LOUISIANA COMMUNITY DEVELOPMENT BLOCK GRANT PROGRAM

PROGRAM EVALUATION AND MONITORING PLAN

January, 2013

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Overview

Section 104 of Title I of the Housing and Community Development Act of 1974, as amended, (Title 1) and 24 CFR Part 570.492 requires Louisiana to monitor its CDBG recipients. Program evaluation and monitoring is the mechanism by which the state's Office of Community Development (OCD) provides administrative oversight to Louisiana Community Development Block Grant (LCDBG) recipients. OCD's review process ensures that recipients are in compliance with three key areas:

- Approved activities have been carried out in a timely manner,
- Recipients' activities and certifications have been carried out in accordance with the requirements and the primary objectives of Title 1 and with other applicable laws, and
- Recipient has a continuing capacity to carry out approved activities in a timely manner.

During the course of an LCDBG project, OCD's Local Government Representatives (LGRs) will evaluate and monitor grant recipients both remotely and through periodic on-site visits. Under the LCDBG program, there are three major components of program evaluation and monitoring:

- Education: The provision of workshops, manuals, and handouts training recipients in program requirements and their basis. The primary educational efforts are the mandatory post-award workshops and the Grantee Handbook.
- Technical Assistance: Imparting information that will enable recipients to comply with the various state and federal requirements for their grants.
- Evaluation and Monitoring: A systematic process used to maintain contact with all recipients in order to track their progress, make comparisons between and among grantees, and identify grantees needing technical assistance.

In carrying out OCD's Title I responsibilities, one or more monitoring and/or technical assistance visits will be made during the project period for each grant.

Education

- Grantee Handbook: Revised and distributed annually to all grant recipients for that particular program year.
- Grantee Workshop: An official from each recipient's governing body is required to attend the Grantee Workshop held for that funding year's recipients. In the course of this annual workshop all facets of the LCDBG Program are explained and discussed. In addition, recipients are provided with copies of any revised or updated applicable state and/or federal regulations.

- Additional Training: Additional workshops are conducted and informational memorandums are distributed as training needs are identified.
- Policies and other information are available to grant recipients on the OCD website.

Technical Assistance

This may be done on-site or remotely. The grant's LGR can use technical assistance to achieve early resolution of problems encountered with a project. Technical assistance examples include:

- Explanation of project start-up requirements and assistance with establishment of program files. A project's filing system must provide a historic account of the recipient's activities, be easy to use and centrally located. (NOTE: Private consultants administering a grant for a local government should not keep original project files – original project files must be maintained at the recipient's location. Consultants may keep a duplicate set of project files.)
- Advice on technical requirements such as preparation of the Environmental Review Record, property acquisition, job creation, labor standards, procurement, civil rights compliance, etc.

Evaluation and Monitoring

LGRs have the responsibility to ensure that recipients carry out their programs in accordance with all applicable laws and regulations. It is mandatory that Local Government Representatives (LGRs) be familiar with the program requirements. The Grantee Handbook and regulation updates are the primary tools for gaining knowledge of the federal and state regulations. State staff with specialist assignments can provide additional support in their areas. The objectives of the LCDBG staff in evaluating and monitoring grant projects are to determine if recipients are:

- Carrying out their LCDBG programs as approved in their application
- Complying with applicable federal and state regulations
- Carrying out their programs in accordance with the most current program (time) schedule
- Demonstrating a continuing capacity to carry out the approved programs
- Requesting reimbursement only for approved project costs

Ongoing Remote Evaluation

Ongoing remote evaluation is the primary method of tracking grantee performance/compliance on a daily basis, determining the need for technical assistance, obtaining data to plan for the routine site

visits, and determining the need for exception site visits. To the extent possible, this evaluation utilizes existing data that is routinely submitted for other purposes. Much of the data is captured on the office's in-house electronic grants management tracking system, Granting and Underwriting Monies to Benefit Others (GUMBO).The following are examples of data submitted which are utilized:

- Recipient's application
- Program Time schedule
- Recipient's contract
- Request for payment (RFP)
- Request for release of funds
- Ten day call and request for a wage rate decision
- Verification of contractor eligibility
- Notice of contract award
- Final wage compliance report
- Citizen complaints
- Audits

The first ongoing evaluation activity is to examine the recipient's program time schedule, approved application, and contract. All activities included on the schedule should be consistent with the approved application (and any pertinent program amendments). The time period indicated should be reasonable and consistent with the project's LCDBG contract period. It shows, by quarter, expected milestones and expenditures by activity. The program time schedule and any subsequent revisions or amendments must be placed in the grantee's financial management and drawdown files in order to be compared with actual drawdown notes. Any discrepancies must be resolved with the recipient. Contract conditions established in the recipient's contract are also tracked for timely completion.

Each Request for Payment (RFP) submitted by the recipient indicates the budget line item for which the draw is being made. The RFP is entered into GUMBO and the invoice tracker and approved for payment. The invoice tracker identifies details of the financial data that is entered into GUMBO. It is printed and filed in the Request for Payment file.

The RFPs, invoice tracker, and program time schedule provide the most current information on the performance of the recipient's program. The RFP file can be used as a tool to:

- Compare cumulative drawdowns with funds budgeted to make sure the amount drawn does not exceed the budgeted amount without appropriate changes.

- Determine if activity drawdown rates reflect the program time schedule contained in the application. Discrepancies between the schedule and the amount drawn are discussed with the recipient.

- Activities on the schedule for which no funds have been drawn after the proposed scheduled initiation date are discussed with the recipient.

- Determine if a revised program time schedule is needed as the result of a project delay, program amendment, or contract extension.

When appropriate, a revised program time schedule is requested as well as an explanation for the reason the program activities are behind schedule. The recipient must submit a detailed timeline indicating the realistic proposed time of completion of the activities. The timeline duration should not exceed the time frame of the current contract.

Other sources for charting the recipient's performance include:

- Change in activities due to program amendments and budget revisions
- Changes in funds budgeted due to program amendments and budget revisions
- Changes in completion dates due to revised schedules and contract extensions

A Budget Reconciliation Report is required when there is a change in the category of expenditure as requested in a previous RFP. In this report, actual expenditures are compared with budgeted amounts and amounts requested (24 CFR 85.2(b)(4)). If amounts on the Certificate of Completion (closeout) differ from the LCDBG records, budget reconciliation will be mandatory prior to closeout.

Any complaints made to OCD about a recipient's program are sources of valuable compliance information. A record of the complaints received, identifying the actions taken and the results of the actions is maintained in the permanent grant file. The validity of all complaints suggesting problems in performance or compliance should be included in the assessment of the recipient's need for regular or exception monitoring.

To assist LGRs in managing the on-going evaluation of recipients, monthly tickler and exception reports are produced by GUMBO. Tickler reports remind the LGR of certain steps to be taken as a project progresses. Such reminders include, but are not limited to: monitoring due, close-out due, audit due, et cetera.

The exception report is provided to the Assistant Director of the Office of Community Development and lists those items previously reported to the LGR on the tickler report that were not accomplished. It is each LGR's responsibility to inform the Assistant Director and to document the file as to why the actions were not accomplished.

On Site Monitoring

LCDBG staff monitors the following areas which include but are not limited to:

- Program progress
- General organization of files
- Financial and general contract management
- Labor standards
- Civil Rights
- Environmental review
- Real property acquisition
- Demolition/clearance activities
- Public facilities
- Procurement
- Housing rehabilitation/replacement
- Economic development
- Local complaint procedures
- Program benefit – compliance with national objectives
- Citizen participation.

There are two types of on-site compliance assistance visits: exception and regularly scheduled monitoring.

EXCEPTION VISITS:

When there is a serious problem in performance or other issues, an exception visit may be required. The Community Development Director/Assistant Director/Supervisor should be notified of the potential problems. If there is concurrence, the LGR or an LGR program area specialist (depending on the nature of the anticipated problem) will be instructed to initiate a site visit.

REGULARLY SCHEDULED MONITORING VISITS:

Each recipient will be monitored on site at least once during grant implementation. When the overall expenditures on a program reach or exceed fifty percent, the recipient will be scheduled for and notified of the upcoming monitoring visit.

SCHEDULING THE SITE VISIT:

The LGR assigned to the grant will contact the grant consultant and/or recipient to schedule the visit. A letter confirming the date is then sent to the recipient indicating that all program files will be reviewed and a visit to the project site will be made during the monitoring visit.

STEPS IN THE SITE VISIT PROCESS:

Preparation for Site Visit

OCD utilizes monitoring checklists in the performance of site visits to ensure compliance with all applicable laws and requirements. The LGR should complete the Monitoring Preparation Checklist prior to the visit. This pre-populates certain information on the checklists, saving time during the visit.

Entrance Conference

The monitoring visit begins with an entrance conference with the grant administrator, a representative of the recipient, and others the recipient deems should attend. The LGR will explain the purpose of the monitoring visit and the areas to be monitored. The monitoring visit will be conducted in accordance with OCD's monitoring procedures.

Review Recipient Files Using Monitoring Checklists

The monitoring checklists are the primary tool used to monitor recipient performance in the LCDBG program. The monitoring checklists are revised whenever necessary to reflect changes made in program guidelines and regulations.

All pertinent monitoring checklists must be completed with findings and areas of concern noted during the site visit. This will require the participation of the local government, the administrative consultant, and possibly the project engineer. If problems are identified during the review, an attempt should be made to correct them on-site. When the problem cannot be remedied completely on-site, the steps necessary to correct the problem should be explained to the recipient.

A comprehensive review of program performance must be made using the appropriate checklists. A checklist has been prepared for each program area as well as each compliance area. The specific items to be reviewed will depend on the stage of progress when visited, the type of project, and whether or not it is the first or a subsequent visit. Each program and/or compliance area has a unique monitoring code. The following provides the monitoring code for each program and/or compliance area and a brief description of its checklist:

01 Financial Management

The review of the recipient's financial management system checks its compliance with 24 CFR 85.20 and OMB Circular A-87. These circulars can be used as reference items during monitoring. The financial management checklist is completed by an OCD financial analyst. The checklist assists in determining if the following criteria have been met:

- the grantee's financial management system provides for current, accurate and complete disclosure of financial results
- there is adequate and clear identification of the sources and uses of funds
- there is effective property management and control
- the grantee's records allow for comparison of actual and budgeted amounts by activity
- there are procedures for minimizing the time elapsing between the receipt and expenditure of grant funds

- there are procedures in place for determining if the costs are reasonable, allowable and correctly allocated in accordance with state and federal regulations

02 Environmental Review

Since each grant recipient receives environmental clearance prior to contract release, the task of the on-site monitor is to ensure that the approved Environmental Review Record (ERR) is still relevant. The as-built plans and specifications, the description and map in the application (or program amendment, if applicable), and the map included in the approved ERR are compared to the physical site to ensure that no project sites have changed. If a project site has changed, the ERR would require an amendment.

If the project involves housing rehabilitation or emergency spot repairs, it is confirmed that all homes rehabilitated are located within the target area. If the location of a house falls outside the cleared target area, the ERR must be amended.

The letters in the ERR from other agencies are reviewed for any additional requirements, such as permits, etc. Particular attention is given to the letter from the State Historic Preservation Office in case they require photographs of certain houses before rehabilitation.

03 Labor Standards

The objective is to ensure that the required procedures were implemented in accordance with the statutory/regulatory provisions (Davis-Bacon Act, Contract Work Hours and Safety Standards Act, Copeland Anti-Kickback Act and other requirements). When monitoring, the bid and contract documents are reviewed for the inclusion of the federal labor standards provisions and the correct federal wage determination. Other documentation should include notices of contract award and preconstruction conference (if applicable) and preconstruction conference minutes if a pre-construction conference was conducted, evidence that the federal wage decision, any additional classifications, and the Davis-Bacon poster have been posted at the construction site, and that proper contractor clearances were obtained timely.

Weekly payrolls are reviewed carefully. Each contractor and subcontractor must submit weekly payrolls from the time work is started until it is completed for each week in which work occurred. Each payroll submitted must be accompanied by a Statement of Compliance signed by an officer or designee of the company.

In examining the payrolls, it is verified that only classifications appearing on the wage determination are used and that a disproportionate employment of laborers to mechanics does not exist. Wage rates reported on the payroll must be at least equal to the wage decision. If a lesser rate was paid, the grantee's files should include records of restitution made. Payroll computations are spot-checked; deductions made are reviewed for any non-permissible

deduction. The information on the employee interview form is checked against the wage determination and applicable payroll sheet. Also reviewed is that overtime pay for work in excess of 40 hours in one week was paid correctly.

04 Civil Rights

Review of Civil Rights is primarily concerned with the locality's actions undertaken on its own behalf. There are five specific areas to be reviewed:

- actions taken to further fair housing,
- the local government's equal employment opportunity practices,
- Section 3 requirements,
- Section 504 Compliance, and
- Minority Business Enterprise (MBE) participation.

In the area of fair housing, the local government agreed by signing the assurances in the application and the grant contract to implement measures to affirmatively further fair housing in their community. Whether or not they have implemented a program which addresses this issue is reviewed.

In reviewing equal opportunity personnel practices, it is determined if the locality gives fair and equitable treatment with respect to hiring, salary and promotional opportunities to all job applicants and employees.

It is verified that the locality has adopted a written Section 3 plan containing certain criteria and that they are abiding by their plan.

Compliance with the accessibility requirements of Section 504 is also reviewed.

It is also confirmed that the grantee encouraged and/or achieved MBE participation.

05 Acquisition

The review of real property acquisition covers compliance with the Uniform Relocation Assistance and Real Property Acquisitions Policy Act of 1970 (Uniform Act). The Uniform Act is very specific about which acquisitions are subject to its requirements and the procedures which must be followed to acquire property. Therefore, there are two separate components of review:

- It is determined if exempt or non-exempt acquisition occurred for the project's implementation. Any non-exempt acquisition initiated after submission of the application must comply with the Uniform Act regardless of the source of funds.

Additionally, property obtained prior to application submission on which LCDBG activities will take place may be subject to the Uniform Act.

- Specific acquisitions under the project are reviewed, if any, to ensure that proper Uniform Act procedures were followed during the acquisition of each parcel of property.

06 Residential Relocation/Displacement Checklist

The review of relocation covers compliance with the relocation provisions of the Uniform Act. For those relocations not subject to the Uniform Act, the locally adopted displacement policy is reviewed and a determination is made as to whether or not the grantee followed their policy in completing their non-Uniform Act relocation activities. For those grantees with relocation covered by the Uniform Act, the Part 2 checklist for each displacement is completed.

07 Housing Rehabilitation

When LCDBG funds are used for housing rehabilitation or reconstruction, the units must be brought up to the Section 8 Housing Quality Standards and Cost Effective Energy Conservation Standards. Part I of the housing rehabilitation checklist covers the overall program. Part II covers the inspections of a representative sample of individual properties. The number and types of individual property files selected constitute a representative sample of the entire rehabilitation and reconstruction case inventory, generally 10 percent but at least one of each type of unit if there are both rehabilitated and reconstructed homes in the project. In addition, any property on which the local jurisdiction has received a complaint is reviewed. On-site property inspection is conducted to determine if funds were expended for the completion of identified planned work. If funds expended are not clearly reflected in the work accomplished, the LGR further investigates to determine the possible cause of the discrepancy.

All construction contracts must include the language and requirements specified in applicable federal, state and local laws governing the program. Unless construction is undertaken in a structure with eight or more units, the Davis-Bacon and other labor standards provisions do not apply.

08 Procurement Procedures

The procurement procedures checklist is used to verify that the solicitation and subsequent award of contracts was in accordance with the procedures established by 24 CFR 85.36, state bid laws, and LCDBG program directives. Administrative consulting, engineering, and/or construction contracts procured with CDBG funds are reviewed. A sample of other professional services contracts (appraisers, review appraisers, auditing firms, legal services, etc.) is also reviewed. All sole source contracts are reviewed.

In general, documentation is reviewed to ensure that: (1) recipients have documentation to justify the method of procurement used to select the provider; (2) cost analysis was performed to determine the reasonableness of the contract price; (3) contracts contain clear description of the provider's duties and responsibilities and; (4) payments are adequately justified and documented.

09 Program Performance - Administration

The Request for Payment file, the invoice tracker, and the program time schedule are used to compare planned vs. actual progress. Reasons for delays should be noted and the need for a revised schedule discussed with the recipient.

