

An Internal Controls Checklist – Documentation

- Subrecipient Agreement
- IRS 501(c)3 Letter
- Articles of Incorporation
- Bylaws
- Mission Statement
- Board Roster
- Board Handbook
- Job Evaluation Tool
- Organization Chart
- Job Descriptions
- Monitoring Reports
- Contingency Plan
- Succession Plan
- Authorization to Request Funds
- Procedures Flow Charts
- Reports to Grantee
- Newsletters
- Social Media Printouts
- Monitoring Schedule
- Performance Reports
- §200.328(d)(1)-related correspondence
- Required Certifications (§200.415 & §200.324(c))
- Certificates of Policy Compliance

An Internal Controls Checklist – Policies and Procedures Manual

- Non-Discrimination (§570.602 & 618)
- Code of Ethics (*Principle 1*)
- Conflict of Interest (§200.318 & §570.611)
- Procurement (§200.318(a))
- Grievance (Staff and Clients) §570.607(a)
- Termination (Staff and Clients) §570.607(a)
- Confidentiality (§200.303(e))
- Record Retention (§570.506)
- Information Technology (*Principle 11*)
- Whistleblower (*Principle 14*)
- Monitoring (§200.328)

If Housing Activities Involved:

- Fair Housing (§570.611)
- Lead-Based Paint (§570.608)