

Construction Grant Monitoring Checklist

Construction grants are subject to desk monitoring or onsite review. The monitoring is initiated once a closeout request is submitted in eGMS. A monitoring record will be created in eGMS, and Grant Services will notify you if the project is to undergo a desk monitoring or onsite review.

If selected for desk monitoring, the Grantee will have 30 days from the date of its closeout request to upload the below items to the monitoring record. If selected for onsite review, all items must be available for inspection. Anything in **blue** will be collected by Grant Services while onsite.

General Items

- Grantee's Acknowledgements & Certifications (Closeout Monitoring Form 1)**
- Updated Applicant/Recipient Disclosure Report (Contract Dev. Form 1)**

Civil Rights

- Certificate of Accessibility Form**
- Section 3 Compliance Form**

**The following items should have been provided at FEPS. If not provided then, they must be provided at monitoring.*

- Evidence that a FH Activity was completed in correlation with the project
- Pictures of the following EEOC & FH posters
 - Equal Employment Opportunity Commission
 - DOL Section 3 Compliance
 - ICRC Fair Housing (state)
 - HUD Fair Housing (federal)

Procurement & Contracts

- Signed and dated copy of Prime Construction Contract with Federal Construction Contract Provisions and Wage Decision
- Proof of Bonding Requirements
 - Bid Guarantee/Bond equivalent to 5% of the bid price
 - Performance Bond in the amount of 100% of the contract price
 - Payment Bond in the amount of 100% of the contract price
- Signed and dated copy of all Sub-Contractor contracts with following addenda
 - HUD Form 4010
 - Sub-Contractor Certification
- Noncompetitive Procurement (if applicable)
 - Evidence of permission from OCRA to use noncompetitive method
 - Documentation of the cost-price analysis

- Small Purchase Procurement (if applicable)
 - Evidence of permission from OCRA to use small purchase method
 - Documentation of the solicitation to at least three qualified sources and all written price quotations received

Labor Standards Forms

- Wage-Fringe Benefit Certification (Form 9)
- Contractors Certification (Form 10)
- Sub-Contractors Certification (Form 11) for each sub-contractor
- Final Wage Compliance Report (Form 15)**
- Final Inspection & Project Completion (Form 16)**

Payroll/Wage Review

- Complete list of all workers who worked on the project for Primes and Subs (including bona fide owners)
- Fringe breakdown/explanation for each contractor and subcontractor
- Certified payroll sheets – must be clearly numbered and include payroll week dates
 - First payroll clearly marked as “FIRST” or “INITIAL”
 - Sampling of payrolls to cover all employees working on the project
 - Each employee working on the project must be represented in the payroll.
 - If an employee worked under multiple classifications, each classification must be present in the payrolls submitted.
 - Final payroll clearly marked as “FINAL”
- For any/all apprentices who worked on the project, proof of enrollment in DOL or State approved apprenticeship program**
- Documentation for any/all Force Account or Volunteer Labor work**
- Copies of employee interview sheets – at least 10% of each classification
- For Wage Deficiencies & Restitution**
 - Copy of signed corrected certified payroll where deficiency occurred**
 - Copies of checks for all restitution payments, with paystub or memo line verification**
 - Employee acknowledgement confirming receipt of restitution payment**

**If restitution is found, Grant Services may request that all payrolls be provided to ensure additional wage deficiencies have not occurred and that proper restitution is made to all affected employees.*

Financial Management

- Copy of federal Financial Management forms**
 - Federal Cash Control Register (Form 1)**
 - Contract Obligations Control Register (Form 2)**
 - Contractor Expenditure Ledger (Form 3)**
 - Property Inventory Ledger (Form 4)**
 - Local Match Ledger (Form 5)**

- Claims & Draws
 - Copy of invoices or billing statements from the professional service providers
 - Copy of deposits and expenditures of grant funds (e.g. – State Auditor's ACH receipt, bank statement showing receipts and disbursements)
 - Copy of checks disbursing grant funds to contractors/service providers working on this project
- Local Match
 - Copy of checks disbursing local funds toward this project
**Invoices for local match disbursement not required but may be provided*
- Change Orders – where the change is > than 20% of the original contract price**
 - Copy of the change order**
 - Written statement from the Engineer explaining unforeseen circumstances that necessitate the change order**
- 5-Day Disbursement Rule – where the Grantee failed to disburse federal funds in excess of \$5,000 within 5 days of receipt**
 - Detailed letter signed by the Chief Elected Official acknowledging the error and explaining why the violation occurred**
 - Letter from the bank or audit/treasurer confirming the funds were held in a non-interest-bearing account OR that the amount of interest accrued was less than \$100.00**
 - If interest accrued is in excess of \$100.00, check made payable to U.S. Treasury to return the excess funds**

Additional Documentation

- Photos (if applicable)
- Intake documentation for projects with Limited Clientele National Objective**
- Acquisition (if applicable)**
 - Copy of checks for URA activities not previously provided at Release of Funds**
 - Copy of all URA materials for any parcels or easements acquired after Release of Funds**

Tips & Recommendations for Onsite Reviews (Not Required)

- You can expedite the wage review by uploading the following docs to the monitoring record in eGMS before Grant Services comes onsite
 - Wage-Fringe Benefit Certification (Form 9)
 - Complete list of all workers who worked on the project for Primes and Subs (including bona fide owners)
 - Fringe breakdown/explanation for each contractor and subcontractor