

SECTION J - MONITORING

1. Project Monitoring

It is the State’s responsibility to ensure, to the greatest extent possible, that all CDBG projects are carried out in accordance with all program regulations and other federal requirements. State staff will work with each grantee throughout the life of the project to assist them through the process. Our goal is to have successful projects that meet the CDBG standards. When the project is 90% complete, project managers should notify their CDBG staff person. The final 5-10% of each grant will be withheld until state monitoring has occurred. While **all** projects will be monitored for program compliance, only construction projects in excess of \$200,000 will have an **on-site** monitoring visit. Other projects will be subject to “desk audits” whereby compliance documentation will be reviewed through the WebGrants system. Projects involving direct beneficiaries (single family rehab, down payment assistance, rental assistance, etc) may, at the discretion of the State staff, have an on-site visit. Other projects involving complex issues, project delays or inexperienced project managers may be monitored on-site as well. The first checklist below is provided to project managers so they can be prepared for monitoring.

2. Monitoring Checklist

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CDBG MONITORING CHECKLIST (Required for ALL Projects)

This checklist is provided as a courtesy to help grantees prepare for the CDBG monitoring process. All projects will be monitored for program compliance. 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. It is important to maintain project records for a minimum of 5 years after grant close-out.

Application Checklist – (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 applicable)
- Is the proposed project listed in the Capital Improvement Plan (CIP) as part of the Consolidated Plan?
- Commitment letters from non CDBG funding sources or other funding verification.
- Anti-dislocation resolution adopted by jurisdiction

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.

Administration 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 and contractor invoices
- Bank statements showing deposit of State Funds
- Bank statements showing payments to contractors
- Bank statements showing deposit of funds passed through to sub-recipient. (If applicable)
- Written Purchasing and Financial Policies and Procedures

Environmental File – (Online in WebGrants/Orginal documents in files)

- Environmental Certifying Officer (ECO) Resolution (if applicable)
- Environmental Review Record (ERR)

- Public notices (FONSI) and Request for Release of Funds and Certification (if applicable)
- Environmental clearance letter signed by State CDBG Office
- RLF Projects Only – Environmental Review Record (ERR) and clearance letters for each loan made.

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 Davis Bacon General Wage Decision, HUD Form 4010-Federal Labor Standard Provisions, Section 3 Clause for Construction (if applicable) and an Equal Employment Opportunity statement). Any Change Orders, including amounts.
- Grantee monitored for Section 3 compliance? (Section 3 Business Concern Forms submitted by contractors and certification by General Contractor regarding new employment opportunities created, if any.)
- 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 of all laborers and at least 10% of the workforce.

Monitored By: _____ **Date:** _____

Notes: _____

ACQUISITION PROJECTS

(revised 3/13)

CDBG Grantee: _____ Contract # _____ Date: _____ Reviewer: _____

Project Description: _____

Part I – General Information

- 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? YES
 NO
- e. Is there proof of recording of the deed in the file? YES
 NO

PART VI - Rental Agreement

- 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

SINGLE FAMILY HOUSING REHABILITATION
(revised 9/15)

AOG: _____ **Contract #:** _____ **Program Year:** _____

Homeowner: _____ **Address:** _____ **City:** _____

	Yes	No
Did homeowner complete a Single Family Housing Rehab application?		
Does the application identify:		
Location of project?		
Description of the work to be performed?		
Cost estimate?		
Accurate race and ethnicity data?		
Gender?		
Disability?		
What method was used to verify homeowner income?		
Is supporting documentation of homeowner income in the application file?		
Were the most current HUD income limits used?		
Is there proof of home ownership in the application file?		
What, if any, restrictions are there regarding re-payment of grant if home is sold?		
Has an Environmental Review Record (ERR) been approved for this project?		
Is the ERR kept in the application file?		
Has the AOG documented Lead Based Paint compliance, if applicable?		
How were the contractor procurement procedures documented?		
Was the contractor's eligibility verified and documented?		
Was the contractor's contract compared with work description prior to award?		
Is there documentation of contract award date, construction start and completion?		
Was a final inspection completed when the work was finished?		
Was the final inspection made with the homeowner or designated representative?		
Was the work performed in accordance with all codes?		
Did the homeowner sign off on the work done?		
Was the homeowner aware of the procedures in place if the work was not satisfactory?		
Does the file contain copies of all invoices and checks?		
Reviewer Notes:		

Date of Review: _____

Reviewer: _____

HOMEBUYER/RENTAL ASSISTANCE
(Revised 9/15)

	Name	Family Size	Income & Documentation	Amount	Date	Race	Hispanic	# of Disabled Persons
1								
2								
3								
4								
5								
6								
7								
8								
9								
10								
11								
12								
13								
14								
15								
16								
17								
18								
19								
20								

Reviewer Notes:

Date: _____ Reviewer: _____

EQUIPMENT PURCHASE

Grantee: _____ **Contract Amount:** _____

Contract # _____ **Program Year** _____

1. What equipment was purchased? _____
2. How was the vendor chosen? _____
3. Was an RFP prepared? Yes ____ No ____ Documentation? Yes ____ No ____
4. Award/Purchase Date: ____/____/____
5. Where is equipment located? _____
6. Has the equipment serial/VIN number been recorded on Grantee's Fixed Assets Inventory?
 - a. Yes ____ No ____
 - b. Serial Number _____
 - c. VIN Number _____
7. Does the SN # or VIN # match the invoice? Yes ____ No ____

Note to Grantee: The CDBG office must be contacted prior to the sale of any equipment valued at more than \$5,000

Monitored by: _____ **Date:** _____

Notes:
