


Division of Energy, Housing and Community Resources (DEHCR)

Bureau of Community Development (BCD)

Implementation Training for CDBG Projects

September 16, 2021 (Webinar)



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PURPOSE OF TRAINING

■ Provide an 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)

■ Also include applicable guidance for Coronavirus (CV) and Disaster Recovery (DR) projects.

■ Provide an opportunity to introduce the Bureau of Community Development (BCD) staff

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OUR STAFF

Bureau of Community Development:

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

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TRAINING LOGISTICS

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

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CHAPTER 1: INTRODUCTION

DEHCR – BUREAU OF COMMUNITY DEVELOPMENT



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CHAPTER 1 KEY UPDATES

- Various general text updates and additional guidance/clarifications.
- Appendix A – Acronyms updated on CDBG Implementation Handbook website at:

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

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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).

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ALL CDBG PROJECTS MUST MEET 1 OF 3 NATIONAL OBJECTIVES:

1

Low- and Moderate-Income

Area Benefit

Limited Clientele

Housing

Jobs

2

Slum and Blight

Area Basis

Spot Basis

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Urgent Local Need

- 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/>

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INELIGIBLE ACTIVITIES:

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



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HELPFUL WEBSITES

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



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CHAPTER 2: ADMINISTRATIVE REQUIREMENTS

DEHCR – BUREAU OF COMMUNITY DEVELOPMENT



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CHAPTER 2 KEY UPDATES

- Various general text updates and additional guidance/clarifications.
- Attachment Updates: 2-A, 2-B

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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 at time of monitoring) (*Attachment 2-B*)

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GRANT AGREEMENT AMENDMENTS

DEHCR – BUREAU OF COMMUNITY DEVELOPMENT

The seal of the Wisconsin Department of Administration is centered on a dark blue rectangular background. The seal features a white dome of the Wisconsin State Capitol building. Above the dome, the word "WISCONSIN" is written in a semi-circle. Below the dome, the words "DEPARTMENT OF ADMINISTRATION" are written in a bold, sans-serif font. At the very bottom of the seal, the website "DOA.WI.GOV" is written in a semi-circle.

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AMENDMENT PROVISIONS

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

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



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REASONS FOR AMENDMENT(S)

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

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

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QUESTIONS?

Email: Your assigned DEHCR Program Rep.
or
DOACDBG@Wisconsin.gov



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CHAPTER 3: PROCUREMENT & CONTRACTING

DEHCR – BUREAU OF COMMUNITY DEVELOPMENT



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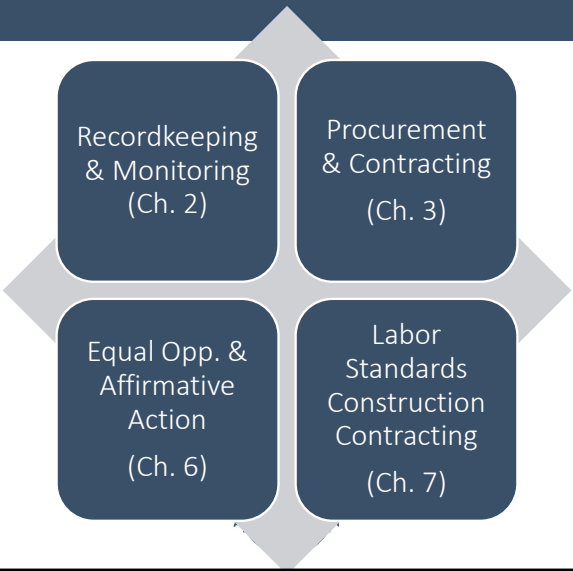
CHAPTER 3 KEY UPDATES

- Various general text updates and additional guidance/clarifications.
- Debarment checks website update.
- Simplified Acquisition, Competitive Bidding, RFQ and RFP guidance updates.
- Sole Bidder guidance added.
- Contract language/Attachments insertion requirements update.
- Potential Conflict of Interest Disclosure recommendations update.
- Attachment Updates: 3-B, 3-F, 3-G, 3-H

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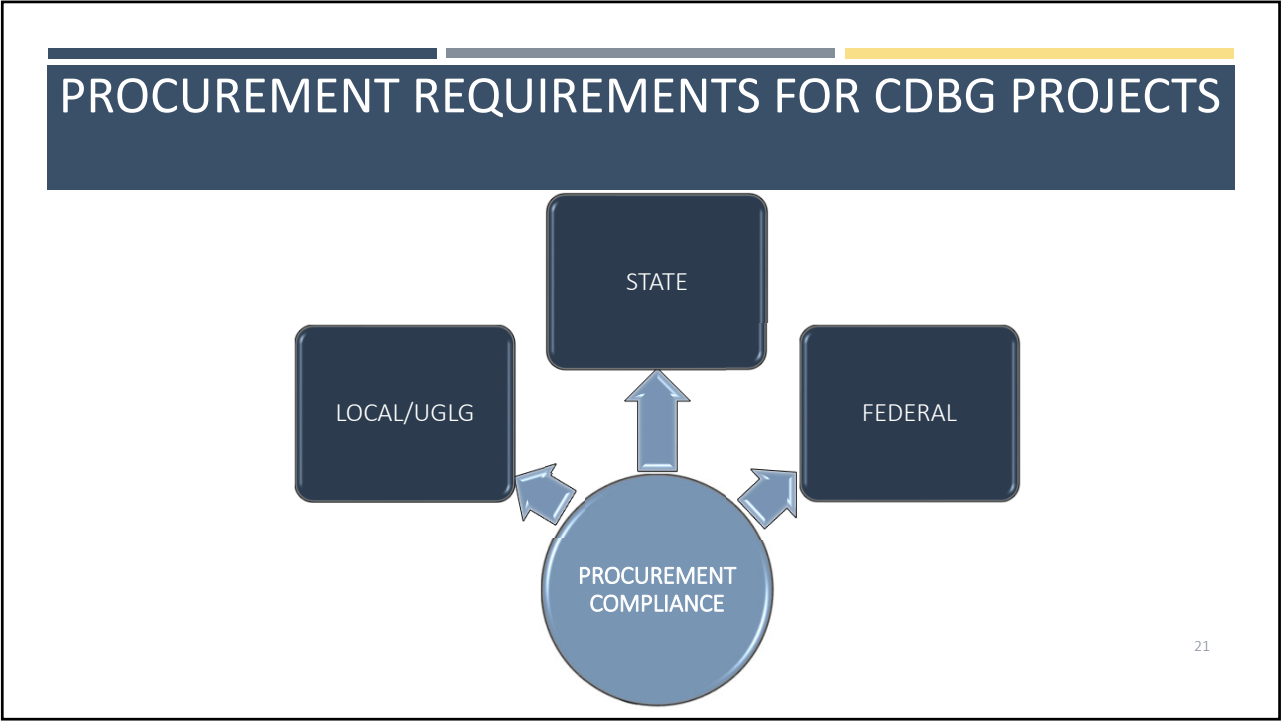
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PROCUREMENT REQUIREMENTS FOR CDBG PROJECTS



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LOCAL PROCUREMENT POLICY: BEST PRACTICES

(24 CFR PART 85.35-85.36)

- Open and free, fair competition
- Economy and efficiency
- Checks and balances
- Roles and Authorities of Employees and Officials
- Cost or price analysis

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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




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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



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

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PROCUREMENT DECISIONS	
Work by UGLG or other Govt. Entity (including <i>Quasi</i> -Govt., e.g., RPCs, certain EDOs):	Work by Non-Governmental 3 rd Party:
<ul style="list-style-type: none">• No “procurement” process required• Agreement in writing required <i>if</i> inter-governmental	<ul style="list-style-type: none">• Procurement requirements will apply• Agreement/contract in writing required

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PROCUREMENT DECISIONS

CDBG- Funded (in whole or in part):	Local/Match Funded Only:
<ul style="list-style-type: none">• Comply with <i>most restrictive</i> of Local, State and Federal requirements	<ul style="list-style-type: none">• Comply with Local Policy(ies) <p><i>Know your local policy(ies)!</i></p>

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PROCUREMENT DECISIONS

Construction Related Contracts	Professional Services / Non-Construction Contracts
<ul style="list-style-type: none">• Comply with State & Federal regs., regardless of funding source• Competitive process, unless exception approved by DEHCR	<ul style="list-style-type: none">• CDBG Funded: Competitive procurement required (<i>except Inter-Governmental</i>)• Match Funded: Comply with Local policy(ies)

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PROCUREMENT: CONFLICTS OF INTEREST

- Mechanism for Disclosure
(Attachment 3-B – for prime contracts)
- Contract Language
(Attachment 3-C)
- Follow Local Policy(ies)
- Follow Handbook guidance

Potential conflicts disclosed must be reviewed publicly!



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

NOTE: When this document is submitted to the contracting official of the CDBG, the form should be included for use to review the subject's organization (name, organizational structure, board members, owners, administrative staff, etc.)

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 TYPES: ADMINISTRATIVE, DEPARTMENT HEADS AND/OR LEGAL COUNSEL:

☐ INSERT FULL NAME AND TITLE
☐ INSERT FULL NAME AND TITLE
☐ INSERT FULL NAME AND TITLE

ENGINEERING AND CONSULTING FIRMS:

☐ 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 contractor with a potential conflict of interest will be disclosed at the next governing body meeting, e.g., City Council, Village or Town Board meeting in which bids are discussed. Potential conflicts of interest will be reviewed in accordance with 24 CFR 570.430(c).

Printed Name of Individual _____ Title _____ Signature _____
Name of Business/Firm/Company _____ Date Signed (MM/DD/YYYY) _____
Potential Conflict of Interest Disclosure Form v.2021-03-01

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PROCUREMENT: OTHER CONSIDERATIONS

- MBE/WBE, Section 3/LMI, local and small business participation
- No **debarred** contractors – check Federal System for Award Management (SAM): <https://wdolhome.sam.gov/>
- Lobbying activity restrictions and disclosure
(Attachment 3-D and Attachment 3-E)



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CONSTRUCTION: COMPETITIVE SEALED BID

- Required for Construction contracts >\$25,000
- 2 or more bids required (exceptions require justification; sole bidder guidance in Ch. 3, pp. 16-17)
- May opt to make no award and re-bid (e.g., bids not responsive and responsible; bids too high, etc.)



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PROFESSIONAL SERVICES PROCUREMENT: COMPETITIVE PROPOSAL

Optional Templates in Handbook:

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

Customize Templates to fit needs.



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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



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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



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CONTRACT LANGUAGE/ATTACHMENTS

CH. 3, P. 23

Attachments listed are required *unless* otherwise noted with asterisks:

* = Attachment or similar document recommended

** = Required if Davis-Bacon/Labor Standards apply to project.

Construction Contracts of \$10,000 or LESS	Construction Contracts of GREATER Than \$10,000
<p>Must be included <u>in</u> contracts & bidding packet:</p> <ul style="list-style-type: none">Attachment 3-C [24 CFR 570.489(h) Conflict of Interest Clause]Attachment 6-B [Section 3 Contract Requirements]Attachment 7-B** [Davis-Bacon and Related Acts (DBRA)]Attachment 7-G** [Federal Labor Standards Provisions (4010)]Applicable Davis-Bacon/Federal Wage Decision(s)**	<p>Must be included <u>in</u> contracts & bidding packet:</p> <ul style="list-style-type: none">Attachment 3-C [24 CFR 570.489(h) Conflict of Interest Clause]Attachment 6-A** [Equal Opportunity Clause (EO 11246)]Attachment 6-B [Section 3 Contract Requirements]Attachment 6-C** [Affirmative Action Requirements (EO 11246)]Attachment 6-D** [Federal Equal Employment Opportunity Clauses Construction Contract Specifications (EO 11246)]Attachment 7-B** [Davis-Bacon and Related Acts (DBRA)]Attachment 7-G** [Federal Labor Standards Provisions (4010)]Attachment 7-R [MBE/WBE/DBE Web Resources]Applicable Davis-Bacon/Federal Wage Decision(s)**

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CONTRACT LANGUAGE/ATTACHMENTS

CH. 3, P. 24

Attachments listed are required *unless* otherwise noted with asterisks:

* = Attachment or similar document recommended

** = Required if Davis-Bacon/Labor Standards apply to project.

<p><i>To be provided to construction contractor (either as part of contract & bidding packet or may be provided separately):</i></p> <ul style="list-style-type: none">Attachment 3-B* [Conflict of Interest Disclosure Form] – recommended for prime contractsAttachment 3-D [Lobbying Certification Form] – must obtain signed copy from contractor at time of contract awardAttachment 3-E [Disclosure of Lobbying Activities Form] – must obtain signed copy from contractor <i>if</i> has lobbying activities to discloseAttachment 7-I* [Pre-Construction Meeting Items to be Discussed]Attachment 7-J* [Pre-Construction Checklist for Contractors]	<p><i>To be provided to construction contractor (either as part of contract & bidding packet or may be provided separately):</i></p> <ul style="list-style-type: none">Attachment 3-B* [Conflict of Interest Disclosure Form] – recommended for prime contractsAttachment 3-D [Lobbying Certification Form] – must obtain signed copy from contractor at time of contract awardAttachment 3-E [Disclosure of Lobbying Activities Form] – must obtain signed copy from contractor <i>if</i> has lobbying activities to discloseAttachment 7-I* [Pre-Construction Meeting Items to be Discussed]Attachment 7-J* [Pre-Construction Checklist for Contractors]
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CONTRACT LANGUAGE/ATTACHMENTS

CH. 3, P. 24

Attachments listed are required *unless* otherwise noted with asterisks:

* = Attachment or similar document recommended

Professional Services and Other Non-Construction Contracts Funded in Whole or In Part with CDBG	Professional Services and Other Non-Construction Contracts <u>NOT</u> Funded with CDBG
<p><i>Must be included in contract:</i></p> <ul style="list-style-type: none">• Attachment 3-C [24 CFR 570.489(h) Conflict of Interest Clause]• Attachment 6-B [Section 3 Contract Requirements] <p><i>To be provided to contractor (either as part of contract or may be provided separately):</i></p> <ul style="list-style-type: none">• Attachment 3-B* [Conflict of Interest Disclosure Form] – recommended for prime contracts (i.e., contracts directly with Grantee or sub-recipient)• Attachment 3-D [Lobbying Certification Form] – must obtain signed copy from contractor at time of contract award• Attachment 3-E [Disclosure of Lobbying Activities Form] – must obtain signed copy from contractor <i>if</i> has lobbying activities to disclose	<p><i>Must be included in contract:</i></p> <ul style="list-style-type: none">• Attachment 3-C [24 CFR 570.489(h) Conflict of Interest Clause]• Attachment 6-B* [Section 3 Contract Requirements] <p><i>To be provided to contractor (either as part of contract or may be provided separately):</i></p> <ul style="list-style-type: none">• Attachment 3-B* [Conflict of Interest Disclosure Form] – recommended for prime contracts (i.e., contracts directly with Grantee or sub-recipient)• Attachment 3-D [Lobbying Certification Form] – must obtain signed copy from contractor at time of contract award• Attachment 3-E [Disclosure of Lobbying Activities Form] – must obtain signed copy from contractor <i>if</i> has lobbying activities to disclose

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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

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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 debarment check at time of contracting or not having record(s) of SAM debarment check(s) on file



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PROCUREMENT MONITORING: CDBG FILE CONTENTS

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



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HELPFUL WEBSITES

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

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QUESTIONS?

