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| **Guide for Review of HOPWA Facility-based Projects** |
| **Name of Grantee:**      |
| **Staff Consulted:**      |
| **Program Year Under Review:**       |
| **Name(s) of Reviewer(s):** |       | **Date:** |       |

**NOTE:** All questions that address requirements contain the citation for the source of the requirement (statute, regulation, NOFA, or grant agreement). If the requirement is not met, HUD must make a finding of noncompliance. All other questions (questions that do not contain the citation for the requirement) do not address requirements, but are included to assist the reviewer in understanding the participant's program more fully and/or to identify issues that, if not properly addressed, could result in deficient performance. Negative conclusions to these questions may result in a "concern" being raised, but not a **"finding.**"

**Instructions:** This Exhibit is designed to evaluate facility-based projects and activities including new construction, rehabilitation, conversion, acquisition, and facility operation. This Exhibit is applicable to all HOPWA grants implementing facility-based projects or activities regardless of the year awarded. The questions in this Exhibit should be used in conjunction with Exhibit 10-1, Sections A-D, which monitors core HOPWA program requirements for all grants. Guidance on file selection and sampling to answer the Exhibit questions can be found in Section 10-5 of Chapter 10 introduction. Reviewers should use a combination of file samples, support documentation, staff interviews, and on-site visits to complete this Exhibit. This Exhibit is divided into three sections: Development; Facility Operations; and On-Site Review of a Facility.

**Questions:**

A. DEVELOPMENT

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| For new construction, are the activities eligible, involving either single room occupancy dwellings (SROs) or multi-unit community residences? [24 CFR 574.300(b)(4); 24 CFR 574.340] |

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| [ ]  | [ ]  | [ ]  |
| **Yes** | **No** | **N/A** |

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| **Describe Basis for Conclusion:** |
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| Does the grantee adequately track and observe the “Minimum Use Periods” for development activities related to new construction, acquisition, rehabilitation, and repair of facilities to provide housing and services? [24 CFR 574.310(c)] |

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| [ ]  | [ ]  | [ ]  |
| **Yes** | **No** | **N/A** |

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| **Describe Basis for Conclusion:**      |

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| In reviewing compliance with the use periods for facilities, does an examination of related Grantee records, such as restrictive covenants, verify that the structures are to provide housing or assistance for the stipulated number of years (10 years for projects involving new construction, substantial rehabilitation, acquisition; and 3 years for projects involving non-substantial rehabilitation)?[24 CFR 574.310(c)] |

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| [ ]  | [ ]  | [ ]  |
| **Yes** | **No** | **N/A** |

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| **Describe Basis for Conclusion:**      |

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| If the project included rehabilitation, repair, or conversion, did the work performed satisfactorily follow development standards, including environmental clearances and lead-based paint requirements? [24 CFR 574.510 and 24 CFR 574.635] |

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| **Yes** | **No** | **N/A** |

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| **Describe Basis for Conclusion:**      |

B. FACILITY OPERATIONS

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| If facilities are being leased with HOPWA funds, are resident rent payments collected, or used in determining the lease payment from HOPWA funds? **NOTE:** For projects using leasing funds for housing facilities, request records showing the amount of monthly/yearly rent, documentation showing comparable rents in the area, and applicable resident rent payments for the households assisted. [24 CFR 574.310(d) and 24 CFR 574.320] |

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| [ ]  | [ ]  | [ ]  |
| **Yes** | **No** | **N/A** |

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| Except for short-term facilities, are resident rent payments charged by projects accurately calculated with adequate documentation and updated annually in client files through income re-certifications? [24 CFR 574.310(d) and 24 CFR 574.320] |

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| [ ]  | [ ]  | [ ]  |
| **Yes** | **No** | **N/A** |

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| **Describe Basis for Conclusion:** |
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| Based on a sample review of client files, do records document that the resident rent payments (charged to the household) and the HOPWA subsidy payments were calculated as required and updated on an annual basis? **NOTE:** Rental payments must be determined using a rent standard based on fair market rents or the HUD-approved community-wide exception rent, and rent reasonableness.[24 CFR 574.310 (d) and 24 CFR 574.320] |

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| [ ]  | [ ]  | [ ]  |
| **Yes** | **No** | **N/A** |

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| **Describe Basis for Conclusion:**      |

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| Except for short-term facilities, are projects requiring participants to pay a correctly calculated resident rent payment and are not charging any additional fees? [24 CFR 574.310(d); 24 CFR 574.320; and 24 CFR 574.430] |

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| [ ]  | [ ]  | [ ]  |
| **Yes** | **No** | **N/A** |

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| Do the HOPWA-assisted projects have adequate residential supervision to ensure that housing and service standards are met and the organizations involved demonstrate the capacity to administer the activities? [24 CFR 574.310, 24 CFR 574.340 and 24 CFR 574.410] |

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| [ ]  | [ ]  | [ ]  |
| **Yes** | **No** | **N/A** |

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| **Describe Basis for Conclusion:**      |

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| If the grantee funds operating costs in community residences, has the grantee or project sponsor(s) obtained and maintained certifications for the agreement of services at the community residence, the adequacy of funding, and the capability of the service providers? [24 CFR 574.340(b)] |

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| [ ]  | [ ]  | [ ]  |
| **Yes** | **No** | **N/A** |

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| **Describe Basis for Conclusion:**      |

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| Do grantee and/or project sponsor files verify that housing habitability standards inspections are being made in connection with providing rental assistance? **NOTE:** Habitability standards should be further monitored with the on-site review questions in Section C, if possible.[24 CFR 574.310(b)] |

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| [ ]  | [ ]  | [ ]  |
| **Yes** | **No** | **N/A** |

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| **Describe Basis for Conclusion:**      |

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| Does the grantee ensure confidentiality and physical security of client records and the address/location for facilities leased or operated with HOPWA funds? [24 CFR 574.440] |

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| **Yes** | **No** | **N/A** |

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| **Describe Basis for Conclusion:**      |

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| Does the grantee have procedures for ensuring that property and assets acquired with HOPWA funds for use at HOPWA-assisted facilities are used for authorized purposes? [24 CFR 574.500] |

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| [ ]  | [ ]  | [ ]  |
| **Yes** | **No** | **N/A** |

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| **Describe Basis for Conclusion:**      |

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| For short-term facilities such as overnight shelters, does the grantee and/or project sponsor comply with:a. time limitations of not providing residence to any individual for more than 60 days in any 6-month period, and b. residency limitations of not providing shelter for more than 50 families or individuals at any single time?[24 CFR 574.330] |

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| [ ]  | [ ]  | [ ]  |
| **Yes** | **No** | **N/A** |

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| **Describe Basis for Conclusion:** |
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| For short-term facilities, such as overnight shelters, does the grantee and/or project sponsor, to the maximum extent practicable, provide the assisted individual an opportunity for placement in permanent housing or in a living environment appropriate to his or her needs? [24 CFR 574.330] |

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| [ ]  | [ ]  | [ ]  |
| **Yes** | **No** | **N/A** |

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| **Describe Basis for Conclusion:** |
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| For short-term facilities, does the grantee and/or project sponsor provide the opportunity for case management services from the appropriate social service agencies to assisted individuals, if eligible? [24 CFR 574.330] |

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| [ ]  | [ ]  | [ ]  |
| **Yes** | **No** | **N/A** |

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| **Describe Basis for Conclusion:**      |
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C. ON-SITE REVIEW OF FACILITY

1.

|  |  |  |  |  |  |  |  |
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| Does the facility provide safe and sanitary housing that is in compliance with all applicable State and local housing codes, licensing requirements, and any other requirements in the jurisdiction in which the housing is located regarding the condition of the structure and the operation of the housing? [24 CFR 574.310(b)(1)] |

|  |  |  |
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| [ ]  | [ ]  | [ ]  |
| **Yes** | **No** | **N/A** |

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| **Describe Basis for Conclusion:**       |

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| Does the grantee and/or project sponsor have verification of compliance with the Lead-Based Paint Poisoning Prevention Act for rental assistance where housing was constructed prior to 1978 and where children under age 6 are living and/or expected to reside?[24 CFR 574.635 and 24 CFR part 35] |

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| [ ]  | [ ]  | [ ]  |
| **Yes** | **No** | **N/A** |

 |
| **Describe Basis for Conclusion:**      |

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| This question reviews the habitability standards required for all housing assisted under 24 CFR 574.300(b)(3),(4),(5), and (8). These requirements apply to Facility-based programs when the organization owns or leases the units, Master Leasing programs when the organization is the tenant subletting to households, and TBRA programs where the organization is responsible for approving the unit the tenant rents. Grantees and project sponsors are required to ensure all housing quality standards at 24 CFR 574.310(b) are met for covered housing assistance.  |
| Based on your on-site review, and staff interviews: |
| a. Is the facility structurally sound so as not to pose any threat to the health and safety of the occupants and so as to protect the residents from hazards?[24 CFR 574.310(b)(2)(i)] |

|  |  |  |
| --- | --- | --- |
| [ ]  | [ ]  | [ ]  |
| **Yes** | **No** | **N/A** |

 |
| b. Is the housing accessible and capable of being utilized without unauthorized use of other private properties?[24 CFR 574.310(b)(2)(ii)] |

|  |  |  |
| --- | --- | --- |
| [ ]  | [ ]  | [ ]  |
| **Yes** | **No** | **N/A** |

 |
| c. Does the structure provide alternate means of egress in case of fire?[24 CFR 574.310(b)(2)(ii)] |

|  |  |  |
| --- | --- | --- |
| [ ]  | [ ]  | [ ]  |
| **Yes** | **No** | **N/A** |

 |
| d. Are residents afforded adequate space and security for themselves and their belongings?[24 CFR 574.310(b)(2)(iii)] |

|  |  |  |
| --- | --- | --- |
| [ ]  | [ ]  | [ ]  |
| **Yes** | **No** | **N/A** |

 |
| e. Are residents provided an acceptable place to sleep?[24 CFR 574.310(b)(2)(iii)] |

|  |  |  |
| --- | --- | --- |
| [ ]  | [ ]  | [ ]  |
| **Yes** | **No** | **N/A** |

 |
| f. Are rooms and space provided with natural or mechanical ventilation, and free of pollutants in the air at levels that threaten the health of residents?[24 CFR 574.310(b)(2)(iv)] |

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| [ ]  | [ ]  | [ ]  |
| **Yes** | **No** | **N/A** |

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| g. Is the water supply free from contamination at levels that threaten the health of individuals?[24 CFR 574.310(b)(2)(v)] |

|  |  |  |
| --- | --- | --- |
| [ ]  | [ ]  | [ ]  |
| **Yes** | **No** | **N/A** |

 |
| h. Does the housing have adequate heating and/or cooling facilities in proper operating condition?[24 CFR 574.310(b)(2)(vi)] |

|  |  |  |
| --- | --- | --- |
| [ ]  | [ ]  | [ ]  |
| **Yes** | **No** | **N/A** |

 |
| i. Does the housing have adequate natural or artificial illumination to permit normal indoor activities and to support the health and safety of residents?[24 CFR 574.310(b)(2)(vii)] |

|  |  |  |
| --- | --- | --- |
| [ ]  | [ ]  | [ ]  |
| **Yes** | **No** | **N/A** |

 |
| j. Are sufficient electrical sources provided to permit use of essential electrical appliances while assuring safety from fire?[24 CFR 574.310(b)(2)(vii)] |

|  |  |  |
| --- | --- | --- |
| [ ]  | [ ]  | [ ]  |
| **Yes** | **No** | **N/A** |

 |
| k. Do food preparation areas contain suitable space and equipment to store, prepare, and serve food in a sanitary manner?[24 CFR 574.310(b)(2)(viii)] |

|  |  |  |
| --- | --- | --- |
| [ ]  | [ ]  | [ ]  |
| **Yes** | **No** | **N/A** |

 |
| l. Is the housing and any equipment maintained in sanitary condition?[24 CFR 574.310(b)(2)(ix)] |

|  |  |  |
| --- | --- | --- |
| [ ]  | [ ]  | [ ]  |
| **Yes** | **No** | **N/A** |

 |
| **Describe Basis for Conclusion:**      |