

Chapter 1: Grants Management

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1.1.1 Welcome to IDIS

Welcome to the *Reference Manual* for the Integrated Disbursement and Information System (IDIS).

IDIS is a real-time, mainframe-based computer application so it provides up-to-date information. It lets you enter, maintain, and report on projects and activities that support the four U.S. Department of Housing and Urban Development (HUD) Office of Community Planning and Development (CPD) formula grant programs: Community Development Block Grant (CDBG), HOME Investment Partnership Program (HOME), Emergency Shelter Grant (ESG), and Housing Opportunities for Persons With AIDS (HOPWA). With the help of this *Manual*, grantees and state users will find it easier to track their HUD CPD formula grants.

IDIS is used by three groups with diverse needs:

- 1,100 CPD formula grant program participants located throughout the U.S.
- HUD's 42 Field Offices (FOs)
- HUD Headquarters (HQ) staff

Together these groups represent more than 10,000 users.

We welcome your feedback on the *Manual* and suggested enhancements. Send them to idishelp@hud.gov.

This *Manual* is intended to assist the varied groups of IDIS users in a dynamic environment. As such, it is a "living document."

1.1.2 Benefits of the System

To help effectively manage the CPD-funded programs, IDIS was designed to provide program participants and HUD staff members with financial management, information reporting, and performance monitoring capabilities.

IDIS streamlines the disbursement and control of funds and produces reports on the actual use of these funds for participants, HUD HQ, and Field Office staff.

The system brings to users several other benefits:

- Reduces paperwork
- Reduces year-end processing
- Tracks funding and drawdowns by activity and grant
- Records progress of activities

1.2 How the Four CPD Formula Grant Programs Use IDIS

The CPD at HUD maintains IDIS in support of its four formula grant programs:

- CDBG
- ESG
- HOME
- HOPWA

These programs strive to help communities assist their neediest populations through the funding of housing, economic development, public services and facilities, homelessness assistance, and special needs activities. Annually, these programs provide local and state governments with approximately \$15 billion of funding.

1.2.1 How IDIS Defines the Roles of Organizations

CPD’s formula grant programs assign different titles and roles to those organizations that perform activities and receive funding under their programs. Consequently, we thought that it would be useful to define the terms grantee, subrecipient, subgrantee and other associated relationships in the context of IDIS.

IDIS Roles of Organizations

What is a grantee?	<p>A <i>grantee</i> is defined as any organization receiving grant funds directly or indirectly from HUD to perform HUD-approved program work.</p> <p>A grantee is the “owner” of the program funds and is responsible for performance of the approved, CPD-funded projects and activities.</p> <p>All grantees are given a Unit of Government code and number (UOG CD and UOG NM) to identify them.</p>
What is a subrecipient and subgrantee?	<p>Grantees can delegate some or all of their project activities to subrecipients, who are organizations that may or may not have access to IDIS. For example: in the HOME program, CHDOs do not have access to IDIS.</p> <p>Grantees can delegate some or all of their project activities to subgrantees, who receive funds for this work and who update these activities using IDIS.</p> <p>The HOME program has special rules and regulations for state subgrantees regarding usage of grant funds.</p>

<p>What other organizations receive funds and complete activities?</p>	<p>Other Entity Special subgrantee organization receiving a subgrant and is identified as an Other Entity on the system.</p> <p>Community Housing Development Organization (CHDO) Special type of grantee that receives <i>set-aside</i> subgrant.</p> <p>The HOME program has special rules and regulations for Other Entities and CHDOs regarding usage of grant funds.</p>
<p>What are the categories of grantees?</p>	<p>Within IDIS there are three types of grantees identified with unique IDs, which include:</p> <p>Primary Grantee ID Grantee is the <i>owner</i> of the activity, has an approved Consolidated Plan/Action Plan, and is responsible for all associated projects and activities.</p> <p>Secondary Grantee ID Grantee assigned to do the work tasked to the activity.</p> <p>Setup Grantee ID Grantee performs the IDIS setup processing of an activity.</p>

1.3 History of CPD Formula Grants Management and IDIS

In the past, CPD's grants management process was fragmented with each program managed individually by both HUD and the participants. This approach created a cumbersome and expensive administrative framework. It duplicated efforts, wasted resources, and hindered the integration of the management of these interrelated programs.

