Certified CDBG Administrator
Continuing Education Workshop

October 15, 2020
# ODOC Certified CDBG Administrator
## Continuing Education Workshop
### Virtual Meeting - Zoom Invitation
### October 15, 2020

<table>
<thead>
<tr>
<th>AGENDA</th>
<th>Time</th>
<th>Presenter(s)</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registration/Sign-In</td>
<td>8:45 – 9:00</td>
<td>Linda Goode &amp; Debbie Wade</td>
</tr>
<tr>
<td>Host-Welcome &amp; Introductions</td>
<td>9:00 – 9:15</td>
<td>Kellon Dixon</td>
</tr>
<tr>
<td>Section 3 Updates</td>
<td>9:15 – 9:30</td>
<td>Kellon Dixon</td>
</tr>
<tr>
<td>Employee Interviews &amp; Payroll Examination</td>
<td>9:30 – 9:45</td>
<td>Robin Slawson</td>
</tr>
<tr>
<td>OKGrants Status Pushes</td>
<td>9:45 – 10:00</td>
<td>Dekoven Edwards</td>
</tr>
<tr>
<td>3-year Contracts</td>
<td>10:00-10:15</td>
<td>Dekoven Edwards</td>
</tr>
<tr>
<td>ODOC Review Committee/Beneficiary Report</td>
<td>10:15-10:45</td>
<td>Christy Davis</td>
</tr>
<tr>
<td>Desk Monitoring updates &amp; new formats</td>
<td>10:45-11:00</td>
<td>Christy Davis</td>
</tr>
<tr>
<td>Q &amp; A – Group Discussion</td>
<td>11:00-12:00</td>
<td>CDBG Planners will join</td>
</tr>
<tr>
<td></td>
<td></td>
<td>Steven Hoover, Karen Adair, Mike Sexton</td>
</tr>
</tbody>
</table>


Section 3 Update

Requirement 404
Civil Rights/EEO/Fair Housing
Section 3 Reporting
What is Section 3?

- It is a means by which HUD fosters local economic development, neighborhood economic improvement, and individual self-sufficiency. Section 3 is the legal basis for providing jobs for residents and awarding contracts to businesses in areas receiving certain types of HUD financial assistance.

- Under Section 3 of the HUD Act of 1968, wherever HUD financial assistance is expended for housing or community development, to the greatest extent feasible, economic opportunities will be given to Section 3 residents and businesses in that area.

- To qualify for a Section 3 Business, majority ownership must be held by Section 3 Residents or at least 30% of the permanent full time employees are Section 3.
Why is this important to you?

Section 3 Performance Evaluation and Registry System (SPEARS)

- System created by HUD to capture data on the number of Section 3 residents hired or receiving training positions and the amount of contracts awarded to Section 3 businesses.
- Uses the same information on the Section 3 Report submitted at Closeout
- Reporting period is from April to March
### Section 3 Summary Report

**Eligibility Opportunities for Low- and Very Low-Income Persons**

<table>
<thead>
<tr>
<th>Page 1/2</th>
<th>Page 2/2</th>
</tr>
</thead>
</table>

**Part II: Contracts Awarded**

1. Construction Contract:
   - 1.:

2. Design-Build Contract:
   - 1.:

**Part III: Summary**

- The project was successfully completed within the estimated timeframe, successfully achieving all performance targets and deliverables.
- The project was funded through a combination of federal, state, and local grants, ensuring maximum fiscal leverage for the community.
- The project has been well-received by the community, with positive feedback on its impact and sustainability.

**Part IV: Employment and Training Opportunities**

- The project included a comprehensive training program designed to enhance the skills and employment prospects of local residents.
- This program included both on-the-job training and soft skills development, ensuring participants were well-prepared for the job market.

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**Attachment 1**

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**Glossary**

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**July 2014**
Section 3 Updates

- Section 3 Opportunity Portal
- Section 3 Contractor Listing- Updated Annually
- **HUD Section 3 Final Rule (Pending)**
  - Tracks labors hours instead of new hires
  - Increases threshold to $200,000
  - Non-construction services that require an advanced degree or license will be excluded from Section 3
  - Effective Date is November 30, 2020 with the New Rule set to begin July 1, 2021 to allow transition
- Direct your communities to the [Okcommerce.gov](http://Okcommerce.gov) page for updates
- DHUD Federal Register Notice dated September 29, 2020
Employee Interviews & Payroll Examination

Requirement 408
Labor Standards & Construction Management
Sub-Recipient – Compliance Monitoring Requirement

