



MASTER FILE AUDIT CHECKLIST

Property Name: _____
 Manager's Name: _____
 Audited By: _____ Date Audited: _____

Family Name: _____
 Unit No.: _____ Unit Size: _____ Total No. in Household: _____ Move-In Date: _____

Move-In Certification

Eff. Date: _____
 Date Signed by: O/A _____ All Adults: _____
 No. In Household: _____ # of Adults: _____
 MI Rent: \$ _____ MI TTP: \$ _____ S.D. \$ _____

	Yes	No	N/A
Is unit size appropriate?	_____	_____	_____
Was certification completed on time?	_____	_____	_____
Is certification signed/dated by <u>all</u> adults?	_____	_____	_____
Is certification signed/dated by manager?	_____	_____	_____
Was Initial Notice issued at move-in?	_____	_____	_____
Is Initial Notice signed/dated by mgr. and all adults?	_____	_____	_____
Is the correct cutoff date noted?	_____	_____	_____
Does the file have the Disposal of Asset form?	_____	_____	_____
Was the Existing Tenant Search run prior to MI?	_____	_____	_____
Was it run for all household members?	_____	_____	_____
How many reports are in the file?	_____	_____	_____
Evidence of the 30, 60 & 90 day EIV reports?	_____	_____	_____
Report Dates: 30 _____ 60 _____ 90 _____	_____	_____	_____
Is there evidence of 3 rd party verification for:			
Income?	_____	_____	_____
If a ROD was used, is there a clarification? (for each income, if applicable)	_____	_____	_____
Assets?	_____	_____	_____
If a ROD was used, is there a clarification? (for each asset, if applicable)	_____	_____	_____
Expenses?	_____	_____	_____
If a ROD was used, is there a clarification? (for each expense, if applicable)	_____	_____	_____
Is there evidence of (child/spousal support certification)?	_____	_____	_____
If applicable, was the verification sent out to appropriate parties?	_____	_____	_____
Was completed by each adult in the household?	_____	_____	_____
If applicable, was the verification sent out to appropriate parties?	_____	_____	_____
Was the HUD-9887 packet in the file?	_____	_____	_____
Were the boxes completed with the correct information?	_____	_____	_____
Did all adult household members sign and date the HUD-9887?	_____	_____	_____
Did all adult household members sign and date the HUD-9887A?	_____	_____	_____
Did the Owner/Agent sign and date the HUD-9887A?	_____	_____	_____
Was the questionnaire completed by each adult? (One per adult)	_____	_____	_____

Core Documents

Core Documents are located under the MI Divider.

	Y	N
Does the file contain Supplement to Application?	_____	_____
Are there SS Cards for each household member?	_____	_____
Are there ID cards for each household member (18 +)?	_____	_____
Does the file have a Race and Ethnicity form for each member?	_____	_____
Do the Race & Ethnicity forms contain the HUD Declination Statement?	_____	_____
Does the Race and Ethnicity match the 50059 for each household member?	_____	_____
Is there an Applicant Declaration Format for each member?	_____	_____
Is the Owner's Notice No. 1 in the file?	_____	_____
Is there evidence of eligibility verification in the file?	_____	_____
Birth certificate, passport, cert of naturalization?	_____	_____
If EN, is there evidence of alien card(s)?	_____	_____
If EN, is there evidence of credit/criminal and confirmed SAVE Verification?	_____	_____
Owner's Summary and Family Summary in file?	_____	_____
Is the unit # and MI Date listed correctly?	_____	_____
Is there evidence of approved credit/criminal for all adults?	_____	_____
Does the file have evidence of the applicant's consent?	_____	_____
Is the original application in the file?	_____	_____

Is the original application date and time stamped?	_____	_____
Does the date and time match the waiting list data?	_____	_____
Is the application signed and dated by all adults?	_____	_____
If there are changes/updates, is there an updated application?	_____	_____

Lease and Inspections

Lease is located under the Legal Documents Divider.

	Y	N
Is the original lease in the file?	_____	_____
Is it the most current HUD Model Lease? (Form HUD-90105-a 12/2007)	_____	_____
Is it signed and dated by the Owner/Agent and adult tenant(s)?	_____	_____
Is the lease term at least 1 year?	_____	_____
Is the pro-rated rent for partial month MI's correct?	_____	_____
Does the Security Deposit match the MI TTP and current 50059s?	_____	_____
Does Paragraph 8(d) list the correct # of days to refund Security Dep?	_____	_____
Does Paragraph 15 show the correct month for starting ARs?	_____	_____
Was the House Rules issued?	_____	_____
Is it signed and dated by Owner/Agent and adult tenant(s)?	_____	_____
Does Paragraph 16d (pg 3) note the model/serial numbers?	_____	_____
Does Paragraph 1 (pg 6) note whether BBQ'ing is permitted?	_____	_____
Are the following Addenda in the file:		
VAWA <input type="checkbox"/>		
Sex Offender <input type="checkbox"/>		
Unauthorized Occupants <input type="checkbox"/>		
For senior buildings, are the pet rules and addendum in the file?	_____	_____
Is the deposit listed correctly?	_____	_____
Does the file contain evidence of Service Animal? (if applicable)	_____	_____
If yes, is there documentation for the Service Animal?	_____	_____
Is there evidence of lead based paint acknowledgement? (if applicable)	_____	_____

Inspections are located under the Inspections Divider.