In the mid-1990s, in response to feedback from thousands of citizens and HUD employees and HUD's commitment to streamline government, CPD completely restructured its approach to community development and revitalization. CPD developed a set of underlying principles that were applied across all of its community development programs to enhance the effectiveness of each initiative. These principles include the following:

- Community empowerment
- Sustainable development
- Renewing and simplifying programs
- Improved communication
- Access to information

To implement these principles, CPD launched the Consolidated Plan/Annual Action Plan under which it folded 12 separate planning, application, and reporting requirements into one consolidated process. Consolidated Planning enabled communities to address their needs comprehensively and with greater flexibility.

Instead of submitting separate plans to address community development, affordable housing, homelessness, or housing for people living with Human Immunodeficiency Virus/Acquired Immune Deficiency Syndrome (HIV/AIDS), communities now submit a single, comprehensive strategic plan. This plan serves as the application and funding mechanism for CPD's four formula grant programs. Also, the new grant management approach provides local communities with a program management framework based on performance rather than process, results rather than paperwork, and local control rather than top-down prescription.

As a result, some of the resources previously supporting the complex infrastructure were redirected to the funding of CPD's formula grant programs. In addition, the grants management process was simplified and supported by enhanced technology (i.e., IDIS, and other new HUD systems).

1.3.1 Understanding the CPD Formula Grants Management Process

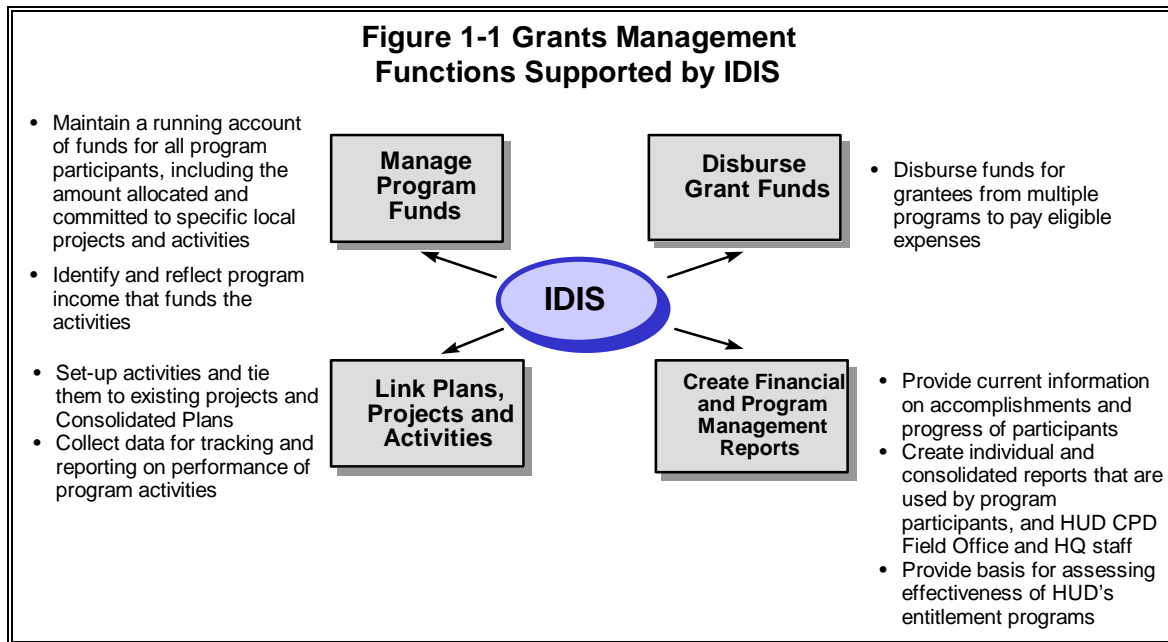
CPD's common grants management process includes these seven steps.

CPD Seven Step Grants Management Process

Step 1	Develop and gain approval of 3- to 5- year <i>Consolidated Plan</i> that serves as: <ul style="list-style-type: none"> • A planning document for the jurisdiction • A single application for federal funds under HUD's formula grant programs • A strategy to be followed in carrying out HUD's performance government • An action plan that provides the basis for assessing performance.
Step 2	Annually, create and gain approval of an <i>Action Plan</i> that describes the projects and assigns budget amounts for the upcoming plan year.
Step 3	Receive <i>annual funding</i> under HUD formula grant programs and other sources.
Step 4	Designate detailed <i>activities</i> and related annual budgets under each project that can be measured to assess progress for the work being done.
Step 5	<i>Commit funds</i> for a given activity.
Step 6	<i>Drawdown and disburse</i> committed funds for an activity.
Step 7	<i>Report</i> on program year accomplishments and performance.

1.4 Grants Management Functions Supported by IDIS and Other HUD Systems

IDIS is not a stand-alone system. It interacts with several other HUD systems (see Figure 1-1). Collectively these systems simplify and integrate the grants management process and enable program participants to manage their programs more effectively.



1.4.1 What is the Role of IDIS in Grants Management?

IDIS begins supporting the grants management process after the planning stage. After a grantee signs a grant agreement with HUD, grant funds are then reported to IDIS and the grantee is ready to set up activities, drawdown funds, and report on the progress of each activity. As Figure 1-1 shows, IDIS supports the process through the transaction and performance reporting stage and feeds information into other CPD systems.

1.4.2 Relationship of IDIS to Other HUD Systems

IDIS is used in combination with three other HUD systems to perform the following steps in the grants management process.

Four HUD Systems Used for CPD formula grants Management

Consolidated Plan Management Process System (CPMP)	<ul style="list-style-type: none"> • Load final Plan files on to IDIS via CPMP data transfer or key in project information directly in to system
Integrated Disbursement and Information System (IDIS)	<ul style="list-style-type: none"> • Establish activities for the projects, assign budgets and record accomplishments as they occur • Identify funding sources and amounts for each activity • Employ Drawdown option to set-up and approve funds for associated activity • Breakout summary activity and financial information into detailed information for each of the four programs and each subrecipient or subgrantee
Line of Credit Control System (LOCCS)	<ul style="list-style-type: none"> • Disburse grant funds through IDIS interface with LOCCS • Receive requested drawdown for final approval • Create transaction and forward to Treasury where a wire transfer is initiated to the appropriate recipient • Provide IDIS with up-to-date information on grant balances
Grants Management Process (GMP) System	<ul style="list-style-type: none"> • Utilize IDIS reports to support GMP, a comprehensive and collaborative grants management approach that stresses performance-based program management • Transfer from IDIS to GMP key grantee information to assist Field Office in monitoring and assessing grantee performance

1.5 About This Manual

1.5.1 Purpose of This *Manual*

This *Manual* consolidates all IDIS materials and provides users with three tools:

- Hands-on, operational instructions on the main set-up, processing and reporting of activities and other system capabilities
- A reference source that explains the system's menus, screens, fields and function keys and provides user tips
- A collection of CPD program and policy information pertinent to IDIS

1.5.2 How this Manual Is Organized

As detailed below, this *Manual* contains 15 chapters and six appendices.

How this Manual Is Organized

Chapters 1 - 3	Discuss grants management and the role of IDIS in the process and provide a brief review of the system's project and activity framework and major functions
Chapters 4 - 7	Describe the core processes that are frequently undertaken by program participants, e.g., setting up activities, funding activities, subfunding and subgranting, and drawdowns.
Chapters 8 - 11	Describes the program-specific IDIS activity screens for CDBG, HOME, ESG, and HOPWA.
Chapter 12	Discusses how to request and download IDIS reports and data extracts.
Chapter 13	Discusses IDIS Receipts processing.
Chapter 14	Describes how plan years and projects are entered into IDIS.
Chapter 15	Describes IDIS functions performed only by Grantee Local Administrators and HUD Field Office and HQ staff.
Appendix A	Discusses IDIS Implementation and Planning
Appendix B	Contains IDIS Code Definitions including a detailed description of Matrix Codes.
Appendix C	Contains a sample IDIS Access Request form.
Appendix D	Contains file layouts for IDIS data extracts and financial extracts.
Appendix E	Contains sample IDIS reports and descriptions of report content.
Appendix F	Contains forms for use by subrecipients for setup and completion of HOME activities

Each of the *Manual's* 15 chapters begins with an *Overview* section and list of the topics addressed in the chapter, *What's in This Chapter*.

This *Manual* contains step-by-step directions for completing each screen plus sample screen examples taken from actual CPD formula grantees.

How To Complete this Screen:

You will find overall directions for completing each screen in this paragraph.



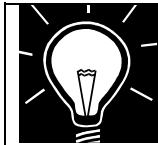
FIELD NAME

1. Follow these steps to complete this field

In addition, there is a descriptor table below each screen that defines each field and its valid entries.

DATA FIELD	REQ'D	DESCRIPTION	VALID ENTRIES
	✓		

Tips, notes, and references to other sections or other publications look like this:



THE LIGHTBULB HIGHLIGHTS INFORMATION YOU'LL FIND HELPFUL

Users will find tips, notes, and references to other sections here.

1.5.3 Using the *Quick Reference Card*

To provide easy access to crucial system information, a *Quick Reference Card* was developed in conjunction with this *Manual*. The *Card* outlines the most commonly used system navigation features and processing functions in a condensed format. To view the card, go to the IDIS web site link, <http://www.hud.gov/offices/cpd/systems/idis/training/refcard.pdf>

1.5.4 Need More *Manuals*?

This *Manual* has been posted to the IDIS web site in Adobe *pdf* format. You do not need to download and save each chapter to view or print the document. (You can print it directly from the Adobe reader.) You *can* save the document to your hard drive should you want to but there is no practical reason to do this.

<http://www.hud.gov/offices/cpd/systems/idis/library/refmanual/index.cfm>

1.6 IDIS User Technical Support Resources

If you need assistance while working on IDIS, there are several resources available. In addition to getting help from your local Field Office, you may take advantage of the following support resources.

1.6.1 HUD IDIS Hotline

When you call the HUD IDIS Hotline (the Technical Assistance Unit (TAU)), you should have the problem IDIS screen in front of you or know the screen number, which appears in the upper right hand corner, e.g., **C04MK04**.

TAU Hot Line Support Hours:	
Monday - Friday	8:00 a.m. – 7:00 p.m. Eastern time
TAU Support Numbers/Addresses:	
Toll Free Help Line	1-877-483-8282
Fax Number	1-703-553-8444
E-mail	edishelp@hud.gov
New IDIS User ID Problems	IDIS System Administrator 1-202-708-0614, x4516
IDIS ID/Password Expirations	HUD User Assistance Unit Toll Free #: 1-888-297-8689, Option 3 D.C. Area: 1-(202) 708-3300, Option 3
Web390 ID/Password Problems	IDIS System Administrator 1-202-708-0614, x4516

1.6.2 IDIS Web Page

The newly remodeled IDIS web page <http://www.hud.gov/offices/cpd/systems/idis/index.cfm> contains all the “old” information you depend on plus the latest IDIS news *right on the home page*, plus up-to-date information on setting up Internet access to IDIS.

Each web page contains eight topic areas arranged in the left column for easy access:

IDIS Home Page	You will want to bookmark this page so you can stay up-to-date on the latest IDIS news.
Logon to IDIS	This link takes you to the IDIS Internet Logon screen.
EDI	This link takes you to the latest information on using EDI with IDIS.
Technical Info	This link takes you to “techy-type” information on configuring your Internet browser or network connection to work with IDIS.

Toolbox	This link takes you to “user-friendly” information on using IDIS. It includes links to the IDIS Start-Up Guide, IDIS Live newsletter, the IDIS Reference Manual, plus more.
Useful Links	This link takes you to a listing of other sites – many outside of HUD -- of interest to IDIS users.
Help	This link takes you to a page that describes additional sources of help including how to contact the TAU and how to subscribe to the listserv.

We welcome your comments and suggestions. Send them to [cpd web mail@hud.gov](mailto:cpd_web_mail@hud.gov).