

Part A., Continued

3. Labor Standards Officer (LSO)/Staff

	Yes	No	NA
a. Agency staff includes an LSO, or key staff person with primary responsibility for labor compliance?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
b. LSO is informed of all proposed projects funded/assisted with HUD funds?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
c. LSO examines grantee and subrecipient files as necessary?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

4. Client Agency Training

a. Provides labor standards training for grantees?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
b. Training materials are accurate?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
c. Training frequency is appropriate?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
d. Agency maintains agenda and participant list?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

5. Wage Decision Issuance Process

a. Maintains an effective system to ensure grantees obtain applicable wage decision(s)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
b. Wage decisions issued timely? Including modifications?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
c. Permits some/all grantees to self-issue wage decisions?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
d. Maintains system to track wage decision request/responses?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
e. Processes wage decision requests correctly?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
f. Maintains system to verify wage decision "lock-in" date?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

6. Labor Standards Monitoring Review Process

a. Monitoring checklist/guide addresses labor standards enforcement requirements?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
b. Maintains system to track findings?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
c. Frequency of labor standards monitoring for each grantee with covered (DBA) activities			<input type="checkbox"/>
d. Number of grantees reviewed for labor standards compliance in past _____ months	_____		<input type="checkbox"/>
e. Number of reviews in (d) which revealed labor standards violations	_____		<input type="checkbox"/>
f. For reviews conducted in past _____ months, average time between review date and report date	_____		<input type="checkbox"/>
g. Number of labor standards reports with outstanding findings more than 90 days past due (attach notes)	_____		<input type="checkbox"/>
h. Resolves non-compliance in accordance with established requirements (as specified in Chapter 4)?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

Part A., Continued

7. Investigative Process

	Yes	No	NA
a. Procedure established to investigate complaints?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
b. Procedure established to track investigation progress/outcomes to resolution?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
c. Number of complaints received from employees/others in past ____ months			<input type="checkbox"/>
d. Number of investigations initiated by the agency in past ____ months			<input type="checkbox"/>
e. Number of complaints/investigations resolved in past ____ months			<input type="checkbox"/>
f. Number of investigations referred to HUD/DOL in past ____ months			<input type="checkbox"/>
g. Resolves investigations/complaints in accordance with established requirements?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

8. Reports, Restitution & Escrows

a. Submits Semi-Annual Enforcement Report (4710) timely, completely, and accurately?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
b. Submits Labor Standards Enforcement Reports (5.7), timely, completely, and accurately?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
c. Computes and recommends CWHSSA liquidated damages when appropriate?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
d. Number of active escrows for DBRA/CWHSSA			<input type="checkbox"/>
e. Amount of funds for escrows reported in (d)			<input type="checkbox"/>

Summary – Labor Standards Administration

	*A	NI	NA
a. Staffing	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
b. Information systems / tracking mechanisms	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
c. Enforcement files / records	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
d. Labor Standards monitoring	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
e. Labor Standards review - procedures	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
f. Labor Standards review – effectiveness	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
g. Training	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
h. Wage decision issuances	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
i. Complaints	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
j. Restitution & escrow administration	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
k. Reporting requirements – Semi-Annual Reports (4710), Enforcement Reports (5.7)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

* -A: Acceptable; NI: Needs Improvement; NA: Not Applicable

Identify possible deficiencies on separate page(s) and attach to this guide with copies of supporting documentation.

Labor Standards Specialist

Date

Part B State Client Agency Monitoring

1. Grant/Contract Information		a. State Agency Name/DBLS ID #	
b. Grant Number & Type (funding source)		c. Grant Recipient (local government, non-profit, developer, etc.)	
d. Project Name & Location		e. Prime Contractor	
f. Project Description (include number of units and stories for housing projects)			g. Contract Amount
h. Labor Standards Provisions Used	i. Wage Decision/Modification No. used	j. Wage Decision Lock-in Action & Date	
k. Construction Start Date	l. Percent Completed / or Completion Date	m. Agency Reviewer(indicate if staff, consultant, other)	

2. State Agency Federal Labor Standards Monitoring Reviews

Monitoring Review Date	Review Report Date	No. of FLS Findings	Date of Grantee Response	Date All Findings Cleared

3. Summary - Contract Administration

	Yes	No	NA
a. Contract documents, wage decision, and procurement information examined, issues addressed?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
b. Certified weekly payrolls examined, issues addressed?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
c. Employee interviews (HUD-11) examined, issues addressed?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
d. Apprenticeship/trainee issues addressed?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
e. Classification issues addressed?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
f. Wage restitution issues addressed?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
g. Violations communicated to grantee?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
h. All cited findings resolved?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

Identify possible deficiencies on separate page(s) and attach to this form, along with copies of supporting documentation.

Part X. Exit Conference

Agency Name & LSIS No.

Conference Location	Conference Date, Time
Attendees	
Reviewer(s) Name(s), Title(s)	

The following principal subjects were discussed; additional items covered are described in any detailed minutes attached. Agency representatives were advised of problem areas, and were provided the opportunity to question and discuss the basis for preliminary conclusions.

- Staffing** - Knowledge, capacity, sufficient number for volume of work – Is the work that is being done effective? Is there a disproportionate amount of covered activity not being reviewed?
- Information systems / tracking mechanisms** – Note: agencies have very wide latitude in the configuration, locations and functioning of the system.
- Enforcement files / records** - agencies have very wide latitude in the configuration, locations and functioning of the system. The focus in this section is that complete records for covered activities are maintained for the duration required and that they be retrievable in a reasonable time. As with management systems, “blind spots” can be brought to the attention of the agency, reviewers are cautioned about requiring revisions in the absence of violations resulting from a flawed system.
- Labor standards review – procedures** – State agency processes to review funded/assisted projects for applicability of labor standards, ensuring appropriate wage decisions/determinations and labor standards provisions are included in agreements/orders for covered work and that project records are established and managed with the knowledge of appropriate officials and offices of the agency.
- Labor standards reviews – effectiveness** – Outcomes of state’s systems and efficiency, including actions of state grantee agencies and management firms.
- Technical assistance & training** – Quality and effectiveness of the technical assistance & training provided by the state to its grantees, contractors, and management firms. Also covers the technical assistance and training needs of the state’s staff.
- Wage decision issuances** – State’s application of wage decisions/determinations, including applying changes.
- Complaints** – Actual complaints received, or procedures established/needed.
- Restitution & escrow administration** – Conclusions concerning the ‘perfection’ of restitution. Were certified payroll reports submitted for the restitution payments, as well as an assurance of future compliance? Were sufficient funds retained, when needed? Were funds handled appropriately? Does the state have appropriate documentation on the circumstances requiring escrows?
- Reporting requirements – Semi-Annual reports, Enforcement reports** – Conclusions about the validation of the reports sent to HUD/DOL.

- Other** (list below or on separate sheet(s))

- Preliminary conclusions**

- Any disagreements**

- Any required follow-up actions by Agency or reviewer(s)**

- Conference participants (list name, organization, title or attach sheet)**

- Additional Notes**