

CDBG GENERAL MONITORING CHECKLIST

Recipient: «Contract Recipient» **Contract Number:** «Contract Num»-«SourceYear»

Elected Official «eoHonor» «eoName_First» «eoName_Last», «eoTitle»
Address: «eoAddress1» «eoAddress2»
 «eoCity», «eoState» «eoZip»
Phone #: «eoPhone»

Administrator: «a1Salutation» «a1Name_First» «a1Name_Last», «a1Title»
Address: «a1CityOf»
 «a1Address1» «a1Address2»
 «a1City», «a1State» «a1Zip»
Phone #: «a1Phone»

Subrecipient: «a2Salutation» «a2Name_First» «a2Name_Last», «a2Title»
 «a2CityOf»
 «a2Address1» «a2Address2»
 «a2City» «a2State» «a2Zip»
 «a2Phone»

Monitoring Visit Date: _____
Monitoring Conducted By: _____

Person(s) Interviewed: _____

CDBG Award Amount:

Local Funds Amount and Source(s):

Total Program Amount:

Contract Effective Date:

Contract Expiration Date:

Project Activity:

National Objective of the project (circle one):
LMI Slum and Blight Urgent Need

If project benefits LMI how was it determined (circle one):
Local Income Survey U.S. Census Data Other(specify): _____

Do project files include adequate documentation to support LMI determination: **Yes** **No**

Does this project require a survey at project completion **Yes** **No**
If yes, what was the result of the LMI survey:

Is the project complete: **Yes** **No**
If no, what is the project progress and estimated completion date:

Citizen Participation

- CP-1 Have you (recipient) conducted a public hearing on the status of funded activities? **Yes No**
- a. When was the public hearing?
Date:
Time:
 - b. When was notice of the public hearing published or posted?
 - c. Where was notice of public hearing published or posted?
Newspaper name:
Date:
 - d. Are there minutes of the public hearing? **Yes No**
- CP-2 Where did recipient conduct CDBG-related public hearings and meetings?
Name of the building:
- a. Is this location accessible to persons with disabilities? **Yes No**
 - b. If necessary, did recipient make reasonable accommodations to enable persons with disabilities to participate in public meetings? **Yes No Not requested**
If yes, describe accommodations:
- CP-3 Did the city provide translation services for non-English speaking persons who requested them in order to participate in public meetings? **Yes No Not requested**
- CP-4 Did the recipient provide citizens the name and address of a CDBG contact person? **Yes No**
Name:
- CP-5 Does the recipient have a process for providing written responses to complaints and grievances within 15 days of receipt? **Yes No**

COMMENTS:

Environmental

E-1 Did recipient set up an environmental file? **Yes No**

E-2 Did recipient conduct the correct level of environmental review? **Yes No**

E-3 Does the environmental file contain (indicates dates if applicable)

a. An environmental assessment? **Yes No**

Does the Environmental Assessment contain:

Project description with a specific site identified? **Yes No**

Evidence that the federal laws and authorities listed in 24 CFR 58.5 have been addressed along with other criteria? **Yes No**

Review EA to make certain there is adequate documentation for each criteria, particularly:

- Historic Properties - Section 106: SHPO submittal and tribal letters **Yes No**
- Floodplains: FEMA Flood Map **Yes No**
- Wetlands: Hydric Soils list and soil map **Yes No**
- Endangered species: List cross referenced with project habitat **Yes No**

Have authoritative sources been used to support conclusions and ratings? **Yes No**

b. Published Concurrent Notice of Finding of No Significant Impact on the Environment and Notice of Intent to Request Release of Funds? **Yes No**

c. Request for Release of Funds? **Yes No**

Date of release of funds: «RROF Clear»

d. IDED Release of Funds Letter? **Yes No**

Date of IDED letter: «Release Letter»

E-4 Was any part of the project carried out in the 100-year flood plain or in a Wetland? **Yes No**
If yes, was the 8 step process followed? **Yes No**

E-5 Did recipient adequately respond to any comments made on the environmental assessment?
Yes No Not Necessary

COMMENTS:

