**SELF-MONITORING CHECKLIST**

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| **GRANTEE****SELF–MONITORING CHECKLIST****For Flexible Facilities Program (FFP) Projects***Complete this checklist and submit it to the assigned Division of Energy, Housing and Community Resources (DEHCR) project representative upon request during DEHCR’s monitoring of the project.* |
| Grantee (Local or Tribal Government):  |   |
| FFP Grant Agreement #: |  |
| Subrecipient Organization’s Name: |   |
| Preparer's Name, Title, and Organization/Company/Firm:*(person completing this form)* |   |
| Preparer's Phone Number: |   | Preparer’s Email: |   |
| Grantee Approval: |   |  |
|  | Date of Approval by Grantee |  |
|  |   |  |   |  |
|  Name of Grantee Approver\* |  | Title of Grantee Approver\* |
| *\*Type in First & Last Name and Title of Grantee Approver of this document (required only if the Preparer is an external third-party).**\*By entering the name and title of the Grantee Approver above, the Preparer of this document is certifying that the person identified as the Grantee Approver is an employee or official from the Grantee; is authorized by the Grantee to review and approve this document; and approved and authorized the Preparer to submit this document to DEHCR on the Grantee’s behalf. The Grantee Approver must be the Chief Elected Official (CEO) or a person authorized/designated by the CEO on the Signature Certification Form (submitted with the pre-agreement documents for the project) or by the Grantee’s governing body to approve FFP project documents.****If the person submitting this document is not the Grantee Approver, then the submitter must copy (‘cc’) the Grantee Approver when emailing it to DEHCR.*** |

During the contract Performance Period, **all Grantees will be monitored and must complete this Self-Monitoring Checklist as part of the monitoring process.**

**INSTRUCTIONS:**

1. Complete this *Self-Monitoring Checklist* while reviewing the Grantee’s FFP project file.
	* Enter an “X” in the “Yes”, “No”, or “N/A” column in the checklist to indicate whether the Grantee does or does not have the item listed in the Grantee’s FFP project file, or if it is not applicable to the project.
	* Respond to the questions within the checklist, entering an “X” in the “Yes”, “No”, or “N/A” column (selecting “N/A” only if the item is not applicable to the project) where requested.
	* Enter dates in the “Date” entry fields where requested, providing the date the item listed is dated or was signed/executed, issued, published, submitted to DEHCR, etc.
	* Enter the information requested in the fill-in entry fields where requested.
2. Once the Self-Monitoring Checklist has been fully completed and approved by the Grantee for submission, type in the Preparer and Grantee Approver name(s), title(s), contact information and approval date on the first page of the checklist where specified.
3. Return the completed, Grantee’s approved Self-Monitoring Checklist via email to the assigned DEHCR project representative by the date specified in the monitoring notice letter.
4. Retain a copy of the completed, Grantee’s approved Self-Monitoring Checklist in the Grantee’s FFP project file.

**MONITORING ITEMS:**

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| **1. Application and Community Engagement Documentation:** (Indicate whether the following items are present within the FFP project folder.) |
| **Ref.** **#** | **Application:** | **YES** | **NO** | **N/A** | **Date:** |
|  | FFP Application with all attachments, signed and as submitted to DEHCR |  |  |  |   |

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| **2. Award & Grant Agreement Documentation and Project Signage:** (Indicate whether these items are present within the FFP project folder.) |
| **Ref.****#** | **Award Documentation:** | **YES** | **NO** | **N/A** | **Date:** |
|  | Award letter and Signed Acceptance of Award |  |  |  |   |
|  | Agreement / “Contract” (enter final date signed by all parties) |  |  |  |   |
| **Ref.****#** | **Grant Agreement Documentation:** | **YES** | **NO** | **N/A** | **Date:** |
|  | Amendment(s): *If applicable, list total number: \_*  *\_*  |  |
|  | Amendment 1 (specify final date signed by all parties) |  |  |  |   |
|  | Amendment 2 (specify final date signed by all parties) |  |  |  |   |
|  | Amendment 3 (specify final date signed by all parties) |  |  |  |   |
| **Ref.****#** | **Subrecipient Documentation (if applicable):** | **YES** | **NO** | **N/A** | **Date:** |
|  | Subrecipient Agreement with Grantee (executed copy maintained in project file) |  |  |  |   |
|  | Subrecipient Survey (form within application or completed separately, maintained in the project file) |  |  |  |   |
| **Ref.****#** | **Project Site Signage** | **YES** | **NO** |  |  |
|  | Is an FFP project sign with required FFP information posted (as specified in Attachment FFP-03-06) at the project site? |  |  |  |  |
|  | Photo documentation of the erected project site sign is in the FFP project file? |  |  |  |  |

