

DEPARTMENT OF HOUSING AND URBAN DEVELOPMENT

Certification Checklist

For Community Development Block Grant
Disaster Recovery (CDBG-DR) Grantees under the
Disaster Relief Appropriations Act, 2013 (Public Law 113-2)

March 2013

Certification Checklist

Grantee	Grantee:	
	Name and Title of Person Completing Form:	
	Signature:	Date:
HUD	Name and Title of Person Completing Form:	
	Signature:	Date:

Instructions: The Appropriations Act requires that the Secretary certify, in advance of signing a 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 these funds; and that the grantee has established adequate procedures to detect fraud, waste, and abuse of funds.

In order for the Secretary to make the certification, each grantee must complete this checklist and submit the required information to the grantee's designated HUD representative. A HUD representative must then review the grantee's submission and complete this checklist. The grantee's documentation must be submitted by **April 10, 2013**, or with the grantee's submission of its Action Plan, whichever is sooner. 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.**

I. Financial Controls

A. A-133 Audit and Annual Financial Statement.

	Grantee	HUD
1. Has the grantee attached its most recent A-133 audit?	<input type="checkbox"/> Yes <input type="checkbox"/> No	<input type="checkbox"/> Yes <input type="checkbox"/> No
2. Has the grantee attached its most recent annual financial statement?	<input type="checkbox"/> Yes <input type="checkbox"/> No	<input type="checkbox"/> Yes <input type="checkbox"/> No
3. Does either the A-133 audit or financial statement indicate that the grantee has a material weakness, deficiency, or concern?	<input type="checkbox"/> Yes <input type="checkbox"/> No	<input type="checkbox"/> Yes <input type="checkbox"/> No
4. If the A-133 audit or financial statement indicates that the grantee has a material weakness, deficiency, or concern, has the grantee provided documentation showing how the issue(s) have been removed or are being addressed?	<input 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 4 (if applicable)? If no, explain.	<input type="checkbox"/> Yes <input type="checkbox"/> No	

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B. CPD Exhibit 3-18.

	Grantee	HUD
1. Has the grantee completed Exhibit 3-18 and attached it to this Checklist?	<input type="checkbox"/> Yes <input type="checkbox"/> No	<input type="checkbox"/> Yes <input type="checkbox"/> No
2. Has the grantee attached its financial standards?	<input type="checkbox"/> Yes <input type="checkbox"/> No	<input type="checkbox"/> Yes <input type="checkbox"/> No
<p>Note. The checklist and standards must demonstrate the financial standards are complete and conform to the requirements of Exhibit 3-18. The grantee must identify which sections of its financial standards address each of the questions in the monitoring checklist and which personnel or unit are responsible for each checklist item.</p> <p>Has the grantee met the above requirements? If no, explain.</p>		<input type="checkbox"/> Yes <input type="checkbox"/> No

II. Procurement

	Grantee	HUD
1. Has the grantee adopted the specific procurement standards identified in 24 CFR 85.36? If yes,	<input type="checkbox"/> Yes <input type="checkbox"/> No	<input type="checkbox"/> Yes <input type="checkbox"/> No
a. Has the grantee attached a copy of its procurement standards and indicated the sections of its procurement standards that incorporate 24 CFR 85.36?	<input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> Yes No N/A	<input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> Yes No N/A
b. Do the procedures indicate which personnel or unit are responsible for each item?	<input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> Yes No N/A	<input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> Yes No N/A
2. In the alternative (for State grantees only), are the grantee's procurement process/ standards equivalent to the procurement standards at 24 CFR 85.36? If yes,	<input type="checkbox"/> Yes <input type="checkbox"/> No	<input type="checkbox"/> Yes <input type="checkbox"/> No
a. Has the grantee attached its procurement standards and indicated the sections of its procurement standards that align with each procurement provision of 24 CFR 85.36?	<input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> Yes No N/A	<input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> Yes No N/A
b. Do the procedures indicate which personnel or unit are responsible for each item?	<input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> Yes No N/A	<input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> Yes No N/A
Has the grantee met the requirements of question 1 or 2? If no, explain.		<input type="checkbox"/> Yes <input type="checkbox"/> No

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III. Prevention of Duplication of Benefits

	Grantee	HUD
1. Has the grantee provided a uniform procedure which identifies its processes for: <ul style="list-style-type: none"> a. Verifying all sources of disaster assistance? b. Determining an applicant's unmet need(s) before awarding assistance? c. Ensuring beneficiaries agree to repay the assistance if they later receive other disaster assistance for the same purpose? 	<input 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 <input 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 <input 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
2. Do the procedures indicate which personnel or unit are responsible for each task?	<input type="checkbox"/> Yes <input type="checkbox"/> No	<input type="checkbox"/> Yes <input type="checkbox"/> No
Has the grantee met the above requirements? If no, explain.		<input type="checkbox"/> Yes <input type="checkbox"/> No

IV. Procedures to Determine Timely Expenditures

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

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V. 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 type="checkbox"/> Yes <input type="checkbox"/> No	<input type="checkbox"/> Yes <input type="checkbox"/> 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: <ul style="list-style-type: none"> a. Action Plans, b. Action Plan amendments, c. Performance reports (i.e., Quarterly Performance Reports (QPRs)), d. Citizen participation requirements, and e. Activity/program information for activities described in the Action Plan? 	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Yes <input type="checkbox"/> No	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Yes <input type="checkbox"/> No
3. Do the procedures indicate the frequency of website updates?	<input type="checkbox"/> Yes <input type="checkbox"/> No	<input type="checkbox"/> Yes <input type="checkbox"/> No
4. Do the procedures indicate which personnel or unit are responsible for the task?	<input type="checkbox"/> Yes <input type="checkbox"/> No	<input type="checkbox"/> Yes <input type="checkbox"/> No
Has the grantee met the above requirements? If no, explain.		<input type="checkbox"/> Yes <input type="checkbox"/> No

VI. 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 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: <ul style="list-style-type: none"> a. How and why monitoring is conducted, b. The frequency of monitoring, and c. Which items are monitored? 	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Yes <input type="checkbox"/> No	<input type="checkbox"/> Yes <input type="checkbox"/> No <input 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 type="checkbox"/> Yes <input type="checkbox"/> No	<input type="checkbox"/> Yes <input type="checkbox"/> No
Has the grantee met the above requirements? If no, explain.		<input type="checkbox"/> Yes <input type="checkbox"/> No

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VII. Grantee's Certification

<p>Does the grantee attest to the proficiency and adequacy of its controls, as required by the Appropriations Act (Public Law113-2)?</p> <p>_____</p> <p>Signature of Certifying Official</p> <p>_____</p> <p>Printed Name of Certifying Official</p> <p>_____</p> <p>Date</p>	<p><input type="checkbox"/> <input type="checkbox"/></p> <p>Yes No</p>
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