

Management Document Checklist for Project and Tenant Files:

- Management Plan (HUD, TC – strongly recommended but not required)
- Management Agreement (HUD, TC – strongly recommended but not required)
 - Termination language needed for all VHFA financed properties
- Affirmative Fair Housing Marketing Plan (HUD/TCAP/1602)
 - Must be on file and reviewed every 5 years
- Fair Housing Posters displayed in rental offices and at property
- Resident Selection Plan (HUD, TC – strongly recommended but not required)
- Procedures and Policies for applicant intake, waiting list management, initial and annual certifications, verifications, policy updates, rent collection, maintenance of project, use of community space, etc. (HUD, TC – strongly recommended but not required)
- Training Certificates – for all staff onsite working with applicants or residents (HUD 4350.3, TC, Fair Housing)
- Current Utility Allowance (costs paid by resident: heat, electricity, water, sewer, oil, gas and trash)
 - Must have backup documentation – PHA Utility Schedule, RD, Local Utility, Energy Consumption Model
 - Total Utility Allowance must match what is listed on forms in the occupancy files
- IRS 8609 forms with Part II completed and submitted to the IRS for first year claimed (TC)
- IRS Form 8703 for tax exempt bond properties – one time submission
- Rental Application
- Pet and Grievance Policies (HUD, TC – strongly recommended but not required)
- Enterprise Income Verification Policy (HUD, TC- not applicable)
- House Rules (HUD, TC – strongly recommended but not required)
- Rent Damage charge list
- Current Lease
 - VHFA subordinate to mortgage language or addendum needed for all VHFA financed properties
- VAWA (Violence Against Women Act) Lease Addendum
- Applicant rejection letter
- Rent Schedule or rent roll

Annual Reporting Requirements:

- Annual Owner's Certificate of Continuing Program Compliance (TC)
- Supportive Housing Documentation (TC)
- Fair Housing Questionnaire (TC)
- VHFA Questionnaire (TC)
- Occupancy and Demographic Report
 - unit number, BIN number, building address,
 - Head of Household, gender, birthdate,
 - bedroom size, square footage, # of occupants,
 - total rent, utility allowance, subsidy amount, subsidy type, tenant portion of rent,
 - move-in date, recert date, move-out date, transfer date,
 - # of elderly, # of students, # of children, single parent, # adults with income,
 - gross income, income source, head of household occupation,
 - race, ethnicity, disability,
 - income designation, rent designation, income targeting
 - income and rent limits

Physical Inspection Checklist:

- LIHTC – 20% of the units/files every 3 years until extended use then every 5 years
- Manager must provide 48 hours' notice to all residents advising them that their unit might be chosen for inspection – please provide notice
- VHFA utilizes the Uniform Physical Condition Standards (UPCS) as established by HUD for classifying inspection findings. These items should be the focus of any pre-inspections performed by the owner/management agent – see HUD Form 26481 for a detailed list of inspected areas
- The physical inspection will encompass a review of buildings, grounds, community space, work and storage areas, mechanical rooms, laundry and trash area as well as VHFA selected occupied units
- All vacant units will also be inspected for Exigent Health and Safety (EH&S) items and occupancy standards
- EH&S items completed immediately: Electrical Hazards, egress issues, mold, air quality, inoperable smoke detector or fire extinguishers, missing anti-tip devices/brackets on all ranges, fire doors not closing properly, inoperable emergency lights, plumbing leaks, lack of heat, inoperable vehicles or unregistered vehicles that have been issued a citation by management or other authority to be moved. Management to report completion within 72 hours.
- UPCS findings will be identified in the write up and per Section 42 of the IRS code: UPCS findings affect the property's final inspection rating and are reported to the IRS on Form 8823
- Other findings that VHFA will not report to the IRS under the UPCS:
 - Deficiencies that have been observed that either have not caused a condition deficient enough to require issuance of an 8823 or
 - Deficiencies that may affect the overall appearance or marketability of the property
 - Deficiencies are not reported to the IRS but still affect the properties overall inspection rating

- **Commonly Found Areas of Concern – Physical Inspections:**
 - Inoperable smoke detectors
 - Expired fire extinguishers
 - Inoperable exit light/emergency lights
 - Electric Box knockouts (Junction Box)
 - Missing cover plates
 - Expired furnace/boiler inspections
 - Egress issues
 - Plumbing – leaking faucet, missing aerator, missing sink stopper
 - Trip Hazards
 - Housekeeping/Infestations
 - Bed Bug notification

File Review Checklist:

- Review files to verify compliance with income and rent restrictions. All files including move-in, move-out and rejection for the year must be available.
- Information should be assembled in an orderly and consistent manner within the resident file. Forms required in the occupancy files:
 - Application-Date and time stamped (HUD, TC)
 - Student Eligibility (HUD,TC)
 - Race and Ethnicity Data (HUD 27061-H) (HUD)
 - Lead based paint certification (HUD)
 - Unit Inspection – at move in (HUD)
 - Lease (HUD and TC)
 - Lease Addendum and Amendments (HUD, TC)
 - VAWA Addendum (HUD,TC)
 - VAWA forms – Emergency Transfer Plan, etc. (HUD, TC)
 - Move in Tenant Income Certification (HUD, TC)
 - Annual Tenant Income Certifications (HUD, TC)
 - Verifications (HUD, TC)
 - Employment
 - Certification of Zero Income
 - Non-employment affidavit
 - Assets
 - Disability (HUD only)
 - Medical Expenses (HUD only)
 - Under \$5,000 Asset Certification (after first year) (TC)
 - Disposed of Assets Form (HUD, TC)
 - HUD 92006 – Supplement to Application for Federally Assisted Housing (HUD only)
 - Immigrant or citizenship status (HUD only)
 - Criminal and Drug Screening (HUD only)
 - Acknowledgement of Receipt of documents: (HUD only)
 - Resident Rights and Responsibilities
 - EIV and You Brochure
 - Fact Sheet on How Rent is Determined
 - Notices and Repayment Agreements (HUD only)
- **Commonly Found Areas of Concern** – File Reviews:
 - Household over income limit at move-in
 - Missing move-in application
 - Missing income certification – income not verified
 - Late verification – not within 120 days
 - Student Status – eligibility not-properly documented
 - Missing initial lease – initial lease must be at least 6 months
 - Change in household composition within the initial lease term
 - Missing or inadequate recertification or questionnaires
 - Late recertifications (more than 12 months)
 - Missing or incomplete 3rd party verification without follow up documentation
 - Income/Asset/Rent calculation errors