**Additional Notes/Comments for Application, Award, and Grant Agreement:**

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| **3. Procurement & Contracting Documentation:** (Indicate whether these items are present within the FFP project folder.) |
| *NOTE: For Grantees, the contracts directly with the Grantee are deemed “prime” contracts. For Subrecipients and or Developers (if applicable), the contracts directly with the Subrecipient or Developer are deemed “prime” contracts.* |
| **Ref.****#** | **Procurement and Conflict of Interest Policy Documentation:** | **YES** | **NO** | **N/A** | **Date:** |
| 1.
 | Copy of Grantee’s Procurement Policy(ies) |  |  |  |   |
|  | Documentation of ‘efforts’/’mechanisms in place’ to promote/help ensure potential conflict of interest disclosures (e.g. disclosure statements, Board/Council meeting minutes, Grantee’s conflict of interest/ethics policy, etc.) |  |  |  |  |
|  | Potential Conflict of Interest Review documentation (if applicable) |  |  |  |   |
|  | Conflict of Interest Exception Request documentation (if applicable) |  |  |  |   |
|  |  |  |  |  |  |
| **Ref.****#** | **Procurement Documentation for CONSTRUCTION:** | **YES** | **NO** | **N/A** | **Date:** |
|  | Advertisement for Bids (i.e., Request for Bids [RFB]) |  |  |  |   |
|  | The RFB states requirements for services, project specifications, and FFP requirements |  |  |  |  |
|  | The RFB identified all significant evaluation factors including price and their relative importance\* |  |  |  |  |
|  | Affidavit of Publication of Advertisement (in newspaper) for Bids (i.e., Request for Bids [RFB]) |  |  |  |   |
|  | Advertisement for Bids was published in newspaper as a Class 2 Notice or longer *(Published 2 times in 2 separate weeks, with 2nd publication being at least 7 days prior to bid opening date)* |  |  |  |   |
|  | Copies of ALL Bids Received |  |  |  |  |
|  | Detailed Bid Tabulation |  |  |  |   |
| 1.
 | Bids were solicited from an adequate number of providers (i.e., at least 2 bids were received); *or* an exception to award to a sole bidder was approved by DEHCR.\***TOTAL # BIDS RECEIVED: \_ \_** |  |  |  |  |
|  | Sole Bidder award required documentation, if applicable (i.e., request for exception to DEHCR, legal opinion, DEHCR approval of sole bidder contracting) |  |  |  |   |
|  | The contract award(s) went to the contractor(s) with the lowest responsible bid(s). |  |  |  |  |
|  | Board/Council Acceptance of the Successful Bid Documentation\* |  |  |  |   |
|  |  |
| **Ref.****#** | **Procurement Documentation for GRANT ADMINISTRATION Services:** | **YES** | **NO** | **N/A** | **Date:** |
|  | Has the Grantee contracted with a third-party for Grant Administration Services? |  |  |  |  |
| 1.
 | Are any of the Grant Administration costs being paid with FFP funds? |  |  |  |  |
|  | Procurement and contracting for Grant Administration Services *that are paid or are to be paid with FFP* funds are in compliance with the FFP procurement requirements. |  |  |  |  |
| 1.
 | Procurement and contracting for Grant Administration Services *that are paid or are to be paid with FFP and/or with the Grantee’s Match* funds are in compliance with the Grantee’s local procurement policy. |  |  |  |  |
| *ITEMS BELOW ARE REQUIRED IF LOCAL POLICY REQUIRES ITEM OR CONTRACT IS FUNDED WITH FFP:* |
| 1.
 | Request for Proposals (RFP) (or request/solicitation for quotes if Simplified Acquisition method was used in lieu of RFP – requires selecting lowest responsive, responsible quote; and only allowed for contracts specified in Chapter 3 of the Implementation Handbook) |  |  |  |  |
| 1.
 | The RFP or Quotes request included the services required and project specifications |  |  |  |  |
|  | The RFP included all significant evaluation factors (not required for Simplified Acquisition) |  |  |  |  |
|  | Record(s) of advertisement of the RFP / making it available to the public (if RFP method used) or record(s) of Quote solicitations/requests (if Simplified Acquisition method used) |  |  |  |  |
|  | Copies of Proposals received or Quotes received |  |  |  |  |
|  | Records of evaluation of Proposals or Quotes/price comparisons |  |  |  |  |
|  | The contract/agreement was awarded to the firm/entity based on evaluation criteria set forth in RFP (or selected based on lowest price if Simplified Acquisition) |  |  |  |  |
|  | Record of Board/Council Acceptance of the Contract (if required) |  |  |  |   |
|  | Grant Administration Services contract qualifies as a micro-purchase (valued at $10,000 or less) |  |  |  |  |
|  | Approved Request for Non-Competitive Procurement of Grant Administration Services *(in lieu of competitive procurement documentation)*  |  |  |  |   |
|  | Executed Grant Administration contract  |  |  |  |   |
|  | The contract/agreement has all required/applicable FFP language/insertions |  |  |  |  |
|  | Signed Lobbying Certification form from contracted Grant Administrator (and Lobbying Disclosure Form if applicable) |  |  |  |   |
|  |  |  |  |  |  |
| **Ref.****#** | **Procurement Documentation for ENGINEERING Services:** | **YES** | **NO** | **N/A** | **Date:** |
|  | Has the UGLG contracted with a third-party for Engineering Services? |  |  |  |  |
|  | Are any of the Engineering costs being paid with FFP funds? |  |  |  |  |
|  | Procurement and contracting for Engineering Services *that are paid or are to be paid with FFP* funds are in compliance with the FFP procurement requirements, as required. |  |  |  |  |
|  | Procurement and contracting for Engineering Services *that are paid or are to be paid with FFP and/or* *paid with the Grantee’s Match* funds are in compliance with the Grantee’s local procurement policy, as required. |  |  |  |  |
| *ITEMS BELOW ARE REQUIRED IF LOCAL POLICY REQUIRES ITEM OR CONTRACT IS FUNDED WITH FFP:* |
