

Exhibit H - Ultimate Recipient File Checklist

Date(s) Reviewed FY_____ Qtr 1_____ Qtr 2_____ Qtr 3_____ Qtr 4_____

Recipient Name_____ Date_____

State_____ County_____ Grant Amount_____

The Ultimate Recipient File Checklist may be used by grantees as a guide for ultimate recipient casefile management, and Rural Development (RD) offices can use this checklist as a guide for ultimate recipient file reviews. RD should review completed ultimate recipient files on a quarterly basis for compliance. The number of files to be reviewed should be a 25% sample or two ultimate recipient files, whichever is greater.

Ultimate recipient applications will be processed on a first come, first served basis. At a minimum, applications used by the grantee to determine if financial assistance will be made available to eligible homeowners, owners of single or multi-unit rental properties or owners of cooperative housing projects (co-ops) and will contain the following:

- ☐ Name and address of the proposed recipient(s);
- ☐ Age and number of the persons living in the dwelling or unit to be assisted with HPG funds for all or part of the next 12 months;
- ☐ For homeowners, the income requirements outlined in § 1944.661(a) of this subpart,
 - Verification of very-low or low income.
- ☐ Verification the ultimate recipient's property is in an eligible rural area, see ([Eligibility \(usda.gov\)](https://www.usda.gov/eligibility)).
- ☐ Verification of Ownership [§ 1944-661\(b\)\(1\) through \(5\)](#):
 - Copy of instrument evidencing ownership;
 - Owner of the individual dwelling at least 1 year prior to the time of assistance.

- ☐ Application form used includes demographic data and information collection requirements:
 - Ethnicity:
 - Hispanic or Latino;
 - Not Hispanic or Latino.
 - Race:
 - American Indian or Alaskan Native;
 - Asian;
 - Black or African American;
 - Native Hawaiian or Other Pacific Islander;
 - White.
 - Sex:
 - Female;
 - Male.
 - I do not wish to provide this information.
 - Statement that recipient is providing this information on a voluntary basis:
 - Sample language: “The following information is requested by the Federal Government to monitor compliance with Federal Laws prohibiting discrimination against applicants seeking to participate in this program. You are not required to furnish this information but are encouraged to do so. This information will not be used in evaluating your application or to discriminate against you in any way. However, if you choose not to furnish it, we are required to note the race, ethnicity and sex of applicants based on visual observation or surname.”

- ☐ Signature of Applicant(s).
- ☐ Verification of Notification to recipient(s) - The grantee will determine if an application is complete within 30 days of receipt.
 - Incomplete applications. All recipients who are determined by the grantee to have submitted an incomplete application will be notified in writing as to the reason(s) the application was incomplete. The applicant will be given the opportunity to complete their application and submit new or additional information within a stated period of time in an effort to achieve eligibility. Any application resubmitted will fall within the normal selection criteria determined by the grantee.
 - Complete applications - Recipients with complete applications (those meeting all the grantee's criteria) will be notified in writing whether the applicant was:
 - Selected for financial assistance,
 - Placed on a waiting list for financial assistance subject to the availability of funds, or
 - Not selected for financial assistance.
 - Recipients not selected for financial assistance - Recipients will be given the specific reason(s) for rejection and given the opportunity to have their determination reviewed by the grantee. If the rejection is based on information from a credit bureau report, it must be revealed to the recipient in accordance with the Fair Credit Reporting Act. Rejection of recipients on an arbitrary basis is prohibited. Examples of such arbitrary rejections are race, color, religion, sex, familial status, national origin, and handicap; receipt of income from public assistance; and persons with children of undetermined parentage.

Environmental:

- ☐ Documentation the EPA pamphlet, "Protect your Family From Lead in Your Home" was provided to recipient (Not required for homes newer than 1978).
- ☐ Lead Based Paint (LBP) inspection report, risk assessment, and/or clearance inspection reports when applicable.
- ☐ Complete FEMA Form 086-0-93 "Standard Flood Hazard Determination" with copy of flood map.

Evidence of environmental review of each home per RD Instruction 1944-N, Exhibit C, paragraph VII:

- RD Instruction 1970-B Exhibit D “Categorical Exclusion”
- Environmental Assessment (If Applicable).
- Evidence that the home is not historic/consultation with SHPO per RD Instruction 1944-N, Exhibit F-1 of this subpart and RD Instruction 2000-FF, available in any Rural Development Office.
- Documentation of Environmental and Historical Review (If environmental assessment was not needed) “We have considered this dwelling under Rural Development’s environmental and historic preservation requirements for a HPG, see §§ 1944.672 and 1944.673 of this subpart) and an environmental assessment is not required. The review was completed in accordance with the process to identify properties requiring a Rural Development environmental assessment approved with our statement of activities.”

Civil Rights:

- The following forms are issued to the contractor for construction contracts over \$10,000 per § 1901.205:
 - Form RD 400-1 Equal Employment Agreement;
 - Form RD 400-3 Notice to Contractors and Applicants (Attach the Equal Opportunity Poster and supplemental poster);
 - Form RD 1924-5 Invitation to Bid (Optional);
 - Form RD 1924-6 “Construction Contract” only required when invitation to bid is exercised;
 - Form RD 400-6 Compliance Statement – Contractor or subcontractor will submit to State Office;
 - “Know Your Rights” Poster;
 - Grantee will report to the Department of Labor when contracts exceed \$10,000.

Specification Review:

- ☐ Cost estimate by line item.
- ☐ Accepted contractor's quote.

Photos:

- ☐ Before.
- ☐ After.

Construction Work:

- ☐ Construction contract from contractor or vendor.
- ☐ Repairs must be completed exactly as described in the construction contract. The description of repairs must include and adequately describe ALL work to be performed.
- ☐ Invoices.
- ☐ Warranties for construction work, products and equipment.

Final Inspection:

- ☐ All repairs must be inspected by a disinterested third-party, which could be a local building/code enforcement official or a qualified contract/fee inspector.
- ☐ Inspection report should be filed in ultimate recipient file.

Filing of Ultimate Recipient Applications. Ultimate Recipient applications and all additional data submitted, determinations, correspondence, etc. will be maintained by the grantee in individual recipient files in accordance with 2 CFR Part 200. The information will be made available to Rural Development for review during normal hours.

Date _____

Name of Reviewer _____

Signature of Reviewer _____

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