

CDBG Grant Cycle

Citizen Participation Process

- Citizen Participation Plan including citizen complaint process (update every 5 years)
- Update and distribute Local Requests for Funding (best practice)
- Advertise Public Hearing 1 (10 days prior to Public Hearing 1) agenda, sign-in sheet, and minutes required.
- Community Development Implementation Strategy Meeting (CDIS required for odd years or every other year)
- Tabulate submitted Local Requests and present information to County Commissioners
- Coordinate Commissioner Meeting for community members to address the commissioners about their project
- Advertise Public Hearing 2 (10 days prior to Public Hearing 2) agenda, sign-in sheet, and minutes required.

Documents: Local Request for Funding, Public Hearing 1 & 2: Ads, Agendas, Sign-In Sheets, Minutes CDIS Meeting Packet: Sign-In, Outreach Plan, Agenda, Minutes, Needs Worksheet, Priority Projects CD

Project Selection/Application Submission (Each project will require documentation listed below.)

- Cost estimate from engineer or architect (must contain prevailing wage and useful life statements)
- Identified Service Area (must meet national objective: LMI, Slum and Blight, Limited Clientele)
- Project description should include, project address, existing need, outcomes, longitude and latitude etc.
- Maps: Location and Service Area
- Photos (document need for the project)
- Determine level of Environmental Review complete Environmental Review Certification (OCD template online)

Fair Housing (Every CDBG program is required to operate a standard Fair Housing Program)

Environmental Review

- Depending on level of Environmental Review and Complete Statutory Checklist (OCD template online)
- Correspond and collect required supporting documentation for Statutory Checklist
- Series of Advertisements if project is located in the Floodplain (2)
- FONSI/NOIRROF Ads depending on level of review
- Request Release of Funds (formal document signed by the county sent to the state; OCD template online)
- Receive Release of Funds

Procurement (reference appropriate procurement procedure on OCD Procurement Summary)

- Small Purchases (\$50,000 or less) Competitive Sealed Bids (\$50,000 or more)
- Competitive Proposals (\$50,000 or more admin or non-professional; price not principal consideration)
- Qualification Based Selection (\$50,000 or more architecture and engineering only)
- Cooperative Purchasing (existing state contracts) or Noncompetitive Proposals (single source; emergency; etc)

Construction and Closeout

- Coordinate Pre-Construction Meeting include a site visit/ project walk through
- Create project specific Pre-Construction Meeting Agenda include a sign-in sheet
- Research any pertinent aspects of the project prior to the meeting (if not prior to bidding the project)
- Meeting deliverables: start and end date, material storage, coordination of services, etc.
- Provide Contractor: Full size set of plans, Making Davis Bacon Work Packet, Federal Employee Poster Packet

Documents: Contract, Design/Plans, Prevailing Wage Packet, Poster Packet, Pre-Construction Agenda

- Contact contractor and stakeholders periodically to ensure project starts on time
- Determine construction timeline perform mandatory site visits/employee interviews each month of the project
- Collect weekly certified payroll reports & prevailing wage notifications (blank payrolls for non-work weeks)
- Monitor construction and present Change Orders to the grantee as soon as possible
- Obtain final invoice, affidavit of waiver of liens, affidavit of prevailing wages
- Conduct final inspection (best practice to have affidavit of waiver of liens & prevailing wages signed at final)
- Retain a copy of the payment (check) to the contractor for project file

Documents: Prevailing Wage Employee Notification, Certified Payrolls, Site Visit form, Employee Interview form, Change Order(s), Final Invoice and payment, Affidavits Waiver of Liens, Prevailing Wage Certification, Final Inspection Form

AGENDA FOR PUBLIC HEARING #1, February 17, 2016 – 10:00 AM

- **Introductions**
- **CDBG Program Overview, National Objectives, and General Program Requirements**
- **Fair Housing**
- 1) **Allocation Program**
 - **Amount of Funds Available**
 - **Eligible Activities**
- 2) **Neighborhood Revitalization Program**
 - **Targets comprehensive neighborhood improvements**
 - **Eligible Activities**
- 3) **Residential Public Infrastructure Grant Program**
 - **Amount of Funds Available**
 - **Eligible Activities**
- 4) **Critical Infrastructure Program**
 - **Single component, critically needed, high impact infrastructure improvement**
 - **Amount of Funds Available**
 - **Eligible Activities**
- 5) **Discretionary Targets of Opportunity**
 - **Same national objective as other CDBG programs**
 - **Projects that do not fit into the structure of other CD programs**
- **Community Development Implementation Strategy Meeting**
- **Dates of Public Hearing #2 –**
- **CDBG Formula Program Local Requests for Funding Applications**
- **Citizen's views, comments, and questions**

NOTICE OF PUBLIC HEARING #1

Animal County intends to apply to the Ohio Development Services Agency for fiscal year 2016 funding under the Community Development Block Grant (CDBG) Small Cities Program. The below mentioned CDBG programs are federally funded and administered by the state. CDBG programs can fund a broad range of planning, community improvement and housing related activities. These activities must be designed to primarily benefit low-moderate income persons, aid in the prevention of elimination of slum and blight, or meet an urgent need within the community. The County is eligible for funds in 2016 as follows:

- CDBG Allocation Program: The Fiscal Year 2016 allocation is undetermined at this time. However, the County's 2015 allocation was \$133,000. The Allocation Program is a community development and infrastructure improvement program that is available to all incorporated and unincorporated areas as well as community organizations, provided they meet all applicable requirements.
- CDBG Neighborhood Revitalization Program: The County may be eligible to apply for \$500,000 under the Neighborhood Revitalization Program which is a competitive set-aside of the Allocation Program. The purpose of this program is to target community development improvements to one community that meets program eligibility requirements.
- CDBG Residential Public Infrastructure Program: Maximum funding is \$600,000. This program is competitive and designed to help small rural areas that are working to update their water and sanitary sewer systems.
- CDBG Critical Infrastructure Program: Maximum funding is \$300,000 which is a competitive set-aside of the Allocation Program. Projects are designed to assist communities with high-priority, single-component projects such as roads, flood and drainage and other public infrastructure improvements with a high community-wide impact.
- CDBG Discretionary Program: Provides a means to fund worthwhile "targets of opportunity" projects and activities that do not fit within the structure of existing programs, and to provide supplemental resources to resolve immediate and unforeseen needs.

The first of two public information meetings regarding these programs will be held on Tuesday, March 17th, 2016 at 10:00AM at the office of the Animal Co. Commissioners, 15 South Court Street Unicorn, OH 44444. This meeting will provide citizens with pertinent information about all of these programs, including an explanation of eligible activities, applicable program requirements, and application due dates. Additionally, Animal County will host the Community Development Implementation Strategy Meeting on Thursday, March 19th, 2016 at 9:00AM at the Animal County Commissioners Extension Office, 280 West Union St. Unicorn, OH 44444 prior to the second public information meeting. Program information is also available at www.puppychow.org Citizens are encouraged to attend this meeting to provide input on the County's programs. For further information or to request special accommodations please contact Wile E. Coyote at the Animal County Development Department (555-555-5555).

Instructions

Prior to PY 2013, the Ohio Development Service's Office of Community Development (OCD) required Community Development Program applicants to conduct a Community Assessment Strategy (CAS) to qualify projects for the Community Development Block Grant Program. The CAS required applicants to evaluate the condition of public facilities in low- and moderate-income (LMI) areas to assist with selecting and prioritizing projects for program funding.

OCD redesigned the Community Development Program in PY 2013 to encourage collaboration within eligible applicant communities, and include funding for Neighborhood Revitalization, Downtown Revitalization, and Critical Infrastructure Competitive Set-Asides. The Community Development Implementation Strategy (CDIS) replaces the CAS as a tool to facilitate communication with stakeholders in eligible applicant communities. The CDIS will supplement the required Citizen Participation process in odd years starting in PY 2015, provide a format for disseminating information about Economic and Appalachian Development Section programs, and assist with identifying and prioritizing potential funding opportunities. The CDIS is required to apply for the PY 2015 and PY 2016 Community Development, Economic Development, and Residential Public Infrastructure Grant programs.

Grantees are required to disseminate information about the Community Development, Residential Infrastructure Public Grant, and Economic Development programs to local stakeholders and encourage them to participate in the CDIS process. County grantees are required to invite city and village representatives to the CDIS meeting. County and city grantees should also consider including representatives from regional planning, economic development, community improvement, downtown, and neighborhood organizations, local development and water/sewer districts, townships, community action agencies and other public service providers, funding providers, and other locally identified stakeholders.

A. Sign-In Sheet

1. Print Sign-In Sheet for recording attendance at Implementation Strategy meeting
2. Scan and submit the Sign-In Sheet in electronic form with the rest of the packet when the community applies for CDBG funding via OCEAN

**Sign-In Sheet may be copied or printed multiple times depending on number of attendees*

B. Outreach Plan

1. Complete one-page Outreach Plan detailing how the community notified and disseminated information to participating jurisdictions (Describe methodology, media used [radio, television, newspapers, etc], human resources required, and how the community identified participating jurisdictions)

C. Agenda & Minutes

1. Use the included spreadsheet to develop an agenda and record minutes from the CDIS meeting
2. Alternatively, use another format/method (i.e. Microsoft Word) to create an agenda and record minutes, scan or upload those documents, and submit them with the rest of the packet via OCEAN

**This sheet utilizes a text box to allow you to format your information*

D. Needs Worksheet

This sheet is for communities to record each individual project discussed during the CDIS meeting. All projects should be recorded on this worksheet even if there is not yet sufficient information available to fill in all the columns. An example for completing the Needs Worksheet is included.

1. Enter the first project determined by the CDIS meeting to be a community need in **Row 4** of the Needs Worksheet
2. To enter more projects, click the **Add New Project** button in the top-left corner of the sheet. This will insert a new row just above the last line you entered.
3. For each new project, use the drop-down boxes to select the appropriate response for each column.

Needs Worksheet Components

Jurisdiction - The project location; can be a village, city, township, or a census tract or block group; this should roughly describe the service area that would be used in an application.

Need - A brief project description; i.e. water line replacement or sewer lift facility.

Project Type - Primarily for internal and HUD reporting. Public infrastructure has now been broken out from public facilities and will include projects such as water lines, sewer lines, and road resurfacing; public facilities encompasses projects such as libraries and senior centers.

Program - Select which Ohio-administered CDBG program best matches this project.

National Objective - Select the National Objective under which this project will be qualified.

Criticality - Factors determining the project's urgency.

Safety - Does this project improve the safety of the beneficiaries? (i.e. fire protection)

Health - Does this project improve the health of the beneficiaries? (i.e. water pipes, drainage)

General Welfare - How significant overall is the project to the beneficiaries?

Feasibility - Factors that determine whether the project is ready to proceed if funded.

Funds Identified - Has the community obtained commitments or is seeking funding from other sources such as ODOT, EPA, the municipality itself, etc.?

Readiness - Is this a project that is best suited for the upcoming grant cycle, or does it require additional time to prepare and identify resources?

Permits & Approvals - Has the community started acquiring construction permits, engaged in eminent domain proceedings, or obtained right-of-way access/easements?

Impact - Factors that determine the level of effect of the project on the community. Number of beneficiaries and the low-and-moderate income percentage are also important determinants of eligibility.

E1. Community Development Priority Projects

This sheet is designed to be completed **after the community has completed its own application review process, but prior to submitting Allocation and Competitive Set-Aside applications to OCD.*

1. All projects selected for the current funding cycle must be included on the worksheet, along with a justification for inclusion.
2. Communities should also include supplemental projects for current or future funding years.
3. Each project not included in the current year's application(s) should be ranked by priority for future consideration.
4. No more than 10 priority projects should be included. Smaller communities *may* have fewer projects; this list is intended to guide the planning and application process for a two-year cycle.

E2. Economic Development & Residential Public Infrastructure Priority Projects

This sheet is designed to be completed **after the community has completed its own application review process, but prior to submitting Economic Development and Residential Public Infrastructure applications to OCD.*

1. All projects selected for the current funding cycle must be included on the worksheet, along with a justification for inclusion.
2. Communities should also include supplemental projects for current or future funding years.
3. Each project not included in the current year's application(s) should be ranked by priority for future consideration.
4. No more than **10** priority projects should be included. Smaller communities *may* have fewer projects; this list is intended to guide the planning and application process for a two-year cycle.
5. Communities have flexibility to add or delete projects from the Priority Projects worksheet during the two-year planning period due to the open-cycle application submission process.

AGENDA FOR PUBLIC HEARING #2 May 2, 2016—1:30 PM

- **Introductions**
- **2016 CDBG Allocation Proposed Activities:**
 - 1) **Street Improvements** – Village of Porcupine
 - 2) **Neighborhood Facilities Improvements** – Village of Sloth Senior Center
 - 3) **Planning** – City of Pomeranian
 - 4) **Fire Protection Facility Improvements** – Yorkie Township Fire Department
 - 5) **Alternate Activity – Street Improvements** – City of Unicorn
 - 6) **Fair Housing and Administration**
- **2015 CDBG Critical Infrastructure Proposed Activities:**
 - 1) **Street Improvements** – Tabby Cat Township
 - 2) **Administration**
- **2015 CDBG Neighborhood Revitalization Proposed Activities:**
 - 1) **Street Improvements** – Village of Arfton
 - 2) **Sidewalk Improvements**
 - 3) **Flood and Drainage Facilities Improvements**
 - 4) **Parks and Recreation Improvements**
 - 5) **Fire Protection Facilities and Equipment**
 - 6) **Fair Housing and Administration**
- **Questions / Comments**

NOTICE OF PUBLIC HEARING #2

Animal County intends to apply to the Ohio Development Services Agency for funding under the Community Development Block Grant (CDBG) Small Cities Program, a federally-funded program administered by the state. Animal County is eligible for \$133,000 of Fiscal Year 2016 CDBG Allocation Program funding, provided the county meets applicable program requirements. The county conducted its first public hearing to inform citizens about the CDBG program, how it may be used, what activities are eligible, and other important program requirements on March 17th, 2016. The following activities are under consideration for inclusion in the County's application based on citizen input and local officials' assessments of needs:

Street Improvements: Village of Porcupine – CDBG Allocation \$21,600; LMI

Neighborhood Facilities Improvements: Village of Sloth Senior Center – CDBG Allocation \$27,300; LMC

Planning: City of Pomeranian – CDBG Allocation \$7,500

Fire Protection Facility Improvements: Yorkie Township Fire Department –CDBG Allocation \$25,800; LMI

Alternate Activity: City of Unicorn, Street Improvements – CDBG Allocation \$50,000, Revolving Loan Fund \$50,000. Qualified under the LMI national objective. Animal County elects to perform as an alternate activity if needed Street Improvements on Rainbow Road in an amount up to \$100,000 or less with CDBG Allocation and County RLF funding, pending the outcomes of the CDBG competitive awards. Animal County also may fund several above activities at original local jurisdiction request amounts, those being: Village of Porcupine Street Improvements at \$48,000 (currently proposed at \$21,600 funding level) and Yorkie Township Fire Protection Facilities at \$49,400 (currently proposed at \$25,800 funding level).

Fair Housing and Administration: CDBG Allocation \$26,600.

Animal County is eligible to apply for CDBG Critical Infrastructure Program (Allocation Program set-aside) funding up to \$300,000.00. The following activity is being considered for inclusion in the County's application to the state:

Street Improvements: Salem Road, Tabby Cat Township - CDBG Critical Infrastructure \$280,000.00; CDBG Allocation \$25,000; Revolving Loan Fund \$25,000; Local Contribution \$184,440. Qualified under the LMI national objective.

Administration: \$20,000.

In addition, Animal County is eligible to apply for CDBG Neighborhood Revitalization Program (Allocation Program set-aside) funding up to \$300,000. Qualified under the LMI national objective. The following activities are being considered for inclusion in the County's application to the state for the Village of Arfton under the Neighborhood Revitalization Program.

Street Improvements: CDBG Neighborhood Revitalization \$106,900, CDBG Allocation \$25,000, Village of Arfton \$4,000.

Sidewalk Improvements: CDBG Neighborhood Revitalization \$32,300.

Flood and Drainage Facilities Improvements: CDBG Neighborhood Revitalization \$69,700; Revolving Loan Fund \$25,000.

Park and Recreation Improvements: CDBG Neighborhood Revitalization \$11,100.

Fire Protection Facilities and Equipment: CDBG Neighborhood Revitalization \$50,000.

Fair Housing and Administration: CDBG Neighborhood Revitalization \$30,000.00.

A second public hearing will be held **May 2, 2016 at 1:30 PM** at the Animal County Commissioners Office at 15 South Court Street Unicorn, Ohio 44444 to give citizens an adequate opportunity to review and comment on the county's proposed CDBG application, including the proposed activities summarized above, before the county submits its Application to the Ohio Development Services Agency. Citizens are encouraged to attend this meeting to express their views and comments on the county's proposed CDBG Application.

Draft



Community Services Division
Office of Community Development
77 South High Street, Columbus Ohio 43215 U.S.A.
Phone: (614) 466-2285
Fax: (614) 752-4575

Previously known as Policy Notice OHCP 07-01

SUBJECT: Public Hearing Notification Requirements

ISSUED: January 5, 2007

DISTRIBUTED TO: Office of Community Development Award Recipients and their Affiliates

POLICY

In lieu of requiring Office of Community Development (OCD) award recipients to publish a public hearing notice in the legal section of a newspaper, OCD developed three alternative options for informing citizens about local public hearings and distributing information regarding the citizen participation process. The options are outlined in the attached document.

In summary, Alternative Option 1 is the current notification process, except that it allows publication of a news article about the public hearing rather than the publication of a public hearing notice in the legal section of a newspaper. Alternative Options 2 and 3 do not require a newspaper article or a public notice to be published; however, both options do require verification of another type of notification and related outreach activities. Verification may be as simple as obtaining a written statement from another entity or agency that the notice and/or materials will be posted at their site for a particular period of time (at least 10 days prior to the hearing). Note: This written verification must be maintained in the community's Citizen Participation file.

COMMENTARY

OCD Notice 07-01 was issued to reduce the costs of public notification of upcoming public hearings and to increase the number of individuals reading such notices.

Questions regarding the public hearing notification requirements should be directed to the OCD Field Services Section by telephone at (614) 466-2285 or at ocd@development.ohio.gov.

**Ohio Development Services Agency
Office of Community Development**

Notifying the Public about Public Hearings

Directions: OCD award recipients must notify the public about public hearings regarding projects funded with OCD-awarded dollars. To meet this requirement, award recipients may publish a public notice in the legal section of the local newspaper at least 10 days prior to the date of the hearing; or select one of the following alternative options. In all cases, check the appropriate box and place this sheet in the Citizen Participation File, along with the Public Hearing Documentation Log and a copy of the Public Hearing minutes.

Standard Public Hearing Notification Published in the Legal Section of a Newspaper that Serves the Area

Alternative Option 1 – Verification of Public Notice Publication in a Newspaper Required

OCD award recipients must:

- Post in a newspaper that serves the area; publish a public notice, an article or a press release in the non-classified section;
- Post a notice in common areas of city hall or county offices where it is accessible and clearly visible to local citizens using the facility; and
- If the award recipient is a county, require their local cities, villages and townships to post the notice in their local offices.

Alternative Option 2 – No Public Notice in a Newspaper Required

OCD award recipients must:

- Post a notice in common areas of city hall or county offices where it is accessible and clearly visible to local citizens using the facility;
- If the award recipient is a county, require their local cities, villages and townships to post the notice in their local offices; and meet other requirements as established in the local Citizen Participation Plan for the county; and
- Provide verification that **five** of the outreach outlets listed below were used to notify the public about the public hearing.

Alternative Option 3 – No Public Notice in a Newspaper Required

OCD award recipients must:

- Post a notice in common areas of city hall or county offices where it is accessible and clearly visible to local citizens using the facility;

**Ohio Development Services Agency
Office of Community Development**

Public Hearing Documentation Log

Hearing Number: _____ Type: General
 Application
 Amendment

Posted in Newspaper: No Yes Newspaper Name: _____

Posting Type: Legal Posting (attach documentation)
 Article (attach article, with date visible)

Date of Posting: _____

Date of Hearing: _____

Time of Hearing: _____

Hearing Location: _____

Hearing Minutes Attached: No Yes

List of Attendees Attached: No Yes

Public Hearing Notice and Outreach Posting Locations*

	Agency/Facility	Location (Address, City)	Notification Method	Contact	Phone
1					
2					
3					
4					
5					
6					
7					
8					
9					
10					

* Required for Alternative Options 2 and 3.

- If the award recipient is a county, require their local cities, villages and townships to post the notice in their local offices and meet other requirements as established in the local Citizen Participation Plan for the county;
- Provide verification that **three** of the outreach outlets listed below were used to notify the public about the public hearing; and
- Provide targeted outreach to each designated Investment or Target Area, which can include:
 - Posting a notice in a facility accessible and frequented by households in the Investment Area (school, neighborhood center, or grocery store); and
 - Direct contact with households (mailing, flyer, etc.).

Outreach Outlets

- Local Community Website
- Local Public Library (each branch library is considered a separate posting)
- Cable TV Community Access Channel Posting
- Senior Center or Community Center
- Community Action Agency Office
- Public Housing Authority
- Local Workforce Development Assistance Office
- Other Public or Private Agencies or Institutions that Serve the General Public

**This application is due to Kangaroo County Community Development Staff
No Later than April 8, 2017.**

Please mail or deliver your application to: Kangaroo County
Attn: Buddy Cinnamon
777 Rainbow Drive
Far Out, OH 28146

Eligible applicants include: local governments, local government agencies, fire departments, and non-profits serving low- and moderate-income individuals. *Individuals are not eligible to apply.*

INSTRUCTIONS: TYPE or PRINT responses to the questions and attach all documentation listed in the 'attachments' section. Use additional sheets of paper if needed to answer questions.

If you have any questions or need assistance, please contact Buddy Cinnamon Kangaroo County Community Development 740-867-5309 or email Buddy.Cinnamon@kangaroo.co.oh.gov.

<u>Applicant</u>	<u>Project Location</u>	<u>Choose Improvement (x)</u>	<u>Total Cost</u>	<u>CDBG \$ requested</u>
		Street _____ Sewer Facility _____ Sidewalk _____ Senior Center _____ Water Facility _____ Fire Protection Facility _____ Neighborhood Facility _____ Flood & Drainage _____ Other _____ (Please Specify)		

Name and contact information of applicant. (Examples of applicants are citizen groups, townships, villages, fire departments, etc.)

- a. NAME: _____
- b. ADDRESS: _____
- c. PHONE: _____

Name and contact information of primary contact person for applicant. (Examples of contact persons are mayors, council person, township trustee, fire chief, village administrator, etc.)

- a. NAME: _____
- b. ADDRESS: _____
- c. PHONE: _____
- d. EMAIL: _____

To be considered for funding by the County for the CDBG Allocation Program, I/we acknowledge and understand the following:

- I. Proposed projects must be completed between January 1, 2016 and December 31, 2016.
- II. Projects must qualify based on benefiting areas which are at least 51% low- and moderate-income per the 2010 American Community Survey or valid Income Survey, aid in the prevention of slum and blight, or serve limited clientele (if you have questions please contact Buddy Cinnamon at (740-867-5309).
- III. If an Income Survey is required to qualify the project, it is the applicant's responsibility to meet with Community Development staff to receive instructions on how to properly conduct an Income Survey.
- IV. If an Income Survey is required, it is the applicant's responsibility to conduct the Income Survey prior to the due date.
- V. All non-residential construction and improvements must meet or exceed State Building Codes (such as: Neighborhood Facility, Community Center or Senior Center etc.).
- VI. Cost estimates must be itemized, signed, and provided by a qualified source (engineer, architect, county engineer, etc.).
- VII. All cost estimates for construction projects with an estimated cost of \$2,000 or more must include a federal prevailing wage statement. **This must be noted on the estimate.**
- VIII. Chip and Seal and gravel based road improvements are not eligible.
- IX. Only the County may enter into contracts for your project. If funded, the applicant understands that the county is the recipient of the grant and must enter into all contracts for the activity. The local applicant is not authorized to perform any procurement activities for this project.
- X. If non-CDBG funds will be contributed to the proposed project a commitment letter is required.
- XI. If funded, the applicant understands that all administration and procurement activities must follow CDBG requirements. Chimpanzee County Community Development will be the administrator on behalf of eligible jurisdiction.
- XII. All required rights-of-way, easements, and property needed for the proposed activity are owned by the applicant or applicant has received authority from the owner, which must be provided in writing.

Printed Name of Authorized Official of Applicant

Title

Signature of Authorized Official

Date

QUESTIONS:

1) Location of the project. An address is required. If there is no mailing address, please provide the closest physical address to the site.

- a. MAILING ADDRESS: _____
- b. COUNTY: _____
- c. TOWNSHIP/JURISDICTION: _____
- d. DOES THE APPLICANT OWN THIS PROPERTY/BUILDING? YES NO

IF YES, attach proof of ownership IF NO, attach proof of ownership and owner project approval

2) Benefit area. Who will benefit from the proposed project?

a. DESCRIBE THE GEOGRAPHICAL PROJECT BENEFIT AREA (Village, Neighborhood, Street, etc.):

b. IMPACT LEVEL, (How will the project impact the community?):

c. PLEASE CHECK ALL THAT APPLY TO YOUR PROPOSED PROJECT:

Benefit a primarily Low –Moderate Income Individuals	
Eliminate Slum and Blight from the Community	
Benefit Limited Clientele such as: seniors or persons with disabilities	

- d. LMI% OF BENEFIT AREA: _____% (Please See Attached Data)
 - i. From 2010 ACS Data _____
 - ii. From Income Survey _____

3) Criticality. What factors determine the proposed project’s urgency?

a. PLEASE CHECK ALL THAT APPLY TO YOUR PROPOSED PROJECT:

Safety____ Health____ General Welfare____ Other____

b. PLEASE DESCRIBE THE CRITICALITY OF THE PROPOSED PROJECT:

DESCRIBE YOUR PROJECT IN AS MUCH DETAIL AS POSSIBLE (specifically the feasibility of the proposed project):

1) WILL THIS PROJECT INVOLVE RIGHTS-OF-WAY OR EASEMENTS? YES NO

a. **IF YES, PLEASE EXPLAIN**

b. **IF YES, PROVIDE LETTER OF SUPPORT FOR THE PROJECT FROM THE OWNER/S OF THE PROPERTY WHICH WILL REQUIRE OBTAINING RIGHTS-OF-WAY OR EASEMENTS (IF APPLICABLE).**

2) **PROVIDE A DETAILED EXPLANATION OF WHY YOUR COMMUNITY NEEDS THIS PROJECT.**

3) **EXPLAIN WHY YOUR COMMUNITY NEEDS CDBG FUNDING FOR THIS PROJECT.**

4) **PLEASE LIST ANY OTHER RELEVANT INFORMATION YOU WOULD LIKE TO PROVIDE REGARDING YOUR PROJECT AS AN ATTACHMENT.**

COST BREAKDOWN

Provide a cost breakdown of the project including the total cost of the project, the amount of CDBG funding you are requesting and the sources for all other funding. Please note that any additional funding will need to be in place and documented as committed by May 1, 2017 resolutions, statement from treasurer on the applicant’s letterhead, etc.). If your CDBG application is approved and anticipated funds from other sources are not received it will be your (the applicant’s) responsibility to secure replacement funding or risk losing the CDBG funding.

INSTRUCTIONS FOR PROJECT COST BREAKDOWN:

1. This is the amount of funds you are requesting from the County through its 2017 CDBG Allocation Grant Program application.
2. This is the amount of local contribution. A local contribution is not required, but is encouraged if the applicant has funds available. If you intend to provide a local contribution, indicate whether these funds have been committed to the project by circling Y (yes) or N (no).
3. Other sources of funds. This could be from other grants such as ARC or ODNR. It is not required that you have other sources of funds. If other funds will be used on this project, indicate whether these funds have been committed to the project by circling Y (yes) or N (no).
4. Same as #3.
5. Same as #3.
6. Same as #3.
7. Enter the value of in-kind labor, if any, you intend to use on this project.
8. Enter the total project cost.