|  | Request for Qualifications (RFQ) or Request for Proposals (RFP) (or request for quotes if Simplified Acquisition method was used in lieu of RFQ/RFP – requires selecting lowest responsive, responsible quote; and only allowed for contracts specified in Chapter 3 of the Implementation Handbook) |  |  |  |  |
|  | The RFQ or RFP or Quotes request included the services required and project specifications |  |  |  |  |
|  | The RFQ or RFP included all significant evaluation factors (not required for Simplified Acquisition) |  |  |  |  |
|  | Record(s) of requests for Qualifications to at least 3 firms/entities (if RFQ method used), or record(s) of advertisement of the RFP / making it available to the public (if RFP method used) or record(s) of Quote solicitations/requests (if Simplified Acquisition method used) |  |  |  |  |
|  | Copies of Qualifications or Proposals or Quotes received |  |  |  |  |
|  | Records of evaluation of Qualifications or Proposals or Quotes/price comparisons |  |  |  |  |
|  | The contract/agreement was awarded to the firm/entity based on evaluation criteria set forth in the RFQ or RFP or selected based on lowest price if Simplified Acquisition |  |  |  |  |
|  | Record of Board/Council Acceptance of the Contract (if required) |  |  |  |   |
|  | Architectural/Engineering Services contract qualifies as a micro-purchase (valued at $10,000 or less) |  |  |  |  |
|  | Approved Request for Non-Competitive Procurement of A/E Services *(in lieu of competitive procurement documentation)*  |  |  |  |   |
|  | Executed Engineering services contract |  |  |  |   |
|  | The contract/agreement has all required/applicable FFP language/insertions |  |  |  |  |
|  | Signed Lobbying Certification form from contracted Engineer (and Lobbying Disclosure Form if applicable) |  |  |  |   |
|  |  |  |  |  |  |
| **Ref.****#** | **Procurement Documentation for OTHER PROFESSINAL Services:** | **YES** | **NO** | **N/A** | **Date:** |
|  | Has the Grantee contracted with a third-party for any other Professional Services? |  |  |  |  |
|  | Are any of the other Professional Services costs being paid with Grantee funds? |  |  |  |  |
|  | Procurement and contracting for other Professional Services *that are paid or are to be paid with FFP* funds are in compliance with the FFP procurement requirements, as required. |  |  |  |  |
|  | Procurement and contracting for other Professional Services *that are paid or are to be paid with FFP and/or paid with the Grantee’s Match* funds are in compliance with the Grantee’s local procurement policy, as required. |  |  |  |  |
| *ITEMS BELOW ARE REQUIRED IF LOCAL POLICY REQUIRES ITEM OR CONTRACT IS FUNDED WITH FFP:* |
| 1.
 | Request for Proposals (RFP); or request/solicitation for quotes if Simplified Acquisition method was used in lieu of RFP (Simplified Acquisition requires selecting lowest responsive, responsible quote; and only allowed for contracts specified in Chapter 3 of the FFP Implementation Handbook) |  |  |  |  |
|  | The RFP or Quotes request included the services required and project specifications |  |  |  |  |
|  | The RFP included all significant evaluation factors (not required for Simplified Acquisition) |  |  |  |  |
|  | Record(s) of advertisement of the RFP / making it available to the public (if RFP method used); or record(s) of Quote solicitations/requests if Simplified Acquisition method was used |  |  |  |  |
|  | Copies of Proposals received or Quotes received |  |  |  |  |
|  | Records of evaluation of Proposals or Quotes/price comparisons |  |  |  |  |
|  | The contract/agreement was awarded to the firm/entity based on evaluation criteria set forth in RFP; or selected based on lowest price if Simplified Acquisition was used |  |  |  |  |
|  | Record of Board/Council Acceptance of the Contract (if required) |  |  |  |   |
|  | Other Professional Services contract qualifies as a micro-purchase (valued at $10,000 or less) |  |  |  |  |
|  | Approved Request for Non-Competitive Procurement of Professional Services *(in lieu of competitive procurement documentation)*  |  |  |  |   |
|  | Executed other Professional Services contract(s)  |  |  |  |   |
|  | The contract(s)/agreement(s) has/have all required/applicable FFP language/insertions |  |  |  |  |
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| **Ref.****#** | **Procurement Documentation for OTHER PROFESSINAL Services: (continued)** | **YES** | **NO** | **N/A** | **Date:** |
|  | Signed Lobbying Certification form(s) from contracted other Professional Services provider(s) (and Lobbying Disclosure Form(s) if applicable) |  |  |  |   |
|  |   |  |  |  |  |
| **Ref.****#** | **Procurement Documentation for GOODS / PRODUCTS / SUPPLIES:** | **YES** | **NO** | **N/A** | **Date:** |
|  | Records and documentation for procurement of goods/products/supplies purchased for FFP project |  |  |  |  |
|  | Purchase of all items paid with (or to be paid with) FFP funds was in compliance with the FFP procurement requirements set forth in Chapter 3 of the FFP Implementation Handbook. |  |  |  |  |
|  | Purchase of ALL items was in compliance with the Grantee’s local procurement policy. |  |  |  |  |
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| **Ref.** **#** | **Procurement Documentation for Professional Services and Other Non-Construction:** |
|  | **Names of Consultants/Vendors/Providers *contracted with Grantee (or Subrecipient or Developer, if applicable)* for Professional Services and/or other Non-Construction Services/Activities** | **Method(s) of Procurement** |
|  | Simplified Acquisition (3 quotes obtained *or* Micro-Purchase) | Request for Proposals (RFP) | Request for Qualifica-tions (RFQ) | Competi-tive Sealed Bid Process | Non-Competi-tive |
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**Additional Notes/Comments for Procurement & Contracting:**

