

	A	B	C	D	E	F
1	<b>&lt;Grantee&gt; - ACF Policy Review</b> <b>Document Request List Tracker</b> <b>XX/XX/20XX</b> <b>Due to ACF: XX/XX/20XX</b>					
2						
3						
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6	<i>NOTE: The process areas in the "Scope Section" column are broken out by ACF review area. ACF recognizes that grantee organizations do not necessarily maintain policies and procedures using this same breakout. If the document your organization is providing to cover one of these process areas covers other non-related areas, please specify in the "Documents Received" column where each of these areas (as further defined in the "Documents Requested" column) are covered (section, page range, etc.) within the overall document.</i>					
7	<b>Process Area #</b>	<b>Scope Section (Process Area)</b>	<b>Documents Requested</b>	<b>Document(s) Received (Name/Page References)</b>	<b>ACF Date Received</b>	<b>ACF Status (Open/Closed)</b>
8	1	All Process Areas	1. Grant Management Manual used by the grantee to administer federal awards, if available. Individual policies and procedures for specific process areas (outlined below) are also acceptable in lieu of one comprehensive manual. Please label location of all individual areas below within the manual if provided in this manner.			Open
9	2	Accounting of Federal Awards	1. Accounting policy and procedure documentation for federal awards (if not included in Grant Management Manual) including:			Open
10			- Registration updates to the System of Award Management (SAM).			Open
11			- Recording, supporting, and tracking transactions pertaining to federal awards			Open
12			- Monitoring compliance, through internal controls, with federal statutes, regulations, and the terms and conditions of the federal award			Open
13			- Proper completion of revisions to budget plans.			Open
14	3	Compensation	1. Policy and procedure documentation for personnel compensation and fringe benefits charged to federal awards (if not included in Grant Management Manual) including:			Open
15			- Determining whether compensation costs (including fringe benefits) are allowable, allocable and reasonable			Open
16			- Documenting and approving time worked on federal awards			Open
17	4	Cost Principles	1. Policy and procedure documentation for compliance with the 45 CFR 75 Subpart E - Cost Principles (if not included in Grant Management Manual) including:			Open
18			- Determining the allowability of costs to the Federal award			Open
19			- Determining when prior written approvals are required			Open
20			- Properly identifying and segregating direct vs. indirect (and administrative) costs			Open
21	5	Information Technology (IT)	1. Policy and procedure documentation for security over accounting and financial systems used to manage federal awards including:			Open
22			- Maintaining user segregation of duties			Open
23			- Maintaining data recovery and business continuity			Open
24			- Safeguarding against system destruction			Open
25			- Preventing/identifying external system threats			Open
26			- User access			Open
27	6	Legal and Regulatory	1. Policy and procedure documentation for legal and regulatory requirements for federal awards (if not included in Grant Management Manual) including, but not limited to:			Open
28			- Single Audit requirements			Open
29			- Drug-Free Workplace Act of 1988			Open
30			- Whistleblower protections			Open
31			- Suspension and debarment requirements			Open
32			- Lobbying restrictions			Open
33			- Safeguarding Personally Identifiable Information (PII)			Open

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34			- Safeguarding Protected Health Information (PHI)			Open
35	7	Management of Federal Cash	1. Policy and procedure documentation for managing and controlling cash associated with federal awards (if not included in Grant Management Manual) including:			Open
36			- Processing, recording, and depositing cash drawdowns			Open
37			- Use and reporting of program income			Open
38			- Repaying excess funds (interest)			Open
39	8	Monitoring	1. Policy and procedure documentation for monitoring processes (if not included in Grant Management Manual) including:			Open
40			- Establishment, operation, and evaluation of monitoring activities over internal controls			Open
41			- Remediation of identified deficiencies and/or instance of non-compliance			Open
42	9	Entity Controls	1. Policy and procedure documentation for the following, related to federal grants (if not included in Grant Management Manual) including, but not limited to:			Open
43			- Standards/Code of Conduct			Open
44			- Conflicts of interest including disclosures			Open
45			- Disclosing violations involving fraud, bribery, or gratuity violations to federal entities			Open
46	10	Procurement	1. Policy and procedure documentation for procurement processes associated with federal awards (if not included in Grant Management Manual) including:			Open
47			- Procurement procedures for the entity			Open
48			- Conflicts of interest, including disclosures			Open
49			- Specifying contracts to include provisions of 45 CFR 75 Appendix II			Open
50	11	Property Management	1. Policy and procedure documentation for the management of property, equipment, or supplies acquired or improved using federal funding (if not included in Grant Management Manual) including:			Open
51			- Insurance coverage on property acquired with Federal funds			Open
52			- Use and disposition of real property			Open
53			- Treatment of equipment, supplies, and intangible property and copyrights (if applicable)			Open
54	12	Record Retention	1. Policy and procedure documentation for maintaining, collecting, storing, and accessing records (if not included in Grant Management Manual)			Open
55						Open
56	13	Reporting	1. Policy and procedure documentation for generating and submitting financial and performance reports (if not included in Grant Management Manual) including:			Open
57			- Proper collection and reporting of financial information (SF-425 FFR)			Open
58			- Reporting on real property			Open
59	14	Risk Assessment	1. Policy and procedure documentation for grantee-level risk assessment processes, and risk assessment for federal grant programs (if not included in Grant Management Manual)			Open
60	15	Subrecipients	1. Policy and procedure documentation for awarding, managing and monitoring federal grants to subrecipients, as well as required reporting (if not included in Grant Management Manual)			Open
61						

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62			PAPERWORK REDUCTION ACT OF 1995 (Pub. L. 104-13) STATEMENT OF PUBLIC BURDEN: The purpose of this information collection is to support the completion of a financial monitoring review over the organization to which this document is being submitted. Public reporting burden for this collection of information is estimated to average three and one half hours per grantee, including the time for reviewing instructions, gathering and maintaining the data needed, and reviewing the collection of information. This is a mandatory collection of information (Title 2, Code of Federal Regulations (CFR), Part 200, Subsection 300, " <i>Statutory and National Policy Requirements</i> " [also codified at Title 45, CFR, Part 75, Subsection 300]). An agency may not conduct or sponsor, and a person is not required to respond to, a collection of information subject to the requirements of the Paperwork Reduction Act of 1995, unless it displays a currently valid OMB control number. The OMB # is 0970-0558 and the expiration date is 11/30/2023. If you have any comments on this collection of information, please contact OGM at OGM-Financial@acf.hhs.gov.			