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NEVADA GOVERNOR'S OFFICE OF ECONOMIC DEVELOPMENT

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COMMUNITY DEVELOPMENT BLOCK GRANT (CDBG)

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# **Nevada Community Development Block Grant Program (CDBG):**

## **2025 GRANT ADMINISTRATION WORKSHOP**

# CDBG Grant Administration Workshop



Welcome to  
CDBG

# Nevada CDBG Program

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# GROUND RULES

- Participate
- Ask questions
- Tell us what you think
- Cell phones on vibrate

# CDBG MANUAL CHAPTERS

1. Getting Started
2. Environmental Reviews
3. Financial Management & Record Keeping
4. Procurement Process
5. Construction Management
6. Acquisition & Relocation
7. Monitoring
8. Project Closeout
9. Involving the Public
10. Civil Right/Equal Employment Opportunity  
Commission/Fair Housing

# AGENDA/LEARNING OBJECTIVES

- Review of CDBG Project Administration
- Federal Funds with State as Pass-Through Entity
- Levels of Environmental Reviews
- The Five Procurement Methods
- Steps in a Planning Project
- Steps in a Public Facilities/Construction Project
- Documentation of Grant Administration Process
- Wrapping up the Project

# GETTING STARTED



# LEARNING OBJECTIVES

- Understanding of the Grant Agreement
- Project File set up
- Submitting signed documents
- Documentation of Process

# Chapter I: GETTING STARTED

- Understand the **requirements of the grant agreement**, conditions and amendments.
- **Submit signed grant agreement** and **Certification of those who can request draws**. Retain copies for grant file.
- CDBG is now accepting electronic signatures.
- Examples of acceptable electronic signatures google docs, DocuSign, PDF signature as long as date stamped



# Chapter I: GETTING STARTED

- CDBG's filing system is fully electronic.
- Set up your files according to the type of grant you have:
  - 1) When sending documents make sure to label the files  
Community-grant name-grant number-doc type  
Example of doc types- grant agreement, amendment #1, draw  
request #1, bid documents.  
Ely-7stDrainage-25.PF.01-ER



# Chapter I: GETTING STARTED

- The level of Environmental Review (ER) required for the project is determined when developing and submitting the project for Eligibility.
- Exempt; Cat. Ex., Not Subject To (generally not used for NV CDBG projects); are submitted with application.
- **Environmental Assessments & Cat. Ex., Subj. to must be submitted to CDBG office for approval by September 30<sup>th</sup>, 2025. If not submitted by the due date, funds may be de-obligated.**
- After approval of ER, **wait for Notice to Proceed.**

# Chapter I: GETTING STARTED

- DO NOTHING ON THE PROJECT UNTIL THE NOTICE TO PROCEED IS ISSUED BY THE CDBG OFFICE. **EXPENSES ARE NOT REIMBURSED PRIOR TO THE DATE ON THE NOTICE TO PROCEED LETTER.**
- Begin implementation in a timely manner.
- Planning Grants expire in 12 months (June 30<sup>th</sup>, 2026);
- Construction Grants expire in 24 months (June 30<sup>th</sup>, 2027).

# Chapter I: GETTING STARTED RECAP

- ✓ Return signed grant agreement & Certification.
- ✓ **Wait for Notice to Proceed letter or Authority to Use Grant Funds.** [Environmental Review must be completed and approved before a Notice to Proceed is approved.]
- ✓ Set up filing system.

# ENVIRONMENTAL REVIEW

# LEARNING OBJECTIVES

- 1) Understanding of the different Levels of Environmental Reviews (ER) and a familiarity with applicable Federal requirements.
- 2) Understanding of the governing HUD regulations and procedures and required documentation of the Process.
- 3) Monitoring ER requirements from project implementation through completion.



# ALL PROJECTS MUST HAVE AN ENVIRONMENTAL REVIEW.

## The process:

- 1) Grant Award
- 2) Environmental Review (if not submitted with application or completed by July 1st)
- 3) Notice to Proceed
- 4) Procurement



No reimbursement of project costs prior to the date on the **Notice to Proceed letter.**

# ENVIRONMENTAL REVIEWS

- Fall under the **CROSS CUTTING – OTHER FEDERAL REQUIREMENTS** (i.e.: Davis-Bacon, Lead Based Paint, Fair Housing & Equal Opportunity, OMB Circulars).
- Environmental review for any CDBG project is required before any funds are obligated.
- Environmental review refers to process of looking at a project for impact on the environment and notifying the public of findings.
- Resources: 24 CFR Part 58 & various other laws.



# ENVIRONMENTAL REVIEW RECORD

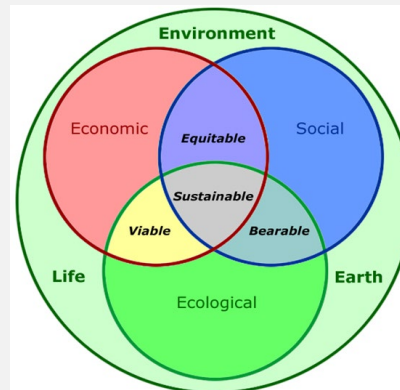
- Written record of compliance with all applicable environmental requirements.
- Legal challenges can be won or lost based on the completeness of the ERR.
- ERR should contain all documentation:
  - Project descriptions, maps, pictures, etcetera
  - Forms & checklists (use most current forms)
  - Notices
  - Correspondence and relevant documents
  - Public comments



# Environmental Review

Understand the Environmental Review requirements **BEFORE** proposing a project:

- 1) Project Aggregation
- 2) Environmental issues that could delay a project
- 3) Understand activities that may be considered Exempt or Categorically Excluded (Not Subject to/Subject to)
- 4) Understand what procedures must be followed
- 5) Understand the Release of Funds Process, if applicable.



# Environmental Review

## If awarded:

- 1) No project can be implemented until the Environmental Review is completed and reviewed by HUD/CDBG.
- 2) No project can be implemented without a Notice to Proceed or Release to Use Grant Funds.
- 3) Notice to Proceed or Release to Use Grant Funds is not issued until the Environmental Review is reviewed by HUD/CDBG.
- 4) No CDBG funds will be released without a Notice to Proceed (NtP) or Release to Use Grant Funds. Date of NtP letter is date reimbursement of funds begins.

# 5 Levels of Environmental Review

- 1) Exempt Activities: 24 CFR **Part 58.34 (a)**
- 2) Categorically Excluded Activities (**Part 58.5** – Related Laws & Authorities):
  - a) Subject to 24 CFR Part 58.5 (CEST) – 24 CFR **Part 58.35 (a)**
  - b) Not Subject to 24 CFR Part 58.5 (CENST) –  
24 CFR **Part 58.35 (b)**
- 3) Environmental Assessment Activities – 24 CFR **Part 58.36**  
[Subpart E – Environmental Review Process: EA: **Part 58.40**]
- 4) Environmental Impact Statement (EIS) – 24 CFR **Part 58.37**

# Environmental Review

- Determine the classification of the activity and project.
  - 1) Exempt
  - 2) Categorically Excluded (“Subject To” or “Not Subject To”)
  - 3) Environmental Assessment
  - 4) Environmental Impact Statement

If more than one activity or classification,  
go with the most stringent.



# #1 - Exempt Activities: 24 CFR 58.34 (a)

Exempt Activities are specifically exempt from the requirements of the National Environmental Policy Act of 1969 (NEPA):

- A study or plan; Environmental Assessment
- Design
- Inspections and testing of properties for hazards or defects;
- Engineering or design costs.



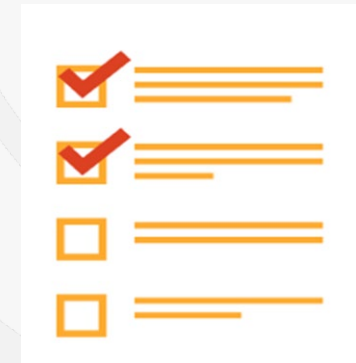
# #1 - Exempt Activities: 24 CFR 58.34 (a)

***Must document the determination in writing.***

- 1) Document that the activity is Exempt/Cat. Ex. Not Subject To by completing the proper form, and
- 2) Attach corresponding Maps

## **ATTACH REVIEW TO APPLICATION!**

- Move forward with the project when the Notice to Proceed letter is received: not before July 1<sup>st</sup>.



# #1 - Exempt Activities: 24 CFR 58.34

## (a)



U.S. Department of Housing and Urban  
Development  
451 Seventh Street, SW  
Washington, DC 20410  
www.hud.gov  
espanol.hud.gov

### Environmental Review for Activity/Project that is Exempt or Categorically Excluded Not Subject to Section 58.5 Pursuant to 24 CFR Part 58.34(a) and 58.35(b)

#### Project Information

Project Name:

Responsible Entity: (City or County)

Grant Recipient (if different than Responsible Entity): (Sub grantee)

State/Local Identifier: (CDBG Grant Number)

Preparer: (grantee, sub grantee, or consultant)

Certifying Officer Name and Title: (Mayor or Chairperson)

Consultant (if applicable):

Project Location:

Description of the Proposed Project [24 CFR 58.32; 40 CFR 1508.25]: (include all activities and boundaries for project)

#### Level of Environmental Review Determination:

- ☐ Activity/Project is Exempt per 24 CFR 58.34(a): \_\_\_\_\_  
☐ Activity/Project is Categorically Excluded Not Subject To §58.5 per 24 CFR 58.35(b): \_\_\_\_\_

#### Funding Information

Grant Number	HUD Program	Funding Amount
	CDBG Program	\$\$\$\$

Estimated Total HUD Funded Amount:

This project anticipates the use of funds or assistance from another Federal agency in addition to HUD in the form of (if applicable):

**Estimated Total Project Cost** (HUD and non-HUD funds) [24 CFR 58.32(d)]: \$\$\$

#### Compliance with 24 CFR §50.4 and §58.6 Laws and Authorities

Record below the compliance or conformance determinations for each statute, executive order, or regulation. Provide credible, traceable, and supportive source documentation for each authority. Where applicable, complete the necessary reviews or consultations and obtain or note applicable permits of approvals. Clearly note citations, dates/names/titles of contacts, and page references. Attach additional documentation as appropriate.

Compliance Factors: Statutes, Executive Orders, and Regulations listed at 24 CFR 50.4 and 58.6	Are formal compliance steps or mitigation required?	Compliance determinations
STATUTES, EXECUTIVE ORDERS, AND REGULATIONS LISTED AT 24 CFR §58.6		
Airport Runway Clear Zones and Accident Potential Zones 24 CFR Part 51 Subpart D	Yes No <input type="checkbox"/> <input type="checkbox"/>	Map quest closest airport to project site <a href="https://fas.org/man/dod-101/fac/comus.htm">https://fas.org/man/dod-101/fac/comus.htm</a> attach maps
Coastal Barrier Resources Coastal Barrier Resources Act, as amended by the Coastal Barrier Improvement Act of 1990 [16 USC 3501]	Yes No <input type="checkbox"/> <input type="checkbox"/>	Nevada is not located in a Coastal Barrier Zone per HUD region IV. attach maps
Flood Insurance	Yes No <input type="checkbox"/> <input type="checkbox"/>	<a href="https://msc.fema.gov/portal/home">https://msc.fema.gov/portal/home</a>

# #1 - Exempt Activities: 24 CFR 58.34

(a)

Flood Disaster Protection Act of 1973 and National Flood Insurance Reform Act of 1994 [42 USC 4001-4128 and 42 USC 5154a]	<input type="checkbox"/> <input type="checkbox"/>	attach maps
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## Mitigation Measures and Conditions [40 CFR 1505.2(c)]

Summarize below all mitigation measures adopted by the Responsible Entity to reduce, avoid, or eliminate adverse environmental impacts and to avoid non-compliance or non-conformance with the above-listed authorities and factors. These measures/conditions must be incorporated into project contracts, development agreements, and other relevant documents. The staff responsible for implementing and monitoring mitigation measures should be clearly identified in the mitigation plan.

Law, Authority, or Factor	Mitigation Measure

Preparer Signature: \_\_\_\_\_ Date: \_\_\_\_\_

Name/Title/Organization: \_\_\_\_\_

Responsible Entity Agency Official Signature:

\_\_\_\_\_ Date: \_\_\_\_\_

Name/Title: \_\_\_\_\_

This original, signed document and related supporting material must be retained on file by the Responsible Entity in an Environmental Review Record (ERR) for the activity/project (ref: 24 CFR Part 58.38) and in accordance with recordkeeping requirements for the HUD program(s).

# #2 - Categorically Excluded

## Two Options:

(1) Subject to 24 CFR Part 58.5 (CEST) – 24 CFR Part 58.35 (a)

OR

(2) Not Subject to 24 CFR Part 58.5 (CENST) –  
24 CFR Part 58.35 (b) –

- Tenant-based rental assistance;
- Activities to assist homebuyers to purchase existing dwelling units or units under construction;
- Affordable housing pre-development costs.

