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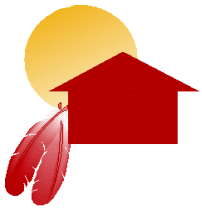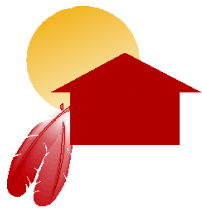| RECIPIENT NAME:	Regulatory/ Statutory Citation	Other Tools	Ref. Pg.	Remarks
Indian Community Development Block Grant (ICDBG)				
ICDBG promotes the development of viable Indian and Alaska Native communities, including the creation of decent housing, suitable living environments, and economic opportunities primarily for persons with low and moderate incomes, as defined in 24 CFR 1003.4. All grant funds awarded in accordance with the annual Notice of Funding Availability (NOFA) are subject to the requirements of 24 CFR 1003.	24 CFR Part 1003	ICDBG NOFA for the year the grant was funded, grant agreement.		
There are two types of ICDBG awards:				
• single-purpose grants are awarded on a competitive basis, following the NOFA criteria for submission and rating of application.	24 CFR Part 1003, Subpart D			
• imminent threat (IT) grants are not funded on a competitive basis and do not have to be funded by the NOFA deadline. IT grants are funded on a "first come, first serve" basis, and are intended to alleviate or remove threats to health or safety that require an immediate solution.	24 CFR Part 1003, Subpart E			

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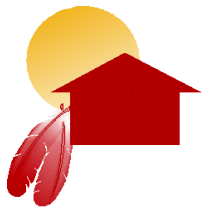| RECIPIENT NAME:	Regulatory/ Statutory Citation	Other Tools	Ref. Pg.	Remarks
I. Purpose				
A. The purpose of this review is to determine whether the recipient (grantee) has: 1. Complied with the requirements of the ICDBG regulations, the grant agreement, and other applicable laws and regulations; 2. Carried out its activities substantially, as described in its application; 3. Made substantial progress in carrying out its approved program; 4. A continuing capacity to carry out the approved activities in a timely manner; and 5. The capacity to undertake additional activities funded under ICDBG.	24 CFR 1003.700			

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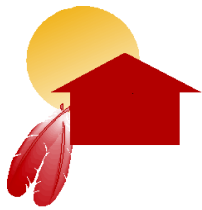| RECIPIENT NAME:	Regulatory/ Statutory Citation	Other Tools	Ref. Pg.	Remarks
II. Pre-Visit Preparation				
A. If available, review the following documents: 1. Previous monitoring findings and corrective actions status for findings 2. Previous financial and OIG audits, work papers and management plan status for findings 3. Previous and current enforcement actions 4. Valid complaints 5. Relevant correspondence	24 CFR Part 1003			
B. Also, review:				
1. The ICDBG NOFA, including the General Section, for the funding year of the grant being reviewed. **2003 NOFA:** http://archives.hud.gov/funding/2003/other/icdbg.pdf **2004 NOFA:** http://edocket.access.gpo.gov/2004/04-22576.htm **2005 NOFA:** http://archives.hud.gov/funding/2005/grpicdbg.cfm **2006 NOFA:** http://archives.hud.gov/funding/2006/grpicdbg.cfm **2007 NOFA:** http://archives.hud.gov/funding/2007/grpicdbg.cfm				

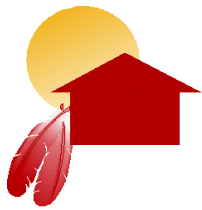| RECIPIENT NAME:	Regulatory/ Statutory Citation	Other Tools	Ref. Pg.	Remarks
2008 NOFA: http://archives.hud.gov/funding/2008/grpicdbg.cfm **2009 NOFA:** http://archives.hud.gov/funding/2009/grpicdbg.cfm **2010 NOFA:** http://archives.hud.gov/funding/2010/grpicdbg.cfm **2011 NOFA:** http://archives.hud.gov/funding/2011/grpicdbg.cfm **2012 NOFA:** http://portal.hud.gov/hudportal/documents/huddoc?id=2012icdbgnofa.pdf **2013 NOFA** http://portal.hud.gov/hudportal/HUD?src=/program_offices/administration/grants/fundsavail/nofa13/icdbg **2014 NOFA** http://portal.hud.gov/hudportal/HUD?src=/program_offices/administration/grants/fundsavail/nofa14/icdbg **2015 Mold NOFA** http://portal.hud.gov/hudportal/HUD?src=/program_offices/administration/grants/fundsavail/nofa2015/icdbgmold **2015 NOFA** http://nwiha.org/wp-content/uploads/2015/09/FY-2015-ICDBG-NOFA-Changes-9.21.15-2.pdf **2016 NOFA** https://www.hud.gov/sites/documents/2016ICDBG-NOFA.PDF				

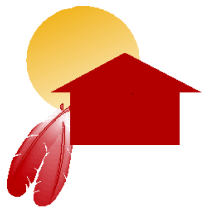| RECIPIENT NAME:	Regulatory/ Statutory Citation	Other Tools	Ref. Pg.	Remarks
2017 NOFA https://www.hud.gov/sites/documents/2017ICDBG NOFA_MOD.PDF				
2. ICDBG program files for reports submitted, i.e., Annual Status and Evaluation Reports, SF-425s, Logic Model reports (HUD-96010) on outputs and outcomes (required for grants funded in FY 2010 and 2011), Contract and Subcontract Activity Reports (HUD-2516).	24 CFR 1003.506(a) and (b)	Program Guidance 2002-14 (Recipients) Program Guidance 2010-02		
3. The funded application:				
a. Develop a list of HUD-funded activities;				
b. Review the Code of Conduct submitted as part of the application;				
c. Review the HUD-4125, Implementation Schedule, approved by ONAP and any amendments;				
d. Determine if the grant has been amended;	24 CFR 1003.305			

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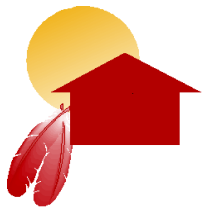| RECIPIENT NAME:	Regulatory/ Statutory Citation	Other Tools	Ref. Pg.	Remarks
e. Review the Cost Summary, form HUD 4123, approved by ONAP;				
f. Review the closeout report (if submitted)	24 CFR 1003.508			
g. Identify projects that have achieved close out, subject to audit status in the last 5 years				
III. On-Site Review				
A. Review the sampling methods in the General Instructions and select sample files.				
B. For the following areas, use the monitoring plans specific to those areas:				
1. Procurement and Contract Administration				
2. Relocation (if applicable)				
3. Lead-Based Paint (if applicable)				
4. Subrecipient Agreements		Subrecipient Agreement Monitoring Plan		
5. Environmental Review				

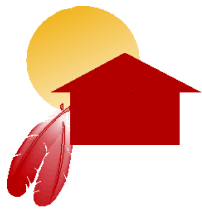| RECIPIENT NAME:	Regulatory/ Statutory Citation	Other Tools	Ref. Pg.	Remarks
C. Compliance with approved application:	24 CFR 1003.700(b)(1)			
1. Review the list of activities for compliance with the approved ICDBG grant application.				
2. Verify that the activities approved in the grant are the same activities undertaken by the recipient.				
3. If the activities are not the same and an amendment was not approved by HUD, contact the staff. This may be a finding.				
4. Request and review financial system expenditure reports for each project.		Form HUD-4123		
a. Compare the expenditure totals to the amounts reported on Form HUD-4123.				
b. Select a sample of expenditures and request supporting documentation for those transactions.				
c. Are financial expenditures consistent with planned expenditures on the Cost Summary?				

