

TRANSITION/DOCUMENT CHECKLIST

(The below checklist can be used whether between management companies or from developer to the owners. Each association may have unique components that should be taken into consideration, but this is a compilation of my years of documents accumulated over the years.)

ASSOCIATION NAME : _____ TRANSITION DATE: _____

FROM: _____ TO: _____
 (Even if between two managers within the same company)

DESCRIPTION OF DOCUMENTS	AVAILABLE	NOT AVAIL.
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ASSOCIATION DOCUMENTS:

1. Articles	_____	_____
2. Bylaws	_____	_____
A. Original Signed Document	_____	_____
B. Original Signed Amendments	_____	_____
a. Amendment Dated _____	_____	_____
b. Amendment Dated _____	_____	_____
3. CC&R's	_____	_____
A. Original Recorded Documents	_____	_____
B. Restatements (if any)	_____	_____
C. Original Recorded Amendments (if any)	_____	_____
a. 1 st Recorded Amendment Dated _____	_____	_____
b. 2 nd Recorded Amendment Dated _____	_____	_____
4. Rules Adopted – (Any prior rules are necessary for our records).	_____	_____
A. Architectural Guidelines and Standards	_____	_____
B. Collection Policy	_____	_____
C. Recreational Rules	_____	_____
D. Enforcement & Fine Policy	_____	_____
E. Fine Policy (If separate from enforcement policy)	_____	_____
F. Deductible Policy – Insurance Issues	_____	_____
G. Other Misc. Rules, Regulations & Procedures Adopted	_____	_____
H. Committee Charters	_____	_____
I. Investment Policy	_____	_____
J. Confidentiality Policies for Board and/or Committees	_____	_____
K. Others – Please provide on separate sheet if necessary?	_____	_____
5. Deeds to Common Area Property	_____	_____
6. Maintenance Agreements (With anyone including subs, City, County, Etc.)	_____	_____
7. Insurance Policies (Workers Comp. - Liability. - Prop. - D&O – Fidelity, Earthquake, Flood, non-owned auto, etc. – Show exceptions below)	_____	_____
8. Tract Maps (All other maps available)	_____	_____
9. Public Offering Statements, Public Reports or Other Disclosure Docs. (If available)	_____	_____
10. Original and Revised Landscaping Plans & Drawings	_____	_____
11. Irrigation Plans – <i>Including As Built Plans</i>	_____	_____
12. "As built" plans - For all Buildings & Structures	_____	_____
13. Common Area Facility Plans (Pool House, Roads and Paint, etc.)	_____	_____
14. Square Footage for Common Area Facilities	_____	_____
15. Lot files (<u>All</u> letters, annexation into community, easements, etc. kept by lot or address)	_____	_____
16. Enforcement Files	_____	_____
A. Computer Listing of Violation History	_____	_____
B. Listing of any immediate necessary actions	_____	_____
17. Architectural Files	_____	_____
A. Open Architectural Files	_____	_____
B. Computer listing of Architectural status of each lot	_____	_____

- 18. All prior year records - Multiple Boxes (# _____) _____
- 19. Warranty information on facilities (If available) _____
- 20. Inventory of all Association Property On and Off the Property _____
- 21. List of manufactures of paints, roofing materials, etc. _____
- 22. Injury prevention program – Employees (10 and over) _____
- 23. Facility Keys – (Pool Equipment Room, Club House, etc.) _____
- 24. Pool Key Log by Lot (Codes if electronic entry) _____
- 25. All Misc. Correspondence files _____
- 26. Minute Book (All past Minutes Available) - (Years _____ Thru _____) _____
- 27. Executive Session Minute Book (Years _____ Thru _____) _____
- 28. Member Roster – (Listing of Mortgage Holders as well) _____
- 29. Board & Committee Member Roster With Contract Information _____
- 30. Appraiser - Lender Disclosure Sheet (If available) _____
- 31. Litigation disclosure letters (If any) _____
- 31. Listing of emergency numbers and contacts _____
- 32. Any other plans unique to this Association _____

