**Entrance Conference Agenda**

**Entrance Conference:** State of Nebraska Department of Economic Development (DED)

In response to Winter Storm Ulmer (DR-4420) DED supports the development and program implementation of infrastructure, housing, and planning programs through the use of the United States Department of Housing and Urban Development (HUD) Community Development Block Grant – Disaster Recovery (CDBG-DR) grant funds.

The purpose of this monitoring visit is to analyze, discuss, and understand the Subrecipient or Successful Applicants capacity and progress in administering a CDBG-DR program.

Introductions

***Provide information regarding the DED employees who will be conducting the review, the purpose of the review, details on the review process, and what the expected result and next steps will be.***

Review Scope and Objectvies

In an effort to ensure compliance with the processes outlined in ***Chapter 16 of the CDBG-DR Manual*** DED conducts desktop and on-site monitoring reviews to identify issues and concerns related to program development and implementation. The objectives of the review conducted on (Month) (Date), (Year) include:

* *Monitoring Review Objective One*
* *Monitoring Review Objective Two*
* *Monitoring Review Objective Three*
* *Monitoring Review Objective Four*
* *Monitoring Review Objective Five*
* *Monitoring Review Objective Six*

Levels of Reporting

**Findings:** A finding is reported when there is evidence that a statute, regulation, or requirement has been violated. If compliance is not possible, monetary or administrative sanctions may be imposed upon the Program Implementation Contractor, Subrecipient, Successful Applicant, or a combination thereof.

Findings are deficiencies in CDBG-DR performance for which there is clear noncompliance with a statutory, regulatory, or CDBG-DR-specific requirements. Findings identified during monitoring must be addressed with an appropriate course of action, known as a corrective action plan.

**Concerns:** Concerns are identified issues but do not involve a specific statute, regulation or requirement, such as a management issue. Concerns may be more broadly described than a finding and not specifically cite a requirement. Concerns may reference a deficient process and not a deficient item. Subrecipients and Successful Applicants must address the concerns with details of remedy actions. DED may also provide recommendations and has the right to approve or reject the action.

**Corrective Action:** Findings or concerns identified in a Monitoring Report (MR) must be addressed with a corrective action as described in the MR. DED allows the Subrecipient or Successful Applicant thirty (30) calendar days to respond with a written corrective action to a finding(s) and/or concern(s) as described in the MR. The corrective action should not only correct the immediate problem but also create future controls that prevent the situation from recurring.

**Sanction:** If a finding remains uncorrected, one or more sanctions may be imposed. The severity of the sanction(s) is governed by the type and seriousness of deficiency including violation of the SRA or funding agreement and DED policies and procedures.

**Appeals:** As further detailed on the CDBG-DR website, if a Subrecipient or Successful Applicant disagrees with a finding, the fact specific requirement of the finding, or the accompanying corrective actions or sanction(s) – that appears in the MR – that follow, therefrom, the Subrecipient or Successful Applicant may appeal the disputed decision by completing the appeals form on the website no later than twenty (20) calendar days from the date of issuance of the MR unless the 20th calendar day falls on a weekend or State or Federal holiday, in which case, Subrecipient’s or Successful Applicant’s request for appeal is due by 5pm CST the next business day.

Auditor Contacts

| Name | **Email** | **Phone** |
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Initial Request for Information

As detailed in the ***Monitoring Notification Letter*** DED is in need of the following documents to support the successful completion of a monitoring review and the CDBG-DR program record.

* *Requested Document One*
* *Requested Document Two*
* *Requested Document Three*
* *Requested Document Four*
* *Requested Document Five*

Office and Administraive Requirements

As the lead agency for implementing the State of Nebraska’s CDBG-DR Program, DED leads all monitoring efforts. Specifically, DED is responsible for all monitoring and compliance activities by Program Implementation Contractors, Subrecipients, and Successful Applicants to the CDBG-DR program.

Using documents and reports submitted by its Program Implementation Contractors, Subrecipients, and Successful Applicants, DED inspects and monitors grant activities to determine compliance with Federal and State laws, regulations, rules, and guidelines relative to use of the CDBG-DR grant funds for administrative, financial, and programmatic operations, as well as to ensure that they achieve performance objectives on time and within budget.

Monitoring Review Reporting Process

As indicated in ***Chapter 16 of the CDBG-DR Manual*** the monitoring process follows the monitoring schedule for DED’s monitoring of its Subrecipients and Successful Applicants. This routine represents the key method of oversight which DED directs toward those Subrecipients and Successful Applicants charged with implementing all or parts of its CDBG-DR projects and programs to ensure compliance.

The priority of reviews are based upon the results of the most recent Annual Risk Assessment—those Subrecipients and Successful Applicants identified as having the highest relative risk are considered priority.

Reviews are grouped by Subrecipient and Successful Applicant to minimize the number of visits throughout the year. Additional reviews of projects and/or programs requiring follow-up review and/or outstanding corrective actions identified in prior reviews generally take precedence over those that do not have outstanding issues to be addressed. Any individual risks imposed by a particular project or program are also taken into account when scheduling additional reviews or determining review frequency overall.

The monitoring review will be executed as detailed in the ***CDBG-DR Manual*** and will conducted in the three following stages:

* Monitoring Notification Letter
* Desktop or On-Site Monitoring
* Monitoring Report Letter

Questions

*The monitor should note any additional questions to be discussed as part of the monitoring review.*