

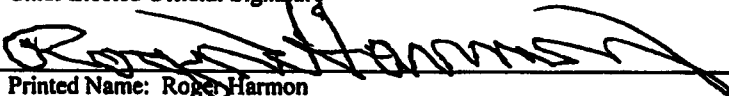



A1302

COMMISSIONER SID MILLER

**Office of Rural Affairs
Texas Community Development Block Grant Program**

SELF-MONITORING REVIEW CERTIFICATION

Grant Recipient: Johnson County	TxCDBG No. 7214241
By signing this Self-Monitoring Review Certification, I certify to the best of my knowledge and belief that the attached monitoring review checklists are true, complete, and accurate and that they were completed by a person possessing a current certificate for successful completion of TxCDBG Program Project Implementation training. I also certify that any findings of non-compliance have been accurately self-reported. A copy of this Self-Monitoring Review will be retained in local files with all project records in accordance with TxCDBG program project implementation policy.	
Chief Elected Official Signature 	Title: Judge
Printed Name: Roger Harmon	
Roger Harmon	
Date: 11/14/16	

Based on my examination of pertinent project records for the referenced TxCDBG contract, I hereby certify that I have truthfully and accurately completed the attached Self-Monitoring Review checklist.	
Signature of Reviewer: 	Reviewer Title or Name of Firm: GrantWorks, Project Manager
Printed Name: Katie Falgout	
Date: 11/14/2016	

TDA Use Only	
Acceptance of Self-Monitoring Review	
TxCDBG Program Monitor Signature:	Date:
Printed Name:	

TxCDBG SELF-MONITORING CHECKLIST

Grant Recipient: Johnson County Contract No. 7214241

Chief Elected official: Roger Harmon, Judge

Grant Administrator: GrantWorks, Katie Falgoust

Engineer: Childress Engineers, Joshua Brockett, P.E.

Contract Start Date: 10/15/2014 Ending Date: 10/14/2016 Extension: NA

Contract Amount: \$500,000 Amount Drawn: \$494,500.00 % Match: 11% (actual 39%)

Project Description/Comments:

Install approximately five thousand two hundred thirty-seven linear feet (5,237 l.f.) of four-inch (4") to twelve-inch (12") sewer line, approximately three hundred seventy-seven linear feet (377 l.f.) of eight to eighteen-inch (8" to 18") bore and steel encasement, eight (8) manholes, service reconnections, driveway and pavement repair, and all associated appurtenances.

SELF-MONITORING REVIEW DATE: 10/26/2016

Standard Checklist Sections:

- ✓ Procurement of Professional Services Review/Administration Services
- ✓ Financial Management Review
- ✓ Environmental Review
- ✓ Construction Contract Review
- ✓ Special Conditions Review
- ✓ Labor Standards Review
- ✓ Civil Rights Review

Special Sections:

- ✓ Acquisition
- NA Force Account
- NA Housing Rehabilitation
- NA Demolition/Clearance
- NA Relocation
- NA Other: _____

PROCUREMENT OF PROFESSIONAL SERVICES/ADMINISTRATION SERVICES

No. Findings: 0

Summary of Findings:

(List any findings and corrective action taken here. Attach to this checklist supporting evidence of a finding, evidence of a remediated finding, or a Corrective Action Plan (CAP), if applicable.)

N/A

Summary of Concerns:

N/A

Administrative or Professional Services Paid with TxCDBG Funds

NOTE: If the Grant Recipient is exempt from competitive procurement provisions, an acceptable method of incorporating the proper elements of the contract would be via work order for the firm, fixed-price compensation and an amendment to an existing contract for the "terms and conditions" if a new contract was not executed.

PROCUREMENT OF PROFESSIONAL SERVICES/ADMINISTRATION SERVICES (Administrative or Professional Services Paid with TxCDBG Funds)				
(Desk Review Questions (A-C))	Y	N	N/A	DOCUMENT SOURCE, COMMENTS, AND CORRECTIVE ACTION TAKEN
A. Did the Grant Recipient receive approval for Noncompetitive negotiation before contracting for professional services/administration services? (Applies to Disaster Relief/Urgent Need)		✓		Date of Waiver: N/A
B. Did the Grant Recipient designate a nonprofit public agency to administer TxCDBG contract activities?		✓		<input type="checkbox"/> Council of Government (COG) <input type="checkbox"/> Regional Planning Commission <input type="checkbox"/> Public Housing Authority <input type="checkbox"/> Other: _____
C. Did the Grant Recipient award the contracts for administrative and engineer to the same firm?		✓		
Self-Monitoring Review Questions:				
If you answered YES to either question A or B, then skip to question NO. 6 - 10.				
1. Did the Grant Recipient establish and use written selection criteria that included, at a minimum, a clear and accurate description of the technical requirements of the services to be procured?	✓			County developed a procurement plan that included selection criteria; Information sheet that was included in the RFP included selection criteria and description of technical requirements
2. Does the RFP provided offer detailed instructions and identify the criteria to be used in evaluating proposals?	✓			RFP included evaluation criteria and detailed instructions
3. Did the Grant Recipient advertise the RFP in a locally distributed newspaper, and submit the RFP to at least 5 individuals/firms?	✓			Adv.: <u>Cleburne Times-Review</u> Letters: <u>0</u> Email: <u>6</u> Fax: <u>0</u> NO. of respondents: <u>1</u> Name of successful respondent: <u>GrantWorks, Inc.</u>
4. Were any firms certified with the Texas Comptroller as a SBE/MBE/WBE included in the solicitation for proposals?	✓			List SBE/MBE/WBE firms: <u>GrantWorks, Inc., Gary R. Traylor & Associates.</u>
5. Is the deadline for receipt of proposals no earlier than 10 days after the date of public advertisement and/or mailing dates of the RFPs?	✓			Date(s) of solicitation: <u>Newspaper 11/07/2014; emails 11/06/2014</u> Deadline: <u>11/17/2014</u>

PROCUREMENT OF PROFESSIONAL SERVICES/ADMINISTRATION SERVICES (Administrative or Professional Services Paid with TxCDBG Funds)					
(Desk Review Questions (A-C))		Y	N	N/A	DOCUMENT SOURCE, COMMENTS, AND CORRECTIVE ACTION TAKEN
6.	Did the Grant Recipient successfully negotiate a contract with the most highly qualified service provider/firm?	✓			
	If No, did the Grant Recipient formally end negotiations with that person/firm?			✓	
7.	For contracts with an anticipated cost > \$50,000, were firms required to disclose their estimated percentage of profit?			✓	Implementation Manual with negotiation of profit provision was effective 10/15/2015, which was after the procurement was completed
8.	<u>DEBARMENT</u> : Was SAM eligibility verified before contract award?	✓			Date of verification: <u>11/26/2014</u>
9.	Is there evidence that the governing body (Commissioner's Court/Council) authorized the approval to proceed with contract execution?	✓			Date of meeting: <u>12/08/2014, Commissioners' Court meeting minutes and hiring resolution</u>
10.	Was there a pre-agreement request?			✓	Pre-Agreement Start Date: _____
11.	Does the contract document include all of the following provisions?	✓			
	Names of both parties	✓			Johnson County, GrantWorks, Inc.
	Begin date after starting date of TxCDBG contract or pre-agreement letter on file	✓			Contract start date: <u>12/08/2014</u> HUD Exemption Certification Date: <u>09/12/2014</u>
	Scope of services	✓			
	Firm fixed-price compensation	✓			
	Procedure for amending contract	✓			
	Termination for convenience and for cause clause(s) (For contracts >\$10,000)	✓			
	Procedures for determining the party responsible for any disallowed costs as a result of non-compliance	✓			
	Local Program Liaison	✓			
	Equal Opportunity Clause (For contracts >\$10,000)	✓			
	Section 3 of the HUD Act of 1968 (For contracts >\$100,000)	✓			
Access to Records (2 CFR 200.336)	✓			Amended into contract	

PROCUREMENT OF PROFESSIONAL SERVICES/ADMINISTRATION SERVICES (Administrative or Professional Services Paid with TxCDBG Funds)					
(Desk Review Questions (A-C))		Y	N	N/A	DOCUMENT SOURCE, COMMENTS, AND CORRECTIVE ACTION TAKEN
	Retention of records for three years from closeout of the grant to the State	✓			Amended into contract

Engineering/Architectural Services Paid With TxCDBG Funds

(NOTE: If the Grant Recipient is exempt from competitive procurement provisions, an acceptable method of incorporating the proper elements of the contract would be via work order for the firm, fixed-price compensation and an amendment to an existing contract for the "terms and conditions" if a new contract was not executed.)

