# Instructions for the ANNUAL COMPLIANCE REVIEW CHECKLIST for Performance Based Contract Administrators

**PURPOSE:** To assess Performance Based Contract Administrators (PBCA) performance under the provisions of the Performance Based Annual Contributions Contract (PB-ACC), applicable HUD regulations and guidelines.

Instructions: This checklist and summary report is for Hub/Program Center (PC) use when conducting the Annual Compliance Review (ACR).

#### 1. PRE-PLANNING - PBCA Stakeholder Survey

• "RESERVED"

#### 2. PLANNING FOR THE REVIEW

• At least eight (8) weeks prior to the scheduled review, the Hub/PC, with the assistance of the Contract Administrator Oversight Monitor (CAOM), will select the Compliance Review Team (CRT) members. The CRT will meet to select the properties to be reviewed. The CRT will designate each team member's area of responsibility during the review. In addition to performing a review of the PBCA's general operation and each IBPS task, the CRT will determine areas requiring additional attention on the review based on deficiencies noted during the past year. The CAOM will contact prospective team members to determine their availability for the on-site review. In addition, the CRT should review the monitoring activities by task as outlined in Chapter 8 of the "Proposed Monitoring and Evaluation Policies and Procedures". The CAOM should provide the PBCA with written notice at least four (4) weeks in advance of the scheduled review. The notice must identify the specific documents that must be available to the CRT when conducting the ACR.

Effective Date: 10/1/08

#### 3. PRIOR TO ON-SITE REVIEW

#### **DESK REVIEW**

• Prior to an on-site visit with the PBCA, a Desk Review must be performed. The Desk Review involves an analysis of all relevant contract related documents, all applicable reports and information for the period under review (including systems information entered into LOCCS, TRACS and iREMS). The CRT will select a sample of Housing Assistance Payment (HAP) contracts from the PBCA's portfolio based on the Desk Review. The sample must include contracts that have had incentive based performance standard (IBPS) activity for the period under review (For example: A portfolio size of 250, the CRT will review 10 contracts for each IBPS task for the period under review). The CRT will use the following chart to determine the sample size based on the number of contracts in the PBCA's portfolio:

Number of HAP Contracts	Minimum Contract Sample
100 or fewer contracts	5 contracts
101 – 600 contracts	10 contracts
601 – 2,000 contracts	20 contracts
Over 2,000 contracts	25 contracts

- Note: If the number of contracts that had IBPS activity is less than the sample size above, the CRT should review the
  total number of contracts having activity.
- The CRT must assess at least (5) five properties.
  - o Property visits should be conducted not more than 30-45 days prior to the ACR.
  - The CRT must assess the PBCA's performance relative to the tenant file reviews and physical inspection follow-up.
  - The CRT review of the tenant file shall be based on the most recent MOR conducted by the PBCA.
  - Property visits must include review of the following:
    - PBCA review of resident/unit eligibility
    - PBCA review of timeliness/accuracy of recertifications
    - PBCA review of owner compliance with record keeping requirements in accordance with HUD Handbook 4350.3 REV-1, Change 2
    - For REAC inspections conducted within 12 months of when the MOR was conducted, the CRT will
      review the corrective action documentation for REAC EH&S and other deficiencies (reference
      Section 3b of HUD-9834)
    - Areas of concern raised in the monthly report
    - · Discussions with owner/agent and residents
    - Resident issues

#### 4. ON-SITE REVIEW

#### **PBCA OFFICE VISIT**

• The CRT will conduct an Entrance Conference on the first day of the ACR. The CRT and PBCA staff will discuss the objectives, scope and focus of the review during this initial meeting. As part of the on-site review, the CRT will interview the PBCA's designated staff and review the contract records to determine if tasks were completed correctly and that there is appropriate supporting documentation in the record. The CRT must compare documentation in the records and compare invoices against data entered into HUD systems (iREMS, LOCCS, TRACS) to assess the PBCA's overall performance. The CRT is **required** to use the attached ACR to document and assess the PBCA's performance of IBPS tasks. The CRT must complete all questions on the Compliance Review Checklist and Summary Sheet to document relevant findings as appropriate. **For any "NO" responses, justifications and explanations must be provided, as applicable.** In addition, some items may require document verification which the reviewer must obtain from the PBCA.

