

**HUD-0004906**

**Housing Inspection Manual:**

**Section 8 Existing**

**Housing Program**



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# Housing Inspection Manual

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Section 8 Existing  
Housing Program

This document was prepared for the U.S. Department of Housing and Urban Development pursuant to a contract with Abt Associates, Inc., Cambridge, Massachusetts. The statements and conclusions contained herein are those of Abt Associates, Inc., and do not necessarily reflect the views of the United States Government in general or HUD in particular.

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# **Housing Inspection Manual**

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Section 8 Existing  
Housing Program



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## INTRODUCTION AND OVERVIEW

### 1. Purpose and Organization of Manual

This Manual has been written to provide Public Housing Agency (PHA) staff with additional information for implementing a Housing Quality Standards program under the Section 8 Existing Housing Program. The basic guidelines and regulations for enforcing housing quality in the Section 8 Existing Program are set forth in HUD's Public Housing Agency Administrative Practices Handbook for the Section 8 Existing Housing Program, referred to hereafter as "HUD Handbook 7420.7." This Inspection Manual should be considered as a companion document to the HUD publication. The HUD Handbook 7420.7 explains and interprets the Housing Quality Standards set forth in the Section 8 Existing Regulations (24 CFR 882.109). This Inspection Manual serves to further expand specific areas covered in the Handbook. Throughout this Manual, reference will be made to the section of the HUD Handbook that covers the issue under discussion. For the convenience of the reader a copy of Chapter 5 of the HUD Handbook, "Housing Quality Standards, Unit Inspections, and Eligible Types of Housing" and Sections 882.109, 882.210 and 882.211 of the Section 8 Existing Regulations are included in Appendix A for reference.1

This Inspection Manual is divided into three main sections as described below.

Section I: For the Inspector: This section discusses the responsibilities of those who actually will be performing housing inspections in the field.

Section II: For the Inspection Supervisor: This section covers additional issues that are important to the individual responsible for overseeing the housing quality efforts of the PHA's Section 8 Existing Housing Program.

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PHAs using approved variations of the Housing Quality Standards should review this Manual to clarify their understanding of HUD's minimum quality standards for Section 8 Existing Housing. HUD Field Office staff will use these standards in the inspection component of their management reviews of PHAs administering the Section 8 program.

Section III: Item-by-Item Specifications: This section explains the details of how to evaluate each item on the HUD Inspection Checklist. This should serve as a basic guideline for inspecting units as well as a detailed statement of the Housing Quality Standards set by HUD for the Section 8 Existing Housing Program--the standard that each PHA must achieve. The HUD Housing Quality Standards are grouped and explained (as on the HUD Checklist) by the area of the house where they will be found as follows:

- Living Room
- Kitchen
- Bathroom
- Other Rooms Used for Living and Halls
- All Secondary Rooms
- Building Exterior
- Heating and Plumbing
- General Health and Safety

The Appendices include a section reviewing general housing construction concepts and terms for the less experienced inspector as well as supplemental guidelines for the inspection of Independent Group Residences and Congregate Housing. The Appendices also include an optional Checklist supplement that can be used by PHAs for evaluating "amenity" items which exceed the HUD Housing Quality Standards.

## **2. Overview of Housing Quality Standards**

### Housing Quality Standards Approach

The goal of the Section 8 Existing Housing Program is to provide "decent, safe, and sanitary" housing at affordable cost to lower income families. To accomplish this, HUD regulations (Section 882.109) set forth basic Housing Quality Standards which all units must meet before rental by program participants. The primary objective of these standards is to protect the tenant receiving assistance under the program by guaranteeing what HUD considers is a basic level of acceptable housing. The regulations stipulate that each unit leased under the Section 8 Existing Program shall meet basic "Performance Requirements" (the objective of each standard) with respect to the following:

1. Sanitary facilities
2. Food preparation and storage space
3. Space and security
4. Thermal environment
5. Illumination and electricity
6. Structure and materials
7. Interior air quality
8. Water supply
9. Lead-based paint
10. Access
11. Site and neighborhood
12. Sanitary condition

Further definition of the Housing Quality Standards is contained in the Acceptability Criteria for each of the twelve Performance Requirements in the Section 882.109 regulations. The Acceptability Criteria determine the minimum acceptable conditions needed to meet each standard. The development of Housing Quality Standards for program use nationwide is difficult due to the diversity of housing stock characteristics. In an effort to provide guidance to PHAs in determining unit acceptability, the HUD Handbook 7420.7 provides further interpretation of which conditions are minimally acceptable for meeting the Housing Quality Standards taking into account, to the extent possible, regional or local variations in housing characteristics.

The regulations permit variation where justified by factors such as local climate, geographical conditions, or state, local or model codes. For example, mobile home tiedown devices may not be necessary for the occupant's health and safety in geographical areas in a low wind zone. PHAs wishing to establish any variations in the Acceptability Criteria must submit a request for approval to the HUD Field Office. The proposed variation must meet the Performance Requirements and the request must specify the variations and justify their use.

Proposed variations which are more restrictive than the Acceptability Criteria must not unduly limit the amount and types of rental housing stock available at or below the Fair Market Rent (FMR) which

would otherwise meet the Housing Quality Standards of the program (e.g., specific square footage requirements for kitchen counterspace). With Field Office approval, PHAs may substitute local housing code provisions or other variations of the Acceptability Criteria.

The intent of these requirements is not only to ensure the utilization of standard housing units but also to establish minimum criteria necessary for the health and safety of the occupants. Some criteria focus on health and safety concerns and require the PHA to determine unit acceptability regardless of the tenant's possible willingness to accept any deficient condition. The PHA must decide whether the unit meets these mandatory minimum standards, referred to as areas of "PHA determination." Other criteria relate to subjective "decency" and "suitability" concerns only and, therefore, the unit's acceptability with respect to these may be determined by the tenant (e.g., amount of kitchen counterspace, room size, amount of hot water) with guidance and education provided by the PHA. When the PHA inspection indicates problems in areas of decency and suitability, the PHA should discuss these problems with the prospective tenant. These problems should be the basis for negotiations with the owner concerning rent and repair and should be taken into consideration by the tenant in choosing among several units. If, after discussion of these problems, the tenant still wishes to lease the unit, the PHA must not deny approval of the unit for these items considered to be areas of "tenant preference".

The HUD Housing Quality Standards are a basic "floor," or minimum standard, that applies across the country to units in the Section 8 Existing Housing Program. In areas with relatively higher quality housing available, PHAs will be able to adopt a higher standard. They are encouraged to do so as long as this higher standard does not adversely affect the availability of acceptable housing to program participants. The Housing Quality Standards explained in this Manual have been set high enough to guarantee a basic level of decent, safe and sanitary housing nationwide, but not so high as to restrict the availability of passable housing in areas of the country where the supply is more limited.

### The HUD Inspection Checklist

The HUD Inspection Checklist presented in this Manual was developed on the basis of the twelve HUD Housing Quality Standards for the Section 8 Existing Program. The items included in the Checklist were taken directly from the HUD Handbook 7420.7 interpretation of the Housing Quality Standards regulations and from Section 882.1 of the program regulations. Consequently the Checklist is an operational definition of the current Housing Quality Standards governing the Section 8 Existing Housing Program. The primary purpose of the Checklist included here is to clarify and enforce consistency in operational application of the HUD Housing Quality Standards not only among PHAs, but also among inspectors at each PHA.

The HUD Checklist separates the items included in the HUD Housing Quality Standards and lists them in a format that is appropriate for a thorough and consistent, room-by-room inspection. For each item listed there are instructions defining minimum acceptable conditions (e.g., working stove, refrigerator and sink in the kitchen). These are the areas of PHA determination. Beyond these minimum levels, the Checklist instructions define other considerations that are not serious enough to fail the unit, but are nonetheless present and should be noted (e.g., minor dents and scratches on a refrigerator). These are the areas of tenant preference and the tenant decides whether he or she finds these acceptable unless the PHA has set a standard higher than the HUD basic standard and does not allow these conditions; this higher standard must be approved by the HUD Field Office).

### Responsibilities

The family seeking assistance, the owner of the unit, and the PHA are all involved in the process of ensuring that the dwelling unit satisfies the HUD Housing Quality Standards. A summary of the responsibilities of each party is given below:

Responsibilities of the PHA:

- Ensure that all units in the Section 8 Existing Housing Assistance Program, at a minimum, meet the Housing Quality Standards.
- Make initial inspection of units in response to Request for Lease Approval. Inform the potential tenant and owner of results, and necessary action.
- Encourage tenants and owners to maintain units up to Housing Quality Standards or higher.
- Make complaint inspections in response to tenant or owner request. Inform the tenant and owner of necessary corrections and the time period for compliance. Take action against the tenant or owner (as appropriate) if compliance is not obtained within the time period specified.
- Make annual inspection of the unit to ensure that it meets the Housing Quality Standards before any lease renewal. Inform the tenant and owner of the results, any necessary corrective actions, and time period for compliance. Take action against tenant or owner (as appropriate) if compliance is not obtained within the time period specified.

Responsibilities of the tenant:

- Comply with the terms of the lease.
- Help to keep the unit safe and sanitary.
- Cooperate with the owner by informing him or her of any necessary repairs.
- Cooperate with the PHA for initial, annual, and complaint inspections.

Responsibilities of the owner:

- Comply with the terms of the lease.
- Maintain the unit and keep it at least up to the Housing Quality Standards.
- Cooperate with the tenant by responding promptly to requests for needed repairs or maintenance.
- Cooperate with the PHA on initial, annual, and complaint inspections, including making necessary repairs within the prescribed time frame.

Other Considerations

A purpose of the Housing Quality Standards, beyond those of protecting the tenant and preventing spending of Federal subsidies for the rental

of substandard units, is to increase the housing consumption level of the eligible lower income population and increase the supply of standard housing in the lower income market. By making subsidies contingent on passing Housing Quality Standards, it is hoped that landlords with marginally substandard units will upgrade them to qualify for the program or that households will move to standard units to qualify for the subsidy.

As a final note to those who are familiar with other types of housing inspection, the HUD Housing Quality Standards will appear less stringent than building codes (that apply to new construction) and less stringent than many local housing codes. There is a reason for this. The HUD standards have been set at a level high enough to guarantee that housing that passes is decent, safe and sanitary. But the level is not so high as to make large numbers of habitable units unavailable to program participants. The inspector must keep this in mind in enforcing the standards and be careful to apply accurately each standard as it is described on the Checklist and in this Manual.

## SECTION I: FOR THE INSPECTOR

### 1. The Inspector's Responsibilities

The housing inspector is probably the single most important person in the PHA's enforcement of housing quality. The inspector's responsibilities include the following:

- inspection of units at the time of initial inspection (prior to Lease Approval), annual reinspection and complaint inspections;
- advice to owners on needed repairs and in some cases negotiation of repairs with the owners;
- interaction with tenants and owners regarding housing quality (this could include responsibility for tenant briefing sessions, tenant-owner conflict negotiations, and other informal tenant-owner contacts);
- advice about the reasonableness of rents.

These tasks require both technical skills and communication skills. The technical skills are essential to performing inspections accurately and consistently, assessing the need for repair, negotiating repairs with owners, and may include advising owners on approaches and costs of repair. Communication skills are necessary in explaining the Housing Quality Standards to participants and owners, giving details on why a particular house or apartment does not meet the Housing Quality Standards, and assisting the tenant (and owner) in deciding on the best plan of subsequent action if the unit does not meet the standards.

The inspector is required to exercise good judgment in difficult situations. Applying consistent Housing Quality Standards is a challenging responsibility. Each unit to be inspected may present a different set of unique conditions. Although the HUD Handbook 7420.7, the HUD Inspection Checklist and this Manual have been designed to minimize the amount of ambiguity in the application of the requirements, there will nevertheless be many points where judgment is necessary to discriminate between a pass or fail condition. In addition, as will be discussed in other parts of this Manual, there are many other factors present that compete with an unbiased application of the standards. For example, some participants

may be willing to live with some deficiencies that constitute a fail of the minimum requirements, rather than look for another apartment. Above all else, the decision must guarantee that the minimum requirements are enforced. While the inspector might be tempted to "overlook" this failure, it is extremely important that the same standards always are applied to all units; the inspector should explain clearly to the tenant (and owner, as appropriate) why a unit has failed.

Finally, the responsibility of the inspector should never be underestimated. An inspector's decisions have significant impact on the lives of many people--tenants and owners. A decision to Pass or fail a unit always affects the quality of housing that the participant secures under the Section 8 Existing Program. It also frequently affects whether the participant has to move, how many houses he or she looks at before one is found to be acceptable, and how much rent is paid. To owners, the inspector's decision can affect vacancy rates, levels of repair and maintenance, and the content and tenor of tenant-owner interaction regarding housing conditions. This Manual has been written to help equip the inspector with the skills needed to fulfill the difficult tasks outlined above.

## **2. The HUD Inspection Checklist**

The Hud Checklist separates the items included in the Acceptability Criteria and lists them in a format that is appropriate for thorough and consistent inspection. This is best illustrated by an example. The HUD Performance Requirement for "Food Preparation" states: "The dwelling unit shall contain suitable space and equipment to store, prepare, and serve foods . . . ." The HUD Acceptability Criteria then interpret this to mean that for the preparation of foods the "unit shall contain a cooking stove or range in proper operating condition, supplied by either the owner or the family, a sink with hot and cold water, and space for storage and preparation of food." The HUD Inspection Checklist translates this acceptability statement into the operational Checklist items given below.

2. KITCHEN

For each Item numbered, check one box only.

ITEM#	DESCRIPTION	DECISION			If FAIL, what repairs necessary? If INCONCLUSIVE, give details. If PASS with comments, give details.	If FAIL or INCONCLUSIVE, date of final approval.
		Yes, PASS	No, FAIL	INCONCLUSIVE		
2.1	KITCHEN AREA PRESENT Is there a kitchen?	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		
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2.10	STOVE OR RANGE WITH OVEN Is there a working oven, and a stove (or range) with top burners that work?	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	OVEN DOOR DETACHED, REPAIR	
2.11	REFRIGERATOR Is there a refrigerator that works and maintains a temperature low enough so that food does not spoil over a reasonable period of time?	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	DENTS & SCRATCHES, MISSING SHELF	
2.12	SINK Is there a kitchen sink that works with hot and cold running water?	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	GAS TURNED OFF, NO HOT WATER	
2.13	SPACE FOR STORAGE AND PREPARATION OF FOOD Is there a space to store and prepare food?	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		

Each Checklist item is rated on the basis of Fail or Pass, and some items include Inconclusive. The headings above the boxes in the decision column give the responses possible for the different conditions that could be encountered.

On the page opposite the Checklist items, instructions are given for what conditions constitute Fail, Pass, and Inconclusive. These conditions are reviewed in detail in Section III. Further explanation of Fail, Pass, and Inconclusive are given here:

Fail

If any item fails, the unit also fails the minimum standards. It is important that the inspector explain (write in) to the right of the item in the space provided, what specific conditions caused the Fail rating. In the example given, the item fails because the oven door is detached. The inspector should review this information with the owner to explain the reason for the failure and to review what would be needed to bring it up to standard. Section III

of this Manual defines the criteria for failing an item and offers suggestions for discussing repair options with owners.

### Pass

A check in the Pass box indicates:

- that the item passed with no noticeable defects or problems, or
- that the conditions that were present were not serious enough to warrant a Fail rating.

The Checklist instructions and Section III of this Manual give descriptions and examples of types of minor or moderate problems and defects that would not be serious enough to warrant a Fail rating (such as those given for item 2.11 on the Checklist in the example above). When the inspector encounters this type of condition he or she is asked to explain the condition by writing comments on the right hand part of the form, across from the item.

Any items rated Pass, with comments written in, will serve several important purposes. First, once the inspection form has been placed on file at the PHA, it will be a record of the condition of the unit before the tenant moved in. This will protect the tenant and PHA from liability for previously existing problems. Second, the comment will also indicate additional areas for negotiation with the landlord over rent, repair and maintenance. The PHA may wish to use these as a basis for recommending improvements above the minimum requirements in order to determine a rent which is reasonable in relationship to comparable units. For example, the PHA may determine the rent as reasonable only if a scuffed floor covering in the kitchen (identified in the comment section of the Checklist) is replaced with a new floor covering. (See Chapter 5.6 of HUD Handbook 7420.7.) Since the minimum acceptable standards have been met, these additional factors are considered areas of tenant preference.

The inspector should review all written comments on the Checklist with the tenant. The tenant, not the inspector, decides whether he

or she finds these "pass with comment" conditions acceptable. The options open to the tenant if he or she does not find these conditions acceptable are discussed in Sections I-7 and I-8 of this manual.

### Inconclusive

In some cases the evaluation of an item will be such that a Pass/Fail decision will not be possible during the actual inspection. For the items where this is apt to occur, a response box of Inconclusive has been provided. If this box is checked, the inspector must seek additional information (from tenant, landlord, technical expert, or city records) or discuss the item with his or her supervisor. In items 2.10 (stove or range with oven) and 2.11 (refrigerator) above, two conditions might warrant a check in the Inconclusive column: (1) If the inspector knows that the tenant (not the owner) is responsible for supplying the stove or refrigerator but the tenant has not yet moved in, a check should be placed in the Inconclusive box. The inspector should then question the tenant. (2) If a stove or refrigerator is present but its working condition cannot be determined because the gas or electricity has been turned off, a check should be placed in the Inconclusive box. The inspector should then contact the owner to verify that the item is in good working condition.

All items which are originally checked as Inconclusive must receive a final rating of either Pass or Fail before considering the inspection completed and before Lease Approval can occur. Once verification has been obtained the inspector should change the rating for the item on the Checklist and record the date and the person that provided the verification in the column to the far right on the form.

A relatively small number of items on the Checklist have response boxes for marking Inconclusive to encourage the inspector to make a Pass/Fail decision whenever possible. The only items with Inconclusive boxes are those (1) where services such as gas or electricity may have been turned off; (2) where the tenant rather than the owner may provide the facility (e.g., stove or refrigerator); or (3) where

the item is of a very technical nature and outside, expert advice may be needed (e.g., heating system problems).

Under conditions (1) and (2), a reinspection of the item is not needed; verification can be obtained by questioning the tenant or owner, whichever is appropriate. Under condition (3) (the presence of an item of a technical nature that requires outside, expert advice), a reinspection will generally be required to guarantee that the questionable condition is not a hazard. For example, if an inspector encountered a suspicious electrical condition, but did not know whether it was a hazard, he or she would need to seek expert advice. The inspector would then need to reinspect the condition to make a judgment based on the advice obtained. In some cases (e.g., in very technical areas) it may be appropriate for the expert to accompany the inspector on the reinspection of the item.

### 3. How to Inspect a Unit Using the Checklist

The Checklist has been organized so that inspectors can proceed systematically through the unit recording results as they go. Key considerations in filling out the Checklist are given below:

- Complete the Checklist on the dwelling unit to be occupied by the tenant (or one that is currently occupied). The dwelling unit is the "group of rooms located within a dwelling forming a single habitable space with facilities used or intended to be used by a single household for living, sleeping, cooking, and eating purposes."<sup>1</sup> The item specifications in Section III of this Manual provide guidelines for what to inspect in areas associated with, but not in, the unit (e.g., yards, common hallways, etc.).
- In order to conduct the inspection the inspector must be able to gain access to the interior of the dwelling unit. He or she cannot do it by looking in windows or by looking at what the owner or manager claims is an identical unit. Under most circumstances, the inspector will be accompanied by the owner or manager of the unit, or by the tenant, or by both.

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<sup>1</sup>Basic Housing Inspection, U.S. Department of Health, Education and Welfare, 1976, p. 8.

- Fill out "Part A, General Information," on the front of the Checklist. This asks for information for identifying the unit's location, the Section 8 tenant, the owner, and their addresses and telephone numbers.
- The areas of the unit to be inspected (and associated yard and common areas) are presented below along with the corresponding section of the HUD Checklist.

<u>Area</u>	<u>Checklist Category</u>
room-by-room	1. Living Room 2. Kitchen 3. Bathroom 4. Other Rooms Used for Living and Halls
basement or utility room	5. All Secondary Rooms 6. Heating and Plumbing
outside	7. Building Exterior
overall	8. General Health and Safety

(See Appendix B for a floor diagram of a typical house and a "walk through" illustrating which parts of the Checklist apply to which areas of the house.)

- For each item numbered on the Checklist, the inspector must check one box only (e.g., check one box only for item 2.10, Oven or Stove or Range).
- If it is a complaint inspection, fill out only those Checklist items for which the complaint was lodged.
- If it is an annual inspection the inspector must record on the right of the form any repairs made since the last inspection. This information may be used by the PHA in assessing the reasonableness of owner requests for rent increases or the level of maintenance by the owner for damage claims.
- At the back of the Checklist there is an optional sheet for summarizing those items that failed or passed with comments. This will be a useful summary for communicating the inspection results to owners and tenants.
- On the front of the Checklist, fill out "Part B, Summary Decision of the Unit." This should be done at the end of the inspection. Scan down Pass, Fail, and Inconclusive columns on each page of the Checklist.

If there are any checks under the column headed Fail, the unit fails. If there are any checks under the column headed Inconclusive, obtain verification. If there are no checks under Fail and Inconclusive, the unit passes. Discuss with the tenant any items that pass with comments.

- At the end of the inspection fill out the Section 8 "Occupancy Standard" in Part B, on the front page of the Checklist. Count the number of rooms used for sleeping or potentially to be used for sleeping if the unit is vacant, and record in the space indicated. This information will later be used to determine whether the occupancy standard is met.

Guidelines for subsequent actions based on the outcome of the inspection are reviewed in Section I-8 of this Manual. This section includes making decisions on Lease Approval, making suggestions to the tenant to look for another unit, negotiating with the owner for repairs, negotiating with the owner for rent changes. The actions will vary depending on whether the inspection is an initial inspection, an annual inspection, or a complaint inspection.

Regardless of what actions are taken, the following regulation must be met. If the PHA's inspection reveals that the unit does not meet the Housing Quality Standards, the owner must repair the defective conditions before a HAP Contract can be prepared or renewed. There are NO "CONDITIONAL APPROVALS" of units that fail the Housing Quality Standards (i.e., a HAP Contract prepared on the basis of an agreement that a failed item would be repaired within a certain time period).<sup>1</sup>

Before the failed unit can pass, it must be reinspected to determine that the deficient conditions have been corrected. The reinspection need only focus on the items that were to be repaired or corrected. There is space on the far right of the Checklist to record the reinspection of repaired items.

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<sup>1</sup>A PHA may use "Conditional Approvals" on any of their own standards that are set at a level above the HUD Housing Quality Standards (e.g., requiring window screens).

### Multi-Unit Structures

The first five parts of the Checklist (1. Living Room, 2. Kitchen, 3. Bathroom, 4. Other Rooms Used for Living and Halls, and 5. All Secondary Rooms Not Used for Living) relate to the interior of the unit occupied by the Section 8 tenant. Therefore, the inspection will be the same for multi-family structures and single-family structures.

With regard to heating and plumbing, however, inspection of a multi-unit structure may be less straightforward than a single-family structure. To inspect the heating and plumbing items on the Checklist the inspector will need to go to the basement or utility room where the heating system and hot water heater are located. In a multi-family structure, it may be difficult to gain access to these areas (and the heating and hot water system may also be large-scale and complex). The instructions on the Checklist and the item specification for heating systems in Section III of this Manual provide guidelines for these instances, as well as how to obtain verification from owners or managers or defer to the ratings of more qualified heating inspectors (e.g., posted certification that the system has been recently checked by a competent heating inspector).

The building exterior and most of the general health and safety items on the Checklist pertain to areas outside the unit (e.g., common public hallways and stairs in the building, and exterior porches and exterior surfaces). The intent of the Checklist is that the items to be inspected are those that regularly affect, or could affect, the tenant. Therefore, in a large multi-family structure, the inspector is asked to evaluate those common hallways and stairs that are frequently used by the tenant. Similarly in a multi-family structure the inspector is asked to rate those exterior building conditions that would directly affect the tenant's apartment. For example, the only exterior porches or railings of interest to the inspector in a multi-family unit are those contiguous to the tenant's apartment or frequently used by the tenant.

### Vacant Units

Vacant units present a unique set of circumstances for the inspector. First, since there will be no tenant living in the unit, the inspector may not be able to verify the operability of systems such as the heating system. Second, there is a strong likelihood that services such as gas and electricity will have been turned off. If this is the case, the inspector will need to check items as Inconclusive at the time of the inspection and obtain further verification before Lease Approval.

### Model Checklist

Appendix B presents an example of a completed Checklist with annotation, to be used as a model for beginning inspectors.

### Materials and Equipment

The materials and equipment useful for completing inspections are very simple. First, the inspector should have enough Checklist supplements to inspect all rooms in the unit. One Checklist provides enough room forms to inspect the following rooms in the unit: living room, kitchen, bathroom, five "other rooms used for living," (for example, three bedrooms, a dining room and a hallway), and one form for all "secondary rooms not used for living." If the inspector expects that the unit will have a greater number of rooms than mentioned above, he or she should obtain supplements for "other rooms used for living."

The inspector may want to carry the following tools: flashlight, thermometer, and circuit tester (see illustration in Section III-1.2). Although these tools are not necessary to evaluate Checklist items in most units, they may be useful. A thermometer (simple indoor-outdoor type) could be useful during a complaint inspection concerning adequacy of heat. A flashlight would be helpful in inspecting basements as well as in vacant units where the electricity is turned off. A circuit tester is a simple device for testing electric current that can be

purchased at very little cost at a hardware store. To determine whether electric current is present in an outlet, the tester is simply plugged into the outlet. The use of a circuit tester is explained in Section III.

#### **4. Additional Inspection Guidelines**

This section will cover general inspection practices that are common to all types of inspection (initial, annual and complaint). Specific guidelines, by type of inspection, for scheduling and interacting with owners and tenants during and after the inspection, are given in Sections I-6, I-7, and I-8 of this Manual.

##### Principles of Good Inspection

To the general public, the inspector acts as the representative of the PHA and the Section 8 Program. In many cases the inspector will be the single most visible contact between the owner, tenant and the PHA. It is therefore essential that he or she carry out the functions with the highest levels of professionalism. The data collected during the inspection will have important bearing on leasing, rents, and repairs. The inspection must be carried out thoroughly and accurately so that it can serve as the basic record to justify the PHA's decisions and recommendations on each particular unit. The inspection guidelines reviewed below outline key principles for professional inspections:

- Consistency and Accuracy: Accuracy and consistency are essential to the inspector's and the PHA's position in defending decisions on units. If the unit fails the HUD Housing Quality Standards (or an approved variation) and an identical unit passes, the grounds for the PHA's defense of its decision is seriously eroded. Accuracy and consistency are measures of the inspector's professional competency. Be accurate in applying the standards explained in this Manual. Be consistent from one unit to the next.
- Focus: The HUD Housing Quality Standards relate to permanent aspects of the house or apartment itself and not to the furnishings owned by the tenant. The inspector's judgment on a specific housing quality

item (such as ceiling and wall condition) should not be affected by a superficial condition such as an unmade bed or laundry lying around the room.

- Objectivity: The inspector must conduct the inspection free of personal, class, ethnic, or neighborhood biases. If the inspector has a background in other types of housing inspection (e.g., code enforcement or real estate appraisal), the perspective of this previous work must not interfere with the application of the HUD requirements set out in this Manual and on the Checklist.
- Completeness: The inspector must fill out the entire Checklist so that no HUD requirements are missed in evaluating the unit.
- Legibility: The Checklist must be filled out in a legible manner so that it can later be used as a basis for assessing issues such as tenant liability for repair, the reasonableness of rent changes, and repair negotiations. The inspector will also need the completed Checklist as documentation of his or her reasons for failure of a unit and may need to defend the decision based on this documentation. Also, other individuals may need to review the Checklist at a later date and must be able to easily read and interpret the Checklist ratings. Legibility applies to the inspector's checking of boxes as well as to the writing in of comments and details in the area on the right of the form.
- Confidentiality: The inspection results can be shared only with the following parties: the PHA staff, the tenant, and the owner. They should not be shared with other individuals outside of this group (e.g., neighbors of the tenant, other Section 8 participants).

### Judgment Calls and Exceptions

Although the Checklist and this Manual have been developed in an attempt to reduce the amount of discretion needed to perform the inspection, there will obviously be numerous cases when an inspector's decision will be a "judgment call." In this case it is recommended that the inspector record the reason for the decision and then review the particular decision with the inspection

supervisor at the PHA. In this manner, the inspection supervisor can lend consistency to the outcome of difficult decisions rather than having each individual inspector making these decisions independently. As a result, the PHA should be able to develop a more consistent policy on what decisions are appropriate under specific types of difficult circumstances. Also, when appropriate, outside expert advice in technical areas such as electricity and heating may convert uncertainty into a clear decision.

An inspector will encounter situations where it seems appropriate to request an exception of a specific HUD requirement under a particular circumstance. For example, proximity of a house to an unprotected railroad right-of-way may be a hazard to a family with children, but probably not to an elderly couple. As with "judgment calls," the inspector should consult the inspection supervisor at the PHA if he or she is uncertain. If the inspection supervisor feels unable to make a decision, he or she may wish to contact the HUD Field Office for advice.

### Credentials

It is essential that the inspector clearly represents him or herself to the public as an inspector from the PHA and not from any other agency. Owners and managers may be initially hesitant to participate in the program if they confuse the Section 8 housing quality inspection with a city code inspection (with its associated legal complications if the unit fails). In making all initial contacts, the inspector must be especially careful to introduce him or herself as being from the PHA, Section 8 Existing Housing Program.

### Record Keeping

Section II of this Manual contains suggestions for a PHA's maintenance of inspection records. The inspector's role in the PHA's system is to guarantee that completed Checklists are returned to their appropriate files as soon as possible after the inspection. At some PHAs, these

Checklists will be kept with the participant's folder. At other PHAs, the inspector will keep the Checklist (or a copy of it) in his or her own inspection file. Whatever type of record keeping system is in operation, it should allow for cross-referencing of street addresses and participant ID numbers. This is important to the inspector since he or she may deal with the same unit over and over again, through a series of different Section 8 tenants.

### Training

There are several steps that the inspector can take independently to prepare for inspecting units. First, Appendix C contains a comprehensive list of publications concerning housing inspection, home repair and home maintenance. Many of these publications are currently popular and can be found in bookstores or in libraries. Second, the inspector should obtain a copy of the following codes to serve only as general background on housing inspection:

- Local housing code (obtain from local Department of Public Health)
- Local building code (obtain from City Engineers office)
- Local electrical code (obtain from City Engineers office or local Board of Electricians)
- Local fire prevention codes (consult local fire department)
- Local plumbing and heating code (obtain from City Engineers office or call local plumbing/heating contractor to find out where it would be available).

In addition, state or "model" (such as APHA or BOCA)<sup>1</sup> codes may also be a useful source of information.

As stated earlier, in many cases, these codes will be more comprehensive and stringent than the HUD requirements since many of those listed above apply standards related to new construction rather than existing

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<sup>1</sup>APHA is the American Public Health Association code and BOCA is the Building Officials and Code Administrators Code.

housing. However, specific parts of all of these codes may be useful as guidelines for how to evaluate certain conditions included under the HUD requirements. For example, the local fire prevention code should be used in determining the types of fire exits which are considered adequate in a locality. However, it is important to keep in mind that the HUD Housing Quality Standards are not meant to be the same as local codes. If the inspector is consulting a local code, he or she must be careful not to apply an overly stringent requirement that may be designed primarily for new construction.

## 5. The Tenant Briefing Session

One of the responsibilities of the inspector may be tenant briefing sessions. Part of the tenant briefing session must be devoted to an explanation of the HUD Housing Quality Standards, and the inspector may be the individual most qualified to do this.<sup>1</sup> The discussion of housing quality should cover the following topics and points:

- The need and justification for HUD's Housing Quality Standards. National housing policy aims to provide decent, safe and sanitary housing for all Americans. Federal programs in support of that policy such as Section 8 must meet this objective.
- The Housing Quality Standards used by the PHA. Every unit must meet HUD's Housing Quality Standards as a minimum. The standards used by the particular PHA should be explained. The level of detail of the explanation of the standards will be a function of ongoing housing quality responsibilities that the PHA expects of tenants. At a minimum, all tenants should have a basic comprehension of the concept of Housing Quality Standards, and the various elements of the HUD minimum standards.
- The PHA's own housing quality program. The briefing should explain how that particular PHA approaches the initial, annual and complaint inspection, including procedural matters such as scheduling.

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<sup>1</sup>At many PHAs the program representative rather than the inspector will conduct the housing quality part of the briefing. In this case, the inspector could still assist the program representative in understanding the Housing Quality Standards and in communicating them effectively.

- The housing quality responsibilities of the tenant, owner and PHA. Housing quality responsibilities will vary among the three parties depending on the PHA, although the ultimate responsibility for providing and maintaining a housing unit that is decent, safe and sanitary rests with the owner. The tenant's responsibilities will be primarily related to housekeeping matters. It is particularly important to make clear the extent of tenant responsibility for prescreening the unit before the initial inspection. This, again, will vary by PHA depending on the PHA's position with respect to tenant's responsibility to prescreen units. Also the briefing should make clear to whom (owner, PHA) and by what procedure complaints should be made. The person(s) responsible for the PHA's housing quality program should be identified.

The ease and clarity of the housing quality issues presented during the briefing can be increased through the use of visual and printed materials, including the following:

- Materials available through the local HUD office (for example, a copy of the brochure, A Good Place to Live!).
- The photographs and illustrations in Section III of this Manual.
- Other photographs taken by the inspector at the PHA and put into a short notebook that could be used to illustrate conditions during the briefing session.

## **6. Scheduling**

Initial Inspection: Once a Certificate Holder and prospective owner have requested Lease Approval for a specific unit, the inspector is responsible for scheduling a unit inspection on the date the owner indicates the unit will be ready for inspection or as soon as possible thereafter. (See Chapter 5.8, a(1) of HUD Handbook 7420.7.) Lengthy delays (e.g., greater than three days) should be avoided since they can cause owners and families to lose interest in participating in the program. Owners may incur an income loss if the unit is unoccupied for a long period of time and families may lose units to nonparticipating families who can move in immediately.

Annual Reinspection: The inspector must schedule the annual inspections to ensure that these are performed on a timely basis. An annual inspection should be performed no more than one year after the date of the previous inspection, which must be consistent with the anniversary date of the HAP Contract.

A reminder notice in advance of the intended time period for the annual inspection is a useful way to prompt the owner to assure that the unit is in compliance with all aspects of the Housing Quality Standards.

The inspection itself should be scheduled sufficiently far in advance of the date for lease renewal to provide time for necessary repairs to be completed before the lease anniversary date.

The inspection should be scheduled so that the tenant is present, if possible, since the tenant is an important source of information on the owner's provision of maintenance, services and utilities.

Complaint Inspection: When a complaint is made by either tenant or owner as a result of the unsatisfactory condition of an item covered in the HUD Housing Quality Standards, an inspection must be made. The inspector should schedule the inspection as quickly as possible. The inspector should identify those complaints which present an immediate danger thereby requiring immediate inspection.<sup>1</sup> Situations that would require immediate inspection are conditions that immediately endanger the health and safety of the tenant (e.g., exhaust fumes from a heating system, no heat in winter months, no electricity, no water). Where possible the inspection should be scheduled so that both parties are present.

## **7. During Inspection: Tenant-Owner Issues**

Initial Inspection: There are two types of initial inspection. The first, involving inspection of a unit currently occupied by the

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<sup>1</sup>See Chapter 5.9, a(3) of HUD Handbook 7420.7 for procedures to be followed in these situations.

Certificate Holder, is called an "in-place inspection." The second involves the inspection of a unit not presently occupied by the Certificate Holder (for example a vacant unit or a unit occupied by someone else who will be moving out).

A Certificate Holder or an owner may accompany the inspector on initial inspections. The tenant is likely to accompany the inspector on in-place inspections, while more frequently the owner will accompany the inspector for vacant units or units occupied by someone else who will be moving out. The presence of tenants or owners during an inspection has both positive and negative aspects. On the one hand, their presence provides an opportunity for the inspector to directly point out problems or deficiencies in the unit. In situations where minor repairs would be necessary in order to pass the unit (for example, burnt-out light bulbs or the absence of switch plates), the inspector may be able to encourage the repair on the spot, and therefore pass the unit. On the other hand, tenant or owner presence may create pressures on the inspector to be more lenient in evaluating the unit, particularly during in-place inspection when the tenant is strongly motivated to remain in a unit which has been and continues to be acceptable to him or her. PHAs are encouraged to develop a regular practice for dealing with such eventualities. One way to minimize the pressures is to stress during the tenant briefing that Housing Quality Standards are constant, regardless of the tenant's feelings about the unit.

Annual Inspection: In addition to determining if the unit continues to meet Housing Quality Standards and if the owner is providing the maintenance, services and utilities set forth in the lease, the annual inspection is the inspector's opportunity to document any improvements made to the unit since the last inspection.

The annual inspection has many characteristics in common with an in-place initial inspection. Both tenant and owner are familiar with the unit and its attributes, and have a relationship with each other. Thus, the previously discussed opportunities or problems associated with

tenants or owners accompanying the inspector (either singly or together) also exist at the time of the annual inspection, but are also heightened by the events of the passing year.

In situations where the tenant and owner were responsive to the PHA's efforts to convey knowledge/information regarding Housing Quality Standards at the time of the inspection, the annual inspection should be a simple, straightforward activity, and the unit will likely pass. The annual inspection then becomes an opportunity to reinforce the concept of compliance with the Housing Quality Standards and in conjunction with annual rent adjustment to encourage various upgrading activities beyond the minimum standards.

In situations where either the tenants or the owners seem uninterested in the quality of housing being rented, and the unit barely passes the minimum standards, the inspector may wish to reinforce the Section 8 requirements for decent, safe and sanitary housing by giving the tenant a copy of the brochure A Good Place to Live!

During the annual inspection, inspectors need to be especially sensitive to tenant's and owner's willingness to convey housing quality information. In most cases there will have been 9 to 12 months of interaction between the tenant and landlord, most of which the PHA inspector will not be aware of. The reinspection may be a "lightning rod," attracting the angers and frustrations of the year, many of which may not be pertinent to determining compliance with Housing Quality Standards. The tenant may be cowed by owner threats (real, implied or imagined), and therefore not convey relevant information on standards or lease agreements. The inspector must be attentive to the dynamics of particular tenant-owner interactions whether he or she conducts the inspection alone, accompanied by the tenant, the owner, or both.

Complaint Inspection: A complaint inspection occurs in a situation of some tension. It is an instance where at least one party thinks another has failed to carry out his or her responsibilities. Thus, all stages of a complaint inspection require diplomacy. Complaint

inspections in particular often mean added pressures for the inspector, especially if he or she is accompanied by a tenant or a landlord during the inspection. It is important that the inspector be able to clearly communicate in an objective manner the PHA's requirements regarding housing quality. Reference to the Inspection Checklist is a convenient way to do this.

## **8. After Inspection: Tenant-Owner Issues**

Initial Inspection: After the inspection has been completed and the inspector has reached a decision on the unit, the next step is to notify the owner and tenant of the decision. If the result is Pass, the PHA may proceed with the other necessary determinations, such as rent reasonableness and preparation of HAP Contract and Lease. If, however, the result is Pass and there are comments written on the Checklist that identify problems or preconditions not serious enough to fail the unit but are still present, some or all of these conditions may be considered as a basis for negotiating with the owner or manager regarding repairs and rent. The inspector should meet with the owner or tenant (probably separately at first) to discuss the implication of these conditions.

In considering possible actions regarding conditions not serious enough to fail a unit, the following options are available:

- owner repair of certain conditions (with or without rent adjustment);
- tenant repair of certain conditions;
- tenant acceptance of conditions (with or without rent adjustment);
- tenant decision to look for another unit.

The inspector is encouraged to recommend that the owner make improvements in housing quality above the minimum standards. The improved unit may then qualify for a higher rent if the rent is within the Fair Market Rent and is reasonable in relationship to comparable units. (See Chapter 5.6 and all of Chapter 6 of HUD Handbook 7420.7 for

regulations on Fair Market Rents and rent reasonableness.) The results of the inspection may also be incorporated by references into the lease. If the result is Fail, the inspector should contact the owner to explain which items fall below standard. Deficiencies can be summarized on the back page of the HUD Checklist. The inspector should ascertain if and when the owner will complete the required repairs. The PHA may wish to provide assistance to the owner in finding means of meeting standards, such as use of publicly supported programs aimed at improving the housing stock (such as 312 loans and grants and CDBG rehabilitation loans).<sup>1</sup> This type of support service is especially desirable in tight housing markets. If the owner is unwilling to make the repairs, the Certificate Holder must be notified, so that he or she can begin again the search for an acceptable unit. Similarly, the Certificate Holder must be notified of the nature and the amount of time needed for making repairs, as these factors may influence his or her desire to obtain or stay in the unit.

When the owner informs the PHA that all required repairs are completed, a reinspection is scheduled. This sequence continues until the unit meets the Housing Quality Standards, or the owner refuses to make the repairs, or the Certificate Holder is no longer interested in occupying the unit.

Annual Inspection: As with the initial inspection, once the inspector has made a decision on the unit the next step is to notify the owner and tenant of the inspection results. If the inspection reveals that the unit meets applicable Housing Quality Standards and is therefore categorized as Pass, the PHA may proceed with the execution of a lease renewal and, if warranted, an annual rent adjustment. Improvements over the previous year are important in determining possible rent adjustments. These improvements should be noted on the inspection form and the PHA should take them into consideration when determining any possible annual rent adjustment. Repairs to these items can be important in determining rent reasonableness and as bargaining points in negotiations of rent adjustment.

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<sup>1</sup>CDBG is HUD's Community Development Block Grant Program.

If the unit Fails, the failed items may be categorized under two different levels of seriousness:

- Failing conditions presenting an immediate danger to health and safety;
- Failing conditions which affect health and safety but do not represent an immediate danger to health and safety.

If one or both instances occur, the inspector must immediately notify the owner and tenant of the deficiencies in writing. The notice must describe the violations of the standard and require that the conditions be corrected within a specified time period. (See Chapter 5.9, a(3), of HUD Handbook 7420.7 for these regulations.) For both failure conditions there are time periods within which the conditions must be corrected and options for PHA action should the deficiency not be corrected. All required work to correct the deficiencies must be completed prior to execution of a lease renewal and any possible annual rent adjustment. The PHA must reinspect the unit to determine if the necessary work has been performed prior to renewing the HAP Contract.

An annual inspection might reveal that a unit is no longer in a decent, safe and sanitary condition according to the applicable Housing Quality Standards because of the tenant's lack of maintenance. Under some circumstances, the owner is still responsible for taking appropriate action to correct the deficiencies, including possible eviction of the family, if necessary. If the family is evicted and remains liable for unpaid rent or damages the PHA may determine that the tenant is ineligible for future assistance. In addition to notifying the owner of the deficiencies and required corrective action in writing, the inspector should also advise the family of its responsibilities with respect to any lease requirements. If the inspector determines that the unit is in violation of the Housing Quality Standards because of tenant neglect, the PHA can terminate the tenant's assistance and cancel the HAP Contract. (See HUD Handbook 7420.7, Chapter 5.10, "Abatement of Payments; Contract Termination" and Chapter 10, "Evictions and Terminations".)

Complaint Inspections: The post-inspection action options are the same for complaint inspection as those described for annual inspections above.

## **9. Influence of the Housing Market**

The nature of the local housing market will invariably influence the inspector's work in the same way that it affects the entire local Section 8 Existing Housing Program. Housing markets are characterized on a continuum ranging from "loose" to "tight," reflecting the difficulty of obtaining adequate housing in a given price range. A loose market works to the advantage of tenants, who will have a wider range of choices at or below their price range. A tight market is less advantageous to tenants; the stronger competition for acceptable housing units usually results in higher rents.

Given the constituency of the Section 8 Existing Program (primarily the lower end of the income spectrum) a tight market creates particular difficulties in devising and implementing a housing quality program. A program that has excessively stringent housing standards (beyond the level of the HUD Housing Quality Standards) may work to eliminate large numbers of units from possible consideration, as owners will conclude they can rent for the same rates and less "hassle" to non-Section 8 tenants. Since neither the HUD Housing Quality Standards nor the realities of market competition can be ignored, PHAs and inspectors will have to be creative in developing a housing quality strategy in tight markets. Such strategies may involve a more explicit services orientation, with the PHA and inspector providing various forms of assistance to owners. For example, the inspector could become familiar with various types of loans and grants currently available from public sources (CDBG rehabilitation funds, for example).<sup>1</sup> At a minimum, the inspector should be familiar with the regulations and benefits of the Section 8 Substantial Rehabilitation Program and the

Moderate Rehabilitation Program in case this type of assistance is appropriate for an owner. In a tight market, PHAs and inspectors may decide to exert less pressure on owners to make repairs beyond the HUD minimum standards. In all cases, however, the HUD Housing Quality Standards must be observed.

A loose market provides PHAs and inspectors with an excellent opportunity to upgrade the housing stock both directly and indirectly. By being able to provide guaranteed rents, the PHA's Section 8 Existing Program may attract many owners. In such situations PHAs are in a position not only to require compliance with the Housing Quality Standards but also to encourage tenants to choose those units which meet housing quality levels beyond the HUD basic requirements.

## SECTION II: FOR THE INSPECTION SUPERVISOR

This section discusses administrative issues from the perspective of the person(s) at the PHA responsible for supervising the work of the inspectors enforcing HUD Housing Quality Standards.

### 1. The PHA's Housing Quality Program

Much of the success of a PHA's Section 8 Existing Program depends on its housing quality program. A PHA's housing quality program includes the following basic elements:

- an inspection checklist: an operational definition of the Housing Quality Standards;
- an approach to communicating the Housing Quality Standards to tenants and owners;
- a system for enforcing the standards by means of an initial and periodic subsequent inspections of the unit;
- a means of managing and monitoring the effectiveness of the housing quality program over time.

The inspection supervisor is responsible for making this program work. The responsibilities of the inspection supervisor fall into three general categories: program design, program management and program evaluation. Depending on the size of the PHA and its Section 8 Existing Housing Program, the supervisor may have full responsibility for activities in one, two or all three of these areas. This section contains some discussion of all three categories of responsibility.

There are eight basic activities in a housing quality program:

1. Setting a local standard.
2. Staffing.
3. Training.
4. Communicating the standard to tenants and owners.
5. Scheduling and performing inspections.
6. Quality control.
7. Record keeping.
8. Monitoring progress and effectiveness by analyzing Checklist results.

The design of the housing quality program must provide a means of accomplishing each of these. Items 1 through 5 are the primary program management responsibilities of the inspection supervisor. Items 6, 7, and 8 are the main program evaluation responsibilities. Again, depending on the individual PHA, responsibility for these may rest exclusively with an inspection supervisor or may be shared with other PHA staff or outside contractors. Regardless of how responsibilities are divided, each activity listed is essential to an effectively operating housing quality program.

