**HOME/HTF Rental Housing Grant Administration Manual - Tools and Resources**

**Rental Project Completion Monitoring Checklist**

This form is a guide to ensure all project items are included in the project files prior to completion and closeout.

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| --- | --- |
| **NAME OF GRANTEE:** |  |
| **GRANT CONTRACT NO:** |  |
| **PROGRAM SPECIALIST:** |  |
| **DATE:** |  |

|  |
| --- |
| *A. PROJECT INFORMATION* |
| 1. Project owner:
 |
| 1. Period of Affordability: Ending
 |
| 1. Total number of rental units:

Total number of HOME and/or HTF-assisted rental units: Total number leased to date: Total number of HOME and/or HTF-assisted units leased to date:  |
| 1. Number of HOME-assisted units rented to households with incomes below:

50% of area median income 60% of area median income 80% of area median income Note: 90% of households in HOME-assisted units must have incomes below 60% AMI at initial occupancy; 20% of households in HOME-assisted units must have incomes below 50% AMI; and/or100% of households in HTF-assisted units must have incomes below 30% AMI. |
| 1. Are HOME and/or HTF-assisted units fixed or floating?
 |
| 1. Is there project-based rental assistance attached to any HOME and/or HTF units? If yes, what type of assistance and which units?
 |
| 1. Were unit costs determined by prorating costs or actual unit cost?
 |
| 1. Amount of HOME and/or HTF allocation:
 |
| 1. Funding sources and amounts:
 |

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| --- |
| *B. PROJECT DOCUMENTATION* |
| ***Check the project file to verify that the documents below have been submitted. For documents that have not been executed at the time of review, make a note that they must be submitted on close out.*** |
| ARE ITEMS IN PROJECT CASE FILE? | Y/N | NOTES |
| 1. Program Application
 |  |  |
| 1. Project Underwriting Worksheet
 |  |  |
| 1. Relocation Notice (if applicable)
 |  |  |
| 1. Affirmative Marketing Plan
 |  |  |
| 1. Initial Inspection Form (if applicable)
 |  |  |
| 1. Grant HOME and or HTF Contract(s)
 |  |  |
| 1. Sub-recipient agreement or loan documents (if applicable)
 |  |  |
| 1. Appraisal/Market Analysis
 |  |  |
| 1. Environmental Clearance
 |  |  |
| 1. Subsidy Layering Review Certification (if applicable)
 |  |  |
| 1. Deed Restrictions
 |  |  |
| 1. IDIS Set-up
 |  |  |
| 1. Work Write-Up/Cost Estimate
 |  |  |
| 1. Contractor Bid Documents
 |  |  |
| 1. Contractor Debarment Check
 |  |  |
| 1. Contractor’s Certification of Insurance
 |  |  |
| 1. Evidence of Contractor Licensure
 |  |  |
| 1. Pre-construction Conference Report
 |  |  |
| 1. Lead-based Paint Compliance Documentation (if applicable)
 |  |  |
| 1. New Construction or Rehabilitation Contract
 |  |  |
| 1. Notice to Proceed
 |  |  |
| 1. Approved Change Orders (if applicable)
 |  |  |
| 1. Contractor Payment Request/Authorizations
 |  |  |
| 1. Payment Certifications
 |  |  |
| 1. Documentation of Final Inspection and/or Certificate of Occupancy
 |  |  |
| 1. Waiver of Liens from All Contractors and Suppliers
 |  |  |
| 1. Receipt of Final Payment Form
 |  |  |
| 1. IDIS Project Completion
 |  |  |
| 1. Cost Certification
 |  |  |
| 1. Based on the above checklist, is the project case file complete?

If not, remaining items will be required before project closeout. |  |  |
| *C. PROPERTY REQUIREMENTS* |
| 1. Is the property an eligible property type?
 |  |  |
| 1. Does the project’s HOME and/or HTF subsidy exceed $1,000 per unit?
 |  |  |
| 1. Is the project’s HOME and/or HTF subsidy under the maximum?
 |  |  |
| 1. If the floating designation was used, are the rental units comparable?
 |  |  |
| 1. If units are not comparable was a unit-by-unit cost allocation system used?
 |  |  |
| 1. If a cost allocation system was used, does sufficient documentation exist to support the cost allocation?
 |  |  |
| *D. CONTRACTOR SELECTION* |
| 1. Was the bid selected consistent with the work write-up/cost estimate?
 |  |  |
| 1. Was the cost of the bid selected reasonable – e.g., within 10 percent of the original cost estimate?
 |  |  |
| 1. Was the contractor selected cleared from any debarment lists?
 |  |  |
| 1. Did the contractor selected have appropriate insurance and licensing?
 |  |  |
| *E. CONSTRUCTION MANAGEMENT* |
| 1. Do work write-ups, change orders, and inspection documentation indicate that the following property standards were met?
2. State Rehabilitation Standards (if applicable)
3. Local Codes and Standards
4. UPCS
 |  |  |
| 1. Does the project documentation – work write-ups, change orders, etc. – demonstrate that all costs were eligible under the HOME and/or HTF Program?
 |  |  |
| 1. Does the project file demonstrate that inspections were performed prior to contractor payments?
 |  |  |
| 1. Do inspection and payment documentation show all work was satisfactorily performed prior to payment?
 |  |  |
| 1. Did the contractor payment requests include adequate documentation of costs and work performed?
 |  |  |
| 1. Were any changes to the scope of work in the construction contract documented with written change order signed by the contractor and developer?
 |  |  |
| 1. Was a Release of Liens granted before final contractor payment?
 |  |  |
| 1. Was retainage withheld from each payment and paid after all work was completed?
 |  |  |
| 1. Was a final code inspection performed?
 |  |  |
| *F. ON-SITE INSPECTION* |
| 1. Does the project appear to meet applicable property standards?
 |  |  |
| 1. Was all work detailed in the contract completed satisfactorily?
 |  |  |
| 1. Was all work documented in the payment request completed?
 |  |  |
| 1. Are units designated as comparable similar in size, number of bedrooms, and amenities?
 |  |  |
| 1. If HOME and/or HTF units are fixed, do those units meet UPCS requirements?
 |  |  |
| 1. If HOME and/or HTF units are floating, do all units meet UPCS requirements?
 |  |  |
| 1. Do the tenant files document an inspection was completed before occupancy?
 |  |  |
| 1. Does the grantee have adequate systems in place to ensure minimum property standards are met on an ongoing basis within the appropriate time frames?
 |  |  |

| QUESTIONS | Y/N | **NOTES** |
| --- | --- | --- |
| **G. PROPERTY DOCUMENTATION** |
| 1. Affirmative Fair Housing Marketing Plan
 |  |  |
| 1. Tenant Selection Plan – wait list management
 |  |  |
| 1. Grievance Policy
 |  |  |
| 1. Lease (including VAWA compliance)

Is the lease free of prohibited lease terms? |  |  |
| **H. RENT REQUIREMENTS** |
| 1. Did the project use proper utility allowances to calculate maximum rent levels?
 |  |  |
| 1. Are the rent levels listed consistent with the project’s application?
 |  |  |
| 1. In properties with at least 5 or more **HOME**-assisted units, are at least 20 percent of the units rented at or below the Low HOME Rent level?
 |  |  |
| 1. For **HOME-**assisted units, if any in-place tenants have incomes above 80 percent of the area median income, are they charged 30 percent of their adjusted monthly income for rent and utilities?
 |  |  |
| 1. Do the rents listed for **HOME**-assisted units in the Income Certification demonstrate that High and Low HOME Rent limits have been observed?
 |  |  |
| 1. Do the rents listed for **HTF-**assisted units in the Income Certification demonstrate that HTF Rent limits have been observed?
 |  |  |
| 1. If tenants receive tenant-based Section 8 assistance,
2. Is the tenant payment 30% of adjusted income?
3. Is the total rent charged for the unit below the HOME or HTF maximum rent?
 |  |  |
| 1. If the HOME or HTF unit has project-based Section 8 or USDA-RD rental assistance,
2. Is the tenant payment 30% of adjusted income?
3. Is the total rent charged for the unit equal to the Section 8 or USDA-RD contract rent?

