

5) The lease agreement used for each unit was the same lease as was originally put into effect at the start of the property. It includes all provisions required by the PHFA Multifamily Housing Management Programs Property Operations Manual and includes all required provisions and does not include prohibited provisions.

YES NO NA **If NO or NA, please explain:**

6) The Resident Grievance Procedure was in effect throughout the entire year.

YES NO **If NO, please explain:**

7) For CHDOs only: The project has maintained a Resident Participation Program which has participated in the management of the project.

YES NO NA **If NO or NA, please explain:**

8) For the projects comprised of buildings (or any part of a building) originally constructed or built prior to 1978, a new federal regulation (24 CFR Part 35) governing lead-based paint will be applicable. (Implementation dates for these new regulations may vary from jurisdiction to jurisdiction and based on program participation.) If applicable, Owner must have a clearance certification (performed by a qualified entity under the regulations) for (1) each unit occupied by a resident household with a child under the age of six receiving tenant-based rental assistance or (2) any project available for general occupancy receiving federally funded project-based rental assistance. The project is fully compliant with any applicable requirements of 24 CFR Part 35.

YES NO NA

If applicable, provide evidence that tenant file includes copy of any clearance certifications.

9) a. An up-to-date Affirmative Fair Housing Marketing Plan is in the property files, and a copy of this AFHMP has been submitted to PHFA.

YES NO

b. This plan has been reviewed by the owner and the affirmative marketing requirements have been met.

YES NO

c. If the affirmative marketing requirements have not been met, the owner has attached a plan of corrective action to meet the requirements.

YES NO NA **If NO or NA, please explain:**

d. If accessible units are vacant or are not filled with residents needing the features, outreach and marketing efforts are made to appropriate organizations serving persons with disabilities. A record of these outreach efforts are kept at the site for review.

YES NO NA **If NO or NA, please explain:**

10) The Equal Housing Opportunity slogan, logo, or statement was used in all advertisements, public service announcements, press releases, and information mailings.

YES NO **If NO, please explain:**

11) The owner permitted residents to make reasonable accommodations/modifications to the units.

YES NO NA **If NO or NA, please explain:**

*12) Was one of the following methods used to outreach low income residents for property related employment and contracting opportunities?

YES NO

- Attempt to recruit low-income residents through: local advertising media, signs prominently displayed at the property site, contacts with community organizations and public or private agencies operating within the metropolitan area (or non-metropolitan county) in which the property is located, or similar methods.
- Participation in a HUD program or other programs which promotes the training or employment of low-income residents.
- Participation in a HUD program or other programs that promote the award of contracts to business concerns, which meet the definition of Section 3 business concerns.
- Coordination with Youthbuild Programs administered in the metropolitan area in which the property is located.
- Other (Please explain) _____

If NO, please explain:

*13) a. An Affirmative Action Plan has been drafted and is maintained in the property records, along with all of the following records that support this Plan:

- Applicants for employment by race, color, religion, sex, national origin, ancestry, age, disability, familial status, and sources of applicants, e.g., response to vacancy announcement, word-of-mouth, advertising in journals, etc.
- Test scores and rankings on employment eligibility lists by race, color, religion, sex, national origin, ancestry, age, and disability, familial status.
- Employees (existing and new) hired by race, color, religion, sex, national origin, ancestry, age, and disability, familial status.
- Initial placement of employee after hire, office/location to which the employee was assigned, and position by race, color, religion, sex, national origin, ancestry, age, and disability, familial status.
- Employee transfers and promotions by race, color, religion, sex, national origin, ancestry, age, and disability, familial status; position and office/location from which transferred or promoted; and position and office/location to which transferred or promoted.
- Voluntary and involuntary employment terminations by race, color, religion, sex, national origin, ancestry, age, and disability, familial status; type of termination and reason.

YES NO NA **If NO or NA, please explain:**

b. The Affirmative Action Officer (AAO) has reviewed all of the above records to assure compliance with all aspects of the Plan. The AAO has prepared an annual report to all supervisory and managerial personnel of the property owner who have responsibilities under the Plan. The EEO Director, AAO, or other appropriate person will seek explanations for the deficiencies and offer assistance in overcoming them where appropriate.

