



U.S. Department of Housing and Urban Development

# **2021**

## **Rural Capacity Building Grant Program**

### **Training and Technical Assistance**

**February 10 – February 11, 2021**

Community Planning and Development

# Agenda – February 10, 2021

- Welcome, Introductions of HUD Staff, Grant Assignments
- Introductions Rural Capacity Building grantees
- 2 CFR 200 Updates
- History and Overview of RCB program
- Operating Instructions and Policy Guidance: Part 1
- No Cost Extension Guidance
- Peer-to-Peer Session
- Operating Instructions: Part 2
- Compliance, Internal Controls
- What to Expect With Grant Management
- Pre-Questions
- General Q&A

	HUD Email	Rural Capacity Building Grantees
<b>Steve Washington</b>	<a href="mailto:Steven.K.Washington@hud.gov">Steven.K.Washington@hud.gov</a>	<ul style="list-style-type: none"> <li>• OPDC Director, Acting Deputy Assistant Secretary of Operations, CPD</li> </ul>
<b>Iyauta Green</b>	<a href="mailto:Iyauta.I.Green@hud.gov">Iyauta.I.Green@hud.gov</a>	<ul style="list-style-type: none"> <li>• Audit Division Supervisor, OPDC</li> </ul>
<b>Aaron Taylor</b>	<a href="mailto:Aaron.A.Taylor@hud.gov">Aaron.A.Taylor@hud.gov</a>	<ul style="list-style-type: none"> <li>• <a href="#">Rebuilding Together</a></li> </ul>
<b>Monica Wallace</b>	<a href="mailto:Monica.M.Wallace@hud.gov">Monica.M.Wallace@hud.gov</a>	<ul style="list-style-type: none"> <li>• <a href="#">National Association for Latino Community Asset Builders (NALCAB)</a></li> </ul>
<b>Diane Schmutzler</b>	<a href="mailto:Diane.M.Schmutzler@hud.gov">Diane.M.Schmutzler@hud.gov</a>	<ul style="list-style-type: none"> <li>• <a href="#">Technical Assistance Collaborative (TAC)</a></li> </ul>
<b>Andrala Walker</b>	<a href="mailto:Andrala.T.Walker@hud.gov">Andrala.T.Walker@hud.gov</a>	<ul style="list-style-type: none"> <li>• <a href="#">Housing Assistance Council (HAC)</a></li> <li>• <a href="#">Rural Community Assistance Corporation (RCAC)</a></li> </ul>
<b>Chandra Broadnax</b>	<a href="mailto:Chandra.M.Broadnax@hud.gov">Chandra.M.Broadnax@hud.gov</a>	<ul style="list-style-type: none"> <li>• <a href="#">Minnesota Housing Partnership (MHP)</a></li> </ul>
<b>Pam Abhyankar</b>	<a href="mailto:Anupama.V.Abhyankar@hud.gov">Anupama.V.Abhyankar@hud.gov</a>	<ul style="list-style-type: none"> <li>• <a href="#">Section 4 Capacity Building grantee</a></li> </ul>

# Introductions – Rural Capacity Building Grantees

Award Recipient	Grant Year	Award	Total
<i>Minnesota Housing Partnership (MHP), Minneapolis, MN</i>	<i>FY 2017</i>	\$2,000,000	\$6,106,093
	<i>FY 2018</i>	\$1,706,093	
	<i>FY 2019- FY 2020</i>	\$2,400,000	
<i>Housing Assistance Council (HAC), Washington, DC</i>	<i>FY 2017</i>	\$1,000,000	\$5,592,473
	<i>FY 2018</i>	\$1,892,473	
	<i>FY 2019 – FY 2020</i>	\$2,700,000	
<i>Rebuilding Together, Washington, DC</i>	<i>FY 2017</i>	\$1,000,000	\$3,400,000
	<i>FY 2019 – FY 2020</i>	\$2,400,000	
<i>Rural Community Assistance Corporation (RCAC), Sacramento, CA</i>	<i>FY 2017</i>	\$1,000,000	\$2,250,000
	<i>FY 2019 – FY 2020</i>	\$1,250,000	
<i>National Association for Latino Community Asset Builders (NALCAB), San Antonio, TX</i>	<i>FY 2018</i>	\$1,401,434	\$1,401,434
<i>Technical Assistance Council (TAC)</i>	<i>FY 2019 – FY 2020</i>	\$1,250,000	\$1,250,000

# **2 CFR 200 Updates**

**Kate Winger**

# History and Overview of the RCB Program

**Pam Abhyankar**



What is RCB

What do RCB grantees do

History of RCB

FY 19/FY 20 RCB Funding Cycle

What is Capacity Building

Clarification on Leverage

Eligible organizations

RCB Eligible activities

Eligible Beneficiaries

Financial Expectations from the NOFO

# History and Overview of RCB

# What is the RCB Program?

- Rural Capacity Building Program for Community Development and Affordable Housing
- \$5 million appropriation each year
- HUD does not tell the grantee what to do or where to do it
- The focus is on the beneficiaries that the grantee will serve





# What Do RCB Grantees Do?

1. RCB grantees are *National Organizations with expertise in rural housing and rural community development.*
2. They enhance the capacity and ability CDCs, CHDOs, *RHDOs, local governments, and Indian tribes* (eligible beneficiaries).
3. RCB grantees help beneficiaries carry out affordable housing and community development activities in *rural areas.*
4. The activities benefit low- and moderate-income families and persons in rural areas.

# History of RCB



- *Annual Funding: \$5,000,000* annually since FY2012
- *Grant Term = 4 years*
- *Minimum Award = \$1,000,000* previously and **1.25 million** this funding cycle
- *Maximum Award = \$2,500,000* previously and **3.25 million** this funding cycle
- ***NO Match Requirement***
- *Leverage Requirement* = The ratio that applicants pledge to achieve in their application with Letters of Firm Commitment.
  - Commitment to a ratio of **20% of the requested grant award** will achieve full points in the application review.

# FY 2019/FY 2020 RCB Funding Cycle

Funds were combined under one NOFA for FY 2019/FY 2020 funding cycle

Grants for the FY 2019/FY2020 cycle were slightly larger

4- year grants

*Minimum Award = \$1.25 million*

*Maximum Award = \$ 3.25 million*

# FY 2019/FY 2020 RCB Funding Cycle

- FY2019 - FY 2020 NOFA are authorized by the Consolidated Appropriations Act, 2019 (Public Law 116-6, approved on February 15, 2019)
- And by the Further Consolidated Appropriations Act, 2020 (Public Law 116-94 approved on December 20, 2019)

# What is Capacity Building ?

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Capacity building is support, investment, or training used to bring an eligible beneficiary to the next level of operational, programmatic, financial, or organizational maturity so it may more effectively and efficiently implement its mission

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A process where eligible beneficiaries retain skills, knowledge, tools, and other resources needed to serve low- and moderate-income families in local communities with increased affordable housing and community development

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A continuous improvement strategy

## Updated Definitions

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**Consultant** -An individual who is tasked with providing valuable and pertinent advice generally drawn from a high degree of broad administrative, professional, or technical knowledge or experience. The grantee must determine whether a consultant is a subrecipient or a contractor.

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**Output** -Deliverables such as products created, grants made, individuals served, or trainings delivered that are usually quantified by number produced, number delivered, number of attendees, etc.

# Updated Definitions – Output/Outcomes

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Outputs do not measure a change in a beneficiary's capacity directly, but they do identify what the grantee has done with the program funds.

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**Outcome-** Results achieved, or benefits derived from the capacity building activity conducted, typically demonstrated by the eligible beneficiary. Some examples include an ability to maintain a full-time paid staff person, increased amount of affordable homes in a beneficiary's portfolio, or success in building the beneficiary's loan portfolio to conduct community development.



- An RHDO an organization that undertakes eligible RCB Program activities
  - a. Is a nonprofit
  - b. Is organized to engage in housing and community development activities focused on the improvement of the physical, economic or social environment of its identified rural geographic area of operation, with particular attention to the needs of persons of low income;

# Updated Definitions – RHDO cont.

- c. Is neither controlled by, nor under the direction of, individuals or entities seeking to derive profit or gain from the organization;
- d. Has, or is actively working to have, standards of financial accountability that conform to 2 CFR 200.302, "Financial Management" and 2 CFR 200.303, "Internal Controls"; and
- e. Is not an agency, department, or instrumentality of a Federal, State, or local government. RHDOs may be organizations that are working to establish themselves as official CDCs or CHDOs.
- f. RHDOs must be organizations that are either currently engaged in housing development as a primary part of their mission, or that are actively working to build their capacity to complete housing development projects.

## Clarification on Leverage in Current NOFO

-Loans made with non-RCB funds that a beneficiary must repay are not considered leverage.

-The RCB Program does not allow Federal sources to be used as leverage.

# What is an Eligible Organization?

1. A single organization;
2. With experience conducting RCB eligible activities with RCB eligible beneficiaries within the last ten years;
3. In at least seven Federal HUD regions. (Having relevant experience working in one state in a HUD region is sufficient for counting that region towards the seven-region minimum); and
4. A 501(c)(3) non-profit, other than an institution of higher education.

## RCB Eligible Activities

- RCB program funds are limited to activities that strengthen the organizational infrastructure, management, and governance capabilities of eligible beneficiaries serving rural areas.
- RCB program funds are not for construction purposes directly.

# 3 Types of Eligible Activities

1. Training, education, support, and advice to eligible beneficiaries serving rural areas
2. Pass-through grants, or other financial assistance
3. Such other activities as may be determined by the grantees in consultation with the Secretary or his or her designee. Currently this is limited to Administration related to grant management.



# Eligible Beneficiaries

1. Eligible Beneficiaries in the RCB program are not Eligible Applicants for the RCB program.
2. Eligible Beneficiaries include:
  - Rural Housing Development Organizations (RHDOs);
  - Community Development Corporations (CDCs);
  - Community Housing Development Organizations (CHDOs);
  - Local governments; and
  - Indian Tribes.
3. Eligible Beneficiaries must serve rural areas.
4. For-profit organizations are not eligible as RCB beneficiaries.
5. State agencies and State-wide organizations are not eligible as beneficiaries of RCB program capacity building activities.

# Financial Expectations from the NOFO

<b>Grant Year</b>	<b>Percent of HUD funds drawn down</b>
FY 14	100%
FY 15	99-100%
FY 16	Greater than 75%
FY 17	Greater than 25%
FY 18	Greater than 0%

**10 MINUTE  
BREAK**



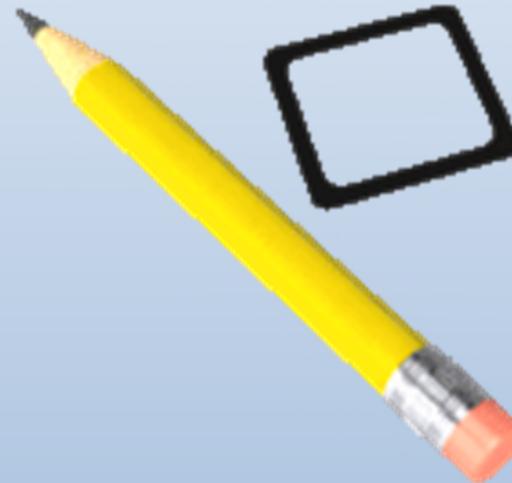
# **FY 2019-FY 2020 Operating Instructions Part 1**

**Diane Schmutzler**

# Operating Instructions and Policy Guidance

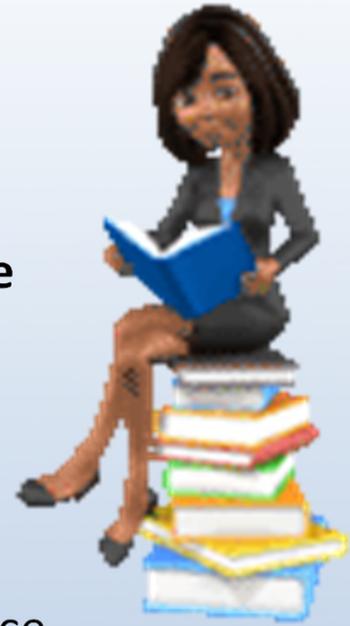
## Governing Program Documents for RCB Grants

1. Relevant Award NOFA/NOFOs
2. RCB Grant Applications
3. Signed RCB Grant Agreements



## **RCB Policy and Procedure Guidance Available**

- Operating Instructions
- Action Plan Guidance
- Action Plan Amendment Guidance
- Performance Reporting Guidance
- CPD Monitoring Handbook Chapter 32
- No-Cost Extension Guidance
- Closeout Guidance



# Operating Instructions

- **Federal Administrative Requirements** (not exhaustive list)
  - **2 CFR Part 200** *“Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards”*
  - **OMB Circular A-133** *“Audits of States, Local Governments, and Non-Profit Organizations.”*
  - **2 CFR Part 2429**, *“Government Requirements for Drug-Free Workplace”*
  - *Compliance with Federal Funding Accounting and Transparency Act of 2006*
  - *The Lead Disclosure Rule (24 CFR 35, Subpart A)*
  - *Executive Orders from the Office of the President*

# Operating Instructions

## General Requirements

- Code of Conduct
- Conflict of Interest
- Availability of Records and Information
- Religious Control or Influence
- Certification and Assurance
- Copyright
- Subawards and Contract Requirements
- Contact Information Updates

\*\*Recent NOFOs, VI.B, contain a hyperlink to a full descriptive list of the Administrative, National, and Department Policy Requirements and Terms for HUD Financial Assistance Awards.



# Operating Instructions

## General Requirements

- *Code of Conduct*
  - Up-to-date copy of grantee’s Code of Conduct must be in HUD’s e-library:  
[https://www.hud.gov/program\\_offices/spm/gmomgmt/grantsinfo/conductgrants](https://www.hud.gov/program_offices/spm/gmomgmt/grantsinfo/conductgrants)
  - If your organization is not listed, forward an electronic copy of the Code of Conduct statement to [askGMO@hud.gov](mailto:askGMO@hud.gov). The email should contain:
    1. Organization DUNS#
    2. Organization Legal Business Name (from SAM.gov)
    3. Complete mailing address
    4. Name, title, email and phone# for the person with executive authority.
    5. Electronic codes of conduct statement (searchable documents preferred)
  
- *Conflict of Interest*
  - “CB grantees must comply and require its subrecipients and contractors to comply with 2 CFR Part 200 as appropriate as well as state and local conflict of interest laws, regulations, and policies applicable to public contracts and procurement practices.”

# Operating Procedures and Policy Guidance

## General Requirements

- *Availability of Records and Information*
  - Grantee must permit, and require its subrecipients and contractors to permit, access to all records pertaining to all matters covered in the grant agreement.
- *Religious Control or Influence*
  - CB grantees must ensure that all activities undertaken pursuant to the executed grant agreement are free of religious control or influence, and that no monies, property, materials or services that are provided under the grant agreement are applied to religious establishment or purpose.

# Operating Procedures and Policy Guidance

## General Requirements

### – *Certification and Assurance*

- CB grantees shall complete, and require its subrecipients and contractors to comply with the following provisions, which are also incorporated into the grant agreement:
  1. Application for Federal Assistance – standard form 424
  2. Assurances and Certifications – form HUD 424-B
  3. Disclosure of Lobbying Activities – standard form LLL

### – *Copyright*

- HUD reserves a royalty-free, nonexclusive, and irrevocable license to reproduce, publish, or otherwise use, and to authorize others to use for federal government purposes: (a) the copyright in any work developed under this grant and subaward or contract awarded under this grant agreement; and (b) any rights of copyright to which a recipient, subrecipient or contractor purchases ownership award funds. (2 CFR 200.315).



# Operating Procedures and Policy Guidance



## General Requirements

### – *Subawards and Contract Requirements*

- The process for selecting subrecipients and contractors must comply with 2 CFR Part 200, as appropriate.
- Prior to commencing work, the grantee must have a contract in place.
- The contract must clearly state:
  - the RCB related work expected to be performed,
  - the expected performance outputs (deliverables) from that work,
  - the period of performance for the contract,
  - the expected number of hours of work, and the hourly rate of pay to be applied.
  - If the pay rate is Fully Loaded or Unloaded
    - » Unloaded = hourly wage rate alone
    - » Fully Loaded = hourly wage rate, fringe benefits, overhead, etc.

# Operating Procedures and Policy Guidance

## General Requirements

- *Subawards and Contract Requirements*
  - “High Rate” contractors
    - RCB Definitions
      - » **Unloaded** - hourly equivalent of the rate paid for the OPM General Schedule Grade 15, Step 10 (based on the locality of the consultant, contractor, or subrecipient’s primary work address)
      - » **Fully loaded** – Greater than \$150 an hour
- Must first complete the CB Program *High-Rate Worksheet*
  - » Submit to RCB grant manager
  - » Do not begin work with the high rate contractor or subrecipient until grant manager approval is obtained.
  - » *High Rate Worksheet* must be saved to the activity in DRGR.