PROJECT COST BREAKDOWN			
(1) Requested CDBG amount:			\$
(2) Local Contribution (if applicable)		Committed? Y N	\$
(3) Other: Source:		Committed? Y N	\$
(4) Other: Source:		Committed? Y N	\$
(5) Other: Source:		Committed? Y N	\$
(6) Other: Source:		Committed? Y N	\$
(7) In-kind labor (if applicable):		Committed? Y N	\$
(8) TOTAL PROJECT COST			\$

ADDITIONAL INFORMATION:

1. If in-kind labor will be used, answer the following:

a. Detailed explanation of what kind of work will be done utilizing in-kind labor:

b. What expertise do you have in order to do the proposed work?

2. If additional funds are planned to be used on this project but have not yet been committed, please provide an explanation regarding the source and when the funds are expected to be committed.

3. Please use this space to provide any additional information about your project not covered elsewhere in this application (optional).

SITE INFORMATION

CDBG funded construction projects are required to undergo an environmental review process. The environmental review process may result in conditions which could add to the cost of the project. These questions are intended to help you and the design professional submitting the cost estimate take into consideration any potential environmental issues that may affect the cost of the project. Please remember that if your project is funded, the amount of the grant award will not be increased and it will be your responsibility to secure any additional funding that may be required to complete the project.

Please consider your entire project when answering the following questions.

1. Does your project involve a building? If so, what year was it built? _____

2. If your project involves a building, are there any existing code violations that need to be addressed?

Yes No

a. If yes, will this project address those code violations? Yes No

3. Certificate of Occupancy Requirement for activities involving an existing building:

SECTION 111 CERTIFICATE OF OCCUPANCY

111.1 Approval required to occupy No building or structure, in whole or in part, shall be used or occupied until the building official has issued an approval in the form of a certificate of occupancy. The certificate of occupancy shall indicate the conditions under which the building shall be used. The building owner shall only use the structure in compliance with the certificate of occupancy and any stated conditions. The structure and all approved building service equipment shall be maintained in accordance with the approval. When a building or structure is entitled thereto, the building official shall issue a certificate of occupancy

- **I have read the above statement and certify that the structure pertaining to this request for funding is in compliance with Section 111 – Certificate of Occupancy of the Ohio Building Code. I understand a copy of the Certificate of Occupancy may be required if this project is selected for funding.**

Signature of applicant

Date

-
4. Does the building or project area contain asbestos, lead, or other materials which have special disposal considerations? Yes No Do you have surveys verifying this? Yes No
5. Does the building or project location have any historical significance (such as listed on the National Register of Historic Places, eligible for a listing due to age, etc.)? Yes No
- a. If so, please explain:

-
6. Is the project in a historic district or neighborhood? Yes No
7. Will the project affect brick streets or sidewalks? Yes No
8. Is the project site located in or near the floodplain or wetlands? Yes No
9. Are there any streams on or near the project site? Yes No
10. Will the project involve excavation or clearing of undisturbed land? Yes No
11. Will the project involve demolition? Yes No
12. Will easements need to be acquired? Yes No
13. Will any access fees be charged (examples: sewer or waterline hook-up, membership fees, etc.)?
Yes No
14. Is the project site near any natural features such as bluffs or cliffs or near the Wayne National Forest?
 Yes No
15. Are there any unusual conditions on the site? Yes No
16. Will the project change the current use of the building/site? Yes No
17. Is the proposed project in compliance with local zoning? Yes No

ATTACHMENTS

THE FOLLOWING ARE REQUIRED FOR ALL PROPOSED PROJECTS:

1. **COST ESTIMATE** – Cost estimates must be from an architect, engineer, or appropriate professional on their letterhead. Be sure the cost estimate includes all items in the attached *Cost Estimate Guidelines*.
2. **COMMITMENT LETTER(S)** – Commitment letters are needed from all sources of funds for the project other than CDBG. Include letters for volunteer labor and in-kind contributions. All funds committed to the project must be officially documented as committed to the project by December 31, 2010.
3. **MAP** – Indicate the location of the project and draw a border around the benefit area.
4. **PROOF OF OWNERSHIP** – Proof that the applicant has the authority to request this project.

THE FOLLOWING ARE OPTIONAL ATTACHMENTS FOR ALL PROPOSED PROJECTS:

1. Photographs of the project area to visually document need.
2. Copies of newspaper articles about the project.
3. Any other pertinent information that will help the County Commissioners understand why your community needs this project.

THE FOLLOWING ARE SPECIFIC ATTACHMENTS FOR PROPOSED PROJECTS DEPENDING ON APPLICANT:

THE FOLLOWING IS REQUIRED IF THE APPLICANT IS A NON-PROFIT:

1. **COPY OF CONSTITUTION AND BY-LAWS.**

THE FOLLOWING IS REQUIRED IF THE APPLICANT IS A FIRE DEPARTMENT:

1. **COMPLETE LIST OF EQUIPMENT** – Attach a complete list of equipment needed to meet specific safety requirements of the industrial commission of Ohio relating to fire fighting, ORC 4121:1-21, along with an itemized list of equipment request and estimate(s) of cost.

THE FOLLOWING ARE REQUIRED IF THE PROPOSED PROJECT IS FOR THE PURCHASE OF EQUIPMENT FOR A PUBLIC SERVICE:

1. **PROGRAM DESCRIPTION** – Describe the agency, services, and clientele and how the proposed activity meets a national objective (limited clientele or low-moderate income). Discuss the service and whether it is a new service or expansion of an existing service.
2. **LEVEL OF SERVICE** –
 - a. Define how the service is measured. Identify a unit of service (e.g. nights of shelter, meals per day, individuals served per month, etc.).
 - b. Identify the *previous year's* source of funds and respective funding levels.
 - c. Document the previous calendar year's level of service in units.
 - d. Identify the upcoming year's projected source of funds and respective funding levels.
 - e. Project the upcoming year's level of service both with and without CDBG funding.
 - f. Indicate the percentage of clients or persons served who reside in your community.

ATTACHMENT CHECKLIST

REQUIRED ATTACHMENTS	
Cost Estimate - must include Federal Prevailing Wage & Useful Life Statements from Engineer or Architect	
Commitment Letters - required per funding source and local commitments	
Location Map	
Proof of Ownership	
OPTIONAL ATTACHMENTS	
Photos	
Additional Pertinent Information	

PLEASE SEE SPECIAL ATTACHMENT REQUIREMENTS ON PAGE 8 IF APPLICABLE

APPROXIMATE TIMELINE:

- February 4th Applications Made Available
- February 17th Public Hearing 1
- April 8th Applications Due
- March 19th Community Development Implementation Strategy Meeting
- Late April Project selections
- Early June Public Hearing #2/Finalize project selections
- Early June Prepare County's Grant application
- Mid-June Submit County's application to the state
- September Grant award
- October-February Environmental Review
- January-April Procure Design Professionals and Project Design
- May-November Construction Phase
- December Deadline for project completion

FOR ADDITIONAL INFORMATION, PLEASE CONTACT:

Kangaroo County Community Development Office
 Attn: Buddy Cinnamon
 777 Rainbow Drive
 Far Out, OH 28146
 Phone: 740-867-5309
 Fax: 740-767-1086 Email: Buddy.Cinnamon@kangaroo.co.oh.gov



**COMPLETE LIST OF ALL ACTIVITY NAMES WITH
OUTCOME MEASUREMENT NAMES**

ACTIVITY NAME	OUTCOME MEASUREMENT
Acquisition	Acres of Land Square Feet of Structure Structures Parcels Households Assisted Business Buyouts Permanent Easements/Right-of-Way
Acquisition/Rehab	Units Acquired, Rehabbed and Sold Units Acquired, Rehabbed
Centers for Handicapped	Buildings Rehabbed/Constructed
Clearance Activities	Structures Demolished
Code Enforcement	Units Assisted or Inspected
Conversion/Rehab/Renovate	Square Feet of Structure Buildings Rehabbed/Constructed
Disposition	Acres of Land Square Feet of Structure Structures
Downpayment Assistance	Households Assisted-Downpayment Assistance Mobile Homes Assisted-Downpayment Assistance Households Assisted with Counseling/Education Number of Target Areas Assisted
Downpayment Assistance/Rehabilitation	Units Acquired, Rehabbed Households Assisted with Counseling/Education Number of Target Areas Assisted
Exist Essential/Supportive Services	Households Assisted
Fair Housing Program	FH Training Program FH Counseling FH Complaint System FH Education Outreach FH Legislation Adopted FH Affirmative Action Plan FH Analysis FH Coordinator FH CHIP Outcomes Standard Fair Housing Program



**COMPLETE LIST OF ALL ACTIVITY NAMES WITH
OUTCOME MEASUREMENT NAMES**

ACTIVITY NAME	OUTCOME MEASUREMENT
Fire Protection Facilities and Equipment	Square Feet of Structure Buildings Rehabbed/Constructed Vehicles Purchased Items of Equipment Purchased Fire Hydrants Installed
Flood and Drainage Facilities	Linear Feet Culverts/Catch Basins Installed Manholes Installed Permanent Easements/Right-of-Way
General Administration	NO MEASUREMENT NEEDED
Grant/Loan/Int. Supplement	Square Feet of Structure Businesses/Organizations Assisted Units Rehabbed – Owner Units Repaired – Owner Facades Improved Units Repaired – Rental
Historic Preservation	Buildings Rehabbed/Constructed Units Rehabbed – Owner
Homelessness Prevention Implementation	Households Assisted Households Assisted with Counseling/Education
Home/Building Repair	Units Repaired – Owner Units Repaired – Rental Buildings Repaired Number of Target Areas Assisted
Homeless Facilities	Buildings Rehabbed/Constructed Households Assisted
Homelessness Prevention	Households Assisted Households Assisted with Counseling/Education
Housing Development – Owner Units	Units Rehabbed – Owner Units Constructed – Owner
Housing Development – Rental Units	Units Rehabbed – Rental Units Constructed – Rental
Housing Development/Information/Counseling	Households Assisted Households Assisted with Counseling/Education



**COMPLETE LIST OF ALL ACTIVITY NAMES WITH
OUTCOME MEASUREMENT NAMES**

ACTIVITY NAME	OUTCOME MEASUREMENT
Interim/Emergency Rental Assistance	Households Assisted
Lead Reduction/Evaluation	Units Rehabbed – Owner Units Rehabbed – Rental Lead Safe Units
Leasehold Improvements	Square Feet of Structure Units Rehabbed – Owner
Machine/Capital Equipment	Items of Equipment Purchased
Microenterprise Program	Households Assisted Units Assisted or Inspected
Mortgage Payments	Households Assisted Units Assisted or Inspected
Moving Costs	NO MEASUREMENT NEEDED
Neighborhood Facilities / Community Center	Buildings Rehabbed/Constructed
New Construction	Square Feet of Structure Units Constructed – Owner Units Constructed – Rental Units Acquired, Constructed and Sold
Non-Capital Equipment	Items of Equipment Purchased
Off-Site Improvements	USE EITHER STREET IMPROVEMENTS, SIDEWALKS IMPROVEMENTS OR WATER AND SEWER ACTIVITY NUMBERS
Operating Expenses/CHDO	Households Assisted Units Assisted or Inspected
Other Costs	NO MEASUREMENT NEEDED
Parking Facilities	Square Feet of Pavement/Landscaping Parking Spaces



**COMPLETE LIST OF ALL ACTIVITY NAMES WITH
OUTCOME MEASUREMENT NAMES**

ACTIVITY NAME	OUTCOME MEASUREMENT
Parks and Recreation Facilities	Acres of Land Square Feet of Structure Athletic Fields/Curbcuts Installed/Repaired General Park Improvements Items of Equipment Installed/Repaired Restroom Facilities Installed Linear Feet of Fencing Linear Feet of Walkway
Permanent Housing Placement	Households Assisted
Planning	NARRATIVE OUTCOMES
Private Rehabilitation	Square Feet of Structure Units Rehabbed – Owner Units Repaired – Owner Facades Improved Households Assisted with Counseling/Education Number of Target Areas Assisted
Private Rental Rehabilitation	Units Rehabbed – Rental Units Repaired – Rental
Professional Fees	NO MEASUREMENT NEEDED
Project Reserves	NO MEASUREMENT NEEDED
Public Rehabilitation	Buildings Rehabbed/Constructed Handicapped Ramps Installed Restroom Facilities Installed Elevators/Doors Installed
Public Services	NARRATIVE OUTCOMES
Public Utilities	Utility Poles/Lines Relocated
Relocation Payment and Assistance	Households Assisted Businesses/Organizations Assisted Households Assisted – Optional Relocation
Rental/Housing Assistance	Households Assisted Units Assisted or Inspected Households Assisted with Counseling/Education
Resource Identification	NARRATIVE OUTCOMES



**COMPLETE LIST OF ALL ACTIVITY NAMES WITH
OUTCOME MEASUREMENT NAMES**

ACTIVITY NAME	OUTCOME MEASUREMENT
Revolving Loan Fund	Businesses/Organizations Assisted
Senior Centers	Buildings Rehabbed/Constructed
Sewer Facility Improvements	Items of Equipment Installed/Repaired Linear Feet Tap-Ins Installed Water/Septic Tanks/Sludge Pits Installed Manholes Installed Permanent Easements/Right-of-Way
Sidewalk Improvements	Linear Feet Curbcuts Installed Linear Feet of Curbs
Site Preparation	Acres of Land
Solid Waste Disposal Facility	Items of Equipment Installed/Repaired Facility Constructed/Rehabbed
Street Improvements	Linear Feet Culverts/Catch Basins Installed Bridges Replaced/Repaired Traffic Control/Street Signs Installed Trees, Benches, Street Lights and Planters Slips/Slides/Retaining Walls Repaired Permanent Easements/Right-of-Way Linear Feet of Curbs
Supportive Services without Housing	Households Assisted Households Assisted with Counseling/Education
Supportive Services with Housing	Households Assisted Households Assisted with Counseling/Education
Tenant/Landlord Mediation	Households Assisted
Training/Technical Assistance	Households Assisted
Utility Payments	Households Assisted Units Assisted or Inspected



**COMPLETE LIST OF ALL ACTIVITY NAMES WITH
OUTCOME MEASUREMENT NAMES**

ACTIVITY NAME	OUTCOME MEASUREMENT
Water and Sewer Facilities	Items of Equipment Installed/Repaired Fire Hydrants Installed Linear Feet Tap-Ins Installed Water/Septic Tanks/Sludge Pits Installed Manholes Installed Water Valves Installed Permanent Easements/Right-of-Way
Water Facility Improvements	Items of Equipment Installed/Repaired Fire Hydrants Installed Linear Feet Tap-Ins Installed Water/Septic Tanks/Sludge Pits Installed Wells Drilled Water Valves Installed Permanent Easements/Right-of-Way
Weatherization	Units Repaired – Owner Facades Improved Units Repaired – Rental
Working Capital	Businesses/Organizations Assisted



Community Services Division
Office of Community Development
77 South High Street, Columbus Ohio 43215 U.S.A.
Phone: (614) 466-2285
Fax: (614) 752-4575

Replaces Program Policy Notice OCD 13-03

SUBJECT: Qualifying Community Development and Residential Public Infrastructure Projects using Community Development Block Grant National Objectives

ISSUED: July 1, 2015

DISTRIBUTED TO: Office of Community Development Units of Local Government Award Recipients and their Affiliates

PROGRAM POLICY

The following Office of Community Development (OCD) policy provides guidance on qualifying Community Development Block Grant (CDBG) funded projects.

OCD-funded CDBG projects must meet one of two national objectives:

- Low- and Moderate-Income benefit
- Prevention/elimination of slum and blight

DEFINITIONS AND ACRONYMS

Place: Counties, cities, villages, and townships the comprise a benefit area

ACS: American Community Survey 5-Year 2006-2010 Low- and Moderate-Income Summary Data. This data is used to qualify area benefit projects.

Household: One or more persons occupying a housing unit

Household size: Number of persons residing in the household

Housing: Single family and multifamily structures, including manufactured housing, transitional housing, single person occupancy housing and group homes. Housing does not include emergency shelters or facilities such as nursing homes, convalescent homes, hospitals, residential treatment facilities, correctional facilities and student dormitories.

ATTACHMENTS

- Income Survey Summary
- Surveyor Agreement Form
- Low- and Moderate-Income Survey Minimum Sample Size Requirements
- Confidential Income Survey

QUALIFYING PROJECTS

Low- and Moderate-Income

The Low- and Moderate-Income (LMI) national objective may be satisfied by area benefit, direct benefit or limited clientele.

Area Benefit

Area benefit projects are designed to benefit all of the residents of an area that is primarily residential. The defined service area for the project must be comprised of at least 51 percent LMI persons.

The U.S. Department of Housing and Urban Development (HUD) requires using ACS data to qualify area benefit projects. ACS data is provided for Place and Census Tracts/Block Groups. It is available on the Office of Community Development's Technical Assistance website.

To qualify an area benefit project, applicants should:

- determine the project's service area;
- collect documentation to support the determination; and
- determine whether the proposed project can be qualified using ACS data.

If the service area matches a Place in its entirety, ACS data for that Place may be used to qualify the project. Cities and villages or townships may be combined to form a service area.

If the service area does not match a Place in its entirety, applicants may use Census Tracts/Block Groups to qualify the project. The applicant should use the combined LMI percent of the Census Tracts/Block Groups benefitting to calculate the service area's LMI percent. The service area does not need to be contiguous to one or multiple Census Tracts/Block Groups. OCD no longer requires a Net Effect Certification to document that the service area demographics are consistent with the Census Tracts/Block Groups jurisdiction.

If the service area is not at least 51 percent LMI by ACS data, the applicant may choose to conduct an income survey. The income survey must be conducted in accordance with the requirements outlined in this policy notice.

NOTE: OCD may require an applicant to conduct an income survey to qualify a project for program funding if ACS data does not appear to adequately represent the service area.

Applicants are also **not** permitted to combine ACS data and data from an income survey to qualify a service area.

Income Survey Requirements

If a proposed project's service area is contiguous with Census Tracts/Block Groups or Place jurisdictions and the applicant completed the income survey within five years of the application submission deadline, the applicant may include the project in the application without further income eligibility documentation.

If less than 41 percent of the households within the service area have low- and moderate-incomes according to the ACS data, the applicant is required to submit the attached **Income Survey Summary** with its application. The applicant must provide OCD with documentation indicating the ACS data does not reflect the service area.

NOTE: The applicant must contact OCD for additional clarification regarding the required documentation prior to submitting an application.

* Includes recent business closings, unemployment data or other indicators that demonstrates that the economic situation in the service area has changed since the U.S. Census Bureau collected the most recent ACS data, or the ACS data does not reflect the service area residents' actual demographic or income characteristics.

If a proposed project's service area is noncontiguous with Census Tracts/Block Groups or Place jurisdictions, a community may include the project in the application without further income eligibility documentation if the service area was surveyed within five years of the application submission deadline. Surveys conducted prior to December 31, 2010 are no longer valid even if less than five years old.

NOTE: The survey completion date as listed on the *Income Survey Summary* is considered the date the income survey was conducted. The survey must be completed within six months.

Confidential Income Survey

Only persons who read, comprehend and execute the attached **Surveyor Agreement Form** may conduct surveys. To conduct a survey, applicants must:

- Define the service area
 - What are the service area boundaries?
 - What is the population size for calculating the percentage of persons who are low- and moderate-income?

- For small service areas, OCD recommends census surveys that require surveying all service area households. To conduct a census survey, the applicant should:
 - Create a spreadsheet of all of the residential addresses in the service area
 - Survey all of the households in the service area
 - Tabulate the number of LMI and non-LMI households in the service area
 - Count any non-responsive household as non-LMI
 - Use the average household size of the non-LMI households as the non-responsive household size
 - Calculate the service area LMI percent by dividing the number of LMI persons in the service area by the total number of persons in the service area.

- For larger service areas, applicants may conduct a randomized survey of minimum sample size. To conduct a randomized survey, the applicant should:
 - Create a spreadsheet of all of the residential addresses in the service area
 - Sort the list using Excel's randomization function
 - Determine the minimum sample size based on OCD's **Minimum Sample Size Requirements** (see attached)
 - Start at the top of the spreadsheet list and survey the number of households required to meet the minimum sample size
 - After three unsuccessful attempts, replace any non-responsive household with the next available address on the spreadsheet

After obtaining the minimum sample size, the applicant should:

- Tabulate the number of LMI and non-LMI households
- Tabulate the number of LMI and non-LMI persons
- Estimate the total population of the service area by dividing the total number of persons surveyed by the total number of households surveyed and multiplying by the total number of households in the service area
- Divide the total number of LMI persons by the total number of persons to calculate the LMI percent of the service area

If an applicant is unable to obtain the required minimum sample size in conducting a randomized survey, the non-responsive households must be counted as non-LMI and tabulated as if the applicant conducted a census survey.

Other Considerations:

Be certain the applicant has not excluded certain areas or groups of people. Commercial (retail and industrial) sites, vacant lots and abandoned and vacant homes should be excluded from the sample because they do not have any effect on the survey's outcome. Determine that the selected subjects to be included in the sample and replacement procedures are structured to avoid bias; for example, daytime or weekday attempts may skew response rates in favor of unemployed, retired, or single-income families.

Applicants must:

- Use attached **Confidential Income Survey, Income Survey Summary** and **Surveyor Agreement Forms** to collect survey data;
- Collect income data that is the gross, annual total household income;
- Report information collected exactly as the respondents indicated; and
- Use the current Section 8 income limits to determine the number and percent of low- and moderate-income households in a service area. The Section 8 income limits are available online on OCD's Data [web page](#).

Income Survey Summary

An **Income Survey Summary** must verify that at least 51 percent of persons in the service area are low and moderate income. The Income Survey Summary must be submitted with the project application and be certified by the applicant's Chief Executive Officer (CEO) or CEO of the benefitting Place jurisdiction.

Direct Benefit

Direct benefit projects are limited to home repair and water/sanitary sewer household connections.

Applicants must use the current Section 8 income limits to determine the household size and combined household income. The Section 8 income limits are available online on OCD's Data [web page](#). All housing units assisted with CDBG funds projects must be occupied by LMI households. Applicants must maintain eligibility documentation.

Limited Clientele

A limited clientele project provides benefits to a specific group of persons rather than everyone in a geographic area. To qualify, a project must meet one of the following tests:

- 1) Exclusively benefit one of the following groups generally presumed to be principally LMI:
 - a) Abused children
 - b) Elderly persons
 - c) Battered spouses
 - d) Homeless persons
 - e) Severely disabled adults
 - f) Illiterate adults
 - g) Persons with AIDS
 - h) Migrant farm workers

- 2) Serve to remove mobility or accessibility barriers for older or severely disabled adults.
NOTE: The activity must be restricted to the extent practicable to remove such barriers. Otherwise, reconstructing or improving a public facility that does not qualify as area benefit is not eligible as a limited clientele project.

- 3) Be of such nature and in such location that it may reasonably be concluded the project's clientele will primarily be LMI persons

- 4) Require information on family size and income to document that at least 51 percent of the clientele are LMI persons. This includes activities that are restricted exclusively to benefit LMI persons.

Applicants must maintain the following to document compliance:

- Documentation showing the project is designed to be used exclusively by a segment of the population presumed to be LMI;
- Documentation describing how the nature and the location of the project establish that it will be used predominantly by LMI persons;
- Data showing the size and annual income of the family of each person receiving the benefit;
- Data showing mobility or accessibility barriers have been removed

NOTE: All public service activities must qualify under the limited clientele national objective.

Slum and Blight

Projects must either eliminate determinable signs of slums or blight in a defined slum or blighted area or be limited to eliminating specific instances of blight outside a defined area.

Area Slum and Blight:

A project must meet all of the following criteria:

1. The area must be officially designated by the applicant and must meet a definition of a slum, blighted, deteriorated or deteriorating area under state or local law. The designation is valid for five years.
2. The area must exhibit at least one of the following physical signs of blight or decay:
 - a. At least 51 percent of the buildings in the defined area must be substandard
 - b. At least 51 percent of the public facilities in the defined area must be substandard. The public improvements taken as a whole must exhibit blight or decay. It is insufficient for only one type of public improvement to be in a state of deterioration.

NOTE: Reconstructing or improving a public facility that does not qualify as area benefit is not eligible under slum and blight unless located in a designated Central Business District.

3. The applicant must maintain documentation of the area boundaries and conditions that qualified it at the time of designation.
4. Projects must be limited to those that address one or more of the conditions that contributed to the area's deterioration. Projects are not limited to those that address the blight or decay itself, but may also include those that address a condition deemed to have contributed to the area's decline.

Spot Slum and Blight:

A project must meet all of the following criteria:

- 1) Designed to eliminate specific conditions of blight or physical decay not located in a designated slum or blighted area.
- 2) Limited to:
 - Clearance
 - Historic Preservation

- Building rehabilitation to the extent necessary to eliminate specific conditions that are detrimental to public health and safety
- Acquisition and/or Relocation, in conjunction with one of the above-listed activities

INCOME SURVEY SUMMARY

Community: County:
Benefit Area:
Number of Households in Benefit Area: Date of Section 8 Income Limits Used:
Date Survey Started: Date Survey Completed:

- 1. Number of non-LMI households interviewed 1.
- 2. Number of LMI households interviewed 2.
- 3. Total Number of Households Interviewed 3.
- 4. Number of persons in non-LMI households interviewed 4.
- 5. Number of persons in LMI households interviewed 5.
- 6. Total number of persons in households interviewed 6.
- 7. Estimated total population of Benefit Area
(Line 6/Line 3 x # of households in Benefit Area) 7.
- 8. Estimated percentage of LMI households in
Benefit Area (Line 5/Line 6) 8.

I hereby certify that this information is true and accurate to the best of my knowledge and that the survey was conducted in accordance with Program Policy Notice OCD 15-05 "Qualifying Community Development and Residential Public Infrastructure Projects using Community Development Block Grant National Objectives."

Chief Elected Official: _____ (Community Name)

Print Name Signature Date

Surveyor Agreement Form

Community: _____ County: _____
Benefit Area: _____

I, the undersigned, when conducting a survey of the above-listed benefit area, agree to:

- Use the following standard language –
My name is _____. I am working with _____ to collect data needed to complete an application for a community development grant. To do this, we must conduct a survey of the area. The information gathered by the survey will be confidential and only will be viewed by the local program administrator and the funding agency. The survey only requires you to indicate your approximate total household annual income (before taxes) for the current year and the number of persons residing in your household. Are you willing to participate in the survey?

- Use the applicant's prescribed survey methodology to randomly and evenly sample the entire benefit area;

- Use the **Confidential Income Survey** form and keep the information collected confidential; and

- Report information collected exactly as the respondents indicated.

