

Department of Administration
Division of Housing

Chapter 9: Reporting
Chapter 2: Monitoring
Chapter 6: Equal Opportunity

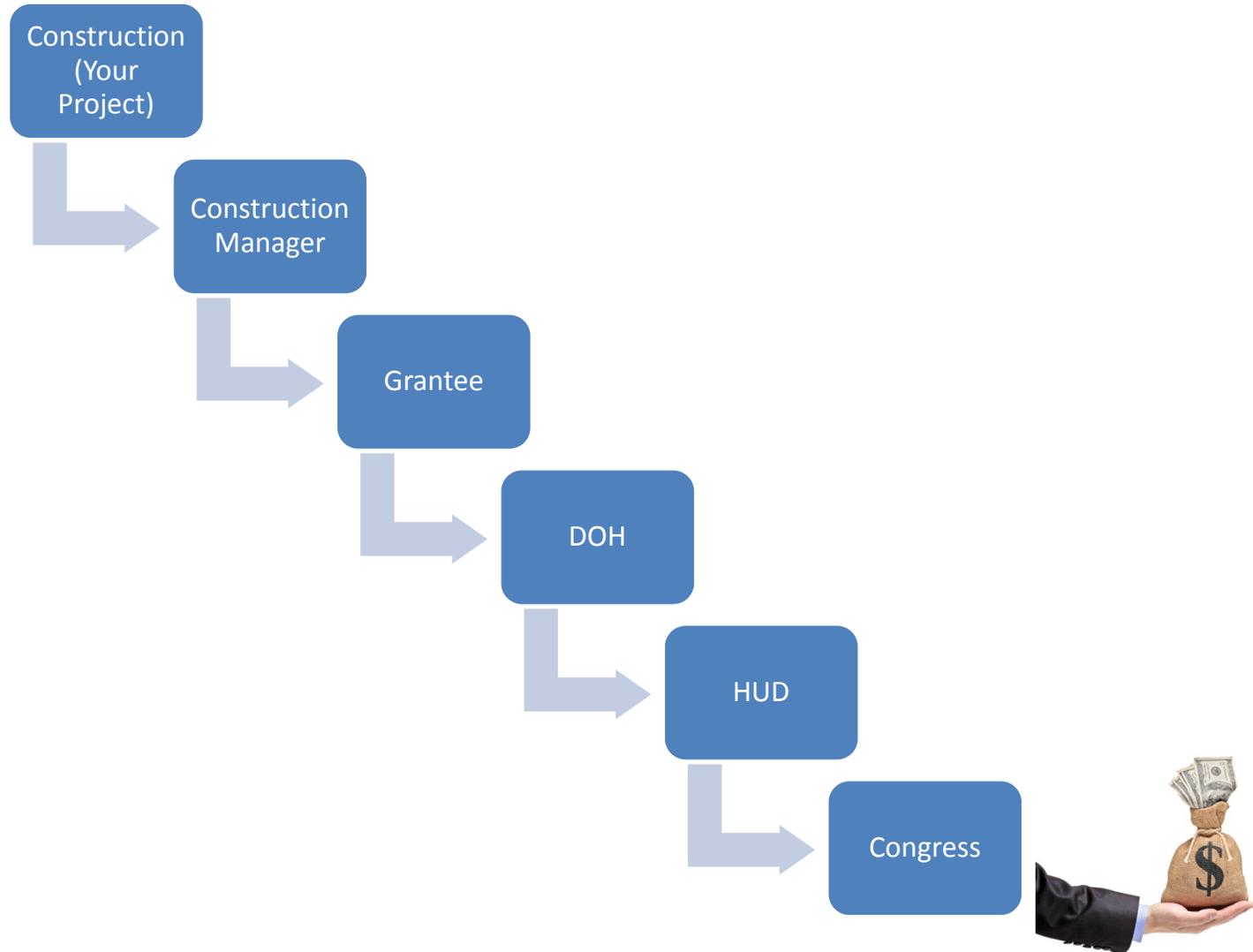


Reporting, Monitoring, and Equal Opportunity

Chapters: 6, 9, and 11



Reporting Process



Grant Agreement

ARTICLE 9. FAILURE TO PERFORM

The Department reserves the right to suspend payment of funds, in whole or part, **if any required report is not timely provided to the Department** upon request or as required under any provision of this Agreement, or if the Grantee has not complied with the terms of this Agreement. **The Department further reserves the right to suspend payment of funds under this Agreement if there are deficiencies related to the required reports** or if performance of contracted activities is not evidenced on other Agreements between the Department and the Grantee in whole or in part.

The Grantee's management and financial capability including, but not limited to, audit results and performance, may be taken into consideration in any or all future determinations by the Department and may be a factor in a decision to withhold payment and **may be cause for termination of this Agreement.**

Grant Agreement - continued

Page 1:

WHEREAS, the terms and conditions herein shall survive the Performance Period and shall continue in full force and effect until the Grantee has completed and is in compliance with all the requirements of this Agreement;

The Grantee shall comply fully and completely with all provisions of this Agreement in order to be eligible for the funds awarded under this Agreement.

Grant Agreement – cont.

ARTICLE 8. REPORTING

The Grantee shall submit all required reports to the Department in a complete and timely manner per the schedule set forth in the ATTACHMENTS, and shall comply with all other applicable regulations. Financial Reports must be submitted with each request for funds. Copies of the Financial Reports will be maintained in the Grantee's file.

Grant Agreement – cont.

ARTICLE 12. LEGAL RELATIONS AND INDEMNIFICATION

The Grantee shall at all times comply with and observe all applicable federal and state laws, ordinances, and regulations which are in effect during the Performance Period of this Agreement and which in any manner affect the Grantee's work or conduct.

Grant Agreement – cont.

Attachment A

IMPLEMENTATION

The Grantee will comply with the CDBG Program policies and procedures provided in the most recently published Program Implementation Handbook. The Department reserves the right to adjust policies and procedures during the Agreement period. The Grantee's Program Administrator is required to attend Implementation Trainings throughout the Performance Period of this Agreement.

