



Department of Commerce

Innovation is in our nature.

Grantee Closeout Performance Report for Community Development Block Grant Contract No.: 11-64100-035

1. Grantee Jurisdiction: <i>Kittitas County (subrecipient: Kittitas County Water District #6)</i>	2. Current Address: <i>Kittitas County: 205 West 5th Ave., Suite 108 Ellensburg, WA 98926</i>
2. Name and Title of Chief Administrative Official: <i>Paul Jewell, Chairman Board of County Commissioners</i>	
4. Project Period: 6/13/11 – 10/31/14	5. Insert date of Final Public Hearing: October 7, 2014

The chief administrative official of the grantee jurisdiction certifies that:

1. To the best of his/her knowledge and belief, the data provided in this report is true and correct as of the date of signing below.
2. Records supporting the information provided in this report are being maintained and will be made available upon request.
3. Assistance made available through the state CDBG Program has not been used to substantially reduce the amount of local financial support for the community development activities below the level of such support prior to the start of the CDBG assisted activities reported here.

In the event the audits disclose disallowable costs, the Washington State Department of Commerce shall retain the right to recover an appropriate amount after fully considering the recommendations on disallowed costs resulting from the final audit.

Signature:

Paul Jewell, Chairman Board of County Commissioners

Date:

October 7, 2014

CDBG Grantee Closeout Performance Report**TABLE OF CONTENTS**

Cover Page and Certifications.....	1
General Instructions and table of contents.....	2
Financial Summary Reporting.....	3
Program Income Reporting.....	3
Benefit Summary Page.....	5
Benefit Summary Page Instructions.....	6
HUD Contract and Subcontract Activity Form (for Entire Project).....	7
HUD Contract and Subcontract Activity Form Instructions.....	8
Final Labor Standards Compliance Report.....	9

INSTRUCTIONS

The Grantee Closeout Performance Report is designed to provide a format for grantees to document project completion in compliance with federal Department of Housing and Urban Development (HUD) funding requirements regarding national objective, citizen participation, and certify that the project was completed in compliance with the grant contract.

It is recommended that you obtain a copy of this report electronically from Contracts Administration Unit (CAU) Project Manager. This report is also available electronically at www.commerce.wa.gov/cdbg.

1. Items 1 through 3 on the cover page are self explanatory.
2. Item 4: Please put the time frame of your project. The start date is usually on the cover page of your contract. If no start date is listed on the contract cover sheet, please use the date of the latest signature on the cover sheet for the start date. The end date is listed on your contract cover sheet also, or on the most recent amendment. If your project was completed prior to this end date, please put the date the project was completed.
3. Item 5: Please **insert the date** of the required **final public hearing** to review the CDBG-funded project with your jurisdiction's citizens.
4. Signature Block: This is the signature of the grantee's chief administrative official or designee.

Financial Summary, page 3: Please insert the data requested. If you are uncertain what data to include, please contact your project manager.

Program Income Report, page 4: Please choose one answer - Yes or No. The information provided here is also in section 4 of the CDBG Management Handbook. Most projects will not have program income. Please contact your project manager if you have questions.

Benefit Summary, page 5: The data on the beneficiaries has its own instructions. Please contact your project manager if you have questions.

Contract and Subcontract Activity Report, page 8. Provide the totals spent for the CDBG contract only. This form has its own instructions. Please contact your project manager if you have questions.

Semi-Annual Labor Standards Compliance Report, page 9: This form must be completed and **SIGNED** for construction projects. Complete this report for the entire project. This report is not necessary for non-construction projects such as planning, public services, housing rehabilitation, and non-construction job creation/retention grants. Please contact your project manager if you have questions.