Email: Your assigned DEHCR Program Rep.
or
DOACDBG@Wisconsin.gov



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CHAPTER 5: ACQUISITION & RELOCATION

DEHCR – BUREAU OF COMMUNITY DEVELOPMENT



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CHAPTER 5 KEY UPDATES

- Various general text updates and additional guidance/clarifications.
- Reminders added regarding requirement for *Grant Agreement* execution and ER Certification prior to Acquisition (when costs paid/reimbursed with CDBG or counted towards Match).
- “Definitions” added.
- Voluntary Acquisition processes/guidance updates.
- Involuntary Acquisition processes/guidance updates.
- Attachment Updates: 5-B, 5-C, 5-D, 5-K

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RELEVANT LAWS & REGULATIONS

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

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URA APPLICABILITY

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



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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



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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
(Attachment 3-B Template)

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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).
- Buyer of the property *without* eminent domain authority - always voluntary acquisition.

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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).

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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)



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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

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ACQUISITION & RELOCATION PROCESSES

- Voluntary Acquisition Process: Attachment 5-C
- Involuntary Acquisition Process: Attachment 5-D
- Relocation Process: Attachment 5-F thru 5-I

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ACQUISITION / RELOCATION NOTICE TO DEHCR

- Notify prior to start of construction (if known)
- Submit 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 #: [GA # (e.g., PF 20-01)]
PREPARED BY: [Form Preparer's Name, Title] [Entity/Firm Name, if applicable]	PREPARED BY'S PHONE # & EMAIL: [Phone #] [Email Address]
PREPARED BY'S SIGNATURE: _____	
1) PROPERTY ADDRESS & PARCEL #: [Property Street Address], [City], WI [Zip Code] [Parcel #]	TARGET PURCHASE DATE: [Enter Date]
Check 1 Box Below: AND	Check 1 Box Below:
<input type="checkbox"/> Temporary Easement: <input type="checkbox"/> Voluntary <input type="checkbox"/> Involuntary	<input type="checkbox"/> Voluntary <input type="checkbox"/> Involuntary
<input type="checkbox"/> Permanent Easement: <input type="checkbox"/> Voluntary <input type="checkbox"/> Involuntary	<input type="checkbox"/> Voluntary <input type="checkbox"/> Involuntary
<input type="checkbox"/> Permanent Acquisition: <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: AND	Check 1 Box Below:
<input type="checkbox"/> Temporary Easement: <input type="checkbox"/> Voluntary <input type="checkbox"/> Involuntary	<input type="checkbox"/> Voluntary <input type="checkbox"/> Involuntary
<input type="checkbox"/> Permanent Easement: <input type="checkbox"/> Voluntary <input type="checkbox"/> Involuntary	<input type="checkbox"/> Voluntary <input type="checkbox"/> Involuntary
<input type="checkbox"/> Permanent Acquisition: <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: AND	Check 1 Box Below:
<input type="checkbox"/> Temporary Easement: <input type="checkbox"/> Voluntary <input type="checkbox"/> Involuntary	<input type="checkbox"/> Voluntary <input type="checkbox"/> Involuntary
<input type="checkbox"/> Permanent Easement: <input type="checkbox"/> Voluntary <input type="checkbox"/> Involuntary	<input type="checkbox"/> Voluntary <input type="checkbox"/> Involuntary
<input type="checkbox"/> Permanent Acquisition: <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 DEHCR@wisconsin.gov (if not yet assigned a DEHCR Project Rep.)
AND to UGLG (if form completed by 3rd party, who is not an employee of UGLG).

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VOLUNTARY ACQUISITION PROCESS

1. Submit the *Notice of Acquisition/Relocation to DEHCR* (Attachment 5-L);
2. Determine the current Fair Market Value (FMV);
3. Provide an initial *Informational Notice to Owner* (Attachment 5-B)
4. Provide Owner(s) with applicable Acquisition brochure(s), and relocation rights brochure(s) to Tenant(s)
5. Initiate and Proceed with Negotiations;

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VOLUNTARY ACQUISITION PROCESS

6. Official Determination to Acquire – UGLG Governing Body Approval (if buyer is UGLG)
7. Notice of Intent to Acquire to Owner(s) and Tenant(s); and complete Relocation Processes, if Tenant Displacement [*Note: Includes Relocation Plan to DOA Legal Services – may occur earlier in process, upon determining tenant displacement will occur.*];
8. Execute Purchase Agreement and Title Transfer; and
9. Maintain ALL records in Acquisition file.

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INVOLUNTARY ACQUISITION PROCESS

1. *Notice of Acquisition/Relocation to DEHCR (Attachment 5-L);*
2. Relocation Order/Determination of Necessity of Taking Processes (if applicable); *[Note: May occur later in process - when determine condemnation will be pursued.];*
3. Acquisition and Relocation Notices and Brochures to Owner(s)/Tenant(s);
4. Appraisal(s) (or the Waiver of Appraisal or Waiver Valuation, if applicable);
5. Appraisal Review (if Appraisal is required);
6. Relocation Plan(s) – Submit to DOA Legal Services for approval; submit approval to DEHCR *[Note: May occur earlier in the process - upon determining that relocation/displacement will occur.];*

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INVOLUNTARY ACQUISITION PROCESS

6. Determine Just Compensation;
7. Initiate and Proceed with Negotiations;
8. Official Determination to Acquire – UGLG Governing Body approval (if buyer is UGLG);
9. Offer of Just Compensation with a Statement of Basis for Determination of Just Compensation amount - Make written Jurisdictional Offer;
10. Execute Administrative Settlement (if necessary); and
11. Complete Purchase/Acquisition and Property Title Transfer.
12. Maintain ALL Records in Acquisition file.

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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



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ACQUISITION / RELOCATION MONITORING & RECORDKEEPING

Acquisition/Relocation Monitoring Checklist:

Attachment 5-K

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



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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>.

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



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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

- 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/

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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

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QUESTIONS?

Email: Your assigned DEHCR Program Rep.
or
DOACDBG@Wisconsin.gov



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CHAPTER 6: EQUAL OPPORTUNITY, FAIR HOUSING & SECTION 3

DEHCR – BUREAU OF COMMUNITY DEVELOPMENT



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CHAPTER 6 KEY UPDATES

- Various general text updates and additional guidance/clarifications.
- MBE/WBE guidance update.
- **New** Section 3 policy (pre-11/30/20 Awards vs. post-11/30/20 Awards), Section 3 requirements, definitions, and guidance updates.
- Attachment Updates: 6-B (now 6-B(1), 6-B(2))

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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 very low-, low- and moderate-income (LMI) persons.
- Provide economic opportunities for small, minority-owned and woman-owned businesses.



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MBE/WBE OBJECTIVE

(CH. 6, 7)

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



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MBE/WBE DEFINITIONS

(CH. 6, 9)

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 ore 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*

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MBE/WBE COMPLIANCE

CH. 3, 6, 7, 9

Reporting:

- Semi-Annual MBE/WBE data reporting to DEHCR (Attachment 9-C, 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)



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SECTION 3 OBJECTIVE

CH. 3, 6, 7, 9

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

[24 CFR 135, 24 CFR 75, 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.

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SECTION 3 [NEW] “FINAL RULE” [24 CFR 75]

(CH. 6, 9)

Published Nov. 30, 2020:

- “Legacy Projects” [24 CFR 135] are not subject to new requirements *(although increased emphasis on data collection for new hiring)*
- Applies to ALL CDBG Projects awarded on or after 11/30/2020
- Revised Definitions & Goals (25% & 5% labor hour thresholds)
- Revised Reporting Information:
 - Total Hours Worked
 - Total Hours Worked by Section 3 Workers
 - Total Hours Worked by Targeted Section 3 Workers

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SECTION 3 DEFINITIONS

(CH. 6, 9)

Section 3 Project:

■ Site or sites together with any building(s) and improvements located on the site(s) that are under common ownership, management, and financing.

Section 3 applies...

■ To an entire Section 3 project, regardless of whether the project is fully or partially assisted under HUD programs that provide housing and community development financial assistance.

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■ To all public housing financial assistance funds.

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SECTION 3 DEFINITIONS

(CH. 6, 9)

Section 3 Residents: [24 CFR 135]

For “Legacy” projects (awarded **PRIOR** to 11/30/2020)...

• Low-income *new full-time* employee or trainee (based on *family* income being =/<“Low (80%)” HUD Income Limit) hired *for* CDBG project, living in same County as project; OR

• YouthBuild participant

Section 3 Workers: [24 CFR 75]

For “New” projects (awarded **ON or AFTER** 11/30/2020)...

• Low- or very low-income employee (based on *individual* income being =/<“Low (80%)” HUD Income Limit); OR

• Employed by a Section 3 business concern; OR

• A YouthBuild participant

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SECTION 3 DEFINITIONS

(CH. 6, 9)

Targeted Section 3 Workers: [24 CFR 75]


For “New” projects (awarded **ON or AFTER** to 11/30/2020)...

• Employed by a Section 3 business concern; or

• Currently fits (or when hired fit) **at least one** (1) of the following categories as documented within the past five (5) years:

• Living within the (Section 3) service area or the neighborhood of the project, as defined in 24 CFR 75.5, or

• A YouthBuild participant



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SECTION 3 DEFINITIONS

(CH. 6, 9)

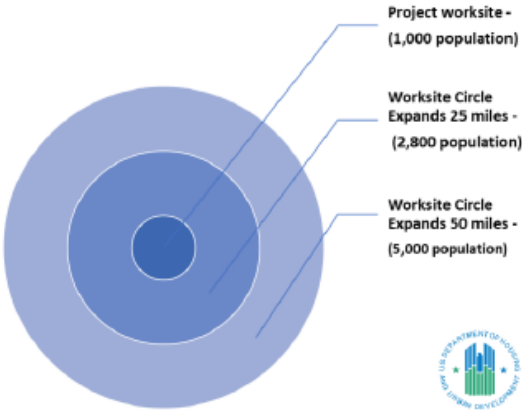
Section 3 Service Area: [24 CFR 75.5]


For “New” projects (awarded **ON or AFTER** to 11/30/2020)...

■ An area within a one (1) mile radius of the Section 3 project

OR

■ An area within a circle, centered around the Section 3 project site that encompasses 5,000 people





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SECTION 3 DEFINITIONS

(CH. 6, 9)

Section 3 Business: [24 CFR 135]

For “Legacy” projects (awarded PRIOR to 11/30/2020)...

- 51% or more ownership (and with net profit/loss accrual to) one or more Section 3 residents; or
- 30% or more FTEs include current Section 3 residents (or were Sec3 residents within 3 years of first hire); or
- Written commitment to sub-contract 25% or more of all sub-contracted work to Section 3 businesses (meeting #1 or #2 above).

Section 3 Business: [24 CFR 75]

For “New” projects (awarded ON or AFTER to 11/30/2020)...

- 51% or more ownership by low- or very low-income persons; or
- 75% or more of the labor hours are performed by low- or very low-income persons; or
- 51% or more ownership by current residents of public housing or Section 8-assisted housing.

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SECTION 3 RESPONSIBILITIES

CH. 3, 6, 7, 9

- Provide economic opportunities to low-income persons and qualified Section 3 businesses – to the greatest extent feasible [24 CFR 135 and 24 CFR 75]
- Refer to Ch. 3, 6, 7 & 9 of *Handbook* for Section 3 compliance requirements
- Goals and Best Practices found in Ch. 6 and Ch. 9 of *Handbook*
- Notify contractors of Section 3 responsibilities



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SECTION 3 COMPLIANCE DOCUMENTS

CH. 3, 6, 7, 9

Reporting: (refer to Ch. 9)

- Section 3 Reports (*Attachment 9-M*) and Employee Certification Forms (*Attachment 9-K1* (pre-11/30/2020) / *9-K2* (post-11/30/2020)) from ALL contractors maintained in project file
- Section 3 Business Concern Certifications (*Attachment 9-L*) maintained in project file
- Grantee's Section 3 data reporting to DEHCR (*Attachment 9-C*)



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SECTION 3 COMPLIANCE DOCUMENTS

CH. 3, 6, 7, 9

Hiring/Retention/Training:

- Best efforts: Refer to Ch. 6 (pp. 11-12, 15-16) and Ch. 9 (*Attachment 9-C* and instructions)
- Goals: Labor hours worked by Section 3 and Targeted Section 3 workers

Contracting:

- Best efforts: Include required language (*Attachment 6-B(1)* for pre-11/30/2020 Awards or *Attachment 6-B(2)* for post-11/30/2020 Awards) (Ch. 6)

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QUESTIONS?

Email: Your assigned DEHCR Program Rep.
or
DOACDBG@Wisconsin.gov



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CHAPTER 4: ENVIRONMENTAL

DEHCR – BUREAU OF COMMUNITY DEVELOPMENT



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CHAPTER 4 KEY UPDATES

- Various general text updates and additional guidance/clarifications.
- CARES Act projects guidance note added.
- Environmental Assessment guidance update.
- Agency contact/response and Historic Properties guidance updates.

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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.



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HOW TO COMPLETE AN ENVIRONMENTAL REVIEW

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



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STEP I: PROJECT CLASSIFICATION

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

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

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

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



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STEP 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.



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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.

STATEMENT OF ACTIVITIES

List all activities funded by the grant and identify: those activities that have been previously assessed, those that require an environmental assessment, those which are categorically excluded, and those which are exempt. Check the appropriate box(es) which apply to each activity listed.

