

Each file should be coded by category (A or B), by project year (20\_\_) and by a numeric listing for each file. Each file should be labeled as a Community Development Block Grant file. Using this system, the following is a list of the files and contents. **These files must be kept at the Grantee's offices and maintained for a minimum of five (5) years from final closeout or a period required by other applicable statutes.**

## Category A: Grant Files

### A20\_\_\_\_-1 Grant Proposal

- Grant Proposal and any amendments and revisions to it
- Prior-authorization to incur pre-contract costs, if applicable
- Records/Correspondence regarding grant contract negotiations

### A20\_\_\_\_-2 CDBG Agreement and Service Contracts

- CDBG Agreement and any amendments
- Professional and Non-Professional Service Contracts and any amendments
- Industry Development Agreements
- Cost Participation Agreements
- Local Interagency Agreements

### A20\_\_\_\_-3 Financial Management

- Annual resolution(s) to appropriate CDBG funds
- Record of Commitment of all leverage funds
- Certification of Signatures and Address
- Copy of all Remittances and Support Forms
- Accounting Reports
- Source documentation for both CDBG and leverage expenditures as outlined in the "Recordkeeping" section of Chapter 5: Financial Management
- Proof of leverage funds being spent proportionally with CDBG funds
- Use of Program Income
- Force account approval, fringe rate plan, individual timesheets and summary reports, expenditures, equipment logs and VDOT equipment use rates

NOTE: Financial records may be in a location other than the Grant Manager's office, i.e., the Treasurer's office, especially the accounting books which shall be secured in the Grantee's safe.

A20\_\_\_\_-4 Grant Administration

- Pay for Performance-based Project Budget and any revisions
- Project Management Plan and any revisions
- Program Income Plan and any revisions
- Monthly Progress Reports
- Annual Activity and Beneficiary Reports
- Annual Section 3 Reports
- Annual Expenditure Reports
- Procurement Policy and Procedures, including written small purchases procedures

A20\_\_\_\_-5 Citizen Participation

- List of citizens groups to whom information and notices were disseminated
- Proof of advertisement for the two required public hearings
- Minutes of the required public hearings
- List of persons attending required public hearings and any handouts, etc., provided at each hearing
- Description of any accommodations made to facilitate the needs of disabled persons at the required public hearings
- Documentation that project-specific information requirements were met
- Copy of adopted Complaints and Appeals procedure distributed to applicants and beneficiaries
- Copy of any written complaints and appeals received, responses within 15 days, and proof of final resolution for each one

A20\_\_\_\_-6 Equal Opportunity

- Copy of adopted Section 3 Business and Employment Plan
- Proof of advertisement soliciting Section 3 businesses and workers for procurement and employment opportunities
- Names, addresses, businesses or trades of respondents to Section 3 business and employment solicitation
- Proof of advertisement soliciting minority and female-owned businesses, contractors and suppliers
- Names of project area businesses awarded a contract and total dollar amount of said contracts
- Names, addresses and businesses of respondents to solicitation for minority and female-owned businesses, contractors and suppliers
- Names of minority and female-owned businesses awarded a contract and total dollar amount of said contracts

- Copy of signed Non-Discrimination Policy
- Copy of Section 504 Self-Evaluation, Checklists, and proof of advertisement
- Copy of adopted grievance procedure

A20\_\_\_\_-7 Benefits

- Copy of mandatory hook-up ordinance, if applicable
- Copy of User Agreements, if applicable
- Self certification or verification of LMI status
- Declination statements from all proposed LMI beneficiaries not participating
- Initial survey forms and map
- Map showing the location of all addresses along any water and sewer lines, keyed to LMI/Non-LMI status and hooked up/not hooked up status.
- Demographic profile of the locality, applicants for, participants in, or beneficiaries of the program, and of the project area by minority status, female- and elderly-headed households, race, ethnicity, gender and disability

A20\_\_\_\_-8 Fair Housing

- Original signed Fair Housing Certification
- Documentation of a different fair housing activity undertaken each project year that the CDBG project is active

A20\_\_\_\_-9 Environmental Review Record

- Copy of Environmental Review Record
- Level of Clearance Findings for each activity
- Copy of letters to, and clearances from Department of Historic Resources, Department of Environmental Quality and other appropriate State agencies
- Copy of Notice of Finding of No Significant Impact with Proof of Publication
- List of individuals/organizations to which Notice of Finding was sent
- Copy of Notice of Intent to Request Release of Funds and Proof of Publication
- Copy of letter claiming determination of exemption or categorical exclusion, if appropriate
- Copy of Request for Release of Funds and Certification
- Floodplain and wetlands compliance, if appropriate

