**A103**

**FILING SYSTEM GUIDE**

*(NOTE: Grant files should be kept at city hall or county courthouse. List is not all inclusive.)*

APPLICATION FILE

* Grant Recipient’s Application
* Public Hearing Information
* Surveys and Tabulation/Other Beneficiary Data
* Responses to CDBG Requests for Additional Information

CONTRACT FILE

* TDA Contract Award Letter
* Executed Contract
* Amendment Requests/Resolution
* Executed Amendments
* Approved Performance Statement Modification Letters
* Approved Budget Modification Letters

FINANCIAL MANAGEMENT FILE

* Designated Depository/Authorized Signatory Form
* Audit Report demonstrating financial capacity
* Direct Deposit Authorization Form *(if applicable)*
* Copy of Transaction Register/Accounting Records for CDBG funds and Local Matching funds
* Documentation of Drawdown Transactions – Purchase Vouchers, Request Summaries, and all supporting documentation *(i.e. invoices, personnel/equipment/material records, etc.)*.
* Source Documentation to support the receipt and disbursement of CDBG and local matching funds *(i.e. cancelled checks, deposit slips, monthly bank statements, bank account reconciliation records, etc.)*.
* Register to document local commitment of funds
* Funding Awards other than TxCDBG

ENVIRONMENTAL REVIEW FILE

* Environmental Review Record/Assessment
* Public Notices/Publisher’s Affidavit
* Coordination Letters to/from other Agencies
* Public Comments
* Request for Release of Funds/Certification Form
* TDA’s Environmental Clearance Letter
* Documentation of Compliance with other applicable laws/authorities
* Flood Plain Maps/EO 11988 Compliance *(if applicable)*
* Texas Historical Commission Notification and Response Letters

PROCUREMENT OF PROFESSIONAL SERVICES / ADMINISTRATION SERVICES

* Rationale for the method of procurement
* Evidence of affirmative steps taken to assure participation by small/minority businesses
* Basis for the cost or price
* Requests for Proposal/Advertisements
* Requests for Proposal Package
* Written Selection Criteria
* Copies of all letters and advertisements requesting proposals/return receipts
* Proposals received
* Vendor approval through SAM
* Professional services / Administration Services contracts
* Minutes/Resolution awarding contracts

REPORTS

* Quarterly Report
* Financial Interest Reports
* *Section 3 Annual Reports*

REAL PROPERTY ACQUISITION

* Preliminary Acquisition Notice
* Invitation to Accompany Appraiser
* Appraisal Reports
* Statement of Just Compensation
* Offer to Purchase
* Contract of Sale *(deed, title, etc.)*
* Statement of Settlement Costs
* Warranty Deed/Right-of-Way Agreements
* Receipt for Purchase Price
* Public Solicitation Notice *(if voluntary)*
* Internal Valuation Reports *(if donations)*
* Waivers of Right to Just Compensation *(if donations)*
* Notice of Intent Not to Acquire *(if acquisition terminated)*
* Documentation of Appeals/Resolution *(if applicable)*
* Documentation for Exempt Acquisition Activities *(see Chapter 6)*
* Evidence of Acquisition of All Needed Easements/R.O.W./Real Property
* Acquisition Reports

PUBLIC WORKS CONSTRUCTION *(for EACH construction contract)*

* Final architectural/engineering design plans and specifications *(and cost estimates)*
* TCEQ/Other Clearance Letters
* Appointment of Labor Standards Officer Resolution
* Wage Rate Determination /Wage Decision
* Price or rate quotations for small purchases
* Evidence of analysis of lease vs. purchase alternatives *(when applicable)*
* Evidence of equitable distribution of purchases among suppliers for Bid/Contract Documents
* Bid Advertisements
* Ten Day Confirmation Form
* Bid Tabulation
* Vendor approval through SAM
* Evidence of bidders’ receipt of addenda *(if applicable)*
* Financial Interest Report Evidence of council/commissioner’s court award of construction contracts
* Executed Construction Contract Documents
* Payment/Performance Bonding Documentation
* Notice/Minutes of Pre-construction Conference/Contract Award
* Labor Standards Record
* Approved Change Orders
* Additional Classification Requests/Approval *(if applicable)*
* Weekly Payroll Records *(initialed/dated by LSO)*
* Monthly Employee Interviews
* Monitoring and Inspection *(Interim and Final)* Reports
* Certificate of Construction Completion
* Final Wage Compliance Report
* Recovered Materials

FORCE ACCOUNT LABOR *(if applicable)*

* Force Account Labor Payroll Records *(if applicable)*
* Force Account Equipment Use Time Sheets/Rate Records
* Invoices/Justification of Equipment, Fuel and Repairs *(non FEMA)*
* Payroll Records for local staff administering the CDBG program
* Procurement Policy/Rationale for Method of Procurement
* Price or Rate Quotations for Small Purchases
* Evidence of Analysis of Lease or Purchase Alternatives *(if applicable)*
* Method of Procurement utilized for equipment *(lease/rental/purchase)*
* Method of Procurement utilized for materials

EQUAL EMPLOYMENT OPPORTUNITY/FAIR HOUSING

* Civil Rights Officer Appointment
* Complaints *(if any)* and action taken to notify TDA or HUD
* Citizen Participation Plan including Grievance Procedures
* Personnel Policies/Handbook
* Equal Opportunity Provisions
* Contractor Certification of Equal Opportunity Compliance
* Sample Advertisements for Employment
* Section 3 Plan or its equivalent
* Contractor Certification of Section 3 Compliance
* Excessive Force policy
* Section 504 (If more than 15 employees) Self-Evaluation Review Form
* Section 504 (If more than 15 employees) Newspaper Publication *(if applicable)*
* Section 504 (If more than 15 employees) Grievance Procedures and CRO appointed *(if applicable)*
* Documentation of Fair Housing Activities
* LEP Plan
* Civil Rights Resolution(s)

CLOSEOUT

* Project Completion Report (PCR)
* Evidence of the Final Public Hearing
* Map of actual construction locations
* Evidence of benefit *(if applicable)*
* *Section 3 Annual Report (Final) (if applicable)*
* TDA Administratively Closed Letter
* TDA Audit Closeout Letter

AUDIT

* Audit Report
* All Documentation Regarding Response to Audit Report/Audit Compliance Letters