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| **4. Environmental Review Documentation:** (Indicate whether these items are present within the FFP project folder.) |
| **Ref.****#** | **Environmental Review Documentation:** | **YES** | **NO** | **N/A** | **Date:** |
|  | Project Environmental Report (complete Report and related documentation) |  |  |  |   |
|  | ERR Certification letter (for projects with construction and/or demolition) from the Department of Administration (DOA) Environmental Desk |  |  |  |   |
|  | FFP funds were **not** expended or obligated prior to the date on the DOA Environmental Certification letter, *other than* for activities allowed prior to the ER being certified (e.g., grant administration, engineering, etc.), as required. ***In the Date field, enter the date that FFP funds were first expended/obligated.****[Guidance: Answer* ***YES*** *if this statement is true;* ***NO*** *if false.]* |  |  |  |   |
|  | *Non*-FFP (Match) funds for project were **not** expended or obligated prior to the date on the DOA Environmental Certification letter, *other than* for activities allowed prior to the ER being certified (e.g., grant administration, engineering, etc.), as required.***In the Date field, enter the date that non-FFP (Match) funds were first expended/obligated.****[Guidance: Answer* ***YES*** *if this statement is true;* ***NO*** *if false.]* |  |  |  |   |

**Additional Notes/Comments for Environmental Review:**

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| **5. Acquisition & Relocation Documentation:** (Indicate whether these items are present within the FFP project folder.) |
| **Ref.** **#** | **Acquisition / Relocation Documentation:**  | **YES** | **NO** | **N/A** | **Date:** |
|  | Acquisition/Relocation Questionnaire/Certification(*pre-agreement document*) |  |  |  |  |
|  | Acquisition/Relocation Notice(s) to DEHCR |  |  |  |   |
|  | Acquisition/Relocation Monitoring Checklist(s) |  |  |  |   |
| 1.
 | Relocation Plan(s) |  |  |  |   |
|  | DOA Legal Services Approval of Relocation Plan(s) |  |  |  |   |
|  | “Sole Benefit to Property Owner” Temporary Easement Letter to DEHCR *(if applicable)* |  |  |  |   |
|  | Documentation for Acquisition and Relocation activities and regulatory compliance(e.g., notices, correspondence, fair market value determination records, appraisals, condemnation proceedings documentation, record of payments, etc. – as specified in the Acquisition/Relocation Checklists) |  |  |  |  |

**Additional Notes/Comments for Acquisition & Relocation:**

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| **Ref.** **#** | **6. Equal Opportunity Compliance Documentation:** (Indicate whether the language insertion was included in procurement solicitations and contracts; and whether the data were provided to DEHCR in the Quarterly Reports.) | **YES** | **NO** | **N/A** |
|  | Was equal opportunity language included in procurement/bid solicitations? |  |  |  |
|  | Was equal opportunity language included in prime contracts and subcontracts? |  |  |  |
|  | Were small business, MBE, WBE, DVB, and labor surplus firm data provided for contractors on the grantee’s Quarterly Reports? |  |  |  |
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**Additional Notes/Comments for Equal Opportunity:**

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| **7. Fair Labor Practices / Labor Standards Documentation:**(Indicate whether these items are present within the FFP project folder.) |
| *NOTE: For Grantees, the contracts directly with the Grantee are deemed “prime” contracts. For Subrecipients and or Developers (if applicable), the contracts directly with the Subrecipient or Developer are deemed “prime” contracts.* |
| **Ref. #** | **7A. Fair Labor Practices / Labor Standards Documents:**(Indicate whether these items are present within the FFP project folder.) | **YES** | **NO** | **N/A** |
|  | Do Davis-Bacon Act requirements and Federal Prevailing Wage Rates apply to this FFP project? *They are not required by the Flexible Facilities Program funding, but may be applicable if another funding source for the project requires it.* |  |  |  |
|  | *If* ***YES****, provide a brief explanation of why they do apply:* |
|  | Did construction for the project start on or before the due date listed in the timetable in Attachment A of the grant agreement? |  |  |  |

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| **Ref.**  **#** | **Bidding for Construction, Renovation/Expansion, and/or Demolition: (continued)** | **YES** | **NO** | **N/A** |
|  | Were the FFP fair wage rate specifications included in the bid packet(s)? |  |  |  |
| **Ref.**  **#** | **Pre-Construction Meeting Documentation:** | **YES** | **NO** | **N/A** |
|  | Was a Pre-Construction Meeting held? *[Recommended – Not Required.]* |  |  |  |
|  | *If* ***YES****, enter the Pre-Construction Meeting Date:*  |
|  | *If* ***NO*** *(a Pre-Construction Meeting was not held), explain how the grant requirements were communicated to all Contractors and Subcontractors:*

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|  | Were the Pre-Construction Meeting Minutes/Notes submitted to DEHCR? *[Required if meeting was held.]* |  |  |  |
|  | Are the Pre-Construction Meeting Agenda and Minutes/Notes on file *[Required if meeting was held.]* |  |  |  |
| **Ref.**  **#** | **Other Fair Labor Practices / Labor Standards Requirements:** | **YES** | **NO** | **N/A** |
|  | Is a system in place to ensure that all payrolls and related records verifying fair labor practices and fair wages compliance in accordance with the FFP labor standards and specifications are retained by the Grantee for the records retention period for the FFP project? |  |  |  |

