

List of Closeout Documents

Project Completion

The final phase of the project is the Project Completion and Closeout. This is the phase in which OCRA determines that all requirements of the grant agreement have been fulfilled. Once all activities of the grant are completed, and all funds have been drawn down, closeout can begin. Assuming all required documentation was appropriately executed and filed throughout the project, this phase is relatively simple. Once closeout is completed, OCRA will send a Notice of Completion to the grantee. To complete this phase and the project, the Grantee must have completed the following steps:

Procurement: Properly procured any federally funded supplies/property, professional services and construction – related services according to state and federal regulations. Please see the [Procurement Chapter](#) for more detail. The required documentation should include the following:

1. Supplies/Property

- a. Copy of Request for Quotation (RFQ).
- b. Certified mail receipts from MBE vendors.
- c. Documentation on all quotes received.
- d. Justification of selection.
- e. A Cost Analysis must have been performed when only one (1) quote is received.

2. Professional Services

- a. Copy of the Request for Proposal (RFP) or Request for Qualifications (RFQ).
- b. Copy of the RFP/RFQ newspaper advertisement.
- c. Certified mail receipts from MBE firms.
- d. Minutes from public meeting where RFP/RFQ were opened.
- e. RFP/RFQ evaluation and scoring documents.
- f. List of short-listed firms and documentation of interview process.
- g. Short-listed firms evaluation and scoring documents.
- h. Justification for selection of contractor.

3. Construction – Related Services

- a. Copy of Invitation for Bid (IFB).
- b. Copy of IFB newspaper advertisement.
- c. Certified mail receipts from MBE firms.
- d. Minutes from public meeting where IFB's were opened.
- e. Copy of the bid tabulation sheet, certified by the project architect/engineer.
- f. Justification of selection.

Contract Development: The development of contracts for all project related activities is mandatory, regardless of the source of funds paying for the activity. Please see the [Contract Development Chapter](#) for more detail. The required documentation should include the following:

1. Professional Services

- a. Copy of a Firm, Fixed – Price or Cost Reimbursement Contract with the required Third Party Provisions attached.
- b. Disclosure Report for each contract.

2. Construction – Related Services

- a. Copy of a Firm, Fixed – Price Contract with the required Federal Construction Contract Provisions attached.
- b. Copy of the Bid Guarantee.
- c. Copy of the Performance Bond.
- d. Copy of the Payment Bond.
- e. Copy of contractor(s) insurance policy.
- f. Disclosure Report for each contract.
- g. Proof of the established Retainage Account.
- h. Documentation on all Change Orders.

Financial Management: There are various financial tasks that must be executed and maintained throughout the entire project’s life span. Please see the [Financial Management Chapter](#) for more detail. The required documentation should include the following:

- a. Copy of the state approved grant agreement.
- b. Copy of the appropriate signature card.
- c. Copy of the Grantee’s W-9 form.
- d. Copy of the completed Federal Cash Control Register.
- e. Copy of the completed Contract Obligation Control Ledger.
- f. Copy of the completed Contractor Expenditure Ledger(s).
- g. Copy of the completed Property Inventory Form (rarely used).
- h. Access to all of the Grantee’s standard financial records in respect to the project, e.g. Claims; Ledger of Receipts, Disbursements, and Balances; Ledger of Appropriations, Encumbrances, Disbursements and Balances.
- i. Copy of the official Notification of Release of Funds letter issued by the DOC.
 - Copy of all drawdowns (claim vouchers).
 - Copies of all Semi-Annual Grantee Performance Reports.

Environmental Review: Regardless of the nature of the project, an environmental review must have been completed. Please see the [Environmental Review Chapter](#) for more detail. The required documentation should include the following:

1. Exempt Activity Project Classification

- a. Copy of the Exempt Activity Notification letter.
- b. Copy of OCRA Environmental Approval letter
- c. Categorically Excluded Activity Project Classification**
- d. Copy of the Categorically Excluded Activity Notification letter.
- e. Copy of the "Notice of Intent to Request Release of Funds" advertisement.
- f. Copy of the Request for Release of Funds Certification.
- g. Copy of OCRA Environmental Approval letter

2. Assessed Activity Project Classification

- a. Copy of environmental request packet.
- b. Copy of all environmental response letters.
- c. Copy of any environmental studies e.g. archaeological surveys, etc.
- d. Copy of completed Format II document.
- e. Copy of the "Combined Notice of No Significant Environmental Impact and a Request for Release of Funds" advertisement.
- f. Copy of the Request for Release of Funds Certification
- g. Copy of OCRA Environmental Approval letter

Land Acquisition and Relocation: Any time acquisition of property or relocation of individuals is a necessary requirement for the completion of the project, the federal rules associated with the Uniform Relocation and Real Property Acquisition Act (URA) come into play. Please see the [Land Acquisition and Relocation Chapter](#) for more detail. The required documentation should include the following:

1. Property Acquisition

- a. Copy of letter to owner(s) informing them of the Grantee's interest in the property and of the owner(s) rights outlined in the URA brochure, "When a Public Agency Acquires Your Property".
- b. Certified mail receipts and/or signed waivers regarding above referenced letter.
- c. Copy of market estimates on property valued under \$2,500.
- d. Copies of appraisers' pocket identification cards.
- e. Copy of property owner(s) certified mailed notification of appraisal.
- f. Copy of appraisal and review appraisal on property valued over \$2,500.
- g. Copy of compensation/offer to owner(s).
- h. Copy of purchase option or donation waiver.
- i. Copy of actual signed purchase agreement/signed easement.
- j. Copy of completed property questionnaire.