Section III is divided according to these listed activities. A discussion of "setting a local standard" is not included here since this topic was covered in the Introduction and Overview of this Manual. Under each of the remaining seven activities, the discussion first gives a basic outline of the activity, thereby providing the supervisor with a model. Second, the discussion reviews various suggestions for alternative approaches to undertaking each activity. These should be of use to the supervisor in the initial design of a new program (or component of a program); redesign of an ongoing program; or simply, for the sake of comparison, in evaluating an ongoing program.

## **2. Staffing**

The inspection supervisor is responsible for developing a staff to enforce the Housing Quality Standards. There are two main issues to be resolved in developing a staffing plan to accomplish the objectives of inspecting units and interacting with tenants and owners: (1) job definitions; and (2) organizational structure of staff.

Job Definition: This discussion reviews the skills needed by the staff that will be carrying out inspection of units and interacting with tenants and owners. These responsibilities require two types of skills:

- Technical skills in performing inspections, determining what repairs are needed for the unit to pass, negotiating repairs with owners, and advising owners on approaches and costs of repair;

- Communications skills in explaining the Housing Quality Standards to participants and owners, assisting participants in their search for a house, and providing general assistance to participants throughout the steps of finding an acceptable unit.

The technical skills are usually developed on the basis of an individual's experience with local codes, construction (new and rehabilitation) and housing systems (i.e., wiring, plumbing, heating). The communication skills are usually gained through work experience requiring substantial contact with the public, such as casework.

It is rare when all of these skills are found in a single individual. Given this fact, the PHA has two basic staffing models to consider (see Chapter 5.11 of the HUD Handbook 7420.7). The first model is one in which the PHA has staff strong in the technical skills and other staff strong in the communication skills. Under this model, an individual staff member, identified as an inspector, is responsible for performing inspections and determining need for repair, and negotiating repairs with owners. Once the inspection is completed, the inspector turns the completed Checklist over to a program representative who is responsible for all further contacts with tenants and owners regarding housing quality issues. The advantages of this model are obvious: staff are responsible for tasks that they are best qualified to undertake. There are, however, several significant disadvantages: First, the cost may be prohibitive, especially to a small PHA that must maintain staff members for inspections and other staff to serve as program representatives. Second, the nature of the inspection activity is such that an inspector may be frequently requested by an owner or a program participant to provide information about aspects of the program other than those directly associated with the inspection. Therefore, it may be difficult for the inspector to maintain the job definition that he or she has been assigned. Similarly, the program representative may find it difficult to stay removed from housing quality issues if he or she must convey inspection results to tenants and be in contact with owners.

Under the second model, the PHA asks the same staff member to provide both the technical skills and the communication skills. For example, the program representative is responsible for assisting the participants at all points in the program--including inspection, negotiation with owners of repairs and rent adjustments, and lease agreements. This staffing approach is often necessary if the number of PHA staff members is minimal. It also has the advantage of guaranteeing continuity in the treatment of participants and of owners. A single staff member at the PHA is responsible for discussion with the participant, inspection of the unit to be rented, and discussion with the owner regarding repairs and rent. The implications of this staffing model, however, are that the staff will probably require more extensive training, more initial quality control, and more direct supervision.

Organizational Option: If the inspector model (rather than the program representative model) is used by the PHA, three types of organizational options are possible (see Chapter 5.11, a(1), a(2), a(3) and a(4) or HUD Handbook 7420.7). The three options are: (1) the inspector is a PHA staff member; (2) the inspector is a staff member shared by two or more PHA's; (3) the inspector works on a contractual basis (and may be otherwise employed by a code enforcement agency).

The advantage of having the inspector on staff is that it provides the PHA with direct control of job qualifications/training as well as clear, uncomplicated lines of authority regarding job performance. However, smaller PHAs may not be able to afford the services of a staff member specialized in performing inspections only. A time-shared staff member, a solution often used by a cluster of PHAs with small programs, allows smaller PHAs to obtain the service of a trained experienced inspector. However it also reduces individual PHA control over job qualifications, training, availability and performance. For example, scheduling conflicts may arise between PHAs for inspections.

The contractual relationship provides the PHA with the greatest opportunity for highly specialized inspectors. It also permits expenditure of program funds for inspection on an as-needed basis, possibly a desirable program efficiency. The contractual relationship may be with either a public or private sector inspection agency. The terms of the contract will establish the extent of control by the PHA over job qualifications, training and performance. If the PHA replaces the HUD Housing Quality Standards with a local, equally (or more) stringent code, it may be necessary to use local code inspectors to perform the inspections. The major disadvantages of this approach are that the local inspectors may have less commitment to, and understanding of, the Section 8 Existing Program and provide less accountability to the PHA. Consequently, the PHA may need to have other staff be responsible for most of the contacts with tenants and owners. Finally, the inspectors themselves may have some difficulty accurately applying the HUD Housing Quality Standards if they are experienced in other often more stringent standards such as those found in a local code.

### **3. Training**

Regardless of whether the inspector/inspection staff is a part of the PHA staff, shared with other PHAs, or on contract, it is important to maintain a consistent interpretation and application of the Housing Quality Standards. Thus a PHA should establish one or more mechanisms for initial and ongoing training of inspectors/inspection staff (see Chapter 5.11, b, of the HUD Handbook 7420.7). The training function should also be linked with quality control activities (as explained in Section II-6 of this Manual).

There are at least four approaches to training that the PHA could undertake on its own:

1. Printed Materials: A variety of printed materials, including this Manual, can be used for training. Appendix C provides a bibliography of publications concerning major housing rehabilitation issues, minor housing repairs, and basic housing inspection techniques.

Additional materials are available from the HUD Field Office and can be incorporated into the PHA's training program. Although printed materials are essential to any training package they should only be considered partial training and need to be combined with one or more of the other methods described below.

2. Housing Units: The inspection of actual units is an effective method of training inspectors to detect deficiencies. This approach is especially useful after inspectors have a basic understanding of the Section 8 Housing Quality Standards. Inconsistencies among inspectors can be reduced if staff members check the same sample unit, and then meet as a group to compare and discuss their results. It is useful to find units that exhibit different kinds of deficiencies. A unit in marginal condition which requires the exercise of good judgment by the inspector will generate discussion and help provide clarification. Inspection training in both standard and substandard units can also be useful. Again this method should be used in conjunction with other methods.

3. Audio-Visual Presentations: Although less direct than the use of an actual unit, audio-visual presentations may be a convenient way to highlight important characteristics. This training method is particularly useful when introducing new inspectors to the Section 8 Housing Quality Standards before they are asked to perform in-field inspections. The use of audio-visual materials is also an efficient device for refresher training or retraining of inspectors: the advantage is in the consistency of information presented. A slide series on HUD Housing Quality Standards is available from the HUD Field Office.

4. Lectures: Experienced inspectors or experts in some particular aspect of housing (such as plumbing or electrical wiring) can provide useful guidance to the inspection staff on specialized systems and items. Local city inspectors for plumbing, heating and electrical systems can be helpful although the inspection supervisor must be careful to stress that the Section 8 inspections are not meant to

local code inspections. The lecture approach is helpful when in-depth technical training is needed. For example, special lectures might be conducted if a large number of units are erroneously being passed or failed on electrical hazards because the inspectors do not possess sufficient technical expertise in this area. However, while lectures can be an important component of training, they should always be used in conjunction with one or more of the other approaches discussed here.

Training components should be tailored to the needs of staff being trained. For example, if the training is primarily a retraining or "refresher course" for staff already familiar with Section 8 inspection, it should focus on those specific items (or problems) that the individual inspectors are having difficulty with. In order to identify which items to concentrate on, the supervisor should review the quality control inspection results (discussed in Section II-6 of this Manual) and tabulation of Checklists (discussed in Section II-8 of this Manual) from past inspections completed by each inspector.

If the staff to be trained are new to the program, the supervisor obviously has to cover a much broader range of topics, from the basic reasons for Housing Quality Standards to detailed item-by-item instructions. Training of new staff should include the full set of training methods reviewed above. Also it may be possible to obtain assistance in training from the HUD Field Office staff. Materials available from HUD include slide-tape presentations covering all aspects of the HUD Checklist and training guides that provide an agenda for conducting a complete, two-day training session on the use of the Checklist. Guidelines are provide regarding material to cover and helpful hints on how to train.

If the new staff have come from another housing inspection discipline, such as code enforcement, there will probably be less need to concentrate on how to inspect a unit. However, in this situation it will be essential that the supervisor frequently emphasize the difference between the Section 8 Housing Quality Standards and a local code and make certain that the new staff understand these distinctions.

#### 4. Communicating the Standard to Tenants and Owners

The likelihood of success of the housing quality program will be increased by a clear and effective communication of the standards to tenants and owners. The tenant briefing session, which is discussed in Section I, is a critical element here. The inspection supervisor should be certain that persons assigned the responsibility of conducting these sessions themselves understand the standards, and are also capable of clearly conveying them in the format used by the PHA for the briefing session.

The use of audio-visual and printed materials is encouraged. The supervisor should consider incorporating into the briefing session the brochure A Good Place to Live! In addition, the illustrations and pictures in Section III of this Manual could be used to explain various conditions to the participants during the briefing session. The PHA could also produce its own support visual materials. For example, it would be possible to mount photographs of local housing conditions in a notebook or small flip chart. This display could include specific examples of local conditions that would fail the HUD standards and could be used to visually support the narrative during the briefing session.

Over the course of the program it will be possible for the supervisor to evaluate the effectiveness of the PHA's efforts to communicate the Housing Quality Standards to tenants and owners. For example, tabulations from Checklists completed at the time of the initial inspection (discussed in II-8) should give the PHA good indication of whether the briefing sessions are accurately conveying the concept of housing quality to Certificate Holders. If a large number of these inspections result in failure of the unit, the PHA should reassess the content and approach used during the briefing session. Similarly, if particular items on the Checklist tend to fail very frequently, the material presented at the briefing session should focus more specifically on these items. A method for evaluating Checklist results for this purpose is presented at the end of this section.

## 5. Scheduling Inspections

The inspection supervisor is responsible for developing and monitoring a system for scheduling inspections.

Timing: Once a Certificate Holder and prospective owner have requested Lease Approval for a specific unit, the PHA is responsible for scheduling a unit inspection on the date the owner indicates the unit will be ready for inspection or as soon as possible thereafter. Inspections should be scheduled to occur within at least five days of the request. In tight housing markets or in situations where the participant is having difficulty finding an acceptable unit (e.g., large families) the PHA may have to accelerate the scheduling of inspections to within a day or two of the request. Section II-8 discusses a method for monitoring of the time lag between participants' requests for inspection and the actual inspections.

Staff rotation: In addition to ensuring timeliness of inspection, the inspection supervisor may wish to develop a staff rotation plan, assigning inspectors to different geographic areas for a specified period of time and changing these assigned areas regularly (see Chapter 5.12, b, of HUD Handbook 7420.7). This will keep inspectors from having always to deal with either the best or the worst of the local housing conditions. If an inspector always is looking at the better housing stock available in the area, he or she is more liable to reject a unit for nonserious defects; conversely, if an inspector always is looking at the low end of the housing quality spectrum he or she may be more likely to pass units that should fail. Smaller PHAs with limited staff will generally achieve this "leveling effect" through the course of the normal inspection assignment process.

## 6. Quality Control

The PHA must monitor its housing quality program through quality control inspections (see Chapter 5.12, b, of HUD Handbook 7420.7).

The quality control inspections serve a number of purposes. First, they provide assurances that only those units which meet the Housing Quality Standards are approved for program subsidies. Secondly, the quality control inspections serve to catch inadvertent errors which may have been made by the inspectors. Further, such inspections provide the inspection supervisor with information concerning the general level of competence and consistency of the inspection staff. Finally, a quality control program encourages higher performance by the inspectors since they are aware that their work is subject to periodic review.

In order to assure that these quality objectives are met, there must be reinspection of some units originally inspected by each inspector. HUD requires reinspection of a random sample of at least 5 percent of the approved units; a larger sample may be necessary if inconsistencies are found. In drawing this sample, a number of criteria should be met:

1. The sample must contain units inspected by each inspector.
2. The sample should contain units inspected for each type of inspection (initial, appeal, complaint) and units undergoing both initial and reinspections.
3. The sample should contain units from each building type inspected.
4. The sample should contain units that fail as well as units that pass. Units that fail would be more likely to have many defects and therefore would serve as a good basis for evaluating inspector ratings on items that are at the margin of passing or failing.

Only the first criterion is a HUD requirement. However, meeting each of the remaining three criteria provides a means for monitoring consistency across the full range of conditions encountered by inspectors. Although HUD requires a sample of at least 5 percent of approved units, meeting the full set of criteria noted above may involve a larger proportion of units, especially where units receiving fail rating

are included. The important factor in sample selection is that sufficient numbers of each type of unit be reinspected so that the inspection supervisor is confident of consistency of standards application and competency of individual inspectors.

A question sometimes arises concerning who should perform the quality control inspections. If the PHA has a designated inspection supervisor, this individual will usually be responsible for conducting the quality control inspections. However, if the PHA's Existing Housing Program is especially large or if there are a large number of inspectors, it may not be feasible for the inspection supervisor to conduct all the quality control inspections. When someone other than the inspection supervisor (e.g., another inspector) is conducting the quality control inspection, that individual should be informed that it is a quality control inspection, and should not be shown any results of the original inspection (not even information concerning whether the unit passed or failed the inspection), since this information might bias the individual's quality control inspection. In all cases, the inspection supervisor should be the one who actually compares the results of the original inspection with the corresponding quality control inspection.<sup>1</sup>

The quality control Inspection Checklist should be compared with the original Inspection Checklist, item-by-item. The supervisor should compare the outcome on each item as well as the general level of additional information provided on the form by the inspector. For example the supervisor should look to see if the inspector recorded (on the right of the form) any conditions that were not serious enough to fail the item but should have been noted for subsequent discussion with the tenant and the owner. Whenever there is a difference between the quality control inspection and the original inspection, the item should be discussed in detail to determine the basis on which each inspector's decision was made.

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<sup>1</sup>In very small PHAs with only one staff member knowledgeable in inspections, a neighboring PHA official can assist in the quality control inspections.

The quality control inspections might suggest the need for periodic retraining of staff. The PHA should use the results of the quality control inspections in this retraining. The inspection supervisor should discuss with the inspector the areas of disagreement in the two inspections. It would also be important to review and tabulate previous Checklists completed by the inspector to try to determine whether any variations found in the quality control inspection emerge as a pattern.

The above discussion of quality control presumes that the inspections are done in sequence--that is, first there is an original inspection of the unit (whether initial, annual, or complaint), and then a different individual returns to perform the quality control inspection. When this sequential method is utilized, there are a number of factors to consider. First, the original inspector should not be told in advance that the unit is going to receive a quality control inspection. Second, if too much time passes between the original inspection and the quality control inspection, repairs may have been made, and it will be difficult to determine whether differences observed are the result of repairs or the result of inspector differences.

Although sequential quality control inspections are ideal for assuring overall PHA consistency, in reality they are sometimes impractical: for instance, in an occupied unit there is the additional burden to the tenant of two inspections. For this reason, quality control inspections might better be conducted simultaneously--that is, both the inspector and the inspection supervisor would conduct their inspections at the same time. For simultaneous inspections, it is important that each individual conduct his or her own inspection completely independently of the other. Only after the dwelling unit has been completely inspected by both individuals should there be any communications or any comparisons of the completed Checklists. It should be noted that this option for conducting quality control has some advantages: the inspection supervisor can observe the inspector's techniques and methods for conducting inspections, and this option

allows for discussion of areas of difference of opinion immediately after the inspection has been completed. For these reasons, simultaneous quality control inspections are especially well-suited to situations where the inspection supervisor suspects a need for re-training.

## **7. Record Keeping**

The HUD regulations require that the PHA retain copies of the records of all the PHA inspections (initial, annual, and complaint). (See Section 882.210 of the Section 8 Existing Regulations and Chapter 5.12, a, of the HUD Handbook 7420.7.) In addition, the PHA must keep on record, for at least three years, copies of all complaints by families concerning housing quality compliance by owners. These records have many uses. They may be the basis for negotiations with owners over repairs and rents. Initial inspections serve as a record of the condition of the unit prior to occupancy by the tenant, which protects the tenant from liability for previously existing damages to the unit and helps in the resolution of tenant/owner disputes. Past inspection records are also useful as background for the completion of current inspections. For example, the inspector may wish to take the Checklist completed in a previous year along on an annual reinspection. This would aid in identifying those items that might have been in marginal (but passable) condition in the previous year but now have deteriorated to a level of Fail. Finally, the HUD Checklist is a record that provides a wealth of information for program evaluation. This topic will be discussed at length in Section II-8 of this Manual.

The agency may want to keep an index of program participants by street address so that reference can be made to an earlier inspection if a unit under consideration has been previously disapproved. This street index would also aid in scheduling inspections during peak inspection periods by allowing the inspection supervisor to cluster inspections to be performed in the same neighborhoods.

It may be useful to plot inspected units on a large city street map to be posted at the PHA.<sup>1</sup> (Each point on the map should be given a number to link it with the specific inspection record.) This map would serve several purposes. First, it would help PHA staff during the briefing sessions to point out to Certificate Holders those neighborhoods where acceptable units have been most frequently found in the past. Second, it would aid the supervisor in setting up a procedure for the efficient scheduling of inspections and for staff rotation by neighborhood.

### **8. Monitoring Progress and Effectiveness by Analyzing Checklist Results**

Completed Checklists represent a large and detailed collection of information about the condition of units at initial inspection and currently under lease (i.e., after annual reinspection and special request for inspection). (See Chapter 5.12, c, of HUD Handbook 7420.7.) The inspection supervisor should recognize the potential of this information as a basis for analyzing various aspects of the Section 8 Existing Program and use the information in guiding the management of the housing quality program. First, combined with quality control results, Checklist tabulations could reveal inspector bias. For example, they might show that a particular inspector tended to fail units (or a particular item) much more frequently than other inspectors. If this were due to misperception on the inspector's part (rather than actual differences in housing condition) it would suggest the need for retaining. Second, tabulations could identify specific items that tended to frequently fail units (regardless of inspector). If the items identified were not essential to meeting the HUD Performance Requirements (e.g., an item added to the HUD Checklist by the PHA), the PHA could consider relaxing the standard.

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<sup>1</sup> Large city street maps (e.g., 4' x 4') are usually available at very low cost from a City Engineer's Office.

Depending on the number of participants in the program, the PHA should consider whether it would be feasible manually to tabulate all or only a sample of completed Checklists. If the PHA has access to a computer service, and has a large enough caseload of recipients, it may be worthwhile to have the Checklists keypunched for computer analysis. The HUD Inspection Checklist would lend itself easily to keypunching.

The data could be tabulated to support a variety of different analyses as explained below. In each case, most of the tabulations could be made on the basis of the summary information requested on the front page of the HUD Checklist. The key items on this front page are listed below:

- inspector;
- neighborhood in which unit is located;
- type of unit;
- outcome (Pass, Fail);
- time between request and inspection.

The discussion below explains how these items can be "cross-tabulated" to shed light on different aspects of the inspection program.

Outcome, by inspector (and by neighborhood): A cross-tabulation of inspection outcomes (i.e., whether a unit passed or failed) by inspector could be helpful in reflecting a specific inspector's strengths and weaknesses. An inspection supervisor would want to know whether all of the inspectors were applying the standards in a consistent fashion or whether particular inspectors tended to fail units more frequently than others. If one inspector tended to fail units more frequently, the supervisor could explore (with quality control inspections) whether this pattern was a function of misperception on the part of the inspector, or legitimate differences in the actual conditions of the units inspected by the individual.

In order to undertake this analysis using the Checklist results, it would be necessary to cross-tabulate inspection outcomes by inspector as illustrated in Table 1 below:

Table 1: Cross-Tabulation of Inspection Outcomes by Inspector

Neighborhood: Eastside

		Inspector		
		#1	#2	Total
Pass	9 90%	5 50%	14 70%	
Fail	1 10%	5 50%	6 30%	
Total	10	10	20	

In each cell of Table 1, the top number represents the outcomes of the actual inspections performed. A clerk at the PHA can make this count by simply sorting Checklists according to the categories in the grid. The lower number in the cell is the percentage of the column total that the number represents. For example, in the first column, inspector #1 inspected 10 units, and of these, 9 (or 90 percent) resulted in a pass of the unit. Inspector #2 also inspected 10 units; however, only 5 passed (or 50 percent). The third column gives the combined results of the two inspectors: 20 units inspected with 6 (or 30 percent) failing and 14 (or 70 percent) passing. In this example, if the same pattern continued over time, the supervisor should probably try to discover whether inspector #1 tended to inspect higher quality units or whether there was a difference of perception between the two inspectors. If the latter were true, retraining would be necessary.

In the illustration above, the data were compiled for a specific neighborhood to reduce the possibility of variation in actual housing condition in the sample of units. The results of similar tabulations for other neighborhoods could also be compared to indicate which areas of the city tended to have the greatest numbers of passing or failing units.

Outcome, by Type of Inspection: A cross-tabulation approach similar to that described above can be used to compile data on inspector outcome by type of inspection. Column headings identify different types of inspections (initial, annual, complaint) and row headings remain the same (Pass, Fail). Table 2 presents a cross-tabulation of hypothetical data on outcome by type of inspection. The discussion below briefly examines this information.

Table 2: Outcome, by Type of Inspection

		Type of Inspection			
		Initial	Annual	Complaint	Total
Pass		35	18	3	56
		70%	90%	30%	70%
Fail		15	2	7	24
		30%	10%	70%	30%
Total		50	20	10	80
					100%

Inspection supervisors can expect more Fail outcomes in initial and complaint inspections than in annual inspections, since initial inspections often involve the first review of the unit in relation to HUD's Housing Quality Standards, and complaint inspections are prompted by someone's explicit perception of a substandard condition. This pattern is illustrated in the data in Table 2; the percentage failing is highest for initial and complaint inspections.

Outcomes by type of inspection provide some idea of the nature of the housing stock, the willingness of owners to repair deficiencies in order to meet HUD's Housing Quality Standards, and the effectiveness of the briefing session as explained below. A high proportion of inspections resulting in a Pass rating, especially on initial inspection, suggests a reasonably good housing stock. Conversely, a high proportion of Fail ratings suggests a lower quality housing stock. It would be interesting to look at results in situations in which the inspector was asked to reinspect after repairs were supposed to have been completed. If there continues to be a high proportion of Fail ratings at reinspections, there may be resistance on the part of owners to maintain units at a level that meets HUD's standards, perhaps due to market conditions. This should prompt some analysis by the inspection supervisor as to the reasons for the resistance, and where possible, programmatic responses to counter this resistance.

Cross-tabulation of Checklist outcomes by type of inspection could also provide information on the effectiveness of the PHA's housing quality briefing session. A high proportion of Fail ratings on initial inspection may suggest that Certificate Holders are not comprehending some or all elements of housing quality. Appropriate modifications should be made in the briefing, if indicated. In Table 2, 70 percent of the initial inspections Pass, indicating that the housing stock is reasonably good or that the briefing sessions are effective. Still, however, there is room for improvement since 30 percent of the initial inspections still result in a rating of Fail.

Outcome by Type of Unit: A tabulation of outcome by type of unit enables the inspection supervisor to know if certain building types are more likely to present Fail conditions. If so, the PHA may want to devise or suggest special programs to respond to these housing stock problems. Table 3 gives a hypothetical example of this type of cross-tabulation. In this example, it appears that high-rise apartment buildings present the greatest problems. The inspection

supervisor should try to determine the cause of these failures and take whatever action is needed.

Table 3: Outcome, by Type of Unit

	Unit Type			Total
	Single Family	Low-Rise	High-Rise	
Pass	18 90%	20 80%	10 50%	48 73%
Fail	2 10%	5 20%	10 50%	17 27%
Total	20	25	20	65 100%

Items failed, by inspector (and for all inspectors combined): It would also be useful to analyze failure rates by item. This should be completed in two steps. The first is a separate tabulation for each inspector; the second is an aggregation of the tabulations for all inspectors. In each case the tabulation is a simple count of the number of times that a particular item was failed by an inspector while inspecting a given number of units. This count can come from the summary page on the back of the Checklist.

The recurrence of particular items in the Fail category could prompt focusing particular attention on these items in the housing quality part of the tenant briefing session. It may also suggest the possibility of inspector bias. If a particular inspector fails a

specific item more frequently than other inspectors, the inspection supervisor can determine if this is the result of a misperception on the part of the inspector, or of actual housing conditions.

Table 4 gives an example of this type of data. In each cell of Table 4, the number to the left of the (/) is the actual count, and the number to the right of the (/) is the percentage of the cell total that the count represents. For example, in the uppermost left hand cell of the table, inspector #1 passed Item 1.2 fourteen times (or 93 percent) and failed it once (or 7 percent). However, inspector #2 failed this same item five out of ten times. There are several possible explanations that need to be explored: either inspector #2 is excessively stringent on this item (or inspector #1 is too lenient) or inspector #2 tends to inspect poorer quality housing than inspector #1. By further examining the causes, the inspection supervisor can determine what corrective action is appropriate.

Table 4: Items Failed, by Inspector

Item	Inspector			
	#1	#2	Total	
1.2	Pass	14/93%	5/50%	19/75%
	Fail	1/7%	5/50%	6/24%
1.3	Pass	15/100%	10/100%	25/100%
	Fail	0/0%	0/0%	0/0%
1.4	Pass	6/40%	8/80%	14/56%
	Fail	9/60%	2/20%	11/44%

(15 units  
inspected)

(10 units  
inspected)

### Time Elapsed between Request and Inspection

This analysis provides a measure of efficiency of the housing quality program. It shows the time elapsed between when an inspection is requested and when it is performed. (For reinspections, the elapsed time indicates the time between the first inspection and the reinspection.) Obviously the shorter the elapsed time between request and inspection the more efficient the program. The inspection supervisor should especially review the elapsed time for complaint inspections, since complaint may arise from condition that endanger the health and safety of the occupants. Initial inspections should also have a relatively short response time, in order to retain the interest of tenant and owner. Annual inspections should occur within the time frame established by the program. (The request date for an annual inspection should be considered as the date the PHA contacts the tenant and owner to schedule reinspection.) Time lapses for reinspections, for annual and for complaint inspections should correspond to the time provided to make the repairs necessary to meet the standard.

The front of the Checklist includes an item on the time elapsed between request and inspection. This can be cross-tabulated by type of inspection as shown in Table 5. (Again, in each cell the number to the left of the (/) is the actual count and the number to the right is the percentage.) The hypothetical data suggest that the PHA is generally very responsive; initial inspections are usually completed within five days of the request and annual inspections within six to ten days from the date the PHA contacted the owner to schedule an inspection visit.

If the average time elapsed is excessive for a particular type of inspection, the supervisor must determine the reason. For example, delays may occur because there are not enough inspectors, or inspectors do not keep appointments, or inspectors do not make appointments on time, or participants or owners break appointments frequently. The Checklist tabulations will be useful in identifying unacceptable delays; however the supervisors must then determine the cause of the delay and solution to the problems.

Table 5: Time Elapsed between Request and Inspection by Type

	Type of Inspection			Total
	Initial	Annual	Complaint	
Less than 1 day	2/13%	0/0%	3/60%	5/17%
1 - 5 days	10/67%	0/0%	2/40%	12/40%
6 -10 days	2/13%	10/10%	0/0%	12/40%
11-30 days	1/7%	0/0%	0/0%	1/3%
more than 30 days	0/0%	0/0%	0/0%	0/0%
<b>TOTAL INSPECTIONS</b>	15	10	5	30

## SECTION III: ITEM-BY-ITEM SPECIFICATIONS

### INSPECTION SPECIFICATIONS

This section reviews in detail the instructions for inspecting each item (or requirement) on the HUD Inspection Checklist. The discussion of each item includes the following:

- Purpose: a brief statement of the objective of the requirement.
- Definition and clarification: an explanation of the terms used in describing the requirement; guidelines for inspecting to ensure that it has been satisfied; examples of typical conditions that would constitute a Fail on the requirement; and in many cases, examples of typical conditions that would not be serious enough to fail the requirement but should be noted on the Checklist and brought to the attention of the tenant and owner.
- Problem solving: a brief review of various approaches possible in considering ways to remedy a failing condition. Given the wide range of possible deficiencies that might affect any given item, this discussion is meant only to serve as a start for the inspector in suggesting to the owner (and tenant) what might have to be done to correct a failing condition.

The numbered items under each section refer to the numbered items on the HUD Checklist. This section should be used in conjunction with Appendix D, which provides more general background information for less experienced inspectors in the areas of electrical systems, door locks, windows and window locks, wall and ceiling conditions, floor construction, drain pipe traps, and home heating systems.

## 1. Living Room

### 1.1 LIVING ROOM PRESENT<sup>1</sup>

Is there a living room?

#### Purpose

To verify that there is adequate living space for the tenant.

#### Definitions and Clarifications

To pass, the dwelling unit must have at least one habitable room<sup>2</sup> which is not a kitchen area or bathroom. An "efficiency apartment" (living/sleeping room with a kitchen area designed into it) is considered a living room. Check Pass.

In instances of one or more habitable rooms (other than kitchen or bathroom), one of them, regardless of current use, must be selected as a living room for Item 1.1. In most cases it is clear which room is the living room, but in some cases it may be difficult to tell; for example, all rooms in the unit may be used as bedrooms, or in a vacant unit it may be unclear which room is the living room. In each case, one of the rooms must be selected and inspected as a living room. The most suitable room probably would be the largest one and the one nearest the entrance to the unit.

If there are no habitable rooms in the unit besides the kitchen or bathroom, Item 1.1 fails. If there are any other habitable rooms besides kitchen and bathroom, the item does not fail.

Pass with comment if the only other room besides the kitchen and bathroom appears to be inadequate in size. Although you will not normally be asked to measure room dimensions, if the room size appears seriously inadequate, approximate the room's overall dimensions and note this information on the Checklist for the tenant's decision on acceptability.

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<sup>1</sup>The item number refers to the HUD Checklist number.

<sup>2</sup>Habitable room shall mean a room used or intended to be used for living, sleeping, cooking, or eating purposes, but excluding bathrooms, laundries, furnace rooms, pantries, kitchenettes, utility rooms, foyers or communicating corridors, stairways, closets, storage spaces, and workshops.

## 1.2 ELECTRICITY

Are there at least two working outlets or one working outlet and one working light fixture in the living room?

### Purpose

To ensure that the electrical service to the room is adequate.

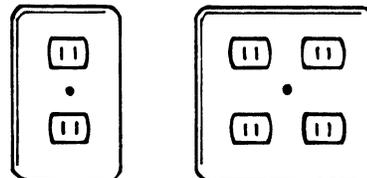
### Definition and Clarification

Appendix D presents a general review of the major components of an electrical system. If you are unfamiliar with the basics of electrical systems and terms such as "outlet," "face plate," and "receptical," please read that section before reading the instructions below.

In order to pass, a living room must have at least two outlets or one outlet and one permanently installed ceiling or wall light fixture.

An outlet is an electrical receptacle permanently installed in the baseboard, wall or floor of the room. A single outlet may have one or more plugs.

Each of these is counted as one outlet:



A permanently installed light fixture is one that is securely fastened to a ceiling or wall and is not movable.

Do not count any of the following items or fixtures as outlets/fixtures: table or floor lamps (these are not permanent light fixtures); ceiling lamps plugged into a socket; or extension cords plugged into another plug (these are not permanently installed).

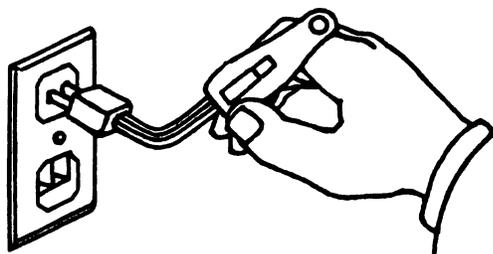
Both the outlets or the light must be working. Usually a room will have sufficient lights or electrical appliances plugged into outlets to determine workability. Be sure the light fixture does not fail just because the bulb is burned out.

If the electric service to the unit has been temporarily turned off, check Inconclusive. Contact the owner or manager after the inspection to verify that the electricity functions properly when the service is turned on. Record this information on the Checklist.

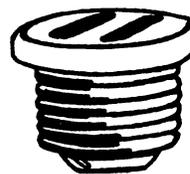
If you are inspecting a vacant unit it may be necessary to use a "circuit tester" to determine if the fixtures and sockets work. (You will obviously only use this if the electric service to the unit is turned on.) A circuit tested, as shown in Figure 1 below, is a small, inexpensive device that can be purchased at a hardware store. It can be used to test whether an outlet is working simply by plugging it into the outlet. It can also be used to test whether a light bulb socket in a light fixture is working if there is no bulb or the bulb is burned out. To do this, follow the instructions provided with the tester or proceed as follows:

1. Screw a "plug adapter" (shown below) into the socket.
2. Test the plug adapter with the circuit tester.

Figure 1



Circuit Tester



Plug Adapter

If you need to test a light socket in this manner, be very careful. In many cases you will have to stand on a chair or stool to reach a ceiling fixture. Do not take chances. If there is no steady means of supporting you to test a ceiling light fixture, check the item Inconclusive and

verify working condition later with the owner. Use caution when testing any outlet or light fixture (especially if they are cracked). To avoid shocks, do not touch (with your fingers) any metal parts that may be in contact with the electrical system.

### Problem Solving

The installation of an outlet or permanent light fixture (if there are not enough present to pass Item 1.2) is not a simple task. It must be undertaken by an electrician or at least inspected and approved by an electrician or Building Inspection Department if installed by someone else. The installation of an extension cord with an outlet at the end is not permanent and does not count as an outlet for Item 1.2.

If an outlet is not working (and the electric service is on), there are a range of possible causes. In some cases the cause may be as simple as a loose connection at a terminal in the outlet or a faulty outlet (see Appendix D for a diagram of terminals in electrical system) and can be easily fixed by an electrician once the electric power has been turned off. In other cases it may be a broken wire behind the wall which is more costly to repair. Any of these repairs require an electrician or someone else who knows a substantial amount about electrical systems.

If a fixture is not working (and the electric service is on) the simplest (and least expensive) cause is that a bulb is burned out. More serious problems (with more costly repairs) for fixtures are similar to those described for outlets.

### 1.3 ELECTRICAL HAZARDS

Is the room free from electrical hazards?

#### Purpose

To assure that tenants are not exposed to any electrical hazards in the room. Fires and electrical shock result from inadequate or improperly installed electrical facilities.

### Definitions and Clarifications

Review Appendix D, Electrical System, if you are unfamiliar with basic electrical elements in a home.

Examples of electrical hazards include: broken or frayed electrical wires; bare metal wires not covered by rubber or plastic insulation; loose or improper wire connections to outlets; light fixtures hanging from electric wire with no other firm support (see Figure 2); missing or cracked cover plates on switches or outlets (see Figure 3); exposed fuse box connections; overloaded circuits evidenced by frequently "blown" fuses (ask the tenant).

Also count as an electrical hazard any rubber or plastic coated electrical wiring in a room that is mounted on the surface of a wall or ceiling (not behind it) in a manner that allows it to be abused (broken, cut, or damaged in other ways). (See Figure 4.) This applies to surface mounted nonmetallic sheathed wire (for example, wire sheathed in plastic under the "Romex" label). To pass, nonmetallic sheathed wire that is surface mounted must be securely attached to the wall or ceiling and out of the way of traffic. For example, nonmetallic sheathed wire should never be located on, or near, a stair tread where repeated scuffing could damage the insulation.

Electrical wiring that is sheathed in metal (e.g., BX-metal spiral or EMT metal tube encased wire) can be mounted on the surface and will pass regardless of location. (See Appendix D for explanation of terms.)



Figure 2: Light fixture hanging from electric cord with no other support requiring a Fail rating.



Figure 3: Missing "cover plate" on light switch, requiring a Fail rating.

"Lamp cord" is not considered heavy enough to be part of the permanent wiring system of the unit. If you find lamp cord used as part of the permanent wiring of the unit, this is an electrical hazard (see Figure 5).

A non-working outlet is not necessarily evidence of an electrical hazard. Fail it only if there is clear evidence of a hazard (e.g., if the electrical box or coverplate gives a shock, or if there are scorch marks



Figure 4: Plastic coated, or "Romex" wire, in a location where it could be abused, requiring a Fail rating.



Figure 5: Surface mounted light switch connected with lamp cord requiring a Fail rating.

around the outlet). Electric cords under rugs or other floor coverings should also be considered a hazard. Extension cords under a rug or carpet represent a potential fire hazard caused by continuing contact between these heat bearing cords and the flammable floor coverings over a period of time. Direct the occupant (or owner) to shift the cords to a safe location (e.g., along the lower edge of a wall) and explain the reason for your advice.

Check Inconclusive and describe potential problems on the Checklist if you are uncertain about the severity of the problem present. Discuss the problem with your supervisor or an electrical expert to settle on a Pass/Fail resolution. This may require that you and an electrical expert return for a second site inspection of the questionable condition.

#### Problem Solving

Where an electrical hazard is found, describe on the Checklist the nature of the hazard(s) and indicate to tenant or landlord why the problem exists.

Minor hazards (e.g., missing or broken switch plates, outlet covers, etc.) may be repaired by the owner. Hazardous wiring will probably require the services of a competent electrician.

#### 1.4 SECURITY

Are all windows and doors that are accessible from the outside lockable?

##### Purpose

To reduce the risk of burglary or other unlawful entry into dwelling.

##### Definitions and Clarifications

"Accessible to outside" means doors that open to the outside or to a common public hall; windows with sills less than 6 feet off the ground; windows or doors leading onto a fire escape, porch or other outside place that can be reached from the ground.

"Lockable" means a door or window that has a properly working lock, is nailed shut, or is designed not to be opened (example: picture window).

For doors, inspect to make certain that the lock is securely fastened to the door and the lock "striker plate" is working and is fastened securely to the door frame so that neither could be dislodged by a sharp blow (see Appendix D for discussion of locks). If any part of the lock is not working or is insecurely fastened to the door or door frame and could be easily jarred loose, check Fail.

A chain lock alone (see Figure 6) is not considered adequate to pass because it is not strong enough; however, a chain lock with another properly working lock would be adequate and would pass.

Also, a simple "bolt" lock (see Figure 7) would not be adequate as the only lock on the front door of the unit since it could not be locked after the door was closed from outside. A "bolt" lock would be adequate as the only lock on the back door since the occupant could first secure it and then leave by another door.

Also check the door frame itself to see if it shows signs of major weakness. If the door frame is so weak that it will not hold the door

and lock securely closed, check Fail. If the door frame shows moderate signs of disrepair and weakness, check Pass and bring the condition to the attention of the tenant and owner.

For windows, see Appendix D for a full discussion of types of windows and window locks that are acceptable. Inspect the locking mechanism on windows closely to make sure that they work. In Figure 8 the lock would not pass because half of the locking mechanism (the part that does not turn) is missing. On some windows you will find that the locking mechanism has been loosely screwed into soft wood or makeshift repairs have been attempted. A window lock that will not hold should fail.

Windows that are nailed shut (see Figure 9) are considered secure and should pass. However, the nailing shut of a window must not close the only other means of egress from the building in case of fire, and must not seriously decrease the air circulation in the unit. If the room is regularly used for sleeping, there should also be one window that is openable unless none of the windows are designed to be opened (like picture windows).

#### Problem Solving

Indicate on the Checklist (and to tenant or landlord) which doors or windows require locks. Windows may be nailed shut to pass as long as the additional considerations discussed above (egress and ventilation) are observed.



Figure 6: Chain lock.

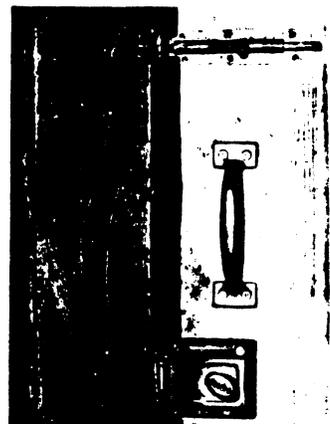


Figure 7: Simple "bolt lock" (above door handle); below door handle is typical acceptable locking device.

For doors that require new locks, locks are available at most hardware stores at moderate cost. Window locks may also be obtained from a hardware store at minimal cost and are easily installed with a screwdriver.

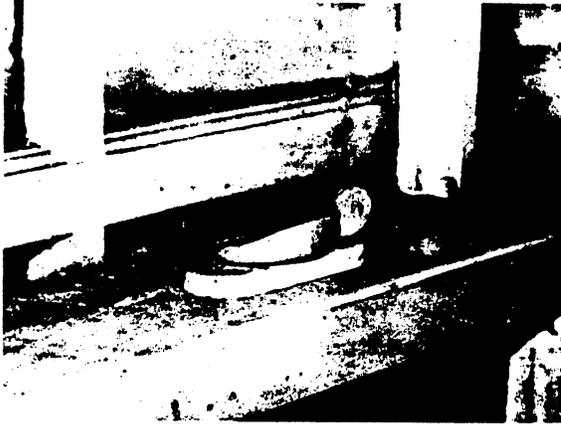


Figure 8: Inadequate window lock  
(half of lock is missing).

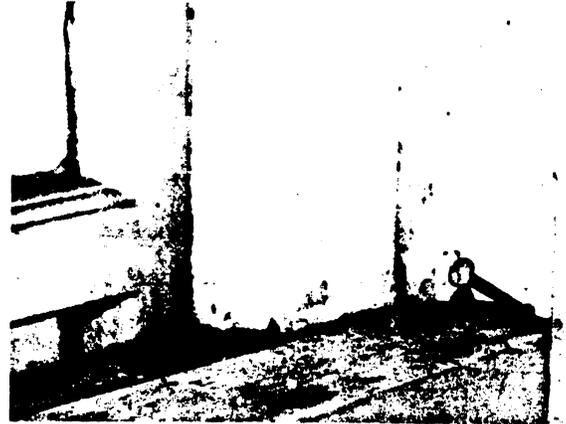


Figure 9: Window nailed shut.

#### 1.5 WINDOW CONDITION

Is there at least one window, and are all windows free of signs of severe deterioration or missing or broken-out panes?

##### Purpose

To assure that there is at least one window in the living room for natural light and to determine that all windows in the room are reasonably weathertight.

##### Definitions and Clarifications

If you are unfamiliar with the different types of windows and window parts (e.g., if you do not know terms such as "window sash" and "meeting rail") read the discussion of windows in Appendix D. Examine all the windows in the room (including windows in doors).

"Severe deterioration" means that the window is no longer able to keep out the wind, snow, or rain, or that broken glass presents a hazard. Examples of severe deterioration are missing or broken-out panes; dangerously loose, cracked panes; windows that will not close; windows that, when closed, do not form a reasonably tight seal and allow serious drafts to enter (see Figures 10 and 11). If more than one window in the room is in this condition, give details in the space provided on the right of the Checklist.

If there is only moderate deterioration of the windows the item should pass. "Moderate deterioration" means that the windows are reasonably weathertight, but show evidence of some aging, abuse, or lack of repair. Signs of deterioration include minor cracks in the window pane, splintered sills, signs of some minor rotting in the window frame or the window itself, and loose window panes because of missing window putty. The critical point between Pass and Fail is whether the window forms a reasonably tight seal against the weather and whether, if cracked, someone could cut themselves.

For purposes of this inspection, a skylight is to be considered a window and rated like other windows.

In some cases, a window that is severely deteriorated can be made weathertight through the use of weatherstripping. If this has been done and the window is now weathertight, check Pass.

Screens are not required as part of this nationwide, minimum standard. However, an individual PHA is free to adopt a higher standard that does require screens with HUD Field Office approval, provided that this does not unduly restrict the availability of otherwise acceptable housing.

#### Problem Solving

If the item fails because there is no window in the room, the installations of a window is a fairly expensive repair that many owners will not be willing to undertake.

If the item fails because one or more windows are severely deteriorated, indicate on the Checklist which windows are affected. The extent of repair will range from the simple, relatively inexpensive replacement of a pane of glass (most hardware stores can do this if the window can be removed and taken in), to much more expensive replacement of window sashes and window frames. In some cases a window can be made weathertight by installing inexpensive weatherstripping between the window sash and the window frame.

If windows show only moderate deterioration or cracked glass, indicate what repairs are needed on the Checklist and show the defects to the tenant and landlord. Simple repairs include replacing missing window putty, replacing sash cords, and installing new weatherstripping.



Figure 10: Example of severe window deterioration requiring Fail rating.



Figure 11: Example of severe window deterioration requiring Fail rating.

#### 1.6 CEILING CONDITION

Is the ceiling sound and free from hazardous defects?

##### Purpose

To assure that the tenant is not exposed to any structural hazards (e.g., ceiling about ready to collapse), or to any danger of a large amount of falling plaster or other heavy surface materials, and to assure that room is reasonably weathertight.

##### Definitions and Clarifications

If you are unfamiliar with the basic structure of a ceiling or wall and are unfamiliar with terms like "lath," "unkeyed plaster," and "sheet-rock," review the discussion of ceiling and wall construction in Appendix D.

"Unsound or hazardous" means the presence of such serious defects that either a potential exists for structural collapse or that large cracks or holes allow significant drafts to enter the unit. This condition includes severe bulging or buckling; large holes; falling surface materials (other than paper or paint); loose sections of plaster in danger of falling; many missing parts such as ceiling tile.

Figure 12 shows an example of a hazardous condition. The ceiling plaster has been heavily damaged by a water leak and has likely become "unkeyed" or separated from the lath above it. It may be ready to fall; rate it Fail. Plaster that has become "unkeyed" will severely bulge away from the lath. One good way to test whether the plaster has become unkeyed is to tap it lightly with a broom handle to see if it sounds hollow or "gives" slightly under pressure. When doing this, however, be very careful not to tap so hard that the plaster comes down.

Figure 13 gives an example of a large hole in the ceiling that could allow significant drafts to enter the unit.

If the ceiling is basically sound with some nonhazardous defects, check Pass and record the defects on the Checklist. Conditions that would fit this description include small holes or cracks, minor crumbling of plaster, some missing or broken ceiling tiles, water stains where there is no evidence to indicate that the plaster has become unkeyed, dirty surfaces, peeling paint, and unpainted surfaces. If paint is peeling, see Item 1.9, Lead Based Paint.

#### Problem Solving

If an unsound or hazardous ceiling appears to involve a main structural defect (e.g., a severely bowed ceiling rafter), describe the condition on the Checklist and suggest that the landlord contact a competent contractor or carpenter to obtain an estimate of necessary repairs.

If an unsound or hazardous condition or nonhazardous defect appears to involve only the surface materials, indicate on the Checklist how the condition may be remedied.

The extent of repair needed will vary with the size of surface area affected. For example, if a relatively small area of plaster (2' X 2') is bulging, it may be possible to secure the loose area to the lath with nails or plaster buttons (nails with large heads that can be purchased at a hardware store). In some cases it may be necessary to remove the affected area and replaster. As long as the area is small, the job should be relatively inexpensive. If the affected area is large (6' x 6') it will be necessary to get an estimate from a contractor or plasterer to

determine the extent and cost of repair. In many cases when large areas of a ceiling are unkeyed, the entire ceiling may have to be replastered or recovered with sheetrock.



Figure 12: Example of ceiling heavily damaged by water. Ceiling is bulging and has become unkeyed, requiring Fail rating.

