

RECORD-KEEPING CHECKLIST

Note: If you will be receiving CDBG funds for housing rehabilitation, please refer to Appendix 5 “Sustainable Residential Program” for the Record-Keeping Checklist.

Recipients must maintain all records for five years past the grant close out date. Please note: The grant close out date is the date that state of Iowa closes its CDBG award with HUD. Contact IEDA to determine if the project’s grant been closed with HUD to ensure the record retention requirement is met.

This checklist serves only as a guide; record-keeping needs and requirements may vary from project to project.

I. Application/Contract Documents

- Copy of the CDBG application
- Amendments to the application
- Correspondence and materials related to the application
- Copy of the signed contract with IEDA
- Copies of any requests for amendments and IEDA’s response to requests

II. Citizen Participation

- Public hearing notices
- Public hearing minutes
- Proof of publication of notice/minutes
- Documentation of the accessibility of public meetings
- Documentation of process for responding to citizen complaints
- Copies of citizen complaints, grievances or comments

III. Environmental Review

If Exempt:

- Documentation of how the determination was made
- Finding of Exemption, Request for Release of Funds form
- Documentation of how the determination was made

If Categorically Excluded and Not Subject to the Related Federal Laws:

- Documentation of how the determination was made
- Finding of Categorically Exclusion, Request for Release of Funds form
- Documentation of how the determination was made

If Categorically Excluded and Subject to the Related Federal Laws:

- Documentation of how the determination was made
- Categorically Excluded Checklist
- All documentation pertaining to the Section 106 process
- A Copy of the FEMA Flood Hazard Boundary Map
- If the project is located in a floodplain: copies of the published notices
- Water Quality Map
- National Inventory Map
- County Distribution of Federally Listed Species in Iowa
- USDA NRCS Farmland Conversion Impact rating form
- Copy of the Intent to Request Release of Funds notice
- Copy of the Request for Release of Funds and Certification form
- Letter from IEDA releasing fund

If an Environmental Assessment was required:

- Documentation of how the determination was made
- Environmental Clearance Worksheet
- All documentation pertaining to the Section 106 process
- A Copy of the FEMA Flood Hazard Boundary Map
- If the project is located in a floodplain: copies of published notices
- Water Quality Map
- National Inventory Map
- County Distribution of Federally Listed Species in Iowa
- USDA NRCS Farmland Conversion Impact rating form
- Copy of the concurrent FONSI and Request for Release of Funds Notice
- Copy of the Request for Release of Funds and Certification form
- Letter from IEDA releasing funds
- Copies of citizen comments made on the environmental assessment

IV. Financial Management

- Copies of invoices for project expenses and other source documentation as applicable (e.g., purchase orders, contracts, budget transfer memoranda, time records)
- Copies of requests for funds
- Copies of State warrants
- Copies of minutes approving payment of invoices
- Bank records (e.g., canceled checks, deposit slips, bank statements)
- Written accounting procedures
- Accounting books of original and final entry
- Documentation of local effort
- Program income records

V. Professional Services and Architectural/Engineering Services Procurement

- List of firm/individuals solicited
- Written request for proposal for professional services (if secured by competitive negotiation)/request for qualifications for architect/engineer
- Evaluation criteria
- Publicized notice
- Denial/award letters
- Minutes of the meeting at which the contract was awarded

VI. Construction Contract/Labor Standards (if applicable)

- Notice of appointment of Labor Standards Officer
- Labor standards checklist
- Request for wage determination
- Copy of bid advertisement
- Copy of bid package
 - Project specifications
 - Copy of wage determination from IEDA
 - Statement of terms and conditions
 - Contractor and subcontractor certification forms
 - Bid, performance and other bond requirements
- Contract procurement and award
 - Minutes of the bid opening meeting
 - Log of bid package recipients and bidders
 - Check for contractor debarment
 - Copy of contract must include the same items as the bid package with completed forms
- Pre-construction conference report or minutes
- Copy of notice of contract award
- Notice to contractor to proceed with work
- Report of additional classifications and wage rates (if applicable)
 - Report of additional classification (HUD 4230a)
 - Additional classifications and wage rate approval
- Contractor performance records
 - Reports on job site inspections
 - Weekly payroll reports for each contractor and subcontractor and evidence of review
 - Weekly statement of compliance for each contractor/subcontractor
 - Employee interview reports
 - Log of payments made to contractor
- Records of contractor violations (if applicable)
 - Notice of contractor violation
 - Record of resolution
 - Report of wage restitution accomplished
 - Calculation of employee restitution
 - Proof of employee restitution

VII. Civil Rights/Fair Housing

- Beneficiary demographic data
- Documentation of Section 3 Worker hours worked on the project
- Documentation of Section 3 outreach activities conducted and results
- Equal Opportunity Policy and documentation of how it was made public
- Documentation of equal employment opportunity activities and results
- Current workforce analysis, if applicable
- Affirmative action plan, if applicable
- Records of discrimination complaints and how they were resolved
- Documentation of actions to affirmatively further fair housing and results, including documentation that recipient completed mandatory and optional fair housing activities
- Documentation of actions taken to solicit participation from minority- and women-owned businesses

VIII. Acquisition (for each property acquired)

- Site acquisition summary
- Copies of required notice (showing dates)
- Evidence each owner was invited to accompany the appraiser on inspection of the property
- Copy of appraisal reports and review appraiser's reports
- Copy of the written purchase offer, a statement describing the basis for just compensation, and evidence of date received by owner
- Copy of the purchase agreement
- Copy of the recorded deed
- Copy of the statement of settlement cost
- Evidence the owner received the net proceeds due from the sale (e.g., copies of canceled checks)
- Copy of any appeal concerning a payment, together with a copy of all pertinent determinations and other relevant documentation

IX. Relocation File (for each case)

- Relocation summary
- Log of advisory services and other contracts with the displaced party
- Site occupant record
- Relocation assistance request
- Proof of receipt and copy of general information notice
- Proof of receipt and copy of notice of relocation eligibility
- Proof of receipt and date notice to continue occupancy was delivered
- Proof of receipt and copy of 90-day notice to vacate (if applicable)
- Proof of receipt and copy of 30-day notice to vacate (if applicable)
- List of all replacement dwelling referrals/inspections of referred dwellings
- Date acquired unit is vacated
- Copy of inspection of replacement unit
- Copies of the appropriate benefit claim forms
- Documentation verifying eligibility of all claims
- Documentation proving receipts for all relocation payments