In discussing major problems which may affect the feasibility of or delay the entire program, the problems and possible results are noted on the performance checklist. Examples of such problems include litigation, inability of developer to obtain financing, loss of local funding commitments, etc. Early notification of major problems permits the State to provide technical assistance and assist with contingency plans.

10 Compliance with National Objectives

The purpose of this review is to ascertain that the grantee has documentation on file which supports that one of the national objectives is being addressed by the program.

12 Record Keeping

The record keeping requirements included in the Grantee Handbook are specific. The grantee's overall filing system is reviewed for adequacy.

13 Citizen Participation

Citizen Participation files are reviewed to determine that the local community has made every effort to involve the community's citizens during the application process and in the on-going grant activities. The specific requirements are presented in the application packages, on OCD's website, in grantee handbooks, and in the State's Citizen Participation Plan.

14 Other:

(a) Anti-Displacement

As part of this review, the Residential Anti-Displacement and Relocation Plan, adopting resolution and certification are reviewed. If a person or business has been displaced as a result of the LCDBG Program, Part 2 of the checklist is completed.

(b) Clearance/Demolition

The review of clearance/demolition covers the locally adopted clearance/demolition policy and its compliance with the LCDBG regulations and state laws, and determines if the activities conformed to those outlined in the approved application.

(c) Economic Development

The review of the economic development portion of the grantee's files is to ensure that the contractual provisions contained in their contract with the State have been accomplished.

The checklist is used to assist in determining if the following criteria have been met:

- the number and percent of low/moderate income jobs have been or are being achieved
- the developer has submitted the required financial reports
- the projected sources and uses of funds have been realized
- the LCDBG loan (if applicable) has been properly secured and repayments are being made according to schedule
- program income (if any) is being accounted for and returned to OCD

Employment is verified by reviewing the most recent payroll records rather than a compilation of job applications to ensure that job replacements are not being counted in the employment total.

Visit the Construction Site

The actual construction site must be visited to ascertain that it corresponds to the site approved by the Office of Community Development in the application, plans and specifications, environmental review record, and program amendments (if any). It also enables the LCDBG staff to complete certain questions on the checklists.

Exit Conference

At the conclusion of the monitoring visit, an exit conference is held with the recipient's representative, anyone else the recipient deems appropriate, and the grant administrator. The purpose of the conference is to summarize the results of the visit based on the Exit Conference report completed during the monitoring review. The exit conference may notify the recipient that no problems were found during monitoring review and the project is in compliance with applicable requirements. Should there be problems, the recipient is encouraged to participate through the provision of explanations and

additional data which may resolve and correct any issues. Identified problems with fiscal implications are particularly stressed. Problems/issues are presented and discussed in the following context:

- A "Finding" is an action or lack of action(s) in direct violation of a statutory requirement, regulation, or policy. Findings are rated as one of the following:
    - Minor
    - Serious
    - Very Serious

  Findings normally require the recipient take corrective action as outlined in the monitoring letter from the State.
- An "Area of Concern" is a non-statutory issue that involves program management. Recommendations may be provided to address the identified concern. The recipient is not required to take any corrective action, but it is encouraged to give consideration to the state's recommendation.

Monitoring Follow-Up Procedures

A monitoring letter is sent to the recipient, reporting the results of the monitoring visit. The monitoring letter to the recipient includes the following information:

- Contract number
- Date of the visit
- Scope of the monitoring visit
- Monitoring findings (merits and/or deficiencies and concerns) supported by the facts considered in reaching the conclusions
- Specific corrective actions/recommendations if necessary (i.e., means by which a finding of deficiency can be resolved)
- Due date of any necessary corrective action (generally 30-45 days, depending upon the nature of the findings)
- If appropriate, the offer of technical assistance

Monitoring letters are mailed within 30 days after the visit. All findings of deficiency included in the letter will be entered into GUMBO for tracking purposes.

When issuing findings of deficiency, the following codes are used.

1. CONTRACT NUMBER

2. SOURCE OF FINDING (1 Digit)

   0 = Ongoing Monitoring

1 = On site

2 = Complaints

3 = HUD Oversight

4 = Audit

5 = Other

6 = In-House

3. SERIOUSNESS OF FINDING (1 Digit)

0 = Minor

1 = Serious

2 = Very Serious

4. PROGRAM AREA (2 Digits)

01 = Financial Management

02 = Environmental Review

03 = Labor Standards

04 = Civil Rights

05 = Acquisition

06 = Relocation

07 = Housing Rehabilitation

08 = Procurement

09 = Program Performance-Administration

10 = National Objectives

12 = Record Keeping

13 = Citizen Participation

14 = Other (including but not limited to: Anti-displacement, Clearance/Demolition,

and Economic Development

5. FINDING NUMBER

Contract # – Source of Finding – Seriousness of Finding – Program Area and Finding Number*

101-3007 – 1 – 2 – 091

*In numbering findings, the program area is expanded to three digits to include the sequential number of the finding. For example, the first finding under program performance-administration would be 091, then 092.

Upon receipt of the monitoring response from the recipient, the LGR decides whether or not the information is sufficient to resolve/clear the finding. A status letter to the recipient addressing the recipient's response to each finding of deficiency is prepared. Findings which are not properly addressed or resolved remain open and a new target date for clearance is given to the recipient in this letter. Each LGR continues to provide technical assistance to the recipient until all finding(s) of deficiency are resolved. As each finding is cleared, the clearance date is entered into GUMBO and a new status letter is sent to the recipient.

In the event that a recipient is unwilling or unable to clear the finding(s), the State may impose one or more sanctions outlined in the section herein entitled Sanctions and further addressed in the State's Policy on Corrective and Remedial Actions.

Sanctions

Sanctions become necessary when every effort has been made to clear findings of deficiency within the prescribed time period and findings remain unresolved. The State's Policy on Corrective and Remedial Actions includes the following sanctions:

- Termination of the grant
- Reduction of the grant amount
- Debarment from future program participation
- Imposition of additional contract conditions
- Recapture of funds
- Litigation/suit

The internal procedures for issuing/clearing sanctions are implemented in accordance with the policy then in effect.

Closeout and Audit Review

Closeout

All findings of deficiency (audit and/or monitoring) must be resolved prior to closeout of a grant. The LGR requests closeout documents when a recipient has requested ninety percent of the LCDBG funds. When closeout documents are received, they are reviewed by the LGR for completeness and accuracy. In addition, prior to preparing the closeout letter, the following must occur:

- The Certificate of Completion form must be approved by the Office of Finance and Support Services.
- A copy of the Final Wage Compliance Report must be cleared by the Labor Compliance Officer.
- Three Certificates of Completion (all with original signatures) must have accompanied the recipient's closeout documents.

Generally, a conditional close-out is issued if all LCDBG expenditures have not been covered in financial reports. A recipient cannot receive a final close-out until financial reports covering all expended funds have been received and approved. Once executed, the closeout letter and Certificates of Completion are distributed as follows: one to the recipient, one to the Office of Finance and Support Services, and one to the permanent file.

Audit Review

Each recipient is required to provide OCD with a financial report for each fiscal year during which the grant is open. A letter requesting the financial report is sent to each recipient thirty days prior to the financial report due date. If a financial report becomes delinquent, a series of audit past-due letters are sent requesting the financial report. If the grant is not closed-out, a finding of deficiency will result after the audit is 60 days past due. If the grant is closed out, a sanction is issued after the audit is 120 days past due. In addition, state law requires that a grantee cannot receive funds from a state agency if the audit is 15 days past due. A letter is sent to the grantee which indicates that they are on the State Legislative Auditor's delinquent list and that they cannot receive further grant funds until the audit is submitted.

When an audit is received, the financial report reviewer reviews the information in the audit to determine financial report compliance and agreement with LCDBG program records.

Letters for unacceptable financial reports, questioned costs, et cetera are developed individually for each specific situation. Any resulting audit findings are tracked following the same procedures as previously outlined for monitoring findings. Any corrections requested must be resolved prior to final close-out.

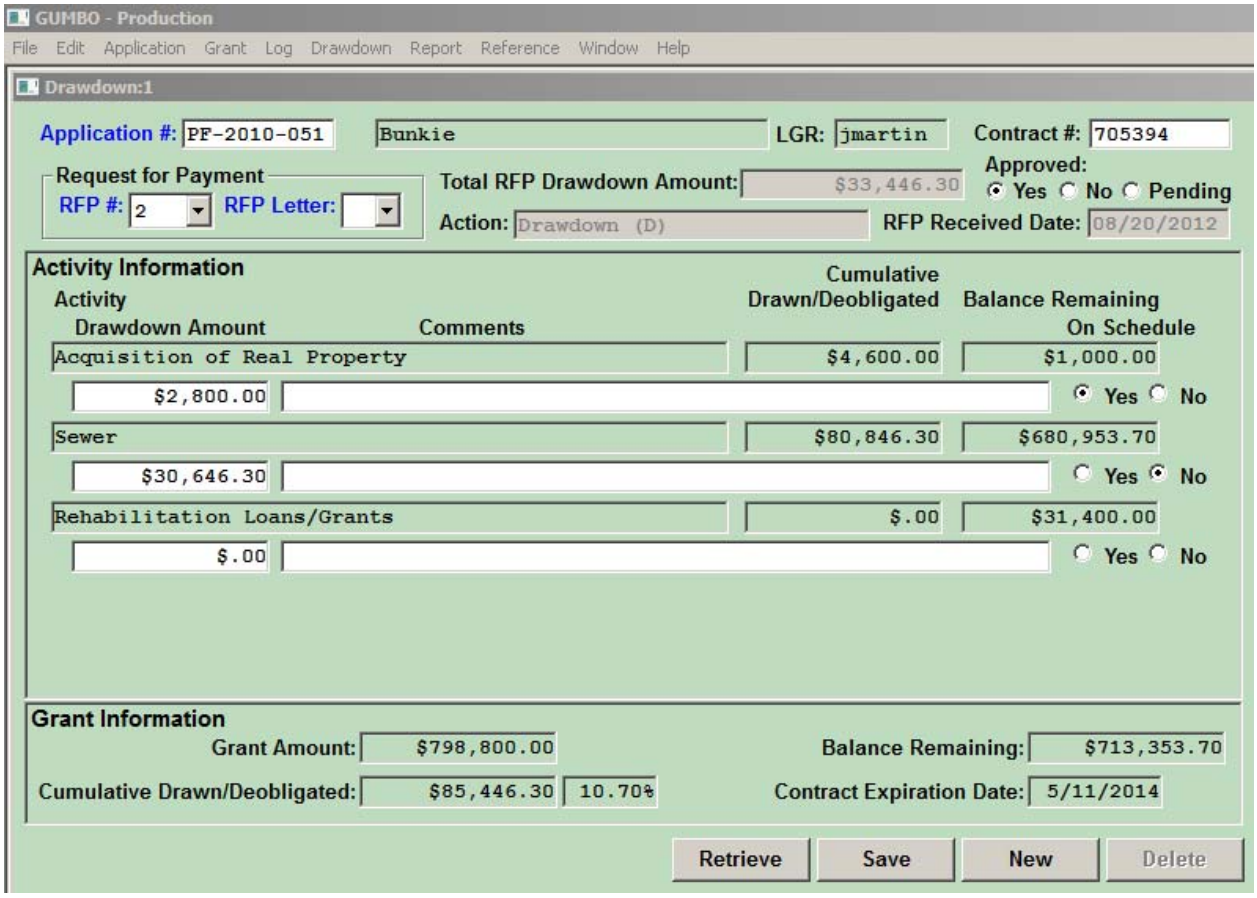
If a recipient has received program income prior to final closeout, then these funds must be returned to OCD. Any program income received after final close-out must follow the rules set forth in the State's Consolidated Annual Action Plan for the grant's corresponding program funding year.

EXHIBITS

1: Invoice Tracking Worksheet

Grantee Name	FY 20XX	Type	Contract #		ADMINISTRATION						ACQUISITION				SEWER/WATER/COMMUNITY CENTER/HOUSING							
	Date	Total			On Sch	Total Adm	Pre-agree Adm	Pre-agee Eng	Admin Consultant	Admin Govt	On Sch	Acquisition	Acq, legal, appr	Acq-survey	On Sch	Enter Total Water/Sewer/ Etc	Eng	Inspection	Survey-Topo	Staking	Construction	Total Inv
Amt of Grant				%		$ -						$ -				$ -						$ -
																					Name	
RFP #1			OK			-						-				-						$ -
RFP #2			OK			-						-				-						$ -
RFP #3			OK			-						-				-						$ -
RFP #4			OK			-						-				-						$ -
RFP #5			OK			-						-				-						$ -
RFP #6			OK			-						-				-						$ -
RFP #7			OK			-						-				-						$ -
RFP #8			OK			-						-				-						$ -
RFP #9			OK			-						-				-						$ -
RFP #10			OK			-						-				-						$ -
RFP #11			OK			-						-				-						$ -
Expenditure Totals		$ -				$ -	-	-	-	-		$ -	-	-		$ -	-	-	-	-	-	
DeOb/Penalty		$ -				-						-				-						
DeOb/Other		$ -				-						-				-						
Bal Remaining		$ -				-	-	-	-	-		-	-	-		-	-	-	-	-	-	
Contractors		Contract Amt				C/O #	$ Amount															
Name		$ -					$ -															
		$ -					$ -															
Eng	Name																					
Consultant																						
Notes:																						

2: Request for Payment Entry in GUMBO



3: Program Time Schedule

LCDBG PROGRAM – Project Time Schedule				APPLICANT NAME: _____								
Activity	Quarter 1	Quarter 2	Quarter 3	Quarter 4	Quarter 5	Quarter 6	Quarter 7	Quarter 8	Quarter 9	Quarter 10	Quarter 11	Quarter 12
Activity 1_____ Milestones: a. b. c. d. e.												
Activity 2_____ Milestones: a. b. c. d. e.												
Activity 3_____ Milestones: a. b. c. d. e.												
Activity 4_____ Milestones: a. b. c. d. e.												
Activity 5_____ Milestones: a. b. c. d. e.												

4: Tickler Report

State of Louisiana
Office of Community Development

Tickler Report

LGR: Buckli Stanga

Contract Number	Application Number	Recipient Name	Financial Report Number	Date Due	PCT Drawn	Action Due
684996	ED-2008-004	Tangipahoa Parish		5/31/2011		ED status report due
698535	DN-2010-001	Ferriday		9/7/2012		Final closeout is past due
671604	PF-2000-109	Delta		11/15/2012		Final closeout is past due
714983	PF-2012-052	New Llano		12/5/2012		Bid Advertisement Published date is due
684996	ED-2008-004	Tangipahoa Parish			96%	Closeout request due
648468	ED-2006-008	Winn Parish			99%	Closeout request due
708694	PF-2010-050	Bossier Parish			100%	Monitoring visit due

5: Exception Report

State of Louisiana
Office of Community Development

Exception Report

LGR: Buckli Stanga

Contract Number	Application Number	Recipient Name	Financial Report Number	Date Due	PCT Drawn	Action Due
684996	ED-2008-004	Tangipahoa Parish		6/30/2011		ED status report past due
684996	ED-2008-004	Tangipahoa Parish		8/10/2012		Contract has expired
698535	DN-2010-001	Ferriday		10/7/2012		Final closeout is past due
708694	PF-2010-050	Bossier Parish			100%	Monitoring visit due

6: Monitoring Visit Letter

Date

Honorable John Smith
Mayor, Village of Someplace
Post Office Box 123456
Someplace, Louisiana 99999

RE: Monitoring Visit
FY 20xx LCDBG Public Facilities Program
Contract Number 777777

Dear Mayor Smith:

This letter is to confirm that John Doe, Jane Public, and Fred Jones will conduct a comprehensive review of your FY 20xx Louisiana Community Development Block Grant (LCDBG) Program on March 13, 20xx. They should arrive at the Village Hall between 1:30 p.m. and 2:30 p.m. They will want to talk to the people carrying out the program as well as review program files and visit the project site(s). Please have all files available for their review.

Please ensure that the following specific items are available for their review: (1) inspection reports for the street project which may be obtained from your engineer and (2) current proof of bonding covering those who handle LCDBG financial transactions which, if not on file, may be obtained from your insurer.

