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**CITY OF BOULDER – HOUSING AND COMMUNITY DEVELOPMENT  
DIVISION CDBG MONITORING FORM**

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**GENERAL INFORMATION**

**Date of Monitoring Visit:** \_\_\_\_/\_\_\_\_/\_\_\_\_

CDBG Sub-Recipient: \_\_\_\_\_

Project Name: \_\_\_\_\_

Project Address: \_\_\_\_\_

Sub-grantee Representative(s) in attendance

Name/Title	Responsibilities
_____	_____
_____	_____
_____	_____

**Specific Type of Activity:**

- Economic Development    Public Service    Housing    Slum/Blight Clearance

**Contract Amount:** \$ \_\_\_\_\_

**Contract Period:** \_\_\_\_/\_\_\_\_/\_\_\_\_ - \_\_\_\_/\_\_\_\_/\_\_\_\_

**National Objective and Eligibility:** (24 CFR §570.208)

- Benefit to low-income and moderate-income persons
  - Area Benefit
  - Limited Clientele Benefit
  - Job Creation or Retention
  
- Aid in the Prevention or Elimination of Slum or Blight
  - On an Area Basis
  - On a Spot Basis
  
- Urgent Need

Specify Type of Assistance: Grant or Loan

**Services Provided by Subrecipient:**

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

**Scope of Project:**

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**REPORTING REQUIREMENTS**

Are quarterly or monthly reports being submitted by sub-recipients properly (on supplied forms) and in a timely fashion?  Yes  No

If no, explain: \_\_\_\_\_

**PERFORMANCE EVALUATION**

Activity Goals and Objectives as stated in statement of work: \_\_\_\_\_

Is the agency behind in their progress towards the goals identified in the Statement of Work?  Yes  No

If yes, please describe the goals that have not been yet and how the agency proposes to address:

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How many people were projected to be served in the statement of work and how many *actually* served to date? If different, explain:

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How many City of Boulder households were income eligible for services? \_\_\_\_\_

Have there been changes in key management positions at the agency/organization?  Yes  No

If yes, explain \_\_\_\_\_

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**RECORD KEEPING** (24 CFR Part §570.506 and 24 CFR Part §5.609)

Who is intended clientele of the funded activity?(handicapped, seniors, low-moderate income residents, etc.) \_\_\_\_\_

Is clientele being served?  Yes  No

If no, explain: \_\_\_\_\_

*If sub-recipient serves low-moderate income residents, proper client records must be maintained and household income must be verified. Monitor will review at least ten percent of clients served if possible.*

How many files were reviewed, specify number\_\_\_\_\_.

Is sub-recipient relying on current HUD Income Limits dated: \_\_\_\_\_  
 Yes  No

Identify the sample types of income documentation examined in each client file reviewed (e.g., 1040s, W-2s, current pay-stubs for a three-month, etc.) examined:

1. \_\_\_\_\_
2. \_\_\_\_\_
3. \_\_\_\_\_

Do records contain other required client information (names, addresses, gender, etc.)?  
 Yes  No

Are records sufficient in terms of identifying clients and including appropriate income information and were the reviewed applicants eligible for services as required applicants review?  
 Yes  No

If no, explain:\_\_\_\_\_

Is there a system for identifying "New" unduplicated clients as compared to duplicated clients?  
 Yes  No

If no, explain steps sub-grantee will take to establish such a system: \_\_\_\_\_  
\_\_\_\_\_

**FAIR HOUSING AND EQUAL OPPORTUNITY**

(24 CFR Part §570.904 and §570.601(b))

Have any fair housing concerns been filed against the agency?  Yes  No

If so, what is the current status of the concern of complaint:\_\_\_\_\_

If applicable, is the fair housing logo displayed in program materials?  Yes  No

Is there evidence of discrimination in any CDBG-assisted programs?  Yes  No  
If so, please explain the nature and type of discrimination observed:

\_\_\_\_\_

What action will be taken if there is discrimination observed:\_\_\_\_\_

Is there evidence that the agency is providing appropriate services for Non-English speaking clients (translation services such as Language Line, translated application forms/program materials, etc)?  Yes  No

**CIVIL RIGHTS**

(24 CFR Part §570.506,601 and 602)

Review the agency’s employment application. Does the agency ask if the applicant has a disability?  Yes  No

Do all persons have equal access to information related to this project?  Yes  No

Has there been a formal finding of discrimination filed against the agency?  Yes  No

Does the organization have policies/procedures to address personnel complaints?  Yes  No

Is the Equal Employment Opportunity Clause included in the construction contract as required:  Yes  No

Are EEO Posters utilized?  Yes  No

**SECTION 3**

◆ If applicable, is the organization correctly maintaining Section 3 Information? (12 USC 1701, Housing and Urban Development Act, and 24 CFR 135 requiring that to the greatest extent feasible opportunities for training and employment will be given to lower income residents of the project area and contracts for work in connection with the project will be awarded to businesses located in or owned in substantial part by persons residing in the areas of the project.” (Other related requirements – see Contract-including sending labor organizations or worker representatives with which the sub-recipient has a collective bargaining agreement or contract a notice advising such organization or worker rep of its commitment under Section 3.)

Has the project created training and or economic opportunities for Section 3 residents?  Yes  No

Were Section 3 businesses or contractors utilized for this project?  Yes  No

**UNIFORM RELOCATION ACT (URA)**

Is the project subject to URA?  Yes  No

Was the owner given notice of URA entitlement?  Yes  No

Did owner waive rights by signing appropriate waiver form?  Yes  No

Were URA requirements met?  Yes  No

**RECORDKEEPING AND DOCUMENTATION**

The contract signed between the City and the sub-grantee specifies that records documents be maintained including:

- ◆ Description of activities to be taken;
- ◆ Information indicating that a National Objectives is being met by the activities conducted;
- ◆ Eligibility information demonstrating eligibility of activities;
- ◆ Documents on use of CDBG funds for acquisition/improvement/use/disposition of real property;
- ◆ Documents showing compliance with fair housing, affirmative action; equal opportunity requirements;
- ◆ Financial records
- ◆ Other records (per Subpart K; 24 CFR 570): labor, environmental standards;

National Flood Insurance; displacement/relocation/acquisition/replacement of housing; employment/contracting opportunities; lead-based paint; cost principles, conflict of interest.

Are applicable records kept?  Yes  No

Identify records/documents not being maintained as required, and why not:

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Will records be maintained for five years after termination of activities funded under this agreement, as specified in the agreement?  Yes  No

**FINANCIAL INFORMATION:** (24 CFR Part §85.20)

Has the subrecipient expended \$500,000 or more in combined Federal awards in the fiscal year? If yes, have the requirements of OMB Circular A-133 been met?

[OMB Circular A-133 and 24 CFR 570.502(a)(7)]  Yes  No

Does sub-grantee have a current audit (FY \_\_\_\_\_) including a management letter available for review?  Yes  No

If not, explain:

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Are there any outstanding audit issues?  Yes  No

If yes, explain and describe how issues will be resolved

Does the agency have written procedures for approving and recording transactions?

Yes  No

Is there a separation of functions?  Yes  No

Does the agency have the components of a financial management system including a chart of accounts, general ledgers, reconciliation, etc.?  Yes  No

Is the sub-recipient administering the program in accordance with uniform administrative requirements? (“Yes” unless an auditor has found to the contrary).  Yes  No

Is the project operating within the approved budget?  Yes  No

Balance in account at time of monitoring visit\_\_\_\_\_.

