

**5303 COMPLIANCE MONITORING REVIEW INTERNAL CONTROL
CHECKLIST**

<p><i>This checklist is a summary of the actual GDOT Compliance Monitoring Review Report. This summary will allow the reviewer to complete a diminutive review of the program for compliance. For a more in depth review of a subrecipient's compliance and understanding of the program, the reviewer should refer to the complete GDOT Compliance Monitoring Review document.</i></p>			
Legal Authority	Included		Comments
<p><i>In Georgia, the State is the designated recipient for the FTA funds and the public agencies receiving assistance are the subrecipients or subgrantees. In Georgia, cities and counties are generally the only eligible subrecipients, unless GDOT authorizes a regional development agency to apply as part of a demonstration project.</i></p> <p>a.) Are annual Certifications and Assurances including the required Authorizing Resolution complete?</p>	<input type="checkbox"/> Yes	<input type="checkbox"/> No	
<p>b.) Does the certification designate who is authorized to act on behalf of the subrecipient and was it signed by an authorized official and attorney with the proper authority?</p>	<input type="checkbox"/> Yes	<input type="checkbox"/> No	
Suspension and Debarment:			
<p><i>FTA grantees and subrecipients are required to certify that they are not excluded from federally-assisted transactions. They are also required to ensure that none of the grantee's principals, subrecipients, or their third party contractors and subcontractors are debarred, suspended, ineligible, or voluntarily excluded from participation in federally-assisted transactions. Also, subrecipients must obtain these certifications for any third party contract over \$100,000. This certification must be included in the solicitation process (the Request for Proposal) as well as in any final agreement with contractors and subcontractors.</i></p> <p>a.) Has the subrecipient certified to these requirements in the annual certifications?</p>	<input type="checkbox"/> Yes	<input type="checkbox"/> No	
Restrictions and Lobbying:			
<p><i>Recipients of Federal grants and contracts exceeding \$100,000 must certify compliance with Public Law 101-121, Section 319, Restrictions on Lobbying, before they can receive their funds. In addition, grantees and subrecipients are required to impose the lobbying restriction provisions on their contractors.</i></p> <p>a.) Does the subrecipient receive a grant or contract exceeding \$100,000? If so, has the subrecipient certified to the "Restrictions on Lobbying" requirement in its annual certifications and assurance?</p>	<input type="checkbox"/> Yes	<input type="checkbox"/> No	
<p>b.) Have all contractors and subcontractors in receipt of \$100,000 or more of Federal funds certified that no Federal funds have been used for lobbying activities?</p>	<input type="checkbox"/> Yes	<input type="checkbox"/> No	