Financial Management

- FM-1 Does the recipient maintain an adequate financial management system?
- a. Is the system in compliance with all requirements outlined in the CDBG Management Guide? **Yes No**
 - b. Are local effort funds incorporated into budget and accounting records? **Yes No**
 - c. Are expenditures made according to the CDBG/local effort ratio shown in the contract? **Yes No**
 - d. Does the recipient disburse funds within 10 working days of receipt? **Yes No**
- FM-2 Does the recipient provide for adequate internal control and segregation of duties? **Yes No**
- a. Who is responsible for receiving funds?
 - b. Who is responsible for approving bills?
 - c. Who is responsible for preparing checks or warrants?
 - d. Who is authorized to sign checks?
 - e. Who is the bookkeeper?
 - f. Who reconciles the bank statements?
- FM-3 Was program income received? **Yes No**
- a. What was the source of program income?
 - b. Was it recorded as a receipt in program records?
 - c. Was it spent on current program activities before additional CDBG funds were requested?
- FM-4 If land was part of the local effort, how was the value of the land determined?
- FM-5 Is force account labor being used? **Yes No**
If yes, do time sheets document time allocated to the CDBG program? **Yes No**
- FM-6 Are all CDBG records being maintained in compliance with OMB Circular A-102, Attachment C? **Yes No**

COMMENTS:

Draw #	Date Received IDED Check	Vendor	Invoice Date	Invoice Amount	City/County Approval Date	Vendor Payment Date	Warrant/ Check #	Breakdown of Funds	
								CDBG \$	Local \$

Procurement

- P-1 Does the recipient have written procurement procedures? **Yes No**
Date adopted:
- P-2 Does the recipient have a written code of conduct? **Yes No**
Date adopted:
- P-3 Did the recipient use the small purchase method of procurement for services, supplies and other property costing in the aggregate not more than \$100,000? **Yes No**
If so, were price or rate quotations obtained from a number of qualified sources? **Yes No**
- P-4 Did the recipient solicit proposals for administrative services (or other professional services)?
Yes No
- a. Were an adequate number of proposals solicited through a Request for Proposals?
Yes No
- b. How was the RFP publicized?
- c. Were proposals evaluated on established criteria? **Yes No**
- P-5 Did the recipient solicit qualifications for engineering/architectural services? **Yes No**
- a. Were an adequate number of qualifications solicited through a Request for Qualifications? **Yes No**
- b. How was the RFQ publicized?
- c. Were qualifications evaluated on established criteria? **Yes No**
- d. Did the recipient negotiate fair and reasonable compensation with selected engineer/architect? **Yes No**
- P-6 Did the recipient used competitive sealed bids? **Yes No**
- a. Were an adequate number of bids solicited? **Yes No**
- b. Name of the paper the bid was publicized in:
- c. Were contracts awarded to the lowest responsible bidders? **Yes No**
- d. Are there bid tabulation sheets? **Yes No**
- P-7 Did recipient receive IDED approval for any sole source procurement? **Yes No**
- P-8 Did the recipient send bid notification to the clearinghouses for minority- and women-owned businesses? **Yes No**
If no, what other actions did the recipient take to solicit participation:

COMMENTS:

Contract Management (Administration)

CM-1 Did the recipient contract for administrative services? **Yes No**

a. With whom is the contract for administrative services?

Entity name:

Contact name:

b. What is the executed date of the contract for administrative services?

Date:

c. What is the contract maximum or "not to exceed" amount?

CM-2 Does the contract include all required language: **Yes to all**

Including:

a. access to pertinent records by recipient and government agencies? **Yes No**

b. providing for maintenance of records for five years after project close-out? **Yes No**

c. Title VI of the Civil Rights Act of 1964? **Yes No**

d. Title VIII of the Civil Rights Act of 1968? (housing) **Yes No**

e. Executive Order 11063? (housing) **Yes No**

f. Section 109 of the Housing and Community Development Act of 1974? **Yes No**
(If f, then g or h not required)

g. Age Discrimination Act of 1975? **Yes No**

h. Section 504 of the Rehabilitation Act of 1978? **Yes No**

i. Section 3 of the Housing and Urban Development Act of 1968? **Yes No**

j. Executive Order 11246 (if contract is greater than \$10,000)? **Yes No**

k. Americans with Disabilities Act? **Yes No**

l. Termination clauses? **Yes No**

CM-3 Are the terms of the contract appropriate (not "percentage of cost" or "cost plus percentage of cost")? **Yes No**

a. Does the contract specify an hourly rate? **Yes No**

b. Does the contract provide for optional services at additional costs (hourly, lump sum or actual)? **Yes No**

COMMENTS:

Contract Management (Architectural/Engineering)

CM-4 Did the recipient contract for architectural/engineering services? **Yes No**

- a. With whom is the contract for architectural/engineering services?
- b. What is the executed date of the contract for architectural/engineering services?
Date:
- c. What is the contract maximum or "not to exceed" amount?
\$

CM-5 Does the contract include all required language: **Yes to all**

Including:

- a. access to pertinent records by recipient and government agencies? **Yes No**
- b. providing for maintenance of records for five years after project close-out? **Yes No**
- c. Title VI of the Civil Rights Act of 1964? **Yes No**
- d. Title VIII of the Civil Rights Act of 1968? (housing) **Yes No**
- e. Executive Order 11063? (housing) **Yes No**
- f. Section 109 of the Housing and Community Development Act of 1974? **Yes No**
(If f, then g or h not required)
- g. Age Discrimination Act of 1975? **Yes No**
- h. Section 504 of the Rehabilitation Act of 1978? **Yes No**
- i. Section 3 of the Housing and Urban Development Act of 1968? **Yes No**
- j. Executive Order 11246 (if contract is greater than \$10,000)? **Yes No**
- k. Americans with Disabilities Act? **Yes No**
- l. Termination clauses? **Yes No**

CM-6 Are the terms of the contract appropriate (not "percentage of cost" or "cost plus percentage of cost")? **Yes No**

- a. Does the contract specify an hourly rate? **Yes No**
- b. Does the contract provide for optional services at additional costs (hourly, lump sum or actual)? **Yes No**

COMMENTS:

Contract Management (Other Professional Services)

CM-7 Did the recipient contract for any other professional services? **Yes No**

- a. With whom is the contract for professional services?
- b. What is the executed date of the contract for professional services?
- c. What is the contract maximum or "not to exceed" amount?

CM-8 Does the contract include all required language: **Yes to all**
Including:

- a. access to pertinent records by recipient and government agencies? **Yes No**
- b. providing for maintenance of records for five years after project close-out? **Yes No**
- c. Title VI of the Civil Rights Act of 1964? **Yes No**
- d. Title VIII of the Civil Rights Act of 1968? (housing) **Yes No**
- e. Executive Order 11063? (housing) **Yes No**
- f. Section 109 of the Housing and Community Development Act of 1974? **Yes No**
(If f, then g or h not required)
- g. Age Discrimination Act of 1975? **Yes No**
- h. Section 504 of the Rehabilitation Act of 1978? **Yes No**
- i. Section 3 of the Housing and Urban Development Act of 1968? **Yes No**
- j. Executive Order 11246 (if contract is greater than \$10,000)? **Yes No**
- k. Americans with Disabilities Act? **Yes No**
- l. Termination clauses? **Yes No**

CM-9 Are the terms of the contract appropriate (not "percentage of cost" or "cost plus percentage of cost")? **Yes No**

- a. Does the contract specify an hourly rate? **Yes No**
- b. Does the contract provide for optional services at additional costs (hourly, lump sum or actual)? **Yes No**

COMMENTS:

Contract Management (Construction)

CM-10 With whom is the construction contract?

Name:

a. What is the executed date of the contract?

Date:

b. What is the contract amount?

\$

CM-11 Does the contract include all required language?: **Yes to all**

Including:

- a. access to pertinent records by recipient and government agencies? **Yes No**
- b. providing for maintenance of records for five years after project close-out? **Yes No**
- c. Title VI of the Civil Rights Act of 1964? **Yes No**
- d. Title VIII of the Civil Rights Act of 1968? (housing) **Yes No**
- e. Executive Order 11063? (housing) **Yes No**
- f. Section 109 of the Housing and Community Development Act of 1974? **Yes No**
(If f, then g or h not required)
- g. Age Discrimination Act of 1975? **Yes No**
- h. Section 504 of the Rehabilitation Act of 1978? **Yes No**
- i. Section 3 of the Housing and Urban Development Act of 1968? **Yes No**
- j. Executive Order 11246 (if contract is greater than \$10,000)? **Yes No**
- k. Americans with Disabilities Act? **Yes No**
- l. Copeland Anti-kickback Act (contracts greater than \$2,000)? **Yes No**
- m. Davis-Bacon and Related Acts (contracts greater than \$2,000)? **Yes No**
- n. Contract Work Hours and Safety Standard Act (contracts greater than \$2,000)? **Yes No**
- o. Section 306 of the Clean Air Act (contracts greater than \$100,000)? **Yes No**
- p. Section 508 of the Clean Water Act (contracts greater than \$100,000)? **Yes No**
- q. Executive Order 11738 (contracts greater than \$100,000)? **Yes No**
- r. EPA Regulation 40 CFR Part 15 (contracts greater than \$100,000)? **Yes No**
- s. Termination clauses? **Yes No**