# #2 – Categorically Excluded:

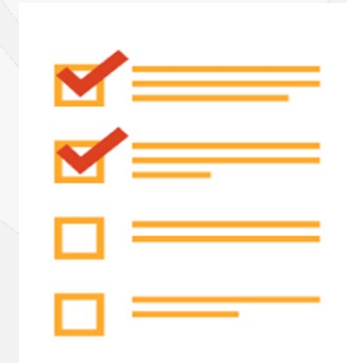
## #2 – Categorically Excluded: Not Subject To 24 CFR 58.34 (b)

***Must document the determination in writing.***

- 1) Document that the activity is Exempt/Cat. Ex. Not Subject To by completing the proper form, and
- 2) Attach corresponding Maps

### **ATTACH REVIEW TO APPLICATION!**

This category is not commonly used for CDBG Projects.



## #2(a) Categorically Excluded Activities, Subject to 24 CFR Part 58.5 (CEST) – 24 CFR Part 58.35 (a):

### Subject to

- If acquisition, repair, improvement, reconstruction, or rehabilitation of public facilities and improvements are in place and will be retained in the same use and **does not increase** size or capacity by **more than 20 percent**;
- If the estimated cost of rehabilitation is **less than 75 percent** of the total estimated cost of replacement after rehabilitation.
- If the activity does **not involve a change in land use**.

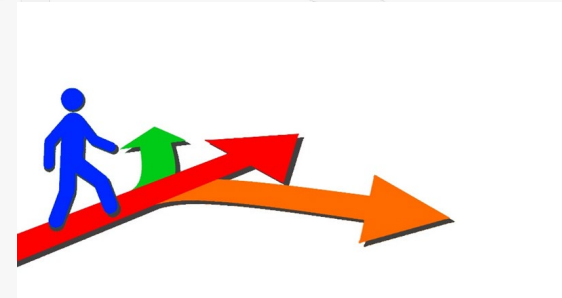
**BUT**

**THE PROJECT IS SUBJECT TO 58.5: Related Federal laws and authorities.**

# Categorically Excluded Activities, Subject to:

## One of Three Following Findings:

- 1) Converts to Exempt
- 2) Cannot Convert to Exempt and requires issuing a Notice of Intent to Request Release of Funds **and obtain HUD/State approval.**
- 3) Unusual circumstances may require preparation of an Environmental Assessment.



# Categorically Excluded, Subject to 58.5, Converts to Exempt

- 1) Review by External Agencies
- 2) Complete Statutory Worksheet
- 3) If no mitigating measures are required,  
project **converts to Exempt**.





# **Categorically Excluded: Subject to 58.5 – Converts to Exempt**

Finding of Categorical Exclusion, Subject to 24 CFR Part 58.5 –  
Converts to Exempt

## **Submit to CDBG:**

- 1) Cover letter stating level of ER.
- 2) Copies of description and map(s) sent to reviewers.
- 3) Letters to and responses from external reviewers.
- 4) Current Statutory Worksheet, properly completed and showing that the project converts.

# Environmental Reviews:

**For the following levels of Environmental Review:**

- 1) Exempt
- 2) Categorically Exempt, Not Subject to 24 CFR Part 58.5 9 -  
(Generally don't use for CDBG.)
- 3) Categorically Exempt, Subject to 24 CFR Part 58.5 – converts to  
Exempt

**NO PUBLIC NOTICE REQUIREMENTS.**

# Categorically Excluded Activities, Subject to: Does Not Convert to Exempt

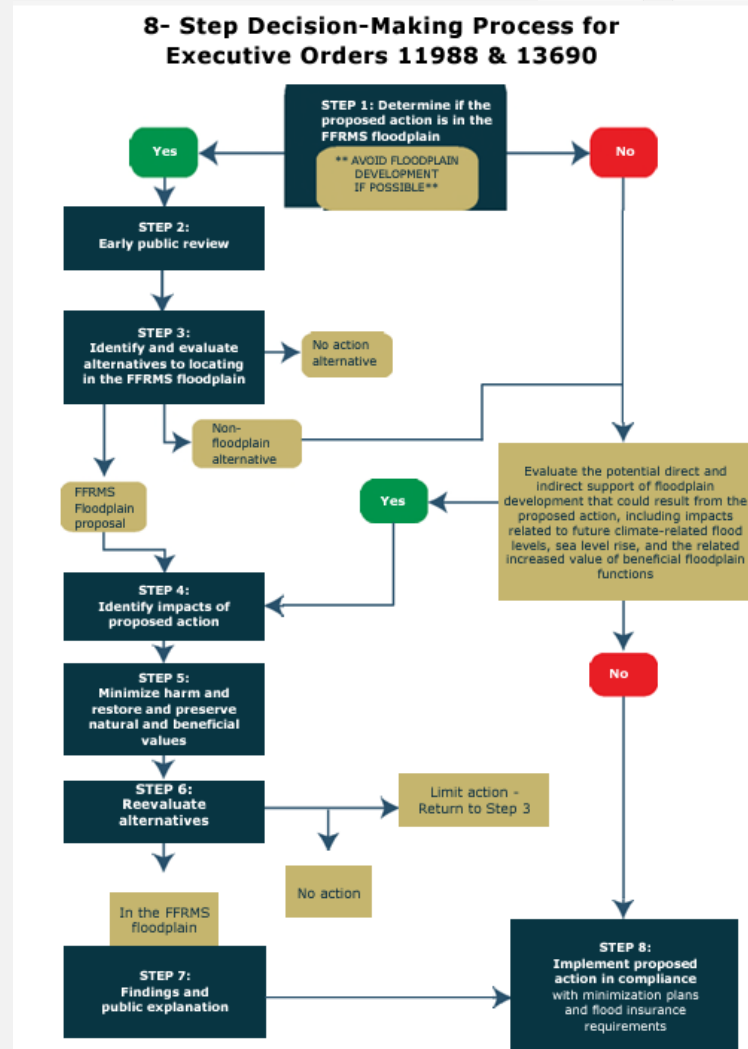
**Subject to 24 CFR Part 58.5 (CEST) – 24 CFR Part 58.35 (a)**

Categorically Excluded, Subject to:

- Floodplain and 8-Step Process;
- Historical mitigation; section 106
- Other mitigation issues.

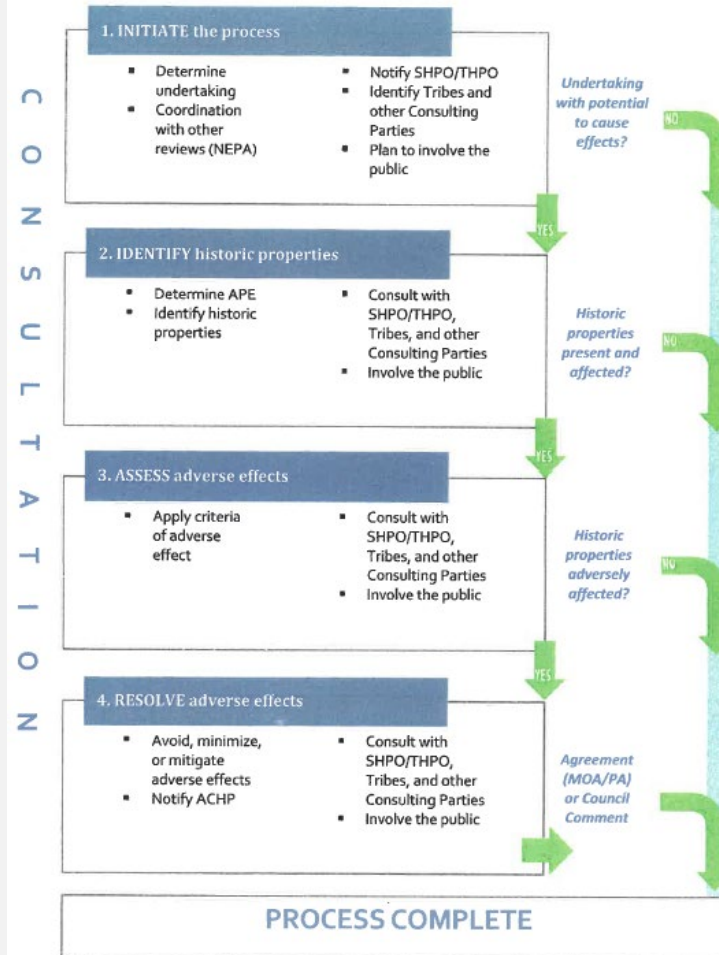


# 8-Step Decision-Making Process



# State Historic Preservation Office

## Section 106 Process



# Categorically Excluded, Subject to 58.5 (other laws & authorities)

- 1) Prepare project description & map(s).
- 2) Send project information to relevant entities and request written determinations.
- 3) Prepare & submit Section 106 Review Form to SHPO.
- 4) Begin to prepare the Statutory Worksheet.

# Categorically Excluded, Subject to 58.5 (other laws & authorities)

- 5) Determine if project is in or has impact on floodplains or wetlands. If yes, apply “Eight Step Process” and publish notices.
- 6) Complete the Statutory Worksheet.
- 7) Follow 24 CFR 58.43 & 58.45 – Dissemination and/or publication of the **findings of no significant impact**.

# Categorically Excluded, Subject to 58.5 (other laws & authorities)

- 8) If project affects resources, show mitigation, publish **Notice of Intent to Request Release of Funds (NOI-RROF)** and submit required information to the state. ) Include cover letter stating whether comments were received & RE's response(s);
- 9) Receive the Authority to use Grant Funds (7015.16) from the State, acting as HUD.



# Categorically Excluded, Subject to 58.5 (other laws & authorities)

- 10) Place all documentation in ERR.
- 11) Proceed with activity only after receipt of Notice to Proceed or Authority to Use Grant Funds Notice from the state.

## **Next step:**

- Procurement/Bid Process

**OPEN  
PROCUREMENT**

# Environmental Assessment

If not -

- (1) Exempt,
- (2) Categorically Excluded: Not Subject to
- (3) Categorically Excluded: Subject to/converts to Exempt
- (4) Categorically Excluded: Subject to (publish or post)

. . . the project is classified under **24 CFR 58.36** and requires an **Environmental Assessment**.



# Environmental Assessment

**AN ENVIRONMENTAL ASSESSMENT IS REQUIRED OF  
ANY NEW CONSTRUCTION AND/OR IMPROVEMENT  
OF MORE THAN 20 PERCENT IN SIZE OR CAPACITY.**



# Environmental Assessment (EA) Procedure

- 1) Determine the existing conditions, describe the character, features and resources of the project. Identify the trends that are likely to continue in the absence of the project.
- 2) The description of the project needs to include all activities – even if CDBG is not the sole funder (Project Aggregation).
- 3) Identify, analyze and evaluate all impacts to determine the significance of their effects on the human environment and whether the project will require further compliance (as cited in 58.5 and 58.6).

# Environmental Assessment (EA) Procedure

- 4) Address alternatives to the preferred course of action, including no action and other alternatives considered but rejected.
- 5) Based on the review, make one of the following findings:
  - A finding of No Significant Impact (FONSI), or
  - A Finding of Significant Impact.

Must be documentation that is credible, traceable, and supportive of the environmental findings.

# Environmental Assessment (EA) Procedure

- 6) If a Finding of No Significant Impact, a FONSI notice must be published in a newspaper of general circulation or posted/mailed and also distributed to interested parties, local news media, appropriate local, state and Federal agencies.
- 7) Public comment period begins and must remain open for a minimum of 15 calendar days if the notice is published in a newspaper of general circulation or a minimum of 18 calendar days if the FONSI notice is posted or mailed.

# Environmental Assessment (EA) Procedure

- 8) If review results in a Finding of Significant Impact, an Environmental Impact Statement (EIS) will be required.
- 9) An EA prepared for another agency (ex. USDA) may be adopted but only if the Responsible Entity has done an independent evaluation of the information to ensure it meets the requirements of Part 58 and NEPA and takes responsibility for its scope and content.

# Environmental Assessment (EA)

## Environmental Packet to CDBG:

- The EA Form and Environmental Review Record (ERR)
- Letters and responses from External Agencies
- Floodplain Notification, if applicable
- Publication of Finding of No Significant Impact (FONSI) and Notice (Can combine with NOI/RROF.)
- Affidavit of publication/proof of posting.
- Statement of distribution/and copy of mailing list/labels.





# Environmental Assessment (EA)

## Environmental Packet to CDBG:

- Cover letter stating whether comments were received and the RE's response.
- Resolutions and responses to comments received.



# Environmental Review Record

- ❖ The Environmental Review Record must contain all of the Environmental Review documents, public notices and written determination or environmental findings as part of evidence of the review, decision making and actions pertaining to the project – from the beginning through the end and close out of the grant.