PROCUREMENT OF PROFESSIONAL SERVICES/ADMINISTRATION SERVICES (Engineering/Architectural Services Paid with TxCDBG Funds)					
	(Desk Review Questions (A-B))	Y	N	N/A	DOCUMENT SOURCE, COMMENTS, AND CORRECTIVE ACTION TAKEN
A.	Did the Grant Recipient receive approval for noncompetitive negotiation before contracting for professional services/administration services? (Applies to Disaster Relief/Urgent Need)		✓		Date of Waiver: N/A
B.	Did the Grant Recipient designate a Nonprofit public agency to administer TxCDBG contract activities?		✓		<input type="checkbox"/> Council of Government (COG) <input type="checkbox"/> Regional Planning Commission <input type="checkbox"/> Public Housing Authority <input type="checkbox"/> Other: _____
Desk Review Questions:					
If you answered YES to either question A or B, then skip to questions 8 - 12.					
1.	Did the Grant Recipient establish and use written selection criteria that included, <i>at a minimum</i> , a clear and accurate description of the technical requirements of the services to be procured?	✓			Procurement plan and RFP information sheet included selection criteria; information sheet included technical requirements
2.	Does the written selection procedure contain only Non-price criteria?	✓			Evaluation criteria included only non-price criteria (experience, work performance and capacity to perform)
3.	Did the Grant Recipient advertise the RFP in a locally distributed newspaper and submit the RFP to at least 5 individuals or firms?	✓			Adv.: <u>Cleburne Times-Review</u> Letters: <u>0</u> Email: <u>9</u> Fax: <u>0</u> NO. of respondents: <u>2</u> Name of successful respondent: <u>Childress Engineers, Inc.</u>
4.	Were any firms certified with the Texas Comptroller as a SBE/MBE/WBE included in the solicitation for proposals?	✓			List SBE/MBE/WBE firms: <u>Enprotec/Hibbs & Todd</u>
5.	Is the deadline for receipt of proposals no earlier than 10 days after the date of public advertisement and/or mailing dates of the RFPs?	✓			Date(s) of solicitation: <u>Emails 11/06/2014; newspaper 11/07/2014</u> Deadline: <u>11/17/2014</u>
6.	Does the RFP provide offers detailed instructions and identify the criteria to be used in evaluating proposals?	✓			RFP included evaluation criteria and detailed instructions
7.	Did the Grant Recipient successfully negotiate a contract with the most highly qualified service provider/firm?	✓			If NO , question 7 is applicable.

PROCUREMENT OF PROFESSIONAL SERVICES/ADMINISTRATION SERVICES (Engineering/Architectural Services Paid with TxCDBG Funds)					
	(Desk Review Questions (A-B))	Y	N	N/A	DOCUMENT SOURCE, COMMENTS, AND CORRECTIVE ACTION TAKEN
8.	Did the Grant Recipient formally end negotiations with that person/firm?			✓	
9.	For contracts with an anticipated cost > \$50,000, did the firm selected for contract negotiation disclose estimated % of profit.			✓	Implementation Manual with negotiation of profit provision was effective 10/15/2015, which was after the procurement was completed
10.	<u>DEBARMENT</u> : Was SAM eligibility verified before contract award?			✓	Date of verification: <u>01/27/2015</u> TDA Implementation Manual with provision to clear the service provider prior to award took effect on 10/15/2015, which was after the County's procurement of engineering services
11.	Is there evidence that the governing body (commissioner's court/city council) authorized the approval to proceed with contract execution?	✓			Date of meeting: <u>12/08/2014 Commissioners' Court meeting minutes and hiring resolution</u>
12.	Was there a pre-agreement request?		✓		Pre-Agreement Start Date: _____
13.	Is the selected engineer/architect registered to practice in the state of Texas?	✓			Firm #702, Engineer PE#58726 and #98329
14.	Does the contract document include all of the following provisions?	✓			
	Names of both parties	✓			Johnson County, Childress Engineers
	Begin date after starting date of TxCDBG contract or pre-agreement letter on file	✓			Contract start date: <u>01/26/2015</u> HUD Exemption Certification Date: <u>09/12/2014</u>
	Scope of services	✓			
	Firm fixed-price compensation	✓			
	Procedure for amending contract	✓			
	Termination for convenience and for cause clause(s) (For contracts >\$10,000)	✓			
	Procedures for determining the party responsible for any disallowed costs as a result of non-compliance	✓			
	Conflict of Interest	✓			

PROCUREMENT OF PROFESSIONAL SERVICES/ADMINISTRATION SERVICES (Engineering/Architectural Services Paid with TxCDBG Funds)					
	(Desk Review Questions (A-B))	Y	N	N/A	DOCUMENT SOURCE, COMMENTS, AND CORRECTIVE ACTION TAKEN
	Local Program Liaison	✓			
	Equal Opportunity Clause (contracts >\$10,000)	✓			
	Section 3 of the HUD Act of 1968 (For contracts > \$100,000)	✓			
	Access to Records (2 CFR 200.336)			✓	Access to Records provision was not included in the 2014 Implementation Manual, which is when the contract was executed
	Retention of records for three years from closeout of the grant to the State			✓	Record Retention provision was not included in the 2014 Implementation Manual, which is when the contract was executed

ENVIRONMENTAL REVIEW

No. Findings: 0

Summary of Findings:

(List any findings and corrective action taken here. Attach to this checklist supporting evidence of a finding, evidence of a remediated finding, or a Corrective Action Plan (CAP), if applicable.)

N/A

Summary of Concerns:

N/A

ENVIRONMENTAL REVIEW					
		Y	N	N/A	DOCUMENT SOURCE, COMMENTS, AND CORRECTIVE ACTION TAKEN
1.	What was the level of environmental review conducted for the TxCDBG Contract?				<input type="checkbox"/> Exempt <input type="checkbox"/> Categorical Exclusion <input checked="" type="checkbox"/> Full Environmental Assessment
2.	Were all costs incurred after clearance of the environmental review and all construction-related special conditions?	✓			Contract Start date: <u>10/15/2014</u> TDA Clearance date: <u>06/12/2015</u> Construction Contract date: <u>11/23/2015</u>
3.	Is the Environmental Review Record available for public review?	✓			Name of certifying Officer: <u>Roger Harmon, Judge</u>
4.	Did the Grant Recipient submit a Compliance Documentation Checklist (24 CFR 58.6) with pertinent support documents? Note: This checklist is required for all levels of review.	✓			
5.	Does the project description include the following:	✓			
	Project name, funding source and location;	✓			
	Use of project	✓			
	Size of project (sq. ft., No. of units, etc.)	✓			
	Type of Construction	✓			
6.	Is the project description similar in quantities and locations to the Performance Statement Listed as Exhibit A in the contract?		✓		Re-evaluation completed 09/14/2015, added new quantities and location
7.	Is the project description in the Environmental Review the same project that was constructed?	✓			Same as Environmental Review and Re-evaluation
Exempt					
1.	Does the ERR contain the Grant Recipient's Exemption Determination for Activities Listed at 24 CFR §58.34 certification for Engineering and Administrative/Management activities?			✓	Date of Certification _____ Eng. Contract Date _____ Grant Mgmt. Contract Date _____
2.	Does the ERR contain the Exemption Determination for Activities Listed at 24 CFR §58.34 Checklist, including written documentation of its determination that each activity or project is Exempt and meets the conditions specified for such exemption?			✓	
3.	Did the project convert to Exempt from Categorically Excluded Subject to 58.5 under 24 CFR 58.34(a)(12)?			✓	

ENVIRONMENTAL REVIEW					
		Y	N	N/A	DOCUMENT SOURCE, COMMENTS, AND CORRECTIVE ACTION TAKEN
4.	Is the original Environmental Clearance Letter from the Department for Exempt on file?			✓	Date of Clearance: _____

ENVIRONMENTAL REVIEW					
Categorical Exclusion					
1.	Does the ERR contain the following documentation and a completed Statutory Checklist (24 CFR 58.5) and supporting documents.			✓	
	Transmittal Letter			✓	
	Written Finding of Categorical Exclusion			✓	
	Evidence of Publication			✓	
	Request for Release of Funds and Certification form (HUD Form 7015.16)			✓	
2.	Does the ERR contain a copy of the published <i>Notice of Intent to Request a Release of Funds</i> and publishers affidavit?			✓	
3.	Any public comments received?			✓	
4.	Did the Grant Recipient address these comments?			✓	
5.	Did the Grant Recipient contact the Texas Historical Commission or cleared through the Programmatic Agreement (PA) with TDA?			✓	Date of Notification letter: _____ Date of response letter: _____
6.	Were Native American Interests Reviewed? (If cleared through the PA then this is N/A) to satisfy Section 106 of the Nat. Historic Preservation Act?			✓	Date of consult letter(s): Date: _____ Tribe: _____ Date: _____ Tribe: _____ Date: _____ Tribe: _____
7.	Did the Grant Recipient have a floodplain map with the location of the project indicated on the map (if available)?			✓	
8.	If NO map, were flow studies completed, or did the reviewer relay on other sources to determine if the project area is prone to flooding?			✓	
9.	Did the Grant Recipient have a Wetlands Inventory Map with the location of the project indicated on the map?			✓	
10.	Did the Grant Recipient comply with E.O. 11988 (Floodplains), E.O. 11990 (Wetlands), and 24 CFR55.20 and complete the 8 step process?			✓	Early Public Notice: _____ Public Comment Deadline: _____ Notice of Explanation: _____
11.	Is the original Environmental Clearance Letter from the Department for Categorical Exclusion on file?			✓	Date of Clearance: _____

Full Environmental Assessment				
1.	Did the Grant Recipient complete an Environmental Assessment Checklist?	✓		
2.	Does the environmental review record include a complete Statutory Checklist with maps and verifiable source documentation?	✓		
ENVIRONMENTAL REVIEW				
3.	Did the Grant Recipient contact the Texas Historical Commission (THC) or cleared through the Programmatic Agreement with TDA?	✓		Date of Notification letter: <u>04/01/2015</u> Date of response letter: <u>04/29/2015</u>
4.	Were Native American Interests Reviewed? (If cleared through the PA then this is N/A) to satisfy Section 106 of the National Historic Preservation Act?	✓		Date of consult letter(s): Date: _____ Tribe: _____ Date: _____ Tribe: _____ Date: _____ Tribe: _____ *No tribal interests in Johnson County
5.	Did the Grant Recipient have a flood plain map with the location of the project indicated on the map (if available)?	✓		Project is not in a flood plain
6.	If NO map, were flow studies completed, or did the reviewer rely on other sources to determine if project area is prone to flooding?		✓	
7.	Did the Grant Recipient have a Wetlands Inventory Map with the location of the project indicated on the map?	✓		
8.	Did the Grant Recipient comply with Executive Order 11988 (Floodplains), Executive Order 11990 (Wetlands), and 24CFR55.20 and complete the 8 Step Process?		✓	Early Public Notice: _____ Public Comment Deadline: _____ Notice of Explanation: _____ <u>*Not in a floodplain</u>
9.	Does the ERR contain a copy of the published Notice of Intent to Request a Release of Funds and publishers affidavit?	✓		Posted at the County Courthouse. Affidavit of Posting in ERR.
10.	Was the FONSI Notice sent to local news media, interest groups, local, State agencies, regional office of the EPA, and TDA? Note: The FONSI must at minimum be sent to the regional office of the EPA.	✓		EPA
11.	Were any public comments received?		✓	
12.	If YES , did the Grant Recipient address and resolve these comments before proceeding with completing the RROF and Certification form?		✓	
13.	Did the magnitude or extent of the project remain substantially unchanged (i.e., changes in target area, project activities)?		✓	If NO , questions A, B, C are applicable.
A.	Did the Grant Recipient re-evaluate the original environmental findings and determine they are still valid?	✓		Re-evaluation of ERR completed in September 2015

B.	Did the Grant Recipient submit a TxCDBG Contract Amendment/Modification Request (Form A1101) affirming that the original FONSI was still valid?	✓			Modification submitted in November 2015
C.	If the original findings were no longer valid did the Grant Recipient prepare an environmental assessment addressing changes to the project?			✓	

CONSTRUCTION CONTRACT REVIEW

No. Findings: 0

Summary of Findings:

(List any findings and corrective action taken here. Attach to this checklist supporting evidence of a finding, evidence of a remediated finding, or a Corrective Action Plan (CAP), if applicable.)

N/A

Summary of Concerns:

N/A

This checklist is completed for Cities/Counties that carried out construction through the bid/contract process.

CONSTRUCTION CONTRACT REVIEW					
	Y	N	N/A	DOCUMENT SOURCE, COMMENTS, AND CORRECTIVE ACTION TAKEN	
1.	Were the advertisements for construction bids published in a newspaper in the municipality (city), or of general circulation if (county) for two consecutive weeks (at least seven days apart)?	✓			<input type="checkbox"/> NO local newspaper <input type="checkbox"/> City <input checked="" type="checkbox"/> County Advertising Dates: <u>09/20/2015 and 09/27/2015</u>
2.	Was the advertising date at least 14 days before the bid opening date?	✓			10/06/2015
3.	Is there evidence that proper competitive bidding procedures were used? (e.g., bid opening minutes, bid tabulation, etc.)	✓			Number of bids received: <u>3</u>
4.	Are all bids received maintained in the Grant Recipient's files?	✓			
5.	Were there any bid addendums?	✓			Two (2)
	<i>If YES, is there evidence that all bidders received the addendums?</i>	✓			Acknowledgement included with bid proposals
6.	Is the contract award date (not execution date) within 90 days of the bid opening?	✓			Bid opening: <u>10/06/2015</u> Award date: <u>11/23/2015</u> Execution date: <u>11/23/2015</u>
7.	Was the contract amount the same as the base + alternates bid?	✓			Awarded base bid only; did not award Alternate Bid A
8.	Was the contract awarded to the lowest responsible bidder?	✓			
9.	SECTION 23. <u>DEBARMENT</u> : Was verification of the prime construction contractor received before contract award?	✓			Date of verification: <u>10/06/2015</u>
10.	SECTION 23. <u>DEBARMENT</u> : Did the Grant Recipient request/receive verification for all sub-contractors?	✓			Number of subs: <u>Two (2)</u>
11.	Does the project described in the bid/contract substantially agree with the TxCDBG Performance Statement/PCR?		✓		Differences: Bore size adjustment, addition of tracer wire, increase in linear feet of pavement repair
	<i>If NO, was a performance statement modification requested?</i>	✓			Date: <u>08/05/2016</u>
12.	Were the plans/specifications prepared by a registered engineer/architect and carry the affixed seal?	✓			Name of Engineer/Architect: <u>Joshua Brockett, P.E.</u> Seal #: <u>98329</u>
13.	Did the sample bid/contract packet contain the following certifications and documents as required in the TxCDBG PIM?	✓			

CONSTRUCTION CONTRACT REVIEW				
	Y	N	N/A	DOCUMENT SOURCE, COMMENTS, AND CORRECTIVE ACTION TAKEN
Bid Bonds	✓			
Payment Bonds	✓			
Performance Bonds	✓			
Grant Recipient's adopted Section 3 Plan	✓			
Equal Opportunity Guidelines for Construction Contractors (Form A1001)	✓			
Construction Contractor Section 3 Plan	✓			
Statement of Bidder's Qualifications	✓			
Certificate of Owner's Attorney	✓			
Certificate of Insurance	✓			
Termination Clause(s) for Cause and for Convenience	✓			
Access to Records by grantee, sub-grantee, Federal grantor agency, the Comptroller General of the U.S.	✓			Amended into contract
Retention of Records (For three years from closeout of the grant to the State)	✓			Amended into contract
Compliance with Air and Water Acts (>\$150,000)	✓			
Equal Opportunity (>\$10,000)	✓			
Section 3 Clause (contracts >\$100,000)	✓			
Remedies for Breach of Contract (>\$50,000)	✓			
Procurement of Recovered Materials (>\$10,000)			✓	Implementation Manual with procurement of recovered materials provision was effective 10/15/2015, which was after bid process began
Contractors Certification – Recovered Materials			✓	Implementation Manual with procurement of recovered materials provision was effective 10/15/2015, which was after bid process began
Byrd Anti-Lobbying Certification (≥\$100,000)	✓			
Technical Specification/Drawings	✓			
Contract Period	✓			
HUD 4010 Form	✓			
A provision for at least 5% retainage	✓			10%
Wage Decision(s)	✓			GWD No.: <u>Tx150036</u> Mod: <u>01/02/2015</u>

CONSTRUCTION CONTRACT REVIEW					
		Y	N	N/A	DOCUMENT SOURCE, COMMENTS, AND CORRECTIVE ACTION TAKEN
14.	Is construction complete?	✓			In process: _____
15.	Does the Grant Recipient have "as-built" plans on the premises?	✓			Was evidence available for the desk review? Yes <input checked="" type="checkbox"/> No _____ <u>Located in the Johnson County Judge's Office (2 North Main St, Room 120, Cleburne, TX)</u>
16.	Have all payment requests from prime and/or sub contract(s) been resolved? (Affidavit of All Bills Paid or COCC certifying no unpaid claims)	✓			
17.	Has a Certificate of Construction Completion been completed?	✓			
18.	CERTIFICATION (4): Were any special assessments levied on property owners and occupants of low to moderate income (including service connections, tap-on fees/charges, monitoring fees, deposits, capital recovery fees), as a result of this project?		✓		
	<i>If YES, questions 20 and 21 are applicable.</i>			✓	
19.	Did the Grant Recipient pay for all assessments and deposits for low-income households?			✓	
20.	Did the Grant Recipient certify that it does/did not have sufficient TxCDBG funds to pay the assessment on behalf of the moderate-income occupants?			✓	
21.	Were all cumulative change orders that increased the contract price within 25% of the original contract price?	✓			% Cumulative Increase <u>1.73%</u>
22.	(County Only exception) If NO, were the change orders required to comply with federal or state law or regulation?			✓	
23.	Did the contractor consent to all cumulative change orders that decreased the contract price within 25% of the original contract price if a municipality or by 18% if a county? Texas Local Government Code Section 252.048 (d) and 262.031(b)			✓	% Cumulative Decrease _____ *There was only one (1) change order and it increased the contract price.
	(County Only exception) If No, were the change orders required to meet federal or state regulations?			✓	
24.	Did TxCDBG approve all change orders (except final quantity changes)?	✓			No. of change orders: <u>1</u> No. approved: <u>1</u>

CONSTRUCTION CONTRACT REVIEW					
		Y	N	N/A	DOCUMENT SOURCE, COMMENTS, AND CORRECTIVE ACTION TAKEN
25.	Is an executed contract amendment or Performance Statement modification on file for significant changes in the scope of work resulting from change orders or alternates?	✓			Modification submitted on 08/05/2016 to align Performance Statement with quantity and item adjustments that were part of Change Order 1
EQUIPMENT PURCHASES					
		Y	N	N/A	DOCUMENT SOURCE, COMMENTS, AND CORRECTIVE ACTION TAKEN
EQUIPMENT PURCHASES					
1.	Did the Grant Recipient purchase any equipment with TxCDBG funds?		✓		
2.	<i>If YES, is a Property Management Record maintained?</i>			✓	
SMALL PURCHASE PROCUREMENT					
		Y	N	N/A	DOCUMENT SOURCE, COMMENTS, AND CORRECTIVE ACTION TAKEN
SERVICES/EQUIPMENT/MATERIALS PURCHASES					
1.	Did the Grant Recipient utilize the small purchase procurement?		✓		
	<i>If YES, Did the Grant Recipient obtain price quotations from an adequate number (3 minimum) of qualified sources?</i>			✓	
2.	Did total purchases remain below the \$50,000 aggregate limit?			✓	Estimated Small Purchases: \$ _____
3.	Is there any appearance of separate, sequential, or component purchases to avoid competitive bidding requirements?			✓	

Materials	Project Activity	Estimated Cost	Number of Quotes
N/A			
Contractors	Project Activity	Estimated Costs	Number of Quotes
N/A			

SPECIAL CONDITIONS

No. Findings: 0

Summary of Findings:

(List any findings and corrective action taken here. Attach to this checklist supporting evidence of a finding, evidence of a remediated finding, or a Corrective Action Plan (CAP), if applicable.)

N/A

Summary of Concerns:

N/A

SPECIAL CONDITIONS					
		Y	N	N/A	DOCUMENT SOURCE, COMMENTS, AND CORRECTIVE ACTION TAKEN
1.	<p>Did the Grant Recipient submit the permits and approval certification Form A401?</p> <p>Types of Permits/Approvals:</p> <ul style="list-style-type: none"> • TCEQ • TDLR • THC • TxDOT • Other approvals required 	✓			TCEQ, TxDOT, BNSF Crossing Permit (railroad)
2.	<p>If the project is exempt from the Texas Engineering Practice Act requirement that public works projects must be designed, supervised, inspected, and accepted by a registered professional engineer, did the Grant Recipient document the exception through a letter certified by the chief local official?</p>			✓	
3.	<p>Did the Grant Recipient submit a letter from TCEQ that the constructed water well is approved for interim use and may be temporarily placed into service pursuant to Title 30, TAC, Chapter 290-Rules and Regulations for Public Water Systems prior to the submission of the PCR?</p>			✓	
4.	<p>Did the Grant Recipient provide documentation that final plans, specifications and installation of its sewer systems improvements have been reviewed and approved by the City or County Health Department through authority granted by TCEQ?</p>			✓	The County does not have review authority granted from TCEQ. Plans were reviewed and approved by TCEQ.
5.	<p>Did the Grant Recipient provide documentation of decommissioned abandoned septic tank, cesspool, seepage pit, etc.</p>			✓	
6.	<p>Did the Grant Recipient provide documentation from TDLR concerning compliance with the Elimination of Architectural Barriers Act? (Applies to construction of a building or public facility with an estimated cost ≥ \$50,000).</p>			✓	
7.	<p>Did the Grant Recipient erect/place legible temporary project signage in a prominent visible public area at the construction project site or along a major thoroughfare within the community?</p>	✓			<input checked="" type="checkbox"/> Temporary Signage Photo <input checked="" type="checkbox"/> Permanent Signage Photo

LABOR STANDARDS REVIEW

No. Findings: 0

Summary of Findings:

(List any findings and corrective action taken here. Attach to this checklist supporting evidence of a finding, evidence of a remediated finding, or a Corrective Action Plan (CAP), if applicable.)

N/A

Summary of Concerns:

N/A

List Contractors Prime/Subs	NO. Payrolls Available	Interviews Conducted YES / NO
<input checked="" type="checkbox"/> Prime <input type="checkbox"/> Sub Trophy Construction Services LLC	28	YES
<input type="checkbox"/> Prime <input checked="" type="checkbox"/> Sub Rodgers Construction Company	5	YES
<input type="checkbox"/> Prime <input checked="" type="checkbox"/> Sub Code Electric	1	NO
<input type="checkbox"/> Prime <input type="checkbox"/> Sub		
<input type="checkbox"/> Prime <input type="checkbox"/> Sub		

This checklist is completed for cities/counties with TxCDBG funded construction contracts over \$2,000 that include labor (except for rehabilitation of residential property where fewer than 8 units were rehabilitated under one construction contract or fewer than 8 are in one complex, or demolition/clearance that is not preparatory to construction). If the prime construction contract is over \$2,000, all labor standards, including Davis-Bacon, applies and payrolls must be obtained for the subcontracted workers regardless of the amount of the subcontract.

LABOR STANDARDS REVIEW					
		YES	NO	N/A	DOCUMENT SOURCE, COMMENTS, AND CORRECTIVE ACTION TAKEN
1.	Was the Appointment of a Labor Standards Officer (LSO) (Form A701) submitted via email to the Department's Labor Standards Specialist (LSS) Labors@TexasAgriculture.gov prior to the first construction drawdown request?	✓			Name of appointed LSO: <u>Katie Falgoust</u>
2.	Did the LSO obtain a General Wage Decision (GWD) from the DOL website <u>www.wdol.gov</u> prior to the advertising or soliciting of bids?	✓			(Note: Need for building wage rate decision) TX150036 (Heavy), 06/25/2015
3.	Did the LSO complete the Wage Rate Issuance Notice (form A702) and retain a copy in the GR contract file?	✓			TX150036 (Heavy), 08/31/2015
4.	Did the LSO submit a Ten Day Confirmation Form (Form A703) to TDA's Labor Standards Specialist for approval at least ten days, but not less than five days, prior to the bid opening?	✓			10-day Call <u>09/28/2015</u> (Date TDA Confirmed) Bid Opening <u>10/06/2015</u> GWD <u>TX150036</u> Mod <u>01/02/2015</u>
	10-day Call _____ (Date TDA Confirmed) Bid Opening _____ GWD _____ Mod _____			✓	10-day Call _____ (Date TDA Confirmed) Bid Opening _____ GWD _____ Mod _____
5.	Is a copy of the current GWD retained in the GR contract files with other labor standards documentation?	✓			
6.	Were wage rates modified between the Ten Day Confirmation date and bid opening date?		✓		
A.	<i>If YES to 6, did the LSO provide support for not having time to contact all bidders prior to bid opening?</i>			✓	
B.	<i>If NO to A, does the contract file show evidence the TxCDBG Labor Standards Specialist was contacted for resolution?</i>			✓	
7.	Did the Grant Recipient award the construction contract(s) within 90 days of the bid opening?	✓			Award date: <u>11/23/2015</u> Award date: _____
	<i>If NO, did the Grant Recipient obtain an extension or an update of the GWD?</i>			✓	
8.	Was the current GWD included in the bid package(s)?	✓			
9.	Is the current GWD included in the awarded/executed construction contract documents and specifications package?	✓			
10.	Did the Grant Recipient hold a pre-construction conference(s) for each prime construction contract in excess of \$2,000?	✓			Date: <u>11/24/2015</u> Date: _____

LABOR STANDARDS REVIEW					
		YES	NO	N/A	DOCUMENT SOURCE, COMMENTS, AND CORRECTIVE ACTION TAKEN
11.	Did the LSO submit a Labor Standards Record (Form A706-rev) on each construction project > \$2,000 to Labors@TexasAgriculture.gov?	✓			
12.	Was the Labor Standards Record (Form A706-rev) submitted A. After the preconstruction conference date and	✓			Submitted 11/24/2015 (after the pre-construction conference was held)
	B. Before construction dollars are reimbursed from the TxCDBG contract for the construction contract?	✓			First draw for construction funds submitted 12/28/2015
13.	Were all classifications reported on the certified weekly payrolls listed on the GWD?		✓		
14.	Were classifications not listed on GWD issuance letter requested as additional classifications used on the project?	✓			Boring Machine Operator and Wage approved by the U.S. Department of Labor
15.	Did the Grant Recipient appoint a designated inspector to conduct on-site project employee interviews in the case the LSO is not available?	✓			Name of Designated Inspector: <u>GrantWorks employees</u>
16.	Did the LSO or designated inspector conduct on-site project employee interviews?	✓			
17.	Was the employee interview information recorded on the Record of Employee Interview (Form A707) or HUD-Form 11 or facsimile?	✓			
18.	If employees were not available for interview by the LSO or designated inspector, did the LSO document A. The date of the on-site visit?	✓			On-site interviews were conducted with employees from Trophy and Rodgers on 12/15/2015 and 01/27/2016. The Code Electric employee wasn't working on the days of the on-site visits.
	B. The reason employees were not available?	✓			Sub-contractor (Code Electric) wasn't working on the dates of the on-site visits.
	C. The attempt to obtain the required information through other means, e.g., mailed questionnaires?	✓			Mailed questionnaire to employee.
19.	Are certified weekly payroll reports for prime and subcontractors signed (including the payroll Statement of Compliance) and maintained in the Grant Recipient contract files, beginning with the first week in which project construction begins and for every week until the work is completed?	✓			
20.	Are "NO WORK" weekly payroll report(s) or a note that states "NO WORK" that indicates a break in project work included in the certified weekly payroll report(s)?	✓			

LABOR STANDARDS REVIEW					
		YES	NO	N/A	DOCUMENT SOURCE, COMMENTS, AND CORRECTIVE ACTION TAKEN
21.	Do the "NO WORK" weekly payroll report(s) state an approximate date when the construction contractor will return to the project site?		✓		
22.	Is there evidence that certified weekly payroll report(s) were compared against employee interviews and the GWD to verify that correct wages were paid?	✓			
23.	Were all project workers paid, at least, the specified Davis-Bacon wage rates (including fringe benefits) that applied to this project?	✓			
	<i>If NO, the following questions apply:</i>			✓	
	Did the Grant Recipient notify the prime contractor(s) of the violation(s) of the underpayments in writing?			✓	
	Did the prime contractor correct the underpayments in 30 days?			✓	
	Has wage restitution been paid by the prime contractor to the affected employee(s)?			✓	
	Has the Grant Recipient obtained corrected certified weekly payrolls, including signed Statement(s) of Compliance, and copies of both sides of the canceled check(s) as proof of payments from the prime contractor(s)?			✓	
<i>As of October 10, 1995, construction contracts of \$100,000 or less are exempt from CWHSSA overtime, health, and safety provisions. However, even where CWHSSA overtime pay is not required, Fair Labor Standards Act (FLSA) overtime pay is probably still applicable.</i>					
24.	Were all non-exempt workers paid at a rate of one and one-half times the hourly rate for all hours in excess of 40 hours in a work week?	✓			
25.	Did the Grant Recipient notify the prime contractor(s) in writing on its official letterhead and signed by an authorized elected official of the amount of liability for liquidated damages? (\$10 per day per violation)			✓	Notice of the Determination to Assess Liquidated Damages: Date: _____
26.	Did the construction contractor submit a request for a waiver with support documentation to the Department within 60 days of notification?			✓	Date: _____
27.	Have the liquidated damages been paid or waived by HUD/DOL?			✓	Date: _____
28.	Were any workers complaints received by the Department, HUD, or DOL?		✓		
29.	Were cases referred to the appropriate agency?			✓	

CIVIL RIGHTS REVIEW

No. Findings: 0

Summary of Findings:

(List any findings and corrective action taken here. Attach to this checklist supporting evidence of a finding, evidence of a remediated finding, or a Corrective Action Plan (CAP), if applicable.)

N/A

Summary of Concerns:

N/A

CIVIL RIGHTS REVIEW					
		Y	N	N/A	DOCUMENT SOURCE, COMMENTS, AND CORRECTIVE ACTION TAKEN
1.	Has the Grant Recipient appointed a Civil Rights Officer? (CRO serves as Section 504 Coordinator and Fair Housing Officer)	✓			Name and/or Title of CRO: <u>Roger Harmon, Judge</u>
2.	Has the Grant Recipient's local governing body passed a resolution adopting/affirming required civil rights, equal opportunity, and citizen participation policies and procedures?	✓			Date Resolution Passed: <u>01/12/2015, 12/08/2014, 03/26/2007</u>
3.	Was the resolution adopted or reaffirmed no more than two years prior to the contract start date?	✓			Excessive Force policy is still in effect, confirmed with County on 10/26/2016
SECTION 3 POLICY COMPLIANCE					
4.	Did the Grant Recipient prepare and make available the written Section 3 Policy to the public?	✓			Section 3 policy and resolution adopted 12/08/2014 in Commissioners' Court
5.	Did the Grant Recipient implement the Section 3 Policy?	✓			
MBE COMPLIANCE					
6.	Is there evidence that the Grant Recipient affirmatively publicized to small, minority and women-owned businesses whenever possible? Check affirmative action(s) taken below:	✓			
	Emailed a copy of the request for proposal/qualifications or invitation for bid advertisement to <u>MWBE@texasagriculture.gov</u>			✓	Email address was created after the bid process was completed
	Placed qualified small, minority, and women-owned firms in solicitation lists whenever they were potential sources		✓		
	Divided project activities into smaller tasks or services to allow participation by these type of businesses		✓		
	Established delivery schedules to encourage participation	✓			
	Utilized either: Minority Business Development Centers; the Small Business Administration, Department of Minority Business Enterprise; the Texas Department of Economic Development, Business Development Division		✓		
	Provided direct bonding assistance or SBA Surety Bond Guarantee Program		✓		

SECTION 504 COMPLIANCE					
7.	Did the Grant Recipient implement procedures that allow individuals with handicaps to obtain information concerning the existence and location of accessible services, activities, and facilities?	✓			
8.	Do the Grant Recipient's personnel policies demonstrate that the Recipient is reasonably accommodating to known needs of handicapped employees and applicants?	✓			
9.	Has the Section 504 Self-Evaluation Review Form (A1006) been completed?	✓			
10.	Does the Grant Recipient employ fifteen or more persons?	✓			<i>If YES, questions 11, 12, and 13 are applicable.</i>
11.	Did the Grant Recipient designate Section 504 coordinator? (Same as Civil Rights Officer)	✓			Name: <u>County Judge, Roger Harmon</u>
12.	Did the Grant Recipient publish a notice in a general circulated newspaper in the affected community that identifies its Section 504 compliance coordinator, and states, where appropriate, that it does not discriminate in admission or access to, or treatment or employment in, its federally assisted programs?	✓			Newspaper Publication: <u>Cleburne Times-Review, 01/18/2015</u> Posted in Public Building: _____
13.	Did the Grant Recipient adopt grievance procedures that incorporate due process standards and allow for prompt resolution of complaints alleging any action prohibited by 24 CFR Part 8?	✓			
CITIZEN PARTICIPATION REQUIREMENTS					
14.	Has the Grant Recipient adopted a Citizen Participation Plan?	✓			Adopted 01/12/2015
15.	Does the Grant Recipient maintain written citizen complaint procedures?	✓			Adopted 12/08/2014
16.	Do the procedures provide a timely written response to complaints and grievances?	✓			Ten (10) working days
17.	Has the Grant Recipient notified its citizens of the location and hours at which they may obtain a copy of the written procedures and the address and telephone number for submitting complaints?	✓			Newspaper Publication: <u>Cleburne Times-Review, 01/18/2015</u> Posted in Public Building: _____
18.	Were there any written complaints about the current TxCDBG projects?		✓		
19.	Did the Grant Recipient address the complaint(s)?			✓	

EXCESSIVE FORCE POLICY					
20.	TxCDBG CONTRACT: CERTIFICATION: Has the Grant Recipient adopted and enforced a policy prohibiting the use of excessive force by law enforcement agencies within its jurisdiction against any individual engaged in nonviolent civil rights demonstrations; and a policy of enforcing applicable state and local laws against physically barring entrance to or exit from a facility or location which is the subject of such nonviolent civil rights demonstration within its jurisdiction?	✓			Date adopted: <u>03/26/2007</u> <u>Confirmed policy is still in effect and hasn't been rescinded (10/26/2016)</u>
FAIR HOUSING REVIEW					
<i>TxCDBG CONTRACT CERTIFICATION (2): This TxCDBG Program will be conducted and administered in conformity with the Civil Rights Act of 1964 (42 U.S.C. SEC. 2000a et seq.) and the Fair Housing Act (42 U.S.C. Sec. 3901 et. seq.), and that it will affirmatively further fair housing.</i>					
		Y	N	N/A	DOCUMENT SOURCE, COMMENTS, AND CORRECTIVE ACTION TAKEN
21.	Did the Grant Recipient conduct acceptable activities to affirmatively further fair housing during the contract period?	✓			
22.	Proclamation/Declaration/Resolution	✓			Date Performed: <u>12/08/2014</u>
23.	Has the Grant Recipient adopted a Fair Housing Ordinance (municipalities only)			✓	Date adopted/amended: _____
	Does the ordinance/policy include all 7 federally protected classes? (race, color, religion, sex, handicap, familial status, and national origin)			✓	
	Does the ordinance contain a penalty clause?			✓	
24.	Fair Housing Statement		✓		Date:
25.	Policies		✓		Date:
26.	Other: Fair Housing Month Advertisement	✓			Date: <u>01/18/2015, Cleburne Times-Review</u>
27.	Message included on/with utility bill		✓		Date:

LIMITED ENGLISH PROFICIENCY (LEP)				
28.	Does the Grant Recipient have any Limited English Proficiency (LEP) speaking populations within its community? (LEP group is >5% or >1,000 individuals according to American Fact Finder Data)	✓		
29.	If the Grant Recipient identified an LEP group(s) did they prepare an LEP plan?	✓		
30.	Does the LEP Plan call for acceptable procedures for meeting LEP group needs (e.g. translated vital documents, translated public notices, translation services, or adequate number of bilingual staff)? (See also safe harbor written language assistance recommendations.)	✓		

ACQUISITION OF REAL PROPERTY

No. Findings: 0

Summary of Findings:

(List any findings and corrective action taken here. Attach to this checklist supporting evidence of a finding, evidence of a remediated finding, or a Corrective Action Plan (CAP), if applicable.)

N/A

Summary of Concerns:

N/A

ACQUISITION REVIEW					
		Y	N	N/A	DOCUMENT SOURCE, COMMENTS, AND CORRECTIVE ACTION TAKEN
1.	Has the Grant Recipient submitted its TxCDBG <i>Initial Acquisition Report</i> (Form A600)?	✓			
2.	Did the Grant Recipient report on the <i>Initial Acquisition Report</i> that acquisition of real property is required for the project?	✓			<input type="checkbox"/> Voluntary Acquisition <input checked="" type="checkbox"/> Involuntary Acquisition
3.	If Involuntary Acquisition, did the Grant Recipient receive TDA approval to proceed?	✓			Date TDA Approved: <u>05/13/2015</u>
	<i>If YES, is acquisition included in the TxCDBG contract Performance Statement scope of activities?</i>	✓			
4.	If Involuntary Acquisition, did the Grant Recipient report that the estimated value of the property to be acquired is \$10,000 or less and request for TDA to approve waiver valuation of the property?	✓			Date TDA Approved: <u>05/13/2015</u>
4.	Did the Grant Recipient request TDA approval to waive appraisal requirements if the property was estimated to be greater than \$10,000 but less than \$25,000 in value.			✓	Date TDA Approved: _____ Date TDA Denied: _____ <u>*Not requested since value is \$10,000 or less</u>
5.	Is there evidence that any relocation or displacement resulted from the acquisition activities?		✓		<i>If YES, complete the relocation checklist.</i>
6.	Did the Grant Recipient submit the TxCDBG <i>Acquisition Report</i> (Form A601) that included all parcels acquired for the project?	✓			Number of Parcels Acquired: Voluntary <u>0</u> Voluntary Donation <u>0</u> Involuntary <u>1</u> Involuntary Donation <u>1</u>
7.	Is an updated TxCDBG <i>Acquisition Report</i> required?		✓		
8.	If acquiring entity <u>has eminent domain authority</u> , was the acquisition properly established to be voluntary?		✓		<input type="checkbox"/> Not site specific <input type="checkbox"/> Not part of planned area <input type="checkbox"/> Owner informed of market value <input type="checkbox"/> Owner informed eminent domain will not be used to acquire property.