CDBG Grantee Closeout Performance Report

FINANCIAL SUMMARY PAGE

1 Activity and Budget Line Number (This can be found on the attachment I of your contract and on the Contract Data Sheet sent to the Grantee with the fully executed contract.)	2 Brief Project Description and Physical Address of the Activity	3 Status of Activity (Complete or Incomplete)	4 Completion Date	5 Budget Amount	6 Funds Expended	7 Balance
2011-0046-6463-03J	Upgrade the Vantage wastewater treatment plant with Kittitas County Water District #6.	Complete	08/29/2014	\$604,546.00	\$598,520.19	\$6,025.81
2011-046-6464-21A	Upgrade the Vantage wastewater treatment plant with Kittitas County Water District #6.	Complete	08/29/2014	\$12,500.00	\$6,426.94	\$6,073.06
TOTAL				\$617,046	\$604,947.13	\$12,098.87

Please contact your project manager if you have questions.

<p>WILL THIS PROJECT GENERATE PROGRAM INCOME (please circle only one - yes or no). If you circled "Yes," you will be contacted in the future for more information on program income generated. Please see next page for general information on Program Income.</p>	Yes	<input type="checkbox"/> No
--	-----	-----------------------------

PROGRAM INCOME: Program income is defined as the gross income received by a CDBG grantee or subrecipient that was generated from the use of CDBG funds and that equals or exceeds \$25,000 in a single calendar year. When income is generated by an activity that is only partially assisted with CDBG funds, the income shall be prorated to reflect the percentage of CDBG funds used. Requirements for managing program income can be found in Attachment 4-F of the CDBG Management Handbook (24 CFR Part 570.489 (e)).

Program Income Includes:

Proceeds from the disposition by sale or long-term lease of real property purchased or improved with CDBG funds; Proceeds from the disposition of equipment purchased with CDBG funds; Gross income from the use or rental of real or personal property acquired by a grantee or a subrecipient with CDBG funds, less the costs incidental to the generation of the income; Gross income from the use or rental of real property owned by the grantee that was constructed or improved with CDBG funds, less the costs incidental to the generation of the income; Payments of principal and interest on loans made using CDBG funds; Proceeds from the sale of loans made with CDBG funds; Proceeds from the sale of obligations secured by loans made with CDBG funds; Interest earned on funds held in a revolving funds account; Interest earned on program income pending disposition of the income; Funds collected through special assessments made against properties owned and occupied by households not of low-income, where the special assessments are used to recover all or part of the CDBG portion of a public improvement; and Gross income paid to a grantee or subrecipient from the ownership interest in a for-profit entity acquired in return for the provision of CDBG assistance.

Using Program Income and Record Keeping Requirements

Grantees may retain program income during the project period provided it is accounted for and used before requesting additional CDBG funds. Program income that is received and retained by the grantee before closeout of the grant is treated as additional CDBG funds, must be used on the existing project, and is subject to all applicable requirements.

Grantee may retain and use program income after the project period and closeout. Income earned after closeout is considered “program income” with accompanying requirements and restrictions, if the total amount earned equals or exceeds \$35,000 in a single year (January – December). If the total amount of post-closeout income earned is less than \$35,000 in a single year, then the CDBG requirements do not need to apply.

Less than \$35,000: If a jurisdiction expects to earn less than \$35,000 and use this income for non-CDBG eligible uses, the jurisdiction must wait until the end of the year to verify with the CDBG program that this \$35,000 threshold was not exceeded. Once this is determined, these funds can be used without CDBG restrictions. In general, it is recommended that any income earned (whether above or below \$35,000), be used to continue the CDBG-funded activity, such as a revolving loan fund.

\$35,000 or more: If the total amount of program income equals or exceeds \$35,000 in a single year, the amount and intended use of this program income must be reported to the CDBG program. The income must be used to continue the CDBG-funded activity, such as a revolving loan fund, or fund a CDBG-eligible activity.

CDBG Grantee Closeout Report

BENEFICIARY SUMMARY PAGE

Grantee: Kittitas County Date: Aug 29, 2014

Name of Person completing this data: Judy Pless Phone: 509-962-7502

Line Item			
Activity Number			

1. Total Persons Served	82		
of total persons served how many received (should add up to total persons served)			
New Access to Services	NA		
Improved Access to Services	82		

Ethnic Breakdown

Hispanic	0		
Non-Hispanic	82		
2. Total by Ethnicity	82		

Racial Breakdown

White	79		
Black / African American			
Asian			
American Indian / Alaskan Native			
Asian and White			
Black / African American and White			
American Indian / Alaskan Native and Black / African American			
Other Multi-Racial	3		
3. Total by Race	82		

Low-Moderate Income Breakdown

Extremely Low Income (0-30% AMI)			
Very Low Income (31-50% AMI)			
Low Income (51-80 AMI)	49		
Sub-Total LMI Served	49		
Non-LMI (81 AMI and above)	33		
4. Total Served by Income	82		

Note: Totals for Lines 1, 2, 3 and 4 should match each other.

