

APPLICATION DOCUMENT CHECKLIST

When applying for grant funds, there are a variety of compliance documents that will be required at the time of application in order to help determine eligibility, compliance, and viability of the project. These documents can be broken into four main categories: Internal control Documentation, Policy documentation, Organizational Structure documentation, and Service Documentation.

Internal Control Documentation:

- Financial Policies and Procedures:** Documentation that outlines the rules that govern the financial activities within an organization and outlines how certain tasks are done and policies adhered to. This documentation should also speak to the internal fiscal controls within the organization.
- Single Audit, Fiscal audit/Financial Review:** Documentation that shows an objective third party has performed an evaluation of the financial statements of an organization and rendered an opinion on the financial health of the organization, any misallocated expenses, unauthorized spending, or accounting errors. **IMPORTANT:** If an organization has received \$750,000 or more in federal funds a single audit is required for grant compliance. If less than \$750,000 a third-party fiscal review/audit (not single audit) is still required to be provided by an applicant.
- Balance Sheet:** A financial statement that provides insight into the organization's assets and liabilities at the time of application. It also provides a basis of computing rates of return and evaluating an organizations capital structure.
- Current Budget:** Documentation that outlines the costs your organization will incur and the revenue you expect to receive over a set period of time.
- Most Recent IRS Form 990:** Documentation from the IRS that shows the tax-exempt status of an organization. This form allows the state to perform charitable and other regulatory oversight and to satisfy the state income tax filing requirements for organizations claiming exemption from state income tax.
- Fidelity Bond Documentation:** Documentation that shows the organization has insurance protection which will cover losses that incur as a result of fraudulent acts by employees, board members, or officers of the organization. This would include acts of fraud and/or other dishonest acts.

Policy Documentation:

- Conflict of Interest Policy:** Documentation that details the organization policies/procedures if entering into a transaction or arrangement that might benefit the private interest of a director, officer, board member, or member of staff of the organization that may result in a possible excess benefit transaction. This documentation should outline how the organization will handle when an actual or potential conflict of interest arises. The organization should have a process by which any affected individual will advise the governing body about all the facts relevant to the conflict of interest.

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- Fair Housing and Equal Access Policy (If applicable):** On September 21, 2016, HUD published a final rule in the Federal Register entitled "Equal Access in Accordance with an Individual's Gender Identity in Community Planning and Development Programs." Through this final rule, HUD ensures equal access to individuals in accordance with their gender identity in programs and shelter funded under programs administered by HUD's Office of Community Planning and Development (CPD). For more information, go to <https://www.hudexchange.info/resource/1991/equal-access-tohousing-final-rule/>. For shelter providers, the best practice would be to comply with state and federal fair housing laws to mitigate claims of fair housing discrimination. As a general rule, the Fair Housing Act does apply to homeless shelters and transitional housing.
- Grievance and Termination Policy (Clients):** Documentation that outlines the process by which a client may raise concern and/or a complaint in regard to an organizations services/programs. This documentation must also detail the process by which a client is informed of this policy. Additionally, this documentation must outline the process by which a service/program would be terminated for the client, and the process by which the client would be notified and given the opportunity to review/appeal the decision.
- Non-Discrimination Policy (Clients):** Documentation that outlines the organizations policies and procedures in regard to providing services and programs to clients on a non-discriminatory basis.

Organizational Structure Documentation:

- Current Organization Chart:** Documentation that details the organizations' internal structure by detailing the roles, responsibilities, and relationships between individuals within your organization.
- List of Board of Directors**
- Mission/Vision Statement**
- Most recent 501(c)3 determination letter (If applicable)**
- Roster of staff, pay schedules, and full job descriptions of any staff for which an organization will include in the application and seek reimbursement for if awarded.**

Service Documentation:

- Client Intake Form:** A sample intake form for the services for which an organization is applying for funding. This form should demonstrate what information, question, and/or certifications an organization gathers from clients to verify their eligibility at the time of intake.
- Other award/commitment letters for the proposed project(if applicable)**
- Additional Support Documentation:** Any other policies related to eligibility, prioritization, and service provision (if applicable): Any other documentation that can may speak to an organizations

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eligibility, how services/programs are administered, and/or how clients are prioritized. This documentation is optional and would serve to better clarify for grant reviewers the details of the grant project ask.

- ❑ **City of Colorado Springs Equal Access Assessment Form:** This form provides HUD and the city with information on specific steps on how an applicant meets or is working to meet the HUD Equal Access Rule. In addition to applying to specific shelter and public facilities receiving HUD, this rule also applies to services in regards to policies/procedures to ensure equal access to all clients under HUD funded programs. For more information please visit the [Equal Access Final Rule](#).

ESG Applicants:

In addition to the four categories of application documentation, ESG applicants will also be asked to provide and/or comply with the following application documentation:

- ❑ **City of Colorado Springs Shelter Habitability Policy**
- ❑ **City of Colorado Springs Written Standards:** All ESG applicants should familiarize themselves with the compliance requirements, and city goals and priorities outlines in the written standards. IMPORTANT: ESG applicants are required to adhere to the requirements outlined in the written standards and based on the ESG component for which they may apply (HMIS, Shelter, Rapid-Rehousing, Homelessness Prevention, Street Outreach) , should review and understand those requirements PRIOR to applying.