	Y	N
Is the move-in inspection in the file?	_____	_____
Is it signed and dated by the Owner/Agent?	_____	_____
Is it signed and dated by the tenant(s)?	_____	_____
Is the following completed:		
Date Ready for Occupancy? <input type="checkbox"/>		
Date Occupied? <input type="checkbox"/>		
Date of inspection prior to MI? <input type="checkbox"/>		
Date Keys Issued? <input type="checkbox"/>		
Is there evidence of 3 years of annual inspections?	_____	_____
Are they all signed and dated by Owner/Agent and Tenant?	_____	_____

Annual Recertification (AR)

Effective Date

	Y	N	Y	N	Y	N
Was certification completed on time?	_____	_____	_____	_____	_____	_____
Is certification signed/dated by <u>all</u> adults?	_____	_____	_____	_____	_____	_____
Is certification signed/dated by manager?	_____	_____	_____	_____	_____	_____
Was a 30 day notice of rent change issued?	_____	_____	_____	_____	_____	_____
Was Initial Notice issued?	_____	_____	_____	_____	_____	_____
Is the notice signed/dated by mgr. & all adults?	_____	_____	_____	_____	_____	_____
Is the correct cutoff date noted?	_____	_____	_____	_____	_____	_____
Does the file have a Disposal of Asset form?	_____	_____	_____	_____	_____	_____
Are EIV reports in the file (Summary, Income & Income Disc.)?	_____	_____	_____	_____	_____	_____
Did each adult agree/disagree with Income reports?	_____	_____	_____	_____	_____	_____
Was there an income discrepancy?	_____	_____	_____	_____	_____	_____
If yes, was the discrepancy resolved?	_____	_____	_____	_____	_____	_____
Is there evidence of 3 rd party verification for income?	_____	_____	_____	_____	_____	_____
If ROD* was used, is there a clarification in the file?	_____	_____	_____	_____	_____	_____
Is there evidence of 3 rd party verification for assets?	_____	_____	_____	_____	_____	_____
If ROD* was used, is there a clarification in the file?	_____	_____	_____	_____	_____	_____
Is there evidence of 3 rd party verification for expenses?	_____	_____	_____	_____	_____	_____
If ROD* was used, is there a clarification in the file?	_____	_____	_____	_____	_____	_____
If Head, Co-Head or Spouse is elderly/disabled, was the \$400 allowance given?	_____	_____	_____	_____	_____	_____
Are there dependents in the household?	_____	_____	_____	_____	_____	_____

* ROD = Review of Documents

If yes, how many dependents? _____ x 480 = _____	_____	_____	_____	_____	_____	_____
If yes, was dependent allowance given <u>per</u> dependent?	_____	_____	_____	_____	_____	_____
Were calculations done correctly?	_____	_____	_____	_____	_____	_____
Does the file have a Student Certification form?	_____	_____	_____	_____	_____	_____
Was the HUD-9887 packet in the file?	_____	_____	_____	_____	_____	_____
Were the boxes completed with the correct information?	_____	_____	_____	_____	_____	_____
Did all adult household members sign and date the HUD-9887?	_____	_____	_____	_____	_____	_____
Did all adult household members sign and date the HUD-9887A?	_____	_____	_____	_____	_____	_____
Did the Owner/Agent sign and date the HUD-9887A?	_____	_____	_____	_____	_____	_____
Does the file have the Annual Reminder Notices (90, 60 and 30 if applicable)?	_____	_____	_____	_____	_____	_____
Does the file have the EIV Disclosure Form (if applicable)?	_____	_____	_____	_____	_____	_____

Interim Recertification (IR)

	Effective Date					
	Y	N	Y	N	Y	N
Was certification completed on time?	_____	_____	_____	_____	_____	_____
Is certification signed/dated by <u>all</u> adults?	_____	_____	_____	_____	_____	_____
Is certification signed/dated by manager?	_____	_____	_____	_____	_____	_____
Was a 30 day notice of rent change issued?	_____	_____	_____	_____	_____	_____
Are EIV reports in the file (Summary, Income & Income Disc.)?	_____	_____	_____	_____	_____	_____
Did each adult agree/disagree with Income reports?	_____	_____	_____	_____	_____	_____
Was there an income discrepancy?	_____	_____	_____	_____	_____	_____
If yes, was the discrepancy resolved?	_____	_____	_____	_____	_____	_____
Is there evidence of 3 rd party verification for income?	_____	_____	_____	_____	_____	_____
If ROD* was used, is there a clarification in the file?	_____	_____	_____	_____	_____	_____
Is there evidence of 3 rd party verification for assets?	_____	_____	_____	_____	_____	_____
If ROD* was used, is there a clarification in the file?	_____	_____	_____	_____	_____	_____
Is there evidence of 3 rd party verification for expenses?	_____	_____	_____	_____	_____	_____
If ROD* was used, is there a clarification in the file?	_____	_____	_____	_____	_____	_____
Does the file have the EIV Disclosure Form (if applicable)?	_____	_____	_____	_____	_____	_____
Does the file have the Interim Request Form?	_____	_____	_____	_____	_____	_____
Were the calculations done correctly?	_____	_____	_____	_____	_____	_____
Does the file have an Interim Certification Fact Sheet?	_____	_____	_____	_____	_____	_____

