



NACo

Subtitle

Presenter Names

Institute for Building Technology and Safety



ABOUT US

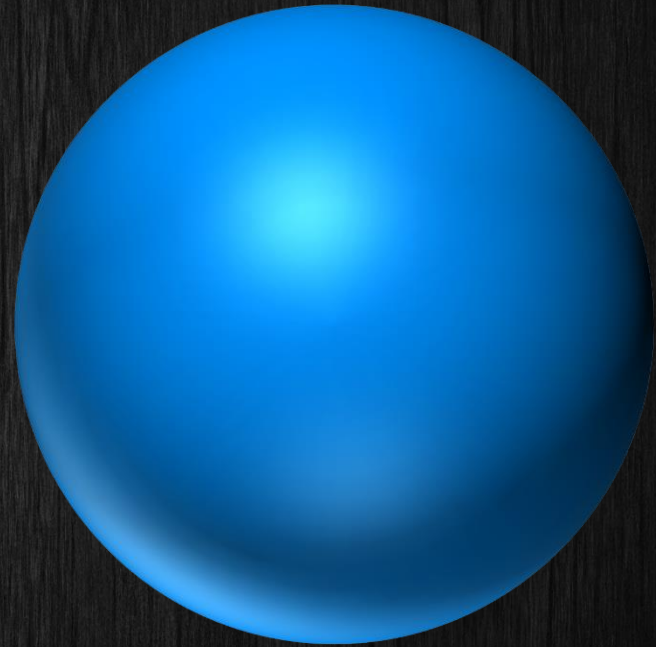
The Institute for Building Technology and Safety is a 501(c)(3) nonprofit organization established to provide unbiased professional services, while enhancing the communities in which we work.



public sector
accountability
private sector
flexibility



**EFFECTIVE
GRANT
MANAGEMENT -
HOW WE DO
MORE WITH LESS**





EFFECTIVE GRANT MANAGEMENT - HOW WE DO MORE WITH LESS

- ▶ Entitlement Funds and CDBG/HOME Programs



EFFECTIVE GRANT MANAGEMENT - HOW WE DO MORE WITH LESS

- ▶ Entitlement Funds and CDBG/HOME Programs
- ▶ Customized & Locally Relevant Programs



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- ▶ Comply with Planning Requirements of Funder



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- ▶ Assessing Subrecipients Capacity Prior to Funding



EFFECTIVE GRANT MANAGEMENT - HOW WE DO MORE WITH LESS

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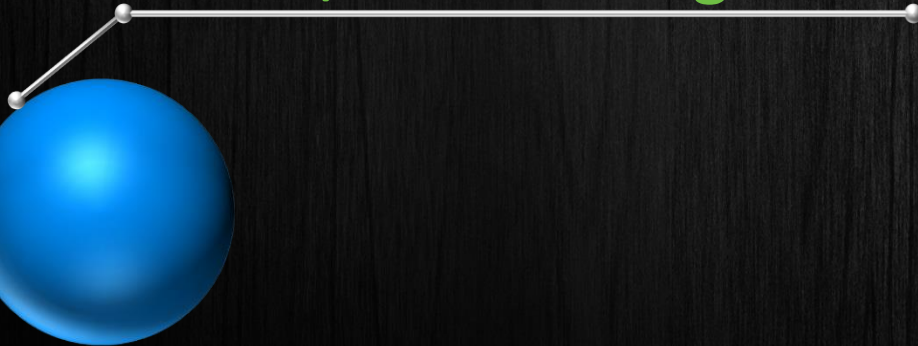
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- ▶ Reporting Requirements for Funder
- ▶ Implementing an Effective Compliance Monitoring Process



EFFECTIVE GRANT MANAGEMENT - HOW WE DO MORE WITH LESS

- ▶ Entitlement Funds and CDBG/HOME Programs
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- ▶ Implementing an Effective Compliance Monitoring Process
- ▶ Capacity Building Assistance with Low Performing Subrecipients

Entitlement Funds and CDBG/HOME Programs



- ▶ How can a CDBG program run with the biggest bang while having reduction in work and meeting all CDBG objectives?



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Entitlement Funds and CDBG/HOME Programs



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Entitlement Funds and CDBG/HOME Programs

- ▶ Capitalize on building more units with less red tape in the HOME program by taking advantage of the CHDO proceeds.



Entitlement Funds and CDBG/HOME Programs

- ▶ CHDO regulation states,
 - > “While proceeds that the participating jurisdiction permits the community housing development organization to retain are not subject to the requirements of this part, the participating jurisdiction must specify in the written agreement with the community housing development organization whether the proceeds are to be used for HOME-eligible activities or other housing activities to benefit low-income families”



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Entitlement Funds and CDBG/HOME Programs

Customized & Locally Relevant Programs



- ▶ The main point, which can often be the hardest to avoid, is to not get stuck in the CDBG rut.



Customized & Locally Relevant Programs



- ▶ Be comfortable with utilizing industry professionals to help support the community goals.



Customized & Locally Relevant Programs

- ▶ Find out what is really important to the community.
- ▶ Find someone who knows both the community and has extensive CDBG knowledge, someone who can help find creative ways to get the project eligible.



