



SUBJECT: Financial Forms Quick Tips

ISSUED: April 7, 2006

DISTRIBUTED TO: Office of Community Development Award Recipients and their Affiliates

POLICY

In order to expedite the processing of fiscal-related documents, the Office of Community Development (OCD) recently developed **Quick Tips** for the following documents:

- Housing Rehabilitation/Homeownership Project Setup Form;
- Request for Payment and Status of Funds Report (DS5);
- Authorized Signature Card for Request for Payment and Status of Funds Report (DS2);
and
- Status and Final Performance Reports.

The Quick Tips should be reviewed every time one of the above-listed documents are being completed and prior to the submission of the documents(s) to OCD.

COMMENTARY

OCD Notice 06-02 was issued to provide individuals who are submitting the above-listed documents with a “checklist” of items that should be carefully reviewed prior to the submission of the documents; thereby, expediting processing.

Questions regarding the above-listed documents should be directed to the OCD Fiscal Grants Management Section at (614) 466-2285 or ocd@development.ohio.gov.

OCD Financial Forms QUICK TIPS

Quick Tips for

Housing Rehabilitation/Homeownership Project Setup Form

IF: The grant number listed on the form is a seven-character/digit number (**do not** count dashes), **then**



TIP: **DO NOT** submit a Housing Rehabilitation/Homeownership Project Setup Form to OCD. The purpose of the setup form is to provide OCD with the site address of housing units that are improved with federal **Community Development Block Grant (CDBG)/HOME Investment Partnerships (OCD)** funds, **NOT Ohio Housing Trust Fund (OHTF)** dollars. Grants funded with CDBG/HOME funds are eight-digit numbers.

IF: The revision date located in the lower right-hand corner of the Housing Rehabilitation/Homeownership Project Setup Form is **NOT** 7/1/2005, **then**



TIP: Verify that the form you are using is dated 10/2012 in the lower right-hand corner. The most current version of the Housing Rehabilitation/Homeownership Project Setup Form is available online at http://development.ohio.gov/cs/cs_fiscalforms.htm (left-hand bar)

IF: The amounts listed on the Housing Rehabilitation/Homeownership Project Setup Form **are not** rounded to the nearest whole dollar, **then**



TIP: Dollar amounts included on the Housing Rehabilitation/Homeownership Project Setup Form must be rounded up or down to the nearest whole dollar.

IF: The amount listed on the “Project Budget” line includes **only** the CDBG/HOME dollars **expended** for work that **has already been completed**, **then**



TIP: The dollar amount listed on this line must include the **entire** estimated unit cost for the unit listed.

For example, Community A has received a \$10,000 invoice for rehabilitation work completed on Unit 1 and needs to draw funds from OCD to pay the invoice; however, additional rehabilitation work will be completed on Unit 1 later and will cost approximately \$5,000. Community A must submit the Housing Rehabilitation/Homeownership Project Setup Form with the **entire** estimated unit cost for Unit 1 (\$15,000 – **NOT** just the \$10,000). Then Community A may submit a Request for Payment and Status of Funds Report (DS5) to draw the \$10,000 to pay the invoice. Note: The “Project Budget” for a unit may be higher than the activity award; but the amount **drawn** for the unit cannot be higher than the activity award.

IF: More than one type of activity is listed on the Housing Rehabilitation/Homeownership Project Setup Form (e.g., private rehabilitation and private rehabilitation/down payment assistance), **then**



TIP: Only one type of activity should be included on a form (the activity name is listed on Attachment A of the Grant Agreement). For example, according to the grant agreement, the award recipient will be completing private rehabilitation as one activity and private rehabilitation/down payment assistance as another activity. In this situation, one Housing Rehabilitation/Homeownership Project Setup Form (listing up to six units) must be submitted for the private rehabilitation activity and one Housing Rehabilitation/Homeownership Project Setup Form (listing up to six units) must be submitted for the private rehabilitation/down payment assistance activity.

IF: The site address listed on the Housing Rehabilitation/Homeownership Project Setup Form was submitted on a previously submitted Housing Rehabilitation/Homeownership Project Setup Form for the **same activity**, **then**



TIP: If the site address was previously submitted on a Housing Rehabilitation/Homeownership Project Setup Form, the box labeled “Check if this Project is an Amended Submission” must be checked. Only reduce project budgets once the project is complete.

IF: The site address listed on the Housing Rehabilitation/Homeownership Project Setup Form was previously listed on a Housing Rehabilitation/Homeownership Project Setup Form and submitted for a **different activity**, **then**



TIP: An address cannot be setup for more than one activity. Therefore, if an assisted unit will be rehabilitated **and** provided with down payment assistance, the address must be included on the Housing Rehabilitation/Homeownership Project Setup Form with the "Activity Name" listed as Private Rehabilitation/Down Payment Assistance.

If an address was previously set up for the wrong activity, submit a Housing Rehabilitation/Homeownership Project Setup Form with the correct "activity name" listed and a notation that the activity previously set up for the address was incorrect and should be changed.

IF: The Housing Rehabilitation/Homeownership Project Setup Form is complete and ready to submit, **then**



TIP: The completed form must be mailed to OCD, or submitted electronically to ocd@development.ohio.gov, or faxed to (614) 752-4575 – Attention: Amy Carroll. Do not send more than one copy of the same completed form (e.g., one mailed and one electronic or faxed copy).

Quick Tips for

Request for Payment and Status of Funds Report (DS5)

IF: The signatures included on the Request for Payment and Status of Funds Report (DS5) form do not match the signatures that are included on the Authorized Signature Card for Request for Payment and Status of Funds Report (DS2), **then**



TIP: The signatures included on the Request for Payment and Status of Funds Report (DS5) form **must** match the signatures that are included on the Authorized Signature Card for Request for Payment and Status of Funds Report (DS2).

Each time a Request for Payment and Status of Funds Report (DS5) form is submitted, the Office of Community Development (OCD) compares the signatures included on the Authorized Signature Card for Request for Payment and Status of Funds Report (DS2) to the signatures included on the Request for Payment and Status of Funds Report (DS5). If the signatures do not match, the Request for Payment and Status of Funds Report (DS5) will not be processed. Only one Authorized Signature Card for Request for Payment and Status of Funds Report (DS2) form should be submitted to the OCD, regardless of the number or types of grants received, but should be updated and resubmitted, as needed.

IF: The revision date on the Request for Payment and Status of Funds Report (DS5) form, which is located on the bottom, right-hand corner of the form, is **NOT** 10/2012, **then**



TIP: Verify that the form you are using is the most current version (DS5 Rev 10/2012 DEV0072). The most current version of the form is available online at http://development.ohio.gov/cs/cs_fiscalforms.htm (left-hand bar).

IF: The grant number is included in Section Two of the form, **then**



TIP: Verify that the grant number is correct. To verify the grant number, refer to the "Grant Number" that is printed in the upper, right-hand corner of the grant agreement.

IF: The funds requested on the Request for Payment and Status of Funds Report (DS5) form are for expenditures that meet the criteria of the approved budget, **then**



TIP: Verify that the funds requested are for an approved budget activity as specified in Attachment A of the signed grant agreement.

IF: The amounts listed on the Request for Payment and Status of Funds Report (DS5) form are not rounded to the nearest whole dollar, **then**



TIP: Dollar amounts included on the Request for Payment and Status of Funds Report (DS5) form must be rounded up or down to the nearest whole dollar.

IF: A "Contact Person/Telephone Number" is not included on the Request for Payment and Status of Funds Report (DS5) form, **then**



TIP: A contact person's name and his/her telephone number **must** be included on the form.

IF: The draw number included on the Request for Payment and Status of Funds Report (DS5) form is sequential for **the grant listed on the form**, **then**



TIP: The draw number included on the Request for Payment and Status of Funds Report (DS5) form should be sequential **for all grants awarded to a community/agency by the Office of Community Development (OCD).**

Therefore, **regardless of the grant type or year**, the draw numbers included on each Request for Payment and Status of Funds Report (DS5) must be sequential.

For example, a community/agency was awarded two different types of grants in two different program years. Then, on January 1, 2012, the community agency submits a Request for Payment and Status of Funds Report (DS5) to draw funds from grant type "A" as Draw Number 1. On April 1, 2012, the same community/agency submits a Request for Payment and Status of Funds Report (DS5) to draw funds from grant type "B." The "Draw Number" included on the second form submitted must be "2."

If there is a question regarding the appropriate draw number to be included on a Request for Payment and Status of Funds Report (DS5), contact the Fiscal Section at OCD at (614) 466-2285.

IF: The amount listed on the Request for Payment and Status of Funds Report (DS5) form is an adjustment of **previously drawn funds** from one activity or unit to another activity or unit, **NOT** a request for new funds, **then**



TIP: Adjustments of **previously drawn funds** from one activity or unit to another activity or unit must be indicated on a Request for Payment and Status of Funds Report (DS5) (in the "Amount Requested" column) as a negative amount in one row and a positive amount in another row.

IF: The Request for Payment and Status of Funds Report (DS5) form lists both federally and state-funded grants, **then**



TIP: If you are submitting a Request for Payment and Status of Funds Report (DS5) form and are including both federally funded and state-funded grants on the form, please group the federal grants together and the state grants together on the form.

Quick Tips for

Authorized Signature Card for Request for Payment and Status of Funds Report (DS2)

IF: The signature of the “Authorizing Official” included on the Authorized Signature Card for Request for Payment and Status of Funds Report (DS2) is the same as the signature or countersignature included on the Request for Payment and Status of Funds Report (DS5) form, **then**



TIP: Make sure that a notarized “Signature Certificate” (sample available online at http://development.ohio.gov/cs/cs_fiscalforms.htm - left-hand bar) is on file with OCD.

Quick Tips for

Status and Final Performance Reports

IF: The amounts listed on the Final/Status Report form are not rounded to the nearest whole dollar, **then**



TIP: Dollar amounts included on the Final/Status Report form must be rounded up or down to the nearest whole dollar.

IF: The amounts listed on the Status/Final Performance Report are **estimates** of the expenditures and outcomes associated with a particular grant, **then**



TIP: Status/Final Performance Reports should be completed using **actual** expenditures and outcomes by activity.

IF: The completed Final Performance Report indicates that more than \$100 of the grant funds was not expended, **then**



TIP: At the completion of the grant program, all unexpended funds **in excess of \$100** should be returned with the Final Performance Report. The checks must be made payable to the **Treasurer - State of Ohio** and the grant number must be included on the check.

IF: Final grant expenditures were made after the Final Performance Report was completed and submitted to OCD, **then**



TIP: A completed Certificate of Completion form, (copy is available online at http://development.ohio.gov/cs/cs_fiscalforms.htm) must be submitted to the Office of Community Development (OCD). The completed certificate must reflect that all funds were expended on a cash basis.