Printed Name

Signature

Date

LOW AND MODERATE INCOME SURVEY

MINIMUM SAMPLE SIZE REQUIREMENTS

HH*	SAMPLE SIZE**	HH*	SAMPLE SIZE**	HH*	SAMPLE SIZE**
1	1	39	36	77	65
2	2	40	36	78	65
3	3	41	37	79	66
4	4	42	38	80	67
5	5	43	39	81	67
6	6	44	40	82	68
7	7	45	40	83	69
8	8	46	41	84	69
9	9	47	42	85	70
10	10	48	43	86	71
11	11	49	44	87	71
12	12	50	44	88	72
13	13	51	45	89	73
14	14	52	46	90	73
15	14	53	47	91	74
16	15	54	48	92	75
17	16	55	48	93	75
18	17	56	49	94	76
19	18	57	50	95	77
20	19	58	51	96	77
21	20	59	51	97	78
22	21	60	52	98	79
23	22	61	53	99	79
24	23	62	54	100	80
25	24	63	54	101-114	89
26	24	64	55	115-134	100
27	25	65	56	135-154	111
28	26	66	57	155-174	121
29	27	67	57	175-199	133
30	28	68	58	200-249	153
31	29	69	59	250-299	171
32	30	70	60	300-349	187
33	30	71	60	350-399	200
34	31	72	61	400-649	247
35	32	73	62	650-1199	300
36	33	74	62	1200-2699	348
37	34	75	63	2700+	400
38	35	76	64		

*HH means households in benefit area.

** Minimum sample size for valid survey. This means actual number of households surveyed.

Confidential* Income Survey

Community: _____ County: _____

Benefit Area: _____

Address of Household _____

Total Number of Household Members (include yourself, spouse, children, etc.): _____

Income Limit Ranges**	-	Income Range of Household (Total gross annual income of all persons) Check the box below that corresponds to your household's income range:	
_____	-	_____	<input type="checkbox"/>
_____	-	_____	<input type="checkbox"/>
_____	-	_____	<input type="checkbox"/>
_____	-	_____	<input type="checkbox"/>
_____	-	_____	<input type="checkbox"/>
_____	-	_____	<input type="checkbox"/>
_____	-	_____	<input type="checkbox"/>
_____	-	_____	<input type="checkbox"/>
_____	-	_____	<input type="checkbox"/>
_____	-	_____	<input type="checkbox"/>

For Local Community Development Block Grant Administrators Use Only

Date of Survey: _____

Name of Surveyor: _____

LMI Qualified: Yes No No Response***

- * Information is "confidential" in that it is intended for use only by the local government staff administering this program and state agency personnel responsible for program oversight and that information and records will be released as permitted by state and federal law, pursuant to written request made by authorized persons in conformance with the Ohio Revised Code.
- ** The Section 8 income limits are available on the Ohio Development Services Agency's Affordable Housing [web page](#), under 'Data' on the left sidebar menu.
- *** A good faith effort must be made to collect information from the "no response" household.

Guide to Making a CDBG Service Area Map

What is a Location Map?

A location map shows the specific location of a project. It should be precise enough to allow an individual unfamiliar with the project to understand the exact location of the proposed project. The scale of the map depends on the nature of the project. For example, a map showing the site of a new park will need to be scaled differently than a map showing the location of ADA curb cuts to be installed at an intersection.

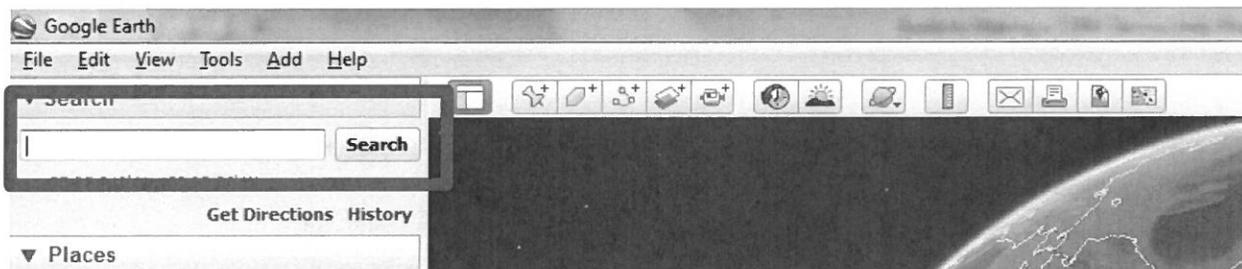
What is a Service Area Map?

A service area map shows the geographic boundaries of the population served by a particular CDBG project. A map that shows a general area served by a project but does not have specific boundaries to define the service area is not a sufficient Service Area Map.

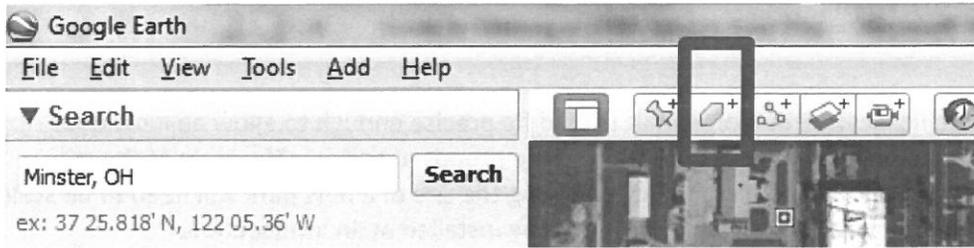
How do I draw a Service Area Map?

There are many different Geographic Information System (GIS) software packages that can be used to draw a Service Area Map. If your community is already using specific GIS software, you should consult with colleagues familiar with the software for assistance. For those unfamiliar with GIS, **Google Earth** is a free, easy-to-use software package that can be used to make location and service area maps. The guide below will outline how to draw a Service Area Map using Google Earth.

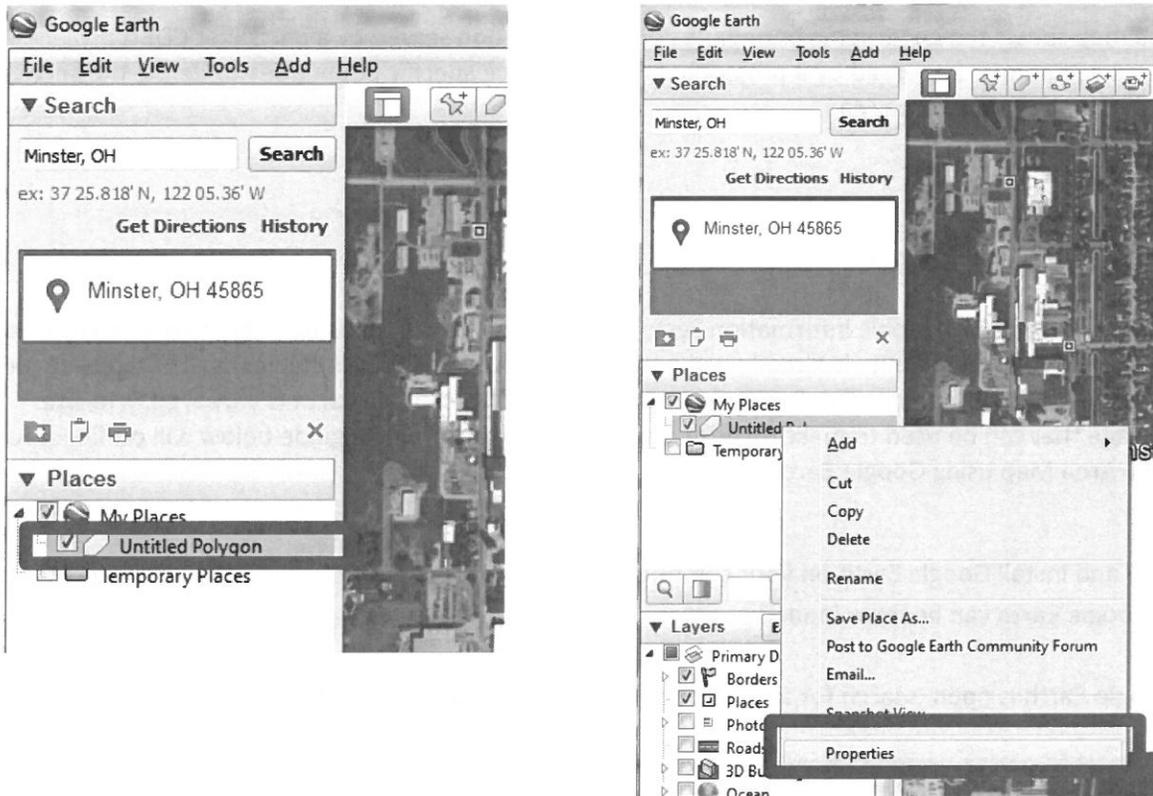
1. Download and install Google Earth on your computer.
 - a. Google Earth can be downloaded at www.google.com/earth.
2. Once Google Earth is open, search for a jurisdiction or landmark associated with the service area.



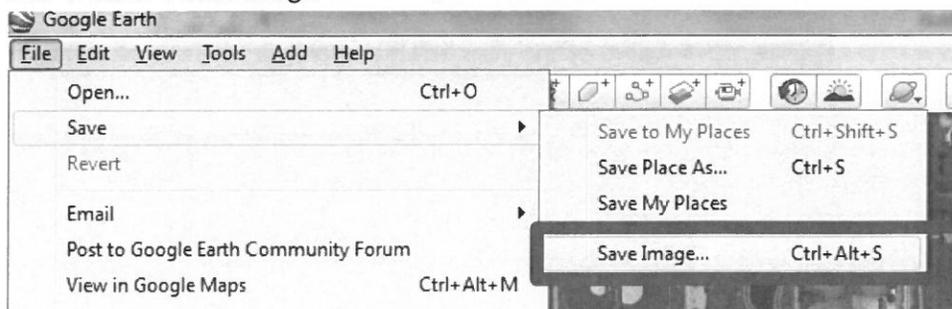
- Use the polygon tool to draw the boundaries of the service area on the map. Left-Click the mouse once for each corner of the service area.



- After the polygon is drawn, you can right-click the mouse on the polygon listed in the "Places" menu to the left to adjust the look of the polygon.



- Once the polygon is shaded and outlined appropriately, save the image by clicking File → Save → Save Image"





Categorical Exclusion Subject to Section 58.5 Worksheet

Grantee	██████
Grant Number	██████
Activity Name	██████
Activity Location	██████
Activity Description and Outcomes:	
Determination:	
<input type="checkbox"/> Categorical Exclusion Subject to Sec. 58.5 [per 24 CFR Section 58.35(a)]	
<input type="checkbox"/> Categorical Exclusion, Subsequently Exempt (No compliance or mitigation required for any of the listed statutes or authorities) [per 24 CFR Section 58.34(a)(12)]	
<u>Preparer Name:</u> ██████	
Signature _____	<u>Date:</u> ██████

List of Attachments

<input type="checkbox"/> Location Map
<input type="checkbox"/> Site Photographs
<input type="checkbox"/> Copies of other Environmental Analyses (if applicable) List: [REDACTED]
<input type="checkbox"/> Other Relevant Correspondence and Notifications (if applicable) List: [REDACTED]
<input type="checkbox"/> Statutory Checklist Supporting Documentation
<input type="checkbox"/> Notice of Intent to Request Release of Funds (NOI/RROF)* Date: [REDACTED] <i>*Not required if project converts to "Exempt" per 24 CFR 58.34(a)(12)</i>
<input type="checkbox"/> Request for Release of Funds (RROF)* Date: [REDACTED] <i>*Or Certification of Determination of Subsequent Exemption For a Categorical Exclusion Project if project converts to "Exempt" per 24 CFR 58.34(a)(12)</i>
<input type="checkbox"/> Release of Funds (ROF) Date: [REDACTED]
<input type="checkbox"/> Additional Documentation Describe: [REDACTED]

Statutory Checklist Instructions:

For each of the environmental laws and authorities listed below, determine the level of compliance required and provide a narrative explanation and list of supporting documentation. **The narrative must explain decision-making and compliance procedures.** Attach all supporting documentation to this worksheet.

Statutory Checklist

Statutes, Executive Orders, and Regulations listed at 24 CFR §58.5	Compliance Required?	Explanation and List of Compliance Documentation
<p>Historic Preservation</p> <p>Resources: <u>State Historic Preservation Office</u> <u>HUD Historic Preservation</u></p>	<p>---</p>	<p>---</p>
<p>Floodplain Management</p> <p>Resources: <u>Floodplain Maps</u> <u>Floodplain Administrators</u> <u>HUD Floodplain Management</u></p>	<p>---</p>	<p>---</p>
<p>Wetland Protection</p> <p>Resources: <u>NRCS Web Soil Survey</u> <u>National Wetlands Inventory</u> <u>Ohio EPA Division of Surface Water</u> <u>US Army Corps of Engineers Regulatory (Permits)</u> <u>HUD Wetlands Protection</u></p>	<p>---</p>	<p>---</p>
<p>Coastal Zone Management</p> <p>Resources: <u>Ohio Office of Coastal Management</u></p>	<p>---</p>	<p>---</p>

Statutory Checklist

Statutes, Executive Orders, and Regulations listed at 24 CFR §58.5	Compliance Required?	Explanation and List of Compliance Documentation
<u>HUD Coastal Zone Management</u>		
<p style="text-align: center;">Sole Source Aquifers</p> Resources: <u>Ohio EPA Sole Source Aquifers in Ohio</u> <u>HUD Sole Source Aquifers</u>	- - -	
<p style="text-align: center;">Endangered Species</p> Resources: <u>US Fish & Wildlife Service Section 7 information</u> <u>Endangered Species in Ohio</u> <u>Ohio Natural Heritage Database</u> <u>HUD Endangered Species</u>	- - -	
<p style="text-align: center;">Wild and Scenic Rivers</p> Resources: <u>ODNR Scenic Rivers</u> <u>HUD Wild and Scenic Rivers</u>	- - -	
<p style="text-align: center;">Air Quality</p> Resources: <u>Ohio EPA Division of Air Pollution Control</u> <u>Ohio EPA Notification of Demolition and Renovation</u> <u>Ohio Department of Health Asbestos</u> <u>HUD Air Quality</u>	- - -	
<p style="text-align: center;">Farmland Protection</p> Resources: <u>NRCS Farmland Protection Policy Act</u> <u>HUD Farmlands Protection</u>	- - -	

Statutory Checklist

Statutes, Executive Orders, and Regulations listed at 24 CFR §58.5	Compliance Required?	Explanation and List of Compliance Documentation
<p style="text-align: center;">Noise Abatement and Control</p> <p>Resources: HUD Noise Abatement and Control HUD Noise Guidebook HUD Day/Night Noise Level Electronic Assessment Tool HUD Sound Transmission Classification Assessment Tool ODOT Traffic Count Data Ohio Airport Information Airport Master Records and Reports PUCO/ORDC Railroad Information System Federal Railroad Administration Query by Location tool</p>	- - -	
<p style="text-align: center;">Airport Clear Zones and Accident Potential Zones</p> <p>Resources: Ohio Airport Information HUD Airport Hazards Airport Master Records and Reports</p>	- - -	
<p style="text-align: center;">Explosive and Flammable Operations</p> <p>Resources: HUD Explosive and Flammable Facilities US EPA NEPAAssist US EPA Envirofacts HUD Choosing an Environmentally Safe Site Acceptable Separation Distance Calculator Acceptable Separation Distance Guidebook</p>	- - -	
<p style="text-align: center;">Toxic Chemicals and Radioactive Materials</p> <p>Resources: HUD Site Contamination US EPA NEPAAssist US EPA Envirofacts Ohio Tank Tracking & Environmental Regulations HUD Choosing an Environmentally Safe Site</p>	- - -	

Statutory Checklist

Statutes, Executive Orders, and Regulations listed at 24 CFR §58.5	Compliance Required?	Explanation and List of Compliance Documentation
<p style="text-align: center;">Environmental Justice</p> <p>Resources: HUD Environmental Justice US EPA Environmental Justice US EPA EJSCREEN</p>	<p>---</p>	

24 CFR Section 58.6 Requirements

Airport Runway Clear Zones and Clear Zones Notification

[24 C.F.R. Part 51.303(a)(3)]

Does the project involve the sale or acquisition of property located within a Civil Airport Runway Clear Zone or a Military Airfield Clear Zone?

- No. **Attach Source Document:**
(Project complies with 24 CFR 51.303(a)(3).)
- Yes. **Notice must be provided to buyer.** The notice must advise the buyer that the property is in a Runway Clear Zone or Clear Zone, what the implications of such a location are, and that there is a possibility that the property may, at a later date, be acquired by the airport operator. The buyer must sign a statement acknowledging receipt of this information. (for a sample notice, see the HUD Exchange) (**attach a copy of the signed notice**)

Coastal Barrier Resources Act

[Coastal Barrier Improvement Act of 1990 (16 U.S.C. 3501)]

Is the project located in a coastal barrier resource area?

- No. **Cite or attach Source Document:** (<http://www.fws.gov/cbra/Maps/Locator/OH.pdf>)
(Proceed with project.)
- Yes. Federal assistance may not be used in such an area.

Flood Disaster Protection Act*

[Flood Disaster Protection Act of 1973, as amended (42 U.S.C. 4001-4128)]

Does the project involve acquisition, construction or rehabilitation of structures located in a FEMA-identified Special Flood Hazard Area?

- No. **Attach copy of Flood Insurance Rate Map (FIRM)**
- Yes. **Attach copy of Flood Insurance Rate Map (FIRM)**

Is the community participating in the National Insurance Program (or has less than one year passed since FEMA notification of Special Flood Hazards)?

- Yes. Flood Insurance under the National Flood Insurance Program must be obtained. If HUD assistance is provided as a grant, insurance must be maintained for the economic life of the project and in the amount of the total project cost (or up to the maximum allowable coverage, whichever is less). If HUD assistance is provided as a loan, insurance must be maintained for the term of the loan and in the amount of the loan (or up to the maximum allowable coverage, whichever is less). (**Attach a copy of the flood insurance policy declaration**)

- No. **Federal assistance may not be used in the Special Flood Hazards Area.**

**Per 24 CFR 58.6(a)(3), this requirement does not apply to State-administered CDBG, HOME, and ESG programs.*

Statement of Process and Status of Environmental Analysis

Instructions:

Provide a brief description of the administrative procedures associated with the construction and presentation of the environmental review record (ERR). List the Responsible Entity, Certifying Officer, the physical location of the ERR, the dates and comment periods associated with any public notices, and contact information for the submission of comments regarding the ERR.



Monitoring and Enforcement Procedures

Instructions:

Describe any post-review monitoring or enforcement procedures associated with environmental mitigation actions.



Environmental Assessment Checklist Instructions:
 Evaluate the significance of the effects of the proposed activity on the character, features, and resources of the project area. Provide a narrative explanation and list of supporting documentation. **The narrative must explain decision-making and compliance procedures.** Attach all supporting documentation to this worksheet. For technical assistance, see HUD's Environmental Assessment Factors Guidance.

Environmental Assessment Checklist

Land Development		
Impact Category	Impact Code	Explanation and List of Source Documentation
Conformance with Plans / Compatible Land Use and Zoning / Scale and Urban Design	No Impact Anticipated	
Soil Suitability / Slope / Erosion / Drainage / Storm Water Runoff	Potentially Beneficial	
Hazards and Nuisances Including Site Safety and Noise	Potentially Adverse	
Energy Consumption	Requires Mitigation	

Environmental Assessment Checklist

Socioeconomic		
Impact Category	Impact Code	Explanation and List of Source Documentation
Employment and Income Patterns	Requires Project Modification	
Demographic Character Changes, Displacement	-----	

Community Facilities and Services		
Impact Category	Impact Code	Explanation and List of Source Documentation
Educational and Cultural Facilities	-----	
Commercial Facilities	-----	
Health Care and Social Services	-----	
Solid Waste Disposal / Recycling	-----	
Waste Water / Sanitary Sewers	-----	
Water Supply	-----	

Environmental Assessment Checklist

Community Facilities and Services		
Impact Category	Impact Code	Explanation and List of Source Documentation
Public Safety – Police, Fire and Emergency Medical	-----	
Parks, Open Space and Recreation	-----	
Transportation and Accessibility	-----	

Natural Features		
Impact Category	Impact Code	Explanation and List of Source Documentation
Unique Natural Features, Water Resources	-----	
Vegetation and Wildlife	-----	
Other Factors	-----	

24 CFR Section 58.6 Requirements

Airport Runway Clear Zones and Clear Zones Notification*[24 C.F.R. Part 51.303(a)(3)]*

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(Proceed with project.)
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(Attach a copy of the flood insurance policy declaration)

- No. **Federal assistance may not be used in the Special Flood Hazards Area.**

**Per 24 CFR 58.6(a)(3), this requirement does not apply to State-administered CDBG, HOME, and ESG programs.*

**State of Ohio Development Services Agency
Office of Community Development**

**REQUEST FOR RELEASE OF FUNDS (RROF) AND CERTIFICATION
FOR FEDERALLY FUNDED STATE PROJECTS**

Pursuant to Section 104 (g) of Title I, Housing and Community Development Act of 1974, as amended; Section 288 of the Cranston Gonzales National Affordable Housing Act (NAHA), as amended; and/or Title IV of the Stewart B. McKinney Homeless Assistance Act, as amended.

Part 1: General Information

<p>1. CEO Name, Responsible Entity name, and Mailing Address:</p> <p>Phone: ()</p> <p>Fax: ()</p>	<p>2. Administering Agent name and Address:</p> <p>Phone: ()</p> <p>Fax: ()</p>	<p>Mail Form To:</p> <p>Ohio Development Services Agency Office of Community Development Environmental Specialist P. O. Box 1001 Columbus, Ohio 43216-1001</p> <p>Phone: (614) 466-2285</p>
--	--	--

Part 2: Listing Of Projects Requested For Release Of Funds

List the Activity, Project, and Grant below for which you are requesting the release of funds and removal of environmental grant conditions governing the use of the federal assistance.

Grant Agreement No.	Name of Project and Activity <i>(as listed in Grant Agreement's Attachment A)</i>	Activity No.	List the Amount of Federal Funds Budgeted for Each Activity	List the Activity Location, as Designated in the Grant Agreement	Describe the Entire (Aggregated) Project	Level of Environmental Finding: CE (Categorical Exclusion) EA (Environmental Assessment)

Part 3: CEO Environmental Certification

With reference to the Projects identified on the reverse side of this form, I, the undersigned chief executive officer and certifying officer of the responsible entity, CERTIFY THAT: (Note: Items 4 and 5 below require additional action.)

1. The responsible entity has fully carried out its responsibilities for environmental review, decision-making, and action pertaining to the projects listed herein.
2. The responsible entity has complied with the National Environmental Policy Act of 1969, as amended, and the environmental procedures, permit requirements, and statutory obligations of the laws cited in 24 CFR 58.5, 24 CFR 58.6, and applicable State and local laws.
3. After considering the type and degree of environmental effects identified by the environmental reviews completed for the proposed projects described herein, I have found that the proposal **(CHECK ONE)** · DID · DID NOT require the preparation and dissemination of an ENVIRONMENTAL IMPACT STATEMENT.
4. The responsible entity has, prior to submitting this request for the release of funds and certification, published, in the manner prescribed by 24 CFR 58.43, a notice to the public in accordance with 24 CFR 58.70 and as evidenced by the attached copy. **STAPLE COPIES OF NEWSPAPER NOTICES HERE (e.g. NOI/RROF, Combined Notice, Floodplain/Wetland Notices)**
5. The dates for all statutory and regulatory time periods for review, comment, or other action are in compliance with the procedures and requirements of 24 CFR Part 58. The following provides a summary of critical dates:

Categorically Excluded Projects (CE)	Publication Date	Last Date of Local Comment Period	Date Certification Signed and Submitted	Estimated Last Date of State Objection Period	Type of Other Notices And Date Published

Environmental Assessment Projects (EA)	Publication Date	Last Date of Local Comment Period	Date Certification Signed and Submitted	Estimated Last Date of State Objection Period	Type of Other Notices And Date Published

6. I am authorized to and do consent to assume the status of Federal official under the National Environmental Policy Act of 1969, as amended, and each provision of law designated in the 24 CFR 58.5 list of NEPA-related authorities insofar as the provisions of these laws apply to the State's responsibilities for environmental review, decision-making, and action that have been assumed by the responsible entity.
8. By so consenting, I have assumed the responsibilities for the conduct of environmental review, decision-making, and action regarding environmental issues, preparation and circulation of a draft, final, and supplemental environmental impact statements, and legal or cooperating agency responsibilities for preparation of such statements on behalf of state or federal agencies, including HUD and the State of Ohio, when these agencies consent to such assumptions.
9. I am authorized to and do accept, on behalf of the responsible entity and personally, the jurisdiction of the federal courts for the enforcement of all these responsibilities, in my capacity as certifying officer of the responsible entity.

Type or Print Name of CEO	Signature	Title	Date

WARNING: Section 1001 of Title 18 of the United States Code and the Criminal Procedure shall apply to this certification. Title 18 provides, among other things, that whoever knowingly makes or uses a document or writing containing any false, fictitious, or fraudulent statement or entry, in any manner within the jurisdiction of any department or agency of the United States, shall be fined not more than \$10,000 or imprisoned not more than 5 years or both.

Procurement Summary: HUD-funded Programs

Micro-Purchases

- \$3,000 or less
- Supplies or Services
- May be awarded without soliciting competitive quotations if the price is reasonable
- 2 CFR 200.320(a)

Small Purchases

- \$50,000 or less
- Develop Specifications
- Obtain quotes from adequate number of sources
- Ensure quotes are specific enough to enable comparison
- Notice of Award
- 2 CFR 200.320(b); ORC 307.86; ORC 735.05

Competitive Sealed Bids

- \$50,000 or more (preferred method for construction; price principal consideration)
- Cost estimate
- Publish Notice requesting submission of bids (once per week for 2 weeks)
- Publically open bids
- Complete bid tabulation
- Evaluate bids
- Notice of Award
- For public improvements, awarded bid not more than 10% above cost estimate
- 2 CFR 200.320(c); ORC 307.862-921; ORC 735.01-09; ORC 153.06-08, 153.12

Competitive Proposals (RFP)

- \$50,000 or more (admin or non-professional; price not principal consideration)
- Advertise Request for Proposals (once per week for 2 weeks)
- Publically open proposals
- Complete proposal tabulation
- Evaluate proposals
- Notice of Award
- 2 CFR 200.320(d); ORC 307.862-921; ORC 735.01-09

Qualification Based Selection (RFQ)

- \$50,000 or more (architecture and engineering only)
- Prequalify potential A/E firms
- Send RFQ to prequalified firms, news media, trade associations, & appropriate public media
- Evaluate submissions
- Select and Rank three most qualified
- Enter into price negotiations with most qualified
- Award contract, OR, if cannot agree price, enter negotiations with next qualified firm
- 2 CFR 200.320(d)(5); ORC 153.65-73; Ohio QBS Guide

Cooperative Purchasing

- State has existing contract for goods and services needed; State contract offers lower price or better schedule than other procurement
- Pass legislation authorizing participation in program
- Complete enrollment form
- Pay administrative fee
- Issue a quarterly usage report
- Order goods/service directly from vendor
- ORC 125.04; DAS website

Noncompetitive Proposals

- Single source; emergency; inadequate competition; govt to govt procurement
- Secure proposal from firm
- Conduct cost analysis
- Notice of Award
- 2 CFR 200.320(f); ORC 307.86; ORC 735.05

Force Account

- Local govt employees are qualified, and using them is cost advantageous
- Confirm local govt employees qualified, and work is within scope of duties
- Estimate cost of project
- Confirm cost is within force account limit (ORC 117.16)
- Complete Force Account Project Assessment form
- ORC 117.16; Ohio Auditor of State

307.87 Notice of competitive bidding.

Where competitive bidding is required by section 307.86 of the Revised Code, notice thereof shall be given in the following manner:

(A) Notice shall be published once a week for not less than two consecutive weeks preceding the day of the opening of bids in a newspaper of general circulation within the county for any purchase, lease, lease with option or agreement to purchase, or construction contract in excess of fifty thousand dollars. The contracting authority may also cause notice to be inserted in trade papers or other publications designated by it or to be distributed by electronic means, including posting the notice on the contracting authority's internet site on the world wide web. If the contracting authority posts the notice on that location on the world wide web, it may eliminate the second notice otherwise required to be published in a newspaper of general circulation within the county, provided that the first notice published in such a newspaper meets all of the following requirements:

- (1) It is published at least two weeks before the opening of bids.
- (2) It includes a statement that the notice is posted on the contracting authority's internet site on the world wide web.
- (3) It includes the internet address of the contracting authority's internet site on the world wide web.
- (4) It includes instructions describing how the notice may be accessed on the contracting authority's internet site on the world wide web.

