

U.S. DEPARTMENT OF HOUSING AND URBAN DEVELOPMENT



HUD Office of Housing Counseling

Oversight of Networks for Intermediary Organizations,
State Housing Finance Agencies,
Multi State Organizations and Local Agencies w' Branches

Webinar Series

October 15, 2014

Welcome

- Cheryl Appline, Director, Office of Oversight and Accountability, Office of Housing Counseling, U.S. Department of Housing and Urban Development (HUD)



Presenters and Q&A Format

- Moderator
 - **Shawna LaRue Moraille**, ICF International
- Presenters
 - **Aisha Williams**, **ADW & Associates LLC**, subcontractor to ICF International
 - **Phyllis Ford**, Office of Oversight and Accountability, HUD
 - **Terri Ames** , Office of Policy and Grant Administration, HUD
 - **Lorraine Griscavage-Frisbee**, Office of Outreach and Capacity Building, HUD
- Questions – supported by **Lee Turner**, ICF International
 - **Written Questions Box:** You may enter your question into the question box at any time during the presentation. We will read the question aloud and answer periodically.
 - **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.

Webinar Series Overview

1. Agency Roles and Responsibilities (today)
 - Definition of Agencies with Oversight Responsibilities
 - Key Responsibilities Introduction
 - Affirmatively Furthering Fair Housing
2. Network Monitoring
 - Performance/Compliance Management (incl. HUD form 9910)
 - Monitoring and Review Strategies
 - Evaluation of Agencies with Oversight Responsibilities

Webinar Series Overview (cont)

3. Network Evaluation and Expansion

- Whether, When, Why, and How to Expand
- Risk Assessment
- Affiliate Evaluation, Onboarding
- Evaluation of Agencies with Oversight Responsibilities

Webinar Series Overview (cont)

4. Grant Administration

- Required activities
- Implementation
- Highlight mitigate poor grant performance/compliance
- Understanding grant agreements and reporting
- Grant monitoring tips
- OMB highlights
- Evaluation of agencies with oversight responsibilities

Webinar Agenda

- Definition of Agencies with Oversight Responsibilities
- Network Monitoring
- Network Evaluation and Expansion
- Grant Administration
- Affirmatively Furthering Fair Housing
- Final Q & A

Defining Agencies with Network Oversight Responsibilities

- Agencies who provide counseling through and oversee a network (i.e. branches, affiliates, or sub-grantees; funded and non-funded)

Who Are Agencies w/ Oversight Responsibilities?

- 4 different types
 - Intermediaries
 - Multi-State Organizations
 - State Housing Finance Agencies
 - Local Housing Counseling Agencies (w/ branches)
- Each have a network of agencies they oversee
 - Covered in next two slides