BENEFIT SUMMARY PAGE INSTRUCTIONS: The Department of Housing and Urban Development (HUD) requires this information for your project.

Beneficiary Information: If your project has a mixed national objective, a beneficiary table will be required for each national objective. The national objective can be found on the Contract Data Sheet sent to the Grantee with the fully executed contract. If you need assistance, please contact your project manager.

The totals for section 1, 2, 3 and 4 should all be the same number.

Section 1 Total Persons Served (Households Served)

Total Person's Served – Enter the total number of beneficiaries for this project. **IF** the national objective for your project is low- and moderate-income households (LMH), you will need to report Households served instead of people served. This information is listed on the Contract Data Form that was sent to you with your signed contract. Please call your project manager if you have questions.

Section 2 Beneficiaries by Ethnicity
Ethnic Makeup

Hispanic or Non-Hispanic – Everyone should be counted as belonging to one of these two groups and everyone should be counted only once.

Please note – Hispanic persons may include people from Puerto Rico, the other Caribbean islands, Mexico, Central and South America and other locations that share a cultural heritage linked to the Spanish language. There are many different ethnic groups but Hispanic is the only ethnic group being tracked at this time.

Section 3 Beneficiaries by Race
Racial Makeup Information

A person of Hispanic ethnicity can be considered as being from any of the racial categories.

Race is separate from ethnic makeup and everyone should be counted once in a Single Race OR a Multi-Race group.

Low-Moderate Income Information

At a minimum, enter the total number of low-moderate income beneficiaries at the bottom of section four. If you have detailed income data for beneficiaries please, provide that detail by the income category listed.

CONTRACT AND SUBCONTRACT ACTIVITY

U.S. Department of Housing and Urban Development

OMB Approval No.: 2535-0117 (exp. 1/31/2013)

Public Reporting Burden for this collection of information is estimated to average .50 hours per response, including the time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. This information is voluntary, HUD may not collect this information, and you are not required to complete this form, unless it displays a currently valid OMB Control Number.

Executive Order 12421 dated July 14, 1983, directs the Minority Business Development Plans shall be developed by each Federal Agency and that these annual plans shall establish minority business development objectives. The information is used by HUD to monitor and evaluate MBE activities against the total program activity and the designated minority business enterprise (MBE) goals. The Department requires the information to provide guidance and oversight for programs for the development of minority business enterprise concerning Minority Business Development. If the information is not collected HUD would not be able to establish meaningful MBE goals nor evaluate MBE performance against these goals. While no assurances of confidentiality is pledged to respondents, HUD generally discloses this data only in response to a Freedom of Information request.

Privacy Act Notice - The United States Department of Housing and Urban Development, Federal Housing Administration, is authorized to solicit the information requested in this form by virtue of Title 12, United States Code, Section 1701 et seq., and regulations promulgated thereunder at Title 12, Code of Federal Regulations. It will not be disclosed or released outside the United States Department of Housing and Urban Development without your consent, except as required or permitted by law.