The UGLG’s “Labor Standards Officer” must monitor the performance of all contractors in complying with the wage rates and other requirements. The UGLG, any agent working on behalf of the UGLG, and/or the “Labor Standards Officer” has the right to request any additional information from the contractors and subcontractors working on a CDBG funded project to verify compliance with federal labor standards regulations. This information includes, but is not limited to job classification, payroll, benefits and deductions.
OKGrants Action:
Wage Rate Decision – In addition to completing the Wage Determination Request, as this pushes this action to ODOC, it is now required to also upload the decision rate(s) from https://beta.sam.gov
To verify compliance, the following steps should be performed by, or on behalf of, the UGLG:

1. Make sure that each contractor and sub-contractor submits, on a weekly basis, payroll records and statements of compliance as required by the law, and that these documents contain all the required information.
   - Payrolls must be numbered sequentially from first to final and must be submitted within seven days after the end of the pay period. Identify the first and final payrolls by the words “First” and “Final.”

2. Review the payrolls weekly to make sure that,
   - at least the minimum wages and fringe benefits as specified in the wage decision are paid to each employee and that any overtime worked is paid at the overtime rate. Fringe benefits include health insurance, retirement, life insurance, vacation. Fringe benefits do not include employer payments or contributions required by other federal, state, or local laws, such as the employer’s contribution to Social Security or some disability insurance payments.

3. Review the payrolls weekly to make sure that,
   - no deductions are made from any employee’s pay other than those permitted by DOL Regulations [29 CFR 3]. These regulations prohibit the employer from requiring employees to “kick-back” any of their earnings. Allowable deductions include employee obligations for income taxes, Social Security payments, insurance premiums, retirement, savings account, and any other legally-permissible deduction authorized by the employee in writing (Payroll Deduction Form 8.5 ODOC CDBG Project Management Guide).

4. Review the payrolls weekly to make sure that,
   - employee classifications conform to the wage decision and rates.
5. Apprentices and trainees may be paid less than the full journeyman rate only if they are registered in bona fide programs approved by and registered with the Employment and Training Administration of the USDOL.

- Make sure all necessary apprenticeship indentured papers and training certifications have been filed for employees on the job, and that the documents are valid.

6. Interview workers on the job using the **HUD-11 Employee Interview Form** (English & Spanish versions are available) to determine if the wages paid and/or the classification reported by the contractor are correct and correspond to the payrolls submitted.

7. Employees should be encouraged to produce pay stubs that document the wages received. Do this in such a way as not to interfere with the conduct of the work and so as to provide reasonable privacy.

- It is recommended to interview at least one of each classification of worker on the job for each contractor and sub-contractor. More than one is desirable as assurance that the requirements continue to be met.

8. For persons classified as apprentices or trainees, get a detailed statement of duties and tools used. Compare the interview data with the corresponding payrolls to identify any discrepancies.

9. Check the work site to make sure that the required wage rates and other required posters are posted in a clearly visible location.

10. Keep the site investigation report, payroll sheets, certifications, and employee interviews in the labor standards file for compliance monitoring.
How to Correctly Fill Out a WH-347 Payroll Form for CDBG Projects

The Completion of the WH-347 Payroll Form is optional; contractors may utilize their own payroll system as long as it conforms to the WH-347 Payroll Form and contains all the necessary information.

- Check one of the boxes and list the name of contractor or subcontractor
- The last day of the payroll period.
- Fill out completely with contractor or subcontractor address.

Payrolls must be numbered sequentially and should be based on the weeks worked under a contract. Type the word "Final" when the last payroll is submitted for the project. No skipping weekly numbered reports: Include a numbered report for all weeks even ones not worked.

Indicate the days and dates of the pay period. (should match week ending directly above)

The name and location of project.

The prime contractor should include the GRANT PROJECT number as listed in the CDBG Bid Documents.

Example WH-347 Payroll - Fillable Form located:
www.dol.gov/whd/forms/wh347.pdf

Source:
https://www.dol.gov/whd/forms/wh347.pdf

https://www.youtube.com/watch?v=wI9ekEHoAvg
List each worker’s name
Only laborers and mechanics performing construction work under the contract should be listed.
Please note: Business Owners need only include their name, work classification including "owner" and the daily total hours worked.