(B) Notices shall state all of the following:

- (1) A general description of the subject of the proposed contract and the time and place where the plans and specifications or itemized list of supplies, facilities, or equipment and estimated quantities can be obtained or examined;
- (2) The time and place where bids will be opened;
- (3) The time and place for filing bids;
- (4) The terms of the proposed purchase;
- (5) Conditions under which bids will be received;
- (6) The existence of a system of preference, if any, for products mined and produced in Ohio and the United States adopted pursuant to section 307.90 of the Revised Code.

(C) The contracting authority shall also maintain in a public place in its office or other suitable public place a bulletin board upon which it shall post and maintain a copy of such notice for at least two weeks preceding the day of the opening of the bids.

Amended by 129th General Assembly File No. 141, HB 509, §1, eff. 9/28/2012.

Effective Date: 09-26-2003

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16. Notice of Special Conditions
17. Additional Obligations Upon Contract Award
18. Foreign Corporations, Individuals and Partnerships
19. Attachment A, Qualitative and Responsible Contractor Bidding Criteria

SECTION C: GENERAL CONTRACT CONDITIONS

- | | |
|------------|-------------------------------|
| Article 1 | General Contract Documents |
| Article 2 | Performance and Payment Bonds |
| Article 3 | Wage Rates |
| Article 4 | Affirmative Action |
| Article 5 | Insurance |
| Article 6 | Safety |
| Article 7 | Permits |
| Article 8 | Supervision |
| Article 9 | Claims against the Contractor |
| Article 10 | Subcontracting |
| Article 11 | Change of Work |
| Article 12 | Time |
| Article 13 | Completion of Work |
| Article 14 | Termination |
| Article 15 | Payment |
- Supplemental General Conditions

SECTION D: WORK SPECIFICATIONS

- Project Specifications

- Project Location Map

SECTION E: DAVIS-BACON WAGE DETERMINATIONS

SECTION F: PROPOSAL FORMS

- Bid for Unit Price Contracts
Signature Page
- Bid Guaranty and Contract Bid
Signature Page
- Affidavit of Contractor/Supplier of Non-Delinquency of Personal Property Taxes
- Non-Collusion Affidavit
- Certification Regarding Debarment, Suspension, and Other Responsibility Matters
Primary Covered Transactions
- Affidavit in Compliance with Section 3517.13 of ORC
- Additional Certifications
- Bonding and Insurance Requirements
- Experience Statement
- Athens County Terrorist Form
- W-9 Form
- New Hire Form

Draft

TO: Plan Holders
FROM: Community Development Manager
DATE: July 1, 2017
RE: City of Kittens, Senior Center
Grant # B-F-17-1JP-1-1

ADDENDUM #1

This addendum supplements and amends the specifications and shall become part of the contract documents. The contractor shall acknowledge receipt of this addendum on the Bid Form and incorporate the information herein contained in the preparation of his/her proposal.

The Davis Bacon wage rates were changed to OH130017 06/30/2017. This supersedes wage rate determination OH130015. Please use attached wage rates attached to this addendum.

Additionally, the Mandatory Pre-Bid Meeting located at the City of Kittens Senior Center (514 May Avenue Kittens, OH 4783219) is postponed to July 9, 2017 at 2:00 p.m.

CLARIFICATION ON REQUIRED PERMITS: N/A

All other terms and conditions remain the same.

END OF ADDENDUM #1

Bid Review Checklist

(Attach Documentation/Section F for Review)

- € Verify low bid at or under maximum allowable bid amount (10% over engineer's estimate-per contract)
- € Provide Bids to Engineer/Architect and other interested parties to review and receive recommendation.
- € Check all numbers on Bid and create bid tabulation
- € Call References if we have no prior experience with contractor
- € Insurance Certificate
- € Non-Collusion Affidavit
- € Affidavit of non-delinquency personal property tax
- € Additional Certifications (Facilities, Labor Force, Equipment, Administrative Capacity, Knowledge, Drug Free)
- € DMA Form (Terrorist Form)
- € BWC Certificate (Check Date)
 - o <https://www.ohiobwc.com/provider/services>
- € Bid Bond/Certified Check/Contract Bond
- € Surety is licensed in State
 - o <http://www.ohioinsurance.gov/Company/authlist.asp>
- € State of Ohio Registration (individuals and sole proprietors are exempt)
 - o <http://www.sos.state.oh.us/>
- € Required State Licensure (Electrical, HVAC, Refrigeration, Plumbing, or Hydraulic)
 - o https://www.comapps.ohio.gov/dic/dico_apps/lics/coemp_lookup/default.aspx
- € Check Debar List (Federal)
 - o <http://www.sam.gov/>
- € Check Unresolved Findings for Recovery Database
 - o www.auditor.state.oh.us
- € Verify Subcontractors, complete Debar for Sub and check 50% Rule

Grant # B-F-17-1MO-1-3
Activity Name Village of Hippophile Street Improvements
Location North Paint Street Hippophile, Ohio
Maximum Allowable Bid - \$62,370.00 (10% over cost estimate)
BID TABULATION

Village of Hippophile Street Improvements	Percheron and Associates	Bid Total	\$61,910.00
Village of Hippophile Street Improvements	The Clydesdale Company	Bid Total	\$61,198.00
Village of Hippophile Street Improvements	Wild Mustang Paving	Bid Total	\$61,735.00
Village of Hippophile Street Improvements	Thoroughbred Paving Company	Bid Total	\$60,914.00

It is my recommendation that the contract be awarded to the lowest responsive, responsible bidder: Thoroughbred Paving Company, Inc.

Grant Administrator _____ Date _____



May 14, 2017

Dear Contractor,

Thank you for your bid proposal for the Village of Laughing Penguins, Sidewalks Improvements project.

The low bidder was:	Bid
Swimming Llamas, Inc.	\$67,614.00

Other bidders were:

Pandas Are Vegetarians, Inc.	\$68,910.00
Hippopotami Ballerinas	\$69,198.00
Tiger and Elephant Company	\$67,735.00

Thank you for your interest in Marvelous County's Community Development Programs. We hope you will provide proposals for future projects.

Your original bid guarantee is enclosed. Feel free to contact me with any questions or concerns regarding this matter.

Sincerely,

Grant Administrator

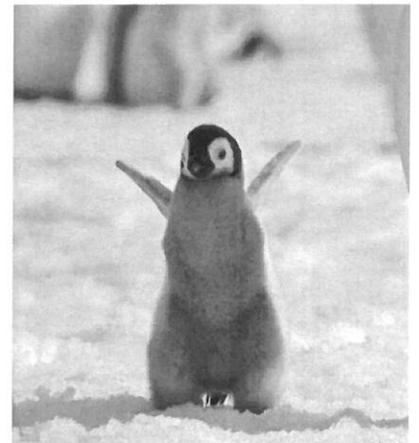


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8. Conditions of Work
9. Obligation of Bidder
10. Examination of Site
11. Soil Conditions
12. Working Facilities
13. Addenda and Interpretations
14. Water Supply
15. Signature of Bidders
16. Notice of Special Conditions
17. Additional Obligations Upon Contract Award
18. Foreign Corporations, Individuals and Partnerships
19. Attachment A, Responsive & Responsible Bidding Criteria

SECTION C: GENERAL CONTRACT CONDITIONS

- Article 1 General Contract Documents
- Article 2 Performance and Payment Bonds
- Article 3 Wage Rates
- Article 4 Affirmative Action
- Article 5 Insurance
- Article 6 Safety
- Article 7 Permits
- Article 8 Supervision
- Article 9 Claims against the Contractor
- Article 10 Subcontracting
- Article 11 Change of Work
- Article 12 Time
- Article 13 Completion of Work
- Article 14 Termination
- Article 15 Payment
 - Supplemental General Conditions

SECTION D: WORK SPECIFICATIONS

- Project Specifications
- Project Location Map

SECTION E: DAVIS-BACON WAGE DETERMINATIONS

SECTION F: PROPOSAL FORMS

- Bid for Unit Price Contracts
Signature Page
- Bid Guaranty and Contract Bid

Signature Page

- Affidavit of Contractor/Supplier of Non-Delinquency of Personal Property Taxes
- Non-Collusion Affidavit
- Certification Regarding Debarment, Suspension, and Other Responsibility Matters Primary Covered Transactions
- Affidavit in Compliance with Section 3517.13 of ORC
- Additional Certifications
- Bonding and Insurance Requirements
- Experience Statement

AGREEMENT FORMS, SECTION G

- Certifications - Performance and Payment Bond
- Notice of Award
- Contract
- Notice to Proceed
- Notice of Commencement
- Foreign Corporation
- Change Order
- Certificate of Owner's Attorney
- Certificate of Owner's Financial Officer
- Conflict of Interest
- Interest of Contractor and Employees
- Records and Audits
- Federal or State Officials Not to Benefit
- Special Conditions Pertaining to Hazards Safety
- Standards and Accident Prevention
 - Lead-Based Paint Hazards
 - Use of Explosives
 - Danger Signals and Safety Devices
- SPECAIL EQUAL OPPORTUNITY PROVISIONS
 - Activities and Contracts non Subject to Executive Order 11246, as Amended
 - Executive Order 11246 (Contracts/Subcontracts over \$10,000)
Goals for minority and Female Participation
 - Notice of Award to Ohio Department of Development's Office of Housing and Community Partnerships

AGREEMENT FORMS, SECTION G Continued

- Description of geographic ("covered") area
- Standard EEO Contract Specifications
- Prohibition from entering into a subgrant agreement with a person or firm on the Federal List of Debarred, Suspended and Ineligible Contractors
- Contractor to designate a responsible official to monitor for contract compliance with EEO requirements
- Certification of Non-segregated Facilities (over \$10,000)
- Civil Rights Act of 1964
- Section 109 of the Housing and Community Development Act of 1974
- "SECTION 3" Compliance in the provision of Training, Employment and Business Opportunities
- CONTRACTOR, Section 3 Plan Format Signature Page

TABLE A - PROPOSED SUBCONTRACTS BREAKDOWN

- TABLE B - ESTIMATED PROJECT WORKFORCE BREAKDOWN
- CERTIFICATION OF BIDDER REGARDING EQUAL EMPLOYMENT OPPORTUNITY
- CERTIFICATION OF SUBCONTRACTOR REGARDING EQUAL EMPLOYMENT OPPORTUNITY
- CERTIFICATION OF BIDDER REGARDING SECTION 3 - SEGREGATED FACILITIES
- CERTIFICATION OF PROPOSED SUBCONTRACTOR SECTION 3 - SEGREGATED FACILITIES
- CERTIFICATION OF COMPLIANCE WITH AIR AND WATER ACTS (Applicable to contracts exceeding \$10,000)
- ARCHITECT'S CERTIFICATION OF COMPLIANCE WITH MINIMUM STANDARDS FOR

- ACCESSIBILITY BY THE PHYSICALLY HANDICAPPED
- DESIGNER'S CERTIFICATION OF COMPLIANCE WITH MINIMUM STANDARDS FOR ACCESSIBILITY BY THE PHYSICALLY HANDICAPPED
- W-9 Form
- New Hire Form

FEDERAL LABOR STANDARDS PROVISIONS, SECTION H

- Reprint of HUD-4010 (pp. 1 - 8) Revised July 2003
- Contractor's Certification: Concerning Labor Standards and Prevailing Wage Requirements
- Subcontractor's Certification: Concerning Labor Standards and Prevailing Wage Requirements

Draft

Pre-Construction Meeting

Project: Village of Sloth, Sewer Facilities Improvements (CDBG FY2017)

Brief Project Description/Scope of Work: Install SCADA equipment at the Sloth Water Treatment Plant

Date/Time: April 29, 2017 10:30 AM

Location: Sloth Water Department

I - Introductions:

<u>Contractor</u>	<u>Electrical Contractor</u>	<u>Engineer Info</u>	<u>Owner & Representative</u>	<u>Community & Local Contact</u>
Name –	Name –	Name –	Name –	Name –
Address –	Address –	Address –	Address –	Address –
Phone –	Phone –	Phone –	Phone – 876-5309	Phone –
Fax –	Fax –	Fax –	Fax –	Fax –
On-site rep –	On-site rep –	On-site rep –	On-site rep –	On-site rep –
Emergency Phone	Emergency Phone	Emergency Phone	Emergency Phone	Emergency Phone
Email-	Email-	Email-	Email-	Email-

Additional Contractors:

Name	Address	Phone	Fax

II – Engineering/Construction Requirements and Scheduled Management:

- Contract Time: ___days
- Start Date: _____ End Date: _____
- Contractor's schedule? X 5 - 8 hour days 4 -10 hour days Other: _____
- Construction Requirements:

- Contractor Certifications
 - BWC
 - Non-Collusion Affidavit
 - Non-Delinquent Personal Property Tax
 - Bid Bond
 - Performance Bond/Surety
 - Section 3 Plan (+\$100,000)
 - Proof of Insurance
 - Certification Regarding Debarment, Suspension, and Other Responsibility Matters
 - Affidavit of Compliance with Section 3517.13 of the Ohio Revised Code
 - Drug Free Workplace
 - Additional Certifications
 - Terrorist Declaration Form
- Subcontractors
 - Paperwork
 - Prime Contractor's Responsibilities
- Need for future construction meetings? If yes, when?

- Liquidated Damages will be \$100.00 a day

Comments:

III - Site Conditions:

- Special Conditions (Safety, EEO, Affirmative Action, etc.): Safety is the sole responsibility of the contractor.

- Environmental Review Conditions:

- Traffic Control: Other than traffic control, do the residents of the area need to be contacted? How?

- Material Storage/Trash & Debris Removal :Salvageable Materials:

- All Permits? List:

IV - Equal Opportunity and Labor Standards

- Equal Opportunity Provisions
 - No Discrimination in employment
 - Post EEO Poster
- Section 3 Obligation
 - Requires to the greatest extent feasible, opportunities for training and employment be given to lower income residents of the project area, contracts for work in connection with the project be awarded to business concerns which are located in, or owned in substantial part by persons residing in the area of the project.
 - Contractor agrees and certifies that he/she is under no contractual or other obligation which will prevent compliance with this requirement.
 - Contractor will notify labor organization/s and representatives of workers with which he/she has a collective bargaining agreement or other obligation of commitments under this Section 3 clause
- Affirmative Action
 - Maintain site free of harassment, intimidation, and coercion. Where possible assign two or more women to each construction project. Advise all supervisory personnel of obligation.
 - Establish and maintain a current list of minority and female recruitment sources; provide written notification to minority and female recruitment sources when employment opportunities are available.
 - Maintain a current file of names, addresses, and phone numbers of each minority or female referral from a union, recruitment source, or community organization and of what action was taken with respect to each individual. If not hired, document in file the reason.
 - Provide immediate written notification to ODOD Director when union/s with which the contractor has a collective bargaining agreement has not referred a minority person or woman to the contractor, or if the contractor has other information that the union referral process has impeded the Contractor's efforts to meet its obligations.
 - Develop on-the-job training opportunities and/or participate in training programs which expressly include minorities and women. Provide notices to list of minority and female recruitment sources.
 - See Section G: Special Equal Opportunity Provisions of Contract for additional details and requirements.
 - Contractor's EEO representative: _____
 - Non-segregated facilities

V - Administrative Paperwork/Information:

Contract Documents Signed: YES NO

Notice to Proceed Yes No Date:

Funding Involved:

CDBG: \$ 0.00 Local: \$ 0.00 Other: \$ 0.00

Payment Draws:

- The contractor shall submit an itemized breakdown of the lump sum items in their bid proposal. The breakdown will separate material and labor cost.
- The Engineer/Architect must approve pay requests before the invoice is submitted for payment.
- Due to requirements of the funding source/s, the contractor shall be aware that the approximate timeframe for processing payments is 45 days from receipt of an approved pay request.

*Draw Ratio? _____

*Estimated # of Draws? _____

Change Orders:

- Only the Owner (Hocking Athens Perry Community Action) can authorize a Change Order.
- The Contractor must submit a Change Order Request to the Engineer/Architect for evaluation.
- The Change Order Request must include detailed information concerning the cost and time adjustments, if any, as required to perform the work.
- If approved by the Engineer/Architect, the Engineer/Architect will submit the Change Order Request to the Administrator (HAP Community Action).
- HAP Community Action will prepare the required Change Order form, attach the Change Order Request, and present it to the Owner (County Commissioners) for authorization.
- The Contractor shall be aware that the Owner may not authorize the Change Order.
- No Change Order Request work shall be done unless the Change Order has been signed by the Owner.

Close-Out Procedures:

- A Final Inspection must occur and a Final Inspection Report completed with the work rated as satisfactory before final payment can be made.
- One year warranty starts from the date of the satisfactory Final Inspection Report.
- All final paperwork must be received by the Administrator before final payment can be made.

Final Paperwork:

- Final Inspection
- Final Affidavit of Waiver of Liens
- Final Affidavit Compliance/Prevailing Wages
- Final Invoice

Comments:

NOCA INFORMATION

Notice of Contract Award (NOCA) – Required for state reporting (Contractor)

Contractor's Tax Identification Number or Social Security Number _____

Race: White Black American Indian/Alaskan Native Hispanic

Asian/Pacific Islander Hasidic Jew

Section 3: Women Owned Business Section 3 Contractor

Total Contract Amount: \$0.00 _____ Date Signed: _____

Notice of Contract Award (NOCA) – Required for state reporting (Sub-Contractor)

Contractor's Tax Identification Number or Social Security Number _____

Race: White Black American Indian/Alaskan Native Hispanic

Asian/Pacific Islander Hasidic Jew

Section 3: Women Owned Business Section 3 Contractor

Total Contract Amount: \$ _____ Date Signed: _____

Comments:

PREVAILING WAGE REQUIREMENTS

Wage Decision used for this project: _____

Are all work classifications needed for this project included in the wage decision?

Yes No If not, what additional classifications are needed?

*A written request will need to be made to HAP Community Action. The request will need to be approved by OHCP and DOL.

Weekly Payroll reports are required.

Payrolls are to be submitted weekly beginning with the first week on the project and every week until your firm has completed its work on the project.

Can use DOL's WH-347 payroll form or your own as long as all required information is on the payroll report.

Payroll reports must be certified

Can send "No Work" payrolls or a note to the administrator explaining any breaks in work.

Prime /General Contractor is responsible for the full compliance of all employers on this project.

Prime Contractor should review each subcontractor's payroll report prior to submitting the report to the administrator.

Keep a complete set of payrolls and other basic records for a Davis-Bacon project for at least 3 years.

Must provide proof of enrollment in an approved program for apprentices and trainees to be paid at the apprentice and/or trainee rate.

Any voluntary deduction (not required by law or by an order of a proper authority) must be authorized in writing by the employee or provided for in a collective bargaining union agreement.

HAP Community Action is the Contract Administrator and is responsible for the administration and enforcement of the Federal labor standards provisions.

Contract Administrator will conduct periodic site visits and conduct employee interviews to monitor labor standards compliance.

Payment of time and one-half pay for overtime hours (over 40 in any workweek) worked on this project is required.

CHANGE ORDER NO. 1

Project: Unicorn County, City of Lightning Bolts, Water Facility Improvements

Date: 9/5/17 Contract No. B-F-17-1EB-1-2

I. The following changes are hereby made to the contract documents (attach documentation): Additional work was required to install the 3” solenoid control valve into the existing valve vault piping, and contractor will provide two backup batteries to increase efficiency of the project.

II. The following change is made to the contract price:

\$	26,980.00	Original Contract Price
	0.00	Previous Change/Extras
	7,976.00	This Change/Extras
\$	34,956.00	Subtotal
	0.00	Deductions
\$	34,956.00	Net Total

III. The following change is made to the contract time: n/a

The contract time will be: n/a

_____ Increased by _____ calendar days

_____ Decreased by _____ calendar days

The date for completion of all work September 17, 2017.

IV. X There will be no claims for damages resulting from this change.

_____ Claims for damages resulting from this change are anticipated for such categories as _____ and should not exceed \$ _____.

Change Request By: _____ Date: _____
Grant Administrator

Change Accepted By: _____ Date: _____
City of Lightning Bolts

Change Accepted/ Approved By: _____ Date: _____
Engineer/Architect

Change Accepted By: _____ Date: _____
Magic Construction

Change Accepted By: _____ Date: _____
Unicorn County Commissioners

Record of Employee Interview

U.S. Department of Housing and Urban Development
Office of Labor Relations

OMB Approval No. 2501-0009
(exp. 10/31/2010)

Public reporting burden for this collection of information is estimated to average 15 minutes per response, including the time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. This agency may not collect this information, and you are not required to complete this form, unless it displays a currently valid OMB control number. The information is collected to ensure compliance with the Federal labor standards by recording interviews with construction workers. The information collected will assist HUD in the conduct of compliance monitoring; the information will be used to test the veracity of certified payroll reports submitted by the employer. **Sensitive Information.** The information collected on this form is considered sensitive and is protected by the Privacy Act. The Privacy Act requires that these records be maintained with appropriate administrative, technical, and physical safeguards to ensure their security and confidentiality. In addition, these records should be protected against any anticipated threats or hazards to their security or integrity that could result in substantial harm, embarrassment, inconvenience, or unfairness to any individual on whom the information is maintained. **The information collected herein is voluntary, and any information provided shall be kept confidential.**

1a. Project Name LIBERTYVILLE STREETS			2a. Employee Name FRANCIS S. KEY		
1b. Project Number 1			2b. Employee Phone Number (including area code) 555-555-5555		
1c. Contractor or Subcontractor (Employer) DAWN'S EARLY LIGHT PAVING			2c. Employee Home Address & Zip Code 100 DEMOCRACY AVE. FREEDOM, OH		
			2d. Verification of identification? Yes <input checked="" type="checkbox"/> No <input type="checkbox"/>		
3a. How long on this job? 1 week	3b. Last date on this job before today? 11/18/16	3c. No. of hours last day on this job? 8	4a. Hourly rate of pay? \$38.00	4b. Fringe Benefits?	
			Vacation Yes <input type="checkbox"/> No <input checked="" type="checkbox"/>		4c. Pay stub? Yes <input checked="" type="checkbox"/> No <input type="checkbox"/>
			Medical Yes <input type="checkbox"/> No <input checked="" type="checkbox"/>		
			Pension Yes <input type="checkbox"/> No <input checked="" type="checkbox"/>		

5. Your job classification(s) (list all) --- continue on a separate sheet if necessary
ASPHALT LABORER

6. Your duties
SHOVELING

7. Tools or equipment used
SHOVEL, WHEEL BARROW

8. Are you an apprentice or trainee? <input type="checkbox"/> Y <input checked="" type="checkbox"/> N	10. Are you paid at least time and 1/2 for all hours worked in excess of 40 in a week? <input checked="" type="checkbox"/> Y <input type="checkbox"/> N
9. Are you paid for all hours worked? <input checked="" type="checkbox"/> Y <input type="checkbox"/> N	11. Have you ever been threatened or coerced into giving up any part of your pay? <input type="checkbox"/> Y <input checked="" type="checkbox"/> N

12a. Employee Signature
Francis S. Key

12b. Date
11/20/16

13. Duties observed by the interviewer (Please be specific.)
SHOVELING

14. Remarks
PREV. WAGE & RIGHTS POSTERS DISPLAYED ON SITE

15a. Interviewer name (please print) BEN KEPPLER	15b. Signature of Interviewer <i>Ben Kepple</i>	15c. Date of interview 11/20/16
--	--	---

Payroll Examination

16. Remarks
FPW PAID

17a. Signature of Payroll Examiner <i>Ben Kepple</i>	17b. Date 11/21/16
---	------------------------------

Final Inspection Report

Project Name: _____

Supplier/Contractor: _____

Engineer/Architect: _____

Inspector: _____

Date of Final Inspection: _____

All contract work is under a one-year warranty from the date of the final inspection listed above.

Project was inspected on date above and was determined:

_____ Satisfactorily completed.

_____ Unsatisfactorily completed.

Comments:

Signature of Inspector

Signature of Engineer/Architect

Signature of Community Representative

Signature of Contractor

AFFIDAVIT OF COMPLIANCE
Prevailing Wages

I, _____,
(Name and title of person signing affidavit)

do hereby certify that the wages paid to all employees of _____
(Company Name)

for all hours worked on the _____
(Project name and location)

project, during the period from _____ to _____ are in
(Project Dates)

compliance with prevailing wage requirement of Chapter 4115 of the Ohio Revised Code.

I further certify that no rebates or deductions have been or will be made, directly or indirectly, from any wages paid in connection with this project, other than those provided by law.

Signature of Officer or Agent

Sworn to and subscribed in my presence this _____ day of _____,
_____.

Notary Public

CONTRACTOR'S AFFIDAVIT OF WAIVER OF LIENS

State of Ohio
County of _____

TO WHOM IT MAY CONCERN:

The undersigned, on behalf of _____, the Contractor,
having a contract dated _____ with the
_____ to
perform and/or furnish labor, materials, appliances, tools, utilities, fuel or equipment as
set forth in said contract, for the installation or construction of
_____ located at

hereby makes oath and says that all bills for labor, materials, fuel, or anything or purpose
for which a lien or liens may or can be filed under the laws of the place in which this
building or project is constructed, arising out of or in connection with the aforementioned
trace, have been paid, that there are no claims of subcontractors, laborers or materialmen
for which a lien or claims can be filed or claims made against the Owner.

Contractor Name

By

Title

Sworn to before me and subscribed in my presence at _____
This _____ day of _____, 20_____.

Notary Public

Seal

My Commission Expires



Community Development Standard Fair Housing Program

The Office of Community Development helps Ohio communities prepare for growth and job creation by administering federally funded programs designed to promote housing, community development, infrastructure improvements, and economic development. Local governments that receive federal funds distributed by the Ohio Development Service's Office of Community Development are subject to Civil Rights and Fair Housing laws, and are required to affirmatively further the purposes of the Fair Housing Act. The Office of Community Development staff works with the local communities to design and implement Standard Fair Housing Programs.



Contact

Office of Community Development
Phone: (614) 466-2285
cdbg.development.ohio.gov



Development
Services Agency

John R. Kasich, Governor

David Goodman, Director

What is a Standard Fair Housing Program?

A Standard Fair Housing Program is a community-based framework of analysis, outreach, training, and technical assistance that serves to affirmatively further the purposes of the Fair Housing Act. Through this program, local governments actively promote fair housing by appointing a local contact, analyzing impediments to fair housing choice, and providing targeted public education.

Local Fair Housing Contact

The local fair housing contact is a local government employee who provides general information, receives and processes fair housing complaints, and refers cases to the Ohio Civil Rights Commission.

Education

The Standard Fair Housing Program provides essential education regarding discrimination and fair housing rights. Local governments design an annual training program that includes presentations to residents of areas targeted for federal assistance; special populations affected by federally assisted projects; direct beneficiaries of federal housing assistance; and three additional schools, organizations or civic groups.

Outreach

To reach a broad community audience, local governments also develop an annual plan to distribute fair housing brochures, pamphlets, posters, and other informational materials to 10 area agencies, organizations, or public events.

Analysis of Impediments to Fair Housing

To help target education and outreach efforts, local governments must conduct a comprehensive analysis to identify impediments to fair housing choice within their jurisdiction. The analysis should identify policies, actions, omissions, or decisions that restrict housing choices on the basis of the seven protected classes listed in the Fair Housing Act. The seven protected classes are race, color, religion, sex, disability, familial status, and national origin. Ohio's Fair Housing Act (ORC 4112) expands the list of protected classes to include ancestry and military status. Local governments use the Analysis of Impediments to Fair Housing to develop strategies to address and overcome discriminatory policies and practices.

