

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 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 Report*, *Semi-Annual MBE/WBE Report*, *Semi-Annual Report Certification* and *Summary Narrative*, *Semi-Annual Section 3 Report*, *Annual Section 3 Report*, *Single Audit Statement*, *Job Performance Report*, 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 DOA Audit Bureau and submission of the management letter from the 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 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.** 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

UGLGs will be monitored at least once during the contract period of the *Grant Agreement*. The monitoring will be completed using one of the following methods.

DESK MONITORING

The UGLG may be asked to complete the *Self-Monitoring Checklist* (Attachment 2-B). The UGLG will be asked to provide copies of relevant supporting documentation to the DEHCR Project Representative. In addition, monitoring will include a review by the DEHCR Project Representative of the UGLG's documents on file with DEHCR.

ON-SITE MONITORING VISIT

When a DEHCR Project Representative visits an UGLG to monitor the CDBG project, the following may occur:

- The UGLG will be notified in advance of the monitoring visit. Dates and times are usually not negotiable unless unforeseen circumstances arise;
- The UGLG will receive a letter and/or email prior to the monitoring visit describing when the DEHCR Project Representative will arrive and the scope of monitoring;
- The UGLG may be requested to provide a conference room or other enclosed area in which at least two people can work comfortably;
- Representatives from DEHCR or HUD have the right to review any file or record that is associated with the CDBG project whether paper or electronic copy. UGLGs are required to provide access to all of the CDBG files;
- To ensure an efficient and smooth on-site monitoring, UGLGs should have, to the extent possible, the necessary forms and documentation ready and available for review; and/or
- The DEHCR Project Representative monitoring the CDBG program may use the *Self-Monitoring Checklist* (Attachment 2-B). The UGLG may be required to complete and return it to the DEHCR Project Representative prior to the visit.

The *File Checklist* (Attachment 2-A) and the *Self-Monitoring Checklist* (Attachment 2-B) are useful tools for UGLGs to use to verify that all files are 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 in the files throughout the project.

Monitoring by DEHCR does not exempt the UGLG from being monitored by HUD if HUD decides to do so.

IMPORTANT REMINDER!

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

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

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 (or Signed Certification of Adoption) of the Citizen Participation Plan
<input type="checkbox"/>	<input type="checkbox"/>		Adopted Citizen Participation Plan
<input type="checkbox"/>	<input type="checkbox"/>		CDBG Application Public Hearing Notice
<input type="checkbox"/>	<input type="checkbox"/>		CDBG Application Public Hearing Meeting Minutes or Sign-In Sheet
<input type="checkbox"/>	<input type="checkbox"/>		CDBG Application Public Hearing Certification Form
<input type="checkbox"/>	<input type="checkbox"/>		Project/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 PLNG)</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
			<u>Income Survey Documentation (if applicable)</u>
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Map(s) of the Income Survey Area
<input type="checkbox"/>		<input type="checkbox"/>	Income Survey methodology, including documentation of survey distribution process, randomization (for Random Sample Surveys only), and "best efforts" follow-up communications/activities for tracking responses
<input type="checkbox"/>		<input type="checkbox"/>	Income survey response tracking record(s)
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Income Survey Results Tabulation Form (for Income)
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Income Survey Results Race/Ethnicity Demographics Tabulation Form
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Copy of the Income Survey Form used and related correspondence sent with the survey
<input type="checkbox"/>		<input type="checkbox"/>	Completed/returned Income Surveys
<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:

File Checklist
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Division of Energy, Housing and Community Resources (DEHCR)

Community Development Block Grant – File Checklist

FOLDER: GRANT AGREEMENT

UGLG
Files

N/A

DOCUMENTS:

- ☐ Award Letter, including the UGLG's signed Acceptance of Award
- ☐ Grant Agreement (fully executed)
- ☐ ☐ Grant Agreement amendment(s) (fully executed) (*if applicable*)
- ☐ Grant Agreement correspondence

