

REPORTING

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CHAPTER 9: REPORTING

INTRODUCTION

This chapter provides overview of the federal and state reporting requirements related to Community Development Block Grant (CDBG) Program. It is important to use the correct reporting forms. Contact the assigned Division of Energy, Housing and Community Resources (DEHCR) Project Representative for the most current forms.

CDBG programs must report certain accomplishments semi-annually, while other accomplishments are reported annually. The *Grant Agreement* will designate document submission due dates and activity completion benchmarks for the project. UGLGs are required to follow the *Grant Agreement Time Table*. See Attachment 9-E for a sample *Grant Agreement Time Table*.

IMPORTANT REMINDER!

Reporting requirements are subject to change at any time during the performance period per HUD and DEHCR requirements.

The following required reporting forms are attached to this chapter:

- *Semi-Annual Summary Narrative Report* (Attachment 9-A) and *Instructions* (Attachment 9-B);
- *Semi-Annual CDBG Data Report* (Attachment 9-C) and *Instructions* (Attachment 9-C1), comprised of:
 - Semi-annual Labor Standards data reporting;
 - Semi-annual MBE/WBE data reporting; and
 - Semi-annual Section 3 data reporting;
- *CDBG Jobs Project Self Certification Report (ED/PFED only)* (Attachment 9-F) and *CDBG Jobs Project Employee Self Certification Forms* (Attachment 9-F3);
- *Single Audit Statement (Template)* (Attachment 9-G/Attachment 9-H);
- *Client Income Certification Report* (Attachment 9-I(1)) and *Client Income Certification Forms* (Attachment 9-J(1));
- *CV Client Income Certification Report* (Attachment 9-I(2)) and *CV Client Income Certification Forms* (Attachment 9-J(2)); and
- *Semi-Annual CDBG-CV Microenterprise Self Certification Report* (Attachment 9-N), *CV Microenterprise Owner Self Certification Forms* (Attachment 9-O), and *CV Microenterprise Employee Self Certification Forms* (Attachment 9-P)).

If the assigned DEHCR Project Representative has provided additional instruction or updated forms, please use that guidance.

It is the responsibility of the UGLG to monitor and report on the performance of sub-recipients and contractors during the contractual performance period. The UGLG **must** submit complete reports to DEHCR in a timely manner.

Review the *Reporting Requirements Summary* (Attachment 9-D) for more information on required reporting forms and deadlines. Refer to the other chapters in this Handbook to confirm compliance with reporting requirements.

The timeliness of reporting is critical to maintain project compliance and avoid disruption in the CDBG payment approval process. **Lack of timely reporting will impact the processing of payment requests.**

IMPORTANT REMINDER!

Failure to complete and submit all required reports in a timely manner will impact the processing of payment requests.

SUBMITTAL

Reports are to be submitted electronically via email to the DEHCR. The reports should be emailed to the DEHCR staff member assigned as the CDBG Project Representative or to the DEHCR CDBG Program email address (if the CDBG Project Representative email address is unknown) at DOACDBG@wisconsin.gov.

Disclaimer: Reporting requirements are subject to change at any time during the performance period per HUD and DEHCR requirements.

SEMI-ANNUAL SUMMARY NARRATIVE REPORT

The *Semi-Annual Summary Narrative Report* (Attachment 9-A) is required to be submitted by the UGLG to DEHCR to provide updates on the status of the project activities. In addition, HUD monitors the states to report accomplishments promptly to Congress. The UGLG is required to follow their *Grant Agreement Time Table* and scope of work to provide accurate and timely information about the project.

The semi-annual reporting requirement begins when the UGLG receives a copy of the fully executed (i.e. “fully signed”) *Grant Agreement* from DEHCR, and continues until the UGLG has submitted the *Project Completion Report* and all supporting documents for the project.

The reporting periods and due dates for the *Semi-Annual Summary Narrative Report* (Attachment 9-A) are as follows:

- For the period of **April 1st through September 30th** – the report is due **no later than October 15th**! Reports received after this date will be considered late and may impact the approval of CDBG payment requests.
- For the period of **October 1st through March 31st** – the report is due **no later than April 15th**! Reports received after this date will be considered late and may impact the approval of CDBG payment requests.

DEHCR reserves the right to modify reporting periods and due dates for the *Semi-Annual Summary Narrative Report*, as needed.

IMPORTANT REMINDER!

The semi-annual reporting requirement begins upon CDBG Award or when the *Grant Agreement* is fully executed (i.e. signed by DOA), whichever is specified in the Award Letter; and continues until the UGLG has submitted the *Project Completion Report* and all supporting documents for the project.

LABOR STANDARDS REPORTING

The U.S. Department of Labor (USDOL) requires federal agencies administering programs subject to Davis-Bacon and Related Acts (DBRA) and Contract Work Hours and Safety Standards Act (CWHSSA) to furnish a labor standards enforcement reporting form. For CDBG projects, labor standards data are reported on the semi-annual ***CDBG Data Report (Attachment 9-C)***. If the assigned DEHCR Project Representative has provided additional instruction or updated forms, use that guidance.

The *CDBG Data Report* (Attachment 9-C) is due to DEHCR per the *Grant Agreement Time Table*. This report is often due prior to the end of the reporting period. If there is additional activity between the report due date and the end of the reporting period, the UGLG may include the previously unreported information with the next report.

The reporting periods and due dates for the semi-annual labor standards data reporting are as follows unless the UGLG is notified by the DEHCR Project Representative of another submission date:

- For the period of **April 1st through September 30th** – the report is due **no later than September 25th**. Reports received after this date will be considered late and may impact the approval of CDBG payment requests.
- For the period of **October 1st through March 31st** – the report is due **no later than March 25th**. Reports received after this date will be considered late and may impact the approval of CDBG payment requests.

DEHCR reserves the right to modify reporting periods and due dates for the *LSE*R as needed.

EQUAL OPPORTUNITY REPORTING

Chapter 6 of the *CDBG Implementation Handbook* describes the requirements related to Civil Rights Laws, including Equal Opportunity, Fair Housing and Section 3. Please refer to Chapter 6 for more detailed information.

Reporting for Equal Opportunity compliance includes:

- Semi-annual MBE/WBE data reporting on the ***CDBG Data Report (Attachment 9-C)***; and
- Fair Housing Actions reporting on the ***Semi-Annual Summary Narrative Report (Attachment 9-A)*** with supporting documentation.

The reporting periods and due dates for the semi-annual MBE/WBE data reporting are as follows unless the UGLG is notified by the DEHCR Project Representative of another submission date:

- For the period of **April 1st through September 30th** – the report is due **no later than September 25th**. Reports received after this date will be considered late and may impact the approval of CDBG payment requests.
- For the period of **October 1st through March 31st** – the report is due **no later than March 25th**. Reports received after this date will be considered late and may impact the approval of CDBG payment requests.

The reporting periods and due dates for Fair Housing are:

- *Fair Housing Actions* – follow the *Grant Agreement Time Table* for due date. Report progress on Fair Housing Actions on the *Semi-Annual Summary Narrative Report* (Attachment 9-A); and
- *Fair Housing Report* – follow the *Grant Agreement Time Table* for due date. Report completed Fair Housing Actions on the *Semi-Annual Summary Narrative Report* (Attachment 9-A) and submit required supporting documentation.

Completion of Fair Housing Actions and submission of supporting documentation must be completed by the dates stated in the *Grant Agreement* and must be submitted to DEHCR with the associated *Semi-Annual Summary Narrative Report* (Attachment 9-A).

SECTION 3 REPORTING

The Section 3 provisions require that recipients of CDBG funding, to the greatest extent feasible, provide job training, employment and contracting opportunities for low- or very low-income residents and businesses in connection with projects and activities in their communities. Section 3 data reporting includes:

- ***CDBG Data Report (Attachment 9-C)***: Required from the Grantee/UGLG to be submitted to DEHCR semi-annually for the period of October 1st – March 31st and annually for the period of October 1st – September 30th each year. The Grantee's/UGLG's Section 3 data reporting on the *CDBG Data Report* is to include the data from the Grantee as well as from all subrecipients, contractors, and sub-contractors.
- ***Section 3 Employee Income Certification*** – To be completed for or by employees working on the CDBG project for Section 3 status determinations. New hires for the project are to complete **Attachment 9-K(1)** (for projects awarded prior to November 30, 2020); and contractors/employers are to complete **Attachment 9-K(2)** for all employees working on the CDBG project (and have the option of having employees complete Part B the form) (for projects awarded on or after November 30, 2020).
- ***Section 3 Business Concerns Certification (Attachment 9-L)*** – To be completed by businesses/contractors (excluding non-profit organizations) to certify they are a Section 3 Business Concern for CDBG projects awarded on or after November 30, 2020. Businesses/contractors for CDBG projects awarded prior to November 30, 2020 may certify their Section 3 Business Concern status in **Part C of the Section 3 Employee Income Certification (Attachment 9-K(1))** form.
- ***Individual Contractor's Section 3 Report (Attachment 9-M)*** – To be completed by employers/contractors to report their semi-annual Section 3 data for the project. The employer/contractor may use this report or a similar document with the same information to report their Section 3 data for the reporting period.

More information on Section 3 requirements is included in Chapter 6: *Equal Opportunity, Fair Housing and Section 3*.

CDBG JOBS PROJECT EMPLOYEE SELF CERTIFICATION REPORT & FORMS

UGLGs overseeing a project funded with CDBG-Economic Development (CDBG-ED), CDBG-Public Facilities Economic Development (CDBG-PFED), and/or other similar LMI job creation project funding are required to submit the *CDBG Jobs Project Employee Self Certification Report* (Attachment 9-F) per the executed Grant Agreement Time Table. The *Report* is a summary of all *Employee Self Certification Forms* (Attachment 9-F3) submitted by employees at the point of hire during the reporting period. *CDBG Jobs Project Employee Self Certification Reports* are required semi-annually for the period of October 1st – March 31st and April 1st – September 30th each year, and upon Project Completion. The *Employee Self Certification Forms* (Attachment 9-F3) are linked under the *Resources* section of the [Bureau of Community Development](#) website (under the “Resources” section), and also on the [CDBG Implementation Handbook](#) website (under the “Chapter Attachments/Fillable Forms” section), and the template is shown in Attachment 9-F3 of this chapter. Refer to Attachment 9-F1 for a completed *CDBG Jobs Project Employees Self Certification Report Sample* completed form, and Attachment 9-F2 for the *CDBG Jobs Project Employee Self Certification Report Instructions*.

CLIENT INCOME CERTIFICATION REPORT & FORMS

UGLGs overseeing a projects that involve serving and tracking clientele, such as certain projects funded with CDBG Public Services (PS) or Coronavirus (CV) funds [*and certain Public Facilities (PF) or other projects for which beneficiary income data must be collected during or after a project, under very limited circumstances and only if specified in the UGLG’s Grant Agreement*] may be required to submit a *Client Income Certification Report* (Attachment 9-I(1) for non-CDBG-CV projects) or *CDBG-CV Client Income Certification Report* (Attachment 9-I(2) for CDBG-CV projects). The *Report* is a summary of all *Client Income Certification Forms* (Attachment 9-J(1) for non-CDBG-CV projects) or *CDBG-CV Client Income Certification Forms* (Attachment 9-J(2) for CDBG-CV projects) received during the reporting period, completed by clients at the point of first receiving services/benefits. *Client Income Certification Reports* may be due semi-annually or annually based on the grant Award Date and as listed in the *Attachment A: Time Table* in the UGLG’s *Grant Agreement*, and with the submission of the *Project Completion Report* (refer to Chapter 10 of the [CDBG Implementation Handbook](#) for project completion documentation requirements). Only UGLGs directed by DEHCR need to have these documents completed and submitted for the project.

MICROENTERPRISE CERTIFICATION REPORT & FORMS

CDBG Coronavirus (CDBG-CV) projects require semi-annual reporting for the project, reporting data for the owners and employees of the microenterprises. The UGLG must submit the *CDBG-CV Microenterprise Project Self Certification Report* (Attachment 9-N) semi-annually. The *Report* is a summary of all *CV Microenterprise Owner Self Certification Forms* (Attachment 9-O) and *CV Microenterprise Employee Self Certification Forms* (Attachment 9-P) completed by microenterprise owners and their employees who first receive benefits from the project during the reporting period. The *CV Microenterprise Project Self Certification Reports* are due semi-annually as listed in the *Attachment A: Time Table* in the UGLG’s *Grant Agreement*, and with the submission of the *Project Completion Report* (refer to Chapter 10 of the [CDBG](#)

[Implementation Handbook](#) for project completion documentation requirements). Only UGLGs directed by DEHCR need to have these documents completed and submitted for their project.

SINGLE AUDIT REPORTING

In addition to semi-annual reports, the UGLG must establish whether the Single Audit requirements listed in Uniform Guidance 2 CFR 200 apply. The UGLG must submit a *Single Audit Statement* letter (Attachments 9-G if a Single Audit is required or Attachment 9-H if a Single Audit is not required for the previous calendar year) to DEHCR **by January 15th** of each calendar year for the duration of the *Grant Agreement*.

A *Single Audit Report* is due for each calendar year in which the UGLG expends \$750,000 or more in federal funds for the duration of the *Grant Agreement* and through the final year in which the CDBG funds were expended. The UGLG must submit a *Single Audit Report* to the Federal Audit Clearinghouse (FAC) within 30 days of the Single Audit being completed, and no later than September 30th of each year in which the UGLG was subject to completing a Single Audit. The UGLG must submit to DEHCR the record of submission of the *Single Audit Report* to the FAC (i.e., a copy of the FAC email confirmation of submission for Single Audit Reports submitted prior to October 1, 2023; and the record confirming submission printed to PDF from the FAC website for Single Audit Reports submitted on or after October 1, 2023). Further information regarding Annual Single Audit requirements and instructions on how to submit a *Single Audit Report* are listed below.

The UGLG must maintain all Single Audit Statements, Single Audit Reports (if Single Audits were required), and SF-SAC forms and copies of FAC emails confirming Single Audit Report submissions (for Single Audits submitted prior to October 1, 2023) or the record confirming submission printed from the FAC website (for Single Audits submitted on or after October 1, 2023) in the CDBG project file.

DOCUMENTS ESTABLISHING REQUIREMENTS

The Office of Management and Budget establishes uniform audit requirements for non-federal entities, including state and local governments that administer federal awards, [Uniform Guidance 2 CFR 200 Subpart F](#). The Act requires non-federal entities that expend a total amount of federal awards, whether received directly from federal awarding agencies or indirectly from pass-through entities, equal to or more than \$750,000 in any fiscal year, to have either a single audit or a program-specific audit. Compliance requirements are provided on the most recently updated [Federal Audit Clearinghouse – Compliance Supplements page](#) at: <https://www.fac.gov/resources/compliance/>.

The *State Single Audit Guidelines* (Guidelines) issued by the Wisconsin Department of Administration (DOA) establishes standardized procedures and guidelines for the implementation of single audit requirements for non-federal entities. The *State Single Audit Guidelines* (SSAG) are found at: <https://doa.wi.gov/Pages/StateFinances/State-Single-Audit-Guidelines.aspx>. The *Guidelines* require non-federal entities subject to the requirements of the Act to include selected state financial assistance programs in the scope of the single audit. These programs, and related compliance supplements, are identified in appendices to the *Guidelines*.

DETERMINING THE ENTITY(IES) TO BE AUDITED

The non-federal entity or government unit to whom a grant is awarded and with whom DOA contracts may be subject to an audit in accordance with the Uniform Guidance 2 CFR 200 (See “III. Determining the Type of Audit Required”). This government unit is responsible for

submission of its single audit reporting package to DOA as described more fully below, whether or not the entity has sub-granted the award to another governmental unit.

In addition to the above, if the governmental unit to whom a grant is awarded and with whom DOA contracts passes some or all of the funds through to another general purpose unit of government or a special purpose unit of government such as a sanitary district, that unit of government may also be subject to a single audit in accordance with the Uniform Guidance (see “III. Determining the Type of Audit Required”). To determine whether the second general purpose unit of government, special purpose unit of government, or sub-grantee/sub-recipient must conduct an audit of its own or its auditing requirement may be fulfilled through the audit of the Department of Administration’s Grantee, review the Governmental Accounting Standards Board (GASB) Statement No. 14, “The Financial Reporting Entity”, or consult an independent CPA.

DETERMINING THE TYPE OF AUDIT REQUIRED

The federal law requires non-federal entities that “expend” a combined total of \$750,000 or more of federal funds in a year to have a single audit conducted for that year in accordance with the requirements of Uniform Guidance [2 CFR 200 Subpart E](#) and [Subpart F](#). The single audit should cover the operations of the entire local government or, at the option of the local government, the audit may include a series of audits that cover departments, agencies, and other organizational units which expended or otherwise administered federal awards. Non-federal entities that expend \$750,000 or more on one federal program only in any fiscal year may elect to have a program-specific audit conducted in accordance with the Uniform Guidance. [Attachment 9-G: *Single Audit Statement (Audit Required)*]

Non-federal entities that expend less than \$750,000 in total federal awards in a year are exempt for that fiscal year from compliance with the audit requirements of the Uniform Guidance. The exemption does not, however, relieve a non-federal entity from compliance with any provision of a federal statute or regulation that requires the entity to maintain records concerning federal awards, or permits a federal agency, pass-through entity, or the Comptroller General access to such records. [Attachment 9-H: *Single Audit Statement (Audit Not Required)*]

AUDITEE RESPONSIBILITIES

Refer to [2 CFR 200.508](#). As additional information, the auditee is required to:

1. Identify in its accounts the federal awards received and expended. The identification should include the Catalog of Federal Domestic Assistance (CFDA) title and number, name of the federal agency, and name of the pass-through entity. The CFDA for the Small Cities CDBG State Program passed through the Department of Administration is 14.228, and the federal agency is the U.S. Department of Housing and Urban Development. Each similar source or cluster should be subtotaled. [Note: Documents with the CFDA numbers listed for other federal funding provided through State agencies are linked under “Part 2: State Awarding Agency Appendices” in the “Audit Info.” field for each agency on the [SSAG website](#).]
2. Maintain internal control over federal programs. To gain an understanding of the concepts of establishing effective internal control structure policies and procedures, consult the independent auditor or refer to the appendix of the AICPA Audit and Accounting Guide, *Audits of State and Local Governmental Units*.
3. Comply with laws, regulations, and the provisions of contracts or grant agreements related to each of its federal programs. These requirements may be found in the award agreement, this Handbook, [Uniform Guidance 2 CFR 200 Subpart F](#), and [Uniform Guidance 2 CFR 200 Compliance Supplement](#) (i.e., *Compliance Supplement*). A copy

of *Compliance Supplement* documents are linked on the most recently updated [Federal Audit Clearinghouse – Compliance Supplements page](#) at:
<https://www.fac.gov/resources/compliance/>.

4. Prepare appropriate financial statements, including the schedule of expenditures of federal awards.
5. Arrange for and ensure that audits required by the Uniform Guidance are properly performed. See [Procuring Governmental Audit Services](#) at:
<https://us.aicpa.org/content/dam/aicpa/interestareas/governmentauditquality/resources/auditeeresourcecenter/downloadabledocuments/rfppracticeaid.pdf>.

When procuring professional services, the UGLG must follow Chapter 66 of the Wisconsin Statutes regarding procurement. In addition, the UGLG must comply with Uniform Guidance 2 CFR 200 because federal funds are being used to pay for the services.

In procuring audit services, the auditee must follow the Circular's procurement procedures, which accommodate Chapter 66 of Wisconsin Statutes and comply with OMB Circular A-102. Requests for proposals should clearly state the objective and scope of the audit. Factors to consider in evaluating proposals include:

- a. Responsiveness to the Request for Proposals (RFP);
 - b. Relevant experience in the performance of Single Audits;
 - c. Availability of staff with professional qualifications and technical abilities;
 - d. The result of external peer review; and
 - e. Price.
6. Follow up and take corrective action on audit findings, including preparation of summary schedule of prior audit and corrective action plan.
 7. Submit the single audit reporting package, when due. Audits must be completed and submitted within 30 days after the issuance of the auditor's reports to the auditee, but no later than nine (9) months after the end of the audit period.

SINGLE AUDIT REPORTING PACKAGE

The required elements of a single audit reporting package are summarized in [2 CFR 200.515](#) and on the updated [FAC Instructions website](#): <https://www.fac.gov/resources/instructions/>.

PROGRAM-SPECIFIC AUDIT REPORTS

Refer to [2 CFR 200.507](#). The required elements of a program-specific audit, for eligible non-federal entities, are dependent on whether a program-specific audit guide is available from the Office of the Inspector General of the federal agency. If a program-specific audit guide is available, the auditor must follow the guide and Generally Accepted Government Auditing Standards. In the absence of a program-specific audit guide, the following is required:

1. Financial statements of the federal program, notes to the financial statements and auditor's opinion;
2. Report on internal control related to the federal programs;
3. Report on compliance with laws, regulations and provisions of contracts or grant agreements;
4. Schedule of findings and questioned costs for the federal program that includes a summary of the auditor's results and findings and questioned costs;
5. Summary schedule of prior audit findings; and

6. Corrective action plan for all audit findings or explanation as to why one was not necessary.

SUBMISSION TO CLEARINGHOUSE

All auditees must submit to the Federal Audit Clearinghouse (FAC) the data collection form and one (1) copy of the reporting package described on the FAC website. The auditee must electronically submit to the FAC.

The former FAC information and submission website (prior to October 1, 2023) is:

<https://harvester.census.gov/facweb/>

Update 10/1/2023: Effective October 1, 2023, the FAC oversight changed from the U.S. Census Bureau to the Federal General Services Administration (GSA). Single Audit Reports are to be submitted on the new FAC information and submission website at:

<https://www.fac.gov/> [Instructions are at: <https://www.fac.gov/resources/instructions/>].

SUBMISSION TO PASS-THROUGH ENTITIES

Sub-recipients should review the most current version of the State Single Audit Guidelines (SSAG) for submission requirements at: <https://doa.wi.gov/Pages/StateFinances/State-Single-Audit-Guidelines.aspx>.

REPORT RETENTION REQUIREMENTS

One (1) copy of the FAC email submission confirmation and Form SF-SAC data form (*required for Single Audit Report submissions prior to October 1, 2023*) or one (1) copy of the record confirming Report submission printed to PDF from the FAC website (on or after October 1, 2023) and one copy of the complete reporting package must be kept on file for three (3) years from the date of FAC submission.

AUDIT COSTS

The costs of audits made in accordance with the provisions of [2 CFR 200 Subpart E](#) are allowable charges to the CDBG program unless the non-federal entity expended less than \$750,000 of federal awards and is, therefore, exempted by the Act from having an audit conducted. In accordance with [2 CFR 200 Subpart E](#), "Special Considerations for States, Local Governments and Indian Tribes," the percentage of costs charged to the CDBG program for a single audit shall not exceed the percentage derived by dividing federal funds expended by total funds expended by the recipient or sub-recipient (including program matching funds) during the fiscal year.

QUALITY CONTROL REVIEWS

The *Guidelines* require state cognizant agencies to conduct quality control reviews (QCRs) of the work of independent auditors performing single audits to ascertain they have adhered to required auditing standards and guidelines, and the scope of the audit was sufficient to provide a reasonable chance of detecting material errors, deficiencies, or irregularities, if any. Annually, a minimum number of single audits are randomly selected by DOA for quality control review. DOA may also judgmentally select audits for quality control review based on the results of a desk review.

The chief elected official of a non-federal entity selected for QCR will be asked to authorize its independent auditor to allow the DOA Auditor to review audit work papers supporting the audit. Written results of the review are provided to the non-federal entity, independent auditor, and DOA within two (2) weeks of completion of the QCR. The non-federal entity is expected to work with its independent auditor to correct deficiencies, if any, noted during the QCR.

ATTACHMENTS

Attachments for this chapter are listed below:

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ATTACHMENT 9-H1	SINGLE AUDIT STATEMENT [AUDIT NOT REQUIRED] (SAMPLE)
ATTACHMENT 9-I(1):	CLIENT INCOME CERTIFICATION REPORT (<i>Non-CDBG-CV</i>) (TEMPLATE)
ATTACHMENT 9-I(1)A:	CLIENT INCOME CERTIFICATION REPORT (<i>Non-CDBG-CV</i>) (SAMPLE)
ATTACHMENT 9-I(2):	CDBG-CV CLIENT INCOME CERTIFICATION REPORT (TEMPLATE)
ATTACHMENT 9-J(1):	CLIENT INCOME CERTIFICATION FORM (<i>Non-CDBG-CV</i>) (TEMPLATE)
ATTACHMENT 9-J(2):	CDBG-CV CLIENT INCOME CERTIFICATION FORM (TEMPLATE)
ATTACHMENT 9-K(1):	SECTION 3 EMPLOYEE INCOME CERTIFICATION FORM (TEMPLATE) [<i>Projects Awarded prior to 11/30/2020</i>]

- ATTACHMENT 9-K(2): SECTION 3 EMPLOYEE INCOME CERTIFICATION FORM (TEMPLATE) [*Projects Awarded on or after 11/30/2020*]
- ATTACHMENT 9-L: SECTION 3 BUSINESS CONCERN CERTIFICATION FORM (TEMPLATE) [*Projects Awarded on or after 11/30/2020*]
- ATTACHMENT 9-M: INDIVIDUAL CONTRACTOR'S SEMI-ANNUAL SECTION 3 REPORT FORM (TEMPLATE)
- ATTACHMENT 9-M1: INDIVIDUAL CONTRACTOR'S SEMI-ANNUAL SECTION 3 REPORT FORM (INSTRUCTIONS)
- ATTACHMENT 9-N: CDBG-CV MICROENTERPRISE SELF CERTIFICATION REPORT (TEMPLATE)
- ATTACHMENT 9-O: CDBG-CV MICROENTERPRISE OWNER SELF CERTIFICATION FORMS (TEMPLATE)
- ATTACHMENT 9-P: CDBG-CV MICROENTERPRISE EMPLOYEE SELF CERTIFICATION FORMS (TEMPLATE)

ATTACHMENT 9-A: SEMI-ANNUAL SUMMARY NARRATIVE REPORT (TEMPLATE)

*The current 'fillable' version of this Attachment is on the [CDBG Implementation Handbook website](#)
(under the Chapter Attachments/Fillable Forms section)*

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

SEMI-ANNUAL SUMMARY NARRATIVE REPORT (9-A)
Wisconsin Community Development Block Grant (CDBG) Program

PART 1: GRANTEE INFORMATION	
A. NAME OF UGLG / GRANTEE:	
B. DEHCR GRANT AGREEMENT #:	
C. BUSINESS OR SUBRECIPIENT NAME(S):	
D. REPORTING PERIOD: <i>(select one)</i>	
<input type="checkbox"/> October 1, 20__ through March 31, 20__. <input type="checkbox"/> April 1, 20__ through September 30, 20__.	

PART 2: CERTIFICATION OF SEMI-ANNUAL SUMMARY NARRATIVE REPORT					
A. REPORTING DOCUMENTS DUE THIS REPORTING PERIOD:					
DOCUMENTS:	Attached:	Separate Submission:	Pending/ Not Yet Complete:	Not Due This Period:	Not Applicable to Project:
1) Semi-Annual CDBG Project Data Report & Supporting Documents <i>(due Sept. 25th and March 25th semi-annually)</i>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
2) Section 5.7 Labor Standards Enforcement Report(s) <i>(due with the CDBG Data Report for any contractor with wage underpayments violations exceeding \$1,000)</i>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
3) Semi-Annual Summary Narrative Supporting Documents as listed in Part 3-A. within this Report	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
4) CDBG Jobs Project Employee Self-Cert. Report & Forms <i>(due in accordance with Grant Agreement Timetable if applicable)</i>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
5) Client Income Cert. Report & Forms (non-CV) <i>(due in accordance with Grant Agreement Timetable if applicable)</i>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
6) CDBG-CV Client Income Cert. Report & Forms <i>(due in accordance with Grant Agreement Timetable if applicable)</i>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
7) CDBG-CV Microenterprise Cert. Report & Forms <i>(due in accordance with Grant Agreement Timetable if applicable)</i>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
8) Single Audit Statement <i>(due January 15th annually)</i>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
9) Single Audit Report Federal Audit Clearinghouse (FAC) Receipt Confirmation Email due to DEHCR <i>(due Sept. 30th or within 30 days of Audit, whichever is earlier, if UGLG is subject to a Single Audit for a calendar year (CY))</i>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
10) Other Report(s) Due This Period <i>(Specify):</i>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

B. SEMI-ANNUAL SUMMARY NARRATIVE REPORT CERTIFICATION		
<i>The Preparer and UGLG Approver as named below hereby certify that, to the best of their knowledge, the information provided in Parts 1-8 in this Semi-Annual Summary Narrative Report is accurate, and this Report has been authorized by the UGLG to be submitted to DEHCR:</i>		
PREPARER* Full Name and Title:		PREPARER Company/ Organization:
PREPARER Telephone #:	PREPARER Certification Date:	PREPARER Email:
<input type="checkbox"/> Check here if the Preparer is also an Authorized UGLG Approver <i>(must be an official or employee of UGLG).</i> * UGLG Approver section below does not need to be completed if the Preparer is an Authorized UGLG Approver.		
UGLG APPROVER* Full Name and Title:		UGLG APPROVAL Date:
UGLG APPROVER Telephone #:		UGLG APPROVER Email: **

**Note: UGLG Approver must be copied (cc'd) on email submission of this report to DEHCR.

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PART 3: SUMMARY NARRATIVE OBJECTIVES & ACCOMPLISHMENTS

A. ATTACHMENTS INCLUDED WITH THIS SEMI-ANNUAL SUMMARY NARRATIVE REPORT:

Check the box(es) on the left for each documentation item that is included with this Report:

- Fair Housing Actions Documentation (list document(s) below if included)
- 2nd Citizen Participation Public Hearing Documentation (list document(s) below if included)
- Other Supporting Documents (list document(s) below if included)

Documents Attached to/with this Report – If documents are attached to the same email transmission with this Report, then check the box on the left and list each document attached to this Report below (delete the numbering below and replace it with an entry of "None" if no documents are attached).

- 1)
- 2)
- 3)
- 4)
- 5)

B. ACTIONS DUE PRIOR TO CONSTRUCTION / PLANNING / ACQUISITION / PUBLIC SERVICES:

(as listed in CDBG Grant Agreement/Contract Timetable for project and/or Handbook)

For each action/item due prior to the start of Construction, Planning, Acquisition, and/or Public Services, depending on the nature of the project and terms of the CDBG Grant Agreement/Contract, enter the status the item/activity and the date(s) of completion and/or submission of documents to DEHCR, as applicable. The status of the item must be reported, indicating whether it is Not Applicable, Not Started, In Progress, or Completed. Select "N/A" only for an item that is not applicable to the project. Otherwise select one of the other options. Enter the completion date(s) and/or Submission Date for documents due to DEHCR.

OBJECTIVES	ACCOMPLISHMENTS / STATUS UPDATE				Completion and/or Submission Date(s) and/or Other Information Regarding Status:
DUE PRIOR TO CONSTRUCTION / ACQUISITION / PLANNING / PUBLIC SERVICES:	Not Applicable	Not Started	In Progress	Completed	
1) Execute Grant Agreement.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
2) Establish record keeping system.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
3) Establish financial management system.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
4) Procure engineering and/or other professional services, if contracting with third-party firm(s) for the professional services.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
5) Enter into the grant administration contract, if contracting with a third-party for grant administration. Submit executed contract to DEHCR CDBG Project Representative.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
6) Enter into a Developer's Agreement with the business(es) (for ED and PFED projects only). Submit executed agreement to DEHCR.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	

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Semi-Annual Summary Narrative Report

OBJECTIVES	ACCOMPLISHMENTS / STATUS UPDATE				Completion and/or Submission Date(s) and/or Other Information Regarding Status:
	Not Applicable	Not Started	In Progress	Completed	
DUE PRIOR TO CONSTRUCTION / ACQUISITION / PLANNING / PUBLIC SERVICES:					
7) Enter into Subrecipient Agreement(s) with the subrecipient(s) implementing the project (for projects for which there is one or more subrecipients only). Submit executed agreement(s) to DEHCR.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
8) Complete Environmental Report (ER) and obtain official approval from DEHCR Environmental Desk. Submit copy of approval from DEHCR Environmental Desk to DEHCR CDBG Project Representative.		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Status details provided in Part 6 of this Report.
9) Submit "Notice of Acquisition/Relocation to DEHCR" form, if any acquisition (including easements) and/or relocation will be required for the CDBG project.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
10) Complete acquisition and relocation requirements for property purchase, easement(s), etc., if applicable to project.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
11) Obtain federal Davis-Bacon wage rates, if federal labor standards are applicable to project.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
12) Submit Labor Standards Officer Designee form to DEHCR.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
13) Complete Record of Wage Decision Selection Form prior to publishing the advertisement for bids, if federal labor standards are applicable to project; and submit to DEHCR CDBG Project Representative for review.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
14) Prepare and solicit construction and/or demolition related bids.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
15) Check for wage decision updates prior to bid opening in accordance with the guidance in the CDBG Implementation Handbook (Chapter 3 and Chapter 7) and inform potential bidders of updates, if federal labor standards are applicable to project.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
16) Submit Advertisement for Bids with Affidavit of Publication to DEHCR.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
17) Submit detailed Bid Tabulation to DEHCR.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
18) Submit Notice of Contractor Award to DEHCR.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
19) Submit Force Account Affidavit to DEHCR. (if using Force Account workers (i.e., municipal employees for construction work))	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
20) Other (Specify):	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
21) Other (Specify):	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	

TEMPLATE

C. REPORTING DOCUMENTS DUE THIS REPORTING PERIOD – ADDITIONAL INFORMATION:

(as listed in CDBG Grant Agreement/Contract Timetable for project and/or Handbook)

Division of Energy, Housing and Community Resources

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This section is to provide additional information for the reports due this Reporting Period (as listed in Part 2 of this Report). For each Reporting item listed, check the appropriate box to indicate if it is not applicable, or provide the date(s) of submission to DEHCR if not attached with this Report, or provide information regarding the status of the Reporting item due (as applicable).

OBJECTIVES	ACCOMPLISHMENTS / STATUS UPDATE		
SEMI-ANNUAL REPORTING DOCUMENTS:	Submission Date(s) if Not Attached with this Report:	Not Applicable:	OTHER STATUS INFORMATION: <i>For Reporting documents due this Reporting Period but have a Pending/Not Yet Complete status, provide details on the status. Add comments regarding other Reporting items, as needed.</i>
1) Semi-Annual CDBG Project Data Report & Supporting Documents		<input type="checkbox"/>	
2) Section 5.7 Labor Standards Enforcement Report(s) (Provide Contractor Name(s) in "Other Status Information" column)		<input type="checkbox"/>	
3) Summary Narrative Supporting Documents (as listed in in Part 3-A within this Report)		<input type="checkbox"/>	
4) CDBG Jobs Project Employee Self-Cert. Report & Forms		<input type="checkbox"/>	
5) Client Income Cert. Report & Forms (non-CV)		<input type="checkbox"/>	
6) CDBG-CV Client Income Cert. Report & Forms		<input type="checkbox"/>	
7) CDBG-CV Microenterprise Cert. Report & Forms		<input type="checkbox"/>	
8) Other (Specify):		<input type="checkbox"/>	

TEMPLATE

D. SINGLE AUDIT STATEMENT STATUS:

The Single Audit Statement is due for all Grantees/UGLGs on January 15th each year.

