

REPORTING/MONITORING CHECKLISTS

CDBG Monitoring Checklist – used for all projects pg. 2

“Project Specific” Monitoring checklists for other types of projects including:

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CDBG MONITORING CHECK LIST
(Required for ALL Projects)

This checklist is provided as a courtesy to help grantees prepare for the CDBG monitoring visit. This visit is not an audit; it is performed to assist grantees in making sure that their jurisdiction is maintaining all the required state and federal documentation, and that the completed project has met the national requirements for the CDBG grant. The CDBG grant is a public record. The general public may request access to grant files. Incomplete files or files that cannot support activities undertaken could result in legal action or possible forfeiture of funds.

APPLICATION FILE – (Mostly provided online in WebGrants)

- CDBG application.
- Two notices of public hearings to document grant application and award, and minutes from those public hearings
- Income survey sheets, tabulations, and survey instrument. (if applicable)
- Slum/Blight Resolution, if this project is a slum/blight project
- Copy of regional consolidated plan or the portion that applies to your jurisdiction and project.
- Commitment letters from non CDBG funding sources or other funding verification.
- Anti-dislocation resolution adopted by jurisdiction
- 504 inventory assessment (checklist of ADA compliance for grantee’s public buildings/facilities) (Checklist available from State CDBG office)

CONTRACT FILE

- CDBG Contract between State and jurisdiction.
- Cooperative agreement between jurisdiction & sub-grantee. (non-profit) (if applicable)
- Any contract amendments that were added to the original contract.

ENGINEER/ARCHITECT FILE

- Contract between engineer/architect and jurisdiction.

ADMIN – FINANCIAL (REQUEST FOR FUNDS) – (Mostly Provided Online in WebGrants)

- Verification of admin costs (time sheets, invoices, etc.) How are wages determined? (This is required if CDBG funds are paying for such expenses.)
- Request For Funds (RFF) forms, bank statements showing deposit of State funds, contractor invoices and proof of payment to contractors
- Bank statements showing deposit of **State Funds**.
- Bank Statements showing proof of payment to contractors/vendors.
- Bank statements showing deposit of funds **passed through to agency**.

ENVIRONMENTAL FILE –

- Environmental Certifying Officer (ECO) Resolution (if applicable)
- Description of Proposed Action (DPA) form
- Completed environmental checklist(s) (if applicable)
- Public notices (FONSI) and Request for Release of Funds and Certification (if applicable)
- Environmental release letter signed by State CDBG Office

CONSTRUCTION & LABOR FILE

- Davis Bacon wage rate decision on file? ____
- Contractor eligibility approval letter from CDBG labor specialist on file? ____
- Proof of contract bid advertising on file? ____
- Bid tabulation documentation on file? ____
- Bid opening date _____
- Contract award date (date contract between jurisdiction and contractor is signed) _____
- Pre-construction meeting date _____ Minutes on file? _____
- Construction start date _____
- Contract between jurisdiction and contractor (must include Form 4010, EEO statement and the Davis Bacon wage rate decision.) Any Change Orders, including amounts.
- Section 3 Clause included in construction contract (if applicable)
- Grantee monitored for Section 3 compliance? Were any extra workers hired for project? .
- Weekly payroll forms from general contractor and ALL sub-contractors numbered sequentially, signed by contractor, and **checked for accuracy (compared to wage decision) by grantee.**
- Contractor employee interviews, completed monthly, including all laborers and at least 10% of the workforce.

CIVIL RIGHTS FILE

- A published or posted copy of a recent job procurement notice
- Copy of any written Personnel Policies & Procedures
- Written Purchasing & Financial Policies & Procedures
- Copy of the jurisdiction's EEO Resolution (Equal Employment Opportunity Documentation)

“Project Specific” questions will be asked as required.

ACQUISITION
(revised 3/10)

CDBG Grantee: _____

Contract # _____

Date of Review: _____

Reviewer: _____

PART I - GENERAL INFORMATION

Project Description:

- a. Is the acquisition exempt per 49 CFR 24.101(b)(1)? YES NO
- b. Is a copy of the "Notice of Exemption" in the file? YES NO
- c. If the property was donated, is there evidence the owner has been informed of his rights? YES NO

PART II - PRELIMINARY ACQUISITION NOTICE

- a. Is a copy of the notice in the file? YES NO
- b. Is there evidence of receipt? YES NO

PART III – APPRAISAL

- a. Is a copy of the appraisal in the file? YES NO
- b. Was a qualified independent appraiser utilized? YES NO
- c. Is there evidence the owner was invited to accompany the appraiser and evidence of receipt? YES NO
- d. Was review appraisal performed? YES NO

