

CHAPTER XIII REPORTING REQUIREMENTS

Introduction

As part of the requirements for increased accountability and transparency in federally-funded programs, the US Department of Housing and Urban Development (HUD) requires grantees to identify and demonstrate the results of its programs. HUD's movement to produce streamlined and measurable outcomes and objectives are one of the methods used to evaluate grant performance.

In this chapter we will address the three primary areas of reporting compliance for CDBG programs. Examples of each report follow report descriptions.

- Quarterly reporting for all projects funded with supplemental CDBG disaster appropriations (DI, DN, 2012-DT, 2013-DS)
- Annual reporting for all CDBG-funded Economic Development projects with proposed **direct** beneficiaries, such as job creation
- Close-out reporting for all CDBG-funded projects with **indirect** beneficiaries
- Remediation Plans/ Expenditure Projections – ensuring timely expenditure of funds and accomplishment reporting

CDBG Disaster Supplemental Reporting

Quarterly reporting is mandated for all projects funded with CDBG Disaster Supplemental funding (DI, DN, 2012-DT, 2013-DS). Forms are generated with the appropriate performance measures information based on the project application and the final award of the project. This form is then emailed to grantees for update and submittal each quarter.

The performance measure assigned is based on the activity to be undertaken by the project. Most public facilities projects will use the # of persons benefitting from the activity as the unit of performance. Other projects may require a proposed and per-quarter accounting of the linear feet of public improvement, etc. The performance measure is assigned by HUD and DED, and tracked throughout the system by the “DRGR Activity #” listed on the CDBG Grant Agreement/Funding Approval for the project. Quarterly Reports (QPRs) must address the following:

- Property addresses must be reported quarterly for all acquisitions and demolitions, and race/income data must be reported for all occupants or beneficiaries of direct housing activities
- A summary narrative **must** be submitted each quarter by each grantee, the content of which may be dictated by each individual field representative, in order to aid them in a thorough and timely review of all their area reports.
- Each QPR is a snapshot and should only contain data for the **current quarter**
- Information on beneficiaries is counted by household, not persons in the household

If the activity proposed will benefit persons directly (job creation, job training, housing), the race/ethnicity, income level and head of household information is required to be reported and

tracked. Additionally, individual addresses must be submitted for all residential properties directly acquired or demolished with CDBG disaster funds.

Project funded with Disaster Supplemental Appropriation – Indirect beneficiaries

Quarterly Performance Report

Performance Report - Activity

| | |
|------------------------------------|------------------------|
| Grant Number: 2008-DI-05 | QPR Start Date: |
| Grantee Name: Anytown | QPR End Date: |

DRGR Grantee Activity Number:
DI-AT125

DRGR Activity Type:
Construction/Reconstruction of water/sewer lines or systems

| Performance Measure | Proposed Total | Actual Total for Quarter | Low | Mod |
|-------------------------|----------------|--------------------------|-----|-----|
| # of person benefitting | 548 | | | |
| | | | | |

| | |
|---|---------|
| Total Activity Budgeted, Disaster Recovery Grant: | 400,000 |
| Total Activity Funds Drawn for quarter: | |

Activity Progress Narrative:

Project funded with Disaster Supplemental Appropriation – Direct beneficiaries

| | |
|---|--|
| Grant Number: 2008-DI-84 | QPR Start Date: |
| Grantee Name: Anytown Area Habitat for Humanity | QPR End Date: |
| DRGR Grantee Activity Number: DI- AHH05 | Activity Type: Construction of New Housing |

Please enter address of units assisted this quarter. Tab to insert additional lines.

| Street | City | County | Zip |
|--------|------|--------|-----|
| | | | |
| | | | |
| | | | |

| Performance Measure | Proposed | Actual for quarter | Income Level | | Female HOH | Race/Ethnicity* |
|-----------------------------|----------|--------------------|--------------|-----|------------|------------------------|
| | | | Low | Mod | | |
| # of housing units | 35 | | | | | |
| # of households Benefitting | 35 | | | | | * enter in table below |