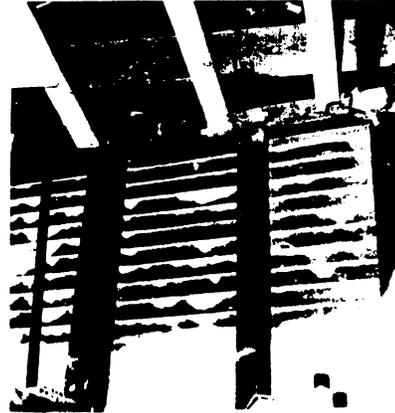


Figure 13: Example of a large hole in a ceiling, requiring a Fail rating.

#### 1.7 WALL CONDITION

Are the walls sound and free from hazardous defects?

##### Purpose

To assure that the tenant is not exposed to any structural hazards (e.g., weak, buckling or leaning walls) and to assure that room is reasonably weathertight.

##### Definition and Clarification

If you are unfamiliar with the basic construction of walls and ceilings and do not recognize terms such as "stud," "lath," and "sheetrock" review Appendix D, Wall Construction.

This item should be rated Fail if there are unsound or hazardous conditions including severe buckling, bulging or leaning; damaged or loose structural members; large holes or any holes, regardless of size, that allow significant drafts. Figure 14 shows a hole in a wall that would be rated Fail. A good "rule of thumb" is that if the hole is so large that the Inspection

Checklist (i.e., 8" X 11") will not completely cover it, the item should be rated Fail. Also, if the hole is in an exterior wall of the unit, and its location causes serious drafts, the item should be rated Fail.

Pass walls that are basically sound but have some nonhazardous defects, including small or shallow holes, loose or missing parts, unpainted surfaces. Figure 15 illustrates an example of a condition that would fall into this category. Record this condition on the Checklist and bring it to the attention of the tenant and owner. If paint is peeling, see Item 1.9, Lead Paint.

When evaluating the condition of the walls, make sure to examine all the walls. Make sure to include in your ratings the worst condition observed. That is, if three of four walls are sound but the fourth has a large, jagged hole that lets outside air in, rate the wall condition Fail.

#### Problem Solving

Where an "unsound or hazardous" wall condition appears to involve a major structural defect (e.g., a loose post or one or more damaged studs), describe the condition on the form and suggest that the landlord contact a competent contractor or carpenter to obtain an estimate of necessary repairs.

Where an unsound or hazardous condition (e.g., a large hole that allows weather to come in) or a nonhazardous defect (e.g., cracked plaster, broken paneling) involves only the surface materials, indicate on the form and to the tenant or landlord how the condition may be corrected. Broken or cracked plaster may be repaired with patching plaster; loose plaster can be secured with nails or plaster buttons; damaged sheet rock can be repaired, renailed, or replaced in sections; loose or broken paneling can be glued or renailed to the wall; peeling paint can be stripped off and the section repainted.



Figure 14: Large hole in wall (approximately 1' X 1.5') that would fail.



Figure 15: Wall condition that would pass but should be recorded on the Checklist.

### 1.8 FLOOR CONDITION

Is the floor sound and free from hazardous defects?

#### Purpose

To assure that the tenant is not exposed to any threat of structural collapse or tripping and to assure that the room is reasonably weathertight.

#### Definitions and Clarifications

If you are unfamiliar with basic floor construction and do not know terms such as "joist," "subfloor," and "sill" review Appendix D, Floor Construction.

"Unsound or hazardous" means the presence of such serious defects that a potential exists for structural collapse or other threats to safety (e.g., tripping) or that large cracks or holes allow substantial drafts or vermin to enter from below the floor. The condition includes severe buckling or major movement under walking stress, large sections of damaged or missing parts (e.g., missing floor boards).

In rating whether a potential exists for structural collapse, inspect the floors for noticeable sagging or "giving" when weight is put on the floor. An unlevel floor that is firm should not fail; fail floors only if they are unsteady or weak.

In rating holes in floors, look for holes which penetrate both the finish floor and the subflooring. This type of hole would allow weather or vermin to enter the unit. A hole in the finish floor alone (that does not go through the subfloor) should not fail unless it represents a serious tripping hazard. Do not fail the item if the hole is a small knot hole in a floor board. To fail, the hole must be significant in size, approximately 4 inches in diameter or larger (see Figure 16). In some cases, a hole may be present in the floor because a part of the heating system is missing; for example, a missing cover on a hot air register is a hazard and should fail (see Figure 17). Also fail the item if the permanent floor covering (e.g., linoleum, wall-to-wall carpet) or floor boards present serious tripping hazards. Do not fail the item if the tripping hazard is not part of the permanent floor covering (e.g., rug supplied by tenant), but bring this to the tenant's attention.

Conditions for which you would not fail the item, but about which you should comment on the Checklist include significant scuffing, marring or scratches in the floor finish or other floor covering; minor damage to a linoleum or parquet floor; damage to floor coverings which if allowed to continue might become a tripping hazard to the occupant (but is not now a tripping hazard), and soiled floor coverings.

#### Problem Solving

If the floor is unsteady and weak it will probably be necessary to enlist the service of a contractor or carpenter to estimate the extent of repair. If the floor fails because of a hole in the surface and subflooring, in many cases the repair can be undertaken at relatively minimal cost (e.g., a replacement piece of floor board can be secured to cover the hole). If the reason for failure is that the floor surface material represents a tripping hazard, estimate the repair cost on the basis of the area of floor surface material that would have to be replaced. Possible remedies to nonhazardous surface defects include replacing missing pieces of parquet, sanding and refinishing scuffed and worn surfaces, installing new linoleum, installing new carpet.



Figure 16: Example of hole in floor that would fail.



Figure 17: Missing cover on hot air register requiring a Fail rating.

### 1.9 LEAD PAINT

Are all interior surfaces either free of cracking, scaling, peeling, chipping and loose paint or adequately treated and covered to prevent exposure of the occupants to lead-based paint hazards?

#### Purpose

To prevent occupants of the dwelling unit from exposure to lead-based paint and the risks of lead paint poisoning.

#### Definitions and Clarification

Many older buildings may still have interior surfaces which have been painted with lead-based paint. Chips of paint containing lead can be picked up and eaten by small children. Over time, ingestion of lead-based paint by children can build up amounts of lead in their bodies that can cause severe health problems, including brain damage or, in the worst cases, death.

The lead paint requirement stated under the Checklist item above applies to all painted interior surfaces within the unit (including ceilings) that are chipping, peeling, cracking. It does not apply to furniture.

If any surface in the room has chipping, peeling or cracking paint, it fails, regardless of whether the paint has been tested for lead content. In order to fail, the paint must be noticeably loose and separating from the surface material. Do not fail painted surfaces that are basically intact. Also, see item 8.11 of the Checklist for requirements for owner certification that treatment work has been completed prior to signing or renewal of HAP Contract.

#### Problem Solving

The specific surfaces that fail (i.e., have loose, peeling, or cracking paint) must be treated in the following manner: they must be thoroughly washed, sanded, scraped, or wire brushed to remove all loose paint before repainting with at least two coats of a nonleaded paint or they must be covered with a suitable material such as sheet rock, wallboard, wallpaper or other wall covering, plywood, plaster, or other paneling material. The extent of the repair will vary with the size of the affected surface area. The removal and repainting of a relatively small area represents fairly modest repair cost.

## 2. Kitchen

### 2.1 KITCHEN AREA PRESENT

Is there a kitchen?

#### Purpose

To verify that the dwelling unit contains a kitchen or kitchen area for the preparation and storage of food.<sup>1</sup>

#### Definitions and Clarifications

A kitchen is an area used for preparation of meals. It may be either a separate room or an area of a larger room (for example, a kitchen area in an efficiency apartment).

Kitchens are defined in two ways. First, they are defined by function. A separate kitchen or kitchen area must be used primarily for the preparation and storage of food. Thus, a bedroom with a refrigerator is not a kitchen. Second, they are defined by the facilities they contain. A kitchen or kitchen area must have all of the following items:

- a separate kitchen sink with piped hot and cold water for preparing food and washing dishes;
- a stove for cooking food;
- a refrigerator to store perishable food.

Note that the refrigerator may be found in the back hall or in the "pantry."

#### Problem Solving

Describe the kitchen area deficiencies on the Checklist in enough detail to be able to explain to the tenant and landlord exactly why the item fails. Be sure you can explain what would be required to satisfy the requirements of the item.

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<sup>1</sup>The kitchen requirements for Congregate Housing and Independent Group Residences are somewhat different from those stated below. See Appendix F.

2.2 - 2.9    ELECTRICITY  
              ELECTRICAL HAZARDS  
              SECURITY  
              WINDOW CONDITION  
              CEILING CONDITION  
              WALL CONDITION  
              FLOOR CONDITION  
              LEAD PAINT

Definitions and Clarifications

The instructions for the items above are the same as those given for living room with the following exceptions:

2.2        ELECTRICITY

Is there at least one working electric outlet and one working, premanently installed light fixture?

Note that for the kitchen this electricity requirement is slightly different from that for the living room. In the kitchen a permanently installed light fixture is required. Two outlets without a permanent fixture is not acceptable.

2.5        WINDOW CONDITION

Are all windows free of signs of deterioration or missing or broken-out panes?

Note that the absence of a window in the kitchen does not fail this item, as it did in the living room. If there are no windows, check Pass.

2.10      OVEN AND STOVE OR RANGE

Is there a working oven, and a stove (or range) with top burners that work?

Purpose

To assure that a stove or range and an oven are present and in working order for use by the occupant.

Definitions and Clarifications

Both an oven and a stove (or range) with top burners must be present and working (regardless of whether the tenant or the owner is responsible for the appliance). If either is missing and you know that the landlord is responsible for supplying these appliances, check Fail. Put a check in the Inconclusive column if the tenant is responsible for supplying the appliance and he or she has not yet moved in. Contact tenant or prospective tenant to verify that the facility will be supplied and is in working condition. Hot plates are not acceptable substitutes for an oven, stove, or range.

An oven is not working if it will not heat up (see Figure 18). To be working stove or range must have all burners working and all operating knobs present (see Figure 19). Also, look for hazardous gas hook-ups evidenced by strong gas smells; these fail. Be sure that this condition is not confused with an unlit pilot light, a condition that should be recorded on the Checklist but does not fail.

If both the oven and a stove or range are present, but the gas or electricity is turned off, check Inconclusive. Contact the owner or manager to get verification that the facility works when gas or electricity is turned on.

If both an oven and a stove or range are present and working but defects exist, check Pass and note the defects on the Checklist. Possible defects include broken or missing minor appliance parts; marked, dented, or scratched surfaces; limited size relative to family needs; and cracked burner rings.

In order to determine working condition, turn the stove on to see if it works. Then turn it off immediately. Be careful with gas ovens; some may need a match to ignite them. Make sure you have turned all switches off before leaving.

Problem Solving

If a rating is Fail or Inconclusive, give enough details on the Checklist for the tenant or the landlord to make a decision about the repair or possible replacement of the defective appliance.



Figure 18: A detached oven door must be rated Fail.

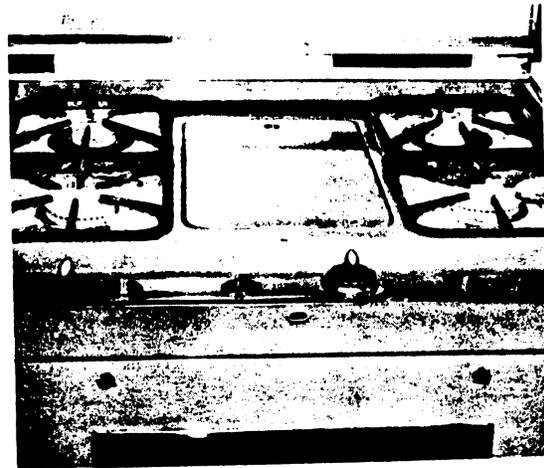


Figure 19: Some missing knobs on a stove would fail since the burners are not operable.

2.11 REFRIGERATOR

Is there a refrigerator that works that can maintain a temperature low enough so that food does not spoil over a reasonable period of time?

Purpose

To assure that a properly working refrigerator is or will be available for the use of the occupant.

### Definitions and Clarification

If no refrigerator is present, use the same criteria for marking either Fail or Inconclusive as were used for the oven and stove or range.

A refrigerator is not working if it will not maintain a temperature low enough to keep food from spoiling over a reasonable period of time.

To be "working," the refrigerator also must have at least some capability for storing frozen goods. If the electricity is turned off mark Inconclusive. Contact the owner (or tenant if the unit is occupied) to obtain verification of working condition.

If the refrigerator is obviously inadequate in size relative to the needs of the family, this warrants a Fail rating. For example, a small "counter top" style refrigerator would obviously not be adequate for a large family.

If the refrigerator is present and working but minor defects exist, check Pass and note these on the form. Possible defects include broken or missing interior shelving, badly dented or scratched interior or exterior surfaces, minor deterioration of door seal (see Figure 20) or a loose door handle.

### Problem Solving

If refrigerator is defective, and you have rated it Fail or Inconclusive, be sure to give all details that caused it to fail. This might make the difference in deciding between repairs or replacement.

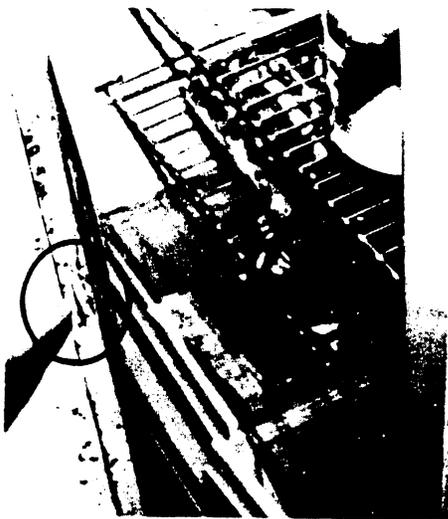


Figure 20: A minor deteriorated gasket should be passed with comments noted.

2.12 SINK

Is there a working kitchen sink with hot and cold running water?

Purpose

To assure that a properly connected sink is present in the unit.

Definitions and Clarifications

If a permanently attached kitchen sink is not present in the kitchen or kitchen area, mark Fail. A sink in a bathroom will not satisfy this requirement. A sink is not working unless it has running hot and cold water from the faucets and a properly connected drain with gas trap (see Appendix D for an illustration and explanation of gas trap). In a vacant apartment, the hot water may have been turned off and there will be no hot water. Mark this Inconclusive. Check with owner or manager to verify that hot water is available when service is turned on. If a working sink has defects, note this on the right of the form. Possible minor defects include dripping faucet; marked, dented, or scratched surface; slow drain; missing or broken drain stopper.

Always turn on both the hot and cold water and inspect the plumbing under the sink for leaks while the water is turned on.

Problem Solving

Where you encounter minor leaks or slow drains, these generally can be remedied at minor or moderate cost. Always be sure to detail all defects so they may all be remedied at once if a plumber is called in.

2.13 SPACE FOR STORAGE AND PREPARATION OF FOOD

Is there a space to store and prepare food?

Purpose

To determine if there is some space for storage and preparation of food in the kitchen or kitchen area.

Definitions and Clarifications

Some space must be available for storage and preparation of food. Storage space includes pantries and closets containing shelves. If there is no built-in space for food storage and preparation, a table used for food preparation and a portable storage cabinet will satisfy the requirement. If there is no built-in space and no room for a table and storage cabinet, check Fail. If there are some defects, check Pass and make notes on the right of the Checklist. Possible defects include marked, dented or scratched surfaces; broken shelving or cabinet doors; broken drawers or cabinet hardware; limited size relative to family needs. The tenant decides on the adequacy of space and the PHA determines whether some space exists.

Problem Solving

Where there is little or no space for storage and preparation of food (e.g., a small efficiency apartment), would a rearrangement of the furniture and the installation of an inexpensive kitchen "starter unit" (usually an inexpensive 5-foot or 6-foot set of base and wall cabinets) solve the problem?

### 3. Bathroom

#### 3.1 BATHROOM PRESENT

Is there a bathroom?

##### Purpose

To assure that there is at least one bathroom present in the dwelling unit for the exclusive use of the occupant and there is a working toilet, washbasin, and tub or shower.

##### Definitions and Clarifications

Most units have easily identifiable bathrooms (i.e., a separate room with toilet, washbasin, and tub or shower). In some cases, however, you will encounter units with scattered bathroom facilities, for example, a toilet, washbasin, and tub or shower located in separate parts of the unit. At a minimum there must be an enclosure around the toilet (see Figure 21). In this case, count the enclosure around the toilet as the bathroom and proceed with 3.2 through 3.9, with respect to this enclosure. Additional note: if there is a second bathroom that is normally used, rate this in Part 4: Other Rooms Used for Living (see Section III-4 of this Manual for a discussion of how to rate "other rooms"). Additional bathroom facilities (i.e., a second toilet, washbasin, tub or shower) do not require a rating since only one set of working bathroom facilities is required. However, Part 4, Other Rooms Used for Living, must be completed to indicate the condition of this room and to check basic health and sanitary concerns.

If the three specified fixtures are not readily observable, ask the tenant or landlord where they are located. In some parts of the country old houses have had the bathroom added on to the unit in unconventional ways, or it may be located in the cellar.

##### Problem Solving

New bathrooms are expensive. There is probably no low cost or easy remedy to the absence of a bathroom. If only a tub/shower or lavatory is missing, the landlord may be willing to provide one. Determine if there appears to be available space for the easy addition of a missing fixture.



Figure 21: Toilet in enclosure separate from tub and sink.

- 3.2-3.9    ELECTRICITY  
          ELECTRICAL HAZARDS  
          SECURITY  
          WINDOW CONDITION  
          CEILING CONDITION  
          WALL CONDITION  
          FLOOR CONDITION  
          LEAD PAINT

Definitions and Clarifications

Explanations for these items are the same as those provided for living room with the following modifications:

3.2        ELECTRICITY

Note: The requirement is that at least one permanent light fixture be present and working. No outlet is required. Also, an outlet cannot be substituted for an overhead light.

3.3        ELECTRICAL HAZARDS

Note: In addition to the previously mentioned hazards, outlets or electrical appliances (e.g., electric heater) that are too near where water might splash are considered an electrical hazard.

For example, an outlet or electric heating appliance very close to the bathtub could represent a hazard (see Figure 22). An outlet on or near a medicine cabinet would not represent a hazard.

3.5 WINDOW CONDITION

Note: The absence of a window in the bathroom does not fail this item (see Item 3.13, Ventilation, for relevance of window to ventilation). If there is no window, check Pass for item 3.5.

3.7 WALL CONDITION

3.8 FLOOR CONDITION

Note: Check for severe wall and floor condition problems (requiring a Fail rating) caused by water damage around the tub or shower (see Figure 23). Also look for nonhazardous defects that would pass but would merit comment on the form, such as broken or loose tile; deteriorated grouting at tub/wall and tub/floor or tiled surfaces; water stains (see Figure 23).

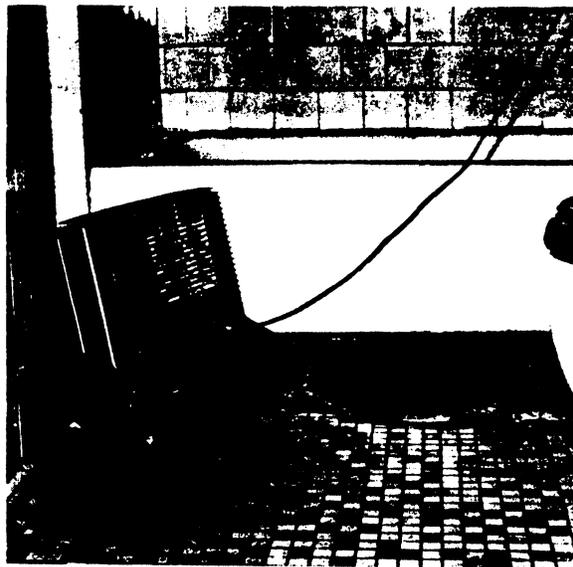


Figure 22: This portable electric heater is being used in a hazardous manner and should be failed. The heater cord has been stretched to reach an outlet on a medicine cabinet and the heater itself is located too near the tub.

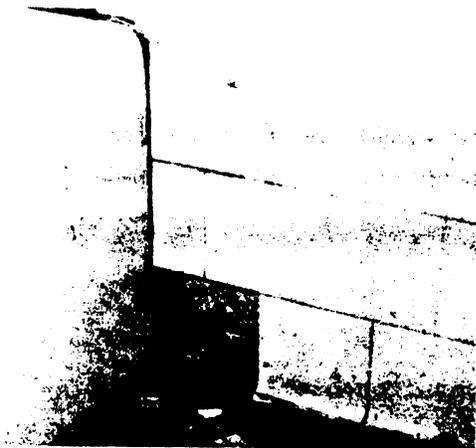


Figure 23: Severe wall and floor deterioration around the tub requiring a Fail rating.



Figure 24: Less serious wall deterioration around tub requiring a Pass rating with comments written on.

3.1.1 FLUSH TOILET IN ENCLOSED ROOM IN UNIT

Is there a working toilet in the unit for exclusive private use of the tenant?

Purpose

To provide basic sanitary facilities for the exclusive use of the tenant.

Definitions and Clarifications

The toilet must be contained within the dwelling unit and be available for the exclusive use of the occupants of the unit (i.e., outhouses or facilities shared by occupants of other dwelling units are not acceptable). It must allow for privacy (i.e., generally closed off by a door).

Not working means one or more of the following: the toilet is not connected to a water supply or is not connected to a sewer drain; the connections (or vents or traps) are faulty to the extent that severe leakage of water or escape of gasses occurs (evidenced by strong sewer smells or a large amount of water leaking on the floor); the toilet will not flush either because it is clogged or because the mechanism within the tank at the back of the toilet does not work.

If the water to the unit has been turned off, check Inconclusive. Obtain verification from owner or manager that the facility works properly when water is turned on.

Pass, but comment on the Checklist if the toilet is "present, exclusive and working" but has the following types of defects: constant running of water; chipped or broken porcelain (see Figure 25); a cracked toilet seat; a slowly draining toilet (this is acceptable as long as the toilet still flushes). In most cases a slow draining toilet represents a maintenance problem that can be remedied relatively easily with a "plumber's helper." If, however, the blockage is more serious or occurs further along in the sewer line, causing backup, refer to Item 7.7 under the Heating and Plumbing part of the Checklist. A sign of serious sewer blockage is the presence of numerous backed up drains.

Always try to test the toilet for working condition by flushing it except when it appears to be clogged; trying to flush a clogged toilet may cause it to overflow.

#### Problem Solving

Some minor problems can be fixed by replacing inexpensive parts. Other toilet problems require the attention of a plumber. Be sure that you list the existing problems in enough detail so that the tenant or landlord can make an easy appraisal of the extent of the problem.

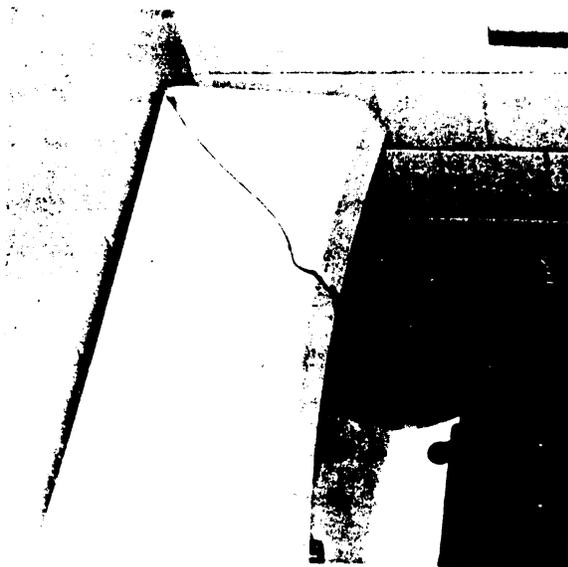


Figure 25: Cracked porcelain condition that would pass with comment.

3.11 FIXED WASHBASIN OR LAVATORY IN UNIT

Is there a working, permanently installed washbasin with hot and cold running water in the unit?

Purpose

To provide basic sanitary facilities for the tenant.

Definitions and Clarifications

The washbasin must be permanent. A portable washbasin does not satisfy the requirement. Also a kitchen sink used to pass the requirements under Part 2 of the Checklist (Kitchen) cannot also serve as the bathroom washbasin. The washbasin may be located separate from the other bathroom facilities (e.g., in a hallway).

Not working means the washbasin is not connected to a system that will deliver hot and cold running water; it is not connected to a drain with a "gas trap"; it is clogged; or the connectors (or vents or traps) are faulty to the extent that severe leakage of water or escape of sewer gasses occurs. (This will be evidenced by a strong sewer smell or evidence of water leaks on the floor.)

If the water to the unit or the hot water heater has been turned off, check Inconclusive. Obtain verification from owner or manager that the system is in working condition.

Pass the item but comment on the Checklist if the washbasin is present and working but has the following types of defects: low water pressure; dripping faucets; minor leaks; cracked or chipped porcelain; a slow drain; partially rusted or defective faucet handles; basin insecurely fastened to the wall or floor.

Make sure to turn on the hot and cold water; look under the lavatory for leaks while the water is running and verify that the sink drains properly.

#### Problem Solving

Always make detailed notes of the nature and extent of any problems encountered. Some problems can be resolved easily (e.g., installing new washers to fix a dripping faucet or tightening loose settings, unclogging drains with a "plumber's helper" or "plumber's snake"). Plumbing that leaks because of serious corrosion can represent more costly repair since the remedy may require replacement of fixtures and sections of pipe.

#### 3.12 TUB OR SHOWER IN UNIT

Is there a working tub or shower with hot and cold running water in the unit?

#### Purpose

To provide basic sanitary facilities for the use of the tenant.

Definitions and Clarifications

Not present means that neither a tub nor shower is present in the unit. Again, these facilities need not be in the same room with the rest of the bathroom facilities.

Not working covers the same requirements detailed above for washbasin, Item 3.11.

Pass the item but comment on the right of the form if the tub or shower is present and working but has the following types of defects: a dripping faucet; minor leaks; cracked porcelain; slow drain; absent or broken support rod for the shower curtain; cracked, broken or missing tile; deteriorated grout around the tub.

Make sure to turn on both hot and cold water to the tub or shower to verify that the water supply and drain are all working properly.

Problem Solving

See the discussion of plumbing problems under Items 3.10 and 3.11.

3.13      VENTILATION

Are there openable windows or a working vent system?

Purpose

To make sure that the bathroom can be properly ventilated by an openable window or mechanical or other vent to prevent the accumulation of unhealthy odors and sewer gasses.

Definitions and Clarifications

If there is no openable window in the bathroom, then there must be a working exhaust vent system. The types of ventilation systems that will pass are: electric fan vents, either wall or ceiling mounted, and gravity flow/chimney effect vent pipes, or shafts, that allow air to escape to the outside without an electric fan.

If the ventilation system is an electric fan type, the fan must operate when there is electric current and the fan is switched on. (Make sure that any malfunctions are not simply due to the ventilation system not being plugged in.)

If an electric current to the unit has not been turned on (and there is no openable window), check Inconclusive. Obtain verification from owner or manager that the system works.

Windows and other ventilation systems must vent to the outside, attic or crawlspace.

Problem Solving

If neither an openable window nor an exhaust vent system are present in the bathroom, the least expensive remedy is the installation of an electric venting fan--especially if the bathroom is located adjacent to an exterior wall.

#### 4. Other Rooms Used for Living and Halls

It is essential that all rooms in the unit be inspected. Section 4 of the Checklist provides a format for inspecting "other rooms used for living" (i.e., not the living room, kitchen, or bathroom). See the discussion below for definitions of "used for living." Complete an "Other Room" supplement for as many "other rooms used for living" as are present in the unit (and not already noted in Parts 1, 2, and 3 of the Checklist). Supplemental forms are provided in the Checklist for rating these "other rooms." Also complete an "Other Room" supplement for all entrance halls, corridors, halls and staircases that are located within the unit and are part of the area used for living. If a hall, entry, or stairway are contiguous, rate them as a whole--that is, as part of one space.

Definition of "used for living": "Rooms used for living" are areas of the unit that are walked through or lived in on a regular basis. Do not include rooms or other areas that have been permanently or nearly permanently closed off or areas that are infrequently entered. For example, do not include a utility room, attached shed, attached closed-in porch, basement, or garage if it is closed off from the main living area or is infrequently entered. Do include any of these areas if they are frequently used (e.g., a finished basement or playroom or a closed-in porch that is used as a bedroom during summer months). The occasional use of a washer or dryer in an otherwise unused room does not constitute "regular" use of the room.

If the unit is vacant and you do not know the eventual use of a particular room, complete an "Other Room" supplement if there is any chance that the room will be used on a regular basis. If there is no chance that the room will be used on a regular basis, do not include it (e.g., an unfinished basement).

4.1 ROOM CODE       
ROOM LOCATION:  
right/left \_\_\_\_\_  
front/rear \_\_\_\_\_  
floor level \_\_\_\_\_

Purpose

To identify the "Other Room" being inspected.

Definitions and Clarifications

Enter the appropriate room codes as given below:

ROOM CODES

- 1 = Bedrooms or any other room used for sleeping (regardless of type of room)
- 2 = Dining Room
- 3 = Second Living Room, Family Room, Den, Playroom, TV Room
- 4 = Entrance Halls, Corridors, Halls, Staircases
- 5 = Additional Bathroom
- 6 = Other

Also, write the ROOM LOCATION on the line provided. This will be helpful in later communicating to owner and tenant exactly which room had deficiencies. Record the location of the room as if you were standing looking at the front entrance to the unit from outside the unit.

- right/left: record whether the room is situated to the right, left, or center of the unit.
- front/rear: record whether the room is situated to the back, front, or center of the unit.
- floor level: identify the floor level on which the room is located.

If the unit is vacant you may have some difficulty predicting the eventual use of a room. Before giving any room a code of 1 (bedroom), the room must meet all of the requirements for a "room used for sleeping" (see Items 4.2 and 4.5).

4.2-4.9    ELECTRICITY  
          ELECTRICAL HAZARDS  
          SECURITY  
          WINDOW CONDITION  
          CEILING CONDITION  
          WALL CONDITION  
          FLOOR CONDITION  
          LEAD PAINT

Explanation of these items is the same as that provided for Living Room with the following modifications:

4.2        ELECTRICITY/ILLUMINATION

If room code = 1, are there at least two working outlets or one working outlet and one working permanently installed light fixture? If room code does not = 1, check to see if there is a means of natural or artificial illumination such as a light fixture, wall outlet to serve a lamp, a window in the room, or adequate light from an adjacent room (e.g., through an archway). If not, check Fail.

4.5        WINDOW CONDITION

If room code = 1, is there at least one window? And, regardless of the room code, are all windows free of signs of severe deterioration or missing or broken-out panes?

In rooms used for sleeping, if the windows were designed to be opened, at least one window must be openable.

## Other Rooms Used For Living

The minimum standards do not require a window in "Other Rooms" not used for sleeping. Therefore, if there is no window in another room not used for sleeping the room passes the window condition; check Pass (no window).

Additional Note: If the room being inspected is an additional bathroom, the following items must also be checked:

- . Does the bathroom sink have a gas trap to prevent the entrance of sewer gas?
  
- . Is the second bathroom free from any serious health and sanitary problems (e.g., clogged toilet, serious water leak, entrance of sewer gas)?

If any of these health and sanitation problems exist, the second bathroom should receive a Fail rating regardless of other ratings on Part 4 (Items 4.2 through 4.9). This should be documented in the comments section of the Checklist.

All the ingredients of a second bathroom need not be present if the first bathroom is complete and available.

## 5. All Secondary Rooms

If any room in the unit did not meet the definition for "other rooms used for living" in Part 4, it is considered a "secondary room (not used for living)". Rate all of these rooms together (i.e., a single Part 5 Checklist is used for all secondary rooms in the unit).

Inspection is required of Security (Item 5.2) and Electrical Hazards (Item 5.3) since hazardous defects under these items could jeopardize the rest of the unit even if they are present in rooms not used for living. Also, be observant of any other potentially hazardous features in these rooms and record under 5.4.

### 5.1 NONE / GO TO PART 6

If there are no "secondary rooms (not used for living)", check NONE and go to Part 6.

### 5.2 SECURITY

### 5.3 ELECTRICAL HAZARDS

Explanation of these items is the same as provided for Living Room.

### 5.4 OTHER POTENTIALLY HAZARDOUS FEATURES IN ANY OF THESE ROOMS

Are all of these secondary rooms free of any other potentially hazardous features? For each room with an "other potentially hazardous feature," how is interior access to the room controlled?

#### Purpose

To allow the inspector to identify on the Checklist any other types of hazards that may be present in secondary rooms and may jeopardize the occupants.

#### Definitions and Clarifications

If there are any features or defects in these rooms which you think might be potentially hazardous, give a full explanation in the space provided. Possible examples include:

- unstable stairs or stairs with a tripping hazard;
- stairs without a railing;
- large holes in floors, walls or ceilings;
- evidence of imminent structural collapse;
- windows or doors in seriously deteriorated condition;
- protruding nails or other sharp objects in walls, floors, ceiling, etc.

In recording "other potentially hazardous features" assess the means of access to the room with the hazard (e.g., lockable door, unlockable door, screen or curtain, or no control) and the frequency of use of the area where the hazard is located. For example, if a basement stair has no railing but it is almost never used, the risk to the occupant is probably not enough to warrant a rating of Fail. Also, take into consideration the control of access to the room. For example, if the room with the hazard can be closed off and locked, this would probably substantially reduce the risk to the occupant. In arriving at a final resolution on Pass/Fail take all of these factors into consideration. If you are uncertain about a Pass/Fail decision, check Inconclusive and discuss the condition with the inspection supervisor.

See Appendix B for an example of how to rate "Secondary Rooms (Not Used for Living)."

## 6. Building Exterior

### 6.1 CONDITION OF FOUNDATION

Is the foundation sound and free from hazards?

#### Purpose

To assure that the foundation has the capacity to properly support the building and keep ground water out of the basement under normal rainfall conditions.

#### Definitions and Clarifications

"Unsound or hazardous" means foundations with severe structural defects indicating the potential for structural collapse, or foundations that allow significant entry of ground water evidenced by flooding in the basement.

The following conditions are indicative of structural instability (if present they will be evident from outside the building or in the basement):

- evidence of major recent settling;
- large cracks or holes;
- severe leaning;
- large sections or crumbling brick, stone, or concrete (see Figure 26);
- undermining of footings, walls, posts or slab;
- major deterioration of wood support members due to water damage or termites.

If piers or other parts of the foundation look questionable but the structure above feels stable, pass the item.

#### Problem Solving

Most conditions that would be serious enough to fail this item would require substantial repair and expense to correct. There are however some exceptions; for example, under some circumstances a foundation post that has seriously decayed and weakened can be replaced at modest cost.



Figure 26: This erosion of part of the foundation has caused serious shifting and probable weakness in the structure above and should fail.

## 6.2 CONDITION OF STAIRS, RAILS AND PORCHES

Are all the exterior stairs, rails and porches sound and free from hazards?

### Purpose

To assure that the condition of all exterior stairs, railings and porches do not pose a danger to the tenant of tripping or falling.

### Definitions and Clarifications

"Unsound or hazardous" means stairs, porches, balconies, or decks with severe structural defects such as broken, rotting, or missing steps (see Figure 27); absence of a handrail when there are extended lengths of steps (i.e., generally four or more consecutive steps); absence of or insecure railings around a porch or balcony which is approximately 30 inches or more above the ground (see Figure 28).

If the tenant family has small children, be especially watchful for loose or missing sections of porch railing that might pose a danger to children of falling off the porch. This item also includes the condition of steps leading to the dwelling unit which are not physically attached to the building, like steps up a steep lawn from the sidewalk.

If the unit is part of a multi-unit structure, inspect only the exterior stairs, rails, and porches that are associated with the tenant's apartment or frequently used by the tenants.

Problem Solving

The extent and cost of repair under this item varies considerably from the expensive replacement of a rotted porch to the minor cost of securing a loose railing. Make careful notes defining the extent and location of the defect so that you can report accurately to the owner and tenant.

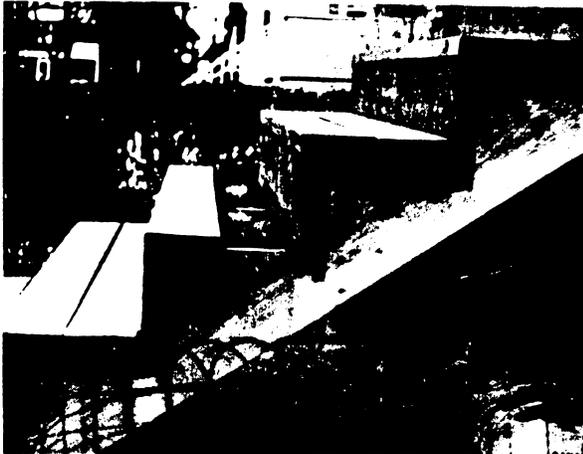


Figure 27: This missing stair tread would fail.



Figure 28: The third story porch has a missing section of railing requiring a Fail rating.

6.3 CONDITION OF ROOF AND GUTTERS

Are the roof, gutters and downspouts sound and free from hazards?

Purpose

To assure that the tenant is not exposed to any risk of structural collapse and that the roof protects the tenant's unit from the outside elements.

Definitions and Clarifications

"Unsound or hazardous" means that the roof has serious defects such as serious buckling or sagging that indicates the potential of structural collapse, or that there are large holes or other defects that would allow significant air or water infiltration. In most cases severe exterior defects will be reflected by equally serious surface defects within the unit (e.g., buckling or water damage).

Most roofs are structurally sound even if they have some sag. A much more common problem with roofs is leakage. A roof that is not weathertight and allows significant amounts of water to leak through to the interior of the unit occupied by the tenant is unacceptable and should fail. On the outside, look for large patches of missing shingles; on the inside look for water damage to the ceiling evidenced by "unkeyed" plaster.

If there are no signs of internal water damage and you cannot see the roof, rate this item Pass, and record "unobservable."

The purpose of gutters and downspouts is to channel water away from the exterior walls and foundation so that there is no water damage to the building. Deterioration of the gutters and downspouts (e.g., rotting or missing pieces) should fail if it causes significant amounts of water to enter the interior of the unit (e.g., by rotting an exterior wall). Deterioration that does not affect the interior of the unit should pass, but be brought to the attention of the owner.

Many houses are built without gutters (e.g., a wide roof overhang serves the same purpose). The absence of gutters is not cause to fail the item since gutters and downspouts are not required to pass this item.

Problem Solving

Most roof and gutter repairs are generally not quickly and easily made by a novice. The tenant or landlord is not likely to undertake even small repairs. Detail your findings when problems are encountered and discuss the situation with the tenant and landlord.



Figure 29: Missing roof shingles; look for signs of entry of water into the interior of the unit. Fail only if there are signs of damage to the interior.



Figure 30: Typical interior water damage from roof leak, requiring Fail rating.

6.4 CONDITION OF EXTERIOR WALLS

Are exterior surfaces sound and free from hazards?

Purpose

To assure that the tenant is not exposed to any danger of structural collapse and that the exterior walls weathertight.

### Definitions and Clarifications

"Unsound or hazardous" means that exterior walls show severe defects such as buckling, bowing, or leaning (see Figure 31); or contain large cracks or falling or missing pieces of masonry; or that significant portions of the exterior walls have deteriorated to the point that would allow water and serious drafts to penetrate. As with the roof condition, the critical issue is whether an exterior wall defect adversely affects the living condition of the interior of the unit. (See Figure 32.) If an exterior wall defect does not affect the tenant's unit, it would not fail. For example, in a multifamily structure, an exterior wall defect located in another part of the building would not affect the tenant's apartment and would not fail.

### Problem Solving

If the exterior wall appears to have been repaired, the damage to the interior wall will probably not recur. If the surface damage has been repaired, but the walls show signs of bulging or buckling (evidence of a "cosmetic fix-up") you will need to determine whether the problem is likely to recur. Bring the conditions to the attention of the landlord for clarification. Beware of "cosmetic rehab" as the underlying problems may still exist.



Figure 31: This small bay window is pulling away from interior wall and has been propped up by a 2"x 4." This is basically unsound and would fail.

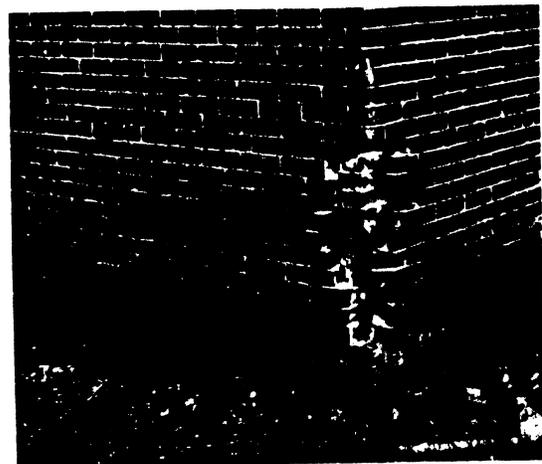


Figure 32: This hole would have to be examined to determine if it weakens the structure or allows drafts into the tenant's apartment. If so, it would fail.

6.5 CONDITION OF CHIMNEY

Is the chimney sound and free from hazards?

Purpose

To assure that the tenant is not exposed to the potential collapse of the chimney and that the chimney is capable of safely carrying smoke, fumes and gasses from the unit to the outside.

Definitions and Clarifications

"Unsound or hazardous" means that the chimney is either seriously leaning or that it shows evidence of deterioration or disintegration of its parts. Many missing bricks and mortar is a sign of disintegration of the chimney. The vast majority of chimneys you will encounter will be relatively sturdy with little or no chance of collapse and will be capable of venting exhaust gasses and smoke reasonably well. This will be true even if there is some missing mortar and bricks. You may, however, encounter some extreme cases that should fail; look for large amounts of missing bricks and mortar. If it is a metal chimney, do all the parts fit tightly and is it properly attached to the building? (See Figure 33.) If the chimney is not observable, check Pass and note "not observable."

Problem Solving

If the chimney appears to be unsound or hazardous, bring this to the attention of the owner and tenant. Chimney repairs cannot be done by amateurs and a decision on repairs will have to be made by the landlord.



Figure 33: This metal chimney has broken and would fail.

6.6 LEAD PAINT--EXTERIOR SURFACES

Are all exterior surfaces which are accessible to children under seven years of age free from cracking, scaling, peeling, chipping, and loose paint or adequately treated or covered to prevent exposure of such children to lead-based paint hazards?

Purpose

To assure that the dwelling unit is free from hazards of lead-based paint.

Definitions and Clarifications

This refers to lead-based paint existing on exterior surfaces of the dwelling structure which include: walls, stairs, decks, porches railings, windows and doors. Outbuildings such as garages and sheds are not subject to this requirement. In order to fail, the paint must be noticeably loose and separating from the surface. The requirement applies to all units regardless of whether children will occupy the unit. (Also, see Item 8.11 of Checklist for discussion of owner certification of completion of treatment prior to signing of HAP contract.)

Problem Solving

See discussion of Lead Paint (Item 1.9, interior surfaces) for Living Room for an explanation of the regulations for treatment or covering of surfaces not in compliance.

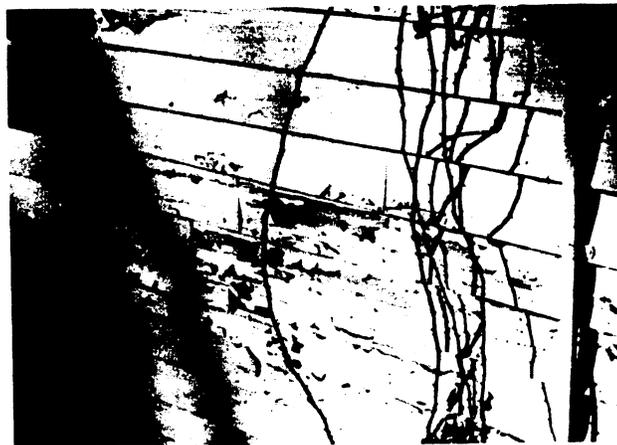


Figure 34: Peeling paint on the exterior wall that would require a Fail rating.

6.7 MOBILE HOMES--TIEDOWNS

If the unit is a mobile home, is it properly placed and tied down?

Purpose

To protect occupants of mobile homes in high wind areas.

Definitions and Clarifications

If the unit is a mobile home, it must be properly placed and tied down to avoid overturning, displacement or other serious damage during a wind storm. "Tie down" devices are required unless a variation of the Acceptability Criteria has been approved by the HUD Area Office.

Figure 35 gives an example of one type of "tie down" device. Alternative types of anchors, beams and foundation bolts are permissible if they meet the manufacturer's specifications for the type of mobile home and particular wind zone.

Problem Solving

The purchase and installation of tie down devices such as those shown below would require moderate expense.

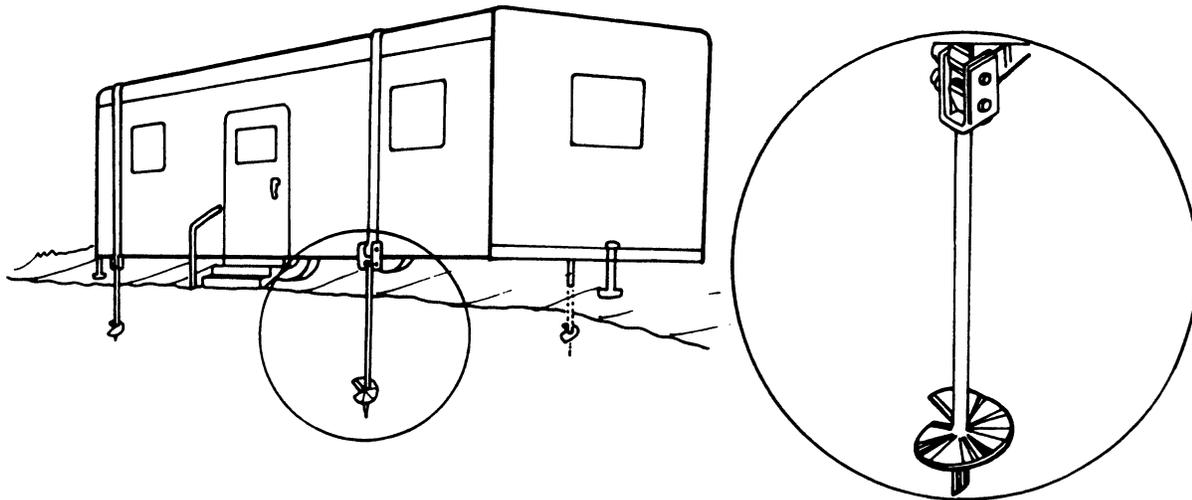


Figure 35: An example of a typical "tie down" device that would satisfy the requirements.

6.8 MANUFACTURED (MOBILE) HOMES--SMOKE DETECTORS

If unit is a manufactured (mobile) home, does it have at least one smoke detector in working condition?

Purpose

To reduce the risk of loss of life in the event of fire.

Definitions and Clarifications

In a manufactured (mobile) home there must be at least one smoke detector present and working. If one is not immediately visible, ask the owner or tenant. Most smoke detectors can be tested by pushing a small "test button" on the face of the detector. When the button is depressed, the alarm should sound.

