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

# Implementation Training for CDBG Projects

*October 6<sup>th</sup> and 8<sup>th</sup>, 2020 (Online)*



# PURPOSE OF TRAINING

- Provide a brief introductory overview of the requirements for administering the Community Development Block Grant for:
  - Public Facilities (PF),
  - Planning (PLNG),
  - Public Facilities for Economic Development (PFED),
  - Economic Development (ED), and
  - Public Services (PS)
- Provide an opportunity to introduce the Bureau of Community Development (BCD) staff

# OUR STAFF

## Bureau of Community Development:

- Dave Pawlisch, Bureau Director
- Mark Staff, Section Chief
- Angela Davis, Grants Specialist
- Ben Lehner, Grants Specialist
- Juli Speck, Grants Specialist
- Joanna Storm, Grants Specialist
- Tamra Fabian, Grants Specialist

# TRAINING LOGISTICS

- Training Materials:
  - Agenda
  - Implementation Handbook
  - Training Slides
  - Asking/Submitting Questions
  - Evaluations
  - Additional Topic-Specific Webinar Sessions

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# CHAPTER 1: INTRODUCTION

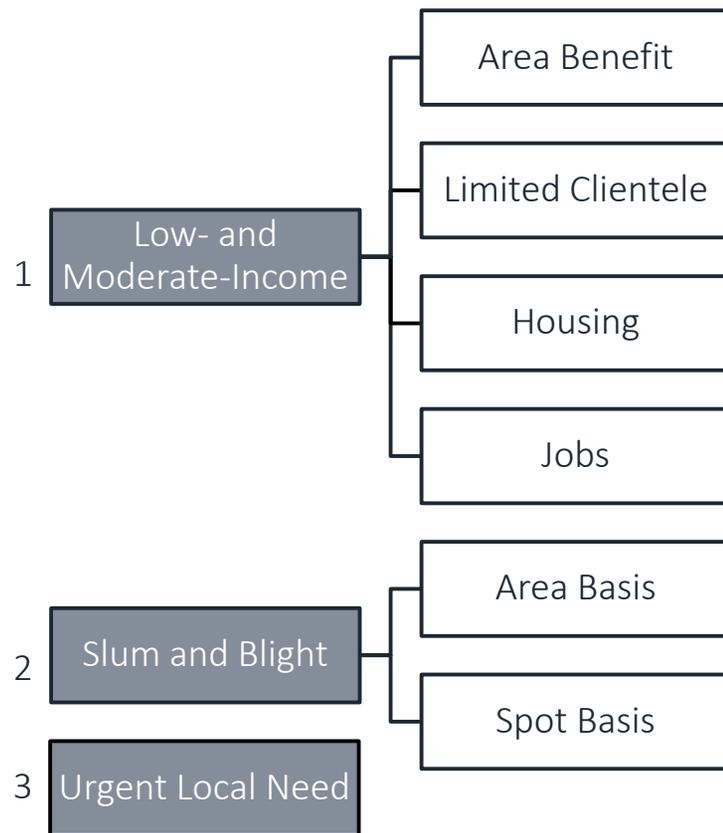
DEHCR – BUREAU OF COMMUNITY DEVELOPMENT



# COMMUNITY DEVELOPMENT BLOCK GRANTS

- The U.S. Department of Housing and Urban Development (HUD) provides federal funding to States, sub-granted to Units of General Local Government (UGLGs) through the CDBG program to:
  - Promote affordable housing,
  - Create suitable living environments, and
  - Expand economic opportunities for persons with low- and moderate-incomes.
- 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).

# ALL CDBG PROJECTS MUST MEET 1 OF 3 NATIONAL OBJECTIVES:



- 70% of the CDBG funds the State utilizes must be designated specifically for the benefit of 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/>

# 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



# 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/stateguide](http://portal.hud.gov/hudportal/HUD?src=/program_offices/comm_planning/communitydevelopment/library/stateguide)



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# CHAPTER 2: ADMINISTRATIVE REQUIREMENTS

DEHCR – BUREAU OF COMMUNITY DEVELOPMENT



# CHAPTER OVERVIEW

- Duties & Responsibilities
  - Commitments (Application & Award Letter certifications)
  - Record Keeping & File Management
  - Grant Agreement compliance
  - Monitoring (including Reporting)
- Paperwork & File Organization
- Resources: Utilize the Chapter 2 Attachments
  - Project File Checklist (Recommended) (*Attachment 2-A*)
  - Self-Monitoring Checklist (Required) (*Attachment 2-B*)

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# GRANT AGREEMENT AMENDMENTS

DEHCR – BUREAU OF COMMUNITY DEVELOPMENT



# 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!



# 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 (weather, etc.)

Construction must start and end no later than due dates in Grant Agreement Time Table.  
(DEHCR approval for exception *very rare!*)

# QUESTIONS?

Email: Your assigned DEHCR Program Rep  
or  
[DOACDBG@Wisconsin.gov](mailto:DOACDBG@Wisconsin.gov)



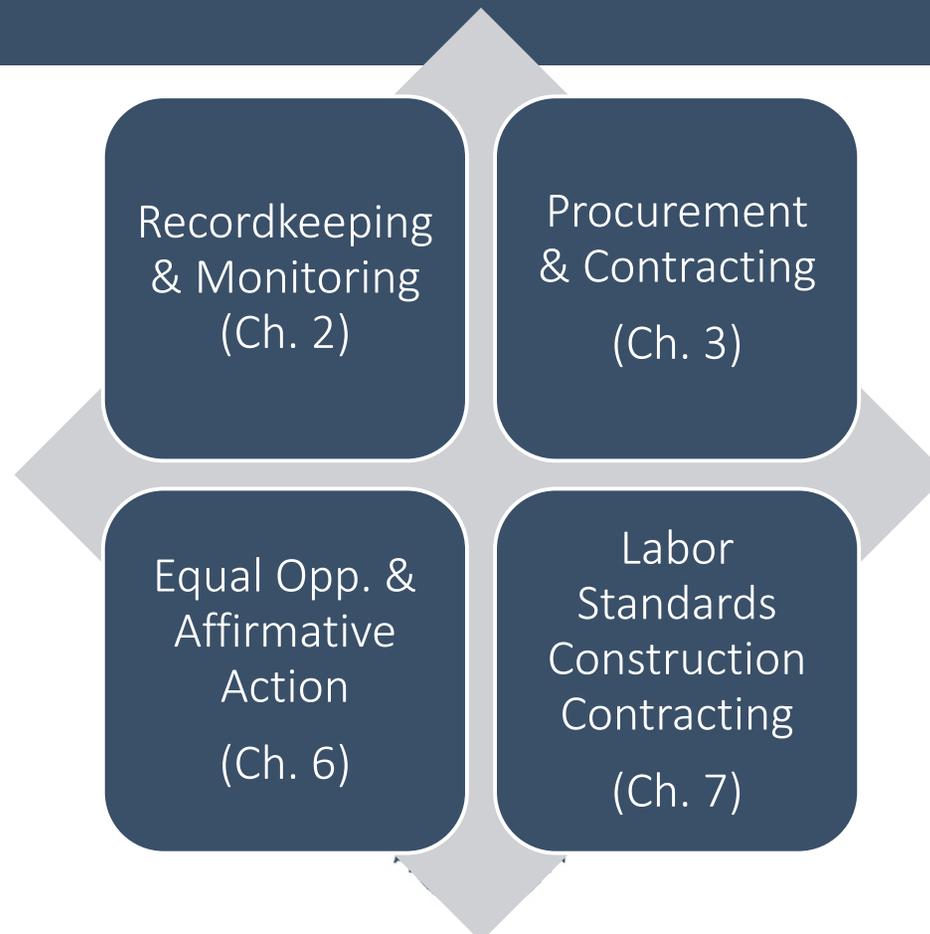
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# CHAPTER 3: PROCUREMENT & CONTRACTING

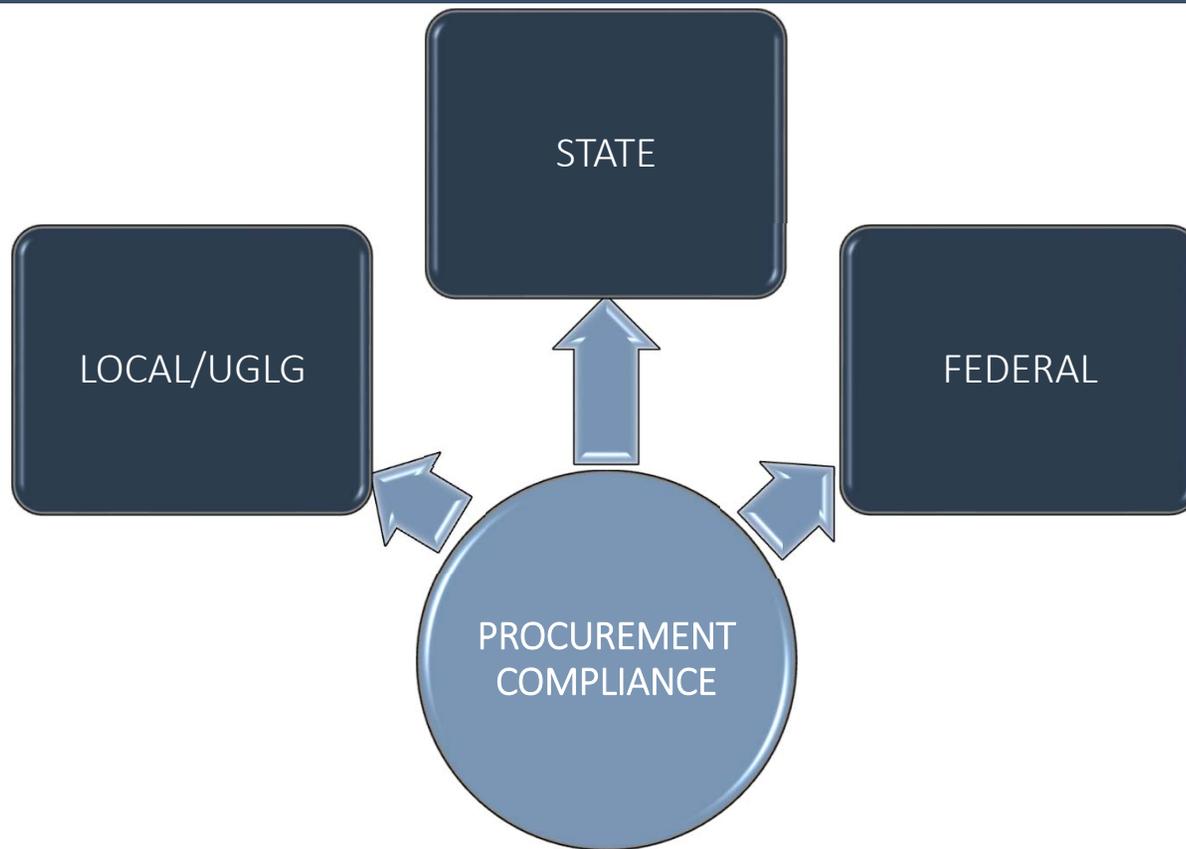
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# PROCUREMENT REQUIREMENTS FOR CDBG PROJECTS



