|  |
| --- |
| **Addendum Guide for Review of CDBG-DR 2015 Disasters**  |
| **Name of Grantee:**       | **Appropriation(s):**       |
| **Staff Consulted:**      |
| **Name(s) of Reviewer(s):** |       | **Date:** |       |

**NOTE:**  As stated in Chapter 2 of the monitoring handbook, an important and fundamental principle of the monitoring process is that HUD is required to make findings when there is evidence that a statute, regulation or requirement has been violated, but it retains discretion in identifying appropriate corrective action(s) to resolve deficiencies. An equally fundamental principle is that program participants have due process rights to contest findings (24 CFR part 570 subpart O for local governments and 24 CFR 570.495 for state grantees (in some cases, applicable waivers and alternative requirements may subject states to subpart O)).

As provided in Chapter 2, HUD reviewers are advised that certain questions contain, as a parenthetical below the question, statutory or regulatory citations and/or contract/agreement references. A negative response (“No”) by the HUD reviewer to any such question indicates noncompliance that constitutes a “finding.” Including the basis for the requirement enables the entity being monitored to specifically reference the program requirement at issue. That entity is not precluded from self-assessing during the monitoring to determine if it has information or documentation that would cause the HUD reviewer to form a different conclusion.

In this exhibit, most questions that address requirements contain the specific citation for the source of the requirement (specific citation to a section of a statute, regulation, *Federal Register* notice, or grant agreement). Where a specific citation is contained in the question, it may only apply to certain grants; carefully review the cited requirement to determine its applicability.

In other cases, the question generally references the source of the requirement (e.g., applicable *Federal Register* notices or grant agreement) but does not provide a specific citation. This is because statutory requirements, *Federal Register* notices (including waivers and alternative requirements), and grant agreements can vary significantly from appropriation to appropriation, and waivers and alternative requirements may vary from grantee to grantee. When the question contains a general reference to a source, the reviewer is instructed to review the source to confirm that the relevant requirement that relates to the question is contained in the source and applies to the grantee. The reviewer should answer the question based on the requirement that applies to the grantee. If the reviewer answers the question “no” because the grantee did not comply with the requirements in the source that apply to the grantee, the HUD reviewer must make a note of the applicable citation to document the violation that results in a finding of noncompliance.

Questions without a specific citation or a general reference to a controlling document do not address requirements. These questions are included to assist the reviewer in understanding the participant's program more fully and to identify issues that, if not properly addressed, could result in deficient performance. Negative conclusions to these questions may result in a "concern" being raised but cannot result in a "finding."

A “Note” included with a question is intended to assist the reviewer with answering the question and is not a statutory or regulatory citation and/or contract/agreement reference that signals that a negative response (“No”) by the HUD reviewer to the question indicates noncompliance that constitutes a “finding.”

**Instructions:** This Addendum is to be used as a supplement to the following Chapter 6 Exhibits: *6-1:* *Guide for Review of Overall Management*; 6-2: *Guide for Review of Flood Zone and Floodway Buyouts and Non-Buyout Acquisition*; 6-3: *Review of New Construction of Housing*; *6-4: Review of Infrastructure and Public Facilities; 6-5: Review of Economic Development;* and *6-6: Review of Housing Rehabilitation and Reconstruction* to monitor activities carried out with CDBG-disaster recovery (CDBG-DR) funds awarded for major disasters that occurred in 2015.

Sections Band C are to be used in reviewing Duplication of Benefits requirements for 2015 Disasters. Per the *Federal Register* notices issued by the Department, CDBG-DR state grantees are provided a waiver and alternative requirement that allows them to carry out activities directly or through a subrecipient.

**Table of Contents**

[A. Overall Management 3](#_Toc52351599)

[B. Duplication of Benefits Requirements (Applicable to all CDBG-DR Activities Funded Before June 25, 2019 ) 5](#_Toc52351600)

[C. Duplication of Benefits Requirements (Applicable to all CDBG-DR Activities Subject To The June 20, 2019 Notice) 8](#_Toc52351601)

[D. Review of Flood Zone and Floodway Buyouts and Non-Buyout Acquisitions 11](#_Toc52351602)

[E. Review of New Construction of Housing 11](#_Toc52351603)

[F. Review of Infrastructure 13](#_Toc52351604)

[G. Review of Economic Development 16](#_Toc52351605)

[H. Review of Housing Rehabilitation And Reconstruction 19](#_Toc52351606)

[I. Review of Written Agreements 22](#_Toc52351607)

[J. Review of Procurement 22](#_Toc52351608)

[K. Review of Financial Management 22](#_Toc52351609)

**QUESTIONS**:

**A. OVERALL MANAGEMENT** (Supplement to Exhibit 6-1)

|  |  |
| --- | --- |
|  | In accordance with the requirement for website management:  |
| 1. Does the grantee have and maintain a public website?

[81 FR 39703] |

|  |  |
| --- | --- |
| [ ]  | [ ]  |
| **Yes** | **No** |

 |
| 1. Does the grantee have procedures indicating that the grantee will maintain a separate page dedicated to its disaster recovery that will contain links to all action plans, action plan amendments, performance reports, citizen participation requirements, contracts and activity/program information for activities described in the action plan?
 |

|  |  |  |
| --- | --- | --- |
| [ ]  | [ ]  | [ ]  |
| **Yes** | **No** | **N/A** |

 |
| 1. Does the grantee make program information available in a form accessible to persons with disabilities and those with limited English proficiency either via its disaster recovery website or an alternative method?

[81 FR 39695] |

|  |  |  |
| --- | --- | --- |
| [ ]  | [ ]  | [ ]  |
| **Yes** | **No** | **N/A** |

 |
| 1. Does the grantee have procedures indicating the frequency of website updates and which personnel or unit is responsible for the task?
 |

|  |  |  |
| --- | --- | --- |
| [ ]  | [ ]  | [ ]  |
| **Yes** | **No** | **N/A** |

 |
| 1. Does the grantee post their QPRs to their official website following the frequency required?

**NOTE:** Within 3 days of submission to HUD, each QPR must be posted on the grantee’s official website. In the event the QPR is rejected by HUD, the grantee must post the revised version, as approved by HUD, within 3 days of HUD approval.[81 FR 39695]  |

|  |  |  |
| --- | --- | --- |
| [ ]  | [ ]  | [ ]  |
| **Yes** | **No** | **N/A** |

 |
| **Describe Basis for Conclusion:**      |
|  |

|  |  |
| --- | --- |
|  | Does the grantee’s public website include: |
| 1. Information accounting for how all grant funds are used and managed/administered?

[81 FR 39702; 39696] |

|  |  |  |
| --- | --- | --- |
| [ ]  | [ ]  | [ ]  |
| **Yes** | **No** | **N/A** |

 |
| 1. Links to all action plans, action plan amendments, performance reports, citizen participation requirements, and activity/program information for activities described in the action plan?

**NOTE:** To meet this requirement, each grantee must make the following items available on its website: (1) The action plan (including all amendments); each QPR (as created using the DRGR system); (2) procurement policies and procedures; and (3) all executed CDBG-DR contracts.[81 FR 39702; 39696] |

|  |  |  |
| --- | --- | --- |
| [ ]  | [ ]  | [ ]  |
| **Yes** | **No** | **N/A** |

 |
| 1. Details of all contracts and ongoing procurement policies, including status of services or goods currently being procured by the grantee, recipients, or subrecipients (e.g., phase of the procurement, requirements for proposals)?

