

APPENDIX I
PRE-SITE VISIT MONITORING QUESTIONNAIRE (Page 1 of 2)

1. Do you have written policies and procedures for your administrative staff?
2. Do you have written policies and procedures in place for procuring property or services?
3. Do you have policies and procedures in place to verify bidders are not debarred or suspended?
4. Do your procedures include provisions to ensure that you used the most economical means of procurement?
5. Have you documented your internal controls?
6. Are all documents associated with the CDBG-DR or CDBG-NDR contract maintained together and accessible?
7. Are actions taken on a regular basis to assure that small business, women's business enterprises and labor surplus area firms are used when possible?
8. Do you have a written code of conduct for employees who award or administer contracts to ensure there is no conflict of interest?
9. Do you ensure that the procurement of all "competitive contracts" are obtained through full and open competition and free from unreasonable requirements?
10. If any contract was over \$100,000, which of the following methods of procurement did you use? (Competitive proposals, Non-competitive proposals [sole-source], other.)
11. Did you use a non-competitive proposal? If yes:
 - a. Was justification for sole-source procurement documented in writing?
 - b. Was the procurement related to emergency work or public safety?
 - c. Was the non-competitive proposal authorized by this department?
 - d. Did you solicit a number of sources?
 - e. Was the item available from only one source?
12. If the contract was \$100,000 or under, did you obtain two or more qualified bids?
13. What type(s) of contract(s) did you use under this grant?
 - a. Time and Materials?
 - b. Lump Sum?
 - c. Unit price?
 - d. Cost plus fixed fee?
 - e. Cost plus percentage?
 - f. Other?
14. Do you have a procedure in place to ensure contractors perform in accordance with terms, conditions, and specifications of their contracts and purchase orders?

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15. Do you have a policy in place that requires contractors to obtain fidelity bonding insurance (bonding) for key individuals?
16. Do you have written contract protest procedures in place?
17. Do your contracts contain administrative, contractual, or legal remedies for contractor violations or breach of terms, and provide for sanctions and penalties?
18. Do your contracts contain:
 - a. A termination for cause and for convenience clause allowing contract termination?
 - b. Provisions for access to the contractor's records related to the contract?
 - c. Notice that records should be retained for three years after the final grant payment is made and all pending matters are closed?
19. Do your contracts contain provisions for compliance with the:
 - a. Davis Bacon and Related Acts?
 - b. Copeland Anti-Kickback Act?
 - c. Contract Work Hours Safety Standards Act?
 - d. Clean Air Act?
 - e. Clean Water Act?
 - f. Provisions for Equal Employment Opportunity?
 - g. EPA regulations?
20. If you have contracts that exceed \$100,000 for construction or facility improvements, did the contractor(s):
 - a. Submit a bid guarantee with their proposal?
 - b. Secure a payment bond covering 100 percent of the contract price?
 - c. Secure a performance bond covering 100 percent of the contract price?
21. Do you maintain all procurement and contract documentation for at least three years after the final expenditure report is made and all pending matters are closed?