Initial Certification (IC)

	Effective Date					
	Y	N	Y	N	Y	N
Was certification completed on time?	_____	_____	_____	_____	_____	_____
Is certification signed/dated by <u>all</u> adults?	_____	_____	_____	_____	_____	_____
Is certification signed/dated by manager?	_____	_____	_____	_____	_____	_____
Was Initial Notice issued?	_____	_____	_____	_____	_____	_____
Is the notice signed/dated by mgr. & all adults?	_____	_____	_____	_____	_____	_____
Is the correct cutoff date noted?	_____	_____	_____	_____	_____	_____
Does the file have a Disposal of Asset form?	_____	_____	_____	_____	_____	_____
Are EIV reports in the file (Summary, Income & Income Disc.)?	_____	_____	_____	_____	_____	_____
Report Dates: 30 _____ 60 _____ 90 _____	_____	_____	_____	_____	_____	_____
Is there evidence of 3 rd party verification for income?	_____	_____	_____	_____	_____	_____
If ROD* was used, is there a clarification in the file?	_____	_____	_____	_____	_____	_____
Is there evidence of 3 rd party verification for assets?	_____	_____	_____	_____	_____	_____
If ROD* was used, is there a clarification in the file?	_____	_____	_____	_____	_____	_____
Is there evidence of 3 rd party verification for expenses?	_____	_____	_____	_____	_____	_____
If ROD* was used, is there a clarification in the file?	_____	_____	_____	_____	_____	_____
If Head, Co-Head or Spouse is elderly/disabled, was the \$400 allowance given?	_____	_____	_____	_____	_____	_____
Are there dependents in the household?	_____	_____	_____	_____	_____	_____
If yes, how many dependents? _____ x 480 = _____	_____	_____	_____	_____	_____	_____
If yes, was dependent allowance given <u>per</u> dependent?	_____	_____	_____	_____	_____	_____
Were calculations done correctly?	_____	_____	_____	_____	_____	_____
Does the file have a Student Certification form?	_____	_____	_____	_____	_____	_____
Was the HUD-9887 packet in the file?	_____	_____	_____	_____	_____	_____
Were the boxes completed with the correct information?	_____	_____	_____	_____	_____	_____

* ROD = Review of Documents

Did all adult household members sign and date the HUD-9887?					
Did all adult household members sign and date the HUD-9887A?					
Did the Owner/Agent sign and date the HUD-9887A?					
Does the file have the Annual Reminder Notices (90, 60 and 30 if applicable)?					
Does the file have the EIV Disclosure Form (if applicable)?					
Does the file have the Interim Request Form?					
Were the calculations done correctly?					
Does the file have an Interim Certification Fact Sheet?					

Move-out Certification (MO)

Effective Date

	Y	N	Y	N	Y	N
Was certification completed on time?						
Is certification signed/dated by <u>all</u> adults?						
Is certification signed/dated by manager?						
Does the file have the Notice to Vacate?						
Does the file have the Move-out Inspection?						
Does the file have the resident refund?						
Does the file have the copy of the refund check (if appl.)?						

Gross Rent (GR)

Effective Date

	Y	N	Y	N	Y	N
Was certification completed on time?						
Is certification signed/dated by <u>all</u> adults?						
Is certification signed/dated by manager?						
Was a 30 day notice of rent change issued?						

Termination (TI)

Effective Date

	Y	N	Y	N	Y	N
Was certification completed on time?						
Is certification signed/dated by <u>all</u> adults?						
Is certification signed/dated by manager?						
Was a 30 day notice of rent change issued?						
Are EIV reports in the file (Summary, Income & Income Disc.)?						
Did each adult agree/disagree with Income reports?						
Was there an income discrepancy?						
If yes, was the discrepancy resolved?						
Is there evidence of 3 rd party verification for income?						
If ROD* was used, is there a clarification in the file?						
Is there evidence of 3 rd party verification for assets?						
If ROD* was used, is there a clarification in the file?						
Is there evidence of 3 rd party verification for expenses?						
If ROD* was used, is there a clarification in the file?						
Does the file have the EIV Disclosure Form (if applicable)?						
Does the file have the Interim Request Form?						
Were the calculations done correctly?						