<table>
<thead>
<tr>
<th>Name and Individual ID</th>
<th>Work Classification</th>
<th>Net Pay</th>
<th>Total Hours</th>
<th>Overtime Hours</th>
<th>Straight Hours</th>
</tr>
</thead>
<tbody>
<tr>
<td>Alex Driver</td>
<td>General Laborer</td>
<td>$62.93</td>
<td>30.00</td>
<td>0.00</td>
<td>0.00</td>
</tr>
<tr>
<td>Jason Worker</td>
<td>General Laborer</td>
<td>$60.15</td>
<td>15.00</td>
<td>0.00</td>
<td>0.00</td>
</tr>
<tr>
<td>Roy Wrench</td>
<td>Steamfitter</td>
<td>$59.13</td>
<td>20.00</td>
<td>0.00</td>
<td>0.00</td>
</tr>
<tr>
<td>Bart Turner</td>
<td>Power Equipment</td>
<td>$50.80</td>
<td>24.00</td>
<td>0.00</td>
<td>0.00</td>
</tr>
</tbody>
</table>

**Specify the job classification located in the contract wage decision and/or the corresponding job title.**

Specify the hourly wage rate and fringes paid in cash (not those paid to plans)

Specify the net amount paid to the employee for the pay

Specify the total overtime and straight time hours worked on the project.

Specify the gross earnings for the hours worked under the contract.

Must accurately reflect overtime and straight time hours worked under the contract.

Please note: Business Owners need only include their name, work classification including "owner" and the daily total hours worked.

(For Contractors: Optional Use, See Instructions of www.dol.gov/esa/whd/wh347 instr.html)
If part of a worker's weekly wage was earned on projects other than the project described on this payroll, enter the gross amount earned on this contract in the top half of column 7. Enter the gross amount earned during the week for all projects in the bottom half.

Alex Driver worked 29.5 hours on this contract and 12.5 hours on another contract. The gross wages earned on this project, $1,422.84, is entered in the top half of column 7. The gross wages earned on all projects, $2,012.46, is entered in the bottom.

<table>
<thead>
<tr>
<th>Name</th>
<th>Work Classification</th>
<th>Hours</th>
<th>Gross Pay</th>
<th>Withholding Deductions</th>
<th>Net Pay</th>
</tr>
</thead>
<tbody>
<tr>
<td>Alex Driver</td>
<td>Power Equipment</td>
<td>29.5</td>
<td>$1,422.84</td>
<td>$125.15</td>
<td>$1,322.95</td>
</tr>
<tr>
<td>Roy Wrench</td>
<td>Steamfitter</td>
<td>20.0</td>
<td>$691.13</td>
<td>$110.38</td>
<td>$580.75</td>
</tr>
<tr>
<td>Roy Wrench</td>
<td>Power Equipment</td>
<td>24.00</td>
<td>$608.00</td>
<td>$111.54</td>
<td>$496.46</td>
</tr>
<tr>
<td>Ray Driver</td>
<td>General Labor</td>
<td>12.5</td>
<td>$562.83</td>
<td>$59.31</td>
<td>$503.52</td>
</tr>
<tr>
<td>Jamaica</td>
<td>Carpenter</td>
<td>27.5</td>
<td>$1,206.77</td>
<td>$132.66</td>
<td>$1,074.11</td>
</tr>
<tr>
<td>John Doe</td>
<td>Apprentice Carpenter</td>
<td>160.0</td>
<td>$1,064.72</td>
<td>$128.35</td>
<td>$936.37</td>
</tr>
</tbody>
</table>

If an employee performs multiple work classifications under the contract, use two or more lines to distinguish the different job classifications, hours worked, and hourly wage earned for each.

Combine the two classifications when recording the gross amount earned for this pay period, deductions, and net wages.
A registered apprentice performing work under a contract must be reported. The payroll must include the current pay scale & provide a copy of the apprenticeship agreement.

Fringe benefits are not paid as cash to Bart Turner: explanation is included under "(c) exceptions" on signatory page.
date 04/28/2010
Tiffany Payer Payroll Supervisor

(1) That I pay or supervise the payment of the persons employed by Sample Construction Company

on the

Robin Street Apartments, Delafield WI

that during the payroll period commencing on the

18 day of 4 2010 and ending the 24 day of 4 2010

all persons employed on said project have been paid the full weekly wages earned, that no rebates have been or will be made either directly or indirectly to or on behalf of said Sample Construction Company

from the full

(Contractor or Subcontractor)

weekly wages earned by any person and that no deductions have been made either directly or indirectly from the full wages earned by any person, other than permissible deductions as defined in Regulations, Part 3 (29 C.F.R. Subtitle A) issued by the Secretary of Labor under the Copeand Act, as amended (48 Stat. 958, 63 Stat. 108, 72 Stat. 367, 76 Stat. 357, 40 U.S.C. § 3145), and described below.

Alex Driver - 8088 - other deductions - $55 for child support

Explanation of "other"

(b) WHERE FRINGE BENEFITS ARE PAID IN CASH

---

Each laborer or mechanic listed in the above referenced payroll has been paid, as indicated on the payroll, an amount not less than the sum of the applicable basic hourly wage rate plus the amount of the required fringe benefits as listed in the contract, except as noted in section 4(a) below.