A20\_\_\_\_-10 Compliance Reviews

- DHCD letters of findings, outlining findings, concerns, recommendations and interpretations
- Grantee's responses to DHCD's letters of findings
- Other correspondence regarding compliance reviews

A20\_\_\_\_-11 Project Close-Out

- Final reports from Engineer
- Certificate of Completion and evidence of disposition of third party claims
- DHCD's Letter of Conditions
- Copy of executed Final Closeout Reports
- Administrative, Conditional and Final Closeout letters from DHCD

A20\_\_\_\_-12 Audit

- Engagement Letter for Independent Public Accountant
- Annual and Final Audits and documentation that audit findings are cleared
- Evidence of receipt of audit from DHCD (may be a Centralized Application and Management System (CAMS) generated document

A20\_\_\_\_-13 Anti-Displacement

- Copy of Anti-Displacement and Relocation Assistance Plan

A20\_\_\_\_-14 General Correspondence

- Correspondence, incoming and outgoing that does not fall into one of the above categories or into the project file category.

## Category B: Project Files

Category B files are established based on the type of project to be accomplished by the grant. Since there will be a variety of project types that will require different file information each basic type is presented below:

B20\_\_\_\_-1 Professional Services – Architect/Engineer (A/E) contract file

- Proof of advertisement of Notice
- Copy of Request for Proposals (RFP)
- Copy of all Qualification Statements and proposal(s) received
- List of selection committee members
- Evaluation criteria used
- Ranking of proposals received
- Negotiation summaries
- Fee basis and justification
- Requests for payments and supporting documentation
- Contractor Disclosure Statements

- Rationale for any contract amendments

B20\_\_\_\_-2 Construction Contract File (By Name of Activity)

- Preliminary Design and Cost Estimates
- Final Design Documents and Cost Estimates
- Evidence that all necessary land or easement acquisition has been completed prior to advertising for bids
- Proof of advertisement of Invitation to Bid
- Bid Documents and Instruction to Bidders
- Pre-bid Conference minutes and any addenda issued
- Minutes of public bid opening
- Bids, bid receipt dates and tabulations
- Contractors Statement of Qualifications
- Recommendation for Award
- Verification of low bidder's eligibility (not on debarred list)
- Award of Contract and Notice of Award of Contract to DOL.
- Contract Documents
- Performance Bond/Certification of Insurance
- Contractor Disclosure Statements

B20\_\_\_\_-3 Construction Management File (by construction contract)

- Minutes of Pre-construction Conference
- Notice to Proceed with Construction
- Weekly Inspection Reports (required for resident inspection)
- Requests for payments and supporting documentation
- Change Orders and justifying documentation
- Substantial Completion Inspection Report
- Final Punch List
- Final Inspection and Certification by design professional
- Acceptance by Owner
- Record Drawings
- Warranties and guarantees

B20\_\_\_\_-4 Labor Standards by Contractor or Subcontractor

- Wage Decisions and any modifications
- Labor Standards Checklist
- Copy of contractor's apprenticeship program from the Division of Apprenticeship Training, if applicable
- Weekly Payroll Reports and Statements of Compliance
- Requests for Additional Job Classifications
- Authorizations of Employee Deductions
- Records Of Employee Interviews
- Log of Payroll Reports
- Log for Reviewing Employees

B20\_\_\_\_-5 Equal Opportunity /Local Business and Employment

- Contractor's and subcontractor's Compliance Statements Certification regarding EEO
- Equal Opportunity Checklist
- Registers of Assigned Employees
- Monthly Registers of Contractors, Subcontractors, and Suppliers by each entity, including the Grantee

B20\_\_\_\_-6 Property Acquisition

*Property Acquisition requires a separate file for each property acquired. See also Appendix 43: Acquisition File Checklist. The file label would identify the file by category (B), the year, and a letter to identify it as an acquisition (a), followed by the name of the owner or the address of the property. The contents of each file must include:*