PART IV - WRITTEN PURCHASE OFFER

- a. Is a copy of the written purchase offer in the file? YES NO
- b. Was the offer issued promptly after the appraisal? YES NO
- c. Is a statement of the basis for determining the offer for the property included in the offer? YES NO
- d. Are copies of any counter-offers from the property owner included in the file? YES NO
- e. If the grantee determined not to purchase, is there a notice and evidence of receipt? YES NO

PART V - PURCHASE AND PAYMENT

- a. Is a copy of all required purchase documentation in the file (deed, title evidence, etc.)? YES NO
- b. Is a statement of closing costs in the file? YES NO
- c. Is proof of receipt of payment in the file? YES NO
- d. Was payment timely?
- e. Is there proof of recording of the deed in the file?

PART VI - RENTAL AGREEMENTS

- a. If a tenant occupies the property acquired by this project, is the rental at fair market value? YES NO

PART VII – APPEALS

- a. Is a copy of any payment for incidental expenses or certain litigation expenses in the file? YES NO
- b. Is there a record describing the determination and disposition of any appeal in the file? YES NO

COMMENTS

**HOUSING REHABILITATION
(revised 2/07)**

CDBG Grantee: _____

Contract # _____

Date of Review: _____

Reviewer: _____

PART I. APPLICANT INFORMATION

YES or NO

- a. Did each sub-recipient complete an application?
- b. Does the application form identify:
 - 1. Location of project
 - 2. A description of the work to be performed
 - 3. An estimate of the cost
 - 4. Income verification

PART II. INCOME VERIFICATION

- a. What methods were used to certify income? _____
- b. Have the appropriate Section 8 income guidelines been used?
- c. Is there evidence that income eligibility was reviewed for every application that is approved?
- d. Is supporting documentation available for each application?

PART III. ENVIRONMENTAL DOCUMENTATION

- a. Has an environmental review been completed on each home?
- b. Does grantee keep each environmental file with the application?
- d. Has grantee documented any Lead Based Paint (LBP) compliance for pre-1978 homes where paint was disturbed? (Receipt of LBP pamphlet by homeowner?)

PART IV. CONTRACTOR INFORMATION

- a. Is there documentation to show that all proper bidding procedures were followed in the award of a contract?
- b. Has the eligibility of contractors been documented?
- c. Describe how this was done: _____
- d. Were contracts with contractor's and descriptions of work compared before the contract was awarded?
- e. Was information kept for each sub-recipient contract regarding contract award date, construction Start/Completion?
- f. Were Davis-Bacon wages paid if appropriate?
- g. Did the completed work receive a local inspection?
- h. Was the work performed in accordance with all local codes?

PART V. CONSTRUCTION CONTRACT MANAGEMENT

- a. Is a process in place that requires the sign-off of the sub-recipient on all checks to the contractor?
- b. Does each file contain copies of all vouchers and checks?

PART VI. VERIFICATION OF WORK PERFORMED

- a. Was a final inspection made by the grantee following the completion of each sub-recipient contract?
- b. Was the final inspection made with the sub-recipient or a designated representative?
- c. Was the sub-recipient made aware of the procedures available if the work done was not satisfactory?
- c. Does each file contain a certification of acceptable work performance signed by the sub-recipient?

PART VII. TRACKING OF RECIPIENTS

- a. If appropriate, does grantee have a process in place to track the following:
 - Occupant(s) of a rehabilitated rental unit for 5 years?
 - Proof of home-ownership of owner-occupant rehabilitated units for 5 years?
 - A rental prioritization list?
 - Documentation describing how grantee determines fair market rent?
 - Copies of deed restrictions, if owner occupied?

FURTHERING FAIR HOUSING
(REVISED 2/02)

1. Has grantee performed an Analysis of Impediments to determine whether housing discrimination could occur? YES NO

a. What impediments to fair housing were identified?

2. Has an action plan been prepared? YES NO

a. Short Term
 Long Term

b. Does it include financial elements, assurance of continuation when grantee officials change? YES NO

c. What does the plan present?

3. Does the Grantee have a Fair Housing Resolution in place? YES NO

4. What other activities is the grantee participating in to ensure fair housing?

NOTE DEFICIENCIES AND CORRECTIVE ACTIONS:

PLANNING ACTIVITIES
(REVISED 2/02)

1. Is there a consultant agreement? YES NO

Name of Consultant _____

2. What is the type of plan that was to be prepared?

SLUM/BLIGHT ELIMINATION

What criteria of S/B were identified in the application?

Has each of these conditions been addressed in the plan? YES NO

WATER/SEWER/STORM DRAIN

ECONOMIC DEVELOPMENT (MAXIMUM TIME ALLOWED - 2 YEARS)

What was the year of commencement of the plan?

Has the grantee applied for second year of planning assistance? YES NO

Has the plan been completed? YES NO

When is the ED Plan to be put into effect?

How is grantee documenting evidence of National Objective compliance?

CONSOLIDATED PLAN

INDIVIDUAL COMMUNITY PHYSICAL DEVELOPMENT

Community Assisted: _____ Plan prepared: _____ Meets N.O.:

(Use other side if necessary)

OTHER: Identify:

3. Does the plan satisfy the contract scope? YES NO

4. Has the plan been completed? YES NO
If not, when is completion expected?

5. Has the plan been accepted by the grantee? YES NO
If not, when is acceptance expected?

6. Was a time frame of plan preparation by element submitted at the onset on the consultant contract? YES NO

COMMENTS:

EQUIPMENT ACQUISITION
(REVISED 2/07)

1. What equipment was purchased? _____
2. Was an RFP Prepared? Yes No Documentation _____
3. Was the award/purchase made after the environmental release? Yes No
4. Award/Purchase Date _____
5. Equipment is located where? _____
6. Has the equipment serial number been recorded Yes No SN# _____
7. Does the SN# match the invoice? Yes No
8. Is equipment recorded on the close out form? Yes No

Note to Grantee:

The CDBG office must be contacted prior to the sale of any equipment valued at more than \$5000.

Verification used?

2. NECESSARY OR APPROPRIATE TEST

• NECESSARY

- a. What was the project type? Real Estate User project Hybrid
- b. Describe the public benefit which will be derived from the project?
-

- c. Were the public funds used to accomplish the tasks in the agreement? YES NO
- d. Were the private funds used in accordance with the agreement? YES NO
- e. Has the grantee reviewed the project on-site and documented the expenditure of the funds in accordance with the agreement? YES NO
- Serial Numbers Checked Payrolls Checked Invoices & Canceled Checks reviewed
- f. Is the project proceeding according to the time frame in the agreement? YES NO
- g. What was the public to private dollar ratio?
- h. Are the repayments being received according to the agreement? YES NO

• FINANCIAL ANALYSIS

- a. Were project costs verified? YES NO
- b. Are costs reasonable as compared to industry standards? YES NO
- c. Is there documentation to show that the project would not have created a new business or expanded an existing business without the public assistance? YES NO

Indicate what type of documentation was provide?

- d. What type of documentation was obtained to show that adequate private financing was not available to fund the entire project?
-

- e. Has the rate of return been evaluated? YES NO

Documentation used?

- f. Was the cost of the loan evaluated? YES NO

What was the interest rate and how was it calculated?

g. Rationale for assistance.

Type of Gap identified

Documentation of gap

• APPROPRIATE

a. Was a statement prepared to show that the project was of particular value and importance to the community it benefited? YES NO

b. Was the statement adequate? YES NO

c. Describe the justification used?

3. ELIGIBILITY

a. Was a determination of eligibility made? YES NO

b. Identify the type of assistance provided?

Off-site infrastructure

On-site infrastructure

Blending

Interest buy down

Guarantees

Grants

c. Identify the type of loan.

Acquisition

Construction

Equipment

Inventory

Salaries

Other working capital (define)

4. EQUITY/SECURITY

a. Identify the type of security or equity provided.

5. DEFAULT

a. If the targeted jobs were not created when will they be?

b. Has the company met its full job creation potential? YES NO

c. Was a good faith effort made to create adequate LMI jobs? YES NO

What documentation is provided?

d. Was there any suspected fraud in the use of the federal funds? YES NO

RLF ENVIRONMENTAL REVIEW
(Revised 2/02)

Date of Review: _____

LENDING ENTITY: _____

Loan # _____ Loan Amount: Total \$ _____ CDBG \$ _____

Loan Recipient _____

Activity and Location: _____

ECO _____

DPA Determination _____

Date of Loan Closing _____

Date of ERR Release _____

Checklist (If appropriate) _____

Publication (If appropriate) _____

Certification _____

Date of Review: _____

LENDING ENTITY:

Loan # _____ Loan Amount: Total \$ _____ CDBG \$ _____

Loan Recipient _____

Activity and Location: _____

ECO _____

DPA Determination _____

Date of Loan Closing _____

Date of ERR Release _____

Checklist (If appropriate) _____

Publication (If appropriate) _____

Certification _____