(c) EXCEPTIONS/EXPLANATION

<table>
<thead>
<tr>
<th>Exception/Group</th>
<th>Explanation</th>
</tr>
</thead>
<tbody>
<tr>
<td>Power Equipment Rotary Drill Group 4</td>
<td>paid directly to plan: health &amp; dental at $12.50 per hour and Pension at $5.25 per hour</td>
</tr>
</tbody>
</table>

Explanations of exception to fringe benefits

Explanation of exception to fringe benefits

Reference:

NAME AND TITLE
Robert Sample, Owner

SIGNATURE

THE WILFUL FALSIFICATION OF ANY OF THE ABOVE STATEMENTS MAY SUBJECT THE CONTRACTOR OR SUBCONTRACTOR TO CRIMINAL PROSECUTION. SEE SECTION 1501 OF TITLE 18 AND SECTION 3511 OF TITLE 18 OF THE UNITED STATES CODE.
**Record of Employee Interview**

Public reporting burden for this collection of information is estimated to average 15 minutes per response, including the time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. This agency may not conduct or sponsor, and you are not required to complete, this form, unless it displays a currently valid OMB control number. The information collected is used to ensure compliance with the Federal labor standards by recording interviews with construction workers. The information collected will assist HUD in the conduct of compliance monitoring; the information will be used to test the veracity of certified payroll reports submitted by the employer. Sensitive Information. The information collected on this form is considered sensitive and is protected by the Privacy Act. The Privacy Act requires that these records be maintained with appropriate administrative, technical, and physical safeguards to ensure their security and confidentiality. In addition, these records should be protected against any anticipated threats or hazards to their security or integrity that could result in substantial harm, embarrassment, inconvenience, or unfairness to any individual on whom the information is maintained. The information collected herein is voluntary, and any information provided shall be kept confidential.

<table>
<thead>
<tr>
<th>Field</th>
<th>Value</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Project Name</strong></td>
<td>Fall County - Community Building</td>
</tr>
<tr>
<td><strong>Performance Review</strong></td>
<td>10. Your job classification(s) (list all) — continue on a separate sheet if necessary</td>
</tr>
<tr>
<td></td>
<td>Laborer</td>
</tr>
<tr>
<td></td>
<td>11a. Duties observed by the Interviewer (Please be specific.)</td>
</tr>
<tr>
<td></td>
<td>Pulling a small level or compactor around on the ground by hand.</td>
</tr>
<tr>
<td><strong>Remarks</strong></td>
<td>14. Duties observed conform to Laborer.</td>
</tr>
<tr>
<td></td>
<td>Duties observed by the Interviewer (Please be specific.)</td>
</tr>
<tr>
<td><strong>Employee Information</strong></td>
<td>20. Employee Name</td>
</tr>
<tr>
<td><strong>Employee Home Number (including area code)</strong></td>
<td>22. Employee Home Phone Number</td>
</tr>
<tr>
<td><strong>Employee Home Address &amp; Zip Code</strong></td>
<td>23. Employee Home Address &amp; Zip Code</td>
</tr>
<tr>
<td><strong>Employee Interviewer</strong></td>
<td>15a. Interviewer Name (please print)</td>
</tr>
<tr>
<td><strong>Signature of Interviewer</strong></td>
<td>15b. Signature of Interviewer</td>
</tr>
<tr>
<td><strong>Date of Interview</strong></td>
<td>15c. Date of Interview</td>
</tr>
</tbody>
</table>

**Payroll Examination**

OK20190040 Building Rates dated 7/26/2019 show common laborer hourly rate at $11.00/no fringe. The weekly payroll ending 2/26/2020 Payroll #9 reflects that the employee's hourly pay is $13.00/nobenefits.

**Remarks**

CDBG Grant Administrator or County Employee

**Remarks**

Example HUD-11 Form
Instructions

General:
This form is to be used by HUD and local agency staff for recording information gathered during on-site interviews with laborers and mechanics employed on projects subject to Federal prevailing wage requirements. Typically, the staff that will conduct on-site interviews and use this form are HUD staff and fee construction inspectors, HUD Labor Relations staff, and local agency labor standards contract monitors.

Information recorded on the form HUD-11 is evaluated for general compliance and compared to certified payroll reports submitted by the respective employer. The comparison tests the veracity of the payroll reports and may be critical to the successful conclusion of enforcement actions in the event of labor standards violations. The thoroughness and accuracy of the information gathered during interviews is crucial.

Note that the interview itself and the information collected on the form HUD-11 are considered confidential. Interviews should be conducted individually and privately. All laborers and mechanics employed on the job site must be made available for interview at the interviewer’s request. The employee’s participation, however, is voluntary. Interviews shall be conducted in a manner and place that are conducive to the purposes of the interview and that cause the least inconvenience to the employer(s) and the employee(s).