Problem Solving

Smoke detectors present, but not working, may require new batteries.

If no smoke detector is found, suggest that the owner or tenant buy one at a local hardware or appliance store and install it in the unit. They are relatively inexpensive.

## 7. Heating and Plumbing

### 7.1 ADEQUACY OF HEATING EQUIPMENT

Is the heating equipment capable of providing adequate heat (either directly or indirectly) to all rooms used for living?

#### Purpose

To assure that the occupant will have adequate heat in the unit during the cold months of the year.

#### Definitions and Clarifications

"Adequate heat" means that the heating system is capable of delivering enough heat to assure a healthy living environment in the unit appropriate to the climate. The PHA is responsible for defining what constitutes a healthy living environment in the area of the country in which it operates. Local codes (city or state health and sanitary codes) should be instructive in arriving at a reasonable local definition. For example, for heat adequacy, local codes often require that the unit's heating facility be capable of maintaining a given temperature level during a designated time period.

In defining "Rooms Used for Living," use the instructions given in Part 4 of the Checklist. Heat is not required in "Secondary Rooms (Not Used for Living)."

The terms "directly or indirectly" should be defined as follows:

- "Directly" means that each room used for living has a heat source (e.g., working radiator, working hot air register; baseboard heat).
- "Indirectly" means that if there is no heat source present in the room, heat can enter the room easily from a heated adjacent room (e.g., a dining room may not have a radiator but would receive heat from the heated living room through a large open archway).

If there are no direct or indirect heat sources in a room used for living the unit fails this requirement. If there is heat (direct or indirect) you still must determine whether it is adequate. Several approaches for assessing adequacy are given below.

If the unit is occupied, usually the quickest way to determine the capability of the heating system is to question the tenant. If the unit is not occupied, or the tenant has not lived in the unit during months when heat would be needed, check Inconclusive. It will be necessary to question the owner on this point after the inspection has been completed. If the unit is vacant and it is a multi-unit structure, question other tenants about the adequacy of heat provided.

In certain cases, the adequacy of heat can be determined by a simple comparison of the size of the heating system to the area to be heated. For example, a small permanently installed vented space heater in a living room is probably inadequate for heating anything larger than a relatively small apartment or mobile home.

In areas where the climate requires regular heating, portable electric room heaters as the primary source of heat in a unit are not acceptable and warrant a Fail rating. Similarly, a kitchen stove with a built-in space heater should not be considered adequate for primary heat in areas where the climate requires regular heating.

#### Problem Solving

In some cases, lack of heat may be caused by a relatively simple maintenance problem that does not require the addition of any new heating equipment to the existing system. A qualified heating contractor or a serviceman from a fuel oil company can check a system for malfunctions or obstructed filters and fuel line. In some cases, the addition of storm windows and other forms of winterization and insulation can correct a heat adequacy problem.

If the heat adequacy problem is more serious and the existing system is simply not large enough relative to the area to be heated, new or additional equipment can be added to furnish more heat. However, this is generally very expensive. These remedies might include: adding capacity to the heating

unit; adding capacity to the distribution system (e.g., more ducts to other rooms, more baseboard units, more radiators); installing a new burner or furnace. The landlord should check with a qualified heating contractor to discuss the most efficient way to satisfy heating requirements.

## 7.2 SAFETY OF HEATING EQUIPMENT

Is the unit free from unvented fuel burning space heaters or other types of unsafe heating conditions?

### Purpose

To assure that the occupant is not exposed to hazards of fire or escaping exhaust gasses from the heating system.

### Definitions and Clarification

The inspector must determine if any of the heating equipment poses a safety hazard to the tenant. The main concerns are: potential for fire, and escape of exhaust fumes into the living area. If you are unfamiliar with the basics of a home heating system review Appendix D, Heating Systems.

The PHA and the inspector should consult the local plumbing and heating code and local fire codes for guidance on safety standards applied to heating systems. These codes, however, should only serve as guides; the Section 8 inspection is not meant to be a code inspection.

When the PHA is setting up its guidelines for inspecting heating safety hazards, it should also consult with the plumbing and heating inspector in the city, town, county, or state. The inspector is usually found at the Building Department or the Health and Sanitary Department. He or she will be one of the best sources of information on current local practices for heating safety regulations and to existing housing.

In some cases the heating system will have been inspected and tagged by a heating inspector verifying that the system has been adequately maintained and serviced. The tag or inspection certificate is usually fastened onto the primary heating unit, such as the furnace. Check the date and the inspection outcome. Ignore the tag if the date indicates that the system has not been inspected in several years.

Many of the common safety hazards have to do with fuel burning heating systems that are not located in the living area of the unit but are in the basement. You may need to go into the basement or utility room where the furnace and fuel supply are usually located to check these. If you are unable to gain access to the primary heating system, check Inconclusive. Contact the owner or manager for verification of the safety of the system.

The discussion below reviews some common unsafe heating system conditions that are covered in almost all local codes. If you feel uncertain about whether a given condition is unsafe, check Inconclusive on the Checklist and consult a local heating expert or the heating and plumbing inspector.

- Unvented fuel burning space heaters are a health hazard. Most fuel burning space heaters that are not vented to the outside violate local codes and fail the HUD Housing Quality Standards (see Figure 36). Without a vent, exhaust fumes escape into the unit causing a tenant to have bad headaches and other more serious health problems. (See Appendix E for a discussion of the grounds on which a variation of this requirement will be considered by the HUD Field Office if the heat output of the heater is very limited and it is approved and "listed" with a recognized testing laboratory for unvented use.)

Oil  
Burning  
Systems

- Improper fuel storage and lines are a fire hazard. Local codes generally require that fuel oil tanks be raised up off the floor on a stable base to prevent movement. Movement could eventually cause leaks in fuel lines running from the tank to the furnace. Also most codes require that the fuel line has a shut-off valve at the base of the tank to turn off the flow of fuel. Most codes require that any fuel oil line that runs across the floor be protected to prevent damage (e.g., set into the cement floor). Check to see if there are excessive fuel oil stains on the floor indicating leaks. The oil tanks must be vented and filled from the outside of the unit.

Gas  
Burning  
Systems

If gas is the fuel used and the area is served by a city or town gas company, there is no need for fuel storage at the house. The gas enters from a main line in the street, passes through a meter, and goes directly to the furnace. Codes require a manual shut-off device at the furnace. Also, in areas not served by a gas utility, gas can be stored in propane tanks,

- Combustible material around the furnace is a fire hazard. Figure 37 shows a potentially hazardous condition.

- Improper flues and chimneys are a health hazard because of exhaust gasses. Fuel burning heating systems must be properly vented to the outside to prevent the escape of exhaust gas into the unit. Check to see that the flue pipe and collar around it are tight against the wall and will prevent fumes from escaping into the room.

Improper flues are also a fire hazard. A flue can get very hot. There must be adequate clearance between it and any combustible materials (see Figure 38). Local codes will vary somewhat in their requirements, and clearance distances will vary with combustibility of the material near the flue. Consult the local code or ask the local heating inspector what regulations apply. Check in the basement to make sure that any flue leading from a furnace to the chimney is at a safe distance from any combustible material.

When you are checking flues in the basement make sure that you are looking at a flue and not an air duct. Air ducts do not get very hot and do not require clearance from combustible material. Flues do require clearance. Flues always lead from the furnace to the chimney; air ducts lead from the furnace to (or from) floor registers in the unit. (See Appendix D, Heating Systems.)

- Improper installation of equipment can be a safety hazard. Check with a local expert for the types of requirements that are common with the heating systems used in your area. Heating systems require different types of safety devices for limiting furnace temperatures, allowing for the release of excess pressure, and shutting down a furnace in the case of malfunction.
- Improper maintenance of equipment can be a safety hazard. Check for conditions such as equipment in state of obvious disrepair, heavy build up of soot and creosote around chimney or flue.
- Inadequate source of clean return air in a "forced warm air" system is a health hazard. In this type of system it is essential that air drawn in through the return air duct be free of any exhaust gasses since it will be heated and circulated into the living area. Many codes enforce this by requiring that return air be drawn from an area that is separate from the furnace room or other area where the furnace is located. (See Appendix D, Heating Systems, for further discussion.)

In multi-unit structures you may not be able to gain access to the heating system. Also, the heating system in a multi-unit structure may be large and complex. In such cases check for a posted inspection certification. If there is none, check Inconclusive and contact the owner for verification that the system is in proper and safe operating condition.

When inspecting the heating system you may find problems that are not hazardous and therefore should pass but still should be noted on the Checklist and brought to the attention of the tenant and owner. Some examples are:

- A floor register so dirty that air would have difficulty passing through.
- The cover missing on a hot water baseboard heating pipe (this is no hotter than a radiator, which is often not covered).
- Malfunctioning radiator valve: the valve at the end of the radiator allows air to escape when steam enters the radiator. If it malfunctions, it will make a continual hissing noise and steam will escape. Ask the tenant if this happens regularly. Although this, again, is not a hazard and should pass, it may be a nuisance to the tenant and should be brought to the attention of the owner.

### Problem Solving

In most cases where a hazardous heating situation is found, it will be necessary to notify the owner and suggest that a qualified specialist be called in to check the system, verify whether the condition is hazardous, and repair it as necessary. Some of the typical unsafe conditions described above have a simple remedy (e.g., moving combustible debris from around the furnace); others will require more extensive repair. But repair of any of these hazards is definitely in the interest of the owner of the building because of the risk of fire.

## **PORTABLE KEROSENE HEATER**

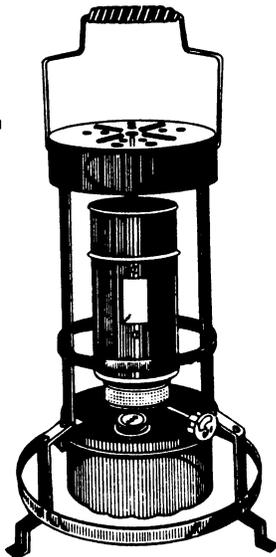


Figure 36: Example of an unvented fuel burning space heater requiring a Fail rating.



Figure 37: Combustible material around the furnace requiring a Fail rating.

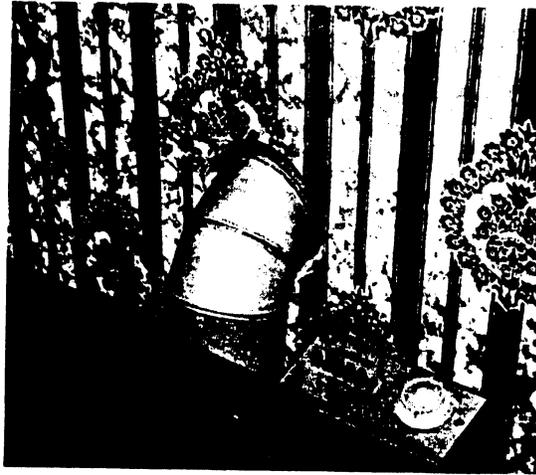


Figure 38: Improper clearance around a flue, (consult the local Heating and Fire Code), this would probably fail.

### 7.3 VENTILATION AND ADEQUACY OF COOLING

Does this unit have adequate ventilation and cooling by means of openable windows or a working cooling system?

#### Purpose

To assure there is adequate air circulation in the unit.

#### Definitions and Clarifications

In most cases units will pass this requirement on the basis of some openable windows in the unit. If the tenant is present and has occupied the unit during the summer months, inquire about the adequacy of air circulation. If the tenant is not present or has not occupied the unit during the summer months, test a sample of windows to see that they open.

Select a sample of four windows at random locations throughout the unit. Make sure they are windows that are designed to be opened (i.e., not picture windows). If two or more of these open, it is fairly safe to assume that the unit meets the definition of "some openable windows." If fewer than two can be opened select additional windows at random to try. The final decision on adequacy of air flow depends also on the size and placement of the windows and the size of the unit.

The phrase "working cooling equipment" includes central (fan) ventilation systems, evaporative cooling systems, room or central air conditioning. Ask the tenant if the equipment works properly. If the tenant is not there, the best method for testing the working condition of an air conditioning unit is to turn it on, let it run for a short period of time, and determine whether cool air is produced. Larger central cooling (and heating systems) may be less easily tested depending on the time of year. In these cases rely on verification by the owner or manager.

In large apartment buildings where all windows may be unopenable, there is usually a central air conditioning system. In this case check inconclusive and obtain verification from the owner, manager or other tenants.

#### Problem Solving

If a condition of inadequate air circulation is caused by windows that are swollen or painted shut, this can often be remedied with a modest amount of effort, like breaking the paint seal with a knife or prying it with a putty knife. If, however, the problem is more serious (if, for example, there is no window), the effort and cost of installing a new window is considerably greater and one that many owners will be unwilling to undertake.

The problem solving considerations for a mechanical cooling system are similar to those discussed for a heating system. The remedies range from simple cleaning of a filter to expensive installation of additional cooling equipment by an air conditioning contractor.



Figure 39: When buildings are close together like these, ask the tenant whether this condition seriously affects air flow.

#### 7.4 HOT WATER HEATER

Is the hot water heater located, equipped, and installed in a safe manner?

##### Purpose

To assure that the hot water heater does not present a hazard to the occupant.

##### Definitions and Clarifications

There are four ways that a hot water heater could fail the Housing Quality Standards.

- Location: A hot water heater will fail if its location presents a hazard. There should be no combustible materials piled up against the heater.
- Absence of temperature-pressure relief valve and discharge line: All hot water heaters must have a temperature-pressure relief valve which will operate when either the temperature or the pressure in the tank become too high. In Figure 40 the relief valve is the copper fixture circled in the center of the picture. The hot water heater must also have a discharge line directed to the floor or outside of the living area. In this figure, the discharge line is the copper pipe leading from the relief valve down to the floor. If the relief valve opens, the discharge line will vent the steam and hot water harmlessly to the floor.

- Improper flues for venting exhaust gasses: As discussed previously for furnaces, hot water heater flues must have adequate clearance from combustible materials. Check your local heating code or fire code for guidance on clearance. A hot water heater powered by electricity does not have exhaust gases and does not require a flue.
- Serious leaks from hot water tank: Check the hot water heater to see if it has corroded and is leaking onto the floor.

If it is impossible to view the hot water heater, check Inconclusive. Obtain verification of the safety of the system from the owner or manager. Check Pass if the heater has passed a local inspection. This applies primarily to hot water that is supplied by a large scale complex water heating system that serves multiple units (e.g., hot water heating system in large apartment building). Check this in the same manner described for heating system safety, Item 7.2 above.

#### Problem Solving

The installation of a pressure relief valve and a discharge line on a hot water heater is a relatively inexpensive repair item. The installation of a new flue is somewhat more costly but is certainly not major. If a hot water heater is badly corroded and is leaking on the floor, it will probably have to be replaced. This is a major repair expense. The removal of combustible material from around the hot water heater is often cost free.

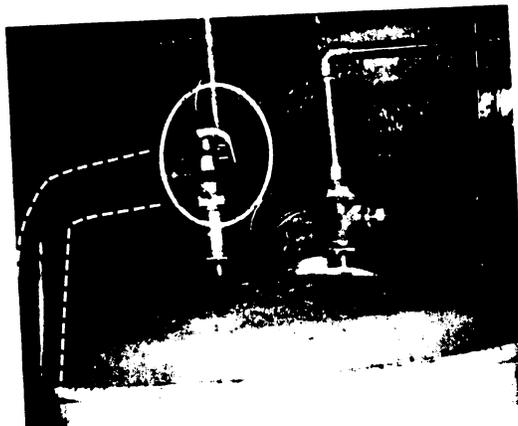


Figure 40: Pressure relief valve (circled) and discharge line (outlined) on a hot water heater.

7.5 WATER SUPPLY

Is the unit served by an approvable public or private sanitary water supply?

Purpose

To guarantee that the tenant will have adequate, clean water.

Definitions and Clarifications

There must be an approvable public or private sanitary water supply for the unit. If the structure is connected to a city or town water supply, this will pass. Usually streets served by city water systems will have covers in the street or on the sidewalks with "water" or "city water" written on them. In less developed areas at the periphery of a city you may be uncertain about whether there is a connection to a public system. Ask the owner. In rural areas you will find private water supplies-- usually wells. Ask the owner about the nature of the supply and whether it has been tested in the past by an appropriate public agency and is an approvable source of water. This requirement does not mean that a current test of the water should be obtained. If you are uncertain about the quality of the water, check Inconclusive and contact the appropriate public agency.

Problem Solving

In situations where water quality is inadequate, rely on the judgment and recommendations of the local public health department or state or county sanitary departments for possible remedies.

7.6 PLUMBING

Is plumbing free from major leaks or corrosion that cause serious and persistent levels of rust or contamination of the drinking water?

Purpose

To assure that dwelling unit is not subject to serious plumbing problems involving leaking or corroded pipes that could present a hazard to the occupant.

### Definitions and Clarifications

"Pipes severely leaking" means that main water pipes (often located in the basement or utility room) are seriously leaking. (Leaks present at specific facilities have already been evaluated under the Checklist items for Bathroom and Kitchen).

Pipes "corroded, causing serious and persistent levels of rust or contamination in the drinking water" can be determined by observing the color of the drinking water at several taps. Badly corroded pipes will produce noticeably brownish water. If the tenant is currently occupying the unit, he or she should be able to provide information about the persistence of this condition. (Make sure that the "rusty water" is not a temporary condition caused by city or town maintenance of main water lines.)

In looking for evidence of severe leaks, inspect the basement for water on the floor or water in buckets under pipes. Also inspect the main water lines (feed lines and drain lines) to see if any are dripping or severely corroded. Severe corrosion inside a pipe usually shows evidence on the outside of the pipe also. A moderate level of corrosion of pipes or valves should pass if it does not result in heavy leaks or rusty water, but note it on the Checklist and bring it to the attention of the owner.

### Problem Solving

If inspection reveals seriously leaking or corroded pipes, indicate the problem on the Checklist and tell the tenant or landlord where the problem exists. If the leak or corrosion is very serious, suggest that the landlord contact a qualified plumber to get an estimate for repair.

### 7.7 SEWER CONNECTION

Is plumbing connected to an approvable public disposal system, and is it free from sewer back-up?

#### Purpose

To guarantee that the unit is connected to a properly working sewer system.

### Definitions and Clarifications

The structure must be connected to an approvable public or private sewer system. If the structure is connected to a city or town sewer system, check Pass. Ask the owner if you are uncertain.

If the structure is connected to a private disposal system, ask the owner about the type of system and determine whether it meets local health and safety standards. Many homes in rural areas will have a septic tank and field located away from the house; in most cases this will pass. Check with the state or local health authorities.

Also check to see that there is no evidence of serious sewer back-up that would warrant a Fail rating. Ask the tenant if drains are regularly clogged or slow. Also be aware of any strong sewer gas smells or any marsh areas outside of the unit caused by sewer or septic field back-up.

### Problem Solving

If the unit is not connected to an approvable public or private disposal system, the remedy is generally costly requiring excavation and installation of pipe outside. If there is evidence of sewer back-up, the remedy may be a single visit by a plumber to clean out the drain lines in the basement. It could be more costly if the main sewer line that runs from the unit to the sewer system needs to be cleaned.

## 8. General Health and Safety

### 8.1 ACCESS TO UNIT

Can the unit be entered without having to go through another unit?

#### Purpose

To assure that the tenant has direct access to his or her own unit, thereby assuring privacy of living quarters.

#### Definitions and Clarifications

"Through another unit" means that access to the unit is only possible by means of passage through another dwelling unit.

Units that require access "through another unit" are usually encountered in large older homes that have been converted to multi-family use, or in homes that have added a so-called "in-law" apartment.

#### Problem Solving

When private access to the dwelling unit is not provided, it may be possible to remedy the situation by adding or moving a wall or by adding an exterior door for the sole use of the tenant. Such construction is usually major and may be too expensive for the landlord to undertake.

### 8.2 EXITS

Is there an acceptable alternate fire exit from this building that is not blocked?

#### Purpose

To assure that the tenant has an alternate means of exit from the building in case of fire.

#### Definitions and Clarifications

"Acceptable fire exit" means that the building must have an alternate means of egress that meets local or state requirements. Some examples of acceptable fire exits are:

- an openable window if the unit is on the first or second floor or easily accessible to the ground;
- a back door opening onto a porch with a stairway leading to the ground;
- fire escape, fire ladder or fire stairs.

"Blocked" means that the exit is not useable due to conditions such as debris, storage, nailed-shut door, broken lock.

Important note: The tenant should assist in the consideration of the adequacy of the emergency exit available. For example, a family with children or an elderly tenant should consider whether exit by fire ladder is reasonable. A handicapped tenant should consider whether exit by fire ladder is reasonable. A handicapped tenant should consider the degree of difficulty in exiting from units located above the first floor. However, the PHA has the final responsibility for deciding whether the type of emergency exit is acceptable for the family.

Inspect closely to make sure that all windows and doors opening onto the fire exit are operable (e.g., window to fire escape). Also assess the stability and security of the fire escape if that is the means of exit (i.e., look for signs of corrosion on the fastenings to exterior walls or vertical supports). Passage to another dwelling unit (for example, by window balconies in a row house) may be sufficient provided there is a complete firewall<sup>1</sup> between the two units; ask the owner or manager.

#### Problem Solving

If a building does not have an alternate means of egress in case of fire, appropriate remedies will depend on local regulations and the needs and abilities of the tenant. Installation of a fire ladder may be sufficient for some but inadequate for others (e.g., elderly or handicapped persons).

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<sup>1</sup>A firewall is a partition between units (generally masonry) that will retard the spread of fire for at least two hours.

8.3 EVIDENCE OF INFESTATION

Is the unit free from rats or severe infestation by mice or vermin?

Purpose

To assure that the tenant will not be exposed to serious infestations of rats, mice or other potentially harmful vermin.

Definitions and Clarifications

Presence of rats, or severe infestation by mice or vermin (such as roaches) is evidenced by large rat holes, droppings, rat runs, numerous settings of rat poison. If the unit is occupied, ask the tenant.

For evidence of rats, check for holes in the floor (especially in back of appliances and kitchen cupboards). Look also for "runs"--signs of tracks or runways found in secluded places such as along walls, under piles of rubbish, behind or under boxes, boards or thick vegetation. For evidence of serious levels of infestation by roaches, check areas where trash cans and garbage bags are kept; usually roaches are most active in and near food sources.

Problem Solving

If continuous infestation of rodents is evident despite household remedies, it may be necessary to obtain the services of a commercial exterminator. Some municipalities have a continuing rodent (rat) eradication program. Find out if it is operating in the area--the problem may be endemic to the entire neighborhood.

8.4 GARBAGE AND DEBRIS

Is the unit free from heavy accumulation of garbage or debris inside or outside?

Purpose

To assure that the tenant is not exposed to health hazards resulting from accumulations of garbage or trash in or around the unit.

Definitions and Clarifications

"Heavy accumulation" means large piles of trash and garbage, discarded furniture, and other debris. This may occur inside the unit, in common areas, or outside. It usually means a level of accumulation beyond the capacity of an individual to pick up within an hour or two (see Figure 41). Rodent and insect infestation are the primary health hazards caused by such accumulations. Trash or discarded furniture, appliances or motor vehicles or their parts may also pose safety hazards to children playing in the area (see Figure 42).

For this item count only accumulated garbage or trash on the property on which the dwelling unit is located. Garbage, trash or debris located on adjacent or nearby property would be rated in Item 8.10 below, SITE AND NEIGHBORHOOD CONDITIONS.

Problem Solving

Depending upon the size or extent of the nuisance, the debris may be removed by the tenant, landlord or a rubbish contractor. The item must fail until the area has been cleaned up.



Figure 41: Here is an amount of debris that would obviously warrant a Fail rating.



Figure 42: Conditions such as this can harbor rodents. Children playing in or around this dumpster can be injured on sharp objects. This nuisance warrants a Fail rating.

8.5 REFUSE DISPOSAL

Are there adequate covered facilities for temporary storage and disposal of food wastes, and are they approvable by a local agency?

Purpose

To assure that the tenant has adequate means of storage and disposal of garbage and refuse.

Definitions and Clarifications

"Adequate covered facilities" includes: trash cans with covers, garbage chutes, "dumpsters" (i.e., large scale refuse boxes with lids), and trash bags (if approvable by local public agency).

"Approvable by local public agency" means that the local health and sanitation department (city, town, or county) approves the type of facility in use. NOTE: During the period when the PHA is setting up its inspection program, it will check with the local health and sanitation department to determine which types of facilities are acceptable and include this in the inspection requirements.

If the unit is vacant and there are no adequate covered facilities present, check Inconclusive. Contact the owner or manager for verification of facilities to be provided when the unit is occupied.

In most areas of the country it is expected that landlords will provide the refuse disposal facility in large multi-family buildings, but in smaller (one- to four-family) structures the practice varies. You will want to ascertain ahead of time whether the landlord or the tenant is expected to provide the trash or garbage containers and then make sure that they are present or will be provided. Remember to use the local public agency (health or sanitary department) guidelines or regulations for the type and number of containers needed.

Problem Solving

If adequate means of refuse disposal are not available or local public agencies do not provide guidelines, suggest to the landlord or tenant that a suitable number of covered garbage cans be purchased.

8.6 INTERIOR STAIRS AND COMMON HALLS

Are interior stairs and common halls free from safety hazards to the occupant, such as: loose, broken or missing steps on stairways; absent or insecure railings; inadequate lighting; or other hazards?

Purpose

To assure that interior stairways and common hallways of the building are safe and adequately lighted so that the tenant is not exposed to safety risks.

Definitions and Clarification

This item applies to interior stairways in the unit, to common stairways and to common hallways. It does not apply to stairs in "secondary rooms not used for living" (see Item 5.4).

Dangerous conditions include: loose, broken or missing steps or handrails; an accumulation of objects on the steps; ripped, torn or frayed stair coverings such as carpets or rubber mats (see Figure 44); loose or broken steps; or a large number of missing sections of vertical railing (called "balusters").

Also, a handrail is required on extended sections of stairs (i.e., generally four or more consecutive steps (see Figure 44)). A railing is required on unprotected heights like stairwells.

In assessing stairway lighting, make sure that all treads and risers are illuminated. If not, check Fail.

If working conditions of lights cannot be determined because the electricity is turned off, make an assessment of the situation by looking at the number and location of hall and stairway lights, check Inconclusive, and then obtain the owner's certification that the lights will be working when the power is turned on.

Use Item 8.6 in the Checklist to record "other hazards" that might be present on stairways or in common halls (e.g., an electrical hazard or serious tripping hazard in a common hallway).

Problem Solving

Where substandard or dangerous conditions are encountered make a note of them and bring them to the attention of the tenant and landlord. Be specific about problems (e.g., 12 missing balusters, 3 broken treads, 5 ripped rubber tread mats, etc.).

With respect to lighting, if there are sufficient lights present but the item still fails because the bulbs are too dim or are burned out, suggest to the owner that the wattage of bulbs be increased or that burned out bulbs be replaced.

If there are no lights present, suggest that an adequate number of lights be installed in the critical locations.

Replacement of burned out light bulbs is a trivial expense. If there are no light sockets present, however, the cost of installation of one or more sockets represents moderate repair costs.

8.7 OTHER INTERIOR HAZARDS

Is the interior of the unit free from any other hazards not specifically identified previously?

Definitions and Clarifications

The types of hazards that may be present in the unit but not recorded prior to this item are: a protruding nail in a doorway; a broken bathroom fixture with a jagged edge at a level where someone could be cut; a door that might fall because it is partially broken off its hinges.

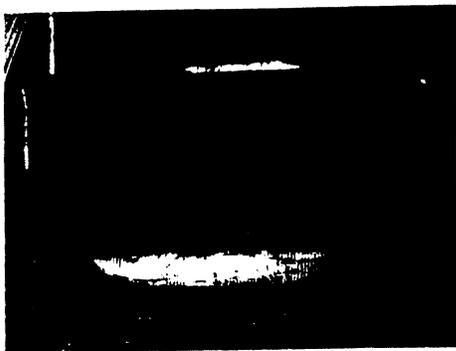


Figure 43: If this ripped carpet posed a tripping hazard to the tenants, it would have to be repaired or replaced in order for this stairway to pass.



Figure 44: A handrail would have to be installed on this stairway in order for it to pass.

8.8 ELEVATORS

Where local practice requires, do all elevators have a current inspection certificate? If local practice does not require this, check if they are operating safely. If so, check Pass.

Purpose

To assure that elevators, when present, are operating in a manner that does not pose a safety hazard to the occupant.

Definitions and Clarifications

At the time the PHA is setting up its inspection program, it will determine local licensing practices for elevators. Inspectors should then be aware of these practices in evaluating this item (e.g., check inspection date on certification record posted in elevator).

Elevator inspections by local authorities are performed in order to ascertain that elevators are in a safe operating condition under normal use. Depend on the local inspectors' certification of performance under normal circumstances. If local practice does not require regular inspections as part of local licensing, check to see that the elevator appears to be in safe, working condition. Ask the tenant.

If the unit you are inspecting contains multiple elevators, base your rating of the item on the elevator in which you are riding, unless you observe or hear complaints about another elevator in the building that is operating in an improper manner (e.g., elevator which stops between floors and doors open).

Problem Solving

If you note elevators that are apparently not operating properly or are not in compliance with local regulations, bring this fact to the attention of the landlord.

8.9 INTERIOR AIR QUALITY

Is the unit free from abnormally high levels of air pollution from vehicular exhaust, sewer gas, fuel gas, dust, or other pollutants?

Purpose

To assure that the occupant is not exposed to abnormally high levels of harmful gasses or other noxious pollutants.

Definitions and Clarifications

"Abnormally high" means that the levels of noxious gasses or other pollutants are consistently present in amounts that would constitute a continuing health hazard to the occupant.

Air quality can be affected by external sources such as refineries, pulp or paper plants, chemical industries, proximity to heavy traffic or proximity to truck or bus garages. It can also be affected by internal sources such as sewer or cooking gas, or fumes from improperly operating furnaces.

Problem Solving

You will probably be powerless to effect change in pollution from external sources; therefore if levels are high enough to be dangerous to the tenant, the unit should fail. However, there is usually a chance to correct internally generated air pollution. If the pollution is due to malfunctioning gas appliances (e.g., stoves, heaters, furnaces) the landlord or utility company should be notified at once and the appliance (or gas system) turned off until repairs are made.

8.10 SITE AND NEIGHBORHOOD CONDITIONS

Are the site and immediate neighborhood free from conditions which would seriously and continuously endanger the health or safety of the residents?

Purpose

To assure that the tenant is not exposed to any dangerous site or neighborhood conditions.

Definitions and Clarifications

Examples of conditions that would "seriously and continuously endanger the health or safety of the residents" are:

- other buildings on, or near the property, that pose serious hazards, (e.g., dilapidated shed or garage with potential for structural collapse);
- evidence of flooding or major drainage problems;
- proximity to open sewage;
- fire hazards;
- abnormal air pollution or smoke which continues throughout the year;
- continuous or excessive vibration of vehicular traffic. If the unit is occupied, ask the tenant.

Examples of marginally acceptable conditions that would pass but should be noted on the form are:

- unimproved space such as a nearby vacant lot with trash;
- large bare patches on the grounds around the building;
- evidence of general lack of maintenance (some litter, lawn in need of care).

In making judgments about the site and immediate neighborhood conditions, take into consideration the composition of the family. If many small children are present, many of the above listed conditions would surely constitute a reason to fail the unit. If older children or elderly adults comprise the family, many of these conditions would not necessarily present a danger.

A good rule of thumb in making judgments on this item is to follow local practice. If unassisted families in market rate housing are living in the area under consideration (e.g., near the flight path for an airport), the condition is probably passable.

Problem Solving

You probably will not be able to effect change on conditions that are beyond the boundary of this landlord's property, but if there are problems on the landlord's property you can make suggestions to the tenant and landlord about correcting them. Such suggestions might be: the razing of a dilapidated outbuilding or fencing an unprotected height, watercourse or railroad right of way.



Figure 45: If this vacant and vandalized building were immediately adjacent to the property being inspected, it could represent a hazard for the Section 8 family.



Figure 46: The proximity of this elevated highway could produce excessive vibration for any occupants of this house.

8.11 LEAD PAINT--OWNER CERTIFICATION

If the owner of the unit is required to treat or cover any interior or exterior surfaces, the PHA must obtain certification that the work has been done in accordance with the requirements prior to the execution or renewal of any HAP contract. No reinspection is necessary if this certificate is obtained.

Purpose

To assure that any unit treated for lead paint on the interior or exterior surfaces is now in compliance with HUD regulations and to obtain the owners certification that this treatment was properly performed.

Definitions and Clarifications

Suggested wording of this certification is given below.

The Certificate

\_\_\_\_\_  
The undersigned hereby certifies that the property located at

\_\_\_\_\_  
(property address)

has had applicable surfaces treated or covered as required.

\_\_\_\_\_  
Owner's Signature

\_\_\_\_\_  
(Type or Print Name)

\_\_\_\_\_  
(Date)

APPENDIX A: Chapter 5 of HUD's Public Housing  
Agency Administrative Practices  
Handbook for the Section 8 Existing  
Housing Program, 7420.7 and Sections  
882.109, 882.210 and 882.211 of  
Section 8 Existing Regulations

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CHAPTER 5. HOUSING QUALITY STANDARDS, UNIT INSPECTIONS,  
AND ELIGIBLE TYPES OF HOUSING

- 5-1. CHAPTER OVERVIEW. This Chapter discusses: (a) how a PHA is to determine whether a housing unit selected by a Certificate Holder meets the Housing Quality Standards (HQS) and how the PHA is to make a redetermination of the unit's acceptability at least once each year when an assisted family continues in occupancy; (b) procedures to be used by the PHA for conducting necessary unit inspections; (c) the PHA's responsibilities for establishing internal controls, training inspection personnel, and encouraging owners and families to maintain acceptable housing conditions; and (d) housing types specifically excluded from this program. The applicable regulations are found in Sections 882.109, 882.210(a) and (d), and 882.211.
- 5-2. APPLICABILITY OF THE HOUSING QUALITY STANDARDS. The HQS set forth in Section 882.109 of the regulations apply to all housing types eligible for the program as discussed in Paragraph 5-7.
- 5-3. HOUSING QUALITY STANDARDS APPROACH. The development of HQS for program use nationwide is difficult due to the diversity of housing stock characteristics. In an effort to provide guidance to PHAs in determining unit acceptability, the HQS take into account, to the extent possible, regional and/or local variations in housing characteristics. The regulations provide for Field Office approval of variations to the Acceptability Criteria where justified by factors such as local climate, geological conditions, or local codes. For example, manufactured (mobile) home tiedown devices may not be necessary for the occupant's health and safety in geographical areas in a low wind zone. PHAs wishing to establish any variations to the Acceptability Criteria may submit a request to the Field Office. The request must specify the proposed variation and justify its use. Variations which are less restrictive than the Acceptability Criteria must still satisfy the related Performance Requirements. Variations which are more restrictive must not unduly limit the amount and types of available rental housing stock which would otherwise meet HQS and be available at or below the Fair Market Rent (FMR). With Field Office approval, PHAs may substitute local housing codes for the Acceptability Criteria (as long as they meet the Performance Requirements), except for requirements which may be unduly restrictive (e.g., excessive square footage requirements for kitchen counter space). The specific requirements governing unit acceptability determinations are set forth in Section 882.109 of the regulation.

The intent of these requirements is to insure the utilization of standard housing units and to establish minimum criteria necessary for the health and safety of the occupants. The regulations state both Performance Requirements (the objective of each standard) and Acceptability Criteria (minimum acceptable level of conditions or performance to meet each standard). The HQS include criteria which can be easily identified as well as criteria which may require a high degree of judgment to apply. Some Acceptability Criteria focus on health and safety concerns and require the PHA to determine unit acceptability regardless of the tenant's possible willingness to accept deficient conditions. Other criteria relate to "decency" and suitability concerns only and, therefore, the unit's acceptability may be determined by the tenant (e.g., amount of kitchen counter space, room size, amount of hot water) with guidance provided by the PHA. The standards also include specific criteria which must be met for manufactured homes, congregate housing, and independent group residences.

5-4. HOUSING QUALITY STANDARDS (HQS).

- a. General. This paragraph contains guidance for both PHAs and tenants in interpreting the HQS found in Section 882.109 of the regulation. It is organized by type of standard and includes:
- (1) Summary of Standards. Provides an annotated summary encompassing both the Performance Requirement and Acceptability Criteria.
  - (2) PHA Determination. Discusses how PHAs must interpret the HQS to determine whether or not the unit meets mandatory minimum standards. (NOTE: PHAs must not approve units which do not comply with these requirements).
  - (3) Tenant Preference. Discusses areas where the tenant determines the desirability of particular characteristics of the dwelling unit. (NOTE: When the PHA inspection indicates deficiencies with respect to tenant preference items, the PHA should discuss these deficiencies with the prospective tenant. The PHA may also suggest to the owner that the unit be improved. If, after discussion of the deficiencies, the tenant still wishes to lease the unit, the PHA must not deny approval of the unit for items listed under Tenant Preference, unless the PHA has adopted a higher standard approved by HUD.)

Refer to the Housing Inspection Manual for a more detailed explanation of each standard and additional guidance on interpretation.

b. Application of HQS. The following is a discussion of the standards and the determinations to be made by the PHA and the tenant:

(1) Sanitary Facilities. (See Paragraph 5-5 for Congregate Housing and Independent Group Residence modifications.)

(a) Summary of Standards.

- 1 The bathroom must be located in a separate room and have a flush toilet in proper operating condition.
- 2 The unit must have a fixed basin with a sink trap and hot and cold running water in proper operating condition.
- 3 The unit must have a shower or a tub with hot and cold running water in proper operating condition.
- 4 The facilities must utilize an approvable public or private disposal system, including a locally approvable septic system.

(b) PHA Determination. The sanitary facilities must be contained within the dwelling unit to be leased and be available for the exclusive use of the occupants of that dwelling unit (i.e., outhouses or sanitary facilities which are used by occupants of other dwelling units are not acceptable). In determining "proper operating condition" of the sanitary facilities, the PHA must be satisfied that the facilities are free of hazardous conditions. An example of a hazardous condition is a damaged or broken fixture that endangers the user or which may result in severe leakage or flooding around pipes, the base of the toilet, wash basin, and bathtub or shower area. (See also subparagraph (8)(b), below.) The public or private disposal system must be approvable by any State or local agency that has such responsibility. The PHA must determine that the sanitary facilities of at least one bathroom meet the minimum requirements in subparagraph (1)(a) above. However, the PHA must also determine that additional bathrooms have an openable window or other adequate exhaust ventilation, a permanent light fixture, a proper sink trap and meet the requirements for security in subparagraph (3)(a)3 below. In addition, the PHA must also check the condition

of windows, ceilings, walls and floors, and ensure that no unsanitary condition or electrical hazards exist.

- (c) Tenant Preference. The tenant may determine acceptability of the cosmetic condition and quality of the sanitary facilities, including the size of the basin and shower or tub, condition of faucets, minor leaks, scratches, worn enamel, and the location of the sanitary facilities within the dwelling unit.
- (2) Food Preparation and Refuse Disposal. (See Paragraph 5-5 for Congregate Housing and Independent Group Residence modifications.)
- (a) Summary of Standards.
- 1 The unit must have a cooking stove or range and refrigerator of appropriate size for the unit (i.e., family), all in proper operating condition. This equipment may be supplied by either the owner or tenant.
  - 2 The unit must have a kitchen sink in proper operating condition with a sink trap and hot and cold running water which drains into an approvable public or private system.
  - 3 The unit must provide space for the storage, preparation, and serving of food.
  - 4 There must be facilities and services for the sanitary disposal of food waste and refuse, including temporary storage facilities where necessary (e.g., garbage containers).
- (b) PHA Determination. Hot plates are not acceptable substitutes for stoves or ranges. In determining "proper operating condition" of the equipment and facilities listed in 1 and 2 above, the PHA must insure that these work and are free of hazardous conditions including a damaged or broken stove, sink, or refrigerator that endangers the users, or evidence of gas or water leakage that presents the danger of fire or electrical shock. The PHA should also insure that the stove and refrigerator are free of potential hazards due to improper hook-up and that the sink is free of major leaks which will result in substantial water loss and damage

to the unit. The PHA must also determine that the refrigerator is of appropriate size for the family (i.e., a table-top compact refrigerator would be clearly inappropriate for a family of four). Facilities and services for the temporary storage and sanitary disposal of food wastes (in 4 above) must include a waste disposal system which is sanitary and approvable by any local agency that has such responsibility or which is consistent with local practice.

- (c) Tenant Preference. The tenant may determine acceptability of the size of the stove or range, the amount of space for storage, preparation and serving of food and the cosmetic condition and quality of these facilities as well as the location of the kitchen within the dwelling unit. The tenant may also determine the acceptability of the size of the refrigerator unless it is clearly inappropriate. If the PHA believes that the food preparation area and food storage space are not adequate for the size of the family, or the facilities for disposal of trash and garbage are not adequate, these concerns should be discussed with the prospective tenant prior to leasing. Nonetheless, the tenant has the freedom to select the unit despite these concerns (other than as required under (b) above).

(3) Space and Security.

(a) Summary of Standards.

- 1 The unit must have a minimum of a living room, kitchen area, and bathroom.
- 2 The unit must contain at least one sleeping or living/sleeping room for each two persons.
- 3 The unit's windows which are accessible from the outside, such as basement, first floor and fire escape windows, must be lockable (e.g., window units with sash pins or sash locks and combination windows with latches). Windows which are nailed shut are acceptable provided that they are not needed as an alternate means of exit in case of fire.
- 4 The unit's exterior doors (i.e., those that provide access to or egress from the unit) must be lockable.

- (b) PHA Determination. The PHA must be satisfied that the doors and component parts are free from damage (e.g., splits, cracks, and holes) that would seriously affect their use and ability to be locked. The PHA must ensure the adequacy of locking devices on all exterior doors (e.g., a chain lock must be accompanied by another properly working lock; a bolt lock is adequate only when there is another door which can be locked from outside the unit).
- (c) Tenant Preference. The tenant may determine the acceptability of the location of the living room, kitchen area, and bathroom within the dwelling unit as well as the appropriate size of these rooms and all sleeping and living/sleeping rooms. The tenant may also determine the acceptability of the types of locks provided on windows and doors except as discussed in (3)(b) above.
- (4) Thermal Environment (Heating and Cooling Systems)
- (a) Summary of Standards.
- 1 The unit must contain a safe heating system (and safe cooling system, where present) which is in proper operating condition and can provide adequate heat (and cooling, if applicable), either directly or indirectly, to each room in order to assure a healthy living environment appropriate to the climate.
  - 2 The unit must not contain unvented room heaters which burn gas, oil, or kerosene. (Electric heaters are acceptable.)
- (b) PHA Determination. The PHA must insure that the heating system is capable of providing adequate heat, either directly or indirectly, to all rooms used for living. In determining "proper operating condition" of a heating or cooling system, the PHA must be satisfied that it is free of hazardous conditions. Such hazards include any damage to the system, ducts, or fixtures so that heating or cooling is non-existent, inadequately distributed to the unit, or there is a potential for fire or other threats to safety. Escaping gases from disconnected or broken vent pipes are also hazardous. Portable electric room heaters or kitchen stoves or ranges must not be accepted as a primary source of heat for units located in areas where climatic conditions require

regular heating. The PHA should also insure that the heating device is free of major leaks in radiators or duct work which may affect its capability to provide satisfactory heat to all habitable rooms in the unit and to prevent heat loss.

- (c) Tenant Preference. The tenant may, at its option and with the owner's permission, close off any heating ducts to specific areas it does not choose to heat and may also determine the acceptability of the amount of weather stripping and insulation to prevent inadequate heat distribution and excessive air infiltration. The tenant may also determine if storm doors and windows are important. If the PHA believes that weather stripping and insulation for the unit are inadequate, this concern should be discussed with the tenant or owner. This is particularly important in situations where the tenant will pay for utilities, because inadequate weather stripping and insulation may lead to utility bills in excess of the applicable utility allowance.

(5) Illumination and Electricity.

(a) Summary of Standards.

- 1 There must be at least one window in the living room and in each sleeping room.
- 2 The kitchen area and the bathroom must have a permanent ceiling or wall-type light fixture in working condition. The kitchen area must also have at least one electrical outlet in operating condition.
- 3 The living room and each bedroom must have at least two electrical outlets in operating condition. Permanent overhead or wall-mounted light fixtures may count as one of the required electrical outlets.

- (b) PHA Determination. In determining electrical safety, the PHA must be satisfied that the electrical system is free of hazardous conditions including exposed, uninsulated, or frayed wires; improper connections, insulation, or grounding of any component of the system; overloading of capacity such that there is the hazard of electrocution or fire; or wires lying in or located near standing water or other unsafe places. The PHA must also be satisfied that the

system is free from insulated wires indicating fraying or wear, improper splicing of wires, or missing cover plates on outlets and switches. The PHA must also be satisfied that the windows are free of hazardous conditions such as missing or broken panes. (NOTE: Cracked window panes are not a violation unless they are a potential safety problem or cause drafts.)

- (c) Tenant Preference. The tenant may determine whether the location of outlets and fixtures is acceptable, and whether cracked window panes are acceptable, unless the PHA has determined that they allow drafts to enter or represent a safety hazard.
- (6) Structure and Materials.
- (a) Summary of Standards.
- 1 Ceilings, walls, and floors must not have any serious defects such as severe bulging or leaning, large holes, loose surface materials, severe buckling, missing parts or other serious damage.
  - 2 The roof must be structurally sound and weather-tight.
  - 3 The exterior wall structure and surface must not have any serious defects such as serious leaning, buckling, sagging, large holes, or defects that would result in air infiltration or vermin infestation.
  - 4 The condition and equipment of interior and exterior stairways, halls, porches, walkways, etc., must not present a danger of tripping and falling. Broken or missing steps and loose boards are examples of potential hazards.
  - 5 Elevators must be working and safe.
  - 6 Manufactured homes shall be equipped with at least one smoke detector in working condition. Manufactured homes must be securely anchored by a tiedown device which distributes and transfers the loads imposed by the unit to appropriate ground anchors so as to resist wind overturning and sliding (unless the Field Office has approved

a variation to the Acceptability Criteria because the units are in a low-wind zone area).

(b) PHA Determination. In making determinations with respect to the criteria listed in (a) 1, 2, 3, and 4 above, the PHA must be satisfied that the unit is free of hazardous conditions including:

- 1 foundations with severe structural defects or that are penetrable by water so that the structural safety of the building is threatened;
- 2 exterior walls, other exterior surfaces, roofs, chimneys, gutters, or downspouts with serious defects so that there is a danger of structural collapse or of significant damage from the elements to the interior of the structure;
- 3 stairs, porches, balconies, or decks with severe structural defects such as broken or missing steps; absence of a handrail when there are four or more consecutive steps; or absence of railings around a porch or balcony which is approximately 30 inches or more above ground; or
- 4 interior walls, ceilings, and floors with such serious defects that a potential exists for structural collapse or other threats to safety.

With respect to (a)5 above, an elevator with a current inspection certificate may be considered working and safe. If an elevator does not have an inspection certificate or the certificate is outdated, the PHA must determine whether the elevator is working and safe.

