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| **Guide for Review of State Recipient Written Agreements and Oversight** | |
| **Name of Participating Jurisdiction (PJ):**Click or tap here to enter text. | |
| **Staff Consulted:**Click or tap here to enter text. | |
| **Name of HUD Reviewer(s):**Click or tap here to enter text. | **Date of Review:**Click or tap here to enter text. |

**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.

|  |  |
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| **File Selection Summary**  **(Required)** | |
| **Program Year(s) Reviewed:** | Click or tap here to enter text. |
| **Number of Files Reviewed:** | Click or tap here to enter text. |
| **How were files selected?** | Random  Non-Random  Statistical  Combination (describe):  Click or tap here to enter text. |
| **Were additional files selected for review?** | Yes  No |
| **If additional files were selected for review, why were files added to the monitoring**?  (select all that apply) | Expand the sample to include a file(s) from each staff person working in the respective program area being monitored;  Expand the sample to include additional files with the same characteristics, (i.e., same problem category, staff person, activities or other characteristics)  Expand the sample to determine whether problems are isolated events or represent a systemic problem.  Expand the sample to include files the reviewer has reason to believe may have compliance problems or that are substantially different in terms of size, complexity, or other factors from other projects the PJ has undertaken.  Other, please specify: Click or tap here to enter text. |

**Instructions:**

* This Exhibit is used to monitor the State PJ’s written agreement with State recipients for compliance with HOME regulatory requirements**.** This Exhibit is also designed to evaluate a PJ’s compliance with HOME requirements for State recipient oversight. As specified in [24 CFR 92.504(a)](https://www.govinfo.gov/app/details/CFR-2018-title24-vol1/CFR-2018-title24-vol1-sec92-504), PJs are responsible for monitoring the day-to-day operations of State recipient activities to assure compliance with applicable Federal requirements and that performance goals are being achieved. PJ monitoring must cover each program, function, or activity. The HUD review should begin at the PJ level and, if time and resources permit, a selected sample of State recipients should be monitored on-site, using the sampling guidance in Section 7-4 of the Chapter introduction.
* Reviewers can use this Exhibit to review up to five State recipient written agreements. If additional files are included in the monitoring, the reviewer should complete another copy of the Exhibit. Section 7-4 in the introduction to this Chapter provides guidance on the number of files to review. Reviewers ***must*** complete the File Selection Summary at the beginning of this Exhibit.
* Reviewers must adequately describe the basis for any findings in the “Describe Basis for Conclusion” section of each question, being careful to note which State Recipient file is noncompliant and why.
* This Exhibit requires the completion of Exhibit 34-1 to answer Question 39.
* This Exhibit is divided into the following six program areas.
  + A. State Recipient Written Agreements
  + B. State Recipient Oversight and Internal Controls
  + C. Reporting
  + D. On-Site Monitoring by the PJ
  + E. Program Income Monitoring
  + F. On-Site Review of State Recipients by HUD (optional)

**For Written Agreement File Reviews**: Include the following information for each file reviewed. When completing the exhibit questions that follow, include only the Integrated Disbursement and Information System (IDIS) number as a reference to the project file reviewed.

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| **File#** | **State Recipient Name** | **HOME Funds Awarded** | **Total HOME Funds Drawn** | **Brief Description of Tasks Included in Agreement** |
| **1.** | Click or tap here to enter text. | Click or tap here to enter text. | Click or tap here to enter text. | Click or tap here to enter text. |
| **2.** | Click or tap here to enter text. | Click or tap here to enter text. | Click or tap here to enter text. | Click or tap here to enter text. |
| **3.** | Click or tap here to enter text. | Click or tap here to enter text. | Click or tap here to enter text. | Click or tap here to enter text. |
| **4.** | Click or tap here to enter text. | Click or tap here to enter text. | Click or tap here to enter text. | Click or tap here to enter text. |
| **5.** | Click or tap here to enter text. | Click or tap here to enter text. | Click or tap here to enter text. | Click or tap here to enter text. |

**Questions:**

1. STATE RECIPIENT WRITTEN AGREEMENTS

1.

|  |  |  |
| --- | --- | --- |
| Was a signed, dated written agreement executed by the State PJ and the State recipient?  [24 CFR 92.504(b)] | | |
| File #1: | Yes  No | Date of Written Agreement: Click or tap here to enter text. |
| File #2: | Yes  No | Date of Written Agreement: Click or tap here to enter text. |
| File #3: | Yes  No | Date of Written Agreement: Click or tap here to enter text. |
| File #4: | Yes  No | Date of Written Agreement: Click or tap here to enter text. |
| File #5: | Yes  No | Date of Written Agreement: Click or tap here to enter text. |
| **Describe Basis for Conclusion:**  Click or tap here to enter text. | | |

2.

|  |  |
| --- | --- |
| Did the State PJ execute the written agreement with the State recipient before entering the subgrant into IDIS? (Compare the dated signatures on the written agreement to the “Date Created” on the “View Subgrant” screen in IDIS.)  [24 CFR 92.502(b)] | |
| File #1: | Yes  No |
| File #2: | Yes  No |
| File #3: | Yes  No |
| File #4: | Yes  No |
| File #5: | Yes  No |
| **Describe Basis for Conclusion:**  Click or tap here to enter text. | |

3.

|  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- |
| Does the written agreement require the State recipient to either comply with the State PJ’s policies and procedures or establish its own policies and procedures for the following:  Note: The written agreement **must** only include those requirements that are applicable to the type of activity the State Recipient is undertaking.  [24 CFR 92.504(c)(1)] | | | | | |
|  | **File #1:** | **File #2:** | **File #3:** | **File #4:** | **File #5:** |
| 1. Income Determinations in accordance with [24 CFR 92.203](https://www.govinfo.gov/app/details/CFR-2018-title24-vol1/CFR-2018-title24-vol1-sec92-203)? | Yes  No | Yes  No | Yes  No | Yes  No | Yes  No |
| 1. Underwriting and subsidy layering guidelines in accordance with  [24 CFR 92.250(b)](https://www.govinfo.gov/app/details/CFR-2018-title24-vol1/CFR-2018-title24-vol1-sec92-250)? | Yes  No | Yes  No | Yes  No | Yes  No | Yes  No |
| 1. Rehabilitation standards in accordance with [24 CFR 92.251](https://www.govinfo.gov/app/details/CFR-2018-title24-vol1/CFR-2018-title24-vol1-sec92-251)? | Yes  No | Yes  No | Yes  No | Yes  No | Yes  No |
| 1. Refinancing guidelines in accordance with [24 CFR 92.254(f)(3)](https://www.govinfo.gov/app/details/CFR-2018-title24-vol1/CFR-2018-title24-vol1-sec92-254), and  [24 CFR 92.206(b)](https://www.govinfo.gov/app/details/CFR-2018-title24-vol1/CFR-2018-title24-vol1-sec92-206)? | Yes  No | Yes  No | Yes  No | Yes  No | Yes  No |
| 1. Homebuyer program policies in accordance with [24 CFR 92.254(f)](https://www.govinfo.gov/app/details/CFR-2018-title24-vol1/CFR-2018-title24-vol1-sec92-254)? | Yes  No | Yes  No | Yes  No | Yes  No | Yes  No |
| 1. Affordability requirements in accordance with [24 CFR 92.252](https://www.govinfo.gov/app/details/CFR-2018-title24-vol1/CFR-2018-title24-vol1-sec92-252) (rental) and/or [24 CFR 92.254](https://www.govinfo.gov/app/details/CFR-2018-title24-vol1/CFR-2018-title24-vol1-sec92-254) (homebuyer), as applicable? | Yes  No | Yes  No | Yes  No | Yes  No | Yes  No |
| **Describe Basis for Conclusion:**  Click or tap here to enter text. | | | | | |

4.

|  |  |
| --- | --- |
| Does the written agreement describe the amount and use of HOME funds for each program the State recipient will administer, including the type and number of housing projects to be funded?  [24 CFR 92.504(c)(1)(i)] | |
| File #1: | Yes  No |
| File #2: | Yes  No |
| File #3: | Yes  No |
| File #4: | Yes  No |
| File #5: | Yes  No |
| **Describe Basis for Conclusion:**  Click or tap here to enter text. | |

5.

|  |  |
| --- | --- |
| Does the written agreement describe allowable administrative costs and the terms for payment?  [24 CFR 92.504(c)(1)(i) and 92.207] | |
| File #1: | Yes  No |
| File #2: | Yes  No |
| File #3: | Yes  No |
| File #4: | Yes  No |
| File #5: | Yes  No |
| **Describe Basis for Conclusion:**  Click or tap here to enter text. | |

6.

|  |  |
| --- | --- |
| Does the written agreement describe or list the tasks to be completed in sufficient detail to enable the State PJ to effectively monitor performance under the agreement?  [24 CFR 92.504(c)(1)(i)] | |
| File #1: | Yes  No |
| File #2: | Yes  No |
| File #3: | Yes  No |
| File #4: | Yes  No |
| File #5: | Yes  No |
| **Describe Basis for Conclusion:**  Click or tap here to enter text. | |

7.

|  |  |
| --- | --- |
| Does the written agreement include a detailed schedule for the completion of tasks, including a schedule for committing funds to projects in accordance with deadlines established in Part 92, to enable the State PJ to effectively monitor performance under the agreement?  [24 CFR 92.504(c)(1)(i)] | |
| File #1: | Yes  No |
| File #2: | Yes  No |
| File #3: | Yes  No |
| File #4: | Yes  No |
| File #5: | Yes  No |
| **Describe Basis for Conclusion:**  Click or tap here to enter text. | |

8.

|  |  |
| --- | --- |
| Does the written agreement include a budget for each program that contains sufficient detail to enable the State PJ to effectively monitor performance under the agreement?  [24 CFR 92.504(c)(1)(i)] | |
| File #1: | Yes  No |
| File #2: | Yes  No |
| File #3: | Yes  No |
| File #4: | Yes  No |
| File #5: | Yes  No |
| **Describe Basis for Conclusion:**  Click or tap here to enter text. | |

9.

|  |  |
| --- | --- |
| Does the written agreement state the requirements for matching contributions, *if any,* in accordance with [24 CFR 92.208](https://www.govinfo.gov/app/details/CFR-2018-title24-vol1/CFR-2018-title24-vol1-sec92-208) through [24 CFR 92.222](https://www.govinfo.gov/app/details/CFR-2018-title24-vol1/CFR-2018-title24-vol1-sec92-222)?  [24 CFR 92.504(c)(1)(i)] | |
| File #1: | Yes  No  N/A |
| File #2: | Yes  No  N/A |
| File #3: | Yes  No  N/A |
| File #4: | Yes  No  N/A |
| File #5: | Yes  No  N/A |
| **Describe Basis for Conclusion:**  Click or tap here to enter text. | |

10.

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| Does the agreement require housing assisted with HOME funds to meet the affordability requirements of [24 CFR 92.252](https://www.govinfo.gov/app/details/CFR-2018-title24-vol1/CFR-2018-title24-vol1-sec92-252) or [24 CFR 92.254](https://www.govinfo.gov/app/details/CFR-2018-title24-vol1/CFR-2018-title24-vol1-sec92-254), as applicable?  [24 CFR 92.504(c)(1)(ii)] | |
| File #1: | Yes  No |
| File #2: | Yes  No |
| File #3: | Yes  No |
| File #4: | Yes  No |
| File #5: | Yes  No |
| **Describe Basis for Conclusion:**  Click or tap here to enter text. | |

11.

|  |  |
| --- | --- |
| Does the agreement require the repayment of HOME funds should housing not meet the affordability requirements for the specified time period?  [24 CFR 92.504(c)(1)(ii) and 92.503(b)] | |
| File #1: | Yes  No |
| File #2: | Yes  No |
| File #3: | Yes  No |
| File #4: | Yes  No |
| File #5: | Yes  No |
| **Describe Basis for Conclusion:**  Click or tap here to enter text. | |

12.

|  |  |
| --- | --- |
| Does the written agreement specify if repaid or recaptured HOME funds must be remitted to the State PJ or retained by the State recipient for additional eligible activities?  [24 CFR 92.504(c)(1)(ii)] | |
| File #1: | Yes  No |
| File #2: | Yes  No |
| File #3: | Yes  No |
| File #4: | Yes  No |
| File #5: | Yes  No |
| **Describe Basis for Conclusion:**  Click or tap here to enter text. | |

13.

|  |  |
| --- | --- |
| Does the agreement state if program income is to be remitted to the State or retained by the State recipient to carry out additional eligible activities?  [24 CFR 92.504(c)(1)(iii)] | |
| File #1: | Yes  No |
| File #2: | Yes  No |
| File #3: | Yes  No |
| File #4: | Yes  No |
| File #5: | Yes  No |
| **Describe Basis for Conclusion:**  Click or tap here to enter text. | |

14.

|  |  |
| --- | --- |
| Does the agreement require the State recipient to comply with applicable uniform administrative requirements, as described in [24 CFR 92.505](https://www.govinfo.gov/app/details/CFR-2018-title24-vol1/CFR-2018-title24-vol1-sec92-505)?  [24 CFR 92.504(c)(1)(iv)] | |
| File #1: | Yes  No |
| File #2: | Yes  No |
| File #3: | Yes  No |
| File #4: | Yes  No |
| File #5: | Yes  No |
| **Describe Basis for Conclusion:**  Click or tap here to enter text. | |

15.

|  |  |
| --- | --- |
| Does the agreement require compliance with all HOME project requirements in  [24 CFR 92, Subpart F](https://www.ecfr.gov/cgi-bin/text-idx?SID=c29568e985a57e4491351eeaae1bac8a&mc=true&node=sp24.1.92.f&rgn=div6), as applicable, in accordance with the type of project assisted?  [24 CFR 92.504(c)(1)(v)] | |
| File #1: | Yes  No |
| File #2: | Yes  No |
| File #3: | Yes  No |
| File #4: | Yes  No |
| File #5: | Yes  No |
| **Describe Basis for Conclusion:**  Click or tap here to enter text. | |

16.

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| Does the agreement require compliance with all federal requirements and nondiscrimination requirements established in [24 CFR 92.350](https://www.ecfr.gov/cgi-bin/text-idx?SID=1ae6a6289a821efed55c733d2cd182c2&mc=true&node=se24.1.92_1350&rgn=div8)? The agreement may require compliance by reference to [24 CFR 92.350](https://www.ecfr.gov/cgi-bin/text-idx?SID=1ae6a6289a821efed55c733d2cd182c2&mc=true&node=se24.1.92_1350&rgn=div8). In the absence of specific references, the monitor must consult the regulation to determine that each requirement in [24 CFR 92.350](https://www.ecfr.gov/cgi-bin/text-idx?SID=1ae6a6289a821efed55c733d2cd182c2&mc=true&node=se24.1.92_1350&rgn=div8) is incorporated into the agreement.  [24 CFR 92.504(c)(1)(vi)] | |
| File #1: | Yes  No |
| File #2: | Yes  No |
| File #3: | Yes  No |
| File #4: | Yes  No |
| File #5: | Yes  No |
| **Describe Basis for Conclusion:**  Click or tap here to enter text. | |

17.

|  |  |
| --- | --- |
| Does the agreement set forth the requirements the State recipient must follow to enable the participating jurisdiction to carry out environmental review responsibilities before HOME funds are committed to a project?  [24 CFR 92.504(c)(1)(vi)] | |
| File #1: | Yes  No |
| File #2: | Yes  No |
| File #3: | Yes  No |
| File #4: | Yes  No |
| File #5: | Yes  No |
| **Describe Basis for Conclusion:**  Click or tap here to enter text. | |

18.

|  |  |
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| Does the agreement require compliance with the displacement, relocation and acquisition requirements of [24 CFR 92.353](https://www.ecfr.gov/cgi-bin/text-idx?SID=1ae6a6289a821efed55c733d2cd182c2&mc=true&node=se24.1.92_1353&rgn=div8) *should a project involve acquisition, demolition, or rehabilitation, or if any tenants or owners will be relocated permanently or temporarily* ?  [24 CFR 92.504(c)(1)(vi)] | |
| File #1: | Yes  No  N/A |
| File #2: | Yes  No  N/A |
| File #3: | Yes  No  N/A |
| File #4: | Yes  No  N/A |
| File #5: | Yes  No  N/A |
| **Describe Basis for Conclusion:**  Click or tap here to enter text. | |

19.

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| --- | --- |
| Does the agreement require compliance with the Davis-Bacon labor requirements prescribed in [24 CFR 92.354](https://www.ecfr.gov/cgi-bin/text-idx?SID=1ae6a6289a821efed55c733d2cd182c2&mc=true&node=se24.1.92_1354&rgn=div8) *should a project contain 12 or more HOME-assisted units*?  [24 CFR 92.504(c)(1)(vi)] | |
| File #1: | Yes  No  N/A |
| File #2: | Yes  No  N/A |
| File #3: | Yes  No  N/A |
| File #4: | Yes  No  N/A |
| File #5: | Yes  No  N/A |
| **Describe Basis for Conclusion:**  Click or tap here to enter text. | |

20.

|  |  |
| --- | --- |
| Does the agreement require compliance with the lead-based paint requirements prescribed in [24 CFR 92.355?](https://www.ecfr.gov/cgi-bin/text-idx?SID=c744ac02a6816223ac4f91aec21bdd6f&mc=true&node=se24.1.92_1355&rgn=div8)  [24 CFR 92.504(c)(1)(vi)] | |
| File #1: | Yes  No  N/A |
| File #2: | Yes  No  N/A |
| File #3: | Yes  No  N/A |
| File #4: | Yes  No  N/A |
| File #5: | Yes  No  N/A |
| **Describe Basis for Conclusion:**  Click or tap here to enter text. | |

21.

|  |  |
| --- | --- |
| Does the agreement require compliance with the conflict of interest provisions prescribed in [24 CFR 92.356(f)?](https://www.ecfr.gov/cgi-bin/text-idx?SID=1ae6a6289a821efed55c733d2cd182c2&mc=true&node=se24.1.92_1356&rgn=div8)  [24 CFR 92.504(c)(1)(vi)] | |
| File #1: | Yes  No |
| File #2: | Yes  No |
| File #3: | Yes  No |
| File #4: | Yes  No |
| File #5: | Yes  No |
| **Describe Basis for Conclusion:**  Click or tap here to enter text. | |

22.

|  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- |
| *If HOME funds are provided for tenant based rental assistance or the development of rental housing,* does the written agreement set forth all obligations the participating jurisdiction imposes on the State recipient in order to meet the Violence Against Women Act (VAWA) requirements in accordance with [24 CFR 92.359](https://www.govinfo.gov/app/details/CFR-2018-title24-vol1/CFR-2018-title24-vol1-sec92-359):  [24 CFR 92.504(c)(1)(vi)] | | | | | |
|  | **File #1:** | **File #2:** | **File #3:** | **File #4:** | **File #5:** |
| 1. Notification requirements? | Yes  No  N/A | Yes  No  N/A | Yes  No  N/A | Yes  No  N/A | Yes  No  N/A |
| 1. Bifurcation of lease requirements? | Yes  No  N/A | Yes  No  N/A | Yes  No  N/A | Yes  No  N/A | Yes  No  N/A |
| 1. Development of VAWA lease or lease addendum? | Yes  No  N/A | Yes  No  N/A | Yes  No  N/A | Yes  No  N/A | Yes  No  N/A |
| 1. Obligations under the emergency transfer plan, including whether the State recipient must develop its own emergency transfer plan or follow the State’s plan? | Yes  No  N/A | Yes  No  N/A | Yes  No  N/A | Yes  No  N/A | Yes  No  N/A |
| **Describe Basis for Conclusion:**  Click or tap here to enter text. | | | | | |

23.

|  |  |
| --- | --- |
| *If the HOME funds will be used for housing containing five or more HOME assisted units,* does the agreement require the State recipient to follow the State’s affirmative marketing requirements or permit the State recipient to establish its own requirements in accordance with [24 CFR 92.351](https://www.govinfo.gov/app/details/CFR-2018-title24-vol1/CFR-2018-title24-vol1-sec92-351)?  [24 CFR 92.504(c)(1)(vii)] | |
| File #1: | Yes  No  N/A |
| File #2: | Yes  No  N/A |
| File #3: | Yes  No  N/A |
| File #4: | Yes  No  N/A |
| File #5: | Yes  No  N/A |
| **Describe Basis for Conclusion:**  Click or tap here to enter text. | |

24.

|  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- |
| Does the agreement between the State PJ and the State recipient specify the following:  [24 CFR 92.504(c)(1)(viii)] | | | | | |
|  | **File #1:** | **File #2:** | **File #3:** | **File #4:** | **File #5:** |
| 1. The State recipient may not request disbursement of HOME funds under this agreement until the funds are needed for payment of eligible HOME costs? | Yes  No | Yes  No | Yes  No | Yes  No | Yes  No |
| 1. The amount of each request does not exceed the amount needed? | Yes  No | Yes  No | Yes  No | Yes  No | Yes  No |
| 1. If funds in the local account and funds in the United States Treasury account are committed to a project, the State recipient must disburse the funds in the local account before requesting HOME funds in the United States Treasury account for the project? | Yes  No | Yes  No | Yes  No | Yes  No | Yes  No |
| **Describe Basis for Conclusion:**  Click or tap here to enter text. | | | | | |

25.

|  |  |
| --- | --- |
| Does the agreement identify specific records that must be maintained?  [24 CFR 92.504(c)(1)(ix)] | |
| File #1: | Yes  No |
| File #2: | Yes  No |
| File #3: | Yes  No |
| File #4: | Yes  No |
| File #5: | Yes  No |
| **Describe Basis for Conclusion:**  Click or tap here to enter text. | |

26.

|  |  |
| --- | --- |
| Does the agreement specify the information or reports that must be submitted in order to assist the State PJ in meeting its recordkeeping and reporting requirements?  [24 CFR 92.504(c)(1)(ix)] | |
| File #1: | Yes  No |
| File #2: | Yes  No |
| File #3: | Yes  No |
| File #4: | Yes  No |
| File #5: | Yes  No |
| **Describe Basis for Conclusion:**  Click or tap here to enter text. | |

27.

|  |  |
| --- | --- |
| *If the State recipient will own affordable housing at completion*, does the agreement provide for a means to enforce affordable housing requirements by the State PJ or the intended beneficiaries?  [24 CFR 92.504(c)(1)(x)] | |
| File #1: | Yes  No  N/A |
| File #2: | Yes  No  N/A |
| File #3: | Yes  No  N/A |
| File #4: | Yes  No  N/A |
| File #5: | Yes  No  N/A |
| **Describe Basis for Conclusion:**  Click or tap here to enter text. | |

28.

|  |  |
| --- | --- |
| *If the State recipient will administer rental housing*, does the written agreement ensure that the affordability requirements in [24 CFR 92.252](https://www.govinfo.gov/app/details/CFR-2018-title24-vol1/CFR-2018-title24-vol1-sec92-252) will be enforced by deed restriction, covenants running with the land, use restrictions, or other mechanisms approved by HUD in writing under which the State PJ has the right to require specific performance?  [24 CFR 92.504(c)(1)(x)] | |
| File #1: | Yes  No  N/A |
| File #2: | Yes  No  N/A |
| File #3: | Yes  No  N/A |
| File #4: | Yes  No  N/A |
| File #5: | Yes  No  N/A |
| **Describe Basis for Conclusion:**  Click or tap here to enter text. | |

29.

|  |  |
| --- | --- |
| Does the agreement specify remedies for breach of the HOME requirements?  [24 CFR 92.504(c)(1)(x)] | |
| File #1: | Yes  No |
| File #2: | Yes  No |
| File #3: | Yes  No |
| File #4: | Yes  No |
| File #5: | Yes  No |
| **Describe Basis for Conclusion:**  Click or tap here to enter text. | |

30.

|  |  |
| --- | --- |
| Does the agreement specify that the State PJ will follow the requirements for suspension or termination of the agreement, in whole or in part, if the State Recipient materially fails to comply with any term of the agreement?   * *For written agreements executed prior to 12/26/14, cite 24 CFR 85.43(a) (remedies for non-compliance), 24 CFR 85.43(a)(3) termination in whole or in part)* * *For written agreements executed on or after 12/26/14, cite* [*2 CFR 200.338*](https://www.govinfo.gov/app/details/CFR-2018-title2-vol1/CFR-2018-title2-vol1-sec200-338) *(remedies for non-compliance),* [*2 CFR 200.339*](https://www.govinfo.gov/app/details/CFR-2018-title2-vol1/CFR-2018-title2-vol1-sec200-339) *(termination in whole or in part)*   [24 CFR 92.504(c)(1)(x)] | |
| File #1: | Yes  No |
| File #2: | Yes  No |
| File #3: | Yes  No |
| File #4: | Yes  No |
| File #5: | Yes  No |
| **Describe Basis for Conclusion:**  Click or tap here to enter text. | |

31.

|  |  |
| --- | --- |
| *If the State recipient provides funds to for-profit owners or developers, nonprofit owners or developers, subrecipients, homeowners, homebuyers, tenants receiving tenant-based rental assistance, or contractors who are providing services to the State recipient*, does the State recipient have a signed and dated written agreement, which meets the applicable requirements of [24 CFR 92.504(c)](https://www.govinfo.gov/app/details/CFR-2018-title24-vol1/CFR-2018-title24-vol1-sec92-504), with such entities before it provides funds,?  [24 CFR 92.504(b) and (c)(1)(xi)] | |
| File #1: | Yes  No  N/A |
| File #2: | Yes  No  N/A |
| File #3: | Yes  No  N/A |
| File #4: | Yes  No  N/A |
| File #5: | Yes  No  N/A |
| **Describe Basis for Conclusion:**  Click or tap here to enter text. | |

32.

|  |  |
| --- | --- |
| Does the written agreement state the duration of the agreement? (If the State recipient has responsibility for monitoring rental projects, the duration of the written agreement must be through the period of affordability).  [24 CFR 92.504(c)(1)(xii)] | |
| File #1: | Yes  No |
| File #2: | Yes  No |
| File #3: | Yes  No |
| File #4: | Yes  No |
| File #5: | Yes  No |
| **Describe Basis for Conclusion:**  Click or tap here to enter text. | |

33.

|  |  |
| --- | --- |
| Does the written agreement specify that the State recipient and its subrecipients and CHDOs are prohibited from charging servicing, origination, processing, inspection, or other fees for the cost of administering the HOME program except nominal application fees to owners and housing counseling fees to homebuyers?  [24 CFR 92.504(c)(1)(xiii), 92.214(b)(1)(i)] | |
| File #1: | Yes  No |
| File #2: | Yes  No |
| File #3: | Yes  No |
| File #4: | Yes  No |
| File #5: | Yes  No |
| **Describe Basis for Conclusion:**  Click or tap here to enter text. | |

1. STATE RECIPIENT OVERSIGHT AND INTERNAL CONTROLS

34.

|  |  |
| --- | --- |
| Does the PJ review the performance of *each* State recipient annually?  [24 CFR 92.504(a)] | Yes  No |
| **Describe Basis for Conclusion:**  Click or tap here to enter text. | |

35.

|  |  |
| --- | --- |
| Does the PJ have and follow written procedures and systems for monitoring State recipients’ compliance with the HOME program requirements applicable to them and the projects they are carrying out?  [24 CFR 92.504(a)] | Yes  No |
| **Describe Basis for Conclusion:**  Click or tap here to enter text. | |

36.

|  |  |
| --- | --- |
| Does the PJ have and follow written procedures and systems for assessing risk of activities and projects?  [24 CFR 92.504(a)] | Yes  No |
| **Describe Basis for Conclusion:**  Click or tap here to enter text. | |

37.

|  |  |
| --- | --- |
| Does the PJ ensure that State recipients maintain adequate records to comply with program requirements, including record retention?  [24 CFR 92.504(a) and 24 CFR 92.508] | Yes  No |
| **Describe Basis for Conclusion:**  Click or tap here to enter text. | |

38.

|  |  |
| --- | --- |
| Before disbursing HOME funds to any entity, does the State recipient enter into a written agreement with that entity?  [24 CFR 92.504(b)] | Yes  No |
| **Describe Basis for Conclusion:**  Click or tap here to enter text. | |

39.

|  |  |
| --- | --- |
| Did the State recipient have a Single Audit conducted in accordance with [2 CFR part 200, Subpart F](https://www.ecfr.gov/cgi-bin/text-idx?SID=c92a1180439e91c819db8c5f87cf1f1f&node=2:1.1.2.2.1.6&rgn=div6) for the fiscal year(s)?  If the response is “Yes,” you must complete Exhibit 34-1, Section K.  [24 CFR 92.506] | Yes  No |
| **Describe Basis for Conclusion:**  Click or tap here to enter text. | |

1. REPORTING

40.

|  |  |
| --- | --- |
| *If the PJ enters data for IDIS set-up and completion of State recipient projects*, does it routinely obtain complete and accurate data from State recipients?  [24 CFR 92.502(b) and (d)] | Yes  No  N/A |
| **Describe Basis for Conclusion:**  Click or tap here to enter text. | |

41.

|  |  |
| --- | --- |
| *If the State recipient enters data for IDIS project set-up and completion*, does the PJ review data to ensure that the data are complete, accurate, timely and consistent with State recipient records?  [24 CFR 92.502(b) and (d)] | Yes  No  N/A |
| **Describe Basis for Conclusion:**  Click or tap here to enter text. | |

1. ON-SITE MONITORING BY THE PJ

42.

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| Provide the following information regarding the on-site monitoring conducted by the PJ during the year(s) being reviewed.  [24 CFR 92.504(a)]  (Use the “tab” key to add additional rows or attach additional sheets.) | | | | |
| **State Recipient  Monitored** | **Dates** | **Number and Types of Finding** | **Date of Letter** | **Date(s) Findings Resolved** |
| Click or tap here to enter text. | Click or tap here to enter text. | Click or tap here to enter text. | Click or tap here to enter text. | Click or tap here to enter text. |
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43.

|  |  |
| --- | --- |
| When monitoring State recipients on-site, does the PJ verify the accuracy of data reported in IDIS and in reports that may be required?  [24 CFR 92.504(a)] | Yes  No |
| **Describe Basis for Conclusion:**  Click or tap here to enter text. | |

44.

|  |  |
| --- | --- |
| Do the PJ’s written monitoring reports clearly document the areas monitored and the conclusions reached?  [24 CFR 92.504(a) and 24 CFR 92.508(a)(6)(iv)] | Yes  No |
| **Describe Basis for Conclusion:**  Click or tap here to enter text. | | |

45.

|  |  |
| --- | --- |
| Does the PJ have policies and procedures (including internal procedures) for ensuring the quality of monitoring that include: documentation and intended actions, follow-through on promised actions, communication of monitoring results to State recipients, timeliness of communication of results, and how State recipients may respond to findings?  [24 CFR 92.504(a); 24 CFR 92.505; 2 CFR 200.331] | Yes  No |
| **Describe Basis for Conclusion:**  Click or tap here to enter text. | | |

46.

|  |  |
| --- | --- |
| Does the PJ’s policy on how monitoring results are communicated to State recipients include expected corrective actions and dates for resolution?  [24 CFR 92.504(a) and 24 CFR 92.508(a)(6)(iii); 24 CFR 92.505;  2 CFR 200.331] | Yes  No |
| **Describe Basis for Conclusion:**  Click or tap here to enter text. | | |

1. PROGRAM INCOME MONITORING

47.

|  |  |
| --- | --- |
| In comparing the PJ’s internal financial records with its IDIS entries, is the PJ accurately reporting program income received by State recipients in IDIS?  [24 CFR 92.503(a)] | Yes  No |
| **Describe Basis for Conclusion:**  Click or tap here to enter text. | |

48.

|  |  |
| --- | --- |
| *If program income is retained by the State recipient*, does the State recipient disburse program income before requesting HOME funds from the State?  [24 CFR 92.504(c)(1)(viii)] | Yes  No  N/A |
| **Describe Basis for Conclusion:**  Click or tap here to enter text. | |

49.

|  |  |
| --- | --- |
| *If program income is retained by the State recipient*, does the PJ check to determine that program income is used for additional eligible activities?  [24 CFR 92.504(c)(1)(iii)] | Yes  No  N/A |
| **Describe Basis for Conclusion:**  Click or tap here to enter text. | |

50.

|  |  |
| --- | --- |
| Has the PJ included program income expected to be received by all State recipients in preparing its most recent Consolidated Plan?  [24 CFR 91.220(c), 24 CFR 91.320(c) and 24 CFR 91.420(b)] | Yes  No |
| **Describe Basis for Conclusion:**  Click or tap here to enter text. | |

1. ON-SITE REVIEW OF STATE RECIPIENTS BY HUD

NOT REVIEWED DURING MONITORING

Instructions: Conduct an on-site review of the PJ’s State recipients as a way of determining the effectiveness of the PJ’s monitoring efforts. If the PJ has more than two State recipients, select a sample of State recipients for review. Assess the PJ's monitoring reports for the State recipients selected. Attach additional sheets, as necessary, to reflect the results of each State recipient reviewed.

Name of State Recipient:

|  |
| --- |
| Click or tap here to enter text. |

Program or Project:

|  |
| --- |
| Click or tap here to enter text. |

Records/Data Reviewed:

|  |
| --- |
| Click or tap here to enter text. |

Concerns/Findings (identified by PJ):

|  |
| --- |
| Click or tap here to enter text. |

51.

|  |  |
| --- | --- |
| [OS] Did the PJ monitor this State recipient on-site? If “Yes,” indicate when.  [24 CFR 92.504(a)] | Yes  No |
| Describe Basis for Conclusion:  Click or tap here to enter text. | |

52.

|  |  |
| --- | --- |
| [OS] Is there any non-compliance with HOME program requirements that the PJ’s monitoring report should have identified? (If “Yes,” identify below.)  [24 CFR 92.504(a); 24 CFR 92.505; 2 CFR 200.331] | Yes  No |
| Describe Basis for Conclusion:  Click or tap here to enter text. | |