Is the balance consistent with sub-grantee records?  Yes  No  
(If not, why not?\_\_\_\_\_)

Are the reimbursement requests submitted to the City supported by adequate documentation (time sheets if salary; invoices if supply or equipment purchased, etc.)?  Yes  No

Does the project have program income?  Yes  No

If yes, is income reported to the City?  Yes  No

Is there any evidence of cash flow problems?  Yes  No  
If Yes, explain:

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Have any disallowable costs been incurred?

- Entertainment  Yes  No
- Cost related to political activities  Yes  No
- Cost related to religious activities  Yes  No
- Contributions/donations  Yes  No
- Fines & Penalties  Yes  No

Are there any obvious instances of unnecessary or unreasonable expenditures?

- Salaries  Yes  No
- Administrative Services or Cost  Yes  No
- Travel  Yes  No
- Entertainment  Yes  No

Has the agency purchased any personal property with CDBG funds (over \$250)?  Yes  No



For Housing Rehab & Economic Development Projects only: Does the project file contain individual environmental review records for each home/residence or business assisted with CDBG?  Yes  No

Davis-Bacon Compliance:

Is this project subject to Davis-Bacon regulations?  Yes  No

Was Contractor listed on the debarred contractors or Excluded Parties list?  Yes  No

Was a wage determination provided?  Yes  No

Is determination on file?  Yes  No  
If yes, Date: \_\_\_\_\_

Date of pre-construction meeting? \_\_\_\_\_

Were certified payroll reports' submitted as required?  Yes  No

Was a HUD-11 Labor Interview completed:  Yes  No  
If yes, Date: \_\_\_\_\_

Is project in compliance with Davis-Bacon requirements?  Yes  No

If not in compliance, state deficiencies and measures needed to correct:  
\_\_\_\_\_  
\_\_\_\_\_

Affirmative Marketing Compliance:  Yes  No

Is project subject to Affirmative marketing efforts? \_\_\_\_\_

Were Affirmative marketing reports' filed as required? \_\_\_\_\_

Is project in compliance with Affirmative marketing requirements? \_\_\_\_\_

If not in compliance, state deficiencies and measures needed to correct: \_\_\_\_\_

◆ If loans are forgivable, are all conditions being met?  Yes  No

◆ If conditions are not being met, what steps have been taken to collect balance of funds?  
\_\_\_\_\_

**PROCUREMENT INFORMATION**

- ◆ Has any of the work done under this program been contracted out?  Yes  No
- ◆ If over 50,000, was item put out to formal bid? (25,000 informal bid)  Yes  No
- ◆ Are price/rate quotations obtained from an adequate number of qualified sources?  Yes  No
- ◆ If applicable, did the agency utilize the Department of Labor's list of Disadvantaged Enterprises?  Yes  No

**ORGANIZATION INFORMATION:**  
Employees and Board Member Records:

- ◆ Identify employees working on this activity, verifying that time logs are maintained and correspond with the hours claimed.  Yes  No
- Are employees' activity time logs current?  Yes  No
- Are there any staffing issues?  Yes  No
- Are there staff turnover concerns?  Yes  No
- Are employees' taxes paid?  Yes  No
- Is there any evidence of nepotism or conflicts of interest?  Yes  No
- Were any board members / employees assisted under this?  Yes  No

If so, list board members assisted:

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- If yes, was a public notice filed?  Yes  No
- If not, was an exception from HUD granted?  Yes  No

**GENERAL COMMENTS:**

Issues encountered: \_\_\_\_\_  
\_\_\_\_\_

Were there any concerns identified in the monitoring?  Yes  No  
[ A concern is a matter which, if not properly addressed, can become a finding and can result in sanctions]

Were there any findings identified in the monitoring?  Yes  No  
[ A finding is a violation of law or regulations which can result in a sanction]

Does the agency need any technical assistance  Yes  No  
If so, what are the identified areas? \_\_\_\_\_  
\_\_\_\_\_

Monitor: Shelly Conley, Asset Management Assistant

Monitor Signature: \_\_\_\_\_ Date: \_\_\_\_\_

Updated 08/11/10