As outlined in Section 4 of the **Disaster Recovery CDBG Grantee Administrative Manual**,the grantee must maintain all program documentation such as financial records, supporting documents, and statistical records. These records must be retained for a period of five years after close-out of the federal grant related to the activity and/or contract. OCD-DRU may monitor these records during the retainage period.

The filing system established to keep core records should be separate of individual project files and easy to use while providing a historical account of activities for examination and review by the OCD-DRU, auditors, and local grantee staff. DR- CDBG records are subject to the Freedom of Information Act and relevant state laws regarding public availability. Files should, to the extent possible, be maintained in a central location. Although a consultant may maintain a set of files, the grantees are required to maintain the original files at their location.

The list below is a sample of the major file categories that should be maintained and a listing of materials that should be kept in each file. This list is not all inclusive and some documents may not be applicable.

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| **Grant Approval *(Refer to Manual Section 1 and Section 2)*** |
| [ ]  Letter from the OCD-DRU awarding grant [ ]  Grantee CEA Agreement and any Amendments[ ]  Plan/Proposal and any Plan/Proposal Amendments[ ]  Records of correspondence concerning other contract conditions |
| **Policies and Procedures *(Refer to Manual Section 2, Section 4, Section 5, Section 6, and Section 12)***  |
| [ ]  Duplication of Benefits Policy[ ]  Procurement Policies and Procedures[ ]  Contract Administration Policies and Procedures[ ]  Financial Management Policies and Procedures[ ]  Monitoring Policies and Procedures[ ]  Record Keeping Policies and Procedures |
| **Citizen Participation *(Refer to Manual Section 2)*** |
| [ ]  Copy of all notices of public hearings held and proofs of publication relating to the DR-CDBG program [ ]  List of persons attending public hearings and minutes of the meetings [ ]  Citizen inquiries and complaints and correspondence responding to the inquiries and complaints [ ]  Copy of Citizen Participation Plan with adopting resolution[ ]  Records documenting implementation and compliance with the Citizen Participation Plan[ ]  Citizen Complaint Procedures |
| **Civil Rights *(Refer to Manual Section 8)***  |
| Section 3 of the HUD Act of 1968[ ]  Section 3 of the HUD Act of 1968 Complaint Form [ ]  Fair Housing activity (incl. Utility Bill Stuffer and a Fair Housing flyer) [ ]  Section 3 of the HUD Act of 1968 Employment activity [ ]  Section 3 of the HUD Act of 1968 Contracting activityEqual Opportunity[ ]  Equal Opportunity Records[ ]  Employment and Training, Construction and Non-construction ReportSection 504 [ ]  Self-evaluation with all areas examined[ ]  List of interested persons consulted |
| **Financial Management *(Refer to Manual Section 5)*** |
| [ ]  Authorized Signature Form[ ]  Financial Management Questionnaire (mailed with “Application Revision Letter”)[ ]  Electronic Funds Transfer Enrollment Form[ ]  Process to Change forms[ ]  Requests for Payment[ ]  General-purpose Financial Statements (Statement Of Revenues, Expenditures And Changes In Fund Balance And A Balance Sheet) [ ]  Record of commitment of other funds[ ]  Source documentation (contracts, purchase orders, vouchers, invoices, requests for partial payment, etc.)[ ]  Support documentation (canceled checks, deposit slips, monthly bank statements, etc.)[ ]  Grantee Code of Ethics[ ]  Grantee audits |
| **Audit *(Refer to Manual Section 5*** ***and Section 6)*** |
| [ ]  Method utilized to procure audit firm(s)[ ]  Professional Services Agreement with independent CPA (“written engagement agreement”)[ ]  Financial Reports[ ]  Information relating to Financial Reports costs[ ]  Data collection Form and Reporting Package[ ]  Financial Reports required if Single Audit is not done [ ]  Annual sworn financial statements if revenue received was $50,000 or less,  [ ]  An annual compilation if revenue received was more than $50,000 but less than $200,000, [ ]  An annual review to be accompanied by an attestation report, if revenue received was $200,000 or more but less than $500,000, or  [ ]  An annual audit if revenue received was $500,000 or more. [ ]  Independent Audit Results, Support Documentation, and Corrective ActionsForce Account, if required[ ]  Contact the OCD-DRU for record keeping requirements with respect to force account.  |
| **State Monitoring *(Refer to Manual Section 12 and Section 13)***  |
| [ ]  State letter(s) of findings[ ]  Grantee response to letter of findings[ ]  State's response clearing findings[ ]  Other correspondence related to the OCD-DRU’s monitoring visits[ ]  Grantee/CEA Final Performance Report (Exhibit 13-4a)[ ]  Housing Opportunities Form (Exhibit 13-4b)[ ]  Final Project Close-out letter from OCD-DRU |
| **General Correspondence** |
| [ ]  Incoming and outgoing correspondence that does not fall into the above categories or into a specific  project file category |