

Division of Energy, Housing and Community Resources (DEHCR)
Bureau of Community Development (BCD)

Implementation Training for CDBG Projects

Sept. 19, 2019 (in Rothschild, WI) & Sept. 24, 2019 (in Madison, WI)



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PURPOSE OF TRAINING

- Provide a comprehensive overview of the requirements for administering the Community Development Block Grant for:
 - Public Facilities (CDBG-PF),
 - Planning (CDBG-PLNG),
 - Public Facilities for Economic Development (CDBG-PFED),
 - Economic Development (CDBG-ED), and
 - Special Projects (CDBG-SP)
- Provide an opportunity to get to know the Bureau of Community Development (BCD) staff

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OUR STAFF

Bureau of Community Development:

- Dave Pawlisch, Bureau Director
- Mark Staff, Section Chief
- Miriam Anderson, Grants Specialist
- Angela Davis, Grants Specialist
- Kietra Olson, Grants Specialist
- Joanna Storm, Grants Specialist

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TRAINING LOGISTICS

- Training Materials/Handouts:
 - Agenda
 - Implementation Handbook
 - Training Slides
 - Training Activities
 - Evaluations
- General Housekeeping Items
 - Sign-In Sheet(s)
 - Breaks



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CHAPTER 1: INTRODUCTION

DEHCR – BUREAU OF COMMUNITY DEVELOPMENT



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COMMUNITY DEVELOPMENT BLOCK GRANTS

- The U.S. Department of Housing and Urban Development (HUD) provides federal funding to States through the CDBG program:
 - Created in 1974 through the passage of Title 1 of Housing and Community Development Act, and
 - Governed by rules set forth in the Code of Federal Regulations (24 CFR 570).
- Funds are used to promote affordable housing, suitable living environments, and expanded economic opportunities for persons with low- and moderate-incomes.



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ELIGIBLE APPLICANTS

- The Division of Energy, Housing and Community Resources (DEHCR) may only award grants to Units of General Local Government (UGLGs) to carry out the funded activity.
- The only UGLGs that are permitted to apply for Small Cities Community Development Block Grants funds are towns, non-entitlement cities, villages, and non-urban counties.



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FOR NON-ENTITLEMENT COMMUNITIES, CDBG FUNDING IS AVAILABLE FOR:

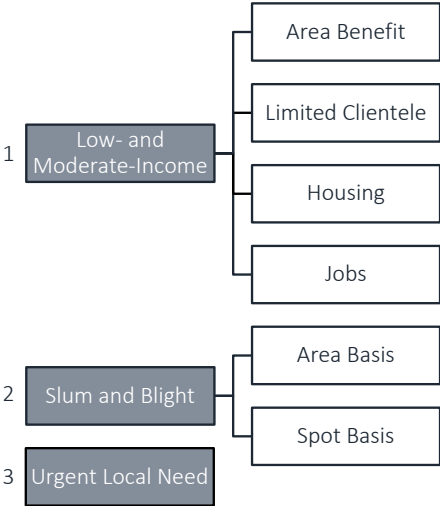
- Affordable Housing (CDBG-H)
- Emergency Assistance (CDBG-EAP)
- Planning (CDBG-PLNG)
- Public Facilities (CDBG-PF)
- Economic Development (CDBG-ED)
- Public Facilities for Economic Development (CDBG-PFED)



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ALL CDBG PROJECTS MUST MEET
1 OF 3 NATIONAL OBJECTIVES:



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THE MAJORITY OF FUNDS MUST BENEFIT LOW- AND
MODERATE-INCOME (LMI) PERSONS:

- LMI Threshold = Less than 80% of the area median income as determined by HUD.
 - <http://www.hud.gov/offices/cpd/systems/census/lowmod/>
- 70% of the CDBG funds the State utilizes must be designated specifically for the benefit of LMI persons.



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INELIGIBLE ACTIVITIES:

- Buildings for the general conduct of government, except to create or improve accessibility for the disabled population
- General government expenses
- Political activities
- Operating and maintenance expenses for public facilities
- Lobbying activities



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HELPFUL WEBSITES

- DOA – Division of Energy, Housing & Community Resources' Bureau of Community Development:
<http://www.doa.state.wi.us/Divisions/Housing/Bureau-of-Community-Development>
- HUD guidance on CDBG National Objectives – Code of Federal Regulations (24 CFR 570.208):
<http://www.ecfr.gov/>
- HUD guidance on CDBG Eligible Activities (HCDA Sec. 105):
http://portal.hud.gov/hudportal/HUD?src=/program_offices/comm_planning/communitydevelopment/library/statelibrary



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QUESTIONS?

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CHAPTER 2: ADMINISTRATIVE REQUIREMENTS

DEHCR – BUREAU OF COMMUNITY DEVELOPMENT



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CHAPTER OVERVIEW

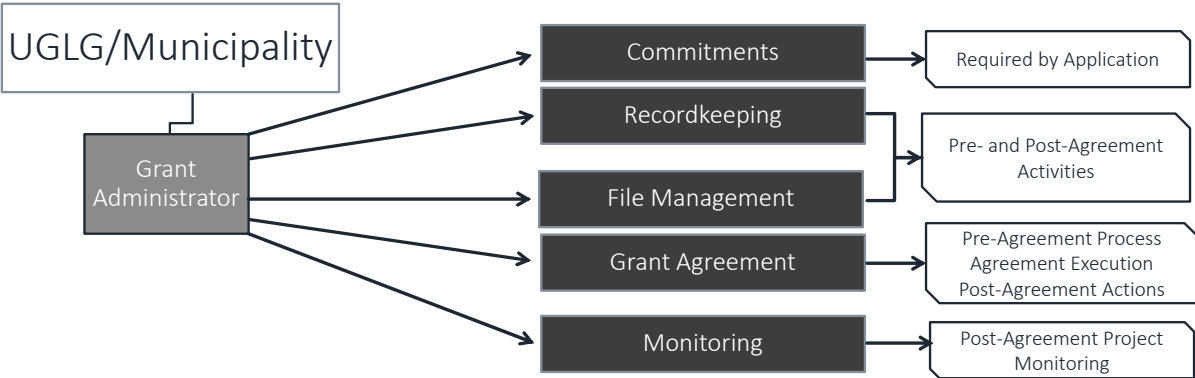
- Duties & Responsibilities
- Paperwork
- Resources



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ADMINISTRATIVE WORKFLOW



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COMMITMENTS

- Conflicts of Interest (covered in Procurement)
- Lobbying Certification (covered in Procurement)
- Statement of Assurances
- Citizen Participation
- Fair Housing Actions
- Procurement
- Matching Funds
- CDBG Program Requirements

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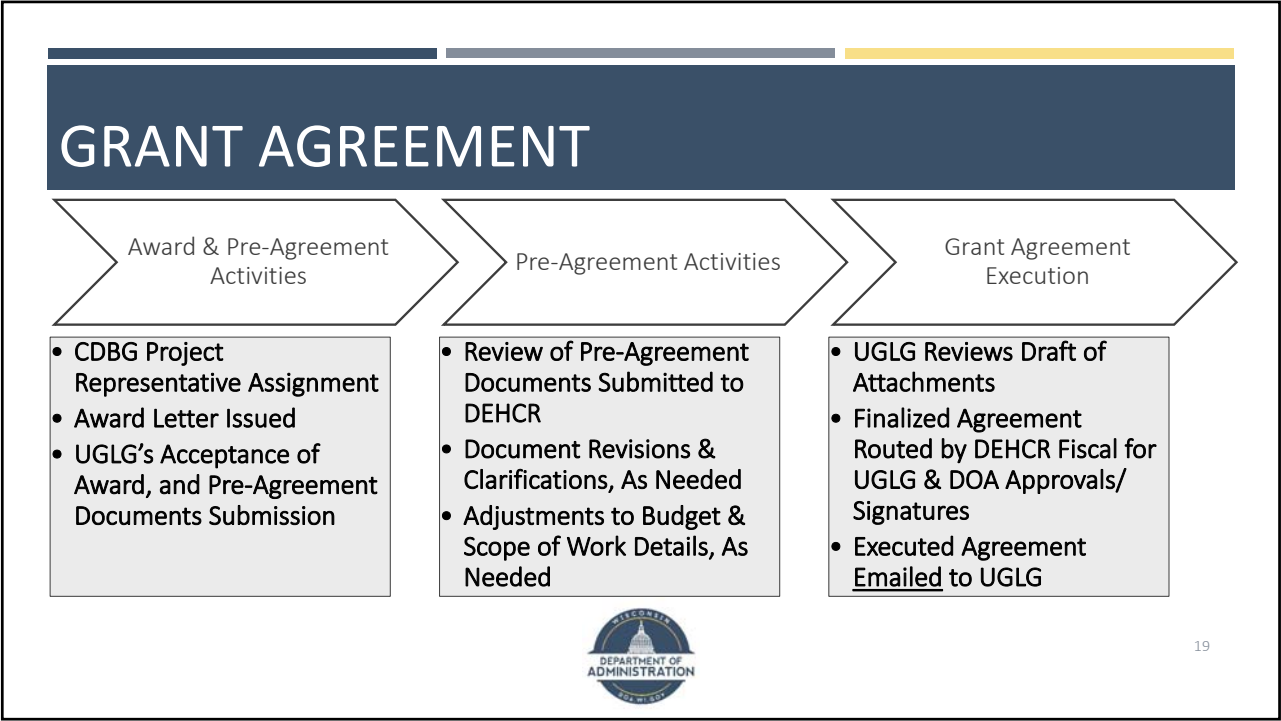
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RECORDKEEPING: FILES

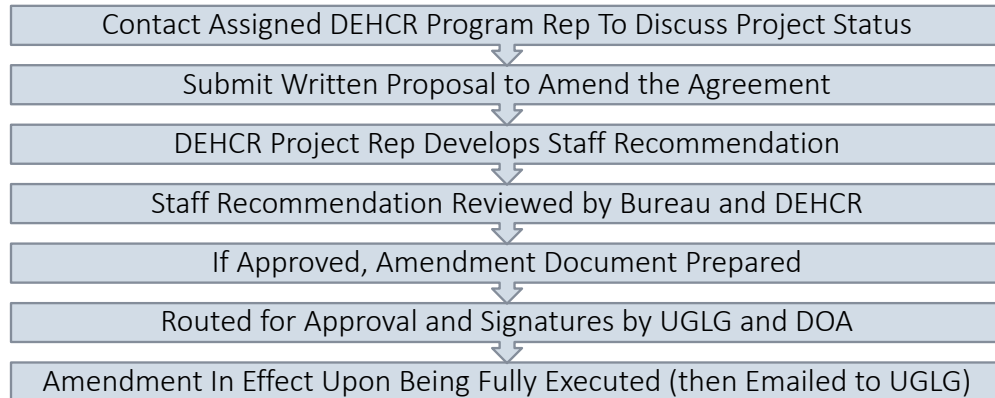
- Grant Application (all documents) and Award
- Grant Agreement and Amendments
- Procurement & Contracting (procedures & documentation)
- Environmental Review
- Acquisition/Relocation
- Equal Opportunity (EO)
- Labor Standards
- Financial Management
- Reports
- Monitoring
- Correspondence
- Project Completion
- Single Audit

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GRANT AMENDMENT PROCESS



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AMENDMENT PROVISIONS

- Circumstance(s) must have occurred outside the control of the UGLG
- Issue(s) resulting in need for Amendment should be documented in the Semi-Annual Narrative Reports, if applicable
- Amendment Proposal must be submitted at least 30 days prior to end of the Grant Agreement performance period

DO NOT rely on Amendments to remain in compliance with the Grant Agreement!

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REASONS FOR AMENDMENT(S)

- New Information Is Learned:
 - Engineering/Design Issues
 - Project Scope of Work Change(s)
 - Unexpected Acquisition(s)/Relocation(s)
- Project Finances/Budget:
 - Difficulty Receiving Sufficient Bids
 - Bids Are Higher/Lower-than-Expected
 - Unforeseen Costs
- Project Timeline:
 - Unforeseen Construction Delays
 - Unforeseen Weather Delays



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CHAPTER 2 ATTACHMENTS

- Project File Checklist
- Self-Monitoring Checklist



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CHAPTER 3: PROCUREMENT & CONTRACTING

DEHCR – BUREAU OF COMMUNITY DEVELOPMENT



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PROCUREMENT CONNECTION TO OTHER REQUIREMENTS

1. Conflict of Interest and Lobbying

2. Equal Opportunity / Affirmative Action


3. Labor Standards

Conflict of Interest and Lobbying

Equal Opportunity/ Affirmative Action

Procurement

Labor Standards



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CDBG PROCUREMENT REQUIREMENTS

1. Federal Laws

2. State Laws / Requirements


3. Local Policy

Local Policy

State Laws/ Requirements

Federal Laws

Procurement Requirements



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LOCAL PROCUREMENT POLICY: BEST PRACTICES

(24 CFR PART 85.35-85.36)

• Open and free, fair competition

• Economy and efficiency

• Checks and balances

• Roles and Authorities of Employees and Officials

• Cost or price analysis

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RESTRICTIVE OF FREE AND OPEN COMPETITION

• Unreasonable qualifying requirements

• Unnecessary experience/excessive bonding requirements

• Specifying only brand name products

• Non-competitive pricing practices

• Non-competitive contract awards


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WISCONSIN STATUTES ON PROCUREMENT FOR PUBLIC WORKS

Statute	Requirement Topic
66.0901	General for Municipality: Public works, contracts, bids
59.03 - 59.04, 59.06	Counties: Home rule, construction of powers, county property
60.47	Towns: Public contracts and competitive bidding
61.50, 61.54 - 61.57	Villages: Ordinances, contracts, public works, acquisition of recycling or resource recovery facilities without bids
62.15	Cities: Public works



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PROCUREMENT DECISIONS:


In-House:

- No procurement process required

3rd Party Contract:

- Procurement requirements apply

Construction / Construction-Related Contract(s)	Professional Services / Non-Construction Contract(s)
<ul style="list-style-type: none">State/Federal Regulations compliance requiredCompetitive procurement required unless exception approved	<ul style="list-style-type: none">CDBG funded – State/Federal Regulations and Local Policy compliance and competitive procurement required (depending on type of procurement)Match Funded – Local Policy compliance required; some State/Federal Regulations apply (general procurement guidance)




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PROCUREMENT: POTENTIAL CONFLICTS OF INTEREST

RESPONSIBILITIES

- Local Policy/Ordinance
- Disclosure
- Review
- Notice to DEHCR
- Exception Requests
- State/Federal Law and CDBG Program Compliance
- Recordkeeping



POTENTIAL CONFLICT OF INTEREST DISCLOSURE

CDBG Main Street Infrastructure Improvements
Town of Yourville

Do you have family or business ties to any of the people listed below?
Yes ☐ No ☒

If yes, please check the box next to the name(s) of the individual(s) and describe the relationship in the space provided below:

ELECTED OFFICIALS:

<input type="checkbox"/>	Barbara Carlton, Town Board Chairperson
<input type="checkbox"/>	Russell Donaldson, Board Member
<input type="checkbox"/>	Dorothy Miller, Board Member
<input type="checkbox"/>	Joan Smith, Board Member
<input type="checkbox"/>	Donald Turner, Board Member

TOWN ADMINISTRATION, DEPARTMENT HEADS AND LEGAL COUNSEL:


<input type="checkbox"/>	Mark Adams, Town Clerk/Treasurer
<input type="checkbox"/>	Sandy Frank, Legal Counsel, Cook Partners, LLC
<input type="checkbox"/>	John Wilson, Town Public Works Director

ENGINEERING AND CONSULTING FIRM(S):

<input type="checkbox"/>	William Middleton, Zenith Engineering Company
<input type="checkbox"/>	Linda Johnson, Zenith Engineering Company

Description of Relationship(s):
Please Note: The name of any bidder with a potential conflict of interest will be disclosed at the Town of Yourville meeting in which bids are discussed. Potential conflicts of interest will be reviewed in accordance with 24 CFR 870.489(h).


Clive Dillion	President	Clive Dillion
Printed Name of Individual	Title	Signature
ABC Construction Company		12/15/2019
Name of Business/Firm/Company		Date Signed (MM/DD/YYYY)



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DEBARRED & INELIGIBLE CONTRACTORS

- The UGLG must ensure awards are not made to any party which is debarred or suspended, or is otherwise excluded from or ineligible for participation in federal assistance programs. (Executive Order 12549, 24 CFR 85.35)
- Check status of contractors and sub-contractors on System of Award Management (SAM) website: <https://sam.gov/SAM>



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EQUAL OPPORTUNITY AND AFFIRMATIVE ACTION IN PROCUREMENT

Must take affirmative steps to:

- Use of local, small businesses (other factors beyond location must also be considered)
- Use of minority-owned and/or women-owned enterprises MBE/WBE)
- Use labor surplus area firms
- Award contracts to eligible businesses located in or owned by residents of the area to ensure that economic opportunities generated from the project shall, to the greatest extent feasible, be directed toward low- and very-low income persons



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EQUAL OPPORTUNITY AND AFFIRMATIVE ACTION IN PROCUREMENT (CONTINUED)

Strategies:

- Incorporate eligible businesses (e.g., MBE, WBE, DBE) in solicitation whenever they are potential sources
- Ensure eligible businesses are solicited when identified as potential sources
- Divide procurement requirements, when economically feasible, to permit maximum participation of eligible businesses
- Require prime contractors, when subcontracts are let, to take affirmative steps to select eligible firms



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VENDORNET

Use for Goods/Services Bidding

UGLG Procurement Resource

<https://vendornet.wi.gov/>

Strategic Sourcing.

VendorNet will still be available for use by University of Wisconsin System campuses and municipalities who will not be using the Wisconsin eSupplier Portal

What is VendorNet?

VendorNet provides easy access to a wide variety of information of interest to vendors who wish to provide goods and services to state agencies and municipalities. Bidding and the time required to identify new vendors is minimized while vendors are automatically notified of opportunities in their area of interest.

General information on how to do business with the state, names, addresses and telephone numbers of state agency procurement staff, and a summary of what the state buys.

Please note, VendorNet does not provide information on highway or construction projects: VendorNet is related to purchases of goods and services only. Please see the [Department of Administration, Division of Facilities Development](#) Web site for information on construction projects and the [Department of Transportation](#) for road and airport construction projects.

Any questions can be directed to doawispro@wisconsin.gov.

Vendors and Businesses

[Lookup Agency Acronyms](#)

Vendors' Guide

VendorNet Information Center
Hours: 8:00 a.m. - 4:30 p.m. M-F

Local (608) 264-7897
Toll Free (800) 482-7813
Fax (608) 267-0600

Tips on Doing Business with the State of Wisconsin

- Read the documents carefully to understand the State's requirements.
- Take advantage of question and answer opportunities.
- Communicate only with the designated contact for the RfX, typically only in writing.
- Monitor the RfX posting while it is open/active to ensure you receive and understand any amendments or other changes made to the event up to the due date.
- Follow the instructions carefully and do not substitute your own materials in lieu of what is being asked so that procuring agencies are able to do apples-to-apples comparisons of bids and proposals.
- Do not alter any of the forms or the price sheet unless the bid expressly allows such alterations (e.g., allowing bidders to add more rows to a price sheet) as price/cost sheets are created to solicit pricing in an equitable manner.
- Review the terms and conditions, as they will be part of the final contract with a successful bidder.
- Complete all the required forms so the procuring agency can promptly review responsive bids.

Construction Bid Examples

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MBE/WBE SEARCH

MBE/WBE
Vendor/Firm Search & Registration:

<https://doa.wi.gov/Pages/DoingBusiness/SupplierDiversity.aspx>



Supplier Diversity

Preparing to be Certified

- [Pre-Certification Self-Assessment](#)
- [Common questions](#)
- [Is your business less than one year old?](#)
- [Is your business located out of the State of Wisconsin?](#)

Minority-Owned Business Enterprise (MBE)

- [Program description](#)
- [Eligibility Criteria](#)
- [How to apply](#)
- [Search for certified firms](#)
- [Annual certification process](#)
- [Recertification](#)

Certification Application

- [How to apply](#)
- [New applications](#)
- [Checklist of documents](#)
- [Joint ventures \(MBE, DVB only\)](#)
- [After certification](#)

Woman-Owned Business Enterprise (WBE)

- [Program description](#)
- [Eligibility criteria](#)
- [How to apply](#)
- [Search for certified firms](#)
- [Annual certification update](#)
- [Recertification](#)

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PROCUREMENT: LOBBYING CERTIFICATION

ALL Contractors
Must Complete
Lobbying Certification

GRANTEE/UGLG NAME: Village of Yourville
DEHCR GRANT AGREEMENT #: CDBG-PF 19-99

LOBBYING CERTIFICATION FROM THE

☐ Municipality/UGLG:
☒ Contractor/Sub-Contractor
☐ Other:

The undersigned certifies, to the best of his/her knowledge and belief, that:

- No federal appropriated funds have been paid or will be paid, by or on behalf of the undersigned, to any person for influencing or attempting to influence an officer or employee of an agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with the awarding of any federal contract, the making of any federal grant, the making of any federal loan, the entering into of any cooperative agreement, and the extension, continuation, renewal, amendment, or modification of any federal contract, grant, loan, or cooperative agreement.
- If any funds other than federal appropriated funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with this federal contract, grant, loan, or cooperative agreement, the undersigned shall complete Standard Form-LLL, "Disclosure Form to Report Lobbying," in accordance with its instructions.
- The undersigned shall require that the language of this certification be included in the award documents for all sub-awards at all tiers (including sub-contracts, sub-grants, and contracts under grants, loans, and cooperative agreements) and that all sub-recipients shall certify and disclose accordingly.

This certification is a material representation of fact upon which reliance was placed when this transaction was made or entered into. Submission of this certification is a prerequisite for making or entering into this transaction imposed by section 1352, title 31, U.S. Code. Any person who fails to file the required certification shall be subject to a civil penalty of not less than \$10,000 and not more than \$100,000 for each such failure.

ABC Construction

Name of Municipality/UGLG Business Firm

John M. Smith

Signature of the Chief Elected Official, Owner, or Chief Executive Officer

CEO

Title

11/15/2019

Date Signed

John M. Smith

Printed Name of the Chief Elected Official, Owner, or Chief Executive Officer

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PROFESSIONAL SERVICES PROCUREMENT: PROHIBITED PRACTICES

- No Loss-Leader Arrangements:

No discounted or free grant application preparation or preliminary engineering estimates in exchange for contract award if application is funded
- No Multiple-Services Procurement and Contracting
 - **Exception 1:** Use same firm for preliminary engineering planning and project engineering (PF/PFED)
 - **Exception 2:** Use same firm for grant preparation and administration (PF/PFED)
 - **Exception 3:** Use same firm for planning grant application and implementation (PLNG)



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PROFESSIONAL SERVICES PROCUREMENT: MULTIPLE-SERVICES PROCUREMENT & CONTRACTING

- Exceptions still require separate procurement and contracting processes:
 - PF/PFED: One (1) contract for preliminary and project engineering
 - PF/PFED: One (1) contract for grant application and administration
 - PLNG: One (1) contract for planning application and implementation



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TYPES OF PROCUREMENT

Small Purchase / Simplified Acquisition	Competitive Sealed Bid	Competitive Proposal	Non-Competitive Proposal / Sole-Source
<ul style="list-style-type: none">• Provision of 24 CFR 85.36(d)(1)• Allowed for contracts \$50,000 or less (\$25,000 or less for construction contracts)• Typically for small quantity of supplies or other small contracts• Written quotes from a minimum of 3 providers required• Solicit in writing; quotes submitted in writing (Exception for contracts >\$500 may be obtained and recorded by solicitor)• Select lowest responsible quote• Inform all responders in writing of decision/selection• May require approval by governing body (subject to local procurement policy requirements)	<ul style="list-style-type: none">• Provision of 24 CFR 85.36(d)(2)• Required for contracts >\$50,000 (>\$25,000 construction)• For construction contracts, other large contracts, or large quantity of supplies• Principally based on price; fixed-price contract• Open public bidding required: public advertisement, adequate time to respond, and bids opened publicly• Receive 2 or more responsible bids• Award in writing to lowest responsible bidder• Approval by governing body required	<ul style="list-style-type: none">• Provision of 24 CFR 85.36(d)(3)• Most appropriate for professional services• Request for Qualifications [RFQ] (permitted for engineering/architectural services only) or Request for Proposals [RFP]• Use pre-established evaluation criteria/scoring method• Committee review/evaluation to select provider• Most qualified competitor selected, subject to negotiation of compensation• Awarded as fixed price or not-to-exceed contract• May require approval of governing body (subject to local procurement policy requirements)	<ul style="list-style-type: none">• Provision of 24 CFR 85.36(d)(4)• Solicitation from one (1) source• Generally prohibited for CDBG projects• May be allowed under certain circumstances (e.g., under urgency or limited supplier provisions within the Code of Federal Regulations)• DOA-DEHCR approval of method required before contracting

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COMPETITIVE SEALED BID

- Advertise the invitation for bids; provide sufficient time to respond
(*note Conflict of Interest considerations*)
- Invitation for bids must include:
 - Accurate specifications
 - Pertinent attachments (per CDBG procurement, labor, environmental, and EO standards)
 - Clearly defined items or services needed, in sufficient detail for bidder to properly respond
- Bids opened publicly at time and place stated in invitation for bids



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COMPETITIVE SEALED BID

- Must receive 2 or more responsive and responsible bids for each procurement transaction
- Select lowest responsive and responsible bid*
- Check for debarment
- Upon award, enter fixed-price contract

*UGLG may opt to not make award to any bidders and re-bid project under certain conditions
(e.g., bids not responsive and responsible; bids too high, etc.)

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COMPETITIVE PROPOSAL: PROFESSIONAL SERVICES

Request for Proposals (RFP) & Request for Qualifications (RFQ)

- CDBG Funded (in whole or in part):
UGLG must follow local procurement policy and meet state and federal requirements
- Non-CDBG Funded:
UGLG must follow local procurement policies



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PROFESSIONAL SERVICES: COMPETITIVE PROPOSAL EVALUATION CRITERIA

Expertise	<ul style="list-style-type: none">• Specialized experience• Technical expertise
Past Record of Performance	<ul style="list-style-type: none">• Quality of work• Timeliness• Cost control
Capacity to Perform	<ul style="list-style-type: none">• Within time limitations• Current & planned workload
Familiarity with Type of Project	<ul style="list-style-type: none">• Nature of work• Problems associated with it

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PROFESSIONAL SERVICES: COMPETITIVE PROPOSAL RFP CONTENT

- Technical requirements for goods/services required
- Scope of services
- Type of Contract (reimbursement, fixed, etc.)
- Cost and pricing data
- Start/completion dates
- Evaluation criteria for ranking proposals
- Project information (e.g., reports, maps, site plans)



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STEPS FOR COMPETITIVE PROPOSAL RFP

1. Prepare **and publicize** Request for Proposals (RFP)
2. To maximum extent practicable, honor reasonable requests to give opportunity to compete
3. Access adequate number of qualified sources, consistent with nature and requirements of the procurement
4. Conduct technical evaluation of proposals to identify responsible offers
5. Evaluate price and other factors through scoring the proposals according to predetermined criteria
6. Check for debarment
7. Award contract to most responsive and responsible contractor/most advantageous source (e.g., highest score)

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PROFESSIONAL SERVICES:
COMPETITIVE PROPOSAL RFQ

ARCHITECTURAL/ENGINEERING (A/E) SERVICES ONLY

- Request for Qualifications (RFQ) from qualified sources
- Review and rank Statements of Qualifications
- Select most qualified source
- Price is NOT used as a selection factor
- Subject to fair and reasonable compensation
- Geographic location is allowed as a selection criterion, provided it results in appropriate number of qualified firms allowed to submit qualifications for consideration


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CONTRACTING LANGUAGE/DOCUMENTS

CDBG Implementation Handbook Attachments / Federal Language Requirements for Contracts Executed for a CDBG Project		Professional Services and Other Non-Construction Contracts Funded in Whole or In Part with CDBG	Professional Services and Other Non-Construction Contracts NOT Funded with CDBG
Construction Contracts of \$10,000 or LESS	Construction Contracts of GREATER Than \$10,000	<ul style="list-style-type: none">• Attachment 3-B* [Conflict of Interest Disclosure Form]• Attachment 3-C [24 CFR 570.489(h) Conflict of Interest Clause]• Attachment 3-D [Lobbying Certification Form]• Attachment 3-E (if applicable) [Disclosure of Lobbying Activities Form]• Attachment 6-B [Section 3 Contract Language Requirements]• Attachment 7-B** [Davis-Bacon and Related Acts (DBRA)]• Attachment 7-G [Federal Labor Standards Provisions (4010)]• Attachment 7-I* [Pre-Construction Meeting Items to be Discussed]• Attachment 7-J* [Pre-Construction Checklist for Contractors]• Applicable Davis-Bacon/Federal Wage Decision(s)**	<ul style="list-style-type: none">• Attachment 3-B* [Conflict of Interest Disclosure Form]• Attachment 3-C [24 CFR 570.489(h) Conflict of Interest Clause]• Attachment 3-D [Lobbying Certification Form]• Attachment 3-E (if applicable) [Disclosure of Lobbying Activities Form]• Attachment 6-B [Section 3 Contract Language Requirements]

**Denotes the Attachment or similar form is recommended to be included in the contract, but it is not required. All other items listed in the category must be included in the contract (cannot be by reference only) unless otherwise noted.*

***Required to be in the contract only if Davis-Bacon and Related Acts (DBRA) are applicable to the project.*

See Chapter 3 of Handbook

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PROCUREMENT MONITORING PROCESS REVIEW CONSIDERATIONS

- Local policies and applicable state/federal regulations followed?
- Open and free competition?
- Fair process?
- “Best efforts” were made to access qualified sources, provide equal opportunity, and solicit an adequate number of proposals?
- Bidding/RFP/RFQ documents include the required content for competitors to appropriately respond?
- Conflicts of interest disclosed and reviewed/addressed?
- Record(s) of debarment check(s) on file?
- ALL required bidding/proposal documents on file?

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PROCUREMENT MONITORING: CDBG FILE CONTENTS

- | | |
|--|---|
| <input checked="" type="checkbox"/> Local procurement policy | <input checked="" type="checkbox"/> Contract(s) for goods/services |
| <input checked="" type="checkbox"/> Procurement method descriptions | <input checked="" type="checkbox"/> Conflict of Interest related documentation |
| <input checked="" type="checkbox"/> Copies of quote request, RFBs, RFQs, RFPs and related documents | <input checked="" type="checkbox"/> Records of SAM.gov debarment searches |
| <input checked="" type="checkbox"/> Ad(s) for bids and/or proposals and proof of publication | <input checked="" type="checkbox"/> Signed Lobbying Certifications for all contractors |
| <input checked="" type="checkbox"/> Quotes/bids/qualifications/proposals received and evaluation method(s) | <input checked="" type="checkbox"/> Completed Disclosure of Lobbying Activities forms (as applicable) |
| <input checked="" type="checkbox"/> Cost and pricing data; bid tabulations | |
| <input checked="" type="checkbox"/> Record of contract approval(s) by the governing body | |



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HELPFUL WEBSITES

- HUD 24 CFR Part 85.36 (Federal Procurement Regulations):
http://www.hud.gov/offices/lead/library/lead/24_CFRPART_85.pdf
- Wisconsin VendorNet (State Procurement Resource/Guidance):
<https://vendornet.wi.gov/Home.aspx>
- Wisconsin Supplier Diversity Program (MBE/WBE Resource):
<https://doa.wi.gov/Pages/DoingBusiness/SupplierDiversity.aspx>
- HUD Information on Cost and Price Analysis:
http://portal.hud.gov/hudportal/HUD?src=/program_offices/cpo/grantees/cstprice#who
- Wisconsin State Statutes:
<http://legis.wisconsin.gov/rsb/stats.html>
(see 66.0901, 59.03-59.04, 59.06, 60.47, 61.50, 61.54-61.57, 62.15)

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QUESTIONS?

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PROCUREMENT & CONTRACTING SUMMARY QUESTIONS

- 1. What procurement guidance must an UGLG follow if CDBG funds are *not* being used for professional services contracts?
- 2. What is the name of the website where MBE/WBE firms may be found?
- 3. Where do you find the list of required language and attachments for construction and professional services contracts?
- 4. Who must complete a Lobbying Certification form?
- 5. What are the two letters the UGLG must send to DEHCR if a potential conflict of interest is disclosed by a potential contractor?

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CHAPTER 4: ENVIRONMENTAL

DEHCR – BUREAU OF COMMUNITY DEVELOPMENT



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WHAT IS AN ENVIRONMENTAL REVIEW?

- An environmental review is the process of reviewing a project and its potential environmental impacts to determine whether it meets federal, state and local environmental standards.
- The environmental review process is required for all HUD-assisted projects to ensure that the proposed project does not negatively impact the surrounding environment and that the property site itself will not have an adverse environmental or health effect on end users.



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WHY IS ENVIRONMENTAL REVIEW PART OF THE ADMINISTRATIVE PROCESS?

- It satisfies the requirements of the National Environmental Policy Act (NEPA);
- It improves the decision-making process; and
- It results in an improved environment for citizens.



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IMPORTANT REMINDERS

- The Unit of General Local Government (UGLG) must prepare an ER file that includes all activities related geographically or functionally, regardless of the source of funding [24 CFR 58.32].
- The ER must meet all federal, state and local requirements.
- The UGLG may not commit any HUD assistance funds or non-HUD funds until an award is approved, and the ER has been approved (no new construction, excavation, demolition, rehabilitation, repair, modification or property acquisition or commitment to undertake such activities) [24 CFR 58.22]. Exceptions may be granted for “pre-agreement”, i.e. pre-award costs if approved by DEHCR.



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IMPORTANT REMINDERS

- Funds may be committed after an award has been made without certification for activities that are classified as ‘exempt’ [24 CFR 58.34] or ‘categorically excluded’ not subject to the statutory checklist [24 CFR 58.35(b)].
- DEHCR cannot release funds until the environmental review process is complete and an award and Grant Agreement are in place.



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HOW TO COMPLETE AN ENVIRONMENTAL REVIEW

- Four (4) Step Process:
 1. Project Classification
 2. Project Review
 3. Public Notice
 4. Document Submittal
- Environmental Review Process Flowchart (Attachment 4-A)
- Environmental Report (Attachment 4-I)



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STEP 1: PROJECT CLASSIFICATION

Exempt Activities [24 CFR 58.34 (a)(1) through (12)]

- Primarily administrative/design costs, planning only projects and public services that have no physical impacts.
- Includes certain disaster recovery projects, if the project does not alter environmental conditions and is limited to the repair or replacement of damage to control the effects from disasters

Categorically Excluded Projects Not Subject to 58.5 [24 CFR 58.35(b)]

- Includes most economic development activities (as long as the project does not include construction or expansion, even under the project aggregation rule [24 CFR 58.32]; and new operating costs for other activities of physical facilities.)



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STEP 1: PROJECT CLASSIFICATION (CONT.)

Categorically Excluded Activities Subject to 58.5 (Statutory Checklist) [24 CFR 58.35(a)]

- Includes replacement or rehabilitation of facilities that do not significantly change land use or capacity by more than 20 percent, or that remove barriers to the handicapped.
- Many public facilities projects fall into this category.

Activities Requiring an Environmental Assessment (EA) [24 CFR 58.36]

- Establishes new or significantly enlarged facilities or services.
- Cannot be clearly defined as either exempt or categorically excluded.



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STEP 2: PROJECT REVIEW

All projects must complete a Statement of Activities

- Each activity must be correctly classified
- Each activity must have the correct citation
- Most restrictive classification on the State of Activities determines a project's overall classification

If a project is classified as Exempt or Categorically Excluded, Not Subject to 58.5 (Statutory Checklist) then no in-depth review is required.



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STEP 2: PROJECT REVIEW (CONT.)

If a project is classified as Categorically Excluded, Subject to 58.5 (Statutory Checklist) then an in-depth review is required and:

- Must complete *Statutory Checklist* (Attachment 4-C)
- Must complete *Part 1 Environmental Review Record (ERR)* [Attachment 4-I *Environmental Report*]
- Allow 30 days for responses to requests for comment
- If **no** negative comments or circumstances requiring further compliance then project may be declared *Exempt* and no further review required
- If comments **are** received requiring compliance or further action then the UGLG must attempt to resolve the issue(s) and document actions taken
- If issue(s) is unresolved, contact DEHCR Environmental Desk as an Environmental Impact Statement (EIS) may be required



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STEP 2: PROJECT REVIEW (CONT.)

If a project is classified as requiring an Environmental Assessment then an in-depth review is required and:

- Must complete *Statutory Checklist* (Attachment 4-C)
- Must complete *Part 1 Environmental Review Record (ERR)* [Attachment 4-I *Environmental Report*]
- Allow 30 days for responses to requests for comment
- Must complete *Part 2 Environmental Assessment (EA)* [Attachment 4-I *Environmental Report*]
- EA evaluates qualitatively and quantitatively the results of the ERR to determine significance of the effects of the proposed project
- If *Finding of Significant Impact* then an EIS may be required. Contact DEHCR Environmental Desk immediately.



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STEP 3: PUBLIC NOTICE REQUIREMENTS

Exempt Activities [24 CFR 58.34 (a)(1) through (12)]

- Not required to publish any public notices

Categorically Excluded Projects Not Subject to 58.5 [24 CFR 58.35(b)]

- Not required to publish any public notices



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STEP 3: PUBLIC NOTICE REQUIREMENTS (CONT.)

Categorically Excluded Projects Subject to 58.5 [24 CFR 58.35(a)]

- If no negative comments received and no compliance issues then not required to publish any public notices
- If negative comments received and/or compliance issues noted and comments/issues resolved then:
 - Do not publish until all replies have been received or 30 day comment period has passed
 - Publish *Notice of Intent to Request Release of Funds* (NOI/RROF) [Attachment 4-F]
 - 7 day notice period (published)/10 day notice period (posted/mailed)
- After publication send copy of NOI/RROF to all agencies consulted
- After notice period send NOI/RROF and supporting documentation to DEHCR Environmental Desk
- 15 day comment period

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STEP 3: PUBLIC NOTICE REQUIREMENTS (CONT.)

Activities Requiring an Environmental Assessment (EA) [24 CFR 58.36]

- If Finding of No Significant Impact then UGLG must publish a *Combined Notice of Findings/Notice of Intent to Request Release of Funds* (Attachment 4-G)
 - Do not publish until all replies have been received or 30 day comment period has passed
 - Publish *Combined Notice of Findings/Notice of Intent to Request Release of Funds*
 - 15 day notice period (published)/18 day notice period (posted/mailed)
- After publication send copy of NOI/RROF to all agencies consulted
- After notice period send NOI/RROF and supporting documentation to DEHCR Environmental Desk
- 15 day comment period



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STEP 3: PUBLIC NOTICE REQUIREMENTS (CONT.)

Calendar for Notice of Intent to Request Release of Funds (NOI/RROF)						
Sunday	Monday	Tuesday	Wednesday	Thursday	Friday	Saturday
				Publish, Post or Mail NOI/RROF		
		1	2	3	4	5
				End of comment period for NOI/RROF (published Notice)	USGLS sends Request for Release of Funds to DEHCR Env Desk (published Notice)	Start of DEHCR Env Desk comment period for NOI/RROF (published Notice)
6	7	8	9	10	11	12
End of comment period for NOI/RROF (posted/mailed Notice)	USGLS sends Request for Release of Funds to DEHCR Env Desk (posted/mailed Notice)	Start of DEHCR Env Desk comment period for NOI/RROF (posted/mailed Notice)				
13	14	15	16	17	18	19
					End of DEHCR Env Desk comment period for NOI/RROF (published Notice)	
20	21	22	23	24	25	
Earliest release date for Funds and Certification Letter for NOI/RROF (published Notice)		End of DEHCR Env Desk comment period for NOI/RROF (posted/mailed Notice)	Earliest release date for Funds and Certification Letter for NOI/RROF (posted/mailed Notice)			
27	28	29	30	31	1	2
3	4	5	6	7	8	9

Calendar for Combined Notice of Findings and Notice of Intent to Request Release of Funds (Combined NOF/NOI/RROF)						
Sunday	Monday	Tuesday	Wednesday	Thursday	Friday	Saturday
				Publish, Post or Mail Combined NOF/NOI/RROF		
		1	2	3	4	5
6	7	8	9	10	11	12
					End of comment period for Combined NOF/NOI/RROF (published Notice)	USGLS sends Request for Release of Funds to DEHCR Env Desk (published Notice)
13	14	15	16	17	18	19
Start of DEHCR Env Desk comment period for Combined NOF/NOI/RROF (published Notice)	End of comment period for Combined NOF/NOI/RROF (posted/mailed Notice)	USGLS sends Request for Release of Funds to DEHCR Env Desk (posted/mailed Notice)	Start of DEHCR Env Desk comment period for Combined NOF/NOI/RROF (posted/mailed Notice)			
20	21	22	23	24	25	26
27	28	29	30	31	1	2
Earliest release date for Funds and Certification Letter for Combined NOF/NOI/RROF (published Notice)				Earliest release date for Funds and Certification Letter for Combined NOF/NOI/RROF (posted/mailed Notice)		
3	4	5	6	7	8	9



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STEP 4: DOCUMENT SUBMITTAL REQUIREMENTS

All Environmental Reports must have:

- Cover page (Attachment 4-I)
- Project Description (Attachment 4 –I)
- *Project Classification* (Attachment 4-I)
- *Summary* (Attachment 4-I)
- *Statement of Activities* (Attachment 4-B)

All Environmental Reports must be complete and submitted to:

DEHCR Environmental Desk

DOAEnvironmentalDesk@Wisconsin.gov

Division of Energy, Housing and Community Resources

Wisconsin Department of Administration – 9th Floor

P. O. Box 7970

Madison, WI 53707-7970

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STEP 4: DOCUMENT SUBMITTAL REQUIREMENTS (CONT.)

Exempt Activities

[24 CFR 58.34 (a)(1) through (12)]

- Additional documents/forms:
Determination of Exemption (Attachment 4-E)

Categorically Excluded Projects Not Subject to 58.5 [24 CFR 58.35(b)]

- Additional documents/forms:
Determination of Exemption (Attachment 4-E)



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STEP 4: DOCUMENT SUBMITTAL REQUIREMENTS (CONT.)

Categorically Excluded Projects Subject to 58.5

[24 CFR 58.35(a)]

- Additional documents/forms:
 - *Part 1 Environmental Review Record* (Attachment 4-I)
 - *Statutory Checklist* (Attachment 4-C)
 - If **no** negative comments/compliance issues:
 - *Determination of Exemption* (Attachment 4-E)
 - If negative comments and/or compliance issues which have been resolved:
 - *Notice of Intent to Request Release of Funds* (Attachment 4-F) with signed/notarized affidavit of publication
 - *Request for Release of Funds and Certification* (Attachment 4-H)

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STEP 4: DOCUMENT SUBMITTAL REQUIREMENTS (CONT.)

Activities Requiring an Environmental Assessment (EA)

[24 CFR 58.36]

- Additional documents/forms:
 - *Part 1 Environmental Review Record* (Attachment 4-I)
 - *Statutory Checklist* (Attachment 4-C)
 - *Part 2 Environmental Assessment* (Attachment 4-I)
 - *Combined Notice of Findings and Notice of Intent to Request Release of Funds* (Attachment 4-G) with signed/notarized affidavit of publication
 - *Request for Release of Funds and Certification* (Attachment 4-H)



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ENVIRONMENTAL REPORT APPROVAL

Upon receipt and approval of a complete Environmental Report, the DEHCR Environmental Desk will send:

- **Letter of Concurrence** – Planning projects
- **Letter of Certification** – All Public Facilities projects
- **Authority to Use Grant Funds (HUD 7015.16)** – Any Public Facilities project required to publish either a *Notice of Intent to Request Release of Funds (NOI/RROF)* or a *Combined Notice of Intent to Request Release of Funds – Notice of Finding of No Significant Impact (NOI/RROF-FONSI)*



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IMPORTANT AREAS FOR REVIEW

Chapter 4: *Environmental Review* provides summary of the applicable laws and authorities. All environmental reports should pay close attention to:

- Historical and Archeological Review
- Floodplains/Wetlands
- Manmade Hazards



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HISTORICAL AND ARCHEOLOGICAL REVIEW

IMPORTANT NOTE

- Historical and Archeological Reviews are carried out under a Programmatic Agreement between the WI DOA and the WI Historical Society.
- Reviews can be quite lengthy.
- Therefore, it is important to review these requirements early on to make sure that these issues do not unnecessarily delay projects.



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IMPORTANT INFORMATION: HISTORIC AND ARCHEOLOGICAL REVIEW(S):

- An Archeological Survey is required on previously undisturbed parcels of land 0.5 acres in size or larger. Farming is not considered to be an activity that disturbs archeological sites.
- The re-use of older buildings is commended; however buildings that are listed on, or eligible for listing on, the National Register of Historic Places may be subject to extensive review by WHS architects.
- Contact Doug Brethauer: DOAEnvironmentalDesk@Wisconsin.gov



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FLOODPLAIN MANAGEMENT

- New construction within the Special Flood Hazard Area (aka 100-year floodplain) is discouraged by HUD regulations and may require additional permitting, public notices, and/or engineering studies. Consult with the DEHCR Environmental Desk before proceeding.
- Current HUD policy for projects located in Special Flood Hazard Areas requires that flood insurance must be maintained for the life of the loan or the life of the building.



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MANMADE HAZARDS

- The reuse of industrial sites may present special hazards in terms of public health and safety, as well as legal liability.
- In such cases completing *Part I Environmental Review Record* of the *Environmental Report* may be useful in determining the suitability of a specific site for its intended use.
- The decision to complete *Part I Environmental Review Record* of the *Environmental Report* is the property developer's or owner's, not DOA's.



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IN CONCLUSION.....

- The environmental review process is a 4 step process
- Use the Environmental Review Process flowchart (Attachment 4-A)
- Document all actions/decisions and maintain all records
- No CDBG funds can be committed or requested prior to the UGLG obtaining a *Letter of Concurrence* or a *Letter of Certification and Authority to Use Grant Funds (HUD 7015.16)*



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CONTACT INFORMATION:

Miriam G.Anderson/Doug Brethauer
Environmental Desk
Wisconsin Department of Administration
Division of Energy, Housing and Community Resources
101 E.Wilson Street, 9th Floor
P.O. Box 7970
Madison, WI 53707-7970

Email: DOAEnvironmentalDesk@Wisconsin.gov



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QUESTIONS?

Email: DOACDBG@Wisconsin.gov



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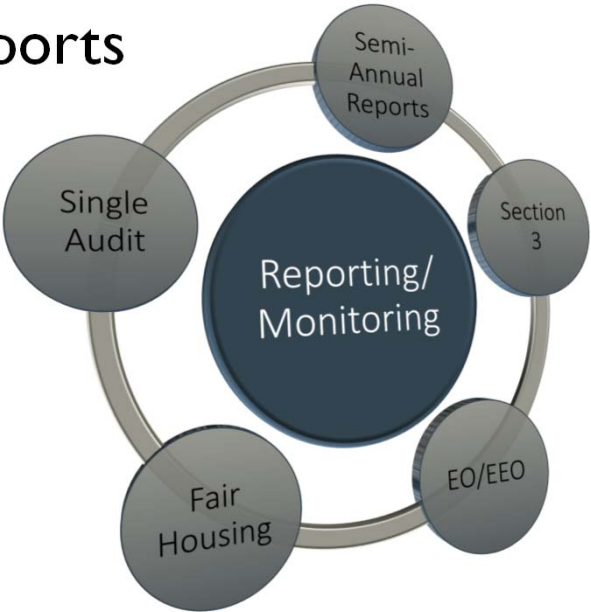
CHAPTER 9: REPORTING

DEHCR – BUREAU OF COMMUNITY DEVELOPMENT



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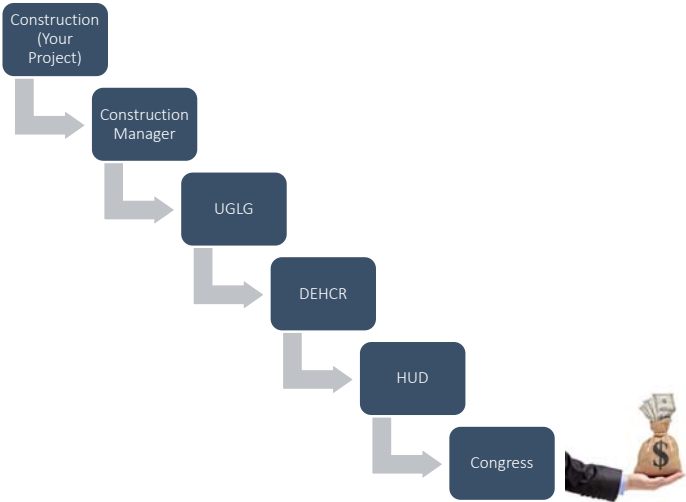
Required Reports



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REPORTING PROCESS



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Due Date	Activity	
Prior to Construction and Acquisition	<ul style="list-style-type: none">• Execute Grant Agreement.• Complete Environmental Report and obtain official approval from DEHCR Environmental Desk. Submit copy of approval from DEHCR Environmental Desk to DEHCR CDBG Project Representative.• Establish record keeping system.• Establish financial management system.• Procure engineering and administrative services.• Submit draft or executed grant administration contract(s) to DEHCR CDBG Project Representative for review, if applicable.• Enter into the administrative contract(s), if applicable.• Complete acquisition and relocation requirements for property, easement(s), etc., if applicable.• Obtain federal Davis-Bacon wage rates, if applicable.• Complete Record of Wage Decision Form. Submit to DEHCR CDBG Project Representative for review.• Prepare and solicit construction bids.• Report date of bid advertisement and bid opening to DEHCR.• Submit Notice of Contractor Award form and construction start date to DEHCR.• Submit bid tabulation summary to DEHCR CDBG Project Representative.• Obtain all necessary permits.• Hold pre-construction meeting. Submit meeting minutes/notes to DEHCR CDBG Project Representative.	<div>Grant Agreement Timetable</div> <div>UGLG: CITY OF LAWRENCE</div> <div>PROJECT: WATER SYSTEM AND STORM SEWER IMPROVEMENTS</div> <div>AWARD: \$500,000</div> <div>MATCH: \$500,000</div> <div>PERFORMANCE PERIOD: JULY 31, 2019 – DEC. 31, 2021</div>
September 25, 2019	<ul style="list-style-type: none">• Submit Semi-Annual Labor Standards Report and MBE/WBE Report for the period of April 1, 2019 through September 30, 2019 [reporting activities for July 19, 2019 (grant award date) through September 30, 2019] unless notified by DEHCR CDBG Project Representative of another submission date.• Submit Single Audit Report and Management Letter for CY2018, if the Grantee was required to complete a Single Audit for CY2018.	
October 15, 2019	<ul style="list-style-type: none">• Submit Semi-Annual Report Certification, Semi-Annual Report Summary Narrative, and supporting documentation. Include accomplishments and activities for the period of April 1, 2019 through September 30, 2019 [reporting activities for July 19, 2019 (grant award date) through September 30, 2019]. Reporting forms must follow the guidance provided in the Implementation Handbook.• Submit Annual Section 3 Report for the period of October 1, 2018 through September 30, 2019 [reporting activities for July 19, 2019 (grant award date) through September 30, 2019] unless notified by DEHCR CDBG Project Representative of another submission date.	
January 15, 2020	<ul style="list-style-type: none">• Submit Single Audit Statement for CY2019.	

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Due Date	Activity	Due Date	Activity
March 25, 2020	<ul style="list-style-type: none">• Submit Semi-Annual Labor Standards Report and MBE/WBE Report for the period of October 1, 2019 through March 31, 2020 unless notified by DEHCR CDBG Project Representative of another submission date.	March 31, 2021	<ul style="list-style-type: none">• Conduct second Public Hearing to report project progress to, and receive input from, local community regarding the CDBG project.
April 15, 2020	<ul style="list-style-type: none">• Submit Semi-Annual Report Certification, and Semi-Annual Report Summary Narrative, and supporting documentation. Include accomplishments and activities for the period of October 1, 2019 through March 31, 2020. Reporting forms must follow the guidance provided in the Implementation Handbook.• Submit Semi-Annual Section 3 Report, unless notified by DEHCR CDBG Project Representative of another submission date. Include accomplishments and activities for the period of October 1, 2019 through March 31, 2020.	April 15, 2021	<ul style="list-style-type: none">• Submit Semi-Annual Report Certification, and Semi-Annual Report Summary Narrative, and supporting documentation. Include accomplishments and activities for the period of October 1, 2020 through March 31, 2021. Reporting forms must follow the guidance provided in the Implementation Handbook.• Report status of second Public Hearing completion (in the 2nd Citizen Participation Public Hearing section of the Semi-Annual Summary Narrative) and submit second Public Hearing meeting notice, attendance list, and minutes to DEHCR CDBG Project Representative.• Submit Semi-Annual Section 3 Report, unless notified by DEHCR CDBG Project Representative of another submission date. Include accomplishments and activities for the period of October 1, 2020 through March 31, 2021.
July 1, 2020	<ul style="list-style-type: none">• Begin Construction. Document and report progress and/or delays to DOA.	September 25, 2021	<ul style="list-style-type: none">• Submit Semi-Annual Labor Standards Report and MBE/WBE Report for the period of April 1, 2021 through September 30, 2021 unless notified by DEHCR CDBG Project Representative of another submission date.• Submit Single Audit Report and Management Letter for CY2020, if the Grantee was required to complete a Single Audit for CY2020.
September 25, 2020	<ul style="list-style-type: none">• Submit Semi-Annual Labor Standards Report and MBE/WBE Report for the period of April 1, 2020 through September 30, 2020 unless notified by DEHCR CDBG Project Representative of another submission date.• Submit Single Audit Report and Management Letter for CY2019, if the Grantee was required to complete a Single Audit for CY2019.	October 15, 2021	<ul style="list-style-type: none">• Submit Semi-Annual Report Certification, Semi-Annual Report Summary Narrative, and supporting documentation to DEHCR CDBG Project Representative. Include accomplishments and activities for the period of April 1, 2021 through September 30, 2021. Reporting forms must follow the guidance provided in the Implementation Handbook.• Submit Annual Section 3 Report for the period of October 1, 2020 through September 30, 2021, unless notified by DEHCR CDBG Project Representative of another submission date.
September 30, 2020	<ul style="list-style-type: none">• Complete Fair Housing Actions described in the attachments of the Grant Agreement.	October 31, 2021	<ul style="list-style-type: none">• Complete all Construction Activities.• End of Construction Period. <i>No construction expenses incurred after this date.</i>
October 15, 2020	<ul style="list-style-type: none">• Submit Semi-Annual Report Certification, Semi-Annual Report Summary Narrative, and supporting documentation. Include accomplishments and activities for the period of April 1, 2020 through September 30, 2020. Reporting forms must follow the guidance provided in the Implementation Handbook.• Report Fair Housing Actions completed (in the Fair Housing section of the Semi-Annual Summary Narrative) and submit supporting documentation to DEHCR.• Submit Annual Section 3 Report for the period of October 1, 2019 through September 30, 2020 unless notified by DEHCR CDBG Project Representative of another submission date.	December 31, 2021	<ul style="list-style-type: none">• Submit Final Payment Request and supporting documents.• Submit Project Completion Report and supporting documents.
January 15, 2021	<ul style="list-style-type: none">• Submit Single Audit Statement for CY2020. Arrange for Single Audit, if applicable.	January 15, 2022	<ul style="list-style-type: none">• Submit Single Audit Statement for CY2021. Arrange for Single Audit, if applicable.
March 25, 2021	<ul style="list-style-type: none">• Submit Semi-Annual Labor Standards Report and MBE/WBE Report for the period of October 1, 2020 through March 31, 2021 unless notified by DEHCR CDBG Project Representative of another submission date.	September 25, 2022	<ul style="list-style-type: none">• Submit Single Audit Report and Management Letter for CY2021, if the Grantee was required to complete a Single Audit for CY2021.

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GRANT AGREEMENT LANGUAGE

KEY Points:

SIGNATURE PAGE (Page 1)

- Performance Period reporting requirements will be automatically **extended** if report submissions are incomplete

ARTICLE 3 – LEGAL RELATIONS AND INDEMNIFICATION

- The UGLG is responsible for complying with and observing all applicable federal and state laws, ordinances, and regulations which are in effect during the Performance Period of the Grant Agreement



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GRANT AGREEMENT LANGUAGE

KEY Points:

ARTICLE 11 – FAILURE TO PERFORM

- Payment (“Draw”) Requests **will not be processed** until all report submissions are up-to-date
 - Payment (“Draw”) Requests **will not be processed** until all report submissions are up-to-date for this Public Facilities (or Planning) project
 - Payment (“Draw”) Requests **will not be processed** until all report submissions are up-to-date for any other concurrent (or previous & not-yet-completed) Energy, Housing and Community Resources Grant project(s)
- Unresolved Single Audit Exceptions (i.e. “findings”) and Monitoring Findings **may impact DOA determinations**, and could result in a payment being withheld or termination of the Grant Agreement

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GRANT AGREEMENT LANGUAGE

KEY Points:

ARTICLE 30 – RECORDS AND REPORTS

- Reporting Due Dates are listed in the **TIMETABLE** (Grant Agreement – Attachments A, E and F)
- Financial Reports must be **submitted with each request** for CDBG funds
- **Copies** of the Financial Reports will be retained in the UGLG's Grant File(s)

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GRANT AGREEMENT LANGUAGE

KEY Points:

ATTACHMENT A – SCOPE OF WORK

- The Timetable lists the reporting due dates in relation to all other project activities and deadlines
- States specific time frames for reports

ATTACHMENT E – REPORTING REQUIREMENTS

- Reiterates due dates and links back to Timetable
- Contains the full list of reports by title



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GRANT AGREEMENT LANGUAGE

KEY Points:

ATTACHMENT F – PROGRAM RULES & SPECIAL CONDITIONS

- Fair Housing Actions
 - Specific due date is set for when completion is required
 - Document progress via Semi-Annual Narrative Reports
 - Submit supporting documentation with Semi-Annual Narrative Reports
- Record Keeping



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GRANT AGREEMENT LANGUAGE

KEY Points:

ATTACHMENT F – PROGRAM RULES & SPECIAL CONDITIONS

- Amendment requests received by DEHCR less than 30-days prior to the *Grant Agreement's* performance period end date will **not** be considered.
- Amendment requests must:
 - Be written on the UGLG's letterhead
 - Include a detailed list of changes
 - Include a brief explanation of why the amendment is needed
 - Be supported by previous Semi-annual Narrative Reports (if applicable)
 - Be signed by the CEO



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IMPORTANT DOCUMENTS FOR REPORTING

- Grant Agreement
 - Attachment A (Timetable)
 - Attachment E (Reporting Schedule)
 - Attachment F (Program Rules)
- Implementation Handbook
 - Templates (check DEHCR website)
- Payment Requests
 - Ledgers/Journals are Financial Reports

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REPORTING PERIODS AND DUE DATES

- Initial reports must cover the time period from the award date to the end of the current required reporting period!
- 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 April 15th**!

IMPORTANT REMINDER!

The semi-annual reporting requirement begins when the *Grant Agreement* is fully executed (i.e. signed by DOA), and it continues until the UGLG has submitted the *Project Completion Report* and all supporting documents for the project.

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GRANT AGREEMENT TIMETABLE		Due Date	Activity
<p>① Audit Reporting January 15* and September 25</p> <p>② Labor Standards Report March 25 and September 25</p> <p><i>* The January 15th due date applies to the Annual Single Audit Statement</i></p>		Prior to Construction and Acquisition	<ul style="list-style-type: none"> Execute Grant Agreement. Complete Environmental Report and obtain official approval from DEHCR Environmental Desk. Submit copy of approval from DEHCR Environmental Desk to DEHCR CDBG Project Representative. Establish record keeping system. Establish financial management system. Procure engineering and administrative services. Submit draft or executed grant administration contract(s) to DEHCR CDBG Project Representative for review, if applicable. Enter into the administrative contract(s), if applicable. Complete acquisition and relocation requirements for property, easement(s), etc., if applicable. Obtain federal Davis-Bacon wage rates, if applicable. Complete Record of Wage Decision Form. Submit to DEHCR CDBG Project Representative for review. Prepare and solicit construction bids. Report date of bid advertisement and bid opening to DEHCR. Submit Notice of Contractor Award form and construction start date to DEHCR. Submit bid tabulation summary to DEHCR CDBG Project Representative. Obtain all necessary permits. Hold pre-construction meeting. Submit meeting minutes/notes to DEHCR CDBG Project Representative.
		① → September 25, 2019	<ul style="list-style-type: none"> Submit Semi-Annual Labor Standards Report and MBE/WBE Report for the period of April 1, 2019 through September 30, 2019 [reporting activities for July 19, 2019 (grant award date) through September 30, 2019] unless notified by DEHCR CDBG Project Representative of another submission date.
		② →	<ul style="list-style-type: none"> Submit Single Audit Report and Management Letter for CY2018, if the Grantee was required to complete a Single Audit for CY2018.
		October 15, 2019	<ul style="list-style-type: none"> Submit Semi-Annual Report Certification, Semi-Annual Report Summary Narrative, and supporting documentation. Include accomplishments and activities for the period of April 1, 2019 through September 30, 2019 [reporting activities for July 19, 2019 (grant award date) through September 30, 2019]. Reporting forms must follow the guidance provided in the Implementation Handbook. Submit Annual Section 3 Report for the period of October 1, 2018 through September 30, 2019 [reporting activities for July 19, 2019 (grant award date) through September 30, 2019] unless notified by DEHCR CDBG Project Representative of another submission date.
		January 15, 2020	<ul style="list-style-type: none"> Submit Single Audit Statement for CY2019.

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		Due Date	Activity
<p>① Audit Reporting January 15 and September 25</p> <p>② Labor Standards Report March 25 and September 25</p> <p>③ Semi-Annual Report Packet April 15 and October 15*</p> <p>④ Fair Housing Actions Within 12-15 months of the Award Letter</p> <p>⑤ 2nd Citizen Participation Public Hearing Within 18 months of the Award Letter</p> <p><i>* The October 15 Semi-Annual Reports will include the Annual Section 3 Report</i></p>		② → March 25, 2020	<ul style="list-style-type: none"> Submit Semi-Annual Labor Standards Report and MBE/WBE Report for the period of October 1, 2019 through March 31, 2020 unless notified by DEHCR CDBG Project Representative of another submission date.
		③ → April 15, 2020	<ul style="list-style-type: none"> Submit Semi-Annual Report Certification, and Semi-Annual Report Summary Narrative, and supporting documentation. Include accomplishments and activities for the period of October 1, 2019 through March 31, 2020. Reporting forms must follow the guidance provided in the Implementation Handbook. Submit Semi-Annual Section 3 Report, unless notified by DEHCR CDBG Project Representative of another submission date. Include accomplishments and activities for the period of October 1, 2019 through March 31, 2020.
		July 1, 2020	<ul style="list-style-type: none"> Begin Construction. Document and report progress and/or delays to DOA.
		② → September 25, 2020	<ul style="list-style-type: none"> Submit Semi-Annual Labor Standards Report and MBE/WBE Report for the period of April 1, 2020 through September 30, 2020 unless notified by DEHCR CDBG Project Representative of another submission date.
		① →	<ul style="list-style-type: none"> Submit Single Audit Report and Management Letter for CY2019, if the Grantee was required to complete a Single Audit for CY2019.
		④ → September 30, 2020	<ul style="list-style-type: none"> Complete Fair Housing Actions described in the attachments of the Grant Agreement.
		③ → October 15, 2020	<ul style="list-style-type: none"> Submit Semi-Annual Report Certification, Semi-Annual Report Summary Narrative, and supporting documentation. Include accomplishments and activities for the period of April 1, 2020 through September 30, 2020. Reporting forms must follow the guidance provided in the Implementation Handbook. Report Fair Housing Actions completed (in the Fair Housing section of the Semi-Annual Summary Narrative) and submit supporting documentation to DEHCR. Submit Annual Section 3 Report for the period of October 1, 2019 through September 30, 2020 unless notified by DEHCR CDBG Project Representative of another submission date.
		④ →	
		① → January 15, 2021	<ul style="list-style-type: none"> Submit Single Audit Statement for CY2020. Arrange for Single Audit, if applicable.
		② → March 25, 2021	<ul style="list-style-type: none"> Submit Semi-Annual Labor Standards Report and MBE/WBE Report for the period of October 1, 2020 through March 31, 2021 unless notified by DEHCR CDBG Project Representative of another submission date.


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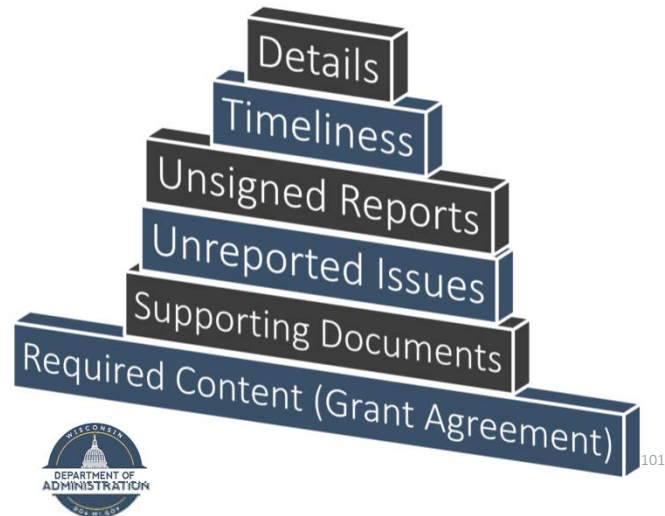
		Due Date	Activity
<div>⑥ End of Construction period Approximately 2 Years from Award Letter</div> <div>⑦ Final payment and project completion report submission Within 2 Months of the End of the Construction Period</div>	⑤ →	March 31, 2021	<ul style="list-style-type: none">Conduct second Public Hearing to report project progress to, and receive input from, local community regarding the CDBG project.
	③ →	April 15, 2021	<ul style="list-style-type: none">Submit Semi-Annual Report Certification, and Semi-Annual Report Summary Narrative, and supporting documentation. Include accomplishments and activities for the period of October 1, 2020 through March 31, 2021. Reporting forms must follow the guidance provided in the Implementation Handbook.
	⑤ →		<ul style="list-style-type: none">Report status of second Public Hearing completion (in the 2nd Citizen Participation Public Hearing section of the Semi-Annual Summary Narrative) and submit second Public Hearing meeting notice, attendance list, and minutes to DEHCR CDBG Project Representative.Submit Semi-Annual Section 3 Report, unless notified by DEHCR CDBG Project Representative of another submission date. Include accomplishments and activities for the period of October 1, 2020 through March 31, 2021.
	② →	September 25, 2021	<ul style="list-style-type: none">Submit Semi-Annual Labor Standards Report and MBE/WBE Report for the period of April 1, 2021 through September 30, 2021 unless notified by DEHCR CDBG Project Representative of another submission date.
	① →		<ul style="list-style-type: none">Submit Single Audit Report and Management Letter for CY2020, if the Grantee was required to complete a Single Audit for CY2020.
	③ →	October 15, 2021	<ul style="list-style-type: none">Submit Semi-Annual Report Certification, Semi-Annual Report Summary Narrative, and supporting documentation to DEHCR CDBG Project Representative. Include accomplishments and activities for the period of April 1, 2021 through September 30, 2021. Reporting forms must follow the guidance provided in the Implementation Handbook.Submit Annual Section 3 Report for the period of October 1, 2020 through September 30, 2021, unless notified by DEHCR CDBG Project Representative of another submission date.
	⑥ →	October 31, 2021	<ul style="list-style-type: none">Complete all Construction Activities.End of Construction Period. <i>No construction expenses incurred after this date.</i>
	⑦ →	December 31, 2021	<ul style="list-style-type: none">Submit Final Payment Request and supporting documents.Submit Project Completion Report and supporting documents.
		January 15, 2022	<ul style="list-style-type: none">Submit Single Audit Statement for CY2021. Arrange for Single Audit, if applicable.
		September 25, 2022	<ul style="list-style-type: none">Submit Single Audit Report and Management Letter for CY2021, if the Grantee was required to complete a Single Audit for CY2021.

REMINDER: FINAL CDBG PAYMENT REQUEST

■ Final CDBG payment requests received after the due date listed in the *Grant Agreement* will not be processed



COMMON REPORTING ISSUES



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REQUIRED REPORTS/ACTIONS/LANGUAGE

- Semi-Annual Report Certification
- Summary Narrative Performance Report
- Labor Standards Enforcement Report
- MBE/WBE Report
- Section 3 Report
- Fair Housing Actions
- Equal Opportunity Language
- Employee Self-Certification Report

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ATTACHMENT 9-F: REPORTING REQUIREMENTS CHECKLIST

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

NOTE: Several Reports will require the signature of the UGLG (either the Chief Elected Official or the Clerk).

SINGLE AUDIT			
Form:	Completed by:	Submit to:	Due:
9-I/J	<i>Annual Audit Letter</i>	Grant Administrator	DEHCR Project Rep
	<i>Single Audit Report</i>	External auditor	1.) DOA Audit Bureau 2.) DEHCR Project Rep
			January 15 Per the Grant Agreement Timeline

All reports are due to the assigned DEHCR Project Representative unless otherwise indicated. Electronic submission of reports is preferred. Any additional required documents listed in the *BCD CDBG Implementation Handbook* (but which are not listed above) may be requested by the DEHCR Project Representative at any time.

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SEMI-ANNUAL REPORTS

- Semi-Annual Report Certification
- Summary Narrative Performance Report
- Labor Standards Enforcement Report*
- MBE / WBE Report*
- Section 3 Report**
- Employee Self-Certification Report

*These reports are always submitted March 25th & Sept. 25th (prior to the Semi-Annual Reports on April 15th & Oct. 15th)

** Both Semi-Annual and Annual reports apply

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FAIR HOUSING ACTIONS

- At least THREE (3) actions
- Refer to “Potential Fair Housing Actions” list in CDBG Application
- Publicly share (publish, post, etc.)
- Include details and documentation with Semi-Annual Report Summary Narrative



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SEMI-ANNUAL JOBS REPORTING:

CDBG Project Employee Self-Certification Report

Division of Energy, Housing and Community Resources
CDBG Project Employee Self-Certification Report

CDBG PROJECT EMPLOYEE SELF-CERTIFICATION REPORT

NAME OF UICLI:

BUSINESS NAME:

GRANT AGREEMENT #:

REPORTING PERIOD ENDED: (choose one)
☐ Semi-Annual Report: October 1, 20 to March 31, 20
☐ Semi-Annual Report: April 1, 20 to September 30, 20
☐ Final Summary Report: Project Start Date to Project End Date

BASELINE JOB NUMBER:

TOTAL JOBS CREATED TO DATE:

TOTAL WORKFORCE (BASELINE + CREATED):

EMPLOYEE RACE FOR JOBS CREATED TO DATE					
Single Race	Total Number	Number Hispanic	Multi-Racial	Total Number	Number Hispanic
WHITE	<input type="text"/>	<input type="text"/>	AMERICAN INDIAN/ALASKAN NATIVE & WHITE	<input type="text"/>	<input type="text"/>
BLACK/AFRICAN AMERICAN	<input type="text"/>	<input type="text"/>	ASIAN & WHITE	<input type="text"/>	<input type="text"/>
ASIAN	<input type="text"/>	<input type="text"/>	BLACK/AFRICAN AMERICAN & WHITE	<input type="text"/>	<input type="text"/>
AMERICAN INDIAN/ALASKAN NATIVE	<input type="text"/>	<input type="text"/>	AMERICAN INDIAN/ALASKAN NATIVE AND AFRICAN AMERICAN	<input type="text"/>	<input type="text"/>
NATIVE HAWAIIAN/PACIFIC ISLANDER	<input type="text"/>	<input type="text"/>	OTHER MULTI-RACIAL	<input type="text"/>	<input type="text"/>
OTHER	<input type="text"/>	<input type="text"/>		<input type="text"/>	<input type="text"/>

INFORMATION ON POSITIONS CREATED TO DATE

CLASSIFICATION	TOTAL CREATED TO DATE
OFFICIAL MANAGERS	<input type="text"/>
SALES	<input type="text"/>
OPERATIVES (SEM-SKILLED)	<input type="text"/>
PROFESSIONALS	<input type="text"/>
TECHNICIANS	<input type="text"/>
LABORERS (UNSKILLED)	<input type="text"/>
OFFICE/CLERICAL	<input type="text"/>
CRAFT WORKERS (SKILLED)	<input type="text"/>
SERVICE WORKERS	<input type="text"/>
TOTAL CREATED	<input type="text"/>

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SEMI-ANNUAL JOBS REPORTING:
CDBG Project Employee Self-Certification Report

Page I:

- Baseline Jobs
- Created Jobs To Date
- Race/Ethnicity Data

CDBG PROJECT EMPLOYEE SELF-CERTIFICATION REPORT

NAME OF UGL: [Village of Yourville]
BUSINESS NAME: [Smith Manufacturing, Inc.]
GRANT AGREEMENT #: [CDBG-PFED 19-99]
REPORTING PERIOD ENDED: (choose one)
☒ Semi-Annual Report: October 1, 20[19] to March 31, 20[20]
☐ Semi-Annual Report: April 1, 20[] to September 30, 20[]
☐ Final Summary Report: Project Start Date [] to Project End Date []

BASELINE JOB NUMBER[25]

TOTAL JOBS CREATED TO DATE[5]

TOTAL WORKFORCE (BASELINE + CREATED)[30]

EMPLOYEE RACE FOR JOBS CREATED TO DATE

Single Race	Total Number	Number Hispanic	Multi-Racial	Total Number	Number Hispanic
WHITE	[3]	[1]	AMERICAN INDIAN/ALASKAN NATIVE & WHITE	<input type="checkbox"/>	<input type="checkbox"/>
BLACK/AFRICAN AMERICAN	<input type="checkbox"/>	<input type="checkbox"/>	ASIAN & WHITE	<input type="checkbox"/>	<input type="checkbox"/>
ASIAN	<input type="checkbox"/>	<input type="checkbox"/>	BLACK/AFRICAN AMERICAN & WHITE	<input type="checkbox"/>	<input type="checkbox"/>
AMERICAN INDIAN/ALASKAN NATIVE	[2]	[0]	AMERICAN INDIAN/ALASKAN NATIVE AND AFRICAN AMERICAN	<input type="checkbox"/>	<input type="checkbox"/>
NATIVE HAWAIIAN/PACIFIC ISLANDER	<input type="checkbox"/>	<input type="checkbox"/>	OTHER MULTI-RACIAL	<input type="checkbox"/>	<input type="checkbox"/>
OTHER	<input type="checkbox"/>	<input type="checkbox"/>		<input type="checkbox"/>	<input type="checkbox"/>

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SEMI-ANNUAL JOBS REPORTING:
CDBG Project Employee Self-Certification Report

Page I (continued):

- Job Classifications

INFORMATION ON POSITIONS CREATED TO DATE

CLASSIFICATION	TOTAL CREATED TO DATE
OFFICIALS/MANAGERS	<input type="checkbox"/>
SALES	<input type="checkbox"/>
OPERATIVES (SEMI-SKILLED)	[2]
PROFESSIONALS	<input type="checkbox"/>
TECHNICIANS	<input type="checkbox"/>
LABORERS (UNSKILLED)	[3]
OFFICE/CLERICAL	<input type="checkbox"/>
CRAFT WORKERS (SKILLED)	<input type="checkbox"/>
SERVICE WORKERS	<input type="checkbox"/>
TOTAL CREATED	[5]

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EMPLOYEE SELF-CERTIFICATION REPORT

Page 2:

Questions on:

Health care benefits of new hires

Job postings at WDW/local employment agency

Unemployment status of new hires

Income Level data (# new hires at each level)

CDBG PROJECT EMPLOYEE SELF-CERTIFICATION REPORT (continued)

NAME OF UGLG: [Village of Yourville]

BUSINESS NAME: [Smith Manufacturing, Inc.]

GRANT AGREEMENT #: [CDBG-PFED 19-99]

REPORTING PERIOD ENDED: (choose one)

☒ Semi-Annual Report: October 1, 20 [19] to March 31, 20 [20]

☐ Semi-Annual Report: April 1, 20 [] to September 30, 20 []

☐ Final Summary Report: Project Start Date [] to Project End Date []

1. Have new positions been provided employer sponsored health care?

YES ☒ NO ☐ N/A ☐

2. Have position openings been posted with the WI Department of Workforce Development or local employment agency per your Application with DEHCR?

YES ☒ NO ☐ N/A ☐

3. Have any new positions been filled by individuals that were previously unemployed? If yes, please provide the number:

YES ☒ NO ☐ N/A ☐

[3]

Please provide the family income breakdown of employees that corresponds with Question 1 of Employee Self-Certification Form.

A (VERY LOW)	B (LOW)	C (MODERATE)	D (ABOVE LMI LIMITS)
[2]	[1]	[1]	[1]

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REMINDER: Submit supporting documentation (completed Employee Self-Certifications) with each Semi-Annual Report submission. If submitting the final CDBG Project Employee Self-Certification report, also include the payroll record from the business to confirm current employment status of each employee.

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EMPLOYEE SELF-CERTIFICATION REPORT

Page 2 (continued):

Certification by UGLG (Chief Elected Official)

REPORT CERTIFICATION

I certify that to the best of my knowledge and belief the contents in this report are true and correct. Completed individual Employee Self-Certification forms are attached as supporting documentation.

Joan Smith

[04/13/2020]

Signature of Chief Elected Official

Date Signed

[Joan Smith]

[Village President]

Printed Name of Chief Elected Official

Title of Chief Elected Official

[jsmith@villageofyourville.gov]

[(608) 555-9999]

Email Address of Chief Elected Official

Telephone Number of Chief Elected Official

DEHCR Review (Initials):

Date:

Refer to CDBG Project Employee Self-Certification Report Instructions for guidance.

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SEMI-ANNUAL JOBS REPORTING:
Employee Self-Certification Form
(Page 1)

- UGLG enters highlighted fields
- Form completed by new hires
- Submitted with the Semi-Annual Employee Self-Certification Report (completed by UGLG)
- Must use most current Self-Certification Form (at time of hire)
 - income limits updated annually typically in March/April



2019 FLORENCE COUNTY
STATE OF WISCONSIN
COMMUNITY DEVELOPMENT BLOCK GRANT
EMPLOYEE SELF CERTIFICATION

UGLG Name: UCLG OF JOURNAL
Business Name: John Manufacturing

Dear Employee:

John Manufacturing is collecting the following information as a result of participating in the U.S. Housing and Urban Development (HUD) Community Development Block Grant (CDBG) program. To meet federal regulations, GAG Lumber is required to collect statistical data on your family income, new hire, and employment status. This information is reported to HUD and eventually used by the U.S. Congress to measure the effectiveness of the CDBG program. Your name and personal information will be kept private, and your income, race and unemployment status information only shared with the federal government anonymously. It is only through your cooperation that your community can benefit from this federal program.

INSTRUCTIONS:
Please answer questions 1, 2, and 3, then sign and date the form certifying the information is correct. Your information can only be accepted if the form is completed in full.

1.) Please indicate your current family income in the following table. "Family" means all related persons in your household.

Please Circle # of Persons in your Family	FAMILY INCOME CATEGORY			
	Please check your family income in the same row as the number of persons in your family.			
	A	B	C	D
1	\$0 - \$14,350	\$14,351 - \$23,800	\$23,801 - \$35,300	Greater than \$35,300
2	\$0 - \$16,910	\$16,911 - \$27,400	\$27,401 - \$43,000	Greater than \$43,000
3	\$0 - \$21,330	\$21,331 - \$33,000	\$33,001 - \$49,250	Greater than \$49,250
4	\$0 - \$28,750	\$28,751 - \$43,200	\$43,201 - \$64,700	Greater than \$64,700
5	\$0 - \$39,170	\$39,171 - \$59,800	\$59,801 - \$89,100	Greater than \$89,100
6	\$0 - \$54,390	\$54,391 - \$83,700	\$83,701 - \$123,000	Greater than \$123,000
7	\$0 - \$79,010	\$79,011 - \$124,400	\$124,401 - \$187,000	Greater than \$187,000
8 or more	\$0 - \$143,420	\$143,421 - \$215,150	\$215,151 - \$322,750	Greater than \$322,750

Source: 2018 HUD Income Limits for Florence County

2.) Please check the box(es) that identify your race.

Single Race:

☒ White

☐ Black/African American

☐ Asian

☐ American Indian/Alaskan Native

☐ Native Hawaiian/Other Pacific Islander

☐ Other

Multi-Racial Identifiers:

☐ American Indian/Alaskan Native and White

☐ Asian and White

☐ Black/African American and White

☐ American Indian/Alaskan Native and African American

☐ Other Multi-Racial

3.) Please answer these questions:

Do you consider yourself as being of Hispanic ethnicity? ☐ Yes ☒ No

Are you currently unemployed or were you unemployed prior to employment with this company? ☐ Yes ☒ No

Are you a female head of household? ☐ Yes ☒ No

I certify that the information provided above is correct to the best of my knowledge

Jack Miller Jack Miller
Printed Name Signature Date 11/15/19

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SEMI-ANNUAL JOBS REPORTING:
Employee Self-Certification Form
(Page 2)

- Submit BOTH pages of completed form
- Only include forms completed during reporting period
- Reconcile data on Certification Forms and Certification Report

Employee Self-Certification Form master document (for all counties) linked at:

<https://doa.wi.gov/Pages/LocalGovtsGrants/EmployeeSelfCertificationForms.aspx>



EMPLOYER/LOCAL GOVERNMENT USE ONLY (ALL SECTIONS ARE MANDATORY)

Position Details

☒ Full Time ☐ Part Time (FTE:) ☐ Employer-Sponsored Healthcare Plan Offered

Position Class

☒ Official/Manager

☐ Sales

☐ Operator/Semi-skilled

☐ Professional

☐ Technician

☒ Laborer/Unskilled

☐ Office/Clerical

☐ Craft Worker/Skilled

☐ Service Worker

Date Hired: 11/15/19

Job Category Definitions

1. **Officials or Managers** - Occupants requiring administrative personnel who set broad policies, exercise overall responsibility of execution of these policies, and individual departments or special phases of a firm's operations. This includes: Officials, Executives, middle management, plant managers and superintendents, salaried supervisors who are members of management, purchasing agents and buyers, and kindred workers.

2. **Professional** - Occupants requiring either college graduation or experience of such kind and amount as to provide a comparable background includes: accountants and auditors, airplane pilots and navigators, architects, artists chemists, designers, dietitians, editors, engineers, lawyers, librarians, mathematicians, natural scientists, registered professional nurses, professional and labor relations workers, physical scientists, physicians, social scientists, teachers, and kindred workers.

3. **Technicians** - Occupants requiring a combination of basic scientific knowledge and manual skill which can be obtained through about 2 years of post-high school education such as is offered in many technical institutions and junior colleges, or through equivalent on the job training. This includes: computer programmers and operators, drafters, engineering aides, junior engineers, mathematic aides, licensed practical or vocational nurses, photographers, radio operators, scientific assistants, surveyors, technical illustrators, technicians medical, dental, electronic, physical sciences and kindred workers.

4. **Sales** - Occupants engaging wholly or primarily in direct selling. This includes: advertising agents and sales workers; insurance agents and brokers; real estate agents and brokers; sales workers; demonstrators and retail sales workers; and sales clerks, grocery clerks and cashiers, and kindred workers.

5. **Office or Clerical** - Includes all clerical-type work regardless of level of difficulty, where the activities are predominantly non-manual though some manual work not directly involved with attaining or transporting the products is included. This includes: bookkeepers, cashiers, collectors (bills and accounts), messengers and office helpers, office machine operators, shipping and receiving clerks, stenographers, typists, and secretaries, telegraph and telephone operators, and kindred workers.

6. **Craft Worker (skilled)** - Manual workers of relatively high level having a thorough and comprehensive knowledge of the processes involved in their work. Exercise considerable independent judgment and usually receive an extensive period of training. This includes: the building trades, hourly paid supervisors and lead operators (who are not members of management), mechanic and repairers, skilled machining occupations, compositors and typesetters, electronics, engravers, job setters (metal), motion picture projectionists, pattern and model makers, stationary engineers, tailors, and kindred workers.

7. **Operative (semi-skilled)** - Workers who operate machines or other equipment or perform other factory-type duties of intermediate skill level which can be mastered in a few weeks and require only limited training. This includes: apprentices (auto mechanics, plumbers, electricians, machinists, mechanics, building trades, metal working trades, printing trades, etc.), operatives, attendants (auto service and parking), handlers, craftworkers, delivery workers, dress makers and sewers (except factory), dryers, fumigating workers, heaters (metal), laundry and dry cleaning, operatives, millers, mine operatives and laborers, motor operators, oilers and greasers (except auto), painters (except construction and maintenance), photographic process workers, boiler tenders, truck and tractor drivers, weavers (textile), welders and flame metal workers, and kindred workers.

8. **Laborers (unskilled)** - Workers in manual occupations which generally require no special training perform elementary duties that may be learned in a few days and require the application of little or no independent judgment. This includes: garage laborers, car washers and greasers, gardeners (except farm and ground keepers), stevedores, wood choppers, laborers performing lifting, digging, mixing loading, and pulling operations, and kindred workers.

9. **Service Workers** - Workers in both protective and non-protective service occupations. This includes attendants (hospital and other institutions), professional and personal service, including nurses aides and orderlies), barbers, shavers and cleaners, cooks (except household), counter and fountain workers, elevator operators, flagbearers and the protection guards, door keepers, stewards, janitors, police officers and detective.

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Semi-Annual Labor Standards Enforcement Report (LSER)

[illegible]

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Page 1:

- Reporting Period
- Prime Contracts Awarded
- Bidding & Wage Decision Information
- Construction Dates

Reporting Period Covered: [04] / [01] / [20] through [09] / [30] / [20]

This Report is due to the Division on or before: [09] / [25] / [20]

CDBG Semi-Annual Labor Standards Enforcement Report:

1) Number of prime contracts awarded during this six (6) month period, that are subject to Davis-Bacon and Related Acts (DBRA) and/or the Contract Work Hours and Safety Standards Act (CWHSSA). Track contracts by award dates - DO NOT track by bid opening date: [1]

2) Enter the total dollar amount of prime contracts reported above: \$ [\$2,300,000.00]

3) Supply the indicated information for each prime contract awarded during the reporting period: *

A Prime Contractor(s)	B Bid Opening Date: (mm/dd/yyyy)	C Project-Related Contract Amount:	D Contract Award Date: (mm/dd/yyyy)	E Wage Decision Modification Number & Publication Date:	F Wage Decision Lock-In Date: (mm/dd/yyyy)
[ABC Construction Co.]	[04] [09] [20]	\$ 2,300,000.00	[04] [10] [20]	W[20][30][15] Mod. [04] [03] [20]	[04] [09] [20]
		\$		WI [04] [09] [20]	
		\$		WI [04] [09] [20]	
		\$		WI [04] [09] [20]	
		\$		WI [04] [09] [20]	
		\$		WI [04] [09] [20]	
		\$		WI [04] [09] [20]	
		\$		WI [04] [09] [20]	
		\$		WI [04] [09] [20]	
Total Project-Related Contracts:		\$ 2,300,000.00			

4) Construction start date: [05] / [05] / [2020] N/A

5) Is construction completed? ☐ Yes ☒ No

6) Construction completion date: [] / [] / [] N/A

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LABOR STANDARDS ENCFORCEMENT REPORT

Page 2:

- Complaints & Investigations
- Wage Restitution
- Liquidated Damages
- Labor Standards Officer

Refer to
Labor Standards
Enforcement Report
Instructions
for guidance.

7) Enter the employers (contractors, subcontractors, lower-tier subcontractors) against whom complaints, investigations or §5.11 hearings were received during the reporting period.*

Employer	Project	HUD or DOL	Investigations or Hearings
[None]			

8) 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. [10]

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

Straight time:	\$	[1000.00]
Overtime:	\$	[1,500.00]

c) Enter the total amount of liquidated damages collected during this six (6) month period for Contract Work Hours and Safety Standards Act overtime violations.

\$	[0]
----	-----

* Use additional pages if necessary.

[Brenda Smith] Labor Standards Officer [09 / 24 / 20]

Typed Name of the Designated Labor Standards Officer Title Date

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MBE/WBE

- Minority Business Enterprise (MBE)/Woman Business Enterprise (WBE)
- Placing qualified small and minority businesses and women's business enterprises on solicitation lists (see Chapter 7, Attachment 7-R)
- 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 businesses, and women's business enterprises



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MBE/WBE

- Establishing delivery schedules, where the requirement permits, which encourage participation by small and minority businesses, 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
- Requiring the prime contractor, if subcontractors are to be let, to take the affirmative steps listed above



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Division of Energy, Housing and Community Resources (DEHCR)

MBE/WBE Report Form

FEDERAL GRANT #:

☐ B - - DC - 55 - 0001

☐ B - - DF - 55 - 0001

☐ B - - DI - 55 - 0001

☐ B - - DN - 55 - 0001

☐ E - - DC - 55 - 0001

☐ M - - SG - 55 - 0001

For DEHCR Use ONLY

GRANTEE/UGLG NAME:

DEHCR GRANT AGREEMENT #:

MBE/WBE REPORT

Program (Choose One):

☐ Community Development Program

☐ HOME RHD / HHR

☐ Housing Program

☐ ESG

Report Type (Choose One):

☐ Semi-Annual (6-Month) Report

Reporting Period Covered (Choose One):

Semi-Annual Report:

☐ April 1 - September 30, 20

☐ October 1, 20 - March 31, 20

PREPARER CERTIFICATION

I hereby certify that, to the best of my knowledge and belief, the contents in this report are true and correct.

Full Name of the Report Preparer:
(This serves as an electronic signature.)

Preparer's Job Title & Company/Employer:

Date Signed:

Preparer's Telephone Number:

Preparer's Email Address:

For Grantees / UGLGs: Full Name of the Chief Elected Official
(This serves as an electronic signature.)

Title

Date Signed

Page 1

Revised: 08/31/2019

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Division of Energy, Housing and Community Resources (DEHCR)
MBE/WBE Report Form

GRANTEE/UGLG NAME: _____
DEHCR GRANT AGREEMENT #: _____

Prime Contractor/Sub-Contractor Name & Address 1a.					Prime Contractor FEIN # 1b.	Sub-Contractor FEIN # 1c.	Amount of Contract or Sub-Contract 1d.	Type of Trade Code (See below.) 1e.	Prime Contractor or Sub- Contractor Business/ Race/Ethnicity (See below.) 1f.	Women Owned Business (Yes or No) 1g.	Section 3 Business (Yes or No) 1h.	
	Name	Street Address	City	State / ZIP							Prime Contractor	Sub- Contractor
1	<input type="checkbox"/> Prime Contractor						\$0.00					
	<input type="checkbox"/> Sub-Contractor											
2	<input type="checkbox"/> Prime Contractor						\$0.00					
	<input type="checkbox"/> Sub-Contractor											
3	<input type="checkbox"/> Prime Contractor						\$0.00					
	<input type="checkbox"/> Sub-Contractor											
4	<input type="checkbox"/> Prime Contractor						\$0.00					
	<input type="checkbox"/> Sub-Contractor											
5	<input type="checkbox"/> Prime Contractor						\$0.00					
	<input type="checkbox"/> Sub-Contractor											
6	<input type="checkbox"/> Prime Contractor						\$0.00					
	<input type="checkbox"/> Sub-Contractor											
7	<input type="checkbox"/> Prime Contractor						\$0.00					
	<input type="checkbox"/> Sub-Contractor											
8	<input type="checkbox"/> Prime Contractor						\$0.00					
	<input type="checkbox"/> Sub-Contractor											
9	<input type="checkbox"/> Prime Contractor						\$0.00					
	<input type="checkbox"/> Sub-Contractor											

PLEASE NOTE: If you need to list more than 9 (nine) Contractors or Sub-Contractors (in the space provided above), scroll-down for additional Prime Contractor/Sub-Contractor information page(s).

1e. Type of Trade Codes:
1 = New Construction
2 = Substantial Rehab
3 = Repair
4 = Service
5 = Project Management
6 = Professional
7 = Tenant Services
8 = Education / Training
9 = Architectural / Engineering Appraisal
0 = Other

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

Page 2

Revised: 08/31/2019

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Division of Energy, Housing and Community Resources (DEHCR)
MBE/WBE Report Form

FEDERAL GRANT #:
☐ B - DC - 55 - 0001
☐ B - DF - 55 - 0001
☐ B - DI - 55 - 0001
☐ B - DN - 55 - 0001
☐ E - DC - 55 - 0001
☐ M - SG - 55 - 0001
For DEHCR Use ONLY

GRANTEE/UGLG NAME: City of Lafayette
DEHCR GRANT AGREEMENT #: CDBG-PF-17-99

MBE/WBE REPORT

Program (Choose One):
☒ Community Development Program
☐ HOME RHD / HHR
☐ Housing Program
☐ ESG

Report Type (Choose One):
☒ Semi-Annual (6-Month) Report

Reporting Period Covered (Choose One):
Semi-Annual Report:
☒ April 1 - September 30, 20 18
☐ October 1, 20 - March 31, 20

PREPARER CERTIFICATION

I hereby certify that, to the best of my knowledge and belief, the contents in this report are true and correct.

Full Name of the Report Preparer:
(This serves as an electronic signature) April Kelly

Preparer's Job Title & Company/Employer: Sr. Engineer/Grant Administrator Date Signed: 10 / 22 / 2018

Preparer's Telephone Number: (764) 837 - 3273 Ext. 7 Preparer's Email Address: AKelly@KellyEngineering.com

Buddy Boyle Mayor 10 / 22 / 2018

For Grantees / UGLGs: Full Name of the Chief Elected Official (This serves as an electronic signature.) Title Date Signed

Page 1

Revised: 08/31/2019

Typed names will serve as electronic signatures of approval by the Preparer & the UGLG/Grantee

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Clearly indicate the Prime Contractor or Sub-Contractor status of the listed firm.

The Prime/Sub status will determine which additional fields are applicable.

Division of Energy, Housing and Community Resources (DEHCR)
MBE/WBE Report Form

GRANTEE/UGLG NAME: City of Lafayette
DEHCR GRANT AGREEMENT #: CDBG-PF 17-99

Prime Contractor/Sub-Contractor Name & Address 1a.					Prime Contractor FEIN # 1b.	Sub-Contractor FEIN # 1c.	Amount of Contract or Sub-Contract 1d.	Type of Trade Code (See below.) 1e.	Prime Contractor or Sub-Contractor Business' Race/Ethnicity (See below.) 1f.	Women Owned Business (Yes or No) 1g.	Section 3 Business (Yes or No) 1h.	
Name	Street Address	City	State / ZIP								Prime Contractor	Sub-Contractor
<input checked="" type="checkbox"/> Prime Contractor	Bartholomew Construction	239 Keefer Street	Emory Park	WI 55055	06 - 2642225	Not Applicable	\$903,000.00	1	1	No	No	Not Applicable
<input checked="" type="checkbox"/> Prime Contractor	G.L. Jacobson Excavations	172 - 77381 Krespin Rd.	Longmont	WI 54235	06 - 2642225	33 - 2326435	\$111,113.00	1	1	Yes	No	No
<input type="checkbox"/> Sub-Contractor							\$0.00					
<input type="checkbox"/> Sub-Contractor							\$0.00					
<input type="checkbox"/> Prime Contractor							\$0.00					
<input type="checkbox"/> Sub-Contractor							\$0.00					
<input type="checkbox"/> Prime Contractor							\$0.00					
<input type="checkbox"/> Sub-Contractor							\$0.00					
<input type="checkbox"/> Prime Contractor							\$0.00					
<input type="checkbox"/> Sub-Contractor							\$0.00					
<input type="checkbox"/> Prime Contractor							\$0.00					
<input type="checkbox"/> Sub-Contractor							\$0.00					
<input type="checkbox"/> Prime Contractor							\$0.00					
<input type="checkbox"/> Sub-Contractor							\$0.00					

PLEASE NOTE: If you need to list more than 9 (nine) Contractors or Sub-Contractors (in the space provided above), scroll-down for additional Prime Contractor/Sub-Contractor information page(s).

1e. Type of Trade Codes:
1 = New Construction
2 = Substantial Rehab
3 = Repair
4 = Service
5 = Project Management
6 = Professional
7 = Tenant Services
8 = Education / Training
9 = Architectural / Engineering Appraisal
0 = Other

1f. Racial / Ethnic Codes:
1 = White Americans
2 = Black Americans
3 = Native Americans
4 = Hispanic Americans
5 = Asian / Pacific Americans
6 = Haisidic Jews

Indicate the Section 3 status of the listed Sub-Contractor and its higher-level Prime Contractor (if applicable)

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SEMI-ANNUAL REPORTS

■ Semi-Annual Report Certification

■ Summary Narrative Performance Report

■ Labor Standards Enforcement Report*

■ MBE / WBE Report*

■ Section 3 Report**

■ Employee Self-Certification Report

*These reports are always submitted March 25th & Sept. 25th (prior to the Semi-Annual Reports on April 15th & Oct. 15th)

** Both Semi-Annual and Annual reports apply

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SECTION 3

- 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) – Refer to Chapter 6, page 7 of the Implementation Handbook

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SECTION 3 OBJECTIVES

To ensure that economic opportunities resulting from HUD financial assistance are directed to low- and moderate-income (LMI) persons

“Opportunity” involves reasonable access and fair notification.

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SECTION 3 DEFINITIONS

(CHAPTER 6)

Section 3 Residents:

- Low-income individuals (in 80% or lower category of HUD Income Limits)

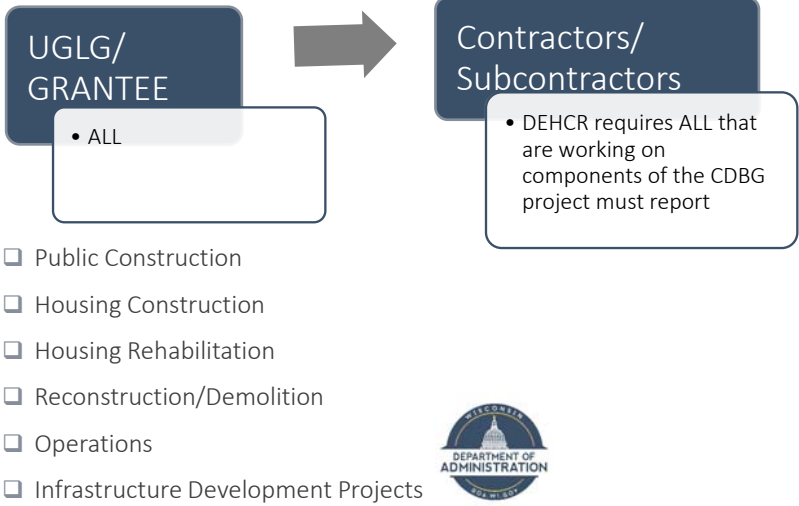
Section 3 Business:

- 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 contract dollar value goes to subcontracting with the Section 3 eligible businesses

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SECTION 3 COMPLIANCE



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SECTION 3 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-
construction
contracts



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SECTION 3 RESPONSIBILITIES

- Include "Section 3 Clause" in all covered solicitations and contracts (24 CFR 135.38)
- Notify contractors of Section 3 responsibilities
- UGLGs 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



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Section 3 non-compliance
may result in debarment,
suspension, or denial of
participation.



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Refer to the Bureau of Community Development website for the most recently updated version of the report form and instructions each reporting period.

SECTION 3 REPORT

DOA AGREEMENT #
(Contract #)

CDBG-PF 17-99

NAME OF GRANTEE

Village of Enid

CONTACT INFORMATION

Preparer's Name

Kevin Tran

Title

Planner / Grant Administrator

Telephone

332 - 647 - 2364

E-mail

KTran@camrose-planning.com

HUD REPORTING PERIOD

☐ Semi-Annual Report: October 1, 20__ to March 31, 20__

☒ Annual Report: October 1, 2018__ to September 30, 2019__

Complete one form for each program/contract with DEHCR.

Please check program

☒ CDBG

☐ NSP

☐ HOME

☐ HOPWA

☐ CDBG-DR (Disaster Recovery)


☐ ESG



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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	0	0	0
Clerical	0	0	0
Case Management	0	0	0
Facilities / Maintenance	0	0	0
Technical (Bookkeeping, IT, etc.)	0	0	0
Carpentry	0	0	0
Masonry	0	0	0
Plumbing	0	0	0
Electrical	0	0	0
Administration	0	0	0
Define Other: Laborer	1	1	0
Define Other:	0	0	0
Define Other:	0	0	0



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Part II: Contracts Awarded	
Construction Contracts	
1. Total dollar amount of all contracts award on the project	\$ 201,395.00
2. Total dollar amount of contracts awarded to Section 3 businesses	\$ 0.00
3. Percentage of the total dollar amount that was awarded to Section 3 businesses	0 %
4. Total number of Section 3 businesses receiving contracts	0
Non-Construction Contracts	
1. Total dollar amount of non-construction contracts award on the project	\$ 11,000.00
2. Total dollar amount of non-construction contracts awarded to Section 3 businesses	\$ 0.00
3. Percentage of the total dollar amount that was awarded to Section 3 businesses	0 %
4. Total number of Section 3 businesses receiving non-construction contracts	0



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Part III: Best Efforts

Describe the Grantee's best efforts to give training and employment opportunities to LMI residents and/or businesses, check all that apply:

☒ Job Posting at Job Centers

☒ Job Posting in Local Newspaper/Shopper

☒ Job Posting at Housing Authority

☒ Website or Social Media Outreach

☐ No new hires during reporting period

☐ Other: _____

☐ Job Posting in Community List Serves

☐ Job Posting at Public Municipal Building

☐ Job Posting at Technical College or University

☐ Disadvantage Business Outreach

☐ Project Complete – No Activity

Comments: Included Section 3 language in bid documents and contracts. Contractors conducted outreach to DBE businesses to promote Section 3 contracting.

Kevin Tran

Signature of Preparer

Planner/Grant Administrator

Title

10 / 15 / 2019

Date Signed

Kevin Tran

Printed Name of Preparer

Miranda Bates

UGLG/Grantee Signature

Village President

Title

10 / 15 / 2019

Date Signed

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SECTION 3 COMPLIANCE: BEST EFFORTS

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

Failure to meet Section 3 goals requires explanation from the UGLG.

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SECTION 3 BEST PRACTICES

Contracting

- Include Section 3 goals and requirements in all contracts/subcontracts
- Require prime contractors to identify a plan for outreach efforts to MBE/WBE/DBE

Contractor Communications and Outreach

- Cover Section 3 in Pre-Construction Meeting
- Send reminders to contractors regarding LMI hiring requirements
- Provide guidance to contractors for posting positions

Data Collection and Reporting

- Provide contractors Employee Self-Certification Forms
- Collect New Hire and contracting Section 3 data (and Self-Certification Forms) with weekly payrolls
- Collect Section 3 Reports while contractor is still on the job

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QUESTIONS?

Email: DOACDBG@Wisconsin.gov



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CHAPTER 8: FINANCIAL

DEHCR – BUREAU OF COMMUNITY DEVELOPMENT



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FINANCIAL MANAGEMENT

- CDBG recordkeeping requirements are set in accordance with 24 CFR Part 570.490, Recordkeeping Requirements
- CDBG funds must be maintained in a separate non-interest-bearing account or in a separate non-interest-bearing fund within an existing account
- Detailed records of receipts and expenditures of grant funds must be maintained at all times
- Records must be supported by source documents including but not limited to deposit receipts, invoices and payments, and contracts awarded

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FINANCIAL MANAGEMENT (CONTINUED)

- Financial record-keeping is the fundamental responsibility of UGLG’s Chief Financial Officer (CFO) such as the Treasurer or Clerk
- The UGLG’s financial management procedures must be consistent with Generally Accepted Accounting Principles (GAAP) and federal requirements



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KEY STEPS TO ACCURATE FINANCIAL RECORDKEEPING:

- Designate the project’s financial manager
- Establish separate ledger accounts, and the accounting records for the project
- Establish procedures for:
 - Approving invoices,
 - Submitting CDBG payment requests, and
 - Disbursing project funds (issuing payments to vendors and/or reimbursing the UGLG as needed)
- Review the Grant Agreement



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INCURRING COSTS

- The UGLG assumes full responsibility for the project, including payment of all project-related contracts executed prior to the execution of the *Grant Agreement*
- No CDBG payment requests will be considered by DEHCR until the UGLG has executed the *Grant Agreement* and has obtained the *Release of Funds* letter from DEHCR's Environmental Desk
- Two (2) types of project costs:
 - Soft Costs
 - Hard Costs

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INCURRING COSTS (CONTINUED)

- **Soft Costs**, such as administration, engineering* services, architectural services, and other non-construction related activities, may be incurred after the date of the *Grant Award Letter*

**Engineering costs for the project incurred 12 months prior to the submission of the application may be counted as Match. No other budget category qualifies for this credit.*

- **Hard Costs**, such as construction, property acquisition, and the purchase of materials, may only be incurred following execution of the DEHCR Grant Agreement, completion of the Environmental Review process, and completion of the applicable Labor Standards process.

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IMPORTANT REMINDER!

Improperly procured professional services will not be paid with CDBG funding.





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REQUESTING CDBG FUNDS

CDBG funds for **soft costs** may only be requested upon completion of the following:

- Signed Grant Agreement with the Division of Energy, Housing and Community Resources (DEHCR)
- Signed and completed Signature Certification form
- Signed and completed Depository Certification form
- Signed and completed STAR forms (DOA-6456 for electronic deposits, or DOA-6457 for paper checks)  **RECENTLY UPDATED**
- Signed and completed W-9 Request for TIN Certification form  **RECENTLY UPDATED**
- Financial Management Contact Person form
- Signed and completed Request for Payment forms

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REQUESTING CDBG FUNDS

Hard costs may only be requested upon completion of the following:

- All required financial setup paperwork (refer to previous list for **soft costs**) is completed and submitted to DEHCR,
- Signed *Environmental Certification* letter and *Release of Funds* letter from the DEHCR Environmental Desk, and
- Applicable portions of the Labor Standards process:
 - LSO Designee (Attach. 7-C)
 - Wage Decision Selection (Attach. 7-D)
 - Advertisement for Bids (Attach. 7-F)
 - Bid Tab Summary
 - Notice of Contractor Award (Attach. 7-H)
 - Pre-Constr. Conference (Attach. 7-I, 7-J, and 7-K)

RECENTLY UPDATED ➡

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REQUESTING CDBG FUNDS

The following items must be submitted to DEHCR with each CDBG payment request:

- Signed and completed *Request for Payment* form
(see *Attachments 8-F1 and 8-F2* for a sample form and instructions)
- Up-to-date *Cash Control Register*
(see *Attachments 8-G1 and 8-G2* for a sample form and instructions)
- Up-to-date *CDBG Disbursements Journal*
(see *Attachments 8-H1 and 8-H2* for a sample form and instructions)
- Up-to-date *Matching Funds Journal*
(see *Attachments 8-I1 and 8-I2* for a sample form and instructions)
- Supporting documentation justifying your request (invoices, receipts, checks, etc.)

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CDBG FUNDS

- CDBG funds can be:
 - Received by paper check (STAR form DOA-6457 for paper checks), or
 - Received by electronic bank transfer (STAR form DOA-6465 for electronic deposits)
- CDBG funds will be sent directly to the designated financial institution for deposit into the non-interest-bearing checking account that was specified on the Depository Certification form
- CDBG funds drawn must be disbursed within **three (3) working days***

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CDBG FUNDS

- Administrative funds should be requested in approximate proportion to requests made from project budget categories
 - For example, if an overall average of twenty-five percent (25%) of the project budget has been drawn, do not expect to receive ninety percent (90%) of the administrative budget
- Matching funds must be kept in an account or account register separate from CDBG funds and are to be spent concurrently with, and in proportion to, CDBG funds
 - This means that if the project comes in under budget, a portion of the local dollars are not spent, and a portion of CDBG funds are not spent

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CDBG FUNDS

Supporting documentation for CDBG funds requested must be submitted to DEHCR with each payment request:

- This includes invoices*, canceled checks or copies, and bank statements
- This documentation must **clearly** identify the items for which CDBG funds are going to be expended

** Clearly indicate the break-down of funds that will be used to pay each invoice.*



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FINAL CDBG PAYMENT REQUEST

- DEHCR will withhold 10% of the total CDBG funds, up to \$25,000, until the project completion reports and supporting documentation have been received, reviewed, and approved by DEHCR

- Final CDBG payment requests received after the due date listed in the *Grant Agreement* will not be processed



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FINAL CDBG PAYMENT REQUEST (CONTINUED)

- The Final Labor Standards Compliance Report (FLSCR) **must be** submitted prior to, or with, the final request for payment form if Labor Standards are applicable to your project
- DEHCR reserves the right to withhold any and all payment requests until reporting requirements have been met and supporting documentation for expenditures is submitted and verified



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FINANCIAL MANAGEMENT ATTACHMENTS

- | | |
|--|--|
| ■ Depository Certification | ■ Request for Payment Form |
| ■ STAR Authorization for Electronic Deposit (DOA-6456) | ■ Cash Control Register (CCR) |
| ■ STAR Vendor Information for Paper Checks (DOA-6457) | ■ CDBG Disbursements Journal (DJ) |
| ■ Financial Management Contact Person Form | ■ Matching Funds Journal (MFJ) |
| ■ Signature Certification | ■ W-9 Request for Taxpayer Identification Number (TIN) and Certification |



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Unit of General Local Government's (UGLG's) Name: _____
DEHCR Grant Agreement #: _____
DUNS #: _____
Attn: _____

DEPOSITORY CERTIFICATION

SECTION I

The _____ has been designated
(Name, Physical Street Address, Zip Code, and Telephone Number of Financial Institution)
to receive all funds resulting from the Grant Agreement (listed above) which has been executed between the Wisconsin Department of Administration and the _____ of _____
(City/Village/Town/County)
of _____
(UGLG/Community Name)
☐ Yes, the financial institution (listed above) has confirmed that all mailed checks must be sent to a designated P.O. Box. Please mail checks to the following address:

Name, Mailing Address (including P.O. Box), and Zip Code of the Financial Institution
☐ No, the financial institution (listed above) has confirmed that all mailed checks can be sent to the PHYSICAL Street Address (listed above).
These funds will be deposited into account # _____
(Bank Account #)
If funds can be transferred electronically, the routing number for the bank is # _____
(Signature of the Chief Elected Official) _____ (Title) _____ (Date Signed) _____
(Typed Name of the Chief Elected Official) _____ Original Form ☐ Amended Form ☐
(Check One)

SECTION II

The account in Section I has been established with this bank. All necessary documentation to legally enable this bank to receive direct deposits to this account without the payee's endorsement is in this bank's custody. All deposits are insured by _____
(Insurer of CDBG Deposits)
The Depository hereby agrees to immediately notify the recipient local government when a deposit is made to the above account.
(Signature of Bank Officer) _____ (Title) _____ (Date Signed) _____
(Typed Name of Bank Officer) _____
Retain the original completed form with the local project files, and submit a copy (email is preferred) to the assigned Project Representative:

(Insert Your Assigned DEHCR Project Representative's Name Here)
Wisconsin Department of Administration
Division of Energy, Housing and Community Resources
Bureau of Community Development, 5th Floor
P.O. Box 7970
Madison, WI 53707-7970

DEPOSITORY
CERTIFICATION

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Depository Certification Form
Revised: July 17, 2019

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State of Wisconsin
Wisconsin Department of Administration
Division of Executive Budget & Finance
DOA-6456 (007/2019)

Authorization for Direct Deposit

Section 1: Identifying Information

Tax Identification Number: _____ EIN _____
SSN _____
Pursuant to Section 5109 of the Internal Revenue Service Code, we are required to obtain your Tax Identification Number (TIN) to properly report income to the IRS as required by law. Forms without a TIN will not be accepted.

Legal Name _____
Doing Business As Name: _____
Address: _____
City: _____ County: _____ State: _____ ZIP: _____

Section 2: Additional Identifying Information

Supplier ID: _____ DUNS# _____
Recent payment number/amount received from the State: _____

Section 3: Current Financial Information

Bank Verification Must be Attached

Bank Name

Bank Name

Type

Checking ☐ Savings ☐

Type

Checking ☐ Savings ☐

Account Number

Account Number

Account number supplied must match attached bank verification

Account number supplied must match previous account number on file

Routing Number

Routing Number

Routing number supplied must match attached bank verification

Routing number supplied must match previous account number on file

New/Additional Email Address for Remittance Instructions:

Previous Email Address for Remittance Instructions:

Section 4: Prior Financial Information

Must be Provided to Change/Update Account

Section 5: International ACH Transaction Information

Will the entire amount of this electronic payment ultimately be deposited into a financial institution outside of the United States, and therefore fall under the regulation of IAT? Yes ☐ No ☐

Section 6: Municipalities Only

Local Gov Investment Pool _____ Sub Account Number _____

Section 7: Comments

Section 8: Read the Agreement, Sign & Date

The State will establish authentication information requirements for communications between the Supplier and the State, through online systems or paper forms. If the State receives a Communication containing proper authentication information, it shall be entitled to act on the Communication, and shall not be obligated to verify the content of such Communication, establish the identity of the person providing it, or seek any confirmation thereof, and the State shall not be liable for acting on any Communication sent in the name of the Supplier. The Supplier shall be solely responsible for the safekeeping of the authentication information (i.e. passwords, Tagged Identification Numbers, bank account numbers, etc.) and assumes all risk of accidental disclosure or inadvertent use of such authentication information by any party whatsoever, whether such disclosure or use is on account of the Supplier's negligence or deliberate acts or otherwise. The State shall not be liable for any loss or damage resulting from fraudulent, unauthorized or otherwise improper use of any authentication information by the Supplier. Account changes must be reported to the State Controller's Office 30 days prior to the effective date of the change. Account changes will take effect within five business days of receipt of properly completed documentation in the DOA office. Failure to report account changes may result in delayed payments. All bank accounts are tied to an address in our system. A separate form is required for each address. The entity listed hereby authorizes the State of Wisconsin to initiate credit entries to its bank account at the financial institution identified above. Additionally, this form provides the State of Wisconsin the authority to reverse (withdraw) any erroneous credits (deposits) to the account. The authority shall remain in effect until the State of Wisconsin receives written notification of revocation, and has a reasonable opportunity to act on it.
Only Authorized individuals may complete and submit this form. By completing this form, you are certifying that you are a duly authorized representative of your organization and are lawfully able to initiate changes to banking information. Fraudulent consequences are punishable offenses.
I have attached a copy of a current voided check or included a bank letter on bank letterhead, signed by a bank representative. Either option must include the individual/company name, routing and account numbers pre-printed by the financial institution.
Print Name: _____ Date: _____
Signature: _____ Phone: _____

STAR FORM:
STAR AUTHORIZATION
FOR
ELECTRONIC DEPOSIT

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STAR AUTHORIZATION FOR ELECTRONIC DEPOSIT


Make sure to provide documentation confirming the Bank Account Number and the Bank’s Routing Number using one (1) of the following:

- 1. Copy of a cancelled check,
- 2. Deposit slip, or
- 3. Letter from the bank.

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State of Wisconsin
Wisconsin Department of Administration
Division of Executive Budget & Finance
DOA-6457 (R09/2016)



STAR Vendor Information

Required sections must be completed or the form will not be processed. Incomplete forms will be returned. All information must be legible.

ALL SECTIONS REQUIRED UNLESS OTHERWISE NOTED

Section 1 – Please specify type of action

Select your entity type below and complete the sections indicated:

New Individual or business that provides goods or services to a state agency - complete all sections except section 7.

New City, County, Town, Village, School District, Special Tax District or Technical College - complete all sections.

Note – If you are an INDIVIDUAL that DOES NOT provide goods or services to a state agency (i.e. a grant recipient), you may submit IRS W-9 or W-9 EIC only – you DO NOT need to complete this form. You must include your email address (if you have one) in the requestors name and address area of the W-9 or W-9 EIC.

☐ New Vendor/Business - Attach W-9 or W-9 EIC

☐ Additional Address

☐ Additional Location

For Agency Use Only – Required for Changes

STAR ID #

Location Name ID #

Address ID #

☐ Change of Contact Person/Information

☐ Change of Address – (Provide old address below or attach letter)

Address to be Replaced:

☐ Change of TIN – (also attach IRS W-9 & DOA-6459 Change of Tax ID.)

☐ Change of Name – (also attach IRS W-9 & DOA-6458 Change of Vendor Name.)

Section 2 – Please provide Vendor Information

Legal Business or Individual Name (Must match attached W-9 or W-9 EIC):

Business Name, Trade Name, Doing Business as: (If different from above):

Section 3 – Taxpayer Identification Information (Only Provide One)

Federal Employer Identification Number: example 00-0000000

Social Security Number: example 000-00-0000

DUNS No. example 000000000 (Optional):

Section 4 – Remit To Address

Address:

County:

Address (cont.):

City:

State:

ZIP Code + 4:

Section 5 (Optional) – Additional Address (If more than 2 addresses, i.e. 1099 address)

Address:

County:

Address (cont.):

City:

State:

ZIP Code + 4:

STAR FORM: VENDOR INFORMATION (FOR PAPER CHECKS)

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DOA-6457 (R09/2015) continued

Section 6 (Optional) – Contact Person

Name:

Phone:

FAX:

Email:

☐ Additional Contact

Name:

Phone:

FAX:

Email:

☐ Replace Contact (Will be Marked Inactive)

Name of Contact being replaced:

Section 7 – Wisconsin State Agency, Local Government, or District (As Listed Below)

Are you a Wisconsin State Agency, Local Government, or District? ☐ Yes ☐ No

If yes, Please Select One of the Following:

☐ City ☐ County ☐ School District ☐ Special Tax District ☐ Technical College ☐ Town ☐ Village ☐ Other

Entity Name:

Is your entity in the Wisconsin Department of Revenue State Debt Collection Program? (SDC) ☐ Yes ☐ No

Is your entity in the Wisconsin Department of Revenue Tax Refund Intercept Program? (TRIP) ☐ Yes ☐ No

Does your entity receive payments (i.e. shared revenues) from WI Department of Revenue State & Local Finance? ☐ Yes ☐ No

Section 8 – Please Sign and Date (Vendor/Supplier)

Print Name:

Title:

Date:

Authorized Signature:

Contact Email Address:

Contact Phone Number:

Section 9 - For Agency Use Only

Agency Name:

Agency Contact:

Contact Email:

Comments (Optional)

Note: This document contains sensitive information. Sending via non-secure channels, including e-mail and fax can be a potential security risk. Pursuant to 26 USC 6109, the state is required to collect TIN/EIN/Social Security numbers and to use the numbers in its annual report to the IRS the amount the state has paid each vendor.

Submit completed documents to the State Agency to be invoiced.

STAR FORM:

VENDOR INFORMATION
(FOR PAPER CHECKS)

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Division of Energy, Housing and Community Resources

Financial Management Contact Person Form

UNIT OF GENERAL LOCAL GOVERNMENT'S (UGLG'S) NAME: _____
DEHCR GRANT AGREEMENT #: _____

FINANCIAL MANAGEMENT CONTACT PERSON

FINANCIAL MANAGEMENT CONTACT PERSON: _____
(Person that will complete the CDBG Request for Disbursement form)

CONTACT PERSON'S TITLE: _____

FIRM (if applicable): _____

STREET ADDRESS: _____

CITY: _____ STATE: _____ ZIP CODE: _____

PHONE NUMBER: _____

FAX NUMBER: _____

EMAIL ADDRESS: _____

Submit this form via e-mail (preferred) or postage-paid mail to the UGLG's assigned CDBG Project Representative in the Division of Energy, Housing and Community Resources (DEHCR):
Email: DOACDBG@wisconsin.gov
Mail: DEHCR Project Representative
Wisconsin Department of Administration
Division of Energy, Housing and Community Resources
Bureau of Community Development, 6th Floor
P.O. Box 7970
Madison, WI 53707-7970

FINANCIAL MANAGEMENT
CONTACT PERSON

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- CDBG Payment Request Form
- Cash Control Register (CCR) – Shows the movement of CDBG funds during the project
- CDBG Disbursements Journal (DJ) – Shows the payments & obligations of CDBG funds made throughout the project
- Matching Funds Journal (MFJ) – Shows the payments & obligations of Match funds made throughout the project
- Invoices, Checks, and Bank Statements



Community Development Block Grant Funds (CDBG) Payment Request
Department of Administration
Division of Energy, Housing and Community Development (DEHCR)

Make Check Payable To:

Contract Number:

Contract Start Date:

Contract End Date:

Construction Start Date:

PO Number:

Request Date:

Amended Request:

Final Request:

Person Completing this Form:

Phone Number:

The Grantee MUST ATTACH
Updated Copies of the :
Cash Control Register
CDBG Disbursements Journal
Matching Funds Journal
Invoices for this Payment Request

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Contract Amount: \$200,000.00

CDBG-Funded Activity	IDIS Activity Number	Previous Request Number	Current Request Number	CDBG Activity Amount Budgeted	Previously Requested	Current Request	Total Requested to Date	CDBG Award Balance
(CDBG FUNDED ACTIVITY NAME)		0	0	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00
(CDBG FUNDED ACTIVITY NAME)				\$0.00	\$0.00	\$0.00	\$0.00	\$0.00
(CDBG FUNDED ACTIVITY NAME)				\$0.00	\$0.00	\$0.00	\$0.00	\$0.00
TOTALS:				\$0.00	\$0.00	\$0.00	\$0.00	\$0.00

Match-Funded Activity	REMINDER	Minimum Required Match	Percent Match To Date	Match Amount Budgeted	Previous Match Total	Current Match	Total Match Expended To Date
(MATCH FUNDED ACTIVITY NAME)	The minimum required match percentage for the project (listed above) must be met when the final CDBG Payment Request is submitted.	#DIV/0!	#DIV/0!	\$0.00	\$0.00	\$0.00	\$0.00
(MATCH FUNDED ACTIVITY NAME)		#DIV/0!	#DIV/0!	\$0.00	\$0.00	\$0.00	\$0.00
(MATCH FUNDED ACTIVITY NAME)		#DIV/0!	#DIV/0!	\$0.00	\$0.00	\$0.00	\$0.00
(MATCH FUNDED ACTIVITY NAME)		#DIV/0!	#DIV/0!	\$0.00	\$0.00	\$0.00	\$0.00
(MATCH FUNDED ACTIVITY NAME)		#DIV/0!	#DIV/0!	\$0.00	\$0.00	\$0.00	\$0.00
TOTALS:				#DIV/0!	#DIV/0!	\$0.00	\$0.00

CERTIFICATION:
I hereby certify that the information reported above is correct; the amount requested is not in excess of current needs; federal funds in excess of \$5,000 will be disbursed in three (3) working days; and, complete and accurate records are being kept to substantiate all expenses related to this request. By signing this report, I certify to the best of my knowledge and belief that the report is true, complete, and accurate, and the expenditures, disbursements and cash receipts are for the purposes and objectives set forth in the terms and conditions of the Federal award. I am aware that any false, fictitious, or fraudulent information, or the omission of any material fact, may subject me to criminal, civil or administrative penalties for fraud, false statements, false claims or otherwise. (U.S. Code Title 18, Section 1001 and Title 31, Sections 3729-3730 and 3801-3812).

EMAIL COMPLETED FORM TO:
DOADEHCRFISCAL@WISCONSIN.GOV
WITH A COPY TO YOUR DEHCR Project Representative.

Grantee Representative Authorization
Name:
Title:
Date:
Grantee Representative Authorization
Name:
Title:
Date:
DEHCR Payment Authorization
Date Signed

CDBG PAYMENT REQUEST FORM

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Community Development Block Grant Funds (CDBG) Payment Request
Department of Administration
Division of Energy, Housing and Community Development (DEHCR)

Make Check Payable To:

Contract Number:

Contract Start Date:

Contract End Date:

Construction Start Date:

PO Number:

Request Date:

Amended Request:

Final Request:

Person Completing this Form:

Phone Number:

The Grantee MUST ATTACH
Updated Copies of the :
Cash Control Register
CDBG Disbursements Journal
Matching Funds Journal
Invoices for this Payment Request

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☐
☐
☐

Contract Amount: \$200,000.00

CDBG-Funded Activity	IDIS Activity Number	Previous Request Number	Current Request Number	CDBG Activity Amount Budgeted	Previously Requested	Current Request	Total Requested to Date	CDBG Award Balance
(CDBG FUNDED ACTIVITY NAME)		0	0	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00
(CDBG FUNDED ACTIVITY NAME)				\$0.00	\$0.00	\$0.00	\$0.00	\$0.00
(CDBG FUNDED ACTIVITY NAME)				\$0.00	\$0.00	\$0.00	\$0.00	\$0.00
TOTALS:				\$0.00	\$0.00	\$0.00	\$0.00	\$0.00

Match-Funded Activity	REMINDER	Minimum Required Match	Percent Match To Date	Match Amount Budgeted	Previous Match Total	Current Match	Total Match Expended To Date
(MATCH FUNDED ACTIVITY NAME)	The minimum required match percentage for the project (listed above) must be met when the final CDBG Payment Request is submitted.	#DIV/0!	#DIV/0!	\$0.00	\$0.00	\$0.00	\$0.00
(MATCH FUNDED ACTIVITY NAME)		#DIV/0!	#DIV/0!	\$0.00	\$0.00	\$0.00	\$0.00
(MATCH FUNDED ACTIVITY NAME)		#DIV/0!	#DIV/0!	\$0.00	\$0.00	\$0.00	\$0.00
(MATCH FUNDED ACTIVITY NAME)		#DIV/0!	#DIV/0!	\$0.00	\$0.00	\$0.00	\$0.00
(MATCH FUNDED ACTIVITY NAME)		#DIV/0!	#DIV/0!	\$0.00	\$0.00	\$0.00	\$0.00
TOTALS:				#DIV/0!	#DIV/0!	\$0.00	\$0.00

CERTIFICATION:
I hereby certify that the information reported above is correct; the amount requested is not in excess of current needs; federal funds in excess of \$5,000 will be disbursed in three (3) working days; and, complete and accurate records are being kept to substantiate all expenses related to this request. By signing this report, I certify to the best of my knowledge and belief that the report is true, complete, and accurate, and the expenditures, disbursements and cash receipts are for the purposes and objectives set forth in the terms and conditions of the Federal award. I am aware that any false, fictitious, or fraudulent information, or the omission of any material fact, may subject me to criminal, civil or administrative penalties for fraud, false statements, false claims or otherwise. (U.S. Code Title 18, Section 1001 and Title 31, Sections 3729-3730 and 3801-3812).

EMAIL COMPLETED FORM TO:
DOADEHCRFISCAL@WISCONSIN.GOV
WITH A COPY TO YOUR DEHCR Project Representative.

Grantee Representative Authorization
Name:
Title:
Date:
Grantee Representative Authorization
Name:
Title:
Date:
DEHCR Payment Authorization
Date Signed

Depository Cert. & STAR form

Grant Agreement Budget

Support Docs

Signature Cert.

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CASH CONTROL REGISTER

Division of Energy, Housing and Community Resources

Cash Control Register

A. NAME OF UGL:
<Provide UGL's Name Here>

B. DEHOR GRANT AGREEMENT #:
<Provide Grant Agreement # Here>

Request For Payment Submitted				CDBG Checks Received			Collections, Refunds			Disbursements			Balance of Federal Cash on Hand		
1	2	3	4	5	6	7	8	9	10	11	12	13	14	15	
Related to CDBG Payment Request # ("Draw" #)	Date of Request	Amount of Request	Cumulative Requests to Date	Date of Deposit	Amount of Deposit	Cumulative Receipts to Date	Date	Deposit or Check Amt	Cumulative Amt to Date	Date	Amount	Cumulative Amt to Date	Date	Amount	
SAMPLE 1	5/5/2017	\$	200,000.00	6/22/2017	\$	200,000.00							5/5/2017	\$	-
								\$	-	6/27/2017	\$	50,000.00	6/27/2017	\$	200,000.00
										6/28/2017	\$	30,000.00	6/28/2017	\$	150,000.00
										6/28/2017	\$	30,000.00	6/28/2017	\$	120,000.00
SAMPLE 2	5/5/2017	\$	200,000.00	6/15/2017	\$	200,000.00	7/30/2017	\$	2,000.00	6/27/2017	\$	200,000.00	6/27/2017	\$	-
										6/28/2017	\$	200,000.00	6/28/2017	\$	20,000.00
										7/30/2017	\$	200,000.00	7/30/2017	\$	20,000.00
										6/27/2017	\$	200,000.00	6/27/2017	\$	-
										6/28/2017	\$	200,000.00	6/28/2017	\$	20,000.00
1		\$	-		\$	-		\$	-				TBD	\$	-
													TBD	\$	-
													TBD	\$	-
											\$	-	TBD	\$	-
											\$	-	TBD	\$	-
											\$	-	TBD	\$	-
											\$	-	TBD	\$	-
2		\$	-		\$	-		\$	-				TBD	\$	-
													TBD	\$	-
													TBD	\$	-
											\$	-	TBD	\$	-
											\$	-	TBD	\$	-
											\$	-	TBD	\$	-
											\$	-	TBD	\$	-

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Division of Energy, Housing and Community Resources
Cash Control Register

A. NAME OF UGL: Village of Conway Springs
B. DEHOR GRANT AGREEMENT #: PF 17-99

Request For Payment Submitted				CDBG Checks Received			Collections, Refunds			Disbursements			Balance of Federal Cash on Hand	
1	2	3	4	5	6	7	8	9	10	11	12	13	14	15
Related to CDBG Payment Request # ("Draw" #)	Date of Request	Amount of Request	Cumulative Requests to Date	Date of Deposit	Amount of Deposit	Cumulative Receipts to Date	Date	Deposit or Check Amt	Cumulative Amt to Date	Date	Amount	Cumulative Amt to Date	Date	Amount
1	7/31/2016	\$100,000.00	\$100,000.00										7/31/2016	\$0.00
2										8/2/2016	\$100,000.00	\$100,000.00	8/2/2016	\$100,000.00
3										8/11/2016	\$50,000.00	\$150,000.00	8/12/2016	\$100,000.00
4										8/12/2016	\$100,000.00	\$250,000.00	8/12/2016	\$0.00
5														
6														
7														
8	11/30/2016	\$275,000.00	\$475,000.00	12/12/2016	\$275,000.00	\$475,000.00				12/14/2016	\$275,000.00	\$475,000.00	12/14/2016	\$0.00
9														
10														
11														
12														
13	12/16/2016	\$50,000.00	\$475,000.00										12/16/2016	\$0.00
14							12/30/2016	\$2,000.00	\$2,000.00	12/26/2016	Correction: (\$1,000.00)	\$473,000.00	12/26/2016	\$1,000.00
15				1/9/2017	\$50,000.00	\$475,000.00				1/9/2017	\$50,000.00	\$473,000.00	1/9/2017	\$52,000.00
16													1/9/2017	\$2,000.00

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CDBG DISBURSEMENTS JOURNAL

Division of Energy, Housing and Community Resources

CDBG Disbursements Journal

A. NAME OF UGLG:

<Provide UGLG's Name Here>

B. DEHCR GRANT AGREEMENT #:

<Provide Grant Agreement # Here>

							CDBG-Funded Activities & Payments				
							CDBG Contract Amount: \$0.00				
							TOTAL				
1	2	3	4	5	6	7	8	9	10	11	12
Related to CDBG Payment Request # ("Draw" #)	Date of Invoice	Amount of Invoice	Payee and Invoice or Voucher Number	Date of Payment	Check Number	Check Amount (TOTAL)	Check Amount PAID WITH CDBG Funds	<ACTIVITY NAME> \$0.00	<ACTIVITY NAME> \$0.00	<ACTIVITY NAME> \$0.00	Grant Admin. \$0.00
								TOTAL	TOTAL	TOTAL	TOTAL
0						\$ -		\$ -	\$ -	\$ -	\$ -
0						\$ -		\$ -	\$ -	\$ -	\$ -
0						\$ -		\$ -	\$ -	\$ -	\$ -
0						\$ -		\$ -	\$ -	\$ -	\$ -
0						\$ -		\$ -	\$ -	\$ -	\$ -
0						\$ -		\$ -	\$ -	\$ -	\$ -

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EXAMPLE BUDGET

ATTACHMENT B

BUDGET

In the event of conflict between the application and/or other supporting documents previously submitted to the Department by the Grantee, provisions of the Agreement, shall take precedence.

Activity	Award Amount	Match Amount	Total
Water Tower	\$200,000.00	\$200,000.00	\$400,000.00
Water Mains	\$200,000.00	\$200,000.00	\$400,000.00
Streets & Curb/Gutter	\$90,000.00	\$0	\$90,000.00
Engineering	\$0	\$80,000.00	\$80,000.00
Grant Administration	\$10,000.00	\$20,000.00	\$30,000.00
Total(s)	\$500,000.00	\$500,000.00	\$1,000,000.00
Funding Ratio	50%	50%	100%

CDBG Activity funds and CDBG Administration funds expended through this Agreement shall not exceed the total amount listed by category. In no case, shall funds expended under this Agreement exceed the total shown in the Budget table. Activity funds and Administrative funds are not transferable between categories.

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Division of Energy, Housing and Community Resources

CDBG Disbursements Journal

A. NAME OF UGLG:

Village of Conway Springs

B. DEHCR GRANT AGREEMENT #:

CDBG-PF 17-99

CDBG-Funded Activities & Payments											
CDBG Contract Amount: \$500,000.00											
TOTAL											
1	2	3	4	5	6	7	8	9	10	11	12
Related to CDBG Payment Request # ("Draw" #)	Date of Invoice	Amount of Invoice	Payee and Invoice or Voucher Number	Date of Payment	Check Number	Check Amount (TOTAL)	Check Amount PAID WITH CDBG Funds	Water Tower \$200,000.00 TOTAL	Water Mains \$200,000.00 TOTAL	Streets, Curb & Gutter \$90,000.00 TOTAL	Grant Admin. \$10,000.00 TOTAL
1	7/11/2016	\$50,000.00	ACME Construction (Invoice #16-491)	8/10/2016	1001	\$50,000.00	\$50,000.00	\$25,000.00	\$5,000.00	\$0.00	\$0.00
2	7/13/2016	\$40,000.00	Water Tower Constructors, Inc. (Invoice #079) – SPLIT PAYMENT	8/11/2016	1002	\$20,000.00	\$20,000.00	\$20,000.00	\$0.00	\$0.00	\$0.00
3	7/15/2016	\$200,000.00	Water Tower Constructors, Inc. (Invoice #090) – SPLIT PAYMENT	8/12/2016	1003	\$100,000.00	\$100,000.00	\$100,000.00	\$0.00	\$0.00	\$0.00
			TOTAL PAYMENTS THIS PAY REQUEST				\$150,000.00	\$145,000.00	\$5,000.00	\$0.00	\$0.00
			TOTAL PAYMENTS TO DATE				\$150,000.00	\$145,000.00	\$5,000.00	\$0.00	\$0.00
			GRANT BALANCE AVAILABLE				\$350,000.00	\$55,000.00	\$195,000.00	\$90,000.00	\$10,000.00
			FEDERAL CASH ON HAND				\$0.00	\$0.00	\$0.00	\$0.00	\$0.00
8	11/4/2016	\$60,000.00	Water Tower Constructors, Inc. (Invoice #091) – SPLIT PAYMENT (Village reimbursed 12/14/16 via EST)	12/1/2016	1004	\$30,000.00	\$30,000.00	\$30,000.00	\$0.00	\$0.00	\$0.00
9	11/8/2016	\$50,000.00	Water Tower Constructors, Inc. (Invoice #096) – SPLIT PAYMENT	12/14/2016	1004	\$25,000.00	\$25,000.00	\$25,000.00	\$0.00	\$0.00	\$0.00
10	11/11/2016	\$220,000.00	ACME Construction (Invoice #16-492)	12/14/2016	1005	\$220,000.00	\$220,000.00	\$0.00	\$195,000.00	\$25,000.00	\$0.00
			TOTAL PAYMENTS THIS PAY REQUEST				\$275,000.00	\$55,000.00	\$195,000.00	\$25,000.00	\$0.00
			TOTAL PAYMENTS TO DATE				\$425,000.00	\$200,000.00	\$200,000.00	\$25,000.00	\$0.00
			GRANT BALANCE AVAILABLE				\$75,000.00	\$0.00	\$0.00	\$65,000.00	\$10,000.00
			FEDERAL CASH ON HAND				\$0.00	\$0.00	\$0.00	\$0.00	\$0.00
* Indicates CDBG costs incurred that were initially paid with local (Village) funds, for which the Village will seek reimbursement from CDBG funding.											

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CDBG-Funded Activities & Payments											
CDBG Contract Amount: \$500,000.00											
TOTAL											
1	2	3	4	5	6	7	8	9	10	11	12
Related to CDBG Payment Request # ("Draw" #)	Date of Invoice	Amount of Invoice	Payee and Invoice or Voucher Number	Date of Payment	Check Number	Check Amount (TOTAL)	Check Amount PAID WITH CDBG Funds	Water Tower \$200,000.00 TOTAL	Water Mains \$200,000.00 TOTAL	Streets, Curb & Gutter \$90,000.00 TOTAL	Grant Admin. \$10,000.00 TOTAL
15	1	7/11/2016	ACME Construction (Invoice #16-491) – CORRECTION	12/20/2016	CORRECTION (Refund Deposit)	(\$2,000.00)	(\$2,000.00)	\$0.00	(\$2,000.00)	\$0.00	\$0.00
			TOTAL PAYMENTS THIS PAY REQUEST				(\$2,000.00)	\$0.00	(\$2,000.00)	\$0.00	\$0.00
			TOTAL PAYMENTS TO DATE				\$423,000.00	\$200,000.00	\$198,000.00	\$25,000.00	\$0.00
			GRANT BALANCE AVAILABLE				\$77,000.00	\$0.00	\$2,000.00	\$65,000.00	\$10,000.00
			FEDERAL CASH ON HAND				\$0.00	\$0.00	\$2,000.00	\$0.00	\$0.00
20	3	12/9/2016	ACME Construction (Invoice #16-495)	1/9/2017	1006	\$45,000.00	\$45,000.00	\$0.00	\$0.00	\$45,000.00	\$0.00
21	3	12/9/2016	Mary Smith Engineering Associates (Invoice #20415)	1/9/2017	1007	\$5,000.00	\$5,000.00	\$0.00	\$0.00	\$0.00	\$5,000.00
			TOTAL PAYMENTS THIS PAY REQUEST				\$50,000.00	\$0.00	\$0.00	\$45,000.00	\$5,000.00
			TOTAL PAYMENTS TO DATE				\$473,000.00	\$200,000.00	\$198,000.00	\$70,000.00	\$5,000.00
			GRANT BALANCE AVAILABLE				\$25,000.00	\$0.00	\$0.00	\$20,000.00	\$5,000.00
			FEDERAL CASH ON HAND				\$0.00	\$0.00	\$2,000.00	\$0.00	\$0.00

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MATCHING FUNDS JOURNAL

Division of Energy, Housing and Community Resources

Matching Funds Journal

A. NAME OF UGLG:

<Provide UGLG's Name Here>

B. DEHOR GRANT AGREEMENT #:

<Provide Grant Agreement # Here>

							Match-Funded Activities & Payments						
							Matching Funds Contract Amount: \$0.00						
							TOTAL						
1	2	3	4	5	6	7	8	9	10	11	12	13	14
Related to CDBG Payment Request # ("Draw") #	Date of Invoice	Amount of Invoice	Payee and Invoice or Voucher Number	Date of Payment	Check Number	Check Amount (TOTAL)	PAID WITH MATCH Funds	Engineering (Match ONLY) \$0.00 TOTAL	Grant Admin. \$0.00 TOTAL	<ACTIVITY NAME> \$0.00 TOTAL	<ACTIVITY NAME> \$0.00 TOTAL	<ACTIVITY NAME> \$0.00 TOTAL	<ACTIVITY NAME> \$0.00 TOTAL
0		\$ -				\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
0		\$ -				\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
0		\$ -				\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
0		\$ -				\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
0		\$ -				\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
0		\$ -				\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
0		\$ -				\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
0		\$ -				\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
0		\$ -				\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -

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EXAMPLE BUDGET

ATTACHMENT B

BUDGET

In the event of conflict between the application and/or other supporting documents previously submitted to the Department by the Grantee, provisions of the Agreement, shall take precedence.

Activity	Award Amount	Match Amount	Total
Water Tower	\$200,000.00	\$200,000.00	\$400,000.00
Water Mains	\$200,000.00	\$200,000.00	\$400,000.00
Streets & Curb/Gutter	\$90,000.00	\$0	\$90,000.00
Engineering	\$0	\$80,000.00	\$80,000.00
Grant Administration	\$10,000.00	\$20,000.00	\$30,000.00
Total(s)	\$500,000.00	\$500,000.00	\$1,000,000.00
Funding Ratio	50%	50%	100%

CDBG Activity funds and CDBG Administration funds expended through this Agreement shall not exceed the total amount listed by category. In no case, shall funds expended under this Agreement exceed the total shown in the Budget table. Activity funds and Administrative funds are not transferable between categories.

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Division of Energy, Housing and Community Resources													
Matching Funds Journal													
A. NAME OF UGLG:													
Village of Conway Springs													
B. DEHCR GRANT AGREEMENT #:													
CDBG-PF 17-99													
Match-Funded Activities & Payments													
Matching Funds Contract Amount: \$500,000.00													
TOTAL													
1	2	3	4	5	6	7	8	9	10	11	12	13	14
Related to CDBG Payment Request # ("Draw") #	Date of Invoice	Amount of Invoice	Payee and Invoice or Voucher Number	Date of Payment	Check Number	Check Amount (TOTAL)	Check Amount PAID WITH MATCH Funds	Water Tower \$200,000.00	Water Mains \$200,000.00	Engineering (Match ONLY) \$80,000.00	Grant Admin. \$20,000.00	ACTIVITY NAME \$0.00	ACTIVITY NAME \$0.00
							TOTAL	TOTAL	TOTAL	TOTAL	TOTAL	TOTAL	TOTAL
1	1	1/6/2016	\$15.00 Over Blank - optional service charge for having a checking account at the bank	1/5/2016	AW	\$15.00	\$15.00	\$0.00	\$0.00	\$0.00	\$0.00	\$15.00	\$ -
2	1	2/13/2016	\$40,000.00 Water Tower Constructors, Inc. (Invoice #079) - SPLIT PAYMENT	8/11/2016	7032	\$20,000.00	\$20,000.00	\$20,000.00	\$0.00	\$0.00	\$0.00	\$0.00	\$ -
3	1	2/13/2016	\$200,000.00 Water Tower Constructors, Inc. (Invoice #080) - SPLIT PAYMENT	8/11/2016	7033	\$100,000.00	\$0.00	\$100,000.00	\$0.00	\$0.00	\$0.00	\$0.00	\$ -
4			\$100,000.00 Water Tower Constructors, Inc. (Invoice #080) - SPLIT PAYMENT			\$100,000.00	\$100,000.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$ -
5			TOTAL PAYMENTS TO DATE			\$120,015.00	\$120,015.00	\$120,000.00	\$0.00	\$0.00	\$15.00	\$ -	\$ -
6			REMAINING MATCH OBLIGATION			\$379,985.00	\$0.00	\$0.00	\$200,000.00	\$80,000.00	\$19,985.00	\$ -	\$ -
7													
8	2	11/8/2016	\$60,000.00 Water Tower Constructors, Inc. (Invoice #091) - SPLIT PAYMENT	12/1/2016	7034	\$30,000.00	\$30,000.00	\$30,000.00	\$0.00	\$0.00	\$0.00	\$0.00	\$ -
9	2	11/8/2016	\$60,000.00 Water Tower Constructors, Inc. (Invoice #098) - SPLIT PAYMENT	12/1/2016	7036	\$25,000.00	\$25,000.00	\$25,000.00	\$0.00	\$0.00	\$0.00	\$0.00	\$ -
10	2	11/30/2016	\$25,000.00 Water Tower Constructors, Inc. (Invoice #100)	12/29/2016	7036	\$25,000.00	\$25,000.00	\$25,000.00	\$0.00	\$0.00	\$0.00	\$0.00	\$ -
11	2	11/30/2016	\$40,000.00 Mary Smith Engineering Associates (Invoice #20407)	12/29/2016	7037	\$40,000.00	\$40,000.00	\$0.00	\$0.00	\$40,000.00	\$0.00	\$0.00	\$ -
12			TOTAL PAYMENTS THIS PAY REQUEST			\$120,000.00	\$0.00	\$0.00	\$0.00	\$40,000.00	\$0.00	\$ -	\$ -
13			TOTAL PAYMENTS TO DATE			\$240,015.00	\$240,015.00	\$240,000.00	\$0.00	\$40,000.00	\$15.00	\$ -	\$ -
14			REMAINING MATCH OBLIGATION			\$259,985.00	\$0.00	\$0.00	\$200,000.00	\$40,000.00	\$19,985.00	\$ -	\$ -
15													

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MATCHING FUNDS JOURNAL													
Match-Funded Activities & Payments													
Matching Funds Contract Amount: \$500,000.00													
TOTAL													
1	2	3	4	5	6	7	8	9	10	11	12	13	14
Related to CDBG Payment Request # ("Draw") #	Date of Invoice	Amount of Invoice	Payee and Invoice or Voucher Number	Date of Payment	Check Number	Check Amount (TOTAL)	Check Amount PAID WITH MATCH Funds	Water Tower \$200,000.00	Water Mains \$200,000.00	Engineering (Match ONLY) \$80,000.00	Grant Admin. \$20,000.00	ACTIVITY NAME \$0.00	ACTIVITY NAME \$0.00
							TOTAL	TOTAL	TOTAL	TOTAL	TOTAL	TOTAL	TOTAL
25	4	8/1/2017	\$30,000.00 ACME Construction (Invoice #16-500)	9/1/2017	7042	\$30,000.00	\$30,000.00	\$0.00	\$30,000.00	\$0.00	\$0.00	\$0.00	\$ -
26	4	8/1/2017	\$30,000.00 ACME Construction (Invoice #16-501)	9/1/2017	7043	\$30,000.00	\$30,000.00	\$0.00	\$30,000.00	\$0.00	\$0.00	\$0.00	\$ -
27	4	8/1/2017	\$10,000.00 Mary Smith Engineering Associates (Invoice #20425)	9/1/2017	7044	\$10,000.00	\$10,000.00	\$0.00	\$0.00	\$0.00	\$10,000.00	\$ -	\$ -
28	4	8/1/2017	\$7,485.00 Mary Smith Engineering Associates (Invoice #20432)	9/1/2017	7045	\$7,485.00	\$7,485.00	\$0.00	\$0.00	\$0.00	\$7,485.00	\$ -	\$ -
29			TOTAL PAYMENTS THIS PAY REQUEST			\$177,485.00	\$0.00	\$0.00	\$100,000.00	\$0.00	\$17,485.00	\$ -	\$ -
30			TOTAL PAYMENTS TO DATE			\$417,500.00	\$417,500.00	\$417,000.00	\$300,000.00	\$140,000.00	\$26,000.00	\$ -	\$ -
31			REMAINING MATCH OBLIGATION			\$82,515.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$ -	\$ -
32													
33													



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INVOICES & MULTIPLE FUNDING STREAMS

A. NAME OF UGLG
Village of Yourville

B. DEHCR GRANT AGREEMENT#
PF 16-99

CDBG-Funded Activities & Payments											
CDBG Contract Amount: \$500,000.00											
1	2	3	4	5	6	7	8	9	10	11	12
Related to CDBG Payment Request # ("Draw #")	Date of Invoice	Amount of Invoice	Payee, and Invoice or Voucher Number	Date of Payment	Check Number	Check Amount (TOTAL)	Check Amount PAID WITH CDBG Funds	Water Tower	Water Mains	Streets Curb/Gutter	Grant Admin.
1	07/13/16	\$40,000.00	Water Tower Constructors, Inc. (Invoice #079) – SPLIT PAYMENT	08/11/16	7632	\$20,000.00	\$20,000.00	\$20,000.00	\$0.00	\$0.00	\$0.00
2	07/15/16	\$200,000.00	Water Tower Constructors, Inc. (Invoice #080) – SPLIT PAYMENT	08/12/16	7633	\$100,000.00	\$100,000.00	\$0.00	\$0.00	\$0.00	\$0.00
3	07/15/16	\$200,000.00	Water Tower Constructors, Inc. (Invoice #080) – SPLIT PAYMENT	08/12/16	7633	\$100,000.00	\$100,000.00	\$0.00	\$0.00	\$0.00	\$0.00
4								\$120,000.00	\$120,000.00	\$0.00	\$0.00

A. NAME OF UGLG
Village of Yourville

B. DEHCR GRANT AGREEMENT#
PF 16-99

Match-Funded Activities & Payments																
Matching Funds Contract Amount: \$500,000.00																
1	2	3	4	5	6	7	13	14	15	16	17					
Related to CDBG Payment Request # ("Draw #")	Date of Invoice	Amount of Invoice	Payee, and Invoice or Voucher Number	Date of Payment	Check Number	Check Amount (TOTAL)	Check Amount PAID WITH MATCH Funds	Water Tower	Water Mains	Engineering (Match Only)	Grant Admin.					
1	07/13/16	\$40,000.00	Water Tower Constructors, Inc. (Invoice #079) – SPLIT PAYMENT	08/11/16	7632	\$20,000.00	\$20,000.00	\$20,000.00	\$0.00	\$0.00	\$0.00					
2	07/15/16	\$200,000.00	Water Tower Constructors, Inc. (Invoice #080) – SPLIT PAYMENT	08/12/16	7633	\$100,000.00	\$100,000.00	\$0.00	\$0.00	\$0.00	\$0.00					
3	07/15/16	\$200,000.00	Water Tower Constructors, Inc. (Invoice #080) – SPLIT PAYMENT	08/12/16	7633	\$100,000.00	\$100,000.00	\$0.00	\$0.00	\$0.00	\$0.00					
4								\$120,000.00	\$120,000.00	\$0.00	\$0.00					

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INVOICES & MULTIPLE FUNDING STREAMS

INVOICE

Date: July 13, 2016
Invoice # 079

Water Tower Constructors, Inc.
505 Main Street
Hometown, WI 53604
(414) 223 - 8914
Fax (414) 223 - 8915
CustomerService@WTC.com

TO: Village of Yourville
c/o Village President
123 Lincoln Avenue
Yourville, WI 52728
(715) 529 - 4563
Customer ID WTC000183

SHIP TO: Village of Yourville
c/o Village President
123 Lincoln Avenue
Yourville, WI 52728
(715) 529 - 4563
Customer ID WTC000183

SALESPERSON	JOB	SHIPPING METHOD	SHIPPING TERMS	DELIVERY DATE	PAYMENT TERMS	DUE DATE
Jero M. Plo-Yee				07/13/16	Due on Receipt	10/13/16

QUANTITY	ITEM #	DESCRIPTION	UNIT PRICE	DISCOUNT	LINE TOTAL
		Materials & Labor	\$35,914.69	\$2,000.00	\$37,914.69
Total Discount					\$2,000.00
Subtotal					\$37,914.69
Sales Tax					2,085.31
Total					\$40,000.00

CDBG Expenses = \$20,000
Match Expenses = \$20,000
Ineligible Costs = \$0
TOTAL: \$40,000

THANK YOU FOR YOUR BUSINESS

DEPARTMENT OF ADMINISTRATION

If multiple fund sources are being used to pay an invoice, make sure to breakdown the costs (which should support the journal entries):

- CDBG-Eligible Costs,
- Match-Eligible Costs, and
- Ineligible Project Costs (if applicable)

Invoices must support the journal entries:

- Total(s)
- Invoice Dates
- Invoice Numbers
- Eligible Expenses/Services

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QUESTIONS?

Email: DOACDBG@Wisconsin.gov



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CHAPTER 9: REPORTING (CONTINUED)

ANNUAL SINGLE AUDIT

DEHCR – BUREAU OF COMMUNITY DEVELOPMENT



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OFFICE OF MANAGEMENT AND BUDGET (OMB) GUIDANCE: UNIFORM ADMINISTRATIVE REQUIREMENTS, COST PRINCIPLES, AND AUDIT REQUIREMENTS FOR FEDERAL AWARDS [2 CFR 200]

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

- The UGLG is responsible for submission of its Single Audit Statement (and Report if required) 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 requirements



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FEDERAL LAW REQUIRES THAT UGLGS WITH...

- **\$750,000 or greater in federal expenditures**
 - Non-Federal entities that expend a total amount of federal awards of \$750,000 or greater whether received directly from federal awarding agencies or indirectly from pass through entities in any fiscal year must have a single audit
- **Less than \$750,000 in federal expenditures**
 - Non-Federal entities that expend a total amount of federal awards of less than \$750,000 whether received directly from federal awarding agencies or indirectly from pass through entities in any fiscal year are exempt for such fiscal year from compliance with the audit requirements of 2 CFR 200



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TOTAL OF ALL FEDERAL FUNDS
EXPENDED BY UGLG IN FISCAL YEAR

Audit
Required

\$750,000
or more

Less than
\$750,000

Audit
NOT
Required



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SINGLE AUDIT STATEMENTS

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

PLACE THE FOLLOWING ON THE UGLG'S LETTERHEAD

SINGLE AUDIT STATEMENT (AUDIT REQUIRED)

DEHCR Project Representative
Division of Energy, Housing and Community Resources
Bureau of Community Development
Wisconsin Department of Administration
P.O. Box 7970
Madison, WI 53707-7970

I hereby attest, under penalties of perjury, that during the calendar year ending, December 31, 20____ (UGLG name) has expended more than \$750,000 in total federal funds and will comply with the federal Single Audit Act and the requirements of Uniform Guidance 2 CFR 200.

(Signature of Chief Elected Official)

(Typed Name)

(Typed Title)

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

PLACE THE FOLLOWING ON THE UGLG'S LETTERHEAD

SINGLE AUDIT STATEMENT (AUDIT NOT REQUIRED)

DEHCR Project Representative
Division of Energy, Housing and Community Resources
Bureau of Community Development
Wisconsin Department of Administration
P.O. Box 7970
Madison, WI 53707-7970

I hereby attest, under penalties of perjury, that during the calendar year ending, December 31, 20____ (UGLG name):
1. Has expended less than \$750,000 in total federal funds and, therefore, is not required to submit an audit which meets the Federal Single Audit Act and the requirements of Uniform Guidance 2 CFR 200.
2. Has expended the following amount(s) of federal funds, including funds received from the Wisconsin Department of Administration, Division of Energy, Housing and Community Resources or any other source:

CFDA #	GRANT CONTRACT #	SOURCE AGENCY	AMOUNT EXPENDED
_____	_____	_____	_____
_____	_____	_____	_____
_____	_____	_____	_____

(Signature of Chief Elected Official)

(Typed Name)

(Typed Title)

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EXAMPLE OF SINGLE AUDIT STATEMENT (AUDIT NOT REQUIRED)

Statement must:

- Be placed on UGLG’s letterhead
- Be signed by UGLG’s CEO
- List all federal funds expended during the calendar year

DEHCR Project Representative
Wisconsin Department of Administration
Division of Energy, Housing and Community Resources
Bureau of Community Development, 6th Floor
P.O. Box 7970
Madison, WI 53707-7970

I hereby attest, under penalties of perjury, that during the calendar year ending, December 31, 2018, the Village of Lebanon:

3. Has expended **less than \$750,000** in total federal funds and, therefore, is not required to submit an audit which meets the Federal Single Audit Act and the requirements of Uniform Guidance 2 CFR 200.

4. Has expended the following amount(s) of federal funds, including funds received from the Wisconsin Department of Administration, Division of Energy, Housing and Community Resources or any other source.

CFDA #	GRANT CONTRACT #	SOURCE AGENCY	AMOUNT EXPENDED
14.228	CDBG PF 17-67	CDBG PF	\$150,000
14.268	CDBG Housing 17-48	CDBG Housing	\$75,000
66.468	DNR	DNR-SDWLP	\$50,000
66.458	DNR	CDBG-CNFP	\$50,000

Sam Winchester (Signature of Chief Elected Official)

Sam Winchester (Typed Name)

President, Village of Lebanon (Typed Title)


*The CFDA # for all CDBG projects is 14.228

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SINGLE AUDIT DOCUMENT SUBMISSION

- Annual Single Audit Statement (All UGLGs)
 - Due January 15th
 - Send to assigned DEHCR Project Representative
- Annual Single Audit Report (UGLGs Expending >\$750,000)
 - Due September 25th, three (3) months from end of state fiscal year
 - Send full report to the Federal Clearinghouse (see Ch. 9)
 - Send copy of the management letter to assigned DEHCR Project Representative



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HELPFUL WEBSITES

- Uniform Guidance 2 CFR Subpart F

<https://www.gpo.gov/fdsys/pkg/CFR-2014-title2-vol1/pdf/CFR-2014-title2-vol1-part200.pdf>

- Uniform Guidance 2 CFR 200 Compliance Supplement (Compliance Supplement)

[https://www.whitehouse.gov/sites/whitehouse.gov/files/omb/assets/OMB/circulars/a133compliance/2016/2016 compliance supplement.pdf](https://www.whitehouse.gov/sites/whitehouse.gov/files/omb/assets/OMB/circulars/a133compliance/2016/2016%20compliance%20supplement.pdf)

- Single State Audit Guidelines

<http://doa.wi.gov/Divisions/Budget-and-Finance/Financial-Reporting/State-Single-Audit-Guidelines>



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QUESTIONS?

Email: DOACDBG@Wisconsin.gov



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CHAPTER 5: ACQUISITION & RELOCATION

DEHCR – BUREAU OF COMMUNITY DEVELOPMENT



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ACQUISITION & RELOCATION

- Federal Uniform Relocation Assistance and Real Property Acquisition Policies Act of 1970, as amended (URA)
- §104(d) of the Housing and Community Development Act of 1974, as amended
- State requirements
 - Ch. 32, Wis. Stats. (Eminent Domain)
 - Adm. Code Ch. 92, (Relocation Assistance)



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URA APPLICABILITY

- Publicly funded projects
- Real property
 - Acquisition (includes easements)
 - Rehabilitation
 - Demolition
- Displaced persons (persons/businesses/personal property)



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URA OBJECTIVES

- Expeditious acquisition
- Uniform treatment
- Efficient, cost effective implementation



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RELEVANT LAWS & REGULATIONS

- 42 U.S.C. ch. 61 - Uniform Relocation Assistance and Real Property Acquisition Policies Act (URA) of 1970, as amended
- 49 CFR Part 24 – Uniform Relocation Assistance and Real Property Acquisition for Federal and Federally-assisted Programs (FHWA)
- Section 104(d) of the Housing and Community Development Act of 1974 (Barney Frank)
- 24 CFR Part 570 – Community Development Block Grants (HUD)
- Wis. Stat. Ch. 32: Eminent Domain
- Wis. Admin. Code Ch. 92: Relocation Assistance

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TYPES OF ACQUISITION

- Voluntary
 - No threat of eminent domain (condemnation)
 - A property owner's willingness to cooperate with the acquisition does not constitute voluntary acquisition!
- Involuntary
 - Use of eminent domain (condemnation)
- Easements
 - Temporary
 - Permanent



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VOLUNTARY ACQUISITION

All of the following must be true to qualify as “Voluntary”:

- No specific site is needed and any of several properties could be acquired for project purposes
AND
- The property is not part of an intended, planned or designated project area where other properties will be acquired within specific time limits
AND
- The agency informs owner in writing that the property will not be acquired, through condemnation, if negotiations do not reach an amicable agreement
AND
- The agency informs the owner in writing of the property's market value

Displaced tenants MUST be provided notice of relocation rights and relocation assistance (cannot waive rights). Owners do not qualify for relocation assistance under Voluntary Acquisition.

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INVOLUNTARY ACQUISITION

Involuntary Acquisition Determination:

- All other acquisitions that don't meet all of the requirements for voluntary acquisition
- Trigger full URA requirements

Displaced owners and/or tenants MUST be given notice of relocation rights and be provided relocation assistance (cannot waive rights).



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EASEMENTS

- Definition
 - The right to use the real property of another for a specific purpose without profit
- Temporary
 - Easements granted for a specific period of time
 - Subject to URA Acquisition Requirements
 - Exception: Sole benefit of the owner
 - Draft Letter to DEHCR Project Representative
- Permanent
 - Easements attached to a deed and continue to affect the land through subsequent changes in ownership
 - Always subject to URA Acquisition Requirements

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ACQUISITION PROCESSES

Voluntary Acquisition Process:
Attachment 5-C

Involuntary Acquisition Process:
Attachment 5-D

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ACQUISITION PROCESSES OVERVIEW

- Planning
- Notice to DEHCR Project Rep.
- Relocation Order/Determination of Necessity of Taking (if applicable)
- Relocation Plan (if applicable)
- Notice to Owner
- Appraisals/Determination of Fair Market Value
- Invitation/Offer to Owner
- Offer of Just Compensation (if applicable)
- Negotiations
- Administrative Settlement (if necessary)
- Summary Statement & Written Jurisdictional Offer to Purchase (if necessary)
- Purchase/Acquisition Transaction
- Maintain All Records

Requirements and sequence for items above will vary based on type of acquisition and applicable activities.

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PLANNING

- Determine type of acquisition
- Determine acquisition/relocation needs
- Consult/contract with Legal/Acquisition/Relocation Professional(s) as necessary

Conflict of interest applies to acquisition and relocation



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NOTICE TO DEHCR

- Notify DEHCR Project Representative of acquisition
- Notify prior to start of construction (if known)
- On municipal letterhead and signed by the CEO, stating:
 - Type(s) of acquisition (acquisition, acquisition with relocation, permanent/temporary easements);
 - Location of acquisition(s) (with street address(es) and/or tax parcel ID #(s) if known);
 - Estimated timeframe for acquisition; and
 - Name and contact information of UGLG's contact person for acquisition (mail, phone, email).

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RELOCATION ORDER/DETERMINATION OF NECESSITY OF TAKING

- State requirement
- Must issue prior to acquisition occurring
- Relocation Order required for any transportation facility or sewer project if relocation is involved
- Determination of Necessity of Taking required for any other type of project if relocation is involved



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RELOCATION PLAN

- State and Federal Requirement
- Must prepare Plan if relocation “may be necessary” for the project
- Sample Plan provided on DOA Relocation website
- Prior to Initiation of Negotiations, must submit Plan to and receive approval of Plan from DOA Division of Legal Services
 - *Submit copy of approved Plan and record of Legal Services’ approval to DEHCR.*



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NOTICE TO OWNER

- Manner of notice
 - Personally served - OR -
 - Sent by certified or registered first-class mail
- Plain, understandable language
- Types of Notices
 - General Information Notice
 - 90 Day Notice
 - Notice of Intent to Acquire
- Brochures
 - State (Required) and Federal/HUD (Optional)

Refer to Attachments
5-C & 5-D in Handbook



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APPRAISAL / DETERMINATION OF FMV

VOLUNTARY:

- Determination of Fair Market Value (FMV)
- Inform owner of FMV in Notice/Letter of Intent to Purchase
- Appraisal not required (owner may request appraisal)

INVOLUNTARY:

- Appraisals required before initiation of negotiations
- Appraisal Waiver allowed:
 - Under \$10,000
 - Between \$10,000 - \$25,000
 - Over \$25,000
- Waiver valuation
- Real property vs. personal property (itemize separately)
- Trade fixtures vs. fixtures (itemize separately)
- Appraisal review



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OFFER OF JUST COMPENSATION

VOLUNTARY:

- Not Required/Applicable

INVOLUNTARY:

- Before Initiation of Negotiations
- Cannot be less than the approved appraised Fair Market Value (FMV)
- Agency Official must establish the amount of Just Compensation



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NEGOTIATIONS

VOLUNTARY:

- **AFTER** Notice/Letter of Intent to Purchase

INVOLUNTARY:

- State requirement(s)
 - **BEFORE** Jurisdictional Offer to Purchase
- Federal requirement(s)
 - **AFTER** Written Offer of Just Compensation



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ADMINISTRATIVE SETTLEMENT

VOLUNTARY:

- Not Applicable

INVOLUNTARY:

- Federal requirement
- May be a result when purchase price exceeds UGLG’s estimate of just compensation
- Must submit proper documentation to DEHCR to justify and support decision for an administrative settlement
- Subject to DEHCR and HUD review



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SUMMARY STATEMENT & JURISDICTIONAL OFFER TO PURCHASE

VOLUNTARY:

- Not Required/Applicable

INVOLUNTARY:

- Amount offered
- Description and location of real property and interest in real property
- List of building(s), structure(s) and other improvements covered by offer
- List other separately held ownership interest in the property *not* covered by offer.



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PURCHASE/ACQUISITION TRANSACTION

VOLUNTARY:

- Record of Sale/Transaction including signed acceptance of sale (e.g. Purchase Agreement or similar record)
- Proof of Payment

INVOLUNTARY:

- State
 - Record of Sale/Transaction including signed acceptance of sale (e.g., Purchase Agreement or similar record)
 - Proof of Payment
- Federal
 - Executed/Signed Acceptance of Written Offer of Just Compensation/Summary Statement
 - Record of Sale/Transaction
 - Proof of Payment



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RELOCATION PROCESS

1. Plan

2. Give Notice to DEHCR

3. Submit Relocation Plan to and receive approval from DOA Division of Legal Services (submit approved Plan to DEHCR)

4. Give Notice of Relocation Rights

- No waiver when using federal funds

5. Provide relocation assistance and compensation

6. Ensure comparable property for relocation

7. Ensure replacement housing is decent, safe and sanitary

Attachments
5-F through 5-J
in Handbook

NOTE: WI allows up to 2 years from date of displacement to file claim for relocation expenses.

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RELOCATION PAYMENTS

■ Move expenses


■ Search expenses

■ Reestablishment expenses

■ Replacement housing payment

■ Replacement business payment

MUST ADHERE TO RELOCATION PAYMENT LIMITS
WHEN USING CDBG FUNDS TO COVER COSTS



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ACQUISITION & RELOCATION MONITORING AND RECORDKEEPING

Acquisition/Relocation Monitoring Checklist: Attachment 5-K in Handbook

[Required to be submitted to DEHCR at time of DEHCR's monitoring of project]



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CORRECTIVE ACTION

- Monitoring finding
- Type of corrective action
- Timeframe for corrective action

NOTE: Noncompliance with A&R requirements potentially can disqualify the entire CDBG project.



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APPEALS

- Acquisition appeal
 - Condemnation Commission process
- Relocation appeal
 - Agency must inform a displaced person before displacement of the person's right to appeal
 - How to appeal
 - To Displacing Agency
 - Agency must establish internal appeal procedure to resolve a complaint
 - To Department of Administration
 - Wis. Stat. s. 32.20



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HELPFUL WEBSITES

Federal:

- HUD

http://portal.hud.gov/hudportal/HUD?src=/program_offices/comm_planning/library/relocation

- FHWA

http://www.fhwa.dot.gov/real_estate/uniform_act/relocation/

Wisconsin/State:

- DOA

<https://doa.wi.gov/Pages/AboutDOA/RelocationAssistance.aspx>

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BROCHURES

Federal:

http://portal.hud.gov/hudportal/HUD?src=/program_offices/comm_planning/library/relocation/publications

Wisconsin/State:

<https://doa.wi.gov/Pages/AboutDOA/RelocationAssistance.aspx>



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ACQUISITION & RELOCATION SUMMARY QUESTIONS:

1. Who must be notified in DEHCR when Acquisition and/or Relocation is part of the CDBG project?
2. Do temporary easements require following URA requirements?
3. When must the State and federal landowner rights brochures be provided with notices for acquisition?
4. To which State agency and division is the Relocation Plan submitted for state-level approval?
5. Which form is provided to assist UGLGs with tracking A&R activities for the CDBG project?



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QUESTIONS?

Email: DOACDBG@Wisconsin.gov



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CHAPTER 7: LABOR STANDARDS

DEHCR – BUREAU OF COMMUNITY DEVELOPMENT



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FEDERAL LABOR STANDARDS APPLICABILITY

Davis-Bacon and Related Acts (DBRA)

- For CDBG and other federally funded construction projects
 - Construction, alteration, or repair of a public building or public work
- Projects with other funding sources – follow applicable rules and regulations for that program
- Does not apply to *Planning-Only* projects

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APPLICABILITY: EXCEPTIONS

- Force Account Work – completed by UGLG employees
 - Submit Force Account Affidavit (*Attachment 7-Q in Chapter 7 of CDBG Implementation Handbook*) to DEHCR Project Rep.

There is no such thing as private "force account" work.

- For CDBG reimbursement, include:
 - Employee name(s)
 - Hourly rate(s) (wages plus benefits)
 - Number of hours worked on CDBG project
 - Pay period(s)

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APPLICABILITY: EXCEPTIONS (CONTINUED)

- Residential rehabilitation in structures with fewer than 8 units
- Contract(s) that are part of a project <\$2,000 value



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APPLICABILITY: EXCEPTIONS (CONTINUED)

- Construction activities assisted solely by means of loans guaranteed with interest-bearing collateral accounts, where
 - a) the interest rate is standard and customary rate on demand accounts;
 - b) the account is subject to standard and customary terms and conditions for collateral accounts; and
 - c) there is no "substantial likelihood" that the guarantee will be used



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APPLICABILITY: EXCEPTIONS (CONTINUED)

- **Economic Development projects** where federal funds are used only for non-construction activities such as:
 - acquisition;
 - machinery and equipment purchase (not including installation);
 - stock (equity) purchase; and
 - operating capital loans where such funds cannot be used for construction



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IMPORTANT UPDATES FOR CDBG PROJECTS

- **Wisconsin Prevailing Wage Law**
 - Major changes effective 1/1/17
- **Must comply with federal, state and local labor standards and regulations**



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WORD OF WARNING

- Failure to comply could result in:
 - Loss of UGLG's awarded grant
 - Jeopardizes UGLG from obtaining future grants
 - Contractors being subject to fines, imprisonment, and/or debarment from future federally funded projects



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RELEVANT LAWS

DAVIS-BACON ACT

- Workers must be paid:
 - at least weekly
 - at least the federal wages for similar work in the locality
Federal wages per U.S. Department of Labor (USDOL) wage determinations
- Violation results in contractor being liable for unpaid wages, and potentially penalties, fines, suspension of payments, contract termination, and/or suspension or debarment

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RELEVANT LAWS (CONTINUED)

COPELAND "ANTI-KICKBACK" ACT

- Workers must be paid **without any deductions or rebates** except permissible deductions:
 - taxes, deductions the worker authorizes in writing, and those required by court processes
- Contractors must submit weekly payroll records and Statements of Compliance (certified payroll) to the contracting entity
- Violation is a felony and may result in termination of the contract or criminal prosecution by the U.S. Government, punishable by a fine, imprisonment, or both

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RELEVANT LAWS (CONTINUED)

CONTRACT WORK HOURS AND SAFETY STANDARDS ACT (CWHSSA)

- Workers must be paid 1 ½ times regular hourly pay rate after 40 hours worked in one week on CDBG/federally funded project(s)
 - Rate is 1 ½ times hourly base rate on wage determination or worker's normal pay rate, whichever is higher
- Applies to contracts >\$100,000
 - All subcontractors are included if prime contract is >\$100,000
 - For contracts ≤\$100,000, the Fair Labor Standards Act (FLSA) wage²³⁰ and overtime requirements apply.

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RELEVANT LAWS (CONTINUED)

CONTRACT WORK HOURS AND SAFETY STANDARDS ACT (CWHSSA)

- Contractor liable for unpaid wages, liquidated damages, fines, imprisonment, and/or debarment
 - Underpayment/wage restitution to employee – record of restitution and correction payroll maintained in project file
 - Liquidated damages penalty (\$27/day per underpaid employee, eff. 1/24/19)
 - Penalties and fines paid to federal government – may be waived*
**Waiver for liquidated damages >\$500 requires HUD/USDOL approval.*²³¹
- Violation may result in termination of the contract

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LABOR STANDARDS OFFICER DESIGNATION

- UGLG must act as Labor Standards Officer (LSO) unless a different person is appointed
- Submit *Labor Standards Officer Designee form (Attachment 7-C)* prior to or at the time of submitting *Record of Wage Decision Selection (Attachment 7-D)* to DEHCR



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LABOR STANDARDS OFFICER RESPONSIBILITIES

- Federal Wage Determination
- Wage Decision Modifications prior to bid opening
- Additional Labor Classifications
- Bid Notifications
- Contractor Eligibility Clearance
- Construction Contract Notifications
- Pre-Construction Conference
- Compliance Monitoring
- Compliance Enforcement



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FEDERAL WAGE DETERMINATION

- Obtain the federal Davis-Bacon wage decision(s)
- Obtain prior to advertising for construction bids and include full decision(s) in bid packet
- Complete and submit a *Record of Wage Decision Selection (Attachment 7-D)* to DEHCR
- Obtain again prior to bid opening and inform potential bidders of updates



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FEDERAL WAGE DETERMINATION (CONTINUED)

Modifications:

- Modified by USDOL on Fridays at 10:00 a.m.
- Must use the current wage rate(s) at time of bid opening for CDBG project and must inform potential bidders of any changes since bid advertisement

**Recommendation:
Do Not have bid opening on Friday*



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FEDERAL WAGE DETERMINATION (CONTINUED)

90-Day Rule:

If award contract >90 days after bid opening,
then must check wage determination again and
use most current modified decision
if it has been updated since bid opening.



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FEDERAL WAGE DETERMINATION (CONTINUED)

Failing to Obtain Correct Federal Wage Determination for Bidding Process:

- UGLG must correct error:
 - Obtain the correct wage decision(s)
 - Inform contractors they must pay those wage rates retroactively to the beginning of the project
 - Verify wage restitution/underpayments are made; and
 - May be forced to reimburse the contractor

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FEDERAL WAGE DETERMINATION (CONTINUED)

Use more than one determination if additional determination comprises more than 20% of project cost and/or costs \$1 million.

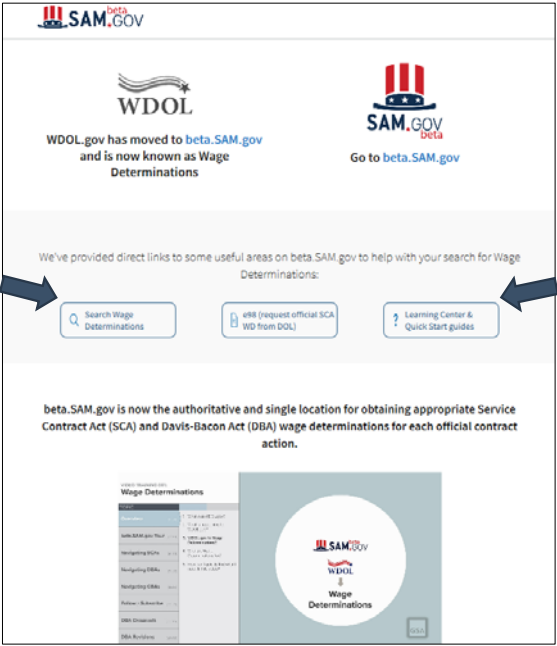
1. **Highway (WI10)** – Roads streets, highways, sidewalks, parking areas
2. **Heavy (WI8)** – Sewer & Water Lines and Tunnel
3. **Heavy (WI15)** – Excluding Tunnel, Sewer & Water Lines [*Catch-All*]
4. **Building (WI11)** – Sheltered enclosures for housing people, machinery, equipment or supplies
5. **Residential (WI20)** – Single family homes, apartment buildings ≤ 4 stories

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New USDOL
Wage Determination
Website

<https://wdolhome.sam.gov/>

Instructions
in Chapter 7 of Handbook



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FEDERAL WAGE DETERMINATION (CONTINUED)

Where
to
enter
search
criteria

Wage Determinations

Wage Determination Type

☒ Davis-Bacon Act (DBA)

☐ Service Contract Act (SCA)

☐ Collective Bargaining Agreement (CBA)

Location

Select State

Wisconsin

Select County/Independent City

Adams

DBA: Construction Type

Select Construction Type

Heavy

Status

☒ Active Only

Wage Determinations Search

The Wage Determination filters to the left ask a series of questions to determine if the best WD is available on the site. If any criteria such as a specific location is not present or the non-standard service does not strictly apply, please click [here](#) to submit an e98 form. Users should note that the only WDs applicable to a particular solicitation or contract are those that have been incorporated by the contracting officer in that contract action.

[DBA Rollover Crosswalk](#) or
[DBAs to be revised](#)

Search Results

Showing 1 - 2 of 2 results

Sort By Date Modified

Davis-Bacon Act WD #: **WI20190015**

State Wisconsin

County/ies Adams, Ashland, Barron, Bayfield, Brown, Buffalo, Burnett, Calumet, Chippewa, Clark, Columbia, Crawford, Dane, Dodge, Door, Douglas, Dunn, Eau Claire, Florence, Fond Du Lac, Forest, Grant, Green, Green Lake, Iowa, Iron, Jackson, Jefferson, Juneau, Kenosha, Kewaunee, La Crosse, Lafayette, Lanesade, Lincoln, Manitowish, Marathon, Marinette, Marquette.

Wage Determination

Modification # 4

Construction Type Heavy

Last Revised Date Aug 15, 2019

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FEDERAL WAGE DETERMINATION (CONTINUED)

Active/Current Determinations

WAGE DETERMINATIONS

Davis-Bacon Act WD # WI20190015

Modification # 4

Construction

History

Last Revised Date Aug 16, 2019

States and Counties

State Wisconsin

Counties Adams, Ashland, Barron, Bayfield, Brown, Buffalo, Burnett, Calumet, Chippewa, Clark, Columbia, Crawford, Dane, Dodge, Door, Douglas, Dunn, Eau Claire, Florence, Fond Du Lac, Forest, Grant, Green, Green Lake, Iron, Jackson, Jefferson, Lincoln, Manitowish, Marinette, Marquette, Menominee, Milwaukee, Monroe, Oconto, Oneida, Outagamie, Oshkosh, Pepin, Pierce, Polk, Portage, Price, Richland, Rock, St. Croix, Shawano, Sheboygan, St. Francis, Taylor, Trempealeau, Vernon, Vilas, Winnebago, Winona, Wood, and Wisconsin Statewide.

Document

General Decision Number: WI20190015 08/16/2019

Superseded General Decision Number: WI20190015

State: Wisconsin

Construction Type: Heavy

Counties: Wisconsin Statewide.

HEAVY CONSTRUCTION PROJECTS (Excluding Tunnel, Sewer, and Water Lines).

Inactive/Past Determinations

History

Aug 16, 2019 WI20190015 - Modification 4

Aug 15, 2019 WI20190015 - Modification 3

Jul 26, 2019 WI20190015 - Modification 2

May 17, 2019 WI20190015 - Modification 1

Feb 22, 2019 WI20190015 - Modification 0

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Federal Wage Determinations

Locations of the information needed.

General Decision Number: WI20190015 08/16/2019

Superseded General Decision Number: WI20190015

State: Wisconsin

Construction Type: Heavy

Counties: Wisconsin Statewide.

HEAVY CONSTRUCTION PROJECTS (Excluding Tunnel, Sewer, and Water Lines).

Note: Under Executive Order (EO) 13658, an hourly minimum wage of \$10.60 for calendar year 2019 applies to all contracts subject to the Davis-Bacon Act for which the contract is awarded (and any solicitation was issued) on or after January 1, 2015. If this contract is covered by the EO, the contractor must pay all workers in any classification listed on this wage determination at least \$10.60 per hour (or the applicable wage rate listed on this wage determination, if it is higher) for all hours spent performing on the contract in calendar year 2019. If this contract is covered by the EO and a classification considered necessary for performance of work on the contract does not appear on this wage determination, the contractor must pay workers in that classification at least the wage rate determined through the conformance process set forth in 29 CFR 5.5(a) (1) (ii) (or the EO minimum wage rate, if it is higher than the conformed wage rate). The EO minimum wage rate will be adjusted annually. Please note that this EO applies to the above-mentioned types of contracts entered into by the federal government that are subject to the Davis-Bacon Act itself, but it does not apply to contracts subject only to the Davis-Bacon Related Acts, including those set forth at 29 CFR 5.1(a) (2) - (60). Additional information on contractor requirements and worker protections under the EO is available at www.dol.gov/whd/govconcontracts.

Modification Number Publication Date

0 01/04/2019

1 02/22/2019

2 05/17/2019

3 07/26/2019

4 08/16/2019

LABORER CLASSIFICATIONS

GROUP 1: General Laborer: Tree Trimmer; Conduit Layer; Demolition and Mocking Laborer; Guard Rail, Fence, and Bridge Builder; Landscaper; Multiple Culvert Assemblers; Stone Handler; Bituminous Worker (Shoveler, Loader, and Utility Man); Batch Truck Dumper or Cement Handler; Bituminous Worker (Dumper, Ironer, Smoother and Tamper); Concrete Handler

GROUP 2: Air Tool Operator; Joint Saver and Filler (Pavement); Vibrator or Tamper Operator (Mechanical Hand Operated); Chain Saw Operator; Demolition Burning Torch Laborer

GROUP 3: Bituminous Worker (Paver and Lumper); Formsetter (Curb, Sidewalk and Pavement); Strike Off Man

GROUP 4: Line and Grade Specialist

GROUP 5: Blaster; powderman

GROUP 6: Flagperson; Traffic Control

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ADDITIONAL LABOR CLASSIFICATIONS

- Worker job classification not on applicable wage decision:
 - Complete *Additional Classification Report* form (*Attachment 7-E in Ch. 7 of Handbook*), Boxes 2 – 10
 - Submit to DEHCR
 - DEHCR submits to HUD (HUD submits to USDOL)
- HUD/USDOL will not review or respond to requests prior to the contract(s) being awarded.

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BID PACKET REQUIREMENTS

Notices in Bid Packets applicable to construction:

*Inclusion by reference only is **NOT** acceptable.*

- *Conflict of Interest Disclosure* form (*Attachment 3-B* – recommended form)
- *Conflict of Interest Clause* (*Attachment 3-C*)
- *Lobbying Certification* form (*Attachment 3-D*)
- *Disclosure of Lobbying Activities* form (*Attachment 3-E*) if applicable
- *Section 3 Contract Language Requirements* (*Attachment 6-B*)
- *Davis-Bacon and Related Acts (DBRA)* language (*Attachment 7-B*)
- *Federal Labor Standards Provisions* language (*HUD-4010*) (*Attachment 7-G*)
- Federal Davis-Bacon wage decision(s)

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Also see *Advertisement For Bids* form (*Attachment 7-F*)

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BID PACKET REQUIREMENTS

Additional Notices Required for Bid Packets:

*Inclusion by reference only is **NOT** acceptable.*

- For or all construction contracts estimated to exceed \$10,000
 - *Equal Opportunity Clause (EO 11246) (Attachment 6-A)*
 - *Affirmative Action Requirements (EO 11246) (Attachment 6-C)*
 - *Federal Equal Employment Opportunity Clauses Construction Contract Specifications (EO 11246) (Attachment 6-D)*
 - *MBE/WBE/DBE Web Resources (Attachment 7-R)*

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****Refer to Chapters 3, 6 & 7 in *CDBG Implementation Handbook*****

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CONTRACTOR ELIGIBILITY CLEARANCE

- All contractors must be eligible for federally funded contracting
- UGLG must verify all prime contractors are eligible (not debarred)
- Prime contractor must ensure all subcontractors are eligible
 - UGLG should also check all subcontractors' eligibility
- Record of debarment checks for all contractors (prime and subs) must be in CDBG project file
- Contact your DEHCR Program Rep. immediately if any contractor is or has become debarred

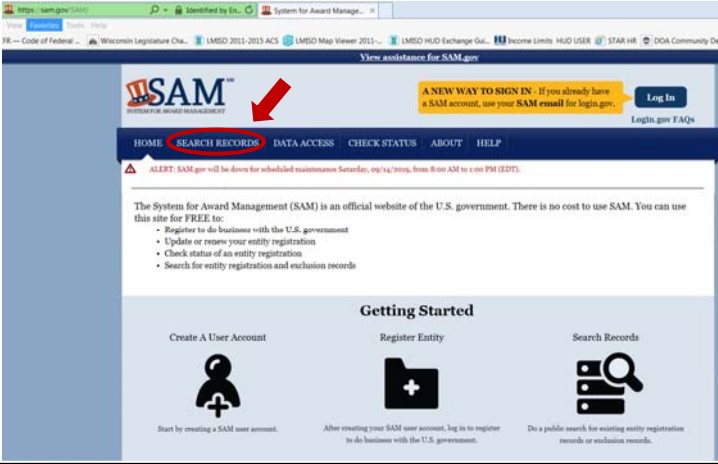


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CONTRACTOR ELIGIBILITY CLEARANCE

Debarment Check: <https://sam.gov/SAM>

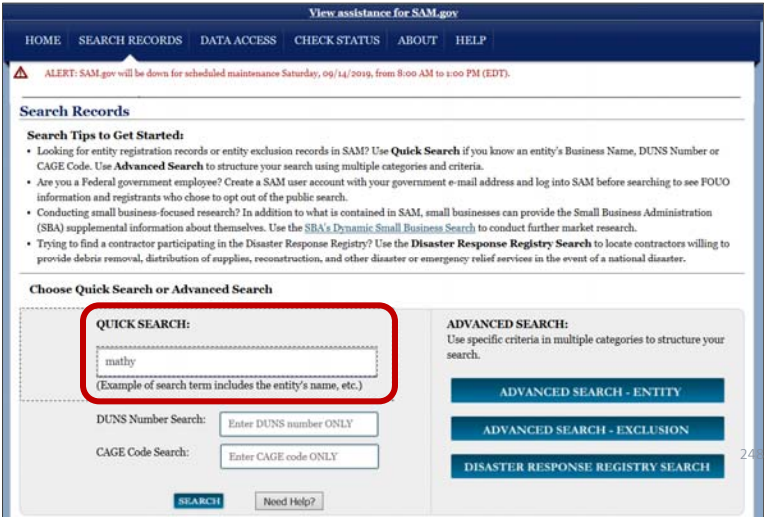


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CONTRACTOR ELIGIBILITY CLEARANCE

Debarment Check:
<https://sam.gov/SAM>



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CONTRACTOR ELIGIBILITY CLEARANCE

Debarment Check:
<https://sam.gov/SAM>

View assistance for SAM.gov

Current Search Terms: mathy construction*

Clear Search

Total records: 2

Result Page: 1

Sort by Relevance

Order by Descending

Save PDF

Export Results

Print

FILTER RESULTS

Your search for mathy construction* returned the following results...

By Record Status

☒ Active

☒ Inactive

By Record Type

☐ Entity Registration

☐ Exclusion

Apply Filters

Entity

MATHY CONSTRUCTION COMPANY

DUNS: 00940221

Has Active Exclusion?: No

Expiration Date: 04/24/2020

Purpose of Registration: All Awards

CAGE Code: 0J3Ro

DoDAAC:

Debt Subject to Offset?: No

Status: Active

View Details

Entity

MATHY CONSTRUCTION COMPANY

DUNS: 809300502

Has Active Exclusion?: No

Expiration Date: 04/07/2020

Purpose of Registration: All Awards

CAGE Code: 1DME6

DoDAAC:

Debt Subject to Offset?: No

Status: Active

View Details

GSA

IBM-NP-20190814-1104

Search Records

Data Access

Check Status

About

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Disclaimers

Accessibility

Privacy Policy

FAPIS.gov

GSA.gov/IAE

GSA.gov

USA.gov


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CONSTRUCTION CONTRACT

Required for Prime Contract(s) and Subcontract(s):

*Inclusion by reference only is **NOT** acceptable.*

- The same language, clauses, and wage decision(s) required for construction bid packet
- Recommended – Pre-Construction meeting documents (samples in *Attachments 7-I and 7-J*)



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CONSTRUCTION CONTRACT (CONTINUED)

Additional **Subcontract** Requirements:

- Must be in writing and include:
 - Name of contractor/subcontractor
 - Dollar amount of contract
 - Goods/services to be provided
 - Terms/conditions
- Copy of executed subcontracts (with any and all attachments and signed addendums) must be in the CDBG project file

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PRE-CONSTRUCTION CONFERENCE

- Pre-construction conference ***strongly*** advised
- Topics recommended: *Pre-Construction Meeting Items to be Discussed (Attachment 7-I)*
- Provide contractors *Pre-Construction Checklist for Contractors (Attachment 7-J)*
- Submit copy of notes/minutes/record of conference to DEHCR (*Pre-Construction Report Format (Attachment 7-K)* recommended)

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COMPLIANCE MONITORING

Weekly Payroll Monitoring by Labor Standards Officer:

- **Weekly Payroll Records** – check ALL contractors’ weekly payroll submissions
 - USDOL form: *Payroll Template (Attachment 7-L)* (optional or use contractor’s record)
 - USDOL form: *Statement of Compliance (Attachment 7-M)* (required)
- **Signed Payrolls** – Signed by principal of firm or by an authorized agent
- **Numbered Payrolls** – Payrolls are numbered sequentially from first to final and/or dated sequentially
- **No Work Records** – If payrolls are numbered, “No Work” payrolls are not required. However, it is recommended contractors and sub-contractors that will not be working on the project for a period of time, inform the Labor Standards Officer in writing and provide an approximate date of return.

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COMPLIANCE MONITORING (CONTINUED)

Verify with Weekly Payroll Monitoring:

- **Base Wages** – At least minimum base wage + fringe benefit rates are paid
- **Overtime (OT)** – Overtime wages are properly paid at required minimum overtime rates
- **Fringe Benefits** – Must be eligible and are properly documented (e.g., health insurance, retirement, life insurance, vacation, training funds, etc. Excludes benefits required by law (e.g., Social Security, worker’s compensation, etc.)
 - Contractor must provide record of itemized fringes with hourly dollar values for each employee on certified payroll record or as an attachment to payroll record
 - Contractor must have supporting source documentation on file (e.g., labor union document, employee policy manual document, 401K plan document, etc.) – provide upon request from UGLG, DEHCR, HUD, etc.

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COMPLIANCE MONITORING (CONTINUED)

Verify with Weekly Payroll Monitoring:

- **Deductions** – Are allowable and properly documented; authorized by the employee and permitted by DOL Regulations 29 CFR Part 3, such as:
 - Income taxes, Social Security, insurance, retirement, savings account, and any other legally-permissible deduction authorized by the employee in writing
 - Payments on judgments and other financial obligations legally imposed (e.g., child support, wage garnishment, etc.)
 - Contractor must provide record of itemized deductions with hourly or total sum dollar values for each employee on certified payroll record or as an attachment to payroll record
 - Contractor must have documentation verifying authorized deduction on file (e.g., labor union document, employee signed authorizations, court orders, etc.) – provide upon request from UGLG, DEHCR, HUD, etc.

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COMPLIANCE MONITORING (CONTINUED)

Verify with Weekly Payroll Monitoring:

- **Employee classifications**
 - Must be paid correct wage rate for job classification per USDOL wage decision
 - Multiple classifications – workers may perform work in more than one trade/job classification
 - Must pay applicable wage rate for each classification in which employee worked
 - Each job classification and hours worked in each must be on payroll record
 - Worker must be paid the highest wage rate of all job classifications in which they worked if the hours working in each classification are not recorded on payroll record

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COMPLIANCE MONITORING (CONTINUED)

Verify with Weekly Payroll Monitoring:

- **Apprentices and Trainees** – Paid correct rate and indentured papers/training certifications are on file
 - May be paid less than the full rate only if registered in bona fide program approved by and registered with the Employment and Training Administration of the USDOL or Wisconsin Dept. of Workforce Development (DWD)
 - Ratio of journeymen to apprentices under the registered program is applicable to CDBG project site

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COMPLIANCE MONITORING (CONTINUED)

Monitoring at Work Site:

- **Interview Workers on the Job:**
 - Use *Record of Employee Interview (HUD 11) (Attachment 7-N)*
 - Address any discrepancies (verify with paystubs; ensure contractor underpayment resolution if applicable; etc.)
 - *Recommended:* Conduct at least 1 interview for each job classification for each prime contractor and subcontractor
- **Check the Work Site Signage:**
 - Wage rates and required labor standards notices posted in **clearly visible and accessible** location; CDBG sign posted (with **accurate** information)
- **Maintain records** of work site monitoring in CDBG project file

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COMPLIANCE ENFORCEMENT

- UGLGs must take the necessary steps to enforce the requirements when a contractor or subcontractor has not paid at least the minimum Davis-Bacon wage and benefits or has violated other requirements.



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COMPLIANCE ENFORCEMENT (CONTINUED)

Underpayment is less than \$1,000:

- Ensure contractor makes restitution payment(s)
- Assess liquidated damages penalties (\$27/day per employee) if underpayment involved CWHSSA overtime
 - Reminder: Penalty may be waived; waiver requires HUD/USDOL approval if >\$500



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COMPLIANCE ENFORCEMENT (CONTINUED)

Underpayment is \$1,000 or more:

- Investigate and submit *Section 5.7 Enforcement Report (Attachment 7-O)*
- Assess liquidated damages penalties (\$27/day per employee) if underpayment involved CWHSSA overtime
 - Reminder: Penalty may be waived; waiver requires HUD/USDOL approval if >\$500



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COMPLIANCE ENFORCEMENT (CONTINUED)

All enforcement actions shall be carried out in writing and have the following information in the file:

- Description of the violation
- Sources of information about the violation
- Complaints and other statements from employees should be in writing and signed
- Computation of the back wages due to each employee
- Computation of the liquidated damages, if any
- Actions taken by the contractor to correct the violation, if any
- Copies of supplemental payrolls and/or check stubs, if any

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COMPLIANCE ENFORCEMENT (CONTINUED)

- Required Reports:
 - *Semi-Annual Labor Standards Enforcement Report (Attachment 9-C)*
 - *Section 5.7 Enforcement Report (Attachment 7-O)*, if applicable
 - *Final Labor Standards Compliance Report (Attachment 7-P)*
- DEHCR must receive all applicable labor standards reports before the final *Request for Payment* will be processed



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LABOR STANDARDS DOCUMENT SUBMISSIONS TO DEHCR

- *Labor Standards Officer Designee form (Attachment 7-C)*
- *Record of Wage Decision Selection (Attachment 7-D)*
- *Additional Classification Report (Attachment 7-E)*, if applicable
- *Advertisement For Bids form (Attachment 7-F)* or the bid advertisement
- Bid Tabulation Summary
- Potential conflict(s) of interest review documentation if any disclosure(s) occurred
- *Notice of Contractor Award form (Attachment 7-H)*

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LABOR STANDARDS DOCUMENT SUBMISSIONS TO DEHCR

- *Force Account Affidavit (Attachment 7-Q)*, if applicable
- *Pre-Construction Report (Attachment 7-K)* or similar record of Pre-Construction Conference, if applicable
- *Semi-Annual Labor Standards Enforcement Report (Attachment 9-C)*
- *Section 5.7 Enforcement Report (Attachment 7-O)*, if applicable
- *Final Labor Standards Compliance Report (Attachment 7-P)*



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LABOR STANDARDS FILE CONTENTS

- All bidding and labor standards related documents submitted to DEHCR
- All procurement/contracting and labor standards related documents listed on *File Checklist (Attachment 2A)* and *Self-Monitoring Checklist (Attachment 2B)*

Any and all bidding and labor standards related documents may be requested by DEHCR for review during monitoring and project reviews.

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HELPFUL WEBSITES

- HUD Labor Standards Enforcement Guidance:
https://portal.hud.gov/hudportal/HUD?src=/program_offices/davis_bacon_and_labor_standards/OLRLibrary
- U.S. Department of Labor Wage and Hour Division:
<https://www.dol.gov/whd/>
- WI Department of Workforce Development Prevailing Wage Overview:
https://dwd.wisconsin.gov/er/labor_standards/prevailing_wage_rate/
- U.S. Department of Labor Wage Determinations Online:
<https://wdolhome.sam.gov/>
- SAM.gov (Debarment Checks):
<https://sam.gov/SAM>

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FEDERAL LABOR STANDARDS SUMMARY QUESTIONS

1. When must the federal wage decisions be checked?
2. How often must contractors' payrolls be submitted for review?
3. What are 3 examples of documents to check to verify the eligibility and cash value of a worker's fringe benefits and deductions?
4. When must a worker be paid the overtime wage rate?
5. What form needs to be submitted if underpayments for a contractor are \$1,000 or more?

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QUESTIONS?

Email: DOACDBG@Wisconsin.gov



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MONITORING

DEHCR – BUREAU OF COMMUNITY DEVELOPMENT



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MONITORING PROCESS

- On-site Visit or Desktop Monitoring at least once during the Performance Period
- 30 – Day Advance Notification Letter
- Logistics & Accessibility
- Entry and Exit Interview
- Follow-Up Letter
- Corrective Actions (if applicable)
- Monitoring Completion Letter

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SELF-MONITORING CHECKLIST

Unit of General Local Government (UGLG) SELF-MONITORING CHECKLIST for Community Development Block Grant (CDBG) Projects	
<i>Complete this checklist, then submit a signed and dated copy to the assigned Division of Energy, Housing and Community Resources (DEHCR) Project Representative, as requested.</i>	
Unit of General Local Government (UGLG):	
DEHCR Grant Agreement Number:	
Reviewer's Name and Title: <i>(person completing this form)</i>	
Date Completed:	Reviewer's Phone Number:
I attest that the information herein is true and correct.	
Date Signed	
Signature of the Chief Elected Official (CEO)	Printed Name of Chief Elected Official (CEO)

During the contract Performance Period, all UGLGs will be monitored and must complete this Self-Monitoring Checklist as part of the monitoring process.

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Self-Monitoring Checklist

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1. General Administration Documentation: (Indicate whether the following items are present within the CDBG project folder.)	YES	NO	N/A	Date:
Application Documents				
Signed Application and Supporting Attachments, as submitted to DEHCR				
Project Area Map				
Statement of Assurances Documents				
Signed Statement of Assurances				
Policy/Policies in compliance with requirements for Non-Violent Civil Rights Demonstrations (prohibiting use of excessive force and the barring of entrances and exits)				
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 and/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 Sheet (not required if the Meeting Minutes list the Hearing Attendees and Participants)				
Sign-In Sheet(s) for Citizen Participation Hearing 1				
Sign-In Sheet(s) for Citizen Participation Hearing 2				

Self-Monitoring Checklist (cont'd)

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Self-Monitoring Checklist (cont'd)		Income Survey Documents				
		Was an Income Survey conducted for this project? If YES , check for the following items in the file:				
		Income Survey Results Tabulation form (for income)				
		Income Survey Results Race/Ethnicity Demographics Tabulation form				
		Income Survey Map(s)				
		Income Surveys which were completed and returned				
→		Income Survey Response Tracking (with list of families, street addresses, and response status/data for each)				
→		Income Survey Methodology used [including determination of service area/survey area, determination of minimum response rate required, randomization process (for Random Sample Surveys only), survey distribution process and methods, data calculations, etc.]				
		Income Survey Documents (continued)				
→		LMI calculation record(s) for income survey data combined with HUD LMI summary data for a multi-jurisdiction service area (if applicable)				
→		Record(s) of "best efforts" to solicit survey responses, including tracking of follow-up communications and efforts made (e.g., methods used, dates, days of the week, approximate time(s) of day, results of each effort made, etc.)				

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Self-Monitoring Checklist (cont'd)

2. Grant Agreement Documentation: (Indicate whether these items are present within the CDBG project folder.)	YES	NO	N/A	Date:
Award letter and Signed Acceptance of Award				
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)				

3. Procurement & Contracting Documentation: (Indicate whether these items are present within the CDBG project folder.)	YES	NO	N/A	Date:
Copy of UGLG's Procurement Policy				
Conflict of Interest Exception Request documentation (if applicable)				
Mechanisms/documentation in place for the disclosure and review of potential conflicts of interest				

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Self-Monitoring Checklist (cont'd)

3. Procurement & Contracting Documentation: (Indicate whether these items are present within the CDBG project folder.)	YES	NO	N/A	Date:
Procurement Documentation for CONSTRUCTION:				
Sealed Bid Process and Bid Opening Requirements Documentation*				
The Request for Bids (RFB) states requirements for services and project specifications				
The RFB identified all significant evaluation factors including price and their relative importance*				
The RFB was published*				
Copy of bid tabulation AND successful bid document*				
Bids were solicited from an adequate number of providers (Total number solicited* = _____)				
All bids were evaluated and the evaluation is documented*				
The contract award(s) went to the contractor(s) with the lowest responsible bid(s).				
Board/Council Acceptance of the Successful Bid Documentation*				
Signed Lobbying forms from all contractors (Complete the related checklist for prime contractors and subcontractors, presented later in this document.)				
Executed contracts, including Civil Rights Compliance and Section 3 compliance language.*				

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Self-Monitoring Checklist (cont'd)

3. Procurement & Contracting Documentation: (Indicate whether these items are present within the CDBG project folder.)		YES	NO	N/A	Date:
Procurement Documentation for GRANT ADMINISTRATION Services:					
Are any of the Grant Administration costs being paid with CDBG funds?"					
→ The contracting for Grant Administration is in compliance with the UGLG's local procurement policy."					
Request for Proposals Process Documentation					
The Request for Proposal (RFP) states requirements for services and project specifications*					
The RFP identified all significant evaluation factors including price and their relative importance*					
The RFP was published*					
All proposals were evaluated and the evaluation is documented*					
The award(s) was made to the consultant/vendor/provider whose proposal was most advantageous to the UGLG after all factors were considered*					
Board/Council Acceptance of the Successful Proposal*					277
Signed Lobbying form from contracted Grant Administrator					

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Self-Monitoring Checklist (cont'd)

3. Procurement & Contracting Documentation (continued): (Indicate whether these items are present within the CDBG project folder.)		YES	NO	N/A	Date:
Procurement Documentation for GRANT ADMINISTRATION Services (continued):					
Executed contracts, including Civil Rights Compliance and Section 3 compliance language.*					
Procurement Documentation for ENGINEERING Services:					
The contracting for Engineering Services is in compliance with the UGLG's local procurement policy					
Request for Qualifications Process Documentation*					
Qualifications were solicited from an adequate number of providers (Total number solicited* = _____)					
Board/Council Acceptance of the Successful Provider*					
*Items may also be maintained in the Labor Standards file if relevant labor standards requirements apply, as detailed in the Labor Standards chapter of the Program-specific CDBG Implementation Handbook.					
Procurement Transactions Documentation:					
Names of Consultants/Vendors/Providers	Method(s) of Procurement				
	<input type="checkbox"/> Competitive, or	<input type="checkbox"/> Non-Competitive			
	<input type="checkbox"/> Competitive, or	<input type="checkbox"/> Non-Competitive			
	<input type="checkbox"/> Competitive, or	<input type="checkbox"/> Non-Competitive			
	<input type="checkbox"/> Competitive, or	<input type="checkbox"/> Non-Competitive			
	<input type="checkbox"/> Competitive, or	<input type="checkbox"/> Non-Competitive			
	<input type="checkbox"/> Competitive, or	<input type="checkbox"/> Non-Competitive			
	<input type="checkbox"/> Competitive, or	<input type="checkbox"/> Non-Competitive			
	<input type="checkbox"/> Competitive, or	<input type="checkbox"/> Non-Competitive			
	<input type="checkbox"/> Competitive, or	<input type="checkbox"/> Non-Competitive			

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Self-Monitoring Checklist (cont'd)

4. Environmental Review Documentation: (Indicate whether these items are present within the CDBG project folder.)		YES	NO	N/A	Date:
}	Project Environmental Report (complete Report and related documentation)				
	Environmental Review Record (ERR) [complete Record and related documentation]:				
	Statement of Activities				
	Statutory Checklist (not applicable to PLNG Projects)				
	Determination of Categorical Exclusions or Exemption				
	Summary (including related documentation)				
	Field Notes Checklist (not applicable to PLNG Projects)				
	Environmental Assessment (EA) [complete Assessment and related documentation]:				
	Environmental Assessment Checklist				
	Impact Certification				
	Supporting Documentation:				
	Site Map				
	Site Photographs				
	Floodplain Map				279
	Manmade Hazards				
Other Reviews					

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Self-Monitoring Checklist (cont'd)

4. Environmental Review Documentation: (Indicate whether these items are present within the CDBG project folder.)	YES	NO	N/A	Date:
ERR Certification letter or Letter of Concurrence (PLNG projects only) from the Department of Administration (DOA) Environmental Desk				
CDBG costs were not expended or obligated, except for exempt activities (24 CFR 58.34), prior to the date on the DOA Environmental Certification letter. (Enter date that CDBG funds were first expended/obligated.) <i>[Guidance: Answer YES if this statement is true, NO if false.]</i>				
No <i>non</i> -CDBG project costs expended or obligated except for exempt activities (24 CFR 58.34), prior to the date on the DOA Environmental Certification letter. (Enter date that non-CDBG costs were first expended/obligated.) <i>[Guidance: Answer YES if this statement is true, NO if false.]</i>				

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Self-Monitoring Checklist (cont'd)

5. Acquisition & Relocation Documentation: (Indicate whether these items are present within the CDBG project folder.)		YES	NO	N/A	Date:
{	Residential Anti-Displacement and Relocation Assistance Plan (RADRAP) (submitted with CDBG Application)				
	Acquisition/Relocation Checklist (submitted with CDBG Application)				
	Acquisition Monitoring Checklist*				
	Relocation Monitoring Checklist*				
	Relocation Plan				
	Record of DEHCR Approval of Relocation Plan				
	Documentation for Acquisition and Relocation activities and regulatory compliance (e.g., notices, correspondence, fair market value determination records, appraisals, condemnation proceedings documentation, record of payments, etc. – as specified in the Acquisition/Relocation Checklists)				


*All documentation referenced in the checklists above must be maintained in the project file and may be requested by DEHCR.

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Self-Monitoring Checklist (cont'd)

6. Equal Opportunity Documentation: (Indicate whether these items are present within the CDBG project folder.)		YES	NO	N/A	Date:
	Race/Ethnicity Demographic Profile of service area/project beneficiaries				
	Affirmative Action Plan notice posted in a conspicuous place (if applicable)				
	Accessibility Self-Evaluation Checklist or DSPS Approval of Accessibility Compliance (if applicable)				

Documentation regarding Equal Opportunity related contracting and reporting requirements are listed under the **Procurement & Contracting and **Reporting** sections of this checklist.*



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Self-Monitoring Checklist (cont'd)

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7. Labor Standards Documentation:
(Indicate whether these items are present within the CDBG project folder.)

YES	NO
If NO, provide a brief explanation: Contact your assigned DEHCR Project Representative to determine which sections of the Labor Standards Documentation are applicable to the CDBG project, then proceed with completing Section 8 of this checklist.	
If YES, complete the remaining questions under this Labor Standards Documentation section:	
Labor Standards Officer's Name: Labor Standards Officer's Phone Number: Labor Standards Officer's Email Address:	
Make a copy of the items shown below with an asterisk (*) and complete the information for each prime contract awarded under separate bid(s):	
*Bid Advertisement Date:	*Bid Opening Date:
*Contract Award Date:	*Construction Start Date:
	WD 1 WD 2 WD 3
*Wage Decision #(s):	283
*Modification #(s):	
*Date(s):	

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Self-Monitoring Checklist (cont'd)

Labor Standards (continued)	YES	NO
Was a Pre-Construction Meeting held? [Recommended – Not Required.]		
If YES, provide the Pre-Construction Meeting Date: _____		
If NO (a Pre-Construction Meeting was not held), explain how the grant requirements were communicated to all Contractors and Sub-Contractors:		
Did the UGLG followed state law and federal OMB in awarding the prime contract(s)?		
Was/were the wage decision(s) included in the bid packet(s)?		
Was/were the wage decision(s) posted in area(s) on work site(s) that were accessible to all employees?		
Is a Force Account Letter on file? (if applicable – for project not subject to Davis-Bacon due to being a public works project completed by municipality employees)		
Is a system in place to ensure that all payrolls and related records are maintained by the UGLG until informed by the DEHCR Division Administrator (or designee) that CDBG project records may be discarded?		284

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Self-Monitoring Checklist (cont'd)

NEW FORMAT:
Complete For Each Prime Contractor and Sub-Contractor

LABOR STANDARDS MONITORING: INDIVIDUAL CONTRACTOR FILE REVIEW

(Complete this information for **each** Prime Contractor **and each** Sub-Contractor individually. Attach and insert additional pages as needed.)

Name of Contractor:

Is this a Prime Contractor or a Sub-Contractor?
☐ Prime or ☐ Sub

Federal Employer Identification Number (FEIN):

Prime Contract Amount: \$

Sub-Contract Amount: \$

Contractor's Work Start Date on the CDBG Project:

Contractor's Work End Date on the CDBG Project:

If the Contractor (listed above) is a Sub-Contractor (any tier), to which Prime Contractor does the Sub-Contractor belong?

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Name of related Prime Contractor (if applicable):

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Self-Monitoring Checklist (cont'd)

Complete for Each Prime Contractor and Sub-Contractor

MONITORING ITEMS:	YES	NO	N/A
Has the UGLG established a separate file/folder for this Contractor?			
Does the UGLG have a complete copy of the executed written contract?			
Is/was the required regulatory language included in the contract (see below)?*			
*Items listed below may be applicable/required, recommended, or not applicable (N/A), depending on the nature of the project and contract. Refer to Chapters 3, 6 and 7 in the BCD CDBG Implementation Handbook for further guidance.			
Potential Conflict of Interest Disclosure Form (or similar document[s])			
Lobbying Certification			
Disclosure of Lobbying Activities Form			
Equal Opportunity Clause (EO 11246)			
Section 3 Contract Language Requirements			
Affirmative Action Requirements (EO 11246)			
Goals for Women and Minority Utilization in Construction			
Federal Equal Employment Opportunity Clauses Construction Contract Specifications (EO 11246)			
Davis-Bacon and Related Acts (DBRA)			
Federal Labor Standards Provisions (4010)			
MBE/WBE/DBE Web Resources			
Applicable Wage Decision(s)			
Is/are the SAM.gov Debarment Check Record(s) on file?			
Is the Contractor's Signed Lobbying Certification on file?			
Is a completed Disclosure of Lobbying Activities (if applicable) on file?			
Did the Contractor attend the Pre-Construction Meeting(s)?			
[Recommended – not required]			
Was the Contractor provided the Pre-Construction Documents?			
[Recommended – not required]			
Pre-Construction Meeting Items to be Discussed			
Pre-Construction Checklist for Contractors			

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Self-Monitoring
Checklist
(cont'd)

Complete for Each Prime Contractor and Sub-Contractor

MONITORING ITEMS (CONTINUED):	YES	NO	N/A
Equal Opportunity and Section 3 Compliance:			
Did the UGLG demonstrate outreach to (and/or promotion of contracting with) MBE/WBE Firms?			
Did the UGLG demonstrate outreach to (and/or promotion of contracting with) Section 3 Firms?			
Did the UGLG demonstrate outreach to (and/or promotion of) Section 3 new employee hires?			
Did the UGLG collect and retain Section 3 Report(s) completed by this Contractor?			
Payroll Records Compliance:			
Are weekly certified payrolls or "no work" letter(s)/statement(s) on file?			
Are payrolls numbered (first to last)?			
Has an authorized person of the company signed the certified payroll(s)?			
Are workers' individual identification numbers (e.g. employee ID numbers, last four social security numbers, etc.) shown on at least the first payroll?			
Do hourly wage rates shown on the payroll equal or exceed the wage rates listed in the applicable wage decision(s)?			
Is Form 4230A (additional classification) and related correspondence on file for those classifications not shown in the wage decision (if applicable)?			
Is/was time and a half paid to workers for work performed over 40 hours/week?			
For each worker with two (2) or more job classifications, are separate entries made on the certified payroll record for each job classification, with the hours and wage information for each job classification specified?			
Are fringe benefits itemized and properly documented for each worker?			
Are "Other" deductions itemized and properly documented for each worker?			
Are Employee Interview Record (HUD-11) forms fully completed and signed by the payroll examiner? If YES, indicate the number of forms that were completed: <input type="text"/>			
Are the Employee Interview Record (HUD-11) entries consistent with the contractor's payroll records?			
Are apprentices working on the CDBG project?			
Are the proper apprentice/trainee indentures attached to payrolls where such employees appear?			287
Are apprentices/trainees properly supervised (not working alone; meeting appropriate apprentice/trainee to journeyman ratio)?			

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Self-Monitoring
Checklist
(cont'd)

Complete for Each Prime Contractor and Sub-Contractor

MONITORING ITEMS (CONTINUED):	YES	NO	N/A
Payroll Records Compliance (continued):			
Are/were there any base wage underpayments on this project?			
Have base wage underpayment monies been paid to workers?			
Are one or more Certified Correction Payrolls and employee paystub copy/copies on file to verify base wage underpayments have been paid to workers/resolved?			
Base Wage Underpayment Amount (Amount Paid or Amount Due if not yet Paid): \$ <input type="text"/>			
Have all base wage underpayment violations been resolved?			
If all base wage underpayment violations are NOT resolved, explain the status of each: <input type="text"/>			
Are/were there any overtime wage underpayments on this project?			
Have overtime wage underpayment monies been paid to workers?			
Are one or more Certified Correction Payrolls and employee paystub copy/copies on file to verify overtime wage underpayments have been paid to workers/resolved?			
Overtime Wage Underpayment Amount (Amount Paid or Amount Due if not yet Paid): \$ <input type="text"/>			
Have all overtime wage underpayment violations been resolved?			
MONITORING ITEMS (CONTINUED):			
Payroll Records Compliance (continued):			
If all overtime wage underpayment violations are NOT resolved, explain the status of each: <input type="text"/>			
Have overtime wage underpayment penalty fees been collected from the contractor per HUD/CWHSSA (if required)?			288
Penalty Fee Amount Collected from the Contractor (if required): \$ <input type="text"/>			

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Self-Monitoring Checklist (cont'd)

List Names, the corresponding I.R.S. Employer Identification Number, the Debarment Check Status, and the Lobbying Certification Status of all Prime Contractor(s):

Contractor:	Name:	Has Contractor Started Work on CDBG Project? (Yes or No)	Separate File/Folder for Contractor on File (Yes or No)
Prime Contractor #1			
Prime Contractor #2			
Prime Contractor #3			
Prime Contractor #4			
Prime Contractor #5			
Prime Contractor #6			

List Names, the corresponding I.R.S. Employer Identification Number, the Debarment Check Status, and the Lobbying Certification Status of all Sub-Contractor(s):

Sub-Contractor:	Name:	Has Contractor Started Work on CDBG Project? (Yes or No)	Separate File/Folder for Contractor on File (Yes or No)
Sub-Contractor #1			
Sub-Contractor #2			
Sub-Contractor #3			
Sub-Contractor #4			
Sub-Contractor #5			
Sub-Contractor #6			
Sub-Contractor #7			
Sub-Contractor #8			
Sub-Contractor #9			
Sub-Contractor #10			

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Self-Monitoring Checklist (cont'd)

8. Financial Management Documentation:
(Indicate whether these items are present within the CDBG project folder.)

Bank Documents:	YES	NO	N/A	Date(s):
Depository Certification form				
Signature Certification form				
Financial Contact Person form				
Bank Statements				
Payments ("Drawdowns") Documents:	YES	NO	N/A	Date(s):
Completed Request for Payment forms (i.e., draw forms)				
Records/Notifications of Deposit (e.g., deposit slip, account record/statement, etc.)				
Cash Control Register (CCR) Documents:	YES	NO	N/A	Date:
CCR copies all in file				
CDBG payment deposit dates agree with the deposit dates on account records				
Payment date(s) agree with the account records				
Reports balance of cash on hand each day a payment or deposit was made				
CDBG account does not have more than \$5,000 of federal cash on hand for more than three working days. Exceptions (Describe):				
Is mathematically correct				
Total payments to date per CCR:	\$			
Total payments to date per CDBG account records:	\$			
Adjusted CDBG Account Balance (if applicable)				
Current CDBG Account Balance:	\$			
(+) Deposits in Transit	\$			
(-) Checks Outstanding	\$			
(=) Adjusted CDBG Account Balance	\$			

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Self-Monitoring Checklist (cont'd)

Disbursements Journal:		YES	NO	N/A	Date:
→	Disbursements Journal copies all in file				
→	Reports CDBG award amount, budget activities and budgeted CDBG amount for each activity in the header row				
→	Lists each invoice date, payee (with invoice number), payment date, check number or EBT payment notation and amounts paid with CDBG funding; and indicates which checks, if any, are voided				
	Corresponds to checks/EBT payments issued and account records with regards to payee, payment date, check number or EBT payment record and payment amount				
Disbursements Journal (continued):		YES	NO	N/A	Date(s):
	Lists payments using CDBG funds (i.e., CDBG disbursements) to date in total and by budget activity, recorded for each CDBG payment request				
→	Source documentation on file for payments using CDBG funds (i.e., CDBG disbursements): (e.g., invoices from contractors and others, processed checks/bank checks, payment receipts, board/council and engineer approvals of expenditures, etc.)				
	Source documentation is mathematically correct				
	CDBG funds are kept in a non-interest-bearing bank account				
	Continued				

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Self-Monitoring Checklist (cont'd)

Matching Funds Journal:		YES	NO	N/A	Date:
→	Matching Funds Journal copies all in file				
→	Reports total budgeted match amount, budget activities and budgeted match amount for each activity in the header row				
→	Lists each invoice date, payee (with invoice number), payment date, check number or EBT payment notation and amount paid with match funds				
	Corresponds to checks/EBT payments issued and account records with regards to payee, payment date, check number or EBT payment record and payment amount				
	Lists payments made using match funds to date in total and by budget activity, for each CDBG payment request				
→	Source documentation on file for payments using match funds (e.g., invoices from contractors and others, copies of processed checks/bank checks, payment receipts, board/council and engineer approval of expenditures, etc.)				
	Source documentation is mathematically correct				
	Cumulative match equals/exceeds the minimum required match amount (in accordance with the terms of the Grant Agreement)				
→	Match funds are maintained in a separate account or account register from the CDBG funds				
	Continued				

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Self-Monitoring Checklist (cont'd)

9. Reporting Documentation: (Indicate whether these items are present within the CDBG project folder.)		YES	NO	N/A	Date:
Semi-Annual Narrative Reports on Accomplishments with UGLG Certification Signature:					
Reporting Period #1 from _____ through _____					
Reporting Period #2 from _____ through _____					
Reporting Period #3 from _____ through _____					
Reporting Period #4 from _____ through _____					
Semi-Annual Labor Standards Enforcement Reports*					
Reporting Period #1 from _____ through _____					
Reporting Period #2 from _____ through _____					
Reporting Period #3 from _____ through _____					
Reporting Period #4 from _____ through _____					
Semi-Annual MBE/WBE Reports*					
Reporting Period #1 from _____ through _____					
Reporting Period #2 from _____ through _____					
Reporting Period #3 from _____ through _____					
Reporting Period #4 from _____ through _____					

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Self-Monitoring Checklist (cont'd)


9. Reporting Documentation: (Indicate whether these items are present within the CDBG project folder.)		YES	NO	N/A	Date:
Section 3 Reports*					
Reporting Period #1 from _____ through _____					
Individual reports collected from Prime Contractor(s)?					
Individual reports collected from Sub-Contractor(s)?					
Reporting Period #2 from _____ through _____					
Individual reports collected from Prime Contractor(s)?					
Individual reports collected from Sub-Contractor(s)?					
Reporting Period #3 from _____ through _____					
Individual reports collected from Prime Contractor(s)?					
Individual reports collected from Sub-Contractor(s)?					
Reporting Period #4 from _____ through _____					
Individual reports collected from Prime Contractor(s)?					
Individual reports collected from Sub-Contractor(s)?					
Employee Self-Certification Reports (job performance) (ED and PFED Only)					
Reporting Period #1 from _____ through _____					
Reporting Period #2 from _____ through _____					
Reporting Period #3 from _____ through _____					
Reporting Period #4 from _____ through _____					
*Items may also be maintained in the Labor Standards file.					

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Self-Monitoring Checklist (cont'd)

(Indicate whether these items are present within the CDBG project folder.)	YES	NO	N/A	
Annual Single Audit Statement(s)/Letter(s)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Single Audit Report(s) (if applicable)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
For year(s): <input type="text"/> to <input type="text"/>				
Resolution of Single Audit Findings documentation (if applicable)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

Additional Notes/Comments:



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Self-Monitoring Checklist (cont'd)

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10. Project Completion Documentation:				YES	NO	N/A	Date:
(Indicate whether these items are present within the CDBG project folder.)							
Signed Program Completion Report and Supporting Documents, as submitted to DEHCR				<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Final Cash Control Register (after CDBG final payment received by UGLG)				<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Final Disbursement Journal (after CDBG final payment received by UGLG)				<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Final CDBG Account Bank Record (after CDBG final payment received by UGLG)				<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Final Plan (PLNG Only)				<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Board/Council Approval or Adoption of Completed Plan (PLNG Only)				<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Final Employee Self-Certification Report and Supporting Documents (ED and PFED (Only)				<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Record of CDBG Funds Returned to DEHCR (if applicable)				<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

11. Single Audit Documentation:				YES	NO	N/A	Dates:
(Indicate whether these items are present within the CDBG project folder.)							
Annual Single Audit Statement(s)/Letter(s)				<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Single Audit Report(s) (if applicable)				<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
For year(s): <input type="text"/> to <input type="text"/>							
Resolution of Single Audit Findings documentation (if applicable)				<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

EXIT INTERVIEW PARTICIPANTS:			APPLICABLE IF THE MONITORING WAS PERFORMED ON-SITE		
Participant's Name:	Participant's Phone #:	Participant's Email:			
<input type="text"/>	<input type="text"/>	<input type="text"/>			
<input type="text"/>	<input type="text"/>	<input type="text"/>			
<input type="text"/>	<input type="text"/>	<input type="text"/>			
<input type="text"/>	<input type="text"/>	<input type="text"/>			
<input type="text"/>	<input type="text"/>	<input type="text"/>			
<input type="text"/>	<input type="text"/>	<input type="text"/>			
<input type="text"/>	<input type="text"/>	<input type="text"/>			
<input type="text"/>	<input type="text"/>	<input type="text"/>			
<input type="text"/>	<input type="text"/>	<input type="text"/>			

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MONITORING REPORT

FINDING VERSUS CONCERN:

- **Finding** represents an issue of non-compliance with CDBG policy or regulatory requirements
- **Concern** represents an issue with documentation or procedure that does not necessarily represent non-compliance with the CDBG policies, Implementation Handbook or regulations, but must be addressed to ensure compliance so the item does not rise to a later Finding



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MONITORING REPORT

TIMELINE FOR REPORT AND CORRECTIVE ACTION:

- Monitoring report from DEHCR issued in a letter to Chief Elected Official (CEO) generally within 30 days of monitoring
- UGLG has 30 days to respond (on municipal letterhead; signed by CEO)
- Follow-up items submitted to DEHCR by UGLG; summarized in UGLG's response letter
- No response or delay in completing corrective actions may result in CDBG payments being withheld
- Refer to Grant Agreement regarding non-compliance/failure to perform and cause for termination of CDBG agreement and award or denied payments²⁹⁸

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QUESTIONS?

Email: DOACDBG@Wisconsin.gov



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CHAPTER 10: PROJECT COMPLETION

DEHCR – BUREAU OF COMMUNITY DEVELOPMENT



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PROJECT COMPLETION OVERVIEW

- General Requirements & Responsibilities
- Paperwork
- Submission, refer to your Grant Agreement’s Timetable (generally scheduled as 60 days after Construction Period ends)
- Resources



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ADMINISTRATIVE WORKFLOW

Project Completion Submission (UGLG)

Project Completion Review (DEHCR)

Final CDBG Payment & Follow-Up Financial Documents

Project Completion Certification & Completion Letter

Records Retention

- Submit Final CDBG Payment Request*
- Submit signed Project Completion documents

- Review of Project Completion documents
- Review Project File
- Reply to UGLG

- If approved, DEHCR processes Final Payment
- UGLG receives Final CDBG Payment
- UGLG updates & sends Final CCR**, DJ**, and bank statement(s) to DEHCR

- DEHCR sends signed Certificate of Project Completion & completion letter to UGLG

- UGLG retains records until given approval from DEHCR to discard records

* Documents reflect project financials prior to receiving the Final CDBG Payment Request.
** Documents reflect project financials **AFTER** receiving the Final CDBG Payment Request.

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PROJECT COMPLETION DOCUMENTS

■ Completion Report Certification

■ Financial Certificate of Completion

■ Final Summary Narrative

- Environmental Review Summary
- Fair Housing Actions Summary
 - List published/posted/mailed documents, dates, etc.
 - Affidavit(s) of Publication, if applicable
- 2nd Citizen Participation Public Hearing
 - Citizen Participation Public Hearing #2 Notice
 - Affidavit of Publication, and
 - Meeting Minutes/ Sign-In Sheet

■ Final Labor Standards Compliance Report(s)

■ Accessibility Self-Evaluation Checklist, if applicable


■ Lobbying Certification Form(s) for Contracts, Grants, Loans, & Agreements, if applicable

■ Single Audit Statement

■ Refund Check to DEHCR, if applicable

Project Completion Documents

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PROJECT COMPLETION DOCUMENTS

Final Reports

• Final Semi-Annual & Annual Reports:

- Semi-Annual Labor Standards Report
- Semi-Annual MBE-WBE Report
- Annual Section 3 Report



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PROJECT COMPLETION DOCUMENTS

- Final Payment Request documents:
 - Updated Cash Control Register (CCR)*
 - Updated CDBG Disbursements Journal (DJ)*
 - Updated Matching Funds Journal (MFJ)*
 - Invoices, Checks, & Bank Statements*


Final
Payment
Request

** Final versions of these documents (showing that all funds have been disbursed, invoices have been paid, and account balances have been zeroed-out where appropriate) are required to be submitted to DEHCR after the UGLG has received the Final CDBG Payment.*

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PROJECT COMPLETION CHAPTER ATTACHMENTS:

- Project Completion Report Certification
- Financial Certificate of Completion
- Final Summary Narrative

The logo of the Wisconsin Department of Administration, featuring a circular seal with the state capitol dome and the text "WISCONSIN DEPARTMENT OF ADMINISTRATION".

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PROJECT COMPLETION
REPORT CERTIFICATION

Division of Energy, Housing and Community Resources
UGLG Project Completion Report Certification

UGLG PROJECT COMPLETION REPORT CERTIFICATION
Wisconsin's Community Development Block Grant Program

A. NAME OF UGLG:

B. DEHCR GRANT AGREEMENT #:

C. BUSINESS NAME:

D. REPORTING PERIOD ENDED: (choose one)
☐ October 1, 20__ to March 31, 20__
☐ April 1, 20__ to September 30, 20__
☐ Other: _____

DOCUMENTS ATTACHED

☐ UGLG Project Completion Report Certification
☐ Financial Certificate of Completion, with original signature on each form
☐ Final Summary Narrative, including final update(s) regarding the status of the:

☐ Environmental Report,
☐ Fair Housing Actions completed, and
☐ Second Citizen Participation Public Hearing

☐ Semi-Annual Labor Standards Enforcement Report(s)
☐ Final Labor Standards Compliance Report(s)
☐ Cash Control Register for Final CDBG Request for Payment
☐ CDBG Disbursements Journal for Final CDBG Request for Payment
☐ Final Matching Funds Journal
☐ Accessibility Self-Evaluation Checklist (if applicable)
☐ Lobbying Certification(s) for Contractors and Sub-Contractor(s)
☐ Final CDBG Project Employee Self-Certification Report (ED/PFED/READI Only)
☐ Semi-Annual MBE/WBE Report (current semi-annual reporting period)
☐ Semi-Annual Section 3 Report (current semi-annual reporting period)
☐ Annual Section 3 Report (current annual reporting period)
☐ Single Audit Statement (Audit Required form or Audit Not Required form)

UGLG PREPARER CERTIFICATION

I hereby certify that to the best of my knowledge and belief, the contents in this report are true and correct.

Chief Elected Official's Signature and Title

Date

Preparer Signature (if other than a community official)

Date

DEHCR APPROVAL

DEHCR Signature

Division of Energy, Housing and Community Resources

Date

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Identify the Project

Indicate which Supporting Documents are also Included

Sign & Date

Will be completed by DEHCR

Division of Energy, Housing and Community Resources
UGLG Project Completion Report Certification

UGLG PROJECT COMPLETION REPORT CERTIFICATION
Wisconsin's Community Development Block Grant Program

A. NAME OF UGLG:
City of Lawrence

B. DEHCR GRANT AGREEMENT #:
CDBG-PP-17-00

C. BUSINESS NAME:
Not Applicable

D. REPORTING PERIOD ENDED: (choose one)
☐ October 1, 20__ to March 31, 20__
☐ April 1, 20__ to September 30, 20__
☒ Other: Project Closeout 10/01/2019 – 12/31/2019

DOCUMENTS ATTACHED

☒ UGLG Project Completion Report Certification
☒ Financial Certificate of Completion, with original signature on each form
☒ Final Summary Narrative, including final update(s) regarding the status of the:

☒ Environmental Report,
☒ Fair Housing Actions completed, and
☒ Second Citizen Participation Public Hearing

☒ Semi-Annual Labor Standards Enforcement Report(s)
☒ Final Labor Standards Compliance Report(s)
☒ Cash Control Register for Final CDBG Request for Payment
☒ CDBG Disbursements Journal for Final CDBG Request for Payment
☒ Final Matching Funds Journal
☒ Accessibility Self-Evaluation Checklist (if applicable)
☒ Lobbying Certification(s) for Contractors and Sub-Contractor(s)
☒ Final CDBG Project Employee Self-Certification Report (ED/PFED/READI Only)
☒ Semi-Annual MBE/WBE Report (current semi-annual reporting period)
☒ Semi-Annual Section 3 Report (current semi-annual reporting period)
☒ Annual Section 3 Report (current annual reporting period)
☒ Single Audit Statement (Audit Required form or Audit Not Required form)

UGLG PREPARER CERTIFICATION

I hereby certify that to the best of my knowledge and belief, the contents in this report are true and correct.

Dean Winchester Mayor 12/18/2019
Chief Elected Official's Signature and Title Date

Christie Engel City Clerk 12/18/2019
Preparer Signature (if other than a community official) Date

DEHCR APPROVAL

DEHCR Signature

Division of Energy, Housing and Community Resources

Date

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Division of Energy, Housing and Community Resources

Financial Certificate of Completion

FINANCIAL CERTIFICATE OF COMPLETION

Wisconsin's Community Development Block Grant Program

A. NAME OF UGLG:

B. DEHCR GRANT AGREEMENT #:

C. BUSINESS NAME:

D. FINAL STATEMENT OF COST AND COMPUTATION OF GRANT BALANCE

Project Activity By Budget Item (1)	CDBG Budget (2)	CDBG Funds Drawn (3)	CDBG Funds Pending (4)	Total CDBG Costs (5)	CDBG To Be Canceled (6)
TOTAL					
For DEHCR Use Only					

E. CERTIFICATION OF UGLG

It is hereby certified that all activities undertaken by the UGLG with funds provided under the Grant Agreement identified in B above have, to the best of my knowledge, been carried out in accordance with the Grant Agreement, and that the amounts set forth in this instrument are, to the best of my knowledge, true and correct as of this date.

Date Signed

Typed Name and Title of UGLG's Chief Elected Official

Signature of UGLG's Chief Elected Official

F. CERTIFICATION OF DEHCR

Date Signed

Typed Name and Title of DEHCR Authorized Official

Signature of DEHCR Authorized Official

Division of Energy, Housing and Community Resources

Financial Certificate of Completion

Revised: August 31, 2017

FINANCIAL CERTIFICATE OF COMPLETION

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FINANCIAL CERTIFICATE OF COMPLETION

A. NAME OF UGLG:
City of Lawrence

B. DEHCR GRANT AGREEMENT #:
CDBG-PF 17-99

C. BUSINESS NAME:
Not Applicable

D. FINAL STATEMENT OF COST AND COMPUTATION OF GRANT BALANCE

Project Activity By Budget Item (1)	CDBG Budget (2)	CDBG Funds Drawn (3)	CDBG Funds Pending (4)	Total CDBG Costs (5)	CDBG To Be Canceled (6)
Water	\$130,000.00	\$100,000.00	\$25,000.00	\$125,000.00	\$5,000.00
Sanitary Sewer	\$170,000.00	\$170,000.00	\$0.00	\$170,000.00	\$0.00
Storm Sewer	\$110,000.00	\$110,000.00	\$0.00	\$110,000.00	\$0.00
Streets/Sidewalks	\$75,000.00	\$75,000.00	\$0.00	\$75,000.00	\$0.00
Acquisition	\$15,000.00	\$15,000.00	\$0.00	\$15,000.00	\$0.00
TOTAL	\$500,000.00	\$470,000.00	\$25,000.00	\$495,000.00	\$5,000.00
For DEHCR Use Only					

E. CERTIFICATION OF UGLG

It is hereby certified that all activities undertaken by the UGLG with funds provided under the Grant Agreement identified in B above have, to the best of my knowledge, been carried out in accordance with the Grant Agreement, and that the amounts set forth in this instrument are, to the best of my knowledge, true and correct as of this date.

Date Signed
12/18/2019

Typed Name and Title of UGLG's Chief Elected Official
Dean Winchester, Mayor

Signature of UGLG's Chief Elected Official
Dean Winchester

F. CERTIFICATION OF DEHCR

Date Signed

Typed Name and Title of DEHCR Authorized Official

Signature of DEHCR Authorized Official

Division of Energy, Housing and Community Resources

Attachment 10-B: Financial Certificate of Completion

Revised: August 31, 2017

Identify the Project

Final Project Financials should back-up the Final Journals/Ledgers & All CDBG Payment Requests

Sign & Date

Will be completed upon approval/certification by DEHCR

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Division of Energy, Housing and Community Resources
Final Summary Narrative Report

FINAL SUMMARY NARRATIVE REPORT

A. NAME OF UGLG:

B. DEHCR GRANT AGREEMENT #:

C. REPORTING PERIOD ENDED: (choose one)
☐ October 1, 20__ to March 31, 20__
☐ April 1, 20__ to September 30, 20__
☐ Other: _____

THIS REPORTING PERIOD

OBJECTIVES	ACCOMPLISHMENTS

UPDATE ON PREVIOUS REPORTING PERIOD(S)

DELAYED OBJECTIVE	UPDATE

ENVIRONMENTAL REPORT STATUS

Provide a summary of the actions taken to complete the Environmental Report requirements of the CDBG project. Include all notes submitted with previous Semi-Annual Report submissions and address all applicable activities as listed in the Grant Agreement Timetable.

OBJECTIVES	ACCOMPLISHMENTS

FAIR HOUSING ACTIONS COMPLETED

Provide a summary of the activities undertaken to complete the Fair Housing Actions requirement of the CDBG project. Include all notes submitted with previous Semi-Annual Report submissions and address all applicable activities as listed in the Grant Agreement Timetable.

REMINDEE: The UGLG's contracted Fair Housing Actions (FHAs) must be completed by _____ per the Grant Agreement Timetable. Failure to meet this deadline will result in the denial of CDBG payment requests until the FHAs are completed.

OBJECTIVES	ACCOMPLISHMENTS

2ND CITIZEN PARTICIPATION PUBLIC HEARING STATUS

Provide a summary of the actions taken to complete the Second Citizen Participation Public Hearing requirement of the CDBG project. Include all notes submitted with previous Semi-Annual Report submissions and address all applicable activities as listed in the Grant Agreement Timetable.

REMINDEE: The UGLG's contracted Second Citizen Participation Public Hearing is scheduled to be completed by _____ per the Grant Agreement Timetable. Failure to meet this deadline may result in the denial of CDBG payment requests until the hearing is completed.

OBJECTIVES	ACCOMPLISHMENTS

Final Summary Narrative Report

Revised: August 31, 2017

FINAL SUMMARY NARRATIVE

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Division of Energy, Housing and Community Resources
Final Summary Narrative Report

FINAL SUMMARY NARRATIVE REPORT

A. NAME OF UGLG:
Village of Greenville

B. DEHCR GRANT AGREEMENT #:
CDBG-PF 17-99

C. REPORTING PERIOD ENDED: (choose one)
☐ October 1, 20__ to March 31, 20__
☐ April 1, 20__ to September 30, 20__
☒ Other: Project Closeout 10/01/2019 – 12/31/2019

THIS REPORTING PERIOD

OBJECTIVES	ACCOMPLISHMENTS
DUE by October 31st, 2019: <ul style="list-style-type: none">Complete Construction.	<ul style="list-style-type: none">Construction completed 10/17/2019.
DUE by December 31st, 2019: <ul style="list-style-type: none">Submit Final CDBG Request for Payment and supporting documentation.Submit Project Completion Report and supporting documentation. Include relevant final reports related to Labor Standards, MBE/WBE, and Section 3.	<ul style="list-style-type: none">Submitted herewith (12/18/2019); see attached Final CDBG Request for Payment and supporting documents.Submitted herewith (12/18/2019); see attached signed Project Completion Report and supporting documents. Final reports for Labor Standards, MBE/WBE, and Sec 3 are also attached.
After receiving Final CDBG Payment: <ul style="list-style-type: none">Submit Final Cash Control Register and CDBG Disbursements Journal.	<ul style="list-style-type: none">PENDING – Updated journals/ledgers will be submitted to DEHCR after the final CDBG Payment has been received.
DUE by January 15th, 2020: <ul style="list-style-type: none">Submit Annual Single Audit Statement to DEHCR.	<ul style="list-style-type: none">PENDING – Statement will be submitted to DEHCR after annual financials are calculated in early January.
DUE by September 25th, 2020: <ul style="list-style-type: none">Submit Single Audit Report and Management Letter to DEHCR/DOA (if applicable).	<ul style="list-style-type: none">PENDING – Report will be submitted to DEHCR as soon as it is completed (expected to be ready in early September).

UPDATE ON PREVIOUS REPORTING PERIOD(S)

DELAYED OBJECTIVE	UPDATE
Not Applicable – No delayed objectives from prior report period(s).	No delayed objectives from prior report period(s).

Continued on next page...

Final Summary Narrative Report

Revised: August 31, 2017

FINAL SUMMARY NARRATIVE (CONTINUED)

Identify the Project

Timeline Actions (since last reporting period)

Report Progress

Timeline Actions (delayed from last reporting period)

Report Progress

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FINAL SUMMARY
NARRATIVE
(CONTINUED)

Division of Energy, Housing and Community Resources
Final Summary Narrative Report

ENVIRONMENTAL REPORT STATUS

Provide a summary of the actions taken to complete the Environmental Report requirements of the CDBG project. Include all notes submitted with previous Semi-Annual Report submissions and address all applicable activities as listed in the Grant Agreement Timetable.

OBJECTIVES	ACCOMPLISHMENTS
DUE Prior to Construction: <ul style="list-style-type: none">Complete Environmental Report and obtain official approval from DEHCR Environmental Desk. Submit copy of approval from DEHCR Environmental Desk to assigned DEHCR CDBG Project Representative.	<ul style="list-style-type: none">Approval of Environmental Report received from DEHCR Environmental Desk 02/01/2018. Copy of signed approval letter submitted to DEHCR CDBG Project Representative 02/05/2018.

FAIR HOUSING ACTIONS COMPLETED

Provide a summary of the activities undertaken to complete the Fair Housing Actions requirement of the CDBG project. Include all notes submitted with previous Semi-Annual Report submissions and address all applicable activities as listed in the Grant Agreement Timetable and the Grant Agreement Attachments.

REMINDED: The UGLG's contracted Fair Housing Actions (FHAs) must be completed by 09/30/2018 per the Grant Agreement Timetable. Failure to meet this deadline will result in the denial of CDBG payment requests until the FHAs are completed.

OBJECTIVES	ACCOMPLISHMENTS
DUE by September 30th, 2018: <ul style="list-style-type: none">Fair Housing Action #1 – The Village will post a Fair Housing poster at Village Hall, at the Post Office, and at the Library.Fair Housing Action #2 – The Village will... (insert description here).Fair Housing Action #3 – The Village will... (insert description here).	<ul style="list-style-type: none">Fair Housing posters were posted 03/12/2018 – Photos of posted posters and list of posting locations attached.The Village completed... (insert description here) 09/15/2018. Copies of the... and supporting documentation is attached.The Village completed... (insert description here) 09/29/2018. Copies of the... and supporting documentation is attached.

2ND CITIZEN PARTICIPATION PUBLIC HEARING STATUS

Provide a summary of the actions taken to complete the Second Citizen Participation Public Hearing requirement of the CDBG project. Include all notes submitted with previous Semi-Annual Report submissions and address all applicable activities as listed in the Grant Agreement Timetable.

REMINDED: The UGLG's contracted Second Citizen Participation Public Hearing is scheduled to be completed by 03/31/19 per the Grant Agreement Timetable. Failure to meet this deadline may result in the denial of CDBG payment requests until the hearing is completed.

OBJECTIVES	ACCOMPLISHMENTS
DUE by March 31st, 2019: <ul style="list-style-type: none">Conduct second Public Hearing to report project progress to, and receive input from, local community regarding the CDBG project. DUE by April 15th, 2019: <ul style="list-style-type: none">Report status of second Public Hearing completion (in the 2nd Citizen Participation Public Hearing section of the Semi-Annual Summary Narrative) and submit second Public Hearing meeting notice, attendance list, and meeting minutes to DEHCR CDBG Project Representative.	<ul style="list-style-type: none">Completed 2nd Citizen Participation Public Hearing 03/31/2019.Status reported on previous semi-annual report. Public Hearing minutes, sign-in sheet, and public notice (including the Publisher's Affidavit) are attached.

Final Summary Narrative Report

Revised: August 31, 2017

Environmental
Report Status
Summary

Fair Housing Actions
Completed
Summary


2nd Citizen
Participation Public
Hearing Status
Summary

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QUESTIONS?

Email: DOACDBG@Wisconsin.gov



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CONTACTS

Division of Energy, Housing and Community Resources (DEHCR)

Bureau of Community Development:

Email:

DOACDBG@wisconsin.gov

Website:

<http://doa.wi.gov/Divisions/Housing/Bureau-of-Community-Development>



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CONSOLIDATED PLAN

Online Recording:

<http://www.doa.state.wi.us/Divisions/Housing/Consolidated-Plan>

Submit Inquiries via Email:

DOADEHCRHousing@wisconsin.gov



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THANK YOU FOR YOUR ATTENDANCE.

- ATTENDEES ARE REQUESTED TO COMPLETE THE EVALUATION(S).
- STAFF WILL BE AVAILABLE FOR FOLLOW-UP QUESTIONS.



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