YES NO NA **If NO or NA, please explain:**

14) All vacant units for which there is no assigned applicant moving in are listed on the PAHousingSearch website and occupancy is updated monthly.

YES NO

THIS CERTIFICATION IS MADE UNDER PENALTY OF PERJURY. IF, AT ANY TIME, THE AGENCY DETERMINES THAT THE OWNER OF THE PROPERTY IS NOT IN COMPLIANCE WITH PennHOMES PROGRAM REQUIREMENTS AND LOAN CLOSING DOCUMENTS, THE AGENCY SHALL PURSUE ALL RIGHTS AND REMEDIES THAT THE AGENCY MAY HAVE PURSUANT TO THE LOAN DOCUMENTS OR AS PROVIDED BY LAW.

Ownership Entity: X _____

Ownership Entity Tax ID #: _____

Owner Signature: _____ Title: _____

Type/Print Name: _____

Phone: _____

Date: _____

****Properties receiving 1992-93 HOME funds from DCED through a local government lender and properties that receive HOME funds from Participating Jurisdictions. PHFA is not responsible for review of these items. This is the responsibility of the local government lenders. (Items 12 and 13.)***

Attachments:

Rent Schedule

Housing Services Report (if applicable)

Tenant Income Certs (TIC's)

PENNSYLVANIA HOUSING FINANCE AGENCY

OWNER'S CERTIFICATE OF CONTINUING PROGRAM COMPLIANCE

YEAR ENDING DECEMBER 31, _____

PROJECT NAME: _____

TAX CREDIT NUMBER: a/k/a
TC _____ - _____ REGION #: _____
TC _____ - _____

ADDRESS: _____ COUNTY: _____

___ No buildings have been Placed in Service.
___ At least one building has been Placed in Service, but owner elects to begin credit period in the following year.
If either of the above applies, please check the appropriate box and proceed to Page 5 to sign and date this form.

OCCUPANCY INFORMATION (As of December 31)

_____ Number of low-income units occupied.
_____ Number of low-income units vacant.
_____ Number of market rate units occupied.
_____ Number of market rate units vacant.
_____ TOTAL NUMBER OF UNITS

CERTIFICATION

The undersigned _____ on behalf of _____ (the "Owner"), hereby certifies that:

- 1) The project meets the minimum requirements of: (check one)
- 20-50 test under Section 42(g)(1)(A) of the Code.
 - 40-60 test under Section 42(g)(1)(B) of the Code.
 - 15-40 test for "deep rent-skewed" developments under Section 42(g)(4) and 142(d)(4)(B) of the Code.

- 2) There has been **no change in the applicable fraction** (as defined in Section 42(c)(1)(B) of the Code) for any building in the project:

___ **NO CHANGE** ___ **CHANGE**

If **CHANGE**, list the applicable fraction to be reported to the IRS for each building in the project for the certification year:

- 3) a. The owner has received Tenant Income Certification from each low-income resident and documentation to support the certification at their initial occupancy.

___ **YES** ___ **NO** ___ **NA** **If NO, please explain:**

- b. The owner has received an annual Tenant Income Certification from each low-income resident and documentation to support that annual recertification, or the owner has qualified for an exemption from recertification by 1) having a 100% LIHTC qualified property and 2) certifying that no units were occupied by nonqualified households. (Reference question 23)

___ **YES** ___ **NO** ___ **NA** **If NO, please explain:**

- 4) **Each low income unit in the project has been rent-restricted under Section 42(g)(2) of the Code:**

___ **YES** ___ **NO** **If NO, please explain:**

- 5) All low income units in the project are and have been for use by the general public and used on a non-transient basis (except for transitional housing for the homeless provided under Section 42(l)(3)(B)(iii) of

the Code):

