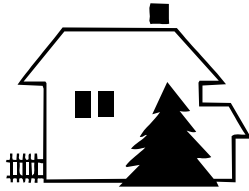


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# **Fixed Facility Owners & Managers**

## **WIM/WIST Responsibilities Checklists/Forms for Water Intrusion Prevention Protocol A & B**

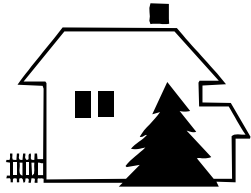


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## **WIM Responsibilities**

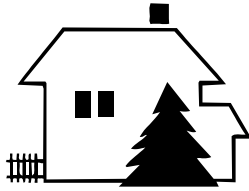
- **General**
  - May select a WIST (Water Intrusion Surveillance Team) to help assess building conditions and respond to problems. The WIST frequently includes the cleaning/maintenance crew and building engineers.
  - Directs periodic meeting of Surveillance Team members (WIST), which will focus on prevention, reviews of prior problems, inspection procedures, new developments, etc.
  - Ensures all team members are appropriately trained and have attended refresher classes.
  - Evaluates the severity of all water intrusion issues and instructs the surveillance team member(s) with respect to the appropriate protocol to be followed.
  - Evaluates all risk factors and determines if a microbial investigation by qualified experts should be performed.
  - Evaluates third party microbial consultant and remediation contractor qualifications for use on projects.
  - Reports directly to senior company managers on all incidents, response actions, etc.
  - Evaluates whether third party contactors need to be called in to assist in remediation.
  
- **Documentation/Communication**
  - Creates, tracks, and maintains a file for all water intrusion issues on all projects.
  - Carefully documents – including photographs, interviews, site visits (if possible) all water intrusion issues.
  - Directs communication with any third parties involved. Immediate Communication and Immediate Response are critical. Informs third parties with respect to the actions that will be taken/protocol to be followed/project schedule/controls.
  - Responsible to obtain and maintain any and all MSDS sheets for any products used during remediation.
  - Responsible for ensuring that an appropriate Respiratory Protection Plan is in place if employees will be wearing respirators.
  - Ensures all water intrusion event forms are filled out and completed, signed, dated, etc. as and when required.
  
- **Construction/Renovation & Maintenance Activities**
  - Responsible for ensuring that all systems and their components have been delivered from third parties appropriately packed and free from visible contamination prior to arrival.
  - Develop maintenance protocol for periodic system inspections which are directed at identifying and testing for water intrusion/leakage issues.



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- Ensure that all company policies with respect to system maintenance (i.e., filter changing, coil cleaning, etc.) are in strict compliance with manufacturer's instructions.
- Responsible to meet with project architects, engineers, etc., to verify renovation building designs will not be conducive to creating future water intrusion problems.
- Responsible to oversee subcontractor activities during renovation/construction.

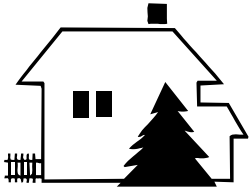


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## **WIST Responsibilities**

- **General**
  - Treat all reports of water intrusion and all reports of mold related to the HVAC systems as an EMERGENCY.
  - Report all instances of water intrusion (no matter how small), all suspect areas of fungal growth (no matter how small), all complaints and/or other indications, which could conceivably be related to an issue of water intrusion or mold immediately to the Water Intrusion Manager.
  - Attend periodic meeting with WIM.
  - Attend all required microbial training classes.
  - Function as the “eyes and ears” for the WIM on each individual project.
- **Documentation/Communication**
  - Responsible for completing water intrusion forms for individual projects and forwarding to WIM.
- **Construction/Renovation Maintenance Activities**
  - Responsible for inspecting materials upon arrival at job site to ensure they are in good condition and free from visible fungal growth.
  - Responsible to inspect the project environment prior to renovation/construction or upon taking over the management of a new building to verify the environment has not sustained prior water intrusion issues. This responsibility will include documentation (photographs, notes, etc.) of any preexisting conditions such as stained ceiling tiles, roof leaks, floor tile buckling, etc.
  - Responsible to verify all required repairs and maintenance are being performed as required by company policy or manufacturer’s recommendations.



