

P.L. 114-223 Certification Checklist

**For Grantees under the \$500 million in
Community Development Block Grant
Disaster Recovery (CDBG-DR) funds
appropriated by the
Continuing Appropriations Act, 2017**

November 2016

Grantee	Name of Recipient: State of Louisiana	
	Name of Departmental organization(s) responsible for executing the Grantee's certification of proficient financial controls and procurement processes: Office of Community Development Disaster Recovery Unit	
	Staff Consulted: Edwin K Legnon, CPA Audit Manager	
	Name and Title of Grantee Staff Completing Form: Jay Dardenne, Commissioner, Louisiana Division of Administration	
	Signature: 	Date: 1/6/17
HUD	HUD CPD Representative Consulted:	
	Name and Title of HUD Staff Completing Form:	
	Signature:	Date:
	HUD Financial Analyst Consulted:	
	Name and Title of HUD Staff Completing Form:	
	Signature:	Signature:

CDBG-DR Certification Checklist Instructions

Background:

Public Law P.L. 114-223 CDBG-DR (the Appropriations Act) requires that the Secretary certify, **in advance of signing a Community Block Grant Disaster Resiliency (CDBG-DR) grant agreement**, that the following requirements are met:

- That the Grantee has in place proficient financial controls;
- That the Grantee has in place proficient procurement processes;
- That the Grantee has established adequate procedures to prevent any duplication of benefits as defined by section 312 of the Stafford Act;
- That the Grantee has established adequate procedures to ensure timely expenditure of funds;
- That the Grantee has established adequate procedures to maintain comprehensive websites regarding all disaster recovery activities assisted with the CDBG-DR funds; and
- That the Grantee has established adequate procedures to detect fraud, waste, and abuse of funds.

P.L. 114-223 CDBG-DR Certification Checklist Instructions (Continued)

Through the P. L. 114-223 CDBG-DR funds appropriated by the Continuing Appropriations Act, 2017, HUD has allocated Community Development Block Grant Disaster Resilience (CDBG-DR) grants funds appropriated for the purpose of assisting long-term recovery in Louisiana, Texas and West Virginia. The CDBG-DR Notice of Funding Availability required applicants to tie their proposals back to the eligible disaster from which they are recovering. The allocations for the above awardees were announced in October 27, 2016.

In order for the Secretary to make the certification for these Grantees, each Grantee must complete the P.L. 114-223 Certification Checklist, completing responses in the column marked "Grantee," and submit the required information to their designated HUD representative. A HUD representative must then review the Grantee's submission and also complete and sign the checklist to certify that it was satisfactorily completed by the Grantee. The Grantee's documentation must be submitted within 60 days of the effective date of the *Federal Register* Notice which publishes the CDBG-DR Awardees. Failure to submit the checklist and documentation within 60 days of the effective date of the Notice may result in the cancellation of the award. Questions on this checklist may be submitted to Disaster_Recovery@hud.gov. In the alternative, Grantees may call (202) 708-3587. **Grant agreements will not be executed until HUD has issued a certification in response to the Grantee's submission.**

Definitions:

Appropriations Act: This notice allocates \$500 million in Community Development Block Grant disaster recovery (CDBG-DR) funds appropriated by the Continuing Appropriations Act, 2017 for the purpose of assisting long-term recovery in Louisiana, Texas and West Virginia.

Grantee: CDBG-DR Grantees are the three States that have been allocated CDBG-DR funds for infrastructure, housing, and economic revitalization activities. Each Grantee will designate to HUD the departmental organization responsible for executing the Grantee's certification of proficient financial controls and procurement processes within this checklist.

HUD reviewers: HUD reviewers are either staff assigned to HUD's Disaster Recovery and Special Issues Division (DRSI) or staff in the Office of Community Planning and Development's (CPD) Field Offices. In Field Offices, CPD Specialists or Financial Analysts will assist the Grantee in completing Parts A through H of the Certification Checklist. When HUD CPD Specialists or Financial Analysts are not available, the CPD Field Office Director will designate alternate HUD staff to complete the certification. For grants managed by DRSI, the Director of DRSI will assign the HUD reviewers responsible for completing the certification.

