

TENANT FILE DOCUMENTATION

(03/2020)

Tenant file records are critical pieces of source documentation used as evidence to support determinations and conclusions in all areas of occupancy. Tenant file records must be complete and contain all information and forms relevant to occupancy at the property.

REQUIRED DOCUMENTS - RECOMMENDED ORDER

LEFT SIDE OF FILE:

Original (Initial) Move-in Information

TOP

Section #1:

- Executed form HUD 50059 *and* **EIV Income Report 90 days after Move-in.**
- Consent Forms: HUD-9887 & HUD-9887-A (all household members 18 or over)
- Student Status Certification and/or Verification (*if applicable*),
- Third-party verifications, *including documentation*, in the following order:
 - Affidavit of Income and Expenses (*if applicable*), if the household claims no recurring source of income, applicable 3rd party verifications should be included and documentation regarding any Hardship Exemption.
 - Income; Assets; Deductions
- Disposition of Assets.
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Section #2:

- Application (must include date & time received)
- **Form HUD-92006, Supplement to Application for Federally Assisted Housing**
- **EIV Existing Tenant Search**
- Owners Notice #1, Section 514 Citizenship (Exhibit 3-3)
- Family Summary Sheet (Exhibit 3-4)
- Citizenship Declaration (Exhibit 3-5) & applicable documents (all household members)
- Verification Consent Form (*non-citizen family members only*) (Exhibit 3-6)
- Race and Ethnic Data Reporting Form for All Household Members (HUD-27061-H)
- Social Security Number Verification for All Household Members (copy of SS card/EIV Summary Report)
- Other eligibility verification documents such as: Criminal, credit, landlord, person with disabilities, elderly, live-in aide, assistance animal, etc.
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Section #3:

- Lease, **including all attachments** (Current *and* Original),
- Move-in Inspection,
- House Rules,
- VAWA Lease Addendum Form HUD-91067,
- Lead-based Paint Disclosure (*if applicable*),
- Pet Addendum and Pet or Assistance Animal Paperwork (*if applicable*),
- Live-in Aide Addendum (*if applicable*),
- Initial Recertification Notice (annually),
- Annual Acknowledgment of Head of Household's receipt of:
 - Resident Rights and Responsibilities Brochure, form HUD 9887/9887-A Fact Sheet, the Fact Sheet for HUD Assisted Residents – Project Based Section 8 (Appendix 14), form HUD-1141 "Is Fraud Worth It?" and "EIV and You" brochure
- Security Deposit and/or Pet Deposit Receipts,

BOTTOM

RIGHT SIDE OF FILE: *This side of the file applies to tenants who have had a re-certification completed.* Annual Recertification, Interim Recertifications and/or corrections to prior 50059's should be maintained in chronological order with the current certification and supporting documents on top. Please ensure all documents contain required signatures and dates and put a *Colored Paper Divider* between each certification. Each certification should be in the following order:

TOP

Section #1: CURRENT Year Recertification

- Executed form HUD 50059,
- Recertification Interview/Verification Record (Exhibit 7-5, not mandatory),
- Tenant Recertification Paperwork, (completed by the tenant, not mandatory),
- Consent Forms: HUD-9887 and HUD-9887-A (all household members 18 or over)
- Student Status Certification and/or Verification (*if applicable*),
- EIV Income Report
- Third-party verifications, *including documentation*, in the following order:
 - Affidavit of Income and Expenses (if applicable), if the household claims no recurring source of income, applicable 3rd party verifications should be included and documentation regarding any Hardship Exemption.
 - Income, Assets, and Deductions
- Disposition of Assets,
- Annual Acknowledgment of Head of Household's receipt of:
 - Resident Rights and Responsibilities Brochure, form HUD 9887/9887-A Fact Sheet, the Fact Sheet for HUD Assisted Residents – Project Based Section 8 (Appendix 14), form HUD-1141 "Is Fraud Worth It?" and "EIV and You" brochure
- Recertification notices,
 - Initial Notice (Annually), First Notice (120 day), and Second and Third Notices (if applicable).

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Section #2: PRIOR Year Recertification #1

- Same order as the Recertification Information noted above.

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Section #3: PRIOR Year Recertification #2

- Same order as the Recertification Information noted above.

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Section #4:

- EIV Income Discrepancy reports and any documentation to support EIV Income Discrepancy resolutions; including repayment amounts and dates collected.

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Section #5:

- Late Rent Notices and Payment/Repayment Plans and all associated documents (including payment amounts and dates collected)

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Section #6:

- Correspondence with the tenant(s).

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Section #7:

- Annual Inspections

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NOTE: The "Original Move-in File" is to be retained as is on the left side of the file; it is not considered a "Prior Year" regarding long-term record retention. Recertification information regarding prior years three and older can be rotated out; please refer to paragraph "C. Long-Term Tenant Files" below.

RETENTION OF DOCUMENTS - TENANT FILES

Other Files That Need to Be Maintained

A. Move-Out Files:

The current tenant file information, original move-in information, and prior two recertifications will become the move-out file when tenant vacates. In addition to the above items, move-out files must contain:

1. Copy of the intent to vacate notice received from the tenant (if not received note to file accordingly).
2. Move-out inspection report (if resident not present/refuses to participate note to file accordingly).
3. Copy of the security deposit disposition notice provided to the tenant.
4. Documents supporting retaining all or a portion of the security deposit.
5. Special claims and supporting documentation (if applicable).
6. After the tenant has moved-out you need to retain their entire file for three full calendar years.
7. Move-out files can be maintained in a separate master file and made available during on-site Reviews.

B. Application Reject Files:

1. Application.
2. Documentation supporting the reason(s) for rejection, such as screening information from previous landlords, personal references, credit reports, criminal activity, failure to declare citizenship or provide social security numbers, and refusal to sign consent forms.
3. Copy of the written notice of rejection sent to the applicant.
4. Any information, letters and documentation regarding appeals by applicants.
5. Final disposition regarding any appeal.
6. After final disposition has occurred retain the information (file) for three full calendar years.
7. Application rejection files can be maintained in a separate master file and made available during on-site Reviews.

C. Long-Term Tenant Files:

1. Affects those tenants who are in residency more than three years.
2. When the Prior year #2, as noted above in Recertification Information, Section #5, becomes the Prior #3 it can be rotated out and placed into long-term file storage.

Please reference HUD Handbook 4350.3 REV-1, paragraph 5-23, page 5-64, **Record-Keeping Procedures** for additional information.