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**WATER INTRUSION INCIDENT EVENT FORM**  
**This form MUST be completed each time there is a water intrusion event.**

Date: \_\_\_\_\_ Time: \_\_\_\_\_

Site Location: \_\_\_\_\_

Describe the incident: \_\_\_\_\_

\_\_\_\_\_

Was the cause of the event determined? Describe: \_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

Was the extent of damage determined? Describe: \_\_\_\_\_

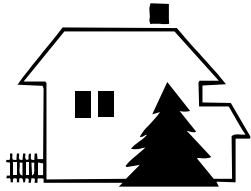
\_\_\_\_\_

\_\_\_\_\_

Are there any occupant complaints? Describe: \_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_



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- Were any of the following observed:
- Visible Mold
  - Musty Odors
  - Water Stained Building Materials
  - Water Damaged Building Materials
  - Impact to the HVAC System
  - Sewage or Gray Water?

Describe: \_\_\_\_\_

Was the W.I.M contacted?  Yes  No

What remediation methods were instituted? \_\_\_\_\_

Supply Timeline: \_\_\_\_\_

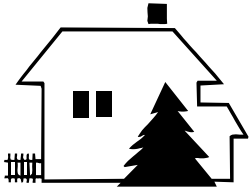
What follow up precautions will be instituted? \_\_\_\_\_

Were the services of a microbial consultant retained?  Yes  No

If so, what were the scope of services? \_\_\_\_\_

Was Clearance Sampling performed?  Yes  No

Attach laboratory results.



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Are there any outstanding issues?  Yes  No  
And

Has the cause of the problem been repaired?  Yes  No

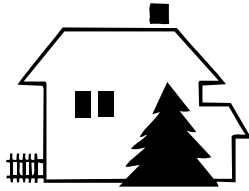
**All reports filed must have accompanying photos.**

\_\_\_\_\_  
Prepared by – Maintenance Supervisor

\_\_\_\_\_  
Date

\_\_\_\_\_  
Reviewed by – Water Intrusion Manager

\_\_\_\_\_  
Date



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**Checklist – HVAC Issues**  
(To be completed on a monthly basis)

• **General Risk Management**

- HVAC – Primary conduit and vehicle for distribution of any microbial contamination
- Expedites aerosolization
- Increases risk of exposure and potential illness
- Once mold impacts the HVAC system it is usually impossible to evaluate if the building contaminated the HVAC system or vice versa.

---

1. Has a monthly inspection of HVAC system and all components been conducted to verify the system is in good working condition and not contributing to water intrusion issues?  Yes  No

2. Are temperatures maintained between 70 degrees and 80 degrees F and relative humidity maintained between 40% and 59%?  Yes  No

If not state temperature:

If not state relative humidity:

Prevent moisture condensation by reducing the relative humidity in the air. To increase surface temperature insulate or increase air circulation. To reduce the moisture level in the air, repair leaks, increase ventilation (if outside air is cold/dry), or dehumidify (if outdoor air is warm/humid).

3. Are heating, ventilation, and air-conditioning (HVAC) drip pans clean, properly sloped, and unobstructed?  Yes  No

4. Have secondary condensate lines been inspected to ensure they are dry?  Yes  No

5. Have building thermostats and vents been inspected regularly to ensure tenants have not altered building air balance?  Yes  No

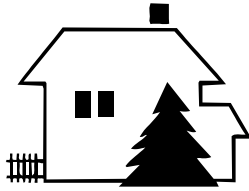
Date last balanced:

6. Are drain pans cleaned and inspected every 3 months?  Yes  No

7. Are air handler unit liners inspected every 3 months?  Yes  No

8. Are air filters inspected monthly and changed regularly?  Yes  No





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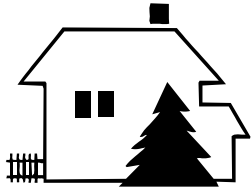
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9. Is equipment inspected to verify it is operating with filters installed properly?  Yes  No
10. Are coils inspected at least every 3 months for accumulation of debris?  Yes  No
11. Are plenum areas inspected monthly for accumulation of dust/debris and to verify they are not being used for storage?  Yes  No
12. Are humidifiers cleaned and chlorinated weekly?  Yes  No
13. Are maintenance meetings set up on a regular basis to discuss any HVAC issues?  Yes  No
14. Are exhaust vents in kitchens and bathrooms examined on a regular basis to verify they have been installed and are working properly?  Yes  No
15. Has it been verified that all building ventilation is in compliance with ASHRAE 61:2001 based on space utilization, number of occupants, and square footage?  Yes  No
16. Is building pressurization appropriate for climate and use?  Yes  No
- When was this tested?
- What were the results?
17. Are AC units appropriately sized for the area to be cooled?  Yes  No
18. Are all ducts appropriately sealed, vented, and maintained?  Yes  No
19. Are all appliances, bathrooms, cooking areas appropriately vented to the outside?  Yes  No
20. If the facility is located in a warm humid climate, have interior vapor barriers such as wall coverings been limited in use? Are exterior vapor barriers in good condition?  Yes  No
21. Are all AHUs operating properly and located in accessible areas protected from outside elements including pollutants, birds, etc?  Yes  No

---

Explain any "No" answers:

---



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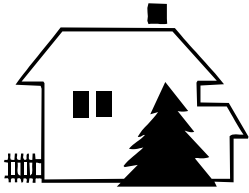
Advise what corrective actions have been instituted:

Checklist completion date: \_\_\_\_\_

Completed by: \_\_\_\_\_

Reviewed by: \_\_\_\_\_

**Checklist – Landscape/Exterior Building Envelope Issues**



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(To be completed on a monthly basis)

Conduct monthly inspection of sprinkler systems, building landscaping, and building exterior to verify that water is not negatively impacting the building envelope.

---

1. Has the building envelope been inspected for the following?

Built-up (berms) at perimeters of buildings?  Yes  No

Planters at the perimeter of the buildings?  Yes  No

Vegetation in close proximity to the perimeter of the buildings?  Yes  No

Drainage issues and appropriateness of property slope?  Yes  No

2. Have sprinklers been placed so that moisture will not impact the building envelope?  Yes  No

3. Has the building been inspected to ensure that all weep screeds are properly placed and not obstructed?  Yes  No

4. Are indoor plants, terrariums, trees, ponds, etc. carefully maintained?  Yes  No

Are they regularly inspected for issues such as leaks, accumulation of debris, and verification that any building materials in close proximity to these items should be non conducive to microbial growth?  Yes  No

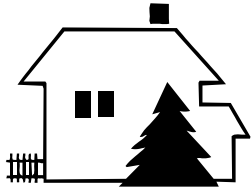
Date of last inspection:

---

Explain any "No" answers:

Explain any "No" answers (cont.)

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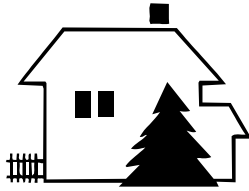
Advise what corrective actions have been instituted:

Checklist completion date: \_\_\_\_\_

Completed by: \_\_\_\_\_

Reviewed by: \_\_\_\_\_

**Checklist – Plumbing Issues**



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(To be completed on a monthly basis)

Conduct monthly inspection of all accessible plumbing components to identify leaky pipes, fittings, valves, etc. for signs of leaking, corrosion or water intrusion.