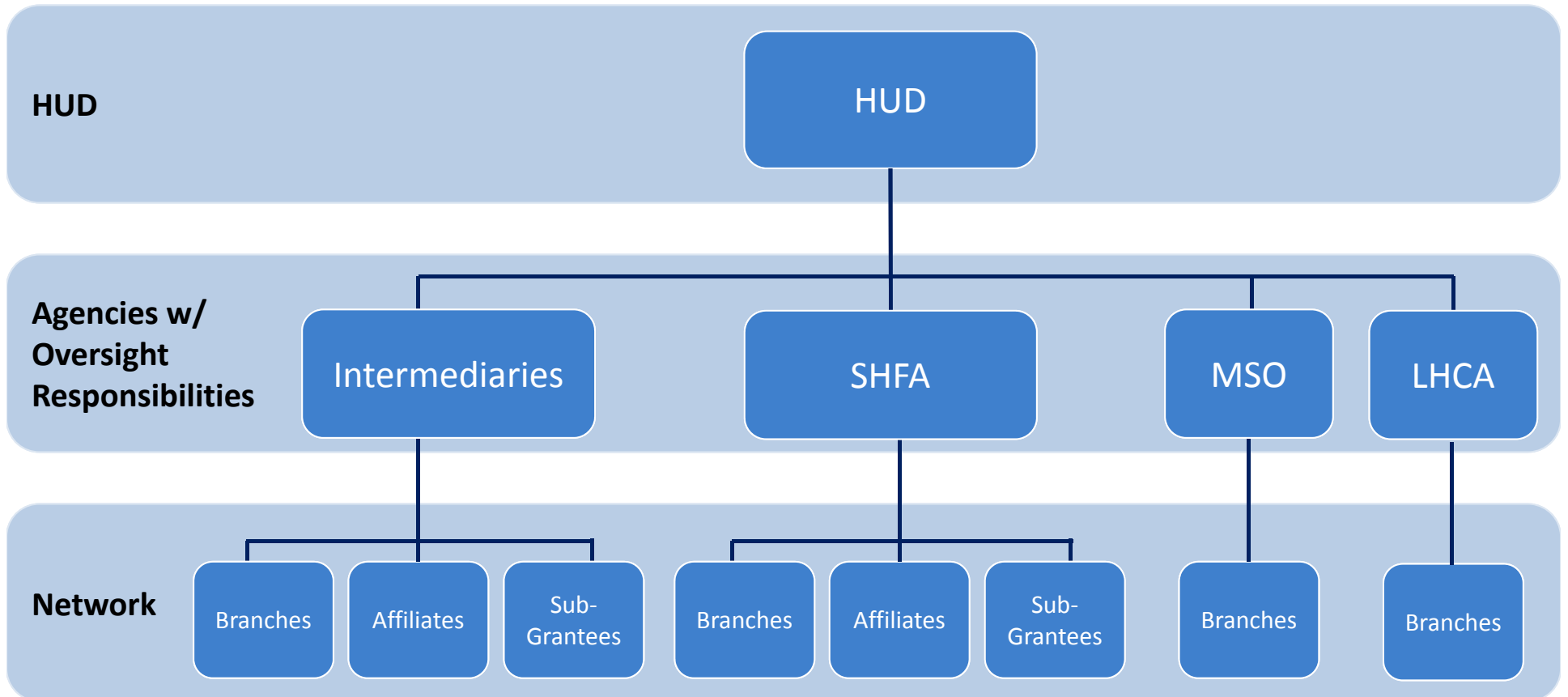
Network Definitions

- Network
 - Branches, Affiliates, and Sub-grantees
 - HUD housing counseling network
- Branch
 - Organizational, subordinate unit of Intermediary, SHFA, MSO, or LHCA
 - Not separately incorporated
 - Cannot be a sub-grantee or affiliate

Network Definitions (cont)

- Affiliate
 - Nonprofit entity in HUD's Housing Counseling Program
 - Separately incorporated
 - Applies to Intermediaries and SHFAs
- Sub-grantee (refer to HUD Handbook)
 - Funded affiliate
 - Cannot be a branch
 - Applies to Intermediaries and SHFAs

HUD-Oversight Agency-Network Relationship Diagram



Poll Question

- Which type of oversight agency is your organization?
 - Intermediary
 - MSO
 - SHFA
 - LHCA (w/ branches)
 - LHCA (no branches)

Key Oversight Activities Defined

- Oversight activities include:
 - Ongoing monitoring
 - Periodic reviews
 - Management support
 - Technical support

Network Monitoring

What is Network Monitoring?

- Ongoing Monitoring
 - Remote/Desk
 - Reporting, regular communication, etc.
 - Formal (9902, PARs) and informal (check ins)
 - Weekly, monthly, quarterly
 - Quarterly and final reports, in between reports
 - HCA services and activities
 - Production, performance, compliance

What is Network Monitoring? (cont)

- Periodic Reviews
 - Remote or onsite
 - Formal, 9910
 - Every 1, 2, or 3 years
 - HCA activities, services, and operations
 - Quality and compliance

What is a Quality Control Plan?