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| **Ref.**  **#** | **Bidding for Construction, Renovation/Expansion, and/or Demolition:** |
|  | Complete the information below for each Prime Contract awarded for construction under separate bid(s). *If the bidding for the contract included more than one bidding round, then enter the information for each bidding round, labeling the entries, as #1, #2, etc. (for bidding round #1, bidding round #2, etc.).* |
|  | **PRIME CONTRACT #1** |
|  | Bid Advertisement Date(s):  |  | Bid Opening Date:  |  |
|  | Contract Award Date:  |  | Construction Start Date:  |  |
|  | **PRIME CONTRACT #2** |
|  | Bid Advertisement Date(s):  |  | Bid Opening Date:  |  |
|  | Contract Award Date:  |  | Construction Start Date:  |  |
|  | **PRIME CONTRACT #3** |
|  | Bid Advertisement Date(s):  |  | Bid Opening Date:  |  |
|  | Contract Award Date:  |  | Construction Start Date:  |  |
|  | **PRIME CONTRACT #4** |
|  | Bid Advertisement Date(s):  |  | Bid Opening Date:  |  |
|  | Contract Award Date:  |  | Construction Start Date:  |  |
|  | **PRIME CONTRACT #5** |
|  | Bid Advertisement Date(s):  |  | Bid Opening Date:  |  |
|  | Contract Award Date:  |  | Construction Start Date:  |  |
|  | **PRIME CONTRACT #6** |
|  | Bid Advertisement Date(s):  |  | Bid Opening Date:  |  |
|  | Contract Award Date:  |  | Construction Start Date:  |  |
|  | **PRIME CONTRACT #7** |
|  | Bid Advertisement Date(s):  |  | Bid Opening Date:  |  |
|  | Contract Award Date:  |  | Construction Start Date:  |  |
|  | **PRIME CONTRACT #8** |
|  | Bid Advertisement Date(s):  |  | Bid Opening Date:  |  |
|  | Contract Award Date:  |  | Construction Start Date:  |  |
| *If there are more than 8 Prime Contracts for the project, either save an additional copy of this page with the additional contracts entered; or alternatively, enter the information for each additional contract in the Prime Contract #8 section above, entering the information for each contract in each field, labeling the entries as #9, #10, #11, etc. (for Prime Contract #9, Prime Contract #10, Prime Contract #11, etc.).* |

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| **7B. Fair Labor Practices / Labor Standards Contractor List & Information:**(Indicate whether these items are present within the FFP project folder.) |
| ***List Contractor Name, Work Start Status, and Separate File Status for ALL Prime Contractors:*** |
| **Ref.****#** | **Contractor:** | **Name:** | **Has Contractor Started Work on FFP Project?****(Yes or No)** | **Separate File/Folder for Contractor on File****(Yes or No)** |
|  | Prime Contractor #1 |   |  |  |
|  | Prime Contractor #2 |   |  |  |
|  | Prime Contractor #3 |   |  |  |
|  | Prime Contractor #4 |   |  |  |
|  | Prime Contractor #5 |   |  |  |
|  | Prime Contractor #6 |   |  |  |
|  | Prime Contractor #7 |   |  |  |
|  | Prime Contractor #8 |   |  |  |
| ***List Subcontractor Name, Work Start Status, and Separate File Status for ALL Subcontractors:*** |
| **Ref.****#** | **Subcontractor:** | **Name:** | **Has Contractor Started Work on FFP Project? (Yes or No)** | **Separate File/Folder for Contractor on File****(Yes or No)** |
|  | Subcontractor #1 |   |  |  |
|  | Subcontractor #2 |   |  |  |
|  | Subcontractor #3 |   |  |  |
|  | Subcontractor #4 |   |  |  |
|  | Subcontractor #5 |   |  |  |
|  | Subcontractor #6 |   |  |  |
|  | Subcontractor #7 |   |  |  |
|  | Subcontractor #8 |   |  |  |
|  | Subcontractor #9 |   |  |  |
|  | Subcontractor #10 |   |  |  |
|  | Subcontractor #11 |   |  |  |
|  | Subcontractor #12 |   |  |  |
|  | Subcontractor #13 |   |  |  |
|  | Subcontractor #14 |   |  |  |
|  | Subcontractor #15 |   |  |  |
|  | Subcontractor #16 |   |  |  |
|  | Subcontractor #17 |   |  |  |
|  | Subcontractor #18 |   |  |  |
|  | Subcontractor #19 |   |  |  |
|  | Subcontractor #20 |   |  |  |

**Additional Notes/Comments for Construction Prime Contractors/Subcontractors:**

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| **7C.** **Individual Contractor Fair Labor Practices / Labor Standards Monitoring Checklist***(Complete this section of the Self-Monitoring Checklist for* ***each*** *Prime Contractor* ***and each*** *Subcontractor individually. Copy the pages of this Individual Contractor checklist as needed to complete it for each contractor.)* |
| Name of Contractor: |  | *Is this a Prime Contractor or a Subcontractor?* **[ ]**  Prime or **[ ]** Sub |
| SAM.gov Unique Employer Identification (UEI) Number (if registered on SAM.gov): |   |
| Prime Contract Amount: | $ |   | Sub-Contract Amount: | $ |   |
| Contractor’s Work Start Date on the FFP Project: |   |
| Contractor’s Work End Date on the FFP Project: |   |
| If the Contractor is a Subcontractor (any tier), enter Name of the associated Prime Contractor: |  |

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| **Ref.****#** | **Contractor File & Contracting Compliance:** | **YES** | **NO** | **N/A** |
|  | Has the Grantee established a separate file/folder for this Contractor? |  |  |  |
|  | Does the Grantee have a complete copy of the executed written contract? |  |  |  |
|  | Is the required FFP language/insertions included in the contract (see below)?\* |  |  |  |
| *\*Items listed below may be applicable/required, recommended, or not applicable (N/A) to the contract/subcontract, depending on the nature of the project and contract. For certain items, it may have been allowable to provide the document separately instead of “in” the contract. Refer to Chapters 3, 6 and 7 in the FFP Implementation Handbook for further guidance.* |
| **INCLUDED *WITHIN/AS PART OF* THE CONTRACT:** |
|  | FFP Project Contract Terms & Conditions (Contract Insertion) *(Attachment FFP-03-03) (required)* |  |  |  |
| **INCLUDED *WITHIN/AS PART OF* THE CONTRACT *OR* SEPARATELY AT THE TIME OF CONTRACTING:** |
|  | Potential Conflict of Interest Disclosure Form *(Attachment FFP-03-01)* ***or***similar potential conflict of interest disclosure document(s) *(required for Prime Contracts only)* |  |  |  |
|  | Lobbying Certification Form *(Attachment FFP-03-04) (required)* |  |  |  |
|  | Disclosure of Lobbying Activities Form *(Attachment FFP-03-05) (required if contractor has lobbying activities to disclose)* |  |  |  |
|  | FFP Construction Project Site Sign Specifications insertion *(Attachment FFP-03-06) (recommended – sign is required to be posted by Grantee, Subrecipient or Prime Contractor)* |  |  |  |
|  |  |  |  |  |
| **Ref.****#** | **Contractor File & Contracting Compliance (continued):** | **YES** | **NO** | **N/A** |
|  | SAM.gov Debarment/Exclusion Check Record(s) on file: |  |  |  |
|  | Debarment/Exclusion Check record on the entity’s name, as required? |  |  |  |
|  | Debarment/Exclusion Check record on the entity owner’s name, as recommended? |  |  |  |
|  | Debarment/Exclusion Check performed **BEFORE** the entity was awarded and executed the contract, as required? |  |  |  |
|  | Contractor’s Signed Lobbying Certification on file? |  |  |  |
|  | Contractor’s completed Disclosure of Lobbying Activities Form *(if the Contractor had any lobbying activities to disclose)*? |  |  |  |
|  | Contractor’s signed Potential Conflict of Interest Disclosure Form *(Attachment FFP-03-01 or similar document used to request the contractor to disclose potential conficts of interest) on file? (required for Prime Contractors only)* |  |  |  |
|  |  |  |  |  |
| **Ref.****#** | **Pre-Construction Meeting Documents:** | **YES** | **NO** | **N/A** |
|  | Did the Contractor attend the Pre-Construction Meeting(s) *(if a Pre-Construction Meeting was held)*? *(recommended)* |  |  |  |
|  |  |  |  |  |
| **Ref.****#** | **Payroll Records Compliance:** | **YES** | **NO** | **N/A** |
|  | Are weekly or bi-weekly certified payroll records (depending on frequency of the contractor’s regular payroll) or "no work" letter(s)/statement(s)/emails on file covering all weeks from the Contractor’s start date on the project to present? |  |  |  |
|  | Are payrolls numbered (first to last) and/or dated sequentially? |  |  |  |
|  | If the Contractor has completed work on the project, then is the final certified payroll record marked as the “final” payroll record (or alternatively, an email record or other record of communication from the Contractor is on file that verifies the final week the Contractor worked on the FFP project)? |  |  |  |
|  | Is a Statement of Compliance page signed by an authorized person of the company included with each weekly certified payroll record? |  |  |  |
|  | Are workers’ individual identification numbers (e.g., employee ID number, last 4 digits of social security number, or similar) shown on at least the first payroll record (or if not on the payroll record, then provided on a separate sheet)? |  |  |  |
|  | Are workers’ phone numbers and addresses on the certified payrolls (or if not on the payroll record, then provided on a separate sheet)? |  |  |  |
|  | Do wage plus fringe benefits hourly rates shown on the payroll records equal or exceed the hourly wage rate specified for federal contracts in EO 14026, as specified in FFP Handbook guidance ($17.20/hour as of 1/1/2024; $17.75/hour starting 1/1/2025; rate to be increased annually for inflation per guidance in Chapter 7 of the Handbook)  |  |  |  |
|  | Is/was time and a half paid (in accordance with the CWHSSA and FLSA specifications) to workers for work performed over 40 hours in a work week *(including hours worked on the FFP project and work on other projects that were subject to the CWHSSA overtime standards in the same week)*? |  |  |  |
|  | Are fringe benefits paid into plans and cash fringe (if applicable) itemized and properly documented/listed for each worker? |  |  |  |
|  | Are "Other" deductions (if applicable) itemized and properly documented/listed for each worker? |  |  |  |
|  | Does the Contractor have apprentices and/or trainees (in a qualifying official apprentice/trainee program) working on the FFP project? |  |  |  |
|  | Are the proper apprentice/trainee indenture papers on file for each apprentice/trainee? |  |  |  |
|  | If NO, then was/were the apprentice(s)/trainee(s) paid at least an hourly wage plus fringe benefits rate specified in EO 14026? |  |  |  |
|  | Are/were there any Base Wage (straight-time) underpayment violations on this project by the Contractor? |  |  |  |
| 1.
 | Base Wage Underpayment Amount *(Amount Paid, or Amount Due if not yet* *Paid)*: **\_ \_** |  |  |  |
|  | Has Base Wage underpayment restitution been paid to workers? |  |  |  |
|  | If the Base Wage Underpayments have not yet been paid/resolved, briefly explain the reason for and status of the non-payment/non-resolution: **\_**  \_ |  |  |  |
|  | Are one or more Certified Correction Payroll Records with the signed Statement of Compliance page(s) and the employee paystub copy/copies on file to verify the Base Wage underpayment(s) was/were paid to the worker(s) (i.e., to verify the underpayment(s) was/were resolved)? |  |  |  |
|  | Are/were there any Overtime wage underpayment violations on this project by the Contractor? |  |  |  |
|  | Overtime Underpayment Amount *(Amount Paid, or Amount Due if not yet* *Paid)*: **\_ \_** |  |  |  |
|  | Has Overtime underpayment restitution been paid to workers? |  |  |  |
|  | If the Overtime Underpayments have not yet been paid/resolved, briefly explain the reason for and status of the non-payment/non-resolution: **\_**  \_ |  |  |  |
|  | Are one or more Certified Correction Payroll Records with the signed Statement of Compliance page(s) and the employee paystub copy/copies on file to verify the Overtime underpayment(s) was/were paid to the worker(s) (i.e., to verify the underpayment(s) was/were resolved)? |  |  |  |
|  | Have overtime wage underpayment penalty fees (i.e., liquidated damages fees) been collected from the contractor per CWHSSA (if deemed required/if imposed)? |  |  |  |
|  | Overtime Underpayment Penalty Fees/Liquidated Damages Amount *(Amount Paid or Amount Due if not yet* *Paid)*: **\_ \_** |  |  |  |
|  | If the Overtime Penalty Fees/Liquidated Damages were deemed required/were imposed but have not yet been paid/resolved, briefly explain the reason for and status of the non-payment/non-resolution: **\_**  \_ |  |  |  |
|  |  |  |  |  |
|  | **Additional Notes/Comments for Individual Contractor Labor Standards Compliance:** |  |  |  |
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| 1. **Financial Management Documentation:**