Note: In a **HOME**-assisted unit with project-based rental assistance, the tenant’s income must be at or below 50% of AMI. In any **HTF**-assisted unit, tenant income must be below 30% of AMI. |  |  |
| ***Note: if the project has additional forms of assistance, review additional rent requirements as appropriate.*** |
| ***I. OCCUPANCY REQUIREMENTS*** |
| 1. If units are floating, do HOME/HTF-assisted and unassisted units represent proportionate number of units by bedroom size? (e.g., if 50 percent of the units are HOME-assisted, 50 percent of units of each bedroom size should be designated as HOME units.)
 |  |  |
| 1. If the units are floating, are HOME/HTF-assisted and unassisted units comparable in terms of amenities and size?
 |  |  |
| 1. As tenants vacate **HOME**-assisted units, are tenants in Low HOME-Rent units replaced by other tenants with incomes at or below 50 percent AMI?
 |  |  |
| 1. In projects where the HOME/HTF-assisted units float:
2. When a tenant vacates a HOME or HTF unit, is the next available unit made available to a HOME or HTF-eligible tenant?
3. When a tenant’s income in a **HOME** unit rises above 80% of AMI, is the next available comparable unit rented to a **HOME**-eligible tenant?
4. When a tenant’s income in an **HTF** unit rises above 30% of AMI, is the next available comparable unit rented to an **HTF**-eligible tenant?
 |  |  |
| **J. TENANT ELIGIBILITY AND LEASES** **Review HOME and HTF-assisted tenant files to answer questions in this section.** |
| 1. Is each unit file complete with:
2. Tenant income certifications?
3. Tenant income supporting documentation?
4. Lease and lease addendum?
5. VAWA language in lease or addendum?
6. Lead-based paint compliance documentation?
 |  |  |
| 1. Do the unit files that the project owner maintains adequately document income determinations?
 |  |  |
| 1. Do the unit files demonstrate that the tenants are income eligible?
 |  |  |
| 1. Are tenant leases properly executed and free of all prohibited provisions?
 |  |  |
| 1. Are the tenant leases for a minimum of one year (unless otherwise agreed upon by tenant and owners)?
 |  |  |
| 1. Do the tenant leases support that the rents reported in project files and project documentation submitted to Commerce are accurate?
 |  |  |
| 1. Is the grantee using the most current HOME and/or HTF income limits issued by HUD?
 |  |  |
| 1. Is the grantee applying rules appropriately and making accurate income determinations?
 |  |  |
| ***K. UNIFORM RELOCATION ACT COMPLIANCE*** |
| 1. For projects involving acquisition, is the voluntary nature of the transaction between the buyer and seller documented?
 |  |  |
| 1. For projects involving temporary relocation of tenants, does the project file contain the following:
2. General Information Notice to tenants prior to an application being submitted to Commerce?
3. Tenant roll at beginning of project?
4. Tenant roll after project?
5. Notices informing tenants when they would be temporarily relocated?
 |  |  |
| 1. Were any businesses displaced due to the project?

 If yes, document assistance provided |  |  |
| 1. Were any tenants displaced due to the project?

 If yes, document assistance provided |  |  |
| ***L. FAIR HOUSING/EQUAL OPPORTUNITY POLICY AND AFFIRMATIVE MARKETING*** |
| 1. Does the Grantee have any local or state-specific resolutions or ordinances?
2. If yes, does the Grantee maintain a file of current regulations?
 |  |  |
| 1. Are FHEO language and logos included in advertisements for project activities and applications?
 |  |  |
| 1. Is the Fair Housing Poster displayed in the project/rental office or other publicly accessible area?
 |  |  |
| 1. Has the Grantee received any FHEO complaints?

If yes, has the Grantee taken adequate remedial actions? |  |  |
| 1. Has the Grantee received determination of past discrimination?
 |  |  |
| 1. Have any affirmative marketing complaints been filed against the grantee?

If yes, have appropriate remedial steps been taken? |  |  |
| 1. If the project involves 5 or more HOME and/or HTF-assisted units, does the grantee have an approved Affirmative Fair Housing Marketing Plan on file?
2. Did the grantee submit notice of intent to begin marketing at least 90 days prior to the initiating marketing activities, either orally or in writing?
3. Did the grantee document outreach to community contacts listed in the AFHM Plan;
4. Does the grantee collect and maintain race and ethnicity information for all persons responding to program marketing efforts?
5. Has the grantee informed all persons responding to marketing efforts of the affirmative marketing policies and fair housing laws, including existing tenants?
6. Do all marketing materials display the Equal Housing Opportunity logo?
 |  |  |
| ***M. SECTION 504*** |
| 1. Has the grantee met all accessibility requirements (5 percent of new or substantially rehabilitated rental units accessible for those with mobility impairments and additional 2 percent for hearing/vision impairment)?
 |  |  |
| 1. Has the grantee provided a copy of its written grievance procedures?
 |  |  |
| ***N. SECTION 3*** |
| 1. Has the grantee documented compliance with Section 3 efforts?
 |  |  |
| 1. Has the grantee documented its success at hiring low-income persons and awarding contracts to Section 3 businesses?
 |  |  |
| 1. Does the grantee have mechanisms by which it monitors both contractor and subcontractor for Section 3 compliance?
 |  |  |
| ***O. OUTREACH TO MINORITY/WOMEN’S BUSINESS ENTERPRISE*** |
| 1. Has the grantee completed and submitted Contract Reporting Forms?
 |  |  |
| 1. Has the grantee taken the following actions:
2. Obtaining list of MBEs and WBEs?
3. Networking with local Minority Business Organizations?
4. Soliciting bids and services from MBEs and WBEs whenever possible?
5. Dividing project activities into smaller tasks or services to allow participation by MBEs and WBEs (when practical)?
 |  |  |
| ***P. ENVIRONMENTAL REVIEW - HOME*** |
| 1. Has the Grantee established an Environmental Review Record?
 |  |  |
| 1. Is the Environmental Review Record Complete, containing:
2. a project/activity description?
3. a written, signed environmental determination (EA, CEST, CENST or Exempt)?
4. affidavit of publication for FONSI/NOI/RROF or NOI/RROF, as applicable?
5. designation of environmental certifying official?
6. comments received and responses made?
7. RROF Form 7015.15 signed by responsible entity?
8. AUGF Form 7015.16 signed by HUD or Commerce?
 |  |  |
| 1. If mitigation measures were required, is compliance documented?
 |  |  |
| ***Q. ENVIRONMENTAL PROVISIONS – HTF*** |
| 1. Has the Grantee documented compliance with HTF environmental provisions?
 |   |  |
| 1. Has the Grantee certified that all environmental provisions have been met throughout project?
 |  |  |
| 1. Has the Grantee’s architect certified that all environmental provisions have been met at completion of the project?
 |  |  |
| ***R. LEAD-BASED PAINT*** |
| 1. Is the Grantee familiar with and following all applicable state and local laws concerning lead-based paint?
 |  |  |
| 1. Does Grantee document year of construction for all HOME and/or HTF-assisted units?
 |  |  |
| 1. Are the following notices provided at appropriate times to all residents of HOME and/or HTF-assisted units?
2. HUD/EPA Lead-based Paint Pamphlet
3. Lead-based Paint Disclosure Form
4. Notice of Lead Hazard Evaluation or Presumption
5. Notice of Lead Hazard Reduction
 |  |  |
| 1. Are results of lead hazard evaluations and clearance examinations documented in project files?
 |  |  |
| 1. Do contracts and subcontracts for lead hazard reduction include provisions for:
2. Qualified workers?
3. Use of safe work practices?
4. Passing clearance?
 |  |  |
| 1. Do contracts with property owners include provisions for ongoing monitoring where appropriate?
 |  |  |