Instructions for completing parts A through H:

<i>Parts</i>	<i>Instructions</i>
A. Scope of Review	Grantee identifies the type of governmental unit carrying out the CDBG-DR activities.
B. Financial Controls	1. Grantees will submit their most recent Single Audit produced in response to the Grantees' most recent audit conducted in accordance with 2 CFR part 200, subpart F, and their most recent financial statement prepared in accordance with 2 CFR 200.510.

<i>Parts</i>	<i>Instructions</i>
	<p>http://www.ecfr.gov/cgi-bin/text-idx?SID=444d3e65fb16067fba3cb7d1f96217ab&mc=true&node=pt2.1.200&rgn=div5#sp2.1.200.f</p> <p>2. The Grantee will complete and submit the Public Law 114-223 Guide for Review of Financial Management.</p> <p>Note: To satisfy the requirements for review of financial processes pertaining to the HUD award, Grantees should consider the processes associated with any other existing HUD or other Federal funding awards and refer to documentation of those awards, where applicable.</p> <p>Note: The grantee's policies, procedures and standards and the grantee's submission of the P.L. 114-223 Guide for Review of Financial Management must demonstrate that the grantee's financial standards are complete and conform to the requirement of the Guide. The grantee must identify which section of its financial policies, procedures and standards address each of the questions in the Guide and which personnel or units are responsible for each aspect of the Guide.</p>
<p>C. Procurement Processes</p>	<p>1. Grantees will certify that the procurement standards to be applied to obligated CDBG-DR funds adhere to required standards as defined in 2 CFR 200.318 through 200.326 and provide their procurement standards and indicate the sections of its procurement standards that incorporate 2 CFR 200.318 through 200.326 so that HUD may evaluate the overall effect of the Grantee's procurement standards. The standards should indicate which personnel or unit are responsible for each item or task; or</p> <p>2. State government Grantees may certify that their procurement standards are equivalent to those at 2 CFR 200.318 through 200.326, meaning that they operate in a manner providing fair and open competition and provide their procurement standards and indicate how the sections of its procurement standards align with the provisions of 2 CFR 200.318 through 200.326 so that HUD may evaluate the overall effect of the Grantee's procurement standards. HUD will review this information and determine whether the standards, taken as a whole, are equivalent to the standards at 2 CFR part 200, subpart D. The standards should indicate which personnel or unit are responsible for each item or task</p> <p>Note: Grantees and HUD reviewers must not indicate that State procurement standards follow both State and OMB Uniform Requirements. Grantees and HUD reviewers must select EITHER (1) OR (2) on the checklist.</p>
<p>D. Procedures for Prevention of Duplication of Benefits</p>	<p>1. Grantees will certify they have standards to ensure prevention of duplicative benefits and provide uniform prevention of duplication of benefits procedures to HUD for HUD evaluation of adequacy.</p> <p>Note: To help prevent the duplication of benefits, HUD published a Notice in the Federal Register on November 16, 2011, at 76 FR 71060.</p> <p>https://www.gpo.gov/fdsys/pkg/FR-2011-11-16/pdf/2011-29634.pdf</p>

<i>Parts</i>	<i>Instructions</i>
E. Procedures to Determine Timely Expenditures	1. Grantees will certify they have adequate procedures to determine timely expenditures and provide procedures to HUD for HUD evaluation of adequacy.
F. Procedures to Maintain a Comprehensive Website	<ol style="list-style-type: none"> 1. Grantees will maintain a comprehensive website regarding all disaster recovery activities assisted with these funds per P.L. 114-223 and applicable Federal Register Notices. 2. Grantees will submit procedures for a separate web page dedicated to its CDBG-DR funds that will contain links to its Application/Action plan, DRGR Action Plan, all Action Plan amendments, Performance reports (i.e., Quarterly Performance Reports (QPRs), Citizen Participation requirements, and Activity/program information for activities described in the DRGR Action Plan. 3. Procedures must indicate the frequency of website updates. 4. Procedures must indicate which personnel or unit of government are responsible for the task.
G. Procedures to Detect Fraud, Waste, and Abuse of Funds	<ol style="list-style-type: none"> 1. Grantees will detect and prevent waste, fraud, and abuse of funds. 2. Grantees will submit standards to indicate its process for verifying accuracy of applicant information. 3. Grantees will submit standards to indicate a monitoring policy. 4. Grantees will submit standards to indicate describe role of Internal Auditor.
H. Grantee's Certification	Grantee must attest to the proficiency and adequacy of its controls, as required by the Appropriations Act (Public Law 114-223).