Important Documents

- Grant Agreement & Attachment C (Timetable) and Attachment D (Reporting Schedule)
- Implementation Handbook
- Payment Requests

Common Reporting Issues



Semi-Annual Reports

ATTACHMENT 9-J: REPORTING REQUIREMENTS CHECKLIST

SEMI-ANNUAL REPORTS				
Form:		PLEASE NOTE: These forms are:		
9-A	<i>Semi-Annual Report Certification</i>	<ul style="list-style-type: none"> • Due semi-annually as indicated in your CDBG Agreement. • To be completed & submitted by the local Grant Administrator. 		
9-B	<i>Summary Narrative</i>			
9-C	<i>Labor Standards Enforcement Report</i>			
9-D	<i>MBE/WBE Report</i>			
9-E	<i>Section 3 Report</i>			

LABOR STANDARDS			
Form:	Completed by:	Due:	
7-C	<i>Labor Standards Officer Designee</i>	Grant Administrator	Upon execution of CDBG Agreement
7-D	<i>Request for Wage Decision and Response to Request</i>	Labor Standards Officer	Prior to advertising for bids
7-F	<i>Ten Day Wage Decision Status Check</i>	Labor Standards Officer	Prior to bid opening
7-H	<i>Advertisement for Bids</i>	Chief Elected Official	Upon advertisement for a bid
7-J	<i>Notice of Contractor Award</i>	Labor Standards Officer	Upon awarding contract(s)
7-Q	<i>Section 5.7 Enforcement Report</i>	Labor Standards Officer	Upon finding any labor violations where underpayment is greater than \$1,000

FINANCIAL MANAGEMENT			
Form:	Due:		
8-A	<i>Financial Management Contact Person</i>	Prior to executing the CDBG Agreement	
8-A	<i>Depository Certification</i>		
8-A	<i>Signature Certification</i>		
8-B	<i>Request for Payment</i>	With each request for CDBG funds	
8-C	<i>Cash Control Register</i> <i>(Up-to-date as of the Payment Request submission date)</i>		
8-D	<i>CDBG Disbursement Journal</i> <i>(Up-to-date as of the Payment Request submission date)</i>		
8-E	<i>Matching Funds Journal</i> <i>(Up-to-date as of the Payment Request submission date)</i>		
	<i>Supporting documentation</i> <i>(Invoices, cancelled checks, bank statements, etc.)</i>		

SINGLE AUDIT				
Form:	Completed by:	Submit to:	Due:	
10-B/ 10-C	<i>Annual Audit Letter</i>	Grant Administrator	DOH Project Rep	January 15
	<i>Single Audit Report</i>	External auditor	1.) DOA Chief Accountant 2.) DOH Project Rep	Per the Grant Agreement Timeline

All reports are due to your assigned DOA-Division of Housing CDBG Project Representative unless otherwise indicated. Electronic submission of reports is preferred. Any additional required documents listed in the Implementation Manual (but which are not listed above) may be requested by your CDBG Project Representative at any time.

IMPORTANT REMINDER!

The semi-annual reporting requirement begins when the UGLG receives a copy of the fully-executed Grant Agreement from the Division of Housing (DOH), and it continues until the Unit of General Local Government (UGLG) has completed full Financial & Administrative Closeout of the Grant Agreement.

Reporting periods and due dates:

- For the period of **April 1st through September 30th** – the report is due **no later than October 15th**!
- For the period of **October 1st through March 31st** – the report is due **no later than March 15th**!

UPDATE: Agreement Timetable

Audit Reporting

- Jan. 15 and Oct. 15

Labor Standards Report

- March/September 25

Semi-annual packet

- April/ October 15

Fair Housing

- Within 1 year of award letter

End of Construction period

- Within 2 years of award letter

Final payment and closeout report

- Within 2 months of end of construction period

DUE DATE (ON OR BEFORE):	ACTIVITY
Prior to Construction	<ul style="list-style-type: none"> • Execute Grant Agreement. • Complete Environmental Review and obtain Clearance Report. Submit copy of Environmental Review Clearance Letter to DOA CDBG Program Representative. • Establish record keeping system. • Establish financial management system. • Procure engineering and administrative services. • Submit draft Administrative Contract(s) to DOA for review, if applicable. • Enter into the Administrative Contract(s), if applicable. • Obtain federal and state wage rates, if applicable. • Complete Wage Decision Form 308. Submit to DOA for review. • Prepare and solicit construction bids. • Report date of bid advertisement and bid opening to DOA. • Submit Notice of Contractor Award form and construction start date to DOA. • Submit project schedule, bid tab summary, and updated project budget to DOA. • Obtain all necessary permits. • Hold pre-construction meeting. Submit meeting minutes to DOA.
→ January 15, 2014	<ul style="list-style-type: none"> • Submit Single Audit Statement. Arrange for Single Audit, if applicable.
→ March 25, 2014	<ul style="list-style-type: none"> • Submit Semi-Annual Labor Standards Report for period October 1, 2013 through March 31, 2014 unless notified by DOA project representative of another submission date.
→ April 15, 2014	<ul style="list-style-type: none"> • Submit semi-annual reporting indicating accomplishments and activities from October 1, 2013 through March 31, 2014. Reporting form must follow the guidance provided in the Implementation Handbook. • Begin construction. Document and report delays and/or progress to DOA.
→ May 17, 2014	<ul style="list-style-type: none"> • Undertake Fair Housing activities. • Conduct second Public Hearing to report project progress. Submit meeting notice, attendance list, and meeting minutes to DOA.
September 25, 2014	<ul style="list-style-type: none"> • Submit Semi-Annual Labor Standards Report for period April 1, 2014 through September 30, 2014 unless notified by DOA project representative of another submission date.
→ October 15, 2014	<ul style="list-style-type: none"> • Submit semi-annual reporting indicating accomplishments and activities from April 1, 2014 through September 30, 2014. Reporting form must follow the guidance provided in the Implementation Handbook. • Continue Construction. Document and report delays and/or progress to DOA. • Submit Single Audit Report and Management Letter to DOA, if applicable.
→ December 15, 2014	<ul style="list-style-type: none"> • Complete all Construction activities. • End of Construction Period. No non-administrative project expenses incurred after the date.
January 15, 2015	<ul style="list-style-type: none"> • Submit Single Audit Statement. Arrange for Single Audit, if applicable.
→ February 15, 2015	<ul style="list-style-type: none"> • Submit Final Payment Request • Submit Closeout Report.
October 15, 2015	<ul style="list-style-type: none"> • Submit Single Audit Report and Management Letter to DOA, if applicable.