# Operating Procedures and Policy Guidance

## General Requirements

- *Subawards and Contract Requirements*
  - HUD IG Integrity Bulletin, Summer 2016, ***Subrecipient Oversight and Monitoring – A Roadmap for Improved Results***  
[https://www.hudoig.gov/sites/default/files/2019-04/Subrecipient%2520Oversight%2520and%2520Monitoring%2520Integrity%2520Bulletin%2520CPD%5B1%5D\\_0.pdf](https://www.hudoig.gov/sites/default/files/2019-04/Subrecipient%2520Oversight%2520and%2520Monitoring%2520Integrity%2520Bulletin%2520CPD%5B1%5D_0.pdf)

*“Under 2 CFR Part 200, grantee monitoring of subrecipient activities is required to ensure that*

- 1. Subawards are used for authorized purposes, in compliance with Federal statutes, regulations, and the terms and conditions of the subaward, and*
  - 2. Subaward performance goals are achieved.*
- *When no monitoring or insufficient monitoring occurs, the grantee may risk losing HUD funding.*
  - *Regulations at 2 CFR Part 200 require grantees to establish and maintain effective internal controls for themselves and ensure that their subrecipients do the same.*
  - *One way a grantee can develop internal controls is by designing an effective monitoring process.”*

# Operating Procedures and Policy Guidance

## General Requirements

### – *Subawards and Contract Requirements*

- Federal Funding Accountability and Transparency Act of 2006 (FFATA)
  - Report all subawards and executive compensation for awards greater than \$25,000
  - Federal Subaward Reporting System (FSRS) at [www.fsrs.gov](http://www.fsrs.gov)

# Operating Procedures and Policy Guidance

## General Requirements

### – *Contract Information Updates*

- Notify grant manager of any changes in contact information, including key personnel
- Changes must be documented in an updated SF-424, except for changes in Activity staff
  - This should be documented in DRGR.



# **Do You Need More Time? No-Cost Extension Guidance**

**Monica Wallace**



# RCB Grantee No-Cost Extension

What is a No-Cost Extension

No-Cost Extension Criteria

Why would a grantee need a No-Cost Extension?

Submitting a No-Cost Extension

# What Is a No-Cost Extension?

- Grant recipients may submit a one-time no-cost extension (NCE) to request an extension of up to 12 months on their project during the final year of funding. A no-cost extension is to ensure completion of the originally approved project, or to permit an orderly phase-out of a project.



# Why Would a CB Grantee Need a No- Cost Extension?

- A CB Grantee might need a no-cost extension of the project period if they have not completed approved activities of their project and still have unspent (un-obligated) Federal funds that could pay for completing the activities.
- You may request an extension if the following conditions apply to your activities:
  - You do not need additional funds from HUD's CB program.
  - Your original approved activities/workplan, including any previously approved changes in scope, will not change.
  - You need additional time to ensure adequate completion of the originally approved work plan.

# Capacity Building Grantee No-Cost Extension Guidance

CB funds must be committed to action plan activities before a grant extension can be considered, and grant extensions cannot be requested to fund new activities.



CB grantees may not implement the requested amendment during the time of the amendment review and prior to receiving written approval from HUD.



If the grant extension request is approved, grantees are required to update any affected Action Plan activities through the amendment process prior to the original expiration date of the CB grant.



During the period of the grant extension, the grantee may not change the scope or scale of Action Plan activities but may make reasonable budget adjustments through the Action Plan activity amendment process.

# Submitting a No-Cost Extension

When submitting a no-cost extension request, grantees must submit a written request, on the grantee's letter head, signed by the authorized official. Additional documentation and/or explanation may be required. HUD shall review amendment requests and make the determination of approval or denial of the requests.

Extensions of the grant agreement termination date will only be considered on a case-by-case basis and must be submitted no less than thirty (30) days prior to the grant agreement expiration date.



# Submitting a No-Cost Extension

- Once the grant manager receives the no cost extension request, a review will take place for allowable costs and activities and will ensure all required documents have been submitted.
- The grant manager will review the request to ensure that the activities proposed are within the approved scope of your workplan and will assess performance issues that may have contributed to unspent funds over the project period.



**APPROVED**

**REJECTED**

- We have 30 days to review and act on your extension request. If we approve your request, you will receive an amendment to your grant award with the new workplan and budget period end dates. If we do not approve your request, we will notify you by letter.



# **RCB Peer Exchange**

## **Andrala Walker**

# RCB Peer Exchange Process



- Three grantees will speak at each session.
- Each grantee will have 5 – 6 minutes to respond to the question.
- Each grantee will introduce its organization (mission, where it's headquartered, and the geographic areas served). Also, share the names of key program personnel for the RCB grant. (Quickly! 😊)
- Attendees will be encouraged to use the Chat to ask questions or respond to your comments.
- OPDC will moderate any questions/comments.

What are the top one or two capacity-building needs your organization is seeing in the rural communities you serve?

## RCB Peer Exchange, Part 1





# **FY 2019-FY 2020 Operating Instructions**

**Diane Schmutzler**

# Operating Procedures and Policy Guidance

## Program Specific Procedures

- *Conduct of Work*
  - DRGR Action Plan Activities
    - “Work Plan Guidance”
  - “CB grantees must have HUD approval for an activity in its Action Plan before the grantee may commence activity implementation, expenditure of funds, and grant fund drawdown, with the lone exception for needed administrative costs required to build out the initial Action Plan submission.”
    - Outline for all activities with 6 months.
    - All RCB funds committed to approved activities by 36 months
    - “Action Plan Amendment Guidance”

# Operating Procedures and Policy Guidance

## Program Specific Procedures

### *Conduct of Work*

- Performance
  - CB Grantees must monitor their performance to meet:
    - Leverage requirements
    - Projected outputs
    - Projected outcomes
    - Schedule, on track
    - Compliance
  - Let us know if you are experiencing delays or adverse conditions!

“HUD’s emphasis is on preventing and correcting problems before they develop into serious obstacles to program implementation and/or completion.”



# Operating Procedures and Policy Guidance

## Program Specific Procedures

### *Conduct of Work*

- Performance
  - Period of Performance
    - Activities must be completed within the Period of Performance for each grant award.
    - Each RCB grant award is its own RCB program, with its own Performance expectations.
    - Activities that are scheduled to occur outside of the Period of Performance cannot be begun or funded with that grant year's funding.
  - Grant Termination
    - “In accordance with the provisions contained in 2 CFR Part 200, HUD reserves the right to terminate any grant, temporarily suspend payments, or to take other actions any time prior to the expiration date of the grant agreement, in the event that a recipient materially fails to comply with any of the terms of the executed grant agreement.”

# Operating Procedures and Policy Guidance

## Program Specific Procedures

### Reporting Requirements

- Semi-Annual Reports
  - Use the Reporting Guidance – completed in DRGR
  - Due 30 calendar days after the semi-annual reporting period end date
  - Must be approved by HUD
  - Complete and submit as an attachment the Federal Financial Report (SF-425), and it must match DRGR financial figures.
  - SF-425, Narrative, and the budget must be consistent.
  - In addition to basic financial and performance reporting, this is a chance to “tell your story”.
    - Describe the activities
    - Successes!
    - Causes for delays or budget changes



# Operating Procedures and Policy Guidance

## Program Specific Procedures

*Record-Keeping Requirements – grantees, subrecipients, and contractors.*

- General Records
- Capacity building and technical assistance activities conducted
- Direct financial assistance



# Operating Procedures and Policy Guidance

## Program Specific Procedures

*Record-Keeping Requirements – grantees, subrecipients, and contractors.*

- *General Records:*

- Connection to the RCB program Objectives
- Activity Eligibility
- Determination of and confirmation of beneficiary eligibility
- Process for selecting subrecipients and contractors
- Physical inventory of equipment acquired with RCB funds

# Operating Procedures and Policy Guidance

## **Program Specific Procedures**

*Record-Keeping Requirements – grantees, subrecipients, and contractors.*

*- CB and TA activities:*

- Process for selecting beneficiaries
- ID of beneficiaries served
- Assessed needs for assisted beneficiaries
- Group learning specifics:
  - Dates, times, activity log, attendance log, list of trainers, Evaluations, materials, follow-up evaluations.

# Operating Procedures and Policy Guidance

## Program Specific Procedures

*Record-Keeping Requirements – grantees, subrecipients, and contractors.*

*- Direct Financial Assistance:*

- RFP processes
- Detailed description of RCB activity
- Financial contracts, agreements, reimbursements, outputs, outcomes
- Grants: number and size of the grants
- Loans: Total number, type of loan, loan amount, program income procedures



# Operating Procedures and Policy Guidance

## Fiscal Procedures

- General expectation of an expenditure rate of 25% per year.

1. Request for Reimbursement (RFR) process
2. General Fiscal Policies and Procedures
  - Budget changes, Indirect costs, Eligible and ineligible expenditures, Allocation of Expenditures, Audits, and Program Income
3. Financial Management Systems
4. Accounting Records

# Operating Procedures and Policy Guidance



## Fiscal Procedures

### General Fiscal Policies and Procedures

- Budget changes – No increases to the overall amount
- Indirect costs – Cannot exceed the grantee's approved indirect cost rate on file with HUD.
- Eligible and ineligible expenditures
  - Fundraising
  - Issue Advocacy or Political Engagement
  - Construction, development, or housing rehab costs
  - Food and meals
  - Supplies and Equipment
  - Travel Expenses
- Allocation of Expenditures, Audits, and Program Income

# Operating Procedures and Policy Guidance

## Fiscal Procedures

### General Fiscal Policies and Procedures

- Allocation of Expenditures – no duplication of costs with other federal funding programs.
  - If the grantee has funding from other federal program it must allocated expenditures according to an approved cost allocation plan
  - Maintain proper documentation for RCB funding
  - Action plan activities allocated for a single RCB grant award cannot overlap with another RCB grant award
- Audits – all current RCB grant awards meet the audit threshold
- Program Income –
  - Must be used for RCB eligible activities under the grant agreement
  - Must be identified in an Action Plan activity
  - Must be reported on performance and financial reports
  - Must be used first

## Fiscal Procedures

### 3. Financial Management Systems

- Produce financial reports
- Compare outlays with budget amounts
- Track leverage
- Show all assets are solely used for RCB authorized purposes
- Written procedures for determining reasonability, etc.

### 4. Accounting Records

- All accounting reports and supporting documentation
- Show no comingling with other projects or funding



# Operating Procedures and Policy Guidance

## Monitoring

- Once a year for a selection of grantees
- Remote or onsite
- Review of Obligations set in the grant agreement
- Includes subrecipient and contractor activities, performance, and accounting.
- Monitoring Handbook Chapter XX

## Closeout

- Due no later than 90 days from the end of the PoP
- “Closeout Guidance”



# **Compliance & Internal Controls**

**Iyauta Green**

# Compliance & Internal Controls Learning Objectives

- Federal grants compliance and oversight.
- A-133 Single Audit and agency monitoring.
- Defining internal controls and understanding the internal control framework.
- OMB Uniform Grant Guidance – requirements for internal controls.
- Control environment and segregation of duties.
- Potential consequences for not having strong internal controls.
- Resources for internal controls.

# FEDERAL GRANT COMPLIANCE



# Federal Grant Compliance

- Understand the RCB grant requirements.
- Develop and implement a strong internal control structure for your organization—2 CFR 200 Uniform Grant Guidance (UGG).
- OMB has become increasingly compliance driven.
- Understand the importance of federal grant compliance: what does it mean and how to establish appropriate compliance procedures.
- Design and document written standard operating procedures that adhere to the UGG and grant requirements.

# Federal Grant Compliance (cont.)

- Grantee compliance can be evaluated several ways: Annual single audit, A-133, GAO/OIG audit and/or HUD agency monitoring.
- A-133 Audit: be prepared to account for several areas including: allowable activities, cash management, equipment and real property management, matching/leverage, etc. (see the Compliance Supplement for additional information and the list of all 12 areas)
- GAO/OIG financial and/or programmatic compliance audits.
- Federal agency monitoring: review performance and compliance, as related to 2 CFR 200, the NOFA and HUD monitoring exhibits.



# Tips for Building a Strong Compliance Driven Organization

- Maintain proper source documentation.
- Routinely review grant requirements, approved applications and budget. Adhere to provisions of the grant agreement.
- Track progress in meeting performance goals and objectives.
- Assign dedicated, skilled personnel to focus on grants and financial management or build a compliance division within your organization.
- Comply with federal reporting requirements and grant regulations.
- Maintain a credible financial management system to accurately track expenditures, obligations, allowable costs and drawdowns.





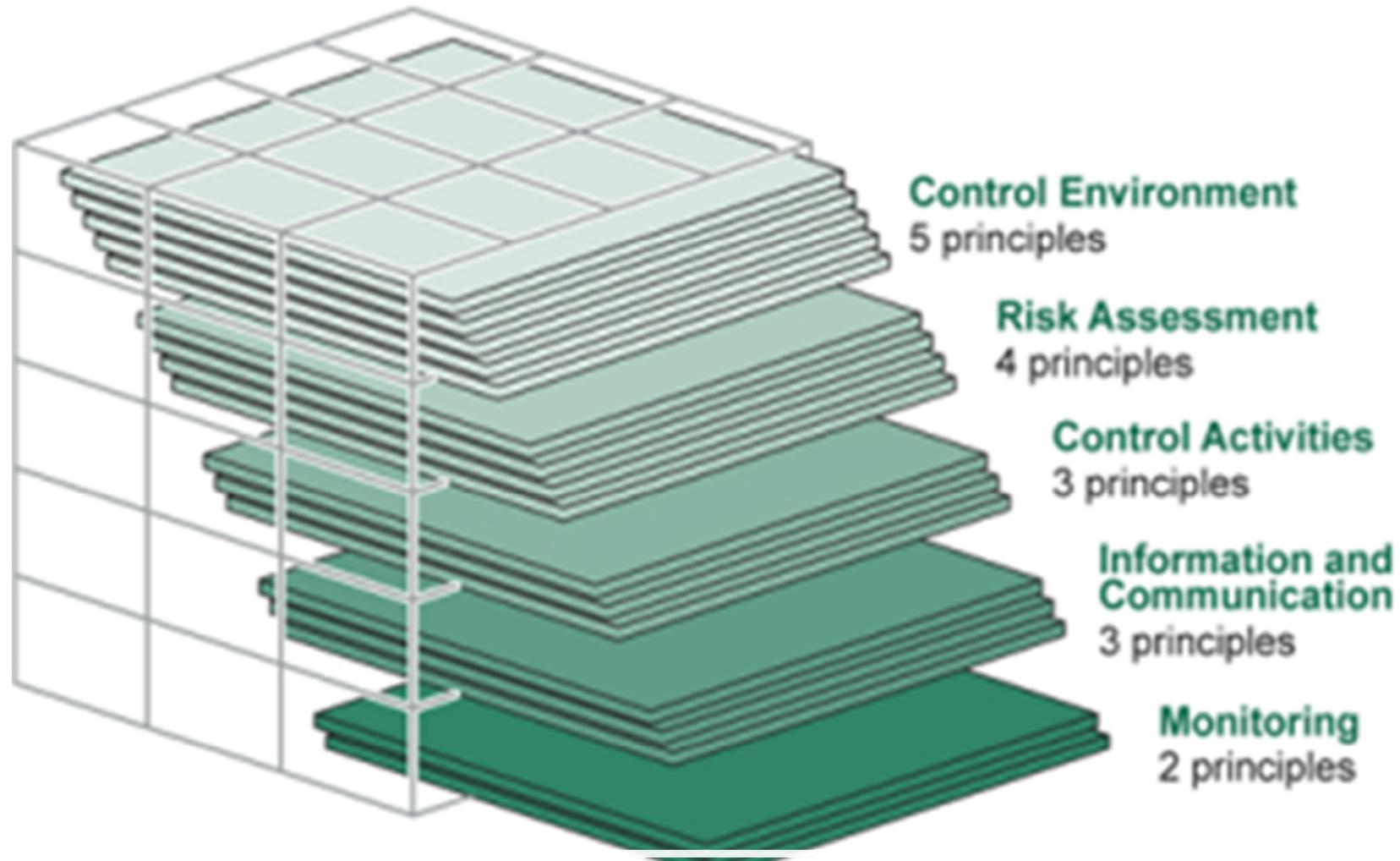
# **INTERNAL CONTROLS**

## Part 200: Uniform Administrative Requirements, Cost Principles and Audit

- (1) Establish and maintain effective internal control over the Federal award that provides reasonable assurance that the non-Federal entity is managing the Federal award in compliance with Federal statutes, regulations, and the terms and conditions of the award. See the Green Book and Internal Control Integrated Framework by COSO (Committee of Sponsoring Organizations of the Treadway Commission).
- (2) Comply with Federal statutes, regulations, and the terms and conditions of Federal awards.

## Part 200: Uniform Administrative Requirements, Cost Principles and Audit Requirements for Federal Awards §200.303 "Internal Controls" (cont.)

- (3) Evaluate and monitor the non-Federal entity's compliance with statute, regulations and terms of conditions of Federal awards.
- (4) Take prompt action when instances of non-compliance are identified including non-compliance identified in audit findings.
- (5) Take reasonable measures to safeguard protected personally identifiable information (PII).