- o *If the Single Audit Statement for the year shown was due during the reporting period, then enter the submission date or explain any pending status.*
- o *If the Statement for the year shown is not yet due, then enter "Not Yet Due."*
- o *If the Statement will not be applicable to the project based on the project's Performance Period dates, then enter "N/A."*
- o *Provide an update on any information that was entered on previous Semi-Annual Summary Narrative Reports if the status has changed.*

Refer to Chapter 9 of the CDBG Implementation Handbook and the UGLG's Grant Agreement Timetable for the requirements for Single Audit Statements.

OBJECTIVES	ACCOMPLISHMENTS / STATUS UPDATE
1) Statement CY2023 due January 15, 2024:	
2) Statement CY2024 due January 15, 2025:	
3) Statement CY2025 due January 15, 2026:	
4) Statement CY2026 due January 15, 2027:	
5) Statement CY2027 due January 15, 2028:	

Division of Energy, Housing and Community Resources

Semi-Annual Summary Narrative Report

E. SINGLE AUDIT REPORT STATUS:

A Single Audit Report is due annually only for Grantees/UGLGs that expend \$750,000 or more in federal funds in a calendar year (CY), and the Report is to be submitted to the Federal Audit Clearinghouse (FAC) within 30 days of completing the Single Audit or September 30th following the applicable CY, whichever is earlier. Only the FAC receipt confirmation email is to be submitted to DEHCR.

- o *If the UGLG is subject to a Single Audit for the CY shown and the Report was due within the reporting period, then enter the date of the Report submission to the FAC and date of the FAC receipt confirmation email copy submission to DEHCR; or enter the progress/status of the Single Audit Report.*
- o *If the UGLG is subject to a Single Audit for the CY shown but it is not yet due, then enter "Not Yet Due."*
- o *If the UGLG is not subject to a Single Audit for the calendar year (CY) shown, then enter "N/A."*
- o *If it is not yet known whether the UGLG will be subject to a Single Audit for the CY shown, then enter "TBD" (for "To Be Determined.")*

Refer to Chapter 9 of the CDBG Implementation Handbook and the UGLG's Grant Agreement Timetable for the requirements for Single Audit reporting.

OBJECTIVES	ACCOMPLISHMENTS / STATUS UPDATE
1) Single Audit Report CY2022 (due no later than 9/30/23*):	
2) Single Audit Report CY2023 (due no later than 9/30/24*):	
3) Single Audit Report CY2024 (due no later than 9/30/25*):	
4) Single Audit Report CY2025 (due no later than 9/30/26*):	
5) Single Audit Report CY2026 (due no later than 9/30/27*):	
6) Single Audit Report CY2027 (due no later than 9/30/28*):	

TEMPLATE

PART 4: UPDATE ON CONSTRUCTION PROGRESS

Check the appropriate box below to indicate whether the project has construction in the Scope of Work. If construction is in the scope, then click the entry field to select the dates for the Start Date Deadline and Completion Date Deadline and provide an update on construction progress and describe any problems or delays, if applicable.

CHECK ONE:

- This Project does have construction activities in the Scope of Work and the progress update is provided below.
- This project does not have any construction activities in the Scope of Work.

CONSTRUCTION START DATE DEADLINE (AS LISTED IN GRANT AGREEMENT TIMETABLE):

CONSTRUCTION COMPLETION DATE DEADLINE (AS LISTED IN GRANT AGREEMENT TIMETABLE):

CONSTRUCTION PROGRESS:

PART 5: UPDATE ON PREVIOUS REPORTING PERIOD(S)

DELAYED OBJECTIVE(S)	ACCOMPLISHMENTS / STATUS UPDATE
<i>List items due in previous Reporting Period(s) for which Accomplishments were not reported or were reported as having a Pending/ Incomplete status in previous Summary Narrative(s) and for which an update has not already been provided in Parts 2-4 of this Report, if applicable. Enter "None" if there are no updates required.</i>	<i>Report Accomplishments/Updates for any item due in previous Reporting Period(s) for which an update on their previous Incomplete/Pending status has not already been provided in Parts 2-4 of this Report, if applicable. Enter "None" if there are no updates required.</i>

PART 6: ENVIRONMENTAL REPORT STATUS

Provide an update on progress made toward completing the Environmental Report requirements of the CDBG project.

OBJECTIVES	ACCOMPLISHMENTS / STATUS UPDATE
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Division of Energy, Housing and Community Resources

Semi-Annual Summary Narrative Report

PART 6: ENVIRONMENTAL REPORT STATUS

<p>Complete Environmental Review (ER) and receive Environmental Certification from DEHCR Environmental Desk prior to: <i>(Check all activities listed below that apply to the CDBG Project – Click on the checkbox to check/uncheck an item):</i></p> <ul style="list-style-type: none"> <input type="checkbox"/> Acquisition <input type="checkbox"/> Construction <input type="checkbox"/> Demolition <input type="checkbox"/> Environmental Remediation <input type="checkbox"/> Economic Development Activities <input type="checkbox"/> Planning Activities <input type="checkbox"/> Public Services Activities <input type="checkbox"/> Other <i>(Specify):</i> 	<p>Environmental Review Status:</p> <ul style="list-style-type: none"> <input type="checkbox"/> In Progress <input type="checkbox"/> Submitted to DEHCR and Under Review <input type="checkbox"/> Completed and Certification (or Concurrence) Letter has been Issued by DEHCR <p>If Submitted to DEHCR, enter Date(s) of Submission:</p> <p>If Certified by DEHCR, enter Date of Certification from DEHCR:</p> <p>Describe any issues or delays and the plan for resolution if not yet resolved, as applicable:</p>
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PART 7: FAIR HOUSING ACTIONS COMPLETED

Provide an update on progress made toward completing the Fair Housing Actions requirement of the CDBG project.

REMINDER: *The UGLG's Fair Housing Actions (FHAs) must be completed by the due date listed in the Grant Agreement Timetable (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.*

[If FHAs were already reported in a previous Semi-Annual Summary Narrative Report, then copy the information from the previous reporting into this Report.]

Refer to Chapter 6 of the CDBG Implementation Handbook for guidance on the Fair Housing Actions documentation.

OBJECTIVES	ACCOMPLISHMENTS / STATUS UPDATE
Fair Housing Actions (FHA) Completion Due Date:	[Enter FHA Completion Due Date]
Fair Housing Actions (FHA) Documents Submission Due Date:	[Enter FHA Documents Due Date]
Fair Housing Action #1: Enter Action Required	Date(s) Action was Completed: Describe Action Taken: Document(s) and Date(s) of Submission to DEHCR:
Fair Housing Action #2: Enter Action Required	Date(s) Action was Completed: Describe Action Taken: Document(s) and Date(s) of Submission to DEHCR:

Division of Energy, Housing and Community Resources

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PART 7: FAIR HOUSING ACTIONS COMPLETED	
Fair Housing Action #3: Enter Action Required	Date(s) Action was Completed: Describe Action Taken: Document(s) and Date(s) of Submission to DEHCR:
Additional Fair Housing Action(s) (if applicable): Enter Additional Action(s) Required (if applicable)	Date(s) Action was Completed: Describe Action Taken: Document(s) and Date(s) of Submission to DEHCR:
Describe Issues and/or Delays in completing the Fair Housing Actions and Resolution, or Plan for Resolution if not yet Resolved, if applicable:	ISSUES/DELAYS:

PART 8: 2ND CITIZEN PARTICIPATION PUBLIC HEARING STATUS	
Provide an update on progress made toward completing the 2nd Citizen Participation Public Hearing requirement of the CDBG project. <b style="color: red;">REMINDER: The UGLG's 2nd Citizen Participation Public Hearing <u>must</u> be held after construction has started on the project and the hearing and documents submission to DEHCR must be completed by the due dates listed in the Grant Agreement Timetable (Attachment A). Failure to meet this deadline will result in the denial of CDBG payment requests until the hearing is completed. [If 2nd Public Hearing information was already reported in a previous Semi-Annual Summary Narrative Report, then copy the information from the previous reporting into this Report.] Refer to Chapter 6 of the CDBG Implementation Handbook for guidance on the 2nd Public Hearing.	
OBJECTIVES	ACCOMPLISHMENTS / STATUS UPDATE
2nd Public Hearing Completion Due Date:	[Enter Hearing Completion Due Date]
2nd Public Hearing Documents Submission Due Date:	[Enter Hearing Documents Due Date]
2nd Public Hearing Notice Date(s):	
Method(s) of Giving/Advertising Hearing Notice(s):	
2nd Public Hearing Date:	[Select Date of 2nd Hearing]

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PART 8: 2ND CITIZEN PARTICIPATION PUBLIC HEARING STATUS	
<p>2nd Public Hearing Documents Attached to this Report (or enter Date(s) they were submitted to DEHCR, if previously submitted):</p> <p><i>[Refer to UGLG's Citizen Participation Plan and Chapter 6 of the CDBG Implementation Handbook for guidance on notices required.]</i></p>	<p><u>Hearing Documents Attached:</u></p> <ul style="list-style-type: none"> <input type="checkbox"/> No documents attached at this time. <input type="checkbox"/> Copy(ies) of Notice(s) of Hearing <input type="checkbox"/> Publisher's Affidavit of Publication of Notice <input type="checkbox"/> Clerk's Certification of Posting <i>(if required)</i> <input type="checkbox"/> Hearing Minutes <input type="checkbox"/> 2nd Public Hearing Certification Form <i>(Attachment G-F of the CDBG Implementation Handbook)</i> <input type="checkbox"/> Hearing Sign-In/Attendance List <i>(if not in Minutes)</i> <input type="checkbox"/> Other (Specify): <p>OR</p> <p><u>Dates of Hearing Documents Submission(s):</u></p>
<p>Describe Issues and/or Delays in completing the 2nd Public Hearing and the Plan for Resolution if not yet Resolved, if applicable:</p>	

TEMPLATE

ATTACHMENT 9-A1: SEMI-ANNUAL SUMMARY NARRATIVE REPORT (SAMPLE)

Also refer to Attachment 9-E for a Sample of the Grant Agreement Time Table.

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

SEMI-ANNUAL SUMMARY NARRATIVE REPORT (9-A)
Wisconsin Community Development Block Grant (CDBG) Program

PART 1: GRANTEE INFORMATION	
A. NAME OF UGLG / GRANTEE:	Village of Yourtown
B. DEHCR GRANT AGREEMENT #:	CDBG-PF 23-99
C. BUSINESS OR SUBRECIPIENT NAME(S):	Yourville Recreation Association
D. REPORTING PERIOD: <i>(select one)</i>	
<input type="checkbox"/> October 1, 20__ through March 31, 20__	
<input checked="" type="checkbox"/> April 1, 2024 through September 30, 2024	

PART 2: CERTIFICATION OF SEMI-ANNUAL SUMMARY NARRATIVE REPORT					
A. REPORTING DOCUMENTS DUE THIS REPORTING PERIOD:					
DOCUMENTS:	Attached:	Separate Submission:	Pending/ Not Yet Complete:	Not Due This Period:	Not Applicable to Project:
1) Semi-Annual CDBG Project Data Report & Supporting Documents <i>(due Sept. 25th and March 25th semi-annually)</i>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>		
2) Section 5.7 Labor Standards Enforcement Report(s) <i>(due with the CDBG Data Report for any contractor with wage underpayments violations exceeding \$1,000)</i>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
3) Semi-Annual Summary Narrative Supporting Documents as listed in Part 3-A. within this Report	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
4) CDBG Jobs Project Employee Self-Cert. Report & Forms <i>(due in accordance with Grant Agreement Timetable if applicable)</i>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>
5) Client Income Cert. Report & Forms (non-CV) <i>(due in accordance with Grant Agreement Timetable if applicable)</i>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>
6) CDBG-CV Client Income Cert. Report & Forms <i>(due in accordance with Grant Agreement Timetable if applicable)</i>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>
7) CDBG-CV Microenterprise Cert. Report & Forms <i>(due in accordance with Grant Agreement Timetable if applicable)</i>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>
8) Single Audit Statement <i>(due January 15th annually)</i>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	
9) Single Audit Report Federal Audit Clearinghouse (FAC) Receipt Confirmation Email due to DEHCR <i>(due Sept. 30th or within 30 days of Audit, whichever is earlier, if UGLG is subject to a Single Audit for a calendar year (CY))</i>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
10) Other Report(s) Due This Period <i>(Specify):</i>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		<input checked="" type="checkbox"/>

B. SEMI-ANNUAL SUMMARY NARRATIVE REPORT CERTIFICATION		
<i>The Preparer and UGLG Approver as named below hereby certify that, to the best of their knowledge, the information provided in Parts 1-8 in this Semi-Annual Summary Narrative Report is accurate, and this Report has been authorized by the UGLG to be submitted to DEHCR:</i>		
PREPARER* Full Name and Title: John Smith, Community Planner	PREPARER Company/ Organization: ZZZ Consulting, Inc.	
PREPARER Telephone #: (608) 555-9999	PREPARER Certification Date: 10/14/2024	PREPARER Email: jsmith@zzzconsulting.com
<input type="checkbox"/> Check here if the Preparer is also an Authorized UGLG Approver <i>(must be an official or employee of UGLG).*</i> UGLG Approver section below does not need to be completed if the Preparer is an Authorized UGLG Approver.		
UGLG APPROVER* Full Name and Title: Jane Doe, Village President	UGLG APPROVAL Date: 10/14/2024	
UGLG APPROVER Telephone #: (608) 555-0000	UGLG APPROVER Email: ** mayor@yourtown.wi.us	

**Note: UGLG Approver must be copied (cc'd) on email submission of this report to DEHCR.

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Attach09-A Form v.2023-09-12

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

SAMPLE

PART 3: SUMMARY NARRATIVE OBJECTIVES & ACCOMPLISHMENTS

A. ATTACHMENTS INCLUDED WITH THIS SEMI-ANNUAL SUMMARY NARRATIVE REPORT:

Check the box(es) on the left for each documentation item that is included with this Report:

- Fair Housing Actions Documentation (list document(s) below if included)
- 2nd Citizen Participation Public Hearing Documentation (list document(s) below if included)
- Other Supporting Documents (list document(s) below if included)

Documents Attached to/with this Report – If documents are attached to the same email transmitted with this Report, then check the box on the left and list each document attached to/with this Report below (or delete the numbering below and replace it with an entry of "None" if no documents are attached):

- 1) 2nd Public Hearing Notice
- 2) 2nd Public Hearing Publisher's Affidavit of Publication from Yourville Gazette
- 3) 2nd Public Hearing Certification form
- 4) 2nd Public Hearing Minutes
- 5) Force Account Affidavit
- 6) Acquisition for Sole Benefit of Property Owner Letter (Property: 101 North St., Yourtown)

B. ACTIONS DUE PRIOR TO CONSTRUCTION / PLANNING / ACQUISITION / PUBLIC SERVICES:

(as listed in CDBG Grant Agreement/Contract Timetable for project and/or Handbook)

For each action/item due prior to the start of Construction, Planning, Acquisition, and/or Public Services, depending on the nature of the project and terms of the CDBG Grant Agreement/Contract, enter the status the item/activity and the date(s) of completion and/or submission of documents to DEHCR, as applicable. The status of the item must be reported, indicating whether it is Not Applicable, Not Started, In Progress, or Completed. Select "N/A" only for an item that is not applicable to the project. Otherwise select one of the other options. Enter the completion date(s) and/or Submission Date for documents due to DEHCR.

OBJECTIVES	ACCOMPLISHMENTS / STATUS UPDATE				Completion and/or Submission Date(s) and/or Other Information Regarding Status:
	Not Applicable	Not Started	In Progress	Completed	
DUE PRIOR TO CONSTRUCTION / ACQUISITION / PLANNING / PUBLIC SERVICES:					
1) Execute Grant Agreement.		<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	Executed 9/27/2023.
2) Establish record keeping system.		<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	Established.
3) Establish financial management system.		<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	Established.
4) Procure engineering and/or other professional services, if contracting with third-party firm(s) for the professional services.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	Procured engineering firm prior to CDBG award.
5) Enter into the grant administration contract, if contracting with a third-party for grant administration. Submit executed contract to DEHCR CDBG Project Representative.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	Grant Admin. Contract executed 8/2/2023.
6) Enter into a Developer's Agreement with the business(es) (for ED and PFED projects only). Submit executed agreement to DEHCR.	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	

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OBJECTIVES	ACCOMPLISHMENTS / STATUS UPDATE				Completion and/or Submission Date(s) and/or Other Information Regarding Status:
DUE PRIOR TO CONSTRUCTION / ACQUISITION / PLANNING / PUBLIC SERVICES:	Not Applicable	Not Started	In Progress	Completed	
7) Enter into Subrecipient Agreement(s) with the subrecipient(s) implementing the project (for projects for which there is one or more subrecipients only). Submit executed agreement(s) to DEHCR.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	Executed 8/25/2023. Submitted to DEHCR 9/12/2023.
8) Complete Environmental Report (ER) and obtain official approval from DEHCR Environmental Desk. Submit copy of approval from DEHCR Environmental Desk to DEHCR CDBG Project Representative.		<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	Status details provided in Part 6 of this Report.
9) Submit "Notice of Acquisition/Relocation to DEHCR" form, if any acquisition (including easements) and/or relocation will be required for the CDBG project.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	Submitted Notice to DEHCR 8/13/2023 for acquisition of property at 108 North St., Yourville (project site location). Discovered additional property temporary easement at driveway is needed at 104 North St. on 9/23/2024 – sole benefit to property owner. Letter attached with this report and on file.
10) Complete acquisition and relocation requirements for property purchase, easement(s), etc., if applicable to project.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	Completed acquisition for project site (purchase closing) on 10/5/2023. Sole Benefit easement letter completed and submitted with this report.
11) Obtain federal Davis-Bacon wage rates, if federal labor standards are applicable to project.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	Obtained for bid packet on 10/20/2023.
12) Submit Labor Standards Officer Designee form to DEHCR.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	Submitted to DEHCR 10/20/2023.
13) Complete Record of Wage Decision Selection Form prior to publishing the advertisement for bids, if federal labor standards are applicable to project; and submit to DEHCR CDBG Project Representative for review.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	Completed and submitted to DEHCR on 10/20/2023.
14) Prepare and solicit construction and/or demolition related bids.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	Ad for bids published 10/26, 11/2, and 11/9/2023.
15) Check for wage decision updates prior to bid opening in accordance with the guidance in the CDBG Implementation Handbook (Chapter 3 and Chapter 7) and inform potential bidders of updates, if federal labor standards are applicable to project.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	Checked Friday 11/10/2023. Applicable wage decisions changed. Updated bid packet and informed potential bidders of update. Bid opening held 11/16/2023.
16) Submit Advertisement for Bids with Affidavit of Publication to DEHCR.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	Submitted 12/14/2023.

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OBJECTIVES	ACCOMPLISHMENTS / STATUS UPDATE				Completion and/or Submission Date(s) and/or Other Information Regarding Status:
	Not Applicable	Not Started	In Progress	Completed	
DUE PRIOR TO CONSTRUCTION / ACQUISITION / PLANNING / PUBLIC SERVICES:					
17) Submit detailed Bid Tabulation to DEHCR.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	Submitted 12/14/2023.
18) Submit Notice of Contractor Award to DEHCR.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	Submitted 12/14/2023.
19) Submit Force Account Affidavit to DEHCR (if using Force Account workers (i.e., municipal employees for construction work)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	Determined 9/23/2024 that Force Account work is necessary to complete storm ditch work. Force Account Affidavit attached to this report.
20) Other (Specify):	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
21) Other (Specify):	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	

C. REPORTING DOCUMENTS DUE THIS REPORTING PERIOD – ADDITIONAL INFORMATION:

(as listed in CDBG Grant Agreement/Contract Timetable for project and/or Handbook)

This section is to provide additional information for the reports due this Reporting Period (as listed in Part 2 of this Report). For each Reporting item listed, check the appropriate box to indicate if it is not applicable, or provide the date(s) of submission to DEHCR if not attached with this Report, or provide information regarding the status of the Reporting item due (as applicable).

OBJECTIVES	ACCOMPLISHMENTS / STATUS UPDATE		OTHER STATUS INFORMATION: For Reporting documents due this Reporting Period but have a Pending/Not Yet Complete status, provide details on the status. Add comments regarding other Reporting items, as needed.
	Submission Date(s) if Not Attached with this Report:	Not Applicable:	
SEMI-ANNUAL REPORTING DOCUMENTS:			
1) Semi-Annual CDBG Project Data Report & Supporting Documents	9/25/2024	<input type="checkbox"/>	
2) Section 5.7 Labor Standards Enforcement Report(s) (Provide Contractor Name(s) in "Other Status Information" column)	9/25/2024	<input type="checkbox"/>	
3) Summary Narrative Supporting Documents (as listed in in Part 3-A within this Report)		<input type="checkbox"/>	See Part 3-A.
4) CDBG Jobs Project Employee Self-Cert. Report & Forms		<input checked="" type="checkbox"/>	
5) Client Income Cert. Report & Forms (non-CV)		<input checked="" type="checkbox"/>	
6) CDBG-CV Client Income Cert. Report & Forms		<input checked="" type="checkbox"/>	
7) CDBG-CV Microenterprise Cert. Report & Forms		<input type="checkbox"/>	
8) Other (Specify):		<input checked="" type="checkbox"/>	

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D. SINGLE AUDIT STATEMENT STATUS:

The Single Audit Statement is due for all Grantees/UGLGs on January 15th each year.

- o *If the Single Audit Statement for the year shown was due during the reporting period, then enter the submission date or explain any pending status.*
- o *If the Statement for the year shown is not yet due, then enter "Not Yet Due."*
- o *If the Statement will not be applicable to the project based on the project's Performance Period dates, then enter "N/A."*
- o *Provide an update on any information that was entered on previous Semi-Annual Summary Narrative Reports if the status has changed.*

Refer to Chapter 9 of the [CDBG Implementation Handbook](#) and the UGLG's Grant Agreement Timetable for the requirements for Single Audit Statements.

OBJECTIVES	ACCOMPLISHMENTS / STATUS UPDATE
1) Statement CY2023 due January 15, 2024:	Submitted 1/14/2024.
2) Statement CY2024 due January 15, 2025:	Not Yet Due.
3) Statement CY2025 due January 15, 2026:	Not Yet Due.
4) Statement CY2026 due January 15, 2027:	N/A.
5) Statement CY2027 due January 15, 2028:	N/A.

E. SINGLE AUDIT REPORT STATUS:

A Single Audit Report is due annually only for Grantees/UGLGs that expend \$750,000 or more in federal funds in a calendar year (CY), and the Report is to be submitted to the Federal Audit Clearinghouse (FAC) within 30 days of completing the Single Audit or September 30th following the applicable CY, whichever is earlier. Only the FAC receipt confirmation email is to be submitted to DEHCR.

- o *If the UGLG is subject to a Single Audit for the CY shown and the Report was due within the reporting period, then enter the date of the Report submission to the FAC and date of the FAC receipt confirmation email copy submission to DEHCR; or enter the progress/status of the Single Audit Report.*
- o *If the UGLG is subject to a Single Audit for the CY shown but it is not yet due, then enter "Not Yet Due."*
- o *If the UGLG is not subject to a Single Audit for the calendar year (CY) shown, then enter "N/A."*
- o *If it is not yet known whether the UGLG will be subject to a Single Audit for the CY shown, then enter "TBD" (for 'To Be Determined.')*

Refer to Chapter 9 of the [CDBG Implementation Handbook](#) and the UGLG's Grant Agreement Timetable for the requirements for Single Audit reporting.

OBJECTIVES	ACCOMPLISHMENTS / STATUS UPDATE
1) Single Audit Report CY2022 (due no later than 9/30/23*):	N/A.
2) Single Audit Report CY2023 (due no later than 9/30/24*):	Submitted Report to FAC 8/22/2024. Submitted FAC receipt confirmation email to DEHCR 8/25/2024.
3) Single Audit Report CY2024 (due no later than 9/30/25*):	TBD.
4) Single Audit Report CY2025 (due no later than 9/30/26*):	TBD.
5) Single Audit Report CY2026 (due no later than 9/30/27*):	N/A.
6) Single Audit Report CY2027 (due no later than 9/30/28*):	N/A.

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PART 4: UPDATE ON CONSTRUCTION PROGRESS

Check the appropriate box below to indicate whether the project has construction in the Scope of Work. If construction is in the scope, then click the entry field to select the dates for the Start Date Deadline and Completion Date Deadline and provide an update on construction progress and describe any problems or delays, if applicable.

CHECK ONE:

- This Project **does** have construction activities in the Scope of Work and the progress update is provided below.
- This project **does not** have any construction activities in the Scope of Work.

CONSTRUCTION START DATE DEADLINE (AS LISTED IN GRANT AGREEMENT TIMETABLE):
7/1/2024

CONSTRUCITON COMPLETION DATE DEADLINE (AS LISTED IN GRANT AGREEMENT TIMETABLE):
10/31/2025

CONSTRUCTION PROGRESS:
Construction started 5/10/2024. Approx. 50% complete. Experienced supply chain delays for building materials – construction shall continue upon receiving materials. Completion remains on schedule to finish by 10/31/2025.

PART 5: UPDATE ON PREVIOUS REPORTING PERIOD(S)

DELAYED OBJECTIVE(S)	ACCOMPLISHMENTS / STATUS UPDATE
<p><i>List items due in previous Reporting Period(s) for which Accomplishments were not reported or were reported as having a Pending/ Incomplete status in previous Summary Narrative(s) and for which an update has not already been provided in Parts 2-4 of this Report, if applicable. Enter "None" if there are no updates required.</i></p> <p>None.</p>	<p><i>Report Accomplishments/Updates for any item due in previous Reporting Period(s) for which an update on their previous Incomplete/Pending status has not already been provided in Parts 2-4 of this Report, if applicable. Enter "None" if there are no updates required.</i></p> <p>None.</p>

PART 6: ENVIRONMENTAL REPORT STATUS

Provide an update on progress made toward completing the Environmental Report requirements of the CDBG project.

OBJECTIVES	ACCOMPLISHMENTS / STATUS UPDATE
<p>Complete Environmental Review (ER) and receive Environmental Certification from DEHCR Environmental Desk prior to: <i>(Check all activities listed below that apply to the CDBG Project – Click on the checkbox to check/uncheck an item):</i></p> <ul style="list-style-type: none"> <input checked="" type="checkbox"/> Acquisition <input checked="" type="checkbox"/> Construction <input type="checkbox"/> Demolition <input type="checkbox"/> Environmental Remediation <input type="checkbox"/> Economic Development Activities <input type="checkbox"/> Planning Activities <input type="checkbox"/> Public Services Activities <input type="checkbox"/> Other <i>(Specify):</i> 	<p>Environmental Review Status:</p> <ul style="list-style-type: none"> <input type="checkbox"/> In Progress <input type="checkbox"/> Submitted to DEHCR and Under Review <input checked="" type="checkbox"/> Completed and Certification (or Concurrence) Letter has been Issued by DEHCR <p>If Submitted to DEHCR, enter Date(s) of Submission: 3/21/2023</p> <p>If Certified by DEHCR, enter Date of Certification from DEHCR: 4/26/2023</p> <p>Describe any issues or delays and the plan for resolution if not yet resolved, as applicable: None.</p>

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PART 7: FAIR HOUSING ACTIONS COMPLETED

Provide an update on progress made toward completing the Fair Housing Actions requirement of the CDBG project.

REMINDER: *The UGLG's Fair Housing Actions (FHAs) must be completed by the due date listed in the Grant Agreement Timetable (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.*

[If FHAs were already reported in a previous Semi-Annual Summary Narrative Report, then copy the information from the previous reporting into this Report.]

Refer to Chapter 6 of the CDBG Implementation Handbook for guidance on the Fair Housing Actions documentation.

OBJECTIVES	ACCOMPLISHMENTS / STATUS UPDATE
Fair Housing Actions (FHA) Completion Due Date:	9/30/2024
Fair Housing Actions (FHA) Documents Submission Due Date:	10/15/2024
Fair Housing Action #1: Enact, strengthen, or advertise a local fair housing law,	Date(s) Action was Completed: 5/13/2023 Describe Action Taken: Updated Fair Housing Ordinance and passed resolution to adopt updated ordinance during CDBG Application preparation process – Approved at Village Board meeting 3/21/2023. Document(s) and Date(s) of Submission to DEHCR: Submitted updated Code of Ordinances copy and Resolution to Adopt Fair Housing Ordinance with CDBG Application on 5/13/2023.
Fair Housing Action #2: Send letters from the chief elected official of the local government to those in the business of selling, renting, or financing housing, encouraging them to adhere fully to the fair housing law.	Date(s) Action was Completed: 4/15/2024 Describe Action Taken: Emailed letters and Fair Housing brochures to realtors and bank loan managers and loan officers in Village of Yourville on 3/2/2024. Document(s) and Date(s) of Submission to DEHCR: Submitted letters and recipient list (with names and email addresses) to DEHCR on 4/15/2024.
Fair Housing Action #3: 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.	Date(s) Action was Completed: 3/15/2024 Describe Action Taken: Village President and Board made Proclamation endorsing Fair Housing at Board meeting 3/10/2024. Published meeting minutes and Proclamation on Village website. Document(s) and Date(s) of Submission to DEHCR: Submitted Proclamation, copy of webpages where the Proclamation and meeting minutes are posted to DEHCR on 4/15/2023

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PART 7: FAIR HOUSING ACTIONS COMPLETED	
Additional Fair Housing Action(s) (if applicable): None.	Date(s) Action was Completed: Describe Action Taken: Document(s) and Date(s) of Submission to DEHCR:
Describe Issues and/or Delays in completing the Fair Housing Actions and Resolution, or Plan for Resolution if not yet Resolved, if applicable:	ISSUES/DELAYS: None.

PART 8: 2ND CITIZEN PARTICIPATION PUBLIC HEARING STATUS	
Provide an update on progress made toward completing the 2nd Citizen Participation Public Hearing requirement of the CDBG project. <b style="color: red;">REMINDER: The UGLG's 2nd Citizen Participation Public Hearing <u>must</u> be held after construction has started on the project and the hearing and documents submission to DEHCR must be completed by the due dates listed in the Grant Agreement Timetable (Attachment A). Failure to meet this deadline will result in the denial of CDBG payment requests until the hearing is completed. [If 2nd Public Hearing information was already reported in a previous Semi-Annual Summary Narrative Report, then copy the information from the previous reporting into this Report.] Refer to Chapter 6 of the CDBG Implementation Handbook for guidance on the 2nd Public Hearing.	
OBJECTIVES	ACCOMPLISHMENTS / STATUS UPDATE
2nd Public Hearing Completion Due Date:	3/31/2025
2nd Public Hearing Documents Submission Due Date:	4/15/2025
2nd Public Hearing Notice Date(s):	8/3/2024 & 8/12/2024
Method(s) of Giving/Advertising Hearing Notice(s):	Published in Yourville Gazette; posted at Yourville Village Hall and Post Office
2nd Public Hearing Date:	8/19/2024

ATTACHMENT 9-B: SEMI-ANNUAL SUMMARY NARRATIVE REPORT (INSTRUCTIONS)

The current version of this Attachment is on the [CDBG Implementation Handbook website](#)
(under the Chapter Attachments/Fillable Forms section).

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Semi-Annual Summary Narrative Report Instructions

SEMI-ANNUAL SUMMARY NARRATIVE REPORT (INSTRUCTIONS) (9-B)

FOR ADDITIONAL GUIDANCE, REFER TO
CHAPTER 6: EQUAL OPPORTUNITY, FAIR HOUSING, AND SECTION 3 AND CHAPTER 9: REPORTING
IN THE [CDBG IMPLEMENTATION HANDBOOK](#).

1. PART 1: GRANTEE INFORMATION

A. NAME OF GRANTEE / UGLG:

Enter the name of the GRANTEE/UGLG (unit of general local government), e.g., Village of Yourtown.

B. DECHR GRANT AGREEMENT/CONTRACT #:

Enter the CDBG Grant Agreement/Contract number assigned by DEHCR, e.g., CDBG-PF 23-99.

C. BUSINESS OR SUBRECIPIENT(S) NAME:

Enter the Business or Subrecipient Name, if applicable, or enter "N/A." – A Business is applicable for a PFED, ED or other LMI Job Creation or Job Retention project. Certain types of CV projects also may have a Business subrecipient. Certain other CDBG projects may have one or more Subrecipients, when the UGLG applies for and receives a CDBG award on behalf of one or more other local government(s) or non-profit organization(s).

D. REPORTING PERIOD:

The reporting period refers to the current semi-annual reporting period for which the Summary Narrative (and supporting documents) are being submitted, which is either April 1st – September 30th or October 1st – March 31st because these are the semi-annual reporting period dates set by the U.S. Housing and Urban Development (HUD). Enter the last two digits of the reporting period year dates in the fields provided. Even if the reporting is for a shorter or longer period than the Reporting Period shown, such as when completing the first Summary Narrative for the project when activities from the Award Date through the end of the reporting period are reported, select one of the two reporting periods shown that reflects the applicable reporting period end date.

2. PART 2: CERTIFICATION OF SEMI-ANNUAL SUMMARY NARRATIVE REPORT

A. REPORTING DOCUMENTS DUE THIS REPORTING PERIOD:

For each of the reports listed in #1-#9, and any other report(s) due during the reporting period that are listed in #10 if applicable to the project (must be added by UGLG – if no additional reports, then enter "None"), check the appropriate box to indicate the status or non-applicability of the document, selecting one of the options shown:

- Attached – if the reporting document(s) is/are attached to the same email used for the transmission of the Semi-Annual Summary Narrative Report document;
- Separate Submission – if reporting document(s) has/have been submitted separately with a different email or on the same or a different date;
- Pending/Not Yet Complete – if reporting document(s) is/are due this reporting period but remain(s) pending and not yet complete, so will be submitted in the future;
- Not Due This Period – if the reporting document(s) is/are applicable to the project but not due for the current reporting period; or
- Not Applicable to Project – if the reporting document(s) is/are not required for/not applicable to the project.

B. SEMI-ANNUAL SUMMARY NARRATIVE REPORT CERTIFICATION:

Enter the PREPARER information and UGLG APPROVER information (if the Preparer is different than the authorized UGLG Approver). 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

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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.

The Semi-Annual Summary Narrative Report must be approved/certified by the UGLG/Grantee. If the Preparer is not an authorized UGLG Approver, then the UGLG Approver information must be entered. By entering the name, title, and contract information of the Preparer and UGLG Approver in Part 2-B. of this Report, the Preparer of the Report is certifying that the information provided in Parts 1-8 are accurate; and the person identified as the UGLG Approver is an employee or official from the UGLG, is authorized by the UGLG to review and approve the Report, certifies that the information provided in Parts 1-8 of the Report are accurate, and authorizes the Preparer to submit the Report to DEHCR on the UGLG's behalf.