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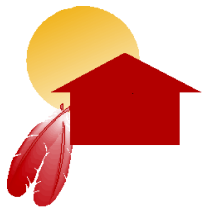| RECIPIENT NAME:	Regulatory/ Statutory Citation	Other Tools	Ref. Pg.	Remarks
5. If the application was awarded points under rating factor 4 for leveraging, have leveraged funds been expended in an amount and method stated in the application?		ICDBG NOFA, Factor 4		
a. If not, have funds been set aside by the recipient for expenditure?				
b. Are leveraged funds (for economic development projects only) spent on a pro-rata basis with grant funds?		ICDBG NOFA, Program-related threshold for economic development projects		
c. Are leveraged funds for projects (other than economic development) being expended for the project?				
d. If leveraging consists of in-kind services, is there documentation to track the in-kind?				
6. If the recipient is utilizing force account, was HUD approval received prior to beginning construction? Is force account work consistent with the program requirements?	24 CFR 1003.509			

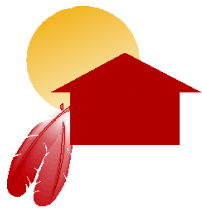| RECIPIENT NAME:		Regulatory/ Statutory Citation	Other Tools	Ref. Pg.	Remarks
7.	Review citizen participation documents to ensure there is consistency with what was submitted in the application and the program requirements.	24 CFR 1003.604			
8.	If the project funded was for housing rehabilitation:				
	a. Is the recipient adhering to HUD required cost limits in the ICDBG NOFA?		ICDBG NOFA, Program and Project Specific Requirements		
	b. Does the recipient have rehabilitation standards and rehabilitation policies that have been adopted, as required by the ICDBG NOFA?		ICDBG NOFA, Program-Related Threshold Requirements		
9.	If the project funded was for Land Acquisition for Housing, is the recipient in compliance with the ICDBG NOFA requirement regarding the provision of a financial commitment for the project?		ICDBG NOFA, Program and Project Specific Requirements		
10.	If the project funded was for new housing construction, is the recipient in compliance with the following ICDBG NOFA program-related thresholds?		ICDBG NOFA Program-Related Thresholds		

RECIPIENT NAME:	Regulatory/ Statutory Citation	Other Tools	Ref. Pg.	Remarks
a. Is the project being implemented by a Community Based Development Organization?				
b. Does the recipient have in effect, adopted construction standards?				
11. If the project funded was for a public facility and improvement project and the ICDBG application said the recipient was assuming responsibilities for operation and maintenance of the facility:		ICDBG NOFA, Factor 3		
a. Did the recipient adopt a maintenance and operation plan? If so, is the recipient complying with the policy?				
b. Does the policy meet the ICDBG NOFA requirements for rating factor 3?				
c. If the application indicated that the recipient was committing funds for the maintenance and operation of the facility, have the funds been used as stated in the application?				

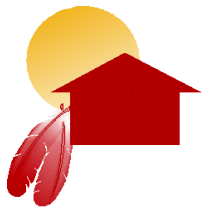| RECIPIENT NAME:	Regulatory/ Statutory Citation	Other Tools	Ref. Pg.	Remarks
D. Program Progress				
1. Regarding the required Implementation Schedule:	24 CFR 1003.700	Form HUD-4125		
a. Are the activities listed on the HUD-4125 the same as the activities undertaken?				
b. Is the actual progress consistent with the HUD-4125?				
c. Should the recipient revise its HUD-4125?				
2. Regarding the required Logic Model, for grants awarded in FY 2010 or later:	24 CFR 1003.506(a)	ICDBG NOFA, Factor 5		
a. Did the recipient submit the required Logic Model at the same time as the ASER?				
b. Did the recipient receive a waiver of the Logic Model electronic submission requirement?				
1. If yes, did the recipient submit a paper copy of the Logic Model?				

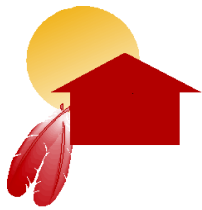| RECIPIENT NAME:	Regulatory/ Statutory Citation	Other Tools	Ref. Pg.	Remarks
c. Did the recipient report on the progress made in achieving outputs and outcomes in its Logic Model?		ICDBG NOFA, Reporting		
d. Is progress consistent with projections described in the application and Implementation Schedule?				
e. If the ICDBG-funded project has been completed, did the recipient submit a Logic Model that identified the final outputs and outcomes?		Rating Factor 5		
3. Did the Area Office receive the completed Contract and Subcontract Activity Report (HUD-2516) by October 10th of each year?	24 CFR 1003.506(b)			
a. If yes, did the report provide the required information on contacting and subcontracting activities during the fiscal year?				
IV. Summary				
A. Summarize the compliance review sections to include:				
1. Compliance with requirements				

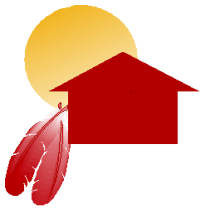| RECIPIENT NAME:	Regulatory/ Statutory Citation	Other Tools	Ref. Pg.	Remarks
2. Violations of the applicable statutes and regulations 3. Issues that should be noted as a concern because they could lead to a violation 4. Significant accomplishments and/or best practices B. Develop report language, including any findings and concerns.				

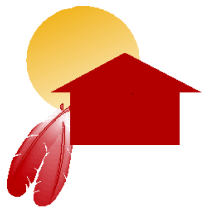|	
Reviewer Name:	
Review Date(s):	

RECIPIENT NAME:	Regulatory/ Statutory Citation	Other Tools	Ref. Pg.	Remarks
Rural Housing and Economic Development/Rural Innovation Fund (RHED/RIF)				
I. Purpose				
The purpose of the review is to determine whether the grantee has complied with the requirements of the RHED/RIF NOFA, the grant agreement, and other applicable laws and regulations.	2 CFR Part 200	RHED/RIF NOFA for year grant funded, grant agreement		
In FY 2010, RHED was replaced by the Rural Innovation Fund. HUD has established three categories of funding within the Rural Innovation Fund (RIF): **1. Single Purpose Grants**: These projects identify a single area of need within a given rural area and propose specific activities to address that need. **2. Comprehensive Purpose Grants**: These projects have deeply examined the social, economic and housing needs and resources of a given rural area and propose a multi-pronged approach to address these multifaceted needs in a comprehensive manner. **3. Economic Development and Entrepreneurship for Federally Recognized Indian Tribes**: These projects enable Indian tribes to promote economic development and entrepreneurship.				

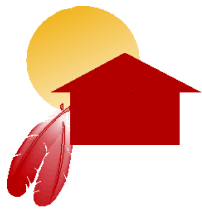| RECIPIENT NAME:	Regulatory/ Statutory Citation	Other Tools	Ref. Pg.	Remarks
II. Pre-Visit Preparation				
A. If available, review the following documents: 1. Previous monitoring findings and corrective actions status for findings 2. Previous financial and OIG audits, work papers, and management plan status for findings 3. Previous and current enforcement actions 4. Valid complaints 5. Relevant correspondence				
B. Also, review: 1. RHED/RIF NOFA, including the General Section, for the funding year of the grant being reviewed. **2003 NOFA:** http://archives.hud.gov/funding/2003/grprural.cfm **2004 NOFA:** http://www.novoco.com/low_income_housing/resource_files/hud_data/FedReg_042304.pdf **2005 NOFA:** http://archives.hud.gov/funding/2005/grprhed.cfm **2006 NOFA:** http://archives.hud.gov/funding/2006/grprhed.cfm				

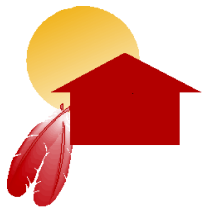| RECIPIENT NAME:	Regulatory/ Statutory Citation	Other Tools	Ref. Pg.	Remarks
2007 NOFA: http://archives.hud.gov/funding/2007/grprhed.cfm **2008 NOFA:** http://edocket.access.gpo.gov/2008/E8-9273.htm **2009 NOFA:** http://archives.hud.gov/funding/2009/grprhed.cfm **2010 Rural Innovation Fund NOFA:** http://www.hud.gov/offices/adm/grants/nofa10/rural-innov.cfm				
2. RHED/RIF program files for reports submitted; i.e., Progress Reports, SF-269s, SF-271s or SF-424As, SF-425s, as applicable, and Logic Model.				
3. The funded application:				
a. Develop a list of HUD-funded activities;				
b. Review the Code of Conduct submitted by the recipient as part of the application;				
c. Review the approved Implementation Schedule and any amendments;		Form HUD-4125		
d. Determine if the grant has been amended; and				