Semi-annual report forms

1. Semi-Annual Report Certification
2. Summary Narrative
3. Labor Standards Enforcement Report
4. MBE/ WBE Report
5. Section 3 Report

Example: *Village of Yourville, WI*

Grantee: Village of Yourville

Project: Creek relocation and storm sewer improvements

Award: \$500,000

Performance Period: February 15, 2012-December 31, 2014.

<u>On or Before</u>	<u>Accomplishments</u>
Prior to Commencing Construction	<p>NOTE: The following accomplishments must be submitted in writing to the Department by the date shown on the left:</p> <p>Establish grant files and financial accounts. Report date of completion.</p> <p>Secure engineering and administrative services. Name parties retained and report date(s) of contracting and amount(s) of contract(s).</p> <p>Complete environmental review. Report date of certification.</p> <p>Request Federal and State wage rates. Report date of requests.</p> <p>Obtain all necessary permits. Identify permits and dates of issuance.</p> <p>Prepare and solicit construction bids. Report dates of advertising and bid opening</p> <p>Award contract. Submit "Notice of Contract Award"</p>
Submission of First Request for Payment of Funds	Report construction start date. Describe progress and/or any delays.
October 7, 2012	<p>Complete and describe Affirmative Fair Housing actions committed to in the application.</p> <p>Continue construction. Describe progress and any delays.</p> <p>Submit Semi-Annual Narrative Report.</p> <p>Submit Semi-Annual Labor Standards Enforcement Report.</p>
April 7, 2013	<p>Continue construction. Describe progress and any delays.</p> <p>Submit Semi-Annual Narrative Report.</p> <p>Submit Semi-Annual Labor Standards Enforcement Report.</p>
October 7, 2013	<p>Continue construction. Describe progress and any delays.</p> <p>Submit Semi-Annual Narrative Report.</p> <p>Submit Semi-Annual Labor Standards Enforcement Report</p>
April 7, 2014	<p>Continue construction. Describe progress and any delays.</p> <p>Conduct second citizen participation meeting to report Project progress and impact of Project on meeting the community's housing and other development needs. Send meeting minutes to the Department.</p> <p>Submit Semi-Annual Narrative Report</p> <p>Submit the Labor Standards Enforcement Report</p>
October 7, 2014	<p>Continue construction. Describe progress and any delays.</p> <p>Submit Semi-Annual Narrative Report.</p> <p>Submit final draw request and include the Final Labor Standards Enforcement Report</p>
December 31, 2014	<p>Schedule Audit if required</p> <p>Complete all construction work</p> <p>Submit Final Semi-Annual Narrative Report</p> <p>Submit closeout documents</p>

GRANTEE SEMI-ANNUAL REPORT CERTIFICATION

Wisconsin's Community Development Block Grant Program

A. NAME OF GRANTEE <i>Village of Yourville</i>
B. GRANT AGREEMENT # <i>PF FY13-12345</i>
C. BUSINESS NAME <i>Not applicable</i>
D. REPORTING PERIOD ENDED <i>September 30, 2013</i>

SUBMIT **ONE** COPY
(unless it is being e-mailed or faxed)

SEMIANNUAL REPORT DOCUMENTS ATTACHED:	
<input checked="" type="checkbox"/>	<i>Grantee Semiannual Report Certification</i>
<input checked="" type="checkbox"/>	<i>Summary Narrative</i>
<input checked="" type="checkbox"/>	<i>Semiannual Labor Standards Enforcement Report</i>
	<i>Business Matching Funds Journal (PFED Only)</i>
<input checked="" type="checkbox"/>	<i>MBE/WBE Report</i>
<input checked="" type="checkbox"/>	<i>Section 3 Report</i>

PREPARER CERTIFICATION	
I hereby certify that to the best of my knowledge and belief the contents in this report are true and correct.	
Signature <i>Jane Doe</i>	Date <i>10/5/2013</i>
Title <i>Grant Administrator</i>	Telephone <i>(123) 456-7890</i>
Company <i>ABC Company</i>	Email <i>jdoe@email.com</i>

GRANTEE APPROVAL	
Grantee Signature <i>Joe Smith</i>	Date <i>10/6/2013</i>

ATTACHMENT 9-F: TEMPLATE – SUMMARY NARRATIVE FORM

A. NAME OF GRANTEE
B. GRANT AGREEMENT #

THIS REPORTING PERIOD	
OBJECTIVES	ACCOMPLISHMENTS

UPDATE ON PREVIOUS REPORTING PERIODS	
DELAYED OBJECTIVE	UPDATE

Form 2

Example:
Village of Yourville
(1st reporting period)