---

1. Have valve packing glands been inspected to ensure they are not dry and brittle?  Yes  No

Date of last inspection:

2. Have water heaters been inspected for fitting corrosion?  Yes  No

Date of last inspection:

3. Have sealants at fixtures and escutcheons been inspected?  Yes  No

Date of last inspection:

4. Have all locations where flexible sealant has been used (sinks, ceramic tile joints, etc.) been inspected?  Yes  No

Date of last inspection:

5. Have all insulated pipes been inspected to ensure the insulation is intact to prevent condensation?  Yes  No

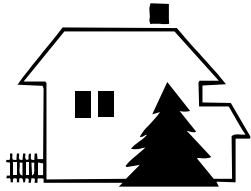
6. Are fire sprinkler leads, valves, joints regularly inspected for corrosion/weeping?  Yes  No

Date of last inspection:

Is this in compliance with state/local codes?

---

Explain any "No" answers:



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Explain any "No" answers (cont.)

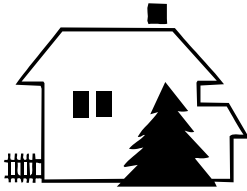
Advise what corrective actions have been instituted:

Checklist completion date: \_\_\_\_\_

Completed by: \_\_\_\_\_

Reviewed by: \_\_\_\_\_

**Checklist – Roofing Issues**



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(To be completed on a monthly basis)

Conduct periodic (monthly) inspection of all interior ceiling and wall areas for signs of water intrusion through the roof or plenum.

---

1. Has the roof been inspected on at least a yearly basis for problems?  Yes  No

Date of last inspection:

2. Did the inspection account for the following:

General maintenance?  Yes  No

Ponding areas?  Yes  No

Seals at penetrations, skylights, chimneys?  Yes  No

Broken/damaged roof products?  Yes  No

Debris accumulation at valleys, crickets?  Yes  No

Organic debris/vegetation contact?  Yes  No

Condition of roof flashing?  Yes  No

Condition of roof coating?  Yes  No

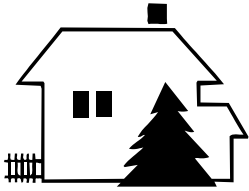
3. Are weep screeds properly placed, visible, and unobstructed?  Yes  No

4. Are gutters and drain spouts maintained properly, free of debris, and directing water away from the building?  Yes  No

5. Do roof overhangs direct water away from building?  Yes  No

6. Is there damage to, improperly installed, maintained chimney caps?  Yes  No

7. What is the service life of the roof and associated products? \_\_\_\_\_



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8. Has the roof been impaired by weather, lack of maintenance, etc?  Yes  No

If yes, explain:

9. Are there any items present on the roof that could impair the integrity of the roof?  Yes  No

If yes, explain:

---

Explain any "No" answers to 1, 2, 3 and 5 above:

Advise what corrective actions have been taken:

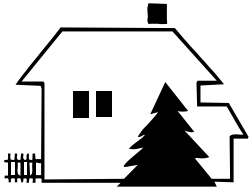
Checklist completion date: \_\_\_\_\_

Completed by: \_\_\_\_\_

Reviewed by: \_\_\_\_\_

**Checklist – Exterior Envelope Issues**





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(To be completed on a monthly basis)

Conduct monthly periodic inspection of all interior and exterior wall systems and finishes for signs of water intrusion.

---

1. Verify the following are in good condition:

Caulking?  Yes  No

Painting?  Yes  No

Window frame connections?  Yes  No

Exterior trim?  Yes  No

2. Have window/door tracks been inspected and cleaned to ensure proper function and water drainage?  Yes  No

3. Are thresholds appropriately placed above grade?  Yes  No

4. Is EIFs present in the building?  Yes  No

5. If EIFs is present, the system should be checked monthly for:

Penetrations?  Yes  No

Gaps?  Yes  No

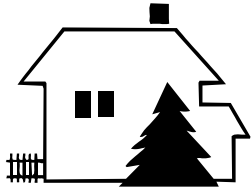
Soil/vegetation contact?  Yes  No

---

Explain any "No" answers to 1, 2, or 3 above:

Explain any "No" answers (cont.):

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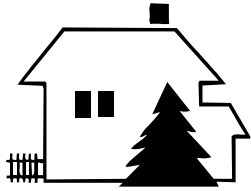
Advise what corrective actions have been taken:

Checklist completion date: \_\_\_\_\_

Completed by: \_\_\_\_\_

Reviewed by: \_\_\_\_\_

**Checklist – Renovation/Maintenance Issues**



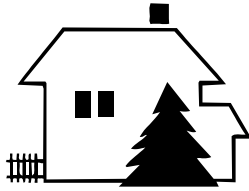
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The answer to all the following questions should be No. If there are any Yes answers, please provide an explanation at the bottom of the page.

---

1. Is carpet present in bathrooms/wet areas?  Yes  No
2. Are monolithic vapor barriers present (such as carpet over concrete slab floors or chair mats in ground floor offices)?  Yes  No
3. Are interior vapor barriers present (warm climate)?  Yes  No
4. Are exterior vapor barriers present (cold climate)?  Yes  No
5. Do balconies, patios, and/or roof areas show evidence of ponding?  Yes  No
6. Is drywall present in bathrooms?  Yes  No
7. Are crawl spaces present?  Yes  No  
If so, are building materials conducive to mold growth present?  Yes  No
8. Do drainage systems, gutters, direct water toward or under the building in any location?  Yes  No
9. Is heat generating equipment located near thermostats?  Yes  No
10. Are registers/vents blocked or turned off in the building?  Yes  No
11. Do elevator pits show signs of water intrusion/staining?  Yes  No
12. Are inspections performed on a monthly basis to assess conditions such as stained ceiling tiles, buckled floors, wallpaper detachment, and other indications of water intrusion issues?  Yes  No
13. Have maintenance staff, cleaning personnel, and others involved in maintaining the property been trained to take notice and promptly report any signs of water damage, staining, flooding, leaks, and condensation, etc?  Yes  No
14. Are required maintenance schedules for HVAC, plumbing, exterior  Yes  No



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maintenance, etc. complied with?

15. Are buildings maintained within temperature and relative humidity guidelines (70° - 80° F, 40-50% RH)?  Yes  No
16. Are building occupancies within acceptable limits?  Yes  No
17. Is air balancing performed on regular basis (Inspect building thermostats and vents)?  Yes  No
18. Is building able to maintain a slight positive air pressure?  Yes  No
19. Are cold water pipes insulated and is the insulation intact?  Yes  No
20. Are materials installed in the building without consideration to their mold resistance based on intended use and building history?  Yes  No

---

Explanation of "Yes" answers to questions 1 – 11:  
Explanation of "No" answers to questions 12 – 20:

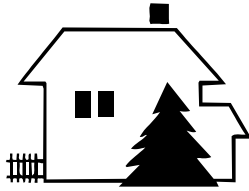
List corrective actions taken for "Yes" answers:

Checklist completion date: \_\_\_\_\_

Completed by: \_\_\_\_\_

Reviewed by: \_\_\_\_\_

**Checklist – Tenant Obligations**



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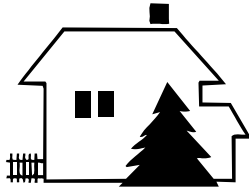
Property Management firms along with building owners should consider requiring tenants to perform the following to assist in preventing conditions which are conducive to mold growth.

---

1. Are tenants required to promptly notify property management with respect to any and all water intrusion issues?  Yes  No
2. Are tenants required to maintain temperature/relative humidity in the occupied space within the building guidelines? (temperature 70° - 80° F and RH 40-59%, if possible)  Yes  No
3. Are tenants required to maintain good housekeeping practices (especially with respect to maintaining indoor plants, terrariums, pets, etc.)?  Yes  No
4. Are tenants required to ensure that plenum areas are not used for storage?  Yes  No
5. Are tenants required to prevent accumulation of items such as cardboard boxes, paper, etc. which are good food sources for mold?  Yes  No
6. Are tenants required to perform their own periodic inspection of the occupied areas and promptly report any areas of water staining, damage, musty odors, problem building conditions, employee complaints, etc.?  Yes  No
7. Are tenants required to promptly clean up all small accumulations of water in kitchens, bathrooms, and other areas?  Yes  No
8. Are tenants required to notify property management prior to installing any fixtures/vapor barriers?  Yes  No
9. Are tenants prohibited from accessing the roof?  Yes  No

10. List any present tenant complaints with respect to water intrusion issues

---



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and how they are being handled:

11. Are tenants required to shut off water if vacating their units for more than 48 hours?  Yes  No
12. If water shut off to the units is not practical, are tenants required to notify property management when they will be out of their units for extended periods of time?  Yes  No
- 

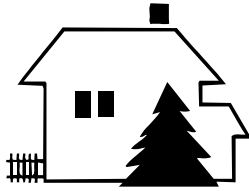
Explain all "No" answers with corresponding justification:

Checklist completion date: \_\_\_\_\_

Completed by: \_\_\_\_\_

Reviewed by: \_\_\_\_\_

### **Checklist – Emergency Situations**



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- **Power Failure/Weather Issues**

- In the event of a power failure, a backup generator or alternate power source should be able to maintain building humidity at acceptable levels and keep any sump pumps operating properly.
- Plans should be in place to respond promptly to water damage.
- Verify all drains, gutters, catch basins etc. are free from debris.
- Maintain vegetation, trees, storage items a safe distance from building to minimize impact.
- Emergency contact information, including emergency contractors, police, electricians should be current and easily accessible.

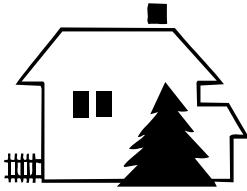
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<p><b><u>Protocol A</u></b> <b>Water Intrusion Event Not Significant</b></p>
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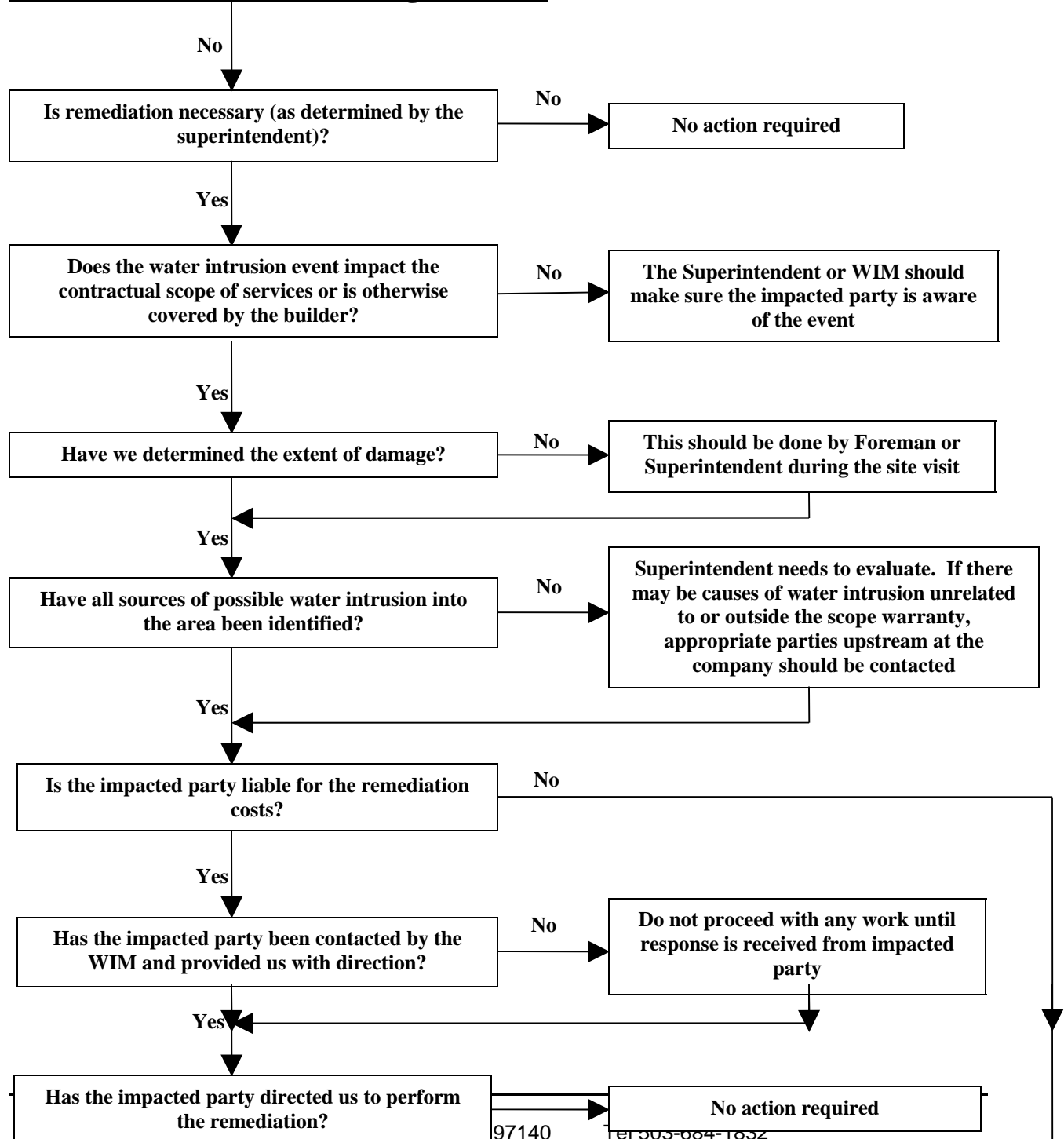
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Fax 503-684-1834      email: [info@superiorcommunity.com](mailto:info@superiorcommunity.com)

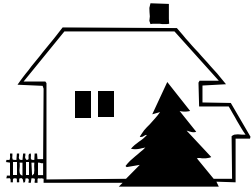
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## Is Water Intrusion Event Significant?



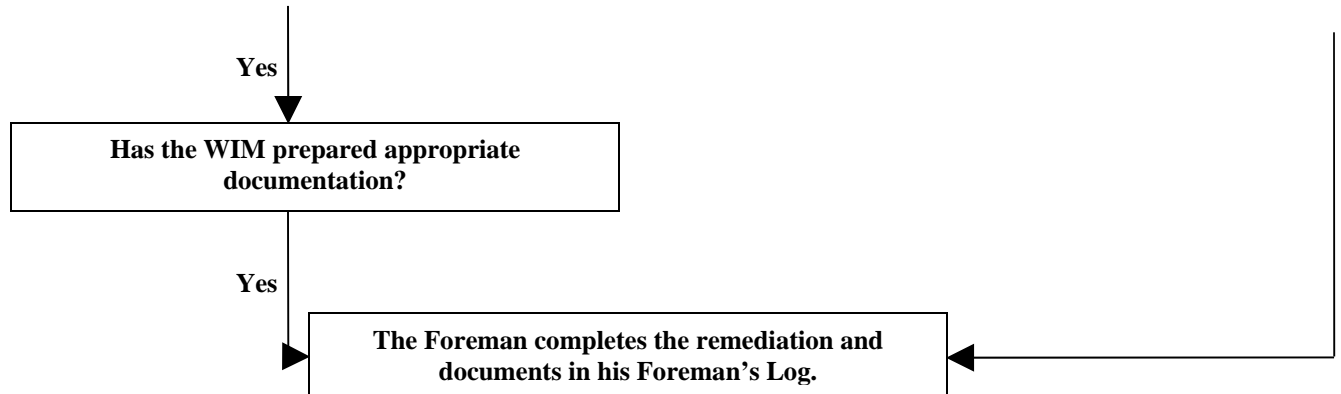




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**No**

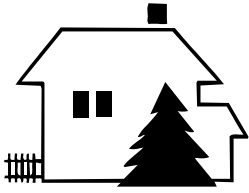


