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