SUMMARY NARRATIVE

A. NAME OF GRANTEE
██████ OF ████████

B. CONTRACT
PF-FY ████████

THIS REPORTING PERIOD	
OBJECTIVES	ACCOMPLISHMENTS
Prior to Commencing Construction Establish Grant and Financial Records	Grant files have been established. The checking account and depository certification have already been filed with your agency. ████████ has been designated the Labor Standards Officer (See Attachments).
Secure Engineering Services	The City and ████████ Engineering entered into a contract for engineering services for this project that includes design services, flood study hydraulic modeling, preparation of easement documents and grant administration assistance. The contracts include the estimated amounts for each of the following specific task accounts: preliminary engineering report - \$1,100; design, bidding and construction - \$237,000; easements - \$1,500; permit applications & environmental assessment - 26,000; food studies - \$17,500; and grant administration- \$5,000.
Complete Environmental Review	The environmental review has not yet been completed but a "DRAFT" environmental assessment has been prepared and it is under review by regulatory agencies. In addition, an archeological survey has been completed.
Request Federal and State Wage Rates	The City and Engineer have not yet requested Federal & State wage rates, because final regulatory agency reviews might affect project labor requirement. In addition, the project has not yet been prepared for bidding so labor requirements might change.
Obtain All Necessary Permits	Project construction activities will require an individual permit for water quality certification, wetland filing and wetland mitigation that will be issued by the WDNR and USACOE reviews the project. This permit has been delayed as a result of needing final approval of wetland mitigation bank arrangements. In addition, a general permit for storm water management is needed but has not yet applied for, because it requires 14 days to obtain it and the project design is not considered complete until the individual permit has been issued.
Submit Semi-Annual Narrative Report	This narrative is the City's first Semi-Annual Narrative Report.
Hold First Citizen Participation Plan Hearing	The City held its first Citizen Participation Hearing on May 9, 2012. A copy of this report is enclosed with this Summary Narrative.
Submission of First Request for Funds	No financial requests have been made at this point. However
Submit Semi-Annual Labor Standards Enforcement	The Semi-Annual Labor Standards Enforcement report is enclosed with this narrative.
UPDATE ON PREVIOUS REPORTING PERIODS	
DELAYED OBJECTIVE	UPDATE

Detailed narrative for each accomplishment

Taken directly from CDBG Agreement Timetable

SUMMARY NARRATIVE

Form 2

Example:
Village of Yourville
 (2nd reporting period)

A. NAME OF GRANTEE [REDACTED] OF [REDACTED]
B. CONTRACT PF-FY [REDACTED]

THIS REPORTING PERIOD	
OBJECTIVES	ACCOMPLISHMENTS
Submit Semi-Annual Narrative Report	This is the City's 2 nd Semi-Annual Narrative Report file on behalf of this grant.
Submit Semi-Annual Labor Standards Enforcement Report	Enclosed is the City of [REDACTED] 2 nd Semi-Annual Labor Standards Enforcement Report (See Attachment No. 1)
Complete and describe Affirmative Fair Housing committed in the application	The local fair housing ordinance is posted at City Hall, Public Library and [REDACTED] Electric Utility Building where it is posted. (A copy of this notice accompanies this report.) In addition to this has been endorsed and advertised in the City's Official Newspaper: [REDACTED] County Times. Furthermore letters from Mayor [REDACTED] will be sent to all local businesses, realtors, as well as landlords renting apartments later in October (See Attachment No. 2)

UPDATE ON PREVIOUS REPORTING PERIODS	
DELAYED OBJECTIVE	UPDATE
Report construction and start date. Describe progress and/or any delays	No activity has taken place at this time because the project because the City has been experiencing delays as a result of property acquisition issues.
Complete the environmental review. Report date of requests.	The environmental review was submitted to the Department of Natural Resources and hearing was held on October 31, 2012. The newspaper article dated 11/2//2012 is included with the written approval was received back from this agency on 11/29/2012 (See Attachment No.3)
Request Federal and State Wage Rates	Because the land acquisition issues neither the City nor our engineering consultant have requested Federal & State prevailing wage rates. This will probably occur after 1/1/2014
Submission of First Request for Funds	No requests for funds have been requested since the project has not been bid or any contracts awarded.
Obtain All Necessary Permits	A DNR Storm Water Permit will be requested shortly before the project begins.
Construction Signage	The signage will be posted near the construction near the [REDACTED] Relocation will be erected by the contractor after the project has been awarded.

SEMI-ANNUAL LABOR STANDARDS ENFORCEMENT REPORT

Grantee: _____ CDBG Contract #: _____

Period Covered:

From (month/year) _____ to (month/year) _____

*(Report periods cover October 1 through March 31 and April 1 through September 30 and are **due to DOA with the Semi-Annual Reporting. Please follow the Grant Agreement deadlines included in the Attachments)***

1. Enter total number of prime contracts **awarded this six (6) month period**, subject to Davis-Bacon and Related Acts (DBRA) and/or the Contract Work Hours and Safety Standards Act (CWHSSA). **Track contracts by award or start of construction – do not track by bid opening date.**

Note: Do not report contract(s) from previous period in 1 – 3. _____

2. Enter the total dollar amount of prime contracts reported in Item 1 above. _____

3. List Employer/Project, Amounts, Wage Decision and Effective date (items 1 & 2):*

Employer	Project Type(s)	Bidding Date	CDBG Related Contract Amount	Contract Award Date	Wage Decision & Modifications	Wage Decision Effective Date

4. Enter the number of employers (contractors, subcontractors, lower-tier subcontractors) against whom complaints, investigations or §5.11 hearings were received during the reporting period (list the following information below):*

<u>Employer</u>	<u>Project</u>	<u>HUD or DOL</u>	<u>Investigations Or Hearings</u>
-----------------	----------------	-------------------	-----------------------------------

1. Enter the information relative to wage restitution that was **collected and/or disbursed during this six (6) month period**. This includes restitution disbursed by the grantee, restitution reported on certified payroll correction report and amounts collected but not disbursed because workers could not be found.

(a) Enter the total number of workers for whom wage restitution was collected and/or disbursed during this six (6) month period. _____

(b) Enter the total amount of wage restitution collected and/or disbursed during this six (6) month period. _____

(c) Enter the total amount of liquidated damages collected during this six month period for Contract Work Hours and Safety Standards Act overtime violations. (See Chapter 7: Labor Standards, Attachment 7-1: Federal Labor Standards Provision (4010), B. (2) Violation; liability for unpaid wages; liquidated damages.) _____

Construction Start Date: _____

Is construction completed? Yes ___ No ___

Date of Completion: _____

Minority Business Enterprise/ Women Business Enterprise (MBE/WBE)

- Placing qualified small and minority businesses and women's business enterprises on solicitation lists (see Chapter 7, Form 7-T);
- Assuring that small and minority businesses, and women's business enterprises are solicited whenever they are potential sources;
- Dividing total requirements, when economically feasible, into smaller tasks or quantities to permit maximum participation by small and minority business, and women's business enterprise;
- Establishing delivery schedules, where the requirement permits, which encourage participation by small and minority business, and women's business enterprises;
- Using the services and assistance of the Small Business Administration, and the Minority Business Development Agency of the Department of Administration; and
- Using the prime contractor, if subcontractors are to be let, to take the affirmative steps listed above.

