

SECTION X. MONITORING CHECKLIST

START-UP CHECKLIST

Grantee/Project Name: _____
 Project #: _____
 Date: _____
 Completed by: _____

Circle yes or no to the following questions	<p>1. Is this project "multi-jurisdictional"? YES / NO</p> <p>If yes, each participating jurisdiction must have a citizen participation plan, public hearing, and statement of assurances.</p>
	<p>ASSURANCES AND CERTIFICATIONS</p> <p>2. Is there a signed copy of the Statement of Assurances and Certifications?</p> <p>YES / NO</p>
The format provided in the application contains all the required elements: how public hearings will be held, how to access information and records pertaining to the project, technical assistance in developing CDBG proposals and how written comments and responses will be answered.	<p>CITIZEN PARTICIPATION</p> <p>3. Does CDBG file contain a Citizen Participation Plan?</p> <p>YES / NO</p> <p>Does it include the required elements?</p> <p>YES / NO</p>
File should contain proof of public hearing.	<p>4. Is there evidence that a public hearing was held?</p> <p>YES / NO Date: _____</p>
This is required of all projects regardless of the activity being funded	<p>RARA</p> <p>5. Is there a Residential Anti-displacement and Relocation Assistance plan on file?</p> <p>YES / NO</p>
	<p>GENERAL</p> <p>6. Is grantee planning to recover any capital costs of public improvements assisted with CDBG by assessing low and moderate income persons?</p> <p>YES / NO</p>
The Armstrong/Walker "Excessive Force" Amendment prohibits the use of excessive force in non-violent civil rights demonstrations. Grantee certifies that they will have an excessive force policy at the time they make application.	<p>EXCESSIVE FORCE</p> <p>7. Has an excessive force policy been adopted?</p> <p>YES / NO</p> <p>If No, a sample Excessive Force Policy is in Start-up chapter Exhibit B.</p>
Acquisition includes permanent easements	<p>ACQUISITION</p> <p>8. Does application indicate that property was acquired for this project?</p> <p>YES / NO</p> <p>If yes, project monitor must complete Acquisition Checklist.</p>

	<p>RELOCATION</p> <p>9. Were there any tenants or businesses occupying the property at the time of rehab or acquisition?</p> <p>YES / NO</p> <p>If yes, project monitor must complete Relocation Checklist.</p>
e.g., home converted to shelter for abused women, homeless shelter or day care center	<p>1-1 REPLACEMENT</p> <p>10. Does application indicate that any housing units were being demolished or converted to another use as a result of this project?</p> <p>YES / NO</p> <p>If yes, project monitor must complete Acquisition, One for One Checklist</p>
<u>Area wide</u> e.g., whole county, town, census tract, block group	<p>NATIONAL OBJECTIVE - Indicate which national objective applies to this project.</p> <p>11. Benefit persons of Low/Mod Income</p> <p>a. area wide benefit % low/mod # total #</p> <p>census tract (if applicable)</p>
<u>Income survey</u> - using HUD methodology, computed by Demography	b. income survey % low/mod # total #
<u>Presumed benefit</u> e.g., senior citizens, abused children, battered spouses, homeless, migrant workers	c. presumed benefit Type of clientele
Requires information on family size and income so that it is evident that at least 51% are low/mod, can also qualify if nature of service is restricted to low-income (social service buildings, etc. If limited clientele, this must be monitored at time of project close-out in order to verify a minimum of 51% low/moderate income benefit.	d. limited clientele % proposed low/moderate income benefit
<u>Households served</u> - eligibility requirements which limit the activity exclusively to low/mod households based on HUD income limits (Exhibit B in Contract) - water tap fees, etc. If this national objective is used, it must be monitored at time of project close-out.	e. households served # of households
<u>Spot Basis</u> - rehab restricted to eliminating public health and safety issues only	<p>12. SLUM/BLIGHT</p> <p>a. Spot Basis List activity</p>

<p><u>Slum/Blight Area</u> - throughout the area there is a substantial number of deteriorated or deteriorating buildings or public improvements and grantee has declared the area a slum/blight area (substantial is not defined, however, is generally considered to be 25%)</p>	<p>b. In Slum/Blighted area List activity</p> <p>- does the area meet the definition of slum blighted area? YES / NO</p> <p>are boundaries of area documented? YES / NO</p> <p>is there a description of conditions which qualified the area? YES / NO</p> <p>does the activity address one or more of the conditions? YES / NO</p>
<p>Grantee must certify that all of the points mentioned existed in order for urgent need to apply.</p>	<p>13. URGENT NEED List activity</p> <p>Does condition pose a serious and immediate threat to the community? YES / NO</p> <p>Does the activity address the urgent need? YES / NO</p> <p>Did condition develop or become critical within 18 months preceding the CDBG application? YES / NO</p> <p>Is there evidence that other resources are not available? YES / NO</p>

