RECORD-KEEPING CHECKLIST

Housing Fund recipients must demonstrate compliance with applicable requirements. IEDA will monitor recipients and activities for full compliance. The recipient should establish a filing system to provide a historic record of all activities. Files should be established for all contracts. Files must be maintained for five years after contract expiration. Files should be made for each major category shown below, as applicable, with sub-files as needed. Documents submitted to IEDA should be done through Iowagrants.gov with recipients maintaining original documents in their project file.

**General Administration Files**

I. Housing Fund Application

❑ Completed Housing Fund application

❑ Amendments and revisions to the application, if any

❑ Correspondence about the application

II. Agreement with IEDA

❑ Award letter

❑ Signed contract (and all components), requests for amendments, approved amendments, and documentation supporting requests to amend activities or transfer funds and budget revision requests (including security instruments)

❑ Requests for funds

❑ Other applicable reports and supporting documentation

III. Financial Management

❑ Chart of accounts

❑ Accounting procedures

❑ Accounting books of original and final entry

❑ Source documentation (e.g., purchase orders, invoices, contracts, budget transfer memoranda, time records)

❑ Lending institution records (e.g., canceled checks, deposit slips, bank statements)

❑ Procurement records (i.e., rationale for method of procurement, procurement policy, selection of contract type, advertisements, notification of bidding and basis of cost)

❑ Contractor payment control record

❑ Property inventory file listing any real or personal property acquired with Housing Fund assistance, as applicable and allowable

❑ Project set-up form(s) (including revisions to set-up forms), and completion report(s) (HOME only)

IV. Contract Transactions (may be included as part of project/activity files)

❑ Original recipient contracts with service providers

❑ Iowa tax identification numbers for each contractor (or social security numbers for individuals on contract)

❑ Contractor clearances

V. Monitoring/Inspection

❑ Monitoring follow-up letters

❑ IEDA letters of findings and recommendations

❑ Response to letters of findings

❑ Evidence clearing any monitoring findings

VI. Audit (local governments and non-profits)

❑ Audit firm procurement documentation

❑ Hiring letter to audit firm

❑ Audit report

❑ Correspondence regarding findings

VII. Closeout

❑ Any final reports

❑ Closeout letter from IEDA and response

VIII. General Correspondence

❑ All correspondence, received and sent, that does not fall into one of the above project file categories, including, for local governments, comments received by the recipient on the project from citizens and the recipient’s response to these comments.

IX. General Complaints/Disputes

❑ Correspondence from local residents, government officials and/or media representatives, expressing dissatisfaction with the project; and the recipient’s response to complaints. Document non-written complaints (e.g., telephone calls) with internal notes to the file.

**General Compliance Files**

I. Environmental Review Record

* Environmental assessment
* Copies of published notices
* Copy of Request for Release of Funds
* Letter from IEDA releasing funds
* State Historical Society Clearance letter(s)/PMOU compliance
* Documentation of compliance with Environmental Clearance Worksheets
* Copies of citizen comments made on the environmental assessment

II. Equal Opportunity/Civil Rights

❑ Community profile

❑ Racial, ethnic and gender data showing the extent to which these categories of persons have participated in, or benefited from, Housing Fund activities

❑ Documentation of all affirmative actions taken to achieve fair housing, including a local fair housing ordinance, if available

❑ Evidence of attempts to identify and solicit minority contractors and vendors, including records of all contracts and subcontracts (by number and dollar amount) awarded to minority business and women’s business enterprises

* Documentation of special efforts to train and/or hire low-income residents of the project area and to use local and neighborhood based businesses (Section 3)
* Copy of local equal opportunity policy and/or affirmative action plan (i.e., local governments with 15 or more FTEs) and data which records affirmative action in employment

**Project Administration Files**

Records should be maintained according to individual projects and should include the following:

I. General project administration documents, including policies, procedures, standards, and other information of general project interest.

II. Professional or technical services procurement and contracts

III. Management control records

❑ Where recipients are responsible for implementing a number of similar activities, such as owner-occupied rehabilitation, an ongoing composite record of current status/progress should be maintained for all similar projects. The management control record should identify major tasks accomplished, to date, for all individual projects. Ethnic/racial data should also be maintained.

**Individual Project Files**

Individual project files should contain a complete record of all project activities. Each project should have its own file. Within each file there should be documentation to record the chronological history of the project. Project files should include, where applicable, the following items.

I. Individual Project Files

❑ Completed formal application (and pre-application if used)

❑ Income and asset documentation of applicant(s)

❑ Verification of income and assets and all forms used for verification

❑ Eligibility determination documentation

❑ Demographic data (i.e., family size, minority, disability, female head-of-household, age, etc.)

❑ Determination of type(s) and amount(s) of assistance

❑ Initial inspection (signed or initialed, and dated)

❑ Work write-up and/or project specifications

* Staff cost estimate
* Lead hazards identification and all notices (as applicable)
* Seller’s disclosure statement (homeownership assistance activities)
* Revision to specifications (as applicable for lead safe housing)

❑ Copies of all bids and/or bid tabulation sheet (should include all bid documents such as notification of hearing and letting.)

❑ Letter of award to low bidding contractor

❑ Letters of non-award to other contractors

❑ Executed copy of contract

* Permits, insurance

❑ All change orders

❑ Record of interim inspections

❑ Payment(s) record

* Clearance testing documentation (as applicable)

❑ Final inspection(s)

❑ Completion certificate(s) and owner acceptance of work

❑ Complete and recorded repayment agreement (mortgage and/or note as applicable)

❑ Lien waivers (including partial lien waivers)

* Warranties or guarantees
* HUD Form 1(Settlement statement) (homeownership assistance activities)
* Copies of principal loan documents and/or information about the principal loan (interest rate, term, etc.)

II. Professional or Technical Services Procurement

❑ List of firms/individuals solicited

❑ Written request for proposals or qualifications for professional services (if secured by competitive negotiation), specifying the work to be done

❑ Evaluation criteria/review process

❑ Publicized notice

❑ Denial/award letters

❑ Minutes of the meeting(s) at which the contract was awarded

❑ Copies of contracts

III. Construction Contract/Labor Standards (as applicable)

❑ Notice of appointment of Labor Standards Officer for the recipient (as applicable)

❑ Labor standards checklist

❑ Request for wage rate determination

❑ Copy of bid advertisement

❑ Copy of bid package

❑ Project specifications

❑ Copy of wage determination from IEDA (as applicable)

❑ Statement of terms and conditions

❑ Contractor and subcontractor certification forms

❑ Bid, performance and other bond requirements

❑ Construction contract procurement and award

❑ Minutes of the bid opening meeting

* Log of bid package recipients and bidders
* Bid tabulation

❑ Check for contractor debarment/Iowa registration

❑ 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 the work

* Notice to IEDA of the start of construction

❑ 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

IV. Acquisition File (if applicable)

Separate acquisition files must be maintained for each parcel of real property acquired. The following items must be included:

❑ Site acquisition summary

❑ Additional file information:

❑ A copy of the preliminary acquisition notice (copy of standard brochure not required) and evidence, including date, of receipt by owner

❑ Evidence that each owner was invited to accompany the appraiser on the appraisal of the real property

❑ A copy of any appraisal report and review appraiser’s report, upon which the determination of just compensation was based. However, such appraisal report(s) may be filed separately, with an appropriate reference in the acquisition file

❑ A copy of the written purchase offer, a statement describing the basis for just compensation, and evidence of date received by owner

❑ A copy of the purchase agreement

❑ A copy of the recorded deed

❑ A copy of the statement of settlement costs

❑ Evidence that the owner received the net proceeds due from the sale (e.g., copies of canceled checks)

❑ A copy of any appeal concerning a payment, together with a copy of all pertinent determinations and other relevant documentation

V. Relocation File

A separate relocation file shall be maintained for each relocated party. The following items must be contained in the file:

❑ 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 and on-site 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