FINANCIAL DOCUMENTS:

- 1. Prior year Financial Statements (Years _____ Thru _____) _____
- 2. Prior year Audits (If any) (Years _____ Thru _____) _____
- 3. All Tax Returns – Prior Years (Years _____ Thru _____) _____
- 4. Budget - Current Year (Including Worksheets) _____
- 5. Any Tax Exempt Election Filings (If applicable) _____
- 6. Year to Date Financial Statement _____
 - A. Balance Sheet & Income Statement _____
 - B. Aged Delinquency Report & General Ledger _____
 - C. Individual History Report on All Delinquent Accounts _____
 - D. Bills Paid _____
- 7. All Bank Accounts & Control of the funds _____
- 8. Reserve Study – All prior year studies (Years _____ Thru _____) _____
- 9. Disclosure Listing of Any Subsidy’s Provided by Developer _____

CONTRACTS/AGREEMENTS

- 1. Professional Agreements (Along with any regular and emergency contact information) _____
 - A. Legal Agreements (Including Settlement Agreements) _____
 - B. Trustee Agreements _____
 - C. Employee Contracts _____
 - D. Construction Contracts _____
 - E. Other Agreements _____
 - F. Original Service Contracts _____
 - G. Pool Service _____
 - H. Gate Service Contract – If any _____
 - I. Landscaping and/or tree contractor(s) _____
 - J. Animal Control Contract _____
 - K. Any Other Service Contracts _____
- 2. All Other Contracts (Please List and provide copies as well) _____

DEVELOPER PROVISIONS (NRS 116.31038) IF APPLICABLE CHECK HERE: _____

- 1. The original or a certified copy of the recorded declaration as amended, the association’s articles of incorporation if the association is incorporated, bylaws, minute books and other books and records of the association and any rules or regulations which may have been adopted. _____
- 2. An accounting (and audit) for money of the association and financial statements from the date the association received money to the date the period of the declarant’s control ends, which includes any ancillary period. _____
- 3. A complete study of the reserves of the association. _____
- 4. Subsidies on a per unit or per lot basis. _____
- 5. Association Funds in his Control. _____
- 6. All Association Tangible Property _____
- 7. A copy of any plans and specifications used in the construction of the improvements in the common-interest community which were completed within 2 years before the declaration was recorded. _____
- 8. All insurance policies then in force, in which the units’ owners, the association, or its directors and officers are named as insured persons. _____
- 9. Copies of any certificates of occupancy that may have been issued with respect to any improvements comprising the common-interest community other than units in a planned community. _____
- 10. Any renewable permits and approvals issued by governmental bodies applicable to the common-interest community which are in force and any other permits and approvals so issued and applicable which are required by law to be kept on the premises of the community. _____
- 11. Written warranties of the contractor, subcontractors, suppliers and manufacturers that are still effective. _____
- 12. A roster of owners and mortgagees of units and their addresses and telephone numbers, if known, as shown on the declarant’s records. _____
- 13. Contracts of employment in which the association is a contracting party. _____
- 13. Any contract for service in which the association is a contracting party or in which the association or the units’ owners have any obligation to pay a fee to the persons performing the services. _____

ASSURANCES (Recommended by CAI):

- 1. A statement that the street, traffic, safety, and regulatory signs are installed in conformance with applicable state or local ordinances and with the association’s legal documents. _____
- 2. Confirmation from appropriate local authorities that the fire hydrants have been placed under the local government maintenance plan, if applicable. _____
- 3. Confirmation that the city or county emergency communication centers have mapped the association for the dispatch of emergency vehicles; make sure that addresses on private streets are visible to emergency personnel. _____
- 4. A statement of determination of public agency or utility responsibility for the maintenance of the street lights and sewer systems. _____
- 5. A statement that appropriate public agencies have or have not released the completion bonds on the improvements where those bonds are required. _____

Noted Exceptions (Use next page if more space is needed): _____

Received By: _____ Date: _____
(Print & Sign Name)

Received From: _____
(Print & Sign Name)