



**MaineHousing**  
MAINE STATE HOUSING AUTHORITY

## EIV Monitoring Checklist

<b>Project Name:</b>		<b>Project Number:</b>	
<b>Management Company:</b>		<b>Asset Manager:</b>	

The following questions should be answered during the M&O review through document review and conducting an interview with O/A. Obtaining copies of CAAF forms or EIV Owner Approval letters not recommended or required by HUD. Contract Administrators have access to tenant files and EIV data and are named on the form HUD-9887, Notice and Consent for the Release of Information.

**Disclaimer:** This is an internal form to assist the CA with completing Management and Occupancy Reviews. It does not include all requirements as listed in the HUD Handbook 4350.3 Rev-1 Change 4 or pursuant to 24 CFR Part 5 and 908: Refinement of Income and Rent Determination Requirements in Public and Assisted Housing Programs: Implementation of the Enterprise Income Verification System - Final Rule effective March 12, 2013 and Notice H-2013-06.

Place an "X" in the applicable box. Provide comments to document circumstances as needed.	Yes	No	NA
<p>1. <b>Question E.17b:</b> Does the EIV Coordinator have owner approval letter(s) authorizing access to EIV? <b>Comments:</b> (Please identify staff by name and EIV Coordinator number)</p>			
<p>2. <b>Question E.17c:</b> Does the O/A and/or EIV Coordinator have:</p> <p>An initial and currently approved EIV Coordinator Access Authorization Form (CAAF) on file for each person designated by the owner as an EIV Coordinator?</p> <p>An initial and currently approved EIV User Access Authorization Form (UAAF) on file for each person designated by the EIV Coordinator as an EIV User? <b>(Please identify staff User(s) by name and EIV User number)</b></p> <p>Signed copies of the EIV Rules of Behavior for individuals without access to the EIV system, who use EIV reports and/or data to perform their job functions? <b>(Please name staff who have signed Rules of Behavior and date document signed)</b></p> <p><b>Comments:</b></p>			
<p>3. <b>Question E.17d:</b> Is there evidence that staff with access to the EIV system, or to the EIV reports, take annual security awareness training? <b>(Copy of a Certificate of Completion should be reviewed to determine compliance. The security awareness training is completed online through Federal ISS Awareness training program.) (Please identify staff who have completed Security Awareness Training)</b></p> <p><b>Comments:</b></p>			
<p>4. <b>Question E.17e:</b> Does the O/A have security measures in place to limit access to EIV information and reports to only those persons who have proper authorization? Ex. Does O/A have a designated Security Office or Equivalent and Does the O/A have a Security Policies and Procedures Document?</p> <p><b>Comments:</b></p>			

Place an "X" in the applicable box. Provide comments to document circumstances as needed.	Yes	No	NA
5. <b>Question E.17f:</b> Does the O/A have a procedure to review all EIV User IDs to periodically determine if the users still have a valid need to access EIV data? <b>Comments:</b>			
6. Question E.17g: Have any EIV users access been terminated since the last management review? <b>If yes, who:</b> _____ <b>How many days to terminate their access:</b> _____ <b>days</b>			
7. <b>Question E.17h:</b> Does the O/A have a procedure to document and report the occurrence of all improper disclosures of EIV data? <b>Comments:</b>			
8. <b>Question E.17h continued:</b> Have any improper disclosures of EIV data been reported since the last management review? <b>Comments:</b>			
9. <b>Question E.17i:</b> Does the O/A have a procedure to report any occurrence of unauthorized EIV access or security breach to the HUD National Help Desk? ( <a href="mailto:mf_eiv@hud.gov">mf_eiv@hud.gov</a> or 800-767-7588) <b>Comments:</b>			
10. <b>Question E.17i continued:</b> Have any occurrences of unauthorized EIV access or security breaches occurred since the last management review? <b>Comments:</b>			
11. <b>Question E.17j:</b> Is there any evidence that the O/A or any of their employees are sharing IDs and passwords? <b>Comments:</b>			
12. <b>Question E.17k:</b> Has EIV data been improperly shared with other entities? <input type="checkbox"/> Yes <input type="checkbox"/> No If yes, please list date(s) and other entities: _____			
13. <b>Question E.17l:</b> Does the O/A keep in the tenant file the Tenant Consent for Disclosure of EIV Information, signed by the tenant and a third party, when a third party assists in the re-certification process? <b>Comments:</b>			
14. <b>Question E.18a:</b> Does the O/A have policies and procedures describing the use of EIV employment and income information and the EIV reports? If yes, do they comply with HUD's usage requirements? <b>Comments:</b>			
15. <b>Question E.18b:</b> Is the O/A using the following EIV reports, and taking <b>appropriate action</b> to correct discrepant data in TRACS, and/or to reduce improper subsidy payments, and where applicable, <b>retaining documentation to support the action(s)</b> ? Refer to 4350.3 <a href="#">Exhibit 9-5</a> Use of EIV Reports			
Existing Tenant Search (all household members) (at the time of processing an applicant for admission)			
Summary Report & Income Report (within 90 days of submission of MI to TRACS, recertification, and interim)			
No Income Reports – A. on 50059 and B. HUD or SSA (as identified in O/A's policies and procedures)			
Failed EIV Pre-Screening Report (monthly)			
Failed Verification SSA identity test (monthly)			
New Hires Report (at least quarterly)			
Income Discrepancy Report (recertification and interim)			
Multiple Subsidy Report (at least quarterly)			

Deceased Tenant Report (at least quarterly)			
<p>16. <b>Question E.22 dx:</b> Are repayment agreements in accordance with HUD requirements?            Tenant and owner must both agree on the terms, Tenant's mo. payment cannot exceed 40% of family's adjusted income. Repayment agreements must include the following:</p> <ol style="list-style-type: none"> <li>1. Repayment time period, total retroactive rent amount owed, initial lump sum paid if applicable &amp; monthly payment amount;</li> <li>2. The paragraph in the lease whereby the tenant is in noncompliance and may be subject to termination;</li> <li>3. Contain a clause allowing renegotiation if income changes \$200/month;</li> <li>4. Include a statement the repayment is in addition to the monthly rent amount payable to the owner;</li> <li>5. Late and missed payments constitute default and may result in termination of assistance or tenancy;</li> <li>6. Be signed and dated by tenant and owner.</li> </ol>			

Revised: 7/2021