YES **NO** **HOMELESS**

- 6) No finding of discrimination under the Fair Housing Act, 42 U.S.C. 3601-3619, has occurred for this project. A finding of discrimination includes an adverse final decision by the Secretary of Housing and Urban Development (HUD), 24 CFR 180.680, an adverse final decision by a substantially equivalent state or local fair housing agency, 42 U.S.C. 3616a(a)(1), or an adverse judgment from a federal court:

NO FINDING **FINDING** **If a FINDING, please explain:**

- (7) Each building in the project is and has been suitable for occupancy, taking into account local health, safety, and building codes (or other habitability standards), and the state or local government unit responsible for making building code inspections did not issue a report of a violation for any building or low-income unit in the project:

YES **NO**

If **NO**, state nature of violation and attach a copy of the violation report as required by Treasury Regulation 1.42-5 and any documentation of correction.

- 8) ***There has been no change in the eligible basis (as defined in Section 42(d) of the Code) of any building in the project since last certification submission:***

NO CHANGE **CHANGE**

If **CHANGE**, state nature of change (e.g., a common area has become commercial space, a fee is now charged for a tenant facility formerly provided without charge, or the project owner has received federal subsidies with respect to the project which had not been disclosed to the allocating authority in writing).

- 9) ***All tenant facilities included in the eligible basis under Section 42(d) of the Code of any building in the project, such as swimming pools, other recreational facilities, parking areas, washer/dryer hookups, and appliances, were provided on a comparable basis without charge to all tenants in the buildings:***

YES **NO** **If NO, please explain:**

- 10) If a low income unit in the project has been vacant during the year, reasonable attempts were or are being made to rent that unit or the next available unit of comparable or smaller size to tenants having a qualifying income before any units were or will be rented to tenants not having a qualifying income:

YES **NO** **If NO, please explain:**

- 11) If the income of tenants of a low-income unit in any building increased above the limit allowed in Section 42(g)(2)(D)(ii) of the Code, all available units of comparable or smaller size in that building were or will be rented to residents having a qualifying income:

YES **NO** **If NO, please explain:**

- 12) a. An extended low-income housing commitment as described in Section 42(h)(6) was in effect, including the requirement under Section 42(h)(6)(B)(iv) that an owner cannot refuse to lease a unit in the project to an applicant because the applicant holds a voucher or certificate of eligibility under Section 8 of the United States Housing Act of 1937, 42 U.S.C. 1437s.

YES **NO** **NA** **If NO or NA, please explain:**

- b. Owner has not refused to lease a unit to an applicant based solely on their status as a holder of a Section 8 voucher and the project otherwise meets the provisions, including any special provisions, as outlined in the extended low-income housing commitment (not applicable to buildings with tax

credits from years 1987-1989):

YES NO NA If NO or NA, please explain:

- 13) **The owner received its credit allocation from the portion of the state ceiling set-aside for a project involving "qualified nonprofit organizations" under Section 42(h)(5) of the Code and its nonprofit entity materially participated in the operation of the project within the meaning of Section 469(h) of the Code.**

YES NO NA If NO or NA, please explain:

- 14) There has been no change in the ownership or management of the project:

NO CHANGE CHANGE

If **CHANGE**, please identify current owner, phone number, address, email address and date of ownership transfer.

Current Owner: _____ Tax ID #: _____

Address: _____

Phone # _____ Email: _____

Date Ownership Transferred: _____

Current Management Agent: _____

Address: _____

Phone # _____ Email: _____

- 15) For buildings with four units or less: Are any of the units in the building occupied by the owner or a person related to the owner?

YES NO NA (Check NA only if building has more than 4 units.)

- 16) *For Properties Placed In Service prior to July 30, 2008:*
For this compliance period, was the project a recipient of a federal grant or other form of federal subsidy (that would cause a reduction in eligible basis)?

YES NO

If **YES**, state the type of subsidy and the amount and term of the subsidy.

- 17) Tax Credit Owner's Utility Certification.

I have obtained accurate utility allowances using one of the following methods: 1) PHA Utility Allowance, 2) Local Utility Company Estimate, 3) State Housing Credit Agency Estimate, 4) HUD Utility Schedule Model, or 5) Energy Consumption Model.