Beneficiary Hispanic

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| | | |
|---|--|--|
| White: | | |
| Black/African American: | | |
| Asian: | | |
| American Indian/Alaskan Native: | | |
| Native Hawaiian/Other Pacific Islander: | | |
| American Indian/Alaskan Native & White: | | |
| Asian & White: | | |
| Black/African American & White: | | |
| Am. Indian/Alaskan Native & Black/African Am.: | | |
| Asian & Native Hawaiian/Other Pacific Islander: | | |
| All Others: | | |
| Totals (must match # of households benefitting for quarter - above) | | |

Activity Progress Narrative:

Reporting for Projects Funded with Annual CDBG Allocation

Direct beneficiaries. In years past, close-out reporting of CDBG projects was sufficient to demonstrate the results and impact of individual CDBG projects on the citizens of its community. However, federal reporting requirements now mandate that projects proposing direct benefits must annually report on the progress toward proposed performance. Therefore, all projects with a proposed direct benefit to persons through job creation or housing must report annually on the beneficiaries assisted for the program year. Grantees will be mailed the reporting form annually in April for report of data collected from the previous April 1 to March 31 (the prior program year). Reports are due back by May 15.

Indirect beneficiaries. For all public facilities projects, proposed measures are captured at the beginning of the project on Form U, and actual results are reported at closeout via the closeout forms. Public facilities projects generally do not benefit any person until construction or improvement is complete.

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**MISSOURI DEPARTMENT OF ECONOMIC DEVELOPMENT
COMMUNITY DEVELOPMENT BLOCK GRANT PROGRAM
ANNUAL DATA REPORTING FOR CDBG ACTIVITIES**

| GRANTEE: Callaway County | | PROJECT NUMBER: 10-ED-06 | | |
|---|--|--|---------------------------------------|--|
| Activity | Outcome Indicators | PROPOSED NUMBER | NUMBER REPORTED IN PREVIOUS YEARS | TOTAL # FOR PERIOD ONLY* 04/01/13 -03/31/14 |
| A. Jobs Created | Total number of Jobs: | | | |
| | a. Of those, number with employer-sponsored healthcare | | | |
| B. Jobs Retained | Total number of jobs: | | | |
| | a. Of those, number with employer-sponsored healthcare | | | |
| | | Please list the number and percentage of beneficiaries who are: | | |
| C. *Type of Jobs Created 04/01/13 to 03/31/14* (refer to below job categories) | Total # LMI Jobs | Low/Mod Income Between 80%-50% | Low Income Between 50%-30% | Very Low Income 30% and below |
| | | | | |
| | | | | |
| * Officials and Managers (OM) ; Craft Worker – Skilled (CW); Professional (P); Operatives – Semi-Skilled (OP); Technicians (T); Unskilled (LB); Sales (S); Service Workers (SW); Office and Clerical (OC) | | | | Laborers – |

| D. Race/Ethnicity Data | | |
|---|----------------------------|-------------------------------|
| | Total Direct Beneficiaries | Hispanic Direct Beneficiaries |
| White: | | |
| Black/African American: | | |
| Asian: | | |
| American Indian/Alaskan Native: | | |
| Native Hawaiian/Other Pacific Islander: | | |
| American Indian/Alaskan Native & White: | | |
| Asian & White: | | |
| Black/African American & White: | | |
| Am. Indian/Alaskan Native & Black/African Am.: | | |
| Asian & Native Hawaiian/Other Pacific Islander: | | |
| All Others: | | |
| TOTAL | | |
| Total # with immediate Prior Unemployment | | |

**Example 4: Reporting for Regular CDBG Indirect Beneficiaries
FY2013 APPLICATION: FORM U – DATA COLLECTION FOR CDBG ACTIVITIES**

