

Grantee/Administrator Checklist

GETTING ORGANIZED

File all records and documents as received

_____ Identify person with responsibility to file and maintain records.

___/___/___

_____ Set up files with tabs system provided.

___/___/___

GETTING STARTED

Chapter 1 Environmental Review Process

**Date
Completed**

_____ Each grant activity reviewed separately and a separate environmental determination made for each.

___/___/___

_____ Environmental Review Record (Form ENV-1) set up for each activity and procedures followed in the Handbook for Compliance with Environmental Review Standards.

___/___/___

_____ All environmental review forms indicated in handbook filled out with required dates and signatures.

___/___/___

_____ Originals of all required forms and the necessary back up documentation sent to the Agency.

___/___/___

_____ Copies of all required forms and the necessary back up documentation filed in the Environmental Review file.

___/___/___

_____ Copy of Environmental Release letter from the Agency received and filed in the Environmental Review file.

___/___/___

_____ Procedure established for following any requirements outlined in the Environmental Release letter.

___/___/___

_____ Procedure for follow-up on any requirements of the Historic Preservation Officer.

___/___/___

Grantee/Administrator Checklist

Chapter 2 The Grant Agreement

- _____ Receive Attachments A, B, C, and D as drafted by the Agency representative.
- _____ Return draft attachments with comments and suggestions.
- _____ Receive final Grant Agreement from Agency for final approval.
- _____ Return Grant Agreement from Agency with authorized signature.
- _____ Receive fully executed Grant Agreement from Agency.
- _____ File original.

Date Completed

___/___/___

___/___/___

___/___/___

___/___/___

___/___/___

___/___/___

Chapter 3 Forms, Policies and Resolutions

Municipal Policies and Codes

- _____ Adopt the policies as necessary at a regularly warned meeting of the legislative body.
- _____ File original in municipal files and copy in Grant Award file (whether administered by the municipality or a subgrantee).
- _____ Send copy to your Agency representative.

Date Completed

___/___/___

___/___/___

___/___/___

Financial Management Forms

- _____ For Form FM-1, if securing insurance for over \$100,000, send documentation to the Agency.
- _____ For Form FM-2, check box that indicates whether one or two signatures are required.
- _____ For Form FM-2, type the names of authorized signatories and have them sign in the appropriate places; the CEO or designee must sign the form.
- _____ Send originals to the Agency.
- _____ File copies in Grant Award file.

Date Completed

___/___/___

___/___/___

___/___/___

___/___/___

___/___/___

Grantee/Administrator Checklist

Grant Agreement Resolutions

_____ Adopt the resolution(s) as necessary at a regularly warned meeting of the legislative body(s).

___/___/___

_____ File copies in the grantee's Grant Award file.

___/___/___

Loan and Security Agreement

_____ Have Loan and Security Agreement signed by borrower.

___/___/___

_____ File copies in the grantee's Grant Award file.

___/___/___

Federal Compliance Requirements Checklist

Your grant may trigger certain compliance requirements. Check which ones of the following describe parts of your program and refer to appropriate chapters in the Guide to ensure that proper procedures are in place. Other requirements will also apply and will appear in later chapters, but these are the ones that often cause difficulty when not prepared for in advance.

_____ Your program involves a construction project of over \$2,000 using contract labor. See Chapter 7 on Davis-Bacon.

___/___/___

_____ Your program requires a contract for supplies, materials and construction. See Chapter 6 on Procurement and Contracts.

___/___/___

_____ Your program involves acquisition and/or relocation or potential displacement of any Individuals, businesses, firms, or organizations. See Chapter 5 on Displacement, Acquisition and the Uniform Relocation Act.

___/___/___

_____ Your program involves job creation and/or retention, housing rehabilitation, acquisition, or construction, or any other activities which must show benefit to low and moderate income people. See Chapter 8, Documenting Benefit and Chapters 9, 10 and 11 on Program Management.

___/___/___

_____ Some programs disclose a real or perceived conflict of interest on someone's part. If you find any indication of this, alert your CD Specialist immediately.

___/___/___

**Date
Completed**

**Date
Completed**

**Date
Completed**

Grantee/Administrator Checklist

_____ All VCDP funds must be protected. All people at the grantee level who deposit VCDP funds (including Program Income) and/or sign checks must secure a fidelity bond in an amount **commensurate with potential loss**.

Date Completed

___/___/___

_____ All grants require Progress Reports. See Chapter 4 for the types of information you will need to collect throughout the duration of your grant.

___/___/___

_____ If your program will receive Program Income, a proposal for administration of that program income was a part of your grant proposal. A final plan for administration of Program Income will appear in a Closeout Agreement with the Agency. A draft agreement should be reviewed by the Agency midway through the grant period. See Chapter 14.

___/___/___

_____ All grant funds must be audited. Depending on the amount of federal funds expended in any particular municipal fiscal year, a municipality must hire an independent, outside auditor to conduct a single audit. VCDP recommends that you call in an auditor at the beginning of the grant period to review your financial management System to ensure the auditability of the grant. See Chapter 13 on Audit Requirements. If you pay for the audit with VCDP funds, you must hire the auditor using a competitive hiring process described in Chapter 6, Procurement and Contracts, or have gone out to bid for the auditor within the pass three years.

___/___/___

Chapter 4 Grant Administration

Grant Administration

_____ Choose administrative structure.

Date Completed

___/___/___

_____ If within municipal administration, send a letter to the Agency with name of person(s) assigned to be the grant administrator(s) along with their title and other responsibilities.

___/___/___

Designating a Public Agency

_____ If contracting with either a public agency or a consultant, send the Agency a copy of the contract as required in Attachment A of the Grant Agreement, as well as Form PM-4, Resolution to Designate a Public Agency, if applicable.

Date Completed

___/___/___

Grantee/Administrator Checklist

Financial Management

	Date Completed
_____ Establish non-interest bearing depository account.	___/___/___
_____ Execute Lump Sum Agreement with Financial Institution (if applicable), and send a copy to the Agency. Only for scattered site rehabilitation revolving loan funds.	___/___/___
_____ Decide who will have the financial management responsibilities.	___/___/___
_____ • obligations register	___/___/___
_____ • cash control register	___/___/___
_____ • cash receipts journal	___/___/___
_____ • cash disbursements journal	___/___/___
_____ • budget control ledger	___/___/___
_____ Prepare an internal control system and train personnel in its use.	___/___/___
_____ Identify the sources of Other Resources and establish documentation guidelines for expenditure of each source.	___/___/___

Requisitions

	Date Completed
_____ Read instructions on the back of the requisition form very carefully prior to filling out each requisition.	___/___/___
_____ Ensure that documentation is in the files to support each requisition.	___/___/___
_____ Fill out the requisition form with all required dates and signatures, making sure the requisition form is signed by the correct number of authorized individuals.	___/___/___
_____ Complete Part III of requisition reporting the total expenditure of Other Resources to date.	___/___/___
_____ Send requisition form to the Agency.	___/___/___
_____ Place a copy of each requisition form in grant files under Financial.	___/___/___

Grantee/Administrator Checklist

Progress Reports

- _____ Identify who has responsibility for completing the Progress Report (may include different individuals for various sections of the report).
- _____ Read instructions for Progress Reports and if anything is unclear contact your CD Specialist.
- _____ Establish a tickler file so due date for Progress Reports is known and met.

Date
Completed

___/___/___

___/___/___

___/___/___

Chapter 5 Displacement, Acquisition and Relocation

Acquisition

- _____ Complete all steps in the acquisition process as required by the Uniform Act, such as appraisal(s), written purchase offer(s), documentation of payments to the owner(s), all pertinent legal documents completed and filed.
- _____ Show dates and sequence of each phase of the acquisition process.
- _____ Where acquisition is voluntary, show that the owner(s) were notified in advance.

___/___/___

___/___/___

___/___/___

The Uniform Relocation Act

- _____ If URA applies request Handbook 1378.
- _____ Review and begin implementation of municipality's Anti-displacement Plan.
- _____ Prepare adequate relocation plan for relocation of affected people and businesses.
- _____ Send copy of relocation plan to Agency for review and approval.
- _____ Hire and train staff sufficiently to carry out plan.
- _____ Notify all affected parties in writing of their potential (actual) displacement.
- _____ Inform affected parties of their rights and potential eligibility for benefits.

Date
Completed

___/___/___

___/___/___

___/___/___

___/___/___

___/___/___

___/___/___

___/___/___

Grantee/Administrator Checklist

<input type="checkbox"/>	Provide counseling and technical assistance to those displaced through their relocation.	Date Completed ___/___/___
<input type="checkbox"/>	Receive and process moving expense claims promptly.	___/___/___
<input type="checkbox"/>	Evaluate relocation activities as to their success.	___/___/___
<input type="checkbox"/>	Ensure that adequate documentation of relocation activities exists.	___/___/___

Chapter 6 Procurement and Contracts

Procurement

<input type="checkbox"/>	Follow proper procurement standards. (See Agency Procedures, Chapter 10)	Date Completed ___/___/___
<input type="checkbox"/>	Determine proper procurement method. (See Agency Procedures, Chapter 10)	___/___/___
<input type="checkbox"/>	Advertise invitation to bid; locally, regionally, Dodge Reports, works in progress.	___/___/___
<input type="checkbox"/>	Advertise for sealed bids, or requests for proposals (if using competitive negotiations).	___/___/___
<input type="checkbox"/>	Encourage, through advertisement, the use of local and minority business enterprises.	___/___/___
<input type="checkbox"/>	Ensure competitive procurement standards are met for professional services, clerk-of-the-works contracts that will be paid with federal funds.	___/___/___
<input type="checkbox"/>	Ensure all contracts for prime contractors are competitively procured, and all related procurement documentation maintained.	___/___/___
<input type="checkbox"/>	Meet with prospective bidders. If necessary, hold a workshop for prospective bidders.	___/___/___
<input type="checkbox"/>	Set deadlines for acceptance of bids and/or proposals.	___/___/___
<input type="checkbox"/>	Be available at the monitoring visit:	___/___/___
<input type="checkbox"/>	<input type="checkbox"/> Pre-Qualification Agenda	___/___/___
<input type="checkbox"/>	<input type="checkbox"/> Bid summary sheet.	___/___/___
<input type="checkbox"/>	<input type="checkbox"/> Pre-bid meeting (notice and minutes)	___/___/___
<input type="checkbox"/>	<input type="checkbox"/> Bid opening (notice and minutes)	___/___/___
<input type="checkbox"/>	<input type="checkbox"/> Notice to rejected bidders	___/___/___
<input type="checkbox"/>	Make sure all prospective bidders understand the conditions under which a contract will be let.	___/___/___

Grantee/Administrator Checklist

Date Completed

_____ Make sure all potential bidders are capable of being bonded if bid bonds are required.

___/___/___

_____ Make sure the prime contractor and subcontractors are not listed on the HUD debarment list on the following website:
[HTTP://epls.arnet.gov/epls/servlet/EPLSSearchMain/1](http://epls.arnet.gov/epls/servlet/EPLSSearchMain/1)

___/___/___

_____ Make sure the prime contractor has been certified and registered with the Vermont Secretary of State's Office to do business in the state on the following website:
www.sec.state.vt.us/seek/database.HTM#corporations

___/___/___

_____ Provide Notice of Award.

___/___/___

_____ Provide Notice to rejected bidders.

___/___/___

_____ Provide Notice to proceed.

___/___/___

_____ Provide certification of substantial completion.

___/___/___

_____ Conduct pre-construction conference.

___/___/___

Contracts

Date Completed

_____ Write contract and check for minimum requirements.

___/___/___

_____ Review and meet Special Conditions (Attachment A) requirements regarding all contracts.

___/___/___

_____ Set up a contract file for each individual contract. (All related documents should be maintained in this file.)

___/___/___

_____ File any legal instruments related to the contract with the municipal clerk where applicable.

___/___/___

Chapter 7 Fair Labor Standards and Davis Bacon

___/___/___

_____ If Davis-Bacon applies, secure wage rate determination from the following website www.gpo.gov/davisbacon or request rates from the Agency by using Form LAB-1.

_____ Place copy of secured wage rate determinations in file or the copy received from the Agency.

___/___/___

Grantee/Administrator Checklist

		Date Completed
_____	Include labor standards in bid specs and contracts.	_ / _ / _
_____	Assign labor standards compliance management to specific individuals.	_ / _ / _
_____	Check with Agency on contractors' eligibility to participate in federal contracts.	_ / _ / _
_____	Perform labor standards compliance monitoring.	_ / _ / _
_____	Hold a pre-construction conference; record and file minutes.	_ / _ / _
_____	Regularly complete and review required forms.	_ / _ / _
_____	Maintain thorough records.	_ / _ / _
_____	Employee Interview worksheets.	_ / _ / _

Chapter 8 Documenting Benefit

		Date Completed
_____	Determine method of establishing and documenting benefit.	_ / _ / _
_____	Identify person(s) with responsibility for preparing benefit records.	_ / _ / _
_____	Review periodically how the benefit achieved to date measures up to the benefit required by the terms of the Grant Agreement.	_ / _ / _
_____	Determine where the benefit records are to be physically located.	_ / _ / _

PROGRAM MANAGEMENT

Chapter 9 Housing
(some items may not be applicable)

_____	Hire and train staff.	_ / _ / _
_____	Determine basic housing needs of the community or target area.	_ / _ / _
_____	Create an advisory group and outline duties.	_ / _ / _
_____	Develop operating procedures.	_ / _ / _
_____	Market the program in the appropriate area.	_ / _ / _

Grantee/Administrator Checklist

	Date Completed
_____ Acquire property.	_/_/___
_____ Solicit and review applications.	_/_/___
_____ Determine income and property eligibility.	_/_/___
_____ Make awards.	_/_/___
_____ Carry out construction or rehab activities:	_/_/___
_____ a) develop work plan based on Section 8 inspection.	_/_/___
_____ b) hire contractor.	_/_/___
_____ c) see that all necessary permits are secured.	_/_/___
_____ d) arrange for loans or grant funds.	_/_/___
_____ e) review and authorize any change orders.	_/_/___
_____ f) perform final inspection to ensure that all Section 8 requirements are met.	_/_/___
_____ g) pay any amounts owed to contractors and secure release of liens.	_/_/___
_____ h) ensure that all records for each project are correct, completed and filed.	_/_/___

Chapter 10 Economic Development

	Date Completed
_____ During the grant agreement negotiation process with VCDP, ensure that all parties (municipality, for-profit business and/or nonprofit organization) agree on the terms and conditions of the agreement.	_/_/___
_____ Ensure that the loan documents between the municipality and the business/nonprofit are consistent with the grant agreement.	_/_/___
_____ Clearly define program roles and functions: job documentation/reporting, progress reporting, specific federal compliance requirements, etc.	_/_/___
_____ Establish periodic (at least quarterly) assessments by the municipality of the financial condition of the company and their continued capability to meet the loan obligations.	_/_/___

Grantee/Administrator Checklist

Date
Completed

Chapter 11 Public Facilities and Services

- _____ Secure all the necessary permits. (List and date) _____ / ____ / ____
- _____ _____ _____ / ____ / ____
- _____ _____ _____ / ____ / ____
- _____ _____ _____ / ____ / ____
- _____ _____ _____ / ____ / ____
- _____ _____ _____ / ____ / ____
- _____ _____ _____ / ____ / ____
- _____ Set up construction contract administration file. (Facilities) _____ / ____ / ____
- _____ File all documentation. _____ / ____ / ____
- _____ As required in Attachment A of the Grant Agreement, send copies of the documents to the Agency. _____ / ____ / ____

CLOSING OUT THE GRANT

Date
Completed

Chapter 12 Program Closeout

The checklist for this Chapter is included in the VCDP Program Closeout Handbook which will be sent to you by Agency staff as you approach closeout. _____ / ____ / ____

Chapter 13 Audit Requirements

- _____ Confirm that the legislative body is fully aware that the VCDP funds will not pay the full fee if a single audit is required and the grantee must pay the amount not chargeable to the grant. _____ / ____ / ____
- _____ File documentation that the auditor was hired using a proper procurement method. _____ / ____ / ____
- _____ File the auditor contract (not to exceed three years). _____ / ____ / ____
- _____ Read the Single Audit Act as amended July 1996, A-133, and Agency Procedures, Chapter 48. _____ / ____ / ____

Grantee/Administrator Checklist

- _____ Verify that the contract(s) with the subrecipient(s) contains language:
 - _____ 1) requiring the subrecipient to have a proper audit conducted, and
 - _____ 2) permitting independent auditors access to financial records.
- _____ Select the method in which you will determine whether the subrecipient has complied with applicable laws and regulations.
- _____ Determine at the end of your fiscal year whether or not a single audit report is necessary, being sure to include Program Income in the determination.
- _____ Submit the audit report to the Department within the required time frame.
- _____ Submit to the Department your response to any findings, questioned costs and internal control weakness/reportable condition contained in the audit report.

Date Completed

____/____/____
 ____/____/____
 ____/____/____
 ____/____/____
 ____/____/____
 ____/____/____

Chapter 14 Closeout Agreement, Program Income and Designating a Nonprofit Community Development Corporation

Closeout Agreement

- _____ Develop Closeout Agreement draft with anticipated amount of Program Income, use of funds, budgets and management plan.
- _____ Review draft for current validity and revise as necessary.
- _____ Submit required materials to the Agency and file copies in grant files.

Date Completed

____/____/____
 ____/____/____
 ____/____/____

Program Income and Designating a Nonprofit Community Development Organization (NCDO)

- _____ Develop revolving loan fund policies and procedures.
- _____ Decide whether RLF will be a municipal project, or;
- _____ Designate a nonprofit community development organization (NCDO).

Date Completed

____/____/____
 ____/____/____
 ____/____/____