1	2	3	4	5	6	7
Activity	Source(s) of Funds: CDBG or non-CDBG	Previously assessed	Exempt or Categorical Excluded and NOT subject to the Statutory Checklist*	Categorically Excluded and subject to 58.5 (the Statutory Checklist)*	Requires Environmental Assessment	Cite relevant section of 24 CFR 58
<SELECT ACTIVITY> If applicable, specify: <u>[LABEL HERE]</u>	<SELECT SOURCE>	<SELECT>	<SELECT>	<SELECT>	<SELECT>	<SELECT>
<SELECT ACTIVITY> If applicable, specify: <u>[LABEL HERE]</u>	<SELECT SOURCE>	<SELECT>	<SELECT>	<SELECT>	<SELECT>	<SELECT>

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STEP 2: PROJECT REVIEW

- **Exempt or Categorical 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.*



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STEP 3: PUBLIC NOTICE REQUIREMENTS

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

- Not required to publish any public notices

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

- Not required to publish any public notices



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STEP 3: PUBLIC NOTICE REQUIREMENTS (CONT.)

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

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

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STEP 3:

PUBLIC NOTICE REQUIREMENTS (CONT.)

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

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

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STEP 3: PUBLIC NOTICE REQUIREMENTS

(CONT.)

Attachment 4-N

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

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STEP 3: PUBLIC NOTICE REQUIREMENTS
(CONT.)

Attachment 4-N

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

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STEP 4:
DOCUMENT SUBMITTAL REQUIREMENTS

All Environmental Reports must have:

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

All Environmental Reports must be complete and submitted to:

DEHCR Environmental Desk
DOAEnvironmentalDesk@Wisconsin.gov

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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.

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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)*

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IMPORTANT AREAS FOR REVIEW

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

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



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HISTORICAL AND ARCHEOLOGICAL REVIEW

IMPORTANT NOTE

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



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IMPORTANT INFORMATION: HISTORIC AND ARCHEOLOGICAL REVIEW(S):

- Archaeological review is required for projects on any previously undisturbed land. Parcels smaller than 0.5 acres can be reviewed by DOA Environmental Desk. An Archeological Survey is required on previously undisturbed parcels of land 0.5 acres in size or larger.
- Buildings 50 years and older that are listed on the Wisconsin Historical Society's Wisconsin Historical Inventory are subject to extensive review by WHS architects.
- Contact DOAEnvironmentalDesk@Wisconsin.gov to initiate your Historical/Archeological review



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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)



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QUESTIONS?

Email: DOAEnvironmentalDesk@wisconsin.gov
and
DOACDBG@Wisconsin.gov



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CHAPTER 7: LABOR STANDARDS

DEHCR – BUREAU OF COMMUNITY DEVELOPMENT



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CHAPTER 7 KEY UPDATES

- Various general text updates and additional guidance/clarifications.
- USDOL / SAM.gov website update.
- Accessing Wage Determinations guidance update.
- Debarment checks guidance update.
- Contract language/Attachments insertions requirements update.
- Payroll Record Template guidance update (added WisDoT form).
- Truck Driver *de minimus* time on work site clarification.
- Attachment Updates: 7-B, 7-C, 7-D, 7-F, 7-I, 7-J, 7-L (now 7-L(1)) and 7-L(2), 7-P, 7-Q, 7-R

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FEDERAL LABOR STANDARDS APPLICABILITY

Davis-Bacon and Related Acts (DBRA)

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

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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. 5 and Attachment 7-Q for guidance)



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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.



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WORD OF WARNING

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



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RELEVANT LAWS

DAVIS-BACON ACT

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

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RELEVANT LAWS (CONTINUED)

COPELAND "ANTI-KICKBACK" ACT

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

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RELEVANT LAWS (CONTINUED)

CONTRACT WORK HOURS AND SAFETY STANDARDS ACT (CWHSSA)

- 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.

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RELEVANT LAWS (CONTINUED)

CONTRACT WORK HOURS AND SAFETY STANDARDS ACT (CWHSSA)

- Contractor liable for unpaid wages, liquidated damages, fines, imprisonment, and/or debarment
 - Underpayment/wage restitution to employee – record of restitution and correction payroll maintained in project file
 - Liquidated damages penalty (\$27/day per underpaid employee, eff. 1/24/19)
 - Penalties and fines paid to federal government – may be waived*
**Waiver for liquidated damages >\$500 requires HUD/USDOL approval.*¹¹³
- Violation may result in termination of the contract

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LABOR STANDARDS OFFICER DESIGNATION

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



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LABOR STANDARDS OFFICER RESPONSIBILITIES

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



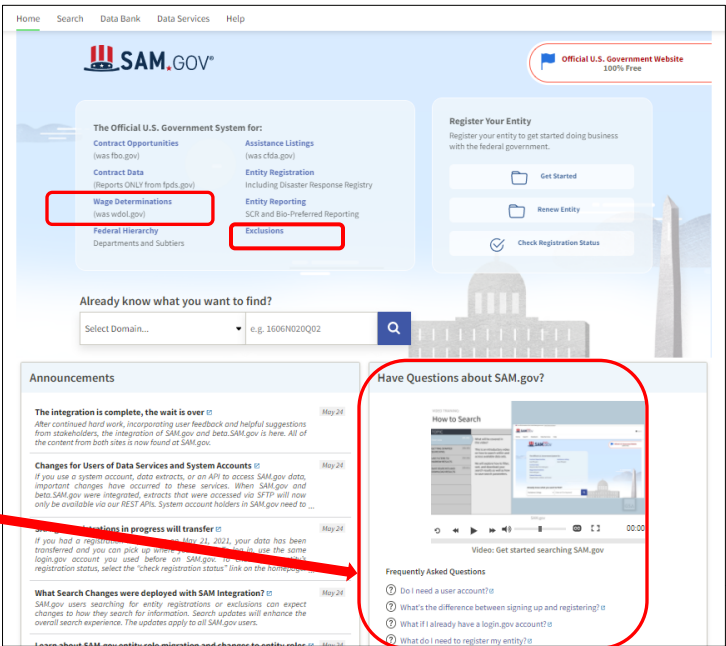
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New SAM.gov
Home Page:
[https://sam.gov/
content/home](https://sam.gov/content/home)
for checking
Wage Determinations
and
Debarment Records

Follow guidance on
SAM.gov website.

(Refer to Ch. 7 for Instructions)



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To access search page:

- Enter Wage Decision # if known (e.g., WI20210008) in search box and click search icon; or
- Type in “wi” in search box and click search icon; or
- Click the to “Wage rates for laborers and mechanics” link

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Select “Construction (DBA)” to view Active wage decisions for Wisconsin (WI) construction projects.

These are the default settings. Check the “Inactive” box or enter a Published Date to locate a previously issued wage decision.

118

Use 'drop-down' menus to select State and DBA Construction Type

View details of wage decision(s) that appear by clicking decision #.

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Verify Wage Decision # and date in effect at time of bid opening (or on date the construction contract was awarded, if more than 90 days after bid opening date) on page 1 of wage decision.

Verify construction type (on page 1) for work being performed.

Note Modification # and Date.

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Links to previous wage decision modifications within the calendar year are listed under "History" at the end of the wage decision.

History

May 14, 2021

WI20210015 - Modification 3

May 14, 2021

WI20210015 - Modification 2

Mar 19, 2021

WI20210015 - Modification 1

Mar 12, 2021

WI20210015 - Modification 0

Wage and Hour Administrator
U.S. Department of Labor
280 Constitution Avenue, N.W.
Washington, DC 20210

The request should be accompanied by a full statement of the interested party's position and by any information (wage payment data, project description, area practice material, etc.) that the requestor considers relevant to the issue.

3.) If the decision of the Administrator is not favorable, an interested party may appeal directly to the Administrative Review Board (formerly the Wage Appeals Board). Write to:

Administrative Review Board
U.S. Department of Labor
280 Constitution Avenue, N.W.
Washington, DC 20210

4.) All decisions by the Administrative Review Board are final.

END OF GENERAL DECISION"

121

WAGE DECISION & PAYROLL MONITORING

Locate Job Classification and County in which construction is occurring within wage decision pages to determine required federal wage rate (base wage + fringe hourly rate) when conducting payroll monitoring.

LABORER CLASSIFICATIONS

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

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

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

GROUP 4: Line and Grade Specialist

GROUP 5: Blaster; powderman

GROUP 6: Flagperson; Traffic Control

LABORER

	Rates	Fringes
Group 1.....	\$ 33.72	17.95
Group 2.....	\$ 33.82	17.95
Group 3.....	\$ 33.87	17.95
Group 4.....	\$ 34.07	17.95
Group 5.....	\$ 33.92	17.95
Group 6.....	\$ 30.35	17.95

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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*



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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



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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).

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FEDERAL WAGE DETERMINATION (CONTINUED)

90-Day Rule:

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



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FEDERAL WAGE DETERMINATION (CONTINUED)

Failing to Obtain Correct Federal Wage Determination for Bidding Process:

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

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BID PACKET REQUIREMENTS

CH. 3, 7

Notices in Bid Packets applicable to construction:

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

- *Potential Conflict of Interest Disclosure* form (**Attachment 3-B** – recommended form for prime contracts only – may use alternative mechanism for conflicts of interest disclosure)*
- *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(1) or Attachment B(2)**)
- *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**)

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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 & Section 3 Web Resources (Attachment 7-R)*

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CONTRACTOR ELIGIBILITY CLEARANCE

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



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Debarment Check: <https://sam.gov/content/home>



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Debarment Check:

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CONTRACTOR ELIGIBILITY CLEARANCE

Debarment Check:
<https://sam.gov/content/home>

If by Company Name:
Filter by State

Keywords

"Matty Construction"

Classification

Excluded Individual

Excluded Entity

Federal Organizations

Exclusion Type

Exclusion Program

Location

Zip Code

State / Province

U.S. Virgin Islands

Utah

Vermont

Virginia

Washington

West Virginia

Wisconsin

Wyoming

MEAMMAR CONSTRUCTION

DUNS Unique Entity ID (blank)

CAGE Code (blank)

Physical Address 292

Classification Special Entity Designation

Activation Date Sep 11, 2020

Termination Date Indefinite

Exclusion

EXTERNAL CONSTRUCTION BUREAU

DUNS Unique Entity ID (blank)

CAGE Code (blank)

Physical Address PMK

Classification Special Entity Designation

Activation Date Oct 16, 2017

Termination Date Indefinite

Exclusion

CONSTRUCTION JIHAD

DUNS Unique Entity ID (blank)

CAGE Code (blank)

Physical Address XX USA

Classification Special Entity Designation

Activation Date

Termination Date Indefinite

Exclusion

JIHAD CONSTRUCTION

DUNS Unique Entity ID (blank)

CAGE Code (blank)

Physical Address XX USA

Classification Special Entity Designation

Activation Date

Termination Date Indefinite

Exclusion

OMID DEVELOPMENT AND CONSTRUCTION

DUNS Unique Entity ID (blank)

CAGE Code (blank)

Physical Address 292

Classification Special Entity Designation

Activation Date Jan 16, 2016

Termination Date Indefinite

Exclusion

ARIA ROYAL CONSTRUCTION COMPANY

DUNS Unique Entity ID (blank)

CAGE Code (blank)

Physical Address 292

Classification Special Entity Designation

Activation Date Jan 16, 2016

Termination Date Indefinite

Exclusion

CH'OLAHYH OVERSEAS CONSTRUCTION COMPANY

DUNS Unique Entity ID (blank)

CAGE Code (blank)

Physical Address KWT

Classification Special Entity Designation

Activation Date Oct 26, 2011

Termination Date Indefinite

Exclusion

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CONTRACTOR ELIGIBILITY CLEARANCE

Debarment Check:
<https://sam.gov/content/home>

Print and File results after each search: CTRL P

Select Domain

Entity Information

All Entity Information

Entity Registrations

Disaster Response Registry

Exclusions

Filter By

Keywords

"Matty Construction"

Classification

Excluded Individual

Excluded Entity

Federal Organizations

Exclusion Type

Exclusion Program

Showing 1 - 3 of 3 results

Sort By Relevance

State Construction of SE Wisconsin

DUNS Unique Entity ID 002960219

CAGE Code (blank)

Physical Address Kenosha, WI USA

Classification Firm

Activation Date Oct 14, 1994

Termination Date Indefinite

Exclusion

Nuvo Construction Company, Inc.

DUNS Unique Entity ID 128823270

CAGE Code (blank)

Physical Address 6033-6045 North 55th Street, Milwaukee, WI 53218 USA

Classification Firm

Activation Date Mar 16, 2021

Termination Date Dec 15, 2025

Exclusion

Pagasa Construction Company, Inc.

DUNS Unique Entity ID 078484462

CAGE Code (blank)

Physical Address 6033-6045 North 55th Street, Milwaukee, WI 53218 USA

Classification Firm

Activation Date Mar 16, 2021

Termination Date Dec 15, 2025

Exclusion

Results per page 25

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CONTRACTOR ELIGIBILITY CLEARANCE

Debarment Check:
<https://sam.gov/content/home>

Select Domain

Entity Information

All Entity Information

Entity Registrations

Disaster Response Registry

Exclusions

Filter By

Keywords

Classification

Excluded Individual

Excluded Entity

Entity Name

DUNS Unique Entity ID

123456789

No results found

SAM Unique Entity ID

CAGE / NCAGE

No matches found

We couldn't find a match for your search criteria.

Please try another search or go back to previous results.

Go Back

'X' out previous search criteria & search by Company DUNS

Print and file even if: NO MATCHES FOUND

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CONTRACTOR ELIGIBILITY CLEARANCE

Debarment Check:
<https://sam.gov/content/home>

TIN Matching Delay Impacting Entity Registration

Show Details

Aug 26, 2021

Notice: New FFS-Protected Federal Facility Entrance Requirements

Show Details

Aug 24, 2021

SAM.GOV

Home Search Data Bank Data Services Help

Search

e.g. 102EP420 Q02, asphalt p...

Select Domain

Entity Information

All Entity Information

Entity Registrations

Disaster Response Registry

Exclusions

Filter By

Keywords

"Heavy Construction"

Classification

Print as PDF by pressing 'CTRL P' and store in project file

Date should be before contracting with entity

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CONSTRUCTION CONTRACT

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

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

- The same language, clauses, and wage decision(s) required for construction bid packet – including other fed, state agencies providing matching dollars (except *Attachment 3-B*)
- Recommended – Pre-Construction meeting documents (*Attachments 7-I and 7-J*) (*provide to contractors even if do not attend pre-construction meeting, as guidance*)

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CONSTRUCTION CONTRACT (CONTINUED)

Additional Subcontract Requirements:

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

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PRE-CONSTRUCTION CONFERENCE

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

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COMPLIANCE MONITORING

Labor Standards Officer Role: *(also see BCD Training and Technical Assistance website)*

- **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

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COMPLIANCE ENFORCEMENT

- UGLGs must take the necessary steps to enforce the requirements when a contractor or subcontractor has not paid at least the minimum Davis-Bacon wage and benefits or has violated other requirements.
- All enforcement actions shall be carried out in writing and have supporting information in the file



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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 (Ch. 3, Ch. 7)
- Reporting (Ch. 7, Ch. 9; Ch. 10)



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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.

