

Workshop Agenda


- Recordkeeping
- Reporting
 - HUD DRGR
 - HUD RAMPS
 - OMB FederalReporting.gov
- Monitoring
- Trainers: Shawna LaRue, ICF
- Robert C. Peterson, HUD OBGA

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Recordkeeping

- Appropriate documentation necessary to ensure compliance
- Major categories of records to be kept:
 - General administrative
 - Financial
 - Project/activity specific documents
 - National objective compliance
 - Subrecipients, partners
 - Other Federal requirements
- Have a strong and comprehensive filing system
- Use checklists, logs, etc.


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Record Retention

- Under NSP2 must retain records for five years after first quarterly report is submitted in DRGR
- Public access to records:
 - Citizens must have reasonable access
 - Citizens must be provided timely information
 - HUD and Inspector General have access


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Reporting

- Disaster Recovery Grant Reporting System (DRGR)
 - Activity accomplishments, obligations and drawdowns
 - Quarterly Performance Report (QPR)
- Recovery Act Management and Performance System (RAMPS)
 - Data collection tool on NEPA requirements
- FederalReporting.gov
 - Overall transparency on you and your subcontractors


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DRGR Quarterly Performance Report (QPR)


- NSP2 Quarterly Performance Report required in DRGR
 - Within 10 days of quarter end
 - Must post on website to be shared with citizens
 - Download QPR in HTML and post on grantee website
- CAPER/PER not required for NSP
- Monthly reporting begins after 21st month

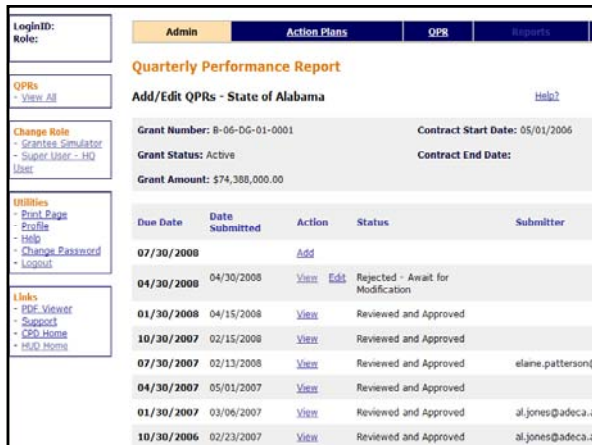
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DRGR Quarterly Performance Report (QPR) (cont)


- Four step process:
 1. Update Action Plan in DRGR with HUD approved amendments for quarter
 - Allow 15 calendar days for citizen comment period on any subsequent substantial Action Plan amendment
 2. Add QPR for the upcoming due date
 3. Enter overall narrative
 4. Enter information on activities: progress narratives, location/address, performance accomplishments, and financial updates

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The screenshot shows the DRGR web application interface. At the top, there are navigation tabs for Admin, Action Plans, QPR, and Reports. The main heading is "Quarterly Performance Report" with a sub-heading "Add/Edit QPRs - State of Alabama". Below this, there are fields for Grant Number (8-06-DG-01-0001), Grant Status (Active), Grant Amount (\$74,388,000.00), Contract Start Date (05/01/2006), and Contract End Date. A table lists the QPR submission history with columns for Due Date, Date Submitted, Action, Status, and Submitter. The table shows several entries from 2006 to 2008, with statuses ranging from "Rejected - Await for Modification" to "Reviewed and Approved".


Due Date	Date Submitted	Action	Status	Submitter
07/30/2008		Add		
04/30/2008	04/30/2008	View Edit	Rejected - Await for Modification	
01/30/2008	04/15/2008	View	Reviewed and Approved	
10/30/2007	02/15/2008	View	Reviewed and Approved	
07/30/2007	02/13/2008	View	Reviewed and Approved	elane.patterson@...
04/30/2007	05/01/2007	View	Reviewed and Approved	
01/30/2007	03/06/2007	View	Reviewed and Approved	al.jones@adeca.a...
10/30/2006	02/23/2007	View	Reviewed and Approved	al.jones@adeca.a...



DRGR Help and Resources


- User ID/Password help
 - Send email to DRGR_Help@hud.gov
 - Passwords reset to "HUD!XXXXXX"
 - 6 X's is the same as the 6 digits the grantee provided when account was opened
 - IDIS user and password may also be set for DRGR access

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DRGR Help and Resources (cont)

- DRGR website
 - <http://www.hud.gov/offices/cpd/communitydevelopment/programs/drsi/drgrs.cfm>
 - Access DRGR
 - DRGR FAQ – with NSP updates (July 2009)
 - NSP FAQ – December 30, 2009 update
 - DRGR Online Training
 - Draft Report Users Guide




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RAMPS

- The Recovery Act Management and Performance System (RAMPS) was created to provide easy and quick way to provide required information
- Reports quarterly to citizens how Recovery Act funds are being spent and status of Environmental Reviews
- Includes efforts to ensure that the actions funded safeguard our nation's environment
- The transparency promoted by Recovery Act means:
 - All of the information reported to Congress is public
 - Posted on Recovery Act's website for all to view



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RAMPS (cont)

- User register and help available at
 - <http://www.hud.gov/Recovery>, click on reporting tab
- Access RAMPS by going to
 - http://portal.hud.gov/app_ramps, click on Login link
- Training sessions for users available on
 - http://portal.hud.gov/portal/page/portal/RECOVERY/Reporting/Section_1609



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FederalReporting.gov

- Central, government wide data collection system for ARRA awardees
- Quarterly data submission required for each ARRA grant
 - ARRA expenditures
 - Awards and sub-awards provided
 - Jobs created or retained
 - Other project information
 - Additional information may be required

