

# ADMINISTRATIVE REQUIREMENTS

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## NOTES

## CHAPTER 2: ADMINISTRATIVE REQUIREMENTS

An important part of any grant is grant administration. Grant recipients are required to prepare, maintain and submit to the Division of Energy, Housing and Community Resources (DEHCR) all records required to document compliance with the Community Development Block Grant (CDBG) program. The Unit of General Local Government (UGLG) may assign the duties to a designated Grant Administrator, who may be an employee or elected official of the municipality or a contracted third party through a professional services firm or organization.

The UGLG is responsible for ensuring that all financial and reporting requirements in the Handbook and the executed *Grant Agreement* are met. If the financial and reporting requirements are not met, then the project is considered to be non-compliant and the UGLG will be asked to pay back the funds to the State. Until compliance is reached and/or the requested funds returned to DEHCR (if applicable), the UGLG may be ineligible to apply for other CDBG funding.

The rules and regulations governing the activities of the CDBG program can be found at: <https://www.hudexchange.info/programs/cdbg/cdbg-laws-and-regulations/>.

### RESPONSIBILITIES OF THE UGLG AND DESIGNATED GRANT ADMINISTRATOR

The responsibilities of the UGLG and designated Grant Administrator include the following:

- ☐ Prepare documents and facilitate the process to respond to DEHCR requests and requirements for the execution of the *Grant Agreement* and any subsequent *Grant Agreement* amendments.
- ☐ Ensure UGLG compliance with all terms of the *Grant Agreement* and timely completion and/or submission of items listed in the *Timetable* (Attachment A) in the *Grant Agreement*.
- ☐ Ensure UGLG compliance with all policies in the Bureau of Community Development CDBG *Implementation Handbook* and federal and state regulations for the CDBG program.
- ☐ Establish a file management system to comply with CDBG program recordkeeping and monitoring requirements.
- ☐ Establish a financial management system to track and maintain documentation for CDBG and match funding expenditures, receipts and payments/disbursements.
- ☐ Ensure compliance with all applicable federal, state and local environmental regulations and requirements for the CDBG project, including completing all required environmental related activities, document preparation and submissions, and responding to federal, state and local agency/entity requests.
- ☐ Ensure compliance with all federal and state acquisition and relocation regulations and requirements applicable to the CDBG project and maintain recordkeeping on the *Acquisition/Relocation Monitoring*

*Checklist* (Attachment 5-K) provided in Chapter 5: *Acquisition/Relocation* of this Handbook.

- ☐ Ensure compliance with all Labor Standards regulations and requirements applicable to the CDBG project; with the Grant Administrator performing the duties of the Labor Standards Officer, as listed in Chapter 7: *Labor Standards* of this Handbook, unless otherwise formally designated to another party.
- ☐ Ensure all contracting for the CDBG project meets all applicable federal, state and local policy procurement requirements; and maintain procurement and contracting documentation in the CDBG project file.
- ☐ Ensure the UGLG demonstrates efforts to encourage the disclosure and review of potential conflicts of interest prior to the execution of contracts; and maintain documentation of demonstrated efforts in the CDBG project file.
- ☐ Ensure all contracts awarded for the CDBG project have all applicable required federal language for Labor Standards, Equal Opportunity, and Section 3 compliance; and maintain copies of the contracts in the CDBG project file.
- ☐ Ensure contractor compliance with all applicable Labor Standards, Equal Opportunity, and Section 3 requirements for the CDBG project
- ☐ Distribute *Section 3 Report* forms or other Section 3 data collection documents to contractors and provide guidance and supporting documents (e.g., instructions, employee income certification forms, etc.) to contractors; and maintain copies of the completed contractor *Section 3 Reports* in the CDBG project file.
- ☐ Ensure all companies/firms that are awarded a contract for the CDBG project have signed a *Lobbying Certification* form (Attachment 3-D) provided in Chapter 3: *Procurement & Contracting* of this Handbook; and maintain copies of the completed forms in the CDBG project file.
- ☐ Ensure the proper CDBG project signage is posted at the construction site, as applicable.
- ☐ Prepare and compile *Request for Payment* documents (e.g., *Request for Payment* form, *Cash Control Register*, *CDBG Disbursements Journal*, *Matching Funds Journal*, invoices, payment receipts, canceled checks, bank statements, etc.) for the UGLG's official review and signature; and submit completed *Request of Payment* documents to DEHCR in accordance with the terms of the *Grant Agreement* and requirements listed in Chapter 8: *Financial Management* of this Handbook.
- ☐ Prepare reporting documents (e.g., Semi-Annual *Labor Standards Enforcement Report* (if applicable), Semi-Annual *MBE/WBE Report*, Semi-Annual *Report Certification* and *Summary Narrative*, Semi-Annual *Section 3 Report*, Annual *Section 3 Report*, Annual *Single Audit Statement*, *Employee Self-Certification Report* (*Job Performance Report*) (if applicable), *Client Income Certification Report* (if applicable), etc.) for the UGLG's official review and signature; and submit completed reports in a timely manner in accordance with the *Timetable* (Attachment A) in the *Grant Agreement* and Chapters 6, 7 and 9 of this Handbook.

- ☐ Ensure timely submission of the UGLG's *Single Audit Report* to the Federal Audit Clearinghouse (FAC) and submission of the FAC email confirmation of UGLG's *Single Audit Report* to DEHCR, as applicable, on an annual basis, as listed in the *Timetable* (Attachment A) in the *Grant Agreement* and in accordance with the terms in Chapter 9: *Reporting* of this Handbook.
- ☐ Coordinate and ensure the UGLG's timely completion of the Fair Housing Actions, as listed in the *Timetable* in Attachment A and in Attachment F of the *Grant Agreement*; and submit the required documentation to DEHCR.
- ☐ Coordinate and ensure the UGLG's timely completion of the second public hearing required for CDBG projects, as listed in the *Timetable* (Attachment A) in the *Grant Agreement*; and submit the required documentation to DEHCR.
- ☐ Organize files, compile documentation, and respond to requests from DEHCR during the monitoring process, including preparing the *Self-Monitoring Checklist* (Attachment 2-B), the *Acquisition/Relocation Monitoring Checklist* (Attachment 5-K, if applicable), and the official response letter to the monitoring report for the UGLG's official review and signature; and ensure submission of monitoring documentation requested by DEHCR in a timely manner.
- ☐ Prepare the *Project Completion Report* and all supporting documents for the UGLG's official review and signature; and ensure timely submission of all completion related documents.
- ☐ Submit the final Financial Certification and financial journals and bank statement(s) required to finalize completion for the CDBG project.
- ☐ Maintain and review documentation for all aspects of the CDBG project on an on-going basis to ensure completeness.
- ☐ Respond to requests for information and documentation from DEHCR on an on-going basis throughout the CDBG project Performance Period and following DEHCR issuing the Completion Certification, as necessary.

## RECORDKEEPING

The UGLG must prepare, keep, maintain and submit to DEHCR all records required to document compliance with the CDBG program. This may include all contracts relating to the implementation of the *Grant Agreement*. **Such records shall be retained indefinitely until written notification from DEHCR has been obtained.** Prior to disposal of any record the UGLG must send a request to DEHCR, and only upon receipt of written confirmation from the Division Administrator or his/her designee, may the records in question be destroyed.

## FILES

Generally, all files should be kept at the UGLG's official location. If an UGLG decides to establish an electronic record-keeping system:

- It is recommended that paper copies of documents with original signatures be retained.
- The electronic system must be secure.

- Documents shall be stored on a network location protected with a password.
- Only designated personnel shall have access to the CDBG project electronic data.
- The system must also be accessible to DEHCR Project Representatives, HUD representatives and auditors upon request.

The UGLG should maintain grant files and documentation included on the *File Checklist* (Attachment 2-A).

## GRANT AGREEMENT

DEHCR will send the *Grant Agreement* to grant recipients for review and signature. The *Grant Agreement* will be based upon the application submitted by the UGLG and contain the budget, scope of work, timetable, use of program income and commitment of additional funds, as stated in the application and pre-agreement documents provided by the UGLG. In addition, the *Grant Agreement* includes standard or “boiler plate” language to ensure compliance with state and federal requirements.

The UGLG’s Chief Elected Official (CEO) must sign and date the *Grant Agreement*. The signed *Grant Agreement* must be returned to DEHCR for execution. After DEHCR signs, a fully executed copy will be returned to the UGLG.

DEHCR makes grant awards of specific dollar amounts for particular activities. If funded projects are completed for a lesser amount than was originally budgeted, excess CDBG funds will be recaptured by DEHCR and used to fund future grants.

## GRANT AGREEMENT AMENDMENTS

Amendments to the *Grant Agreement* must be requested by the local Chief Elected Official (CEO) in writing at least 30-days prior to the *Grant Agreement*’s performance period end date, and must:

- Be written on the local municipality’s letterhead;
- Include a detailed list of changes to the contract that the UGLG is requesting (e.g., scope of work revisions, revised timetable, revised budget table, etc.);
- Include a brief explanation for why the amendment is needed and justification for the changes, including all factors outside the UGLG’s control that may have caused the need for the amendment; and
- Be signed by the CEO.

If submitted to DEHCR via email, the signed request for amendment must be attached to the email message. Email correspondence without a signed attachment is insufficient for consideration. Contact the assigned DEHCR Project Representative for further guidance.

Amendment requests received by DEHCR less than 30-days prior to the *Grant Agreement*’s performance period end date will **not** be considered.

## MONITORING

Representatives from DEHCR or HUD have the right to review any file or record that is associated with the CDBG project, whether in paper or electronic format. UGLGs are required to provide access to all of the CDBG files upon request. Being monitored by DEHCR does not exempt an UGLG from being monitored by HUD, and monitoring by DEHCR and/or HUD may occur any time during the CDBG project performance period or after project completion, until the UGLG receives written authorization from DEHCR that project files may be destroyed.

### IMPORTANT NOTICE!

Monitoring of the UGLG's project files can be performed by DEHCR and/or HUD at any time until written authorization is received from DEHCR that project files may be destroyed.