PART A. SCOPE OF REVIEW

Grantees must identify the type of recipient (referred to as “Grantees” in this Checklist) receiving Community Development Block Grant – Disaster Recovery (CDBG-DR) Funds:

State Grantee	<input checked="" type="checkbox"/> <input type="checkbox"/> Yes No
Unit of Local Government (UGLG) Grantee	<input type="checkbox"/> <input checked="" type="checkbox"/> Yes No

PART B. FINANCIAL CONTROLS

1. OMB Audit and Financial Statement	Grantee	HUD
a) Has the Grantee attached its most recent Single Audit produced in response to the Grantee's most recent audit conducted in accordance with 2 CFR part 200, subpart F, and its most recent financial statement prepared in accordance with 2 CFR 200.510, which include a schedule of expenditures and schedule of findings and questioned costs?	<input checked="" type="checkbox"/> <input type="checkbox"/> Yes No	<input type="checkbox"/> <input type="checkbox"/> Yes No
b) Has the Grantee attached its most recent annual financial statement?	<input checked="" type="checkbox"/> <input type="checkbox"/> Yes No	<input type="checkbox"/> <input type="checkbox"/> Yes No
c) Does either the Single Audit or financial statement indicate that the Grantee has material weaknesses, significant deficiencies, or questioned costs?	<input checked="" type="checkbox"/> <input type="checkbox"/> Yes No	<input type="checkbox"/> <input type="checkbox"/> Yes No
d) If the answer to question 1.c above is yes, has the Grantee provided documentation showing how the issue(s) have been removed or are being addressed?	<input checked="" type="checkbox"/> <input type="checkbox"/> Yes No	<input type="checkbox"/> <input type="checkbox"/> Yes No
Has the Grantee met the requirements of questions 1.a, 1.b, 1.c and 1.d (if applicable)?		<input type="checkbox"/> <input type="checkbox"/> Yes No
If no, describe basis for conclusion:		

2. P.L. 114-223 Guide for Review of Financial Management

	Grantee	HUD
a) Has the Grantee completed P.L. 114-223 Guide for Review of Financial Management and attached it to this Checklist?	<input checked="" type="checkbox"/> <input type="checkbox"/> Yes No	<input type="checkbox"/> <input type="checkbox"/> Yes No
b) Has the Grantee attached its financial standards?	<input checked="" type="checkbox"/> <input type="checkbox"/> Yes No	<input type="checkbox"/> <input type="checkbox"/> Yes No
Note. The Guide and the attached documents must demonstrate that the financial standards are complete and conform to the requirements of the P.L. 114-223 Guide for Review of Financial Management. The Grantee must identify which sections of its financial standards address each of the questions in the P.L. 114-223 Guide for Review of Financial Management and which personnel or unit are responsible for each P.L. 114-223 Guide for Review of Financial Management item.		
Has the Grantee met the requirements of questions 2.a and 2.b (if applicable)?		<input type="checkbox"/> <input type="checkbox"/> Yes No
If no, describe basis for conclusion:		

PART C. Procurement Processes

	Grantee	HUD
<p>Note: State grantees may adopt EITHER procurement standards as identified in 2 CFR 200.318 through 200.326, OR equivalent standards. As such, state grantees can only affirmatively answer questions 1 or 2, below. Units of general local government grantees must complete question 1 below.</p>		
<p>1. Has the Grantee adopted the specific procurement standards at 2 CFR 200.318 through 200.326? If yes:</p> <p style="margin-left: 40px;">a. Has the Grantee attached a copy of its procurement policies and procedures and indicated the sections of its procurement standards that incorporate 2 CFR 200.318 through 200.326?</p> <p style="margin-left: 40px;">b. Do the standards indicate which personnel or unit is responsible for each item?</p>	<p><input type="checkbox"/> <input checked="" type="checkbox"/> <input type="checkbox"/></p> <p>Yes No N/A</p> <p><input type="checkbox"/> <input type="checkbox"/> <input checked="" type="checkbox"/></p> <p>Yes No N/A</p> <p><input type="checkbox"/> <input type="checkbox"/> <input checked="" type="checkbox"/></p> <p>Yes No N/A</p>	<p><input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/></p> <p>Yes No N/A</p> <p><input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/></p> <p>Yes No N/A</p> <p><input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/></p> <p>Yes No N/A</p>
<p>2. For State grantees only: In the alternative, are the Grantee's procurement processes and standards equivalent to the procurement standards at 2 CFR 200.318 through 200.326? If yes:</p> <p style="margin-left: 40px;">a. Has the Grantee attached its procurement policies and procedures and indicated the sections of its procurement policies and procedures that align with each procurement provision of 2 CFR 200.318 through 200.326?</p> <p style="margin-left: 40px;">b. Do the processes indicate which personnel or unit is responsible for each item?</p>	<p><input checked="" type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/></p> <p>Yes No N/A</p> <p><input checked="" type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/></p> <p>Yes No N/A</p> <p><input checked="" type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/></p> <p>Yes No N/A</p>	<p><input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/></p> <p>Yes No N/A</p> <p><input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/></p> <p>Yes No N/A</p> <p><input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/></p> <p>Yes No N/A</p>
<p>Has the Grantee met the requirements of question 1 or 2?</p>		<p><input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/></p> <p>Yes No N/A</p>
<p>If no or N/A, describe basis for conclusion:</p>		

PART D. Procedures for Prevention of Duplication of Benefits

	Grantee	HUD
1. Has the Grantee provided uniform prevention of duplication of benefits procedures which identifies its processes for:		
a. Verifying all sources of disaster assistance?	<input checked="" type="checkbox"/> <input type="checkbox"/> Yes No	<input type="checkbox"/> <input type="checkbox"/> Yes No
b. Determining an applicant's unmet need(s) before awarding assistance?	<input checked="" type="checkbox"/> <input type="checkbox"/> Yes No	<input type="checkbox"/> <input type="checkbox"/> Yes No
c. Ensuring beneficiaries agree to repay the assistance if they later receive other disaster assistance for the same purpose?	<input checked="" type="checkbox"/> <input type="checkbox"/> Yes No	<input type="checkbox"/> <input type="checkbox"/> Yes No
2. Do the procedures indicate which personnel or unit is responsible for each task?	<input checked="" type="checkbox"/> <input type="checkbox"/> Yes No	<input type="checkbox"/> <input type="checkbox"/> Yes No
Has the Grantee met the requirements of questions 1 and 2?		<input type="checkbox"/> <input type="checkbox"/> Yes No
If no, describe basis for conclusion:		

PART E. Procedures to Determine Timely Expenditures

	Grantee	HUD
1. Has the Grantee attached procedures to determine timely expenditures?	<input checked="" type="checkbox"/> <input type="checkbox"/> Yes No	<input type="checkbox"/> <input type="checkbox"/> Yes No
2. Do the procedures indicate how the Grantee will track expenditures each month?	<input checked="" type="checkbox"/> <input type="checkbox"/> Yes No	<input type="checkbox"/> <input type="checkbox"/> Yes No
3. Do the procedures indicate how the Grantee will monitor expenditures of its recipients?	<input checked="" type="checkbox"/> <input type="checkbox"/> Yes No	<input type="checkbox"/> <input type="checkbox"/> Yes No
4. Do the procedures indicate how the Grantee will reprogram funds in a timely manner for activities that are stalled?	<input checked="" type="checkbox"/> <input type="checkbox"/> Yes No	<input type="checkbox"/> <input type="checkbox"/> Yes No
5. Do the procedures indicate how the Grantee will project expenditures?	<input checked="" type="checkbox"/> <input type="checkbox"/> Yes No	<input type="checkbox"/> <input type="checkbox"/> Yes No
6. Do the procedures indicate which personnel or unit are responsible for the task?	<input checked="" type="checkbox"/> <input type="checkbox"/> Yes No	<input type="checkbox"/> <input type="checkbox"/> Yes No
Has the Grantee met the requirements of questions 1, 2, 3, 4, 5 and 6?		<input type="checkbox"/> <input type="checkbox"/> Yes No
If no, describe basis for conclusion:		


PART F. Procedures to Maintain a Comprehensive Website

	Grantee	HUD
1. Has the Grantee attached procedures to maintain a comprehensive website regarding all CDBG disaster recovery activities?	<input checked="" type="checkbox"/> <input type="checkbox"/> Yes No	<input type="checkbox"/> <input type="checkbox"/> Yes No
2. Do the procedures indicate that the Grantee will have a separate page dedicated to its CDBG-DR funds that will contain links to all:	<input checked="" type="checkbox"/> <input type="checkbox"/> Yes No	<input type="checkbox"/> <input type="checkbox"/> Yes No
a. Action Plans, including DRGR Action Plan	<input checked="" type="checkbox"/> <input type="checkbox"/> Yes No	<input type="checkbox"/> <input type="checkbox"/> Yes No
b. Action Plan amendments,	<input checked="" type="checkbox"/> <input type="checkbox"/> Yes No	<input type="checkbox"/> <input type="checkbox"/> Yes No
c. Performance reports (i.e., Quarterly Performance Reports (QPRs)),	<input checked="" type="checkbox"/> <input type="checkbox"/> Yes No	<input type="checkbox"/> <input type="checkbox"/> Yes No
d. Citizen participation requirements, and	<input checked="" type="checkbox"/> <input type="checkbox"/> Yes No	<input type="checkbox"/> <input type="checkbox"/> Yes No
e. Activity/program information for activities described in the Action Plan?	<input checked="" type="checkbox"/> <input type="checkbox"/> Yes No	<input type="checkbox"/> <input type="checkbox"/> Yes No
3. Do the procedures indicate the frequency of website updates?	<input checked="" type="checkbox"/> <input type="checkbox"/> Yes No	<input type="checkbox"/> <input type="checkbox"/> Yes No
4. Do the procedures indicate which personnel or unit are responsible for the task?	<input checked="" type="checkbox"/> <input type="checkbox"/> Yes No	<input type="checkbox"/> <input type="checkbox"/> Yes No
Has the Grantee met the requirements of questions 1, 2, 3 and 4?		<input type="checkbox"/> <input type="checkbox"/> Yes No
If no, describe basis for conclusion:		

PART G. Procedures to Detect Fraud, Waste, and Abuse of Funds

	Grantee	HUD
1. Has the Grantee attached procedures that indicate how the Grantee will verify the accuracy of information provided by applicants?	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No	<input type="checkbox"/> Yes <input type="checkbox"/> No
2. Has the Grantee provided a monitoring policy that indicates: a. How and why monitoring is conducted, b. The frequency of monitoring, and c. Which items are monitored?	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No	<input type="checkbox"/> Yes <input type="checkbox"/> No
3. Has the Grantee's internal auditor affirmed and described its role in detecting fraud, waste, and abuse?	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A
Has the Grantee met the requirements of questions 1, 2 and 3?		<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A
If no or N/A, describe basis for conclusion:		

PART H. Grantee's Certification

Does the Grantee attest to the proficiency and adequacy of its controls, as required by the Appropriations Act (Public Law 114-223)? <div style="text-align: center;">  _____ Signature of Certifying Official Jay Dardenne, Commissioner, Louisiana Division of Administration Printed Name of Certifying Official <div style="text-align: center;"> 1/6/17 _____ Date </div> </div>	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
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