Include with ALL contracting documents:



**EQUAL HOUSING
OPPORTUNITY**

Form 4

MBE/WBE REPORT Community Development Block Grant (CDBG) Program

DOA/DOH
 CDBG-Public Facilities Program
 PO Box 7970
 Madison, WI 53707-7970
 doadohcdbgcd@wi.gov
 Fax 608.266.5381



DOA AGREEMENT #		CONTACT INFORMATION					
		Name					
NAME OF GRANTEE		Telephone					
		Email					
REPORTING PERIOD	<input type="checkbox"/>	October 1, _____	-	March 31, _____			
	<input type="checkbox"/>	April 1 - September 30, _____					

Contractor/Subcontractor Name and Address 1a.				Amount of Contract or Subcontract 1b.	Type of Trade Code (See below) 1c.	Contractor or Subcontractor Business Racial/Ethnic (See below) 1d.	Woman Owned Business (Yes or No) 1e.	Sec. 3 (Yes or No) 1g.	Contractor/Subcontract or FEIN # 1h.
Name	Street	City	State/Zip						

- | | |
|-----------------------------------|------------------------------------|
| 1c: Type of Trade Codes: | 1d: Racial/Ethnic Codes: |
| Housing/Public Housing: | 1 = White Americans |
| 1 = New Construction | 2 = Black Americans |
| 2 = Substantial Rehab. | 3 = Native Americans |
| 3 = Repair | 4 = Hispanic Americans |
| 4 = Service | 5 = Asian/Pacific Americans |
| 5 = Project Mangt. | 6 = Hasidic Jews |
| 6 = Professional | |
| 7 = Tenant Services | |
| 8 = Education/Training | |
| 9 = Arch./Engrg. Appraisal | |
| 0 = Other | |

MBE/WBE REPORT Community Development Block Grant (CDBG) Program

DOA/DOH
 CDBG-Public Facilities Program
 PO Box 7970
 Madison, WI 53707-7970
 doadohcdbgcd@wi.gov
 Fax 608.266.5381



DOA AGREEMENT #	PF FY13-12345	CONTACT INFORMATION	
NAME OF GRANTEE	Village of Yourville	Name	Jane Doe
REPORTING PERIOD	<input type="checkbox"/> October 1, _____ - March 31, _____	Telephone	(123) 456-7890
	<input checked="" type="checkbox"/> April 1 - September 30, 2013	Email	jdoe@email.com

Contractor/Subcontractor Name and Address 1a.				Amount of Contract or Subcontract 1b.	Type of Trade Code (See below) 1c.	Contractor or Subcontractor Business Racial/Ethnic (See below) 1d.	Woman Owned Business (Yes or No) 1e.	Sec. 3 (Yes or No) 1g.	Contractor/Subcontract or FEIN # 1h.
Name	Street	City	State/Zip						
Suzie's Landscaping	123 Main St.	Yourville	WI 54321	\$12,000	4	1	Y	Y	987654321

1c: Type of Trade Codes:

Housing/Public Housing:

1 = New Construction	6 = Professional
2 = Substantial Rehab.	7 = Tenant Services
3 = Repair	8 = Education/Training
4 = Service	9 = Arch./Engrg. Appraisal
5 = Project Mangt.	0 = Other

- 1d: Racial/Ethnic Codes:**
- 1 = White Americans
 - 2 = Black Americans
 - 3 = Native Americans
 - 4 = Hispanic Americans
 - 5 = Asian/Pacific Americans
 - 6 = Hasidic Jews

Economic Opportunities For
Low-Income People (24 CFR 135):
Understanding Section 3

**HUD Requirements for Local Government and
Non-profit Subrecipients**

**Housing & Urban Development Act of 1968 (12
U.S.C. 1701u) (section 3) (Title 24-HUD, Chapter 1)**

SECTION 3 - objectives

- ❑ To ensure that economic *opportunities* resulting from HUD financial assistance are directed to low and very low-income persons

“Opportunity”
involves reasonable
access and fair
notification.

SECTION 3 – definitions

Chapter 6, Page 8

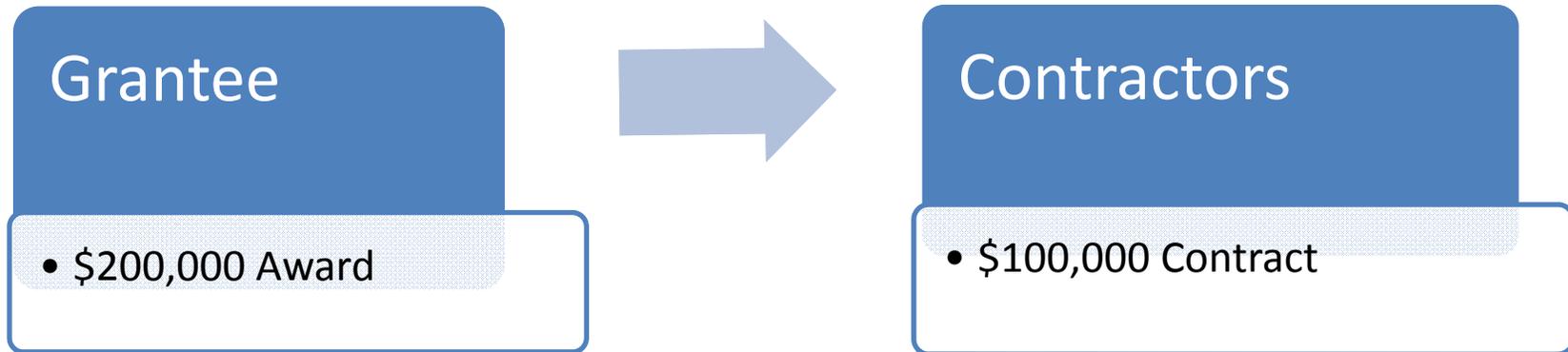
Section 3 Residents:

- Low-income individuals (80% and below of HUD Income Limits)

Section 3 Business:

- 51% owned by LMI, or
- 30% of employees are Section 3 (or within 3 years of the date of first employment were section 3 residents), or
- 25% of dollar value goes to subcontracting with the Section 3 eligible businesses.

