

An Internal Controls Checklist

Documentation

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

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 (*41 USC § 4712*)
- ☐ Monitoring (§200.328)
- ☐ If Housing Activities Involved:
 - ☐ Fair Housing (§570.611)
 - ☐ Lead-Based Paint (§570.608)