#### 5. EXIT CONFERENCE

Upon completion of the ACR and prior to leaving the PBCA's office, the CRT will conduct an Exit Conference.
Designated PBCA staff and CRT members should attend the conference, at which time the CRT will provide the
PBCA staff with a preliminary assessment of the PBCAs performance. The CRT will also address all major findings
and identify emergency items requiring immediate attention by the PBCA. In addition, a general assessment of
program and administrative operations will be discussed. The Exit Conference provides the PBCA with an opportunity
to discuss findings and to outline their plan of action for correcting the findings, including a timeframe for completion.
The CRT will advise the PBCA that the Compliance Review Report (CRR) will be issued to the PBCA within 30 days
of the Exit Conference.

#### 6. AFTER THE REVIEW

• The CAOM, with assistance from the CRT, shall prepare the CRR. The CRR will include a cover letter, the ACR Summary Report and a narrative that will be sent to the PBCA. The checklist is considered part of the audit work papers and will be retained in the CAOM's central PBCA file. The final report shall be signed by the Hub Director. In the event there are findings, the CRR will cite the relevant PB- ACC section for the violation(s), the impact of the violation(s), the required corrective action and timeframe for completion. Based on the review, if the PBCA's performance did not reflect administrative fees paid, the CAOM will make appropriate adjustments on the next month's invoice. If there are no findings, the CRT must indicate this in the CRR. The CRR must be mailed to the PBCA within 30 days of the Exit Conference. The PBCA must respond in writing to the CAOM within 30 days of receipt of the CRR. The response must address each finding in the CRR and contain the PBCA's plan of action to correct the violations. Upon receipt of the PBCA's response, HUD has 30 days to review the PBCA response and issue the ACR close-out letter to the PBCA. This completes the PBCA annual performance audit for the period under review.

#### 7. FOLLOW-UP/MONITORING

• The CAOM will be required to follow-up and monitor the PBCA's progress in correcting the findings identified in the CRR. The CAOM must work with the PBCA to ensure that the corrective actions are addressed in a timely manner and in accordance with the plan described in the PBCA's response.

#### **REFERENCES**

- Section 8 PBCA Guidebook
- Monitoring and Evaluation Policies and Procedures
- HUD Handbook 4350.1 REV-1- Multifamily Asset Management and Project Servicing
- HUD Handbook 4350.3 REV-2 Occupancy Requirements of Subsidized Multifamily Housing Programs
- HUD Handbook 4381.5, The Management Agent Handbook
- Rent and Income Determination Quality Control Monitoring Guide (RHIIP QC Guide)
- Section 8 Renewal Guide
- HUD Program Notices and Memorandums

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Name of PBCA:  Geographic Service Area:  Name of Subcontractor applicable:		tor, if			
Date ACR Conducted: PB-A		C Review Period:	F	PBCA Fiscal Year End:	
		umber of Units under ct at the time of the ACR:			
For each category, assess the performance by operformance has been determined to be less that violation of the PB- ACC. Indicate <b>A</b> (Acceptable) or <b>D</b> (Deficient). Include	an the Ac	cceptable Quality Level (AQL)	or wh	nen there has been a	
Category			Α	D	TCD
<b>Annual Contribution Contract</b>					
Part I Management Requirements/G	eneral (	Operations			
Part II Financial Management					
Part III Certifications					
Part IV Management Capabilities and	Quality	Control			
Part V Systems					
Part VI Stakeholder Survey - "Reserv	ed "		N/A	N/A	N/A
<b>Incentive Based Performance St</b>	tandar	d (IBPS)			
1- IBPS #1 Management & Occupa	ancy Re	view			
2- IBPS #2 Civil Rights Compliance	9				
3- IBPS #3 Rental Adjustments					
4/5- IBPS #4/5 Contract Opt-Out and T	ermina	tion and Resident			
Data Sent to HUD					
6- IBPS #6 Section 8 HAP Voucher	rs				
7- IBPS #7 Notice of Corrective Ac	tions				
9- IBPS #9 Life Threatening Health	and Sa	afety Issues			
10- IBPS #10 Non-Life Threatening H	lealth ar	nd Safety Issues			
12- IBPS #12 Annual Interest Earned	Certific	ation			
13- IBPS #13 Public Housing Agency	Audit				
14- IBPS #14 Renewal of Expiring Se	ection 8	Contracts			
15- IBPS #15 General Reporting					
16- IBPS #16 Monitoring of Physical I	nspecti	on Results			
Name of Contract Administration Oversight Monitor (CAOM) (Please type or print)  Name:	):	Name and Title of Person Approvi (Please type or print)  Name & Title:	ng this F	Report:	
Signature:		Signature:			
Date:		Date:			

