

CDBG RLF-ED COMPLIANCE REPORT

For the Period Ending 9-30-2015

DEHCR

- Division of Housing merged with the Division of Energy on 7/1/2015
- New Name is

Division of Energy, Housing and Community Resources (DEHCR)

- Email:
DOADEHCRCommunityDevelopment@wisconsin.gov

Areas of Discussion

- New Changes to Compliance Report
- Common Errors
- Reconciliation
- Performance Requirements
- Section 3
- Monitoring
- Questions

UGLG

- Unit of General Local Government
 - County
 - City
 - Village
 - Town
 - Regional
 - 105(15)(a) non-profit entities

General Information Tab

- DUNS Number
- Added Contact Information for DEHCR Website
 - DEHCR will be posting RLF-ED contact information for each UGLG on the DEHCR website
 - The contact information will be for people/businesses interested in requesting a RLF-ED loan

All Tabs

- Do not delete rows, columns and “RLF Performance” worksheets
- Deleting rows, columns and “RLF Performance” worksheets resulted in formulas being corrupted or eliminated
- You can hide the rows, columns and “RLF Performance” worksheets but do NOT DELETE

Economic Development Tab (ED)

- Intergrated Database Information System (IDIS) Number has been filled in
- IDIS is HUD's database
- Will need to include IDIS Number on Remittance Form (last two tabs of Compliance Report)

RLF Tab

- IDIS numbers have not been added to the spreadsheet
- IDIS numbers will be added as the loans are entered into IDIS

Funds Remit to State Tab

- Only include the reimbursements that were sent to the lockbox for the current time period
- For this report, only include reimbursements sent between April 1, 2015 and September 30, 2015
- Including reimbursements outside of this time period results in difference on Reconciliation Tab

Administrative Expenses Tab

- Calculation for Program Income now includes
 - ED Loan Paid in Current Period
 - ED Interest Paid in Current Period
- Bank interest should be entered on Reconciliation Tab; not on Administrative Expenses Tab
- Since this report starts a new year, "Carryover of Administrative Charges" is zero
- Remember to submit the documentation for each expenditure listed on this page
- Worksheet is password protected

Reconciliation Tab

- "Ending Cash on Hand Per Bank Account as of 9/30/2015"
 - Submit bank statement, money market statement, Pool Investment statement for all accounts associated with the RLF-ED program
 - If funds are still intermixed with General Fund, submit the Balance Sheet for the RLF-ED fund with Cash/Investment on Hand as of 9/30/2015

Reconciliation Tab

- “Non-Cash RLF Account Balance per Financial Books” – Amount of RLF-ED loans outstanding
- Does not include the amount of funds available to loan or ED outstanding loan amounts
- Documentation
 - Balance Sheet
 - If General Ledger is sent, then the ending balance of the outstanding loans must be indicated
- Worksheet is password protected

RLF Performance Tabs

- Information that is entered for each period (such as period 2, period 3 or period 4) should only be the activity that occurred during that period
- For example, only the staff that is hired or left from 4/1/2015 through 9/30/15 should be entered for period 4
- The information for staff that is hired during the period should come from the completed Employee Self-Certification Form
- If a staff person left during the period, negative numbers should be indicated for all sections

RLF Performance Tabs

- Once the performance period ends, no additional performance information needs to be entered for that grant
- UGLG is to ensure Employee Self-Certification Forms are completed by the new hire of the business. Receiving the new hiree's information by phone, email or letter is not adequate documentation. An Employee Self-Certification Form must be submitted
- If the performance requirements are not met, it is the UGLG's responsibility to enforce the penalties indicated in the contract/agreement/promissory note

Remittance Forms

- Space to indicate IDIS number is on form
- Any funds returned to DOA, should indicate an IDIS number
- If funds are from ED loan repayments, use the IDIS number indicated on the ED Tab otherwise use 0002 until IDIS numbers are indicated on the RLF tab

Due Date of the 9-30-2015 RLF-ED Compliance Report

- Due date in November 16, 2015
- Email report and supporting documents to:
DOADEHCRCommunityDevelopment
@wisconsin.gov

Section 3 Reports

- All borrowers must complete a Section 3 Report
- A Section 3 Report must be completed every year during the Job Creation/Retention Period
- Once the Job Creation/Retention Period is done, the borrower has fulfilled its obligation for reporting Section 3
- The UGLG is responsible to distribute the Section 3 report to the borrower, receive the completed forms back and submit them to DEHCR every year.
- The deadline for submission is October 15, 2015

Section 3 Report

SECTION 3 REPORT

DOA AGREEMENT #
(Contract #)

CONTACT INFORMATION

Preparer's Name

Title

Telephone

Email

NAME OF GRANTEE

HUD REPORTING PERIOD October 1, 2014 - September 30, 2015 (or Present, _____, if your project is closing this year)
date

Complete one form for each program/contract with DOH.

Please check program

CDBG _____

NSP _____

HOME _____

CDBG-DR _____

ETH _____

HOPWA _____

(Disaster Recovery)

Section 3 Report

Part I: Employment and Training			
Job Category	Number of New Hires	Number of New Hires that are Section 3 Residents	Number of Section 3 Trainees
Professionals			
Technicians			
Office/Clerical			
Construction			
Trade			
Other			
TOTAL			
Part II: Contracts Awarded			
1. Construction Contracts			
A. Total Dollar Amount of all contracts awarded on the project			\$
B. Total dollar amount of contracts awarded to Section 3 businesses - within the Reporting Period Above			\$
C. Percentage of the total dollar amount that was awarded to Section 3 businesses			%
D. Total number of Section 3 businesses receiving contracts			
2. Non-Construction Contracts			
A. Total Dollar Amount of non-construction contracts awarded on the project			\$
B. Total dollar amount of non-construction contracts awarded to Section 3 businesses - within the Reporting Period Above			\$
C. Percentage of the dollar amount that was awarded to Section 3 businesses			%
D. Total number of Section 3 businesses receiving non-construction contracts			

Section 3

Part III: Best Efforts

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

- | | |
|---|---|
| <input type="checkbox"/> Job Posting at Job Centers | <input type="checkbox"/> Job Posting in Community List Serves |
| <input type="checkbox"/> Job Posting in Local Newspaper/Shopper | <input type="checkbox"/> Job Posting at Public Municipal Building |
| <input type="checkbox"/> Job Posting at Housing Authority | <input type="checkbox"/> Job Posting at Technical College or University |
| <input type="checkbox"/> Website or Social Media Outreach | <input type="checkbox"/> Disadvantage Business Outreach |
| <input type="checkbox"/> No new hires during reporting period | <input type="checkbox"/> Project Complete – No Activity |
| <input type="checkbox"/> Other: _____ | |

Comments: _____

Section 3 Report

Signature of Preparer

Date

Printed Name of Preparer

Grantee's Signature

Date

Monitoring

- At least two RLF-ED's will be monitored every month
- There are 3 different types of monitorings
 - On-site
 - Desk
 - Compliance Report
- You will be notified before the monitoring
- You will receive a letter indicating the results of the monitoring. If any findings are noted, the CEO (i.e. County Executive, Mayor, Village President) will need to provide a written response on what will be done to resolve the finding

Reports

- <http://www.doa.state.wi.us/Divisions/Housing/Bureau-of-Community-Development>

Questions