

COMMUNITY DEVELOPMENT BLOCK GRANT (CDBG)

RECORD KEEPING

RECORD KEEPING IS IMPORTANT! If it's not documented, it doesn't exist and therefore putting your program in jeopardy. Subrecipients must keep accurate records, which conform to the reporting requirements as outlined below.

FILING SYSTEM

Files will be maintained electronically unless noted by HUD for original ink signature.

PROJECT FILES

Subrecipients must be able to fully document their CDBG projects, so that compliance with all applicable regulations can be demonstrated. The filing system established must provide a historic account of each project.

The following is a suggested outline for file categories and contents of files for each project.

1. GENERAL PROJECT FILE:

- a. Agency documents (application, cross cutting federal regulations, budget, etc.)
- b. Annual report
- c. Communication
- d. Contract
- e. Eligibility analysis
- f. Environmental review
- g. Miscellaneous
- h. Monitoring
- i. Monthly report (beneficiary data)
- j. Reimbursement requests

2. FINANCIAL RECORDS:

- a. Notice of grant award
- b. Authorizations, motions or resolutions
- c. Project agreement with HCD
- d. Contracts (note: all third-party contracts must be approved by HCD)
- e. Budget revisions
- f. Bills for payment
- g. Copies of reimbursement requests
- h. Copies of approved vouchers and warrants
- i. Payroll time sheets
- j. Records of technical assistance monitoring visits

2. FINANCIAL RECORDS CONTINUED:

- k. Latest subrecipient audit and audit records Community Development Block Grant Procedures 19
- l. Approved indirect cost allocation plan, if applicable
- m. Project income records
- n. Records documenting source and amount of supplemental (matching) resources

3. PROCUREMENT:

- a. Bid advertisements
- b. Affidavit of publications
- c. RFP's
- d. Bids/proposals
- e. Price or cost analysis
- f. All contracts
- g. Change orders
- h. Pay estimates
- i. Site inspection reports
- j. Section 3 documentation
- k. Preconstruction conference notes
- l. Correspondence

RECORDS RETENTION

All records pertaining to CDBG awards must be retained for no less than four years after expiration of the contract and any amendments, completion and resolution of the audit and/or any litigation, whichever is later. If there is any litigation, claim or audit findings that extend beyond this four-year period, subrecipients must retain the records until all litigation, claims or audit findings involving the records are resolved.



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