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

ADDITIONAL NOTES:

TEMPLETE

Division of Energy, Housing and Community Resources (DEHCR)

Community Development Block Grant – File Checklist

FOLDER: PROCUREMENT & CONTRACTING

UGLG Files	Record of Submission to DEHCR	N/A	DOCUMENTS:
<input type="checkbox"/>	<input type="checkbox"/>		UGLG's Procurement Policy
<input type="checkbox"/>			Documentation of efforts to promote 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 Conflict of Interest Reviews and Request 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), including the list of recipients/contacts;
<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;
<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), bid(s), and/or proposal(s)/selected qualifications;
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Notice(s) of Contractor Award;
<input type="checkbox"/>			Record of debarment status checks on the System for Award Management (SAM) https://www.sam.gov/portal/public/SAM/ ;
<input type="checkbox"/>		<input type="checkbox"/>	Federal employer identification number (FEIN) for each prime contractor and sub-contractor for construction;
<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)];
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Completed Disclosure of Lobbying Activities Forms (if applicable); and
<input type="checkbox"/>			Executed contracts for goods and services (all contractors), with the applicable required language for Labor Standards, Davis-Bacon, Civil Rights/Equal Opportunity and Section 3 compliance.
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Record of submission of Grant Administration contract to DEHCR for review (if applicable)
<input type="checkbox"/>			Procurement/Contracting 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: ENVIRONMENTAL REVIEW (ER)

UGLG Files	Record of Submission to DEHCR	N/A	DOCUMENTS:
<input type="checkbox"/>	<input type="checkbox"/>		Statement of Activities
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Determination of Exemption (if applicable)
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Environmental Report (ER)
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Request for Release of Funds (HUD 7015.15 if applicable)
<input type="checkbox"/>		<input type="checkbox"/>	Authority to Use Grant Funds (HUD 7015.16 if applicable)
<input type="checkbox"/>		<input type="checkbox"/>	Environmental Certification Letter from DEHCR
<input type="checkbox"/>		<input type="checkbox"/>	Environmental Letter of Concurrence from DEHCR (CDBG-Planning projects only)
<input type="checkbox"/>			Environmental Review (or related) 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: LABOR STANDARDS

[Files must be organized by contractor, including prime contractor(s) and sub-contractor(s)]

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 (if applicable)
<input type="checkbox"/>	<input type="checkbox"/>		Record of Wage Decision Form, and copy of applicable wage decision(s)
<input type="checkbox"/>			Statement of applicable federal wage rates from the federal Department of Labor (https://beta.sam.gov)
<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"/>		Pre-Construction Report/Minutes
<input type="checkbox"/>			Work start and end dates for each contractor and sub-contractor
<input type="checkbox"/>			Separate file(s) for each prime contractor and sub-contractor
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Form 4230A, for additional classifications (if applicable)
<input type="checkbox"/>		<input type="checkbox"/>	Written notification(s) of contractors'/sub-contractors' "no work" weeks (if applicable)
<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.e. itemized list and hourly rate value(s) of fringe benefits paid to each employee, and certified by the authorized contractor's representative]
<input type="checkbox"/>		<input type="checkbox"/>	Authorized "other" deductions documentation [i.e. itemized list and hourly rate value(s) of "other" benefits paid to each employee, and certified by the authorized contractor's representative]
<input type="checkbox"/>		<input type="checkbox"/>	Apprenticeship documentation (if applicable)
<input type="checkbox"/>			Employee Interview Records [i.e., HUD-11 Form(s)], 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 corrected Certified Payroll Record(s)
<input type="checkbox"/>		<input type="checkbox"/>	Calculations and payment records for overtime underpayment liquidated damages (penalty fees) per HUD/CWHSSA (if applicable)
<input type="checkbox"/>	<input type="checkbox"/>		Photo documentation of posted CDBG project sign at the project location
<input type="checkbox"/>	<input type="checkbox"/>		Photo documentation of posted wage decision(s)/rate(s) at the project location
<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:

TEMPLATE

Division of Energy, Housing and Community Resources (DEHCR)

Community Development Block Grant – File Checklist

FOLDER: FINANCIAL MANAGEMENT

UGLG Files	Record of Submission to DEHCR	N/A	<u>DOCUMENTS:</u>
<input type="checkbox"/>	<input type="checkbox"/>		Financial Management Contact Person Form
<input type="checkbox"/>	<input type="checkbox"/>		Depository Certification Form
<input type="checkbox"/>	<input type="checkbox"/>		Signature Certification Form
<input type="checkbox"/>	<input type="checkbox"/>		Taxpayer Identification Number Certification (W-9) Form
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Authorization for Electronic Deposit Form (DOA-6456 STAR Form)
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Request for CDBG disbursement(s) to UGLG be paid via mailed paper check (DOA-6457 STAR 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, and other vendor billing statements)
<input type="checkbox"/>	<input type="checkbox"/>		Processed/bank-issued checks and receipts (<i>if applicable</i>)
<input type="checkbox"/>	<input type="checkbox"/>		Matching Funds Journal (MFJ) for each drawdown
			Supporting documentation for Match-eligible project costs incurred to document expenditures:
<input type="checkbox"/>	<input type="checkbox"/>		Invoices (including approved contractor pay applications for construction, and other vendor billing statements)
<input type="checkbox"/>	<input type="checkbox"/>		Processed/bank-issued checks and receipts (<i>if applicable</i>)
<input type="checkbox"/>		<input type="checkbox"/>	Checks/payment records from other Match funding sources (<i>if applicable</i>), specify: _____
<input type="checkbox"/>			Record of Deposits/Payments/Transfers (<i>e.g. bank statements, deposit slips, etc.</i>)
<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:

TEMPLATE

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 Semi-Annual Certifications and Narrative Reports on project accomplishments (reporting accomplishments toward Project Scope of Work, as outlined in the <i>Grant Agreement's</i> Time Table):
<input type="checkbox"/>	<input type="checkbox"/>		Environmental Review Certification status reporting
<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"/>		Second Citizen Participation Public Hearing documentation of activities completed Due Date: _____ Completion Date: _____
<input type="checkbox"/>	<input type="checkbox"/>		Public Hearing Notice, including affidavit of publication
<input type="checkbox"/>	<input type="checkbox"/>		Public Hearing Meeting Minutes
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Public Hearing Sign-In Sheet (<i>if applicable</i>)
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Semi-Annual Labor Standards Enforcement Reports (LSERs)
<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
<input type="checkbox"/>	<input type="checkbox"/>		Contractors'/Sub-Contractors' Semi-Annual Section 3 Reports
<input type="checkbox"/>	<input type="checkbox"/>		Semi-Annual Section 3 Reports (UGLG's summary data submitted to DEHCR)
<input type="checkbox"/>	<input type="checkbox"/>		Annual Section 3 Reports (UGLG's summary data submitted to DEHCR)
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Employee Self-Certification Report(s) documenting employment and training accomplishments (<i>if applicable, ED and PFED projects only</i>)
<input type="checkbox"/>			Reporting correspondence
<u>Single Audit Documentation</u>			
<input type="checkbox"/>	<input type="checkbox"/>		Annual Single Audit Statement(s)/Letter(s)
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Annual Single Audit Report Correspondence to DEHCR (submission of Single Audit Report management letter only) (<i>if applicable</i>)
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Annual Single Audit Report(s) and record(s) of submission to the DOA Audit Bureau (<i>if applicable</i>)
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Documentation of resolution of Single Audit finding(s) (<i>if applicable</i>)
<input type="checkbox"/>			Single Audit correspondence
<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"/>			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.

ATTACHMENT 2-B: SELF-MONITORING CHECKLIST

Division of Energy, Housing and Community Resources (DEHCR)

Community Development Block Grant – Self-Monitoring Checklist

SELF-MONITORING CHECKLIST

Unit of General Local Government (UGLG) SELF-MONITORING CHECKLIST for Community Development Block Grant (CDBG) Projects

*Complete this checklist, then submit a signed and dated copy to the assigned
Division of Energy, Housing and Community Resources (DEHCR) Project Representative, as requested.*

Unit of General Local Government (UGLG):

DEHCR Grant Agreement Number:

Reviewer's Name and Title:
(person completing this form)

Date Completed:

Reviewer's
Phone Number:

I attest that the information herein is true and correct.

_____ Date Signed

Signature of the Chief Elected Official (CEO)

Printed Name and Job Title of the
Chief Elected Official (CEO)

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

INSTRUCTIONS:

1. Complete this *Self-Monitoring Checklist* and review the CDBG project folder and mark the "Yes", "No", "Not Applicable (N/A)", and/or "Date" fields (where appropriate) to indicate that you either do or do not have each of the listed documents and described information currently stored within the on-site CDBG project file(s).
2. Sign and date this document.
3. Retain a copy of this signed and dated document for your records.
4. Return this completed document (preferably in an electronic PDF format, via email) to the assigned DEHCR Project Representative by the date indicated in the letter that accompanies this document.

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1. General Administration Documentation: <small>(Indicate whether the following items are present within the CDBG project folder.)</small>	YES	NO	N/A	Date:
Application Documents				
Signed Application and Supporting Attachments, as submitted to DEHCR				
Project Area Map				
Statement of Assurances Documents				
Signed Statement of Assurances				
Policy/Policies in compliance with requirements for Non-Violent Civil Rights Demonstrations (prohibiting use of excessive force and the barring of entrances and exits)				
Citizen Participation Documents				
Citizen Participation Plan				
Citizen Participation Plan Adopting Resolution				
Date of Adoption:				
Citizen Participation Public Hearing Notices:				
Citizen Participation Hearing 1 (list date of the posting)				
Citizen Participation Hearing 2 (list date of the posting)				
Citizen Participation Public Hearing Minutes and/or Certification:				
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				
Income Survey Documents				
Was an Income Survey conducted for this project?				
If YES, check for the following items in the file:				
Income Survey Results Tabulation form (for income)				
Income Survey Results Race/Ethnicity Demographics Tabulation form				
Income Survey Map(s)				
Income Surveys which were completed and returned				
Income Survey Response Tracking (with list of families, street addresses, and response status/data for each)				
Income Survey Methodology used [including determination of service area/survey area, determination of minimum response rate required, randomization process (for Random Sample Surveys only), survey distribution process and methods, data calculations, etc.]				

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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:

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3. Procurement & Contracting Documentation: <small>(Indicate whether these items are present within the CDBG project folder.)</small>	YES	NO	N/A	Date:
Copy of UGLG's Procurement Policy				
Conflict of Interest Exception Request documentation (if applicable)				
Mechanisms/documentation in place for the disclosure and review of potential conflicts of interest				
Procurement Documentation for CONSTRUCTION:				
Sealed Bid Process and Bid Opening Requirements Documentation*				
The Request for Bids (RFB) states requirements for services and project specifications				
The RFB identified all significant evaluation factors including price and their relative importance*				
The RFB was published*				
Copy of bid tabulation AND successful bid document*				
Bids were solicited from an adequate number of providers (Total number solicited* = _____)				
All bids were evaluated and the evaluation is documented*				
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 contracts, including Civil Rights Compliance and Section 3 compliance language.*				
Procurement Documentation for GRANT ADMINISTRATION Services:				
Are any of the Grant Administration costs being paid with CDBG funds?				
The contracting for Grant Administration is in compliance with the UGLG's local procurement policy.				
Request for Proposals Process Documentation				
The Request for Proposal (RFP) states requirements for services and project specifications*				
The RFP identified all significant evaluation factors including price and their relative importance*				
The RFP was published*				
All proposals were evaluated and the evaluation is documented*				
The award(s) was made to the consultant/vendor/provider whose proposal was most advantageous to the UGLG after all factors were considered*				
Board/Council Acceptance of the Successful Proposal*				
Signed Lobbying form from contracted Grant Administrator				