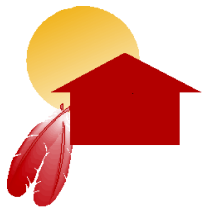| RECIPIENT NAME:	Regulatory/ Statutory Citation	Other Tools	Ref. Pg.	Remarks
e. Review the Project Budget		Form HUD 424-CB		
4. Develop any additional review criteria based on the NOFA.				
III. On-Site Review				
A. Review the sampling methods in the General Instructions and select a sample of files to review.				
B. Not all regulations applicable to RHED/RIF are included in the monitoring plans. For a complete list, review the grant agreement.		RHED/RIF Grant Agreement		
C. For the following areas, use the monitoring plans specific to those areas:				
1. Procurement and Contract Administration				
2. Relocation (if applicable)				
3. Environmental Review under Part 50				
D. Program Progress				
(NOTE: Progress reports are due to be submitted every 6 months after effective date of grant agreement. Report dates are identified in grant approval letter.)	2 CFR 200.327 2 CFR 200.328	RHED/RIF NOFA, requirements for Logic Model		
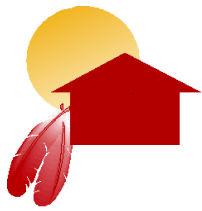
RECIPIENT NAME:	Regulatory/ Statutory Citation	Other Tools	Ref. Pg.	Remarks
1. Are recipient reports submitted in a timely manner, as required?		RHED/RIF NOFA, Reporting		
2. Does the Logic Model report on progress in meeting planned outputs and outcomes identified in the grant application?				
3. Is actual progress consistent with that reported?				
E. Request and review financial system expenditure reports for each project.				
1. Compare the expenditure totals to the amounts reported in the latest status report.				
2. Select a sample of expenditures and request supporting documentation for those transactions.				
F. Do actual activities undertaken meet the eligibility requirements in the NOFA?		RHED/RIF NOFA		
G. Leveraging		RHED/RIF NOFA, rating factor 4		
1. If the application was awarded points under rating factor 4 for leveraging, have leveraged funds been expended in the amount stated in the application?				

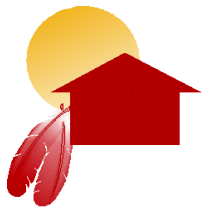| RECIPIENT NAME:	Regulatory/ Statutory Citation	Other Tools	Ref. Pg.	Remarks
a. If not, have funds been set aside for expenditure?				
b. If leveraging consists of in-kind services, is there documentation to track the in-kind?				
H. Grant Term				
(NOTE: The term of an RHED/RIF grant is no more than 36 months from the date the grant agreement is signed by HUD, unless the grant is extended in writing by HUD - up to an additional 12 months).				
1. Were planned activities approved within the grant term?				
2. If work is under way, does it appear that the work will be completed within the grant term or will an extension be required?				
I. Grant Closeout				
1. Within 90 days of project completion, the recipient must submit:				
a. A certification of project completion				
b. A certification of compliance with grant requirements				

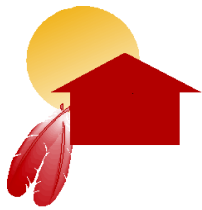| RECIPIENT NAME:	Regulatory/ Statutory Citation	Other Tools	Ref. Pg.	Remarks
c. A breakdown and certification of project costs				
d. A final performance report				
2. Were grant closeout documents submitted when required?				
3. Were closeout documents complete?				
IV. Summary				
A. Summarize the compliance review sections to include:				
1. Compliance with requirements				
2. Violations of the applicable statutes and regulations				
3. Issues that should be noted as a concern because they could lead to a violation				
4. Significant accomplishments and/or best practices				
B. Develop report language including any findings and concerns.				

Reviewer Name:	
Review Date(s):	

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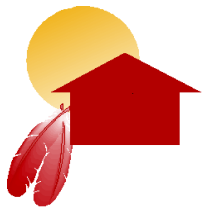| RECIPIENT NAME:	Regulatory/ Statutory Citation	Other Tools	Ref. Pg.	Remarks
Resident Opportunity and Self-Sufficiency Program (ROSS)				
I. Purpose				
The purpose of this review is to ensure that the program requirements are operating efficiently and effectively.	2 CFR Part 200	ROSS NOFA for year grant funded, grant agreement,		
II. Pre-Visit Preparation				

A.   If available, review the following documents:
 	
    1.   Previous monitoring findings and corrective actions status for findings
    2.   Previous financial and OIG audits, work papers, and management plan status for findings
    3.   Previous and current enforcement actions
    4.   Valid complaints
    5. Relevant correspondence				

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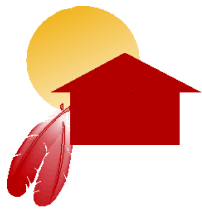| RECIPIENT NAME:	Regulatory/ Statutory Citation	Other Tools	Ref. Pg.	Remarks
B. Also, review:				
1. ROSS NOFA, including the General Section, for the funding year of the grant being reviewed. **2003 NOFA:** http://archives.hud.gov/funding/2003/grpross.cfm **2004 NOFA:** http://archives.hud.gov/funding/2004/grpross.cfm **2005 NOFA:** http://archives.hud.gov/funding/2005/grpross.cfm **2006 NOFA:** http://archives.hud.gov/funding/2006/grpross.cfm **2007 NOFA:** http://archives.hud.gov/funding/2007/grpross.cfm **2008 NOFA:** http://archives.hud.gov/funding/2008/grpross.cfm **2009 NOFA:** http://archives.hud.gov/funding/2009/grpross.cfm **2010 NOFA:** http://www.hud.gov/offices/adm/grants/nofa10/grpross-sc.cfm and http://www.hud.gov/offices/adm/grants/nofa10/ross-sc.pdf **2011 NOFA:** http://archives.hud.gov/funding/2011/grpphfss.cfm and http://archives.hud.gov/funding/2011/grpross-sc.cfm **2012 NOFA:** http://archives.hud.gov/funding/2012/grpross-sc.cfm				

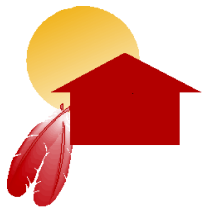| RECIPIENT NAME:	Regulatory/ Statutory Citation	Other Tools	Ref. Pg.	Remarks
2013 NOFA http://portal.hud.gov/hudportal/documents/huddoc?id=2013ross-sc-nofa.pdf **2014 NOFA** http://portal.hud.gov/hudportal/HUD?src=/program_offices/administration/grants/fundsavail/nofa14/ross-sc **2015 NOFA** http://portal.hud.gov/hudportal/HUD?src=/program_offices/administration/grants/fundsavail/nofa2015/ross-sc **2016 NOFA** https://www.hud.gov/sites/documents/2016ROSSNOFA.PDF				
2. ROSS program files for reports submitted and/or accepted in application:				
a. Work Plan		Form HUD-52764		
b. Logic Model		Form HUD-96010		
c. Budget Detail		Form HUD-424 CB		
d. Budget Detail Worksheet		Form HUD-424 CBW		
e. Semi-annual reports (Logic Model and 269A and narratives, if submitted)		Grant Agreement Subarticle F		
3. The funded application:				

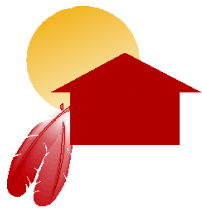| RECIPIENT NAME:	Regulatory/ Statutory Citation	Other Tools	Ref. Pg.	Remarks
a. Review the Logic Model and develop a list of HUD-funded activities.				
(1) Review the grant agreement for any changes to identified activities				
(2) Review the Work Plan to determine if the activities have changed from time of application and amendments have been finalized at time of grant award.				
b. Review the Code of Conduct submitted by the recipient as part of the application;				
c. Review the Work Plan and Logic Model for the time schedule for the activities;				
d. Determine if the grant has been amended (see Grant Agreement for amendment requirements);		ROSS Grant Agreement		
e. Review the Budget Detail and Budget Detail Worksheet.				
4. Develop any additional review criteria based on the NOFA.				

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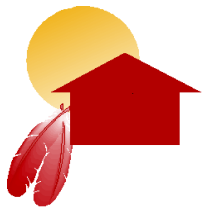| RECIPIENT NAME:	Regulatory/ Statutory Citation	Other Tools	Ref. Pg.	Remarks
III. On-Site Review				
A. Review the sampling methods in the General Instructions and select a sample of files to review.				
B. For the following areas, use the monitoring plans specific to those areas:				
1. Procurement and Contract Administration				
2. Environmental Review Requirements				
C. Program Progress				
(NOTE: Progress reports are due every 6 months after effective date of grant agreement (July 30 and Jan 31). Reports must meet the requirements of 2 CFR Part 200, as applicable, as well as NOFA requirements for submission of a Logic Model (optional).)	2 CFR Part 200	ROSS NOFA requirements for the Logic Model and 269A		
1. Review Logic Model and Work Plan				
2. Are recipient reports submitted in a timely manner, as required?		ROSS NOFA, Reporting		
3. Is actual progress consistent with that reported?				

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D. Request and review financial system expenditure reports for each project.				
1. Compare the expenditure totals to the amounts reported in the latest status report.				
2. Select a sample of expenditures and request supporting documentation for those transactions.				
E. Eligibility of Activities				
1. Do the actual activities undertaken meet the eligibility requirements in the NOFA?				
2. Are the activities consistent with those approved in the Grant Agreement?				
F. Leveraging				
1. If the application was awarded points under rating factor 4 for leveraging:		ROSS NOFA, rating factor 4		
a. Review the Budget Detail Worksheet to determine if the final one approved at time of grant execution is different than the one in the application package.		Form HUD-424 CBW		
b. Have leveraged funds been expended in the amount stated in the application?				

RECIPIENT NAME:	Regulatory/ Statutory Citation	Other Tools	Ref. Pg.	Remarks
c. If not, have funds been set aside for expenditure?				
d. If leveraging consists of in-kind services, is there documentation to track the in-kind?				
G. Grant Term (NOTE: The term of a ROSS grant is no more than 3 years from the date the grant agreement is signed by HUD, unless the grant is extended in writing by HUD – up to an additional 6 months).				
1. Were planned activities approved within the grant term? If work is under way, does it appear that work will be completed within the grant term or will an extension be required?				
H. Grant Closeout				
1. Within 90 days of project completion, the recipient must submit:				
a. A certification (statement by grantee) of project completion				
b. A certification (statement by grantee) of compliance with the grant requirements				

RECIPIENT NAME:	Regulatory/ Statutory Citation	Other Tools	Ref. Pg.	Remarks
c. A breakdown and certification of project costs (for 2007 grantees, this will be a cumulative summary of expenditures and will indicate the balance of unexpended funds)		Final Form SF-425		
d. A final performance report				
2. Were grant closeout documents submitted when required?				
3. Were closeout documents complete?				
IV. Summary				
A. Summarize the results of the review in a work paper. B. Discuss significant issues with staff. C. Develop findings, including questioned costs and corrective actions, as appropriate. D. Develop concerns because they could lead to a violation E. Develop report language, including any findings and concerns. F. If there are any major issues identified in this review and the recipient has approval to invest, determine if a withdrawal of investment authority should be recommended.				

1/5/2018

Reviewer Name:	
Review Date(s):	