- Quality Control Plan
 - Living document
 - Outlines oversight activities
 - Ongoing monitoring
 - Periodic reviews
 - Management support
 - Technical support
 - Policies, practices, systems and tools

Why Have a Quality Control Plan?

- Define performance and compliance issues
- Describe
 - Identification
 - Evaluation
 - Management
 - Response
- Reduce the likelihood of an event/action that may negatively impact the housing counseling program goals/objectives

Why Have a Quality Control Plan? (cont)

- Identify roles, responsibilities and expectations
 - Agency w/ oversight responsibilities
 - Affiliate, Branches, Sub-grantees
 - HUD
- Encourage transparency, accountability
 - Tell us what you want!
 - Tell us how you want it!
 - Tell us how you'll check it!
 - Tell us how you'll help and respond!

Network Evaluation & Expansion

Before You Expand: Evaluate!

- Oversight Agency and Network (Self) Assessment
 - Are your agency and network ready?
 - What are the risks of expansion?
- Market Study
 - Is there a need?
 - Where is the need?

Before You Expand: Evaluate!

- Network Agencies and Partners
 - Are there qualified existing or potential network member agencies?
 - Are there outside agencies with which to partner?

What is Expansion?

- New communities
 - Current or new markets
 - Supporting affiliate physical or regional expansion
- New Services
 - Programs
 - Program Services

What is Expansion?

- New Service Delivery Methods
 - Using non-traditional methods
 - Increasing use of traditional methods
- Adding new agencies

New Agencies - HUD Eligibility

- Ten Required Criteria
 - Nonprofit and Tax-Exempt Status
 - Experience
 - Fair Housing and Civil Rights Compliance
 - Ineligible Participants
 - Community Base
 - Recordkeeping and Reporting
 - CMS
 - Counseling Resources
 - Knowledge of HUD Programs and Market
 - Services Contracts and Agreements

New Agencies - Network Eligibility

- Recommended Criteria
 - Network Fit
 - Network Expansion Needs
 - Network Risk
 - Oversight Agency Monitoring Capacity
 - Agency Current Membership Status
 - Agency Performance and Compliance Issues
 - Agency Size and Capacity
 - Agency Services

New Agencies - Evaluation Process

- Recommended Steps
 - Application Solicitation
 - Application Review and Evaluation
 - Research and Verification
 - Agency Interviews
 - 2nd Application Review (if applicable)
 - Site Visit or Remote Review

Poll Question

- Is your agency considering expanding its HUD housing counseling network?
 - Yes
 - No
 - Don't know

Poll Question

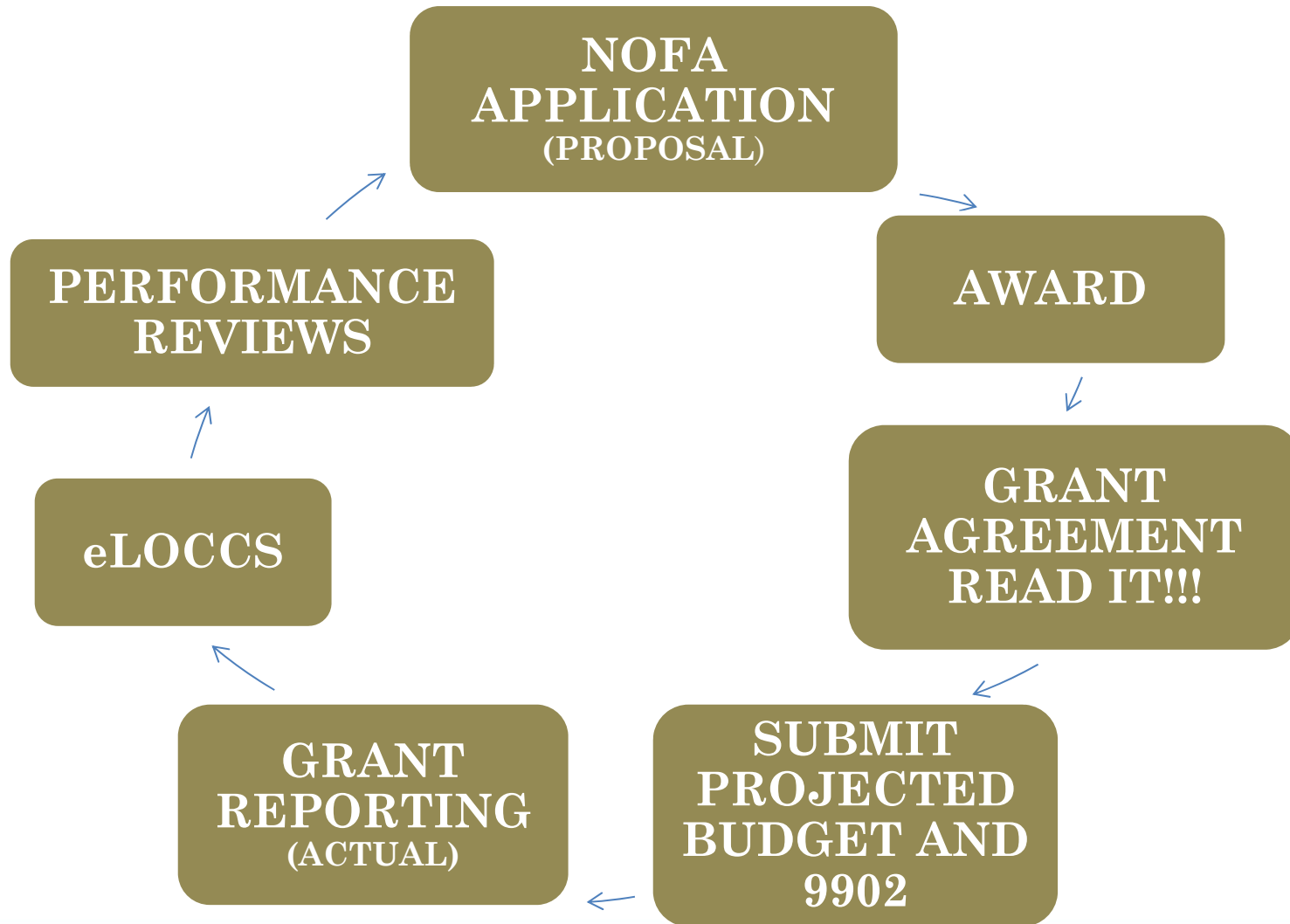
- If your agency considering network expansion, what kind of expansion is being considered?
 - New Communities
 - New Services
 - New Service Delivery Methods
 - Adding Agencies
 - Don't know

Grant Administration

What is Grant Administration?

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

Grant Life-Cycle



Grant Administration – 7 Required Steps

1. Application
2. Award
3. Signed Grant Agreements
4. Projected Budget and Performance projections
 - Sub-allocations to subgrantees
5. Grant Reporting
 - Sub-grantee performance monitoring and evaluation
6. eLOCCS Payment Requests
7. Audits and Performance Reviews

Grant Administration – Additional Tips

- Read grant agreement and grant award letter
 - Eligible activities
 - Reporting timelines
 - Report Requirements
- Provide required documentation within time frames established in grant award letter

Affirmatively Furthering Fair Housing



AFFH & AFHMP

Oversight Agency Responsibilities

- Network agencies have identified impediments to Fair Housing Choice
- Network agencies' activities directly address impediments
- Network agencies' work plans integrate activities
- Clear, realistic goals for activities
- Network agencies' reports and marketing plans properly reflect identified activities
- Evidence of goal achievement

Wrap Up and Final Q and A

- Final questions?
- Thank you for participating! Evaluations on this webinar
 - <https://www.surveymonkey.com/s/6DNTRDQ>
- 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