COMMUNITY DEVELOPMENT BLOCK GRANT PROGRAM

Grant Services Division
Office of Community and Rural Affairs
One North Capitol, Suite 600
Indianapolis, Indiana 46204-2027

MONITORING MANUAL

(November 2013)

Small Cities Community Block Grant Program

Grantee: _____ **County:** _____

Grant Number: _____

Type of Project: _____

Date of Monitoring: _____

Type of Monitoring:

Final: _____ **Interim:** _____

Conducted by: _____

MONITORING MANUAL

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CDBG MONITORING GUIDELINES

1. Date of Environmental Release _____

   Date of Release of Funds _____

2. Indicate which environmental classification is applicable to this project per 24 CFR 58:

   _____ Exempt Activities (Need verification letter) (24 CFR 58.34)

   _____ Categorically Excluded Activities (24 CFR 58.35)

   _____ Assessment Activities (24 CFR 58.36)

   _____ Environmental Impact Statement (24 CFR 58.37)

3. Are maps included in ER file? (Yes or No)

4. Construction Contracts:

Prime Contractor(s) Company Name	Date Signed	Amount
_____	_____	$_____
_____	_____	$_____
_____	_____	$_____
_____	_____	$_____

5. Were constructions contracts signed prior to Release of Funds? (Yes or No)

6. Was prior approval granted for incurring costs? (Yes or No)

7. If so, list costs, dates incurred and date(s) authorization granted:

   _____ _____

   _____ _____

CDBG MONITORING GUIDELINES

PROCUREMENT PROCEDURES

COMPETITIVE SEALED BID METHOD

		Yes	No	N/A	Comments
1.	Was the Invitation for Bid (IFB) published at least twice in a publication of general circulation at least one week apart, with the second publication made at least seven (7) days before the date the bids were to be received?	( )	( )	( )	Dates: _____ _____
2.	Did the publication include a fixed date and place for receiving bids?	( )	( )	( )	_____
3.	Did IFB request clearly and describe accurately the material, product or service to be procured?	( )	( )	( )	
4.	Did IFB avoid plans and specifications for material, product or service that were restrictive of competition?	( )	( )	( )	
5.	Did IFB include provisions for "approved equals"?	( )	( )	( )	
6.	Did the IFB include a reference to:				
	a. Davis-Bacon Wages;	( )	( )	( )	
	b. Executive Order 11246; and	( )	( )	( )	
	c. 10% MBE/WBE Goal?	( )	( )	( )	
7.	Did the IFB include the notice of bonding and certification requirements?	( )	( )	( )	
8.	Did the IFB state a place where project plans and specifications were available for public review?	( )	( )	( )	
9.	Were bids opened publicly at the time and place stated in the IFB?	( )	( )	( )	Date: _____
10.	Were minutes of the Bid Opening meeting and sign-in sheet sent to Grant Support?	( )	( )	( )	

	Yes	No	N/A	Comments
11. Was a certified bid tabulation sheet prepared by project Architect/Engineer showing name and bid price of each bidder, and whether the bid was responsive?	( )	( )	( )	
12. Were bids received from at least two (2) responsible bidders?	( )	( )	( )	
13. Was the contract awarded to the lowest responsive bidder?	( )	( )	( )	
14. If not awarded to the lowest bidder, was a detailed explanation by legal counsel provided to Grant Support?	( )	( )	( )	
15. Was the contract awarded based on a "Firm, Fixed Price" basis?	( )	( )	( )	
16. Prior to contract award, were the contractors eligibility verified?	( )	( )	( )	
17. Did the construction contract include the Complete Federal Construction Contract Provisions? (Check One:)				
Attached to contract: _____ By reference to bid specifications: _____				
18. Did the construction contract include the following Federal and State Bonding Requirements?				
A. Bid Guarantee equivalent to 5% of bid price	( )	( )	( )	
B. Performance Bond in the amount of 100% of the contract price	( )	( )	( )	
C. Payment Bond in the amount of 100% of the contract price	( )	( )	( )	
19. Is the contract in compliance with the conflict of interest requirement of 24 CFR 570.611?	( )	( )	( )	