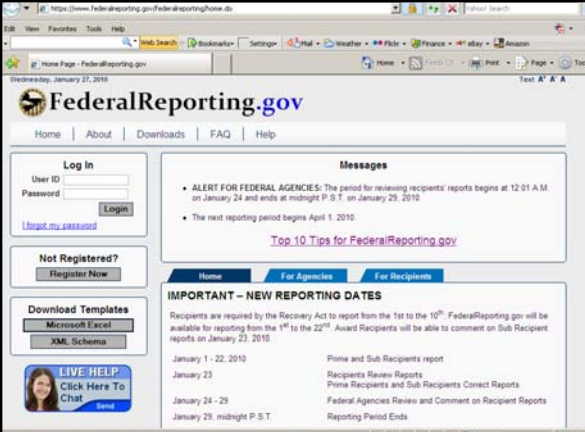
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FederalReporting.gov (cont)

- Register and report on FederalReporting.gov
 - FAQ and Downloads helpful (e.g., dictionary of fields, webinars)
- Ensure DUNS number is set up (DUNS is good for life; CCR expires after one year)
 - <http://fedgov.dnb.com/webform>
- Help and support available from Community Connections
 - 1-800-998-9999, push 1
- Additional support available from FederalReporting.gov
 - 1-877-508-7386
 - Support@FederalReporting.gov

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The screenshot shows the FederalReporting.gov website interface. It includes a navigation menu with links for Home, About, Downloads, FAQ, and Help. There is a 'Log In' section with fields for User ID and Password, and a 'Not Registered?' section with a 'Register Now' button. A 'Messages' section contains an alert for federal agencies regarding reporting dates. A prominent 'IMPORTANT - NEW REPORTING DATES' section lists the following schedule:

Date	Event
January 1 - 22, 2010	Prime and Sub Recipients report
January 23	Recipients Review Reports
January 24 - 29	Prime Recipients and Sub-Recipients Correct Reports
January 29, midnight P.S.T.	Federal Agencies Review and Comment on Recipient Reports
January 29, midnight P.S.T.	Reporting Period Ends



Purpose of Monitoring

- Monitoring is review of program or project performance and compliance
- Several types of monitoring:
 - Internal audit monitoring
 - Project implementation monitoring
 - Long-term monitoring
 - Primarily for rental projects



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Purpose of Monitoring (cont)

- Monitoring fosters:
 - Production/accountability
 - Compliance with requirements
 - Responsiveness to community needs
 - Effective use of resources
 - Good organizational performance



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Monitoring Basics

- Everyone in process gets monitored:
 - HUD monitoring of grantee
 - Grantee monitoring of:
 - Grantee's own files (i.e., self monitoring)
 - Public agency partners (e.g., consortia members)
 - Subrecipients
 - For profit contractors and beneficiaries
 - Nonprofits and for profit developers, etc.



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Desk Monitoring

- Desk monitoring accomplishes:
 - Assessment of programs and projects
 - Selection of recipients for on-site monitoring
 - Preparation for on-site visit
- Analyze progress, compliance and occupancy reports
- Analyze financial documents such as commitment and expenditures
- Assess compliance with NSP2, uniform administrative and other federal requirements



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On-Site Monitoring

- On-site monitoring accomplishes:
 - Identification of good and bad performance
 - Assessment of compliance
- Steps:
 - Prepare for on-site visit
 - Interview staff
 - Review program and project files
 - Inspect units
 - Exit interview and follow up



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Areas for Monitoring

- Program benefit, including eligible activities and national objective
- Environmental Review
- Financial Management
- Procurement
- Labor/Davis-Bacon
- Relocation & acquisition
- FHEO/504/section 3
- Citizen participation/certifications
- Program management
- Program progress & reporting

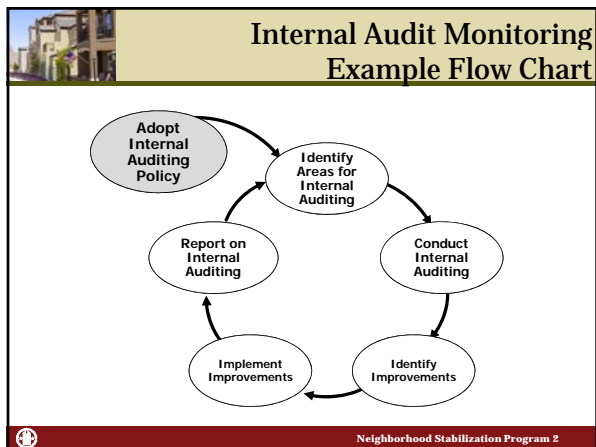


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NSP2 Specific Monitoring Requirements

- NSP2 recipients must have an internal audit function as described in their application
 - Examines potentially risky practices, missing or ineffective internal controls, areas of potential non-compliance, and ineffective or missing program policies
 - Provides feedback loop to managers
 - Application included monitoring plan and agency responsible
- States must also establish remedies for noncompliance



Monitoring Resources for NSP2

- HUD's monitoring checklists are good place to start
 - Program activities and costs
 - Financial systems
 - Written agreements
 - Other federal requirements
 - <http://www.hud.gov/offices/cpd/library/monitoring/handbook.cfm#3>
- Additional NSP checklists and tools will be developed and put up on the HUD NSP website
 - <http://www.hudnsphelp.info>





Next Steps

- Set up central recordkeeping files
- Ensure written agreements cover recordkeeping requirements, retention, and reporting
- Develop/borrow NSP2 file checklists
- Appoint staff person(s) to various functions
- Develop reporting timeline for each system
- Develop/borrow NSP2 monitoring plan
- Implement monitoring plan and document results
- Prepare files for third party audits, including internal audit



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