

Economic Development Department

# CDBG Subrecipient Reporting Training

## Introductions

- Project Managers
- Business Operations and Support Services Staff
- Monitoring and Compliance Staff





## Agenda

- Program Requirements
- Fiscal Requirements
- Monitoring
- ED Grants Demo
- Q & A

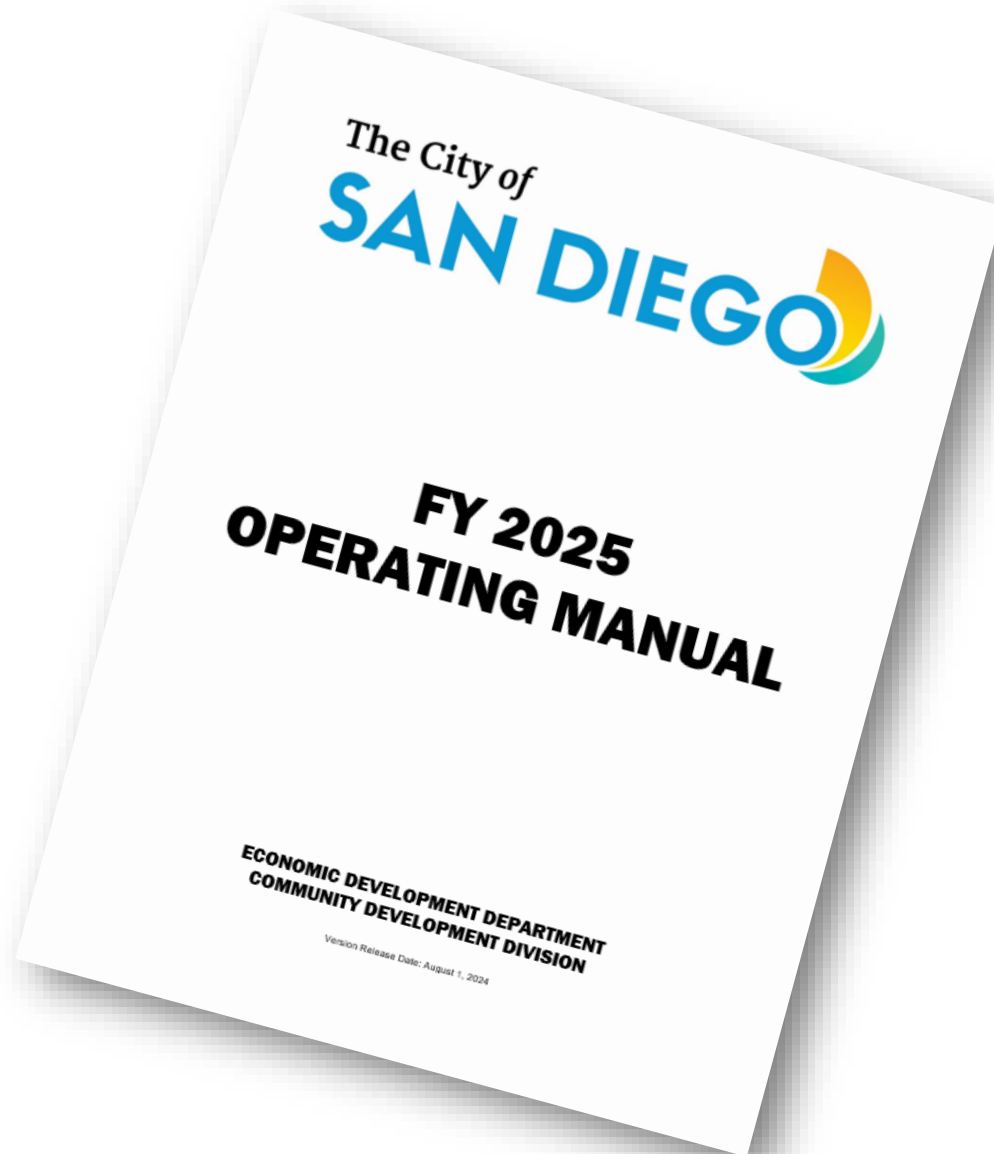


## A Word on the Operating Manual...

- Incorporated into subrecipient agreement
- Covers applicable Federal and City of San Diego regulations and requirements
- Represents minimum requirements and controls that must be embodied within subrecipient accounting, internal controls, and financial reporting systems



READ the Operating Manual!!





