PREPARATIONS FOR CDBG GRANT MONITORING
GALLIA COUNTY
KAREN SPRAGUE, GALLIA COUNTY ADMINISTRATOR

1. At the beginning of each new grant create the following files:
    - **a. <u>Grant Application</u>**
        - i. Contains the grant application
    - **b. <u>Grant Agreement</u>**
        - i. Contains the grant agreement, status reports, final report, certificate of completion, letters from ODOD-OHCP regarding grant closeout – If grant amendment or extension is necessary the letter from the county requesting the amendment or extension and the approval or denial forms from ODOD-OHCP.
        - ii. Contains copies of the County Commissioners Journals with any actions on their behalf regarding the grant.
    - **c. <u>Fair Housing Meetings</u>**
        - i. Contains documentation regarding all Fair Housing meetings held during the year as well as documentation for the educational outreach as required by the grant.
    - **d. <u>Fair Housing Analysis Update</u>**
        - i. Contains documentation regarding the annual Fair Housing Analysis update.
    - **e. <u>Civil Rights / EEO / Fair Housing / Section 504 / MBE-WBE</u>**
        - i. Contains documentation of county policies in this regard.
    - **f. <u>Procurement</u>**
        - i. Contains the counties procurement procedure resolution.
    - **g. <u>Financial Management</u>**
        - i. Contains the inventory listing of items purchased with CDBG funding.
        - ii. Contains documentation of my time spent working on the grant – employee time sheets and cover spreadsheet that calculates the dollar amount to draw from the grant to reimburse the county's general fund for my time working on the grant.
    - **h. <u>Bid & Contract Documents</u>**
        - i. Contains a folder for each activity / project with all the bid and contract documents. Each activity / project will have the following:
            1. Bid packet
                - a. Contract – provided in the CDBG Handbook sections as follows:
                - i. Notice of Commencement of Public Improvement
                - ii. Section A - Notice to Contractors published in the newspaper and on our county website
                - iii. Section B - Instructions to Bidders
                - iv. Section C - General Contract Conditions
                - v. Section D - Work Specifications
                - 1. project cost estimate, specifications, drawings
                - vi. Section E – Proposal Forms
                - 1. Bid Form
                - 2. Affidavit of contractor or supplier of non-delinquency of personal property taxes (ORC 5919.042)
                - 3. Affidavit of contractor or supplier in compliance with section 3517.13 of the ORC (campaign contributions)
                - 4. ORC 2909.33 requires political subdivisions of the state to obtain a Declaration Regarding Material Assistance/Nonassistance to a Terrorist Organization (DMA) form from any person, company, affiliated group or organization prior to entering into a contract to do business with or provide funding to an entity when said entity will receive an aggregate amount greater than $100,000 annually from the state, any instrumentality of the state,

and any political subdivision of the state. This form is titled Government Business and Funding Contracts.

5. Bid guaranty & contract bond
6. Noncollusion affidavit
7. Bonding & insurance requirements

vii. Section F – Agreement Forms

1. Contract
2. Notice of Award
3. Notice to Proceed
4. Change order form

viii. Section G – Federal and State Requirements

1. Conflict of Interest, special conditions hazard safety, standards & accident prevention
2. Contractor/Subcontractor Certifications: Section 3 Plan Format, Proposed Subcontracts breakdown, Estimated Project Workforce breakdown, EEO, Section 3 & segregated facilities

ix. Section H – Federal Labor Standards Provisions

1. Reprint of HUD-4010
2. Contractor/Subcontractor Certifications: Compliance with Federal Labor Standards Provisions, Prevailing Wage Requirements

x. Davis-Bacon Wage rates

1. Wage Decision for project
2. Payroll report forms & instructions

xi. Affidavits of project completion

1. Contractor's Affidavit of Payment of Debts & Claims
2. Contractor's Affidavit of Release of Liens

2. Contract – includes everything from the Bid Packet put in a binder with original signatures from contractor and county. The following items are added at the front of contract document for the monitor's easy access:
   a. Proof of publication from newspaper for bid opening – print out of bid notice on web site the day advertised in the newspaper and the day of the bid opening to show bid notice was on county website during the entire bid notice period.
   b. Print page from web denoting contractor excluded parties listing and Auditor of State Findings for Recovery database
   c. Payroll reports as submitted by contractor – checked for compliance with wage rates
   d. Record of Employee Interviews
   e. Davis-Bacon wage rates with print date within 10 days before bid opening – original bid packet wage rates kept in file also but not in contract
   f. Correspondence regarding the contract
   g. Pre-bid meeting minutes if one was held
   h. Pre-construction meeting minutes
   i. Progress meeting minutes if any held
   j. Selected contractor's certificate of insurance, payment/performance bond, workers comp certificate – If subcontractors will be used need their certificate of insurance, workers comp certificate, subcontractor excluded parties listing and Auditor of State Findings for Recovery database and completed subcontractor forms from the contract.
   k. Copies of Commissioners Journal with entries regarding the bid opening, bid award and any other items regarding this activity/project are kept in the bid file but not in the contract binder.

3. All bids that were not awarded in their original submittal time and date stamped envelope are kept in the bid file but not in the contract binder.

i. <u>Environmental Reviews</u>

i. Contains the ER documents for each activity/project in the grant and the ODOD-OHCP ER release.

j. <u>Citizen Participation</u>

i. Contains proof of citizen participation in the CDBG grant program
   1. Newspaper proof of publication of public hearings.
   2. Sign-in sheet for those attending public hearings.
   3. Minutes of public hearings

k. <u>Correspondence</u>

i. Contains any correspondence documents regarding the grant program.

l. <u>Drawdowns / Purchase Orders / Vouchers</u>

i. Contains a folder with all drawdowns and receipts from Treasurer's Office documenting payin of grant dollars in the grant fund that is created for accounting purposes with the Auditor & Treasurer Offices.
ii. Contains a folder with all the purchase orders for each activity/project.
iii. Contains a folder for each activity/project with copies of all of the vouchers (invoices) prepared to expend the grant funds.
iv. Contains a folder with all of the reports from the GMFS and all of the cancelled checks.

2. I utilize the ODOD-OHCP provided **<u>GMFS Program (Grant Management Financial System)</u>**

a. I set this program up at the beginning of each grant and as I post expenditure of grant funds and receipt of grant drawdowns to this system as they occur – this enables me to balance the GMFS to the County Auditor reports for each grant monthly as well as at the end of each grant.
b. I also obtain copies of cancelled checks from the County Treasurer's Office for each grant at the end of each month – this enables me to have copies of all the cancelled checks for the monitor to review when the grant is completed.
c. At the end of each grant I print out each of the tables from the GMFS and retain them in the financial file created for that grant.

3. Prior to monitoring I review each contract file to be sure the proper contents are included and in order in the binder so I can easily find it for the monitor.

4. Review the financial documentation to assure all GMFS reports are printed and all copies of cancelled checks are in the file.

5. Keep all grant files in the same drawer in the same file cabinet so everything is easily at hand for the monitor.