UGLGs will be monitored by DEHCR at least once during the project performance period specified in the *Grant Agreement*. A standard monitoring by DEHCR will be completed using the desk monitoring method or on-site monitoring method as summarized below. ***The timeline and process may vary if the monitoring is occurring in response to a particular issue with the project, or in response to a request from the UGLG, HUD or another regulating entity.***

The *File Checklist* (Attachment 2-A) and the *Self-Monitoring Checklist* (Attachment 2-B) are useful tools for UGLGs to use to verify that the CDBG project file is complete both prior to monitoring and at project completion. UGLGs may use both checklists on an on-going basis to ensure that the necessary documents are being collected and maintained throughout the project.

## DESK MONITORING METHOD

When the method of monitoring is through a desk monitoring, project documents are reviewed by DEHCR remotely rather than on-side. The standard (typical) process\* for a desk monitoring is as follows:

1. DEHCR will email a monitoring notice letter to the UGLG (typically at least 30 days prior to the desk monitoring date) to inform the UGLG and Grant Administrator that a desk monitoring has been scheduled.
2. The UGLG may be required to complete and submit the current version (as provided by the DEHCR Project Representative) of the *Self-Monitoring Checklist* (Attachment 2-B) (and may be required to also complete and submit the *Acquisition/Relocation Monitoring Checklist* (Attachment 5-K)) prior to the scheduled desk monitoring date. The



monitoring notice letter will specify the checklist(s) due date and scheduled desk monitoring date.

3. The DEHCR Project Representative will review the completed *Self-Monitoring Checklist* and *Acquisition/Relocation Checklist* (if required to be submitted by the UGLG) for completeness, accuracy and compliance verification.
4. The UGLG may also be required to submit additional documents and/or information (only as requested by the DEHCR Project Representative) from the UGLG's CDBG project file via email or an online file sharing system for DEHCR's review as part of the desk monitoring process. The request for the additional file documents and/or information may occur before or after the DEHCR Project Representative reviews the UGLG's completed checklists. DEHCR may make additional document and information requests from the UGLG on the desk monitoring date and/or days following, as deemed necessary by the DEHCR Project Representative. The monitoring process may include a review of DEHCR's file for the CDBG project by the DEHCR Project Representative, as well.
5. DEHCR will issue a monitoring report (letter) to the UGLG, typically within 30 days of the desk monitoring date, summarizing the monitoring review and any findings or concerns, if applicable.
6. If no additional action is required for the desk monitoring, then the monitoring report will indicate that the monitoring is complete/concluded. If any findings or concerns are identified during the monitoring that require additional corrective action by the UGLG, the UGLG will have 30 days to respond to the monitoring report and complete the corrective action(s) specified (or to provide a proposed timeline for completing the corrective action(s) if additional time is required). The DEHCR Project Representative will advise the UGLG of future deadlines as applicable.
7. Communications between the UGLG and DEHCR will continue until the corrective action(s) is/are completed and approved by DEHCR. The UGLG must be responsive to DEHCR's communications and deadline requirements to be in compliance with the Grant Agreement requirements.
8. DEHCR will email a letter to the UGLG informing the UGLG when the desk monitoring process is complete, once DEHCR has received and approved the UGLG's response to the monitoring report and the documentation for the corrective action(s) taken/completed (if required).

Additional monitoring may be scheduled for a future date after (as follow up to) the desk monitoring, if deemed necessary by DEHCR.

*\*The timeline and process may vary if the monitoring is occurring in response to a particular issue with the project, or in response to a request from the UGLG, HUD or another regulating entity.*



## ON-SITE MONITORING METHOD

When the method of monitoring is through an in-person on-site visit, the DEHCR Project Representative visits the site where the UGLG's project files are stored and/or visits the project location to monitor the CDBG project. The standard (typical) process\* for an on-site monitoring is as follows:

1. DEHCR will email a monitoring notice letter to the UGLG (typically at least 30 days prior to the desk monitoring date) to inform the UGLG and Grant Administrator that an on-site monitoring has been scheduled and to confirm the time and location. Typically the DEHCR Project Representative will communicate with the UGLG and/or Grant Administrator prior to issuing the monitoring notice letter to confirm availability. The UGLG may be requested to provide a conference room or other enclosed area in which at least two people can work comfortably during the on-site visit.
2. The UGLG may be required to complete and submit the current version (as provided by the DEHCR Project Representative) of the *Self-Monitoring Checklist* (Attachment 2-B) (and may be required to also complete and submit the *Acquisition/Relocation Monitoring Checklist* (Attachment 5-K)) prior to the scheduled on-site monitoring date. The monitoring notice letter will specify the checklist(s) due date and scheduled on-site monitoring date.
3. The DEHCR Project Representative will review the completed *Self-Monitoring Checklist* and *Acquisition/Relocation Checklist* (if required to be submitted by the UGLG) for completeness, accuracy and compliance verification.
4. On the date of the on-site monitoring, the DEHCR Project Representative may meet briefly with the Grant Administrator and/or UGLG representative(s) to discuss the monitoring process and project status as needed; and will review documents from the UGLG's CDBG project file. To ensure an efficient and smooth on-site monitoring, UGLGs should have, to the greatest extent possible, all CDBG project file documentation ready and available for review.
5. DEHCR will issue a monitoring report (letter) to the UGLG, typically within 30 days of the on-site monitoring date, summarizing the monitoring review and any findings or concerns, if applicable.
6. If no additional action is required for the monitoring, then the monitoring report will indicate that the monitoring is complete/concluded. If any findings or concerns are identified during the monitoring that require additional corrective action by the UGLG, the UGLG will have 30 days to respond to the monitoring report and complete the corrective action(s) specified (or to provide a proposed timeline for completing the corrective action(s) if additional time is required). The DEHCR Project Representative will advise the UGLG of future deadlines as applicable.
7. Communications between the UGLG and DEHCR will continue until the corrective action(s) is/are completed and approved by DEHCR. The UGLG must be responsive to DEHCR's communications and deadline

requirements to be in compliance with the Grant Agreement requirements.

8. DEHCR will email a letter to the UGLG informing the UGLG when the monitoring process is complete, once DEHCR has received and approved the UGLG's response to the monitoring report and the documentation for the corrective action(s) taken/completed (if required).

Additional monitoring may be scheduled for a future date after (as follow up to) the on-site monitoring, if deemed necessary by DEHCR.

*\*The timeline and process may vary if the monitoring is occurring in response to a particular issue with the project, or in response to a request from the UGLG, HUD or another regulating entity.*

## ATTACHMENTS

Attachments for this chapter are listed below.

ATTACHMENT 2-A: FILE CHECKLIST

ATTACHMENT 2-B: SELF-MONITORING CHECKLIST

## ATTACHMENT 2-A: FILE CHECKLIST

**Division of Energy, Housing and Community Resources (DEHCR)**  
Community Development Block Grant – File Checklist

TEMPLATE

### FILE CHECKLIST

**FOLDER: GRANT APPLICATION**

UGLG Files	Record of Submission to DEHCR	N/A	DOCUMENTS:
<input type="checkbox"/>	<input type="checkbox"/>		Application with signed Eligibility Certification, as submitted to DEHCR
<input type="checkbox"/>	<input type="checkbox"/>		Adopting Resolution the Citizen Participation Plan (CPP) or Signed Certification of Adoption or minutes from meeting of governing body in which CPP was adopted
<input type="checkbox"/>	<input type="checkbox"/>		Adopted Citizen Participation Plan
<input type="checkbox"/>	<input type="checkbox"/>		CDBG Application Public Hearing #1 Notice(s) (including affidavit of publication)
<input type="checkbox"/>	<input type="checkbox"/>		CDBG Application Public Hearing #1 Minutes
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	CDBG Application Public Hearing #1 Sign-In Sheet ( <i>required if attendees are not listed in the Hearing Minutes</i> )
<input type="checkbox"/>	<input type="checkbox"/>		CDBG Application Public Hearing #1 Certification Form
<input type="checkbox"/>	<input type="checkbox"/>		Project Area & Service Area Map(s)
<input type="checkbox"/>	<input type="checkbox"/>		Fair Housing Actions Checklist (specifying the 3 actions that the local community will undertake)
<input type="checkbox"/>	<input type="checkbox"/>		Adopting Resolution (or other Certification or Verification of Adoption) of the Fair Housing Ordinance
<input type="checkbox"/>	<input type="checkbox"/>		Copy of the Fair Housing Ordinance
<input type="checkbox"/>	<input type="checkbox"/>		Residential Anti-Displacement and Relocation Assistance Plan (RADRAP)
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Acquisition/Relocation/Demolition Questionnaire ( <i>not applicable to Planning (PLNG) and Public Services (PS) projects</i> )
<input type="checkbox"/>	<input type="checkbox"/>		Authorizing Resolution ( <i>for application submission</i> )
<input type="checkbox"/>	<input type="checkbox"/>		Statement of Assurances
<input type="checkbox"/>	<input type="checkbox"/>		Lobbying Certification ( <i>signed by the UGLG</i> )
<input type="checkbox"/>	<input type="checkbox"/>		Policy for Non-Violent Civil Rights Demonstrations/Prohibiting the Use of Excessive Force and the Barring of Exits and Entrances
<input type="checkbox"/>			Application correspondence
			<b><u>Income Survey Documentation (if income survey was required)</u></b>
<input type="checkbox"/>		<input type="checkbox"/>	Income Survey Certification Letter(s) issued by DEHCR
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Income Survey Packet(s) Approved by DEHCR
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Income Survey Data Forms document(s) Approved by DEHCR
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Map(s) of the Income Survey Area(s)
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Income Survey Results Income Tabulation Form(s)
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Income Survey Results Race/Ethnicity Demographics Tabulation Form(s)
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Income Survey Distribution & "Best Efforts" of Non-Response Follow-Up Tracking record(s)
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Income Survey Response Tracking record(s)

File Checklist
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Form v.2021-09-01

## Division of Energy, Housing and Community Resources (DEHCR)

### Community Development Block Grant – File Checklist

U/CLG Files	Record of Submission to DEHCR	N/A	DOCUMENTS:
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Multi-Jurisdictional LMI Calculation form(s)/record(s) for income survey data combined with HUD LMI Summary Data and for multi-jurisdictional service area (if applicable)
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Income Survey methodology used [including determination of service area/survey area, determination of minimum response rate required, randomization process (for Random Sample Surveys only), data calculations, records that verify property vacancy or non-residential status, etc.]
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Copy of the Income Survey Form(s) used
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Copy of the Income Survey Letter(s) and/or Advertising/Marketing Documentation (if letter was sent to beneficiaries and/or advertising/marketing methods were used to promote the survey as part of the survey process)
<input type="checkbox"/>		<input type="checkbox"/>	Completed/returned Income Surveys
<input type="checkbox"/>		<input type="checkbox"/>	Income Survey correspondence

*All documents applicable to the project file(s) may be requested for review by DEHCR or other monitoring entities.*

#### ADDITIONAL NOTES:

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TEMPLATE

## Division of Energy, Housing and Community Resources (DEHCR)

### Community Development Block Grant – File Checklist

#### FOLDER: GRANT AGREEMENT

UGLG  
Files

N/A

#### DOCUMENTS:

- |                          |                          |   |
|--------------------------|--------------------------|---|
| <input type="checkbox"/> |                          | Award Letter, including the UGLG's signed Acceptance of Award           |
| <input type="checkbox"/> |                          | Grant Agreement (fully executed)  |
| <input type="checkbox"/> | <input type="checkbox"/> | Grant Agreement amendment(s) (fully executed) <i>(if applicable)</i>    |
| <input type="checkbox"/> | <input type="checkbox"/> | Grant Agreement amendment(s) request(s) to DEHCR <i>(if applicable)</i> |
| <input type="checkbox"/> |                          | Grant Agreement correspondence  |

*All documents applicable to the project file(s) may be requested for review by DEHCR or other monitoring entities.*

#### ADDITIONAL NOTES:

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TEMPLATE

## Division of Energy, Housing and Community Resources (DEHCR)

### Community Development Block Grant – File Checklist

#### FOLDER: PROCUREMENT & CONTRACTING

TEMPLATE

UGLG Files	Record of Submission to DEHCR	N/A	DOCUMENTS:
<input type="checkbox"/>	<input type="checkbox"/>		UGLG's Procurement Policy(ies)
<input type="checkbox"/>			Documentation of 'efforts'/'mechanisms in place' to promote/help ensure potential conflict of interest disclosures (e.g. disclosure statements, Board/Council meeting minutes, UGLG's conflict of interest/ethics policy, etc.)
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Record(s) of Potential Conflict of Interest Review(s) and Request(s) for Waiver/Exception Processes (if applicable)
<input type="checkbox"/>			Documentation of efforts to promote open, free, and fair procurement practices related to the recruitment and hiring of contractors and professional services providers, including:
<input type="checkbox"/>			Project specifications as listed in request(s) for quotes/bids/proposals/qualifications (simplified acquisition/RFBs/RFPs/RQs);
<input type="checkbox"/>		<input type="checkbox"/>	Request(s) for quotes (simplified acquisition), copies of the quotes (in writing) obtained, and the list of recipients/contacts of the contract/purchase agreement;
<input type="checkbox"/>		<input type="checkbox"/>	Bid Packet(s);
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Request(s) for Bids (RFBs), associated advertisement(s) for bids, and publisher's affidavit(s);
<input type="checkbox"/>		<input type="checkbox"/>	Request(s) for Proposals (RFPs) and associated published advertisement(s);
<input type="checkbox"/>		<input type="checkbox"/>	Request(s) for Qualifications (RQs), including the list of recipients/contacts;
<input type="checkbox"/>			Copies of quotes/bids/proposals/qualifications submitted by contractors/vendors/firms;
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Method of quote/bid/proposal/qualifications evaluation (e.g., quote records, bid tabulation(s), proposal scoring, qualifications review records);
<input type="checkbox"/>		<input type="checkbox"/>	Minutes from meeting(s) in which the Board/Council accepted successful quote(s) (if required by local policy), bid(s) (required for sealed bid procurement), and/or proposal(s)/selected qualifications (if required by local policy);
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Notice(s) of Contractor Award (required only for prime construction contracts);
<input type="checkbox"/>			Record of debarment status checks on the System for Award Management (SAM);
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Federal employer identification number (FEIN) for each prime contractor and sub-contractor for construction (required to be provided on Notice of Contractor Award and on Self-Monitoring Checklist) and DUNS # (if available)
<input type="checkbox"/>	<input type="checkbox"/>		Signed Lobbying Certification for all contractors [e.g. prime contractor(s), sub-contractor(s), and professional services provider(s)] (submission to DEHCR is only due upon submission of the Project Completion Report or upon request during monitoring);
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Completed Disclosure of Lobbying Activities Forms (if any contractors had lobbying activities to disclose) (submission to DEHCR is only due upon submission of the Project Completion Report or upon request during monitoring);
<input type="checkbox"/>			Executed contracts for goods and services (all contractors), with the applicable required language for Conflict of Interest, Labor Standards, Davis-Bacon, Civil Rights/Equal Opportunity and Section 3 compliance.

## Division of Energy, Housing and Community Resources (DEHCR)

### Community Development Block Grant – File Checklist

UGLG  
Files

Record of  
Submission  
to DEHCR

N/A

#### DOCUMENTS:

☐☐☐

Record of submission of Grant Administration contract to DEHCR for review (if services are being provided by a third-party entity/firm)

☐☐

Procurement/Contracting correspondence

*All documents applicable to the project file(s) may be requested for review by DEHCR or other monitoring entities.*

#### ADDITIONAL NOTES:

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TEMPLATE



## Division of Energy, Housing and Community Resources (DEHCR)

### Community Development Block Grant – File Checklist

#### FOLDER: ENVIRONMENTAL REVIEW (ER)

<u>UGLG Files</u>	<u>Record of Submission to DEHCR</u>	<u>N/A</u>	<u>DOCUMENTS:</u>
<input type="checkbox"/>	<input type="checkbox"/>		Statement of Activities
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Determination of Exemption <i>(if applicable)</i>
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Environmental Report (ER)
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Environmental Assessment (EA) <i>(if applicable)</i>
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Request for Release of Funds (HUD 7015.15 <i>if applicable</i> )
<input type="checkbox"/>		<input type="checkbox"/>	Authority to Use Grant Funds (HUD 7015.16 <i>if applicable</i> )
<input type="checkbox"/>		<input type="checkbox"/>	Environmental Certification Letter from DEHCR
<input type="checkbox"/>		<input type="checkbox"/>	Environmental Letter of Concurrence from DEHCR <i>(Planning (PLNG) and Public Services (PS) projects only)</i>
<input type="checkbox"/>			Environmental Review related correspondence

*All documents applicable to the project file(s) may be requested for review by DEHCR or other monitoring entities.*

#### ADDITIONAL NOTES:

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TEMPLATE

## Division of Energy, Housing and Community Resources (DEHCR)

### Community Development Block Grant – File Checklist

#### FOLDER: ACQUISITION/RELOCATION (if applicable)

<u>UGLG Files</u>	<u>Record of Submission to DEHCR</u>	<u>N/A</u>	<u>DOCUMENTS:</u>
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Acquisition/Relocation Monitoring Checklists
<input type="checkbox"/>		<input type="checkbox"/>	Documentation of real property acquisition and relocation, including correspondence, notices, appraisals, fair market value records, payments, condemnation proceedings, etc. (as listed on the Acquisition/Relocation Monitoring Checklists)
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Relocation Plan
<input type="checkbox"/>		<input type="checkbox"/>	Record of DEHCR Approval of the Relocation Plan
<input type="checkbox"/>		<input type="checkbox"/>	Acquisition/Relocation correspondence

*All documents applicable to the project file(s) may be requested for review by DEHCR or other monitoring entities.*

#### ADDITIONAL NOTES:

TEMPLATE

## Division of Energy, Housing and Community Resources (DEHCR)

### Community Development Block Grant – File Checklist

#### **FOLDER: EQUAL OPPORTUNITY (EO)**

UGLG Files	Record of Submission to DEHCR	N/A	DOCUMENTS:
<input type="checkbox"/>	<input type="checkbox"/>		Service Area Demographic Profile Form and/or Income Survey Race/Ethnicity Tabulation Form) for entire Service Area
<input type="checkbox"/>		<input type="checkbox"/>	Affirmative Action Plan notice posted in conspicuous place ( <i>applicable to non-governmental sub-recipients only; UGLGs exempt from this requirement</i> )
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Accessibility Self-Evaluation Checklist or DSPS Approval Record ( <i>if applicable</i> )
<input type="checkbox"/>		<input type="checkbox"/>	Equal Opportunity correspondence

*All documents applicable to the project file(s) may be requested for review by DEHCR or other monitoring entities. Refer to the "Reporting" section for EO-related reports (MBE/WBE, Section 3, Fair Housing).*

#### **ADDITIONAL NOTES:**

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TEMPLATE

## Division of Energy, Housing and Community Resources (DEHCR)

### Community Development Block Grant – File Checklist

#### FOLDER: LABOR STANDARDS

*Applicable only if the project is subject to Federal Labor Standards.*

*[The Grantee must have a separate Labor Standards file for each contractor, including prime contractor(s) and sub-contractor(s).]*

TEMPLATE

UGLG Files	Record of Submission to DEHCR	N/A	DOCUMENTS:
<input type="checkbox"/>	<input type="checkbox"/>		Labor Standards Officer Designee Form
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Force Account Affidavit <i>(if applicable)</i>
<input type="checkbox"/>	<input type="checkbox"/>		Record of Wage Decision Form, and copy of applicable wage decision(s)
<input type="checkbox"/>			Copy of applicable federal Wage Decisions from the U.S. Department of Labor
<input type="checkbox"/>			Contractors' applicable construction certifications and licenses
<input type="checkbox"/>		<input type="checkbox"/>	Notice to Proceed Letter(s)
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Pre-Construction Report/Minutes
<input type="checkbox"/>			Work start and end dates for each contractor and sub-contractor
<input type="checkbox"/>			Separate files for each prime contractor and sub-contractor
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Form 4230A, for additional classifications <i>(if applicable)</i>
<input type="checkbox"/>		<input type="checkbox"/>	Written notification(s) of contractors'/sub-contractors' "no work" weeks <i>(if applicable)</i>
<input type="checkbox"/>			Weekly certified payrolls (numbered and dated) for each contractor/sub-contractor
<input type="checkbox"/>			Weekly certified payroll Statement of Compliance for each contractor/sub-contractor
<input type="checkbox"/>		<input type="checkbox"/>	Fringe benefits deductions documentation <i>[i.e. itemized list and hourly rate value(s) of fringe benefits paid to each employee, and certified by the authorized contractor's representative]</i>
<input type="checkbox"/>		<input type="checkbox"/>	Authorized "other" deductions documentation <i>[i.e. itemized list and hourly rate value(s) of "other" deductions withheld for each employee, and certified by the authorized contractor's representative]</i>
<input type="checkbox"/>		<input type="checkbox"/>	Apprenticeship documentation <i>(if applicable)</i>
<input type="checkbox"/>			Employee Interview Records <i>[i.e., HUD-11 Form(s)]</i> , record(s) of discrepancies, and resolution efforts for noted discrepancies
<input type="checkbox"/>		<input type="checkbox"/>	Record(s) of underpayments (if any), record(s) of correction/resolution by the contractor(s), and corresponding Certified Correction Payroll Record(s)
<input type="checkbox"/>		<input type="checkbox"/>	Calculations and payment records for overtime underpayment liquidated damages (penalty fees) per HUD/CWHSSA <i>(if applicable)</i>
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Section 5.7 Labor Standards Report for underpayments exceeding \$1,000 by a contractor <i>(if applicable)</i>
<input type="checkbox"/>			Photo documentation of posted CDBG project sign at the project location
<input type="checkbox"/>			Photo documentation of posted wage decision(s)/rate(s) at the project location
<input type="checkbox"/>		<input type="checkbox"/>	Labor Standards correspondence

*All documents applicable to the project file(s) may be requested for review by DEHCR or other monitoring entities.*

#### ADDITIONAL NOTES:

## Division of Energy, Housing and Community Resources (DEHCR)

### Community Development Block Grant – File Checklist

#### FOLDER: FINANCIAL MANAGEMENT

TEMPLATE

UGLG Files	Record of Submission to DEHCR	N/A	DOCUMENTS:
<input type="checkbox"/>	<input type="checkbox"/>		Financial Management Contact Person Form
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Depository Certification Form (if applicable)
<input type="checkbox"/>	<input type="checkbox"/>		Signature Certification Form
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	W-9 Taxpayer Identification Number Certification Form
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Authorization for Electronic Deposit Form (DOA-6456 STAR Form) (if receiving CDBG payments via electronic deposit)
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Address Update Form (if receiving CDBG payments via paper check (DOA-6457 STAR Form)
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	New Supplier Form
<input type="checkbox"/>	<input type="checkbox"/>		SAM.gov verification of the UGLG's active DUNS registration status
<input type="checkbox"/>	<input type="checkbox"/>		CDBG Request(s) for Payment ( <i>i.e. Drawdown Requests</i> )
<input type="checkbox"/>	<input type="checkbox"/>		Cash Control Register (CCR) for each drawdown
<input type="checkbox"/>	<input type="checkbox"/>		CDBG Disbursements Journal (DJ) for each drawdown
			Supporting documentation for CDBG-eligible project costs incurred to document expenditures:
<input type="checkbox"/>	<input type="checkbox"/>		Invoices (including approved contractor pay applications for construction, other vendor billing statements, and UGLG internal costs documentation <i>if applicable</i> )
<input type="checkbox"/>	<input type="checkbox"/>		Processed/bank-issued checks, receipts and other records of payment
<input type="checkbox"/>	<input type="checkbox"/>		Matching Funds Journal (MFJ) for each drawdown
			Supporting documentation for Match-eligible project costs incurred to document expenditures (if Matching funds were required or expended for project):
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Invoices (including approved contractor pay applications for construction, other vendor billing statements, and UGLG internal costs documentation <i>if applicable</i> )
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Processed/bank-issued checks, receipts, and other payment records
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Checks/payment records from other Match funding sources ( <i>if applicable</i> ), specify: _____
<input type="checkbox"/>	<input type="checkbox"/>		Record of Deposits/Payments/Transfers (e.g. <i>bank statements, deposit slips, etc.</i> ) for CDBG funds
<input type="checkbox"/>			Financial correspondence

All documents applicable to the project file(s) may be requested for review by DEHCR or other monitoring entities.

#### ADDITIONAL NOTES:

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## Division of Energy, Housing and Community Resources (DEHCR)

### Community Development Block Grant – File Checklist

#### FOLDER: REPORTING & SINGLE AUDIT

UGLG Files	Record of Submission to DEHCR	N/A	DOCUMENTS:
<input type="checkbox"/>	<input type="checkbox"/>		Signed/UGLG Approved Semi-Annual Certifications and Narrative Reports on project accomplishments (reporting accomplishments toward Project Scope of Work, as outlined in the Time Table in the <i>Grant Agreement</i> ):
<input type="checkbox"/>	<input type="checkbox"/>		Environmental Review Certification record of submission to DEHCR project representative
<input type="checkbox"/>	<input type="checkbox"/>		Fair Housing Actions Checklist and documentation of activities completed Due Date: _____ Completion Date: _____
<input type="checkbox"/>	<input type="checkbox"/>		Citizen Participation Public Hearing #2 documentation of activities completed Due Date: _____ Completion Date: _____
<input type="checkbox"/>	<input type="checkbox"/>		Public Hearing #2 Notice(s) (including affidavit of publication)
<input type="checkbox"/>	<input type="checkbox"/>		Public Hearing #2 Minutes
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Public Hearing #2 Sign-In Sheet ( <i>if attendees are not listed in the public hearing minutes</i> )
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Public Hearing #2 Certification Form ( <i>if required</i> )
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Semi-Annual Labor Standards Enforcement Reports (LSERs)/Labor Standards Data Reporting
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Section 5.7 Enforcement Reports ( <i>if applicable</i> )
<input type="checkbox"/>	<input type="checkbox"/>		Semi-Annual MBE/WBE Reports/Data Reporting
<input type="checkbox"/>	<input type="checkbox"/>		Contractors'/Sub-Contractors' Semi-Annual Section 3 Reports/Data Reporting
<input type="checkbox"/>	<input type="checkbox"/>		Semi-Annual & Annual Section 3 Reports/Data Reporting (UGLG's summary data submitted to DEHCR)
<input type="checkbox"/>			Section 3 Reports or other documentation of Section 3 hiring, contracting, and "best efforts" data collection document(s) from prime contractors and subcontractors (for construction and non-construction/professional services contracts)
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Employee Self-Certification Report(s) and Employee Self-Certification Forms documenting employee income levels and employment and training accomplishments ( <i>if applicable, ED and PFED only or other similar LMI job creation projects only – required only if directed by DEHCR</i> )
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Client Income Certification Report(s) and Client income Certification Forms documenting income levels of clients served ( <i>if applicable, PS projects only or other CDBG projects for which collection of the client/beneficiary income information is necessary – required only if directed by DEHCR</i> )
<input type="checkbox"/>			Reporting correspondence
 <b><u>Single Audit Documentation</u></b>			
<input type="checkbox"/>	<input type="checkbox"/>		Annual Single Audit Statement(s)/Letter(s)
<input type="checkbox"/>		<input type="checkbox"/>	Annual Single Audit Report(s) and record(s) of submission to the Federal Audit Clearinghouse ( <i>if applicable/if required to conduct a Single Audit in any year of CDBG project period and year following project completion</i> )



## Division of Energy, Housing and Community Resources (DEHCR)

### Community Development Block Grant – File Checklist

UGLG Files	Record of Submission to DEHCR	N/A	<u>DOCUMENTS:</u>
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Email record of sending the Single Audit Report Submission Confirmation Email(s) from Federal Audit Clearinghouse (FAC) to DEHCR <i>(if applicable/if required to conduct a Single Audit in any year of CDBG project period or year following project completion)</i>
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Documentation of resolution of Single Audit finding(s) <i>(if applicable)</i>
<u>Monitoring Documentation</u>			
<input type="checkbox"/>			Notification of monitoring (letter from DEHCR)
<input type="checkbox"/>	<input type="checkbox"/>		Self-Monitoring Checklist
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Acquisition/Relocation Monitoring Checklist <i>(if required to complete by DEHCR)</i>
<input type="checkbox"/>			DEHCR's Monitoring Report (letter from DEHCR)
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	UGLG's response(s) to the DEHCR Monitoring Report <i>(if applicable)</i>
<input type="checkbox"/>		<input type="checkbox"/>	DEHCR's certification confirming that the monitoring finding(s)/concern(s) are resolved <i>(if applicable)</i>
<input type="checkbox"/>			Monitoring correspondence

*All documents applicable to the project file(s) may be requested for review by DEHCR or other monitoring entities.*

#### ADDITIONAL NOTES:

# TEMPLATE



## Division of Energy, Housing and Community Resources (DEHCR)

### Community Development Block Grant – File Checklist

TEMPLATE

#### FOLDER: PROJECT COMPLETION

UGLG Files	Record of Submission to DEHCR	N/A	DOCUMENTS:
<input type="checkbox"/>	<input type="checkbox"/>		Signed Completion Report and supporting documents, as submitted to DEHCR
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Final Labor Standards Compliance Report (LSCR) <i>(if applicable)</i>
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Final Semi-Annual Labor Standards Enforcement Report (LSER)/Labor Standards Data Reporting <i>(if applicable)</i>
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Final Section 5.7 Enforcement Report <i>(if applicable)</i>
<input type="checkbox"/>	<input type="checkbox"/>		Final Semi-Annual MBE/WBE Report/Data Reporting
<input type="checkbox"/>	<input type="checkbox"/>		Final Semi-Annual/Annual Section 3 Report/Data Reporting
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Final Employee Self-Certification Report and Certification Forms <i>(if applicable, ED and PFED projects only or other LMI job creation projects if required by DEHCR)</i>
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Final Client Income Certification Report and Certification Forms <i>(if applicable, PS projects only, or other client services projects if required by DEHCR)</i>
<input type="checkbox"/>	<input type="checkbox"/>		Final Project Completion Financial Certification as submitted to DEHCR
<input type="checkbox"/>	<input type="checkbox"/>		Final Cash Control Register showing deposit and disbursement of the final CDBG payment within 3 business days of receipt
<input type="checkbox"/>	<input type="checkbox"/>		Final CDBG Disbursements Journal showing disbursement of the final CDBG payment within 3 business days of receipt
<input type="checkbox"/>	<input type="checkbox"/>		Final Matching Funds Journal
<input type="checkbox"/>	<input type="checkbox"/>		Final bank statement(s)/record(s) showing deposit and disbursement of the final CDBG payment
<input type="checkbox"/>			Project Completion Approval Letter and signed Completion Certification from DEHCR
<input type="checkbox"/>			Project Completion correspondence