It is required that you or your representative attend the exit conference that will be held at the conclusion of the review.

If you have any questions, please contact Fred Jones at (000) 000-0000.

Sincerely,

Carol M. Newton
Director, Louisiana Community
Development Block Grant Program

c: Ms. Debbie Howe, Grant Consultant
Uptown & Associates, Engineering Firm
Mr. John Doe, Office of Community Development
Ms. Jane Public, Office of Community Development
Mr. Fred Jones, Local Government Representative
File: Public Facilities, FY 20xx, Monitoring

7: LCDBG Evaluation and Monitoring Checklists

STANDARD CHECKLISTS

FOR USE ON

ALL PROJECT MONITORINGS

Pre-Monitoring Visit Data Entry

Monitoring Preparation Checklist (*pages 1- 5*) ***Updated:*** September, 2012

General Information	Grantee:	
	Contract Number:	
	Grant Program Year:	
	Grant Type [PF, HO, PA, ED, DN, LS]:	
	Entity [Village, City, Town, Parish]:	
Contacts	Chief Elected Official:	
	Consultant:	
	Engineer:	
	LGR:	
Dates	Date of Application:	
	Authorization to Incur Costs:	
	Transmittal of Contract:	
	Consultant Cleared:	
	Engineer Cleared:	
	Consultant Contract:	
	Engineer Contract:	
	CDBG Contract Ends:	
	Monitoring Visit:	
Amounts/Activities/Nat'l Objective	Grant Award Amount:	
	Percent Drawn to Date:	
	Local Funds:	
	Other Funds:	
	Activity:	
	National Objective:	
	ORIGINAL Budgeted Amount for Activity:	
	Most recent REVISED Budgeted Amount for Activity:	
	Expenditures to Date:	
	Activity:	
	National Objective:	
	ORIGINAL Budgeted Amount for Activity:	
	Most recent REVISED Budgeted Amount for Activity:	
	Expenditures to Date:	
	Activity:	
	National Objective:	
	ORIGINAL Budgeted Amount for Activity:	
	Most recent REVISED Budgeted Amount for Activity:	
	Expenditures to Date:	
	Activity:	
	National Objective:	
	ORIGINAL Budgeted Amount for Activity:	
	Most recent REVISED Budgeted Amount for Activity:	
	Expenditures to Date:	
	Grant Award (ORIGINAL BUDGET):	
	Grant Award (REVISED BUDGET):	$0.00
	Total Expenditures to Date:	

Acquisition	Yes	No	N/A
1. Did application include acquisition by purchase or donation?			

Anti-Displacement	Yes	No	N/A
2. Does plan identify a person who is responsible for displacement and relocation compliance?			
~ If ***Yes***, note name of contact person:			
3. Was a person or business displaced as a result of this program?			
~ If Yes, print Part 2 of the Checklist.			

Citizen Participation	Yes	No
5. Did grantee's public notice for the public hearing state the following would be discussed?		
• amount of funds available for community development and housing needs,		
• range of eligible activities and estimated amounts for activities that will benefit low to moderate income persons,		
• applicant's plans for minimizing displacement and the provision of benefits should displacement occur, and		
• information of the applicant's past CDBG performance.		
6. Did the notice encourage citizens, particularly those of low/mod income and residents of slum/blight areas to submit their views on community development and housing needs?		
7. Did the notice state that accommodations would be provided for non-English speaking and disabled individuals?		
8. Were five calendar days allowed for notification of the public hearing?		
11. Was the second public notice published:		
• after the first public hearing was held		
• after all forms in the application were dated		
• prior to application submittal?		
12. Was the second public notice published a minimum of 7 calendar days prior to application submittal?		
13. Was the following information included in the grantee's second public notice?		
• proposed objectives		
• proposed activities		
• location of proposed activities		
• activity amounts		
• application submittal date		
• the opportunity to comment on the application & place and time to review		

Civil Rights

RE Section 504 compliance FY 2006 - FY 2009:

Grantee was required to submit "Summary of Previous Actions Taken" for review as a condition of the contract. So, Questions 1 - 5 should have been reviewed prior to on-site monitoring.

		Yes	No	N/A
14, 23	Did advertisement for bids call bidders attention to the following:			
	• Section 3			
	• E. O. 11246			
	• Segregated Facility			
19-24, 27-30.	Is grantee's grant award more than $200,000?			
32.	Is this grants' program year 2006, 2007, 2008 or 2009?			

Environmental

	Yes	No	N/A
1. Were all activities exempt from the environmental review process?			
3. Did the Historic Preservation Officer request additional information before or during construction?			
4. Was a 'Statutory Checklist Completion Form' completed for each home selected for rehabilitation?			
~ If ***Yes***, were copies sent to OCD?			

Financial

	Yes	No	N/A
5. Are there any delinquent financial reports?			
6. Does grantee have more than one open CDBG grant?			
9. Date 1st administration invoice _____ Period covered: _____			
Date 1st construction invoice: _____ Period covered: _____			
10. Were there internal control findings relevant to the program in the recent audit?			

Labor Standards

(***Tip***: Consider visiting the site first and do the checklist last.)

	Yes	No	N/A
1. Did grantee have prior approval from OCD to use Force Account?			

	Prime Contractor 1	Prime Contractor 2	Prime Contractor 3
Contractor			
Bid Opening Date			
Date of Eligibility			
Date of Contract Award			
Lock-In Date			
Total Contract Award			
Work Description			
A. Decision Type			
Effective Decision #			
Effective Mod #			
Effective Issue Date			
B. Decision Type			
Effective Decision #			
Effective Mod #			
Issue Date			

	P.C. 1	P.C. 2	P.C.3
27. Did advertisement for bids call bidders attention to the conditions of employment and minimum wages? (Answer: Yes, No or N/A)			
29. Did the local government receive a fully executed Verification of Wage Decision and Contractor Eligibility form from OCD prior to the award of the construction contract? (Answer: Yes, No or N/A)			
31. Was the "Notice of Contract Award" sent to OCD? (Answer: Yes, No or N/A)			
32. Was the Notice of Contract Award received by OCD within 30 days of the award date? (Answer: Yes, No or N/A)			
33. Was the construction contract awarded more than 90 days after the bid opening? (Answer: Yes, No or N/A)			

No Yes

Procurement

3. Were grant funds used for all or part of a professional service contract(s)? ***Yes*** ___ ***No*** ___

(If ***Yes***, continue.)

4. Consulting Fees OCD allowed for;
   - pre-agreement: $
   - administration: $

Engineering Fees OCD allowed for;
- pre-agreement: $
- basic engineering: $
- inspection: $
- topo survey: $
- property survey: $
- testing: $
- construction staking: $
- other: _____ $

12. Amount grantee awarded for general admin: $

Enter bid ad publication dates for each prime contractor:

Prime 1: _____
Prime 2: _____
Prime 3: _____

(answer: ***Yes***, ***No*** or ***N/A***)

13. Did DHH review/approve plans/specs for the sewer/water project? _____
    ~ If ***Yes***, is DHH's letter dated prior to start of construction? _____

(answer: ***Yes***, ***No*** or ***N/A***)

	Prime Contractors: 1	2	3
16. Was ad for bids published once a week for 3 weeks according to State Bid Law?			
17. Did advertisement for bids include time/place of bid opening?			
23. ~ Did grantee send OCD the itemized bid tabulation? [required beginning FY'06]			

29. a. Identify resident inspector: _____
    b. Was inspector's Qualification Certificate sent to OCD prior to construction? _____

National Objective	Yes	No	N/A
1. Did the grant provide hook-ups or service line repairs to L/M families?			
Program Performance-Administration			
2. Budget changes greater than 10% or program changes that delete, add or change an approved activity require prior written approval. Was a Request for Program Amendment submitted?			
~ If Yes, was the Program Amendment approved?			
3. Is the program progressing in accordance with the time schedule?			

Record Keeping	Yes	No
3. Does the grantee have another on-going grant, conditionally closed grant or grant that received a final closeout in the last four years?		

Consultant Interview

Physical address of city hall or parish courthouse:	
Was exempt acquisition involved?	
Number of parcels acquired:	
Any site or activity change since original ERR?	
~ If yes above, was the ERR amended?	
How many subcontractors?	
How far do we have to travel to see the project?	
Is there current proof of bonding?	

Comments / Description of Project / etc.:

Project Description:

Program Amendment(s):

Budget Revision(s):

Change Order(s):

Acquisition of Property (Part 1)

Acquisition of Property (*Part 1*) May 2012

Grantee: _____ Contract #: _____ FY: _____ Type: _____

Reviewer: _____ LGR: _____ Date: _____

	Yes	No	N/A
1. Did application include acquisition by purchase or donation or lease?			
~ If ***Yes***, was the acquisition process started after grant award?			
~ If ***No***, should the application have included acquisition?			
2. If property was acquired for the project prior to the application, should			

Comments: _____

3. Was documentation of ownership or maintenance on file for grantee owned property or servitude acquired under R.S. 9:1253? [i.e., recorded plat map, title, attorney's statement]

Attorney's Name: _____

Documentation: _____ | | | |

Date of Documentation: _____

Comments: _____

Exempt Acquisition

[land acquired from another public agency, temporary construction servitude/easement, voluntary acquisition, leases less than 15 yrs.]

3. Was exempt acquisition involved? _____

~ If ***Yes***, identify type of exempt acquisition under A., B., C., and/or D. below.

A. **Acquisition from another public agency?** | | | |

1) Identify other public agency: _____

2) Identify documentation; i.e., title, map, transfer, deed. _____

Comments: _____

B. **Temporary Construction Servitudes or Easements?** | | | |

[OCD recommends this]

1) Is there a signed agreement from all property owners? | | | |

2) Does it include provisions for the contractor to survey, layout and construct the service connections? | | | |

Comments: _____

C. **Leases?** | | | |

If long-term lease, is it for a term of less than 15 years including options to extend?

[Uniform Act applies if lease is 15 years or longer; 14.99 years with an option to renew.]

| | | |

[An executed lease must have had prior review from OCD.]

Comments: _____

Acquisition (*Part 1*) Page 1 of 2

		Yes	No	N/A
D.	**Voluntary acquisition?**	____	____	____
	1) Is there an adopted Voluntary Acquisition Policy?	____	____	____
	2) Was a public solicitation notice published in the local newspaper prior to any voluntary acquisition activity?	____	____	____
	~ If ***Yes***, did the notice explain or were the owners advised that unless the local governing body and the property owners agree on the terms and conditions of the sale, the property could not otherwise be acquired?	____	____	____
	~ If ***No***, how was notification achieved? _____			
	3) Were there at least two properties in the community which met the criteria established for the property to be acquired?	____	____	____
	~ If ***No***, then the Voluntary Acquisition process cannot be completed. Did this occur?	____	____	____
	~ If ***Yes***, why wasn't the Uniform Act followed? _____			
	4) How many parcels were acquired using the Voluntary Acquisition process? _____			
	5) List owners involved: _____			
	6) Did an appraisal establish fair market value?	____	____	____
	~ If ***No***, was the fair market value of the property established by a person familiar with real estate values in the community?	____	____	____

Comments / Recommended Corrective Action: _____

Acquisition of Property (Part 2)

Acquisition of Property (*Part 2*) May 2012

Grantee: _____ Contract #: _____ FY: _____ Type: _____

Reviewer: _____ LGR: _____ Date: _____

1. Address of property acquired _____

2. Use of property prior to the beginning of the acquisition process.

   ___ single family residential ___ industrial ___ non-profit organization ___ multi-family residential
   ___ commercial ___ other [identify] _____

3. Owners (Indicate whether occupant). _____

4. Tenants. _____

5. Current address and home and business telephone numbers of owners(s) to be interviewed.
   (Interviews should be conducted if review finds there may be some impropriety with the acquisition process.)

   _____

   _____

   _____

6. Significant dates. (Reviewer must determine that event actually occurred and was in compliance with HUD regulations. Reviewer must review the timing of these events and the reasons for any delays in order to determine if the owner was caused an unnecessary hardship that would warrant negative findings.)

   a. Date of Determination to Acquire: (Date of LCDBG Application). _____

   b. Date of "Notice of Intent to Acquire": _____

   c. When a Public Agency Acquired Your Property. Date grantee provided owner with the notice of land acquisition procedures? (usually the same date as b. above) _____

Appraisal Process

7. Was an appraisal required? ***Yes*** ___ ***No*** ___

   ~ If **No**, explain why an appraisal was not required. (i.e., if the value of property was less than $10,000; voluntary acquisition; etc.)

   _____

   _____

   ~ If an appraisal was not conducted because the property was valued at less than $10,000, list the documentation used to determine the fair market value of the property.

   _____

   _____

   _____

Acquisition (*Part 2*) Page 1 of 3

~ If ***Yes***,

a. If requested by owner, did the grantee obtain an appraisal?

Yes ___ ***No*** ___ ***Amt.*** _____ ***Date*** _____

> If ***Yes***, continue.

b. Was a review appraisal conducted? ***Yes*** ___ ***No*** ___ ***Amt.*** _____ ***Date*** _____

c. Does the appraisal and review appraisal disregard the influence of the project on the fair market value? ***Yes*** ___ ***No*** ___

d. Do you find the amount determined to be just compensation an acceptable conclusion of the fair market value of the property? ***Yes*** ___ ***No*** ___

e. Was the amount determined to be just compensation less than the grantee's approved appraisal of the fair market value of the property?

Yes ___ ***No*** ___ ***Amt.*** _____ ***Date*** _____

~ If ***Yes***, explain._____

_____

f. Were the owners invited to accompany the appraisers on their inspection of the property? ***Yes*** ___ ***No*** ___

Act of Sale/Donation/Condemnation/Quick Take

8. a. Purchase Offer. Prior to any bargaining, did grantee furnish owner a firm written offer stating all basic terms and conditions to purchase his property at the full amount determined to be just compensation?

Yes ___ ***No*** ___ ***Date*** _____

b. Date owner accepts offer to donate, or rejects offer. _____

~ If donated, was the donation process carried out in a proper manner? ***Yes*** ___ ***No*** ___

> If **No**, randomly pick 2 donations. Call and ask how the process was handled.

