

MONITORING

DEHCR – BUREAU OF COMMUNITY DEVELOPMENT



MONITORING PROCESS

- On-site Visit or Desktop Monitoring at least once during the Performance Period
- 30 – Day Advance Notification Letter
- Logistics & Accessibility
- Entry and Exit Interview
- Follow-Up Letter
- Corrective Actions (if applicable)
- Monitoring Completion Letter

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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 of 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.

Self-Monitoring Checklist

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1. General Administration Documentation:

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

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				

Self-Monitoring Checklist (cont'd)

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Self-Monitoring Checklist (cont'd)

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.]				
Income Survey Documents (continued)				
LMI calculation record(s) for income survey data combined with HUD LMI summary data for a multi-jurisdiction service area (if applicable)				
Record(s) of "best efforts" to solicit survey responses, including tracking of follow-up communications and efforts made (e.g., methods used, dates, days of the week, approximate time(s) of day, results of each effort made, etc.)				277

Self-Monitoring Checklist (cont'd)

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)				
3. Procurement & Contracting Documentation: (Indicate whether these items are present within the CDBG project folder.)				
	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				278

Self-Monitoring Checklist (cont'd)

3. Procurement & Contracting Documentation: (Indicate whether these items are present within the CDBG project folder.)	YES	NO	N/A	Date:
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.*				

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Self-Monitoring Checklist (cont'd)

3. Procurement & Contracting Documentation: (Indicate whether these items are present within the CDBG project folder.)	YES	NO	N/A	Date:
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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Self-Monitoring Checklist (cont'd)



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*					
<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>					
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 281			
	<input type="checkbox"/> Competitive, or	<input type="checkbox"/> Non-Competitive			
	<input type="checkbox"/> Competitive, or	<input type="checkbox"/> Non-Competitive			

Self-Monitoring Checklist (cont'd)

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					282
Manmade Hazards					
Other Reviews					

Self-Monitoring Checklist (cont'd)

4. Environmental Review Documentation: (Indicate whether these items are present within the CDBG project folder.)	YES	NO	N/A	Date:
ERR Certification letter or Letter of Concurrence (PLNG projects only) from the Department of Administration (DOA) Environmental Desk				
CDBG costs were not 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 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.) <i>[Guidance: Answer YES if this statement is true, NO if false.]</i>				

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Self-Monitoring Checklist (cont'd)

5. 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 Checklist (submitted with CDBG Application)				
Acquisition Monitoring Checklist*				
Relocation Monitoring Checklist*				
Relocation Plan				
Record of DEHCR Approval of Relocation Plan				
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.

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Self-Monitoring Checklist (cont'd)

6. Equal Opportunity Documentation: (Indicate whether these items are present within the CDBG project folder.)	YES	NO	N/A	Date:
Race/Ethnicity Demographic Profile of service area/project beneficiaries				
Affirmative Action Plan notice posted in a conspicuous place (if applicable)				
Accessibility Self-Evaluation Checklist or DSPS Approval of Accessibility Compliance (if applicable)				
<i>*Documentation regarding Equal Opportunity related contracting and reporting requirements are listed under the Procurement & Contracting and Reporting sections of this checklist.</i>				

Self-Monitoring Checklist (cont'd)



7. Labor Standards Documentation: (Indicate whether these items are present within the CDBG project folder.)	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):		

Self-Monitoring Checklist (cont'd)

Labor Standards (continued)		YES	NO
Was a Pre-Construction Meeting held? <i>[Recommended – Not Required.]</i>			
If YES, provide the Pre-Construction Meeting Date: _____			
If NO (a Pre-Construction Meeting was <u>not</u> held), explain how the grant requirements were communicated to all Contractors and Sub-Contractors:			
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?			287

Self-Monitoring Checklist (cont'd)

NEW FORMAT:
Complete For Each Prime Contractor and
Sub-Contractor

LABOR STANDARDS MONITORING: INDIVIDUAL CONTRACTOR FILE REVIEW	
<i>(Complete this information for each Prime Contractor and each Sub-Contractor individually. Attach and insert additional pages as needed.)</i>	
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):	
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):	

Self-Monitoring Checklist (cont'd)

Complete for Each Prime Contractor and Sub-Contractor

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)?*			
<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))			
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 Wage Decision(s)			
Is/are the SAM.gov Debarment Check Record(s) on file?			
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)? <i>[Recommended - not required]</i>			
Was the Contractor provided the Pre-Construction Documents? <i>[Recommended - not required]</i>			
Pre-Construction Meeting Items to be Discussed			
Pre-Construction Checklist for Contractors			

Self-Monitoring Checklist (cont'd)

Complete for Each Prime Contractor and Sub-Contractor

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)?			

Self-Monitoring Checklist (cont'd)

Complete for Each Prime Contractor and Sub-Contractor

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

Self-Monitoring Checklist (cont'd)

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			

Self-Monitoring Checklist (cont'd)

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	\$			

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Self-Monitoring Checklist (cont'd)

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				
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				

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Self-Monitoring Checklist (cont'd)

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				

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Self-Monitoring Checklist (cont'd)

9. Reporting Documentation: (Indicate whether these items are present within the CDBG project folder.)		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 _____					

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Self-Monitoring Checklist (cont'd)

9. Reporting Documentation: (Indicate whether these items are present within the CDBG project folder.)		YES	NO	N/A	Date:
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)?					
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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Self-Monitoring Checklist (cont'd)

➡

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)					

➡

11. Single Audit Documentation: (Indicate whether these items are present within the CDBG project folder.)		YES	NO	N/A	Dates:
Annual Single Audit Statement(s)/Letter(s)					
Single Audit Report(s) (if applicable) For year(s): to					
Resolution of Single Audit Findings documentation (if applicable)					

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

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MONITORING REPORT

FINDING VERSUS CONCERN:

- **Finding** represents an issue of non-compliance with CDBG policy or regulatory requirements
- **Concern** represents an issue with documentation or procedure that does not necessarily represent non-compliance with the CDBG policies, Implementation Handbook or regulations, but must be addressed to ensure compliance so the item does not rise to a later Finding



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MONITORING REPORT

TIMELINE FOR REPORT AND CORRECTIVE ACTION:

- Monitoring report from DEHCR issued in a letter to Chief Elected Official (CEO) generally within 30 days of monitoring
- UGLG has 30 days to respond (on municipal letterhead; signed by CEO)
- Follow-up items submitted to DEHCR by UGLG; summarized in UGLG's response letter
- No response or delay in completing corrective actions may result in CDBG payments being withheld
- Refer to Grant Agreement regarding non-compliance/failure to perform³⁰⁰ and cause for termination of CDBG agreement and award or denied payments

QUESTIONS?

Email: DOACDBG@Wisconsin.gov



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