

CDBG GRANT MANAGEMENT HANDBOOK (2007 Edition)

CHAPTERS/EXHIBITS

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Chapter 1 – Exhibits

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Chapter 1 – How to Start the Project

Recipient Checklist

- ___ 1. Identify responsible party (Exhibit 1A)
- ___ 2. Review *Special Conditions of Award* (Exhibit B of grant contract)
- ___ 3. Adopt *Excessive Force Policy*, if not already in place (Exhibit 1D)
- ___ 4. Submit the following documents to OECDD:
 - ___ Signed Contract (sign in 3 places: main body, Exhibit C, Exhibit C1)
 - ___ Signed *Signature Card* (sign according to instructions on back of card) (Exhibit 1B)
 - ___ Completed *Authorization for Electronic Deposit (Exhibit 1C)*
 - ___ Evidence of adoption of *Excessive Force Policy*
- ___ 5. Establish a project filing system (Refer to Chapter 11)
- ___ 6. Amend local budget, if necessary (Refer to Chapter 4)
- ___ 7. Set up a project account in financial management system (Refer to Chapter 4)
- ___ 8a. Identify the “Certifying Officer” (Refer to Chapter 3)
- ___ 8b. Complete and submit the *Finding of Exemption* form signed by the Certifying Officer
- ___ 10. Procure Grant Administrator, if needed (Refer to Chapter 5)
- ___ 11. Complete First Draw Requirements (Refer to Chapter 2)
- ___ 12. Prepare and supply a *Notice to Tenants*, if applicable (Refer to Chapter 8)

How to Start the Project

<p><u>Step 1:</u> Responsible Parties</p>	<p>Identify the staff person or elected official of the recipient who will be responsible for the project.</p> <p>While it is critical that one person have overall responsibility for the project, more than one person may be involved in the management of the funded activities. Specific individuals should be identified as soon as possible for the activities listed in the <i>Guidelines for Grant Administration (Exhibit 1A)</i>.</p>
<p><u>Step 2:</u> Special Conditions of Award</p>	<p>Review the grant contract documents and instructions carefully, especially the <i>Special Conditions of Award</i> shown in the grant contract. Special conditions are tailored to your specific project and are therefore “special” as opposed to boilerplate “standard” conditions in the body of the contract. Please make note of all conditions that must be met prior to taking any action. Some special conditions may need to be addressed prior to:</p> <ul style="list-style-type: none">• Execution of the contract;• Obligating funds or incurring expenses;• Drawing down funds;• Drawing down construction funds; and• Administrative closure.
<p><u>Step 3:</u> Excessive Force Policy</p>	<p>If the recipient does not already have one, an <i>Excessive Force Policy</i> must be adopted by the City Council or Board of County Commissioners. Exhibit 1D contains an example of a format that may be used.</p>
<p><u>Step 4:</u> Required Contract Documents</p>	<p>Return the following documents to the Department within 45 days from receipt of the contract:</p> <ul style="list-style-type: none">• The fully signed contract marked “State Copy” with all exhibits;• Signed <i>Signature Card (Sample: Exhibit 1B)</i> • Completed <i>Authorization for Electronic Deposit</i> form (Exhibit 1C); and• Evidence of adoption of an <i>Excessive Force Policy (Exhibit 1D)</i>.
<p><u>Step 5:</u> Project File</p>	<p>Establish a filing system for project records. These records are to be maintained by the recipient. All project-related documents, correspondence and records must be in the file. Refer to Chapter 11 for additional information on required records.</p>
<p><u>Step 6:</u> Budget Amendment</p>	<p>Determine if Oregon Municipal Budget Law will require a local budget amendment due to receipt of the grant. If a budget amendment is required, carry out the necessary actions required under state law to accomplish this amendment.</p>

Chapter 1 – How to Start the Project

Step 7: **Project Account**

Set up a project account in the recipient's financial management system using the approved project budget and the "Open New Account Form" received with the grant contract. Refer to Chapter 4 for more details.

Step 8: **Finding of Exemption**

Designate a "Certifying Officer". The recipient's highest-ranking elected official is deemed the certifying officer unless someone else has been officially designated. A more detailed description is found in Chapter 3.

Complete a *Finding of Exemption from Part 58 Environmental Review Requirements* for grant administration and other activities that are exempt from environmental review (**Exhibit 3C**). This **must** be submitted before any grant funds are obligated for these activities. Refer to Chapter 3 for more information.

Step 9: **Grant Administrator**

Procure grant administration services, if needed. Refer to Chapter 5 for the procurement requirements and OECDD review procedures that must be met.

The department's Regional Coordinators will require the recipient to identify the person(s) to be involved in the administration of this project before the first draw. **Exhibit 1A** or a similar approved format may be used for designating responsibility for the project activities.

Step 10: **First Draw Requirements**

Complete the first draw requirements described in Chapter 2 and any necessary Special Conditions identified in the grant contract.

Step 11: **Notice to Tenants**

If the project will affect residents or businesses in existing structures and those tenants did not receive the required notice at the time of grant application, prepare and supply a *Notice to Tenants*, if applicable. The requirements that must be met, along with sample letters for different situations, are contained in Chapter 8.

Oregon Community Development Block Grant
Guidelines for Grant Administration

The following information will help grant recipients plan for smooth administration of the project. While it is critical that one person have the overall responsibility for the project, it is possible for more than one person to be involved in daily management of the grant-funded activities. Specific individuals must be identified as responsible for all the activities listed in these guidelines that are part of the grant-funded project.

These guidelines do not include every step that is involved in the administration of a Community Development Block Grant. They are not to be used as a substitute for the Grant Management Handbook. Not all these activities listed below are considered grant/project administration costs and may be activity delivery costs.

Step One: Designate the person(s) who will be responsible for the grant project. This may be a local official or staff person of the recipient city or county.

Name	Responsibilities
	1. Serve as recipient’s official point of contact with the Oregon Economic and Community Development Department
	2. Ensure that grant contract is executed, including any “Special Conditions” that must be met
	3. Ensure that a <i>Finding of Exemption from Part 58 Environmental Review Requirements</i> is signed prior to obligation of grant funds for any purpose. (Note: This must be done PRIOR TO signing contract with Grant Administrator)
	4. Oversee procurement of Grant Administrator, if necessary
	5. Monitor performance of any outside organization or contractor engaged to perform grant administration

Step Two: Designate one person who will have overall responsibility for grant administration. This can be a local official or staff person of the grant recipient, someone from another unit of government (interagency agreement) or an independent contractor (for profit business, nonprofit organization, or an individual) hired to provide administration services.

	<ul style="list-style-type: none"> • Serve as central contact for local, state, and federal people involved in the project • Be knowledgeable about federal and state requirements affecting the project; attend workshops and other grant-related training provided by the Oregon Economic and Community Development Department • Coordinate all grant activities • Administer all grant-related contracts • Ensure grant recipient meets all conditions of the grant contract and that contractors fulfill contractual obligations • Monitor project progress against grant contract scope of work and budget and report progress to elected officials and the state
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Step Three: Designate person(s) who will be responsible for specific grant administration activities.

Name	Responsibilities
	<ol style="list-style-type: none"> 1. Procure architect/engineering services and construction contractors: <ul style="list-style-type: none"> • Possess knowledge of state law for procurement of materials and services • Comply with state and local procurement laws and ordinances • Prepare Requests for Proposals and/or Requests for Qualifications • Coordinate drafting and reviewing of contracts to ensure compliance with federal requirements • Prepare scope of services for each contract and obtain approval by appropriate regulatory authorities • Ensure state review of all project-related contracts • Prepare contract amendments or requests to state for grant contract amendments, when needed
	<ol style="list-style-type: none"> 2. Complete “first draw” requirements prior to requesting a drawdown of grant funds for non-construction activities: <ul style="list-style-type: none"> • Ensure preparation and signing of <i>Finding of Exemption from Part 58 Environmental Review Requirements</i> for grant administration, engineering, architectural, and other “exempt” activities. • Ensure adoption and publication of a Fair Housing Resolution • Obtain firm commitment of all other project funds • Ensure compliance with the state of Oregon’s <i>Residential Antidisplacement and Relocation Assistance Plan</i>, if applicable • Ensure completion of Self-Evaluation for Compliance with Section 504 Handicap Accessibility Checklist and related requirements • For recipients with 15 or more employees, assure a current <i>Policy of Nondiscrimination on the Basis of Handicapped Status</i> and related grievance procedures are in place

Name	Responsibilities
	<p>3. Complete “first draw” requirements prior to requesting a drawdown of grant funds for construction activities:</p> <ul style="list-style-type: none"> • Obtain review of plans, specifications and all bid documents, including the advertisement (call) for bids, at least 10 days before anticipated advertisement date • Ensure that the appropriate environmental review process occurred and was completed BEFORE construction contract is awarded. This includes: <ul style="list-style-type: none"> ▪ Preparation of the environmental review record ▪ Publication of appropriate notice; ▪ <i>Request for Release of Funds</i> submitted to OECDD. (Note: OECDD must send recipient a Release of Funds notice, signifying completion of environmental review requirements BEFORE the recipient signs any construction contract.)
	<ul style="list-style-type: none"> • Submit a copy of pre-construction conference meeting minutes signed by the recipient and contractor(s) • Submit notice of construction contract award and start of construction • Submit copies of certified payroll reports from the general or subcontractor(s) whose work is covered by the drawdown request
	<p>5. Compliance with federal labor standards</p> <ul style="list-style-type: none"> • Include correct federal Davis-Bacon and Oregon BOLI prevailing wage rates in the construction bid documents • Call the Department ten days prior to bid opening to obtain current Davis-Bacon and BOLI wage decisions • Ensure that all contractor/subcontractor agreement and fringe benefit summary forms are received from all contractors on the job site • Review certified payrolls, perform worker interviews, verify that correct base wage rates and fringe benefits are paid • Ensure that corrective action is taken for any noncompliance with federal labor standards provisions
	<p>6. Complete “final draw” requirements and project closeout</p> <ul style="list-style-type: none"> • Submit a completed <i>Minority, Women and Emerging Small Business Activity Report</i> • Submit a completed Section 3 Summary Report, if applicable • Ensure holding of Second Public Hearing and submission of all necessary documentation

Authorized Signature Card for Cash Payments on Economic and Community Development Department Awards	
Recipient City of Green Trees	Project Number P01000
Signatures of Individuals Authorized to Request Payments (Two signatures are required to sign or countersign)	
Typed Name and Title (Highest Elected Official may not sign here) Sally Doe, City Finance Director (1) a. Signature _____	Typed Name and Title (Highest Elected Official may not sign here) John Smith, City Recorder (1) b. Signature _____
Additional Signatures (if desired)	
Typed Name and Signature (Highest Elected Official may not sign here) Montgomery Burns, Council Member (1) c. Signature _____	Typed Name and Signature (Highest Elected Official may not sign here) Terry Billings, City Clerk (1) d. Signature _____
I certify that the signatures above are of the individuals authorized to draw funds for the cited project. John Goodguy, Mayor, January 15, 2001 (2) _____ Title, Date and Signature of Highest Elected Official for the Recipient (May not be listed in item (1) a-d above)	Approved: Oregon Economic and Community Development Department (3) _____ Date and Signature of Manager

Preparation of the Authorized Signature Card Form: If a mistake is made, or a change is necessary during the preparation of the signature card form, please prepare a new form, since erasures or corrections of any kind will not be acceptable. If a new form is being submitted to reflect the addition of individuals authorized to draw from the project, please allow at least five days for processing before submitting a payment request with a new name.

Item # Explanation

- (1) a-d Type the names and titles, and provide the signatures of the officials of your organization who are authorized to make draws on project funds. (**Note:** A minimum of two signatures are required. You are encouraged to provide three or four signatures to allow flexibility.)
- (2) Enter the date, typed name, title and signature of the **Highest Elected Official** of the Recipient who is authorized to certify the authenticity of the signatures of individuals listed in Item (1) a through (1) d. The person signing here **must not be listed in Item (1) a-d.**
- (3) Leave blank—Economic and Community Development Department will sign here.

Complete one form and return it to: Oregon Economic and Community Development Department 775 Summer Street NE,
Suite 200 Salem, OR 97301-1280

STATE OF OREGON
OREGON ECONOMIC AND COMMUNITY DEVELOPMENT DEPARTMENT

AUTHORIZATION FOR ELECTRONIC DEPOSIT
TO THE OREGON STATE TREASURY
LOCAL GOVERNMENT INVESTMENT POOL

I (we), the undersigned, legal custodian of the public funds for

Local Government Entity

Federal Tax ID Number

Project Number _____

do hereby authorize the Oregon Economic and Community Development Department to forward funds to the Oregon State Treasury by electronic or other means. I (we) authorize the Oregon State Treasury to accept and deposit said funds to my (our) Local Government Investment Pool account.

Pool Account Number _____

I (we) understand that this authorization will override any previous authorization and will remain in effect until the Oregon Economic and Community Development Department has received written notification of its termination.

_____ Name(s) (please print)

_____ Signature(s)

_____ Title(s)

Date

Telephone Number

Fax Number

AUTHORIZATION FOR ELECTRONIC DEPOSIT

Local Government Name as it appears on check
(please print)

Federal Tax ID Number

Project Number _____

Financial Institution in which deposits will be made

Address

City, State

Zip Code

I (we), the undersigned, authorize the Oregon Economic and Community Development Department to forward funds to the above named financial institution. I (we) authorize the above named financial institution to accept and distribute said funds to my (our)

Checking Account Savings Account (select one)

I (we) understand that this authorization will override any previous authorization and will remain in effect until the Oregon Economic and Community Development Department has received written notification of its termination.

Name(s) (please print)

Signature(s)

Title(s)

Date

Telephone Number

Fax Number

IMPORTANT: Please return with a voided check attached.

OREGON COMMUNITY DEVELOPMENT BLOCK GRANT PROGRAM

Sample Policy - Excessive Force

“It is the policy of (Name of grantee) that

- (1) its law enforcement personnel shall not use excessive force against any individuals engaged in nonviolent civil rights demonstrations, and
- (2) applicable state and local laws that prohibit physically barring entrance to or exit from a facility or location which is the subject of such nonviolent civil rights demonstrations within its jurisdiction shall be enforced.”

Effective Date

Signatures of Governing Body