~ Did the owners indicate they felt pressured into waiving their right to just compensation? ***Yes*** ___ ***No*** ___

> If ***Yes***, explain. _____

_____

c. Date final contract entered into: (all parties) _____

d. Date condemnation proceedings initiated, if applicable: _____

e. Date Quick Take proceedings initiated, if applicable: _____

f. Date estimated just compensation deposited with court: _____

g. Date title vested in agency: _____

h. Date 90-day notice to vacate property: _____

i. Summary Statement. Did the grantee provide the owner with a "Statement of the Basis for the Determination of Just Compensation" at the time the grantee furnished the owner with the written purchase offer? (Section 301 (3)) ***Yes*** ___ ***No*** ___

j. Payment of Just Compensation. Did the owner receive the amount determined to be just compensation for his property? (Section 301) ***Yes*** ___ ***No*** ___

k. Settlement Costs. Has grantee paid all settlement costs as required? (Sect. 303) ***Yes*** ___ ***No*** ___

9. General Acquisition Process. Based on the available evidence, did the grantee carry out the acquisition process in a manner that minimized hardships to the owners, and was the grantee consistent with its' treatment of other owners? (Section 301)

Yes ___ ***No*** ___

Comments / Recommended Corrective Action: _____

_____

_____

_____

_____

_____

_____

Anti-Displacement (Part 1)/National Objectives

Anti-displacement (Part 1) May, 2012

Grantee:_____ Contract #:_____ FY:_____ Type:_____
Reviewer:_____ LGR:_____ Date:_____

	Yes	No	N/A
1. Is there a Residential Anti-displacement and Relocation file?	____	____	____
~ If ***Yes***, does it contain the following information?			
a. Residential Anti-displacement and Relocation Plan	____	____	____
b. resolution adopting the Plan	____	____	____
c. Residential Anti-displacement/Relocation Certification	____	____	____
d. if applicable, regulations, information booklets, relocation claim forms	____	____	____
2. Does the Plan identify a person who is responsible for displacement and relocation compliance?	____	____	____
~ If ***Yes***, identify: _____			
3. Was a person or business displaced as a result of this program?	____	____	____
~ **If Yes,** was the acquisition subject to the Uniform Act?	____	____	____
~ **If Yes, complete the Anti-displacement Checklist (Part 2).**			
~ **If Yes, complete the Residential Relocation/Displacement Checklist (Part 2).**			

Comments / Recommended Corrective Action: _____

_____

Compliance with National Objectives May, 2012

Grantee:_____ Contract #:_____ FY:_____ Type:_____

Activity(ies):	National Objective(s)*:	Verification:
_____	_____	_____
_____	_____	_____
_____	_____	_____
_____	_____	_____

Comments / Recommended Corrective Actic_____

_____

* LMA = principal benefit to low-to-moderate income persons
LMC = principal benefit to low-to-moderate income clientele
S/B = prevention/elimination of slum and blight
U/N = urgent need
N/A = not applicable

Anti-displacement / Compliance w /National Objectives Page 1 of 1

Citizen Participation

Citizen Participation	May, 2012

Grantee: _____ Contract #: _____ FY: _____ Type: _____
Reviewer: _____ LGR: _____ Date: _____

	Yes	No
1. Does grantee have an adopted Citizen Participation Plan?	_____	_____
~ If ***Yes***, was the plan adopted prior to the first public hearing?	_____	_____
~ If ***No***, was it prepared before hearing but adopted after hearing w/o changes?	_____	_____
2. Does the plan...		
• provide citizens with reasonable access to local meetings, information concerning the State's method of distributing funds and the use of funds under Title I?	_____	_____
• provide for LCDBG-related public hearings to obtain views on the development of needs, the review of proposed activities and the review of program performance?	_____	_____
• provide for and encourages participation, particularly persons of low/mod income residing in blighted areas and/or in areas where CDBG funds will be used?	_____	_____
• provide TA to facilitate participation where requested?	_____	_____
• address accommodations at hearings for non-English speaking persons?	_____	_____
• address accommodations at public hearings for persons with disabilities?	_____	_____
• provide for public hearings to obtain views concerning program amendments?	_____	_____
~ Was a program amendment requested and approved?	_____	_____
~ If ***YES***, was a public hearing conducted prior to the request?	_____	_____
• provide for a public hearing on performance at closeout?	_____	_____
3. Does the Citizen Participation Plan include a complaint procedure?	_____	_____
~ If ***Yes***, does the complaint procedure identify;		
• how a citizen should file a complaint?	_____	_____
• the manner in which a complaint is processed?	_____	_____
• a response time to the complainant - maximum of 15 working days?	_____	_____
4. If any complaints were filed, was the procedure followed?	_____	_____

Comments: _____

5. Did first public notice for the public hearing state the following would be discussed?		
• amount of funds available for community development and housing needs	_____	_____
• the range of eligible activities and the estimated amounts for activities that will benefit low/mod income persons	_____	_____
• the applicant's plans for minimizing displacement and the provision of benefits should displacement occur	_____	_____
• information of the applicant's past LCDBG performance	_____	_____
6. Did the notice encourage citizens, particularly those of low/mod income & residents of slum/blight areas to submit their views on community development and housing needs?	_____	_____
7. Did the notice state accommodations would be provided for non-English speaking and disabled individuals?	_____	_____
8. Were five calendar days allowed for notification of the public hearing?	_____	_____

	Yes	No
9. Is there a roster of those in attendance of the public hearing?	_____	_____
10. Are there minutes of the public hearing?	_____	_____
~ If **Yes**, do they state the items in #5 above were discussed? (Reference to items is not necessary if no one was in attendance.)	_____	_____
11. Was the second public notice published:		
• After the first public hearing was held?	_____	_____
• After all forms in the application were dated?	_____	_____
• Prior to application submittal?	_____	_____
12. Was the second public notice published a minimum of 7 calendar days prior to application submittal?	_____	_____
13. Was the following information included in the grantee's second public notice?		
• proposed objectives	_____	_____
• proposed activities	_____	_____
• location of proposed activities	_____	_____
• activity amounts	_____	_____
• application submittal date	_____	_____
• the opportunity to comment on the application and the place and time to review the application	_____	_____

Comments / Recommended Corrective Action: _____

_____

_____

_____

_____

_____

_____

Civil Rights

Civil Rights	September 1, 2012

Grantee: _____ Contract #: _____ FY: _____ Type: _____
Reviewer: _____ LGR: _____ Date: _____

Section 504 [Review of Section 504 Summary nos. 1-5 applicable through FY 2005 and from FY 2010 forward.]

Summary of Previous Actions Taken

	Yes	No	N/A
1. Has the grantee prepared a "Summary of Previous Actions Taken"?			
a. Does it identify when the grantee conducted its Self-Evaluation?			
b. According to the "Summary", did the Self-Evaluation address:			
⇨ Physical Accessibility			
⇨ Communications			
⇨ Employment			
c. Is a copy of the grantees' "Summary of Previous Actions Taken" on file?			

Physical Accessibility

2. According to the "Summary of Previous Actions Taken", …			
a. did Self-Evaluation identify all non-housing facilities owned by grantee?			
b. were facilities identified as "new" and "existing"? ("existing" means constructed, altered or designed before July 11, 1988; "new" means after this date.)			
c. did the Self-Evaluation identify any physical barriers that impede accessibility to any programs or activities? ~ If ***Yes***, continue.			
d. did the grantee make physical alterations to provide for accessibility?			
e. were all physical barriers identified in the Self-Evaluation removed? ~ If ***No***, continue.			

	Yes	No	N/A
3. For "existing" facilities with continuing physical barriers, according to the "Summary of Previous Actions",			
a. have new policies or practices been adopted or existing ones modified or revised in order to achieve accessibility such as relocation, home visits, selective alterations? (24 CFR 8.21(2))			
b. has community's adopted policies and/or practices been modified to achieve accessibility for all physical barriers identified? ~ If ***No***, continue.			
c. has grantee determined that making facility accessible and usable by individuals with handicaps would impose either an undue financial and administrative burden, or demonstrated that it would result in a fundamental alteration in the nature of the program or activity? (24 CFR 8.21 (b)(I)(ii))			
d. did the grantee identify any facilities as "new"? ~ If ***Yes***, continue.			
e. did the grantee identify all "new" facilities as accessible? ~ If ***No***, inaccessibility must be addressed in **Transition Plan** below.			

Communications

4. According to the "Summary of Previous Actions Taken", …			
a. did the Self-Evaluation identify any impediments to communications accessibility? ~ If ***Yes***, continue.			
b. did the grantee adopt policies to remedy impediments?			

	Yes	No	N/A

Employment

5. According to the "Summary of Previous Actions Taken", …
   a. did the Self-Evaluation identify any practices discriminatory towards disabled persons? (i.e., advertising, tests, selection criteria, job assignment, (_____ _____ _____
      ~ If ***Yes***, continue.
   b. did the grantee adopt policies to remedy impediments? _____ _____ _____

Current Policies

6. a. does grantee use the LA Relay System, and if so, is it advertised? _____ _____ _____
   b. does grantee operate a 24 hour emergency service? ~ If ***Yes***, continue. _____ _____ _____
   c. does grantee have a functioning TDD? _____ _____ _____
   d. does grantee have any disabled employees? ~ If ***Yes***, continue. _____ _____ _____
   e. are reasonable accommodations made for a qualified applicant or employee with a disability? (restructuring/relocating job, modifying schedule, acquiring or modifying equipment, providing reader/interpreter. This can be a policy statement). _____ _____ _____
   f. Based on your observations of the grantee's facilities, are there any obvious areas of non-compliance? _____ _____ _____

Other Section 504 Requirements, as applicable

If grantee has less than 15 employees,go to 'Transition Plan'. Otherwise continue.

7. a. Has grantee designated a Section 504 coordinator? _____ _____ _____
   b. Adopted a grievance procedure for complaints alleging prohibited actions? _____ _____ _____
      (File should include the grievance procedure and resolution adopting it.)
   c. Complied with notice in Section 504 handbook which states that grantee "does not discriminate against participants, beneficiaries, applicants, employees or unions or organizations with whom they have collective bargaining agreements, in admission or access to or treatment or employment treatment or employment in its federally assisted programs or activities" ? _____ _____ _____

      i. If ***Yes***, was the initial notice made within 90 days of reciept of the executed contract and once a year thereafter? _____ _____ _____
      ii. If ***Yes***, does notice list the Section 504 coordinator? _____ _____ _____
      iii. Note method grantee used to make notification. _____

Grantee's Transition Plan (Subsequent to Evaluation & original Transition Plan)

8. Has grantee acquired an "existing" facility constructed prior to 1988 that is not accessible and will renovate prior to occupying it? **OR,** _____ _____ _____
   Has the U.S. Justice Dept. required the grantee to make a facility physically accessible? _____ _____ _____
   ~ If ***Yes***, continue.

	Yes	No	N/A
9. Has a plan been developed listing all steps needed to complete the changes?	____	____	____
~ If ***Yes***,			
a. Does the plan identify a compliance officer?	____	____	____
b. Does it list handicap resources used in writing the plan?	____	____	____
c. Does the plan identify all impediments?	____	____	____
d. Does it describe how all facilities will be made accessible?	____	____	____
e. Is there a time schedule for rectifying all impediments?	____	____	____
Note time period - _____			
i. Are the renovations on schedule?	____	____	____
ii. If ***No***, should the time schedule be revised?	____	____	____

Comments / Recommended Corrective Action: _____

_____

Equal Employment Opportunity

10. Are EEO guidelines followed or EEO language included in ads for vacancies?	____	____	____
11. Are EEO posters posted or is an EEO slogan printed on grantee's stationary?	____	____	____
12. Is employment data maintained? (EEO-4 form if grantee has 100 or more employees; Workforce Analysis in handbook)	____	____	____
13. Has grantee been cited by a state or federal agency for EEO non-compliance or discrimination in hiring?	____	____	____
14. Did the advertisement for bids for construction call bidders' attention to:			
• E/O 11246	____	____	____
• Segregated Facilities	____	____	____
15. Did bid/contract documents contain:			
• E/O provisions for contracts not subject to E/O 11246 ($10,000 & under)	____	____	____
• E/O provisions for contract subject to E/O 11246 (above $10,000) (must have goals for minority and female participation)	____	____	____
• Certification of Non-Segregated Facilities clause (above $10,000)	____	____	____
16. Did contractor(s) sign the Equal Opportunity certification? (applicable through FY2005)	____	____	____
17. Did subcontractor(s) sign the Equal Opportunity Certification? (applicable through FY2005)	____	____	____

Minority Business Enterprise (MBE)

18. Did grantee encourage and/or achieve MBE participation? (Methods: SBA, newspaper ads, direct solicitation, divided project into smaller contracts, etc.)	____	____	____

~ If ***No***, explain.

_____

_____

Section 3

Section 3 goals:
- new hires - 30%
- contracting with Section 3 professional services contractors - 3%
- contracting with Section 3 construction contractors - 10%

[If grant is less than $200,000, Section 3 requirements do not apply.]

		Yes	*No*	*N/A*
19.	Is grantee maintaining a certification file for Section 3 employees and businesses? (Beginning with FY 2010 grantees.)	____	____	____
20.	Did grantee hire employees to work on this project?	____	____	____
	~ If ***Yes***, what percentage were Section 3 residents? _____ %			
21.	Did grantee enter into construction contracts over $100,000?	____	____	____
	~ If ***Yes***, did grantee meet the 10% contracting goal?	____	____	____
22.	Was the 3% contracting goal met for professional services? impediments and efforts taken by grantee to comply.	____	____	____

(Beginning with FY 2010 grantees, advertisement in newspaper alone is not sufficient for compliance.)

_____

23.	Did the advertisement for bids for construction call bidders' attention to	____	____	____
24.	Did bid/contract document contain the Section 3 Compliance for Training,	____	____	____

*(answer: **Yes**, **No** or **N/A**)*

	Prime Contractors/Subcontractors:	***1***	***2***	***3***
25.	Contractor(s) 'Section 3' Documents [applicable for contracts over $100,000]			
	a. Was a complete 'Section 3' plan prepared including Tables A & B?	____	____	____
	b. Section 3 Certification [applicable beginning FY 2006]	____	____	____
	c. Section 3 and Segregated Facilities Certification [through FY 2005]	____	____	____
26.	Subcontractor(s) 'Section 3' Documents			
	a. Section 3 and Segregated Facilities Certification [required by all subs]	____	____	____
	b. Section 3 Plan including Tables A & B [for contracts over $100,000]	____	____	____
27.	Did the prime contractor(s) have any new hires?	____	____	____
	~ If ***Yes***, did the contractor(s) meet the 30% goal?	____	____	____
28.	Did the subcontractor(s) have any new hires?	____	____	____
	~ If ***Yes***, did the subcontractor(s) meet the 30% goal?	____	____	____

29. If hiring goals were not met, list impediments and efforts taken by contractors and subcontractors to comply.
(Beginning with FY 2010 grantees, advertisement in newspaper alone is not sufficient for compliance.)

_____

	Yes	No	N/A
30. Was a complaint made to HUD by a Section 3 resident or business that challenged non-compliance with Section 3 on the part of the grantee, prime or sub?	____	____	____
~ If ***Yes***, explain. _____			
a. What is the status of the complaint? _____			
b. Was there a finding of non-compliance?	____	____	____

Fair Housing

31. Identify actions taken or scheduled to be taken to further fair housing during this project/contract period.

_____

_____

_____

[Question # 32 applicable through FY 2005, and FY 2010 forward]	Yes	No	N/A
32. **FAIR HOUSING ASSESSMENT:**			
a. Did the grantee complete the assessment within its jurisdiction?	____	____	____
b. Is the assessment complete and are the responses reasonable?	____	____	____
c. Do all "N/A's" have an explanation or are confirmed by the numbers in Part I of the assessment?	____	____	____
d. Does Part II of the assessment indicate the contact or source of information and describe the policies and/or practices?	____	____	____
e. Did the assessment identify any impediments?	____	____	____
f. Is Part III marked "N/A" only in the case of Part II being marked "N/A" or "None"?	____	____	____
g. Has grantee taken steps to remedy impediments?	____	____	____
h. Has the assessment been signed by the Preparer and the CEO?	____	____	____
i. Do grantees' records maintain the assessment and actions taken?	____	____	____
33. Have any fair housing complaints been recorded?	____	____	____
~ If ***Yes***, explain. _____			
a. Was complaint sent to HUD if discrimination was alleged?	____	____	____
b. Did grantee notify complainant of HUD's involvement?	____	____	____
c. What is the status of the complaint? _____			

Comments / Recommended Corrective Action: _____

_____

_____

_____

_____

Environmental

Environmental	May, 2012

Grantee: _____ Contract #: _____ FY: _____ Type: _____

Reviewer: _____ LGR: _____ Date: _____

	Yes	No	N/A
1. Were all activities exempt from the environmental review process?	____	____	____
~ If ***No***, complete remainder of checklist.			
2. Has an activity or project site changed since review of the ERR and/or grant (*View Site)*	____	____	____
~ If ***Yes***, was the ERR amended and sent to OCD for review?	____	____	____
~ If ***Not***, note the date an amended ERR will be submitted: _____			
3. Did the Historic Preservation Officer request additional information before or during construction?	____	____	____
~ If ***Yes***, is there documentation to show compliance?	____	____	____
4. Was a 'Statutory Checklist Completion Form' completed for each home selected for rehabilitation?	____	____	____
~ If ***Yes***, were copies sent to OCD?	____	____	____

Comments / Recommended Corrective Action: _____

_____

_____

_____

Financial Management

Financial Management	May 2012

Grantee: _____ Contract #: _____ FY: _____ Type: _____
Reviewer: _____ LGR: _____ Date: _____

Financial Reporting

Reference: 24 CFR 85.20 (b)(1)

	Yes	No	N/A
1. Does grantee have adequate financial records? [Statement of Revenues, Expenditures & Changes in Fund Balance and Balance Sheet or General Ledger]			
2. Are the YTD financial records reasonably current?			
3. Are the financial records accurate?			
4. Are the records prepared on an accrual basis? ~ If ***No***, make an Area of Concern.			
5. Are there any delinquent annual financial reports?			
6. Does grantee have more than one open LCDBG grant?			
~ If ***Yes***, are they accounted for separately?			
7. Has program income been received?			
~ If ***Yes***, has it been returned to the State?			

Comments / Recommended Corrective Action: _____

Accounting Records

Reference: 24 CFR 85.20 (b)(2)

	Yes	No	N/A
8. Does grantee properly maintain program records? [contract, authorization to incur costs, program amendments, budget revisions, etc.]			

9.

Authorizations and Awards	Dates
Authorization to Incur Costs letter:	
First administrative invoice:	
Period covered:	
Release of Funds letter:	
First construction invoice:	
Period covered:	

Was there evidence costs (other than approved pre-agreement costs) were being incurred prior to the Authorization to Incur Costs letter?			

Comments / Recommended Corrective Action: _____

Internal Controls Reference: 24 CFR 85.20 (b)(3)

	Yes	No	N/A
10. Were there internal control findings relevant to the CDBG program in the most recent audit?			
11. Does the internal control structure support the representations made in the financial management questionnaire?			
▪ approval of invoices			
▪ recording of LCDBG financial transactions			
▪ signing of the checks			
12. Are there two signatures on the checks?			
13. Are checks pre-signed?			
14. Are all employees handling financial transactions bonded?			

Comments / Recommended Corrective Action: _____

Budget Control Reference: 24 CFR 85.20 (b)(4)

Budgeted Activities	Original Budget	Current (REVISED) Budget	Expenditures to Date

	Amount Drawndown	RFP#	Revenue Reported
FYE:			
FYE:			
FYE:			
FYTD:			

Ledger Cash Balance	Date	Bank Statement Cash Balance	Date

15. Are there any discrepancies in the reporting of revenues and expenditures and the approved budget?			

Comments / Recommended Corrective Action: _____

Allowable Costs Reference: 24 CFR 85.20 (b)(5)

	Yes	No	N/A
16. Were purchases of supplies and leasing of equipment justified according to A-87 regulations?			

Comments / Recommended Corrective Action: _____

Source Documentation Reference: 24 CFR 85.20 (b)(6)

	Yes	No	N/A
17. Are accounting records [journal entries] supported by adequate source documentation? [cancelled checks, invoices, contracts]			
18. Was employee time charged to the LCDBG Program adequately documented with time sheets and/or other source documents?			
~ If ***Yes***, are the transactions regarding employee time recorded properly in the accounting records?			

Comments / Recommended Corrective Action: _____

Cash Management Reference: 24 CFR 85.20 (b)(7)

	Yes	No	N/A
19. Are LCDBG funds deposited in a non-interest bearing account?			
20. Are all checks pre-printed and pre-numbered?			
21. Are 'other' funds deposited in the LCDBG account?			
22. Are bank statements reconciled upon receipt?			
23. Is there evidence of a violation of the '3-day rule'?			

	Date Rec'd	Check #	Dollar Amt.	Check Written	Check Cleared *
RFP#:					
RFP#:					
RFP#:					

* If more than *30 days* has lapsed, a written explanation must be requested in writing.

24. Financial Institution: _____ Account Number: _____

25. Last cash disbursement: Check # _____ Date _____ Amount _____

Payment made to: _____

Comments / Recommended Corrective Action: _____

_____

_____

_____

	Yes	No	N/A
26. Were the grantee's accounting records and financial practices sufficient to:			
a. permit the preparation of required financial reports? (24CFR 85.20(a)(1)) **and / or**	____	____	____
b. permit the tracing of LCDBG funds to establish that such funds have not been used in violation of the restrictions & prohibitions of applicable statutes and regulations? (24CFR 85.20 (a)(2))	____	____	____

What are the specific problems? _____

_____

If ***No***, inform grantee funds cannot be requested or disbursed until deficiencies are corrected.

Comments / Recommended Corrective Action: _____

_____

_____

_____

_____

_____

_____

Labor Standards

Labor Standards	September, 2012

Grantee: _____ Contract #: _____ FY: _____ Type: _____
Reviewer: _____ LGR: _____ Date: _____

Force Account

	Yes	No	N/A
1. Did grantee have prior written approval from OCD to use 'Force Account"?			
~ If ***Yes***, did grantee follow the "LCDBG Guidelines for 'Force Account'? *[Refer to the guidelines to review.]*			

~ If ***No***, complete the following:

	Prime Contractor 1	Prime Contractor 2	Prime Contractor 3
Contractor			
Bid Opening Date			
Date of Eligibility			
Date of Contract Award			
Lock-In Date			
Total Contract Award			
Work Description			
A. Decision Type			
Effective Decision #			
Effective Mod #			
Effective Issue Date			
B. Decision Type			
Effective Decision #			
Effective Mod #			
Effective Issue Date			

	Prime 1 Interviews	Prime 2 Interviews	Prime 3 Interviews
Employee Interviews List Worker Classifications and Rates as Determined by Employee Interviews			

Name of Sub(s)	4	5
Employee Interviews		

Name of Sub(s)	6	7
Employee Interviews		

Labor Standards Page 1 of 4

Primes and Subs *(from page one)*	1	2	3	4	5	6	7
2. Were interviews completed? (as defined on page 4)	____	____	____	____	____	____	____
3. Were weekly payrolls submitted and properly reviewed?	____	____	____	____	____	____	____
4. Did a company owner/officer or a person with written authorization sign the payrolls?	____	____	____	____	____	____	____

5. Did inspection reports provide the basic elements needed to verify Davis-Bacon; i.e., a description of work performed, worker classifications, equipment on jobsite? Yes _____ No _____

6. Did the wage decision(s) have all job classifications needed by each contractor based on factors such as inspection reports, project type, site visits, etc. ?

	1	2	3	4	5	6	7
Yes / No	____	____	____	____	____	____	____

7. Were proper additional classifications requested?

	1	2	3	4	5	6	7
	____	____	____	____	____	____	____

8. Did the payrolls (or corrected payrolls) properly classify workers?

	1	2	3	4	5	6	7
	____	____	____	____	____	____	____

9. Did the wage decision(s) require fringes for any classification used by each contractor?

	1	2	3	4	5	6	7
No / Yes	____	____	____	____	____	____	____

10. If fringes were required, did the contractor check Box 4-b indicating payment in cash?

	1	2	3	4	5	6	7
Yes / No	____	____	____	____	____	____	____

11. Did Box 4-a indicate fringe benefit payment(s) into an approved plan?

	1	2	3	4	5	6	7
No / Yes	____	____	____	____	____	____	____

[When answering #12 below, allow credit for no more than the fringe amount listed on the wage decision unless a schedule of fringe benefit payments indicates a higher amount(s).]

12. Is there any reason to further investigate "Box 4-a" fringe payments?

	1	2	3	4	5	6	7
Yes / No	____	____	____	____	____	____	____

13. Were Davis-Bacon compensation requirements met? (Without having to make restitution)

	1	2	3	4	5	6	7
Yes / No	____	____	____	____	____	____	____

Describe deficiency(ies): _____

_____

_____

_____

_____

Labor Standards Page 2 of 4

Primes and Subs *(from page one)*	1	2	3	4	5	6	7
14. Who detected the Davis-Bacon deficiency(ies)? _____							
15. Have Davis-Bacon restitution procedures been initiated and/or completed?	____	____	____	____	____	____	____
16. Was there any overtime? No Yes	____	____	____	____	____	____	____
17. Was there any deficiency in the calculation of overtime rates? No Yes	____	____	____	____	____	____	____
18. Describe the overtime deficiency(ies): _____							
19. Who detected the overtime deficiency(ies)? _____							
20. Have overtime restitution procedures been initiated and/or completed?	____	____	____	____	____	____	____
21. Have liquidated damages procedures been initiated and/or completed? (Applicable only to contracts over $100,000.00 under CWHSSA)	____	____	____	____	____	____	____

A Labor Standards Enforcement Report (LSER) is required during a project if restitution by a contractor exceeds $1,000.00. In contrast, the Final Wage Compliance Report (FWCP) is required at a later date with closeout documents after construction is complete and should include all restitution paid whether previously

22. Has the requirement for a LSER been triggered? No Yes	____	____	____	____	____	____	____
23. Has the process of submitting a LSER been initiated and/or completed?	____	____	____	____	____	____	____
24. Based on activity thus far, should the Final Wage Compliance Report reflect restitution? (If yes, inform the Consultant.)	____	____	____	____	____	____	____
25. Were there "other" deductions on the payroll reports? No Yes	____	____	____	____	____	____	____
26. If there were "other" deductions, were employee consent forms used?	____	____	____	____	____	____	____

Labor Standards Page 3 of 4

	Prime Contractors Only *(answer: Yes, No or N/A)*	**1**	**2**	**3**
27.	Did the advertisement for bids for construction call bidders attention to	____	____	____
28.	Did the bid/contract document contain the following:			
	● The proper federal wage decision(s) (By original inclusion in the bid document(s) or by addendum to the bid document(s))	____	____	____
	● The Federal Labor Standards Provisions	____	____	____
29.	Did the local government receive a fully executed Verification of Wage Decision and Contractor Eligibility form from OCD prior to the award of the construction contract? Yes No	____	____	____
30.	Does a resolution from the local government state that the award will be contingent on verification of wage decision and contractor eligibility?	____	____	____
31.	Was the "Notice of Contract Award" sent to OCD? No Yes	____	____	____
32.	Was the Notice of Contract Award rec'd by OCD within 30 days of the award date?	____	____	____
33.	Was the construction contract awarded more than 90 days after bid opening?	____	____	____
34.	Was the proper wage decision made a part of the construction contract?	____	____	____
35.	Were the Davis-Bacon and EEO posters accessible to workers?	____	____	____
36.	Was the Project Wage Rate Sheet or the Wage Decision, one of the two, accessible?	____	____	____

Employee Interviews

Interviews shall include employees of the following contractors:

All Prime Contractors and any subcontractor with a contract of $100,000 or more

Subcontractors with a large number of payroll problems with contracts of less than $100,000

Other subcontractors, not listed above, that are on the jobsite on the date of the above interviews

One person of each classification present on the interview date(s) and 50% of all laborers should be interviewed.

Comments / Recommended Corrective Action: _____

_____

Labor Standards Page 4 of 4

Procurement

Procurement	May, 2012

Grantee: _____ Contract #: _____ FY: _____ Type: _____

Reviewer: _____ LGR: _____ Date: _____

1. Did the grantee adopt the State's sample procurement policy? ***Yes*** ___ ***No*** ___

   ~ Date adopted: _____ *(If over 10 years ago, recommend they re-adopt.)*

2. Date contractor(s) cleared, if applicable: _____ (Consultant) _____ (Engineer) _____ (Other)

   ~ Is clearance date before contract date? ***Yes*** ___ ***No*** ___ ***Yes*** ___ ***No*** ___ ***Yes*** ___ ***No*** ___

3. Were grant funds used for all or part of a professional service contract(s)? ***Yes*** ___ ***No*** ___

   ~ If ***Yes***, complete Professional Service Contracts portion of checklist along with

PROFESSIONAL SERVICES CONTRACTS:

4. Identify all **professional services contracts** executed by grantee. Determine whether a line-item contract

		Contract Amount:	**OCD Approved Amount:**
a)	_____ Administrative Consultant	_____ *Pre-agreement*	_____ *Pre-agreement*
		_____ *Administration*	_____ *Administration*
		Contract Amount:	**OCD Approved Amount:**
b)	_____ Project Engineer	_____ *Pre-agreement*	_____ *Pre-agreement*
		_____ *Basic Engineering*	_____ *Basic Engineering*
		_____ *Inspections)*	_____ *Inspections*
		_____ *Topo Survey*	_____ *Topo Survey*
		_____ *Property Survey*	_____ *Property Survey*
		_____ *Testing*	_____ *Testing*
		_____ *Construction Staking*	_____ *Construction Staking*
		_____ *Other* _____	_____ *Other* _____

If applicable: If any one of the contract line-item amounts listed above exceeds the OCD approved amount, make sure the local government understands its obligation to pay the difference, and advise they amend their contract(s)

	Other Professional Service Contractors:	**Contract Amount:**
c)	Testing: _____	$ _____
	Appraiser: _____	$ _____
	Review Appraiser: _____	$ _____
	Legal: _____	$ _____
	Auditor: _____	$ _____

Review all Non-Competitive Negotiation contracts and a sample of the others.

(answer: *Yes*, *No* or *N/A*)	Consultant	Engineer	Other	Other
5. For the Small Purchase method, does the file have… (an option when fees are less than $100,000)				
• a minimum of 3 quotes rec'd by phone, fax or mail	_____		_____	_____
• documentation for basis of selection	_____		_____	_____
6. The Competitive Negotiation method.				
a. Using "**Requests for Proposals**", does the file have…				
• a copy of the Request for Proposal?	_____		_____	_____
• Was RFP published in nearest MSA newspaper?	_____		_____	_____
• copies of proposals received?	_____		_____	_____
• a written evaluation of each proposal received?	_____		_____	_____
• evidence costs were reviewed for reasonableness	_____		_____	_____
• evidence the selection process was thorough and uniform and the criteria & point system identified in the RFP was used to make the selection?	_____		_____	_____
b. Using "**Statements of Qualifications**", does the file have…				
• Was the request published in nearest MSA newspaper?		_____		
• copies of statements received?		_____		
• a written evaluation of each statement received?		_____		
• evidence costs were reviewed for reasonableness?		_____		
• evidence the selection process was thorough and uniform and the criteria & point system identified in the RFP Qualification Statements was used to make the selection?		_____		
7. For the **Non-competitive Negotiation** method, does the file have… (Applies to 2011 and prior year grants - used when procuring a planning				
• rationale for using this procurement method?	_____	_____	_____	_____
• justification for services provided?	_____	_____	_____	_____
• evidence costs were reviewed for reasonableness?	_____	_____	_____	_____
~ If method used for other services, had OCD approved?	_____	_____	_____	_____

(*answer*: *Yes*, *No* or *N/A*)	Consultant	Engineer	Other	Other
8. Does the contract include the following:				
• scope of services	_____	_____	_____	_____
• contract amount, with breakout of fees by services	_____	_____	_____	_____
• method of compensation	_____	_____	_____	_____
• contract date (*make note of*)	_____	_____	_____	_____
• Termination for Cause, and Convenience Clause	_____	_____	_____	_____
• Conflict of Interest Clause	_____	_____	_____	_____
• Access to Records Clause	_____	_____	_____	_____
• Retention of Records Clause	_____	_____	_____	_____
9. Was contract amended?	_____	_____	_____	_____

~ If ***Yes***, why? _____

10. Was contract(s) executed *(signed)* by all parties before work was initiated(including pre-agreement activities)?	_____	_____	_____	_____

~ If ***No***, document dates involved: _____

	Yes	No	N/A
11. Does consultant's contract stipulate 10% of contract amount will be held until program is conditionally closed?	____	____	____

12. Amount awarded grantee for general admin less pre-agreement: $ _____
(*Example* : $35,000 Admin total for consultant plus local government.)
~ Did grantee hold 5% for their administrative expenses? ____ ____ ____
[10% allowed through 2005.]

CONSTRUCTION CONTRACTS:

Contractor 1: _____ Contract Amount: _____

Contractor 2: _____ Contract Amount: _____

Contractor 3: _____ Contract Amount: _____

Sub-contractor 1: _____ Sub-contractor 2: _____

	Contractor 1	Contractor 2	Contractor 3
Bid Ad Dates			
Bid Opening Date			
Award Date			
Description of Work			

	(*answer*: ***Yes***, ***No*** or ***N/A***) **Contractors:**	**1**	**2**	**3**
13.	Did DHH review/approve plans/specs for the sewer/water project?			
	~ If ***Yes***, is DHH's letter dated prior to start of construction?			
14.	a. Is there a Certificate for Compliance with Minimum Standards for Accessibility by the Physically Handicapped?	____	____	____
	b. Has the State Fire Marshall issued a 'certificate of occupancy'?	____	____	____
15.	Will grantee transfer ownership of system to another entity?	____ **Yes**		____ **No**
	~ If ***Yes***, has an intergovernmental cooperative agreement been executed?	____ **Yes**		____ **No**
	(*answer*: ***Yes***, ***No*** or ***N/A***)			
16.	Was ad for bids published once a week for 3 weeks according to State Bid Law? (First ad must appear at least 25 days prior to bid opening.)	____	____	____
17.	Did advertisement for bids include time/place of bid opening?	____	____	____
18.	Was a bid guarantee equivalent to 5% of bid submitted by the lowest bidder? (bid bond, certified check)	____	____	____
19.	Did bid/contract document contain the following?			
	• Louisiana Uniform Public Work Bid Form [required beginning 08/09]	____	____	____
	• Certification of Compliance with Air and Water Acts [above $100,000]	____	____	____
	• Access to Records/Maintenance of Records Clause	____	____	____
	• Conflict of Interest Clause	____	____	____
	• Bonding and Insurance Requirements Clause	____	____	____
20.	If applicable, were copies of all addendum(da) sent to all bidders & OCD?	____	____	____

	Contractors:	1	2	3
21.	Were bid/contract documents reviewed by grantee's attorney? (not required, only suggested)	____	____	____
22.	Did the selected bidder provide a signed attestation document re: past criminal convictions & verification of employees? [required for projects that were let out for bid beginning Dec 2010]	____	____	____
23.	Were there minutes of the bid opening and a tabulation of bids?	____	____	____
	~ Did grantee send OCD the itemized bid tabulation? [required beginning FY'06]	____	____	____
24.	Was the contract awarded within the time frame established in State Bid Law? [**45 days**; time frame may be extended in 30-day increments by mutual consent.]	____	____	____
25.	Was the contract awarded to the lowest responsible bidder?	____	____	____
26.	Did the contract document include all items contained in the bid package and was it executed by the contractor?	____	____	____
27.	Is there a performance bond and a payment bond for the contract amount?	____	____	____
28.	Were the U.S. Treasury Dept. and the LA Insurance Commissioner's Office contacted regarding the surety company?	____	____	____
29.	a. Identify resident inspector: _____			
	b. Was inspector's Qualification Certificate sent to OCD prior to construction?	_____		
30.	Are inspection reports available for review?	____	____	____
	~ If ***Yes***, are they signed by the inspector identified above?	____	____	____
31.	Were change order(s) approved by OCD prior to execution by grantee?	____	____	____
32.	Was a copy of the executed change order with all necessary signatures submitted to OCD?	____	____	____
33.	Has there been a final inspection of work?	____	____	____
34.	Has the 'Certificate of Substantial Completion' been recorded?	____	____	____
35.	Has final payment been made to contractor less retainage?	____	____	____
36.	Has the 'Clear Lien Certificate' been issued?	____	____	____
37.	Has contractor been paid their retainage?	____	____	____

Comments / Recommended Corrective Action: _____

_____

_____

Program Performance-Administration/Recordkeeping

Program Performance-Administration May, 2012

Grantee: _____ Contract #: _____ FY: _____ Type: _____

Reviewer: _____ LGR: _____ Date: _____

Contract End Date: _____ Percent Drawn To- Date: _____

1. Were special assessments levied on property owners as a result of this project? (hook-up or tap-on fees) ____ ____ ____
2. Budget changes more than 10% or program changes that delete, add or change an activity require prior written approval. If applicable, was a Request for a Program Amendment submitted to OCD? ____ ____ ____
   ~ If Yes, was the Program Amendment approved? ____ ____ ____
3. Is a project sign prominently displayed at each target area of the project? ____ ____ ____
4. Is the program progressing in accordance with the current time schedule? ____ ____ ____
   ~ If ***No***, list the activity(ies) that is behind schedule and explain why.

   Activity: _____ Reason for delay: _____

   Activity: _____ Reason for delay: _____

5. Do you think the grantee can meet the current time schedule? ____ ____ ____
   ~ If ***No***, explain: _____
6. Was a revised schedule discussed? ____ ____ ____
7. Are there problems which could make the overall program infeasible? ____ ____ ____

Comments / Recommended Corrective Action: _____

Record Keeping May, 2012

Grantee: _____ Contract #: _____ FY: _____ Type: _____

		Yes	***No***
1.	Does the filing system follow the model provided in the grantee handbook?	____	____
2.	Was it difficult to find information or documentation during the review?	____	____

~ If ***Yes***, explain: _____

3.	Does grantee have another active grant, conditionally closed grant or grant that received a final closeout in the last four years?	____	____

~ If ***Yes***, view files and review past monitoring letters for repetitive deficiencies.

Comments / Recommended Corrective Action: _____

Program Performance-Administration / Record Keeping page 1 of 1

Exit Conference

Exit Conference	May, 2012

Grantee: _____ Contract #: _____ LGR: _____

Program Areas Reviewed	Identify Problems to be Corrected
Acquisition (05)	
Anti-displacement (14)	
Citizen Participation(13)	
Civil Rights: 504 / EO / MBE/Sec. 3/FH (04)	
Economic Development (14)	
Environmental (02)	
Financial Management (01)	
Housing Rehabilitation (07)	
Labor Standards (03)	
National Objective (10)	
Program Performance-Administration (09)	
Procurement (08)	
Record Keeping (12)	
Relocation (06)	

Exit Conference Page 1 of 1

Specialized Monitoring Checklists

1. Economic Development, Part 1
2. Economic Development, Part 2
3. Housing Rehabilitation, Part 1
4. Housing Rehabilitation, Part 2
5. Clearance/Demolition
6. Relocation, Part 1
7. Relocation, Part 2
8. Antidisplacement, Part 2

ECONOMIC DEVELOPMENT (part 1)

November, 1996

Grantee:_____ Contract #:_____ FY:_____

Reviewed By:_____ LGR:_____ Date:_____

Company Name: _____

Address: _____

Responsible Official: _____

Activity Description: _____

_____

_____

(JTPA participants are acceptable as low/moderate beneficiaries except those participants on the dislocated workers program.)

		Yes	No	N/A
1.	Date of last financial review _____ for the period ending _____ .			
	Number of reviews conducted to date: _____ .			
	Date of last annual statement review _____ for period ending _____ .			
2.	Has the grantee's loan to the developer been secured (mortgage, etc.) in the manner described in Exhibit D of our contract with the contractor?	____	____	____
	Comments: _____			
3.	In general, have all currently applicable provisions of our contract with the grantee been carried out as described, especially Exhibits A - E?	____	____	____
	Comments: _____			

VERIFICATION OF JOBS CREATED AND/OR RETAINED

4. Number of jobs to be created and/or retained as stated in contract: _____

5. Review payroll prior to grant award, if applicable. Mainly or expansions.
   Date of payroll: _____ Number of existing jobs: _____

6. Review current payroll.
   Date of payroll: _____ Number of existing jobs: _____

7. Review job certifications.
   a) Number of jobs to be created and/or retained: _____
   b) Number of jobs given to persons of low/moderate income households: _____
   c) Number of jobs given to low income households: _____
   d) Number of jobs given to high income households: _____

8. Does the current payroll match the job certifications? _____Yes _____ No _____ N/A

9. What is the low/moderate income limits for this locality? $_____

10. What is the percent of low/moderate new hires? _____%

11. Has this grant met its job creation goals? _____Yes _____ No _____ N/A
    ~ If No, explain: _____

    _____

12. LCDBG funds less administration $_____ divided by total number of jobs _____
    = cost per job $_____ .

13. Was the National Objective met? _____Yes _____ No _____ N/A

14. Is another monitoring visit required to verify job creation and compliance with the National Objective?
    Yes _____ No _____ N/A

* If Yes, plan a second monitoring visit & send a letter to the grantee informing them of their lack of compliance in this area.

All other applicable monitoring checklists must be completed. (i.e., Program Performance, FH/EO, Financial Management, Labor Standards (if Davis-Bacon is applicable), etc.

Economic Development (Part 1) Page 2 of 2

Housing Rehabilitation *(Part 1)* May, 2004

Grantee: _____ Contract #: _____ FY: _____ Type: _____

Reviewer: _____ LGR: _____ Date: _____

1. Number of units approved for: _____ (Rehabilitation) Number of units: _____ (Rehabilitated)

   _____ (Replacement/Reconstruction) _____ (Replaced/Reconstructed)

   _____ (Demolition) _____ (Demolished)

   [Demolition includes both vacant demolition and replacement/reconstruction units.]

	Yes	No	N/A
2. Does it appear the proposed rehab/replacement/reconstruction/demolition will be completed?	____	____	____

   ~ If ***No***, explain. _____

3. Are the program guidelines being followed and, is a deferred loan/payment program being used?	____	____	____
~ If ***Yes***, is the property being legally liened?	____	____	____
4. Are individual files being maintained for each rehabilitated unit?	____	____	____

5. What standards are being used to determine the extent of rehabilitation that is necessary?

   _____

6. Did advertisement call bidders attention to; • Section 3 *and* Section 109	____	____	____
• E. O. 11246	____	____	____
• Segregated Facility	____	____	____
7. Are site inspections used for assuring timely completion of work and payments?	____	____	____

   a) Who performs the inspections? _____

   b) What is their prior experience? _____

8. a) What is the average cost per _____ (Rehabilitation) b) Are these consistent with the application?

   _____ (Replacement/Reconstruction) ____ ____ ____

   _____ (Demolition)

   ~ If ***No***, explain. _____

	Yes	No	N/A
9. Did any individual grant/loan exceed the locally determined maximum average amount, if applicable?	____	____	____

~ If ***Yes***, explain. _____

Comments / Recommended Corrective Action: _____

Housing Rehabilitation Plan

10. Have Rehabilitation guidelines [policies/procedures] been developed and approved by the local governing body?	____	____	____
11. Do the guidelines…			
▪ state eligibility requirements for participation including household income, assets, ownership, occupancy, need for Rehabilitation, geographical boundaries, rehabilitation feasibility, etc.?	____	____	____
▪ establish a maximum average grant and/or loan limitation considering the condition of the targeted housing stock and the needs of the Program clientele?	____	____	____
▪ identity a property rehabilitation standard? (*Section 8 Housing Quality Standards, Southern Standard Housing Code, local housing code, etc.*)	____	____	____
▪ require each Rehabilitated unit to comply at a minimum with the Section 8 Housing Quality Standards and Cost Effective Energy Conservation Standards?	____	____	____
▪ require each unit to comply with the Fire Administration Authorization Act of 1992? (at a minimum, installed 2 hard-wired and/or battery operated smoke detectors)	____	____	____
▪ establish procedures to ensure compliance with the Lead-Based Paint regulations?	____	____	____
▪ clearly identify eligible Rehabilitation costs?	____	____	____
▪ define the roles and responsibilities of program staff and the property owner and contractor through all phases of program delivery?	____	____	____
▪ include or reference all procedures and forms for application processing and financial and construction management?	____	____	____
▪ *if applicable,* establish a coordinated relationship with the local code enforcement program?	____	____	____
▪ include actions to recruit and assist contractors? (*small, minority and/or female*)	____	____	____
▪ include minimum qualifications for contractors, and provide for the evaluation of contractor credentials, including the contractor's license/registration number?	____	____	____
▪ include appropriate measures to deny participation to contractors who fail to perform in a satisfactory manner?	____	____	____
▪ require the preparation of a detailed work write-up and cost estimate for each unit?	____	____	____
▪ include general Rehabilitation specifications that adequately prescribe materials, methods and workmanship quality?	____	____	____
▪ include a grievance procedure or other mechanism to correct deficiencies in the Housing Rehabilitation program after final inspection?	____	____	____

Comments / Recommended Corrective Action: _____

Housing Rehabilitation (*Part 2*) May, 2004

Grantee: _____ Contract #: _____ FY: _____ Type: _____
Reviewer: _____ LGR: _____ Date: _____

This checklist must be completed for each unit reviewed.

Owner/Occupant (*Head of Household*) _____

Address _____

Deffered loan amount $ _____

Check all that apply: ☐ single family ☐ duplex ☐ upper income HH ☐ low/moderate income HH

_____ Number of units in structure undergoing rehabilitation

_____ Date of final verification of all household application data

_____ Date work write-up and cost estimate prepared

_____ Date of advertisement for bids for this unit

_____ Date contract signed

_____ Date Notice to Proceed issued

		Yes	No
1.	Was household income data verified?	_____	_____
2.	Is information available which indicates that the eligibility criteria of the program guidelines have been met?	_____	_____
3.	Was the work write-up and/or plans signed by the owner?	_____	_____
4.	Were bids in line with the preliminary cost estimates and work write-up?	_____	_____
5.	Was contracting done on a competitive basis?	_____	_____
6.	Contractor: _____ Date cleared: _____		
	Contractor: _____ Date cleared: _____		
	Was the prime contractor(s) clear prior to contract execution?	_____	_____
7.	Was D.S.S. contracted to verify that the contractor(s) is current in his child support payments, if applicable?	_____	_____
8.	Was contractor's general liability and workman's compensation insurance verified?	_____	_____

		Yes	No
9.	Does the contract include:		
	• Title VI Clause	_____	_____
	• E.O. 11246 Standard Clause (*above $10K*) or 3 paragraph E.O. Provisions (*$10K or less*)	_____	_____
	• Notice of Requirement for Affirmative Action (*above $10,000*)	_____	_____
	• Standard E.O. 11246 Specifications (*goals inserted - above $10,000*)	_____	_____
	• Section 109 Clause	_____	_____
	• Section 3 Clause	_____	_____
	• Segregated Facilities Clause	_____	_____
	• Lead Base Paint Clause	_____	_____
	• Fire Administration Authorization Act of 1992	_____	_____
	• Access to Records/Maintenance of Records Clause	_____	_____
	• Conflict of Interest	_____	_____
	• Contractor/Subcontractor certification of EEO HUD 950.1 and 950.2 (*above $10,000*)	_____	_____
10.	Was the homeowner required to temporarily relocate to another unit?	_____	_____
	~ If ***Yes*** • Was the unit inspected for Section 8 compliance?	_____	_____
	• Did this unit pass ____ or fail ____ Section 8 compliance?		
	• Was the homeowner notified of the pass/fail status of this unit?	_____	_____
11.	Were systematic site inspections made prior to making progress payments?	_____	_____
12.	Was a final inspection made upon receipt of the final invoice from the contractor?	_____	_____
13.	Is there a dated notification "Watch Out for Lead-Based Paint Poisoning" form signed by the homeowner or tenant?	_____	_____
14.	Are homeowners being insured through the national flood insurance program?	_____	_____
15.	Was this home in a flood zone?	_____	_____
	~ If ***Yes***, did grantee follow its adopted Floodplain Ordinance for construction?	_____	_____
16.	Did grantee address deficiencies identified in the application? (handicapped features, etc.)	_____	_____
17.	Was the job completed in accordance with the contract and warranty?	_____	_____
18.	Was a "Notice of Acceptance of Work" issued?	_____	_____
19.	Was a "Notification of Release of Lien" and applicable warranties received from the contractor, all subcontractors and suppliers?	_____	_____
20.	Was final payment made at the end of the required lien period?	_____	_____
21.	Was a lien filed on the rehab unit at the clerk of court's office as per our minimum five year deferred loan program policy?	_____	_____

Comments / Recommended Corrective Action: _____

CLEARANCE AND DEMOLITION

November, '96

Grantee:_____ Contract #:_____ FY:_____

Reviewed By:_____ LGR:_____ Date:_____

		Yes	No	N/A
1.	a) Does the grantee have an adopted code enforcement policy or condemnation policy?	____	____	____
	↳ If Yes, what code(s) is being used? (i.e., Section 8, Southern Building Code, local code, etc.) _____			
	b) Are condemnation procedures for demolition purposes following the requirements set forth in the LCDBG Handbook?	____	____	____
	↳ If Yes, is the acquisition of property involved?	____	____	____
	(If Yes, use the appropriate Acquisition Checklist(s))			
	↪If No, did the grantee execute a clearance/demolition agreement or a similar document with the property owner prior to starting such activities?	____	____	____
	↪If Yes, does the agreement comply with R.S. 33:4761 as set forth in the LCDBG Grantee Handbook?	____	____	____

Comments: _____

_____

_____

2. How many units were approved by the State for demolition? _____

3.	Does demolition involve more than 8 housing units in one contract or 8 under one roof? (check Davis-Bacon applicability)	____	____	____

Comments: _____

4. How many units will not be replaced of the total units to be demolished?_____

Comments: _____

5.	Does the number of units scheduled for demolition correspond to the number approved for demolition?	____	____	____

↳If No, explain: _____

_____

6. What criteria was used to determine the unit was suitable for demolition?

(The criteria can be in the form of photographs, a completed Section 8 checklist, a letter from the board of health which condemns structures or from the chief elected official's office.)

_____

_____

7. How many units were inhabited just prior to demolition? _____

How many of those were scheduled for replacement? _____

If they were inhabited and not scheduled for replacement, explain why: _____

_____

_____

8. What problems, if any, has the grantee faced with demolition? _____

_____

9. Do you feel the grantee needs assistance with demolition? ____ ____ ____

↳If Yes, explain: _____

_____

10. Are there clear lien certificates on the units that have been demolished?____ ____ ____

Comments: _____

RESIDENTIAL RELOCATION / DISPLACEMENT (part 1)

November, '96

Grantee:_____ Contract #:_____ FY:_____

Reviewed By:_____ LGR:_____ Date:_____

Review grantee's involvement in permanent relocation of persons displaced by acquisition of property and non-Uniform Act activities. The checklist is for both relocation activities under the Uniform Act and non-Uniform Act. A minimum of five parcels must be reviewed if the total number of relocations is less than fifty. For more than fifty, a total of 10% or a maximum of twenty must be reviewed for compliance.

Uniform Act Relocation And Displacement

		Yes	No	N/A
1.	Was or is permanent displacement anticipated as a result of the LCDBG Program?	____	____	____

Comments: _____

↳ If Yes, continue. If No, it is not necessary to complete this checklist.

2. Total number of displacements subject to the Uniform Act: _____

- How many are 180 day owner occupied?_____
- How many are 180 day renter occupied?_____
- How many are 180 day business related?_____
- How many are 180 day farm related?_____
- Other (specify): _____

Comments: _____

3. Total number of displacements not be subject to the Uniform Act: _____

4.	Were the displacements carried out in accordance with the Act?	____	____	____

↳ If No, explain how these relocations do not conform to the Act? _____

_____

5.	Were replacement units inspected for Section 8 compliance?	____	____	____

Comments: _____

6.	Were relocation/displacement payments made in accordance with Uniform Act requirements?	____	____	____

Comments: _____

Complete the "Residential Relocation/Displacement Checklist (part 2)" for Uniform Act activities.

Non-Uniform Act Relocation And Displacement

		Yes	No	N/A
1.	Does the grantee have a locally adopted relocation policy covering non-Uniform Act relocation procedures?	____	____	____
	Comments: _____			
2.	Were non-Uniform Act displacements carried out in accordance with the relocation policy?	____	____	____
	Comments: _____			

RESIDENTIAL RELOCATION / DISPLACEMENT *(part 2)*

(For Uniform Act Activities Only) November, '96

Grantee: _____ Contract #: _____ FY: _____ Reviewed By: _____

~ Parcel A ~

1. Relocation No: _____

Address: _____

Name of Head of Household: _____

__ 180-day homeowner __ 90-day homeowner __ tenant

Relocation (*other*): __ business __ farm

Relocation Status:

Prior to Notice of Displacement: _____

Date of 90-day Notice: _____

Date of Move: _____

Date of Claim Payment: _____

~ Parcel B ~

Relocation No: _____

Address: _____

Name of Head of Household: _____

__ 180-day homeowner __ 90-day homeowner __ tenant

Relocation (*other*): __ business __ farm

Relocation Status:

Prior to Notice of Displacement: _____

Date of 90-day Notice: _____

Date of Move: _____

Date of Claim Payment: _____

	~ Parcel A ~			~ Parcel B ~		
	Yes	*No*	*Comment*	*Yes*	*No*	*Comment*
2. Is there a file on the displaced person?	___	___	_____	___	___	_____
3. Was a "Notice of Displacement" sent?	___	___	_____	___	___	_____
4. Did the "Notice of Displacement" include:						
• the required brochure or procedures?	___	___	_____	___	___	_____
• a copy of the grievance procedure?	___	___	_____	___	___	_____
• the name and phone number of a contact person?	___	___	_____	___	___	_____
5. Is there evidence of receipt of the "Notice of Displacement?"	___	___	_____	___	___	_____
6. Was a household survey done?	___	___	_____	___	___	_____
7. Were at least 3 referrals made for replacement housing?	___	___	_____	___	___	_____
8. If referrals were made, were replacement units:						
• decent, safe and sanitary?	___	___	_____	___	___	_____
• suitable or comparable?	___	___	_____	___	___	_____
• affordable?	___	___	_____	___	___	_____
• located outside low/mod or minority concentrations (*at least one unit*)?	___	___	_____	___	___	_____
9. Did the displaced person encounter housing discrimination?	___	___	_____	___	___	_____
10. If the displaced person faced discrimination, was assistance provided?	___	___	_____	___	___	_____

	~ Parcel A ~			~ Parcel B ~		
	Yes	*No*	*Comment*	*Yes*	*No*	*Comment*
11. Was a 90-day "Notice to Vacate" issued?	___	___	_____	___	___	_____
12. If a 90-day notice was issued, was it:						
• issued *after* the Notice of Displacement?	___	___	_____	___	___	_____
• issued *after* referrals to replacement housing?	___	___	_____	___	___	_____
• received by the displaced person?	___	___	_____	___	___	_____
• followed by a 30-day "Notice to Vacate?"	___	___	_____	___	___	_____
13. Is there evidence of receipt of the 30-day "Notice to Vacate?"	___	___	_____	___	___	_____
14. Was the displaced person moved into an inspected housing unit?	___	___	_____	___	___	_____
15. If the displaced person moved into a substandard unit, was required letter sent?	___	___	_____	___	___	_____
16. Is there evidence of receipt of that letter?	___	___	_____	___	___	_____
17. Was a claim for moving costs submitted?	___	___	_____	___	___	_____
18. If a moving costs claim was submitted, was the claim:						
• completely documented?	___	___	_____	___	___	_____
• verified?	___	___	_____	___	___	_____
• paid?	___	___	_____	___	___	_____
19. Was a claim for replacement housing assistance (homeowner, *or* down payment assistance *or* rental assistance) submitted?	___	___	_____	___	___	_____

	~ Parcel A ~			~ Parcel B ~		
	Yes	*No*	*Comment*	*Yes*	*No*	*Comment*
20. If a claim was submitted, was the claim:						
• completely documented?	___	___	_____	___	___	_____
• verified?	___	___	_____	___	___	_____
• paid in a lump sum?	___	___	_____	___	___	_____
21. If *any* claims were not paid, is there documentation of the basis for denial?	___	___	_____	___	___	_____
22. Did grantee invoke "Last Resort Replacement Housing" provisions in this case?	___	___	_____	___	___	_____

23. If "Last Resort" was invoked, note the form and amount of assistance provided: _____

_____

24. Comments / Recommended Corrective Action: _____

_____

ANTI-DISPLACEMENT (part 2)

November, '96

Grantee:_____ Contract #:_____ FY:_____

Reviewed By:_____ LGR:_____ Date:_____

	Yes	No	N/A
Identification of Occupants. (Occupants include households: families, individuals and non-residential persons.)			
1. Are there records identifying all households by name, number of members, gross income, rent, utility costs and apartment size, and identifying other persons occupying the property on the date of application submittal to grantee?	____	____	____
↳ If Yes, a) what is the number of households? _____ b) what is the number of non-residential persons? _____ Comments: _____			
2. Are there records identifying all households by name, number of members, gross income, rent, utility costs and apartment size, and identifying other persons who moved into the property after the owner's application submittal but before completion of project?	____	____	____
↳ If Yes, what is the number of households? _____ Comments: _____			
3. Are there records identifying all of the occupants, and ownership or rental status after completion of the project?	____	____	____
↳ If Yes, what is the number of households? _____ Comments: _____			
4. Is there an acceptable explanation for the cause of the move of any person that was permanently relocated but was not displaced?	____	____	____
↳ If Yes, what is the number of households? _____ Comments: _____			

Records On Displacement.

	Yes	No	N/A
(Persons forced to move permanently are considered "displaced".)			
5. If anyone was displaced as a result of this program, is there proper documentation of file?	____	____	____
↳ If Yes, review a random sample of case files with the following. Does the case file contain:			
‣copy of a timely general information notice?	____	____	____
‣copy of a timely notice of eligibility for relocation assistance?	____	____	____
‣a record of personal contacts & advisory services provided?	____	____	____
‣evidence of referrals to comparable or suitable (affordable) replacement housing?	____	____	____
‣copy of the 90-day advance notice of required date of move?	____	____	____
‣identification of actual replacement property/rent/utility costs of dwelling and date of relocation?	____	____	____
‣copy of replacement dwelling inspection report and date of inspection?	____	____	____
‣evidence eligible tenant/owner received a Section 8 certificate or cash replacement housing assistance?	____	____	____
‣approval form for, or evidence of payment of moving expenses?	____	____	____
‣Have copies of the displacement been sent to the State?	____	____	____

Comments: _____

Records On Persons Not Displaced.
Review a random sample of case files.

6. Does the case file contain the following:			
↪ a time notice explaining persons would not be displaced, and information on after-rehabilitation rents?	____	____	____
↪ evidence the person was reimbursed for out-of-pocket expenses if temporary relocation or move within property was required?	____	____	____

Comments: _____

Monitoring Of Owner:

7. Was the displacement made public in the newspaper prior to the recognition of the contract?	____	____	____

Comments: _____

Antidisplacement (Part 2) Page 2 of 3

	Yes	No	N/A
Replacement Units.			
8. a) Was the total number of units to be rehabilitated reduced? (i.e., changing a four-plex into a duplex)	____	____	____
↳If Yes, explain: _____			
b) Were the applicable steps followed for "one for one" replacement under Section 104D to accomplish the reduction?	____	____	____
c) Was it made public in newspaper prior to recognition of contract?	____	____	____
↳ If No, explain: _____			
d) Does the grantee have the following:			
‣a description of the assisted activity?	____	____	____
‣a map with the location and number of dwelling units by size (# of bedrooms) that will be demolished or converted to a use other than for low/mod income units as a result of the activity?	____	____	____
‣a time schedule for the commencement and completion of the demolition or conversion?	____	____	____
‣a map with location & number of dwelling units by size (# of bedrooms) that will be provided as replacement dwelling units?	____	____	____
‣a source of funding and a time schedule for the provision of replacement dwelling units?	____	____	____
‣the basis for concluding that each rental replacement dwelling unit will remain a low/mod income unit for at least 10 years from the date of initial occupancy?	____	____	____
‣information demonstrating that any proposed replacement of units with smaller units (i.e., a two-bedroom unit with two one bedroom units) is consistent with the housing needs of low/mod income households in the jurisdiction?	____	____	____
↳ If No, explain: _____			
Appeals/Complaints/Need For A Follow-Up:			
9. Has there been appropriate responses to any appeals/complaints?	____	____	____
10. Is additional technical assistance, monitoring, or training on tenant assistance requirements needed?	____	____	____
Comments: _____			

8: Program Evaluation and Monitoring Report Codes

1. CONTRACT NUMBER

2. SOURCE OF FINDING (1 Digit)

   0 = Ongoing Monitoring

   1 = On site

   2 = Complaints

   3 = HUD Oversight

   4 = Audit

   5 = Other

   6 = In-House

3. SERIOUSNESS OF FINDING (1 Digit)

   0 = Minor

   1 = Serious

   2 = Very Serious

4. PROGRAM AREA (2 Digits)

   01 = Financial Management

   02 = Environmental Review

   03 = Labor Standards

   04 = Civil Rights

   05 = Acquisition

   06 = Relocation

   07 = Housing Rehabilitation

   08 = Procurement

   09 = Program Performance-Administration

   10 = National Objectives

12 = Record Keeping

13 = Citizen Participation

14 = Other (including but not limited to: Anti-displacement, Clearance/Demolition, and Economic Development

9: Monitoring Letter

DATE

Honorable John Smith
Mayor, Village of Someplace
Post Office Box 123456
Someplace, Louisiana 99999

RE: Monitoring Report
FY 20xx LCDBG Public Facilities Program
Contract Number 777777

Dear Mr. Smith:

On March 13, 20xx, a visit to the Village was conducted for the purpose of monitoring your FY 20xx Louisiana Community Development Block Grant (LCDBG) program. The courtesy and cooperation extended to our staff during the visit is appreciated.

During the visit a review of selected items was undertaken in the following program areas: (a) Acquisition, (b) Citizen Participation, (c) Disclosure, (d) Displacement, (e) Environmental Review, (f) Fair Housing/Equal Opportunity and 504 Requirements, (g) Financial Management, (h) Labor Standards, (i) National Objectives, (j) Procurement, (k) Program Performance, (l) Public Facility Improvements and (m) Record Keeping.

Our review indicated that you have the continuing capacity to carry out the program activities in a timely manner. The program has been implemented in accordance with the requirements and primary objectives of the Housing and Community Development Act and other applicable laws, with the exceptions identified herein. Although other deficiencies may exist, they were not detected during our review.

FINDINGS OF DEFICIENCY

CITIZEN PARTICIPATION

The citizen participation files were reviewed for completeness and accuracy.

Finding Number 777777-1-1-131

The Village's Citizen Participation Plan was adopted on December 11, 20xx, which was after the first public hearing on September 30, 20xx. Page 12 of the FY 20x0/20x1 Application Package states, "The local Citizen Participation Plan must be made available to the public at the first public hearing."

Corrective Action Required: The Village must send us an explanation as to why the program requirements for the timely adoption of the Citizen Participation Plan and presentation at the public hearing were not followed and written assurance that required Citizen Participation procedures will be followed under the remainder of this program and under any future LCDBG programs.

Finding Number 777777-1-1-132

During our review we noted that the Village did not have a roster of attendance or minutes of the first public hearing. Task A-14 in the FY 20xx Grantee Handbook indicates that Citizen Participation is a major file category which should contain "…List of persons attending public hearings and minutes of the meetings…."

Corrective Action Required: The Village must provide us with an explanation as to why there was no roster of attendance and minutes of the first public hearing and written assurance that program requirements regarding Citizen Participation will be followed under the remainder of this program and under any future LCDBG programs.

DISCLOSURE

The initial and updated disclosure reports were reviewed for compliance with the LCDBG program requirements.

Finding Number 777777-1-1-141

During our monitoring visit, an updated Disclosure Report was submitted, but not within the required thirty days of the signing of the contract with the prime contractor, ABC Contractors. The FY 20xx Grantee Handbook states on page 202, "Grantees must…ensure that an updated disclosure report is submitted within thirty days of any change that meets one of the five criteria discussed above…."

Corrective Action Required: The Village must send us a written explanation as to why a timely updated Disclosure Report was not sent and written assurance that Disclosure Reports will be submitted to this office in a timely manner during the remainder of this program and under any future LCDBG programs.

PROCUREMENT

The Village's general files on procurement were reviewed in addition to the procurement procedures utilized in hiring consulting and engineering services.

Finding Number 777777-1-1-081

We received documentation which indicated that engineering costs were reviewed for reasonableness but such documentation was not signed until the day of our monitoring visit. The FY 20x0/20x1 Application Package, on page 31, states, "If qualification statements are requested, the cost and price detail form must be used when negotiations on the fees to be charged begin with the firm that was selected based on the evaluation of the selection criteria." Therefore, the cost and price detail form should have been completed prior to the execution of the contract with the engineering firm.

Corrective Action Required: The Village must provide us a written explanation of the reason(s) why documentation which indicated that engineering costs were reviewed for reasonableness was not prepared and signed at the appropriate time.

AREA OF CONCERN

FINANCIAL MANAGEMENT

A review of the financial management records of the Village's FY 20xx LCDBG Program was conducted. The records were reviewed for compliance with OMB Circulars A-87 and A-102 and with other federal and state laws, regulations, and policies.

LCDBG Revenue for the fiscal year ending December 31, 20xx was not properly included in the Village's financial report. We note that funds associated with Request for Payment #1 were not requested until January 9, 20xx; however, revenue should have been accrued at the time of invoice approval for those invoices which were approved prior to December 31, 20xx. Please insure that all LCDBG funds are accounted for, including accrued amounts, in the upcoming financial report for the fiscal year ending December 31, 20xx.

FINDINGS OF MERIT

ACQUISITION

The Town's files were reviewed to determine compliance with the Uniform Relocation Assistance and Real Property Acquisition Policies Act of 1970. Acquisition of property was not necessary to carry out the street project according to a certification from the Village's Attorney, Surely Smart, Jr., dated June 10, 20xx.

DISPLACEMENT

The Village's Anti-Displacement Plan, certification, and resolution were checked and found to be in accordance with program requirements. Additionally, no displacement occurred as a result of this project.

ENVIRONMENTAL REVIEW

No activities or project sites have changed from those cleared in the original Environmental Review Record; therefore, your Environmental Review Record remains relevant and complete.

FAIR HOUSING/EQUAL OPPORTUNITY AND SECTION 504 REQUIREMENTS

Our review of this area encompassed recipient employment, Section 3 requirements, fair housing, Section 504 requirements and program beneficiaries. The Village is in compliance in the areas of fair housing and equal opportunity.

LABOR STANDARDS

A review was made of the bid documents, payroll sheets, employee interviews, the applicable federal wage decision and inspection reports for the fire protection project. Based on our review of these records, the Village was found to be in compliance with federal labor standards requirements.

NATIONAL OBJECTIVES

Program benefit was reviewed by our staff. Based on the local survey forms and an inspection of the target area, it appears that approximately seventy-five percent of the persons benefiting from the fire protection project are of low and moderate income. Therefore, the Village was found to be in compliance with the national objective requirements of 24 CFR 570.483 (b) (1).

PROGRAM PERFORMANCE

The Village's progress in completing the program activities in accordance with the Time Schedule submitted with your original application for funding under the LCDBG Program was reviewed. The Village’s project has progressed in a timely manner. The fire protection project will be completed prior to the contract termination date of August 24, 20XX.

Honorable John Smith
Date
Page 5

RECORD KEEPING

The Village is maintaining the program records in accordance with the State's program requirements. When the staff requested specific information during the monitoring visit, the supporting documentation was easily retrievable.

Please submit the items required to address the findings of deficiency to us no later than April 30, 20XX. Also, please make a copy of this letter available to your auditor, who will determine which of the above noted deficiencies, if any, are material and should be included in any of the applicable financial reports. Your cooperation in this matter is appreciated. Should you have any questions, please call Fred Jones at (000) 000-0000.

Sincerely,

Carol M. Newton
Director, Louisiana Community
Development Block Grant Program

c: Ms. Debbie Howe, Grants Consultant
Uptown & Associates, Engineer
Mr. John Doe, Office of Community Development
File: Public Facilities, FY 20xx, Monitoring

10: Corrective and Remedial Actions Policy

Louisiana Community Development Block Grant (LCDBG) Program

Corrective and Remedial Actions

aka Sanction Policy

Introduction

This policy describes the types of administrative actions that can be taken by the Office of Community Development in cases of improper or inadequate performance by recipients of LCDBG Program grants. In each instance, to the extent possible under the circumstances, the action taken will be intended, first, to prevent a continuation of the deficiency; second, to mitigate any adverse effects or consequences of the deficiency; and, third, to prevent a recurrence of the same or similar deficiencies.

Types of Deficiencies

A deficiency is an instance of non-performance of activities or non-compliance with requirements set forth in the contract between the State of Louisiana and the recipient of LCDBG funds. Examples of deficiencies include, but are not limited to, the following:

1. Failure to clear monitoring findings within 120 days of the issuance date by the Office of Community Development. An on-site monitoring visit (for the purpose of assuring the grant recipient's compliance with the federal and state requirements governing the LCDBG Program) may be conducted as a matter of routine monitoring or whenever problems come to the attention of the Office of Community Development. Following the monitoring visit, a letter is written to the grant recipient which identifies findings of deficiency as well as findings of merit, the corrective action required to clear findings of deficiency, and a target date for the accomplishment of the corrective actions. Upon receipt and review of the grant recipient's response, the Office of Community Development determines whether or not the response is sufficient to resolve the findings. If any monitoring findings are not properly resolved by the initial target date, the grant recipient is advised of such and is assigned a second target date for the clearance of those findings. All monitoring findings not resolved by the second target date remain open until resolved.

2. Failure to file reports as required or failure to file reports within established timeframes. Such reports include but are not limited to the Minority Business Report, financial reports, and closeout documents.

3. Failure to resolve an audit finding within 120 days of the issuance date by the Office of Community Development.

4. Incurring costs for ineligible activities in accordance with state and federal regulations.

5. Lack of continuing capacity to administer the LCDBG program.

6. Failure to execute approved activities in accordance with the program (time) schedule included between the State and the grant recipient.

7. The implementation of a program change without prior written approval from the Office of Community Development.

Notice of Deficiency

The first step in the corrective procedure is for the Office of Community Development to send a written Notice of Deficiency to the grant recipient. The notice will describe the deficiency specifically and objectively, describe actions the grant recipient must take in order to remedy the deficiency and a deadline for doing so, and describe the consequences for failure to remedy the deficiency (i.e. administrative sanctions or legal action).

Sanctions

If the deficiency remains uncorrected, one or more sanctions will be imposed. The choice of the sanction(s) to be issued is governed by the objectives identified in the Introduction, the type of deficiency, and the seriousness of the deficiency. Possible sanctions include but are not limited to:

1. Required administrative change: For example, if the consultant administering the program is doing a poor job but the grant recipient has the continuing capacity to administer the grant, the grant recipient may be required to discharge the consultant and engage someone else to administer the program.

2. Suspension of grant payments.

3. Reduction of grant amount.

4. Termination of grant.

5. Reimbursement of costs disallowed by the Office of Community Development.

6. Disqualification from consideration for other LCDBG funds.. The criteria for disqualification shall be consistent with, but not limited to, the State's threshold requirements for funding.

7. Legal action pursued by the State.

If the grant recipient does not address the cited problem after having been sanctioned, additional sanctions may be imposed, or the matter may be referred for legal action.

Appeals

The grant recipient may appeal any imposed sanctions through the following process. The grant recipient must submit a written request for an appeal within ten working days after the written notice of sanction has been received. A written decision shall be rendered within ten working days of receipt of the request for appeal unless additional time is agreed to by the recipient.

Duration of Imposed Sanction

The Office of Community Development will maintain a sanction list of those sanctions which render the grant recipient ineligible for additional grant awards. The list will identify the grant recipient, a brief description as to why the sanction was imposed, and what steps must be taken to remove the sanction.

The sanction will remain in effect until the deficiency has been corrected or for no more than ten LCDBG program years with the following exception. Sanctions involving LCDBG funds which were expended for ineligible activities as identified in the federal regulations (24CFR 570.207) cannot be excused unless those funds have been repaid to the State or a satisfactory arrangement for the repayment of those funds have been made and payments are current. The grant recipient will be advised in writing when the sanction has been lifted.

Internal Procedures for Issuing/Clearing Sanctions

1. If a Local Government Rep (LGR) feels that he/she should issue a sanction, he/she should set up a meeting which includes his/her Program Manager, the Policy and Programs Coordinator, and the Community Development Director. The purpose of this meeting will be to determine if a sanction should be issued. If a determination is made to issue a sanction, the penalty/time frame attached to that sanction will also be determined. Every effort will be made to insure consistency among the sanctions imposed.

2. The LGR will advise the grant recipient in writing of the sanction. That letter will identify the deficiency which has resulted in the sanction, the steps that can be taken to correct the deficiency, the penalty which will be imposed, and any timeframe associated with the sanction. If the grant recipient will be prohibited from receiving LCDBG funds for a specified time period, the timeframe must be clearly and specifically identified. A copy of this letter will be given to the Policy and Programs Coordinator.

3. The Policy and Programs Coordinator will be responsible for maintaining the Sanction List which tracks those sanctions having an effect on a potential applicant's eligibility for future funding. The information contained in the letter issuing the sanction will be summarized on this list.

4. When the grant recipient corrects the deficiency or the timeframe associated with the sanction period ends, the LGR will advise the grant recipient of such in writing. A copy of that letter will be given to the

Policy and Programs Coordinator who will remove the grant recipient from the Sanction List, if applicable.

5. The permanent working files for the grant associated with the sanction must remain in the Office of Community Development as long as the sanction is in effect; these files cannot be archived until the sanction has been lifted.

6. The final determination of the issuance and clearance of each sanction rests with the Director of the Office of Community Development.

Original Effective Date: August 20, 1987
Revised Date: March 11, 2004

11: Request for Closeout Documents Letter

DATE

Honorable John Smith
Mayor, Village of Someplace
Post Office Box 123456
Someplace, Louisiana 99999

RE: Request for Closeout Documents
FY 20xx LCDBG Public Facilities Program
Contract Number 777777

Dear Mayor Smith:

According to our records, eighty-four percent of your FY 20xx Community Development Block Grant (LCDBG) funds have been requested and received. The Village should begin to undertake the procedures necessary to closeout this program.

The closeout requirements are fully described in the last section of your FY 20xx LCDBG Handbook and are summarized below:

1. Two copies of the Program Completion Report must be submitted to our office; a copy of this report is enclosed for your use. Specific items which must be submitted as a part of this report include, but are not limited to:

   a. Any change orders, including a final reconciliation, that have not yet been submitted to the LCDBG engineer.

   b. A recorded clear lien certificate(s) for any projects involving infrastructure improvements or housing construction.

   c. A Final Wage Compliance Report for any projects involving infrastructure construction which was subject to Davis Bacon and Related Acts; this item is not required for housing projects or projects involving the purchase of fire trucks or firefighting equipment only.

   d. Three copies of the Certificate of Completion, all of which have original signatures, must also be submitted.

2. All program findings (monitoring/audit) must be cleared.

3. In order to receive a final closeout, all LCDBG funds received and expended must be covered in financial reports and/or other acceptable documentation.

We look forward to a prompt closeout of your program. If you have any questions regarding closeout, please do not hesitate to contact Fred Jones at (000) 000-0000.

Sincerely,

Carol M. Newton
Director, LCDBG Program

Enclosure: 1

c: Ms. Debbie Howe, Administrative Consultant
Mr. Fred Jones, Local Government Representative
File: Public Facilities, FY 20xx, Closeout

12: Financial Report Reminder Letter

DATE

Honorable John Smith
Mayor, Village of Someplace
Post Office Box 123456
Someplace, Louisiana 777777

RE: LCDBG Financial Report Requirements
FY 20xx Public Facilities Program—Contract Number 777777

Dear Mayor Smith:

Federal law OMB Circular A-133 requires a single audit from local governments having $500,000 or more in total federal funds expended in a fiscal year. Our records show your fiscal year end December 31, 20x0. If $500,000 or more in total federal funds was expended, a single audit is required. The single audit, which will have a full set of financial statements, will meet Federal and State requirements. If less than $500,000 in total federal funds (LCDBG and other sources) was expended in the fiscal year, a single audit will not be required.

If you determine that a single audit is not required, State law and your LCDBG contract require you to submit one of the following types of financial reports based on revenues received from all sources, federal, state and local, during a fiscal year: 1) sworn financial statements if revenue received was $50,000 or less; 2) an annual compilation if revenue received was between $50,000 and $350,000; 3) a biennial audit if revenue received was between $350,000 and $3,500,000; or, 4) an annual audit if revenue received was over $3,500,000.

Financial reports are due within six months of the fiscal year end date. If you determine that a single audit is required, please send us a copy of the single audit. If you determine that a single audit is not required, please send us the appropriate type of report required by State law and your LCDBG contract as described in the preceding paragraph.

You are advised to provide your auditor with a copy of this letter. If you have questions concerning State or Federal audit requirements, call Ms. Karen Money at (000) 000-0000.

Sincerely,

Carol M. Newton
Director, LCDBG Program

c: Ms. Debbie Howe, Grant Administrator
Mr. Fred Jones, Local Government Representative
Public Facilities, FY 20xx, Financial Management

13: Past Due Financial Report Letter

DATE

Honorable John Smith
Mayor, Village of Someplace
Post Office Box 123456
Someplace, Louisiana 777777

RE: Request for Past-Due Financial Report
FY 20xx Public Facilities Program
Contract Number 777777

Dear Mayor Smith:

In our letter of May 30, 20x1 we requested a copy of the Village's financial report for the year ending December 31, 20x0. The letter indicated that the financial report was due no later than June 30, 20x1 which was six months after the end of the Village's fiscal year. To date, we have not received that financial report.

Please forward us a copy of the financial report if it is available. If you are unable to provide this office with a copy of the requested financial report, please provide a written explanation of any problems causing the delay.

If you have questions concerning State or Federal audit requirements, call Ms. OCD Chief Financial Officer at (000) 000-0000.

Sincerely,

Carol M. Newton
Director, LCDBG Program

c: Ms. Debbie Howe, Grant Administrator
Mr. Fred Jones, Local Government Representative
Public Facilities, FY 20xx, Financial Management

14: Conditional Closeout Letter

DATE

Honorable John Smith
Mayor, Village of Someplace
Post Office Box 123456
Someplace, Louisiana 999999

RE: Conditional Closeout
FY 20xx LCDBG Public Facilities Program
Contract Number 777777

Dear Mayor Smith:

We have received the closeout documents submitted for the FY 20xx Louisiana Community Development Block Grant (LCDBG) Program. We have reviewed all of the documents required for a conditional closeout and have found them acceptable. Our office has previously cleared all findings, if any, relative to this LCDBG Program. Therefore, a Certificate of Completion for contract number 777777 is enclosed. The Village is to be commended for conditionally closing out this LCDBG Program.

This program is closed out contingent upon our approval of an acceptable financial report(s) covering the unreported expenditures of $123,123. Any questioned costs arising from the financial report(s) will have to be resolved. The Village will be responsible for disallowed costs, if any. Until the financial documentation is received and accepted, we cannot issue a final closeout on this program.

Please note that all records and correspondence relating to this LCDBG Program must be retained for at least four years beginning with the date of FINAL closeout. If you have any questions, please call Fred Jones at (000) 000-0000.

Sincerely,

Carol M. Newton
Director, LCDBG Program

Enclosure

c with enc: Ms. Debbie Howe, Administrative Consultant
Ms. Pat Robertson, Office of Finance and Support Services
Ms. Donna Lynn, Office of Community Development
Mr. Fred Jones, Local Government Representative
File: Public Facilities, FY 20xx, Closeout

15: Final Closeout without Conditional Closeout Letter

DATE

Honorable John Smith
Mayor, Village of Someplace
Post Office Box 123456
Someplace, Louisiana 999999

RE: Final Closeout
FY 20xx LCDBG-Public Facilities Program
Contract Number 777777

Dear Mayor Smith:

We have received the closeout documents submitted for the FY 20xx LCDBG PF Program. We have reviewed all of the documents required for a closeout and have found them to be acceptable. Our office has previously cleared all findings relative to this program. Also, all LCDBG funds received have been included in acceptable financial reports. Therefore, a Certificate of Completion for contract number 777777 is enclosed. Both you and the Village are to be congratulated for closing out this grant.

We are issuing a final closeout on this Public Facilities program.

Please be reminded that all records and correspondence relating to the FY 20xx LCDBG PF Program must be retained for at least four years from the date of this letter.

Sincerely,

Carol M. Newton
Director, LCDBG Program

Enclosure

c: Ms. Debbie Howe
Ms. Pat Anderson, Office of Finance and Support Services
Ms. Donna Lynn, Office of Community Development
Mr. Fred Jones, Local Government Representative
File: Public Facilities, FY 20xx, Closeout

16: Final Closeout after Conditional Closeout Letter

DATE

Honorable John Smith
Mayor, Village of Someplace
Post Office Box 123456
Someplace, Louisiana 999999

RE: Final Closeout

FY 20xx LCDBG Public Facilities Program
Contract Number 777777

Dear Mayor Smith:

On February 31, 20x2, a letter and Certificate of Completion were sent to you conditionally closing out the FY 20xx Louisiana Community Development Block Grant (LCDBG) Program. In that letter it was stated that a final closeout would be issued upon our receipt and approval of an acceptable financial report covering the unaudited expenditures of $123,123. We have since received a financial report which was accepted in our letter of June 31, 20x2. All funds received and expended under this LCDBG Program have now been audited.

We are officially closing out this LCDBG Program.

Please be reminded that all records and correspondence relating to the FY 20xx LCDBG Program must be retained for at least four years from the date of this letter.

Sincerely,

Carol M. Newton
Director, LCDBG Program

c: Ms. Debbie Howe, Administrative Consultant
Ms. Pat Anderson, Office of Finance and Support Services
Ms. Donna Lynn, Office of Community Development
Mr. Fred Jones, Local Government Representative
File: Public Facilities, FY 20xx, Closeout