(c) Tenant Preference. Tenants may determine whether minor defects, such as lack of wallpaper or paint or worn flooring, will affect the livability of the unit.

(7) Interior Air Quality.

(a) Summary of Standards.

- 1 The unit must be free from dangerous levels of air pollution from carbon monoxide, sewer gas, fuel gas, dust, and other harmful pollutants.
- 2 The unit must have adequate air circulation.

- 3 Bathroom areas must have one openable window or other adequate exhaust ventilation.
- 4 Any room used for sleeping must have at least one openable window, if the window was so designed.
- (b) PHA Determination. The PHA must be satisfied that air pollutants are not consistently present in amounts that would pose a continuing health hazard to the tenants. Air pollutants may result from the unit being too close to industrial sources, or heavy traffic, or from malfunctioning gas appliances. In evaluating the air quality, the PHA should also ensure that the air circulates adequately throughout the unit. Also, PHAs should ensure that each bathroom has either an openable window or other adequate means of ventilation such as wall or ceiling mounted electric fan vents or gravity flow/chimney effect vent pipes or shafts. The PHA must check the windows in any room used for sleeping to determine that at least one window is openable if it was designed to be opened.
- (c) Tenant Preference. Tenants may determine if screens, filters, fans, or other devices for proper ventilation are adequate to meet their needs. The PHA may advise the tenant whether, due to insect conditions in the area, screens for windows and doors would be desirable.
- (8) Water Supply.
- (a) Summary of Standards.
- The unit must be served by an approvable public or private water supply which is sanitary and free from contamination.
- (b) PHA Determination. The PHA should be satisfied that the water supply is approvable by the appropriate State or local agency, and that hazardous conditions do not exist. The PHA must be satisfied that clean water and waste are distributed effectively to and from all fixtures in the unit. The plumbing must be free of broken pipes, improperly sealed joints, and other defects that cause leakage and threats to health and safety. The PHA must also be satisfied that water heaters supply hot water to the unit and are free of hazardous conditions. Such conditions include: gas leakage, flooding danger, seriously cracked or broken

vent pipes on gas-fired water heaters which allow unexpended gases to escape into the unit, improper venting from exhaust gases, lack of temperature-pressure relief valve and discharge line, or tagging by the utility company indicating an unsafe condition. The PHA should also be satisfied that gas water heaters are vented and are not located in bedrooms or other living areas where safety hazards may exist unless safety dividers or shields are installed.

- (c) Tenant Preference. The tenant must determine whether the water heater provides a sufficient supply of hot water to the unit.
- (9) Lead-Based Paint.

(a) Summary of Standards.

The regulation at 24 CFR Part 35, which implements the Lead-Based Paint Poisoning Prevention Act, requires the following:

- 1 All interior surfaces must be either free of cracking, scaling, peeling, chipping, and loose paint or be adequately treated (as discussed in 3 below) to prevent the exposure of the occupants to such immediate hazards.
- 2 All exterior surfaces such as stairs, decks, porches, railings, windows, and doors which are accessible to children under seven years of age must be free of cracking, scaling, peeling, chipping, and loose paint or be adequately treated (as discussed in 3 below) to prevent the exposure of such children to immediate hazards.
- 3 All surfaces to be treated must be thoroughly washed, sanded, scraped, wire brushed or otherwise properly cleaned to remove all immediate hazards on applicable surfaces before repainting with at least two coats of a suitable no leaded paint, or be covered with a suitable material such as gypsum wallboard, plywood, drywall, plaster, wall-paper, or other suitable material. If the paint film integrity of the applicable surface cannot be maintained so that new paint or materials such as wall-paper will adhere, the old paint must be completely

removed before any repainting or covering is undertaken. Simply painting over affected surfaces is not an acceptable means of compliance.

(b) PHA Determination. If the owner is required to treat any interior/exterior surface, the PHA must ensure that the unit is in full compliance prior to the execution of any Housing Assistance Payments (HAP) Contract, and obtain the owner's certification that the work has been done in accordance with such requirements. However, if an exterior surface requires repainting and the weather conditions at the time make painting temporarily impractical, the following actions must be taken:

- 1 The owner must remove all defective paint conditions (as instructed in subparagraph (9)(a)3 above) before the HAP Contract and lease are executed or renewed.
- 2 The owner must sign an agreement to repaint with two coats of a nonleaded paint or otherwise properly cover the affected surface by a specified date when weather conditions would be more favorable. If the owner will not sign an agreement, the HAP Contract shall not be executed or renewed.
- 3 The agreement to repaint with two coats of a nonleaded paint or otherwise properly cover the affected surface by a specified date must be attached to the HAP Contract.
- 4 Within 30 days after the specified date, the PHA must reinspect the unit to ensure that the owner has complied with the agreement.
- 5 If the owner has not complied with the agreement, the PHA must stop making housing assistance payments to the owner, as instructed in Paragraph 5-10 below.

(10) Access.

(a) Summary of Standards.

- 1 The unit must be used and maintained without unauthorized use of other private properties.

- 2 The building must provide an alternate means of exit in case of fire (such as fire stairs or exit through windows, with the use of a ladder if windows are above the second floor).
- (b) PHA Determination. The PHA must determine that the unit has private access without unauthorized passage through another dwelling unit or private property and that the alternate means of emergency exit from the building (not from the unit) is appropriate for the tenant family and considered adequate by the appropriate local officials.
- (c) Tenant Preference. The tenant should assist the PHA in determining whether the type of emergency exit (e.g., window exit or fire escape) is acceptable.
- (11) Site and Neighborhood.
- (a) Summary of Standards.
- The site and neighborhood must be reasonably free of serious conditions which would endanger the health and safety of residents.
- (b) PHA Determination. The PHA must determine whether there are any site and neighborhood conditions which would seriously and continuously endanger the health and safety of the residents (e.g., fire hazards; abnormal air pollution or smoke which continues throughout the year and is determined to endanger health seriously; continuous and excessive vibration or vehicular traffic; or regular occurrence of septic tank back-up or other sewage).
- (c) Tenant Preference. The type of neighborhood (e.g., commercial usage, racial or economic mix) in which a tenant wishes to live is to the tenant's determination.
- (12) Sanitary Conditions.
- (a) Summary of Standards.
- The unit and its equipment must be free of serious vermin and rodent infestation.
- (b) PHA Determination. The PHA must insure that the unit is free from rats and heavy accumulations of trash,

garbage, or other debris that may harbor vermin. The PHA must also insure that the unit has adequate barriers to prevent infestation.

- (c) Tenant Preference. The tenant must determine whether the unit is in an acceptable sanitary condition, provided the unit meets minimum standards to be determined by the PHA (see (b) above). Such tenant preferences might include whether the unit meets their requirements for cleanliness or whether any minor problems such as occasional roaches or mice would affect livability.

**5-5. REQUIREMENTS FOR CONGREGATE FACILITIES AND INDEPENDENT GROUP RESIDENCES.**

- a. Units Located In Congregate Housing Projects. All criteria listed above in Paragraphs 5-4(b)(1) and 5-4b(3) through (12) apply to congregate housing. In addition, the following criteria must be met:

(1) Summary of Standards.

- (a) The unit must contain a refrigerator of appropriate size for the unit.
- (b) The sanitary facilities described in Paragraph 5-4b(1) must be contained within the unit.
- (c) The requirement for "Kitchen Area" in Paragraph 5-4b(3)(a)1 is not applicable. The central dining facility and central kitchen must be located within the building or housing complex and must:
- 1 be accessible to the occupants;
  - 2 contain suitable space and equipment to store, prepare, and serve food in a sanitary manner;
  - 3 be sufficient in size to accommodate the occupants;
  - 4 be for the primary use of the occupants;
  - 5 provide a food service operated by other than the occupants; and
  - 6 have adequate facilities and services for the sanitary disposal of food waste and refuse, including facilities for temporary storage where necessary (e.g., garbage cans).

- (2) PHA Determination. The congregate unit must provide an opportunity for independent living within the unit. A refrigerator and the sanitary facilities must be contained within the unit. (The refrigerator can be used by occupants to refrigerate snacks, meals, or medicines.) The central dining facility and kitchen must be accessible to the occupants. The facility should be no more than a ten-minute walk for any occupant and, if necessary, must be barrier-free to accommodate the special needs of disabled and handicapped occupants. In determining the adequacy of the central kitchen and dining room, the PHA must assure that these facilities have the capacity to prepare and serve the number of occupants at least one meal a day. In determining whether the facility is sufficient in size to accommodate the occupants, the PHA can permit food service in two sittings (an arrangement whereby only half of the residents are served at any one time). The PHA must also assure that the principal food item is hot at the time of serving for at least one meal. The PHA must assure that one meal is provided in the central facility but may permit the substitution of a meal served in the tenant's unit for other meals. The PHA may also permit catered meals prepared elsewhere as long as there is assurance that the catering service is continuous and that there is adequate kitchen space to heat and store food. The PHA must not permit the food service in a congregate facility to be undertaken solely by the occupants.
- (3) Tenant Preference. The tenant may determine whether the bathroom facilities and refrigerator meet personal needs, provided they are located within the unit and the bathroom meets HQS for sanitary facilities. The tenant may also determine whether or not the specific arrangements for meal service meet personal needs, provided the facility meets the above criteria in (1) and (2). For example, some tenants may prefer only one meal provided, while others may want three meals.
- b. Independent Group Residence (IGR). An IGR is defined as housing for the exclusive residential use of 2 to 12 elderly, handicapped, or disabled individuals (excluding 1 or 2 live-in Resident Assistants, if needed) who cannot live independently and who require a planned program of supportive services. IGRs are intended to promote advancement to greater levels of independent living. Individuals residing in IGRs must not require continuous medical or nursing care, must be ambulatory (with or without mobility

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aids such as wheelchairs) and not confined to a bed continuously, and must be capable of taking the appropriate actions under emergency conditions for their own safety. Both the services and facility of the IGR must be approved by the State agency responsible for certifying the type of service and facility that may be proposed. Since HUD assistance is available for shelter only, any subsidy for services including food must come from other public or private sources. (See Section 882.109(n)(7).)

- (1) Summary of Standards. All criteria listed above in Paragraphs 5-4(b)(1) through (12) and the information supplied under PHA Determination and Tenant Preference shall apply to IGRs with the addition of the following modifications:
- (a) An IGR must contain a living room, dining area, kitchen, at least one bathroom for every four persons, at least one sleeping room of appropriate size for each two persons, and other appropriate social or recreational community space.
  - (b) An IGR that accommodates physically handicapped occupants with wheelchairs or other special equipment shall provide access to all sanitary facilities and shall provide, as appropriate, basins and toilets of appropriate height, grab bars to toilets, showers and/or tubs; shower seats; and adequate space for movement. The unit shall be free of architectural barriers which impede access or use, and handrails and ramps shall be provided, as appropriate.
  - (c) A cooking stove or range and a refrigerator(s) of appropriate size and in sufficient quantity for the number of occupants shall be present. In an IGR, the stove and refrigerator may not be provided by the tenants.
  - (d) An emergency exit plan shall be developed and explained to the occupants. Regular fire inspections shall be conducted by appropriate local officials. First aid supplies and fire extinguishers shall be readily accessible throughout the IGR. Smoke detectors shall be provided and emergency phone numbers (e.g., police, ambulance, fire department) shall be available at each phone and provided to each occupant. All emergency and safety features and procedures shall meet applicable State and local standards.

- (e) The IGR shall be located in a residential setting and be similar in size and appearance to housing generally found in the neighborhood. The unit shall be within walking distance or accessible via transportation to medical and other appropriate commercial and community service facilities.
- (f) Supportive Services.
- 1 A planned program of supportive services shall be provided on a continual basis by a qualified Resident Assistant(s) or other qualified person(s) not residing in the unit.
  - 2 The supportive services program shall be determined initially by the Service Agency in accordance with standards established by the State.
  - 3 A written Service Agreement(s), approved by the State and in effect between the Owner and the Service Agency and/or the entities which provide the supportive services, shall be submitted to the PHA with the request for Lease Approval. If the lessor provides the supportive services, the provision of such shall be incorporated into the Lease (in lieu of the Service Agreement) and approved by the State.
  - 4 IGRs shall be licensed, certified, or otherwise approved in writing by the appropriate State Agency (e.g., Department of Human Resources, Mental Health, Mental Retardation, Social Services) prior to the execution of the initial HAP Contract.
- (2) PHA Determination. The PHA must determine that the sanitary facilities in an IGR meet the requirements in Paragraph 5-4b(1). In addition, the PHA must ensure that there is at least one bathroom for every four occupants and that appropriate modifications as discussed in Paragraph 5-5b(1)(b) are provided if there are physically handicapped occupants. The PHA must ensure that a cooking stove or range and a refrigerator(s) have been provided by someone other than the occupants since these appliances will be shared by all occupants, and that there are a sufficient number of refrigerators to accommodate the number of occupants. The PHA must also ensure that: an emergency exit plant has been developed and explained to the occupants; first aid supplies and fire extinguishers are readily accessible; smoke detectors are installed and in operating condition; and that emergency phone numbers are available at each phone

and have been provided to the occupants. In determining whether the IGR resembles other housing in the neighborhood, the PHA should consider whether the IGR is institutional in appearance, the number of people housed, or in its method of providing services. The PHA must also ensure that medical and other appropriate commercial and community service facilities are within walking distance of the IGR or available by transportation. The PHA shall check the written Service Agreement or Lease to ensure that there is a services program and that it has been approved by the State, and also check for written verification that the IGR is licensed, certified, or otherwise approved in writing by the State. The PHA shall check to see that the services program is regularly monitored by the State. Continual nursing, medical or psychiatric care must not be provided within the IGR.

- (3) Tenant Preference. The tenant should determine whether the group living arrangement is acceptable and, with assistance from the Service Agency, whether the supportive services will assist the tenant in advancing to a greater level of independent living. If physically handicapped, the tenant may determine whether the unit is accessible as well as whether the modifications (e.g., grab bars, ramps) are adequate.

- 5-6. RECOMMENDATIONS TO OWNERS FOR IMPROVING HOUSING QUALITY ABOVE REQUIREMENTS. As discussed in Paragraph 5-3, the HQS set forth the minimum acceptable level of condition or performance a dwelling unit must meet to be determined eligible for use by Certificate Holders. The PHA should encourage owners to make improvements in housing quality above these minimum requirements. These improvements may justify higher rents if those higher rents are within the FMR and are reasonable in relation to the rents of comparable units. For example, the unit may meet the HQS requirements regarding interior air quality, but the PHA may wish to recommend that the owner provide air conditioning. The PHA might also wish to recommend weather stripping and insulation or repainting the interior of the unit, even though these improvements are not necessary to meet HQS. However, the PHA may find it necessary to require improvements above the HQS if an owner's rent does not meet the rent reasonableness determination made by the PHA for a unit in a certain condition and if the owner refuses to rent the unit for less. (See Chapter 6

for a discussion on rent reasonableness determinations. For example, the PHA may determine the rent as reasonable only if the kitchen were modernized with a new sink, new cupboards and counter space, new owner-supplied appliances, and new floor coverings, as well as new bathroom fixtures. Under such circumstances, however, the PHA must be certain that such improvements, if made, would make the owner's requested rental rate comparable with similar units in the unassisted market.

5-7. ELIGIBLE AND INELIGIBLE TYPES OF HOUSING. (See Section 882.110 of the regulation.) Almost any type of existing rental housing may be utilized under this program provided it meets HQS, the Contract Rent is reasonable, and the Gross Rent falls within the appropriate FMR limitations. (See Chapter 6 for a discussion of FMRs). The regulations do, however, prohibit or limit the use of some housing types.

a. Eligible Types of Housing. Existing rental housing types which are authorized by the program include, but are not necessarily limited to, the following:

- (1) townhouses;
- (2) garden apartments;
- (3) duplexes, tri-plexes, four-plexes, etc.;
- (4) single-family homes;
- (5) manufactured homes;
- (6) high-rise apartments;
- (7) double bungalows;
- (8) cooperative housing units;
- (9) HUD-insured, or HUD-owned properties (except as discussed in Chapter 4, Paragraph 4-16c);
- (10) VA-guaranteed properties; and
- (11) FmHA-insured or direct loan properties (except as discussed in Chapter 4, Paragraph 4-16c).

(NOTE: All of the above housing types may be used to house families with handicapped members in addition to housing that may be provided through Independent Group Residences and Congregate Housing as discussed in Paragraph 5-5.)

b. Eligible Housing Types With Limitations. The following types of existing rental housing may be utilized by eligible families or individuals within the noted limitations.

- (1) Congregate Housing, if utilized by elderly, handicapped, disabled, or displaced families or individuals. (See Sections 882.109(m) and 882.110(b).)

- (2) Independent Group Residences, if utilized by elderly, handicapped, or disabled families or individuals who require a planned program of supportive services appropriate to their needs. (See Sections 882.109(n) and 882.110(b).)
- (3) Housing built under Section 221(d)(3) Below Market Interest Rate (BMIR), Market Interest Rate (MIR), Section 236, Section 202 (HUD programs), and Section 515 Interest Credit (a Farmers Home Administration Program) has limitations on its use by Certificate Holders as discussed in Chapter 4, Paragraph 4-16c.
- c. Ineligible Housing Types. The following types of housing are ineligible:
- (1) Housing owned by the family to be assisted (except manufactured homes where the family rents the pad);
  - (2) Housing owned by those who are prohibited from participation due to conflict of interest prohibitions of the HAP Contract and of the ACC (see Chapter 4, Paragraph 4-15 for a complete discussion of this provision.);
  - (3) Nursing homes;
  - (4) Units within grounds of penal, reformatory, medical, mental, and similar public or private institutions;
  - (5) Facilities providing continual psychiatric, medical, or nursing services;
  - (6) Units without kitchens or bathrooms, such as are found in rooming or boarding houses;
  - (7) Housing owned by the PHA issuing the Certificate (including housing owned by entities owned or substantially controlled by the PHA or members of the PHA Board).
  - (8) Units in which families are being assisted under other Section 8 subsidy programs.
- d. It should be noted that there is no prohibition in the regulation against a Certificate Holder leasing a unit that is owned by a relative (e.g., an elderly person renting a unit owned by a son). Due to the family relationship, however, the PHA should take extra care in such instances to assure that the unit meets all program requirements, including rent reasonableness, and the provisions of the HAP Contract.
- e. Housing Assistance Payments made on behalf of Certificate Holders who rent manufactured homes may include assistance for rental of the space on which the unit is located, if

the cost of the space is included in the Contract Rent and if it meets the rent reasonableness test. Owners of manufactured homes who rent their spaces may also receive assistance for the space rental. (See Section 8(j) of the U. S. Housing Act and 24 CFR Part 882, Subpart F.)

5-8. UNIT INSPECTIONS.

- a. Initial Unit Inspection Procedures. (See Sections 882.210(d) and 882.116(o) of the regulations.) The PHA is required to conduct unit inspections before lease approval and execution of a HAP Contract to insure that the unit is in compliance with the HQS or HUD-approved variations, where applicable. Once a Certificate Holder and prospective owner have requested lease approval for a specific unit (See Chapter 4, Paragraph 4-16b), the PHA is responsible for the following:
- (1) The PHA must schedule a unit inspection on the date the owner indicates the unit will be ready for inspection, or as soon after as possible. Lengthy delays of inspections should be avoided since they can cause owners and families to lose interest in participating in the program. Owners may incur an income loss if the unit is unoccupied for a long period of time, and families may lose units to nonparticipating families who can move in immediately.
  - (2) A thorough inspection of the unit must be made to determine compliance with all HQS Performance Requirements and Acceptability Criteria (or HUD-approved variations, where applicable) prior to lease approval. Minimal units (i.e., those that are likely to fall below the HQS within a year) should not be approved. Some unit conditions have been interpreted as being HQS violations which are not; see Paragraph 5-13 for a listing of items frequently identified incorrectly as HQS violations. The PHA must inspect the unit using the long version of Form HUD-52580 (Appendix 29A) until it becomes completely familiar with the correct HQS interpretations as evidenced by a good HQS inspection track record. Once this occurs, the PHA may use the short version of Form HUD-52580 (Appendix 29B) or a Field Office-approved alternative form. All determinations resulting from the PHA's inspections must be adequately documented in the PHA's files. (See Paragraph 5-9a.)

- (3) In order that staff time be used as efficiently as possible at the time of inspection, the PHA may wish to obtain the following information to make additional determinations which are required by the program:
- (a) The actual number of bedrooms (excluding living/sleeping rooms) contained within the unit to insure that the proper FMR limitations are used and that the owner's statements on the Request for Lease Approval regarding unit size are valid. For example, an owner may have considered the unit to be a three-bedroom unit, but the PHA may find that only two of the bedrooms meet the applicable HQS criteria (e.g., a window, two electrical outlets). Therefore, unless the owner is willing and able to bring the third bedroom into compliance, the unit must be considered a 2-BR unit for FMR limitation requirements, rent reasonableness, and for determining whether the unit meets the HQS Space and Security Criteria. (See Paragraph 5-4b(3).)
  - (b) Information with respect to the unit's age, quality, amenities, location, contract and gross rents, unit type, and square footage of living space, which is necessary to determine whether the requested Contract Rent is reasonable. Some PHAs have found their inspection personnel to be highly valuable resources in making such determinations because they have first-hand knowledge of much of the area's housing stock. (See Chapter 6 for additional information on this subject.)
  - (c) The condition of the unit in appropriate detail in the event of a subsequent claim by the owner that the damages were caused by the family during its occupancy under the program. Some PHAs have added a "pre-existing conditions" section to the inspection form which also clearly states to the owner that such items will not be covered under any such claim.
  - (d) Recording of the census tract number (or enumeration district number) applicable to the unit's location. Many PHAs, especially those covering large geographical areas or communities with several such possible codes, have found it advantageous to assign this responsibility to inspection personnel to insure accuracy since this information is required for HUD reporting purposes. (See Chapter 12.)

- b. Annual Inspection Procedures. (See Sect. 982.211 of the regulation.) The PHA is required to inspect each dwelling unit at least annually to determine if the owner is maintaining the unit in decent, safe, and sanitary condition in accordance with the HAP Contract and is providing the maintenance services and utilities set forth in the lease between the owner and the assisted family.
- (1) The PHA must conduct its annual inspections within one year after the date of the previous inspection (which should coincide with the anniversary date of the Contract). The PHA must also promptly conduct inspections for a HAP Contract renewal to ensure that any deficiencies are corrected before the effective date of the new HAP Contract.
  - (2) The same procedures and forms as used for initial inspections (as discussed in Paragraph 5-8a) may be used for annual inspections.
  - (3) The PHA should use the inspection form to document any improvements which may have been made to the unit since the last inspection to determine whether information pertaining to rent reasonableness needs to be updated. This documentation for PHA files is especially important if the owner is requesting an annual adjustment in the Contract Rent on the basis of such actions. (See Chapter 6.)
  - (4) Some PHAs also cite recommended improvements to encourage upgrading of units above the HQS on the annual inspection form. Such improvements may be in the owner's best interest since they may justify a higher comparable rent. (See Paragraph 5-6.)
- c. Special Unit Inspections. There may be circumstances other than the initial and annual inspections which require the PHA to determine a unit's compliance with the HQS criteria, as follows:
- (1) Complaints from participating families, owners, or other sources regarding the unit's condition or lack of maintenance and services by the responsible parties; or
  - (2) Owner requests to determine if a unit(s) qualifies for potential participation. Such preliminary inspections may not be considered as substitutions for required initial inspections that may result from Request for Lease Approval.

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**5-9. REQUIRED ACTIONS AFTER COMPLETED INSPECTIONS.**

- a. Initial Inspections. The following requirements apply to results of inspections performed in connection with a Request for Lease Approval:
- (1) If the inspector has questions about the adequacy of certain items, these should be discussed with the family.
  - (2) If the PHA's inspection reveals that the unit meets the applicable HQS criteria, the PHA may proceed with the other necessary determinations, such as rent reasonableness, preparation of HAP Contract and approval of lease, etc. (See Chapter 4, Paragraph 4-1.) Most PHAs notify the owner and family of the inspection results and may send the family a copy of the completed form. The PHA should send the owner and family a copy of the completed form (or summary) if it has noted "pre-existing conditions" as discussed in Paragraph 5-8a(3)(c).
  - (3) If the PHA's inspection reveals that the unit contains HQS violations, the PHA shall notify the owner and the family that the unit may not be leased under the program until all deficiencies are corrected.
- b. Annual Inspections. If the PHA's annual inspection reveals that the unit is not in decent, safe, and sanitary condition as required by the HQS criteria or is not in compliance with any other provisions of the HAP Contract, the PHA must immediately notify the owner of the deficiencies, in writing. It is not the responsibility of the housing inspector to prepare detailed repair specifications. The notice must describe the deficiencies which are in violation of the HQS and require that the conditions be corrected within a specific time period to be determined by the PHA as follows:
- (1) If there are serious deficiencies which present an immediate danger to the health and safety of the family, (e.g., exhaust fumes from heating system or lack of heat in winter months), the PHA must require the owner to correct those deficiencies within 24 hours. If the owner does not take the required action within the 24-hour time period, the PHA must either stop the housing assistance payments until such time as the owner corrects the deficiencies, or terminate the HAP Contract. The housing assistance payments may be resumed once the deficiencies are fully corrected by

the owner, but the PHA should not make payments for the period the unit was not in compliance.

- (2) If there are other deficiencies which could affect the health and safety of the occupants, the owner must correct the items within 30 days or less. If the owner does not take the required corrective action within the specified 30-day time period, the PHA must determine if extensions of time are warranted depending upon the nature of the work to be completed and the PHA's determination of a reasonable deadline. If an extension is not wanted, the PHA must either stop the housing assistance payments or terminate the HAP Contract. (See above Paragraph 5-9a(3).) Such action may prompt the owner to correct the unit so that the family will not have to relocate or rent the deficient unit on its own without assistance. If the HAP Contract is terminated, the PHA must issue a new Certificate to the family and provide the family with as much assistance as possible in locating an eligible unit, unless the family is no longer eligible. (See Chapter 9.) During the period when payments have been stopped, the PHA should assume the tenant of its responsibility under applicable State or local law regarding the payment of its share of rent to the owner.

**NOTE:** The PHA must reinspect the unit to ensure that all HOS deficiencies have been corrected prior to execution of a renewed or new HAP Contract and possible annual rent adjustment.

- c. Special Unit Inspections. If problems similar to those discussed in the preceding sections are disclosed during a special unit inspection (e.g., performed as a result of a complaint from the family, owner, or other source), the same steps should be taken by the PHA as outlined in the sections above, as appropriate. If an annual inspection reveals that a unit has serious deficiencies, the PHA should inspect other units in the building leased to Section 8 Existing families, even though annual inspections of these units are not yet required.

- d. Inspections Which Reveal Tenant Noncompliance. If an annual or special inspection reveals that a unit is no longer in a decent, safe, and sanitary condition according to the applicable HQS criteria because of the tenant's lack of maintenance, the owner is still responsible for taking appropriate action to correct deficiencies. In addition to contacting the owner in writing of any deficiencies and corrective action needed, the PHA should also advise the family of its responsibilities with respect to any lease requirements and also point out the possible consequences of noncompliance. If the owner is unable to get compliance from the family but does not take appropriate steps to evict the family, the PHA shall either stop the HAP payments or terminate the HAP Contract. (See Paragraph 5-10.) If allowed by the PHA's HUD-approved Equal Opportunity Housing Plan, Administrative Plan, or other such HUD-approved Operating and Admissions Policies (if used), the family may be determined ineligible for future participation. (See Chapters 4 and 10.)

5-10. TERMINATION OF PAYMENTS AND CONTRACTS.

- a. Termination of Housing Assistance Payments. If the PHA has decided to stop making housing assistance payments to an owner in accordance with the HAP Contract, the owner must be sent advance written notification. The PHA must also promptly notify the family of this action and apprise them of their responsibility, based on applicable State or local law, for the payment of their share of rent to the owner. Housing assistance payments may be stopped until:
- (1) The owner corrects the deficiencies, in which case the housing assistance payments may be resumed as of that date; or
  - (2) termination or expiration of the HAP Contract.

The PHA must not resume HAP payments until the owner has corrected the deficiencies. No retroactive payments may be made for the period the unit was not in decent, safe, and sanitary condition. When the deficiencies are corrected, however, a prorated housing assistance payment may be provided to the owner for the period commencing with the actual date that the required work was completed.

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- b. Termination of the Contract. If the PHA has decided to terminate the HAP Contract according to its terms, both the family and owner must be notified in writing of the reasons for termination and the date upon which it will take effect. The family must be notified that if it chooses to be rehoused in another unit, the PHA will issue another Certificate so that the family can locate another eligible unit as soon as possible, provided the family is still eligible for participation. (See Chapter 9.) The family should be reminded of its responsibility to give the owner proper notice. The PHA should avoid delays in inspecting the unit and in signing the leasing documents for any new unit found by the family so that there will be no break in the family's assistance.
- 5-11. PHA STAFFING AND TRAINING OF INSPECTORS. This paragraph discusses the PHA's staffing and training of housing inspection staff. PHA staff who are responsible for conducting unit inspections, whether on a full-time or part-time basis, have a critical role to fulfill, since the quality of leased units at a reasonable rent is a major criterion for a successful program. Apart from making inspections and insuring that leased units are decent, safe, and sanitary, housing inspectors are often called upon to provide program information to owners and eligible families in response to inquiries about their respective responsibilities under the lease and HAP Contract. In addition, such staff are often called upon to make impartial determinations of conditions which are the result either of tenant damages or owner neglect. Inspection personnel are often asked to provide guidance to owners on the kinds of repairs necessary so that the unit will pass inspection. The fulfilling of these responsibilities may require that inspectors have a basic knowledge of local housing codes, construction, design standards for accessibility to the handicapped, rehabilitation, and housing systems (e.g., wiring, plumbing, heating). It is recognized that limited administrative resources prevent many PHAs from employing highly specialized technical personnel to conduct housing inspections. The discussion below, therefore, focuses on PHA actions to strengthen staff capabilities in making inspections and in selecting and training housing inspectors.
- a. Staffing Options. Several staffing arrangements are possible, depending upon the program needs and the available personnel. A PHA should consider whether it wants full-time or part-time staff, whether the inspectors should be in-house or subcontracted, and whether professionals or trained generalists (such as staff members who double in other program areas) would be more appropriate.
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## CHAPTER 5

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- (1) Full-Time Housing Inspectors. A PHA with a large number of units to be leased under the program should be able to employ one or more housing inspectors on a full-time basis. A major advantage of using full-time staff is that the agency may be able to respond more quickly to requests for inspections, follow-ups, complaints, etc. Advance planning of the anticipated number and timing of inspections will aid in deciding if full-time inspectors are needed. The extent of geographical dispersion of the units is also a factor to be considered.
  - (2) Part-time or Shared Housing Inspectors. In a smaller program, there may be no need for a full-time housing inspector. An inspector might be hired on a part-time or shared-time basis by several small PHAs in an area or for several different programs within the same agency. If time is shared, scheduling difficulties may result since an inspector should be available to inspect a unit promptly after a Request for Lease Approval is received. Therefore, agreement should be reached concerning priorities and special program needs. If inspection personnel are shared between PHAs, they must be familiar with any applicable HUD-approved variations in HQS criteria that may apply to one or more of the PHAs.
  - (3) In-House or Subcontracted Inspection Staff. An advantage of in-house staff is that the PHA has more direct and sustained control over the selection of inspectors and their training and performance. A subcontract may be preferable, however, when professional inspectors are needed for concentrated periods of time or when a program is small. For example, the PHA may wish to contract with a city or county for its inspection functions. (See Chapter 12 for PHA contracting requirements.)
  - (4) Specialist or Generalist Inspectors. A PHA may decide to employ one or more staff members to handle only inspections. Use of specialized staff to conduct inspections may result in a more consistent interpretation of the HQS. In addition, an inspector with specialized skills and experience may be an advantage to PHAs if the local housing stock has numerous deficiencies. In areas with generally good housing stock and a limited number of units in the program, it is possible to train generalist staff who have other program responsibilities. An

advantage of this option is that the PHA may have more flexibility in shifting staff responsibilities. In such cases, the PHA must insure that inspections are as promptly and effectively performed as other required responsibilities and that generalists are well trained.

- b. Training. In familiarizing the staff with the HQS and inspection procedures, it is important to maintain a consistent interpretation of HQS among the inspectors, the families, and the owners. (See Paragraphs 5-4 and 5-5.) If all three parties have a common understanding of the requirements, disagreements over interpretation can be avoided. Field Office personnel should be contacted to conduct training sessions or to provide the HQS training package. Inspection staff can be trained in a variety of ways. The PHA should consider any or all of the following methods:
- (1) Audio-Visual Presentation. The HUD audio-visual presentation is a critical training tool to define, highlight, and emphasize the HQS. All inspectors should be thoroughly familiar with the HQS interpretations provided in the audio-visual presentation. When used in conjunction with the inspection of actual housing units as discussed in (2) below, they can be especially effective. The HQS audio-visuals are available through the Field Offices.
  - (2) Use of Actual Housing Units. The inspection of actual units is an effective method of training inspectors to detect deficiencies. Inconsistencies among inspectors can be reduced if each of the staff members checks the same sample unit, and then all meet as a group to compare and discuss their results. It is useful to find units that exhibit different kinds of deficiencies. A unit in marginal condition which requires the exercise of good judgment by the inspector will generate discussion and provide clarification. Inspection training in both standard and substandard units can also be useful.
  - (3) Lectures. Experienced inspectors or experts in some particular aspect of housing such as plumbing, electrical wiring, or accessibility can provide useful guidance to the inspection staff on thorough inspection techniques.

- (4) Printed Materials. The Housing Inspection Manual is essential for training inspectors, and the brochure, "A Good Place to Live" is useful for briefing prospective tenants and owners on elements of housing quality. These two publications may be supplemented by other written materials. Also, various printed as well as audio-visual materials exist on accessibility features for handicapped people.

- 5-12. MONITORING HOUSING QUALITY. Section 882.211(b) and Section 882.116(o) of the regulations require the PHA, initially and "at least annually", to determine that leased units maintained by the owner are decent, safe, and sanitary. The tenants should be made aware of their responsibility to keep the unit in good condition through decent housekeeping. (See Paragraph 5-8.) The procedures for monitoring housing quality include keeping records on inspections, maintaining quality control of such inspections, and analyzing ways of improving program performance.
- a. Record-Keeping. PHAs are required to retain copies of the records of all PHA inspections (initial, annual, and special) for three years. All complaints by families concerning owner compliance with the HQS must be retained for three years. Generally, it is best to keep these items in the family's program file, since separate folders kept by individual inspectors may be difficult to locate when reviewing a family's circumstances. The PHA may also want to keep an index by street address so that reference can be made to an earlier inspection, if a unit under consideration had been previously disapproved.
  - b. Quality Control of Inspections. In order to insure that PHA inspections are adhering to the HQS and are providing consistent determinations, the PHA must establish procedures for reviewing a sample of the completed inspections. The reinspection by a supervisor of a random sample of 5 percent of the approved units is required. A larger sample may be warranted if problems are found. Additional training should be provided, if needed. The PHA may also wish to rotate the caseload of the inspectors to assure uniform interpretation of HQS and to prevent the possibility of program abuse. (See also Chapter 9, Paragraph 9-11 of Handbook 7420.7 and Section 2 of the Housing Inspection Manual.)
  - c. Improving Program Performance. The analysis of information from the inspection process can be helpful in assessing the appropriateness of the HQS, the effectiveness of the information provided to families and owners on the HQS requirements,

the PHA's inspection procedures, and the accuracy and efficiency of inspection personnel. Such feedback should form the basis for changes that might improve performance. The kinds of information indicated below might be included in a monthly summary form prepared for monitoring purposes:

- (1) Number of Requests for Lease Approval Received;
- (2) Number of Initial Inspections by the PHA;
- (3) Number of Annual and Special Inspections;
- (4) Average Number of Inspections Versus Lease Approvals;
- (5) Number of Units:
  - (a) Meeting HQS
  - (b) Needing Repairs to Meet HQS
    - 1 Date Unit to be Reinspected
    - 2 Cost and Type of Repair to be Completed by Owner;
- (6) Backlog of Inspection Requests; Average Time Lag Between Date Available and Date of Inspection; and
- (7) Number of Supervisory Inspections, Including Information on Inspection Errors and Inconsistencies.

This information could be used in many ways. For instance, if the number of inspections per household is high and the number of disapproved units needing substantial repairs is also high, the PHA might need to improve the briefing for families, and information to owners, to help them eliminate more substandard units themselves. This would cut down on the demand for inspection time and expedite the family's entry into the program. Alternatively, the information gathered might suggest the need to review the unsatisfactory items to determine whether reasonable variations to the Acceptability Criteria would result in reclassifying many of the units as satisfactory. If so, the PHA should consider requesting such variations from the Field Office.

5-13. ITEMS INCORRECTLY IDENTIFIED AS HOUSING QUALITY VIOLATIONS.  
PHAs must assure that the following items are not cited as housing quality violations under Section 882.109 and thereby unnecessarily restrict housing available for lease under the Section 8 Existing Housing Program.

a. Sanitary Facilities.

- (1) Minor drip in wash basin or tub
- (2) Worn enamel on the tub or basin

b. Food Preparation and Refuse Disposal.

- (1) Amount of counter space
- (2) Condition of appliances (except stoves and refrigerators)

c. Space and Security.

- (1) Size of rooms
- (2) Type of locks (except as discussed in Paragraph 5-4b(3)(b).)
- (3) Layout of rooms

d. Thermal Environment.

- (1) Amount of insulation and weather stripping
- (2) Inadequate heat in rooms not used for living

e. Illumination and Electricity.

- (1) Cracked window panes (which are not a safety problem and do not cause drafts)
- (2) Location of outlets and light fixtures

f. Structure and Materials.

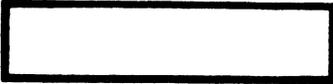
- (1) Worn carpeting or other floor covering
- (2) Stained wallpaper
- (3) Cosmetic condition of walls, floors, ceilings

g. Interior Air Quality.

- (1) Lack of screens
- (2) No air conditioning

h. Water Supply.

Size of water heater



i. Access.

Alternate means of egress from unit (instead of from building)

j. Site and Neighborhood.

- (1) Presence or absence of commercial uses
- (2) Racial or economic mix
- (3) Availability of services

k. Sanitary Conditions.

Occasional roaches or mice

§ 882.109 Housing quality standards.

Housing used in this program shall meet the Performance Requirements set forth in this section. In addition, the housing shall meet the Acceptability Criteria set forth in this section except for such variations as are proposed by the PHA and approved by HUD. Local climatic or geological conditions or local codes are examples which may justify such variations.

(a) *Sanitary Facilities.*—(1) *Performance Requirement.* The dwelling unit shall include its own sanitary facilities which are in proper operating condition, can be used in privacy, and are adequate for personal cleanliness and the disposal of human waste.

(2) *Acceptability Criteria.* A flush toilet in a separate, private room, a fixed basin with hot and cold running water, and a shower or tub with hot and cold running water shall be present in the dwelling unit, all in proper operating condition. These facilities shall utilize an approved public or private disposal system.

(b) *Food Preparation and Refuse Disposal.*—(1) *Performance Requirement.* The dwelling unit shall contain suitable space and equipment to store, prepare, and serve foods in a sanitary manner. There shall be adequate facilities and services for the sanitary disposal of food wastes and refuse, including facilities for temporary storage where necessary.

(2) *Acceptability Criteria.* The unit shall contain the following equipment in proper operating condition: cooking stove or range and a refrigerator of appropriate size for the unit, supplied by either the Owner or the Family, and a kitchen sink with hot and cold running water. The sink shall drain into an approved public or private system. Adequate space for the storage, preparation and serving of food shall be provided. There shall be adequate facilities and services for the sanitary disposal of food wastes and refuse, including facilities for temporary storage where necessary (e.g., garbage cans).

(c) *Space and Security.*—(1) *Performance Requirement.* The dwelling unit shall afford the Family adequate space and security.

(2) *Acceptability Criteria.* A living room, kitchen area, and bathroom shall be present; and the dwelling unit shall contain at least one sleeping or living/sleeping room of appropriate size for each two persons. Exterior doors and windows accessible from outside the unit shall be lockable.

(d) *Thermal Environment.*—(1) *Performance Requirement.* The dwelling unit shall have and be capable of maintaining a thermal environment healthy for the human body.

(2) *Acceptability Criteria.* The dwelling unit shall contain safe heating and/or cooling facilities which are in proper operating condition and can provide adequate heat and/or cooling

to each room in the dwelling unit appropriate for the climate to assure a healthy living environment. Unvented room heaters which burn gas, oil or kerosene are unacceptable.

(e) *Illumination and Electricity.*—(1) *Performance Requirement.* Each room shall have adequate natural or artificial illumination to permit normal indoor activities and to support the health and safety of occupants. Sufficient electrical sources shall be provided to permit use of essential electrical appliances while assuring safety from fire.

(2) *Acceptability Criteria.* Living and sleeping rooms shall include at least one window. A ceiling or wall type light fixture shall be present and working in the bathroom and kitchen area. At least two electric outlets one of which may be an overhead light, shall be present and operable in the living area, kitchen area, and each bedroom area.

(f) *Structure and Materials.*—(1) *Performance Requirement.* The dwelling unit shall be structurally sound so as not to pose any threat to the health and safety of the occupants and so as to protect the occupants from the environment.

(2) *Acceptability Criteria.* Ceilings, walls, and floors shall not have any serious defects such as severe bulging or leaning, large holes, loose surface materials, severe buckling or noticeable movement under walking stress, missing parts or other serious damage. The roof structure shall be firm and the roof shall be weathertight. The exterior wall structure and exterior wall surface shall not have any serious defects such as serious leaning, buckling, sagging, cracks or holes, loose siding, or other serious damage. The condition and equipment of interior and exterior stairways, halls, porches, walkways, etc., shall be such as not to present a danger of tripping or falling. Elevators shall be maintained in safe and operating condition. In the case of a mobile home, the home shall be securely anchored by a tiedown device which distributes and transfers the loads imposed by the unit to appropriate ground anchors so as to resist wind overturning and sliding.

(g) *Interior Air Quality.*—(1) *Performance Requirement.* The dwelling unit shall be free of pollutants in the air at levels which threaten the health of the occupants.

(2) *Acceptability Criteria.* The dwelling unit shall be free from dangerous levels of air pollution from carbon monoxide, sewer gas, fuel gas, dust, and other harmful air pollutants. Air circulation shall be adequate throughout the unit. Bathroom areas shall have at least one openable window or other adequate exhaust ventilation.

(h) *Water Supply.*—(1) *Performance Requirement.* The water supply shall be free from contamination.

(2) *Acceptability Criteria.* The unit shall be served by an approved public or private sanitary water supply.

(i) *Lead Based Paint.*—(1) *Performance Requirement.* (i) The dwelling unit shall be in compliance with HUD Lead Based Paint regulations, 24 CFR, Part 35, issued pursuant to the Lead Based Paint Poisoning Prevention Act, 42 U.S.C. 4801, and the Owner shall provide a certification that the dwelling is in accordance with such HUD Regulations.

(ii) If the property was constructed prior to 1950, the Family upon occupancy shall have been furnished the notice required by HUD Lead Based Paint regulations and procedures regarding the hazards of lead based paint poisoning, the symptoms and treatment of lead poisoning and the precautions to be taken against lead poisoning.

(2) *Acceptability Criteria.* Same as Performance Requirement.

(j) *Access.*—(1) *Performance Requirement.* The dwelling unit shall be useable and capable of being maintained without unauthorized use of other private properties, and the building shall provide an alternate means of egress in case of fire.

(2) *Acceptability Criteria.* The dwelling unit shall be useable and capable of being maintained without unauthorized use of other private properties. The building shall provide an alternate means of egress in case of fire (such as fire stairs or egress through windows).

(k) *Site and Neighborhood.*—(1) *Performance Requirement.* The site and neighborhood shall be reasonably free from disturbing noises and reverberations and other hazards to the health, safety, and general welfare of the occupants.

(2) *Acceptability Criteria.* The site and neighborhood shall not be subject to serious adverse environmental conditions, natural or manmade, such as dangerous walks, steps, instability, flooding, poor drainage, septic tank back-ups, sewage hazards or mudslides; abnormal air pollution, smoke or dust; excessive noise, vibration or vehicular traffic; excessive accumulations of trash; vermin or rodent infestation; or fire hazards.

(l) *Sanitary Condition.*—(1) *Performance Requirement.* The unit and its equipment shall be in sanitary condition.

(2) *Acceptability Criteria.* The units and its equipment shall be free of vermin and rodent infestation.

(m) *Congregate Housing—Performance Requirement.* The foregoing standards shall apply except for paragraph (b) of this section and the re-

quirement in paragraph (c)(2) of this section for a kitchen area. In addition, the following standards shall apply:

(1) The unit shall contain a refrigerator of appropriate size.

(2) The sanitary facilities described in §882.109(a) shall be contained within the unit.

(3) The central dining facility and central kitchen shall be located within the building or housing complex and be accessible to the occupants of the congregate units, and shall contain suitable space and equipment to store, prepare and serve food in a sanitary manner by a food service or persons other than the occupants and shall be for the primary use of occupants of the congregate units and be sufficient in size to accommodate the occupants. There shall be adequate facilities and services for the sanitary disposal of food wastes and refuse, including facilities for temporary storage where necessary (e.g., garbage cans).

(n) *Independent Group Residence—Performance Requirement.* The foregoing standards shall apply except for paragraphs (a), (b), (c), (f), (k); and (m) of this section. In addition, the following standards shall apply: (1) The unit shall contain and have ready access to a flush toilet which can be used in privacy, a fixed basin with hot and cold running water, and a shower and/or tub equipped with hot and cold running water all in proper operating condition and adequate for personal cleanliness and the disposal of human wastes. These facilities shall utilize an approved public or private disposal system, and shall be sufficient in number so that they need not be shared by more than four occupants. Those units accommodating physically handicapped occupants with wheelchairs or other special equipment shall provide access to all sanitary facilities, and shall provide, as appropriate to needs of the occupants, basins and toilets of appropriate height; grab bars to toilets, showers and/or bathtubs; shower seats; and adequate space for movement.

(2) The unit shall contain suitable space to store, prepare and serve foods in a sanitary manner. A cooking stove or range, a refrigerator(s) of appropriate size and in sufficient quantity for the number of occupants, and a kitchen sink with hot and cold running water shall be present in proper operating condition. The sink shall drain into an approved private or public system. Adequate space for the storage, preparation and serving of food shall be provided. There shall be adequate facilities and services for the sanitary disposal of food wastes and refuse, including facilities for temporary storage where necessary (e.g., garbage cans).

(3) The dwelling unit shall afford the Family adequate space and security. A living room, kitchen, dining area, bathroom, and other appropriate social and/or recreational community space shall be within the unit and the dwelling unit shall contain at least one sleeping room of appropriate size for each two persons. Exterior doors and windows accessible from outside each unit shall be capable of being locked. An emergency exit plan shall be developed and occupants shall be apprised of the details of the plan. Regular fire inspections shall be conducted by appropriate local officials. Readily accessible first aid supplies and fire extinguishers shall be provided throughout the unit, smoke detectors shall be provided and emergency phone numbers (police, ambulance, fire department, etc.) shall be available at every phone and individual copies shall be provided to each occupant. All emergency and safety features and procedures shall meet applicable State and local standards.

