

**SUBJECT:** Timely Expenditure of Funds

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**NUMBER:** 2.10.1

**EFFECTIVE:** March 2013

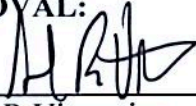
**REVISED:** June 2016

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**SANDY CDBG-DR**

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**APPROVAL:**



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**PURPOSE:**

This policy sets forth the system and processes that ensure the tracking and reporting of timely expenditure of CDBG-DR grant funds received in the aftermath of Superstorm Sandy. Effective reporting and grant management systems track projects and programs against budgets and milestones established within programs and contracts.

**OBJECTIVE:**

DCA has instituted the Sandy Integrated Recovery Operations & Management System (SIROMS) to manage and track CDBG funds and other federal and state programs administered by DCA. The SIROMS system provides standards and a process to review, approve and track grant applicants and funding, direct program activities and program delivery expenditures. It is a comprehensive system that supports the management of SRD programs, including grant management services, applicant progress, quarterly budgets and forecasts as well as direct program, program delivery and national objective information.

The SIROMS system serves as a tool for program managers. It tracks financial and performance metrics, and captures and maintains the information and data required to:

- Streamline applicant data and workflow review;
- Track program/project progress via dashboards and reports;
- Email notifications to keep program staff, subcontractors or sub-recipients up to date on applicant status, program progress, as well as funds flow;
- Monitor the expenditures of sub-recipients and contractors;
- Collect and synchronize data for the HUD Disaster Recovery Grant Reporting (DRGR) system; and
- Provide the accounting and budgetary controls on projects, accumulate all relevant data (including performance measures) needed for programs and sub-recipients as required reporting to HUD.

DCA requires that each program noted in the State's Action Plan update its forecast (on a quarterly basis) regarding funds to be expended over the expected life of the program.

The SIROMS system provides numerous monthly reports for Program Management staff to review and assist in managing their respective programs. These reports include high level dashboards as well as a variety of financial and performance updates on program funding progress.

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DCA's Sandy Fund Request process (within SIROMS system) provides a systematic process under which requests for funding are managed and monitored to ensure the timely expenditure of program funds. The Funds Request process ensures appropriate levels of review and scrutiny via SIROMS 4-step approval process, whereby approvals from personnel overseeing Program, Contract, Policy, and Financial matters are required before the funding process can continue.

The SIROMS system allows DCA and other Program personnel to analyze their "Obligated" and "Expended" funds by Program along with their associated performance metrics. Program specific funding is continually reviewed for timeliness, and analyzed quarterly with regards to HUDs required two-year expenditure deadline. For projects that fail to meet their obligated expenditure timeline and/or performance metrics, DCA will review to determine whether another round of funding should be established to provide additional time or a reallocation of funds is in order.

Ultimately, if the sub-recipient contractor or beneficiary fails to perform, DCA may determine termination. In cases where agreements with recipients are terminated for failure to meet timelines, DCA will reprogram funding into other activities.

**RESPONSIBILITIES:**

The SIROMS system was established through the DCA Director of Information Technology. Its assigned Director and divisional staff maintain responsibility for operational management, utilization and functionalities to ensure it is meeting the measurements for timeliness and effectiveness.

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