

CDBG File System Checklist

(Project Year and Name)

(Contract Number)

Closeout Date: _____

Application

Required for All Projects

- Full CDBG Application (all submitted documents)
 - Jurisdiction workbook
 - Anti-Displacement Plan
 - Maps
 - Budget
 - Backup Documentation
- Citizen Participation – documentation of Application Public Meeting
 - Newspaper Advertisement
 - Sign-in Sheet
 - Minutes of Public Meeting

If Applicable

- Preliminary design documents and cost estimates (CDBG application Technical Document and PER)

Grant Award and Contract

Required for All Projects

- CDBG Award Letter
- CDBG Contract (fully executed)
- CDBG Contract Amendments (fully executed)

Financial Management

Required for All Projects

- Grant Pre-Reimbursement Package, including:
 - Grant Payment Setup Form
 - Supplier Direct Deposit Authorization (if applicable)
 - Signature Authorization Form
 - W-9 (if applicable)
- Requests for Payment

If Applicable

- Budget Revisions
- W-9
- Supplier Direct Deposit Authorization

Environmental Review Record

Required for All Projects

- Environmental Review Record (final complete version)
- Letter of Removal of Environmental Condition (LOREC)
- Final Notice of Removal of Contract Conditions (FNORCC)

If Applicable

- Request for Release of Funds
- Environmental Addendum(s)
- Phase 1 Environmental Site Assessment
- Phase 2 Environmental Site Assessment
- Mitigation and Clean-up Actions

Fair Housing & Equal Opportunity

Required for All Projects

- Title VI Compliance
 - Annual Certification (Grantee)
 - Grantee Title VI/Nondiscrimination Policy (proof and public posting at office)
- Grantee (city/county) Hiring Policies
- Copy of the current Executive Summary of the *Tennessee Analysis of Impediments to Fair Housing Choice*
- ECD Approval of a Fair Housing Activity
- Documentation of a completed Fair Housing Activity, including dollar amount of CDBG funds used for the activity
- Documentation of all actions taken to further Fair Housing during the grant period

If Applicable

- Local Fair Housing Ordinance

Acquisition

Required for All Projects

- Master list of easements/properties
- Documentation of Solicitation for Appraisal Services
- Agreement for Appraisal Services
- Site Acquisition Report
- Copy of “*When a Public Agency Acquires Your Property*” document
- Letter from State, County, or City if their right-of-way is used
- Individual easement/property files
 - Copy of Preliminary Acquisition Notice(s)
 - Proof “*When A Public Agency Acquires Your Property*” document was sent to landowner(s)
 - Registered/Certified Mail receipts or receipts for hand-delivered notices
 - Waiver of Rights
 - Invitation to Accompany Appraiser
- Offer of Sale of Land
- Justification for any payment above the just compensation value
 - Copy of cancelled check (front and back) indicating payment for the acquisition
 - Statement of Settlement Cost

If Applicable

- Disposition of property
- Individual easement/property files
 - Copy of appraisal
 - Appraisal Report Review
 - Short Appraisal Form for Easements
 - Copy of Statement for the Basis of Determination of Just Compensation
- Offer to Purchase
- Justification for any payment above the just compensation value
 - Copy of Easement Agreement or title to property
 - Documentation concerning condemnation proceedings
 - Notice of Intent Not to Acquire

Plans and Specifications

Required for All Projects

- Final Plans, Specifications, and Bid Documents
 - Advertisement for Bids
 - Information for Bidders
 - Acknowledgement Regarding Bidder SAM Registration
 - Non-Boycott of Israel Certification
 - Iran Divestment Act
- ECD Letter of Approval of Plans, Specifications, and Bid Documents

Construction Projects

- Final Plans, Specifications, and Bid Documents
 - Certification of Bidder Regarding Equal Employment Opportunity
 - Certification of Bidder Regarding Use of Female/Minority Subcontractors
 - Certification of Bidder Regarding Section 3 and Segregated Facilities
 - Certification of Subcontract Regarding Debarment, Suspension, Ineligibility, and Exclusion
 - Certification by Proposed Subcontractor Regarding Equal Employment Opportunity
 - Certification of Proposed Subcontractor Regarding Section 3 and Segregated Facilities
 - Drug-Free Workplace Affidavit
 - Statement of Compliance Certificate Illegal Immigrants
 - Certificate of Owner's Attorney

If Applicable

- Addenda to Plans and Specifications
- ECD Approval of Addenda
- Approval of Plans, Specifications, and Bid Documents by other required

Bidding and Procurement

Required for All Projects

- Recommendation of Award package:
 - Recommendation of Award from local authority (Mayor)
 - Bid Advertisement (newspaper)
 - Proof of any direct solicitation of contractors/vendors
 - Minutes of the Bid Opening
 - Sign-in Sheet from the Bid Opening
 - Bid Tabulations
 - Contractor/Subcontractor Certifications (all that apply)
- Proof of direct solicitation of Minority and Female-Owned businesses

Construction Projects

- Executed construction contract documents
- Proof of submission of Plans and Specifications to GoDBE
- Proof of 10-day Wage Rate Check before Bid Opening

Equipment Projects

- Purchase agreements for equipment

If Applicable

- Copy of passed resolution to award (if required locally or award exceeds the authorized amount in the resolution submitted with the application)

Pre-Construction and Construction

Required for All Projects

- Notice of Contract Award and Preconstruction Conference
- ECD Pre-Construction Conference acknowledgment letter
- Pre-Construction Conference Report
- Notice to Proceed
- Notice of Start of Construction

Change Orders and Scope Changes

If Applicable

- Change Orders
- ECD Change Order Approval Letters
- Scope Change Requests
- ECD Approval Letters

Labor Standards Compliance

Required for All Projects with Labor

- Copy of applicable Wage Decision(s)
- Project Wage Rate Sheet and Section 3 Classification Form for each contractor/subcontractor on the project
- Weekly Payrolls from all contractor(s) and subcontractor(s), including statements of compliance signed by a company officer
- Employee Interviews (all job classes on the job must be covered)
- Proof of required labor posters at construction site
- Proof of wage decision posted at construction site

If Applicable

- Authorization to Make Other Deductions forms
- If payroll discrepancies are discovered:*
 - Evidence of restitution paid to employees/resolution of identified discrepancies
 - Complaints from workers and actions taken
 - Liquidated damages assessed, appeals, and outcome
- Additional wage classification requests
- TNECD and DOL response letters for additional wage classification requests

Section 3 Compliance

Required for All Projects

- Section 3 Worker Certification forms
- Section 3 Labor Hours Tracking Form

If Applicable

- Section 3 Business Self-Certification form
- Section 3 Business Owner Certification forms
- Documentation of efforts made to increase Section 3 worker participation (if benchmarks are unmet)

State Monitoring

Required for All Projects

- Contract and Subcontract Activity Report (HUD-2516)
- Technical Assistance Visit/Call Documentation (ECD TA Letter)
- ECD Monitoring Appointment Letter
- Monitoring Report (copy of electronic submission)
- ECD Monitoring Report Letter

Electronic Monitoring Only

- CDBG Electronic Monitoring Documentation Certification
- CDBG Electronic Monitoring Title VI Certification

Monitoring Findings

- Proof of corrective actions taken
- ECD Monitoring Findings Clearance Letter

Close-out

Required for All Projects

- CDBG Closeout Report (copy of electronic submission)
- Citizen Participation - documentation of Close-out Public Hearing:
 - Newspaper Advertisement
 - Sign-in Sheet
 - Minutes of Public Hearing

Construction Projects

- Final Wage Compliance Report

Equipment Projects

- Photos of equipment purchased
- Proof of Ownership of purchased equipment (Title for vehicles)
- ECD Close-out Letter

If Applicable

- Performance Measures for Housing Projects
- Line Extension Beneficiaries Summary (water/sewer line extension projects only)
- Household Income Verification or Target Area Survey forms (for added direct beneficiaries)

Miscellaneous

Required for All Projects

- Monthly status reports
- Annual Reports

If Applicable

- Other communications
- Project memos