PROCUREMENT PROCEDURES ENGINEERING OR ARCHITECTURAL SERVICES

COMPETITIVE NEGOTIATION METHOD

	Yes	No	N/A	Comments
1. Was the Request for Qualifications (RFQ) published in a newspaper of general circulation?	( )	( )	( )	Date: _____
2. Date Statement of Qualifications Due:				_____
3. Were RFP/RFQ's solicited from at least five qualified sources?	( )	( )	( )	
4. Were at least two of the five solicitations sent to MBE/WBE's certified by the Indiana Department of Administration's "Minority Business Development Division" by certified mail?	( )	( )	( )	
5. Were Certified Mail Receipts available for review?	( )	( )	( )	
6. Did the RFQ state clearly and accurately the technical requirements for the goods or services to be procured?	( )	( )	( )	
7. Did RFQ omit the use of price as a scoring criterion?	( )	( )	( )	
8. Did the RFQ identify all significant evaluation/selection criteria, weight of selection criteria, participants in the selection process and type of contract to be utilized?	( )	( )	( )	
9. Was an evaluation committee appointed to review all RFQ's received?	( )	( )	( )	
10. Were proposals received from more than one responsive source?	( )	( )	( )	
If no, was a letter justifying the award available?	( )	( )	( )	
11. Was documentation of scoring by committee members available for review?	( )	( )	( )	

	Yes	No	N/A	Comments
12. Were Professional Service Contracts awarded to the responsible offerer whose proposal was most advantageous? to the project?	( )	( )	( )	
13. Was contract based on a "Fixed Price" or "Cost-Reimbursement"?	( )	( )	( )	
14. Did any Professional Service Contracts have payment terms based upon "percentage-of-cost" basis? (Prohibited by OMB Circular A-102)	( )	( )	( )	

CDBG MONITORING GUIDELINES

ENGINEERING OR ARCHITECTURAL CONTRACTS

Consultant _____

Date Contract Signed _____

Contract Amount _____

Type of Procurement Method _____

Paid with Federal Funds? _____ **Yes** _____ **No** (If No, Procurement Procedures do not apply.)

	Yes	No	N/A	Comments
1. Did the Grantee/Consultant agreement clearly establish:				
a. Operating budget	( )	( )	( )	
b. Scope of work	( )	( )	( )	
c. Method of payment	( )	( )	( )	
d. Performance schedule	( )	( )	( )	
e. Description of services	( )	( )	( )	
f. Monitoring & evaluation criteria	( )	( )	( )	
g. Record retention requirements	( )	( )	( )	
h. Reporting to grantee requirements	( )	( )	( )	
2. Did Engineering/Architectural Contracts include "Third Party Contract Provisions"?	( )	( )	( )	
3. Is grantee fully satisfied with the performance of the consultant?	( )	( )	( )	
4. Was the performance of the consultant consistent with the terms of the agreement and CDBG guidelines?	( )	( )	( )	

PROCUREMENT PROCEDURES FOR GRANT ADMINISTRATION

COMPETITIVE NEGOTIATION METHOD

	Yes	No	N/A	Comments
1. Was the Request for Proposals (RFP) published in a newspaper of general circulation?	( )	( )	( )	Date: _____
2. Date RFP's Due:				_____
3. Were RFP's solicited from at least five qualified sources?	( )	( )	( )	
4. Were at least two of the five solicitations sent to MBE/WBE's certified by the Indiana Department of Administration's "Minority Business Development Division" by certified mail?	( )	( )	( )	
5. Were Certified Mail Receipts available for review?	( )	( )	( )	
6. Did the RFP state clearly and accurately the technical requirements for the services to be procured?	( )	( )	( )	
7. Did the RFP identify all significant evaluation/selection criteria, weight of selection criteria, participants in the selection process and type of contract to be utilized?	( )	( )	( )	
8. Was an evaluation committee appointed to review all RFP's received?	( )	( )	( )	
9. Were proposals received from more than one responsive source?	( )	( )	( )	
If no, was a letter justifying the award available?	( )	( )	( )	
10. Was documentation of scoring by committee members available for review?	( )	( )	( )	

	Yes	No	N/A	Comments
11. Was contract awarded to the service provider who proposed the lowest price?	( )	( )	( )	
12. Was contract based on a "Fixed Price" or "Cost-Reimbursement"?	( )	( )	( )	
13. If contract for Grant Administration was not awarded to the provider who submitted the lowest price, was documentation available to support the reasons?	( )	( )	( )	
14. Did any Professional Service Contracts have payment terms based upon "percentage-of-cost" basis? (Prohibited by OMB Circular A-102)	( )	( )	( )	

GRANT ADMINISTRATION CONTRACTS

Consultant _____

Date Contract Signed _____

Contract Amount _____

Type of Procurement Method _____

Paid with Federal Funds? _____ **Yes** _____ **No** (If No, Procurement Procedures do not apply.)

	Yes	No	N/A	Comments
1. Did the Grantee/Consultant agreement clearly establish:				
a. Operating budget	( )	( )	( )	
b. Scope of work	( )	( )	( )	
c. Method of payment	( )	( )	( )	
d. Performance schedule	( )	( )	( )	
e. Description of services	( )	( )	( )	
f. Monitoring & evaluation criteria	( )	( )	( )	
g. Record retention requirements	( )	( )	( )	
h. Reporting to grantee requirements	( )	( )	( )	
2. Did the Grant Administration Contract include "Third Party Contract Provisions"?	( )	( )	( )	
3. Is grantee fully satisfied with the performance of the consultant?	( )	( )	( )	
4. Did it appear that the performance of the Consultant was consistent with the terms of their contract and CDBG guidelines?	( )	( )	( )	

NONCOMPETITIVE NEGOTIATION METHOD

	Yes	No	N/A	Comments
1. Were any items purchased under the Noncompetitive Negotiation Method?	( )	( )	( )	
2. Which of the following circumstances applied to this procurement?				
a. Was item available only from a single source?	( )	( )	( )	
b. Did an emergency exist which would not permit the delay caused by competitive solicitation?	( )	( )	( )	
c. After solicitation of a number of sources, was competition determined to be inadequate?	( )	( )	( )	
d. Was Noncompetitive Procurement authorized by Grant Support? (Required)	( )	( )	( )	
3. A "Cost-Price" analysis is required for all sole source procurements.				
a. Was there an evaluation of specific elements of costs and proposed profit?	( )	( )	( )	
b. Was proposed cost data verified by a licensed or credible third party?	( )	( )	( )	
c. Was procurement contract based on a firm, fixed price?	( )	( )	( )	
d. Was the Cost-Price analysis performed or certified by professional engineer, licensed architect, or other qualified professional?	( )	( )	( )	

PROCUREMENT PROCEDURES

SMALL PURCHASES METHOD

IC 36-1-12-4 establishes the dollar limits that distinguish between utilization of small purchase procurement instead of other procurement methods. It states that formal bidding procedures must be utilized when the price of the product or service exceeds one of the following:

a. **$75,000 or more for purchases of a consolidated or second class city or a county containing a consolidated city or second class city, or a regional water or sewage district established under IC 13-26;**

b. **$50,000 or more for purchases of a third class city or town with a population of 5,000 or more or a county containing a third class city or town with a population of 5,000 or more;**

c. **$25,000 or more for purchases of a political subdivision or an agency not described in (a.) or (b.) above.**

	Yes	No	N/A	Comments
1. Were any small purchases made?	( )	( )	( )	
2. If yes, provider's name: _____ Amount of purchase: $_____				
3. Was the amount of the services, supplies or other property procured under the small purchases method less than the amount allowed?	( )	( )	( )	

4. What is the small purchase threshold amount for this grantee? $_____

   Note: If purchase price was at least $25,000 but less than $75,000 for grantees that fall into category (a.) above or, at least $25,000 but less than $50,000 for grantees that fall into category (b.) above, a Request for Quotations must be obtained from at least three qualified sources.

5. For the small purchase(s) made for this project were written price quotations received from at least three qualified sources?	( )	( )	( )	
6. Was the product purchased from the lowest priced quotation?	( )	( )	( )	

SUBRECIPIENT AGREEMENTS

Subrecipient Agency Name _____

Date Subrecipient Agreement Signed _____

	Yes	No	N/A	Comments
1. Is the latest version of the fully executed Subrecipient Agreement for this CDBG grant on file in the Grant Support office?	( )	( )	( )	
2. If not, include complete copy with Monitoring Review to be provided to CDBG Program Manager. **(Required)**				
3. Was Subrecipient Agreement recorded?	( )	( )	( )	
If yes, date recorded: _____				
4. Did the Subrecipient Agreement use the format provided by Grant Support which includes all of the minimum provisions?	( )	( )	( )	
5. Were the Third Party Contract Provisions attached to the Subrecipient Agreement?	( )	( )	( )	
6. Did the grantee forward CFF funds to the Subrecipient for payment to contractors?	( )	( )	( )	
7. Was a separate ledger account created for tracking grant funds and local matching funds specifically for this project? (Required by I.C.36-1-8-12, effective 7/1/97)	( )	( )	( )	
8. Was Federal Cash Control Register maintained and available for review?	( )	( )	( )	
9. Was Contract Obligations Control listing all contracts maintained and available for review?	( )	( )	( )	
10. Were Contractor Expenditure Ledgers, (separate ledger for each contractor) maintained and available for review?	( )	( )	( )	

	Yes	No	N/A	Comments
11. Was Property Inventory form completed and available for review?	( )	( )	( )	
12. Were drawdowns limited to the minimum amount of funds needed to pay current expenses?	( )	( )	( )	
13. Were drawdowns based on invoices or billings?	( )	( )	( )	
14. Do source documents backup expenditures and drawdown requests?	( )	( )	( )	
15. Were Federal Funds greater than $5,000 held longer than 5 days?	( )	( )	( )	
16. If so, can the subrecipient justify why the funds drawn down were not disbursed under the required time frame?	( )	( )	( )	
17. Is the subrecipient's performance consistent with CDBG regulations?	( )	( )	( )	
18. Is subrecipient aware of the **minimum** length of time the CDBG assisted facility must continue to be used for its intended purpose as specified in the contract agreement with the grantee?	( )	( )	( )	
19. Does subrecipient understand the reversion requirements of CDBG funds used for facilities which failed to meet the National Objective or failed to retain the intended use for a minimum of five years after closeout?	( )	( )	( )	
20. Does the Grantee have a procedure in place to monitor the subrecipient's compliance with 24 CFR 570.503 for a period of five years after the Certificate of Completion is issued by Grant Support?	( )	( )	( )	

ACQUISITION AND RELOCATION

ACQUISITION

Number of permanent/temporary easements obtained_____

Number of parcels obtained_____

	Yes	No	N/A	Comment
1. Did owner(s) receive a timely notice of Agency's interest in acquiring property?	( )	( )	( )	
2. Did owner(s) receive informational brochure explaining URA rights prior to entering into any agreements?	( )	( )	( )	
3. If the value of the property was less than $10,000, was this verified by a **market estimate** by a licensed real estate broker?	( )	( )	( )	
4. Was the value of the property $10,000 or more?	( )	( )	( )	
5. Were owner(s) advised, in advance, of their right to attend the appraisal?	( )	( )	( )	
6. Was fee appraisal completed by a qualified, licensed appraiser?	( )	( )	( )	
7. Was a review appraisal completed by a qualified, licensed appraiser?	( )	( )	( )	
8. Did fee appraisal and review appraisal concur on property value?	( )	( )	( )	
9. If not, was review appraisal value used for offer to purchase?	( )	( )	( )	
10. Were the appraisals completed within 12 months of the date the owner(s) signed a purchase agreement?	( )	( )	( )	

	Yes	No	N/A	Comments
11. If a "Willing buyer/Willing seller" transaction, was market estimate by a licensed real estate broker prepared in lieu of appraisals?	( )	( )	( )	
12. Did grantee promptly provide owner a written offer to purchase stating price, terms and conditions?	( )	( )	( )	
13. Did grantee pay or reimburse owner for closing costs?	( )	( )	( )	
14. Did monitor receive copies of canceled checks and closing statement to document that owner received payment in full?	( )	( )	( )	
15. If property was fully or partially donated, was the appropriate waiver form completed and signed after receipt of HUD information brochure? (HUD-1041-CPD)	( )	( )	( )	
16. Were any properties or easements acquired AFTER ROF?	( )	( )	( )	
17. Were all conveyances by Warranty Deed(s) rather than Quit Claim Deed(s)?	( )	( )	( )	
18. Did the Grantee's attorney ensure a title search and opinion were secured prior to the transaction?	( )	( )	( )	
19. Were all interests in real property conveyed to the Grantee or subrecipient under this project (easements, leasehold interests and fee simple interest) recorded with applicable County Recorders Office?	( )	( )	( )	

RELOCATION
(Reference: HUD Handbook Number 1378)

	Yes	No	N/A	Comments
1. Did each person occupying the property receive an informational brochure explaining their rights under the Uniform Relocation Assistance Act?	( )	( )	( )	
2. Did each person receive timely written notice of eligibility for relocation assistance?	( )	( )	( )	
3. Was each person personally interviewed to determine person's relocation needs and preferences and to explain rights?	( )	( )	( )	
4. Were appropriate social services provided?	( )	( )	( )	
5. Did grantee provide referrals to suitable replacement locations?	( )	( )	( )	
6. Did grantee provide appropriate technical aid to re-establish business operations?	( )	( )	( )	
7. Did grantee receive timely written identification of location and price (or rent and utility costs) of specific comparable replacement dwelling used as basis for determining maximum replacement housing payment?	( )	( )	( )	
8. Did persons receive referrals to other comparable replacement housing units?	( )	( )	( )	
9. Did grantee inspect replacement housing unit to which person moved?	( )	( )	( )	
10. Did grantee inspect comparable replacement housing unit on which maximum replacement housing payment was based?	( )	( )	( )	
11. Did grantee inspect other housing units before referral or notify person at time of referral of requirement for inspection before payment?	( )	( )	( )	