CM-12 Does the contract include the appropriate wage rate determination? **Yes No**

CM-13 Has the recipient verified the eligibility of contractors and subcontractors with IDED? **Yes No**

CM-14 Do recipient construction records include the following (in compliance with CDBG limits):

- a. bid guarantees? **Yes No**
- b. performance bonds? **Yes No**
- c. payment bonds? **Yes No**

COMMENTS:

Labor Standards

L-1 Who is the recipient's Labor Standards Compliance Officer?
Name:

L-2 Does the recipient have a labor standards enforcement file for each construction activity?
Yes No

L-3 Have contractor payrolls been submitted weekly? **Yes No**

a. Has the Labor Standards Compliance Officer reviewed and accepted all payrolls? **Yes No**

Contractor/ Subcontractor Name	Payroll Number	Date of Payroll	Comments

L-4 Did the recipient interview construction employees to ensure contractors were paying appropriate wages? **Yes No**

a. Were employee interviews cross-referenced with the applicable weekly payroll? **Yes No**

b. Are fringe benefits being paid according to the wage rate determination and in compliance with labor standards? **Yes No**

c. Is overtime computed on the basic hourly rate shown on the wage rate determination?
Yes No

L-5 Describe any wage discrepancies/violations of labor standards and how they were resolved.

L-6 Are any contractors or subcontractors using apprentices? **Yes No**

If yes, does the recipient have on file the required Department of Labor Bureau of Apprenticeship and Training Certificate for each apprentice? **Yes No**

COMMENTS:

Civil Rights (including Section 3, EEO, Fair Housing & MBE/WBE)

CR-1 Is the recipient maintaining beneficiary demographic data? **Yes No**

CR-2 Is the recipient maintaining Section 3 records in order to prepare and submit the Opportunities for Low-income Persons with Assisted Projects form at program completion? **Yes No**

a. Have program contractors hired local, low-income persons to work specifically on program activities? **Yes No**

b. Has the recipient made contractors aware of Section 3 requirements? **Yes No**

CR-3 Does the recipient have a current Equal Employment Opportunity Policy? **Yes No**

a. When was the EEO Policy adopted?
Date:

b. Does the policy prohibit discrimination on the bases of race, sex, color, national origin, age, religion, disability and familial status? **Yes No**

c. How was the policy made public?

d. Who is the local official responsible for implementation of the EEO policy?
Name:

e. How does the recipient advertise job vacancies?

f. Do job advertisements contain equal employment opportunity language? **Yes No**

CR-4 Does the recipient have 15 or more employees? **Yes No**

If yes, then:

a. If so, does the recipient have a current workforce analysis? **Yes No**

b. Does the recipient have an affirmative action plan? **Yes No**

c. Is the recipient meeting affirmative action goals? **Yes No**

d. If any employment discrimination complaints were filed against the recipient, have they been satisfactorily resolved? **Yes No**

CR-5 What actions has the recipient taken to affirmatively further fair housing?

a. Adopted an Affirmative Fair Housing Policy **Yes No**

b. Member of a Fair Housing Authority? **Yes No**

c. Other:

COMMENTS:

Acquisition and Relocation (if applicable)

- AR-1 If the recipient acquired any real property, including temporary and permanent easements, was the real estate transaction **VOLUNTARY** or **INVOLUNTARY**? (if voluntary, go to AR-2, if involuntary, go to AR-3).
- AR-2 **(VOLUNTARY)** Did the recipient advise property owners of their rights under the Uniform Act either by certified return receipt mail or hand delivery? **Yes No**
- a. Did the recipient meet all the qualifying criteria to use a voluntary transaction?
Yes No
- b. Did the recipient notify seller in writing that the property would not be taken through condemnation if negotiations fail? **Yes No**
- c. Was notification of fair market value provided prior to the signing of a purchase offer?
Yes No
- d. If not, was the seller allowed to withdraw from the purchase agreement once notified of the fair market value? **Yes No**
- AR-3 **(PROPERTY DONATION)** Did the recipient advise property owners of their rights under the Uniform Act either by certified return receipt mail or hand delivery? **Yes No**
- a. Was an appraisal conducted? **Yes No**
- b. If no, did the recipient get an approved waiver of appraisal statement from property owners?
Yes No
- AR-4 **(INVOLUNTARY)** Did the recipient advise property owners of their rights under the Uniform Act either by certified return receipt mail or hand delivery? **Yes No**
- AR-5 Was the property appraised by a qualified appraiser prior to negotiations? **Yes No**
- a. When was the appraisal conducted?
Date:
- b. When was the review appraisal conducted?
Date:
- c. What appraisal method was used?
- d. Were appraisal standards followed? **Yes No**
- AR-6 If no appraisal, was **property valued at less than \$10,000** or \$25,000 if the recipient obtained an approved waiver of appraisal statement from property owners? **Yes No**
- AR-7 Did the recipient provide the property owner a written Notice of Just Compensation (written purchase offer) for each acquisition taking into account the value of allowable damages or

benefits to any remaining property? **Yes No**

AR-8 Was the written offer equal to the appraised fair market value? **Yes No**

a. Was a summary statement issued with the written offer? **Yes No**

AR-9 Was the written offer greater than the appraised fair market value? **Yes No**

a. Was there documentation of an administrative settlement (proof that offer does not exceed the cost of taking property by eminent domain) in the recipient's file? **Yes No**

AR-10 Was the offer negotiated after the offer to purchase was made? **Yes No**

AR-11 Did the recipient exercise its power of eminent domain to acquire the property?
Yes No

AR-12 Was the purchase payment made prior to the property owner transferring the property to the agency? **Yes No**

AR-13 Is there a final closing cost summary sheet showing the recipient reimbursed property owner for

a. recording fees, transfer taxes, title opinions, etc.? **Yes No**

b. prepayment penalty on a mortgage? **Yes No**

c. the pro rata share of property taxes? **Yes No**

d. litigation expenses? **Yes No**

AR-14 Was the acquired property vacant (*if no, go to AR-14*)? **Yes No**

a. If the vacant structures acquired were determined occupiable to low- and moderate-income persons, did the recipient follow its adopted Residential Anti-displacement and Relocation Plan? **Yes No**

AR-15 Did the recipient inform the occupant of the basic eligibility requirements and relocation benefits? **Yes No**

a. Was notification **hand delivered** or **mailed by certified/return receipt mail**?

AR-16 Did the relocatee receive

a. a fixed payment for moving expenses? **Yes No**

b. actual moving expenses? **Yes No**

c. a **housing payment** (rental assistance payment of up to \$5,250 for 90-day tenants or owner-occupants or **replacement housing payment** of up to \$22,500 for 180-day owner-occupants)? **Yes No**

d. a payment equal to or less than property relocation costs for direct losses of personal property as a result of moving or discontinuing a business or farm operation, equal to the

average annual earnings not less than \$1,000 and not more than \$20,000? **Yes No**

e. a payment for actual reasonable expenses in searching for a replacement business or farm? **Yes No**

f. a re-establishment payment for expenses of re-establishing the business not to exceed \$10,000? **Yes No**

AR-17 Did the recipient determine that the displacee was eligible for alternative assistance (under Section 104(d) of the Uniform Act)? **Yes No**

a. What was the type of assistance provided ?

b. What was the level of assistance ?

AR-18 If the recipient provides Relocation Assistance Advisory Services are they adequate? **Yes No**
(Describe)

AR-19 If the recipient provided "housing as a last resort," was it with IDED approval? **Yes No**

AR-20 If relocation was carried out under a third-party contract, how was it done?

COMMENTS:

Property Management (if applicable)

PM-1 If the recipient acquired any equipment (nonexpendable personal property) with an aggregate purchase price of \$5,000 or more, did it first receive authorization from IDED? **Yes No**

PM-2 Does the recipient maintain records on equipment purchased with federal funds? **Yes No**

PM-3 Did the recipient dispose of any equipment acquired with CDBG funds? **Yes No**

a. If the fair market value was greater than \$5,000 at the time of disposition (or at the time when recipient transferred use of equipment to activities not currently or previously supported by a federal agency), was IDED reimbursed an appropriate share? **Yes No**

PM-4 Did the recipient dispose of any real property acquired with CDBG funds? **Yes No**

a. If so, did the recipient request and follow disposition instructions from IDED? **Yes No**

COMMENTS: