

SUMMARY

Date of On-site Review: 9/18/2015	Date of Report: 10/16/2015	Project Number: 02244031	Contract Number: ME36L000006, ME36M000025
Section of the Act Section 8	Name of Owner: Codman-Portland Associates	Project Name: DANFORTH HEIGHTS	Project Address 48 Salem Street Portland, ME 04102
Loan Status: <input type="checkbox"/> Insured <input checked="" type="checkbox"/> HUD-Held <input type="checkbox"/> Non-Insured <input type="checkbox"/> Co-Insured	Contract Administrator <input type="checkbox"/> HUD <input type="checkbox"/> CA <input checked="" type="checkbox"/> PBCA	Type of Subsidy <input checked="" type="checkbox"/> Section 8 <input type="checkbox"/> PAC <input type="checkbox"/> Section 236 <input type="checkbox"/> Section 221(d)(3) BMIR <input type="checkbox"/> Rent Supplement <input type="checkbox"/> RAP <input type="checkbox"/> PRAC <input type="checkbox"/> Unsubsidized	Type of Housing <input checked="" type="checkbox"/> Family <input type="checkbox"/> Disabled <input type="checkbox"/> Elderly <input type="checkbox"/> Elderly/Disabled <input type="checkbox"/> Other (Specify)

For each applicable category, assess the overall performance by checking the appropriate column. Indicate A (Acceptable) or C (Corrective action required). Include target completion dates (TCD) for all corrective action items. For those items not applicable, place N/A in the TCD column.

	A	C	TCD	
A. General Appearance and Security				Enter a score between 1 and 100 for the General Appearance and Security Rating. If this Section was not reviewed, enter 0.
1. General Appearance	<input checked="" type="checkbox"/>	<input type="checkbox"/>		<u>85</u> is 10% of the overall score. This category is rated Above Average
2. Security	<input checked="" type="checkbox"/>	<input type="checkbox"/>		
B. Follow-up and Monitoring of Project Inspections				Enter a score between 1 and 100 for the Follow-up and Monitoring of Project Inspections Rating. If this Section was not reviewed, enter 0.
3. Follow-up and Monitoring of Last Physical Inspection and Observations	<input checked="" type="checkbox"/>	<input type="checkbox"/>		<u>85</u> is 10% of the overall score. This category is rated Above Average
4. Follow-Up and Monitoring of Lead-Based Paint Inspection	<input checked="" type="checkbox"/>	<input type="checkbox"/>		
C. Maintenance and Standard Operating Procedures				Enter a score between 1 and 100 for the Maintenance and Standard Operating Procedures Rating. If this Section was not reviewed, enter 0.
5. Maintenance	<input checked="" type="checkbox"/>	<input type="checkbox"/>		<u>85</u> is 10% of the overall score. This category is rated Above Average
6. Vacancy and Turnover	<input checked="" type="checkbox"/>	<input type="checkbox"/>		
7. Energy Conservation	<input checked="" type="checkbox"/>	<input type="checkbox"/>		
D. Financial Management/Procurement				Enter a score between 1 and 100 for the Financial Management/Procurement Rating. If this Section was not reviewed, enter 0.
8. Budget Management	<input type="checkbox"/>	<input type="checkbox"/>		<u> </u> is 25% of the overall score. This category is rated Not Available
9. Cash Controls	<input type="checkbox"/>	<input type="checkbox"/>		
10. Cost Controls	<input type="checkbox"/>	<input type="checkbox"/>		
11. Procurement Controls	<input type="checkbox"/>	<input type="checkbox"/>		
12. Accounts Receivable/Payable	<input type="checkbox"/>	<input type="checkbox"/>		
13. Accounting and Bookkeeping	<input type="checkbox"/>	<input type="checkbox"/>		
E. Leasing and Occupancy				Enter a score between 1 and 100 for the Leasing and Occupancy Rating. If this Section was not reviewed, enter 0.
14. Application Processing/ Tenant Selection	<input checked="" type="checkbox"/>	<input type="checkbox"/>		<u>85</u> is 25% of the overall score. This category is rated Above Average
15. Leases and Deposits	<input checked="" type="checkbox"/>	<input type="checkbox"/>		
16. Eviction/Termination of Assistance Procedures	<input checked="" type="checkbox"/>	<input type="checkbox"/>		
17. Enterprise Income Verification (EIV) System Access and Security Compliance	<input checked="" type="checkbox"/>	<input type="checkbox"/>		
18. Compliance with using EIV Data and Reports	<input type="checkbox"/>	<input checked="" type="checkbox"/>	11/13/2015	
19. Tenant Rental Assistance Certification System (TRACS) Monitoring and Compliance	<input checked="" type="checkbox"/>	<input type="checkbox"/>		
20. TRACS Security Requirements	<input checked="" type="checkbox"/>	<input type="checkbox"/>		
21. Tenant File Security	<input checked="" type="checkbox"/>	<input type="checkbox"/>		
22. Summary of Tenant File Review	<input type="checkbox"/>	<input checked="" type="checkbox"/>	11/13/2015	
F. Tenant/Management Relation:				Enter a score between 1 and 100 for the Tenant Services Rating. If this Section was not reviewed, enter 0.
23. Tenant Concerns	<input checked="" type="checkbox"/>	<input type="checkbox"/>		<u>75</u> is 10% of the overall score. This category is rated Satisfactory
24. Provision of Tenant Services	<input checked="" type="checkbox"/>	<input type="checkbox"/>		
G. General Management Practices				Enter a score between 1 and 100 for the General Management Practices Rating. If this Section was not reviewed, enter 0.
25. General Management Operations	<input checked="" type="checkbox"/>	<input type="checkbox"/>		<u>85</u> is 10% of the overall score. This category is rated Above Average
26. Owner/Agent Participation	<input checked="" type="checkbox"/>	<input type="checkbox"/>		
27. Staffing and personnel Practices	<input checked="" type="checkbox"/>	<input type="checkbox"/>		

Overall Rating: Superior Above Average Satisfactory Below Average Unsatisfactory 84 Overall Score.

To calculate the overall score: multiply the derived performance value by the assigned percentage of the overall rating for each category. Once all tested categories have been calculated based on the performance indicator and performance indicator values, the total calculated points is divided by the total percentage of overall rating and rounded to the nearest whole number.
For convenience, a utility is included with this form which will perform all the necessary calculations.

Name and Title of Person Preparing this Report (Please type or print)
Signature: William Kuhl, Asset Manager
Date: 10/16/2015

Name and Title of Person Approving this Report (Please type or print)
Signature: Judith Gilbert, Asset Manager
Date: 10/16/2015

NOTE: If this review is conducted by a CA or PBCA as indicated above, the overall rating reflects a review as it relates to compliance with the Housing Assistance Payment Contract (HAP) only

SUMMARY REPORT - FINDINGS

For each "C" item checked on the summary report, reference the appropriate citing, and target completion date. Findings must include the condition, criteria, cause, effect and required corrective action:

- The condition describes the problem or deficiency
- The criteria cites the statutory, regulatory or administrative requirements that were not met
- The cause explains why the condition occurred
- The effect describes what happened because of the condition

Corrective actions are required for all findings.

