

Sample Compliance Monitoring Checklist

Financial Management

	Question	Response *	Clarification Required	Clarification Response
FM1	Is a filing system maintained to provide readily accessible documentation and records that adequately identified the source and application of funds for grant supported activities?			
FM2	Has the Grant Recipient completed a Materials and Services Record (or Financial Interest Report) for all individuals or firms under contract to provide goods or services for the project?			
FM3	Are separate accounting records (e.g. ledger, check register) established and maintained for TxCDBG project funds?			
FM4	Are TxCDBG funds held in a Non-interest bearing account?			
FM4.1	If No, is the amount of interest earned more than \$500.00 per fiscal year?		Amount of interest earned: \$ _____	
FM4.2	If greater than \$500.00, has the Recipient taken steps to return any interest earned over \$500 by remitting payment to the DHHS Payment Management System per 2 CFR 200.305(b)(9)?		Amount of interest earned to be refunded: \$ _____	
FM5	Is the following source documentation available for review?			
FM5.1	Copies of draw down requests			
FM5.2	Deposit slips			
FM5.3	Monthly bank statements			
FM5.4	Purchase orders, invoices, and construction estimates, receipts, etc.			
FM6	Were all TxCDBG funds spent in accordance with the budgeted line items from which they were drawn or corrected via Payment Adjustment?			
FM7	Were draw down requests limited to the amount of funds needed at the time of the request?			
FM8	Were TxCDBG funds generally disbursed within 5 business days of receipt/deposit, or as soon as administratively feasible?			
FM9	Were transfers of funds between budgeted line items approved by the Department via budget modification/amendment?			

FM10	Was reconciliation of the monthly bank statements made by someone other than the person responsible for handling cash or issuing checks (where feasible)?			
FM11	Is authorization of payments and issuance of checks handled by different individuals (where feasible)?			
FM12	Is there documentation that each employee or official having access to project assets, accounting records, or checks is bonded or insured? (Recommended)		Name of Company and Amount of Bond	
FM13	Were all contract-related expenses (except audit) incurred within the TxCDBG contract period?			
FM14	Do all costs appear allowable?		Questioned Costs	

Matching Funds

FM15	Did the Grant Recipient make a commitment to provide match to this project?			
FM15.1	Are separate accounting records (e.g., ledger, check register) established and maintained to track local match expenditures for the project?			
FM15.2	Is acceptable source documentation maintained to support local match expenditures (e.g. time sheets, personnel cost calculation forms, invoices, etc.)?			
FM16	Were all of the expenditures claimed as match allocable under the TxCDBG project (i.e., all costs associated with carrying out the scope of activities in the Grant Agreement)?			
FM17	Has the Grant Recipient expended an adequate amount of allowable local match to meet its percentage of TxCDBG funds commitment?			
FM17.1	If no, has the Grant Recipient contracted or anticipates additional expenditures that will meet its local match commitment?			

Single Audit Compliance

FM18	Was the Grant Recipient's most recent financial audit (CAFR) available for public review?			
FM19	Has the Grant Recipient submitted the applicable Audit Certification Record			
FM20	Did the Audit Certification Form(s) reflect expenditures of at least \$750,000 or more in federal funds during the applicable fiscal year(s)?			
FM21	If YES, has the Grant Recipient submitted required single audits to the Federal Audit Clearinghouse?			

FY End**ACR Submitted****SA required?****SA Submitted**

Please complete [insert document name] and upload below *

Environmental Review - Post Release

Instructions:

Please complete this page and press save.

Required fields are marked with an *

Level of Review

Exempt, Categorically Excluded (b), or Categorically Excluded - converted to exempt

Categorically Excluded (a)

Environmental Assessment

	Question	Response *	Clarification Required	Clarification Response
E1	Did the Grant Recipient commit HUD funds or non-HUD funds or undertake a choice-limiting action prior to the State's environmental clearance?		AUGF date	
E1.1			Acq of Property Conveyance date	
E1.2			Construction Contract Executed date	
E1.3			Adverse impact or choice-limiting action	
E2	Did the Grant Recipient authorize a Certifying Officer by resolution of the local governing body?		Name and title of Certifying Officer	
E3	Does the project description include the following:			
E3.1	Project name, funding source and location			
E3.2	Use of project			
E3.3	Size of project (sq. ft., No. of units, etc.)			
E3.4	Type of Construction			
E4	Is the project description similar in quantities and locations to the Work to Be Performed section of the grant agreement?			
E5	Is the project description in the Environmental Review the same project that was constructed?			
E6	Does the ERR contain the Environmental Review Checklist form for the appropriate level of review, including maps and supporting documentation?			
E7	Does the ERR contain the Authority to use Grant Funds? (Environmental Review Main Form)			
E8	Did the magnitude or extent of the project remain substantially unchanged (i.e., changes in target area, project activities)?			
E8.1	If no, Did the Grant Recipient re-evaluate the original environmental findings and determine they are still valid? Did the Grant Recipient affirm that the original FONSI was still valid when requesting a grant agreement amendment?			
E8.2	If the original findings were no longer valid did the Grant Recipient prepare new environmental review addressing changes to the project?			