## Monthly Programmatic Reports (Pages 31-33)

- Monthly Programmatic Reports (MPRs) due on or before 15<sup>th</sup> of each month for prior month
- Provides statistics on individual clients or households served or businesses assisted
  - ✓ Demographic information
  - ✓ Income levels
- Provides narrative updates/explanations and descriptions of accomplishments during reporting period



## Monthly Programmatic Reports

**Track timely progress  
of project  
implementation**

**Ensure activities  
conform with scope  
of work and  
expenditures are  
eligible**

**Ensure RFRs  
commensurate with  
reported activities  
and  
accomplishments**

**Ensure compliance  
with all Federal and  
City of San Diego  
requirements**

**Identify any issues  
for corrective actions**



## Monthly Programmatic Reports

The screenshot displays the 'Progress Report View' interface of the Economic Development Grants Management System. The browser address bar shows the URL: <https://qa-edgrants.cs33.force.com/progressreport/view?id=a2m3500000003vXAAQ>. The page header includes 'The City of SAN DIEGO' and 'Economic Development Grants Management System'. A navigation menu at the top contains 'NOFAs', 'Applications', 'Projects', and 'Post Awards'. A left sidebar lists various task categories: 'Tasks', 'My Tasks', 'Pending Tasks', 'Completed Tasks', 'Activities', 'Post Award Activities', 'Manage Payment Requests', 'Manage MPR', 'Manage Amendments', and 'Recently Viewed'. The main content area features a list of instructions for reporting progress, a progress bar with stages 'Created', 'Submitted for Approval', 'Approved', and 'Under Revision', and a set of tabs: 'Overview' (highlighted with a red circle), 'Indicators', 'Demographics', 'Attachments', and 'History'. Below the tabs is a 'Narrative' section with a text input field and a 'Test' label. At the bottom right, there are buttons for 'Submit for Approval', 'Edit', and 'Validate'.





## Monthly Programmatic Reports

Overview **Indicators** Demographics Attachments History

Click on + sign to drill down to flex table where you can enter values for your key indicators by clicking on the yellow pencil edit icon under the *Actions* column.

Performance Indicators ⓘ

\* Records are sorted by *Sequence Asc*

Description					
☐	Key Indicators				
* Records are sorted by <i>Sequence Asc</i>					
	Description	Reporting Month Total	YTD Total	YTD Average	Actions
⊕	Total Number of Unduplicated Individual Clients Assisted	0.00	0.00	*****	



## Monthly Programmatic Reports

The screenshot shows the 'Progress Report View' in the Economic Development Grants Management System. The 'Demographics' tab is selected and circled in red. Below the navigation tabs, there is a search bar and a dropdown menu. The main content area displays a table for 'Household Demographics' with columns for Description, Total, YTD Total, Hispanic/Latino Total, Hispanic/Latino YTD Total, and Actions. The table contains two rows of data for 'Total Number Of New Undu...' and 'Total Number Of Female H...'. A note above the table states: 'NOTE: THE SUB TOTALS FOR ALL THREE SEPARATE INDICATORS MUST MATCH'.

Click on + sign to drill down to flex table where you can enter values for your key indicators by clicking on the yellow pencil edit icon under the Actions column.  
NOTE: THE SUB TOTALS FOR ALL THREE SEPARATE INDICATORS MUST MATCH

Description	Total	YTD Total	Hispanic/Latino Total	Hispanic/Latino YTD Total	Actions
Total Number Of New Undu...	0	10	*****	*****	[Pencil Icon]
Total Number Of Female H...	0	0	*****	*****	[Pencil Icon]



## Monthly Programmatic Reports

The screenshot shows a web application interface for the City of San Diego's Economic Development Grants Management System. The page is titled "Progress Report View" and displays a table of indicators. A red arrow points to the "Ethnicity/Race" indicator, which is expanded to show a detailed table of indicators.