[81 FR 39702; 39696] |

|  |  |  |
| --- | --- | --- |
| [ ]  | [ ]  | [ ]  |
| **Yes** | **No** | **N/A** |

 |
| 1. Executed CDBG–DR contracts, including a copy of contracts the grantee has procured directly, and a summary of all contracts procured by the grantee, recipient, or subrecipients?

**NOTE:** Grantees should post only those contracts subject to 24 CFR 85.36 or in accordance with the State’s procurement policies. [81 FR 39702] |

|  |  |  |
| --- | --- | --- |
| [ ]  | [ ]  | [ ]  |
| **Yes** | **No** | **N/A** |

 |
| **Describe Basis for Conclusion:**      |
|  |

|  |  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- | --- |
| 1.
 | Is the grantee adhering to its Risk Analysis Documentation as submitted to HUD? **NOTE:** The grant terms of the award require the grantee to adhere to the description of its grant oversight and implementation plan submitted in response to the June 17, 2016 FR notice [81 FR 39689].[81 FR 39688-39690; See applicable grant agreement] |

|  |  |  |
| --- | --- | --- |
| [ ]  | [ ]  | [ ]  |
| **Yes** | **No** | **N/A** |

 |
| **Describe Basis for Conclusion:**      |
|  |

|  |  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- | --- |
|  | 1. Is the grantee, UGLG, or subrecipient in compliance with the 5% cap on administrative costs, plus 5% of program income?

[81 FR 39697]  |

|  |  |  |
| --- | --- | --- |
| [ ]  | [ ]  | [ ]  |
| **Yes** | **No** | **N/A** |

 |
| 1. Is the grantee, UGLG, or subrecipient in compliance with the combined planning and general administrative costs at a maximum, 20% of the total grant?

[81 FR 39697] |

|  |  |  |
| --- | --- | --- |
| [ ]  | [ ]  | [ ]  |
| **Yes** | **No** | **N/A** |

 |
| 1. Is the grantee in compliance with the aggregate total for general administrative and technical assistance expenditures, not to exceed 5% of the total grant?

[81 FR 39697] |

|  |  |  |
| --- | --- | --- |
| [ ]  | [ ]  | [ ]  |
| **Yes** | **No** | **N/A** |

 |
| 1. Are designated Administrative funds being used across multiple disaster recovery grants, including the CDBG-MIT grant?

If the answer is “yes,” the reviewer should answer the sub-questions below. **NOTE:** Public Law 116-20 authorizes special treatment of grant administrative funds for grantees that received awards under certain CDBG–DR grants. Grantees that received awards under Public Laws 114–113, 114–223, 114–254, 115–31, 115–56, 115–123, and 115–254, or any future act may use eligible administrative funds (up to 5 percent of each grant award plus up to 5 percent of program income generated by the grant) appropriated by these acts for the cost of administering any of these grants without regard to the particular disaster appropriation from which such funds originated.  |

|  |  |  |
| --- | --- | --- |
| [ ]  | [ ]  | [ ]  |
| **Yes** | **No** | **N/A** |

 |
| 1. Has the grantee instituted policies and procedures to ensure that it will not incur more administrative expenses than are allowable for each CDBG-DR (including CDBG-MIT) grant?
 |

|  |  |  |
| --- | --- | --- |
| [ ]  | [ ]  | [ ]  |
| **Yes** | **No** | **N/A** |

 |
| 1. Has the grantee demonstrated it has appropriate financial controls to ensure the amounts of grant administration expenditures for each of the aforementioned grants will not exceed 5 percent of the total grant award (plus 5 percent of program income)?

[85 FR 4686] |

|  |  |  |
| --- | --- | --- |
| [ ]  | [ ]  | [ ]  |
| **Yes** | **No** | **N/A** |

 |
| 1. Has the grantee reviewed and modified its financial management policies and procedures regarding tracking and accounting of administrative costs, as necessary?

[85 FR 4686] |

|  |  |  |
| --- | --- | --- |
| [ ]  | [ ]  | [ ]  |
| **Yes** | **No** | **N/A** |

 |
| 1. Has the grantee addressed the adoption of this treatment of administrative costs in its applicable portions of its Financial Management and Grant Compliance submission?

[85 FR 4686] |

|  |  |  |
| --- | --- | --- |
| [ ]  | [ ]  | [ ]  |
| **Yes** | **No** | **N/A** |

 |
| **Describe Basis for Conclusion:**      |

# **B. DUPLICATION OF BENEFITS REQUIREMENTS** (Applicable to all CDBG-DR Activities funded before June 25, 2019 )

On June 20, 2019, the Department released a notice for updated Duplication of Benefits (DOB) requirements (“2019 DOB Notice”) and a related implementation notice (“DOB Implementation Notice”) in the *Federal Register*. Under these notices, for all payments made after June 25, 2019 (the applicability date of the notices), grantees shall not treat declined subsidized loans (including declined SBA loans) as a DOB for all disasters that occurred during 2015-2021. If a grantee’s policies and procedures after June 25, 2019 treated declined loans as a DOB, the grantee **must** have updated its policies and procedures.

The 2019 DOB Notice supersedes the notice, ’’Clarification to Duplication of Benefits Requirements Under the Stafford Act for Community Development Block Grant (CDBG) Disaster Recovery Grantees,’’ published in the *Federal Register* on November 16, 2011 (76 FR 71060) (“2011 DOB Notice”) for any new activities submitted to HUD in an action plan or action plan amendment on or after June 25, 2019. For existing activities as of June 25, 2019, the 2019 DOB Notice supersedes the 2011 DOB Notice to the extent that the grantee amends its action plan or policies and procedures to change its treatment of loans in accordance with the 2019 DOB Notice. The new requirement related to declined loans applies to payments after June 25, 2019, for activities subject to either the 2011 and 2019 DOB Notices.

As required by the DOB Implementation Notice, any new activities in the grantee’s Action Plan after June 25, 2019, or for activities that the grantee has retroactivity applied these new requirements should be reviewed using **Section C below**. For existing activities included in earlier action plans prior to June 25, 2019 where the new requirements are not applied to those existing activities, **Section B should be used**.