If the person submitting the Report document(s) is not the authorized UGLG Approver, then the submitter must copy ('cc') the UGLG Approver when emailing the document(s) to DEHCR.

3. PART 3: SUMMARY NARRATIVE OBJECTIVES & ACCOMPLISHMENTS

A. ATTACHMENTS INCLUDED WITH THIS SEMI-ANNUAL SUMMARY NARRATIVE REPORT:

Check the appropriate boxes to indicate if any Fair Housing, 2nd Citizen Participation Public Hearing, and/or Other Supporting Documents are included/being submitted with this Semi-Annual Summary Narrative.

If documents are included/being submitted with the Summary Narrative Report, then check the appropriate box and list the specific documents included in the space provided.

B. ACTIONS DUE PRIOR TO CONSTRUCTION/PLANNING/ACQUISITION/PUBLIC SERVICES:

In the ACCOMPLISHMENTS / STATUS UPDATE column, for each item listed in the OBJECTIVES column enter the action(s) taken and date(s) of completion and/or date(s) of related document(s) submission to DEHCR, as applicable. Enter "N/A" only for items not applicable to the CDBG project. Add any items in #20-#21 in the OBJECTIVES column due prior to construction/ planning/ acquisition/public services delivery (as listed in the UGLG's CDBG Grant Agreement/Contract Timetable) but not already listed in in Part 3-B. Report their status in the ACCOMPLISHMENTS / STATUS UPDATE column. Copy and update status information reported on previous Summary Narrative Reports.

C. REPORTING DOCUMENTS DUE THIS REPORTING PERIOD – ADDITIONAL INFORMATION:

The semi-annual reporting documents listed in Part 2-A. of the Summary Narrative Report are listed in the OBJECTIVES column. If the reporting document(s) was/were submitted on a different date than the Summary Narrative Report, then enter the submission date(s) in the space provided. If the reporting document(s) is/are not applicable to the CDBG project, then check the "Not Applicable" box provided. In the ACCOMPLISHMENTS / STATUS UPDATE (Other Status Information) column, enter information regarding the status of any reports due for the reporting period that have a Pending/Not Yet Complete status (as reported in Part 2-A.); and add comments regarding other reporting items as needed/applicable. Add any reporting documents due in #8 in the OBJECTIVES column that are due for the reporting period (as listed in the UGLG's CDBG Grant Agreement/Contract Timetable) but not already listed in in Part 3-C in the "Objectives" column. Report their submission date(s) to DEHCR or their status if not yet submitted, as applicable, in the ACCOMPLISHMENTS / STATUS UPDATE column. Copy and update status information reported on previous Summary Narrative Reports.

D. SINGLE AUDIT STATEMENTS:

A Single Audit Statement is due annually for all UGLGs/CDBG projects, due January 15th each year during the project performance period and the year following the UGLG's final expenditure of all CDBG funds for the project. In the ACCOMPLISHMENTS / STATUS UPDATE column, enter the Single Audit Statement submission date for the calendar year (CY) shown, if it has been submitted to DEHCR; or enter "Not Yet Due" if it is not yet due for the CY shown; or enter "N/A" if the Statement for the CY shown will not be applicable to the project based on the project Performance Period dates listed in the UGLG's CDBG Grant Agreement/Contract.

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E. SINGLE AUDIT REPORTS:

Enter the Single Audit Report documents submission date(s) only if due during the reporting period. If the UGLG is subject to a Single Audit for the calendar year (CY) shown but it is not yet due, then enter "Not Yet Due." If the UGLG is not subject to a Single Audit for calendar year (CY) shown, enter "N/A." Otherwise, enter the date of the Report submission to the FAC and date of the FAC email confirmation copy submission to DEHCR; or enter the progress/status of the Single Audit Report. Refer to Chapter 9 of the *CDBG Implementation Handbook* and the UGLG's *Grant Agreement Timetable* for the requirements for Single Audit reporting. It is only due if the UGLG was subject to a Single Audit for the previous calendar year (as reported by the UGLG on the annual Single Audit Statement); and reporting of the status on this form is only due if the Single Audit Report due date was during the reporting period. The Single Audit Report is to be submitted to the Federal Audit Clearinghouse (FAC) by the UGLG (and a copy of the FAC email confirmation of receipt of the Single Audit Report is to be by the UGLG to the assigned DEHCR Project Representative). The due date is September 30th in the year following the calendar year that was subject to a Single Audit, or within 30 Days of Single Audit being completed, whichever date is *earlier*.)

4. PART 4: UPDATE ON CONSTRUCTION PROGRESS

Check the appropriate box provided to indicate whether the project has construction in the Scope of Work. If construction is in the scope, then click the entry field to select the dates for the Construction Start Date Deadline and Construction Completion Date Deadline, provide an update on construction progress, and describe any problems or delays, if applicable.

UGLGs that do not start construction or complete construction by the deadline dates are in non-compliance with the CDBG Grant Agreement. CDBG payments will not be issued when the UGLG is in a non-compliance status. In addition, continued delay in the construction start may result in the CDBG award being rescinded. Any construction costs incurred after the construction completion deadline date are ineligible costs and non-completion of construction activities may result in the entire project being deemed ineligible and the CDBG award being rescinded. Contact the assigned DEHCR Project Representative *immediately* regarding any delays pertaining to the construction timeline.

5. PART 5: UPDATE ON PREVIOUS REPORTING PERIOD(S)

In the DELAYED OBJECTIVE(S) column, list only those activities that were to be accomplished in a previous report, but had not been reported as completed, or had a status of being incomplete or pending in previous reporting, and that were not already updated in Parts 2-4 of the current Summary Narrative Report. In the ACCOMPLISHMENTS / STATUS UPDATE column, describe the progress made in detail for each delayed objective, any issues encountered, and their resolution. If all activities scheduled for previous reporting periods have been completed and reported, enter "None" in both columns of this entry field.

6. PART 6: ENVIRONMENTAL REPORT STATUS

Provide an update on progress made toward completing the Environmental Report (ER) requirements of the CDBG project. The OBJECTIVES column has the main objective already entered. Check the boxes for the Activities applicable to the project, for which the ER must be completed, submitted to DEHCR, and certified by DEHCR prior to the UGLG/Grantee proceeding with the activity. In the ACCOMPLISHMENTS/ STATUS UPDATE column, check the applicable box to indicate whether the Environmental Review is in progress, submitted to DEHCR and under review (not yet certified by DEHCR), or completed and certified by DEHCR (with the Certification or Concurrence letter issued by the DOA Environmental Desk to the UGLG). Enter the DEHCR certification/concurrence letter date, if applicable. Also enter any issues or delays encountered and the plan for resolution if not yet resolved, as applicable, or enter "None" if there are/were no issues. Copy and update information reported to DEHCR in previous Summary Narrative Reports.

Submit the Environmental Certification letter with the Report if it has been issued by the DOA DEHCR Environmental Desk and not previously submitted. Do not submit any other ER contents/documents with the

Division of Energy, Housing and Community Resources

Semi-Annual Summary Narrative Report Instructions

Semi-Annual Summary Narrative Report(s). The Environmental Report is to be submitted to the [DOA Environmental Desk](#), as specified in Chapter 4 of the [CDBG Implementation Handbook](#).

7. PART 7: FAIR HOUSING ACTIONS COMPLETED

Provide an update on progress made toward completing the Fair Housing Actions requirement of the CDBG project. In the OBJECTIVES column, enter the Fair Housing Actions that are required for the project (as listed in the *Grant Agreement (in Attachment F)*). In the ACCOMPLISHMENTS / STATUS UPDATE column, add the due date for the completion of the Fair Housing Actions and due date for the submission of the associated Fair Housing Actions documents to DEHCR, as listed in the *Grant Agreement Timetable (in Attachment A)*. Describe the progress made for each Action, listing the specific actions taken/activities completed, dates taken/completed, and the documents generated/completed. Describe any issues or delays and the plan for resolution if not yet resolved, if applicable. Copy and update information reported to DEHCR in previous Summary Narrative Reports.

List documents that are being submitted with the current Summary Narrative Report (or enter "See Part 3-A." to indicate they are listed in Part 3-A.), if applicable, or enter the date(s) of submission to DEHCR, if previously submitted. Submit supporting documentation with the current Summary Narrative Report if the Actions are completed and the documents have not been previously submitted to DEHCR. If the Actions are not yet due and no action has been taken, enter "No Action Taken – Not Yet Due" in the first FHA "Date(s) Action Was Completed" entry field in the ACCOMPLISHMENTS / STATUS UPDATE column. If no additional Actions were due/required and there were no issues/delays, then enter "None" for those entry fields.

The UGLG will be in non-compliance with the CDBG Grant Agreement if the FHA activities are not completed in accordance with the Timetable. The UGLG will be ineligible for CDBG payments while in a non-compliance status. The FHAs must also be completed prior to the final CDBG payment being issued, so if the UGLG is finishing the project early, then they may need to complete the FHAs earlier than listed in the Timetable to be eligible for the final CDBG payment.

8. PART 8: 2ND CITIZEN PARTICIPATION PUBLIC HEARING STATUS

Provide an update on progress made toward completing the Second (2nd) Citizen Participation Public Hearing requirement of the CDBG project. In the ACCOMPLISHMENTS / STATUS UPDATE column, enter the due date for the 2nd Public Hearing and the due date for the 2nd Public Hearing documents submission to DEHCR, as listed in the *Grant Agreement Timetable (in Attachment A)*. Describe the progress made toward completing the Public Hearing requirement, including Hearing Notice date(s), method(s) of giving/advertising the Notice, Hearing date, and check the appropriate boxes provided to indicate the associated documents being submitted with the Summary Narrative Report, if applicable, or enter the date(s) of submission to DEHCR, if previously submitted. Describe any issues or delays and plan for resolution if not yet resolved, if applicable. Copy and update information reported to DEHCR in previous Summary Narrative Reports.

Submit supporting documentation with this Report if not previously submitted to DEHCR. If the 2nd Public Hearing is not yet due and no action has been taken, check the box for, "No documents attached at this time," and enter "No Action Taken – Not Yet Due" in the "Dates of Hearing Documents Submission(s)" field.

The UGLG will be in non-compliance with the CDBG Grant Agreement if the 2nd Public Hearing activities are not completed in accordance with the Timetable. If the construction start date is delayed, which results in the 2nd Public Hearing needing to be delayed (given the 2nd Public Hearing must be held after construction has started on the project), then the UGLG must contact the assigned DEHCR Project Representative to request a change in the 2nd Public Hearing deadline date. The UGLG will be ineligible for CDBG payments while in a non-compliance status. The 2nd Public Hearing must also be completed prior to the final CDBG payment being issued, so if the UGLG is finishing the project early, then they may need to complete the 2nd Public Hearing earlier than listed in the Timetable to be eligible for the final CDBG payment.

BCD CDBG Implementation Handbook

ATTACHMENT 9-C: SEMI-ANNUAL CDBG DATA REPORT (TEMPLATE)

The current 'fillable' version of this Attachment is on the [CDBG Implementation Handbook website](#) (under the Chapter Attachments/Fillable Forms section).

Semi-Annual CDBG Data Report (MBE/WBE, Labor Standards Enforcement, and Section 3) (9-C)
Page 1 of 8

SEMI-ANNUAL CDBG DATA REPORT (MBE/WBE, Labor Standards Enforcement, and Section 3) (9-C)

Click on the red triangles in the upper right corner of cells throughout the electronic version of this form to view instructional/guidance notes.

Grantee/UGLG Name: **Grant AWARDED Before or On/After 11/30/2020?** **DEHCR Grant Agreement/Contract Number:**

Reporting Period (Choose ONE):

X	Year	
<input type="checkbox"/>	October 1 - March 31	
<input type="checkbox"/>	April 1 - September 30	

Approver's Name:

Approver's Title:

If the "Approver" is not the one submitting this Report to DEHCR, then they **MUST BE CARBON-COPIED** on the email submission.

Preparer's Name:

Preparer's Title:

Preparer's Phone No.:

Preparer's Email:

PART 1. CONSTRUCTION PERIOD

1(a). Construction Start Date:	<input type="text"/>
1(b). Construction End Date:	<input type="text"/>

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 = Hasidic Jews

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)	2(k)
	Construction Prime Contractor Name	Total Awarded Contract Amount (CDBG Project Activities Only)	Prime Contract Amt. MINUS Associated Subcontractor Amt(s)	Street Address	City	State / ZIP	Prime's FEIN # (XX - XXXXXXX)	Trade Code (See above.)	Prime's Race/ Ethnicity (See above.)	Women Owned Business? (Yes or No)	Section 3 Business? (Yes or No)
**** Information for CONSTRUCTION PRIME Contractors ****	Example Builders-R-Us Inc.	\$ 2,500,000.00	\$ 400,000.00	123 Main Street	Centerville	WI / 58724	88 - 5423726	2	3	Yes	Yes
	Prime Contractor #1	\$ -	\$ -			/ /		Not Assessed	Not Assessed	Not Assessed	Not Assessed
	Prime Contractor #2	\$ -	\$ -			/ /		Not Assessed	Not Assessed	Not Assessed	Not Assessed
	Prime Contractor #3	\$ -	\$ -			/ /		Not Assessed	Not Assessed	Not Assessed	Not Assessed
	Prime Contractor #4	\$ -	\$ -			/ /		Not Assessed	Not Assessed	Not Assessed	Not Assessed
	Prime Contractor #5	\$ -	\$ -			/ /		Not Assessed	Not Assessed	Not Assessed	Not Assessed
	Prime Contractor #6	\$ -	\$ -			/ /		Not Assessed	Not Assessed	Not Assessed	Not Assessed
	Prime Contractor #7	\$ -	\$ -			/ /		Not Assessed	Not Assessed	Not Assessed	Not Assessed
	Prime Contractor #8	\$ -	\$ -			/ /		Not Assessed	Not Assessed	Not Assessed	Not Assessed
	Prime Contractor #9	\$ -	\$ -			/ /		Not Assessed	Not Assessed	Not Assessed	Not Assessed
	Prime Contractor #10	\$ -	\$ -			/ /		Not Assessed	Not Assessed	Not Assessed	Not Assessed
	Prime Contractor #11	\$ -	\$ -			/ /		Not Assessed	Not Assessed	Not Assessed	Not Assessed
	Prime Contractor #12	\$ -	\$ -			/ /		Not Assessed	Not Assessed	Not Assessed	Not Assessed
	Prime Contractor #13	\$ -	\$ -			/ /		Not Assessed	Not Assessed	Not Assessed	Not Assessed
	Prime Contractor #14	\$ -	\$ -			/ /		Not Assessed	Not Assessed	Not Assessed	Not Assessed
	Prime Contractor #15	\$ -	\$ -			/ /		Not Assessed	Not Assessed	Not Assessed	Not Assessed
	Prime Contractor #16	\$ -	\$ -			/ /		Not Assessed	Not Assessed	Not Assessed	Not Assessed
	Prime Contractor #17	\$ -	\$ -			/ /		Not Assessed	Not Assessed	Not Assessed	Not Assessed
	Prime Contractor #18	\$ -	\$ -			/ /		Not Assessed	Not Assessed	Not Assessed	Not Assessed
	Prime Contractor #19	\$ -	\$ -			/ /		Not Assessed	Not Assessed	Not Assessed	Not Assessed
	Prime Contractor #20	\$ -	\$ -			/ /		Not Assessed	Not Assessed	Not Assessed	Not Assessed
	Total Construction Prime Contract Amounts:	\$ -	\$ -			/ /					

TEMPLATE

Semi-Annual CDBG Data Report
Attach09-C Form v.2023-09-15

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Semi-Annual CDBG Data Report (MBE/WBE, Labor Standards Enforcement, and Section 3) (9-C) Page 2 of 8

Grantee/UGLG Name: Grant **AWARDED Before or On/After 11/30/2020?** **On or After** DEHCR Grant Agreement/Contract Number:

Reporting Period (Choose **ONE**):

X	Year
<input type="checkbox"/>	<input type="checkbox"/>
October 1 - March 31	
<input type="checkbox"/>	<input type="checkbox"/>
April 1 - September 30	

Approver's Name:

Approver's Title:

If the "Approver" is not the one submitting this Report to DEHCR, then they **MUST BE CARBON-COPIED** on the email submission.

	2(a)	2(l)	2(m)-1		2(m)-2		2(m)-3		2(m)-4		2(n)-1	2(n)-2	2(o)
	Construction Prime Contractor Name	Contract Award Date (mm/dd/yyyy)	Wage Decision #1		Wage Decision #2		Wage Decision #3		Wage Decision #4		Bid Opening Date	Wage Decision Lock-In Date:	Construction Start Date
			(W#00## Mod. #)	(mm/dd/yyyy)	(W#00## Mod. #)	(mm/dd/yyyy)	(W#00## Mod. #)	(mm/dd/yyyy)	(W#00## Mod. #)	(mm/dd/yyyy)	(mm/dd/yyyy)	(mm/dd/yyyy)	(mm/dd/yyyy)
***** Information for CONSTRUCTION PRIME Contractors *****	Example Builders-R-Us Inc.	8/27/2019	WI 20190012, Mod. 10	7/6/2019	WI 20190015, Mod. 10	7/20/2019	WI 20190020, Mod. 10	7/13/20219	WI 20190008, Mod. 10	7/13/2019	8/7/2019	8/7/2019	10/7/2020
	Prime Contractor #1	0										1/0/1900	
	Prime Contractor #2	0										1/0/1900	
	Prime Contractor #3	0										1/0/1900	
	Prime Contractor #4	0										1/0/1900	
	Prime Contractor #5	0										1/0/1900	
	Prime Contractor #6	0										1/0/1900	
	Prime Contractor #7	0										1/0/1900	
	Prime Contractor #8	0										1/0/1900	
	Prime Contractor #9	0										1/0/1900	
	Prime Contractor #10	0										1/0/1900	
	Prime Contractor #11	0										1/0/1900	
	Prime Contractor #12	0										1/0/1900	
	Prime Contractor #13	0										1/0/1900	
	Prime Contractor #14	0										1/0/1900	
	Prime Contractor #15	0										1/0/1900	
	Prime Contractor #16	0										1/0/1900	
	Prime Contractor #17	0										1/0/1900	
	Prime Contractor #18	0										1/0/1900	
	Prime Contractor #19	0										1/0/1900	
	Prime Contractor #20	0										1/0/1900	

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Grantee/UGLG Name: (Grantee's Name)
Grant AWARDED Before *or* On/After 11/30/2020? On or After
DEHCR Grant Agreement/Contract Number: (Grant Agreement #)

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

Approver's Name:
Approver's Title:
*If the "Approver" is not the one submitting this Report to DEHCR, then they **MUST BE CARBON-COPIED** on the email submission.*

	2(p)	2(q)	2(r)	2(s)	2(t)	2(u)	2(k)	2(v)	2(w)	2(x)	2(y)	2(z)
	Construction Subcontractor Name	Subcontract Amount (CDBG Project Activities Only)	Street Address	City	State / ZIP	Prime Contractor FEIN # (XX - XXXXXXX)	Prime is Sec37	Subcontractor FEIN # (XX - XXXXXXX)	Subcontract Trade Code (See above.)	Subcontract Business' Race/Ethnicity (See above.)	Women Owned Business? (Yes or No)	Section 3 Business? (Yes or No)
Example	Budi-Rhodes Asphalt	\$ 45,000.00	201 Terrace Avenue	Centerville	WI / 58724	98 - 5560123	Yes	94 - 2890311	4	2	Yes	Yes
Subcontractor #1		\$ -			/		Not Answered		Not Answered	Not Answered	Not Answered	Not Answered
Subcontractor #2		\$ -			/		Not Answered		Not Answered	Not Answered	Not Answered	Not Answered
Subcontractor #3		\$ -			/		Not Answered		Not Answered	Not Answered	Not Answered	Not Answered
Subcontractor #4		\$ -			/		Not Answered		Not Answered	Not Answered	Not Answered	Not Answered
Subcontractor #5		\$ -			/		Not Answered		Not Answered	Not Answered	Not Answered	Not Answered
Subcontractor #6		\$ -			/		Not Answered		Not Answered	Not Answered	Not Answered	Not Answered
Subcontractor #7		\$ -			/		Not Answered		Not Answered	Not Answered	Not Answered	Not Answered
Subcontractor #8		\$ -			/		Not Answered		Not Answered	Not Answered	Not Answered	Not Answered
Subcontractor #9		\$ -			/		Not Answered		Not Answered	Not Answered	Not Answered	Not Answered
Subcontractor #10		\$ -			/		Not Answered		Not Answered	Not Answered	Not Answered	Not Answered
Subcontractor #11		\$ -			/		Not Answered		Not Answered	Not Answered	Not Answered	Not Answered
Subcontractor #12		\$ -			/		Not Answered		Not Answered	Not Answered	Not Answered	Not Answered
Subcontractor #13		\$ -			/		Not Answered		Not Answered	Not Answered	Not Answered	Not Answered
Subcontractor #14		\$ -			/		Not Answered		Not Answered	Not Answered	Not Answered	Not Answered
Subcontractor #15		\$ -			/		Not Answered		Not Answered	Not Answered	Not Answered	Not Answered
Subcontractor #16		\$ -			/		Not Answered		Not Answered	Not Answered	Not Answered	Not Answered
Subcontractor #17		\$ -			/		Not Answered		Not Answered	Not Answered	Not Answered	Not Answered
Subcontractor #18		\$ -			/		Not Answered		Not Answered	Not Answered	Not Answered	Not Answered
Subcontractor #19		\$ -			/		Not Answered		Not Answered	Not Answered	Not Answered	Not Answered
Subcontractor #20		\$ -			/		Not Answered		Not Answered	Not Answered	Not Answered	Not Answered
Subcontractor #21		\$ -			/		Not Answered		Not Answered	Not Answered	Not Answered	Not Answered
Subcontractor #22		\$ -			/		Not Answered		Not Answered	Not Answered	Not Answered	Not Answered
Subcontractor #23		\$ -			/		Not Answered		Not Answered	Not Answered	Not Answered	Not Answered
Subcontractor #24		\$ -			/		Not Answered		Not Answered	Not Answered	Not Answered	Not Answered
Subcontractor #25		\$ -			/		Not Answered		Not Answered	Not Answered	Not Answered	Not Answered
Subcontractor #26		\$ -			/		Not Answered		Not Answered	Not Answered	Not Answered	Not Answered
Subcontractor #27		\$ -			/		Not Answered		Not Answered	Not Answered	Not Answered	Not Answered
Subcontractor #28		\$ -			/		Not Answered		Not Answered	Not Answered	Not Answered	Not Answered
Subcontractor #29		\$ -			/		Not Answered		Not Answered	Not Answered	Not Answered	Not Answered
Subcontractor #30		\$ -			/		Not Answered		Not Answered	Not Answered	Not Answered	Not Answered
Total Construction Subcontractor Amounts:		\$ -			/							

***** Information for CONSTRUCTION SUBCONTRACTORS *****

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Grantee/UGL Name: (Grantee's Name) Grant **AWARDED** Before *or* On/After 11/30/2020? On or After DEHCR Grant Agreement/Contract Number: (Grant Agreement #)

Reporting Period (Choose **ONE**):

<input checked="" type="checkbox"/>	October 1 - March 31	Year
<input type="checkbox"/>	April 1 - September 30	

Approver's Name:
 Approver's Title:

If the "Approver" is not the one submitting this Report to DEHCR, then they **MUST BE CARBON-COPIED** on the email submission.

PART 3. NON-CONSTRUCTION CONTRACTS AWARDED

	3(a)	3(b)	3(c)	3(d)	3(e)	3(f)	3(g)	3(h)	3(i)	3(j)	3(k)
	Non-Construction Prime Contractor Name	Non-Construction Prime Contract Amount Total (CDBG Project Activities Only)	Non-Construction Prime Contract Amount MINUS the Associated Subcontract Amounts	Street Address	City	State / ZIP	Prime Contractor FEIN # (XX - XXXXXXX)	Prime Contractor's Trade Code (See above.)	Prme's Business' Race/Ethnicity (See above.)	Women Owned Business? (Yes or No)	Section 3 Business? (Yes or No)
Information for NON-CONSTRUCTION PRIME Contractors	Example EFG Project Management, Inc.	\$ 900,000.00	\$ 100,000.00	123 Main Street	Madison	WI / 53703	12-3456789	5	2	No	Yes
	Non-Constr. Prime #1	\$ -	\$ -			/		Not Assessed	Not Assessed	Not Assessed	Not Assessed
	Non-Constr. Prime #2	\$ -	\$ -			/		Not Assessed	Not Assessed	Not Assessed	Not Assessed
	Non-Constr. Prime #3	\$ -	\$ -			/		Not Assessed	Not Assessed	Not Assessed	Not Assessed
	Non-Constr. Prime #4	\$ -	\$ -			/		Not Assessed	Not Assessed	Not Assessed	Not Assessed
	Non-Constr. Prime #5	\$ -	\$ -			/		Not Assessed	Not Assessed	Not Assessed	Not Assessed
	Non-Constr. Prime #6	\$ -	\$ -			/		Not Assessed	Not Assessed	Not Assessed	Not Assessed
	Non-Constr. Prime #7	\$ -	\$ -			/		Not Assessed	Not Assessed	Not Assessed	Not Assessed
	Non-Constr. Prime #8	\$ -	\$ -			/		Not Assessed	Not Assessed	Not Assessed	Not Assessed
	Non-Constr. Prime #9	\$ -	\$ -			/		Not Assessed	Not Assessed	Not Assessed	Not Assessed
	Non-Constr. Prime #10	\$ -	\$ -			/		Not Assessed	Not Assessed	Not Assessed	Not Assessed
	Non-Constr. Prime #11	\$ -	\$ -			/		Not Assessed	Not Assessed	Not Assessed	Not Assessed
	Non-Constr. Prime #12	\$ -	\$ -			/		Not Assessed	Not Assessed	Not Assessed	Not Assessed
	Non-Constr. Prime #13	\$ -	\$ -			/		Not Assessed	Not Assessed	Not Assessed	Not Assessed
	Non-Constr. Prime #14	\$ -	\$ -			/		Not Assessed	Not Assessed	Not Assessed	Not Assessed
	Non-Constr. Prime #15	\$ -	\$ -			/		Not Assessed	Not Assessed	Not Assessed	Not Assessed
	Total Non-Construction Prime Contract	\$ -	\$ -								

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Semi-Annual CDBG Data Report (MBE/WBE, Labor Standards Enforcement, and Section 3) (9-C)

Grantee/UGL Name: Grant **AWARDED** Before *or* On/After 11/30/2020? DEHCR Grant Agreement/Contract Number:

Reporting Period (Choose **ONE**):

<input checked="" type="checkbox"/>	X	Year
<input type="checkbox"/>	October 1 - March 31	
<input type="checkbox"/>	April 1 - September 30	

Approver's Name:

Approver's Title:

If the "Approver" is not the one submitting this Report to DEHCR, then they **MUST BE CARBON-COPIED** on the email submission.

	3(l)	3(m)	3(n)	3(o)	3(p)	3(q)	3(k)	3(r)	3(s)	3(t)	3(u)	3(v)
	Non-Construction Subcontractor Name	Non-Construction Subcontract Amount Total (CDBG Project Activities Only)	Street Address	City	State / ZIP	Prime Contractor FEIN # (XX - XXXXXXX)	Prime is Sec 3?	Subcontractor FEIN # (xx - xxxxxxx)	Subcontr. Trade Code (See above.)	Subcontr. Business' Race/Ethnicity (See above.)	Subcontr. is a Women Owned Business? (Yes or No)	Subcontr. is a Section 3 Business? (Yes or No)
Example	XYZ Relocation Specialists, LLC	\$ 100,000.00	123 Wisconsin Avenue	Janesville	WI / 53546	12-3456789	Yes	11-2223333	7	1	Yes	No
Non-Contr. Sub #1		\$ -					Not Answered		Not Answered	Not Answered	Not Answered	Not Answered
Non-Contr. Sub #2		\$ -					Not Answered		Not Answered	Not Answered	Not Answered	Not Answered
Non-Contr. Sub #3		\$ -					Not Answered		Not Answered	Not Answered	Not Answered	Not Answered
Non-Contr. Sub #4		\$ -					Not Answered		Not Answered	Not Answered	Not Answered	Not Answered
Non-Contr. Sub #5		\$ -					Not Answered		Not Answered	Not Answered	Not Answered	Not Answered
Non-Contr. Sub #6		\$ -					Not Answered		Not Answered	Not Answered	Not Answered	Not Answered
Non-Contr. Sub #7		\$ -					Not Answered		Not Answered	Not Answered	Not Answered	Not Answered
Non-Contr. Sub #8		\$ -					Not Answered		Not Answered	Not Answered	Not Answered	Not Answered
Non-Contr. Sub #9		\$ -					Not Answered		Not Answered	Not Answered	Not Answered	Not Answered
Non-Contr. Sub #10		\$ -					Not Answered		Not Answered	Not Answered	Not Answered	Not Answered
Non-Contr. Sub #11		\$ -					Not Answered		Not Answered	Not Answered	Not Answered	Not Answered
Non-Contr. Sub #12		\$ -					Not Answered		Not Answered	Not Answered	Not Answered	Not Answered
Non-Contr. Sub #13		\$ -					Not Answered		Not Answered	Not Answered	Not Answered	Not Answered
Non-Contr. Sub #14		\$ -					Not Answered		Not Answered	Not Answered	Not Answered	Not Answered
Non-Contr. Sub #15		\$ -					Not Answered		Not Answered	Not Answered	Not Answered	Not Answered
Total for Non-Construction Subcontractors:		\$ -					Not Answered		Not Answered	Not Answered	Not Answered	Not Answered

Information for NON-CONSTRUCTION SUBCONTRACTORS

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Semi-Annual CDBG Data Report Attach09-C Form v.2023-09-15

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Semi-Annual CDBG Data Report (MBE/WBE, Labor Standards Enforcement, and Section 3) (9-C)
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Grantee/UGLG Name: Grant **AWARDED Before or On/After 11/30/2020?**
DEHCR Grant Agreement/Contract Number:

Reporting Period (Choose ONE): X Year

<input type="checkbox"/>	October 1 - March 31	
<input type="checkbox"/>	April 1 - September 30	

Approver's Name:

Approver's Title:

*If the "Approver" is not the one submitting this Report to DEHCR, then they **MUST BE CARBON-COPIED** on the email submission.*

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 or §5.11 hearings occurred during this reporting period.

4(a)	4(b)	4(c)
Contractor's Name(s):	HUD or DOL or Both?	Investigation or Hearing or Both?
	<i>Not Answered</i>	<i>Not Answered</i>
	<i>Not Answered</i>	<i>Not Answered</i>
	<i>Not Answered</i>	<i>Not Answered</i>
	<i>Not Answered</i>	<i>Not Answered</i>
	<i>Not Answered</i>	<i>Not Answered</i>
	<i>Not Answered</i>	<i>Not Answered</i>
	<i>Not Answered</i>	<i>Not Answered</i>
	<i>Not Answered</i>	<i>Not Answered</i>
	<i>Not Answered</i>	<i>Not Answered</i>
	<i>Not Answered</i>	<i>Not Answered</i>
	<i>Not Answered</i>	<i>Not Answered</i>
	<i>Not Answered</i>	<i>Not Answered</i>
	<i>Not Answered</i>	<i>Not Answered</i>
	<i>Not Answered</i>	<i>Not Answered</i>
	<i>Not Answered</i>	<i>Not Answered</i>

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 CWHSSA Compliance	Section 5.7 Form Attached?
<i>Example: XYZ Builders</i>	12	\$ 4,400.00	\$ 1,500.00	\$ 6,480.00	Yes
		\$ -	\$ -	\$ -	<i>Not Answered</i>
		\$ -	\$ -	\$ -	<i>Not Answered</i>
		\$ -	\$ -	\$ -	<i>Not Answered</i>
		\$ -	\$ -	\$ -	<i>Not Answered</i>
		\$ -	\$ -	\$ -	<i>Not Answered</i>
		\$ -	\$ -	\$ -	<i>Not Answered</i>
		\$ -	\$ -	\$ -	<i>Not Answered</i>
		\$ -	\$ -	\$ -	<i>Not Answered</i>
		\$ -	\$ -	\$ -	<i>Not Answered</i>
		\$ -	\$ -	\$ -	<i>Not Answered</i>
		\$ -	\$ -	\$ -	<i>Not Answered</i>
		\$ -	\$ -	\$ -	<i>Not Answered</i>
		\$ -	\$ -	\$ -	<i>Not Answered</i>
		\$ -	\$ -	\$ -	<i>Not Answered</i>
Totals for All Contractors:	0	\$ -	\$ -	\$ -	-

PART 6. SECTION 3 - NEW HIRING (TO BE COMPLETED BY GRANTEES AWARDED BEFORE 11/30/2020 ONLY. REPORT NEW HIRING FOR THIS REPORTING PERIOD ONLY.)

TEMPLATE

Semi-Annual CDBG Data Report
Attach09-C Form v.2023-09-15

Chapter 9: Reporting
Revised: October 2023

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Semi-Annual CDBG Data Report (MBE/WBE, Labor Standards Enforcement, and Section 3) (9-C)

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Grantee/UGLG Name: (Grantee's Name) Grant AWARDED Before or On/After 11/30/2020? On or After DEHCR Grant Agreement/Contract Number: (Grant Agreement #)

Reporting Period (Choose ONE):

<input checked="" type="checkbox"/>	Year
<input type="checkbox"/>	October 1 - March 31
<input type="checkbox"/>	April 1 - September 30

Approver's Name:
 Approver's Title:

If the "Approver" is not the one submitting this Report to DEHCR, then they MUST BE CARBON-COPIED on the email submission.

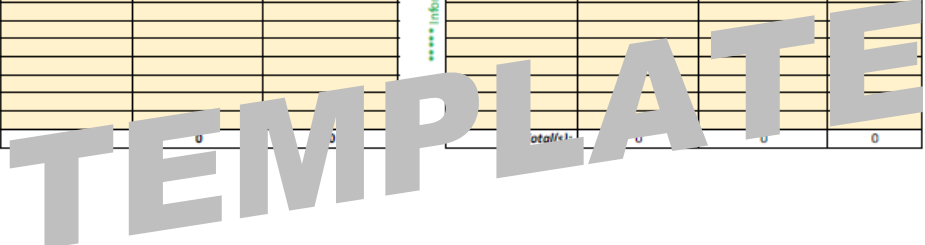
PART 7. SECTION 3 - WORKER HOURS ON THIS CDBG PROJECT (TO BE COMPLETED BY GRANTEE AWARDED ON OR AFTER 11/30/2020 ONLY. REPORT CUMULATIVE DATA TO DATE)

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; or GRANTEE/UGLG Name or SUBRECIPIENT Name <i>(if had Construction work hours)</i>	Total Hours Worked by ALL Workers on this CDBG Project To Date	Total Hours Worked by ALL SECTION 3 Workers	Total Hours Worked by TARGETED SECTION 3 Workers	Construction SUBCONTRACTOR'S Name:	Total Hours Worked by ALL Workers on this CDBG Project To Date	Total Hours Worked by ALL SECTION 3 Workers	Total Hours Worked by TARGETED SECTION 3 Workers	Non-Construction PRIME Contractor's Name; or GRANTEE Name or SUBRECIPIENT Name <i>(if had any Non-Construction work hours):</i>	Total Hours Worked by ALL Workers on this CDBG Project To Date	Total Hours Worked by ALL SECTION 3 Workers	Total Hours Worked by TARGETED SECTION 3 Workers
LMN Contractors, Inc.	2500	45	20	QPR Contractors, Inc.	3000	150	50	STU Contractors, Inc.	200	25	5
Total(s):	0	0	0	total(s):	0	0	0	Total(s):	0	0	0

Section 3 "Safe Harbor" Benchmarks:

- 1. 25% or more of **ALL** labor hours must be worked by Section 3 Workers.
Percentage all labor hours worked by Sec3 = #DIV/0!
- 2. 5% or more of **ALL** labor hours must be worked by Targeted Section 3 Workers.
Percentage all labor hours worked by Targeted Sec3 workers = #DIV/0!