*All documents applicable to the project file(s) may be requested for review by DEHCR or other monitoring entities.*

#### ADDITIONAL NOTES:

## ATTACHMENT 2-B: SELF-MONITORING CHECKLIST

### Division of Energy, Housing and Community Resources (DEHCR)

Community Development Block Grant – Self-Monitoring Checklist

UGLG:

DEHCR Grant Agreement #:

### SELF-MONITORING CHECKLIST

Unit of General Local Government (UGLG) SELF-MONITORING CHECKLIST For Community Development Block Grant (CDBG) Projects	
<i>Complete this checklist and submit it to the assigned Division of Energy, Housing and Community Resources (DEHCR) Project Representative upon request during DEHCR's monitoring of the CDBG project.</i>	
Unit of General Local Government (UGLG):	
DEHCR Grant Agreement #:	
Preparer's Name and Title: (person completing this form)	
Preparer's Email Address:	Preparer's Phone Number:
UGLG Approval:	
Date of Approval by UGLG	
Name of UGLG Approver*	Title of UGLG Approver*
<p><i>*Type in First &amp; Last Name and Title of UGLG Approver of this document (required only if the Preparer is an external third-party).</i></p> <p><i>*By entering the name and title of the UGLG Approver above, the Preparer of this document is certifying that the person identified as the UGLG Approver is an employee or official from the UGLG; is authorized by the UGLG to review and approve this document; and approved and authorized the Preparer to submit this document to DEHCR on the UGLG's behalf. The UGLG Approver must be the Chief Elected Official (CEO) or a person authorized/designated by the CEO on the Signature Certification Form (submitted with the pre-agreement documents for the project) or by the UGLG's governing body to approve CDBG project documents.</i></p> <p><i>If the person submitting this document is not the UGLG Approver, then the submitter must copy ('cc') the UGLG Approver when emailing it to DEHCR.</i></p>	

During the contract Performance Period, all UGLGs will be monitored and must complete this Self-Monitoring Checklist as part of the monitoring process.

TEMPLATE

## Division of Energy, Housing and Community Resources (DEHCR)

### Community Development Block Grant – Self-Monitoring Checklist

UGLG:

DEHCR Grant Agreement #:

#### **INSTRUCTIONS:**

1. Complete this *Self-Monitoring Checklist* while reviewing the Unit of General Local Government's (UGLG's)/Grantee's CDBG project file.
  - Mark the "Yes", "No", and/or "Not Applicable (N/A)" entry fields in the checklist to indicate whether the UGLG/Grantee does or does not have the item listed in the UGLG's/Grantee's CDBG project file.
  - Enter dates in the "Date" entry fields where requested, providing the date the item listed is dated or was signed/executed, issued, published, etc.
  - Respond to the questions within the checklist, marking the "Yes", "No", and/or "Not Applicable (N/A)" entry field where requested.
  - Provide the information requested in the fill-in entry fields where requested.
2. Once the Self-Monitoring Checklist has been fully completed and approved by the UGLG for submission, type in the Preparer and UGLG Approver name(s), title(s), contact information and approval date on the first page of the checklist where specified.
3. Return the completed, UGLG approved Self-Monitoring Checklist via email to the assigned DEHCR Project Representative by the date specified in the monitoring notice letter.
4. Retain a copy of the completed, UGLG approved Self-Monitoring Checklist in the UGLG's CDBG project file.

TEMPLATE

## Division of Energy, Housing and Community Resources (DEHCR)

Community Development Block Grant – Self-Monitoring Checklist

TEMPLATE

UGLG:

DEHCR Grant Agreement #:

### MONITORING ITEMS:

1. Application & Citizen Participation Documentation: <small>(Indicate whether the following items are present within the CDBG project folder.)</small>	YES	NO	N/A	Date:
<b>Application &amp; Attachments</b>				
Signed Application and Supporting Attachments, as submitted to DEHCR				
<b>Citizen Participation Documents</b>	<b>YES</b>	<b>NO</b>	<b>N/A</b>	<b>Date:</b>
Citizen Participation Plan				
Citizen Participation Plan Adopting Resolution or other record of adoption				
Date of CPP Adoption:				
Citizen Participation Public Hearing Notices (including Affidavit(s) of Publication):				
Citizen Participation Hearing 1 (list date of the posting)				
Citizen Participation Hearing 2 (list date of the posting)				
Citizen Participation Public Hearing Minutes and Certifications:				
Citizen Participation Hearing 1 (list date of the hearing)				
Citizen Participation Hearing 2 (list date of the hearing)				
Copies of the Citizen Participation Public Hearing Sign-In Sheet (not required if the Meeting Minutes list the Hearing Attendees and Participants)				
Sign-In Sheet(s) for Citizen Participation Hearing 1				
Sign-In Sheet(s) for Citizen Participation Hearing 2				
<b>Income Survey Documents</b>	<b>YES</b>	<b>NO</b>	<b>N/A</b>	<b>Date:</b>
Was an Income Survey conducted for this project? If YES, check for the following items in the file:				
Income Survey Certification Letter(s) issued by DEHCR (if applicable)				
Income Survey Packet(s) Approved by DEHCR (if applicable)				
Income Survey Data Forms document(s) Approved by DEHCR (if applicable)				
Map(s) of Income Survey Area(s)				
Income Survey Results Income Tabulation form(s)				
Income Survey Results Race/Ethnicity Demographics Tabulation form(s)				
Income Survey Distribution & "Best Efforts" of Non-Response Follow-Up Tracking form/document (including list of families/addresses, distribution method(s) and response date tracking for each)				
Income Survey Response Tracking form(s)/document(s) (including list of families/addresses, and response data for each)				
Multi-Jurisdictional LMI Calculation form(s)/record(s) for income survey data combined with HUD LMI Summary Data and for multi-jurisdictional service area (if applicable)				

Self-Monitoring Checklist

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## Division of Energy, Housing and Community Resources (DEHCR)

### Community Development Block Grant – Self-Monitoring Checklist

UGLG:

DEHCR Grant Agreement #:

Income Survey Documents (continued)	YES	NO	N/A	Date:
Income Survey Methodology used [including determination of service area/survey area, determination of minimum response rate required, randomization process (for Random Sample Surveys only), data calculations, records verifying property vacancy or non-residential status, etc.]				
Copy of Income Survey Form(s) used				
Copy of the Income Survey Letter(s) and/or Advertising/Marketing Documentation (if letter was sent to beneficiaries and/or advertising/marketing methods were used to promote the survey as part of the survey process)				
ALL Completed/Returned Income Surveys				
Other Income Survey Correspondence				

2. Grant Agreement Documentation: (Indicate whether these items are present within the CDBG project folder.)	YES	NO	N/A	Date:
Award letter and Signed Acceptance of Award				
Agreement / "Contract" (specify final date signed by all parties)				
Amendment(s): <i>If applicable, list total number:</i>				
Amendment 1 (specify final date signed by all parties)				
Amendment 2 (specify final date signed by all parties)				
Amendment 3 (specify final date signed by all parties)				

Additional Notes/Comments:

TEMPLATE

## Division of Energy, Housing and Community Resources (DEHCR)

### Community Development Block Grant – Self-Monitoring Checklist

# TEMPLATE

UGLG:

DEHCR Grant Agreement #:

3. Procurement & Contracting Documentation: (Indicate whether these items are present within the CDBG project folder.)	YES	NO	N/A	Date:
<i>For Subrecipients and or Developers (if applicable), the contracts directly with the Subrecipient or Developer are deemed "prime" contracts.</i>				
Copy of UGLG's Procurement Policy(ies)				
Documentation of 'efforts'/'mechanisms in place' to promote/help ensure potential conflict of interest disclosures (e.g. disclosure statements, Board/Council meeting minutes, UGLG's conflict of interest/ethics policy, etc.)				
Potential Conflict of Interest Review documentation (if applicable)				
Conflict of Interest Exception Request documentation (if applicable)				
<b>Procurement Documentation for CONSTRUCTION:</b>				
	YES	NO	N/A	Date:
Advertisement for Bids (i.e., Request for Bids [RFB])				
The RFB states requirements for services, project specifications, and CDBG requirements				
The RFB identified all significant evaluation factors including price and their relative importance*				
Affidavit of Publication of Advertisement for Bids (i.e., Request for Bids [RFB])				
Copies of all Bids Received				
Detailed Bid Tabulation				
Bids were solicited from an adequate number of providers (Total number solicited* = _____)				
The contract award(s) went to the contractor(s) with the lowest responsible bid(s).				
Board/Council Acceptance of the Successful Bid Documentation*				
Signed Lobbying forms from all contractors (Complete the related checklist for prime contractors and subcontractors, presented later in this document.)*				
Executed prime contracts and subcontracts.*				
All contracts include the required/applicable CDBG language/insertions.*				
<i>*Items may also be maintained in the Labor Standards file if relevant labor standards requirements apply, as detailed in the Labor Standards chapter of the Program-specific CDBG Implementation Handbook.</i>				
<b>Procurement Documentation for GRANT ADMINISTRATION Services:</b>				
	YES	NO	N/A	Date:
Are any of the Grant Administration costs being paid with CDBG funds?				
Was the procurement and contracting for Grant Administration in compliance with the UGLG's local procurement policy?				