**Indicators(2)**

Description	Total	YTD Total	Hispanic/Latino Total	Hispanic/Latino YTD Total	Actions
Total Number Of New Undu...	0	10	*****	*****	
Total Number Of Female H...	0	0	*****	*****	

**Ethnicity/Race**

**Indicators(10)**

Description	Total	YTD Total	Hispanic/Latino Total	Hispanic/Latino YTD Total	Actions
White	<input type="text" value="0"/>	0	<input type="text" value="0"/>	0	
Black/African American	<input type="text" value="0"/>	0	<input type="text" value="0"/>	0	
Asian	0	5	0	0	
American Indian/Alask...	0	0	0	0	
Native Hawaiian/Other ...	0	0	0	0	
American Indian/Alask...	0	0	0	0	
Asian & White	0	0	0	0	
Black/African American ...	0	0	0	0	



## Monthly Programmatic Reports

[Overview](#)
[Indicators](#)
[Demographics](#)
[Attachments](#)
[History](#)

Click on + sign to drill down to flex table where you can enter values for your key indicators by clicking on the yellow pencil edit icon under the *Actions* column.  
 NOTE: The total for each of the three sets of data below must match the total number of unduplicated individual clients/households assisted and reported under the 'Indicators' tab.

▲ Client Demographics ☰

	Description
+ [edit icon]	Client Info
+ [edit icon]	Ethnicity/Race
+ [edit icon]	Income Level

[-] Indicators(5)

Description	Total	YTD Total	Hispanic/Latino Total	Hispanic/Latino YTD Total	Actions
Extremely Low-Income (at or below 30% of AMI)	0	0.00	*****	*****	
Low-Income (above 30% to 50% of AMI)	0	0.00	*****	*****	
Moderate-Income (above 50% to 80% of AMI)	0	0.00	*****	*****	
Non-Low/Moderate-Income (above 80% of AMI)	0	0.00	*****	*****	
Total	0	0.00	*****	*****	



## Monthly Programmatic Reports

The screenshot displays the 'Progress Report View' in the Economic Development Grants Management System. The page includes a navigation menu with 'NOFAs', 'Applications', 'Projects', and 'Post Awards'. A search bar and a sidebar with 'Tasks' and 'Activities' are on the left. The main content area shows a reporting period of 'November 1, 2017 - November 30, 2017' and a status of 'Created'. A progress bar indicates the current stage is 'Created'. Below the progress bar, there are tabs for 'Overview', 'Indicators', 'Demographics', 'Attachments', and 'History'. The 'Attachments' tab is highlighted with a red circle. Below the tabs, there is a table with columns for 'Attachment Name', 'Type', 'Description', 'Last Modified', 'Owner', and 'Action'. The table currently shows 'No records found'. At the bottom right, there are buttons for 'Submit for Approval', 'Edit', and 'Validate'.

## Project Closeout and Tips (Page 34)

- Closeout Programmatic Reports to summarize entire project and act as check to MPRs
- Tips/Advice
  - ✓ Review your records management and documentation procedures to ensure data for reporting is being captured accurately;
  - ✓ Use Operating Manual to verify proper records on file and readily accessible; and
  - ✓ Keep files and records neat and logically arranged  
→ audits/onsite visits can occur any time.



## Fiscal Requirements (Pages 47-73)

- Request for Reimbursement (RFRs) due on or before 15<sup>th</sup> of each month for prior month;
- Anticipate RFRs to be processed within 30 days unless submitted late; and
- Provide complete details and supporting documents to avoid processing delays and/or disallowances.



## Expenditures

- Expenditures should be based on approved scope of work and budget included in executed CDBG agreement;
- New line items cannot be added;
- Include only expenditures **paid** within reporting period; and
- Administrative supplies must be purchased before January 2025.





## Expenditures

- Only enter amounts into ED Grants to be reimbursed;
- Include “re-submittal” disallowed expenditures from prior reporting period, as applicable; and
- Disallowances from a previous RFR must be submitted with the next month’s RFR.



