

PROCUREMENT (ADMINISTRATION SERVICES and PLANNING SERVICES)**Prequalification Method (Discontinued Effective 9/1/2023)**

1. Documentation of Evaluation Team appointed, including names and titles
2. Documentation of at least three firms selected from the prequalified pool
3. Request for Project Specific Proposal sent to at least three firms (A506)
4. Proposals received (Response from Service Provider (Form A507) or firm's own format.)
5. Documentation of Evaluation Team scoring/rating and recommendation for award
6. Evidence of SAM clearance before award
7. Minutes of governing body awarding the contract
8. Executed contract

Traditional Method

1. Documentation of Selection Committee member, including names and titles
2. Request for Proposal (RFP)
3. Newspaper advertisement (digital tear sheet or copy of advertisement and publisher's affidavit)
4. Letters of solicitation; proof of mailing OR received/read receipt if sent electronically
5. Respondent replies to RFP; including copies of all proposals received by the city/county
6. Rating Sheets
7. Summary Score Sheet
8. Minutes awarding contract to the administration firm
9. Complete executed contract
10. Evidence of SAM clearance prior to award

PROCUREMENT (ENGINEERING SERVICES)

1. Documentation of Selection Committee member, including names and titles
2. Request for Professional Service (RFQ)
3. Newspaper advertisement
4. Letters of solicitation; proof of mailing OR received/read receipt if sent electronically
5. Respondent replies to RFQ; including copies of all proposals received by the city/county
6. Rating Sheets
7. Summary Score Sheet
8. Minutes awarding contract to the engineering firm
9. Complete executed contract
10. Evidence of SAM clearance prior to award

FINANCIAL MANAGEMENT

Please refer to Financial Management Compliance Review Checklist and Questionnaire. **Required for all monitoring reviews (except most limited scope interim reviews), including self-monitoring.**

ENVIRONMENTAL REVIEW RECORD

1. Complete Environmental Review Record

TxCDBG PROJECT SUPPORT DOCUMENTS

CONSTRUCTION/MATERIALS/EQUIPMENT PROCUREMENT

1. Newspaper bid advertisement(s)
2. Bid documents with labor standards provisions
3. Copies of all bids received including signed receipt acknowledgement of any bid addendums
4. Bid Tabulation Form
5. Minutes awarding contract to lowest responsible bidder
6. Evidence of SAM clearance for all contractors
7. Executed contract(s) containing all required provisions and inserts
8. Change Orders
9. Amendments/Modifications to construction/materials/equipment contract
10. Photo(s) of temporary/permanent project signage, if applicable
11. Photos of completed construction project activities/infrastructure, if applicable
12. Photo of vehicle/equipment purchased, if applicable
13. Small Purchase Procurement Record(s) with written quotes obtained, if applicable
14. Confirmation from city/county that as-built drawings are maintained and available at the locality
15. Texas Department of Licensing and Regulation (TDLR) project registration and Texas Accessibility Standards inspection approval, if applicable
16. Certificate of Construction Completion (COCC) if construction activity is complete

LABOR STANDARDS COMPLIANCE

1. Appointment of Labor Standards Officer (Grant Overview PDF printout)
2. General Wage Decision (GWD) from SAM website prior to bid ad (w/browser date stamp)
3. GWD with date-stamp verifying 10-day confirmation by local Labor Standards Officer
4. Request for Additional Classification and Wage Rate and DOL Approval, if applicable
5. Pre-Construction Conference documents (agenda, minutes, sign-in sheet, distributed materials, etc.)
6. Certified Payroll Reports and signed Statements of Compliance (original signature only)
7. Designation of inspector for employee interviews, if applicable
8. Employee Interviews
9. Documentation of dates that on-site interviews were attempted and mailed questionnaires and responses received, if applicable.
10. Wage violation documentation (written restitution notice to contractor, corrected payrolls, etc.)
11. Final Wage Compliance Information if construction/labor activities are complete (MSR Final Wage Compliance PDF printout)

CIVIL RIGHTS/FAIR HOUSING

1. Appointment of Civil Rights Officer (Grant Overview PDF printout)
2. Local Governing Body Resolution Adopting/Affirming Required Civil Rights Policies and Procedures
3. Section 3 Service Area Map
4. Screenshot of Contracting Opportunity Reported to Workforce Solutions, private plan room, etc.
5. Local Governing Body Minutes of Section 3 Goals Presentation
6. Section 504 Grievance Procedures (adopted)
7. Section 504 Non-Discrimination Notice (published, if more than 15 employees)
8. Section 504 Self Evaluation Form
9. Citizen Participation Plan and Complaint Procedures (adopted)

TxCDBG PROJECT SUPPORT DOCUMENTS

10. Excessive Force Policy (adopted)
11. Affirmatively Further Fair Housing Activity
12. Fair Housing Ordinance or Policy, if adopted by the city/county
13. Limited English Proficiency (LEP) Plan (adopted)
14. Referral of fair housing or equal opportunity complaints to TWC-CRD, HUD, or EEOC, if applicable

ACQUISITION OF REAL PROPERTY, if applicable

1. Complete Acquisition file documenting URA procedures (Voluntary or Involuntary) for acquisition of any property required for the TxCDBG funded project.

FORCE ACCOUNT, if applicable

1. Request to Use Force Account Labor (A808)
2. Documentation of Personnel Cost Calculation determining wage rate for each force account employee (may use Force Account Time Sheet Form A800)
3. Equipment Cost Calculation documentation (may use Force Account Time Sheet Form A800)
4. Certificate of Construction Completion for Force Account (A807)
5. Employee Personnel Policies For Temporary Employees (if any)

TxCDBG No.: _____

Grant Recipient: _____

FINANCIAL MANAGEMENT COMPLIANCE REVIEW

Please check the box for each item included in the documents provided for review.

- Ledger/spreadsheet for TxCDBG funds
- Ledger/spreadsheet for local match funds
- Current Financial Audit Report (complete audit report)
- Printed Single Audit Compliance – Audit Certification Record(s) for applicable fiscal year(s) (under Organizational Compliance)
- Direct Deposit Authorization Form (*if applicable*)
- Printed Materials and Services Reports (main form) which includes all subcontractors, if any.
- Drawdown Requests
- Documentation of Drawdown Transactions/Match – Purchase Vouchers, Request Summaries, and all supporting documentation (*i.e. invoices, personnel timesheets/personnel cost calculation worksheets/equipment/material records, etc.*)
- Source Documentation to support the receipt and disbursement of CDBG and local matching funds (*e.g., cancelled checks, deposit slips, monthly bank statements, etc.*)
- Amount of interest earned on CDBG funds (*if applicable*)
- Approval of Budget Modification(s)/Performance Statement(s)/Amendment(s) (*if applicable*)
- Fidelity Bond / Employee Dishonesty Coverage
- Documentation of other federal or state funding awards other than TxCDBG
- All Documentation Regarding Response to Audit Certification Report/Audit Compliance Letters

Best Practices
 When submitting Drawdown requests, invoices and bank statements, it would be very helpful if the following order was used for ***each*** drawdown request:
 1) Copy of drawdown request
 2) Invoices and match support documentation related to the particular drawdown request
 3) Bank statements related to the particular drawdown request verifying deposit and disbursement of funds.

Grant Recipient Financial Management Questionnaire

FINANCIAL MANAGEMENT REVIEW				
		Y	N	
1.	Who is authorized to sign disbursement checks and how many signatures are required? (Note: may differ from payment request signatories)			Names & Titles: _____ _____ Signatures Required: _____
2.	Who reconciles transactions on the City's/County's bank account for grant funds?			Name: _____ Title: _____
3.	Do disbursements require City Council/Commissioner Court approval before checks are issued?			
4.	Please provide a brief explanation of any other local, internal controls in place for managing grant funds.			