SECTION 3 – threshold



- Public Construction
- Housing Construction
- Housing Rehabilitation
- Reconstruction/Demolition
- Operations
- Infrastructure Development Projects

SECTION 3 – numerical goals

Activities

Job Training

30% Section 3 residents

Employment

30% NEW HIRES
Section 3
businesses or
residents

Contracting

10% of building
trades, and
3% of all other
non-constr.
contracts

If the expenditure of covered funding does not result in **new employment**, contracting, or training opportunities, the requirements have not been triggered.

SECTION 3 – responsibilities

- Include “Section 3 Clause” in all covered solicitations and contracts (24 CFR 135.38)
- Notify contractors of Section 3 responsibilities
- Grantees and their contractors must provide economic opportunities to low-income persons and qualified Section 3 businesses – **to the greatest extent feasible** (§135.30)
- Preference to qualified Section 3 Business Concerns without regard to affiliation or membership in any collective bargaining union

Non-compliance may result
in debarment, suspension or
denial of participation.



ATTACHMENT 9-I: SECTION 3 REPORT

SECTION 3 REPORT Community Development Block Grant (CDBG) Program

DOA/DOH
CDBG-Public Facilities Program
PO Box 7970
Madison, WI 53707-7970
doadohcdbgcr@wi.gov
Fax 608.266.5381



DOA AGREEMENT # _____

NAME OF GRANTEE _____

REPORTING PERIOD October 1 - March 31, _____
 April 1 - September 30, _____

CONTACT INFORMATION

Name _____

Telephone _____

Email _____

Part I: Employment and Training

Job Category	Number of New Hires	Number of New Hires that are Section 3 Residents	Number of Section 3 Trainees
Professionals			
Technicians			
Office/Clerical			
Construction			
Trade			
Trade			
Trade			
Other			

Part II: Contracts Awarded

Part II: Contracts Awarded	
1. Construction Contracts ←	
A. Total Dollar Amount of all contracts awarded on the project	\$
B. Total dollar amount of contracts awarded to Section 3 businesses	\$
C. Percentage of the total dollar amount that was awarded to Section 3 businesses	%
D. Total number of Section 3 businesses receiving contracts	
2. Non-Construction Contracts ←	
A. Total Dollar Amount of non-construction contracts awarded on the project	\$
B. Total dollar amount of non-construction contracts awarded to Section 3 businesses	\$
C. Percentage of the dollar amount that was awarded to Section 3 businesses	%
D. Total number of Section 3 businesses receiving non-construction contracts	

Failure to meet numerical goals
requires
explanation from the Grantee.

Part III: Best Efforts

Describe the Grantee's best efforts to give training and employment opportunities to LMI residents and/or businesses _____

- Jobs must be advertised through local/county job center
- Jobs must be advertised in local Public Housing locations (Housing Authority)
- Any efforts to outreach to LMI residents are important!

Timeliness

- Reporting accomplishments to HUD
- Compliance with CDBG Agreement
- Processing of disbursement requests



Submission

- Electronic preferred
- If mailing- submit 1 copy

Amendments- *Process*

1. Contact your Project Rep. to discuss situation
2. Project Rep. develops Staff Recommendation
3. Review of Staff Recommendation by Bureau Director and Division Administrator
4. If approved, amended Agreement sent to Chief Elected Official for signature.

Amendments- *Provisions*

- Circumstance must have occurred outside the hands of the grantee
- Must occur 30 days prior to end of construction period
- Don't rely on amendments!

Chapter 11: Single Audit Requirements

Office of Management and Budget (OMB) Circular A-133
“Audits of States, Local Governments, and Non-Profit
Organizations”

Who: Any UGLG to whom a federal grant is awarded.

- The UGLG is responsible for submission of its single audit reporting package to DOA whether or not the UGLG has sub-granted the award to another governmental unit.
- Sub-grantee may also be subject to Single Audit

Federal law requires that...

- Non-Federal entities that expend a **combined total of \$500,000** or more in a year in federal funds to have a **single audit conducted** for that year in accordance with the requirements of OMB circular No. A-133
- Non-Federal entities that expend a total amount of Federal awards **less than \$500,000** in a year are **exempt** for such fiscal year **from compliance with the audit requirements** of the Circular.

Total of ALL federal funds expended by grantee in FISCAL YEAR.



Audit- Important Dates

- January 15th: Single Audit Statement due (all grantees)
- October 15th: Single Audit Report due (grantees expending >\$500,000)

Single Audit Statement

ATTACHMENT 11-C: SINGLE AUDIT STATEMENT (AUDIT NOT REQUIRED)

PLACE THE FOLLOWING ON THE GRANTEE'S LETTERHEAD

SINGLE AUDIT STATEMENT (AUDIT NOT REQUIRED)

CDBG Public Facilities Program
 ATTN: Single Audit Statement
 Division of Housing
 Bureau of Community Development
 PO Box 7970
 Madison, WI 53707-7970

I hereby attest, under penalties of perjury, that during the calendar year ending,

December 31, 20__, _____ (grantee name):

1. Has expended **less than \$500,000** in total federal funds and, therefore, is not required to submit an audit which meets the Federal Single Audit Act and the requirements of OMB Circular A-133.
2. Has expended the following amount(s) of federal funds, including funds received from the Wisconsin Department of Administration, Division of Housing or any other source.