I acknowledge this process to be an annual requirement of the LIHTC Program and certify to the adherence to this requirement for this calendar year.

OR

All utilities are included in rent and are not paid separately by the tenant.

YES NO

- 18) All residents listed in the attached Rental Schedule are eligible under the provisions of Section 42 of the Code, as amended, and the Indenture for Restrictive Covenants.

YES NO NA If NO or NA, please explain:

- 19) **The project is fully compliant with all terms and provisions of the Restrictive Covenants Agreement.**

YES NO NA If NO or NA, please explain:

20) For projects that received an allocation of tax credits based upon a certification that a percentage of units will be set aside for specific selection or resident criteria or implementation of a supportive service program, specific conditions are set forth in the Indenture of Restrictive Covenants for Low Income Housing Tax Credits (the "Indenture"). **Owner should be familiar with the specific set asides set forth in the Indenture.**

a. The Owner is providing social supportive services or has established an internal rental subsidy to subsidize rents for tenants at or below ___ **50%** or ___ **20%** of the area median income with funds available from developer's fee.

___ **YES** ___ **NO** ___ **NA** **If NO, please explain:**

b. The Owner has provided significant funding and program support for lower income residents affected by life changes associated with preparing for and retaining employment.

___ **YES** ___ **NO** ___ **NA** **If NO, please explain:**

c. The Owner is providing supportive services pursuant to a certain supportive services plan submitted to the Agency in connection with the allocation of tax credits to tenants age 62 years and older, which allows them to maintain an independent lifestyle.

___ **YES** ___ **NO** ___ **NA** **If NO, please explain:**

d. The Owner has established a financially viable program with services in place to foster a conversion of the facility to homeownership at the end of the compliance period, and in the event units are not converted to homeownership at the end of the compliance period, all remaining rental units were rented to qualified low-income residents...

___ **YES** ___ **NO** ___ **NA** **If NO, please explain:**

e. The Owner has established an internal rental subsidy to subsidize rents for _____ units set aside as accessible housing to persons with disabilities from funds available for increased equity raised from additional developer's fee. The tenant's portion does not exceed the rent affordable to persons with income at or below 20 percent of the area median income.

___ **YES** ___ **NO** ___ **NA** **If NO, please explain:**

f. _____ units in the project have been set aside as accessible housing to persons with disabilities. The tenant's portion does not exceed the rent affordable to persons with income at or below 20 percent of the area median income.

___ **YES** ___ **NO** ___ **NA** **If NO, please explain:**

g. _____ *units in the project are available to persons who need accessible features of the units. During the first 30 days of rent-up, said units were available to such persons, and, thereafter, Owner has established a policy to allow the units to be occupied by persons who need the accessible feature to the greatest extent feasible and said policy has been incorporated in the lease provisions.*

___ **YES** ___ **NO** ___ **NA** **If NO, please explain:**

h. At least 20 percent of the units in the project are rented to, and rents are maintained at levels affordable to, tenants whose income does not exceed 40 percent of area median gross income.

___ **YES** ___ **NO** ___ **NA** **If NO, please explain:**

i. 1. At least _____ units will be available to tenants at or below _____ percent of area median gross income, or such number of units consistent with the applicable fraction for the project.

___ **YES** ___ **NO** ___ **NA** **If NO, please explain:**

2. At least _____ units will be affordable to tenants at or below _____ percent of area median gross income, or such number of units consistent with the applicable fraction for the project.

YES NO NA **If NO, please explain:**

j. 1. **For allocations in years 1999 – 2001:**
The total rent received by the Owner including all rental and operating subsidies may not exceed the rents established for units at 50 percent of area median gross income for _____ units pursuant to its application for low-income housing tax credits with the Agency.

YES NO NA **If NO, please explain:**

2. **For allocations in years 2002 and later:**
Owner hereby certifies that the total tenant paid rent received by the Owner for _____ units may not exceed the rents established for units at 50 percent of median income. In the event the Owner receives subsidies for rent from any source (including, without limitation, project-based, tenant based or internal rent subsidy programs), Owner certifies that upon expiration or termination of the subsidy the tenant paid portion of the rent may not exceed the 50 percent of area median income tax credit rent.

YES NO NA **If NO, please explain:**

k. **For Properties Placed In Service prior to July 30, 2008:**
In the event the project is a recipient of federal HOME funds and has received an allocation of tax credits based upon a 70 percent value calculation, at least 40 percent of the units in each building are rented to tenants at 50 percent of median income.

YES NO NA **If NO, please explain:**

l. The Owner has set-aside at least _____ percent of the units in the project for residents who are physically or mentally disabled, including persons with HIV/AIDS, transitional or permanent housing for the homeless, seasonal farm workers, or extra accessible units and is providing supportive services to these residents.

YES NO NA **If NO, please explain:**

21) For the projects comprised of buildings (or any part of a building) originally constructed or built prior to 1978, a new federal regulation (24 CFR Part 35) governing lead-based paint will be applicable. (Implementation dates for these new regulations may vary from jurisdiction to jurisdiction and based on program participation.) If applicable, Owner must have a clearance certification (performed by a qualified entity under the regulations) for (1) each unit occupied by a resident household with a child under the age of six receiving tenant-based rental assistance or (2) any project available for general occupancy receiving federally funded project-based rental assistance. The project is fully compliant with any applicable requirements of 24 CFR Part 35.

YES NO NA

If applicable, provide evidence that tenant file includes copy of any clearance certifications.

22) For the preceding 12-month period, no tenants in low-income units were evicted or had their tenancies terminated other than for good cause and no tenants had an increase in the gross rent with respect to a low-income unit not otherwise permitted under Section 42.

YES NO NA **If NO, please explain:**

23) For projects consisting of 100% LIHTC units, the owner hereby certifies that no unit was occupied by an ineligible household.

YES NO **If NO, please explain:**

24) The owner hereby certifies that no LIHTC unit was occupied in its entirety by full-time students; unless the household met an exception under IRS 42 (i)(3)(D).

YES NO **If NO, please explain:**

25) Did the Owner receive a waiver from Agency pursuant to IRS Notice 2011-83 to provide temporary housing to households displaced by Hurricane Irene or Tropical Storm Lee?

YES NO

26) Did any household displaced by Hurricane Irene or Tropical Storm Lee temporarily reside in any low-income unit?

YES NO If Yes, please answer 1-3 below.

1. The Owner has maintained certain information concerning each household displaced by Hurricane Irene or Tropical Storm Lee who seeks temporary housing in the project, specifically the name, address of damaged residence, social security number, and statement signed under penalties of perjury by each displaced individual that, because of damage to the individual's residence in a Pennsylvania jurisdiction designated for Individual Assistance by FEMA as a result of the devastation caused in Pennsylvania by Hurricane Irene or Tropical Storm Lee, the individual requires temporary housing.

YES NO

2. The owner has listed vacant units on PAHousingSearch.com.

YES NO

3. The Owner has maintained records which contain the date the displaced household began temporary occupancy and the date the project will discontinue providing temporary housing.

YES NO

NOTE: Failure to complete this form in its entirety will result in noncompliance with program requirements. In addition, any individual other than an owner or general partner of the project is not permitted to sign this form, unless permitted by the state agency.

The project is otherwise in compliance with the Code, including any Treasury Regulations, the applicable State Allocation Plan, and all other applicable laws, rules and regulations. This Certification and any attachments are made UNDER PENALTY OF PERJURY.

Ownership Entity: _____
Ownership Entity
Tax ID #: _____
Owner Signature: _____ Title: _____
Type/Print Name: _____
Phone: _____ Email: _____
Date: _____

NOTE: IF THIS IS THE FIRST YEAR OF THE COMPLIANCE PERIOD, PLEASE SEND PHFA A SIGNED COPY OF YOUR IRS FORM 8609, WITH PART II COMPLETED.

___ I agree that a signed copy of the Owner Certification will be maintained on file and that a copy will be provided to the Agency upon request.