# PROCUREMENT REQUIREMENTS FOR CDBG PROJECTS



# 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

# PRACTICES DISCOURAGING 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



# WISCONSIN STATUTES ON PROCUREMENT FOR PUBLIC WORKS

Statute	Requirement Topic
§66.0901	General for Municipality: Public works, contracts, bids
§59.52(29) - (31)	Counties: Home rule, construction of powers, county property
§60.47	Towns: Public contracts and competitive bidding
§61.54 - §61.57	Villages: Ordinances, contracts, public works, acquisition of recycling or resource recovery facilities without bids
§62.15	Cities: Public works



# CDBG COMPETITIVE PROCUREMENT METHODS

(CH. 3, PP. AND ATTACHMENT 3-F)

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

# PROCUREMENT DECISIONS

## CDBG- Funded (in whole or in part):

- Comply with *most restrictive* of Local, State and Federal requirements

## Local/Match Funded Only:

- Comply with Local Policy(ies)

*Know your local policy(ies)!*

# PROCUREMENT DECISIONS

Work by UGLG or other Govt. Entity  
(including *Quasi-Govt.*, e.g., RPCs, certain EDOs):

- No procurement process required
- Agreement in writing required *if* inter-governmental

Work by Non-Governmental 3<sup>rd</sup> Party:

- Procurement requirements will apply
- Agreement/contract in writing required

# PROCUREMENT DECISIONS

## Construction Related Contracts

- Comply with State & Federal regs., **regardless of funding source**
- Competitive process, unless exception approved by DEHCR

## Professional Services / Non-Construction Contracts

- **CDBG Funded:** Competitive procurement required (*except Inter-Governmental*)
- **Match Funded:** Comply with Local policy(ies)

# PROCUREMENT: CONFLICTS OF INTEREST

- Mechanism for Disclosure  
(Attachment 3-B)
- Contract Language  
(Attachment 3-C)
- Follow Local Policy(ies)
- Follow *Handbook* guidance  
(Ch. 3, pp. 5-8)

*Potential conflicts disclosed must be reviewed publicly!*



BCD CDBG Implementation Handbook

**ATTACHMENT 3-B: POTENTIAL CONFLICT OF INTEREST DISCLOSURE (TEMPLATE)**

Division of Energy, Housing and Community Resources (DEHCR)  
Community Development Block Grant – Potential Conflict of Interest Disclosure

**POTENTIAL CONFLICT OF INTEREST DISCLOSURE**

<Insert Title of Project>  
<Insert Municipality Name, e.g. City 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:

<INSERT FULL NAME AND TITLE OF CHIEF ELECTED OFFICIAL>  
 <INSERT FULL NAME AND TITLE OF OTHER ELECTED OFFICIAL>  
 <INSERT FULL NAME AND TITLE OF OTHER ELECTED OFFICIAL>

<INSERT MUNICIPALITY TYPE> ADMINISTRATION, DEPARTMENT HEADS AND LEGAL COUNSEL:

<INSERT FULL NAME AND TITLE>  
 <INSERT FULL NAME AND TITLE>  
 <INSERT FULL NAME AND TITLE>

ENGINEERING AND CONSULTING FIRM(S):

<INSERT FULL NAME, TITLE, AND BUSINESS/FIRM NAME>  
 <INSERT FULL NAME, TITLE, AND BUSINESS/FIRM NAME>  
 <INSERT FULL NAME, TITLE, AND BUSINESS/FIRM NAME>

Description of Relationship(s):  
 Please Note: The name of any bidder with a potential conflict of interest will be disclosed at

TEMPLATE

# PROCUREMENT: OTHER CONSIDERATIONS

- MBE/WBE, Section 3/LMI, local and small business participation
- No **debarred** contractors  
(check *SAM.gov/SAM*)
- Lobbying activity restrictions and disclosure  
(*Attachment 3-D* and *Attachment 3-E*)



## CONSTRUCTION: COMPETITIVE SEALED BID

- Required for Construction contracts >\$25,000
- 2 or more bids required (exceptions require justification)
- May opt to make no award and re-bid  
(e.g., bids not responsive and responsible; bids too high, etc.)



# PROFESSIONAL SERVICES PROCUREMENT: COMPETITIVE PROPOSAL

## *Optional Templates in Handbook:*

- ***New Attachment 3-G:*** Request for Proposals (RFP) Template
- ***New Attachment 3-H:*** Request for Qualifications (RFQ) Template *(for Architectural/Engineering only)*

*Customize Templates to fit needs.*



# PROFESSIONAL SERVICES PROCUREMENT

## No Multiple-Services Procurement and Contracting

- *Exception 1:* Same firm for prelim. engineering & project engineering
- *Exception 2:* Same firm for CDBG Application preparation & administration
- *Exception 3:* Same firm for CDBG Planning (PLNG) Application preparation & Planning process



# PROFESSIONAL SERVICES PROCUREMENT

## No Loss-Leader Arrangements:

No discounted or free grant application preparation or preliminary engineering estimates *in exchange for* contract award if application is funded



# CONTRACT LANGUAGE/ATTACHMENTS

## CH. 3, P. 21

CDBG Implementation Handbook Attachments / Federal Language Requirements for Contracts Executed for a CDBG Project	
<p><i>Important Note: For construction-related contracting, the documents specified below for the contract must also be included in the bidding packet for the contract.</i></p>	
Construction Contracts of \$10,000 or LESS	Construction Contracts of GREATER Than \$10,000
<ul style="list-style-type: none"> <li>Attachment 3-B* [Conflict of Interest Disclosure Form]</li> <li>Attachment 3-C [24 CFR 570.489(h) Conflict of Interest Clause]</li> <li>Attachment 3-D [Lobbying Certification Form]</li> <li>Attachment 3-E (if contractor has lobbying activities to disclose) [Disclosure of Lobbying Activities Form]</li> <li>Attachment 6-B [Section 3 Contract Requirements]</li> <li>Attachment 7-B** [Davis-Bacon and Related Acts (DBRA)]</li> <li>Attachment 7-G [Federal Labor Standards Provisions (4010)]</li> <li>Attachment 7-I* [Pre-Construction Meeting Items to be Discussed]</li> <li>Attachment 7-J* [Pre-Construction Checklist for Contractors]</li> <li>Applicable Davis-Bacon/Federal Wage Decision(s)**</li> </ul>	<ul style="list-style-type: none"> <li>Attachment 3-B* [Conflict of Interest Disclosure Form]</li> <li>Attachment 3-C [24 CFR 570.489(h) Conflict of Interest Clause]</li> <li>Attachment 3-D [Lobbying Certification Form]</li> <li>Attachment 3-E (if contractor has lobbying activities to disclose) [Disclosure of Lobbying Activities Form]</li> <li>Attachment 6-A [Equal Opportunity Clause (EO 11246)]</li> <li>Attachment 6-B [Section 3 Contract Requirements]</li> <li>Attachment 6-C [Affirmative Action Requirements (EO 11246)]</li> <li>Attachment 6-D [Federal Equal Employment Opportunity Clauses Construction Contract Specifications (EO 11246)]</li> <li>Attachment 7-B** [Davis-Bacon and Related Acts (DBRA)]</li> <li>Attachment 7-G [Federal Labor Standards Provisions (4010)]</li> <li>Attachment 7-I* [Pre-Construction Meeting Items to be Discussed]</li> <li>Attachment 7-J* [Pre-Construction Checklist for Contractors]</li> <li>Attachment 7-R [MBE/WBE/DBA Web Resources]</li> <li>Applicable Davis-Bacon/Federal Wage Decision(s)**</li> </ul>

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
<ul style="list-style-type: none"> <li>Attachment 3-B* [Conflict of Interest Disclosure Form]</li> <li>Attachment 3-C [24 CFR 570.489(h) Conflict of Interest Clause]</li> <li>Attachment 3-D [Lobbying Certification Form]</li> <li>Attachment 3-E (if contractor has lobbying activities to disclose) [Disclosure of Lobbying Activities Form]</li> <li>Attachment 6-B [Section 3 Contract Requirements]</li> </ul>	<ul style="list-style-type: none"> <li>Attachment 3-B* [Conflict of Interest Disclosure Form]</li> <li>Attachment 3-C [24 CFR 570.489(h) Conflict of Interest Clause]</li> <li>Attachment 3-D [Lobbying Certification Form]</li> <li>Attachment 3-E (if contractor has lobbying activities to disclose) [Disclosure of Lobbying Activities Form]</li> </ul>
<p><i>*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.</i></p> <p><i>**Required to be in the contract only if Davis-Bacon and Related Acts (DBRA) are applicable to the project.</i></p>	



# PROCUREMENT COMMON PITFALLS

- Not having record of 3 quotes in writing obtained for Simplified Acquisition procurement
- Not following local procurement policy(ies) when contracting for professional services (funded with Match)
- Not competitively procuring professional services in accordance with CDBG requirements (funded with CDBG)
- Not making the RFP “publicly available” for professional services (funded with CDBG), e.g. Grant Admin. contracts
- Not having all RFP/RFQ documentation on file

# PROCUREMENT COMMON PITFALLS

- Not all CDBG language/insertions in both prime contracts and all subcontracts
- No mechanism for disclosure of potential conflicts of interest
- Not reviewing disclosed potential conflicts of interest in accordance with CDBG requirements
- Not conducting SAM.gov debarment check at time of contracting or not having record(s) of SAM.gov debarment check(s) on file



# PROCUREMENT MONITORING: CDBG FILE CONTENTS

Refer to Chapter 2 and Chapter 3  
of *CDBG Implementation Handbook*  
for file contents requirements.



# HELPFUL WEBSITES

- HUD 24 CFR Part 85.36 (Federal Procurement Regulations):  
[http://www.hud.gov/offices/lead/library/lead/24\\_CFRPART\\_85.pdf](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](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)

# QUESTIONS?

Email: Your assigned DEHCR Program Rep

or

[DOACDBG@Wisconsin.gov](mailto:DOACDBG@Wisconsin.gov)



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# CHAPTER 5: ACQUISITION & RELOCATION

DEHCR – BUREAU OF COMMUNITY DEVELOPMENT



# 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)



# URA APPLICABILITY

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



# 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

# TYPES OF ACQUISITION

## ■ Voluntary

- No threat of use of eminent domain authority (condemnation)
- Must meet specific criteria for voluntary acquisition

*A property owner's willingness to cooperate does not constitute voluntary acquisition!*

## ■ Involuntary

- Any acquisition that does not qualify as voluntary
- *Potential* for use of eminent domain authority (condemnation)

## ■ Easements (can be voluntary or involuntary)

- Temporary
- Permanent



# VOLUNTARY ACQUISITION

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

1. Not a specific site needed for CDBG project  
AND
2. Property not part of an intended, planned or designated project area where other properties will be acquired within specific time limits  
AND
3. Must inform owner property will not be acquired by condemnation if negotiations fail  
AND
4. Must inform owner in writing of the property’s current fair market value

*(Revised Attachment 3-B Template)*

# VOLUNTARY ACQUISITION

Owners do not qualify for relocation assistance under Voluntary Acquisition.

Displaced tenants **MUST** be provided notice of relocation rights and relocation assistance (cannot waive rights).

# INVOLUNTARY ACQUISITION

## Involuntary Acquisition Determination:

- Any property acquisition that does not meet all of the requirements for voluntary acquisition
- UGLG may or may not opt to exercise power of eminent domain authority to acquire property
- Triggers full URA requirements

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

# INVOLUNTARY ACQUISITION

- Appraisal required **except**:
  - Nominal Property Value (<\$10,000)
  - Donation/Owner Waiver

*New* Handbook language for appraisal exceptions (pp. 23-24)

*New* Templates (*Attachment 5-M & Attachment 5-N*)
- Exception for current Fair Market Value (FMV) - Owner Waiver
- Cannot pay more than 20% above FMV using CDBG funds (unless granted exception – justification required)



# EASEMENTS

- **Definition:**

The right to use the real property of another for a specific purpose without profit

- **URA Applicability:**

Subject to URA requirements for voluntary/involuntary acquisition

- **Temporary:**

Easements granted for a specific period of time

- Exception to URA requirements:

Temporary limited easements for **sole benefit of the owner**

Email Letter to DEHCR and maintain in file (*Revised Attachment 5-E* Template)

- **Permanent:**

Easements attached to a deed and continue to affect the land through subsequent changes in ownership

# ACQUISITION & RELOCATION PROCESSES

Voluntary Acquisition Process:

*Revised Attachment 5-C*

Involuntary Acquisition Process:

*Revised Attachment 5-D*

Relocation Process:

*Revised Attachment 5-F thru 5-I*

# ACQUISITION / RELOCATION NOTICE TO DEHCR

- Notify prior to start of construction (if known)
- Submit **New** Form (Attachment 5-L)
- No construction on property until A&R processes are completed.



## ATTACHMENT 5-L: NOTICE OF ACQUISITION/RELOCATION TO DEHCR

### Community Development Block Grant Program

DATE: [Date]	
UGLG: [UGLG Name, e.g., Village of Yourville]	CDBG GRANT AGREEMENT #: (if Grant Agreement # issued) [GA # (e.g., PF 20-01)]
PREPARER'S NAME & TITLE (AND ENTITY / FIRM NAME, IF NOT UGLG EMPLOYEE): [Form Preparer's Name, Title] [Entity/Firm Name, if applicable]	PREPARER'S PHONE # & EMAIL: [Phone #] [Email Address]
PREPARER'S SIGNATURE:	
1) PROPERTY ADDRESS & PARCEL #: [Property Street Address], [City], WI [Zip Code] [Parcel #]	TARGET PURCHASE DATE: [Enter Date]
Check 1 Box Below: <b>AND</b> <input type="checkbox"/> Temporary Easement: <input type="checkbox"/> Permanent Easement: <input type="checkbox"/> Permanent Acquisition:	Check 1 Box Below: <input type="checkbox"/> Voluntary <input type="checkbox"/> Involuntary <input type="checkbox"/> Voluntary <input type="checkbox"/> Involuntary <input type="checkbox"/> Voluntary <input type="checkbox"/> Involuntary
Relocation Required: <input type="checkbox"/> Yes <input type="checkbox"/> No [If applicable, Enter # and names of persons or type of personal property requiring relocation, if known, and timeframe for relocation planned. If not applicable, then enter "N/A"]	
2) PROPERTY ADDRESS & PARCEL #: [Property Street Address], [City], WI [Zip Code] [Parcel #]	TARGET PURCHASE DATE: [Enter Date]
Check 1 Box Below: <b>AND</b> <input type="checkbox"/> Temporary Easement: <input type="checkbox"/> Permanent Easement: <input type="checkbox"/> Permanent Acquisition:	Check 1 Box Below: <input type="checkbox"/> Voluntary <input type="checkbox"/> Involuntary <input type="checkbox"/> Voluntary <input type="checkbox"/> Involuntary <input type="checkbox"/> Voluntary <input type="checkbox"/> Involuntary
Relocation Required: <input type="checkbox"/> Yes <input type="checkbox"/> No [If applicable, Enter # and names of persons or type of personal property requiring relocation, if known, and timeframe for relocation planned. If not applicable, then enter "N/A"]	
3) PROPERTY ADDRESS & PARCEL #: [Property Street Address], [City], WI [Zip Code] [Parcel #]	TARGET PURCHASE DATE: [Enter Date]
Check 1 Box Below: <b>AND</b> <input type="checkbox"/> Temporary Easement: <input type="checkbox"/> Permanent Easement: <input type="checkbox"/> Permanent Acquisition:	Check 1 Box Below: <input type="checkbox"/> Voluntary <input type="checkbox"/> Involuntary <input type="checkbox"/> Voluntary <input type="checkbox"/> Involuntary <input type="checkbox"/> Voluntary <input type="checkbox"/> Involuntary
Relocation Required: <input type="checkbox"/> Yes <input type="checkbox"/> No [If applicable, Enter # and names of persons or type of personal property requiring relocation, if known, and timeframe for relocation planned. If not applicable, then enter "N/A"]	

Email this form to assigned DEHCR Project Representative for CDBG Project  
OR [DOACDBG@wisconsin.gov](mailto:DOACDBG@wisconsin.gov) (if not yet assigned a DEHCR Project Rep.);  
AND to UGLG (if form completed by 3<sup>rd</sup> party, who is not an employee of UGLG).

# RELOCATION PLAN

- State and Federal Requirement
- Must prepare Plan if relocation “may be necessary” for the project
- Plan Template on State Relocation website (by *DOA Division of Legal Services*)
- 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 to DEHCR



# ACQUISITION / RELOCATION MONITORING & RECORDKEEPING

## Acquisition/Relocation Monitoring Checklist:

*Revised Attachment 5-K*

*(Required to be submitted to DEHCR  
at time of DEHCR's monitoring of project)*



# ACQUISITION / RELOCATION FORMS & TEMPLATES

- *CH. 5 HANDBOOK ATTACHMENTS*

- *HUD Tenant Assistance, Relocation and Real Property Acquisition Handbook (1378.0):*

[https://www.hudexchange.info/programs/relocation/guidance/#handbooks.](https://www.hudexchange.info/programs/relocation/guidance/#handbooks)

*For Guidance Only – Customize for Needs.  
Consult professional legal/real estate counsel!*



# HELPFUL WEBSITES

State/Wisconsin: State Relocation Website *(by DOA Division of Legal Services)*

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

Federal:

- HUD Portal

[http://portal.hud.gov/hudportal/HUD?src=/program\\_offices/comm\\_planning/library/relocation](http://portal.hud.gov/hudportal/HUD?src=/program_offices/comm_planning/library/relocation)

- HUD Handbook

*Tenant Assistance, Relocation and Real Property Acquisition Handbook (1378.0):*

<https://www.hudexchange.info/programs/relocation/guidance/#handbooks>.

- Federal Highway Administration (FHWA)

[http://www.fhwa.dot.gov/real\\_estate/uniform\\_act/relocation/](http://www.fhwa.dot.gov/real_estate/uniform_act/relocation/)

# IMPORTANT REMINDERS

- Inform DEHCR at the start of acquisition and/or relocation process
- Follow guidance in *CDBG Implementation Handbook*, State Relocation Website and HUD guidance materials; and consult professional legal/real estate counsel
- Properly classify the acquisition type
- Do not start negotiations before applicable required notices given
- Make a determination of FMV regardless of acquisition type
- Document process and have all records in CDBG project file

# QUESTIONS?

Email: Your assigned DEHCR Program Rep

or

[DOACDBG@Wisconsin.gov](mailto:DOACDBG@Wisconsin.gov)



# MBE/WBE OBJECTIVE

(CH. 6, 7)

Provide economic opportunities to small business minority business enterprises (MBEs) and woman business enterprises (WBEs) through contracting for federally funded projects



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# CHAPTER 6: EQUAL OPPORTUNITY, FAIR HOUSING & SECTION 3

DEHCR – BUREAU OF COMMUNITY DEVELOPMENT



# REQUIREMENTS / OBJECTIVE

(CH. 6)

- Refer to Chapter 3, 5, 6, 7 and 9 for details on requirements.
- Provide equal opportunity and fair housing for all CDBG projects.
  - Fair Housing Actions required for ALL CDBG projects.
- Provide economic opportunities and access to public facilities and services to low- and moderate-income (LMI) persons.
- Provide economic opportunities for small, minority-owned and woman-owned businesses.



# MBE/WBE DEFINITIONS

(CH. 6)

## MBE:

- Small business at least 51% owned and controlled by one or more minority persons

## WBE:

- Small business at least 51% owned and controlled by one or more women

## DBE:

- Small business qualifying as a Disadvantaged Business Enterprise according to Dept. of Transportation standards – *May also qualify as MBE, WBE and/or Section 3 Business*

# MBE/WBE COMPLIANCE

CH. 3, 6, 7, 9

## Reporting:

- Semi-Annual MBE/WBE Report to DEHCR (Ch. 9)

## Contracting:

- Best Efforts: Promoting Participation – Procurement Solicitations & Contract Language; Outreach Requirements for Contractors (Ch. 3, 6, 7)
- Refer to Ch. 3, 6 & 7 of Handbook for Requirements, Goals, Best Practices

*Additional Equal Opportunity Requirements Apply! (Ch. 3, 6, 7)*



# SECTION 3 OBJECTIVE

CH. 3, 6, 7

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

*(24 CFR 135 and Housing & Urban Development Act of 1968 (12 U.S.C. 1701u) (section 3) (Title 24-HUD, Chapter 1)*

“Opportunity” involves reasonable access and fair notification.

# SECTION 3 DEFINITIONS

(CH. 6)

## Section 3 Residents:

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

## Section 3 Business:

- 51% owned by LMI person(s), 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

# SECTION 3 RESPONSIBILITIES

CH. 3, 6, 7

- Provide economic opportunities to low-income persons and qualified Section 3 businesses – to the greatest extent feasible (§135.30)
- Refer to Ch. 3, 6, & 7 of *Handbook* for Section 3 compliance requirements
- Goals and Best Practices found in Ch. 6 of *Handbook*
- Notify contractors of Section 3 responsibilities



# SECTION 3 COMPLIANCE DOCUMENTS

CH. 3, 6, 7, 9

## Reporting:

- Section 3 Reports from *ALL* contractors maintained in project file
- Grantee's Section 3 Report to DEHCR (Ch. 9)

## Hiring for CDBG Project:

- Best efforts: Jobs advertised through local/county job center and local Public Housing locations (Housing Authority) (Ch. 6)

## Contracting:

- Best efforts: Include required language (*Attachment 6-B*) (Ch. 6)

# QUESTIONS?

**Email:** [DOAEnvironmentalDesk@wisconsin.gov](mailto:DOAEnvironmentalDesk@wisconsin.gov)  
and  
[DOACDBG@Wisconsin.gov](mailto:DOACDBG@Wisconsin.gov)



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# CHAPTER 4: ENVIRONMENTAL

DEHCR – BUREAU OF COMMUNITY DEVELOPMENT



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# WHAT IS AN ENVIRONMENTAL REVIEW?

- The process of reviewing a project and its potential environmental impacts to determine whether it meets federal, state and local environmental standards.
- 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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# 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.
- DEHCR cannot release funds until the environmental review process is complete and an award and Grant Agreement are in place.



# 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*)



# 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.)



# STEP I: PROJECT CLASSIFICATION (CONT.)

## **Categorically Excluded Activities Subject to 58.5 [24 CFR 58.35(a)]**

- Includes replacement or rehabilitation of facilities that do not significantly change land use or capacity by more than 20%, 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.



## STEP 2: PROJECT REVIEW

- **All Projects** – Must Complete *Statement of Activities (Attachment 4-B)*
  - Each activity must be classified; the *most restrictive* classification will then be the project's overall classification.
- **Exempt or Categorically Excluded, Not Subject to 58.5:** No In-depth Review Required.
- **Categorically Excluded, Subject to 58.5:** In-depth Review Required.
  - Includes *Statutory Checklist (Attachment 4-C)*; and
  - *Part 1 Environmental Review Record (ERR) (Attachment 4-I)*.
  - Can take up to 30 days for responses to requests for comment.
- **Environmental Assessment:** In-depth Review Required, including:
  - *Statutory Checklist (Attachment 4-C)*;
  - *Environmental Review Record (ERR) (Attachment 4-I)*;
  - *Part 2 Environmental Assessment (EA) (Attachment 4-I Environmental Report)*; and
  - If *Finding of Significant Impact*, then an Environmental Impact Statement may be required. *Contact DEHCR Environmental Desk immediately.*

# STEP 3: PUBLIC NOTICE REQUIREMENTS

- **Exempt Activities [24 CFR 58.34 (a)(1) through (12)] and Categorically Excluded Projects Not Subject to 58.5 [24 CFR 58.35(b)]:**
  - NOT required to publish any public notices.
- **Categorically Excluded Projects Subject to 58.5 [24 CFR 58.35(a)] with no negative comments and no compliance issues:**
  - NOT required to publish any public notices.
- **Categorically Excluded Projects Subject to 58.5 [24 CFR 58.35(a)] with negative comments and/or compliance issues and comments/issues resolved:**
  - Publish a *Notice of Intent to Request Release of Funds (NOI/RROF) (Attachment 4-F)* with a **7 or 10 day** notice period.
  - After notice period, documents sent to DEHCR Environmental Desk for an additional **15 day** comment period.
- **Environmental Assessment (EA) [24 CFR 58.36] with a *Finding of No Significant Impact*:**
  - Publish a *Combined Notice of Findings/Notice of Intent to Request Release of Funds (Attachment 4-G)*
  - **15 or 18** day notice period.
  - After notice period, documentation is sent to DEHCR Environmental Desk for an additional **15 day** comment period.

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

# STEP 3: PUBLIC NOTICE REQUIREMENTS (CONT.)

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

# STEP 4: DOCUMENT SUBMITTAL REQUIREMENTS

All Environmental Reports must have:

- Cover page (*Attachment 4-1*)
- Project Description (*Attachment 4 -1*)
- Project Classification (*Attachment 4-1*)
- Summary (*Attachment 4-1*)
- Statement of Activities (*Attachment 4-B*)

All Environmental Reports must be complete and submitted to:

DEHCR Environmental Desk

[DOAEnvironmentalDesk@Wisconsin.gov](mailto:DOAEnvironmentalDesk@Wisconsin.gov)



## STEP 4: DOCUMENT SUBMITTAL REQUIREMENTS (CONT.)

### **Exempt Activities and Categorically Excluded Projects Not Subject to 58.5 [24 CFR 58.35(b)]**

- Determination of Exemption (*Attachment 4-E*)

### **Categorically Excluded Projects Subject to 58.5 [24 CFR 58.35(a)] and Activities Requiring an Environmental Assessment (EA)**

- Statutory Checklist (*Attachment 4-C*),
- Part 1 Environmental Review Record (ERR) (*Attachment 4-I*)
- Part 2 Environmental Assessment (EA) (*Attachment 4-I*) as required per Step 2
- **All** the documentation and correspondence confirming the results of each aspect of the review report.
- Copies of required public notices **and** proof of publication/posting dates.

# ENVIRONMENTAL REPORT APPROVAL

DEHCR Environmental Desk will issue via email:

- **Letter of Concurrence** for:
  - Planning (PLNG)-only or Public Services (PS) projects
- **Letter of Certification** for:
  - All other projects
- **Authority to Use Grant Funds (HUD 7015.16)** for:
  - Projects 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)*

# 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
- Endangered Species



# 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.



# IN CONCLUSION.....

- 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)*



# QUESTIONS?

**Email:** [DOAEnvironmentalDesk@wisconsin.gov](mailto:DOAEnvironmentalDesk@wisconsin.gov)  
and  
[DOACDBG@Wisconsin.gov](mailto:DOACDBG@Wisconsin.gov)



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# CHAPTER 7: LABOR STANDARDS

DEHCR – BUREAU OF COMMUNITY DEVELOPMENT



# 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 non-construction projects such as *Planning (PLNG)-Only*, or *Public Services (PS)*

# APPLICABILITY: EXCEPTIONS

- Force Account Work
  - Work completed by government employees
  - Submit Force Account Affidavit (*Attachment 7-Q*)

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

(See Ch. 7, p. 6)



# APPLICABILITY: EXCEPTIONS (CONTINUED)

- Construction activities assisted solely by means of loans guaranteed with interest-bearing collateral accounts
- Residential rehabilitation in structures with fewer than 8 units
- Contract(s) that are part of a project <\$2,000 value
- **Economic Development projects** where federal funds are used only for non-construction activities.



# 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



# 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

# 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

# RELEVANT LAWS (CONTINUED)

## CONTRACT WORK HOURS AND SAFETY STANDARDS ACT (CWHSSA)

- Pay Over-Time for work >40 hours in week on federally funded project(s): 1 ½ times regular hourly pay rate (federal rate or worker's normal 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) wage and overtime requirements apply.

# 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.*
- Violation may result in termination of the contract

# 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



# 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



# FEDERAL WAGE DETERMINATION

*New*

USDOL Wage Determination  
Website

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

Full instructions  
in Ch. 7 of *Handbook*

**SAM.gov** beta

All Award Data ▾ I'm looking for.. Search

**Welcome**  
This will be the official U.S. government website for people who make, receive, and manage federal awards.

**100% FREE TO USE**  
Official U.S. Government Website  
**100% FREE TO USE**

**What Can I Do Here?**

**Contracting**

**Contract Data Reports (FPDS Reports)**  
This website will officially replace FPDS.gov reports.

- Learn About Contract Data Reports
- Run Contract Data Reports

**Contract Opportunities (FBO)**  
This website has officially replaced FBO.gov.

- Learn About Contract Opportunities
- Search Contract Opportunities

**Wage Determinations (WDOL)**  
This website has officially replaced WDOL.gov.

- Learn About Wage Determinations
- Search Wage Determinations

FPDS.gov remains the authoritative sources for contract information. To prepare for the future, we encourage you to test the search, user accounts, saved searches, and provide [feedback](#).

# FEDERAL WAGE DETERMINATION

## 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*



## FEDERAL WAGE DETERMINATION (CONTINUED)

Must select correct wage decision(s), including correct modification date and type(s) of construction:

- Building
- Highway
- Heavy – Water/Sewer/Tunneling
- Heavy – Other Heavy excluding Water/Sewer/Tunneling



## FEDERAL WAGE DETERMINATION (CONTINUED)

### 20% Rule:

Must use wage decision(s) for each type of construction except if a type of construction constitutes <20% of the total contract cost, then using a separate wage decision for it is not necessary (*unless* it is needed to cover job classifications for that type of construction not otherwise covered in the other wage decision(s) for the other construction on the project).

# 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.



## 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

# BID PACKET REQUIREMENTS

CH. 3, 7

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 lobbying activity to disclose]*
- *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)*

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

# BID PACKET REQUIREMENTS

CH. 3, 6, 7

Additional Notices Required for Bid Packets:

*Inclusion by reference only is NOT acceptable.*

- For 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)*

# CONTRACTOR ELIGIBILITY CLEARANCE

- All contractors must be eligible for federally funded contracting – must verify prime contractor 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



# CONTRACTOR ELIGIBILITY CLEARANCE

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

The screenshot shows the SAM.gov website interface. At the top, the URL is <https://sam.gov/SAM/>. The page features the SAM logo (System for Award Management) and a navigation menu with the following items: HOME, SEARCH RECORDS (circled in red), DATA ACCESS, CHECK STATUS, ABOUT, and HELP. A red arrow points to the 'SEARCH RECORDS' menu item. Below the navigation menu, there is a maintenance alert: "ALERT: SAM.gov will be down for scheduled maintenance Saturday, 09/14/2019, from 8:00 AM to 1:00 PM (EDT).". The main content area includes a section titled "Getting Started" with three options: "Create A User Account" (with a person icon), "Register Entity" (with a folder icon), and "Search Records" (with a magnifying glass icon). A "Log In" button is also visible in the top right corner.

# 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**

**By Record Status**

Active

Inactive

**By Record Type**

Entity Registration

Exclusion

Apply Filters

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

Entity	MATHY CONSTRUCTION COMPANY	Status: Active
DUNS: 007946221	CAGE Code: oJ3Ro	View Details
Has Active Exclusion?: No	DoDAAC:	
Expiration Date: 04/24/2020	Debt Subject to Offset?: No	
Purpose of Registration: All Awards		

Entity	MATHY CONSTRUCTION COMPANY	Status: Active
DUNS: 809300502	CAGE Code: 1DME6	View Details
Has Active Exclusion?: No	DoDAAC:	
Expiration Date: 04/07/2020	Debt Subject to Offset?: No	
Purpose of Registration: All Awards		

Result Page: 1

Save PDF Export Results Print

**GSA**

IBM-NP-20190814-1104

Search Records Disclaimers FAPIIS.gov  
Data Access Accessibility GSA.gov/IAE  
Check Status Privacy Policy GSA.gov  
About USA.gov  
Help

# 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 –including other fed, state agencies providing matching dollars
- Recommended – Pre-Construction meeting documents  
(*Attachments 7-I and 7-J*)



# 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

# PRE-CONSTRUCTION CONFERENCE

- Pre-construction conference *strongly* advised (Ch. 7, p. 12)
- 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)

# COMPLIANCE MONITORING

## Labor Standards Officer Role:

- Weekly Payroll Records – check ALL contractors' weekly payroll submissions
  - Payrolls – Signed & numbered sequentially
  - No Work Records -
  - Base Wages & Overtime (OT) –
  - Fringe Benefits – Must be eligible and are properly documented
  - Deductions – allowable or authorized by the employee and permitted by DOL 29 CFR Part 3
  - Employee classifications- when one employee is in more than one classification, use higher wage
  - Apprentices and Trainees indenture papers
- Work Site Monitoring
  - Employee Interviews: *Record of Employee Interview (Attachment 7-N)*
  - Signage- wage determinations
- Maintain records of work site monitoring in CDBG project file

# 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.
- All enforcement actions shall be carried out in writing and have supporting information in the file

(See Ch.7, pp. 13-17)



# LABOR STANDARDS DOCUMENT SUBMISSIONS TO DEHCR

- Refer to Grant Agreement Time Table
- Labor Standards Officer Designee form (*Attachment 7-C*)
- Certain Bidding and Contracting Related Documents (see Ch. 7, pp. 7-12)
- Reporting (see Ch. 7, pp. 16-17; Ch. 9; Ch. 10)



# LABOR STANDARDS FILE CONTENTS

- Refer to *File Checklist (Attachment 2-A)* and *Self-Monitoring Checklist (Attachment 2-B)*
- DEHCR must receive all applicable labor standards reports before the final *Request for Payment* will be processed

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

# HELPFUL WEBSITES

- HUD Labor Standards Enforcement Guidance:  
[https://portal.hud.gov/hudportal/HUD?src=/program\\_offices/davis\\_bacon\\_and\\_labor\\_standards/OLRLibrary](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/](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>

# QUESTIONS?

Email: Your assigned DEHCR Program Rep

or

[DOACDBG@Wisconsin.gov](mailto:DOACDBG@Wisconsin.gov)



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# CHAPTER 8: FINANCIAL

DEHCR – BUREAU OF COMMUNITY DEVELOPMENT



# FINANCIAL MANAGEMENT

- CDBG recordkeeping requirements are set in accordance with 24 CFR Part 570.490, Recordkeeping Requirements
- The UGLG's financial management procedures must be consistent with Generally Accepted Accounting Principles (GAAP) and federal requirements
- Financial record-keeping is the fundamental responsibility of UGLG's Chief Financial Officer (CFO) such as the Treasurer or Clerk
- CDBG funds must be maintained in a separate non-interest-bearing account or in a separate non-interest-bearing fund within an existing account

# 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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# IMPORTANT REMINDER!

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



# REQUESTING CDBG FUNDS

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

- Signed and completed *CDBG Request for Payment* form
- Updated *Cash Control Register* - Shows the movement of CDBG funds during the project
- Updated *CDBG Disbursements Journal* - Shows the payments & obligations of CDBG funds made throughout the project
- Updated *Matching Funds Journal* - Shows the payments & obligations of Match funds made throughout the project
- Supporting documentation justifying your request (invoices, receipts, cancelled checks, bank statements, etc.)

\* *This documentation must **clearly** identify the items for which CDBG funds are going to be expended;<sup>118</sup> Clearly indicate the break-down of funds that will be used to pay each invoice.*

# 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

# INVOICES & MULTIPLE FUNDING STREAMS

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

QUANTITY	ITEM #	DESCRIPTION	UNIT PRICE	DISCOUNT	LINE TOTAL
		Materials & Labor	\$39,914.69	\$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

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



Make all checks payable to Water Tower Constructors, Inc.

THANK YOU FOR YOUR BUSINESS!



# REQUESTING CDBG FUNDS (CONTINUED)

- 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

# RECEIVING CDBG FUNDS

- CDBG funds can be received by paper check or electronic bank transfer (EBT)
- 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
- CDBG funds drawn must be disbursed within **three (3) working days\***

# 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
- 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

# FINANCIAL MANAGEMENT ATTACHMENTS

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



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# CHAPTER 9: REPORTING – SINGLE AUDIT

DEHCR – BUREAU OF COMMUNITY DEVELOPMENT



# SINGLE AUDIT REQUIREMENTS

Office of Management and Budget (OMB) Guidance:

*Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards [2 CFR 200]*

## **Federal Grantees:**

- Single Audit *required if* expended  $\geq$  **\$750,000** in federal funds in calendar year, regardless of whether or not the UGLG has sub-granted the award to another governmental unit
- Sub-grantee may also be subject to Single Audit requirements

# TOTAL OF ALL FEDERAL FUNDS EXPENDED BY UGLG IN FISCAL YEAR:

**Single Audit  
Required**



**Single Audit  
NOT  
Required**



# SINGLE AUDIT DOCUMENTS SUBMISSION

## SINGLE AUDIT STATEMENT – *All Grantees*

- DUE JANUARY 15<sup>TH</sup> annually to DEHCR Project Rep.
- Statement of whether Single Audit is *or* is not required for CY.

## SINGLE AUDIT REPORT – *Only if Single Audit was Required for Calendar Year*

- DUE within 30 days of Single Audit Completion, and no later than SEPTEMBER 30<sup>TH</sup>, to Federal Audit Clearinghouse (FAC)
- Record of submission (e.g., Federal Clearinghouse email confirmation) to DEHCR Project Rep.

# SINGLE AUDIT REPORT SUBMISSION

*Submit Single Audit Report to Federal Audit Clearinghouse (FAC)!*

FAC Email Confirmation:  
(copy of email to DEHCR and in CDBG file)

**Single Audit Submission Accepted - ██████████ COUNTY (2019), Report ID: 84████████**  
 ERD FAC [govs.fac.ides@census.gov]  
 Sent: Tuesday, June 23, 2020 8:50 AM  
 To: ██████████@████████.COM; ██████████@████████.COM

ORIGINAL DATE ACCEPTED BY FAC: 6/22/2020

AUDITEE NAME: ██████████ COUNTY  
 REPORT ID: 84████████  
 FISCAL YEAR END DATE: 12/31/2019

The Single Audit submission for the above referenced organization has been accepted by the Federal Audit Clearinghouse (FAC). No further action is needed.

Your Original Date Accepted by FAC is: 6/22/2020. Please retain this e-mail for your records.

Sincerely,  
 Federal Audit Clearinghouse  
[https://urldefense.proofpoint.com/v2/url?u=https-3A\\_harvester.census.gov\\_facides&d=DwlCAQ&c=euGZstcaTDllvmEN8b7jXrwgOf-v5A\\_CdpgnVfiiMM&r=VX137Wc0cpGKYW5f2Y-xW-HNeljZhE98sgGY0zDwgCg&m=BUz89IfJmWwhoEERS3LtD-W4w1oGW-lrgQE\\_3Hu62uc&s=5o3zrSgWf5Q4wh2ERAtt7svxB-PxTbbaZ5MTINj1W9A&e=govs.fac.ides@census.gov](https://urldefense.proofpoint.com/v2/url?u=https-3A_harvester.census.gov_facides&d=DwlCAQ&c=euGZstcaTDllvmEN8b7jXrwgOf-v5A_CdpgnVfiiMM&r=VX137Wc0cpGKYW5f2Y-xW-HNeljZhE98sgGY0zDwgCg&m=BUz89IfJmWwhoEERS3LtD-W4w1oGW-lrgQE_3Hu62uc&s=5o3zrSgWf5Q4wh2ERAtt7svxB-PxTbbaZ5MTINj1W9A&e=govs.fac.ides@census.gov)



Form SF-SAC: (copy in CDBG file)

PART I: GENERAL INFORMATION		REPORT ID: 843675	VERSION: 1
<b>Data Collection Form for Reporting on AUDITS OF STATES, LOCAL GOVERNMENTS, INDIAN TRIBES, INSTITUTIONS OF HIGHER EDUCATION, AND NONPROFIT ORGANIZATIONS for Fiscal Period Ending Dates in 2019, 2020, or 2021</b>			
<b>1. Fiscal Period</b> a. Start Date: <input type="text" value="1/1/2019"/> (MM/DD/YYYY) b. End Date: <input type="text" value="12/31/2019"/> (MM/DD/YYYY)		<b>2. Type of Uniform Guidance Audit</b> <input checked="" type="checkbox"/> Single audit <input type="checkbox"/> Program-specific audit	
		<b>3. Audit Period Covered</b> <input checked="" type="checkbox"/> Annual <input type="checkbox"/> Biennial <input type="checkbox"/> Other: Number of Months <input type="text"/>	
<b>4. Auditee Identification Numbers</b>			
a. Auditee Employer Identification Number (EIN) <input type="text" value="39████████"/>		d. Auditee Data Universal Numbering System (DUNS) Number <input type="text" value="03████████"/>	
b. Are multiple EINs covered in this report? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No		e. Are multiple DUNS numbers covered in this report? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No	
c. If Part I, Item 4b is Yes, complete the attached Auditee EIN Continuation Sheet		f. If Part I, Item 4e is Yes, complete the attached Auditee DUNS Continuation Sheet	
<b>5. Auditee Information</b>		<b>6. Primary Auditor Information</b>	
a. Auditee Name <input type="text" value="████████ COUNTY"/>		a. Audit Firm/Organization Name <input type="text" value="████████ LLP"/>	
		b. Audit Firm/Organization EIN <input type="text" value="39████████"/>	

# 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/a133-compliance/2016/2016-compliance-supplement.pdf>

- **Single State Audit Guidelines**

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



# QUESTIONS?

Email: Your assigned DEHCR Program Rep

or

[DOACDBG@Wisconsin.gov](mailto:DOACDBG@Wisconsin.gov)



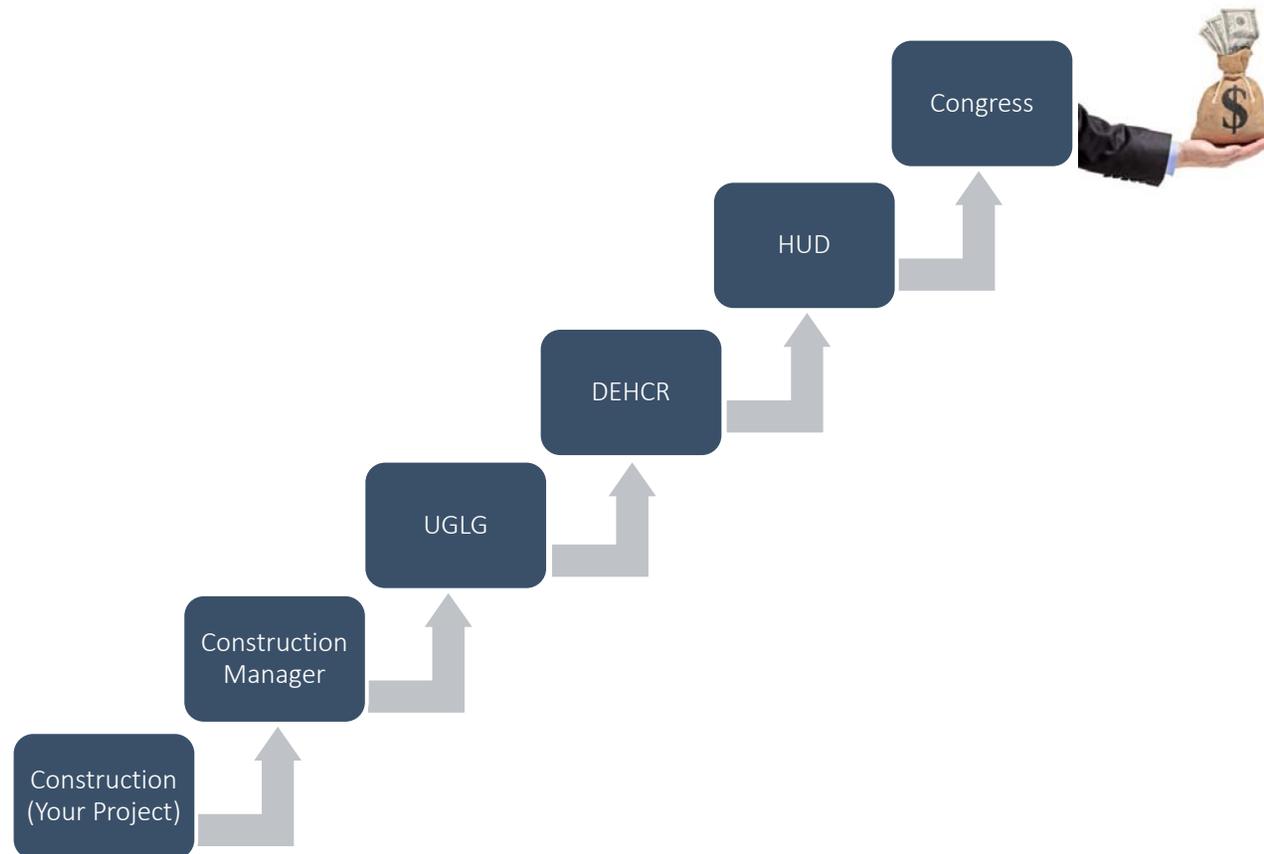
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# CHAPTER 9: REPORTING (CONTINUED)

DEHCR – BUREAU OF COMMUNITY DEVELOPMENT



# REPORTING PROCESS



# REPORTS, ACTIONS & COMPLIANCE



- Semi-Annual Report Certification & Summary Narrative
- Fair Housing Actions
- Annual Single Audit Statement/Report
- MBE/WBE Report & EO Compliance
- Section 3 Report & Compliance
- Labor Standards Enforcement Report (if applicable)
- Employee Self-Certification Report (if applicable)
- Client Income Certification Report (if applicable)<sup>133</sup>

# REMINDERS

- Refer to the Grant Application
- Refer to the Grant Agreement Timetable, Attachments, and Articles
- Payment (“Draw”) Requests **will not be processed** until all report submissions are up-to-date
- **Initial reports must cover the time period from the award date to the end of the current required reporting period!**
- Performance Period reporting requirements will be automatically **extended** if report submissions are incomplete
- 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

# REMINDERS

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



# IMPORTANT DATES

DEADLINE	REPORTING DUE
JANUARY 15 <sup>TH</sup>	Annual Single Audit Statement
MARCH 25 <sup>TH</sup>	Semi-Annual MBE/WBE, Labor Standards, and Section 3
APRIL 15 <sup>TH</sup>	Semi-Annual Report Certification & Summary Narrative
SEPTEMBER 25 <sup>TH</sup>	Semi-Annual MBE/WBE, Labor Standards, & <u>Annual</u> Section 3
SEPTEMBER 30 <sup>TH</sup>	Annual Single Audit Report <i>(if Single Audit required for CY)</i> **
OCTOBER 15 <sup>TH</sup>	Semi-Annual Report Certification & Summary Narrative
DECEMBER 31 <sup>ST</sup>	Project Completion Report Documents* and CDBG Final Payment Request*

\* Completion/Final Payment Request due dates differ by project/program. This represents 2020 CDBG-PF date.

\*\* Annual Single Audit due within 30 days of Single Audit completion (if required), and no later than September 30<sup>th</sup>.

# REPORT FORMS

Use current version of forms (*each reporting period*) on website:

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

## CDBG Implementation Handbook

The Implementation Handbook has been created by the Bureau of Community Development for use by Department of Administration (DOA) CDBG-PF, CDBG-PLNG, CDBG-ED and CDBG-PFED Grantees. The Bureau of Community Development resides within the Wisconsin Department of Administration's Division of Energy, Housing and Community Resources (DEHCR).

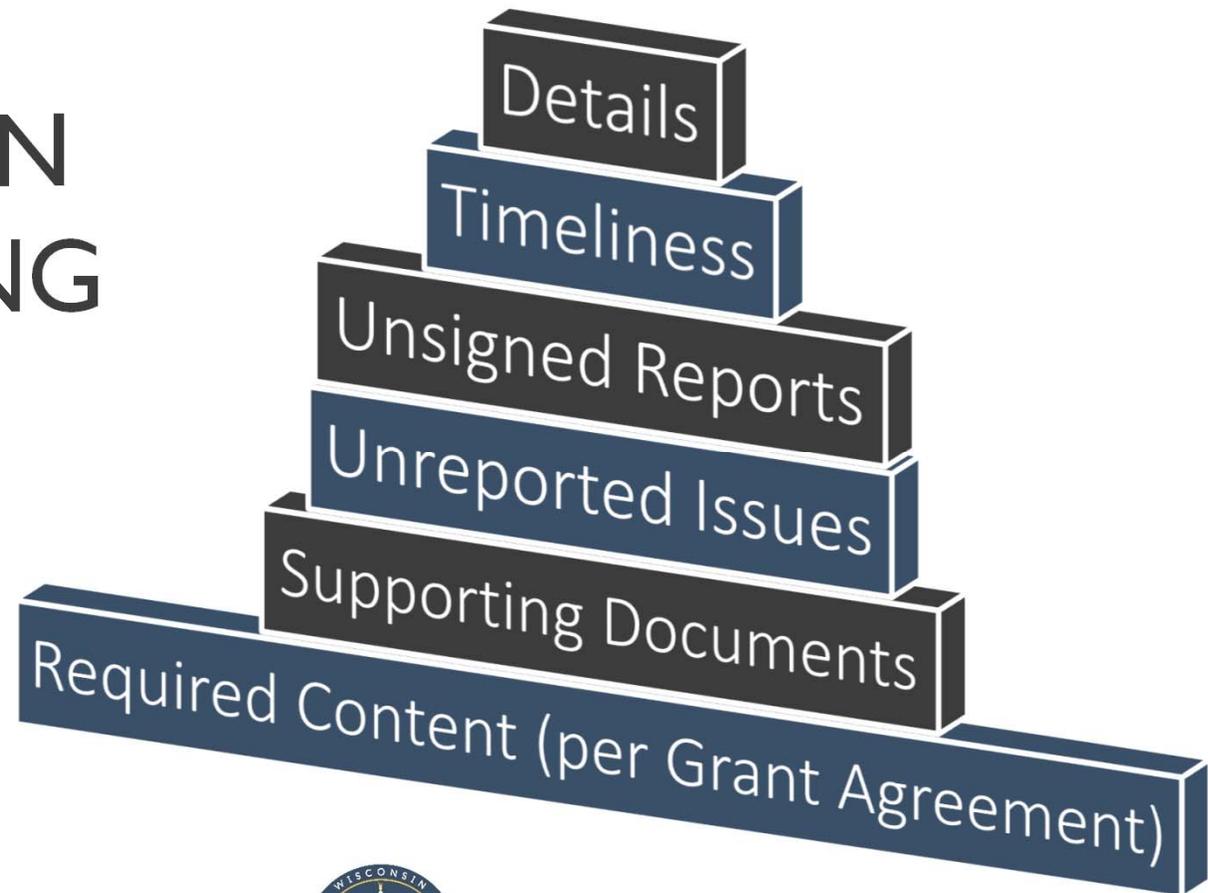
### Chapters

- 📄 Cover
- 📄 Table of Contents
- 📄 Chapter 1: Introduction
- 📄 Chapter 2: Administrative Requirements
- 📄 Chapter 3: Procurement & Contracting
- 📄 Chapter 4: Environmental Review
- 📄 Chapter 5: Acquisition/ Relocation
- 📄 Chapter 6: Equal Opportunity, Fair Housing & Section 3
- 📄 Chapter 7: Labor Standards
- 📄 Chapter 8: Financial Management
- 📄 Chapter 9: Reporting
- 📄 Chapter 10: Project Completion
- 📄 Appendix A -Definitions
- 📄 Appendix B -Web Sites

### Chapter Attachments/Fillable Forms

- 📄 2-A: File Checklist
- 📄 2-B: Self-Monitoring Checklist (for PF, PFED, ED projects)
- 📄 2-B Supplement: Labor Standards Contractor Checklist
- 📄 2-B: Self-Monitoring Checklist (for PLNG projects)
- 📄 3-B: Potential Conflict of Interest Disclosure
- 📄 3-C: 24 CFR 570.489(h) Conflict of Interest Clause
- 📄 3-D: Lobbying Certification
- 3-E: Disclosure of Lobbying Activities
- 📄 4-B: Statement of Activities
- 📄 4-C: Statutory Checklist
- 📄 4-E: Determination of Exemption

# COMMON REPORTING ISSUES



# Semi-Annual Report Certification Example:

SEMI-ANNUAL REPORT CERTIFICATION	
Wisconsin's Community Development Block Grant Program	
A. NAME OF UGLG: Town of Eugene	
B. DEHCR GRANT AGREEMENT #: 17-99	
C. BUSINESS NAME:	
D. REPORTING PERIOD ENDED: (choose one)	
<input type="checkbox"/> October 1, 20__ to March 31, 20__ (due April 15 <sup>th</sup> )	
<input checked="" type="checkbox"/> April 1, 20_18_ to September 30, 20_18_ (due October 15 <sup>th</sup> )	
<input type="checkbox"/> Other: _____	
SEMI-ANNUAL REPORT DOCUMENTS ATTACHED:	
<input checked="" type="checkbox"/>	Semi-Annual Report Certification
<input checked="" type="checkbox"/>	Semi-Annual Summary Narrative, including update(s) regarding the status of the: <ul style="list-style-type: none"> <li><input checked="" type="checkbox"/> Environmental Report (refer to Chapter 4: Environmental Review), with supporting documentation;</li> <li><input type="checkbox"/> Fair Housing Actions completed, with supporting documentation; and</li> <li><input type="checkbox"/> Second Citizen Participation Public Hearing, with supporting documentation</li> </ul>
<input checked="" type="checkbox"/>	Semi-Annual Labor Standards Enforcement Report
<input checked="" type="checkbox"/>	Semi-Annual MBE/WBE Report
<input checked="" type="checkbox"/>	Section 3 Report(s): <ul style="list-style-type: none"> <li><input type="checkbox"/> Semi-Annual Report: October 1, 20__ to March 31, 20__ (due April 15<sup>th</sup>)</li> <li><input checked="" type="checkbox"/> Annual Report: October 1, 20_17_ to September 30, 20_18_ (due October 15<sup>th</sup>)</li> </ul>
PREPARER CERTIFICATION	
I hereby certify that to the best of my knowledge and belief the contents in this report are true and correct.	
Signature	<i>Tracy Bell</i>
Date	10/15/2018
Title	Grant Administrator/Senior Engineer
Telephone	608-336-6670
Company	Velasquez Consulting
Email	TBell@VConsulting.com
UGLG APPROVAL	
<i>Jrv Franklin</i> UGLG Signature	Date 10/15/2018

**Division of Energy, Housing and Community Resources**  
Semi-Annual Summary Narrative Report

**SEMI-ANNUAL SUMMARY NARRATIVE REPORT**

A. NAME OF UGLG: Village of Bishop's Falls
B. DEHCR GRANT AGREEMENT #: CDBG-PF 17-99
C. REPORTING PERIOD ENDED: (choose one) <input checked="" type="checkbox"/> October 1, 20__17__ to March 31, 20__18__ (due April 15 <sup>th</sup> ) <input type="checkbox"/> April 1, 20__ to September 30, 20__ (due October 15 <sup>th</sup> ) <input type="checkbox"/> Other: _____

THIS REPORTING PERIOD	
OBJECTIVES	ACCOMPLISHMENTS
<p><b>DUE Prior to Construction:</b></p> <ul style="list-style-type: none"> <li>Execute Grant Agreement.</li> <li>Establish record keeping system.</li> <li>Establish financial management system.</li> <li>Procure engineering and administrative services.</li> <li>Submit draft or executed grant administration contract(s) to DEHCR CDBG Project Representative for review, if applicable.</li> <li>Complete acquisition and relocation requirements for property, easement(s), etc., if applicable.</li> <li>Obtain federal Davis-Bacon wage rates, if applicable.</li> <li>Complete Record of Wage Decision Form. Submit to DEHCR CDBG Project Representative for review.</li> <li>Prepare and solicit construction bids.</li> <li>Report date of bid advertisement and bid opening to DEHCR.</li> <li>Submit Notice of Contractor Award form and construction start date to DEHCR.</li> <li>Submit bid tabulation summary to DEHCR CDBG Project Representative.</li> <li>Obtain all necessary permits.</li> <li>Hold pre-construction meeting. Submit meeting minutes/notes to DEHCR CDBG Project Representative.</li> </ul>	<ul style="list-style-type: none"> <li>Grant Agreement executed (fully signed) by DEHCR 09/20/2017.</li> <li>Record keeping system established.</li> <li>Financial management system established.</li> <li>Engineering/administrative services procured; contract(s) signed 01/15/2018.</li> <li>Administrative services contract sent to DEHCR for review 12/16/2017.</li> <li>N/A – No acquisition/relocation associated with this project.</li> <li>Wage rates obtained.</li> <li>Record of Wage Decision Form completed; sent to DEHCR for review 03/25/2018.</li> <li>IN PROCESS: Construction bids are being prepared.</li> <li>IN PROCESS: Bids will be advertised by 04/20/2018, and opened on 05/31/2018.</li> <li>Not yet applicable – Will be reported on next/future report.</li> <li>Not yet applicable – Will be reported on next/future report.</li> <li>Not yet applicable.</li> <li>Not yet applicable – Will be reported on next/future report.</li> </ul>

Continued on next page...

Attachment 9-B: Semi-Annual Summary Narrative Revised: August 31, 2017

Taken directly from Grant Agreement Time Table

# Semi-Annual Report Summary Narrative Example: (1<sup>st</sup> reporting period)

Detailed narrative for each accomplishment

# Semi-Annual Report Summary Narrative Example: (1st reporting period)

Environmental  
Report Status

Fair Housing  
Actions

2<sup>nd</sup> Citizen  
Participation  
Public Hearing

ENVIRONMENTAL REPORT STATUS	
<i>Provide an update on progress made toward completing the Environmental Report requirements of the CDBG project.</i>	
OBJECTIVES	ACCOMPLISHMENTS
<b>DUE Prior to Construction:</b> <ul style="list-style-type: none"> <li>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.</li> </ul>	<ul style="list-style-type: none"> <li>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.</li> </ul>

FAIR HOUSING ACTIONS COMPLETED	
<i>Provide an update on progress made toward completing the Fair Housing Actions requirement of the CDBG project.</i>	
<b>REMINDER:</b> The UGLG's contracted Fair Housing Actions (FHAs) <u>must be completed by 09/30/2018</u> 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
<b>DUE by September 30<sup>th</sup>, 2018:</b> <ul style="list-style-type: none"> <li>Fair Housing Action #1 – The Village will post a Fair Housing poster at Village Hall, at the Post Office, and at the Library.</li> <li>Fair Housing Action #2 – The Village will... (insert description here).</li> <li>Fair Housing Action #3 – The Village will... (insert description here).</li> </ul>	<ul style="list-style-type: none"> <li>Fair Housing posters were posted 03/12/2018 – Photos of posted posters and list of posting locations attached.</li> <li>IN PROCESS: The Village is/has...</li> <li>IN PROCESS: The Village is/has...</li> </ul>

2 <sup>ND</sup> CITIZEN PARTICIPATION PUBLIC HEARING STATUS	
<i>Provide an update on progress made toward completing the Second Citizen Participation Public Hearing requirement of the CDBG project.</i>	
<b>REMINDER:</b> The UGLG's contracted Second Citizen Participation Public Hearing is <u>scheduled to be completed by 03/31/2019</u> 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
<b>DUE by March 31<sup>st</sup>, 2019:</b> <ul style="list-style-type: none"> <li>Conduct second Public Hearing to report project progress to, and receive input from, local community regarding the CDBG project.</li> </ul>	<ul style="list-style-type: none"> <li>Not yet applicable – Will be reported on a future Semi-Annual Report.</li> </ul>
<b>DUE by April 15<sup>th</sup>, 2019:</b> <ul style="list-style-type: none"> <li>Report status of second Public Hearing completion (in the 2<sup>nd</sup> 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.</li> </ul>	<ul style="list-style-type: none"> <li>Not yet applicable – Will be reported on a future Semi-Annual Report.</li> </ul>

# Reports Under Revision:

## LSER (Attachment 9-C)

Division of Energy, Housing and Community Resources  
Semi-Annual Labor Standards Enforcement Report

Unit of General Local Government (UGLG)/Grantee Name: \_\_\_\_\_  
DEHCR Grant Agreement #: \_\_\_\_\_

**SEMI-ANNUAL LABOR STANDARDS ENFORCEMENT REPORT**  
for Community Development Block Grant (CDBG) Program Projects

## MBE/WBE (Attachment 9-D)

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

Reporting Period Covered: \_\_\_\_ / \_\_\_\_ / \_\_\_\_

**This Report is due to the Division on or before:** \_\_\_\_\_

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:  
 April  
 October

**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: \_\_\_\_\_

## Section 3 (Attachment 9-E)

DOA/DEHCR  
PO Box 7970  
Madison, WI 53707-7970  
DOA@DEHCR@wisconsin.gov

**SECTION 3 REPORT**

DOA AGREEMENT # (Contract #) \_\_\_\_\_ CONTACT INFORMATION  
 Preparer's Name \_\_\_\_\_  
 Title \_\_\_\_\_  
 Telephone \_\_\_\_\_  
 E-mail \_\_\_\_\_

NAME OF GRANTEE \_\_\_\_\_

HUD REPORTING PERIOD  
 Semi-Annual Report: October 1, 20\_\_ to March 31, 20\_\_  
 Annual Report: October 1, 20\_\_ to September 30, 20\_\_

Complete one form for each program/contract with DEHCR.

Please check program  
 CDBG  
 CDBG-DR (Disaster Recovery)  
 NSP  
 HOME  
 ESG  
 HOPWA

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
Continued/Additional	0	0	0

Refer to CDBG Implementation Handbook website for updates:  
<https://doa.wi.gov/Pages/LocalGovtsGrants/CDBGImplementationHandbook.aspx>

# JOBS REPORTING:

## CDBG Project Employee Self-Certification Report

- **Revised Attachment 9-H**
- PFED/ED Projects *Only*
- Due April 15<sup>th</sup> and October 15<sup>th</sup> (and upon Project Completion)
- Data to be drawn from *Certification Forms* completed by New Hires



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

**CDBG PROJECT EMPLOYEE SELF-CERTIFICATION REPORT**

NAME OF UGLG:  
 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 \_\_

<b>BASELINE JOB NUMBER</b>	
<b>TOTAL JOBS CREATED TO DATE</b>	
<b>TOTAL WORKFORCE (BASELINE + CREATED)</b>	

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

INFORMATION ON POSITIONS CREATED TO DATE	
CLASSIFICATION	TOTAL CREATED TO DATE
OFFICIALS/MANAGERS	
SALES	
OPERATIVES (SEMI-SKILLED)	
PROFESSIONALS	
TECHNICIANS	
LABORERS (UNSKILLED)	
OFFICE/CLERICAL	
CRAFT WORKERS (SKILLED)	
SERVICE WORKERS	
TOTAL CREATED	

143

CDBG Project Employee Self-Certification Report  
 Form v. September 28, 2020

# JOBS REPORTING:

## CDBG Project Employee Self-Certification Report

- **Revised** Page 2 Content –  
Instructions and Signatory  
Designation



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

**CDBG PROJECT EMPLOYEE SELF-CERTIFICATION REPORT (continued)**

NAME OF UGLG:  
 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 \_\_

1. Have new positions been provided employer sponsored health care?	YES <input type="checkbox"/> NO <input type="checkbox"/> N/A <input type="checkbox"/>
2. Have position openings been posted with the WI Department of Workforce Development or local employment agency per your Application with DEHCR?	YES <input type="checkbox"/> NO <input type="checkbox"/> N/A <input type="checkbox"/>
3. Have any new positions been filled by individuals that were previously unemployed? If yes, please provide the number:	YES <input type="checkbox"/> NO <input type="checkbox"/> N/A <input type="checkbox"/>

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)

**REPORT ATTACHMENTS:** Submit supporting documentation (i.e., completed *Employee Self-Certification Forms*) with each semi-annual *Certification Report* submission. If submitting the **final** *Certification Report* (Final Summary Report), include all *Certification Forms* of new employees hired during the CDBG Project who remain at the Business; the payroll record data from the Business; and a letter from the Business certifying the accuracy of payroll record data, as verification of the current employment numbers and status of each employee at the business.

REPORT CERTIFICATION	
I certify that to the best of my knowledge and belief the contents in this report are true and correct. Completed individual <i>Employee Self-Certification Forms</i> are attached as supporting documentation.	
Signature of Chief Elected Official (CEO) (or Official Designee) _____	Date Signed _____
Printed Name of CEO (or Official Designee) _____	Title of CEO (or Official Designee) _____
Email Address of CEO (or Official Designee) _____	Telephone Number of CEO (or Official Designee) _____

CDBG Project Employee Self-Certification Report

Form v. September 28, 2020

# JOBS REPORTING:

## Employee Self-Certification Form

- Form completed by New Hires
- Basis of data for and submitted with *Semi-Annual Employee Self-Certification Report* (completed by UGLG)
- Must use current HUD Income Limits (at time of hire)

*Income limits updated annually (typically in March/April)*



UGLG Name: \_\_\_\_\_  
 Business Name: \_\_\_\_\_

**2020 ADAMS COUNTY  
STATE OF WISCONSIN  
COMMUNITY DEVELOPMENT BLOCK GRANT  
EMPLOYEE SELF CERTIFICATION**

Dear Employee:  
 (Enter Business name) is collecting the following information as a result of participating in the U.S. Housing and Urban Development's (HUD) Community Development Block Grant (CDBG) program. To meet federal regulations, (Enter Business Name) is required to collect statistical data on your family income, race/ethnicity, 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 - \$14,900	\$14,901 - \$24,800	\$24,801 - \$39,700	Greater than \$39,700
2	\$0 - \$17,240	\$17,241 - \$28,350	\$28,351 - \$45,350	Greater than \$45,350
3	\$0 - \$21,720	\$21,721 - \$31,900	\$31,901 - \$51,000	Greater than \$51,000
4	\$0 - \$28,200	\$28,201 - \$35,400	\$35,401 - \$56,650	Greater than \$56,650
5	\$0 - \$30,680	\$30,681 - \$38,250	\$38,251 - \$61,200	Greater than \$61,200
6	\$0 - \$35,180	\$35,181 - \$41,100	\$41,101 - \$65,750	Greater than \$65,750
7	\$0 - \$39,840	\$39,841 - \$43,900	\$43,901 - \$70,250	Greater than \$70,250
8 or more	\$0 - \$44,120	\$44,121 - \$46,750	\$46,751 - \$74,800	Greater than \$74,800

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

Single Race:	Multi-Racial Identifiers:
<input type="checkbox"/> White	<input type="checkbox"/> American Indian/Alaskan Native and White
<input type="checkbox"/> Black/African American	<input type="checkbox"/> Asian and White
<input type="checkbox"/> Asian	<input type="checkbox"/> Black/African American and White
<input type="checkbox"/> American Indian/Alaskan Native	<input type="checkbox"/> American Indian/Alaskan Native and African/American
<input type="checkbox"/> Native Hawaiian/Other Pacific Islander	<input type="checkbox"/> Other Multi-Racial
<input type="checkbox"/> Other	

3.) Please answer these questions:

Do you consider yourself as being of Hispanic ethnicity?	<input type="checkbox"/> Yes	<input type="checkbox"/> No
Are you currently unemployed or were you unemployed prior to employment with this company?	<input type="checkbox"/> Yes	<input type="checkbox"/> No
Are you a female head of household?	<input type="checkbox"/> Yes	<input type="checkbox"/> No

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

Printed Name \_\_\_\_\_ Signature \_\_\_\_\_ Date \_\_\_\_/\_\_\_\_/\_\_\_\_

# JOBS REPORTING: Employee Self-Certification Form

- Ensure BOTH Pages 1-2 of Form completed
- Reconcile data on Forms and Certification Report before submission

*Employee Self-Certification Form* master document (for all WI Counties) linked at:

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



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

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**Position Details**

Full Time     Part Time (FTE: \_\_\_\_\_)     Employer-Sponsored Healthcare Plan Offered

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**Position Class**

<input type="checkbox"/> Official/Manager	<input type="checkbox"/> Professional	<input type="checkbox"/> Office/Clerical
<input type="checkbox"/> Sales	<input type="checkbox"/> Technician	<input type="checkbox"/> Craft Worker/Skilled
<input type="checkbox"/> Operative/Semiskilled	<input type="checkbox"/> Laborer/Unskilled	<input type="checkbox"/> Service Worker

Date Hired: \_\_\_\_/\_\_\_\_/\_\_\_\_

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**Job Category Definitions**

- 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.
- 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.
- 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 science) and kindred workers.
- Sales** - Occupants engaging wholly or primarily in direct selling. This includes: advertising agenda 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.
- 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 altering 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.
- 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, electricians, engravers, job setters (metal), motion picture projectionists, pattern and model makers, stationary engineers, tailors, and kindred workers.
- Operatives (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), blasters, chauffeurs, delivery workers, dress makers and sewers (except factory), dryer's furnaces workers, heaters (metal), laundry and dry cleaning, operatives, milliners, 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 metals workers, and kindred workers.
- 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.
- 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, chainworkers and cleaners, cooks (except household), counter and fountain workers, elevator operators, firefighters and fire protection guards, door keepers, stewards, janitors, police officers and detectives, porters, waiters and waitresses, and kindred worker.

# CLIENT REPORTING:

## Client Income Certification Report

- **New Attachment 9-K**
- Public Services (PS) Projects *Only* (and *certain* PF *only if* specified by DEHCR)
- Due annually (based on Award Date) & upon Project Completion
- Data to be drawn from *Certification Forms* completed by Clients



**Division of Energy, Housing and Community Resources**  
CDBG Project Client Income Certification Report

**CDBG PROJECT CLIENT INCOME CERTIFICATION REPORT**

GRANTEE/UJLG NAME: \_\_\_\_\_

GRANT AGREEMENT #: \_\_\_\_\_

REPORTING PERIOD: \_\_\_\_\_  
Annual Report: | 00 / 00 / 0000 | to | 00 / 00 / 0000 |

TOTAL # NEW CLIENTS SERVED DURING THIS REPORTING PERIOD <small>(Do not include duplicate clients from previous reporting periods.)</small>	
TOTAL # CLIENTS SERVED TO DATE	

RACE/ETHNICITY OF NEW CLIENTS SERVED DURING THIS REPORTING PERIOD					
Single Race	Total Number	Number Hispanic	Multi-Racial or No Answer	Total Number	Number Hispanic
WHITE			AMERICAN INDIAN/ALASKAN NATIVE & WHITE		
BLACK/AFRICAN AMERICAN			ASIAN & WHITE		
ASIAN			BLACK/AFRICAN AMERICAN & WHITE		
AMERICAN INDIAN/ALASKAN NATIVE			AMERICAN INDIAN/ALASKAN NATIVE AND AFRICAN AMERICAN		
NATIVE HAWAIIAN/PACIFIC ISLANDER			OTHER MULTI-RACIAL		
OTHER			DID NOT ANSWER		

LMI STATUS OF NEW CLIENTS SERVED DURING THIS REPORTING PERIOD	
# OF LMI NEW CLIENTS	# OF NON-LMI NEW CLIENTS

**REPORT CERTIFICATION**

I certify that to the best of my knowledge and belief the contents in this report are true and correct. Completed individual *Client Income Certification Forms* are maintained as supporting documentation for this report by the UJLG and are available to provide to DEHCR and/or other regulating entities upon request.

Signature of UJLG Representative \_\_\_\_\_ Date Signed \_\_\_\_\_

Printed Name of UJLG Representative \_\_\_\_\_ Title of UJLG Representative \_\_\_\_\_

# CLIENT REPORTING:

## Client Income Certification Form

- *New Attachment 9-L*
- Form completed by *new Clients*
- Submitted with the *Client Income Certification Report*
- Must use current HUD Income Limits (at time of first receipt of services)  
*Income limits updated annually*  
*(typically in March/April)*



[GRANTEE/UGLG NAME] CDBG GRANT AGREEMENT # [CDBG Agreement #]

[PROGRAM/PROJECT NAME]  
CLIENT INCOME CERTIFICATION FORM

The [UGLG Name] (Program Name) is funded by the Community Development Block Grant (CDBG) Program. For the [UGLG Name] to qualify for this funding, the information requested below must be collected for all program clients. This information is strictly confidential and only reported to the required funding and regulating entities for program qualification purposes. Individual/family personal identifying information is not released to the public.

Client information at the time of entry into the program:

FAMILY INCOME INFORMATION			
<ul style="list-style-type: none"> <li>Circle your family size in the far left column.</li> <li>If your family income is <u>at or below</u> the Family Income Level shown for your family size, then enter "X" in the <b>BELOW</b> column.</li> <li>If your family income is <u>above</u> the Family Income Level shown for your family size, then enter "X" in the <b>ABOVE</b> column.</li> <li>Family income includes the annual income of <i>all</i> family members living in your household.</li> </ul>			
FAMILY SIZE	FAMILY INCOME LEVEL	BELOW	ABOVE
1	\$[ADD COUNTY INCOME LIMIT FOR FAMILY SIZE OF 1]		
2	\$[ADD COUNTY INCOME LIMIT FOR FAMILY SIZE OF 2]		
3	\$[ADD COUNTY INCOME LIMIT FOR FAMILY SIZE OF 3]		
4	\$[ADD COUNTY INCOME LIMIT FOR FAMILY SIZE OF 4]		
5	\$[ADD COUNTY INCOME LIMIT FOR FAMILY SIZE OF 5]		
6	\$[ADD COUNTY INCOME LIMIT FOR FAMILY SIZE OF 6]		
For More	\$[ADD COUNTY INCOME LIMIT FOR FAMILY SIZE OF =/+8]		

FAMILY RACE/ETHNICITY INFORMATION

Enter the race/ethnicity information for all family members or select the "Prefer Not to Answer" option below.

	Number in Family with Race/Ethnicity Shown on the Left:	Number in Family with Race/Ethnicity Shown on the Left Who are Hispanic:
White		
Black/African American		
Asian		
American Indian/ Alaskan Native		
Native Hawaiian/ Pacific Islander		
Amer. Indian/ Alaskan Native & White		
Asian & White		
Black/African Amer. & White		
Amer. Indian/ Alaskan Nat. & Black/ African Amer.		
Other Multi-Racial		
Prefer Not To Answer		

Client Printed Full Name: \_\_\_\_\_ Program Entry Date: \_\_\_\_\_

Client Signature: \_\_\_\_\_ Signature Date: \_\_\_\_\_

Client Income Certification Form Instructions for Program Administrator:  
Obtain current income limits on the HUD Income Limits website at: <https://www.huduser.gov/portal/datasets/il.html>  
[The income limits in effect at the time of the client's entry into the program and for the "Low (80%) Income Limits" level for the county in which the program is operating must be entered in the table above on this form. The income limits are updated annually by HUD, typically released in March or April. Check the website regularly for updates.]

# QUESTIONS?

Email: Your assigned DEHCR Program Rep  
or  
[DOACDBG@Wisconsin.gov](mailto:DOACDBG@Wisconsin.gov)



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# MONITORING

DEHCR – BUREAU OF COMMUNITY DEVELOPMENT



# MONITORING

- Projects monitored at least once during the Performance Period:
  - 30-Day Advance Notification Letter
  - Submit completed *Self-Monitoring Checklist (Attachment 2-B)* and *Acquisition/Relocation Monitoring Checklist (Attachment 5-K)*
  - Follow-Up Project File Document Requests/Reviews by DEHCR
  - Monitoring Report (Results Letter – lists Findings and/or Concerns, if applicable)
  - Corrective Actions (if applicable)
  - Monitoring Completion Letter
- CDBG payments will be withheld until corrective actions completed
- Refer to Grant Agreement re: non-compliance/failure to perform and cause(es) for termination of CDBG agreement or payment denials
- **Notify DEHCR Project Rep. if finishing construction early.**

# MONITORING REPORT (RESULTS LETTER)

## 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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# CHAPTER 10: PROJECT COMPLETION

DEHCR – BUREAU OF COMMUNITY DEVELOPMENT



# PROJECT COMPLETION OVERVIEW

## CH. 10

- Submission: Refer to Grant Agreement Time Table  
*(generally scheduled as 60 days after Construction/Planning Period ends)*
  - Final CDBG payment request (*Late submissions are ineligible for payment!*)
  - Project Completion Report & supporting documents
  - Final annual and semi-annual reports
  - Final financial journals and bank statement (after final CDBG payment received)
- DEHCR Completion Letter and approved/signed Certification
- Records retention

# CONTACTS

## DEHCR - Bureau of Community Development

Email: [DOACDBG@Wisconsin.gov](mailto:DOACDBG@Wisconsin.gov)

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



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# THANK YOU FOR YOUR ATTENDANCE.

- PLEASE COMPLETE TRAINING EVALUATION (WILL BE EMAILED).
- STAFF WILL BE AVAILABLE FOR FOLLOW-UP QUESTIONS.