Completing the form HUD-11
Items 1a - 1c: Self-explanatory

Items 2a – 2d: Enter the employee’s full name, a telephone number where the employee can be reached, and the employee’s home address. Many construction workers use a temporary address in the locality of the project and have a more permanent address elsewhere from which mail may be forwarded to them. Obtain a more permanent address, if available. Ask the employee for a form of identification (e.g., driver’s license) to verify their name.

Items 3a – 4c: Enter the employee’s responses. Ask the employee whether they have a pay stub with them; if so, determine whether the pay stub is consistent with the information provided by the employee.

Items 5 – 7: Be certain that the employee’s responses are specific. For example, job classification (#5) must identify the trade involved (e.g., Carpenter, Electrician, Plumber) – responses such as “journeyman” or “mechanic” are not helpful for our purposes.

Items 8 – 12b: Self-explanatory

Items 13 – 15c: These items represent some of the most important information that can be gathered while conducting on-site interviews. Please be specific about the duties you observed the employee performing. It may be easiest to make these observations before initiating the interview. Please record any comments or remarks that may be helpful. For example, if the employee interviewed was working with a crew, how many workers were in the crew? Was the employee evasive?

The level of specificity that is warranted is directly related to the extent to which interview(s) or other observations indicate that there may be violations present. If interviews indicate that there may be underpayments involving a particular trade(s), the interviewer is encouraged to interview as many workers in that trade(s) that are available.

Items 16 – 17b: The information on the form HUD-11 may be reviewed for general compliance, initially. For example, are the job classification and wage rate stated by the employee compatible with the classifications and wage rates on the applicable wage decision? Are the duties observed by the interviewer consistent with the job classification?

Once the corresponding certified payroll reports are received, the information on the HUD-11 shall be compared to the payroll reports. Any discrepancies noted between the HUD-11 information and that on the payroll report shall be noted in Item 16, Remarks. If discrepancies are noted, follow-up actions to resolve the discrepancies must be taken.

Example HUD-11 Form
Below is a snippet of the appropriate Wage Decision and what rate to look for when conducting payroll examination as highlighted on the previous slides. Please Note: the wage rate shows multiple laborer rates and no fringe, thus why it is important to review the weekly payrolls as well as conduct on-site visits and interviews as you may receive those payrolls that list General Laborer throughout when it is known that the project calls for a pipe layer and concrete work. In that case, more investigation with possible revisions to the payroll and restitution may be necessary.

<table>
<thead>
<tr>
<th>Base Rate</th>
<th>Fringes</th>
</tr>
</thead>
<tbody>
<tr>
<td>LABORER: Common or General...</td>
<td>$11.00</td>
</tr>
<tr>
<td>LABORER: Mason Tender - Brick</td>
<td>$12.00</td>
</tr>
<tr>
<td>LABORER: Mason Tender - Cement/Concrete</td>
<td>$13.04</td>
</tr>
<tr>
<td>LABORER: Pipelayer</td>
<td>$11.65</td>
</tr>
</tbody>
</table>

https://beta.sam.gov/
OKGRANTS
“status push”
Action
OKGRANTS STATUS PUSH

(change the status)

When the ball is in your Court

- Contract Signature Required
- Budget Modification Request
- Monitoring Response Required
- Exempt Activities (initiate RROF for professional services)
Contract Signature Required

- Application has been approved and contract prepared for execution by both parties.
- Contract must be reviewed and executed by an Authorized Official
  - An Authorized Official will sign the contract and “Push” back to ODOC.
  - No Actions can be made under the contract until the contract is fully executed.
Budget Modification Request

- Changing the budget.
  1. Grantee initiates a “Modification in Process” with an official request
  2. Grantee changes the status to “Modification Submitted”
  3. ODOC receives “modification submitted” for review
  4. ODOC reviews the request and “pushes” back to Grantee for changes or approval
  5. Grantee is then required to update the budget page as approved, and change the status to submit modification.
     ✓ (all changes to the budget are completed at this time)
  6. Grantee will not be able to perform any other actions, including draws, for this contract until the Budget has been completed, approved, and in **Executed Status**.
Monitoring Response Required

Monitoring Report in Process

- Findings have been identified and ODOC pushes “Monitoring Response Required” - status is now with Grantee for Action
- Grantee prepares a response to any findings or concerns noted in the monitoring report and uploads the response and supporting documents into OKGrants
- Grantee is given two weeks to prepare a response to the findings/concerns noted in the monitoring report
  - OKGrants status is with Grantee until monitoring response is complete
- Grantee changes the status push to “Monitoring Response Submitted” to ODOC
Exempt Activities

ENVIRONMENTAL REVIEW & REQUEST FOR RELEASE OF FUNDS (RROF)

• Submitting ROF for Exempt activities only
  • Professional Services
  • Grant Administration & Engineering Services

- Grantee may perform a RROF in order to have access to funds for professional services (not a requirement and may be combined with RROF activity for construction).
- Grantee must complete the documents required and change the status to submit for Exempt activities only
- ODOC review and approval-change the status to approve – executed status
- Grantee can then initiate another RROF for categorically excluded activities (construction)
3 Year Contracts
3 Year Contracts

✓ 2 + 1 format

- All Phase II Contracts have been moved to a simpler contract format
- This allows ALL Engineering to be completed in the FIRST contract year
- DEQ permits MUST be obtained
3 Year Contracts

- KEEP in constant CONTACT with the ENGINEER of the project.

- Its imperative the ENGINEER NOTIFY the Grantee of any problems or required changes to the project.
3 Year Contracts

- RROF must be completed
  - This requires the completion of DEQ Permits
- Due to complexity of these contracts, there will be NO contract extensions
- DEQ permit process takes a lot of time obtain - High importance to stay on top of the progress
3 Year Contracts

What happens if DEQ permit can not be obtained?

► DEQ can determine that the project won’t be permitted
► Changes to project to obtain permit?
  ► ODOC should be notified IMMEDIATELY!
► Contract will be DE-OBLIGATED
► Any grant funds expended may be required to be returned
3 Year Contracts

Recap:
- DEQ Permit required to complete ROF
- 1 year to complete ROF
- Stay on top of progress and notify ODOC of any delays
- No extension will be given
- DE-Obligation of contact if requirements are not met
ODOC Review Committee
WHO IS THE ODOC REVIEW COMMITTEE?

- MARSHALL VOGTS
  DIVISION DIRECTOR
- RHONDA HARDING-HILL
  DIRECTOR OF PROGRAMS PLANNING
- ALICIA HIBBETS
  DIRECTOR OF PROGRAMS MONITORING
- CDBG PLANNER (AS ASSIGNED)
  STEVEN HOOVER
  KAREN ADAIR
  MIKE SEXTON
- PROJECT MANAGER (AS ASSIGNED)
  DEKOVEN EDWARDS
  CHRISTY DAVIS
  ROBIN SLAWSON
REASONS FOR REVIEW BY COMMITTEE

- EXPIRED CONTRACT
- LACK OF MOVEMENT
- DISALLOWABLE COST
- FALSIFIED DOCUMENTATION/DATES/SIGNATURES
POSSIBLE OUTCOMES FROM REVIEW

1. CONTRACT APPROVED TO CONTINUE
   - WITH SPECIFIC GUIDELINES TO MEET

2. DEOBLIGATION OF THE CONTRACT
Desk Monitoring
(new format)
• ALL MONITORING WILL BE PERFORMED AS DESK MONITORING UNTIL FURTHER NOTICE

• A MONITORING TOOL WILL BE INCLUDED WITH THE NOTIFICATION LETTER

• GRANTEE WILL EMAIL SUPPORTING DOCUMENTATION TO ASSIGNED PROJECT MANAGER
• CREATED FROM ON-SITE MONITORING TOOL

• EACH SECTION NEEDS TO BE ANSWERED BY THE CITY/TOWN/COUNTY AND SIGNED BY AUTHORIZED OFFICIAL

• SIX SECTIONS – FINANCIAL INFORMATION, PROCUREMENT, CONSTRUCTION CONTRACTS, CITIZENS PARTICIPATION, EQUAL OPPORTUNITY/CIVIL RIGHTS & FAIR HOUSING

• CHECK BOXES – DOCUMENTS THAT NEED TO BE SUBMITTED
Community Development Block Grant
Desk Monitoring Checklist

Grantee: ____________________________
Contract #: _________________________
Due Date: __________________________

In the following sections, the Grantee will need to check each item as applicable to their project and answer each question. Items that are checked will need to be emailed to your project manager at __________________________ to complete your CDBG Desk Monitoring.