- Record form indicating the project name and number, parcel number for the real property, and name of each owner and tenant.
- Copy of the Appraisal agreement.
- Copy of the Preliminary Acquisition Notice and *When a Public Agency Acquires Your Property* brochure.
- Evidence of receipt by Owner(s) of Preliminary Acquisition Notice and *When a Public Agency Acquires Your Property* brochure.
- Evidence of donation and waiver of right to appraisal and all relevant and supporting documentation, as applicable.
- Invitation to Accompany an Appraiser.
- Evidence receipt by Owner(s) of Invitation to Accompany an Appraiser.
- Copy of Appraisal Report and Determination Of Fair Market Value
- Copy of Review Appraisal Report and Document Establishing Just Compensation.
- Copy of Written Purchase Offer and evidence of date of delivery to Owner(s)
- Copy of any purchase agreement, deed, declaration of taking, waiver, or related document involving the conveyance, including canceled check
- Copy of Statement of Settlement Cost.
- Evidence that owner received purchase price.
- Evidence of conveyance of the property to the Grantee.
- Copy of any appeal concerning a payment, together with a copy of all pertinent determination and other relevant documentation.
- If acquisition terminated, copy of Notice of Intent Not to Purchase
- Evidence of receipt by Owner(s) of Notice of Intent Not to Purchase.

- Copy of condemnation proceedings, if applicable, and settlement.

B20\_\_\_\_-7 Relocation

*Relocation requires a separate file for each displaced/relocated person or family. Individual files must contain specific items as required in Appendix 43-D: Relocation File Checklists. The project file label would identify the file by category (B), the year, and a letter to identify it as a relocation file (r), followed by the name of the person or family relocated.*

B20\_\_\_\_-8 Non-Professional Services--Rehab Specialist or Management Consultant file

- Proof of advertisement of Notice
- Copy of Request for Proposals (RFP)
- Copy of all Qualification Statements and proposal(s) received
- List of selection committee members
- Evaluation criteria used
- Ranking of proposals received
- Negotiation summaries
- Fee basis and justification
- Contractor Disclosure Statements
- Rationale for any contract amendments

B20\_\_\_\_-9 Housing Projects

*Housing Rehabilitation requires a separate file for each unit receiving assistance for rehabilitation, bathroom or utility connection. They must contain specific items as required in Appendix 25: Rehab File Checklist. In addition, the project file must contain:*

- Copy of Program Design and evidence of formal adoption by the local governing body
- Housing Rehabilitation Oversight Board Membership, Operating Procedures and Minutes of Meetings which approve applicants, contractors, award of construction contracts and complaint resolution
- Copy of Lead Risk Assessor License
- Proof of advertisement to pre-qualify Contractors
- Contractor's Qualification Statements and verification, including Lead Safe Work Practices training, EPA Certified Renovation Firm and Certified Renovator
- Contractor Disclosure Statements
- Bid Phase Invitations, Bid Tabs, and Notice of Bid Awards
- Data on the number of bid cycles, dates of bid openings, and the number of bidders who responded to each cycle
- Data on the Application and Construction Demographic Profile

- Landlord Rental Commitments and original Proof of Recordation
- Copies of Home Maintenance Education Program (HMEP) agendas and sign-in sheets

B20\_\_\_\_-10 Job Creation and Retention

- Job Descriptions
- Proof of Required Benefits Package
- Monthly Referral Reports From Referring Agency
- Record of Employees Hired and Referred
- Income Surveys from new hires (unless retained by VEC)

B20\_\_\_\_-11 Downtown Projects

- Copy of Program Design and evidence of formal adoption by the local governing body
- Copy of Blight Identification and Removal or Remediation Plan
- Oversight Board Membership, Operating Procedures and Meeting Minutes which approve applicants, contractors, award of construction contracts and complaint resolution
- Proof of advertisement to Pre-qualify Contractors
- Contractor's Qualification Statements and verification, including Lead Renovate, Repair and Paint (RRP) training
- Contractor Disclosure Statements
- Bid Phase Invitations
- Bid Opening Summaries
- Notice of Bid Awards
- Data on the number of businesses assisted by, and participated in, façade improvements or renovation improvements
- Data on the total amount of private investment expended and copies of supporting source documentation or an IPA statement

B20\_\_\_\_-12 Microenterprise Projects

- Copy of Program Design and evidence of formal adoption by the local governing body
- Data on the number of loans made, the number of defaults, and the number of hours of business training provided

B20\_\_\_\_-13 Community Service Facilities Projects

- Copy of Staffing and Operations Plan
- Copy of any agreements with service providers

B20\_\_\_\_-13 Telecommunications Projects

- Copy of Community Telecommunications Plan
- Copy of Business Plan for the network
- Copy of any agreements with service providers