# Environmental Review Record

**Environmental Assessment Factors** [24 CFR 58.40; Ref. 40 CFR 1508.8 &1508.27] Recorded below is the qualitative and quantitative significance of the effects of the proposal on the character, features and resources of the project area. Each factor has been evaluated and documented, as appropriate and in proportion to its relevance to the proposed action. Verifiable source documentation has been provided and described in support of each determination, as appropriate. Credible, traceable and supportive source documentation for each authority has been provided. Where applicable, the necessary reviews or consultations have been completed and applicable permits of approvals have been obtained or noted. Citations, dates/names/titles of contacts, and page references are clear. Additional documentation is attached, as appropriate. All conditions, attenuation or mitigation measures have been clearly identified.

**Impact Codes:** Use an impact code from the following list to make the determination of impact for each factor.

- (1) Minor beneficial impact
- (2) No impact anticipated
- (3) Minor Adverse Impact – May require mitigation
- (4) Significant or potentially significant impact requiring avoidance or modification which may require an Environmental Impact Statement

# TIMING OF ENVIRONMENTAL NOTICES

NOTICE	METHOD	TIMING
FONSI	Published	15 days
FONSI	Posted	18 days
NOI/RROF	Published	7 days + 15 for State
NOI/RROF	Posted	10 days + 15 days for state
Combined FONSI & NOI/RROF	Published	15 day for comments 15 days for objections
Floodplain Notice of Early Public Review	Published (required)	15 days
Floodplain Statement of Findings & Public Explanation	Published (required)	7 days

# Release of Funds Process – CEST

- ❑ If Notice of Intent to Request Release of Funds (NOI-RROF) is published in a newspaper of general circulation, the public comment period is a minimum of 7 calendar days, and a minimum of 10 calendar days if it is posted/mailed.
- ❑ The comment period begins the day after the notice appears in the newspaper of if posted/mailed.



# Release of Funds Process

- ❑ For EAs, the NOI-RROF may be combined with the FONSI notice. If combined, the public comment period is a minimum of 15 calendar days when published or a minimum of 18 calendar days when posted/mailed. The combined notice must clearly indicate that it is intended to meet two separate notification requirements and that comments need to state whether they apply to the NOI-RROF or the FONSI.
- ❑ A 30-day comment period may be required for exceptional circumstances.



# Release of Funds Process

- ❑ A copy of the public notification with the signed RROF and Certification is submitted to the State after the RE comment period ends.
- ❑ The 15-day (HUD/State) objection period begins when the state receives the above documentation.
- ❑ The waiting period can begin with a scan of the documents to the State but the original documents must be received before any Release of Funds.



# Environmental Monitoring

- ❖ Responsible Entity (RE) must ensure compliance throughout the project. If any change occurs, it must be determined if the original determination is impacted. If so, an amendment or further documentation may be required.
- ❖ No project can be closed without assurance that all environmental requirements have been completed or remedied.





# Environmental Reviews - update

- 1) Categorically Excluded Subject to, Converts to Exempt
- 2) Categorically Excluded Subject to, 24 CFR Part 58.5
- 3) Environmental Assessments

All due by September 30, 2025  
or may risk de-obligation of funding.

# PROCUREMENT PROCESS

# LEARNING OBJECTIVES

- Competitive Process
- Different Procurement Methods
- Documentation Required for Each
- Documentation of Process

# Procurement



OPEN  
PROCUREMENT

**ALL PROJECTS MUST HAVE A PROCUREMENT PROCESS &  
SUBMIT DOCUMENTATION TO THE CDBG OFFICE PRIOR  
TO ADVERTISING AND PROCURING.**

# PROCUREMENT METHODS

- 1) Micro Purchase: supplies and services valued at less than \$15,000
- 2) Small Purchase: Federal: Less than \$250,000;  
State: less than **\$100,000 (NRS 332.065 advertise as prescribed in NRS 332.045)**
- 3) Competitive Sealed Bid
- 4) Competitive Proposal
  - a) Request for Proposal (RFP)
  - b) Request for Qualifications (RFQ)
- 5) Sole-Source/Non-Competitive



# PROCUREMENT PROCESS

## Federal Regulation at 48 CFR Subpart 2.1:

- **Micro Purchase:** supplies and services (except construction) valued at less than \$15,000.
- May be awarded without competitive quotations if the price is determined to be fair and reasonable.
- Non-federal entities may need to update internal procurement policies to reflect the micro-purchase procurement method.

# PROCUREMENT PROCESS

## Nevada Revised Statute 332.039:

### Small Purchase:

- Any amount **\$100,000** and over shall be advertised. Purchases under **\$100,000**, do not require advertising.
- For contracts between **\$50,000 and \$100,000**, requests for bids/quotes must be made to three capable entities.
- For contracts under **\$50,000**, oral or written price bids/quotes need to be obtained by at least three supplier.

# PROCUREMENT PROCESS

## NRS 332.091

- The governing body or its authorized representative shall maintain a record of each solicitation and responses to a solicitation for at least 7 years after the date of execution of the contract.



# PROCUREMENT PROCESS

## Which RFx is right for you?

An RFI, RFQ or RFP selection guide

### RFI

Request  
for information



Educates



### RFQ

Request  
for quotation



Quantifies



### RFP

Request  
for proposal



Compares



# PROCUREMENT PROCESS

## Competitive Proposal Method(s): RFP & RFQ

**RFP**: Competition is based on the proposed methods.

- Clearly and accurately state the technical requirements for goods and services required;
- Publicize the RFP and honor reasonable requests for an opportunity to compete;
- Solicit from an adequate number of qualified sources;
- Conduct a technical evaluation of the submitted proposals;

# PROCUREMENT PROCESS

## Competitive Proposal Method(s): RFP & RFQ

### RFP:

- Conduct negotiations with responsive and responsible entities that submitted RFPs based on evaluation of the proposals;
- Award contract to the most responsive and responsible entity;
- Successful entity must clearly be the most advantageous source of the goods and services.

# PROCUREMENT PROCESS

## Competitive Proposal Method(s): RFP & RFQ

**RFQ**: Competition is based on expertise. Use for architect, surveyor or engineering services.

- Notice requesting that qualifications or proposals be submitted;
- Evaluate firms on their submissions. Interviews are used to obtain additional information. A final ranked list is then generated;

# PROCUREMENT PROCESS

## Competitive Proposal Method(s): RFP & RFQ

**RFQ:** Competition is based on expertise.

- Start with highest ranked firm and negotiate a reasonable price for the service. If no agreement is reached, move on to the next firm on the ranked list. Process is repeated until a fee is agreed upon.
- The final step is to enter into a contract with the selected firm.
- If no responsive or responsible proposals are received, a contract can be negotiated as provided in NRS 332.148.

# PROCUREMENT PROCESS

## Non-Competitive or Sole-Source Provider Method:

- Use under very limited circumstances. The grantee should consult with the CDBG office prior to utilizing this method.
- A cost analysis verifying the proposed cost data must be done before a decision is made to use this method.

# **CONSTRUCTION MANAGEMENT & LABOR STANDARDS:**

# LEARNING OBJECTIVES

- Management of Project
- Labor Requirements
- Environmental Requirements (separate session)
- Documentation of Process



# CONSTRUCTION MANAGEMENT

## Project Phases:

- I. Pre-Bid & Bidding Process Phase
- II. Contract Award & Pre-Construction Phase
- III. Construction & Monitoring Phase
- IV. Project & Grant Close Out Phase

# CONSTRUCTION MANAGEMENT

## I. Pre-Bid & Bidding Process Phase:

- Select Engineer and/or Architectural Services;
- Prepare the bid document with place holders for Davis-Bacon & State Prevailing wage determinations;
- Submit bid documents to CDBG office for approval.



# PROCUREMENT PROCESS FOR CONSTRUCTION

## Competitive Sealed Bid:

- Prepare bid document for CDBG review and approval;
- Obtain wage determination(s) from the CDBG Program Specialist;
- Advertise any bid **\$100,000** and over (*if construction, Davis-Bacon applies at \$2,000*);
- Obtain 10-day wage check from the CDBG Program Specialist;

# PROCUREMENT PROCESS FOR CONSTRUCTION

## **Competitive Sealed Bid:**

- Bid Opening and contractor selection process;
- Approval by Commission/Council and selection process sent to CDBG;
- Contractor and sub-contractors are debarred (must be registered in SAM & updated annually).
- Contract is issued;
- Pre-construction conference is scheduled and held.

# CONSTRUCTION MANAGEMENT

## I. Pre-Bid & Bidding Process Phase:

- After CDBG office signs off on bid document and advertising date, publish/post ad. Allow 21 days between the bid date and bid opening date.
- Submit 10-day wage check to CDBG Program Specialist 10 days prior to the bid opening date.

**Move on to Phase II.**

# CONSTRUCTION MANAGEMENT

## II. Contract Award & Pre-Construction Phase:

- Ensure the City/County has criteria and a selection process in place to support the justification provided to any unsuccessful bidder.
- Upon receipt of each bid, log in the time and date of receipt. Bids remain sealed until the designated bid opening time.
- Conduct the Bid Opening. The City/County attorney should participate in the bid opening.

# CONSTRUCTION MANAGEMENT

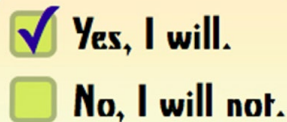
## II. Contract Award & Pre-Construction Phase:

- Send to the CDBG Program Administrator a summary of the selection process and a copy of the minutes approving the selected contractor.
- Send to the CDBG Program Specialist a Notice to Debar the Contractor and Sub-contractors prior to awarding the contract.  
**Contractors and subs MUST be registered in SAM annually.**
- Award a contract, *that includes all of the required CDBG documents,*  
**after the companies have been debarred.**

# CONSTRUCTION MANAGEMENT

## II. Contract Award & Pre-Construction Phase:

- Schedule a pre-construction conference.
- Send Wage Comparison Worksheet to CDBG staff for review and approval prior to pre-construction conference
- Send agenda and the Wage Comparison Worksheet to all participants.
- Hold the Pre-construction Conference. A CDBG construction training must be held with the grant administrator, CDBG staff, and contractor's payrolls person





# CONSTRUCTION MANAGEMENT

## II. Contract Award & Pre-Construction Phase:

### Topics to cover:

- labor standards,
- wage rates & wage comparison worksheet,
- payroll requirements,
- employee interviews,
- CDBG documents, etcetera;
- Environmental Assessment monitoring,
- Anticipated start and end dates for project.

**Move on to Phase III.**



# CONSTRUCTION MANAGEMENT & LABOR STANDARDS

## III. Construction & Monitoring Phase:

- Issue Notice to Proceed. Post Wage Decisions at the site.
- Approve weekly Certified Payrolls; **submit ALL payrolls** to the CDBG Program Specialist. Signature requirement.
- Conduct Employee interviews: one per category on different days and times. Submit copies to CDBG Program Specialist.

**Move on to Phase IV.**

# CONSTRUCTION MANAGEMENT & LABOR STANDARDS

## IV. Project & Grant Close Out Phase:

Submit to the CDBG Program Specialist the following:

- 1) Financial Summary
- 2) Final Quarterly Report
- 3) Final Wage Compliance
- 4) Audit/Disallowed Audit Report
- 5) Project Benefits Report
- 6) Environmental Review Compliance

**All Construction Projects will be monitored before final closeout.**

# ADDITIONAL CLASSIFICATION

- If there is not a job classification on the Davis-Bacon wage determination, wages must be obtained from the Department of Labor (DOL).
- The HUD Form 4230A must be completed and submitted to CDBG Program Specialist.
- Currently the Department of Labor is taking from 1-6 months to complete an additional classification request.

# WAGE RESTITUTION

- Compute the wage restitution.
- Advise CDBG of the discrepancy.
- Notify the employer/prime contractor in writing.  
(The contractor is allowed 30 days to correct the underpayment.)
- Review the corrected certified payroll report.
- Request cancelled check copies to prove reimbursement to the employees.

# CDBG CONSTRUCTION CHECKLIST

CDBG CONSTRUCTION CHECKLIST

What	Who	Done
<b>Preliminary Activities</b>		
Select architect or engineer: If not an engineer of record, RFP is required and must be approved by CDBG. Must be at least 21-day advertisement.	Grant Administrator	
Negotiate professional services contract:	Grant Administrator	
Develop bid package with all CDBG terms and conditions, include SAM.gov	Grant Administrator	
Send complete bid document to CDBG Staff for review and approval need bid advertisement date, bid opening date	Grant Administrator	
Submit a Wage Determination request for State Prevailing (project \$100,000 or more) and Davis-Bacon wages from CDBG Staff as close to bid advertisement date.	Grant Administrator, CDBG Staff	
Advertise for bid: send to clearinghouse North: <a href="mailto:sierrasource@scsplanroom.com">sierrasource@scsplanroom.com</a> South: <a href="mailto:content@constructconnect.com">content@constructconnect.com</a> Must be at least a 21-day bid advertisement	Grant Administrator	
Submit 10 Day Wage Determination request for updated wage rates or modifications from CDBG staff: 10 days prior to bid opening	Grant Administrator, CDBG Staff	
Send CDBG staff the minutes of bid opening, tabulation, and the selection process.	Grant Administrator	
Verify contractor eligibility (Debar) with CDBG Staff: Prior to signing a contract	Grant Administrator, CDBG Staff	
Check contractor references and license	Grant Administrator	
<b>Preconstruction</b>		
Award contract	Grant Administrator	
Notify unsuccessful bidders	Grant Administrator	
Notify Labor Commission of contract award (if project is \$100,000 or more)	Grant Administrator	
Submit Contract and Subcontract Activity Report, Section 3 Report to CDBG Staff.	Grant Administrator	
Wage Comparison Worksheet reviewed and approved by CDBG Staff prior to the pre-construction conference	Grant Administrator	
Have contractor make good faith effort to obtain apprentice for project. Contact Unions to see if they will send an apprentice to project.	Grant Administrator	
Hold preconstruction conference: Notify CDBG staff of time and date	Grant Administrator	
Obtain signed certifications from contractor and subcontractors	Grant Administrator	

CDBG CONSTRUCTION CHECKLIST

Assemble sign in sheet and minutes of preconstruction conference and submit to CDBG staff	Grant Administrator	
<b>Construction/Enforcement</b>		
Check employee payrolls: Payrolls and payroll checklist must be submitted to the CDBG Program Specialist weekly	Grant Administrator	
Conduct employee interviews: At least 5 employee interviews with 5 different people of 5 different classifications	Grant Administrator	
Monitor project progress	Grant Administrator	
Check for Labor & Equal Opportunity Posters Submit pictures of Davis Bacon posters and wage comparison worksheet to CDBG Program Specialist	Grant Administrator	
Final inspection	Grant Administrator	
Acceptance of work	Grant Administrator	
Send final completion notice to State Labor Commissioner (if applicable)	Grant Administrator	
Complete compliance files and forms	Grant Administrator	
Liens removed	Grant Administrator	
Final payment made	Grant Administrator	
Final Wage Compliance Report	Grant Administrator	
Program closeout	Grant Administrator	

# BID DOCUMENT CHECKLIST

## BID PACKAGE CHECKLIST

Grantee: \_\_\_\_\_ Grant #: \_\_\_\_\_ Project: \_\_\_\_\_  
 Bid Date: \_\_\_\_\_ Bid Opening: \_\_\_\_\_ Bid amount \$ \_\_\_\_\_ Reviewer: \_\_\_\_\_

ITEM	YES	NO	NOTES
Technical Specifications (including ADA compliance)			
Advertisement for Bid			
Information for Bidders			
Bonding and Insurance Requirements			
Payment Bond (projects \$100,000 and over)			
Performance Bond (projects \$100,000 and over)			
Bid Bond (required if Payment and Performance Bonds are required)			
Bid for Unit Price Contracts			
Bid for Lump Price Contracts			
Contract Form			
Certificate of Owner's Attorney			
SAM.gov registration			
Certification of Contractor – Equal Employment Opportunity *			
Certification (Subcontractor) – Equal Employment Opportunity *			
Certification (Contractor) – Lobbying*			
Certification (Subcontractor) – Lobbying*			
Certification (Contractor/Subcontractor) Regarding Debarment*			
Section 3 Provisions for Contracts * (projects \$200,000 and over)			
Section 3 Clause * (projects \$200,000 and over)			
Certification (Bidder/Prime Contractor) Section 3 & Segregated Facilities * (projects \$200,000 and over)			
Certification (Subcontractor) Section 3 & Segregated Facilities * (projects \$200,000 and over)			
<b>SUPPLEMENTAL GENERAL CONTITIONS (INCLUDE ALL FORMS): *</b>			
Equal Opportunity Clause: contracts \$10,000 and under;			
Standard Equal Opportunity Clause: construction over \$10,000;			
Standard Federal Equal Opportunity Construction Contract Specifications: Construction over \$10,000;			
Federal Labor Standards Provisions; [HUD – 4010]			
Federal Wage Rate Determination; [Davis Bacon]			
State Prevailing Wage Rates for Public Works: Construction of \$100,000 or more;			
Certification of Compliance with Air and Water Acts: contracts of \$100,000 or more;			
Special Condition – Hazards, Safety Standard and Accident Prevention;			
Special Condition – Unfair Trade Practices.			
If environmental mitigation applies, does the bid package address?			
<b>FORMS COMPLETED BY GRANTEE AND/OR AWARDED CONTRACTOR</b>			
Wage Comparison Worksheet			
Employee Rate of Pay			
Weekly Payroll report (Federal format) & Instructions			
Non-Performance Report			

ITEM	YES	NO	NOTES
Employee Interviews			
Certification of Understanding & Authorization			
Certification of Applicable Fringe Benefits form			
Authorization for Deductions			
Grantee's Notification of Contracts and Subcontracts Awarded			
MBE/Contract and Subcontract Activity-HUD			
Section 3 Estimated Workforce Breakdown			
Build America Buy America			
Senate Bill 207 Apprenticeship Utilization Act Info			

\* INDICATES ITEMS REQUIRED BY FEDERAL LAW OR REGULATIONS.

# WAGE DETERMINATION



## REQUEST FOR WAGE DETERMINATION (WD)

Date Submitted to CDBG: \_\_\_\_\_  
Grantee- City/County: \_\_\_\_\_  
Project Name: \_\_\_\_\_  
Grant #: \_\_\_\_\_

We are proposing to advertise the bid documents for the above project on (date)  
\_\_\_\_\_.

Please send us the relevant Federal and State Wage Determinations for insertion in the bid package.

Construction Types (please circle ones that pertain to your project)

Heavy  
Highway  
Residential  
Building

The anticipated value of the contract being advertised is \$ \_\_\_\_\_.

We expect to open the bid documents on (date) \_\_\_\_\_, and will revert prior to that date for the 10-day wage check.

### Instructions:

Please complete the form and send to CDBG as an email, fax or letter.

Sarah Clark (seclark@goed.nv.gov) or  
Jessica Sanders (jsanders@goed.nv.gov)

Please submit this request for wages **BEFORE** you go to bid and insert them in your bid package.



## TYPES OF CONSTRUCTION

- **BUILDING** construction is generally the construction, rehabilitation and repair of sheltered enclosures with walk-in access for the purpose of housing persons, machinery, equipment or supplies (includes installation of utilities and equipment, both above and below grade).
- **RESIDENTIAL** construction projects, for Davis-Bacon purposes, include construction, alteration, or repair of single family houses, townhouses, and apartment buildings of no more than four (4) stories in height.
- **HIGHWAY** projects include construction, alteration or repair of roads, streets, highways, runways, taxiways, alleys, trails, paths, parking areas, and similar projects not incidental to building or heavy construction.
- **HEAVY** is not a homogeneous classification. Because of this catch-all nature, projects within the heavy classification may sometimes be distinguished on the basis of their particular project characteristics and separate schedules issued. Example: sewer & water line projects.

# 10-DAY WAGE CHECK



## REQUEST FOR 10-DAY WAGE CHECK

Date Submitted to CDBG: \_\_\_\_\_  
Grantee- City/County: \_\_\_\_\_  
Project Name: \_\_\_\_\_  
Grant #: \_\_\_\_\_

We are proposing to open the bid documents for the above project on  
(Date) \_\_\_\_\_.

Please check the relevant Federal and State Wage rates for this project and  
send us the final wage determinations.

The anticipated value of the contract being advertised is  
\$ \_\_\_\_\_.

### Instructions:

Please complete the form, send to CDBG as an email, fax or letter.

Sarah Clark (seclark@goed.nv.gov) and  
Jessica Sanders (jsanders@goed.nv.gov)

Please submit this request prior to advertising your bid documents, but as close to the  
advertisement date as possible.



# DEBAR



## CONTRACTOR/SUB CONTRACTOR SERVICE PROVIDER ELIGIBILITY (DEBAR) REQUEST FORM

Date Submitted to CDBG:

Grantee- City/County:

Project Name:

Grant #:

Grant Amount:

Please check if the following contractor(s)/service provider(s) are barred from performing work or providing services on a federally funded project.

Name of Company/Individual	Company City, State	SAM Unique Entity ID	CAGE#

***Instructions:*** Submit this request for debar **BEFORE** you enter into a contract with a contractor/subcontractor or service provider.

**All vendors MUST be registered and active in SAM.gov.**

Complete the form (be sure to use full name of company/individual) and send to CDBG as an email, fax or letter to Sarah Clark (seclark@goed.nv.gov) with a CC to Jessica Sanders (jsanders@goed.nv.gov) to ensure the request is processed.



# ADDITIONAL WAGE CLASSIFICATION

U.S. DEPARTMENT OF HOUSING AND URBAN DEVELOPMENT REPORT OF ADDITIONAL CLASSIFICATION AND RATE		HUD FORM 4230A <small>OMB Approval Number 2501-0011 (Exp. 01/31/2010)</small>	
1. FROM (name and address of requesting agency) Sarah Clark Governor's Office of Economic Development 808 W Nye Lane Carson City, NV 89703		2. PROJECT NAME AND NUMBER	
4. BRIEF DESCRIPTION OF PROJECT		3. LOCATION OF PROJECT (City, County and State)	
		5. CHARACTER OF CONSTRUCTION <input type="checkbox"/> Building <input type="checkbox"/> Residential <input type="checkbox"/> Heavy <input type="checkbox"/> Other (specify) <input type="checkbox"/> Highway	
6. WAGE DECISION NO. (include modification number, if any)		7. WAGE DECISION EFFECTIVE DATE	
<input checked="" type="checkbox"/> COPY ATTACHED			
8. WORK CLASSIFICATION(S)	HOURLY WAGE RATES		
	BASIC WAGE	FRINGE BENEFIT(S) (if any)	
9. PRIME CONTRACTOR (name, address)	10. SUBCONTRACTOR/EMPLOYER, IF APPLICABLE (name, address)		
<b>Check All That Apply:</b> <input checked="" type="checkbox"/> The work to be performed by the additional classification(s) is not performed by a classification in the applicable wage decision. <input checked="" type="checkbox"/> The proposed classification is utilized in the area by the construction industry. <input checked="" type="checkbox"/> The proposed wage rate(s), including any bona fide fringe benefits, bears a reasonable relationship to the wage rates contained in the wage decision. <input type="checkbox"/> The interested parties, including the employees or their authorized representatives, agree on the classification(s) and wage rate(s). <input checked="" type="checkbox"/> Supporting documentation attached, including applicable wage decision.			
<b>Check One:</b> <input checked="" type="checkbox"/> Approved, meets all criteria. DOL confirmation requested. <input type="checkbox"/> One or more classifications fail to meet all criteria as explained in agency referral. DOL decision requested.			
Sarah Clark, CDBG Program Specialist _____ Agency Representative (Typed name and signature)		FOR HUD USE ONLY LR2000:  Log in:  Log out:	
_____ Date  775-687-9920 Phone Number			

HUD-4230A (8-03) PREVIOUS EDITION IS OBSOLETE



# WH347 CHECKLIST

Contractor / Subcontractor:	
Project Name:	
Payroll Number:	Payroll Date:
Please attach this checklist to each pay period, for each contractor and/or sub-contractor.	
<b>WHD-347 Contractor &amp; Project Information</b>	
<b>Contractor or Subcontractor:</b> Is the company's name entered and box checked whether the company is the contractor or sub contractor?	
<b>Address:</b> Is the company's address entered?	
<b>Payroll Number:</b> Is the correct week referenced? Is this a revised payroll, Non-Performance, or final payroll? If revised is "revised" notated on payroll?	
<b>For Week Ending:</b> Is the ending date for the work week you're reporting on entered?	
<b>Project and Location:</b> Is the address of the project here? (This is the jobsite where work is occurring.)	
<b>WHD-347 Employee Weekly Payroll</b>	
<b>Column 1 – Name and Individual Identifying Number of Worker:</b> Is the Employee's name and identifying number on the payroll form?	
<b>Column 2 – Number of Withholding Exemptions:</b> This column is not required for certified payroll reporting but is there for your convenience.	
<b>Column 3 – Davis Bacon Work Classifications:</b> Is the Davis-Bacon work classification for each worker on the payroll form?	
<b>Column 4 – Day and Date Hours Worked:</b> Is the day, date and hours worked during the pay period being reported on? Are the appropriate boxes for straight time and overtime indicated?	
<b>Column 5 – Total Hours:</b> If using the WHD347 the form will automatically add up the hours entered and display the totals here. Do the total hours worked add up correctly?	
<b>Column 6 – Rate of Pay, including Fringe Benefit Rate:</b> For the straight time, is the hourly rate of pay plus any fringe benefits that are paid in cash calculated correctly? If the worker worked overtime, is this reflected here?	
***Compared hourly rate being paid is equal to or above the wages to be paid on the Wage Comparison Worksheet.	
<b>Column 7 – Gross Amount:</b> If using the WHD347 the form will calculate the gross amount based on the information you've entered, including the hours worked and rate of pay. The top portion is the gross amount earned on the project for this week. The bottom is the total for all jobs worked this week. It is very important that everything from columns 4-6 is accurate, otherwise the data in Column 7 will be wrong. Did this auto populate? If not using the WHD347 did you double check the amounts?	
<b>Column 8 – Deductions:</b> Are the various deductions, including FICA, withholding tax and blank columns for other deductions? • If "other" Deductions is the Payroll Deduction Authorization for "Other Deductions" on Certified Payroll attached?	
<b>Column 9 – Net Wages Paid for Week:</b> If using the WHD347 did the form auto populate correctly by taking column 7, subtracting the deductions entered in column 8 and display it as net wages here? If not using the WHD347 did you double check the amount?	

<b>If Contractor uses own payroll form "Statement of Compliance as Required by Regulations" must be attached</b>	
<b>Page 2:</b> Did you attest that to the best of your knowledge, the form is correct, and that the payroll is in compliance with all applicable laws?	
<b>Page 2, Item 1:</b> Is the permissible "other" deductions described here? (i.e., Employee name, amount and purpose)	
<b>Page 2, Item 4:</b> If the contractor pays the required fringe benefits to approved plans, funds, or programs, is paragraph 4(a) of page 2 of the WH-347 payroll form checked? If there are any exceptions, did you note them in section 4(c)? • If paying Fringe Benefits was the "Certification for Applicable Fringe Benefit Payments" sent to CDBG staff and when?	
<b>Contractors who pay no fringe benefits:</b> If you do not pay all fringe benefits in approved plans, funds or programs, pay the remaining amount and list it in the "straight time" of the "Rate of Pay" column. In addition, check paragraph 4(b) on page 2 of WH-347 to indicate the payment of fringe benefits in cash directly to the workers. Note any exceptions in section 4(c).	
<b>Use of Section 4(c), Exceptions:</b> If applicable did you account for exceptions in handling fringe benefits?	
If not signed by owner did the "Certification of Understand and Authorization" get sent to CDBG staff? If change in signatory, was a new form sent to CDBG staff?	
<b>Employee Interview</b>	
Has the required Employee Interviews been complete and sent to CDBG? <i>Note: HUD likes to see one employee interview for each classification on different days.</i>	

I certify that I have completely filled out and attached all pertaining documents.

Signature:

Date:

# CERTIFIED PAYROLL REPORT: WH 347, WH 348

U.S. Department of Labor  
Wage and Hour Division

## Davis-Bacon and Related Acts Weekly Certified Payroll Form

(For Contractor's Optional Use; See Instructions at [www.dol.gov/whd/forms/wh347instr.htm](http://www.dol.gov/whd/forms/wh347instr.htm))

Unless otherwise noted, the information requested is specific to the named project below.

Persons are not required to respond to the collection of information unless it displays a currently valid OMB control number.



Rev. January 2025  
OMB No.: 1235-0008  
Expires: 01/31/2028

☐ SUBMISSION OF FINAL DBRA CERTIFIED PAYROLL FORM

☐ PRIME CONTRACTOR

☐ SUBCONTRACTOR

PROJECT NAME				PROJECT NO. or CONTRACT NO.			CERTIFIED PAYROLL NO.		PRIME CONTRACTOR'S/SUBCONTRACTOR'S BUSINESS NAME												
PROJECT LOCATION				WAGE DETERMINATION NO.			WEEK ENDING DATE		PRIME CONTRACTOR'S/SUBCONTRACTOR'S BUSINESS ADDRESS												
(1A)	(1B)	(1C)	(1D)	(1E)	(2)	(3)	(4)			(5)	(6A)	(6B)	(6C)	(7A)	(7B)	(8)		(9)			
WORKER ENTRY NO.	WORKER LAST NAME	WORKER FIRST NAME	WORKER MIDDLE INITIAL	WORKER IDENTIFYING NO.	(1) JOURNEYWORKER (RA) REGISTERED APPRENTICE	LABOR CLASSIFICATION	ST = STRAIGHT TIME OT = OVERTIME		(TOP) DAYS OF WORK WEEK (BOTTOM) DATES		TOTAL HOURS WORKED FOR WEEK	HOURLY WAGE RATE PAID FOR ST AND OT	TOTAL FRINGE BENEFIT CREDIT	PAYMENT IN LIEU OF FRINGE BENEFITS	GROSS AMT EARNED	GROSS AMT EARNED FOR ALL WORK	DEDUCTIONS FOR ALL WORK				NET PAY TO WORKER FOR ALL WORK
							HOURS WORKED EACH DAY										TAX WITH- HOLDINGS	FICA	OTHER (MUST SPECIFY SEE INSTRUCTIONS)	TOTAL DEDUCTIONS	
							ST														
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While use of Form WH-347 itself is optional, covered contractors and subcontractors performing work on Federal or federally assisted construction contracts are required by the DBRA regulations and the contract clauses to submit payroll information on a weekly basis. The Copeland Act (40 U.S.C. § 3145) requires contractors and subcontractors performing work on Federal or federally financed construction contracts to, on a weekly basis, "furnish a statement on the wages paid each employee during the prior week." U.S. Department of Labor (DOL) Regulations at 29 C.F.R. § 5.5(a)(3)(i) require contractors and subcontractors to submit weekly certified payrolls to the appropriate Federal agency if the agency is a party to the contract (or, if the agency is not such a party, to the applicant, sponsor, owner, or other entity, as the case may be, that maintains such records, for transmission to the Federal agency). Each certified payroll must be accompanied by a signed "Statement of Compliance" (e.g., page 2 of the WH-347 or another document with identical wording) indicating that the certified payrolls are accurate and complete, and that each laborer or mechanic has been paid not less than the required Davis-Bacon prevailing wage rate(s) (including any fringe benefits) for the work performed. DOL and contracting agencies receiving this information review the information to determine whether workers have received legally required wages and fringe benefits.

### Public Burden Statement

We estimate that it will take an average of 55 minutes to complete this collection, including time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. If you have any comments regarding these estimates or any other aspect of this collection, including suggestions for reducing this burden, send them to the Administrator, Wage and Hour Division, U.S. Department of Labor, Room S3502, 200 Constitution Avenue, N.W. Washington, D.C. 20210.

# STATEMENT OF COMPLIANCE

PROJECT NAME	PROJECT NO. or CONTRACT NO.	PAYROLL NO.	PRIME CONTRACTOR'S/SUBCONTRACTOR'S BUSINESS NAME			
PROJECT LOCATION	WEEK ENDING DATE		CERTIFYING OFFICIAL'S NAME AND TITLE			
<p>I paid or supervised the payment of the laborers or mechanics working on the above project during the stated time period. I certify the following:</p> <p><input type="checkbox"/> The payroll information submitted with this statement is correct and complete for the above project during the above period, and the wage and fringe benefit rates paid to the workers, including credit taken for the reasonably anticipated costs of a bona fide fringe benefit plan, fund or program, are not less than the applicable wage and fringe benefits rates for the classification(s) of work actually performed, as specified in the wage determination(s) incorporated into the contract.</p> <p><input type="checkbox"/> All regular payrolls and all other basic records that the contractor is required to maintain for this payroll period are complete and accurate and will be made available upon request from the agency or the Department of Labor.</p> <p><input type="checkbox"/> The classifications reported for each laborer or mechanic are the classification(s) of work that each worker actually performed.</p> <p><input type="checkbox"/> Any workers paid as apprentices during the above period are duly registered in a bona fide apprenticeship program registered with the Office of Apprenticeship, Employment and Training Administration, United States Department of Labor ("OA"), or a State Apprenticeship Agency ("SAA") recognized by Department of Labor. I have verified the registered apprenticeship program information provided below as accurate and applicable to any apprentices identified on page 1 of this form.</p>						
APPRENTICESHIP PROGRAM NAME		REGISTERED		NAME OF LABOR CLASSIFICATION		
		<input type="checkbox"/> OA <input type="checkbox"/> SAA				
		<input type="checkbox"/> OA <input type="checkbox"/> SAA				
		<input type="checkbox"/> OA <input type="checkbox"/> SAA				
<p><input type="checkbox"/> Fringe benefits have been paid in cash and/or to bona fide fringe benefit plans, funds, or programs. Where the contractor is claiming an hourly credit for their contributions to or reasonably anticipated costs of a bona fide fringe benefit plan, fund, or program, provide plan information and the hourly credit claimed for each worker listed on the previous page of this form.</p>						
<b>HOURLY CREDIT FOR FRINGE BENEFITS</b>						
<i>If an amount is listed in (6B) on the first page of this certified payroll form, enter the hourly credit claimed under each plan name, type and number for each worker and check whether the plan is funded or unfunded.</i>						
NAME OF WORKER	FB NAME	FB NAME	FB NAME	FB NAME	FB NAME	TOTAL HOURLY CREDIT
	FB TYPE	FB TYPE	FB TYPE	FB TYPE	FB TYPE	
	PLAN NO.	PLAN NO.	PLAN NO.	PLAN NO.	PLAN NO.	
	<input type="checkbox"/> Funded <input type="checkbox"/> Unfunded	<input type="checkbox"/> Funded <input type="checkbox"/> Unfunded	<input type="checkbox"/> Funded <input type="checkbox"/> Unfunded	<input type="checkbox"/> Funded <input type="checkbox"/> Unfunded	<input type="checkbox"/> Funded <input type="checkbox"/> Unfunded	
	Hourly Credit \$	Hourly Credit \$	Hourly Credit \$	Hourly Credit \$	Hourly Credit \$	\$
	Hourly Credit \$	Hourly Credit \$	Hourly Credit \$	Hourly Credit \$	Hourly Credit \$	\$
	Hourly Credit \$	Hourly Credit \$	Hourly Credit \$	Hourly Credit \$	Hourly Credit \$	\$
	Hourly Credit \$	Hourly Credit \$	Hourly Credit \$	Hourly Credit \$	Hourly Credit \$	\$
	Hourly Credit \$	Hourly Credit \$	Hourly Credit \$	Hourly Credit \$	Hourly Credit \$	\$
	Hourly Credit \$	Hourly Credit \$	Hourly Credit \$	Hourly Credit \$	Hourly Credit \$	\$
	Hourly Credit \$	Hourly Credit \$	Hourly Credit \$	Hourly Credit \$	Hourly Credit \$	\$
	Hourly Credit \$	Hourly Credit \$	Hourly Credit \$	Hourly Credit \$	Hourly Credit \$	\$
	Hourly Credit \$	Hourly Credit \$	Hourly Credit \$	Hourly Credit \$	Hourly Credit \$	\$
<p><input type="checkbox"/> All workers on the project have been paid the full weekly wages earned, and no rebates or deductions have been or will be made either directly or indirectly, other than permissible deductions as defined in 29 CFR part 3.</p>						
ADDITIONAL REMARKS						
SIGNATURE OF CERTIFYING OFFICIAL			DATE	TELEPHONE NUMBER	EMAIL ADDRESS	
				( ) - - - - -		
<p>THE WILLFUL FALSIFICATION OF ANY OF THE ABOVE STATEMENTS MAY SUBJECT THE CONTRACTOR OR SUBCONTRACTOR TO CIVIL OR CRIMINAL PROSECUTION (SEE SECTION 1001 OF TITLE 18 AND SECTION 3729 OF TITLE 31 OF THE UNITED STATES CODE), AS WELL AS DEBARMENT FROM FUTURE FEDERAL AND FEDERALLY-ASSISTED CONTRACTS. INFORMATION REPORTED IN CERTIFIED PAYROLLS MAY BE SUBJECT TO DISCLOSURE IN RESPONSE TO A FREEDOM OF INFORMATION ACT REQUEST.</p>						

# NON-PERFORMANCE

STATE OF NEVADA



OFFICE OF THE LABOR COMMISSIONER

<http://labor.nv.gov>

## NON-PERFORMANCE PAYROLL REPORT FOR PUBLIC WORKS PROJECTS

Pursuant to Chapter 338 of the NRS and NAC, respectively, the contractor and each subcontractor shall keep or cause to be kept an accurate record showing the name and the actual per diem, wages and benefits paid to each workman employed by him in connection with the public work. The contractor or subcontractor shall ensure that a copy of the record for each calendar month is received by the public body awarding the contract no later than 15 days after the end of the month.

Report # \_\_\_\_\_ Regular Weekly Report \_\_\_\_\_ Final Report for Project \_\_\_\_\_  
Bid/Project # \_\_\_\_\_ PWP- \_\_\_\_\_  
Project Title \_\_\_\_\_  
Prime Contractor Name \_\_\_\_\_  
Subcontractor Name \_\_\_\_\_  
Public Body Awarding Contract \_\_\_\_\_  
Payroll period \_\_\_\_\_ to \_\_\_\_\_  
Month and Day Year Month and Day Year

I hereby certify that no employees or owner/operators were used on the construction of this Public Works project during the payroll period above.

\_\_\_\_\_  
Name & Title (please print)

\_\_\_\_\_  
Signature

\_\_\_\_\_  
Date



# CONSTRUCTION DOCUMENTS CHECKLIST

Grantee:  
Grant Award:

Project Name:  
Grant #

Responsible entity	Name of contractor and subs					Date sent to CDBG
DUE AFTER BID OPENING - BEFORE CONSTRUCTION STARTS						
Grant Administrator	CONTRACTOR/SUB CONTRACTOR DEBAR					
Grant Administrator	BID TABULATION, SELECTION PROCESS, MINUTES APPROVING					
Contractor/Sub-Contractor	EQUAL EMPLOYMENT OPPORTUNITY					
Contractor/Sub-Contractor	LOBBY ASSURANCES					
Contractor/Sub-Contractor	CERTIFICATION OF DEBARMENT, SUSPENSION					
Contractor/Sub-Contractor	SECTION 3 AND SEGREGATED FACILITIES PROJECTS OVER \$200K					
Contractor/Sub-Contractor	BUILD AMERICA, BUY AMERICA CERTIFICATION					
PRE-CONSTRUCTION REQUIREMENTS						
Contractor/Sub-Contractor	WAGE COMPARISON WORKSHEET					
Grant Administrator	PRE-CONSTRUCTION CONFERENCE SCHEDULED					
Grant Administrator	PRE-CONSTRUCTION CONFERENCE AGENDA SENT					
Grant Administrator	PRE-CONSTRUCTION CONFERENCE MEETING MINUTES & SIGN IN SHEET					
Contractor	QUALITATIVE EFFORTS					
ATTACHED TO FIRST PAYROLL						
Contractor	EMPLOYEE RATE OF PAY					
Contractor	CERTIFICATION OF UNDERSTANDING AND AUTHORIZATION					
Contractor	CERTIFICATION OF FRINGE BENEFITS					
Contractor	AUTHORIZATION OF DEDUCTIONS					
Contractor	GRANTEE NOTIFICATION OF CONTRACTS					
Contractor	APPRENTICESHIP WAIVER (if required)					
Contractor	SECTION 3 ESTIMATED WORK FORCE (for projects of \$200k)					
SEND WITH CORRESPONDING PAYROLL						
Grant Administrator	EMPLOYEE INTERVIEWS					

# SECTION 3 QUALITATIVE REPORT

<b>Section 3: Labor Hour Breakdown</b>		
1. Contractor name and Address:	2. Dollar Amount of Contract	Project Name & number
	Construction Manager	Project Number:
<b>Nature of Agency Efforts</b>		
This section is required if, based on the labor hours reporting above, the reporting agency did not meet the safe harbor benchmarks.		
Check all that apply. Maintain records available for HUD review to document any efforts checked.		
	Outreach efforts to generate job applicants who are Public Housing Targeted Workers	
	Outreach efforts to generate job applicants who are Other Funding Targeted Workers	
	Direct, on-the job training (including apprenticeships)	
	Indirect training such as arranging for, contraction for, or paying tuition for, off-site training	
	Technical assistance to help Section 3 workers compete for jobs (e.g., resume assistance, coaching)	
	Outreach efforts to identify and secure bids from Section 3 business concerns	
	Technical assistance to help Section 3 business concerns understand and bid on contracts	
	Division of contracts into smaller jobs to facilitate participation by Section 3 business concerns	
	Provided or connection residents with assistance in seeking employment including: draft resumes, preparing for interviews, finding job opportunities, connection residents to job placement services	
	Held one or more job fairs	
	Provide or connected residents with supportive services that can provide direct services or referrals	
	Provided or connected residents with supportive services that can provide one or more of the following: work readiness health screenings, interview clothing, uniforms, test fees, transportation	
	Assisted residents with finding child care	
	Assisted residents to apply for/or attend community college or a four year educational institution	
	Assisted residents to apply for or attend vocational/technical training	
	Assisted residents to obtain financial literacy training and/or coaching	
	Bonding assistance, guaranties, or other efforts to support viable bids for Section 3 business concerns	
	Provided or connected residents with training or computer use or online technologies	
	Other. Specify:	
<b>CONTRACTOR SIGNATURE &amp; DATE:</b> _____  <b>Company Name:</b> _____		

### Section 3 Labor Hours Tracking Form

Contractor 

All non-Section 3 worker labor hours for each company can be aggregated using "Non-Section 3 Workers" for the worker name. All Section 3 and Targeted Section 3 workers must be listed individually by name.

[illegible]

# FRINGE BENEFITS REPORT

This should be filled out by the contractors or sub-contractors at the beginning of the project and kept with the company payrolls. Contractors or subs can also send in a printout of fringe from their system, if the benefits change a new form needs to be sent to CDBG for the Labor & Contractor file.

## (COMPANY LETTERHEAD)

### CERTIFICATION FOR APPLICABLE FRINGE BENEFIT PAYMENTS

PROJECT NAME: \_\_\_\_\_

PROJECT NUMBER: \_\_\_\_\_

Classification/ Fringe Benefits Provided	Name, Address and Telephone Number of Plan/Fund/Program
1) _____	_____
Health and Welfare\$ _____	_____
Pension \$ _____	_____
Vacation \$ _____	_____
Apprenticeship/Training \$ _____	_____
Other \$ _____	_____
2) _____	_____
Health and Welfare\$ _____	_____
Pension \$ _____	_____
Vacation \$ _____	_____
Apprenticeship/Training \$ _____	_____
Other \$ _____	_____
3) _____	_____
Health and Welfare\$ _____	_____
Pension \$ _____	_____
Vacation \$ _____	_____
Apprenticeship/Training \$ _____	_____
Other \$ _____	_____

OR: (CHECK IF APPLICABLE)

\_\_\_\_\_ I CERTIFY THAT I DO NOT MAKE PAYMENTS TO APPROVED FRINGE BENEFIT PLANS, FUNDS OR PROGRAMS.

Contractor/Subcontractor \_\_\_\_\_

Signature \_\_\_\_\_

Date \_\_\_\_\_

Title \_\_\_\_\_

# CERTIFICATION OF UNDERSTANDING

If owner of company is designating someone else to sign payrolls this form needs to be signed by the owner and put with the company payrolls

## CERTIFICATION OF UNDERSTANDING AND AUTHORIZATION

PROJECT NAME: \_\_\_\_\_

PROJECT NUMBER: \_\_\_\_\_

The following person(s) is designated as the payroll officer for the undersigned and is authorized to sign the Federal Statement of Compliance which will accompany our weekly certified payroll reports for this project:

\_\_\_\_\_  
IRS Employer Identification Number

\_\_\_\_\_  
Authorized Payroll Officer (signature)

\_\_\_\_\_  
Name of Authorized Payroll Officer  
(Print or type)

\_\_\_\_\_  
Prime Contractor/Subcontractor  
(Print or Type name of firm)

\_\_\_\_\_  
Authorized Signature

\_\_\_\_\_  
Title (Print or type)

\_\_\_\_\_  
Date

# EMPLOYEE INTERVIEW FORM

## Record of Employee Interview

U.S. Department of Housing and Urban Development  
Office of Davis-Bacon and Labor Standards

OMB Approval No. 2501-0009  
(exp. 12/31/2024)

The public reporting burden estimate for this collection of information is 15 minutes per response on average. This includes reviewing instructions, searching existing data sources, gathering, and maintaining the data, and completing the collection of information. This information may not be collected, nor are you required to provide, the information requested unless it displays a currently valid OMB control number. The information collected ensures compliance with the Federal labor standards through recording interviews with construction workers. The information collected assists HUD in compliance monitoring of Federal labor standards. Any information collected is covered by the Privacy Act of 1974 and by 29 CFR 5.6(a)(5). Individuals and agencies collecting this information must maintain these records in a manner that protects the individuals on whom the information is maintained. The information collected herein is voluntary, and any information provided shall be kept confidential, but failure to provide the information collected may delay enforcement of any possible Federal labor standards violations if the information would have identified any. Comments concerning this burden statement, or this collection should be sent to: National Director, Office of Davis-Bacon and Labor Standards, 451 7th Street SW, Room 7108, Washington, DC 20410. When providing comments, please refer to OMB Approval 2501-0009.

Pursuant to 5 U.S.C. § 552a(e)(3), this Privacy Act Statement serves to inform you of the following concerning the collection of the information on this form.

A. AUTHORITY: Collection of the information solicited on this form is authorized by the Davis-Bacon Act as promulgated through Department of Labor Regulations under 29 CFR Part 5.

B. PURPOSE: The primary purpose for soliciting this information is to determine if the wages paid by an employer on a project covered by the Davis-Bacon Act are in compliance with Federal labor standards.

C. ROUTINE USES: The information collected ensures compliance with the Federal labor standards through recording interviews with construction workers on topics related to wages paid on the project. The information is reviewed by HUD authorized personnel to ensure compliance with Federal labor standards under the Davis-Bacon Act on covered projects. If violations are found, the information collected is used to conduct enforcement actions to ensure restitution is paid to workers of covered projects are paid proper wages under the Davis-Bacon Act.

D. CONSEQUENCES OF FAILURE TO PROVIDE INFORMATION: The information collection is voluntary. Refusing to give information will not impact your status with your employer or the government. Failure to provide the information will limit the ability of HUD to determine if you were paid proper wages under the Davis-Bacon Act, and will limit the ability for HUD to seek restitution for you in the event a violation is found.


1a. Project Name			2a. Employee Name		
1b. Project Number			2b. Employee Phone Number (Including area code)		
1c. Contractor or Subcontractor (Employer)			2c. Employee Home Address & Zip Code		
			2d. Verification of Identification? Yes <input type="checkbox"/> No <input type="checkbox"/>		
3a. How long on this job?	3b. Last date on this job before today?	3c. No. of hours last day on this job?	4a. Hourly rate of pay?	4b. Fringe Benefits?	4c. Pay stub?
				Vacation Yes <input type="checkbox"/> No <input type="checkbox"/> Medical Yes <input type="checkbox"/> No <input type="checkbox"/> Pension Yes <input type="checkbox"/> No <input type="checkbox"/>	Yes <input type="checkbox"/> No <input type="checkbox"/>
5. Your job classification(s) (list all) — continue in block 18 if necessary					
6. Your duties — continue in block 18 if necessary					
7. Tools or equipment used — continue in block 18 if necessary					
8. Are you an apprentice or trainee? Yes <input type="checkbox"/> No <input type="checkbox"/>			10. Are you paid at least time and 1/2 for all hours worked in excess of 40 in a week? Yes <input type="checkbox"/> No <input type="checkbox"/>		
9. Are you paid for all hours worked? Yes <input type="checkbox"/> No <input type="checkbox"/>			11. Have you ever been threatened or coerced into giving up any part of your pay? Yes <input type="checkbox"/> No <input type="checkbox"/>		
12a. Employee Signature			12b. Date		
13. Duties observed by the interviewer (Please be specific.)					
14. Remarks — continue in block 18 if necessary					
15a. Interviewer Name (Please Print)		15b. Signature of Interviewer		15c. Date of Interview	
<b>Payroll Examination</b>					
16. Remarks — continue in block 18 if necessary					
17a. Signature of Payroll Examiner			17b. Date		

Previous editions are obsolete

Form HUD-11 (12/2021)

# GRANTEE NOTIFICATION

## GRANTEE'S NOTIFICATION OF CONTRACTS/SERVICE AWARDED

<b>Email or Mail to:</b>  <small>NEVADA GOVERNOR'S OFFICE OF ECONOMIC DEVELOPMENT COMMUNITY DEVELOPMENT BLOCK GRANT (CDBG)</small> 808 West Nye Lane Carson City, NV 89703 775-687-9900	<b>Date Submitted to CDBG:</b>	
	<b>Grantee- City/County:</b>	
	<b>Project Name:</b>	
	<b>Grant #:</b>	
	<b>Bid open Date:</b>	<b>Total Vendor's \$:</b>

A. Vendor's & Subvendor's Name & Address *Denote PRIME	B. Vendor License Number	C. Vendor Federal Tax ID Number	D. Awarded Contract Amount	E. Wage Decision Number	F. Modifica tion number	G. Modification Date	H. Estimated		I. Crafts to be used
							Start Date	Completion Date	

For Construction projects boxes A-I need to be filled out.  
 For all other projects fill out all boxes but E,F, & G.

# AUTHORIZATION OF DEDUCTIONS

Company Letterhead



## Payroll Deduction Authorization for "Other Deductions" on Certified Payroll

Project Name: \_\_\_\_\_

Employee's Name: \_\_\_\_\_

I, \_\_\_\_\_, hereby authorize \_\_\_\_\_ to  
Employee Name Name of Employer/Company

deduct \$ \_\_\_\_\_ from my paycheck.

This deduction is for:

\_\_\_\_\_ Loan Repayment \_\_\_\_\_ Retirement \_\_\_\_\_ Profit Sharing \_\_\_\_\_ Advance

\_\_\_\_\_ Charitable Donations \_\_\_\_\_ Savings Bonds

\_\_\_\_\_ Other: \_\_\_\_\_

This deduction is to be made:

\_\_\_\_\_ One time only \_\_\_\_\_ Weekly \_\_\_\_\_ Monthly \_\_\_\_\_ times over \_\_\_\_\_ weeks

\_\_\_\_\_ Other: \_\_\_\_\_

Employee's Signature: \_\_\_\_\_ Date: \_\_\_\_\_

You may make payroll deductions as permitted by DOL regulations 29 CFR Part 3. These regulations prohibit the employer from requiring employees to "kick-back" (i.e., give up or return to the employer) any of their earning other than those identified.

You need to submit this documentation only one time per employee, unless changes in deductions or durations take place.

**\*If deductions are being made for child support, a copy of the court ordered withholding must be in the employee file. Do not send to CDBG.**



# RATE OF PAY FORM

*This is for if contractor or subcontractor do 4-10's every employee needs to sign that they understand they are working 4-10's.*

COMPANY LETTERHEAD

Project:

## RATE OF PAY

I (Employee Name) have been made aware of my wage classification and rate of pay as listed below

Wage Classification: \_\_\_\_\_

Hourly rate of pay: \_\_\_\_\_

Overtime Rate of Pay: \_\_\_\_\_ for any hour above 8 hours per day unless an approved schedule of four ten hour days, then for any hour above 10 hours per day or any hour over 40 hours per week. Also for any hour worked on a federal holiday.

I understand that my work week is

Five eight hour days \_\_\_\_\_

Four ten-hour days \_\_\_\_\_

\_\_\_\_\_  
Employee Signature

\_\_\_\_\_  
Date

\_\_\_\_\_  
Employee Printed Name

\_\_\_\_\_  
Company authorized signature

\_\_\_\_\_  
Date

\_\_\_\_\_  
Company authorized printed name

# BUILD AMERICA BUY AMERICA ACT (BABA)

- Part of the Infrastructure Investment and Jobs Act of November 2021. Applies to CDBG projects funded after November 2022.
- The act requires that products purchases in connection with infrastructure project funded by Federal assistance programs must be produced in the United States.

# BUILD AMERICA BUY AMERICA ACT (BABA)

- The following products must be produced in the United States:
  - Iron and steel;
  - Manufactured products; and
  - Construction materials
- For the purposes of BABA, an infrastructure project is defined as any project that includes the following activities
  - Construction
  - Alteration
  - Maintenance, or
  - Repair

# BUILD AMERICA BUY AMERICA ACT (BABA)

## What Projects Are Covered?

### **Examples of CPD-funded activities that may be subject to the BAP:**

- Rehabilitation of buildings and real property
- Construction of public facilities and improvements, such as streets, sidewalks, neighborhood centers, and the conversion of buildings for eligible purposes
- Utility installation or improvements
- Water systems (drinking water and wastewater)
- Electrical transmission facilities and systems
- Broadband infrastructure
- Transportation infrastructure

### **Examples of CPD-funded activities that may NOT be subject to the BAP:**

- Acquisition of real property
- Relocation and demolition
- Public services
- Shelter or public facility operating expenses
- Supportive services
- Short-term payments to prevent homelessness
- Special economic development activities
- Administrative activities
- Disaster and emergency response

# BUILD AMERICA BUY AMERICA ACT (BABA)

## Construction materials

- Include all raw materials used in construction, including
  - Metals other than iron/steel
  - Plastic materials such as PVC pipe,
  - Glass
  - Lumber
  - Drywall
- Does not include cement and aggregates (stone, sand, and gravel)

## Iron and Steel

- Includes materials that are primarily composed of iron and steel.

## Manufactured products

- A material or supply used in an infrastructure project that is not iron or steel or a construction material
- When two or more materials are combined, they should be treated as a manufactured product

# **FINANCIAL MANAGEMENT & RECORD KEEPING**

# LEARNING OBJECTIVES

- 1) OMB Super Circular and changes
- 2) Audit Requirements
- 3) State & Federal/HUD Requirements

# FINANCIAL MANAGEMENT & RECORD KEEPING

- OMB Super Circular, codified at 2 CFR Part 200
- HUD's guidance at 2 CFR, Part 2400
- The single audit threshold has increased from \$750,000 to \$1,000,000



# FINANCIAL MANAGEMENT: AUDIT

Local governments that receive CDBG funds must:

- Comply with applicable Federal, state and local laws, regulations, standards, and procedures
- Conduct financial management methods and procedures in accordance with Generally Accepted Government Auditing Standards (GAGAS)

Local officials and grant administrators must be aware that all financial management practices will be:

- Monitored by the state CDBG program
- Examined closely by independent auditors

# AUDITOR SELECTION

- Must procure
- Should be CPA or licensed public accountant
- Must be experienced with Single Audits, CDBG programs, and local government
- Verify completion and timeliness of previous audits



# HUD FINANCIAL MANAGEMENT

- State CDBG Programs are required to have financial management standards or fiscal and administrative requirements as described in the CDBG program regulations at 24 CFR 570.489(d).
- Local CDBG recipients must comply with the standards established by the State and local jurisdiction.



# HUD: Timeliness of Expenditure

**9-Month Rule:** First Draw due by March 31. Why?

**HUD** assesses State grantees in several ways:

- Total unexpended amount from open grants;
- Amount expended in last 12 months;
- Ratio of unexpended amount relative to most recent grant amount;
- Average monthly expenditure over last 12 months.

**Target:** two months prior to the end of the PY, remaining funds should be no more than 2.5 times the annual grant [line of credit with HUD].



## TIMELINESS

# FINANCIAL MANAGEMENT:

## Budget Control

### Budget control as a management tool

- Informs and guides project expenditure throughout grant period;
- Compares actual expenditures to approved budget;
- Maintains record of amounts budgeted, spent, and unexpended balances (refer to Draw Request Record);
- Budget changes need CDBG approval:
  - all requests must be emailed with budget change form.

**Unused funds? Deobligate (return)!**

# BUDGET CONTROLS

- Grant application budget (or amended revisions) is the binding budget for the project.
- Each project has a project specific Draw Request form sent out at the beginning of the project.
- The Draw Request form has a project ledger that is used as your Budget tracking system.

**A change to a budget is an amendment to the Grant Agreement.**

# CASH MANAGEMENT PRINCIPLES

**Cash management:** fund transfers must be in compliance and includes:

- Accurate information in the disbursement request.
- Grantees are not allowed to profit from CDBG funds.
- Erroneously drawn funds must be returned in a timely manner.

# CASH MANAGEMENT

**There are two ways to request payment from CDBG**

**The first is:**

**Reimbursements**: which is payments made as a reimbursement for costs already paid by grantee.

Back up documentation for reimbursements include:

- Copies of canceled checks showing payment, copies of signed and numbered warrants, or copies of electronic transfer confirmation,
- Copies of all invoices
- Copies of travel documents





# CASH MANAGEMENT

The second way is:

Cash advance or Obligation: disbursements made to pay for expenses/costs invoiced or billed to grantee that the grantee has not paid for (cannot be estimates).

Back up documentation for an obligation includes:

- Copies of actual invoices and bills that the grantee has not paid.



# CASH MANAGEMENT

Prior Obligations: Proof of Payment must be provided to CDBG before any additional funds can be requested;

- Section shows that funds requested to pay previous obligations were actually spent;
- Prior Draw Requests are cross-checked to match obligations to payment;
- Documentation includes copies of canceled checks showing payment, copies of signed and numbered warrants, or electronic transfer confirmation.



# CASH MANAGEMENT

## Draw Request:

Project Name & Number	Youth Advocate CASA Program			
Grant Agreement Period	From: 07/01/15		To: 6/30/2016	
Grant Funds Recipient:	Churchill County			
GRANT FUNDS AWARDED		\$ 11,705.00		

Description	Request for Reimbursement	Request for Obligation	Net Reimbursement/ Obligation	Balance
Task #1:	Volunteer Training			5,234.27
Request 1	-	-	-	
Request 2	-	-	-	
Request 3	-	-	-	
Request 4	-	-	-	
Sub-Total	-	-	-	5,234.27
Task #2:	Equipment			3,600.00
Request 1	-	-	-	
Request 2	-	-	-	
Request 3	-	-	-	
Request 4	-	-	-	
Sub-Total	-	-	-	3,600.00
Task #3:	Supplies			500.00
Request 1	-	-	-	
Request 2	-	-	-	
Request 3	-	-	-	
Request 4	-	-	-	
Sub-Total	-	-	-	500.00
Task #4:	Media/ Outreach			2,000.00
Request 1	-	-	-	
Request 2	-	-	-	
Request 3	-	-	-	
Request 4	-	-	-	
Sub-Total	-	-	-	2,000.00
Task #4:	Security			370.73
Request 1	-	-	-	
Request 2	-	-	-	
Request 3	-	-	-	
Request 4	-	-	-	
Sub-Total	-	-	-	370.73
	TOTAL REIMBURSEMENT REQUEST	TOTAL ADVANCE REQUEST	TOTAL REQUESTS SUBMITTED	FUNDING AGREEMENT CASH BALANCE
	0.00	0.00	0.00	11,705.00

STATE OF NEVADA GOVERNOR'S OFFICE OF ECONOMIC DEVELOPMENT					
Project I.D. & Name:		Youth Advocate CASA Program			
Reporting Period:		To:	From:		
Reporting Agency Name/Address:					
<b>PRIOR OBLIGATIONS: TO PROVE PRIOR OBLIGATIONS AS EXPENSES</b> (This is an EXPENSE total. Must attach City/County Check Copies)					
Volunteer Training	\$ -		Supplies		
Equipment			Media/ Outreach		
Security					
TOTAL PRIOR OBLIGATION EXPENSE		\$ -			
<b>CURRENT OBLIGATION REQUEST</b>					
PROJECT TASK (Per Approved Work Plan)	Request 1	Request 2	Request 3	Request 4	Total Obligation Requests
Volunteer Training	-	-	-	-	-
Equipment	-	-	-	-	-
Supplies	-	-	-	-	-
Media/ Outreach	-	-	-	-	-
Security	-	-	-	-	-
TOTAL \$ (Sum of lines thru):	\$ -	\$ -	\$ -	\$ -	\$ -
<b>REIMBURSEMENT REQUEST</b>					
PROJECT TASK (Per Approved Work Plan)	Request 1	Request 2	Request 3	Request 4	Total Reimbursement Requests
Volunteer Training	-	-	-	-	-
Equipment	-	-	-	-	-
Supplies	-	-	-	-	-
Media/ Outreach	-	-	-	-	-
Security	-	-	-	-	-
TOTAL \$ (Sum of lines thru):	\$ -	\$ -	\$ -	\$ -	\$ -
<b>CERTIFICATION</b>					
By signing this report, I certify to the best of my knowledge and belief that the report is true, complete, and accurate, and the expenditures, disbursements and cash receipts are for the purposes and objectives set forth in the terms and conditions of the federal award. I am aware that any false, fictitious, or fraudulent information, or the omission of any material fact, may subject me to criminal, civil or administrative penalties for fraud, false statements, false claims or otherwise (U.S. Code Title 18, Section 101 and Title 31, Section 3729-3730 and 3801-3812). I certify that the information reported is correct and expenditures are in accordance with the approved grant award. I also certify that the amount of funds requested is not in excess of current grant award.					
Prepared By:					Date:
Approved By:					Date:
GOED Financial Approval:					Date:
GOED Administrative Approval:					Date:

# CASH MANAGEMENT

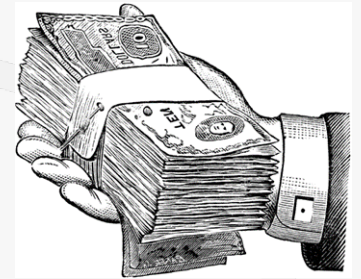
### Draw Request:

[illegible]

# CASH MANAGEMENT

## Grantee Draw Request Checklist:

- Have previous draws/payments been proven out?
- Are signatures correct per Certification letter?
- Are expenses in line with the budget?
- Is grant still valid?
- Are all supporting documents included in the request?
- If a construction project, are all labor compliance documents submitted?
- Are the Quarterly and Financial Reports up to date?
- Is the invoice spreadsheet complete?
- Is the vendors SAM.gov registration active?



# CASH MANAGEMENT

## COMMON ERRORS:

- Putting an Obligation in the Reimbursement column;
- Reporting Period as single date;
- Requesting reimbursement for costs not covered in scope of work;
- Requesting a draw for more than amount available in the budget line item. If within total approved budget, but over in one task, contact CDBG staff;
- Missing expense or invoice documentation not proven out on Prior Obligations.