(Indicate whether these items are present within the FFP project folder.) **List Date of Final Version of Document on File (after revisions, if applicable)** |
| **Ref.****#** | **Bank Documents:** | **YES** | **NO** | **N/A** | **Date(s):** |
|  | Bank Statements (for FFP and Match funding disbursements and FFP funding deposits) |  |  |  |   |
|  | Bank account in which FFP funds are deposited from DOA is a *non-interest bearing* account, as required. |  |  |  |  |
|  | Signature Certification form *(enter CEO signature date)* |  |  |  |   |
|  | Financial Contact Person form |  |  |  |  |
|  | Authorization for Direct Deposit form (or Address Update Form if receiving FFP payments via paper check) |  |  |   |  |
|  | New Supplier form |  |  |   |  |
|  | W-9 TIN Certification form |  |  |   |  |
| **Ref.****#** | **Payments (“Drawdowns”) Documents:** | **YES** | **NO** | **N/A** | **Date(s):** |
|  | Completed Request for Payment forms (i.e., draw forms) |  |  |  |   |
|  | Records/Notifications of Deposit (e.g., deposit slip, account record/statement, etc.) |  |  |  |  |
| **Ref.****#** | **Cash Control Register (CCR) Documents:** | **YES** | **NO** | **N/A** | **Date(s):** |
|  | CCR copies all in file |  |  |  |  |
|  | FFP payment deposit dates agree with the deposit dates on account records |  |  |  |  |
|  | Payment date(s) agree with the account records |  |  |  |  |
|  | Reports balance of cash on hand each day a payment or deposit was made |  |  |  |  |
|  | FFP account does not have any federal cash on hand for more than ***10 business days*** in the FFP account. ***Exceptions (Describe):***  |  |  |  |  |
|  | FFP funds have been disbursed from the FFP account within ***10 business days*** of deposit into the account. ***Exceptions (Describe):***  |  |  |  |  |
|  | Only FFP funds are deposited into the account (if the account is exclusively used for the FFP project) or a separate account register is established (if the account is not exclusively used for the FFP project). ***Exceptions (Describe):***  |  |  |  |  |
|  |
| **Ref.****#** | **Cash Control Register (CCR) Documents (continued):** | **YES** | **NO** | **N/A** | **Date(s):** |
|  | CCR is mathematically correct |  |  |  |  |
| 1.
 |  Total payments to date per CCR: | **$**  |  |
|  | Total payments to date per FFP account records: | **$**  |  |
|  | Adjusted FFP Account Balance (if applicable) |  |  |
|  | Current FFP Account Balance: | **$**  |  |
|  | (+) Deposits in Transit | **$**  |  |
|  | (-) Checks Outstanding | **$**  |  |
|  | (=) Adjusted FFP Account Balance | **$**  |  |
|  | **CCR Comments:** |
| **Ref.****#** | **FFP Disbursements Journal (FFP DJ) Documents:** | **YES** | **NO** | **N/A** | **Date(s):** |
|  | Disbursements Journal copies all in file |  |  |  |  |
|  | Reports FFP award amount, budget activities and budgeted FFP amount for each activity in header row |  |  |  |  |
|  | Lists each invoice date, payee (with invoice number), payment date, check number or EFT payment notation and amounts paid with FFP funding; and indicates which checks, if any, are voided |  |  |  |  |
|  | Disbursement Journal entries correspond to checks/EFT payments issued and account records with regards to payee, payment date, check number or EFT payment record and payment amt. |  |  |  |  |
|  | Lists payments using FFP funds (i.e., FFP disbursements) to date in total and by budget activity, recorded for each FFP payment request |  |  |  |  |
|  | Source documentation on file for payments using FFP funds (i.e., FFP disbursements): (e.g., invoices from contractors and others, processed checks/bank checks, payment receipts, board/council and engineer approvals of expenditures, etc.) |  |  |  |  |
|  | Source documentation is mathematically correct |  |  |  |  |
|  | **FFP DJ Comments:**  |
| **Ref.****#** | **Matching Funds Journal (MFJ) Documents:** | **YES** | **NO** | **N/A** | **Date(s):** |
| 1.
 | Matching Funds Journal copies all in file |  |  |  |  |
|  | Reports total budgeted match amount, budget activities and budgeted match amount for each activity in the header row |  |  |  |  |
|  | Lists each invoice date, payee (with invoice number), payment date, check number or EFT payment notation and amount paid with match funds, if match is funding project |  |  |  |  |
| **Ref.****#** | **Matching Funds Journal (MFJ) Documents (continued):** | **YES** | **NO** | **N/A** | **Date(s):** |
|  | Corresponds to checks/EFT payments issued and account records with regards to payee, payment date, check # or EFT payment record and payment amount, if match is funding project |  |  |  |  |
|  | Lists payments made using match funds to date in total and by budget activity, for each FFP payment request, if match is funding project |  |  |  |  |
|  | Source documentation on file for payments using match funds (e.g., invoices from contractors and others, copies of processed checks/bank checks, payment receipts, board/council and engineer approval of expenditures, etc.), if match is funding project |  |  |  |  |
|  | Source documentation is mathematically correct, if match is funding project |  |  |  |  |
|  | Cumulative match equals/exceeds the minimum required match amount (in accordance with the terms of the Grant Agreement), if match funding is required for project |  |  |  |  |
|  | Match funds are maintained in a separate account from the FFP funds; or a separate account register for the FFP funds is established, if match is funding project |  |  |  |  |
|  | **MFJ Comments:** |
|  |  |
|  | **Additional Notes/Comments for Financial Management:** |
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| 1. **Reporting Documentation:**