|  |  |
| --- | --- |
|  | Does the grantee have adequate policies and procedures to ***prevent a duplication of benefits*** (DOB)? **NOTE:** Failure to develop and maintain policies and procedures to adequately address duplication of benefits could lead to a violation of the requirement that the grantee have “established adequate procedures to prevent any duplication of benefits”, as required for section 312 of the Robert T. Stafford Disaster Relief and Emergency Assistance Act, which requires HUD and its grantees to prevent the duplication of benefits. For more information on the duplication of benefits, see the notice for 2011-13 disasters in 76 FR 71066. |
| Generally, for adequacy, does the grantee check for: |
| 1. All insurance?
 |

|  |  |  |
| --- | --- | --- |
| [ ]  | [ ]  | [ ]  |
| **Yes** | **No** | **N/A** |

 |
| 1. Federal Emergency Management Agency (FEMA)?
 |

|  |  |  |
| --- | --- | --- |
| [ ]  | [ ]  | [ ]  |
| **Yes** | **No** | **N/A** |

 |
| 1. Small Business Administration?
 |

|  |  |  |
| --- | --- | --- |
| [ ]  | [ ]  | [ ]  |
| **Yes** | **No** | **N/A** |

 |
| 1. National Flood Insurance Program (NFIP) for flood related disasters?
 |

|  |  |  |
| --- | --- | --- |
| [ ]  | [ ]  | [ ]  |
| **Yes** | **No** | **N/A** |

 |
| 1. Other federal, state or local funding?
 |

|  |  |  |
| --- | --- | --- |
| [ ]  | [ ]  | [ ]  |
| **Yes** | **No** | **N/A** |

 |
| 1. Other nonprofit, private sector, or charitable funding?
 |

|  |  |  |
| --- | --- | --- |
| [ ]  | [ ]  | [ ]  |
| **Yes** | **No** | **N/A** |

 |
| **Describe Basis for Conclusion:**      |
|  |

|  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- |
|  | Do the policies and procedures require all assisted households or entities to enter into a signed agreement (e.g., subrogation agreement) to repay any assistance (e.g., unexpected insurance payout) later received for the same purpose as the CDBG disaster recovery funds, if total assistance received exceeds total need?  |

|  |  |
| --- | --- |
| [ ]  | [ ]  |
| **Yes** | **No** |

 |
| **Describe Basis for Conclusion:**      |
|  |

|  |  |
| --- | --- |
|  | In regard to ***duplication of benefits*** (DOB), do reviewed activity files document:**NOTE:** See implementing guidance at 76 FR 71060.  |
| 1. That the grantee reviewed all sources of financial assistance received by or available to the applicant for the same purpose (cost) as the CDBG-DR funds, and determined whether there is a DOB?

[Section 312 of the Robert T. Stafford Disaster Relief and Emergency Assistance Act (“Stafford Act”) Act] |

|  |  |
| --- | --- |
| [ ]  | [ ]  |
| **Yes** | **No** |

 |
| 1. If a DOB was found, that there was a reduction in the award amount?

[Section 312 of the Stafford Act] |

|  |  |  |
| --- | --- | --- |
| [ ]  | [ ]  |  |
| **Yes** | **No** |  |

 |
| 1. That each applicant has signed a subrogation agreement or similar agreement governing recapture of assistance received from another source after the activity is completed?

[Section 312(b) of the Stafford Act, applicable *Federal Register* notice(s), and applicable grant agreement ] |

|  |  |  |
| --- | --- | --- |
| [ ]  | [ ]  | [ ]  |
| **Yes** | **No** | **N/A** |

 |
| 1. That if a DOB occurred after the award of CDBG-DR funds, funds were recaptured in accordance with the agreement and the grantee’s policies and procedures?

[Section 312 of the Stafford Act, ; applicable *Federal Register* notice(s), and applicable grant agreement ] |

|  |  |
| --- | --- |
| [ ]  | [ ]  |
| **Yes** | **No** |

 |
| **Describe Basis for Conclusion:**      |
|  |

|  |  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- | --- |
|  | If the grantee’s policies and procedures previously considered declined loans before June 25, 2019, did the grantee amend its policies and procedures to eliminate declined loans as a duplication after June 25, 2019? [84 FR 28842] |

|  |  |  |
| --- | --- | --- |
| [ ]  | [ ]  | [ ]  |
| **Yes** | **No** | **N/A** |

 |
|  | **Describe Basis for Conclusion:**      |

|  |  |
| --- | --- |
|  | Do the reviewed activity files document: |
| The grantee’s signed agreements between itself and beneficiaries include this or similar language at their discretion: “Warning: Any person who knowingly makes a false claim or statement to HUD may be subject to civil or criminal penalties under 18 U.S.C. 287, 1001 and 31 U.S.C. 3729”? **NOTE:** It is not a requirement for grantees with an award in response to a 2015 disaster to include this language in its agreements between itself and its beneficiaries. However, including the above language is a best practice to prevent fraud related to duplication of benefits**.**  |

|  |  |  |
| --- | --- | --- |
| [ ]  | [ ]  | [ ]  |
| **Yes** | **No** | **N/A** |

 |
| **Describe Basis for Conclusion:**      |
|  |

# **C. DUPLICATION OF BENEFITS REQUIREMENTS** (Applicable to all CDBG-DR Activities Subject to the June 20, 2019 Notice)

|  |  |
| --- | --- |
|  | Does the grantee have adequate policies and procedures to ***prevent a duplication of benefit*** (DOB)? **NOTE:** Failure to develop and maintain policies and procedures to adequately address duplication of benefits could lead to a violation of the requirement that the grantee have “established adequate procedures to prevent any duplication of benefits”, as required for section 312 of the Robert T. Stafford Disaster Relief and Emergency Assistance Act, which requires HUD and its grantees to prevent the duplication of benefits.  |
| Generally, for adequacy, does the grantee check for: |
| 1. All insurance?
 |

|  |  |  |
| --- | --- | --- |
| [ ]  | [ ]  | [ ]  |
| **Yes** | **No** | **N/A** |

 |
| 1. Federal Emergency Management Agency (FEMA)?
 |

|  |  |  |
| --- | --- | --- |
| [ ]  | [ ]  | [ ]  |
| **Yes** | **No** | **N/A** |

 |
| 1. Small Business Administration?
 |

|  |  |  |
| --- | --- | --- |
| [ ]  | [ ]  | [ ]  |
| **Yes** | **No** | **N/A** |

 |
| 1. National Flood Insurance Program (NFIP) for flood related disasters?
 |

|  |  |  |
| --- | --- | --- |
| [ ]  | [ ]  | [ ]  |
| **Yes** | **No** | **N/A** |

 |
| 1. Other federal, state or local funding?
 |

|  |  |  |
| --- | --- | --- |
| [ ]  | [ ]  | [ ]  |
| **Yes** | **No** | **N/A** |

 |
| 1. Other nonprofit, private sector, or charitable funding?
 |

|  |  |  |
| --- | --- | --- |
| [ ]  | [ ]  | [ ]  |
| **Yes** | **No** | **N/A** |

 |
| **Describe Basis for Conclusion:**      |
|  |

|  |  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- | --- |
|  | Do the policies and procedures require all assisted households or entities to enter into a signed agreement (e.g., subrogation agreement) to repay any assistance (e.g., unexpected insurance payout) later received for the same purpose as the CDBG disaster recovery funds, if total assistance received exceeds total need?  |

|  |  |  |
| --- | --- | --- |
| [ ]  | [ ]  | [ ]  |
| **Yes** | **No** | **N/A** |

 |
| **Describe Basis for Conclusion:**      |
|  |

|  |  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- | --- |
|  | If the grantee’s policies and procedures previously considered declined loans before June 25, 2019, did the grantee amend its policies and procedures to eliminate declined loans as a duplication after June 25, 2019?[84 FR 28842] |

|  |  |  |
| --- | --- | --- |
| [ ]  | [ ]  | [ ]  |
| **Yes** | **No** | **N/A** |

 |
| **Describe Basis for Conclusion:**      |

|  |  |
| --- | --- |
|  | Do the reviewed activity files document: |
| The grantee’s signed agreements between itself and beneficiaries include this or similar language at their discretion: “Warning: Any person who knowingly makes a false claim or statement to HUD may be subject to civil or criminal penalties under 18 U.S.C. 287, 1001 and 31 U.S.C. 3729”? **NOTE:** It is not a requirement for grantees with an award in response to a 2015 disaster to include this language in its agreements between itself and its beneficiaries. However, including the above language is a best practice to prevent fraud related to duplication of benefits**.**  |

|  |  |  |
| --- | --- | --- |
| [ ]  | [ ]  | [ ]  |
| **Yes** | **No** | **N/A** |

 |
| **Describe Basis for Conclusion:**      |
|  |

|  |  |
| --- | --- |
|  | In regard to ***duplication of benefits*** (DOB) for activities subject to the 2019 DOB Notice, do reviewed activity files document the following requirements: |
| 1. The grantee determined an applicant’s total need and identified total assistance (all reasonably identifiable financial assistance received by/available to an applicant)?