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HELPFUL WEBSITES

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

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HELPFUL WEBSITES

- DEHCR Labor Standards Compliance Monitoring Training webinar training slides and recording (*on Bureau of Community Development Training and Technical Assistance website*):
<https://doa.wi.gov/Pages/LocalGovtsGrants/TrainingAndTechnicalAssistance.aspx>
(scroll down to “Labor Standards Compliance Monitoring Training” section)

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QUESTIONS?

Email: Your assigned DEHCR Program Rep.
or
DOACDBG@Wisconsin.gov



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CHAPTER 8: FINANCIAL

DEHCR – BUREAU OF COMMUNITY DEVELOPMENT



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CHAPTER 8 KEY UPDATES

- Various general text updates and additional guidance/clarifications.
- Minimum amount of CDBG Payment Request increase (\$25,000).
- Obtaining *CDBG Payment Request Form* from DEHCR guidance update.
- Financial journal updates and additional samples.
- Final Financial documents submission requirements update.
- Attachment Updates: 8-A, 8-B, 8-D, 8-G, 8-H, 8-H3 (added), 8-I

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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

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KEY STEPS TO ACCURATE FINANCIAL RECORDKEEPING:

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



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IMPORTANT REMINDER!

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



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REQUESTING CDBG FUNDS

New Policy: Each CDBG payment request amount must be at least \$25,000.

Documents required with each CDBG payment request:

- Signed and completed *CDBG Payment Request* form – Request from DEHCR Project Rep. 30-60 days prior to first payment request.
- 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; 152
Clearly indicate the break-down of funds that will be used to pay each invoice.

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INVOICE

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

Date: July 13, 2018
Invoice # 079


INVOICES & MULTIPLE FUNDING STREAMS

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
 - Example: If 25% of the project is complete, do not expect to receive 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 funds transfer (EFT)
- 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***

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FINAL CDBG PAYMENT REQUEST

- DEHCR will withhold 10% of the total CDBG funds, up to \$25,000, until the *Project Completion Report & Certification (Attachment 10-A)* 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

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AFTER RECEIVING FINAL CDBG PAYMENT

New Policy:

Must submit the *Financial Certification of Completion* (*Attachment 10-B*) and supporting documentation within 60 days of receiving the final CDBG payment.
(refer to Ch. 10)

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FINANCIAL MANAGEMENT ATTACHMENTS

■ DOA-6456 Authorization for Electronic Deposit

■ DOA-6457 Address Update form (for Paper Checks)

■ Financial Management Contact Person Form

■ Signature Certification


■ CDBG Payment Request 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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QUESTIONS?

Email: Your assigned DEHCR Program Rep.
or
DOACDBG@Wisconsin.gov



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CHAPTER 9: REPORTING

DEHCR – BUREAU OF COMMUNITY DEVELOPMENT



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CHAPTER 9 KEY UPDATES

- Various general text updates and additional guidance/clarifications.
- Reporting submittals guidance update: Email Only.
- **New** Semi-Annual CDBG Data Report Form (for Labor Standards, MBE/WBE, and Section 3 reporting).
- Semi-Annual Report Summary Narrative and Certification combined into one report (9-A).
- **New** Section 3 policy (pre-11/30/2020 Awards vs. on or after 11/30/2020 Awards), Section 3 requirements and guidance updates.
- Single Audit Report submission guidance update.
- Attachments renumbering and document titles.
- Attachment Updates: 9-A, 9-B, 9-C (*deleted previous form*), 9-E, 9-F, 9-G, 9-H, 9-I, 9-J
- New Attachments: 9-C, 9-K1, 9-K2, 9-L, 9-M

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REPORTING PROCESS

A flowchart illustrating the reporting process. It starts with 'Construction (Your Project)' at the bottom left, moving up to 'Construction Manager', then 'UGLG', 'DEHCR', 'HUD', and finally 'Congress' at the top right. An illustration of a hand holding a money bag is next to the 'Congress' box.

```
graph BT; A[Construction (Your Project)] --> B[Construction Manager]; B --> C[UGLG]; C --> D[DEHCR]; D --> E[HUD]; E --> F[Congress];
```

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REPORTS, ACTIONS & COMPLIANCE



- Semi-Annual Summary Narrative Report
- Fair Housing Actions
- Annual Single Audit Statement/Report
- MBE/WBE Data Reporting & EO Compliance
- Section 3 Data Reporting & Compliance
- Labor Standards Data Reporting (if applicable)
- CDBG Jobs Project Employee Self Certification Report (if applicable)
- Client Income Certification Report (if applicable)¹⁶³

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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

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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



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IMPORTANT DATES

DEADLINE	REPORTING DUE
JANUARY 15 TH	Annual Single Audit Statement
MARCH 25 TH	CDBG Data Report (MBE/WBE, Labor Standards, Section 3)
APRIL 15 TH	Semi-Annual Summary Narrative Report
SEPTEMBER 25 TH	CDBG Data Report (MBE/WBE, Labor Standards, Section 3)
SEPTEMBER 30 TH	Annual Single Audit Report <i>(if Single Audit required for CY) **</i>
OCTOBER 15 TH	Semi-Annual Summary Narrative Report
DECEMBER 31 ST <i>*(OR AS LISTED IN TIME TABLE)</i>	Project Completion Report & Certification* and CDBG Final Payment Request* <i>(Financial Certification of Completion due within 60 days of receiving final CDBG payment.)</i>

* Completion/Final Payment Request due dates differ by project/program. This represents 2021 CDBG-PF date.

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

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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-Acronyms

Chapter Attachments/Fillable Forms

- 2-A: File Checklist
- 2-B: Self-Monitoring Checklist
- 2-B(1) Supplement: Labor Standards Contractor Checklist
- 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
- 3-G: RFP Template
- 3-H: RFQ Template
- 4-B: Statement of Activities
- 4-C: Statutory Checklist
- 4-E: Determination of Exemption

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COMMON REPORTING ISSUES

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Semi-Annual
Summary Narrative Report
Example: Page 1

New: Add list of
Attachments to
Report

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

SEMI-ANNUAL SUMMARY NARRATIVE REPORT

A. NAME OF UGL:
Village of Yourville

B. DEHCR GRANT AGREEMENT #:
PF 21-59

C. BUSINESS NAME:
N/A

D. REPORTING PERIOD ENDED: (choose one)
☒ October 1, 20__ to March 31, 20__ (due April 15th)
☐ April 1, 20__ to September 30, 20__ (due October 15th)
☐ Other: _____

SEMI-ANNUAL SUMMARY NARRATIVE DOCUMENTS INCLUDED WITH THIS REPORT:

☐ Semi-Annual Summary Narrative Report, including progress updates and/or supporting documentation for the following: (check all that apply)
☒ Project Activities listed in the Grant Agreement Time Table
☒ Environmental Report Status (refer to Chapter 4: Environmental Review);
☒ Fair Housing Actions Status
☒ 2nd Citizen Participation Public Hearing Status

☒ Attachments to this Report (List Attachments Below, if applicable):
1. 2nd Public Hearing Notices (poster copy and newspaper ad copy)
2. 2nd Public Hearing Notice Affidavit of Publication
3. 2nd Public Hearing Minutes
4. 2nd Public Hearing Certification

THIS REPORTING PERIOD

OBJECTIVES
DUE PRIOR TO CONSTRUCTION:
• Execute Grant Agreement.
• Establish record keeping system.
• Establish financial management system.
• Procure engineering and administrative services, if contracting with third-party firm(s) for these services.
• Enter into the grant administration contract, if contracting with a third-party for grant administration. Submit executed contract to DEHCR CDBG Project Representative.

ACCOMPLISHMENTS
• Grant Agreement executed 10/15/2021.
• Records established during pre-agreement process.
• Financial Management System established prior during pre-agreement process.
• Engineer selected 10/1/2020 and contract executed 11/2/2020 following local procurement (using Match funds to cover services). Grant administrator procured through RFP process.
• Grant administrator contract executed 9/15/2021. Submission to DEHCR 10/15/2021.

Semi-Annual Summary Narrative Report

Page 1

Form v. 2021-09-01

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Taken
directly
from
Grant
Agreement
Time Table

SEMI-ANNUAL SUMMARY NARRATIVE REPORT

THIS REPORTING PERIOD

OBJECTIVES
DUE PRIOR TO CONSTRUCTION:
• Execute Grant Agreement.
• Establish record keeping system.
• Establish financial management system.
• Procure engineering and administrative services, if contracting with third-party firm(s) for these services.
• Enter into the grant administration contract, if contracting with a third-party for grant administration. Submit executed contract to DEHCR CDBG Project Representative.
• Complete Environmental Report and obtain official approval from DEHCR Environmental Desk. Submit copy of approval from DEHCR Environmental Desk to DEHCR CDBG Project Representative.
• Submit "Notice of Acquisition/Relocation to DEHCR" form, if any acquisition (including easements) and/or relocation will be required for the CDBG project.
• Complete acquisition and relocation requirements for property purchase, easement(s), etc., if applicable to project.
• Obtain federal Davis-Bacon wage rates, if federal labor standards are applicable to project.
• Complete Record of Wage Decision Selection Form prior to bidding, if federal labor standards are applicable to project, and submit to DEHCR CDBG Project Representative for review.
• Prepare and solicit construction and/or demolition related bids.

ACCOMPLISHMENTS
• Grant Agreement executed 10/15/2021.
• Records established during pre-agreement process.
• Financial Management System established prior during pre-agreement process.
• Engineer selected 10/1/2020 and contract executed 11/2/2020 following local procurement (using Match funds to cover services). Grant administrator procured through RFP process.
• Grant administrator contract executed 9/15/2021. Submission to DEHCR 10/15/2021.
• ER completed and submitted to DEHCR 11/1/2021. Certification from Environmental Desk 12/15/2021. Submission to DEHCR Project Rep. 12/15/2021.
• No Acquisition or Relocation required for project.
• No acquisition or Relocation required for project.
• Wage Rates obtained 2/13/2022 prior to advertisement for bids.
• Record of Wage Decision Selected completed. Submission to DEHCR 2/13/2022.
• Bid packet prepared and finalized 2/13/2022. Advertisement for bids published in Yourville Gazette on 2/15/2022 and 2/22/2022. Also posted on VendorNet and Village website on 2/15/2022.

Semi-Annual
Summary Narrative Report
Example: (Time Table - Due Prior
to Construction)

Detailed narrative
for each
accomplishment

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Semi-Annual
Summary Narrative Report

Example: Environmental Report
and FHA

Environmental
Report Status

Fair Housing
Actions

ENVIRONMENTAL REPORT STATUS	
Provide an update on progress made toward completing the Environmental Report requirements of the CDBG project.	
OBJECTIVES	ACCOMPLISHMENTS
Complete Environmental Review (ER) and receive Environmental Certification from DEHCR Environmental Desk prior to:	ER completion and documents submission to DEHCR 2/14/2022.
<input checked="" type="checkbox"/> Construction	DEHCR Environmental Certification and Release of Funds issued 4/3/2022.
<input type="checkbox"/> Acquisition	ER Certification copy submitted to DEHCR Project Representative 4/15/2022.
<input type="checkbox"/> Economic Development Activities	
<input type="checkbox"/> Planning Activities	
<input type="checkbox"/> Public Services Activities	
<input type="checkbox"/> Other (Specify):	

FAIR HOUSING ACTIONS COMPLETED	
Provide an update on progress made toward completing the Fair Housing Actions requirement of the CDBG project.	
REMINER: The UGLG's Fair Housing Actions (FHAs) must be completed by the due date listed in the Grant Agreement Time Table (Attachment A). Failure to meet this deadline will result in the denial of CDBG payment requests until the FHAs are completed. The Fair Housing Actions required to be taken are in the UGLG's Grant Agreement - Attachment F.	
OBJECTIVES	ACCOMPLISHMENTS
Fair Housing Actions Completion Due Date: 9/30/2022	1. Published Fair Housing Ordinance in local newspaper (Yourville Gazette) on 4/1/2022. Newspaper copy with affidavit of publication submission to DEHCR with Semi-Annual Summary Narrative Report 4/15/2022.
Fair Housing Actions Documents Submission Due Date: 10/15/2022	2. Village Board Proclamation to endorse Fair Housing made at board meeting on 4/12/2022. Proclamation posted on Village website at www.yourvillevillage.com , and at Village Hall (123 Main St.) and U.S. Post Office (345 State St.) bulletin boards.
Fair Housing Actions Required:	3. Fair Housing Poster posted at the Village Hall (123 Main St.), U.S. Post Office (345 State St.), and Yourville Community Library at 345 Wisconsin Avenue)
1. Enact, strengthen, or advertise a local fair housing law	Documents submission to DEHCR 4/15/2022 with Semi-Annual Summary Narrative Report.
2. Have the local governing body or chief elected official publicly endorse the principle of fair housing and of adherence to the fair housing law in the form of a proclamation, resolution, or similar publicized statement of importance.	• Copy of signed Proclamation
3. Display a fair housing poster or provide fair housing information at an appropriate public place	• Board meeting minutes from 4/12/2022
	• Copy of Proclamation from website posting
	• Clerk email certification verifying the dates and locations of the Fair Housing Posters and Fair Housing Proclamation postings at Village Hall, Post Office and Library
	• Copy of Fair Housing Poster
	Describe Issues and/or Delays, if applicable: N/A

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Semi-Annual
Summary Narrative Report

Example: 2nd Citizen Participation
Hearing

2nd Citizen
Participation
Public Hearing

2 ND CITIZEN PARTICIPATION PUBLIC HEARING STATUS	
Provide an update on progress made toward completing the Second Citizen Participation Public Hearing requirement of the CDBG project.	
REMINER: The UGLG's 2nd Citizen Participation Public Hearing must be completed by the due date listed in the Grant Agreement Time Table (Attachment A). Failure to meet this deadline may result in the denial of CDBG payment requests until the hearing is completed.	
OBJECTIVES	ACCOMPLISHMENTS
Hold 2 nd Citizen Participation Public Hearing to receive input from and provide updates to the community and project beneficiaries regarding the activities completed and the progress on the CDBG project.	Hearing Notice Date(s): Published in newspaper 3/25/2023 and 4/1/2023. Posted at Village Hall 3/25/2023.
Public Hearing Completion Due Date: 3/31/2023	Method of Giving/Advertising Hearing Notice(s): Published in Yourville Gazette. Posted on bulletin board at Village Hall at 123 Main St., Yourville, WI.
Public Hearing Documents Submission Due Date: 4/15/2023	Hearing Date: 4/10/2023
	Documents Attached to this Report (or list Date(s) Submitted to DEHCR, if previously submitted): Submitted herewith: • Copies of Public Hearing Notices • Affidavit of Publication • Hearing Minutes • Hearing Certification
	Describe Issues and/or Delays, if applicable: Public Hearing delayed due to insufficient notice given with initial publication and scheduled Hearing. Changed Hearing date and re-published Notice with new Hearing date. Published in Yourville Gazette 3/25/2023 and 4/1/2023. Hearing held 4/10/2023.