## Expenditures

Payment Request View

Secure | https://qa-edgrants.cs33.force.com/a2b350000000E1kAAE#/?

The City of **SAN DIEGO** Economic Development Grants Management System

Community Portal

NOFAs Applications Projects **Post Awards**

Search

Search... Q

All

Tasks

My Tasks

Pending Tasks

Completed Tasks

Activities

Post Award Activities

Manage Payment Requests

Manage MPR

Manage Amendments

Recently Viewed

CG-FY18-010-05

CG-FY18-010-02

CG-FY18-010-01

**Budget Period Amounts**

Awarded Amount <sup>ⓘ</sup> \$226,912

Total YTD Spent <sup>ⓘ</sup> \$0

Requested Amount <sup>ⓘ</sup> \$0

Net Amount <sup>ⓘ</sup> \$0

**RFR Budget** Save

Budget Category	Awarded Amount	Remaining Amount	Requested Amount	Disallowed Amount	Reason for Disallowance	Net Payment	Actions
PE: Salary and Wages	\$15,312.00	\$15,312.00	<input type="text" value="0"/>	\$0.00		\$0.00	
PE: Fringe Benefits	\$0.00	\$0.00	\$0.00	\$0.00		\$0.00	
Total Personnel Bu...	\$ 15,312.00	\$ 15,312.00	\$ 0.00	\$ 0.00		\$ 0.00	
NPE: Direct Progra...	\$0.00	\$0.00	\$0.00	\$0.00		\$0.00	
NPE: Supplies-Admi...	\$0.00	\$0.00	\$0.00	\$0.00		\$0.00	
NPE: Supplies-Clien...	\$0.00	\$0.00	\$0.00	\$0.00		\$0.00	
NPE: Publications/P...	\$0.00	\$0.00	\$0.00	\$0.00		\$0.00	
NPE: Rent/Lease	\$0.00	\$0.00	\$0.00	\$0.00		\$0.00	



## Expenditures

Payment Request View

Secure | https://qa-edgrants.cs33.force.com/a7b35000000E1kAAE

The City of **SAN DIEGO** Economic Development Grants Management System Community Portal

NOFAs Applications Projects Post Awards

Search

Search... [Q]

All

Tasks

My Tasks

Pending Tasks

Completed Tasks

Activities

Post Award Activities

Manage Payment Requests

Manage MPR

Manage Amendments

Recently Viewed

CG-FY18-010-05

CG-FY18-010-02

CG-FY18-010-01

Created Submitted for Approval Approved By Fiscal Staff Approved by Project Officer Approved Posted

Overview Financials **Attachments** History

RFR Attachment Checklist

City Form Download	City Form Description	City Form Required?	Subrecipient Document Attached?	Subrecipient Comments	Subrecipient Document Link	Actions
Not Available	PE: Salary and Wages - Unaltered Copy of Dated & F...	Mandatory	NA		Not Applicable	[Checkmark]
Not Available	PE: Salary and Wages - Unaltered Copy of Payroll Se...	Mandatory	NA		Not Applicable	[Checkmark]
Not Available	PE: Salary and Wages - Unaltered Copy of front and ...	Optional	NA		Not Applicable	[Checkmark]
Not Available	PE: Fringe Benefit Payment Schedule - List of Expend...	Optional	NA		Not Applicable	[Checkmark]
Not Available	PE: Fringe Benefit Payment Schedule - Unaltered Co...	Optional	NA		Not Applicable	[Checkmark]
Not Available	PE: Fringe Benefit Payment Schedule - Unaltered Co...	Optional	NA		Not Applicable	[Checkmark]
Not Available	PE: Fringe Benefit Payment Schedule - Unaltered Co...	Optional	NA		Not Applicable	[Checkmark]
Not Available	NPE: Federally Approved Indirect Cost Rate	Optional	NA		Not Applicable	[Checkmark]