Customized & Locally Relevant Programs



- ▶ Example of this practice:



Customized & Locally Relevant Programs



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 - > Communities problem: They wanted to use CDBG funds to upgrade their outdoor amphitheater as a tourist destination. Tourism is not typically eligible, although it can be allowed sometimes in CDBG-DR programs.



Customized & Locally Relevant Programs



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- > Communities problem: They wanted to use CDBG funds to upgrade their outdoor amphitheater as a tourist destination. Tourism is not typically eligible, although it can be allowed sometimes in CDBG-DR programs.
- > Communities solution: They were able to find that one person who thinks outside the box and determine that building a handicap ramp all the way down to the bottom of the amphitheater and building new handicap bathrooms could allow the project to become eligible.



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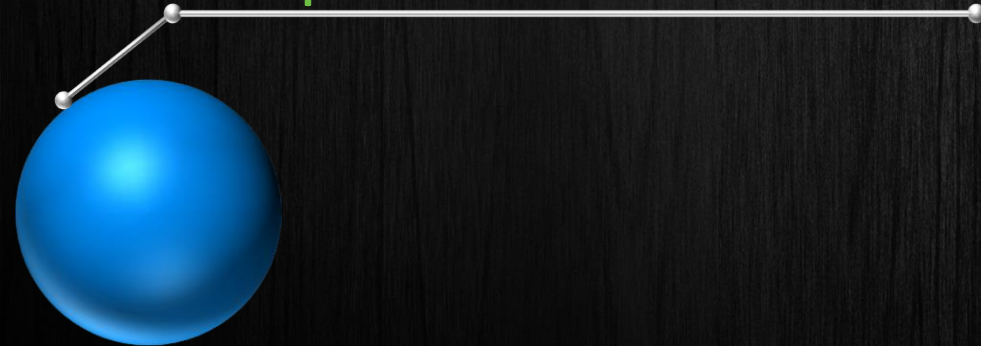
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Customized & Locally Relevant Programs

Comply with Planning Requirements of Funder



- ▶ Planning and compliance requirements should begin long before grant is received.



Comply with Planning Requirements of Funder



- ▶ If grant funds directly affect home or business owners, are these individuals eligible to receive these funds?
- ▶ Does this project/program meet national objectives?



Comply with Planning Requirements of Funder

- Forecast the level of effort and special requirements needed to implement the grant.



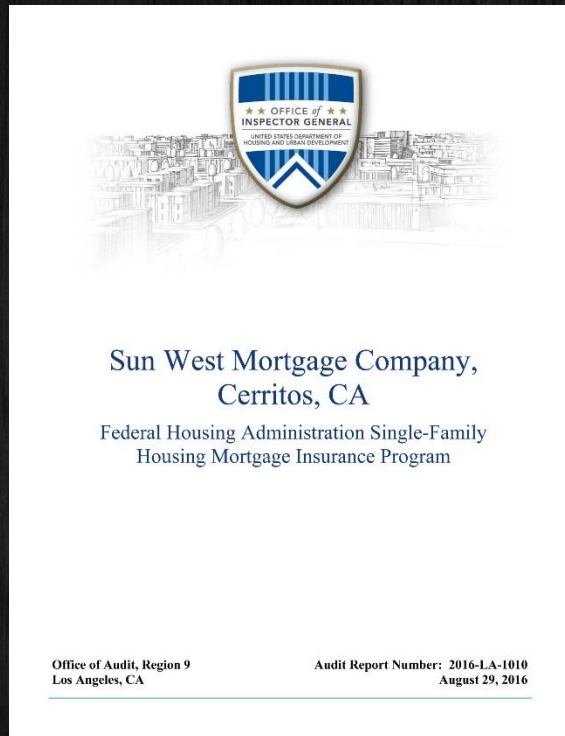
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- ▶ Every funder has differing requirements from its grantees; awareness of the specific requirements for executing these grant funds is essential.



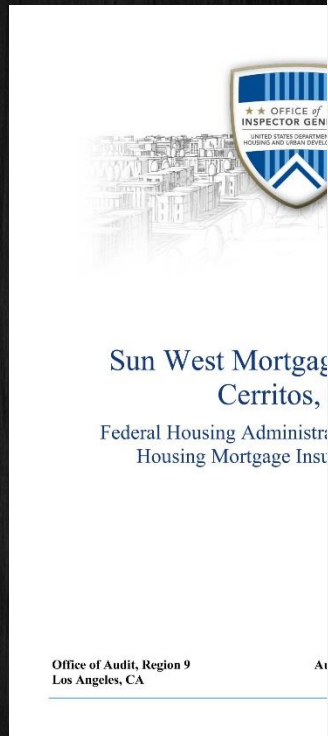
Comply with Planning Requirements of Funder

► Inspector General Audit Letter



Comply with Planning Requirements of Funder

► Inspector General Audit Letter



Audit Report Number: 2016-LA-1010
Date: August 29, 2016

Sun West Mortgage Company, Cerritos, CA, Did Not Always Meet HUD-FHA Loan Underwriting and Quality Control Requirements

Highlights

What We Audited and Why

We reviewed Sun West Mortgage Company's loan underwriting activities, including quality controls, based on a citizen complaint alleging that the mortgage company was deficient in underwriting its loans. The complaint further alleged that the mortgage company used unauthorized staff in another country and shared user identification numbers to "pre-underwrite" Federal Housing Administration (FHA)-insured loans. Our objective was to determine whether Sun West followed U.S. Department of Housing and Urban Development (HUD) requirements related to underwriting, responsibilities for its employees, and control over and access to Computerized Homes Underwriting Reporting System identification numbers.

What We Found

Sun West did not always meet HUD underwriting requirements when underwriting its FHA-insured loans. Of 16 loans reviewed, 2 had significant deficiencies. HUD paid a claim of \$144,891 for one loan, and the borrower for the second loan was in bankruptcy. Therefore, the HUD-FHA insurance fund was at an increased risk of an additional loss of \$97,937. Sun West also did not always obtain all documentation required for review of loans that defaulted early, and did not follow up on unanswered reverifications for its routine quality control reviews. In addition, it did not include all items required by HUD in its branch office reviews.

We could not substantiate the complaint allegation that Sun West used unauthorized employees in another county to underwrite its FHA-insured loans. Although Sun West used an affiliated company in another country for services, the services provided were for quality control, not mortgage underwriting. The lender also maintained reasonable policies and procedures for its employees' user identification numbers and passwords.

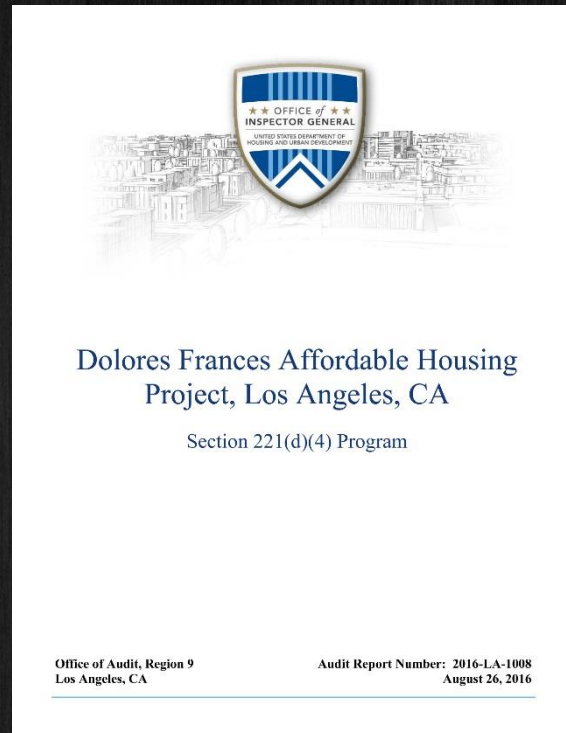
What We Recommend

We recommend that HUD require Sun West to reimburse the FHA insurance fund for the \$144,891, the claim amount paid by HUD for one loan. The lender should also indemnify HUD against potential losses of \$97,937 for one FHA-insured loan that did not comply with underwriting requirements. In addition, the lender should improve its policies and procedures to ensure that responsible employees are aware of HUD-FHA underwriting requirements and policies related to HUD's quality control program requirements.



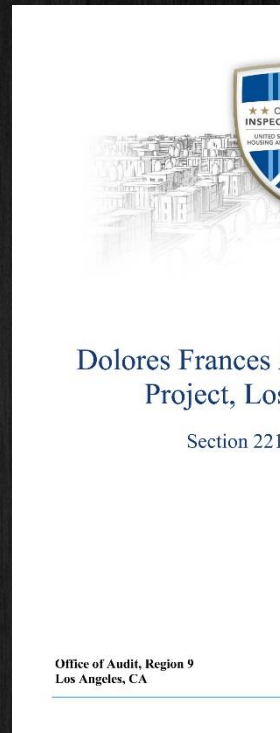
Comply with Planning Requirements of Funder

► Inspector General Audit Letter



Comply with Planning Requirements of Funder

► Inspector General Audit Letter



Audit Report Number: 2016-LA-1008
Date: August 26, 2016

The Dolores Frances Affordable Housing Project, Los Angeles, CA, Was Not Administered in Accordance With Its Regulatory Agreement and HUD Requirements

Highlights

What We Audited and Why

We audited the Dolores Frances Affordable Housing project, based on a citizen complaint and a suggestion from the U.S. Department of Housing and Urban Development's (HUD) Departmental Enforcement Center. The complaint alleged nonpayment of HUD utility allowances and security deposits, mismanagement of the maintenance department, related parties hired in supervisory positions, and conflict-of-interest vendor contracts by the related party of Dolores Frances (Pico Union Housing Corporation). Our audit objective was to determine whether Dolores Frances was administered in accordance with HUD rules and requirements.

What We Found

The allegations stated in the complaint were generally unsubstantiated and had no merit. However, Dolores Frances was not administered in accordance with HUD requirements. The project made ineligible payments of \$531,186 for expenses that were not reasonable and necessary for the operation of the project. In addition, Dolores Frances inappropriately secured more than \$10.9 million in unsupported loans that encumbered the properties of the project without HUD approval. These actions increased the project's risk of mortgage default.

What We Recommend

We recommend that the Acting Director of HUD's Los Angeles Office of Multifamily Housing Programs require the owners of Dolores Frances to (1) stop disbursing project funds for ineligible social services fees and reimburse the project \$300,000, (2) reimburse the project for \$74,784 in consulting fees and \$18,178 in fees charged by the management agent that were ineligible, (3) reimburse the project for \$114,068 in ineligible legal fees, (4) provide documentation to support HUD approval for the loan between Dolores Frances and Pico Union for more than \$6.3 million and how the funds were used or remove the loan and associated encumbrance from the project, (5) provide documentation to support that the loan between Dolores Frances and Alliant for more than \$4.5 million was approved by HUD or remove loan and any associated encumbrance from the project, and (6) implement controls to ensure that management and ownership follow the project's policies and procedures, the regulatory agreement, and HUD program requirements. We also recommend that the Director of the Departmental Enforcement Center pursue civil and administrative remedies, as appropriate, against the owners of Dolores Frances.

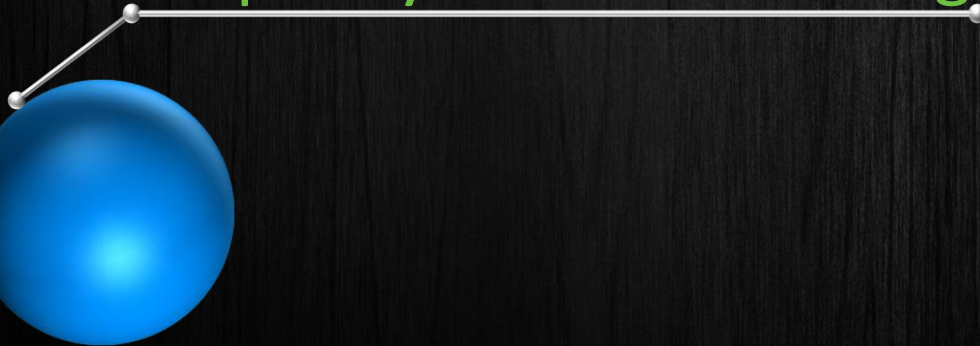
Comply with Planning Requirements of Funder

- ▶ Planning and compliance requirements should begin long before grant is received.
- ▶ If grant funds directly affect home or business owners, are these individuals eligible to receive these funds?
- ▶ Does this project/program meet national objectives?
- ▶ Forecast the level of effort and special requirements needed to implement the grant.
- ▶ Every funder has differing requirements from it's grantees; awareness of the specific requirements for executing these grant funds is essential.



Comply with Planning Requirements of Funder

Assessing Subrecipients Capacity Prior to Funding



- ▶ Create a non-biased scoring matrix.



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- ▶ Provide a FRQ for interested not-for-profits.

Assessing Subrecipients Capacity Prior to Funding

- ▶ After RFQ's have been submitted, designate an administrative person/staff to verify the all RFQs submitted complies with requirements.
- ▶ Develop internal review notes and enter all information, including the RFQ submitted, into the scoring matrix.



Assessing Subrecipients Capacity Prior to Funding

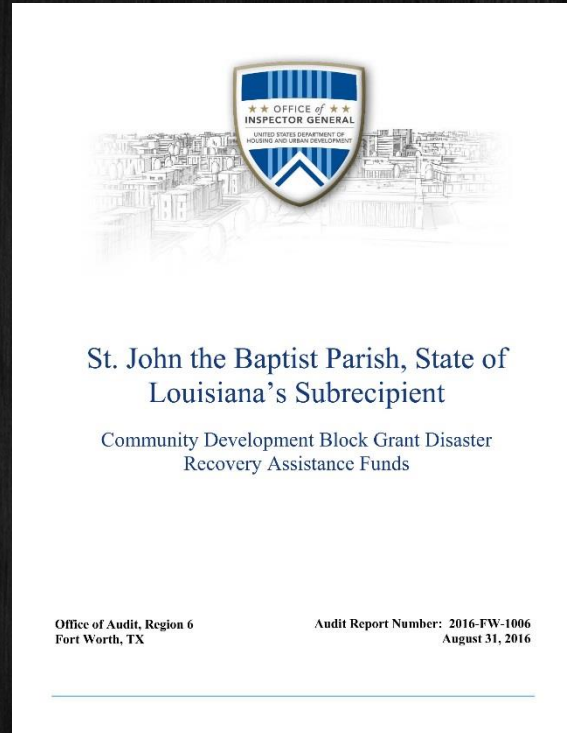


- ▶ It is common to request oral presentations from the highest scoring applicants
 - > These firms are again scored utilizing the matrix developed and the highest scoring firm is awarded the grant.



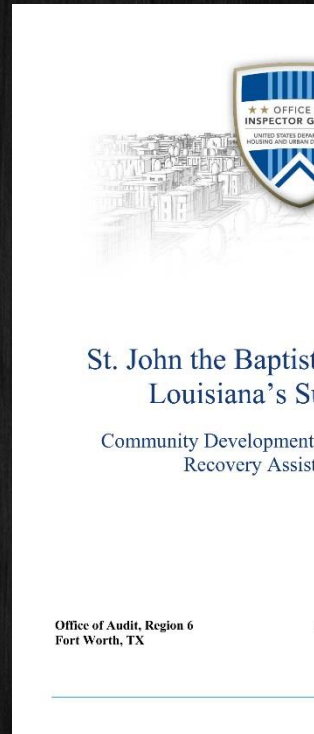
Assessing Subrecipients Capacity Prior to Funding

► Inspector General Audit Letter



Assessing Subrecipients Capacity Prior to Funding

► Inspector General Audit Letter



Audit Report Number: 2016-FW-1006
Date: August 31, 2016

The State of Louisiana's Subrecipient Did Not Always Comply With Its Agreement and HUD Requirements When Administering Its Disaster Assistance Programs

Highlights

What We Audited and Why

We audited the State of Louisiana, Office of Community Development's disaster assistance programs, administered by the State's subrecipient, St. John the Baptist Parish, as part of our annual audit plan to review disaster assistance programs under the 2013 Disaster Relief Appropriations Act. Our objective was to determine whether the Parish, as the State's subrecipient, met the requirements of its agreement with the State and followed U.S. Department of Housing and Urban Development (HUD) requirements related to its program participant, procurement, and expenditure activities when administering its disaster assistance programs.

What We Found

The Parish, as the State's subrecipient, did not always meet the requirements of its agreement and follow HUD requirements when administering its disaster assistance programs, as it (1) did not always ensure that its contractor had adequate documentation to support the eligibility of disaster assistance program participants, (2) violated procurement requirements when it did not perform an independent cost estimate for one contract, and (3) did not maintain detailed information regarding time worked on disaster projects to support salary expenditures. This condition occurred because the State's onsite reviews did not address all program areas and its administrative manual did not include guidance for all contract types. In addition, the Parish did not have consistent program policies, understand procurement requirements, and have adequate procurement and written expenditure policies. As a result, the State could not provide reasonable assurance to HUD that the Parish would properly administer and spend Community Development Block Grant disaster assistance funds in accordance with requirements, putting at least \$5.3 million obligated for the disaster assistance programs at risk of mismanagement, and paid more than \$1.5 million in questioned costs.

What We Recommend

We recommend that HUD require the State to develop and implement written procedures and actions that would correct and prevent the deficiencies outlined in the finding to better ensure that the Parish spends at least \$5.3 million in accordance with requirements. We also recommend that HUD require the State to (1) ensure that the Parish supports program participant eligibility, review the remaining 293 program participant files for eligibility, and support or



Assessing Subrecipients Capacity Prior to Funding

- ▶ Create a non-biased scoring matrix.
- ▶ Provide a FRQ for interested not-for-profits.
- ▶ After RFQ's have been submitted, designate an administrative person/staff to verify the all RFQs submitted complies with requirements.
- ▶ Develop internal review notes and enter all information, including the RFQ submitted, into the scoring matrix.
- ▶ It is common to request oral presentations from the highest scoring applicants
 - > These firms are again scored utilizing the matrix developed and the highest scoring firm is awarded the grant.



Assessing Subrecipients Capacity Prior to Funding

Reporting Requirements for Funders



- ▶ Every grant funder will have differing compliance and reporting requirements.



Reporting Requirements for Funders



- ▶ Fully understand the reporting and compliance expectations associated with your specific grant funds.
- ▶ Construct a grant compliance matrix once community is comfortable that all reporting requirements, forms, certifications, and deliverables have been identified.



Reporting Requirements for Funders

- ▶ Create electronic file folders on a cloud based database to store all deliverables based on the compliance matrix.



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- ▶ Assign a project coordinator to facilitate the proper collection and tracking of all deliverables.

Reporting Requirements for Funders



- ▶ A major CDBG DR housing program can easily be comprised of well over 500,000 individual data points. Proper data collection and storage is paramount for grant compliance and reporting.

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- ▶ Construct a grant compliance matrix once community is comfortable that all reporting requirements, forms, certifications, and deliverables have been identified.
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Reporting Requirements for Funders

Implementing an Effective Compliance Monitoring Process



- ▶ Proper (*IMPROPER*) oversight of the grant administration is the greatest risk in grant implementation.



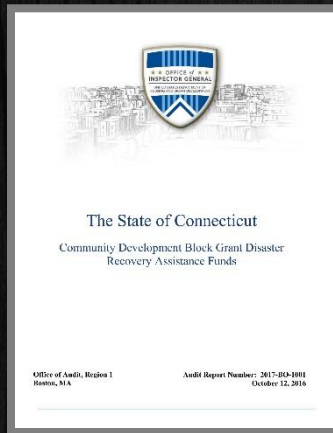
Implementing an Effective Compliance Monitoring Process

- ▶ The HUD Inspector General's office reviews these activities for HUD funded grants.



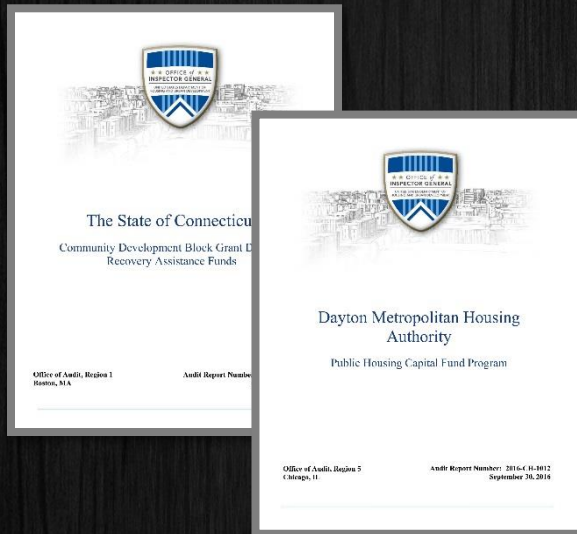
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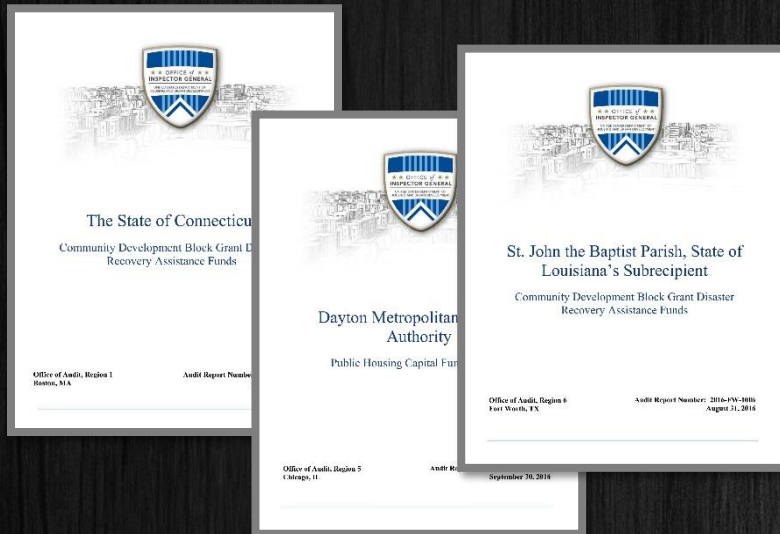
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- ▶ Review and approve grant administrator's operating and QA/QC plans prior to beginning.



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- ▶ Designate a representative from community staff to conduct daily interface with grant administrator and report progress. This may be a staff augmentation role.



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- ▶ Agree upon reporting frequency and content with grant administrator.



Implementing an Effective Compliance Monitoring Process

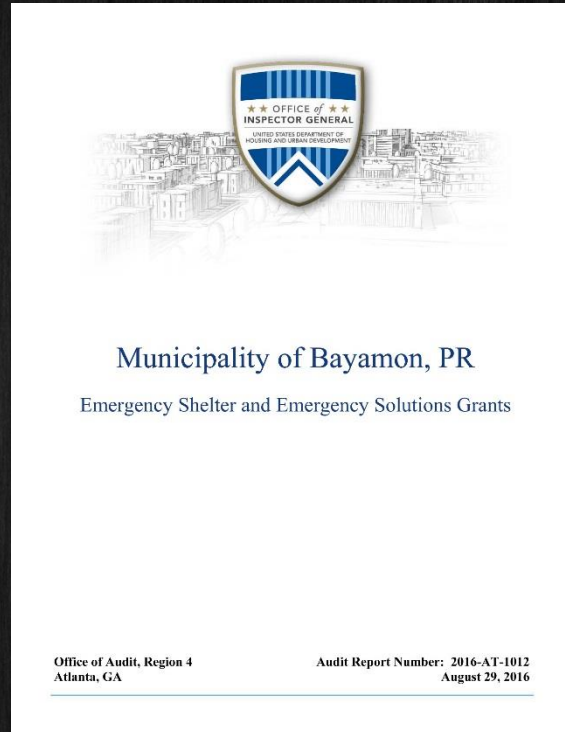


- ▶ Instituting solid processes and systems, like what has been outlined, are the backbone to compliance throughout the grant lifecycle.



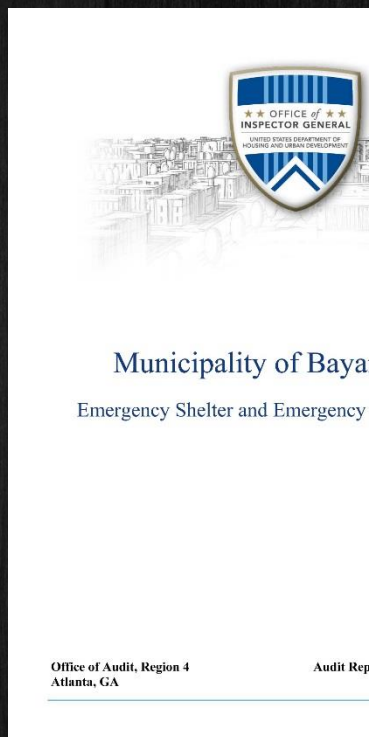
Implementing an Effective Compliance Monitoring Process

► Inspector General Audit Letter



Implementing an Effective Compliance Monitoring Process

► Inspector General Audit Letter



Audit Report Number: 2016-AT-1012
Date: August 29, 2016

The Municipality of Bayamon, PR, Did Not Always Ensure Compliance With HUD Program Requirements

Highlights

What We Audited and Why

We audited the Municipality of Bayamon's Emergency Shelter Grants and Emergency Solutions Grants programs. We selected this auditee based on congressional and hotline complaints alleging that the Municipality improperly used Emergency funds to transport people from Puerto Rico to mainland U.S. cities to receive rehabilitation treatment. Our main audit objectives were to determine whether allegations included in the complaints had merit and whether the Municipality's Emergency programs were administered in compliance with the U.S. Department of Housing and Urban Development's (HUD) requirements.

What We Found

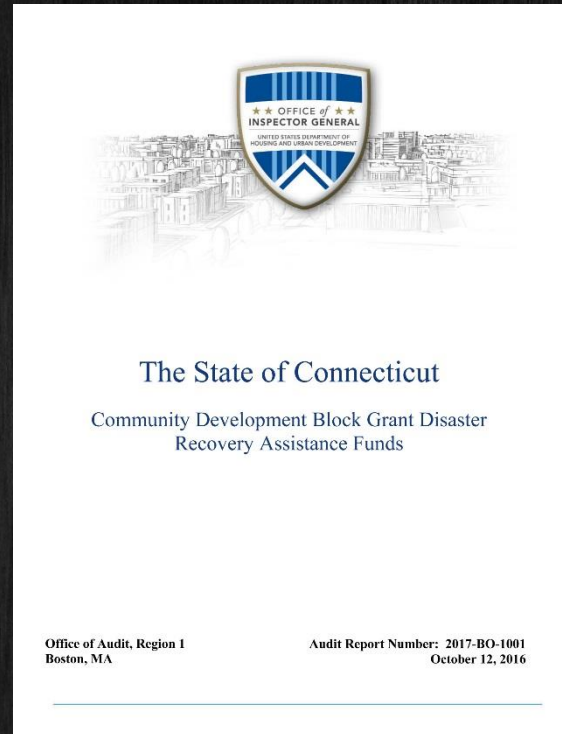
Although the Municipality assisted in the transportation of persons from Puerto Rico to mainland U.S. cities to receive treatment, HUD funds were not used to pay for the transportation costs of the participants. However, the Municipality improperly used Emergency funds to pay for travel costs of employees who went to mainland U.S. cities to follow up on clients. The Municipality's financial management system did not properly identify the source and application of more than \$1.14 million in Emergency funds and allowed the use of more than \$189,000 for ineligible expenditures. In addition, it did not support the eligibility of more than \$38,000 in program charges and reported inaccurate information in HUD's information system. As a result, HUD lacked assurance that funds were adequately accounted for, safeguarded, and used for requested and eligible purposes and in accordance with HUD requirements.

What We Recommend

We recommend that the Director of the San Juan Office of Community Planning and Development require the Municipality to (1) complete the implementation of the new accounting system in accordance with HUD requirements, (2) submit all supporting documentation showing the eligibility and propriety of \$982,851 in Emergency funds, and (3) reimburse its program \$189,227 from non-Federal funds in ineligible expenditures.

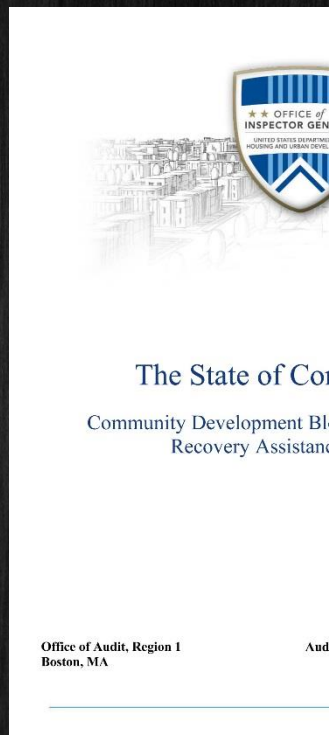
Implementing an Effective Compliance Monitoring Process

► Inspector General Audit Letter



Implementing an Effective Compliance Monitoring Process

► Inspector General Audit Letter



Audit Report Number: 2017-BO-1001
Date: October 12, 2016

The State of Connecticut Did Not Always Comply With Community Development Block Grant Disaster Recovery Assistance Requirements

Highlights

What We Audited and Why

We audited the Community Development Block Grant Disaster Recovery (CDBG-DR) assistance grant provided to the State of Connecticut by the U.S. Department of Housing and Urban Development (HUD) to monitor the expenditures of CDBG-DR funds as required by the Disaster Relief Appropriations Act. Additionally, the State was ranked first in a risk assessment of the five New England Hurricane Sandy grantees. The audit objective was to determine whether the State complied with CDBG-DR requirements for its Owner Occupied Rehabilitation and Rebuilding (rehabilitation) and Owner Occupied Reimbursement (reimbursement) programs.

What We Found

The State did not always comply with CDBG-DR requirements for its rehabilitation and reimbursement programs. Specifically, procurements were not always executed in accordance with HUD requirements. The State also did not always support the low- and moderate-income national objective. Further, not all costs were eligible because the State did not always complete environmental reviews in accordance with requirements. In addition, the State did not always properly support and calculate the unmet need of homeowners. **This condition occurred because the State had inadequate controls for its rehabilitation and reimbursement programs. As a result, more than \$2.4 million in CDBG-DR funds was ineligible, and more than \$13.5 million was unsupported.** Further, HUD did not have assurance that all environmental hazards were appropriately identified and addressed or that low- and moderate-income information reported by the State in HUD's Disaster Recovery Grant Reporting (DRGR) system was accurate.