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Semi-Annual
Summary Narrative
Report

Example: Fundraising

New:

Certification on
last page; UGLG
Approval by
typing in
Approver name

A. NAME OF UGLG:
Village of Yourville

B. DEHCR GRANT AGREEMENT #:
PF 21-50

C. BUSINESS NAME:
N/A

D. REPORTING PERIOD ENDED: (choose one)
☒ October 1, 2022 to March 31, 2023 (due April 15th)
☐ April 1, 2023 to September 30, 2023 (due October 15th)
☐ Other:

SEMI-ANNUAL SUMMARY NARRATIVE REPORT CERTIFICATION

By entering the Preparer and UGLG Approver names and information below, the person(s) hereby certify that to the best of their knowledge and belief the contents in this Semi-Annual Summary Narrative Report are true and correct and this Report has been authorized by the UGLG to be submitted to DEHCR:

PREPARED BY Full Name and Title: John Smith, Community Planner	Preparer Telephone #: (608) 222-3333
PREPARED BY Company/ Firm/Org.: XYZ Consulting, Inc.	Preparer Email: jsmith@xyzconsulting.com
UGLG APPROVER Full Name and Title: Jane Doe, Village President	APPROVAL Date: 4/14/2023
UGLG APPROVER Telephone #: (608) 444-5555	UGLG APPROVER Email: president@yourvillage.net

* The Semi-Annual Summary Narrative Report must be approved/certified by the Unit of General Local Government (UGLG)/Grantee. If the Preparer is not an authorized Unit of General Local Government (UGLG) Approver, then the UGLG Approver information must be entered. The UGLG Approver must be the Chief Elected Official (CEO) or an employee or official from the local government authorized/designated by the CEO on the Signature Certification Form (submitted with the pre-agreement documents for the project) or authorized/designated by the UGLG's governing body to approve CDBG project documents.

By entering the name and title of the UGLG Approver above, the Preparer of this document is certifying that the person identified as the UGLG Approver is an employee or official from the UGLG; is authorized by the UGLG to review and approve this document; and authorizes the Preparer to submit this document to DEHCR on the UGLG's behalf.

If the person submitting this document is not the UGLG Approver, then the submitter must copy (cc) the UGLG Approver when emailing it to DEHCR.

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Reports Have Been Combined and Revised:

LSER (formerly 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

Reporting Period Covered: / /

This Report is due to the Division on or before:

CDBG Semi-Annual Labor Standards Enforcement

1) Number of prime contracts, awarded during this reporting period that are subject to Davis-Bacon and Related Acts (CDBG contracts by award dates – **DO NOT track by bid**.)

2) Enter the total dollar amount of prime contracts reported.

3) Supply the indicated information for each prime contract.

MBE/WBE (formerly Attachment 9-D)

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

GRANTEE/UGLG NAME
DEHCR GRANT AGREEMENT #:

MBE/WBE REPORT

Program (Choose One):
☐ Community Development Program
☐ HOME R/O / HVR
☐ Housing Program
☐ ESG

Report Type (Choose One):
☐ Semi-Annual (6-Month) Report
☐ April
☐ October

Reporting Period:
☐ Semi-Annual
☐ April
☐ October

PREPARED BY
Full Name of the Report Preparer:
(File name as an electronic signature)
Preparer's Job Title & Company/Employer:
Preparer's Telephone Number:

Date Signed:
Preparer's Email Address:

Section 3 (formerly Attachment 9-E)

DOA/DEHCR
PO Box 7025
Madison, WI 53707-7025
CDBG@DOA.wisconsin.gov

SECTION 3 REPORT

DOA AGREEMENT # (Contract #)
NAME OF GRANTEE

CONTACT INFORMATION
Preparer's Name
Title
Telephone
Email

HUD REPORTING PERIOD
☐ Semi-Annual Report: October 1, 2022 to March 31, 2023
☐ Annual Report: October 1, 2023 to September 30, 2024

Complete one form for each program/contract with DEHCR.

Please check program
☐ CDBG
☐ CDBG-DR (Disaster Recovery)
☐ KSP
☐ 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

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

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New Combined Report (Attachment 9-C):

Semi-Annual CDBG Data Report (MBE/WBE, Labor Standards Enforcement, and Section 3)

Page 1 of 7

SEMI-ANNUAL CDBG REPORT INFO (MBE/WBE, Labor Standards Enforcement, and Section 3)

Grantee/UGL Name: (Grantee's Name)

Grant **AWARDED** Before or After 11/30/2020? **Not Answered**

DEHCR Grant Agreement/Contract Number: (Grant Agreement #)

Reporting Period (Choose ONE):

X

Year

October 1 - March 31

April 1 - September 30

2021

The "Approver" **must** be the one to email this report (and any revisions) to the assigned DEHCR Program Rep.

Approver's Name:

Approver's Title:

Preparer's Name:

Preparer's Title:

Preparer's Phone No.:

Preparer's Email:

PART 1. CONSTRUCTION PERIOD

1(a). Construction Start Date:

1(b). Construction End Date:

Trade Codes:

Racial / Ethnic Codes:

PART 2. CONSTRUCTION CONTRACTS AWARDED

	2(a)	2(b)	2(c)	2(d)	2(e)	2(f)	2(g)	2(h)	2(i)	2(j)
	Construction Prime Contractor Name	Total Awarded Contract Amount (CDBG Project Activities Only)	Prime Contract Amt. MINUS Associated Subcontractor Amount(s)	Street Address	City	State	ZIP	Prime's FEN # (XX-XXXXXX)	Trade Code (See above)	Prime's Race/ Ethnicity (See above)
Example	Bueller-Beck Inc.	\$ - 2,500,000.00	\$ - 400,000.00	223 Main Street	Centerville	WI	53524	88-5822759	2	White
Prime Contractor #1		\$ -	\$ -							
Prime Contractor #2		\$ -	\$ -							
Prime Contractor #3		\$ -	\$ -							
Prime Contractor #4		\$ -	\$ -							
Prime Contractor #5		\$ -	\$ -							
Prime Contractor #6		\$ -	\$ -							
Prime Contractor #7		\$ -	\$ -							
Prime Contractor #8		\$ -	\$ -							
Prime Contractor #9		\$ -	\$ -							
Prime Contractor #10		\$ -	\$ -							
Prime Contractor #11		\$ -	\$ -							
Prime Contractor #12		\$ -	\$ -							
Prime Contractor #13		\$ -	\$ -							
Prime Contractor #14		\$ -	\$ -							
Prime Contractor #15		\$ -	\$ -							
Prime Contractor #16		\$ -	\$ -							
Prime Contractor #17		\$ -	\$ -							
Prime Contractor #18		\$ -	\$ -							
Prime Contractor #19		\$ -	\$ -							
Prime Contractor #20		\$ -	\$ -							
Total Construction Prime Contract Amount(s)		\$ -	\$ -							

**** Information for CONSTRUCTION PRIME CONTRACTORS ****

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New Combined Report (Attachment 9-C):

- Part 1: Construction Period
- Part 2: Construction Contracts Awarded (Primes & Subs)
- Part 3: Non-Construction Contracts Awarded (Primes & Subs)
- Part 4: Labor Standards Complaints
- Part 5: Labor Standards Monitoring (Payroll Underpayments)
- Part 6: Section 3 – New Hiring Activities
- Part 7: Section 3 – Worker Hours Information
- Part 8: Section 3 – Outreach/Promotion & Best Efforts
- Part 9: Additional Comments/Explanation(s)

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

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New Combined Report (Attachment 9-C):

Semi-Annual CDBG Data Report (MBE/WBE, Labor Standards Enforcement, and Section 3) Page 1 of 7

SEMI-ANNUAL CDBG REPORT INFO (MBE/WBE, Labor Standards Enforcement, and Section 3)

Grantee/UGL Name: (Grantee's Name) Grant AWARDED Before or After 11/30/2020? Not Answered DEHCR Grant Agreement/Contract Number: (Grant Agreement #)

Reporting Period (Choose ONE):

X ☐ Year ☐ ☐ ☐

☐ October 1 - March 31

☐ April 1 - September 30 ☐ 2021

Approver's Name:

Approver's Title:

The "Approver" must be the one to email this report (and any revisions) to the assigned DEHCR Program Rep.

PART 1. CONSTRUCTION PERIOD

1(a). Construction Start Date:

1(b). Construction End Date:

Trade Codes:

- 1 = New Construction
- 2 = Substantial Rehab
- 3 = Repair(s)
- 4 = Service
- 5 = Project Management
- 6 = Professional Services
- 7 = Tenant Services
- 8 = Education / Training
- 9 = Architectural / Engineering Appraisal
- 0 = Other

Racial / Ethnic Codes:

- 1 = White Americans
- 2 = Black Americans
- 3 = Native Americans
- 4 = Hispanic Americans
- 5 = Asian / Pacific Americans
- 6 = Hispanic Jews

Preparer's Name:

Preparer's Title:

Preparer's Phone No.:

Preparer's Email:

PART 2. CONSTRUCTION CONTRACTS AWARDED

***** Information for: COMBINATION OF MBE/WBE CONTRACTS *****

	2(a)	2(b)	2(c)	2(d)	2(e)	2(f)	2(g)	2(h)	2(i)	2(j)	2(k)
	Construction Prime Contractor Name	Total Awarded Contract Amount (CDBG Project Activities Only)	Prime Contract Amt. MINUS Associated Subcontractor Amount(s)	Street Address	City	State / Zip	Prime's FEN # (XX-XXXXXX)	Trade Code (See above)	Prime's Race/ Ethnicity (See above)	Woman Owned Business? (Yes or No)	Section 3 Business? (Yes or No)
Example	Buildings-B-416 Inc.	\$ 2,500,000.00	\$ 400,000.00	123 Main Street	Centerville	WA / 98745	88-5423726	2	2	Yes	Yes
Prime Contractor #1	\$	-	\$	-		/	/	Not Assigned	Not Assigned	Not Assigned	Not Assigned
Prime Contractor #2	\$	-	\$	-		/	/	Not Assigned	Not Assigned	Not Assigned	Not Assigned
Prime Contractor #3	\$	-	\$	-		/	/	Not Assigned	Not Assigned	Not Assigned	Not Assigned
Prime Contractor #4	\$	-	\$	-		/	/	Not Assigned	Not Assigned	Not Assigned	Not Assigned
Prime Contractor #5	\$	-	\$	-		/	/	Not Assigned	Not Assigned	Not Assigned	Not Assigned
Prime Contractor #6	\$	-	\$	-		/	/	Not Assigned	Not Assigned	Not Assigned	Not Assigned
Prime Contractor #7	\$	-	\$	-		/	/	Not Assigned	Not Assigned	Not Assigned	Not Assigned
Prime Contractor #8	\$	-	\$	-		/	/	Not Assigned	Not Assigned	Not Assigned	Not Assigned
Prime Contractor #9	\$	-	\$	-		/	/	Not Assigned	Not Assigned	Not Assigned	Not Assigned
Prime Contractor #10	\$	-	\$	-		/	/	Not Assigned	Not Assigned	Not Assigned	Not Assigned
Prime Contractor #11	\$	-	\$	-		/	/	Not Assigned	Not Assigned	Not Assigned	Not Assigned
Prime Contractor #12	\$	-	\$	-		/	/	Not Assigned	Not Assigned	Not Assigned	Not Assigned
Prime Contractor #13	\$	-	\$	-		/	/	Not Assigned	Not Assigned	Not Assigned	Not Assigned
Prime Contractor #14	\$	-	\$	-		/	/	Not Assigned	Not Assigned	Not Assigned	Not Assigned
Prime Contractor #15	\$	-	\$	-		/	/	Not Assigned	Not Assigned	Not Assigned	Not Assigned
Prime Contractor #16	\$	-	\$	-		/	/	Not Assigned	Not Assigned	Not Assigned	Not Assigned
Prime Contractor #17	\$	-	\$	-		/	/	Not Assigned	Not Assigned	Not Assigned	Not Assigned
Prime Contractor #18	\$	-	\$	-		/	/	Not Assigned	Not Assigned	Not Assigned	Not Assigned
Prime Contractor #19	\$	-	\$	-		/	/	Not Assigned	Not Assigned	Not Assigned	Not Assigned
Prime Contractor #20	\$	-	\$	-		/	/	Not Assigned	Not Assigned	Not Assigned	Not Assigned
Total Construction Prime Contract Amounts:	\$	-	\$	-		/	/	Not Assigned	Not Assigned	Not Assigned	Not Assigned

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New Combined Report (Attachment 9-C):

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Semi-Annual CDBG Data Report (MBE/NB/E, Labor Standards Enforcement, and Section 3)

Grantee/UG/LG Name:	(Grantee's Name)	Grant AWARDED Before or After 11/30/2020?	Not Answered	DEHCR Grant Agreement/Contract Number:	(Grant Agreement #)
Reporting Period (Choose ONE):					
<input type="checkbox"/> Year					
<input type="checkbox"/> October 1 - March 31					
<input type="checkbox"/> April 1 - September 30		2021			
Approver's Name:					
Approver's Title:					
The "Approver" must be the one to email this report (and any revisions) to the assigned DEHCR Program Rep.					

