

Why Develop Policies, Procedures, Standards, Tools?

- Good policies, standards, procedures, tools:
 - Ensure program beneficiaries and partners are treated with:
 - Consistency
 - Efficiency
 - Fairness
 - Demonstrate compliance with rules and regulations
 - Used as a management tool
- Some is mandatory:
 - Federal Laws, Executive Orders
 - State and local legislation and Executive Orders
 - Implementing issuances (NOFA, CDBG regs, etc.)


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Required Policies

- Required policies include:
 - Relocation
 - Procurement
 - Financial management
 - Conflict of interest
 - Travel
 - Drug free workplace
- Note that most requirements relate to policies BUT procedures and some standards needed for effective administration


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Key Policy, Procedure, Standard, Tool Topic Areas

<p>Defining Assistance</p> <ul style="list-style-type: none"> • Levels of Assistance • Forms of Assistance • Affordability/ Targeting <p>Property/Construction</p> <ul style="list-style-type: none"> • Appraisals and Acquisition cost • Codes & Standards • Lead-Based Paint • Environmental Reviews • Labor 	<p>Beneficiary Issues</p> <ul style="list-style-type: none"> • Definitions of Income • Relocation • Lease Provisions • Beneficiary Selection <p>Cost & Financial</p> <ul style="list-style-type: none"> • Eligible costs • Cost Principles • Uniform Admin • Disbursement • Program Income • Recaptured Funds • Audits
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Topic Areas (cont)

<p>FH and EO</p> <ul style="list-style-type: none"> • Affirmative Marketing • MBE/WBE Outreach • Section 3 <p>Competition</p> <ul style="list-style-type: none"> • Conflict of Interest • Procurement • Debarred Contractors • Lobbying Disclosure 	<p>General Administrative</p> <ul style="list-style-type: none"> • Travel • Drug Free Workplace • Fair Employment • Program Access • Citizen Participation • Written Agreements • Recordkeeping • Monitoring Plan
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Procedure Example: Selecting Homebuyers

- What process will be used to market NSP2 units? How often? What medium?
- Will a waiting list be kept? If yes, how and who?
- Will preferences apply to the waiting list?
- Who will review applicants for income eligibility? What process, definition, forms will be used to document income?
- How & who will determine whether the applicant is selected for assistance?

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Key Implementation Considerations

- When developing policies, procedures, standards, tools consider:
 - Who will use them
 - When they will be used
 - What types of tools are needed
 - Who needs to be trained
 - What process will grantee use to evaluate the effectiveness

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Development Steps

- **Step One:** Determine if grantee has required policies
- **Step Two:** Determine other areas needing policy, procedure, standard, tools
- **Step Three:** Determine the best method for obtaining input & existing samples
- **Step Four:** Write the information clearly
- **Step Five:** Determine how to train



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Ways to Organize Policies, Procedures, Standards, Tools

- Might organize by:
 - Requirement type
 - Program type
 - Partner type
- May have separate documents or combined
- May incorporate within handbooks, training manuals etc



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Methods of Developing Policies, Procedures, Standards

- Can share workload but someone needs to provide overall direction, review
- Approaches:
 - Ask each division to write own
 - Working group
 - Assign staff to act as in-house consultant
 - Allow subrecipients, partners to write own (careful!)
 - Contract it out




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Methods of Developing Policies, Procedures, Standards, Tools (cont)


- Techniques:
 - Process mapping
 - Map the flow of projects, paper, people across tasks, divisions, steps
 - Borrow from other grantees (but edit!)
 - Contact national associations, local HUD office
 - Start from the requirements and expand
 - Don't just cite Part 570 or NSP2 NOFA – need how, when, where, where, why, who

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Lessons Learned

- Defining the requirements
 - Use the 5-step method (or some other)
 - Adopt the same standards for many uses if possible, BUT not if it doesn't make sense
 - Create standard language that can be used in different documents
- When developing policies, procedures, standards, tools
 - Tell the reader why as well as what
 - Choose user friendly formats, stick with them and speak plainly

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More Lessons

- Keep policies, procedures, standards, tools up to date
 - Consider designating an “expert”
 - Manage documents electronically
- When implementing new guidance
 - Consider whether training is needed
 - Specify the transition rules
 - Make sure partner agreements let you change the rules

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