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3. Procurement & Contracting Documentation (continued): <small>(Indicate whether these items are present within the CDBG project folder.)</small>	YES	NO	N/A	Date:
Procurement Documentation for GRANT ADMINISTRATION Services (continued):				
Executed contracts, including Civil Rights Compliance and Section 3 compliance language.*				
Procurement Documentation for ENGINEERING Services:				
The contracting for Engineering Services is in compliance with the UGLG's local procurement policy				
Request for Qualifications Process Documentation*				
Qualifications were solicited from an adequate number of providers (Total number solicited* = _____)				
Board/Council Acceptance of the Successful Provider*				
<small>*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.</small>				

Procurement Transactions Documentation:	
Names of Consultants/Vendors/Providers	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:

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4. Environmental Review Documentation: <small>(Indicate whether these items are present within the CDBG project folder.)</small>	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 Projects)				
Determination of Categorical Exclusions or Exemption				
Summary (including related documentation)				
Field Notes Checklist (not applicable to PLNG 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 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.) <small>[Guidance: Answer YES if this statement is true; NO if false.]</small>				
No non-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.) <small>[Guidance: Answer YES if this statement is true; NO if false.]</small>				

Additional Notes/Comments:

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7. Labor Standards Documentation: <small>(Indicate whether these items are present within the CDBG project folder.)</small>	YES	NO
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):		
*Bid Advertisement Date:	*Bid Opening Date:	
*Contract Award Date:	*Construction Start Date:	
	<u>WD 1</u>	<u>WD 2</u>
*Wage Decision #(s):		<u>WD 3</u>
*Modification #(s):		
*Date(s):		
Labor Standards (continued)	YES	NO
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?		

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LABOR STANDARDS MONITORING: INDIVIDUAL CONTRACTOR FILE REVIEW

(Complete this information for each Prime Contractor and each Sub-Contractor individually. Attach and insert additional pages as needed.)

Name of Contractor: _____ Is this a Prime Contractor or a Sub-Contractor?
☐ Prime or ☐ Sub

Federal Employer Identification Number (FEIN): _____

DUNS #: _____

Prime Contract Amount: \$ _____

Sub-Contract Amount: \$ _____

Contractor's Work Start Date on the CDBG Project: _____

Contractor's Work End Date on the CDBG Project: _____

If the Contractor (listed above) is a Sub-Contractor (any tier), to which Prime Contractor does the Sub-Contractor belong?

Name of related Prime Contractor (if applicable): _____

MONITORING ITEMS:

	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)?* YES NO N/A

*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.

Potential Conflict of Interest Disclosure Form (or similar document[s])			
Lobbying Certification			
Disclosure of Lobbying Activities Form			
Equal Opportunity Clause (EO 11246)			
Section 3 Contract Language 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)			

Is/are the SAM.gov Debarment Check Record(s)** on file? YES NO N/A

** Search via the Contractor's name (it's considered best practice to search both the firm's corporate name and the owner's name).
Search via the Contractor's DUNS number.
Complete (and save/print & file) the search(es) prior to awarding the contract(s).

Is the Contractor's Signed Lobbying Certification on file?			
Is a completed Disclosure of Lobbying Activities (if applicable) on file?			

Did the Contractor attend the Pre-Construction Meeting(s)? YES NO N/A

[Recommended – not required.]

Was the Contractor provided the Pre-Construction Documents? YES NO N/A

[Recommended – not required.]

Pre-Construction Meeting Items to be Discussed			
Pre-Construction Checklist for Contractors			

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MONITORING ITEMS (CONTINUED):	YES	NO	N/A
Equal Opportunity and Section 3 Compliance:			
Did the UGLG demonstrate outreach to (and/or promotion of contracting with) MBE/WBE Firms?			
Did the UGLG demonstrate outreach to (and/or promotion of contracting with) Section 3 Firms?			
Did the UGLG demonstrate outreach to (and/or promotion of) Section 3 new employee hires?			
Did the UGLG collect and retain Section 3 Report(s) completed by this Contractor?			
Payroll Records Compliance:			
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?			
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?			

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MONITORING ITEMS (CONTINUED):	YES	NO	N/A
Payroll Records Compliance (continued):			
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:

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List Names 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 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:

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8. Financial Management Documentation: <small>(Indicate whether these items are present within the CDBG project folder.)</small>				
Bank Documents:	YES	NO	N/A	Date(s):
Depository Certification form				
Signature Certification form				
Financial Contact Person form				
Bank Statements				
Payments ("Drawdowns") Documents:	YES	NO	N/A	Date(s):
Completed Request for Payment forms (i.e., draw forms)				
Records/Notifications of Deposit (e.g., deposit slip, account record/statement, etc.)				
Cash Control Register (CCR) Documents:	YES	NO	N/A	Date:
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	\$			
Comments:				
Disbursements Journal:	YES	NO	N/A	Date:
Disbursements Journal copies all in file				
Reports CDBG award amount, budget activities and budgeted CDBG 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 amounts paid with CDBG funding; and indicates which checks, if any, are voided				
Corresponds to checks/EBT payments issued and account records with regards to payee, payment date, check number or EBT payment record and payment amount				

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8. Financial Management Documentation (continued):

(Indicate whether these items are present within the CDBG project folder.)

Disbursements Journal (continued):	YES	NO	N/A	Date(s):
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				
Comments:				
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				
Comments:				

Additional Notes/Comments:

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9. Reporting Documentation: <small>(Indicate whether these items are present within the CDBG project folder.)</small>	YES	NO	N/A	Date:
Semi-Annual Narrative Reports on Accomplishments with UGLG Certification Signature:				
Reporting Period #1 from _____ through _____				
Reporting Period #2 from _____ through _____				
Reporting Period #3 from _____ through _____				
Reporting Period #4 from _____ through _____				
Semi-Annual Labor Standards Enforcement Reports*				
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*				
Reporting Period #1 from _____ through _____				
Reporting Period #2 from _____ through _____				
Reporting Period #3 from _____ through _____				
Reporting Period #4 from _____ through _____				
Section 3 Reports*				
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 _____				
Individual reports collected from Prime Contractor(s)?				
Individual reports collected from Sub-Contractor(s)?				
Reporting Period #7 from _____ through _____				
Individual reports collected from Prime Contractor(s)?				
Individual reports collected from Sub-Contractor(s)?				
Employee Self-Certification Reports (job performance) (ED and PFED Only)				
Reporting Period #1 from _____ through _____				
Reporting Period #2 from _____ through _____				
Reporting Period #3 from _____ through _____				
Reporting Period #4 from _____ through _____				

**Items may also be maintained in the Labor Standards file.*

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10. Project Completion Documentation: (Indicate whether these items are present within the CDBG project folder.)	YES	NO	N/A	Date:
Signed Program Completion Report and Supporting Documents, as submitted to DEHCR				
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)				
Final Plan (PLNG Only)				
Board/Council Approval or Adoption of Completed Plan (PLNG Only)				
Final Employee Self-Certification Report and Supporting Documents (ED and PFED Only)				
Record of CDBG Funds Returned to DEHCR (if applicable)				

Additional Notes/Comments:

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EXIT INTERVIEW PARTICIPANTS: <small>APPLICABLE IF THE MONITORING WAS PERFORMED ON-SITE</small>		
Participant's Name:	Participant's Phone #:	Participant's Email:

Additional Notes/Comments:

ADDITIONAL NOTES: (optional)

ADDITIONAL NOTES: (optional)