<u>CFDA #</u>	<u>GRANT CONTRACT #</u>	<u>SOURCE AGENCY</u>	<u>AMOUNT EXPENDED</u>
_____	_____	_____	_____
_____	_____	_____	_____
_____	_____	_____	_____

_____ (Signature of Chief Elected Official)
 _____ (Typed Name)
 _____ (Typed Title)

Mail this letter to: Your Project Representative
 Bureau of Community Development
 Wisconsin Department of Administration
 PO Box 7970
 Madison, WI 53707

ATTACHMENT 11-B: SINGLE AUDIT STATEMENT (AUDIT REQUIRED)

PLACE THE FOLLOWING ON THE GRANTEE'S LETTERHEAD

SINGLE AUDIT STATEMENT (AUDIT REQUIRED)

CDBG Public Facilities Program
 ATTN: Single Audit Statement
 Division of Housing
 Bureau of Community Development
 PO Box 7970
 Madison, WI 53707-7970

I hereby attest, under penalties of perjury, that during the calendar year ending,

December 31, 20__, _____ (grantee name) has expended

more than \$500,000 in total federal funds and will comply with the federal Single Audit Act and the requirements of OMB Circular A-133.

_____ (Signature of Chief Elected Official)
 _____ (Typed Name)
 _____ (Typed Title)

Mail this letter to: Your Project Representative
 Bureau of Community Development
 Wisconsin Department of Administration
 PO Box 7970
 Madison, WI 53707-7970

Submission

- January 15th: Single Audit Statement due (all grantees)
 - DOH Project Rep
- October 15th: Single Audit Report due (grantees expending >\$500,000)
 - DOH Project Rep
 - DOA Chief Accountant

MONITORING



Process

- On-site visit or desk monitoring at least once during the performance period
- 2-week notification letter
- Logistics & Accessibility
- Entry and Exit interview

Monitoring Letter

- ❑ Findings versus Concerns

- ❑ Corrective Action Timeline

 - ❑ DOH has 30 days to draft monitoring letter

 - ❑ Grantee has 60 days to respond

Corrective Actions



CDBG GRANTEE'S SELF-MONITORING CHECKLIST

Complete the following document and submit to your designated
Division of Housing Project Representative, as requested.

Grantee:

CDBG Grant Agreement Number:

Reviewer's Name and Title:
(person completing this form)

Date Completed:

Reviewer's
Phone Number:

I attest that the information herein is true and correct.

Date Signed

Signature of Chief Elected Official

Printed Name of Elected Official and Title

1. General Administration Documentation: (Indicate whether the following items are present within your CDBG Grant project folder.)	YES	NO	N/A	Date:
Application Documents				
Application (signed) and Supporting Attachments, as submitted to the Department				
Citizen Participation Documents				
Citizen Participation Plan				
Citizen Participation Plan Adopting Resolution				
Date of Adoption:				
Citizen Participation Public Hearing Notices:				
Citizen Participation Hearing 1 (list date of the posting)				
Citizen Participation Hearing 2 (list date of the posting)				
Citizen Participation Public Hearing Minutes or Certification:				
Citizen Participation Hearing 1 (list date of the hearing)				
Citizen Participation Hearing 2 (list date of the hearing)				
Copies of the Citizen Participation Public Hearing Sign-In Sheets (not required if the Meeting Minutes list the Hearing Attendees & Participants)				
Sign-In Sheet(s) for Citizen Participation Hearing 1				
Sign-In Sheet(s) for Citizen Participation Hearing 2				
Income Survey Documents				
Was an Income Survey conducted for this project? If YES , check for the following items in the file:				
Income Surveys which were completed and returned				
Income Survey Methodology used (including the distribution process, calculations, etc.)				
Income Survey Area Map				

2. Grant Agreement Documentation: (Indicate whether these items are present within your CDBG Grant project folder.)	YES	NO	N/A	Date:
Award letter(s)				
Agreement / "Contract" (specify final date signed by all parties)				
Amendment(s): <i>If applicable, list total number:</i> _____				
Amendment 1 (specify final date signed by all parties)				
Amendment 2 (specify final date signed by all parties)				
Amendment 3 (specify final date signed by all parties)				

4. Environmental Review Documentation: (Indicate whether these items are present within your CDBG Grant project folder.)	YES	NO	N/A	Date:
Has the UGLG prepared, maintained, and made available for public inspection a project Environmental Review Record (ERR)?				
Did the ERR contain a signed copy of the UGLG's <u>Request for Release of Funds and Certification</u> form (HUD form 7015.15) or a Determination of Exemption?				
Did the ERR contain the Department of Administration Certification letter? (If YES , indicate the date of the letter.)				
Were CDBG costs expended or obligated, except for exempt activities (24 CFR 58.34), prior to the date on the Department of Administration Certification letter? (If YES , indicate the earliest date of CDBG costs expended/obligated.)				
Were any <i>non</i> -CDBG project costs expended or obligated except for exempt activities (24 CFR 58.34), prior to the date on the Department of Administration Certification letter? (If YES , indicate the earliest date of non-CDBG costs expended or obligated.)				

5. Acquisition & Relocation Documentation: (Indicate whether these items are present within your CDBG Grant project folder.)	YES	NO	N/A	Date:
Acquisition Summary Checklist				
Documentation of real property acquisition, including correspondence, notices, etc.				
Notice of Intent to Acquire/Preliminary Acquisition Notice				
Did the UGLG provide the owner an adequate Notice of Land Acquisition Procedures, and given to owner in advance of initiating negotiations? (Refer to brochures: <i>WI Relocation Rights/Rights of Landowner Under WI Eminent Domain Law, and Your Relocation Rights</i>)				
Was the owner invited to accompany all of the appraisers on their inspection of the property?				
Appraisal Conducted (Copy of the Appraisal)				
Are the data contained in the appraisals adequate to determine Fair Market Value (FMV)?				
Are the analyses of the data in the appraisals reasonable?				
Do the appraisals disregard the influence of the project on the FMV of the property				
Is the amount determined to be "Just Compensation" an acceptable conclusion of the FMV of the property?				
Review of Appraisal Conducted				
Initiation of Negotiations:				
Did the Grantee provide owner(s) with a Statement of the Basis for the Determination of "Just Compensation" at the time the owner was given the written offer to purchase?				
Did the owner receive the amount determined to be "Just Compensation"?				
Condemnation procedures (if applicable)				
Estimated just compensation deposited with court (condemnation only)				
Final Contract				
Grantee takes title				
90-day Notice to vacate property (if applicable)				
Disposition/Acquisition Register				
Relocation Plan				

