Program Administration Monitoring Checklist

Recipient: ___________________________________ **Contract #:** ________________________________

I. Desk Monitoring Prior to Site Visit:

Check the proper box.

1. Does the Award Agreement require the Recipient to document the expenditure of leverage? If ***yes***, complete columns 1-4 on the leverage chart at the end of this checklist.	☐Yes ☐No ☐N/A
2. Are there any uncleared special conditions identified in the pre-monitoring checklist that should have been cleared, but remain uncleared? If ***yes***, list below what must be done to clear them.	☐Yes ☐No ☐N/A
a. b. c.	
3. Has the latest MBE/WBE Report and Section 3 Summary Report due to the Department been received? If ***no***, discuss this during the monitoring visit. (The MBE/WBE reports are due on April 15 and October 15 of each year, and the Section 3 report is due on July 31.) Verify that the information in the reports is accurate.	☐Yes ☐No ☐N/A
4. If the Recipient has other open grants, are those grants on schedule? If ***no***, be prepared to discuss this during the monitoring visit.	☐Yes ☐No ☐N/A
Comments:	

II. General

1. Has the Recipient generated any program income that has not been sent to the Department? (If ***yes***, complete the Program Income Monitoring Checklist.)	☐Yes ☐No ☐N/A
2. Where is the Recipient maintaining the CDBG project files that document current activities?	
Location:	
List the location where financial records are being kept, if different:	

Check the proper box.

3. Where are files for prior grants retained so they will be available for public inspection for six years following final closeout?		
Location:		
4. Is grant administration contracted out? If ***yes***, identify the firm and contact below:		☐Yes ☐No ☐N/A
Consultant Firm:	Contact:	
5. Is an engineer or other professional under contract for the project to design/inspect portions of the project? If ***yes***, identify firm and engineer below:		☐Yes ☐No ☐N/A
Engineering Firm:	Engineer:	
6. If the same firm is providing grant administration and engineering services, is there a third party providing oversight for areas of conflict of interest? If ***yes***, identify the person below.		☐Yes ☐No ☐N/A
Firm/Agency:	Contact:	
7. Has the Citizen Advisory Task Force (CATF) met since the application was submitted?		☐Yes ☐No ☐N/A
• How many citizens serve on the CATF?		
• How many members of the CATF are Low- to Moderate-Income (LMI)?		
• List the dates when the CATF met:		
8. Are any CATF members employed by the Recipient?		☐Yes ☐No ☐N/A
9. Are any CATF members elected officials?		☐Yes ☐No ☐N/A
Comments:		

Check the proper box.

Questions 10 and 11 should be asked directly of a local government representative, not an independent consultant:	
10. For NR or CR grants, does the local government have the income surveys used in the application process? The Recipient should have the survey forms, not the consultant. If consultant has the forms or if census data was used, add a note in "Comments."	☐Yes ☐No ☐N/A
11. Is the Recipient keeping the site visit notebook intact as it was when reviewed at the site visit?	☐Yes ☐No ☐N/A
12. Is the Recipient's Environmental Review Record (ERR) readily available?	☐Yes ☐No ☐N/A
• If any modifications have been made to the subgrant agreement, is there a memo in the environmental review file stating that the ERR was reviewed?	☐Yes ☐No ☐N/A
• If unaddressed needs were added to the project activities, were they included in the ERR?	☐Yes ☐No ☐N/A
• If not, was the ERR updated to include them?	☐Yes ☐No ☐N/A
13. If the Recipient is using its own employees (force account) to construct any portion of the project and if the value of that work if performed by a contractor (or as budgeted in the grant) exceeds $300,000, were the requirements of 255.20, Florida Statutes, for a public hearing with public notice met?	☐Yes ☐No ☐N/A
Comments:	

III. Program Performance

1. Are all activities and expenditures on schedule with work plan? If ***no***, list below the ones that are behind and why.	☐Yes ☐No ☐N/A
a. b. c.	
2. Will an amendment be needed? If ***yes***, list what it will need to encompass below.	☐Yes ☐No ☐N/A

Check the proper box.

3. Are there potential problems that could delay the project? If ***yes***, describe below:	☐Yes ☐No ☐N/A
4. Does DEO need to take further actions regarding program performance? If ***yes***, list the actions below.	☐Yes ☐No ☐N/A

IV. Citizen Participation

1. How many written complaints about CDBG projects have been received? _____ (***If none, go to Section V.***)	
2. Were the complaints responded to in writing within 15 days?	☐Yes ☐No ☐N/A
3. Did the Recipient follow its complaint procedure?	☐Yes ☐No ☐N/A
4. Were the issues referred to the Citizen Advisory Task Force?	☐Yes ☐No ☐N/A
5. Did the Recipient close out all complaints?	☐Yes ☐No ☐N/A
6. What were the issues contained in the complaints?	
7. Does DEO need to respond to these complaints? If ***yes***, list the actions that should be taken below.	☐Yes ☐No ☐N/A

V. HUD Reform Act (Section 102)

1. Review all the contracts relating to the project. Are there any previously unreported parties who have a financial interest of $50,000 or more? ***(If no, go to Section VI.)***	☐Yes ☐No ☐N/A
2. Was an updated Form 2880 provided to the CDBG office?	☐Yes ☐No ☐N/A

VI. Leverage ☐N/A *(If there was no leverage for this project, go to VII. Conclusion.)*

If applicable, complete columns 5 and 6 on the Leverage Chart. (Columns 1-4 should have been completed before you left the office if they applied to this project.) Review invoices, contracts, cancelled checks, financial ledgers and spreadsheets, and other documents. Make copies of a reasonable sample to document compliance.	
1. Is the Recipient expending its leverage concurrently with the expenditure of CDBG funds, if feasible?	☐Yes ☐No ☐N/A

Check the proper box.

2. If local government employee payroll costs (typically administration or engineering) were pledged as leverage, are there supporting time sheets?	☐Yes ☐No ☐N/A
3. If the Recipient is paying non-payroll expenses as leverage, is there documentation (invoices and checks) to back up the leverage claim?	☐Yes ☐No ☐N/A
4. Was third party private leverage pledged to the project (typical in ED and CR)? ***If no, go to #6.***	☐Yes ☐No ☐N/A
5. Is the Recipient obtaining documentation of the third party private leverage on a consistent basis, preferably as spending occurs?	☐Yes ☐No ☐N/A
6. Did you remind the Recipient that it must document the expenditure of all leverage prior to closeout?	☐Yes ☐No ☐N/A

Leverage Requirements Monitoring

1. Source of Leverage	2. Activity	3. Leverage Amount Scored in Application	4. Leverage Expenditures Documented Prior to this Monitoring Visit	5. Leverage Amount Documented During this Monitoring Visit	6. Leverage Amount Remaining to Be Documented (3-4-5=6)

VII. Conclusions

Explain any finding(s) or concern(s) and specify corrective actions the Recipient must take to resolve the issue(s). Describe any technical assistance provided.