## Division of Energy, Housing and Community Resources (DEHCR)

Community Development Block Grant – Self-Monitoring Checklist

# TEMPLATE

UGLG:

DEHCR Grant Agreement #:

ITEMS BELOW ARE REQUIRED IF LOCAL POLICY REQUIRES ITEM OR CONTRACT IS FUNDED WITH CDBG:

Request for Proposals (RFP) (or request/solicitation for quotes if Simplified Acquisition method was used in lieu of RFP – requires selecting lowest responsive, responsible quote; and only allowed for contracts specified in Chapter 3 of the Implementation Handbook)				
The RFP or Quotes request included the services required and project specifications				
The RFP included all significant evaluation factors (not required for Simplified Acquisition)				
Record(s) of advertisement of the RFP / making it available to the public (if RFP method used) or record(s) of Quote solicitations/requests (if Simplified Acquisition method used)				
Copies of Proposals received or Quotes received				
Records of evaluation of Proposals or Quotes/price comparisons				
The contract/agreement was awarded to the firm/entity based on evaluation criteria set forth in RFP (or selected based on lowest price if Simplified Acquisition)				
Record of Board/Council Acceptance of the Contract (if required)				
Executed Grant Administration contract				
The contract/agreement has all required/applicable CDBG language/insertions				
Signed Lobbying Certification form from contracted Grant Administrator (and Lobbying Disclosure Form if applicable)				

### Procurement Documentation for ENGINEERING

Services:	YES	NO	N/A	Date:
Are any of the Engineering costs being paid with CDBG funds?				
The contracting for Engineering is in compliance with the UGLG's local procurement policy.				

ITEMS BELOW ARE REQUIRED IF LOCAL POLICY REQUIRES ITEM OR CONTRACT IS FUNDED WITH CDBG:

Request for Qualifications (RFQ) or Request for Proposals (RFP) (or request for quotes if Simplified Acquisition method was used in lieu of RFQ/RFP – requires selecting lowest responsive, responsible quote; and only allowed for contracts specified in Chapter 3 of the Implementation Handbook)				
The RFQ or RFP or Quotes request included the services required and project specifications				
The RFQ or RFP included all significant evaluation factors (not required for Simplified Acquisition)				



## Division of Energy, Housing and Community Resources (DEHCR)

### Community Development Block Grant – Self-Monitoring Checklist

TEMPLATE

UGLG:

DEHCR Grant Agreement #:

Record(s) of requests for Qualifications to at least 3 firms/entities (if RFQ method used), or record(s) of advertisement of the RFP / making it available to the public (if RFP method used) or record(s) of Quote solicitations/requests (if Simplified Acquisition method used)				
Copies of Qualifications or Proposals or Quotes received				
Records of evaluation of Qualifications or Proposals or Quotes/price comparisons				
The contract/agreement was awarded to the firm/entity based on evaluation criteria set forth in the RFQ or RFP or selected based on lowest price if Simplified Acquisition				
Record of Board/Council Acceptance of the Contract (if required)				
Executed Engineering services contract				
The contract/agreement has all required/applicable CDBG language/insertions				
Signed Lobbying Certification form from contracted Engineer (and Lobbying Disclosure Form if applicable)				
<b>Procurement Documentation for <u>OTHER</u></b>				
<b>PROFESSIONAL Services:</b>	<b>YES</b>	<b>NO</b>	<b>N/A</b>	<b>Date:</b>
Are any of the Professional Services costs being paid with CDBG funds?				
The contracting for Professional Services is in compliance with the UGLG's local procurement policy.				
<b>ITEMS BELOW ARE REQUIRED IF LOCAL POLICY REQUIRES ITEM OR CONTRACT IS FUNDED WITH CDBG:</b>				
Request for Proposals (RFP) (or request/solicitation for quotes if Simplified Acquisition method was used in lieu of RFP – requires selecting lowest responsive, responsible quote; and only allowed for contracts specified in Chapter 3 of the Implementation Handbook)				
The RFP or Quotes request included the services required and project specifications				
The RFP included all significant evaluation factors (not required for Simplified Acquisition)				
Record(s) of advertisement of the RFP / making it available to the public (if RFP method used) or record(s) of Quote solicitations/requests (if Simplified Acquisition method used)				
Copies of Proposals received or Quotes received				
Records of evaluation of Proposals or Quotes/price comparisons				
The contract/agreement was awarded to the firm/entity based on evaluation criteria set forth in RFP (or selected based on lowest price if Simplified Acquisition)				
Record of Board/Council Acceptance of the Contract (if required)				

Self-Monitoring Checklist

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## Division of Energy, Housing and Community Resources (DEHCR)

### Community Development Block Grant – Self-Monitoring Checklist

TEMPLATE

UGLG:

DEHCR Grant Agreement #:

Executed Professional Services contract				
The contract/agreement has all required/applicable CDBG language/insertions				
Signed Lobbying Certification form from contracted Professional Services Provider (and Lobbying Disclosure Form if applicable)				
<b>Procurement Documentation for <u>GOODS / PRODUCTS / SUPPLIES</u>:</b>				
Records and documentation for procurement of goods/products/supplies purchased for CDBG project	YES	NO	N/A	Date:
Purchase of all items are in compliance with the UGLG's local procurement policy.				
Purchase of all items paid with (or to be paid with) CDBG funds are in compliance with the CDBG <i>competitive</i> procurement requirements set forth in Chapter 3 of the CDBG Implementation Handbook.				

#### Procurement Transactions Documentation:

Names of Consultants/Vendors/Providers contracted with UGLG (or Subrecipient or Developer, if applicable) for Professional Services and/or other Non-Construction Services/Activities	Method(s) of Procurement
	<input type="checkbox"/> Competitive, or <input type="checkbox"/> Non-Competitive
	<input type="checkbox"/> Competitive, or <input type="checkbox"/> Non-Competitive
	<input type="checkbox"/> Competitive, or <input type="checkbox"/> Non-Competitive
	<input type="checkbox"/> Competitive, or <input type="checkbox"/> Non-Competitive
	<input type="checkbox"/> Competitive, or <input type="checkbox"/> Non-Competitive
	<input type="checkbox"/> Competitive, or <input type="checkbox"/> Non-Competitive
	<input type="checkbox"/> Competitive, or <input type="checkbox"/> Non-Competitive

#### Additional Notes/Comments:

## Division of Energy, Housing and Community Resources (DEHCR)

### Community Development Block Grant – Self-Monitoring Checklist

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3. Environmental Review Documentation: (Indicate whether these items are present within the CDBG project folder.)	YES	NO	N/A	Date:
Project Environmental Report (complete Report and related documentation)				
Environmental Review Record (ERR) [complete Record and related documentation]:				
Statement of Activities				
Statutory Checklist (not applicable to PLNG & PS Projects)				
Determination of Categorical Exclusions or Exemption				
Summary (including related documentation)				
Field Notes Checklist (not applicable to PLNG & PS Projects)				
Environmental Assessment (EA) [complete Assessment and related documentation]:				
Environmental Assessment Checklist				
Impact Certification				
Supporting Documentation:				
Site Map				
Site Photographs				
Floodplain Map				
Manmade Hazards				
Other Reviews				
ERR Certification letter or Letter of Concurrence (PLNG & PS projects only) from the Department of Administration (DOA) Environmental Desk				
CDBG costs were <u>not</u> expended or obligated, except for exempt activities (24 CFR 58.34), prior to the date on the DOA Environmental Certification letter. (Enter date that CDBG funds were first expended/obligated.) <i>[Guidance: Answer YES if this statement is true; NO if false.]</i>				
No <i>non</i> -CDBG project costs expended or obligated except for exempt activities (24 CFR 58.34), prior to the date on the DOA Environmental Certification letter. (Enter the date that non-CDBG costs were first expended/obligated.) <i>[Guidance: Answer YES if this statement is true; NO if false.]</i>				

**Additional Notes/Comments:**

## Division of Energy, Housing and Community Resources (DEHCR)

### Community Development Block Grant – Self-Monitoring Checklist

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4. Acquisition & Relocation Documentation: (Indicate whether these items are present within the CDBG project folder.)	YES	NO	N/A	Date:
Residential Anti-Displacement and Relocation Assistance Plan (RADRAP)* (submitted with CDBG Application)				
Acquisition/Relocation Questionnaire* (submitted with CDBG Application, if required)				
Acquisition/Relocation Notice(s) to DEHCR				
Acquisition/Relocation Monitoring Checklist(s)*				
Relocation Plan(s)				
Record of DOA Legal Services Approval of Relocation Plan(s)				
Documentation for Acquisition and Relocation activities and regulatory compliance (e.g., notices, correspondence, fair market value determination records, appraisals, condemnation proceedings documentation, record of payments, etc. – as specified in the Acquisition/Relocation Checklists)				

\*All documentation referenced in the checklists above must be maintained in the project file and may be requested by DEHCR.

#### Additional Notes/Comments:

5. Equal Opportunity, Fair Housing & Section 3 Compliance Documentation*: (Indicate whether these items are present within the CDBG project files.)	YES	NO	N/A
Race/Ethnicity Demographic Profile Form (or Income Survey Race/Ethnicity Tabulation, if survey used) for entire service area/all project beneficiaries			
Accessibility Self-Evaluation Checklist or DSPS Approval of Accessibility Compliance (if applicable)			
<i>For Projects Awarded CDBG Funds <u>ON or AFTER</u> November, 30, 2020:</i>			
Did the UGLG meet the Section 3 "Safe Harbor" benchmarks established by HUD?			
Are records on file of the UGLG's 'best efforts' made for providing guidance/training to and collecting data from contractors to promote the retention of existing Section 3 employees and hiring of new Section 3 employees?			

## Division of Energy, Housing and Community Resources (DEHCR)

### Community Development Block Grant – Self-Monitoring Checklist

UGLG:

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#### Fair Housing Actions Documentation on File

List Fair Housing Actions Completed; Dates of Completion; and Dates of document submissions to DEHCR (if submitted):

- 1.
- 2.
- 3.

*\*Additional documentation regarding Equal Opportunity and Section 3 compliance requirements are listed under the Procurement & Contracting, Labor Standards, and Reporting sections of this checklist.*

#### Additional Notes/Comments:

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## Division of Energy, Housing and Community Resources (DEHCR)

Community Development Block Grant – Self-Monitoring Checklist

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6. Labor Standards Documentation: <small>(Indicate whether these items are present within the CDBG project folder.)</small>	YES	NO
<i>For Subrecipients and or Developers (if applicable), the contracts directly with the Subrecipient or Developer are deemed "prime" contracts.</i>		
A construction sign with required CDBG project information is/was posted at the construction site.		
Photo documentation of the erected construction sign is included with the CDBG project file(s). <i>[Recommended – Not Required.]</i>		
Does Davis-Bacon apply to this CDBG project?		
<i>If NO, provide a brief explanation:</i>  <i>Contact your assigned DEHCR Project Representative to determine which sections of the Labor Standards Documentation are applicable to the CDBG project, then proceed with completing Section 8 of this checklist.</i>		
<i>If YES, complete the remaining questions under this Labor Standards Documentation section:</i>		
Labor Standards Officer's Name: Labor Standards Officer's Phone Number: Labor Standards Officer's Email Address:		
Is a Labor Standards Officer Designee form on file?		
Make a copy of the items shown below with an asterisk (*) and complete the information for <u>each prime contract</u> awarded under separate bid(s):  <div style="display: flex; justify-content: space-between;"> <div style="width: 45%;">                         *Bid Advertisement Date:                          *Contract Award Date:                     </div> <div style="width: 45%;">                         *Bid Opening Date:                          *Construction Start Date:                     </div> </div> <div style="display: flex; justify-content: space-around; margin-top: 10px;"> <div style="width: 30%;">                         *Wage Decision #(s):                          *Modification #(s):                          *Date(s):                     </div> <div style="width: 20%; text-align: center;"> <u>WD 1</u> </div> <div style="width: 20%; text-align: center;"> <u>WD 2</u> </div> <div style="width: 20%; text-align: center;"> <u>WD 3</u> </div> </div>		
Was a Pre-Construction Meeting held? <i>[Recommended – Not Required.]</i>		
<i>If YES, provide the Pre-Construction Meeting Date: _____</i>		
<i>If NO (a Pre-Construction Meeting was <u>not</u> held), explain how the grant requirements were communicated to all Contractors and Sub-Contractors:</i>		
Did the UGLG followed state law and federal OMB in awarding the prime contract(s)?		
Was/were the wage decision(s) included in the bid packet(s)?		
Was/were the wage decision(s) posted in area(s) on work site(s) that were accessible to all employees?		
Is a Force Account Letter on file? <i>(if applicable – for project not subject to Davis-Bacon due to being a public works project completed by municipality employees)</i>		
Is a system in place to ensure that all payrolls and related records are maintained by the UGLG until informed by the DEHCR Division Administrator (or designee) that CDBG project records may be discarded?		



## Division of Energy, Housing and Community Resources (DEHCR)

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### LABOR STANDARDS MONITORING: INDIVIDUAL CONTRACTOR FILE REVIEW

*(Complete this section of the Self-Monitoring Checklist for each Prime Contractor and each Sub-Contractor individually. Copy the pages of this Contractor File Review checklist as needed to complete it for each contractor.)*

Name of Contractor:	Is this a Prime Contractor or a Sub-Contractor? <input type="checkbox"/> Prime or <input type="checkbox"/> Sub
Federal Employer Identification Number (FEIN):	
Data Universal Numbering System (DUNS) Number:	
Prime Contract Amount: \$	Sub-Contract Amount: \$
Contractor's Work Start Date on the CDBG Project:	
Contractor's Work End Date on the CDBG Project:	
<i>If the Contractor (listed above) is a Sub-Contractor (any tier), to which Prime Contractor does the Sub-Contractor belong?</i>	
<i>Name of related Prime Contractor (if applicable):</i>	

Contractor File & Contracting Compliance:	YES	NO	N/A
Has the UGLG established a separate file/folder for this Contractor?			
Does the UGLG have a complete copy of the executed written contract?			
Is/was the required regulatory language included in the contract (see below)?*			
<i>*Items listed below may be applicable/required, recommended, or not applicable (N/A), depending on the nature of the project and contract. Refer to Chapters 3, 6 and 7 in the BCD CDBG Implementation Handbook for further guidance.</i>			
Potential Conflict of Interest Disclosure Form (or similar document[s]) completed by Prime Contractor (recommended for Prime Contractors Only)			
Lobbying Certification			
Disclosure of Lobbying Activities Form			
Equal Opportunity Clause (EO 11246)			
Section 3 Contract Requirements			
Affirmative Action Requirements (EO 11246)			
Goals for Women and Minority Utilization in Construction			
Federal Equal Employment Opportunity Clauses Construction Contract Specifications (EO 11246)			
Davis-Bacon and Related Acts (DBRA)			
Federal Labor Standards Provisions (4010)			
MBE/WBE/DBE Web Resources			
Applicable Federal Wage Decision(s)			
SAM.gov Debarment/Exclusion Check Record(s) on file?			
SAM.gov Debarment/Exclusion Check performed on the entity's name?			
Debarment/Exclusion Check performed on the entity owner's name?			
Was the SAM.gov Debarment/Exclusion Check performed <u>BEFORE</u> the entity was awarded a contract?			
Was the SAM.gov Debarment/Exclusion Check performed <u>BEFORE</u> the entity began work on the project?			



## Division of Energy, Housing and Community Resources (DEHCR)

Community Development Block Grant – Self-Monitoring Checklist

**TEMPLATE** UGLG:  
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Contractor File & Contracting Compliance (continued):	YES	NO	N/A
Is the Contractor's Signed Lobbying Certification on file?			
Is a completed Disclosure of Lobbying Activities (if applicable) on file?			
<b>Pre-Construction Meeting:</b>			
<i>[Pre-Construction Items Listed Below are Recommended – Not Required.]</i>	YES	NO	N/A
Did the Contractor attend the Pre-Construction Meeting(s)?			
Was the Contractor provided the Pre-Construction Documents listed below?			
Pre-Construction Meeting Items to be Discussed (Attachment 7-J)			
Pre-Construction Checklist for Contractors (Attachment 7-K)			
Was the promotion of MBE/WBE subcontracting covered in Pre-Construction Meeting?			
Were Section 3 requirements covered in Pre-Construction Meeting?			
Pre-Construction Meeting Agenda(s) on file?			
Pre-Construction Meeting Minutes/Notes on file?			
<b>Section 3 Compliance:</b>			
	YES	NO	N/A
<i>For Projects Awarded CDBG Funds PRIOR to November, 30, 2020:</i>			
New full-time employees and Section 3 new full-time employees hiring data collected from contractor and on file <i>[Data for full-time hiring (for permanent, temporary or seasonal positions) in connection with the CDBG project are required. Records of communications with contractor regarding Section 3 compliance and requesting data should be on file, regardless of whether contractor had new hiring data to report.]</i>			
New contracting data collected from contractor and on file <i>[Records of communications with contractor regarding Section 3 compliance and requesting data should be on file, regardless of whether contractor had new contracting data to report.]</i>			
<i>For Projects Awarded CDBG Funds ON or AFTER November, 30, 2020:</i>			
Section 3 employee retention data collected (for existing Section 3 employees) from contractor and on file <i>[Records of communications with contractor regarding Section 3 compliance and requesting data should be on file, regardless of whether contractor had Section 3 employee retention data to report.]</i>			
New employee and Section 3 new employee hiring data collected from contractor and on file <i>[Records of communications with contractor regarding Section 3 compliance and requesting data should be on file, regardless of whether contractor had new Section 3 employee data to report.]</i>			
<b>Payroll Records Compliance:</b>			
	YES	NO	N/A
Are weekly certified payrolls or "no work" letter(s)/statement(s) on file?			
Are payrolls numbered (first to last)?			
Has an authorized person of the company signed the certified payroll(s)?			
Are workers' individual identification numbers (e.g., employee ID numbers, last four social security numbers, etc.) shown on at least the first payroll?			
Do hourly wage rates shown on the payroll equal or exceed the wage rates listed in the applicable wage decision(s)?			
Is Form 4230A (additional classification) and related correspondence on file for those classifications not shown in the wage decision (if applicable)?			
Is/was time and a half paid to workers for work performed over 40 hours/week?			
For each worker with two (2) or more job classifications, are separate entries made on the certified payroll record for each job classification, with the hours and wage information for each job classification specified?			

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Payroll Records Compliance (continued):	YES	NO	N/A
Are fringe benefits itemized and properly documented for each worker?			
Are "Other" deductions itemized and properly documented for each worker?			
Are Employee Interview Record (HUD-11) forms fully completed and signed by the payroll examiner? If YES, indicate the number of forms that were completed: _____			
Are the Employee Interview Record (HUD-11) entries consistent with the contractor's payroll records?			
Are apprentices working on the CDBG project?			
Are the proper apprentice/trainee indentures attached to payrolls where such employees appear?			
Are apprentices/trainees properly supervised (not working alone; meeting appropriate apprentice/trainee to journeyman ratio)?			
Are/were there any base wage underpayments on this project?			
Have base wage underpayment monies been paid to workers?			
Are one or more Certified Correction Payrolls and employee paystub copy/copies on file to verify base wage underpayments have been paid to workers/resolved?			
Base Wage Underpayment Amount (Amount Paid or Amount Due if not yet Paid): \$ _____			
Have all base wage underpayment violations been resolved?			
If all base wage underpayment violations are NOT resolved, explain the status of each:			
Are/were there any overtime wage underpayments on this project?			
Have overtime wage underpayment monies been paid to workers?			
Are one or more Certified Correction Payrolls and employee paystub copy/copies on file to verify overtime wage underpayments have been paid to workers/resolved?			
Overtime Wage Underpayment Amount (Amount Paid or Amount Due if not yet Paid): \$ _____			
Have all overtime wage underpayment violations been resolved?			
If all overtime wage underpayment violations are NOT resolved, explain the status of each:			
Have overtime wage underpayment penalty fees been collected from the contractor per HUD/CWHSSA (if required)?			
Penalty Fee Amount Collected from the Contractor (if required): \$ _____			

**Additional Notes/Comments:**

**Division of Energy, Housing and Community Resources (DEHCR)****Community Development Block Grant – Self-Monitoring Checklist****TEMPLATE**

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List Names, the corresponding I.R.S. Employer Identification Number, the Debarment Check Status, and the Lobbying Certification Status of all Prime Contractor(s):

Contractor:	Name:	Has Contractor Started Work on CDBG Project? (Yes or No)	Separate File/Folder for Contractor on File (Yes or No)
Prime Contractor #1			
Prime Contractor #2			
Prime Contractor #3			
Prime Contractor #4			
Prime Contractor #5			
Prime Contractor #6			

List Names, the corresponding I.R.S. Employer Identification Number, the Debarment Check Status, and the Lobbying Certification Status of all Sub-Contractor(s):

Sub-Contractor:	Name:	Has Contractor Started Work on CDBG Project? (Yes or No)	Separate File/Folder for Contractor on File (Yes or No)
Sub-Contractor #1			
Sub-Contractor #2			
Sub-Contractor #3			
Sub-Contractor #4			
Sub-Contractor #5			
Sub-Contractor #6			
Sub-Contractor #7			
Sub-Contractor #8			
Sub-Contractor #9			
Sub-Contractor #10			
Sub-Contractor #11			
Sub-Contractor #12			
Sub-Contractor #13			
Sub-Contractor #14			
Sub-Contractor #15			
Sub-Contractor #16			
Sub-Contractor #17			
Sub-Contractor #18			
Sub-Contractor #19			
Sub-Contractor #20			

Additional Notes/Comments:

## Division of Energy, Housing and Community Resources (DEHCR)

## Community Development Block Grant – Self-Monitoring Checklist

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**7. Financial Management Documentation:**(Indicate whether these items are present within the CDBG project folder.) **List Date of Final Copy of Report on File (after revisions, if applicable)**

Bank Documents:	YES	NO	N/A	Date(s):
Bank Statements				
Signature Certification form				
Financial Contact Person form				
Depository Certification form				
Authorization for Direct Deposit form (or Address Update Form if receiving CDBG payments via paper check)				
New Supplier form				
W-9 TIN Certification form				
<b>Payments ("Drawdowns") Documents:</b>	<b>YES</b>	<b>NO</b>	<b>N/A</b>	<b>Date(s):</b>
Completed Request for Payment forms (i.e., draw forms)				
Records/Notifications of Deposit (e.g., deposit slip, account record/statement, etc.)				
<b>Cash Control Register (CCR) Documents:</b>	<b>YES</b>	<b>NO</b>	<b>N/A</b>	<b>Date:</b>
CCR copies all in file				
CDBG payment deposit dates agree with the deposit dates on account records				
Payment date(s) agree with the account records				
Reports balance of cash on hand each day a payment or deposit was made				
CDBG account does not have more than \$5,000 of federal cash on hand for more than three working days. Exceptions (Describe):				
Is mathematically correct				
Total payments to date per CCR:	\$			
Total payments to date per CDBG account records:	\$			
Adjusted CDBG Account Balance (if applicable)				
Current CDBG Account Balance:	\$			
(+) Deposits in Transit	\$			
(-) Checks Outstanding	\$			
(=) Adjusted CDBG Account Balance	\$			
<b>Comments:</b>				
<b>Disbursements Journal:</b>	<b>YES</b>	<b>NO</b>	<b>N/A</b>	<b>Date:</b>
Disbursements Journal copies all in file				
Reports CDBG award amount, budget activities and budgeted CDBG amount for each activity in header row				
Lists each invoice date, payee (with invoice number), payment date, check number or EBT payment notation and amounts paid with CDBG funding; and indicates which checks, if any, are voided				

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Disbursements Journal (continued):	YES	NO	N/A	Date(s):
Disbursement Journal entries correspond to checks/EFT payments issued and account records with regards to payee, payment date, check number or EFT payment record and payment amt.				
Lists payments using CDBG funds (i.e., CDBG disbursements) to date in total and by budget activity, recorded for each CDBG payment request				
Source documentation on file for payments using CDBG funds (i.e., CDBG disbursements): (e.g., invoices from contractors and others, processed checks/bank checks, payment receipts, board/council and engineer approvals of expenditures, etc.)				
Source documentation is mathematically correct				
CDBG funds are kept in a non-interest-bearing bank account				
<u>Comments:</u>				
Matching Funds Journal:	YES	NO	N/A	Date:
Matching Funds Journal copies all in file				
Reports total budgeted match amount, budget activities and budgeted match amount for each activity in the header row				
Lists each invoice date, payee (with invoice number), payment date, check number or EBT payment notation and amount paid with match funds				
Corresponds to checks/EBT payments issued and account records with regards to payee, payment date, check number or EBT payment record and payment amount				
Lists payments made using match funds to date in total and by budget activity, for each CDBG payment request				
Source documentation on file for payments using match funds (e.g., invoices from contractors and others, copies of processed checks/bank checks, payment receipts, board/council and engineer approval of expenditures, etc.)				
Source documentation is mathematically correct				
Cumulative match equals/exceeds the minimum required match amount (in accordance with the terms of the Grant Agreement)				
Match funds are maintained in a separate account or account register from the CDBG funds				
<u>Comments:</u>				



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<b>8. Reporting Documentation:</b> <small>(Indicate whether these items are present within the CDBG project folder. List Date of Final Copy of Report on File (after revisions, if applicable))</small>	YES	NO	N/A	Date:
Semi-Annual Reports [Certification & Summary Narrative] (with UGLG Signature or Approval Record)	YES	NO	N/A	Date:
Reporting Period #1 from _____ through _____				
Reporting Period #2 from _____ through _____				
Reporting Period #3 from _____ through _____				
Reporting Period #4 from _____ through _____				
Semi-Annual Labor Standard Enforcement Reports/Data Reporting	YES	NO	N/A	Date:
Reporting Period #1 from _____ through _____				
Reporting Period #2 from _____ through _____				
Reporting Period #3 from _____ through _____				
Reporting Period #4 from _____ through _____				
Semi-Annual MBE/WBE Reports/Data Reporting (with UGLG Signature or Approval Record)	YES	NO	N/A	Date:
Reporting Period #1 from _____ through _____				
Reporting Period #2 from _____ through _____				
Reporting Period #3 from _____ through _____				
Reporting Period #4 from _____ through _____				
Section 3 Reports/Date Reporting (with UGLG Signature or Approval Record)	YES	NO	N/A	Date:
Reporting Period #1 from _____ through _____				
Individual reports collected from Prime Contractor(s)?				
Individual reports collected from Sub-Contractor(s)?				
Reporting Period #2 from _____ through _____				
Individual reports collected from Prime Contractor(s)?				
Individual reports collected from Sub-Contractor(s)?				
Reporting Period #3 from _____ through _____				
Individual reports collected from Prime Contractor(s)?				
Individual reports collected from Sub-Contractor(s)?				
Reporting Period #4 from _____ through _____				
Individual reports collected from Prime Contractor(s)?				
Individual reports collected from Sub-Contractor(s)?				
Reporting Period #5 from _____ through _____				
Individual reports collected from Prime Contractor(s)?				
Individual reports collected from Sub-Contractor(s)?				
Reporting Period #6 from _____ through _____ (if applicable)				
Individual reports collected from Prime Contractor(s)?				
Individual reports collected from Sub-Contractor(s)?				
Reporting Period #7 from _____ through _____ (if applicable)				
Individual reports collected from Prime Contractor(s)?				
Individual reports collected from Sub-Contractor(s)?				



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Employee Self-Certification Reports (Job Performance Reports) (with UGLG Signature or Approval Record) For ED and PFED projects Only; or other job creation projects if specified as required in Grant Agreement Time Table	YES	NO	N/A	Date:
Reporting Period #1 from _____ through _____				
Reporting Period #2 from _____ through _____				
Reporting Period #3 from _____ through _____				
Reporting Period #4 from _____ through _____				
Client Income Certification Reports (with UGLG Signature or Approval Record) For PS projects Only; or other projects if specified as required in Grant Agreement Time Table	YES	NO	N/A	Date:
Reporting Period #1 from _____ through _____				
Reporting Period #2 from _____ through _____				
Reporting Period #3 from _____ through _____				
Reporting Period #4 from _____ through _____				
*Items noted in this section with an asterisk may also be maintained in the <u>Labor Standards</u> file.				

Single Audit Statements & Reports	YES	NO	N/A	Dates:
Single Audit Statement(s) (due to DEHCR each Jan. 15 <sup>th</sup> )				
Single Audit Report(s) (if Single Audit(s) required) For year(s): _____ to _____				
Record(s) of Email Submission(s) of Single Audit Report(s) to the Federal Audit Clearinghouse (FAC) (if Single Audit(s) required) For year(s): _____ to _____				
Record(s) of Email Submission(s) to DEHCR of the Federal Audit Clearinghouse (FAC) Single Audit Report Submission Email Confirmation(s) (if Single Audit(s) required) For year(s): _____ to _____				
Resolution of Single Audit Findings documentation (if applicable)				

**Additional Notes/Comments:**

## Division of Energy, Housing and Community Resources (DEHCR)

Community Development Block Grant – Self-Monitoring Checklist

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UGLG:

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9. Project Completion Documentation: (Indicate whether these items are present within the CDBG project folder.) <i>List Date of Final Copy of Report on File (after revisions, if applicable)</i>				
	YES	NO	N/A	Date:
Signed Program Completion Report (Including All Supporting Documents and Final Labor Standards, MBE/WBE and Section 3 Reporting), as submitted to DEHCR				
Final Employee Self-Certification Report and Supporting Documents (ED and PFED Only)				
Final Client Income Certification Report and Supporting Documents (PS Projects Only and Other CDBG Projects if Client Income Certifications were Required for the Project per DEHCR Direction)				
Final Plan (PLNG Only)				
Board/Council Approval or Adoption of Completed Plan (PLNG Only)				
Record of CDBG Funds Returned to DEHCR (if applicable)				
Final Financial Certificate of Completion (after CDBG final payment received by UGLG)				
Final Cash Control Register (after CDBG final payment received by UGLG)				
Final Disbursement Journal (after CDBG final payment received by UGLG)				
Final CDBG Account Bank Record (after CDBG final payment received by UGLG)				

FOR DEHCR USE ONLY:			
EXIT MEETING PARTICIPANTS:		IF EXIT MEETING WAS CONDUCTED (ON-SITE, VIA PHONE, OR VIA ONLINE VIRTUAL MEETING)	
Participant Name:	Participant Title:	Participant Firm/Organization:	Type of Exit Meeting (On-Site/Phone/Virtual)

Additional Notes/Comments:

## **ADDITIONAL NOTES: (optional)**