(4) The unit shall be structurally sound so as not to pose any threat to the health and safety of the occupants and so as to protect the occupants from the environment. Ceilings, walls and floors shall not have any serious defects such as severe bulging or leaning, large holes, loose surface materials, severe buckling or noticeable movement under walking stress, missing parts or other serious damage. The roof structure shall be firm and the roof shall be weathertight. The exterior wall structure and exterior wall surface shall not have any serious defects such as serious leaning, buckling, sagging, cracks or holes, loose siding, or other serious damage. The condition and equipment of interior and exterior stairways, halls, porches, walkways, etc., shall be such as not to present a danger of tripping or falling. Elevators shall be maintained in safe and operating condition. Units accommodating physically handicapped occupants with wheelchairs and other special equipment shall not contain architectural barriers which impede access or use, and handrails and ramps shall be provided as appropriate.

(5) The site and neighborhood shall be reasonably free from disturbing noises and reverberations and other hazards to the health, safety, and general welfare of the occupants, and shall not be subject to serious adverse environmental conditions, natural or manmade, such as dangerous walks, steps, instability, flooding, poor drainage, septic tank back-ups, sewage hazards or mudslides; abnormal air pollution, smoke or dust; excessive noise, vibrations or vehicular traffic; excessive accumulations of trash; vermin or rodent infestation; or fire hazards. The unit shall be located in a residen-

tial setting and be similar in size and appearance to housing generally found in the neighborhood, and be within walking distance or accessible via public or available private transportation to medical and other appropriate commercial and community service facilities.

(6) *Supportive Services.* (i) A planned program of adequate supportive services appropriate to the needs of the occupants shall be provided on a continual basis by a qualified Resident Assistant(s) residing in the unit, or other qualified person(s) not residing in the unit, who will provide such services on a continual, planned basis. Supportive services which are provided within the unit may include the following types of services: counseling; social services which promote physical activity, intellectual stimulation and/or social motivation; training or assistance with activities of daily living including housekeeping, dressing, personal hygiene and/or grooming; provision of basic first aid skills in case of emergencies; supervision of self-administration of medications, diet and nutrition; and assurance that occupants obtain incidental medical care, as needed, by facilitating the making of appointments at, and transportation to, medical facilities. Supportive services provided within the unit shall not include the provision of continual nursing, medical or psychiatric care.

(ii) The provision and quality of the planned program of supportive services, including the minimal qualifications, quantity and working hours of the Resident Assistant(s) living in the unit or other person(s) providing continual supportive services, shall be initially determined by the Service Agency in accordance with the standards established by the State. Compliance with these standards by the Service Agency shall be regularly monitored throughout the term of the Contract by the PHA and the State (e.g., Department of Human Resources, Mental Health, Mental Retardation, Social Services, etc.), or a local authority (other than the Service Agency providing services) designated by the State to establish, maintain and enforce such standards.

(iii) A written Service Agreement(s), approved by the State and in effect between the Owner and the Service Agency and/or the entities which provide the necessary supportive service, shall be submitted to the PHA with the request for Lease Approval. The Lease between the eligible individual and the Owner shall set forth the Owner's obligation for and means of providing these services. If the lessor provides the supportive services, a Service Agreement is not required and the provision of these services shall be incorporated into the Lease and shall

be approved by the State. (See § 882.210(f)(2).)

(7) *State Approval.* Independent Group Residences shall be licensed, certified or otherwise approved in writing by the State (e.g., Departments of Human Resources, Mental Health, Retardation, Social Services, etc.) prior to the execution of the initial Contract. This approval shall be reexamined periodically based on a schedule established by the State.

To insure that facilities and the supportive services are appropriate to the needs of the occupants, the State shall also approve the written Service Agreement(s) (or Lease, if the provider of services is the lessor) for each Independent Group Residence. (See § 882.210(f)(2).)

#### § 882.210 Request for lease approval.

(a) *Information to Owners and Requests to PHA for Lease Approval.* (1) The PHA will respond to inquiries from Owners who have been approached by Certificate holders by explaining major program procedures including lease provisions, lease approval procedures, housing quality inspections, Contract provisions and payment procedures and by furnishing copies of the pertinent forms.

(2) When a Family has found a unit it wants and the Owner is willing to lease, the Family shall submit to the PHA a Request for Lease Approval signed by the Owner of the unit and the Family. At the same time, the Family shall submit a copy of the proposed lease, which shall contain all required provisions shown in Appendix I, and shall be complete except for execution and entry of the portion of monthly rental which the Family shall be obligated to pay to the Owner.

(b) *Amount of Contract Rent to Owner.* (1) The PHA shall determine whether the requested Contract Rent is approvable in accordance with § 882.106. If the Family is to pay di-

rectly for any of the utilities or services, the PHA shall determine the amount of the Allowance on account thereof. Inasmuch as the Fair Market Rents are established for a geographic area within which the rents for modest Decent, Safe, and Sanitary housing may vary substantially, the PHA shall make an analysis to determine the reasonable rent for the particular unit. If the requested Contract Rent plus any applicable Allowance is at or below the reasonable rent and at or below the Fair Market Rent, it may be approved.

(2) If the otherwise approvable Contract Rent to Owner plus the applicable Allowance, if any, is higher than the applicable Fair Market Rent, and if the PHA determines that such higher rent is justified, it shall take the action required by §882.106 to have a higher rent approved.

(c) *Amount of Rent Payable by Family to Owner.* The amount of rent payable by the Family to the Owner shall be the amount of the Gross Family Contribution, or the amount of such Contribution less the amount of any Allowance for utilities and other services not to be provided by the Owner. If the Family is entitled to a Rent Credit pursuant to §882.115, the amount of the rent otherwise payable by the Family to the Owner shall be reduced by the amount of the Credit. If the Gross Family Contribution minus the Rent Credit is less than the Allowance for Utilities and Other Services, the PHA shall pay the difference directly to the Family.

(d) *Decent, Safe, and Sanitary Condition of Unit.*

(1) Before approving a Lease, the PHA shall inspect the unit for compliance with the PHA's housing quality standards as established in accordance with Sec. 882.109, or cause it to be so inspected on the date on which the Owner indicates that the unit will be ready for inspection, or as promptly as possible thereafter.

(2) If there are defects or deficiencies which must be corrected in order for the unit to be Decent, Safe, and Sanitary, the Owner shall be advised by the PHA of the work required to be done. Before a Contract is executed, the unit must be reinspected to ascertain that the necessary work has been performed and that the unit is Decent, Safe, and Sanitary.

(3) A report for every inspection and reinspection under this paragraph (d) shall be prepared and maintained in the files of the PHA. Each such report shall specify (i) any defects or deficiencies which must be corrected in order for the unit to be Decent, Safe, and Sanitary, and (ii) any other defects or deficiencies, a record of which shall be maintained for use in the event of a subsequent claim by the

Owner that they were caused during the period of occupancy by the Family.

(e) *Oversized Units.* Regardless of the unit size stated on the Certificate, no otherwise acceptable unit shall be disapproved on the ground that it is too large for the Family, provided that the rent to Owner plus any Allowance applicable to the actual larger size unit does not exceed the Fair Market Rent, or such higher rent as may previously have been approved by HUD pursuant to §882.106(a) (3) or (4), for the smaller size unit initially determined appropriate for the Family. Similarly, a unit with fewer bedrooms than the number stated on the Certificate may be approved: *Provided*, That the unit meets the space requirement of §882.109(c), or such variation as may have been approved by HUD, and the rent to Owner plus any Allowance applicable to the actual smaller size unit does not exceed the Fair Market Rent, or such higher rent as approved by HUD pursuant to §882.106(a) (3) or (4), for the actual smaller size unit.

(f) *Lease Requirements.* (1) *Term of Lease.* The PHA shall determine that the term of Lease is consistent with Sec. 882.107(b).

(2) *Required Provisions.* The Lease shall contain the required provisions specified in Appendix I. Leases for Independent Group Residences shall also incorporate by reference the supportive services to be provided in accordance with the written Service Agreement between the Owner and the Service Agency and/or other entities providing the necessary supportive services. If the lessor provides the supportive services, a Service Agreement is not required and the provision of these services shall be incorporated into the Lease. This Service Agreement or pertinent Lease provisions shall be approved in writing by the State prior to PHA execution of the Contract. (See §§882.102 and 882.109(n)(6).)

(3) *Prohibited Provisions.* The Lease shall not contain any clause which falls within the classifications listed in Appendix II.

(g) *Approval of Lease and Execution of Related Documents.* (1) If the PHA determines that a unit which an Eligible Family wishes to lease is in Decent, Safe, and Sanitary condition, that the rent is approvable, and that the proposed lease complies with the requirements of this part, the PHA shall notify the Owner and the Family of its determination of Lease approval, prepare the Contract, enclose a copy of the lease to be executed, and furnish two copies of the Contract to the Owner.

(2) After notification: (i) The Family and the Owner shall execute the Lease and return a copy to the PHA; (ii) The

Owner shall sign and return both copies of the Contract to the PHA; (iii) The PHA shall execute the Contract and return an executed copy to the Owner.

(3) The PHA shall retain in its files the following: The Request for the Lease Approval, the approved Lease, the inspection report(s), the certification pursuant to §882.106(b) that the rent is reasonable and not in excess of rents currently being charged by the Owner for comparable unassisted units, and the executed Contract.

(h) *Disapproval of lease.* (1) If the PHA determines that the lease cannot be approved for any reason, including the condition of the unit, the PHA shall so notify the Owner and the Family that:

(i) The proposed lease and/or the proposed dwelling unit are/is disapproved, for specified reasons; and that,

(ii) If the conditions requiring disapproval are remedied, and a Request for Lease Approval is resubmitted on or before a specified date, the Lease will be approved if the PHA determines that the conditions have been remedied to its satisfaction;

(2) The Certificate of Family Participation shall not expire before the date specified pursuant to paragraph (h)(1)(ii) of this section.

(3) The PHA shall retain in its files the following: the Request for Lease Approval, the inspection report(s), if any, and the notification of disapproval of the lease.

§882.211 Maintenance, operation and inspections.

(a) *Maintenance and Operation.* The Owner shall provide all the services, maintenance and utilities which he agrees to provide under the Contract, subject to abatement of housing assistance payments or other applicable remedies if he fails to meet these obligations.

(b) *Periodic Inspection.* In addition to the initial inspection provided under §882.210(d)(1), the PHA will inspect or cause to be inspected each dwelling unit leased to an Eligible Family at least annually and at such other times as may be necessary to assure that the Owner is meeting his obligations to maintain the unit in Decent, Safe, and Sanitary condition and to provide the agreed upon utilities and other services. The PHA will take into account complaints and any other information coming to its attention in scheduling inspections. All complaints by Families concerning compliance by the Owner with the PHA's housing quality standards shall be retained in the PHA's files for three years.

(c) *Units Not Decent, Safe, and Sanitary.* If the PHA notifies the Owner that he has failed to maintain a dwell-

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**ing unit in Decent, Safe, and Sanitary condition and the Owner fails to take corrective action within the time prescribed in the notice, the PHA may exercise any of its rights or remedies under the Contract, including abatement of housing assistance payments (even if the Family continues in occupancy) and termination of the Contract. If the Family wishes to be rehoused in another dwelling unit with Section 8 assistance and the PHA determines to terminate the Housing Assistance Payments Contract, the PHA shall issue to the Family another Certificate of Family Participation.**

**APPENDIX B: Sample Completed Inspection Form**

### SAMPLE COMPLETED INSPECTION

This Appendix presents a floor plan of a typical two-bedroom house and an accompanying model Checklist filled out in the way it should be were an actual inspection conducted.

In the diagram of the floor plan, the circled numbers represent the parts of the Checklist that were used for each room. Although most of the rooms correspond directly with Checklist items, there are several areas that warrant additional explanation.

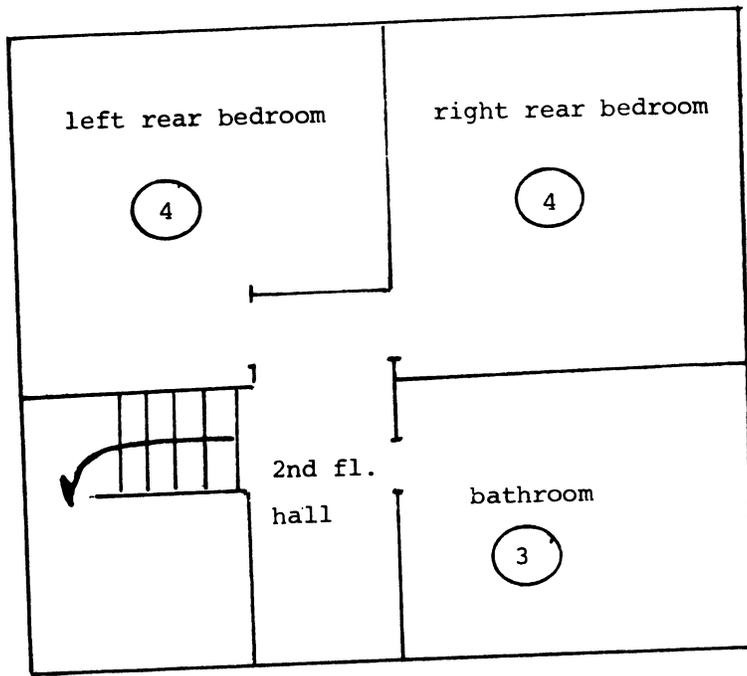
Halls and Stairway: In the diagram, the entrance area, stairway leading to the second floor, and the hallway on the second floor can all be rated on a single Part 4 of the Checklist. These areas should be thought of as being contiguous, or part of the same space that connects rooms. To save time in performing this inspection, it is sufficient to treat all of these areas together. In some cases it might be appropriate to fill out several Part 4 sections to cover the halls and stairs. For example, if the second floor hall in this diagram were longer, connecting more rooms, it might have been preferable to fill out one Part 4 on the entrance and stairway and a second Part 4 on the upstairs hall. In general, the objective is for the inspector to be able to define conditions accurately, by area of the house, in a manner that makes it possible to later communicate the conditions from the Checklist record to the tenant and owner. On the other hand, inspectors have time constraints for completing their work, therefore, the inspector must use his or her own judgment. In the floor plan used as an example here, a reasonable approach would be to use a single Part 4 for these hall and stairway areas as explained.

Bedrooms and Dining Room: A separate Part 4 must be filled out for each of the two bedrooms in the diagram and one for the dining room.

Secondary Rooms Not Used For Living: Let us assume that in the diagram the closed-in porch and partial basement below it (the house is built on a grade) are not frequently entered and therefore are outside of the

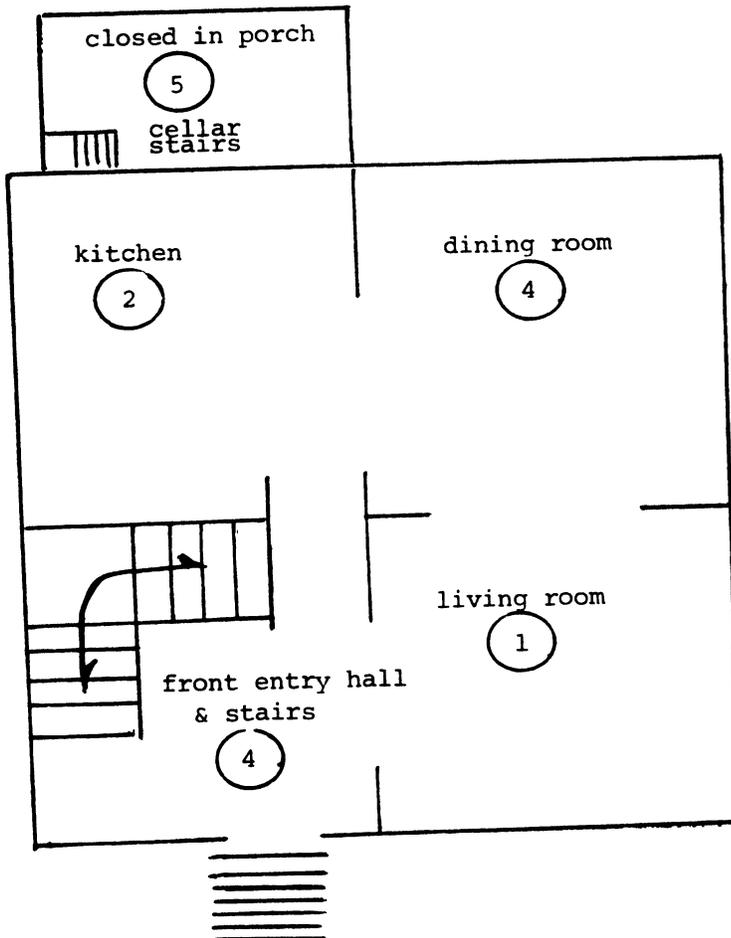
main "living area." They meet the criteria for "secondary rooms not used for living" and therefore should be rated on Part 5 of the Checklist. Since any areas outside of the main living areas are of secondary importance in this inspection, less detailed information is requested about them. It is sufficient to combine all secondary rooms into a single Part 5 inspection. The items to be rated in these areas are also less detailed and numerous than those for rooms in the living areas. They are limited to items that represent a "potential hazard" to the occupant if he or she enters the area (e.g., holes in the floor or broken steps on a stair) or could jeopardize the safety of the rest of the unit (e.g., electrical hazards or unlockable doors).

In assessing whether to fail a condition in one of these secondary areas of the house it is essential to use good judgment. Take into consideration factors such as frequency of use and the means by which the area is separated or closed off from the living areas. For example, in the diagram assume that the stairs leading from the porch to the basement below have a missing railing. If the stairs were in the living area it would fail. In a secondary room however, the inspector would need to consider whether the occupants (let us assume they are an elderly couple) would use the stair to go to the basement and how frequently it would be used. If the partial basement was closed off by a door and almost never used (e.g., except by the utility company to occasionally check the gas meter), the condition would probably not fail. On the other hand, if a washer and dryer were located in the basement area and the basement received frequent use, this would be grounds for failure as the missing railing is a potential hazard to the occupant. (See the instructions in this Manual for filling out Part 5 of the Checklist.)



SECOND FLOOR

NOTE: Circled numbers indicate appropriate Checklist part for room



FIRST FLOOR

FLOOR PLAN OF TYPICAL 2 BEDROOM HOUSE

# Inspection Form

U.S. Department of Housing and Urban Development



OMB. No. 2502-0185 (exp. 11/30/85)

## Section 8 Existing Housing Program

PHA WATERTOWN Tenant ID# 326 Date of Request 5/25  
 Inspector SMITH, R Date Last Inspection 5/28 Date of Inspection 5/28  
 Neighborhood/Census Tract N. END Type of Inspection: INIT:  SPEC:  REINSP:   
 Project # \_\_\_\_\_

### A. GENERAL INFORMATION

Address of Inspected Unit: Street: 25 MAPLE ST  
 City: WATERTOWN County: \_\_\_\_\_ State: MA. Zip: 02178  
 Name of Family MARGARET BROWN  
 Current Address of Family: Street: 183 MAIN ST  
 City: SAME County: \_\_\_\_\_ State: SAME Zip: \_\_\_\_\_  
 Current Telephone of Family 492-8139  
 Name of Owner or Agent Authorized to Lease Unit Inspected JOHN MERCER  
 Address of Owner or Agent 1043 TAYLOR ST  
 Telephone of Owner or Agent 489-2711

### HOUSING TYPE (Check as appropriate)

- Mobile Home
- Single Family Detached
- Duplex or Two Family
- Row House or Town House
- Low Rise: 3, 4 stories, including Garden Apartment
- High Rise: 5 or more stories
- Congregate
- Cooperative
- Independent Group Residence
- Other

### B. SUMMARY DECISION ON UNIT (TO BE COMPLETED AFTER FORM HAS BEEN FILLED OUT)

#### Section 8 Housing Quality Standard

Decision on unit Review the checklist as follows:

- Fail 1. If there are any checks under the column headed "Fail" the unit fails the Section 8 minimum housing standard. Discuss with the landlord the repairs noted that would be necessary to bring the unit up to the standard.
- Inconclusive 2. If there are no checks under the column headed "Fail" and there are checks under the column headed "Inconclusive," obtain additional information necessary for a decision (question landlord or tenant as indicated in the item instructions given in this checklist). Once additional information is obtained, change rating for item and record date of verification to the far right of the form.

\_\_\_ Pass

3. If neither (1) nor (2) above is checked, the unit passes the Section 8 minimum standards. Any additional conditions described in the right hand column of the form should serve to (a) establish the precondition of the unit, (b) indicate possible additional areas to negotiate with the landlord, (c) aid in assessing the reasonableness of the rent of the unit, and (d) aid the tenant in deciding among possible units to be rented. The tenant is responsible for deciding whether he or she finds these conditions acceptable.

#### Section 8 Occupancy Standard

2

1. Count the number of rooms used for sleeping that were identified on the checklist or potentially to be used for sleeping if unit is vacant. Record on the line provided.

### C. HOW TO FILL OUT THE CHECKLIST

- Complete the checklist on the unit to be occupied (or currently occupied) by the tenant
- Proceed through the inspection as follows:
 

<ul style="list-style-type: none"> <li>• room by room</li> <li>• basement or utility room</li> <li>• outside</li> <li>• overall</li> </ul>	<ul style="list-style-type: none"> <li>1. Living Room, 2. Kitchen, 3. Bathroom, 4. All Other Rooms Used for Living, 5. All Secondary Rooms Not Used for Living</li> <li>6. Heating and Plumbing</li> <li>7. Building Exterior</li> <li>8. General Health and Safety</li> </ul>
--	--
- Each part of the checklist will be accompanied by an explanation of the item to be inspected.
- Important: For each item numbered on the checklist, check one box only (e.g., check one box only for item 1.4 "Security," in the Living Room.)

- In the space to the right of the description of the item, if the decision on the item is: "Fail" write what repairs are necessary; If "Inconclusive" write in details.
- Also, if "Pass" but there are some conditions present that need to be brought to the attention of the owner or the tenant, write these in the space to the right.  
If it is an annual inspection, record to the right of the form any repairs made since the last inspection. If possible, record reason for repair (e.g., ordinary maintenance, tenant damage).
- If it is a complaint inspection, fill out only those checklist items for which complaint is lodged. Determine, if possible, tenant or owner cause.
- Once the checklist has been completed return to Part B (Summary Decision on the Unit).

# 1. LIVING ROOM

## 1.1 LIVING ROOM PRESENT

Note: If the unit is an efficiency apartment, consider the living room present.

## 1.2 ELECTRICITY



In order to qualify, the outlets must be present and properly installed in the baseboard, wall or floor of the room. Do not count a single duplex receptacle as two outlets, i.e.: There must be two of these in the room, or one of these *plus a permanently installed ceiling or wall light fixture*.

Both the outlets and/or the light must be *working*. Usually a room will have sufficient lights or electrical appliances plugged into outlets to determine workability. Be sure light fixture does not fall just because the bulb is burned out.

Do not count any of the following items or fixtures as outlets/fixtures: table or floor lamps (these are *not* permanent light fixtures); ceiling lamps plugged into socket; extension cords.

If the electric service to the unit has been temporarily turned off check "Inconclusive." Contact owner or manager after inspection to verify that electricity functions properly when service is turned on. Record this information on the checklist.

## 1.3 ELECTRICAL HAZARDS

Examples of what this means: broken wiring; noninsulated wiring; frayed wiring; improper types of wiring, connections or insulation; wires tying in or located near standing water or other unsafe places; light fixture hanging from electric wiring without other firm support or fixture; missing cover plates on switches or outlets; badly cracked outlets; exposed fuse box connections; overloaded circuits evidenced by frequently "blown" fuses (ask the tenant).

Check "Inconclusive" if you are uncertain about severity of the problem and seek expert advice.

## 1.4 SECURITY

"Accessible to outside" means: doors open to the outside or to a common public hall; windows with sills less than 6' off the ground; windows or doors leading onto a fire escape, porch or other outside place that can be reached from the ground.

"Lockable" means: the window or door has a properly working lock, or is nailed shut, or the window is not designed to be opened.

## 1.5 WINDOW CONDITION

Rate the windows in the room (including windows in doors).

"Severe deterioration" means that the window no longer has the capacity to keep out the wind and the rain or is a cutting hazard. Examples are: missing or broken-out panes; dangerously loose cracked panes; windows that will not close; windows that, when closed, do not form a reasonably tight seal.

If more than one window in the room is in this condition, give details in the space provided on the right of the form.

If there is only "moderate deterioration" of the windows the item should "Pass." "Moderate deterioration" means windows which are reasonably weather-tight, but show evidence of some aging, abuse, or lack of repair. Signs of deterioration are: minor crack in window pane; splintered sill; signs of some minor rotting in the window frame or the window itself; window panes loose because of missing window putty. If more than one window is in this condition, give details in the space provided on the right of the form.

## 1.6 CEILING CONDITION

"Unsound or hazardous" means the presence of such serious defects that either a potential exists for structural collapse or that large cracks or holes allow significant drafts to enter the unit. The condition includes: severe bulging or buckling; large holes; missing parts; falling or in-danger-of-falling loose surface materials (other than paper or paint).

Pass ceilings that are basically sound but have some nonhazardous defects, including: small holes or cracks; missing or broken ceiling tiles; water stains; soiled surfaces; unpainted surfaces; peeling paint (for peeling paint see item 1.9).

## 1.7 WALL CONDITION

"Unsound or hazardous" includes: serious defects such that the structural safety of the building is threatened, such as severe buckling, bulging or leaning; damaged or loose structural members; large holes; air infiltration.

Pass walls that are basically sound but have some nonhazardous defects, including: small or shallow holes; cracks; loose or missing parts; unpainted surfaces; peeling paint (for peeling paint see item 1.9).

## 1.8 FLOOR CONDITION

"Unsound or hazardous" means the presence of such serious defects that a potential exists for structural collapse or other threats to safety (e.g., tripping) or that large cracks or holes allow substantial drafts from below the floor. The condition includes: severe buckling or major movements under walking stress; damaged or missing parts.

Pass floors that are basically sound but have some nonhazardous defects, including: heavily worn or damaged floor surface (for example, scratches or gouges in surface, missing portions of tile or linoleum, previous water damage). If there is a floor covering, also note the condition, especially if badly worn or soiled.

## 1.9 LEAD PAINT

Note: This requirement applies to all painted interior surfaces within the unit (including ceiling) that are chipping, peeling, cracking. (It does not apply to furniture.) In order to fail, the paint must be noticeably loose and separating from the surface material. The requirement enables assessment (without sophisticated equipment) of conditions strongly associated with lead-based paint poisoning. If any surface in the room has chipping, peeling, or cracking paint it fails, regardless of whether the paint has been tested for lead content.

The specific surface areas that fail must be *treated* in the following manner. They must be thoroughly washed, sanded, scraped or wire brushed so as to remove all hazards before repainting with at least two coats of a *nonleaded* paint.

**1. LIVING ROOM**

For each item numbered, check one box only.

ITEM#	DESCRIPTION	DECISION			If FAIL, what repairs necessary? If INCONCLUSIVE, give details. If PASS with comments, give details.	If FAIL or INCONCLUSIVE, date of final approval.
		Yes, PASS	No, FAIL	INCONCLUSIVE		
1.1	<b>LIVING ROOM PRESENT</b> Is there a living room?	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		
1.2	<b>ELECTRICITY</b> Are there at least two working outlets or one working outlet and one working light fixture?	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		
1.3	<b>ELECTRICAL HAZARDS</b> Is the room free from electrical hazards?	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		
1.4	<b>SECURITY</b> Are all windows and doors that are accessible from the outside lockable?	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	Window Lock Missing INSTALL NEW LOCK	
1.5	<b>WINDOW CONDITION</b> Is there at least one window, and are all windows free of signs of severe deterioration or missing or broken out panes?	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		
1.6	<b>CEILING CONDITION</b> Is the ceiling sound and free from hazardous defects?	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	OLD HAIRLINE CRACKS PRESENT	
1.7	<b>WALL CONDITION</b> Are the walls sound and free from hazardous defects?	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	MARKS ON PAINTED SURFACES	
1.8	<b>FLOOR CONDITION</b> Is the floor sound and free from hazardous defects?	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	WOOD FLOOR SCUFFED BY FRONT DOOR	
1.9	<b>LEAD PAINT</b> Are all interior surfaces either free of cracking, scaling, peeling, chipping, and loose paint or adequately treated and covered to prevent exposure of the occupants to lead-based paint hazards?	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		

Notes: (Give Item #)

# 2. KITCHEN

## 2.1 KITCHEN AREA PRESENT

Note: A kitchen is an area used for preparation of meals. It may be either a separate room or an area of a larger room (for example, a kitchen area in an efficiency apartment).

## 2.2-2.9

Same as explanations for "Living Room" with following modification:

- 2.2 Note: the requirement is that at least *one outlet* and *one permanent light fixture* are present and working.
- 2.5 Note: the absence of a window does not fail this item in the kitchen. If there is no window, check "Pass."

## 2.10 STOVE OR RANGE WITH OVEN

Both an oven and a stove (or range) with top burners must be present and working. If either is missing and you know that the landlord is responsible for supplying these appliances, check "Fail." Put check in "Inconclusive" column if the tenant is responsible for supplying the appliances and he or she has not yet moved in. Contact tenant or prospective tenant to gain verification that facility will be supplied and is in working condition. Hot plates are not acceptable substitutes for these facilities.

An oven is not working if it will not heat up. To be working a stove or range must have all burners working and knobs to turn them off and on. Under "working condition," also look for hazardous gas hook-ups evidenced by strong gas smells; these should fail. (Be sure that this condition is not confused with an unlit pilot light - a condition that should be noted but does not fail.)

If both an oven and a stove or range are present, but the gas or electricity are turned off, check "Inconclusive." Contact owner or manager to get verification that facility works when gas is turned on.

If both an oven and a stove or range are present and working, but defects exist, note these to the right of the form. Possible defects are: marked, dented, or scratched surfaces; cracked burner ring; limited size relative to family needs.

## 2.11 REFRIGERATOR

If no refrigerator is present, use the same criteria for marking either "Fail" or "Inconclusive" as were used for the oven and stove or range.

A refrigerator is not working if it will not maintain a temperature low enough to keep food from spoiling over a reasonable period of time. If the electricity is turned off, mark "Inconclusive." Contact owner (or tenant if unit is occupied) to get verification of working condition.

If the refrigerator is present and working but defects exist, note these to the right of the form. Possible minor defects include: broken or missing interior shelving; dented or scratched interior or exterior surfaces; minor deterioration of door seal; loose door handle.

## 2.12 SINK

If a permanently attached kitchen sink is not present in the kitchen or kitchen area, mark "Fail." A sink in a bathroom or a portable basin will not satisfy this requirement. A sink is not working unless it has running hot and cold water from the faucets and a properly connected and properly working drain (with a "gas trap"). In a vacant apartment, the hot water may have been turned off and there will be no hot water. Mark this "Inconclusive." Check with owner or manager to verify that hot water is available when service is turned on.

If a working sink has defects, note this to the right of the item. Possible minor defects include: dripping faucet; marked, dented, or scratched surface; slow drain; missing or broken drain stopper.

## 2.13 SPACE FOR STORAGE AND PREPARATION OF FOOD

Some space must be available for storage and preparation of food. If there is no built-in space for food storage and preparation, a table used for food preparation and a portable storage cabinet will satisfy the requirement. If there is no built-in space and no room for a table and portable cabinet, check "Fail."

If there are some minor defects, check "Pass" and make notes to the right. Possible defects include: marked, dented, or scratched surfaces; broken shelving or cabinet doors; broken drawers or cabinet hardware; limited size relative to family needs.

Notes: (Give item #)

2. KITCHEN

For each item numbered, check one box only.

ITEM#	DESCRIPTION	DECISION			If FAIL, what repairs necessary? If INCONCLUSIVE, give details. If PASS with comments, give details.	If FAIL or INCONCLUSIVE, date of final approval.
		Yes, PASS	No, FAIL	INCONCLUSIVE		
2.1	<b>KITCHEN AREA PRESENT</b> Is there a kitchen?	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		
2.2	<b>ELECTRICITY</b> Is there at least one working electric outlet and one working, permanently installed light fixture?	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		
2.3	<b>ELECTRICAL HAZARDS</b> Is the kitchen free from electrical hazards?	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		
2.4	<b>SECURITY</b> Are all windows and doors that are accessible from the outside lockable?	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		
2.5	<b>WINDOW CONDITION</b> Are all windows free of signs of deterioration or missing or broken out panes?	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		
2.6	<b>CEILING CONDITION</b> Is the ceiling sound and free from hazardous defects?	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	SEVERAL SMALL GOUGES IN CEILING PANELS	
2.7	<b>WALL CONDITION</b> Are the walls sound and free from hazardous defects?	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	FEW SHEETROCK, NOT TAPED	
2.8	<b>FLOOR CONDITION</b> Is the floor sound and free from hazardous defects?	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	SLOPED	
2.9	<b>LEAD PAINT</b> Are all interior surfaces either free of cracking, scaling, peeling, chipping, and loose paint or adequately treated and covered to prevent exposure of the occupants to lead-based paint hazards?	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		
2.10	<b>STOVE OR RANGE WITH OVEN</b> Is there a working oven, and a stove (or range) with top burners that work?	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		
2.11	<b>REFRIGERATOR</b> Is there a refrigerator that works and maintains a temperature low enough so that food does not spoil over a reasonable period of time?	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		
2.12	<b>SINK</b> Is there a kitchen sink that works with hot and cold running water?	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		
2.13	<b>SPACE FOR STORAGE AND PREPARATION OF FOOD</b> Is there a space to store and prepare food?	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		

# 3. BATHROOM

## 3.1 BATHROOM PRESENT

Most units have easily identifiable bathrooms (i.e., a separate room with toilet, washbasin and tub or shower). In some cases, however, you will encounter units with scattered bathroom facilities (i.e., toilet, washbasin and tub or shower located in separate parts of the unit). At a minimum there must be an enclosure around the toilet. In this case, count the enclosure around the toilet as the bathroom and proceed with 3.2-3.9 below, with respect to this enclosure. If there is more than one bathroom that is normally used, rate the one that is in best condition for Part 3. If there is a second bathroom that is also used, complete Part 4 of the checklist for this room. (See Inspection Manual for additional notes on rating the second bathroom.)

## 3.2-3.9

Explanation for these items is the same as that provided for "Living Room" with the following modifications:

## 3.2 ELECTRICITY

Note: The requirement is that at least *one permanent light fixture* is present and working.

## 3.3 ELECTRICAL HAZARDS

Note: In addition to the previously mentioned hazards, outlets that are located where water might splash or collect are considered an electrical hazard.

## 3.5 WINDOW CONDITION

Note: The absence of a window does *not* fail this item in the bathroom (see Item 3.13, *Ventilation*, for relevance of window with respect to ventilation). If there is no window, check "Pass."

## 3.7 WALL CONDITION

Note: Include under nonhazardous defects (that would pass but should be noted) the following: broken or loose tile; deteriorated grouting at tub/wall and tub/floor joints or tiled surfaces; water stains.

## 3.8 FLOOR CONDITION

Note: Include under nonhazardous defects (that would pass but should be noted) the following: missing floor tiles; water stains.

## 3.10 FLUSH TOILET IN ENCLOSED ROOM IN UNIT

The toilet must be contained within the dwelling unit and be available for the exclusive use of the occupants of the unit (i.e., outhouses or facilities shared by occupants of other dwelling units are not acceptable). It must allow for privacy.

Not working means: the toilet is not connected to a water supply; it is not connected to a sewer drain; it is clogged; the connections (or vents or traps) are faulty to the extent that severe leakage of water or escape of gases occurs; the flushing mechanism does not function properly.

If the water to the unit has been turned off, check "Inconclusive." Obtain verification from owner or manager that facility works properly when water is turned on.

Comment to the right of the form if the toilet is "present, exclusive, and working" but has the following types of defects: constant running; chipped or broken porcelain; slow draining.

If drain blockage is more serious and occurs further in the sewer line, causing backup, check Item 7.6, "Fail," under the plumbing and heating part of the checklist. A sign of serious sewer blockage is the presence of numerous backed-up drains.

## 3.11 FIXED WASH BASIN OR LAVATORY IN UNIT

The wash basin must be permanently installed (i.e., a portable wash basin does not satisfy the requirement). Also, a kitchen sink used to pass the requirements under Part 2 of the checklist (kitchen facilities) can *not* also serve as the bathroom wash basin. The wash basin may be located separate from the other bathroom facilities (e.g., in a hallway).

Not working means: the wash basin is not connected to a system that will deliver hot and cold running water; it is not connected to a properly operating drain; the connectors (or vents or traps) are faulty to the extent that severe leakage of water or escape of sewer gases occurs.

If the water to the unit or the hot water unit has been turned off, check "Inconclusive." Obtain verification from owner or manager that the system is in working condition.

Comment to the right of the form if the wash basin is "present and working" but has the following types of minor defects: insufficient water pressure; dripping faucets; minor leaks; cracked or chipped porcelain; slow drain (see discussion above under 3.10).

## 3.12 TUB OR SHOWER IN UNIT

Not present means that *neither* a tub *nor* shower is present in the unit. Again, these facilities need *not* be in the same room with the rest of the bathroom facilities. They must, however, be private.

Not working covers the same requirements detailed above for wash basin (3.11).

Comment to the right of the form if the tub or shower is present and working but has the following types of defects: dripping faucet; minor leaks; cracked porcelain; slow drain (see discussion above under 3.10); absent or broken support rod for shower curtain.

## 3.13 VENTILATION

Working vent systems include: ventilation shafts (non-mechanical vents) and electric fans. Electric vent fans must function when switch is turned on. (Make sure that any malfunctions are not due to the fan not being plugged in.)

If electric current to the unit has not been turned on (and there is no openable window), check "Inconclusive." Obtain verification from owner or manager that system works. Note: exhaust vents must be vented to the outside, attic, or crawlspace.

Notes: (Give Item #)

### 3. BATHROOM

For each item numbered, check one box only.

ITEM#	DESCRIPTION	DECISION			If FAIL, what repairs necessary? If INCONCLUSIVE, give details. If PASS with comments, give details.	If FAIL or INCONCLUSIVE, date of final approval.
		Yes, PASS	No, FAIL	INCONCLUSIVE		
3.1	<b>BATHROOM PRESENT</b> (see description) Is there a bathroom?	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		
3.2	<b>ELECTRICITY</b> Is there at least one permanently installed light fixture?	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		
3.3	<b>ELECTRICAL HAZARDS</b> Is the bathroom free from electrical hazards?	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		
3.4	<b>SECURITY</b> Are all windows and doors that are accessible from the outside lockable?	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		
3.5	<b>WINDOW CONDITION</b> Are all windows free of signs of deterioration or missing or broken out panes?	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	SMALL CRACK (2") IN WINDOW GLASS	
3.6	<b>CEILING CONDITION</b> Is the ceiling sound and free from hazardous defects?	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		
3.7	<b>WALL CONDITION</b> Are the walls sound and free from hazardous defects?	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	CRACKED, PLASTER OVER TILE IN TUB AREA	
3.8	<b>FLOOR CONDITION</b> Is the floor sound and free from hazardous defects?	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		
3.9	<b>LEAD PAINT</b> Are all interior surfaces either free of cracking, scaling, peeling, chipping, and loose paint or adequately treated and covered to prevent exposure of the occupants to lead-based paint hazards?	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		
3.10	<b>FLUSH TOILET IN ENCLOSED ROOM IN UNIT</b> Is there a working toilet in the unit for exclusive private use of the tenant?	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		
3.11	<b>FIXED WASH BASIN OR LAVATORY IN UNIT</b> Is there a working, permanently installed wash basin with hot and cold running water in the unit?	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		
3.12	<b>TUB OR SHOWER IN UNIT</b> Is there a working tub or shower with hot and cold running water in the unit?	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	CHIPPED PORCELAIN ON EDGE OF TUB	
3.13	<b>VENTILATION</b> Are there openable windows or a working vent system?	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		

## 4. OTHER ROOMS USED FOR LIVING AND HALLS

Complete an "Other Room" checklist for as many "other rooms used for living" as are present (and not already noted in Parts 1, 2, and 3 of the checklist) *in the unit*. See the discussion below for definition of "used for living." Also complete an "Other Room" checklist for all entrance halls, corridors, halls and staircases that are located *within the unit* and are part of the area used for living. If a hall, entry and/or stairway are *contiguous*, rate them as a whole—that is, as part of one space.

Additional forms for rating "Other Rooms" are provided in the checklist.

Definition of "used for living": "Rooms used for living" are areas of the unit that are walked through or lived in on a regular basis. Do *not* include rooms or other areas that have been permanently, or near permanently, closed off or areas that are infrequently entered. For example, do *not* include a utility room, attached shed, attached closed-in porch, basement, or garage if they are closed off from the main living area or are infrequently entered. Do include any of these areas if they are frequently used (for example, a finished basement/playroom, a closed-in porch that is used as a bedroom during summer months). Occasional use of a washer or dryer in an otherwise unused room does *not* constitute regular use.

If the unit is vacant and you do not know the eventual use of a particular room, complete an "Other Room" checklist if there is any chance that the room will be used on a regular basis. If there is *no* chance that the room will be used on a regular basis, do not include it (for example, an unfinished basement) since it will be checked under Part 5, All Secondary Rooms, Not Used for Living.

### 4.1 ROOM CODE AND ROOM LOCATION

Enter the appropriate room code given below:

#### ROOM CODES

- 1 = Bedroom or any other room used for sleeping (regardless of type of room)
- 2 = Dining Room, or Dining Area
- 3 = Second Living Room, Family Room, Den, Playroom, TV Room
- 4 = Entrance Halls, Corridors, Halls, Staircases
- 5 = Additional Bathroom (also check presence of sink trap and clogged toilet)
- 6 = Other

Also write the ROOM LOCATION on the line provided. Record the location of the room with respect to the unit's width, length and floor level as if you were standing outside the unit facing the entrance to the unit:

- right/left*: record whether the room is situated to the right, left, or center of the unit.
- front/rear*: record whether the room is situated to the back, front, or center of the unit.
- floor level*: identify the floor level on which the room is located.

If the unit is vacant you may have some difficulty predicting the eventual use of a room. Before giving any room a code of 1 (bedroom), the room must meet all of the requirements for a "room used for sleeping" (see items 4.2 and 4.5).

4.2-4.9 Explanation of these items is the same as that provided for "Living Room" with the following modifications:

### 4.2 ELECTRICITY/ILLUMINATION

If Room Code not = to 1, the room must have a means of natural or artificial illumination such as a permanent light fixture, wall outlet present, or light from a window in the room or near the room.

### 4.5 WINDOW CONDITION

In rooms used for sleeping, if the windows are designed to be opened, at least one window must be openable. The minimum standards do *not* require a window in "other rooms" *not* used for sleeping. Therefore, if there is no window in another room *not* used for sleeping, check "Pass," and note "no window" in the area for comments.

### ADDITIONAL NOTES

For staircases, the adequacy of light and condition of the stair treads and railings is covered under Part 8 of the checklist (General Health and Safety).

**4. OTHER ROOMS USED FOR LIVING AND HALLS**

For each item numbered, check one box only.

ITEM#	DESCRIPTION	DECISION			If FAIL, what repairs necessary? If INCONCLUSIVE, give details. If PASS with comments, give details.	If FAIL or INCONCLUSIVE, date of final approval.
		Yes, PASS	No, FAIL	INCONCLUSIVE		
4.1	<b>ROOM CODE AND ROOM LOCATION:</b> right/left <u>R</u> front/rear <u>REAR</u> floor level <u>2</u>	<b>ROOM CODES</b> 1 = Bedroom or any other room used for sleeping (regardless of type of room) 2 = Dining Room, or Dining Area 3 = Second Living Room, Family Room, Den, Playroom, TV Room 4 = Entrance Halls, Corridors, Halls, Staircases 5 = Additional Bathroom 6 = Other				
4.2	<b>ELECTRICITY/ILLUMINATION</b> IF Room Code = 1, are there at least two working outlets or one working outlet and one working, permanently installed light fixture? If Room Code not = 1, is there a means of illumination?	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		
4.3	<b>ELECTRICAL HAZARDS</b> Is the room free from electrical hazards?	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		
4.4	<b>SECURITY</b> Are all windows and doors that are accessible from the outside lockable?	<input checked="" type="checkbox"/>	<input type="checkbox"/>			
4.5	<b>WINDOW CONDITION</b> If Room Code = 1, is there at least one window? And, regardless of Room Code, are all windows free of signs of severe deterioration or missing or broken out panes?	<input checked="" type="checkbox"/>	<input type="checkbox"/>		1 BROKEN SASH CORD	
4.6	<b>CEILING CONDITION</b> Is the ceiling sound and free from hazardous defects?	<input checked="" type="checkbox"/>	<input type="checkbox"/>			
4.7	<b>WALL CONDITION</b> Are the walls sound and free from hazardous defects?	<input checked="" type="checkbox"/>	<input type="checkbox"/>			
4.8	<b>FLOOR CONDITION</b> Is the floor sound and free from hazardous defects?	<input checked="" type="checkbox"/>	<input type="checkbox"/>			
4.9	<b>LEAD PAINT</b> Are all interior surfaces either free of cracking, scaling, peeling, chipping, and loose paint or adequately treated and covered to prevent exposure of the occupants to lead-based paint hazards?	<input checked="" type="checkbox"/>	<input type="checkbox"/>			

Notes: (Give Item #)

**SUPPLEMENT FOR:**

**4. OTHER ROOMS USED FOR LIVING AND HALLS**

**For each item numbered, check one box only.**

ITEM#	DESCRIPTION	DECISION			If FAIL, what repairs necessary? If INCONCLUSIVE, give details. If PASS with comments, give details.	If FAIL or INCONCLUSIVE, date of final approval.
		Yes, PASS	No, FAIL	INCONCLUSIVE		
4.1	<b>ROOM CODE AND ROOM LOCATION:</b> right/left <u>LEFT</u> front/rear <u>REAR</u> floor level <u>2</u>	<b>ROOM CODES</b> 1 = Bedroom or any other room used for sleeping (regardless of type of room) 2 = Dining Room, or Dining Area 3 = Second Living Room, Family Room, Den, Playroom, TV Room 4 = Entrance Halls, Corridors, Halls, Staircases 5 = Additional Bathroom 6 = Other				
4.2	<b>ELECTRICITY/ILLUMINATION</b> If Room Code = 1, are there at least two working outlets or one working outlet and one working, permanently installed light fixture? If Room Code not = 1, is there a means of illumination?	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	ONLY 1 OUTLET WORKING NO LIGHT FIXTURE	
4.3	<b>ELECTRICAL HAZARDS</b> Is the room free from electrical hazards?	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		
4.4	<b>SECURITY</b> Are all windows and doors that are accessible from the outside lockable?	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	SOME CRACKED PANES	
4.5	<b>WINDOW CONDITION</b> If Room Code = 1, is there at least one window? And, regardless of Room Code, are all windows free of signs of severe deterioration or missing or broken out panes?	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		
4.6	<b>CEILING CONDITION</b> Is the ceiling sound and free from hazardous defects?	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		
4.7	<b>WALL CONDITION</b> Are the walls sound and free from hazardous defects?	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		
4.8	<b>FLOOR CONDITION</b> Is the floor sound and free from hazardous defects?	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		
4.9	<b>LEAD PAINT</b> Are all interior surfaces either free of cracking, scaling, peeling, chipping, and loose paint or adequately treated and covered to prevent exposure of the occupants to lead-based paint hazards?	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		

Notes: (Give item #)

**SUPPLEMENT FOR:**

**4. OTHER ROOMS USED FOR LIVING AND HALLS**

For each item numbered, check one box only.

