## File Checklist for Subrecipients

National Objective Documentation (570.200(2))

Environmental Review Record (58.34(a))

UEI and SAM Registration

Non-Profit Determination (if applicable)

Disbarment Eligibility

Subrecipient Agreement

Subrecipient Amendments

Subrecipient Certifications: Anti-discrimination, Fair Housing, ADA/Section 504, EEO, and any others required by terms of subrecipient agreement

Job Descriptions (for staff listed in CDBG budget only)

Staff Resumes (if positions are filled)

Project Application

Pre-Award Risk Assessment (200.331(6)(b))

***Administrative Systems***

Articles of Incorporation/Bylaws

IRS 501(c)3 letter

Board of Directors Roster

Authorization to Request Funds from Board

Designation of Authorized Official

Organization Chart

Organizational Mission Statement and/or Strategic Plan

Conflict of Interest Policy (200.318(c)(1))

Non-Discrimination Policy

Grievance/Termination Policy for Employees and Clients

Procurement Policy (200.318(a))

Record Retention Policy

Confidentiality Policy – Protected Personal Information (200.393(e))

Certificates of Insurance (General Liability and Workers’ Compensation)

Certification regarding Debarment/Lobbying

***Financial Management Systems***

Most recent audit (if federal expenditures exceed $750,000) **or** Statement from CPA (if federal expenditures do not exceed $750,000)

Current Approved Budget for Activity

Financial Status Report

Chart of Accounts

Documentation of Match (if applicable)

Documentation of Negotiated Indirect Cost Rate (if applicable)

Program Income Tracking Ledger (if applicable)

Payroll records – timesheets, salary schedule (if applicable)

Payment Requests

***Client Documentation***

Dated HUD-Approved Income Chart

Example/blank Client Intake Forms – Subrecipient to keep all client intake forms onsite utilizing required confidentiality protocols

Number of persons assisted (for non-housing activities): income, race, and ethnicity

Number of households assisted (for housing activities): income, race, ethnicity, female head of household

***Reporting***

Copies of all subrecipient reports submitted to the City

Correspondence – copies of emails, letters, and phone call notes

***Compliance Documents – Documentation that subrecipient received***

Playing by the Rules, a Handbook for CDBG Subrecipients

Governing regulations, 2 CFR Part 200, CPD Notices

Information on program changes and new or revised requirements to subrecipient

***Training Log***

Training log outline number of persons trained, topics, and training date(s)

***Monitoring Documents***

Monitoring Letter

Monitoring Conclusions Letter

Any response to findings/concerns from subrecipient

*Note: Checklist is meant as an internal tool for standardizing and reviewing files. Due to the nature of differing projects, not all items are applicable to all projects at all times.*