E9	Is the Environmental Review Record available for public review?			
Exempt Only				
E10	Does the ERR contain the Exemption Determination for Activities Listed at 24 CFR §58.34 Checklist, including written documentation of its determination that each activity or project is Exempt and meets the conditions specified for such exemption? (Environmental Review Checklist)			
E11	Did the project convert to Exempt from Categorically Excluded Subject to 58.5 under 24 CFR 58.34(a) (12)?			
Categorically Excluded AND Environmental Assessment				
E12	Did the Grant Recipient receive a Section 106 waiver through the Programmatic Agreement (PA) with TDA?			
E12.1	If no, did the Grant Recipient contact the Texas Historical Commission?		Date of Section THC notification	
E12.2	If no, did the Grant Recipient contact all Native American tribes with identified interests?		Date of consultation letter(s)	
E12.3			Number of tribes contacted	
E13	Does the ERR contain a floodplain map with the location of the project indicated on the map?			
E13.1	If no map, were flow studies completed, or did the reviewer rely on other sources to determine if the project area is prone to flooding?			
E14	Does the ERR contain a Wetlands Inventory map with the location of the project indicated on the map?			
E15	Did the Grant Recipient comply with E.O. 11988 (Floodplains), E.O. 11990 (Wetlands), 24 CFR §55.20 and complete the 8 step process?		Early Public Notice	
E15.1			Public Comment Deadline	
E15.2			Notice of Explanation	
E16	Does the ERR contain a copy of the published Notice of Intent to Request a Release of Funds and publishers affidavit?			
E16.1	Were any public comments received?		Summary of comments	
E16.2	If Yes, did the Grant Recipient address and resolve these comments before proceeding with completing the RROF and Certification form?			
E17	Was the RROF signed after the checklist signature AND after the end of the local comment period?			

E18	Was the local comment period adequate? • Categorically Excluded: 7-days beginning the following date of the publication (10-days if posted). • Environmental Assessment: 15-days beginning the following date of the publication (18-day if posted).		Local Comment Period Dates	
E18.1			Newspaper and Date Published	
E18.2			Location and Date Posted	
Environmental Assessment Only				
E19	Was the FONSI Notice sent to local news media, interest groups, local, State agencies, regional office of the EPA, and TDA? Note: The FONSI must at minimum be sent to the regional office of the EPA.			

Acquisition of Real Property

Instructions:

Please complete this page and press save.

Required fields are marked with an *

	Question	Response *	Clarification Required	Clarification Response
A1	Has the Grant Recipient submitted its TxCDBG Acquisition Report in TDA-Go (or Form A600)?			
A2	Did the Grant Recipient report on the <i>Acquisition Report</i> that acquisition of real property is required for the project?		Identify Voluntary or Involuntary acquisition	
A2.1	If yes, is acquisition of property included in the grant agreement Work to be Performed (or Performance Statement)?			
A2.2	If yes, did the Grant Recipient receive TDA approval to proceed?		Date TDA approved	
A3	Did the Grant Recipient complete the Acquired parcel form (or Form A601) for all parcels acquired for the project?		Total Number of Parcels Acquired	
A4	Is an updated TxCDBG Acquisition Report required?			
A5	Was a deed, easement document, agreement for donation of property or a long-term lease executed prior to TDA environmental clearance and authorization to use grant funds?		AUGF Date	
A5.1			Date of Executed Deed/Agreement	
Voluntary Acquisition				
A6	If acquiring entity <u>has eminent domain authority</u>, was the acquisition properly established to be voluntary? • Not site specific • Not part of planned area • Owner informed of market value • Owner informed eminent domain will not be used to acquire property.			

A7	If the acquiring entity <u>lacks eminent domain authority</u>, was the acquisition properly established to be voluntary? • Sub-recipient (other than a municipality or county) lacks eminent domain authority • Property acquired is owned by federal, state, local government, or a political subdivision such as a school district. • Acquisition of property is for economic development purposes (unless project is for elimination of slum or blighted areas).			
A8	Was each owner notified in writing that eminent domain authority will not be used to acquire his/her property if an amicable agreement is not reached?			
A9	Was each owner informed in writing of the estimated market value of his/her property?			
A10	Did the owner accept the offer for market value of the property?		Number of parcels where offer accepted	
A11	Did the parties agree to a negotiated settlement of purchase of the property?		Number of parcels where settlement negotiated	
A12	Did the owner agree in writing to donate the property?		Number of parcels donated	
A13	Is there evidence that deeds for utility easements or tracts acquired were recorded with the County?			
Involuntary Acquisition				
A14	Did the Grant Recipient notify the landowner, in writing, of interest acquiring his/her property?			
A15	Is there evidence that the landowner received required landowner rights brochures (e.g. certified mail delivery, signature receipt acknowledgement)? • HUD's <i>When a Public Agency Acquired your Property</i> booklet and • <i>Landowner's Bill of Rights</i>			
A16	Did the Grant Recipient report that the estimated value of the property to be acquired is \$10,000 or less and request for TDA to approve waiver valuation of the property?		Date TDA approved	
A17	Did the Grant Recipient request for HUD approval to waive appraisal requirement if the property was estimated to be greater than \$10,000 but less than \$25,000 in value?		HUD Decision	
A17.1			Date HUD Approved/Denied	