Item Number	Finding	Target Completion Date
E 18	<p>REPEAT FINDING</p> <p>CONDITION: Owner/manager did not review the EIV Existing Tenant Search for the tenants in <u>Unit #226 D. Gebremariam.</u></p> <p>CRITERIA: HUD Notice 2013-06 and HUD Handbook 4350.3, Rev -1, Chg 4, Section 9-12, A</p> <p>CAUSE: Management oversight.</p> <p>EFFECT: Failure to comply with program requirements.</p> <p>REQUIRED CORRECTIVE ACTION: Certify to MaineHousing within 30 days that in the future, as a general management practice, the EIV Existing Tenant Search will be used as a screening criteria as described in the tenant selection plan.</p>	
E 22 c iv	<p>CONDITION: The following required attachments to the lease were not found in the tenant file for unit <u>#156 I. Osman</u> : Required State Agency Lease Addendum.</p> <p>CRITERIA: HUD Handbook 4350.3, Rev-1, Chg. 4, Section 6-5, A,3</p> <p>CAUSE: Management Oversight</p> <p>EFFECT: Non-compliance with HUD regulations</p> <p>REQUIRED CORRECTIVE ACTION: Obtain signed copies of the forms required and provide MaineHousing with certification within 30 days that this has been done. Also within 30 days certify to MaineHousing that procedures have been implemented to insure that all required attachments will be filed with the lease.</p>	11/13/2015
Observations	<p>Files selected for this review were the following: Rejected Applicants; D. Koromanian, T. Gadbois. Move-outs; Y. Shuper #207 (12/4/14), P. Gould #209 (10/15/14), A. Mohammed #114 (2/28/15), M. Sharif #249 (8/28/15). Move-Ins, A. Hussein #132 (4/1/15), I. Osman #156 (8/18/15), F. Mohammed #124 (3/1/15). Annual Recertifications, A. Zabiullah #100 (10/1/15), B. Gillam #207 (1/1/15), M. Fowler #104 (5/1/15). Interim Corrections, D. Gebremariam #226 (6/1/15).</p>	
Observations	<p>A site walk around was done on Sept. 18, 2015 and the property, as a whole, was found to be in good condition. Building exteriors, roofs and landscaping were well maintained.</p> <p>At the time of the Review there was on vacant unit that was in the midst of turnover (#401). There were no outstanding items from prior REAC inspections.</p>	
Observations	<p>This property employs an RSC on an as needed basis.</p>	

Observations	During the Review it was noted that some of the older files are missing their original documentation (e.g. application) from the tenant's move-in. Management explained that some years ago the files had been reorganized and some of the documents had been purged in error. That practice has been discontinued.	
Observations	During the Review it was noted that some of the Recertification Questionnaires were not asking about Student Status, even though the question had been asked on the Application. Management has stated that they have phased out that questionnaire and the new version does ask the Student Question.	
Observations	It was noted that some of the units at the project are over, or under, utilized and normal circumstances the tenants in those units should be moved to appropriately sized units. Management explained that they have an Internal Waiting List policy designed to deal with such issues and that the 1,3, and 4 bedroom lists are now closed so that tenants can be moved as units open up by attrition.	

PART I. DESK REVIEW - The Reviewer must complete this section **prior** to the on-site review using all relevant information in project files and HUD database systems. Questions on the desk review, which include category references, are linked to the on site review. Category references on the desk review that relate to the on-site review must be considered when determining the category rating. Category references are marked following the applicable question (i.e. B3, E14)

If any questions on any given form are not relevant to the program under review or if the information is not available notate with "N/A".

1. What is the most recent Physical Assessment Subsystem (PASS) score? **B3**
 Enter PASS Score 92b Date of REAC inspection 12/18/2012
 If required, has the project filed a certification that all items listed on the previous REAC inspection have been completed? Yes No
 If more than one inspection is of record, does the reviewer note repetitive defects? Yes No

Comments:
 2. Were Exigent Health and Safety (EH&S) conditions cited in the report? **B3** Yes No N/A
 Comments: Cleared

3. Have all latent defects been corrected? *This question applies only to newly constructed projects within the last 24 months.* Yes No N/A
This question applies only to HUD Staff and Mortgagees.
 If not, list depository and amount of any construction escrows remaining. _____
 Comments:

Questions 4 through 6 only apply to subsidized family properties or elderly properties housing children under the age of six that were constructed prior to 1978. If the lead based paint inspection has been conducted and the information was documented on the previous management review, proceed to question 7.

4. Document year of construction for Lead-Based Paint compliance.
Obtain this information from the Physical Condition/PASS screen in iREMS Open the REAC Inspection Report, then open the PASS Physical Inspection Report. The year of construction can be found under Buildings/Units.
 Date of Construction 1/1/1974 If construction occurred after 1977, proceed to question 7.

5. Has a lead-based paint inspection been conducted? **4B** Yes No Information Not Available
 Comments:

6. What were the results of the Lead-Based Paint Inspection/Evaluation? **4B**
 Was lead found? Yes No N/A
 If yes, is there a HUD approved lead hazard control plan? Yes No N/A
 Comments: Lead was found on a mailbox owned by USPS. All other areas lead free.

7. Is an Annual Financial Statement required? (If no, proceed to question 10). Yes No
This question applies only to HUD Staff.
 Comments:

8. What was the most recent Financial Assessment Subsystem (FASS) score? _____
This question applies only to HUD Staff.
 If financial reporting is not required determine why; and record in reviewer comments below.
 Comments:

9. Have the following reports been consistently submitted on a timely basis? (Look at multiple periods) Check the appropriate box for reports received, and indicate whether or not the report was received timely.
This question applies only to HUD Staff and Mortgagees.

<input type="checkbox"/> Annual Audited Financial Statement	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
Date last report was due: _____			
Date last report was received: _____			
<input type="checkbox"/> Monthly Accounting Report	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
<input type="checkbox"/> Excess Income Report (HUD-93479, 80, 81)	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
<input type="checkbox"/> Quarterly performance report for projects on flexible subsidy, modification, workout, etc.	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
<input type="checkbox"/> Annual Operating budget (cooperatives)	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
If the reports have been submitted, were they received in acceptable form?	Yes <input type="checkbox"/>	No <input type="checkbox"/>	

Comments:

10. Has the owner corrected all findings on HUD financial and/or Inspector General audits? Yes No N/A
This question applies only to HUD Staff and Mortgagees.
 List findings outstanding and determine whether remedial action is required to assure correction within established goals:

 Comments:

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Office of Housing - Federal Housing Commissioner

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11. Do project operating expenses appear reasonable compared with similar projects? **D10** Yes No

This question applies only to HUD Staff.

Indicate latest OPIIS rating and check problem areas flagged by OPIIS.

Administrative Maintenance Utility Taxes and Insurance Financial

Also, use OPIIS to conduct an expense comparison.

Comments:

12. Does annual financial analysis or FASS printout indicate that project is free of actual or potential financial problems? Yes No

This question applies only to HUD Staff

For each of last 3 years, enter Profit (Loss) before depreciation (from the Statement of Profit & Loss).

Year
_____ \$ _____
_____ \$ _____
_____ \$ _____

Comments:

13. If the owner/agent has taken unauthorized distributions, reimbursements, or supervision fees, have these been repaid? Yes No

This question applies only to HUD Staff and Mortgagees.

If no, indicate amount due to the project. _____

14. If applicable, have all deposits due to the residual receipts fund been made? Yes No

This question applies only to HUD Staff.

Comments:

15. Based on the last FASS submission, are accounts payable reasonably current? **D12** Yes No

This question applies only to HUD Staff and Mortgagees.

Indicate the amount of accounts payable more than 60 days old: \$ _____

Comments:

16. Does the balance in the security deposit trust account equal or exceed the project's liability account? Yes No

This question applies only to HUD Staff and Mortgagees.

If no, explain how deficit will be funded.

