

## **DELAWARE NEIGHBORHOOD STABILIZATION PROGRAM (NSP)**

### **Record Keeping and Filing System**

1. Citizen Participation
  - a. Complaint Procedure
  - b. Comments and Correspondence
  - c. Response to Comments
  
2. Application
  - a. Request For Proposal and Application
  - b. Application Correspondence
  - c. Application Approval Letter: Preliminary and Contract Letter
  
3. Grant Agreement
  - a. Grant Agreement
  - b. Grant Condition Correspondence (if applicable)
  - c. Amendments
  - d. Subrecipient or Developer Agreement
  
4. Environmental Review
  - a. ERR
    - Worksheets
    - Checklist(s) and Documentation
  - b. Project Maps, Engineering Drawings and Other Documentation
  - c. Screening Letters and Responses
  - d. Public Notices and Proof of Publication
  - e. Request for Release of Funds
  - f. Notice of Removal of Grant Conditions and Release of Funds
  - g. Other Correspondence
  - h. Flood Plain (where applicable)
  - i. Environmental Impact Study (when required)
  
5. Equal Opportunity
  - a. Affirmative Action Plan
  - b. Fair Housing [DSHA - 30]
  - c. Minority Business Participation
  - d. Minority Benefit from Project
  
6. General Correspondence
  
7. Data
  - a. Population and Demographic Information
  - b. Program Beneficiaries Data

8. Financial Management Files
  - a. Authorized Signature Form [DSHA-5]
  - b. Requests for Payments/Status of Funds
  - c. Cash Receipts Register
  - d. Cash Disbursements Register
  - e. Pending Invoice File
  - f. Paid Invoice File
  - g. Procurement Policy
  - h. Payroll
  - i. Budget
  - j. Project Income Account
    - Approvals by DSHA
  
9. Project Files
  - a. Acquisition
    - Agreement for Appraisal Services
    - Appraisal
    - Written Offer to Purchase
    - Title Search/Clearance of Title
    - Contract of Sale
    - Statement of Settlement Costs
    - Receipt for Purchase Price/Cancelled Check
    - Other Acquisition Correspondence
  
  - b. Construction [Applicable to Infrastructure Only]
    1. Engineering
      - Advertisement/RFP
      - Selection Process
      - Paid Invoices
  
    2. Construction [Applicable to Infrastructure Only]
      - Davis Bacon Wage Determination Request
      - Advertisement/RFP
      - Selection of Contractors/Clearance of Contractor
      - Eligibility/Award of Contract
      - Construction Contract/Compliance Packet
      - Pre-Construction Conference Minutes
      - Notice to Proceed and Start of Construction Notice
      - Authorization to Sign Payroll
      - Time Sheets/Payroll and Review
      - Contract Amendments or Subcontracts
      - Notice of Contract Suspension or Cancellation
      - Construction Related Correspondence
      - Site Inspection Reports

- Employee Interview Records
- EEO Outreach Efforts
- Monitoring Reports

c. Housing Rehabilitation

Files may vary depending upon whether the project is grants, loans or a combination. Individual files should be maintained for each property owner. Files should contain the following information:

- Local Program Guidelines
- Specifications Manual
- Housing Rehabilitation Checklist [DSHA-34A]
- Housing-Owner Occupied Rehabilitation Data Collection Form(DSHA-91]
- Application from Property Owner
  - Terms and Conditions of the Program
  - Lead Paint and Poisoning Caution Notice
  - Construction Worksheet
  - Authorization to Proceed
  - Verification Forms – income, employment, mortgage, bank account, credit check, social security, public assistance, income tax returns, retirement income, utility payments, etc.
- Housing Inspection Checklist
- Copy of Work Write-ups
  - Transmittal Letter to Property Owner
  - Transmittal Letter to DE SHPO
- Bid Documents
  - Bid Advertisement/Solicitation
  - List of Contractors Receiving Bid Documents
  - Contractors' Proposal
  - Documentation of Bid Opening
  - Announcement of Bid Award and Letters to Successful and Unsuccessful Bidders
- Financial Evaluation of Applicant
- Mortgage/Promissory Note/Grant Agreement
- Loan Payment Record
- Notification and Documentation of Preconstruction Conference
- Executed Contract between Property Owner and Contractor
- Documentation of Final Inspection by Building Inspector
- Change Orders
- Extensions of Time for Completion of Work
- Documentation of Final Inspection by Building Inspector
- Documentation of Final Payment
- Documentation of Follow-Up Inspection
- Sign-Off on Lien Waivers

- Up-to-Date list of Eligible Contractors
  - Files on All Contractors Who were Sent Bids (contractor data sheet, MD Home Improvement License and any correspondence)
  - Forms
  - Where Applicable, Davis-Bacon Wage Determination Request, List of Debarred Contractors
10. DSHA Management and Monitoring
- a. DSHA Monitoring Site Visit Reports [Checklist to be provided prior to visit]
  - b. Grantee Monitoring Responses
  - c. Other Related Monitoring Correspondence
  - d. Evidence Clearing Monitoring Findings
11. Audit
- a. Engagement Letter from Account
  - b. Interim Audit
  - c. Final Audit
  - d. Resolution of Findings
12. Quarterly Reports
13. Closeout
- a. Final Progress Reports
  - b. Closeout Agreement
14. Public Information/Promotion
- a. Press Clippings