(Indicate whether these items are present within the FFP project folder.**List Date of Final Version of Document on File (after revisions, if applicable)** |
| **Ref.****#** | **Quarterly Reports** | **YES** | **NO** | **N/A** | **Date:** |
| 1.
 | Reporting Period **#1:** 2024 Q4 10/01/2024 – 12/31/2024  |  |  |  |   |
|  | Reporting Period **#2:** 2025 Q1 01/01/2025 – 03/31/2025 |  |  |  |   |
|  | Reporting Period **#3:** 2025 Q2 04/01/2025 – 06/30/2025 |  |  |  |   |
|  | Reporting Period **#4:** 2025 Q3 07/01/2025 – 09/30/2025  |  |  |  |   |
|  | Reporting Period **#5:** 2025 Q4 10/01/2025 – 12/31/2025  |  |  |  |   |
|  | Reporting Period **#6:** 2026 Q1 01/01/2026 – 03/31/2026 |  |  |  |   |
|  | Reporting Period **#7:** 2026 Q2 04/01/2026 – 06/30/2026 |  |  |  |   |
|  | Reporting Period **#8:** 2026 Q3 07/01/2026 – 09/30/2026  |  |  |  |   |
|  | Reporting Period **#9:** 2026 Q4 10/01/2026 – 12/31/2026  |  |  |  |   |
|  |  |  |  |  |  |
| **Ref.****#** | **Sustainability Plan Update** | **YES** | **NO** | **N/A** | **Date:** |
|  | Sustainability Plan Update completed and submitted on time |  |  |  |   |
|  |  |  |  |  |  |
| **Ref.****#** | **Community Engagement Activities** | **YES** | **NO** | **N/A** | **Date:** |
|  | Community Engagement activities demonstrated and reported on Quarterly Reports |  |  |  |   |
|  |

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|  **Ref.****#** | **Single Audit Statements & Reports** | **YES** | **NO** | **N/A** | **Date(s):** |
|  | Single Audit Statement(s) *(Due to DEHCR each Jan. 15th)*For year(s): Add Year - Add Year |  |  |  |   |
|  | Single Audit Report(s) (if Single Audit(s) required) *(Due to Federal Audit Clearinghouse (FAC) within 90 days of Single Audit being completed or Sept. 30th, whichever is earlier)*For year(s): Add Year - Add Year |  |  |  |   |
|  | Copy(ies) of Record(s) of Single Audit Report(s) of Submission(s) from FAC website (if Single Audit(s) required)For year(s): Add Year - Add Year |  |  |  |   |
|  | Copy(ies) of Email Submission(s) to DEHCR of the Record(s) of Single Audit Report Submission(s) from the FAC website (if Single Audit(s) required)For year(s): Add Year - Add Year |  |  |  |   |
|  | Resolution of Single Audit Findings documentation(if applicable)For year(s): Add Year - Add Year |  |  |  |   |

**Additional Notes/Comments for Reporting:**

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|  |
|  **Ref.****#** | **Subrecipient Documentation** | **YES** | **NO** | **N/A** | **Date(s):** |
|  | Subrecipient Survey completed and on file (within or separate from FFP Application) |  |  |  |   |
|  | Subrecipient agreement with Grantee executed and on file |  |  |  |   |

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| 1. **Project Completion Documentation:**

(Indicate whether these items are present within the FFP project folder.)**List Date of Final Version of Document on File (after revisions, if applicable).****If the Project Completion Report and Final FFP Payment Request documents are not yet due to DEHCR, then mark “N/A”.** |
| **Ref.** **#** | **Project Completion Report Documentation:**  | **YES** | **NO** | **N/A** | **Date:** |
|  | Signed Program Completion Report and supporting documents (e.g. final Quarterly Report, most recent Single Audit Statement and Single Audit Report submission record, if not previously submitted, etc.), as submitted to DEHCR |  |  |  |   |
|  | Final Payment Request and supporting documents, as submitted to DEHCR |  |  |  |   |
| **Ref.** **#** | **Financial Certification of Completion Documentation:**  | **YES** | **NO** | **N/A** | **Date:** |
|  | Final Financial Certificate of Completion (after FFP final payment received by Grantee) |  |  |  |   |
|  | Final Cash Control Register (after FFP final payment received by Grantee) |  |  |  |   |
| 1.
 | Final Disbursement Journal (after FFP final payment received by Grantee) |  |  |  |   |
|  | Final Matching Funds Journal (after FFP final payment received by Grantee) |  |  |  |   |
|  | Final FFP Account Bank Record (after FFP final payment received by Grantee) |  |  |  |   |
|  | Final records of payments for invoices not yet paid as of the Final Payment Request submission (after FFP final payment received by Grantee) |  |  |  |  |
|  | Record of Grantee Funds Returned to DEHCR (if applicable) |  |  |  |   |

**Additional Notes/Comments for Project Completion Documentation:**

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**Additional Notes/Comments for Project Monitoring:**

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