Comments:

17. If security deposits are invested in an interest-bearing account, is interest passed through to tenants or transferred to project account? Yes No

This question applies only to HUD Staff and Mortgagees.

Comments:

18. Have the owner and managing agent executed and submitted an appropriate Management Certification (form HUD-9839A, B, or C) to HUD? Yes No

This question applies only to HUD Staff and Mortgagees.

If yes, please enter date of certification. _____

Determine that the content of certification is consistent with present operations.

Comments:

19. Is the management fee paid to the agent in accordance with the management certification? Yes No

This question applies only to HUD Staff and Mortgagees.

Comments:

20. Has the owner and management agent executed a management agreement in accordance with the management certification? Yes No

This question applies only to HUD Staff and Mortgagees.

Comments:

21. Does the management agreement reflect HUD's regulations and guidelines? Yes No N/A

This question applies only to HUD Staff and Mortgagees.

Comments:

22. Has management entity profile been submitted to HUD? Yes No

This question applies only to HUD Staff and Mortgagees.

If yes, is it relevant to the agent's organization and how it operates? Yes No

Date of management entity profile _____

23. Do the Management Entity Profile and Management Certifications clearly describe the relationships and responsibilities of the owner and agent? Yes No

This question applies only to HUD Staff and Mortgagees.

Determine if management is by an identity-of-interest contractor, and compare the contract arrangement to the annual financial report.

Comments:

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24. Have the principals and board members listed received HUD-2530 approval? Yes No N/A

This question applies only to HUD Staff.

Request a list of all current principals and board members and check for HUD-2530 .

Comments:

25. Is the agent charging the project for expenses which the agreement requires the agent to pay? Yes No

This question applies only to HUD Staff and Mortgagees.

Comments:

Questions 26-29 apply to OAHP restructuring. If not applicable proceed to question 30.

26. Has the project's mortgage been restructured? Yes No

This question applies only to HUD Staff.

If yes, is there a use agreement on the project? Yes No

If there is a use agreement, does it require any owner certifications? Yes No

If owner certifications are required, have they been submitted timely? Yes No

If applicable, has work required under the Rehabilitation Escrow been/is being completed according to schedule? Yes No

Comments:

27. Is the owner eligible for incentives? Yes No

This question applies only to HUD Staff

If yes, has the owner calculated those incentives correctly? (i.e., Capital Recovery Fee (CRF) and/or Incentive Performance Fee (IPF)) Yes No

Comments:

28. Does the HUD billing statement (HUD-92771) indicate timely and accurate payments toward the Mortgage Restructuring Note? Yes No

This question applies only to HUD Staff

Comments:

29. If an owner is in non-compliance with HUD business agreements, has the owner been notified by HUD within the required timeframes? Yes No

This question applies only to HUD Staff.

Comments:

Question 30 through 33 apply to Section 236 projects. If this is not a Section 236 project proceed to question 34.

30. Does the rental income generate excess income? Yes No N/A

This question applies only to HUD Staff

Comments:

31. Has the owner/agent received approval to retain excess income? **D13** Yes No

(This question applies only to HUD Staff)

Comments:

32. Was an annual report submitted for usage of retained excess income? **D13** Yes No

(This question applies only to HUD Staff)

Comments:

33. Are there any delinquent excess income payments due HUD? **D13** Yes No

(This question applies only to HUD Staff)

If yes, is there a payment plan? Yes No

Comments:

34. Are rent increase requests submitted to HUD promptly when needed? Yes No

(This question applies only to HUD Staff)

Review the timing of the last three rent increase requests and the results of the requests (approval, denial or modification to requested amount) and whether the rents are comparable to other neighboring properties. If a wide disparity exists, determine the cause of the difference.

Does owner/agent generally provide sufficient documentation for rent increases? Yes No

Comments:

35. If approval is required, are rent increase requests submitted promptly? Yes No N/A

Comments: Date Due: 05/4/2015 Rec'd: 04/03/2015 OCAF Expiration date: 8/31/2035

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36. Complete chart below. *(This question applies only to HUD Staff/Mortgagees)*

Name of Reserve	As of			Held in Interest Bearing Account	
	Total	Per Unit	Monthly Deposit	Yes	No
Replacement Reserve	\$	\$	\$	<input type="checkbox"/>	<input type="checkbox"/>
General Operating Reserve (Co-ops)	\$	\$	\$	<input type="checkbox"/>	<input checked="" type="checkbox"/>
Residual Receipts	\$	\$	\$	<input type="checkbox"/>	<input checked="" type="checkbox"/>
Other	\$	\$	\$	<input type="checkbox"/>	<input checked="" type="checkbox"/>

a. Do balances in replacement or general operating reserve accounts appear adequate to meet future needs? Yes No
If not, what action is recommended?

b. Are repairs consistently paid from the appropriate operating expense account, and eligible items reimbursed from the reserves? Yes No

Comments:

37. Has the owner/agent performed analysis to determine future Reserve for Replacement needs when submitting a budget based rent increase? Yes No

Comments: N/A

38. If there is a utility allowance, what was the effective date of last utility allowance adjustment? _____
What was the date of approval? _____

If a utility allowance was approved was it implemented in accordance with HUD guidelines? Yes No

Comments: N/A

39. What is the effective date of the last rent adjustment? 9/1/2015

Comments:

40. Is the current approved rent schedule sufficient to meet project needs? Yes No

This question applies only to HUD Staff

Comments:

41. Has a special rent increase been approved? Yes No N/A

If yes, please check the appropriate box. Insurance Taxes Utilities Security Service Coordinator

Comments:

42. Are monthly rental subsidy vouchers submitted on time? Yes No N/A

Comments: 0 of 12 Monthly Rental Subsidy Vouchers were not submitted on or before the 10th of the month

43. Is the owner/agent submitting tenant certification data to TRACS to support the voucher billings? Yes No N/A

Comments: 9 of 12 have discrepancies: Total discrepancies: (\$3,048)

44. Is the owner/agent transmitting data for Section 236 and Section 221(d)(3) BMIR tenants to TRACS as required by the automation rule? Yes No N/A

Comments:

45. What is the term of the subsidy contract? 9/1/1992 Date the contract term ends: 8/31/2015

Comments:

46. List vacancy activity for the past twelve months and indicate the number for each month. **C6**

This information can be obtained from the TRACS Voucher Detail Summary

JAN	FEB	MAR	APR	MAY	JUNE	JULY	AUG	SEPT	OCT	NOV	DEC
14	15	15	15	13	13	13	14	14	12	12	15

47. Does review of the EIV reports listed below include information that needs a resolution or explanation by the owner/agent? E18b

Income Discrepancy Report? Yes No
 New Hires Report Yes No
 Failed EIV Pre-Screening Report? Yes No
 Failed Verification Report (Failed the SSA Identity Test) Yes No
 Deceased Tenant Report? Yes No
 Multiple Subsidy Report? Yes No

Comments:

48. Is there a Neighborhood Networks Center for the project? (Check iREMS or other available source) Yes No N/A

If no, answer "N/A" and proceed to 50.