[84 FR 28836 and 84 FR 28848] |

|  |  |  |
| --- | --- | --- |
| [ ]  | [ ]  | [ ]  |
| **Yes** | **No** | **N/A** |

 |
| 1. Sources of assistance, identified in a. above, that are determined to be non-duplicative were excluded from the DOB calculation and the grantee’s records document the basis for the exclusion?

**NOTE:** Non-duplicative means amounts that are either 1.) provided for a different purpose (e.g., for a rehab activity, insurance proceeds for loss of buildings (such as a detached garage) that grantee’s program does not assist); or 2.) assistance provided for the same purpose but different allowable use (e.g., the purpose is housing rehabilitation, the use of the other assistance was roof replacement and the use of the CDBG–DR assistance is rehabilitation of the interior of the house). [84 FR 28836 and 84 FR 28848] |

|  |  |  |
| --- | --- | --- |
| [ ]  | [ ]  | [ ]  |
| **Yes** | **No** | **N/A** |

 |
| 1. If the applicant had a declined loan, the grantee did not treat declined subsidized loans (e.g., SBA or FEMA subsidized loans) as a duplication of assistance?

[84 FR 28836 and 84 FR 28848] |

|  |  |  |
| --- | --- | --- |
| [ ]  | [ ]  | [ ]  |
| **Yes** | **No** | **N/A** |

 |
| 1. If data available to the grantee show that the applicant received an offer of subsidized loan assistance, but the grantee could not tell from available data that the applicant declined the loan, before excluding the loan as non-duplicative, the grantee obtained a written certification from the applicant that the applicant did not accept the subsidized loan by signing loan documents and did not receive the loan?

[84 FR 28836 and 84 FR 28848] |

|  |  |  |
| --- | --- | --- |
| [ ]  | [ ]  | [ ]  |
| **Yes** | **No** | **N/A** |

 |
| 1. If the applicant had a cancelled subsidized loan that was excluded as non-duplicative, does the applicant’s file include documentation described in either (a) or (b) below?

Documentation to prove a loan amount was cancelled includes: (a) A written communication from the lender confirming that the loan has been cancelled and undisbursed amounts are no longer available to the applicant; or (b) a legally binding agreement between the CDBG–DR grantee (or local government or subrecipient administering the CDBG–DR assistance) and the applicant that indicates that the period of availability of the loan has passed and the applicant agrees not to take actions to reinstate the loan or draw any additional undisbursed loan amounts.[84 FR 28842 and 84 FR 28848] |

|  |  |  |
| --- | --- | --- |
| [ ]  | [ ]  | [ ]  |
| **Yes** | **No** | **N/A** |

 |
| 1. If the applicant had a cancelled SBA loan that was excluded as non-duplicative, the grantee notified the SBA that an applicant had agreed to not take any actions to reinstate the cancelled loan or draw any additional undisbursed loan amounts?

[84 FR 28836 and 84 FR 28848] |

|  |  |  |
| --- | --- | --- |
| [ ]  | [ ]  | [ ]  |
| **Yes** | **No** | **N/A** |

 |
| 1. The grantee subtracted exclusions from total assistance to determine the amount of the DOB?

[84 FR 28836 and 84 FR 28848] |

|  |  |  |
| --- | --- | --- |
| [ ]  | [ ]  | [ ]  |
| **Yes** | **No** | **N/A** |

 |
| 1. If a DOB was found, the grantee subtracted the amount of the DOB from the amount of the total need to determine the maximum amount of the CDBG–DR award (subject to any caps)?

84 FR 28836 and 84 FR 28848] |

|  |  |  |
| --- | --- | --- |
| [ ]  | [ ]  | [ ]  |
| **Yes** | **No** | **N/A** |

 |
| 1. That each applicant has signed a subrogation agreement or similar agreement governing recapture of assistance received from another source after the activity is completed?

[84 FR 28836 and 84 FR 28848] |

|  |  |  |
| --- | --- | --- |
| [ ]  | [ ]  | [ ]  |
| **Yes** | **No** | **N/A** |

 |
| 1. If a DOB occurred after the award of CDBG-DR funds, were funds recaptured in accordance with the subrogation agreement or similar agreement and the grantee’s policies and procedures?

[84 FR 28836 and 84 FR 28848] |

|  |  |  |
| --- | --- | --- |
| [ ]  | [ ]  | [ ]  |
| **Yes** | **No** | **N/A** |

 |
| **Describe Basis for Conclusion:**      |

# **D. REVIEW OF FLOOD ZONE AND FLOODWAY BUYOUTS AND NON-BUYOUT ACQUISITIONS**

(Supplement to Exhibit 6-2)

|  |  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- | --- |
| 1.
 | In accordance with “Buyout” and “Real Property Acquisition” Activities, do the activity files document that the grantee has not assisted properties that, at the time of the disaster or following the disaster, served as second homes?**NOTE:** Second homes are defined under notice 81 FR 39705 with the IRS definition found in IRS Publication 936 (mortgage interest deductions). [81 FR 39687, 81 FR 39704, and 81 FR 39705] |

|  |  |  |
| --- | --- | --- |
| [ ]  | [ ]  | [ ]  |
| **Yes** | **No** | **N/A** |

 |
| **Describe Basis for Conclusion:**      |
|  |

**E. REVIEW OF NEW CONSTRUCTION OF HOUSING** (Supplement to Exhibit 6-3)

|  |  |
| --- | --- |
|  | In accordance with standards for *broadband infrastructure* in housing do the policies and procedures:  |
| 1. Require any new construction of a building with more than four rental units to include installation of broadband infrastructure, unless one of the following exceptions is documented:
 |

|  |  |  |
| --- | --- | --- |
| [ ]  | [ ]  | [ ]  |
| **Yes** | **No** | **N/A** |

 |
| 1. the location of the new construction made installation of broadband infrastructure infeasible?

**OR**1. the cost of installing broadband infrastructure would result in a fundamental alteration in program or activity or cause an undue financial burden?
 |  |
| **Describe Basis for Conclusion:**      |
|  |

|  |  |
| --- | --- |
|  | In regard to standards for *broadband infrastructure* in housing, did the reviewed activities document: |
| 1. That any new construction of a building with more than four rental units includes installation of broadband infrastructure, unless one of the following exceptions is documented:

**NOTE:** If the answer to this question is “no” then the reviewer must make a Finding unless either i. or ii., is a “yes.” 1. the location of the new construction or made installation of broadband infrastructure infeasible?