**Protocol B**  
**Water Intrusion Event Significant**

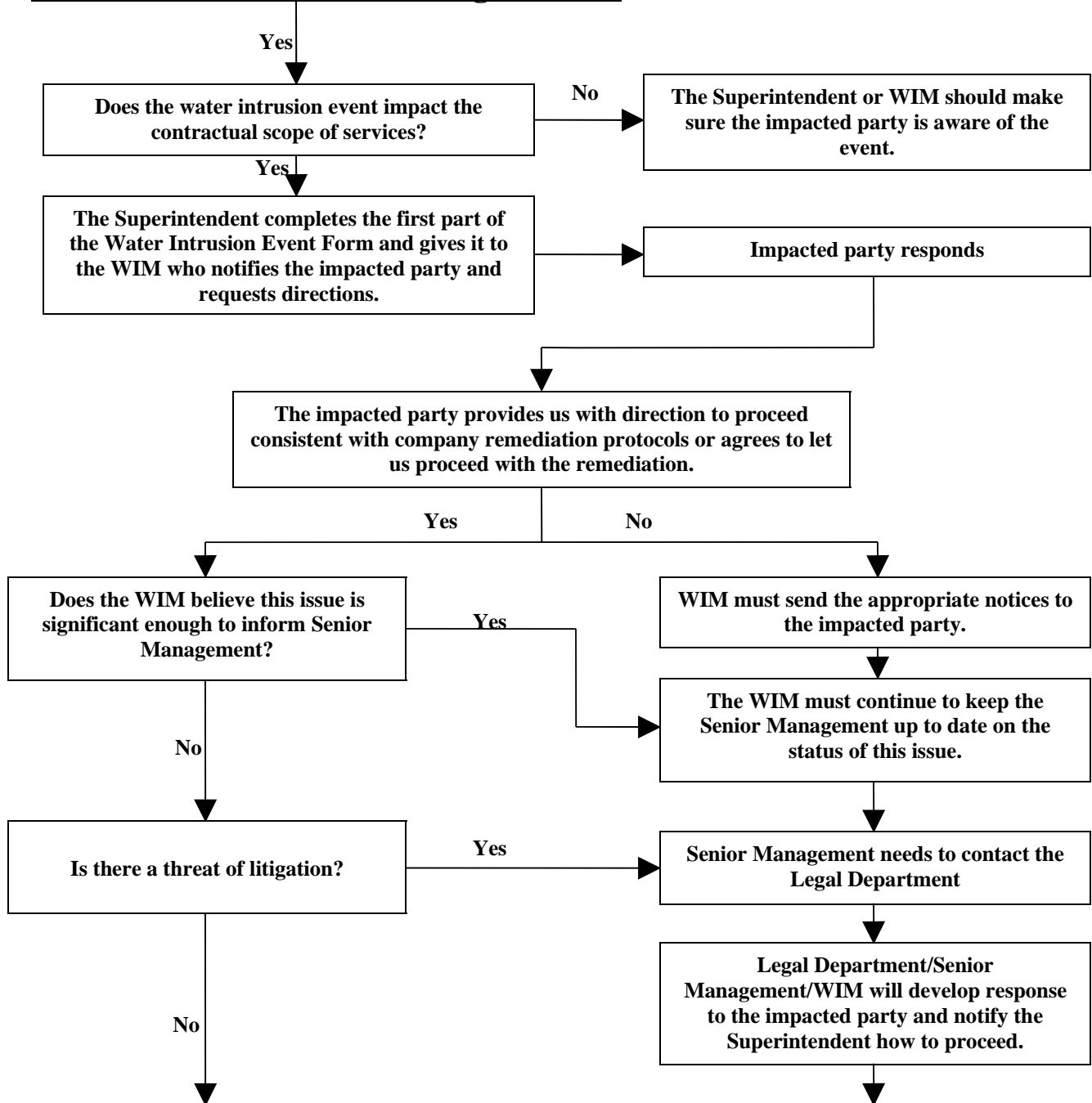
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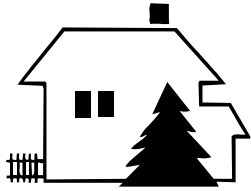
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## Is the water intrusion event significant?





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