✓ GRANTEE
✓ CONTRACT #
✓ DUE DATE
✓ ASSIGNED PROJECT MANAGER & EMAIL ADDRESS LISTED
Financial Information (Upload Documents)

CDBG Grant Funds: [Blank]  
Leveraged Funds: [Blank]  
Leveraged Funds Source: (Town/City/County) [Blank]

- General CDBG Ledger to include match
- Purchase Orders/Board authorized payments in accordance to 11 O.S. 17-102
- Non-collusion affidavit for payments of $25,000.00 provided by the Vendor
- Invoices
- Cancelled Checks – including leverage funds
- Davis Bacon Payroll Sheets – All weeks (including sub-contractors)
- Employee Interview Sheets – 10% of each classification on project
- Change Orders
- Board Minutes of Meetings approving Purchase Orders, Invoices pertaining to above referenced contract.
- IN-KIND Leverage – Volunteer Time Sheets, Written log of each day equipment was used with hours
- Inter-Local agreement
1. Who maintains the General Ledger? (Name & Title)

2. Is the CDBG funds kept in a separate account from other funding? □ Yes □ No

3. Are Bank Statements Reconciliations performed? □ Yes □ No
   If yes, who performs this duty? (Name & Title)

4. Are separate persons performing bank statement reconciliations and accounting duties? □ Yes □ No

5. Are any municipal/county employees paid with CDBG funds? □ Yes □ No
   *If yes please provide copies of employee time sheets to ODOC.

6. Is city/county equipment used on the project paid for with CDBG funds? □ Yes □ No

August 1, 2020
**Procurement** (Upload Documents)
- Grant Administrator contract along with the Direct Solicitation Proposals or Advertisement Proposal.
- Engineering Contract along with the Direct Solicitation Proposals or Advertisement Proposal or Sealed Bids
- Architect Contract along with the Direct Solicitation Proposals or Advertisement Proposal or Sealed Bids

**Construction Contract(s)** (Upload Documents)
- Bid Advertisements
- Bids Tabulations
- Bid Packet Document – awarded bidder’s bid documents to include bid, bonding, insurance and affidavits
- Board Minutes of Meetings in relation to selection and award of contracts
- Pre-Construction Conference Report
- Written Section 3 Plan – if over $100,000
- Change Orders – Board approved
- Change of Scope
Citizen Participation (Upload Documents)

1. Public Hearing Notice – □ Application □ Closeout
2. Public Hearing Minutes – □ Application □ Closeout
3. Public Hearing Attendance Sheet – □ Application □ Closeout
4. Were all public hearings accessible to handicapped? □ Yes □ No
5. Were more than 15% of attendees non-English speaking? □ Yes □ No
6. Interpreter Provided? □ Yes □ No
7. Have any written complaints been received and was there action taken? □ Yes □ No
   Comment:

Equal Opportunity/Civil Rights (Provide answers & Upload Documents)

1. How many full time employees? ________________
   a. If 10 full time employees or more, is there a Personnel Policy in place? □ Yes □ No
   b. If Yes – Please upload document in OKgrants.
2. If so, does Policy and Job application include EO statement to include all groups? (Mental/Physical Handicap – Age – Sex – Race – Religion – National Origin) □ Yes □ No
3. Have any EEO complaints been filed against the City? □ Yes □ No
Fair Housing (Provide answers & Upload Documents)

1. Does City have an Ordinance or Resolution?  □ Yes  □ No  Date passed

2. Have any complaints been received?  □ Yes  □ No

3. Identify steps to further Fair Housing:

August 1, 2020

4. Were CDBG funds expended for further fair housing?  □ Yes  □ No
Comments:

The City ensures that the above information is correct and that the files and all related documents (Requirement 401, V. Records and Attachment 5 of the CDBG Contractor’s Implementation Manual) are in place and will be maintained for three years after project closeout.

Signature (Mayor or Clerk)  Date
• Governor Stitt has not yet decided on the extension of COVID-19 State of Emergency

• Currently expires on October 25th.

• SB0661 permits public bodies to hold meetings by teleconference or videoconference where each member is audible or visible to the public, rather than requiring a quorum of the boards members to be present in one location, among other things. It expires November 15 or when the state of emergency in Oklahoma is cancelled by governor, whichever date comes first, according to the statue’s language.
• If Gov. Stitt does not extend the executive order, public bodies will have to hold in-person meetings beginning October 26, 2020.

• If the executive order is extended, public bodies will be required after November 15 to have at least a quorum of their members together in one place, while other members could participate by video conference, according to existing statute. Existing statute also requires meeting notices to list the remote locations from which members will be participating by video. Remote locations must be open to the public. Prohibits public bodies from holding executive sessions via video conference.
• Monitoring may move to virtual monitoring. Zoom/Microsoft Teams

• Patience with each other
Q & A
Group Discussion
Q - Where do we get the total beneficiary number for closeout?
A – The number comes from the application beneficiary survey form, or if the city-wide percentage is used, the HUD Low/Moderate Income Percentages for City-Wide data can be used and is located in the Application Guidelines on the website: https://www.okcommerce.gov/community-development/local-governments-edos/community-development-block-grant-programs/

Total persons \(1920 \times 56.77\% = 1,090\) LMI
The below is from a 2019 closeout showing that all of the totals match; 1) Closeout Certification, 2) the Application Beneficiary Income Survey form, 3) ODOC #'s (ODOC Only) Review page

1) Submitted By:

Name: ____________________________
Title: ____________________________

2) CDBG BENEFICIARY INCOME SURVEY

Instructions:
Please complete this page, then click the Save button. Required fields are marked with an *

<table>
<thead>
<tr>
<th>Insert County Income Levels</th>
<th>$31,750</th>
<th>$36,300</th>
<th>$40,850</th>
<th>$45,350</th>
<th>$49,000</th>
<th>$52,650</th>
<th>$56,250</th>
<th>$59,000</th>
</tr>
</thead>
<tbody>
<tr>
<td>Number of People in Each Family</td>
<td>1</td>
<td>2</td>
<td>3</td>
<td>4</td>
<td>5</td>
<td>6</td>
<td>7</td>
<td>8</td>
</tr>
<tr>
<td>Below or Above the County Income Levels</td>
<td>Below</td>
<td>Above</td>
<td>Below</td>
<td>Above</td>
<td>Below</td>
<td>Above</td>
<td>Below</td>
<td>Above</td>
</tr>
</tbody>
</table>

Total Number of Families = 75

Total Number of Occupied Households/Homes in the Activity Target Area = 27
Total Number of Persons in the Activity Target Area = 75
Total Number of Occupied Households/Homes Surveyed in the Activity Target Area = 27
Total Number of Persons Accounted for by the Survey in the Activity Target Area = 75
Total Number of Families Below the Low and Moderate Income Level in the Activity Target Area = 15
Percentage of Total Families Below the Low and Moderate Income Level in the Activity Target Area = 55.56%

75 persons X 55.56% = 41.67 (42) LMI

3) CDBG SPECIFIC

<table>
<thead>
<tr>
<th>HUD Matrix Code</th>
<th>LMI %</th>
<th>Total Beneficiaries</th>
<th>LMI Beneficiaries</th>
<th>National Objective</th>
</tr>
</thead>
<tbody>
<tr>
<td>D0K</td>
<td>55.56%</td>
<td>75</td>
<td>42</td>
<td></td>
</tr>
</tbody>
</table>

Final Results: 75 persons X 55.56% = 41.67 (42) LMI
When a closeout certification is returned because the beneficiary numbers do not match to what is provided in the ODOC application review, the project manager will inform you of the correct numbers to use and they may or may not be able to provide a reason. This will mainly happen with older grants as recent changes have been made to the application review page in OKGRANTS that allow space for review comments concerning the beneficiary numbers and if changes were needed.
Q. The issue is that more frequently there is diminished responses to RFQ’s because the Engineering Firms think that a Firm is chosen in advance. What can be done to improve the Request for Proposal (RFP) process in procuring Engineering Services? Any Suggestions?

A. Suggestions:
1. Put a statement up front that any proposals submitted will be rated and ranked based on information provided for the type of improvement needed;
2. make it known up front in the solicitation that the UGLG does not currently have an engineer and that the Board is seeking firms with experience in the type of infrastructure needed, reviewing past projects, interviewing, and checking references;
3. Need to know options in design: maybe include that the UGLG may or may not retain the services of engineer that provided preliminary work & cost estimate however will be very receptive to other experienced firms as it’s in their best interest in obtaining design options and confidence in who is selected for the work;
4. Include direct solicit process - use email as part of the solicitation process;
5. Involve the Board in developing good rating criteria for fairness
DISCUSSION ITEMS SUBMITTED:

1. Annual plan update and related application changes...
   - Public Input Sessions....what is the process and how will folks know of any proposed application changes in order to comment? It would be helpful to know when the sessions are and provide the link to the draft plan for review.

2. Update for CDBG projects on ODOC website...
   - CDBG Project Location Map...On the CDBG home page on the website it references the 2018 project location map. It has been updated to 2019 but not 2020. It would also be helpful to list the project type rather than the set-aside under which the grantee applied.

3. A lot of items are added to UGLG agendas and sometimes not sure how specific to be...
   - Do you think you could guide us on what needs to be on agendas for CDBG applications for approval? For Release of Funds approval? for Closeout Approval? (Examples submitted) It this too much? Too little? Are you looking for specific items to be approved? Or can we lump all activities into one agenda item?

4. Application Team - can they provide a review for what is expected from Income Surveys?
   - Applications fail due to not knowing that it was required to go outside of the town into other towns for the income survey (service area). Also not knowing that we cannot pull snippets from older active income surveys to use on target areas or, that a city-wide income survey will not work on all projects.
THANK YOU FOR ATTENDING!