Comments: Neighborhood Network Center - Unconfirmed per iREMS

49. If yes to question 48, does the Neighborhood Networks Center have a Strategic Tracking and Reporting Tool (START) Business Plan? Yes No

If yes, date HUD approved: _____
 If no, when will a START Business Plan be completed? _____
 Projected date for START Business Plan: _____

Comments:

50. Are there any unresolved findings from previous management reviews? If yes, specify in the comments section. Yes No

Comments:

51. Review complaints, congressional inquiries, etc. received within the last 12 months regarding the overall management practices. Provide a general description below and attach applicable documentation. **G25**

Issue/Complaint	Status
None Found	

PART II - ON SITE REVIEW

Indicate by marking the appropriate box - Yes, No, or N/A if not applicable. Provide comments as needed

CATEGORY A. GENERAL APPEARANCE & SECURITY

1. General Appearance

1. Based on observation, are the project's exterior and common areas (i.e. grounds, landscaping, parking lots, playgrounds, hallways, laundry room, elevator, garbage area, stairwells, management office) clean, free of graffiti, debris and damage?

Yes No N/A

If no, provide location and describe condition(s).

Comments:

2. Security

a. Indicate whether any of the events below have been documented in the last twelve months and the frequency of the event(s).

Event	Frequency	Event	Frequency
<input type="checkbox"/> Break-Ins		<input type="checkbox"/> Arrests	
<input checked="" type="checkbox"/> Vandalism	Tagging occasionally	<input type="checkbox"/> Drug Activity	
<input type="checkbox"/> Auto Theft		<input type="checkbox"/> Other (please specify)	
<input type="checkbox"/> Personal Assaults		<input type="checkbox"/> None	

Comments:

b. Indicate which types of security measures, if any, are utilized on site.

- Tenant Patrol
- Police Patrol
- Motion Sensors
- Other (please specify) See comments
- Volunteer Organization
- TV Monitor
- Crime Prevention Plan
- Paid Car Patrol
- Drug Free Housing Plan
- Community Policing
- None
- Paid on-site Guard
- Security Cameras

Comments: **Self Locking Doors throughout the property.**

c. Based on the answers provided in questions a and b above, what corrective actions, if any, have been taken by the owner/agent?

Comments: **None needed.**

d. Has the owner/agent requested a rent increase based on cost increases in security costs?

Yes No

If yes, indicate security measures taken.

Comments:

CATEGORY B. FOLLOW-UP & MONITORING OF PROJECT INSPECTIONS

3. Follow-Up & Monitoring of Project Inspections and Observations (Sampling is at reviewer's discretion to respond to questions a and b below)

a. Based on a sampling, if EH&S items were identified have the deficiencies been corrected and documented according to the owner/agent's certification for the most recent REAC inspection?

Yes No N/A

If no, provide explanation.

Does the analysis show any repetitive or systemic problems?

Yes No

Comments:

b. Based on a sampling of units and common areas, for all other deficiencies noted in the REAC inspection, as applicable, verify that corrective actions have been taken. Have the deficiencies been corrected?

Yes No N/A

If no, is there a schedule for correcting the deficiencies within a reasonable timeframe to comply with decent, safe, sanitary and good repair standards?

Yes No

Comments: **REAC conducted 12/18/12 received a score of 92b.**

4. Follow-Up & Monitoring of Lead-Based Paint Inspection - The following questions only apply to subsidized family properties or elderly properties housing children under six years of age that were constructed prior to 1978. If constructed after 1977, check N/A for question a and b.

a. Is there a certification on file documenting that the project has been certified to be free of lead-based paint or lead hazards?

If there is a certification, obtain a copy for the project file.

Yes No N/A

Comments: **Certification on file.**

b. Is the owner in compliance with the HUD approved lead hazard control plan as noted on the desk review?

Yes No N/A

Comments:

CATEGORY C. MAINTENANCE & STANDARD OPERATING PROCEDURES

5. Maintenance

a. Indicate below to confirm that there is a schedule for preventive maintenance/servicing for the items listed that are applicable.

- Heating and A/C Equipment Water Heaters Carpets and Drapes Roof, gutter and Fascia Inspection
 Major Appliances Elevators Motor Vehicles Sewer lines Exterior painting Windows
 Recreational equipment Landscaping maintenance Other (please specify):

Comments:

b. Is there a satisfactory inventory system to account for tools, equipment, supplies, and keys (serial numbers, bar codes, etc.)?

Yes No

Comments:

c. Has the owner/agent secured inventory items, such as appliances and tools, to prevent theft?

Yes No

Comments:

d. Does the owner/agent have a written procedure that explains the process for inspecting units?

Yes No

If yes, review a copy.

Identify employee responsible for conducting inspection: Name and Title: _____

Comments: Cynde Dunn, Property Manager, Al Buck, Superintendent, John Desjardins, Senior Property Manager.

e. How often are units inspected?

- Monthly Quarterly Semi-Annually Annually Move-In Move-Out Other (please specify):

Comments: Special circumstances.

f. How are unit inspections documented?

Please Describe: A copy of the inspection form is placed in the tenant file.

g. If deficiencies are noted during a unit inspection, what is the procedure for correction?

Please describe: A work order is generated and assigned to the appropriate maintenance personnel.

h. What is the average number of days from move-out until the unit is ready for occupancy? 5

Comments: Per HDS Maintenance & Vacancy Report: 1 bedroom = 5 days; 2 bedroom = 35 days; 3 bedroom = 14 days; 4 bedroom = 12 days.

i. Is there a written procedure for completing work orders?

Yes No

If yes, review a copy.

Comments:

j. Is there a procedure in place to handle emergency work orders?

Yes No

If yes, describe the procedure: Corporate policy.

k. Is there a backlog of work orders?

Yes No

If a backlog exists, indicate the current number of work orders:

Number between 1-3 days: 3 Number between 4-7 days: 7 Number more than one week: 6

Comments:

l. Who is provided copies of completed work orders? (check all that apply.)

- Tenant Tenant File Maintenance Staff Other (please specify) _____

Comments:

m. Is there documentation by unit that indicates the date of purchase, manufacturer, model, and serial number for appliance purchases (i.e., ranges, refrigerators, furnaces, air conditioners, hot water heaters, etc.)?

Yes No

Comments:

6. Vacancy and Turnover

a. How many units were vacant on the date of the on-site visit?

Number of Vacant Units: 1 Number Ready for Occupancy: 0 Average Length of time for unit turnover: 5

Comments:

b. Walk through at least two vacant units that are ready for occupancy. Assess and document unit readiness

Number of Units Visited: 1 Number of Units Ready for Occupancy: 0 Number of Units Not Ready for Occupancy: 1

Comments:

c. Based on the interview with on-site staff, are any of the factors listed below contributing to vacancy problems? (Below, indicate all that apply.)

- Security Problems Non-competitive Amenities Inadequate Marketing Project Reputation Poor Maintenance Rents too High
 Location Lack of Demand Tenant/Management Relations Applicants Do Not Meet Screening Criteria
 Other (please specify) _____
 Bedroom Mix/Size (If yes, indicate which bedroom sizes are hard to rent) _____

Comments: **N/A. This property rarely has vacancies.**

d. Based on the responses in questions a, b, and c, what actions are being taken by the owner/agent to resolve the issue(s)?

If not applicable, proceed to question 7.

Please describe: **N/A**

7. Energy Conservation

Has management attempted to reduce energy consumption? Yes No

(Check all that apply.)

- Caulking and weather-stripping Conversion to individual metering Storm doors and windows Consumer education
 Water saver devices Extra Insulation Assessment of Utility Rate Schedule Energy Efficient Lighting Energy Star Appliances
 Written Energy Conservation Plan Other (please specify) _____ None

Comments: **LED lighting, Low-flow toilets and faucets.**

CATEGORY D. FINANCIAL MANAGEMENT/PROCUREMENT

(This section applies only to HUD Staff and/or Mortgagees as indicated. CAs may proceed to Section E.)