### Attachment

Add

Attachment Name	Type	Description	Last Modified	Owner	Action
PE - Interim Shelter GF SW Jan18.pdf	Agreement Supporting Document	PE: Salary and Wages - Unaltered Copy of Dated & Full...	02/28/2018 3:05PM	Julia Sauer	[Download] [Delete]
PE - Interim Shelter GF FB Jan18.pdf	Agreement Supporting Document	PE: Fringe Benefit Payment Schedule - List of Expenditures F...	02/28/2018 3:05PM	Julia Sauer	[Download] [Delete]
Consultant Services Cover Page GF IH Jan18.pdf	Agreement Supporting Document	NPE: List of Expenditures Form for Consultant Services	02/28/2018 5:30PM	Julia Sauer	[Download] [Delete]
NPE - CS IH GF JAN18 (1 OF 3).pdf	Invoice	Interim GF Jan18 part 1	02/28/2018 5:31PM	Julia Sauer	[Download] [Delete]
NPE - CS IH GF JAN18 (2 OF 3).pdf	Invoice	Interim GF Jan18 part 2	02/28/2018 5:31PM	Julia Sauer	[Download] [Delete]
NPE - CS IH GF JAN18 (3 OF 3).pdf	Invoice	Interim GF Jan18 part 3	02/28/2018 5:31PM	Julia Sauer	[Download] [Delete]
3.1.18 Proof of Payment.pdf	Invoice	SDHC Proof of Payment	03/01/2018 11:15AM	Julia Sauer	[Download] [Delete]
Salaries Explanation from subrecipient.pdf	Additional Supporting Documentation	Salaries explanation	08/05/2018 3:25PM	Julia Sauer	[Download] [Delete]
Hollandia Invoices.pdf	Additional Supporting Documentation	Hollandia Invoices	08/05/2018 3:25PM	Julia Sauer	[Download] [Delete]
Shamrock Food explanation from subrecipient.pdf	Additional Supporting Documentation	Shamrock food explanation	08/05/2018 3:28PM	Julia Sauer	[Download] [Delete]
Dec cleared check images.pdf	Missing Checks	Missing Checks	08/20/2018 10:34AM	Julia Sauer	[Download] [Delete]



## ED Grants – Resubmitting Disallowed Amounts

Payment Request Edit

Secure | https://qa-edgrants.cs3.force.com/a2b350000000E1kAAE/e

The City of **SAN DIEGO** Economic Development Grants Management System Community Portal

NOFAs Applications Projects **Post Awards**

Search

Search... [Q]

All

Tasks

My Tasks

Pending Tasks

Completed Tasks

Activities

Post Award Activities

Manage Payment Requests

Manage MPR

Manage Amendments

IO Number  
123412341234

SubRecipient Organization Name  
GRID Alternatives San Diego

Project Name  
San Diego Solar Affordable Homes

SubRecipient Organization Address  
1171 Ocean Ave Ste 200  
Oakland California 94608  
USA

Is this a final Payment?  
No

**Disallowance Information**

Includes resubmission of Disallowed amount?

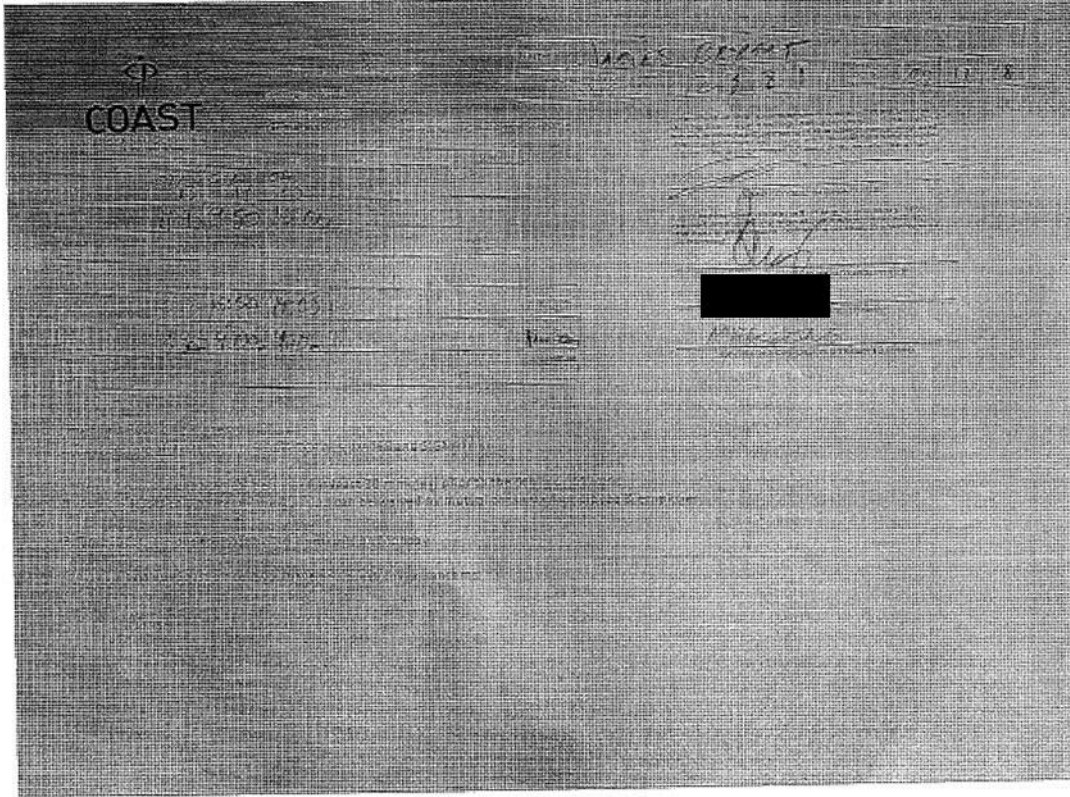
If yes, Please explain

**Payment Terms**





## Unacceptable – Will be disallowed



SOLD TO:

INVOICE NO. 75601  
 DATE 12/13/11  
 CUST NO. 123456  
 PO NO. 123456

832 E MISSION RD. SAN DIEGO, CA 92108  
 TOLL-FREE 1-800-794-8778 LOCAL (619) 741-3222  
 CUSTOMER SERVICE 1-888-801-2478 FAX (619) 741-2219

DESCRIPTION	QUANTITY	UNIT PRICE	EXTENDED AMOUNT
LONGHAY 12' RIBS	12	10.00	120.00
ORDER TOTAL			312.98

60300  
75601  
ME

RECEIVED BY



## Supporting Documentation (Pages 49-55)

- Subrecipient must maintain original copies and present them when requested by City or federal staff; and
- All RFRs submitted must have supporting documents
  - ✓ Legible and not altered
  - ✓ Detailed description of what's being claimed
  - ✓ Include all pages of invoices.



## Supporting Documentation (Pages 49-55)

- Submit only relevant supporting documents;
- Missing supporting documents and/or ineligible expenditures will result in disallowances; and
- Proof of payment must be submitted
  - ✓ Bank statements **OR**
  - ✓ Canceled checks.

## General Fiscal Policies (Pages 55-66)

- Increases to overall project budget in CDBG agreement is not allowed;
- Budget line items should not be exceeded, unless a budget amendment is approved; and
- Amounts cannot be moved between categories (Personnel to Non-personnel expenses) in a budget amendment.





## Year-End Fiscal Reports (Pages 61-63)

- Financial Summary Report;
- Property Records Report (if applicable);
- Audited Current Financial Statements/Single Audit;
- Audit Certificate of Compliance; and
- Year-End Confirmation of Project Expenditures by Funding Source.



## Monitoring (Pages 75-79)

- City staff will conduct desk audits (Monthly Programmatic Reports; Requests for Reimbursement) and on-site General Site Visits;
- Construction Projects: Certified Payroll Reports / Worker Interviews;
- Program Monitoring Reviews, Fiscal Monitoring Reviews, and Real Property Disposition Monitoring Reviews will be conducted on-site or remotely;
- Notifications of monitoring review results will be issued; required actions related to Concerns or Findings identified will be included in the notification; and
- Concerns or Findings resulting from monitoring reviews may impact performance report card of subrecipients.



## Program Monitoring Review

The following areas to be covered include, but may not be limited to:

- Service Delivery Processes;
- Organization Policies and Procedures;
- Records Maintenance Systems;
- Selected Project Participant Files; and
- Original Source Documentation for Monthly Programmatic Reports.



## Fiscal Monitoring Review

The following areas to be covered include, but may not be limited to:

- Financial Management;
- Internal Controls;
- Payment Reporting;
- Program Income;
- Records Retention;
- Equipment Management and Disposition; and
- Board Financial Oversight.



## Real Property Disposition Monitoring Review

Real Property Disposition Monitoring Reviews will also be conducted on construction projects completed in prior fiscal years to determine the following:

- Whether the ownership status changed;
- Whether rent or client fees were collected resulting from the CDBG improvements completed and what the current rent charges are for multi-family housing projects;
- Whether the use of the property or beneficiaries changed;
- Whether CDBG improvements completed are being properly maintained; and
- Whether original source documentation of National Objectives eligibility continue to be properly maintained.

## A Word on Timeliness...

- Entitlement jurisdictions are required to use their CDBG funds in a timely manner;
- HUD timeliness standard = no more than 1.5 times the entitlement amount; and
- Unspent subrecipient funds can place the entire CDBG program into noncompliance.





## City Strategy

- Select organizations with capacity;
- Contractual timeliness requirements; and
- Sanctioning untimely subrecipients.

## What Can You Do?

- Identify the cause of any backlog;
- Identify actions to take and expected results; and
- Develop a milestone schedule and expenditure projection.



## Performance Indicators (up to -2.5 points)

Assessment Area	Indicators	Standards
<b>Fiscal Performance</b>	<ul style="list-style-type: none"><li>• Balance of Award at Closeout (\$)</li><li>• Total Disallowances at Closeout (\$)</li><li>• Number of Disallowances Processed (#)</li></ul>	<ul style="list-style-type: none"><li>• Award Balance <math>\geq</math> 10% (-0.50 point)</li><li>• Total Disallowances <math>\geq</math> 10% (-0.25 point)</li><li>• Disallowance Frequency <math>\geq</math> 50% (-0.25 point)</li></ul>
<b>Programmatic Performance</b>	<ul style="list-style-type: none"><li>• Number of Clients Served</li></ul> <p><u>OR</u></p> <ul style="list-style-type: none"><li>• Number of Projects Completed</li></ul>	<ul style="list-style-type: none"><li>• 51-79% of target met (-0.50 point)</li><li>• <math>\leq</math> 50% of target met (-1.0 point)</li></ul>
<b>Leveraged Funding</b>	<ul style="list-style-type: none"><li>• Stated RFP Funding vs Actual Closeout Funding</li></ul>	<ul style="list-style-type: none"><li>• Discrepancy <math>&gt;</math> 25% (-0.5 point)</li></ul>





## Leveraged Funding

d. Budget lists all other funding sources secured for project, submits documentation for each source listed, and percent of funds leveraged (calculated by: other secured funding/total project costs) is:

0% – 5% (0 points)	41% – 60% (3 points)
6% – 20% (1 points)	61% – 80% (4 points)
21% – 40% (2 points)	81% – 100% (5 points)

(CDD score)

5



## ED Grants

- All MPRs, RFRs, and Budget Amendments to be submitted via ED Grants;
- Only one MPR, RFR, or Budget Amendment may be “pending approval” at a time;
- ED Grants to track timely submissions, disallowances, and revisions for performance evaluation purposes; and
- All supporting documents to be uploaded to ED Grants.