ACQUISITION REVIEW					
Voluntary Acquisition					
		Y	N	N/A	DOCUMENT SOURCE, COMMENTS, AND CORRECTIVE ACTION TAKEN
9.	If the acquiring entity <u>lacks eminent domain authority</u> , was the acquisition properly established to be voluntary?			✓	<input type="checkbox"/> Sub-recipient (other than a municipality or county) lacks eminent domain authority. <input type="checkbox"/> Property acquired is owned by federal, state, local government, or a political subdivision such as a school district. <input type="checkbox"/> Acquisition of property is for economic development purposes (unless project is for elimination of slum or blighted areas).
10.	Was each owner notified in writing that eminent domain authority will not be used to acquire his/her property if an amicable agreement is not reached?			✓	
11.	Was each owner informed in writing of the estimated market value of his/her property?			✓	
12.	Did the owner accept the offer for market value of the property?			✓	
13.	Did the parties agree to a negotiated settlement for purchase of the property?			✓	
14.	Did the owner agree in writing to donate the property?			✓	
15.	Is there evidence that deeds for utility easements or tracts acquired were recorded with the County?			✓	
Involuntary Acquisition					
16.	Did the Grant Recipient notify the landowner, in writing, of interest acquiring his/her property?	✓			
17.	Was the estimated value of the property to be acquired less than \$10,000 and was waiver valuation used to determine the market value of the land?	✓			
18.	Did the landowner agree in writing to donate his/her property and waive the right to receive just compensation?	✓			One landowner donated his property and waived his right to receive just compensation.
19.	Is there evidence that the landowner received required landowner rights brochures (e.g. certified mail delivery, signature receipt acknowledgement)?	✓			<input checked="" type="checkbox"/> 1) HUD's <i>When a Public Agency Acquires Your Property</i> booklet and <input checked="" type="checkbox"/> 2) The <i>Landowners Bill of Rights</i> ?

20.	If an appraisal was required, was the landowner invited in writing to accompany the appraiser?			✓	NA: Property value under \$10,000
21.	Was a review appraisal conducted?			✓	
22.	Did the Grant Recipient provide the owner with a written offer for the amount determined to be just compensation? Did the offer include a summary statement?	✓			
23.	Did the owner accept the offer of just compensation for the property?		✓		
24.	Did the parties agree to a negotiated settlement for purchase of the property?	✓			One owner agreed to a negotiated purchase amount for the easement.
	If a negotiated settlement was reached (for more or less than the just compensation amount) and federal funds were used for purchase of the property, did the Grant Recipient prepare an Administrative Settlement document?			✓	Note: For negotiated sales using federal funds, the Administrative Settlement document must be filed with the <i>Acquisition Report (Form A601)</i> . *No federal funds were used to acquire the easement. However, an Administrative Settlement document was included with the A601 submittal.
25.	Was the owner reimbursed for any expenses incidental to transfer of title to the Grant Recipient, including recording fees, transfer taxes, documentary stamps, evidence of title, boundary surveys, legal descriptions of the real property, and similar expenses incidental to conveying the real property?			✓	Incidental expenses (recording fee, survey, legal descriptions) were covered by the Johnson County Special Utility District.
26.	Did the owner agree in writing to donate the property and to waive his/her right to just compensation?	✓			One of the two landowners donated the easement and waived his right to just compensation.
27.	Is there evidence that deeds for utility easements or tracts acquired were recorded with the County?	✓			
Environmental Review					
28.	Was a deed, agreement for donation of property or a long-term lease executed prior to TDA environmental clearance and authorization to use grant funds?		✓		TDA Environmental Clearance Date: <u>06/12/2015</u> Date of Executed Deed/Agreement: <u>07/20/2015; 08/27/2015</u>
Condemnation					
29.	If negotiations for involuntary acquisition of property failed, did the Grant Recipient seek TDA approval to proceed with condemnation of private property through use of eminent domain authority?			✓	TDA Determination for Use of Condemnation: Denied: _____ Approved: _____

FORCE ACCOUNT REVIEW

No. Findings: 0

Summary of Findings:

(List any findings and corrective action taken here. Attach to this checklist supporting evidence of a finding, evidence of a remediated finding, or a Corrective Action Plan (CAP), if applicable.)

N/A

Summary of Concerns:

N/A

FORCE ACCOUNT REVIEW					
		Y	N	N/A	DOCUMENT SOURCE, COMMENTS, AND CORRECTIVE ACTION TAKEN
1.	Did the Grant Recipient notify the Department in writing that force account labor would be used?		✓		
2.	Are all employees whose time is being charged to the TxCDBG contract treated as employees in accordance with the Grant Recipient's personnel policies?			✓	
3.	Were any employees classified as temporary employees?			✓	
	If YES, do the personnel policies include provisions for temporary employees?			✓	
4.	Is the time charged to the project supported by time and attendance or equivalent records for all employees?			✓	
5.	Are salaries and wages of employees that were chargeable to more than one cost objective supported by appropriate time distribution records?			✓	
6.	Do the amounts charged to the contract reconcile with the hours on time and attendance sheets X hourly rates?			✓	
7.	Were fringe benefits charged in accordance with the personnel policies?			✓	
8.	Were the non-exempt employees charged to the TxCDBG project paid 1.5 times straight time for all hours worked in excess of 40 hours/week?			✓	
EQUIPMENT AND MATERIALS					
Method Used for Charging Equipment Costs					
___ FEMA ___ Depreciation ___ Lease/Rental ___ Lease/Purchase ___ Use Allowance					
9.	Did TDA require additional justification if rental costs were significantly higher than the FEMA rate?			✓	
10.	Were time records maintained for equipment used on this project?			✓	
11.	Were fuel, repairs and lubricant costs also charged to this project?			✓	
Lease/Rental					
12.	Did the Grant Recipient follow proper procedures in procuring the lease/rental of the equipment?			✓	
13.	Was equipment used solely for the TxCDBG project?			✓	

FORCE ACCOUNT REVIEW					
		Y	N	N/A	DOCUMENT SOURCE, COMMENTS, AND CORRECTIVE ACTION TAKEN
14.	<i>If NO, was an hourly rate calculated and only hours used on the project reimbursed?</i>			✓	
15.	Does the lease/rental agreement include interest payments?			✓	<i>If YES, question 16 is applicable.</i>
16.	Was the amount of interest deducted from the amount reimbursed by the TxCDBG fund?			✓	Amount of Interest: _____
Materials					
17.	Do these materials contracts call for delivery of materials <u>only</u> ?			✓	
18.	<i>If NO, is contract price in excess of \$2,000?</i>			✓	<i>If YES, Labor Standards checklist applies.</i>
19.	Were all public works materials contracts in excess of \$50,000 procured using the competitive bidding process?			✓	Materials: _____ Date of Adv: _____ Deadline: _____ NO. of Bids: _____ Low Bidder: _____ Amount: _____
	Materials: _____ Date of Adv: _____ Deadline: _____ NO. of Bids: _____ Low Bidder: _____ Amount: _____			✓	Materials: _____ Date of Adv: _____ Deadline: _____ No. of Bids: _____ Low Bidder: _____ Amount: _____
Small Purchases					
20.	Did the Grant Recipient follow the proper procurement requirements for purchases less than \$50,000?			✓	
21.	Did the Grant Recipient obtain price quotations from an adequate number (minimum of 3) of qualified sources?			✓	
Materials		Project Activity		Estimated Cost	Number of Quotes
N/A					
Contractors		Project Activity		Estimated Costs	Number of Quotes
N/A					

Sole Source- Oncor

CONSTRUCTION CONTRACT REVIEW

No. Findings: 0

Summary of Findings:

(List any findings and corrective action taken here. Attach to this checklist supporting evidence of a finding, evidence of a remediated finding, or a Corrective Action Plan (CAP), if applicable.)

N/A

Summary of Concerns:

N/A

This checklist is completed for Cities/Counties that carried out construction through the bid/contract process.

CONSTRUCTION CONTRACT REVIEW					
		Y	N	N/A	DOCUMENT SOURCE, COMMENTS, AND CORRECTIVE ACTION TAKEN
1.	Were the advertisements for construction bids published in a newspaper in the municipality (city), or of general circulation if (county) for two consecutive weeks (at least seven days apart)?			✓	<input type="checkbox"/> NO local newspaper <input type="checkbox"/> City <input type="checkbox"/> County Advertising Dates: _____ <u>Non-competitive procurement approved 11/17/2015 for Oncor Electrical Delivery</u>
2.	Was the advertising date at least 14 days before the bid opening date?			✓	
3.	Is there evidence that proper competitive bidding procedures were used? (e.g., bid opening minutes, bid tabulation, etc.)			✓	Number of bids received: _____
4.	Are all bids received maintained in the Grant Recipient's files?			✓	
5.	Were there any bid addendums?			✓	
	<i>If YES, is there evidence that all bidders received the addendums?</i>			✓	
6.	Is the contract award date (not execution date) within 90 days of the bid opening?			✓	Bid opening: _____ Award date: _____ Execution date: <u>12/14/2015</u>
7.	Was the contract amount the same as the base + alternates bid?			✓	
8.	Was the contract awarded to the lowest responsible bidder?			✓	
9.	SECTION 23. <u>DEBARMENT</u> : Was verification of the prime construction contractor received before contract award?	✓			Date of verification: <u>12/10/2015</u>
10.	SECTION 23. <u>DEBARMENT</u> : Did the Grant Recipient request/receive verification for all sub-contractors?			✓	Number of subs: <u>0</u>
11.	Does the project described in the bid/contract substantially agree with the TxCDBG Performance Statement/PCR?	✓			Differences: _____
	<i>If NO, was a performance statement modification requested?</i>			✓	Date: _____

CONSTRUCTION CONTRACT REVIEW					
		Y	N	N/A	DOCUMENT SOURCE, COMMENTS, AND CORRECTIVE ACTION TAKEN
12.	Were the plans/specifications prepared by a registered engineer/architect and carry the affixed seal?			✓	The location was specified by Childress Engineers and Johnson County Special Utility District (JCSUD). The lift station's electrical service upgrades were internally completed by the sole source electrical service provider (Oncor). The completed installation was verified by Johnson County and JCSUD. Name of Engineer/Architect: <u>Joshua Brockett</u> Seal #: <u>98329</u>
13.	Did the sample bid/contract packet contain the following certifications and documents as required in the TxCDBG PIM?			✓	
	Bid Bonds			✓	
	Payment Bonds			✓	
	Performance Bonds			✓	
	Grant Recipient's adopted Section 3 Plan			✓	
	Equal Opportunity Guidelines for Construction Contractors (Form A1001)			✓	
	Construction Contractor Section 3 Plan			✓	
	Statement of Bidder's Qualifications			✓	
	Certificate of Owner's Attorney			✓	
	Certificate of Insurance			✓	
	Termination Clause(s) for Cause and for Convenience			✓	
	Access to Records by grantee, sub-grantee, Federal grantor agency, the Comptroller General of the U.S.			✓	
	Retention of Records (For three years from closeout of the grant to the State)			✓	
	Compliance with Air and Water Acts (>\$150,000)			✓	
	Equal Opportunity (>\$10,000)			✓	
	Section 3 Clause (contracts >\$100,000)			✓	
	Remedies for Breach of Contract (>\$50,000)			✓	

CONSTRUCTION CONTRACT REVIEW					
		Y	N	N/A	DOCUMENT SOURCE, COMMENTS, AND CORRECTIVE ACTION TAKEN
	Procurement of Recovered Materials (>\$10,000)			✓	
	Contractors Certification – Recovered Materials			✓	
	Byrd Anti-Lobbying Certification (≥\$100,000)			✓	
	Technical Specification/Drawings			✓	
	Contract Period			✓	
	HUD 4010 Form			✓	
	A provision for at least 5% retainage			✓	
	Wage Decision(s)			✓	GWD No.: _____ Mod: _____ GWD No.: _____ Mod: _____
14.	Is construction complete?	✓			In process: _____
15.	Does the Grant Recipient have "as-built" plans on the premises?	✓			Was evidence available for the desk review? Yes <input checked="" type="checkbox"/> No _____
16.	Have all payment requests from prime and/or sub contract(s) been resolved? (Affidavit of All Bills Paid or COCC certifying no unpaid claims)	✓			
17.	Has a Certificate of Construction Completion been completed?	✓			
18.	CERTIFICATION (4): Were any special assessments levied on property owners and occupants of low to moderate income (including service connections, tap-on fees/charges, monitoring fees, deposits, capital recovery fees), as a result of this project?		✓		
	<i>If YES, questions 20 and 21 are applicable.</i>			✓	
19.	Did the Grant Recipient pay for all assessments and deposits for low-income households?			✓	
20.	Did the Grant Recipient certify that it does/did not have sufficient TxCDBG funds to pay the assessment on behalf of the moderate-income occupants?			✓	
21.	Were all cumulative change orders that increased the contract price within 25% of the original contract price?			✓	% Cumulative Increase _____ <u>No change orders</u>
22.	<i>(County Only exception) If NO, were the change orders required to comply with federal or state law or regulation?</i>			✓	

CONSTRUCTION CONTRACT REVIEW					
		Y	N	N/A	DOCUMENT SOURCE, COMMENTS, AND CORRECTIVE ACTION TAKEN
23.	Did the contractor consent to all cumulative change orders that decreased the contract price within 25% of the original contract price if a municipality or by 18% if a county? Texas Local Government Code Section 252.048 (d) and 262.031(b)			✓	% Cumulative Decrease _____
	(County Only exception) If No, were the change orders required to meet federal or state regulations?			✓	
24.	Did TxCDBG approve all change orders (except final quantity changes)?			✓	No. of change orders: <u>0</u> No. approved: <u>0</u>
25.	Is an executed contract amendment or Performance Statement modification on file for significant changes in the scope of work resulting from change orders or alternates?	✓			Modification Request 1 was approved 12/07/2015 to include electrical service improvements and additional locations for this activity

EQUIPMENT PURCHASES

		Y	N	N/A	DOCUMENT SOURCE, COMMENTS, AND CORRECTIVE ACTION TAKEN
	EQUIPMENT PURCHASES				
1.	Did the Grant Recipient purchase any equipment with TxCDBG funds?			✓	
2.	If YES, is a Property Management Record maintained?			✓	

SMALL PURCHASE PROCUREMENT

		Y	N	N/A	DOCUMENT SOURCE, COMMENTS, AND CORRECTIVE ACTION TAKEN
	SERVICES/EQUIPMENT/MATERIALS PURCHASES				
1.	Did the Grant Recipient utilize the small purchase procurement?			✓	
	If YES, Did the Grant Recipient obtain price quotations from an adequate number (3 minimum) of qualified sources?			✓	
2.	Did total purchases remain below the \$50,000 aggregate limit?			✓	Estimated Small Purchases: \$ _____
3.	Is there any appearance of separate, sequential, or component purchases to avoid competitive bidding requirements?			✓	

Materials	Project Activity	Estimated Cost	Number of Quotes

Contractors	Project Activity	Estimated Costs	Number of Quotes