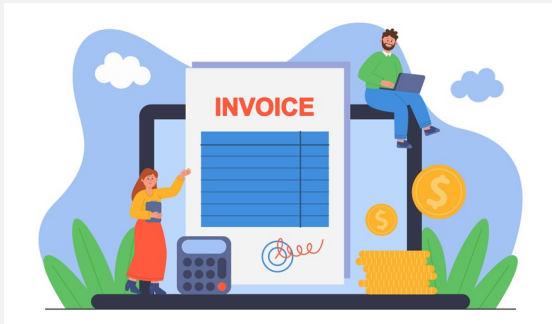


# OMB A-87 Attachment B: Allowable Costs and **Unallowable Costs**

1. Advertising and public relations costs
2. Advisory councils
3. **Alcoholic beverages**
4. Audit costs and related services
5. **Bad debts**
6. Bonding costs
7. Communication costs
8. Compensation for personal services
9. **Contingency provisions**
10. **Defense and prosecution of criminal and civil proceedings, and claims**
11. Depreciation and use allowances
12. **Donations and contributions**
13. Employee morale, health, and welfare costs
14. **Entertainment costs**
15. Equipment and other capital expenditures
16. **Fines and penalties**
17. **Fund raising and investment management costs**
18. Gains and losses on disposition of depreciable property and other capital assets and substantial relocation of Federal programs
19. **General government expenses**
20. **Goods or services for personal use**
21. **Idle facilities and idle capacity**
22. Insurance and indemnification
23. Interest
24. **Lobbying**
25. Maintenance, operations, and repairs
26. Materials and supplies costs
27. Meetings and conferences
28. Memberships, subscriptions, and professional activity costs
29. Patent costs
30. Plant and homeland security costs
31. Pre-award costs
32. Professional service costs
33. Proposal costs
34. Publication and printing costs
35. Rearrangement and alteration costs
36. Reconversion costs
37. Rental costs of building and equipment
38. Royalties and other costs for the use of patents
39. Selling and marketing
40. Taxes
41. Termination costs applicable to sponsored agreements
42. Training costs
43. Travel costs

# INVOICING

- City/County can do lump sum contracts: CDBG only reimburses for work done on the awarded project.
- All invoices from consultants must be broken out by:
  - Task
  - Position
  - Hourly rate
  - Hours worked
- **All** vendors must be debarred, including vendors hired by the consultant; all must be registered and active in SAM.gov
- A copy of the invoice from the vendor is required;
- Consultant cannot add a markup to the invoice.





# TRAVEL

- If travel expenses are being requested for reimbursement, CDBG can only pay the GSA/State rate for travel.
- All travel reimbursement requests must have all receipts attached to the request.
- The only receipts that are not required are meal receipts, CDBG will only pay the GSA rate for meals. Start and end times are required.
- CDBG does not pay for add on to receipts (satellite radio, flight upgrade)
- CDBG will only pay the State approved mileage rate, which currently is \$00.70.



# DOCUMENTATION



## **Detailed accounting records (with UGLG or nonprofit finance staff):**

- All accounting records must be supported by source documentation;
- CDBG costs charged must be incurred during grant period;
- Funds must be expended on allowable items;
- Expenditures must be approved by responsible grantee official;
- Documentation must explain the basis of costs incurred.

# DOCUMENTATION

## Basic financial records:

- Grant Agreement
- Related correspondence (e.g. extensions, revisions)
- Certification Letter
- Budget and related correspondence
- Notice to Proceed/Authority to Use Grant Funds
- Draw Requests, supporting information and related correspondence and;
- Final Financial Summary



# ACQUISITION & RELOCATION

# LEARNING OBJECTIVES

- Implication of Acquisition and/or Relocation
- Documentation of Process
- Follow up

# ACQUISITION & RELOCATION

## Displacement

- Displacement refers to the fact that the grantee is obligated to provide monetary assistance in finding replacement housing and must pay certain expenses for any property owner or tenant who is forced to move because of property being acquired for a project that is assisted with CDBG funds.
- Displacement of individuals is particularly expensive and difficult. It is strongly recommended that the grantee not undertake any project that involves displacement of individuals.
- Grantees attest to having an Anti - Displacement Policy.

# DISPLACEMENT

Documentation of households must be maintained by:

- 1) Race
- 2) Ethnicity
- 3) Handicapped status
- 4) Address where household has been relocated.

# DISPLACEMENT

Documentation of businesses must be maintained by:

- Impact on the businesses;
- Impact on the businesses owned by women and minorities.



# MONITORING

# LEARNING OBJECTIVES

- Keeping on track
- Documentation of Processes:
  - ✓ Planning Project
  - ✓ Construction Project
  - ✓ Environmental Review Monitoring
  - ✓ Reporting
- Wrapping up the Project

# SITE VISIT

- Arrange a time suitable for you;
- Notify you in advance of areas and/or grants to be monitored;
- Advise regarding grants that remain open;
- Follow up with a post-monitoring letter.



# ✓ CHECKLIST

- 1) Project Administration / organization;
- 2) Financial management (draws, payrolls, etc.);
- 3) Environmental Reviews;
- 4) Bidding and Contractor selection processes;
- 5) Contract Management;
- 6) Labor issues;
- 7) Project benefits (job tracking in ED projects; race & ethnicity, disability in LMI-C projects);
- 8) Final reports & close out documents.
- 9) **Civil rights and equal opportunity issues.**



# PROJECT CLOSEOUT

# LEARNING OBJECTIVES

Steps in Close Out of Project:

- 1) Wrapping up the Project
- 2) Documentation of Process
- 3) Ensuring Environmental Compliance

# CLOSING THE GRANT

- 1) Have all responsibilities been fulfilled?
- 2) Have all grant funds been spent?
- 3) If funds remain:
  - a) Submit letter to CDBG explaining excess funds. Request funds be de-obligated.
  - b) CDBG staff will send a close out letter with the new grant amount.

# CLOSE OUT DOCUMENTS

- 1) CDBG Final Close Out Checklist
- 2) Final Financial Summary
- 3) Final Quarterly Report
- 4) Audit/Disallowed Cost Certification
- 5) Project Benefits Report



# ADDITIONAL CLOSE OUT DOCUMENTS

- Final Wage Compliance Report
- Bid/contract Documents
- Labor Records
- Restitution
- Planning document (Study, PER, etc.)
- Any other information required.

# PROJECT CLOSURE

- When all documents are in order and the project is desk- and/or site-monitored, CDBG closes the grant in IDIS and sends a close-out letter to the grantee.
- Grantee maintains the grant file for a minimum of five to seven years from closing date.
- CDBG maintains files five years from the date of the close out letter from HUD, closing the grant year or as required by the project (ex. Real property).



Project  
Closure

# INVOLVING THE PUBLIC

# LEARNING OBJECTIVES

- Communicating with residents.
- Telling the CDBG story.
- Documenting the successes.

# INVOLVING THE PUBLIC

## Grantee Responsibilities:

- Keep the Public Informed;
- Work with the Media;
- Press Releases;
- Project Signs;
- Special Events;



# INVOLVING THE PUBLIC

## Other Public Information Tools:

- Brochures & Flyers;
- Newsletters;
- Posters.

# INVOLVING THE PUBLIC

## CITIZEN PARTICIPATION PLAN (CPP):

- Detail of public hearing requirements;
- Identification of the Citizen Participation Coordinator and duties and responsibilities;
- Date the plan was adopted;
- Policy for technical assistance;
- Policy for making programmatic information available to citizens during the CDBG project, use of past funds, policy for citizen participation;



# INVOLVING THE PUBLIC

## CITIZEN PARTICIPATION PLAN (CPP):

- Policy for citizen comment on performance reports and project activities;
- Policy for encouraging citizens to participate in an advisory role in planning, implementation and assessment of project;
- Procedures for comments, objections, and complaints.

**Adopt a plan rather than using the State's CPP.**





# **CIVIL RIGHTS, EQUAL OPPORTUNITY & FAIR HOUSING**

# LEARNING OBJECTIVES

- Understanding of grantee responsibilities of cross cutting regulations.
- Communication across city/county agencies.
- How laws affect management of federal funds.

# GRANTEE RESPONSIBILITIES

- **Program Benefits:** efforts to ensure minority participation in the program;
- **Grantee Hiring & Employment Practices:** community's affirmative action plan and activities initiated to extend employment opportunities to minorities and women;
- **Contractor Affirmative Action:** actions by contractors and subcontractors to employ minorities and women;

# GRANTEE RESPONSIBILITIES

- **Fair Housing:** non-discrimination on basis of race, color, religion, sex, handicap, familial status, or national origin;
- **Actions to Affirmatively Further Fair Housing:** compliance with the federal mandate to administer all programs so as to affirmatively further housing availability, and to prevent discrimination in federally-assisted housing; and
- **Handicapped Accessibility Requirements:** actions taken to ensure access by persons with physical and mental disabilities to federally assisted programs

# GRANTEE RESPONSIBILITIES

- Handicapped Accessibility Requirements: actions taken to ensure access by persons with physical and mental disabilities to federally assisted programs and activities.



# CIVIL RIGHTS COMPLIANCE

- Fair Housing & Furthering Fair Housing Choice
- Equal Employment Opportunity & Affirmative Action
- Civil Rights & Civil Rights Complaint Process
- Section 3 of the Housing & Urban Development Act of 1968
- Architectural Barriers Act of 1968
- Americans with Disabilities Act of 1990 (ADA)
- Section 504 Compliance
- Displacement

# FAIR HOUSING & FURTHERING CHOICE

- 1) Must further Fair Housing;
- 2) Must document actions taken to further fair housing (including funds spent and people who have benefitted);
- 3) Must have and comply with a Fair Housing Plan that includes a procedure for handling complaints and the disposition of any complaints received.

# FAIR HOUSING & FURTHERING CHOICE

- 4) Records must be kept by race, ethnicity, handicapped status, and gender of heads of households.
- Nevada Revised Statutes 613 and 118 reiterate the Federal Laws regarding Fair Housing.

## FAIR HOUSING ACT





# EQUAL EMPLOYMENT OPPORTUNITY & AFFIRMATIVE ACTION

- 1) Data on employment must be maintained in the categories prescribed on the Equal Employment Opportunity Commission's EEO-4 form (City/County Personnel Policies). File in odd-numbered years.
- 2) Documentation of the affirmative actions the local government has taken to overcome discrimination on the basis of race, color, national origin, or sex.

# CIVIL RIGHTS

Title VI of the Civil Rights Act of 1964 prohibits discrimination on basis of:

- 1) Race;
- 2) Color;
- 3) National Origin;

# CIVIL RIGHTS

Section 109 of Title 1 of the Housing & Community Development Act of 1974 prohibits discrimination on the basis of:

- 1) Race
- 2) Color
- 3) National Origin and. . .
- 4) Sex
- 5) Religion
- 6) Age

# CIVIL RIGHTS

Nevada state law also prohibits discrimination based on:

- ancestry,
- sexual orientation, and
- gender identity/expression.

# HUD ACT of 1968: SECTION 3

To the greatest extent feasible and consistent with federal, state, and local laws and regulations, employment on housing construction or other public construction or service projects shall give employment to low and very low-income persons.

*Note: for projects of \$200,000.00 and over.*

# APPLICABILITY

- To ensure compliance with Section 3 regulations, HUD requires the grantee to collect information on every Contractor and Sub-Contractor that receives a contract funded entirely or in part by federal funds (\$200,000 and over).
- Section 3 applies to contracts for professional services and for construction work.

# SECTION 3 PLAN

- 1) Initiate a Section 3 Plan.
- 2) If a Section 3 Plan has been adopted, the grantee should review the requirements to ensure the plan has been implemented as required.

Plan must contain:

- a) Evidence of targeted advertisements;
- b) Evidence of use of businesses located in disadvantaged areas or owned by disadvantaged persons whenever possible;
- c) Evidence of lists of lower income Section 3 area residents who can be solicited for employment opportunities.

# ARCHITECTURAL BARRIERS ACT OF 1968

Equal opportunities in employment, public accommodations, transportation, state and local government services and telecommunications for persons with disabilities.



# AMERICANS WITH DISABILITIES ACT OF 1990

- Requires all newly constructed or altered streets, roads, highways and pedestrian walkways must contain curb ramps or other closed areas for ADA compliance.
- ADA applies even if there is NO federal funding involved in a project.

# SECTION 504 COMPLIANCE

- Provide reasonable accommodation in employment for qualified individuals living with disabilities;
- Cannot discriminate against persons with disabilities when offering program benefits and services.

# DISPLACEMENT

Documentation of households must be maintained by:

- 1) Race
- 2) Ethnicity
- 3) Handicapped status
- 4) Address where household has been relocated.

# DISPLACEMENT

Documentation of businesses must be maintained by:

- Impact on the businesses;
- Impact on the businesses owned by women and minorities.

# QUESTIONS?



# THANK YOU

[www.goed.nv.gov](http://www.goed.nv.gov)



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NEVADA GOVERNOR'S OFFICE OF ECONOMIC DEVELOPMENT