LIMITED REVIEW -- FINANCIAL MANAGEMENT

<p>Should include CDBG, grantee and any other grants or fund sources as applicable.</p>	<p>FINANCIAL MANAGEMENT</p> <p>1. Do records include all fund sources identified in the contract? YES / NO</p>
<p>Purpose is to document appropriate segregation of duties.</p>	<p>2. Describe grantee's system for processing invoices for approval and payment:</p>
<p>See Contract Scope of Services for breakdown of each activity funded</p>	<p>BUDGET CONTROL</p> <p>3. Does Grantee reflect a budget for each activity undertaken? YES / NO</p>
	<p>4. Do financial records reflect expended, unexpended and unobligated balances for each activity undertaken? YES / NO</p>
<p>Generally, this grant is on a reimbursement basis. Cash on hand should be less than \$5,000 or returned if not needed within a reasonable amount of time. Reasonable is considered to be 3 - 5 days.</p>	<p>CASH MANAGEMENT</p> <p>5. Has cash on hand been used as requested and kept at a minimum? YES / NO If no, please explain the circumstances.</p>
<p>Interest amounts in excess of \$100 per year must be returned to the state.</p>	<p>6. Has interest been earned on funds received from this grant prior to disbursement by the Grantee? YES / NO</p>

Fidelity bonds are not required by statute. Failure to have a fidelity bond is not considered a finding, however, it may be a concern of management capability.	7. Does the Grantee have a Fidelity Bond or its equivalent? YES / NO
1/10 to 1/12 of the total grant is considered sufficient.	8. Is the bond sufficient to cover the federal grant for people handling cash? YES / NO
Public facilities projects do NOT have program income - Some Housing and Economic Development projects do.	FOR HOUSING OR ECONOMIC DEVELOPMENT PROJECTS ONLY 9. Is program income being earned? YES / NO How is it being used? On what activity?
e.g., invoices, statements	SOURCE DOCUMENTATION 10. Are revenues and expenditures supported by documentation? YES / NO
If administration was funded with CDBG, timesheets showing time charged to CDBG are required	11. Are direct salaries and wages of employees which are chargeable to the grant supported by time records? YES / NO
Track invoices to requests for reimbursements and to payments to contractor.	12. Did a review sample of the supporting documents show any problems? YES / NO Explain deficiency:

13. Please give a sample of expenditures monitored for this grant:

Payee	Date of Invoice	Amount	Invoice #	Reimbursement Check #	Amount and Date of Check

CDBG Handbook, Section II, Exhibit II-C-7 describes various unallowable costs	14. Are there any unallowable costs? YES / NO
Example: A CDBG grant which is awarded to a county and passed through the county to a non-profit agency, the non-profit is considered to be the sub-grantee.	SUBGRANTEE MONITORING 15. Has the Grantee performed monitoring on their sub-grantees in the past 12 months? YES / NO
	16. If Yes, what areas were monitored: Financial Management YES / NO Cost Allowability YES / NO Cost Allocability YES / NO Project review YES / NO Audit review YES / NO Other (Specify) YES / NO

	17. If sub-grantee monitoring was performed, were any areas deficient? YES / NO Explain deficiency:
	18. Does the Grantee have a signed agreement or contract with its sub-grantee? YES / NO
	19. Are there any comments or findings as a result of this monitoring? YES / NO If yes, please explain:

ENVIRONMENTAL REVIEW

STATEMENT OF CONTINUED RELEVANCY	1. Was a "Statement of Continued Relevancy" used for this project? YES / NO
	2. Is there a copy of the Release of Funds from the state? YES / NO
EXEMPT ACTIVITIES See Manual Narrative, page IV-2, for examples of exempt activities.	3. Did the project involve exempt activities? YES / NO Has a Finding of Exemption been completed? YES / NO
	4. Is there a Release of Funds from the state for the Exempt Activities listed in the contract? YES / NO (Except for OED projects)
CATEGORICALLY EXCLUDED ACTIVITIES See Manual Narrative, page IV-3, for examples of categorically excluded activities. IF Publication Required, answer 9 & 10.	5. Was the Statutory Checklist Used? YES / NO
	6. Is it signed and dated? YES / NO
	7. Are there copies of letters from SHPO, Floodplain management, and others agencies as applicable? YES / NO
	8. What was the determination made on the Statutory Checklist? _____ Exempt (No publication required)
	_____ Categorically Excluded (Publication required ONLY if there is mitigation to be undertaken)
	9. Is there a copy of the Notice of Intent to Request for Release of Funds and evidence of its publication on file? YES / NO
	10. Were comments received during the public review and comment period? YES / NO Is there evidence of consideration and resolution of comments received as a result of the publication? YES / NO
Agencies listed in Exhibit IV-C	11. Were comments received from the stated regulatory agencies? YES / NO If yes, is there evidence of consideration and resolution of comments received? YES / NO

	12. Is there a copy of the Release of Funds? YES / NO
	13. Is there evidence that any funds were obligated prior to the Release of Funds date for any of the activities contained in the Release? YES / NO
ENVIRONMENTAL ASSESSMENT	14. Was the Environmental Assessment checklist completed? YES / NO
See Manual Narrative for a discussion of activities that fall in this category.	15. Is there documentation in the file to substantiate the statements made in the Environmental Assessment Form? YES / NO
	16. Is there a copy of the Combined Notice and evidence of its publication in the file? YES / NO
	17. Were comments received during the public review and comment period? YES / NO If yes, Is there evidence of consideration and resolution of comments received as a result of the publication? YES / NO
	18. Were comments received during the public review and comment period from the stated agencies? YES / NO If yes, is there evidence of consideration and resolution of comments received as a result of the comments? YES / NO
	19. Is there evidence of notification to the appropriate agencies of the Combined Notice? YES / NO
	20. Is there a copy of the Release of Funds from the state? YES / NO
	21. Is there evidence that any funds were obligated prior to the Release of Funds? YES / NO
Changes in Projects and Environmental Reviews	22. Were there substantial changes in the project after a Release of Funds was issued by the state? YES / NO
	23. Is there evidence that any funds were obligated prior to the Release of Funds? YES / NO If yes, were the changes compared to the original Environmental Review and was the environmental review revised accordingly? YES / NO
FOR HOUSING REHAB & ECONOMIC DEVELOPMENT PROJECTS ONLY	24. Is there an individual environmental review record for each home/residence or business assisted with CDBG funds? YES / NO
	25. If yes, is there a floodplain determination, noise determination, and letter from SHPO? YES / NO
	26. Is there evidence of any changes in the current project as compared to the original environmental review? YES / NO If yes, please identify:

Summary of Environmental Review:

Was there any mitigation required? YES / NO

If yes, how did you verify that it was completed?

Were there any environmental findings or concerns? YES / NO

If yes, please itemize and identify corrective action to be taken by grantee.

LABOR & CONSTRUCTION

There are two objectives in monitoring Public Facilities/Construction Projects:

1. Assure that grantees have followed a process that provides for fair and competitive awards of all contracts and subcontracts for construction of their project.
2. Assure that grantees, contractors, and subcontractors comply with applicable Federal and State requirements (e.g. labor standards, civil rights, and procurement).

Debarment

1. Is there documentation that the grantee inquired and was informed that the successful bidder and all subcontractors were not on the list of debarred contractors?
YES / NO

Was this done prior to signing the construction contract?

