

## DOCUMENTATION TO BE MAINTAINED

- Form should be initiated when grantee awards subgrant to subrecipients.
- Date at top should indicate last time when checklist was updated.
- Form should be updated after desk audits and all monitoring visits, or when key documents are received from/sent to Subrecipients.

Date Checklist Last Updated: \_\_\_\_\_

Documents to be Maintained	Document Source		Status		
	Source	Date	Complete?		Location
			YES	NO	
<b>Project Application</b>					
Original Application	Subrecipient				
Amendments to Application	Subrecipient/Grantee				
Approval of Amendments	Grantee				
Notice of Award	Grantee				
Correspondence	Subrecipient/Grantee				
<b>Pre-Award Documentation</b>					
Articles of Incorporation/Bylaws	Subrecipient				
Non-profit Determination	Subrecipient				
List of Board of Directors	Subrecipient				
Authorization to Request Funds	Subrecipient				
Authorized Official	Subrecipient				
Organizational Chart	Subrecipient				
Resumes of Chief Admin. and Chief Fiscal Officers	Subrecipient				
Financial Statement and Audit	Subrecipient				
Conflict of Interest Statement	Subrecipient				
Plan for Compliance with National Objectives	Subrecipient				
Lobbying Certification	Subrecipient				
<b>Subrecipient Agreement</b>					
Budget Amount	Grantee				
Date of Agreement	Grantee				
Statement of Work/Scope of Services	Subrecipient				
Budget by Task/Activity	Subrecipient				
Schedule by Task/Activity	Grantee				
Standard Provisions	Grantee				
Special Conditions	Grantee				
Amendments (Dates)	Grantee				

Documents to be Maintained	Document Source		Status		
	Source	Date	Complete?		Location
			YES	NO	
<b>Financial Records</b>					
Current Approved Budget	Subrecipient/Grantee				
Authorization Letter/Signatures	Subrecipient				
Financial Management Systems (Accounting books, software, reporting systems)	Subrecipient				
Chart of Accounts	Subrecipient				
List of Source Documents to be Maintained	Grantee				
Financial Status Report (total budget, amount expended, unliquidated obligations, unobligated balance)	Subrecipient				
Drawdown Request Forms	Subrecipient				
Executed Contracts/Bid Docs	Subrecipient				
Board Minutes for Approval of Contracts or Bids	Subrecipient				
Copy of Most Recent Audit Report	Subrecipient				
Certification of Insurance Coverage/Bonding	Subrecipient				
CDBG Payroll Records	Subrecipient				
Certified Construction Payroll Record (Davis-Bacon applicable)	Subrecipient				
Approved Cost-Allocation Plan	Subrecipient/grantee				
Relevant Financial Correspondence	Subrecipient/grantee				
<b>Project Monitoring &amp; Control</b>					
Completed Monitoring Reports	Grantee				
National Objectives Documentation	Subrecipient				
Eligible Activities Documentation	Subrecipient				
Activity Status Report (scope, cost, schedule, Actual v. Agreement)	Subrecipient				
Drawdown Request/Reports	Subrecipient				
Subrecipient Staffing	Subrecipient				
Meeting Minutes	Subrecipient				
Phone/e-mail Log/Notes	Subrecipient				
Other Correspondence	Subrecipient				

Documents to be Maintained	Document Source		Status		
	Source	Date	Complete?		Location
			YES	NO	
<b>Regulatory Compliance File</b>					
HUD Monitoring Results	HUD/Grantee				
Real property inventory, Management and Change of Use	Subrecipient				
Anti-discrimination, Fair Housing, EEO, ADA/504 Certifications	Subrecipient				
Procurement, Bonding, Insurance	Subrecipient				
Labor standards	Grantee				
Acquisition, Displacement, Relocation, Replacement Housing	Subrecipient/Grantee				
Environmental Review	Subrecipient				
Loan Status Reports (economic development, rehabilitation)	Subrecipient				
Administrative Activities	Subrecipient				
Flood Insurance Purchase	Subrecipient				
<b>Other Project Activity Files</b>					
Plans & Specs (rehabilitation, historic preservation)	Subrecipient				
Orientation and Training	Subrecipient				
Special Case Records	Subrecipient				