	Yes	No	N/A	Comments
12. Did persons ordered to vacate, receive proper 90-day notice?	( )	( )	( )	
13. If a 90-day notice was issued, did person receive prior referral to comparable replacement housing?	( )	( )	( )	
14. If applicable, was 30-day vacate notice delivered?	( )	( )	( )	
15. Were payments made promptly, including advance payments, where appropriate?	( )	( )	( )	
16. Was rental charge reasonable?	( )	( )	( )	
17. Were dwelling units maintained in safe and habitable condition?	( )	( )	( )	
18. If temporarily relocated, was person reimbursed for out-of-pocket expenses (increased housing costs and moving expenses to and from the temporary unit)?	( )	( )	( )	
19. Was housing decent, safe and sanitary?	( )	( )	( )	
20. Did tenant receive lease with rent and other terms and conditions in accordance with applicable standards?	( )	( )	( )	
21. Were there any relocation appeals?	( )	( )	( )	
22. Were persons whose appeal was partially or fully denied informed of right to appeal to State?	( )	( )	( )	

CIVIL RIGHTS

	Yes	No	N/A	Comments
1. When advertising job vacancies, (non-elected positions) does **Grantee** state they are an Equal Opportunity Employer?	( )	( )	( )	
2. When advertising job vacancies, does **sub-recipient** state they are an Equal Opportunity Employer?	( )	( )	( )	
3. Did Grantee have the EEO posters displayed?	( )	( )	( )	
4. Were these posters placed in a conspicuous location in the workplace where notices to applicants are customarily posted?	( )	( )	( )	
5. Have any equal employment opportunity complaints been filed against the grantee within the past five (5) years?	( )	( )	( )	
6. If yes, were complaints satisfactorily resolved?	( )	( )	( )	
7. Is Grantee's Drug Free Workplace policy posted in public areas or provided in writing to all employees?	( )	( )	( )	
8. Does grantee have Fair Housing notice displayed?	( )	( )	( )	
9. Has the Affirmatively Further Fair Housing CDBG File Checklist been submitted?	( )	( )	( )	
What activity was chosen? _____				
Is the evidence the activity is complete?	( )	( )	( )	
10. Does the grantee have counseling services available regarding fair housing to those in need?	( )	( )	( )	
11. Have there been any housing complaints				

filed against the grantee within the past five years?	( )	( )	( )	
	Yes	**No**	**N/A**	**Comments**
12. If yes, were complaints satisfactorily resolved?	( )	( )	( )	
13. Did the grantee take affirmative steps to select minority owned and women owned businesses in grant funded contracts?	( )	( )	( )	
14. Were copies of Certified Mail Receipts provided to Grant Support proving that at least two MBE/WBE firms were solicited for:				
Construction	( )	( )	( )	
Engineering/Architectural	( )	( )	( )	
Grant Administration	( )	( )	( )	
15. Did Grant Support receive the "Notice of Civil Rights/Section 3 Officer"?	( )	( )	( )	
16. Was 10% MBE/WBE participation goal achieved on this project?	( )	( )	( )	
17. Did grantee submit MBE/WBE utilization on semi-annual reports to Grant Support?	( )	( )	( )	
18. Did Grant Support receive a copy of the "Certificate of Accessibility" form?	( )	( )	( )	
19. Was Grant Support provided a copy of Section 3 Compliance form for all contractors?	( )	( )	( )	
20. Was Grant Support provided a copy of an updated Disclosure Report?	( )	( )	( )	
21. Has the grantee ensured that no conflict of interest, real or apparent, exists with respect to any contract supported by CDBG funds? (24 CFR 570.611)	( )	( )	( )	

