**CDBG Grantee Records Retention**

|  |  |  |  |
| --- | --- | --- | --- |
| Grantee Name |  | Start Date |  |
| Grant #1 |  | End Date |  |
| Grant #2 |  | Award Amount | $ |
| The department requires that a filing system be established that makes finding all of the necessary source documents readily accessible. The following is a suggested sample CDBG filing system. All grant records must be maintained for five years after the closeout of the federal grant year by HUD/DCEO. *See 2 CFR 200.333 Retention requirements for records.* | | | |

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| **✓** | **Process/Required Documentation** |  | **✓** | **Process/Required Documentation** |
| **GRANT APPLICATION** | |  | **\*EQUAL OPPORTUNITY** | |
|  | Copy of the complete CDBG Grant Application |  |  | Copy of Fair Housing Ordinance or Resolution |
| (must include all attachments and maps) |  |  | **Section 3** |
|  | GATA Registration Documentation/Verification |  |  | Section 3 Compliance Report |
| **\*ENVIRONMENTAL REVIEW / SPECIAL GRANT CONDITIONS** | |  |  | Section 3 Safe Harbor Compliance and Documentation |
|  | Entire Environmental Record Review |  |  | **Section 504** |
|  | Notice of State Award Finalist (NOSAF) w/ special grant conditions |  |  | Grantee Self Evaluation for Persons w/ Disabilities |
|  | NOSAF/SGC clearance documentation |  | **\*DIRECT BENEFIT/HOOK-UPS – PUBLIC INFRASTRUCTURE** | |
|  | Environmental Release Letter |  |  | Copy of Advertising(s) of availability of financial assistance |
|  | Notice of State Award (NOSA) /Award Letter (prior to 2017) |  |  | Copy of Posting(s) of availability of financial assistance |
| **GRANT AWARD / AGREEMENT / MODIFICATIONS** | |  |  | Application/Income Documentation for all eligible applicants |
|  | Fully Executed Grant Agreement with Welcome Package |  |  | Copies of 3 required bids per hh or hook-up contract documentation |
|  | All Modification Requests and Approvals |  |  | Copy of Invoices and checks paid per household |
|  | Fully Executed Modification Agreement |  |  | Application/Income Documentation for all ineligible applicants |
| **\*PROCUREMENT OF CONSTRUCTION CONTRACTS (N/A for Housing)** | |  | **CLOSEOUT** **\*must include public hearing documents** | |
|  | MBE Form |  |  | Completed, signed Final Grantee Report w/ documentation |
|  | Advertisement for Bids / Bid Solicitation Documents |  |  | \*Completed, signed Grantee Evaluation Report (GER)\* |
|  | Bid Packet – Must include Intent to Comply w/ Section 3 |  |  | Correspondence related to Closeout |
|  | Bid Tabulation |  |  | DCEO Financial Closeout Approval Letter |
|  | Notice of Award |  |  | As-Built Project Map (N/A for Housing) |
|  | Contract/Sub-Contract DOL Reporting Form |  |  | Copy of proposed project map (for reference) |
|  | Construction Contract with all signed certifications |  | **MONITORING** | |
|  | Notice of Contract Award (NOCA) HUD 2516 |  |  | CDBG Monitoring Letter |
|  | Notice to Proceed |  |  | Response Documentation to Findings/Comments |
|  | Prevailing Wage Rates |  | **MISCELLANEOUS** | |
|  | Copy of Contractor Review for Debarment |  |  | General Correspondence, News Articles |
|  | Contractor Bonding, Insurance |  |  | \*Income Surveys |
|  | Change Orders |  |  | Audits (**Email: ceo.externalauditunit@illinois.gov**) |
| **\*CONSTRUCTION LABOR STANDARDS** | |  |  | \*Public Comments |
|  | Pre-Con Conference Checklist/Minutes/Sign-in w/ documentation |  | **\*HOUSING REHABILITATION PROGRAM SPECIFIC FILES (IF APPLICABLE)** | |
|  | Payroll Signature Authorization |  | **See GMH Section 1.5 for Content** | |
|  | Employee Interviews (HUD 11) |  |  | Management Policy Manual |
|  | All Construction Payrolls, including Force Account Labor |  |  | Boilerplate rehab construction contract |
|  | Apprentice Certifications |  |  | Copy of Advertising(s) of availability of financial assistance |
|  | Documentation of underpayment/proof of wage restitution |  |  | Copy of Posting(s) of availability of financial assistance |
|  | Fringe Documentation |  |  | Individual Case File – Application |
| **\*FINANCIAL MANAGEMENT RECORDS** | |  |  | Individual Case File – Construction |
|  | Bank Account Documentation (CDBG) |  |  | Application/Income Documentation for all ineligible applicants |
|  | Bank Account Documentation (Leverage) |  |  | Miscellaneous Files |
|  | Bonding information of the Grantee (N/A for Housing) |  |  | Relative Correspondence |
|  | Signature Authority/Fiscal Responsibility Documentation |  | **ADDITIONAL FILES (IF APPLICABLE) – See GMH 1.5 for Guidance** | |
|  | Authorized Signatory Change Form |  |  | **\*COMPLAINTS** |
|  | Authorized Designee Signature Form(s) |  |  | **\*ACQUISITION** |
| **\*FINANCIAL EXPENDITURE RECORDS** | |  |  | **\*RELOCATION** |
|  | CDBG Ledger |  |  | **\*LMI INCOME BENEFIT** |
|  | CDBG checks with corresponding invoices |  |  | **OTHER COMPLIANCE REQUIREMENTS** |
|  | Leverage Ledger |  |  | **ADMINISTRATIVE COSTS** |
|  | Leverage checks with corresponding invoices |  |  |  |
|  | Bank Statements |  |  |  |
|  | Print-Out of GRS screens requesting CDBG funds |  |  |  |
|  | Copies of Expenditure Summaries (if applicable) |  |  |  |
|  | Copies of signed Quarterly Grantee Reports w/documentation |  |  |  |
|  |  |  |  |  |
|  |  |  |  |  |

\*Federal Requirement