Calculation Double-Check(s)	
Total Targeted Sec3 Hours Worked:	0
Total Sec3 Hours Worked:	0
Total Hours Worked:	0



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Grantee/UGLG Name: Grant **AWARDED** Before *or* On/After 11/30/2020? DEHCR Grant Agreement/Contract Number:

Reporting Period (Choose **ONE**):

	X	Year
<input type="checkbox"/>	October 1 - March 31	<input type="text"/>
<input type="checkbox"/>	April 1 - September 30	<input type="text"/>

Approver's Name:
 Approver's Title:

If the "Approver" is not the one submitting this Report to DEHCR, then they **MUST BE CARBON-COPIED** on the email submission.

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

To Be Completed By CDBG Grantees Awarded **ON OR AFTER 11/30/2020** Only: Check **ALL** that apply - Report all actions taken **TO DATE FOR THIS CDBG PROJECT**. Maintain records and make available for HUD to review documentation of any efforts marked. TIP: Most common entries are #1-7 and #13 - Refer to "TIP" notes

X (denoted with the red triangles in the upper right corners of cells) to determine if the item should be checked.

	1. No actions taken to date to demonstrate Section 3 "best efforts" in meeting HUD Section 3 Benchmarks.
	2. Outreach efforts to identify and secure bids from Section 3 business concerns.
	3. Outreach efforts to generate job applicants who are Public Housing Targeted Workers.
	4. Outreach efforts to generate job applicants who are Other Funding Targeted Workers.
	5. Direct, on-the-job training (including apprenticeships).
	6. Indirect training such as arranging for, contracting for, or paying tuition for, off-site training.
	7. Division of contracts into smaller jobs to facilitate participation by Section 3 business concerns.
	8. Technical assistance to help Section 3 workers compete for jobs (e.g., resume assistance, coaching, etc.).
	9. Technical assistance to help Section 3 business concerns understand and bid on contracts.
	10. Provided or connected residents with assistance in seeking employment including: drafting resumes, preparing for interviews, finding job opportunities, connecting residents to job placement services.
	11. Held one or more job fairs.
	12. Provided or connected residents with supportive services that can provide direct services or referrals.
	13. 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.
	14. Assisted residents with finding child care.
	15. Assisted residents to apply for (or attend) community college or a four (4) year educational institution.
	16. Assisted residents to apply for (or attend) vocational/technical training.
	17. Assisted residents to obtain financial literacy training and/or coaching.
	18. Bonding assistance, guaranties, or other efforts to support viable bids from Section 3 business concerns.
	19. Provided or connected residents with training on computer use or online technologies.
	20. Other: [Describe/specify here.]



PART 9. COMMENTS

[Provide additional comments/explanations here.]



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ATTACHMENT 9-C1: SEMI-ANNUAL CDBG DATA REPORT (INSTRUCTIONS)

The current version of this Attachment is on the [CDBG Implementation Handbook website](#) (under the Chapter Attachments/Fillable Forms section).

SEMI-ANNUAL CDBG DATA REPORT INSTRUCTIONS (9-C1)

Instructions:

The Unit of General Local Government (UGLG) must submit this Semi-Annual CDBG Data Report form to the assigned Division of Energy, Housing and Community Resources (DEHCR) project representative in **Microsoft Excel format** via email in accordance with the reporting schedule established in the UGLG's CDBG Grant Agreement.

The current version of the *Semi-Annual CDBG Data Report* (Attachment 9-C) is on the [CDBG Implementation Handbook website](#) (under the "Chapter Attachments/Fillable Forms" section).

1. Fill-in the **Semi-Annual CDBG Data Report** "Grantee/UGLG Name" and the "DEHCR Grant Agreement/Contract Number" fields found at the top of the form on the first page.
2. Refer to the CDBG Award Letter for the project (specifically, the date issued) to answer the "Grant Awarded BEFORE or AFTER 11/30/2020" field. HUD issued new Section 3 reporting requirements as of 11/30/2020. The date of the CDBG Award for the project will determine what Section 3 information that will be required to report. The response of "On or After 11/30/2020" is set as the 'default' response, given the majority of current open CDBG projects were awarded on or after 11/30/2020.
3. Beneath the "Grantee/UGLG Name" field, identify the 6-month timeframe for which data are being reported. Type an "X" into the appropriate Oct.-March or April-Sept. reporting period, and then fill-in the "Year" associated with either the March 31st or September 30th selection, entering the year in which the reporting period is ending.
4. Beneath the "DEHCR Grant Agreement/Contract Number" provide the "Name" and (job) "Title" for the UGLG's designated approver that has reviewed and approved this report information for submission to DEHCR. If the *Report Preparer* is not an authorized UGLG Approver, then the UGLG Approver information must be entered. The *Report* must be approved by the UGLG. The UGLG 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 authorized/designated 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 copy (cc) the UGLG Approver when emailing it to DEHCR.*
5. Beneath the "Approver" information, provide the "Name," (job) "Title," "Phone [Number]," and "Email [Address]" for the individual compiling and preparing this report information for submission to DEHCR. In the event of follow-up questions or concerns, the assigned DEHCR program representative will contact this "Preparer."

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)

1	Grantee/UGLG Name: (Grantee's Name)	Grant AWARDED Before or After 11/30/2020? Not Answered	DEHCR Grant Agreement/Contract Number: (Grant Agreement #)	2
	Reporting Period (Choose ONE):		Approver's Name:	4
	<input checked="" type="checkbox"/> Oct. 1 - March 31		Approver's Title:	
	<input type="checkbox"/> April 1 - September 30	2021	The "Approver" must be the one to email this report (and any revisions) to the assigned DEHCR Program Rep.	

5

Preparer's Name:
Preparer's Title:
Preparer's Phone No.:
Preparer's Email:

PART 1: CONSTRUCTION PERIOD

- a) Enter the "Construction Start Date." If construction has started, enter the start date. **Do not** enter a "projected" start date. If construction has **not** yet started, enter "Not Started." If the project does not include any construction in the scope of work, enter "N/A."
- b) Enter the "Construction End Date." If construction has ended (i.e., is fully completed), enter the end date. **Do not** enter a "projected" end date. If construction has **not** yet ended, enter "Not Ended." If the project does not include any construction in the scope of work, enter "N/A."

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PART 2: CONSTRUCTION CONTRACTS AWARDED

The report information must include any construction contract awards made (for both Prime and Subcontractor awards, reported separately) during the 6-month reporting period listed at the top of the first page of the report form. Responses are required from **ALL** UGLGs with open/active CDBG Projects (i.e., projects not yet certified by DEHCR as being "completed"). All construction Prime contracts awarded will be listed/reported first (on Pages 1-2), followed by all of the related construction Subcontractors' awards (on Page 3).

Part 2. Construction Prime Contracts Awarded

- a) Individually list the business/firm name for **each Construction PRIME Contractor** awarded contracts (funded in whole or in part with program dollars) for the project during the reporting timeframe listed. The information entered under column **2(a)** on Page 2 should match (line-by-line) the information appearing under column **2(a)** on Page 3.
 - If there are no new construction Prime contracts awarded during the 6-month reporting period, enter "NONE" or "No New Contracts" for the **Prime Contractor #1** under column **2(a)**, and go to column 2(p) in the report.
 - If the project does not include any construction in the scope of work or the federal labor standards do not otherwise apply to the project, enter "N/A" for the **Prime Contractor #1** under column **2(a)**, and go to column 2(p) in the report.
- b) **For each** business (i.e., construction Prime Contractor) listed in the table, enter the "Total Awarded Contract Amount" related to eligible activities associated with the CDBG project's Scope of Work (SOW). Report the eligible project cost (which includes any budget activities that will be funded using CDBG dollars and that are eligible to be counted as Match towards this CDBG project) for each Prime Contract awarded during this 6-month reporting period.
 - If a portion of a Prime Contractor's total award amount does **not** apply to the CDBG project, deduct the non-CDBG project-eligible amount from the contract award to calculate the Project-Related Contract Amount(s) that should be listed in Column **2(b)**.
 - If the total award amount for each Prime Contract applies to the CDBG project, then the total of the values listed in Column **2(b)** should equal (or be less than) the total CDBG Project Budget (per the executed Grant Agreement/Contract).
- c) Provide the eligible contracted **dollar amount** for the construction Prime's services and materials, **minus** all associated Subcontractor award amounts (i.e., the funding amount the Prime will retain for work directly performed by the Prime). **DO NOT DOUBLE-COUNT** overlapping contract amounts. Funds awarded by a Prime Contractor for sub-contracted work to Subcontractor(s) should be listed with the Subcontractor(s) information (see Page 3 of the Semi-Annual CDBG Data Report), **NOT** with the Prime Contractor's awarded dollar amount. (Refer to the examples provided below for further clarification.)

EXAMPLE #1: A project has awarded \$100,000 in funds to each of two (2) construction Prime Contractors, for a total of \$200,000 during the current reporting period. Neither Prime subcontracts any work to Subcontractor(s). A portion of the Report form would be completed as follows:

PART 2. CONSTRUCTION CONTRACTS AWARDED			
	2(a)	2(b)	2(c)
	Construction Prime Contractor Name	Total Awarded Contract Amount (CDBG Project Activities Only)	Prime Contract Amt. MINUS Associated Subcontractor Amt[s]
<i>Example</i>	<i>Builders-R-Us inc.</i>	<i>\$ 2,500,000.00</i>	<i>\$ 400,000.00</i>
Prime Contractor #1	ABC Construction	\$ 100,000.00	\$ 100,000.00
Prime Contractor #2	XYZ Construction	\$ 100,000.00	\$ 100,000.00
Prime Contractor #3		\$ -	\$ -
Prime Contractor #4		\$ -	\$ -
Prime Contractor #5		\$ -	\$ -

EXAMPLE #2: A project has awarded \$100,000 in funds to each of two (2) Contractors, for a total of \$200,000 during the current reporting period. The first Contractor (ABC Construction) does not sub-contract

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any work to Subcontractor(s). The second Contractor (XYZ Construction) sub-contracts a total of \$25,000 (of their \$100,000 contract) to two (2) Subcontractors (DEF Plumbing and GHI Paving). A portion of the Report form would be completed as follows:

PART 2. CONSTRUCTION CONTRACTS AWARDED			
	2(a)	2(b)	2(c)
	Construction Prime Contractor Name	Total Awarded Contract Amount (CDBG Project Activities Only)	Prime Contract Amt. MINUS Associated Subcontractor Amt(s)
Example	Builders-R-Us inc.	\$ 2,500,000.00	\$ 400,000.00
Prime Contractor #1	ABC Construction	\$ 100,000.00	\$ 100,000.00
Prime Contractor #2	XYZ Construction	\$ 100,000.00	\$ 75,000.00
Prime Contractor #3		\$ -	\$ -
Prime Contractor #4		\$ -	\$ -
Prime Contractor #5		\$ -	\$ -

	2(p)	2(q)
	Construction Subcontractor Name	Subcontract Amount (CDBG Project Activities Only)
Example	Fed-Rhodez Asphalt	\$ 45,000.00
Subcontractor #1	DEF Plumbing	\$ 5,000.00
Subcontractor #2	GHI Paving	\$ 20,000.00
Subcontractor #3		\$ -

- d) Enter the "Street Address" (physical) for each construction Prime Contractor.
- e) Enter the "City" (associated with the physical address) for each construction Prime Contractor.
- f) Enter the "State" and "ZIP [Code]" (associated with the physical address) for each construction Prime Contractor.
- g) Enter the "Prime's FEIN Number" for each construction Prime Contractor. If the Prime does not have a FEIN and employs only a single person, then enter the Owner's/Worker's Social Security Number (SSN).
- h) Provide the Trade Code (1-0) using the drop-down list provided for the type of work that each construction Prime Contractor 2(a) was hired to perform. (Refer to the list of Trade Codes provided near the center of Page 1.) List only one Trade Code per construction Prime.
- i) Indicate whether each construction Prime is a **Minority-owned Business Enterprise (MBE)** by listing the applicable Race/Ethnicity Code (1-6) designation for each construction Prime. (Refer to the definition of an MBE listed below. A list of Race/Ethnicity codes is provided near the center of Page 1.) List only one Race/Ethnicity per construction Prime.

A **Minority-owned Business Enterprise (MBE)** is a business that is both owned and controlled by minorities. This means that there must be not less than 51% minority ownership of the business (a business in which more than 50% of the ownership or control is held by one or more minority individuals, and more than 50% of the net profit or loss which accrues is to one or more minority individuals), and that the minority ownership must control the management and daily operations of the business. When 51% or more of the business is not owned and controlled by any single racial/ethnic category, enter the race/ethnicity code which best classifies the majority of employees working for the construction Prime Contractor.

PLEASE NOTE: If 51% or more of the business is not owned and controlled by any single racial/ethnic category, input the race/ethnicity code which best classifies the majority of minority employees working for the individual business.

- j) Indicate whether each construction Prime is classified as a **Woman-owned Business Enterprise (WBE)**. (Refer to the definition of a WBE listed below.)

A **Woman-owned Business Enterprise (WBE)** is a business that is both owned and controlled by women. This means that there must be not less than 51% women ownership of the business (a business in which more than 50% of the ownership or control is held by one or more female individuals, and more than 50% of

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the net profit or loss which accrues is to one or more female individuals), and that the women ownership must control the management and daily operations of the business.

- k) Indicate whether each construction Prime is classified as a **Section 3 Business**. (Refer to the definition of a *Section 3 Business* listed below.)

A **Section 3 Business** (or "Section 3 Business Concern") is a business that provides economic opportunities (i.e., employment or service contracts) to low-income and very low-income persons. A Section 3 Business must be able to provide documentation to support at least one of the following situations:

<i>For CDBG projects awarded PRIOR to 11/30/2020</i>	<i>For CDBG projects awarded ON or AFTER to 11/30/2020</i>
<ul style="list-style-type: none"> • 51% or more of the business is owned by Section 3 residents (i.e., a business in which 51% or more of the ownership is held by one or more Section 3 residents, and 51% or more of the net profit or loss which accrues is to one or more Section 3 residents); OR • 30% or more of the full-time employees of the business include persons that are currently Section 3 residents, or were Section 3 residents within three (3) years of their date of first hire by the Section 3 business (<i>Employee Income Certifications required to verify employees' Section 3 status</i>); OR • The business provides a commitment in writing to sub-contract more than 25% of the dollar amount awarded of all subcontracts to Section 3 business concerns. 	<ul style="list-style-type: none"> • 51% or more of the business is owned 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 of the business is owned by current residents of public housing or Section 8-assisted housing.

- l) The construction Prime Contractors listed on Page 1 should auto-copy to Page 2. If not, make sure that the Primes are listed in a consistent order. Report the date of contract award for each of the construction Prime Contractors. If bids have been received, but the contract has not yet been officially awarded, please refrain from reporting the Prime until the next reporting period after the award has been officially made.
- m) Provide the applicable Davis-Bacon Wage Decision(s) used/contracted for each of the construction Prime Contractors listed. Up to four (4) Wage Decisions can be listed per construction Prime. The Wage Decision Number, Modification Number, and the Date Published (i.e., effective) must be entered. (Refer to the example provided on the reporting form.)
- n) Report the date of Bid Opening for each of the construction Prime Contractors.
- The applicable Wage Decision Lock-In Date for each Prime Contractor is either the Bid Opening Date or the Contract Award Date.
- If a contract is awarded within ninety (90) days of the bid opening, the Bid Opening Date is the date when the wage decision is considered to be locked-in for the project.
 - If a contract is awarded more than ninety (90) days after the bid opening, the Wage Decision must be double-checked for updates (i.e., additional modifications), and the current published Wage Decision would be applicable to the CDBG project. In this scenario, the Contract Award Date is the date when the wage decision is considered to be locked-in for the project.
- o) Report the "Construction Start Date" for each of the contracted construction Prime Contractors listed.

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Part 2. Construction Subcontracts Awarded

- p) Individually list the business/firm name for **each Construction Subcontractor** awarded contracts for the project during the reporting timeframe listed.
- If there are no new construction Subcontractor contracts awarded during the 6-month reporting period, enter "None" or "No New Subcontracts" for the construction **Subcontractor #1** under column **2(p)** and go to column 3(a) in the form.
 - If the project does not include any construction in the scope of work or the federal labor standards do not otherwise apply to the project, enter "N/A" for the construction **Subcontractor #1** under column **2(p)**, and go to column 3(a) in the report.
- q) Provide the eligible contracted **dollar amount** for the construction Subcontractor's services and materials, **minus** all further associated Subcontractor award amounts (i.e., the funding amount this Subcontractor will retain for work directly performed by this Subcontractor). **DO NOT DOUBLE-COUNT** overlapping contract amounts. Funds awarded by a Subcontractor for sub-contracted work to lower-level Subcontractor(s) should be listed with the subsequent Subcontractor(s) information (further down on Page 3 of the Semi-Annual CDBG Data Report), **NOT** with the higher-level Subcontractor's awarded dollar amount.
- r) Enter the "Street Address" (physical) for each construction Prime Contractor.
- s) Enter the "City" (associated with the physical address) for each construction Prime Contractor.
- t) Enter the "State" and "ZIP [Code]" (associated with the physical address) for each construction Prime Contractor.
- u) Provide the higher-level "Prime Contractor's FEIN Number" (i.e., the FEIN for the firm overseeing the Subcontractor's work on the project) for each construction Subcontractor listed. If the Prime does not have a FEIN and employs only a single person, then enter the Owner's/Worker's Social Security Number (SSN).
Also make sure to indicate whether each construction Prime is classified as a **Section 3 Business**. [Refer to the definitions provided for 2(k) above.]
- v) Provide the "Subcontractor's FEIN Number" for each construction Subcontractor listed. If the Sub does not have a FEIN and employs only a single person, then enter the Owner's/Worker's Social Security Number (SSN).
- w) Provide the **Trade Code** (1-0) using the drop-down list provided for the type of work that each construction Subcontractor **2(p)** was hired to perform. (Refer to the list of Trade Codes provided near the center of Page 1.) List only **one** Trade Code per construction Subcontractor.
- x) Indicate whether each construction Subcontractor is a **Minority-owned Business Enterprise (MBE)** by listing the applicable **Race/Ethnicity Code** (1-8) designation for each construction Sub. *A list of Race/Ethnicity codes is provided near the center of Page 1.* List only **one** Race/Ethnicity per construction Sub. *Refer to item 2(i) under "Prime Contracts Awarded" above for the definition of an MBE.*
- y) Indicate whether each construction Subcontractor is classified as a **Woman-owned Business Enterprise (WBE)**. *Refer to item 2(j) under "Prime Contracts Awarded" above for the definition of a WBE.*
- z) Indicate whether each construction Subcontractor is classified as a **Section 3 Business**. *Refer to item 2(k) under "Prime Contracts Awarded" above for the definition of a Section 3 Business.*

PART 3: **NON-CONSTRUCTION CONTRACTS AWARDED**

Just as reported for the Construction Contracts Awarded section (above), repeat the process to report Non-Construction Contract Awards made (for both Prime and Subcontractor awards, reported separately) during the 6-month reporting period identified at the top of the page. **Again, responses are required from ALL UGLGs with open/active CDBG Projects (i.e., projects not yet certified by DEHCR as being "completed")**. All non-construction Prime contracts awarded will be listed/reported first (on Page 4), followed by all of the related non-construction Subcontractors' awards (also on Page 4).

Part 3. Non-Construction Prime Contracts Awarded

- a) Individually list the business/firm name for **each Non-Construction PRIME** awarded contracts (funded in whole or in part with program dollars) for the project during the reporting timeframe identified.

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- If there are no new non-construction Prime contracts awarded during the 6-month reporting period, enter "None" or "No New Contracts" for the **Non-Constr. Prime #1** under column **3(a)**, and go to column **3(l)** in the report.
- b) **For each** business (i.e., non-construction Prime) listed in the table, enter the "Total Awarded Contract Amount" related to eligible activities associated with the CDBG project's Scope of Work (SOW). Report the eligible project cost (which includes any budget activities that will be funded using CDBG dollars and that are eligible to be counted as Match towards this CDBG project) for each non-construction Prime Contract awarded during this 6-month reporting period.
 - If a portion of the Prime's total award amount does not apply to the CDBG project, deduct the non-CDBG project-eligible amount from the contract award to calculate the Project-Related Contract Amount(s) that should be listed in Column **3(b)**.
 - If the total award amount for each Prime applies to the CDBG project, then the total of the values listed in Column **3(b)** should equal (or be less than) the total CDBG Project Budget (per the executed Grant Agreement/Contract).
- c) Provide the eligible contracted **dollar amount** for the non-construction Prime's services and materials, minus all associated Subcontractor award amounts (i.e., the funding amount the non-construction Prime will retain for work directly performed by this Prime). **DO NOT DOUBLE-COUNT** overlapping contract amounts. Funds awarded by a non-construction Prime Contractor for sub-contracted work to Subcontractor(s) should be listed with the Subcontractor(s) information (see Page 3 of the Semi-Annual CDBG Data Report), NOT with the non-construction Prime's awarded dollar amount. *[Refer to the examples provided above for 2l for further clarification.]*
- d) Enter the "Street Address" (physical) for each construction Prime Contractor.
- e) Enter the "City" (associated with the physical address) for each construction Prime Contractor.
- f) Enter the "State" and "ZIP [Code]" (associated with the physical address) for each construction Prime Contractor.
- g) Enter the "Prime's FEIN Number" for each non-construction Prime Contractor listed. If the Prime does not have a FEIN and employs only a single person, then enter the Owner's/Worker's Social Security Number (SSN).
- h) Provide the **Trade Code** (1-0) using the drop-down list provided for the type of work that each non-construction Prime **3(a)** was hired to perform. *(Refer to the list of Trade Codes provided near the center of Page 1.)* List only **one** Trade Code per non-construction Prime.
- i) Indicate whether each non-construction Prime is a **Minority-owned Business Enterprise (MBE)** by listing the applicable **Race/Ethnicity Code** (1-8) designation for each. List only **one** Race/Ethnicity per non-construction Prime. *Refer to item 2(i) under "Prime Contracts Awarded" above for the definition of an MBE.*
- j) Indicate whether each non-construction Prime is classified as a **Woman-owned Business Enterprise (WBE)**. *Refer to item 2(j) under "Prime Contracts Awarded" above for the definition of a WBE.*
- k) Indicate whether each non-construction Prime is classified as a **Section 3 Business**. *Refer to item 2(k) under "Prime Contracts Awarded" above for the definition of a Section 3 Business.*

Part 3. Non-Construction Subcontracts Awarded

- l) Individually list the business/firm name for **each Non-Construction Subcontractor** awarded contracts for the project during the reporting timeframe listed.
 - If there are no new non-construction Subcontractor contracts awarded during the 6-month reporting period, enter "None" or "No New Subcontracts" for the **Non-Constr. Sub #1** under column **3(l)**, and go to Part 4 – column 4(a) in the report.
- m) Provide the eligible contracted **dollar amount** for the non-construction Subcontractor's services and materials, minus all further associated Subcontractor award amounts (i.e., the funding amount this Subcontractor will retain for work directly performed by this Subcontractor). **DO NOT DOUBLE-COUNT** overlapping contract amounts. Funds awarded by a Subcontractor for sub-contracted work to lower-level Subcontractor(s) should be listed with the subsequent Subcontractor(s) information (further down on Page 4 of the Semi-Annual CDBG Data Report), NOT with the higher-level Subcontractor's awarded dollar amount.
- n) Enter the "Street Address" (physical) for each non-construction Subcontractor.

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- o) Enter the "City" (associated with the physical address) for each non-construction Sub.
- p) Enter the "State" and "ZIP [Code]" (associated with the physical address) for each non-construction Sub.
- q) Provide the higher-level "Prime Contractor's FEIN Number" (i.e., the FEIN for the firm overseeing this Subcontractor's work on the project) for each non-construction Subcontractor listed. If the Prime does not have a FEIN and employs only a single person, then enter the Owner's/Worker's Social Security Number (SSN).
Also make sure to indicate whether each non-construction Prime is classified as a **Section 3 Business**. [Refer to the definitions provided for 3(k) above.]
- r) Provide the "Subcontractor's FEIN Number" for each non-construction Subcontractor listed. If the Sub does not have a FEIN and employs only a single person, then enter the Owner's/Worker's Social Security Number (SSN).
- s) Provide the **Trade Code** (1-0) using the drop-down list provided for the type of work that each non-construction Sub **2(p)** was hired to perform. (Refer to the list of Trade Codes provided near the center of Page 1.) List only **one** Trade Code per non-construction Subcontractor.
- t) Indicate whether each non-construction Subcontractor is a **Minority-owned Business Enterprise (MBE)** by listing the applicable **Race/Ethnicity Code** (1-6) designation for each. A list of Race/Ethnicity codes is provided near the center of Page 1.) List only **one** Race/Ethnicity per non-construction Sub. Refer to item 2(j) under "Prime Contracts Awarded" above for the definition of an MBE.
- u) Indicate whether each non-construction Subcontractor is classified as a **Woman-owned Business Enterprise (WBE)**. Refer to item 2(j) under "Prime Contracts Awarded" above for the definition of a WBE.
- v) Indicate whether each non-construction Subcontractor is classified as a **Section 3 Business**. Refer to item 2(k) under "Prime Contracts Awarded" above for the definition of a Section 3 Business.

PART 4: LABOR STANDARDS COMPLAINTS

- a) Report the Contractors [prime contractor(s), subcontractor(s), or lower-tier subcontractor(s)] for which complaints were filed or investigations or §5.11 hearings occurred during this 6-month reporting period. Responses are required from **ALL** UGLGs with open/active CDBG Projects (i.e., projects not yet certified by DEHCR as being "completed").
 - If no complaints were filed during the reporting period, enter "None" or "No Complaints" for the Contractor's Name(s) under column 4(a) and go to PART 5 in the report.
 - If the CDBG Project has no construction in the scope of work or the federal labor standards do not otherwise apply to the project, then enter "N/A" for the Contractor's Name(s) under column 4(a) and go to PART 5 in the report.
- b) Report the "HUD", "DOL", or "Both" (make the selection using the provided drop-down menu) to indicate the agency(ies) to which complaint(s) were filed, or that conducted hearing(s) or investigation(s) on the Contractor(s) listed in this row in column 4(a):
 - U.S. Dept. Housing and Urban Development (HUD) and/or
 - U.S. Dept. of Labor (DOL).
- c) Enter "I", "H", or "Both" to indicate if an Investigation (I), a Hearing (H) or both was/were conducted by HUD and/or DOL for complaint(s) filed against each contractor listed in column 4(a) during the reporting period.

PART 5: LABOR STANDARDS MONITORING – PAYROLL UNDERPAYMENTS

- a) Report the Contractors [prime contractor(s), subcontractor(s), or lower-tier subcontractor(s)] for which payroll underpayments were made during this 6-month reporting period.
 - If no underpayments were made during the reporting period, enter "None" or "No Underpayments" for the Contractor's Name(s) under column 5(a) and go to PART 6 (if Grant Award was prior to 11/30/2020) OR PART 7 (if Grant Award was on or after 11/30/2020) in the report.
 - If the CDBG Project has no construction in the scope of work or the federal labor standards do not otherwise apply to the project, then enter "N/A" for the Contractor's Name(s) under column 5(a) and go

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to **PART 6** (if Grant Award was prior to 11/30/2020) OR **PART 7** (if Grant Award was on or after 11/30/2020) in the report.

- b) Report the "Total Number of Workers PAID Underpayment Wage Restitution" per Contractor.
- c) Report the "Total Straight-Time Wage Restitution Paid" per Contractor. If none (or not applicable), enter \$0.
- d) Report the "Total Overtime Wage Restitution Paid" per Contractor. If none (or not applicable), enter \$0.
- e) Report the "Total Liquidated Damages Collected..." per Contractor. If none (or not applicable), enter \$0.

If a contractor had Overtime underpayments violations but no Liquidated Damages were collected from the contractor, state the reason for the Liquidated Damages not being collected in the "Comments" section in Part 9 of the report [e.g., "In Part 5, Liquidated Damages were not reported as collected from (contractor name) for Overtime underpayment violations due to the underpayments being deemed unintentional and the Liquidated Damages being waived per DEHCR approval." OR "In Part 5, the Liquidated Damages payment from (contractor name) is pending – the payment will be reported on the next Semi-Annual CDBG Data Report."]

- f) Indicate whether or not a Section 5.7 form is attached/submitted with this Semi-Annual CDBG Data Report. **A Section 5.7 Enforcement Report (Attachment 7-O) must be submitted with the LSER for each Contractor with underpayments restitution of \$1,000 or more during the reporting period in which it was paid.**

PLEASE NOTE: *If any new contracts are awarded or any wage restitution payments are collected after the submittal of this report to DEHCR for the reporting period covered on this report, the contract award and restitution payment information must be included on the next Semi-Annual CDBG Data Report submission to DEHCR.*

PART 6: SECTION 3 – NEW HIRING (Applicable to CDBG projects awarded PRIOR to 11/30/2020.)

Federal regulation 24 CFR 135 requires the Grantee (i.e., Unit of General Local Government (UGLG), Non-Profit, Housing Authority, etc.) **and each** of its contractors/subcontractors/service providers that receives or are contracted for a CDBG or other HUD funded project that is funded in whole or in part with CDBG or other HUD funds must collect new hiring data and complete and submit Section 3 reporting information. The Grantee is to compile all contractors'/subcontractors'/service providers' data (reported on the *Section 3 Employee Income Certification* forms (Attachment 9-K(1)) and *Semi-Annual Individual Contractor's Section 3 Data Reports* (Attachment 9-M or similar reporting document with the same information requested on Attachment 9-M). Enter the cumulative Section 3 reporting information to DEHCR for each executed contract/Grant Agreement with DEHCR.

- a) Report any **new full-time hires and trainees** (working full-time in permanent, temporary or seasonal positions) who are Wisconsin residents and are hired/trained for or in connection with the project funded under the DEHCR Grant Agreement/Contract listed above during the specified reporting period. For each Job Category listed in the table [6(b) – 6(m)], enter the number of employees in each Job Category who are:
 - New Hires (which are new employees hired for or in connection with the HUD/CDBG funded project during the specified reporting period and are residents of Wisconsin);
 - Section 3 Residents (which are New Hires who are low- and moderate-income (LMI) with an annual family income that does not exceed the applicable HUD CDBG LMI 80% median income threshold (for their family size and county of residence), and who live in the county where the project is located), hired during the specified reporting period; and
 - Section 3 Trainees (which are new employees who are trainees of a formal HUD/CDBG funded jobs program/project who qualify as Section 3 Workers based on their income level and county of residence, and started training during the specified reporting period).

If there were no new full-time hires or trainees hired for or in connection with the HUD/CDBG funded project during the reporting period, enter "0" (zero) in the spaces. If the New Hire(s) or Trainee(s) does/do not fall into the pre-populated list of Job Categories, then enter the job title(s) in the two "Specify Job Type Here" field(s) [6(l) and 6(m)] and report the number of new hire(s) and trainee(s) for each.

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PART 7: SECTION 3 – WORKER HOURS ON THIS CDBG PROJECT *(Applicable to CDBG projects awarded ON or AFTER 11/30/2020.)*

Federal regulation 24 CFR 75 requires the Grantee (i.e., Unit of General Local Government (UGLG), Non-Profit, Housing Authority, etc.; and includes subrecipients) and each of its prime contractors and service providers, and all subcontractors that receive or are contracted for a CDBG project that is funded in whole or part with CDBG or other HUD funds must complete and submit Section 3 reporting information.

Exceptions (under 24 CFR 75 for projects awarded on or after 11/30/2020 only) include:

- CDBG projects for which the CDBG and any other HUD funds awarded to the project total (added together) no more than \$200,000 are not subject to any of the Section 3 requirements and reporting.
- CDBG projects that do not have any construction, demolition or rehab in any part of the scope of work for the project are not subject to any of the Section 3 requirements and reporting.
- **EXCEPTION:** The UGLG/Grantee and subrecipients, prime contractors, subcontractors and service providers of the project, as employers are not required to track and report the labor hours and Section 3 and Targeted Section 3 status of employees for any labor hours that are for professional services completed by employees in positions that **require an advanced degree or a professional license** (including but not limited to legal services, financial consulting, accounting services, environmental assessment, architectural/engineering services, etc.). It is **optional** for the employer to report their hours and not required. The employer may consider reporting these employees' hours if the employees qualify as Section 3 Workers, which helps the employer demonstrate efforts for meeting the Section 3 "safe harbor"/labor hour goals.

Estimating Work Hours for Non-Construction Employees:

Grantees, subrecipients, and contractors providing non-construction related work and services may base their employees' labor hours and Section 3 and Targeted Section 3 status on internal payroll and personnel records. They are to make a "good faith assessment" of the number of labor hours a full-time or part-time employee spends on the project, and whether the employee meets the income criterion for Section 3 status and residential locality criterion for Targeted Section 3 status based on the salary/wages (annualized) that the employer pays the employee and the employee's address on record. They are not required to submit payroll records to DEHCR for employees, if not otherwise required by other applicable federal regulations (e.g., construction contractors subject to the federal labor standards are required to submit weekly certified payroll records with daily and weekly labor hours and wage + fringe hourly rates to the Grantee's Labor Standards Officer for a CDBG funded project; and UGLGs seeking to cover Force Account work costs with CDBG funds or to count the Force Account work costs as 'Matching funds' for a CDBG project are required to submit a breakdown of employees who worked on the project, the hours worked each day, and the employees' wage + fringe hourly rates (as the UGLG's Force Account 'invoice') when submitting a CDBG Payment Request to DEHCR).

The Grantee is to compile all subrecipients', prime contractors', subcontractors' and service providers' data (reported on the *Section 3 Employee Income Certification* forms (Attachment 9-K(2)), *Section 3 Business Concern Certifications* (Attachment 9-L), and *Individual Contractor's Section 3 Data Report* (Attachment 9-M or similar document with the same information requested on Attachment 9-M). Enter the cumulative Section 3 data for each entity in Part 7 of the *CDBG Data Report* for each executed contract/Grant Agreement with DEHCR.

For each employee who works on the CDBG funded project, it will be necessary to determine their Section 3 status. The Section 3 Worker's status is to be determined (and certified using the *Section 3 Employee Income Certification* form (Attachment 9-K(2))) based on their information/status when they first started work on the CDBG funded project; **OR** the employer has the option of determining the Section 3 status based on the employee's information/status on their hire date (if they were hired on or after 11/30/2020). For employees who were hired prior to 11/30/2020, their Section 3 Worker status must be determined based their information/status on the date the employee began working on the CDBG funded project. Refer to the directions within the *Section 3 Employee Income Certification* form (Attachment 9-K(2)) for additional guidance.

Section 3 Workers are those individuals that currently fit (when starting work on the project), or when hired fit (if hired on or after 11/30/2022) at least one (1) of the following categories as documented:

- Employed by a Section 3 business concern, OR
- A low- or very low-income resident (i.e., a person having an annual individual income that does not exceed the Low (80%) HUD CDBG Income Limit for the county in which they live), OR
- A YouthBuild participant.

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Targeted Section 3 Workers are Section 3 Workers who:

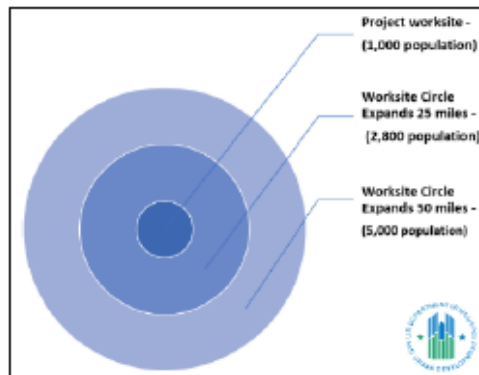
- Are employed by a Section 3 business concern, OR
- Currently fit (when starting work on the project) or when hired fit (if hired on or after 11/30/2020) at least one (1) of the following categories as documented:
 - Living within the Section 3 service area or the neighborhood of the project (as defined in 24 CFR 75.5), OR
 - A YouthBuild participant.

A **Section 3 business concern** is a business that fits at least one (1) of the following categories:

- 51% or more owned 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 owned by current residents of public housing or Section 8-assisted housing.

The **Service Area** (as defined in 24 CFR 75.5) is:

- An area within one (1) mile of the Section 3 project's location (i.e., street address),
OR
- An area within a circle centered around the Section 3 project site that encompasses 5,000 people [if less than 5,000 people live within a one (1) mile radius of the Section 3 project site].



Construction Prime Contractors (CPC)

- a) List **ALL** Construction Prime Contractors (CPC) currently working (or that have previously worked) on construction activities for the project. This list should provide a comprehensive history of **all** the Construction Prime Contractors that have touched this project to date.

If the Grantee or partnering UGLG(s) and/or subrecipient(s) have employees who completed **construction** work on the project, then list them in the CPC section of Part 7 as well (items 7(a)-7(d)). Examples: Force Account work, which is construction work completed by government employees, is to be reported in this section. Building renovation work completed by a subrecipients' own employees is to be reported in this section.

Enter their name and "(Grantee)", "(UGLG)", or "(Subrecipient)" after their name to indicate they are not a "Construction Prime Contractor." Examples: "Village of Yourville (Grantee)"; "Yourville County (UGLG)"; or "Yourville Community Services (Subrecipient)".

- b) Report the "Total Hours Worked" by **ALL** the CPC's (or Grantee's/UGLG's/subrecipient's) employees who have directly worked on construction activities for this project.
- c) Report the "Total Hours Worked" by **ALL** the CPC's (or Grantee's/UGLG's/subrecipient's) **Section 3** employees that have directly worked on construction activities for this project.



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- d) Report the "Total Hours Worked" by **ALL** the CPC's (or Grantee's/UGLG's/subrecipient's) **Targeted Section 3** employees that have directly worked on *construction* activities on this project.

Construction Subcontractors (CSC)

- e) List **ALL Construction Subcontractors (CSC)** currently working (or that have previously worked) on *construction* activities for this project. This list should provide a comprehensive history of **all** the CSCs that have touched this project to date.
- f) Report the "Total Hours Worked" by **ALL** the CSC's employees directly working on *construction* activities for this project.
- g) Report the "Total Hours Worked" by **ALL** the CSC's **Section 3** employees directly working on *construction* activities for this project.
- h) Report the "Total Hours Worked" by **ALL** the CSC's **Targeted Section 3** employees directly working on *construction* activities for this project.

Non-Construction Prime Contractors (NCPC)

- i) List **ALL Non-Construction Prime Contractors (NCPC)** AND the Grantee/UGLG and the grant subrecipient(s) if applicable in the section for NCPCs currently working (or that have previously worked) on *non-construction* activities for this project. This list should provide a comprehensive history of **all** the NCPCs that have touched this project to date.
- j) Report the "Total Hours Worked" by **ALL** the NCPC's employees directly working on *non-construction* activities for this project. Hours may be based on the employer's "good faith estimate." Hours for positions requiring an advanced degree or a professional certification are not required to be reported but may be reported to demonstrate "best efforts" in meeting the HUD Section 3 Safe Harbor benchmarks.
- k) Report the "Total Hours Worked" by **ALL** the NCPC's **Section 3** employees directly working on *non-construction* activities for this project.
- l) Report the "Total Hours Worked" by **ALL** the NCPC's **Targeted Section 3** employees directly working on *non-construction* activities for this project.

Non-Construction Subcontractors (NCSCs)

- m) List **ALL Non-Construction Subcontractors (NCSC)** currently working (or that have previously worked) on *non-construction* activities for this project. This list should provide a comprehensive history of **all** the NCSCs that have touched this project to date.
- n) Report the "Total Hours Worked" by **ALL** the NCSC's employees directly working on *non-construction* activities for this project. Hours may be based on the employer's "good faith estimate." Hours for positions requiring an advanced degree or a professional certification are not required to be reported but may be reported to demonstrate "best efforts" in meeting the HUD Section 3 Safe Harbor benchmarks.
- o) Report the "Total Hours Worked" by **ALL** the NCSC's **Section 3** employees directly working on *non-construction* activities for this project.
- p) Report the "Total Hours Worked" by **ALL** the NCSC's **Targeted Section 3** employees directly working on *non-construction* activities for this project.

Calculations for Percentage of Labor Hours by Section 3 and Targeted Section 3 Workers:

The HUD Section 3 "safe harbor" goals include having at least 25% of all labor hours on a CDBG project being completed by Section 3 Workers, and at least 5% of all labor hours on a CDBG project being completed by Targeted Section 3 Workers. Once all data from the Grantee/UGLG, subrecipients, prime contractors and subcontractors are entered in PART 7 – items 7(a)-7(p), the totals for numbers appear at the bottom of the columns for 7(a)-7(p), and the percentages of hours worked by Section 3 and Targeted Section 3 Workers on the project will automatically be calculated and appear

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at the bottom of PART 7 under the "Section 3 "Safe Harbor" Benchmarks" section as shown in the image below:

Section 3 "Safe Harbor" Benchmarks:			
1	25% or more of ALL labor hours must be worked by Section 3 Workers.	Percentage all labor hours worked by Sec3 =	41%
2	5% or more of ALL labor hours must be worked by Targeted Section 3 Workers.	Percentage all labor hours worked by Targeted Sec3 =	12%

If the Section 3 "safe harbor" benchmarks are not met during the project, then "best efforts"/qualitative actions must be demonstrated for attempting to meet the goals, and recorded in PART 8 of the report.

PART 8: SECTION 3 – OUTREACH/PROMOTION & BEST EFFORTS

Based on when the project was awarded, it is required to indicate which applicable Outreach/Promotion & Best Efforts have been completed as qualitative actions to support the hiring, retention, and promotion of Section 3 Workers employed in conjunction with the CDBG project.

Place an "X" next to each action that has been completed by the Grantee and its related Prime Contractors, Subcontractors, and lower-tier Contractors. If applicable, additional information/explanations can be reported under **PART 9**. The Grantee must retain supporting documentation to confirm completion of the selected Outreach/Promotion & Best Efforts, which must be available for review upon request.

TIP: Hover over or right click on the red triangles in the upper right corners of cells within Part 9 on the CDBG Data Report form for guidance on common "best efforts" that are typically demonstrated on CDBG projects.

PART 9: COMMENTS

Use this space to provide additional comments or explanations for the data reported. Examples of common types of comments include:

- Example #1: If the CDBG Project is not subject to Labor Standards and/or Section 3 requirements, then state that in the "Comments" section.
- Example #2: When there is reporting remaining outstanding from any contractor, note that their data will be reported on the next semi-annual reporting.
- Example #3: When in Part 5, no Liquidated Damages have been collected for a contractor that had Overtime underpayment violations, use the "Comments" section in Part 9 to explain the reason. Examples: "In Part 5, Liquidated Damages were not reported as collected from (contractor name) for Overtime underpayment violations due to the underpayments being deemed unintentional and the Liquidated Damages being waived per DEHCR approval." OR "In Part 5, the Liquidated Damages payment from (contractor name) is pending – the payment will be reported on the next Semi-Annual CDBG Data Report."
- Example #4: When in Part 7 (for Projects Awarded on or after 11/30/2020 only), "N/A" entries were made instead of entering the numbers of labor hours or "None" (if there are no labor hours to report) for a Prime Contractor, Subcontractor, Grantee/UGLG, and/or Subrecipient, use the "Comments" section in Part 9 to explain the reason "N/A" was entered. Examples: "In Part 7, "N/A" entries were made due to the project not being subject to Section 3 because no more than \$200,000 in CDBG and other HUD funds are awarded for the project"; or "...because the CDBG project is not subject to Section 3 due to the project not including any construction, demolition or rehab"; or stating "...due to reporting of labor hours data for the (entity name)'s employees not being required due the entity's work on the CDBG project being for professional services completed by only employees in positions requiring an advanced degree or a professional license"; etc.

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ATTACHMENT 9-D: REPORTING REQUIREMENTS SUMMARY

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

SEMI-ANNUAL REPORTING		
Form:		Due Date:
9-A	<i>Semi-Annual Summary Narrative Report</i>	Due April 15 & Oct. 15, as listed in Grant Agreement Time Table, unless otherwise directed by DEHCR.
9-C	<i>Semi-Annual CDBG Data Report</i> (with Labor Standards Enforcement, MBE/WBE, & Section 3 data)	Due Mar. 25 & Sept. 25, as listed in Grant Agreement Time Table, unless otherwise requested by DEHCR.
9-F & 9-F3	<i>CDBG Jobs Project Employee Self Certification Report and Certification Forms</i> (if required – for ED, PFED and other similar LMI Job Creation Projects)	May be Semi-Annual <i>or</i> Annual – Due in accordance with Grant Agreement Time Table, if required for the project.
9-I(1) & 9-J(1)	<i>Client Income Certification Report and Certification Forms (non-CDBG-CV project)</i> (if required – for PS projects and other similar projects, only as specified as required by DEHCR)	May be Semi-Annual <i>or</i> Annual – Due in accordance with Grant Agreement Time Table, if required for the project.
9-I(2) & 9-J(2)	<i>CDBG-CV Client Income Certification Report and Certification Forms</i> (if required, only as specified as required by DEHCR)	Due in accordance with Grant Agreement Time Table, if required for the project.
9-N, 9-O, & 9-P	<i>CDBG-CV Microenterprise Self Certification Report and Certification Forms</i> (for Microenterprise projects)	Due in accordance with Grant Agreement Time Table, if required for the project.

ANNUAL REPORTING				
Form:		Completed by:	Submit to:	Due:
9-G/ 9-H	<i>Single Audit Statement (Letter)</i>	Grant Administrator and CEO	DEHCR Project Representative	January 15
N/A	<i>Single Audit Report</i>	External auditor	1) Federal Audit Clearinghouse (FAC) 2) Copy of FAC email confirmation to DEHCR Project Representative	Within 30 days of completing the Single Audit or September 30 th , whichever is earlier

LABOR STANDARDS REPORTING				
Form:		Completed by:	Submit to:	Due:
7-C	Labor Standards Officer Designee Form	Grant Administrator	DEHCR Project Representative	Upon execution of CDBG Agreement / Prior to construction start
7-D	Record of Wage Decision Selection	Labor Standards Officer	DEHCR Project Representative	Prior to advertising for bids
7-F	Advertisement for Bids	Labor Standards Officer & Chief Elected Official	DEHCR Project Representative	With Notice of Contractor Award / Prior to construction start
7-H	Notice of Contractor Award	Labor Standards Officer	DEHCR Project Representative	Upon Making Award / Prior to construction start
7-K	Pre-Construction Report	Labor Standards Officer	DEHCR Project Representative	Optional – Submit this form and/or the pre-construction meeting minutes/notes, if a

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LABOR STANDARDS REPORTING				
				pre-construction meeting is held.
7-O	Section 5.7 Enforcement Report	Labor Standards Officer	DEHCR Project Representative	Upon finding wage violations when underpayment is greater than \$1,000
7-P	Final Labor Standards Compliance Report	Labor Standards Officer or Grant Administrator	DEHCR Project Representative	Upon submitting the Project Completion Report
7-Q	Force Account Affidavit	Labor Standards Officer or Grant Administrator	DEHCR Project Representative	Upon determining that the UGLG's/Grantee's or another UGLG's municipal/public employees will be completing any part of the construction activities on the project.

FINANCIAL MANAGEMENT		
Form:		Due:
(DOA forms)	DOA 6456 Authorization for Direct Deposit or DOA-6457 Address Update Form (obtain most current copy from DEHCR Project Representative)	Prior to executing the CDBG Agreement
(DOA form)	DOA New Supplier Form (obtain most current copy from DEHCR Project Representative)	
8-D	Financial Management Contact Person Form	
8-E	Signature Certification Form	
8-F	CDBG Payment Request Form (obtain copy customized for your project from DEHCR Project Representative)	With <u>each</u> request for CDBG funds
8-G	Cash Control Register (Up-to-date as submission date)	
8-H	CDBG Disbursements Journal (Up-to-date as of submission date)	
8-I	Matching Funds Journal (Up-to-date as of submission date)	
N/A	Supporting documentation (invoices, processed check copies, bank statements, etc.)	

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ATTACHMENT 9-E: GRANT AGREEMENT TIME TABLE (SAMPLE)

This Time Table is based on a July 26, 2023 – December 31, 2025 CDBG-PF Performance Period.

Due Date	Activity
Prior to Construction and Acquisition	<ul style="list-style-type: none"> • 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 decision(s) for the construction contract(s) to insert in the bid packet(s) 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. • Check for wage decision updates prior to the bid opening date in accordance with the guidance in the Program Implementation Manual. If there are any changes update the bid packet(s) and inform known potential bidders of the update(s). • Enter updated wage decision(s) information in effect at the time of bid opening, or on the contract award date if the contract award occurs more than 90 days after bid opening, on Notice of Contractor Award form. • Submit Notice of Contractor Award form(s) for each prime contract awarded to DEHCR CDBG Project Representative. • Submit detailed bid tabulation summary to DEHCR CDBG Project Representative. • Submit copy of the advertisement for bids with the publisher’s affidavit to DEHCR CDBG Project Representative.

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Due Date	Activity
Prior to Construction and Acquisition (continued)	<ul style="list-style-type: none"> • Obtain all necessary permits. • Submit Force Account Affidavit form to DEHCR if local government employees will be conducting any construction work on the project. • Hold pre-construction meeting (pre-construction meeting is optional but strongly recommended). Submit meeting minutes/notes to DEHCR CDBG Project Representative if a pre-construction meeting was held. • Ensure required Project sign and labor standards documents are posted at the Project site in accordance with the requirements set forth in the Program Implementation Handbook (prior to or within the first week of starting construction). •
January 15, 2024	<ul style="list-style-type: none"> • Submit Single Audit Statement for CY2023 to DEHCR CDBG Project Representative. Arrange for Single Audit if required (Single Audit Report will be due to Federal Audit Clearinghouse [FAC] within 30 days of Single Audit being completed or September 30, 2024, whichever date is <i>earlier</i>).
March 25, 2024	<ul style="list-style-type: none"> • Submit Semi-Annual CDBG Project Data Report for the reporting period of October 1, 2023 through March 31, 2024 (reporting Project activities from the Award Date through March 31, 2024), unless notified by DEHCR CDBG Project Representative of another submission date.
April 15, 2024	<ul style="list-style-type: none"> • Submit Semi-Annual Summary Narrative Report and supporting documentation for the reporting period of October 1, 2023 through March 31, 2024 (reporting Project activities from the Award Date through March 31, 2024). Reporting must follow the guidance provided in the Program Implementation Handbook.
July 1, 2024	<ul style="list-style-type: none"> • Begin Construction.
September 25, 2024	<ul style="list-style-type: none"> • Submit Semi-Annual CDBG Project Data Report for the reporting period of April 1, 2024 through September 30, 2024, unless notified by DEHCR CDBG Project Representative of another submission date.
September 30, 2024	<ul style="list-style-type: none"> • Complete the Fair Housing Actions described in the Attachments of the Grant Agreement. • Complete Single Audit and submit Single Audit Report for CY2023 to Federal Audit Clearinghouse [FAC] if the Grantee was required to complete a Single Audit for CY2023 (submit within 30 days of Single Audit completion or September 30, 2024, whichever date is earlier). Submit record of submission from the FAC website to DEHCR CDBG Project Representative. Reporting must follow the guidance provided in the Program Implementation Handbook.

SAMPLE

BCD CDBG Implementation Handbook

Due Date	Activity
October 15, 2024	<ul style="list-style-type: none">• Submit Semi-Annual Summary Narrative Report and supporting documentation to DEHCR CDBG Project Representative for the reporting period of April 1, 2024 through September 30, 2024. Reporting must follow the guidance provided in the Program Implementation Handbook.• Report Fair Housing Actions completed (in the Fair Housing section of the Semi-Annual Summary Narrative Report) and submit supporting documentation to DEHCR CDBG Project Representative in accordance with the guidance and requirements specified in the Program Implementation Handbook and this Agreement.
January 15, 2025	<ul style="list-style-type: none">• Submit Single Audit Statement for CY2024 to DEHCR CDBG Project Representative. Arrange for Single Audit if required (Single Audit Report will be due to Federal Audit Clearinghouse [FAC] within 30 days of Single Audit being completed or September 30, 2025, whichever date is earlier).
March 25, 2025	<ul style="list-style-type: none">• Submit Semi-Annual CDBG Project Data Report for the reporting period of October 1, 2024 through March 31, 2025, unless notified by DEHCR CDBG Project Representative of another submission date.

BCD CDBG Implementation Handbook

Due Date	Activity
March 31, 2025	<ul style="list-style-type: none">• Give proper notice for and conduct second Citizen Participation Public Hearing to report Project progress to, and receive input from, local community regarding the CDBG Project in accordance with the guidance and requirements specified in the Program Implementation Handbook, the Grantee’s Citizen Participation Plan, and this Agreement. <i>The second hearing must be held <u>after</u> construction has started and during the Construction Period.</i>

BCD CDBG Implementation Handbook

Due Date	Activity
April 15, 2025	<ul style="list-style-type: none"> • Submit Semi-Annual Summary Narrative Report and supporting documentation for the reporting period of October 1, 2024 through March 31, 2025. Reporting must follow the guidance provided in the Program Implementation Handbook. • Report status of second Citizen Participation Public Hearing completion (in the 2nd Citizen Participation Public Hearing section of the Semi-Annual Summary Narrative Report) and submit second Public Hearing documents, including the hearing notice (with the publisher’s affidavit of publication and/or clerk certification of notice posting(s), as applicable in accordance with the Grantee’s Citizen Participation Plan), 2nd Citizen Participation Public Hearing Certification form, hearing minutes, and attendance list (if all attendees are not listed in the hearing minutes) to DEHCR CDBG Project Representative.
September 30, 2025	<ul style="list-style-type: none"> • Complete Single Audit and submit Single Audit Report for CY2024 to Federal Audit Clearinghouse [FAC] if the Grantee was required to complete a Single Audit for CY2024 (submit within 30 days of Single Audit completion or September 30, 2025, whichever date is <i>earlier</i>). Submit record of submission from the FAC website to DEHCR CDBG Project Representative. Reporting must follow the guidance provided in the Program Implementation Handbook.
October 31, 2025	<ul style="list-style-type: none"> • Complete all Construction Activities. • End of Construction Period. <i>No construction expenses incurred after this date.</i>
December 31, 2025	<ul style="list-style-type: none"> • Submit Final CDBG Payment Request and supporting documents. • Submit Project Completion Report and supporting documents, including the Final Summary Narrative and supporting documents for the period of October 1, 2025 through December 31, 2025 (with Project Completion Report). Reporting must follow the guidance provided in the Program Implementation Handbook. • Submit Semi-Annual CDBG Project Data Report for the reporting period of October 1, 2025 through March 31, 2026 (reporting project activities October 1, 2025 through December 31, 2025) (with Project Completion Report). • Submit Final Labor Standards Compliance Report (LSCR) for each prime contractor (with Project Completion Report).

BCD CDBG Implementation Handbook

Due Date	Activity
January 15, 2026	<ul style="list-style-type: none">• Submit Single Audit Statement for CY2025 to DEHCR CDBG Project Representative. Arrange for Single Audit if required (Single Audit Report will be due to Federal Audit Clearinghouse [FAC] within 30 days of Single Audit being completed or September 30, 2026, whichever date is earlier).
Within 60 Days of Receipt of Final CDBG Payment	<ul style="list-style-type: none">• Submit Financial Certification of Completion and supporting documentation (as listed in the Financial Certification).
September 30, 2026	<ul style="list-style-type: none">• Complete Single Audit and submit Single Audit Report for CY2025 to Federal Audit Clearinghouse [FAC] if the Grantee was required to complete a Single Audit for CY2025 (submit within 30 days of Single Audit completion or September 30, 2026, whichever date is <i>earlier</i>). Submit record of submission from the FAC website to DEHCR CDBG Project Representative. Reporting must follow the guidance provided in the Program Implementation Handbook.

SAMPLE

ATTACHMENT 9-F: CDBG JOBS PROJECT EMPLOYEE SELF CERTIFICATION REPORT (TEMPLATE)

The current 'fillable' version of this Attachment is on the [CDBG Implementation Handbook website](#) (under the Chapter Attachments/Fillable Forms section).

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

CDBG JOBS PROJECT EMPLOYEE SELF CERTIFICATION REPORT

1. GRANT INFORMATION:
 GRANTEE/UGLG NAME:
 BUSINESS/EMPLOYER NAME:
 GRANT AGREEMENT #:

2. REPORTING PERIOD: (check one option below and enter the reporting period dates)
 Semi-Annual Report: April 1, 20__ to Sept. 30, 20__ OR Oct. 1, 20__ to Mar. 31, 20__
 Final Summary Report: Project Start Date __ to Project End Date __

3. BASELINE FTE JOBS NUMBER:	0
4. TOTAL FTE JOBS RETAINED TO DATE: (for Job "Retention" projects only)	0
5. TOTAL FTE JOBS CREATED TO DATE: (for Job "Creation" projects only)	0
6. TOTAL CURRENT FTE JOBS AT THE BUSINESS/EMPLOYER TO DATE (for Job "Creation" projects only)	0

7. RACE DATA FOR EMPLOYEES IN FTE JOBS RETAINED (OR) CREATED TO DATE:

Single Race	Total Number	Number Hispanic	Multi-Racial or No Answer	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/OTHER PACIFIC ISLANDER	0	0	OTHER MULTI-RACIAL	0	0
OTHER	0	0	DID NOT ANSWER	0	

8. INFORMATION ON FTE POSITIONS RETAINED (OR) CREATED TO DATE:

CLASSIFICATION	TOTAL RETAINED (OR) CREATED
OFFICIALS & MANAGERS	0
PROFESSIONAL	0
TECHNICIANS	0
SALES	0
OFFICE & CLERICAL	0
CRAFT WORKERS (SKILLED)	0
OPERATIVES (SEMI-SKILLED)	0
LABORERS (UNSKILLED)	0
SERVICE WORKERS	0
TOTAL RETAINED OR CREATED	0

CDBG Jobs Project Employee Self Certification Report

Form 09-F v.2023-05-15

Division of Energy, Housing and Community Resources

CDBG Jobs Project Employee Self Certification Report

CDBG JOBS PROJECT EMPLOYEE SELF CERTIFICATION REPORT (continued)

GRANTEE/UGLG NAME:

BUSINESS/EMPLOYER NAME:

GRANT AGREEMENT #:

REPORTING PERIOD: (check one option below and enter the reporting period dates)

Semi-Annual Report: April 1, 20__ to Sept. 30, 20__ OR Oct. 1, 20__ to Mar. 31, 20__

Final Summary Report: Project Start Date __ to Project End Date __

9. Have the employees been provided employer sponsored health care?	<input type="checkbox"/> YES <input type="checkbox"/> NO
10. How many employees were previously unemployed?	<u>0</u>

11. Enter the number of employees in each income category as recorded in Question #1 of the Employee Self Certification Forms. (Those in A-C qualify as low- to moderate-income (LMI).)			
A (VERY LOW)	B (LOW)	C (MODERATE)	D (ABOVE LMI LIMITS)
0	0	0	0

12. 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 UGLG Approver as Certification*	_____ UGLG Approver Email Address
_____ UGLG Approver Phone Number	Click here to select date Date of UGLG Approval / Certification
*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 to review and approve this document; and authorizes the Preparer to submit it to DEHCR on the UGLG's behalf. The UGLG Approver must be the Chief Elected Official (CEO) or a person authorized/designated by the CEO on the Signature Certification Form (submitted to DEHCR with the pre-agreement documents for the project) or by the UGLG's governing body to approve CDBG project documents. If the person submitting this document is not the UGLG Approver, then the UGLG Approver must be cc'd on the email submission to DEHCR.	

- | 13. REPORT ATTACHMENTS: |
|--|
| <ul style="list-style-type: none"> • Submit the <i>Employee Self Certification Forms</i> (completed by employees) with <u>each</u> semi-annual <i>Certification Report</i>. Only completed forms not previously submitted to DEHCR are to be submitted with each semi-annual report. • Submit with the Final <i>Certification Report</i> the following: <ol style="list-style-type: none"> 1) All <i>Employee Self Certification Forms</i> of employees that currently (at the end of the project) are in the jobs "retained" (or "created" as a result of the CDBG project; 2) A current payroll record from the Business/Employer that includes a list of all full-time and part-time employees (with part-time employees' average hours worked per week so any FTE values can be reconciled), their positions, and hire dates; 3) A letter from the Business/Employer certifying the accuracy of payroll record data, as secondary verification of the current employment numbers and positions "retained" (or) "created" as a result of the CDBG project; and 4) If all data from the <i>Employee Self Certification Forms</i> are <u>not</u> in the payroll record referenced in #2 above, then provide a separate spreadsheet with the data entered from all <i>Employee Self Certification Forms</i> being submitted with the Final <i>Certification Report</i> (including each employee's full name, job/position type, hire date, FT or PT/FTE status (with average hours worked per week), income range (A, B, C, or D), race and Hispanic ethnicity data, and employment status prior to hire. |

ATTACHMENT 9-F1: CDBG JOBS PROJECT EMPLOYEE SELF CERTIFICATION REPORT (SAMPLE)

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

CDBG JOBS PROJECT EMPLOYEE SELF CERTIFICATION REPORT

NAME OF UGLG: Village of Yourville
 BUSINESS NAME: Yourville Farms, LLC
 GRANT AGREEMENT #: PFED 21-50

REPORTING PERIOD ENDED: (choose one)
 Semi-Annual Report: October 1, 20²¹ to March 31, 20²²
 Semi-Annual Report: April 1, 20 to September 30, 20
 Final Summary Report: Project Start Date to Project End Date

BASELINE JOB NUMBER	100
TOTAL JOBS CREATED TO DATE	20
TOTAL WORKFORCE (BASELINE + CREATED)	120

EMPLOYEE RACE FOR JOBS CREATED TO DATE					
Single Race	Total Number	Number Hispanic	Multi-Racial	Total Number	Number Hispanic
WHITE	10	2	AMERICAN INDIAN/ALASKAN NATIVE & WHITE	2	0
BLACK/AFRICAN AMERICAN	2	0	ASIAN & WHITE	0	0
ASIAN	3	0	BLACK/AFRICAN AMERICAN & WHITE	0	0
AMERICAN INDIAN/ALASKAN NATIVE	2	0	AMERICAN INDIAN/ALASKAN NATIVE AND AFRICAN AMERICAN	0	0
NATIVE HAWAIIAN/PACIFIC ISLANDER	0	0	OTHER MULTI-RACIAL	1	1
OTHER	0	0		0	0

INFORMATION ON POSITIONS CREATED TO DATE	
CLASSIFICATION	TOTAL CREATED TO DATE
OFFICIALS/MANAGERS	2
SALES	0
OPERATIVES (SEMI-SKILLED)	10
PROFESSIONALS	0
TECHNICIANS	0
LABORERS (UNSKILLED)	4
OFFICE/CLERICAL	0
CRAFT WORKERS (SKILLED)	0
SERVICE WORKERS	4
TOTAL CREATED	20

CDBG Jobs Project Employee Self Certification Report Form v.09/01/2021

BCD CDBG Implementation Handbook

Division of Energy, Housing and Community Resources

CDBG Jobs Project Employee Self Certification Report

CDBG JOBS PROJECT EMPLOYEE SELF CERTIFICATION REPORT (continued)

NAME OF UGLG: Village of Yourville
 BUSINESS NAME: Yourville Farms, LLC
 GRANT AGREEMENT #: PFED 21-50

REPORTING PERIOD ENDED: (choose one)

- Semi-Annual Report: October 1, 20__21__ to March 31, 20__22__
 Semi-Annual Report: April 1, 20__ to September 30, 20__
 Final Summary Report: Project Start Date __ to Project End Date __

SAMPLE

1. Have new positions been provided employer sponsored health care?	YES <input checked="" type="checkbox"/> NO <input type="checkbox"/> N/A <input type="checkbox"/>
2. Have position openings been posted with the WI Department of Workforce Development or local employment agency per your Application with DEHCR?	YES <input checked="" type="checkbox"/> NO <input type="checkbox"/> N/A <input type="checkbox"/>
3. Have any new positions been filled by individuals that were previously unemployed? If yes, please provide the number:	YES <input checked="" type="checkbox"/> NO <input type="checkbox"/> N/A <input type="checkbox"/> <div style="text-align: center;">8</div>

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

A (VERY LOW)	B (LOW)	C (MODERATE)	D (ABOVE LMI LIMITS)
0	12	6	2

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.*

John Smith, Planner, XYZ Consulting, Inc. jsmith@xyzconsulting.net
Typed Name, Title & Firm/Organization of Report Preparer* Preparer Email Address

Jane Johnson, Village President president@yourvillevillage.com
Typed Name and Title of UGLG Approver as Certification* UGLG Approver Email Address

(608) 222-3333 03/13/2022
UGLG Approver Phone Number Date of UGLG Approval / Certification

*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 DEHCR on the UGLG's behalf. The UGLG 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 UGLG's governing body to approve CDBG project documents. 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.

ATTACHMENT 9-F2: CDBG JOBS PROJECT EMPLOYEE SELF CERTIFICATION REPORT (INSTRUCTIONS)

The current version of these Instructions is within Attachment 9-F on the [CDBG Implementation Handbook website](#) (under the Chapter Attachments/Fillable Forms section).

Division of Energy, Housing and Community Resources

CDBG Jobs Project Employee Self Certification Report

CDBG JOBS PROJECT EMPLOYEE SELF CERTIFICATION REPORT (INSTRUCTIONS)

The *CDBG Jobs Project Employee Self Certification Report* is a summary of the information gathered from *Employee Self Certification Forms*. For job "retention" projects, the *Employee Self Certification Forms* are to be completed at the start of the project by employees in the existing jobs to be retained and during the project by employees hired to refill any job being "retained" that becomes vacant. For job "creation" projects, the *Employee Self Certification Forms* are to be completed during the project by new employees hired to fill or refill a job that was created. Employees only need to complete the form *once* (they do *not* need to complete the form every semi-annual reporting period). The *Employee Self Certification Form* template may be downloaded from the [CDBG Implementation Handbook](#) page at:

<https://energyandhousing.wi.gov/Pages/AgencyResources/CDBG-Implementation-Handbook.aspx> (refer to Attachment 09-F3).

1. **Grantee/UGLG & Business/Employer Names & Grant Agreement #:** At the top of pages 1-2 of the report, enter the name of the Grantee/UGLG (unit of general local government) and Business/Employer (the entity designated to "retain" or "create" jobs for the project), and the Grant Agreement #.
2. **Reporting Period:** Check the applicable box and enter the years after the months shown for the current semi-annual reporting period; or for the Final Report, enter the project start date (which is the first date of the job "retention" (or) job "creation" period for the project) and the project end date (which is the due date of the Project Completion Report), as listed in the *Grant Agreement*.
3. **Baseline Jobs Number:** Enter the number of full-time equivalent (FTE) permanent jobs as of the baseline date, as listed in the Scope of Work in the *Grant Agreement*.
4. **FTE Jobs Retained To Date:** Enter the number of FTE permanent jobs retained to date if the scope of the project is to "retain" jobs at the Business/Employer.
5. **Total Jobs Created To Date:** Enter the number of FTE permanent jobs created to date if the scope of the project is to "create" jobs at the Business/Employer.
6. **Total Current FTE Jobs:** Enter the current total number of FTE jobs at the Business/Employer to date, adding the Baseline Jobs number and Total Jobs Created To Date number together, if the scope of the project is to "create" jobs at the Business/Employer. Any of the positions from the "baseline" jobs or "created" jobs previously reported that are now vacant/unfilled must be subtracted from the calculation for the "Total Current FTE Jobs" number.
7. **Race Data for Jobs Retained (or) Created To Date:** Enter the total number to date of Employees in each Race category and their Hispanic status according to their responses to Questions 1-2 on the *Employee Self Certification Form*. Update the fields to reflect any changes in employees currently in the "retained" (or) "created" jobs (replacing the data from former employees with the data from new employees that 'refilled' their positions).

Example for entering the race and Hispanic ethnicity information: Six (6) Employees completed *Employee Self Certification Forms* with all six (6) identifying as White, and of those, three (3) also identified as Hispanic. The entry for the White race category would be six (6), and the entry for the Hispanic category next to the White race would be three (3).

8. **Information on Position(s) Retained (or) Created to Date:** Based on Business/Employer's responses on page 2 of the *Employee Self Certification Forms* to date, enter the total number of positions "retained" or "created" within each of the position classifications listed. Enter the total number of positions "retained" or "created" in the final line.
9. **Healthcare Plan Benefit:** Check "Yes" or "No" to indicate whether employees in the "retained" (or) "created" jobs are provided an employer sponsored healthcare plan.

Division of Energy, Housing and Community Resources

CDBG Jobs Project Employee Self Certification Report

10. **Unemployment Status of New Employees Prior to Hire:** Based on the responses to Question #4 on the *Employee Self Certification Form*, enter the total number of employees that reported being unemployed prior to applying for a job with your company/organization.
 11. **Family Income of Employees:** Based on the responses to Question #1 on the *Employee Self Certification Form*, enter the total number of employees in the "retained" or "created" jobs with a family income that falls into each of the Family Income Range categories A-D. Employees with family income ranges A-C qualify as low- and moderate-income (LMI).
 12. **Report Certification:** Complete the Report Certification. If the *Report Preparer* is not an authorized UGLG Approver, then the UGLG Approver information must be entered. The *Report* must be approved by the UGLG. The UGLG 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 authorized/designated 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 copy ('cc') the UGLG Approver when emailing it to DEHCR.*
 13. **Report Attachments:** Submit the *Employee Self Certification Forms* (completed by employees) with each semi-annual *Certification Report*, including only the *Certification Forms* that have not been previously submitted to DEHCR. As noted above, employees only need to complete a *Certification Form* once for the project (not every reporting period). The **Final** *Certification Report* must be submitted with the *CDBG Project Completion Report*. It is a summary of all jobs "retained" (or) "created" during the job "retention" (or) job "creation" period, as listed in the *Grant Agreement*. Submit with the **Final** *Certification Report* the following:
 - 1) All *Employee Self Certification Forms* of employees who currently (at the end of the project) are in the jobs "retained" (or) "created" as a result of the CDBG project;
 - 2) A current payroll record/spreadsheets from the business/employer with the current list of all full-time and part-time employees (with part-time employees' average hours worked per week so any FTE values can be reconciled), their positions, and hire dates;
 - 3) A letter from the Business/Employer certifying the accuracy of payroll record data, as verification of the current employment numbers and positions "retained" (or) "created" as a result of the CDBG project; and
 - 4) If all data from the *Employee Self Certification Forms* are not in the payroll record referenced in #2 above, then provide a separate spreadsheet with the data entered from all *Employee Self Certification Forms* being submitted with the *Final Certification Report* (including each employee's full name, job/position type, hire date, FT or PT/FTE status (with average hours worked per week), income range (A, B, C, or D), race and Hispanic ethnicity data, and employment status prior to hire.
- These documents are necessary as secondary verification of the current employment numbers (and comparing them with the "baseline" and jobs "retained" (or) "created" numbers), positions created, and status of employees hired as a result of the CDBG project.
14. **Submission Method:** Email the completed *Employee Self Certification Report*, completed *Employee Self Certification Forms*, and any other applicable supporting documents to the assigned DEHCR Project Representative or to DOACDBG@wisconsin.gov. Retain the completed *Certification Report*, *Certification Forms*, and supporting documents in the UGLG's CDBG project files.

ATTACHMENT 9-F3: CDBG JOBS PROJECT EMPLOYEE SELF CERTIFICATION FORM (TEMPLATE)

The current 'fillable' version of this Attachment is linked of the [CDBG Implementation Handbook website](#) (under the Chapter Attachments/Fillable Forms section) – The link is to the 'master' documents for 2011 to Present.

The *Employee Self Certification Forms* 'master' document has forms for all Wisconsin counties, and this document is posted annually (when HUD issues new Income Limits).

BCD CDBG Implementation Handbook

GRANTEE/UGLG NAME: _____
 BUSINESS/EMPLOYER NAME: _____

2023 Ashland County

STATE OF WISCONSIN COMMUNITY DEVELOPMENT BLOCK GRANT CDBG JOBS PROJECT EMPLOYEE SELF CERTIFICATION

The Business/Employer named above is collecting the following information as a result of participating in the U.S. Department of Housing and Urban Development's (HUD) Community Development Block Grant (CDBG) program. To meet federal regulations, the Business/Employer is required to collect the data requested below from you. This information is reported to HUD and used by the U.S. Congress to measure the effectiveness of the program. *Your cooperation helps make it possible for the local community to benefit from this grant program. Your responses and personal information will be kept strictly confidential.*
 Please complete Parts 1 – 4 below.

PART 1: FAMILY INCOME				
FAMILY SIZE:	FAMILY INCOME RANGE:			
Circle # of all people in your family living in your household below.	In the same row as your Family Size, please check the box below that represents your annual Family Income Range. "Family" includes you and all persons related to you living in your household. Only include the annual income of the adult family members (age 18 and older) living in your household for the income calculation.			
	A	B	C	D
1	<input type="checkbox"/> \$0 - \$17,850	<input type="checkbox"/> \$17,851 - \$29,750	<input type="checkbox"/> \$29,751 - \$47,600	<input type="checkbox"/> Greater than \$47,600
2	<input type="checkbox"/> \$0 - \$20,400	<input type="checkbox"/> \$20,401 - \$34,000	<input type="checkbox"/> \$34,001 - \$54,400	<input type="checkbox"/> Greater than \$54,400
3	<input type="checkbox"/> \$0 - \$22,950	<input type="checkbox"/> \$22,951 - \$38,250	<input type="checkbox"/> \$38,251 - \$61,200	<input type="checkbox"/> Greater than \$61,200
4	<input type="checkbox"/> \$0 - \$25,500	<input type="checkbox"/> \$25,501 - \$42,500	<input type="checkbox"/> \$42,501 - \$68,000	<input type="checkbox"/> Greater than \$68,000
5	<input type="checkbox"/> \$0 - \$27,550	<input type="checkbox"/> \$27,551 - \$45,900	<input type="checkbox"/> \$45,901 - \$73,450	<input type="checkbox"/> Greater than \$73,450
6	<input type="checkbox"/> \$0 - \$29,600	<input type="checkbox"/> \$29,601 - \$49,300	<input type="checkbox"/> \$49,301 - \$78,900	<input type="checkbox"/> Greater than \$78,900
7	<input type="checkbox"/> \$0 - \$31,650	<input type="checkbox"/> \$31,651 - \$52,700	<input type="checkbox"/> \$52,701 - \$84,350	<input type="checkbox"/> Greater than \$84,350
8 or more	<input type="checkbox"/> \$0 - \$33,700	<input type="checkbox"/> \$33,701 - \$56,100	<input type="checkbox"/> \$56,101 - \$89,800	<input type="checkbox"/> Greater than \$89,800

Source: [2023 HUD CDBG Income Limits](#) (effective 06/16/2023) for Ashland County

PART 2: RACE/ETHNICITY		
RACE CATEGORY:	In this column, enter the Number (#) in Your Family who are in the RACE Category shown on the Left and NON-HISPANIC:	In this column, enter the Number (#) in Your Family who are in the RACE Category shown on the Left and HISPANIC:
White		
Black/African American		
Asian		
American Indian/ Alaskan Native		
Native Hawaiian/ Other Pacific Islander		
American Indian/ Alaskan Native & White		
Asian & White		
Black/African American & White		
American Indian/ Alaskan Native & Black/African American		
Other Multi-Racial		
Other		

PART 3: PREVIOUS UNEMPLOYMENT STATUS	
Were you unemployed prior to applying for employment with this employer?	<input type="checkbox"/> YES <input type="checkbox"/> NO

PART 4: EMPLOYEE CERTIFICATION		
<i>I certify that the information provided above is true and correct to the best of my knowledge.</i>		
Printed Full Name _____	Signature _____	Date _____

BCD CDBG Implementation Handbook

GRANTEE/UGLG NAME: _____
 BUSINESS/EMPLOYER NAME: _____

Job Category Definitions

FOR EMPLOYER USE ONLY: (ALL ENTRY FIELDS ARE REQUIRED AND MUST BE COMPLETED.)		
Employee Name: _____	Date Hired: / /	
Position Details: <input type="checkbox"/> Full-Time <input type="checkbox"/> Part-Time (Avg. Hours/Week:)		
Employer-Sponsored Healthcare Plan Offered: <input type="checkbox"/> Yes <input type="checkbox"/> No		
Position Class:		
<input type="checkbox"/> Official/Manager	<input type="checkbox"/> Professional	<input type="checkbox"/> Technician
<input type="checkbox"/> Sales	<input type="checkbox"/> Office/Clerical	<input type="checkbox"/> Craft Worker (Skilled)
<input type="checkbox"/> Operative (Semi-skilled)	<input type="checkbox"/> Laborer (Unskilled)	<input type="checkbox"/> Service Worker

1. **Officials & Managers** - Workers 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** - Workers requiring either college graduation or experience of such kind and amount as to provide a comparable background includes: accountants and auditors, airplane pilots and navigators, architects, artists chemists, designers, dietitians, editors, engineers, lawyers, librarians, mathematicians, natural scientists, registered professional nurses, professional and labor relations workers, physical scientists, physicians, social scientists, teachers, and kindred workers.
3. **Technicians** - Workers 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** - Workers engaging wholly or primarily in direct selling. This includes: advertising agencies sales workers; insurance agents and brokers; real estate agents and brokers; sales persons in department stores, retail sales workers; and sales of grocery clerks and cashiers; and kindred workers.
5. **Office or Clerical** - Workers in all clerical-type work regardless of level of difficulty, where the activities are predominantly non-manual though some manual work (not directly related with altering or transporting the products) is included. This includes: bookkeepers, cashiers, collectors (bills and accounts), messengers and office helpers, office machine operators, shipping and receiving clerks, stenographers, typists, and secretaries, telegraph and telephone operators, and kindred workers.
6. **Craft Workers (skilled)** - Workers in manual occupations of relatively high skill level, having a thorough and comprehensive knowledge of the processes involved in their work. Exercise considerable independent judgment and usually receive an extensive period of training. This includes: the building trades, hourly paid supervisors and lead operators (who are not members of management), mechanic and repairers, skilled machining occupations, compositors and typesetters, electricians, engravers, job setters (metal), motion picture projectionists, pattern and model makers, stationary engineers, tailors, and kindred workers.
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.), operatives, attendants (auto service and parking), blasters, chauffeurs, delivery workers, dress makers and sewers (except factory), dryer's furnaces workers, heaters (metal), laundry and dry cleaning, operatives, milliners, mine operatives and laborers, motor operators, oilers and greasers (except auto), painters (except construction and maintenance), photographic process workers, boiler tenders, truck and tractor drivers, weavers (textile), welders and flame metals workers, and kindred workers.
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, chairworkers and cleaners, cooks (except household), counter and fountain workers, elevator operators, firefighters and fire protection guards, door keepers, stewards, janitors, police officers and detectives, porters, waiters and waitresses, and kindred worker.

Page 2 of 2

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

*The current 'editable' version of this Attachment is on the [CDBG Implementation Handbook website](#)
(under the Chapter Attachments/Fillable Forms section).*

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, 20[YY], 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]

TEMPLATE

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

The current 'fillable' version of this Attachment is on the [CDBG Implementation Handbook website](#) (under the Chapter Attachments/Fillable Forms section).

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, 20[YY], the [UGLG Name]:

1. 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.
2. 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.

<u>CFDA #*</u>	<u>GRANT CONTRACT #</u>	<u>SOURCE AGENCY</u>	<u>AMOUNT EXPENDED</u>
_____	_____	_____	_____
_____	_____	_____	_____

(Chief Elected Official (CEO) Signature)

[CEO First and Last Name], [CEO Title]

TEMPLATE

* The CFDA # for all CDBG projects is 14.228.

** For any non-CDBG funds, please contact the granting agency directly to determine if funds are considered federal.

ATTACHMENT 9-H1: SINGLE AUDIT STATEMENT [AUDIT NOT REQUIRED] (SAMPLE)

VILLAGE OF YOURVTOWN
123 MAIN STREET • P.O. BOX 100 • YOURTOWN, WISCONSIN • 54441
JSMITH@YOURTOWN.WI.US • (608) 222-3333

SINGLE AUDIT STATEMENT (AUDIT NOT REQUIRED)

January 14, 2024

Chris Smith, Grants Specialist – Advanced
Wisconsin Department of Administration
Division of Energy, Housing and Community Resources
Bureau of Community Development
P.O. Box 7970
Madison, WI 53707-7970
Chris.Smith@wisconsin.gov

SAMPLE

I hereby attest, under penalties of perjury, that during the calendar year ending

December 31, 2022, the Village of Yourtown:

1. 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.
2. 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.

<u>CFDA #*</u>	<u>GRANT CONTRACT #</u>	<u>SOURCE AGENCY</u>	<u>AMOUNT EXPENDED</u>
14.228	CDBG PF 23-99	DOA/HUD	\$308,375.00
14.268	CDBG Housing 23-88	DOA/HUD	\$23,118.27
21.019	CARES ACT RR 23966	DOA/US Dept. of Treasury	\$95,203.12
66.458	SDWL 230077	DNR/EPA	\$108,302.89

John Miller

John Miller
Village President

BCD CDBG Implementation Handbook

ATTACHMENT 9-I(1): CLIENT INCOME CERTIFICATION REPORT (TEMPLATE)

For **NON-CDBG-CV PROJECTS ONLY** IF Specified As Required for Your Project.

The current 'fillable' version of this Attachment is on the [CDBG Implementation Handbook website](#) (under the Chapter Attachments/Fillable Forms section).

Division of Energy, Housing and Community Resources
CDBG Project Client Income Certification Report (Non-CV Projects)

CLIENT INCOME CERTIFICATION REPORT (9-I(1))

GRANTEE/UGLG NAME: _____
 GRANT AGREEMENT #: _____
 REPORTING PERIOD (as listed in Grant Agreement Time Table): MM/DD/YYYY to MM/DD/YYYY

TOTAL # NEW CLIENTS SERVED DURING THIS REPORTING PERIOD <small>(Do not include duplicate clients from previous reporting periods.)</small>	0
TOTAL # CLIENTS SERVED TO DATE	0

RACE/ETHNICITY OF NEW CLIENTS SERVED DURING THIS REPORTING PERIOD					
Single Race	Total Number	Number Hispanic	Multi-Racial or No Answer	Total Number	Number Hispanic
WHITE	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	DID NOT TO ANSWER	0	0

LMI STATUS OF NEW CLIENTS SERVED DURING THIS REPORTING PERIOD	
# of LMI NEW CLIENTS: <u>0</u>	# of NON-LMI New Clients: <u>0</u>

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 UGLG Approver as Certification* _____ UGLG Approver Email Address _____

UGLG Approver Phone Number _____ MM/DD/YYYY Date of UGLG Approval / Certification

*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 DEHCR on the UGLG's behalf. UGLG Approver must be the Chief Elected Official (CEO) or a person authorized by the CEO on the UGLG's signature certification (submitted with the agreement) to submit this document on behalf of the UGLG or authorized/designed by the UGLG's governing body to apply for CDBG funding. If the Preparer is not the UGLG Approver, then the submitter must copy the UGLG Approver information to DEHCR.

Client Income Certification Report (Non-CV Projects) Attach09-I(1) Form v.2022-09-15

Division of Energy, Housing and Community Resources

CDBG Project Client Income Certification Report (Non-CV Projects)

CLIENT INCOME CERTIFICATION REPORT (9-I(1)) (INSTRUCTIONS)

(For Non-CV Projects)

The *CDBG Project Client Income Certification Report* is a summary of the information gathered from *Client Income Certification Forms* (Attachment 9-J(1)) (for non-CV projects) completed at the time the client begins receiving services in the Unit of General Local Government's (UGLG's) CDBG-funded program. The *Client Income Certification Form* (Attachment 9-J(1)) for non-CV projects is in Chapter 9 of the *CDBG Implementation Handbook* and the fillable version is at <https://doa.wi.gov/Pages/LocalGovtsGrants/CDBGImplementationHandbook.aspx>.

Note: For CDBG-CV projects, the *CDBG-CV Client Income Report* (Attachment 9-I(2)) and *CDBG-CV Client Income Certification Forms* (Attachment 9-J(2)) must be used for collecting and reporting client data (if applicable/required for the project).

1. **Grantee/UGLG Name:** Enter the name of the Unit of General Local Government (UGLG) that received the CDBG award [e.g., Yourville County, City of Yourville, Village of Yourville, Town of Yourville]
2. **Grant Agreement #:** Enter the CDBG Grant Agreement # for the UGLG's CDBG project.
3. **Reporting Period:** Enter the Reporting Period for which the report is being completed, entering the reporting period dates as they appear in the Grant Agreement Time Table.
4. **# of New Clients Served During This Reporting Period:** Enter the number of *new* clients (not previously serve in any previous reporting period) served from the start of the reporting period to end of the reporting period; and the total number of clients served to date through the CDBG project.
5. **Race/Ethnicity of New Clients Served During This Reporting Period:** Enter the total number of clients reporting in each race/ethnicity category on the *Client Income Certification Form* during the reporting period. Do not leave any entries blank. Enter zero (0) for any categories for which no clients selected the category or if no clients were served during the reporting period, if applicable.

For example, six (6) new clients completed *Client Income Certification Forms* with all six (6) identifying as White and of those, three (3) also identified as Hispanic. Therefore, for White "6" should be entered under Total Number and "3" should be entered under Hispanic.

6. **LMI Status of New Clients Served During This Reporting Period:** Using the information from the Family Income Category of the *Client Income Certification Form*, enter the total number of new clients served during the reporting period are LMI (i.e., have a family income at or below the LMI income threshold shown for their family size on the *Client Income Certification Form*); and the total number who are Non-LMI (i.e., have a family income above the LMI income threshold shown for their family size).
7. **Report Certification:** Complete the Report Certification. If the *Report Preparer* is not an authorized UGLG Approver, then the UGLG Approver information must be entered. The *Report* must be approved by the UGLG. The UGLG 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 authorized/designated 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 copy ('cc') the UGLG Approver when emailing it to DEHCR.*
8. The Final Report must be submitted with the Project Completion Report. It is a summary of all clients served during the project performance period, as listed on the *Grant Agreement*.
9. **Email one (1) copy** of the completed Certification documents to the assigned DEHCR Project Representative or to DOACDBG@wisconsin.gov. Retain the completed Certification Report and Certification Forms in the UGLG's CDBG project files.

ATTACHMENT 9-I(1)A: CLIENT INCOME CERTIFICATION REPORT (SAMPLE)

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 <i>(Do not include duplicate clients from previous reporting periods.)</i>	10
TOTAL # CLIENTS SERVED TO DATE	30

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

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

REPORT CERTIFICATION	
I certify that to the best of my knowledge and belief the contents in this report are true and correct. Completed individual <i>Employee Self-Certification Forms</i> are attached as supporting documentation.*	
<u>Jane Smith, Director, First Response Services</u> Typed Name, Title & Firm/Organization of Report Preparer*	<u>jane@firstresponseservices.org</u> Preparer Email Address
<u>Michael Martin, County Administrator</u> Typed Name and Title of UGLG Approver as Certification*	<u>mmartin@yourvillecounty.co.us</u> UGLG Approver Email Address
<u>(608) 222-3333</u> UGLG Approver Phone Number	<u>09/13/2023</u> Date of UGLG Approval / Certification
<p><i>*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 DEHCR on the UGLG's behalf. The UGLG 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 authorized/designated 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 copy ('cc') the UGLG Approver when emailing it to DEHCR.</i></p>	

ATTACHMENT 9-I(2): CDBG-CV CLIENT INCOME CERTIFICATION FORM (TEMPLATE)

For **CDBG-CV** Projects **ONLY IF Specified as Required for Your Project**.

The current 'fillable' version of this Attachment is on the [CDBG-CV Program website](#) and the [CDBG Implementation Handbook website](#) (under the Chapter Attachments/Fillable Forms section).

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

CDBG-CV CLIENT INCOME CERTIFICATION REPORT (9-I(2))

GRANTEE/UGLG NAME: _____

GRANT AGREEMENT #: _____

REPORTING PERIOD (as listed in Grant Agreement Time Table): MM/DD/YYYY to MM/DD/YYYY

TOTAL # NEW CLIENTS SERVED DURING THIS REPORTING PERIOD <small>(Do not include duplicate clients from previous reporting periods.)</small>	0
TOTAL # CLIENTS SERVED TO DATE	0

RACE/ETHNICITY OF NEW CLIENTS SERVED DURING THIS REPORTING PERIOD					
Single Race	Total Number	Number Hispanic	Multi-Racial or No Answer	Total Number	Number Hispanic
WHITE	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	DID NOT ANSWER	0	0

INCOME LEVEL OF NEW CLIENTS SERVED DURING THIS REPORTING PERIOD			
A (VERY LOW)	B (LOW)	C (MODERATE)	D (ABOVE) <i>Not LMI</i>
0	0	0	0

REPORT CERTIFICATION

I certify that to the best of my knowledge and belief the contents in this report are true and correct. Completed individual CV Client Income Certification Forms are attached as supporting documentation.*

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

Typed Name and Title of UGLG Approver as Certification* _____ UGLG Approver Email Address _____

UGLG Approver Phone Number _____ Date of UGLG Approval / Certification MM/DD/YYYY

*If the Preparer is not an authorized UGLG Approver, then the UGLG Approver information must be provided 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 employed official of the UGLG, authorized by the UGLG to view and approve project documents. The UGLG Approver must be the Chief Executive Officer, Chief Financial Officer, or a person authorized/designated by the CEO on the Signature Certification Form (submitted with project documents for the project) or authorized/designated 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 copy (cc) the UGLG Approver when emailing it to DEHCR.

CDBG-CV Client Income Certification Report Attach09-I(2) Form v.2022-09-15

Division of Energy, Housing and Community Resources

CDBG-CV Project Client Income Certification Report

CDBG-CV CLIENT INCOME CERTIFICATION REPORT (9-I(2)) (INSTRUCTIONS)

The *CDBG-CV Project Client Income Certification Report* is a summary of the information gathered from *CDBG-CV Client Income Certification Forms* completed at the time the client begins receiving services in the Unit of General Local Government's (UGLG's) CDBG-CV funded program.

1. **Grantee/UGLG Name:** Enter the name of the Unit of General Local Government (UGLG) that received the CDBG award [e.g., Yourville County, City of Yourville, Village of Yourville, Town of Yourville]
2. **Grant Agreement #:** Enter the CDBG-CV Grant Agreement # for the UGLG's CDBG-CV project.
3. **Reporting Period:** Enter the Reporting Period for which the report is being completed, entering the reporting period dates as they appear in the Grant Agreement Time Table.
4. **# of New Clients Served During This Reporting Period:** Enter the number of *new* clients (not previously serve in any previous reporting period) served from the start of the reporting period to end of the reporting period; and the total number of clients served to date through the CDBG-CV project.
5. **Race/Ethnicity of New Clients Served During This Reporting Period:** Enter the total number of clients reporting in each race/ethnicity category on the *CDBG-CV Client Income Certification Form* during the reporting period. **Do not leave any entries blank.** Enter zero (0) for any categories for which no clients selected the category or if no clients were served during the reporting period, if applicable.

For example, six (6) new clients completed *CDBG-CV Client Income Certification Forms* with all six (6) identifying as White and of those, three (3) also identified as Hispanic. Therefore, for White "6" should be entered under Total Number and "3" should be entered under Hispanic.

6. **Income Level of New Clients Served During This Reporting Period:** Using the information from the Family Income Category of the *CDBG-CV Client Income Certification Form*, enter the total number of new clients served during the reporting period with income levels in each of the categories, A-D.
NOTE: Persons who are in categories A-C are considered Low- and Moderate-Income (LMI) persons.

The [CDBG Income Limits](#) in effect at the time of the client's first program entry/service date must be used. The *CDBG Income Limits* are accessed through downloading the spreadsheet for the effective year on the [CDBG Income Limits](#) website, and locating the county in which the client lives (filtering the spreadsheet by state and county is recommended) to view the applicable income limits. The "Lim30" column = "Very Low" income limit; "Lim50" column = "Low" income limit; and "Lim80" column = "Moderate" income limit. The income limits for the 2021 program year (effective 06/01/2021 – 06/14/2022) and 2022 program year (effective 06/15/2022 – present) are already entered on the 2021 and 2022 versions of the *CDBG-CV Client Income Certification forms* linked on the [CDBG-CV Program website](#) and the [CDBG Implementation Handbook website](#) ["9-J(2) *CDBG-CV Client Income Cert. Forms*" under the "Chapter Attachments/Fillable Forms" section].

7. **Report Certification:** Complete the Report Certification. If the Report Preparer is not an authorized UGLG Approver, then the UGLG Approver information must be entered. The Report must be approved by the UGLG. The UGLG 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 authorized/designated by the UGLG's governing body to approve CDBG-CV CDBG project documents. *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.*
8. The Final Report must be submitted with the Project Completion Report. It is a summary of all clients served during the project performance period, as listed on the *Grant Agreement*.
9. **Email one (1) copy** of the completed Certification documents to the assigned DEHCR Project Representative or to DOACDBG@wisconsin.gov. Retain the completed Certification Report and Certification Forms in the UGLG's CDBG project files.

CDBG-CV Client Income Certification Report

Attach09-I(2) Form v.2022-09-15

ATTACHMENT 9-J(1): CLIENT INCOME CERTIFICATION FORM (TEMPLATE)

For **NON-CDBG-CV PROJECTS ONLY** IF Specified As Required for Your Project.

The current 'fillable' version of this Attachment is on the [CDBG Implementation Handbook website](#) (under the Chapter Attachments/Fillable Forms section).

CLIENT INCOME CERTIFICATION FORM (9-J(1))
(for non-CV projects)

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

[PROGRAM/PROJECT NAME]
CLIENT INCOME CERTIFICATION

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 family income information at the time of entry into the program:

PART A: FAMILY INCOME INFORMATION

- Circle 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	\$[ADD COUNTY INCOME LIMIT FOR FAMILY SIZE OF 1]		
2	\$[ADD COUNTY INCOME LIMIT FOR FAMILY SIZE OF 2]		
3	\$[ADD COUNTY INCOME LIMIT FOR FAMILY SIZE OF 3]		
4	\$[ADD COUNTY INCOME LIMIT FOR FAMILY SIZE OF 4]		
5	\$[ADD COUNTY INCOME LIMIT FOR FAMILY SIZE OF 5]		
6	\$[ADD COUNTY INCOME LIMIT FOR FAMILY SIZE OF 6]		
7	\$[ADD COUNTY INCOME LIMIT FOR FAMILY SIZE OF 7]		
8 or More	\$[ADD COUNTY INCOME LIMIT FOR FAMILY SIZE OF +/-8]		

PART B: 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 (Non-CV Projects)
Page 1
Attach09-J(1) Form v.2022-09-15

CLIENT INCOME CERTIFICATION FORM (9-J(1))

(for non-CV projects)

(INSTRUCTIONS)

Instructions for Program Administrators for Completion of Client Income Certification:

1. The *Client Income Certification Form* is only required if specified by DEHCR as required for the Grantee's project, listed in the *Grant Agreement – Attachment A: Time Table*.
NOTE: For **CDBG-CV Grantees**, if client data collection is required for your project, then the **CDBG-CV Client Income Certification Forms (Attachment 9-J(2))** and **CDBG-CV Client Income Report Form (Attachment 9-I(2))** must be used for collecting and reporting client data for the CV project, which are available on the [CDBG-CV Program website](#) or [CDBG Implementation Handbook website](#).
2. If the *Client Income Certification Form* (Attachment 9-J(1)) is applicable to the Grantee's project, then all clients served through/benefitting from the HUD/CDBG funded project must be given this form to complete upon entering the program/starting to receive services/benefits from the project. If a client refuses, then they must be deemed non-low-to-moderate income (non-LMI).
3. Enter the Grantee/UGLG name, Program Name, and CDBG Agreement # (CDBG Contract/Grant Agreement number) in the marked entry fields at the top of the *Client Income Certification Form*.
4. Insert the Family Income Levels in Part A of the *Client Income Certification Form*.
5. Give the form to the client, upon the client entering the program or starting to receive services/benefits from the HUD/CDBG funded project, and have them complete Part B and sign and date the form.
6. Refer to the FY2022 or FY2021 HUD CDBG Income Limits that are provided within this document to locate the client's county of residence and the applicable HUD CDBG Income Limits for each family size, in effect when the client entered the program or began receiving services/benefits from the HUD/CDBG funded project, to enter in the Family Income Level table within the certification form.
 - If the client is a resident of a county outside Wisconsin, or entered the program or began receiving services/benefits from the HUD/CDBG funded project prior to 6/1/2020, then obtain current income limits on the HUD [CDBG Income Limits](#) website at: <https://www.hudexchange.info/resource/5334/cdbg-income-limits/>.
 - **TIP:** Filter the spreadsheet by State to view only counties for that state, and select the Income Limits listed in the columns for Lim80_[year]p[# = family size number, e.g., 1, 2, 3, 4, 5, 6, 7, or 8].
Example: The "Lim80_22p7" and "Lim80_22p8" columns on the spreadsheet effective 6/15/2022 are the applicable Low (80%) Income Limits for FY2022 (for clients who enter the program or begin receiving services/benefits from the HUD/CDBG funded project on or after 6/15/2022) for a Family of 7 ("p7") and a Family of 8 or more ("p8").
 - Counties are listed in alphabetical order on the HUD spreadsheets. If a county is not listed, then it is part of a metropolitan area, and the metro area name is listed on the spreadsheet in place of the county name. Use the applicable metro area income limits when the client's county of residence is part of a metro area. Contact DEHCR for additional guidance as needed.
 - The income limits in effect (per the "Effective Date" listed on the [HUD CDBG Income Limits website](#) for the year selected) at the time of the client entered the program or began receiving services/benefits, and for the "Low (80%)" Income Limits for the county in which the client lives must be entered in the Family Income Level table on the certification form.
 - The CDBG Income Limits are updated annually by HUD, typically released in June or July. Check the [HUD CDBG Income Limits website](#) regularly for updates.
7. Compile the data collected from the *Client Income Certification Forms* (Attachment 9-J(1)) to complete and report the client data on the *Client Income Certification Form* (Attachment 9-I(1)), which must be submitted to DEHCR with the *Client Income Certification Forms* in accordance with the specifications in the Grantee's *Grant Agreement – Attachment A: Time Table*.

BCD CDBG Implementation Handbook

ATTACHMENT 9-K(1): SECTION 3 EMPLOYEE INCOME CERTIFICATION FORM (TEMPLATE) [Projects Awarded prior to 11/30/2020]

The current 'fillable' version of this Attachment is on the [CDBG Implementation Handbook website](#) (under the Chapter Attachments/Fillable Forms section).

SECTION 3 EMPLOYEE INCOME CERTIFICATION (9-K(1)) [24 CFR 135]
(For CDBG Projects Awarded Grant prior to 11/30/2020)

Employer/Company Name: _____
Employee Name: _____

This form is to be provided to Employers (subject to 24 CFR 75) in 'fillable' Microsoft Word format.

Instructions for Employer: Refer to the Instructions on pages 3-4 of this document for guidance on completing this Certification form.

Part A: Employee Information (To Be Completed By Employer):

1. Employee's Hire Date:	2. County of Residence:	3. State of Residence:
4. Employment Status (Check One):	New Full-Time Employee <input type="checkbox"/>	New Full-Time Trainee <input type="checkbox"/>

5. Income Levels in Part B (if applicable):
Refer to the instructions on page 3 of this form. Enter the applicable HUD CDBG Income Limits ("Income Levels") in **Part B** below for the county where the HUD/CDBG funded project is located *if* the Employee is a resident of the county where the project is located, and request that the New Hire/Trainee Employee complete Part B; *OR* if the Employee is not a resident of the county where the project is located, then check the "N/A" box in Part B and proceed to complete Part C.

Part B: Employee Family Income Information (To be Completed By Employee):

Instructions for Employee:
Your employer is currently working on a project funded by the U.S. Department of Housing and Urban Development (HUD) Community Development Block Grant (CDBG) Program that is subject to Section 3 of the Housing and Development Act (HDA) of 1968 [24 CFR Part 135]. Therefore, the information requested below in Part B must be requested from all new full-time employees (working full-time in a permanent, temporary or seasonal position) hired directly in connection with and/or working on the HUD/CDBG funded project who also live in the project area. 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. **Please complete the following:**

- Complete the Family Size and Income Level response section below, following these instructions:
 - **Circle** your Family Size in the far left column.
 - If your family income at the time of hire is/was **at or below** the Income Level shown for your Family Size, then check the box in the **AT or BELOW** column.
 - If your family income at the time of hire is/was **above** the Income Level shown for your Family Size, then check the box in the **ABOVE** column.
 - Family income is to be based on the adjusted gross income (AGI) on the previous calendar year's income tax return for all family members living in the household, or based on individual wages and other income in the past 12 months for any family member who did not file a tax return for the previous calendar year.

NOT APPLICABLE (N/A) – Not a resident of County where the HUD/CDBG project is located:
(If N/A, then check the box here on the right, skip "INCOME LEVEL" entry below, and go to Part C.) Check here if N/A:

RESPOND BELOW only if you are a resident of the County where the HUD/CDBG project is located:

FAMILY SIZE	INCOME LEVEL FOR [ENTER COUNTY NAME] COUNTY	Family Income is AT or BELOW	Family Income is ABOVE
Circle Family Size			
1	\$(ENTER COUNTY INCOME LIMIT FOR FAMILY SIZE OF 1)	<input type="checkbox"/>	<input type="checkbox"/>
2	\$(ENTER COUNTY INCOME LIMIT FOR FAMILY SIZE OF 2)	<input type="checkbox"/>	<input type="checkbox"/>
3	\$(ENTER COUNTY INCOME LIMIT FOR FAMILY SIZE OF 3)	<input type="checkbox"/>	<input type="checkbox"/>
4	\$(ENTER COUNTY INCOME LIMIT FOR FAMILY SIZE OF 4)	<input type="checkbox"/>	<input type="checkbox"/>
5	\$(ENTER COUNTY INCOME LIMIT FOR FAMILY SIZE OF 5)	<input type="checkbox"/>	<input type="checkbox"/>
6	\$(ENTER COUNTY INCOME LIMIT FOR FAMILY SIZE OF 6)	<input type="checkbox"/>	<input type="checkbox"/>
7	\$(ENTER COUNTY INCOME LIMIT FOR FAMILY SIZE OF 7)	<input type="checkbox"/>	<input type="checkbox"/>
8 or More	\$(ENTER COUNTY INCOME LIMIT FOR FAMILY SIZE OF +/-8)	<input type="checkbox"/>	<input type="checkbox"/>

Employee Certification/Signature

I affirm and hereby certify, under penalty of law, that my responses above are true and correct to the best of my knowledge and belief.

Employee Signature: _____ Date: _____

Employer Only: Check here if Employee refused to complete and sign the form and enter the date of refusal in the "Date" field above.

Section 3 Employee Income Certification (Pre-11/30-2020 Awards) Attach09-K1 Form v.2022-09-01

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SECTION 3 EMPLOYEE INCOME CERTIFICATION (9-K(1)) [24 CFR 135]

(For CDBG Projects Awarded Grant prior to 11/30/2020)

Employer/Company Name:

Employee Name:

PART C: Section 3 Information (To Be Completed By Employer):

Reporting Section 3 Resident Status:

The purpose of the HUD/CDBG Section 3 program is to provide employment, training, and contracting opportunities to individuals with low or very low income levels. Per [24 CFR Part 135](#), each *new full-time Employee or Trainee (working full-time in a permanent, temporary or seasonal position) working on the HUD/CDBG funded project* who is a resident in the County where the HUD/CDBG funded project is located is requested to self-certify their annual family income at the time of hire. The Employer is to determine from this information whether the Employee qualifies as a Section 3 Resident (as defined in [24 CFR Part 135](#)).

- If the Employee is not a resident of the County in which the project is located, the Employee does not qualify as a Section 3 Resident.
- If the Employee is a resident of the County in which the project is located but refused to complete Part B on form, then the Employee must be *presumed to not* qualify as a Section 3 Resident, *unless* they are a YouthBuild participant.

This form is to be completed and submitted to the designated Grant Administrator for the HUD/CDBG funded project for required reporting purposes; and must be maintained in the project file by the Employer and Grantee.

- | | | |
|---|------------------------------|-----------------------------|
| 1) Is this new full-time Employee a Section 3 Resident (per 24 CFR Part 135 , i.e., new full-time hire or Trainee living in the same County where the HUD/CDBG project is located, having an annual family income "At or Below" the HUD CDBG Income Limit for their Family Size listed on the Certification form as of the Hire Date); OR is a YouthBuild participant living in the same County where the project is located? | YES <input type="checkbox"/> | NO <input type="checkbox"/> |
| 2) Was this new Employee hired in connection with/as a result of the HUD/CDBG funded project? | YES <input type="checkbox"/> | NO <input type="checkbox"/> |
| 3) Does the Employer qualify as a Section 3 Business Concern (If YES, then check one or more of the criteria met below)*? | YES <input type="checkbox"/> | NO <input type="checkbox"/> |

*An Employer qualifies as a Section 3 Business Concern if they meet any one of the following criteria below [per [24 CFR Part 135](#)] – Check ALL that Apply, if applicable:

- At least 51% of the business is owned and controlled by Section 3 Residents, or
- At least 30% of all of the business' current full-time employees are currently Section 3 Residents or were Section 3 Residents within 3 years from their Hire Date, or
- At least 25% of the dollar award of all of the business' subcontracts are to be awarded to Section 3 Business Concerns

EMPLOYER REPRESENTATIVE/ PREPARER CERTIFICATION

By entering the name of the Employer Representative/Preparer name, title, and date below, the Preparer is certifying, under penalty of law, that the information entered in Part A – Part C on this form is true and correct to the best of their knowledge and belief.

Full Name & Title of Employer Representative/Preparer of this Form:

Date:

Enter the Grant Agreement #(s) of the HUD/CDBG Funded Project(s) for which this form applies:

SECTION 3 EMPLOYEE INCOME CERTIFICATION (9-K(1)) [24 CFR 135]

(For CDBG Projects Awarded Grant prior to 11/30/2020)

Employer/Company Name:

Employee Name:

Instructions to Employers and Program Administrators:

The Section 3 Employee Certification form is required to meet reporting obligations for HUD/CDBG funded projects subject to [24 CFR Part 135](#) (for projects for which the grant award was prior to 11/30/2020). The Employer **must** complete [Part A](#) and [Part C](#) for any new full-time Employees (including Trainees) hired to work on the HUD/CDBG funded project. In addition, the Employer **must** provide the form to the new full-time Employees, upon their hire, to complete [Part B](#) **only if** the Employee is a resident of the county where the HUD/CDBG funded project is located.

PAGE 1 'HEADER':

Prior to giving the Certification form to the new full-time Employee (upon their hire), the Employer is to enter the Employer's company name and the Employee's full name (first and last name) in the page 'header' on page 1.

PART A:

- The Employer is to complete all of [Part A](#).
- **#1 - #4:** The Employer is to enter the new Employee's information in items #1-4 in [Part A](#).
- **#5:** If the new full-time Employee is a resident of the county where the HUD/CDBG project is located, then the Employer is to enter the applicable HUD CDBG Income Limits in the "Income Levels" fields in [Part B](#) for each family size for the county where the HUD/CDBG funded project is located. If the new Employee is *not* a resident of the county where the project is located, then no "Income Levels" need to be entered and the form does not need to be provided to the Employee. However, the Employer still needs to complete the document 'header' fields, complete Part A, check the "N/A" box in Part B, and complete Part C of the form and provide it to your CDBG project contact (e.g., Grantee, prime contractor, etc).

PART B:

- If the new full-time Employee is a resident of the county where the HUD/CDBG project is located, then the Employer is to enter the applicable HUD CDBG Income Limits in the "Income Level" fields in [Part B](#) for each family size for the county where the project is located prior to giving the form to the Employee and requesting them to complete Part B. Otherwise check the "N/A" box in Part B and proceed to complete Part C of the form.
- The HUD CDBG Income Limits for Wisconsin counties for FY2022 (effective 6/15/2022), and FY2021 (effective 6/1/2021-6/14/2022) are provided on pages 4-7 of this document. The CDBG Income Limits are updated annually by HUD, typically released in June or July. Check for updates on the [CDBG Income Limits website](#) at: <https://www.hudexchange.info/resource/5334/cdbg-income-limits/>. The "Effective Date" is listed for each year. [TIP: Filter the spreadsheet by State to view only Wisconsin counties, and select the Income Limits listed in the columns for Lim80_[year]p[family size number, e.g., 1, 2, 3, 4, 5, 6, 7, or 8]. Example: The "Lim80_22p7" and "Lim80_22p8" columns on the spreadsheet effective 6/15/2022 are the applicable Low (80%) Income Limits for FY2022 (for new hires on or after 6/15/2022) for a Family of 7 ("p7") and a Family of 8 or more ("p8").]
- Provide the form to the new full-time Employee and request that they complete Part B to help the Employer meet employment goals set for the federally funded project.
- If the Employee refuses to complete the form, then the Employer must check the designated box and enter the refusal date at the bottom of page 1 where specified.

PART C:

- The Employer is to complete all of [Part C](#).
- **#1:** Respond by checking the "Yes" or "No" box to indicate whether the Employee is a Section 3 Resident. If the Employee is not a resident of the county in which the HUD/CDBG funded project is located, then the Employee *is not* a Section 3 Resident. If the Employee is a resident in of the county in which the HUD/CDBG funded project is located *and* marked "Below" for the income limit for their family size in [Part B](#), or is a YouthBuild participant (living in the same county where the project is located), then the Employee *is* a Section 3 Resident. If the Employee is a resident in of the county in which the HUD/CDBG funded project is located but refuses to complete [Part B](#), then the Employee's family income must be *presumed to be "Above"* the applicable income limit and therefore the Employee *is not* a Section 3 Resident (*unless* they are a YouthBuild participant living in the same county where the project is located).
- **#2:** Respond by checking the "Yes" or "No" box to indicate whether the Employee was hired as a result or in connection with the HUD/CDBG funded project.
- **#3:** Respond by checking the "Yes" or "No" box to indicate whether the Employer is a Section 3 Business Concern, and if "Yes", then check the appropriate box(es) for the criteria met.
- **Employer Representative/Preparer Certification:** The Employer is to enter the full name and title of the individual completing the form (Part A and Part C) on the Employer's behalf and enter the date that Part C is being completed.
- Enter the Grantee(s) and Grant Agreement #(s) (if known) for the project(s) for which the form is being completed.

ATTACHMENT 9-K(2): SECTION 3 EMPLOYEE INCOME CERTIFICATION FORM (TEMPLATE) [Projects Awarded on or after 11/30/2020]

The current 'fillable' version of this Attachment is on the [CDBG Implementation Handbook website](#) (under the Chapter Attachments/Fillable Forms section).

SECTION 3 EMPLOYEE INCOME CERTIFICATION (9-K(2)) [24 CFR 75]

This form is to be provided to Employers (subject to 24 CFR 75) in 'fillable' Microsoft Word format.

Instructions for Employer: Refer to the instructions on pages 3-4 of this document for guidance on completing this Certification form.

PART A: Employee's Current Address & Income Information when Starting Work on Project (Required)
(To be completed by Employer)

1. Employer's Name (Company/Organization): _____
2. Employee's First and Last Name: _____
3. Date(s) Employee Started Work on HUD/CDBG Funded Project(s): _____
[Refer to the instructions on page 3 for guidance regarding Employees working on multiple projects]
4. Employee's County and State of Residence: [example: _____ County, _____ State]
5. Income Limit for Employee's County of Residence: _____ \$
6. Is the Employee a YouthBuild participant? YES NO

PART B: Employee's Previous Address & Income Information on Hire Date (Optional)
(To be completed by Employer and Employee – Refer to Instructions in this document for guidance.)
Optional and only applicable for Employees hired on or after 11/30/2020.

Employer: Optional – Please complete #7 - #10 below. (Only Complete if Providing Form to Employee to Complete #11 - #12)

7. Employee's Hire Date: _____
8. Employee's Home Address on Hire Date [Street Address (not PO Box), City, State, Zip, County]: _____ County: _____
9. Income Limit in effect on Hire Date for Employee's County of Residence on Hire Date: _____ \$
10. Was the Employee a YouthBuild participant on their Hire Date? YES NO

Employee: Please complete #11 - #12 below, and sign and date the form. (Optional)

Instructions for Employee: Your employer is working on one or more projects funded in whole or in part by the U.S. Department of Housing and Urban Development (HUD) Community Development Block Grant (CDBG) Program. The information below is requested from employees hired on or after 11/30/2020 who are working on the project(s) to comply with federal regulations (24 CFR 75). Data are reported to regulating government entities for grant compliance. Individual personal identifying information is not released to the public. Your response is voluntary, confidential, and has no effect on your employment.

11. Is the Home Address on your Hire Date that is listed in item #8 above correct? YES NO
If No, enter Address on Hire Date [Street Address (not a PO Box), City, State, Zip, County]:

Address: _____ County*: _____
**If your County of residence on your Hire Date is different than the one listed in item #8 above, then check with your employer to determine if the Income Limit listed in item #9 above needs to be changed before you respond to item #12 below.*
12. Was your annual individual income on your Hire Date no more than the "Income Limit" entered in item #9 above? YES NO
[Income is to be based on your individual adjusted gross income (AGI) on the income tax return for the year prior to your Hire Date, or your individual wages and other income in the 12 months prior to your Hire Date if you did not file a tax return or your individual AGI is not otherwise determined.]

Employee Certification/Signature:
Employee Signature Only Required if Employee Completed Part B.
By signing below, I certify that the information I entered in Part B – items #11 - #12 is true and correct to the best of my knowledge.

Employee Signature: _____ Date: _____

Section 3 Employee Income Certification (post-11/30/2020 Awards)

Attach09-K(2) Form v.2022-09-15

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SECTION 3 EMPLOYEE INCOME CERTIFICATION (9-K(2)) [24 CFR 75]

PART C: Section 3 & Targeted Section 3 Reporting (Required)
(To be completed by Employer)

Employer's Name (Company/Organization): _____

Employee's First and Last Name: _____

Reporting Section 3 Worker/Targeted Section 3 Worker Status:
Per 24 CFR 75, the Employer is to determine whether the Employee qualifies as a Section 3 Worker and Targeted Section 3 Worker, as defined in #1-#2 below, based on the information entered in Part A, and Part B if applicable, of the Section 3 Employee Income Certification form, and/or based on the Employer's status as a Section 3 Business Concern.

(1) Is the Employee a Section 3 Worker by meeting one or more of the criteria in (a)-(c) below YES NO
[per 24 CFR 75]? Check ALL that Apply:

(a) Has/had annual individual income no more than the Income Limit listed in Part A (item #5) based on the wages (annualized) that the Employer pays the Employee; **OR** in Part B (item #9) based the Employee's response to item #12, if applicable and completed.

(b) Is/was a YouthBuild participant (currently, **OR** on Hire Date if hired 11/30/2020 or after).

(c) Is an Employee of a Section 3 Business Concern.*

(2) Is the Employee a Targeted Section 3 Worker by meeting one or more of the criteria in (a)-(c) below YES NO
[per 24 CFR 75.21]? Check ALL that Apply:

(a) Is/was a YouthBuild participant (currently, **OR** on Hire Date if hired 11/30/2020 or after).

(b) Is a Section 3 Worker who lives in the project area at the time of starting work on the project, **OR** if Part B is applicable and completed, then a Section 3 Worker who lived in the project area on their Hire Date; with their home residence being located:

- Within one (1) mile of the project site location (i.e., street address), **OR**
- If less than 5,000 people live within a one (1) mile radius of the project site, then lives within a boundary radius around the CDBG project site that encompasses a population of 5,000 people.

If the Employee is working on multiple HUD/CDBG funded projects and qualifies as a Targeted Section 3 Worker based on the Employee living in the project area as specified above for one project, but not for the other project(s), then a separate Certification form must be completed for the Employee for the other project(s).

If the Employee qualifies as a Targeted Section 3 Worker based on the Employee living in the project area as specified above upon starting work on a project, then provide the Employee's home address at the time of starting work on the project:

Employee Home Address When Starting Work on Project (enter only if applicable):
[Street address (not a P.O. Box), City, State, Zip]:

(c) Is a Section 3 Worker who is an Employee of a Section 3 Business Concern.*

**For the Section 3 Business Concern criteria, refer to the Section 3 Business Concern Certification form, which should be provided by the Grantee to Employers with the Section 3 Employee Income Certification form.*

(3) Employer Representative (Preparer) Certification:

As the preparer of this Section 3 Employee Certification form, I certify by entering my name, title, and the date below that the information entered by the Employer in Part A – Part C on this form is true and correct to the best of my knowledge.

Employer Representative First and Last Name: _____ Date: _____

Employer Representative Job Title: _____

Employer Representative Email Address: _____

(4) Enter the name of the Grantee(s) and Grant Agreement #(s) (if known) of the project(s) for which this form applies:

SECTION 3 EMPLOYEE INCOME CERTIFICATION (9-K(2)) [24 CFR 75]

Instructions for Employers and Grant Administrators:

Overview:

Per HUD and CDBG program regulations and policies, the Employers of Employees working on a HUD/CDBG funded project that is subject to the Section 3 requirements of [24 CFR 75](#) are required to report the data collected using this form for all Employees working on the project (with some exceptions*). "Employers" may include grantees, grant subrecipient organizations, and contractors (including prime contractors and sub-contractors, for construction and non-construction activities). The Employer is **required** to complete a *Section 3 Employee Income Certification* form for each Employee working on a HUD/CDBG funded project.* The Certification form is to be completed only once for an Employee, when they first **start work** on the project.

**[Exception: It is optional and not required to collect and report Section 3 data for Employees providing professional/non-construction services who are in positions that require an advanced degree or professional license (e.g., legal services, financial consulting, accounting services, environmental assessment, architectural/engineering services, etc.). If the Employee in this type of position qualifies as a Section 3 Worker, then it is to the advantage of the Employer to report the Employee's data to contribute to the Employer's efforts towards meeting the Section 3 "Safe Harbor" goals set by HUD for Section 3 compliance.]*

The Section 3 "Safe Harbor" goals for a HUD/CDBG funded project deemed to be subject to [24 CFR 75](#) are to have at least 25% of all labor hours worked on the project be by Section 3 Workers and have at least 5% of all labor hours worked on the project be by Targeted Section 3 Workers. The Section 3 contracting, data collection, and reporting requirements and the Section 3 "Safe Harbor" goals for HUD/CDBG funded projects deemed to be subject to [24 CFR 75](#) are summarized in the *Section 3 Contract Requirements* contract insertion document provided to grantees by the State of Wisconsin Department of Administration Division of Energy, Housing and Community Resources (DEHCR), which applies to the grantee's contract with the State, as well as all contracts associated with the project, including prime contracts and sub-contracts for construction and non-construction activities.

For Employees Working on Multiple HUD/CDBG Funded Projects at the Same Time:

An Employee's *Section 3 Employee Income Certification* form may be used for multiple HUD/CDBG funded projects occurring at the same time only if the applicable HUD CDBG Income Limit for the Employee is the same for each project, and there is no difference in the Employee's Targeted Section 3 Worker status (if applicable) for each project. If the applicable Income Limit or Targeted Section 3 Worker status is different for each project, then a separate *Section 3 Employee Income Certification* form must be completed for each project for which there are differences.

TIP FOR CHECKBOX ENTRIES WITHIN FORM:

For the 'checkbox' fields within the form, double-click the box next to the "Yes" or "No" option to change it to a 'checked' box; or right-click the box, select "Properties" and under the "Default Value" heading change the selection to the "Checked" option to have the box checked.

PART A:

- **#1-#2:** Enter the Employer's company/organization name, and the Employee's first and last name. The "Employer" is the entity that has one or more Employees working on the HUD/CDBG funded project, which may include the Grantee, a "subrecipient" organization receiving the grant funds through the Grantee, a construction prime contractor or sub-contractor, or a non-construction (e.g., professional services) prime contractor or sub-contractor.
 - **#3:** Enter the date the Employee started work on the HUD/CDBG funded project. If the Employee is working on multiple HUD/CDBG funded projects, then enter the date the Employee started on each project for which this form is being submitted. If different Income Limits were in effect at the time the Employee started work on each project, or the Employee's county of residence changed between their start on each project, then a separate *Section 3 Employee Income Certification* form must be completed for each project.
 - **#4:** Enter the county and state of the Employee's home residence when the Employee starts work on the project.
 - **#5:** Enter the applicable Income Limit, which is the HUD CDBG Income Limit for a Family of 1 (i.e., an individual person) for the county in which the Employee lives and which is currently in effect when the Employee starts work on the project. The HUD CDBG Income Limits for Wisconsin counties for a Family of 1 (i.e., individual person) are provided with this form for the following:
 - FY2022 (effective 6/15/2022 to present) – the Income Limits in effect for Employees living in Wisconsin who starts work on a project **6/15/2022 or later**;
 - FY2021 (effective 6/1/2021) – the Income Limits in effect for Employees living in Wisconsin who started work on a project **6/1/2021 – 6/14/2022**; and
 - FY2020 (effective 7/1/2020) – the Income Limits in effect for Employees living in Wisconsin who started work on the project **11/30/2020 – 5/31/2021**. [Note: This form is not applicable to any work started **prior to 11/30/2020**.]
- The applicable Income Limit to enter in **Part A** – item #5 on page 1 of this form is the HUD CDBG Income Limit in effect on the date the Employee started work on the project, for the county in which the Employee lives. If an income limit is needed for a

SECTION 3 EMPLOYEE INCOME CERTIFICATION (9-K(2)) [24 CFR 75]

PART A: (CONTINUED)

county outside Wisconsin, it may be obtained by accessing the applicable CDBG Income Limits spreadsheet linked at: <https://www.hudexchange.info/resource/5334/cdbg-income-limits/>. Select the CDBG Income Limits in effect on date the Employee started work on the project. The Income Limits for all states are provided on the spreadsheet. Filter the spreadsheet by State, and for the county in which the Employee lives, select the income limit listed in the Lim80_[year]p1 column., which is the low-to-moderate income limit for a Family of 1 (i.e., individual person) for the year selected.

- #6: Respond to indicate whether the Employee is employed with your company/organization through the federally funded YouthBuild job training and leadership program (for youth ages 16-24), receiving assistance under the Workforce Innovation and Opportunity Act (29 U.S.C. 3226) by checking the appropriate box of "Yes" or "No".

Part B:

- Completion of Part B is optional for the Employer and the Employee. It is only applicable for Employees hired on or after 11/30/2020 who do not qualify as a Section 3 Worker upon starting work on the project, but who may have qualified as a Section 3 Worker on their Hire Date.
- The Employer should consider providing the Certification form to Employees hired on or after 11/30/2020 to demonstrate 'best efforts' made to meet the Section 3 "Safe Harbor" goals per 24 CFR 75 if they were not met using the Employee data at the time of their starting work on the project.
- #7 - #10: The Employer has the option to complete items #7 - #10 in Part B.

The applicable Income Limit to enter in Part B – item #9 on page 1 of this form is the HUD CDBG Income Limit in effect on the Employee's Hire Date for the county in which the Employee lived on their Hire Date. The HUD CDBG Income Limits for Wisconsin counties for a family of 1 (i.e., individual person) are provided with this form for the following:

 - FY2022 (effective 6/15/2022 to present) – the Income Limits in effect for Employees living in Wisconsin who were hired on 6/15/2022 or later;
 - FY2021 (effective 6/1/2021) – the Income Limits in effect for Employees living in Wisconsin who were hired on 6/1/2021 – 6/14/2022; and
 - FY2020 (effective 7/1/2020) – the Income Limits in effect for Employees living in Wisconsin who were hired on 11/30/2020 – 5/31/2021. [Note: The Employee's Section 3 status cannot be based on their annual income on their Hire Date if the Employee was hired prior to 11/30/2020.]

Refer to the instructions for Part A – item #5 above for accessing the HUD CDBG Income Limits for Employees who live outside Wisconsin.
- #11 - #12: The Employer may ask the Employee to complete items #11 - #12 and sign and date the form. The Employee's participation/completion is voluntary.

ADDITIONAL GUIDANCE FOR PART A AND PART B:

- The HUD CDBG Income Limits are updated annually by HUD, typically released in June or July. Check the website for updates each year. The "Effective" date is listed for each year on the [CDBG Income Limits website](#).
- Only one Section 3 Employee Certification form needs to be completed per Employee who works on the HUD/CDBG funded project, and it is to be completed upon the Employee starting work on the project. A Certification form does not need to be completed for the Employee for each year of the project.

Part C:

- The Employer is to complete all of Part C.
- Enter the Employer name and Employee name at the top of Part C where specified.
- Item #1: Check the box for "Yes" or "No" to indicate whether the Employee is a Section 3 Worker; and if YES, then check the box(es) to indicate which criteria from options (a), (b), and/or (c) is/are met.
- Item #2: Check the box for "Yes" or "No" to indicate whether the Employee is a Targeted Section 3 Worker and if YES, then check the box(es) to indicate which criteria from options (a), (b), and/or (c) is/are met.
 - If option #2(b) is selected, then enter the Employee's home address at the time of hire where specified.
- Item #3: Enter the Employer Representative (Preparer) name, job title, email address, and the date that Part C is being completed as certification of the accuracy of the information entered by the Employer in Part A – Part C.
- Item #4: Enter the Grantee/UGLG name(s) and Grant Agreement number(s) (if known) for the HUD/CDBG funded project(s) for which this form is being completed and submitted. This may be updated by the Employer or the Grantee's Grant Administrator as projects are added.

The data from this form are to be used when the Employer is calculating and reporting all labor hours for all Employees, Section 3 Workers, and Targeted Section 3 Workers who work on the HUD/CDBG funded project on the Semi-Annual Individual Contractor's Section 3 Data Report (Attachment 9-M from the [CDBG Implementation Handbook](#) or similar reporting form with the same information, as provided by the Grantee to the Employer).

EMPLOYERS AND HUD/CDBG GRANTEES MUST RETAIN SECTION 3 EMPLOYEE INCOME CERTIFICATION FORMS IN THE PROJECT FILE AND PROVIDE THEM TO DEHCR AND OTHER REGULATING ENTITIES UPON REQUEST.

ATTACHMENT 9-L: SECTION 3 BUSINESS CONCERN CERTIFICATION FORM (TEMPLATE) [Projects Awarded on or after 11/30/2020]

The current 'fillable' version of this Attachment is on the [CDBG Implementation Handbook website](#) (under the Chapter Attachments/Fillable Forms section).

SECTION 3 BUSINESS CONCERN CERTIFICATION FORM (9-L)

This form is to be provided to owners/employers in Microsoft Word 'fillable' format upon their starting work on the HUD/CDBG funded project.

Instructions: Refer to the instructions on page 2 of this document. Enter the following information and select the criteria that applies to certify your business' Section 3 Business Concern status or to indicate that the business does not qualify as a Section 3 Business Concern. Information must be for the time when the business/entity begins working on the HUD/CDBG funded project.

Business Information:

Name of Business: _____

Address of Business: _____

Name and Title of Business Owner: _____

Phone Number AND Email: Phone Number: _____ Email: _____

Preferred Contact Information: Same as that listed above Different from that listed above, please contact:

Name and Title of Preferred Contact: _____

Phone Number AND Email: Phone Number: _____ Email: _____

Type of Business (select one from the following options):

Sole Proprietorship Partnership Limited Liability Company (LLC) Corporation (C, S, B, or 501(c)3)

Other: _____

**Note: Non-profit organizations do not qualify as Section 3 Business Concerns.*

Select all that apply below:

At the time of starting work on the HUD/CDBG Project:

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, qualifying the business as a Section 3 Business Concern.*

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 live in Section 8-assisted housing, qualifying the business as a Section 3 Business Concern.*

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, qualifying the business as a Section 3 Business Concern.**

None of the above applies. The business does not qualify as a Section 3 Business Concern.

**Income certifications (using the Section 3 Employee Income Certification Form (Attachment 9-K(2)) from the CDBG Implementation Handbook or a modified version) must be on file for the person(s) as record of the owner(s) income status.*

***Payroll records and Section 3 Employee Income Certification Forms (Attachment 9-K(2)) from the CDBG Implementation Handbook must be on file as record of the hours worked and Section 3 Worker status of employees.*

Business Concern Certification

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 misrepresenting the business as a Section 3 Business Concern or reporting false information may result in the contract being terminated as default and the business being barred from on-going and future considerations for federally funded contracting opportunities. I hereby certify, under penalty of law, that the information I have provided is correct to the best of my knowledge.

Owner Signature: _____ Date: _____ ***

***Certification expires within six (6) months of the date of signature (above).
Additional Information regarding Section 3 Business Concerns can be found at [24 CFR 75.5](#).

Section 3 Business Concern Certification Page 1 of 2 Attach09-L Form v.2022-09-15

SECTION 3 BUSINESS CONCERN CERTIFICATION FORM (9-L)

(INSTRUCTIONS)

This form is to be provided to owners/employers in Microsoft Word 'fillable' format upon their starting work on the HUD/CDBG funded project. Owners/employers only need to complete this form once at the start of the project. If the owner/employer has completed a Section 3 Business Concern Certification form (i.e., certified their Section 3 Business Concern status) for another HUD/CDBG funded project within the past 6 months, then the owner/employer may provide that certification form in lieu of completing a new form at the start of the current HUD/CDBG funded project.

Projects funded by the U.S. Department of Housing and Urban Development (HUD) Community Development Block Grant (CDBG) Program, and the HUD/CDBG award to the Grantee was made on or after November 30, 2020, must demonstrate compliance with Section 3 of the Housing and Development Act (HDA) of 1968 as amended, [24 CFR Part 75](#). The information requested on the form must be collected for contractors (including prime contractors and subcontractors) directly working on a HUD/CDBG funded project that is subject to the Section 3 contracting and reporting requirements of [24 CFR Part 75](#) and may be requested of firms bidding to work on the project in order to demonstrate prioritization of contracting with Section 3 business concerns when feasible, in accordance with [24 CFR Part 75](#).

Any HUD/CDBG funded project is subject to the Section 3 contracting and reporting requirements of [24 CFR Part 75](#) if:

- The HUD grant award(s) (from the State to the Grantee) for the project was made on or after November 30, 2020; and
- The project has construction in the scope of work (e.g., new construction, rehabilitation, renovation, demolition), regardless of whether the HUD funding is or is not going to be used for the construction costs; and
- The HUD grant award(s) (from the State to the Grantee) for the project total(s) more than \$200,000.

A company/firm qualifies as a Section 3 Business Concern if they meet at least one of the following criteria:

- At least 51% of the business is owned and controlled by low- or very low-income (LMI) persons (based on the owner's individual income and the [HUD CDBG Income Limits](#) at <https://www.hudexchange.info/resource/5334/cdbg-income-limits/> for the county in which the owner(s) live(s)) in effect when they start work on the HUD/CDBG funded project [Note: The owner(s) may use the *Section 3 Employee Income Certification forms (Attachment 9-K(2))* of the *CDBG Implementation Handbook*, which should be provided to contractors/employers with this form, or a modified version, to certify their income level does not exceed the applicable HUD CDBG Income Limit]; 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 (*records of owner and/or employee housing status are required to verify*); or
- Over 75% of the labor hours performed for the business over the prior three-month period were performed by Section 3 Workers [Note: Records of labor hours and completed *Section 3 Employee Income Certification forms (Attachment 9-K(2))* of the *CDBG Implementation Handbook*, which should be provided to contractors/employers with this form, are required to verify employees' Section 3 Worker status].

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 certify Section 3 Business Concerns and provide the appropriate records to support the Section 3 Business Concern status. This certification also helps grantees and their subrecipients, contractors, and subcontractors comply with the Section 3 requirements and make "best efforts" to achieve the Section 3 "safe harbor" goals to the greatest extent feasible:

- having at least 25% of all work hours performed on a CDBG-funded project are worked by Section 3 Workers,
- having 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, and hiring of Section 3 Workers who benefit from the economic opportunities provided through HUD/CDBG-funded projects.

CDBG GRANTEEES AND ALL CONTRACTORS MUST RETAIN A COMPLETED COPY OF THIS FORM (AND ASSOCIATED OWNER AND EMPLOYEE INCOME CERTIFICATION AND/OR HOUSING STATUS DOCUMENTS, IF APPLICABLE) IN THE CDBG PROJECT FILES FOR SECTION 3 COMPLIANCE.

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ATTACHMENT 9-M: INDIVIDUAL CONTRACTOR'S SEMI-ANNUAL SECTION 3 REPORT FORM (TEMPLATE)

The current 'fillable' version of this Attachment is on the [CDBG Implementation Handbook website](#) (under the Chapter Attachments/Fillable Forms section).

Semi-Annual Individual Contractor's Section 3 Data Report (Semi-Annual CDBG Data Report - Supplement)
Page 2 of 3

Grantee/UGLG Name: Grant AWARDED to UGLG Before or After 11/30/2020? DEHCR Grant Agreement/Contract Number:

Reporting Period (Choose ONE): X Year

<input type="checkbox"/>	October 1 - March 31	
<input type="checkbox"/>	April 1 - September 30	

Preparer's Name:
Preparer's Title:
Preparer's Phone No.:

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

(1)(i)
List **ALL** employees *individually* who worked on (i.e. performed billable work hours for) the CDBG project during the 6-month reporting period (# of work hours may be based on "good faith assessment").
IMPORTANT: Refer to the Instructions for OPTION 2 alternative entries in 7(a)-7(d) when the Contractor submits certified weekly payroll records (for Davis-Bacon labor standards compliance) or other official payroll record listing individual employees' names and hours.
EXAMPLE: Susan J. Smith

	7(b) Total of ALL Hours Worked by this Individual on the CDBG Project During the Reporting Period	7(c) Is this a Section 3 Worker? (Yes or No)	Total Hours Worked as a SECTION 3 Worker on this CDBG Project	7(d) Is this a Targeted Section 3 Worker? (Yes or No)	Total Hours Worked as a TARGETED SECTION 3 Worker
1	0.00	Not Answered	0.00	Not Answered	0.00
2	0.00	Not Answered	0.00	Not Answered	0.00
3	0.00	Not Answered	0.00	Not Answered	0.00
4	0.00	Not Answered	0.00	Not Answered	0.00
5	0.00	Not Answered	0.00	Not Answered	0.00
6	0.00	Not Answered	0.00	Not Answered	0.00
7	0.00	Not Answered	0.00	Not Answered	0.00
8	0.00	Not Answered	0.00	Not Answered	0.00
9	0.00	Not Answered	0.00	Not Answered	0.00
10	0.00	Not Answered	0.00	Not Answered	0.00
11	0.00	Not Answered	0.00	Not Answered	0.00
12	0.00	Not Answered	0.00	Not Answered	0.00
13	0.00	Not Answered	0.00	Not Answered	0.00
14	0.00	Not Answered	0.00	Not Answered	0.00
15	0.00	Not Answered	0.00	Not Answered	0.00
16	0.00	Not Answered	0.00	Not Answered	0.00
17	0.00	Not Answered	0.00	Not Answered	0.00
18	0.00	Not Answered	0.00	Not Answered	0.00
19	0.00	Not Answered	0.00	Not Answered	0.00
20	0.00	Not Answered	0.00	Not Answered	0.00
21	0.00	Not Answered	0.00	Not Answered	0.00
22	0.00	Not Answered	0.00	Not Answered	0.00
23	0.00	Not Answered	0.00	Not Answered	0.00
24	0.00	Not Answered	0.00	Not Answered	0.00
25	0.00	Not Answered	0.00	Not Answered	0.00
26	0.00	Not Answered	0.00	Not Answered	0.00
27	0.00	Not Answered	0.00	Not Answered	0.00
28	0.00	Not Answered	0.00	Not Answered	0.00
29	0.00	Not Answered	0.00	Not Answered	0.00
30	0.00	Not Answered	0.00	Not Answered	0.00
Total(s):	0.00		0.00		0.00

Section 3 "Safe Harbor" Benchmarks:

- 25% or more of **ALL** labor hours must be worked by Section 3 Workers.
Percentage all labor hours worked by Sec3 =
- 5% or more of **ALL** labor hours must be worked by Targeted Section 3 Workers.
Percentage all labor hours worked by Targeted Sec3 =

Semi-Annual Individual Contractor's Section 3 Data Report Attach09-M Form v.2022-09-15

Chapter 9: Reporting
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Semi-Annual Individual Contractor's Section 3 Data Report (Semi-Annual CDBG Data Report - Supplement)

Page 3 of 3

Grantee/UGLG Name: Grant AWARDED to UGLG Before or After 11/30/2020? DEHCR Grant Agreement/Contract Number:

Reporting Period (Choose ONE):

	X	Year
<input type="checkbox"/>	October 1 - March 31	<input type="text"/>
<input type="checkbox"/>	April 1 - September 30	<input type="text"/>

Preparer's Name:

Preparer's Title:

Preparer's Phone No.:

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

To Be Completed for CDBG Projects Awarded Grant Funds ON OR AFTER 11/30/2020 ONLY. Check ALL that apply. Maintain records & make available for HUD to review documentation of any efforts marked. TIP: Most common entries are #1-7 and #13 - Refer to "TIP" notes (denoted with the red triangles in the upper right "X" corners of cells) to determine if the item should be checked.

	1. No actions taken to date to demonstrate Section 3 "best efforts" in meeting HUD Section 3 Benchmarks.
	2. Outreach efforts to identify and secure bids from Section 3 business concerns.
	3. Outreach efforts to generate job applicants who are Public Housing Targeted Workers.
	4. Outreach efforts to generate job applicants who are Other Funding Targeted Workers.
	5. Direct, on-the-job training (including apprenticeships).
	6. Indirect training such as arranging for, contracting for, or paying tuition for, off-site training.
	7. Division of contracts into smaller jobs to facilitate participation by Section 3 business concerns.
	8. Technical assistance to help Section 3 workers compete for jobs (e.g., resume assistance, coaching, etc.).
	9. Technical assistance to help Section 3 business concerns understand and bid on contracts.
	10. Provided or connected residents with assistance in seeking employment including: drafting resumes, preparing for interviews, finding job opportunities, connecting residents to job placement services.
	11. Held one or more job fairs.
	12. Provided or connected residents with supportive services that can provide direct services or referrals.
	13. 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.
	14. Assisted residents with finding child care.
	15. Assisted residents to apply for (or attend) community college or a four (4) year educational institution.
	16. Assisted residents to apply for (or attend) vocational/technical training.
	17. Assisted residents to obtain financial literacy training and/or coaching.
	18. Bonding assistance, guaranties, or other efforts to support viable bids from Section 3 business concerns.
	19. Provided or connected residents with training on computer use or online technologies.
	20. Other: [Describe/specify here.]

PART 9. COMMENTS

[Provide additional comments/explanations here.]

TEMPLATE

ATTACHMENT 9-M: SEMI-ANNUAL INDIVIDUAL CONTRACTOR'S SECTION 3 DATA REPORT (INSTRUCTIONS)

Instructions for Grantee:

The Grantee must provide each Contractor working on the CDBG project with the *Semi-Annual Individual Contractor's Section 3 Data Report* form (Attachment 9-M) or a similar form for collecting the same information. The Section 3 data for all Contractors and the Grantee (and subrecipient(s), if applicable) are then added to be added together and reported on the Grantee's *Semi-Annual CDBG Data Report* that is due to DEHCR. Prior to giving the *Semi-Annual Individual Contractor's Section 3 Data Report* form to the Contractor, complete the following:

1. Enter the "Grantee's Name" and the "DEHCR Grant Agreement/Contract Number" fields found at the top of the form on the page 1.
2. Refer to the CDBG Award Letter for the project (specifically, the date issued) to answer the "Grant Awarded BEFORE or AFTER 11/30/2020" field. HUD issued new Section 3 reporting requirements as of 11/30/2020. The date of the CDBG Award for the project will determine what Section 3 information that will be required to collect and report.

Instructions for Contractor:

Complete the *Semi-Annual Individual Contractor's Section 3 Data Report* for each semi-annual reporting period in which the Contractor is working on the project and submit the report to your contact for the project (e.g., prime contractor, Grantee's Labor Standards Officer, etc.) each reporting period. Upon completing work on the project, submit a final semi-annual report to report the data for the semi-annual reporting period in which the Contractor completed work on the project.

Complete the form fields for #3-#5 on page 1 of the form and Part 6-Part 9 of the form following the instructions on pages 1-4 of this document.

3. Beneath the "Grantee/UGLG Name" field, identify the 6-month timeframe for which data are being reported. Type an "X" into the appropriate Oct.-March or April-Sept. reporting period, and then fill-in the "Year" associated with either the March 31st or September 30th selection.
4. In the fields designated, enter the Preparer's Name, Title, Phone Number and Email.
5. Enter Contractor's company/organization/firm name and the date the report is being completed.

The image below depicts the entry fields for items #1-#5 referenced above.

The image shows a screenshot of the 'Individual Contractor's Semi-Annual Section 3 Data Report' form. The form is titled 'INDIVIDUAL CONTRACTOR'S SEMI-ANNUAL SECTION 3 REPORT (9-M)'. It includes the following fields and callouts:

- 1**: Grantee/UGLG Name: [Grantee's Name]
- 2**: Grant AWARDED to UGLG Before or After 11/30/2020? **Not Awarded**
- 3**: Reporting Period (Choose ONE):

X	Year
<input type="checkbox"/>	October 1 - March 31
<input type="checkbox"/>	April 1 - September 30
- 4**: DEHCR Grant Agreement/Contract Number: [Grant Agreement #]
- 5**: Contractor's Name: [Contractor's Name]
- Date Completed: [Date Reported/Submitted]
- Preparer's Name: _____
- Preparer's Title: _____
- Preparer's Phone No.: _____
- Preparer's Email: _____

PART 6: SECTION 3 – NEW HIRING (Only Applicable to CDBG projects awarded PRIOR to 11/30/2020.)

PART 7: SECTION 3 – WORKER HOURS ON THE CDBG PROJECT *(Only Applicable to CDBG projects awarded ON or AFTER 11/30/2020.)*

Part 7 should only appear on the form for Contractors working on a CDBG project that was awarded grant funds on or after 11/30/2020. Contractors must report the labor hours by all employees, Section 3 Workers, and Targeted Section 3 Workers who have worked on the CDBG project (i.e., performed billable work hours on the project) during each 6-month reporting period (while the Contractor is working on the project).

Overview of Section 3 Requirements of 24 CFR 75:

Federal regulation 24 CFR 75 requires the Grantee (i.e., Unit of General Local Government (UGLG), Non-Profit, Housing Authority, etc.; and includes subrecipients) and each of its prime contractors and service providers, and all subcontractors that receive or are contracted for a CDBG project that is funded in whole or part with CDBG or other HUD funds must complete and submit Section 3 reporting information.

Exceptions (under 24 CFR 75 for projects awarded on or after 11/30/2020 only) include:

- CDBG projects for which the CDBG and any other HUD funds awarded to the project total (added together) no more than \$200,000 are not subject to any of the Section 3 requirements and reporting.
- CDBG projects that do not have any construction, demolition or rehab in any part of the scope of work for the project are not subject to any of the Section 3 requirements and reporting.
- **EXCEPTION:** The UGLG/Grantee and subrecipients, prime contractors, subcontractors and service providers of the project, as employers are not required to track and report the labor hours and Section 3 and Targeted Section 3 status of employees for any labor hours that are for professional services completed by employees in positions that **require** an advanced degree or a professional license (including but not limited to legal services, financial consulting, accounting services, environmental assessment, architectural/engineering services, etc.). It is *optional* for the employer to report their hours and not required. The employer may consider reporting these employees' hours if the employees qualify as Section 3 Workers, which helps the employer demonstrate efforts for meeting the HUD Section 3 "safe harbor"/labor hour goals.

For each employee who works on the CDBG project, it will be necessary to determine their Section 3 and Targeted Section 3 status. The Section 3 Worker's status is to be determined (and certified using the *Section 3 Employee Income Certification* form (Attachment 9-K(2)), which involves basing the employee's Section 3/Targeted Section 3 status on information when the employee first started work on the CDBG project; OR the employer has the option of basing the employee's Section 3/Targeted Section 3 status on information on the employee's hire date (if they were hired on or after 11/30/2020). For employees who were hired prior to 11/30/2022, their Section 3/Targeted Section 3 status must be determined based on the employee's information on the date the employee began working on the CDBG project. Refer to the instructions within the *Section 3 Employee Income Certification* form (Attachment 9-K(2)) for additional guidance.

Definitions:

Section 3 “Safe Harbor” Goals:

The Section 3 “safe harbor” goals were established by HUD for implementing and tracking accomplishments, per the requirements of the 24 CFR 75 Section 3 regulations, including having to the greatest extent feasible:

- At least 25% of all labor hours on a HUD/CDBG funded project completed by Section 3 Workers; and
- At least 5% of all labor hours on a HUD/CDBG funded project completed by Targeted Section 3 Workers.

Section 3 Workers are those individuals that currently fit (when starting work on the project), or when hired fit (if hired on or after 11/30/2022) at least one (1) of the following categories as documented:

- Employed by a Section 3 business concern, OR
- A low- or very low-income resident (i.e., a person having an annual individual income that does not exceed the Low (80%) HUD CDBG Income Limit for the county in which they live), OR
- A YouthBuild participant.

Targeted Section 3 Workers are Section 3 Workers who:

- Are employed by a Section 3 business concern, OR
- Currently fit (when starting work on the project) or when hired fit (if hired on or after 11/30/2020) at least one (1) of the following categories as documented:
 - Living within the Section 3 service area or the neighborhood of the project (as defined in 24 CFR 75.5), OR
 - A YouthBuild participant.

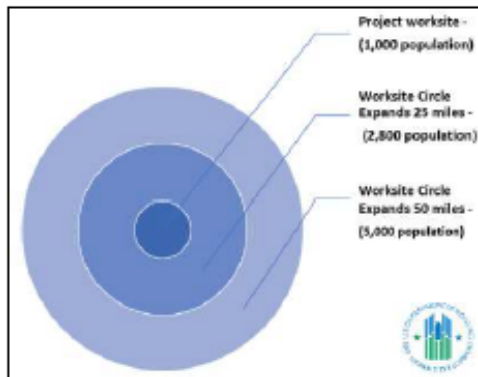
A Section 3 business concern is a business that fits at least one (1) of the following categories:

- 51% or more owned 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 owned by current residents of public housing or Section 8-assisted housing.

The Service Area (as defined in 24 CFR 75.5) is:

- An area within one (1) mile of the Section 3 project’s location (i.e., street address), OR
- An area within a circle centered around the Section 3 project site that encompasses 5,000 people [if less than 5,000 people live within a one (1) mile radius of the Section 3 project site].

The images below depict the Service Area criteria for qualifying a Section 3 Worker as a Targeted Section 3 Worker (*only applicable to CDBG projects awarded grant funds on or after 11/30/2020*).



Guidance for Completing PART 7 – Items 7(a)-7(d):

A Contractor may have two options when entering employee data in Part 7 on the *Individual Contractor's Section 3 Data Report* (Attachment 9-M) form, depending on whether the Contractor has not reported individual employees' names and labor hours on a separate official record; or if the Contractor has reported individual employees' names and labor hours on a separate official record, such as on certified weekly payroll records (e.g., for Davis-Bacon labor standards compliance) and/or a document generated from their payroll system with their employees' names and their labor hours on the CDBG project listed individually for the specific reporting period.

The Contractor is to report employees' names, labor hours and Section 3 data for the reporting period following the guidance in OPTION 1 below if they have not reported their employees' names and labor hours on a separate official record. The Contractor may follow the guidance in *either* OPTION 1 or OPTION 2 on the pages that follow if they have reported their employees' names and labor hours on a separate official record.

OPTION 1: If the Contractor has not reported individual employees' names and labor hours on a separate official record, such as on certified weekly payroll records and/or a document generated from your payroll system with your employees' names and their labor hours on the CDBG project listed individually for the specific reporting period, then complete 7(a)-7(d) as follows:

- a) In 7(a), list all employees *individually* who worked on the CDBG project during the reporting period, as shown in the example within the form and additional examples depicted in the image on the next page:

PART 7. SECTION 3 - WORKER HOURS ON THIS CDBG PROJECT	
7(a) <i>IMPORTANT: Refer to the instructions for how to enter data if the Contractor submitted weekly certified payroll records (for Davis-Bacon labor standards compliance). For Employees not recorded on certified payroll records, list ALL employees <u>individually</u> who have worked on (i.e. performed billable work hours on) the project during the 6-month reporting period (# of work hours may be based on "good faith assessment").</i> EXAMPLE: Susan J. Smith	
1	Jane Doe
2	Daniel Miller
3	Crystal Rodriguez
4	John Smith
5	Timothy Wilson

- b) In 7(b), for each employee, enter the total number of hours they worked on the CDBG project during the reporting period.
- c) In 7(c), for each employee, select "Yes" or "No" from the drop-down options to indicate if the employee is or is not a Section 3 Worker. The "Total Hours Worked as a Section 3 Worker" field will auto-populate with the calculation based on the "Yes" or "No" response selected in 7(c).
- d) In 7(d), for each employee, select "Yes" or "No" from the drop-down options to indicate if the employee is or is not a Targeted Section 3 Worker. The "Total Hours Worked as a Targeted Section 3 Worker" field will auto-populated with the calculation based on the "Yes" or "No" response selected in 7(d).

The Section 3 and Targeted Section 3 status of each employee must be determined and documented on the *Section 3 Employee Income Certification* form (Attachment 9-K(2)), which must be completed and submitted for each employee who works on the CDBG project (*unless the employee qualifies for the professional services exemption*).

The image below depicts entries in PART 7 for five individual employees who worked on the CDBG project:

PART 7. SECTION 3 - WORKER HOURS ON THIS CDBG PROJECT		7(b)		7(c)		7(d)	
7(a) <i>IMPORTANT: Refer to the instructions for how to enter data if the Contractor submitted weekly certified payroll records (for Davis-Bacon labor standards compliance). For Employees not recorded on certified payroll records, list ALL employees <u>individually</u> who have worked on (i.e. performed billable work hours on) the project during the 6-month reporting period (# of work hours may be based on "good faith assessment").</i> EXAMPLE: Susan J. Smith		Total of ALL Hours Worked by this Individual on the CDBG Project During the Reporting Period	Is this a Section 3 Worker? (Yes or No)	Total Hours Worked as a SECTION 3 Worker on this CDBG Project	Is this a Targeted Section 3 Worker? (Yes or No)	Total Hours Worked as a TARGETED SECTION 3 Worker	
1	Jane Doe	45	Yes	45	Yes	45	
2	Daniel Miller	120.00	No	0.00	No	0.00	
3	Crystal Rodriguez	120.00	Yes	120.00	No	0.00	
4	John Smith	480.00	Yes	480.00	Yes	480.00	
5	Timothy Wilson	480.00	No	0.00	No	0.00	
5	Timothy Wilson	80.00	Yes	80.00	No	0.00	

OPTION 2: If the Contractor *has not* reported individual employees' names and labor hours on a separate official record, such as on certified weekly payroll records and/or a document generated from your payroll system with your employees' names and their labor hours on the CDBG project listed individually for the specific reporting period, then you may follow the guidance in OPTION 1 on the previous page, OR have the option of following the guidance below and on the next page, only entering the 'totals' for employees in the three categories [1. Employees who are not Section 3 and Targeted Section 3 Workers, 2. Employees who are Section 3 Workers, and 3. Employees who are Targeted Section 3 Workers], instead of listing each employee and their labor hours individually in 7(a)-7(d). Your certified weekly payroll records or other official record generated from your payroll system will serve as the supporting documentation (in addition to the Section 3 Employee Income Certifications) for the calculated 'totals' entered in 7(a)-7(d) in accordance with OPTION 2.

The guidance for OPTION 2 (entering 'totals') in 7(a)-7(d) is as follows:

a) Entries in 7(a) for rows #1, #2, and #3:

- In 7(a) #1: enter the words, "Employees EXCLUDING Section 3 and Targeted Section 3 Workers ([enter #] employees)"; and
- In 7(a) #2, enter the words, "Section 3 Workers EXCLUDING Targeted Section 3 Workers ([enter #] employees)"; and
- In 7(a) #3, enter the words, "Targeted Section 3 Workers ([enter #] employees)".

The image below depicts the entries to be made when reporting totals (for employees for which hours were already individual reported/submitted on certified weekly payroll records):

PART 7. SECTION 3 - WORKER HOURS ON THIS CDBG PROJECT	
7(a)	<p><i>IMPORTANT: Refer to the instructions for how to enter data if the Contractor submitted weekly certified payroll records (for Davis-Bacon labor standards compliance). For Employees not recorded on certified payroll records, list ALL employees <u>individually</u> who have worked on (i.e. performed billable work hours on) the project during the 6-month reporting period (if of work hours may be based on "good faith assessment").</i></p> <p><i>EXAMPLE: Susan J. Smith</i></p>
1	Employees EXCLUDING Section 3 and Targeted Section 3 Workers (10 employees)
2	Section 3 Workers EXCLUDING Targeted Section 3 Workers (5 employees)
3	Targeted Section 3 Workers (2 employees)
4	
5	

b) Entries in 7(b) for rows #1, #2, and #3:

- #1: Enter the total # of hours worked by all employees on the project during the reporting period, EXCLUDING those worked by Section 3 Workers and Targeted Section 3 Workers.
- #2: Enter the total # of hours worked by all Section 3 Workers on the project during the reporting period, EXCLUDING those worked by Targeted Section 3 Workers; and
- #3: Enter the total # of hours worked by all Targeted Section 3 Workers on the project during the reporting period.

c) Entries in 7(c) for rows #1, #2, and #3:

- #1: Select "No" from the drop-down menu to indicate the employees do not qualify as Section 3 Workers;
- #2: Select "Yes" from the drop-down menu to indicate the employees do qualify as Section 3 Workers; and
- #3: Select "Yes" from the drop-down menu to indicate the employees do qualify as Section 3 Workers.

The "Total Hours Worked as a Section 3 Worker" field will auto-populate with the calculation based on the "Yes" or "No" responses selected in 7(c).

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d) Entries in 7(d) for rows #1, #2, and #3:

- #1: Select "No" from the drop-down menu to indicate the employees do not qualify as Targeted Section 3 Workers;
- #2: Select "No" from the drop-down menu to indicate the employees do not qualify as Targeted Section 3 Workers; and
- #3: Select "Yes" to indicate the employees do qualify as Targeted Section 3 Workers.

The "Total Hours Worked as a Targeted Section 3 Worker" field will auto-populate with the calculation based on the "Yes" or "No" responses selected in 7(d).

The Section 3 and Targeted Section 3 status of each employee must be determined and documented on the *Section 3 Employee Income Certification* (Attachment 9-K(2) form), which must be completed and submitted for each employee who works on the CDBG project (*unless the employee qualifies for the professional services exemption*).

The image below depicts the entries to make in 7(a)-7(d) when the hours worked on the CDBG project by the Contractor's employees were reported on a separate official record (e.g., certified weekly payroll records or document generated from their payroll system) and the Contractor is only reporting totals for non-Section 3/non-Targeted Section 3 workers, totals for Section 3 Workers, and totals for Targeted Section 3 Workers on the *Individual Contractor's Section 3 Data Report* form:

PART 7. SECTION 3 - WORKER HOURS ON THIS CDBG PROJECT					
7(b) IMPORTANT: Refer to the instructions for how to enter data if the Contractor submitted weekly certified payroll records (for Davis-Bacon labor standards compliance). For employees <u>not</u> recorded on certified payroll records, list <u>ALL</u> employees (individually who have worked on (i.e., performed billable work hours on) the project during the 6-month reporting period (if work hours may be based on "good faith assessment").					
EXAMPLE: Susan J. Smith					
7(a)	7(b)	7(c)	7(d)	7(e)	7(f)
Total of ALL Hours Worked by this Individual on the CDBG Project During the Reporting Period	Is this a Section 3 Worker? (Yes or No)	Total Hours Worked as a SECTION 3 Worker on this CDBG Project	Is this a Targeted Section 3 Worker? (Yes or No)	Total Hours Worked as a TARGETED SECTION 3 Worker	
45	Yes	45	Yes	45	
1	800.00	No	0.00	No	0.00
2	400.00	Yes	400.00	No	0.00
3	100.00	Yes	100.00	Yes	100.00
4	0.00	0.00	0.00	0.00	0.00
5	0.00	0.00	0.00	0.00	0.00

Estimating Work Hours for Non-Construction Employees:

Contractors and UGLGs (units of general local government) providing non-construction related work and services may base their employees' labor hours and Section 3 and Targeted Section 3 status on internal payroll and personnel records. They are to make a "good faith assessment" of the number of labor hours a full-time or part-time employee spends on the project, and whether the employee meets the income criterion for Section 3 status and residential locality criterion for Targeted Section 3 status based on the salary/wages (annualized) that the employer pays the employee and the employee's address on record. They are not required to submit payroll records to DEHCR for employees, if not otherwise required by other applicable federal regulations (e.g., construction contractors subject to the federal labor standards are required to submit weekly certified payroll records with daily and weekly labor hours and wage + fringe hourly rates to the Grantee's Labor Standards Officer for a CDBG funded project; and UGLGs seeking to cover Force Account work costs with CDBG funds or to count the Force Account work costs as 'Matching funds' for a CDBG project are required to submit a breakdown of employees who worked on the project, the hours worked each day, and the employees' wage + fringe hourly rates (as the UGLG's Force Account 'invoice') when submitting a CDBG Payment Request to DEHCR; etc.).

Calculations for Percentage of Labor Hours by Section 3 and Targeted Section 3 Workers:

The HUD Section 3 "safe harbor" goals include having at least 25% of all labor hours on a CDBG project being completed by Section 3 Workers, and at least 5% of all labor hours on a CDBG project being completed by Targeted Section 3 Workers. Once the Contractor's data for employees are entered in PART 7 – items 7(a)-7(d), the hours totals appear at the bottom of the columns for 7(b)-7(d) and the percentages of hours worked by Section 3 and Targeted Section 3 Workers on the project for the reporting period will automatically be calculated and appear at the bottom of PART 7 in the "Section 3 'Safe Harbor' Benchmarks" section as shown in the image below:

Section 3 "Safe Harbor" benchmarks:					
1	25% or more of ALL labor hours must be worked by Section 3 Workers.	Percentage all labor hours worked by Sect. 3 = 40%	Total (b)	100.00	360.00
2	5% or more of ALL labor hours must be worked by Targeted Section 3 Workers.	Percentage all labor hours worked by Targeted Sect. 3 = 12%			

Semi-Annual Individual Contractor's Section 3 Data Report

If the Contractor has not met the Section 3 "safe harbor" benchmarks during your work on the project, then you are expected to at minimum, demonstrate "best efforts"/qualitative actions taken in attempting to meet the goals, and record them in PART 8 of the report.

PART 8: SECTION 3 – OUTREACH/PROMOTION & BEST EFFORTS

Based on when the project was awarded, it is required to indicate which applicable Outreach/Promotion & Best Efforts have been completed as qualitative actions to support the providing employment and contracting opportunities to Section 3 Residents (for projects awarded prior to 11/30/2020) or Section 3 Workers and Targeted Section 3 Workers (for projects awarded on or after 11/30/2020) and Section 3 Business Concerns in conjunction with the HUD/CDBG funded project.

Place an "X" next to each action that your company/firm/organization during the reporting period.

The Contractor must retain supporting documentation to confirm completion of the selected Outreach/Promotion & Best Efforts, which must be available for review upon request.

TIP: Hover over or right click on the red triangles in the upper right corners of cells within Part 8 on the CDBG Data Report form for guidance on common "best efforts" that are typically demonstrated on CDBG projects.

PART 9: COMMENTS

Use the space provided in the "Comments" box to provide additional information or explanations for the data reported, as needed.

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ATTACHMENT 9-N: CDBG CV MICROENTERPRISE SELF CERTIFICATION REPORT FORM (TEMPLATE)

The current version of this Attachment is available on the [CDBG-CV Program website](#) and on the [CDBG Implementation Handbook website](#) (under the Chapter Attachments/Fillable Forms section).

Semi-Annual CDBG-CV Project Microenterprise Self-Certification Report (Individual 6-Month Report) Page 1 of 5

Division of Energy, Housing and Community Resources
SEMI-ANNUAL CDBG-CV PROJECT MICROENTERPRISE SELF-CERTIFICATION REPORT (Individual 6-Month Report) (9-N)

Grantee/UGLG Name: DEHCR CDBG-CV Grant Agreement/Contract Number:

Reporting Period (Choose ONE):

<input checked="" type="checkbox"/>	October 1 - March 31	Ending in Year:
<input type="checkbox"/>	April 1 - September 30	
<input type="checkbox"/>	FINAL Report	

If the "Approver" is not the one submitting this Report to DEHCR, then they must be cc'd on the email submission.

Approver's Name:
 Approver's Title:

Preparer's Name:
 Preparer's Title:
 Preparer's Phone No.:
 Preparer's Email:

PART 1. FIRMS SERVED

1(a). Total Number Firms Served to Date:	<input type="text"/>
1(b). Number Firms Served This Reporting Period:	<input type="text"/>

PART 2. MICROENTERPRISES CERTIFIED BY OWNERS' INCOME

	2(c)	2(b)	2(c)	2(d)	2(e)	2(f)	2(g)	2(h)	2(i)
	Business Name(s)	Street Address	City	State / ZIP	County	DUNS Number (if known)	CDBG Funding Amount Approved	Total Number Employees (including Owner(s))	Number of Owners
Example	Products-R-Us Inc.	432 South Main Street	Centerville	WI / 58724	Columbia	08-548-2337	\$ 230,000.00	19	1
Microenterprise #1				/ /		Not Answered			
Microenterprise #2				/ /		Not Answered			
Microenterprise #3				/ /		Not Answered			
Microenterprise #4				/ /		Not Answered			
Microenterprise #5				/ /		Not Answered			
Microenterprise #6				/ /		Not Answered			
Microenterprise #7				/ /		Not Answered			
Microenterprise #8				/ /		Not Answered			
Microenterprise #9				/ /		Not Answered			
Microenterprise #10				/ /		Not Answered			
Microenterprise #11				/ /		Not Answered			
Microenterprise #12				/ /		Not Answered			
Microenterprise #13				/ /		Not Answered			
Microenterprise #14				/ /		Not Answered			
Microenterprise #15				/ /		Not Answered			
Microenterprise #16				/ /		Not Answered			
Microenterprise #17				/ /		Not Answered			
Microenterprise #18				/ /		Not Answered			
Microenterprise #19				/ /		Not Answered			
Microenterprise #20				/ /		Not Answered			
Microenterprise #21				/ /		Not Answered			
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Microenterprise #29				/ /		Not Answered			
Microenterprise #30				/ /		Not Answered			
Microenterprise #31				/ /		Not Answered			
Microenterprise #32				/ /		Not Answered			
Microenterprise #33				/ /		Not Answered			
Microenterprise #34				/ /		Not Answered			

CDBG-CV Project Microenterprise Self-Certification Report Attach09-N Form v. 2022-09-15

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Semi-Annual CDBG-CV Project Microenterprise Self-Certification Report (Individual 6-Month Report) Page 2 of 5

Grantee/UGL Name: DEHCR CDBG-CV Grant Agreement/Contract Number:

Reporting Period (Choose ONE):

<input checked="checked" type="checkbox"/>	October 1 - March 31	Ending In Year:	<input type="text" value=""/>
<input type="checkbox"/>	April 1 - September 30		
<input type="checkbox"/>	FINAL Report		

Approver's Name:
Approver's Title:

*If the "Approver" is not the one submitting this Report to DEHCR, then they **must** be cc'd on the email submission.*

Microenterprise #35							Not Answered
Microenterprise #36							Not Answered
Microenterprise #37							Not Answered
Microenterprise #38							Not Answered
Microenterprise #39							Not Answered
Microenterprise #40							Not Answered
Microenterprise #41							Not Answered
Microenterprise #42							Not Answered
Microenterprise #43							Not Answered
Microenterprise #44							Not Answered
Microenterprise #45							Not Answered
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Microenterprise #83							Not Answered
Microenterprise #84							Not Answered
Microenterprise #85							Not Answered
Microenterprise #86							Not Answered
Microenterprise #87							Not Answered
Microenterprise #88							Not Answered
Microenterprise #89							Not Answered
Microenterprise #90							Not Answered
Total CDBG Funding Amount Approved this Reporting Period: \$ - 0 0							

TEMPLATE

If you require additional lines to complete this form, please send an email request to your assigned DEHCR Project Representative or to DOACDBG@wisconsin.gov indicating the number of additional lines you need and for which microenterprise certification type.

For the **FINAL** Certification Report, the completed individual Microenterprise Owner Self-Cert forms and Microenterprise Employee Self-Cert forms **ARE ATTACHED AS SUPPORTING DOCUMENTATION.**

CDBG-CV Project Microenterprise Self-Certification Report Attach09-N Form v.2022-09-15

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Semi-Annual CDBG-CV Project Microenterprise Self-Certification Report (Individual 6-Month Report)

Page 3 of 5

Grantee/UGLG Name:

DEHCR CDBG-CV Grant Agreement/Contract Number:

Reporting Period (Choose ONE):

<input checked="" type="checkbox"/>	October 1 - March 31	Ending In Year:
<input type="checkbox"/>	April 1 - September 30	
<input type="checkbox"/>	FINAL Report	

Approver's Name:

Approver's Title:

*If the "Approver" is not the one submitting this Report to DEHCR, then they **must** be cc'd on the email submission.*

PART 3. MICROENTERPRISES CERTIFIED BY EMPLOYEES' INCOME

	3(b)	3(b)	3(c)	3(d)	3(e)	3(f)	3(g)	3(h)	3(i)	3(j)	3(k)	3(l)
	Business Name[s]	Street Address	City	State / ZIP	County	DUNS Number (if known)	CDBG Funding Amount Approved	Total Number Employees (including Owner[s])	Number of Owners	FTEs / Full-Time Employees (NOT including Owner[s])	FTEs / Part-Time Employees (NOT including Owner[s])	Part Time Hours
Example	Products-R-Us Inc.	432 South Main Street	Centerville	WI / 53724	Columbia	06-546-2237	\$ 230,000.00	19	1	5	13	324
Microenterprise #1								Not Answered				
Microenterprise #2								Not Answered				
Microenterprise #3								Not Answered				
Microenterprise #4								Not Answered				
Microenterprise #5								Not Answered				
Microenterprise #6								Not Answered				
Microenterprise #7								Not Answered				
Microenterprise #8								Not Answered				
Microenterprise #9								Not Answered				
Microenterprise #10								Not Answered				
Microenterprise #11								Not Answered				
Microenterprise #12								Not Answered				
Microenterprise #13								Not Answered				
Microenterprise #14								Not Answered				
Microenterprise #15								Not Answered				
Microenterprise #16								Not Answered				
Microenterprise #17								Not Answered				
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Microenterprise #38								Not Answered				
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Microenterprise #40								Not Answered				
Microenterprise #41								Not Answered				
Microenterprise #42								Not Answered				
Microenterprise #43								Not Answered				
Microenterprise #44								Not Answered				
Microenterprise #45								Not Answered				
Microenterprise #46								Not Answered				
Microenterprise #47								Not Answered				
Microenterprise #48								Not Answered				

TEMPLATE

CDBG-CV Project Microenterprise Self-Certification Report

Attach09-N Form v.2022-09-15

Semi-Annual CDBG-CV Project Microenterprise Self-Certification Report (Individual 6-Month Report)

Page 5 of 5

Grantee/UGLG Name: (Grantee's Name)

DEHCR CDBG-CV Grant Agreement/Contract Number: (CV Grant Agreement #)

Reporting Period (Choose ONE):

<input checked="" type="checkbox"/>	X	Ending In Year:
<input type="checkbox"/>	October 1 - March 31	<input type="text"/>
<input type="checkbox"/>	April 1 - September 30	<input type="text"/>
<input type="checkbox"/>	FINAL Report	<input type="text"/>

Approver's Name:

Approver's Title:

If the "Approver" is not the one submitting this Report to DEHCR, then they **must** be cc'd on the email submission.

PART 4. ADDITIONAL COMMENTS / EXPLANATORY NOTES

[Provide additional comments/explanations here.]

TEMPLATE

ATTACHMENT 9-O: CDBG CV MICROENTERPRISE OWNER SELF CERTIFICATION FORM (TEMPLATE)

The current 'master' document with a 'fillable' version of this Attachment for each county is available on the [CDBG-CV Program website](#) and on the [CDBG Implementation Handbook website](#) (under the Chapter Attachments/Fillable Forms section).

The form is part of a 'master' Microenterprise Owner Self Certification Forms document, which has a form for each Wisconsin county.

This document is posted annually (when HUD issues new Income Limits).

TEMPLATE

**2022 ADAMS COUNTY
STATE OF WISCONSIN
CORONAVIRUS (CV) GRANT PROGRAM
MICROENTERPRISE OWNER SELF CERTIFICATION**

CV Grantee Name: _____
Business Name: _____

Dear Microenterprise Owner:
(Enter CV Grantee Name) is collecting the following information as a requirement of the U.S. Housing and Urban Development's (HUD) Coronavirus (CV) Grant program. To meet federal regulations, **(Enter CV Grantee Name)** is required to collect statistical data on your family income and race/ethnicity. This information is reported to HUD and eventually used by the U.S. Congress to measure the effectiveness of the CV Grant program. Your name and personal information will be kept private, and your income and race information only shared with the federal government anonymously. *It is only through your cooperation that your community can benefit from this federal program.*

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

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

Please Circle # of Persons in your Family	FAMILY INCOME CATEGORY			
	Please check your family income in the same row as the number of persons in your family.			
	A	B	C	D
1	___ \$0 - \$16,900	___ \$16,901 - \$28,150	___ \$28,151 - \$45,000	___ Greater than \$45,000
2	___ \$0 - \$19,300	___ \$19,301 - \$32,150	___ \$32,151 - \$51,400	___ Greater than \$51,400
3	___ \$0 - \$21,700	___ \$21,701 - \$36,150	___ \$36,151 - \$57,850	___ Greater than \$57,850
4	___ \$0 - \$24,100	___ \$24,101 - \$40,150	___ \$40,151 - \$64,250	___ Greater than \$64,250
5	___ \$0 - \$26,050	___ \$26,051 - \$43,400	___ \$43,401 - \$69,400	___ Greater than \$69,400
6	___ \$0 - \$28,000	___ \$28,001 - \$46,600	___ \$46,601 - \$74,550	___ Greater than \$74,550
7	___ \$0 - \$29,900	___ \$29,901 - \$49,800	___ \$49,801 - \$79,700	___ Greater than \$79,700
8 or more	___ \$0 - \$31,850	___ \$31,851 - \$53,000	___ \$53,001 - \$84,850	___ Greater than \$84,850

Source: FY2022 HUD CDBG Income Limits (effective 06/15/2022) for Adams County

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

Single Race:

White

Black/African American

Asian

American Indian/Alaskan Native

Native Hawaiian/Other Pacific Islander

Other

Multi-Racial Identifiers:

American Indian/Alaskan Native and White

Asian and White

Black/African American and White

American Indian/Alaskan Native and African/American

Other Multi-Racial

3.) Please answer these questions:

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

Are you a female head of household? Yes No

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

Printed Name

Signature

____/____/____

Date

CV Microenterprise Owner Self Certification Attach09-O Form v.2022-09-15

ATTACHMENT 9-P: CDBG CV MICROENTERPRISE EMPLOYEE SELF CERTIFICATION FORM (TEMPLATE)

The current 'master' document with a 'fillable' version of this Attachment for each county is available on the CDBG-CV Program website and on the CDBG Implementation Handbook website (under the Chapter Attachments/Fillable Forms section).

The form is part of a 'master' Microenterprise Employee Self Certification Forms document, which has a form for each Wisconsin county.

This document is posted annually (when HUD issues new Income Limits).

UGLG Name: _____

Business Name: _____

TEMPLATE

2022 ASHLAND COUNTY
STATE OF WISCONSIN
CORONAVIRUS (CV) GRANT PROGRAM
MICROENTERPRISE EMPLOYEE SELF CERTIFICATION

Dear Employee:

(Enter Business name) is collecting the following information as a result of participating in the U.S. Housing and Urban Development's (HUD) Coronavirus (CV) Grant microenterprise program. To meet federal regulations, **(Enter Business Name)** is required to collect statistical data on your individual income and race/ethnicity. This information is reported to HUD and eventually used by the U.S. Congress to measure the effectiveness of the CV Grant microenterprise program. Your name and personal information will be kept confidential. Individual personal identifying information is not released to the public. *It is only through your cooperation that your community can benefit from this federal program.*

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

1.) Please indicate your current individual income in the following table:

INDIVIDUAL INCOME CATEGORY				
Please check your Individual Income (not including Income of other household members).				
A	B	C	D	
____ \$0 - \$16,900	____ \$16,901 - \$28,150	____ \$28,151 - \$45,000	____ Greater than \$45,000	

Source: FY2022 HUD CDBG Income Limits (effective 06/15/2022) for Ashland County

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

<p>Single Race:</p> <p><input type="checkbox"/> White</p> <p><input type="checkbox"/> Black/African American</p> <p><input type="checkbox"/> Asian</p> <p><input type="checkbox"/> American Indian/Alaskan Native</p> <p><input type="checkbox"/> Native Hawaiian/Other Pacific Islander</p> <p><input type="checkbox"/> Other</p>	<p>Multi-Racial Identifiers:</p> <p><input type="checkbox"/> American Indian/Alaskan Native and White</p> <p><input type="checkbox"/> Asian and White</p> <p><input type="checkbox"/> Black/African American and White</p> <p><input type="checkbox"/> American Indian/Alaskan Native and African/American</p> <p><input type="checkbox"/> Other Multi-Racial</p>
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3.) Please answer these questions:

Do you consider yourself as being of Hispanic ethnicity?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	
Are you a female head of household?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	

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

		/ /
Printed Name	Signature	Date

CV Microenterprise Employee Self Certification
Attach09-P Form v.2022-09-15