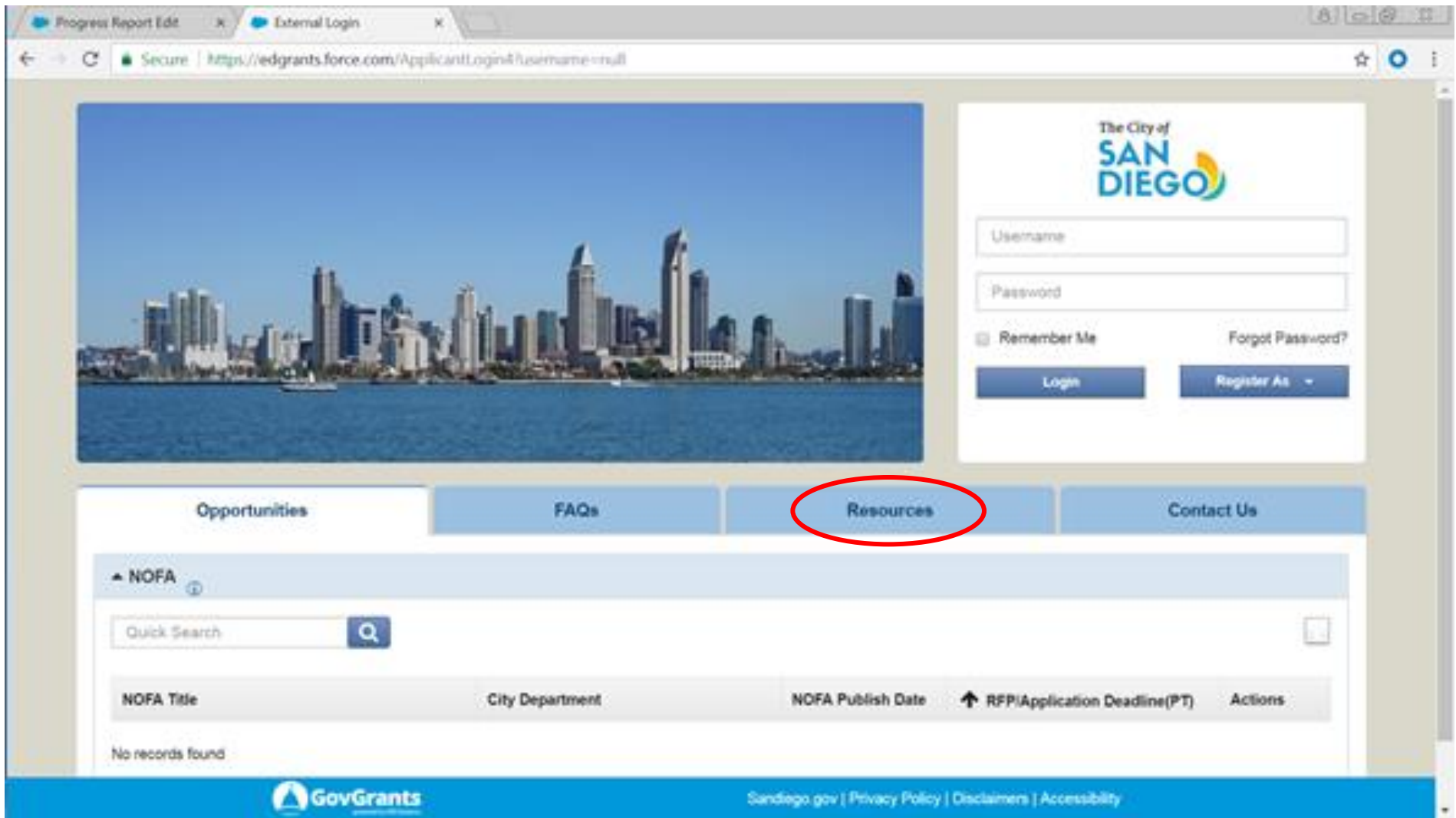


## Resources

- [Operating Manual](#)
- [Playing by the Rules](#) Handbook by HUD
- [CPD Income Eligibility Calculator](#)
- [2 CFR 200.302 through 200.303](#)
- CDD Technical Assistance
- Mandatory Fair Housing Training
- [CDBG@san Diego.gov](mailto:CDBG@san Diego.gov)



## ED Grants “Resources” Tab



<https://edgrants.force.com/ApplicantLogin4>

