MODEL FORM

Resident File Review Checklist

Here's a checklist of documents that resident files should contain to show auditors that your management company is complying with HUD's rules and regulations. The checklist covers documents required at move-in; annual recertifications; interim recertifications for income, asset, and expense changes; unit transfers; gross rent changes; move-out; and other documentation such as reasonable accommodation requests. Be sure to adapt the checklist to include other documents that are part of your site's normal operating procedures. When reviewing a file, check off an item on the checklist only if the file contains the required documents.

RESIDENT FILE CHECKLIST

MOVE-IN

- ❑ **Rental Application.** Paperwork package completed by household when applying to live at site [HUD Handbook 4350.3, par. 4-22].
- ❑ **Social Security Number Verification** documents for every family member age 6 or older.
- ❑ **Noncitizens Rule Paperwork.** Declaration of Citizenship Form for all family members.
- ❑ **HUD Race and Ethnic Data Reporting Form,** form HUD-27061-H, for Head, Spouse, Co-Head, and recommended for all family members [HUD Handbook 4350.3, par. 4-14(A)(3)]. NOTE: When applicants do not complete the race and ethnicity form owners should place a notation in the resident file that the applicant chose not to provide the race and ethnicity certification.
- ❑ **Third-party Student Status Verification** for all adult full-time students (if applicable) [HUD Handbook 4350.3, par. 3-33].
- ❑ **Elderly Household Verification** *(if applicable).*
- ❑ **Third-Party Disabled Household Verification** from a doctor or other healthcare professional (if applicable).
- ❑ **Family Summary Sheet** with all family members identified correctly [HUD Handbook 4350.3, exhibit 3-4].
- ❑ **HUD Form 9887 and 9887A,** Notice and Consent for the Release of Information, signed by the Head, Spouse, and Co-Head of any age and by all adult family members age 18 or older [HUD Handbook 4350.3, par. 3-11(A)(1)].
- ❑ **HUD Lease** signed by all adult family members.
- ❑ **Security Deposit Receipt.**
- ❑ **Lead-Based Paint Disclosure** and Documents *(if applicable).* Acknowledgement of receipt.
- ❑ **House Rules.** Acknowledgement of receipt.
- ❑ **Pet Rules** *(if applicable).* Acknowledgement of receipt.
- ❑ **Move-In Inspection** signed by the owner and Head of Household.
- ❑ **HUD Form 50059** signed by the Head, Spouse, and Co-Head of any age and by all adult family members age 18 or older [HUD Handbook 4350.3, par 7-17(E)].
- ❑ **Initial Notice.**
- ❑ **"How Your Rent Is Determined."** Acknowledgement of receipt.
- ❑ **Resident Rights and Responsibilities Brochure.** Acknowledgement of receipt.
- ❑ **SAVE documentation** for all non-citizen family members *(if applicable)* [HUD Handbook 4350.3, par. 3-12(H)].

✦ SCREENING CRITERIA DOCUMENTATION

- ❑ Criminal and sex offender background check for all adult family members including live-in aides. NOTE: All criminal records must be destroyed once they have accomplished their intended use.
- ❑ Prior landlord verification (if part of the screening process outlined in the Resident Selection Plan).
- ❑ Credit report (if part of the screening process outlined in the Resident Selection Plan).

✦ INCOME, ASSET, EXPENSE VERIFICATION

- ❑ Disposition of Assets Certification for all adult family members.
- ❑ Third-party verification of all sources of household income.
- ❑ Third-party verifications and completed No-Income Questionnaire for each adult family member (for households claiming no income).
- ❑ Third-party verification of all household assets.
- ❑ Third-party verification of all allowable expenses.
- ❑ Copies of documents provided by the resident and a written explanation as to why third-party verification was not obtained (if any required third-party verifications were not possible or delayed 14 days or more).

