



# State of Maine

## Community Development Block Grant Program

## Financial and Programmatic Monitoring Package

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# MAINE COMMUNITY DEVELOPMENT BLOCK GRANT PROGRAM

## Financial & Programmatic Monitoring Package

Community:  Grant Year:

Community Representative/CDBG Administrator:

OCD Staff Reviewer:  Date of Review:

Grant Amount: \$  % of Grant Funds Expended:  %

### Appendices Used (Please check all appendices used)

- Downtown Revitalization   
  Facade Grants   
  Micro-Enterprise Assistance  
 Housing Assistance   
  Labor Standards & Contracting   
  Urgent Need  
 Public Facilities   
  Public Infrastructure   
  Sewer Hook-ups

### FINANCIAL AND ADMINISTRATIVE OVERSIGHT

Does the community currently have other CDBG programs under contract?  Yes  No  
 If yes, list grant type and year.

Grant Type	Year

Is local staff working on the grant being paid with CDBG Funds?  Yes  No  
 If yes, please indicate percent paid and average weekly hours worked.  
 If work is in-kind or voluntary please state.

Name	Job Responsibility	% CDBG Funded	# Hours Worked

Is the community utilizing a consultant(s) for administrative services?  Yes  No  
 If Yes, is the contract between the community and consultant on file?  Yes  No  
 If Yes, does the contract contain clauses required by CFR 24 Part 85?  Yes  No

Name of Consulting Firm	Assigned Project Staff	Contracted Activities

Is the local staff and/or consultant administering the CDBG contract and/or performing rehab tech duties certified by the CDBG Program?  Yes  No

**FINANCIALS and INTERNAL CONTROL**

Are time sheets maintained for local paid personnel?  Yes  No  N/A

Do expenditures require approval on a Warrant?  Yes  No

If yes, how many signatures are required?

If no, how are expenditures paid?

List name(s) and title(s) of person(s) authorized to sign CDBG checks:

Name:  Title:

Name:  Title:

Are these persons bonded?  Yes  No

If yes, please list date of bond issuance and name of bonding agent?

Date Issued:  Bonding Agent:

Are all CDBG funds flowing through the Grantee's Municipal Accounting System?  Yes  No

If no, Explain:

Does the municipal accounting system being utilized perform the following functions:

- Track all CDBG expenditures by date and drawdown?  Yes  No
- Provide a record of cash receipts and disbursements?  Yes  No
- Provide source documentation for expenditures?  Yes  No
- Track program income inflow and expenditure?  Yes  No  N/A

Who performs the following processes?

Approving/signing invoices:

Writing checks:

**FINANCIALS and INTERNAL CONTROL (continued)**

Posting expenditures to a ledger:

Reconciling the checkbook to the bank statement:

E-mailing the requests for payment

Recording the receipt of funds:

Is all work inspected prior to payment of the bill?  Yes  No

If No, explain why:

Who inspects the work?

Is a percentage of the payment retained?  Yes  No

If Yes, how much?

Is the grantee's system of internal control adequate to safeguard CDBG funds?  Yes  No

If No, explain why:

Is the Grantee following established procedures for approving expenditures?  Yes  No

**PROPERTY MANAGEMENT**

Are CDBG Program files in a locked/secure location?  Yes  No

Has any personal property been purchased with CDBG program funds?  Yes  No

If yes, is a personal property register maintained?  Yes  No

Has any real property been purchased with CDBG funds?  Yes  No

If yes, is a real property register maintained?  Yes  No

Is there evidence of deed restrictions (OCD Contract Rider B Number 22) for all properties purchased in whole or in part with CDBG funds?  Yes  No  N/A

Were proper procurement procedures followed?  Yes  No

Has any personal or real property purchased with CDBG funds been disposed of?  Yes  No

If yes, were the proceeds reported as program income?  Yes  No

Do procedures prevent unnecessary or duplicative purchases?  Yes  No

**FINANCIAL MANAGEMENT AND RECORD-KEEPING**

- Are CDBG funds used for reimbursement of expenditures?  Yes  No
- Does the grantee use an interest bearing escrow account?  Yes  No
- If yes, are funds properly requested?  Yes  No
- Is interest reported as Program Income?  Yes  No  N/A
- Does the program generate other program income?  Yes  No

If Yes, What are the sources of the program income?

- Is program income spent according to the program income plan?  Yes  No  N/A
- Is program match being spent as anticipated?  Yes  No

How are expenditures for match funds verified?

Has an audit of the CDBG Program been completed?

Yes  No

If yes, were there any findings?

Yes  No

If yes, have these findings been resolved?

Yes  No

If no, when is next audit scheduled to be completed:

Give a concise description of the project funded with CDBG and matching funds, including the current status:

Complete the table below utilizing the dollar amounts reflected in the latest budget summary:

Activity	IDIS Code	\$ Budgeted	\$ Expended
<b>Totals</b>			

- Are CDBG program activities monitored on a regular basis?  Yes  No
- Have any cases of conflict of interest occurred?  Yes  No
- If Yes, were all disclosure steps followed?  Yes  No
- Have special contract conditions been met?  Yes  No  N/A
- Are program guidelines being followed?  Yes  No
- Are activities being completed as scheduled?  Yes  No

If no, Explain:

**Economic Development Program only:**

Have at least two public hearings been held on this project?  Yes  No

If yes, was notification of same sent to OCD?  Yes  No

If No, when is it expected to be held?

**\*\*Notification of final public hearing must be sent to OCD once it is held\*\***

**CIVIL RIGHTS**

If discrimination has been determined through a formal compliance review or court proceedings, have affirmative actions been taken to overcome those effects?  Yes  No  N/A

Is the facility where applications for program benefits are taken, or administrative office handicapped accessible?  Yes  No

If no, describe the steps taken to accommodate individuals with disabilities:

**ENVIRONMENTAL REVIEW**

Is the Environmental Review Record including the OCD Clearance Letter available for public review?  Yes  No

List all CDBG project activities giving the date of the ERR clearance and the date of first local contract signing for the respective activity.

Project Activities	Date of ERR Clearance	Date of first local contract

Were CDBG funds obligated prior to the OCD ERR Clearance Date?  Yes  No

If yes, explain:

Have there been any activities, not identified in the contract, started or completed with CDBG program funds?  Yes  No

If yes, is there documentation to substantiate program benefit for the additional activities  Yes  No

**ENVIRONMENTAL REVIEW (continued)**

If No, explain:

Have all permits required for project implementation as indicated on the Statutory Checklist been issued prior to the start of construction?  Yes  No  N/A

List all activities requiring permits, type of permit issued, date issued and applicable start of construction date.

Activity	Type of Permit Required	Date Issued	Start of Construction Date

Were all CDBG sites specified prior to completion of the program ERR?  Yes  No

If no, have all sites assisted been listed on the Unspecified Sites reporting form?  Yes  No

For previously unspecified sites, were CDBG contracts obligated prior to completion of the local clearance process identified in the ERR?  Yes  No  N/A

Have new circumstances arisen or have alterations been made that may require additional environmental review?  Yes  No  N/A

Does it appear that necessary environmental review processes have been completed?  Yes  No  N/A

**Areas Needing Improvement:**

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**Findings of Non-Compliance:**

**Required Action:**