1. Grantee/Project Owner/Developer/Sponsor/Builder/Agency
 Kittitas County

2. Location (City, State, ZIP Code)
 Ellensburg, WA 98926

Check if: PHA IHA

3a. Name of Contact Person
 Judy Pless

3b. Phone Number (Including Area Code)
 509-962-7502

4. Reporting Period
 June 2011 - August 2014

5. Program Code (Not applicable for CPD programs)
 See explanation of codes at bottom of page. Use a separate sheet for each program code. N/A

6. Date Submitted to Field Office
 N/A

Grant/Project Number or HUD Case Number or other identification of property, subdivision, dwelling unit, etc.	Amount of Contract or Subcontract	Type of Trade Code (See below)	Contractor or Subcontractor Business Racial/Ethnic Code (See below)	Woman Owned Business (Yes or No)	Prime Contractor Identification Number	Subcontractor Identification Number	Sec. 3	7f.	7g.	7h.	7i.	Contractor/Subcontractor Name and Address				
												Name	Street	City	State	Zip Code
11-64100-035	\$391,048.56	2	1	No	141,698-00	NA	NA	No	7g.	7h.	7i.	Shannon Industrial Contractors, Inc	PO Box 3886	Coeur d'Alene	ID	83814
11-64100-035	\$204,185.70	6	1	No	91-1409139	NA	NA	No	7g.	7h.	7i.	Varela & Associates, Inc.	601 W Mallon Ave. Ste A	Spokane	WA	99201

7c: Type of Trade Codes:
 1 = New Construction
 2 = Substantial Rehab.
 3 = Repair
 4 = Service
 5 = Project Manag.

7d: Racial/Ethnic Codes:
 1 = White Americans
 2 = Black Americans
 3 = Native Americans
 4 = Hispanic Americans
 5 = Asian/Pacific Americans
 6 = Hasidic Jews

7e: Professional
 6 = Professional
 7 = Tenant Services
 8 = Education/Training
 9 = Arch./Engrg. Appraisal
 0 = Other

5: Program Codes (Complete for Housing and Public and Indian Housing programs only):
 1 = All insured, including Section 8
 2 = Flexible Subsidy
 3 = Section 8 Noninsured, Non-HFDA
 4 = Insured (Management)
 5 = Section 202
 6 = HUD-Held (Management)
 7 = Public/Indian Housing
 8 = Section 811

Previous editions are obsolete.

HUD'S "CONTRACT AND SUBCONTRACT ACTIVITY" FORM INSTRUCTIONS

This report is to be completed by grantees, developers, sponsors, builders, agencies, and/or project owners for reporting contract and subcontract activities of \$10,000 or more under the following programs: Community Development Block Grants (entitlement and small cities); Urban Development Action Grants; Housing Development Grants; Multifamily Insured and Noninsured; Public and Indian Housing Authorities; and contracts entered into by recipients of CDBG rehabilitation assistance.

Contracts/subcontracts of less than \$10,000 need be reported only if such contracts represent a significant portion of your total contracting activity. Include only contracts executed during this reporting period.

This form has been modified to capture Section 3 contract data in columns 7g and 7i. Section 3 requires that the employment and other economic opportunities generated by HUD financial assistance for housing and community development programs shall, to the greatest extent feasible, be directed toward low- and very low-income persons, particularly those who are recipients of government assistance for housing. Recipients using this form to report Section 3 contract data must also use Part I of form HUD- 60002 to report employment and training opportunities data. Form HUD-2516 is to be completed for public and Indian housing and most community development programs. Form HUD-60002 is to be completed by all other HUD programs including State administered community development programs covered under Section 3.

A Section 3 contractor/subcontractor is a business concern that provides economic opportunities to low- and very low-income residents of the metropolitan area (or nonmetropolitan county), including a business concern that is 51 percent or more owned by low- or very low-income residents; employs a substantial number of low- or very low-income residents; or provides subcontracting or business development opportunities to businesses owned by low- or very low-income residents. Low- and very low-income residents include participants in Youthbuild programs established under Subtitle D of Title IV of the Cranston-Gonzalez National Affordable Housing Act.

The terms "low-income persons" and "very low-income persons" have the same meanings given the terms in section 3(b)(2) of the United States Housing Act of 1937. Low-income persons mean families (including single persons) whose incomes do not exceed 80 per centum of the median income for the area, as determined by the Secretary, with adjustments for smaller and larger families, except that the Secretary may establish income ceilings higher or lower than 80 per centum of the median for the area on the basis of the Secretary's findings that such variations are necessary because of prevailing levels of construction costs or unusually high or low-income families. Very low-income persons means low-income families (including single persons) whose incomes do not exceed 50 per centum of the median family income for the area, as determined by the Secretary with adjustments for smaller and larger families, except that the Secretary may establish income ceilings higher or lower than 50 per centum of the median for the area on the basis of the Secretary's findings that such variations are necessary because of unusually high or low family incomes.

