



INFRASTRUCTURE MONITORING CHECKLIST – CDBG

Subrecipient Name	
Project Name	
Preparer	
Date Prepared	

Environmental Review Compliance Checklist

Part A. Environmental Review Record

		Yes	No	N/A	Notes
1.	Has the subrecipient established an ERR?				
2.	Does ERR document the environmental review process, including:				
	<ul style="list-style-type: none"> • Environmental Assessment • All environmental coordination • Public notices/ads • Determinations/Findings • Impacts • Certifications/Removal of Grant Conditions 				
3.	If appropriate, is there a determination of exemption or categorical exclusion?				
4.	If yes, was there documentation to show why the project was exempt or categorically excluded from an assessment?				
5.	Documentation to show compliance with environmental procedures other than NEPA.				
6.	Were funds (private, local or grant) obligated on covered items prior to <i>Environmental Clearance Date</i> ?				

Part B. Environmental Assessment

		Yes	No	N/A	Notes
1.	Were subrecipient's activities coordinated with any other Federal or State agency responsible for implementing applicable laws?				
2.	Was the environmental assessment described with the following:				
	<ul style="list-style-type: none"> • Signed by Chief Executive Officer • Project Data • Existing Environmental Conditions and Trends • Environmental Impacts • Alternatives/Safeguards • Considered Level of clearance findings • Public comments/subrecipient response 				
3.	Was project located within a flood plain area: If yes, were two newspaper publications (2 ads) made and Executive Order 11988 considered?				
4.	Was evidence documented to assure compliance with Historical Preservation Act?				
5.	Was project located within the Coastal Zone? If yes, was the Coastal Zone Management Board advised of project?				

Part C. Publication of Findings for Public Comment

		Yes	No	N/A	Notes
1.	Was proof of publication or posting of finds (C2 Ads, etc.) in the ERR?				
2.	Was notice of finding no significant impact (FONSI) published or posted?				
3.	Was the public given a minimum of 15 days to respond to the subrecipient? Was notice posted a minimum of 18 days?				

4.	Was a notice to the public of request for release of funds published or posted ?				
5.	Were the Finding of No Significant Impact and Request for Release of Funds sent to:				
	<ul style="list-style-type: none"> • Local news media • Interested individuals and groups • Appropriate local, federal, and State agencies Local newspapers • Local post office • Regional EPA office 				

Part D. Actions taken by Subrecipients to request ROF & Certification

		Yes	No	N/A	Notes
1.	Was the request for release of funds and certification completed on the required form?				
2.	Was the form dated and signed by the certifying officer?				

Part E. Environmental Impact Statement

		Yes	No	N/A	Notes
1.	Was a significant impact determined? If yes, a specialized visit is indicated.				
2.	Is there an EIS on file?				

Contract Procedures Compliance Checklist

A. Bidding Procedures

		Yes	No	N/A	Notes
1.	Did subrecipient use small purchase procedures if under \$50,000 or competitive sealed bids if over \$50,000? If competitive sealed bid:				
	a. Was project advertised?				
	b. Were bids opened publicly?				

	c.	Are there minutes to the opening?				
	d.	Was the lowest bid accepted?				
	e.	If not, is rejection based on sound reasons?				
	f.	Is contractor adequately licensed?				

B. Bonding and Insurance

		Yes	No	N/A	Notes
1.		If subrecipient has construction contracts for public works exceeding \$5,000 but less than \$100,000, has the grantee obtained:			
	a.	Evidence of insurance as required by bid documents?			
2.		If subrecipient has construction contracts for other than public works exceeding \$5,000 but less than \$100,000 has the grantee obtained.			
	b.	A bid guarantee as specified in the bid package (optional under \$10,000)?			
	c.	A bond in a responsible sum for faithful performance with adequate surety as specified in the advertisement for bids?			
3.		If subrecipient has construction contracts exceeding \$100,000, has the grantee obtained:			
	a.	Evidence of insurance as required by bid documents?			
4.		Are license requirements or the law itself stated in the contract?			

C. Labor Requirements

		Yes	No	N/A	Notes
1.		Were wage rates included in the solicitation of bid specifications?			
2.		Were all required labor standards provisions included in bid specifications and contracts? (HUD 4010 or comparable language)			

D. Equal Opportunity

		Yes	No	N/A	Notes
1.	Did the contract include clauses for compliance with Executive Order 11246 or the 3 paragraph E.O. Clause?				
2.	Did contract include clauses for compliance with Title VI, Civil Rights Act of 1964 and Section 109 of the H&CD Act of 1974?				
3.	Was certification to "Section 3" compliance included?				
4.	Was there a clause for compliance to Section 504 of the Rehabilitation Act of 1974 (\$2,500 or more)?				

E. Does the Contract Provide For the Following:

		Yes	No	N/A	Notes
1.	Legal remedies for breach of contract by the contractor?				
2.	A termination clause for the grantee stating conditions under which this can happen in contracts over \$10,000?				
3.	The contractors to keep all records for five years?				
4.	Compliance to the Clean Air Act, Clean Water Act, and EPA regulations in all contracts over \$100,000?				
5.	Access to records?				

F. Other Requirements

		Yes	No	N/A	Notes
1.	Are contracts properly executed?				
2.	Were contracts entered into after the effective date of the Grant Agreement?				

Labor Standards Compliance Checklist

Part A. General Information

		Yes	No	N/A	Notes
1.	Give a description of the work including major construction type (i.e., roads, drainage, lines, pump stations, water tanks, etc.				
2.	Give name of prime contractor and contract amount.				
	List any and all subcontractors and type of contract. Use a separate form for applicable subcontractor questions or mark appropriate column(s) with "S" to indicate subcontractor payroll checked.				
3.	Is there evidence of verification of the prime contractor's debarred status?				
4.	Was the proper wage determination obtained?				
	Give decision number(s) and type(s) and expiration date.				
	Does the decision(s) type appear to match the work performed? If no, explain.				
5.	Were wage rates included in the solicitation of bid specifications and the contract?				
6.	Is there evidence of the required check on wage determination(s) status 10 days prior to bid opening?				
7.	Were all required labor standards provisions included in bid specifications and contracts? (HUD 4010 or comparable language.)				
8.	List: 1) bid opening date 2) contract award date 3) start of construction date 4) date of first payroll.				
9.	Was a pre-construction conference held with all necessary persons attending?				
	Did the subrecipient make a diligent effort to have contractors require subcontractors to attend? Documentation?				

	Is there a copy of the minutes?				
	Do minutes indicate legal (Davis Bacon, etc.) concerns were covered?				
	Is there a roster of signatures for all persons in attendance?				
	Were minutes of the pre-construction conference given to the contractor, all subs and the engineer?				
10.	Has a copy of the Certificate From Contractor/Subcontractor Designating Officer or Employee to Supervise Payment of Employees (signature appointee form) been executed for the prime contractor and any subcontractors?				
11.	Were additional classifications needed?				
	If so, is there a record of a HUD 4230A requesting and granting additional classification(s) and rates?				

Part B. Payrolls

		Yes	No	N/A	Notes
1.	Have payrolls been stamped as to date of receipt?				
	Is this date no more than 7 days after the completion of the workweek that the payroll covers?				
	If more than 7 days, what steps were taken by grantee to correct this problem?				
2.	If payrolls are not date stamped does it appear that payrolls were submitted and received on a weekly basis?				
3.	Are payrolls numbered #1 consecutively through the last and marked "final"?				
4.	Are all payrolls signed by a person designated on the signature appointee form or an owner or officer of the construction corporation?				
5.	Is all payroll information complete and at least on the first payroll containing the worker's name, address, and social security number?				

6.	Do all worker's classifications conform to the classification(s) listed on the wage determination?				
7.	Do the wage rates shown on the payrolls equal or exceed those shown on the wage decision(s)?				
8.	Were apprentices used?				
	If so, are there copies of the apprentice registration forms showing required ratios and pay rates?				
9.	Are there deductions for items on the payrolls other than for eligible fringe benefits?				
	If so, is there a statement on file from the worker authorizing such deduction(s)?				
10.	Have workers worked in excess of 40 hours a week?				
	If so, has time and one-half for all overtime been paid?				
11.	If workers have worked in more than one classification (split classifications), have daily time records for all hours been kept and signed by the workers?				
12.	Have weekly statements of compliance been completed and kept on file: <ul style="list-style-type: none"> • back of the payroll - W.H. 347 • separate W.H. 348 				
13.	If the W.H. 347 weekly Payroll Form has not been used, is all of the same information required on the substitute?				
14.	Have errors found on payrolls been corrected in such a manner as for each payroll to stand alone?				
15.	Do payrolls show evidence of having been checked by the payroll examiner?				
16.	Have HUD 11s, Employee Interview Forms, been completed for each classification so utilized?				
	Give number.				
17.	(On construction contracts utilizing more than ten classifications, have at least 10% of the workers been interviewed along with at least one in every classification?) Are HUD 11s signed by the interviewer?				

18.	Do payrolls and HUD 11s show evidence of having been compared?				
	Are HUD 11s signed by the payroll examiner?				
19.	If restitution (back wages) has been necessary, are there supplemental payrolls showing the additional pay and dates for which pay was required?				
	Has the worker so affected signed the supplemental payroll?				
	Is there an explanation of the reason(s) for the restitution?				
20.	If restitution has been necessary due to a violation of the Contract Work Hours and Safety Standards Act (overtime requirements) is there evidence of communication with the Labor Standards Specialist?				
21.	Are the DOL "Notice to Employees" poster and applicable wage determination(s) posted at the work site(s)?				

PROGRAMMATIC MONITORING SUMMARY: (Is the subrecipient meeting the terms of the Subrecipient Agreement and HUD regulations? Discuss both positive conclusions and any weaknesses identified.)

FINDINGS OR CONCERNS: (Note areas that require follow-up action.)

CORRECTIVE ACTIONS: (List the required actions, a schedule for implementing corrective actions or making improvements and schedule for any needed technical assistance or training.)

Program Monitor's Signature

Date(s) Reviewed