OHIO PY 2016

COMMUNITY DEVELOPMENT PROGRAM

ANNUAL STANDARD FAIR HOUSING PROGRAM

January 1, 2017 to December 31, 2017

The Fair Housing Act prohibits discrimination in the sale, rental, and financing of dwellings, and in other housing-related transactions, based on race, color, national origin, religion, sex, familial status (including children under the age of 18 living with parents of legal custodians, pregnant women, and people securing custody of children under the age of 18), and handicap (disability). As a recipient of CDBG funds, the grantee is required to certify to affirmatively further fair housing and conduct the minimum requirements set by the state's Standard Fair Housing Program. A definition the Standard Fair Housing Program is included in the instructions.

GRANTEE:

List of Jurisdiction(s) covered by Program:

1. LOCAL FAIR HOUSING CONTACT AND INTAKE PROCESS

A. LOCAL FAIR HOUSING CONTACT

Grantee is required to provide the following information for the designated local fair housing coordinator who: a) is an employee of the unit of local government; b) is generally accessible Monday through Friday; and c) will be responsible for the initial intake of fair housing complaints and concerns. The person's name, address, and phone number must appear in all fair housing materials and on the grantee's official website. County and consortia grantees are encouraged to obtain a toll-free phone number: Check here if this person has held this position for one year or less.

Name: _____ Title: _____
Address: _____
City: _____ State: _____ Zip: _____
Phone Local: _____ Toll Free: _____
E-mail Address: _____
Website Address: _____

B. CONSULTANT SERVICES FOR OUTREACH OR ANALYSIS

A consultant or agency may be used to carry out the fair housing requirements with the exception of the local contact responsibilities. If using consultant services is planned, attach a copy of the Request for Proposals (RFP). If the consultant has been selected, attach evaluation sheets for proposal and the contract for fair housing services, and complete the following information. If the RFP has not been developed, check here.

If a contract has not been entered into check here.

Agency: _____ or Unknown to date; or None planned
Contact: _____ Title: _____
Address: _____
City: _____ State: _____ Zip: _____
Phone Local: _____ Toll Free: _____
E-mail Address: _____

C. COMPLAINT PROCESS

Each Grantee must establish a system for receiving and processing fair housing complaints and coordinating efforts with the appropriate regional office of the Ohio Civil Rights Commission (OCRC). Attach a description of your system for receiving and processing fair housing complaints, the method by which complaints will be forwarded to OCRC, and the method of follow-up on complaints regardless if previously submitted to the Office of Community Development.

List the number of complaints received from September 1, 2015 to June 15, 2016:

Housing Discrimination Landlord-Tenant

Indicate the OCRC Office with which you will coordinate:

Columbus Regional Office Cleveland Regional Office
 Dayton Regional Office Toledo Regional Office
 Akron Regional Office

2. ANALYSIS OF IMEPEDIMENTS TO FAIR HOUSING (AI)

As a requirement of receiving federal CDBG funds, a grantee must certify to affirmatively further fair housing (AFFH). HUD defines AFFH as requiring a grantee to:

- Conduct a comprehensive analysis to identify impediments to fair housing choice within the jurisdiction
- Take appropriate actions to overcome the effects of any impediments identified through the analysis
- Update the AI annually; and
- Maintain records reflecting the analysis and actions in this regard.

During the PY 2015 Community Development Program period, grantees were required to complete a comprehensive Analysis of Impediments (AI) for submission with the PY 2016 application. This comprehensive AI must: (1) identify fair housing impediments, concerns, or problems; (2) outline changes needed to remedy or overcome impediments; and (3) include a plan of action with a timetable or schedule to remedy identified concerns.

3. TRAINING PROGRAM - January 1, 2017 through December 31, 2017

Grantees are required to conduct annual training to provide educational material and activities regarding fair housing to: residents of project areas, or targeted protected populations, in which CDBG or HOME activities funded in a program year are being undertaken, and b) at least three additional civic or social groups and/or schools in your community. There should be at least one training event each quarter.

Training and outreach conducted for the CDBG Community Development Standard Fair Housing Program do not meet the CHIP fair housing requirements. CHIP fair housing requirements are in addition to the CDBG Community Development Standard Fair Housing Program requirements.

List the proposed Community Development Program CDBG activity areas and/or targeted, protected populations (e.g., elderly, handicapped, homeless, etc.). Develop a training strategy and list these trainings in the following chart (be specific). Add additional sheets as needed. Training sessions should be scheduled and held quarterly throughout the program period. Indicate which training will be conducted as part of your annual effort to eliminate barriers to fair housing identified in your local AI.

Community Development Program Fair Housing Training Plan

(Schedule no earlier than Jan 1, 2017 and no later than Dec 31, 2017)

CDBG Target Area/Target Audience	Training Location	AI ¹	Description of Training	Approximate Date & Time
Ex: Removal of Arch. Barriers at Appleton's Senior Cntr/Senior Citizens	Appleton Senior Center	<input type="checkbox"/>	Fair Housing Rights and Complaint Process for Persons with Disabilities & Elderly	Feb. 10. 2017- 1:00 P.M.
		<input type="checkbox"/>		

¹ Activities to address Analysis of Impediments Issues

4. OUTREACH PROGRAM Grantees are required to develop fair housing information and materials. Materials must be distributed to a minimum of 10 public events, agencies or organizations **EACH QUARTER** throughout the grant program period. The local fair housing contact's name, address, and phone number must be listed on all materials distributed. In addition, communities must provide fair housing contact information and outreach materials on their official website. Develop a distribution strategy and list in the chart located below: (Add additional sheets if needed.)

FAIR HOUSING OUTREACH PROGRAM

AGENCY, ORGANIZATION, PUBLIC EVENT	LIST OF MATERIALS TO BE DISTRIBUTED	AI ²	EST. # TO BE DISTRIBU TED	APPROXIMATE DATES OF DISTRIBUTION			
				1st Qtr.	2nd Qtr.	3rd Qtr.	4th Qtr.
Example: Erie County Human Resource Office	Fair Housing "It's Your Right" & Ohio Fair Housing Law brochures	<input type="checkbox"/>	50 of each brochure	1/1/2017	4/1/2017	7/1/2017	10/1/2017
		<input type="checkbox"/>					
		<input type="checkbox"/>					
		<input type="checkbox"/>					
		<input type="checkbox"/>					
		<input type="checkbox"/>					
		<input type="checkbox"/>					
		<input type="checkbox"/>					
		<input type="checkbox"/>					
		<input type="checkbox"/>					
		<input type="checkbox"/>					
		<input type="checkbox"/>					

² Outreach to Address Analysis of Impediments Issues

5. **ATTACH** your current local fair housing ordinance or resolution. Check if grantee does not have a local fair housing resolution or ordinance.

6. **BUDGET** Grantee must enter a budget amount for implementation of the standard fair housing program, whether from Community Development or other local resources. This same amount should also be reflected on the CD budget summary form.

SOURCE OF FUNDS AND USE OF FUNDS

January 1, 2017 - December 31, 2017

2016 CDBG CD FUNDS	OTHER FUNDS	SOURCE OF OTHER FUNDS	TOTAL BUDGET	OUTCOME/ACTIVITY
				FH COORDINATOR
				FH COMPLAINT SYSTEM
				FH TRAINING PROGRAM
				FH EDUCATION OUTREACH
				FH ANALYSIS
				TOTAL - 12 MO. BUDGET

Check here if fair housing activities are being carried out by persons other than those identified in section 1 above and identify: (Note: All literature must reference the Local Fair Housing Contact identified in section 1 and all complaint intake must also be performed by the Local Fair Housing Contact.)

Agency: _____

Contact: _____ Title: _____

Address: _____

City: _____ State: _____ Zip: _____

Phone: _____ E-mail: _____

If Community Development funding is being utilized to implement the community's current or future CHIP Fair Housing Program requirements, the grantee must complete the CHIP Fair Housing Program chart.

**CHIP FAIR HOUSING PROGRAM
SOURCE OF FUNDS AND USE OF FUNDS**

2016 CDBG FUNDS	CHIP FUNDS	OTHER FUNDS	TOTAL BUDGET	OUTCOME/ACTIVITY
				FH COORDINATOR
				FH COMPLAINT SYSTEM
				FH TRAINING PROGRAM
				FH EDUCATION OUTREACH
				FH ANALYSIS
				TOTAL - 24 MO. CHIP FH BUDGET

TOTAL CDBG COMMUNITY DEVELOPMENT FAIR HOUSING BUDGET:

_____ 2016 CDBG Standard Fair Housing Program
_____ FH Program for FY _____ CHIP Grant
_____ Total FY 2016 CDBG Community Development Funds

7. SUMMARY OF ATTACHMENTS

A. If applicable:

- Request for Proposals
- RFP evaluation forms
- Contract
- Current local fair housing ordinance or resolution

B. Required:

- Description of complaint intake, method of referral to Civil Rights Commission, and method of complaint follow-up
- 5-year Analysis of Impediments

NOTE: During the PY 2015 Community Development Program period, grantees were required to complete a comprehensive Analysis of Impediments for submission with the PY 2016 application.

- Action Plan for January 1, 2017 through December 31, 2017

Guidance on preparing the Analysis of Impediments and further information about the Standard Fair Housing Program can be found on the Training and Technical Assistance page on OCD's website: http://development.ohio.gov/cs/cs_civilrights.htm. Additional technical assistance for fair housing is available by contacting Sheilah Bradshaw, Compliance Specialist, by e-mail at sheilah.bradshaw@development.ohio.gov or by telephone at (614) 466-2617.



Office of Community Development (OCD) Community Development Block Grant (CDBG)

Community Development Program File Guide

Community: _____

Grant Number: _____

Administrator: _____

Description:

Included in this packet are a series of file guides designed to facilitate the administrative process for Ohio's State Administered Community Development Block Grant (CDBG) programs. These documents are separated into general grant compliance areas (e.g. Administration, Citizen Participation, etc.) and Project Specific sheets (e.g. Procurement, Labor Standards, etc.), which should be maintained for all projects included in a Grant Agreement. Project specific sheets should be used for each grant project. OCD recommends each compliance area be tabbed and all exhibits be clearly labeled.

Instructions:

Each compliance area subject to monitoring by OCD has a unique file guide, although the format for all of the guides is similar. The community should check the box for each requirement when it is satisfied. The file guides also identify where supporting documentation (i.e. Exhibits) or other information (e.g. dates, dollar amounts, etc.) are required. The "Notes" sections of the file guides allow the community to provide additional details about each compliance area and/or explain any deficiencies or out of the ordinary occurrences.

File Guide Checklist:

General Grant Compliance Areas

- Grant Management
- Administration
- Citizen Participation
- Financial Management
- Civil Rights/Fair Housing

Project-Specific Compliance Areas

- National Objective
- Environmental Review
- Procurement
- Contract Management
- Labor Standards
- Acquisition/Relocation

Community: _____

Grant Number: _____

<p>Grant Management System <i>(Statement of Agreement, Part 9)</i></p> <ul style="list-style-type: none"> <input type="checkbox"/> Community must have a centralized record keeping <input type="checkbox"/> Community must retain a copy of the grant application <input type="checkbox"/> Community must maintain copies of OCD grant correspondence <p>Exhibit GM 1: OCD General Correspondence</p>	<p>Notes:</p>
<p>Grant Agreement Information <i>(Statement of Agreement, Part 9)</i></p> <ul style="list-style-type: none"> <input type="checkbox"/> Community must have a signed copy of the Grant <p>Exhibit GM 2: Executed CDBG Grant Agreement</p>	
<p>Grant Amendments Applicable <input type="checkbox"/> Not Applicable <input type="checkbox"/></p> <ul style="list-style-type: none"> <input type="checkbox"/> Community must have a signed copy of Amendment Request Letter on file <p>Exhibit GM 3a: Signed Amendment Request Letter</p> <ul style="list-style-type: none"> <input type="checkbox"/> Community must have a signed copy of the Amendment Form on file <p>Exhibit GM 3b: Signed Amendment Form</p>	
<p>Grant Extensions Applicable <input type="checkbox"/> Not Applicable <input type="checkbox"/></p> <ul style="list-style-type: none"> <input type="checkbox"/> Community must have a signed copy of Extension Request Letter on file <p>Exhibit GM 4a: Signed Extension Request Letter</p> <ul style="list-style-type: none"> <input type="checkbox"/> Community must have a signed copy of the Extension Form on file <p>Exhibit GM 4b: Signed Extension Form</p>	
<p>Status Reports</p> <p><i>Description:</i> Communities receiving CDBG funds must complete and submit a status report for funds every 6 months <i>Attach. C(1)</i></p> <ul style="list-style-type: none"> <input type="checkbox"/> Community must maintain a file with copies of submitted status reports <p>Exhibit GM 5a, 5b, etc.: Copies of Submitted Status Reports with dates submitted</p>	

Community: _____

Grant Number: _____

Local Administrative Staff

Description: Community may use community staff to administer its CDBG program

- Community used internal personnel
- Community must maintain timesheets for administrative hours charged to CDBG (internal administrative staff)

24 CFR 85.20(a)(6)

Exhibit AD 1: Timesheets of CDBG Admin. Hours

Note: Community can use OCD Administrative Expense Sheet to document costs

Other Governmental Agency Staff

Description: Community may use other independent government agencies and commissions to administer its CDBG program through an Interagency Agreement

Policy Notice 13-04

- Community used Interagency Agreement

Exhibit AD 2a: Executed Interagency Agreement

- Community must maintain copies of the Administrative Invoices and Cancelled Checks for Interagency Agreement expenses

24 CFR 85.20(a)(6)

Exhibit AD 2b: Invoices and Cancelled Checks

Administrative Procurement: Services

Description: Community must maintain documentation if administrative services were procured from outside source

- Community must use an approved method to procure outside administrative services

24 CFR 85.36
CDP Notice 96-05

Select method of procurement used:

- Small Purchases (\$50,000 or less)

24 CFR 85.36(d)
ORC 307.86

Number of quotes obtained: _____

Exhibit AD 3: Quote Tabulation Sheet

- Competitive Proposals (RFP) (**Preferred Method**)

24 CFR 85.36(d)(2)
ORC 153.07
CDP Notice 96-05

Number of proposals obtained: _____

Exhibit AD 4a: Advertisement Soliciting Proposals

Exhibit AD 4b: Proposal Tabulation/Evaluation Material

- Noncompetitive Proposals (procuring non-profits only)

Policy Notice 01-01

Exhibit AD 5a: Copy of Local Government RFA

Exhibit AD 5b: Statement of Qualifications

Exhibit AD 5c: Proposal

Exhibit AD 5d: Cost Analysis and Verification

Note: The Competitive Sealed Bids and Request for Qualifications (RFQ) processes are NOT appropriate for procuring administrative services.

CDP Notice 96-05

- Community must maintain contract for CDBG administrative services

24 CFR 85.20(a)(6)

Exhibit AD 6a: Administrative Contract

Price of Awarded Contract: _____

Contracted Firm: _____

Date of Execution: _____

- Community must maintain copies of the Administrative Invoices and Cancelled Checks for expenses

24 CFR 85.20(a)(6)

Exhibit AD 6b: Invoices and Cancelled Checks

Administrative Procurement: Equipment & Supplies

Description: Community must maintain documentation if CDBG funds were used to procure equipment and supplies for grant administration

- Small Purchases (\$50,000 or less)

24 CFR 85.36(d)
ORC 307.86

Number of quotes obtained: _____

Exhibit AD 7: Quote Tabulation Sheet

- Competitive Proposals (RFP)

24 CFR 85.36(d)(2)
ORC 153.07
CDP Notice 96-05

Number of proposals obtained: _____

Exhibit AD 8a: Advertisement Soliciting Proposals

Exhibit AD 8b: Proposal Tabulation/Evaluation Material

Community: _____

Grant Number: _____

General Information

Notes:

- Community must have a citizen participation plan updated within the last five years of program inception 24 CFR 570.486(a)(6)

Exhibit CP 1: Community Citizen Participation Plan
Plan Last Updated: _____

Note: Subsequent plan updates do not have to be included retroactively

- Community must have a citizen complaint file that includes a copy of the Citizen Complaint Policy 24 CFR 570.486(7)

Exhibit CP 2a: Citizen Complaint File
Exhibit CP 2b: Citizen Complaint Policy

Were any questions/complaints received for this grant:

- Yes** **No**

If **Yes**, did the community respond within 15 days:

- Yes** **No**

Exhibit CP 2c: Community must retain records of any citizen complaints

- Counties* must solicit projects from local jurisdictions at least 30 days prior to application due date
 Applicable **Not Applicable**

Exhibit CP 3a: Proof of solicitation (e.g. letter)

Date of Solicitation: _____

Exhibit CP 3b: Criteria for ranking/selecting projects

First Public Hearing

Date: _____

- Notice must be published at least 10 days prior to public hearing 24 CFR 570.486(5)
Policy Notice 07-01

Notification method used:

- Newspaper Legal Ad**
 Alternative Notification Method OCD 07-01

Exhibit CP 4a: Public Hearing Notice

Date of Publication: _____

Exhibit CP 4b: Verification of Publication (newspaper or alternative method)

Did public notice provide required information (e.g. allocation amount, programs) 24 CFR 570.486(3)(i)
24 CFR 570.486(5)

- Yes** **No**

- Community must maintain public hearing documentation 24 CFR 570.486(5)

Exhibit CP 4c: Sign-in Sheets for First Public Hearing

Exhibit CP 4d: Minutes for First Public Hearing

Second Public Hearing

Date: _____

- Notice must be published at least 10 days prior to public hearing

24 CFR 570.486(5)
Policy Notice 07-01

Notification method used:

- Newspaper Legal Ad
 Alternative Notification Method OCD 07-01

Exhibit CP 5a: Public Hearing Notice

Date of Publication: _____

Exhibit CP 5b: Verification of Publication (newspaper or alternative method)

Did notice include a list of selected projects with name, location, and anticipated amount

24 CFR 570.486(3)(i)
24 CFR 570.486(5)

- Yes No

- Community must maintain public hearing documentation

24 CFR 570.486(5)

Exhibit CP 5c: Sign-in Sheets for Second Public Hearing

Exhibit CP 5d: Minutes for Second Public Hearing

Amendment Public Hearing

Applicable

Not Applicable

- Notice must be published at least 10 days prior to public hearing

24 CFR 570.486(5)
Policy Notice 07-01

Date of Hearing: _____

Notification method used:

- Newspaper Legal Ad
 Alternative Notification Method OCD 07-01

Exhibit CP 6a: Public Hearing Notice

Date of Publication: _____

Exhibit CP 6b: Verification of Publication (newspaper or alternative method)

Did notice include a description of the proposed amendment

- Yes No

- Community must maintain public hearing documentation

24 CFR 570.486(5)

Exhibit CP 6c: Sign-in Sheets for Amendment Public Hearing

Exhibit CP 6d: Minutes for Amendment Public Hearing

Community: _____

Grant Number: _____

Source Documentation & Cost Allocability Test: General

Notes:

Community must have documentation of expenditures and allowable expenses. Include as **Exhibit FM 1a, FM 1b**, etc. as needed, and group by project.

- Invoices/Vouchers with Cost Breakdowns
- Proof of Payment (i.e. cancelled checks, etc.)

Community must maintain discrete journals to track CDBG expenditures; reports can be generated by accounting software or by using OCD's Financial Worksheets.

Exhibit FM 2: CDBG Expenditures Report

Community must code vouchers/purchase orders with grant and account numbers

Community must provide appropriate documentation if CDBG funds were used to reimburse allowable costs

Financial Management Records

Description: Information related to appropriate financial management practices can be found in **Chapter 11 of the HUD CDBG Basics Handbook** or **OCD's Financial Handbook**

Community must maintain a chart of CDBG accounts

Exhibit FM 3: Chart of CDBG Accounts

Community must maintain cash receipts journal, cash disbursements journal, and general ledger

- Exhibit FM 4a: Cash Receipts Journal**
- Exhibit FM 4b: Cash Disbursements Journal**
- Exhibit FM 4c: General Ledger**

Note: Community's can use OCD's Fiscal Spreadsheets to track grant expenditures.

Were all federal grant funds maintained in a non-interest bearing account (excluding RLF)?

Yes **No**

Community must maintain a journal for program income

Exhibit FM 5: Program Income Journal

Were all federal program income funds maintained in an interest bearing account?

Yes **No**

Note: Interest in excess of \$100 must be returned to Treasury

<p><u>OCD Drawdown Materials</u></p> <p><input type="checkbox"/> Community must maintain copies of drawdown forms</p> <p>Exhibit FM 6a: Grant Drawdown Forms</p> <p><input type="checkbox"/> Community must maintain signature and depository cards</p> <p>Exhibit FM 6b: Signature and Depository Cards</p> <p><input type="checkbox"/> Community must maintain Authorization Agreement for Direct Deposit</p> <p>Exhibit FM 6c: Direct Deposit Agreement</p>	
<p><u>Indirect Cost Plan</u></p> <p><input type="checkbox"/> Community must maintain a copy all indirect cost plans.</p> <p>Exhibit FM 7a: Indirect Cost Plan Exhibit FM 7b: OCD Approval Documentation</p>	
<p><u>Expenditure Testing</u></p> <p><input type="checkbox"/> Community must provide documentation for the following financial management deficiencies (if applicable). Include as Exhibit FM 8a, FM 8b, etc. as needed.</p> <ul style="list-style-type: none"> • Community must document any variances in draws • Community must follow fifteen day rule for funds • Community must deposit funds upon receipt • Community must have signed grant agreement • Community must have ER releases before funds are disbursed • Community must satisfy all special conditions (if applicable) 	
<p><u>Source Documentation & Cost Allocability Test: Administration</u></p> <p><input type="checkbox"/> Community must document and approve grant payroll charges in time sheets.</p> <p>Exhibit FM 9a: Time Sheets and Proof of Payment (i.e. cancelled checks, etc.)</p> <p><input type="checkbox"/> Community must maintain detailed travel information and approval</p> <p>Exhibit FM 9b: Travel Receipts and Proof of Payment</p>	
<p><u>Property Management</u> <input type="checkbox"/> Applicable <input type="checkbox"/> Not Applicable</p> <p><input type="checkbox"/> Community must have a disposition plan for property purchased with grant funds</p> <p>Exhibit FM 10a: Property Disposition Plan</p>	

<input type="checkbox"/> Community must maintain records for properties purchased with grant funds and a inventory update Exhibit FM 10b: Property Records Exhibit FM 10c: Property Inventory <input type="checkbox"/> Community must have prior approval for all property purchases over \$5,000 Exhibit FM 10d: Pre-approval letters (if applicable)	
---	--

<u>Internal Controls</u> <i>Description:</i> Please provide the following information pertaining to the community's Financial Management practices Individual Responsible for Issuing Checks _____ Position: _____ Are signature stamps maintained in a secure location <input type="checkbox"/> Yes <input type="checkbox"/> No Are checks used consecutively? <input type="checkbox"/> Yes <input type="checkbox"/> No Are missing checks accounted for? <input type="checkbox"/> Yes <input type="checkbox"/> No Are blank checks signed before use? <input type="checkbox"/> Yes <input type="checkbox"/> No Are checks kept in a secure location? <input type="checkbox"/> Yes <input type="checkbox"/> No Are checks properly voided? <input type="checkbox"/> Yes <input type="checkbox"/> No How many signatures are required to approve vouchers? _____ How many signatures are required to sign checks? _____ Does community segregate financial duties? <input type="checkbox"/> Yes <input type="checkbox"/> No	
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<u>Loan Servicing</u> <input type="checkbox"/> Applicable <input type="checkbox"/> Not Applicable <input type="checkbox"/> Community must maintain copies of all loan servicing agreements Exhibit FM 11: Loan Servicing Agreement	
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<u>Audit Findings</u> <input type="checkbox"/> Applicable <input type="checkbox"/> Not Applicable <input type="checkbox"/> Community must maintain and audit documentation pertaining to this grant Date of Audit: _____ Date of Resolution: _____ Audit Agency: _____ Exhibit 12: Audit Materials	
---	--

Community: _____

Grant Number: _____

<u>General</u>	<u>Notes:</u>
<p><input type="checkbox"/> Community must have designated Fair Housing Contact</p> <p>Contact: _____</p> <p><input type="checkbox"/> Community must have a process for handling Fair Housing Complaints</p> <p>Fair Housing Complaints Received: _____ Tenant-Landlord Complaints Received: _____</p> <p><input type="checkbox"/> Community must maintain records on discriminatory practices</p>	
<p><u>Analysis of Impediments to Fair Housing Choice</u></p> <p><input type="checkbox"/> Community must complete an Analysis of Impediments every five (5) years. Analysis must be updated annually.</p> <p>Exhibit FH 1: Analysis of Impediments Date of Plan: _____ Date of Last Update: _____</p> <p><input type="checkbox"/> Community must hold trainings/outreach activities to address issues identified in the AOI</p> <p>Exhibit FH 2: Schedule of Trainings/Outreach Activities</p> <p><input type="checkbox"/> Community may have a Fair Housing Ordinance/Resolution</p> <p>Exhibit FH 3: Fair Housing Ordinance/Resolution Date of Adoption/Enactment: _____</p>	
<p><u>Fair Housing Training Program</u></p> <p><input type="checkbox"/> Community must retain a schedule and documentation from trainings included in its approved program (At a minimum, one training for the program target area/population for each activity, and 3 additional schools, civic groups, or organizations.)</p> <p>Exhibit FH 4a: List of Trainings (date/time/location) Exhibit FH 4b: Training Materials (description/agenda) Exhibit FH 4c: Sign-In Sheets Exhibit FH 4d: Marketing and Promotional Material Exhibit FH 4e: Meeting Minutes</p>	
<p><u>Fair Housing Outreach Program</u></p> <p><input type="checkbox"/> Community must distribute Fair Housing materials at ten (10) public locations/events quarterly</p> <p>Exhibit FH 5: List of Outreach Locations/Materials Distributed</p>	

Equal Employment Opportunity (EEO)

- Community must designate an EEO Officer

EEO Officer's Name: _____

Officer's Title: _____

- Community must collect detailed employment data to allow for assessment of composition by sex/race/handicap/national origin

Exhibit FH 6a: Employment Composition Data

- Community must maintain a Federal EEO-4 on file

Exhibit FH 6b: EEO-4

- Community must maintain information on CDBG position filled during the grant period (if applicable)

Exhibit FH 6c: CDBG Employment Information

- Community must maintain information on discrimination complaints filed against it

Exhibit FH 6d: Discrimination Complaint Information

- Community must maintain a written EEO policy

Exhibit FH 6e: Community EEO Policy

- Community must maintain a written Affirmative Action policy

Exhibit FH 6f: Community Affirmative Action Policy

- Community must take steps to ensure non-discrimination for disabled persons

Exhibit FH 6g: Disabled Persons Employment Efforts

- Community must maintain information on known employment deficiencies for specific groups

Exhibit FH 6h: Group Employment Deficiency Data

Minority and Women's Business Enterprises (MBE/WBE)

- Community must have adopted MBE/WBE Strategy

Exhibit FH 7a: MBE/WBE Strategy

- Community must maintain records on companies awarded contracts in excess of \$1,000.

Exhibit FH 7b: Contract Information

Section 3

- Community must maintain records of actions taken to satisfy Section 3 hiring requirements

Exhibit FH 8: Section 3 Hiring Information

Program Beneficiaries

- Community must maintain data concerning CDBG beneficiaries with regard to race/ethnic group/handicap/singe-parent household status

Exhibit FH 9a: CDBG Beneficiary Data

- Community must have process to identify needs of women/disabled/minorities

Exhibit FH 9b: Needs Narrative

- Community must ensure disadvantaged groups are adequately represented on policy-making bodies

Exhibit FH 9c: Policy-making Body List*

* Indicate disadvantaged group membership

- Community must maintain information on households displaced by CDBG funded activities

Exhibit FH 9d: Displaced Household Information

Fair Housing Administration

- Community must maintain timesheets for local staff responsible for conducting Fair Housing program

Exhibit FH 10: Fair Housing Time Sheets

- Community must maintain documentation for outside Fair Housing administrators

Exhibit FH 11a: Advertisement Soliciting Proposals

Exhibit FH 11b: Proposal Tabulation/Evaluation Material

Exhibit FH 11c: Evidence Work was Conducted

Exhibit FH 11d: Invoices

Exhibit FH 11e: Proof of Payment (i.e. cancelled checks, etc.)

Elimination of Spot Slum/Blight

- Community must complete building condition survey to demonstrate blighting conditions

24 CFR
570.483(c)(2)

Note: Copies of the building condition survey form can be found on OCD's website

Exhibit NO 5a: Building Condition Survey
Exhibit NO 5b: Spot Slum/Blight Certification

Percentage of Buildings/Infrastructure determined to be blighted _____

Economic Development

- Community must demonstrate that 51% of jobs created by companies assisted with CDBG funds are made available to LMI persons

24 CFR
570.483(b)(4)

Name of Company Assisted: _____

Number of Jobs Created: _____ LMI Jobs: _____

Percentage of LMI Jobs: _____

Exhibit NO 6a: Job Creation Summary Certification
Exhibit NO 6b: Employee Job Benefit Verification Forms

Community: _____

Grant Number: _____

Project Number: _____

Project Name: _____

Level of Environmental Review: _____

Note: Communities may use OCD's Environmental Review Worksheets in place of the File Guide. These materials can be found at http://development.ohio.gov/cs/cs_traintech.htm

General Requirements

Description: All Environmental Review Records, unless otherwise noted, should have the following items:

Record must include **Project Description/Location** *HUD CPD 782, pg.19*
Page: _____

Record must include **Project Map*** *HUD CPD 782, pg.19*
Page: _____

Note: Certain Exempt and Categorically Excluded, Not Subject to 58.5 projects may not have a physical location.

Record must include **Release of Funds**
Page: _____

Date of Release of Funds: _____

Notes:

Exempt

Description: Exempt activities do not have to undertake any environmental review, consultation, or other action under NEPA. *24 CFR 58.34(a)*

Record must include **Certification of Exempt Project**
Page: _____

Categorically Excluded (CE)

Description: Categorically Excluded activities do not require an environmental impact statement or environmental assessment and finding of no significant impact under NEPA. *24 CFR 58.35(a)*

CE Subject to 58.5

Description: CE Subject to Sec. 58.5 projects are physical in nature, and alter environmental conditions in ways that trigger compliance with Federal laws *24 CFR 58.5*

Record must include a **Statement of Process and Status of Environmental Analysis** *HUD CPD 782, pg.19*
Page: _____

Record must include **Monitoring and Enforcement Procedures** (if applicable) *HUD CPD 782, pg.20*
Page: _____

Record should include and reference **other environmental analyses** (if applicable) *HUD CPD 782, pg.20*
Page: _____

Record should include and reference **other relevant correspondence and notifications** (if applicable) *HUD CPD 782, pg.20*
Page: _____

<input type="checkbox"/>	Record should include a list of all participants Page: _____	HUD CPD 782, pg.20	
<input type="checkbox"/>	Record should include a list of site visits and important meetings Page: _____	HUD CPD 782, pg.20	
<input type="checkbox"/>	Record must include a completed Statutory Checklist with supporting documentation Page: _____	24 CFR 58.5	
Note: An Activity determined not to require compliance can be classified as Subsequently Exempt (see below)			
<input type="checkbox"/>	Record must include a copy of the Notice of Intent to Request Release of Funds (NOI/RROF) Page: _____	24 CFR 58.70	
Exhibit ER 1: Proof of Combined Notice Publication Publication Date of NOI/RROF? _____			
<input type="checkbox"/>	Record must include the Request for Release of Funds (RROF) Page: _____	24 CFR 58.71	
Date of RROF Submission? _____			
<u>CE Subsequently Exempt</u>			
<i>Description:</i> CE Sub. Exempt projects are determined to have no circumstances which require compliance with the associated environmental laws and authorities.		24 CFR 58.34(a)(12)	
<input type="checkbox"/>	Record must include a Statement of Process and Status of Environmental Analysis Page: _____	HUD CPD 782, pg.19	
<input type="checkbox"/>	Record must include Monitoring and Enforcement Procedures (if applicable) Page: _____	HUD CPD 782, pg.20	
<input type="checkbox"/>	Record should include and reference other environmental analyses (if applicable) Page: _____	HUD CPD 782, pg.20	
<input type="checkbox"/>	Record should include and reference other relevant correspondence and notifications (if applicable) Page: _____	HUD CPD 782, pg.20	
<input type="checkbox"/>	Record should include a list of all participants Page: _____	HUD CPD 782, pg.20	
<input type="checkbox"/>	Record should include a list of site visits and important meetings Page: _____	HUD CPD 782, pg.20	

<input type="checkbox"/> Record must include a completed Statutory Checklist with supporting documentation Page: _____	24 CFR 58.5	
<input type="checkbox"/> Record must include Certification of Determination of Subsequent Exemption for a CE Project Page: _____	24 CFR 58.35(a)	
<u>CE Not Subject to 58.5</u>		
<i>Description:</i> CE Not Subject to 58.5 projects do not alter environmental conditions in ways that require a review under the Federal laws and authorities cited in Sec. 58.5.		
<input type="checkbox"/> Record must include completed 24 CFR Section 58.6 Requirements with supporting documentation Page: _____	24 CFR 58.6	
<input type="checkbox"/> Record must include a copy of the Certification of Categorical Exclusion Project Not Subject to 58.5 Page: _____		
<u>Environmental Assessment</u>		
<i>Description:</i> EA activities have the potential to significantly affect the environment.		
<input type="checkbox"/> Record must include a Statement of Process and Status of Environmental Analysis Page: _____	HUD CPD 782, pg. 19	
<input type="checkbox"/> Record must include a Description of Site and Environmental Context Page: _____	HUD CPD 782, pg. 19	
<input type="checkbox"/> Record must include an Analysis of Alternatives Page: _____	HUD CPD 782, pg. 19	
<input type="checkbox"/> Record must include an Analysis of Impacts and Mitigation Actions Page: _____	HUD CPD 782, pg. 19	
<input type="checkbox"/> Record must include Monitoring/Enforcement Procedures Page: _____	HUD CPD 782, pg. 20	
<input type="checkbox"/> Record should include and reference other environmental analyses (if applicable) Page: _____	HUD CPD 782, pg. 20	
<input type="checkbox"/> Record should include and reference other relevant correspondence and notifications (if applicable) Page: _____	HUD CPD 782, pg. 20	
<input type="checkbox"/> Record should include a list of all participants Page: _____	HUD CPD 782, pg. 20	
<input type="checkbox"/> Record should include a list of site visits and important meetings Page: _____	HUD CPD 782, pg. 20	

Community: _____

Grant Number: _____

Project Number: _____

Project Name: _____

Method(s) of Procurement Used: _____

General Requirements	Notes:
<input type="checkbox"/> Community must have written and adopted Local Procurement Code of Conduct 24 CFR 85.36(b) Exhibit PR 1: Local Procurement Code of Conduct <input type="checkbox"/> Community must provide full and open competition, and have criteria used to evaluate bids/quotes/proposals 24 CFR 85.36(c)	
<p><u>Small Purchases</u> <i>Description:</i> Small Purchases method can be used when procuring goods/services for less than \$50,000 24 CFR 85.36(d) ORC 307.86</p> <input type="checkbox"/> Community must acquire initial third party cost estimate for goods/services to be procured Exhibit PR 2a: Initial Cost Estimate Initial Estimate Price: _____ <input type="checkbox"/> Community must develop detailed specifications about the good/services to be procured 24 CFR 85.36(c)(3) Exhibit PR 2b: Specifications Developed Note: Construction contracts in excess of \$2,000 must include Federal Prevailing Wage Rates <input type="checkbox"/> Community must obtain price quotes from an adequate number of sources (3) 24 CFR 85.36(d)(1) Exhibit PR 2c: Quote Tabulation Sheet/Copies of Quotes Number of Quotes Obtained: _____ Were quotes specific enough to enable comparison? <input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Price of Selected Quote: _____ Selected Firm: _____ Date of Execution: _____	
<p><u>Competitive Sealed Bids</u> <i>Description:</i> Sealed Bids must be used when procuring construction services for \$50,000 or more, and price is primary factor. 24 CFR 85.36(d)(2) ORC 153.07</p> <p>Note: Contracts can be fixed price or cost reimbursement. Time and Materials contracts may be used if no other form is 24 CFR 85.36(d)(2)</p> <input type="checkbox"/> Community must acquire initial third party cost estimate for goods/services to be procured ORC 153.07	

Exhibit PR 3a: Initial Cost Estimate

Initial Estimate Price: _____

- Community must publish notice requesting submission of bids once a week for two weeks 24 CFR 85.36(d)(2)(ii)
ORC 153.07

Exhibit PR 3b: Published Bid Notice

Dates Published: _____ **and** _____

Exhibit PR 3c: Verification of Publication

Note: *Counties* may use online publication method outlined at ORC §307.97

- Community must open bids publically 24 CFR 85.36(d)(2)(ii)
ORC 153.08

Date of Bid Opening: _____

Location (e.g. city building, etc.): _____

- Community must maintain bid opening documentation ORC 153.08
Chapter 12.40(K)(6)

Exhibit PR 3d: Sign-in Sheets for Bid Opening

Exhibit PR 3e: Minutes for Bid Opening

- Community must tabulate/evaluate all submitted bids ORC 153.08

Exhibit PR 3f: Bid Tabulation/Evaluation Documentation

Total Bids Received: _____

- Community must award contracts within 60 days of the bid opening (unless extended by mutual consent) ORC 153.12(A)

- Community must execute a Notice of Award ORC 9.32
Chapter 12.40(N)(1)

Exhibit PR 3h: Notice of Award

Price of Awarded Contract: _____

Contracted Firm: _____

Date of Execution: _____

Competitive Proposals (RFP)

Description: Competitive Proposals may be used when conditions are not conducive to sealed bids or when procuring non-professional services for \$50,000 or more. Community may award contract to most responsible and responsive offeror. Price is a consideration, but not ORC 307.862

- Community must acquire initial third party cost estimate for services to be procured

Exhibit PR 4a: Initial Cost Estimate

Initial Estimate Price: _____

- Community must publish notice requesting submission of proposals once a week for two weeks. ORC 307.862(A)(4)

Exhibit PR 4b: Published Proposal Notice (RFP)

Dates Published: _____ **and** _____

Exhibit PR 4c: Verification of Publication

<input type="checkbox"/> Community must evaluate, perform a cost analysis, and rank each offer it receives. ORC 307.862(A)(6) Exhibit PR 4d: Proposal Evaluation, Cost Analysis, and Ranking Materials Total Proposals Received: _____ <input type="checkbox"/> Community must maintain a written statement explaining basis for award. ORC 307.862(E) Exhibit PR 4e: Award Explanation <input type="checkbox"/> Community must both the successful and unsuccessful ORC 307.862(E) Exhibit PR 4f: Award Correspondence <input type="checkbox"/> Price of Awarded Contract: _____ Contracted Firm: _____ Date of Execution: _____	
Qualifications Based Selection (RFQ)	
<i>Description:</i> Qualifications Based Selection can be used when procuring professional services (e.g. Architectural and Engineering Design, etc.) when price is not a selection factor. 24 CFR 85.36(d)(3)(v) ORC 153.67	
<input type="checkbox"/> Community must develop prequalification requirements and prequalify design firms. ORC 153.66 Exhibit PR 5a: Prequalification Requirements Exhibit PR 5b: Statement of Qualifications for each firm	
<input type="checkbox"/> Community must submit RFQ to prequalified firms and interested parties (e.g. trade associations, etc.) ORC 153.67 Exhibit PR 5c: RFQ and Dispersion List	
Note: If the estimated cost of A/E services is less than \$50,000, the community may select from its existing list of prequalified firms. To be considered, a firm's Statements of Qualifications must be updated within the preceding year. ORC 153.71(A)(1)	
<input type="checkbox"/> Community must evaluate and rank submissions ORC 153.69(A) Exhibit PR 5d: Qualification Evaluation and Ranking Materials Top 3 Qualified Firms: _____ _____ _____ Price of Awarded Contract: _____ Contracted Firm: _____ Date of Execution: _____	

Noncompetitive Proposals

Description: Noncompetitive Proposals can be used in situations where competitive procurement is inadequate (e.g. procuring non-profit services, sole-source provider, public emergency, etc.)

24 CFR 85.36(d)(4)

- Appropriate conditions for Noncompetitive Proposal

Exhibit PR 6a: Noncompetitive Proposal Justification

- Community *should* acquire initial cost estimate for goods/services to be procured

Exhibit PR 6b: Initial Cost Estimate

Initial Estimate Price: _____

Note: Communities using the noncompetitive proposals method of procurement are required to conduct a Cost Analysis; an initial estimate helps to inform this evaluation.

- Request for Application (RFA) must be submitted to non-profit firm when procuring administrative services

Policy Notice 01-01

Exhibit PR 6c: Request for Application (RFA) and Non-Profit Statement of Qualifications

- Community must obtain a proposal and perform a complete cost analysis

24 CFR 85.36(d)(4)(ii)

Exhibit PR 6d: Noncompetitive Proposal

Exhibit PR 6e: Cost Analysis and Verification

Price of Awarded Contract: _____

Contracted Firm: _____

Date of Execution: _____

Force Account

Description: Force Account labor can be used when local workforce is qualified to perform CDBG funded work

ORC 117.16

- Community must acquire initial third party cost estimate for services to be procured

ORC 117.16

Exhibit PR 7a: Initial Cost Estimate

Initial Estimate Price: _____

- Community must verify work is within local workforce duties

Was work performed within local workforce duties

- Yes No

- Community must complete Ohio Force Account Project Assessment Form to determine project cost

ORC 117.16

Exhibit PR 7b: Force Account Project Assessment Form

Estimated Total Project Cost: _____

<input type="checkbox"/> Community must verify that project cost is within Ohio Force Account limit Was project cost within Ohio Force Account limit? <input type="checkbox"/> Yes <input type="checkbox"/> No	ORC 5543.19 ORC 4939.01 ORC 723.52
Cooperative Purchasing	
<i>Description:</i> Allows local communities to buy goods/services through state contracts	ORC 125.04
Note: Federal requirements prohibit the use of in-state or geographical preferences. Grantee wishing to use cooperative purchasing are advised to contact the Department of Administrative Services (ODAS) to ensure no geographic preferences were used when evaluating/awarding an identified contract	24 CFR 85.36(c)(2)
<input type="checkbox"/> Community must acquire initial third party cost estimate for services to be procured Exhibit PR 8a: Initial Cost Estimate Initial Estimate Price: _____	
<input type="checkbox"/> Community must pass legislation, enroll, and pay fee to take part in Cooperative Purchasing Exhibit PR 8b: Cooperative Purchasing Legislation and authorization/membership documentation	ORC 125.04(B)(2)
<input type="checkbox"/> Community must maintain Quarterly Usage Report reflecting CDBG project cost Exhibit PR 8c: Quarterly Usage Report Exhibit PR 8d: Cooperative Purchasing Contract Documentation Price of Awarded Contract: _____ Contracted Firm: _____ Date of Execution: _____	ORC 125.04(B)(2)
Time and Materials Contracts	
<i>Description:</i> Time and Materials contracts provide for payment of direct labor hours at specified fixed hourly rates. Rates include wages, overhead, general and administrative expenses, and cost of materials.	24 CFR 85.36(b)(10)
<input type="checkbox"/> Community must determine project is not suitable for another contract type Exhibit PR 9a: Time and Materials Determination	24 CFR 85.36(b)(10)(i)
<input type="checkbox"/> Contract must include a ceiling price Contract Ceiling Price: _____ Contracted Firm: _____ Date of Execution: _____	24 CFR 85.36(b)(10)(ii)

Community: _____

Grant Number: _____

Project Number: _____

Project Name: _____

Contractor: _____

Price: _____

General Requirements

Notes:

- Community must retain a copy of project contract document

Exhibit CM 1: Executed Project Contract

Does contract scope of work match grant agreement

- Yes No

- Community must ensure contractor is not listed on federal Excluded Parties List Service (EPLS) *HUD Handbook 1344.1(5-4)*

Exhibit CM 2: EPLS Printout

- Plans must be reviewed and certified by state registered engineer/architect *Handbook 12.40(D)(1)(b)*

Page: _____ Date: _____

- Community Auditor must certify prior to contract execution that CDBG grant funds are available *ORC 5705.41*

Page: _____ Date: _____

- Community Prosecutor must review contract documents prior to Notice to Proceed *ORC 153.44*

Page: _____ Date: _____

- Community Chief Elected Officer (CEO) must execute the contract

Page: _____ Date: _____

- Community must execute Notice of Award *ORC 9.32 Handbook 12.40(N)(1)*

Page: _____ Date: _____

- Community must execute Notice to Proceed *ORC 153.12 Handbook 12.40(N)(2)*

Page: _____ Date: _____

Required Federal Provisions

Description: The following provisions must be included in contracts funded with CDBG funds. Parentheses denote threshold for *24 CFR 85.36(i)*

- Contract must include provisions pertaining to **Administrative, Contractual, and Legal Remedies for Instances of Breach of Contract** *24 CFR 85.36(i)(1)*
Page: _____

- Contract must include provisions pertaining to **Termination for Cause and Convenience (\$10,000)** *24 CFR 85.36(i)(2)*
Page: _____

- Contract must include provisions pertaining to **Equal Employment Opportunity (EEO) (\$10,000)** *24 CFR 85.36(i)(3)*
Page: _____

- Contract must include provisions pertaining to compliance with the **Copeland "Anti-Kickback" Act** *24 CFR 85.36(i)(4)*
Page: _____

<input type="checkbox"/>	Contract must include provisions pertaining to compliance with the Davis-Bacon Act (\$2,000) Page: _____	24 CFR 85.36(i)(5)	
<input type="checkbox"/>	Contract must include provisions pertaining to compliance with the Contract Work Hours & Safety Standards Act (\$2,000) Page: _____	24 CFR 85.36(i)(6)	
<input type="checkbox"/>	Contract must include provisions pertaining to Agency Reporting Requirements Page: _____	24 CFR 85.36(i)(7)	
<input type="checkbox"/>	Contract must include provisions pertaining to Patent Page: _____	24 CFR 85.36(i)(8)	
<input type="checkbox"/>	Contract must include provisions pertaining to Copyrights and Rights in Data Page: _____	24 CFR 85.36(i)(9)	
<input type="checkbox"/>	Contract must include provisions pertaining to Access to Records Page: _____	24 CFR 85.36(i)(10)	
<input type="checkbox"/>	Contract must include provisions pertaining to Records Retention (3 years) Page: _____	24 CFR 85.36(i)(11)	
<input type="checkbox"/>	Contract must include provisions pertaining to compliance with Clean Air Act (§306) and Clean Water Act (§508) Page: _____	24 CFR 85.36(i)(12)	
<input type="checkbox"/>	Contract must include provisions pertaining to Energy Efficiency Page: _____	24 CFR 85.36(i)(13)	

Standard Contract Provisions

Description: Provisions and/or certifications pertaining to the following areas should be included in all contracts, including CDBG

<input type="checkbox"/>	Non-Collusion Affidavit	Page(s): _____
<input type="checkbox"/>	Delinquent Tax Certification	Page(s): _____
<input type="checkbox"/>	Workers' Comp. Certification	Page(s): _____
<input type="checkbox"/>	Conflict of Interest Provisions	Page(s): _____
<input type="checkbox"/>	Applicable Permits	Page(s): _____
<input type="checkbox"/>	Supervision by Contractor	Page(s): _____
<input type="checkbox"/>	Claims Against Contractor	Page(s): _____
<input type="checkbox"/>	Subcontracting	Page(s): _____
<input type="checkbox"/>	Affirmative Action Requirements	Page(s): _____
<input type="checkbox"/>	Work Completion Guarantees	Page(s): _____
<input type="checkbox"/>	Work Completion Deadline/Time	Page(s): _____
<input type="checkbox"/>	Amount/Payment Process	Page(s): _____
<input type="checkbox"/>	Inspections	Page(s): _____
<input type="checkbox"/>	Insurance	Page(s): _____
<input type="checkbox"/>	Liquidation and Damages	Page(s): _____
<input type="checkbox"/>	Changes to Scope of Work	Page(s): _____

Bonding

Contractors bidding on CDBG construction projects must provide evidence of appropriate bonding (Competitive Sealed Bids projects only) 24 CFR 85.36(h)
OCR 153.54

Bid Bond: Bond (100%) ORC 153.54(A)(2)
 Letter of Credit (10%)
 Cashiers Check (10%)

Page: _____

Performance Bond: Bond (100%) 24 CFR 85.36(h)(2)

Page: _____

Payment Bond: Bond (100%) 24 CFR 85.36(h)(3)

Page: _____

Pre-Construction Conference **Date:** _____

Description: After the project has been awarded, a conference should be held with the contractor to review CDBG requirements, construction details, timelines, etc. Handbook 12.40(L)(2)

Community must maintain documentation from the Pre-Construction Conference

Exhibit CM 3: Pre-Construction Conference Agenda
Exhibit CM 4: Pre Construction Conference Minutes
Exhibit CM 5: Pre-Construction Conference Sign-In Sheet

Change Orders

Community must maintain all executed change orders with the contract and executed by CEO and Contractor ORC 153.62

Exhibit CM 6: Executed Change Orders

Inspection Reports/Punchlist

Description: A punchlist is used when a project is "substantially complete" and ready for a final inspection Handbook 12.40(Q)(1)

Project must be inspected prior to final sign-off

Exhibit CM 7: Completed Punchlist
Date of Inspection: _____

Interagency Agreements/MOUs

Description: Interagency Agreements and/or Memoranda of Understanding (MOUs) are used for obtaining goods/services or non-monetary cooperation between agencies Managing CDBG Handbook

Community must retain executed copies of any Interagency Agreements/MOUs

Exhibit CM 8: Executed Interagency Agreement/MOU

Community: _____

Grant Number: _____

Project Number: _____

Project Name: _____

Administration	Notes:
<input type="checkbox"/> Community must designate Labor Standards Compliance Officer (LCO) who is local government employee <small>HUD Handbook 1344.1(5-3)(B)</small> LCO: _____	
<u>Wage Decision</u> <input type="checkbox"/> Community must have a full copy of Federal Wage Decision, printed prior to bid advertisement <small>HUD Handbook 1344.1(5-3)(B)</small> <input type="checkbox"/> Community must check wage rates no more than ten (10) days prior to bid opening <small>29 CFR 1.6(a)(2)(i)(A)</small> Date of Bid Opening: _____ Date Verified: _____ Wage Decision #: _____ Exhibit LS 1a: Complete Wage Decision (within 10 days of opening) Note: If wage rates change, Community must adjust bid specs at least 72 hours prior to due date (Exhibit LS 1b) <small>ORC 153.12(A)</small>	
<u>Labor Standards Compliance</u> <input type="checkbox"/> Community must collect certified weekly payroll reports from contractors (prime- and sub-contractor) <small>24 CFR 3.3(b)</small> Exhibit LS 2: Weekly Payroll Reports <input type="checkbox"/> Community must regularly review payroll against wage decision and initial <small>HUD Handbook 1344(5-8)</small> <input type="checkbox"/> Community must conduct site visits and worker interviews <small>HUD Handbook 1344(5-8)(C)</small> Exhibit LS 3: On-Site Labor Interview Form (HUD-11) <input type="checkbox"/> Community must ensure PWR and Employee Rights posters are posted at job site <small>HUD Form 4010(A-1)</small> Exhibit LS 4: Documentation of Job Site Posters (e.g. pictures, certification, etc.) <input type="checkbox"/> Community must document/address any deficiencies uncovered through payroll review or site visits <small>HUD Handbook 1344(5-11)</small> Were any deficiencies found? <input type="checkbox"/> Yes <input type="checkbox"/> No *If Yes , was appropriate action to address the identified deficiencies (include as Exhibit LS 5)?	

Community: _____

Grant Number: _____

Project Number: _____

Project Name: _____

Residential Anti-Displacement and Relocation Assistance Plan

Description: A plan is required by all grantees prior to funding, whether or not Demolition/Conversion activities are planned. This plan outlines grantee's process for ensuring replacement of affordable housing units and providing relocation assistance to displaced households.

24 CFR 42.325

Notes:

Exhibit AR 1: Acquisition/Relocation Assistance Plan
Date of Adoption: _____

Temporary Relocation of Tenants

Description: Projects involving temporary (up to 12 months) relocation of **TENANTS** must comply with Uniform Relocation Act (URA) regulations

49 CFR
24.2(a)(9)(ii)(D)
Handbook 1378

- Community must ensure **TENANTS** are afforded reasonable opportunity to lease/occupy replacement units and have access to relocation assistance

Were any **TENANTS** temporarily relocated as a result of the CDBG project?

- Yes No

Number of Households: _____

Temporary Relocation of Owner-Occupants

Description: URA Regulations do not require communities to provide relocation assistance to **OWNER-OCCUPANTS** (unless Lead Paint Mitigation is required); however communities may opt to

49 CFR 24.301-2
Handbook 378
Chap. 3

- Relocation benefits for **OWNER-OCCUPANTS** must be codified in Relocation Assistance Plan

Were any **OWNER-OCCUPANTS** temporarily relocated as a result of the CDBG project?

- Yes No If "No" skip to the next section

Were **OWNER-OCCUPANTS** offered relocation benefits?

- Yes No

Number of Households: _____

Temporary Relocation Notices

Description: Community must ensure households receive adequate notification about temporary relocation and available benefits.

49 CFR 24.203
Handbook 1378
Chap. 2

Individual files should be maintained for each household.

- Community must ensure appropriate notices are provided to households subject to relocation

Exhibit AR 2a: General Information Notice (GIN)
Date of Receipt: _____

Exhibit AR 2b: Disclosure of Temporary Relocation Benefits

Date of Receipt: _____

Exhibit AR 2c: 90-Day Notice

Date of Receipt: _____

- Community must ensure households receive proper benefits, as outlined in Relocation Assistance Plan

Exhibit AR 2d: Comprehensive Project Benefit List

Permanent Displacement

Description: Projects involving permanent displacement of households must comply with Uniform Relocation Act (URA) and Housing and Community Development Act §104(d) regulations

49 CFR 24.2(a)(9)
Handbook 1378
Chap. 1

- Community must ensure displaced households have access to comparable replacement units and relocation

Were any households displaced as a result of the CDBG project?

- Yes** **No** If "No" skip to the next section

Total Number of Households: _____

Number of LMI Households: _____

Note: Displacement benefits and eligibility differs between the URA and HCD regulations. HCD deals exclusively with LMI.

Permanent Displacement Notices

Description: Community must ensure households receive adequate notification about displacement and available benefits. An **Individual** file should be maintained for each household.

49 CFR 24.203
Handbook 1378
Chap. 2

- Community must ensure appropriate notices are provided to households subject to displacement

Exhibit AR 3a: General Information Notice (GIN)

Date of Receipt: _____

Exhibit AR 3b: Move-In Notice (for new households)

Date of Receipt: _____

Exhibit AR 3c: Notice of Non-Displacement

Date of Receipt: _____

Exhibit AR 3d: Notice of Eligibility

Date of Receipt: _____

Exhibit AR 3e: 90-Day Notice

Date of Receipt: _____

Exhibit AR 3f: Waiver of Relocation Benefits

Date of Receipt: _____

Relocation/Displacement Assistance

Description: Households temporarily relocated or displaced are eligible for benefits under URA and/or 104(d).

