Section 4

Records Management

Section 4 – Records Management

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Section 4 - Records Management

1.0 Introduction

The grantee must maintain all program and project-related documentation such as financial records, supporting documents, and statistical records. These records must be retained for a period of five years after close-out of the program.

2.0 Project File Availability

The filing system the grantee establishes to keep records should be easy to use while providing a historical account of activities for examination and review by the OCD-DRU, auditors, and local grantee staff. The Disaster Recovery CDBG records are subject to the Freedom of Information Act and relevant state laws regarding public availability.

3.0 Logistics

The filing system should be established on a project basis. Files should, to the extent possible, be maintained in a central location.

4.0 Establishing Project Files

The checklist below is a sample of the major file categories that should be maintained and a listing of materials that should be kept in each file. This list is not all inclusive. Although a consultant may maintain a set of files in his/her office, the grantees are required to maintain the original files at their location.

4.1 Grant and Project Approval Files

Files to Maintain	Notes/Dates
Grant and Project Approval *(Refer to Manual Section 1 and Section 2)*	
☐ Letter from the OCD-DRU awarding grant	
☐ Request for Project Amendment Form	
☐ Contract Agreement and any Contract Amendments	
☐ Records of correspondence concerning other contract conditions	

4.2 Citizen Participation Files

Files to Maintain	Notes/Dates
Citizen Participation ***(Refer to Manual Section 2)*** ☐ Copy of all notices of public hearings held and proofs of publication relating to the Disaster Recovery CDBG program ☐ List of persons attending public hearings and minutes of the meetings ☐ Citizen inquiries and complaints and correspondence responding to the inquiries and complaints ☐ Copy of Citizen Participation Plan with adopting resolution. Records documenting implementation and compliance with the CP Plan ☐ Citizen Complaint Procedures	

4.3 Project Activity Files

Files to Maintain	Notes/Dates
Project Activity ***(Refer to Manual Section 2)*** ☐ Applications providing a full description of each activity taken ☐ Records demonstrating that each activity undertaken meets one of the National Objectives of the Disaster Recovery CDBG program	

4.4 Construction Project Files

Files to Maintain	Notes/Dates
Construction Projects ***(Refer to Manual Section 2 and Section 6)*** ☐ Special studies, surveys, investigations, tests results, et cetera ☐ Copy of Preliminary design and cost estimates which were included within application ☐ Final design documents and cost estimates ☐ Evidence that all land, rights-of-ways, and easements have been obtained prior to advertising project for bids; should include highway permits and railroad crossing permits as applicable ☐ Transmittal to OCD-DRU of plans and specifications to review ☐ Receipt and authorization from OCD-DRU to advertise	

Files to Maintain	Notes/Dates
☐ Advertisements for bids ☐ Bid documents ☐ Evidence of submittal to and/or review by cognizant state or federal agency having jurisdiction over project ☐ Conformance with Architectural Barriers Act, if applicable ☐ List of proposed bidders and suppliers receiving copies of the bid documents ☐ Minutes of public bid opening ☐ Tabulation of bids with copy of the bid proposal ☐ Bidder qualification information; verification of contractor license ☐ Notice of award of the contract to the lowest responsible bidder ☐ Notice to Proceed ☐ Cost breakdown, if required ☐ Evidence of contractor and subcontractor verification of eligibility and approval ☐ Architect/engineer inspection reports or project status reports, field measurements and test results ("Construction Inspection Reports") ☐ Records of claims, disputes, et cetera ☐ Change orders and field orders with supporting documentation and justification ☐ Final inspection and acceptance of project ☐ Clear lien certificate and final payment to contractor ☐ As-built drawings ☐ Correspondence, memoranda, and other records that may relate to construction contracts ☐ Verification of contractors' compliance with Section 3 (of the HUD Act of 1968) regulations ☐ Comprehensive Construction Contract Checklist (See Sample in Exhibit 2-4)	

4.5 Financial Management Files

Files to Maintain	Notes/Dates
Financial Management *(Refer to Manual Section 5)* ☐ Authorized Signature Form ☐ Financial Management Questionnaire (mailed with "Application Revision Letter") ☐ Electronic Funds Transfer Enrollment Form	

Files to Maintain	Notes/Dates
☐ Process to Change forms ☐ Requests for Payment ☐ General-purpose Financial Statements (Statement Of Revenues, Expenditures And Changes In Fund Balance And A Balance Sheet) ☐ Record of commitment of other funds ☐ Source documentation (contracts, purchase orders, vouchers, invoices, requests for partial payment, etc.) ☐ Support documentation (canceled checks, deposit slips, monthly bank statements, etc.) ☐ Grantee Code of Ethics ☐ Grantee audits	

4.6 Audit Files

Files to Maintain	Notes/Dates
Audit *(Refer to Manual Section 5 and Section 6)* ☐ Method utilized to procure audit firm(s) ☐ Professional Services Agreement with independent CPA ("written engagement agreement") ☐ Financial Reports ☐ Information relating to Financial Reports costs ☐ Data collection Form and Reporting Package add ☐ Financial Reports required if Single Audit is not done ☐ Annual sworn financial statements if revenue received was $50,000 or less, ☐ An annual compilation if revenue received was more than $50,000 but less than $200,000, ☐ An annual review to be accompanied by an attestation report, if revenue received was $200,000 or more but less than $500,000, or ☐ An annual audit if revenue received was $500,000 or more. ☐ Independent Audit Results, Support Documentation, and Corrective Actions <u>Force Account, if required</u> ☐ Contact the OCD-DRU for record keeping requirements with respect to force account.	

4.7 Procurement Files

Files to Maintain	Notes/Dates
Procurement *(Refer to Manual Section 6)*	
☐ Adopted procurement policy	
☐ All Contracts	
☐ Amendments to contracts (if applicable)	
☐ Task Orders and/or change orders (if applicable)	
☐ Methods and procedures for procurement transactions	
☐ Negotiation methodologies	
☐ Excess Cost (Bid) Procedures (for when bids exceed cost estimates)	
☐ Evidence of Grantee's attempt to identify and solicit minority contractors and vendors and documentation to support "good faith effort"	
☐ Cost and price detail summaries (“Cost/Price Detail Summary form”)	
☐ Notice of Contract Awards	
☐ Verification form(s), if applicable	
☐ Contractor certifications	
☐ Bonding and Insurance forms	
<u>For all services procured through the Small Purchase Method:</u>	
☐ Price or rate quotations from at least three sources	
☐ Written documentation of businesses contacted and basis for selection	
<u>For all services procured through the Competitive Sealed Bids Method:</u>	
☐ Bid Package, applicable (materials, supplies, construction services only)	
☐ Minutes from Public Bid Opening, if applicable (materials, supplies, construction services only)	
☐ Written reason for rejecting any or all bids	
<u>For all services procured through Competitive Negotiation:</u>	
☐ RFQ and/or RFPs, if applicable (professional services only)	
☐ Advertisement of RFP/RFQ	
☐ All responses (offers) to Advertisement, RFQ and/or RFPs received	
☐ Written review and evaluation of responses (offers) received	

Files to Maintain	Notes/Dates
For all services procured through Non-Competitive Negotiation: ☐ Written approval from OCD ☐ Advertisement of RFP/RFQ ☐ Response (offer) to Advertisement, RFQ and/or RFPs received ☐ Written review and evaluation of responses (offers) received ☐ Written documentation of negotiation with firm	

4.8 Labor Standards Files

Files to Maintain	Notes/Dates
Labor Standards *(Refer to Manual Section 7)* ☐ Designation of a local Labor Standards Compliance Officer ☐ Federal Labor Standards Provisions ☐ Evidence of apprenticeship/trainee registration and certification if apprentice or trainee rates were paid ☐ Employee interviews ☐ Evidence indicating that the federal wage determination and the Labor, E.O., and Safety posters were posted ☐ Complaints from workers, if any, and actions taken ☐ Labor Standards Compliance Report(s), if any ☐ Final Wage Compliance Report ☐ Traceable Correspondence of Liquidated Damages add ☐ Supplementary Statement add ☐ Labor Standards Enforcement Report add ☐ Grantee Notification of Underpayment or Withholding Wage Determination ☐ Request for Wage Determination ☐ Wage Rate Decision (includes Invitation for Bids (IFB), Request for Proposal (RFP) and Purchase Order (PO) if applicable) ☐ Project Wage Rate Sheet(s) ☐ Evidence of the 10-day call ☐ Wage determinations modifications and additional classifications with Supplemental Agreement	

Files to Maintain	Notes/Dates
Payroll ☐ Payroll deduction authorizations ☐ Evidence of restitution, if any ☐ Apprenticeship papers for all Contractors/Subcontractors utilizing apprentices ☐ Trainees papers for all Contractors/Subcontractors utilizing trainees ☐ Contractor's/Subcontractor's New Employee Information Form ☐ Contractor's/Subcontractor's Existing Employee Information Form ☐ Contractor's and subcontractor's weekly payrolls ☐ Corrected Payroll, if applicable ☐ Certified Correction Payroll, if applicable ☐ Statements of Compliance signed by an officer of the company ☐ Fringe Benefit Verification ☐ Payroll Form/Statement of Compliance: fringe benefits must be marked ☐ Supplementary Signed Statement for fringe benefits if not using previous forms	

4.9 Civil Rights Files

Files to Maintain	Notes/Dates
Civil Rights *(Refer to Manual Section 8)* Section 3 of the HUD Act of 1968 ☐ Section 3 of the HUD Act of 1968 Complaint Form ☐ Fair Housing activity (incl. Utility Bill Stuffer and a Fair Housing flyer) ☐ Section 3 of the HUD Act of 1968 Employment activity ☐ Section 3 of the HUD Act of 1968 Contracting activity Equal Opportunity ☐ Equal Opportunity Records ☐ Employment and Training, Construction and Non-construction Report Section 504 ☐ Self-evaluation with all areas examined	

Files to Maintain	Notes/Dates
☐ List of interested persons consulted ☐ Transition Plan (if applicable) ☐ Summary of Previous Actions Taken to Achieve Compliance with Section 504 ☐ Description of modifications made, or to be made, whether administratively or physically ☐ Designation of responsible person to coordinate Section 504 (if 15 or more employed) ☐ Grievance Procedure (if 15 or more persons are employed) - relating specifically to Section 504 ☐ Notices Required (if 15 or more persons are employed) ☐ Statement of Policy to be used with published or recruitment materials or publications of general information ☐ Method for ensuring participation by those likely to be affected by the Disaster Recovery CDBG Program who have visual or hearing impairments ☐ Procedures which ensure that interested persons (including those with visual or hearing impairments) can obtain information on the existence and location of accessible services, activities, and facilities ☐ Employment/Personnel Practices ☐ Data which shows the extent to which handicapped individuals are benefitting from the Disaster Recovery CDBG program ☐ Section 504 Assurance	

4.10 Environmental Review Files

Files to Maintain	Notes/Dates
Environmental Review Record *(Refer to Manual Section 9)* ☐ Environmental Review Record (ERR) ☐ Certified Environmental Findings and Records ☐ Finding of Exemption ☐ Documentation ☐ Certification of Exemption for HUD-funded Projects (Exhibit 9-1) ☐ Confirmation from the OCD-DRU	

Files to Maintain	Notes/Dates
☐ Finding of Categorical Exclusion (if applicable) ☐ Documentation ☐ Confirmation from the OCD/DRU ☐ Statutory checklist ☐ Project description ☐ Environmental Assessment/Checklist (if applicable) ☐ ERR Project Map with boundaries marked ☐ Floodplain Map (if applicable) ☐ Floodplain Notices/8-step documentation (if applicable) ☐ US Corps of Engineers letters (to and from / if applicable) ☐ State Historic Preservation letters (to and from) ☐ Farmland Conversion Impact Rating form (if applicable) ☐ Historic Preservation Housing Rehab Certifications (for housing activities only) ☐ Statutory Checklist Completion Forms (for housing activities only) ☐ Notice of Intent to Request Release of Funds **OR** Combined Notice of Finding of No Significant Impact and of Intent to Request a Release of Grant Funds ☐ Notice of FONSI distribution list ☐ Finding of No Significant Impact (FONSI) ☐ Finding of Significant Impact (FOSI) ☐ Request for Release of Funds and Certification ☐ Notice of Release of Funds ☐ All letters related to ERR process ☐ Any required permits	Notes/Dates

4.11 Acquisition Files

Files to Maintain	Notes/Dates
Acquisition ***(Refer to Manual Section 10)*** ☐ Voluntary Acquisition Policy ☐ Intent Not to Acquire, if applicable ☐ Waiver for Donated Property, if applicable	

☐ Quick-take forms, if applicable ☐ List identifying all parcels to be acquired for the project ("Acquisition Composite List") For each parcel, easement, or right-of-way acquired or obtained: ☐ Identification of property and property owner(s), ☐ Determination of ownership, ☐ If applicable, evidence that owner received a Preliminary Acquisition Notice accompanied by the notice entitled "When a Public Agency Acquires Your Property", ☐ A copy of valuation for each parcel obtained by purchase whether by appraisal or opinion of a knowledgeable person, ☐ If applicable, a Statement of the Basis For the Determination of Just Compensation ☐ If applicable, a copy of the written purchase offer and documentation of the date of delivery, ☐ If applicable, as in the case of a donation, a Property of Servitude Acquisition Waiver, ☐ Record of negotiations with the property owner, ☐ Acquiring agency's administrative settlement and supporting documentation, ☐ Copy of a Contract of Sale or Act of Donation, ☐ Copy of a Statement of Settlement Costs and evidence (via a copy of a cancelled check) that the owner received net proceeds (if applicable) due from sale, ☐ Copy of recordation at the appropriate parish courthouse, ☐ If applicable, a copy of an appeal or complaint filed and Agency response. **Persons Not Displaced *(Refer to Manual Section 10)*** For each person not displaced: ☐ Evidence that the person received timely written notice that he/she would not be displaced by the project; ☐ Evidence that tenants occupying a dwelling received a timely offer of: (a) a reasonable opportunity to lease and occupy a suitable, affordable, decent, safe and sanitary dwelling on the real property and (b) reimbursement of any out-of-pocket expenses incurred in connection with any temporary relocation or a move to another unit on the real property; ☐ For each occupant that is not displaced but elects to move permanently from the real property, indicate the reason for the move and any personal contact to explain that the person will not qualify for relocation payments as a "displaced person". **Displaced Persons *(Refer to Manual Section 10)*** ☐ Identification of the person's name, address, racial/ethnic group classification and date of initial occupancy. For residential tenant-occupants, include age, sex, and income of all members of the household and monthly rent and utility costs. For homeowners, include Agency "acquisition cost" of unit. For nonresidential	

Files to Maintain	Notes/Dates
occupants, include type of enterprise; ☐ Evidence that person received timely written notice of possible displacement and a general description of the relocation payments and advisory services for which he/she may be eligible, basic eligibility conditions and the procedures for obtaining payments; ☐ Evidence that person received timely written notice of eligibility for relocation assistance and, for those displaced from a dwelling, the specific comparable replacement dwelling and the related cost to be used to establish the upper limit of the replacement housing payment; ☐ Identification of relocation needs and preferences, dates of personal contacts and services provided; ☐ Identification of referrals to replacement properties, date of referral, rent/utility costs or sale price (if dwelling), date of availability, reason(s) person declined referral; ☐ Copy of 90-day notice and vacate notice, if issued; ☐ Identification of actual replacement property, rent/utility costs or sale price (if dwelling) and date of relocation; ☐ Copy of replacement dwelling inspection report showing condition of unit and date of inspection; ☐ Copy of each approved claim form and related documentation, evidence that person received payment, and if applicable, Section 8 Certificate or Housing Voucher; ☐ Copy of any appeal or complaint filed and grantee response.	

4.12 Demolition Files

Files to Maintain	Notes/Dates
Demolition *(Refer to Manual Section 10)* For each property demolished, excluding Reconstruction: ☐ A file for each unit demolished ☐ Evidence that demolition was carried out in accordance with the requirements under La. R.S. 33:4765/et.seq. ☐ Proof that the unit was not able to be rehabilitated in a cost efficient manner. (Photos or written Section 8 checklists, other documentation) ☐ Proof that the unit was vacant prior to demolition.	

4.13 Relocation Case Files

Files to Maintain	Notes/Dates
Relocation Case Files *(Refer to Manual Section 10)* ☐ URA Policy ☐ Claim form(s) ☐ Claim for Fixed Payment in Lieu of Payment for Actual Reasonable Moving and Related Expenses ☐ Claim for Moving Costs ☐ Claim for Replacement Housing Payment for Homeowners ☐ Claim for Rental Assistance or Down payment Assistance ☐ Acknowledgement of Receipt of Relocation Payments For each relocation claim: ☐ Evidence and dates of personal contacts; and description of services provided. ☐ Identification of person, displacement property, racial/ethnic group classification, age and sex of all members of household, monthly rent and utility costs for displacement and replacement housing, type of enterprise, and relocation needs and preferences. ☐ Notice of Eligibility for Relocation Assistance ☐ Notice of Non-displacement ☐ Recipient Interview and Survey (Household Case Record form for replacement-housing needs ☐ Identification of referrals to replacement properties, date of referral, sale price or rent/utility costs (if dwelling), date of availability, and reason(s) for declining referral. ☐ Copy of 90-day notice and vacate notice, if issued. ☐ Identification of actual replacement property, sale price or rent/utility costs (if dwelling), and date of relocation. ☐ Replacement dwelling inspection report; and date of inspection. ☐ A copy of each approved claim form and related documentation; evidence that the person received payment. ☐ Copy of any appeal or complaint filed and recipient's response. ☐ Copy of deferred loan lien agreement that has been filed with the clerk of courts office <u>Business Relocation</u> ☐ General Information Notice (GIN) ☐ Notice of Interest (Notice to Owner)	

Files to Maintain	Notes/Dates
☐ Relocation Eligibility (NOE)	

4.14 Property Management Files

Files to Maintain	Notes/Dates
Property Management ☐ Grantee Agreement/CEA ☐ Physical Inventory and Reconciliation of Inventory records on Property Control Tracking log (See Exhibit 11-1) ☐ Proof of Adequate maintenance and control ☐ Proper sales procedures ☐ Equipment records ☐ Equipment of Disposition	

4.15 State Monitoring/Inspection Files

Files to Maintain	Notes/Dates
State Monitoring/Inspections *(Refer to Manual Section 12)* ☐ State letter(s) of findings ☐ Grantee response to letter of findings ☐ State's response clearing findings ☐ Other correspondence related to the OCD-DRU's monitoring visits	

4.16 Project Close-out Files

Files to Maintain	Notes/Dates
Project Close-out *(Refer to Manual Section 13))* ☐ Project Completion Report ☐ Conditional Project Close-out letter from OCD-DRU ☐ Final Project Close-out letter from OCD-DRU ☐ Certificate of Completion Forms ☐ Clear Lien Certificate ☐ Construction Contract Change Orders	

Files to Maintain	Notes/Dates
☐ Grantee/CEA Final Performance Report ☐ Grantee/CEA Close-out letter from OCD-DRU	

4.17 Lead-Based Paint Files

Files to Maintain	Notes/Dates
Lead-Based Paint Files ***(Refer to Manual Section 14)*** ☐ Documentation that tenants were provided with Lead Hazard Pamphlet or an EPA-approved equivalent ☐ Documentation that the disclosure form was included in the lease packet and was signed by the tenant prior to executing a lease. ☐ Documentation that a lead-based paint evaluation or assessment was performed on any housing project (buildings built prior to 1977 only) ☐ Proof of Lead Hazard Reduction work ☐ Proof of ongoing maintenance activities, if required ☐ Documentation that safe work practices were followed for all maintenance and renovation work that disturbs paint that may be lead-based paint above the de-minimus level.	

4.18 General Compliance Files

Files to Maintain	Notes/Dates
General Correspondence ☐ Incoming and outgoing correspondence that does not fall into the above categories or into a specific project file category	

4.19 Specific Requirements for Hurricane Isaac Allocation

Files to Maintain	Notes/Dates
Green Building Standards ☐ Documentation certifying achievement of ENERGY STAR, Enterprise Green Communities, LEED, ICC-700, EPA Indoor AirPlus, or other equivalent green building program OR completion of the HUD CPD Green Building Retrofit Checklist	