

Homeowner Monitoring Checklist
Program: Owner Occupied Housing Rehabilitation

Grantee:
Award Amount:
Reviewer:

Grant Award #:
Contract Period:
Date of Review:

Client File Review

Client Files Reviewed:

	<u>Property Address</u>	<u>Homeowners Last Name</u>
Client File A:	_____	_____
Client File B:	_____	_____
Client File C:	_____	_____
Client File D:	_____	_____
Client File E:	_____	_____
Client File F:	_____	_____

<u>Application:</u>	<u>YES</u>	<u>NO</u>	<u>N/A</u>
1. Is there an applicant file checklist, application authorization to release information, and approval notice in the file?			
Comments Regarding the Application:			

<u>Income:</u>	<u>YES</u>	<u>NO</u>	<u>N/A</u>
2. Is there an income calculation sheet in the client file?			
3. Was the applicant's income calculated according to the Part 5 Definition of Annual Income and the 'Technical Guide for Determining Income Allowances for the HOME Program'?			
4. Was the applicant's income supported by source documentation/verification?			
5. Were the appropriate HOME or NAHTF income limits observed?			
Comments Regarding Income:			

<u>Primary Residence:</u>	<u>YES</u>	<u>NO</u>	<u>N/A</u>
6. Is there documentation in the file that the applicant owns the property? (i.e. fee simple title)			
7. Is there documentation in the file that the grantee is certifying on an annual basis that the property is being maintained as the owner's primary residence?			
Comments Regarding Primary Residence:			

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Property Information:	<u>YES</u>	<u>NO</u>	<u>N/A</u>
8. Is the property type and location documented in the file?			
9. Is the property listed as a single-family home (1-4 units)?			
Comments Regarding Property Information:			

Assistance:	<u>YES</u>	<u>NO</u>	<u>N/A</u>
10. Is there documentation in the file as to how assistance was determined?			
11. If other assistance (i.e. ATP funds, USDA funds, local funds, or homeowners contribution) is used for this project, is it documented in the file?			
Comments Regarding Assistance:			

Costs:	<u>YES</u>	<u>NO</u>	<u>N/A</u>
12. Is there documentation of all costs and compliance with the subsidy limits in the file?			
Comments Regarding Costs:			

Legal Paperwork:	<u>YES</u>	<u>NO</u>	<u>N/A</u>
13. Is there a written agreement with the homeowner in the file?			
14. Is there a copy of the deed or note in the file which contains the appropriate HOME or NAHTF provisions, DED Contract Requirements and Program Guideline Requirements?			
15. Is a title search documented in the file, along with the title insurance?			
16. Are there other closing documents documented in the file?			
17. Is there documentation in the file that the deeds have been filed?			
18. Are the terms of the loan/grant consistent with the program's underwriting guidelines/program guidelines?			
19. Is there a written agreement in place documenting the loan/grant provided to the homeowner?			
20. Were all written agreements/loan documents properly executed and recorded?			
Comments Regarding Legal Paperwork:			

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Insurance:	<u>YES</u>	<u>NO</u>	<u>N/A</u>
21. Is there documentation in the file showing that the applicant has insurance on the property?			
22. Is there documentation in the file showing that the applicant has flood insurance? (only necessary if property is in a flood plain)			
Comments Regarding Insurance:			

Loan Terms/Conditions/Program Income:	<u>YES</u>	<u>NO</u>	<u>N/A</u>
23. Are there program income records in the file?			
24. Is there documentation in the file showing when repayment of the loan begins?			
Comments Regarding Loan Terms/Conditions/Program Income:			

Lead-Based Paint:	<u>YES</u>	<u>NO</u>	<u>N/A</u>
25. Does this property require that Lead-Based Paint requirements be followed? (only applicable to houses built prior to 1978)			
26. Is there documentation in the file that the applicant received the lead-based paint pamphlet?			
27. Is there a copy of the lead hazard risk assessment or other lead hazard evaluation in the file?			
28. Is there documentation in the file that the homeowner received a copy of the lead hazard evaluation and reduction notice?			
29. Is there verification in the file that proper lead hazard reduction work was performed? (lead-safe work practices certified contractor(s))			
30. Is there verification in the file indicating that the housing unit passed the lead-based paint clearance testing?			
31. Is there documentation showing that the homeowner received a copy of the lead-based paint clearance results within 15 days of the test being completed?			
Comments Regarding Lead-Based Paint:			

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Voluntary Relocation/Displacement:	<u>YES</u>	<u>NO</u>	<u>N/A</u>
32. If appropriate did the file document that relocation assistance was provided to the homeowner? (owner-occupied rehabilitation does not trigger URA or relocation benefits, some grantees may specifically state in their program guidelines that relocation is voluntary and under no circumstance will relocation assistance be offered)			
33. Has the grantee adopted an optional relocation policy? (HINT: If yes was answered for question 33, answer question 34, otherwise skip to question 35.)			
34. Is the relocation policy being implemented consistently among all homeowners?			
Comments Regarding Voluntary Relocation/Displacement:			

Work Write-Up/Cost Estimate:	<u>YES</u>	<u>NO</u>	<u>N/A</u>
35. Is there a work write-up (or deficiency list) and a cost estimate in the file?			
36. Does the cost estimate establish that a minimum of \$1,000 of HOME/NAHTF funded rehabilitation work is required?			
37. Are all costs detailed on the cost estimate eligible under the HOME Program [24 CFR 92.206]/NAHTF?			
38. If there were costs which were not eligible to be funded under the HOME/NAHTF program, was another source of funding used for these costs?			
39. Does the work write-up include all work identified on the initial inspection report?			
40. Does the work write-up specify all the work that must be done to bring the building to the rehabilitation standards required?			
41. Was the work write-up written with enough detail to enable a contractor to provide a reliable bid?			
Comments Regarding Work Write-Up/Cost Estimate:			

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Bids:	<u>YES</u>	<u>NO</u>	<u>N/A</u>
42. Were copies of all bids received in the file?			
43. Does the work on the bid document reflect the work noted on the work write-up?			
44. Was more than one bid solicited?			
45. Did the grantee follow their adopted procurement procedures to solicit bids?			
46. Was the bid selected reasonable?			
Comments Regarding Bids:			

Contractor Eligibility:	<u>YES</u>	<u>NO</u>	<u>N/A</u>
47. Is there documentation in the file to show that the contractor(s) are not on the Excluded Parties List?			
Comments Regarding Contractor Eligibility:			

Contracts:	<u>YES</u>	<u>NO</u>	<u>N/A</u>
48. Is there a contract for rehabilitation work in the file?			
49. Does the contract contain the necessary and suggested provisions per the HOME/NAHTF Administration Manual?			
50. Is the contract signed by all necessary parties (contractor, grantee, and homeowner)?			
Comments Regarding Contracts:			

Pre-Construction Conference	<u>YES</u>	<u>NO</u>	<u>N/A</u>
51. Was a pre-construction conference conducted and documented in the file?			
Comments Regarding The Pre-Construction Conference:			

Notice to Proceed	<u>YES</u>	<u>NO</u>	<u>N/A</u>
52. Is there a notice to proceed in the file? (Following any Right of Recession period, a Notice to Proceed must be issued to the contractor that must specify the time period within which the work should begin and when the work should be completed.)			
Comments Regarding The Notice to Proceed:			

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<u>Change Orders</u>	<u>YES</u>	<u>NO</u>	<u>N/A</u>
53. Is there documentation in the file to show that any change orders that were needed were reviewed and approved?			
Comments Regarding Change Orders:			

<u>Inspections</u>	<u>YES</u>	<u>NO</u>	<u>N/A</u>
54. Is there a copy of an initial property inspection checklist/report which determines compliance with local codes and established rehabilitation standards?			
55. Is there documentation in the file to show that progress inspections of the rehabilitation work were performed?			
56. Is there documentation in the file that a final inspection was performed?			
Comments Regarding Inspections:			

<u>Warranties/Guarantees</u>	<u>YES</u>	<u>NO</u>	<u>N/A</u>
57. Is there documentation in the file to show that the contractor(s) had a warranty or guarantee for the work they performed?			
Comments Regarding Warranties/Guarantees:			

<u>Payment Records & Liens</u>	<u>YES</u>	<u>NO</u>	<u>N/A</u>
58. Were there payment records in the file?			
59. Were there lien releases from the contractors in the file?			
Comments Regarding Payment Records & Liens:			

<u>After-Rehabilitation Value</u>	<u>YES</u>	<u>NO</u>	<u>N/A</u>
60. Is there an after-rehabilitation value for the home in the file?			
61. Is the after-rehabilitation value calculated according to the HOME/NAHTF Administration Manual? (The value of the assisted property after rehabilitation must not exceed 95% of the median purchase price for the area, as published by HUD, 203(b) limit.)			
Comments Regarding After-Rehabilitation Value:			

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Compliance	<u>YES</u>	<u>NO</u>	<u>N/A</u>
62. Based upon file review, is documentation sufficient to determine compliance with HOME/NAHTF requirements?			
Comments Regarding Compliance:			

Other Comments:

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Internal Control	<u>YES</u>	<u>NO</u>	<u>N/A</u>
64. Describe the grantee's payment system:			
65. Does the grantee have an adequate system to review and approve all billings presented for payment under the grant?			
66. Does the grantee have a regular payment cycle to ensure bills are paid promptly?			
67. Has the grantee conveyed to the vendors and contractors the timing of the payment cycle?			
Comments Regarding Internal Control:			

Cash Management	<u>YES</u>	<u>NO</u>	<u>N/A</u>
68. Are draw downs deposited promptly into the proper account?			
69. Are bank statements reconciled promptly? Who performs the reconciliation? _____			
70. Is the person(s) responsible for handling HOME/NAHTF properly bonded according to state law?			
Comments Regarding Cash Management:			

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Accounting Records	<u>YES</u>	<u>NO</u>	<u>N/A</u>
71. What type of accounting records are maintained for the grant (i.e. ledgers, computerized systems, etc.)?			
72. Are obligations tracked and activity budget balances maintained?			
73. Can program costs and obligations be traced to source documentation (i.e. invoices, billings, contracts, canceled checks, timesheets, etc.)?			
74. Do the grantee's records identify matching and other funds applied to each activity and that the proper matching percentage has been maintained? (If grantee has received waiver approval, note the terms of the waiver.)			
75. Please describe the method of accounting for other costs such as copies or supplies if charged to the grant.			
76. Does the grantees system adequately track administration costs incurred (copies, supplies, etc.)?			
77. If the grantee charges indirect costs to the program, does the grantee have an indirect cost allocation plan which has been approved or acknowledge by the Department? Date of Plan: _____ Date of DED Approval: _____			
78. Do the grantee's records agree with reported amounts from the drawdown requests and audits?			
Comments Regarding Accounting Records:			

Audits	<u>YES</u>	<u>NO</u>	<u>N/A</u>
79. Did the grantee receive more than \$500,000 in federal funds in one year?			
80. Did the grantee use an in-house Auditor?			
81. Did the grantee procure for an outside Auditor?			
82. Are Notification of Single Audits (or other records) on file for each year which supports the grantee's determination whether an audit in accordance with OMB A-133 was required?			
83. Are HOME /NAHTF funds utilized for payment of the Audit expense?			
84. If HOME/NAHTF funds are utilized does the amount paid by HOME/NAHTF funds exceed the proportion of HOME funds in relation to other funds included in the audit?			
85. Are copies of audits on file with any correspondence regarding audit findings?			
Comments Regarding Audits:			
Program Income	<u>YES</u>	<u>NO</u>	<u>N/A</u>

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86. Has the grantee earned program income from any grant activities? (HINT: If yes was answered for question 84, answer questions 85-87, otherwise skip to question 89.)			
87. Has the grantee used program income to further the activity from which it was generated?			
88. Has the grantee expended or committed all available program income prior to drawing down additional HOME/NAHTF funds?			
89. Has the grantee earned program income which is to be committed to a revolving loan fund or a Reuse Plan?			
Comments Regarding Program Income:			

Other Comments Regarding the Financial Management Review:

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Program Summary & Analysis

Complaints	<u>YES</u>	<u>NO</u>	<u>N/A</u>
90. Were there any complaints by the homeowner?			
91. Were there any complaints by the contractor(s)?			
92. Were complaints (if any) handled in a reasonable and timely manner?			
Comments Regarding Complaints:			

Applicant Requirements	<u>YES</u>	<u>NO</u>	<u>N/A</u>
93. Did the grantee place additional eligibility requirements on applicants?			
94. Were these requirements non-discriminatory?			
95. Does staff meet with eligible homeowners to inform them of their responsibilities under the program?			
Comments Regarding Applicant Requirements:			

Adequate Procedures	<u>YES</u>	<u>NO</u>	<u>N/A</u>
96. Are there adequate procedures for identifying projects that do not meet the minimum investment thresholds?			
97. Are there adequate procedures for identifying projects that exceed the maximum investment of HOME/NAHTF funds?			
98. Are there adequate procedures for assessing whether properties are located in target areas?			
Comments Regarding Adequate Procedures:			

Property Standards	<u>YES</u>	<u>NO</u>	<u>N/A</u>
99. Do work write-ups, inspection documentation and other construction documentation in the file demonstrate that all applicable property standards are being adhered to?			
100. Are there procedures in place to ensure that completed work meets all applicable property and rehabilitation standards?			
101. Are procedures in place to carry out and ensure quality of work?			
Comments Regarding Property Standards:			

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Construction	<u>YES</u>	<u>NO</u>	<u>N/A</u>
102. Does the program involve a sufficient number of contractors given its volume?			
103. Do construction documents show that all work was completed, inspected, and approved prior to payment?			
104. Are procedures for construction management adequate (i.e. construction delays and canceled projects not excessive)?			
105. Are final payments made only after all work is completed?			
Comments Regarding Construction:			

Additional Requirements	<u>YES</u>	<u>NO</u>	<u>N/A</u>
106. Is the grantee meeting all other additional requirements as stated in their contract?			
Comments Regarding Additional Requirements:			

Other Comments Regarding Program Summary & Analysis:

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Other Federal Requirements

Fair Housing & Equal Opportunity (FHEO Policy)	<u>YES</u>	<u>NO</u>	<u>N/A</u>
107. Does the grantee have any local or state specific resolutions or ordinance?			
108. Does the grantee maintain a file of current Federal Regulations?			
109. Are FHEO language and logos included in handbooks, policies and procedures manuals, and other program literature?			
110. Does the grantee have an EEO-4 form? (only required for employers with 15 or more employees)			
Comments Regarding FHEO Policy:			

Fair Housing & Equal Opportunity (FHEO) Complaints	<u>YES</u>	<u>NO</u>	<u>N/A</u>
111. Has the grantee received any FHEO complaints? (HINT: If yes was answered for question 109, answer question 110, otherwise skip to question 111.)			
112. If the grantee has received any FHEO complaints, have they taken adequate remedial actions?			
113. Has the grantee received any determinations of past discrimination? (HINT: If yes was answered for question 111, answer question 112, otherwise skip to question 113.)			
114. If the grantee has received determinations of past discrimination, have actions been taken?			
Comments Regarding FHEO Complaints:			

Employment Practices	<u>YES</u>	<u>NO</u>	<u>N/A</u>
115. Does the grantee follow adequate equal opportunity employment practices?			
116. Do advertisements contain equal opportunity language?			
117. Is documentation maintained regarding demographic information of applicants and individuals hired?			
118. Is documentation maintained regarding promotions, transfers, demotions, dismissals, etc?			
119. Does documentation reflect adequate equal opportunity employment practices?			
Comments Regarding Employment Practices:			

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Contractors	<u>YES</u>	<u>NO</u>	<u>N/A</u>
120. Does the grantee enforce adequate contractor employment practices?			
121. Has the grantee maintained correspondence with contractors concerning contractor equal opportunity compliance?			
122. Has the grantee promoted and monitored equal opportunity practices of contractors?			
123. Does documentation reflect successful equal opportunity efforts?			
Comments Regarding Contractors:			

Affirmative Marketing Outreach	<u>YES</u>	<u>NO</u>	<u>N/A</u>
124. Has the grantee conducted public outreach and maintained evidence of such in the file?			
125. Has the grantee informed the public and likely homeowners of affirmative marketing policies and fair housing laws?			
126. Are policies communicated through media and other outlets?			
127. Does the fair housing logo appear on marketing materials?			
Comments Regarding Affirmative Marketing Outreach:			

Affirmative Marketing Beneficiary Data	<u>YES</u>	<u>NO</u>	<u>N/A</u>
128. Does the grantee maintain adequate beneficiary data regarding the number, ethnicity and income level of persons responding to program marketing efforts?			
129. Does the grantee maintain adequate beneficiary data regarding the number, ethnicity and income level of persons residing in or planning to reside in HOME/NAHTF units who became aware of units through affirmative marketing?			
130. Are enough eligible households applying to the program to spend the allocated HOME/NAHTF funds?			
131. Are the applicants typically eligible and able to participate in the program?			
132. Is the ratio of minority groups that apply for the program representative of the eligible population?			
Comments Regarding Affirmative Marketing Beneficiary Data:			

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Affirmative Marketing Complaints	<u>YES</u>	<u>NO</u>	<u>N/A</u>
133. Have any affirmative marketing complaints been filed against the grantee? (HINT: If yes was answered for question 131, answer questions 132, otherwise skip to question 133.)			
134. If affirmative marketing complaints have been filed against the grantee, have appropriate remedial steps been taken?			
Comments Regarding Affirmative Marketing Complaints:			

Handicapped Accessibility (Section 504) *Only Complete For Local Units of Government*	<u>YES</u>	<u>NO</u>	<u>N/A</u>
135. Has the grantee created a written Section 504 Self-Evaluation? (HINT: If yes was answered for question 133, answer questions 134-138, otherwise skip to question 139.)			
136. Did the grantee consider input from interested individuals and groups?			
137. Have self-evaluations and supportive documentation been maintained for at least 5 years?			
138. If the grantee has more than 15 employees, has a Section 504 Coordinator been designated?			
139. If the grantee has more than 15 employees, has the grantee adequately notified relevant groups and individuals regarding its section 504 non-discriminatory policy?			
140. If the grantee has more than 15 employees, has the grantee provided a copy of its written grievance procedures?			
Comments Regarding Handicapped Accessibility (Section 504):			

Equal Opportunity/Section 3	<u>YES</u>	<u>NO</u>	<u>N/A</u>
141. Is local opportunity provision included in bid packets?			
142. Have contract recipients submitted local opportunity plans?			
143. Has the grantee documented compliance with Section 3 efforts?			
144. Has the grantee documented its success at hiring low-income persons and awarding contracts to Section 3 businesses?			
145. Has the grantee documented mechanisms by which it monitors both contractor and subcontractor Section 3 compliance?			
Comments Regarding Equal Opportunity/Section 3:			

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Minority & Women Business Enterprise	<u>YES</u>	<u>NO</u>	<u>N/A</u>
146. Has the grantee completed and filed Minority & Women's Business Enterprise Reports?			
147. Has the grantee obtained lists of MBEs and WBEs?			
148. Has the grantee networked with local Minority Business Organizations?			
149. Has the grantee solicited bids and services for MBEs and WBEs whenever possible?			
150. Has the grantee divided project activities into smaller tasks or services to allow participation by MBEs and WBEs?			
Comments Regarding Minority & Women Business Enterprise:			

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Environmental Review	<u>YES</u>	<u>NO</u>	<u>N/A</u>
151. Has the grantee established Environmental Review Records for each project group?			
152. Do Environmental Review Records contain a project activity description and written signed determination of type of category (exempt, categorically excluded from NEPA and non-NEPA, categorically excluded from NEPA or subject to full environmental review)?			
153. Is the Environmental Review Record complete?			
154. Has the grantee included a completed Statutory Checklist in the Environmental Review Record at the project level and site specific level?			
155. Has the grantee published NOI/ROF (or a RROF/FONSI) in local newspapers and placed a cop in the file?			
156. Were public comments received? (HINT: If yes was answered for question 151, answer question 151, otherwise skip to question 153.)			
157. If public comments were received, were they adequately addressed?			
158. Were copies of comments and actions taken as a result of comments maintained in the file?			
159. Did the grantee submit a the RROF and Certification and maintain a copy in the file?			
160. Did the grantee identify the location of the property in relation to their location to flood plains, runway zones, coastal resource systems, etc. and carry out appropriate insurance and notification requirements?			
161. Has an Environmental Assessment been conducted and placed in the file?			
162. Has the grantee included a completed Environmental Assessment Checklist in the Environmental Review file?			
163. Has the grantee provided documentation to support each item in the checklist?			
164. Has the grantee provided analysis of/recommendations for potential significant issues on the checklist?			
165. Has the grantee issued a FONSI?			
166. If the grantee issued a FONSI, did the grantee give the public an opportunity to review and comment on the ERR?			
167. Has the grantee issued a FONSI?			
168. Has the EIS statement been produced and included in the review file?			
169. In the individual property files is there a clearance letter from the State Historical Preservation Office (SHPO)?			
170. Is there floodplain clearance in the file?			
Comments Regarding Environmental Review:			

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Other Comments Regarding Other Federal Requirements:

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