Submit this report to Commerce within ten (10) days after the end of the reporting period you checked in item 4 on the front.

Complete item 7h. only once for each contractor/subcontractor on each semi-annual report.

Enter the prime contractor's ID in item 7f. for all contracts and subcontracts that were funded with CDBG. Include only contracts executed during this reporting period. PHAs/IHAs are to report all contracts/subcontracts.

Community Development Programs

1. Grantee: Enter the name of the unit of government submitting this report.

3. Contact Person: Enter name and phone of person responsible for maintaining and submitting contract/subcontract data.

7a. Grant Number: Enter the Commerce Community Development Block Grant Identification Number (with dashes). For example: B-32-MC-25-0034.

7b. Amount of Contract/Subcontract: Enter the dollar amount rounded to the nearest dollar. If subcontractor ID number is provided in 7f, the dollar figure would be for the subcontract only and not for the prime contract.

7c. Type of Trade: Enter the numeric codes which best indicates the contractor's/ subcontractor's service. If subcontractor ID number is provided in 7f, the type of trade code would be for the subcontractor only and not for the prime contractor. The "other" category includes supply, professional services and all other activities except construction and education/training activities.

7d. Business Racial/Ethnic/Gender Code: Enter the numeric code which indicates the racial/ethnic /gender character of the owner(s) and controller(s) of 51% of the business. When 51% or more is not owned and controlled by any single racial/ethnic/gender category, enter the code which seems most appropriate. If the subcontractor ID number is provided, the code would apply to the subcontractor and not to the prime contractor.

7e. Woman Owned Business: Enter Yes or No.

7f. Contractor Identification (ID) Number: Enter the Employer (IRS) Number of the Prime Contractor as the unique identifier for prime recipient of CDBG funds. Note that the Employer (IRS) Number must be provided for each contract/subcontract awarded.

7g. Section 3 Contractor: Enter Yes or No.

7h. Subcontractor Identification (ID) Number: Enter the Employer (IRS) Number of the subcontractor as the unique identifier for each subcontract awarded from HUD funds. When the subcontractor ID Number is provided, the respective Prime Contractor ID Number must also be provided.

7i. Section 3 Contractor: Enter Yes or No.

7j. Contractor/Subcontractor Name and Address: Enter this information for each firm receiving contract/subcontract activity only one time on each report for each firm.

Multifamily Housing Programs

1. Grantee/Project Owner: Enter the name of the unit of government, agency or mortgagor entity submitting this report.

3. Contact Person: Same as item 3 under CPD Programs.

4. Reporting Period: Check only one period.

5. Program Code: Enter the appropriate program code.

7a. Grant/Project Number: Enter the CDBG Project Number or Grant or number assigned.

7b. Amount of Contract/Subcontract: Same as item 7b. under CPD Programs.

7c. Type of Trade: Same as item 7c. under CPD Programs.

7d. Business Racial/Ethnic/Gender Code: Same as item 7d. under CPD Programs.

7e. Woman Owned Business: Enter Yes or No.

- 7f. Contractor Identification (ID) Number:** Same as item 7f. under CPD Programs.
- 7g. Section 3 Contractor:** Enter Yes or No.
- 7h. Subcontractor Identification (ID) Number:** Same as item 7h. under CPD Programs.
- 7i. Section 3 Contractor:** Enter Yes or No.
- 7j. Contractor/Subcontractor Name and Address:** Same as item 7j. under CPD Programs.

Public Housing and Indian Housing Programs

PHAs/IHAs are to report all contracts/subcontracts. Include only contracts executed during this reporting period.