49 CFR 24.202

- URA and 104(d) benefit eligibility is tied to income; Income documentation for affected households must be collected.

Exhibit AR 4a: Income Documentation

- Communities providing Advisory Service must retain documentation for households assisted (e.g. Lists of Referral Units, etc.)

49 CFR 24.205

Exhibit AR 4b: Advisory Service Documentation

- Community providing Housing Assistance Payments must retain payment calculation documentation

49 CFR 24.401-4 Handbook 1378 Chap. 3

Exhibit AR 4c: Housing Assistance Calculation

Note: Calculation should indicate whether benefits were paid in accordance with URA or 104(d)

- Community providing Moving Expense Assistance must retain documentation for households assisted

49 CFR 24.301-24.503

Exhibit AR 4d: Moving Reimbursement Documentation
Exhibit AR 4e: Moving Allowance Rate Documentation

One-For-One Replacement

Description: Occupied or Vacant Occupiable LMI Dwelling Units that are Demolished or Converted with CDBG assistance must be replaced so as to preserve the available affording housing stock.

24 CFR 42 Handbook 1378 Chap.7

- Community must determine if dwelling units to be demolished are affordable/low-income units

Exhibit AR 5a: Barney Frank Worksheet & Supporting Documentation

Units Demolished: _____ **LMI Units:** _____

Note: A Barney Frank worksheet should be completed for each unit demolished (unless unit is vacant and unoccupiable)

- Community must make preliminary information about project public prior to executing contracts

Exhibit AR 5b: Project Description
Exhibit AR 5c: Location Map of Affected LMI Units
Exhibit AR 5d: Project Schedule
Exhibit AR 5e: Location Map of Replacement Units
Exhibit AR 5f: Source of Funds for Replacement Units
Exhibit AR 5g: Timeline for Replacement Units
Exhibit AR 5h: 10-Year Affordability Documentation

<p>Exception to One-For-One Replacement <i>Description:</i> Communities with ample vacant affordable housing units may request an exception to replacement requirement</p> <p><input type="checkbox"/> Communities pursuing a replacement waiver must submit request to OCD for review prior to contract execution</p> <p>Exhibit AR 5i: Replacement Waiver Request and Approval Date of Request: _____ Date of Approval: _____ Date of Contract: _____</p> <p>Demolition of Vacant Unoccupiable Dwelling Units <i>Description:</i> Dwelling units determined to be vacant and unoccupiable need not be replaced</p> <p><input type="checkbox"/> Community must provide documentation that dwelling unit has been vacant for 3 months, has pre-rehab value of less than \$10,000, and is substandard/unfit for human habitation</p> <p>Exhibit AR 5j: Vacancy Documentation Exhibit AR 5k: Pre-Rehab Value Exhibit AR 5l: Substandard Condition Documentation</p>	<p>24 CFR 42 Subpart C 42.375-42.390</p> <p>24 CFR 42.375</p>	
<p>Acquisition of Real Property <i>Description:</i> Acquisition of Property (e.g. real estate, easements) in projects funded by CDBG require compliance with URA. HCD §104(d) only applies when a project involves demolition/conversion.</p> <p>Fair Market Price Determination <i>Description:</i> The property acquisition process requires the seller be notified of the Fair Market Price (FMP) of the property</p> <p><input type="checkbox"/> Community must solicit qualified real estate expert to determine FMP and maintain calculation documentation</p> <p>Exhibit AR 6: FMP Determination</p> <p>Voluntary Acquisition <i>Description:</i> Acquisition where buyer lacks power of eminent domain or agrees not to exercise power. An Individual file should be maintained for each property.</p> <p><input type="checkbox"/> Buyer (e.g. community, organization) must provide notice stipulating eminent domain will not/cannot be exercised</p> <p>Exhibit AR 7a: Eminent Domain Notification</p> <p><input type="checkbox"/> Buyer must provide notice of Fair Market Price (FMP)</p> <p>Exhibit AR 7b: FMP Notification</p> <p><input type="checkbox"/> Buyer must provide notice that voluntary seller is not eligible for benefits under URA (buyers W/O Eminent Domain power)</p> <p>Exhibit AR 7c: URA Benefit Ineligibility Notice</p>	<p>49 CFR 24.201(b)(1)-(5) Handbook 1378 Chap. 5</p> <p>49 CFR 24.201(b)(1)(iv) & (b)(2)(ii)</p> <p>49 CFR 24.101(b)(1) & (b)(2)</p> <p>49 CFR 24.101(b)(1)(iii)</p> <p>49 CFR 24.101(b)(iv)</p> <p>49 CFR 24.2(a)(9)(ii)</p>	

Property Donation

Description: Property can be donated for CDBG projects, but owner must be made aware of rights under URA. An **Individual** file should be maintained for each property.

49 CFR 24.108
Handbook 1378
Chap. 5

- Community must provide donor with notice of rights under URA and donor must acknowledge and relinquish

Exhibit AR 8a: Notice of Rights Under URA
Exhibit AR 8b: Donor Waiver of Rights Under URA

Involuntary Property Acquisition

Description: Acquisition that takes place under threat of or directly through condemnation (eminent domain). An **Individual** file should be maintain for each property.

49 CFR 24.101(a) &
(b)

- Community must identify property/properties that need to be acquired and collect basic information.

Exhibit AR 9a: Property Selection Documentation

Note: Community may contact property owner to collect information about target properties; however owners **should not** be informed of desire to purchase at this point.

49 CFR 24.102(b)

- Community must issue Notice to Owner outlining URA benefits

49 CFR 24.203(d)

Exhibit AR 9b: Notice to Owner
Date of Notice: _____

- Community must appraise/determine just compensation. Owner is allowed to accompany the appraiser.

49 CFR 24 Appendix
A

Exhibit AR 9c: Invitation to Accompany Appraiser
Exhibit AR 9d: Appraisal/Just Compensation Determination
Report Prepared By: _____
Report Reviewer: _____

Note: Appraisers should be procured using professional RFQ process. Materials should be organized using File Guides

49 CFR 24.
102-104

- Community must prepare and submit an offer to purchase

49 CFR 24.102(e)

Exhibit AR 9e: Statement of Basis for Determining Just Compensation

49 CFR 24.102(d)

Date of Notice: _____

Exhibit AR 9f: Written Offer to Purchase

49 CFR 24.102(e)

Date of Notice: _____

Exhibit AR 9g: Notice of Intent to Displace (Inhabited Units)

49 CFR 24.2(a)(9)(i)

Date of Notice: _____

- Community must prepare, execute, and maintain contracts for properties if settlement can be reached

49 CFR 24.102(i-j)

Exhibit AR 9h: Statement of Settlement Costs



Visit Date: _____ Community: _____

Grant Number: _____ Grant Amount: _____ Amount Drawn: _____

Project Deadline: _____ Draw Deadline: _____ FPR Date: _____

Amendments: _____ Extensions: _____

Grantee Risk Profile

1) New Administrative Employees	Y	N	Notes:
2) Grant included Neighborhood Revitalization award	Y	N	
3) No Community Development Award in previous year	Y	N	
4) Previous Significant Monitoring Findings	Y	N	
5) Returned Funds/Budget	Y	N	
6) Documented Citizen Complaints	Y	N	
7) Issues with Reports, Amendments, Extensions, etc.	Y	N	
8) Compliance Issues Identified for Other Programs	Y	N	
9) Other Issues Identified During Grant Period	Y	N	

Activity Information:

Activity Type (Street Improvement, Community Center, Home Repair)	CDBG Funds	National Objective	Ext/Am Required	Issues	Selected For Review
1.					
2.					
3.					
4.					
5.					
6.					
7.					
8.					
9.					
10.					
11.					
12.					
Fair Housing					
Administration					

2015 Project Selection Requirements

Field Staff should attempt to review all of a jurisdiction's completed and open grants during a monitoring visit. Field Staff should conduct Level 1 Reviews for at least one (1) project from each grant record. Field Staff is required to review each compliance area (when applicable) at least once for each grant to ensure the monitoring is representative of the community's performance. Field Representatives are also encouraged to conduct Level 2 Reviews (time permitting) and provide technical assistance to local staff.

When selecting between multiple potential projects, Field Staff should consider factors like the amount of CDBG funds committed to the project, the total project cost (CDBG and leveraged sources), the type of project (i.e. street improvement, senior center, etc.), and approved amendments and/or extensions. Field Staff should complete the Monitoring Tool's Project Prioritization Worksheet, select the project's to be reviewed, and print out the required Monitoring Tool sections prior to the monitoring visit.

Compliance Areas To Be Monitored

General Grant Areas	Monitored		Specific Areas	Monitored		Project Number(s)
	Y	N		Y	N	
Administration	Y	N	National Objective	Y	N	
Citizen Participation	Y	N	Environmental Review	Y	N	
Financial Management	Y	N	Procurement	Y	N	
Grant Management System	Y	N	Construction Management	Y	N	
Fair Housing	Y	N	Labor Standards	Y	N	
			Acquisition/Relocation	Y	N	
			FM Balance Sheet	Y	N	

Monitoring Selection Narrative

Notes and Concerns:

Local Agency/Consultant Staff

Name	Position	CDBG Roles

Reviewer Name: _____

Signature: _____

<p>Administrative Service Contracts</p> <p>Is there an administrative contract on file? Is the administrative contract signed and dated? Date of Execution: _____</p> <p>Amount of Executed Contract: _____</p> <p>Does the administrative contract include the scope of work? Does the administrative contract have a termination clause? Does the administrative contract describe the payment method? Are there invoices on file? Are there cancelled checks or equivalent on file?</p>	<p>M U N/A M U N/A M U N/A M U N/A M U N/A M U N/A M U N/A</p>
<p>Administrative Procurement: Equipment & Supplies</p> <p><input type="checkbox"/> Small Purchases Was method appropriate (<\$50,000)? Did community develop specifications for equipment/supplies it procured? Did community obtain quotes from an "adequate" number of sources? Number of Quotes Received: _____</p>	<p>M U N/A M U N/A M U N/A M U N/A M U N/A</p>
<p><input type="checkbox"/> Competitive Proposals (RFP) (Preferred Method) Did the community issue an RFP? Did advertisement identify the community/organization requesting proposals? Did advertisement include instructions for submitting proposals? Did advertisement include a scope of work? Did advertisement identify and rank evaluation factors? Did advertisement include a deadline for submitting proposals? Did advertisement identify and rank evaluation factors? Was notice published once a week for two weeks prior to deadline? Dates of Publication: _____ Date of Opening: _____</p>	<p>M U N/A M U N/A</p>
<p>Note: Communities may substitute online notice for its second newspaper notice Number of Proposals Received: _____ Did community evaluate/rank proposals and maintain documentation? Did community submit a written notice to the offeror it wishes to contract with? Did community submit written notices to unsuccessful offerors?</p>	<p>M U N/A M U N/A M U N/A</p>

Community: _____

Grant Number: _____

General Information		Notes:
Do files contain community's Citizen Participation Plan, updated within past 5 years?		
Was there a separate file designated to maintain citizen complaints? Date of Last Update: _____		M U
Is there a copy of the community's Citizen Complaint Policy?		M U
Were any questions or complaints received?		M U
If complaints were received, did community respond within 15 days?		M U N/A
Were local jurisdictions solicited for projects at least 30 days prior to application deadline (<i>counties only</i>)?		M U N/A
Were there documented criteria for evaluating/selecting projects?		M U
First Public Hearing		
Date: _____		
Was there a public notice published for the first public hearing?		M U
<input type="checkbox"/> OCD Alternative Methods		
Date of Notice: _____		
Was the notice for the 1st public hearing posted 10 days prior to the meeting?		M U
Did the notice for the 1st public hearing include funding sources and amounts?		M U
Was there a sign-in sheet from the 1st public hearing?		M U
Were there minutes from the 1st public hearing?		M U
Second Public Hearing		
Date: _____		
Was there a notice published for the second public hearing?		M U
<input type="checkbox"/> OCD Alternative Methods		
Date of Notice: _____		
Was the notice for the 2nd public hearing posted 10 days prior to the meeting?		M U
Did the notice include location of selected projects and dollar amounts?		M U
Did the notice include the national objective for each project?		M U
Was there a sign-in sheet from the 2nd public hearing?		M U
Were there minutes from the 2nd public hearing?		M U
Amendment Public Hearing		
Date: _____		
Was there a notice published for the amendment public hearing?		M U N/A
<input type="checkbox"/> OCD Alternative Methods		
Date of Notice: _____		
Was notice for the amendment hearing posted 10 days prior to the meeting?		M U N/A
Was there a sign-in sheet from the amendment public hearing?		M U N/A
Were there minutes from the amendment public hearing?		M U N/A

Community: _____

Grant Number: _____

Financial Management Records		Notes:
Does the grantee have a Chart of CDBG Accounts	M	
Does the grantee maintain a cash receipts journal?	U	
Does the receipts journal indicate all funds received?	M	
Does the receipts journal indicate the source of funds received?	M	
Does the receipts journal indicate the date the funds were received?	M	
Does the receipts journal indicate the activity the funds were received against?	M	
Does the grantee maintain a cash disbursement journal?	M	
Does the disbursement journal indicate check numbers?	M	
Does the disbursement journal indicate the date of the check?	M	
Does the disbursement journal indicate the vendor name?	M	
Does the disbursement journal indicate the check amount?	M	
Does the disbursement journal indicate the grant activity disbursed against?	M	
Does the grantee maintain a general ledger?	M	
Does the ledger include all activities awarded in the Attachment A?	M	
Does the ledger include the total funds expended to date against each activity?	M	
Does the ledger include the activity balances?	M	
Was a project summary journal used (only for individual activities within projects)?	M	
Does the grantee have all federal funds deposited in a non-interest bearing account?	M	N/A
Does the grantee maintain a separate journal for Program Income?	M	N/A
Were all federal program income funds maintained in an interest bearing account?	M	N/A
Expenditure Testing		
Are there variances from the approved budget that are outside OCD policy?	M	U
Are there variances from the way the funds were drawn for the grant?	M	U
Are there any fifteen day rule violations?	M	U
Is the number of days to deposit greater than 14?	M	U
Did grantee sign grant agreement prior to disbursing CDBG funds?	M	U
Did grantee receive ERR prior to disbursing CDBG funds?	M	U
Did the grantee satisfy any special conditions prior to disbursing CDBG funds?	M	U
Source Documentation & Cost Allocability Test: General	M	N/A
Do all expenditures appear to be supported by proper source documentation?	M	U
Did grantee adhere to OCD policy regarding reimbursement costs?	M	U
Does the grantee have documentation that goods/services are allowable expenditures?	M	U
Does the grantee have a voucher/invoice which includes a clear, complete and detailed description fo the goods or services purchased?	M	U
Does the grantee have a detailed cost breakdown of the goods/services being purchased and the source of funds to pay for each of the costs listed?	M	U
Does the grantee have evidence that reimbursable costs were paid from another source?	M	U
Are vouchers/purchase orders coded with grant and account numbers?	M	U

Financial Management Monitoring Tool

Source Documentation & Cost Allocability Test: Administration			
Are all administrative contracts codified?		M	N/A
Does contract include maximum obligations and method for compensation?		M	N/A
Are time sheets used to document all payroll charges and are they approved?		M	N/A
Is there documentation showing time, purpose, points of travel along with the total cost and approval signature for all travel expenses?		M	N/A
Do all invoices include a description of services or goods purchased?		M	N/A
Have any expenditures been charged for entertainment, fines & penalties, contributions and donations or other ineligible costs?		M	N/A
Indirect Costs			
Does the grantee charge indirect costs to the grant?		M	N/A
Does the grantee have an approval letter from OCD for indirect costs?		M	N/A
Property Management			
Are there records of all property purchased with OCD funds?		M	N/A
Do records include:		M	N/A
A description of the property		M	N/A
A serial number		M	N/A
The acquisition date		M	N/A
The total cost		M	N/A
The unit cost		M	N/A
Location		M	N/A
Is there a disposition plan for all applicable equipment?		M	N/A
Is the inventory list updated on a yearly basis?		M	N/A
Is there prior approval for all purchases over \$5,000.00?		M	N/A
Internal Controls			
Individual Responsible for Issuing Checks:	_____		
Position:	_____		
Are signature stamps maintained in a secure location		M	N/A
Are checks used consecutively?		M	N/A
Are missing checks accounted for?		M	N/A
Are blank checks signed before use?		M	N/A
Are checks kept in a secure location?		M	N/A
Are checks properly voided?		M	N/A
How many signatures are required to approve vouchers?	_____		
How many signatures are required to sign checks?	_____		
Does community segregate financial duties?		M	N/A
If financial records are not computerized, are they maintained in pen?		M	N/A
Drawdown Materials			
Are copies of Drawdown Forms maintained?		M	N/A
Are copies of signature and depository cards maintained?		M	N/A
Is a copy of the executed Direct Deposit Agreement maintained?		M	N/A
Loan Servicing			
Are copies of Loan Servicing Agreements Maintained?		M	N/A

Community: _____

Grant Number: _____

General Compliance Areas

	Not Monitored	Monitored	Response Required	Notes:
Administration				
Citizen Participation				
Financial Management <input type="checkbox"/> General FM <input type="checkbox"/> Project Specific				
Grant Management System				
Fair Housing				

Project-Specific Compliance Areas

Project #: _____

Project Name: _____

	Not Monitored	Monitored	Response Required	Notes:
National Objective				
Environmental Review				
Procurement/ Contract Management				
Labor Standards				
Acquisition/Relocation				

**CDBG Monitoring Tool
Exit Interview Form**

Project #: _____ **Project Name:** _____

	Not Monitored	Monitored	Response Required	Notes:
National Objective				
Environmental Review				
Procurement/ Contract Management				
Labor Standards				
Acquisition/Relocation				

Project #: _____ **Project Name:** _____

	Not Monitored	Monitored	Response Required	Notes:
National Objective				
Environmental Review				
Procurement/ Contract Management				
Labor Standards				
Acquisition/Relocation				

Project #: _____ **Project Name:** _____

	Not Monitored	Monitored	Response Required	Notes:
National Objective				
Environmental Review				
Procurement/ Contract Management				
Labor Standards				
Acquisition/Relocation				

General Notes/Concerns:

Required/Outstanding Materials:

Office of Community Development Staff

Name _____ Position: _____ Signature: _____
 Name _____ Position: _____ Signature: _____

Local Representatives/Agency Staff

Name _____ Position: _____ Signature: _____
 Name _____ Position: _____ Signature: _____
 Name _____ Position: _____ Signature: _____

Note: Additional materials and/or information may be required based upon further OCD review



Community: _____

Grant Number: _____

Project Number: _____ Project Name: _____

National Objective _____

LMI Area-Wide: Census	Notes:	
Was activity completed in area pre-qualified at application approval?		M U
LMI Area-Wide: Income Survey		
Is there a survey summary sheet compliant to OHCP Policy 08-03		M U
Does the grantee have the correct HUD Section 8 Income Limits?		M U
Does the grantee have the individual survey sheets?		M U
Is the income survey's methodology (randomization and sample size) documented and correct?		M U
Total Households in Service Area:		
Households in Income Survey: _____		
LMI% Determined By Survey: _____		
LMI Limited Clientele		
It is a limited clientele project?		M U
Limited Clientele Class: _____		
If not a presumed limited clientele class, was documentation maintained to income qualify?		M U
LMI Direct Benefit		
NOTE: Please complete Direct Benefit National Objective Worksheet		
Slum Blight: Spot		
Is the building condition survey on file?		M U
Is the certification of slum and blighting conditions for building improvements on file?		M U
Signatory: _____		
Title: _____		
Date: _____		
Slum Blight: Area		
Are the applicable building/infrastructure condition surveys on file?		M U
Is the certification of slum and blighting conditions for buildings/infrastructure on file?		M U
Signatory: _____		
Title: _____		
Date: _____		

Note: M indicates grantee met CDBG requirements and U indicates requirements were unmet



Community: _____ Grant Number: _____

Project Number: _____ Project Name: _____

<p>Local Policy and Procedures</p> <p>Does the community have a method to select beneficiaries (e.g. first come/serve, priority, etc.)?</p> <p>Did the community appropriately use this method when selecting beneficiaries?</p> <p>Did grantee maintain a list of assisted households?</p> <p>Did the community maintain Income Verification Documentation?</p> <p>Did the community have applicable Section 8 Income Limits for the project?</p> <p>Did the community have suitable method for defining income (e.g. IRS)</p>	M	U	<p>Notes:</p> <p>_____</p> <p>_____</p> <p>_____</p> <p>_____</p> <p>_____</p> <p>_____</p>
	M	U	
	M	U	
	M	U	
	M	U	
	M	U	
	M	U	

Client Information

Name: _____

Co-Applicant: _____

Address: _____

Household Size: _____

Income: _____

Section 8: _____

Completed Application: _____ Correct

Income Documentation: _____ Y N

Proof of Ownership: _____

Name: _____

Co-Applicant: _____

Address: _____

Household Size: _____

Income: _____

Section 8: _____

Completed Application: _____ Correct

Income Documentation: _____ Y N

Proof of Ownership: _____

Name: _____

Co-Applicant: _____

Address: _____

Household Size: _____

Income: _____

Section 8: _____

Completed Application: _____ Correct

Income Documentation: _____ Y N

Proof of Ownership: _____

Name: _____

Co-Applicant: _____

Address: _____

Household Size: _____

Income: _____

Section 8: _____

Completed Application: _____ Correct

Income Documentation: _____ Y N

Proof of Ownership: _____

Name: _____

Co-Applicant: _____

Address: _____

Household Size: _____

Income: _____

Section 8: _____

Completed Application: _____ Correct

Income Documentation: _____ Y N

Proof of Ownership: _____

Note: M indicates grantee met CDBG requirements and U indicates requirements were unmet

Environmental Review/Statutory Checklist Monitoring Tool

Community: _____

Grant Number: _____

Project Number: _____ Project Name: _____

ER Level: _____

Standard Statutory Checklist

<p>Is there a narrative describing the determination made for Historic Properties?</p>	<p>M U</p>	<p>_____</p>	<p>_____</p>
<p>Is there supporting documentation for the Historic Properties conclusion? <i>Documentation:</i> 1) Reference to PA with OHPO, or 2) letter to OHPO; OHPO response; archaeology/architecture report (if applicable); if adverse effect - MOA, correspondence with ACHP, other related correspondence.</p>	<p>M U N/A</p>	<p>_____</p>	<p>_____</p>
<p>Is there a narrative describing the determination made for Floodplain Management?</p>	<p>M U</p>	<p>_____</p>	<p>_____</p>
<p>Is there supporting documentation for the Floodplain Management conclusion? <i>Documentation:</i> FEMA Flood Insurance Rate Map that indicates project location; evidence of compliance with HUD's 8-step decision making process, if applicable (e.g. two public notices, analysis of alternatives, etc.)</p>	<p>M U N/A</p>	<p>_____</p>	<p>_____</p>
<p>Is there a narrative describing the determination made for Wetland Protection?</p>	<p>M U</p>	<p>_____</p>	<p>_____</p>
<p>Is there supporting documentation for the Wetland Protection conclusion? <i>Documentation:</i> National Wetlands Inventory Map; soil data; evidence of compliance with HUD's 8-step decision making process, if applicable (e.g. two public notices, analysis of alternatives, etc.); US Army Corps of Engineers correspondence/Section 404 Permit/401 Water Quality Certification/Isolated Wetland Permit (if applicable)</p>	<p>M U N/A</p>	<p>_____</p>	<p>_____</p>
<p>Is there a narrative describing the determination made for Noise?</p>	<p>M U</p>	<p>_____</p>	<p>_____</p>
<p>Is there supporting documentation for the Noise conclusion? <i>Documentation:</i> Map indicating distance to major roads/railroads/airports; Noise analysis (if applicable)</p>	<p>M U N/A</p>	<p>_____</p>	<p>_____</p>
<p>Is there a narrative describing the determination made for Air Quality?</p>	<p>M U</p>	<p>_____</p>	<p>_____</p>
<p>Is there supporting documentation for the Air Quality conclusion? <i>Documentation:</i> e.g. "Non-attainment" data; asbestos compliance documentation (survey report, OEPA Notification of Demolition and Renovation form, etc.); air permit to install and operate</p>	<p>M U N/A</p>	<p>_____</p>	<p>_____</p>
<p>Is there a narrative describing the determination made for Thermal/Explosive Hazards?</p>	<p>M U</p>	<p>_____</p>	<p>_____</p>
<p>Is there supporting documentation for the Thermal/Explosive Hazards conclusion? <i>Documentation:</i> e.g. data regarding nearby EPA-regulated facilities; ODNR Oil and Gas map; photos/maps associated with site visit; Acceptable Separation Distance calculation (if applicable)</p>	<p>M U N/A</p>	<p>_____</p>	<p>_____</p>
<p>Is there a narrative describing the determination made for Sole Source Aquifers?</p>	<p>M U</p>	<p>_____</p>	<p>_____</p>
<p>Is there supporting documentation for the Sole Source Aquifers conclusion? <i>Documentation:</i> Ohio EPA Sole Source Aquifers map; reference to MOU between ODOD/HUD and USEPA; correspondence with USEPA (if applicable)</p>	<p>M U N/A</p>	<p>_____</p>	<p>_____</p>
<p>Is there a narrative describing the determination made for Toxic Chemicals/Radioactive Materials?</p>	<p>M U</p>	<p>_____</p>	<p>_____</p>
<p>Is there supporting documentation for the Toxic Chemicals/Radioactive Materials conclusion? <i>Documentation:</i> e.g. data regarding nearby EPA-regulated facilities; photos/maps associated with site visit; Phase I ESA results (if applicable)</p>	<p>M U N/A</p>	<p>_____</p>	<p>_____</p>
<p>Is there a narrative describing the determination made for Coastal Zone Management?</p>	<p>M U</p>	<p>_____</p>	<p>_____</p>

Environmental Review/Statutory Checklist Monitoring Tool

<p>Is there supporting documentation for the Coastal Zone Management conclusion? <i>Documentation:</i> Map that indicates project location in relation to the designated Coastal Management Area; evidence of coordination with ODNR Office of Coastal Management (if applicable)</p>	M	U	N/A
<p>Is there a narrative describing the determination made for Farmland Protection?</p>	M	U	
<p>Is there supporting documentation for the Farmland Protection conclusion? <i>Documentation:</i> USGS map; soil map (if site is outside an urban area); Farmland Conversion Rating Form (if applicable); correspondence with County Natural Resource Conservation Service (if applicable)</p>	M	U	N/A
<p>Is there a narrative describing the determination made for Wild and Scenic Rivers?</p>	M	U	
<p>Is there supporting documentation for the Wild and Scenic Rivers conclusion? <i>Documentation:</i> ODNR Scenic Rivers map; correspondence with ODNR Scenic Rivers contact (if applicable)</p>	M	U	N/A
<p>Is there a narrative describing the determination made for Endangered Species?</p>	M	U	
<p>Is there supporting documentation for the Endangered Species conclusion? <i>Documentation:</i> US Fish and Wildlife county endangered species list; ODNR Biodiversity Database data (if applicable); correspondence with USEFS (if applicable)</p>	M	U	N/A
<p>Is there a narrative describing the determination made for Runway Clear Zones?</p>	M	U	
<p>Is there supporting documentation for the Runway Clear Zones conclusion? <i>Documentation:</i> For new construction, substantial rehab of an existing structure, or acquisition of undeveloped land, provide a map to indicate if project is within 15 miles of a civil airport or military airfield; Notice to buyer (if applicable)</p>	M	U	N/A
<p>Is there a narrative describing the determination made for Environmental Justice?</p>	M	U	
<p>Is there supporting documentation for the Environmental Justice conclusion? <i>Documentation:</i> USEPA EJView Map</p>	M	U	N/A