(continued on p. 2)

RESIDENT FILE CHECKLIST (continued)

ANNUAL RECERTIFICATIONS

- ❑ **Annual Unit Inspection.**
- ❑ **Recertification Notices.** Initial Notice of Recertification signed at move-in or at last recertification. Ninety-day notice, and, if necessary, 60-day notice, and 30-day notice reminding household head to report for annual recertification [HUD Handbook 4350.3, par. 7-7].
- ❑ **Recertification Interview Worksheet.**
- ❑ **HUD Form 9887 and 9887A,** Notice and Consent for the Release of Information, signed by the Head, Spouse, and Co-Head of any age and by all adult family members age 18 or older [HUD Handbook 4350.3, par. 3-11(A)(1)].
- ❑ **HUD Form 50059** signed by the Head, Spouse, and Co-Head of any age and by all adult family members age 18 or older [HUD Handbook 4350.3, par 7-17(E)].
- ❑ **"How Your Rent Is Determined."** Acknowledgement of receipt.
- ❑ **Resident Rights and Responsibilities Brochure.** Acknowledgement of receipt.
- ❑ **30-Day Advance Notice of Increase in Rent** [HUD Handbook 4350.3, par. 7-8].

✦ INCOME, ASSET, EXPENSE VERIFICATION

- ❑ Disposition of Assets Certification for all adult family members.
- ❑ Third-party verification of all sources of household income.
- ❑ Third-party verifications and completed No-Income Questionnaire for each adult family member (for households claiming no income).
- ❑ Third-party verification of all household assets.
- ❑ Third-party verification of all allowable expenses.
- ❑ Copies of documents provided by the resident and a written explanation as to why third-party verification was not obtained (if any required third-party verifications were not possible or delayed 14 days or more).

INTERIM RECERTIFICATIONS FOR INCOME, ASSET, EXPENSES CHANGES

- ❑ **Third-Party Verification of All Sources of Household Income.**
- ❑ **Third-Party Verifications and Completed No-Income Questionnaire** for each adult family member (for households claiming no income).
- ❑ **Third-Party Verification of All Household Assets.**
- ❑ **Third-Party Verification of All Allowable Expenses.**
- ❑ **30-day Advance Notice of Increase in Rent** (if resident complied with the interim reporting requirements).
- ❑ **HUD Form 50059** signed by the Head, Spouse, and Co-Head of any age and by all adult family members age 18 or older [HUD Handbook 4350.3, par. 7-17(E)].

UNIT TRANSFERS

- ❑ **Documentation Stating the Reasons for the Unit Transfer.**
- ❑ **HUD Form 50059** signed by the Head, Spouse, and Co-Head of any age and by all adult family members age 18 or older.
- ❑ **Documentation that the Security Deposit** was either transferred to the new unit or refunded to the resident and a new security deposit was charged for the new unit.

GROSS RENT CHANGES

- ❑ **HUD Form 50059** reflecting the new Contract Rent, Resident Rent, Total Resident Payment, Utility Allowance, and Assistance Payment. The HUD Form 50059 must be signed by the Head, Spouse, and Co-Head of any age and by all adult family members age 18 or older if the Gross Rent Change changes the Resident Rent, Total Resident Payment, and/or Utility Allowance.

MOVE-OUT

- ❑ **Move-out Notice** from resident (if resident provided notice).
- ❑ **Move-out Inspection Form** signed by the resident and owner.
- ❑ **Security Deposit Disposition Form** with refund within 30 days (or sooner if required by state or local law).
- ❑ **Copy of the Itemized List of the Damages and Charges** provided to the resident (if applicable).

OTHER DOCUMENTATION

- ❑ Requests for Maintenance.
- ❑ Requests for Reasonable Accommodations.
- ❑ Requests for Unit Transfers.
- ❑ Resident Correspondence.
- ❑ Notice to Quit.
- ❑ Summons and Compliance Notices.
- ❑ Stipulated Judgments.
- ❑ Collection Notices.
- ❑ Other Notices to Resident.