



# Financial Management & Grant Compliance Certification Requirements

## 1.1 Part A Financial Management Controls

SINGLE AUDIT REVIEW TO IDENTIFY ANY WEAKNESSES, DEFICIENCIES, OR CONCERNS RELATED TO CPD PROGRAMS. PROVIDE DOCUMENTATION SHOWING HOW THOSE WEAKNESSES HAVE BEEN OR ARE BEING ADDRESSED.

ANNUAL COMPREHENSIVE FINANCIAL REPORT REVIEW TO IDENTIFY ANY WEAKNESSES, DEFICIENCIES, OR CONCERNS. PROVIDE DOCUMENTATION SHOWING HOW THESE WEAKNESSES HAVE BEEN OR ARE BEING ADDRESSED.

## 1.2 Part B Procurement

PROCUREMENT PROCESS

POLICIES AND PROCEDURES FOR PROCUREMENT

## 1.3 Part C Duplication of Benefits

POLICY AND PROCEDURES FOR PREVENTION OF DUPLICATION OF BENEFITS

\*Includes a method to monitor compliance with the subrogation agreement for a reasonable period (i.e., a time period commensurate with risk) and articulates this method in policies and procedures, including the basis for the period during which the grantee will monitor compliance.

## 1.4 Part D Expenditures

POLICY AND PROCEDURES TO DETERMINE TIMELY EXPENDITURES

PROCEDURES TO TRACK EXPENDITURES EACH MONTH

PROCEDURES TO MONITOR EXPENDITURES OF ITS RECIPIENTS

## 1.5 Part E Website

PROCEDURES TO DEVELOP AND MAINTAIN A COMPREHENSIVE WEBSITE

\*Includes making documents available to the public in a form accessible to persons with disabilities. Includes meaningful access to programs and policies by LEP persons, including members of protected classes, vulnerable populations, and individuals from underserved communities as described in Section III.D.1.d of the Consolidated Notice.

## 1.6 Part F AFWA

POLICY AND PROCEDURES TO DETECT FRAUD, WASTE,

AND ABUSE OF FUNDS

\*Includes providing information that raises awareness of possible fraudulent activity, how the fraud can be avoided, and what local or state agencies to contact to take action and protect the grantee and beneficiary investment. Includes procedures for assisting CDBG-DR beneficiaries should they experience contractor or other fraud, and providing additional assistance as a result of fraudulent activity and the creation of remaining unmet need; the procedures also address what steps the grantee will follow to provide the additional assistance.

\*Notes

## Attachments

SINGLE AUDIT (MOST RECENT)

CAFR (MOST RECENT)

CLIENT DISASTER RECOVERY OPERATIONS ORGANIZATIONAL CHARTS

CLIENT STATE AGENCY ORGANIZATIONAL CHART

STANDARD AGREEMENT TEMPLATE

PROGRAM INCOME POLICIES AND PROCEDURES

PROCUREMENT POLICIES AND PROCEDURES

DUPLICATION OF BENEFITS POLICIES AND PROCEDURES

2 CFR 200 PROCUREMENT CROSSWALK

CROSSWALK OF GRANTEE'S POSITION CLASSIFICATIONS AND FUNCTIONAL ROLES

CDBG-DR SECTION DUTY STATEMENTS

MANAGEMENT DECISION LETTER

INTERNAL AUDIT COMPLIANCE MEMO

TIMELY EXPENDITURES POLICIES AND PROCEDURES

POLICIES AND PROCEDURES TO DETECT AND PREVENT FRAUD,WASTE, AND ABUSE

## Final Package for HUD Submission

REVIEW FINAL PACKAGE

FINAL REVISIONS

SUBMIT FINAL DRAFT TO HUD



# Implementation Plan & Capacity Assessment

## 2.1 Application Status

- INFORMING APPLICANTS OF APPLICATION STATUS
- ACCESSIBILITY AND PRIVACY OF APPLICANT INFORMATION
- RESPONSIBLE PERSONNEL

## 2.2 Capacity

- CAPACITY ASSESSMENT
- TIMELINE FOR ADDRESSING CAPACITY GAPS

## 2.3 Staffing

- ADMINISTRATIVE STRUCTURE
- USE OF SUB-RECIPIENTS AND CONTRACTORS
- DISASTER RECOVERY SECTION ORGANIZATIONAL STRUCTURE
- RESPONSIBILITY MATRIX
- STAFF ROLES
- DR SECTION ROLES AND RESPONSIBILITIES
- TIMELINE TO FILL VACANCIES
- ORGANIZATION POSITIONS AND JOB DESCRIPTIONS
- INTERNAL AND INTER-AGENCY COORDINATION, CONSULTATION, AND COMMUNICATIONS PLAN
- LEAD AGENCY AND SUB-RECIPIENT COMMUNICATION
- LOCAL AND REGIONAL PLANNING EFFORT COMMUNICATION
- TECHNICAL ASSISTANCE FOR SUB-RECIPIENTS
- TECHNICAL ASSISTANCE AND TRAINING PLAN TO ONBOARD NEW DR UNIT STAFF
- ACCOUNTABILITY

## Final Package for HUD Submission

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- FINAL REVISIONS
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LEARN HOW CIVIX CAN SUPPORT A MORE RESILIENT RECOVERY

Ted E. Guillot, Vice President, Community Planning & Resilience  
TGuillot@GoCivix.com | Dir. 504.304.0733



Learn More about Disaster Recovery at [GoCivix.com](https://www.GoCivix.com)