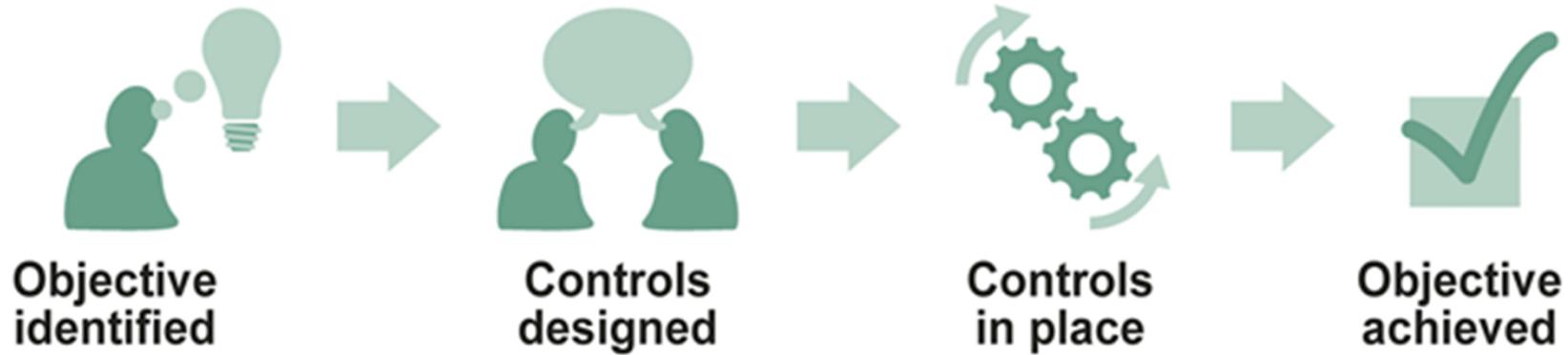
Source: GAO.

## Five Components of Internal Controls

# Control Environment- -Segregation of Duties

- Segregation of duties (SoD) is an important concept for an internal control framework. It's also a component of an effective **control environment**.
- Adequate division of responsibilities: different people handle different duties, including: chain of custody, authorization/approval and/or recording and reporting. Prevent one person from having access to funds/assets and maintaining accountability and records for those funds/assets.
- Disallow unsupervised use of credit cards, checking accounts, petty cash, etc.
- SoD helps to prevent risk of fraud, misappropriation, theft and abuse of resources.





Source: GAO. | GAO-14-704G

## Your Organization's Internal Control Process

- Every unit within your organization should have an established and transparent internal control system, codified by SOPs. This includes: property & procurement, budget, payroll, accounting office, human resources, federal grants office, etc.
- Establish a system that allows for clear understanding of the entire process from start to finish and establish accountability measures.
- Get staff invested and educated about what the internal control system looks like within your agency.

# Implementing Strong Internal Controls within Your Organization

- **Implement:** don't be afraid to try new things, experiment and determine what works best for your agency, and continuously review the processes implemented.
- **Build capacity:** have the right people at the table and invest in training and professional development.

Build competence, understanding and sustainability



# Avoid the Pitfalls

## What happens when things go wrong and internal control systems fail?

- Audit findings
- Monitoring findings
- Financial misstatements
- Business or government losses
- Taxpayer resources compromised
- Federal Intervention
- Criminal Investigations
- Loss of public trust
- Fraud or collusion
- Program sustainability compromised
- Reputational harm
- Loss of funds



# Resources for Internal Controls

- GAO Standards for Internal Control in the Federal Government  
(<http://www.gao.gov/assets/670/665712.pdf>)
- Committee of Sponsoring Organizations (COSO) Internal Control (<http://www.coso.org/IC-IntegratedFramework-summary.htm>)
- OMB A-123  
([http://www.whitehouse.gov/omb/circulars\\_a123\\_rev](http://www.whitehouse.gov/omb/circulars_a123_rev))

**10 MINUTE  
BREAK**



# **What to Expect From Your Grant Manager**

**Chandra Broadnax**



# What to Expect from your Grant Manager - Overview

- OPDC has established a portfolio management-based structure for RCB.
  - Six grant managers
- Main responsibility is holding grantees accountable for implementing the plans as outlined in the Program NOFA, the approved grant application, and the signed grant agreement.

# What to Expect from your Grant Manager - Overview

---

## PRE-AWARD ACTIVITIES

Update and Implement  
program policy and guidance

NOFA

Funding Application Review



## POST-AWARD ACTIVITIES

Review/Approval

- Action Plans and Amendments
- Budgets and Revisions
- Environmental Review
- QPRs/Semi-Annual Reports
- Grant Extensions
- Grant Closeout

Technical Assistance and  
Oversight

Monitoring



# What to Expect from your Grant Manager - Meetings

Coordinate regularly schedule meetings to provide oversight  
Quarterly Detailed Discussions

- Action Plans
- Work Items
- Budgets
- RCB Compliance
- Policy updates
- Funding updates
- Technical Assistance
- Areas of Concern requiring elevation/follow-up from HQ

# What to Expect from your Grant Manager - Monitoring



- ✓ HUD monitors the performance of grantees to ensure they have carried out their eligible activities in a timely manner and have eligible activities and certifications in accordance with RCB program requirements and with other applicable with a focus on ensuring grantees have a continuing capacity to carry out those activities in a timely manner.
- ✓ Grant monitoring consists of on-site review or remote review of records, reports, and documentation.

# What to Expect from your Grant Manager - Monitoring

---

## Onsite Review

- Conducted at the grant recipients' offices and may include visits to housing sites and or interviews.
- Grantees may be requested to provide additional information to the OPDC after completion of the on-site visit and before completion of HUD's review.

## Remote Review

- OPDC will request digital submission of information to supplement information available in HUD's records to review off-site.
- Interviews and meetings may occur to discuss the review.

*Unusual situations aside, OPDC will provide written notice and details of the monitoring visit at least 30 days in advance.*

# What to Expect from your Grant Manager - Monitoring

## Monitoring:

- Frequency - as determined by HUD developed Risk Analysis
- Review grantee operations and practices:
  - *Policies*
  - *Process and Procedures*
  - *Recordkeeping for grants management*
  - *Systems*
- Review contracts/vouchers
- Review sub-recipient awards
- Review Leverage

# Frequently Asked Questions



# Questions

# Welcome Back!

## Rural Capacity Building Grant Program Training and Technical Assistance

**Day 2:  
February 11,  
2021**



# Agenda – February 11, 2021

- DRGR Overview
- LOCCs Overview
- Action Plan Guidance
- Action Plan Amendment Guidance
- Performance Reporting Guidance
- Tracking Leverage
- Peer-to-Peer Session 2
- Subrecipient Monitoring
- Closeout Guidance
- Helpful Websites and Resources
- General Questions
- Evaluation!



# DRGR Overview

## Mark Mitchell



## ACTION PLANS

View Action Plan

**Grant Number:**  
B-10-DF-44-0001

**Grantee Name:**  
Rhode Island

**LOCCS Authorized Amount:**  
\$8,935,237.00

**Grant Award Amount:**  
\$8,935,237.00

**Estimated PI/RL Funds:**

**Total Budget:**  
\$8,935,237.00

# Rural Capacity Building Program

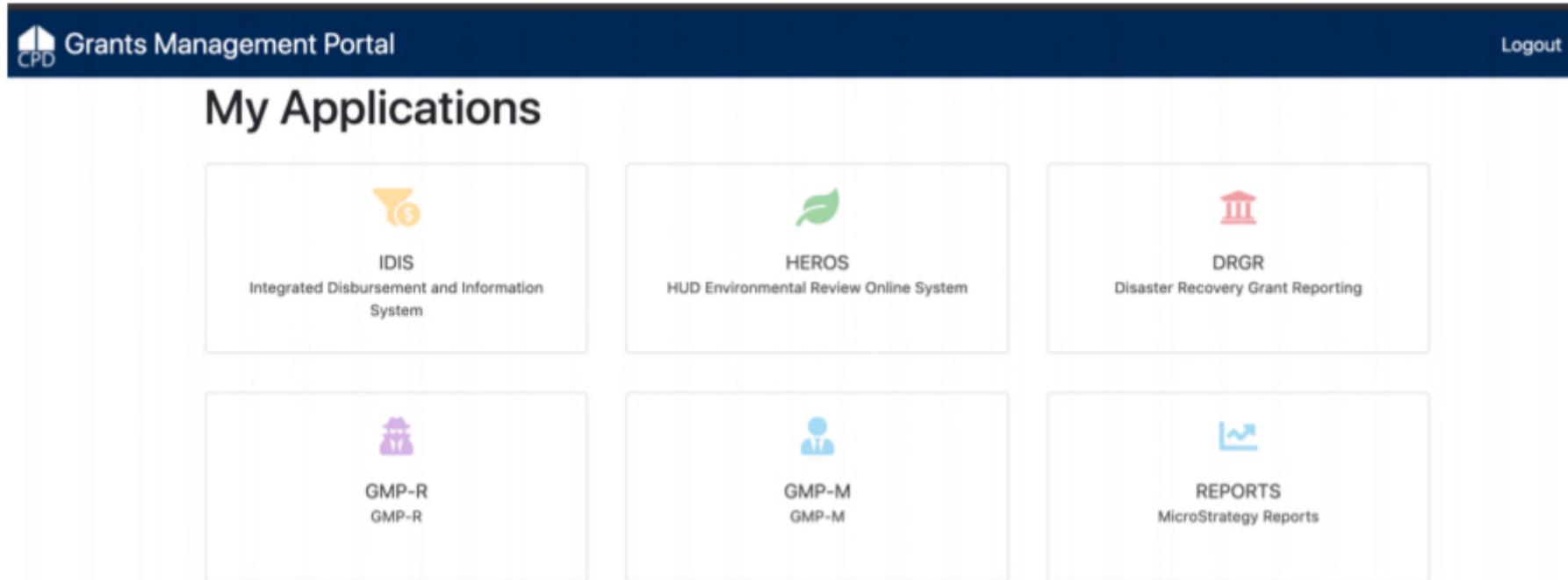
## Getting Started with DRGR

## User Setup and Action Plans

Project #	Project Title	Grantee Activity #	Activity Title
1	Administration	1a	State Administration
		1b	Local Administration
2	Public Facilities and Improvements	10r	West Warwick, Gendron Street
		11	West Warwick, Natco Pond
		12	Westerly, White Rock Drainage
		14	Johnston, Pump Stations

# Grants Management Portal – Navigation Tiles



As part of a modernization and re-platforming DRGR Navigation has changed as well as the look and feel of many pages. Users can log in through the portal or directly into each system.

In prior versions, users would go through multiple pages on screens. Users now can move through these using tabs. HUD review checklist pages use expand and collapse sections.

# DRGR URLs

<https://drgr.hud.gov/DRGRWeb>

<https://drgr.hud.gov/GMPortal>

<https://drgr.hud.gov/ssoDRGR>

(HUD Users in VPN /  
No additional ID and PW required)

- Add the User ID to the “Username” field and add the password to the “Password” field. The password is case sensitive.
- Select the **<I agree to the Terms of Service>** radio button. DRGR users cannot access the DRGR System until they agree to the “Terms of Service.”
- Select the **<Login>** button. If the login attempt is successful, a new page will load.

The screenshot shows the 'CPD Grants Portal Login' page. On the left is a red sidebar with the 'Homes & Communities' logo and a navigation menu. The main content area has a red header with 'Community Planning & Development' and the title 'CPD Grants Portal Login'. Below the title is a prompt: 'Please enter your Username (C\*\*\*\*\*, B\*\*\*\*\* or H\*\*\*\*\*) and Password to log in.' There are two input fields: 'Username:' and 'Password:'. A callout box labeled 'a' points to both fields. Below the fields is a scrollable area containing a consent statement: 'By using this U.S. Government information system you understand and consent to the following:' followed by a bulleted list of rules. Below the consent area is a radio button labeled 'I agree to the Terms of Service' with a callout box labeled 'b' pointing to it. Below the radio button is a 'Login' button with a callout box labeled 'c' pointing to it. At the bottom of the page is a footer with links for 'FOIA', 'Privacy', 'Web Policies and Important Links', and 'Home', along with contact information for the U.S. Department of Housing and Urban Development.

# Administration: User Management

Module	Menu	Submenu Options	Description
 Administration	User Management	 Associate Users to Grants	Grant DRGR Users permission to view and/or edit selected Grant(s)
		 Certify Grantee Users	(Re)certify DRGR Users
		 Request New Users	Request a New User be granted a DRGR User Account and/or Profile
		 Manage Existing Users	Request edits to an existing DRGR User Profile
		 Upload User Requests	Upload DRGR User data directly into DRGR

## Grantee Profile:

Grantee	Agency	View Only	Grantee Admin	Request Drawdown	Approve Drawdown	Submit Action Plan	Submit Performance Reports	Staff Rate	Contractor	User Profile Request	Update FAQ	Submit Voucher Docs to HUD	Active
<input type="text"/>	<input type="text"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>					

Add Grantee Profile

Only one draw  
role allowed

N/A

# Administration: User Management

ADMIN

## Request New User

\* Does staff already have a HUD username in IDIS/DRGR? (e.g. C\*\*\*\*\*, B\*\*\*\*\*, H\*\*\*\*\*)

IDIS  DRGR  No/Unknown/Unable to find

Please search for and select staff user below:

Search Criteria

Username:

Name:

HUD Office:

State/Territory:

Grantee Name:

Search

Reset

Continue to Next Page

ADMIN

## Request New User

Submit | Cancel

\*Indicates Required Field

\*First Name:

Title:

\*Last Name:

Organization:

\*Email:

Phone Number:

Ext:

Address 1:

Fax:

Address 2:

\*PIN (five digits used in initial password):

Address 3:

\*PIN (re-enter):

\*City:

\* Zip Code:

State:

Check if user has an existing IDIS or DRGR account.

If so, they can use the same ID and PW.

Otherwise, there is some basic info needed in addition to the roles shown in the next slide.

This will include a PIN they will use if they ever need to call the HITS help desk for a PW reset.



To recertify a Grantee User, follow the steps below:

- a. Choose the user to be assigned by selecting the user’s name in the “Users with Expiring Certifications” box.
- b. Select <<Certify>. The users name will slide over to the “Certified Users” box.
- c. Select <Save Changes>. The action is complete, and the user is recertified and will be able to access functions available to the user’s role within the Grant.

### User Role: Grantee Administrator

### Menu Option: Certify Grantee Users

ADMIN  
Certify Grantee Users

**Certified Users:**

GA-Adams,Sally Green-T017GR - Georgia-  
 GA-Bernhardt,Cindi-C22814 - Georgia-  
 GA-Carter,Kimberly-B65849148346148346 - Georgia-  
 GA-Dunn,Simonne-B67715 - Georgia-  
 GA-Gaillard,Crystal-B69152 - Georgia-  
 GA-Lowmon,Tommy-B67398 - Georgia-  
 GA-SORIANO,ALICIA-T018GR - Georgia-  
 GA-Shelly,Crystall-C22813 - Georgia-  
 GA-Tremblay,Kathleen-B68510 - Georgia-  
 SC-Test,John-test01 - Georgia-

Save Changes    Cancel



**Users with Expiring Certifications:**

GA-Jackson,Lorean-B60338 - Georgia-  
 GA-Lewis,Michell-699403 - Georgia-  
 GA-Mrus,Sally-B66364 - Georgia-



Inactivate User  
Activate User

**Users inactivated due to Expired Certifications:**

GA-Mulkey,Nicholas-TMP\_32490 - Georgia-  
 GA-Mykytyn,Dana-B55502 - Georgia-  
 GA-Robinson,Morrell S.-B00422 - Georgia-  
 GA-Robinson,Steed Morales-C27185 - Georgia-  
 GA-Rush,Tivice-TMP\_33070 - Georgia-  
 GA-Truitt,Pam-C15515 - Georgia-

User Role: Grantee Administrator

Menu Option:  Associate Users to Grants

- Choose the user to be assigned by selecting the user's name in the "Available Users" box.
- To assign a name to a Grant, select **<Assign>**. The user's name will slide over to the "Authorized Users" box.
- Select **<Save>**. The action is complete, and the user is associated to the Grant and will be able to access functions available to the user's role within the Grant.

Grant Number	Grant Status
B-08-MN-36-0103	Active
B-09-LN-NY-0007	Active
B-11-MN-36-0103	Active
B-13-MS-36-0001	Active
B-13-MS-36-0002	Active

Assign and Remove Users

Save | Cancel

Grant Number: B-11-DN-13-0001

**Authorized Users:**

SORIANO, ALICIA - T018GR  
Shaw, Robert - C22834  
Adams, Sally Green - T017GR  
Bernhardt, Cindi - C22814  
Lowmon, Tommy - B67398  
Dunn, Simonne - B67715  
Tremblay, Kathleen - B68510

**Available Users:**

Shelly, Crystall - C22813  
Truitt, Pam - C15515  
Lewis, Michell - C99483  
Misner, Glen - T017GA  
Robinson, Steed Morales - C27185  
Erdmann, Jen - T018GA  
Mykytyc, Dana - B55502  
Jackson, Lorean - B60338  
Carter, Kimberly - B658491483461483  
Mrus, Sally - B66364

**a** →

**b** ↓

<< Assign

Remove >>

Save ← **c**

Some grantee users may only work on a particular program or grant while others such as financial staff may work across all grants.