| Applicant: | | | |
|--|--|--|-------------------------------------|
| Category | Corresponding Activity Data Required | | |
| Community Facility | A | | |
| Downtown Revitalization | A | | |
| Microenterprise/Economic Development | C,D and/or E | | |
| Other Public Needs: | | | |
| Rural Affordable Housing (see RAH application) | | | |
| ADA | A | DATA | |
| BSD | A | Collected at time of Application | Collected at time of Closeout |
| Demolition | B | | |
| Water/Sewer (Engineering Plans-Specs) | A | | |
| Activity | Outcome Indicators | PROPOSED | ACTUAL |
| E. Public facility, Downtown Revitalization or Public Infrastructure activities | Number of persons with: | | |
| | a. new access to benefit, or | | |
| | b. improved access to benefit | | |
| | c. improved quality of benefit | | |
| F. Demolition Only | Number of demolitions: | | |
| Economic Development Activities – For jobs created or retained, select from only among the following Economic Development Administration(EDA) job category definitions: | | | |
| Officials and Managers (OM) | Craft Worker – Skilled (CW) | | |
| Professional (P) | Operatives – Semi-Skilled (OP) | | |
| Technicians (T) | Laborers – Unskilled (LB) | | |
| Sales (S) | Service Workers (SW) | | |
| Office and Clerical (OC) | | | |
| G. Jobs Created | Total number of Jobs: | | |
| | a. Of those, number with employer-sponsored healthcare | | |
| | b. **Type of jobs created | | |
| | c. Number unemployed before taking job | | |
| H. Jobs Retained | Total number of jobs: | | |
| | a. Of those, number with employer-sponsored healthcare | | |
| | b. **Type of jobs created | | |
| I. Businesses Assisted | 1. Total businesses assisted, number of: | | |
| | a. New businesses | | |
| | b. Existing businesses | | |
| | Of those, number of expansions: | | |
| | Number of relocations: | | |
| | c. DUNS # of business(es) | | |

Remediation Plans for At-Risk CDBG Projects

On October 31, 2011, the Inspector General for HUD issued an audit that found that the CDBG program needed improved oversight of long-standing, open activities with no recent draws or reported accomplishments. To this end, HUD now requires justification and remediation action by the grantee (DED) for the following sub-grantee project activities identified as “at-risk”:

- Activities that have had no draws for a year
- Activities that have not reported accomplishments for three years
- Activities have 80 percent of their funding amount disbursed and no accomplishments reported

For all projects currently funded that meet one or more of the thresholds mentioned above, the activity or activities in the funded grant will be required to submit justification for the delay in progress or closeout of the respective grant. Your CDBG field representative will notify you when/if your project falls under one of the at-risk thresholds. Your project will work directly with your field representative to communicate the reasons for delay, the action which will be taken by the sub-grantee to remedy the delay in draw or reporting, and an expected date when the issue will be resolved. If these specific requirements are not provided in sufficient scope or in sufficient time-frame, HUD or DED may revoke remaining funding.

Timely Expenditure of Funds

Grant applicants are required to submit a Schedule of Projected Expenditures as part of the CDBG application process. This schedule outlines by quarter and by activity the estimated timeline for expenditures of the grant award, if selected for funding. Grantees are required to submit any updates to expenditure projections on a quarterly basis, or in any event where the original timeline for full expenditure will be revised to a future date, such as amendments or increases to the original award.

Summary

Due to increased reporting and accountability by HUD, it is important that grantees and project administrators design and implement necessary data collection procedures to prepare ahead to meet reporting deadlines. Determine the level of reporting required by your specific project (based on the funding source), and develop deadlines and communication structures for ensuring the data is submitted accurately on time via the forms provided.

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MISSOURI DEPARTMENT OF ECONOMIC DEVELOPMENT
COMMUNITY DEVELOPMENT BLOCK GRANT PROGRAM
FORM B – EXPENDITURE PROJECTIONS

| PROJECTED EXPENDITURES BY QUARTER END (FROM CDBG ACTIVITIES LISTED ON FUNDING APPROVAL): | Administration | _____ | _____ | _____ | _____ | _____ | _____ |
|--|----------------|-------|-------|-------|-------|-------|-------|
| March 2016 | | | | | | | |
| June 2016 | | | | | | | |
| September 2016 | | | | | | | |
| December 2016 | | | | | | | |
| March 2017 | | | | | | | |
| June 2017 | | | | | | | |
| September 2017 | | | | | | | |
| December 2017 | | | | | | | |
| March 2018 | | | | | | | |
| June 2018 | | | | | | | |
| September 2018 | | | | | | | |
| December 2018 | | | | | | | |
| March 2019 | | | | | | | |
| June 2019 | | | | | | | |
| TOTAL | | | | | | | |