A18	If an appraisal was required, was the landowner invited in writing to accompany the appraiser?			
A19	Was a review appraisal conducted?			
A20	Did the Grant Recipient provide the owner with a written offer for the amount determined to be just compensation? Did the offer include a summary statement?			
A21	Did the owner accept the offer of just compensation for the property?			
A22	Did the landowner agree in writing to donate his/her property and waive the right to receive just compensation?			
A23	Did the parties agree to a negotiated settlement for purchase of the property? If a negotiated settlement was reached (for more or less than the just compensation amount) and federal funds were used for purchase of the property, did the Grant Recipient prepare an Administrative Settlement document?			
A24	Was the owner reimbursed for any expenses incidental to transfer of title to the Grant Recipient, including recording fees, transfer taxes, documentary stamps, evidence of title, boundary surveys, legal descriptions of the real property, and similar expenses incidental to conveying the real property?			
A25	Did the owner agree in writing to donate the property and to waive his/her right to just compensation?			
A26	Is there evidence that deeds for utility easements or tracts acquired were recorded with the County?			
A27	If negotiations for involuntary acquisition of property failed, did the Grant Recipient seek TDA approval to proceed with condemnation of private property through use of eminent domain authority?		TDA Determination for Use of Condemnation	
A27.1			Date Approved / Denied	

Procurement

Instructions:

Please complete this page and press save.

Required fields are marked with an *

Materials / Services Provider

Name

Type of Procurement

- Administrative or Professional Services
- Administrative or Professional Services (Pre-Qualified)
- Administrative or Professional Services (Non-competitive)
- Engineering/Architectural Services
- Engineering/Architectural Services (Non-competitive)
- Construction Services/Materials - Sealed Bid
- Construction Services/Materials - Small Purchase
- Construction Services/Materials - Non-competitive

Non-Competitive/Alternative Procurement Questions

	Question	Response	Clarification Required	Clarification Response
P-01	Did the Grant Recipient receive approval for non-competitive negotiation before contracting for services?		Date of Waiver	
P-02	Did the Grant Recipient execute an interlocal agreement or subrecipient agreement with a nonprofit public agency for these services?		Type of entity: (ex. Council of Government, Public Housing Authority, utility district)	
P-03	Did the Grant Recipient receive approval for any other alternative method of procurement before contracting for services?		Identify Approved Method	
	Question	Response	Clarification Required	Clarification Response

Questionnaire I – Administration and Professional Services

Pre-Qualified Vendor Selection only				
P1	Did the Grant Recipient form an Evaluation Team which contained at least one local official?		List Members and Titles:	
P2	Did the Evaluation Team select at least three firms from the pre-qualified list for further consideration?		List Firm(s):	
P3	Was at least one firm self-identified as a MBE, WBE, SBE, or a Section 3 firm?		List Firm(s):	
P4	Did the Grant Recipient email the Request for Project-Specific Proposal (Form A506) to firms selected by the Evaluation Team?			
P5	Did the A506 contain include the following:			
P5.1	Description of the project			
P5.2	Anticipated scope of work			
P5.3	Evaluation criteria			

P5.4	Cost			
P6	Did the Grant Recipient receive proposals from firms who were sent RFPs? (Either a Response from Service Provider (Form A507) or a proposal in the firm's own format.)		List firms that responded:	
P7	Is there evidence that the Grant Recipient evaluated each proposal according to evaluation criteria in the RFP?			
P8	Did the Evaluation Team recommend award to the most responsive and responsible firm?			
Traditional Selection only				
P9	Did the Grant Recipient establish and use written selection criteria that included, at a <i>minimum</i> , a clear and accurate description of the technical requirements of the services to be procured?			
P10	Does the RFP provided offer detailed instructions and identify the criteria to be used in evaluating proposals?			
P11	Did the Grant Recipient advertise the RFP in a locally distributed newspaper, and submit the RFP to at least 5 individuals/firms?		Type of direct notice	
P11.1			Name of newspaper	
P11.2			List of respondents	
P12	Were any firms certified with the Texas Comptroller as SBE/MBE/WBE included in the solicitation for proposals?		Name of SBE/MBE/WBE firm(s)	
P13	Is the deadline for receipt of proposals no earlier than 10 days after the date of public advertisement and/or mailing dates of the RFPs?		Date of solicitation	
P13.1			Deadline for response	
All Administration / Professional Services				
P14	Did the Grant Recipient successfully negotiate a contract with the most highly qualified service provider/firm?			
P14.1	If No , did the Grant Recipient formally end negotiations with that person/firm?			
P15	Is there evidence that the governing body (Commissioner's Court/Council) awarded the contract to the firm recommended by the Evaluation Committee?			
P16	Did the Grant Recipient award the contracts for administration and engineering to the same firm?			
P17	Engineering Only - Does the written selection procedure contain only non-price criteria?			
P18	Engineering Only - Is the selected engineer/architect registered to practice in the state of Texas?			
Questionnaire II – Construction Services, Sealed Bid				

P19	Does the bid packet clearly identify the basis upon which the contract will be awarded, including clear descriptions of alternative work that may be considered, alternative selection criteria (if approved), separate contracts that may be awarded from the same bid, etc.			
P20	Were the notices for construction bids published in a newspaper in the municipality (city), or of general circulation (county), or posted in public places (if there is no such local newspaper) for two consecutive weeks (publications at least seven days apart)?		Clarification - Name of local newspaper (or location of posting)	
P20.1			First notice date	
P20.2			Second notice date	
P21	Was the notice date at least 14 days before the bid opening date for counties or 15 days before bid opening for cities?		Bid Opening Date	
P22	Is there evidence that proper competitive bidding procedures were used? (e.g., bid opening minutes, bid tabulation, etc.)		Number of bids received	
P23	Are all bids received maintained in the Grant Recipient's files?			
P24	Were there any bid addendums?		Brief explanation of addenda (eg change in bid specs, revised bid opening date, etc.)	
P24.1	If Yes , is there evidence that all bidders received the addendums?			
P24.2	If the bid opening was extended, was the invitation for bids notice published at least one week prior to the extended date?		Date of notice	
P25	Is the contract award date (not execution date) within 90 days of the bid opening?		Award Date	
P25.1			Execution Date	
P26	Were the plans/specifications prepared by a registered engineer/architect and carry the affixed seal?		Name and Seal Number	
P27	Does the project described in the bid/quote substantially agree with the TxCDBG Performance Statement/PCR?		Identify any differences	
P27.1	If No , was a grant agreement amendment requested?		Date requested	
P28	Was the contract amount the same as the base + alternates bid?			
P29	Was the contract awarded to the lowest responsible bidder?			
P29.1	If alternative selection criteria were established, was the most qualified respondent selected according to those criteria?			
Purchasing Cooperative only				
P30	Is there an executed interlocal agreement between the Grant Recipient and the third party purchasing cooperative?		Cooperative Name & Execution date	

P31	Were any options not included in the vendors bid added to the final cost of the item purchased?			
P31.1	If Yes , did the options increase the base cost of the item purchased by 25% or more?		Base Price	
P31.2			Cost of non-bid items added	
P31.3			% Increase	
Small Purchase only				
P32	Did the Grant Recipient obtain price quotations from an adequate number (3 minimum) of qualified sources?		Firms - quotes received:	
P32.1			Firms – quote requested, not received	
P33	Did total purchases remain below the \$50,000 aggregate limit?		Cumulative Small Purchase Amount	
P34	Is there any appearance of separate, sequential, or component purchases to avoid competitive bidding requirements?			

Questionnaire III – General Award Process

P35	Was SAM eligibility verified before contract award?		Date of verification	
P36	Did the Grant Recipient verify SAM eligibility for all sub-contractors?		Name of subs and date cleared	
P37	Is there evidence that the governing body (Commissioner's Court/Council) authorized the approval to proceed with contract execution?		Date of authorization	
P38	Was pre-agreement strategy approved?		Date pre-agreement effective	

Questionnaire IV – Required Contract Provisions

P39	Did the bid packet, proposal, statement of qualifications, contract, and/or other appropriate documentation contain the following certifications and documents?			
P39.1	Names of both parties			
P39.2	Begin date after starting date of TxCDBG agreement or pre-agreement certification		Contract start date	
P39.3	Access to Records by grantee, sub-grantee, Federal grantor agency, the Comptroller General of the U.S.			
P39.4	Retention of Records (For three years from closeout of the grant to the State)			
P39.5	Section 3 Clause (all contracts except materials, equipment, and services requiring an advanced degree or professional licensing)			
P39.6	Termination for convenience and for cause clause(s) (For contracts >\$10,000)			
P39.7	Equal Opportunity (>\$10,000)			
P39.8	Remedies for Breach of Contract (>\$50,000)			
P39.9	Byrd Anti-Lobbying Certification (=\$100,000)			

P39.10	Compliance with Air and Water Acts (construction contracts>\$150,000)			
40	Administration / Professional services only			
P40.1	Scope of services			
P40.2	Firm fixed-price compensation			
P40.3	Procedure for amending contract			
P40.4	Procedures for determining the party responsible for any disallowed costs as a result of non-compliance			
P40.5	Conflict of Interest			
P40.6	Local Program Liaison			
P41	Construction Only			
P41.1	Bid Bonds			
P41.2	Payment Bonds			
P41.3	Performance Bonds			
P41.4	Equal Opportunity Guidelines for Construction Contractors (Form A1001)			
P41.5	Statement of Bidder's Qualifications			
P41.6	Certificate of Owner's Attorney			
P41.7	Certificate of Insurance			
P41.8	Technical Specification/Drawings			
P41.9	HUD 4010 Form			
P41.10	A provision for at least 5% retainage			
P41.11	Wage Decision(s)		GWD Number, with Mod	

Questionnaire V – Change Orders

P42	Were all cumulative change orders that increased the contract price within 25% of the original contract price?		% Cumulative Increase	
P42.1	County only - If no, were the change orders required to comply with federal or state law or regulation?			
P43	Did the contractor consent to all cumulative change orders that decreased the contract price within 25% of the original contract price if a municipality or by 18% if a county? Texas Local Government Code Section 252.048 (d) and 262.031(b)		% Cumulative Decrease	

P43.1	County only – If no, were the change orders required to comply with federal or state law or regulation?			
P44	Did TxCDBG approve all change orders?		Number of change orders	
P44.1			Number approved	
P45	Is an executed grant agreement amendment on file for significant changes in the scope of work resulting from change orders or alternates?			
Questionnaire VI – Construction Completion				
P46	Have all payment requests from prime and/or sub-contractor(s) been resolved? (Affidavit of All Bills Paid or COCC certifying no unpaid claims)			
P47	Has a Certificate of Completion been completed?			
P48	CERTIFICATION (4): Were any special assessments levied on property owners and occupants of low to moderate income (including service connections, tap-on fees/charges, monitoring fees, deposits, capital recovery fees), as a result of this project?		If Yes, Did the Grant Recipient pay for all assessments and deposits for low-income households?	
P48.1			If Yes, did the Grant Recipient certify that it does/did not have sufficient TxCDBG funds to pay the assessment on behalf of the moderate-income occupants?	

Labor Standards – Limited Review for 10 Day Confirmation

Instructions:

Please complete this page and press save.

Required fields are marked with an *

Contractor Name

	Question	Response	Clarification Required	Clarification Response
LC1	Did the LSO conduct a Ten Day Confirmation at least ten days, but not less than five days, prior to the bid opening?		10 Day Confirmation Date	
LC1.1			Bid Opening Date	
LC1.2			GWD, Mod	
LC2	Were wage rates modified between the Ten Day Confirmation date and bid opening date?			
LC2.1	If Yes, did the LSO provide support for not having time to contact all bidders prior to bid opening OR does the contract file show evidence the TxCDBG Labor Standards Specialist was contacted for resolution?			

Labor Standards

Instructions:

Please complete this page and press save.

Required fields are marked with an *

List One Prime Contractor and all associated Subcontractors				Prime/Sub	No. Payrolls Available
	Question	Response	Clarification Required	Clarification Response	
L1	Was a Labor Standards Officer (LSO) appointed prior to the first construction drawdown request?		Name of appointed LSO		
L2	Was the labor activity DBRA exempt?		Applicable DBRA exemption for the contract		
L3	Did the LSO obtain a General Wage Decision (GWD) from https://beta.sam.gov prior to the advertising or soliciting of bids and record the Wage Decision on the Materials and Services Record (or Wage Rate Issuance Notice (form A702 retained in local files)?				
L4	Did the LSO conduct a Ten Day Confirmation at least ten days, but not less than five days, prior to the bid opening?		10 Day Confirmation Date		
L4.1			Bid Opening Date		
L4.2			GWD, Mod		
L5	Is a copy of the current GWD retained in the Grant Recipient's contract files with other labor standards documentation?				
L6	Were wage rates modified between the Ten Day Confirmation date and bid opening date?				
L6.1	If Yes, did the LSO provide support for not having time to contact all bidders prior to bid opening OR does the contract file show evidence the TxCDBG Labor Standards Specialist was contacted for resolution?				
L7	Did the Grant Recipient award the construction contract(s) within 90 days of the bid opening?		Award Date		
L7.1	If No , did the Grant Recipient obtain an extension or an update of the GWD?				
L8	Was the current GWD included in the bid package(s)?				
L9	Is the current GWD included in the awarded/executed construction contract documents and specifications package?				
L10	Did the Grant Recipient hold a pre-construction conference(s) for each prime construction contract in excess of \$2,000?		Conference Date		

L11	Did the Grant Recipient submit labor standards data on a Materials and Services Record (or Financial Interest Report) for each prime construction contract in > \$2,000?			
L12	Were all classifications reported on the certified weekly payrolls listed on the GWD?			
L13	Were classifications not listed on GWD issuance letter requested as additional classifications used on the project?		List additional classifications	
L14	Did the Grant Recipient appoint a designated inspector to conduct on-site project employee interviews in the case the LSO is not available?		Name of Designated Inspector	
L15	Did the LSO or designated inspector conduct on-site project employee interviews?			
L16	Was the employee interview information recorded on the Record of Employee Interview (Form A707) or HUD-Form 11 or facsimile?			
L17	If employees were not available for interview by the LSO or designated inspector, did the LSO document The date of the on-site visit? The reason employees were not available? The attempt to obtain the required information through other means, e.g., mailed questionnaires?			
L18	Are certified weekly payroll reports for prime and sub-contractors signed (including the payroll Statement of Compliance) and maintained in the Grant Recipient contract files, beginning with the first week in which project construction begins and for every week until the work is completed?			
L19	Are "NO WORK weekly payroll report(s) or a note that states "NO WORK that indicates a break in project work included in the certified weekly payroll report(s)?			
L20	Do the "NO WORK weekly payroll report(s) state an approximate date when the construction contractor will return to the project site?			
L21	Is there evidence that certified weekly payroll report(s) were compared against employee interviews and the GWD to verify that correct wages were paid?			
L22	Were all project workers paid, at least, the specified Davis-Bacon wage rates (including fringe benefits) that applied to this project?			
	If No:			
L22.1	Did the Grant Recipient notify the prime contractor(s) of the violation(s) of the underpayments in writing?			
L22.2	Did the prime contractor correct the underpayments in 30 days?			

L22.3	Has wage restitution been paid by the prime contractor to the affected employee(s)?			
L22.4	Has the Grant Recipient obtained corrected certified weekly payrolls, including signed Statement(s) of Compliance?			
L23	Were all non-exempt workers paid at a rate of one and one-half times the hourly rate for all hours in excess of 40 hours in a work week? Note: even where CWHSSA overtime pay is not required (contracts of \$100,000 or less), Fair Labor Standards Act (FLSA) overtime pay is probably still applicable.			
L24	Did the Grant Recipient notify the prime contractor(s) in writing on its official letterhead and signed by an authorized elected official of the amount of liability for liquidated damages? (DOL updates CWHSSA penalty annually		Date of Notice of the Determination to Assess Liquidated Damages	
L25	Did the construction contractor submit a request for a waiver with support documentation to the Department within 60 days of notification?		Date of request	
L26	Have the liquidated damages been paid or waived by HUD/DOL?			
L27	Were any workers complaints received by the Department, HUD, or DOL?			
L28	Were cases referred to the appropriate agency?			

Civil Rights Review

Instructions:

Please complete this page and press save.

Required fields are marked with an *

	Question	Response *	Clarification Required	Clarification Response
C1	Has the Grant Recipient appointed a Civil Rights Officer? (CRO serves as Section 504 Coordinator and Fair Housing Officer)		Name and/or Title of CRO	
C2	Has the Grant Recipient's local governing body passed a resolution adopting/affirming required civil rights, equal opportunity, and citizen participation policies and procedures?		Date Resolution Passed	
C3	Was the resolution adopted or reaffirmed no more than two years prior to the contract start date?			
Section 3 Compliance				
C4	Did the Grant Recipient accurately identify a Section 3 Service Area?			
C5	Did the Grant Recipient report all contracting opportunities to each required source at least ten business days prior to the bid opening date?			
C5.1	HUD's Section 3 Opportunity Portal			
C5.2	At least one organization providing access to and assistance with bid opportunities, particularly those that recognize small and disadvantaged businesses that are likely to include Section 3 Businesses			
C5.3	TDA-GO! Materials and Services Record			
C5.4	Did the Grant Recipient promote Section 3 goals in an open meeting of the local governing body?			

C6	Did the Grant Recipient identify employment opportunities as a result of the project, including new positions and vacancies, and make those opportunities available to the required resources?			
C6.1	HUD's Section 3 Opportunity Portal			
C6.2	Texas Workforce Solutions - WorkInTexas.com			
C6.3	Local Workforce Solutions Office (WIOA One Stop Shop), if applicable			
C7	Is there evidence of method used to determine the Section 3 status for each employee?			
C8	Did the Grant Recipient collect and report all labor hours for the project?			
C9	Did the grant recipient meet the benchmarks established by HUD (25% section 3 hours and 5% Targeted Section 3 hours)?			
C10	Did the Grant Recipient record all additional qualitative efforts to support Section 3 goals?			
MBE Compliance				
C11	Is there evidence that the Grant Recipient affirmatively publicized to small, minority and women-owned businesses whenever possible?			
C11.1	Provided bid information via TDA-GO no less than 10 days prior to bid opening			
C11.2	Placed qualified small, MBE, and WBE firms in solicitation lists and solicited whenever they were potential sources			
C11.3	When economically feasible, divided project requirements into smaller tasks or quantities to allow participation by small businesses, MBEs, and WBEs.			

C11.4	Established delivery schedules to encourage participation by small businesses, MBEs, and WBEs			
C11.5	Utilized the Small Business Administration, Minority Business Development Agency of the Department of Commerce, minority chambers of commerce, or other resources.			
C11.6	Requiring the prime contractor, if subcontracts are to be let, to take the affirmative steps listed above.			
C12	Has the Section 504 Self-Evaluation Review (Form A1006) been completed?			
C13	Does the Grant Recipient employ fifteen or more persons?			
C13.1	If yes, did the Grant Recipient publish a notice that identifies its Section 504 compliance coordinator, and states, where appropriate, that it does not discriminate in admission or access to, or treatment or employment in, its federally assisted programs?		Newspaper for publication or locations of posting (public building and either website or benefit area location)	
C13.2	Also if yes, did the Grant Recipient adopt grievance procedures that incorporate due process standards and allow for prompt resolution of complaints alleging any action prohibited by 24 CFR Part 8?			

Citizen Participation

C14	Has the Grant Recipient adopted a Citizen Participation Plan?			
C15	Does the Grant Recipient maintain written citizen complaint procedures?			
C16	Do the procedures provide a timely written response to complaints and grievances?		Number of Days	

C17	Has the Grant Recipient notified its citizens of the location and hours at which they may obtain a copy of the written procedures and the address and telephone number for submitting complaints?		Newspaper for publication or locations of posting (public building and either website or benefit area location)	
C18	Were there any written complaints about the current TxCDBG project(s)?			
C18.1	If yes, did the Grant Recipient address the complaint(s)?			
C19	Excessive Force Policy: Has the Grant Recipient adopted and enforced a policy prohibiting the use of excessive force by law enforcement agencies within its jurisdiction against any individual engaged in nonviolent civil rights demonstrations; and a policy of enforcing applicable state and local laws against physically barring entrance to or exit from a facility or location which is the subject of such nonviolent civil rights demonstration within its jurisdiction?		Date adopted	
Fair Housing Review				
C20	Did the Grant Recipient conduct acceptable activities to affirmatively further fair housing (AFFH) during the contract period?			
C21	Identify the AFFH activity:			
C22	Proclamation / Declaration / Resolution		Date adopted	
C23	Fair Housing Ordinance (municipalities only) Does the ordinance/policy include all 7 federally protected classes (race, color, religion, sex, handicap, familial status, and national origin) AND penalty clause?		Date adopted/amended	
C24	Fair Housing Statement		Date	
C25	Fair Housing Policies		Date	

C26	Message included on/with utility bill		Date	
C27	Other		Activity and date	
Limited English Proficiency (LEP) Review				
C28	Does the Grant Recipient have any Limited English Proficiency (LEP) speaking populations within its community? (LEP group is >5% or >1,000 individuals according to U.S. Census Bureau Data)			
C29	If the Grant Recipient identified an LEP group(s) did they prepare an LEP plan? (TDA-GO Group A Report)			
C30	Does the LEP Plan call for acceptable procedures for meeting LEP group needs (e.g. translated vital documents, translated public notices, translation services, or adequate number of bilingual staff)? (See also safe harbor written language assistance recommendations.)			

Force Account Review

Instructions:

Please complete this page and press save.

Required fields are marked with an *

	Question	Response *	Clarification Required	Clarification Response
FA1	Did the Grant Recipient notify the Department in writing that force account labor would be used? (TDA-GO Grant Overview form)			
Personnel Costs				
FA2	Are all employees whose time is being charged to the TxCDBG contract treated as employees in accordance with the Grant Recipient's personnel policies?			
FA3	Were any employees classified as temporary employees?			
FA3.1	If yes, do the personnel policies include provisions for temporary employees?			
FA4	Is the time charged to the project supported by time and attendance or equivalent records for all employees?			
FA5	Are salaries and wages of employees that were chargeable to more than one cost objective supported by appropriate time distribution records?			
FA6	Do the amounts charged to the contract reconcile with the hours on time and attendance sheets X hourly rates?			
FA7	Were fringe benefits charged in accordance with the personnel policies?			
FA8	Were the non-exempt employees charged to the TxCDBG project paid 1.5 times straight time for all hours worked in excess of 40 hours/week?			
Equipment Costs				
FA9	What method was used for charging equipment costs? • FEMA Use Allowance • Depreciation • Lease/Rental • Lease/Purchase • Other Use Allowance			
FA10	Did TDA require additional justification if rental costs were significantly higher than the FEMA rate?			
FA11	Were time records maintained for equipment used on this project?			
FA12	Were fuel, repairs and lubricant costs also charged to this project?			

FA13	Did the Grant Recipient follow proper procedures in procuring the lease/rental of the equipment?			
FA14	Was the equipment used solely for the TxCDBG project?			
FA14.1	If No, was an hourly rate calculated and only those hours used on the project charged to the project?			
FA15	Does the lease/rental agreement include interest payments?			
FA15.1	If yes, was the amount of interest deducted from the amount reimbursed by the TxCDBG fund?		Amount of Interest	

Housing Rehabilitation

Instructions:

Please complete this page and press save.

Required fields are marked with an *

	Question	Response *	Clarification Required	Clarification Response
H1	Are the Grant Recipient's housing rehabilitation program guidelines approved by the Department?		Approval date	
H2	Were the program housing guidelines approved by local resolution prior to the release of funds?		Date adopted	
			First release of funds date	
H3	Were subsequent revisions approved by the Department prior to adoption/approval by the Grant Recipient?		Date adopted	
H4	According to local program housing rehabilitation guidelines, were acceptable construction standards used?		• Section 8 Existing Housing Quality Standards Excusable Loans • Local Housing Code (should be at least as stringent as Section 8) • Southern Building Code • Texas Minimum Construction Standards	
H5	Has the Grant Recipient developed complaint and appeals procedures?			
Financing				
H6	Was an appropriate method(s) used for financing the rehabilitation?		• Forgivable Loans • Grants (allowable for funding year prior to 1996) • Low Interest Loans • Deferred Loan • Other	
H7	Forgivable Loans: Is the term 5 years or more?		Term	
H8	If required, has the Grant Recipient filed liens against the property(s)?		Date lien recorded with the County	
H9	Are the amount of the liens stipulated on a related promissory notes?			

H10	Does the contract between the Grant Recipient and homeowner contain tenancy and resale restrictions?			
H11	Has any home been sold prior to termination of the loan or grant period?		Homeowner and date of Sale	
H11.1	If YES, did the homeowner pay off the loan or grant in accordance with the loan or grant agreement?		Homeowner and date of Sale	
H12	Were these funds received by the Grant Recipient managed properly?		- Returned to the Department: - Loan Revolving Loan Fund	
H13	If applicable, has the Grant Recipient developed revolving loan fund or program income guidelines?			
H14	did the Grant Recipient receive any program income during the TxCDBG contract period?			
H14.1	If YES, were the program income funds expended before drawing down any housing funds from the TxCDBG contract?			
Selection of Owner-Occupied Units				
H15	Was an appropriate selection process used?		- Rating Criteria - First Come - First Serve - Other	
H16	Did the application outreach effort of the Grant Recipient adequately inform the citizens about the housing rehabilitation program?		Identify Dates or Locations for: - Newspaper Advertisement - Poster - Brochures - Other	
H17	Were the income limits used in the housing rehabilitation guidelines less than or equal to Section 8 income limits?			
H18	Did interested homeowners complete a pre-application to determine program eligibility?			
H19	Did the Grant Recipient maintain a record of all applications received and the ranking of each application?			
H20	did the Grant Recipient follow the local housing rehabilitation program guidelines in the method used for ranking applications?			
H21	Are all units located inside the target area as outlined in the map of the housing rehabilitation program guidelines?			
H22	Were the awards of the rehabilitation assistance approved by the city council or commissioners' court?			
H23	Has each unit selected been owned and occupied by the recipient for the time period specified in the guidelines?			
H24	Is the documentation for income verification acceptable?			

H25	Are all households assisted within the income limit(s) of the TxCDBG contract?			
H26	Is there evidence of any conflict of interest?		TDA Determined that a conflict did / did not exist	
H26.1	If YES, did the Grant Recipient request a waiver from the Department?		Date of Request	
Initial Inspection				
H27	Did the Grant Recipient file a <i>Home Inspector Qualification Certification</i> (Form C8) with TDA			
H28	Were preliminary inspections conducted to determine the condition of the unit and to prepare a list of the code deficiencies to be corrected or repaired?			
H29	Does the following preliminary inspection determine the following:			
H29.1	The house is structurally sound enough to justify any level of rehabilitation?			
H29.2	The repairs desired by the homeowner match eligible rehabilitation available through the program?			
H29.3	In a competitive program, the repairs are serious and merit rehabilitation?			
Work Writeups				
H30	Were housing rehabilitation work write-ups prepared for each unit?			
H31	Did the Grant Recipient submit the first five (5) housing rehabilitation work write-ups to the Department for review and approval?			
H32	Did the homeowners approve and sign the housing rehabilitation work write-ups?			
Lead Based Paint				
H33	Did the homeowner and Housing Rehabilitation Coordinator file the <i>Status of Compliance with Lead-Based Paint Regulations</i> (Form C2-a) with TDA?			
H34	Did each homeowner certify on Form C2-a that his/her home was built after 1977?			
H35	Did the Housing Rehabilitation Coordinator and homeowner certify an exception to lead based paint requirements under 24 CFR §35.115 using the <i>Certification of Lead-Based Paint Exemption</i> (Form C2-b)?			
H36	Did the selected homeowners acknowledge the notification of the dangers of lead-based paint?			
Contractor Specifications/Selection				
H37	Is there evidence that local construction contractors and suppliers were encouraged to participate?			

H38	Was an appropriate method(s) of contracting used?		- Contract between the Grant Recipient and the contractor - Contract between the homeowner and contractor	
H39	If required per housing rehabilitation program guidelines, were contractors pre-approved through a competitive procurement process prior to submitting bids?			
H40	Method 1: Did the Grant Recipient follow the bid process in accordance with the TxCDBG Project Implementation Manual?			
H41	Did the process include the following:			
H41.1	Advertisements?			
H41.2	Deadlines for bid proposals?			
H41.3	Public bid openings?			
H41.4	Bid tabulations?			
H42	Were the awards of housing rehabilitation construction contracts approved by the city council or commissioners' court?			
H43	Method 2: Were the homeowners provided guidance on how to select a contractor?			
H44	Was the contractor eligibility for all contractors/subcontractors received by the Department?			
Contractor Specifications/Selection				
H45	Were all change orders submitted to the Department for approval before proceeding?			
H46	Were all change orders submitted to the Department for approval before proceeding?		Number of change orders	
H46.1			Numbers of change orders approved	
H46.2			Dollar amount of change orders	
H46.3			Deficiencies not noted in Work Write-ups	
Inspections - Acceptance - Warranties - Payments				
H47	Were interim inspections conducted and documented?			
H48	Did the homeowner and contractor sign the inspection sheets?			
H49	Were final inspections conducted to guarantee that all work was completed according to specification?			
H50	Did the homeowner and contractor sign off on the punch list?			
H51	Were the following documents executed:			

H51.1	Contractor Certificate of Release?			
H51.2	Certificate of Final Inspection signed by owner and inspector?			
H51.3	Contractor Warranty?			
H51.4	Were follow-up inspections conducted 60 to 90 days after completion?			
On-Site Home Tour				
H52	Did the work completed substantially agree with the work write-up?		Describe differences	
H53	Were any complaints or concerns received?		Summary of comments/complaints	
H54	Has the Contractor Locality resolved these complaints?			
Reporting Requirements				
H55	Has the Annual Beneficiary Report (C1) been submitted timely and as required to the Department?			

Special Review

Instructions:

Please complete this page and press save.

Required fields are marked with an *

	Question	Response *	Clarification Required	Clarification Response
On Site Inspection				
S1	Was a project site visit conducted?		Visit date	
S1.1			Accompanied by	
S2	Were activities completed in accordance with the grant agreement and construction contract documents?		Percent of Construction/Project Activities completed (approximate)	
S3	Were activities completed in accordance with the grant agreement and construction contract documents?		Method of validating beneficiaries served	
Agreement Special Conditions				
S4	Is documentation available to satisfy the following:			
			Approval date	
Other Special Situations, explain				
S5			Approval date	