

## **WILLIAMSON COUNTY ENTITLEMENT PROGRAM**

### **MONITORING STANDARDS & PROCEDURES FISCAL YEAR 2008-2009**

For all activities funded with HUD CDBG allocations received by Williamson County, and awarded to sub-recipients for project activity implementation, prior to project implementation and expenditure of funds, execution of a contractual agreement will be required. The contract document will provide the basis for all expenditures and monitoring of project production and compliance.

In addition to delineating the basic standards and regulations in effect for the particular funding sources, the contract will set forth responsibilities and procedures for each party, establish performance measures and specify monitoring review schedules to ensure that the project is implemented and completed in a timely and cost effective manner in accordance with all applicable statutory and regulatory requirements. Williamson County Grants Coordinator along with the County Attorney will develop and provide support to develop and make available standard contract documents and monitoring plans which will contain, at a minimum, the following elements:

#### ***Contract Description***

This section will contain the narrative descriptions of the project, federal and local regulatory and policy standards, this includes financial obligations of both parties, restrictions on the use of funds, procedures and requirements for receiving payments (invoices/billing), reporting and appropriate certifications if required. See CDBG Disbursement Procedures.

#### ***Contract Exhibits/Monitoring Elements***

##### **1. Identification of Program Objectives**

The Williamson County Grants Coordinator will provide guidance and technical assistance to the sub-recipient to fully identify the specific activity proposed for implementation. He/She will facilitate the County process to determine if the activity is consistent with the Five-Year Consolidated Plan identified priorities and the funding source being requested. In addition the, staff will evaluate the eligibility of the activity and the development/management experience of the sub-recipient in the type of activity being proposed, as well as the accomplishments/completion track record to determine if the sub-recipient has fully demonstrated the capacity to successfully implement and complete the proposed activity.

Evaluation of program objectives will also take into consideration:

- . Cost per unit of the proposed activity in comparison to similar projects;
- . Commitment and actual availability of non-federal resources to leverage County grant funds;
- . The impact on the low/mod population served by the activity; and
- . The type of activity.

## **2. Quality Controls**

Project Performance Measures and quality control measures will be required. In addition, the performance measures will outline standards, identify deadlines, list corrective measures if deadlines are not met, and for housing projects, set the minimum number of lower income households to be assisted, establish sale schedules and copies of sale agreements as an attachment to the contract.

Quality controls, at a minimum, the County will require that all rehabilitation and new construction activities include:

All rehabilitation work will be in compliance with the Southern Building Code and the rehabilitated house will at a minimum meet Housing Quality Standards (HQS) when completed. New construction work shall be in compliance with Building Codes, inspected at appropriate standard intervals and designed to maintain the property in a safe, sanitary and decent manner. All contractors performing project work will be licensed where applicable and evidence appropriate insurance coverage in accordance with the Federal Compliance Manual and Rehabilitation Manual.

Plans and specifications must be reviewed and approved by the appropriate County offices and permitting officials prior to contract bid procedures. Once approved, modifications or change orders will not be permitted without written permission from Williamson County Commissioners Court. Pre-bid conferences will be conducted with interested bidders to explain the project, delineate requirements (e.g. Federal Compliance Manual Forms, Davis- Bacon and Section 3) and answer questions.

Prior to initiating construction work, a pre-construction conference with the selected contractor is required to explain County requirements concerning contractor courtesy and interaction with occupants or neighbors of the project, required quality of work, County required forms and reports, payment schedule and inspection policies and procedures.

County project monitors, project architect/engineer, inspectors from permitting agencies will visit the project, without prior notice to the contractor, owner, at frequent intervals and at various hours. These visits will include inspection of ongoing structural work, interior review and visits with homeowners in housing rehabilitation projects.

The County and project architect/engineer will require inspection of any portion of the construction prior to covering or recovering the area, including plumbing, electrical, foundation and other structural components of the project. Contractor must provide the County, architect/engineer or inspecting agencies with reasonable notice of the need for inspection services in order not to delay the construction process.

### **3. Monitoring Activities**

The monitoring reports and schedule will be included as part of the contract. Many of the reporting requirements will be standard and consist of the following: By the fifth calendar day of each month, the sub-recipient shall submit a narrative description outlining specific progress/accomplishments for each applicable performance indicator achieved during the preceding month. In addition any problems surfacing must be brought to the County's attention and mitigating measures taken to ensure compliance with established project deadlines. Data indicating household characteristics and income for all direct beneficiaries of the project must be submitted on a monthly basis.

Following completion of housing projects, the data indicating household characteristics and income data must be submitted for all units in the project. The required percentage of units stipulated in the contract must be occupied by eligible low-income households for required amount of time stipulated in the contract.

Subrecipients or Contractors must forward MBE/WBE data on a monthly basis, Davis-Bacon (if applicable) on a weekly basis, and provide quarterly reporting in accordance with a schedule developed at project start.

Property will be inspected by County staff, on an annual basis, for not less than the period specified in the contract, to ensure that the property is utilized for the purposes stated in the contract. If found to be in noncompliance with the contract, the sub-recipient will be provided with a reasonable time period to correct the violation(s) and comply with the contract. Continued non-compliance will result in the total amount of the County's grant funding to become immediately due and payable.

### **4. Monitoring Schedules**

Effective monitoring requires on-going communication between the sub-recipient and County to assess progress towards meeting the objectives and performance indicators. County staff will actively monitor the sub-recipients progress towards program completion and in meeting all policy, regulatory and statutory requirements. Appropriate monitoring schedules will be established for each project and will be conducted on a regular periodic basis.

The monitoring schedule will be delineated in the contract/agreement. Effective monitoring will require personal on-site observations by County project monitors to observe performance in order to facilitate communication and cooperation throughout the contract/agreement compliance term; reinforcement of positive activity to achieve performance measures; and timely guidance and technical assistance to determine and initiate effective measures to mitigate occurrences of non-compliance.