6. Equal Opportunity Documentation: (Indicate whether these items are present within your CDBG Grant project folder.)	YES	NO	N/A	Date:
Demographic profile of Grantee's community or target area which approximates the census profile				
Affirmative Action Plan notice posted in a conspicuous place (if applicable)				
Record of evidence demonstrating promotion of employment and training opportunities to LMI businesses and individuals				
Section 3 job creation tracking system and reports*				
Section 3 contract language is inserted into contract				
document(s)*				
Has the Grantee made their best efforts to employ Section 3 businesses?				
Has the Grantee made their best efforts to employ MBE/WBE businesses?				
Minority and Women Business Enterprises (MBE/WBE) tracking system and reports*				
Executive Order 11246 language inserted into contract document?*				
Fair Housing Efforts Documentation*				
Briefly list efforts made:				
Handicap Accessibility Self-Evaluation Checklist (if applicable)				
<i>*Items may also be maintained in the Procurement or Reporting files.</i>				

Wage Underpayments Collected Monies?	Yes No N/A							
Amount Collected:	\$	\$	\$	\$	\$	\$	\$	\$
Are all violations resolved?	Yes No N/A							
If all violations are NOT resolved, explain why & provide their current status(es):								
Wage Underpayments due to Unpaid Overtime Collected Monies per HUD CWHSSA?	Yes No N/A							
Amount Collected:	\$	\$	\$	\$	\$	\$	\$	\$
Are all violations resolved?	Yes No N/A							
If all violations are NOT resolved, explain why & provide their current status(es):								
Other comments or recommendations:								

List Names and the corresponding Employer I.R.S. Identification Number of all Prime Contractor(s):

Contractor:	Name:	Employer I.R.S. Identification Number:
Prime Contractor #1		
Prime Contractor #2		
Prime Contractor #3		
Prime Contractor #4		
Prime Contractor #5		
Prime Contractor #6		
Prime Contractor #7		

8. Financial Management Documentation:		(Indicate whether			
these items are present within your CDBG Grant project folder.)					
Bank Documents:		YES	NO	N/A	Date:
Depository Certification form					
Signature Certification form					
Financial Contact Person form					
Bank Statements					
Disbursements ("Drawdowns") Documents:		YES	NO	N/A	Date:
Request for Disbursement (Draw) forms					
Notification of Deposit (e.g., deposit slip)					
Cash Control Register (CCR) Documents:		YES	NO	N/A	Date:
CCR copies all in file					
Deposit dates agree with the date deposit notifications were received from bank					
Disbursement dates agree with the Disbursements Journal and check register					
Reports balance of cash on hand each day a disbursement or deposit was made					
Account does not have more than \$5,000 of federal cash on hand for more than three days. Exceptions noted:					
Is mathematically correct					
Cumulative Disbursements to date per CCR:		\$			
Total payments to date per Disbursements Journal:		\$			
The adjusted balance and balance per bank statement dated:					

Balance per CCR:	\$			
(-) Deposits in Transit	\$			
(+) Checks Outstanding	\$			
(=) Adjusted Balance	\$			
Comments:				
Disbursements Journal Documents:				
	YES	NO	N/A	Date:
Disbursement Journal copies all in file				
Reports the award amount, budget codes, activities and amounts in the header row				
Accounts for the sequence of grant checks issued and indicates which, if any, are voided				
Corresponds to checks issued and bank statements with regard to amount, date, payee				
Reports disbursements per month, in total and by budget activity, monthly				
Reports cumulative disbursements to date in total and by budget activity, monthly				
Reports the available balance, in total and by budget category, monthly				
Source documentation is mathematically correct				
Source documentation for disbursements: (e.g., invoices from contractors and others, canceled checks, engineer approval of expenditures)				
Comments:				
Matching Funds Journal:				
	YES	NO	N/A	Date:
Matching Funds Journal copies all in file				
Cumulative match equals/exceeds the contracted "commitment of other parties" amount				
Lists each check number, date, and payee claimed as match				
Are CDBG funds deposited into same account from which grantee is claiming match?				
Source documentation: (e.g., invoices from contractors and others, canceled checks, engineers approval of expenditures)				

9. Reporting Documentation: (Indicate whether these items are present within your CDBG Grant project folder.)	YES	NO	N/A	Date:
Semiannual Narrative Reports on Accomplishments with Grantee Certification Signature:				
Reporting Period #1 from _____ through _____				
Reporting Period #2 from _____ through _____				
Reporting Period #3 from _____ through _____				
Reporting Period #4 from _____ through _____				
Semi-Annual Fair Labor Standards Reports*				
Semi-Annual MBE/WBE Reports*				
Section 3 Reports*				
Semi-Annual Equal Opportunity Reports*				
LMI Job Creation/Retention Records Reporting				
Is/Was there a construction sign posted for the project(s)?*				
<i>*Items may also be maintained in the Labor Standards file.</i>				

10. Closeout Documentation: (Indicate whether these items are present within your CDBG Grant project folder.)	YES	NO	N/A	Date:
Signed Program Closeout Report and Supporting Documents, as submitted to the Department				
Evidence of Payment of Claims after Submittal of Closeout Report				

11. Single Audit Documentation: (Indicate whether these items are present within your CDBG Grant project folder.)	YES	NO	N/A	Date:
Single Audit Report Statement				
Annual Correspondence for Single Audit to DOH (if applicable) For year(s): _____ to _____				
Copies of required Single Audit Reports (if applicable)				
Resolution of Findings documentation (if applicable)				



It's QUESTION TIME !!