8. Budget Management

a. Does the owner/agent's staff have access to the current operating budget to monitor and control expenses? Yes No N/A

Comments:

b. Is an operating budget prepared annually and approved by the owner? Yes No N/A

If yes, obtain a copy of the current year's budget.

Comments:

c. Are monthly or quarterly reports prepared by the owner/agent indicating variances between actual income and expenses versus budgeted income and expenses? Yes No N/A

Comments:

d. If this is a 202 or 811 project, does the owner/agent maintain a current annual budget? Yes No N/A

This question applies only to HUD Staff.

If yes, is it available on-site? Yes No

Comments:

9. Cash Controls

a. Are collections deposited on the day received or, pending deposit, are they secured and properly controlled? Yes No

Comments:

b. Are adequate controls in place when cash is accepted? Yes No N/A

Check the controls that are used.

- Pre-numbered rent receipts Bank Collections Safe Lock Box

Comments:

c. Do different persons handle bank deposits and accounts receivable, or is an alternative safeguard used? Yes No

Indicate Names and Titles:

Comments:

d. Are all disbursement checks prenumbered, properly identified with account numbers and supported by vouchers or invoices? Yes No

Comments:

e. Is the supply of unused checks adequately safeguarded, or under the custody of persons who do not sign checks manually, control the use of facsimile signature plates, or operate the facsimile signature machine? Yes No

Comments:

f. Are funds (receipts, disbursements, petty cash, etc.) periodically checked on a surprise basis by a responsible official, other than site employees?
Yes No

Comments:

g. Are bank statements reconciled promptly upon receipt by someone other than check signer, and by one who has no cash receipt or disbursement function?
Yes No

Comments:

10. Cost Controls

a. Are bills, including the mortgage payment, paid in sufficient time to avoid late penalties?
Yes No

Comments:

b. Are operating expenses, including taxes and utilities, periodically reviewed to assure that project is paying the lowest possible rate?
Yes No

If yes, provide a recent example:

11. Procurement Controls

a. What is the procedure used to obtain and award contracts?

Describe procedure:

b. Are bids obtained prior to awarding contracts?
Yes No N/A

Review contracts and determine if bids were obtained and, if the lowest bids were not selected, determine the owner's/agent's reasoning for selection.

Comments:

c. Is there a written procedure for checking the quality of work performed by a contractor prior to authorizing payment?
Yes No

Comments:

d. Is there a procedure to assure that the individual authorizing contracted work or services is not the same individual authorizing payment?
Yes No

Comments:

e. Who is the responsible person charged with inspecting the quality of work performed by contractors prior to payment?

Please provide name and title:

f. Does the project maintain a list of outside contractors?
Yes No

Comments:

g. Are vendor bills paid in time to obtain maximum trade discounts?
Yes No

Comments:

h. Is there any indication that real or personal property has been subtracted from the mortgaged premises without the permission of the Department?
Yes No

Comments:

i. Below, check services currently contracted with outside contractors and provide the name of the contractor and annual amount of the contract.

Indicate (by asterisk) whether there is an identify-of-interest relationship between the contractor and the owner/agent

Service	Name of Contractor	Annual Contract Amount
<input type="checkbox"/> Elevator		
<input type="checkbox"/> Exterminating		
<input type="checkbox"/> Apartment Cleaning		
<input type="checkbox"/> Heating and A/C		
<input type="checkbox"/> Plumbing		
<input type="checkbox"/> Security		
<input type="checkbox"/> Trash Collection		
<input type="checkbox"/> Decorating		
<input type="checkbox"/> Grounds		
<input type="checkbox"/> Other		

Comments:

12. Accounts Receivable/Payable

a. Complete the following as of end of last month.

Cash \$ _____ Accounts Receivable \$ _____ Accounts Payable \$ _____

Are tenant accounts receivable within acceptable limits of 10% of one month's rent potential? Yes No

Amount of receivables above is _____ % of monthly rent potential.

Of this amount, \$ _____ is more than 30 days past due.

Comments:

b. Does the procedure for write-off of bad debts appear reasonable?

Yes No

Comments:

c. Has annual "write-off of tenants' accounts receivable for the last two fiscal years been less than 1% of gross rents potential?

Yes No

Comments:

d. Are accounts payable reasonably current?

Yes No

Indicate amount of accounts payable more than 60 days old: _____

What are the owner/agent plans to reduce outstanding payables? _____

Comments:

13. Accounting and Bookkeeping

a. Are books and records maintained as required by HUD Handbook 4370.2 (Chapter 4) and 24 CFR Part 5?

Yes No N/A

Check books of accounts that are maintained. Indicate where books may be examined.

O - owner's office; **AA** - agent's office; **P** - project site

General Ledger () Rent Receivable Ledger () General Journal ()
 Cash Receipts Journal () Cash Disbursements Journal () Accounts Payable Journal ()

Comments:

b. Are all required project accounts in the name of the project in a federally insured institution?

Yes No

Comments:

c. Are operating funds, security deposits, reserve funds, and flexible subsidy funds maintained in separate accounts and properly secured for authorized use?

Yes No

Comments:

d. Does the mortgagor make frequent postings (at least monthly) to the ledger accounts?

Yes No

Comments:

e. If applicable is owner adhering to HUD-approved repayment Plan? (loan from reserve for replacement, 236 excess income, capital improvement loan, etc).

Yes No

Comments:

f. Is centralized accounting used for disbursements?

Yes No

If yes, are only HUD-insured projects in the pool?

Yes No

Comments:

g. If centralized accounting is used, has it been approved by HUD?

Yes No N/A

Comments:

h. If centralized accounting is used, is it being administered in accordance with HUD's approval?

Yes No N/A

Comments:

i. If the trust account is part of a centralized disbursement account, are only HUD-insured projects in that account?

Yes No

If yes, is the project's balance transferred to the project account at least once monthly?

Yes No

Comments:

j. If there are automobiles and/or debit or credit cards charged to the project, are the titles kept in the name of the project?

Yes No

If yes, do they have HUD approval?

Yes No

Comments:

PROCEED TO PAGE 8 OF 19 FOR CATEGORY E. LEASING AND OCCUPANCY

CATEGORY E. LEASING AND OCCUPANCY (This Section does not apply to Mortgagees,

14. Application Processing/Tenant Selection

a. Does the application form contain sufficient information to determine applicant eligibility?

Yes No

Comments:

b. Does the application ask whether the applicant or any member of the applicant's household is subject to a lifetime state sex offender registration program in any state? Yes No

Comments:

c. Does the application ask for a listing of states where the applicant and members of the applicant's household have resided? Yes No

Comments:

d. Is form HUD-92006 "Supplement to Application for Federally Assisted Housing", an attachment to the application or part of the application package? Yes No

Comments:

e. Is there an arms length procedure between the person who denies an application and the application appeal reviewer? Yes No

Comments:

f. Has the owner/agent leased a Section 8 unit to a police officer or security personnel who is over the income limits for the project?

If yes, has HUD or CA authorized the admission?

Yes No
 Yes No

Comments:

g. Does the owner/agent have a written tenant selection plan? Yes No

If yes, does the plan include all required criteria stated in Chapter 4, Handbook 4350.3 REV-1 and all applicable notices?

If no, list the required criteria that the tenant selection plan does not include:

Yes No N/A

Comments:

h. Does the project maintain a waiting list of prospective tenants? Yes No N/A

If yes, does the list include all required elements as stated in Handbook 4350.3 REV-1?

Yes No

Comments:

i. Enter the number of applicants on the waiting list for each type of unit 0BR 1BR 2 2BR 82 3BR 0 4BR 0 Other:

Comments:

j. Were the applicants selected from the waiting list in the proper order, recognizing applicable preferences? Yes No

Comments:

k. When preferences were applied, were they properly documented? Yes No N/A

Comments:

l. Is documentation available to show that the owner/agent has leased not less than 40% of the Section 8 units that became available for occupancy in the previous fiscal year to extremely low-income families?

If yes, please review and obtain a copy.

Yes No N/A

Comments: HDS FY 2014 - 62% ELI

m. What marketing steps has the owner/agent taken to attract extremely low-income families? If not applicable, proceed to question n.

Please describe:

Comments: Outreach to local non-profits and use of MySpace, MaineToday.com, and community groups.

n. Does the advertising program comply with the existing Affirmative Fair Housing Marketing Plan? Yes No

Request to see copies of advertisements.

Comments:

o. Is the fair housing sign posted in the rental office? Yes No

Comments:

p. Is the fair housing logo included in published advertising materials? Yes No

Comments:

15. Leases and Deposits

a. Have modifications been made to the HUD model lease? Yes No N/A

If yes, has the lease and/or lease addenda in use been approved by HUD?

This does not include lease addenda issued by HUD

Yes No N/A

Comments:

b. Aside from rents and security deposits, what other charges are assessed (replacement keys, lockouts, etc.)?

List the type and amount of any of these charges. AC \$45, Lockout after hours \$20 and washer/Dryer \$20, Keys \$5.

Comments:

c. If other charges aside from rents and security deposits are assessed, have they been approved by HUD? Yes No N/A

Comments: Prior to 2005.

d. Are rents collected in accordance with the provisions of the lease? Yes No

Comments:

e. Is the policy for late fee assessment in compliance with the Handbook 4350.3 REV-1 or with state/local requirements? Yes No

Comments:

f. Are damages caused by tenants properly identified and charged to tenants? Yes No

Comments:

16. Eviction/Termination of Assistance Procedures

a. Are tenants notified of termination of tenancy or assistance in accordance with HUD requirements? Yes No N/A

Comments:

b. Has the owner/agent pursued eviction or termination of assistance for all individuals subject to a lifetime sex offender registration requirement who were erroneously admitted after June 25, 2001? Yes No N/A

Comments:

c. Are eviction procedures initiated timely, when warranted? Yes No N/A

Please document the following:

Number of evictions completed during the last 12 months: 1

Average cost per eviction: \$500

Eviction handled by: Owner/Agent Attorney on staff of Owner/Agent Attorney on contract Attorney on call

NOTE: Addendum D must identify any eviction during the last 12 months which was due to a household member being subject to a state lifetime sex offender registration requirement.

Comments:

d. Is the termination of assistance initiated timely when warranted? Yes No N/A

Reason(s) for termination of assistance: Non payment of rent.

Comments:

17. Enterprise Income Verification (EIV) System Access and Security Compliance
Applies to subsidized properties only.

a. Does the owner/agent have access to EIV? Yes No

Comments:

b. Does the EIV Coordinator(s) have an owner approval letter(s) authorizing access to EIV? Yes No

Comments:

c. Does the owner/agent and/or EIV Coordinator have:
 • An initial and currently approved EIV Coordinator Access Authorization Form (CAAF) on file for each person designated by the owner as an EIV Coordinator? Yes No

• An initial and currently approved EIV User Access Authorization Form (UAAF) on file for each person designated by the EIV Coordinator as an EIV User? Yes No N/A

• Signed copies of the EIV Rules of Behavior for Individuals without access to the EIV system, who use EIV reports and/or data to perform their job functions? Yes No N/A

Comments:

d. Is there evidence that staff with access to the EIV system or to EIV reports take annual security awareness training? Yes No

Comments:

e. Does the owner/agent have security measures in place to limit access to EIV information and reports to only those persons who have proper authorization? Yes No

Comments:

f. Does the owner/agent have a procedure to review all EIV User IDs to periodically determine if the users still have a valid need to access EIV data? Yes No

Comments:

g. Does the owner/agent terminate access promptly (within 30 days) of all users who no longer have a valid need to access EIV data? Yes No

Comments:

h. Does the owner/agent have a procedure to document and report the occurrence of all improper disclosures of EIV data? Yes No
 Have any improper disclosures been reported to the owner/agent? Yes No
 Comments:

i. Does the owner/agent have a procedure to report any occurrence of unauthorized EIV access or security breach to the HUD National Help Desk? Yes No
 Have any occurrences of unauthorized EIV access or security breaches been reported? Yes No
 Comments:

j. Is there evidence that the owner/agent or any of their employees are sharing IDs and passwords? Yes No
 Comments:

k. Is EIV data being improperly shared with other entities (e.g., state officials monitoring LIHTC projects, RHS staff, or Service Coordinators not participating in the re-certification process)? Yes No
 Comments:

l. Does the owner/agent keep in the tenant file the Tenant Consent for Disclosure of EIV Information, signed by the tenant and a third party when a third party assists in the re-certification process? Yes No N/A
 Comments:

18. Compliance with Using EIV Data and Reports
Applies to subsidized properties only.

a. Does the owner/agent have policies and procedures describing the use of EIV employment and income information and the EIV reports? Yes No
 If yes, do they comply with HUD's usage requirements? Yes No N/A
 Comments:

b. Is the owner/agent using the following EIV reports, and taking appropriate action to correct discrepant data in TRACS, and/or to reduce improper subsidy payments and where applicable, retaining documentation to support the action(s)?

Summary Report	Yes <input type="checkbox"/>	No <input checked="" type="checkbox"/>
New Hires Report	Yes <input checked="" type="checkbox"/>	No <input type="checkbox"/>
No Income Report	Yes <input checked="" type="checkbox"/>	No <input type="checkbox"/>
Failed EIV Pre-screening Report	Yes <input checked="" type="checkbox"/>	No <input type="checkbox"/>
Failed Verification Report (Failed the SSA Identity Test)	Yes <input checked="" type="checkbox"/>	No <input type="checkbox"/>
Existing Tenant Search	Yes <input type="checkbox"/>	No <input checked="" type="checkbox"/>
Multiple Subsidy Report	Yes <input checked="" type="checkbox"/>	No <input type="checkbox"/>
Deceased Tenant Report	Yes <input checked="" type="checkbox"/>	No <input type="checkbox"/>

Comments: **See Findings**

19. TRACS Monitoring and Compliance (applies to subsidized properties only)

a. Is the owner/agent using TRACS queries to review and monitor their transmission? Yes No
 Comments:

b. Is the owner/agent following up and correcting deficiencies identified in TRACS data? Yes No
 Comments:

20. TRACS Security Requirements (applies to subsidized properties only)

a. Is the owner's/agent's "Rules of Behavior for TRACS" current (within last 12 months) and on file? Yes No
 Comments:

b. Is the owner's/agent's completed annual TRACS "Security Training Certificate" current, on file and dated within 30 days of the date of the "Rules of Behavior"? Yes No
 Comments:

21. Tenant File Security

a. Are the tenant files, as well as other files that contain EIV reports, if applicable, locked and secured in a confidential manner? Yes No
 Comments:

b. Is documentation relating to an individual's domestic violence, dating violence, or stalking, kept in a separate file in a secure location from other tenant files? **Applicable to Section 8 only.** Yes No N/A
 Comments:

c. Is access to tenant file information limited to only authorized staff? Yes No

Comments:

d. Who is authorized to have access to the tenant files? Name(s) and Title(s): **John Desjardins, Sr. Property Manager, Cynde Dunn, Property Manager, Phoebe Anderson-Kline, Admin Assistant.**

Comments:

e. Is the owner/agent maintaining tenant files according to HUD's document retention requirements? Yes No

Comments:

f. Is the owner/agent properly disposing of tenant records (shred, burn, pulverize, etc.)? Yes No

Comments: **Shred 3 years after move out.**

22. Summary of Tenant File Review

This section applies only to subsidized projects and should be completed after the tenant file reviews (See Addendum A.)

The minimum file sample should include review of files of new move-ins, recertifications (annual, interim, initial), at least one applicant reject file, and at least one terminated/move-out file. In order to review specific functions (EIV usage, utility reimbursement, pet rules/deposits, minimum rents, etc.) it may be necessary to target a portion of the files reviewed to specific tenant families. The reviewer should adjust the tenant file sample to meet the needs of the review.

Number of Units	Minimum File Sample
100 or fewer	5 files plus 1 for each 10 units over 50
101-600	10 files plus 1 for each 50 units or part of 50 over 100
601-2000	20 files plus 1 for each 100 units or part of 100 over 600
Over 2000	34 files plus 1 for each 200 units or part of 200 over 2,200
For each question, only answer "Yes" if the files reviewed are acceptable. Answer "No" if the files are not acceptable and note the number of files with deficiencies utilizing the tenant file worksheet, Addendum A	
Number of Files Reviewed = <u>11</u>	

(Please note: There is no maximum number of files to be sampled)

a. Tenant Files and Records

i. Are the tenant files organized and properly maintained? Yes No

Number of Files with Deficiencies: 0

Comments:

ii. Do the files contain all documentation as required in Handbook 4350.3 REV-1, applicable HUD Notices, and any changes to the CFR? Yes No

Documents Missing from Files: **See Summary Findings.**

Comments:

b. Application/Tenant Selection

i. Are the applications in the files signed and dated by applicant? Yes No

Number of files with Deficiencies: 0

Comments:

ii. Is screening conducted in accordance with the Tenant Selection Plan? Yes No

Number of files with Deficiencies: 0

Comments:

iii. Are the unit sizes appropriate for household composition at the time of this tenant file review? Yes No

Number of files with Deficiencies: 0

Comments:

iv. If a household was ineligible at move in, were exceptions granted? Yes No N/A

Number of files with Deficiencies: 0

Comments:

c. Lease

i. Are the correct model leases used? Yes No

Number of Files with Deficiencies: 0

Comments:

ii. Are the leases signed and dated by all required parties? Number of files with Deficiencies: <u> 0 </u>	Yes <input checked="" type="checkbox"/>	No <input type="checkbox"/>	
Comments:			
iii. Are HUD issued lease addenda properly signed and in the file? Number of files with Deficiencies: <u> 0 </u>	Yes <input checked="" type="checkbox"/>	No <input type="checkbox"/>	
Comments:			
iv. Are the applicable addenda attached to the lease? Number of files with Deficiencies: <u> 1 </u>	Yes <input type="checkbox"/>	No <input checked="" type="checkbox"/>	
Comments:			
v. Are security deposits collected in the correct amount for the program? Number of files with Deficiencies: <u> 0 </u>	Yes <input checked="" type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
Comments:			
vi. Are pet deposits within acceptable range and payment installments allowed? Number of files with Deficiencies: <u> 0 </u>	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input checked="" type="checkbox"/>
Comments:			
vii. Do the tenant files contain signed acknowledgement(s) and/or copies as required of the following documents indicating receipt by the tenant?			
HUD-9887 Fact Sheet Number of files with Deficiencies: <u> 0 </u>	Yes <input checked="" type="checkbox"/>	No <input type="checkbox"/>	
Lead Based Paint Disclosure Number of files with Deficiencies: <u> 0 </u>	Yes <input checked="" type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
Resident Rights and Responsibilities Brochure Number of files with Deficiencies: <u> 0 </u>	Yes <input checked="" type="checkbox"/>	No <input type="checkbox"/>	
EIV & You Brochure Number of files with Deficiencies: <u> 0 </u>	Yes <input checked="" type="checkbox"/>	No <input type="checkbox"/>	
Fact Sheet How Your Rent is Determined Number of files with Deficiencies: <u> 0 </u>	Yes <input checked="" type="checkbox"/>	No <input type="checkbox"/>	
Race/Ethnicity Form Number of files with Deficiencies: <u> 1 </u>	Yes <input type="checkbox"/>	No <input checked="" type="checkbox"/>	
Comments:			
d. Certification/Re-Certification Activities:			
i. Are re-certification notices issued in accordance with HUD requirements? Number of files with Deficiencies: <u> 0 </u>	Yes <input checked="" type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
Comments:			
ii. Are certifications completed on time? Number of files with Deficiencies: <u> 0 </u>	Yes <input checked="" type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
Comments:			
iii. Are all necessary verifications completed and properly documented? Number of files with Deficiencies: <u> 0 </u>	Yes <input checked="" type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
Comments:			
iv. Are EIV Income Reports used for third party verification of employment and income? Number of files with Deficiencies: <u> 1 </u>	Yes <input type="checkbox"/>	No <input checked="" type="checkbox"/>	N/A <input type="checkbox"/>
Comments: See Summary Findings			
v. If the tenant disputed the EIV employment and/or income reported in EIV, was a third party verification obtained from the source? Number of Files with Deficiencies: <u> 0 </u>	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input checked="" type="checkbox"/>
Comments:			
vi. Are appropriate actions being taken for income discrepancies reported on the EIV Income Discrepancy Report, and is the action documented? Number of Files with Deficiencies: <u> 0 </u>	Yes <input checked="" type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
Comments:			

vii. Are income and deductions calculated correctly prior to data entry? Yes No N/A

Number of Files with Deficiencies: 0

Comments:

viii. Does income information on the tenant certifications agree with verified file information? Yes No N/A

Number of Files with Deficiencies: 0

Comments:

ix. If tenants were granted a hardship exemption as part of the minimum rent, was the exemption applied correctly? Yes No N/A

Number of Files with Deficiencies: 0

Comments:

x. Are Repayment Agreements in accordance with HUD requirements? Yes No N/A

Number of Files with Deficiencies: 0

Comments:

xi. Are notices provided to tenants in accordance with HUD tenant notification requirements when their portion of rent has increased? Yes No N/A

Number of Files with Deficiencies: 0

Comments:

xii. Are the correct contract rents used when determining the subsidy to be paid on behalf of tenants? Yes No N/A

Number of Files with Deficiencies: 0

Comments:

xiii. If tenants are paying their own utilities, are the current certifications reflecting the correct utility allowances? Yes No N/A

Number of Files with Deficiencies: 0

Comments:

xiv. Are utility reimbursement checks distributed within 5 business days of receipt of the housing assistance payments? Yes No N/A

Number of Files with Deficiencies: 0

Comments:

e. Voucher Billing

i. Are there any deficiencies noted in the tenant file review that results in over payment or under payment of the subsidy? Yes No N/A

Number of Files with Deficiencies: 0

Comments:

ii. For the move-in/move-out tenant file review, does the owner/agent make the appropriate voucher adjustments? Yes No N/A

Number of Files with Deficiencies: 0

Comments:

f. Move-In Files

i. Are proper income limits used for determining eligibility at move-in? Yes No N/A

Number of Files with Deficiencies: 0

Comments:

ii. Do the files contain move-in inspections? Yes No N/A

Number of Files with Deficiencies: 0

Comments:

iii. If the files contain move-in inspections, have the owner/agent and the tenant signed and dated the inspection? Yes No N/A

Number of Files with Deficiencies: 0

Comments:

iv. Do the move-in files created after January 31, 2010 indicate that the owner/agent utilizes the EJV Existing Tenant Search for all household members and applicants? Yes No N/A

Number of Files with Deficiencies: 0

Comments:

g. Move-Out Files

i. Do tenants provide written notice of intent to vacate in accordance with the HUD model lease? Yes No N/A

Number of Files with Deficiencies: 0

Comments:

ii. Are move-out inspections conducted? Yes No N/A
 Number of Files with Deficiencies: 0

Comments:

iii. Are security deposits refunded in 30 days or less if required by state law? Yes No N/A
 Number of Files with Deficiencies: 0

Comments:

iv. Are tenants provided an itemized list of charges against the security deposits? Yes No N/A
 Number of Files with Deficiencies: 0

Comments:

v. If charges exceed the security deposit, are the tenants billed for the balance due? Yes No N/A
 Number of Files with Deficiencies: 0

Comments:

h. Application Rejection Files

i. Are applicants denied admittance in accordance with the Tenant Selection Plan? Yes No N/A
 Number of Files with Deficiencies: 0

Comments:

ii. Do rejection letters provide applicants the right to appeal? Yes No N/A
 Number of Files with Deficiencies: 1

Comments: See Summary Findings

iii. If applicant appealed an application rejection, was the appeal reviewed by someone other than person who made the original decision to reject? Yes No N/A
 Number of Files with Deficiencies: 0

Comments:

iv. Were appeals processed and applicants notified of appeal decision within 5 days of the meeting? Yes No N/A
 Number of Files with Deficiencies: 0

Comments:

CATEGORY F. TENANT/MANAGEMENT RELATIONS (This Section does not apply to Mortgagees)

23. Tenant Concerns

a. Is there a written procedure for resolving tenant complaints or concerns? If yes, review a copy. Yes No

Comments:

b. Does the procedure adequately cover appeals? Yes No

Comments:

c. Is there an active tenant organization at this project? Yes No

Comments:

d. Is tenant involvement in project operations encouraged? Yes No

Comments:

24. Provision of Tenant Services

a. What social services are provided by the project, or the neighborhood, which meet the tenant's needs? Below, indicate services that are available and identify the entity providing the service (i.e., city/county/state, church/school, community groups, etc.) and enter the cost to the project, if any.

Service	Provider	Financial Source
<input checked="" type="checkbox"/> Child Care	West End Child Care	
<input checked="" type="checkbox"/> Recreation	Reiche School and nearby playgrounds	
<input type="checkbox"/> Health Care		
<input type="checkbox"/> Energy Conservation		
<input checked="" type="checkbox"/> Vocational Training/Job Training	Learning Works	
<input type="checkbox"/> Meals		
<input type="checkbox"/> Financial Counseling		
<input type="checkbox"/> Substance Abuse Counseling		
<input type="checkbox"/> Service Coordinator		
<input type="checkbox"/> Neighborhood Networks Center		
<input type="checkbox"/> Other (please specify)		

b. Is there a Service Coordinator for the project? Yes No

If there is no Service Coordinator, proceed to question 24.f.

Comments:

c. Is the Service Coordinator's office clearly identifiable and private? Yes No

Comments:

d. Are the Service Coordinator's files kept secure and confidential? Yes No

Comments:

e. Does the Service Coordinator maintain a directory of service agencies and contacts, and make the information available to all parties? Yes No

Comments:

f. If there is a Neighborhood Networks Center as indicated on the Desk Review, what is the status of operations?

If there is no Neighborhood Networks Center, proceed to question 24.h.

- Open for Business
- Temporarily Closed - State the date the center will reopen: _____
- Permanently Closed - State the date the center closed: _____

Comments: N/A

g. What programs are offered at the Neighborhood Networks Center?
 GED Adult Basic Education Computer Classes Job Training Job Placement
 Homework Assistance English as a Second Language Other (please specify): _____

Comments:

h. The Department allows owners and their agents to provide services related to renter's insurance products. Does the owner/agent offer such services? Yes No

Comments:

i. HUD Policy prohibits an owner/agent from evicting tenants for delinquent renter's insurance payments. How does the owner/agent deal with unpaid renter's insurance?

Please explain the process:

Comments:

j. Review the renter's insurance information provided to tenants. Does the information provided to tenants clearly indicate that purchasing insurance is optional, and not required as a condition of occupancy? Yes No N/A

Comments:

CATEGORY G. GENERAL MANAGEMENT PRACTICES

25. General Management Operations

a. Have the complaints, as noted on the Desk Review, been satisfactorily resolved? Yes No N/A

Comments:

b. Is the project staff able to adequately perform management and maintenance functions? Yes No

Comments:

c. How does the owner/agent implement HUD changes in policies and procedures?

Describe the process: **Staff is trained on all changes.**

Comments:

d. Does owner/agent have a formal ongoing training program for its staff? Yes No

If yes, indicate types of training used and the frequency.

Type	Frequency	Type	Frequency
<input type="checkbox"/> On-Site		<input checked="" type="checkbox"/> Industry/Association Training	As Available
<input checked="" type="checkbox"/> HUD Seminars	As Available	<input type="checkbox"/> Local Colleges	
<input type="checkbox"/> Energy Conservation		<input checked="" type="checkbox"/> Other (please specify)	As Available

Comments: **Bed bugs, monthly safety topics.**

e. Are reports submitted to the owner from the management agent? Yes No N/A

This question applies only to HUD Staff and Mortgagees.

Comments:

f. Are there signs enabling persons to locate the office? Yes No

Comments:

g. Are after hours and emergency telephone numbers posted? Yes No

Comments:

h. List the current insurance coverages (property, liability, Directors and Officers, workman's compensation, automobile). (Check to make sure that HUD is listed as an additional loss payee, if applicable. Also, check to make sure that the insurance policy is in the name of the mortgagor entity.)

This question applies only to HUD Staff and Mortgagees.

Type	Basic Coverage	Annual Premium
Property		
Liability		
Other (please specify):		
Other (please specify):		

Comments:

i. Does the owner/agent have a fidelity bond? Yes No N/A

This question applies only to HUD Staff and Mortgagees.

Comments:

26. Owner/Agent Participation

This question applies only to HUD Staff and Mortgagees. CAs may proceed to question 27.

a. If the project is owned by a cooperative or nonprofit entity, does the Board of Directors meet regularly and record minutes? Yes No N/A

Comments:

b. Review copies of the minutes. Does a review of the minutes indicate compliance with HUD's business agreements? Yes No N/A

Comments:

c. Does the owner/agent have a system or procedure for providing field supervision of on-site personnel? Yes No N/A

Comments:

27. Staffing and Personnel Practices

a. Has management made an effort to employ tenants in accordance with Section 3 of the Housing and Community Development Act of 1968? Yes No

Comments:

b. List all on-site staff charged to the project. (Use additional sheets if necessary).

Staff Person / Title	Date Hired	% of Time Charged to Site	Annual Salary	Unit Size	Is the Employee Receiving Subsidy?	Is the Employee Occupying a Non-Income Producing Unit?
					Yes <input type="checkbox"/> No <input checked="" type="checkbox"/>	Yes <input type="checkbox"/> No <input checked="" type="checkbox"/>

Comments:

c. Does the staffing chart above match Part D of the Rent Schedule, form HUD 92458 as it relates to non-income producing units? **HUD staff only.** Yes No

Comments: