200.00		
	06/13/2002 Voucher 092-055767		565.80		

Step 7: Performance Reviews

- Critical, defining activities
 - Performance reviews by HUD staff are a formal review of the OA and network agencies
 - Form HUD-9910
 - Financial audits performed by a third party contractor of an OA and network agencies
 - Omni Circular Requirements (2 CFR Part 200)
- OAs should support subgrantees during HUD performance reviews and audits
- OAs should conduct periodic performance reviews as part of network monitoring
 - Pay attention to quality and compliance, not just compliance

7 Steps Review by Organization Type

HUD (Handbook 7610.1 Rev-5)	Oversight Agencies (Agreement and NOFA)	Subgrantee (Handbook, Subgrantee Agreement, etc.)
Creates and reviews application based on OHC criteria (Step 1)	Compiles/writes application (Step 1)	Provides qualifications to OA (Step 1)
Makes award and appoints GTM/GTR (Step 2)	Adjust sub awards and activities. (Step 2)	Accepts or declines subaward after projections discussion with OA (Step 2)
Issues grant agreement (Step 3)	Signs grant agreement with HUD and sub-grant agreements with subgrantees. Maintains procedures, tools, etc. to ensure compliance (Step 3)	Signs sub-grant agreement. Implements housing counseling programs per grant agreement, workplan, etc. (Step 3)
Reviews and approves budget reallocation requests (Step 4)	Discusses projections with subgrantees. Submit projected budget and 9902 (Step 4)	Discuss budget and counseling projections with OA
Reviews CMS, quarterly reporting (Step 5)	Compiles quarterly reporting and review 9902 data (Step 5) Note: Also applies for unfunded affiliates	Prepares quarterly reporting and 9902 data (Step 5)

7 Steps Review by Organization Type (Cont.)

HUD (Handbook 7610.1 Rev-5)	Oversight Agencies (Agreement and NOFA)	Subgrantee (Handbook, Subgrantee Agreement, etc.)
Reviews payments from OAs (Step 6)	Assembles vouchers for HUD. Keeps record of expenses, Client Management Systems (CMS) reporting and HCS reporting. Maintains and implements eLOCCs submissions (Step 6)	Prepares and submits vouchers to OA, keeps records of activities and work performed. Reports activities in CMS (Step 6)
Reviews financial audits (third party contractor performs) and conducts performance reviews (Step 7)	Develops monitoring/Quality Control Plan (prior to step 1). Performs network monitoring and provides feedback to subgrantee as appropriate throughout steps 5, 6 and 7 and anticipates/supports Financial Audits (2 C.F.R. Part 200) and Performance Reviews, fixes compliance areas (Step 7) Note: Also applies for unfunded affiliates	Performs self-monitoring and Performance corrective actions in response to compliance or quality issues (Step 7)



Common Grant Implementation Mistakes

- Grant documents that are required in the grant agreement are not returned to POC
- HUD 424 Budget does not add up to grant amount, leveraged funds are not included, and “other” expenses not detailed on a separate sheet
- Reports aren't signed by authorizing official
- Funds not expended within grant agreement period of performance

Poll Question



- Which of the steps presents the greatest challenge to your agency?
 1. Application
 2. Award, grant agreement, and budget (preliminary steps 2-4)
 3. Grant reporting
 4. eLOCCs and drawdowns
 5. Performance Reviews

Additional Resources

- OMB-related webinars and tools
 - **Financial Grant Reporting Webinar by Booth Management**
http://portal.hud.gov/hudportal/documents/huddoc?id=ohc_fgr042815.pdf
 - **Detailed Budget Form HUD-424-CB**
<https://www.hudexchange.info/resources/documents/HUD-Form-424Cb.pdf>
 - **Capacity Building Toolkit: Overview of Performance Reviews**
http://portal.hud.gov/hudportal/documents/huddoc?id=ohc_npent080112.pdf

Additional Resources (Cont.)

- Prior webinars in this series
 - <http://portal.hud.gov/hudportal/documents/huddoc?id=OHCONP101514.pdf>
 - http://portal.hud.gov/hudportal/documents/huddoc?id=OHC_NMP031315.pdf
- POC Feedback (e.g. compliments)
 - http://portal.hud.gov/hudportal/documents/huddoc?id=OHC_BRIDGE033115.pdf
- FY14-15 Listserv Archives
 - http://portal.hud.gov/hudportal/HUD?src=/program_offices/housing/sfh/hcc/OHC_MSGFY15
- HUD.gov site migrating to the HUD Exchange (more soon!)
 - <https://www.hudexchange.info/>

Wrap Up and Final Q and A

- Final questions?
- Evaluations on this webinar
 - <https://www.surveymonkey.com/s/MF6FW8G>
 - For housing counseling program information, grant information, training and events, counselor resources and to sign up for our listserv: www.hud.gov/housingcounseling
- Questions or comments:
housing.counseling@hud.gov
- Thank you for participating!