**OR**1. the cost of installing broadband infrastructure would result in a fundamental alteration in program or activity or cause an undue financial burden?

[81 FR 39687] |

|  |  |  |
| --- | --- | --- |
| [ ]  | [ ]  | [ ]  |
| **Yes** | **No** | **N/A** |

 |
|  | **Describe Basis for Conclusion:**      |

|  |  |
| --- | --- |
|  | Regarding ***activities in a floodplain, flood hazard area or equivalent in FEMA’s data source identified in 24 CFR 55.2(b)(1),*** do the policies and procedures:**NOTE**: If any of the answers below is “no,” the reviewer should consult with its regional HUD Environmental Officer to determine the need for a program review and/or monitoring. |
| 1. Require new housing in an area identified as flood prone for land use or hazard mitigation planning purposes by the State, local, or tribal government or delineated as a Special Flood Hazard Area (or 100-year floodplain) in FEMA’s most current flood advisory maps, to minimize harm to or within the floodplain, in accordance with Executive Order 11988 and 24 CFR part 55?
 |

|  |  |  |
| --- | --- | --- |
| [ ]  | [ ]  | [ ]  |
| **Yes** | **No** | **N/A** |

 |
| 1. Require new housing located in the 1 percent annual (or 100-year) floodplain to be elevated with the lowest floor, including the basement, at least two feet above the 1 percent annual floodplain elevation (except when the standards described in question 18.c. below apply)?
 |

|  |  |  |
| --- | --- | --- |
| [ ]  | [ ]  | [ ]  |
| **Yes** | **No** | **N/A** |

 |
| 1. Require new housing with no dwelling units and no residents below two feet above the 1 percent annual floodplain to be elevated up to at least two feet above the 1 percent annual floodplain or floodproofed, in accordance with FEMA floodproofing standards at 44 CFR 60.3(c)(3)(ii) or its successor standard?
 |

|  |  |  |
| --- | --- | --- |
| [ ]  | [ ]  | [ ]  |
| **Yes** | **No** | **N/A** |

 |
| 1. Require new housing to follow State, local, and tribal codes and standards for floodplain management that exceed the elevation and floodproofing standards in b. and c., including elevation and setbacks, if applicable?
 |

|  |  |  |
| --- | --- | --- |
| [ ]  | [ ]  | [ ]  |
| **Yes** | **No** | **N/A** |

 |
| **Describe Basis for Conclusion:**      |

|  |  |
| --- | --- |
|  | In regard to ***activities in a floodplain, flood hazard area or equivalent in FEMA’s data source identified in 24 CFR 55.2(b)(1)*,** do the activity files document**:****NOTE**: If any of the answers below is “no,” the reviewer should consult with its regional HUD Environmental Officer to determine the need for a program review and/or monitoring. |
| 1. That new housing located in the 1 percent annual (or 100-year) floodplain is elevated with the lowest floor, including the basement, at least two feet above the 1 percent annual floodplain elevation (except when the standards described in question 19.b. below apply)?

[81 FR 39703] |

|  |  |  |
| --- | --- | --- |
| [ ]  | [ ]  | [ ]  |
| **Yes** | **No** | **N/A** |

 |
| 1. That new housing with no dwelling units and no residents below two feet above the 1 percent annual floodplain is elevated up to at least two feet above the 1 percent annual floodplain or floodproofed, in accordance with FEMA floodproofing standards at 44 CFR 60.3(c)(3)(ii) or its successor standard?

[81 FR 39703] |

|  |  |  |
| --- | --- | --- |
| [ ]  | [ ]  | [ ]  |
| **Yes** | **No** | **N/A** |

 |
| 1. That new housing follows State, local, and tribal codes and standards for floodplain management that exceed the elevation and floodproofing standards in questions a. and b., including elevation and setbacks, if applicable?

[81 FR 39703] |

|  |  |  |
| --- | --- | --- |
| [ ]  | [ ]  | [ ]  |
| **Yes** | **No** | **N/A** |

 |
| **Describe Basis for Conclusion:**      |
|  |

**F. REVIEW OF INFRASTRUCTURE** (Supplement to Exhibit 6-4)

|  |  |
| --- | --- |
|  | In accordance with the Appropriations Act, recipients of Federal funds that use such funds to supplement Federal assistance provided under sections 402, 403, 404, 406, 407, or 502 of the Stafford Act may adopt, without review or public comment, any environmental review, approval, or permit performed by a Federal agency, and such adoption shall satisfy the responsibilities of the recipient with respect to such environmental review, approval, or permit that is required by the HCD Act.  |
| 1. If a grantee makes the decision to adopt another agency’s environmental review, has the grantee notified HUD in writing of its decision?

[81 FR 39701] |

|  |  |  |
| --- | --- | --- |
| [ ]  | [ ]  | [ ]  |
| **Yes** | **No** | **N/A** |

 |
| 1. If the grantee has adopted another Federal agency’s environmental review, does the grantee have a copy of the review in its environmental records?

[81 FR 39701] |

|  |  |  |
| --- | --- | --- |
| [ ]  | [ ]  | [ ]  |
| **Yes** | **No** | **N/A** |

 |
| 1. If the grantee has adopted another Federal agency’s environmental review, does the environmental review cover all project activities funded by the HUD recipient?
 |

|  |  |  |
| --- | --- | --- |
| [ ]  | [ ]  | [ ]  |
| **Yes** | **No** | **N/A** |

 |
| **Describe Basis for Conclusion:** |

|  |  |
| --- | --- |
|  | In regard to ***activities in floodplains, flood hazard area or equivalent in FEMA’s data source identified in 24 CFR 55.2(b)(1)****,* do the policies and procedures:**NOTE**: If any of the answers below is “no,” the reviewer should consult with its regional HUD Environmental Officer to determine the need for a program review and/or monitoring. |
| 1. Require activities in an area identified as flood prone for land use or hazard mitigation planning purposes by the State, local, or tribal government or delineated as a Special Flood Hazard Area (or 100-year floodplain) in FEMA’s most current flood advisory maps, to minimize harm to or within the floodplain, in accordance with Executive Order 11988 and 24 CFR part 55?

  |

|  |  |  |
| --- | --- | --- |
| [ ]  | [ ]  | [ ]  |
| **Yes** | **No** | **N/A** |

 |
| 1. Require nonresidential structures that are not Critical Actions (as defined at 24 CFR 55.2(b)(2)) to be elevated or floodproofed in accordance with FEMA floodproofing standards at 44 CFR 60.3(c)(3)(ii) or successor standard, up to at least two feet above the 1 percent annual floodplain?
 |

|  |  |  |
| --- | --- | --- |
| [ ]  | [ ]  | [ ]  |
| **Yes** | **No** | **N/A** |

 |
| 1. Require a structure (i.e. walled or roofed buildings, including mobile homes and gas or liquid storage tanks) or facility in the 0.2 percent annual floodplain (or 500- year floodplain) under a Critical Action (as defined at 24 CFR 55.2(b)(3)) to be elevated or floodproofed (in accordance with the FEMA standards) to the higher of the 0.2 percent annual floodplain elevation or three feet above the 1 percent annual floodplain?

**NOTE**: Critical actions include activities that create, maintain or extend the useful life of structures or facilities that store flammable or toxic materials or vital records, provide utility or emergency services, or are likely to contain occupants who may not be sufficiently mobile to avoid loss of life or injury during hazardous flood scenarios. |

|  |  |  |
| --- | --- | --- |
| [ ]  | [ ]  | [ ]  |
| **Yes** | **No** | **N/A** |

 |
| 1. Require a structure (i.e. walled or roofed buildings, including mobile homes and gas or liquid storage tanks) or facility in the 1 percent annual floodplain under a Critical Action (as defined at 24 CFR 55.2(b)(3)) to be elevated or floodproofed at least three feet above the 1 percent annual floodplain level when the .2 percent annual floodplain or elevation is unavailable and the structure is in the 1 percent annual floodplain?
 |

|  |  |  |
| --- | --- | --- |
| [ ]  | [ ]  | [ ]  |
| **Yes** | **No** | **N/A** |

 |
| 1. Require structures to follow State, local, and tribal codes and standards for floodplain management that exceed the requirements in #a., #b., and #c., including elevation, setbacks, and cumulative substantial damage requirements, if applicable?
 |

|  |  |  |
| --- | --- | --- |
| [ ]  | [ ]  | [ ]  |
| **Yes** | **No** | **N/A** |

 |
|  | **Describe Basis for Conclusion:**      |
|  | In regard to ***activities in floodplains, flood hazard area or equivalent in FEMA’s data source identified in 24 CFR 55.2(b)(1),*** do the activity files document***:*****NOTE**: If any of the answers below is “no,” the reviewer should consult with its regional HUD Environmental Officer to determine the need for a program review and/or monitoring. |
| 1. That nonresidential structures that are not Critical Actions (as defined at 24 CFR 55.2(b)(2)) are elevated or floodproofed in accordance with FEMA floodproofing standards at 44 CFR 60.3(c)(3)(ii) or successor standard, up to at least two feet above the 1 percent annual floodplain?

[81 FR 39706] |

|  |  |  |
| --- | --- | --- |
| [ ]  | [ ]  | [ ]  |
| **Yes** | **No** | **N/A** |

 |
| 1. That a structure (i.e. walled or roofed buildings, including mobile homes and gas or liquid storage tanks) or facility in the 0.2 percent annual floodplain (or 500- year floodplain) under a Critical Action (as defined at 24 CFR 55.2(b)(3)) is elevated or floodproofed (in accordance with the FEMA standards) to the higher of the 0.2 percent annual floodplain elevation or three feet above the 1 percent annual floodplain?

**NOTE**: Critical actions include activities that create, maintain or extend the useful life of structures or facilities that store flammable or toxic materials or vital records, provide utility or emergency services, or are likely to contain occupants who may not be sufficiently mobile to avoid loss of life or injury during hazardous flood scenarios.[81 FR 39706] |

|  |  |  |
| --- | --- | --- |
| [ ]  | [ ]  | [ ]  |
| **Yes** | **No** | **N/A** |

 |
| 1. That a structure (i.e. walled or roofed buildings, including mobile homes and gas or liquid storage tanks) or facility in the 1 percent annual floodplain under a Critical Action (as defined at 24 CFR 55.2(b)(3)) is elevated or floodproofed at least three feet above the 1 percent annual floodplain level when the .2 percent annual floodplain or elevation is unavailable?

[81 FR 39706] |

|  |  |  |
| --- | --- | --- |
| [ ]  | [ ]  | [ ]  |
| **Yes** | **No** | **N/A** |

 |
| 1. That structures follow State, local, and tribal codes and standards for floodplain management requirements that exceed the elevation and floodproofing standards in questions a., b., and c., including elevation, setbacks, and cumulative substantial damage requirements, if applicable?

[81 FR 39706] |

|  |  |  |
| --- | --- | --- |
| [ ]  | [ ]  | [ ]  |
| **Yes** | **No** | **N/A** |

 |
| **Describe Basis for Conclusion:**      |
|  |

**G. REVIEW OF ECONOMIC DEVELOPMENT** (Supplement to Exhibit 6-5)

|  |  |
| --- | --- |
|  | Do the economic development policies and procedures include: |
| 1. Calculating the total working capital assistance by assessing a business’s ability to use its current assets to pay its current liabilities?
 |

|  |  |  |
| --- | --- | --- |
| [ ]  | [ ]  | [ ]  |
| **Yes** | **No** | **N/A** |

 |
| 1. Completing the DOB analysis by identifying all assistance, including all sources of financial assistance available to the applicant to pay a portion of liabilities that will become due?

[See DOB Notice 84 FR 28841 for applicability] |

|  |  |  |
| --- | --- | --- |
| [ ]  | [ ]  | [ ]  |
| **Yes** | **No** | **N/A** |

 |
| **Describe Basis for Conclusion:**      |
|  |

|  |  |  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- | --- | --- |
|  |  | 1. In regard to requirements on *business* *assistance*, as applicable, does the Action Plan or policies and procedures governing the program require that the grantee prioritize assisting businesses that meet the definition of a small business as defined by SBA at 13 CFR part 121 or, for businesses engaged in ‘‘farming operations’’ as defined at 7 CFR 1400.3, and that meet the United States Department of Agriculture Farm Service Agency (FSA) criteria that are described at 7 CFR 1400.500, which are used by the FSA to determine eligibility for certain assistance programs?
 |

|  |  |  |
| --- | --- | --- |
| [ ]  | [ ]  | [ ]  |
| **Yes** | **No** | **N/A** |

 |
| 1. In regard to business assistance, do the reviewed activity files document that the grantee is prioritizing assisting businesses that meet the definition of a small business as defined by SBA at 13 CFR part 121 or, for businesses engaged in ‘‘farming operations’’ as defined at 7 CFR 1400.3, and that meet the United States Department of Agriculture Farm Service Agency (FSA) criteria that are described at 7 CFR 1400.500, which are used by the FSA to determine eligibility for certain assistance programs?

[81 FR 39707] |

|  |  |  |
| --- | --- | --- |
| [ ]  | [ ]  | [ ]  |
| **Yes** | **No** | **N/A** |

 |
| **Describe Basis for Conclusion:**      |

|  |  |
| --- | --- |
|  | In accordance with the Appropriations Act, recipients of Federal funds that use such funds to supplement Federal assistance provided under sections 402, 403, 404, 406, 407, or 502 of the Stafford Act may adopt, without review or public comment, any environmental review, approval, or permit performed by a Federal agency, and such adoption shall satisfy the responsibilities of the recipient with respect to such environmental review, approval, or permit that is required by the HCD Act.  |
| 1. If a grantee makes the decision to adopt another agency’s environmental review, has the grantee notified HUD in writing of its decision?

[81 FR 39701] |

|  |  |  |
| --- | --- | --- |
| [ ]  | [ ]  | [ ]  |
| **Yes** | **No** | **N/A** |

 |
| 1. If the grantee has adopted another Federal agency’s environmental review, does the grantee have a copy of the review in its environmental records?

[81 FR 39701] |

|  |  |  |
| --- | --- | --- |
| [ ]  | [ ]  | [ ]  |
| **Yes** | **No** | **N/A** |

 |
| 1. If the grantee has adopted another Federal agency’s environmental review, does the environmental review cover all project activities funded by the HUD recipient?
 |

|  |  |  |
| --- | --- | --- |
| [ ]  | [ ]  | [ ]  |
| **Yes** | **No** | **N/A** |

 |
| **Describe Basis for Conclusion:** |

|  |  |
| --- | --- |
|  | In regard to ***activities in floodplains, flood hazard area or equivalent in FEMA’s data source identified in 24 CFR 55.2(b)(1),*** do the policies and procedures:**NOTE**: If any of the answers below is “no,” the reviewer should consult with its regional HUD Environmental Officer to determine the need for a program review and/or monitoring. |
| 1. Require activities in an area identified as flood prone for land use or hazard mitigation planning purposes by the State, local, or tribal government or delineated as a Special Flood Hazard Area (or 100-year floodplain) in FEMA’s most current flood advisory maps, to minimize harm to or within the floodplain, in accordance with Executive Order 11988 and 24 CFR part 55?
 |

|  |  |  |
| --- | --- | --- |
| [ ]  | [ ]  | [ ]  |
| **Yes** | **No** | **N/A** |

 |
| 1. Require all non-residential structures that are not Critical Actions (as defined at 24 CFR 55.2(b)(2)) to be elevated or floodproofed in accordance with FEMA floodproofing standards at 44 CFR 60.3(c)(3)(ii) or successor standard, up to at least two feet above the 1 percent annual floodplain?
 |

|  |  |  |
| --- | --- | --- |
| [ ]  | [ ]  | [ ]  |
| **Yes** | **No** | **N/A** |

 |
| 1. Require a structure (i.e. walled or roofed buildings, including mobile homes and gas or liquid storage tanks) or facility in the 0.2 percent annual floodplain (or 500- year floodplain) under a Critical Action (as defined at 24 CFR 55.2(b)(3)) to be elevated or floodproofed (in accordance with the FEMA standards) to the higher of the 0.2 percent annual floodplain elevation or three feet above the 1 percent annual floodplain?

**NOTE**: Critical actions include activities that create, maintain or extend the useful life of structures or facilities that store flammable or toxic materials or vital records, provide utility or emergency services, or are likely to contain occupants who may not be sufficiently mobile to avoid loss of life or injury during hazardous flood scenarios. |

|  |  |  |
| --- | --- | --- |
| [ ]  | [ ]  | [ ]  |
| **Yes** | **No** | **N/A** |

 |
| 1. Require a structure (i.e. walled or roofed buildings, including mobile homes and gas or liquid storage tanks) or facility in the 1 percent annual floodplain under a Critical Action (as defined at 24 CFR 55.2(b)(3)) to be elevated or floodproofed at least three feet above the 1 percent annual floodplain level when the .2 percent annual floodplain or elevation is unavailable?
 |

|  |  |  |
| --- | --- | --- |
| [ ]  | [ ]  | [ ]  |
| **Yes** | **No** | **N/A** |

 |
| 1. Require structures to follow State, local, and tribal codes and standards for floodplain management that exceed the requirements in a., b., and c., including elevation, setbacks, and cumulative substantial damage requirements, if applicable?
 |

|  |  |  |
| --- | --- | --- |
| [ ]  | [ ]  | [ ]  |
| **Yes** | **No** | **N/A** |

 |
| **Describe Basis for Conclusion:**      |
|  |

|  |  |
| --- | --- |
|  | In regard to ***activities in floodplains, flood hazard area or equivalent in FEMA’s data source identified in 24 CFR 55.2(b)(1)***, do the activity files document:**NOTE**: If any of the answers below is “no,” the reviewer should consult with its regional HUD Environmental Officer to determine the need for a program review and/or monitoring. |
| 1. That all non-residential structures that are not Critical Actions (as defined at 24 CFR 55.2(b)(2)) to be elevated or floodproofed in accordance with FEMA floodproofing standards at 44 CFR 60.3(c)(3)(ii) or successor standard, up to at least two feet above the 1 percent annual floodplain?

[81 FR 39706] |

|  |  |  |
| --- | --- | --- |
| [ ]  | [ ]  | [ ]  |
| **Yes** | **No** | **N/A** |

 |
| 1. That a structure (i.e. walled or roofed buildings, including mobile homes and gas or liquid storage tanks) or facility in the 0.2 percent annual floodplain (or 500- year floodplain) under a Critical Action (as defined at 24 CFR 55.2(b)(3)) to be elevated or floodproofed (in accordance with the FEMA standards) to the higher of the 0.2 percent annual floodplain elevation or three feet above the 1 percent annual floodplain?

**NOTE**: Critical actions include activities that create, maintain or extend the useful life of structures or facilities that store flammable or toxic materials or vital records, provide utility or emergency services, or are likely to contain occupants who may not be sufficiently mobile to avoid loss of life or injury during hazardous flood scenarios.[81 FR 39706] |

|  |  |  |
| --- | --- | --- |
| [ ]  | [ ]  | [ ]  |
| **Yes** | **No** | **N/A** |

 |
| 1. That a structure (i.e. walled or roofed buildings, including mobile homes and gas or liquid storage tanks) or facility in the 1 percent annual floodplain under a Critical Action (as defined at 24 CFR 55.2(b)(3)) to be elevated or floodproofed at least three feet above the 1 percent annual floodplain level when the .2 percent annual floodplain or elevation is unavailable and the structure is in the 1 percent annual floodplain?

[81 FR 39706] |

|  |  |  |
| --- | --- | --- |
| [ ]  | [ ]  | [ ]  |
| **Yes** | **No** | **N/A** |

 |
| 1. That structures follow State, local, and tribal codes and standards for floodplain management requirements that exceed the elevation and floodproofing standards in questions a., b., c.., including elevation, setbacks, and cumulative substantial damage requirements, if applicable?

[81 FR 39706] |

|  |  |  |
| --- | --- | --- |
| [ ]  | [ ]  | [ ]  |
| **Yes** | **No** | **N/A** |

 |
| **Describe Basis for Conclusion:**      |
|  |

**H. REVIEW OF HOUSING REHABILITATION AND RECONSTRUCTION**

(Supplement to Exhibit 6-6)

|  |  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- | --- |
| 1.
 | In accordance with “Buyout” and “Real Property Acquisition” Activities*,* do the activity files reviewed document that the grantee has not funded properties that, at the time of the disaster or following the disaster, served as second homes? **NOTE:** Second homes are defined under this notice with the IRS definition found in IRS Publication 936 (mortgage interest deductions). [81 FR 39687, 81 FR 39704, and 81 FR 39705]  |

|  |  |  |
| --- | --- | --- |
| [ ]  | [ ]  | [ ]  |
| **Yes** | **No** | **N/A** |

 |
| **Describe Basis for Conclusion:**      |

|  |  |
| --- | --- |
|  | In accordance with standards for *broadband infrastructure* in housing do the policies and procedures:  |
| 1. Require any substantial rehabilitation of a building with more than four rental units to include installation of broadband infrastructure, unless one of the following exceptions is documented:
 |

|  |  |  |
| --- | --- | --- |
| [ ]  | [ ]  | [ ]  |
| **Yes** | **No** | **N/A** |

 |
| 1. the location of the substantial rehabilitation made installation of broadband infrastructure infeasible?

**OR**1. the cost of installing broadband infrastructure would result in a fundamental alteration in program or activity or cause an undue financial burden?

**OR**1. the structure of the housing to be substantially rehabilitated makes installation of broadband infeasible due to the structure being substantial rehabilitated?
 |  |
| **Describe Basis for Conclusion:**      |
|  |

|  |  |
| --- | --- |
|  | In regard to standards for *broadband infrastructure* in housing, did the reviewed activities document: |
| 1. That any substantial rehabilitation of a building with more than four rental units includes installation of broadband infrastructure, unless one of the following exceptions is documented:

**NOTE:** If the answer to this question is “no” then the reviewer must make a Finding unless either i,ii, or iii is a “yes.” 1. the location of the substantial rehabilitation made installation of broadband infrastructure infeasible?

**OR**1. the cost of installing broadband infrastructure would result in a fundamental alteration in program or activity or cause an undue financial burden?

**OR**1. the structure of the housing to be substantially rehabilitated makes installation of broadband infeasible due to the structure being substantial rehabilitated?

[81 FR 39687] |

|  |  |  |
| --- | --- | --- |
| [ ]  | [ ]  | [ ]  |
| **Yes** | **No** | **N/A** |

 |
|  | **Describe Basis for Conclusion:**      |

|  |  |
| --- | --- |
|  | In accordance with the Appropriations Act, recipients of Federal funds that use such funds to supplement Federal assistance provided under sections 402, 403, 404, 406, 407, or 502 of the Stafford Act may adopt, without review or public comment, any environmental review, approval, or permit performed by a Federal agency, and such adoption shall satisfy the responsibilities of the recipient with respect to such environmental review, approval, or permit that is required by the HCD Act.  |
| 1. If a grantee makes the decision to adopt another agency’s environmental review, has the grantee notified HUD in writing of its decision?

[81 FR 39701] |

|  |  |  |
| --- | --- | --- |
| [ ]  | [ ]  | [ ]  |
| **Yes** | **No** | **N/A** |

 |
| 1. If the grantee has adopted another Federal agency’s environmental review, does the grantee have a copy of the review in its environmental records?

[81 FR 39701] |

|  |  |  |
| --- | --- | --- |
| [ ]  | [ ]  | [ ]  |
| **Yes** | **No** | **N/A** |

 |
| 1. If the grantee has adopted another Federal agency’s environmental review, does the environmental review cover all project activities funded by the HUD recipient?
 |

|  |  |  |
| --- | --- | --- |
| [ ]  | [ ]  | [ ]  |
| **Yes** | **No** | **N/A** |

 |
| **Describe Basis for Conclusion:**      |

|  |  |
| --- | --- |
|  | In regard to ***activities in floodplains, flood hazard area or equivalent in FEMA’s data source identified in 24 CFR 55.2(b)(1),*** do the policies and procedures**NOTE**: If any of the answers below is “no,” the reviewer should consult with its regional HUD Environmental Officer to determine the need for a program review and/or monitoring. |
| 1. Require activities in an area identified as flood prone for land use or hazard mitigation planning purposes by the State, local, or tribal government or delineated as a Special Flood Hazard Area (or 100-year floodplain) in FEMA’s most current flood advisory maps, to minimize harm to or within the floodplain, in accordance with Executive Order 11988 and 24 CFR part 55?
 |

|  |  |  |
| --- | --- | --- |
| [ ]  | [ ]  | [ ]  |
| **Yes** | **No** | **N/A** |

 |
| 1. Require housing receiving assistance for repair of substantial damage, or substantial improvement (as defined at 24 CFR 55.2(b)(10)) located in the 1 percent annual (or 100-year) floodplain to be elevated with the lowest floor, including the basement, at least two feet above the 1 percent annual floodplain elevation (except as provided in question c. below)?
 |

|  |  |  |
| --- | --- | --- |
| [ ]  | [ ]  | [ ]  |
| **Yes** | **No** | **N/A** |

 |
| 1. Require housing receiving assistance for repair of substantial damage, or substantial improvement (as defined at 24 CFR 55.2(b)(10)) with no dwelling units and no residents below two feet above the 1 percent annual floodplain to be elevated up to at least two feet above the 1 percent annual floodplain or floodproofed, in accordance with FEMA floodproofing standards at 44 CFR 60.3(c)(3)(ii) or its successor standard?
 |

|  |  |  |
| --- | --- | --- |
| [ ]  | [ ]  | [ ]  |
| **Yes** | **No** | **N/A** |

 |
| 1. Require housing receiving assistance for repair of substantial damage, or substantial improvement (as defined at 24 CFR 55.2(b)(10)) to follow State, local, and tribal codes and standards for floodplain management that exceed the elevation and floodproofing standards in a. and b., including elevation, setbacks, and cumulative substantial damage requirements, if applicable?
 |

|  |  |  |
| --- | --- | --- |
| [ ]  | [ ]  | [ ]  |
| **Yes** | **No** | **N/A** |

 |
| **Describe Basis for Conclusion:**      |

|  |  |
| --- | --- |
|  | In regard to ***activities in floodplains, flood hazard area or equivalent in FEMA’s data source identified in 24 CFR 55.2(b)(1),*** do the activity files document***:*****NOTE**: If any of the answers below is “no,” the reviewer should consult with its regional HUD Environmental Officer to determine the need for a program review and/or monitoring. |
| 1. That housing receiving assistance for repair of substantial damage, or substantial improvement (as defined at 24 CFR 55.2(b)(10)) located in the 1 percent annual (or 100-year) floodplain is elevated with the lowest floor, including the basement, at least two feet above the 1 percent annual floodplain elevation (except as provided in the question b. below)?

[81 FR 39703] |

|  |  |  |
| --- | --- | --- |
| [ ]  | [ ]  | [ ]  |
| **Yes** | **No** | **N/A** |

 |
| 1. That housing receiving assistance for repair of substantial damage, or substantial improvement (as defined at 24 CFR 55.2(b)(10)) with no dwelling units and no residents below two feet above the 1 percent annual floodplain is elevated up to at least two feet above the 1 percent annual floodplain or floodproofed, in accordance with FEMA floodproofing standards at 44 CFR 60.3(c)(3)(ii) or its successor standard?

[81 FR 39703] |

|  |  |  |
| --- | --- | --- |
| [ ]  | [ ]  | [ ]  |
| **Yes** | **No** | **N/A** |

 |
| 1. That housing receiving assistance for repair of substantial damage, or substantial improvement (as defined at 24 CFR 55.2(b)(10)) follows State, local, and tribal codes and standards for floodplain management that exceed the elevation and floodproofing standards in questions a. and/or b., including elevation, setbacks, and cumulative substantial damage requirements, if applicable?

[81 FR 39703] |

|  |  |  |
| --- | --- | --- |
| [ ]  | [ ]  | [ ]  |
| **Yes** | **No** | **N/A** |

 |
| **Describe Basis for Conclusion:**      |

**I. REVIEW OF WRITTEN AGREEMENTS** (Supplement to Exhibit 6-7)

No supplemental questions to Exhibit 6-7

**J. REVIEW OF PROCUREMENT** (Supplement to Exhibit 6-8)

No supplemental questions to Exhibit 6-8

**K. REVIEW OF FINANCIAL MANAGEMENT** (Supplement to Exhibit 34-1 and 34-2)

Supplemental questions to Exhibit 34-1 and 34-2 for disaster recovery can be found in Exhibit 34-1a and Exhibit 34-2a.