What We Recommend

We recommend that HUD instruct State officials to (1) repay from non-Federal funds or support that the more than \$13.3 million awarded for architect, engineer, and construction management services contracts was fair and reasonable; (2) **repay from non-Federal funds the \$316,850 in payments made for services outside the scope of work for seven contracts;** (3) repay from non-Federal funds or support that \$227,138 in funds awarded met the low- and moderate-income national objective; (4) **repay from non-Federal funds more than \$2.1 million in ineligible CDBG-DR funds spent without the notice of intent and request for release of funds being published;** and (5) strengthen program controls over procurement, contract scope of work, national objective documentation, environmental review determinations, and unmet need determinations.



Implementing an Effective Compliance Monitoring Process

- ▶ Proper (*IMPROPER*) oversight of the grant administration is the greatest risk in grant implementation.
- ▶ The HUD Inspector General's office reviews these activities for HUD funded grants.
- ▶ Review and approve grant administrator's operating and QA/QC plans prior to beginning.
- ▶ Designate a representative from community staff to conduct daily interface with grant administrator and report progress. This may be a staff augmentation role.
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Capacity Building Assistance of Low Performing Subrecipients



- ▶ Subrecipients should be scored based upon capacity thresholds.



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 - > Increase threshold by 15%, then monitor closely



Capacity Building Assistance of Low Performing Subrecipients



- ▶ If Subrecipient can not successfully execute the project, mentor Subrecipient to help determine root causes of performance issues.



Capacity Building Assistance of Low Performing Subrecipients

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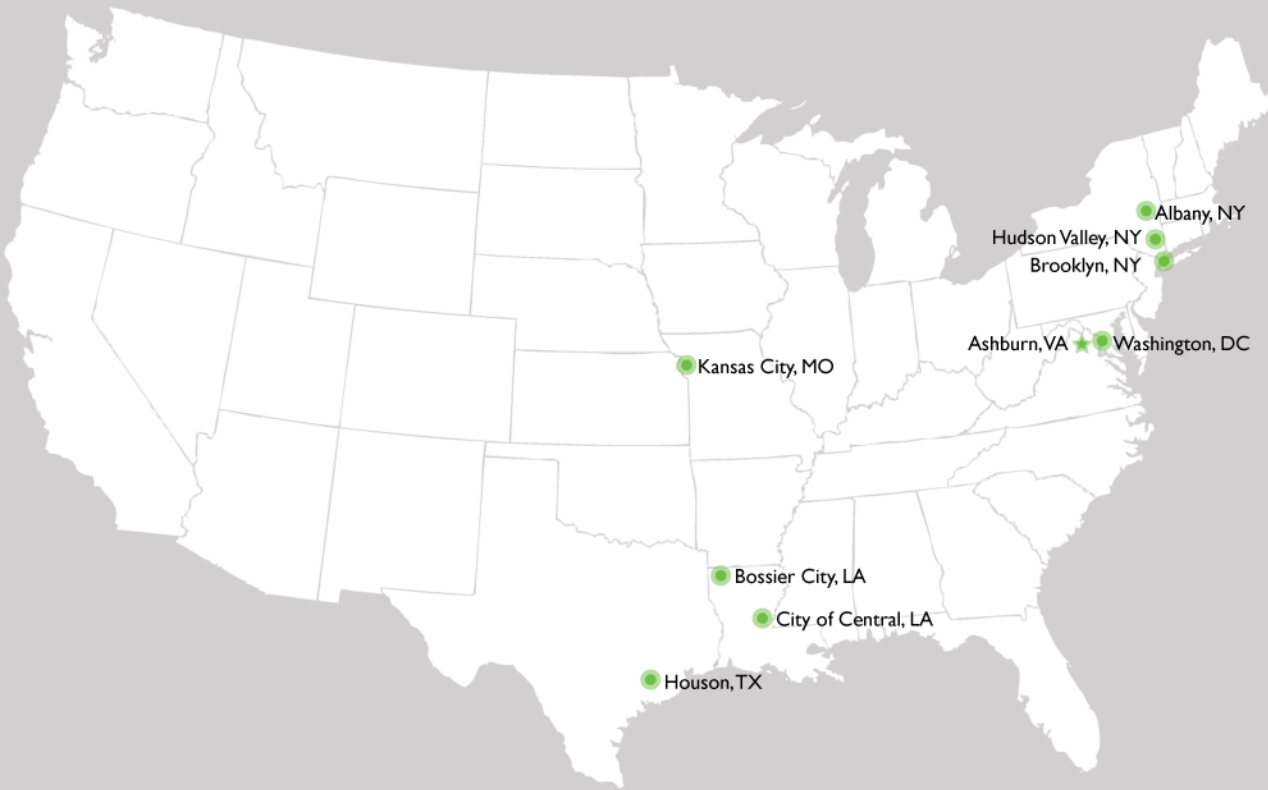
Capacity Building Assistance of Low Performing Subrecipients

QUESTIONS?

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