ITEM#	DESCRIPTION	DECISION			If FAIL, what repairs necessary? If INCONCLUSIVE, give details. If PASS with comments, give details.	If FAIL or INCONCLUSIVE, date of final approval.
		Yes, PASS	No, FAIL	INCONCLUSIVE		
4.1	<b>ROOM CODE AND ROOM LOCATION:</b> right/left <u>RIGHT</u> front/rear <u>REAR</u> floor level <u>1</u>	<b>ROOM CODES</b> 1 = Bedroom or any other room used for sleeping (regardless of type of room) 2 = Dining Room, or Dining Area 3 = Second Living Room, Family Room, Den, Playroom, TV Room 4 = Entrance Halls, Corridors, Halls, Staircases 5 = Additional Bathroom 6 = Other				
4.2	<b>ELECTRICITY/ILLUMINATION</b> If Room Code = 1, are there at least two working outlets or one working outlet and one working, permanently installed light fixture? If Room Code not = 1, is there a means of illumination?	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		
4.3	<b>ELECTRICAL HAZARDS</b> Is the room free from electrical hazards?	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		
4.4	<b>SECURITY</b> Are all windows and doors that are accessible from the outside lockable?	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		
4.5	<b>WINDOW CONDITION</b> If Room Code = 1, is there at least one window? And, regardless of Room Code, are all windows free of signs of severe deterioration or missing or broken out panes?	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		
4.6	<b>CEILING CONDITION</b> Is the ceiling sound and free from hazardous defects?	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		
4.7	<b>WALL CONDITION</b> Are the walls sound and free from hazardous defects?	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		
4.8	<b>FLOOR CONDITION</b> Is the floor sound and free from hazardous defects?	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		
4.9	<b>LEAD PAINT</b> Are all interior surfaces either free of cracking, scaling, peeling, chipping, and loose paint or adequately treated and covered to prevent exposure of the occupants to lead-based paint hazards?	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		

Notes: (Give Item #)

**SUPPLEMENT FOR:**

**4. OTHER ROOMS USED FOR LIVING AND HALLS**

For each item numbered, check one box only.

ITEM#	DESCRIPTION	DECISION			If FAIL, what repairs necessary? If INCONCLUSIVE, give details. If PASS with comments, give details.	If FAIL or INCONCLUSIVE, date of final approval.
		Yes, PASS	No, FAIL	INCONCLUSIVE		
4.1	<b>ROOM CODE AND ROOM LOCATION:</b> right/left <u>CENTER</u> front/rear <u>FRONT + REAR</u> floor level <u>1 &amp; 2</u>	<b>ROOM CODES</b> 1 = Bedroom or any other room used for sleeping (regardless of type of room) 2 = Dining Room, or Dining Area 3 = Second Living Room, Family Room, Den, Playroom, TV Room 4 = Entrance Halls, Corridors, Halls, Staircases 5 = Additional Bathroom 6 = Other				
4.2	<b>ELECTRICITY/ILLUMINATION</b> If Room Code = 1, are there at least two working outlets or one working outlet and one working, permanently installed light fixture? If Room Code not = 1, is there a means of illumination?	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		
4.3	<b>ELECTRICAL HAZARDS</b> Is the room free from electrical hazards?	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		
4.4	<b>SECURITY</b> Are all windows and doors that are accessible from the outside lockable?	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	SUGGEST STURDIER LOCK FOR THIS NEIGHBORHOOD	
4.5	<b>WINDOW CONDITION</b> If Room Code = 1, is there at least one window? And, regardless of Room Code, are all windows free of signs of severe deterioration or missing or broken out panes?	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	PANE BROKEN OUT AIR + WATER GET IN	
4.6	<b>CEILING CONDITION</b> Is the ceiling sound and free from hazardous defects?	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		
4.7	<b>WALL CONDITION</b> Are the walls sound and free from hazardous defects?	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		
4.8	<b>FLOOR CONDITION</b> Is the floor sound and free from hazardous defects?	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		
4.9	<b>LEAD PAINT</b> Are all interior surfaces either free of cracking, scaling, peeling, chipping, and loose paint or adequately treated and covered to prevent exposure of the occupants to lead-based paint hazards?	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		

Notes: (Give Item #)

**SUPPLEMENT FOR:**

**4. OTHER ROOMS USED FOR LIVING AND HALLS**

For each item numbered, check one box only.

ITEM#	DESCRIPTION	DECISION			If FAIL, what repairs necessary? If INCONCLUSIVE, give details. If PASS with comments, give details.	If FAIL or INCONCLUSIVE, date of final approval.
		Yes, PASS	No, FAIL	INCONCLUSIVE		
4.1	<b>ROOM CODE AND ROOM LOCATION:</b> <input type="checkbox"/> right/left _____ front/rear _____ floor level _____	<b>ROOM CODES</b> 1 = Bedroom or any other room used for sleeping (regardless of type of room) 2 = Dining Room, or Dining Area 3 = Second Living Room, Family Room, Den, Playroom, TV Room 4 = Entrance Halls, Corridors, Halls, Staircases 5 = Additional Bathroom 6 = Other				
4.2	<b>ELECTRICITY/ILLUMINATION</b> If Room Code = 1, are there at least two working outlets or one working outlet and one working, permanently installed light fixture? If Room Code not = 1, is there a means of illumination?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		
4.3	<b>ELECTRICAL HAZARDS</b> Is the room free from electrical hazards?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		
4.4	<b>SECURITY</b> Are all windows and doors that are accessible from the outside lockable?	<input type="checkbox"/>	<input type="checkbox"/>			
4.5	<b>WINDOW CONDITION</b> If Room Code = 1, is there at least one window? And, regardless of Room Code, are all windows free of signs of severe deterioration or missing or broken out panes?	<input type="checkbox"/>	<input type="checkbox"/>			
4.6	<b>CEILING CONDITION</b> Is the ceiling sound and free from hazardous defects?	<input type="checkbox"/>	<input type="checkbox"/>			
4.7	<b>WALL CONDITION</b> Are the walls sound and free from hazardous defects?	<input type="checkbox"/>	<input type="checkbox"/>			
4.8	<b>FLOOR CONDITION</b> Is the floor sound and free from hazardous defects?	<input type="checkbox"/>	<input type="checkbox"/>			
4.9	<b>LEAD PAINT</b> Are all interior surfaces either <i>free of cracking, scaling, peeling, chipping, and loose paint or adequately treated and covered</i> to prevent exposure of the occupants to lead-based paint hazards?	<input type="checkbox"/>	<input type="checkbox"/>			

Notes: (Give Item #)

## 5. ALL SECONDARY ROOMS (Rooms not used for living)

### 5. SECONDARY ROOMS (Rooms not used for living)

If any room in the unit did not meet the requirements for "other room used for living" in Part 4, it is to be considered a "secondary room (not used for living)." Rate all of these rooms together (i.e., a single Part 5 checklist for all secondary rooms in the unit).

Inspection is required of the following two items since hazardous defects under these items could jeopardize the rest of the unit even if present in rooms not used for living: 5.2 Security, 5.3 Electrical Hazards. Also be observant of any other potentially hazardous features in these rooms and record under 5.4

#### 5.1 NONE

If there are no "secondary rooms (rooms not used for living)," check NONE and go on to Part 6.

#### 5.2-5.4

Explanation for these items is the same as that provided for Living Room.

#### ADDITIONAL NOTE

In recording "other potentially hazardous features," note (in the space provided) the means of access to the room with the hazard and check the box under "inconclusive." Discuss the hazard with the PHA inspection supervisor to determine "Pass" or "Fail." Include defects like: large holes in floor, walls or ceilings; evidence of structural collapse; windows in condition of severe deterioration.

## 6. BUILDING EXTERIOR

### 6.1 CONDITION OF FOUNDATION

"Unsound or hazardous" means foundations with severe structural defects indicating the potential for structural collapse, or foundations that allow significant entry of ground water (for example, evidenced by flooding of basement).

### 6.2 CONDITION OF STAIRS, RAILS AND PORCHES

"Unsound or hazardous" means: stairs, porches, balconies or decks with severe structural defects; or broken, rotting or missing steps; or absence of a handrail when there are extended lengths of steps (i.e., generally four or more consecutive steps); or absence of or insecure railings around a porch or balcony which is approximately 30 inches or more above the ground.

### 6.3 CONDITION OF ROOF AND GUTTERS

"Unsound and hazardous" means: The roof has serious defects such as serious buckling, sagging indicating the potential of structural collapse. There are large holes or other defects that would result in significant air or water infiltration (in most cases severe exterior defects will be reflected in equally serious surface defects within the unit, e.g., buckling, water damage). The gutters, downspouts and soffits (area under the eaves) show serious decay and have allowed the entry of significant air or water into the interior of the structure. Gutters and downspouts are, however, not required to pass. If the roof is not observable and there is no sign of interior water damage, check "Pass."

### 6.4 CONDITION OF EXTERIOR SURFACES

See definition above for roof, item 6.3.

### 6.5 CONDITION OF CHIMNEY

The chimney should not be seriously leaning or showing evidence of significant disintegration (i.e., many missing bricks).

### 6.6 LEAD PAINT: EXTERIOR SURFACES

Exterior surfaces include: walls, stairs, decks, porches, railings, windows and doors.

See discussion of Lead Paint (item 1.9, interior surfaces) for Living Room for explanation of regulations for treatment or covering of surfaces not in compliance. Note: Refer to Inspection Manual and PHA Handbook 7420.7, 5-4(9).

### 6.7 MOBILE HOMES: TIE DOWNS

Mobile homes must be placed on a site in a stable manner and be free from hazards such as sliding and wind damage. Mobile homes must be securely anchored by a tiedown device which distributes and transfers the loads imposed by the unit to appropriate ground anchors so as to resist wind overturning and sliding, unless a variation has been approved by the HUD Area Office.

### 6.8 MOBILE HOMES: SMOKE DETECTORS

Regulation as stated in item.

Notes: (Give item #)

**5. ALL SECONDARY ROOMS (Rooms not used for living)**

For each item numbered, check one box only.

ITEM#	DESCRIPTION	DECISION			If FAIL, what repairs necessary? If INCONCLUSIVE, give details. If PASS with comments, give details.	If FAIL or INCONCLUSIVE, date of final approval.
		Yes, PASS	No, FAIL	INCONCLUSIVE		
5.1	NONE <input type="checkbox"/> GO TO PART 6					
5.2	<b>SECURITY</b> Are all windows and doors that are accessible from the outside lockable in each room?	<input checked="" type="checkbox"/>	<input type="checkbox"/>			
5.3	<b>ELECTRICAL HAZARDS</b> Are all these rooms free from electrical hazards?	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		
5.4	<b>OTHER POTENTIALLY HAZARDOUS FEATURES IN ANY OF THESE ROOMS</b> Are all of these rooms free of any other potentially hazardous features? For each room with an "other potentially hazardous feature," explain hazard and means of control of interior access to room.	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	NO RAILING ON STAIRS TO BASEMENT	
<b>6. BUILDING EXTERIOR</b>						
6.1	<b>CONDITION OF FOUNDATION</b> Is the foundation sound and free from hazards?	<input checked="" type="checkbox"/>	<input type="checkbox"/>			
6.2	<b>CONDITION OF STAIRS, RAILS, AND PORCHES</b> Are all the exterior stairs, rails and porches sound and free from hazards?	<input type="checkbox"/>	<input checked="" type="checkbox"/>		HANDRAIL MISSING AT FRONT STEPS	
6.3	<b>CONDITION OF ROOF AND GUTTERS</b> Are the roof, gutters and downspouts sound and free from hazards?	<input checked="" type="checkbox"/>	<input type="checkbox"/>			
6.4	<b>CONDITION OF EXTERIOR SURFACES</b> Are exterior surfaces sound and free from hazards?	<input checked="" type="checkbox"/>	<input type="checkbox"/>			
6.5	<b>CONDITION OF CHIMNEY</b> Is the chimney sound and free from hazards?	<input checked="" type="checkbox"/>	<input type="checkbox"/>			
6.6	<b>LEAD PAINT: EXTERIOR SURFACES</b> Are all exterior surfaces which are accessible to children under seven years of age free of cracking, scaling, peeling, chipping, and loose paint or adequately treated or covered to prevent exposure of such children to lead-based paint hazards?	<input checked="" type="checkbox"/>	<input type="checkbox"/>			
6.7	<b>MOBILE HOMES: TIE DOWNS</b> If the unit is a mobile home, is it properly placed and tied down? If not a mobile home, check "Not Applicable."	<input type="checkbox"/>	<input type="checkbox"/>		<input checked="" type="checkbox"/> Not Applicable	
6.8	<b>MOBILE HOMES: SMOKE DETECTORS</b> If unit is a mobile home, does it have at least one smoke detector in working condition? If not a mobile home, check "Not Applicable."	<input type="checkbox"/>	<input type="checkbox"/>		<input checked="" type="checkbox"/> Not Applicable	

# 7. HEATING AND PLUMBING

## 7.1 ADEQUACY OF HEATING EQUIPMENT

"Adequate heat" means that the heating system is capable of delivering enough heat to assure a healthy environment in the unit (appropriate to the climate). The PHA is responsible for defining what constitutes a healthy living environment in the area of the country in which it operates. Local codes (city or state codes) should be instructive in arriving at a reasonable local definition. For example, for heat adequacy, local codes often require that the unit's heating facility be capable of maintaining a given temperature level during a designated time period. Portable electric room heaters or kitchen stoves or ranges with a built-in heat unit are not acceptable as a *primary* source of heat for units located in areas where *climate conditions require regular heating*.

"directly or indirectly to all rooms used for living" means:

- "directly" means that each room used for living has a heat source (e.g., working radiator; working hot air register; baseboard heat)
- "indirectly" means that, if there is no heat source present in the room, heat can enter the room easily from a heated adjacent room (e.g., a dining room may not have a radiator but would receive heat from the heated living room through a large open archway).

If the heating system in the unit works but there is some question whether a room without a heat source would receive adequate indirect heat, check "inconclusive" and verify adequacy from tenant or owner (e.g., unheated bedroom at the end of a long hallway).

*How to determine the capability of the heating system:* If the unit is occupied, usually the quickest way to determine the capability of the heating system over time is to question the tenant. If the unit is not occupied, or the tenant has not lived in the unit during the months when heat would be needed check "inclusive." It will be necessary to question the owner on this point after the inspection has been completed and, if possible, to question other tenants (if it is a multi-unit structure) about the adequacy of heat provided. Under some circumstances the adequacy of heat can be determined by a simple comparison of the size of the heating system compared to the area to be heated. For example, a small permanently installed space heater in a living room is probably inadequate for heating anything larger than a relatively small apartment.

## 7.2 SAFETY OF HEATING EQUIPMENT

Examples of "unvented fuel burning space heaters" are: portable kerosene units, unvented open flame portable units.

"Other unsafe conditions" include: breakage or damage to heating system such that there is a potential for fire or other threats to safety; improper connection of flues allowing exhaust gases to enter the living area; improper installation of equipment (e.g., proximity of fuel tank to heat source, absence of safety devices); indications of improper use of equipment (e.g., evidence of heavy build-up of soot, creosote, or other substance in the chimney); disintegrating equipment; combustible materials near heat source or flue. See Inspection Manual for a more detailed discussion of the inspection of safety aspects of the heating systems.

If you are unable to gain access to the primary heating system in the unit check "Inconclusive." Contact owner or manager for verification of safety of system. If the system has passed a recent local inspection check "Pass." This applies especially to units in which heat is provided by a large scale, complex central heating system that serves multiple units (e.g., a boiler in the basement of a large apartment building). In most cases a large scale heating system for a multi-unit building will be subject to periodic safety inspections by a local public agency. Check with the owner or manager to determine the date and outcome of the last such inspection or look for an inspection certificate posted on the heating system.

## 7.3 VENTILATION AND ADEQUACY OF COOLING

If the tenant is present and has occupied the unit during the summer months, inquire about the adequacy of air flow. If the tenant is not present or has not occupied the unit during the summer months, test a sample of windows to see that they open (see Inspection Manual for instruction).

"Working cooling equipment" includes: central (fan) ventilation system; evaporative cooling system; room or central air conditioning.

Check "Inconclusive" if there are no openable windows and it is impossible, or inappropriate, to test whether a cooling system works. Check with other tenants in the building (in a multi-unit structure) and with the owner or manager for verification of the adequacy of ventilation and cooling.

## 7.4 HOT WATER HEATER

"Location presents hazard" means that the gas or oil water heater is located in living areas or closets where safety hazards may exist (e.g., water heater located in very cluttered closet with cloth and paper items stacked against it).

Water heaters must have a temperature-pressure relief valve and discharge line (directed toward the floor or outside of the living area) as a safeguard against build up of steam if the heater malfunctions. If not, they are not properly equipped and shall fail.

To pass, gas or oil fired hot water heaters must be vented into a properly installed chimney or flue leading outside. Electric hot water heaters do not require venting.

If it is impossible to view the hot water heater, check "Inconclusive." Obtain verification of safety of system from owner or manager.

Check "Pass" if the heater has passed a local inspection. This applies primarily to hot water that is supplied by a large scale complex water heating system that serves multiple units (e.g., hot water heating system in large apartment building). Check in the same manner described for heating system safety, item 7.2, above.

## 7.5 WATER SUPPLY

If the structure is connected to a city or town water system, check "Pass."

If the structure has a private water supply (usually in rural areas) inquire into the nature of the supply (probably from the owner) and whether it is approvable by an appropriate public agency.

General note: If items 7.5, 7.6, or 7.7 are checked "Inconclusive," check with owner or manager for verification of adequacy.

## 7.6 PLUMBING

"Major leaks" means that *main* water drain and feed pipes (often located in the basement) are seriously leaking. (Leaks present at specific facilities have already been evaluated under the checklist items for "Bathroom" and "Kitchen.")

"Corrosion" (causing serious and persistent levels of rust or contamination in the drinking water) can be determined by observing the color of the drinking water at several taps. Badly corroded pipes will produce noticeably brownish water. If the tenant is currently occupying the unit, he or she should be able to provide information about the persistence of this condition. (Make sure that the "rusty water" is not a temporary condition caused by city or town maintenance of main water lines.) See general note under 7.5.

## 7.7 SEWER CONNECTION

If the structure is connected to the city or town sewer system, check "Pass."

If the structure has its own private disposal system (e.g., septic field), inquire into the nature of the system and determine whether this type of system can meet appropriate health and safety regulations.

The following conditions constitute "evidence of sewer back up": strong sewer gas smell in the basement or outside of unit; numerous clogged or very slow drains; marshy areas outside of unit above septic field. See general note under 7.5.

**7. HEATING AND PLUMBING**

For each item numbered, check one box only.

ITEM#	DESCRIPTION	DECISION			If FAIL, what repairs necessary? If INCONCLUSIVE, give details. If PASS with comments, give details.	If FAIL or INCONCLUSIVE, date of final approval.
		Yes, PASS	No, FAIL	INCONCLUSIVE		
7.1	<b>ADEQUACY OF HEATING EQUIPMENT</b> Is the heating equipment capable of providing adequate heat (either directly or indirectly) to all rooms used for living?	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		
7.2	<b>SAFETY OF HEATING EQUIPMENT</b> Is the unit free from unvented fuel burning space heaters or any other types of unsafe heating conditions?	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		
7.3	<b>VENTILATION AND ADEQUACY OF COOLING</b> Does this unit have adequate ventilation and cooling by means of operable windows or a working cooling system?	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		
7.4	<b>HOT WATER HEATER</b> Is hot water heater located, equipped, and installed in a safe manner?	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	NOT ACCESSIBLE (LOCKED AREA) CHECK W/ OWNER	5/29 R.S. OK
7.5	<b>WATER SUPPLY</b> Is the unit served by an approvable public or private sanitary water supply?	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		
7.6	<b>PLUMBING</b> Is plumbing free from major leaks or corrosion that causes serious and persistent levels of rust or contamination of the drinking water?	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		
7.7	<b>SEWER CONNECTION</b> Is plumbing connected to an approvable public or private disposal system, and is it free from sewer back-up?	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		

Notes: (Give item #)

# 8. GENERAL HEALTH AND SAFETY

## 8.1 ACCESS TO UNIT

"Through another unit" means that access to the unit is *only possible* by means of passage through another dwelling unit.

## 8.2 EXITS

"Acceptable fire exit" means that the building must have an alternative means of exit in case of fire that meets local or state regulations; this could include:

- An openable window if the unit is on the first floor or second floor or easily accessible to the ground.
- A back door opening onto a porch with a stairway leading to the ground.
- Fire escape, fire ladder, or fire stairs.

"Blocked" means that the exit is not useable due to conditions such as debris, storage, door or window nailed shut, broken lock.

**Important note:** The PHA has the final responsibility for deciding whether the type of emergency exit is acceptable although the tenant should assist in making the decision.

## 8.3 EVIDENCE OF INFESTATION

"Presence of rats, or severe infestation by mice or vermin" (such as roaches) is evidenced by: rat holes; droppings; rat runs; numerous set-tings of rat poison. If the unit is occupied, ask the tenant.

## 8.4 GARBAGE AND DEBRIS

"Heavy accumulation" means large piles of trash and garbage, discarded furniture, and other debris (not temporarily stored awaiting removal) that might harbor rodents. This may occur inside the unit, in common areas, or outside. It usually means a level of accumulation beyond the capacity of an individual to pick up within an hour or two.

## 8.5 REFUSE DISPOSAL

"Adequate covered facilities" includes: trash cans with covers, garbage chutes, "dumpsters" (i.e., large scale refuse boxes with lids), and trash bags (if approvable by local public agency). "Approvable by local public agency" means that the local Health and Sanitation Department (city, town or county) approves the type of facility in use. **Note:** During the period when the PHA is setting up its inspection program, it will check with the local health and sanitation department to determine which types of facilities are acceptable and include this in the inspection requirements.

If the unit is vacant and there are no adequate covered facilities present, check "Inconclusive." Contact the owner or manager for verification of facilities provided when the unit is occupied.

## 8.6 INTERIOR STAIRS & COMMON HALLS

"Loose, broken, or missing steps" should fail if they present a serious risk of tripping or falling.

A handrail is required on extended sections of stairs (i.e., generally four or more consecutive steps). A railing is required on unprotected heights such as around stairwells.

If working condition of lights cannot be determined, check "Inconclusive."

"Other hazards" would be conditions such as bare electrical wires and tripping hazards.

## 8.7 OTHER INTERIOR HAZARDS

Examples of other hazards might be: a broken bathroom fixture with a sharp edge in a location where it represents a hazard; a protruding nail in a doorway.

## 8.8 ELEVATORS

**Note:** At the time the PHA is setting up its inspection program it will determine local licensing practices for elevators. Inspectors should then be aware of these practices in evaluating this item (e.g., check inspection date). If no elevator check "Not Applicable."

## 8.9 INTERIOR AIR QUALITY

If the inspector has any questions about whether an existing poor air quality condition should be considered dangerous, he or she should check with the local Health and Safety Department (city, town or county).

## 8.10 SITE AND NEIGHBORHOOD CONDITIONS

Examples of conditions that would "seriously and continuously endanger the health or safety of the residents" are:

- other buildings on, or near the property, that pose serious hazards (e.g., dilapidated shed or garage with potential for structural collapse);
- evidence of flooding or major drainage problems;
- evidence of mud slides or large land settlement or collapse;
- proximity to open sewage;
- unprotected heights (cliffs, quarries, mines, sandpits);
- fire hazards;
- abnormal air pollution or smoke which continues throughout the year and is determined to seriously endanger health;
- continuous or excessive vibration of vehicular traffic (if the unit is occupied, ask the tenant).

## 8.11 LEAD PAINT: OWNER CERTIFICATION

If the owner is required to treat or cover any interior or exterior surfaces, the PHA must obtain certification that the work has been done in accordance with such requirements prior to the execution or renewal of any HAP contract. No reinspection is necessary if certificate is obtained.

Suggested wording of this certificate is as follows:

\_\_\_\_\_  
"The undersigned hereby certifies that the property located at

\_\_\_\_\_  
(property address)

has had applicable surfaces treated or covered as required.

\_\_\_\_\_  
(Owner's Signature)

\_\_\_\_\_  
(Type or Print Name)

\_\_\_\_\_  
(Date)

**8. GENERAL HEALTH AND SAFETY**

For each Item numbered, check one box only.

ITEM#	DESCRIPTION	DECISION			If FAIL, what repairs necessary? If INCONCLUSIVE, give details. If PASS with comments, give details.	If FAIL or INCONCLUSIVE, date of final approval.
		Yes, PASS	No, FAIL	INCONCLUSIVE		
8.1	<b>ACCESS TO UNIT</b> Can the unit be entered without having to go through another unit?	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		
8.2	<b>EXITS</b> Is there an acceptable fire exit from this building that is not blocked?	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		
8.3	<b>EVIDENCE OF INFESTATION</b> Is the unit free from rats or severe infestation by mice or vermin?	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		
8.4	<b>GARBAGE AND DEBRIS</b> Is the unit free from heavy accumulation of garbage or debris inside or outside?	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	SOME LITTER IN REAR YARD	
8.5	<b>REFUSE DISPOSAL</b> Are there adequate covered facilities for temporary storage and disposal of food wastes, and are they approvable by a local agency?	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		
8.6	<b>INTERIOR STAIRS &amp; COMMON HALLS</b> Are interior stairs and common halls free from hazards to the occupant because of loose, broken or missing steps on stairways; absent or insecure railings; inadequate lighting; or other hazards?	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		
8.7	<b>OTHER INTERIOR HAZARDS</b> Is the interior of the unit free from any other hazards not specifically identified previously?	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		
8.8	<b>ELEVATORS</b> Where local practice requires, do all elevators have a current inspection certificate? If local practice does not require this, are they working and safe?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/> Not Applicable	
8.9	<b>INTERIOR AIR QUALITY</b> Is the unit free from abnormally high levels of air pollution from vehicular exhaust, sewer gas, fuel gas, dust, or other pollutants?	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		
8.10	<b>SITE AND NEIGHBORHOOD CONDITIONS</b> Are the site and immediate neighborhood free from conditions which would seriously and continuously endanger the health or safety of the residents?	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		
8.11	<b>LEAD PAINT: OWNER CERTIFICATION</b> If the owner of the unit is required to treat or cover any interior or exterior surfaces, has the certification of compliance been obtained. If owner was not required to treat surfaces, check "Not Applicable."	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/> Not Applicable	

(Optional)  
**INSPECTION SUMMARY**

Provide a summary description of each item which resulted in a rating of FAIL or PASSED WITH COMMENTS.

Tenant ID # 326 Date of Inspection: 5/28/80  
 Inspector EDDIE SMITH  
 Type of Inspection INIT:  SPEC.  REINSP.   
 Address of Inspected Unit: 25 MAPLE ST

Item #	Reason for "Fail" Rating or Comments
1.4 FAIL	Window Lock missing in Living Room
4.2	ONLY 1 OUTLET WORKS IN LEFT REAR
	Bedroom
4.5	FRONT HALL - WINDOW PANE BROKEN
	OUT
6.2	HANDRAIL MISSING - FRONT STEPS
CHECK W/OWNER	COULD NOT ACCESS HOT WATER
7.4	HEATER
Comments	
1.6	HAIRLINE CRACKS IN LIVING ROOM CEILING
1.7	MARKS ON WOODWORK
1.8	WOOD FLOOR SCUFFED BY FRONT
	DOORWAY
2.6	SMALL GOUGES IN KITCHEN CEILING
	TILES
2.7	NEW SHEETROCK WALLS NOT TAPED
2.8	KITCHEN FLOOR SLOPES
3.5	BATH - 2" CRACK IN WINDOW
3.7	CRACKED PLASTER OVER TILE IN TUB
	ENCLOSURE
3.12	CHIPPED PORCELAIN ON EDGE OF TUB
4.5	R.R. Bedroom - 1 BROKEN SASH CORD
4.5	L.R. " - CRACKED PANE S
4.4	FRONT DOOR - STURDIER LOCK SUG.
5.4	FOR THIS NB'HD.
8.4	NO RAILING ON STAIRS TO BASEMENT
	LITTER IN REAR YARD FROM PRIOR
	TENANT

**APPENDIX C: RESERVED**

**APPENDIX D: Technical Section**

Appendix D – Diagrams 1, 6 & 7 are found in

*“KNOW HOW: A Fix-It Book for the Clumsy But Pure of Heart* by Guy Alland, Miron Waskiw, and Tony Hiss.  
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and Company.

This Appendix has been provided as general background for less experienced inspectors. It is a brief review of the basic elements included in the following:

- Electrical System
- Door Locks
- Windows and Window Locks
- Wall and Ceiling Construction
- Floor Construction
- Drain Pipe Traps
- Home Heating Systems

The material covered in each discussion focuses on those aspects of the item that the inspector needs to be concerned with in filling out the HUD inspection Checklist. The basic concepts described (and terms used) should help the inspector in evaluating and understanding the conditions present in the unit and should help the inspector to communicate information to tenants and owners. More detailed explanations of these and other aspects of dwelling units can be found in the publications listed in the bibliography in Appendix C.

Electrical System: An outlet, such as the one pictured at the bottom of Diagram 1, has the following component parts: First, there is a cover plate, which covers the receptacle, box, and wires, and protects the user from electrical shock. Every outlet must have a cover plate that fully covers these parts. An uncovered outlet is a safety hazard.

The second part of an outlet is the receptacle, or the part into which lamps or appliances are plugged. A receptacle is hazardous if it is cracked or chipped in such a way that electrically live parts are exposed to the user.

The third part of an outlet is the electrical box that contains the receptacle. This box must be firmly screwed or nailed down. A loose protruding box is a hazard.

The fourth and final part of an outlet is the wiring, which is shown in the diagram connected to the receptacle by screw terminals on the side, running within protective tubing to a switch, then to a ceiling fixture. More information about various types of wire and their hazards is presented below.

Also note that switches (like the one shown at the left of the diagram), and ceiling fixtures, (like the one at the top of the diagram) are installed in much the same way as outlets are. If switches or fixtures are seriously cracked, improperly secured, or lack covers, they too are hazardous. For example, if the ceiling fixture were not screwed into its box but were hanging free with the wires attached only by wire nuts (as shown in the diagram), this would be a hazard.

You are likely to encounter several kinds of approved or nonhazardous wires in the units you inspect. Plastic insulated wire known under the trade name of "Romex" is commonly used in newer installations. Most of the time, these wires will be concealed in the walls, ceilings, or floors. Sometimes, however, they will run along the wall or ceiling surface. If they are properly secured and not susceptible to accidental damage, "surface mounting" of Romex wire is acceptable and does not constitute a hazard. However, if it is "surface mounted" in a location where it would be susceptible to damage (e.g., on or near a stair tread) it could cause a short circuit and possible fire. Improper surface mounting of Romex should be considered an electrical hazard and would fail the inspection.

With "BX cable" or "armored cable," the wires are enclosed in a spiral-wound metal case. BX cable is generally found in older installations. Because of the metal sheathing, surface mounting is acceptable regardless of location. Wire may also be run in a conduit tube; this type of wiring is often called EMT. You cannot see the actual wires, which are inside the tube. Again, surface mounting is acceptable regardless of location.

Another approved type of surface wiring is called "Wiremold," or "Electramold." It is very much like conduit, only the tubing is square in cross section. Wiremold boxes are approved for mounting on the surface of walls and ceilings.

The final type of wiring is called "knob and tube." This type of wiring is now out of date and is no longer approved for installation in new units, but may exist with approval in older units. Knob and tube wiring consists of individual strands of wire mounted at many points on small porcelain knobs and runs from joist to joist. At each joist there is a small porcelain tube through which the wire passes. Since the individual wires in a knob and tube system are thinly insulated, you should check carefully for fraying or bare spots which would cause a fire hazard.

Finally, there are several types of wire which you may encounter that are not part of the unit's permanent electrical wiring system.

- Lamp cord: This type of wiring is the common lightweight wire that is used for appliances. It is not heavy enough gauge to be used as part of the permanent wiring system of the unit. For example, it should never be used to connect outlets, fixtures or switches included in the permanent electrical system. If it is used in this way it is an electrical hazard.
- Bell wire: This is wire used to carry low voltage current to the doorbell. It is generally very thin compared to any of the types of wire described above. You do not need to include this in your inspection.
- Telephone wire: This also carries very low voltage electric current. You do not need to include this in your inspection.

# ELECTRICAL WIRING

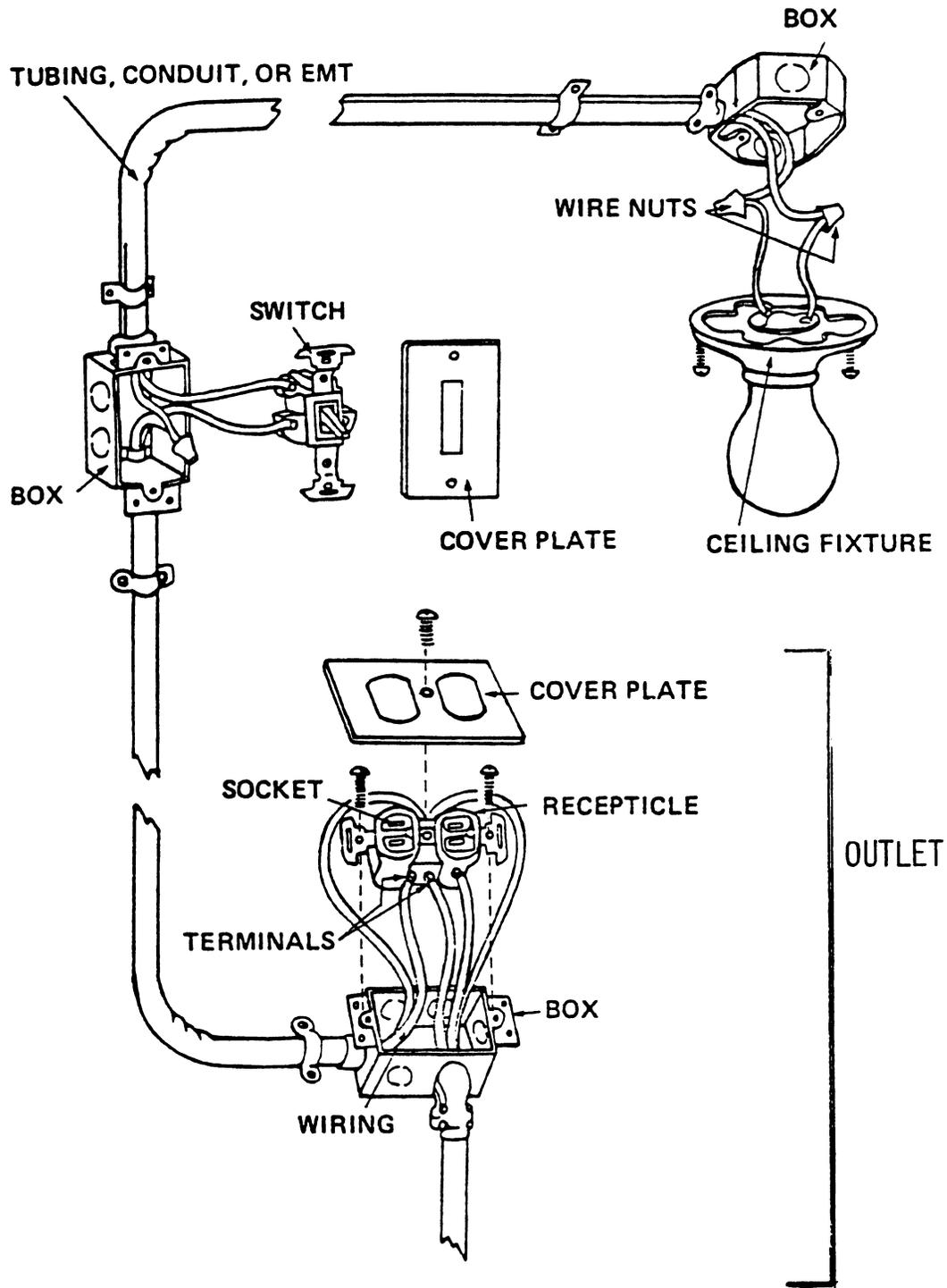


DIAGRAM 1: BASICS OF ELECTRICAL WIRING

Door Locks:

Although many different types of door locks are acceptable, the lock must be firmly and properly installed if it is to pass your inspection. To be secure, the striker plate (into which the bolt is inserted), must be firmly screwed into the door frame, as shown in Diagram 2. If the striker plate is mounted only on the door trim, it could be dislodged by a sharp blow. The locking mechanism must also be firmly secured to the door itself.

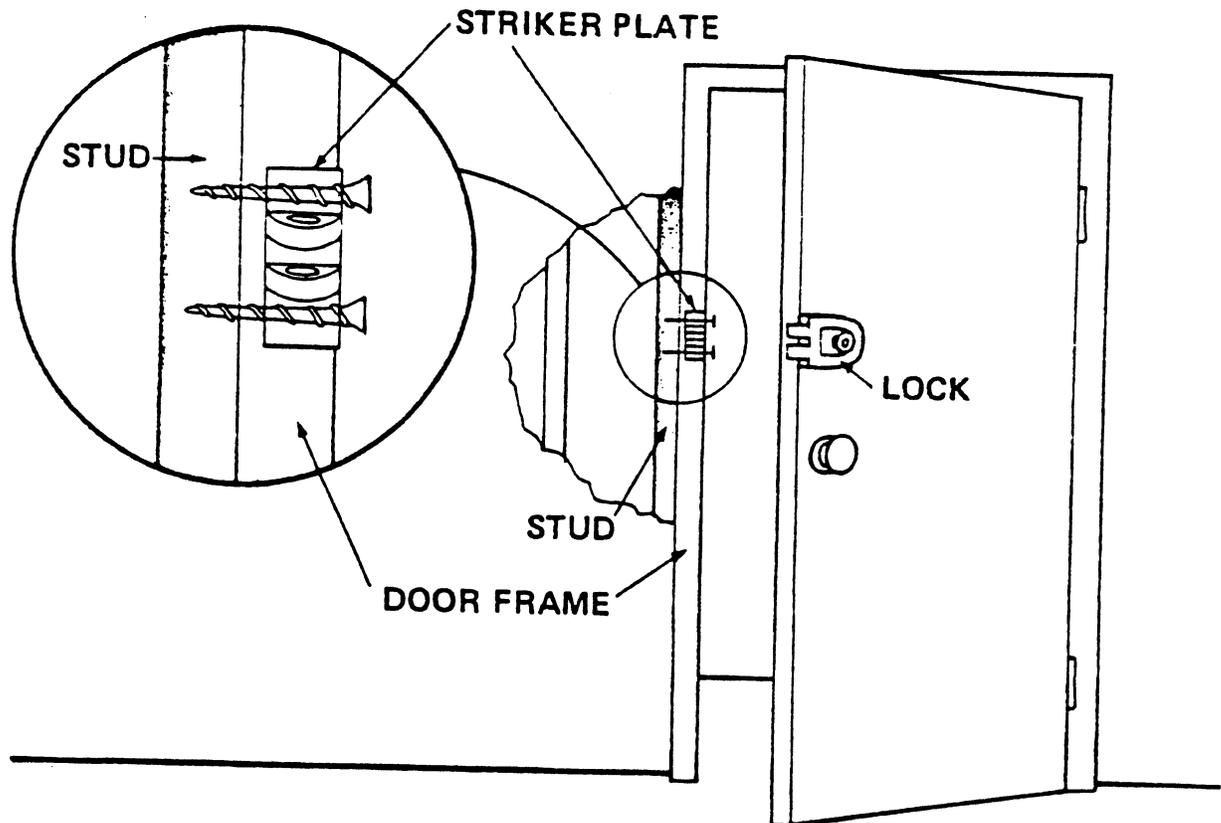


DIAGRAM 2: DOOR LOCK AND STRIKER PLATE

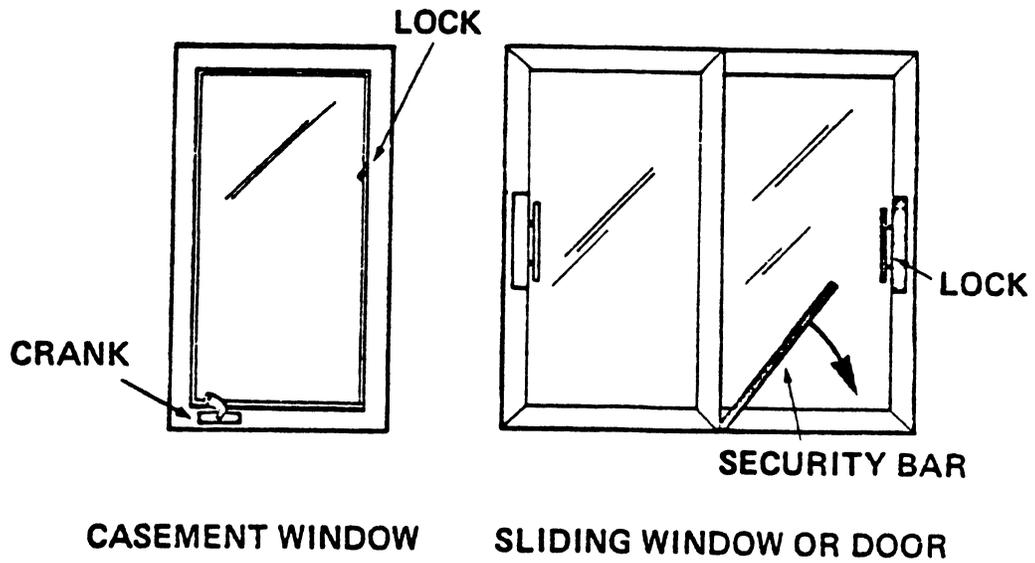
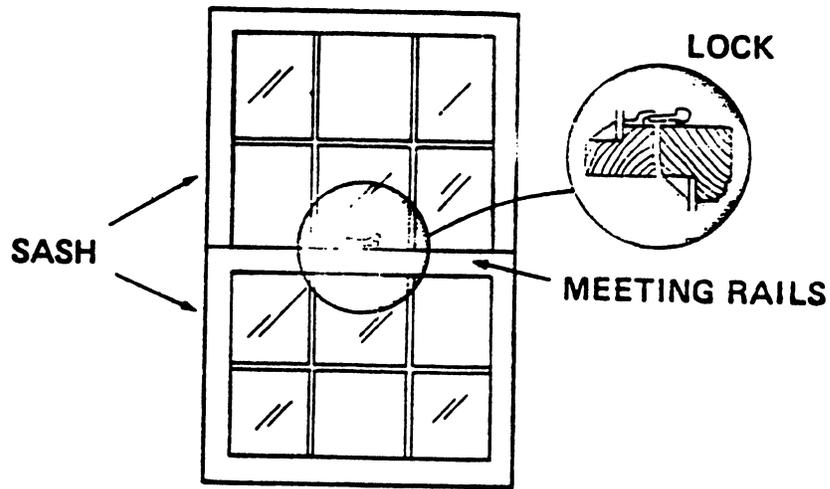
### Windows and Window Locks:

Double hung windows, as shown in the top part of Diagram 3, are very common. The parts of the window that can be raised or lowered are called sashes. Both the upper and lower sash are mounted within the window frame. A double hung window lock is usually installed on the top and bottom meeting rails of the two sashes, as shown in detail in the circle at the top of the diagram. When both halves of the lock are properly joined, the window is secure.

A second type of window, shown in the lower-left portion of the diagram, is called a casement window. This kind of window opens by pivoting outward or upward, and usually has a metal frame. The locking device for a casement window is usually located in the crank that operates it or on the metal frame.

A third common type of window is the sliding type, shown in the lower right-hand portion of the diagram. Locks for this type of window are usually found on the handle of the window. Security bars, as shown, may also be used to lock sliding windows.

**DOUBLE HUNG WINDOW**



**DIAGRAM 3: WINDOWS AND WINDOW LOCKS**

### Wall and Ceiling Construction:

Although this discussion focuses on wall construction, the same basic elements are found in ceiling construction.

In a wood-framed wall, vertical members are called studs. In one kind of construction (shown on the left side of Diagram 4), wood strips, called lath, are nailed to the studs. A base coat of plaster goes on top of the lath. The plaster is forced through the spaces between the laths so that when it hardens it forms little keys, which hold the plaster up tightly. Finally, one or more finish coats, or skim coats, of plaster are applied on top of the base coat. Similar procedures are used in constructing ceilings.

Moderate damage to walls and ceilings can result if the finish or base coats of plaster are damaged. If, however, the plaster becomes unkeyed, or separates from the lath, then the plaster surface can collapse.

Another type of construction, shown in the center of the diagram, uses a material called sheetrock or wallboard for walls or ceilings. This is nailed up to studs or ceiling joists and then painted or plastered lightly.

Wood paneling, shown in the right-hand portion of the diagram, can also be used as a wall surface.

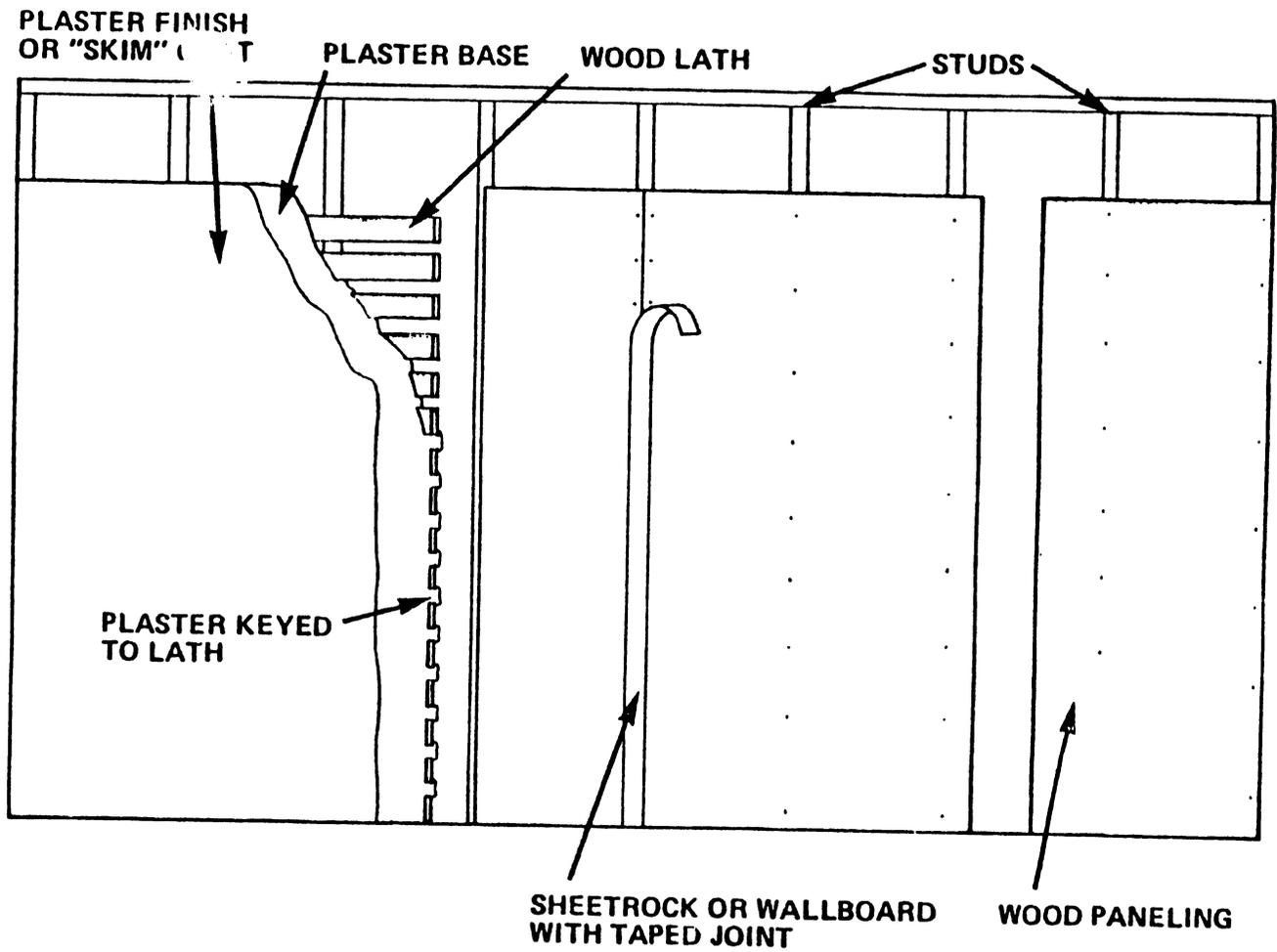


DIAGRAM 4: BASICS OF WALL AND CEILING CONSTRUCTION

### Floor Construction:

The first step in constructing a floor is usually to lay the large supporting beams, called joists, on top of a foundation. For the ground floor of a structure, this foundation may be a masonry wall, as shown in Diagram 5. Girders made up of large beams or several boards laid side by side, may also be used to support the joists at other points under the floor.

On top of the joists goes the subflooring. Then, on top of the subflooring, goes the finished flooring. This is usually made of boards which interlock together. Various floor coverings, such as linoleum, tile, or carpeting, can then be laid down over the finished flooring. Some units do not have finished flooring, but have floor coverings laid down directly on top of the subfloor.

The kinds of unsound conditions to look for are holes which penetrate both the finished floor and the subflooring, or weaknesses in the joists that make the floor seriously "shaky" and unstable.

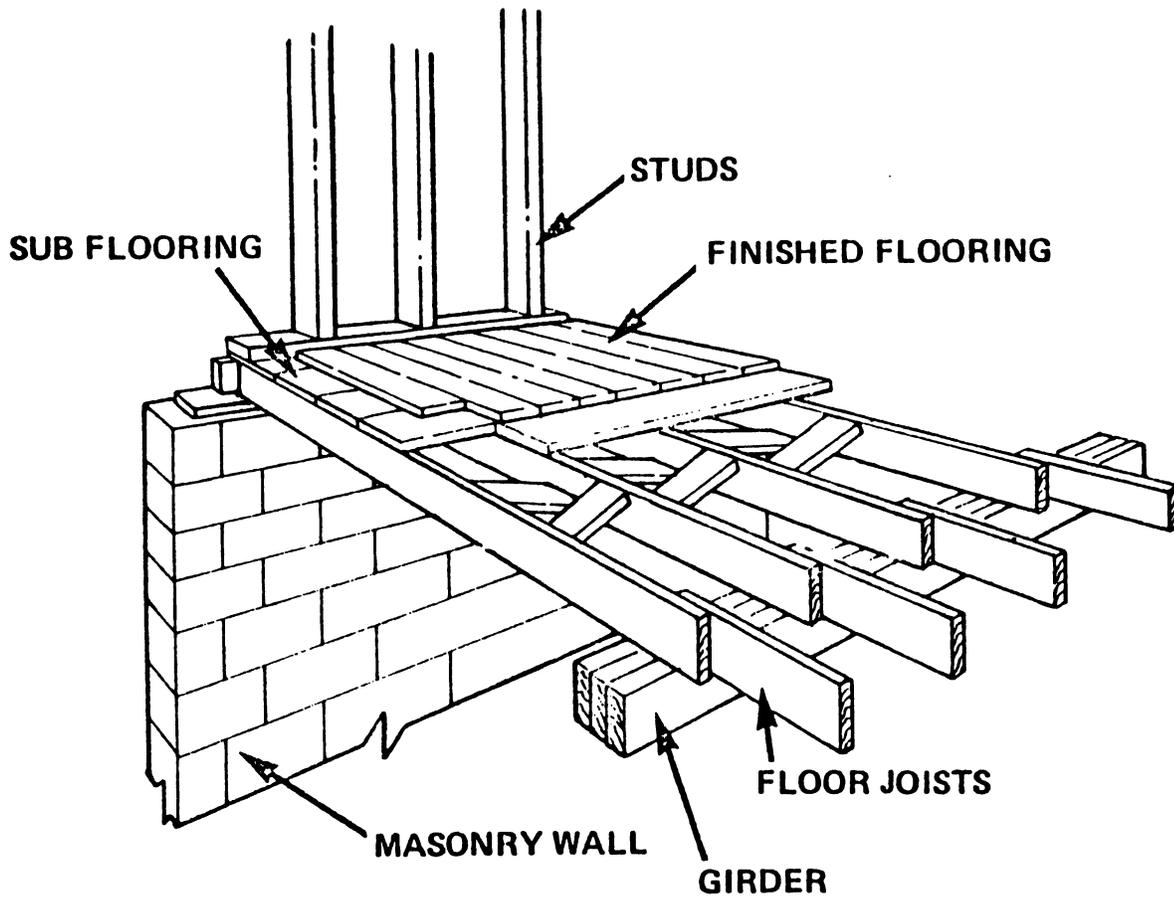


DIAGRAM 5: BASICS OF FLOOR CONSTRUCTION

Drain Pipe Traps:

The sink must be properly connected to a drain pipe with a proper trap, as shown in Diagram 6. The trap is the "U"-shaped pipe at the bottom of the sink.

The purpose of a trap is to keep sewer gasses from seeping into the dwelling through the sink drain. In the trap on the left, water standing in the trap keeps the gasses, shown here in darker tones, from coming up the sink drain. In the trap on the right, however, the water has leaked out, so that gas can enter the unit directly. Often the problem with a trap involves a leak in the clean-out plug, which is located at the bottom of the "U"-shaped bend.

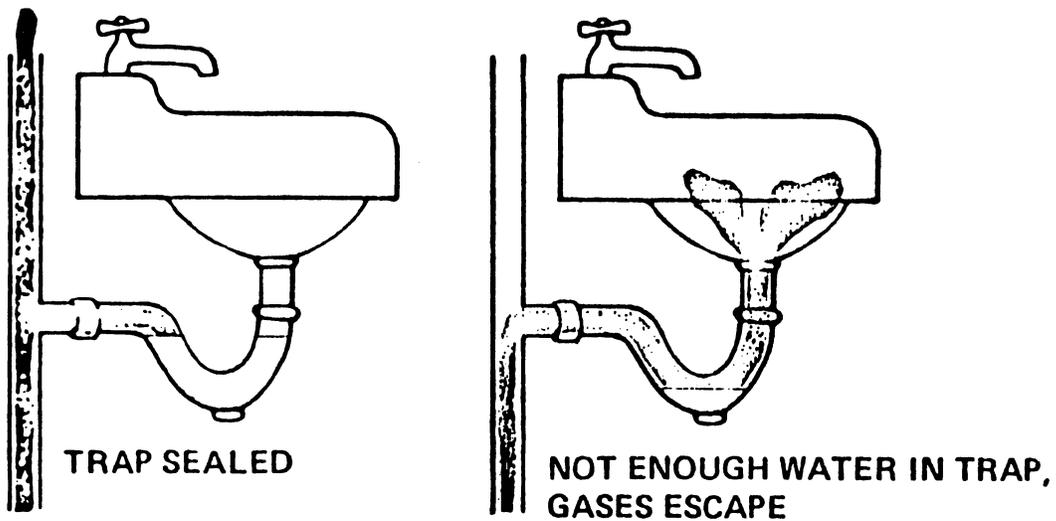


DIAGRAM 6: SINK TRAP

Heating Systems: As mentioned in the body of this Manual, heating system safety issues represent probably the most complicated topic of this inspection. The information on heating presented in this Appendix is only meant to serve as an introduction. The inspector will need to go beyond this description by consulting with local experts who are familiar with the heating systems in use in their particular part of the country and by reviewing some written material on the subject, such as the literature listed in Appendix C.

The major components of a home heating system are illustrated in Diagram 7 of a "forced warm air" heating system:

In most systems the heat is produced by burning fuel--usually gas or oil, although some systems rely on electric current to produce heat in the same way that a toaster heats up. The system illustrated here burns oil which is maintained in the fuel storage tank shown at the bottom left of the picture. If the system burned gas, the gas would be supplied directly from a local gas company's main line in the street, requiring no storage at the site; in areas outside those served by a gas line, the gas would be stored at the site in propane gas tanks.

Fresh air for combustion comes from the air in the room or cellar where the heating unit is located. The furnace produces the heat.

The chimney serves as an exhaust system for spent products. The furnace is connected to the chimney by a metal flue pipe (not shown in the diagram).

The heat distribution system is illustrated by the supply pipes or ducts, which carry warm air to the floors and the hot air registers above shown in the diagram as grates at different floor levels. The return air duct conducts cool air to the furnace from the rooms above to be reheated and recirculated.

In this diagram, return air is drawn by a fan (through the return air register) into a closed-off heat exchange area inside the furnace. There it is heated and blown through the warm air supply ducts to the rooms above. It is essential that the air drawn in through the return air register be free of any exhaust gasses. Many codes ensure this by

requiring that return air be drawn from an area that is separate from the furnace room or other area in which the furnace is located. In the diagram the return air is drawn through a duct which opens to the living area thereby sealing off the return air from the furnace room below.

Although these same components will be found in most home heating systems, the nature of the systems themselves will vary. There are seven basic types of heating systems and facilities:

Warm air (as described in the previous discussion) enters the unit through grates in the floor. In some warm air systems the heated air rises to the rooms above by convection without the aid of a blower or fan.

Steam heat is produced in the furnace and rises through pipes to heat room radiators. Since air is not the vehicle for transferring heat in this and most of the other systems explained below, the issues associated with "return air purity" in the warm air system are not relevant.

Hot water is also heated in the boiler and rises as hot water and is conducted through finned pipes in baseboard heating units (i.e., horizontal heating units at the base of a wall).

Electric baseboard heaters do not require a central heat source such as a furnace--they are plugged into the dwelling unit's wiring system.

Space heaters are located within the rooms to be heated, rather than in the basement or utility area. Many are fuel burning and vent through a flue into a chimney, although there are several other varieties of space heaters such as the common portable electric space heater. The requirement for adequate exhaust vents for fuel burning space heaters is explained in the body of this Manual. The grounds for HUD Field Office consideration of a variation for unvented use are explained in Appendix E.

Stove heaters are built-in space heater in gas or oil stoves that provide warm air through the vents at the side of the stove.

Wood or coal stoves have become increasingly popular heating devices with the increase in fuel costs.

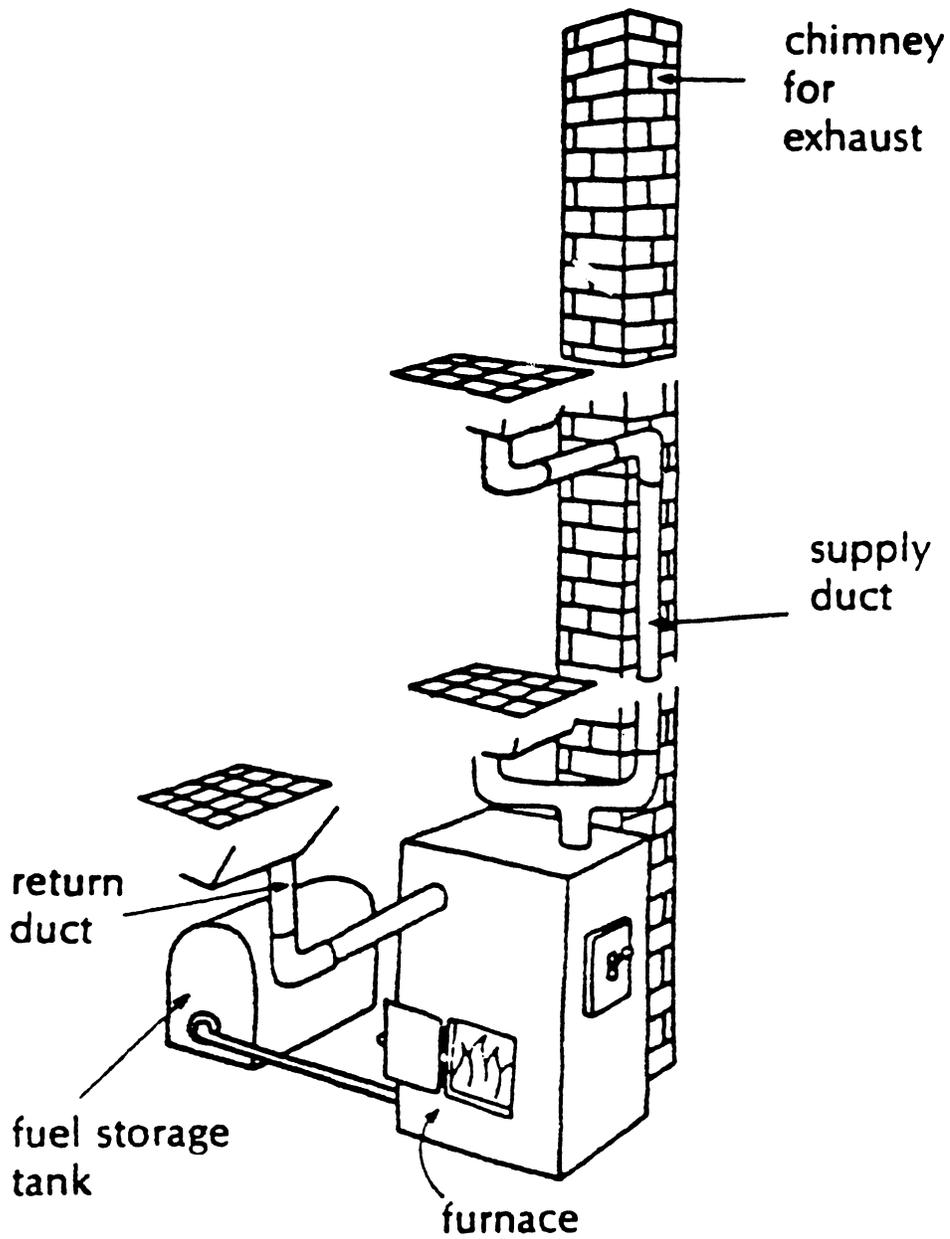


DIAGRAM 7: TYPICAL HOME HEATING SYSTEM (HOT AIR)

**APPENDIX E: Criteria for HUD Field Office  
consideration of a variation  
of Acceptability Criterion  
for unvented fuel burning  
space heaters**

In areas of the country with a mild climate, low capacity space heating is frequently found in residential buildings. Some of these use unvented residential space heating--frequently fueled by gas. Although this type of heater is not commonly installed in new construction, it can be found in older residential structures.

To place a blanket prohibition against unvented fuel burning space heaters on this stock could unduly restrict the availability of units. The National Fuel Gas Code has set regulations which protect the public from patently unsafe devices and usages while recognizing that some devices and usage are non-hazardous under restricted circumstances.<sup>1</sup> HUD will apply similar guidelines in cases where it grants a PHA's request for a variation of this requirement.

If a PHA feels that the prohibition of all unvented fuel burning space heaters would unduly restrict the availability of acceptable units in their area, it may apply to the HUD Field Office for a variation of this requirement. The HUD Field Office will assess the request for variation on the basis of climate, common usage, and the effect of the requirement on the availability of housing for Section 8 Existing Housing Program participants. If the HUD Field Office grants the variation, then the PHA will be required to apply the criteria explained below in deciding whether to permit an unvented fuel burning space heater in a particular unit.

If a variation has been granted, a decision to permit an unvented fuel burning space heater in a particular unit must be made on the basis of the following requirements from the National Fuel Gas Code (NFGC):

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<sup>1</sup>The National Fuel Gas Code covers all facets of fuel gas piping and appliance installation. Its development was co-sponsored by the American Gas Association, the American Society of Mechanical Engineers and the National Fire Protection Association. It was approved and adopted by the American National Standards Institute in June 1974.

1.5 Venting of Appliances

1.5.1.2 Appliances Not Required to be Vented:<sup>1</sup>

- (j) Room heaters listed (see definition below) for unvented use (also, see NFGC requirements 1.4.6.1 and 1.4.6.2 provided below).

[The room heater(s) input rating (i.e., heat delivered to the room) must not exceed 30 British thermal units (Btu) per hour per cubic foot of room or space in which the heater is installed.] When room heater(s) are installed so that the aggregate input rating exceeds 30 Btu per hour per cubic foot of room or space in which they are installed, one or more of them shall be provided with a venting system or other approved means for removing the vent gases to the outside atmosphere so that the aggregate input rating of the remaining unvented appliance does not exceed the 30 Btu per hour per cubic foot figure. When the room or space in which they are installed is directly connected to another room or space by a doorway, archway, or other opening of comparable size, which cannot be closed, the volume of such adjacent room or space may be included in the calculations.

1.4 Installation of Specific Appliances

1.4.6 Room Heaters<sup>2</sup>

1.4.6.1 Installations in Sleeping Quarters: Room heaters installed in sleeping quarters for use of transients, as in hotels and motels, shall be vented by one of the methods described in 1.5, Venting of Appliances, and equipped with a safety shutoff device. It is recommended that room heaters installed in all sleeping quarters or rooms generally kept closed be similarly vented and equipped with a safety shutoff device.

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<sup>1</sup>National Fuel Gas Code, American National Standards, 1974, p. 57.

<sup>2</sup>Ibid., p. 33, 34.



1.4.6.2 Installations in Institutions: Room heaters installed at any location in institutions such as homes for the aged, sanitariums, convalescent homes, orphanages, etc., shall be of the vented type and shall be connected to an effective chimney or gas vent and equipped with a safety shutoff device.

The definition of a "listed heater" is given here:

Listed Heaters: For the purpose of determining vent requirements, gas-fired and oil-fired appliances shall be classified as "listed" or "unlisted". A listed appliance is one that is shown in a list published by an accredited authoritative testing agency,<sup>1</sup> qualified and equipped for testing of such appliances, and maintaining an adequate periodic inspection of current production of listed models and whose listing states either that the appliance or accessory complies with nationally recognized safety requirements or has been tested and found safe for use in a specific manner. Compliance may be determined by the presence on the appliance or accessory of a label (see Figure 1) of the testing agency stating that the appliance or accessory complies with nationally recognized safety requirements. An unlisted appliance or accessory is one that is not shown on such a list or does not bear such a label.

The heater must have a label as described above. If it does not, it does not pass the requirement.

In order to make the determination of heater input compared to room size, the inspector must follow these steps:

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<sup>1</sup>Among testing laboratories that are nationally recognized from whom listings are available are Underwriters' Laboratories Inc., the Factory Mutual Research Corporation, the American Gas Association Laboratories. There are also a limited number of smaller testing laboratories that are accredited, usually by state fire marshalls.

1. First estimate the volume of the living area to be heated. A typical example illustrates how this is done.

<u>Room</u>	<u>Length</u>		<u>Width</u>		<u>Height</u>	<u>Total Cubic Feet</u>
Living Room	14'	x	12'	x	8'	1344
Dining Room	12'	x	12'	x	8'	<u>1152</u>
						2496 cu.ft.

2. Next calculate the maximum heater input (without a vent) that would be allowed in this volume of living area. This can be done by multiplying the volume to be heated by 30 Btu/hr.:

$$\begin{array}{r}
 2,496 \text{ cubic feet} \\
 \underline{\times 30 \text{ Btu/hr.}} \\
 74,880 \text{ Btu/hr.}
 \end{array}$$

The product of this multiplication is the total number of Btu's per hour that could be produced by a heating system for this space and will not require a vent. Any heat production above this would require a vent.

3. The next step is to determine the capacity of the installed unvented fuel burning heater(s) and whether it is "listed". This can be done by looking at the label affixed to the heater. This label should give the model type, the serial number, the Btu's produced, and (in some cases) instructions for installation. The label should also state that the model has been tested and is listed as described above.

If there is no label the heater will not pass. The capacity rating of space heaters in the example given above might be the following:

middle size heater	35,000	Btu/hr
small heater	<u>15,000</u>	Btu/hr
Total capacity	50,000	Btu/hr

4. Finally, compare the total capacity of the heater(s) with the calculation made in step #2 (the maximum unvented heater capacity allowable for the area to be heated). In the example

above the total capacity of the two heaters (50,000 Btu's per hour) was below the allowable capacity for the space (74,880 Btu's per hour). If both heaters were also found to be "listed" they would meet the requirements for unvented use.

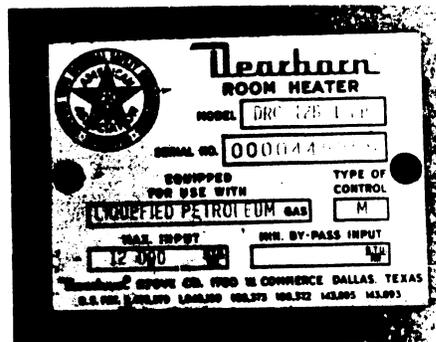
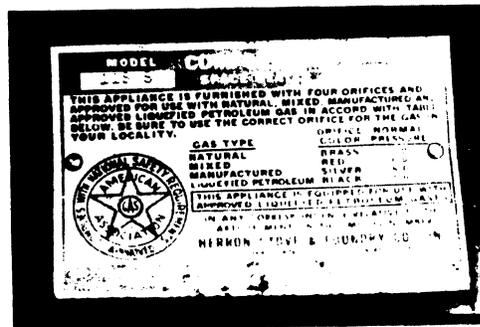


Figure 1: Typical labels affixed to back of small room heater.

**APPENDIX F: Checklist for Congregate  
Housing and Independent  
Group Residence**

## ATTACHMENT B: For Congregate Housing

1. **Definition:** Congregate housing is housing with a shared, central kitchen and dining area and a private living area *for the individual household* of at least a living room, bedroom and bathroom.

2. **Instructions for Inspection:** The following items from the standard HUD Checklist apply to Congregate Housing. In evaluating these items, the term *unit* refers to the living area of living room, bedroom, or bedroom/living room and bathroom occupied by the individual household.

- **Part 1: Living Room**

Complete all items (1.1-1.9) of the standard Checklist for the occupant's unit.

- **Part 2: Kitchen**

Complete all items (2.1-2.13) of the standard Checklist for the primary kitchen that will be used to store and prepare meals for the occupant. Also complete B1, B2, and B3 on back of this sheet.

In addition, the occupant's unit (i.e., the area used by him or her for living) must be equipped with a working refrigerator. This can be used by the occupant to prepare snacks or meals and to refrigerate medicines. Complete Item B4 on the back of this sheet. If a kitchen is provided in the individual's unit it must comply with standard Checklist Item 2.1-2.13.

- **Part 3: Bathroom**

Complete all items (3.1-3.13) of the standard Checklist for the bathroom facility in the occupant's unit. Also complete B7 on the back of this sheet. If the occupant is handicapped also complete Item B8 on the back of this sheet.

- **Part 4: Other Rooms Used for Living and Halls**

Complete Part 4 of the standard Checklist (all items 4.1-4.9) for each of the rooms in the occupant's unit. Also complete Part 4 (all items 4.1-4.9) for the following areas used in common by the occupant and other residents, but not located in the occupant's unit:

common dining area (take into consideration accessibility to occupant, as described in B5)

hallway leading from common dining area to occupant's unit.

Also complete B5 and B6 on back of this sheet.

- **Part 5: All Secondary Rooms (Rooms Not Used for Living)**

Complete Part 5 of the standard Checklist if the secondary room(s) is located within occupant's unit.

- **Part 6: Building Exterior**

Complete all items (6.1-6.6) of the standard Checklist for areas of the building near the occupant's unit or near areas used by the occupant.

- **Part 7: Heating and Plumbing**

Complete all items (7.1-7.7) of the standard Checklist. In interpreting "adequacy of heating equipment," assess the capability of the heating system to provide adequate heat to the occupant's unit and to the common kitchen and dining facility.

- **Part 8: Health and Safety**

Complete all items (8.1-8.11) of the standard Checklist. Also complete items B9 on back of this sheet if occupant is handicapped.

**ATTACHMENT B: For Congregate Housing**  
 Complete Standard HUD Checklist and Items B1-B9  
 for Congregate Housing

For each item numbered, check one box only.

ITEM#	DESCRIPTION	DECISION			If FAIL, what repairs necessary? If INCONCLUSIVE, give details. If PASS with comments, give details.	If FAIL, date of final approval.
		Yes, PASS	No, FAIL	INCONCLUSIVE		
B1	<b>KITCHEN FACILITIES</b> Is there a central kitchen or a continuous catering service?*	<input type="checkbox"/>	<input type="checkbox"/>			
B2	<b>CENTRAL KITCHEN: ADEQUACY OF FACILITIES</b> In the central kitchen is the size of the stove, refrigerator and sink appropriate for the number of people that will be served by the facilities (capacity to prepare and serve the number of occupants for one to three meals a day)?*	<input type="checkbox"/>	<input type="checkbox"/>			
B3	<b>CENTRAL KITCHEN: SPACE FOR FOOD PREPARATION AND STORAGE</b> Is the space for food preparation, storage and serving adequate for the number of people to be served?*	<input type="checkbox"/>	<input type="checkbox"/>			
B4	<b>REFRIGERATOR WITHIN OCCUPANT'S UNIT</b> Is there a working refrigerator within the occupant's unit?	<input type="checkbox"/>	<input type="checkbox"/>			
B5	<b>CENTRAL DINING AREA: LOCATION</b> If there is a central dining area, is it within the building or housing complex and within a ten minute walk for the occupant?	<input type="checkbox"/>	<input type="checkbox"/>			
B6	<b>CENTRAL DINING AREA: SPACE</b> Is the dining area adequate to serve the number of occupants for one to three meals a day?*	<input type="checkbox"/>	<input type="checkbox"/>			
B7	<b>BATHROOM WITHIN OCCUPANT'S UNIT</b> Are there bathroom facilities within the occupant's unit?	<input type="checkbox"/>	<input type="checkbox"/>			
B8	<b>BATHROOM FOR HANDICAPPED</b> For units accomodating physically handicapped occupants, is access provided to all sanitary facilities, and are there (as appropriate to the needs of the occupants) basins and toilets of appropriate height, grab bars to toilets, showers and/or bathtubs; shower seats; and adequate space for movement?	<input type="checkbox"/>	<input type="checkbox"/>			
B9	<b>ARCHITECTURAL BARRIERS</b> If the unit accomodates physically handicapped occupants with wheelchairs and other special equipment, is it free of barriers which impede access or use and does it have appropriate handrails and ramps?	<input type="checkbox"/>	<input type="checkbox"/>			

\*In determining the adequacy of the central kitchen and dining room, the PHA must assure that these facilities have the capacity to prepare and to serve the number of occupants for one to three meals a day. In determining whether the facility is sufficient in size to accomodate the occupants, the PHA can permit food service in two settings, on arrangement whereby one half of the residents are served at any one time. The PHA must also assure that at least for one meal, the principal food item is hot at the time of serving. The PHA must assure that one meal is provided in the central facility but may permit the substitution of an in-unit meal served in the tenant's unit for other meals. The PHA may also permit catered meals prepared elsewhere as long as there is assurance the catering service is continuous and that there is adequate kitchen space both to heat and to store food. The PHA must not permit the food service in a congregate facility to be undertaken solely by occupants. HUD Handbook 7420.7, Chapter 5.  
 Meals on Wheels" would not be considered "continuous service."

## ATTACHMENT C: For Independent Group Residence

**1. Definition:** An Independent Group Residence is defined as housing for the exclusive residential use of 2 to 12 elderly, handicapped or disabled individuals (excluding 1-2 Resident Assistants, if needed) who cannot live completely independently and require a planned program of supportive services. An IGR is intended to promote advancement to greater levels of independent living. An IGR is a living unit with multiple bedrooms. In a typical IGR, an occupant will have a bedroom that is private or shared with one other person. The other rooms (living room, bathroom, kitchen, dining area) must be within the unit and generally will be used in common.

**2. Instructions for Inspection:** The following items for the standard HUD Checklist apply to IGRs.

- **Part 1: Living Room**

Complete all items (1.1-1.9) of the standard Checklist for the primary common living or socializing room for the residence.

- **Part 2: Kitchen**

Complete all items (2.1-2.13) of the standard Checklist for the kitchen that will be used to store and prepare meals for the occupants. The kitchen is a common area located within the unit. In rating Item 2.1 (Kitchen Present) take into consideration accessibility to occupant. If necessary, it must be barrier free to accommodate the special needs of disabled and handicapped occupants. Also complete C1 on back.

- **Part 3: Bathroom**

Complete all items (3.1-3.13) of the standard Checklist for the primary bathroom facility accessible to the occupant. The bathroom can be shared by no more than four occupants and must be located within the unit. In rating Items 3.10, 3.11 and 3.12 for "presence" take into consideration the accessibility of these facilities to the occupant. All bathroom facilities must be easily accessible to occupant or the item fails with respect to presence. Also complete C2 and C3 on back.

- **Part 4: Other Rooms Used for Living and Halls**

Complete Part 4 of the standard Checklist (all Items 4.1-4.9) for each room in the residence. Since the maximum number of residents is limited, inspection of the entire IGR structure should not be unreasonable in most cases. Also complete C4 and C5 on back.

- **Part 5: All Secondary Rooms (Rooms Not Used for Living)**

Complete this for the residence.

- **Part 6: Building Exterior**

Complete all items (6.1-6.6) of the standard Checklist for the residence.

- **Part 7: Heating and Plumbing**

Complete all items (7.1-7.7) of the standard Checklist for the residence. In interpreting "adequacy of heating equipment," primarily assess the capability of the heating system to provide adequate heat to the following rooms used by the occupant: living (or common) room, dining room, bathroom, bedroom, hall leading from bedroom.

- **Part 8: Health and Safety**

Complete all items (8.1-8.11) of the standard Checklist. In addition, complete items C6 through C13 on back. If state approval is pending check Inconclusive.

**ATTACHMENT C: For Independent Group Residence**

Complete Standard HUD Checklist and Items C1-C13

for Independent Group Housing

For each item numbered, check one box only.

ITEM#	DESCRIPTION	DECISION			If FAIL, what repairs necessary? If INCONCLUSIVE, give details. If PASS with comments, give details.	If FAIL or INCONCLUSIVE, date of final approval.
		Yes, PASS	No, FAIL	INCONCLUSIVE		
C1	<p><b>COMMON KITCHEN IN THE UNIT (i.e. residence)</b></p> <ul style="list-style-type: none"> <li>• Is there a kitchen in the unit?</li> <li>• Is the size of the stove, refrigerator and sink appropriate for the number of people that will be served by the kitchen facilities?</li> <li>• Is the space for food preparation, storage and serving adequate for the number of people to be served?</li> </ul>	<input type="checkbox"/>	<input type="checkbox"/>			
C2	<p><b>COMMON BATHROOM FACILITIES IN THE UNIT</b></p> <p>Are bathroom facilities adequate in number that they need not be shared by more than four occupants?</p>	<input type="checkbox"/>	<input type="checkbox"/>			
C3	<p><b>BATHROOM FOR HANDICAPPED IN THE UNIT</b></p> <p>For units accomodating physically handicapped occupants, is access provided to all sanitary facilities, and are there (as appropriate to the needs of the occupants) basins and toilets of appropriate height, grab bars to toilets, showers and/or bathtubs; shower seats; and adequate space for movement?</p>	<input type="checkbox"/>	<input type="checkbox"/>			
C4	<p><b>COMMON DINING AREA SPACE IN THE UNIT</b></p> <p>Is the dining area adequate to serve the number of occupants for one to three meals a day?</p>	<input type="checkbox"/>	<input type="checkbox"/>			
C5	<p><b>COMMON SPACE IN THE UNIT</b></p> <p>Is there appropriate social or recreational community space within the unit?</p>	<input type="checkbox"/>	<input type="checkbox"/>			
C6	<p><b>EMERGENCY EXITS PLAN</b></p> <p>Is there an emergency exit plan explained to the occupant?</p>	<input type="checkbox"/>	<input type="checkbox"/>			
C7	<p><b>FIRE INSPECTION</b></p> <p>Are regular fire inspections conducted by the appropriate public agency?</p>	<input type="checkbox"/>	<input type="checkbox"/>			
C8	<p><b>FIRE PREVENTION</b></p> <p>Are smoke detectors and readily accessible fire extinguishers provided throughout the unit and emergency numbers (police, fire, ambulance) posted for occupants?</p>	<input type="checkbox"/>	<input type="checkbox"/>			

**ATTACHMENT C: For Independent Group Residence**

Complete Standard HUD Checklist and Items C1-C13  
for Independent Group Housing

**For each item numbered, check one box only.**

ITEM#	DESCRIPTION	DECISION			If FAIL, what repairs necessary? If INCONCLUSIVE, give details. If PASS with comments, give details.	If FAIL or IN- CONCLUSIVE, date of final approval.
		Yes, PASS	No, FAIL	INCONCLUSIVE		
C9	<b>FIRST AID SUPPLIES</b> Are first aid supplies readily accessible?	<input type="checkbox"/>	<input type="checkbox"/>			
C10	<b>STATE AND LOCAL STANDARDS</b> Do all emergency and safety features and procedures meet applicable state and local standards?	<input type="checkbox"/>	<input type="checkbox"/>			
C11	<b>ARCHITECTURAL BARRIERS</b> If the unit accomodates physically handicapped occupants with wheelchairs and other special equipment, is it free of barriers which impede access or use and does it have appropriate handrails and ramps?	<input type="checkbox"/>	<input type="checkbox"/>			
C12	<b>STATE APPROVAL OF THE IGR</b> Is the IGR licensed, certified or otherwise approved in writing by the State (eg., Dept. of Human Resources, Mental Health, Retardation, Social Services) and is there State approval of the written Service Agreement (or Lease, if the provider is the Lessor) for each IGR residence (882.210 (b)(2)).	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		
C13	<b>PROXIMITY</b> Is the IGR within walking distance or accessible via public or available private transportation to medical and other appropriate commercial and community service facilities?	<input type="checkbox"/>	<input type="checkbox"/>			

**APPENDIX G: Section 8 Existing Housing Program Inspection Checklist**

U.S. DEPARTMENT OF HOUSING AND URBAN DEVELOPMENT

**SECTION 8 EXISTING HOUSING PROGRAM  
INSPECTION CHECKLIST**

NAME OF FAMILY	TENANT ID NO.	DATE OF REQUEST
INSPECTOR	NEIGHBORHOOD/CENSUS TRACT	DATE OF INSPECTION
TYPE OF INSPECTION <input type="checkbox"/> Initial <input type="checkbox"/> Special <input type="checkbox"/> Reinspection	DATE LAST INSPECTION	PHA

**A - GENERAL INFORMATION**

ADDRESS OF INSPECTED UNIT			<b>HOUSING TYPE</b> <i>(Check as appropriate)</i> <input type="checkbox"/> Manufactured Home <input type="checkbox"/> Single Family Detached <input type="checkbox"/> Duplex or Two Family <input type="checkbox"/> Row House or Town House <input type="checkbox"/> Low Rise: 3 or 4 stories, including Garden Apartment <input type="checkbox"/> High Rise: 5 or more stories <input type="checkbox"/> Congregate <input type="checkbox"/> Cooperative <input type="checkbox"/> Independent Group Residence <input type="checkbox"/> Other _____
STREET		CITY	
COUNTY	STATE	ZIP	
ADDRESS OF OWNER			
NAME OF OWNER OR AGENT AUTHORIZED TO LEASE UNIT INSPECTED		PHONE NO.	
ADDRESS OF OWNER OR AGENT			

**B - SUMMARY DECISION ON UNIT** *(To be completed after form has been filled out)*

<input type="checkbox"/> Pass <input type="checkbox"/> Fail <input type="checkbox"/> Inconclusive	SECTION 8 OCCUPANCY STANDARD	
	No. of rooms used for sleeping <i>(or could be used if unit is vacant)</i>	

**INSPECTION CHECKLIST**

ITEM NO.	1. LIVING ROOM	YES PASS	NO FAIL	IN-CONC.	COMMENT	FINAL APPROV. INITIAL/DATE
1.1	Living Room Present					
1.2	Electricity					
1.3	Electrical Hazards					
1.4	Security					
1.5	Window Condition					
1.6	Ceiling Condition					
1.7	Wall Condition					
1.8	Floor Condition					
1.9	Lead Paint					

ITEM NO.	2. KITCHEN	YES PASS	NO FAIL	IN-CONC.	COMMENT	FINAL APPROV. INITIAL/DATE
2.1	Kitchen Area Present					
2.2	Electricity					
2.3	Electrical Hazards					
2.4	Security					
2.5	Window Condition					
2.6	Ceiling Condition					
2.7	Wall Condition					
2.8	Floor Condition					
2.9	Lead Paint					
2.10	Stove or Range with Oven					
2.11	Refrigerator					
2.12	Sink					
2.13	Space for Storage and Preparation of Food					
ITEM NO.	3. BATHROOM	YES PASS	NO FAIL	IN-CONC.	COMMENT	FINAL APPROV. INITIAL/DATE
3.1	Bathroom Present					
3.2	Electricity					
3.3	Electrical Hazards					
3.4	Security					
3.5	Window Condition					
3.6	Ceiling Condition					
3.7	Wall Condition					
3.8	Floor Condition					
3.9	Lead Paint					
3.10	Flush Toilet in Enclosed Room in Unit					
3.11	Fixed Wash Basin or Lavatory in Unit					
3.12	Tub or Shower in Unit					
3.13	Ventilation					
ITEM NO.	4. OTHER ROOMS USED FOR LIVING & HALLS	YES PASS	NO FAIL	IN-CONC.	COMMENT	FINAL APPROV. INITIAL/DATE
4.1	Room Code* and Room Location <input type="checkbox"/>				(Circle One) Right/Center/Left (Circle One) Front/Center/Rear _____ Floor Level	
4.2	Electricity/Illumination					
4.3	Electrical Hazards					
4.4	Security					
4.5	Window Condition					
4.6	Ceiling Condition					
4.7	Wall Condition					
4.8	Floor Condition					
4.9	Lead Paint					

\* ROOM CODES

- 1 = Bedroom or any other room used for sleeping (Regardless of type of room)
- 2 = Dining Room, or Dining Area
- 3 = Second Living Room, Family Room, Den, Playroom, TV Room

- 4 = Entrance Halls, Corridors, Halls, Staircases
- 5 = Additional Bathroom
- 6 = Other

ITEM NO.	4. OTHER ROOMS USED FOR LIVING & HALLS	YES PASS	NO FAIL	IN-CONC.	COMMENT	FINAL APPROV. INITIAL/DATE
4.1	Room Code* and Room Location <input type="checkbox"/>				(Circle One) Right/Center/Left (Circle One) Front/Center/Rear _____ Floor Level	
4.2	Electricity/Illumination					
4.3	Electrical Hazards					
4.4	Security					
4.5	Window Condition					
4.6	Ceiling Condition					
4.7	Wall Condition					
4.8	Floor Condition					
4.9	Lead Paint					
4.1	Room Code* and Room Location <input type="checkbox"/>				(Circle One) Right/Center/Left (Circle One) Front/Center/Rear _____ Floor Level	
4.2	Electricity/Illumination					
4.3	Electrical Hazards					
4.4	Security					
4.5	Window Condition					
4.6	Ceiling Condition					
4.7	Wall Condition					
4.8	Floor Condition					
4.9	Lead Paint					
4.1	Room Code* and Room Location <input type="checkbox"/>				(Circle One) Right/Center/Left (Circle One) Front/Center/Rear _____ Floor Level	
4.2	Electricity/Illumination					
4.3	Electrical Hazards					
4.4	Security					
4.5	Window Condition					
4.6	Ceiling Condition					
4.7	Wall Condition					
4.8	Floor Condition					
4.9	Lead Paint					
4.1	Room Code* and Room Location <input type="checkbox"/>				(Circle One) Right/Center/Left (Circle One) Front/Center/Rear _____ Floor Level	
4.2	Electricity/Illumination					
4.3	Electrical Hazards					
4.4	Security					
4.5	Window Condition					
4.6	Ceiling Condition					
4.7	Wall Condition					
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ITEM NO.	5. ALL SECONDARY ROOMS (Rooms not used for living)	YES PASS	NO FAIL	IN- CONC.	COMMENT	FINAL APPROV. INITIAL / DATE
5.1	None <input type="checkbox"/> Go to Part 6					
5.2	Security					
5.3	Electrical Hazards					
5.4	Other Potentially Hazardous Features in any of These Rooms					
ITEM NO.	6. BUILDING EXTERIOR	YES PASS	NO FAIL	IN- CONC.	COMMENT	FINAL APPROV. INITIAL / DATE
6.1	Condition of Foundation					
6.2	Condition of Stairs, Rails, and Porches					
6.3	Condition of Roof and Gutters					
6.4	Condition of Exterior Surfaces					
6.5	Condition of Chimney					
6.6	Lead Paint: Exterior Surfaces					
6.7	Manufactured Homes: Tie Downs				<input type="checkbox"/> Not Applicable	
6.8	Manufactured Homes: Smoke Detectors				<input type="checkbox"/> Not Applicable	
ITEM NO.	7. HEATING & PLUMBING	YES PASS	NO FAIL	IN- CONC.	COMMENT	FINAL APPROV. INITIAL / DATE
7.1	Adequacy of Heating Equipment					
7.2	Safety of Heating Equipment					
7.3	Ventilation/Cooling					
7.4	Water Heater					
7.5	Approvable Water Supply					
7.6	Plumbing					
7.7	Sewer Connection					
ITEM NO.	8. GENERAL HEALTH AND SAFETY	YES PASS	NO FAIL	IN- CONC.	COMMENT	FINAL APPROV. INITIAL / DATE
8.1	Access to Unit					
8.2	Fire Exits					
8.3	Evidence of Infestation					
8.4	Garbage and Debris					
8.5	Refuse Disposal					
8.6	Interior Stairs and Common Halls					
8.7	Other Interior Hazards					
8.8	Elevators				<input type="checkbox"/> Not Applicable	
8.9	Interior Air Quality					
8.10	Site and Neighborhood Conditions					
8.11	Lead Paint: Owner Certification				<input type="checkbox"/> Not Applicable	
<p><b>8.11 LEAD PAINT: OWNER CERTIFICATION</b></p> <p>If the owner is required to treat or cover any interior or exterior surfaces, the PHA must obtain certification that the work has been done in accordance with such requirements prior to the execution or renewal of any HAP contract. No reinspection is necessary if certificate is obtained. Suggested wording of this certificate is as follows:</p> <p style="text-align: right;">"The undersigned hereby certifies that the property located at _____ (Property Address) has had applicable surfaces treated or covered as required." _____ (Owner's Signature) _____ (Type or Print Name) _____ (Date)</p>						

**C - SPECIAL AMENITIES (OPTIONAL)**

This Section is for the optional use of the PHA. It is designed to collect additional information about other positive features of the unit that may be present. Although the features listed below are not included in the Housing Quality Standards, the tenant and PHA may wish to take them into consideration in decisions about renting the unit and the reasonableness of the rent.

Check/list any positive features found in relation to the unit.

**1. LIVING ROOM**

- High quality floors or wall coverings
- Working fireplace or stove
- Balcony, patio, deck, porch
- Special windows or doors
- Exceptional size relative to needs of family
- Other (Specify) \_\_\_\_\_

**2. KITCHEN**

- Dishwasher
- Separate freezer
- Garbage disposal
- Eating counter/breakfast nook
- Pantry or abundant shelving or cabinets
- Double oven/self cleaning oven, microwave
- Double sink
- High quality cabinets
- Abundant counter-top space
- Modern appliance(s)
- Exceptional size relative to needs of family
- Other (Specify) \_\_\_\_\_

**3. BATH**

- Special feature shower head
- Built-in heat lamp
- Large mirrors
- Glass door on tub/shower
- Separate dressing room
- Double sink or special lavatory
- Exceptional size relative to needs of family
- Other (Specify) \_\_\_\_\_

**4. OTHER ROOMS USED FOR LIVING**

- High quality floors or wall coverings
- Working fireplace or stove
- Balcony, patio, deck, porch
- Special windows or doors
- Exceptional size relative to needs of family
- Other (Specify) \_\_\_\_\_

**5. OVERALL CHARACTERISTICS**

- Storm windows and doors
- Other forms of weatherization (e.g., insulation, weather stripping)
- Screen doors or windows
- Good upkeep of grounds (i.e., consider: site cleanliness, landscaping, condition of lawn)
- Garage or parking facilities
- Driveway
- Large yard
- Good maintenance of building exterior
- Other (Specify) \_\_\_\_\_

**6. ACCESSIBILITY TO THE NON-ELDERLY HANDICAPPED**

Unit is accessible to a particular handicap.  YES  NO  
Handicap \_\_\_\_\_

Unit could be easily renovated for accessibility to a particular handicap.  YES  NO  
Handicap \_\_\_\_\_

**D - QUESTIONS TO ASK THE TENANT (OPTIONAL)**

1. Does the owner make repairs when asked? \_\_\_\_\_
2. How many people live there? \_\_\_\_\_
3. How much money do you pay to the owner/agent for rent? \$ \_\_\_\_\_
4. Do you pay for anything else? \_\_\_\_\_
5. Who owns the range and refrigerator? (O-Owner T-Tenant) Range \_\_\_\_\_ Refrigerator \_\_\_\_\_
6. Is there anything else you want to tell us? \_\_\_\_\_

**E - INSPECTION SUMMARY (OPTIONAL)**

PROVIDE A SUMMARY DESCRIPTION OF EACH ITEM WHICH RESULTED IN A RATING OF FAIL OR PASS WITH COMMENTS.

TENANT ID NO. \_\_\_\_\_ DATE OF INSPECTION \_\_\_\_\_

INSPECTOR \_\_\_\_\_

TYPE OF INSPECTION  Initial  Special  Reinspection

ADDRESS OF INSPECTED UNIT \_\_\_\_\_

ITEM NO.

REASON FOR "FAIL" RATING OR COMMENTS