PART 4. LABOR STANDARDS COMPLAINTS

Enter the Contractors [prime contractor(s), subcontractor(s)], or lower-tier subcontractor(s) for which complaints were filed or investigations of §5.11 hearings occurred during this reporting period:

4(a)	4(b)	4(c)
Contractor's Name(s):	HUI or DOL or Both?	Investigation or Hearing or Both?
	Not Answered	Not Answered
	Not Answered	Not Answered
	Not Answered	Not Answered
	Not Answered	Not Answered
	Not Answered	Not Answered
	Not Answered	Not Answered
	Not Answered	Not Answered
	Not Answered	Not Answered
	Not Answered	Not Answered
	Not Answered	Not Answered
	Not Answered	Not Answered
	Not Answered	Not Answered
	Not Answered	Not Answered
	Not Answered	Not Answered

PART 5. LABOR STANDARDS MONITORING - PAYROLL UNDERPAYMENTS

5(a)	5(b)	5(c)	5(d)	5(e)	5(f)
Contractor's Name(s):	Total # Workers Paid UNDERPAYMENT Wage Restitution	Total STRAIGHT-TIME Wage Restitution Paid	Total OVERTIME Wage Restitution Paid	Total Liquidated Damages Collected for CWHSAA Compliance	Section 5.7 Form Attached?
Example: XYZ Builders	\$ 12	\$ 4,400.00	\$ 2,500.00	\$ 6,480.00	Yes
	\$ -	\$ -	\$ -	\$ -	Not Answered
	\$ -	\$ -	\$ -	\$ -	Not Answered
	\$ -	\$ -	\$ -	\$ -	Not Answered
	\$ -	\$ -	\$ -	\$ -	Not Answered
	\$ -	\$ -	\$ -	\$ -	Not Answered
	\$ -	\$ -	\$ -	\$ -	Not Answered
	\$ -	\$ -	\$ -	\$ -	Not Answered
	\$ -	\$ -	\$ -	\$ -	Not Answered
	\$ -	\$ -	\$ -	\$ -	Not Answered
	\$ -	\$ -	\$ -	\$ -	Not Answered
	\$ -	\$ -	\$ -	\$ -	Not Answered
	\$ -	\$ -	\$ -	\$ -	Not Answered
Totals for All Contractors	0	\$ -	\$ -	\$ -	-

PART 6. SECTION 3 - NEW HIRING

s(a)	s(b)	s(c)	s(d)	s(e)	s(f)	s(g)	s(h)	s(i)	s(j)	s(k)	s(l)	s(m)
New Hiring (Include # of Full-Time Permanent New Hires working on this CDBG Project Only)	Professionals	Clerical	Case Management	Facilities / Maintenance	Technical (Bookkeeping, IT, etc.)	Carpentry	Masonry	Plumbing	Electrical	Admin.	Other: (Specify Job TYPE Here)	Other: (Specify Job TYPE Here)
# of New Hires	0	0	0	0	0	0	0	0	0	0	0	0
# of Section 3 New Hires	0	0	0	0	0	0	0	0	0	0	0	0
# of Section 3 Trainees	0	0	0	0	0	0	0	0	0	0	0	0

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Semi-Annual CDBG Data Report (MBE/WBE, Labor Standards Enforcement, and Section 3) Page 6 of 7

Grantee/UGL Name: (Grantee's Name) Grant **AWARDED** Before or After 11/30/2020? **Not Answered** DEHCR Grant Agreement/Contract Number: (Grant Agreement #)

Reporting Period (Choose ONE): ☒ X ☐ Year
☐ October 1 - March 31 ☐ 2021
☐ April 1 - September 30

The "Approver" **must** be the one to email this report (and any revisions) to the assigned DEHCR Program Rep.

PART 7. SECTION 3 - WORKER HOURS ON THIS CDBG PROJECT

7(a)	7(b)	7(c)	7(d)	7(e)	7(f)	7(g)	7(h)	7(i)	7(j)	7(k)	7(l)
Construction PRIME Contractor's Name:	Total Hours Worked by ALL Workers on this CDBG Project	Total Hours Worked by ALL SECTION 3 Workers on this CDBG Project	Total Hours Worked by TARGETED SECTION 3 Workers on this CDBG Project	Construction SUBCONTRACTOR'S Name:	Total Hours Worked by ALL Workers on this CDBG Project	Total Hours Worked by ALL SECTION 3 Workers on this CDBG Project	Total Hours Worked by TARGETED SECTION 3 Workers on this CDBG Project	Non-Construction PRIME Contractor's Name:	Total Hours Worked by ALL Workers on this Project	Total Hours Worked by ALL SECTION 3 Workers on this Project	Total Hours Worked by TARGETED SECTION 3 Workers on this Project
LMN Contractors, Inc.	2500	45	20	GPR Contractors, Inc.	3000	250	50	STU Contractors, Inc.	200	25	5
Total(s): 0 0 0 0 0 0 0 0 0 0 0 0											

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New Combined Report (Attachment 9-C):

Semi-Annual CDBG Data Report (MBE/WBE, Labor Standards Enforcement, and Section 3) Page 7 of 7

Grantee/UGL Name: (Grantee's Name) Grant **AWARDED** Before or After 11/30/2020? **Not Answered** DEHCR Grant Agreement/Contract Number: (Grant Agreement #)

Reporting Period (Choose ONE): ☒ X ☐ Year
☐ October 1 - March 31 ☐ 2021
☐ April 1 - September 30

The "Approver" **must** be the one to email this report (and any revisions) to the assigned DEHCR Program Rep.

PART 8. SECTION 3 - OUTREACH/PROMOTION & BEST EFFORTS

"X" Check ALL that apply. Maintain records & make available for HUD to review documentation of any efforts marked.

<input type="checkbox"/> Outreach efforts to generate job applicants who are Public Housing Targeted Workers.	<input type="checkbox"/> No New Hiring occurred during reporting period.
<input type="checkbox"/> Outreach efforts to generate job applicants who are Other Funding Targeted Workers.	<input type="checkbox"/> Job Posting(s) at local Job Center.
<input type="checkbox"/> Direct, on-the-job training (including apprenticeships).	<input type="checkbox"/> Job Posting(s) at local Housing Authority.
<input type="checkbox"/> Indirect training such as arranging for, contracting for, or paying tuition for, off-site training.	<input type="checkbox"/> Job Posting(s) in local Newspaper/Media Publication in LMI Community.
<input type="checkbox"/> Technical assistance to help Section 3 workers compete for jobs (e.g., resume assistance, coaching, etc.).	<input type="checkbox"/> Job Posting(s) at central location(s) in LMI Community.
<input type="checkbox"/> Outreach efforts to identify and secure bids from Section 3 business concerns.	<input type="checkbox"/> Job Posting(s) on Municipal Website in LMI Community.
<input type="checkbox"/> Technical assistance to help Section 3 business concerns understand and bid on contracts.	<input type="checkbox"/> Job Posting(s) at Technical College(s).
<input type="checkbox"/> Division of contracts into smaller jobs to facilitate participation by Section 3 business concerns.	<input type="checkbox"/> Section 3 Clause Notice given to local Labor Union(s).
<input type="checkbox"/> Provided or connected residents with assistance in seeking employment including: drafting resumes, preparing for interviews, finding job opportunities, connecting residents to job placement services.	<input type="checkbox"/> Other: [Describe/specify here.]
<input type="checkbox"/> Held one or more job fairs.	<input type="checkbox"/> Other: [Describe/specify here.]
<input type="checkbox"/> Provided or connected residents with supportive services that can provide direct services or referrals.	<input type="checkbox"/> No New Contracting during reporting period.
<input type="checkbox"/> Provided or connected residents with supportive services that provide one or more of the following: work readiness health screenings, interview clothing, uniforms, test fees, transportation.	<input type="checkbox"/> Section 3 Clause in Procurement Solicitation(s).
<input type="checkbox"/> Assisted residents with finding child care.	<input type="checkbox"/> Section 3 Clause in Contract(s).
<input type="checkbox"/> Assisted residents to apply for (or attend) community college or a four (4) year educational institution.	<input type="checkbox"/> Outreach to Disadvantaged Businesses.
<input type="checkbox"/> Assisted residents to obtain financial literacy training and/or coaching.	<input type="checkbox"/> Procurement Solicitation(s) in Local Newspaper in LMI Community.
<input type="checkbox"/> Bonding assistance, guaranties, or other efforts to support viable bids from Section 3 business concerns.	<input type="checkbox"/> Procurement Solicitation(s) at central location(s) in LMI Community.
<input type="checkbox"/> Other: [Describe/specify here.]	<input type="checkbox"/> Procurement Solicitation(s) on Municipal Website in LMI Community.
	<input type="checkbox"/> Procurement Solicitation Published on State of WI VendorNet.
	<input type="checkbox"/> Other: [Describe/specify here.]
	<input type="checkbox"/> Other: [Describe/specify here.]

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New Form: Section 3 Employee Income Certification (*Attachment 9-K(1)/9-K(2)*):

[GRANT/USGJ NAME] **2020 GRANT AGREEMENT # [CDBG Agreement #]**

[PROGRAM/PROJECT NAME]

SECTION 3 EMPLOYEE INCOME CERTIFICATION FORM
(for CDBG Projects Awarded [after 11/30/2020](#))

The [Unit of General Local Government (UGLG)]'s current [CDBG Project/Program Name] project is funded by the U.S. Department of Housing and Urban Development (HUD) Community Development Block Grant (CDBG) Program and the funds were awarded to the **[USGJ Name]** on or after November 30, 2020. The information requested below must be collected for all employees of the grantee and contractors (including private contractors and subcontractors) hired directly in connection with and working on this project, to comply with Section 3 of the Housing and Development Act (HDA) of 1960 ([24 CFR Part 135](#)). This information is strictly confidential and only reported to the required funding and regulating entities for regulatory compliance purposes. Individual personal identifying information is not released to the public. Your response is voluntary, confidential, and has no effect on your employment.

Employment Status (Check One): ☐ New Full-Time Employee ☐ OR ☐ New Full-Time Trainee (of CDBG Project)

Annual Family Income at the Time of Hire (i.e., income for the year of hire to Date of Hire):

FAMILY INCOME INFORMATION		
INSTRUCTIONS:	AT OR BELOW	ABOVE
1. "CEC" is your family size in the left column.		
• If your family income at the time of hire <u>was</u> at or below the Family Income Level shown for your family size, then enter "X" in the AT or BELOW column.		
• If your family income at the time of hire <u>was</u> above the Family Income Level shown for your family size, then enter "X" in the ABOVE column.		
• Family income includes the total annual income for all family members living in your household.		
FAMILY SIZE	FAMILY INCOME LEVEL	
1	SEAD COUNTY INCOME LIMIT FOR FAMILY SIZE OF 1	
2	SEAD COUNTY INCOME LIMIT FOR FAMILY SIZE OF 2	
3	SEAD COUNTY INCOME LIMIT FOR FAMILY SIZE OF 3	
4	SEAD COUNTY INCOME LIMIT FOR FAMILY SIZE OF 4	
5	SEAD COUNTY INCOME LIMIT FOR FAMILY SIZE OF 5	
6	SEAD COUNTY INCOME LIMIT FOR FAMILY SIZE OF 6	
7	SEAD COUNTY INCOME LIMIT FOR FAMILY SIZE OF 7	
8 or More	SEAD COUNTY INCOME LIMIT FOR FAMILY SIZE OF 8 or more	

New Employee or Trainee Place of Residence on the Date of Hire (Enter County and State below):
County: _____ State: _____

EMPLOYEE CERTIFICATION

I affirm that the above statements on this form are true, complete, and correct to the best of my knowledge and belief. I hereby certify, under penalty of law, that the information I've provided is correct to the best of my knowledge.

Employee Signature: _____ Signature Date: _____

Employee Printed Full Name: _____ Date of Hire: _____

[GRANT/USGJ NAME] **2020 GRANT AGREEMENT # [CDBG Agreement #]**
[EMPLOYEE FIRST & LAST NAME] **[EMPLOYEE DATE OF HIRE: [HIRE DATE]]**

[PROJECT NAME]

SECTION 3 EMPLOYEE INCOME CERTIFICATION FORM

The [Unit of General Local Government (UGLG)]'s current [CDBG Project/Program Name] project is funded by the U.S. Department of Housing and Urban Development (HUD) Community Development Block Grant (CDBG) Program and the funds were awarded to the [USGJ Name] on or after November 30, 2020. The information requested below must be collected for all employees of the grantee and contractors (including private contractors and subcontractors) hired directly working on this project to comply with Section 3 of the Housing and Development Act (HDA) of 1960 ([24 CFR Part 135](#)). This information is strictly confidential and only reported to the required funding and regulating entities for regulatory compliance purposes. Individual personal identifying information is not released to the public. Your response is voluntary, confidential, and has no effect on your employment.

Employee Information To Be Entered by Employer:

A. Employee's Current Home Address (Based on Employer's records):
[Street Address/Must include a Street Address/Location - Not a P.O. Box, City, State, Zip Code]

B. Employee's Home Address on the Date of Hire (If the employee was hired within the past 5 years and their address was different than their Current Home Address (Based on Employer's records):
[Street Address/Must include a Street Address/Location - Not a P.O. Box, City, State, Zip Code]

Employee Information To Be Entered by Employee:

Instructions: Please respond to the questions and enter the information requested below, and sign and date the document. For **ALL** Employees:

1. Is the address listed above as your Current Home Address correct?
If No, enter your Current Home Address [Street Address, City, State, Zip - Must include a Street Address/Location - Not a P.O. Box]: _____ YES ☐ NO ☐

2. Are you currently a resident of public housing or Housing Choice Voucher Holder (Section 8)?
If Yes, enter your individual income "ABOVE" or "AT or BELOW" **[Select current "Low Income" HUD income limit for a Family of 1 for the County in which the employee currently resides]** YES ☐ NO ☐

3. Are you currently a Youthbuild participant?
If Yes, enter the address listed above as your Home Address on the Date of Hire correct?
If No, enter your Home Address on the Date of Hire [Street Address, City, State, Zip - Must include a Street Address/Location - Not a P.O. Box]: _____ ABOVE ☐ AT or BELOW ☐

4. Are you currently a Youthbuild participant on the Date of Hire? YES ☐ NO ☐

5. Was your annual individual income just prior to your hire date "ABOVE" or "AT or BELOW" **[Select "Low Income" HUD income limit in effect on the Date of Hire for a Family of 1 for the County in which the Employee Lived on the Date of Hire]** YES ☐ NO ☐

6. Were you a resident of public housing or a Housing Choice Voucher Holder (Section 8) on the Date of Hire? YES ☐ NO ☐


7. Was your annual individual income just prior to your hire date "ABOVE" or "AT or BELOW" **[Select "Low Income" HUD income limit in effect on the Date of Hire for a Family of 1 for the County in which the Employee Lived on the Date of Hire]** YES ☐ NO ☐

8. Were you a Youthbuild participant on the Date of Hire? YES ☐ NO ☐

Employee Certification

I affirm that the above statements on this form are true, complete, and correct to the best of my knowledge and belief. I hereby certify, under penalty of law, that the information I've provided is correct to the best of my knowledge.

Employee Signature: _____ Date Signed: _____




9-K(1) for 24 CFR 135 pre-11/30/2020 Award

9-K(2) for 24 CFR 75 post-11/30/2020 Awards

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New Form: Section 3 Business Concern Certification (Attachment 9-L):

GRANTEE/AGENCY NAME: SECTION 3 BUSINESS CONCERN CERTIFICATION FORM <p>THE [AGENCY NAME]'s current [CDBG Program/Program Name] project is funded by the U.S. Department of Housing and Urban Development (HUD) Community Development Block Grant (CDBG) Program and the funds were awarded to the [AGENCY NAME] on or after November 30, 2020. For the [AGENCY NAME] to demonstrate compliance with Section 3 of the Housing and Development Act (HDA) of 1961 and 24 CFR Part 2, the information requested below must be collected for contractors (including subcontractors) directly working on this project and may be requested if funds bidding to work on the project in order demonstrate prioritization of contracting with Section 3 Business Concerns in accordance with 24 CFR Part 25.</p> <p>Businesses seeking a preference in contracting or applying CDBG-funded projects may qualify as a Section 3 Business Concern if they meet any of the following criteria:</p> <ul style="list-style-type: none"> • At least 51% of the business is owned and controlled by low- or very low-income persons (based on the HUD Income Limits at https://www.hud.gov/eo/cdbg-income-limits for the county in which the owner(s) live(s); or • At least 51% of the business is owned and controlled by one or more current public housing residents or residents who currently lived in Section 8-assisted housing; or • Over 75% of the labor hours performed for the business over the prior three-month period were performed by Section 3 Workers (records of labor hours and Section 3 Employee Income Certifications are required to verify). <p>The purpose of HUD's Section 3 program is to provide employment, training, and contracting opportunities to low- and very-low-income individuals, particularly those who are recipients of government assistance for housing or other public assistance programs. This document is intended to help grantees verify Section 3 Business Concerns and provide the appropriate records to support the business' Section 3 status claims. This certification form helps CDBG grantees and their subcontractors, contractors, and subcontractors comply with the Section 3 requirements and achieve the Section 3 goals:</p> <ul style="list-style-type: none"> • Ensuring that at least 25% of all work hours performed on a CDBG-funded project are worked by Section 3 Workers; • Ensuring that at least 5% of all work hours performed on a CDBG-funded project are worked by Targeted Section 3 Workers; and • Prioritizing the contracting of Section 3 Business Concerns and retention/training/recruitment/hiring of Section 3 Workers that benefit from the economic opportunities provided through CDBG-funded projects (as required by HUD). <p>Business' Information at the time of beginning work on the CDBG-funded project: Instructions: Enter the following information and select the criteria that apply to certify your business' Section 3 Business Concern status.</p> <p>Business Information:</p> <p>Name of Business: _____</p> <p>Address of Business: _____</p> <p>Name of Business Owner: _____</p> <p>Phone Number of Business Owner: _____</p> <p>Email Address of Business Owner: _____</p> <p>Preferred Contact Information: <input type="checkbox"/> Same as that listed above <input type="checkbox"/> Different from that listed above, please contact: _____</p> <p>Name of Preferred Contact: _____</p> <p>Phone Number of Preferred Contact: _____</p> <p>Type of Business (select from the following options):</p> <p><input type="checkbox"/> Corporation <input type="checkbox"/> Partnership <input type="checkbox"/> Sole Proprietorship <input type="checkbox"/> Joint Venture</p>	GRANTEE/AGENCY NAME: SECTION 3 BUSINESS CONCERN CERTIFICATION FORM <p>Select ONE of the following three (3) options below that applies:</p> <p><input type="checkbox"/> At least fifty-one percent (51%) of the business is owned and controlled by person(s) with an individual income that is at or below the HUD "80% Low Income" income limit for the county in which the person lives, or</p> <p><input type="checkbox"/> At least fifty-one percent (51%) of the business is owned and controlled by one or more current public housing residents or residents who currently lived in Section 8-assisted housing, or</p> <p><input type="checkbox"/> Over seventy-five percent (75%) of the labor hours performed for the business over the prior three-month period were performed by Section 3 Workers.</p> <p>Business Concern Certification</p> <p>I affirm that the responses I entered in this form are true, complete, and correct to the best of my knowledge and belief. I understand that businesses who misrepresent themselves as Section 3 Business Concerns and report false information to the HUD/USDOH may have their contracts terminated as default and be barred from on-going and future solicitations for contracting opportunities. I hereby certify, under penalty of perjury, that the information I have provided is correct to the best of my knowledge.</p> <p>Signature: _____ Date Signed: _____</p> <p>Printed Name: _____ Title: _____</p> <p>Business Name: _____</p> <p><i>*Certification expires within six (6) months of the date of signature (above).</i></p> <p><i>Additional information regarding Section 3 Business Concerns can be found at 24 CFR Part 25.</i></p> <div style="border: 1px solid black; padding: 5px; margin-top: 10px;"> <p style="text-align: center; font-weight: bold; font-size: small;">FOR ADMINISTRATIVE USE ONLY</p> <p>Is the business a Section 3 Business Concern based upon their completed certification form? Yes <input type="checkbox"/> No <input type="checkbox"/></p> <p style="text-align: center; font-weight: bold; font-size: x-small;">CDBG GRANTEES AND ALL CONTRACTORS MUST RETAIN THIS FORM IN THE CDBG PROJECT FILES FOR SECTION 3 COMPLIANCE.</p> </div>	<div style="text-align: center;">  WISCONSIN DEPARTMENT OF ADMINISTRATION WISCONSIN </div>
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Section 3 Business Concern Certification
Page 1 of 2
Form # 2021-09-01

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

Single Audit Required

\$750,000 or more

Less than \$750,000

Single Audit NOT Required



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SINGLE AUDIT DOCUMENTS SUBMISSION

SINGLE AUDIT STATEMENT – *All Grantees*

- DUE JANUARY 15TH 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 30TH, to Federal Audit Clearinghouse (FAC)
- Record of submission (e.g., Federal Clearinghouse email confirmation) to DEHCR Project Rep.

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SINGLE AUDIT STATEMENT SUBMISSION

ATTACHMENT 9-G: SINGLE AUDIT STATEMENT [AUDIT REQUIRED] (TEMPLATE)

PLACE THE FOLLOWING ON THE UGLG'S LETTERHEAD:


SINGLE AUDIT STATEMENT (AUDIT REQUIRED)

[Date]

[Name (First and Last Name) of Assigned DEHCR Project Representative]
Wisconsin Department of Administration
Division of Energy, Housing and Community Resources
Bureau of Community Development
P.O. Box 7970
Madison, WI 53707-7970
[Email Address of Assigned DEHCR Project Representative]

I hereby attest, under penalties of perjury, that during the calendar year ending December 31, 2019, the [UGLG Name] has expended \$750,000 or more in total federal funds and will comply with the federal Single Audit Act and the requirements of Uniform Guidance 2 CFR 200.

(Chief Elected Official (CEO) Signature)
[CEO First and Last Name], [CEO Title]



ATTACHMENT 9-H: SINGLE AUDIT STATEMENT [AUDIT NOT REQUIRED] (TEMPLATE)

PLACE THE FOLLOWING ON THE UGLG'S LETTERHEAD:

SINGLE AUDIT STATEMENT (AUDIT NOT REQUIRED)

[Date]

[Name (First and Last Name) of Assigned DEHCR Project Representative]
Wisconsin Department of Administration
Division of Energy, Housing and Community Resources
Bureau of Community Development
P.O. Box 7970
Madison, WI 53707-7970
[Email Address of Assigned DEHCR Project Representative]

I hereby attest, under penalties of perjury, that during the calendar year ending December 31, 2019, the [UGLG Name]:

- Expended less than \$750,000 in total federal funds and therefore is not required to complete a Single Audit or submit a Single Audit Report, meeting the requirements of the Federal Single Audit Act and Uniform Guidance 2 CFR 200.
- Expended the following amount(s) of federal funds, including funds from the Wisconsin Department of Administration (DOA) Division of Energy, Housing and Community Resources (DEHCR) and the other source(s) listed below.

CFDA #	GRANT CONTRACT #	SOURCE AGENCY	AMOUNT EXPENDED

(Chief Elected Official (CEO) Signature)
[CEO First and Last Name], [CEO Title]

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SINGLE AUDIT REPORT SUBMISSION

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

Form SF-SAC: (copy in CDBG file)

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: Monday, June 19, 2020 10:59 AM

To: ██████████, ██████████, CON; ██████████, CON

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://usdofdefense.ncofroot.com/2/ur7vchthqs>
3A_harvester.census.gov_facides&deDxjCAG&cseuG7atcATDlvmEN8b7XrvoOf:
ySA_CdeonVfMM&m=VX137V/c0c0GKYVfSfZYxvUjHbEilZhE88agG7G0DyGc9&m=BUx88fUjWmVhoyeERS3Ld:
Wbu1c0VU3m9C_Hhs9h9u&s0c3e3oPvH5Qd.uCERAm7vz8-FxT0ea7AMTbUj1W9A&g:
govs.fac.ides@census.gov



FORM SF-SAC (03/23/2019)

U.S. Dept. of Commerce - Economics and Statistics Administration - U.S. Census Bureau

OMB No. 3007-0038 Approval Expires 03/31/2022

ACTING AS THE COLLECTING AGENT FOR OFFICE OF MANAGEMENT AND BUDGET

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

PART I: GENERAL INFORMATION

REPORT ID: 843675 VERSION: 1

1. Fiscal Period

a. Start Date: 1/1/2019 (MM/DD/YYYY)

b. End Date: 12/31/2019 (MM/DD/YYYY)

2. Type of Uniform Guidance Audit

☒ Single audit

☐ Program-specific audit

3. Audit Period Covered

☒ Annual

☐ Biennial

☐ Other: Number of Months:

4. Auditee Identification Numbers

a. Auditee Employer Identification Number (EIN): 00-0000000

d. Auditee Data Universal Numbering System (DUNS) Number: 000000000

b. Are multiple EINs covered in this report? ☒ Yes ☐ No

e. Are multiple DUNS numbers covered in this report? ☐ Yes ☒ 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

5. Auditee Information

a. Auditee Name: ██████████ COUNTY

6. Primary Auditee Information

a. Audit Firm/Organization Name: ██████████ LLP

b. Audit Firm/Organization EIN: 00-0000000

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JOBS REPORTING:


CDBG Jobs Project
Employee Self-Certification Report

Attachment 9-F

■ PFED/ED/Jobs Projects Only

■ Due April 15th and October 15th (and upon Project Completion)

■ Data to be drawn from Certification Forms completed by New Hires



Division of Energy, Housing and Community Resources

CDBG Jobs Project Employee Self Certification Report

CDBG JOBS PROJECT EMPLOYEE SELF CERTIFICATION REPORT

NAME OF UOLG:
BUSINESS NAME:
GRANT AGREEMENT #:
REPORTING PERIOD ENDED: (choose one)
☐ Semi-Annual Report: October 1, 20__ to March 31, 20__
☐ Semi-Annual Report: April 1, 20__ to September 30, 20__
☐ Final Summary Report: Project Start Date __ to Project End Date __

BASELINE JOB NUMBER0

TOTAL JOBS CREATED TO DATE0

TOTAL WORKFORCE (BASELINE + CREATED)0

EMPLOYEE RACE FOR JOBS CREATED TO DATE

Single Race	Total Number	Number Hispanic	Multi-Racial	Total Number	Number Hispanic
WHITE	0	0	AMERICAN INDIAN/ALASKAN NATIVE & WHITE	0	0
BLACK/AFRICAN AMERICAN	0	0	ASIAN & WHITE	0	0
ASIAN	0	0	BLACK/AFRICAN AMERICAN & WHITE	0	0
AMERICAN INDIAN/ALASKAN NATIVE	0	0	AMERICAN INDIAN/ALASKAN NATIVE AND AFRICAN AMERICAN	0	0
NATIVE HAWAIIAN/PACIFIC ISLANDER	0	0	OTHER MULTI-RACIAL	0	0
OTHER	0	0		0	0

INFORMATION ON POSITIONS CREATED TO DATE

CLASSIFICATION	TOTAL CREATED TO DATE
OFFICIALS/MANAGERS	0
SALES	0
OPERATIVES (SEMI-SKILLED)	0
PROFESSIONALS	0
TECHNICIANS	0
LABORERS (UNSKILLED)	0
OFFICE/CLERICAL	0
CRAFT WORKERS (SKILLED)	0
SERVICE WORKERS	0
TOTAL CREATED	0

CDBG Jobs Project Employee Self Certification Report

Form v.09/01/2021

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JOBS REPORTING:

CDBG Jobs Project
Employee Self-Certification Report

Attachment 9-F

■ Page 2 Content – Instructions and Signatory Designation



Division of Energy, Housing and Community Resources

CDBG Jobs Project Employee Self Certification Report

CDBG JOBS PROJECT EMPLOYEE SELF CERTIFICATION REPORT (continued)

NAME OF UOLG:
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 NO N/A

2. Have position openings been posted with the WI Department of Workforce Development or local employment agency per your Application with DEHCR?YES NO N/A

3. Have any new positions been filled by individuals that were previously unemployed? If yes, please provide the number:YES NO N/A

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 LIM LIMITS)
0	0	0	0

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 Employee Self Certification Forms are attached as supporting documentation.

Typed Name, Title & Firm/Organization of Report Preparer*Preparer Email Address

Typed Name and Title of UOLG Approver as Certification*UOLG Approver Email Address

UOLG Approver Phone NumberMM/DD/YYYYDate of UOLG Approval / Certification

If the Preparer is not an authorized UOLG Approver, then the UOLG Approver information must be entered. By entering the name and title of the UOLG Approver above, the Preparer of this document is certifying that the person identified as the UOLG Approver is an employee or official from the UOLG. It is authorized by the UOLG to review and approve this document, and authorize the Preparer to submit this document to DEHCR on the UOLG's behalf. The UOLG Approver must be the Chief Elected Official (CEO) or a person authorized/designated by the CEO on the Signature Certification Form (submitted with the pre-agreement documents) for the project or by the UOLG's governing body to approve CDBG project documents. If the person submitting this document is not the UOLG Approver, then the submitter must copy (not) the UOLG Approver when emailing it to DEHCR.

CDBG Jobs Project Employee Self Certification Report

Form v.09/01/2021

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JOBS REPORTING: Employee Self-Certification Form

- Form completed by New Hires
- Basis of data for and submitted with Semi-Annual CDBG Jobs Project *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)



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

Dear Employee:

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 - \$26,200	\$26,201 - \$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 - \$35,160	\$35,161 - \$41,100	\$41,101 - \$65,750	Greater than \$65,750
7	\$0 - \$39,640	\$39,641 - \$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:

☐ White
☐ Black/African American
☐ Asian
☐ American Indian/Alaskan Native
☐ Native Hawaiian/Other Pacific Islander
☐ Other

Multi-Racial Identifiers:

☐ American Indian/Alaskan Native and White
☐ Asian and White
☐ Black/African American and White
☐ American Indian/Alaskan Native and African American
☐ Other Multi-Racial

3.) Please answer these questions:

Do you consider yourself as being of Hispanic ethnicity? ☐ Yes ☐ No
Are you currently unemployed or were you unemployed prior to employment with this company? ☐ Yes ☐ No
Are you a female head of household? ☐ Yes ☐ No

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

Printed Name _____ Signature _____ Date _____

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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)

Position Details

☐ Full Time ☐ Part Time (PTE) ☐ Employer-Sponsored Healthcare Plan Offered

Position Class

☐ Official/Manager ☐ Professional ☐ Office/Clerical
☐ Sales ☐ Technician ☐ Craft Worker/Skilled
☐ Operative/Semiskilled ☐ Laborer/Unskilled ☐ Service Worker

Date Hired: ____/____/____

Job Category Definitions

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

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

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

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

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

6. **Craft Worker (skilled)** - Manual workers of relatively high level having a thorough and comprehensive knowledge of the processes involved in their work. Exercise considerable independent judgment and usually receive an extensive period of training. This includes: the building trades, hourly paid supervisors and lead operators (who are not members of management), dryer's furnace 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.

7. **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.), operators, attendants (auto service and parking), blasters, chauffeurs, delivery workers, dress makers and sewers (except factory), dryer's furnace 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.

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

9. **Service Workers** - Workers in both protective and non-protective service occupations. This includes attendants (hospital and other institutions, professional and personal service, including nurses aides and orderlies), barbers, chawmakers and cleaners, cooks (except household), counter and fountain workers, elevator operators, freighters and fire protection guards, door keepers, stewards, janitors, police officers and detectives, porters, waiters and waitresses, and kindred workers.

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CLIENT REPORTING:

Client Income Certification
Report
Attachment 9-1

- Public Services (PS) Projects Only
(and certain PF or other service-oriented projects only if specified in Grant Agreement)
- 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

CLIENT INCOME CERTIFICATION REPORT

GRANTEE/UGLG NAME: Yourville County
GRANT AGREEMENT #: PS 21-10
REPORTING PERIOD (as listed in Grant Agreement Time Table): 09/15/2022 to 09/14/2023

TOTAL # NEW CLIENTS SERVED DURING THIS REPORTING PERIOD (Do not include available clients from previous reporting periods.): 10
TOTAL # CLIENTS SERVED TO DATE: 30

RACE/ETHNICITY OF NEW CLIENTS SERVED DURING THIS REPORTING PERIOD			
Single Race	Total Number	Multi-Racial or No Answer	Total Number
WHITE	4	2	0
BLACK/AFRICAN AMERICAN	2	1	0
ASIAN	0	0	0
AMERICAN INDIAN/ALASKAN NATIVE	2	0	0
NATIVE HAWAIIAN/PACIFIC ISLANDER	0	0	0
OTHER	0	0	0

LMI STATUS OF NEW CLIENTS SERVED DURING THIS REPORTING PERIOD
of LMI NEW CLIENTS: 8 # of NON-LMI New Clients: 2

REPORT CERTIFICATION

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

Type Name, Title & Firm/Organization of Report Preparer: Jane Smith, Director, First Response Services
Preparer Email Address: jane@firstresponseservices.org

Type Name and Title of UGLG Approver as Certification: Michael Martin, County Administrator
UGLG Approver Email Address: mmartin@yourvillecounty.co.us

UGLG Approver Phone Number: (608) 222-3333 Date of UGLG Approval / Certification: 09/13/2023

If the Preparer is not an authorized UGLG Approver, then the UGLG Approver information must be entered. By entering the name and title of the UGLG Approver above, the Preparer of this document is certifying that the person identified as the UGLG Approver is an employee or official from the UGLG, is authorized by the UGLG to review and approve this document, and authorizes the Preparer to submit this document to DEDCR on the UGLG's behalf. The UGLG Approver must be the Chief Elected Official (CEO) or a person authorized/delegated by the CEO on the Signature Certification Form (submitted with the pre-agreement documents for the project) or authorized/delegated by the UGLG's governing body to approve CDBG project documents. If the person submitting this document is not the UGLG Approver, then the submitter must sign (or) the UGLG Approver when emailing it to DEDCR.

Client Income Certification Report Form v.09/01/2021

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CLIENT REPORTING:

Client Income Certification
Form
Attachment 9-1

- 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 CDBG Project/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 annual income information at the time of entry into the program:

FAMILY INCOME INFORMATION

• ☒ your family size in the far left column.
• If your family income is at or below the Annual Family Income Level shown for your family size, then enter "X" in the AT or BELOW column.
• If your family income is above the Annual Family Income Level shown for your family size, then enter "X" in the ABOVE column.
• Family income includes the annual income for all family members living in your household.

FAMILY SIZE	ANNUAL FAMILY INCOME LEVEL	AT or BELOW	ABOVE
1	HUD COUNTY INCOME LIMIT FOR FAMILY SIZE OF 1		
2	HUD COUNTY INCOME LIMIT FOR FAMILY SIZE OF 2		
3	HUD COUNTY INCOME LIMIT FOR FAMILY SIZE OF 3		
4	HUD COUNTY INCOME LIMIT FOR FAMILY SIZE OF 4		
5	HUD COUNTY INCOME LIMIT FOR FAMILY SIZE OF 5		
6	HUD COUNTY INCOME LIMIT FOR FAMILY SIZE OF 6		
7 or More	HUD COUNTY INCOME LIMIT FOR FAMILY SIZE OF 7 or more		

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:
Enter the information in the UGLG designated fields below. Check current income limits on the HUD Income Limits website at: <https://www.hud.gov/electronicdata/cdbg>. The income limits in effect for the "Effective Date" listed on the HUD Income Limits website for the year entered on the time of the client's entry into the program and for the "Time (Date)" income limits for the month 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.
Client Income Certification Form v. 02/21/2021

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HELPFUL WEBSITES

- Uniform Guidance 2 CFR Subpart F

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

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

https://www.whitehouse.gov/sites/whitehouse.gov/files/omb/assets/OMB/circulars/a133compliance/2016/2016_compliance_supplement.pdf

- Single State Audit Guidelines

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



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QUESTIONS?

Email: Your assigned DEHCR Program Rep.
or

DOACDBG@Wisconsin.gov



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MONITORING

DEHCR – BUREAU OF COMMUNITY DEVELOPMENT



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MONITORING

- Projects monitored at least once during the Performance Period:
 - (Generally) 30-Day Advance Notification Letter (some exceptions)
 - Submit completed *Self-Monitoring Checklist* (**Attachment 2-B** updated) and *Acquisition/Relocation Monitoring Checklist* (**Attachment 5-K** updated)
 - 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.**

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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



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CHAPTER 10 KEY UPDATES

- Various general text updates and additional guidance/clarifications.
- *Project Completion Report & Certification* and *Financial Certification of Completion* submission guidance and forms updates.
- Final Financial documents submission requirements update (submit within 60 days of receiving payment)
- Attachment Updates: 10-A, 10-B (10-C deleted – combined with 10-A).

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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 & Certification* (Attachment 10-A) and supporting documents
 - Final semi-annual reporting
 - Final *Financial Certification of Completion* (Attachment 10-B) with final financial journals, payment record(s), and bank statement(s) - submit within 60 days after final CDBG payment is received
- DEHCR Completion Letter and approved/signed Certifications
- Records retention

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PROJECT COMPLETION REPORT & CERTIFICATION

- Project Completion Report & Certification (*Attachment 10-A*)
 - Submitted at end of Performance Period with *Final CDBG Payment Request*.



PROJECT COMPLETION REPORT & CERTIFICATION
Wisconsin Community Development Block Grant (CDBG) Program

A. NAME OF UGLG / GRANTEE: _____
B. DEHCR GRANT AGREEMENT # _____
C. BUSINESS NAME: _____

D. REPORTING PERIOD: (choose one)
October 1, 20____ to March 31, 20____
April 1, 20____ to September 30, 20____

E. CERTIFICATION OF PROJECT COMPLETION REPORT DOCUMENTS SUBMISSION

YES	NO	NA	SEPARATE SUBMISSION	DOCUMENTS	DATE(S) OF SEPARATE SUBMISSION
				Project Completion Report	
				Final Summary Narrative Supporting Documents (as listed in the Final Summary Narrative within the Report)	
				Final Semi-Annual CDBG Project Data Report & Supporting Documents	
				Final LHA Standards Compliance Report(s) (if applicable)	
				Section 5.7 (Enforcement Report(s) (if applicable)	
				Accessibility Self-Evaluation Checklist (if applicable)	
				Lobbying Certification(s) (as Covered & Subsequent)	
				Final CDBG Project Employee Self-Certification Report & Forms (if applicable)	
				Final Client Income Certification Report & Forms (if applicable)	
				Single Audit Statement (most recent year-end)	
				Final CDBG Payment Request & Supporting Documents	
				Cash Control Register for Final Payment Request	
				CDBG Disbursements Journal for Final Payment Request	
				Matching Funds Journal for Final Payment Request	

F. PROJECT COMPLETION CERTIFICATION BY UGLG / GRANTEE

Preparer Full Name and Title: _____ Preparer Print/Signature: _____ Preparer Email Address: _____

As the Chief Elected Official (CEO) of the Unit of General Local Government (UGLG) / Grantee, I approve the submission of this Report to DEHCR and certify that, to the best of my knowledge and belief, the activities undertaken for the project have been carried out and completed in accordance with the Grant Agreement, and the information provided in Sections E. and F. above and Section H. on the following pages, and the full contents of this Project Completion Report are true and correct.

Date Certified / Signed: _____ Typed Name and Title of Chief Elected Official: _____ Signature of UGLG Chief Elected Official: _____

[Enter CEO Name]
[Enter CEO Title]

G. PROJECT COMPLETION CERTIFICATION BY DEHCR

Date Signed: _____ Name and Title of Authorized DEHCR Representative: _____ Signature of Authorized DEHCR Representative: _____

Division of Energy, Housing and Community Resources

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FINANCIAL CERTIFICATION OF COMPLETION

- Financial Certification of Completion (*Attachment 10-B*)
 - Submitted after final CDBG payment is received by UGLG.



FINANCIAL CERTIFICATION OF COMPLETION
Wisconsin Community Development Block Grant (CDBG) Program

Submit this form to DEHCR within 60 days after receiving the final CDBG payment.

A. NAME OF UGLG / GRANTEE: _____
B. DEHCR GRANT AGREEMENT/CONTRACT #: _____
C. BUSINESS NAME: _____

D. DOCUMENTS ATTACHED TO THIS FINANCIAL CERTIFICATION OF COMPLETION

YES	NO	NA	DOCUMENTS
			Final Cash Control Register (required)
			Final CDBG Disbursements Journal (required)
			Final Matching Funds Journal (if UGLG contributed Match for project)
			Check/Payment Records for Disbursement of Final CDBG Payment (if applicable)
			Check/Payment Records for Any Match/Other Funds Used to Pay Invoices That Remained Unpaid/Outstanding at the Time of Submission of the Final CDBG Payment Request (if applicable)
			Final Bank Statements/Check Register Document(s) Showing the Deposit and Disbursement of the Final CDBG Payment (required)
			Payment Records Showing Return of Grant Funds to DEHCR (if applicable)

E. FINAL FINANCIAL STATEMENT OF COSTS & CDBG DISBURSEMENT

CDBG-Funded Activity (1)	CDBG Funds Budgeted (2)	CDBG Funds Drawn (3)	CDBG Funds Disbursed (4)	CDBG Funds To Be Cancelled (5)
	\$0.00	\$0.00	\$0.00	\$0.00
	\$0.00	\$0.00	\$0.00	\$0.00
	\$0.00	\$0.00	\$0.00	\$0.00
	\$0.00	\$0.00	\$0.00	\$0.00
	\$0.00	\$0.00	\$0.00	\$0.00
	\$0.00	\$0.00	\$0.00	\$0.00
	\$0.00	\$0.00	\$0.00	\$0.00
	\$0.00	\$0.00	\$0.00	\$0.00
	\$0.00	\$0.00	\$0.00	\$0.00
	\$0.00	\$0.00	\$0.00	\$0.00
TOTALS:	\$0.00	\$0.00	\$0.00	\$0.00

FOR DEHCR USE ONLY:
Enter Totals Based on DEHCR Records. \$ \$ \$ \$

F. FINANCIAL CERTIFICATION OF COMPLETION BY UGLG / GRANTEE

As the Chief Elected Official (CEO) of the Unit of General Local Government (UGLG) / Grantee, I approve the submission of this Financial Certification of Completion to DEHCR and certify that, to the best of my knowledge and belief, the activities undertaken using CDBG funds as listed in section E. above have been carried out in accordance with the Grant Agreement, and the amounts entered in section E. above are true and correct.

Date Certified / Signed: _____ Typed Name and Title of Chief Elected Official: _____ Signature of UGLG Chief Elected Official: _____

[Enter CEO Name]
[Enter CEO Title]

G. FINANCIAL CERTIFICATION OF COMPLETION BY DEHCR

Date Signed: _____ Name and Title of Authorized DEHCR Representative: _____ Signature of Authorized DEHCR Representative: _____

Division of Energy, Housing and Community Resources

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CONTACTS

DEHCR - Bureau of Community Development

Email: DOACDBG@Wisconsin.gov

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



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THANK YOU FOR YOUR ATTENDANCE.

- STAFF WILL BE AVAILABLE FOR FOLLOW-UP QUESTIONS.



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