<p>Davis-Bacon Prevailing Wages (Exhibit VIII-C)</p> <p>Be sure to include the wage decision AND mod #. Lock-in occurs on the date of bid opening. Grantee must check to see if a modification was issued 10 days prior to bid opening.</p> <p>Re-check wage decision in contract documents. For negotiated contracts, the "lock-in" date is the date provided here.</p>	<ol style="list-style-type: none"> 2. Do Davis-Bacon prevailing wage requirements apply to the project? YES / NO <p>If D-B wages do not apply, is the "Davis-Bacon Exemption Checklist" (Exhibit VIII-C in the Grantee Handbook) completed and on file? Yes ___ No</p> <p>If Davis-Bacon Applies, and project was competitively bid, answer a – e below. If a negotiated contract (sole source), answer f only)</p> <ol style="list-style-type: none"> a. Is a wage determination on file? YES / NO b. What is the wage decision number and its date? Decision number: _____ Mod # _____ Date: _____ c. Is there evidence the contractor "locked in" the wage determination? YES / NO <p>When and how was this done? <i>(If there has been a modification, grantee must make every effort to provide the modified wage decision to all bidders. If they are unable to notify all bidders of the modified decision, they must certify they were unable to notify. Only then can they use the rates specified in the bid package.)</i></p> <ol style="list-style-type: none"> d. Are the proper wage rates incorporated in the contract documents, including the solicitation and award documents? YES / NO e. For negotiated contracts, if Davis-Bacon applies, give date construction contract was awarded or date construction began, whichever occurred first. Date: _____ <p>Wage decision: _____ Mod # _____ Date: _____</p>
<p>Engineering and/or Architectural Design and Specifications</p>	<ol style="list-style-type: none"> 3. Is there a copy of a contract with the engineer/architect which specifies those products to be received? YES / NO
	<ol style="list-style-type: none"> a. State law requires that the documents be reviewed and approved by an engineer/architect registered in the State of Colorado. Has this been done? YES / NO b. Is the Architect's Certification (Architectural Barrier's Act) on file? YES / NO <p>If not, are the appropriate HUD waivers on file? YES / NO</p>

<p>(Water/Sewer projects only!)</p>	<p>c. In accordance with state law, is there evidence of approval of the plans/specifications from the Colorado Department of Health? YES / NO</p> <p>d. Are there copies of the design including cost estimates? YES / NO</p>
<p>Bid Package</p> <p>(Labor Standards Provisions) HUD-4010 should be incorporated into contract documents. If a Public Housing Authority, HUD-5370, 5370 EZ and 5370 C as appropriate are required if Davis-Bacon applies.</p>	<p>4. Is there a copy of the Bid Package sent to all bidders? YES / NO</p> <p>Does it include the following:</p> <p>a. Federal Labor Standards Provisions included verbatim in all project contracts and subcontracts? YES / NO</p> <p>b. Advertisement for bids? YES / NO</p> <p>c. Instructions for bidders on method of bidding, process for evaluation and method of contract award? YES / NO</p> <p>d. General conditions for the construction contract? YES / NO</p>
	<p>e. Supplemental General Conditions for the contract? YES / NO</p> <p>f. Bid proposal forms? YES / NO</p> <p>g. Evidence of review by grantee's attorney? YES / NO</p> <p>h. Evidence that amendments were sent to each bidder? YES / NO</p> <p>i. Section 3 information? YES / NO</p>
<p>Bid Advertisement</p>	<p>5. Is there a copy of the Bid Advertisement? YES / NO</p> <p>a. Evidence of publication including dates? YES / NO</p> <p>b. Evidence that bidders were allowed a minimum of 15 days to respond?</p> <p>c. A log of bids received by time, date of receipt, and offerer? YES / NO</p>
<p>Bid Opening This date should correspond with the information given in 2d. above.</p>	<p>6. Date of Bid Opening: _____</p> <p>Are there minutes of the Bid Opening including a tabulation of the bids? YES / NO</p> <p>a. Is there evidence of Bid Bond? YES / NO</p> <p>b. Is the chosen contractor the low bidder? YES / NO</p> <p>If not, is there a copy of a statement of justification sent to the low bidder? YES / NO</p>

<p>Grantee is required to update the wage decision if the contract is awarded more than 90 days after bid opening and incorporate changes in the contract document. Proof of lock-in is required at the time of project monitoring.</p>	<p>c. Is there a copy of the Contract Award in the file? YES / NO</p> <p>Date of Contract Award: _____</p> <p>Is the Date of Contract Award within 90 days of the Bid Opening Date? YES / NO</p> <p>If "NO" did grantee re "lock-in" to new wage decision prior to contract award. (Contact Denver staff for information on applicable wage rates!)</p>
<p>Executed Contract</p>	<p>7. Is there a copy of the executed construction contract for the project? YES / NO</p> <p>Date of Contract: _____</p> <p>Does contract include the following:</p> <p>All items in the bid package? YES / NO</p> <p>Contractor's Bid Proposal? YES / NO</p> <p>Contractor's certifications? YES / NO</p> <p>Bond and insurance forms? YES / NO</p> <p>Section 3 clause? YES / NO</p>
<p>Pre-Construction Conference</p>	<p>8. Copy of the minutes of the pre-construction conference?</p> <p>YES / NO</p> <p>Were the following items discussed in the pre-construction conference:</p> <p>Federal Labor Standards Provisions (Exhibit VIII-J, pgs 26-30)? YES / NO</p> <p>Process of Obtaining Additional Classifications (If needed)? YES / NO</p> <p>Weekly payrolls and statements of compliance? YES / NO</p> <p>Conforming to and posting of wage rate decision? YES / NO</p> <p>Apprentices? YES / NO</p> <p>Overtime pay provisions? YES / NO</p> <p>Payroll deductions? YES / NO</p> <p>Employee interviews? YES / NO</p> <p>Section 3 Plans? (Local hiring potential or commitment to hire locally for the project whenever possible.) YES / NO</p>
<p>Notice to Proceed</p>	<p>9. Is there a copy of the Notice to Proceed? YES / NO</p> <p>Was a copy sent to the DOLA Project Monitor? YES / NO</p> <p>What date did construction actually began? _____</p>
<p>Monitoring & Inspection</p>	<p>10. Are there copies of monitoring and inspection reports? YES / NO</p> <p>11. Evidence of general supervision of construction activities through monitoring the schedule and approval of contract amendments? YES / NO</p>
	<p>12. Evidence of supervision to assure compliance with technical specifications and conformance with codes and standards? YES / NO</p> <p>13. Were any additional classifications needed? YES / NO</p> <p>Was the appropriate form sent to the state and response from Dept. Of Labor received and on file?</p>

<p>Monitor must review sample of payrolls to ensure appropriate wages were paid and all payrolls are on file.</p>	<p>14. Were payrolls submitted and kept on file? (<i>Payrolls should begin one week after start of construction – compare to date construction began in #9 above</i>)</p> <p>YES / NO</p> <p>Did grantee obtain all payrolls (first to current/last) for each contractor on the job? YES / NO</p> <p>If no, state reason:</p> <p>Were payrolls signed by a principal of the firm?</p> <p>If an authorized agent signed the payrolls, was there a copy of the authorization on file? If not, one should be obtained.</p>
<p>If inadequate payroll information is available, grantee must ask contractor for additional information. All payrolls should include a signed <i>Statement of Compliance</i></p>	<p>15. Were payrolls complete, accurately submitted, and sufficient to represent all work performed?</p> <p>If there were errors, what steps were taken to correct these errors?</p> <p>Are corrected payrolls on file?</p>
	<p>16. Is payroll data consistent with inspection and on-site reports?</p>
	<p>17. Were payrolls reviewed in a timely manner?</p> <p>YES / NO</p>
<p>Employee interviews are used to validate and test submitted certified payroll data and are of extreme importance to the overall enforcement activities of state grantees.</p>	<p>18. Were worker interviews conducted, documented and compared to appropriate payroll data?</p> <p>YES / NO</p> <p>How many trades were selected for employee interviews?</p> <p>Is the ratio of trade skill workers to laborers acceptable?</p>
	<p>19. Review payrolls to ensure that correct wages were paid in accordance with the wage decision:</p> <p># of payrolls reviewed:</p> <p>Discrepancies requiring restitution:</p>
<p>Applies to Water Treatment, Supply and Sewer projects only</p>	<p>20. If the proper Davis-Bacon wages were not paid and required restitution of \$1,000.00 or more, was an enforcement report submitted to the state and is this documented?</p> <p>YES / NO</p> <p>21. Engineer's certification to Department of Health that project was completed as stated in as-built plans? YES / NO</p> <p>22. Copy of Notice of Acceptance of Work? YES / NO</p>

	23. Evidence of Lien Waiver Certificate? YES / NO If no , what has the grantee done to protect itself against any outstanding claims?
	24. Evidence of disposition of an outstanding claims against the contract? YES / NO

General Comments:

Deficiencies Noticed and Suggested Corrective Actions:

LIMITED REVIEW -- CIVIL RIGHTS

<p>DIRECT BENEFIT projects - answer questions 1-2.</p> <p>Minorities and heads of households should benefit from the project activities approximately to the same extent as they are represented in the group of beneficiaries.</p>	<p>1. Is data kept on beneficiaries by race, ethnicity, handicapped status and gender of head of household?</p> <p>YES / NO</p>
<p>Everyone in a project area should have access to information concerning opportunities available as a result of this project. (i.e. employment, training, business, contracting and housing opportunities.) For example, if the project takes place in a predominantly Spanish speaking area, is information made available to them in Spanish?</p>	<p>2. Do all persons have equal access to information related to this project?</p> <p>YES / NO</p> <p>How was this done?</p>
<p>ANSWER IF GRANTEE HAS 15 OR MORE EMPLOYEES This question also applies to subgrantees with 15 or more employees.</p>	<p>3. Does grantee keep data on persons employed in departments carrying out CDBG funded activities by professional category, race, ethnicity, handicap status and head of household?</p> <p>YES / NO</p>
<p>The finding would be as a result of a compliance review conducted by the HUD Office of Fair Housing and Equal Opportunity.</p>	<p>4. Has there ever been a formal finding of discrimination against the agency?</p> <p>YES / NO</p> <p>If yes, what was the nature of the finding?</p> <p>If yes, is there now an affirmative action plan in place?</p> <p>YES / NO</p>

<p>FOR CONSTRUCTION PROJECTS ONLY This applies for any construction contract the grantee makes in excess of \$2,000</p>	<p>5. Is the Equal Employment Opportunity Clause included in the construction contract as required?</p> <p>YES / NO</p>
<p>APPLICABLE FOR ALL PROJECTS. In most cases, merely posting Fair Housing posters is not considered to be sufficient, particularly if grantee has received CDBG funds in the past. See Civil Rights Section for list of suggested actions to be taken. Actions taken are also to be included in Project Completion Report.</p>	<p>6. What actions to affirmatively further fair housing have been taken?</p>
<p>Regardless of whether this project is considered a "Section 3" project, the grantee has certified at time of application that to the greatest extent feasible, opportunities for training and employment will be given to lower-income persons in the project area. These questions are merely asking how they attempted to comply with this certification. The Section 3 report form is not required to be filled out if total project costs are less than \$200,000.</p>	<p>SECTION 3</p> <p>7. Have any project area businesses been utilized?</p> <p>YES / NO If yes, how many?</p>
	<p>8. What has grantee done to provide lower-income residents opportunities for training or employment in relation to this project?</p>
	<p>9. What has grantee done to provide area businesses opportunities to be employed by grantee or its contractors working on this project?</p>
<p>In most cases, grantee has had to complete a self evaluation for ADA, from the standpoint of accessibility to buildings, if they are in compliance with ADA they have complied with Section 504 as far as buildings are concerned. Section 504, however, includes non-physical changes - programs, policies.</p>	<p>SECTION 504</p> <p>10. Has the grantee completed a self evaluation plan?</p> <p>YES / NO</p> <p>Were physical changes needed to achieve accessibility?</p> <p>YES / NO</p> <p>If yes, then has a transition plan for physical changes been completed?</p> <p>YES / NO</p>

This question may apply to any non-physical changes - policies, etc.	11. Have steps been taken to remedy any discrimination that was found in programs or policies during the self-evaluation? YES / NO
Public Notices should include language about special accommodations on request.	12. How does grantee notify public that it does not discriminate on the basis of handicap in any of its federally funded programs?
	13. Is there a written plan for communicating with beneficiaries who have a hearing, speech or vision impairments? YES / NO
If grantee does not have a TDD or other system available to communicate with hearing impaired, most telephone service now offers a relay system. Often libraries or sheriff's offices also have TDD's available.	14. Is there a Telecommunications Device for the Deaf (TDD) available for communicating with the hearing impaired? YES / NO If no, what system is available to facilitate telephone conversations with the hearing impaired? Is it advertised? YES / NO
FOR GRANTEEES WITH 15 OR MORE EMPLOYEES ANSWER QUESTIONS #15-17.	15. Does grantee keep information on the persons consulted, problems identified and modifications made as a result of the completion of the Self-Evaluation Plan? YES / NO
	16. Has a person been designated to act as the coordinator for Section 504 responsibilities? YES / NO
	17. Does grantee have formal grievance procedures in place to ensure timely resolution of complaints? YES / NO
FOR HOUSING PROJECTS ONLY The 2% for hearing impaired can be part of the 5% handicap accessible, in any case, no less than 1 unit should be adaptable. If at all possible, units should be evenly distributed throughout the project.	18. If project includes new construction or rehabilitation of multi-family housing units: -- Were a minimum of 5% of these units made handicap accessible or adaptable? YES / NO -- Were a minimum of 2% of these units made adaptable for the hearing impaired? YES / NO
	19. How is the owner/manager of the housing project notifying public of the availability of handicap accessible units?

LIMITED REVIEW -- ACQUISITION and ONE-FOR-ONE REPLACEMENT

Answer Questions 1-4 Must have proof that the acquisition was purely voluntary on the part of the seller.	EXEMPT OR VOLUNTARY PROJECTS 1. Was owner notified in writing that the agency was not intending to acquire the property by eminent domain if negotiations failed? YES / NO
A formal appraisal does not have to be performed for exempt or voluntary acquisitions, however, there must be a reasonable basis for determining fair market value - e.g., real estate transactions of comparable land.	2. Was Fair Market Value for the property established? YES / NO How was this done?
See Section VI of manual for definition of what is considered to be voluntary - all five criteria must be met	3. If acquisition was voluntary, is there a copy of the signed owner(s) acknowledgement of voluntary agreement on file? YES / NO Date Signed
Examples: Temporary easements, acquisition from a public agency if the buying agency does not have the authority to acquire through condemnation	4. If acquisition was exempt, was a the Determination of Exemption filled out and kept on file? YES / NO Date Signed
Questions 5-13 HUD provides these brochures to DOLA upon request - should be given to owner prior to starting acquisition process	PROJECTS WHICH TRIGGER URA REQUIREMENTS (NOT VOLUNTARY) 5. Was owner given the brochure entitled "When a Public Agency Acquires Your Property"? YES / NO Date:
If waiver is signed, Questions 7-12 do not apply.	6. Did owner decided to waive his rights by signing the appropriate waiver form? Copy should be in the agency's acquisition file. YES / NO Date:
Questions 7-12 apply ONLY if answer to question 6 was "NO"	7. Was property appraised? YES / NO Date:
Not required if land is vacant	8. Was owner or appointed designee invited to attend the appraisal? YES / NO
	9. Was the appraisal conducted by a qualified appraiser? YES / NO
Review appraisal is a required element under URA.	10. Was a review appraisal conducted by a qualified person? YES / NO Date:
	11. Was a written offer describing the basis for determining just compensation provided to the owner prior to any bargaining? YES / NO Date of offer:

	12. Purchase amount: Date of closing:
Questions 13-21	ONE-FOR-ONE REPLACEMENT 13. Were any low-income housing units converted or demolished as a result of this project? YES / NO If no, questions 14 through 21 are N/A.
	14. If yes, how many units were converted or demolished? How many bedrooms in each unit
Any time a unit is converted from permanent housing, whether owner or tenant occupied, to temporary or transitional housing, it is then considered a public facility through "conversion" and the units must be replaced.	15. Is there a plan to replace these units? YES / NO If Yes, when?
	16. Do the replacement units meet Section 8 standards? YES / NO
To be considered a low-income housing unit the unit or its equivalent would have to have had a market rent including utilities which does not exceed the fair market rent established by HUD for Section 8 housing. Income of tenant is irrelevant. See Section VI for more information.	17. Is there a written plan in keep the units at or below Fair Market Rent for at least 10 years? YES / NO
	18. Are the replacement units located within the grantee's jurisdiction? YES / NO
	19. Do the units have at least the same number of bedrooms as the converted or demolished units? YES / NO
	20. Was the public and DOLA made aware of the grantee's plans for replacement? YES / NO

LIMITED REVIEW -- RELOCATION

<p>If no displacement occurred, the only requirement under URA is that the tenant is notified that they would not be displaced.</p>	<p>1. For occupants not displaced, did they receive a letter saying they would NOT be displaced?</p> <p>YES / NO If no, grantee should be aware that they could potentially be held liable for relocation expenses by any tenants that moved as a result of this project.</p>
<p>Questions 2-7 are general, answer in all cases whether business or residential displacement occurs</p>	<p>2. Is there a separate relocation file for each displaced household or business?</p> <p>YES / NO</p>
	<p>3. Did each person/business receive a notice of displacement prior to project taking place?</p> <p>YES / NO</p>
	<p>4. Were personal interviews conducted to determine relocation needs and preferences for the displacee?</p> <p>YES / NO</p>
<p>Even though relocation may occur in less than 90 days, the displacee must be allowed at least that length of time to move.</p>	<p>5. Did displacee receive a 90 day notice of displacement?</p> <p>YES / NO</p>
	<p>6. Were relocation claims filed, reviewed and paid within a reasonable time period?</p> <p>YES / NO</p>
	<p>7. Was displacee given the choice between fixed or actual moving costs?</p> <p>YES / NO</p>
<p>Answer only if there is permanent displacement - if businesses were displaced records should be kept on ethnicity and Women Business Enterprises</p>	<p>8. Is data kept on race and ethnicity of households and handicapped status of persons displaced?</p> <p>YES / NO</p>
<p>RESIDENTIAL CASES ONLY Questions 9 - 17 Grantee is required to provide displacee in writing with comparable replacement dwellings. If possible, at least 3 should be made available.</p>	<p>9. If ordered to move, how many referrals for comparable replacement housing were given?</p>
	<p>10. If displacee refused a referral, is documentation for refusal on file?</p> <p>YES / NO</p>
<p>See Section VII for more information</p>	<p>11. If low-income displacee, were benefits under both Section 104(d) and URA offered so that they could make a choice?</p> <p>YES / NO</p>

	<p>12. If offered Section 8 assistance in place of cash rental assistance under Section 104(d) were suitable referrals offered?</p> <p>YES / NO</p>
	<p>13. Did agency inspect replacement unit and determine that it was decent, safe and sanitary?</p> <p>YES / NO</p>
	<p>14. Do files contain claim forms for payment of replacement housing payments?</p> <p>YES / NO</p>
e.g., increased housing costs, moving expenses to and from temporary unit, telephone hookup	<p>15. If tenants were not displaced, but temporarily relocated, were they reimbursed for out-of-pocket expenses?</p> <p>YES / NO</p>
	<p>16. Was temporary unit decent, safe and sanitary?</p> <p>YES / NO</p>
If yes, grantee is required to have a written relocation policy adopted and available for public inspection which provided for optional assistance to all classes of citizens	<p>17. Was any relocation assistance offered that was not required under the Uniform Relocation Act?</p> <p>YES / NO</p>
NON-RESIDENTIAL CASES Does not apply for farms	<p>18. Was an appropriate level of help offered to enable the business to find a suitable replacement location?</p> <p>YES / NO</p>
	<p>19. Were benefits explained to the displaced business?</p> <p>YES / NO</p>
This amount is not to exceed \$10,000	<p>20. Did business receive payment for expenses incurred in re-establishing the business?</p> <p>YES / NO</p>

CDBG PROJECT CLOSE-OUT

	<p>1. Have all Quarterly Financial Status Reports (FSR) and Performance Reports been submitted?</p> <p>YES / NO</p> <p>If No, when will a final FSR be submitted?</p>
<p>PCR must be signed by grantee and field rep before sending to Denver office.</p>	<p>2. Has a Project Completion Report (PCR) been completed?</p> <p>YES / NO</p> <p>If No, when will the PCR be submitted?</p>
<p>See Civil Rights monitoring, question 10 - if project total cost exceeds \$200,000, a Section 3 report must be completed.</p>	<p>3. If applicable, has a Section 3 report been completed and submitted with PCR?</p> <p>YES / NO / N/A</p> <p>If No, when will the Section 3 report be submitted?</p>
<p><u>Limited clientele</u> e.g., requires information on family size and income so that it is evident that at least 51% are low/mod, can also qualify if nature of service is restricted to low-income (social service buildings, etc.)</p> <p><u>Household served</u> - eligibility requirements which limit the activity exclusively to low/mod based on HUD income limits - water tap fees, etc.</p>	<p>VERIFICATION OF NATIONAL OBJECTIVE - Indicate which national objective applies to this project.</p> <p>4. (Check which one applies):</p> <p>limited clientele ____ % low/mod ____ Is there documentation that income records were kept on clientele served?</p> <p>OR;</p> <p>household served ____ # of households</p> <p>Total # of persons in households</p> <p>Were correct income limits used? YES / NO</p> <p>If none of the above, what is the nature of the service being provided?</p>
	<p>5. Has a post award hearing been held?</p> <p>YES / NO Date:</p> <p>Any comments at the hearing?</p>
	<p>6. During on-site monitoring, were filing and record keeping systems adequate to allow department review and audits?</p> <p>YES / NO</p>
	<p>7. What firm has been selected to perform the audit(s)?</p>

	8. When will the audit be completed?
Applies to grantees who receive \$500,00 or above in federal funds in one fiscal year.	9. Has the grantee provided the auditor with the audit requirements including the "Compliance Supplement"? YES / NO
	10. List any unresolved issues or findings and the actions to be taken for resolution:
	11. By what date do the issues or findings have to be resolved?
	12. Date monitoring letter was sent to grantee:
	13. Does grantee have a continuing capacity to carry out community development activities in a timely and effective manner? YES / NO