- 1. Project Owner:** Enter the name of the unit of government, agency or mortgagor entity submitting this report. Check box as appropriate.
- 3. Contact Person:** Same as item 3 under CPD Programs.
- 4. Reporting Period:** Check only one period.
- 5. Program Code:** Enter the appropriate program code.
- 7a. Grant/Project Number:** Enter the CDBG Project Number or Grant or number assigned.
- 7b. Amount of Contract/Subcontract:** Same as item 7b. under CPD Programs.
- 7c. Type of Trade:** Same as item 7c. under CPD Programs.
- 7d. Business Racial/Ethnic/Gender Code:** Same as item 7d. under CPD Programs.
- 7e. Woman Owned Business:** Enter Yes or No.
- 7f. Contractor Identification (ID) Number:** Same as item 7f. under CPD Programs.
- 7g. Section 3 Contractor:** Enter Yes or No.
- 7h. Subcontractor Identification (ID) Number:** Same as item 7h. under CPD Programs.
- 7i. Section 3 Contractor:** Enter Yes or No.
- 7j. Contractor/Subcontractor Name and Address:** Same as item 7j. under CPD Programs.

LABOR STANDARDS COMPLIANCE REPORT

This Form Must Be Used for Restitution (Underpayments) of \$.00 to \$999.99

(See Federal Labor Standards Handbook 1344.1, Paragraph g., page 3-15, for amounts totaling \$1,000 or more per prime or subcontractor)

Agency Name and Address: <u>Kittitas County Water District #6</u>			
Description of Work: <u>Wastewater Treatment Plant Upgrades</u>			
HUD Program or Source of Funds: <u>CDBG</u>		Contract #: <u>11-64100-035</u>	
Prime Contractor: <u>Shannon Industrial Contractors, Inc.</u>		Contract Amount: <u>\$391,048.56</u>	
Pre-Construction Conference Date: <u>04/23/13</u>		Location: <u>Vantage, WA</u>	
Federal Labor Standards Provisions Included in Specs: <u>Davis Bacon</u> http://www.hud.gov/offices/adm/hudclips/forms/files/4010.pdf			
Wage Determination Included in the Specs: <u>Davis Bacon</u>		Number: <u>WA 130055 Building</u>	
Number of Modifications: <u>5</u>			
Are Contractor(s) Payroll Certifications Submissions Current & Complete? <u>YES</u>			
Number of Construction Wage Interviews (HUD -11) Completed: <u>6</u>			
Number of Trades Interviewed: <u>12</u>			
Were Any Violations Discovered and Resolved? <u>YES</u>		Number: <u>4</u>	
Number of Employees Involved: <u>4</u>		Number of Subs Involved: <u>1</u>	
Total Amount of Underpayments: <u>\$277.00</u>		Contract Work Hours & Safety Standards Act (overtime underpayments): <u>NA</u>	
Briefly Describe Any Labor Standards Complaints & Resolutions: <u>1 subcontractor changed laborers to carpenters and paid the difference between Gen Labor and Carpenter. Copies of checks received.</u>			
Is any contractor retainage held at this time? <u>Retainage Bond # 023017826</u>		Amount: <u>\$16,102.80</u>	
SUBCONTRACTOR(S) WHO WORKED ON THIS PROJECT			
Name	Address	Contract Amount	Type of Work
<u>Fencing and Awning</u>	<u>4810 Beaucheme Rd, Moxie WA 98936</u>	\$6,459.19	<u>Erected Fence</u>
<u>Medina Bros</u>	<u>1524 W 7th Pl, Kennewick, WA 99336</u>	\$5,200.00	<u>Structure Carpentry</u>
_____	_____	\$ _____	_____
_____	_____	\$ _____	_____
Note: Please attach more pages, if needed, for any additional information.			
I CERTIFY TO THE BEST OF MY KNOWLEDGE THAT ALL LABORERS AND MECHANICS EMPLOYED ON THIS CONSTRUCTION CONTRACT WERE PAID IN ACCORDANCE WITH THE LABOR PROVISIONS, EXCEPT AS NOTED. THERE ARE NO OUTSTANDING OR UNRESOLVED LABOR STANDARDS, UNDERPAYMENTS, COMPLAINTS, OR DISPUTES.			
Signature: _____		Name: Paul Jewell	
Date: October 7, 2014		Title: Chairman, Board of County Commissioners	