2. Relocation (Please contact OCRA Acquisition Specialist for forms and assistance.)

- a. Copy of letter to owner(s) informing them of the Grantee's interest in the property and of the owner(s) rights outlined in the appropriate URA brochure.

- b. Certified mail receipts and/or signed waivers regarding above referenced letter.
- c. Copy of the Notice of Nondisplacement or Notice of Eligibility for Relocation Assistance.
- d. Copy of the Waiver of Relocation Rights, if applicable.
- e. Documentation of the replacement needs assessment.
- f. Documentation of the comparable replacement dwellings.
- g. Copy of the Ninety-Day Notice.
- h. Copy of the Relocation Claim Forms.

Civil Rights: Because of the importance of civil liberties and equal opportunities, it is mandatory that each Grantee take steps to uphold the rights of every individual associated with the completion as well as the benefits of the project. Please see the [Civil Rights Chapter](#) for more detail. The required documentation should include the following:

- a. Copy of Civil Rights Officer Notification.
- b. Copy of Grantee's Fair Housing Ordinance.
- c. Copy of all MBE bid solicitation and project participation.
- d. Copy of Invitation for Bid with appropriate civil rights documentation.
- e. Copy of construction plans and specifications with appropriate civil rights documentation attached.
- f. Copy of Pre-Bid Meeting notification.
- g. Copy of Pre-Bid Meeting minutes and attendance roster.
- h. Copy of contractor(s) Equal Employment Opportunity Reports, if applicable.
- i. Copy of contractor(s) Affirmative Action Plans, if applicable.
- j. Copy of the Section 3 Compliance form.

Labor Standards: There are various state and federal labor standard issues that must be met on all federally funded projects. Please see the [Labor Standards Chapter](#) for more detail. The required documentation should include the following:

- a. Copy of the Labor Standards Officer Notification
- b. Copy of the Request for Wage Determination.
- c. Copy of Invitation for Bid.
- d. Copy of construction plans and specifications with appropriate labor standards documentation attached.
- e. Copy of the Verification of Wage Determination.
- f. Copy of the Contractor Verification form.
- g. Copy of the Notice of Contract Award.
- h. Copy of the construction-related contract(s) with the HUD 4010 form attached.
- i. Copy of the Pre-Construction Meeting notification.
- j. Copy of Pre-Construction Meeting minutes and attendance roster.
- k. Copy of contractor(s) fringe benefit programs.

- l. Copy of any apprenticeship certification programs, if applicable.
- m. Copy of Contractor(s) Certification form.
- n. Copy of Subcontractor(s) Certification forms, if applicable.
- o. Copy of the OFCCP Subcontract Notification, if applicable.
- p. Copy of all weekly certified payroll reports for contractor(s)/subcontractor(s).
- q. Copy of all employee interviews.
- r. Copy of the Final Wage Compliance form.
- s. Copy of the Final Inspection/Project Completion report.

Modifications: Throughout the process of the project's completion, situations may arise that change the project's scope or expiration date. These situations may require a grant modification. Please see the [Contract Development and Modification Chapter](#) for more detail. The required documentation should include the following:

1. Category 1 Modification

- a. Copy of the Modification Request letter.
- b. Copy of OCRA approval of the request.

2. Category 2 Modification

- a. Copy of the "Notice of Grant Modification" newspaper advertisement.
- b. Copy of the minutes and attendance roster of the modification public meeting.
- c. Copy of the modification request packet.
- d. Copy of OCRA approval of the request.

3. Category 3 Modification

- a. Copy of the "Notice of Grant Modification" newspaper advertisement.
- b. Copy of the minutes and attendance roster of the modification public meeting.
- c. Copy of the modification resolution.
- d. Copy of the modification request packet.
- e. Copy of the DOC/state approval of the request.

Grant Closeout: Once the project's construction phase has reached substantial completion and all of the federal funds have been expended, the grant closeout procedures are initiated. Please see the [Grant Closeout Chapter](#) for more detail. The required documentation should include the following:

- a. Copy of the Federal Cash and Leveraging Statement.
- b. Copy of the Grantee Performance Report.
- c. Copy of the grant monitoring documentation.
- d. Copy of the Financial Settlement/Expenditure Summary.
- e. Copy of the Administrative Closeout documentation.