Part	I - MANAGEMENT REQUIREMENTS/GENERAL OPERATIONS		
		Υ	N
1-1.	Does the PBCA maintain a separate file for each Section 8 HAP contract?		
1-2.	Is the PBCA's TDDY number posted in a visible location and operational?		
1-3.	Does the PBCA maintain telephone service during normal business hours?		
1-4.	Is the required EEO notice posted in a visible location?		
1-5.	What is the procedure used by the PBCA to notify staff of changes to HUD policies and	procedu	res?
1-6.	Describe the PBCA's staff training policy		
1-7.	Are the PBCA's operating procedures for Section 8 Contract Administration documented?		
1-8.	Does the PBCA have a written protocol for communication between the CAOM, owner/agent and HUD staff?		
СОМ	MENTS:		
Dart	II- FINANCIAL MANAGEMENT		
lait	II- I INANCIAL MIANACLMENT	Υ	N
2-1.	a. Is there a signed and dated HUD-approved depository agreement between the	i i	
	PBCA and their depository financial institution?		
	(Reviewer to obtain document for verification)		
	b. If Yes, is the PBCA in compliance with the interest-bearing banking requirements?		
	What actions were taken if the PBCA was not in compliance. Please explain.		
2-2.	Does the PBCA have a separate account for administrative and HAP Fees?		
	(Reviewer to obtain document for verification)		
2-3.	Identify the staff name(s) and title(s) responsible for authorizing and disbursing funds.		
2-4.	Does the PBCA's fidelity bond provide coverage equal to or greater than one month's HAP? <i>(Reviewer to obtain document for verification)</i>		
2-5.	Identify staff members covered under the fidelity bond.	•	1
2-6.	What is the expiration date of the fidelity bond?		
2-7.	Is HUD listed as the loss payee on the fidelity bond?		
	MENTS:		
COIVI	WENTS.		
Part	III - CERTIFICATIONS		
		Υ	N
3-1.	Did the PBCA provide HUD with the current Conflict of Interest certification?		
2.2	Ware there any conflict of interest issues? If you what actions were taken by the		
3-2.	Were there any conflict of interest issues? If yes, what actions were taken by the PBCA to mitigate conflicts? Please explain.		
3-3.	In lieu of the Previous Participation Certification (HUD-2530), did the PBCA submit on		
	an annual basis, a list including all original board members and any new members not		
	previously approved with prior certifications?		
3-4.	Did the PBCA submit the required monthly certifications to HUD indicating staff		
	turnover occurring during the review period and identified training that was provided to		
	new staff members?		
3-5.	How does the DBCA address staffing turnover?		
	How does the PBCA address staffing turnover?  MENTS:		
CON	IVILIVIO.		