LABOR STANDARDS

	Yes	No	N/A	Comments
1. Did Grant Support receive the following required forms:				
a. Notice of Labor Standards Officer	( )	( )	( )	
b. Wage Determination Lock-In Notice	( )	( )	( )	
c. Pre-Bid Meeting Acknowledgement	( )	( )	( )	
d. Verification for Contractor/Sub contractor Eligibility	( )	( )	( )	
e. Notice of Contract Award	( )	( )	( )	
f. Preconstruction Conf. Acknowledgement	( )	( )	( )	
g. Notice to Start Construction	( )	( )	( )	
h. Notice of Completion/Final Inspect	( )	( )	( )	
i. Final Wage Compliance	( )	( )	( )	
2. Was the Contractor Certification available for review?	( )	( )	( )	
3. Was the Sub-Contractor Certification available for review?	( )	( )	( )	
4. Number of Sub-contractors that worked on the project_____				
5. Number of Sub-contracts reviewed _____				
6. Were the Federal Construction Contract Provisions including the HUD form 4010 Attached to all the sub-contracts reviewed.	( )	( )	( )	
7. What was Bid Opening Date? _____				
8. Date of Contract Award: _____				
9. Was the contract awarded within 90 days of bid opening?	( )	( )	( )	
10. Applicable Wage Decision: _____				
11. Was any volunteer labor used on the job?	( )	( )	( )	
If yes, are Labor Standards forms 18 & 19 Completed and available?	( )	( )	( )	

12. If so, did Community Assistance and HUD give necessary approval?	( )	( )	( )	
13. Was any work performed by city or county employees on this project? (Force Account)	( )	( )	( )	
14. If so, were records available to document the use of public employees?	( )	( )	( )	

	YES	**No**	**N/A**	**Comments**
15. Were Certified Payrolls submitted weekly by all contractors and subcontractors and signed by authorized personnel?	( )	( )	( )	
16. Was the first payroll for a period ending within a reasonable time after the stated Start of Construction date?	( )	( )	( )	

Date: _____

17. If contractors submitted payroll information on a form other than the Certified Payroll form, was a WH-348, Statement of Compliance included with each payroll?	( )	( )	( )	
18. Did any wage deficiencies occur during this project?	( )	( )	( )	
19. If so, has proper restitution been made and documented?	( )	( )	( )	
20. Have copies of restitution payments been provided to Grant Support?	( )	( )	( )	
21. Were employee interviews conducted with at least 10% of each classification of workers?	( )	( )	( )	
21. Did any contractor use Apprentices on this project?	( )	( )	( )	
22. If yes, was verification in the project file to confirm each Apprentice's enrollment in a bonafide Apprenticeship Program?	( )	( )	( )	
23. Did contractors always have a proper ratio of Journeymen on the project site when Apprentices were working?	( )	( )	( )	

Wage Decision:_____ **Wage Monitoring** **County _____**

Classifications Used	Wages Due	F/B Due	Total Due

Wage Decision:_____ **Wage Monitoring** **County _____**

Classifications Used	Wages Due	F/B Due	Total Due

Wage Monitoring

Contractors Name Amount of Contract	# of Payrolls	Employee Name	Employee Classification	Hourly Paid	F/B Paid	Total Paid	Comments

Wage Monitoring

Contractors Name Amount of Contract	# of Payrolls	Employee Name	Employee Classification	Hourly Paid	F/B Paid	Total Paid	Comments

FINANCIAL MANAGEMENT

	Yes	No	N/A	Comments
1. Was a separate ledger account created by Grantee for tracking grant funds and local matching funds specifically for this project?	( )	( )	( )	
2. Was Federal Cash Control Register maintained and available for review?	( )	( )	( )	
3. Was Contract Obligations Control listing all contracts maintained and available for review?	( )	( )	( )	
4. Were Contractor Expenditure Ledgers, maintained and available for review?	( )	( )	( )	
5. Was Property Inventory form completed and available for review?	( )	( )	( )	
6. Was the Local Match Ledger form completed and available for review?	( )	( )	( )	
7. Were drawdowns limited to the minimum amount of funds needed to pay current expenses?	( )	( )	( )	
8. Were drawdowns based on invoices or billings?	( )	( )	( )	
9. Do source documents backup expenditures and drawdown requests?	( )	( )	( )	
10. Were Federal Funds greater than $5,000 held longer than 5 business days?	( )	( )	( )	
11. If so, can the grantee justify why the funds drawn down were not disbursed pursuant to US Treasury requirements?	( )	( )	( )	
12. Were change orders made by any contractor totaling more than 20% of their original contract price?	( )	( )	( )	
13. Has the engineer submitted a written statement explaining the unforeseen circumstances which caused the excessive amount of change orders?	( )	( )	( )	

14. What was the amount of local funds pledged per the grant agreement:

$_____ % of total project _____

15. List the actual amount of local funds spent on this project:

$_____ % of total project _____

	Yes	No	N/A	Comments
15. Did grantee meet the percentage of local matching funds pledged?	( )	( )	( )	
16. If actual expenditures from local funds exceeded the amount pledged in the Grant Agreement, what was the source of the additional funds? _____				
17. Did grantee contribute local funds on a pro-rata matching basis toward all disbursements as required?	( )	( )	( )	
18. Did grantee establish a "Retainage Account" required by state law for all public works projects in excess of $100,000?	( )	( )	( )	
19. Name of trustee for retainage agreement/account: _____				
20. Did grantee make timely pro-rata contributions of local funds to retainage account(s) in addition to CDBG funds? **(Required)**	( )	( )	( )	
21. Has retainage account been disbursed?	( )	( )	( )	
22. If not, describe any outstanding Grantee/Contractor disputes or other factors delaying liquidation of retainage account: _____				

SCHEDULE OF CDBG
DRAWDOWNS AND
DISBURSEMENTS

Draw #	Amount Received	Date Deposited	Date Disbursed	Warrant Number	Amount Disbursed	Payee
TOTAL						

SCHEDULE OF CDBG
DRAWDOWNS AND
DISBURSEMENTS

Draw #	Amount Received	Date Deposited	Date Disbursed	Warrant Number	Amount Disbursed	Payee

CDBG
CLOSEOUT
WORKSHEET

Item	Activity	CDBG Budget	Local Budget	Other	Total Budget	CDBG Actual	Local Actual	Other	Total Actual
1	Acquisition								
2	Clearance								
3	Public Facility								
04A	Water Facilities								
04B	Sewer Facilities								
04C	Flood or Drainage								
5	Street/Bridge								
6	Other Public Facility								
8	Relocation								
09B	Commercial Rehab								
11	Arch Barrier Remvl								
12	Planning Only								
13	Administration								
14A	Econ Dev Non Profit								
14B	Econ Dev For Profit								
14C	Micro Enterprise								
16	Environmental Review								
18	MBE Participation								
19	Other (Specify)								
Total									

NATIONAL OBJECTIVE

1. Which of the following criteria was used to determine whether this CDBG assisted activity complied with one of the national objectives as required under 570.200(a)(2)?

2. ( ) **Activities benefiting low and moderate income persons:**
   Regulation References: 570.208(a)(1) and 570.483(b)(1)

   ( ) **Areawide basis:** An activity, the benefits of which are available to all the residents in a particular area, where at least 51% of the residents are low and moderate income persons.

   Was 51% LMI determined by:

   ( ) HUD Census Data
   ( ) Income Survey
   Certified by: _____ Date: _____

3. ( ) **Limited Clientele:** Regulation References: 570.208(a)(2) and 570.483(b)(2)

   ( ) An activity which benefits a limited clientele, at least 51% of whom are low and moderate income persons.

   ( ) An activity which benefits a limited clientele who are generally presumed to be principally low and moderate income persons by HUD regulations. Which presumptive category does this project benefit?

   ( ) Abused Children
   ( ) Battered Spouses
   ( ) Elderly Persons (62+)
   ( ) Handicapped Persons
   ( ) Homeless Persons
   ( ) Illiterate Persons
   ( ) Migrant Farm Workers
   ( ) Persons with AIDS

   ( ) An activity which is of such nature and in such location that it may be concluded that the activity's clientele will primarily be low and moderate income persons.

4. When inspecting the facility/service, is there any reason to believe that this activity does not meet the needs of low and moderate income persons? _____ Yes _____ No

5. If yes, the reason for believing that this activity does not meet the needs of low/mod persons is because:

   ( ) Although beneficiaries are members of a segment of the population presumed to be low/mod by Grant Support, there is reason to believe the majority are **not** low/mod, or

   ( ) At the site of the activity, information on the income status of participants is not being requested or updated or properly assessed as it should be, or

   ( ) Although the nature and location of an activity would lead you to believe that the beneficiaries are low/mod, viewing the activity leads you to think otherwise.

6. Based on the above, do you believe the activity qualifies as benefiting low and moderate income persons? _____ Yes _____ No

   If no, explain: _____

   _____

7. ( ) **Housing Activities:** Regulation Reference 570.208(a)(3) and 570.483(b)(3)

   An eligible activity carried out for the purpose of providing or improving permanent residential structures which, upon completion, will be occupied by low and moderate income households. Which of the following eligible activities does this project address?

   ( ) Rehabilitation (100% LMI)
   ( ) Acquisition or public infrastructure (51% LMI)

8. ( ) **Job Creation/Retention:** Regulation Reference 570.208(a)(4) and 570.483(a)(4)

   An activity designed to create or retain permanent jobs where at least 51% of the jobs, computed on a full time equivalent basis, involve the employment of low and moderate income persons. The activity must meet the following criteria:

   ( ) For an activity that creates jobs, grantee must document that at least 51% of the jobs are held by or have been made available to low and moderate income persons.

   ( ) For an activity that retains jobs, the grantee must document that the jobs would actually be lost without the CDBG assistance and that either or both of the following conditions apply with respect to at least 51% of the jobs at the time the CDBG assistance is provided:

      ( ) The job is known to be held by a low or moderate income person, **OR**
      ( ) The job can reasonably be expected to turn over within two years after project completion, and that steps will be taken to ensure that it will be filled by, or made available to, a low or moderate income person upon turnover.

9. Provide the following information relative to this project:

_____ Jobs goal
_____ Jobs actual (at date of monitoring)
_____ Number LMI
_____ Percentage LMI
_____ Were the jobs created those listed on the job creation agreement? If not, is a justification provided?

10. Describe methodology used to properly document compliance with job creation/retention regulatory requirements: _____

_____

_____

11. ( ) **Activities which aid in the prevention or elimination of slums or blight:**
Regulation Reference 570.208(b)(1) and 570.483(c)(1) and (2)

( ) Areawide basis
( ) Spot basis

12. ( ) **Activities designed to meet community development needs having a particular urgency or imminent threat to health and safety:**
Regulation Reference 570.208(c) and 570.483(d)

An activity will be considered to address this objective if the recipient certifies that the activity is designed to alleviate existing conditions which pose a serious and immediate threat to the health or welfare of the community and are:

( ) Of recent origin (within 18 months) AND
( ) No other sources of funding available (documentation required)

	Yes	No	N/A	Comments
13. Were any ineligible activities conducted which were not in compliance with CDBG regulations?	( )	( )	( )	
15. Is grantee fully aware that the CDBG assisted facility must continue to be used for its intended purpose for five years from the date of close out?	( )	( )	( )	

	Yes	No	N/A	Comments
16. Does grantee understand the reversion requirements of CDBG funds used for facilities which failed to meet the national objective or failed to retain their intended use for a minimum of 5 years after closeout?	( )	( )	( )	
17. Were there any changes to the scope of the project or the intended beneficiaries during the process from beginning to end?	( )	( )	( )	
18. Did those changes affect the national objective or eligibility guidelines?	( )	( )	( )	
19. Have the national objective and project eligibility guidelines been met?	( )	( )	( )	
20. Were citizens well informed of the scope of this project?	( )	( )	( )	
21. Were there any citizen complaints?	( )	( )	( )	
22. Did grantee make every effort to resolve citizen complaints within a reasonable time period?	( )	( )	( )	
23. Was a site visit conducted as a part of the monitoring process?	( )	( )	( )	
24. Did the facility accommodate the national objective and program beneficiaries as projected?	( )	( )	( )	

Proposed Beneficiaries: _____ Actual Beneficiaries: _____

25. If this project was for sewer or water, are all new users connected?	( )	( )	( )	
26. Was the facility being used for any purpose other than that intended?	( )	( )	( )	
27. Were any special assessments or user fees being charged or assessed?	( )	( )	( )	
28. Is the CDBG assisted facility fully insured with proof of insurance available?	( )	( )	( )	

	Yes	No	N/A	Comments
29. Was it necessary to review intake documents at the project site?	( )	( )	( )	
30. Did intake documents substantiate 51% low to moderate income level of program beneficiaries?	( )	( )	( )	
31. Is project generating "Program Income"?	( )	( )	( )	
32. Does program income from all CDBG assisted projects exceed $25,000 per calendar year?	( )	( )	( )	
33. Is grantee aware that CDBG Program Income must be disbursed, in accordance with CDBG guidelines, prior to the award or drawdown of additional CDBG funds?	( )	( )	( )	
34. Is grantee aware that when monitoring has been completed with no findings, or with findings resolved, the Form 2 – Financial Settlement/Expenditure Report must be Submitted to Grant Support within 30 days of monitoring letter?	( )	( )	( )	
35. Have all grant goals been met to complete Administrative Closeout (Form 3)?	( )	( )	( )	
36. Is grantee aware the Notification of Single Annual Audit form is to be submitted to Grant Support within 60 days of the end Of the fiscal year?	( )	( )	( )	
37. Is grantee aware that it is ***their*** responsibility to submit a copy of SBA's audit reports to Grant Support if indicated on the Notification Of Single Annual Audit form?	( )	( )	( )	

Monitor's Comments regarding execution of CDBG grant program and procedures:

_____

_____

_____

_____