## Data Analytics

---

ANALYTICS

-  Reports
-  Public Data Portal






DRGR Analytics > Shared Reports > Global Admin > **A42 - USERS - Grantee DRGR Users with System Role and Certification Status**

REPORT HOME ▾
TOOLS ▾
DATA ▾
GRID
FORMAT ▾
Last update: 12/1/20 10:50:19 AM















PAGE-BY: Grantee State: Maine ▾ Grantee: Maine ▾

?
x

Data rows: 22 | Data columns: 0

User Contact Name ▲	User Login ▲	User Contact Email ▲	User Status ▲	User Role ▲	User Certification Status ▲	User Last Recertification Update User ▲	User Last Recertification Update Date ▲
Baran,Michael D	C90581	Mike.Baran@maine.gov	Deleted	Grantee Administrator	Expired	SHUMEYKO,ROBERT D.	7/17/2014
				Drawdown View User	Expired	SHUMEYKO,ROBERT D.	7/17/2014
				Drawdown Approve User	Expired	SHUMEYKO,ROBERT D.	7/17/2014
Baran,Michael D.	B00354	mike.baran@maine.gov	Deleted	Grantee Administrator	Expired	SHUMEYKO,ROBERT D.	7/17/2014
				Drawdown View User	Expired	SHUMEYKO,ROBERT D.	7/17/2014
				Drawdown Approve User	Expired	SHUMEYKO,ROBERT D.	7/17/2014
Goulette,Nellie	C05321	nellie.goulette@maine.gov	Inactive	Grantee User	Expired	SHUMEYKO,ROBERT D.	6/28/2016
				Drawdown View User	Expired	SHUMEYKO,ROBERT D.	6/28/2016
				Drawdown Request User	Expired	SHUMEYKO,ROBERT D.	6/28/2016
Johnson,Deborah	B00039	deborah.johnson@maine.gov	Active	Grantee Administrator	Recertified	SHUMEYKO,ROBERT D.	6/12/2020
				Submit Action Plan User	Recertified	SHUMEYKO,ROBERT D.	6/12/2020
				Submit Performance Reports User	Recertified	SHUMEYKO,ROBERT D.	6/12/2020
				Drawdown View User	Recertified	SHUMEYKO,ROBERT D.	6/12/2020
				Drawdown Approve User	Recertified	SHUMEYKO,ROBERT D.	6/12/2020
				User Profile - Request	Recertified	SHUMEYKO,ROBERT D.	6/12/2020
Knight,Tammy	B00713	tammy.knight@maine.gov	Active	Grantee User	Expired	JOHNSON,DEBORAH	1/6/2015
				Drawdown View User	Expired	JOHNSON,DEBORAH	1/6/2015
				Drawdown Request User	Expired	JOHNSON,DEBORAH	1/6/2015
Thomas,Sharon	C30449	sharon.l.thomas@maine.gov	Active	Grantee User	Expired	JOHNSON,DEBORAH	1/6/2015
				Drawdown View User	Expired	JOHNSON,DEBORAH	1/6/2015
				Drawdown Request User	Expired	JOHNSON,DEBORAH	1/6/2015

# Adding an Action Plan

Module	Menu	Submenu Options	Description
		 Add Action Plan	Add a new Action Plan in DRGR
		 Manage Action Plan	Edit an existing Action Plan
		 View Action Plan	View an existing Action Plan
			Download Action Plan PDF
			Search for Action Plans in DRGR
			Access Action Plan Review Tools
			Lookup Consolidated Plans in DRGR

### Add Action Plan ×

Please confirm that you want to Add an Action Plan for the Grant listed below:

Appropriation:

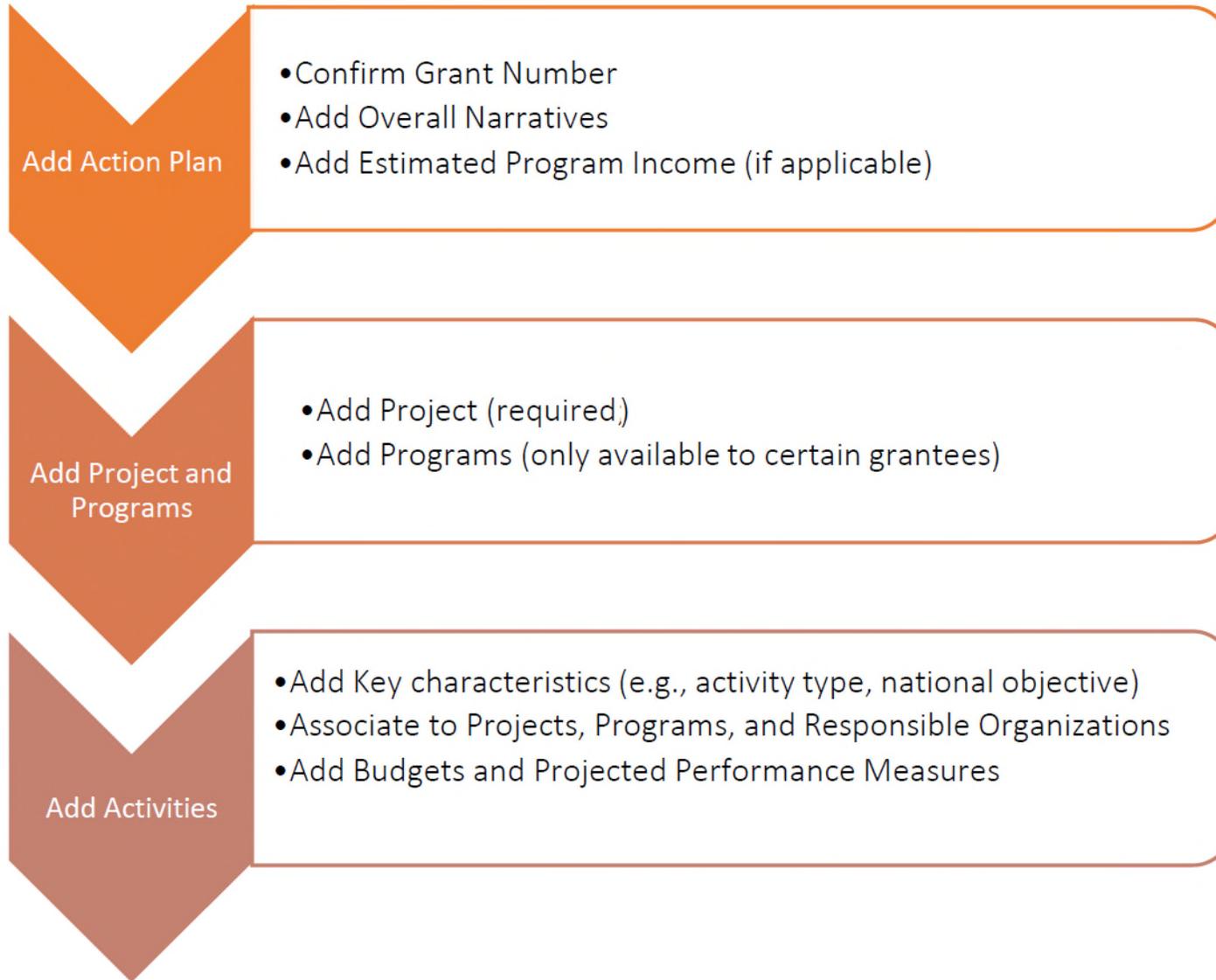
Grant Number:

Grant Award Amount:

Grant Status:

Grant Description:

# Key Components of DRGR Action Plans for RCB



With many state grantees they may publish Action Plans using a Method of Distribution (MOD)

In DRGR, projects are used to group activities. If the Projects match the MOD categories, the performance reports will roll up the budgets and spending by these projects so that it can be compared against the published plan.

Grantees also need to add Responsible Organizations before they add activities. If the grantee is managing the activity, they are the responsible organization. If there are subawards/subrecipients then users need to set up responsible organization profiles for each one.

# Action Plan: Estimated PI/RLF Funds

Activity budgets must include grant funds and estimated program income. To accommodate this, grantees must also project the estimated program income /RLF funds at the grant level because DRGR will only allow activity budgets up to the amount of the grant plus these funds.

### Edit Estimated Funds

Enter the estimated PI/RL funds for the grant and click Save.

B-18-DP-13-0001:

[Cancel](#) [Save](#)

## Manage Action Plan

Grant Number: TEST GRANT  
Grantee Name: Georgia  
Appropriation Code: 2013 SDY  
Action Plan Status: Original - In Progress

LOCCS Authorized Amount: \$0.00  
Grant Award Amount: \$10,000,000,000,000.00  
Total Estimated PI/RL Funds: \$0.00  
Total Budget: \$10,000,000,000,000.00

[Edit](#)

- Financials
- Narratives
- Documents
- Measures
- Programs
- Projects
- Activities
- History
- Upload

### Financials

#### Grant Funding

Grant Type	Grant Number	LOCCS Authorized Amount	Grant Award Amount	Total Estimated PI/RL Funds	Restricted Budget	Available To Budget	Activity Budgets	Activity Obligations	Total Drawn	Program Funds Drawn	Program Income Drawn
Parent	TEST GRANT	\$0.00	\$10,000,000,000,000.00	\$0.00	\$10,000,000,000,000.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00

#### Funding Sources

No Results Found

[Add Funding Source](#)

# Action Plan: Other Funding Sources

## Financials

### Grant Funding

Grant Type	Grant Number	LOCCS Authorized Amount	Grant Award Amount	Total Estimated PI/RL Funds	Restricted Budget	Available To Budget	Activity Budgets	Activity Obligations	Total Drawn	Program Funds Drawn	Program Income Drawn
Parent	B-18-DP-13-0001	\$37,943,000.00	\$37,943,000.00	\$590,000.00	\$0.00	\$37,943,000.00	\$35,959,106.00	\$21,817,943.00	\$588,113.42	\$588,113.42	\$0.00

### Funding Sources

Funding Source Name	Funding Type	Actions
County Investment Funds	City Funds	
FEMA	FEMA Mitigation	
FEMA PA	FEMA Public Assistance	

[Add Funding Source](#)

### Add Funding Source

Enter the values and click save.

\* Funding Source Name:

\* Funding Type:

# Action Plan: Adding Narratives

## Manage Action Plan

[Back](#) [Submit Plan](#)

<b>Grant Number:</b>	B-18-DP-13-0001	<b>LOCCS Authorized Amount:</b>	\$37,943,000.00
<b>Grantee Name:</b>	Georgia	<b>Grant Award Amount:</b>	\$37,943,000.00
<b>Appropriation Code:</b>	2017 HIM	<b>Total Estimated PI/RL Funds:</b>	\$590,000.00
<b>Action Plan Status:</b>	Modified - Resubmit When Ready	<b>Total Budget:</b>	\$38,533,000.00

- Program Summary
- Resources
- Administration Summary
- Use of Funds
- Definitions
- Anticipated Outcomes and
- Citizen Participation Sumr
- Partner Coordination
- Subrecipient Management
- Pre-Award/Pre-Agreemen

Financials **Narratives** Documents Measures Programs Projects Activities History Upload

### Narratives Summary

**Disaster Damage** Just testing this feature for UAT. [Edit](#)

Enter narrative in rich text format and add images. Click Save. The narrative is saved and refreshed on the Narratives tab.

testing this feature again 11May2020

**Recovery Needs** Berrien, Camden, Charlton, Chatham, Coffee, Cook, Crisp, Dougherty, Glynn, L

DCA's analysis of the data confirmed that the MID areas were the following Zi

The conclusion of the unmet need analysis reveals that the 37,943,000 allocat

[Testing this edit process.](#)

### Add/Edit Narrative - Disaster Damage

File Edit View Insert Format Tools Table

**B** *I* U [List Icons] [Undo] [Redo] [Add Table] [Add Image]

There was extensive disaster damage resulting from the hurricane in the following areas:

- Travis County
- City of Houston

UL > LI

Cancel Save

Add table

Add Image

# Action Plan: Projects

## Manage My Grants

### ACTION PLANS

- + Add Action Plan
- ✍ Manage Action Plan
- 👁 View Action Plan
- ⬇ Download Action Plan
- 🔍 Search Action Plans
- ✂ Review Tools
- 🔍 Lookup Consolidated Plans

### PROJECTS

- + Add Project
- 🔍 Search Projects

## Search Projects

Search Criteria

Project Number:

Grant Number:

Project Title:

Grantee Name:

### Search Results 10

- Copy
- Print
- CSV
- Excel

Grantee	Project Number	Project Title	Grant Number	Project Budget Amount	Disbursed Amount	Project Status	Actions
Georgia	01- DCA-UAT Update	01- DCA-UAT Update 1	B-18-DP-13-0001	\$9,088,601.00	\$588,113.42	Open	
Georgia	02- Multifamily	02- Multifamily	B-18-DP-13-0001	\$12,130,339.01	\$0.00	Open	
Georgia	04- Brunswick	04- Brunswick	B-18-DP-13-0001	\$0.00	\$0.00	Open	

### Add Project

Details

\* Project Number:

\* Project Title:

\* Project Description:

Project Designation:

Fund:  Revolving Loan Fund

\* Project Status:

Project Effective Date:

Project End Date:

Budget

\* B-18-DP-13-0001

Project Budget Amount: \$

# Examples of Projects and Activities

## ACTION PLANS

View Action Plan

**Grant Number:**  
B-10-DF-44-0001

- Disaster Damage
- Recovery Needs
- Public Comment

**Grantee Name:**  
Rhode Island

- View Action Plan Comments
- View Action Plan History
- View Review Checklist History

**LOCCS Authorized**

**Amount:**  
\$8,935,237.00

**Grant Award Amount:**  
\$8,935,237.00

**Estimated PI/RL Funds:**

**Total Budget:**  
\$8,935,237.00

Project #	Project Title	Grantee Activity #	Activity Title
1	Administration	1a	State Administration
		1b	Local Administration
2	Public Facilities and Improvements	10r	West Warwick, Gendron Street
		11	West Warwick, Natco Pond
		12	Westerly, White Rock Drainage
		14	Johnston, Pump Stations
		18	Westerly, DPW Access
		19	Bristol, Silver Creek Improvements
		22	Richmond, Alton Fire Station Lot
		25	East Providence, Runnins River Flow
		26	Coventry, Industrial Drive Culverts
		27	Providence, City of Providence, Infrastructure

Project #	Project Title	Grantee Activity #	Activity Title
3	Housing Rehabilitation	15	Westerly, North Glen Residential Rehab.
		16	Richmond, Pine Hill Rd. Residential Reconstruction
		17	Narragansett, NHA Residential Rehab.
		2	Residential Rehabilitation Program
4	Economic Recovery	13	Economic Recovery, Stabilization and Development
		27	Cumberland, Hope Global
5	Property Acquisition	20	Cranston, Buyouts
		21	Cumberland, Buyout
6	Planning	23	Wastewater Climate Vulnerability Assessment
		24	Johnston, Starr St. Flood Mitigation Study
		28	West Warwick, Natco Pond Feasibility Study
		29	CRMC, Pawtuxet Watershed Modelling
		30	URI, Scituate Reservoir Mit Model Recovery Plan
		33	Culvert Assessment and Resiliency Study
		35	Legal Research for Recovery

# Action Plan: Activities

## Manage My Grants

### ACTIVITIES

 Add Activity

 Search Activities 

 Restore Activities 

[← Back](#)

## Search Activities

### Search Criteria

Grant Number:

Project Number:

Grantee Program Name:

Grantee Activity Number:

Activity Title:

Activity Type:

Responsible Organization:

Activity Status:  

Reset

Search

### Matching Results 32

[Copy](#) [Print](#) [CSV](#) [Excel](#)

Grantee Name	Grant Number	Grantee Activity Number	Activity Title	Activity Type	Responsible Organization	Project Number	Grantee Program Name	National Objective	Activity Status	Actions
Georgia	B-18-DP-13-0001	01 - DCA ADMIN	01 - DCA ADMIN	Administration	Georgia Department of Community Affairs	01- DCA-UAT Update		N/A	Under Way	
Georgia	B-18-DP-13-0001	02- DCA Planning	02- DCA Planning	Planning	Georgia Department of Community Affairs	01- DCA-UAT Update		N/A	Under Way	
Georgia	B-18-DP-13-	03- HRRP	03- HRRP	Rehabilitation/reconstruction of	Georgia Department of	01- DCA-UAT	Build it Right	Low/Mod	Under Way	

# Responsible Organizations

 Administration	Manage Grantees	 Add Responsible Organizations	Add Responsible Organizations
		 Search Responsible Organizations	Search and edit existing Responsible Organizations
		 Upload Responsible Organizations	Upload Responsible Organization data directly into DRGR

In DRGR Action Plans, grantees must assign which organization is responsible for administering the activity.

This could be the grantee. If there is a subaward/subrecipient, grantees must add profiles for these organizations before they can add activities in the DRGR action plan.

## RESPONSIBLE ORGANIZATION

### Add Organization

\* Please select save button to enable SAM lookup.

Save | Cancel

\* Indicator required field

**Profile**

\*Organization Name:

\*Organization Type:

\*DUNS #:  Ext:

System for Award Management:   Status:

Entity DUNS#:  CAGE Code:

Has Active Exclusion?:  DoDAAC:

Expiration Date:  Delinquent Federal Debt?:

Address Line 1:

Address Line 2:

Address Line 3:

(see Division of Planning)

\*City:  \*State/Territory:

Zip Code:

### Contact Information

First Name:

Middle Initial:

Last Name:

Title:

Email:

Address:

City:  State:

Zip Code:

Telephone:

Ext:

# RCB Activity Types and Measures

	Activity Type	Customized Performance Measures	Standard Perf Measures
A	<a href="#">CB - Direct Engagement</a>	# of community development projects supported, # of housing units sustained, repaired, or rehabbed, # of CDCs/CHDOs served, # of jobs created, # of RHDOs, Tribes, and Local Govts served, \$ of new or expanded Federal funding received, # of housing units put in the development process, \$ invested into community development projects, # of new housing units created, \$ invested into community programs, # of community programs supported, # of new CDCs or CHDOs created, # of Organizations newly accessing or expanding Federal funding, # of jobs retained, # of organizations served, # of businesses assisted, # of businesses created	Persons, Direct Benefit
A	<a href="#">CB - Conferences and Peer Exchange Events</a>	# of persons earning or renewing a licensure or certification, \$ of financial assistance provided to persons to attend training, # of CDCs/CHDOs served, # of in-person engagements/trainings, # of RHDOs, Tribes, and Local Govts served, \$ of new or expanded Federal funding received, # of engagements/ trainings offered, # of web based engagements/trainings offered, # of new CDCs or CHDOs created, # of peer to peer learning events, # of Organizations newly accessing or expanding Federal funding, # of organizations served, # of persons receiving financial assistance to attend training	Persons, Direct Benefit
A	<a href="#">CB - Training and Education</a>	# of persons earning or renewing a licensure or certification, \$ of financial assistance provided to persons to attend training, # of CDCs/CHDOs served, # of in-person engagements/trainings, # of RHDOs, Tribes, and Local Govts served, \$ of new or expanded Federal funding received, # of web based engagements/trainings offered, # of new CDCs or CHDOs created, # of peer to peer learning events, # of Organizations newly accessing or expanding Federal funding, # of organizations served, # of persons receiving financial assistance to attend training, # of businesses assisted	Persons, Direct Benefit
A	<a href="#">CB - Other Capacity Building Support Activities and Engagements</a>	# of community development projects supported, # of housing units sustained, repaired, or rehabbed, # of CDCs/CHDOs served, # of jobs created, # of publications/ newsletters created, # of RHDOs, Tribes, and Local Govts served, \$ of new or expanded Federal funding received, # of data portal and web visits, # of housing units put in the development process, \$ invested into community development projects, # of data portals/web resources created, # of new housing units created, \$ invested into community programs, # of community programs supported, # of new CDCs or CHDOs created, # of Organizations newly accessing or expanding Federal funding, # of jobs retained, # of organizations served, # of new community partnerships developed, # of businesses assisted, # of businesses created	Persons, Direct Benefit

# RCB Activity Types and Measures

	Activity Type	Customized Performance Measures	Standard Perf Measures
B	<a href="#">CB - Grants</a>	# of community development projects supported, # of housing units sustained, repaired, or rehabbed, # of CDCs/CHDOs served, # of grants awarded, # of jobs created, # of RHDOS, Tribes, and Local Govts served, \$ of new or expanded Federal funding received, # of data portal and web visits, # of housing units put in the development process, \$ invested into community development projects, # of new housing units created, \$ of grants awarded, \$ invested into community programs, # of community programs supported, # of new CDCs or CHDOs created, # of Organizations newly accessing or expanding Federal funding, # of jobs retained, # of organizations served, # of new community partnerships developed, # of businesses assisted, # of businesses created	Persons, Direct Benefit
B	<a href="#">CB - Loans and Loan Funds</a>	# of community development projects supported, # of housing units sustained, repaired, or rehabbed, # of CDCs/CHDOs served, # of jobs created, # of loans approved, # of RHDOS, Tribes, and Local Govts served, \$ of new or expanded Federal funding received, # of housing units put in the development process, \$ invested into community development projects, # of new housing units created, \$ invested into community programs, # of community programs supported, \$ of loans approved, # of jobs retained, # of organizations served, # of businesses assisted, # of businesses created	Persons, Direct Benefit
B	<a href="#">CB - Other Capacity Building Financial Assistance</a>	# of community development projects supported, # of housing units sustained, repaired, or rehabbed, # of other financial assistance events, # of CDCs/CHDOs served, # of jobs created, # of RHDOS, Tribes, and Local Govts served, \$ of new or expanded Federal funding received, # of housing units put in the development process, \$ invested into community development projects, # of new housing units created, \$ invested into community programs, # of community programs supported, # of new CDCs or CHDOs created, # of Organizations newly accessing or expanding Federal funding, # of jobs retained, # of organizations served, # of new community partnerships developed, \$ invested in other financial events, # of businesses assisted, # of businesses created	Persons, Direct Benefit
C	<a href="#">CB - Eligible Activity C activities</a>	# of community development projects supported, # of housing units sustained, repaired, or rehabbed, # of CDCs/CHDOs served, # of jobs created, # of publications/ newsletters created, # of RHDOS, Tribes, and Local Govts served, \$ of new or expanded Federal funding received, # of data portal and web visits, # of housing units put in the development process, \$ invested into community development projects, # of data portals/web resources created, # of new housing units created, \$ invested into community programs, # of community programs supported, # of new CDCs or CHDOs created, # of Organizations newly accessing or expanding Federal funding, # of jobs retained, # of organizations served, # of new community partnerships developed, # of businesses assisted, # of businesses created	Persons, Direct Benefit

# Action Plan: Activities

## Manage Activity

**Grant Number:** B-18-DP-13-0001      **Activity Number:** 01 - DCA ADMIN [Edit](#)  
**Grantee Name:** Georgia      **Activity Title:** 01 - DCA ADMIN  
**Appropriation Code:** 2017 HIM      **Activity Type:** Administration  
**National Objective:** N/A      **Projected Start & End Date:** 2019-05-09 - 2025-05-09  
**Project Number:** 01- DCA-UAT Update      **Benefit Report Type:** N/A  
**Project Title:** 01- DCA-UAT Update 1      **Responsible Organization:** Georgia Department of Community Affairs  
**Grantee Program:**      **Activity Status:** ✔ Under Way

[Financials](#)

[Details](#)

[Documents](#)

[Measures](#)

[Environmental](#)

### Financials

#### Activity Budget

Grant Number	Activity Budget	Activity MID Budget	Activity Obligations	Total Drawn	Program Funds Drawn	Program Income Drawn
B-18-DP-13-0001	\$1,897,150.00	\$0.00	\$1,897,150.00	\$144,973.28	\$144,973.28	\$0.00

#### Funding Sources

Funding Source Name	Funding Type	Matching Fund Amount	Other Fund Amount

### Budget

Adjust Project Budget:  Yes  No

Activity Budget

Activity MID Budget

\* X-20-R-8-18032    \$ 50,000.00    \$ 20,000.00

[Cancel](#) [Save](#)

Add Activity ✕

---

Details

\* Project:

\* Activity Type:

Environmental Assessment:

\* National Objective:

Grantee Program:

\* Grantee Activity Number:

\* Activity Title:

\* Activity Description: 

File Edit View Insert Format Tools Table  
 B I U [align] [list] [link] [table] [undo] [redo] [clear]

\* Activity Status:

\* Projected Start Date:

\* Projected End Date:

\* Responsible Organization:

---

Budget

Activity Budget      Activity MID Budget

\* B-11-DN-13-0001    \$ Enter Budget ...    \$ Enter MID Budget ...

[Cancel](#) [Save](#)

# Action Plan: Activities

## Manage Activity

[← Back](#)

<b>Grant Number:</b>	X-20-R-8-18032	<b>Activity Number:</b>	Activity 1	<a href="#">✎ Edit</a>
<b>Grantee Name:</b>	Louisiana	<b>Activity Title:</b>	Activity 1	
<b>Appropriation Code:</b>	2013 SDY	<b>Activity Type:</b>	Acquisition - general	
<b>National Objective:</b>	N/A	<b>Projected Start &amp; End Date:</b>	2020-01-01 - 2020-12-31	
<b>Project Number:</b>	Project 1	<b>Benefit Report Type:</b>	N/A	
<b>Project Title:</b>	Project 1	<b>Responsible Organization:</b>	1026 Constance, LLC	
<b>Grantee Program:</b>	Automated Test Grantee Program 25237	<b>Activity Status:</b>	<span style="color: green;">✔</span> Planned	

Financials

[Details](#)

Documents

Measures

Environmental

### Additional Details

Activity Description

Test Activity Description

Location Description

No Result Found.

[✎ Edit](#)

Drawdown Block

Blocked by Grantee:  
HUD Block Drawdown:

No  
No

[✎ Edit](#)

# Action Plan: Activities - Documents

## Manage Activity

[Back](#)

<b>Grant Number:</b>	X-20-R-8-18032	<b>Activity Number:</b>	Activity 3
<b>Grantee Name:</b>	Louisiana	<b>Activity Title:</b>	Activity 3
<b>Appropriation Code:</b>	2013 SDY	<b>Activity Type:</b>	Affordable Rental Housing
<b>National Objective:</b>	N/A	<b>Projected Start &amp; End Date:</b>	2020-01-01 - 2020-12-31
<b>Project Number:</b>	Project 2	<b>Benefit Report Type:</b>	N/A
<b>Project Title:</b>	Project 2	<b>Responsible Organization:</b>	1026 Constance, LLC
<b>Grantee Program:</b>		<b>Activity Status:</b>	<span style="color: green;">✔</span> Planned

[Financials](#)

[Details](#)

[Documents](#)

[Measures](#)

[Environmental](#)

### Supporting Documents 0

The file size limit is 3MB. Valid file extensions are: .png, .gif, .jpg, .jpeg, .doc, .docx, .xls, .xlsx, .csv, .ppt, .pptx, and .pdf.

[Add Document](#)

No results found.

### Supporting Documents 2

The file size limit is 3MB. Valid file extensions are: .png, .gif, .jpg, .jpeg, .doc, .docx, .xls, .xlsx, .csv, .ppt, .pptx, and .pdf.

Name	Date	Type	Uploaded By
HUD logo.jpg	04/23/2020	JPG	Glen Misner
add activity test.csv	04/23/2020	CSV	Glen Misner

[Add Document](#)

Actions



Grantees can upload support documents at the Action Plan and the Activity level

# Action Plan: Activities - Measures

## Manage Activity

<b>Grant Number:</b>	X-20-R-8-18032	<b>Activity Number:</b>	Activity 3
<b>Grantee Name:</b>	Louisiana	<b>Activity Title:</b>	Activity 3
<b>Appropriation Code:</b>	2013 SDY	<b>Activity Type:</b>	Affordable Rental Housing
<b>National Objective:</b>	N/A	<b>Projected Start &amp; End Date:</b>	2020-01-01 - 2020-12-31
<b>Project Number:</b>	Project 2	<b>Benefit Report Type:</b>	N/A
<b>Project Title:</b>	Project 2	<b>Responsible Organization:</b>	1026 Constance, LLC
<b>Grantee Program:</b>		<b>Activity Status:</b>	Planned

Performance Measure	Proposed Total
# of Properties	<input type="text" value="1"/>
Activity funds eligible for DREF (Ike Only)	<input type="text" value="Total..."/>
Performance Measure	Proposed Total
# of Housing Units	<input type="text" value="84"/>
# of Multifamily Units	<input type="text" value="84"/>

Cancel

Financials   Details   Documents   **Measures**   Environmental

### Performance Measures

### Benefit Reporting Performance

[Edit](#)

### Proposed Accomplishments

Performance Measure	Proposed Total
Activity funds eligible for DREF (Ike Only)	
# of Properties	

[Edit](#)

### Proposed Beneficiaries

Performance Measure	Proposed Total	Low	Mod
No Proposed Beneficiaries selected			

[Edit](#)

Performance Measure	Proposed Total	Low	Mod
# of Households	<input type="text" value="10"/>	<input type="text" value="5"/>	<input type="text" value="5"/>
# Owner Households	<input type="text" value="10"/>	<input type="text" value="5"/>	<input type="text" value="5"/>
# Renter Households	<input type="text" value="0"/>	<input type="text" value="0"/>	<input type="text" value="0"/>

# Action Plan: Activities - Environmental

Financials

Details

Documents

Measures

Environmental

## Environment

Environmental Assessment

Assessment Status:

UNDERWAY

Edit

## Environmental Reviews

No Results Found

Add Environmental Review

x

Add Review

### Search Criteria

HUD Program:

ER Status:

Level Of Review:

Review Type:

ER-ID:

Year of Review:

Project Name:

Responsible Entity:

Partner:

City:

State:

Reset

Search

Cancel

Add Selected

# Action Plan: Submit

User Role: Grantee User  
(with Submit Action Plan role)

Menu Option:  Manage Action Plan

## Manage Action Plan

[← Back](#) [✔ Submit Plan](#)

Grant Number: TEST GRANT  
Grantee Name: Georgia  
Appropriation Code: 2013 SDY  
Action Plan Status:  Original - In Progress

LOCCS Authorized Amount: \$0.00  
Grant Award Amount: \$10,000,000,000.00  
\$0.00 [✎ Edit](#)  
\$0,000.00

[Financials](#)

[Narratives](#)

[Documents](#)

[Measures](#)

[Programs](#)

[Upload](#)

Submit Action Plan for Review

Submission Comments:

[Cancel](#) [✔ Submit](#)

# Action Plan: Submit

User Role: Grantee User

Menu Option:  Manage Action Plan

Action Plan submitted. ✕

## Manage Action Plan ◀ Back

Grant Number:	TEST GRANT	LOCCS Authorized Amount:	\$0.00
Grantee Name:	Georgia	Grant Award Amount:	\$10,000,000,000,000.00
Appropriation Code:	2013 SDY	Total Estimated PI/RL Funds:	\$0.00 <span>✎ Edit</span>
Action Plan Status:	 Submitted - Await for Review	Total Budget:	\$10,000,000,000,000.00

### Create Email

- Success: Action Plan has been saved.

\*Indicates Required Field

Note: Multiple email addresses must be separated by a semi-colon. For Example: abc@hud.gov; xyz@hud.gov

**To :**

**Cc :**

### \*Subject:

DRGR Notification[3] - Action Plan for Grant: TEST GRANT Grantee: GeorgiaSubmitted for HUD Review

### Message:

DRGR Notification[3] - Action Plan for Grant: TEST GRANT Grantee: GeorgiaSubmitted for HUD Review

# Action Plan: Review

User-Role: HUD User

Menu-Option:  Review Action Plan

## ACTION PLANS

View All Action Plans

- Action plan cannot be reviewed unless in submitted status.

1 Page 2 >

State	Grantee Name	Grant Number	Grant Status	Action Plan Status	QPR
GA	Georgia	B-96-DR-13-0001	Close	Original - In Progress	Review Performance Reports
GA	Georgia	B-94-DA-13-0001	Close	Original - In Progress	Review Performance Reports
GA	Albany, GA	B-94-MA-13-0001	Close	Original - In Progress	Review Performance Reports
GA	Macon, GA	B-94-MA-13-0005	Close	Original - In Progress	Review Performance Reports
GA	Savannah, GA	B-94-MA-13-0006	Close	Original - In Progress	Review Performance Reports
GA	Warner Robins, GA	B-94-MA-13-0008	Close	Original - In Progress	Review Performance Reports
GA	Georgia	B-98-DD-13-0001	Close	Submitted - Await for Review	Review Performance Reports
GA	Georgia	B-08-DN-13-0001	Active	Modified - Resubmit When Ready	Review Performance Reports

# Action Plan: Review



## Manage My Grants

### ACTION PLANS

- Manage Action Plan
- View Action Plan
- Download Action Plan
- Review Action Plan
- Search Action Plans
- Review Tools**
- Lookup Consolidated Plans

Action Plan Review Checklists are accessed in Review Tools

<b>Grant Number:</b> B-08-DN-22-0001	<b>Grantee Name:</b> Louisiana
<b>LOCCS Authorized Amount:</b> \$34,183,994.00	<b>Grant Award Amount:</b> \$34,183,994.00
<b>Estimated PI/RL Funds:</b> \$1,492,496.02	<b>Total Budget:</b> \$35,676,490.00
<b>Status:</b> Submitted - Await for Review <input type="button" value="Save Review"/>   <input type="button" value="Cancel Review Action Plan"/>	
<b>Changes from Prior Review</b> Display changes from prior approved review	
<b>SUBMISSIONS COMMENTS</b>	
<b>Action Plan Submission Comments</b> None	
<b>Action Plan Review Comments</b>	
<b>ADD DOCUMENTS IN SUPPORT OF REVIEW</b>	
<b>Supporting Documents</b> * Valid file extensions are: .png .gif .jpg .jpeg .doc .docx .xls .xlsx .ppt .pptx .pdf None <a href="#">Add Additional Documents</a>   <a href="#">Remove Selected Document</a>	

Approval and Rejection are done using the Status dropdown

# Action Plan: Review

## Action Plans

### Review Tools

#### Grant Number:

B-18-DP-13-0001

#### Grantee Name:

Georgia

#### Grantee Submission Comments:

None

#### HUD Review Comments:

None

#### HUD Review Supporting Documents:

None

### Display Changes

[Display changes from prior approved review](#)

Number of differences: 60 differences from 25 lines.

Current		Prior	
- 1	Action Plan	1	Action Plan
2		2	
3	Grantee: New Jersey	3	Grantee: New Jersey
4		4	
5	Grant: B-08-DN-34-0001	5	Grant: B-08-DN-34-0001
6	Grant Award Amount: 51,470,620.00	6	Grant Award Amount: 51,470,620.00
7	LOCCS Grant Amount: 51,470,620.00	7	LOCCS Grant Amount: 51,470,620.00
- 8	Estimated PI: 1,242,779.93	8	Estimated PI: 1,241,779.93
- 9	Total Budget: 52,712,399.93	9	Total Budget: 52,712,399.93
10		10	

### Performance Benchmarks

None

### Review Checklist

[Review Checklist](#)

### Flags

#### Active Action Plan Flags:

Flag Subcategory	Flag Level	Flag Type	Flag Criteria	Flag Status	Flagged Since
AP STRUCTURE	GRANT	AT RISK	OVERALL BENEFIT 75 PCT		08/02/2020

If changes have been made after the initial submission this tool shows the details of those changes

# Action Plan: Review

## Action Plans

### Review Tools

#### Grant Number:

B-18-DP-13-0001

#### Grantee Name:

Georgia

#### Grantee Submission Comments:

None

#### HUD Review Comments:

None

#### HUD Review Supporting Documents:

None

### Display Changes

[Display changes from prior approved review](#)

### Performance Benchmarks

None

### Review Checklist

[Review Checklist](#)

### Flags

#### Active Action Plan Flags:

Flag Subcategory	Flag Level	Flag Type	Flag Criteria	Flag Status	Flagged Since
AP STRUCTURE	GRANT	AT RISK	OVERALL BENEFIT 75 PCT		08/02/2020

## Review Checklist

Grant Number: B-08-MN-27-0001

#### LEGEND:

- OK
- Warning
- Pre-calculated
- Manual Input
- View Supporting Data
- Mandatory

Status

Sequence

Question/Answer and User Choices

### Section: Areas of Greatest Need

1

Does the submission identify a neighborhood or neighborhoods as being areas of greatest need with an individual or average combined index score for the grantees identified target geography that is not less than the lesser of 17 or the 20th percentile most needy score in an individual state?

Yes

No

Verification on Page

Comments:

### Section: Distribution and Use of Funds

1

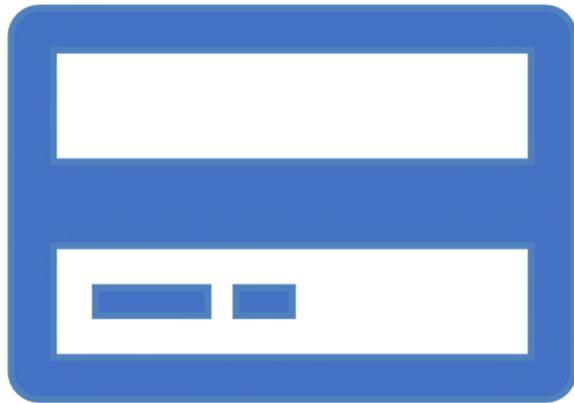
Does the submission contain a narrative describing how the distribution and uses of the grantees NSP3 funds will meet the requirements of Section 2301(c)(2) of HERA, that funds

The review checklist can be completed in the system if this function is activated for an appropriation

# LOCCS Summary

**Pam Abhyankar**

# LOCCS



- Line of Credit Control System
- Secure Systems
- Direct Deposit form

# Line of Credit Control System

The Line of Credit Control System (LOCCS) HUD's primary grant disbursement system, handling disbursements for the majority of HUD programs.



Customers (*users and approving officials*) are required to gain access to Secure Systems. Secure System serves as an internet gateway between the general public and the internal eLOCCS application.

# Secure Systems



To access to eLOCCS, grantees must obtain a Secure System's User ID and password.



The Secure System's User ID will be used to complete the HUD-27054E form that will be mailed to their Program Office.



[https://www.hud.gov/program\\_offices/cfo/loccs\\_guidelines](https://www.hud.gov/program_offices/cfo/loccs_guidelines)

# Direct Deposit

Standard Form 1199A (EG)  
(Rev. June 1987)  
Prescribed by Treasury  
Department  
Treasury Dept. Cir. 1076

OMB No. 1510-0007

## DIRECT DEPOSIT SIGN-UP FORM

### DIRECTIONS

- To sign up for Direct Deposit, the payee is to read the back of this form and fill in the information requested in Sections 1 and 2. Then take or mail this form to the financial institution. The financial institution will verify the information in Sections 1 and 2, and will complete Section 3. The completed form will be returned to the Government agency identified below.
- A separate form must be completed for each type of payment to be sent by Direct Deposit.
- The claim number and type of payment are printed on Government checks. (See the sample check on the back of this form.) This information is also stated on beneficiary/annuitant award letters and other documents from the Government agency.
- Payees must keep the Government agency informed of any address changes in order to receive important information about benefits and to remain qualified for payments.

### SECTION 1 (TO BE COMPLETED BY PAYEE)

<b>A</b> NAME OF PAYEE ( <i>last, first, middle initial</i> )		<b>D</b> TYPE OF DEPOSITOR ACCOUNT <input type="checkbox"/> CHECKING <input type="checkbox"/> SAVINGS	
ADDRESS ( <i>street, route, P.O. Box, APO/FPO</i> )		<b>E</b> DEPOSITOR ACCOUNT NUMBER	
CITY	STATE	ZIP CODE	<input type="text"/>
TELEPHONE NUMBER		<b>F</b> TYPE OF PAYMENT ( <i>Check only one</i> )	
AREA CODE		<input type="checkbox"/> Social Security	<input type="checkbox"/> Fed. Salary/Mil. Civilian Pay
<b>B</b> NAME OF PERSON(S) ENTITLED TO PAYMENT		<input type="checkbox"/> Supplemental Security Income	<input type="checkbox"/> Mil. Active
		<input type="checkbox"/> Railroad Retirement	<input type="checkbox"/> Mil. Retire.
		<input type="checkbox"/> Civil Service Retirement (OPM)	<input type="checkbox"/> Mil. Survivor
		<input type="checkbox"/> VA Compensation or Pension	<input type="checkbox"/> Other _____ ( <i>specify</i> )
<b>C</b> CLAIM OR PAYROLL ID NUMBER		<b>G</b> THIS BOX FOR ALLOTMENT OF PAYMENT ONLY ( <i>if applicable</i> )	
Prefix	Suffix	TYPE	AMOUNT

- Changes in banking information will need to be submitted on SF1199a and can be found at

[https://www.hud.gov/program\\_offices/cfo/locs\\_guidelines](https://www.hud.gov/program_offices/cfo/locs_guidelines)

**Action Plan  
Development  
Aaron Taylor**



# Action Plan Learning Topics



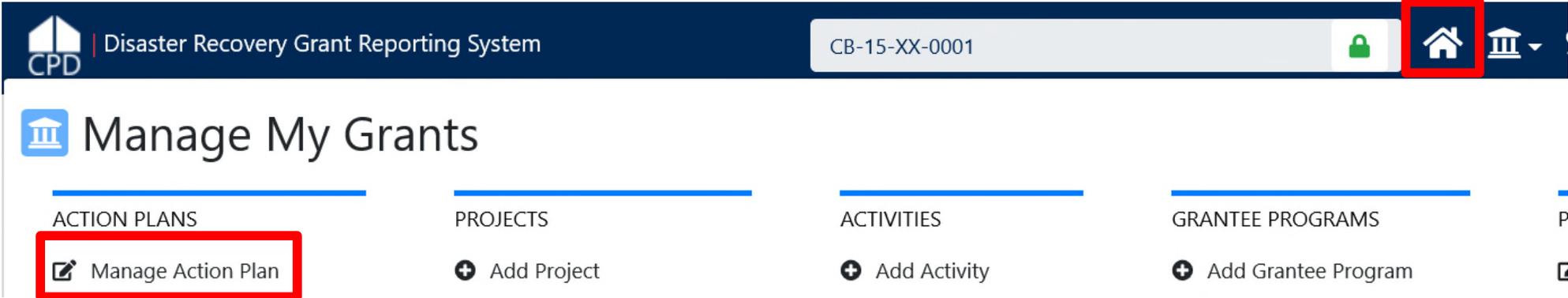
- Action Plan Structure (Structure)
- Action Plan Components (Components)
- Action Plan Activity (Activity)
- Action Plan Activity Supplement (Supplement)
- Action Plan Submission and Review (Review)

# Accessing an Action Plan

Structure

Grantees access an Action Plan through the *Manage Action Plan* selection under the *Manage My Grant* menu.

Components



Activity

Clicking the *Manage Action Plan* will open the *Manage Action Plan* screen.

Supplement



Review

# Action Plan Structure

The *Manage Action Plan* page sub-screens provide access to the different tiers of the Action Plan and their associated components.

	Narratives	Documents	Financials	Measures	Projects	Activities	History	Upload
<b>Narratives</b>	Summary of application rating factor narratives.			<b>Projects</b>	Summary of projects with link to add/edit.			
<b>Documents</b>	Grant level document submissions.			<b>Activities</b>	Summary of activities with link to add/edit.			
<b>Financials</b>	Summary of grant and project financials.			<b>History</b>	Archive of Action Plan versions.			
<b>Measures</b>	Roll up of activity level output projections.			<b>Upload</b>	Data upload feature and templates.			

Structure

Components

Activity

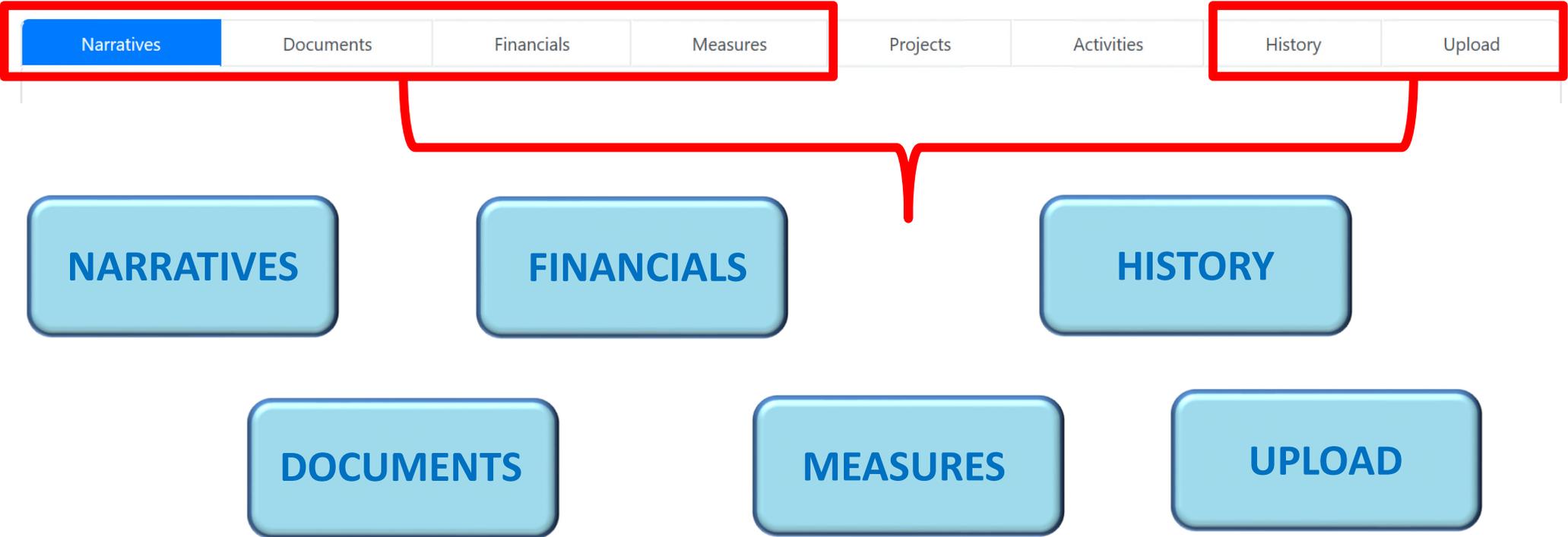
Supplement

Review

# Action Plan Components – Grant Level

The *Manage Action Plan* sub-screens generally provide access to Action Plan components across three levels: **Grant**, **Project** and **Activity**.

The sub-screens focused on the **Grant Level** include:



Structure

Components

Activity

Supplement

Review

# Action Plan Components – Project Level

Narratives	Documents	Financials	Measures	<b>Projects</b>	Activities	History	Upload
------------	-----------	------------	----------	-----------------	------------	---------	--------

- Projects are added on the *Projects* sub-screen accessed from the *Manage Action Plan* screen



**Single Project with activities divided up by eligible activity type.**

**2**

**Design Options**

**Multiple Projects based on Activity Delivery or Scoping**

Structure

Components

Activity

Supplement

Review

# Scoping an Action Plan Activity

- Grantees will spend the bulk of their Action Plan time throughout the grant creating and editing activities.
- Activities should be scoped with the following factors in mind:

Structure



Components



Activity



Supplement



Review

**Eligible Activity Type**

**Staff & Contactors Participating**

**Delivery Method**

**Beneficiaries or Geography Served**



**BEST PRACTICE - Action Plan Development Meeting and Action Plan Outline**



# Creating or Editing Action Plan Activity

- Action Plan activities are created and edited from the *Activities* sub-screen on the *Manage Action Plan* screen.
- Adding or editing an activity will take grantees to the *Manage Activity* screen. This screen has core data and sub-screens.

Structure  
Components  
**Activity**  
Supplement  
Review

### Manage Activity ◀ Back

<b>Grant Number:</b>	CB-15-XX-0001	<b>Activity Number:</b>	1A	
<b>Grantee Name:</b>	rogco	<b>Activity Title:</b>	Rural Housing Development Peer Mentor Program	
<b>Appropriation Code:</b>	FY15 Section 4	<b>Activity Type:</b>	CB - Other Capacity Building Support Activities and Engagements	
<b>National Objective:</b>	CB	<b>Projected Start &amp; End Date:</b>	2015-11-01 - 2017-06-30	
<b>Project Number:</b>	S4CB-001	<b>Benefit Report Type:</b>	N/A	
<b>Project Title:</b>	Direct Engagement and Education	<b>Responsible Organization:</b>	S4 Partners Inc	
		<b>Activity Status:</b>	 Under Way	

FinancialsDetailsDocumentsMeasuresEnvironmental

# Additional Activity Data Entry and Sub-Screens

	Financials	Details	Documents	Measures	Environmental
Structure					
Components	<b>Narrative Descriptions</b> [ <i>Details</i> sub-screen]	Activity and location description narratives.		<b>Environmental Review</b> [ <i>Environmental</i> sub-screen]	Supporting documents for environmental review clearance, rest stored in HEROS.
Activity	<b>Outputs</b> [ <i>Measures</i> sub-section]	Project outputs. List based on <i>Activity Type</i> selection.		<b>Supplement</b> [ <i>Documents</i> sub-screen]	Activity supplement and additional applicable files.
Supplement					
Review	<b>Leverage</b> { <i>Financials</i> sub-screen]	Associate leverage amounts with other funding sources.			

# Action Plan Activity Supplement Fields

- All activities, except admin activities, require an Action Plan activity supplement. Request a template from your Grant Manager.
- **Supplement Template Fields:**

<b>Activity Info</b>	Activity identification data to link to Action Plan.	<b>Budget Narrative</b>	Narrative description of budget figures and assumptions.
<b>Activity Eligibility</b>	Identify NOFA eligible activity category and continuity with application.	<b>Org and Location Served</b>	Narrative summary of organizations or locations served including selection method.
<b>Task Chart</b>	Detailed chart of task delivery including timeline and responsible staff/contractor.	<b>Evaluation and Outputs</b>	Archive of past Action Plan submissions and links to pdf copies.
<b>Detailed Budget</b>	Detailed budget specific to activity. Should reconcile with grant fund and leverage fund data in DRGR.	<b>Amendment Tracker</b>	Tracking tool for amendment submissions and supplement versions.

Structure

Components

Activity

Supplement

Review

# Original Action Plan Submission

---

**Once the Action Plan is complete, then the grantee will submit the Action Plan in DRGR:**

Structure



Components



Activity



Supplement



Review

For the original Action Plan submission, OPDC recommends:

1. Work on an Action Plan outline outside of the system and meet with your grant manager to discuss.
2. Submit a basic Action Plan with one activity (usually Admin) to get approved plan and open draws.

# Action Plan Submission

---

## The RCB Program Operating Instructions advise ...

- Provide an Action Plan outline to your grant manager by **6** months from the grant term start, and
- By **36** months from the grant term start, obligate all grant funds to HUD approved Action Plan activities.

## For subsequent Action Plan submissions and amendments:

- Use RCB program amendment guidance (as applicable)
- Maintain communication with your grant manager, and
- Provide thorough updates in the performance report.

Structure



Components



Activity



Supplement



Review

# Action Plan Review and Approval

---

**Your assigned HUD grant manager will review the Action Plan and decide to Approve or Reject.**

Structure

- **Approval**

- Grant manager approves the Action Plan in the system and a system approval notification email is sent to the grantee.

Components

Activity

- **Rejection**

- Grant manager rejects the Action Plan in the system, records comments, and an automated rejection email is sent.
- Grant manager sends a follow-up email stating the rejection reason and expectations for a future submission.

Supplement

Review

**10 MINUTE BREAK**



**This guidance will provide an overview on submitting an Action Plan Amendment and what is expected of Capacity Building Grantees.**

---

When should a grantee submit an Action Plan Amendment

---

Budget Revision Guidance- Post Award

---

Action Plan Amendment Criteria List

---

How to request an Action Plan Amendment

---

How to minimize the need for an Action Plan Amendment

## When should a grantee submit an Action Plan Amendment?

- An Action Plan Amendment is submitted when a grantee needs to make revisions to their current approved Action Plan.
- Amendments are required for changes such as the period of performance, adding or deleting an activity, or any budget allocation increase.
- Amendments must be reviewed and approved by HUD in DRGR. DRGR will flag these changes and block further expenditures until they are reviewed and approved in the system.



# Action Plan Amendment Guidance Budget Revisions

---

For budget revisions to approved Action Plan activities, HUD advises grantees to adhere to the 10% threshold discussed in 2 CFR 200.308, such that the grantee would need HUD approval for a budget revision in excess of 10% of the approved Action Plan activity budget.

---

Within the 10% budget revision threshold, grantees may move funds between line items in their Action Plan activity as long as the scope and projected accomplishments of the approved activity are not altered.

---

If grantees move funds between line items without exceeding the 10% threshold then grantees should report on this modification in the next performance report submission.

---

Due to the limitations of the DRGR system, any transfer of funds from one activity to another activity will result in a revised Action Plan and necessitate HUD approval for enactment. Any change to the scope of an activity, even if it is less than a 10% change to the budget, requires an amendment to the Action Plan.

# Action Plan Amendment Criteria List

A grantee should include the following relevant criteria when submitting an Action Plan Amendment:

➤ **Budget**

- Changes in the grant funds budgeted to a single work plan
- Shift of grant funds from one work plan to another
- Change in application of match/leverage commitment or source
- Modification for change in approved indirect cost rate

➤ **Service area**

- Modification in regions served
- Modification in organization types serve

➤ **Projected performance accomplishments**

- Change in the projected performance accomplishments for a single work plan
- Elimination of performance outputs or accomplishments in an approved work plan

➤ **Work plan scope**

- Substantial modification in the work plan scope, strategy, or method(s) of implementation
- Change in project partners or contractors, if identified in application or in the most recent HUD approved work plan
- Changes to Key Personnel



# How To Request an Action Plan Amendment

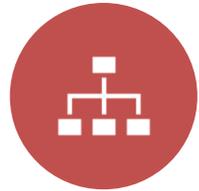
- All potential amendments should be discussed with the assigned HUD Grant Manager by email before formal documentation is prepared. This will allow HUD to make a preliminary determination on whether an amendment is needed and if so, what documentation is required. The email should clearly state what documents or agreement requires an amendment and why the amendment is being requested.
- HUD approves Action Plan activities by reviewing and approving the Action Plan in DRGR. An archive of Action Plans are stored so HUD and the grantee can access every version of the Action Plan that has been approved by HUD.
- When creating an amendment the Grantee must go into the last “Reviewed and Approved” Action Plan and make the necessary data field updates.
- The Grantee should send an email to the HUD Grant Manager summarizing the changes made. The HUD Grant Manager will cross check the changes with the prior Action Plan for consistency.

# How to Minimize the Need for Action Plan Amendments

- Communicate with your HUD Grant Manager early in the Action Plan phase by discussing the project vision, Action Plan layout and design.
- If an issue or obstacle arises that could trigger an amendment, email your Grant Manager to provide a brief summary, so they can make a preliminary determination as to whether an amendment is needed. This can save your grantee staff members hours used in planning and preparing an amendment when one is not needed.

# Performance Report

Aaron Taylor



Performance Report  
Structure (Structure)



Performance Report  
Components  
(Components)



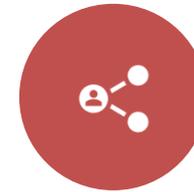
Performance Report  
Activity (Activity)



Activity Reporting  
Supplement  
(Supplement)



Financial Reporting  
(Financial)



Performance Report  
Submission and  
Review (Submission)

# Performance Report Learning Topics

# Accessing a Performance Report

Structure

Grantees access a performance report through the *Manage Performance Report* selection under the *Manage My Grant* menu.

Components



The screenshot shows the top navigation bar of the 'Disaster Recovery Grant Reporting System' with the user ID 'CB-15-XX-0001'. The 'Manage My Grants' section is active, displaying five main categories: ACTION PLANS, PROJECTS, ACTIVITIES, GRANTEE PROGRAMS, and PERFORMANCE REPORTS. Under the PERFORMANCE REPORTS category, the 'Manage Performance Report' link is highlighted with a red box.

Activity

Clicking the *Manage Performance Report link* will open the *Manage Performance Reports* screen. Select the appropriate time period report and click  “manage” button to enter the report.

Supplement



The screenshot shows the 'Manage Performance Reports' screen, which is highlighted with a red box. The top navigation bar is identical to the previous screenshot, showing the system name and user ID.

Financial

Submission

# Performance Report Structure

The *Manage Performance Report* screen has a selection of sub-screens that provide access to the different tiers of the performance report and allow for completion of the components.

Structure



Components



Activity



Supplement



Financial



Submission

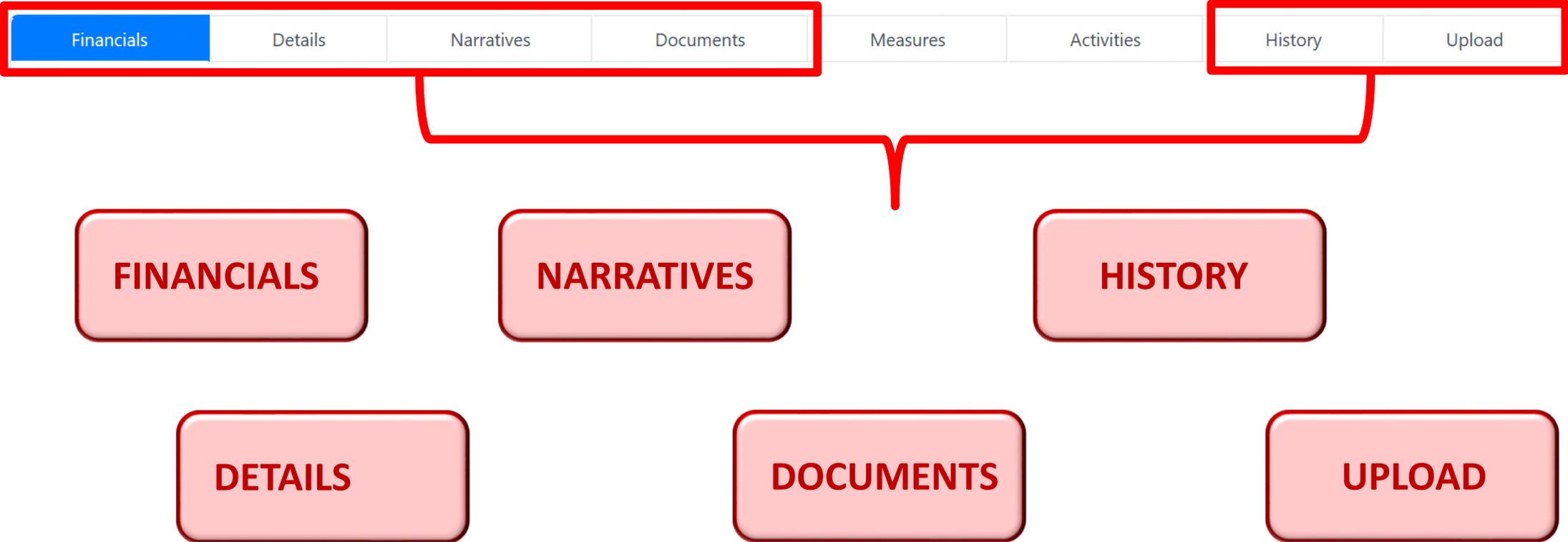
Financials	Details	Narratives	Documents	Measures	Activities	History	Upload
------------	---------	------------	-----------	----------	------------	---------	--------

<b>Financials</b>	Roll up summary of financial performance.	<b>Measures</b>	Roll up of performance output activity level.
<b>Details</b>	Utilized for digital SF-425 submission.	<b>Activities</b>	Access point for activity level reporting.
<b>Narratives</b>	Overall grant progress narrative.	<b>History</b>	Version submission history and pdf archive.
<b>Documents</b>	Grant level attachments for submission to HUD.	<b>Upload</b>	Data upload resource and access to templates.

# Performance Report Components – Grant Level

The *Manage Performance Report* sub-screens provide access to report components across two levels: Grant and Activity.

The sub-screens focused on the **Grant Level** include:



Structure

Components

Activity

Supplement

Financial

Submission

# Performance Report Components – Activity Level

---

Structure

**Grantees will spend the bulk of their performance report time throughout the grant creating and editing activities.**

Components

Activity Level Data Forms the Base:

Activity

- Output and financial data entered at the activity level is summated in other parts of the report and integrated into the SF-425 digital form.

Supplement

Financial



**BEST PRACTICE** - If there is a problem with output or financial reporting, it usually derives from the activity.



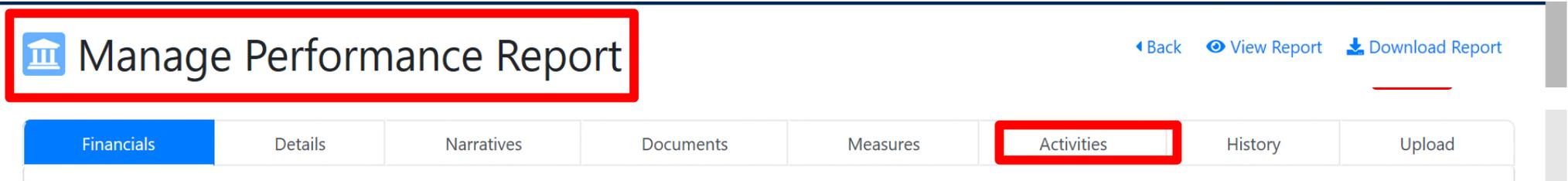
Submission

# Accessing Activity Reporting

Structure

From the *Manage Performance Report* screen select the *Activities* sub-screen then the  “manage” button for the specific activity

Components



Activity

The Resulting screen is called *Manage Performance Report – Activity screen* and has the following sub-screens for activity data entry.

Supplement

Financial



Submission

# Activity Data Entry and Sub-Screens

Structure	Financials	Narratives	Documents	Measures	Addresses
Components	<b>Financials</b> [Financials sub-screen]	Funds expended and leverage contribution data entry.		<b>Outputs</b> [Measures sub-screen]	Record outputs achieved this reporting period.
Activity	<b>Narrative</b> [Narratives sub-section]	Activity narrative update (1-2 paragraphs).		<b>Beneficiaries</b> [Addresses sub-screen]	Record address data for beneficiaries. Can use data file upload.
Supplement	<b>Supplement</b> [Documents sub-screen]	Activity reporting supplement and other applicable documents.			
Financial					
Submission					

**BEST PRACTICE** – Check output data entry for double counting. If you serve a beneficiary in a prior period, don't count them again if same work is ongoing.

# Performance Report Activity Supplement

**Generally, all activities require a supplement, except for admin activities or if no work was recorded on an activity for the period.**

Structure



Components



Activity



Supplement



Financial



Submission

- Fields in Supplement Template:

<b>Activity Info</b>	Activity identification data to link to Action Plan.	<b>Additional Outputs</b>	Record outputs achieved this reporting period, beyond what is in DRGR.
<b>Beneficiary Summaries</b>	Narrative updates on the specific work done, include specific beneficiary stories.	<b>Leverage Source Contributions</b>	Reconciliation of leverage resources. Should match what is in DRGR.

# Performance Report Financials

---

Structure



Components



Activity



Supplement



Financial



Submission

## Grantees now submit their SF-425 forms digitally through DRGR:

- Before submission complete the following financial reconciliations:
  - Confirm funds expended amount for each activity.
  - Check that SF-425 entries match the financial summary in DRGR on the *Financials* sub-screen of the *Manage Performance Report* screen.
  - Attach leverage supporting documentation.



**BEST PRACTICE** - Meet internally to discuss budget progress and drawdown/spending rates to assess award implementation.



# Performance Report Internal Review and Submission

---

Structure



**ACTION PLAN REVIEW** - Review the approved Action Plan to ensure that the work implemented aligns with the work approved, if there are differences do at least one of the following:

Components



- Document the changes/updates in the performance report,
- Review the amendment guidance to determine whether an Action Plan amendment is needed, and/or
- Contact HUD to discuss the changes.

Activity



Supplement



Financial



**When the performance report is complete, submit the report in DRGR.**

**Submission**

# Performance Report Review and Approval

---

**Your assigned HUD grant manager will review the Performance Report and decide to Approve or Reject.**

- **Approval**

- Grant manager approves the performance report in the system and notification email is sent to the grantee.

- **Rejection**

- Grant manager rejects the performance report, records rejection comments, and a system rejection email is sent.
- Grant manager sends a follow-up email stating the rejection reason and expectations for a future submission.

Structure



Components



Activity



Supplement



Financial



**Submission**

# Leverage Guidance

Aaron Taylor



## Leverage Learning Topics

- Leverage Requirement (Requirement)
- Common Leverage Sources (Sources)
- Recording Leverage in the Action Plan (Action Plan)
- Recording Leverage in the Performance Report (Reporting)
- Leverage Supporting Documentation (Documentation)
- Leverage Modification (Modification)

# Leverage Requirement

## Requirement

- Applicants submit leverage commitments with their applications.
- When the application is awarded, HUD identifies a leverage contribution percentage and amount in the grant agreement and HUD-1044. **This is the required grant leverage commitment.**
- If a grantee fails to meet the leverage commitment by the end of the grant term, then repayment may be required.
- If a grantee does not expend the full balance of their grant award at closeout, then the leverage commitment amount will be adjusted based on the grant funds expended (example below).

## Sources

## Action Plan

## Reporting

## Documentation

## Modification

Grant Award = \$1,000,000

Funds Expended = \$900,000

Original Leverage = \$200,000

Leverage Percentage = 20%

**New Leverage Commitment = \$900,000 x .20 = \$180,000**

# Common Leverage Sources

---

Requirement

**Grantees submit a variety of leverage sources with their applications. The most common leverage sources are ...**

Sources

- Undedicated funds (cash) from grantee or project partners,
- In-kind work time, resources, or training, and/or
- Philanthropic support or donation.

Action Plan

Reporting

Documentation

**BEST PRACTICE** – If a leverage commitment needs to be revised or changed out during the grant period, setup a meeting with your grant manager to discuss.

Modification

# Recording Leverage in the Action Plan

---

Requirement



Sources



Action Plan



Reporting



Documentation



Modification

- In the Action Plan, leverage is recorded at the activity level. **Specifically, it is documented as a other funding source (non-match) on the *Financials* sub-screen on the *Manage Activity* screen.**
- For each Action Plan activity, the grantee records the specific amount of leverage being committed by each funding source.
- Grantees can upload copies of the specific leverage commitments on the *Documents* sub-screen on the *Manage Action Plan* screen or *Manage Activity* screen.

**DRGR SCREENS ON NEXT SLIDE**

# Recording Leverage in the Action Plan

- *Manage Action Plan* screen – *Financials* sub-screen (other funding sources list)

Funding Sources [+ Add Funding Source](#)

Funding Source Name	Funding Type	Actions
AZ Partners Inc	Other Private Funds	
Health Directives United	Other Federal Funds	
S4 Partners Inc	Other Private Funds	
XYZ Community Partners	Other Private Funds	

- *Manage Activity* screen – *Financials* sub-screen (“edit”)

Funding Sources

Funding Source Name	Funding Type	Matching Fund Amount	Other Fund Amount	Edit
Health Directives United	Other Federal Funds		\$100,000.00	
S4 Partners Inc	Other Private Funds	\$50,000.00		
<b>TOTAL:</b>		<b>\$50,000.00</b>	<b>\$100,000.00</b>	

Funding Source Name	Funding Type	Matching Funds	Fund Amount
AZ Partners Inc	Other Private Funds	<input type="checkbox"/> No	(\$) Enter Fund Amount ...
Health Directives United	Other Federal Funds	<input type="checkbox"/> No	100000
S4 Partners Inc	Other Private Funds	<input checked="" type="checkbox"/> Yes	50000
XYZ Community Partners	Other Private Funds	<input type="checkbox"/> No	(\$) Enter Fund Amount ...
<b>TOTAL:</b>			<b>\$150,000.00</b>

Requirement

Sources

Action Plan

Reporting

Documentation

Modification

# Recording Leverage in the Performance Report

Grantees document leverage contributions each period by activity, using the other funds data entry fields on the *Financials* sub-screen of the *Manage Performance Report – Activity* screen.

Requirement

Sources

Action Plan

Reporting

Documentation

Modification

Other Funds

Overall	Funding Type	This Report Period	To Date
Matching Funds		\$0.00	\$0.00
S4 Partners Inc	Other Private Funds	\$0.00	\$0.00
Non-Matching Funds		\$0.00	\$0.00
Health Directives United	Other Federal Funds	\$0.00	\$0.00

 Edit

**BEST PRACTICE** – Verify the total leverage contribution on the award financial summary on the *Financials* sub-screen of the Management Performance Report screen and reconcile this amount with the digital SF-425 submission.

# Leverage Supporting Documentation

---

Requirement



Sources



Action Plan



Reporting



Documentation



Modification

**To support leverage contributions grantees should provide the following:**

- The leverage source, type of contribution, work that was performed, and the result of the contribution, and
  - How the leverage contribution contributed to implementation of the grant award and specific Action Plan activity.
- 
- The supporting documentation should be uploaded to the *Documents* sub-screen of the *Manage Performance Report – Activity screen*.

# In-Kind Leverage Supporting Documentation

---

**For in-kind leverage contributions, the grantee needs to maintain detailed records, such as,**

- **Timesheet or work log with ...**

- Date and time worked, and

- Work completed with verification that the work performed was not charged to the grant.

Requirement



Sources



Action Plan



Reporting



**Documentation**



Modification

# Leverage Source Modification

---

**If a leverage source can no longer be utilized as a leverage contribution, the grantee should immediately notify its HUD grant manager and address the following issues:**

- Leverage contribution source and amount of leverage lost,
- Reason for lost leverage source, and
- Plan of action for obtaining a new leverage source.

- Any new leverage contributions need to be reviewed by HUD to assess program eligibility and alignment with the Action Plan.
- Newly approved leverage must be integrated into the Action Plan and should be discussed in the performance report.

Requirement



Sources



Action Plan



Reporting



Documentation



Modification



# **RCB Peer Exchange**

## **Andrala Walker**



**Can you share one lesson  
you've learned or strategy  
you've used for effective  
capacity-building in rural  
communities within the  
past year?**

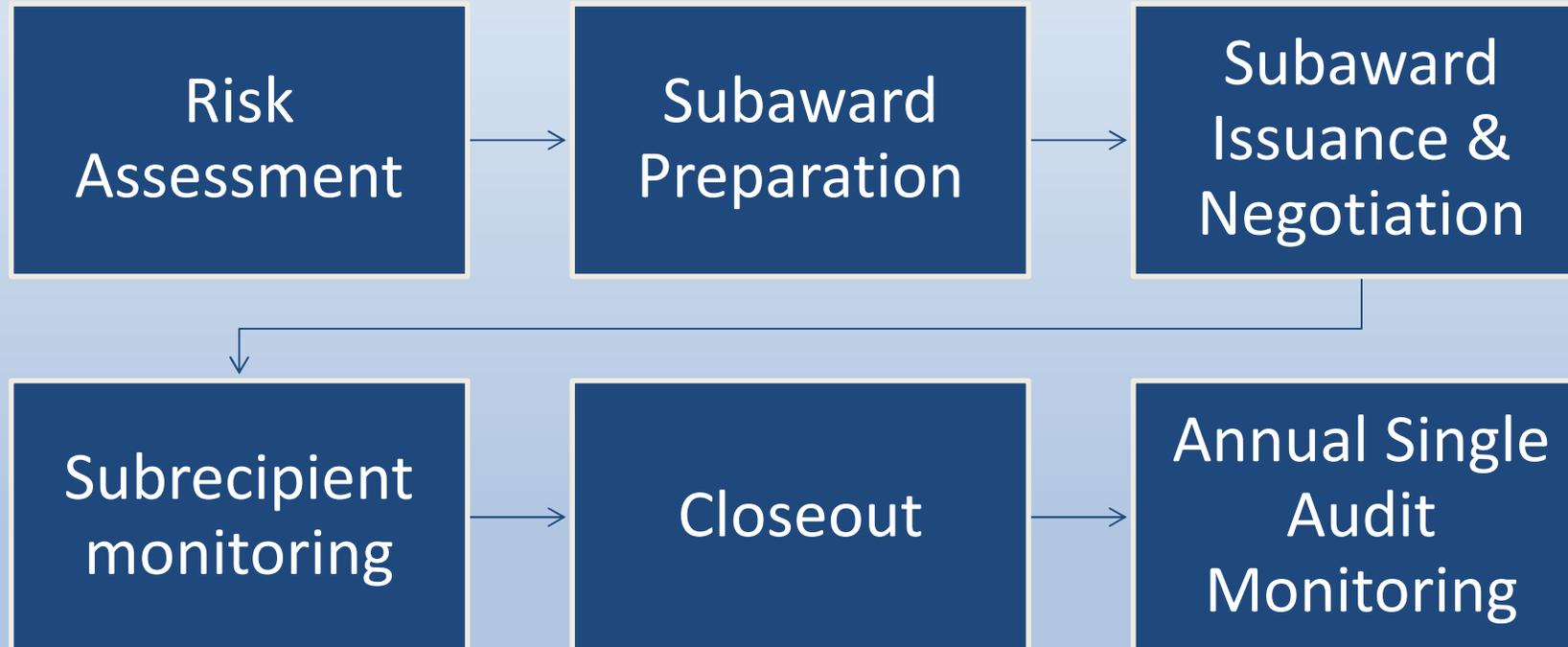
**RCB Peer  
ange, Day 2**

**10 MINUTE BREAK**

# Subrecipient Management and Monitoring 2CFR200.331 (c-f)

Andrala Walker

# Subrecipient Monitoring Guidelines – Lifecycle of a Subaward



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## Key Responsibilities of Grantees

RISK ASSESSMENT



ONGOING MONITORING



AUDIT RESOLUTION



# Risk Assessment

---

- Grantee should assess the risk of a subrecipient's noncompliance with federal statutes, regulations, and the terms and conditions of the subaward at the outset of the relationship and at least annually afterward.
  - Prior federal awards
  - Financial stability
  - Policies and Procedures

# Three Common Compliance Issues with Subrecipients



NON-COMPETITIVE PRACTICES  
OF SUBRECIPIENTS AND  
CONTRACTORS



INSUFFICIENT DOCUMENTATION  
TO SUPPORT EXPENDITURES



AUDIT FINDINGS THAT POINT TO  
COMPLIANCE ISSUES

# Ongoing Monitoring

- Create a plan for how you will monitor subrecipients
- Conduct Data Quality Reviews
- Require Progress Reports
- Review the full scope of work, not just fiscal or administrative
- Ensure continuous improvement



# Audit Resolution (Follow Up to Monitoring)

- Actively share your findings or concerns with subrecipients as a result of your monitoring efforts
- Collaborate to address any shortcomings or issues
- Document, document, document.



# Closeout Guidance

Andrala Walker



## Closeout Requirements for RCB Grants

- For awards made in FY 2015 or later, grantees should use the **RCB Grant Program 2 CFR 200 Closeout Guide – (dated 8.30.2019)**
- As stated in the Executed Grant Agreement and in 2 CFR 200.343(a), **no later than 90 days following the grant term (performance period) end date**, RCB Grantees must submit required documentation for closeout
- There are three phases to grant closeout:
  - Grantee Preparation
  - HUD Review
  - Post-Closeout Requirements

# RCB Closeout – Phase 1: Grantee Preparation

- Reconcile financial documents and approve final reimbursements
- Collect final deliverables from all project partners and sub-awardees
- Review Grant Agreements, Grant Application, and Action Plan activities
- Prepare the Grant Closeout Package (checklist in Guide)





## **RCB Closeout – Phase 2: HUD Review**

- Grantee sends the completed Closeout Package, Certificate of Project Completion and final Quarterly Performance Report to HUD
- HUD reviews and recommends closeout
- HUD prepares Grant Closeout Agreement for grantee signature
- Repayment of any disallowed costs (if applicable)

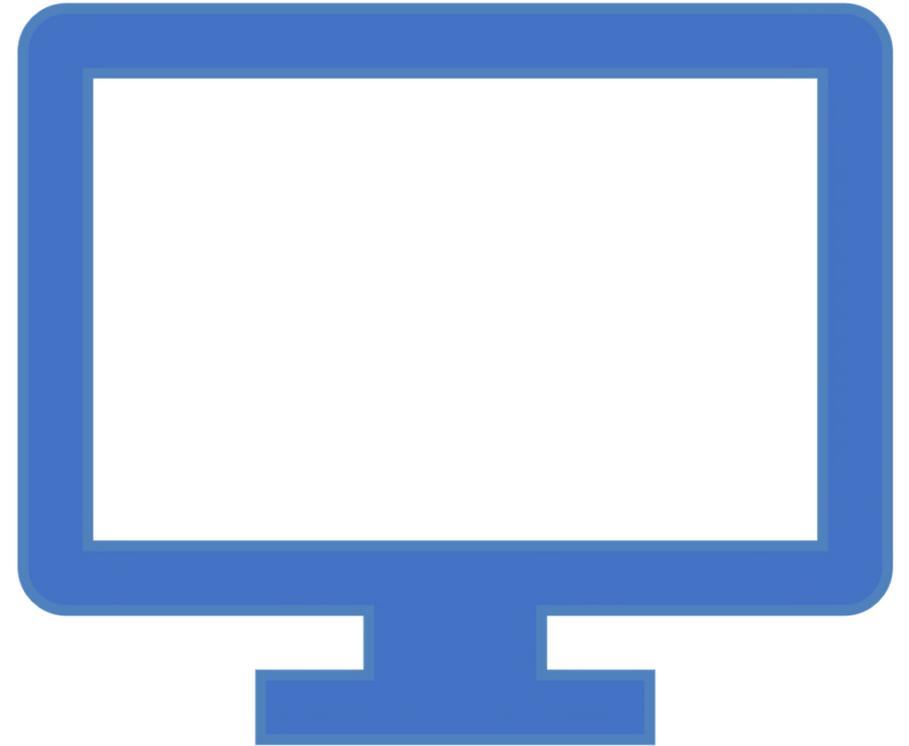
# RCB Closeout – Phase 3: Post-Closeout Requirements

- As outlined in 2 CFR 200.333 and 2 CFR 200.344, all financial records, supporting documents, and all other records pertinent to an award **shall be retained for a period of three years** from the date of submission of the final expenditure report.
- **Post-closeout audit or monitoring** – grantee may still be liable for any disallowed costs found through a post-closeout audit or monitoring
- **Share lessons learned** from grant implementation (evaluation, feedback, surveys)



# Helpful Websites and Resources

**Pam Abhyankar**



Helpful  
Websites  
and  
Resources

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Rural Mapping Tool

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HUD.gov

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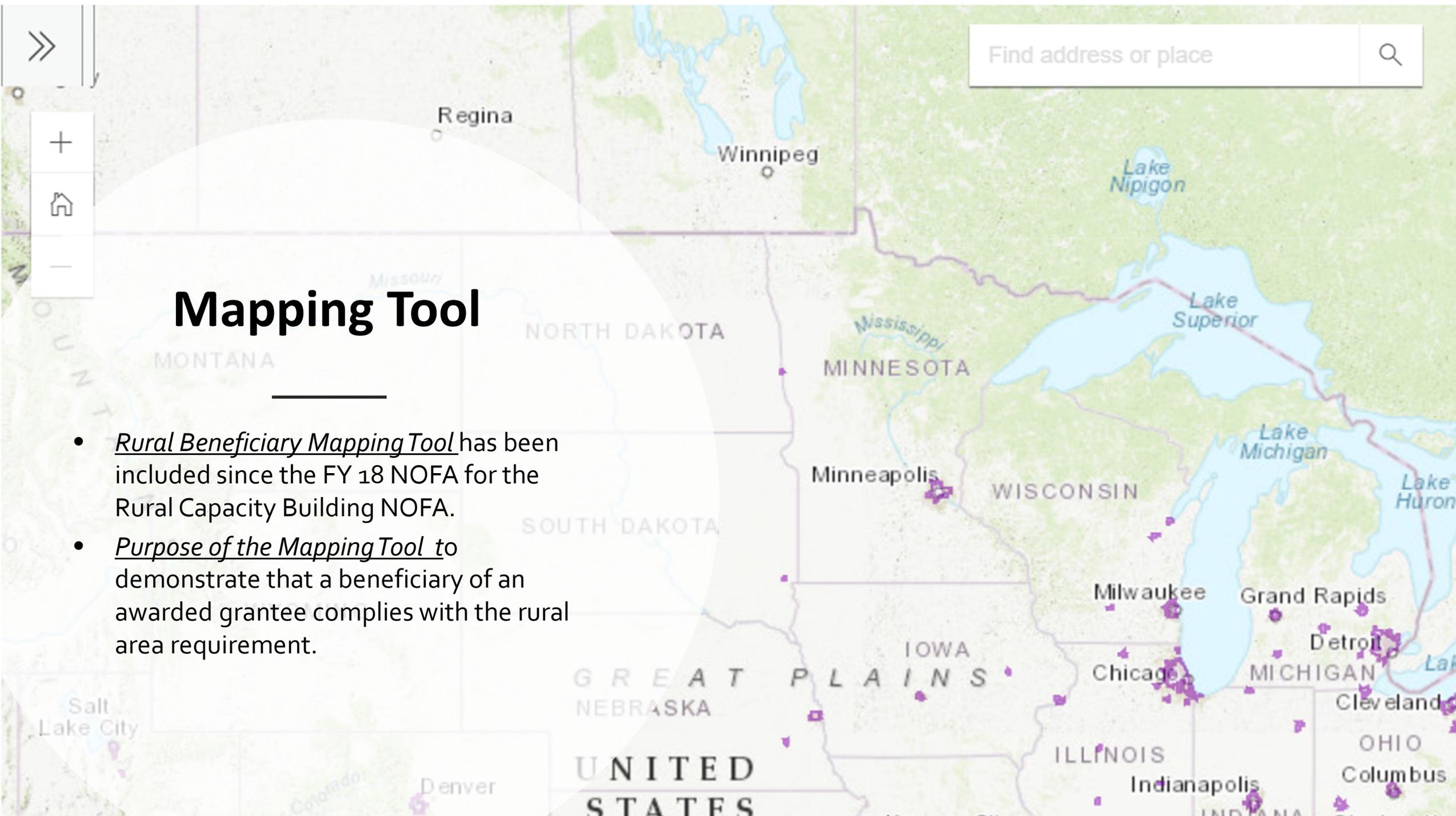
HUD Exchange

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Important NOFO sites

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Training

A map of the United States with a search bar at the top right containing the text "Find address or place" and a magnifying glass icon. On the left side, there are navigation controls: a double arrow icon, a plus sign, a house icon, and a minus sign. The map shows state boundaries and names: MONTANA, NORTH DAKOTA, SOUTH DAKOTA, NEBRASKA, MINNESOTA, WISCONSIN, IOWA, ILLINOIS, INDIANA, OHIO, MICHIGAN, and GREAT PLAINS. Major cities like Regina, Winnipeg, Minneapolis, Milwaukee, Chicago, Grand Rapids, Detroit, Cleveland, Columbus, Indianapolis, and Denver are marked. Large lakes like Lake Superior, Lake Michigan, and Lake Huron are also labeled. A semi-transparent white circle is overlaid on the map, containing the text and list.

# Mapping Tool

- Rural Beneficiary Mapping Tool has been included since the FY 18 NOFA for the Rural Capacity Building NOFA.
- Purpose of the Mapping Tool to demonstrate that a beneficiary of an awarded grantee complies with the rural area requirement.

## Mapping Tool

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Grantees are expected to implement a review process to confirm that the proposed rural beneficiary is physically located within an eligible rural area or, as a result of capacity building.

---

HUD has created the embedded mapping tool for capacity building grantees to utilize in assessing a beneficiary's compliance with the rural area definition.

# HUD.gov Sites

- Rural Capacity Building

[https://www.hud.gov/program\\_offices/comm\\_planning/capacitybuilding/](https://www.hud.gov/program_offices/comm_planning/capacitybuilding/)

- OPDC site

[https://www.hud.gov/program\\_offices/comm\\_planning/policy\\_dev\\_coordination](https://www.hud.gov/program_offices/comm_planning/policy_dev_coordination)



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## HUD Exchange Sites

### Rural Capacity Building

<https://www.hudexchange.info/programs/rural-capacity-building/>

### DRGR

<https://www.hudexchange.info/programs/drgr/>



# Important NOFO sites

- For press releases: [https://www.hud.gov/press/press\\_releases\\_media\\_advisories](https://www.hud.gov/press/press_releases_media_advisories)
- For current NOFOs – HUDs funding opportunity page: <https://www.hud.gov/grants>
- Archived funding announcements: <https://archives.hud.gov/funding/index.cfm>

# Trainings

- **HUD Exchange Trainings (main training site):** <https://www.hudexchange.info/trainings/>
- **HUD Agency Development and Grant Writing Virtual Workshop Series:** <https://www.hudexchange.info/trainings/courses/hud-agency-development-and-grant-writing-virtual-workshop-series/>
- **Financial Management Training:** <https://www.hudexchange.info/trainings/financial-management-curriculum/>

RCB Grantee Technical Assistance/Training Meeting Feedback-  
Survey ([surveymonkey.com](https://www.surveymonkey.com))

# Questions



THANK  
YOU