## 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.*