<p>Abbreviated Statutory Checklist (Categorically Excluded, Not Subject to 58.5)</p>	M	U	
<p>Is there a narrative describing the determination made for Runway Clear Zones?</p>	M	U	N/A
<p>Is there supporting documentation for the Runway Clear Zones conclusion? <i>Documentation:</i> Categorical Exclusion Not Subject to 58.5 worksheet; map; notice to buyer (if applicable)</p>	M	U	
<p>Is there a narrative describing the determination made for Coastal Zone Management?</p>	Y	U	N/A
<p>Is there supporting documentation for the Coastal Zone Management conclusion? <i>Documentation:</i> Categorical Exclusion Not Subject to 58.5 worksheet; map</p>	M	U	
<p>Is there a narrative describing the determination made for Floodplain Management?</p>	M	U	
<p>Is there supporting documentation for the Floodplain Management conclusion? <i>Documentation:</i> Categorical Exclusion Not Subject to 58.5 worksheet</p>	M	U	N/A

Environmental Review/Environmental Assessment Checklist Monitoring Tool

Community: _____

Grant Number: _____

Project Number: _____ Project Name: _____

ER Level: _____

Land Development			
Is there a narrative describing the determination made for Conformance with Comp. Plans/Zoning	M	U	
Is there supporting documentation for the Conformance with Comp. Plans/Zoning conclusion?	M	U	N/A
<i>Documentation:</i> Comprehensive Plan and/or Zoning documentation			
Is there a narrative describing the determination made for Compatibility and Urban Impact ?	M	U	
Is there supporting documentation for the Compatibility and Urban Impact conclusion?	M	U	N/A
<i>Documentation:</i> Land use maps and zoning maps (if applicable)			
Is there a narrative describing the determination made for Slope ?	M	U	
Is there supporting documentation for the Slope conclusion?	M	U	N/A
<i>Documentation:</i> Soil data (NRCS Web Soil Survey)			
Is there a narrative describing the determination made for Erosion ?	M	U	
Is there supporting documentation for the Erosion conclusion?	M	U	N/A
<i>Documentation:</i> Soil data (NRCS Web Soil Survey)			
Is there a narrative describing the determination made for Soil Suitability ?	M	U	
Is there supporting documentation for the Soil Suitability conclusion?	M	U	N/A
<i>Documentation:</i> Soil data (NRCS Web Soil Survey)			
Is there a narrative describing the determination made for Hazards/Nuisances/Site Safety ?	M	U	
Is there supporting documentation for the Hazards/Nuisances/Site Safety conclusion?	M	U	N/A
<i>Documentation:</i> e.g. photos, site maps indicating potential hazards (if applicable)			
Is there a narrative describing the determination made for Energy Consumption ?	M	U	
Is there supporting documentation for the Energy Consumption conclusion?	M	U	N/A
<i>Documentation:</i> e.g. project plans, maps, etc.			
Noise			
Is there a narrative describing the determination made for Noise ?	M	U	
Is there supporting documentation for the Noise conclusion?	M	U	N/A
<i>Documentation:</i> Noise attenuation measures (if applicable); reference to Noise section in Statutory Checklist			
Air Quality			
Is there a narrative describing the determination made for Air Quality ?	M	U	
Is there supporting documentation for the Air Quality conclusion?	M	U	N/A
<i>Documentation:</i> e.g. "Non-attainment" data; air permit to install and operate			
Environmental Design and Historic Values			

Environmental Review/Environmental Assessment Checklist Monitoring Tool

<i>Documentation:</i> e.g. wastewater treatment system data; maps; soil data (if applicable); any permit requirements		
Is there a narrative describing the determination made for Storm Water ?	M	U
Is there supporting documentation for the Storm Water conclusion?	M	U
<i>Documentation:</i> e.g. field observations, infrastructure maps		N/A
Is there a narrative describing the determination made for Water Supply ?	M	U
Is there supporting documentation for the Water Supply conclusion?	M	U
<i>Documentation:</i> e.g. water supply system data; EPA facility compliance data; infrastructure maps		N/A
Is there a narrative describing the determination made for Public Safety - Police ?	M	U
Is there supporting documentation for the Public Safety - Police conclusion?	M	U
<i>Documentation:</i> e.g. correspondence from local police department; map		N/A
Is there a narrative describing the determination made for Public Safety - Fire ?	M	U
Is there supporting documentation for the Public Safety - Fire conclusion?	M	U
<i>Documentation:</i> e.g. correspondence from local fire department; map		N/A
Is there a narrative describing the determination made for Public Safety - Medical ?	M	U
Is there supporting documentation for the Public Safety - Medical conclusion?	M	U
<i>Documentation:</i> e.g. correspondence from local emergency medical provider; map		N/A
Is there a narrative describing the determination made for Open Space/Recreation - Open Space ?	M	U
Is there supporting documentation for the Open Space/Recreation - Open Space conclusion?	M	U
<i>Documentation:</i> e.g. list and/or map of local "open space" facilities		N/A
Is there a narrative describing the determination made for Open Space/Recreation - Recreation ?	M	U
Is there supporting documentation for the Open Space/Recreation - Recreation conclusion?	M	U
<i>Documentation:</i> e.g. list and/or map of local recreational facilities		N/A
Is there a narrative describing the determination made for Open Space/Recreation - Cultural Facs	M	U
Is there supporting documentation for the Open Space/Recreation - Cultural Facs conclusion?	M	U
<i>Documentation:</i> e.g. list and/or map of local cultural facilities		N/A
Is there a narrative describing the determination made for Transportation ?	M	U
Is there supporting documentation for the Transportation conclusion?	M	U
<i>Documentation:</i> e.g. transit maps, street maps, parking maps		N/A
Natural Features		
Is there a narrative describing the determination made for Water Resources ?	M	U
Is there supporting documentation for the Water Resources conclusion?	M	U
<i>Documentation:</i> e.g. field observations, USGS topo maps, hydrology maps, soil maps		N/A
Is there a narrative describing the determination made for Surface Water ?	M	U
Is there supporting documentation for the Surface Water conclusion?	M	U
<i>Documentation:</i> e.g. field observations, USGS topo maps, hydrology maps, soil maps		N/A
Is there a narrative describing the determination made for Wetlands ?	M	U
Is there supporting documentation for the Wetlands conclusion?	M	U
		N/A

Community: _____ Grant Number: _____

Project Number: _____ Project Name: _____ Method(s) Used: _____

General Requirements		Notes:
Is there a written and adopted Local Code of Conduct?	M U	
Is there a copy of the community's evaluation criteria?	M U	
Did the local community provide for full and open competition?	M U	
Was contract awarded within 60 days of the bid/proposal/receiving quotes opening?	M U	
Small Purchases		
Was method appropriate (<\$50,000)?	M U	
Did community acquire initial cost estimate for goods/services to be procured?	M U	
Initial Estimate Price:		
Did community develop specifications for services it procured?	M U	
Did community obtain quotes from an "adequate" number of sources?	M U	
Number of Quotes Received:		
Were quotes specific enough to enable comparison?	M U	
Did community execute a Notice of Award?	M U	
Price of Executed Contract:		
Date:		
Firm:		
Competitive Sealed Bids		
Was method appropriate (>\$50,000, Construction, etc.)?	M U	
Did community acquire initial cost estimate for goods/services to be procured?	M U	
Initial Estimate Price:		
Did community publish a notice requesting submission of bids?	M U	
Was notice published once a week for two weeks?	M U	
Dates of Publication:		
Did bid advertisement include description of project?	M U	
Did bid advertisement state where materials are available?	M U	
Did bid advertisement include time and location of bid opening?	M U	
Did bid advertisement include time and location for filing bids?	M U	
Did bid advertisement include terms of proposed purchase?	M U	
Did bid advertisement include conditions under which bids will be received?	M U	
Were bids opened publicly at an appointed time and place?	M U	
Date of Bid Opening:		

Were meeting minutes maintained for the bid opening?		
Was an attendance sheet maintained for the bid opening?		
Was a bid tabulation document created/maintained?		
Number of Bids Received: _____		
*If one bid was received, were adequate number of sources solicited?		
Did the community have a method to evaluate the bids?		
Did the community execute a notice of award?		
Was the awarded bid within 10% of the cost estimate?		
Price of Executed Contract: _____		
Date: _____ Firm: _____		
Competitive Proposals (RFP)		
Was method appropriate (>\$50,000, non-professional services, etc.)?		
Did community acquire initial cost estimate for goods/services to be procured?		
Initial Estimate Price: _____		
Did community publish a notice requesting submission of bids?		
Was notice published once a week for two weeks?		
Dates of Publication: _____		
Did proposal advertisement include description of project?		
Did proposal advertisement state where materials are available?		
Did proposal advertisement include time and location of Proposal opening?		
Did proposal advertisement include time and location for filing Proposals?		
Did proposal advertisement include terms of proposed purchase?		
Did advertisement include conditions under which proposals will be received?		
Did advertisement identify and rank evaluation factors?		
Were meeting minutes maintained for the proposal opening?		
Was an attendance sheet maintained for the proposal opening?		
Was a proposal tabulation document created/maintained?		
Number of Proposals Received: _____		
*If one proposal was received, were adequate number of sources solicited?		
Did the community have a method to evaluate the proposals?		
Did the community execute a notice of award?		
Price of Executed Contract: _____		
Date: _____ Firm: _____		

<p>Force Account Were local employees qualified to do work and work was within normal scope of duties? Did community acquire initial cost estimate for goods/services to be procured? Initial Estimate Price: _____ Final Project Cost: _____ Did community complete Ohio Force Account Project Assessment Form? Did community verify that project cost is within the force account limit? If a county road project, was the cost per mile <\$30,000? If a county bridge or culvert project, was the cost <\$100,000? If a city project in the public way, was the cost <\$30,000? If a city project >\$30,000, were bids collected, evaluate, and rejected?</p>	<p>M U M U M U M U M U M U M U M U M U</p>	<p>U U U U N/A N/A N/A N/A</p>
<p>Cooperative Purchasing Did community acquire initial cost estimate for goods/services to be procured? Initial Estimate Price: _____ Did community enroll & pay fee to take part in Cooperative Purchasing program? Did the community execute a notice of award? Price of Executed Contract: _____ Firm: _____ Date: _____</p>	<p>M U M U M U</p>	<p>U U U</p>
<p>Construction Manager at-Risk (CMAR) Did community establish qualification criteria for selecting firms? Did community publish notice of RFQ to firms, news media, trade associations, etc.? Date of RFQ: _____ Date of Acceptance of Qualifications: _____ Was the RFQ published for at least thirty (30) days before the acceptance date? Did community select at least three (3) qualified firms to solicit for RFP? Date of RFP (Wage Decision Date): _____ Did community choose to seek a Guaranteed Maximum Price (GMP)? Did community rank the firms based on established "best value" criteria? Price of Executed Contract: _____ Firm: _____ Date: _____</p>	<p>M U M U M U M U Y N M U</p>	<p>U U U U N U</p>

Community: _____ Grant Number: _____

Project Number: _____ Project Name: _____

General Requirements		Notes:
Is there a copy of the project contract document?		
Does contract scope of work match grant agreement project description?		
Did engineer/architect review/approve the plans?		
Did grantee check EPLS for debarred status?		
Did the community auditor certify the availability of funds?		
Did the community prosecutor certify the contract documents?		
Did community CEO execute the contract?		
Did community execute a Notice of Award?		
Did community execute a Notice to Proceed?		
Required Federal Provisions		
Does contract include provisions for remedies of breach contract terms?		
Does contract include Termination for Cause and Convenience provisions? (\$10,000)		
Does contract include required EEO provisions? (\$10,000)		
Does contract include Copeland Anti-Kickback Clause? (All Construction)		
Does contract include provisions for compliance with Davis-Bacon Act? (\$2,000)		
Does contract include Contract Work Hours & Safety Standards Act provisions? (\$2,000)		
Does contract include provisions for reporting?		
Does contract include provisions pertaining to patent rights?		
Does contract include provisions for regulations pertaining to copyrights?		
Does contract include provisions for access/examination by state/federal entities?		
Does contract include provisions for 3 years of record retention?		
Does contract include provisions for compliance with 306 of Clean Air Act? (\$100,000)		
Does contract include provisions for compliance with 508 of Clean Water Act? (\$100,000)		
Does contract include provisions relating to energy efficiency?		
Standard Contract Provisions		
Does contract include a non-collusion affidavit?		
Does contract include a delinquent tax certification?		
Does contract include a Workers' Compensation Certification?		
Does contract include provisions for conflict of interest?		
Does contract include provisions for permits applicable to the project?		
Does contract include provisions relating to supervision by the contractor?		
Does contract include provisions for addressing claims against the contractor?		
Does contract include provisions for subcontracting requirements?		
Does contract include provisions for Affirmative Action?		
Does contract include work completion guarantees?		
Does contract include work completion period/deadline?		
Does contract specify a total amount and payment process?		
Does contract include provisions for inspections?		
Does contract include provisions for insurance?		

Does contract include provisions for liquidation and damages?			
Does contract include provisions for changes to the contract scope of work?			
Bonding (Construction Contracts)			
Did contractor provide appropriate bid bond, letter of credit, cashier's check with bid?			
Did contractor provide appropriate performance bond?			
Did contractor provide appropriate payment bond?			
Pre-Construction Conference			
Was a pre-construction conference held after the contract was awarded?			
Date of Conference: _____			
Is there an agenda for the pre-construction conference?			
Did the agenda include Engineering/Construction requirements?			
Did the agenda include EEO requirements?			
Did the agenda include the contractor's Section 3 obligations			
Did the agenda include Labor Standards and payroll requirements?			
Did the agenda include required job site posters?			
Is there a sign-in sheet for the pre-construction conference?			
Are there minutes for the pre-construction conference?			
Change Orders			
Are change orders maintained with the contract documentation?			
Number of Change Orders: _____			
Total: _____			
Were change orders properly executed?			
Did each change order include the revised price?			
Did each change order include a justification?			
Did each change order include a revised project timeline?			
Was each change order signed by a Professional Engineer (if applicable)?			
Was each change order executed by the community CEO?			
Interagency Agreements/MOUs			
Was an interagency agreement/memorandum of understanding (MOU) used to obtain materials/services from another agency?			
Was interagency agreement/MOU documentation complete?			
Did IA/MOU include a scope of services?			
Did IA/MOU include a cost?			
Did IA/MOU include a timeline?			
Did IA/MOU include terms of performance and delivery?			
Did IA/MOU include required termination clauses?			
Project Inspection and Punchlist			
Was construction project inspected when substantially complete and prior to final sign-off?			
Date of Inspection: _____			
Did community maintain a punchlist?			

Labor Standards Monitoring Tool

Community: _____ Grant Number: _____
 Project Number: _____ Project Name: _____

Administration Did grantee designate a local employee as local LCO? LCO: _____	M U N/A	N/A	<i>Notes:</i>
Wage Decision Does the grantee have complete Prevailing Wage Decision? Did grantee certify wage rates no more than 10 days prior to the bid opening? Date of Bid Opening: _____ Wage Check Date: _____ Wage Decision Date: _____ Wage Modification: _____ If rates changed, were bid specs adjusted at least 72 hours prior to opening?	M U N/A M U N/A	N/A N/A	
Labor Standards Compliance Were weekly payroll reports collected from the contractor? Were payroll reports certified by authorized representative (i.e. contractor)? Did the LCO review and initial payroll against wage decisions? Did the LCO make visits to the job site and conduct interviews? Did the LCO review and initial employee interview forms for compliance? Number of Interviews Conducted: _____ Number of Site Visits Conducted: _____ Did the LCO document Wage Decision was posted at the job site? Did the LCO ensure Employee Rights posters were posted at job site? Did the LCO take steps to address any labor standards violations? Number of Violations: _____ Was sufficient restitution paid for violations? Did community prepare and maintain semi-annual wage reports?	M U N/A M U N/A	N/A N/A N/A N/A N/A N/A N/A N/A N/A	
Force Account Labor Did community maintain documentation (timesheets, force account logs, etc)?	M U N/A	N/A	
Donated Time Report Did community maintain Donated Time Report Forms for volunteer labor?	M U N/A	N/A	
Prevailing Wage Worksheet			

Payroll Date: _____ Correct: Yes No
 Contractor Name: _____ Payroll Date: _____ Correct: Yes No
 Employee Name: _____ Contractor Name: _____
 Pos: _____ Group: _____
 PWR: _____ Fringes: _____ Total: _____
 Pay: _____ Fringes: _____ Total: _____

Note: M indicates grantee met CDBG requirements and U indicates requirements were unmet

Community: _____

Grant Number: _____

Project Number: _____

Project Name: _____

<p>Administration</p> <p>Did community adopt Residential Anti-Displacement and Relocation Assistance Plan? Did community maintain individual files for all households/properties affected by the project? Number of Affected Households/Properties: _____</p> <p>Temporary Relocation</p> <p>Did community ensure tenants are afforded reasonable opportunity to lease/occupy replacement units and relocation assistance? Did community codify benefits for owner-occupants in its Relocation Assistance Plan? Did community ensure households subject to relocation are provided appropriate notices? Date of General Information Notice (GIN): _____ Did community ensure households are notified of relocation benefits? Date of Disclosure of Temporary Relocation Benefits: _____ Did community ensure households are notified 90-days prior to relocation? 90-Day Notice: _____</p> <p>Permanent Displacement</p> <p>Did community ensure displaced households have access to comparable replacement units and relocation assistance? Did community ensure households subject to displacement are provided appropriate notices? Date of General Information Notice (GIN): _____ Did community ensure <u>NEW</u> households receive Move-In Notice (new households)? Date of Move-In Notice: _____ Did community ensure households <u>NOT</u> subject to displacement receive Notice of Non-Displacement? Notice of Non-Displacement: _____ Did community ensure households receive Notice of Eligibility? Notice of Eligibility: _____ Did community ensure households are notified 90-days prior to displacement? 90-Day Notice: _____ Did community maintain Waiver of Relocation Benefits? Waiver of Relocation Benefits: _____</p>	<p>Notes:</p>
	M U N/A

<p>Acquisition Did community solicit qualified real estate expert to determine FMP? Name: _____ Title: _____</p>	<p>M U N/A</p>
<p>Voluntary Acquisition Did buyer provide notice eminent domain will not/cannot be exercised? Date of Notice: _____ Did buyer provide notice of Fair Market Price? Date of FMP Notice: _____ Did buyer provide notice of Ineligibility for URA Benefit Notice? Date of URA Notice: _____</p>	<p>M U N/A M U N/A M U N/A</p>
<p>Property Donation Did buyer provide Notice of Rights Under URA? Date of Notice: _____ Did donor waive rights waive rights under URA? Date of Waiver: _____</p>	<p>M U N/A M U N/A</p>
<p>Involuntary Acquisition Did buyer identify property/properties that need to be acquired and collect basis information? List of Properties: _____ Did buyer issue Notice to Owner outlining URA benefits? Date of Notice: _____</p>	<p>M U N/A M U N/A</p>
<p>Property Appraisal Did buyer appraise/determine just compensation? Was owner allowed to accompany the appraiser? Did buyer prepare Statement of Basis for Determining Just Compensation?</p>	<p>M U N/A M U N/A M U N/A</p>
<p>Negotiated Settlement Did buyer provide Written Offer to Purchase? Date of Notice: _____ Did offer equal appraiser's estimate: Yes No Did buyer provide Notice of Intent to Displace (Inhabited Units)? Date of Notice: _____ Did buyer prepare Statement of Settlement Costs if negotiated settlement is reached? Did buyer maintain Purchase Agreement for property? Execution Date: _____</p>	<p>M U N/A M U N/A M U N/A M U N/A</p>

<p>Administrative Settlement Did buyer prepare an Administrative Settlement Statement for expenses above just compensation? Did Administrative Statement demonstrate that additional expenses are Reasonable, Prudent, and In the public interest?</p>	<p>M U N/A M U N/A</p>
<p>Eminent Domain/Condemnation Settlement Did buyer file petition for appropriation and notify owners? Date of Petition: _____ Did buyer retain judgment? Date of Notification: _____ Did buyer retain Payment Receipt for Award? Judgment Amount: _____</p>	<p>M U N/A M U N/A M U N/A</p>

Housing Downtown Revitalization

Number of Units Assisted:

National Objective	Number of Units Assisted:	
<p><i>Description:</i> Housing activities require LMI Direct Benefit verification. Downtown Revitalization activities require condition survey and Slum/Blight Certification</p>		
<p>Did community ensure assisted units meet correct National Objective?</p>	M U	
<p>Environmental Review: Tiered Review</p>		
<p><i>Description:</i> Communities undertaking scattered-site improvements to units throughout a target area should use a Tiered Environmental Review. Please note, the Tiered process should only be completed in conjunction with a Categorically Excluded (not Subsequently Exempt) or Environmental Assessment level of review.</p>		
<p>Did community complete a general overview (Tier 1) and receive a ROF?</p>	M U N/A	
<p>Level of Review: _____ ROF: _____</p>		
<p>Did community conduct individual evaluation (Tier 2) for each selected site?</p>	M U	
<p>Did community complete relevant Statutory Compliance areas (e.g. OHPO, Floodplain)?</p>	M U	
<p>Environmental Review: OHPO Programmatic Agreement</p>		
<p><i>Description:</i> Communities can use OHPO agreement to exempt rehabilitation work from initial coordination.</p>		
<p>Did community maintain a copy of executed OHPO programmatic agreement?</p>	M U	
<p>Did community maintain OHPO annual reports reflecting CDBG assisted private rehab projects?</p>	M U	
<p>Procurement</p>		
<p><i>Description:</i> Procurement for Private Rehab can be conducted by grantee or by private property owner. The latter, "Streamlined" method does not require compliance with 24 C.F.R. 85.36; However, grantees must abide by the process outlined in the "Procurement of Private Contractors" section of the OCD Housing Handbook (pg. 29).</p>		
<p>Did community prepare work write-up and initial cost estimate for each unit assisted?</p>	M U	
<p>Name of Inspector/Rehab Specialist: _____</p>		
<p>Did community provide a list of prequalified contractors?</p>	M U	
<p>Did community qualify additional contractors at the request of participants?</p>	M U	
<p>Did community ensure participants solicit a sufficient number of bids (at least 3)?</p>	M U	
<p>* If fewer than 3 bids were received, did community document adequate solicitation occur?</p>	M U	
<p>Did community ensure awarded bids were within 10% of the estimate?</p>	M U	
<p>Did community require rebidding for projects where an adequate number of bids were not received and/or all bids exceed the cost estimate by more than 10%?</p>	M U	
<p>Did community ensure lowest responsive bidders received awards?</p>	M U	
<p>* If lowest bidder is not awarded contract, did community document a valid reason for disqualification?</p>	M U	
<p>Contract Management</p>		
<p>Did community files include copies of executed contracts for Private Rehab work?</p>	M U	
<p>Did community check EPLS for debarred status?</p>	M U	
<p>Did community hold a pre-bid conference/walk-through at the project sites?</p>	M U	
<p>Did community hold pre-construction conferences?</p>	M U	
<p>Did community conduct an inspection before each partial payment and prior to final sign-off?</p>	M U	
<p>Did community maintain copies of project change orders?</p>	M U	
<p>Did community ensure unit-specific costs were within community programmatic limit of assistance?</p>	M U	
<p>Labor Standards</p>		
<p><i>Description:</i> Labor Standards do not apply to residential projects with fewer than 8 units, but it does apply to all commercial project contracts in excess of \$2,000</p>		
<p>Did community LCO collect and review payroll reports for federal labor compliance?</p>	M U	N/A

CDBG Private Rehab Monitoring Tool

Unit Address: _____

Owner Name: _____

Proof of Ownership (Housing Rehab): Yes No

National Objective Documentation Yes No

Tier 2 ER Complete: Yes No

OHPO Clearance Date: _____

N/A: Covered under OHPO Programmatic Agreement

Initial Cost Estimate: _____

Date of Pre-Bid/walkthrough _____

Bids Received: _____

Executed Contract Price: _____

Contractor: _____ Date: _____

Date of Pre-Construction Conference: _____

CDBG Cost: _____ Other Funds: _____

Unit Address: _____

Owner Name: _____

Proof of Ownership (Housing Rehab): Yes No

National Objective Documentation Yes No

Tier 2 ER Complete: Yes No

OHPO Clearance Date: _____

N/A: Covered under OHPO Programmatic Agreement

Initial Cost Estimate: _____

Date of Pre-Bid/walkthrough _____

Bids Received: _____

Executed Contract Price: _____

Contractor: _____ Date: _____

Date of Pre-Construction Conference: _____

CDBG Cost: _____ Other Funds: _____

Unit Address: _____

Owner Name: _____

Proof of Ownership (Housing Rehab): Yes No

National Objective Documentation Yes No

Tier 2 ER Complete: Yes No

OHPO Clearance Date: _____

N/A: Covered under OHPO Programmatic Agreement

Initial Cost Estimate: _____

Date of Pre-Bid/walkthrough _____

Bids Received: _____

Executed Contract Price: _____

Contractor: _____ Date: _____

Date of Pre-Construction Conference: _____

CDBG Cost: _____ Other Funds: _____

Unit Address: _____

Owner Name: _____

Proof of Ownership (Housing Rehab): Yes No

National Objective Documentation Yes No

Tier 2 ER Complete: Yes No

OHPO Clearance Date: _____

N/A: Covered under OHPO Programmatic Agreement

Initial Cost Estimate: _____

Date of Pre-Bid/walkthrough _____

Bids Received: _____

Executed Contract Price: _____

Contractor: _____ Date: _____

Date of Pre-Construction Conference: _____

CDBG Cost: _____ Other Funds: _____

CDBG Private Rehab Monitoring Tool

Unit Address: _____

Owner Name: _____

Proof of Ownership (Housing Rehab): Yes No

National Objective Documentation Yes No

Tier 2 ER Complete: Yes No

OHPO Clearance Date: _____

N/A: Covered under OHPO Programmatic Agreement

Initial Cost Estimate: _____

Date of Pre-Bid/walkthrough _____

Bids Received: _____

Executed Contract Price: _____

Contractor: _____ Date: _____

Date of Pre-Construction Conference: _____

CDBG Cost: _____ Other Funds: _____

Unit Address: _____

Owner Name: _____

Proof of Ownership (Housing Rehab): Yes No

National Objective Documentation Yes No

Tier 2 ER Complete: Yes No

OHPO Clearance Date: _____

N/A: Covered under OHPO Programmatic Agreement

Initial Cost Estimate: _____

Date of Pre-Bid/walkthrough _____

Bids Received: _____

Executed Contract Price: _____

Contractor: _____ Date: _____

Date of Pre-Construction Conference: _____

CDBG Cost: _____ Other Funds: _____

Unit Address: _____

Owner Name: _____

Proof of Ownership (Housing Rehab): Yes No

National Objective Documentation Yes No

Tier 2 ER Complete: Yes No

OHPO Clearance Date: _____

N/A: Covered under OHPO Programmatic Agreement

Initial Cost Estimate: _____

Date of Pre-Bid/walkthrough _____

Bids Received: _____

Executed Contract Price: _____

Contractor: _____ Date: _____

Date of Pre-Construction Conference: _____

CDBG Cost: _____ Other Funds: _____

Unit Address: _____

Owner Name: _____

Proof of Ownership (Housing Rehab): Yes No

National Objective Documentation Yes No

Tier 2 ER Complete: Yes No

OHPO Clearance Date: _____

N/A: Covered under OHPO Programmatic Agreement

Initial Cost Estimate: _____

Date of Pre-Bid/walkthrough _____

Bids Received: _____

Executed Contract Price: _____

Contractor: _____ Date: _____

Date of Pre-Construction Conference: _____

CDBG Cost: _____ Other Funds: _____