

Construction Grant Monitoring Checklist

The closeout process is the final phase of the Community Development Block Grant (CDBG) project administration. It is the responsibility of the Grantee to initiate the closeout process no later than the project completion date and after the last CDBG claim has been approved.

To request a closeout in eGMS, you will need to follow the prompts in the system. The purpose of the monitoring is to verify that the project has met the stated goals and objectives and all of the federal CDBG regulations and that all contractors, subcontractors and suppliers have been paid in full and provided final lien waivers. All monitoring materials MUST be available within 60 days of closeout. If selected for desk monitoring, the Grantee will have 30 days from the date of its closeout request to upload the below items to the monitoring record.

General Items

- Grantee's Acknowledgements & Certifications (Closeout Monitoring Form 1)

Civil Rights

- Updated Applicant/Recipient Disclosure Report (Contract Dev. Form 1)
- Certificate of Accessibility Form
- Section 3 Compliance Form

Acquisition (if applicable)

- Copy of checks for URA activities not previously provided at Release of Funds
- Copy of all URA materials for any parcels or easements acquired after Release of Funds

Procurement & Contracts

- Signed and dated copy of Prime Construction Contract with Federal Construction Contract Provisions and Wage Decision
- Proof of Bonding Requirements
 - Bid Guarantee/Bond equivalent to 5% of bid price
 - Performance Bon in the amount of 100% of contract price
 - Payment Bond in the amount of 100% of contract price
- Signed and dated copy of all Sub-Contractor contracts with Federal Labor Standards Provisions (HUD Form 4010) and Sub-Contractor Certification
- Noncompetitive Procurement, If Applicable
 - Evidence of permission from OCRA to use noncompetitive method
 - Documentation of the cost-price analysis
- Small Purchase Procurement, If Applicable
 - Documentation of permission from OCRA to use small purchase method
 - Documentation of the solicitation to at least three qualified sources and all written price quotations received

Labor Standards Forms

- Wage-Fringe Benefit Certification (Form 9)
- Contractors Certification (Form 10)
- Sub-Contractors Certification (Form 11) for each sub-contractor
- Final Wage Compliance Report (Form 15)
- Final Inspection & Project Completion (Form 16)

Payroll/Wage Review

- Fringe breakdown/explanation for each contractor and subcontractor
 - For any/all apprentices who worked on the project, proof of enrollment in DOL or State approved apprenticeship program
- Complete list of all workers who worked on the project for Primes and Subs (including bona fide owners)
- Certified payroll sheets – must be clearly numbered and include payroll week dates
 - First payroll clearly marked as “FIRST” or “INITIAL”
 - Sampling of payrolls to cover all employees working on the project
 - Each employee working on the project must be represented in the payroll.
 - If an employee worked under multiple classifications, each classification must be present in the payrolls submitted.
 - Final payroll clearly marked as “FINAL”
- Copies of employee interview sheets – at least 10% of each classification
- Documentation for any/all Force Account or Volunteer Labor work
- For Wage Deficiencies & Restitution*
 - Copy of signed corrected certified payroll where deficiency occurred
 - Copies of checks for all restitution payments, with paystub or memo line verification
 - Employee acknowledgement confirming receipt of restitution payment

**If restitution is found, Grant Services may request that all payrolls be provided to ensure additional wage deficiencies have not occurred and that proper restitution is made to all affected employees.*

Financial Management

- Federal Financial Management forms
 - Federal Cash Control Register (Form 1)
 - Contract Obligations Control Register (Form 2)
 - Contractor Expenditure Ledger (Form 3)
 - Property Inventory Ledger (Form 4)
- Local Claims & Draws
 - Copy of invoices or billing statements from the professional service providers
 - Copy of deposits and expenditures of grant funds (e.g. – State Auditor’s ACH receipt, bank statement showing receipts and disbursements)
 - Copy of checks disbursing grant funds to contractors/service providers working on this project

- Local Match
 - Copy of checks disbursing local funds toward this project
**Invoices for local match disbursement not required but may be provided*
- Change Orders – where the change is > than 20% of the original contract price
 - Copy of the change order
 - Written statement from the Engineer explaining unforeseen circumstances that necessitate the change order
- 5-Day Disbursement Rule – where the Grantee failed to disburse federal funds in excess of \$5,000 within 5 days of receipt
 - Detailed letter signed by the Chief Elected Official acknowledging the error and explaining why the violation occurred
 - Letter from the bank or audit/treasurer confirming the funds were held in a non-interest-bearing account OR that the amount of interest accrued was less than \$500.00
 - If interest accrued is in excess of \$500.00, check made payable to U.S. Treasury to return the excess funds

Additional Documentation

- Intake documentation for projects with Limited Clientele National Objective
- Photos, if applicable