Part	IV - MANAGEMENT CAPABILITIES AND QUALITY CONTROL		
		Υ	N
4-1.	Describe the PBCA's quality control plan.		
4-2.	What activity is initiated to prevent potential fraud, waste and abuse of HAP funds? Plea	ase explair	٦.
4-3.	What actions does the PBCA take to preserve the portfolio and limit risk?		
4-4.	a. Has the PBCA incurred disincentives in the past year? If so, in what areas?		
	b. Have the deficiencies been corrected? What actions were taken? Please explain.		
COM	MENTS:		
Part	V - SYSTEMS		
		T	
		Υ	N
5-1.	Does the PBCA maintain a tracking system for all IBPS activities?	Y	N
5-1.	Does the PBCA maintain a tracking system for all IBPS activities?  (Reviewer to obtain a copy of the examples of routine reports generated by the	Y	N
5-1.	Does the PBCA maintain a tracking system for all IBPS activities?  (Reviewer to obtain a copy of the examples of routine reports generated by the tracking system(s) for documentation)	Y	N
5-1. 5-2.	Does the PBCA maintain a tracking system for all IBPS activities?  (Reviewer to obtain a copy of the examples of routine reports generated by the	Y	N
	Does the PBCA maintain a tracking system for all IBPS activities?  (Reviewer to obtain a copy of the examples of routine reports generated by the tracking system(s) for documentation)		
5-2.	Does the PBCA maintain a tracking system for all IBPS activities?  (Reviewer to obtain a copy of the examples of routine reports generated by the tracking system(s) for documentation)  What procedures are in place to assure the security of data systems?		
5-2. 5-3. 5-4.	Does the PBCA maintain a tracking system for all IBPS activities?  (Reviewer to obtain a copy of the examples of routine reports generated by the tracking system(s) for documentation)  What procedures are in place to assure the security of data systems?  What procedures are in place to assure the security of records and documents pertaining		
5-2. 5-3. 5-4.	Does the PBCA maintain a tracking system for all IBPS activities?  (Reviewer to obtain a copy of the examples of routine reports generated by the tracking system(s) for documentation)  What procedures are in place to assure the security of data systems?  What procedures are in place to assure the security of records and documents pertaining that are the procedures for terminating systems access of departing staff members?		
5-2. 5-3. 5-4.	Does the PBCA maintain a tracking system for all IBPS activities?  (Reviewer to obtain a copy of the examples of routine reports generated by the tracking system(s) for documentation)  What procedures are in place to assure the security of data systems?  What procedures are in place to assure the security of records and documents pertaining that are the procedures for terminating systems access of departing staff members?		

### **GENERAL COMMENTS:**

**RESERVED** 

Describe any "Best Practices" the PBCA has implemented during the past year that will improve the Performance Based Contract Administration Program. In addition, describe any other areas that the PBCA is excelling in, innovations, initiatives, etc. Please provide a copy, if applicable.

### PERFORMANCE OF PB-ACC Incentive Based Performance Standard (IBPS)

Utilization of this section consists of reviews pertaining to specific Section 8 HAP contract records/ files with the exception of IBPS 12, 13 & 15 which pertain to PHA specific operations under the ACC. Please provide explanations for any "NO" responses.

### 1. IBPS #1 - Management & Occupancy Review (MOR)

PROPERTY NAME:

**SECTION 8 CONTRACT #:** 

REVIEWED BY: DATE OF REVIEW:

		Υ	N
1-1.	Did the PBCA provide the owner with at least 2 weeks notice in writing of upcoming MOR?		
	a. Date of notification:		
	b. Date MOR Scheduled:		
1-2.	Was the required number of tenant files reviewed per the PB-ACC requirements?		
1-3.	Was the tenant file review check sheet (Addendum A) completed?		
1-4.	Is the current version of the MOR form (HUD-9834) fully completed?		
1-5.	Does the HUD-9834 properly reflect/coincide with the summary sheet?		
1-6.	Did the PBCA review the owner's lease to ensure compliance with HUD requirements?		
1-7.	Was the MOR report dated and mailed to the owner within 30 days of the review?		
	a. Date MOR performed:		
	b. Date MOR issued to owner:		
1-8.	Did the transmittal letter to the owner detail the appeal procedures according to HUD		
	Handbook 4350.1 REV-1, Chapter 6?		
1-9.	Does the record contain work papers or notes to support any findings or observations in the		
	following areas?		
	General Appearance and Security		
	Follow-up and Monitoring of Project Inspections		
	Maintenance and Standard Operating Procedures		
	Leasing and Occupancy		IШ
	Tenant/Management Relations		
	General Management Practices		$  \sqcup  $
1-10.	Does the file document additional efforts when the owner has not complied?	$\dagger \Box$	$\Box$
1-11.	a. Were all MOR findings corrected?		
	b. If MOR findings remain open, what action is the PBCA taking to close the findings?		.1
1-12.	Date of MOR close-out letter:		
1-13.	Did the PBCA receive an appeal of the MOR rating?		
1-14.	If an appeal was received, did the PBCA analyze the owner's explanation/request and		
	provide a written notification of the decision (or any adjustments) with supporting		
	documentation in accordance with HUD Handbook 4350.1 REV-1?		
1-15.	Did the PBCA make all required entries in iREMS? If no, please explain.		
Comm	ents:		
2011111			
Porfor	mance: Acceptable Deficient		
1 61101	mance. 🔛 Acceptable 🔛 Dencicit		

# 2- IBPS # 2 - Civil Rights Compliance PROPERTY: NAME:

**SECTION 8 CONTRACT #:** 

**DATE OF REVIEW: REVIEWED BY:** 

		Υ	N
2-1.	Did the PBCA complete the FHEO Checklist: On-Site Limited Monitoring and		
	Section 504 reviews (Addendum B) of the HUD-9834?		
2-2.	Is the PBCA using the current version of Addendum B?		
2-3.	a. Did the PBCA obtain the completed Part A of Addendum B from the owner/agent?		
	b. If Yes, upon completion of the MOR, did the PBCA input information included on		
	Part A of Addendum B into the applicable iREMS screen?		
2-4.	Did the PBCA forward the completed Addendum B to the local Multifamily Housing		
	HUD Office within 30 days of completion of the review?		
2-5.	Did the PBCA make all required entries in iREMS? If no, please explain.		
Comr	ments:		
Perfo	ormance:		

### 3- IBPS # 3 - Rental Adjustments

PROPERTY NAME:

**SECTION 8 CONTRACT #:** 

REVIEWED BY: DATE OF REVIEW:

		Υ	N
3-1.	a. Identify the type of rental adjustment requested:  AAF Budget-based OCAF Special		
	b. Was the type of rent adjustment appropriate for the property type?		
3-2.	If a Rent Comparability Study (RCS) was completed, was it prepared by a qualified appraiser in accordance with Chapter 9, Section 9-8 of the Section 8 Renewal Guide?		
3-3.	a. When was the complete rental adjustment package received?		
	b. For any incomplete rental adjustment package, has the PBCA requested information in accordance with HUD Handbook 4350.1 REV-1?		
3-4.	Did the PBCA process the rental adjustment within 30 days?		
3-5.	Was the correct rental adjustment applied?		
3-6.	Was the rental adjustment calculated correctly based on the type of rental adjustment requested?		
3-7.	Did the PBCA provide written notification to the owner upon completion of the rent increase adjustment in accordance with HUD Handbook 4350.1 REV-1, Chapter 7, and Section 7-36?		
3-8.	If an appeal was received, did the PBCA analyze the owner's request and provide a written notification of the decision within 30 days?		
3-9.	Did the PBCA analyze the Utility Allowance schedule, if applicable?		
3-10.	Did the PBCA obtain a new Rent Schedule (HUD-92458) from the owner?  a. Was it complete?  b. If not complete, when did the PBCA return the Rent Schedule for correction?		
3-11.	When was the Rent Schedule forwarded to the appropriate HUD Office?		1
3-12.	If the rental adjustment was an increase of more than 5%, did the PBCA complete the processing within 30 days of receipt from the owner and was it forwarded to the HUD office for approval?		
3-13.	Did the PBCA analyze adjustments to the monthly Reserve for Replacement deposit and recommend action to HUD, if applicable?		
3-14.	What is the owner notification process of an increase/decrease to the monthly deposit to the Reserve for Replacement account?		
3-15.	Did the PBCA make all required entries in iREMS? If no, please explain.		
Comm	ients:		

### 4/5- IBPS # 4/5 - Section 8 Contract Opt-Out and Termination

PROPERTY NAME:

**SECTION 8 CONTRACT #** 

REVIEWED BY: DATE OF REVIEW:

		Y	N	
	OPT-OUTS:			
4/5-1.	Did the PBCA ensure that the owner/agent properly notified the residents and the PBCA at least one year in advance of the contract's expiration?			
4/5-2.	If the owner is opting-out of the HAP contract, does the PBCA have the 120-day letter of intent to opt-out from the owner/agent on file?			
4/5-3.	Did the PBCA notify HUD by the close of the next business day of the owner's intent to opt-out of the HAP contract?			
	TERMINATIONS:			
4/5-4.	Did the PBCA recommend termination of the Section 8 Contract for cause or default?			
4/5-5.	Was the HUD Office notified by the close of the next business day of the PBCA's recommendation to terminate the contract?			
4/5-6.	Did the file contain HUD's response of approval or disapproval to terminate the HAP contract?			
	OPT-OUTS AND TERMINATIONS:			
4/5-7.	Did the PBCA submit current resident data to HUD within the required timeframe? If no, please explain.			
4/5-8.	Did the PBCA coordinate efforts with the jurisdictional HUD office to identify a PHA to administer tenant-based vouchers?			
4/5-9.	Explain the efforts by the PBCA to assist residents in their transition from receiving provouchers to tenant-based vouchers that the PHA will administer.	oject-ba	ased	
Comme	Comments:			
Perform	Performance:			

### 6- IBPS # 6 - Section 8 Vouchers

PROPERTY NAME:

**SECTION 8 CONTRACT #:** 

REVIEWED BY: DATE OF REVIEW:

		Υ	N
6-1.	Did the PBCA verify that the owner is in compliance with the TRACS compliance percentage for tenant submissions to TRACS for the ACR period under review?		
6-2.	Did the PBCA verify the accuracy of all 50059 certifications in TRACS?		
0-2.	(Reviewer to obtain a copy of reports available from the tracking mechanism used by	Ш	
	the PBCA)		
6-3.	Does the owner's voucher accurately reflect the number of units in the Section 8 HAP?		
6-4.	Does the PBCA maintain a tracking system to document that HAP payments were made timely to the owner? ( <i>Review documentation</i> )		
6-5.	Do the PBCA records document the reason for any late payments? Please explain.		
6-6.	a. Did the PBCA withhold entire subsidy on any unit(s)?		
	b. If yes, did the PBCA notify the owner in writing why the subsidy was withheld?		
6-7.	Did the PBCA make all necessary adjustments when/if the subsidy was re-instated?		
6-8.	a. Were abated units included in the owner's voucher request?		
	b. If yes, did the PBCA make the necessary adjustments to remove the subsidy requested?		
6-9.	a. Did the PBCA make corrections/adjustments to the owner's voucher request?		
	b. If yes, did the PBCA notify the owner of any corrections made as a result of their voucher review?		
SPECI	AL CLAIMS (Please choose 1-3 files that had special claims processed during the review	v peri	od)
6-10.	Does the PBCA maintain a tracking log for all special claims with a tracking number and type?		
6-11.	Did the PBCA process and approve the special claims correctly?		
6-12.	Did the PBCA analyze, verify and approve or disapprove owner special claims in accordance with HUD regulations and other requirements?		
6-13.	Did the PBCA enter data into a spreadsheet or other methodology for monitoring payments in accordance with HUD standards and requirements?		
6-14.	Did the PBCA return the approved claim to the owner for submission with the owner voucher?		
6-15.	Did the PBCA review and return the special claim to the owner within <i>30</i> days?  a. Date special claim received by the PBCA:  b. Date claim sent to the owner:		
Comm			
Perfor	mance: Acceptable Deficient		

### 7 - IBPS #7 - Notice of Corrective Actions

**PROPERTY NAME:** 

**SECTION 8 CONTRACT #:** 

**REVIEWED BY:** DATE OF REVIEW: Υ Ν 7-1. Were there any overpayments to an owner during the performance period? If so, how many? 7-2. Were there any underpayments to an owner during the performance period? If so, how many? Did the PBCA notify HUD in writing (e.g. fax, email) within 10 calendar days after 7-3. determination that the PBCA either overpaid or underpaid an owner? Did the PBCA implement the corrective action to resolve the error within 30 days after 7-4. determination of the discrepancy? 7-5. Are corrective actions tracked by the PBCA? Comments:

## 9 - IBPS # 9 - Life-Threatening Health & Safety Issues

PROPERTY NAME:

**SECTION 8 CONTRACT #:** 

REVIEWED BY: DATE OF REVIEW:

		Υ	N
9-1.	Has the PBCA received notice of life-threatening health and safety issues? If yes, please complete 9-2 thru 9-7.		
9-2.	Was the notification appropriately categorized in the PBCA's tracking log as life-threatening?		
9-3.	Did the PBCA enter the notification into a tracking system? If yes, please complete the following: Date:  Time:		
9-4.	Did the PBCA contact the owner/agent within one hour of receiving notice of the life-threatening health and safety issue or before close of business day, whichever is sooner?  If yes, please complete the following: Date:  Time:		
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9-5.	Did the PBCA notify the owner/agent of concerns and ensure that appropriate corrective actions were implemented?		
9-6.	Did the PBCA follow-up until a resolution was reached?		
9-7.	Did the PBCA make all required entries in iREMS? If no, please explain.		
Comr	nents:		
Overa	all Rating:   Acceptable   Deficient		

### 10 - IBPS #10 - Non-Life Threatening Health & Safety Issues

PROPERTY NAME:

**SECTION 8 CONTRACT #:** 

REVIEWED BY: DATE OF REVIEW:

	Y	N
10-1. Has the PBCA received notice of non-life threatening health and safety issues? If yes, please complete 10-2 thru 10-6.		
10-2. Was the notification appropriately categorized in the PBCA's tracking log as non-life threatening?		
10-3. Did the PBCA enter the notification into a tracking system?  If yes, please complete the following: Date:  Time:		
10-4. Did the PBCA contact the owner/agent within two business days?  If yes, please complete the following: Date: Time:		
10-5. Did the PBCA determine corrective action and follow-up every two weeks until a resolution was reached?		
10-6. Did the PBCA make all required entries in iREMS? If no, please explain.		
Comments:		
Overall Rating:		

### 12 -IBPS # 12 - Annual Interest Earned Certification\*

\*NOTE: The remittance of the interest earned certification is required annually and replaces the year-end statement, IBPS 12, as set forth in the PB-ACC. (Reference May 11, 2007 Memorandum from Lanier Hylton, Director, Office of Housing Assistance Contract Administration Oversight)

REVIEWED BY: DATE OF REVIEW:			
		Υ	N
12-1.	Did the PBCA submit the Annual Interest Earned Certification, Attachment C, and any required supporting documentation, certifying to interest earned on HAP funds within 45 days from the end of the PBCA's Fiscal Year End (FYE)?		
12-2.	Submission of Attachment C to HUD is also required for a "negative report" when the PBCA does not have any interest to remit to HUD. Was a "negative report" submitted to HUD?		
Comm	ents:		
Overa	I Rating: ☐ Acceptable ☐ Deficient		

13 -IBPS #13 - Public Housing Agency Audit REVIEWED BY:

REVIEWED BY: DATE OF REVIEW:			
		Υ	N
13-1.	If the PBCA is required to comply with OMB Circular A-133, did they submit an unaudited statement within 60 days after its FYE and an audited statement within 9 months after its FYE?		
13-2.	If the PBCA is not required to comply with OMB Circular A-133, did they submit an unaudited statement within 60 days after its FYE?		
13-3.	Did the PBCA's performance meet acceptable quality and quantity levels as stated in the performance requirements summary of the ACC? If not, please provide details.		
13-4.	Document any outstanding and/or significant audit findings related to the PB-ACC.		
Comm	ents:		
Overall Rating:   Acceptable   Deficient			

### 14 - IBPS #14 - Renewal of Expiring Section 8 Contracts

PROPERTY NAME:

**SECTION 8 CONTRACT #:** 

REVIEWED BY: DATE OF REVIEW:

		Y	N
14-1.	Are copies of the owner's one-year notice of contract expiration to residents		
	maintained in the PBCA records?		
14-2.	What is the PBCA's process for notifying the owner of the upcoming contract		
	renewal of the expiring contract?		
14-3.	Did the owner submit the completed contract renewal package within the 120-day		
	time frame?		
	If not, what steps did the PBCA take to obtain a completed contract renewal		
	package?	_	
14-4.	Did the PBCA verify the owner's eligibility for the appropriate contract renewal option?		
14-5.	If an RCS was completed, was it prepared by a qualified appraiser in accordance		
	with Chapter 9, Section 9-8 of the Section 8 Renewal Guide, "Appraiser's		
	Qualifications"?		
14-6.	Did the PBCA follow the RCS review process as stated in Section 9-17 of the		
	Section 8 Renewal Guide?		
14-7.	Did the PBCA analyze adjustments to the monthly Reserve for Replacement		
	deposit and recommend action to HUD, if applicable?		
14-8.	What is the owner notification process of an increase/decrease to the monthly		L
	deposit to the Reserve for Replacement account by the PBCA?		
14-9.	Was the contract renewed by the contract expiration date?		
	If not, please explain why?		
14-10.	Does the PBCA distribute copies of the executed HAP contract to the owner within		
	one (1) business week of receipt from HUD?		
14-11.	If a rental adjustment was requested as part of a contract renewal, were the rents		
	calculated correctly?		
14-12.	Does the PBCA maintain a copy of the executed HAP contract in its records?		
14-13.	Did the PBCA verify that the correct rents are in iREMS?		
14-14.	Does the Rent Schedule correspond with the rents in iREMS?		
14-15.	Did the PBCA make all required entries in iREMS? If no, please explain.		
Comme	ents:		
Overall Rating:			

15 - IBPS # 15 - General Reporting REVIEWED BY:

REVIEWED BY: DATE OF REVIEW:			
		Υ	N
15-1.	Did the PBCA submit an Annual Report to HUD within 20 business days after the PB-ACC year end?		
15-2.	Did the PBCA submit an acceptable Work Plan for the upcoming year within 20 business days after the PB-ACC year end?		
15-3.	Are the monthly reports submitted to HUD on the 10 <sup>th</sup> business day of the month for prior months work?		
15-4.	Do the monthly reports contain the required information as stated in the PB-ACC and Guidebook for Section 8 Contract Administrators Initiative (PBCA Guidebook)?		
15-5.	Were the required number of reports submitted timely?		
Comm	ents:		
Overall Rating:   Acceptable   Deficient			

### 16 -IBPS #16 - Monitoring Physical Inspection Results

PROPERTY NAME:

**SECTION 8 CONTRACT #:** 

REVIEWED BY: DATE OF REVIEW:

		Υ	N
16-1.	When was the last REAC physical inspection completed on this property?		
16-2.	Were EH&S deficiencies noted?		
16-3.	If EH&S deficiencies were noted, did the PBCA notify the owner upon receipt of event notification in iREMS?		
16-4.	Did the PBCA follow-up by sending a letter to the owner by fax or mail confirming owner's awareness of the EH&S deficiencies and the need for corrective action?		
16-5.	Did the PBCA follow-up with owner on the EH&S issues within 3 business days to verify corrections?		
16-6.	a. Did the PBCA receive the owner certification letter that all EH&S deficiencies were corrected?		
	b. If no, did the PBCA make further attempts to obtain owner compliance?		
16-7.	What actions did the PBCA recommend to the HUD Office as a result of the owner's n	on-compl	iance?
16-8.	Does the PBCA record contain HUD's response?		
16-9.	Did the PBCA make all required entries in iREMS? If no, please explain.		
Comments:			
Overall Rating:			

Additional Comments/Concerns: