KHA Executive Conference – HUD Session
December 10 & 11, 2018
Presenters: Louisville HUD PIH Staff

Speaker	Topic	PowerPoint Page Numbers	Exhibit Page Numbers	Time
General				
Barbara Finch	One-Stop Web Site	4	N/A	9am – 9:30am
	Tenant File Maintenance	N/A	File Documentation – 446	
Sonja Redmon & Tammy Dunn	ACOP	5	N/A	9:30am – 10:00am
	PHA Plans	24	• Resources – 272 • Form HUD-50075-ST – 273 • Notice PIH-2015-18 (HA) – 279 • PHA Plan Desk Guide – 288	
Sandy Harris	PHAS (Audited/Unaudited FASS)	50	• Dereg for Small PHAs Requesting to be PHAS Assessed – 421	10am – 10:30 am **BREAK 15 Minutes**
	Financial Management (Operating Subsidy)	55	• References – 423	
	File Maintenance/Record Retention (Financial)	58	• Back to Basics Financial Management – 424	
Jeff Delbridge	Occupancy	N/A	• Ideas for PHAs to Increase Occupancy – 444	10:45am – 11am
Policy				
Sonja Redmon	Flat Rent	59	• FY2018 Fair Market Rent – 447	11am – 11:30a
	VASH	81	• KY HUD VASH Information – 458	
	VAWA	103	• Resources – 259	
Frank McNeil	Utility Allowances	124	• N/A	11:30 am – 12:00pm **LUNCH 1 Hour**
Capital Fund				
Sandy Harris	CFP (Closeouts, Obl./Exp. Reporting)	144	N/A	1:15pm – 1:30pm
Jared Ison	Procurement	149	• Statement of Procurement Policy Sample – 460	1:30pm – 2pm **BREAK 15 Minutes**
	EPIC	195	• N/A	
	Preventative Maintenance	229	• N/A	2:15pm – 3pm

Speaker	Topic	PowerPoint Page Numbers	• Exhibit Page Numbers	Time
	Force Account/Facilities Management	N/A	• Force Account Labor – A Public Housing Guide – 502 • Preventative Maintenance Procedure – 510 • Preventative Maintenance Policy Sample – 518	
Barbara Finch	Secure Systems/PIC	243	• Utilizing PIC Report Functions – 531 • Maintaining HA Contacts in PIC – 543 • Modifying User Details in PIC – 551 • PIC PHA Access Authorization Form – 553 • Secure Systems Administration – 555 • Form 50058 Instruction Book – 567 • Form 50058 Family Report – 530	9am – 10am
	EIV	254	• User Access Authorization and Rules of Behavior User Agreement (Form HUD-52676) – 669 Form HUD-52676 Instructions – 675	
Sandy Harris	LOCCS (Authorizing Officials)	268	• eLOCCS Getting Started Guide – 686 • eLOCCS Registration Guide – 746 • eLOCCS Access Authorization Form (HUD 27054E – 771 • Quick References – 774 • Changing Approving Officials – 776 How to Get Your User ID and Login for PHA Coordinators and Users – 777	10am – 10:30am **BREAK 15 Minutes**
	Q&A			10:45 – 11:30

Welcome

Executive Director Training
December 10, 2018

P.O.S.T.

Public and Indian Housing One-Stop Tool

https://www.hud.gov/program_offices/public_indian_housing/post

Admissions and Continued Occupancy Policy (ACOP)

Presenters: Tammy Dunn and Sonja Redmon, Louisville Field Office

- Many federal regulations provide PHAs with discretion to establish policies on how the Public Housing program will by administered in the PHA's jurisdiction.

- The Admissions and Continued Occupancy Policy (ACOP) explains how PHAs will comply with program administration requirements as well as what PHAs will do when the regulations provide for discretion.

- The ACOP outlines how PHAs will handle requests for reasonable accommodation, how they will be processed, and the requestor's options if requests are denied, including use of grievance procedures and application of internal administration policies.

- The ACOP **must:**
  - be in accordance with HUD regulations and requirements,
  - be available for public review,
  - be adopted by the Board of Commissioners.

At a minimum, the ACOP must include:

Policy	Authority
Community Service	24 CFR 960 Subpart F
Enterprise Income Verification (EIV)	24 CFR 5.233, 24 CFR 5.236, PIH Notice 2013-23
Flat Rent	24 CFR 960.253, PIH Notice 2014-12
Grievances	24 CFR 966 Subpart B
Maintenance Charges	
Passbook Savings Rate	24 CFR 5.609(b)(3), PIH Notice 2012-29
Pet Policy	24 CFR 960 Subpart G
Rent Determination and Reexaminations	24 CFR 960 Subpart C and Public Housing Occupancy Guidebook
Violence Against Women Act (VAWA)	24 CFR 5.2001
Waitlist Procedures	24 CFR 960.206
Medical Marijuana	Memorandum dated 2/10/2011
State Registered Lifetime Sex Offenders in Federally Assisted Housing	24 CFR 982.553, 24 CFR Part 960.204(a)(4), PIH Notice 2012-28

A sample ACOP may be found at:

https://ww.hud.gov/sites/documents/DOC_10767.pdf

ACOP Regulations Requirements

- 24 CFR 5.380 – Procedures for development of pet rule – PHAs **shall** develop the specific procedures governing tenant consultation.
- 24 CFR 960.701 – Pet ownership in Public Housing.
- PHAs are solely responsible for the content of the final pet rule (with tenant consultation). PHAs **shall** send copies of the final (or amended) pet rules to the HUD field office.

ACOP Regulations

- 5.516(d) – Preservation assistance of mixed families. The PHA **must** establish its own policy and criteria to follow in making its decision (in determining the circumstances under which a family will be offered one of the two statutory forms of assistance).
- 5.611(b) – Adjusted income and additional deductions. A PHA **may** adopt additional deductions from annual income. The PHA must establish a written policy.
- 8.6 – Nondiscrimination based on handicap. The recipient (PHA) **shall** adopt and implement procedures to ensure interested persons can obtain information about accessible services.

ACOP Regulations

- PHA Plan required policies under 24 CFR 903
  - The Board certifies under Form HUD-50077 that it has all required policies and follows them.
  - The policies become an attachment to the plan and must be available for review.
  - One of the required policies is the ACOP.
  - 903.1 and 903.2 state that PHAs as part of the annual planning process and development of an admission policy must develop and apply a policy that provides for deconcentration of poverty and income mixing. All admission and occupancy policies must comply with Fair Housing Act requirements (i.e. no specific income of racial quotas).

Regulatory Requirements

- 960.20(b) – Targeting admission to extremely low income families.
- 960.20(c) – Tenant selections policies. Must be adopted by the Board.
- 960.204 – Denial of admission for criminal activity.
- 960.205 – Drug use by applicants – obtaining information from drug treatment facility.
- 960.206(a) – Waiting list – local preferences in admission. The establishment of PHA local preferences.
- 960.206(b) – Residency preference in accordance with non-discrimination.
- 960.206 (c) – Selection of a particular unit.

Regulatory Requirements

- 960.206(d)- A family with one person may not be provided a housing unit with two or more bedrooms (unless as a reasonable accommodation).
- 960.206(e) – Selection method.
- 960.208 – Notification of applicant.
- 960.253 – Rent choice.
- 960.253(b) – Flat rent.
- 960.253(c) – Income based rent including the percentage of family income.

Regulatory Requirements

- 960.253 (f) – Switching from flat rent to income based rent.
- 960.255 – Self-sufficiency incentives – disallowance of increase in annual income
- 960.257(a) – Family income and composition. Annual and interim reexaminations.
- 960.259 – Family obligation to supply information.
- 960.259(a)(3)(i) – Family verification and disclosure of social security numbers.
- 960.259(b) – Family release and consent (form 9886).

Regulatory Requirements

- 960.259(c)- PHA responsibility for reexaminations and verifications
- 960.261 – Restriction on eviction of families based on income.
- 960.401 – Mixed population and preferences for elderly or disabled family.
- 960.503 – Occupancy by over-income families.
- 960.505 – Occupancy by police officers.
- 960.600 – Resident must perform Community Service activities or self-sufficiency work activities.
- 960.701 – Pet ownership in Public Housing.

Lease

- A well-written lease is an essential tool for good property management.
- HUD regulations governing leases gives PHAs valuable flexibility to tailor their leases to local situations.
- There are certain HUD-required provisions that must be included and prohibited provisions that must be excluded.

Lease requirements and procedures found in 24 CFR 966

- 966.3 – Tenant opportunity for comment. PHAs shall provide 30 days notice before formal adoption of any new lease form.
- 966.4(a) – Parties, dwelling unit and term.
- 966.4(b) – Payments due under the lease.
- 966.4(c) – Redetermination of rent and family composition.
- 966.4(d) – Tenant right to use and occupancy.
- 966.4(e) – PHA's obligations under the lease.

Lease Regulations

- 966.4(f) – Tenant obligations.
- 966.4(g) – Tenant maintenance.
- 966.4(h) – Defects hazardous to life, health or safety.
- 966.4(i) – Pre-occupancy and pre-termination inspections.
- 966.4(j) – Entry of dwelling unit during tenancy.
- 966.4(k) – Notice procedures.

Lease Regulations

- 966.4(l) – Termination of tenancy and eviction procedures.
- 966.4(m) – Right of tenants to examine PHA documents.
- 966.4(n) – Grievance procedures.
- 966.4(o) – Provision for modification of lease.
- 966.4(p) –Signature clause.
- 966.5 – Posting of policies, rules and regulations.

Prohibited Lease Provisions
24 CFR 966.6

- Confession of judgment,
- Landlord authorized to take property,
- Waiver of legal notice,
- Waiver of legal proceedings,
- Waiver of jury trial,
- Waiver of right to appeal judicial error in legal proceedings,
- Tenant chargeable with cost of legal actions regardless of outcome.

Questions?

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PHA Plans

The Strategic Planning Process for PHAs

Presenters: Tammy Dunn and Sonja Redmon, Louisville Field Office

What is a PHA Plan?

The PHA Plan is a comprehensive guide to public housing agency (PHA) policies, programs, operations, and strategies for meeting local housing needs and goals.

5 Year PHA Plan

- Once every 5 years, 75 days before FYE
- All PHAs

Annual PHA Plan

- Annually submitted, 75 days before FYE
- All “Non-Qualified” PHAs

Where did it come from?

- Section 5A of the United States Housing Act of 1937 (42 U.S.C. 1437 et seq.)
- Amended by Sections 2701 and 2702, Small Public Housing Authorities Paperwork Reduction Act
- Amended by the 2008 Housing and Economic Recovery Act (HERA)
- 24 CFR 903 – PHA Plan

Qualified PHAs

- Qualified PHAs
  - List online, updated
  - Do not submit Annual PHA Plans
  - Are based on size requirements
    - Not bigger than 550 combined number of units of public housing and Section 8
  - AND status
    - No troubled status in PHAS in the prior 12 months

    AND
    - No failing score in SEMAP in the prior 12 months

Non-Qualified PHAs

- Non-Qualified PHAs
  - Not on the list
  - Submit an Annual Plan
  - Meet one or more of these categories:
    - Are bigger than 550 units combined public housing and Section 8

  OR

    - Have been troubled in PHAS in the last 12 months

  OR

    - Have had a failing score in SEMAP in the last 12 months

- https://portal.hud.gov/hudportal/HUD?src=/program_offices/public_indian_housing/pha

HUD PHA Plans web page

WEDNESDAY, FEBRUARY 15, 2017

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Public Housing Agency (PHA) Plans

Print Friendly Version SHARE

(NEW) Revised PHA Plans Notice

PIH has posted the new PHA Plans notice and it can be found **here.**

What Is the PHA Plan?

The PHA Plan is a comprehensive guide to public housing agency (PHA) policies, programs, operations, and strategies for meeting local housing needs and goals. There are two parts to the PHA Plan: the 5-Year Plan, which each PHA submits to HUD once every 5th PHA fiscal year, and the Annual Plan, which is submitted to HUD every year by non-qualified agencies.

Background

The PHA Plan process was established by section 5A of the United States Housing Act of 1937 (42 U.S.C. 1437 et seq.). Section 5A(b) of the U.S. Housing Act of 1937 (42 U.S.C. 1437c-1(b)) was amended by the 2008 Housing and Economic Recovery Act (HERA), Sections 2701 and 2702, Small Public Housing Authorities Paperwork Reduction Act. This amendment provided an exemption of certain qualified PHAs from the annual plan requirement.

Qualified PHAs

PHA Plan Steps

1. Learn about PHA Plans
2. Prepare plan using templates
3. Submit your plan
4. Mail certification form
5. Check received plans list
6. HUD reviews your plan
7. View approved plans

Related Information

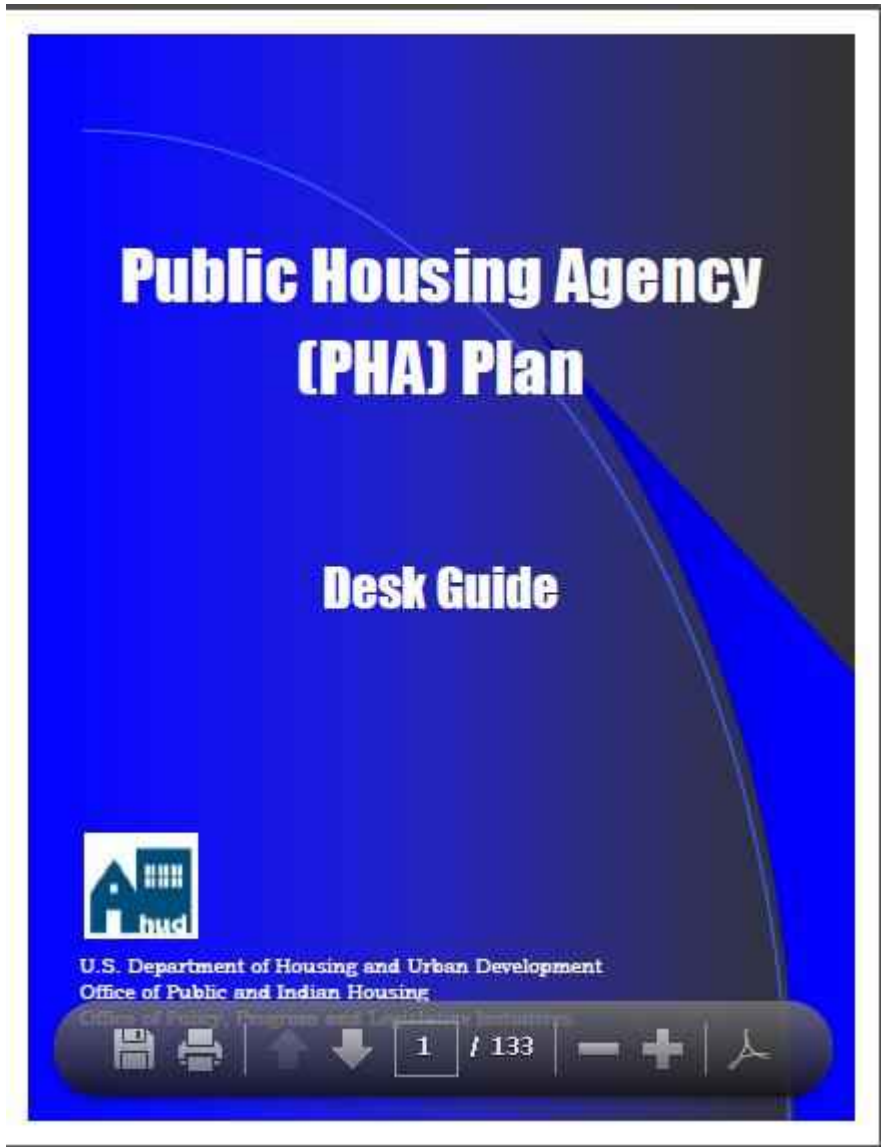
- Qualified PHAs List
- Qualified PHAs
- Non-Qualified PHAs
- VAWA and the PHA Plan
- VAWA Applicability to HUD Programs
- Deregulation for Small Public Housing Agencies (Issued: June 24, 2003) - This final rule simplifies and streamlines HUD's regulatory

PHA Plan Process Steps

PHA Plan Steps

1. Learn about PHA Plans
2. Prepare plan using templates
3. Submit your plan
4. Submit certification forms
5. HUD reviews your plan

PHA Plan Process in detail



Form HUD-50075 – The Template

Streamlined Annual PHA Plan *(High Performer PHAs)*	U.S. Department of Housing and Urban Development Office of Public and Indian Housing	OMB No. 2577-0226 Expires: 02/29/2016

Purpose. The 5-Year and Annual PHA Plans provide a ready source for interested parties to locate basic PHA policies, rules, and requirements concerning the PHA's operations, programs, and services, and informs HUD, families served by the PHA, and members of the public of the PHA's mission, goals and objectives for serving the needs of low- income, very low- income, and extremely low- income families

Applicability. Form HUD-50075-HP is to be completed annually by **High Performing PHAs**. PHAs that meet the definition of a Standard PHA, Troubled PHA, HCV-Only PHA, Small PHA, or Qualified PHA do not need to submit this form.

Definitions.

(1) ***High-Performer PHA*** – A PHA that owns or manages more than 550 combined public housing units and housing choice vouchers, and was designated as a high performer on both of the most recent Public Housing Assessment System (PHAS) and Section Eight Management Assessment Program (SEMAP) assessments.

(2) ***Small PHA*** - A PHA that is not designated as PHAS or SEMAP troubled, or at risk of being designated as troubled, and that owns or manages less than 250 public housing units and any number of vouchers where the total combined units exceeds 550.

(3) ***Housing Choice Voucher (HCV) Only PHA*** - A PHA that administers more than 550 HCVs, was not designated as troubled in its most recent SEMAP assessment, and does not own or manage public housing.

(4) ***Standard PHA*** - A PHA that owns or manages 250 or more public housing units and any number of vouchers where the total combined units exceeds 550, and that was designated as a standard performer in the most recent PHAS or SEMAP assessments.

(5) ***Troubled PHA*** - A PHA that achieves an overall PHAS or SEMAP score of less than 60 percent.

(6) ***Qualified PHA*** - A PHA with 550 or fewer public housing dwelling units and/or housing choice vouchers combined, and is not PHAS or SEMAP troubled.

A.	**PHA Information.**
A.1	**PHA Name**: _____ **PHA Code**: _____ **PHA Type**: ☐ Small ☐ High Performer **PHA Plan for Fiscal Year Beginning**: (MM/YYYY): _____ **PHA Inventory** (Based on Annual Contributions Contract (ACC) units at time of FY beginning, above) **Number of Public Housing (PH) Units** _____ **Number of Housing Choice Vouchers (HCVs)** _____ **Total Combined** _____ **PHA Plan Submission Type**: ☐ Annual Submission ☐ Revised Annual Submission **Availability of Information.** In addition to the items listed in this form, PHAs must have the elements listed below readily available to the public. A PHA must identify the specific location(s) where the proposed PHA Plan, PHA Plan Elements, and all information relevant to the public hearing and proposed PHA Plan are available for inspection by the public. Additionally, the PHA must provide information on how the public may reasonably obtain additional information of the PHA policies contained in the standard Annual Plan, but excluded from their streamlined submissions. At a minimum, PHAs must post PHA Plans, including updates, at each Asset Management Project (AMP) and main office or central

50075-HCV Housing Choice Voucher Only

50075-HCV ***Housing Choice Voucher (HCV) Only PHA*** - A PHA that administers more than 550 HCVs, was not designated as troubled in its most recent SEMAP assessment, and does not own or manage public housing.

50075-HP High-Performer PHA

50075-HP (***High-Performer PHA*** – A PHA that owns or manages more than 550 combined public housing units and housing choice vouchers, and was designated as a high performer on both of the most recent Public Housing Assessment System (PHAS) and Section Eight Management Assessment Program (SEMAP) assessments.

50075-SM Small PHA

50075-SM ***Small PHA*** - A PHA that is not designated as PHAS or SEMAP troubled, or at risk of being designated as troubled, and that owns or manages less than 250 public housing units and any number of vouchers where the total combined units exceeds 550.

50075-ST Standard or Troubled PHAs

- ***Standard PHA*** - A PHA that owns or manages 250 or more public housing units and any number of vouchers where the total combined units exceeds 550, and that was designated as a standard performer in the most recent PHAS or SEMAP assessments.
- ***Troubled PHA*** **-** A PHA that achieves an overall PHAS or SEMAP score of less than 60 percent.

PHA Information on the Template

HUD reviews the Annual Plan to determine whether:

- (1) The plan provides all the information that is required to be included in the Plan;
- (2) The Plan is consistent with the information and data available to HUD;
- (3) The Plan is consistent with any applicable Consolidated Plan for the jurisdiction in which the PHA is located; and
- (4) The Plan is not prohibited or inconsistent with the 1937 Act or any other applicable federal law. (see 24 CFR 903.23(a)(1-4).

The Components of the Plan

The information that the PHA must submit for HUD approval under the Annual Plan includes the discretionary policies of the various plan components or elements (for example, rent policies) and not the statutory or regulatory requirements that govern these plan components and that provide no discretion on the part of the PHA in implementation of the requirements.

Scope of Review

HUD's review of the Annual Plan (and any significant amendments or modifications to the plan) will be limited to the information required by §903.7(b), (g), (h), and (o), and any other element of the PHA's Annual Plan that is challenged.

A. PHA Information

- Type of PHA
- Number of Units
- Year of Submission
- Type of PHA Plan

- Is it correct? Is it consistent? Does it need a revision?

B. Annual Plan Elements: Revision of PHA Plan Elements

- Statement of Housing Needs and Strategy for Addressing Housing Needs
- Deconcentration and Other Policies that Govern Eligibility, Selection, and Admissions
- Financial Resources
- Rent Determination
- Operation and Management
- Grievance Procedures
- Homeownership Programs
- Community Service and Self-Sufficiency Programs
- Safety and Crime Prevention
- Pet Policy
- Asset Management
- Substantial Deviation
- Significant Amendment/Modification

B. Annual Plan Elements: New Activities

- Hope VI or Choice Neighborhoods
- Mixed Finance Modernization or Development
- Demolition and/or Disposition
- Designated Housing for Elderly and/or Disabled Families
- Conversion of Public Housing to Tenant-Based Assistance
- Conversion of Public Housing to Project-Based Assistance under RAD
- Occupancy by Over-Income Families
- Occupancy by Police Officers
- Non-Smoking Policies
- Project-Based Vouchers
- Units with Approved Vacancies for Modernization
- Other Capital Grant Programs (i.e., Capital Fund Community Facilities Grants or Emergency Safety and Security Grants)

B.3 Civil Rights Certification

50077–SL	Certification by State or Local Official of PHA Plans Consistency with the Consolidated Plan or State Consolidated Plan ***(All PHAs)***
50077–CR	Civil Rights Certification ***(Qualified PHAs)***
50077–CRT-SM	Certification of Compliance with PHA Plans and Related Regulations ***(Small PHAs)***
50077-ST–HP–HCV	Certifications of Compliance with PHA Plans and Related Regulations **(Standard, Troubled, HCV-Only, and High Performer PHAs)**

B.4 Most Recent Fiscal Year Audit

- Were there any findings?
- Describe.

B.5. Progress Report

- What progress did the PHA make on its mission, goals and objectives?

B.6. Resident Advisory Board (RAB) Comments

- If the RAB provided comments to the Annual Plan, mark “yes,” submit the comments as an attachment to the Plan and describe the analysis of the comments and the PHA’s decision made on these recommendations.

B.7. Certification by State or Local Officials

Form HUD-50077-SL, *Certification by State or Local Officials of PHA Plans Consistency with the Consolidated Plan*, must be submitted by the PHA as an electronic attachment to the PHA Plan.

C. Statement of Capital Improvements

PHAs that receive funding from the Capital Fund Program (CFP) must complete this section.

Questions?

PHAS
Public Housing Assessment System

FASS
Financial Assessment Sub-System
Unaudited/Audited
Financial Data Schedule - FDS

Presenter: Sandy Harris, Louisville Field Office

PHA Financial Reporting Schedule

Fiscal Year End	9/30	12/31	3/31	6/30
Unaudited Extension Request Deadline	11/15	2/13	5/16	8/16
Unaudited Due Date[1,2]	11/30	2/28	5/31	8/31
Audited Due Date[3]	6/30	9/30	12/31	3/31

IMPORTANT:

[1]Due dates do not include extensions

[2] Late penalty: 1 point score deduction every 15 days the submission is late with a maximum late penalty deduction of 5 points

[3]No extensions allowed for audited submissions

Q. How does a PHA request an extension of their unaudited FASS submission?

Housing Authority Executive Directors are required to submit any requests to waive Departmental regulations directly to their local field office PIH Director. The requesting letter must be typed on the PHA's letterhead, signed and dated. The local field office may accept the request via the U.S. Postal Office, overnight/express or scanned email.

Please note that all requests to waive regulations submitted directly to REAC will not be processed and, therefore, will be considered an incomplete submission.

Q. Who is responsible for submitting the PHA's unaudited/audited submissions?

Ultimately, PHA management is responsible for ensuring the FASS submission is made in a timely manner. Most smaller PHAs contract with a fee accountant. Generally, the fee accountant completes the unaudited submission.

The audited FASS submission is completed by the auditor.

Q. What action do I take if the FASS submission is rejected?

To avoid a Late Presumptive Failure (LPF) score of zero and a Substandard Financial Public Housing Assessment System (PHAS) designation, we encourage Public Housing Agencies (PHA) to review their Financial Submission Inbox on an ongoing basis after submission to PIH-REAC in order to correct any Rejection issues in a timely manner.

PHAs may submit and resubmit multiple corrected financial submissions as many times as necessary before the submission due date. However, PHAs that submit their Unaudited and Audited financial submissions within 15 days of the due date and are later rejected by the FASS team will receive only ONE opportunity to correct their submission. The correction must be submitted within 15 days of the rejection.

OMB Circular A-133 section .320 states that the audit should be submitted within the **earlier** of 30 days after receipt of the auditor's report(s) or nine months after the end of the audit period.

HUD's encourages early submission of the audited FDS for the following reasons:

- Allows both the PHA and PIH-REAC time to resolve contentious issues and;
- Reduces the possibility of a PHA being Late Presumptively Failed due to submission of an unacceptable audit.

Q. How is a deregulated PHA treated under FASS?

The deregulation rule deregulates the assessment and scoring of small PHAs under the PHAS. Small PHAs are those with fewer than 250 low rent units under management. These PHAs will be assessed every other year unless the PHA is troubled or it chooses to be assessed under PHAS on an annual basis.

For PHAs who qualify for the exemption, an e-mail notification will be sent from the Office of Public and Indian Housing Real Estate Assessment Center (PIH-REAC) to the PHA Executive Director (ED) indicating the PHA is exempt from PHAS for that year.

Q. How is a PHA scored under FASS?

There are three indicators under FASS:

Quick Ratio (QR) – Possible score 12 – measures liquidity

Months Expendable Net Assets Ratio (MENAR) – Possible score 11 – measures adequacy of reserves

Debt Service Coverage Ratio (DSCR) – Possible score 2 – measures capacity to cover debt

Financial Management

Operating Subsidy

Presenter: Sandy Harris, Louisville Field Office

Q. What is operating subsidy? How is it calculated?

Operating subsidy is provided annually to PHAs through the operating fund.

Each PHA's eligibility is calculated using the variables identified below:

Number of ACC units in PIC
PHA's Project Expense Level (PEL)
Utilities Expense Level (UEL)
Payments in Lieu of Taxes (PILOT)
Audit Costs Paid by PHA
Funding for Resident Participation Activities
Information Technology Fee
Asset Management Fee (if PHA implemented asset management)
Formula Income

Q. How do PHAs access their operating subsidy eligibility?

eLOCCS

Q. What are eligible uses of operating subsidy?

PHAs can use operating subsidy to pay the costs of any expenses incurred in the day-to-day operations of the housing authority.

Q. What are operating reserves?

Operating Reserves are an accumulation of excess revenues over expenses at the end of each fiscal year period.

Operating Reserves are used for routine operating expenses.

Q. What is an Operating Budget?

Each PHA is required to prepare an annual operating budget.

The budget is presented to the Board for review and approval.

PHAs are not required to submit their budget to HUD for review and approval unless they are troubled or there are extenuating circumstances to warrant HUD's review.

File Maintenance

Record Retention

The most important thing to remember about File Maintenance is that all files should be easily auditable.

Presenter: Sandy Harris, Louisville Field Office

Flat Rent

General Questions / Concerns

Flatrentexceptionrequests@hud.gov

Presenter: Sonja Redmon, Louisville Field Office

Guidance

- Changes to Flat Rent Requirements – FY 2015 Appropriations Act
  - Notice 2015-13 published in September 2015

Flat Rent Options

Housing authorities should choose one option and set the flat rent no less than:

- 80% of Fair Market Rent (FMR) or
  80% of Statewide Minimum depending on availability
  Source: HUD
- 80% of Small Area Fair Market Rent (SAFMR) or
  80% of Unadjusted Rent depending on availability
  Source: HUD
- Results of Market Analysis
  Source: Housing Authority Research

If using this option, the PHA must submit an exception request

*An exception request is not needed to set a higher flat rent than option 1 or 2 above.

**FMR/Statewide minimum and SAFMR/unadjusted rent is by availability, not PHA choice.

Establishing FMR-Based Flat Rents

- FMR-based flat rent amount does not need HUD approval.
- PHAs must update flat rents within 90 days of the effective date of new FMRs or submit an exception request.

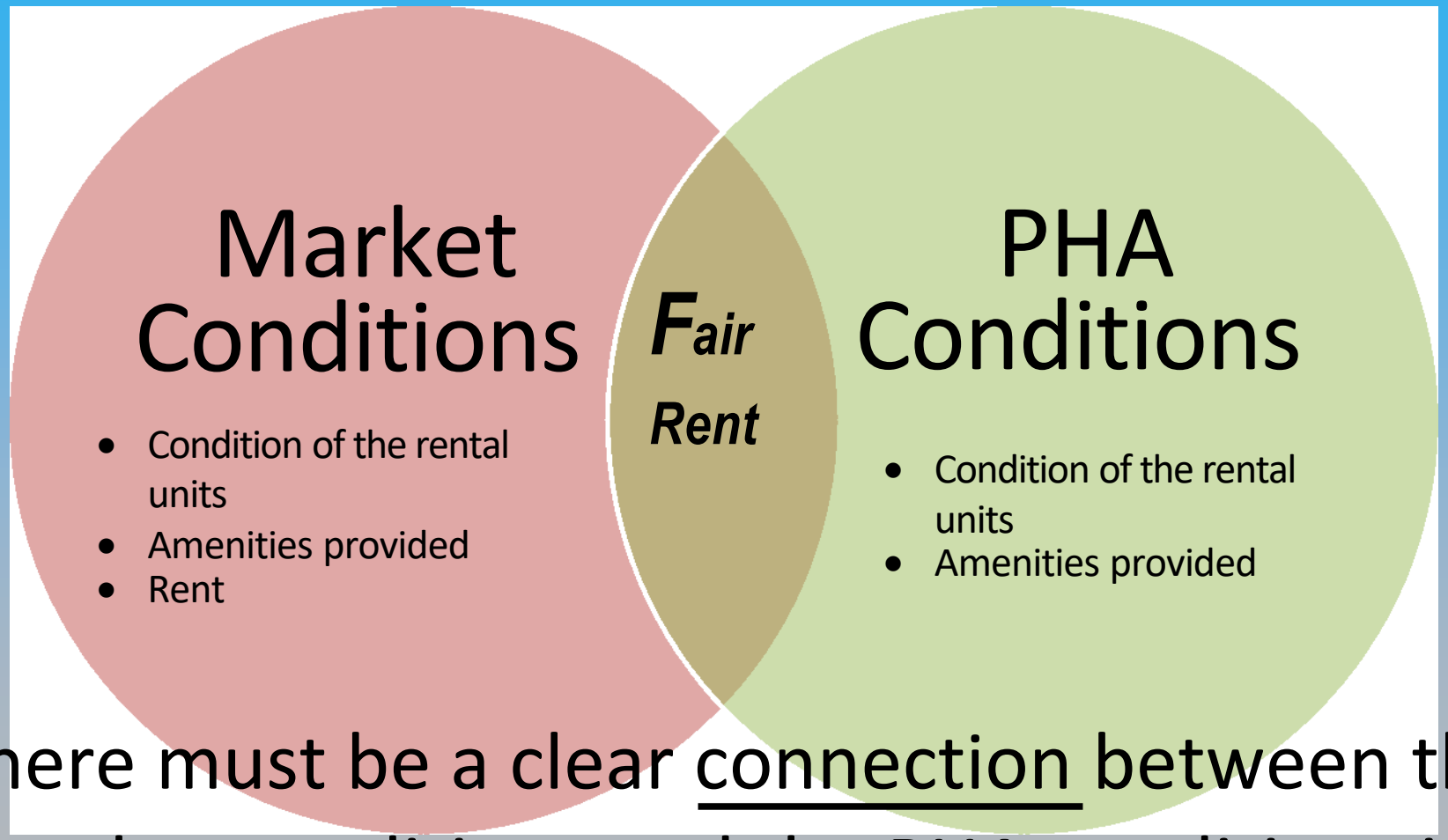
Where to Find Fair Market Based Flat Rents

- FMR information available at: https://www.huduser.gov/portal/datasets/fmr.html
- SAFMR information available at: https://www.huduser.gov/portal/datasets/fmr/smallarea/index.html
- Unadjusted rents can be found at: *https://www.huduser.gov/portal/datasets/fmr.html*

What is a Market Study

- A market study collects and analyzes the local rental market conditions to determine the average and appropriate rent for an area.
- There is no one standard or methodology of how to conduct a market study, but there are a few common methodologies HUD has approved.

Market Study



There must be a clear connection between the market conditions and the PHA conditions in order to determine the appropriate flat rent.

Suggestions of Where to Find Information

- Newspaper Advertisements
- Internet Research
- Rental Flyers
- Phone Research
- Interviews with Tenants
- Property Tax Records (square footage)

The most important factor is to document where and when (month and year) you found the information.

Steps to a Market Study

Step 1: Select Comparable Units

Step 2: Compare PHA Units and Market Rate Units

Step 3: Calculate Flat Rent

Finding Comparable Units

- Physically located in the same rental market:
  - The PHA should use discretion when determining if a unit is in the same rental market.
  - The average tenant would consider moving to a unit in the given location.
- Unsubsidized by a government or non-profit agency:
  - Rent is set independent of a tenant's income.
  - The unit does not have maximum income restriction.
  - Examples of subsidized units: USDA subsidized units, tax credit units, other public housing authorities, and other HUD programs.

Steps to a Market Study

Step 1: **Select Comparable Units**

Step 2: **Compare PHA Units and Market Rate Units**

Step 3: **Calculate Rent**

Compare PHA & Market Rate Units

- The market study should evaluate both the public housing and market rate units and adjust for differences in order to determine the fair market rent for the public housing units.

- Note: This includes taking into account who pays the utilities.

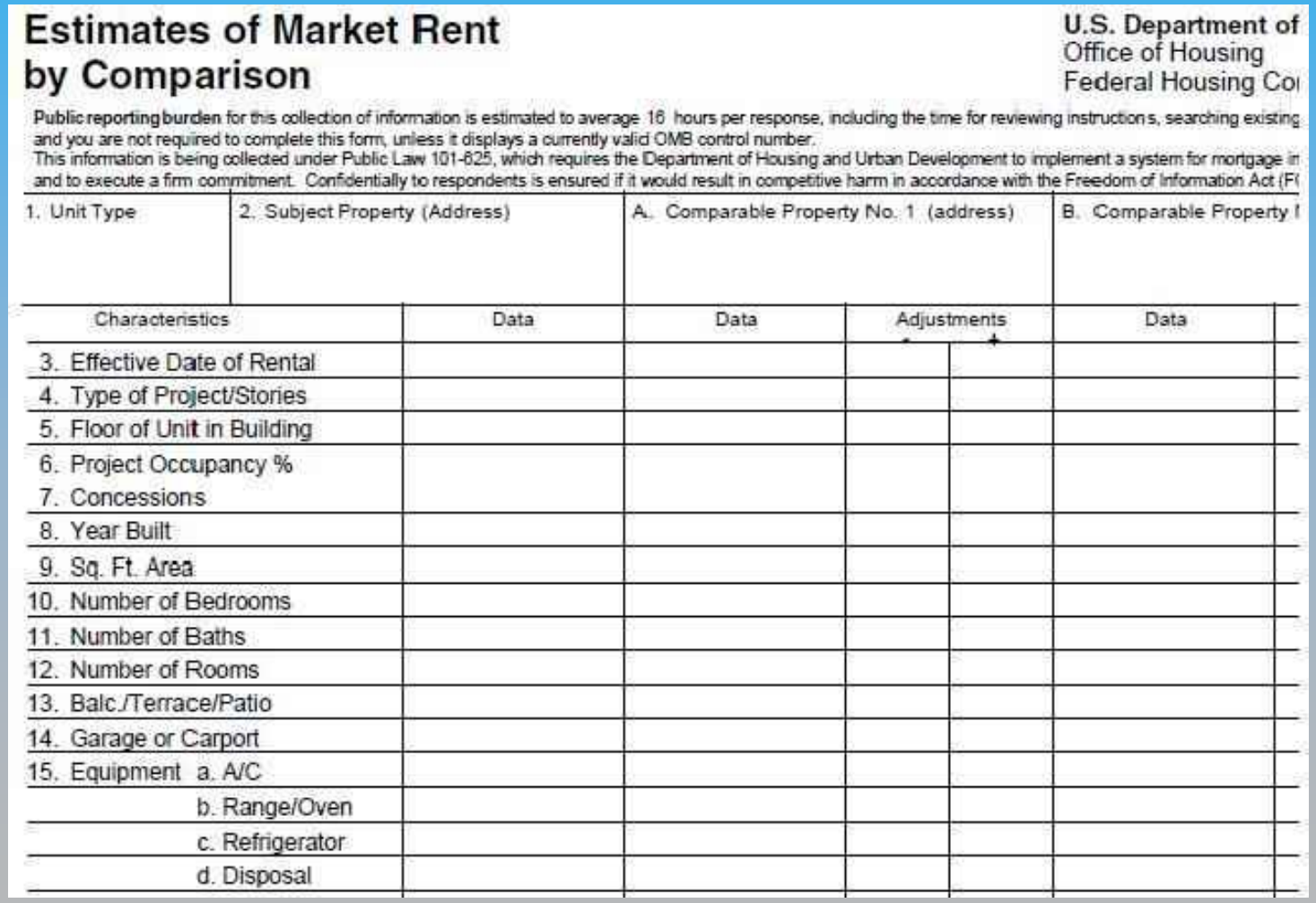
References for More Information

These forms and methodologies are useful, but not required for documenting differences among properties:

- "Fair Market Rents For The Section 8 Housing Assistance Payments Program" available: https://www.huduser.gov/portal/datasets/fmr.html
- HUD 92273 and HUD 92273-S8
- Freddie Mac Form 1000 / Fannie Mae Form 1007 https://www.fanniemae.com/content/guide_form/1007.pdf

HUD 92273 (pdf)

HUD 92273-S8 (excel)



Estimates of Market Rent by Comparison

U.S. Department of
Office of Housing
Federal Housing Co

Public reporting burden for this collection of information is estimated to average 16 hours per response, including the time for reviewing instructions, searching existing
and you are not required to complete this form, unless it displays a currently valid OMB control number.
This information is being collected under Public Law 101-625, which requires the Department of Housing and Urban Development to implement a system for mortgage in
and to execute a firm commitment. Confidentiality to respondents is ensured if it would result in competitive harm in accordance with the Freedom of Information Act (FI

1. Unit Type	2. Subject Property (Address)	A. Comparable Property No. 1 (address)	B. Comparable Property I

Characteristics	Data	Data	Adjustments -	Adjustments +	Data
3. Effective Date of Rental					
4. Type of Project/Stories					
5. Floor of Unit in Building					
6. Project Occupancy % 7. Concessions					
8. Year Built					
9. Sq. Ft. Area					
10. Number of Bedrooms					
11. Number of Baths					
12. Number of Rooms					
13. Balc./Terrace/Patio					
14. Garage or Carport					
15. Equipment a. A/C					
b. Range/Oven					
c. Refrigerator					
d. Disposal					

How to Report Amenities

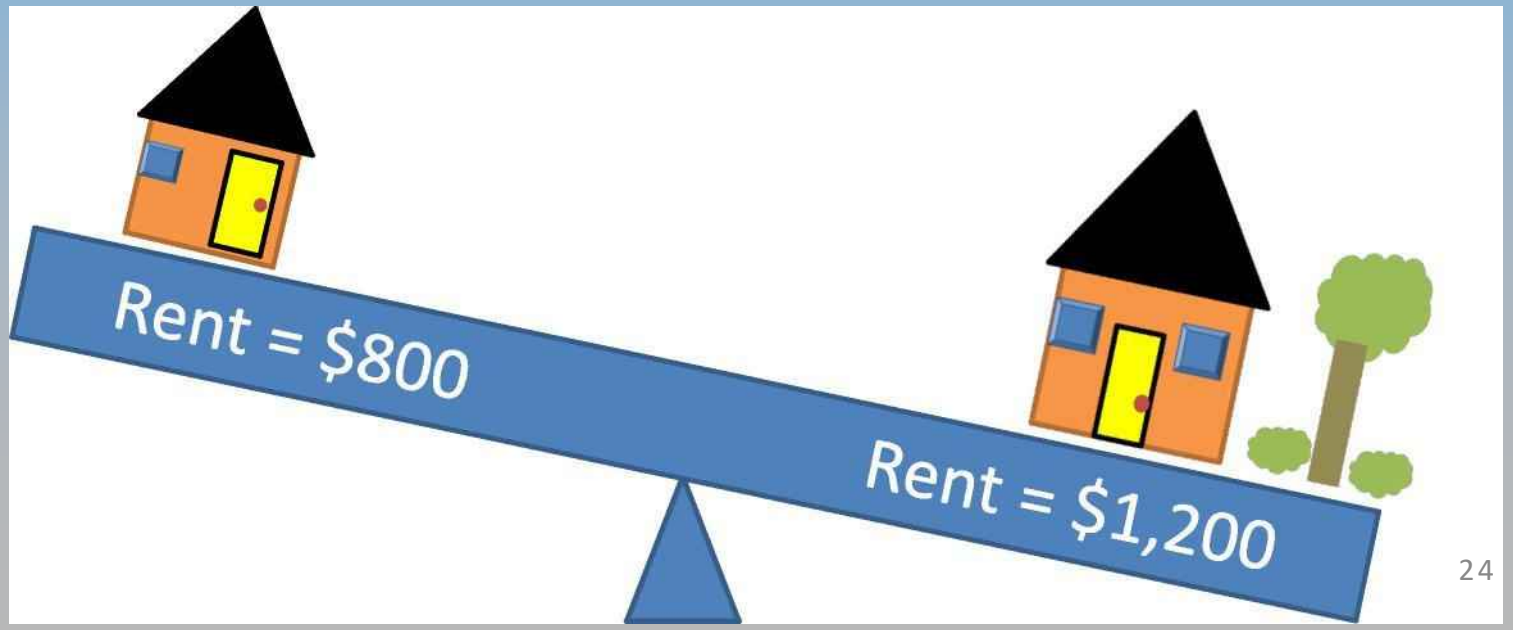
- Document all relevant information!
- Tables are a great way to organize data!

	Public Housing	Comp 1	Comp 2	Comp 3
Rent		$450	$385	$512
Age	1965	1985	2005	1973
Year Renovated				2012
Refrigerator	x	x	x	x
Dishwasher		x	x	
Laundry		On-Site	Connections	In Unit
Carpeting		x	x	x

Evaluate and Adjust Similarities & Differences

Are you comparing apples to apples?

A market analysis should identify and compare the amenities and general conditions and adjust for differences in order to determine the fair market rent for PHA units.



Steps to a Market Study

Step 1: **Select Comparable Units**

Step 2: **Compare PHA Units and Market Rate Units**

Step 3: **Calculate Rent**

Frequently Asked Questions

Varying Public Housing Developments

- Can I set different flat rents for different PHA properties?

  Yes, but you must provide an explanation.

- Common reasons:
  - Different locations (i.e. downtown).
  - Different size units (i.e. square footage).
  - Different amenities.
  - Different age and/or renovation.

Additional Sample Methodologies for Conducting a Market Analysis

- Compare cost per square foot
- The point system

Common Issues with Flat Rent Exception Market Studies

- Lacking utility data.
- Lacking the minimum of three comparable units.
- Arbitrary assignment of amenity values.
- Placing apples with oranges without an explanation.
- Assignment of different monetary values for similar amenities without an explanation.
- Use of subsidized units as comparables.

For More Information Contact:

General Questions:
Flatrentexceptionrequests@hud.gov

Allison Ackerman
Allison.L.Ackerman@hud.gov
(202) 402-5445

Whitney Duffy
Whitney.L.Duffey@hud.gov
(202) 402-5792

Todd Thomas
Todd.C.Thomas@hud.gov
(678) 732-2056

Joshua Noonan
Joshua.R.Noonan@hud.gov
(202) 402-5213

HUD Notice 2015-13:
Changes to Flat Rent Requirements – FY 2015 Appropriations Act

HUD-VASH

Department of Housing and Urban Development (HUD)
& Department of Veterans Affairs (VA)
Supportive Housing Program

HUD – VASH 101

An Introduction to the Program

Presenter: Sonja Redmon, Louisville Field Office

VA and HUD Commitment

- The Five-Year Plan to Eliminate Homelessness among Veterans calls for coordinated, collaborative efforts with community partners, including local, state and federal government agencies.

- The Department of Housing and Urban Development (HUD) and Department of Veterans Affairs (VA) work together on the U.S. Interagency Council on Homelessness.

- VA and HUD have established High Priority Performance Goals that measure the impact of their programs on Veteran homelessness.

VA Eligibility

PARTNER RESPONSIBILITIES

- **VA Case Managers** determine clinical eligibility and homeless status. Primary focus is assisting those who are chronically Homeless.
- **PHAs** determine if the Veteran meets HUD criteria for income and is not a lifetime registered sex offender under a State sex offender registration program.

VA Eligibility

Criteria:

- Eligible for VA Health Care
- Homeless per McKinney Vento definition
- Identified need for case management to successfully live in community housing
- Agreement to participate in program of recovery and case management

VA Eligibility

- Is NOT predicated on the following: – Length of sobriety

–Treatment compliance

– Prior treatment in other homeless programs

– Income verification by VA

–Criminal Background Check

Housing First Model

Housing First offers:

- Permanent housing with supportive & treatment service to homeless individuals or families,
- Few requirements for treatment participation prior to housing
- Priority and focus is **on housing**

http://www.endhomelessness.org/section/tools/housingfirst

Case Management

Goals:

- Establish a therapeutic relationship that promotes access, respect and hope
- Provide support for long-term recovery by working toward housing recovery plan goals
- Reassess needs and goals based on changing conditions
  - Inability to maintain sobriety does not generally lead to discharge from case management if Veteran can maintain housing
  - Veteran may require brief intervention or higher level of care
- Foster community integration and independence
- Main Goal: Veteran sustained in permanent housing

Case Management

- Coordinate VA and community interventions
  - Act as a liaison with critical partners
    - Landlord
    - Other service providers

- **Make regular home visits to assess Veteran's** ability to maintain in a safe environment that promotes
  - Housing Stability
  - Social Connection
  - Recovery

Termination

- HUD-VASH assistance may be terminated if the family refuses, without good cause, to participate in required case management as verified by the VAMC.

Termination

A **VAMC's determination** that case management is no longer needed is <u>not</u> grounds for termination of Housing Choice Voucher assistance.

> If PHA has other HCV vouchers they may give it to the Veteran. The Veteran family is not subject to the PHA's waiting list because they are already a participant in the PHA's HCV program.

> HUD-VASH will then get the original voucher back to use with another eligible homeless Veteran.

> If PHA does not have alternative voucher, Veteran would continue with HUD-VASH voucher until it was no longer needed.

VAMC referrals to PHA

- Eligible homeless Veterans that agree to participate in VA case management are referred to the VAMC's partner PHA.

- The PHA must maintain written documentation of VAMC referrals in their HUD-VASH tenant files.

PHA screening

- PHAs only screen for income eligibility and for lifetime registration under a state sex offender registration program and can only deny issuance of a voucher for those reasons.

- Under portability, the receiving PHAs must also comply with VASH screening requirements.

PHA screening

- PHAs cannot screen for or deny issuance of a voucher for money owned to the PHA or for criminal or drug activity.

- A PHA cannot deny issuance of a voucher or admission into the program for zero income status.

HUD-VASH
Operating Requirements

Income – minimum rent

- A PHA can charge a minimum rent of up to $50
- However, if a Veteran is awaiting notification about the receipt of VA benefits or other forms of assistance, the PHA must grant the Veteran a hardship exemption.
- See 24 CFR 5.630 (3)(b).
- In such cases, a PHA cannot delay voucher issuance or admission until the benefits are received.

Income

- The PHA must determine income eligibility for HUD-VASH families in accordance with 24 CFR 982.201.
- PHAs should discuss these requirements with their partner VAMCs.
- HUD income limits do not apply at reexams.

Income

- Income targeting requirements do not apply to HUD-VASH vouchers.

- However, a PHA may choose to include the admission of extremely low income HUD-VASH families in its income targeting numbers for the FY of a family's admittance.

Lifetime sex offender registration

- If the homeless Veteran is subject to state lifetime registration – PHA cannot issue HUD-VASH voucher to the Veteran.

- If another family member is the lifetime registrant – family may be eligible for voucher if the family member subject to the registration requirement is removed from the household.

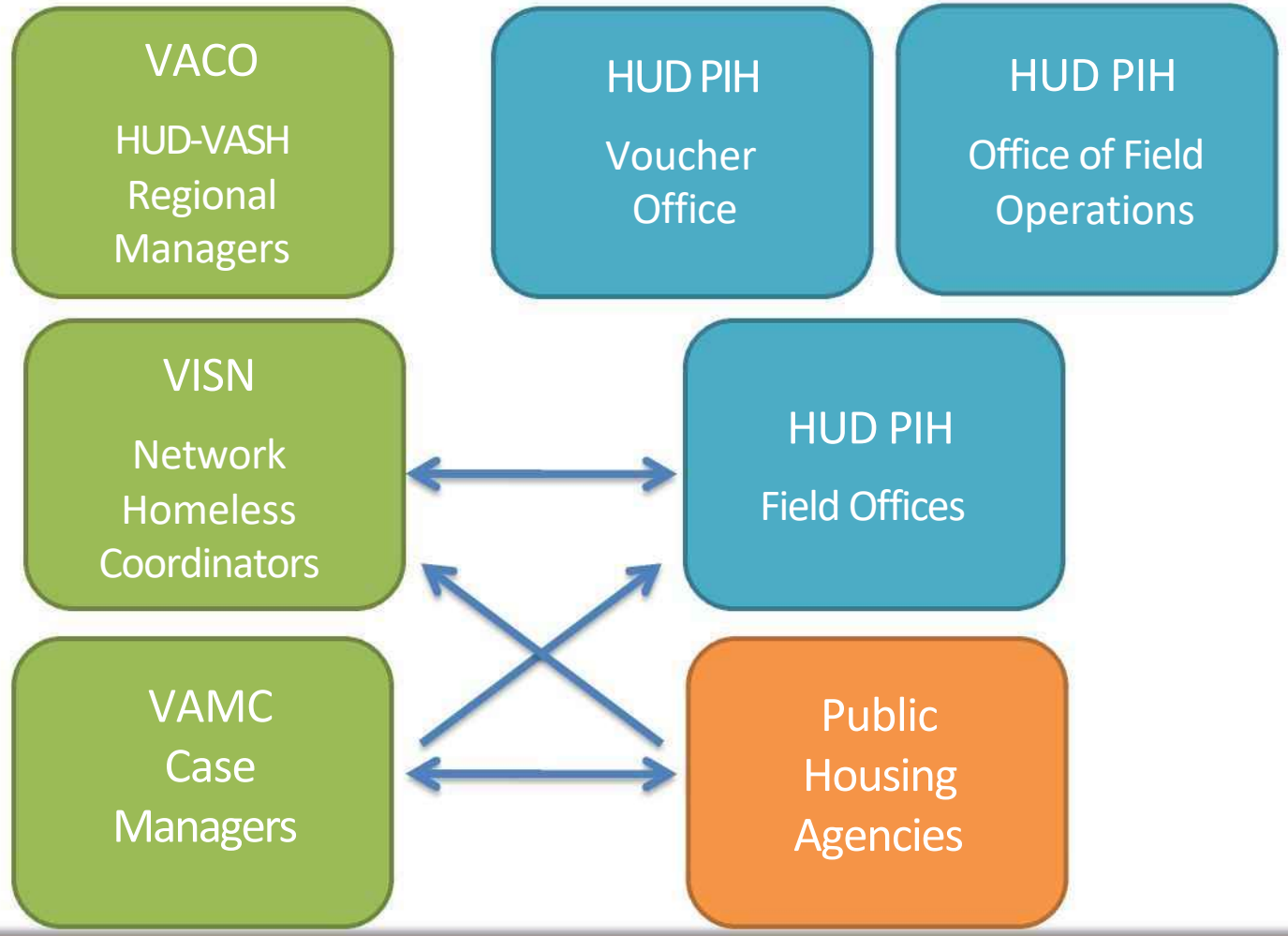
VASH code for form HUD-50058

- The code, “VASH,” has been established for use on line 2n to indicate that the family is participating in a special program.

- Code must remain on the form for the duration of the family’s participation in the program by the initial and receiving PHA (if voucher is ported).

HUD-VASH
Frequently Asked Questions

Program Structure



Frequently Asked Questions

- **What is the primary goal of HUD-VASH?**
  - **To end Veteran homelessness.**
  - **To obtain and sustain the Veteran in permanent housing.**

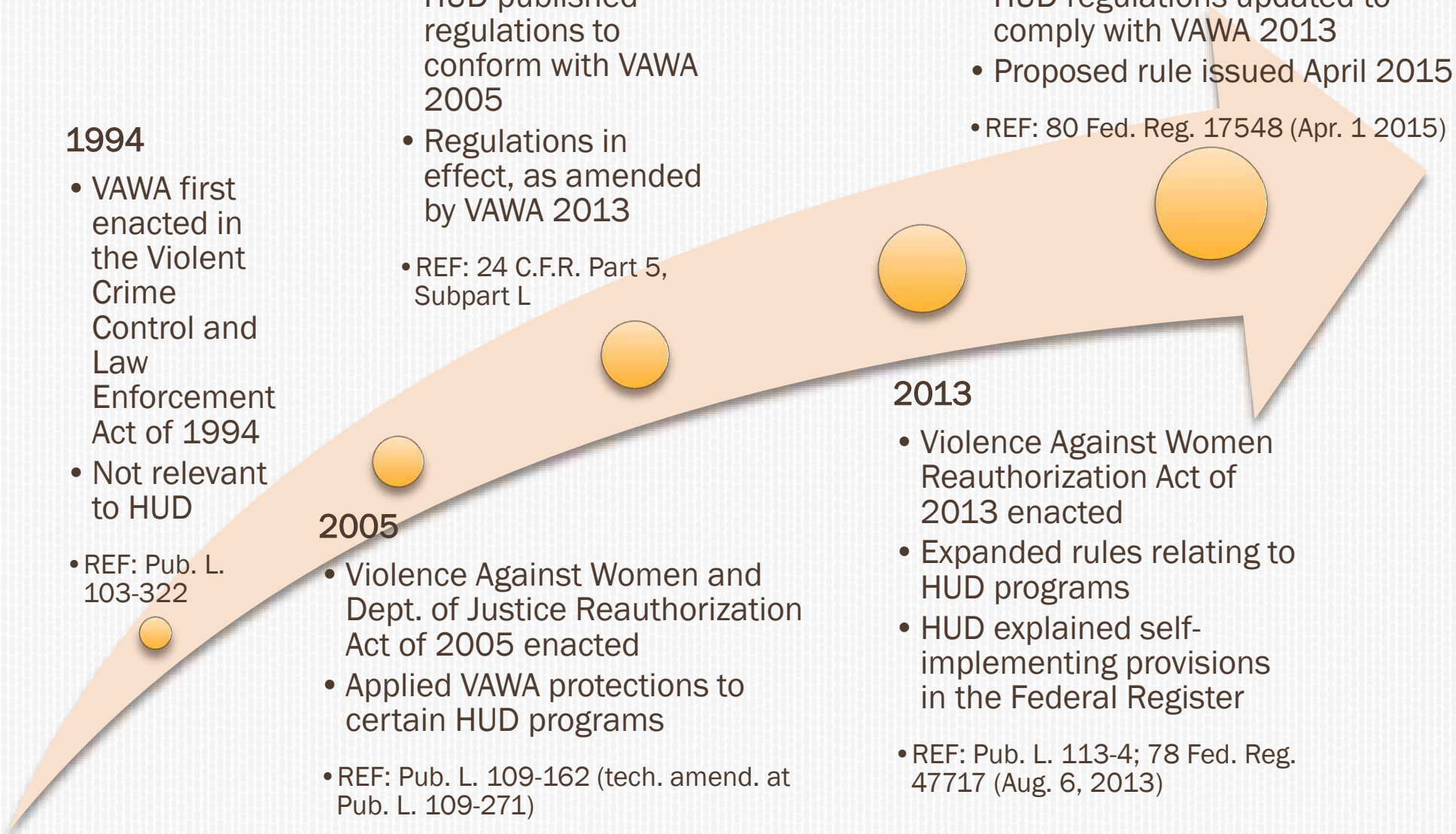
Frequently Asked Questions

- If a Veteran is interested in participating in the HUD-VASH program, who should he or she contact?
  - Any interested homeless Veterans should contact their local VAMC directly. HUD has posted a list of VAMCs and participating PHAs on the HUD-VASH website.
  - Also, the Veteran can call National Call Center for Homeless Veterans hotline: 1-877-424 3838 or 1-877-4AID VET

Violence Against Women Act (VAWA)

Presenter: Sonja Redmon, Louisville Field Office

VAWA TIMELINE: IMPACTS ON HUD



1994

- VAWA first enacted in the Violent Crime Control and Law Enforcement Act of 1994
- Not relevant to HUD

- REF: Pub. L. 103-322

2005

- Violence Against Women and Dept. of Justice Reauthorization Act of 2005 enacted
- Applied VAWA protections to certain HUD programs

- REF: Pub. L. 109-162 (tech. amend. at Pub. L. 109-271)

2010

- HUD published regulations to conform with VAWA 2005
- Regulations in effect, as amended by VAWA 2013

- REF: 24 C.F.R. Part 5, Subpart L

2013

- Violence Against Women Reauthorization Act of 2013 enacted
- Expanded rules relating to HUD programs
- HUD explained self-implementing provisions in the Federal Register

- REF: Pub. L. 113-4; 78 Fed. Reg. 47717 (Aug. 6, 2013)

FUTURE

- HUD regulations updated to comply with VAWA 2013
- Proposed rule issued April 2015

- REF: 80 Fed. Reg. 17548 (Apr. 1 2015)

PROTECTED BY VAWA

Victims of:

Domestic violence
Dating violence
Stalking
Sexual assault

Referred to as
"VAWA-covered crimes"

REF: 42 U.S.C. § 14043e-11(b)(1)

PROTECTED BY VAWA

Victims may be:

- Women
- Men
- Children

Note: PHAs must provide equal access regardless of sexual orientation, gender identity, or marital status. *PIH Notice 2014-20.*

REF: 75 Fed. Reg. 66246, 66251 (Oct. 27, 2010)

VAWA DEFINITIONS

SEXUAL ASSAULT

- Any nonconsensual sexual act proscribed by Federal, tribal, or State law, including when the victim lacks capacity to consent.

REF: 42 U.S.C. § 13925(a)(29).

VAWA DEFINITIONS

STALKING

- A course of conduct directed at a specific person that would cause a reasonable person to:
  - Fear for his or her safety;
  - Fear for the safety of others; or
  - Suffer substantial emotional distress.

REF: 42 U.S.C. § 13925(a)(30)

VAWA DEFINITIONS

DATING VIOLENCE

- Violence committed by a person who is or has been in a social relationship of a romantic or intimate nature with the victim
  - A social relationship of a romantic or intimate nature is determined based on:
    - the length of the relationship
    - the type of relationship
    - the frequency of interaction between the persons involved in the relationship

REF: 42 U.S.C. § 13925(a)(10); 24 C.F.R. § 5.2003

VAWA DEFINITIONS

DOMESTIC VIOLENCE

- Felony or misdemeanor crimes of violence committed by:
  - A current or former spouse or intimate partner of the victim
  - A person with whom the victim shares a child in common
  - A person who is cohabiting or has cohabited with the victim
  - A person specified under state or local domestic or family violence laws

REF: 42 U.S.C. 13925(a)(8); 24 C.F.R. § 5.2003

COVERED HOUSING PROGRAMS

- HUD programs under US Housing Act of 1937 (42 U.S.C. 1437)
  - Housing Choice Vouchers (HCV) and Public Housing (PH)

- Supportive Housing for the Elderly (Section 202)
- Supportive Housing for Persons with Disabilities (Section 811)
- Housing Opportunities for Persons With AIDS (HOPWA) program
- HOME Investment Partnerships (HOME) program
- Homeless programs under title IV of the McKinney-Vento Act
- Certain Federal Housing Administration (FHA) mortgage insurance for multifamily rental housing
- Rural housing assistance under the Housing Act of 1949
- Low-income housing tax credit program (Section 42 of Internal Revenue Code)

REF: 42 U.S.C. § 14043e-11(a)(3)

PHA POLICIES THAT MUST ADDRESS VAWA

REF: 42 U.S.C. § 1437C-1, 24 C.F.R. Parts 903, 966, 982

NOTICE OF RIGHTS

- Provide notice of occupancy rights and HUD-50066 (certification form):
  - When applicant is denied assistance
  - At the time of admission
  - With any notification of eviction or termination
  - At the next reexamination following publication of forms
- HUD will publish "Notice of Occupancy Rights under the Violence Against Women Act"
  - Use PHA notice until published

REF: 42 U.S.C. § 14043e-11(d); 24 C.F.R. § 5.2005(a)

PROTECTIONS FOR APPLICANTS

- PHAs must not deny assistance because of victim-status
  - Screening: provide opportunity to assert VAWA protection and explain unfavorable history
  - PHAs may prohibit the perpetrator from residing in the unit
  - Applies to HCV landlords

REF: 24 C.F.R. §§ 5.2005(b), 982.452(b)(1)

PROTECTIONS FOR PARTICIPANTS

- PHAs must not evict tenants because of victim-status
  - Incidents of a VAWA-covered crime are not:
    - A lease violation by the victim
    - Criminal activity by the victim
    - Good cause for terminating assistance to the victim

- PHAs must not evict tenant because an affiliated individual is a victim (if tenant is not the perpetrator)
  - Affiliated individual:
    - Family member
    - Occupant of the household

REF: 42 U.S.C. § 14043e-11(b); 24 C.F.R. §§ 5.2005(c), 982.310

PROTECTIONS FOR PARTICIPANTS

- Limits:
  - PHAs have authority to comply with court orders
  - Lease violations unrelated to VAWA-covered crimes are cause for termination
    - VAWA-covered victims must not be held to higher standards
  - PHAs can evict to address an actual and imminent threat
    - Must be a last resort
- Actual and imminent threat:
  - Real physical danger
  - Immediate time frame
  - Could result in death or serious bodily harm

REF: 42 U.S.C. § 14043e-11(b); 24 C.F.R. § 5.2005(e)

IF VICTIM AND PERPETRATOR LIVE TOGETHER…

Lease bifurcation: evict the perpetrator, allow victim to stay

- VAWA 2013 conforming regulations will allow remaining occupants time to establish eligibility for the program/find new housing

REF: 42 U.S.C. § 14043e-11(b); 24 C.F.R. §§ 5.2009, 982.315

EMERGENCY TRANSFER

- VAWA 2013 requires HUD to publish a model emergency transfer plan
  - Model plan and regulations proposed
- Plans will allow a victim to move to an available and safe unit in two cases:
  - The tenant reasonably believes he or she is threatened with imminent harm from further violence if he or she stays
  - The tenant was sexually assaulted on the premises during the 90-day period preceding the transfer request
- Tenant must expressly request transfer

REF: 42 U.S.C. § 14043e-11(e); 80 Fed. Reg. 17548 (Apr. 1, 2015)

HOUSING CHOICE VOUCHER PROVISIONS

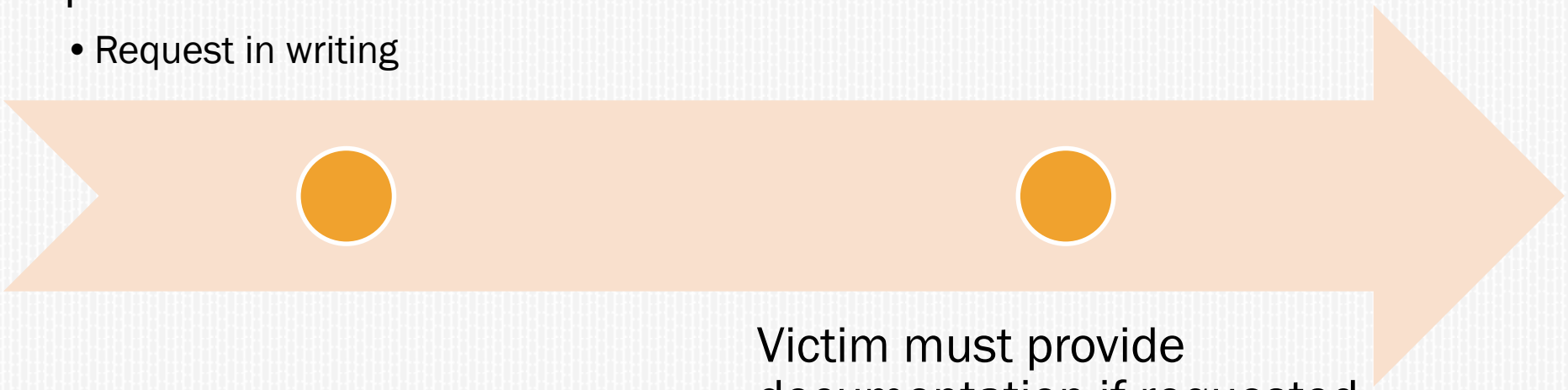
- An HCV family retains assistance if it moves:
  - To protect the health or safety of a victim who is imminently threatened with further violence
  - If a family member was sexually assaulted on the premises during the 90-day period preceding the move
- Can move without prior notice to the PHA
- Family may use its voucher in another jurisdiction (portability) in these circumstances

REF: 42 U.S.C. § 14043e-11(e); 24 C.F.R. §§ 982.353(b), 982.354

DOCUMENTATION OF VICTIM STATUS

PHA may request documentation that the person is entitled to VAWA protections

- Request in writing



Victim must provide documentation if requested

- Only provide name of abuser if it is known & safe to do so
- 14-day deadline, unless extended

REF: 42 U.S.C. § 14043e-11(c); 24 C.F.R. § 5.2007

DOCUMENTATION OF VICTIM STATUS

Self-certification

- Form HUD-50066

Document signed by:

- Victim service provider
- Attorney
- Medical professional
- Mental health professional

Law enforcement, court, or administrative agency record

Other statement or evidence acceptable under PHA policy

REF: 42 U.S.C. § 14043e-11(c)(3)

REQUIRING FURTHER DOCUMENTATION

PHA can require third-party documentation if self-certifications conflict

Proposed rule considers requiring additional documentation of the need for emergency transfer

REF: 42 U.S.C. § 14043e-11(c)(7); 24 C.F.R. § 5.2007(e); 80 Fed. Reg. 17548 (Apr. 1, 2015)

INFORMATION DISCLOSURE

PHAs must not disclose VAWA information	
Exceptions:	• Victim requests or consents in writing • Info required for VAWA-related eviction • Otherwise required by law

REF: 24 C.F.R. § 5.2007(b)(4)

Utility Allowances

Executive Director Training

Presenter: Frank McNeil, Louisville Field Office

Regulatory Criteria

- 24 CFR Part 5 – General HUD Program Requirements; Waivers
  - § 5.632 – Utility reimbursements
- 24 CFR Part 965, Subpart E – Resident Allowances for Utilities
- 24 CFR Part 990 – The Public Housing Operating Fund Program
  - Performance Funding System (PFS)

Resident Allowances for Utilities per 24 CFR Part 965, Subpart E

- Discusses the establishment of utility allowances and surcharges by PHAs,
- Addresses both PHA-furnished and Resident-purchased utilities,
- Outlines all pertinent statutory and regulatory requirements,
- Itemizes the regulations from § 965.501, Applicability, through § 965.508, Individual relief.

Utility Allowance

- An amount equal to the estimated monthly cost of reasonable consumption of utilities and other housing services - for an assisted unit - paid by the resident which are in addition to the basic rent paid
- By definition, the total monthly cost of rent paid by the resident shall include the cost of all utilities *and* essential housing services associated with the unit.
  - Therefore, where *all* utilities are supplied by the PHA, rent paid by resident equals total tenant payment required.
  - However, where *some* or *all* utilities are supplied by the PHA but their cost is not included in the amount paid as rent, rent paid by resident equals tenant payment minus utility allowance.

The Concept of Utilities

- Resident rent includes all utilities and services associated with the leasing of a dwelling unit. Therefore, if a resident pays for any utilities (Resident-purchased utilities which are individually metered), he/she needs to be reimbursed, thus, an ***allowance***.

- If a PHA pays for the cost of utilities (PHA-furnished utilities which are master metered), no reimbursement is due to the tenant. However, to control the "excessive" use of mastered metered utilities paid by PHAs, a PHA may:
  - Establish an maximum allowance on usage where check-meters are installed, with surcharges assessed to the resident for excess usage beyond the allowed amount.
  - Where no check-meters are in place, institute surcharges for optional equipment whether provided by the PHA (optional function) or owned by the resident.

Standards for Allowances for Utilities per § 965.505

- **Objective**: Establish allowances which approximate a *reasonable consumption of utilities by an energy conservative household of modest means* consistent with a safe, sanitary and healthful living environment, and
- Must include reasonable consumption for major equipment or for utility functions, for essential equipment, and for minor items of equipment furnished by the residents.

Additional Guidance for PHAs

- A PHA has full discretion in determining the elaborateness and complexity of the methods chosen to establish allowances for utilities.
- However, such methodology will depend on the following factors:
  - the type of housing stock,
  - data available ,
  - administrative resources available to be devoted to data collection, formulation of methods, and monitoring.

Additional Guidance for PHAs

- Two basic ways to determine the utility allowance:
  - Based on historical data
    - Existing Buildings
  - Based on heat loss calculation
    - New Construction

Factors Affecting Consumption

- Equipment and functions intended;
- Climatic location of the development or properties;
- Size of unit and number of occupants therein;
- Type of construction and design of the development;
- Energy efficiency of appliances/equipment;
- Consumption requirements of appliances/equipment;
- Physical condition of the development;
- Temperature settings during cold and hot weather; and
- Temperature setting of domestic hot water

Establishment of Utility Allowances and Surcharges

- Per § 965.506(a), PHAs shall establish two types of utility allowances.
  - Resident-purchased utilities (*individually metered)*
  - PHA-furnished utilities (*master metered*) where such utilities are check-metered
- Per § 965.506(b), PHAs shall establish a schedule of surcharges.
  - PHA-furnished utilities (*master metered*) where check meters have not been installed

Categories for the Establishment of Utility Allowances

- Per § 965.503, a PHA shall establish Utility Allowances for each utility type, for each development, and for each bedroom configuration.
- In the Public Housing Program, PHAs typically establish Utility Allowances for types of similar developments or properties, such as family-type vs. elderly-occupied.

Period of Establishment of Allowances by HAs per § 965.504

- PHA-furnished utilities (master metered)
  - Quarterly; however, residents may be charged on a monthly basis
- Resident-purchased utilities (individually metered)
  - Monthly
- In both cases, the allowances established may provide for seasonal variations

More Requirements per § 965.502(b)

- A PHA shall maintain adequate documentation to support the basis on which allowances and scheduled surcharges, and revisions thereof, are established and revised. Such records must be made available for review by the residents.
- PHAs alone are fully responsible for the establishment of utility allowances, schedule of surcharges, and revisions thereof, "unless deemed arbitrary, capricious, and abuse of discretion, or otherwise not in accordance with the law."

Notice Requirements to Residents per § 965.502(c)

- A PHA shall provide a 60-day notice to all residents of any proposed utility allowances, surcharges and revisions thereof
- The notice shall, among other things:
  - Adequately describe the basis for such action, including a statement of the equipment or functions whose utility consumption requirements were used in determining such allowance or scheduled surcharges,
  - Advise of the locality of where this information would be available for review, and
  - Provide an opportunity for the submittal of comments by the residents up to 30-days prior to the effective date or implementation of the action.

Surcharges for Excess Consumption of PHA-furnished Utilities per § 965.506

- (a) For PHA-furnished utilities with check meters, the PHA shall establish surcharges for excess consumption in excess of the allowed *allowance*
  - Based on the average utility rate paid by the PHA,
  - Computed on a straight per unit of purchase basis, or for stated block of excess consumption,
  - The basis for calculating these surcharges must be described in the *Schedule of Allowances*
- (b) For PHA-furnished utilities with no check meters, the PHA shall establish schedules of surcharges - indicating additional cost residents will have to pay - for the consumption of (1) resident-owned appliances, or (2) for PHA-furnished equipment with optional functions.
  - Equipment and amounts must be identified,
  - Charges based on reasonable usage and cost to the PHA.

A/C Provisions per § 965.505(e)

- If installed, a PHA shall provide *optional systems* which allow flexibility of use by the residents. Otherwise, residents are not to be charged. (In such cases, the PHA absorbs the cost of the usage attributable to such non-optional A\C systems.)
- If Resident-purchased utilities (individual meters):
  - The established monetary allowances shall exclude a reimbursement for electricity attributable to the use of A/C. In this case, the cost of usage is paid for by the resident.
- If PHA-furnished utilities (master meters):
  - The electrical system must have check-meters, and the cost attributable to the usage of the A/C is excluded from the consumption allowance. Thus, the cost is absorbed or paid for by the resident.
  - If no check meters installed, then the PHA must establish a surcharge for the use of the equipment per § 965.506(b).

Review and Revision of Allowances per § 965.507

- Annual Review: A PHA shall verify continued adherence to the original conditions which serve as the basis for the established allowances. If *significant* changes in physical conditions or utility rates occurs, the allowances *must* be updated by the PHA.
- Review due to change in rates: Performed between annual reviews whenever there is a 10% increase in rates not previously adjusted for, by itself or cumulative. These adjustments are retroactive to the first day of the month following the month in which the last rate change became effective!

Individual Relief per § 965.508

- Request for *relief* from surcharges (PHA-furnished utilities) or from excess utility payments (Resident-purchased utilities) may be granted by a PHA on reasonable grounds for
  - The special needs of the elderly, ill and disable residents, or
  - Special factors affecting utility usage not within the control of the residents.
- The criteria and procedures for this relief must be addressed at the time the PHA adopts its method for the establishment of utility allowances
  - No examples provided in the regulations; typically will apply to individuals which qualify

Resident Utility Allowances

- When performing or contracting a utility allowance study, PHAs should develop a final utility schedule based on consumption figures.
- With known consumption figures, the PHA can easily update the monetary allowances during subsequent years by multiplying the consumption the utility rate.
- Utility Rates = base rate + fuel adjustment factor + special assessments + tax
- PHAs must properly document the establishment of fair and reasonable allowances which are not capricious and arbitrary.

Development of Schedules of Allowances and Surcharges

- Per § 965.502(d), PHAs are not required to provide for approval copies of Schedules for Utility Allowances or Surcharges to HUD .
- HUD may review Utility Allowances in place at a PHA as part of a Coordinated Management Review or for other justifiable reasons. If inconsistencies, Field Office may require PHA to provide supporting documentation before amended allowances are implemented by the PHA to ensure adherence to the procedural requirements outlined at 24 CFR Part 965, Subpart E.
- Areas of Concern:
  - PHAs do not perform an Annual Review or amend the Utility Allowance following an increase or decrease of 10% or more in any rate category,
  - Documentation does not supports Utility Allowances in-place.

Capital Fund Program

Close-outs, Obligations, and Expenditures

PHA Reporting – Obligations & Expenditures

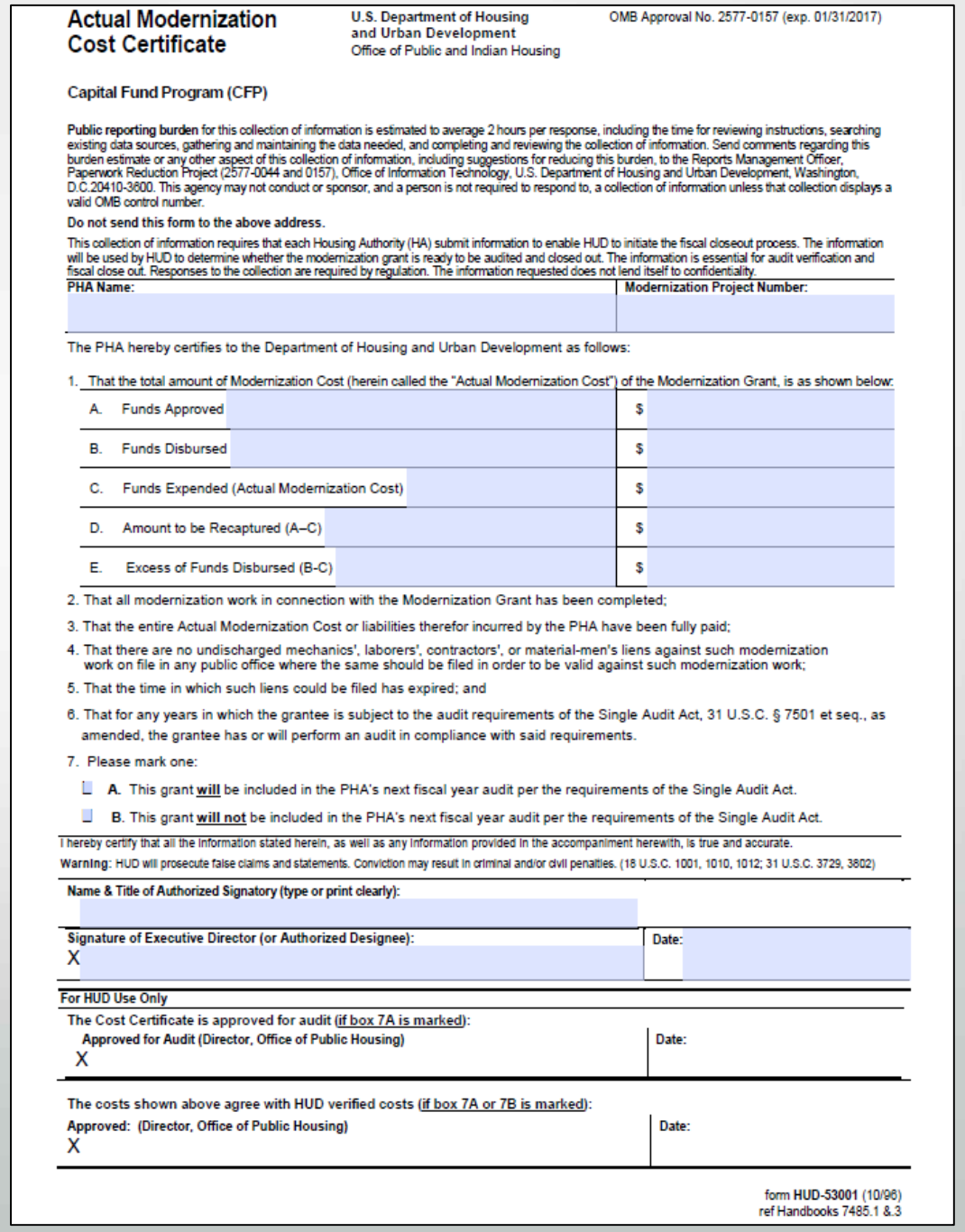
- The statute requires at least 90% of the CFP be obligated within 2 years of the date the funds are made available, depending on the type of CFP grant.
- The date the funds are made available is called obligation start date.
- 2 years from obligation start date is the Obligation End Date (OED).
- Extensions are allowed with HUD HQ approval.

PHA Reporting – Obligations & Expenditures

- PHAs have to report monthly on the obligation and expenditure of each open CFP grant in eLOCCS.
- PHAs that do not report monthly in eLOCCS may be subject to additional reviews of supporting documents.
- If a PHA fails to complete its monthly reporting in eLOCCS… the system will suspend drawdowns for all open CFP grants and the PHA will not be allowed to voucher funds until it completes obligation reporting.
- PHAs have 5 business days after the last day of the month to report obligation information in eLOCCS.
- PHAs must report on the OED, even if they reported at least 90% obligation of the authorized amount in the previous reporting period.
- Failure to meet the 90% obligation requirement could result in a reduction of future CFP funding.

Form HUD-53001

- Should be completed within 90 days of the Expenditure End Date
- Can be sent as soon as the grant is completely spent
- Once HUD completes initial process of this form, the PHA will no longer have to report on that grant in eLOCCS (HUD calls this pre-audit)
- PHA gives this form to their auditor, who will include it in your audit
- Once HUD reconciles the form HUD-53001 with the information within the audit, the grant will be closed out (HUD calls this post-audit)



Actual Modernization Cost Certificate

U.S. Department of Housing and Urban Development
Office of Public and Indian Housing

OMB Approval No. 2577-0157 (exp. 01/31/2017)

Capital Fund Program (CFP)

Public reporting burden for this collection of information is estimated to average 2 hours per response, including the time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Send comments regarding this burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to the Reports Management Officer, Paperwork Reduction Project (2577-0044 and 0157), Office of Information Technology, U.S. Department of Housing and Urban Development, Washington, D.C.20410-3600. This agency may not conduct or sponsor, and a person is not required to respond to, a collection of information unless that collection displays a valid OMB control number.

Do not send this form to the above address.

This collection of information requires that each Housing Authority (HA) submit information to enable HUD to initiate the fiscal closeout process. The information will be used by HUD to determine whether the modernization grant is ready to be audited and closed out. The information is essential for audit verification and fiscal close out. Responses to the collection are required by regulation. The information requested does not lend itself to confidentiality.

PHA Name:	Modernization Project Number:

The PHA hereby certifies to the Department of Housing and Urban Development as follows:

1. That the total amount of Modernization Cost (herein called the "Actual Modernization Cost") of the Modernization Grant, is as shown below:

A.	Funds Approved	$
B.	Funds Disbursed	$
C.	Funds Expended (Actual Modernization Cost)	$
D.	Amount to be Recaptured (A–C)	$
E.	Excess of Funds Disbursed (B-C)	$

2. That all modernization work in connection with the Modernization Grant has been completed;
3. That the entire Actual Modernization Cost or liabilities therefor incurred by the PHA have been fully paid;
4. That there are no undischarged mechanics', laborers', contractors', or material-men's liens against such modernization work on file in any public office where the same should be filed in order to be valid against such modernization work;
5. That the time in which such liens could be filed has expired; and
6. That for any years in which the grantee is subject to the audit requirements of the Single Audit Act, 31 U.S.C. § 7501 et seq., as amended, the grantee has or will perform an audit in compliance with said requirements.
7. Please mark one:

☐ **A.** This grant **will** be included in the PHA's next fiscal year audit per the requirements of the Single Audit Act.

☐ **B.** This grant **will not** be included in the PHA's next fiscal year audit per the requirements of the Single Audit Act.

I hereby certify that all the information stated herein, as well as any information provided in the accompaniment herewith, is true and accurate.

Warning: HUD will prosecute false claims and statements. Conviction may result in criminal and/or civil penalties. (18 U.S.C. 1001, 1010, 1012; 31 U.S.C. 3729, 3802)

Name & Title of Authorized Signatory (type or print clearly):

Signature of Executive Director (or Authorized Designee): X — **Date:**

For HUD Use Only

The Cost Certificate is approved for audit (if box 7A is marked):

Approved for Audit (Director, Office of Public Housing) X — **Date:**

The costs shown above agree with HUD verified costs (if box 7A or 7B is marked):

Approved: (Director, Office of Public Housing) X — **Date:**

form **HUD-53001** (10/96)
ref Handbooks 7485.1 &.3

CFP Audit Sample

- Usually within the Supplemental Data section of the audit
- Sometimes a similar-looking form may be within the audit, but does not show the accounts as being zeroed out, which does not enable HUD office to post-audit the grant.

HOUSING AUTHORITY O[redacted]

STATEMENT AND CERTIFICATION OF ACTUAL MODERNIZATION COSTS

	KY36P[redacted] 501(07)	[redacted]	[redacted]
Funds Approved	$ 41,608	$ 44,696	$ 56,576
Funds Expended	41,608	44,696	56,576
Excess of Funds Approved	$ -0-	$ -0-	$ -0-
Funds Advanced	$ 41,608	$ 44,696	$ 56,576
Funds Expended	41,608	44,696	56,576
Excess of Funds Advanced	$ -0-	$ -0-	$ -0-

The distribution of costs as shown on the Actual Modernization Cost Certificates submitted to HUD for approval is in agreement with the PHA's records.

All modernization costs have been paid and all related liabilities have been discharged through payment.

Procurement Regulations
for
Public Housing Authorities

Topics of Discussion

- Basics of Procurement
- Procurement Roles
- Procurement Authority
- Procurement Regulations

Basics of Procurement

- **24 CFR 85.36 (prior to 12/26/2014)**
- **2 CFR 200.318 – 200.326 (12/26/2014 and later)**
  - Governs procurement activities at PHAs
- **PHA's Procurement Policy & Procedures**
  - Sets directives & administrative responsibilities
- **HUD Handbook 7460.8 REV. 2 -- "Procurement Handbook for Public Housing Agencies"**
  - Provides administrative & managerial guidance
  - **Should be amended to accommodate 2 CFR 200 regulations**
- **PIH Notices and other guidance**
  - Provides additional directives
- **State and local laws**
  - If more stringent, generally overrides Federal regulations, except when specified (e.g., the American Recovery and Reinvestment Act of 2009)

Procurement Roles

- Role of PHAs:
  - Implement and manage their programs in accordance with program requirements
  - May request HUD review of procurement systems
  - May self-certify that their procurement system meets HUD requirements
- Role of HUD:
  - Review PHA procurement system upon request by PHA
  - Perform post-procurement reviews

Procurement Authority

- Executive Director (ED) is first line of authority unless he/she assigns all or a portion of that responsibility to staff based on the PHA's organizational structure and staffing levels
  - Delegations must specify monetary limits and types of actions allowed, including re-delegations
- ED or Contracting Officer (CO) has full authority to procure and execute contracts on behalf of the PHA
- Board of Commissioners (BOC)
  - Provide only general oversight role of procurement activities at PHA through meetings
  - Should not be directly involved in the process of selecting vendor/contractor
  - May set up a contract concurrence process under Procurement Procedures, if desired, for certain actions which exceed a specified threshold

§200.318 – General Procurement Standards

- PHA must use its own documented procurement procedures which reflect applicable State, local, and tribal laws and regulations, provided that the procurements conform to applicable Federal law and the standards identified in this part.

- PHA must maintain oversight to ensure that contractors perform in accordance with the terms, conditions, and specifications of their contracts or purchase orders.

§200.318 – General Procurement Standards

- PHA must maintain written standards of conduct covering **Conflicts of Interest**:
  - No PHA employee, officer, or agent may participate in the selection, award, or administration of a contract supported by a Federal award if he or she has a real or apparent conflict of interest.
  - A conflict of interest would arise when the employee, officer, or agent, any member of his or her immediate family, his or her partner, or an organization which employs or is about to employ any of the parties indicated herein, has a financial or other interest in or a tangible personal benefit from a firm considered for a contract.

§200.318 – General Procurement Standards

- **Conflicts of Interest**:
  - The officers, employees, and agents of the PHA may neither solicit nor accept gratuities, favors, or anything of monetary value from contractors or parties to subcontracts.
  - PHA may set standards for situations in which the financial interest is not substantial or the gift is an unsolicited item of nominal value.
  - PHA standards of conduct must provide for disciplinary actions to be applied for violations of such standards by officers, employees, or agents of the entity.

§200.318 – General Procurement Standards

- **Organizational Conflicts of Interest**:
  - If the PHA has a parent, affiliate, or subsidiary organization that is not a state or local government, the entity must also maintain written standards of conduct covering **Organizational Conflicts of Interest**.
  - "Organizational conflicts of interest" means that, because of relationships with a parent company, affiliate, or subsidiary organization, the PHA is unable or appears unable to be impartial in conducting a procurement action involving a related organization.

§200.318 – General Procurement Standards

- PHA procurement procedures must avoid acquisition of unnecessary or duplicative items.
- Consideration should be given to consolidating or breaking out procurements to obtain a more economical purchase.
- Where appropriate, PHA will conduct an analysis of lease versus purchase alternatives (and any other appropriate analysis) to determine the most economical approach for a procurement action.

§200.318 – General Procurement Standards

- To foster greater economy and efficiency, PHAs are encouraged to enter into state and local intergovernmental agreements or inter-entity agreements where appropriate for procurement or use of common or shared goods and services.

- PHAs are encouraged to use Federal excess and surplus property in lieu of purchasing new equipment and property whenever such use is feasible and reduces project costs.

§200.318 – General Procurement Standards

- PHAs are encouraged to use **Value Engineering** clauses in contracts for construction projects of sufficient size to offer reasonable opportunities for cost reductions.

- "Value engineering" is a systematic and creative analysis of each contract item or task to ensure that its essential function is provided at the overall lower cost.

§200.318 – General Procurement Standards

- PHAs must award contracts only to responsible contractors possessing the ability to perform successfully under the terms and conditions of a proposed procurement.
- Consideration will be given to such matters as contractor integrity, compliance with public policy, record of past performance, and financial and technical resources.
- PHAs must ensure that potential contractors are not subject to debarment or suspension, and are not otherwise excluded or ineligible for participation in Federal assistance programs or activities.

§200.318 – General Procurement Standards

- PHAs must maintain records sufficient to detail the history of procurement. These records will include, but are not necessarily limited to the following:
  - rationale for the method of procurement,
  - selection of contract type,
  - contractor selection or rejection, and
  - the basis for the contract price.

§200.318 – General Procurement Standards

- PHAs have sole responsibility, in accordance with good administrative practice and sound business judgment, for the settlement of all contractual and administrative issues arising out of procurements.
- These issues include, but are not limited to, source evaluation, protests, disputes, and claims.
- The standards put forth in 2 CFR 200.318 do not relieve PHAs of any contractual responsibilities under their contracts.
- HUD will not substitute its judgment for that of the PHA unless the matter is primarily a Federal concern.
- Violations of law will be referred to the local, state, or Federal authority having proper jurisdiction.

§200.319 – Competition

- All procurement transactions must be conducted in a manner providing full and open competition consistent with the standards put forth in 2 CFR 200.319.
- In order to ensure objective contractor performance and eliminate unfair competitive advantage, contractors that develop or draft specifications, requirements, statements of work, or invitations for bids or requests for proposals must be excluded from competing for such procurements.
- PHA procurement actions must not restrict full and open competition.

§200.319 – Competition

- Restrictive actions or situations include but are not limited to:
  - Placing unreasonable requirements on firms in order for them to qualify to do business;
  - Requiring unnecessary experience and excessive bonding;
  - Noncompetitive pricing practices between firms or between affiliated companies;
  - Noncompetitive contracts to consultants that are on retainer contracts;
  - Organizational conflicts of interest;
  - Specifying only a “brand name” product instead of allowing “an equal” product to be offered and describing the performance or other relevant requirements of the procurement;
  - Mandatory attendance at pre-bid conferences;
  - Any arbitrary action in the procurement process.

§200.319 – Competition

- PHAs must conduct procurements in a manner that prohibits the use of statutorily or administratively imposed state or local geographical preferences in the evaluation of bids or proposals, except in those cases where applicable Federal statutes expressly mandate or encourage geographic preference.
- Nothing in this section preempts state licensing laws.
- When contracting for architectural and engineering (A/E) services, geographic location may be a selection criterion provided its application leaves an appropriate number of qualified firms, given the nature and size of the project, to compete for the contract.

§200.319 – Competition

- PHAs must have written procedures for procurement transactions. These procedures must ensure that all solicitations:
- Incorporate a clear and accurate description of the technical requirements for the material, product, or service to be procured. The description must not, in competitive procurements, contain features which unduly restrict competition.
- The description may include a statement of the qualitative nature of the material, product or service to be procured and, when necessary, must set forth those minimum essential characteristics and standards to which it must conform if it is to satisfy its intended use.

§200.319 – Competition

- Detailed product specifications should be avoided.
- When it is impractical or uneconomical to make a clear and accurate description of the technical requirements, a “brand name or equivalent” description may be used as a means to define the performance or other salient requirements of procurement. The specific features of the named brand which must be met by offers must be clearly stated.
- The solicitation must identify all requirements which the offerors must fulfill and all other factors to be used in evaluating bids or proposals.

§200.319 – Competition

- The solicitation must identify all requirements which the offerors must fulfill and all other factors to be used in evaluating bids or proposals.
- If using prequalified lists of persons, firms, or products acquiring goods and services, PHAs must ensure that all are current and include enough qualified sources to ensure maximum open and free competition.
- PHAs must not preclude potential bidders from qualifying during the solicitation period.

§200.320 – Procurement Methods

- **Micro-purchases**
- Procurement by micro-purchase is the acquisition of supplies or services, the aggregate dollar amount of which does not exceed the micro-purchase threshold.
- Current micro-purchase threshold is $3,000 (or $2,000 for acquisitions for construction subject to the Davis-Bacon Act).
- PHAs must, to the extent practicable, distribute micro-purchases equitably among qualified suppliers.
- Micro-purchases may be awarded without soliciting competitive quotations if the PHA considers the price to be reasonable.

§200.320 – Procurement Methods

- **Small Purchase Procurement**

- Small purchase procedures are those relatively simple and informal procurement methods for securing services, supplies, or other property that do not cost more than the Simplified Acquisition Threshold.

- If small purchase procedures are used, price or rate quotations must be obtained from an adequate number of qualified sources.

- PHAs should secure local legal advice on applicability of State and local laws.

§200.320 – Procurement Methods

- **Small Purchase Procurement – Kentucky PHAs**
  - For Kentucky PHAs, the Small Purchase Threshold is **$20,000**.
  - Refer to Kentucky Model Procurement Code, **KRS 45A.385 - "Small purchases by local public agencies"**

45A.385 Small purchases by local public agencies.
The local public agency may use small purchase procedures for any contract for which a determination is made that the aggregate amount of the contract does not exceed twenty thousand dollars ($20,000) if small purchase procedures are in writing and available to the public.

Effective: July 15, 2002

History: Amended 2002 Ky. Acts ch. 192, sec. 1, effective July 15, 2002. -- Amended 1990 Ky. Acts ch. 95, sec. 2, effective July 13, 1990. -- Amended 1984 Ky. Acts ch. 6, sec. 2, effective July 13, 1984. -- Amended 1980 Ky. Acts ch. 250, sec. 13, effective April 9, 1980. -- Created 1978 Ky. Acts ch. 110, sec. 78, effective January 1, 1980.

§200.320 – Procurement Methods

- **Sealed Bid Procurement**

- In sealed bid (formal advertising) procurement, bids are publicly solicited and a firm fixed price contract (lump sum or unit price) is awarded to the responsible bidder whose bid, conforming with all the material terms and conditions of the invitation for bids, is the lowest in price.

- The sealed bid method is the preferred method for procuring construction.

§200.320 – Procurement Methods

- **Sealed Bid Procurement**
- For sealed bidding to be feasible, the following conditions should be present:
  - A complete, adequate, and realistic specification or purchase description is available;
  - Two or more responsible bidders are willing and able to compete effectively for the business; and
  - The procurement lends itself to a firm fixed price contract and the selection of the successful bidder can be made principally on the basis of price.

§200.320 – Procurement Methods

- **Sealed Bid Procurement**
- Under sealed bids, the following requirements apply:
  - Bids must be solicited from an adequate number of known suppliers, providing them sufficient response time prior to the date set for opening the bids.
  - For state and local, and tribal governments, the invitation for bids must be publically advertised;
  - The invitation for bids, which will include any specifications and pertinent attachments, must define the items or services in order for the bidder to properly respond;

§200.320 – Procurement Methods

- **Sealed Bid Procurement**
- Under sealed bids, the following requirements apply (continued):
  - All bids will be publicly opened at the time and place prescribed in the invitation for bids;
  - A firm fixed price contract award will be made in writing to the lowest responsive and responsible bidder.
  - Where specified in bidding documents, factors such as discounts, transportation cost, and life cycle costs must be considered in determining which bid is lowest.

§200.320 – Procurement Methods

- **Sealed Bid Procurement**
- Under sealed bids, the following requirements apply (continued):
  - Payment discounts will only be used to determine the low bid when prior experience indicates that such discounts are usually taken advantage of; and
  - Any or all bids may be rejected if there is a sound documented reason.

§200.320 – Procurement Methods

- **Competitive Proposal Procurement**
- Also known as RFP (Request for Proposal) procurement.
- More than one source submits an offer, and either a fixed price or cost-reimbursement type contract is awarded.
- Generally used when conditions are not appropriate for the use of sealed bids.

§200.320 – Procurement Methods

- **Competitive Proposal Procurement**
- If this method is used, the following requirements apply:
  - RFPs must be publicized and must identify all evaluation factors and their relative importance;
  - Any response to publicized requests for proposals must be considered to the maximum extent practical;
  - Proposals must be solicited from an adequate number of qualified sources;

§200.320 – Procurement Methods

- **Competitive Proposal Procurement**
- If this method is used, the following requirements apply (continued):
  - The PHA must have a written method for conducting technical evaluations of the proposals received and for selecting recipients;
  - Contracts must be awarded to the responsible firm whose proposal is most advantageous to the program, with price and other factors considered.

§200.320 – Procurement Methods

- **Competitive Proposal Procurement**
- Under **Qualifications-Based** procurement of architectural/engineering professional services:
  - Competitors' qualifications are evaluated and the most qualified is selected, subject to negotiation of fair and reasonable compensation;
  - Price is not used as a selection factor;
  - Can only be used in procurement of A/E professional services. It cannot be used to purchase other types of services though A/E firms are a potential source to perform the proposed effort.

§200.320 – Procurement Methods

- **Noncompetitive Procurement** is procurement through solicitation of a proposal from only one source and may be used only when one or more of the following circumstances apply:
  - The item is available only from a single source;
  - A public exigency or emergency driving the requirement will not permit a delay resulting from competitive solicitation;
  - HUD expressly authorizes noncompetitive proposals in response to a written request from the PHA; or
  - After solicitation of a number of sources, competition is determined to be inadequate.
  - HUD must approve if it is above small purchase threshold.

§200.320 – Procurement Methods

- **Noncompetitive Procurement**
- PHAs may sidestep competitive procurement in instances of **emergency** or **pubic exigency**, if goods and/or services
  - Cannot be solicited in a competitive manner (e.g., award of a contract is not feasible under informal bids, sealed bids or competitive proposals) *because* time is of the essence!
- Emergencies: An *unforeseen or unpreventable* event or occurrence which threatens the life, health and safety of the residents of the properties managed by the PHA
- Public Exigency: An urgent condition affecting the PHA at large or the community where the PHA is located, such as damage caused by a natural disaster or civil/political unrest
- *Prior HUD approval is not required!*

§200.320 – Procurement Methods

- **Noncompetitive Procurement**
- Emergencies:
  - Section 11 of the ACC allows PHAs to incur in *unbudgeted emergency expenditures* to eliminate serious hazards to life, health and safety
- PHAs must document use under the noncompetitive solicitation process. Otherwise, the PHA must competitively bid work per procurement regulations 2 CFR 200.320.
  - Signed certification summarizing action

§200.323 - Contract Cost and Price

- PHAs must perform a cost or price analysis in connection with every procurement action in excess of the Small Purchase Threshold, including contract modifications.
- The method and degree of analysis is dependent on the facts surrounding the particular procurement situation, but as a starting point, the non-Federal entity must make independent estimates before receiving bids or proposals.

§200.324 - HUD Review

- PHAs must make available, upon HUD's request, technical specifications on proposed procurements where HUD believes such review is needed to ensure that the item or service specified is the one being proposed for acquisition.
- While this review generally will take place prior to the time the specification is incorporated into a solicitation document, HUD may still review specifications after a solicitation has been developed, with such review usually limited to the technical aspects of the proposed purchase.

§200.324 - HUD Review

- At HUD’s request, PHAs must make available for review procurement documents, such as requests for proposals or invitations for bids, or independent cost estimates, when:
  - The PHA's procurement procedures or operation fails to comply with the procurement standards in Part 200;
  - The procurement is expected to exceed the Small Purchase Threshold and is to be awarded without competition or only one bid or offer is received in response to a solicitation;
  - The procurement, which is expected to exceed the Small Purchase Threshold, specifies a “brand name” product;

.

§200.324 - HUD Review

- At HUD's request, PHAs must make procurement documents, when:
  - The proposed contract is more than the Small Purchase Threshold and is to be awarded to other than the apparent low bidder under a sealed bid procurement; or
  - A proposed contract modification changes the scope of a contract or increases the contract amount by more than the Small Purchase Threshold .
- A PHA is exempt from pre-procurement if the HUD determines that its procurement systems comply with the standards of 24 CFR Part 200.

§200.324 - HUD Review

- A PHA may request that HUD review of its procurement system to determine whether the system meets standards in order to be certified.
- Generally, these reviews must occur where there is continuous high-dollar funding, and third party contracts are awarded on a regular basis.
- A PHA may self-certify its procurement system.

§200.324 - HUD Review

- Self-certification must not limit HUD's right to survey the system.
- Under self-certification, HUD may rely on written assurances from the PHA that it is complying with procurement standards.
- The PHA must cite specific policies, procedures, regulations, or standards as being in compliance with Part 200 requirements, and it must make its system available for review.

§200.325 - Bonding Requirements

- HUD has not determined protection of Federal interest, the minimum requirements must be as follows:
  - **Bid Bonds.** For construction contracts exceeding $150,000, (State may require lower bonding limit) offerors shall be required to submit a bid guarantee from each bidder equivalent to 5% of the bid price.
  - **Payment Bonds.** For construction contracts exceeding $150,000, the successful bidder shall furnish an assurance of completion. This assurance may be any one of the following four:
    - A performance and payment bond in a penal sum of 100% of the contract price; or
    - Separate performance and payment bonds, each for 50% or more of the contract price; or
    - A 20 % cash escrow; or
    - A 25 % irrevocable letter of credit.

§200.326 - Contract Provisions

- A PHA's contracts must contain the applicable provisions described in **Appendix II to Part 200—Contract Provisions for non-Federal Entity Contracts Under Federal Awards.**

Resources

- Procurement Information:
  - Copy of Procurement Handbook 7460.8 REV 2: www.hud.gov/offices/adm/hudclips/index.cfm
  - Public Housing internet web page: www.hud.gov/offices/pih/index.cfm
- Regulatory references:
  - List of debarred entities from doing business with the Federal Government: www.epls.gov
  - Wage Rates: www.wdol.gov
  - List acceptable sureties for the issuance of Performance & Payment Bonds: www.fms.treas.gov/c570

QUESTIONS?

Energy and Performance Information Center
EPIC

Executive Director Training
Jared Ison, General Engineer
Louisville Field Office

EPIC Historical Background

- Offshoot of the Recovery Act Management and Performance System (RAMPS)
- Deployed Spring 2012
- Core Activity/Energy Module
- PIH working to enhance the system and the business process
- Consultation with Field Offices and PHAs

EPIC FUNCTIONALITY TODAY

- Activity Planning Module: 5 Year Action Plan and Annual Statement/Budget (also maybe P&E Report)
- Public Housing Development Module
- EPC Module
- PNA Module

EPIC Implementation Notice

- PIH Notice 2016-21 modifies the submission process for CFP 5-Year Action Plans (5YAPs) and Budgets.
  - Formerly referred to as Annual Statements.

- PHAs are required to submit their CFP 5-YAPs and Budgets within HUD's Energy Performance and Information Center (EPIC) system; the electronic CFP submission process will replace the current paper submission process.

- This notice provides guidance related to the transition timeline, benefits of automation, submission process and requirements, and oversight and monitoring.

ADVANTAGES OF ACTIVITY PLANNING MODULE IN EPIC

- **Automates currently de-facto paper process**
- **Simplifies the BLI structure in LOCCS**
  - **BLI 1480**
- **EPIC data updates LOCCS BLIs automatically > Approvals/review minimized**

- **FO approves 5 Year Action Plan**
- **No review required on all approved 5 Year Action Plan items, PHA can revise amounts without further review**
- **PHA can funge without further review**

EPIC – WHAT'S DIFFERENT

Where did BLI 1480 come from??

EPIC – WHAT'S DIFFERENT – SIMPLIFIED BLIS

1410	Adminstration
1411	Audit Cost
1430	Fees & Costs
1440	Site Acquisition
1450	Site Improvement
1460	Dwelling Structures
1465	Dwelling Equipment
1470	Non-Dwelling Structures
1475	Non-Dwelling Equipment
1485	Demolition
1490	~~Replacement Reserve~~
1492	MovingToWorkDemonstration
1495	Relocation Costs
1499	Development Activity
1500	Indian Housing Grants
1501	Collater Exp / Debt Srvc
1502	Contingency
1503	RAD-CFP

Line Item	Name
1406	Operations
1408	Management Improvement
1410	Adminstration
1480	General Capital Activity
1492	MovingToWorkDemonstration
1501	Collater Exp / Debt Srvc
1503	RAD-CFP
1504	RAD Investment Activity
9000	Debt Reserves
9001	Bond Debt Obligation
9002	Loan Debt Obligation
9900	Post Audit Adjustment

EPIC – What's Different

- **PHA does not need to send a paper Annual Statement/ Budget.**
  - **Instead PHA completes an Annual Statement/Budget in EPIC and links it to the FY grant.**

- **Once a PHA has linked an Annual Statement/Budget to a grant in EPIC (with certain exceptions), there is an automated process that will spread the BLIs in LOCCS via a batch report that takes 1 or 2 days to process.**

EPIC User Manual

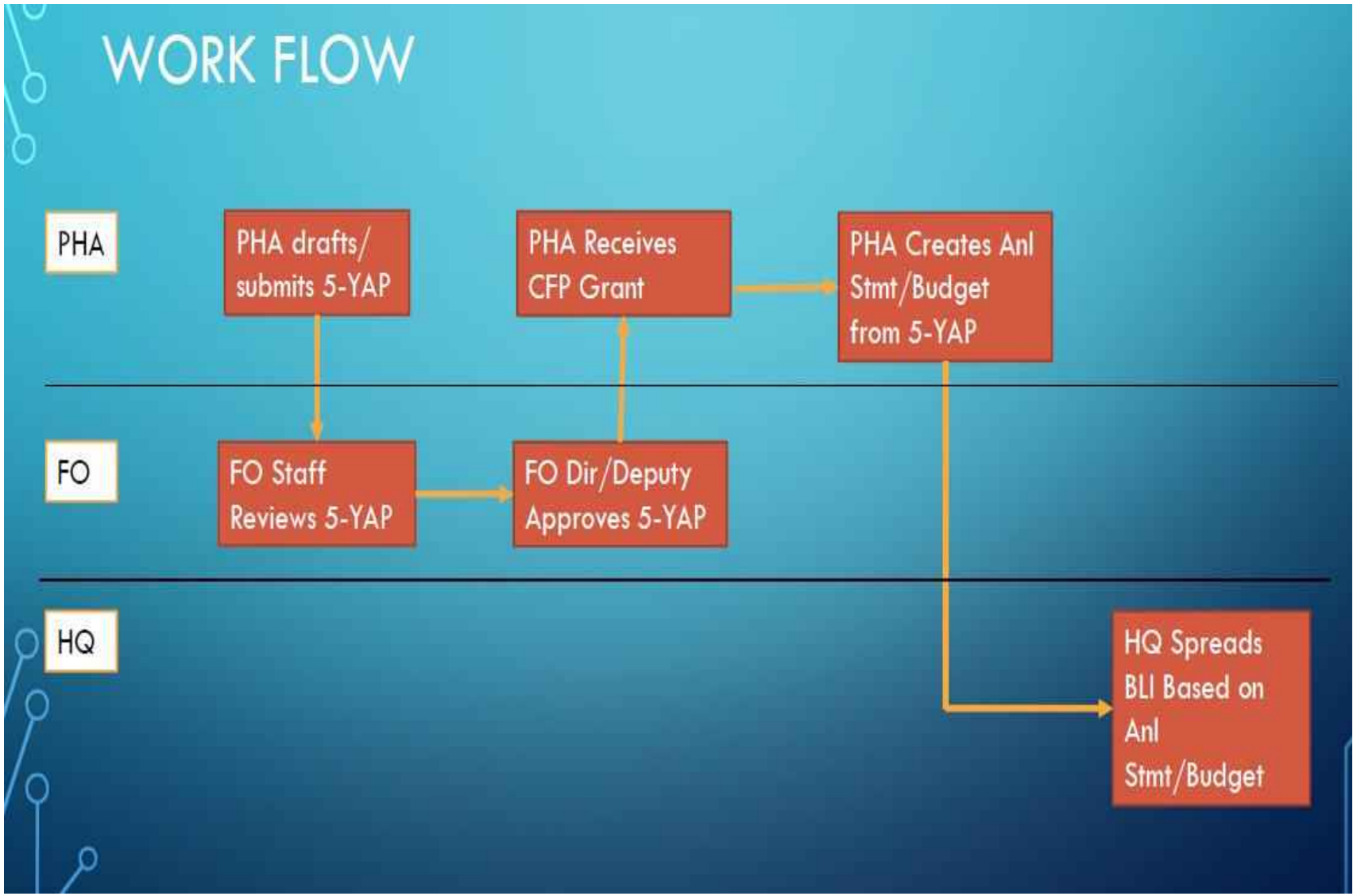
- The EPIC Activity Planning User Manual provides step by step instructions (with screen shots) on how to complete a 5-Year Action Plan in EPIC.
  - You have to read this!!!
  - The FO uses the same manual.
- Updated on November 13, 2017

https://www.hud.gov/sites/dfiles/PIH/documents/EPICUSERMANUAL120516.pdf

EPIC – CFP Annual Formula Grant Process

PHA prepares Annual CF Submission	PHA Submits Annual CF Grant	HUD Processes CF Submission	PHA Implements CF Grant	PHA/HUD Closes out CF Grant
• 45 Day Notice • Public Hearing & Resident Advisory Board (RAB) Consultation • Board Resolution • IMS/PIC Certification • DUNS Number and Current SAM Registration • Physical Needs Assessment (PNA)	• Annual Contributions Contract (ACC) Amendment(s) • 5-Year Action Plan in EPIC • Statement of Significant Amendment • Additional Certifications	• Executes ACC Amendment and maintains CFP required paperwork for records management • Approves 5-Year Action Plan in EPIC • EPIC spreads initial budget in the Line Of Credit Control System (LOCCS) and re-spreads Budget Line Items (BLI) according to budget submitted in EPIC	• Maintaining obligations within BLI thresholds • LOCCS Monthly reporting • EPIC annual reporting • Annual Performance and Evaluation (P&E) Report • Obligation End Date (OED) 90% Obligated within 24 Months of OSD • Disbursement End Date (DED) 100% Disbursed within 48 Months of OSD	PHA • Submits AMCC or ADCC and P&E Report • Includes AMCC and P&E Report in Audit, if necessary • Monthly LOCCS until "Pre-Audit" status Field Office • Reviews, Approves AMCC/ADCC and P&E Report • Enters Pre-Audit Date in LOCCS • Transmits completed Close out package to CFO Ft. Worth Accounting Center to place grant in Post Audit Status in LOCCS

EPIC – CFP Annual Formula Grant Process



EPIC – CFP Annual Formula Grant Process

- PHAs receiving Capital Fund grants are also required to submit various certifications to HUD.
  - ACC Amendments for Capital Fund Formula Grant are signed when the PHA draws down funds in LOCCS.
- EPIC's Activity Planning Module does not automate these certifications, and PHAs must continue to submit these certifications.
  - Statement of Significant Amendment
  - Lobbying Form – SFLLL
  - Certification of Compliance w/Public Hearing
  - Certification of Payments to Influence Federal Transactions
  - Civil Rights Certification

EPIC Getting People Access

- PHA staff – need to get a Secure Systems/WASS ID
- Once they have the Sec. Sys. /WASS ID –3 Routes to getting access:
  - EPICHelp@HUD.GOV is the primary way at this point.

- Note that EPICHelp will have to confer with FO staff to validate giving them access and which PHA to give them access to.

- This can also take place during the weekly SKYPE calls

EPIC GETTING PEOPLE ACCESS

- This can also take place during the weekly SKYPE calls on Monday and Wednesday at 2:00 EST.

Phone: (877)336-1839

Access Code: 7630474

- Please notify your Single Point of Contact (SPOC) at the FO so they can also be on the call to verify PHA staff access.
- They will not give you access with out FO verification.
- Install SKYPE on you computer so your screen can be shared so the presenter can see your issue.

EPIC Getting People Access

- PHA staff
  - People who had access to the old RAMPS system got automatically rolled over, but may still need to be reactivated
    - Regardless of the method used, PHA staff person will need to provide the following information:
      - “M” number
      - Location – city, state
      - Phone number
      - Email address
      - PHA – name and code
      - Type of user:
        - Staff person
        - ED or other person deputized to submit 5 Year Action Plans

EPIC Logging In

- EPIC Login
- https://portalapps.hud.gov/app_epic/

- Don’t forget the ? In the upper right hand corner.
- Don’t forget the User guide and other materials posted on the web: https://portal.hud.gov/hudportal/HUD?src=/program_offices/public_indian_housing/programs/ph/capfund/epic.

EPIC & CFP Resources – Office Of Capital Improvements

The PIH Office of Capital Improvements administers the Capital Fund. The Capital Fund provides funds, annually, to Public Housing Agencies (PHAs) for the development, financing, and modernization of public housing developments and for management improvements.

https://www.hud.gov/program_offices/public_indian_housing/programs/ph/capfund

EPIC Activity Planning FAQs

I submitted a 5YAP in EPIC. Do I need to update it now that I know the grant amount for 2017?

EPIC Activity Planning FAQs

No.

- The assumption is that 5-Year Action Plans contain estimated amounts.
- It is inevitable that the amounts will not match the Capital Fund grant amounts awarded.
- EPIC is designed to give PHAs the ability to adjust the estimates provided in the 5-Year Action Plan to match the actual grant amounts that PIH awards.
- The adjustments that PHAs make in their budgets will automatically update their 5-Year Action Plans.
- PHAs will not need Field Office approval for the adjustments that they will make to match the actual grant amounts.

EPIC Activity Planning FAQs

The EPIC Notice seems to conflict with the Formula Processing Guidance related to plan start years – how should PHAs proceed?

EPIC ACTIVITY PLANNING FAQS

PHAs should follow more current Guidance related to 5-Year Action Plan start years in the Capital Fund Processing Guidance Found at:

https://portal.hud.gov/hudportal/HUD?src=/programoffices/publicindianhousing/programs /ph/capfund/2017pi

EPIC Activity Planning FAQs

What is the approval process in EPIC (recommend for approval vs. approve)?

EPIC Activity Planning FAQs

- A HUD staff person reviews the 5-Year Action Plan submitted in EPIC and recommends it for approval or recommends withholding approval if the Plan needs to be corrected.

- HUD staff also have the option of un-submitting the plan which will reset the plan to draft so that the PHA can revise the plan.

- Once the HUD staff person records her/his recommendation, the HUD Public Housing Director then approves or withholds approval of the Plan.

EPIC Activity Planning FAQs

If a PHA makes a mistake that needs to be corrected after it has submitted a 5-Year Action Plan, what should the PHA do?

EPIC Activity Planning FAQs

- If a PHA wishes to correct its 5-Year Action Plan submission, it should contact the HUD Field Office and ask that the Plan be un-submitted.

- Once the Plan has been un-submitted, the PHA can access the Plan to edit and revise as necessary.

EPIC Activity Planning FAQs

What is the difference between revising a plan and copying it forward?

EPIC Activity Planning FAQs

- The copy forward function should only be used when a PHA has finished using its current 5-Year Action Plan and wants to create a new one.

- If a PHA needs to update its 5-Year Action Plan the PHA needs edit/revise it.

EPIC Activity Planning FAQs

Once I get my 5-Year Action Plan approved, what is the process for handling budgets?

EPIC Activity Planning FAQs

- PHAs that have submit 5-Year Action Plans in EPIC will submit their Budgets in EPIC **ONLY AFTER** **OCI** has processed their ACC Amendments, obligated their Capital Funds in LOCCS and uploaded the grant obligations from LOCCS into EPIC.

- A Webinar demonstrating the Budget process is loaded behind the question mark on the first page that you come to when you click on the Annual Statement/Budget/P&E link.

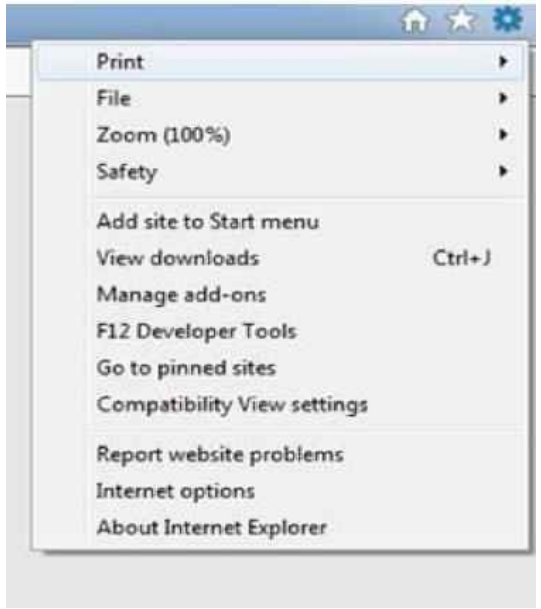
EPIC Activity Planning FAQs

My screen doesn't seem to be displaying properly and/or buttons don't seem to work – what do I do?

EPIC ACTIVITY PLANNING FAQS

- You may need to manually turn back on compatibility mode in IE for the screens to display properly. To do this, you need to add "hud.gov" to the compatibility settings list:

Click on the "Tools" icon in the upper right hand corner of IE and select "Compatibility View settings".



EPIC Activity Planning FAQs

If I am having trouble getting a response from EPICHelp@HUD.gov or reaching a knowledgeable HUD staff person, are there other resources I can consult while I am waiting for a response?

EPIC Activity Planning FAQs

- During this period of transition, wait times for a response from EPICHelp and/or a knowledgeable person could take several days.

- PHAs are encouraged to review the resources posted at: https://portal.hud.gov/hudportal/HUD?src=/programoffices/publicindianhousing/programs /ph/capfund.

- PHAs can also review the series of webinars embedded in the EPIC Activity Planning Module
- Click on the blue question mark in the upper right hand corner of the EPIC screen.
- Click on the link to the appropriate webinar in the separate window that pops open.

Questions????

Preventative Maintenance

An ounce of prevention is worth a pound of…

Preventative Maintenance

- #1 – Write a policy, keep it in your policy manual and put it in a plan
- #2 – Part of Asset Management includes the scoring of your preventative maintenance plan and its implementation
- #3 – Preventative maintenance is for EVERYTHING!
  - More than changing filters once a month…

The Purpose

- The intent of preventive maintenance (PM) is to ensure that the affected facilities, equipment, and systems remain in good operable condition at all times. PM minimizes the need for regular maintenance and extraordinary repairs, and extend the lifetime of facilities, equipment, and systems. Therefore it should not be considered an extra load for the maintenance staff or a prohibitive budgetary limitation.

What?

- What systems to include in your PM:
  - Within the UNITS - HVAC, plumbing, electric panels, water heaters, back-up generators, fire extinguishers, smoke alarms, exterior and interior doors, windows, sliding glass doors
  - Exterior of the UNITS – stairways, hand rails, gutters, down spouts, roofing, flashing
  - Overall PROPERTY – parking lots, streets, sidewalks, lawn sprinklers, landscaping, exterior of buildings
  - And more…

What needs to be done?

- After compiling the list of all items that need Preventative Maintenance, next to each item write down what exactly needs to be done –
  - Gutters – cleaned out with a hose/brush
  - Exterior doors – inspect weather stripping, threshold, locks
  - Parking lots – inspect for cracks, potholes, heaving pavement

When?

- After you have compiled a listing of all the items that need to be part of a preventative maintenance program –

  determine how often they will need attentions; daily, monthly, quarterly, yearly

How often?

- Gutters – cleaned out with a hose/brush/leafblower – 2X per year (SA)
- Exterior doors – inspect weather stripping, threshold, locks - quarterly (Q)
- Parking lots and sidewalks – inspect for cracks, trip hazards, potholes, etc.

SA = semi annually

Q = quarterly

W = weekly

Create the Schedule

- After you have listed all of the items that need PM
- Determine when each item needs PM; i.e. weekly, monthly, yearly, etc.
- Write up the schedule and train the maintenance staff on how to follow it

Scheduling

- You can manually write your schedule by listing all the items that require PM vertically on a piece of paper
- List all the months across the paper horizontally
- Fill in and complete as you have previously determined

Scheduling Continued

- For items that require weekly PM
  - Form 13 columns for each week on the horizontal part of the paper

This is your written schedule; distribute it, review it, train on it

Monitoring the PM Plan

- ALL PM work should be written up on “service ticket, report, order, etc.”
- When PM service orders are complete give to maintenance staff/supervisor for accurate reporting and recordkeeping
- Implement quality control and assurance of your PM plan – perform spot checks on the completed work
- Follow- up – if PM work is not complete, find out why – unusually heavy workload that month, short on staff, etc.

Review the steps

- Identify – list every item that will need preventative maintenance
- Define – what type/kind of maintenance the item requires
- Determine – how often the item will need preventative maintenance
- Create Schedule – write up the inspections and maintenance for all staff
- Create Checklist – write up the checklist so everyone will know what work items need to be done
- Quality Assurance – pm for your pm plan

A Cost Effective Way to provide PM

- EVERY time Maintenance Staff enter a unit for a service request have them complete a “mini-maintenance” on each apartment they enter
  - Flush toilets
  - Check faucets
  - Check the window screens
  - Graphite the lock
  - Check the filter and equipment for leaks

- Remember -

Preventative Maintenance

An ounce of prevention is worth a POUND of cure

If you have questions or need assistance on facilities management please contact:

Jared Ison @ 502.618.8141

PIC

IMS-PIC

1) Maintain **PHA staff access** status information in WASS; PIC is a sub-system of WASS.
2) **Do not share WASS User ID's**

Use the link on the IMS/PIC homepage and apply for a "New ID" for all new staff. Current and previous PHA staff can have their current ID modified to use at the new PHA by the WASS System Coordinator.

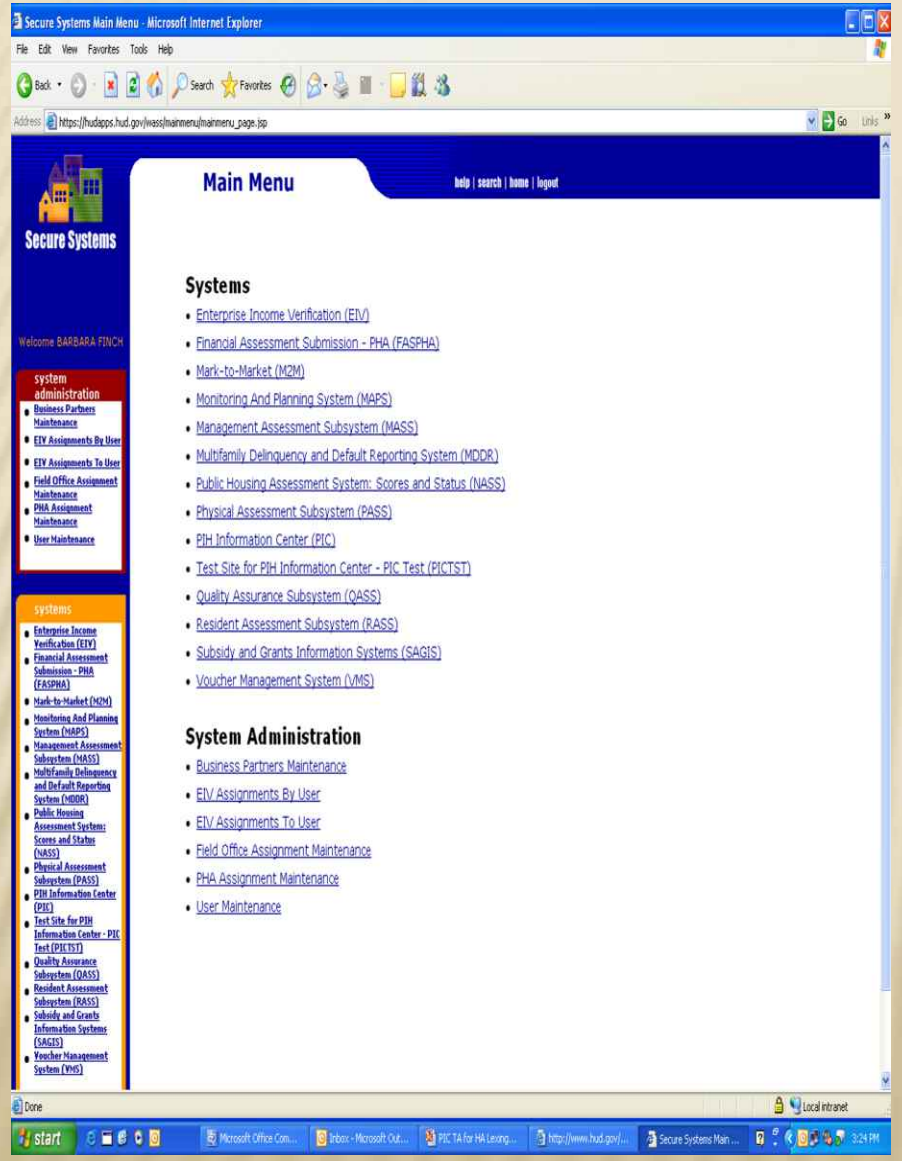
NOTE:

2 WASS System Coordinators and

2 IMS/PIC Security Administrators!

https://www.hud.gov/program_offices/public_indian_housing/reac/online

PIC



USER ID

UPGRADES/DOWNGRADES

Must be requested, in writing:

- PHA's letterhead
- Name of the PHA
- PHA code
- Signature and title of the Executive Director

The requestor should submit this official letter, as an email attachment to:

REAC_TAC@HUD.GOV

LIST OF COMMON ACCESSED SYSTEMS AND RIGHTS

Actions – you only need to pick one per subsystem or system:

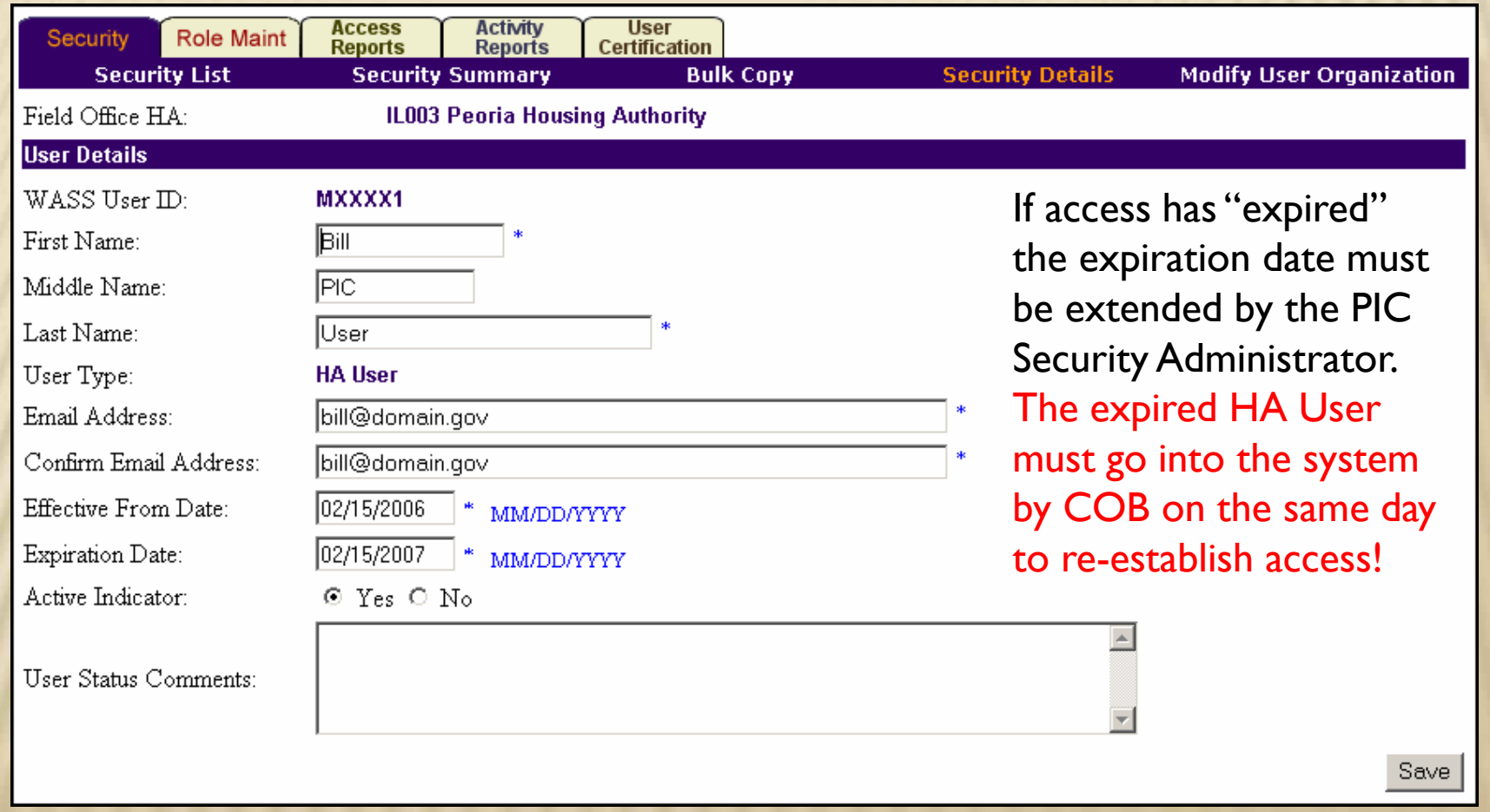
Subsystem / System	Action
EIV - Enterprise Income Verification	COR - Coordinator
FASPHA - Financial Assessment Subsystem – PHA	COR - Coordinator
FHSEC3 – FHEO Section 3 60002 Reporting Form (also known as SPEARS)	COR - Coordinator
LOCCS - Line of Credit Control System	COR - Coordinator
NASS - Integrated Assessment Subsystem	COR - Coordinator
PASS - Physical Assessment Subsystem	COR - Coordinator
PIC – PIC system	COR - Coordinator
VMS – Voucher Management System (only for PHAs with a Section 8 program)	COR - Coordinator

Roles – you only need to pick one per subsystem or system unless noted:

Subsystem / System	Role(s)
EIV - Enterprise Income Verification	EIV – PIH - EIV - External User
FASPHA - Financial Assessment Subsystem – PHA	PID – PHA Director
FHSEC3 – FHEO Section 3 60002 Reporting Form (also known as SPEARS)	S3P – 60002 Reporting – Participant
LOCCS - Line of Credit Control System	ADM - Administration QRY - Query
NASS - Integrated Assessment Subsystem	PHC - PHA Coordinator
PASS - Physical Assessment Subsystem	EEE - EHS Edit External EHB - EHS Mitigation Reporter PIV - Physical Inspection Viewer
PIC – PIC system	COR - Coordinator
VMS – Voucher Management System (only for PHAs with a Section 8 program)	UDE - Utilization and Expense Data Submitter

https://www.hud.gov/program_offices/public_indian_housing/reac/products/wass/wass_user_manual

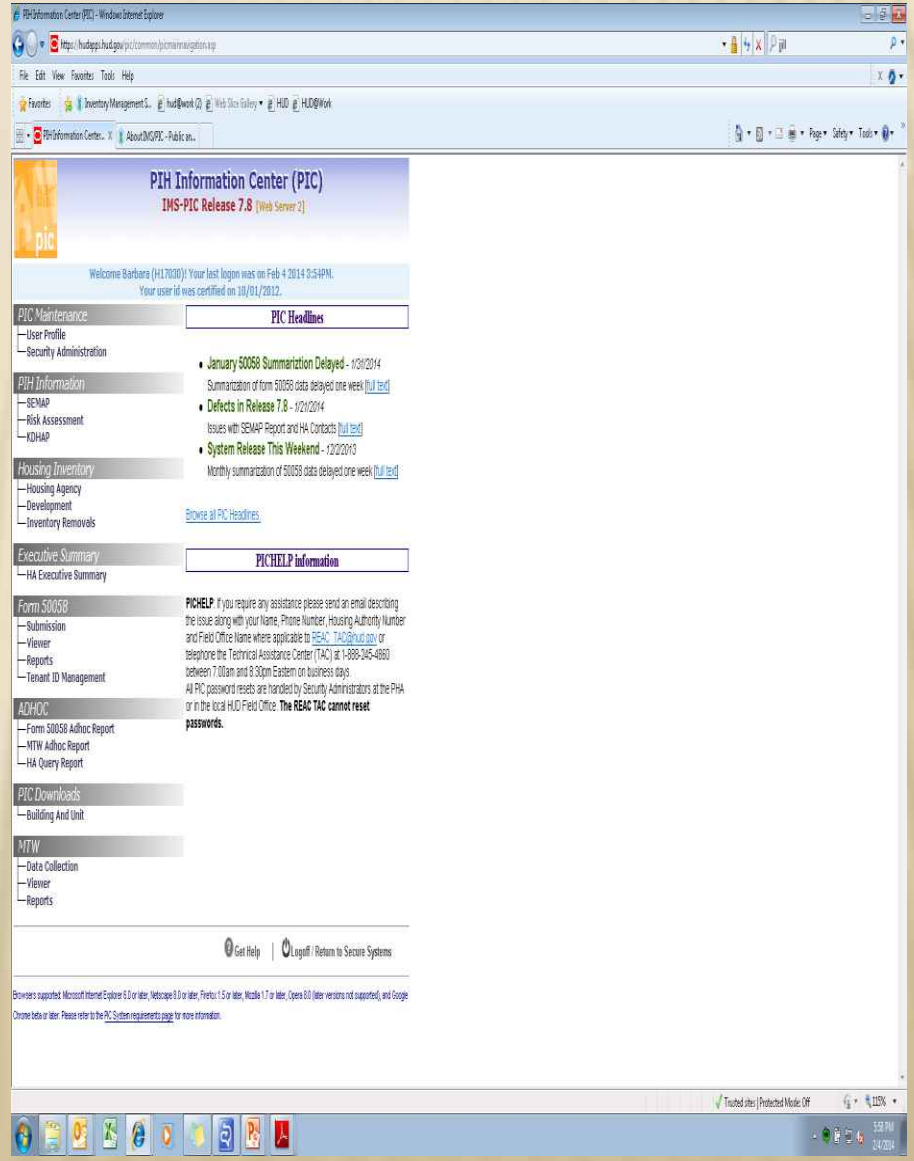
WORKING IN USER PROFILE



If access has "expired" the expiration date must be extended by the PIC Security Administrator. The expired HA User must go into the system by COB on the same day to re-establish access!

PIC

1) Submit certifications in the **Section 8 Management Assessment Program (SEMAP) Sub-module.**
2) Maintain contact information in the **Housing Agency Sub-module**.
3) Submit applications and reports in the **Inventory Removal Sub-module** if applicable.
4) Update and monitor building and unit data in the **Development Sub-module.**
5) Submit Form-50058 tenant data into HUD's database from the **Submission Sub-module and monitor reports.**



CONCENTRATE ON COMMUNICATION

Housing Agency Sub-module

Update HA Contacts consistently because it contains all your PHA's pertinent contact information.

HA Contact Information

Maintain this data accurately to ensure timely communication to and from the **Office of Public and Indian Housing** both at the local Field Office and Headquarters.

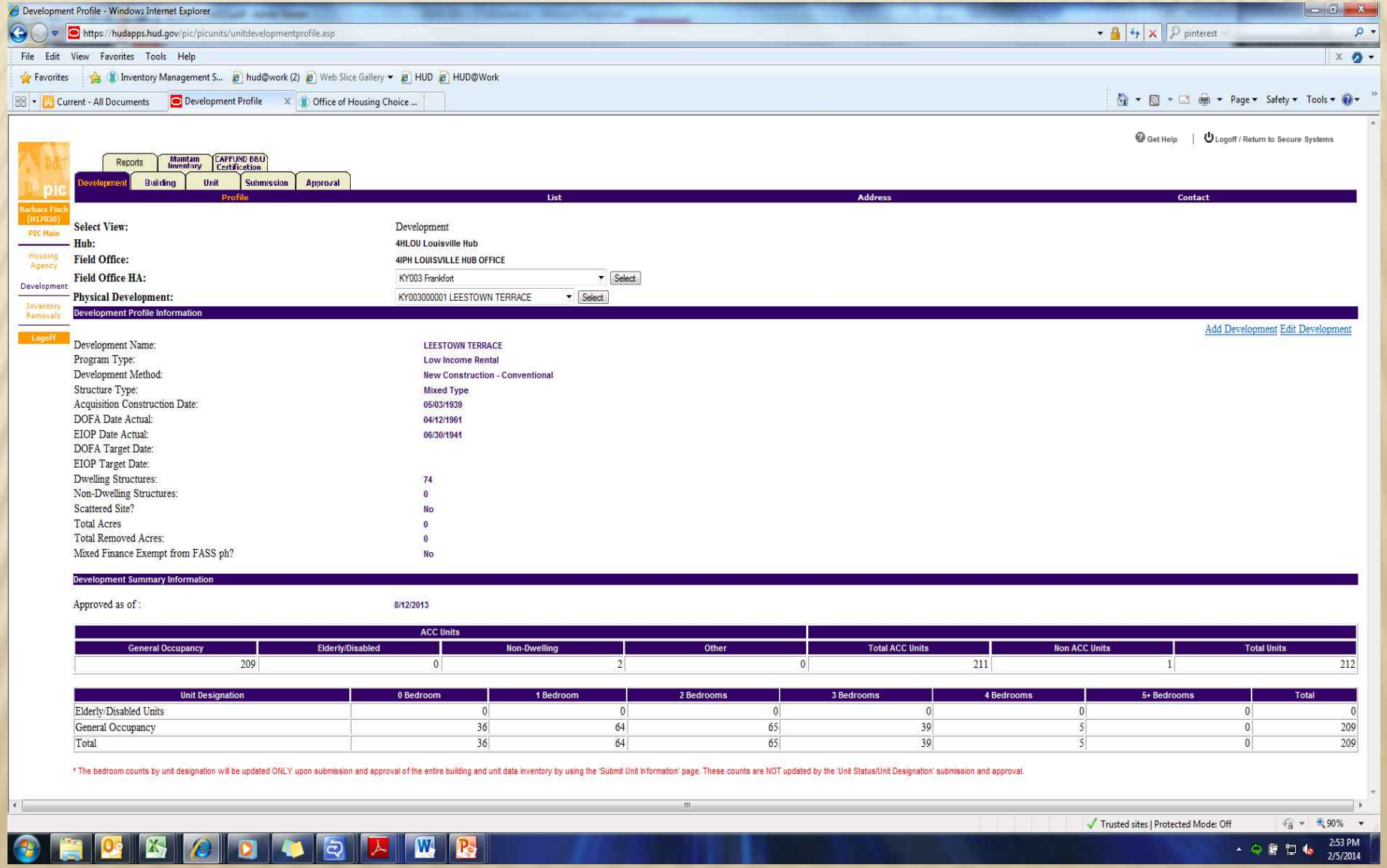
- Be sure to maintain the following information and keep it up to date:
  - HA physical and mailing addresses
  - HA e-mail addresses
  - HA contact roles and their physical, mailing, and e-mail addresses
  - Phone and fax numbers of all representatives listed for your PHA.

Ask a PIC Coach or our Program Assistant if you need help with how to update this data.

PIC

Development Sub-Module

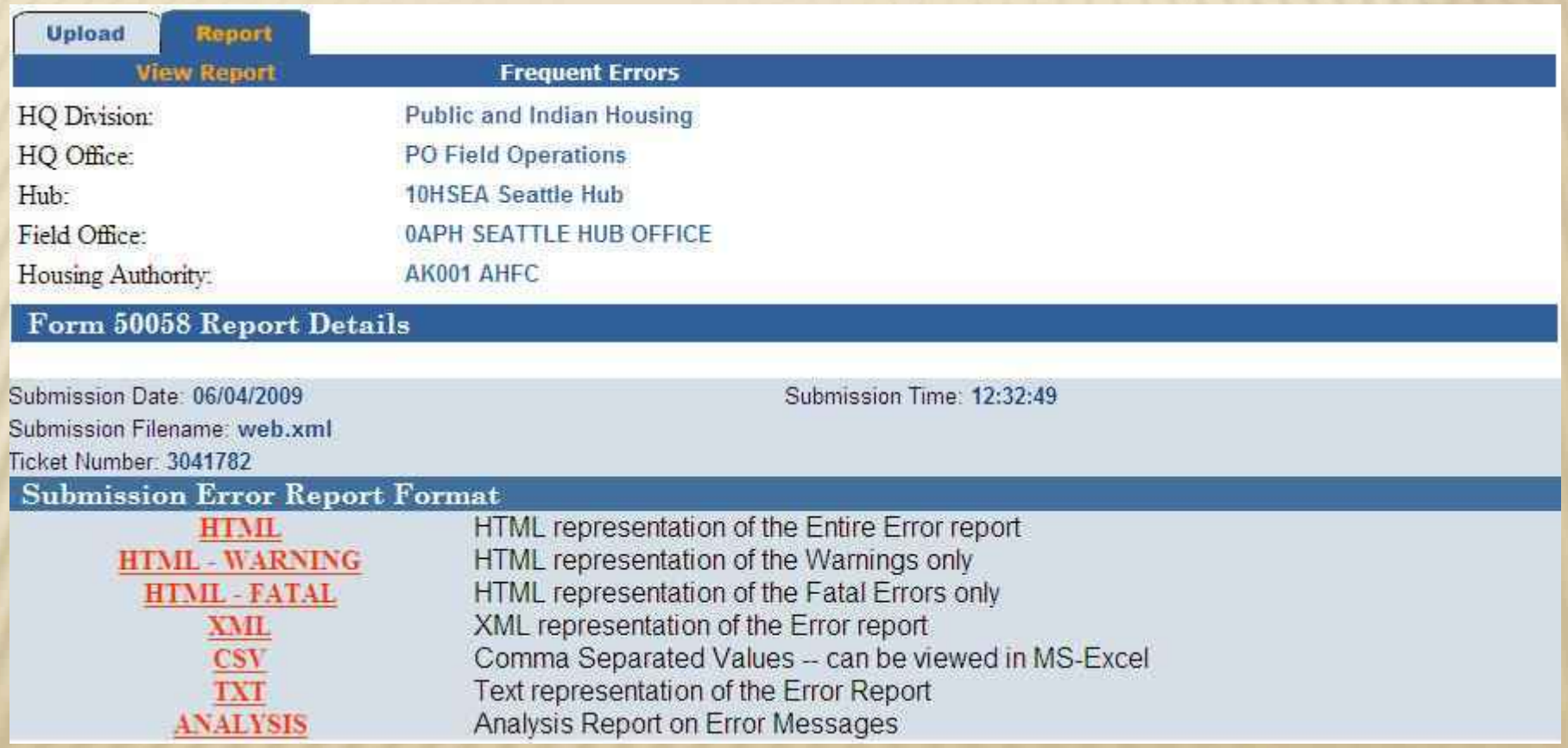
Stores the total number of physical assets under management of the PHA and other general information.



PIC

Form 50058 Submission Sub-module

Collects and Validates tenant data uploaded by the PHA.



PIC

Form 50058 Viewer, Reports and Tenant ID Sub-modules

- ***Form 50058 Viewer***
  Form HUD-50058 Viewer sub-module provides users the ability to bring up tenant data previously reported for analysis or verification.
- ***Form 50058 Reports***
  Form HUD-50058 Reports are a set of detailed, monthly summary reports covering 14 different areas of tenant data.
- ***Form 50058 Tenant ID Management***
  Form HUD-50058 Tenant ID Management Sub-module gives users the ability to identify and correct identity problems.

https://www.hud.gov/program_offices/public_indian_housing/systems/pic/50058

PIC

Resources and Tools

*About IMS/PIC

*Get Help

FAQs

*Form 50058

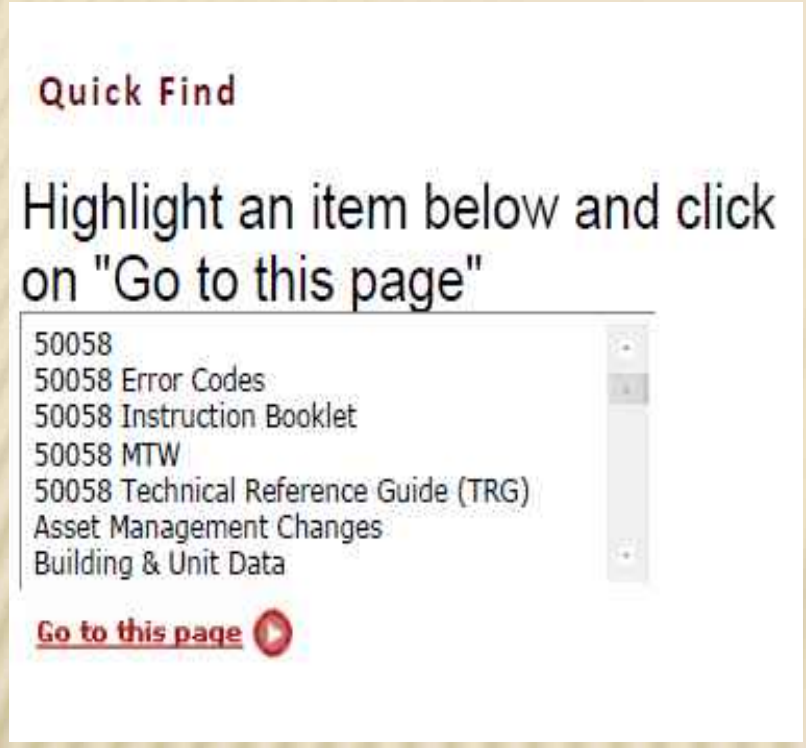
*Headlines

*System Release Summaries

*Correcting Data Anomalies

https://www.hud.gov/program_offices/public_indian_housing/systems/pic

PIC



Resources and Tools

REAC Technical Assistance Center (TAC)

Toll-free line: (888) 245-4860

TAC Email Address: REAC_TAC@hud.gov

https://www.hud.gov/program_offices/public_indian_housing/systems/pic/userguides

Executive Director Training, December 2018

ENTERPRISE INCOME VERIFICATION (EIV) & INCOME VALIDATION TOOL REPORT (IVT)

EIV & IVT

Federal Privacy Act – 5 USC 552a

- A current and valid form **HUD-9886** or equivalent consent form (that meets requirements under 24 CFR 5.230) must be on file for each adult tenant for the PHA to access EIV income information.
- Consent form **is not** required to conduct **Former Tenant Search** or **Existing Tenant Search**
- HUD requires PHA to notify applicants/tenants
- Individual has the right to gain access to his/her EIV record (the portion applicable to him/her)
- Information will not be disclosed in any manner which will violate the individual's privacy

EIV & IVT

Administrative Safeguards

- Restrict access to EIV system and printed or electronic EIV information to authorized personnel need the information to perform official duties

- Ensure staff completes the "Annual Security Awareness" training and report security breaches to HUD at: PIH.RHIIP.TA@HUD.GOV

EIV & IVT

Training Requirements

- Before a new staff person can be granted access to EIV, System users are required to complete the following training offered by HUD Headquarters:
  - ***Initial*** EIV System training (prior to accessing system)
  - ***Updated*** EIV System training
  - ***Annual*** Security Awareness Training

EIV & IVT

System Access

- All EIV users, including handlers and viewers of printed or electronic EIV information must complete form HUD-52676-I

- Maintain forms HUD-52676 for all personnel

(subject to inspection/audit)

EIV Users must be set up in IMS_PIC

EIV & IVT

User Recertification

- All active EIV users must be recertified twice annually, in April and October, to maintain system access
- PHA User Administrators (UA) will be certified by the HUD Field Office. All other PHA users should be certified by the PHAs UA.

Notice PIH 2018-18

Administrative Guidance for

Effective and Mandated Use of the EIV System

- This notice adds a new section incorporating the Income Validate Tool (IVT) Report.

EIV & IVT

EIV & IVT

The IVT Report is a new report that replaces the current Income Discrepancy Report in EIV. The report should help reduce the large volume of false positives in the EIV Income Discrepancy Report.

IVT Features:

- **Excludes Income** for individuals coded on form HUD-50058:
  - Full-Time Students
  - Live-in Aides
  - Youth Under 18
  - Tenants paying flat rents

The IVT Report will be updated monthly and provide a comparison between tenant reported income and income reported on the form HUD-50058.

Additional IVT Features

- **Drill-down (3 screens)**
  - 3 screens
    - (1) Head of Household Report
    - (2) Household Members Report
    - (3) Employment Income & History Report

- **Ability to filter:**
  - Program: (Public Housing, Voucher, All)
  - Discrepant Income Amount = $2400 (greater than or equal to)

- **Enhanced Accuracy** in transmitting IMS-PIC 50058 data to reduce improper payments and correct other administrative & subsidy payment errors of fraud, waste and abuse in HUD's rental assistance programs.

EIV & IVT

Use Requirements

- PHAs are required to review the EIV Income and Former Tenant Search reports prior to admission of each family.
- PHAs are required to review the Income and IVT reports during mandatory and interim reexaminations of family income and/or composition to reduce tenant under reporting of income and improper subsidy payments.
- Regardless of the verification technique, PHAs are require to review the IVT Report at the time of reexamination and for multiple subsidy payments.

EIV & IVT

EIV will continue to provide various reports:

- Identifying tenants whose reported personal identifiers do not match the SSA database;
- Identifying tenants who need to disclose an SSN;
- Identifying tenants whose reported personal identifiers do not match the SSA database;
- Identifying tenants who may not have reported complete and accurate income information;
- Identifying tenants who have started a new job;
- Identifying tenants who may be receiving duplicate rental assistance;
- Identifying tenants who are deceased and possibly continuing to receive rental assistance; and
- Identifying former tenants of PIH rental assistance programs who voluntarily or involuntarily left the program and have a reportable adverse status and/or owe money to a PHA or Section 8 landlord.

EIV & IVT

The PIH Notice brings IVT to light in the following sections:

Section 12.

Type of file documentation required to demonstrate PHA compliance with mandated use of EIV as a third-party source to verify tenant employment and income information (24 CFR 5.233(a)(2)(i)).

This section renders guidance on steps to take using EIV for;

a. New Admissions
b. Historical Adjustments
c. Interim Reexaminations
d. For each reexamination of family income and composition.

Section 15.

How to use the EIV Income and IVT Reports as a 3rd Party verification source of employment and income information.

EIV & IVT

PHAs should be updating their policies and procedures to implement all new and modified regulatory and/or PIH notice requirements as it relates to the Refinement of Income and Rent Determination in Public and Assisted Housing Programs: Implementation of the EIV System Amendments!

EIV & IVT

- **Training and Technical Assistance (including webcast training materials)**
- https://www.hud.gov/program_offices/public_indian_housing/programs/ph/rhiip/piheiv

- **EIV System, Access Authorization Form, and User Manuals:**
- https://www.hud.gov/program_offices/public_indian_housing/programs/ph/rhiip/uivsystem

- **Webcasts Archives:**
- https://www.hud.gov/press/multimedia

- Follow the videos/archived webcasts link.
- **Report Fraud, Waste & Abuse to HUD OIG:**
- https://www.hudoig.gov/report-fraud

- **PIH notices:**
- https://www.hud.gov/program_offices/public_indian_housing/publications/notices

eLOCCS

Presenter: Sandy Harris, Louisville Field Office

Q. How do I change the PHA's approving official in eLOCCS?

A request to change the approving official must be on PHA letterhead and include the information identified in the sample letter included in your binder.

The request should be faxed directly to LOCCS security in HQ at 202-708-4350

The original should be mailed to Sandy Harris in the Field Office

Q. What does the approving official need to do to get full access to LOCCS?

Before the PHA submits the request to change the approving official, the new approving official must request a "M" ID. This ID number must be included in the request.

The new "M" ID must be registered in secure systems. The new approving official will assign him/herself the role of coordinator.

Once this is done, the new approving official will be able to assign the role of user to any new PHA staff needing access to LOCCS.

Q. I need LOCCS access. What do I do?

Other than an approving official, all other PHA staff needing LOCCS access should submit form HUD-27054.

The completed form must be sent to Sandy Harris in the Louisville Field Office

The form cannot be emailed or faxed.

It must be an original document.

Copies are not allowed.

The form must be notarized.

Page 2 must be initialed by the approving official and the individual requesting access.

Once the HUD-27054 form is processed, the approving official will assign the appropriate roles in secure systems.

Important Things to Remember

NEVER, EVER SHARE PASSWORDS!

Every 6 months, the approving official must recertify all users.

Failure to do so will result in denied access to all users.

To remain active, all users must access the system every 90 days.

Resources for PHA Plans - Handout

The PHA Plan process was established by section 5A of the United States Housing Act of 1937 (42 U.S.C. 1437 et seq.). Section 5A(b) of the U.S. Housing Act of 1937 (42 U.S.C. 1437c-1(b)) was amended by the 2008 Housing and Economic Recovery Act (HERA), Sections 2701 and 2702, Small Public Housing Authorities Paperwork Reduction Act. This amendment provided an exemption of certain qualified PHAs from the annual plan requirement.

Resources List

Quality Housing and Work Responsibility Act of 1998 (QHWRA):
https://portal.hud.gov/hudportal/documents/huddoc?id=DOC_8905.pdf

Summary of QHWRA:
https://portal.hud.gov/hudportal/documents/huddoc?id=DOC_8927.pdf

Sections 2701 and 2702 of Title VII, the Small Public Housing Authorities Paperwork Reduction Act: https://www.federalregister.gov/documents/2003/06/24/03-15815/deregulation-for-small-public-housing-agencies

Deregulation for Small PHAs FAQs:
https://portal.hud.gov/hudportal/documents/huddoc?id=SPD_FAQs_FINAL3.pdf

Title VII of the Housing and Economic Recovery Act of 2008 (Pub. L. 110-289, H.R. 3221) (HERA):
https://www.gpo.gov/fdsys/pkg/PLAW-110publ289/pdf/PLAW-110publ289.pdf

Websites

HUD's PHA Plan Page
https://portal.hud.gov/hudportal/HUD?src=/program_offices/public_indian_housing/pha

Qualified PHAs
https://portal.hud.gov/hudportal/HUD?src=/program_offices/public_indian_housing/pha/lists

Non-Qualified PHAs
https://portal.hud.gov/hudportal/HUD?src=/program_offices/public_indian_housing/pha/nonqualified

PIH Notices

PIH Notice 2008-41:
https://portal.hud.gov/hudportal/HUD?src=/program_offices/administration/hudclips/notices/pih/08pihnotices

PIH Notice 2015-18:
https://portal.hud.gov/hudportal/HUD?src=/program_offices/administration/hudclips/notices/pih/2015

Regulations

24 CFR 903 PHA Plan

Guidebooks/Handbooks

PHA Plan Desk Guide: https://portal.hud.gov/hudportal/documents/huddoc?id=DOC_8904.pdf

Annual PHA Plan *(Standard PHAs and Troubled PHAs)*	**U.S. Department of Housing and Urban Development** **Office of Public and Indian Housing**	**OMB No. 2577-0226** **Expires: 02/29/2016**

Purpose. The 5-Year and Annual PHA Plans provide a ready source for interested parties to locate basic PHA policies, rules, and requirements concerning the PHA's operations, programs, and services, and informs HUD, families served by the PHA, and members of the public of the PHA's mission, goals and objectives for serving the needs of low- income, very low- income, and extremely low- income families.

Applicability. Form HUD-50075-ST is to be completed annually by **STANDARD PHAs or TROUBLED PHAs**. PHAs that meet the definition of a High Performer PHA, Small PHA, HCV-Only PHA or Qualified PHA do not need to submit this form.

Definitions.

(1) ***High-Performer PHA*** – A PHA that owns or manages more than 550 combined public housing units and housing choice vouchers, and was designated as a high performer on both of the most recent Public Housing Assessment System (PHAS) and Section Eight Management Assessment Program (SEMAP) assessments if administering both programs, or PHAS if only administering public housing.

(2) ***Small PHA*** - A PHA that is not designated as PHAS or SEMAP troubled, or at risk of being designated as troubled, that owns or manages less than 250 public housing units and any number of vouchers where the total combined units exceeds 550.

(3) ***Housing Choice Voucher (HCV) Only PHA*** - A PHA that administers more than 550 HCVs, was not designated as troubled in its most recent SEMAP assessment and does not own or manage public housing.

(4) ***Standard PHA*** - A PHA that owns or manages 250 or more public housing units and any number of vouchers where the total combined units exceeds 550, and that was designated as a standard performer in the most recent PHAS or SEMAP assessments.

(5) ***Troubled PHA*** - A PHA that achieves an overall PHAS or SEMAP score of less than 60 percent.

(6) ***Qualified PHA*** - A PHA with 550 or fewer public housing dwelling units and/or housing choice vouchers combined, and is not PHAS or SEMAP troubled.

A. PHA Information.

A.1

PHA Name: _____ **PHA Code**: _____
PHA Type: ☐ Standard PHA ☐ Troubled PHA
PHA Plan for Fiscal Year Beginning: (MM/YYYY): _____
PHA Inventory (Based on Annual Contributions Contract (ACC) units at time of FY beginning, above)
Number of Public Housing (PH) Units _____ **Number of Housing Choice Vouchers (HCVs)** _____ **Total Combined Units/Vouchers** _____
PHA Plan Submission Type: ☐ Annual Submission ☐ Revised Annual Submission

Availability of Information. PHAs must have the elements listed below in sections B and C readily available to the public. A PHA must identify the specific location(s) where the proposed PHA Plan, PHA Plan Elements, and all information relevant to the public hearing and proposed PHA Plan are available for inspection by the public. At a minimum, PHAs must post PHA Plans, including updates, at each Asset Management Project (AMP) and main office or central office of the PHA. PHAs are strongly encouraged to post complete PHA Plans on their official website. PHAs are also encouraged to provide each resident council a copy of their PHA Plans.

☐ **PHA Consortia**: (Check box if submitting a Joint PHA Plan and complete table below)

Participating PHAs	PHA Code	Program(s) in the Consortia	Program(s) not in the Consortia	No. of Units in Each Program	
				PH	HCV
Lead PHA:					

B. Annual Plan Elements

B.1 **Revision of PHA Plan Elements.**

(a) Have the following PHA Plan elements been revised by the PHA?

Y N
☐ ☐ Statement of Housing Needs and Strategy for Addressing Housing Needs
☐ ☐ Deconcentration and Other Policies that Govern Eligibility, Selection, and Admissions.
☐ ☐ Financial Resources.
☐ ☐ Rent Determination.
☐ ☐ Operation and Management.
☐ ☐ Grievance Procedures.
☐ ☐ Homeownership Programs.
☐ ☐ Community Service and Self-Sufficiency Programs.
☐ ☐ Safety and Crime Prevention.
☐ ☐ Pet Policy.
☐ ☐ Asset Management.
☐ ☐ Substantial Deviation.
☐ ☐ Significant Amendment/Modification

(b) If the PHA answered yes for any element, describe the revisions for each revised element(s):

(c) The PHA must submit its Deconcentration Policy for Field Office review.

B.2 **New Activities.**

(a) Does the PHA intend to undertake any new activities related to the following in the PHA's current Fiscal Year?

Y N
☐ ☐ Hope VI or Choice Neighborhoods.
☐ ☐ Mixed Finance Modernization or Development.
☐ ☐ Demolition and/or Disposition.
☐ ☐ Designated Housing for Elderly and/or Disabled Families.
☐ ☐ Conversion of Public Housing to Tenant-Based Assistance.
☐ ☐ Conversion of Public Housing to Project-Based Assistance under RAD.
☐ ☐ Occupancy by Over-Income Families.
☐ ☐ Occupancy by Police Officers.
☐ ☐ Non-Smoking Policies.
☐ ☐ Project-Based Vouchers.
☐ ☐ Units with Approved Vacancies for Modernization.
☐ ☐ Other Capital Grant Programs (i.e., Capital Fund Community Facilities Grants or Emergency Safety and Security Grants).

(b) If any of these activities are planned for the current Fiscal Year, describe the activities. For new demolition activities, describe any public housing development or portion thereof, owned by the PHA for which the PHA has applied or will apply for demolition and/or disposition approval under section 18 of the 1937 Act under the separate demolition/disposition approval process. If using Project-Based Vouchers (PBVs), provide the projected number of project based units and general locations, and describe how project basing would be consistent with the PHA Plan.

B.3 **Civil Rights Certification.**

Form HUD-50077, *PHA Certifications of Compliance with the PHA Plans and Related Regulations*, must be submitted by the PHA as an electronic attachment to the PHA Plan.

B.4 **Most Recent Fiscal Year Audit**.

(a) Were there any findings in the most recent FY Audit?

Y N
☐ ☐

(b) If yes, please describe:

B.5	**Progress Report.** Provide a description of the PHA's progress in meeting its Mission and Goals described in the PHA 5-Year and Annual Plan.
B.6	**Resident Advisory Board (RAB) Comments.** (a) Did the RAB(s) provide comments to the PHA Plan? Y N ☐ ☐ (c) If yes, comments must be submitted by the PHA as an attachment to the PHA Plan. PHAs must also include a narrative describing their analysis of the RAB recommendations and the decisions made on these recommendations.
B.7	**Certification by State or Local Officials.** Form HUD 50077-SL, *Certification by State or Local Officials of PHA Plans Consistency with the Consolidated Plan*, must be submitted by the PHA as an electronic attachment to the PHA Plan.
B.8	**Troubled PHA.** (a) Does the PHA have any current Memorandum of Agreement, Performance Improvement Plan, or Recovery Plan in place? Y N N/A ☐ ☐ ☐ (b) If yes, please describe:
C.	**Statement of Capital Improvements**. Required for all PHAs completing this form that administer public housing and receive funding from the Capital Fund Program (CFP).
C.1	**Capital Improvements.** Include a reference here to the most recent HUD-approved 5-Year Action Plan (HUD-50075.2) and the date that it was approved by HUD.

Instructions for Preparation of Form HUD-50075-ST
Annual PHA Plan for Standard and Troubled PHAs

A. PHA Information. All PHAs must complete this section.

A.1 Include the full **PHA Name**, **PHA Code**, **PHA Type**, **PHA Fiscal Year Beginning** (MM/YYYY), **PHA Inventory, Number of Public Housing Units and or Housing Choice Vouchers (HCVs), PHA Plan Submission Type**, and the **Availability of Information**, specific location(s) of all information relevant to the public hearing and proposed PHA Plan. (24 CFR §903.23(4)(e))

PHA Consortia: Check box if submitting a Joint PHA Plan and complete the table. (24 CFR §943.128(a))

B. Annual Plan. All PHAs must complete this section.

B.1 Revision of PHA Plan Elements. PHAs must:

Identify specifically which plan elements listed below that have been revised by the PHA. To specify which elements have been revised, mark the "yes" box. If an element has not been revised, mark "no." (24 CFR §903.7)

☐ **Statement of Housing Needs and Strategy for Addressing Housing Needs.** Provide a statement addressing the housing needs of low-income, very low-income and extremely low-income families and a brief description of the PHA's strategy for addressing the housing needs of families who reside in the jurisdiction served by the PHA. The statement must identify the housing needs of (i) families with incomes below 30 percent of area median income (extremely low-income), (ii) elderly families and families with disabilities, and (iii) households of various races and ethnic groups residing in the jurisdiction or on the waiting list based on information provided by the applicable Consolidated Plan, information provided by HUD, and other generally available data. The identification of housing needs must address issues of affordability, supply, quality, accessibility, size of units, and location. (24 CFR §903.7(a)(1)) Provide a description of the PHA's strategy for addressing the housing needs of families in the jurisdiction and on the waiting list in the upcoming year. (24 CFR §903.7(a)(2)(ii))

☐ **Deconcentration and Other Policies that Govern Eligibility, Selection, and Admissions**. PHAs must submit a Deconcentration Policy for Field Office review. For additional guidance on what a PHA must do to deconcentrate poverty in its development and comply with fair housing requirements, see 24 CFR 903.2. (24 CFR §903.23(b)) Describe the PHA's admissions policy for deconcentration of poverty and income mixing of lower-income families in public housing. The Deconcentration Policy must describe the PHA's policy for bringing higher income tenants into lower income developments and lower income tenants into higher income developments. The deconcentration requirements apply to general occupancy and family public housing developments. Refer to 24 CFR §903.2(b)(2) for developments not subject to deconcentration of poverty and income mixing requirements. (24 CFR §903.7(b)) Describe the PHA's procedures for maintain waiting lists for admission to public housing and address any site-based waiting lists. (24 CFR §903.7(b)). A statement of the PHA's policies that govern resident or tenant eligibility, selection and admission including admission preferences for both public housing and HCV. (24 CFR §903.7(b)) Describe the unit assignment policies for public housing. (24 CFR §903.7(b))

☐ **Financial Resources.** A statement of financial resources, including a listing by general categories, of the PHA's anticipated resources, such as PHA operating, capital and other anticipated Federal resources available to the PHA, as well as tenant rents and other income available to support public housing or tenant-based assistance. The statement also should include the non-Federal sources of funds supporting each Federal program, and state the planned use for the resources. (24 CFR §903.7(c))

☐ **Rent Determination.** A statement of the policies of the PHA governing rents charged for public housing and HCV dwelling units, including applicable public housing flat rents, minimum rents, voucher family rent contributions, and payment standard policies. (24 CFR §903.7(d))

☐ **Operation and Management.** A statement of the rules, standards, and policies of the PHA governing maintenance and management of housing owned, assisted, or operated by the public housing agency (which shall include measures necessary for the prevention or eradication of pest infestation, including cockroaches), and management of the PHA and programs of the PHA. (24 CFR §903.7(e))

☐ **Grievance Procedures.** A description of the grievance and informal hearing and review procedures that the PHA makes available to its residents and applicants. (24 CFR §903.7(f))

☐ **Homeownership Programs**. A description of any Section 5h, Section 32, Section 8y, or HOPE I public housing or Housing Choice Voucher (HCV) homeownership programs (including project number and unit count) administered by the agency or for which the PHA has applied or will apply for approval. (24 CFR §903.7(k))

☐ **Community Service and Self Sufficiency Programs**. Describe how the PHA will comply with the requirements of community service and treatment of income changes resulting from welfare program requirements. (24 CFR §903.7(l)) A description of: **1)** Any programs relating to services and amenities provided or offered to assisted families; and **2)** Any policies or programs of the PHA for the enhancement of the economic and social self-sufficiency of assisted families, including programs under Section 3 and FSS. (24 CFR §903.7(l))

☐ **Safety and Crime Prevention.** Describe the PHA's plan for safety and crime prevention to ensure the safety of the public housing residents. The statement must provide development-by-development or jurisdiction wide-basis: (i) A description of the need for measures to ensure the safety of public housing residents; (ii) A description of any crime prevention activities conducted or to be conducted by the PHA; and (iii) A description of the coordination between the PHA and the appropriate police precincts for carrying out crime prevention measures and activities. (24 CFR §903.7(m)) A description of: **1)** Any activities, services, or programs provided or offered by an agency, either directly or in partnership with other service providers, to child or adult victims of domestic violence, dating violence, sexual assault, or stalking; **2)** Any activities, services, or programs provided or offered by a PHA that helps child and adult victims of domestic violence, dating violence, sexual assault, or stalking, to obtain or maintain housing; and **3)** Any activities, services, or programs provided or offered by a public housing agency to prevent domestic violence, dating violence, sexual assault, and stalking, or to enhance victim safety in assisted families. (24 CFR §903.7(m)(5))

☐ **Pet Policy.** Describe the PHA's policies and requirements pertaining to the ownership of pets in public housing. (24 CFR §903.7(n))

☐ **Asset Management.** State how the agency will carry out its asset management functions with respect to the public housing inventory of the agency, including how the agency will plan for the long-term operating, capital investment, rehabilitation, modernization, disposition, and other needs for such inventory. (24 CFR §903.7(q))

☐ **Substantial Deviation.** PHA must provide its criteria for determining a "substantial deviation" to its 5-Year Plan. (24 CFR §903.7(r)(2)(i))

☐ **Significant Amendment/Modification**. PHA must provide its criteria for determining a "Significant Amendment or Modification" to its 5-Year and Annual Plan. Should the PHA fail to define 'significant amendment/modification', HUD will consider the following to be 'significant amendments or modifications': a) changes to rent or admissions policies or organization of the waiting list; b) additions of non-emergency CFP work items (items not included in the current CFP Annual Statement or CFP 5-Year Action Plan) or change in use of replacement reserve funds under the Capital Fund; or c) any change with regard to demolition or disposition, designation, homeownership programs or conversion activities. See guidance on HUD's website at: Notice PIH 1999-51. (24 CFR §903.7(r)(2)(ii))

If any boxes are marked "yes", describe the revision(s) to those element(s) in the space provided.

B.2 **New Activities.** If the PHA intends to undertake any new activities related to these elements in the current Fiscal Year, mark "yes" for those elements, and describe the activities to be undertaken in the space provided. If the PHA does not plan to undertake these activities, mark "no."

☐ **Hope VI or Choice Neighborhoods. 1)** A description of any housing (including project number (if known) and unit count) for which the PHA will apply for HOPE VI or Choice Neighborhoods; and **2)** A timetable for the submission of applications or proposals. The application and approval process for Hope VI or Choice Neighborhoods is a separate process. See guidance on HUD's website at: http://www.hud.gov/offices/pih/programs/ph/hope6/index.cfm. (Notice PIH 2010-30)

☐ **Mixed Finance Modernization or Development. 1)** A description of any housing (including project number (if known) and unit count) for which the PHA will apply for Mixed Finance Modernization or Development; and **2)** A timetable for the submission of applications or proposals. The application and approval process for Mixed Finance Modernization or Development is a separate process. See guidance on HUD's website at: http://www.hud.gov/offices/pih/programs/ph/hope6/index.cfm. (Notice PIH 2010-30)

☐ **Demolition and/or Disposition.** Describe any public housing projects owned by the PHA and subject to ACCs (including project number and unit numbers [or addresses]), and the number of affected units along with their sizes and accessibility features) for which the PHA will apply or is currently pending for demolition or disposition; and (2) A timetable for the demolition or disposition. This statement must be submitted to the extent that approved and/or pending demolition and/or disposition has changed as described in the PHA's last Annual and/or 5-Year PHA Plan submission. The application and approval process for demolition and/or disposition is a separate process. See guidance on HUD's website at: http://www.hud.gov/offices/pih/centers/sac/demo_dispo/index.cfm. (24 CFR §903.7(h))

☐ **Designated Housing for Elderly and Disabled Families.** Describe any public housing projects owned, assisted or operated by the PHA (or portions thereof), in the upcoming fiscal year, that the PHA has continually operated as, has designated, or will apply for designation for occupancy by elderly and/or disabled families only. Include the following information: **1**) development name and number; **2**) designation type; **3**) application status; **4**) date the designation was approved, submitted, or planned for submission, and; **5**) the number of units affected. **Note**: The application and approval process for such designations is separate from the PHA Plan process, and PHA Plan approval does not constitute HUD approval of any designation. (24 CFR §903.7(i)(C))

☐ **Conversion of Public Housing.** Describe any public housing building(s) (including project number and unit count) owned by the PHA that the PHA is required to convert or plans to voluntarily convert to tenant-based assistance; **2)** An analysis of the projects or buildings required to be converted; and **3)** A statement of the amount of assistance received to be used for rental assistance or other housing assistance in connection with such conversion. See guidance on HUD's website at: http://www.hud.gov/offices/pih/centers/sac/conversion.cfm. (24 CFR §903.7(j))

☐ **Conversion of Public Housing.** Describe any public housing building(s) (including project number and unit count) owned by the PHA that the PHA plans to voluntarily convert to project-based assistance under RAD. See additional guidance on HUD's website at: Notice PIH 2012-32

☐ **Occupancy by Over-Income Families.** A PHA that owns or operates fewer than two hundred fifty (250) public housing units, may lease a unit in a public housing development to an over-income family (a family whose annual income exceeds the limit for a low income family at the time of initial occupancy), if all the following conditions are satisfied: (1) There are no eligible low income families on the PHA waiting list or applying for public housing assistance when the unit is leased to an over-income family; (2) The PHA has publicized availability of the unit for rental to eligible low income families, including publishing public notice of such availability in a newspaper of general circulation in the jurisdiction at least thirty days before offering the unit to an over-income family; (3) The over-income family rents the unit on a month-to-month basis for a rent that is not less than the PHA's cost to operate the unit; (4) The lease to the over-income family provides that the family agrees to vacate the unit when needed for rental to an eligible family; and (5) The PHA gives the over-income family at least thirty days notice to vacate the unit when the unit is needed for rental to an eligible family. The PHA may incorporate information on occupancy by over-income families into its PHA Plan statement of deconcentration and other policies that govern eligibility, selection, and admissions. See additional guidance on HUD's website at: Notice PIH 2011-7. (24 CFR 960.503) (24 CFR 903.7(b))

☐ **Occupancy by Police Officers.** The PHA may allow police officers who would not otherwise be eligible for occupancy in public housing, to reside in a public housing dwelling unit. The PHA must include the number and location of the units to be occupied by police officers, and the terms and conditions of their tenancies; and a statement that such occupancy is needed to increase security for public housing residents. A "police officer" means a person determined by the PHA to be, during the period of residence of that person in public housing, employed on a full-time basis as a duly licensed professional police officer by a Federal, State or local government or by any agency of these governments. An officer of an accredited police force of a housing agency may qualify. The PHA may incorporate information on occupancy by police officers into its PHA Plan statement of deconcentration and other policies that govern eligibility, selection, and admissions. See additional guidance on HUD's website at: Notice PIH 2011-7. (24 CFR 960.505) (24 CFR 903.7(b))

☐ **Non-Smoking Policies.** The PHA may implement non-smoking policies in its public housing program and incorporate this into its PHA Plan statement of operation and management and the rules and standards that will apply to its projects. See additional guidance on HUD's website at: Notice PIH 2009-21. (24 CFR §903.7(e))

☐ **Project-Based Vouchers.** Describe any plans to use Housing Choice Vouchers (HCVs) for new project-based vouchers, which must comply with PBV goals, civil rights requirements, Housing Quality Standards (HQS) and deconcentration standards, as stated in 983.57(b)(1) and set forth in the PHA Plan statement of deconcentration and other policies that govern eligibility, selection, and admissions. If using project-based vouchers, provide the projected number of project-based units and general locations, and describe how project-basing would be consistent with the PHA Plan. (24 CFR §903.7(b))

☐ **Units with Approved Vacancies for Modernization.** The PHA must include a statement related to units with approved vacancies that are undergoing modernization in accordance with 24 CFR §990.145(a)(1).

☐ **Other Capital Grant Programs** (i.e., Capital Fund Community Facilities Grants or Emergency Safety and Security Grants).

For all activities that the PHA plans to undertake in the current Fiscal Year, provide a description of the activity in the space provided.

B.3 Civil Rights Certification. Form HUD-50077, *PHA Certifications of Compliance with the PHA Plans and Related Regulation*, must be submitted by the PHA as an electronic attachment to the PHA Plan. This includes all certifications relating to Civil Rights and related regulations. A PHA will be considered in compliance with the AFFH Certification if: it can document that it examines its programs and proposed programs to identify any impediments to fair housing choice within those programs; addresses those impediments in a reasonable fashion in view of the resources available; works with the local jurisdiction to implement any of the jurisdiction's initiatives to affirmatively further fair housing; and assures that the annual plan is consistent with any applicable Consolidated Plan for its jurisdiction. (24 CFR §903.7(o))

B.4 Most Recent Fiscal Year Audit. If the results of the most recent fiscal year audit for the PHA included any findings, mark "yes" and describe those findings in the space provided. (24 CFR §903.7(p))

B.5 Progress Report. For all Annual Plans following submission of the first Annual Plan, a PHA must include a brief statement of the PHA's progress in meeting the mission and goals described in the 5-Year PHA Plan. (24 CFR §903.7(r)(1))

B.6 Resident Advisory Board (RAB) comments. If the RAB provided comments to the annual plan, mark "yes," submit the comments as an attachment to the Plan and describe the analysis of the comments and the PHA's decision made on these recommendations. (24 CFR §903.13(c), 24 CFR §903.19)

B.7 Certification by State of Local Officials. Form HUD-50077-SL, *Certification by State or Local Officials of PHA Plans Consistency with the Consolidated Plan*, must be submitted by the PHA as an electronic attachment to the PHA Plan. (24 CFR §903.15). Note: A PHA may request to change its fiscal year to better coordinate its planning with planning done under the Consolidated Plan process by State or local officials as applicable.

B.8 Troubled PHA. If the PHA is designated troubled, and has a current MOA, improvement plan, or recovery plan in place, mark "yes," and describe that plan. If the PHA is troubled, but does not have any of these items, mark "no." If the PHA is not troubled, mark "N/A." (24 CFR §903.9)

C. Statement of Capital Improvements. PHAs that receive funding from the Capital Fund Program (CFP) must complete this section. (24 CFR 903.7 (g))

C.1 Capital Improvements. In order to comply with this requirement, the PHA must reference the most recent HUD approved Capital Fund 5 Year Action Plan. PHAs can reference the form by including the following language in Section C. 8.0 of the PHA Plan Template: "See HUD Form- 50075.2 approved by HUD on XX/XX/XXXX."

This information collection is authorized by Section 511 of the Quality Housing and Work Responsibility Act, which added a new section 5A to the U.S. Housing Act of 1937, as amended, which introduced the 5-Year and Annual PHA Plan.

Public reporting burden for this information collection is estimated to average 9.2 hours per response, including the time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. HUD may not collect this information, and respondents are not required to complete this form, unless it displays a currently valid OMB Control Number.

Privacy Act Notice. The United States Department of Housing and Urban Development is authorized to solicit the information requested in this form by virtue of Title 12, U.S. Code, Section 1701 et seq., and regulations promulgated thereunder at Title 12, Code of Federal Regulations. Responses to the collection of information are required to obtain a benefit or to retain a benefit. The information requested does not lend itself to confidentiality.

U.S. Department of Housing and Urban Development
Office of Public and Indian Housing

Special Attention:

Public Housing Agencies (PHA)
Public Housing Hub Office Directors
Public Housing Program Center Directors
Regional Directors
Field Office Directors
Resident Management Corporations

NOTICE PIH-2015-18 (HA)

Issued: October 23, 2015

Expires: Effective until amended, superseded, or rescinded

Cross References: 24 CFR Part 903; and Notice PIH 2008-41.

Subject: Availability of New and Revised Public Housing Agency (PHA) Five-Year and Annual Plan Templates and Other Forms

1. **PURPOSE**

This Notice:

- Announces the availability of new PHA Annual and 5-Year PHA Plan templates:
    - HUD-50075-5Y
    - HUD-50075-HCV
    - HUD-50075-HP
    - HUD-50075-SM
    - HUD-50075-ST
- Announces the availability of new and revised certifications forms:
    - HUD-50077-CRT-SM
    - HUD-50077-ST-HCV-HP
    - HUD 50077-SL
    - HUD 50077-CR
- Provides clarification on the categories of PHAs and the corresponding PHA Annual Plan and 5-Year PHA Plan submission requirements.
- Incorporates Rental Assistance Demonstration (RAD) and Violence Against Women Act (VAWA) requirements into PHA Annual and 5-Year PHA Plan templates, as described in more detail in Section 5 of this notice.

2. **BACKGROUND AND APPLICABILITY**

Section 511 of the Quality Housing and Work Responsibility Act of 1998 (QHWRA), Pub. L. 105–276, created the requirement for submission of 5-Year and Annual PHA Plans by all PHAs administering the Public Housing and/or Housing Choice Voucher (HCV) programs. Sections 2701 and 2702 of the Housing and Economic Recovery Act of 2008 (HERA), Pub. L. 110-289 relieved burden on small PHAs by providing Qualified PHAs with an exemption from the requirement to submit an Annual PHA Plan. See Section 3 for a definition of Qualified PHAs.

Since HUD's issuance of Notice PIH 2008-41, public comments have been submitted with respect to prior versions of PHA plan templates and forms subject to OMB review under the Paperwork Reduction Act of 1995. Specifically, a number of commenters requested that HUD revise the plan templates to accurately reflect existing regulations that permit the Department to establish streamlined plans for small and high performing PHAs – and PHAs that only administer tenant-based assistance (i.e. the HCV Only or Section 8 Only PHAs) and that do not own or operate public housing.

3. **CATEGORIES OF PHAs FOR THE PURPOSE OF THE ANNUAL PHA PLAN**

PHAs that are not exempted from the requirement to submit an Annual PHA Plan under HERA are required to submit a complete or streamlined Annual PHA Plan pursuant to the requirements of 24 CFR §903.7, 903.11, and 903.12. The regulations at 24 CFR § 903.11 permits PHAs that are high performing or small, or that only administer tenant-based assistance to submit streamlined plans. The definitions of the PHA types required to submit Annual PHA Plans are described below:

- **Standard PHA -** Must submit complete, Annual PHA Plans using the 50075-ST standard template.
    - Owns or manages 250 or more public housing units and any number of vouchers where the total combined units exceed 550.
    - Designated as a Standard Performer (see § 902.11(b)) in the most recent Public Housing Assessment System (PHAS) or Section Eight Management Assessment Program (SEMAP) assessments if administering both programs. Otherwise, PHAS if only administering public housing.

- **Troubled PHA -** Must submit complete, Annual PHA Plans using the 50075-ST standard template.

    - Any PHA that is designated Troubled (see § 902.75) on the most recent PHAS or SEMAP assessments if administering both programs. Otherwise, PHAS if only administering public housing or SEMAP if only administering Housing Choice Vouchers.

- **High-Performer PHA -** Must submit streamlined Annual PHA Plans using the 50075-HP template.

    - Owns or manages any number of public housing units and any number of vouchers where the total combined units exceed 550.
    - Designated as a high performer (see § 902.11(a)) on both of the most recent PHAS and SEMAP assessments if administering both programs. Otherwise, PHAS if only administering public housing or SEMAP if only administering Housing Choice Vouchers.

- **Small PHA -** Must submit streamlined Annual PHA Plans using the 50075-SM template.

    - Owns or manages between 1 and 249 public housing units and any number of vouchers where the total combined units exceed 550.
    - Not designated as a troubled PHA in the most recent PHAS or SEMAP assessment, or at risk of being designated as troubled[1].
    - Small PHAs may also be High Performer PHAs if they meet the definition of High Performer above. Small PHAs that choose to submit Annual PHA Plans as High Performers must submit streamlined Annual PHA Plans using the 50075-HP template.

- **Housing Choice Voucher (HCV) Only PHA -** Must submit streamlined Annual PHA Plans using the 50075-HCV template.

    - Administers more than 550 HCVs, and does not own or manage public housing.
    - Not designated as troubled in its most recent SEMAP assessment.
    - HCV-Only PHAs may also be High Performer PHAs if they meet the definition of High Performer under SEMAP above. HCV-Only PHAs that choose to submit Annual PHA Plans as High Performers must submit streamlined Annual PHA Plans using the 50075-HP template.

- **Qualified PHA -** Not required to complete and submit Annual PHA Plans (see 903.3(c)).

    - Owns or manages 550 or fewer public housing dwelling units and/or housing choice vouchers combined.
    - Not designated as a Troubled PHA in the most recent PHAS assessment or does not have a failing score under SEMAP during the prior 12 months.

[1] PHAs that are at risk of being designated as troubled include those designated as substandard performers under the Public Housing Assessment System (PHAS). See 24 CFR §902.11(c).

4. ANNUAL PHA AND 5-YEAR PHA PLAN TEMPLATES AND CERTIFICATION SUBMISSION REQUIREMENTS FOR ALL PHA TYPES

The following table identifies the Annual PHA Plan and 5-Year PHA Plan ("PHA Plans") templates and certifications by PHA Category that PHAs are required to complete and submit to HUD in order to comply with the Annual PHA and 5-Year PHA Plan requirements.

PHA Plan Submission Requirements by PHA Type	
HUD Form	**Frequency of Submission**
All PHAs	
HUD 50075-5Y	Once every 5 PHA Fiscal Years
Standard PHAs and Troubled PHAs	
HUD 50075-ST	Annually
HUD 50077-ST-HCV-HP	Annually
HUD 50077-SL	Annually
RAB Comments	Annually
Challenged Elements	Annually
Small PHAs	
HUD 50075-SM	Annually
HUD 50077-CRT-SM	Annually
HUD 50077-SL	Annually
RAB Comments	Annually
Challenged Elements	Annually
High Performer PHAs	
HUD 50075-HP	Annually
HUD 50077-ST-HCV-HP	Annually
HUD 50077-SL	Annually
RAB Comments	Annually
Challenged Elements	Annually
HCV-Only PHAs	
HUD 50075-HCV	Annually
HUD 50077-ST-HCV-HP	Annually
HUD 50077-SL	Annually
RAB Comments	Annually
Challenged Elements	Annually
Qualified PHAs	
HUD 50077-CR	Annually
HUD 50077-SL	Once every 5 PHA Fiscal Years

5. CERTIFICATIONS AND OTHER SUBMISSION REQUIREMENTS

This section clarifies, reiterates, or describes processing changes made to the submission requirements identified in the table above and described in more detail below.

a. **Civil Rights Certification**. In accordance with Section 5A of the U.S. Housing Act of 1937 (42 USC § 1437c-1) and departmental regulations at 24 CFR §903.7(o)(1) and (2), PHAs must certify annually that they are in compliance with the Fair Housing Act, Title VI of the Civil Rights Act, Section 504 of the Rehabilitation Act of 1973, Title II of the Americans with Disabilities Act of 1990, as well as certifying that they will be affirmatively furthering fair housing choice. This civil rights certification is included as a separate civil rights certification form just for Qualified PHAs -- and these requirements are contained within the PHA Civil Rights Certification and Certifications of Compliance with the PHA Plan and Related Regulations forms for the other types of PHA types as identified below:

- **Form HUD-50077-ST-HCV-HP** - PHA Certifications of Compliance with the PHA Plans and Related Regulations (*Standard, Troubled, HCV-Only, and High Performer PHAs*)
- **Form HUD-50077-SM** - PHA Certifications of Compliance with the PHA Plans and Related Regulations (*Small PHAs*),
- **Form HUD-50077-CR -** Civil Rights Certification (*Qualified PHAs*). Qualified PHAs submit this form annually.
- HUD will not consider the PHA Plan submission complete and ready for review until these forms have been received at the appropriate local HUD Field Office.

b. **Certification of Consistency with Consolidated Plan including the Analysis of Impediments to Fair Housing Choice (AI)**. In a change to Section 4 of PIH Notice 2008-41 and in compliance with 24 CFR §903.15, all non-Qualified PHAs are required to obtain and submit to HUD with their Annual PHA Plans a certification by a State or local official of the Annual PHA Plan's consistency with the Consolidated Plan including the Analysis of Impediments to Fair Housing Choice (AI) (**Form HUD-50077-SL - Certification by State or Local Official of PHA Plans Consistency with the Consolidated Plan or State Consolidated Plan**).

Qualified agencies must submit the HUD-50077-SL with their 5-Year PHA Plans. The PHA plan regulations require that this certification be submitted to HUD - and not simply retained on file. In addition, HUD has modified the certification to comply with 24 CFR §903.15(a)(1), which requires that the certification describe how the 5-Year PHA Plan is consistent with the Consolidated Plan.

c. **Rental Assistance Demonstration (RAD).** Conversion of assistance under the Demonstration will be considered a significant amendment to the PHA's Five-Year PHA 7Plan for Qualified and non-Qualified PHAs, the Annual Plan for non-Qualified PHAs, and the Moving to Work (MTW) Plan for MTW PHAs. In addition to the information already required by 24 CFR Part 903 for PHA Plan amendments, refer to the revised

RAD Notice PIH-2012-32, REV-2 issued June 15, 2015; and any successor guidance, including Appendix 1D of the aforementioned notices for guidance on what information must be submitted as Significant Amendment attachments to 5-Year and/or Annual PHA Plans for RAD conversion actions.

d. **Violence Against Women and Department of Justice Reauthorization Act of 2005 (VAWA) Requirements in PHA Plan Templates**. As noted in Section 7 of PIH Notice 2008-41, VAWA requires 5-Year and Annual PHA Plans to contain information regarding a PHA's goals, objectives, policies, or programs that will enable the PHA to serve the needs of child and adult victims of domestic violence, dating violence, sexual assault, or stalking and HUD intended to include this item in future 5-Year and Annual PHA Plan templates. The specific information required by VAWA is now integrated into the revised templates issued with this notice.

e. **Resident Advisory Board (RAB) Comments**. PHAs must submit as an attachment to the 5-Year and Annual PHA Plan any PHA Plan any comments received from the RAB. PHAs must also include a narrative describing their analysis of the recommendations and the decisions made on these recommendations (see 903.13)).

f. **Challenged Elements**. If any element of the Annual PHA Plan or 5-Year PHA Plan is challenged, a PHA must include such information as an attachment to the Annual PHA Plan or 5-Year PHA Plan with a description of any challenges to Plan elements, the source of the challenge, and the PHA's response. HUD will consider incorporating this element into future versions of the PHA Plan templates.

g. **Forms Removed from PHA Plan Submissions**. As explained in Section 6 below, the following forms are no longer submitted as part of the PHA Plan, <u>but may be required for other HUD programs</u>:

1. Form HUD-50075.1, *Capital Fund Program Annual Statement/Performance and Evaluation Report* (PHAs receiving CFP grants only)
2. Form HUD-50075.2, *Capital Fund Program Five-Year Action Plan* (PHAs receiving CFP grants only)
3. Form HUD-50070, *Certification for a Drug-Free Workplace*
4. Form HUD-50071, *Certification of Payments to Influence Federal Transactions*
5. Form SF-LLL, *Disclosure of Lobbying Activities*
6. Form SF-LLL-A, *Disclosure of Lobbying Activities Continuation Sheet*

6. <u>STATEMENT OF CAPITAL IMPROVEMENTS NEEDED</u>

In order to comply with the requirements of 24 CFR §903.7(g), PHAs are required to include a statement of capital improvements needed in the Annual PHA Plan. In the past, a PHA satisfied this requirement by including copies of its Capital Fund Annual Statement or Performance and Evaluation Report (HUD 50075.1) and the Capital Fund Program 5 Year-Action Plan (HUD 50075.2) forms with the Annual PHA Plan. In 2013, HUD published the Capital Fund Final Rule which decoupled the Capital Fund submission from the Annual PHA Plan and 5-Year PHA Plan.

However, PHAs are still required to incorporate some information on the capital improvement needs in the Annual PHA Plan.

In order to comply with this requirement, the PHA must reference in its Annual PHA Plan the most recent HUD approved Capital Fund 5-Year Action Plan (HUD 50075.2). PHAs can reference the form by including the following language in the **Capital Improvements** section of the appropriate Annual or Streamlined PHA Plan Template: "See HUD Form 50075.2 approved by HUD on XX/XX/XXXX." This reference statement is intended to mean that the 50075.2 describes the capital improvements necessary to ensure long-term physical and social viability of the projects." It is anticipated that the local Field Office will have a copy of the most recent HUD approved Capital Fund 5 Year Action Plan (50075.2) on file. Refer to the website for HUD's Office of Capital Improvements at: http://portal.hud.gov/hudportal/HUD?src=/program_offices/public_indian_housing/programs/ph/capfund for more information on Capital Fund processing.

7. INSTRUCTIONS FOR ACCESSING AND SUBMITTING THE REVISED PHA PLAN TEMPLATES AND OTHER REQUIRED FORMS

Accessing. The PHA Plan templates, certification forms, and technical instructions for their use are available on HUD's PHA Plans website found at: http://portal.hud.gov/hudportal/HUD?src=/program_offices/public_indian_housing/pha. The templates and certifications are available in .pdf fillable and Microsoft Word versions.

Submitting. Once completed, PHAs will transmit their PHA Plans, along with all required attachments to HUD as directed on the HUD PHA Plans website at: http://portal.hud.gov/hudportal/HUD?src=/program_offices/public_indian_housing/pha.

Consequences for Failure to Submit Approvable PHA Plans. If a PHA fails to submit complete PHA Plans in a timely manner, HUD may impose sanctions including but not limited to the withholding of or future reductions in funding for the Capital Fund program, Operating Fund, or Section 8 administrative fees.

Public Availability. Pursuant to 42 USC § 1437c-1(i)(5) a PHA shall make the approved plan of the agency available to the general public. 24 CFR § 903.23(e) provides that a PHA must make the approved plans and required attachments and documents related to the plans available for review and inspection at the principal office of the PHA during normal business hours. PHAs may also provide copies of the approved plans to each resident council and Resident Advisory Board, as well as make a copy available at each asset management project office. Additionally, PHAs are strongly encouraged to post the template submission and all plan elements on their website if applicable. For questions about plan availability, please contact the local HUD field office.

Qualified Agencies List. Each quarter, the Department will post a list of PHAs that meet the criteria of a Qualified agency under HERA for the purpose of being exempt from the requirement to submit an Annual PHA Plan. Due to the processing timeline for PHAs that are required to complete and submit an Annual PHA Plan (advance notice of a public hearing,

preparation of the plan, holding the annual hearing, revisions to the plan based on public comments, submission to HUD, and HUD review), the list of Qualified PHAs that HUD posts three quarters in advance of a PHA's fiscal year beginning (FYB) will determine whether a PHA is exempt in the upcoming fiscal year from the requirement to submit an Annual PHA Plan if on the list - or is required to submit an Annual PHA Plan in the upcoming fiscal year if not on the list. Please see the table below for further clarity:

Fiscal Year Beginning (FYB)	Example	Applicable Qualified Agencies List Posting Date	Example
January 1st	01-01-2016	April 1st	04-01-2015
April 1st	04-01-2016	July 1st	07-01-2015
July 1st	07-01-2016	October 1st	10-01-2015
October 1st	10-01-2015	January 1st	01-01-2015

8. **OPERATIONS AND MANAGEMENT**

Internal control helps an entity run its operations efficiently and effectively, report reliable information about its operations, and comply with applicable laws and regulations. *Standards for Internal Control in the Federal Government*, known as the "Green Book," sets the standards for an effective internal control system for federal agencies, and can be adopted by state, local, and quasi-governmental entities, as well as not-for-profit organizations, as a framework for an internal control system. HUD encourages PHAs to incorporate the risk assessment process into their development of a system of controls and policies. In the Standard Annual Plan template Section B1, Revision of PHA Plan Elements, Operations and Management -- while not mandatory, HUD suggests that PHAs describe their incorporation of the green book standards and disclose their use.

9. **IMPLEMENTATION – ANNUAL AND 5-YEAR PLANS**

Submission of Annual PHA Plans using the revised PHA Plan Templates and other forms will be required commencing with PHAs having a fiscal year beginning 7/1/2016. Submission of 5-Year PHA Plans using the revised PHA Plan Template will be required for any 5-Year PHA Plan due beginning 7/1/2016.

10. **CONTACT INFORMATION**

If you have questions regarding this Notice, please contact your local Field Office PHA Plan Point of Contact.

11. **PAPERWORK REDUCTION ACT**

The information collections referenced in this Notice have been approved by OMB pursuant to the Paperwork Reduction Act under OMB Control Number 2577-0226.

/s/

Lourdes Castro Ramírez,
Principal Deputy Assistant Secretary
Public and Indian Housing

Public Housing Agency (PHA) Plan

Desk Guide

U.S. Department of Housing and Urban Development
Office of Public and Indian Housing
Office of Policy, Program and Legislative Initiatives

Please Note:

This Desk Guide is current as of September 20, 2001. Changes in regulations or additional guidance, as they are published, will modify the content of this guide.

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Section One
Introduction

1.1 What is the PHA Plan?

The PHA Plan is a comprehensive guide to public housing agency (PHA) policies, programs, operations, and strategies for meeting local housing needs and goals. There are two parts to the PHA Plan: the Five-Year Plan, which each PHA submits to HUD once every fifth PHA fiscal year, and the Annual Plan, which is submitted to HUD every year. It is through the Annual Plan that a PHA receives capital funding and/or Public Housing Drug Elimination Program (PHDEP) funding.

Section 511 of the Quality Housing and Work Responsibility Act (QHWRA) of 1998 created the public housing agency Five-Year and Annual Plan requirement. The Five-Year Plan describes the mission of the agency and the agency's long-range goals and objectives for achieving its mission over a five-year period, and their approach to managing programs and providing services for the upcoming year. The PHA Plan also serves as the annual application for grants to support improvements to public housing buildings (Capital Fund Program) and safety in public housing (Public Housing Drug Elimination Program).

Any local, regional or State agency that receives funds to operate Federal public housing or Section 8 tenant-based assistance (vouchers) programs must submit a PHA Plan. The law considers these agencies to be public housing agencies even though they may not be called a PHA locally. For example, State Housing Finance Agencies that administer vouchers are considered PHAs and required to submit a PHA Plan.

1.2 Congressional Intent and Purpose in Creating the PHA Plan Requirement

The Quality Housing and Work Responsibility Act (QHWRA) of 1998 provided more flexibility and discretion for PHAs to use funding to address the needs of low-income families. The PHA Plan is Congress's way of ensuring that the PHA is accountable to the local community for choices it makes with this flexibility.

With the creation of the PHA Plan requirement, the law specified both the type of information that should be included in the plan – the content of the Plan – and the steps a PHA must go through to obtain resident and public involvement in the plan – the process for its development. In addition, the law required that the plan be consistent with the housing and community development plans of the community (as described in the jurisdiction's Consolidated Plan).

To ensure public participation in the process, PHA Plans, including attachments and supporting documents, must be available for inspection by the public at the principal office of the PHA during normal business hours both during the public review period prior to the board hearing and submission to HUD, as well as after HUD approval of the PHA Plan. HUD encourages PHAs to make the PHA Plan available at the principal business office(s) of the jurisdiction(s) served by the PHA if different from the PHA's principal office (or of several of the jurisdictions served by the PHA if the PHA covers a large jurisdiction). PHAs are also encouraged to make the PHA Plan and attachments available at other locations, such as libraries or community centers and on PHA or community web sites.

1.3 How the PHA Plan Can Serve as a Strategic Planning Tool

With the passage of the QHWRA, PHAs have many more "tools" to manage their programs. These tools include: flexible rent structures and payment standards; new admissions and occupancy procedures (including

site-based waiting lists); alternative management options; steady formula funding for capital and drug elimination programs; replacement of obsolete public housing with vouchers; and strengthened ties to Temporary Assistance to Needy Families (TANF) and Community Development Block Grant (CDBG) agencies. The PHA Plan is the opportunity for the PHA to fully consider these tools and then inform the public how the PHA will use them. The PHA Plan process is an annual opportunity to determine the role of the PHA in the community – now and in the future. Strategic planning helps the PHA decide what mechanisms it will use to reach its goals.

PHA Plan as a Strategic Planning Tool

The PHA Plan essentially walks the PHA through the strategic planning process because the Plan components reflect a basic organizational planning process.

- The PHA **assesses the housing needs** of the community;
- the PHA **identifies the financial and other resources** available to the PHA to help address those needs;
- the PHA **establishes goals and strategies** for addressing the needs identified; and
- the PHA translates these strategies into **policies and programs.**

1.4 How the PHA Resident Community Is Involved in the PHA Plan Process

The PHA's resident community plays an important role in the development of the PHA Plan. Residents can ensure that their needs are being addressed and become more involved in issues that directly affect them. In addition, through involvement in the PHA Plan, residents will be more aware of the process that the PHA undergoes to prioritize agency activities. PHAs also benefit by working with residents since the residents can provide important information regarding the physical condition of the developments, physical or

management improvements that are needed, and resident self-sufficiency needs. This information helps PHAs to prioritize capital improvement activities and obtain supportive services for residents.

PHAs are required to establish one or more Resident Advisory Boards (RAB) to enable residents to advise the PHA in Plan development. The membership consists of individuals who reflect and represent the residents assisted by the PHA. The RAB makes recommendations regarding the development of the PHA Plan, and any significant amendments or modifications to the Plan. The RAB process and requirements are discussed more fully in Section 4 of this Guide.

1.5 What This Desk Guide Provides

The Desk Guide provides comprehensive instructions on the development of a PHA Plan. The information presented here is based on HUD's regulations, notices, training materials, Field Office guidance, and frequently asked questions and answers posted on HUD's PHA Plans web site mentioned below. The Guide includes the following sections:

- Section One – Introduction
- Section Two – Overview of the PHA Plan Process
- Section Three – Review of the PHA Plan Template
- Section Four – The Resident Advisory Board (RAB)
- Section Five – Submitting the PHA Plan
- Section Six – HUD Review of the PHA Plan
- Section Seven – Amendments/Modifications to the Plan
- Appendix A – Resources for PHA Plan Development and Submission
- Appendix B – Glossary of Terms

Throughout the Desk Guide, you will see pushpin notes that indicate where source information can be found. The Code of Federal Regulations, cited as 24 CFR, can be found on-line at: http://www.access.gpo.gov/nara/cfr/. The Public and Indian Housing Notices, cited as "Notice PIH" can be found on the PIH web site at:

http://www.hud.gov/offices/pih/regs/index.cfm, or on the PHA Plans web site at: http://www.hud.gov/pih/pha/plans/phaps-home.html.

This Desk Guide is current as of September 20, 2001. Changes in regulations or additional guidance, as they are published, will modify the content of this Guide.

Section Two
Overview of the PHA Plan Process

This section of the Desk Guide provides an overview of the PHA Plan process, including: the various types of plans, a sample timeline for the Plan's completion, sanctions imposed on a PHA that fails to complete and submit an approvable PHA Plan, and the requirement for Consortium PHAs to submit a joint PHA Plan. Finally, this section provides information on the various federal regulations and notices that have been published to date related to the PHA Plan.

2.1 Types of Plans and Performance Designation

See 24 CFR 903.11 and Notice PIH 2000-43

As described in Section 1 of the Desk Guide, the Public Housing Reform Act requires submission of both a Five-Year and an Annual Plan. The Five-Year PHA Plan describes the agency's mission and the long-term plan for achieving that mission over the subsequent five years. The Annual Plan provides details about the PHA's current programs and the resident population served, as well as the PHA's strategy for addressing the housing needs of currently assisted families and the larger community. The Plan also serves as the PHA's annual request for grants to support improvements to public housing buildings (through the Capital Fund Program) and safety in public housing (through the Public Housing Drug Elimination Program).

There are several types of PHA Plan submission. The type of submission depends upon the PHA's performance designation and/or its size. The Standard Plan is simply the full PHA Plan template. A high performer PHA or a small, non-troubled PHA with fewer than 250 units of public housing is

eligible to submit a streamlined version of the standard plan. In addition, a Section 8-only PHA (a PHA or government agency that administers Section 8 only) may also complete a streamlined submission.

Finally, a non-troubled PHA with a total of 250 or fewer units of public housing **and** 250 or fewer Section 8 vouchers is eligible to submit a further streamlined plan, a "Small PHA Plan Update" in years 2-5 of the five-year PHA Plan cycle. See Section 3.24 of this Guide for further discussion of the Small PHA Plan Update.

Exhibit 1 below describes the various types of PHA Plan submission.

Exhibit 1

Types of PHA Plan Submission	
Standard PHA Plan	The *standard plan* is simply the full PHA Plan template (Form HUD-50075). A PHA that has received a "standard" performance designation and is not a "small" PHA (less than 250 units of public housing) would submit a standard PHA Plan.
Streamlined PHA Plan	High-performing housing authorities, small non-troubled agencies (with less than 250 units of public housing) or agencies that operate only Section 8 tenant-based assistance are eligible to develop and submit *streamlined PHA Plan* submissions. As described in 24 CFR 903.11, streamlined submissions exempt eligible PHAs from submitting full statements in certain components of the annual plan for HUD review. The streamlined submission does *not*, however, exempt the PHA from either the Resident Advisory Board or public display requirements. In addition, the streamlined submission does not exempt these PHAs from developing the required and applicable policies, and including these policies as supporting documents to the Plan. The PHA Plan template and guidance specify which sections of the plan are exempt in the streamlined plans. (See Section 3 of the Guide.)
Troubled PHA Plan	Agencies that have been designated as "troubled," or are at risk of being designated as troubled, must complete all components of a standard PHA Plan and may be required by HUD's Troubled Agency Recovery Center (TARC) to submit additional information with its PHA Plan. Such additional information might include, for example, the PHA's operating budget, any applicable memorandum of agreement with HUD, or any other plan to improve performance.
Small PHA Plan Update	In an effort to further streamline the PHA Plan for small agencies, HUD created an additional template called the *Small PHA Plan Update*. Small, non-troubled PHAs that operate 250 or fewer units of public housing and 250 or fewer Section 8 vouchers are eligible to submit the *Update*. The Small PHA Plan Update can be submitted in years 2-5 of the five-year planning cycle. This template asks for brief statements of upcoming grant activities and any changes in policies from the previous year, but is a significantly reduced version of the Annual PHA Plan. The elements of the Small PHA Plan Update are discussed more fully in Section 3.24 of this Guide.

Performance Designation

The designation for a high performer "streamlined" plan or a troubled agency plan is based on the PHA's designation under the Public Housing Assessment System (PHAS) or predecessor system. To determine performance status, the PHA must reference the most recently issued PHAS score and accompanying designation (as provided in the PHAS regulations at **24 CFR Part 902.63** and **Part 902.67**). However, because HUD is issuing only "advisory" scores under PHAS at this time, the Management Operations Assessment (MASS) score is the vehicle that determines a PHA's designation and status. A PHA's performance designation can affect information a PHA includes in its Plan, such as eligibility for Capital Fund Program funding flexibility or bonus funds.

Note:
A score of 27 or above on the Management Assessment is a high performer; a score of 18 – 26.999 indicates a standard performer; and a score below 18 is troubled.

PHAS Guidance

On May 30, 2001, HUD published a *Federal Register* Notice stating that the Management Operations indicator under PHAS will continue to be the official assessment for PHAs with fiscal years ending on June 30, 2000 through June 30, 2001.

On August 2, 2001, HUD issued Notice PIH 2001-26, stating that all designations other than MASS troubled (substandard management) will be held in abeyance as well as any incentives that are awarded for such designations for all PHA FYs through June 30, 2001. PHAs with FYs ending after June 30, 2001, through June 30, 2002 may be issued modified PHAS scores as established by appropriate procedures and notification. For the purpose of the PHA Plan, PHAs that were eligible to submit streamlined Plans based on "high performance" prior to the May 30, 2001 *Federal Register* Notice, will be allowed to submit streamlined agency Plans until they receive modified PHAS scores under a PHAS system that again designates high performers.

For the most current information on PHAS, please see HUD's Real Estate Assessment Center (REAC) web site at: http://www.hud.gov/offices/reac/index.cfm.

Exhibits 2 and 3 below show the required components of the PHA Plan template for each type of Plan submission.

Exhibit 2

Streamlined vs. Standard Plan Submission
By Type of Agency
Key: ● = Full submission required; X = Omitted from Streamlined submission

	Streamlined Submission			Standard
	High-Performing	Small	Section 8 Only	
PHA Identification Page	●	●	●	●
5-year plan (24 CFR Part 903.5 (all components))	●	●	●	●
Annual plan (24 CFR Part 903.7)	●	●	●	●
i. Executive Summary	●	●	●	●
ii . TABLE OF CONTENTS	●	●	●	●
1. Housing Needs	●	●	●	●
2. Financial Resources	●	●	●	●
3. Policies on Eligibility, Selection, and Admissions	●	●	●	●
4. Rent Determination Policies	●	●	●	●
5. Operations and Management Policies	X	X	●	●
6. Grievance Procedures	X	X	●	●
7. Capital Improvement Needs	●	●	X	●
8. Demolition and Disposition	●	●	X	●
9. Designation of Housing	X	X	X	●
10. Conversions of Public Housing	●	●	X	●
11. Homeownership	X	Section 8 Only	Section 8 Only	●
12. Community Service and Self Sufficiency Programs	X	X	●	●
13. Crime and Safety	PHDEP Plan Only	PHDEP Plan Only	X	●
14. Pets	●	●	X	●
15. Civil Rights Certification (included with PHA Plan Certifications)	●	●	●	●
16. Audit	●	●	●	●
17. Asset Management	X	X	X	●
18. Other Information	●	●	●	●
Attachments (See Section 3.22)	●	●	●	●
PHA Plan Certifications of Compliance with the PHA Plans and Related Regulations	●	●	●	●
State/Local Government Certification of Consistency with the Consolidated Plan	●	●	●	●

Exhibit 3

Small PHA Plan Update Submission Key: ● = Submission required; X = Optional, ❍ = Contingent on Participation	
PHA Identification Page	●
Table of Contents	●
Executive Summary	X
1. Summary of Policy and Program Changes	●
2. Capital Improvement Needs *Capital Fund Program 5-Yr Action Plan* *Capital Fund Program Annual Statement/P&E Report*	❍
3. Demolition and Disposition	❍
4. Section 8 Homeownership Capacity Statement	❍
5. Safety and Crime Prevention: PHDEP Plan	❍
6. Other Information *RAB Recommendations and PHA Response*	●
PHA's Statement of Consistency with the Consolidated Plan	●
PHA Criteria for Substantial Amendments or Modifications, Significant Deviations	●
List of Supporting Documents	●
Required Attachments (See Section 3.24)	●

See *Federal Register* Final Rule 65 71204, published 11/29/2000; Notice PIH 2000-43; and Notice PIH 2001-4

2.2 Submission of Joint Plans as Part of Consortia

For public housing and/or Section 8 tenant-based assistance programs operated under a consortium agreement, PHAs must submit a joint PHA Plan (Five-Year and Annual Plan) as specified in the November 29, 2000 *Consortia of Public Housing Agencies and Joint Ventures; Final Rule*.

January and April 2001 PHAs that implemented a consortium agreement according to the guidelines in the proposed rule and **Notice PIH 2000-43** were not required to change their joint PHA Plan to conform to regulatory changes implemented by the Final Rule until their next PHA Plan submission. Per **Notice PIH 2001-4**, beginning with July 2001 PHAs, agencies must follow the *Final Rule* when submitting a joint PHA Plan for public housing and/or Section 8 Tenant-Based Assistance programs operated under a consortium agreement.

The joint plan is the *collective* plan for all of the agencies and programs included in the consortium. As such, the policies discussed within the plan should be a joint representation of the policies in effect at consortium PHAs. Grant amounts mentioned in the joint plan should reflect the sum of the amounts that would be calculated for *all* participating agencies. Collective grant allocations will be issued directly to lead agencies in a consortium.

The lead agency of the consortium must submit joint Five-Year Plans and joint Annual Plans for all participating PHAs. If the lead agency will manage substantially all programs and activities of a consortium, HUD interprets financial accountability to rest with the consortium and therefore will apply independent audit and performance assessment requirements on a consortium-wide basis. If the lead agency will not manage substantially all programs and activities of a consortium, the consortium must identify in its PHA Plan submission which PHAs have financial accountability for specific programs.

Things to keep in mind when submitting a joint plan:

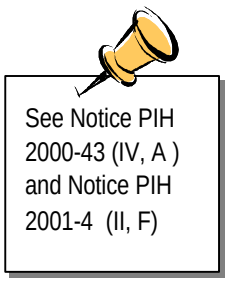
- All PHAs in the consortium must have the same fiscal year start date.
- PHAs will need to modify the "Agency Identification Page" of the PHA Plan template to add a statement that this is a joint plan for a consortium; and the name, PHA code, and programs included in the consortium for each participating agency.
- The consortium agreement is considered a "supporting document" to the PHA Plan and must be made available for public inspection during the PHA Plan public review/comment period.

2.3 Submission of Plans by Moving To Work (MTW) Demonstration Sites

PHAs under the Moving to Work Demonstration (MTW) Program may have distinct requirements in lieu of the PHA Plan, determined by their

Moving To Work Demonstration Agreement. PHAs operating block grants are exempt from the requirement to submit a PHA Plan and are directed to submit an Annual MTW Plan and an Annual MTW Report. The Annual MTW Plan is a comprehensive framework for the PHA's activities, including funding allocations. The Annual MTW Plan must be submitted to HUD with a board resolution approving the plan and certifying that a public hearing was held regarding the plan. The Annual MTW Report includes a Consolidated Financial Report describing the sources and uses of funds and will compare the PHA's performance with its Annual MTW Plan.

2.4 Consequences for Failure to Submit an Approvable PHA Plan



See Notice PIH 2000-43 (IV, A) and Notice PIH 2001-4 (II, F)

The PHA Plan serves as the agency's request for formula Capital Funds and PHDEP grants. PHAs that fail to submit their PHA Plan (and thus the application for funds) will not receive funding until their Plan has been submitted and approved by HUD. If a PHA fails to submit a PHA Plan in a timely manner, HUD may impose sanctions.

For FY 2001 and beyond, HUD may apply sanctions to any PHA that has not submitted its Plan within 75 days of the due date, unless otherwise permitted by HUD.

2.5 The PHA Plan Development Process and Timeline

See generally Notice PIH 99-51, Notice PIH 2000-43, Notice PIH 2001-4 and 24 CFR 903

This section of the Guide reviews the basic steps to PHA Plan development. Many of these steps require coordination with other organizations and agencies, as well as the Resident Advisory Board (RAB). It is important, therefore, that the PHA begin the Plan development process well ahead of the due date for the Plan (which is 75 days prior to the commencement of the PHA's fiscal year). The steps to completing the Plan are discussed below. Exhibit 4 illustrates the process.

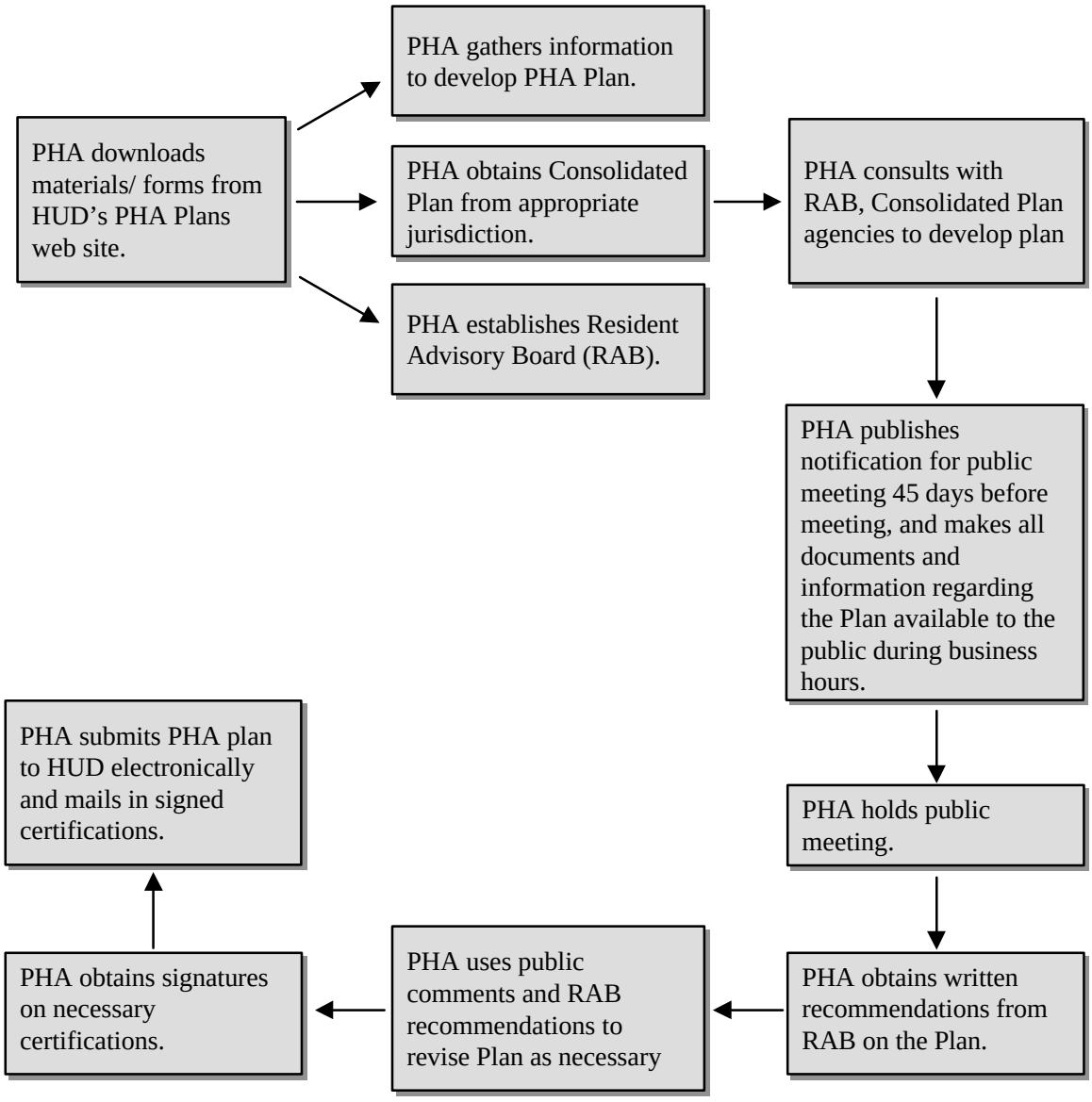
1. **Establish Schedule:** The first step in the plan development process is to establish a schedule for the plan's completion. The Annual PHA Plan is due **75 days prior to commencement of the PHA's fiscal year**. The PHA's schedule for plan development should build in sufficient time for the following: submission of the plan by the due date; the 45-day public review period; the public hearing and incorporation of public comments received on the plan; and obtaining the proper signed certifications and board certification. As is clear from the sample timeline below, the PHA should begin the process of plan development well ahead of the due date for submission.

Sample Timeline for PHA Plan Completion

Action	Jan. 1 FY Start	April 1 FY Start	July 1 FY Start	Oct. 1 FY Start
Begin preparations for developing PHA Plan, including compiling information and obtaining a copy of the jurisdiction's Consolidated Plan	May	August	November	February
Draft Plan developed for discussion with partners	Mid-July	Mid-Oct.	Mid-Jan.	Mid-April
Notice of hearing and Plan on file for review	Mid-Aug.	Mid-Nov.	Mid-Feb.	Mid-May
Public Hearing	First week of Oct.	First week of Jan.	First week of April	First week of July
PHA Plan due*	Mid-Oct.	Mid-Jan	Mid-April	Mid-July

* Note: exact due date depends on calendar days in PHA's fiscal year

Exhibit 4
PHA Plan Development Process



2. **Gather Template and Guidance:** The PHA should obtain the template and appropriate guidance from the PHA Plans web site at: http://www.hud.gov/pih/pha/plans/phaps-home.html. The PHA should update references to both the PHA Fiscal Year and the Federal Fiscal year made throughout the Plan and the attachments.

3. **Establish RAB(s):** Early on in the process, the PHA should establish the Resident Advisory Board or Boards. (The RAB is discussed more fully in Section 4.)

4. **Consult with Consolidated Plan Agency:** The next step in the process is consultation with the Consolidated Plan agency in the PHA's jurisdiction(s). There are several reasons for this consultation and collaboration. Most important, PHAs must submit a "State or Local Government Certification of Consistency with the Consolidated Plan" along with the PHA Plan. Communication and coordination with the Consolidated Plan agency will facilitate the process for obtaining that signed certification. In addition, this agency may be the best source of information for identifying housing needs in the community.

Note:
Submission of the Certification of Consistency is not required for agencies submitting the Small PHA Plan Update in years 2-5 of the 5-year planning cycle.

5. **Gather Relevant PHA Documents and Information:** The PHA should gather relevant documents and policies. It is useful to review these policies and determine whether they need to be updated or revised. Many of these documents serve as "supporting documents" to the Plan. If the PHA will implement new policies in the coming fiscal year (such as a new preference structure or establishment of site-based waiting lists), this is the time to develop these policies for inclusion as supporting documents to the PHA Plan. The public hearing held for the PHA Plan will then serve as the public hearing for all of these new policies to be adopted and implemented by the PHA at the beginning of the PHA's fiscal year.

6. **Develop Plan:** The next step in the process is the actual development of the PHA Plan. This step involves consultation with the RAB, partner agencies and organizations, and review of the information the PHA has gathered regarding housing needs, resources and PHA policies.

7. **Publish Notification and Make Plan Available for Review:** Once the plan is fully developed, the PHA then publishes a notification of a public meeting **not less than 45 days prior to the meeting**. The notice must be published in a newspaper of general circulation. In addition, a HA may use its newsletter to notify residents and ensure partner agencies and organizations are informed. The notice should inform the public that the PHA Plan is available for review, and that a public hearing will be held, noting the date, time, and location of the hearing. The PHA should make the proposed plan, all attachments and supporting documents related to the Plan, and all information relevant to the public hearing available for review by the public at the PHA's principal office during normal business hours. PHAs are required to conduct reasonable outreach activities to encourage broad public participation. A 45-day public review period allows residents and members of the community adequate time to review the PHA Plan and the supporting documents.

Note:
The PHA Plan, attachments and supporting documents must be available for inspection and review by the public at the PHA's principal office during normal business hours, both during the public review period **prior** to the board hearing and submission to HUD **and after** HUD approval of the PHA Plan.

See Notice PIH 99-51 (Attachment B, Section 1.5)

HUD encourages PHAs to make the PHA Plan available at their principal business office (or at several offices if the area served by the PHA covers more than one jurisdiction). PHAs are also encouraged to make the PHA Plans and attachments available at other public locations, such as libraries or community centers as well as PHA or community web sites.

8. **Hold Public Hearing:** The PHA is required to hold a public meeting to discuss the Plan and receive public comments on the PHA Plan every year. The PHA's board of commissioners or similar governing body must conduct this public hearing in a location that is accessible to the

residents served by the PHA. It is best to hold the public hearing with sufficient time before the plan is due to HUD – at least a week is recommended – to give the PHA time to incorporate pertinent public comments into the PHA Plan.

The PHA may also receive written comments from the RAB on the plan. The PHA will then use the public comments and RAB recommendations to revise the plan as necessary.

Note:

The Resident Advisory Board (RAB) process is discussed more fully in Section 4.

9. **Obtain Signatures on Certifications:** The PHA should obtain all the necessary signatures on the required certifications that accompany the PHA Plan submission. In addition, the PHA Board must provide a signed "Certification of Compliance with the PHA Plans and Related Regulations /Board Resolution to Accompany the PHA Plan." These certifications are discussed more fully in Section 3.21.

10. **Submit Completed Electronic Template:** Finally, the PHA submits the completed PHA Plan template electronically and mails in the signed certifications. Submission procedures are discussed more fully in Section 5 of the Desk Guide and instructions are included on the PHA Plans web site.

11. **Obtain HUD Review and Approval:** HUD will review the plan and may request additional information or a revision to the PHA Plan from the PHA. HUD will inform the PHA when the plan is approved and post it on the PHA Plans web site on the "Approved Plans" page. The HUD review process is discussed more fully in Section 6.

2.6 Related Federal Regulations and Other Guidance

Since Congress established the PHA Plan requirement, HUD has issued several pieces of guidance on the Plan which are summarized below.

- On February 18, 1999, HUD issued an Interim Rule implementing the PHA Plan. On July 29, 1999, PIH issued **Notice PIH 99-33.** Attachment B to Notice 99-33 transmitted "Instructions and Supplemental Guidance For Preparation and Submission of PHA Plans" (Instructions under the Interim Rule). These Instructions included the announcement of the availability of the template that PHAs must use to create and electronically submit PHA Plans to HUD (form HUD 50075) and the creation of the HUD web site for PHA Plans.

- Following public comment and an enhanced rulemaking process that included four public forums on the rule, HUD issued the ***Public Housing Agency Plans; Final Rule*** on October 21, 1999. The PHA Plan regulations established in the final rule are found at **24 CFR Part 903**. Significant changes in the regulation between the February 18, 1999 Interim Rule and the Final Rule were listed as preambles to the rule. The Final Rule, at Section 903.7, states that HUD will advise PHAs by notice of any additional instructions or directions necessary for the submission of their first plans.

- **Notice PIH 99-51**, issued on December 14, 1999, provided additional instructions on PHA Plan submissions. This notice still serves as a primary source of guidance for PHA Plan development, as supplemented and amended by subsequent notices. The additional instructions, which included the release of a Public Housing Drug Elimination Program (PHDEP) Plan template, were stated as amendments to the instructions that had been provided as Attachment B to Notice PIH 99-33. Anticipating that the template and instructions would be revised to accommodate changes in the PHA Plan and other QHWRA implementing regulations, Notice PIH 99-51 also informed PHAs that HUD would issue further instructions to PHAs with fiscal years beginning on July and October 1, 2000.

- **Notices PIH 2000-12** and **PIH 2000-22** instructed PHAs with fiscal years beginning July 2000 and October 2000, respectively, that they should use the currently available template (issued July

1999) and Instructions (issued in Notice 99-51) in preparing their plans. Notice 2000-22 stated some exceptions to those Instructions for October 2000 PHAs.

- On August 14, 2000, HUD published a Final Rule with regard to further streamlining of Streamlined PHA Plans. **Notice PIH 2000-43,** published on September 18, 2000, implemented the provisions of the August 14, 2000 Final Rule through the announcement of the Small PHA Plan Update. More generally, Notice PIH 2000-43 provided further guidance on the implementation of PHA Plans with fiscal years beginning on January 1, 2001. The Notice instructed PHAs to use the current template and Instructions, as supplemented by Notice PIH 2000-43, to develop and submit second year PHA Plans.

- **Notice PIH 2000-36**, issued on August 21, 2000, provided further guidance on the formation of Resident Advisory Boards (RAB).

- On December 22, 2000, HUD published ***Rule to Deconcentrate Poverty and Promote Integration in Public Housing: Final Rule*** which amended HUD's Public Housing Agency Plan regulations to fully reflect the importance of deconcentration by income and affirmatively furthering fair housing in a PHA's admission policy.

- On January 19, 2001, HUD published **Notice PIH 2001-4**, which instructed PHAs with fiscal years beginning on July 1, 2001 on development of their second year PHA Plans. This notice provided further guidance on submission requirements regarding deconcentration, joint PHA Plans for Consortia, project-based vouchers, and the Capital Fund Program.

- Soon after publication of Notice PIH 2001-4, HUD published a clarification of the Notice on the PHA Plan web site. This clarification included revised Capital Fund Program tables.

- On February 5, 2001, HUD published the ***Rule to Deconcentrate Poverty and Promote Integration in Public Housing: Final Rule; Change in Applicability Date of Deconcentration Component of PHA Plan*** which instructed PHAs that the deconcentration requirement would commence with PHA fiscal year start dates of October 1, 2001.

- On August 2, 2001, HUD published **Notice PIH 2001-26,** which provided guidance to PHAs with fiscal years beginning January 1, 2002, on the development of third year PHA Plans. Topics covered in the Notice include further streamlining for small PHAs, Capital Fund Program, deconcentration of poverty and income mixing, and the initial assessments required for voluntary conversion.

Direct links to the above guidance and to other PHA Plan-related information can be found on the PHA Plans web site.

The following Exhibit summarizes applicable guidance for the PHA Plan:

Exhibit 5
HUD Guidance Regarding PHA Plans

Document Type	Guidance
Regulation	• *Final Rule (24 CFR Part 903, published in the Federal Register 10/21/99)* • *FR 08/14/2000 amending 24 CFR Part 903.11* • *FR 12/22/2000 amending 24 CFR Part 903 to incorporate Deconcentration requirement* • *FR 2/5/2001 amending 12/22/2000 Deconcentration Rule*
Notice PIH and guidance	• Notice PIH 99-33. This document presents the entire text of the Instructions in "Attachment B," as amended by 99-51 • Instructions: Amended Attachment B to Notice • Notice PIH 99-51 (which amended Notice PIH 99-33) • Notice PIH 2000-12 • Notice PIH 2000-22 • Notice PIH 2000-36 • Notice PIH 2000-43 • Notice PIH 2001-4 • Clarification of Notice PIH 2001-4 • Notice PIH 2001-26
Template (50075)	• Plan template issued July, 1999 (with exceptions noted in Notice PIH 99-51, Notice PIH 2000-43, and Notice PIH 2001-4) • PHDEP Plan template issued December, 1999 • Small PHA Plan Update: see instructions in Notice PIH 2000-43
PHA Plan-related certifications issued	• PHA certifications: December, 1999 • Consolidated Plan Agency certifications: July, 1999

Section Three
Review of the PHA Plan Template

This section provides a component-by-component review of the PHA Plan template, with guidance and instructions for completion of each component. The section begins with an overall introduction to the template and provides instructions on completing initial sections of the template. Each template component is then reviewed in turn with an explanation of the information required and instructions for completing that component. Where possible, the applicable guidance for each component (*Federal Register* notice, Notice PIH) is noted.

3.1 Introduction to the PHA Plan Template

See generally Notices PIH 99-51, 2000-12, 2000-22 , 2000-36, 2000-43, 2001-4 and 2001-26.

3.1.1. General Instructions for Completing the Template

- **Format:** The electronic PHA Plan template is designed in a question-and-answer format to allow for easy completion. The template contains numerous checkbox and text "fields." The PHA may "double-click" on a checkbox, change the default value to "checked," and then click "OK." This action will place an "X" in the checkbox automatically. PHAs can also type a response to a question by clicking on text fields and typing.

- **Instructions:** Instructions for each component are in the template. PHAs should respond to all questions unless instructed otherwise or if the questions are not applicable to the PHA's programs (e.g., a Section 8-only PHA would not respond to a question related only to public housing).

- **Applicable Period:** Information contained in the PHA Plan covers the period beginning with the PHA's upcoming fiscal year. The PHA can report policies and activities that they expect to employ but may not yet have in place.

- **Update References:** At each annual submission, the PHA should update references to both the PHA Fiscal Year and the Federal Fiscal year made throughout the plan and the attachments.

- **Due Date:** As is discussed in Section 2.4, the PHA Plan is due 75 days prior to the beginning of the PHA's fiscal year start date.

See Notice PIH 99-51 (Attachment B, Section 3.4); and generally 24 CFR 903.

3.1.2. Initial Section

- **Annual Plan Type:** On the first page of the Annual Plan, the PHA should indicate the type of Plan being submitted: Standard, Streamlined (high performing PHA, small, non-troubled agency with fewer than 250 Public Housing Units, or Section 8-only PHA), or Troubled PHA. See Section 2.1 for further discussion of Annual Plan type and performance designation. See Section 3.24 for discussion of submission of Small PHA Plan Update.

- **Executive Summary of the Annual PHA Plan:** The Executive Summary is not a required component of the PHA Plan. A PHA may, at its own option, include a brief executive summary of the plan, including highlights of major initiatives and discretionary policies planned for the coming fiscal year.

- **Annual Plan Table of Contents***:* The Table of Contents includes a list of all Plan components, as well as required and optional attachments. The Table of Contents also includes a comprehensive list of all supporting documents available for review. Once the Plan template is fully completed, the PHA should include a page number in the right hand column for each item listed in the Table of Contents**.**

3.2 Component One: Housing Needs

3.2.1. Overview of Required Information

The first component of the PHA Plan template asks the PHA for an assessment of the housing needs within the PHA's community. PHAs must describe the housing needs of income-eligible families who reside in the jurisdiction served by the PHA, as well as of families who are on the PHA's public housing and Section 8 program waiting lists. The component asks for information on categories of income-eligible families, including: families of different income levels, elderly families, families with members with disabilities, and households of any races or ethnic groups that have greater housing needs than average for the jurisdiction. The final part of this component requires the PHA to describe the various strategies the PHA will undertake in the coming year in order to address the needs that have been identified.

3.2.2. Resources for Identifying Housing Needs

In order to complete this component, the PHA will have to research a number of sources to obtain the required information. In many jurisdictions, the most likely and valuable source of information on housing needs is the Consolidated Plan. In completing this component, and in planning for execution of the PHA Plan, PHAs are strongly encouraged to collaborate and cooperate with the appropriate Consolidated Plan agency (or agencies). Not only will early and full communication about the PHA Plan facilitate the process of obtaining the required "Certification of Consistency with the Consolidated Plan" from the Consolidated Plan agency, this communication will enhance the information contained in the PHA Plan. The PHA should obtain a copy of the jurisdiction's Consolidated Plan fairly early in the process in order to review information related to housing needs.

Sources of Information on Housing Needs

- ✓ Consolidated Plan
- ✓ State and Local governments
- ✓ Census data
- ✓ Housing needs data available through the Internet
- ✓ Local universities/colleges
- ✓ Social Security Administration
- ✓ The PHA

Consolidated Plan agencies can also benefit from the input of PHAs. Consolidated Plan agencies are now required to

indicate how they will address the needs of public housing in the jurisdiction. In addition, Consolidated Plan agencies that share a jurisdiction with troubled agencies are further required to state in the Consolidated Plan how they will assist in improving the performance of such agencies.

In addition to the Consolidated Plan agency, there are a number of other potential sources of information to determine housing needs within a community. State and local governments are good sources of information, as is Census data. PHAs are encouraged to review the 2000 Census data as it is released. Many Consolidated Plans and initial agency Plans were based on 1990 Census data, and the 2000 Census data may alter the PHA's strategies to address the community's housing needs. HUD has also made housing needs data for communities available on the Internet through the Public and Indian Housing (PIH) PHA Plans web page. PHAs may also be able to access information through local universities or college urban and regional planning departments, and the Social Security Administration (for information on families with disabilities). Finally, the PHA itself will likely have several sources of valuable program data to complete this component. None of these sources is likely to have complete or accurate data about the needs of people with disabilities. Agencies that advocate for such individuals can be helpful, as can publicly funded organizations engaged in service delivery or rehabilitation.

3.2.3. Completing the Component

Component One is divided into several subcomponents. Each is described below.

Subcomponent A: Housing Needs of Families in the Jurisdiction(s) Served by the PHA

This subcomponent asks for information in a table about housing needs of the PHA's jurisdiction(s). A PHA with several jurisdictions may either combine the statement of housing needs for all jurisdictions into one table or provide a separate table for each jurisdiction, copying the table provided in the template as many times as necessary. If using more than

one table to describe housing needs in multiple jurisdictions, be sure to label each table with the jurisdiction's name.

Directions for Completing the Table: In this table, the PHA rates the impact of several factors on the housing needs of families in the jurisdiction, by family type. Family type includes families with income less than or equal to 30 percent of area median income (AMI); families with income greater than 30 percent but less than or equal to 50 percent of AMI; families with income greater than 50 percent but less than 80 percent of AMI; elderly families; families with disabilities; and family type by race/ethnicity.

In the first column, "Overall," the PHA provides the estimated number of renter households that have housing needs. In the remaining columns, the PHA rates the impact of each factor on a scale of 1 to 5, with 1 considered "no impact," and 5 being "severe impact." The PHA may use N/A to indicate that no information is available upon which the PHA can make an assessment. Under "Affordability", the PHA should indicate the impact of rent burden (i.e., rent comprising more than 30 percent of income) or severe rent burden (i.e., rent comprising more than 50 percent of income). Under "Supply" please indicate the impact of the shortage of units available for occupancy. The rating for "Quality" addresses the prevalence of units in substandard physical condition. The impact of "Accessibility" addresses the availability of units that are accessible for persons with mobility impairments. Next, the rating for "Size" takes into account any mismatch between the units available and family sizes. Finally, under "Location" , the PHA indicates the extent to which the supply of units available limits housing choices for families to particular locations, notably areas of poverty/minority concentration

Sources of Information: The PHA must indicate which sources of information the PHA used to conduct the analysis contained in the Housing Needs table.

Note:
The materials used must be made available for public inspection.

Subcomponent B: Housing Needs of Families on the Public Housing and Section 8 Tenant-Based Assistance Waiting Lists

Subcomponent B requests information about the housing needs of families on the PHA's public housing and Section 8 tenant-based assistance waiting lists. The PHA provides separate tables for site-based or sub-jurisdictional public housing waiting lists at their option. As in Table 1A, Table 1B requests information on Income and Race/Ethnicity as well as information on the number of families with children, elderly families, families with disabilities, and characteristics by bedroom size (for public housing only).

Subcomponent C: Strategies for Addressing Needs

In this section, the PHA identifies strategies that it will undertake in the coming year to address the needs outlined in subcomponents 1A and 1B. The PHA completes this section by simply marking an "X" in the boxes next to the strategies that it will employ. The PHA also indicates the reasons for selecting particular strategies, and can add additional strategies to the list presented in the template.

Possible Strategies Listed in the Template

- Maximize the number of affordable housing units available to the PHA within its current resources
- Increase the number of affordable housing units
- Target available assistance to families at or below 30% of Area Median Income
- Target available assistance to families at or below 50% of Area Median Income
- Target available assistance to the elderly
- Target available assistance to Families with disabilities
- Increase awareness of PHA resources among families of races and ethnicities with disproportionate need

3.3 Component Two: Statement of Financial Resources

3.3.1 Overview of Required Information

See Notice PIH 99-51 (Attachment B, Section 4, Component 2) and 24 CFR 903.7(c)

In this component, the PHA provides information about the financial resources available to the PHA to support the housing programs administered by the agency and described in the Plan. These include Federal resources such as Public Housing Operating Fund and Capital Fund, HOPE VI Revitalization and Demolition, Section 8 Tenant-Based Assistance Support, Public Housing Drug Elimination Program, Resident Opportunity and Self-Sufficiency Grants, Community Development Block Grants, and HOME. In addition, the PHA must include public housing rental income, and other income from non-Federal sources.

The PHA must indicate the amount of grant funds anticipated for the upcoming Plan year. If at the time of Plan development, a PHA cannot determine its total Federal funding, it provides estimates based on the amount of funds received in previous years or another reasonable method for estimating future funding. In both Operating Subsidy and Tenant-Based Section 8 Assistance, PHAs must indicate the amount to be awarded during the PHA fiscal year addressed in the PHA Plan. PHAs may contact their HUD Field Offices for an estimate to be used in this component.

3.3.2. Completing the Component

The information is requested in a table form. The PHA must list all of its sources of income and include, where applicable, the planned use for each financial resource. The possible planned uses for these funds are listed in the instructions.

See Notice PIH 99-51 (Attachment B, Section 4, Component 3); 2000-43 (III, B.3); 2001-4; 2001-26; *Federal Register 65 16691, (A & O Final Rule)* published 3/29/00; *Federal Register 65 81214, (Deconcentration Final Rule)* published 12/22/2000 and amended 2/5/2001; and 24 CFR 903.7(b)

3.4 Component Three: PHA Policies Governing Eligibility, Selection, and Admissions

3.4.1 Overview of Required Information

While Components 1 and 2 allow the PHA to assess needs and examine resources, Component 3 is the starting point for the PHA to establish how it will accomplish its goals. In this component, the PHA provides information about the various discretionary policies for the eligibility, admissions and occupancy of both public housing and Section 8 tenant-based assistance.

3.4.2 Completing the Component

Subcomponent A: Public Housing
The first subcomponent covers eligibility, admissions, and occupancy policies for public housing. A PHA that does not administer public housing is not required to respond to this subcomponent.

Section 1 asks for information regarding how the PHA determines eligibility for applicants to public housing.

Section 2 asks for information on the PHA's organization of its waiting list. If the PHA plans to implement a site-based waiting list at any of its public housing developments, the PHA should take into account that in the following year's Annual Plan, the PHA will be required to provide an assessment (a table or brief narrative) of the changes in racial, ethnic or disability-related resident composition at each applicable PHA site. This assessment must be based on Multifamily Tenant Characteristic (MTCS) occupancy data. In order to prepare for this reporting requirement, the PHA should draw necessary "baseline" data from MTCS at the commencement of the SBWL policy.

A sample table showing the type of information that must be presented is provided below.

Assessment of Site-Based Waiting List Development Demographic Characteristics				
Development Information: (Name, number, location)	Date Initiated	Initial mix of Racial, Ethnic or Disability Demographics	Current mix of Racial, Ethnic or Disability Demographics since Initiation of SBWL	Percent change between initial and current mix of Racial, Ethnic, or Disability demographics

The PHA should include the "Assessment of Site-Based Waiting List Development Demographic Changes" as a required attachment to the Plan, and it must be listed in the Table of Contents.

Section 3 asks for the PHA's policies regarding the assignment of units.

Section 4 requests information on the PHA's admissions preferences. For this section, the PHA must consider the various options for setting preferences for admission to public housing. Preferences are the primary method for the PHA to achieve the income targeting and income mixing goals of the QHWRA; therefore, the PHA must carefully consider its goals and establish preferences accordingly.

Section 5 asks for information on the occupancy policies of the PHA.

Section 6 covers deconcentration and income mixing. Beginning with October 1, 2001 fiscal year PHAs, the PHA is required to include information on the agency's deconcentration policy in the plan. Specifically, as outlined in **Notice PIH 2001-4**, the PHA is required to answer the following questions:

- Does the PHA have any general occupancy (family) public housing developments covered by the deconcentration rule? If no, this section is complete.

- Do any of these covered developments have average incomes above or below 85% to 115% of the average incomes of all such developments?

- If yes, the PHA completes the table shown below.

Deconcentration Policy for Covered Developments			
Development Name:	**Number of Units**	**Explanation (if any) [see step 4 at 24 CFR 903.2(c)(1)(iv)]**	**Deconcentration policy (if no explanation) [see step 5 at 24 CFR 903.2(c)(1)(v)]**

This information is submitted as a required attachment to the PHA Plan. The document containing the new deconcentration questions can be downloaded from the PHA Plans web site at: http://www.hud.gov/pih/pha/plans/phaps-whats-new.html.

Under the final rule, PHAs must include an explanation if they propose not to adopt admissions policies to promote income mixing for developments outside the Established Income Range (EIR). During review of the PHA Plan, HUD Field Offices will accept as a reasonable explanation, cases where the average income range for such developments is above the EIR but is and will remain (given current admissions policies, waiting lists and turnover rates) below 30 percent of the area median income.

Note:
On August 15, 2001, HUD published a Proposed Rule that would, if implemented, revise the definition of established income range (EIR) to include developments in which the average income level is up to 30 percent of the area median income. This would ensure that such developments cannot be categorized as having income "above" the EIR.

In determining the average income of all families residing in each covered development, the final rule provides a PHA the option of adjusting its income analysis for unit size in accordance with procedures prescribed by HUD. The bedroom adjustment factor, which is

based on national rent averages for units grouped by the number of bedrooms and which has been used by HUD to adjust for costs of units when the number of bedrooms vary, assigns to each unit the following factors: 0.70 for zero-bedroom units; 0.85 for one-bedroom units: 1.0 for two-bedroom units; 1.25 for three-bedroom units; 1.40 for four-bedroom units; 1.61 for five-bedroom units; and 1.82 for six or more bedroom units. The bedroom adjustment factor is the unit-weighted average of the distribution.

In step 1, a PHA must determine the average income of all families residing in all of the PHA's covered developments. A PHA may divide the average income of all families of all covered developments by the appropriate bedroom adjustment factor described above to obtain the PHA-wide adjusted average income. For example, if a PHA has 1,000 units with 400 two-bedroom units and 600 three-bedroom units, then the PHA would multiply 400 by 1.0 and 600 by 1.25, sum these products, and divide by the total number of PHA units (1,000) to derive a bedroom adjustment factor of 1.15 [(400 x 1.0 + (600 x 1.25) / 1,000 = 1.15]. If the PHA has an average income of $10,000, then the PHA would divide $10,000 by the bedroom adjustment factor of 1.15, which equals $8,696. This is the PHA-wide adjusted average income.

In step 2, a PHA must determine the average income of all families residing in each covered development. A PHA may divide the average income of the families residing in each covered development by the appropriate adjustment factor described below to obtain each covered development's average income. For example, if the PHA in the example above has a covered development that has 100 units, with 80 two-bedroom units and 20 three-bedroom units, then the PHA would multiply 80 by 1.0 and 20 by 1.25, sum these products, and divide by the total number of units in that development (100) to derive a bedroom adjustment factor of 1.05 [(80 x 1.0) + (20 x 1.25) / 100 = 1.05]. If that development has an average income of $8,000, then the PHA would divide $8,000 by the bedroom adjustment factor of 1.05, which equals $7,619. This is the covered development average income.

In step 3, a PHA must determine whether each of its covered developments falls above, below or within the Established Income Range of 85% to 115% of the PHA-wide average income for covered developments. In this comparison, if a PHA chooses to use a bedroom adjustment approach, it must do so for both the PHA-wide and the covered development analyses. To determine where the covered development falls within the Established Income Range, divide the income of the development by the income of the PHA and multiply by 100. In the example above, the PHA would divide $7,619 by $8,696 and then multiply by 100, which equals 88%. This is within the Established Income Range. In the example above, if the PHA decided not to adjust income by bedroom size, then the ratio would have been $8,000 divided by $10,000, then multiplied by 100, which equals 80%. This falls outside of the Established Income Range.

The final rule on Deconcentration describes public housing developments not subject to deconcentration. One of the provisions of the rule exempts "public housing developments operated by a PHA with fewer than 100 public housing units," which covers PHAs with fewer than a total of 100 public housing units. A public housing development includes units or buildings with the same project number. Also, contiguous sites with more than one project number may be considered as one development. With respect to the covered mixed-finance development, only the incomes of families residing in public housing units will be included in income analyses.

Please note that beginning with the January 2002 Plan cycle, Income Analysis of Public Housing Covered Developments must be a supporting document to an Agency's Plan and must be available for public inspection, but not submitted to HUD for review.

Subcomponent B: Section 8

If a PHA does not administer a Section 8 program, the PHA proceeds to Component 4.

In this subcomponent, the PHA provides information concerning agency policies on eligibility determination, waiting list organization, search time, admissions preferences, and special purpose Section 8 Assistance Programs.

3.5 Component Four: Rent Determination Policies

3.5.1 Overview of Required Information

See Notice PIH 99-51 (Attachment B, Section 4, Component 4); 2001-4; and 24 CFR 903.7(d)

Within specified guidelines, PHAs are allowed to use discretionary policies for determining income-based rent for their public housing units. In addition, PHAs can set the Section 8 voucher payment standard (or maximum subsidy level) at a level from 90% to 110% of the Fair Market Rent. In this Plan component, the PHA describes its basic policies and the discretionary choices it has made regarding rent setting for assisted families. For public housing units, this includes income-based, minimum and flat rents, and optional rent policies, such as optional deductions. For families receiving Section 8 voucher assistance, the Plan addresses topics such as minimum rents and payment standard policies.

3.5.2 Completing the Component

Note:
In completing this component, PHAs should refer to the March 29, 2000 *Final Rule on Changes to Admissions and Occupancy Requirements in the Public Housing and Section 8 Housing Assistance Programs* as guidance.

This component is divided into two sections, one for public housing rent policies and one for Section 8 rent policies. PHAs that do not operate public housing may skip Subcomponent A. Likewise, PHAs that do not administer Section 8 tenant-based may skip Subcomponent B.

In completing this component, the PHA should simply mark the appropriate boxes (using an "X") and explain policies as requested in the template.

If the PHA is planning to administer Project-Based vouchers, the PHA should include as an attachment to the Plan a statement indicating the projected number of units and general locations as well as how such action

is consistent with the PHA Plan. See Section 3.22.2 for further discussion of this attachment.

3.6 Component Five: Operations and Management

See Notice PIH 99-51 (Attachment B, Section 4, Component 5) and 24 CFR 903.7(e)

3.6.1 Overview of Required Information

In this component, the PHA describes its management and operational structure by listing the rules, standards, and policies that govern maintenance and management of public housing units and the voucher program. A description of the PHA's management organization is also requested here or as an attachment to the Plan.

3.6.2 Completing the Component

In Subcomponent A, the PHA may either include an organizational chart (as an attachment to the plan), or a brief, narrative description of the management structure and organization of the PHA. In Subcomponent B, the PHA lists, in table format, the various programs that are under the PHA's management. Finally, Subcomponent C asks the PHA to list the internal policy documents that govern the maintenance and management of public housing. Examples of management policies would include Admissions And Continued Occupancy Policy, personnel policies, procurement policies, Section 8 Administrative Plan, and asset disposition policies. Examples of maintenance policies would include the PHA's maintenance plan and schedule of maintenance charges. Maintenance policies would also include a description of any measures necessary for the prevention or eradication of pest infestation (including cockroach infestation).

Note:
High performing and small PHAs are not required to complete this component. Section 8-only PHAs must complete parts A, B and C(2).

See Notice PIH 99-51 (Attachment B, Section 4, Component 6) and 24 CFR 903.7(f)

3.7 Component Six: PHA Grievance Procedures

3.7.1 Overview of Required Information

In this component, the PHA provides information on the grievance and informal hearing and review procedures that are available to its applicants and participants in public housing and Section 8 programs.

3.7.2 Completing the Component

Note:
High performing PHAs are not required to complete component 6, and Section 8-only PHAs are exempt from completing Subcomponent 6A (applicable only to public housing).

To complete this component, the PHA provides information regarding any written grievance procedures the PHA has adopted in addition to the federal requirements. In Subcomponent A, Public Housing, the PHA indicates the office through which residents or applicants may initiate the grievance process. For Subcomponent B, Section 8, the PHA indicates the office through which Section 8 applicants and participants may initiate an informal review.

3.8 Component Seven: Capital Improvement Needs

See Notice PIH 99-51 (Attachment B, Section 4, Component 7 and Section 2.1); Notice PIH 2000-22 (III); Notice PIH 2000-43 (IV.B); Notice PIH 2001-4 (II.D); Notice PIH 2001-26; and 24 CFR 903.7(g)

3.8.1 Overview of Required Information

Note:
The Annual Plan now serves as the PHA's application for Capital Fund formula grants as provided under Section 9 of the **U.S. Housing Act of 1937**, as amended by Section 519(a) of the Quality Housing and Work Responsibility Act of 1998.

In this section of the template, PHAs that operate public housing describe the capital improvements necessary to ensure the long-term physical viability of public housing developments. The component is divided into two parts: Capital Fund Activities; and HOPE VI and Public Housing Development and replacement activities (non-Capital Fund). If the PHA is eligible for Capital Funds, the PHA also completes the Capital Fund Tables and submits these as an attachment to the PHA Plan.

3.8.2 Completing the Component

Subcomponent A: Capital Fund Activities

Subcomponent A serves as the submission for receipt of Public Housing Capital Fund Program (CFP) formula grants. PHAs

Note:
PHAs that administer only Section 8 tenant-based assistance are not required to complete Component 7.

complete the questions posed on the template indicating whether the Capital Fund Annual Statement is provided as an attachment to the PHA Plan, or is inserted into the template. In addition, the PHA indicates whether the 5-year Action Plan is provided.

Specific instructions on how to complete the Capital Fund Program tables are provided in Section 3.20.

Subcomponent B: HOPE VI and Public Housing Development and Replacement Activities (non-Capital Fund)

Subcomponent B requests information about HOPE VI revitalization grants, mixed-finance development activities, and any other public housing development or replacement activities not discussed in Part A.

In this section, the PHA provides information on any HOPE VI revitalization grants applied for or planned for application in the coming year. In addition, the PHA answers questions regarding any mixed-finance development activities and any other public housing development or replacement activities for public housing planned for the coming year.

All PHAs that operate public housing, regardless of whether they are participating in the Capital Fund Program, are required to provide any applicable information requested in Part B of the Capital Improvement Needs section.

3.9 Component Eight: Demolition and Disposition

3.9.1 Overview of Required Information

See Notice PIH 99-51 (Attachment B, Section 2.3) and 24 CFR 903.7(h)

In this section, the PHA describes any demolition or disposition activities for which it has applied to HUD or plans to apply to HUD in the coming fiscal year. The description includes the name and location of the development, the planned activities, and the timelines for carrying out these activities.

Note:
PHAs that administer Section 8 only are not required to complete Component 8.

3.9.2 Completing the Component

Please note that the demolition and disposition application and HUD approval process is **separate** from the PHA Plan process, and approval of the PHA Plan **does not** constitute approval of demolition and disposition activities.

If the PHA plans to conduct any demolition or disposition activities in the coming fiscal year, the PHA completes the "Demolition/Disposition Activity Description" table provided in Component 8. The PHA completes one Activity Description Table for each development. In addition, the PHA may complete the "Optional Public Housing Asset Management Table" at the end of the template.

See Notice PIH 99-51 (Attachment B, Section 2.3) and 24 CFR 903.7(i)

3.10 Component Nine: Designation of Public Housing

3.10.1 Overview of Required Information

In this component, the PHA identifies any public housing developments, or any portion of these developments that are designated for occupancy by only elderly families, only families with disabilities, or both elderly families and families with disabilities. The description includes the names and location of the development, planned activities, and the timelines for carrying out these activities.

Note:
The designated housing application and approval process is **separate** from the PHA Plan process and approval of the PHA Plan **does not** constitute approval of these activities.

3.10.2 Completing the Component

The PHA describes any planned activities regarding public housing for elderly families only, for families with disabilities only, or for both elderly families and families with disabilities. This information is requested in a table called "Designation of Public Housing Activity Description" provided in the template at Component 9. The PHA may copy the Activity Description table as many times as necessary.

Note:
PHAs that administer Section 8 only are not required to complete Component Nine.

See Notice PIH 99-51 (Attachment B, Section 2.3); Notice PIH 2001-26; and 24 CFR 903.7(j)

3.11 Component Ten: Conversion of Public Housing

3.11.1 Overview of Required Information

This section of the PHA Plan describes any building(s) that is so severely distressed that the PHA or HUD has determined that it is no longer cost-effective to rehabilitate and maintain and therefore must be converted to Section 8 tenant-based assistance (under Section 202 of the HUD FY1996 Appropriations Act). The PHA provides the name and location of the development, the planned activities, and the timelines implementation. PHAs must also provide details of any voucher or other assistance that will be used in connection with the conversion plan.

Note:
PHAs that administer Section 8 only are not required to complete Component Ten.

PHAs submitting a mandatory conversion application to HUD must notify the public of its intent to do so in the PHA Plan. This is a statutory requirement and must be followed by all PHAs subject to Section 202, even if they are submitting a streamlined PHA Plan. PHAs must submit required conversion plans to the HUD Special Application Center (SAC) for approval. Approval by the HUD Field Office or Troubled Agency Recovery Center of the Annual Plan does not constitute approval of a conversion application.

On June 22, 2001, the *Voluntary Conversion of Developments from Public Housing Stock; Required Initial Assessments; Final Rule* was published in the *Federal Register*. Prior to issuance of this rule, PHAs were not required to provide this information and as a result, Subcomponent B was reserved in the Plan template. The statute now requires all PHAs to conduct an initial assessment for each of its covered developments by October 1, 2001, and to submit the results to HUD as part of the PHA Plan beginning with January 1, 2002 fiscal year start PHAs.

Exempt developments, or those that are not "covered" under this rule, include the following categories: the development is subject to required conversion; the development is the subject of an application for demolition or disposition that has not been disapproved by HUD; the development

has been awarded a HOPE VI revitalization grant; or the development is designated for occupancy by the elderly and/or persons with disabilities.

3.11.2 Completing the Component

Subcomponent A: Mandatory Conversions
If the PHA is required to convert a public housing building to Section 8 tenant-based assistance, the PHA should provide a description of conversion activities in the optional Public Housing Asset Management Table available within the template or complete a "Conversion of Public Housing Activity Description" table. This table may be copied as many times as necessary. The conversion plan must be submitted as an attachment to the PHA Plan.

Subcomponent B: Voluntary Conversions
A PHA must certify that it has reviewed each covered development's operations as public housing; considered the implications of converting the public housing to tenant-based assistance; and concluded that conversion of the development may be: (i) appropriate because removal of the development would meet the necessary conditions for voluntary conversion; or (ii) inappropriate because removal of the development would not meet the necessary conditions for voluntary conversion.

After completing the required initial assessment, a PHA must retain documentation of the reasoning (which may be as short as a few sentences for a covered development) with respect to each required initial assessment and include the results as a supporting document to an agency's PHA Plan. The supporting document must be available for public inspection, but not submitted to HUD for review.

As stated in **Notice PIH 2001-26**, beginning with Fiscal Year 2002, all PHAs must address the following questions about their Required Initial Assessments and include the information as a required attachment to the PHA Plan:

a. How many of the PHA's developments are subject to the Required Initial Assessments?

b. How many of the PHA's developments are not subject to the Required Initial Assessments based on exemptions (e.g., elderly and/or disabled developments not general occupancy projects)?

c. How many Assessments were conducted for the PHA's covered developments?

d. Identify PHA developments that may be appropriate for conversion based on the Required Initial Assessments:

Development Name	Number of Units

e. If the PHA has not completed the Required Initial Assessments, describe the status of these assessments.

See Notice PIH 2000-43 (III.B.4), 24 CFR 903.7(k); 24 CFR 982.65 and 24 CFR 982.625

3.12 Component Eleven: Homeownership

3.12.1 Overview of Required Information

In this section, the PHA describes any public housing or Section 8 tenant-based assistance homeownership programs administered or planned by the PHA. Subcomponent A covers public housing only, therefore any PHA that only administers Section 8 is required to only complete Subcomponent B. In addition, any small or high performing PHA completing a streamlined submission may also skip to Component 12.

3.12.2 Completing the Component

For any public housing homeownership program that the PHA currently administers or plans to administer, the PHA should either provide the homeownership description information in the "Optional Public Housing Asset Management Table" at the end of the template, or complete the "Public Housing Homeownership Activity Description" table within the component.

If planning to administer a Section 8 homeownership program, the PHA must provide a "Section 8 Homeownership Capacity Statement" as an attachment to the PHA Plan. This capacity statement must be a brief (one page or less), narrative statement. The PHA must also list the "Section 8 Homeownership Capacity Statement" as a required attachment in the Annual Plan Table of Contents.

As is provided in the Final Rule on the Section 8 Homeownership Program included in 24 CFR 982.625 (d), a PHA can demonstrate its capacity to administer the program by satisfying one of the following criteria:

1) Establish a minimum homeowner downpayment requirement of at least 3 percent and require that at least 1 percent of the downpayment come from the family's resources;

2) Require the financing for purchase of a home under its Section 8 homeownership program will: be provided, insured, or guaranteed by the state or Federal government; comply with secondary mortgage underwriting requirements; or comply with generally accepted private sector underwriting standards; or

3) Demonstrate in its Annual Plan that it has the capacity or will acquire the capacity to successfully operate a Section 8 homeownership program.

A PHA satisfying criterion 1 or 2 above will be considered to have the capacity to administer the program. The PHA's statement that it is employing any of these provisions is all that is required in the capacity

statement. A PHA that has adopted and specified either of the first two criteria in its Administrative Plan may also implement this program prior to review and approval of the PHA Plan.

If the PHA's program does not satisfy criterion 1 or 2, then the PHA's capacity statement must demonstrate its capacity or the capacity it will acquire to administer a successful program. A PHA in this case may not implement a Section 8 homeownership program prior to approval of the PHA Plan.

See Notice PIH 99-51 (Attachment B, Section 4, Component 12); Notice PIH 2000-22 (II.B.1.); Notice PIH 2000-43 (III.B.6); and 24 CFR 903.7(l)

3.13 Component Twelve: Community Service and Self-Sufficiency

3.13.1 Overview of Required Information

In this section, the PHA describes the self-sufficiency services and programs offered to residents by the PHA. The PHA must report on efforts to enter into a cooperative agreement with the local welfare (TANF) agency and to coordinate activities with the TANF agency for the provision of services to residents.

The PHA must also include information on the agency's self-sufficiency policies and programs, provide a description of the program (including the number of residents in the program, and the means of providing assistance to households). For the Family Self-Sufficiency (FSS) program specifically, the required and actual number of participants must be provided.

Per the *Final Rule on Admissions and Occupancy Requirements in Public Housing and Section 8 Housing Assistance Programs* (March 29, 2000), PHAs and public housing residents must comply with the community service requirement beginning with PHA fiscal years commencing October 1, 2000. Because the current PHA Plan template does not have a space for describing the PHA's implementation of community service requirements, the PHA must provide a brief description as a required attachment to the PHA Plan.

3.13.2 Completing the Component

Public housing high performers and small PHAs are not required to complete Component 12 as part of the streamlined PHA Plan submission. However, these PHAs are still required to implement the community service requirements, and make the policy on these requirements a locally-available supporting document to the PHA Plan.

To complete the component, the PHA will check the appropriate boxes and complete the two tables as indicated in the template.

In **Subcomponent 12A**, the PHA indicates whether they have entered into a cooperative agreement with the TANF agency and describes other coordinated efforts.

Note:
Section 8-only PHAs are only required to complete Subcomponent 12 C.

In **Subcomponent 12B(1)**, the PHA completes a table describing services and programs offered to residents. Examples might include: job training programs, basic skills training, financial or household management, apprenticeship, employment counseling, computer training, work placement, education programs, child care, medical services, or any program necessary to ready a participant for work (including a substance abuse or mental health program). The types of information requested for each program in services is summarized in the following chart.

Information Required for the "Services and Programs" Table in Component 12 B(1)

Program Name and Description:	may include location, if appropriate
Estimated Size:	number of families served
Allocation Method:	the manner in which the services are allocated, may be characterized as "waiting list," "random assignment," "specific criteria," or "other"
Access:	what organization/person should an interested person contact to obtain information about the program
Eligibility:	public housing residents, Section 8 participants, or both

In **Subcomponent 12 B(2)** the PHA needs to provide information related to Family Self-Sufficiency programs. In estimating the number of required participants in the table on Family Self-Sufficiency program(s), the PHA should consider any reduction in minimum program size resulting from attrition of participants the PHA expects to successfully complete FSS before the beginning of the PHA's fiscal year.

In **Subcomponent 12C**, the PHA needs to report compliance with statutory requirements that dictate treatment of changes in income as a result of welfare programs requirements. The PHA must mark applicable activities undertaken to comply with the requirements, which might include the following:

- Adoption of changes in rent determination policies and staff training on the changes;
- Informing the residents of changes in admission and reexamination policies;
- Notifying residents of new policies;
- Establishing cooperative agreements with appropriate TANF agencies; and
- Establishing protocols for exchange of information with appropriate TANF agencies.

The attachment describing the PHA's Community Service Requirements Policy must be provided at the end of the template file that is transmitted to HUD. PHAs should list the "Implementation of Public Housing Resident Community Service Requirements" as a required attachment to the PHA Plan in the Annual Plan Table of Contents. Please note that PHAs are still required to complete the existing portions of Component 12 of the PHA Plan template in addition to this attachment.

Note:
PHAs are required to make the **full** policy of administration of Community Service Requirements available as a supporting document to the PHA Plan.

PHAs are not required to submit their full local policy on administration of Community Service Requirements as part of the PHA Plan. Rather, the description included as an attachment to the plan may be approximately one

page in length or shorter. It must address the following:

1. The administrative steps being taken to implement the requirement:
   - changes in the public housing lease;
   - development of written description of the service requirement;
   - written notification to residents regarding requirement or exempt status of each adult family member;
   - entering into cooperative agreements with TANF (welfare) agencies to assist the PHA in verifying residents' status; and
   - whether the PHA or another entity will administer the program.

2. The programmatic aspects of the requirement:
   - the types of activities that residents who are subject to Community Service Requirements may participate in to fulfill their obligations; and
   - which partner agencies may offer residents opportunities to fulfill requirements, and the process to cure noncompliance.

See Notice PIH 99-51 (Attachment B, Section 4, Component 13 and Section 2.1); Notice PIH 2000-43 (III.B.5); and 24 CFR 903.7(m)

3.14 Component Thirteen: PHA Safety and Crime Prevention

3.14.1 Overview of Required Information

In this component, the PHA describes its plan for safety and crime prevention to promote the safety of the residents it serves. This Plan must be developed in consultation with the law enforcement agency in the PHA's locality.

Note:
Because completion of the Public Housing Drug Elimination Program (PHDEP) Plan relates to Subcomponent 13D, specific information on the PHDEP Plan and the requirements to complete the PHDEP Template are included in this section of the Guide.

3.14.2 Completing the Component

Only PHAs that administer public housing are required to respond to this component. High Performing and small PHAs that do not plan to participate in PHDEP are also exempt from

completing this section. High Performing and small PHAs that are participating in PHDEP and are submitting a PHDEP Plan, are only required to complete the information requested under Subcomponent D.

Subcomponent 13A: Need for Measures to Ensure the Safety of Public Housing Residents

Question 1 asks the PHA to determine its need for actions to ensure the safety of public housing residents. The information requested under this component is to be provided by development or jurisdiction-wide. For this section, the PHA must consider the prevalence of violent and drug-related criminal activity in its developments and the surrounding areas.

Question 2 asks the PHA to identify the source(s) of information or data used to determine the need for actions to improve the safety of the PHA's residents. As sources of information, the PHA may include: resident surveys, police reports, newspaper articles, and any other reliable data that may support a determination of the existing drug-related situation. The PHA must ensure that the information used in this section is available for public inspection.

In Question 3, the PHA is required to list those developments that have the highest incidence of violent and drug-related criminal activities.

Subcomponent 13B: Crime and Drug Prevention Activities the PHA has Undertaken or Plans to Undertake in the Next Fiscal Year

In Question 1, the PHA indicates the crime and drug prevention activities the agency has undertaken or plans to develop in the coming year. The PHA should evaluate its current activities in order to develop additional future strategies. The PHA should also identify the activities by target group, and those that include crime prevention through environmental design.

In Question 2, the PHA lists the targeted developments.

Subcomponent 13C: Coordination Between PHA and the Police

Under Question 1 the PHA reports on existing coordination between the PHA and the law enforcement agency(ies) responsible for carrying out crime prevention measures and activities. The PHA also indicates the

appropriate degree of participation by law enforcement officials in the PHA's crime and drug prevention activities.

Under Question 2, the PHA lists those developments where the police are involved.

Subcomponent 13D: Additional information as required by PHDEP/ PHDEP Plan

This Subcomponent requests the PHA to identify whether it is eligible to participate in the Public Housing Drug Elimination Program (PHDEP) and if so, to indicate if they have included the PHDEP Plan as part of the PHA Plan. In order to receive PHDEP funds, the PHA must complete the PHDEP Plan as described on the next pages.

The PHDEP Plan is submitted as an attachment to the PHA Plan template. The PHA should identify this attachment in the PHA Plan Table of Contents.

3.14.3 Public Housing Drug Elimination Program (PHDEP) Plan

In order to receive Public Housing Drug Elimination (PHDEP) formula funds, a PHA must submit a PHDEP Plan with the PHA Annual Plan. The PHDEP Plan must provide the information specified in 24 CFR part 761.21 (as reflected in the PHDEP Final Rule, published September 14, 1999) in a format specified by HUD. HUD has provided the required format for the PHDEP Plan as a template file made available on the PHA Plans web site (HUD 50075-PHDEP Plan).

Any PHA applying for funding must provide the residents of the developments to be affected by the PHDEP Plan with a reasonable opportunity to comment on its application. As an attachment to the PHA Plan, the PHDEP Plan must be made available for public inspection.

Any PHA applying for funding under PHDEP must provide the following information included in the Annual PHDEP Plan Table of Contents:

- information/history;

- goals and budget; and
- milestones and certifications.

General Information/ History

In *Section 1A* of the PHDEP Plan, the PHA indicates the amount of PHDEP Grant the PHA is requesting. If the actual amount is unknown, the PHA may estimate the amount of the grant based on the previous year final award or may contact the local Field Office.

Section 1B requires the PHA to identify its Eligibility Type: "N1," "N2" or "R".

- *"N1" PHAs* are those designated eligible on the basis of need as determined under the formula characteristics. PHAs under this category must be in the top 50% of the unit-weighted distribution of an index rolling average rate of violent crimes in the community, as computed for each Federal Fiscal Year. The eligible PHA must have qualified for PHDEP funding by receiving an application score of 70 or more points under previous years NOFAs.
- *"N2" PHAs* are eligible on the basis of need if they qualified for funding under FYs 1996, 1997 or 1998 but were not funded due to unavailability of funds.
- *"R" PHAs* are eligible for funding as preference PHAs. These PHAs successfully competed for PHDEP funding under at least one of the PHDEP NOFAs for FY 1996, 1997 or 1998.

In *Section 1C* the PHA must identify the Federal Funding Year in which funding is requested.

Section 1D asks for an executive summary of the annual PHDEP Plan submitted. This summary should include highlights, major initiatives and expected outcomes.

In *Section 1E*, the PHA must identify the developments to be targeted, the number of units and the population served.

Under *Section 1F*, the PHA must identify the duration of the program for which funding is needed from 6 months to 24 months.

In *Section 1G*, the PHA is required to disclose the PHA's PHDEP funding history for each fiscal year for which the agency has been funded and must include balance, any grant extensions or waivers received, and completion date. The template provides for funding years up to FY 1999. The PHA may modify this table to include additional years.

PHDEP Plan Goals/Budget

In *Section 2A*, the PHA is required to submit a summary of the PHDEP strategies it has considered to address the needs of the target population or area. The summary must briefly describe the planned activities, the role of each partner and their contribution to carrying out the plan. It must also include the system to be used for monitoring and evaluating the outcome of the activities to be funded. This narrative should not exceed five to ten sentences.

Section 2B presents a table where the PHA enters the total amount of PHDEP funding to be used for each planned activity by budget line item.

Section 2C contains a series of tables identified by budget line item, for which the PHA must provide information on its PHDEP strategy. For each budget line item, the PHA must identify measurable goals and objectives and list all the proposed activities to be undertaken. Each budget line item must include a total amount. This amount should be the same as the amount identified in the PHDEP Budget Summary under *Section 2B*. The PHA may modify these tables and insert additional rows to include all proposed activities. The description of the proposed activities should be brief, not to exceed two sentences. PHAs may delete the tables for those line items for which they have no planned goals or activities.

Expenditures/Obligation and Milestones

In the table provided in this section, the PHA identifies measurable performance goals and interim milestones for the proposed activities. The PHA indicates by budget line item the percentage of funds that will be

expended and obligated within the duration of the grant. PHDEP requires that the PHA expend at least 25 percent and obligate at least 50 percent of the total grant award within 12 months of grant execution. In completing this table, the PHA must make reference to each activity included in *Section 2C*, and must indicate for what activities the PHA will expend and obligate, 25 percent and 50 percent of PHDEP funds, respectively, by budget line item.

Certifications

The PHDEP Plan requires the same Certifications that are required by the PHA Plan: the PHA Certification of Compliance with the PHA Plan and Related Regulations; Form HUD–50070, Certification for Drug Free Workplace; Standard Form SF-LLL and SF LLLa, Disclosure of Lobbying Activities (if applicable); and Form HUD–50071, Certification of Payments to Influence Federal Transactions. Only one set of these certifications needs to be submitted to HUD.

The PHA Certification of Compliance with the PHA Plan and Related Regulations includes an assurance that the PHA will maintain and have available for review/inspection (at all times), records or documentation regarding: baseline law enforcement services; consortium agreement(s) under **24 CFR 761.15**; partnership agreements and services; coordination with other law enforcement efforts; agreement(s) with local law enforcement agencies; and crime statistics. Each of these items is a supporting document for the PHA Plan, and must be made available accordingly.

3.15 Component Fourteen: Pet Policy

See Notice PIH 2000-43 (III.B.7.) and 24 CFR 903.7(n)

3.15.1 Overview of Required Information

For this component, PHAs provide a statement of their policy regarding pet ownership in public housing. In the first year of the PHA Plan (FY 2000), PHAs were not required to address this component and the Section is identified as “reserved” under the current PHA Template-HUD 50075.

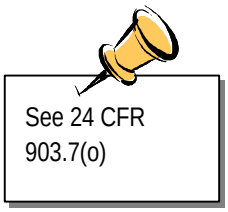
Subsequently, on July 10, 2000 the *Pet Ownership in Public Housing; Final Rule* was published in the *Federal Register*, requiring any PHA with a fiscal year beginning on or after January 1, 2001, to include information regarding its pet policy. Because the PHA Plan template is not revised to include specific information on this component, the PHA is required to submit information on their pet policy as a required attachment.

3.15.2 Completing the Component

PHAs administering Section 8 only, High Performing and Small PHAs are not required to respond to this component. However, this exemption does not relieve PHAs that administer public housing from complying with the requirement to implement a pet policy and publish it as part of the PHA Plan. The PHA's pet policy will become effective on the approval date of the PHA Plan.

The PHA is not required to submit its entire pet policy at the time of transmission of the PHA Plan. The PHA must submit only a brief statement with basic information pertaining to the policy. This statement may include any reasonable standards on pet ownership that the PHA will adopt such as monetary deposit, standards of pet care, and limitations in the number of animals per unit. This statement is considered a required attachment to the PHA Plan and must be listed as such in the Annual Plan Table of Contents.

PHAs are required to provide the agency's full pet policy as a Supporting Document to the PHA Plan. As a Supporting Document, the Pet Policy should be available for public review during the 45-day comment period prior to PHA Plan submission, as well as after the PHA Plan has been approved.



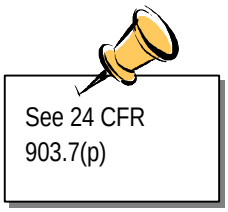
3.16 Component Fifteen: Civil Rights Certifications

3.16.1 Overview of Required Information

For this component, the PHA must certify that it will carry out its PHA Plan in conformity with Title VI of the Civil Rights Act of 1964 (42 U.S.C. 2000d-2000d-4), the Fair Housing Act (42 U.S.C. 3601-19), Section 504 of the Rehabilitation Act of 1973 (29 U.S.C. 794), and Title II of the Americans with Disabilities Act of 1990 (42 U.S.C. 12101 et seq.), and also certify that it will affirmatively further fair housing.

3.16.2 Completing the Component

PHAs comply with this component by submitting the Civil Rights certifications incorporated in the *PHA Plan Certifications of Compliance with the PHA Plans and Related Regulations.* This certification is applicable for a PHA's Five-Year and Annual Plan. The form is available through HUD's PHA Plans web site. As is further described in Section 3.21, the PHA must download, complete and sign this form, and mail it to the appropriate HUD Field Office as part of the PHA Plan submission process.



3.17 Component Sixteen: Fiscal Audit

3.17.1 Overview of Required Information

In this component, PHAs that receive over $300,000 in Federal funds must include the results of the most recent year fiscal year audit as required under the Single Audit Act, as implemented by OMB Circular A-133. The Single Audit Act Amendment of 1996 exempts any PHA that expends less than $300,000 in Federal dollars in a fiscal year from the Single Audit requirement as well as from individual Federal Program award audit requirements.

3.17.2 Completing the Component

Under Question 1, the PHA should indicate if it must have an audit conducted. If "yes", the PHA completes sections 2-5. PHAs that respond "no" are exempt from answering the remaining questions under the component. Question 2 asks the PHA to indicate if the PHA has submitted its most recent fiscal audit to the local HUD Field Office. In Question 3, the PHA must state if there were any findings as a result of the audit. If the answer is "yes," the PHA must disclose under Question 4 the number of findings that it may still have outstanding. In Question 5, the PHA must denote if it has submitted to the local HUD Field Office a response to any open finding.

3.18 Component Seventeen: PHA Asset Management

See Notice PIH 99-51 (Attachment B, Section 4, Optional Table) and 24 CFR 903.7(q)

3.18.1 Overview of Required Information

PHAs are asked to submit a statement that describes how the PHA will carry out its asset management functions with respect to the PHA's public housing inventory, including how the PHA will schedule its long-term operating, capital investment, rehabilitation, modernization, disposition, and other needs for such inventory.

3.18.2 Completing the Component

The PHA can complete a narrative statement or use the Optional Public Housing Asset Management Table provided as part of the PHA Plan. This optional table is found at the end of the PHA Plan template. If the PHA opts to use this table, it must identify it as an attachment to the Plan and list it in the Table of Contents. The PHA is required to respond to the three questions under the component regardless of which reporting method is used.

Note:
The PHA cannot use this optional table to comply with the requirements of component 7A, Capital Funds Activities. Component 7A has specific requirements that will not be satisfied by the use of this table.

In Question 1, the PHA indicates if the agency is participating in any activity that may contribute to the long-term asset management of its inventory. A PHA may include information that has not been previously addressed as part of any other component of the Plan.

In Question 2, the PHA is requested to indicate the type of activities it plans to undertake.

Question 3 asks whether the PHA has addressed the description of the asset management activities in the "Optional Public Housing Asset Management Table".

In using the table, a PHA should identify those activities that are not applicable as *N/A.* A PHA submitting a streamlined plan should identify those activities for which it is not required to report as *component not applicable or CN/A.* Where a PHA is reporting on initiatives applicable to several categories, it should repeat the information under each appropriate column.

See Notice PIH 99-51 (Attachment B, Section 4, Component 18, 19); Notice PIH 2000-36; Notice PIH 2000-43 (III.B.9 and 10); Notice PIH 2001-4 (II.E); and Notice PIH 2001-26.

3.19 Component Eighteen: Other Information

3.19.1 Overview of Required Information

In this component, the PHA provides information regarding several topics, including its Resident Advisory Board and Resident Membership in the PHA's Governing Board. **All** PHAs are required to respond to this component.

A Resident Advisory Board consists of individuals who adequately represent the residents served by a public housing authority. A PHA that has a substantial population of Section 8 participants must ensure that families receiving tenant-based assistance are reasonably represented on a Resident Advisory Board and that a reasonable process is undertaken to ensure this representation.

See Section 4 for a more detailed discussion of the Resident Advisory Board, its role and responsibilities.

3.19.2 Completing the Component

PHAs are first required to provide the name, method of selection (election or appointment), and term of appointment for the resident(s) member(s) of the PHA Governing Board. If the PHA does not have a resident serving on its Board, it must provide a statement including: the reason why a resident member has not been appointed to the Board (including its exemption category); the date of the next term expiration that would provide an opportunity to appoint a resident to the Board; and the name and title of the appointing official for the Governing Board. This information is provided as a required attachment to the PHA Plan and should be titled "Resident Membership of the PHA Governing Board" and listed in the Plan's Table of Contents.

Note:
HUD's October 21, 1999 publication, *Public Housing Agency Organization: Required Resident Membership on Board of Directors or Similar Governing Body Final Regulation* requires PHAs to have a resident member on the agency's Governing Board.

The PHA is also required to provide a list of the members of its Resident Advisory Board (RAB). When the list of participants is extensive, the PHA may list the name of the organization that the residents represent. The list of RAB members must be identified as a required attachment under the Annual Plan Table of Contents. The PHA must make its RAB members' list available for public inspection at the time it announces the PHA Plan public hearing.

Subcomponent 18A addresses the RAB's recommendations in the development of the PHA Plan. The PHA must consider thoroughly the recommendations made by its RAB, although the PHA is not required to concur with them. In Question 1, the PHA indicates if the agency received any comments from the RAB. If " yes", the PHA must include the comments under this section or as an attachment to the Plan. If the comments are provided as an attachment, the PHA must identify the file name and include it in the Table of Contents. In Question 3, the PHA indicates what action has been taken or will be taken to address the RAB's

comments. The PHA also lists any changes made to the PHA Plan as a result of the RAB's comments.

Under **Subcomponent 18B**, the PHA describes the process to select Board residents. Question 1 asks if the PHA meets the exemption criteria under section (2)(b) of the *U.S. Housing Act of 1937*. A "yes" answer refers the PHA to address Question 3. If the PHA does not meet the exemption criteria, the PHA must indicate in question 2 whether the PHA's resident population selected the Board member. (If the residents were not part of the selection process, the PHA must skip to Subcomponent 18C.) In Question 3, the PHA describes the election process, including its nomination process, eligible candidates, and eligible voters.

Under **Subcomponent 18C**, the PHA must provide a statement that demonstrates the consistency of its PHA Plan with the Consolidated Plan. Beginning with January 2002 PHAs, for PHA covering multiple jurisdictions, only the largest jurisdiction with more than half of the total population (or combination of the largest jurisdictions with more than half the population, if no single jurisdiction meets this requirement) represented in the PHA Plan, will be required to submit the *Certification by State and Local Official of the PHA Plans Consistency with the Consolidated Plan.* The statement(s) must be included as an attachment(s) to the Plan. In Question 1, the PHA identifies the jurisdiction of the Consolidated Plan. In Question 2, the PHA must describe the steps it has taken to ensure the consistency of its PHA Plan with the Consolidated Plan. In Question 4, the PHA must describe how the Consolidated Plan supports the PHA Plan. The PHA lists all supporting activities and commitments included in the Consolidated Plan(s).

Subcomponent 18D is reserved for any additional information required by HUD. In this section, the PHA may provide its definition of Substantial Deviation and Significant Amendment/Modification. See Section 7 of this Guide for further discussion of this topic.

3.20 Capital Fund Tables

3.20.1 Overview of Required Information

See Notice PIH 99-51 (Attachment B, Section 4, Component 7); Notice PIH 2000-43 (IV.D.); Notice PIH 2001-4 (II.D); Notice PIH 2001-4a rev; and Notice PIH 2001-26.

The Capital Fund Tables in the PHA Plan are used in conjunction with Component 7, Capital Improvement Needs. Using the Annual Statement/ Performance and Evaluation Report Tables, the PHA must identify the capital activities the PHA is proposing for the upcoming year for its public housing developments as well as report on its on-going capital activities. The PHA also summarizes the use of Capital Funds by Development Account, describes the major work categories at each development, and provides an implementation schedule. The Capital Fund Tables may be found at the end of Section 3.20.

Housing authorities also are encouraged to submit the Five-Year Action Plan Table to describe long-term planned capital improvement projects. Using the PHA Plan process, the housing authority can ensure that the public is involved in the capital planning process and can minimize the number of substantial deviations from planned activities that would necessitate additional public approval processes.

Limitations of the use of Capital Fund grants are specified in section 9(g) of the U.S. Housing Act (USHA), including partial flexibility for Capital Fund amounts as specified in section 9(g)(1) of the USHA and full flexibility for certain PHAs operating fewer than 250 public housing dwelling units as specified in section 9(g)(2) of USHA. PHAs are subject to the obligation and expenditure requirements of section 9(j) of the USHA, as well as current HUD requirements. As discussed in **Notice PIH 2001-26**, until the CFP final rule is published, PHAs must meet benchmarks established under existing program guidelines that require earlier obligation and expenditure deadlines to ensure compliance with the Act. The benchmarks require PHAs to obligate funds within 18 months and to expend funds within 3 years after funds are made available.

For the purpose of statutory obligation and expenditure deadlines for CFP funds received in Fiscal Year 2000, the commencement date is September 30, 2000 (for determining when funds must be obligated and expended). For

Fiscal Year 2001, the commencement date is June 30, 2001 for PHAs with a fiscal year beginning on January 1st, April 1st, and July 1st. For October 2001 PHAs, the commencement date is September 30, 2001.

Commencing with Fiscal Year 2002, HUD anticipates putting systems in place that will allow a portion of CFP funds to be available to PHAs for obligation as close as possible to the Federal fiscal year rather than quarterly after the approval of individual PHA Plans. With this procedure, PHAs would be provided with 50% of the CFP total formula share for obligation on work items in the PHA's Five-year Plan, already approved by HUD, prior to the submission and approval of the current PHA Plan. Assuming a timely appropriation of capital funds and adaptation of HUD systems, this could occur in approximately January 2002. Participation in this initiative would be limited to non-troubled agencies that have submitted PHA Plans for Fiscal Years 2000-2001 (unless notified by HUD) and are not otherwise disqualified by HUD for reasons such as failure to obligate prior funds in a timely manner.

3.20.2 Annual Statement Tables

Beginning with plans submitted by PHAs with fiscal year start date July 1, 2001, PHAs must use Parts I, II and III of the Annual Statement/Performance and Evaluation Report for the Capital Fund Program (CFP) found on the PHA Plans web site. **Notice PIH 2001-4a (revised)** also includes the revised Capital Fund Program Tables required at the time of submission of the PHA Plan. A separate Report should be developed for the upcoming year (Annual Statement), as well as for each open, approved capital grant (Performance and Evaluation Report).

Until notified of their actual formula share of the Capital Fund, PHAs may use estimated funding amounts in developing the Annual Statement. Estimates are based on the amount of the previous Federal fiscal year grants or another reasonable method for estimating future funding. PHAs can contact the HUD Field Office for additional information.

Each PHA annually submits to the Field Office as part of its PHA Plan, the Performance and Evaluation Report for each approved Annual Statement including replacement housing factor or emergency grants, where the PHA is still expending funds. The reporting period ends six months before the start of the PHA's fiscal year. Since the Report is part of the PHA Plan, it is subject to the public hearing process. The chart below provides information on the Report dates:

Performance and Evaluation Report Due Dates

PHA FY Begins	Plan Submission (75 days before PHA FY begins)	P&E Reports Due	P&E Report As Of
January 1	Mid-October	Mid-October	June 30
April 1	Mid-January	Mid-January	September 30
July 1	Mid-April	Mid-April	December 31
October 1	Mid-July	Mid-July	March 31

(Note: exact day depends on calendar days in PHA's fiscal year)

Annual Statement/Performance and Evaluation Report Capital Fund Program Part I: Summary

In Part I of the table, the PHA should provide a program-wide summary, by budget category, for the upcoming fiscal year or report on the status of existing grants. In preparing the Annual Statement/Performance and Evaluation Report, the PHA should be aware that eligible expense categories are those specified in Section 9(d) of the U.S. Housing Act (USHA) of 1937, as amended by section 519(a) of the Quality Housing and Work Responsibility Act of 1998.

Notice PIH 2001-4 provides the following revisions to reporting requirements to the Capital Fund Program Tables:

- After initial approval by HUD, the PHA tracks cost decreases or increases in the "Original Total Estimated Cost" column and report these revisions in the "Revised Total Estimated Cost" column at the end of each program year on the Performance and Evaluation

Report. If revisions are reported in the "Revised Total Estimated Cost" column when a Performance and Evaluation Report is submitted, the revisions must be reflected in the "Original Total Estimated Cost" column when the next Performance and Evaluation Report is submitted.

- Complete the section on "Actual Cost" on the Performance and Evaluation Report at the end of the Capital Program year for each grant number year with leftover funds.
- The Annual Statement/Performance and Evaluation Report contains a budget line item for development activities (1499) and deletes the budget line item for modernization used for development (1498).
- Grants awarded for the Replacement Housing Factor must remain in Account 1499, development activities, until the PHA has accumulated adequate funds and received approval of a development proposal. The two-year statutory obligation of Replacement Housing Funds will begin upon approval of a development proposal.
- Small PHAs awarded emergency grants beginning in fiscal year 2000 must repay the grants from future year formula amounts. Field Offices must reserve grants for emergencies and disasters.
- Until the new Capital Fund regulations are published, the regulations at 24 CFR Part 968 remain in effect, including cost limitations. The PHA is permitted to expend no more than a total of 10 percent of its annual grant for administrative costs in Account 1410.

Eligible PHAs wishing to expend CFP funds on operating costs have been permitted to do so by reporting the amount of funds "transferred" to operating costs on budget line item 1406 in the "CFP Annual Statement Part I: Summary" and drawing the funds down for operating expenditures. Amounts allocated by PHAs to line 1406 must only be used for non-capital operating costs. (Capital costs are those that would be classified under line 7540 "Property Betterments and Improvements" in the PHAs Operating Budget.) PHAs must distribute all CFP amounts intended for

use on capital activities among the appropriate capital-related budget line items in the CFP Annual Statement.

This does not limit a PHA's ability to apply capital funds to operating costs up to the regulatory limit. However, each PHA's Capital Fund Program Annual Statement must reflect accurately its intention to conduct capital activities with Capital Fund Program funds.

- PHAs, other than high performers, must not use more than a total of 20 percent of their annual grant for management improvement costs in account 1408. High performers under the Public Housing Assessment System have no limits on the use of their annual grants for management improvements.
- PHAs may initially budget up to 8 percent of their annual grants for contingencies in Account 1502. The PHA does not draw down, obligate or expend funds against Account 1502. Funds budgeted in Account 1502 are considered unobligated until they are rebudgeted within the Annual Statement or other eligible accounts and obligated for work items.
- Pending publication of the Capital Fund Program Final Rule, PHAs may use the Comprehensive Grant program (CGP) LOCCS/VRS forms for the Capital Fund Program. The voucher number must be identified as "092" and the program as "CFP."

Exhibit 6 below describes the information required in Part 1 of the Annual Statement/Performance and Evaluation Report.

Exhibit 6

Annual Statement/Performance and Evaluation Report
Capital Fund Program and Capital Fund Replacement Housing Factor
Part I: Summary

PHA Name	Enter the Name and Number of the PHA
Grant Type and Number	Enter the Number of the Grant next to the appropriate number
Federal FY of Grant	Enter the Federal Fiscal Year of the Grant on which the report is being submitted
Type of Report	Check the appropriate box to indicate what type of report is being submitted
Total Estimated Cost: Original	Enter the original estimate by Development Account code for all activities
Total Estimated Cost: Revised	Enter the revised estimate by Development Account. Include the original estimate
Total Actual Cost: Original	Enter the obligated amount by Development Account
Total Actual Cost: Expended	Enter the expended amount by Development Account. Include the obligated amount
Collaterization Expenses or Debt Services	The amount of the total grant being used as collateral or to service debt
Amount of Annual Grant – Line 21	Enter the total amount of the grant on which the report is being submitted. The Amount should be the total of all Development Accounts (Lines 2-20)
Amount of Line 21 Related to LBP Activities	The amount of the total grant related to lead-based paint activities
Amount of Line 21 Related to Section 504 Compliance	The amount of the total grant related to Section 504 Compliance
Amount of Line 21 Related to Security-Soft Costs	The amount of the total grant related to Security-Soft Costs, such as law enforcement, security guards, drug prevention
Amount of Line 21 Related to Security-Hard Costs	The amount of the total grant related to Security-Hard Costs, such as security lighting, fencing, access control
Amount of Line 21 Related to Energy Conservation Measures	The amount of the total grant related to Energy Conservation Measures, such as low-flow toilets, efficient water heaters

Annual Statement/Performance and Evaluation Report Capital Fund Program Part II: Supporting Table

A separate Supporting Table should be prepared for each open grant and for the upcoming fiscal year. On the Supporting Table, the PHA should group, by development, the capital improvement work that will occur in the upcoming fiscal year or for the year in which the Performance and Evaluation Report is being submitted. A brief description of the work planned, its estimated cost and development account number must be included. The Total Estimated Cost should equal the Total Estimated Cost on the Part I table. The Total Actual Cost should equal the Total Actual Cost on the Part I table. Agency-wide activities should be listed after the development-specific activities.

Annual Statement/Performance and Evaluation Report Capital Fund Program Part III: Implementation Schedule

A separate Implementation Schedule Table is prepared for each open grant and for the upcoming year. On the Annual Statement Implementation Schedule Table, the PHA identifies the estimated timeline for obligation and expenditure for each activity. The estimate on the Part III table is required only if the timeline extends beyond the HUD obligation (18 months) and expenditure (36 months) deadlines. On the Annual Statement/Performance and Evaluation Report, "Part III: Implementation Schedule," the PHA lists the development number and planned activities, and information on all funds obligated and expended by quarter ending date. All funds obligated must be categorized by the original date funds were anticipated to be obligated, revised projections for obligation, and the actual obligation date for the planned activities. All funds expended also must be categorized by the original date funds were anticipated to be expended, revised projections for expenditures, and the actual expenditure date for completed activities. The PHA must also include the reasons for revisions to the target dates for both obligated and expended funds. A description of Agency-wide activities, such as management improvements, should be identified after the development-specific activities.

3.20.3 Capital Fund Program Five-Year Action Plan

The CFP Five-Year Action Plan is one of the most important documents of a PHA. Development of the CFP Five-Year Action Plan requires strategic planning that involves the PHA staff, Board, residents and community to detail the capital improvements that coordinate with the PHAs mission, goals and strategies.

Notice PIH 2001-4a (revised) provides the revised Capital Fund Program Tables required at the time of submission of the PHA Plan. The CFP Five-Year Action Plan form is located on the PHA Plans web site: http://www.hud.gov/pih/pha/plans/phaps-home.html).

The PHA is required to list "all large capital" items on its CFP Five-Year Action Plan. Although the PHA is only *required* to list large capital items, the PHA will only be permitted to exercise fungibility (as defined in 24 CFR 968.305) between work items that *are included* in the Annual Plan and/or the Five-Year Action Plan. A PHA that wishes to exercise fungibility should include as many work items in the Five-Year Action Plan as necessary, even if some of the items are not large capital items. If a PHA wishes to conduct a non-emergency capital work item that has not been included in a previously approved plan, it must first amend its plan. HUD must approve the amended plan before the PHA may begin the work.

Exhibits 7 and 8 below describe the information required in the Capital Fund Program Five-Year Action Plan.

Exhibit 7
Capital Fund Program Five-Year Action Plan
Part I: Summary

PHA Name	Enter the Name and PHA Number
Original Five-YearPlan/Revision No.	Check the appropriate box. Consecutively number each Revision submitted
Development Number/Name/HA-Wide	Group the planned capital projects by Development. List the HA-Wide projects last
Year 1	Do not enter any information on Year 1. That information is contained on the Annual Statement
Work Statement for Year 2/3/4/5	Enter the Federal Fiscal Year and the PHA's Fiscal Year for Years 2, 3, 4, and 5. Group the planned capital projects for each individual development by year
Total CFP funds (Est.)	Enter the total Capital Fund Program funds listed for Years 2, 3, 4, and 5.
Total Replacement Housing Factor Funds	Enter the total Replacement Housing Factor Funds anticipated for Years 2, 3, 4, and 5.

Exhibit 8
Capital Fund Program Five-Year Action Plan
Part II: Supporting Pages-Work Activities

Activities for Year 1	Do not enter any information on Year 1. That information is contained on the Annual Statement
Activities for Year 2/3/4/5	Enter the Federal Fiscal Year and the PHA's Fiscal Year for Years 2, 3, 4, and 5.
Development Name/Number	Enter the name and number of the developments with planned activities.
Major Work Categories	Identify the planned major work categories by Development for Years 2, 3, 4 and 5. (example: doors, windows, etc.)
Estimated Cost	Enter the estimated cost for work activities by category for each development for Years 2, 3, 4, and 5. A subtotal amount must be entered for all work activities by development.
Total CFP Estimated Cost	Enter the total estimated Capital Funds Program Cost for all planned work activities for Years 2, 3, 4, and 5.

CAPITAL FUND PROGRAM TABLES

Annual Statement/Performance and Evaluation Report **Capital Fund Program and Capital Fund Program Replacement Housing Factor (CFP/CFPRHF) Part I: Summary**					
PHA Name:		**Grant Type and Number** Capital Fund Program Grant No: Replacement Housing Factor Grant No:		**Federal FY of Grant:**	
☐**Original Annual Statement** ☐**Reserve for Disasters/ Emergencies** ☐**Revised Annual Statement (revision no:**) ☐**Performance and Evaluation Report for Period Ending:** ☐**Final Performance and Evaluation Report**					
Line No.	**Summary by Development Account**	**Total Estimated Cost**		**Total Actual Cost**	
		Original	**Revised**	**Obligated**	**Expended**
1	Total non-CFP Funds				
2	1406 Operations				
3	1408 Management Improvements				
4	1410 Administration				
5	1411 Audit				
6	1415 Liquidated Damages				
7	1430 Fees and Costs				
8	1440 Site Acquisition				
9	1450 Site Improvement				
10	1460 Dwelling Structures				
11	1465.1 Dwelling Equipment—Nonexpendable				
12	1470 Nondwelling Structures				
13	1475 Nondwelling Equipment				
14	1485 Demolition				
15	1490 Replacement Reserve				
16	1492 Moving to Work Demonstration				

Annual Statement/Performance and Evaluation Report
Capital Fund Program and Capital Fund Program Replacement Housing Factor (CFP/CFPRHF) Part I: Summary

PHA Name:	Grant Type and Number Capital Fund Program Grant No: Replacement Housing Factor Grant No:	Federal FY of Grant:

☐ Original Annual Statement ☐ Reserve for Disasters/ Emergencies ☐ Revised Annual Statement (revision no:)
☐ Performance and Evaluation Report for Period Ending: ☐ Final Performance and Evaluation Report

Line No.	Summary by Development Account	Total Estimated Cost		Total Actual Cost	
		Original	Revised	Obligated	Expended
17	1495.1 Relocation Costs				
18	1499 Development Activities				
19	1501 Collaterization or Debt Service				
20	1502 Contingency				
21	Amount of Annual Grant: (sum of lines 2 – 20)				
22	Amount of line 21 Related to LBP Activities				
23	Amount of line 21 Related to Section 504 compliance				
24	Amount of line 21 Related to Security – Soft Costs				
25	Amount of Line 21 Related to Security – Hard Costs				
26	Amount of line 21 Related to Energy Conservation Measures				

Annual Statement/Performance and Evaluation Report
Capital Fund Program and Capital Fund Program Replacement Housing Factor (CFP/CFPRHF)
Part II: Supporting Pages

PHA Name:		**Grant Type and Number** Capital Fund Program Grant No: Replacement Housing Factor Grant No:				**Federal FY of Grant:**		
Development Number Name/HA-Wide Activities	General Description of Major Work Categories	Dev. Acct No.	Quantity	Total Estimated Cost		Total Actual Cost		Status of Work
				Original	Revised	Funds Obligated	Funds Expended	

Annual Statement/Performance and Evaluation Report
Capital Fund Program and Capital Fund Program Replacement Housing Factor (CFP/CFPRHF)
Part III: Implementation Schedule

PHA Name:	**Grant Type and Number** Capital Fund Program No: Replacement Housing Factor No:	**Federal FY of Grant:**

Development Number Name/HA-Wide Activities	All Fund Obligated (Quarter Ending Date)			All Funds Expended (Quarter Ending Date)			Reasons for Revised Target Dates
	Original	Revised	Actual	Original	Revised	Actual	

Capital Fund Program Five-Year Action Plan **Part I: Summary**		***S A M P L E***			
PHA Name ***Anytown Housing Authority***				☐**Original 5-Year Plan** ☐**Revision No:**	
Development Number/Name/HA-Wide	Year 1	Work Statement for Year 2 FFY Grant: ***2002*** PHA FY: ***2002***	Work Statement for Year 3 FFY Grant: ***2003*** PHA FY: ***2003***	Work Statement for Year 4 FFY Grant: ***2004*** PHA FY: ***2004***	Work Statement for Year 5 FFY Grant: ***2005*** PHA FY: ***2005***
10-01/ Main Street	Annual Statement	***$80,000***	***$36,000***	***$65,000***	***$55,000***
10-02/Broadway		***$90,000***	***$40,900***	***$40,000***	***$43,000***
HA-wide		***$100,000***	***$50,000***	***$35,000***	***$27,000***
CFP Funds Listed for 5-year planning		***$270,000***	***$162,900***	***$140,000***	***$125,000***
Replacement Housing Factor Funds		***$40,000***			

Capital Fund Program Five-Year Action Plan

Part II: Supporting Pages—Work Activities *S A M P L E*

Activities for Year 1	Activities for Year :__2__ FFY Grant: 2002 PHA FY: 2002			Activities for Year: __3_ FFY Grant: 2003 PHA FY: 2003		
	Development Name/Number	**Major Work Categories**	**Estimated Cost**	**Development Name/Number**	**Major Work Categories**	**Estimated Cost**
See	*10-01/Main Street*	*Porches*	*$35,000*	*10-01/Main Street*	*Security Doors replaced*	*$36,000*
Annual		*Doors*	*$45,000*			
Statement						
	Subtotal		*$80,000*			
	10-02/Broadway	*Windows*	*$55,000*	*10-02/Broadway*	*Kitchen cabinets*	*$40,900*
		Site Improvements	*$35,000*			
	Subtotal		*$90,000*			
	HA-wide	*Office Equip/computer System Upgrade*	*$100,000*	*HA-wide*	*Security/Main Office and Common Hallways*	*$50,000*
Total CFP Estimated Cost			*$270,000*			*$162,900*

Capital Fund Program Five-Year Action Plan

Part II: Supporting Pages—Work Activities *S A M P L E (continued)*

Activities for Year : ***4*** FFY Grant: ***2004*** PHA FY: ***2004***			Activities for Year: ***5*** FFY Grant: ***2005*** PHA FY: ***2005***		
Development Name/Number	**Major Work Categories**	**Estimated Cost**	**Development Name/Number**	**Major Work Categories**	**Estimated Cost**
10-01/Main Street	***Storage sheds and landscaping***	***$65,000***	***10-01/Main Street***	***Replace bathroom tile***	***$55,000***
10-02/Broadway	***Tub/shower replacement***	***$40,000***	***10-02/Broadway***	***New gutters and interior doors***	***$43,000***
HA-wide	***Lead-based paint abatement***	***$35,000***	***HA-wide***	***Office furniture***	***$27,000***
Total CFP Estimated Cost		***$140,000***			***$125,000***

3.21 Certifications

See Notice PIH 99-51 (Attachment B, Section 5); and Notice PIH 2001-26 (II E.)

The PHA must complete, sign and mail certification forms **with original signatures** to its local HUD office as a part of the PHA Plan submission process. The certification forms, which can be downloaded from the PHA Plans web site, validate the plan before submission to a local HUD office, and validate the Plan's consistency with the Consolidated Plan. In addition, a PHA submitting a request for the Capital Fund Program/Capital Fund Program Replacement Housing Factor or the Public Housing Drug Elimination Program grant is required to complete certifications related to the receipt of Federal funds.

3.21.1 Overview of Required Forms

All PHAs are required to submit the **Plans Certification of Compliance with the PHA Plans and Related Regulations** form of December 1999. The Plans Certification requires signature of the Chairman of the Board of Commissioners, or other authorized PHA official if there is no Board of Commissioners. On the form, the Chairman, acting on behalf of the Board, will certify, among other things:

- that the PHA is in compliance with Civil Rights laws and regulations;
- that the PHA will only undertake activities and programs covered by the PHA Plan in a manner consistent with the Plan;
- that the PHA will use grant funds only for approved activities; and
- that the PHA will comply with all regulations.

PHAs also are required to submit the following forms:

- **Certification by State or Local Official of PHA Plans Consistency with the Consolidated Plan** form of July 1999. All housing authorities, except small, non-troubled PHAs submitting a Small PHA Plan Update must submit this form. Small, non-

troubled PHAs must provide a Statement of Consistency with the Consolidated Plan as a part of the Small PHA Plan Update in years 2-5. During years when small non-troubled PHAs submit a regular PHA Plan, the *Certification by State or Local Official of PHA Plans Consistency with the Consolidated Plan* must be completed.

Beginning with January 2002 PHAs, for PHAs covering multiple jurisdictions, only the largest jurisdiction with more than half of the total population (or a combination of the largest jurisdictions with more than half the population, if no single jurisdiction meets this requirement) represented in the PHA Plan, will be required to submit the *Certification by State or Local Official of PHA Plans Consistency with the Consolidated Plan.* Other jurisdictions covered by the PHA Plan must be notified in writing by the PHA(s) covering the larger jurisdiction(s) of this process, the timeframe, where the Plan is available for review and where they can submit comments to the PHA or HUD.

- **Certification for a Drug-Free Workplace** (form HUD 50070) must be completed by all PHAs requesting funding under the Public Housing Drug Elimination Program (PHDEP) and/or the Capital Fund Program (CFP). A PHA requesting funding under both programs is required to submit only one *Certification for a Drug-Free Workplace* form.

- **All PHAs requesting funding under the Public Housing Drug Elimination Program (PHDEP) and/or Capital Fund Program (CFP) must complete disclosure of Lobbying Activities (SF-LLL)**. A PHA requesting funding under both programs is required to submit only one *Disclosure of Lobbying Activities* form.

- **Certification of Payments to Influence Federal Transactions** (HUD 50071) must be completed by all PHAs requesting funding under the Public Housing Drug Elimination Program (PHDEP) and/or Capital Fund Program (CFP). A PHA requesting funding

under both programs is required to submit only one *Certification of Payments to Influence Federal Transactions* form.

3.22 Attachments

See Notice PIH 99-51 (Attachment B, Section 3.2); Notice PIH 2000-43 (III.B); Notice PIH 2001-4 (II); and Notice PIH 2001-26.

In addition to the template and certifications, there are several mandatory and optional attachments to the PHA Plan. Please note that some of these are new requirements that have been implemented since the PHA Plan template was first introduced in July 1999.

In the instructions for completing the Plan and in the Table of Contents for the Annual Plan, HUD has specified certain information that may be provided as an attachment to the PHA Plan, rather than included in the main body of the Plan. All such attachments are considered to be part of the PHA Plan for purposes of public display and submission and review by HUD. All certifications that the PHA makes regarding the PHA Plan will extend to attachments.

In general, attachments should be provided at the end of the electronic template in the "Attachments" section. However, PHAs may submit some attachments as separate files to HUD. The PHA Plans naming conventions (discussed in Section 5 of this Guide and on the PHA Plans web site) must be followed to ensure successful transmission of these files to HUD. The PHA should name the attachment files as: "Your PHA code, the letter 'a' for Attachment A or the letter 'b' for Attachment B, etc. and the version number of the attachment." All attachments to the Plan should be labeled (e.g. "Attachment A") and listed sequentially in the Table of Contents.

3.22.1 Required Attachments

The following Attachments are required for submission, either as a part of the Plan file or as a separate attachment:

- **Brief Statement of Progress in Meeting the Five-Year Plan Mission and Goals** – PHAs may choose to update their Five-Year

Plans every year as good management practice. However, PHAs are required to provide a brief update on the PHA's progress in meeting its mission and goals as described in its Five-Year Plan submitted in FY 2000. The PHA may either provide this brief statement as a narrative (approximately one page or shorter) or may add progress statements to the goals and objectives provided in the current Five-Year Plan, and indicate that the list constitutes a progress report.

- **Component 3, (6) Deconcentration and Income Mixing** – Pending revision of the PHA Plan Template (form HUD 50075), the PHA must substitute the ***revised*** Deconcentration and Income Mixing Section available on the PHA Plans web site for the Deconcentration and Income Mixing Section on the Template.

- **Voluntary Conversion Required Initial Assessment** – Pending revision of the PHA Plan template, the PHA must address the questions on Voluntary Conversion Initial Assessments published in **Notice PIH 2001-26**.

- **Description of the PHA's Implementation of Community Service Requirements** – The PHA (other than high-performing, small PHAs or Section 8 only) must attach a brief description of its Community Service Requirements. The description may be approximately one page in length or shorter. This description must address the administrative steps being taken to implement the requirement; scheduled changes in leases; development of written description of the service requirement; written notification to residents regarding requirement or exempt status of each adult family member; entering into cooperative agreements with TANF (welfare) agencies to assist the PHA in verifying residents' status; and whether the PHA will administer the program, etc.). The programmatic aspects of the requirements are also discussed, including: the types of activities that residents who are subject to community service requirements may participate in to fulfill their obligations; partner agencies that may offer residents opportunities to fulfill requirements; and a process to cure non-compliance. The

PHA's full Community Service Requirements Policy must be a supporting document to the PHA Plan. Although High-Performing or Small PHAs are not required to submit an Attachment with the Description of their Community service program, these PHAs are still required to implement the community service requirements.

- **Description of the PHA's Pet Policy** – Any PHA that operates general occupancy (family) public housing (other than high-performing or small PHAs) must attach information regarding the pet policies it has or will adopt. The PHA is not required to submit its full pet policy as part of the PHA Plan. Rather, the statement in the plan may be approximately one page in length or shorter. The narrative must include basic information including a list of any reasonable requirements on pet ownership that the PHA will adopt. The PHA's full Pet Policy must be a supporting document to the PHA Plan. Although High-Performing or Small PHAs are not required to submit an Attachment with the description of the Pet Policy, these PHAs are still required to implement a Pet Policy.

- **Most recent Board-approved operating budget** – A PHA that is designated as troubled or is at risk of being designated as troubled must submit its most recent Board-approved budget as an attachment.

- **Announcement of Membership of the Resident Advisory Board (RAB)** – The PHA must provide an attachment listing the members of its Resident Advisory Board or Board(s). If the number of participants is too large to reasonably list, then the attachment should include a list of the organizations represented on the RAB or other description sufficient to identify how members were chosen.

- **Resident Advisory Board Recommendations** – The PHA is required to attach copies of the recommendations of the RAB, if these have not been incorporated into the PHA Plan text. The attachment must include a description of the manner in which the PHA addressed

the recommendations in the PHA Plan. The PHA is expected to give careful consideration to the recommendations, but is not required to agree with them.

- **Resident Membership of the PHA Governing Board** – Each PHA must provide the name, method of selection (election or appointment), and term of appointment for the Resident Member of the PHA Governing Board. If the PHA does not have a resident serving on its Board, it must provide a statement including: the reason why the resident member has not been appointed to the Board (including its exemption category), the date of the next term expiration that would provide an opportunity to appoint a resident to the Board, and the name and title of the appointing official for the Governing Board.

  HUD will consider the circumstances and may disapprove the Plan of any PHA that is subject to the resident member requirements, had an opportunity to have a resident appointed to the Board at any time since the issuance of the Final Rule, and did not receive a resident appointment.

- **Definition of Substantial Deviation and Significant Amendment or Modification** – The PHA must provide its definition of significant amendment and substantial deviation/modification in Section 18D of the PHA Plan template or as an attachment to the PHA Plan.

Required Attachments

- Brief Statement of Progress in Meeting 5-Year Plan Mission and Goals
- Deconcentration and Income Mixing Questions
- Voluntary Conversion Required Initial Assessment
- Description of Implementation of Community Service Requirements
- Description of Pet Policy
- Most Recent Board-approved Operating Budget (for troubled or at-risk of being designated as troubled PHAs)
- Announcement of Membership of the Resident Advisory Board
- Resident Advisory Board Recommendations
- Resident Membership of the PHA Governing Board
- Definition of Substantial Deviation and Significant Amendment

3.22.2 Optional Attachments

- **PHA Management Organization Chart** – A PHA may include a copy of its organization chart.

- **Capital Fund Tables** – Any PHA with open, approved Capital Fund grants and/or a PHA wishing to receive a Capital Fund Grant for the upcoming Federal fiscal year must include the Capital Fund Tables. Pending revision of the PHA Plan template, the PHA must substitute the revised Capital Fund Tables (Annual Statement/Performance and Evaluation Reports and the Five-Year Action Plan), which may be found on the PHA Plans web site.

- **Public Housing Drug Elimination Program Plan** – Any PHA wishing to receive a Public Housing Drug Elimination Program Grant funds for the upcoming Federal fiscal year must submit the Public Housing Drug Elimination Program Plan.

- **Assessment of Demographic Changes in Public Housing Developments with Site-Based Waiting Lists** – Any PHA that has implemented a site-based waiting list or lists is required to attach an assessment of changes in racial, ethnic or disability-related tenant composition at each PHA site that may have occurred during the implementation of the site-based waiting list at that site. This assessment must be based on Multifamily Tenant Characteristic System (MTCS) occupancy data. The assessment should include a brief narrative discussion or a table displaying changes in racial/ethnic or disability-related tenant composition of these sites based on occupancy data gathered before and after implementation.

- **Section 8 PHA Project-Based Vouchers** – Any PHA using or intending to use the project-based voucher program must include a statement indicating the projected number of units and general locations as well as how such action is consistent with the PHA Plan. The PHA should report the reason(s) why project-basing of the assistance – rather than tenant-basing – is an appropriate option (e.g., because the supply of units for tenant-based assistance is very limited and project-basing in certain strategic locations is needed to assure the availability of units for a period of years.) General locations refer to eligible Census tracts or smaller areas within eligible Census tracts that will still result in a reasonable choice of buildings or projects to be provided project-based assistance when the PHA solicits applications.

- **Section 8 Homeownership Program Capacity Statement** – Any PHA that wishes to administer a Section 8 homeownership program must attach a capacity statement. The PHA must demonstrate its capacity to administer the program by satisfying one of the following criteria:

1. Establish a minimum homeowner downpayment requirement of at least three percent and require that at least one percent of the downpayment come from the family's resources;

2. Require that financing for purchase of a home under its Section 8 homeownership program will: be provided, insured or guaranteed by the state or Federal government; comply with secondary mortgage market underwriting requirements; or comply with generally accepted private sector underwriting standards; or
3. Demonstrate in its annual Plan that it has the capacity, or will acquire the capacity to successfully operate a Section 8 homeownership program.

A PHA satisfying criterion 1 or 2 above will be considered to have capacity to administer the program. The PHA's statement that it is employing any of these provisions is all that is required in the capacity statement. A PHA that has adopted and specified either of the first two criteria in its Administrative Plan may implement this program prior to approval of the PHA Plan.

If a PHA's program does not satisfy criteria 1 or 2, its capacity statement must demonstrate its capacity or the capacity it will acquire to administer a successful program. This should be a brief narrative statement (one page or less). A PHA in this situation may not implement a Section 8 homeownership program prior to approval of the PHA Plan.

Optional Attachments

- PHA Management Organization Chart
- Capital Fund Tables
- Public Housing Drug Elimination Program Plan
- Assessment of Demographic Changes in Public Housing Developments with Site-Based waiting lists
- Section 8 PHA Project Based Vouchers Statement
- Section 8 Homeownership Capacity Statement

See Notice PIH 99-51 (Attachment B, Section 3.3); Notice PIH 2000-43 (III.6, 7, 11); Notice PIH 2001-4 (II.B.); and Notice PIH 2001-26.

3.23 Supporting Documents

Supporting documents are documents and exhibits that are made available with the PHA Plan for local inspection but are not submitted to HUD for review. There are two kinds of supporting documents: required and optional.

3.23.1 Required Supporting Documents

In order to fulfill the Plan's role as a comprehensive statement of the PHA's policies and operations, HUD requires PHAs to provide documents containing such information for display and public inspection with the PHA Plan. A list of required supporting documents is contained in the Table of Contents of the current PHA Plan template. PHAs should amend the list by adding the following additional required supporting documents:

- Community Service Requirement Plan (required for PHAs operating public housing);
- Pet Policy(ies) (required for PHAs operating public housing);
- Consortium Agreement (required if a Consortium is submitting a joint PHA Plan);
- Documentation of reasoning with regard to voluntary conversion required initial assessments; and
- Income Analysis of Public Housing Covered Developments (for responding to Deconcentration questions).

PHAs must have all of the listed supporting documents and must make them available for public review, unless the documents are inapplicable to the programs administered or the activities conducted by the PHA. If the policies described in the PHA Plan are not reflected in the supporting documentation (for example, because the PHA does not plan to implement changes and amend its policies until after the issuance of a final regulation from HUD), the PHA **must** alert readers of this difference in the supporting documentation made available for review via a cover letter, indications in the documents, or similar mechanism.

All required supporting documents are subject to normal HUD review and audit, but PHAs **do not** submit supporting documents to HUD as part of the PHA Plan and they are not part of the Plan itself.

3.23.2 Optional Supporting Documents

PHAs are encouraged to include other instructive information for the public as optional supporting documents. Examples of optional supporting documents would include a comprehensive agency budget or maps displaying the location of proposed public housing redevelopment activities. Optional supporting documents must be listed in the Table of Contents, but PHAs **do not** submit optional supporting documents to HUD as part of the PHA Plan.

3.24 Small PHA Plan Update

3.24.1 Overview of Required Information

As is described in Section 2, the PHA Plan offers several options for a "streamlined" PHA Plan submission. One option, as described in **Notice PIH 2000-43**, is the Small PHA Plan Update. PHAs eligible to submit the Update are non-troubled PHAs that operate 250 or fewer units of public housing **and** administer 250 or fewer units of Section 8 tenant-based assistance. Small PHAs designated as troubled under **section 6(j)(2) of the 1937 Housing Act** may not use the streamlined Update. The Update is intended to serve as a further streamlined version of the PHA Plan for years 2-5 of the 5-year planning cycle, and is meant to capture essential PHA Plan information and inform the public of this information, while reducing the reporting burden on smaller PHAs.

See Notice PIH 2000-43 (III.A); and Notice PIH 2001-26 (IIA).

The Update is a brief statement of upcoming grant activities and any changes in policies from the previous year. The Resident Advisory Board and the public may comment each year on any of the information in the PHA Plan (even if the information has not been included in the Update because it has not changed from previous submissions).

The Small PHA Plan Update can be completed by a PHA either through a narrative document that covers all elements of the Update, along with the PHDEP and Capital Fund tables, or by completing the Small PHA Plan Update Template that is available through the PHA Plans web site.

The Small PHA Plan Update remains subject to all of the same procedural requirements of the PHA Plan regulation (at 24 CFR 903) with one exception. PHAs are **not required** to include in the Update submission a certification from the appropriate State or local officials that the Plan is consistent with the Consolidated Plan of the PHA's jurisdiction.

A submission checklist contained in **Notice PIH 2000-43** outlines the following required elements of the Small PHA Plan Update. It has been modified to reflect new requirements published in **Notice PIH 2001-26**, and is presented in Exhibit 9 below.

Exhibit 9
Required Elements of the Small PHA Plan Update

PHA Identification	Information included on the PHA Agency Identification Page of the PHA Plan template
Table of Contents	Self-explanatory
Executive Summary	An optional item, summarizing the Plan's contents
Capital Fund Program Submissions	The Capital Fund Program Annual Statement and Five-Year Action Plan, if the PHA is eligible to and will participate in the Public Housing Capital Fund Program. If the agency is eligible but does not plan to participate in the CFP, the PHA may omit the Capital Fund documents, but must state in the Plan that it will not participate and specify the amount of the CFP grant refused.
Demolition and Disposition	Information as contained in Component 8 of the Annual Plan, Demolition and Disposition, if applicable.
Section 8 Homeownership Capacity Statement	As described in Notice 2000-43, required only if the PHA Plans to implement a Section 8 Homeownership Program.
PHDEP Plan	If the agency is eligible and plans to participate in the PHDEP program for the upcoming year, this plan should be completed. If the PHA is eligible, but does not plan to participate in the PHDEP, it can

	omit the PHDEP documents, but must state in the Plan that it will not participate and identify the amount of the PHDEP grant refused.
RAB Recommendations and PHA Response	Resident Advisory Board recommendations on the PHA Plan and an explanation of the manner in which the PHA addressed those comments in its Plan.
PHA's Statement of Consistency with the Consolidated Plan	Statement indicating how the PHA Plan is consistent with the Consolidated Plan (in lieu of signed certification).
PHA criteria for substantial amendments or modifications, significant deviations from the 5-year plan	Required **only** if not previously included in a PHA Plan.
List of Supporting Documents to the PHA Plan	All required supporting documents, as provided in the current PHA Plan template, must be made available by the PHA. PHAs should provide a completed table provided in the current template as an attachment to the PHA Plan.
Required Attachment-Resident Membership on the PHA Governing Board	The PHA provide the name, method of selection and term of appointment for the Resident Member of the PHA Governing Board. If the PHA does not have a resident serving on its Board, it must provide a statement including the reason why the resident member has not been appointed to the Board (including its exemption category), the date of the next term expiration that would provide an opportunity to appoint a resident to the board, and the name and title of the appointing official for the Governing Board.
Required Attachment-Membership of the Resident Advisory Board(s)	The PHA must provide a list of the members of its Resident Advisory Board(s). If the number of participants is too long to reasonably list, then the document should include a list of the organizations represented on the RAB or other description sufficient to identify how members were chosen.
Required Attachment- Results of Voluntary Conversion Required Initial Assessments	The PHA must provide responses to a set of questions on Voluntary Conversion Required Initial Assessments published in Notice PIH 2001-26.

See Notice PIH 2000-43 , III.B.8., 24 CFR 903.19 and 24 CFR 903.6

3.25 Five-Year Plan

3.25.1 Overview of Required Information

The Five-Year Plan is a required part of the PHA Plan. Submitted every five years, the Five-Year Plan was first required in FY 2000. The Five-Year Plan is the PHA's opportunity to discuss and present the agency's mission and long-range goals and objectives for achieving its mission over the subsequent five years.

3.25.2 Completing the Five-Year Plan

In Subcomponent A of the Five-Year Plan, the PHA identifies the agency's mission by either acknowledging that the PHA has the same mission as the Department of Housing and Urban Development, or by identifying its own mission.

The PHA is also required to describe its goals. The PHA may select any of the goals and objectives as provided in the template under Subcomponent B, or may identify other goals and/or objectives. PHAs are strongly encouraged to identify quantifiable measures of success in reaching their objectives over the course of five years. A measurable objective can be more readily identified as having been completed. Quantifiable measures might include, for example, targets such as improved PHAS scores achieved or number of families served.

Under Section C, the PHA is required to describe its strategy for the upcoming year for addressing the housing needs of families in the jurisdiction and those on the waiting list. The PHA is also required to describe its reasons for choosing the indicated strategy.

3.25.3 Updating the Five-Year Plan

The PHA may choose to update the Five-Year Plan annually as a good management practice. However, the PHA is required to update the Five-Year Plan to reflect any new requirements as implemented by HUD.

The PHA is required annually to provide a brief Statement of Progress in meeting its mission and goals as described in its Five-Year Plan. The PHA may opt to simply provide update statements within the Five-Year Plan section of the Template, or to provide a narrative attachment to the PHA Plan submission. This requirement is discussed in more detail in Section 3.22.1. When updating the Five-Year Plan, the time period does not change. For example, the first Five-Year Plan covered the period FY 2000-2004. Any update to this Five-Year Plan will simply revise the progress and activities within that time period.

Section Four

The Resident Advisory Board

The Resident Advisory Board (RAB) provides the PHA and the residents with a forum for sharing information about the Agency's Annual Plan. The following section provides information on forming the RAB, encouraging participation, the role of the RAB, and the public notice and comment period.

4.1 Forming the Resident Advisory Board

See 24 CFR 903.13, 24 CFR 903.17; Notice PIH 2000-36; Notice PIH 2001-4 and Notice PIH 2001-26.

What is required? Section 511 of the United States Housing Act and the regulations in 24 CFR part 903 require that PHAs establish one or more Resident Advisory Board(s) (RAB) as part of the PHA Plan process. RAB membership is comprised of individuals who reflect and represent the residents assisted by the PHA. The role of the RAB is to assist the PHA in developing the PHA Plan and in making any significant amendment or modification to the Plan.

What is the role of the RAB? The main role of the RAB is to make recommendations in the development of the PHA Plan. In order to facilitate collaboration, PHAs should encourage the RAB's participation from the inception of the planning process. PHAs are also required to request input from the RAB for any significant amendment or modification to the PHA Plan.

When should the RAB be appointed? The RAB should be appointed well in advance of the date that the PHA Plan is due to HUD to ensure effective resident participation in the development of the plan.

Who can participate on the RAB? If a jurisdiction-wide resident council is in place that complies with tenant participation regulations at 24 CFR Part

964, the PHA must appoint this group or its representatives as the Resident Advisory Board. If the PHA does not have a jurisdiction-wide resident council, then it should appoint resident councils or their representatives to serve as one or more of the RABs. A PHA may require that the resident councils choose a limited number of representatives to serve as RAB members.

Where there are no resident councils that comply with the tenant participation regulations, then the PHA must appoint one or more RABs or board members as needed to adequately reflect and represent the residents assisted by the PHA. The PHA should give adequate notice of its intentions to the residents and encourage the residents to form resident councils that comply with the tenant participation regulations. PHAs have discretion in determining the method of appointment of RABs, as long as a PHA ensures that its RAB or RABs reflect and represent all the residents assisted by the PHA.

What about Section 8 recipients? Because Section 8 residents do not have resident councils, PHAs with a significant sized tenant based assistance program must ensure that Section 8 residents are adequately represented or that reasonable efforts are made to secure their participation in the RAB. A significant sized tenant based assistance program is one where at least 20 percent of the total PHA's households receive tenant-based assistance.

Section 8-only PHAs are not exempt from the RAB requirement and must also appoint one or more RABs that adequately represent the population served. Given that there are no resident councils that comply with the tenant-participation regulations under the tenant-based assistance program, Section 8-only PHAs have discretion in the RAB appointment process. Participation in a RAB is limited to residents that are assisted under federally assisted public housing and the Section 8 tenant-based program.

How many RABs are required? PHAs that do not have a jurisdiction-wide RC have discretion to determine the number of RABs that they may appoint. PHAs are required to institute at least one RAB; the number of RABs beyond that number will depend on the size and the complexity of the PHA or its developments. In deciding the number of RABs to be established, a PHA

should consider how adequate representation of its entire resident population can be provided.

How does the PHA fix the term of service? There is no fixed term for membership on a RAB. A PHA has discretion to establish its own policy regarding the duration of the appointments. In determining the tenure to be adopted, PHAs may consider the number of RABs and the number of residents who volunteered to serve. Greater RAB participation may be realized by rotating residents' tenure.

What if the PHA cannot establish a RAB? If, after making all possible endeavors, a PHA is not successful in establishing a RAB, it may appoint all of the agency's assisted residents as members of the RAB. The PHA must notify all of its members that they have been appointed as members and inform them of their role and responsibilities regarding the development of the PHA Plan. The PHA must also provide residents with notification of meetings (at least 48 hours in advance) and provide copies of any materials for review.

4.2 Encouraging Participation in the RAB

Residents who volunteer to be part of the RAB can be excellent partners to the PHA during the development of the PHA Plan. Although PHAs are expected to make a significant effort to ensure adequate resident representation in the Resident Advisory Boards, securing participation by residents during the planning process may pose a challenge for some PHAs.

How can a PHA encourage residents to take advantage of the RAB opportunity? Personal appeals are one strategy. Executive Directors may be more likely to get commitments from residents if they personally request their participation. Residents might also be hesitant to volunteer to work with a Resident Advisory Board if they do not really understand their role as a member of the RAB. The PHA provide adequate information to all residents regarding the RAB. The PHA should inform residents of the purpose and role of the RAB, as well as practical

information such as the time commitment required. The PHA should make clear to residents and Section 8 participants that the partnership between the residents and the PHA is of benefit to both parties. The residents are provided with an opportunity to voice their concerns so that their needs are addressed and they can become involved in the planning process. The PHA also gains essential information from the residents about the improvements that need to be made at the agency's developments and residents' self-sufficiency needs. This information helps the PHA to set priorities for capital improvements and advises resident services programming.

Outreach Strategies for RAB Participation

To encourage residents to participate in the RAB, a PHA may consider the following suggestions:

- Describe the role of a member of a RAB and the impact that their representation has for their community;
- Make a personal request;
- Publicize the names of RAB members. This is a **required attachment** to the PHA Plan and it allows the RAB members to be contacted;
- Provide child care to allow parents to attend meetings;
- Provide refreshments at meetings. If the meetings are held in the evening, consider providing dinner;
- Provide a stipend to members of the RAB. They may receive a stipend for their participation that will not be considered as income (funds available under Capital Funds Management Expense or Operating Budget); and
- Explain that serving on the RAB is an eligible activity to meet the Community Service requirement.

4.3 PHA's Responsibility to the Resident Advisory Board

What are the PHAs' Responsibilities? PHAs have the responsibility to ensure that the RAB can adequately serve its function including:

- PHAs must give the RABs sufficient time to review and make recommendations on the Plan. RABs will be able to contribute best if they are provided with adequate information regarding the PHA's programs and the policies included in the Five-Year and Annual PHA Plan.
- The PHAs should give RABs advance notice of meetings scheduled to discuss areas of the Plan (generally, at least 48 hours, or more depending on the meeting agenda).
- RABs should also be provided with any existing documents that would assist them to make productive recommendations during the working meetings.
- PHAs should provide the RABs with reasonable means to carry out their functions such as making available a meeting place for discussing programs with the residents. RABs should also have access to any other communication tools such as a telephone, writing material, or computers that may facilitate their contacts with other resident households or to obtain further information on the programs.

At what stage in the planning process must PHAs involve the RABs? The role of the RABs is to assist and make recommendations regarding the development of the PHA Plan and any significant amendments or modifications to it. RABs should be involved in the planning process as soon as it is feasible and must be given sufficient time to fully participate in the process so that they can carry out their proper role and provide representation that is meaningful and relevant to the development of the Plan. The PHA and the RAB should develop a reasonable timetable to promote participation, including adequate notice of meetings. To facilitate productive meetings, PHAs may do preliminary work prior to involving the RABs, such as gathering and compiling data and materials to help residents participate in the

process, including some initial recommendations. A PHA must consider the recommendations of the RABs and make revisions to drafts or to the Plan which it deems appropriate.

4.4 Public Notice and Comment Period Requirements

The PHA governing body is required to convene a public hearing to discuss their Five-Year and/or Annual Plan and to prompt comments from the public regarding their proposed activities. PHAs must consider, in consultation with the RABs, all the comments received at the public hearing.

PHAs are required to carry out the following steps at least forty-five (45) days prior to the scheduled public hearing:

- Publish a notice indicating that a public hearing to present the Plan and further public comments will be held including time, date and location. The notice should also indicate where the Plan and pertaining documents will be available for their review. The documents should be maintained at an accessible place such as the PHA's central office.
- Conduct outreach activities to promote comprehensive participation in the public hearing.

Any significant amendment or modification to the plan is subject to the public hearing and RABs' assessment requirements.

4.5 Incorporating Comments into the Plan

PHAs are required to consider the RAB's recommendations to the Plan but are not required to agree with them. The recommendations received must be submitted by the PHAs as a **required attachment** to the Plan. PHAs must also include a narrative describing their analysis of the recommendations and the decisions made on these recommendations. It is

prudent for PHAs to acknowledge those recommendations that conform to the programs and the mission of the PHA. If the RABs do not provide recommendations to the Plan, the PHA must document that in the attached narrative.

4.6 Announcement of Membership of the Resident Advisory Board (RAB)

PHAs must provide an attachment to the PHA Plan listing the members of its Resident Advisory Board(s). If the number of participants is too large to reasonably list, then the attachment should include a list of the organizations represented on the RAB or other description sufficient to identify how members were chosen.

4.7 Resident Advisory Board (RAB) Notification of Plan Process

To ensure that the RAB is fully engaged in the full plan process, PHAs are required to promptly provide a copy of the HUD award letter (identifying formula share allocations for Capital Fund and Drug Elimination Programs), plan approval letter and at least one copy of the approved plan to each RAB.

Section Five
Submitting the PHA Plan

5.1 Checklist for Completion

How do you know if your plan is complete? Use the following checklist to ensure that the PHA Plan is complete and ready for submission: (See also the description of the PHA Plan development process and timeline in Section 2.)

- ☐ Template filled out completely
- ☐ Attachments properly identified/named and listed in Table of Contents
- ☐ Table of Contents completed, with page numbers added
- ☐ Public Notice published regarding the review period and public meeting
- ☐ Plan, attachments and supporting documents made available for review by the public for a 45-day period
- ☐ Public meeting conducted by the Board/governing body of the PHA
- ☐ RAB comments received and addressed
- ☐ Required Certifications signed
- ☐ Instructions on how to submit the template electronically obtained from the PHA Plans web site and reviewed

Once these steps have been completed by the PHA, the plan should be ready for electronic submission to HUD.

5.2 Supporting Documents

As is described in Section 3.23 of this Guide, the supporting documents to the Plan are an essential part of the PHA Plan. The supporting documents to the PHA Plan comprise the PHA's comprehensive library of information about operations, policies and procedures of the PHA. In addition, these documents provide context to the information summarized within the PHA Plan.

Although all required supporting documents are subject to normal HUD review and audit, PHAs are **not required** to submit supporting documents to HUD as part of the PHA Plan, and they are not part of the Plan itself.

However, all supporting documents (along with the PHA Plan and attachments) must be available for inspection and review by the public at the principal office of the PHA during normal business hours, both during the 45-day public review period prior to the board hearing and submission to HUD **and after** HUD approval of the PHA Plan.

See Notice PIH 99-51 (Attachment B) and Notice PIH 2000-43 (IV.E.)

5.3 Submission Instructions

PHAs must submit the completed template (form HUD 50075) and **required attachments** electronically through the Internet to HUD using the directions provided by HUD. PHAs can find these step-by-step directions on the PHA Plans web site at http://www.hud.gov/pih/pha/plans/phaps-submit.html.

How do you name the electronic file for submission? It is important for PHAs to name their submitted Plans and attachments correctly in order to ensure that the file is successfully transmitted to the local HUD field office. Always use lowercase letters when naming your plan. Note that Plans should be named using this **same** naming convention **each year** the plan is submitted to HUD.

The PHA Plan file should be saved as: your PHA code, the letter 'v' and the version number.

Note:
More detailed directions on submission can be found on the PHA Plans web site.

Naming the PHA Plan File

If your PHA code is NY001 and this is your first version, then your PHA Plan file should be saved as "ny001v01". This is the name of your PHA Plan file. Note: the second version of this plan would be saved as "ny001v02". (A second or subsequent version of your PHA Plan would be submitted if your plan is not approved by HUD and you are required to submit a revised version of your plan to HUD.)

How do you name the attachment files? Attachment files should be named as: your PHA code, the letter 'a' for Attachment A, 'b' for attachment B, etc., and the version number of the PHA Plan that you would like to attach the file.

Naming the PHA Plan Attachments

For example, if your PHA code is NY001, and you would like to attach two files to the second version of the PHA Plan (ny001v02), then the attachment files should be saved as "ny001a02" and "ny001b02".

5.4 Troubleshooting Problems and Frequently Asked Questions on Electronic Submission

See also the "How to Submit" section of the PHA Plans web page at: http://www.hud.gov/pih/pha/plans/phaps-submit.html.

- Print out the technical directions available through the PHA Plans web site and read through them before you attempt to submit your plan electronically.
- Be sure you are following the technical directions appropriate for the internet browser on your computer. Note that there are two sets of instructions: one for Microsoft Internet Explorer users, and one for Netscape Communicator users.

- If after attempting to transmit your file, you are still unsuccessful, send an email explaining the problem to PIH_PHA_PLANS@hud.gov for assistance.

Frequently Asked Questions on Electronic Submission:

The following are examples of frequently asked questions (FAQ) of a technical nature found on the PHA Plans web site at: http://www.hud.gov/pih/pha/plans/phaps-tech-faq.html.

What does it mean to download a PHA Plans file?
Downloading information is the process of copying a file, or files, from a main source location to another location. During the process of downloading the PHA Plans template file, the file is copied from the PHA Plans web site and saved to your personal computer.

What does it mean to upload or submit a PHA Plans file?
Uploading information is the method of transferring a file, or files, from one computer to another location (e.g. a network or mainframe). During the process of uploading your completed PHA Plans file(s), the PHA Plans file is transmitted from your personal computer to the HUD network.

How do I submit a PHA Plans file if my current browser version doesn't support File Upload?
You will need to upgrade to a browser that supports File Upload. To upgrade to an appropriate version of Netscape Navigator or Microsoft Internet Explorer, go to the PHA Plans web site at http://www.hud.gov/pih/pha/plans/phaps-browser.html

Do I have to purchase an older version of MS Word / WordPerfect to use the provided PHA Plan Template on the PHA Plan web page?
No. If you already own the latest versions of MS Word and/or WordPerfect, there is no need to purchase an older version (i.e. Word 6.0 or WordPerfect 5.x for Windows). Generally, later versions of these software applications are "backward compatible," meaning that you will be able to open, edit and save the PHA Plans template files using newer versions of the software.

Section Six
HUD Review of the PHA Plan

6.1 Overview of the HUD Review Process

Section 511 of the Quality Housing and Work Responsibility Act of 1998 (Public Housing Reform Act) establishes HUD's responsibility for reviewing and approving or disapproving each PHA Plan as well as any significant amendments or modifications to a Plan. This responsibility has been entrusted to HUD's Field Office Public Housing (PH) Directors or HUD Directors, as well as the Troubled Agency Recovery Centers (TARC), in the case of troubled PHAs. It is the responsibility of the Public Housing Director or designee to ensure that the review process is properly followed and completed within the required 75-day period as established by law.

See 24 CFR 903.23

The PHA Plan review and approval process relies heavily upon use of the Internet. HUD has established two web sites for the PHA Plan:

- the external PHA Plans web site (http://www.hud.gov/pih/pha/plans/phaps-home.html) which provides PHAs and the public with information about the plan such as new requirements, templates and certifications; and

- the internal web site at http://hudweb.hud.gov/po/p/pha/plans/index.htm serves as HUD staff's central administration point for the PHA Plans and also provides information and resources for conducting reviews of the plans. The primary tool for reviewing PHA Plans submission are the PHA Plan Review Checklists and Guidance, provided at the internal HUD web site.

The internal PHA Plan HUD web site is designed to provide each Field Office with a site where they can see a list of their respective PHAs. From

this site, local offices have links to plan files in PDF format. Field Office staff have been directed to check for submittal of PHA Plans from their respective PHAs on a daily basis.

The Public Housing Director may include other offices such as Community Planning and Development and Fair Housing and Equal Opportunity (among others) to review the PHA Plans within each of these offices' area of responsibility.

6.2 Review Process and Timeline

Once the PHA electronically submits the PHA Plan to HUD, the Field Office will access the HUD PHA Plans web site to retrieve and review the Plans submitted by PHAs within their jurisdiction. The PHA Plans are posted on the HUD web site shortly after submission in a readable PDF document, and are listed by the corresponding Field Office and by Fiscal Year Start. PHAs are encouraged to inform the HUD Field Office by electronic mail of the successful transmittal of the Plan.

The official *Date of Submission* of a PHA Plan is the date when HUD receives the PHA Plan Template (form HUD 50075), the original signed PHA Certification of Compliance with the PHA Plans and the original signed Certification of Consistency with the Consolidated Plan. (Note that PHAs submitting a Small PHA Plan Update are not required to submit the Certification of Consistency with the Consolidated Plan.) The Field Office or TARC will establish the 75-day review period for a Plan upon receipt of these three documents.

The Field Office is responsible for reviewing the PHA Plan based on the following three statutory standards:

1. ***Completeness: Does the PHA Plan contain all the information that is required?*** A primary area of review is to ensure that the PHA Plan is complete. If a deficiency is found during the review period, public housing field office staff must promptly inform the PHA of the

deficiency and the corrective action required. The Field Office Staff and the PHA must determine if the correction can be completed within the 75-day review period. An "incomplete" Plan would include, for example, a Plan that does not contain the Capital Fund Annual Statement or the PHDEP Template if the PHA is applying for either of these funds.

2. ***Consistency: Is the information provided as part of the PHA Plan consistent with the data on record at HUD?*** This review includes a check for consistency with the applicable Consolidated Plan for the PHA's jurisdiction. The Field Office staff and the PHA must determine if the correction can be completed within the 75-day HUD review period.

3. ***Compliance: Is the information provided as part of the PHA Plan prohibited or inconsistent with QHWRA, the U.S. Housing Act of 1937 or any other applicable Federal law?*** The Field Office Staff and the PHA must determine if the correction can be completed within the 75-day review period.

Field or HUD offices will develop a review protocol to determine which offices or staff, in addition to the Office of Public Housing, will be involved in reviewing the PHA Plan. For example, the review may include input by Community Planning and Development (CPD), Fair Housing and Equal Opportunity (FHEO), or any other HUD office to ensure consistency and completeness in these areas of responsibility. The internal review of the Plans must be completed within the 75-day review period.

The Field Office (or TARC) is also responsible for reviewing the Capital Fund Program Annual Statement and the Drug Elimination Program Plan during the 75-day review period.

Significant amendments or modifications to the plan undergo the same review and approval process as the Annual PHA Plan and are subject to the 75-day review period.

6.3 PHA Plan Compliance Review Checklists – A Field Office Tool

Field Offices utilize the PHA Plan Compliance Review Checklist as the official review record for each PHA Plan. If a small PHA submitted the Small PHA Plan Update template, reviewers will use the Small PHA Plan Update Compliance Review Checklist. Field Offices are responsible for reviewing the contents of the PHA Plan and determining its compliance based on the three statutory standards: Completeness, Consistency and Compliance.

If the reviewer determines that any section of the plan is not in compliance with the three standards, he or she must identify and explain which of the three criteria for disapproval apply in the spaces provided in the checklist.

Reviewers must sign, date and indicate their recommendation for approval or disapproval at the end of the checklists. If deficiencies are noted by the reviewer, those deficiencies should immediately be brought to the attention of the PHA to allow for the additional information to be provided and reviewed by HUD within the 75-day review period.

In addition to the Compliance Review Checklist, Field Offices must perform a Civil Rights Front-End Review of the PHA submitting the PHA Plan to identify any civil rights issues. This review includes a check to see whether the PHA has been found to be a party to any litigation settlements, consent decrees, voluntary consent agreements, or court orders identified by the Office of General Counsel.

The *PHA Plan Compliance Review Checklist* used by the Field Offices takes account of:

- ✓ PHA Name
- ✓ PHA Number
- ✓ Official Date of Submission
- ✓ Date of end of 75 days review period
- ✓ PHA FYB Date
- ✓ PHA Plan Type (Standard, High Performer, Small PHA, Section 8 Only, Troubled)
- ✓ PHA Certifications of Compliance
- ✓ Certification of PHA Plans Consistency with the Consolidated Plan
- ✓ Agency Identification Page
- ✓ Five-Year Plan
- ✓ Annual PHA Plan (Plan Type, Executive Summary, Table of Contents)
- ✓ Statement of Housing Needs
- ✓ Statement of Financial Resources
- ✓ PHA Policies Governing Eligibility, Selection and Admissions
- ✓ PHA Rent Determination Policies
- ✓ Operations and Management
- ✓ PHA Grievance Procedures
- ✓ Capital Improvement Needs (Capital Fund Annual Statement and 5 year Action Plan)
- ✓ HOPE VI and Public Housing Development and Replacement Activities
- ✓ Demolition and Disposition
- ✓ Designation of Public Housing for Occupancy by Elderly Families or families with Disabilities or Elderly Families with Disabilities
- ✓ Conversion of Public Housing to tenant-based assistance
- ✓ Homeownership Programs
- ✓ PHA Community Service and Self-Sufficiency Programs
- ✓ PHA Safety and Crime Prevention Measures
- ✓ Pet Policy
- ✓ Civil Rights Certifications
- ✓ Fiscal Audit
- ✓ PHA Asset Management
- ✓ Other Information
- ✓ Required Attachments

The *Small PHA Plan Update Compliance Review Checklist* used by the Field Offices takes account of:

- ✓ PHA Name
- ✓ PHA Number
- ✓ Official Date of Submission
- ✓ Date of end of 75 days review period
- ✓ PHA FYB Date
- ✓ Annual Plan Type
- ✓ PHA Certifications of Compliance
- ✓ Certification of PHA Plans Consistency with the Consolidated Plan *(Optional)*
- ✓ Agency Identification Page
- ✓ Annual PHA Plan (Plan Type, Executive Summary)
- ✓ Summary of Policy or Program Changes for the Upcoming Year
- ✓ Capital Improvement Needs (Capital Fund Annual Statement and 5-year Action Plan)
- ✓ Demolition and Disposition
- ✓ Voucher Homeownership Program
- ✓ Safety and Crime Prevention: PHDEP Plan
- ✓ Other Information
- ✓ Required Attachments

6.4 Approval or Disapproval of Plans

6.4.1 Approval

If the reviewer determines that the PHA Plan conforms to the three statutory standards of completeness, consistency and compliance, the Public Housing (PH) Director, HUD Director, or TARC will approve the Plan. A Plan will be *automatically* approved if HUD does not disapprove it within the 75-day time frame. Troubled PHAs are exempt from the 75-day automatic approval provision. The plan of a troubled PHA must be approved or disapproved in writing.

1. If the PHA Plan does not include a Capital Fund or PHDEP grant program, the PH Director will send the PHA a letter approving the Plan. The PH Director will also notify the HUD web manager of the determination and the approved plan will then be posted in the HUD web site area called "Approved Plans."

2. If the PHA Plan includes grant programs such as the PHDEP and Capital Fund and the PHA has received their formula calculation, the PH Director will inform the Grant Management Center (GMC) of the PHA Plan approvals. The GMC will provide the Congressional and Intergovernmental Relations (CIR) Office with the CFP and PHDEP formula grants amounts. These notifications will be posted on the CIR web site at http://www.hud.gov/cir/Grants2001.html. At the time the Congressional Notifications are posted on the web, the PH Director will notify the PHA of the Plan's approval and that the grant funds have been awarded. The PH Director will also ensure the execution of any required grant obligation document. The PHA Plan will then be posted as approved on HUD's web site.

3. If the PHA Plan includes grant programs such as PHDEP and Capital Fund and the PHA has not received a formula calculation, the PH Director will send a letter approving the PHA Plan and informing the PHA that they will receive further information regarding the formula grant programs.

After approval of the PHA Plan by HUD, the PHA must make its approved Plan and the required attachments and supporting documents related to the Plan available for review and inspection at the principal office of the PHA during normal business hours. PHAs are also required to promptly provide a copy of the HUD award letter (identifying formula share allocations for Capital Fund and Drug Elimination Programs), plan approval letter and at least one copy of the approved plan to each Resident Advisory Board (RAB).

6.4.2 Disapproval

If after reviewing a PHA Plan, the PH Director determines that the Plan does not comply with any of the three statutory standards, the Director will disapprove the Plan.

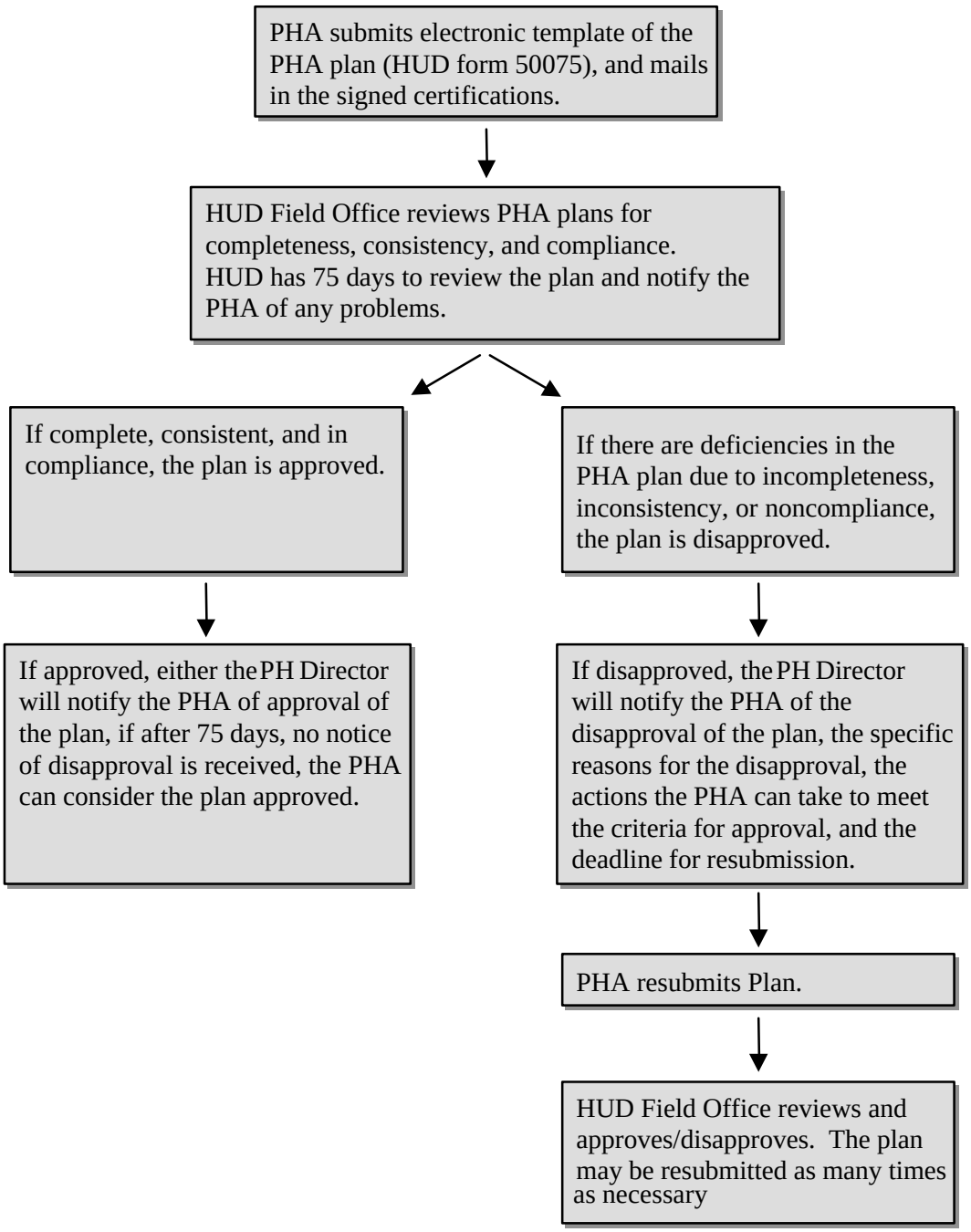
1. The PH Director may disapprove a Plan for technical or substantive deficiencies. Technical deficiencies are those that do not have an effect on the information that was presented to the RAB or the public. Technical deficiencies might include, for example mathematical errors or addition of activities in the Capital Fund Plan that were already included in the PHA's Five-Year Plan.

   In the case of technical deficiencies, the PH Director will disapprove the plan and specify a date for the re-submission of the plan with the required corrections. Typically, the turn-around time for approval of a corrected plan is approximately three weeks and should fall within the 75-day review period. A PHA with a Plan deemed technically deficient is not required to consult with the Resident Advisory Board (RAB) or the public after correcting the deficiency, and the PHA may re-submit the Plan without the RAB's assessment or a public comment/review period.

2. PHA Plans that are disapproved for substantive deficiencies require consultation with the RAB and are subject to a comment period and a public hearing. The PH Director will specify a reasonable time for re-submission of the plans to allow for correction of deficiencies and the consultation process within the 75-day review period. Substantive deficiencies are those that have an effect on the information that was presented to the RAB or to the public. Omitting a Capital Fund Plan is an example of a "substantive deficiency."

   HUD will not release funding under the Capital Fund Program and the Public Housing Drug Elimination program until the PHA Plan is approved.

Exhibit 10
PHA Plan Review Process



6.5 Troubled PHAs

The Troubled Agency Recovery Center (TARC) will conduct the review of PHA Plans of housing authorities designated as "troubled." The TARCs will issue a written approval or disapproval letter for these PHA Plans. PHA Plans for Troubled PHAs will not be automatically approved if HUD does not release a document by the end of the 75-day review period.

The TARC may request additional documentation from the PHA, such as Recovery Plans, to aid in making determinations during review of a PHA Plan from a "troubled" PHA.

The TARC and the Public Housing Director will determine which office will conduct the review for those PHAs in transition from or to a "troubled" category.

6.6 Moving To Work (MTW) Demonstration

PHAs under the Moving to Work Demonstration (MTW) Program may have distinct requirements in lieu of the PHA Plan, determined by their Moving To Work Demonstration Agreement. PHAs operating block grants are exempt from the requirement to submit a PHA Plan and are directed to submit an Annual MTW Plan and an Annual MTW Report. The Annual MTW Plan is a comprehensive framework for the PHA's activities, including funding allocations. The Annual MTW Plan must be submitted to HUD with a board resolution approving the plan and certifying that a public hearing was held regarding the plan. The Annual MTW Report includes a Consolidated Financial Report describing the sources and uses of funds and will compare the PHA's performance with its Annual MTW Plan. HUD's Office of Policy, Program and Legislative Initiatives (OPPLI) has the lead responsibility for the review and approval of MTW Annual Plans. Field Offices have an advisory role in the review of these plans.

MTW PHAs that do not operate block grants are not exempt from the requirement to submit a PHA Plan and must include a separate section describing the activities and uses of funding the PHA is undertaking under the MTW Program. These descriptions will be reviewed by the Field Office following the PHA Plan review process.

6.7 Contacting Local Offices

It is recommended that a PHA contact the Field Office through electronic mail to advise of its submission of the PHA Plan. Field Offices should also be advised when the PHA sends the required certifications or any other supporting document requested by the Field Office for the review of the Plan. A complete list of Public and Indian Housing Field Offices is available on the HUD PIH web site at:
http://www.hud.gov/offices/pih/about/field_office.cfm

Section Seven
Amendments/Modifications to the Plan

7.1 How the PHA Defines Significant Amendments and Substantial Deviations/ Modifications to the Plan

As is described in 24 CFR 903.21, the PHA may amend or modify its Annual or Five-Year Plan after submitting the plan to HUD. The PHA may modify, amend or change any policy, rule, regulation or other aspect of its plan. If the modification or change is considered a "significant amendment" or "substantial deviation/modification" as defined by the PHA, then the PHA must comply with a number of requirements similar to those required at initial development and submission of the PHA Plan.

See Notice PIH 99-31; Notice PIH 99-51 (Attachment B, Section 4, 19); Notice PIH 2000-43 (IV.B.) 24 CFR 903.21, and 24 CFR 903.7(r)

HUD has afforded PHAs local discretion in defining the terms "significant amendment" and "substantial deviation." In the *Final Rule* for the PHA Plan, HUD indicated that these terms should be defined at the local level as part of the public participation in the PHA Plan process. The PHA must state the basic criteria for the definitions in its annual plan, and must provide its definition of significant amendment and substantial deviation/modification in Section 18D of the PHA Plan template or as an attachment to the PHA Plan.

Notice PIH 99-51 provided a working definition for those PHAs that had not yet submitted Year 1 Plans that defined these terms. The definition was as follows:

- Changes to rent or admissions policies or organization of the waiting list;

- Additions of non-emergency work items (items not included in the current Annual Statement or Five-Year Action Plan) or change in the use of replacement reserve funds under the Capital Fund;
- Additions of new activities not included in the current PHDEP Plan; and
- Any change with regard to demolition or disposition, designation, homeownership programs or conversion activities.

7.2 Requirements for Significant Amendments to the PHA Plan

Any significant amendment or substantial deviation/modification to a PHA Plan is subject to the same requirements as the original PHA Plan (including time frames). Following are the requirements:

- The PHA must consult with the Resident Advisory Board (RAB) (as defined in 24 CFR 903.13);
- The PHA must ensure consistency with the Consolidated Plan of the jurisdiction(s) (as defined in 24 CFR 903.15); and
- The PHA must provide for a review of the amendments/modifications by the public during a 45-day public review period (as defined in 24 CFR 903.17).
- The PHA may not adopt the amendment or modification until the PHA has duly called a meeting of its Board of Directors (or similar governing body). This meeting, at which the amendment or modification is adopted, must be open to the public.
- The PHA may not implement the amendment or modification until notification of the amendment or modification is provided to HUD and approved by HUD in accordance with HUD's plan review procedures (as defined at 24 CFR 903.23).

7.3 Submission to HUD

Timing: A PHA may submit a significant amendment or substantial deviation/modification to HUD up until the last day prior to the date when the next year's PHA Plan is due. For example, if a PHA's next year plan is due on April 17, then the PHA may submit a significant amendment to the current plan to HUD until April 16.

Format: The PHA may submit its significant amendment or substantial deviation/modification in the same way the original PHA Plan is submitted to HUD. The PHA submits its Plan, with the changed portion included, as a new version. This plan is submitted electronically to HUD following the procedure as described in Section 5 of this Guide and on the PHA Plans web site.

Appendix A
Resources for PHA Plan Development and Submission

1. PHA Plans web site: http://www.hud.gov/pih/pha/plans/phaps-home.html

The PHA Plans web site is an invaluable resource for PHA Plan development. The site contains:

- New information
- Template
- Guidance
- Notices
- Frequently Asked Questions
- Technical Submission guidance

2. Federal Regulations Related to the PHA Plan: http://www.hudclips.org

- *Final Rule (24 CFR Part 903, published in the Federal Register 10/21/99)*
- *FR 08/14/2000 amending 24 CFR Part 903.11*
- *FR 12/22/2000 amending 24 CFR Part 903 to incorporate deconcentration requirement*
- *FR 2/5/2001 amending 12/22/2000 Deconcentration Rule*

3. PIH Notices and Guidance

- Instructions: Amended Attachment B to Notice PIH 99-33. This document presents the entire text of the Instructions in "Attachment B," as amended by 99-51
- Notice PIH 99-51(which amended Notice PIH 99-33)
- Notice PIH 2000-12
- Notice PIH 2000-22
- Notice PIH 2000-43
- Notice PIH 2001-4
- Notice PIH 2001-4a revised
- Notice PIH 2001-26

4. PHA Plan Template

- The Plan template was issued July, 1999 (with exceptions noted in Notice PIH 99-51 and Notice PIH 2000-43)
- PHDEP Plan template issued July, 1999
- Small PHA Plan Update: see instructions in Notice PIH 2000-43
- All templates are available on the PHA Plans web site.

5. PHA Plan Related Certifications

- PHA Certifications of Compliance: December, 1999
- Certification of PHA Plans Consistency with the Consolidated Plan: July, 1999
- All required Certification Forms are available on the PHA Plans web site

6. Contacts and Help Numbers

PHA Plan Resource Desk (Policy Office)
Phone: (866) 359-3608
Fax: (301) 652-3635
E-mail: PHAPlan_Help@abtassoc.com

PHA Plans Team (Technical questions)
E-mail: PIH_PHA_PLANS@hud.gov

Appendix B
Glossary of Terms

CFP: Capital Fund Program, a grant program that replaced the Comprehensive Grant Program (CGP) and the Comprehensive Improvement Assistance Program (CIAP) in the QHWRA. It is distributed by formula.

Consolidated Plan: A Five-Year and Annual Plan on housing and community development needs and activities that is developed by cities, counties, and States that receive Community Development Block Grants (CDBG), HOME, and/or homeless grants from HUD. See regulations at 24 CFR Part 91.

Discretionary policies: Those instances in which HUD regulations do not specify the policies or activities a PHA must adopt, leaving the PHA the freedom to make its own choices.

FSS: Family Self-Sufficiency program, a self-sufficiency program run by PHAs, in collaboration with local community resources, for its public housing and Section 8 residents.

High performer: A performance designation awarded by HUD to a housing authority.

Jurisdiction: The geographic area(s) served by a PHA or Consolidated Plan agency, such as cities, counties, or States.

MTCS: Multifamily Tenant Characteristics Systems, a database for Section 8 and public housing tenant information collected from PHAs nationwide.

PHA: Public housing agency.

PHAS: Public Housing Assessment System, the method by which HUD evaluates a PHA's physical housing stock, financial and management

operations, and resident satisfaction. [Note: for the latest guidance on PHAS and performance designation, please see HUD's Real Estate Assessment Center web site at: http://www.hud.gov/offices/reac/index.cfm.]

PHDEP: Public Housing Drug Elimination Program, which provides funding to improve the safety of public housing.

QHWRA: Quality Housing and Work Responsibility Act of 1998, the legislation that instituted many changes in the operation and programs in public housing, including the creation of PHA Plans.

RAB: Resident Advisory Board, a board whose membership consists of individuals that reflect and represent the residents assisted by a PHA.

RC: Resident Council, a nonprofit organization or association consisting of residents of public and assisted housing that meets the HUD requirements for official recognition by HUD and the PHA.

Section 8 tenant-based assistance: Section 8 vouchers, are rental assistance subsidies used by low-income families to find housing in the private market.

Small PHA: A PHA with fewer than 250 public housing units. A PHA of this size that is not designated as troubled is eligible to submit a streamlined PHA Plan. A PHA that has 250 or fewer units of public housing and 250 and fewer Section 8 vouchers can submit the "Small PHA Plan Update" in years 2 through 5 of the five-year planning cycle.

Standard performer: A performance designation awarded by HUD to a housing authority.

Supporting documents: Documents and exhibits, applicable to a PHA's policies, programs, and operations, that are made available with the PHA Plan for public inspection, but are not submitted to HUD for review.

TANF: Temporary Assistance for Needy Families, the public assistance program created by the welfare reform legislation of 1996.

TARC: Troubled Agency Recovery Center, HUD's organization to assist PHAs designated troubled by HUD to improve their management capacity.

Troubled PHA: A performance designation awarded by HUD to a housing authority.

Deregulation for Small PHAs – Requesting to be PHAS Assessed

If your Public Housing Agency (PHA) qualifies for the Deregulation for Small PHAs, (*24 CFR Parts 902, 903, and 985 Deregulation for Small Public Housing Agencies; Final Rule)* you have the option to request to be Public Housing Assessment System (PHAS) assessed in the exempt year. For PHAs who qualify for the exemption, an e-mail notification will be sent from the Office of Public and Indian Housing Real Estate Assessment Center (PIH-REAC) to the PHA Executive Director (ED) indicating the PHA is exempt from PHAS for that year. Once the PHA ED receives this e-mail, the following must be completed to request to be PHAS assessed:

- Read the entire e-mail notification to confirm that the PHA has been declared PHAS exempt based upon the Small PHA Deregulation Rule.

- If exempt and you choose to be PHAS assessed, the PHA ED must e-mail the PHAS mailbox at phas@hud.gov within **10 calendar days** after the e-mail notification has been sent by the PIH-REAC. The e-mail must include the following:

  - PHA name
  - PHA ID
  - Fiscal year end (FYE)
  - A forwarded copy of the e-mail notification received from the PIH-REAC
  - A clearly stated request to be PHAS assessed
  - Executive Director name

- If the PIH-REAC does **not** receive an e-mail before midnight on the 10th calendar day after the notification is sent, it will include the PHA in the PHAS exempt list. Due to strict timeframes needed to order inspections and a resident survey, requests for an assessment received after 10 calendar days **cannot** be honored. An example timeline for the 6/30/04 FYE PHAs is provided below:

Step	Activity	Date
1	PHA ED receives Deregulation for Small PHAs exempt e-mail from PIH-REAC approximately five (5) months prior to FYE.	Monday, February 2, 2004
2	PHA ED e-mails the PHAS mailbox if they would like to be PHAS assessed.	Thursday, February 12, 2004
3	PIH-REAC determines the final Deregulation for Small PHAs exempt list.	Friday, February 13, 2004

- Within 2 business days of the request, the PHA ED will receive an e-mail confirmation from the PIH-REAC acknowledging receipt of the request to be PHAS assessed.

- Please note the following considerations when determining if you would like to request to be PHAS assessed:

  - If a PHA is exempt from PHAS, the previous year's score will be used for capital fund bonus purposes.
  - If a PHA is exempt from PHAS, their designation in the PIH-REAC PHAS system will show "Small PHA Deregulation". It will not show the previous year's PHAS score or designation.

- If a PHA requests to be PHAS assessed in an exempt year, a new PHAS score will be generated for that year, which may result in a **lower score and designation**. For example, if the PHA is a high performer in Fiscal year (FY) 2002 and is exempt from PHAS for FY 2003, they may request to be PHAS assessed in FY 2003. Once assessed, the FY 2003 score may drop the PHA's designation to standard performer, and therefore no capital fund bonus would be provided to that PHA.
- If a PHA requests to be PHAS assessed in an exempt year, they will be **assessed again** the following year. Requesting to be PHAS assessed in an exempt year does not lead to an exemption the following year.

Should you have any questions regarding the process for requesting to be PHAS assessed, please e-mail the PHAS mailbox.

List of References for Financial Management/Operating Subsidy

PIH Notice 2012-2 – Guidance on PIH Operating Fund

PIH Notice 2013-09 – Use of Operating Reserves for Capital Improvements

PIH Notice 2016-18 – Guidance on Full Flexibility for Eligible Small PHAs

PIH Notice 2018-03 – Guidance on Use of Operating Subsidy for Capital Fund Purposes for Subsidy Appropriated and Allocated for CY18 and subsequent years.

SD-2015-01 – Transition to 2CFR Part 200, Cost Principles and Audit Requirements

U. S. Department of Housing and Urban Development
Louisville Field Office, Region IV
601 West Broadway, Room 110
Louisville, Kentucky 40202

KHA 2015 Mid-Year Conference
-Back to Basics: File Maintenance-

Most important thing to remember about File Maintenance is that they should be easily auditable!

Financial Management Handbook Records Retention

Page 2: Application files (admission), other than copies in tenant files.

Public Housing Occupancy Guidebook-File Documentation

7.11 File Documentation
Each applicant and tenant file must contain verification of the following:
Names, relationship to head, birth date, social security number and citizenship or eligible immigrant status (Declaration of Section 214 Status) of all family members; names, status in the household, birth date, social security number and citizenship or eligible immigrant status of Live-in Aides and foster children;
Disability status but not the specific "description of the disability";
Amounts and sources of income of all family members; net family assets; deductions from income (for rent computation);
Rent computation;
Admission preferences (if any);
Screening information (tenant history, credit history, home visit record, verification of criminal history);

The PHA must establish a system of records management that ensures that any criminal record received by the PHA from law enforcement agencies is;

(1) Maintained confidentially;
(2) Not misused or improperly disseminated; and
(3) Destroyed once the purpose for which the record was requested has been accomplished.

*Criminal records must not be filed in the applicant or tenant files. Instead, the file should document that a criminal background check was conducted, that the applicant passed the check or did not pass the check, and the source of the information. Criminal background record checks should be retained separately from the applicant file for those applicants denied housing until the expiration of the period for requesting an informal hearing to challenge to the PHA's decision. The records should be destroyed at the expiration of the period or at the conclusion of the informal hearing or any litigation.

The PHA also must establish a system of records management that ensures that any information the PHA receives from a drug abuse treatment facility about a person is

(1) Maintained confidentially;

(2) Not misused or improperly disseminated; and

(3) destroyed not later than 5 business days after the PHA makes the final decision to admit the person to public housing; or

(4) Destroyed following expiration of the period for filing a challenge to a PHA decision to deny housing or at the conclusion of litigation.

*These records must never be retained in the applicant or tenant file, but must be retained separately and securely.

HCV Program Accounts and Records

(**24 CFR Ch. IX (4–1–14 Edition)** § 982.158 Program accounts and records.)

(e) During the term of each assisted lease, and for at least three years thereafter, the PHA must keep:
(1) A copy of the executed lease;
(2) The HAP contract; and
(3) The application from the family.
(f) The PHA must keep the following records for at least three years:
(1) Records that provide income, racial, ethnic, gender, and disability status data on program applicants and participants;
(2) An application from each ineligible family and notice that the applicant is not eligible;
(3) HUD-required reports;
(4) Unit inspection reports;
(5) Lead-based paint records as required by part 35 subpart B of this title.
(6) Accounts and other records supporting PHA budget and financial statements for the program;
(7) Records to document the basis for PHA determination that rent to owner is a reasonable rent (initially and during the term of a HAP contract); and
(8) Other records specified by HUD.

HUD 50058 form

24 CFR Ch. IX (4–1–14 Edition) PART 908—ELECTRONIC TRANSMISSION OF REQUIRED FAMILY DATA FOR PUBLIC HOUSING, INDIAN HOUSING, AND THE SECTION 8 RENTAL CERTIFICATE, RENTAL VOUCHER, AND MODERATE REHABILITATION PROGRAMS.

PART 5—GENERAL HUD PROGRAM REQUIREMENTS; WAIVERS

24 CFR Ch. IX (4–1–14 Edition)

Subpart B—Disclosure and Verification of Social Security Numbers and Employer Identification Numbers; Procedures for Obtaining Income Information. § 5.210-§ 5.240

Subpart E—Restrictions on Assistance to Noncitizens. § 5.500-§ 5.528

Subpart I—Preventing Crime in Federally Assisted Housing—Denying Admission and Terminating Tenancy for Criminal Activity or Alcohol Abuse. § 5.850-§ 5.861.

Subpart J—Access to Criminal Records and Information. § 5.901-§5.905.

EXHIBIT 6-2

RECORDS RETENTION

DESCRIPTION OF RECORDS	SUGGESTED METHOD OF FILING	RECOMMENDED RETENTION
Adjustment Slips	Numerically in a binder or in tenant's file.	Dispose 2 years following audit.
Administrative Contracts, including amendments, waivers & related correspondence.	Chronologically, with separate folder for each contract.	Disposal not recommended.
Advance Notes (see Financing Records).		
Analysis of Debt Amortization Funds Investments and Analysis of Fiscal Agents (see Financing Records).		
Analytical Tenant Ledger Control.	Chronologically in a binder.	Dispose of 4 years following audit.
Annual Contributions Contract (ACC), including amendments, waivers & related correspondence.	Chronologically, with separate folder for each contract.	Disposal not recommended.

RECORDS RETENTION

DESCRIPTION OF RECORDS	SUGGESTED METHOD OF FILING	RECOMMENDED RETENTION
Application files (admission), other than copies in tenant files.		
1. Pending and eligible Applications.	Alphabetically by name in a file subdivided to show eligibility status, unit range, unit size required, with a separate folder for each application.	Disposal not recommended while so classified.
2. Selected application.	Alphabetically by name, with a separate folder for each.	Disposal not recommended while so classified.
3. Withdrawn and ineligible applications.	Alphabetically by name, with separate folder for each.	Disposal 2 years from time applications are classified, withdrawn or ineligible.
Application for reservation of Low-Income Public Housing funds for Preliminary Loan.	A separate folder for each.	Disposal not recommended.

RECORDS RETENTION

DESCRIPTION OF RECORDS	SUGGESTED METHOD OF FILING	RECOMMENDED RETENTION
Balance Sheet (see Financial Reports).		
Bank Statements, reconciliations, & canceled checks.	Chronologically in a folder, with canceled checks in numerical sequence attached.	Transfer to storage after audit. Dispose when 6 years old.
Bonds (see Financial Records)		
Budgets; operating & supporting schedules for each fiscal year of operation; revision, other budget data, and related records.	By fiscal year, with a separate folder for each ACC	Transfer to storage 3 years following end of budget fiscal year end. Dispose when 6 years old.
Cancel Checks (see Bank Statements)		
Cash disbursement and cash receipts register.	In a binder.	Transfer to storage after register audit. Dispose 10 years following close of fiscal year end.
Cash Receipts (Rent, security Deposits, other income, etc.)	Numerically in a binder.	Dispose 3 years following audit.
Certificate of cremation bonds & interest coupon.	Chronologically in a separate folder.	Dispose 4 years following report of date.

RECORDS RETENTION

DESCRIPTION OF RECORDS	SUGGESTED METHOD OF FILING	RECOMMENDED RETENTION
Construction, demolition, & equipment contract records:	Chronologically, with separate folder for each contract.	Transfer to storage after final contract settlement.
1. Bid forms, notice to proceed, progress reports, photographs, & other related records, except those in item 3.	Chronologically, with separate folder for each contract.	Dispose 10 years following final contract settlement.
2. Unsuccessful bids.	Chronologically, with separate folder for each contract.	
3. Contract forms, specifications, plans, and addenda, including change orders, guarantee bonds and special warranties.	Chronologically, with separate folder for each contract.	Disposal not recommended.
4. Contractor's payroll.	Chronologically, with separate folder for each contract.	Dispose 3 years following date of completion of contract, as established by Certificate of Completion.
5. Architects' & Engineers' Contracts.	Chronologically, with separate folder for each contract.	Same as item 1.

RECORDS RETENTION

DESCRIPTION OF RECORDS	SUGGESTED METHOD OF FILING	RECOMMENDED RETENTION
Contract Register, Development.	In a binder.	Dispose 2 years following audit of development costs or 3 years following issuance of Actual Development Cost Certificate, whichever is the latter.
Contract Register, Management.	In a binder.	Dispose 3 years following contract settlement.
Contracts for financial assistance including amendments, waivers, and related correspondence.	Chronologically, with a separate folder for each contact and related records.	Disposal not recommended.
Cooperation agreements and amendments.	Chronologically, with a folder for each subject.	Disposal not recommended.
Correspondence files pertaining to routine management & maintenance matters.	Chronologically, with a separate folder for each subject.	Dispose 2 years following audit.
Correspondence which involves no policy matters.	Chronologically, with separate folder for each subject.	Dispose 2 years following audit.
Correspondence which involves policy and procedure matters.	Chronologically, with separate folder for each subject.	Disposal not recommended.

RECORDS RETENTION

DESCRIPTION OF RECORDS	SUGGESTED METHOD OF FILING	RECOMMENDED RETENTION
Development Cost Records.	Chronologically, with separate folder	Disposal not recommended.
Employee records of PHA employees (see Personnel Records).		
Eviction Records (see tenant files).		
Expense ledger.	In a binder.	Transfer to storage 3 years following audit. Dispose 10 years following close of fiscal year involved.
Financial Reports:		
Low-Income Public Housing		
For Preliminary Loan Contracts		
Balance Sheet-Preliminary Loan Period, Form HUD-62601	Chronologically, in a separate folder for each fiscal year.	Transfer to storage 3 years after loan repayment or after audit is completed. Dispose 10 years following audit.
Statement of Preliminary Planning Cost, Form HUD-52602.		Transfer to storage 3 years after loan repayment or after audit is completed. Dispose 10 years following audit.

RECORDS RETENTION

DESCRIPTION OF RECORDS	SUGGESTED METHOD OF FILING	RECOMMENDED RETENTION
Financial Reports (continued):		
For Annual Contributions contract and Administration Contracts.		
Balance Sheet, Form HUD 52595.	Chronologically in a separate folder for each fiscal year.	Transfer to storage 3 years following period covered. Disposal not recommended.
Statement of Income and Expenses and Changes in Accumulated Surplus or Deficit from Operations, Form HUD-52596.	Chronologically in a separate folder for each fiscal year.	Transfer to storage 3 years following period covered. Disposal not recommended.
Analysis of Non-routine Expenditures, Form HUD-52598.	Chronologically in a separate folder for each fiscal year.	Transfer to storage 3 years following period covered. Disposal not recommended.
Statement and Voucher for Accruing Annual Contributions, Form HUD-52266.	Chronologically in a separate folder for each fiscal year.	Transfer to storage 3 years following period covered. Disposal not recommended.

RECORDS RETENTION

DESCRIPTION OF RECORDS	SUGGESTED METHOD OF FILING	RECOMMENDED RETENTION
Financial Reports (continued):		
Statement and Voucher for Accruing Annual Contributions (For Non-permanently Financed PL-671 Projects), Form HUD-52435.	Chronologically, in a separate folder for each fiscal year.	Transfer to storage 3 years following period covered. Disposal not recommended.
Statement of Initial Operating Income & Expenses, Form HUD-52603.	Chronologically, in a separate folder for each fiscal year.	Transfer to storage 3 years following period covered. Disposal not recommended.
Computation of Payments in Lieu of Taxes, Form HUD-52267.	Chronologically, in a separate folder for each fiscal year.	Transfer to storage 3 years following period covered. Disposal not recommended.
Section 23 Projects		
Balance Sheet, Form HUD-52595.	Chronologically, in a separate folder for each fiscal year.	Transfer to storage 3 years following period covered. Disposal not recommended.
Statement of Income & Expenses & Changes in Accumulated Surplus or Deficit from Operations, Form HUD-52596.	Chronologically, in a separate folder for each fiscal year.	Transfer to storage 3 years following period covered. Disposal not recommended.

RECORDS RETENTION

DESCRIPTION OF RECORDS	SUGGESTED METHOD OF FILING	RECOMMENDED RETENTION
Financial Reports (continued):		
Analysis of Non-routine Expenditures, Form HUD-52598.	Chronologically, in a separate folder for each fiscal year.	Transfer to storage 3 years following period covered. Disposal not recommended.
Statement of Operating Receipts & Expenditures, Form HUD-52599.	Chronologically, in a separate folder for each fiscal year.	Transfer to storage 3 years following period covered. Disposal not recommended.
Statement & Voucher for Basic Annual Contributions-Leased Housing, Form HUD-52981.	Chronologically, in a separate folder for each fiscal year.	Transfer to storage 3 years following period covered. Disposal not recommended.
Balance Sheet, Form HUD-52595.		
Section 8 Existing Housing Assistance Payments Program & Section 23 Existing Housing Payments		
Voucher for payment of Annual contributions for Housing Assistance Payments Program, Form HUD-52681.	Chronologically, in a separate folder for each fiscal year.	Transfer to storage 3 years following period covered. Disposal not recommended.

RECORDS RETENTION

DESCRIPTION OF RECORDS	SUGGESTED METHOD OF FILING	RECOMMENDED RETENTION
Financial Reports (continued):		
Operating Statement Housing Assistance Payments Program, Form HUD-52682.	Chronologically, with a separate folder from each numbered item.	Transfer to storage 3 years following period covered. Disposal not recommended.
Financing Records		
Preliminary Loan Notes, including related documents and correspondence.		Dispose 4 years following audit and payment of note.
Advance Notes including related documents and correspondence.		Dispose 4 years following audit and payment of note.
Temporary Notes including related documents and correspondence.		Dispose 7 years following audit and payment of note.
Records relating to permanent financing: Bonds and Notes, including related documents and correspondence.		Disposal not recommended.
Fiscal Agents' Agreement.	In a separate folder.	Disposal not recommended.

RECORDS RETENTION

DESCRIPTION OF RECORDS	SUGGESTED METHOD OF FILING	RECOMMENDED RETENTION
Financial Reports (continued):		
General Depository Agreement	In a separate folder.	Disposal not recommended.
General Ledger.	In a binder	Transfer to storage 3 years following period covered. Disposal not recommended.
Housing surveys and census tabulations.	Chronologically, with a separate folder for each survey or census tabulation.	Dispose after being superseded
Income Ledger.	In a binder.	Dispose 10 years following close of fiscal year. Transfer to storage after audit.
Initial Operating Ledger.	In a binder.	Disposal not recommended.
Insurance and Fidelity Bonds.	In a separate folder.	Dispose 10 years following expiration dates.
Insurance Register. Inventory of Expendable Equipment, Materials and Supplies, or Non-expendable Equipment.	In a binder. Chronologically, in a separate folder.	Dispose 6 years after audit. Dispose 5 years after audit.

RECORDS RETENTION

DESCRIPTION OF RECORDS	SUGGESTED METHOD OF FILING	RECOMMENDED RETENTION
Management Reports:	Chronologically, with a separate folder for each project.	Transfer to storage following audit. Dispose 4 years after audit.
Project Reports, Reports on families moving into Low-Income Public Housing.	Chronologically in a separate folder for each project.	Transfer to storage following audit. Dispose 4 years after audit.
Report on Occupancy.	Chronologically in a separate folder for each project.	Transfer to storage following audit. Dispose 4 years after audit.
Report on Regular Reexamination of families in Low-Income Public Housing	Chronologically in a separate folder for each project.	Transfer to storage following audit. Dispose 4 years after audit.
Report on Initial Occupancy of Low-Income Public Projects, From HUD-52209.	Chronologically in a separate folder for each project.	Transfer to storage following audit. Dispose 4 years after audit.
Reports on Unit Availability, form HUD-51230.		
Certificates Regarding Tenants Admitted to Low-Income Public Housing.		

EXHIBIT 6-2 PAGE 12 OF 18

RECORDS RETENTION

DESCRIPTION OF RECORDS	SUGGESTED METHOD OF FILING	RECOMMENDED RETENTION
Regional Office Reports:		
Coordinated Management Reports.	In a separate folder.	Dispose of all but the two latest.
Individual Management Reports.	Each in a separate folder.	Dispose of all but the two latest.
A-Management Review		
B-Occupancy Audit		
C-Utilities Review		
D-Project Engineering Survey		
E- Maintenance Operations Review		
F-Review by Specialists		
Regional Office Reports:		
Audit Reports	Chronologically in a folder	Retain for next 2 audits. Disposal not recommended.
Minutes of Meetings of PHA, complete with resolutions, motions, notices of meeting, certificates of the Secretary and other related documents.	Chronologically in a binder.	Disposal not recommended.

RECORDS RETENTION

DESCRIPTION OF RECORDS	SUGGESTED METHOD OF FILING	RECOMMENDED RETENTION
Regional Office Report: (continued)		
Motor Vehicle Titles.	By vehicle number in a separate folder.	Disposal when PHA/IHA disposes of vehicle.
Non-expendable Equipment Record Cards.	Numerically by equipment account number and alphabetically, by name of equipment.	Dispose 3 years after item is disposed of.
Personal Property Disposition Records:		
1. Bid and contract forms, bills of sale, other documents evidencing sale.	By contractor control number, with folder for the papers relating to each transaction.	
A. Transaction amount $1,000 or less.		Dispose 5 years after final payment.
B. Transaction amount between $1,001 and $25,000.		Dispose 5 years after final payment.

RECORDS RETENTION

DESCRIPTION OF RECORDS	SUGGESTED METHOD OF FILING	RECOMMENDED RETENTION
Personal Property Disposition Records (continued):		
C. Transaction amount $25,001 and over.		Dispose 10 years after final payment.
Personnel Records:		
1. Employee Records of local PHA employees.	Alphabetically, by name of employee in a card case.	Dispose 10 years after employee separation.
2. Individual Earning Records of PHA employees.	Alphabetically, by name of employee in folder.	Dispose 4 years following audit.
3. Leave Records of Employees.	By pay period, in binder.	Dispose 4 years following audit.
4. Position Description of PHA employees	Alphabetically, by position title, with a separate folder for each position title.	Dispose 3 years after position is abolished or position description is suspended.
5. Payrolls	By pay period, in binder.	Dispose 4 years after audit.

RECORDS RETENTION

DESCRIPTION OF RECORDS	SUGGESTED METHOD OF FILING	RECOMMENDED RETENTION
Personnel Records (continued):		
6. Unsuccessful Applications for Appointments.	Alphabetically, by name in a separate folder.	Dispose 6 months following date of application.
Petty Cash Vouchers	Attached to voucher check copy.	Dispose 4 years following audit.
Preliminary Planning Cost Ledger.	In a binder	Dispose 4 years following transfer from preliminary planning cost to general ledger
Property Ledger.	In a binder.	Dispose 4 years following end of fiscal year involved.
Real Property Disposition Records.	By contract number, with separate folder for the papers relating to each transaction.	Disposal not recommended.
Rent Roll Control & Analysis of Dwelling Rent Charges.	Chronologically, in a binder.	Dispose 5 years following audit.
Request for Refund of Security Deposit and Unearned Rent.	Attached to voucher check copy.	Dispose 5 years following audit.

RECORDS RETENTION

DESCRIPTION OF RECORDS	SUGGESTED METHOD OF FILING	RECOMMENDED RETENTION
Revolving Fund, including General Ledger, Cash Receipts Register and Cash Disbursements register.	In a binder.	Dispose 15 years following end of the fiscal year involved.
Schedules of Auditor's Adjustments.	File with audit report.	Disposal not recommended.
Schedules of Maximum Income Limits Related Materials.	Chronologically, in a separate folder.	Dispose 1 year after scheduled is suspended.
Schedules of Rents Demonstration of Financial Feasibility and Related Material.	Chronologically, in a separate folder.	Dispose 1 year after schedule is suspended.
Schedule of Tenants Accounts Receivable.	Chronologically, in a separate folder.	Dispose 2 years after audit.
Summaries of Daily time Reports.	Chronologically, in a separate folder.	Dispose 4 years after audit.

RECORDS RETENTION

DESCRIPTION OF RECORDS	SUGGESTED METHOD OF FILING	RECOMMENDED RETENTION
Tenants Accounts Receivable and Security Deposit Ledger Sheets.	In a binder.	Dispose 3 years after audit for accounts with zero balances or where the claims amount is $25 or less. For claims amounting to more than $25, dispose after conclusion of the case.
Tenant Files	By unit, include all copies of correspondence with tenant.	Transfer to storage 1 year after unit is vacant. Dispose 5 years after audit.

Ideas for PHAs to increase occupancy

1. Marketing Strategies

- **Newspaper Ads –** local, county, regional newspaper. Rural PHAs can run an ad in the nearest large city newspaper.
- **Newspaper Articles –** Make contact with a local reported, have then do a story on the PHA: modernization/CFP projects, resident success stories, events & programs at the PHA, availability of the community room, services provided by the PHA, highlight PHA staff, etc. It is good PR and cheap!
- **Spread the Word –** Attend and speak at local realty board/landlord meetings, attend city council meetings to offset any possible bad PR, work with local service organizations
- **PSAs (Public Service Announcements) –** Speak on the local radio station, highlight the PHAs successes.
- **Local TV Station –** Post a notice or ad on the city's channel
- **Local Service Organizations –** Contact the VFW, sorority/fraternity/alumni organizations, Elks, Eagles, food pantries, churches, etc. People in need contact these organizations for help. Also, these organizations may be looking for a service project (Boy Scout Packs/Troops are always looking to help out their community) and could possible do one at your PHA or could help some of your families in need. Follow up with a newspaper article.
- **Flyers –** Make them vibrant and informational; include office hours and contact info., highlight the subsidized rent, amenities and any programs at the PHA. Include a picture of the development or a floor plan. Post at local grocery stores, Laundromats, libraries, convenience stores, food pantries, churches, civic organizations, payday loan businesses, social service agencies, post office, bank, senior/community centers, etc.
- **Brochures –** Make them bright and informational; include office hours and contact info., highlight the subsidized rent, amenities and any programs at the PHA. Include a picture of the development or a floor plan. Distribute to social service agencies, senior/community centers, churches, civic organizations, etc.
- **Conventions –** If there are any conventions for local support services on homelessness, attend and distribute information and take applications.
- **Presentations –** Speak at local events and organizations. Hand out flyers, landlord and briefing packets (for HCV PHAs). Accentuate the positives, but address any negatives.
- **Banner/Yard Sign –** Post a "for rent" or "vacancy" banner/sign where there is high visibility. Review what you are advertising on your sign. If your PHA is not an elderly only complex and the wording on the sign states elderly housing, you are discouraging other applicants from applying. If your voice mail is set up the same way, or if your ads, brochures, flyers, etc. reflect "elderly" housing, it will also deter families and the nonelderly from applying.

- ❑ **Facebook –** Open a Facebook account for your PHA.
- ❑ **Craigslist –** Advertise on Craigslist or a similar site. It's easy and cheap!
- ❑ **Website –** Create a website for your PHA
- ❑ **Housing.ne.gov** – Register your PHA with this housing resource, it's absolutely free!
- ❑ **PHA informational letter** – Write a brief informational letter about the PHA. Send the letter along with your PHA brochure to the local churches, civic organizations and businesses.
- ❑ **Contact local colleges** – Promote housing to full-time "online" college students.

2. Curb appeal – Is your PHA attractive and inviting for applicants to come in or do applicants drive by when there are other opportunities for housing in the area

3. Share your ideas – Meet with other PHAs, go to NAHRO meetings, brainstorm with other PHAs. What works for one may not work for another, but it may lead to an idea that will work for your PHA

4. Referral system – Have a good network with surrounding PHAs. If the PHA is full and just down the road a short ways, ask them to refer the applicants to your PHA.

5. Tenants – If the tenants value the property and think of this as a great place to live they will usually spread the word and encourage others to apply. Think about it.

6. Competition – Who is your competition for housing? Find out what's out there and the difference between programs or housing. What can you offer that would make your housing a better choice if the applicant had more than one choice for housing?

7. Best Practices – One PHA had the local church/food pantry put a flyer in each basket given to clients. They ended up with some new residents.

8. Merging Units – If your PHA has small efficiency or one bedroom units, consider merging two units, especially if you have need for larger units.

9. Designating units for special use – Review Notice 2011-7 and consider if any PHA units can be designated under one of the authorized categories.

10. Demolition/Disposition – Consider submitting a demo/dispo application to HUD's Special Application Center.

Remember, professionalism goes a long way to keeping residents happy. Let your staff know your expectations on courtesies such as answering the phone, keeping their work area and persons neat, responding to calls/complaints. Keeping the PHA development clean and tidy (curb appeal) extends to the office area also. Set an example for your resident and treat them all in a fair and professional manner; they in turn may also refer family and friends to you.

7.11 File Documentation

Each applicant and tenant file must contain verification of the information listed below:[11]"'

- Names, relationship to head, birth date, social security number and citizenship or eligible immigrant status of all family members;
- Names, status in the household, birth date, social security number and citizenship or eligible immigrant status of Live-in Aides and foster children;
- Disabilities-not specific type of disability.
- Amounts and sources of income of all family members;
- Net Family Assets;
- Deductions from income (for rent computation);
- Rent computation;
- Admission preferences (if any);
- Screening information (tenant history, credit history, home visit record, verification of criminal history); and
- HUD 50058 form.

The PHA must establish a system of records management that ensure that any criminal record received by the PHA from law enforcement agencies is (1) maintained confidentially; (2) not misused or improperly disseminated; and (3) destroyed once the purpose for which the record was requested has been accomplished. ‘Criminal records must not be filed in the applicant or tenant files. Instead, the file should document that a criminal background check was conducted, that the applicant passed the check or did not pass the check, and the source of the information. Criminal background record checks should be retained separately from the applicant file for those applicants denied housing until the expiration of the period for requesting an informal hearing to challenge to the PHA's decision. The records should be destroyed at the expiration of the period or at the end of the informal hearing or any litigation.

The PHA also must establish a system of records management that ensures that any information the PHA receives from a drug abuse treatment facility about a person is (1) maintained confidentially; (2) not misused or improperly disseminated; and (3) destroyed not later than 5 business days after the PHA makes the final decision to admit the person to public housing; or (4) destroyed following expiration of the period for filing a challenge to a PHA decision to deny housing or at the conclusion of litigation.""[11] These records must never be retained in the applicant or tenant file, but must be retained separately and securely.

FY 2018 Fair Market Rent Documentation System

The FY 2018 Kentucky FMR Summary

Final FY2018 Kentucky FMR Metropolitan Area Summary

Metropolitan Area Name	Efficiency	One-Bedroom	Two-Bedroom	Three-Bedroom	Four-Bedroom	FMR Percentile
Allen County, KY HUD Metro FMR Area	$502	$529	$666	$898	$1,106	40
Bowling Green, KY HUD Metro FMR Area	$581	$612	$777	$1,054	$1,327	40
Butler County, KY HUD Metro FMR Area	$467	$479	$620	$857	$981	40
Cincinnati, OH-KY-IN HUD Metro FMR Area	$556	$643	$845	$1,178	$1,370	40
Clarksville, TN-KY MSA	$544	$660	$838	$1,169	$1,314	40
Elizabethtown, KY HUD Metro FMR Area	$531	$563	$749	$1,089	$1,319	40
Evansville, IN-KY MSA	$555	$595	$769	$968	$1,047	40
Grant County, KY HUD Metro FMR Area	$514	$587	$781	$1,136	$1,259	40
Huntington-Ashland, WV-KY-OH HUD Metro FMR Area	$469	$575	$696	$937	$1,134	40
Lexington-Fayette, KY MSA	$568	$639	$820	$1,159	$1,444	40
Louisville, KY-IN HUD Metro FMR Area	$578	$656	$821	$1,119	$1,259	40
Meade County, KY HUD Metro FMR Area	$492	$551	$724	$1,053	$1,275	40
Owensboro, KY MSA	$534	$537	$713	$902	$1,112	40
Shelby County, KY HUD Metro FMR Area	$564	$601	$800	$1,129	$1,366	40

FY2018 Kentucky FMR Local Area Summary

Locality Name	Metropolitan Area Name	Efficiency	One-Bedroom	Two-Bedroom	Three-Bedroom	Four-Bedroom	FMR Percentile
Adair County	Adair County, KY	$443	$466	$620	$814	$851	40
Allen County	*Allen County, KY HUD Metro FMR Area*	$502	$529	$666	$898	$1,106	40
Anderson County	Anderson County, KY	$554	$645	$741	$1,006	$1,009	40
Ballard County	Ballard County, KY	$456	$480	$638	$823	$908	40
Barren County	Barren County, KY	$412	$526	$646	$851	$924	40
Bath County	Bath County, KY	$449	$472	$628	$787	$868	40
Bell County	Bell County, KY	$480	$506	$620	$838	$844	40
Boone County	*Cincinnati, OH-KY-IN HUD Metro FMR Area*	$556	$643	$845	$1,178	$1,370	40
Bourbon County	*Lexington-Fayette, KY MSA*	$568	$639	$820	$1,159	$1,444	40
Boyd County	*Huntington-Ashland, WV-KY-OH HUD Metro FMR Area*	$469	$575	$696	$937	$1,134	40
Boyle County	Boyle County, KY	$494	$528	$691	$927	$1,080	40
Bracken County	*Cincinnati, OH-KY-IN HUD Metro FMR Area*	$556	$643	$845	$1,178	$1,370	40
Breathitt County	Breathitt County, KY	$443	$466	$620	$854	$983	40
Breckinridge County	Breckinridge County, KY	$443	$474	$620	$777	$1,066	40
Bullitt County	*Louisville, KY-IN HUD Metro FMR Area*	$578	$656	$821	$1,119	$1,259	40

FY2018 Kentucky FMR Local Area Summary

Locality Name	Metropolitan Area Name	Efficiency	One-Bedroom	Two-Bedroom	Three-Bedroom	Four-Bedroom	FMR Percentile
Butler County	*Butler County, KY HUD Metro FMR Area*	$467	$479	$620	$857	$981	40
Caldwell County	Caldwell County, KY	$443	$540	$620	$814	$857	40
Calloway County	Calloway County, KY	$448	$532	$702	$953	$956	40
Campbell County	*Cincinnati, OH-KY-IN HUD Metro FMR Area*	$556	$643	$845	$1,178	$1,370	40
Carlisle County	Carlisle County, KY	$468	$492	$655	$821	$906	40
Carroll County	Carroll County, KY	$493	$520	$689	$928	$1,028	40
Carter County	Carter County, KY	$445	$468	$622	$780	$960	40
Casey County	Casey County, KY	$443	$540	$620	$834	$844	40
Christian County	*Clarksville, TN-KY MSA*	$544	$660	$838	$1,169	$1,314	40
Clark County	*Lexington-Fayette, KY MSA*	$568	$639	$820	$1,159	$1,444	40
Clay County	Clay County, KY	$443	$526	$620	$777	$879	40
Clinton County	Clinton County, KY	$443	$487	$620	$777	$844	40
Crittenden County	Crittenden County, KY	$443	$483	$620	$854	$857	40
Cumberland County	Cumberland County, KY	$443	$493	$620	$777	$857	40
Daviess County	*Owensboro, KY MSA*	$534	$537	$713	$902	$1,112	40
Edmonson County	*Bowling Green, KY HUD Metro FMR Area*	$581	$612	$777	$1,054	$1,327	40
Elliott County	Elliott County, KY	$443	$493	$620	$824	$857	40

FY2018 Kentucky FMR Local Area Summary

Locality Name	Metropolitan Area Name	Efficiency	One-Bedroom	Two-Bedroom	Three-Bedroom	Four-Bedroom	FMR Percentile
Estill County	Estill County, KY	$443	$484	$620	$829	$913	40
Fayette County	*Lexington-Fayette, KY MSA*	$568	$639	$820	$1,159	$1,444	40
Fleming County	Fleming County, KY	$443	$466	$620	$805	$857	40
Floyd County	Floyd County, KY	$525	$527	$620	$840	$857	40
Franklin County	Franklin County, KY	$526	$608	$736	$989	$1,064	40
Fulton County	Fulton County, KY	$443	$466	$620	$812	$844	40
Gallatin County	*Cincinnati, OH-KY-IN HUD Metro FMR Area*	$556	$643	$845	$1,178	$1,370	40
Garrard County	Garrard County, KY	$470	$523	$657	$824	$993	40
Grant County	*Grant County, KY HUD Metro FMR Area*	$514	$587	$781	$1,136	$1,259	40
Graves County	Graves County, KY	$443	$474	$620	$804	$954	40
Grayson County	Grayson County, KY	$443	$540	$620	$854	$857	40
Green County	Green County, KY	$443	$466	$620	$777	$844	40
Greenup County	*Huntington-Ashland, WV-KY-OH HUD Metro FMR Area*	$469	$575	$696	$937	$1,134	40
Hancock County	*Owensboro, KY MSA*	$534	$537	$713	$902	$1,112	40
Hardin County	*Elizabethtown, KY HUD Metro FMR Area*	$531	$563	$749	$1,089	$1,319	40

FY2018 Kentucky FMR Local Area Summary

Locality Name	Metropolitan Area Name	Efficiency	One-Bedroom	Two-Bedroom	Three-Bedroom	Four-Bedroom	FMR Percentile
Harlan County	Harlan County, KY	$482	$485	$620	$836	$844	40
Harrison County	Harrison County, KY	$395	$540	$620	$842	$921	40
Hart County	Hart County, KY	$460	$529	$620	$883	$886	40
Henderson County	*Evansville, IN-KY MSA*	$555	$595	$769	$968	$1,047	40
Henry County	*Louisville, KY-IN HUD Metro FMR Area*	$578	$656	$821	$1,119	$1,259	40
Hickman County	Hickman County, KY	$443	$540	$620	$841	$844	40
Hopkins County	Hopkins County, KY	$450	$473	$629	$812	$958	40
Jackson County	Jackson County, KY	$443	$493	$620	$838	$844	40
Jefferson County	*Louisville, KY-IN HUD Metro FMR Area*	$578	$656	$821	$1,119	$1,259	40
Jessamine County	*Lexington-Fayette, KY MSA*	$568	$639	$820	$1,159	$1,444	40
Johnson County	Johnson County, KY	$443	$471	$620	$841	$844	40
Kenton County	*Cincinnati, OH-KY-IN HUD Metro FMR Area*	$556	$643	$845	$1,178	$1,370	40
Knott County	Knott County, KY	$443	$466	$620	$809	$852	40
Knox County	Knox County, KY	$443	$524	$620	$841	$1,008	40
Larue County	*Elizabethtown, KY HUD Metro FMR Area*	$531	$563	$749	$1,089	$1,319	40
Laurel County	Laurel County, KY	$443	$537	$620	$871	$936	40

FY2018 Kentucky FMR Local Area Summary

Locality Name	Metropolitan Area Name	Efficiency	One-Bedroom	Two-Bedroom	Three-Bedroom	Four-Bedroom	FMR Percentile
Lawrence County	Lawrence County, KY	$443	$540	$620	$822	$1,092	40
Lee County	Lee County, KY	$443	$483	$620	$797	$857	40
Leslie County	Leslie County, KY	$465	$493	$620	$854	$857	40
Letcher County	Letcher County, KY	$443	$487	$620	$777	$857	40
Lewis County	Lewis County, KY	$443	$540	$620	$792	$942	40
Lincoln County	Lincoln County, KY	$443	$477	$620	$799	$999	40
Livingston County	Livingston County, KY	$443	$515	$620	$841	$844	40
Logan County	Logan County, KY	$456	$532	$630	$815	$858	40
Lyon County	Lyon County, KY	$443	$471	$620	$839	$857	40
Madison County	Madison County, KY	$496	$525	$698	$997	$1,058	40
Magoffin County	Magoffin County, KY	$443	$532	$620	$824	$844	40
Marion County	Marion County, KY	$453	$552	$634	$795	$1,117	40
Marshall County	Marshall County, KY	$509	$620	$712	$893	$1,029	40
Martin County	Martin County, KY	$443	$540	$620	$902	$1,092	40
Mason County	Mason County, KY	$460	$505	$643	$843	$889	40
McCracken County	McCracken County, KY	$475	$540	$684	$878	$1,060	40
McCreary County	McCreary County, KY	$443	$466	$620	$841	$844	40
McLean County	*Owensboro, KY MSA*	$534	$537	$713	$902	$1,112	40
Meade County	*Meade County, KY HUD Metro FMR Area*	$492	$551	$724	$1,053	$1,275	40

FY2018 Kentucky FMR Local Area Summary

Locality Name	Metropolitan Area Name	Efficiency	One-Bedroom	Two-Bedroom	Three-Bedroom	Four-Bedroom	FMR Percentile
Menifee County	Menifee County, KY	$443	$466	$620	$777	$844	40
Mercer County	Mercer County, KY	$459	$483	$642	$866	$1,131	40
Metcalfe County	Metcalfe County, KY	$443	$540	$620	$777	$844	40
Monroe County	Monroe County, KY	$443	$466	$620	$809	$844	40
Montgomery County	Montgomery County, KY	$495	$520	$692	$894	$1,118	40
Morgan County	Morgan County, KY	$525	$540	$620	$782	$962	40
Muhlenberg County	Muhlenberg County, KY	$443	$512	$620	$777	$963	40
Nelson County	Nelson County, KY	$501	$527	$701	$966	$1,017	40
Nicholas County	Nicholas County, KY	$443	$466	$620	$854	$857	40
Ohio County	Ohio County, KY	$443	$479	$620	$804	$983	40
Oldham County	*Louisville, KY-IN HUD Metro FMR Area*	$578	$656	$821	$1,119	$1,259	40
Owen County	Owen County, KY	$451	$480	$631	$846	$872	40
Owsley County	Owsley County, KY	$443	$493	$620	$854	$857	40
Pendleton County	*Cincinnati, OH-KY-IN HUD Metro FMR Area*	$556	$643	$845	$1,178	$1,370	40
Perry County	Perry County, KY	$443	$493	$620	$841	$844	40
Pike County	Pike County, KY	$482	$507	$674	$845	$918	40
Powell County	Powell County, KY	$443	$502	$620	$821	$844	40
Pulaski County	Pulaski County, KY	$425	$490	$627	$797	$854	40

FY2018 Kentucky FMR Local Area Summary

Locality Name	Metropolitan Area Name	Efficiency	One-Bedroom	Two-Bedroom	Three-Bedroom	Four-Bedroom	FMR Percentile
Robertson County	Robertson County, KY	$480	$556	$672	$843	$929	40
Rockcastle County	Rockcastle County, KY	$468	$471	$620	$857	$1,002	40
Rowan County	Rowan County, KY	$510	$598	$714	$895	$1,052	40
Russell County	Russell County, KY	$503	$506	$620	$813	$1,092	40
Scott County	*Lexington-Fayette, KY MSA*	$568	$639	$820	$1,159	$1,444	40
Shelby County	*Shelby County, KY HUD Metro FMR Area*	$564	$601	$800	$1,129	$1,366	40
Simpson County	Simpson County, KY	$500	$592	$699	$877	$952	40
Spencer County	*Louisville, KY-IN HUD Metro FMR Area*	$578	$656	$821	$1,119	$1,259	40
Taylor County	Taylor County, KY	$447	$489	$626	$788	$929	40
Todd County	Todd County, KY	$457	$541	$639	$801	$870	40
Trigg County	*Clarksville, TN-KY MSA*	$544	$660	$838	$1,169	$1,314	40
Trimble County	*Louisville, KY-IN HUD Metro FMR Area*	$578	$656	$821	$1,119	$1,259	40
Union County	Union County, KY	$525	$540	$620	$849	$1,092	40
Warren County	*Bowling Green, KY HUD Metro FMR Area*	$581	$612	$777	$1,054	$1,327	40
Washington County	Washington County, KY	$461	$529	$645	$809	$1,105	40
Wayne County	Wayne County, KY	$443	$535	$620	$841	$844	40
Webster County	Webster County, KY	$443	$490	$620	$857	$860	40

FY2018 Kentucky FMR Local Area Summary

Locality Name	Metropolitan Area Name	Efficiency	One-Bedroom	Two-Bedroom	Three-Bedroom	Four-Bedroom	FMR Percentile
Whitley County	Whitley County, KY	$457	$481	$639	$801	$1,078	40
Wolfe County	Wolfe County, KY	$443	$466	$620	$777	$857	40
Woodford County	*Lexington-Fayette, KY MSA*	$568	$639	$820	$1,159	$1,444	40

NOTE: Locality Names are links to the Final FY2018 FMR Documentation System for the specific area.

Select a different area

Press Below to select a different State: Select a new State
Or select a Final FY 2018 Metropolitan FMR Area

Lexington-Fayette, KY MSA Select Metropolitan FMR Area

- HUD Home Page
- HUD User Home
- Data Sets
- Fair Market Rents
- Section 8 Income Limits
- FMR/IL Summary System
- Multifamily Tax Subsidy Project (MTSP) Income Limits
- HUD LIHTC Database

Technical Problems or questions? Contact Us.

The Kentucky HUD-VASH Program

Eligible Participants: Homeless veterans and their families

The Department of Housing and Urban Development and the Department of Veterans Affairs Supported Housing (HUD-VASH) program, through a cooperative partnership, provides permanent housing support by HUD and long-term case management and supportive services by Veterans Affairs (VA). HUD provides housing choice vouchers designated for HUD-VASH to participating public housing authorities (PHA) to assist with rent payment. Some of the PHA's have partnered with additional housing authorities/agencies to make the program accessible to veterans in more areas throughout Kentucky and even Southern Indiana.

Eligible homeless veterans receive VA case management and supportive services to aid in stability and recovery from physical and mental health, substance use, and functional concerns contributing to or resulting from homelessness. The program goals include promoting maximum veteran recovery and independence to sustain permanent housing in the community for the veteran and the veteran's family.

This program was designed to address the needs of the most vulnerable homeless veterans. To be eligible for this program, homeless veterans must be VA Health Care eligible and need to participate in case management services in order to obtain and sustain permanent, independent community housing.

For housing assistance, initial contact should be made to the Veterans Affairs Case Manager listed below.

KENTUCKY CONTACTS/AREAS SERVED:

	Veterans Affairs Case Manager	**Housing Choice Voucher Contact**
Ashland	Theresa Carey, E.D., (606) 836-0911	City of Ashland Tony Grubb, (606) 327-5456
Boone County	Nicole Michaelson, (513) 977-6819	Boone County Fiscal Court Joe Clevenger, (859) 334-2105
Bowling Green	Deanna Stone, (615) 767-8376	City of Bowling Green Housing Division Elvira Ramic, (270) 393-3715
Campbell County	Nicole Michaelson, (513) 977-6819	Campbell County Section 8 Sarah Collins, (859) 261-5200

Covington	Nicole Michaelson, (513) 977-6819	City of Covington Section 8 Office Kimberly Phillips, (859) 292-2188
Ft. Knox	Jamie Watts, (502) 287-4178 Lauren Sandmire, (502) 554-6142	Kentucky Housing Corporation (877) 552-7368
Georgetown	Mike Gelfand, (859) 223-4511 ext. 3607	Georgetown Housing Authority Tom Wilson, (502) 863-3773
Hopkinsville	Deanna Stone, (615) 767-8376	Housing Authority of Hopkinsville Vickie Smiley, (270) 887-4275
Lexington	Mike Gelfand, (859) 223-4511 ext. 3607	Lexington Housing Authority Aldean Pleasant, (859) 281-5025
Louisville	Jamie Watts, (502) 287-4178	Louisville Metro Housing Authority Common Assessment Team, (502) 773-3811
Newport	Nicole Michaelson, (513) 977-6819	Neighborhood Foundations, Inc. Tracie Joyner, (859) 581-2533 ext. 216
Paducah	Pam Yost, (618) 997-5311 ext. 59474	City of Paducah Section 8 Office Tammara Tracy, (270) 444-8542
Pikeville	LeeAnn Bills, (304) 529-9141	Housing Authority of Pikeville Jim Hobbs, (606) 432-8124 ext. 12
Somerset	Stephanie Gibson, (859) 494-7738 Mike Gelfand, (859) 223-4511 ext. 3607 Ivan Weir, (606) 676-0786 ext. 7116	Somerset Housing Authority (by Lexington Housing Authority) Robin Wheeldon, (606) 679-1332
Southern Indiana	Jamie Watts, (502) 287-4178	Housing Authority of So. Indiana Sharon Lampkin, (812) 206-9807 New Albany Housing Authority (by the Louisville Metro Housing Authority) Chris Habermill, (812) 206-2053

VA MEDICAL CENTERS (VAMC)/Community Based Outreach Centers (CBOC)

- Covington - Cincinnati VAMC
- Ft. Knox - Ft. Knox Health Center/Louisville Robley Rex VAMC

- Lexington - Lexington VAMC
- Louisville - Louisville Robley Rex VAMC
- Newport - Cincinnati VAMC
- Somerset - Somerset CBOC/Lexington VAMC
- Southern Indiana - New Albany Health Care Center/Louisville Robley Rex VAMC

KENTUCKY DASH FOR VASH -
Is a local HUD Kentucky Office initiative designed to support the HUD-VASH program among veterans within eligible communities. Staff of the office, dressed in running gear for the occasion, visited homeless agencies, soup kitchens, and community agencies, to handout promotional materials about the program and contact information for veterans in order to attain 100 percent participation in the program.

HUD Louisville Office staff raising awareness for the local "DASH for VASH" initiative include (pictured from left to right): Pat Gidron (veteran, MF), Sonja Redmon (veteran, PIH), Jason Hare (veteran, MF), Steve Thomas (CPD), Georgia Turner (PIH), David Railey (veteran, FPM), Anne Roark (PIH), and Milton Suggs (veteran, MF).

- Louisville Pamphlet

OTHER RESOURCES:

- Housing Resources for Homeless Veterans By County
- HUD-VASH Eligibility Criteria
- Frequently Asked Questions about the HUD-VASH Program

For more information about the HUD-VASH program in Kentucky, you may contact Sonja Redmon, Office of Public Housing Revitalization Specialist, at (502) 618-8146.

HUD DENVER OFFICE OF PUBLIC HOUSING
VIOLENCE AGAINST WOMEN ACT RESOURCES

REGULATIONS: 24 C.F.R. §§ 5.2001-5.2011

General rule: An applicant for assistance or tenant assisted under a covered housing program may not be denied admission to, denied assistance under, terminated from participation in, or evicted from the housing on the basis or as a direct result of the fact that the applicant or tenant is or has been a victim of domestic violence, dating violence, sexual assault, or stalking, if the applicant or tenant otherwise qualifies for admission, assistance, participation, or occupancy.

Other notable provisions:

24 C.F.R. § 5.2005(b)-(c): Criminal activity directly relating to VAWA-covered crimes is not a lease violation by, or cause for termination of, the victim.

24 C.F.R. §§ 5.2009, 966.4(e)(9): PHAs/owners may remove the perpetrator from the lease.

24 C.F.R. § 5.2007: PHAs may require documentation by the victim (lists forms of documentation).

24 C.F.R. § 5.2005(a), (e): PHAs must provide a notice of rights and allow emergency transfers.

24 C.F.R. §§ 903.6-903.7: VAWA statement required in PHA 5-year and Annual Plans.

24 C.F.R. §§ 982.315(a)(2), 982.353-982.354, 982.637, 983.261(c): Victims covered by VAWA may move with continued HCV assistance and retain assistance after family break-up.

STATUTE: Violence Against Women Act, Housing Rights Subpart, 42 U.S.C. § 14043e-11

*Note: **42 U.S.C. § 1437c-1** contains PHA 5-year and Annual Plan requirements relating to VAWA.*

FEDERAL REGISTER NOTICES:

81 Fed. Reg. 87812 (Dec. 6, 2016): Violence Against Women Reauthorization Act of 2013: Implementation in HUD Housing Programs; Correction.

81 Fed. Reg. 80724 (Nov. 16, 2016): Violence Against Women Reauthorization Act of 2013: Implementation in HUD Housing Programs.

75 Fed. Reg. 66246 (Oct. 27, 2010): Violence Against Women Act 2005 Conforming Amendments.

OTHER RESOURCES:

HUD-5380: Notice of Occupancy Rights Under the Violence Against Women Act
HUD-5381: Model Emergency Transfer Plan for Victims of Domestic Violence, Dating Violence, Sexual Assault, or Stalking
HUD-5382: Certification of Domestic Violence, Dating Violence, Sexual Assault, or Stalking, and Alternate Documentation
HUD-5383: Emergency Transfer Request for Certain Victims of Domestic Violence, Dating Violence, Sexual Assault, or Stalking

For state and local laws surrounding housing rights for victims of domestic violence:

- State Law Compendium: Housing Rights of Domestic Violence Survivors: nhlp.org/node/1438
- National Network to End Domestic Violence, WomensLaw.org database: http://www.womenslaw.org/laws_state_type.php?id=11166&state_code=GE

Full copies of federal laws, statutes, regulations, Federal Register Notices, and more are available at:

- The U.S. Government Publishing Office: http://www.gpo.gov/fdsys/

HOUSING AUTHORITY OF BIG BLUE NATION

STATEMENT OF PROCUREMENT POLICY

Established for **The Housing Authority of Big Blue Nation** by Board Action on _____. This Statement of Procurement Policy complies with HUD's Annual Contributions Contract (ACC) between the Housing Authority of Henderson and the United States Department of Housing and Urban Development (HUD), Federal Regulations at 2 CFR 200.317 through 200.326, *Procurement Standards,* the procurement standards of the Procurement Handbook for Public Housing Authorities (PHAs), HUD Handbook 7460.8 Revision 2, and applicable State and Local laws.

GENERAL PROVISIONS

General

Purpose of this Statement of Procurement Policy is to: provide for the fair equitable treatment of all persons or firms involved in purchasing by the PHA; ensure that supplies, services, including construction are procured efficiently, effectively, and at the most favorable and valuable prices available to the PHA; promote competition in contracting; provide safeguards for maintaining a procurement system of quality and integrity; and assure that PHA purchasing actions are in full compliance with applicable Federal standards, HUD regulations, and State and Local laws.

Application

This Procurement Policy applies to all procurement actions of the Authority, regardless of the source of funds, except as noted under "exclusions," below. However, nothing in this Policy shall prevent the PHA from complying with the terms and conditions of any grant, contract, gift or bequest that is otherwise consistent with the law. When both HUD and non-Federal grant funds are used for a project, the work to be accomplished with the funds should be separately identified prior to procurement so that appropriate requirements can be applied, if necessary. If it is not possible to separate the funds, HUD procurement regulations shall be applied to the total project. If funds and work can be separated and work can be completed by a new contract, then regulations applicable to the source of funding may be followed.

Definition

The term "procurement," as used in this Policy, includes both contracts and modifications (including change orders) for construction, the procuring, purchasing, leasing, or renting of: (1) goods, supplies, equipment, and materials, (2) construction and maintenance (includes both contracts and modifications and change orders for construction;) consultant services, (3) Architectural and Engineering (A/E) services, (4) Social Services, and (5) other services.

Exclusions

This policy does not govern administrative fees earned under the Section 8 voucher program, the award of vouchers under the Section 8 program, the execution of landlord Housing Assistance Payments contracts under that program, or non-program income, e.g., fee-for-service revenue under 24 CFR Part 990. These excluded areas are subject to applicable State and local requirements. (Delete if you don't have a Section 8 program)

Changes in Laws and Regulations

In the event an applicable law or regulation is modified or eliminated, or a new law or regulation is adopted, the revised law or regulation shall, to the extent inconsistent with these Policies, automatically supersede these Policies.

Public Access to Procurement Information

Most procurement information that is not proprietary is a matter of public record and shall be available to the public to the extent provided in the Kentucky Freedom of Information Act.

PROCUREMENT AUTHORITY AND ADMINISTRATION

The Contracting Officer, who shall be the Executive Director or other individual he or she has authorized in writing, shall administer all procurement transactions. The Executive Director shall issue operational procedures to implement this Statement, which shall be based on Federal Regulations at 2 CFR 200.317 through 200.326, the procurement standards of the HUD Handbook 7460.8, Revision 2. The Executive Director shall also establish a system of sanctions for violations of the ethical standards described in this policy, consistent with State Law.

The Executive Director or his/her designee shall ensure that:

1. Procurement in requirements is subject to annual planning process to assure efficient and economical purchasing. The PHA will periodically review its record of prior purchases, as well as future needs, to: find patterns of procurement actions that could be performed more efficiently or economically; maximize competition and competitive pricing among contracts and decrease the PHA's procurement costs; reduce PHA administrative costs; ensure that supplies and services are obtained without any need for re-procurement, e.g., resolving bid protests; and minimize errors that occur when there is inadequate lead time. Consideration should be given to storage, security, and handling requirements when planning the most appropriate purchasing actions.

2. Contracts and modifications are in writing, clearly specifying the desired supplies, services, or construction, and are supported by sufficient documentation regarding history of the procurement, including as a minimum the method of procurement chosen, the selection of the contract type, the rationale for selecting or rejecting offers, and the basis for the contract price.

3. For procurements other than small purchases, a public notice is given of each upcoming procurement. The public notice should run not less than once each week for two consecutive weeks (or other time period if required by State and Local law) before a solicitation is issued; responses to such notice are honored to the maximum extent practical; a minimum of 15 days (or other time period if required by State and Local law) is provided for preparation and submission of bids or proposals; and notice of contract awards is made available to the public.

4. Solicitation procedures are conducted in full compliance with procurement standards stated in **2 CFR 200.317 through 200.326 and the Procurement Handbook for Public Housing Authorities (PHAs), HUD Handbook 7460.8, Rev 2,** or State and Local laws that are more stringent, provided they are consistent with **2 CFR 200.217 through 200.326.**

5. An independent cost estimate (ICE) is prepared before solicitation issuance and is appropriately safeguarded for each procurement above the small purchase limitation; and a cost or price analysis (CPA) is conducted of the responses received for all procurements.

6. Contract award is made to the responsive and responsible bidder offering the lowest price (for sealed bid contracts) or contract award is made to the offeror whose proposal offers the greatest value to the PHA, considering price, technical, and other factors as specified in the solicitation (for contracts awarded based on competitive proposals); unsuccessful firms are notified within ten days (or other time period required by State or Local law) after contract award.

7. There are sufficient unencumbered funds available to cover the anticipated cost of each procurement before contract award of modification (including change orders), work is inspected before payment and payment is made promptly for contract work performed and accepted; and

8. The PHA complies with applicable HUD review requirements, as provided in the operational procedures supplementing this Statement.

BOARD APPROVAL OF PROCUREMENT ACTIONS

Other than approval of this Procurement Policy, approval by the Board of Commissioners is not required for any procurement action, as permitted under State and local law. Rather, it is the responsibility of the Executive Director to make sure that all procurement actions are conducted in accordance with the policies contained herein.

DELEGATION OF CONTRACTING AUTHORITY

While the Executive Director is responsible for ensuring that the PHA's procurements comply with this Policy, the Executive Director may delegate all procurement authority as is necessary and appropriate to conduct the business of the Agency.

Further, and in accordance with this delegation of authority, the Executive Director shall, where necessary, establish operational procedures (such as a procurement manual or standard operating procedures) to implement this Policy. The Executive Director shall also establish a system of sanctions for violations of the ethical standards described on page 4, consistent with Federal, State, or Local law.

ETHICS IN PUBLIC CONTRACTING

General

The PHA hereby establishes this code of conduct regarding procurement issues and actions and shall implement a system of sanctions for violations. This code of conduct, etc., is consistent with applicable Federal, State, or Local law.

Conflicts of Interest

No employee, officer, Board member, or agent of the PHA shall participate directly or indirectly in the selection, award, or administration of any contract if a conflict of interest, either real or apparent, would be involved. This type of conflict would be when one of the persons listed below has a financial or any other type of interest in a firm competing for the award:

A. An employee, officer, Board member, or agent involved in making the award;

B. His/her relative (including father, mother, son, daughter, brother, sister, uncle, aunt, first cousin, nephew, niece, husband, wife, father-in-law, mother-in-law, son-in-law, daughter-in-law, brother-in-law, sister-in-law, stepfather, stepmother, stepson, stepdaughter, stepbrother, stepsister, half brother, or half sister);

C. His/her partner; or

D. An organization which employs or is negotiating to employ, or has an arrangement concerning prospective employment of any of the above.

Gratuities, Kickbacks, and Use of Confidential Information

No officer, employee, Board member, or agent shall ask for or accept gratuities, favors, from any contractor, potential contractor, or party to any subcontract, and shall not knowingly use confidential information for actual or anticipated personal gain.

Prohibition Against Contingent Fees

Contractors wanting to do business with the PHA must not hire a person to solicit or secure a contract for a commission, percentage, brokerage, or contingent fee, except for bona fide established commercial selling agencies.

PROCUREMENT METHODS

Selection of Method

If it has been decided that the PHA will directly purchase the required items, one of the following procurement methods shall be chose, based on the nature and anticipated dollar value of the total requirement.

Small Purchase Procedures

Any contract not exceeding $20,000 may be made in accordance with the small purchase procedures authorized in this section. Contract requirements shall not be artificially divided so as to constitute a small purchase under this section (except as may be reasonably necessary to comply with the Assistance to small and other business outlined in this policy).

Petty Cash Purchases

Purchases under $25, which can be satisfied by local sources, may be processed through the use of a petty cash account. The Contracting Officer shall ensure that the account is established in an amount sufficient to cover small purchase made during a reasonable period (e.g., one week); security is maintained and only authorized individuals have access to the account; the account is periodically reconciled and replenished by submission of a voucher to the PHA finance officer; and, the account is periodically audited by the Executive Director or designee to validate proper use and to verify that the account total equals cash on hand plus the total of accumulated vouchers.

Small Purchase Procedures

Any contract not exceeding $20,000 may be made in accordance with the small purchase procedures authorized in this section. Contract requirements shall not be artificially divided so as to constitute a small purchase under this section (except as may be reasonably necessary to comply with the Assistance to small and other business outlined in this policy). Small Purchase Procedures are as follows:

Small purchases over $25 below $3,000 for non-construction and $2,000 for construction, also known as Micro Purchases, only one quotation need be solicited if the price received is considered reasonable. Such purchases must be distributed equitably among qualified sources. To the greatest extent feasible, and to promote competition, micro purchases should be distributed among qualified sources.

Small purchases over $3,000 for non-construction and $2,000 for construction, but not exceeding $20,000, two or more offerors shall be solicited to submit price quotations, which may be obtained orally (either in person or by phone), by fax, in writing, or through e-procurement. Award shall be made to the qualified vendor that provides the best value to the PHA. If award is to be made for reasons other than lowest price, documentation shall be provided in the contract file. The PHA shall not break down requirements aggregating more than the small purchase threshold (or the Micro Purchase threshold) into several purchases that are less than the applicable threshold merely to: (1) permit use of the small purchase procedures or (2) avoid any requirements that applies to purchases that exceed the Micro Purchase threshold.

Sealed Bids

Sealed bidding shall be used for all contracts that exceed the small purchase threshold and that are not competitive proposals or non-competitive proposals, as these terms are defined in this Policy. Under sealed bids, the PHA publicly solicits bids and awards a firm fixed-price contract (lump sum or unit price) to the responsive and responsible bidder whose bid, conforming with all the material terms and conditions of the Invitation For Bid (IFB), is the lowest in price. Sealed bidding is the preferred method for procuring construction, supply, and non-complex service contracts that are expected to exceed $20,000.

A. **Conditions for Using Sealed Bids.** The PHA shall use the sealed bid method if the following conditions are present: a complete, adequate, and realistic statement of work, specification, or purchase description is available; three or more responsible bidders are willing and able to compete effectively for the work; the contract can be awarded based on a firm fixed price; and the selection of the successful bidder can be made principally on the lowest price.

B. **Solicitation and Receipt of Bids.** An Invitation for Bid (IFB) is issued which includes the specifications and all contractual terms and conditions applicable to the procurement, and a statement that award will be made to the lowest responsible and responsive bidder whose bid meets the requirements of the solicitation. The Invitation For Bid (IFB) must state the time and place for both receiving the bids and the public bid opening. All bids received will be date and time-stamped and stored **unopened** in a secure place until the public bid opening. A bidder may withdraw the bid at any time prior to the bid opening.

C. **Bid Opening and Award**. Bids shall be opened publicly. All bids received shall be recorded on an abstract (tabulation) of bids, which shall be made available for public inspection. If equal low bids are received from responsible bidders, selection shall be made by drawing lots or other similar random method. The method for doing this shall be stated in the Invitation For Bid (IFB). If only one responsive bid is received from a responsible bidder, award shall **not** be made unless the price can be determined to be reasonable, based on a cost or price analysis.

D. **Mistakes in Bids**. Correction or withdrawal of bids may be permitted, where appropriate, before bid opening by written or telegraphic notice received in the office designated in the Invitation for Bid (IFB) prior to the time set for bid opening. After bid opening, corrections in bids may be permitted only if the bidder can show by clear and convincing evidence that a mistake of a nonjudgmental character was made, the nature of the mistake, and the bid price actually intended. A low bidder alleging a nonjudgmental mistake may be permitted to withdraw its bid if the mistake is clearly evident on the face of the bid document but the intended bid is unclear or the bidder submits convincing evidence that a mistake was made. All decisions to allow correction or withdrawal of a bid shall be supported by a written determination signed by the Contracting Officer. After bid opening, changes in bid prices or other provisions of bids prejudicial to the interest of the PHA or fair competition shall not be permitted.

Competitive Proposals

Unlike sealed bidding, the competitive proposal method, also known as Request for Proposals (RFP), permits: consideration of technical factors other than price; discussion with offerors concerning offers submitted; negotiation of contract price or estimated cost and other contract terms and conditions; revision of proposals before the final contractor selection; and the withdrawal of an offer at any time up until the point of award. Award is normally made on the basis of the proposal that represents the best overall value to the PHA, considering price and other factors, e.g., technical expertise, past experience, quality of proposed staffing, etc., set forth in the solicitation and not solely the lowest price.

A. **Conditions for Use**. Where conditions are not appropriate for the use of sealed bidding, competitive proposals may be used. Competitive proposals are the preferred method for procuring professional services that will exceed the small purchase threshold. As detailed within Section 7.2.B of HUD Procurement Handbook 7460.8 REV 2, "Only under limited circumstances would construction services be procured by competitive proposals;" accordingly, construction services will most typically be procured utilizing the sealed bid (IFB) or small purchase procedures (QSP).

B. **Form of Solicitation**. Other than A/E services, developer-related services and energy performance contracting, competitive proposals shall be solicited through the issuance of a Request for Proposal (RFP). The Request for Proposal (RFP) shall clearly identify the importance and relative value of each of the evaluation factors as well as any sub-factors and price. A mechanism for fairly and thoroughly evaluating the technical and price proposals shall be established **before** the solicitation is issued. Proposals shall be handled so as to prevent disclosure of the number of offerors, identity of the offerors, and the contents of their proposals until after award. The PHA may assign price a specific weight in the evaluation criteria or the PHA may consider price in conjunction with technical factors; in either case, the method for evaluating price shall be established in the Request for Proposal (RFP).

C. **Evaluation**. The proposals shall be evaluated only on the criteria stated in the Request for Proposal (RFP). Where not apparent from the evaluation criteria, the PHA shall establish an Evaluation Plan for each Request for Proposal (RFP). Generally, all Request for Proposals (RFPs) shall be evaluated by an appropriately appointed Evaluation Committee. The Evaluation Committee shall be required to disclose any potential conflicts of interest and to sign a Non-Disclosure statement. An Evaluation Report, summarizing the results of the evaluation, shall be prepared prior to award of a contract.

D. **Negotiations**. Negotiations shall be conducted with all offerors who submit a proposal determined to have a reasonable chance of being selected for award, unless it is determined that negotiations are not needed with any of the offerors. This determination is based on the relative score of the proposals as they are evaluated and rated in accordance with the technical and price factors specified in the Request for Proposal (RFP). These offerors shall be treated fairly and equally with respect to any opportunity for negotiation and revision of their proposals. No offeror shall be given any information about any other offeror's proposal, and no offeror shall be assisted in bringing its proposal up to the level of any other proposal. A common deadline shall be established for receipt of proposal revisions based on negotiations. Negotiations are exchanges (in either competitive or sole source environment) between the PHA and offerors that are undertaken with the intent of allowing the offeror to revise its proposal. These negotiations may include bargaining. Bargaining includes persuasion, alteration of assumptions and positions, give-and-take, and may apply to price, schedule, technical requirements, type of contract or other terms of a proposed contract. When negotiations are conducted in a competitive acquisition, they take place after establishment of the competitive range and are called discussions. Discussions are tailored to each offeror's proposal, and shall be conducted by the contracting officer with each offeror within the competitive range. The primary object of discussions is to maximize the PHA's ability to obtain best value, based on the requirements and the evaluation factors set forth in the solicitation. The contracting officer shall indicate to, or discuss with, each offeror still being considered for award, significant weaknesses, deficiencies, and other aspects of its proposal (such as cost, price, technical approach, past performance, and terms and conditions) that could, in the opinion of the contracting officer, be altered or explained to enhance materially the proposer's potential for award. The scope and extent of discussions are a matter of the contracting officer's judgment. The contracting officer may inform an offeror that its price is considered by the PHA to be too high, or too low, and reveal the results of the analysis supporting that conclusion. It is also permissible to indicate to all offerors the cost or price that the PHAs price analysis, market research, and other reviews have identified as reasonable. "Auctioning" (revealing one offeror's price in an attempt to get another offeror to lower their price) is prohibited.

E. **Award**. After evaluation of the revised proposals, if any, the contract shall be awarded to the responsible firm whose technical approach to the project, qualifications, price and/or any other factors considered, are most advantageous to the PHA provided that the price is within the maximum total project budgeted amount established for the specific property or activity.

F. **A/E Services**. The PHA shall contract for A/E services using Qualifications Based Services (QBS) procedures, utilizing a Request for Qualifications (RFQ). Sealed bidding shall not be used for A/E solicitations. Under Qualifications Based Services (QBS) procedures, competitors' qualifications are evaluated and the most qualified competitor is selected, subject to negotiation of fair and reasonable compensation. Price is not used as a selection factor under this method. Qualifications Based Services (QBS) procedures **shall not** be used to purchase other types of services, other than Energy Performance Contracting and Developer services, though architectural/engineering firms are potential sources.

Noncompetitive Proposals

A. **Conditions for Use**. Procurement by noncompetitive proposals (sole-or single source) may be used **only** when the award of a contract is not feasible using small purchase procedures, sealed bids, cooperative purchasing, or competitive proposals, **and** if one of the following applies:

1. The item is available only from a single source, based on a good faith review of available sources;

2. An emergency exists that seriously threatens the public health, welfare, or safety, or endangers property, or would otherwise cause serious injury to the PHA, as may arise by reason of a flood, earthquake, epidemic, riot, equipment failure, or similar event. In such cases, there must be an immediate and serious need for supplies, services, or construction such that the need cannot be met through any of the other procurement methods, and the emergency procurement shall be limited to those supplies, services, or construction necessary simply to meet the emergency;

3. HUD authorizes the use of noncompetitive proposals; or

4. After solicitation of a number of sources, competition is determined inadequate.

B. **Justification**. Each procurement based on noncompetitive proposals shall be supported by a written justification for the selection of this method. The justification shall be approved in writing by the responsible Contracting Officer. Poor planning or lack of planning is not justification for emergency or sole-source procurements. The justification, to be included in the procurement file, should include the following information:

1. Description of the requirement;

2. History of prior purchases and their nature (competitive vs. noncompetitive);

3. The specific exception in **2 CFR 200.320(f)(1)-(4)** which applies;

4. Statement as to the unique circumstances that require award by noncompetitive proposals;

5. Description of the efforts made to find competitive sources (advertisement in trade journals or local publications, phone calls to local suppliers, issuance of a written solicitation, etc.);

6. Statement as to efforts that will be taken in the future to promote competition for the requirement;

7. Signature by the Contracting Officer's supervisor (or someone above the level of the Contracting Officer); and

8. Price Reasonableness. The reasonableness of the price for all procurements based on noncompetitive proposals shall be determined by performing an analysis, as described in this Policy.

Cooperative Purchasing/Intergovernmental Agreements

The PHA may enter into State and/or local cooperative or intergovernmental agreements to purchase or use common supplies, equipment, or services. The decision to use an interagency agreement instead of conducting a direct procurement shall be based on economy and efficiency. If used, the interagency agreement shall stipulate who is authorized to purchase on behalf of the participating parties and shall specify inspection, acceptance, termination, payment, and other relevant terms and conditions. The PHA may use Federal or State excess and surplus property instead of purchasing new equipment and property if feasible and if it will result in a reduction of project costs. The goods and services obtained under a cooperative purchasing agreement must have been procured in accordance with **2 CFR 200.317 through 200.326.**

INFORMAL COST ESTIMATE (ICE)

For all purchases above the Micro Purchase threshold, the PHA shall prepare an Informal Cost Estimate (ICE) prior to solicitation. The level of detail shall be commensurate with the cost and complexity of the item to be purchased.

COST AND PRICE ANALYSIS

The PHA shall require assurance that, before entering into a contract, the price is reasonable, in accordance with the following instructions.

Petty Cash and Micro Purchases

No formal cost or price analysis is required. Rather, the execution of a contract by the Contracting Officer (through a Purchase Order or other means) shall serve as the Contracting Officer's determination that the price obtained is reasonable, which may be based on the Contracting Officer's prior experience or other factors.

Small Purchases

A comparison with other offers shall generally be sufficient determination of the reasonableness of price and no further analysis is required. If a reasonable number of quotes is not obtained to establish reasonableness through price competition, the Contracting Officer shall document price reasonableness through other means, such as prior purchases of this nature, catalog prices, the Contracting Officer's personal knowledge at the time of purchase, comparison to the Informal Cost Estimate (ICE), or any other reasonable basis.

Sealed Bids

The presence of adequate competition should generally be sufficient to establish price reasonableness. Where sufficient bids are not received, and when the bid received is substantially more than the Informal Cost Estimate (ICE), and where the PHA cannot reasonably determine price reasonableness, the PHA must conduct a cost analysis, consistent with federal guidelines, to ensure that the price paid is reasonable.

Competitive Proposals

The presence of adequate competition should generally be sufficient to establish price reasonableness. Where sufficient bids are not received, the PHA must compare the price with the Informal Cost Estimate (ICE). For competitive proposals where prices cannot be easily compared among offerors, where there is not adequate competition, or where the price is substantially greater than the Informal Cost Estimate (ICE), the PHA must conduct a cost analysis, consistent with Federal guidelines, to ensure that the price paid is reasonable.

Contract Modifications

A cost analysis, consistent with federal guidelines, shall be conducted for all contract modifications for projects that were procured through Sealed Bids, Competitive Proposals, or Non-Competitive Proposals, or for projects originally procured through Small Purchase procedures and the amount of the contract modification will result in a total contract price in excess of $20,000.

SOLICITATION AND ADVERTISING

Method of Solicitation

A. **Petty Cash and Micro Purchases**. The PHA may contact only one source if the price is considered reasonable.

B. **Small Purchases**. Quotes may be solicited orally, through fax, E-Procurement or by any other reasonable method.

C. **Sealed Bids and Competitive Proposals**. Solicitation must be done publicly. The PHA must use one or more following solicitation methods, provided that the method employed provides for meaningful competition.

   1. Advertising in newspapers or other print mediums of local or general circulations.

   2. Advertising in various trade journals or publications (for construction).

   3. E-Procurement. The PHA may conduct its public procurements through the Internet using e-procurement systems. However, all e-procurements must otherwise be in compliance with **2 CFR 200-317 through 200.326,** State and local requirements, and the PHA's procurement policy.

Time Frame

For purchases of more than $20,000, the public notice should run not less than once each week for two consecutive weeks.

Form

Notices/advertisements should state, at a minimum, the place, date, and time that the bids or proposals are due, the solicitation number, a contact that can provide a copy of, and information about, the solicitation, and a brief description of the needed items(s).

Time Period for Submission of Bids

A minimum of 30 days shall generally be provided for preparation and submission of sealed bids and 15 days competitive proposals (or other time period if required by State or Local law). However, the Executive Director may allow for a shorter period under extraordinary circumstances.

Cancellation of Solicitations

A. An Invitation for Bid (IFB), Request for Proposal (RFP), or other solicitation may be cancelled before bids/offers are due if:

   1. The supplies, services or construction is no longer required;

   2. The funds are no longer available;

   3. Proposed amendments to the solicitation are of such magnitude that a new solicitation would be best; or

   4. Other similar reasons.

B. A solicitation may be cancelled and all bids or proposals that have already been received may be rejected if:

   1. The supplies or services (including construction) are no longer required;

   2. Ambiguous or otherwise inadequate specifications were part of the solicitation;

   3. All factors of significance to the PHA were not considered;

   4. Prices exceed available funds and it would not be appropriate to adjust quantities to come within available funds;

   5. There is reason to believe that bids or proposals may not have been independently determined in open competition, may have been collusive, or may have been submitted in bad faith; or

   6. For good cause of a similar nature when it is in the best interest of the PHA.

C. The reasons for cancellation shall be documented in the procurement file and the reasons for cancellation and/or rejection shall be provided upon request.

D. A notice of cancellation shall be sent to all bidders/offerors solicited and, if appropriate, shall explain that they will be given an opportunity to compete on any re-solicitation or future procurement of similar items.

E. If all otherwise acceptable bids received in response to an Invitation for Bid (IFB) are at unreasonable prices an analysis should be conducted to see if there is a problem in either the specifications or the PHA's cost estimate. If both are determined adequate and if only one bid is received and the price is unreasonable, the Contracting Officer may cancel the solicitation and either

   1. Re-solicit using an Request for Proposal (RFP); or

2. Complete the procurement by using the competitive proposal method. The Contracting Officer must determine, in writing, that such action is appropriate, must inform all bidders of the PHA's intent to negotiate, and must give each bidder a reasonable opportunity to negotiate.

F. If problems are found with the specifications, PHA should cancel the solicitation, revise the specifications and re-solicit using an Invitation for Bid (IFB).

Credit (or Purchasing) Cards

Credit card usage (other than travel) should follow the rules for all other small purchases. For example, the Contracting Officer may use a credit card for Micro Purchases without obtaining additional quotes provided the price is considered reasonable. However, for amounts above the Micro Purchase level, the Contracting Officer would generally need to have obtained a reasonable number of quotes before purchasing via a credit card.

When using credit cards, the PHA should adopt reasonable safeguards to assure that they are used only for intended purposes (for instance, limiting the types of purchases or the amount of purchases that are permitted with credit cards).

BONDING REQUIREMENTS

The standards under this section apply to construction contracts that exceed $20,000. There are no bonding requirements for small purchases or for competitive proposals. The PHA may require bonds in these latter circumstances when deemed appropriate; however, non-construction contracts should generally not require bid bonds.

A. Bid Bonds. For construction contracts exceeding $20,000, offerors shall be required to submit a bid guarantee from each bidder equivalent to 5% of the bid price.

B. Payment Bonds. For construction contracts exceeding $20,000, the successful bidder shall furnish an assurance of completion. This assurance may be any one of the following four:

1. A performance and payment bond in a penal sum of 100% of the contract price; or
2. Separate performance and payment bonds, each for 50 % or more of the contract price; or
3. A 20 % cash escrow; or
4. A 25 % irrevocable letter of credit.

C. These bonds must be obtained from guarantee or surety companies acceptable to the U. S. Government and authorized to do business in the State where the work is to be performed. Individual sureties shall not be considered. U. S. Treasury Circular Number 570 lists companies approved to act as sureties on bonds securing Government contracts, the maximum underwriting limits on each contract bonded, and the States in which the company is licensed to do business. Use of companies on this circular is mandatory.

CONTRACTOR QUALIFICATIONS AND DUTIES

Contractor Responsibility

PHAs shall not award any contract until the prospective contractor, i.e., low responsive bidder, or successful offeror, has been determined to be responsible. A responsible bidder/offeror must:

A. Have adequate financial resources to perform the contract, or the ability to obtain them;

B. Be able to comply with the required or proposed delivery or performance schedule, taking into consideration all the bidder's/offeror's existing commercial and governmental business commitments;

C. Have a satisfactory performance record;

D. Have a satisfactory record of integrity and business ethics;

E. Have the necessary organization, experience, accounting and operational controls, and technical skills, or the ability to obtain them;

F. Have the necessary production, construction, and technical equipment and facilities, or the ability to obtain them; and,

G. Be otherwise qualified and eligible to receive an award under applicable laws and regulations, including not be suspended, debarred or under a HUD-imposed LDP.

If a prospective contractor is found to be non-responsible, a written determination of non-responsibility shall be prepared and included in the official contract file, and the prospective contractor shall be advised of the reasons for the determination.

Suspension and Debarment

Contracts shall not be awarded to debarred, suspended, or ineligible contractors. Contractors may be suspended, debarred, or determined to be ineligible by HUD in accordance with HUD regulations (**2 CFR 200.317 through 200.326**) or by other Federal agencies, e.g., Dept of Labor for violation of labor regulations, when necessary to protect housing authorities in their business dealings. Prior to issuance of a contract, PHA staff, as detailed within Section 10.2.H.1 and 10.2.H.2 of HUD Procurement Handbook 7460.8 REV 2, conduct required searches within the HUD Limited Denial of Participation (LDP) system and the U.S. General Service Administration System for Award Management (SAM) and place within the applicable contract file a printed copy of the results of each such search.

Vendor Lists

All interested businesses shall be given the opportunity to be included on vendor mailing lists. Any lists of persons, firms, or products which are used in the purchase of supplies and services (including construction) shall be kept current and include enough sources to ensure competition.

CONTRACT PRICING ARRANGEMENTS

Contract Types

Any type of contract which is appropriate to the procurement and which will promote the best interests of the PHA may be used, **provided the cost -plus-a-percentage-of-cost and percentage-of-construction-cost methods are not used**. All solicitations and contracts shall include the clauses and provisions necessary to define the rights and responsibilities of both the contractor and PHA.

For all cost reimbursement contracts, PHA must include a written determination as to why no other contract type is suitable. Further, the contract must include a ceiling price that the contractor exceeds at its own risk.

Options

Options for additional quantities or performance periods may be included in contracts, provided that:

A. The option is contained in the solicitation;

B. The option is a unilateral right of the Authority;

C. The contract states a limit on the additional quantities and the overall term of the contract;

D. The options are evaluated as part of the initial competition;

E. The contract states the period within which the options may be exercised;

F. The options may be exercised only at the price specified in or reasonably determinable from the contract; and

G. The options may be exercised only if determined to be more advantageous to PHA than conducting a new procurement.

CONTRACT CLAUSES

All contracts should identify the contract pricing arrangement as well as other pertinent terms and conditions, as determined by the PHA.

Additionally, the forms HUD-5369, 5369-A, 5369-B, 5369, 5370, 5370-C (Sections I and II); and 51915-A , which contain all HUD-required clauses and certifications for contracts of more than $20,000, as well as any forms/clauses as required by HUD for small purchases, shall be used in all corresponding solicitations and contracts issued by this PHA.

The PHA shall ensure that each contract executed by the PHA contains the required contract clauses detailed within 2 CFR 200.326 and Appendix II.

CONTRACT ADMINISTRATION

The PHA shall maintain a system of contract administration designed to ensure that contractors perform in accordance with their contracts. These systems shall provide for inspection of supplies, services, or construction, as well as monitoring contractor performance, status reporting on major projects including construction contracts, and similar matters. For cost-reimbursement contracts, costs are allowable only to the extent that they are consistent with the cost principles in HUD Handbook 2210.18.

SPECIFICATIONS

General

All specifications shall be drafted so as to promote overall economy for the purpose intended and to encourage competition in satisfying PHA needs. Specifications shall be reviewed prior to issuing any solicitation to ensure that they are not unduly restrictive or represent unnecessary or duplicative items. Function or performance specifications are preferred. Detailed product specifications shall be avoided whenever possible. Consideration shall be given to consolidating or breaking out procurements to obtain a more economical purchase. For equipment purchases, a lease versus purchase analysis should be performed to determine the most economical form of procurement.

Limitation

The following types of specifications shall be avoided:

A. Geographic restrictions not mandated or encouraged by applicable Federal law (except for A/E contracts, which may include geographic location as a selection factor if adequate competition is available);

B. Brand name specifications (unless the specifications list the minimum essential characteristics and standards to which the item must conform to satisfy its intended use).

Nothing in this procurement policy shall preempt any State licensing laws. Specifications shall be reviewed to ensure that organizational conflicts of interest do not occur.

APPEALS AND REMEDIES

General

It is PHA policy to resolve all contractual issues informally and without litigation. Disputes will not be referred to HUD unless all administrative remedies have been exhausted. When appropriate, a mediator may be used to help resolve differences.

Informal Appeals Procedure

The PHA shall adopt an informal bid protest/appeal procedure for contracts of $20,000 or less. Under these procedures, the bidder/contractor may request to meet with the appropriate Contract Officer. HUD will only review protests in cases of violations of Federal law or regulations and failure of the PHA to review a complaint or protest

Formal Appeals Procedure

A formal appeals procedure shall be established for solicitations/contracts of more than $20,000.

A. **Bid Protest**. Any actual or prospective contractor may protest the solicitation or award of a contract for serious violations of the principles of this Policy. Any protest against a solicitation must be received before the due date for the receipt of bids or proposals, and any protest against the award of a contract must be received within ten (10) calendar days after the contract receives notice of the contract award, or the protest will not be considered. All bid protests shall be in writing, submitted to the Contracting Officer or designee, who shall issue a written decision on the matter. The Contracting Officer may, at his/her discretion, suspend the procurement pending resolution of the protest if the facts presented so warrant.

B. **Contractor Claims**. All claims by a contractor relating to performance of a contract shall be submitted in writing to the Contracting Officer for a written decision. The contractor may request a conference on the claim. The Contracting Officer's decision shall inform the contractor of its appeal rights to the next higher level of authority in PHA. Contractor claims shall be governed by the Changes clause in the form HUD-5370.

ASSISTANCE TO SMALL AND OTHER BUSINESSES

Required Efforts

Consistent with Presidential Executive Orders 11625, 12138, and 12432, and Section 3 of the HUD Act of 1968, all feasible efforts shall be made to ensure that small and minority-owned businesses, women's business enterprises, and other individuals or firms located in or owned in substantial part by persons residing in the area of the PHA project are used when possible. Such efforts shall include, but shall not be limited to:

A. Including such firms, when qualified, on solicitation mailing lists;

B. Encouraging their participation through direct solicitation of bids or proposals whenever they are potential sources;

C. Dividing total requirements, when economically feasible, into smaller tasks or quantities to permit maximum participation by such firms;

D. Establishing delivery schedules, where the requirement permits, which encourage participation by such firms;

E. Using the services and assistance of the Small Business Administration, and the Minority Business Development Agency of the Department of Commerce;

F. Including in contracts, to the greatest extent feasible, a clause requiring contractors, to provide opportunities for training and employment for lower income residents of the project area and to award subcontracts for work in connection with the project to business concerns which provide opportunities to low-income residents, as described in **24 CFR Part 135** (so-called Section 3 businesses); and

G. Requiring prime contractors, when subcontracting is anticipated, to take the positive steps listed above.

Goals shall be established periodically for participation by small businesses, minority-owned businesses, women-owned business enterprises, labor surplus area businesses, and Section 3 business concerns in PHA prime contracts and subcontracting opportunities.

Definitions

1. A **small business** is defined as a business that is: independently owned; not dominant in its field of operation; and not an affiliate or subsidiary of a business dominant in its field of operation. The size standards in **13 CFR Part 121** should be used to determine business size.

2. A **minority-owned business** is defined as a business which is at least 51% owned by one or more minority group members; or, in the case of a publicly-owned business, one in which at least 51% of its voting stock is owned by one or more minority group members, and whose management and daily business operations are controlled by one or more such individuals. Minority group members include, but are not limited to Black Americans, Hispanic Americans, Native Americans, Asian Pacific Americans, Asian Indian Americans, and Hasidic Jewish Americans.

3. A **women's business enterprise** is defined as a business that is at least 51% owned by a woman or women who are U.S. citizens and who control and operate the business.

4. A **"Section 3 business concern"** is as defined under **24 CFR Part 135**.

5. A **labor surplus area business** is defined as a business which, together with its immediate subcontractors, will incur more than 50% of the cost of performing the contract in an area of concentrated unemployment or underemployment, as defined by the DOL in **20 CFR Part 654**, Subpart A, and in the list of labor surplus areas published by the Employment and Training Administration.

BOARD APPROVAL OF PROCUREMENT ACTIONS

Other than approval of this Procurement Policy, approval by the Board of Commissioners is not required for any procurement action, as permitted under State and local law. Rather, it is the responsibility of the Executive Director to make sure that all procurement actions are conducted in accordance with the policies contained herein.

DELEGATION OF CONTRACTING AUTHORITY

While the Executive Director is responsible for ensuring that the PHA's procurements comply with this Policy, the Executive Director may delegate all procurement authority as is necessary and appropriate to conduct the business of the Agency.

Further, and in accordance with this delegation of authority, the Executive Director shall, where necessary, establish operational procedures (such as a procurement manual or standard operating procedures) to implement this Policy. The Executive Director shall also establish a system of sanctions for violations of the ethical standards described in Section III below, consistent with Federal, State, or local law.

DOCUMENTATION

The PHA must maintain records sufficient to detail the significant history of each procurement action. These records **shall** include, but **shall not** necessarily be limited to, the following:

A. Rationale for the method of procurement (if not self-evident);

B. Rationale of contract pricing arrangement (also if not self-evident);

C. Reason for accepting or rejecting the bids or offers;

D. Basis for the contract price (as prescribed in this handbook);

E. A copy of the contract documents awarded or issued and signed by the Contracting Officer;

F. Basis for contract modifications; and

G. Related contract administration actions.

The level of documentation should be commensurate with the value of the procurement.

Records are to be retained for a period of three years after final payment and all matters pertaining to the contact are closed.

FUNDING AVAILABILITY

Before initiating any contract, the PHA shall ensure that there are sufficient funds available to cover the anticipated cost of the contract or modification.

APPENDIX 2. PROCUREMENT FILE CHECKLIST

The following table lists the types of documentation that generally should be included in the contract file for each procurement. Note, however, that the circumstances of each procurement will dictate the documentation required. For example, an RFP for Property Management Services would not necessarily require a separate cost analysis if there were an ample number of price proposals and the costs (management fees) were within the range established in the ICE. Similarly, for small purchases, the issuance of a purchase order will likely serve as a Notice to Proceed; however, for some very technical services acquired under small purchases, the PHA might want to hold a post-award meeting and then issue a Notice to Proceed. In all, the contract file should contain all significant documentation relating to the specific procurement. Any shaded item would generally not apply for that type of purchase.

Item	Micro Purchase	Small Purchase	Sealed Bid	Competitive Proposals	Non-Competitive Proposals
Pre-Solicitation					
Independent Cost Estimate					
Individual Procurement Plan					
Rationale for Contract Method (if not apparent)					
Rationale for Contract Type (if not apparent)					
Evaluation Plan					
Solicitation					
Sources (mailing lists, advertisements, etc.)					
Solicitation Notice and Amendments					
IFB/RFP					
Notes of Pre-Bid/Proposal Conferences					
IFB/RFP Correspondences					
Record of Bids/RFPs Requested					
Quotes, Bids or Proposals Received					
Justification for Other than Full/Open Competition					
Evaluation					
Bid Opening					
Evaluation Panel Disclosures and Ethics Statement					
Technical Evaluation					
Price Evaluation					
Competitive Range Determinations					
Evaluation Report					
Memo of Negotiation and Selection Decision					
Pre-award Survey and Responsibility Determinations					
Award					

Contract and Award Documents					
Notification to Unsuccessful Bidders					
Appeals (all correspondence)					
Post-Award and Contract Administration					
Insurance and Bonding Requirements					
Records of Post-Award Conferences					
Notice to Proceed					
Contract Modifications and Supporting Documentation					
Receiving Reports					
General Contract Correspondence					
Payment Record/Documentation					
Inspections and Field Reports					
Completion Certificate					

APPENDIX 3. SAMPLE ADVERTISEMENT

The **Housing Authority of Big Blue Nation (PHA)** invites sealed bids from contractors for the snow removal at **Rupp Arena, located at 8 Championship Lane, Lexington, KY 40507**. The work consists of the replacing toilets at all 150 units in accordance with the documents prepared by Maurice Plumbing.

Bids are subject to State Law.

Bids will be received until **2:00 P.M**. on **MM/DD/YY** and publicly opened, forthwith at **Rupp Arena, located at 8 Championship Lane, Lexington, KY 40507**. General bids shall be accompanied by a bid deposit that is not less than five (5%) of the greatest possible bid amount (considering all alternates), and made payable to the Housing Authority of **Big Blue Nation**.

A bid package will be available for pick-up from _____ at 111 South Adams Street after **2:00 p.m., MM/DD/YY**. Cost of plans and specifications is **$25.00**. Company checks are required.

THE JOB SITE AND/OR EXISTING BUILDING WILL BE AVAILABLE FOR A WALK THROUGH ON **MM/DD/YY** AT **10:00 A.M**. AT **8 CHAMPIONSHIP LANE, LEXINGTON, KY**. PROSPECTIVE BIDDERS SHOULD MEET AT THE ABOVE-MENTIONED ADDRESS**.**

APPENDIX 4. SAMPLE IFB COVER SHEET

IFB Number: _____

Date of Issuance: _____

Sealed bids will be accepted at the Housing Authority of **Big Blue Nation** until the date and time noted below. Bids will be publicly opened and recorded immediately thereafter in the Rupp Arena, **8 Championship Lane, Lexington**, KY.

Snow Removal at Rupp Arena

Pre-Bid Meeting will be held:_____(date)_____ (time)

Bid Opening: _____(date)_____ (time)

Rupp Arena

8 Championship Lane

Lexington, KY 42420

Point of Contact: John Calipari (800) 333-3333

Table of Contents:

A. Bid/Price Form

B. Specifications/Scope of Work

C. Instructions to Bidders

D. Required Certifications

E. General Contract

F. Other Attachments

APPENDIX 5. SAMPLE SOLICITATION AMENDMENT

1. Amendment number:
2. Issued by:
3. Amendment of solicitation number: _____ dated: _____
4. The hour and date specified for receipt of bids/proposals is _____is not _____ extended to the following new hour and date:
5. The above-numbered solicitation is amended as set forth below. Bidders/offerors must acknowledge receipt of this amendment prior to the hour and date specified for receipt of bids/proposals, by signing this form below or by completing the acknowledgement on the form titled "Solicitation, Bid/Proposal and Award."
6. Description of amendment:

   {Cite specific sections and/or pages of the solicitation that are being amended.}

   Except as provided herein, all terms and conditions of the solicitation remain unchanged and in full force and effect.
7. Name and title of signer:

Signature and date:

APPENDIX 6. SAMPLE CONTRACT AWARD

1. Contract Number: _____ 2. Effective Date: _____

3. Solicitation Number/ Project Title: _____

4. Name & Address of Contractor: _____

5. Contract Amount: $ _____

6. Accounting Code: _____

7. Table of Contents:

[X]	SECTION	Description	[Pages]	[X]	SECTION	Description	[Pages]
	A	CONTRACT AWARD FORM	1		F	DELIVERIES OR PERFORMANCE	
	B	SUPPLY/SERVICE & PRICES			G	CONTRACT ADMINISTRATION DATA	
	C	STATEMENT OF WORK/SPECS			H	SPECIAL CONTRACT REQUIREMENTS	
	D	PACKAGING & MARKING			I	CONTRACT CLAUSES	
	E	INSPECTION & ACCEPTANCE			J	LIST OF ATTACHMENTS	

8. **Award**: Your bid/offer on Solicitation Number _____including additions or changes made by you, which additions or changes are set forth in full within the sections listed above, is hereby accepted as to the items listed in Section B and on any continuation sheets. This award consummates the contract which consists of the following documents: (a) the PHA's solicitation, (b) your bid/offer, and (c) this award document/contract. No further contract document is necessary.

9. **Name of Contracting Officer: _____**

   Signature of Contracting Officer: _____

   Date Signed: _____

10. **Name/Title of Authorized Signer/Contract Representative:**

    _____

    Signature of Contracting Representative: _____

    Date Signed: _____

APPENDIX 7. SAMPLE NOTICE TO UNSUCCESSFUL BIDDERS

(Letterhead)

Re: IFB#_____

1. Receipt of your bid is acknowledged in response to our invitation for bid referenced above.

2. The contract was awarded after competition by sealed bidding to the lowest responsive and responsible bidder. The total amount of the awarded contract was $_____. The award was made to:

(Insert Bidder Name)

3. Enclosed is the bid bond your company submitted for the above-referenced solicitation.

4. The Housing Authority of Big Blue Nation appreciates your time and effort in preparing and submitting your bid. We hope that your firm will participate in future solicitations.

_____ _____

Name
Contracting Officer Date

APPENDIX 8. SAMPLE PROCEDURES FOR EVALUATION COMMITTEES (FOR AMOUNTS ABOVE THE FEDERAL SMALL PURCHASE THRESHOLD)

INTRODUCTION

This document establishes the procedures for the evaluation review process and shall apply to the evaluation of all competitive proposals. The evaluation process must be impartial, consistent and fair.

Establishment of an Evaluation Panel

A. A committee will be appointed by the Contracting Officer to evaluate technical proposals in accordance with a written evaluation plan. The Contracting Officer may serve as a panel member.

B. A minimum of three persons (or a larger group having an odd number of designated voting members) must be selected.

C. A designated chairperson shall be responsible for the deliberations of the committee and other duties as outlined below. The Contracting Officer may serve as Chairperson.

D. Panel members who have a conflict of interest or relationship, financial or otherwise, or that may be construed as a conflict of interest, must disclose the existence of the conflict and, if necessary, excuse themselves from the panel.

Establishment of a Written Plan

Prior to the issuance of the RFP, a written plan for evaluating technical and cost proposals should be established. However, where practical, the evaluation criteria set forth in the RFP can serve as the written plan for the evaluation.

The evaluation criteria as set forth in the RFP shall be the basis for all evaluations. Factors not specified in the RFP shall not be considered.

Conduct of Evaluation

Prior to a formal meeting to discuss the proposals and evaluations, the Contracting Officer shall provide each evaluator with a copy of each qualified proposal, a rating sheet and a nondisclosure certificate, which must be executed by the panel member and returned to the Chairperson. The rating sheet will list each evaluation criterion and the weights assigned to it, as reflected in the RFP. The rating sheets should require the evaluator to assign both an adjectival rating for each evaluation criterion and a narrative justification to support the ratings given.

The evaluation committee will then meet to discuss the proposals. Initially the proposals should be compared on an individual basis, separately, against the requirements stated in the RFP, not analyzed in comparison with each other. During the evaluation, the committee members should only evaluate the content of the proposals; personal knowledge that is not based on the proposer's written submission, except for relevant past performance information, should not be part of the initial technical evaluation.

The evaluation committee members will perform the following functions: 1) review all of the proposals using as the standard the evaluation criteria as set forth in the RFP; 2) meet to discuss the evaluations, the ratings of each evaluator and the reasons for such ratings; and 3) complete the ratings sheet including both an adjectival and narrative justifications for each proposal submitted.

The chairperson is responsible for collecting the individual rating sheets from each committee member, preparing a summary rating sheet which reflects an overall adjectival rating for each rating criterion, and preparing a formal written report to the Contracting Officer regarding the evaluation committee meeting and discussions (such as the minutes from the evaluation committee meeting). This written report shall rank the proposers and shall describe how the scores were determined. The chairperson shall then forward the individual rating sheets, the summary rating sheet and the written narrative report to the Contracting Officer.

Negotiations

If necessary, negotiations will be conducted with all proposers in the competitive range. The extent of involvement of committee members in these negotiations will be determined by the Contracting Officer. These negotiations will be conducted in accordance with applicable agency policies/procedures.

Disclosure of Information

The evaluators shall not disclose any information included in any of the proposals (such as the names and number of proposers or rating scores) to anyone during the solicitation and evaluation period. Proposers submit proposals in confidence and expect their proposals and proprietary information contained therein to be protected from disclosure to other proposers or individuals. At the appropriate time, the Contracting Officer and/or his designee shall discuss information regarding the solicitation and award.

APPENDIX 9. CERTIFICATION OF NONDISCLOSURE (FOR USE IN COMPETITIVE PROPOSALS METHOD OF PROCUREMENT)

As a condition of serving as an evaluator of offers under _____ *[insert solicitation number or other identification, e.g., task order number]*, I hereby certify that I will:

(1) Use the information provided to me for the intended evaluation purposes only and will not disclose this information to any individual outside of the evaluation panel, including my supervisor or manager, without the express authorization of the evaluation panel chairperson or the Contracting Officer;

(2) Not solicit or accept any information other than that provided to me by the evaluation panel chairperson or the Contracting Officer;

(3) Report to the evaluation panel chairperson or the Contracting Officer any attempt by other parties to obtain from or provide to me any information described in this certification;

(4) Honor any authorized restrictive legends placed on the information by prospective contractors or subcontractors or by the PHA and apply them to any reproductions or abstracts I may make or order to be made; and,

(5) Return all copies of the information whether originally provided to me by the HA or made or ordered by me in the course of my evaluation, and any abstract thereof, to the evaluation panel chairperson.

I understand that my unauthorized release of information may result in the termination of my participation in this procurement and/or administrative, civil and criminal penalties. I also understand that this certification will be made part of the source selection record and the official contract file and does not relieve me of the responsibility for any other disclosure or certification required by law, regulation or other directive.

_____

Typed or Printed Name

_____

Signature

_____

Date

1 Information includes but is not limited to the acquisition strategy, acquisition timeline, source selection criteria, evaluation plan, identity and number of offers, contents of offers, evaluation results and other documentation resulting from the evaluation process.

APPENDIX 10. SAMPLE CHECKLIST FOR

DETERMINATION OF CONTRACTOR RESPONSIBILITY

Public Housing Agency Name: _____
_____

Solicitation Number: _____
_____

Contractor Name and Address: _____
_____

Circle all applicable statements:

1. A review of the GSA and HUD websites data dated _____ has been conducted and the contractor does/ does not appear as suspended, debarred, or operating under a LDP.

2. The Contractor has/ has not performed satisfactorily on other contract(s) awarded by this PHA.

3. A survey of other agencies and companies doing business with the contractor was performed. Adverse/ no adverse information has been received that would bring the contractor's present responsibility and technical capability into question. List the agencies/companies contacted, dated contacted and person providing information.

4. A review of the Contractor's financial and technical resources indicates/ does not indicate that it is capable of performing the contract. List documentation reviewed.

5. State/local government agencies were contacted, and the contractor does/ does not have a record of any outstanding code violations, improper business practices, or similar history of non-compliance with public policy. List agencies contacted.

6. Other pertinent information received does/ does not affect the Contractor's responsibility. List parties contacted and results of contact (e.g., Better Business Bureau, Business Licenses, Dunn and Bradstreet, other credit agencies).

In accordance with **24 CFR 85.36 (b)(8)**, the contractor is considered to be responsible/ non-responsible and possesses/ does not possess the ability to successfully perform under the terms and conditions of this contract.

_____	_____	_____
Name Contracting Officer	Signature	Date

APPENDIX 11. SAMPLE LEGAL SERVICES ENGAGEMENT LETTER

The United States Department of HUD urges inclusion of the following provisions into all legal services contracts executed and/or administered by PHAs, unless no federally provided funds will be used to administer the contract.

ADDENDUM TO ENGAGEMENT AGREEMENT

1. The [name of PHA] and [name of legal service individual or firm] Legal Service Personnel (LSP) engaged to provide professional legal services to the PHA in connection with [briefly and precisely describe the nature, scope and limits of the legal services to be provided by the LSP] agree that the provisions of this Addendum to the Engagement Agreement are hereby incorporated into PHA and LSP's engagement agreement as if they had been set forth at length therein.

2. During the pendency of the legal services engagement, LSP shall not, without HUD approval, represent any officer or employee of PHA, in her/his individual capacity, in connection with potential civil liability or criminal conduct issues related to PHA operations.

3. LSP has an obligation not to, and shall not, interfere with, disrupt, or inappropriately delay or hinder any authorized monitoring, review, audit, or investigative activity of HUD (including the Office of Inspector General), the General Accounting Office (GAO), or the officers and employees of HUD and GAO. Any and all representation by LSP cannot be inconsistent with the foregoing obligation. Specifically, LSP shall not deny access to HUD, GAO, or the officers and employees of HUD and GAO, to PHA records in response to document demands by HUD, GAO, or the officers and employees of HUD and GAO, notwithstanding possible discovery privileges that would otherwise be available to PHA. HUD requires PHAs to provide HUD, GAO, or the officers and agents of HUD and GAO, with "full and free" access to all their books, documents, papers and records. See **24 CFR 85.42(e)(1)**.

4. PHA and LSP shall make available for inspection and copying, by HUD (including the Office of Inspector General), GAO, and the officers and employees of HUD and GAO, all invoices, detailed billing statements, and evidence of payment thereof relating to LSP's engagement. Such records constitute "PHA records" and are subject to section 3, above.

5. If HUD or PHA determines that LSP is violating any provision of this Addendum to the Engagement Agreement, it shall timely notify LSP of such violation. LSP will have 48 hours following its receipt of the notice of violation to cease and desist from further violation of the addendum. If LSP fails to adequately cure the noticed violation within 48 hours: (A) HUD, in its discretion, may demand that PHA terminate the professional legal services engagement for breach, or, henceforth, satisfy all costs associated with the engagement with non-Federal funds; and/or (B) PHA, in its discretion, may terminate the professional legal services engagement for breach. Additionally, HUD may sanction LSP pursuant to **24 CFR** Part **24**.

6. Should any part, term, or provision of this Addendum to the Engagement Agreement be declared or determined by any court of competent jurisdiction to be illegal or invalid, the validity of the remaining parts, terms, and provisions shall not be affected.

_____

Date: [Enter date]

_____ _____

[Enter name of PHA Exec. Dir.] [Enter name of LSP key partner]

APPENDIX 12. GUIDELINES FOR CONDUCTING COST ANALYSIS

A cost or price analysis must be performed in connection with every procurement action including contract modifications. The method and degree of analysis is dependent on the facts surrounding the particular procurement situation. An independent estimate must be made before receiving bids or proposals.

- When evaluating competitive proposals;
- When there is a sole source (or non-competitive proposal);
- When after solitciting bids, only one bid is received, the PHA does not have sufficient data on costs to establish price reasonableness (such as prior purchases of similar nature), and the PHA is considering making an award to the sole bidder;
- When negotiating modifications to contracts that impact the price or estimated cost;
- When terminating a contract and the contractor is entitled to payment of reasonable costs incurred as a result of terminiation; or
- When awarding a cost-reimbursement contract.

The following lists the basic steps in conducting a cost analysis (please refer to chapter 10 for more when a cost analysis is required):

A. Verify cost and price information, including:

1. The necessity for, and reasonableness of, the proposed cost;
2. Technical evaluation or appraisal of the proposed direct cost elements;
3. Application of audited or pre-negotiated indirect cost rates, direct labor rates, etc.;

B. Evaluate the effect of the offeror/contractor's current practices on future costs;

C. Compare costs proposed by the offeror/contractor with the following:

1. Actual costs previously incurred by the same firm;
2. Previous cost estimates from the same firm or other firms for the same or similar items;
3. The methodology to be used to perform the work (are the costs consistent with the technical approach being proposed?);
4. The independent cost estimate (ICE).

D. Verify that the offeror/contractor's cost proposal complies with the appropriate cost principles;

E. Verify that costs are allowable, allocable, and reasonable.

The major categories of costs are:

A. Direct Costs, which include:

1. Direct Labor (personnel)

2. Equipment
3. Supplies
4. Travel and Per Diem
5. Subcontractors
6. Other Direct Costs

Cost Proposal	Cost Principle
For-Profit or commercial organization	FAR Part 31
State or local governments	OMB Circular A-87
Private, non-profit organizations	OMB Circular A-122
Educational institutions	OMB Circular A-21

B. Indirect Costs, which includes:

1. Overhead
2. General and Administrative Expenses
3. Profit (or Fee)

In the process of analyzing costs, profit should be analyzed separately. In analyzing profit, consideration should be given to:

A. Complexity of the work to be performed;

B. Contractor's risk in performing the contract;

C. Contractor's investment in the contracted effort;

D. Amount of subcontracting;

E. Contractor's record of past performance; and

F. Industry profit rates in the general area for similar work.

Remember: The objective is to establish overall cost reasonableness and not individual components.

APPENDIX 13. SAMPLE NOTICE TO PROCEED

PHA NAME: _____

DATE: _____

To: Contractor name and address

Re: Contract Number

Project name/description

A. NOTICE TO PROCEED

Pursuant to the terms of the above contract, you are hereby notified to commence work at the start of business on (**date**). The time for completion, including the starting day, as established by the contract, is (**date**).

It is the responsibility of the contractor to meet the schedule as set forth and in accordance with the terms and conditions of the contract. Failure to comply with the schedule will result in the enforcement of the liquidated damages stated in the contract.

Please note carefully and fulfill the requirements of the contract regarding the submittal and approval of Workmen's Compensation and Manufacturers' and Contractors' Public Liability Insurance.

The contractor shall also contact the PHA in writing within three days prior to mobilization on the project to enable the PHA to coordinate this work with others.

The contractor shall within ten days after receipt of this notice send to the PHA copies of all required permits for work to be performed under this contract. Failure to comply with these instructions shall constitute a breach of contract.

Your cooperation on this construction to its conclusion is of the utmost importance to the PHA.

Sincerely,

Contracting Officer

cc: Contract File

Other PHA Files

APPENDIX 14. SAMPLE CONTRACT MODIFICATION

1. Modification Number: _____

2. Effective Date: _____

3. Contract Number: _____ Dated: _____

4. This Modification Modifies The Contract As Described Below:

This Change Order Is Issued Pursuant To:

(Cite Contract Clause) _____

The Contract Is Modified To Reflect The Following Administrative Changes (E.G., Changes In Payment Office) _____

_____

This Supplemental Agreement Is Entered Into Pursuant

To:

_____

(Cite Contract Clause Or Mutual Agreement Of The Parties)

Other (Specify Type Of Modification And Authority):

5. The contractor ___[is] or ___[is not] required to sign this document and return ____ copies to the Contracting Officer.

6. Description Of Modification: (Include Section, Clause, Page Number, And Subject Matter)

_____

Except As Provided Herein, All Terms And Conditions Of The Contract Remain Unchanged And In Full Force And Effect.

7. Name And Title Of Signer: _____

Date: _____

8. Name And Title Of Contracting Officer: _____

Date: _____

APPENDIX 16. DISADVANTAGED BUSINESS ENTERPRISE RESOURCE LIST

- **Small Business Development Centers (SBDC)**

  SBDC provide businesses with management, marketing and financial counseling. The centers assist in the development of business and marketing plans, improving business ownership skills, financial analysis of businesses, accessing specialized services including export and government marketing and other business management needs.

- **Women's Business Centers (WBC)**

  Each women's business center provides assistance and/or training in finance, management, marketing, procurement and the internet, as well as addressing specialized topics such as home-based businesses corporate executive downsizing and welfare-to-work. All provide individual business counseling and access to the SBA's programs and services; a number of centers are also intermediaries for the SBA's MicroLoan and Loan Prequalification programs. Each WBC tailors its programs to the needs of its constituency; many offer programs and counseling in two or more languages.

- **Minority Business Development Centers (MBDC)**

  The MBDC's provide business development services to aid in the creation, expansion and preservation of minority-owned businesses. It is MBDC's largest client services program and is structured to cover areas that contain approximately 80% of the country's minorities.

- **Native American Business Development Centers**

  The Minority Business Development Agency established the Native American Program (NAP) to address the special problems of the Native American firms and individuals interested in entering, maintaining, or expanding their efforts in the competitive marketplace.

- To view a list of over 800 Trade Associations and similar organizations, visit the HUD OSDBU website at: www.HUD.gov/offices/OSDBU

- To locate local SBA District/Field offices, SBDC and other resources, visit SBA's website at: www.SBA.gov/regions/states.html

- To locate local MBDA regional offices, MBDCs and other resources, visit MBDA's website at: www.MBDA.gov

- The SBA, DOD, the Office of Management & Budget and GSA created an integrated database of small businesses called Central Contractor Registration (CCR). CCR can provide you with listings of small businesses that offer the products and services that you procure. Visit www.ccr.gov

- To facilitate searches for small businesses in particular industries, refer to the North American Industry Classification System (NAICS). Visit the website at: http://naics.com

- To assist you in advertising your contracting opportunities, include your upcoming contracting requirements in MBDA's "Opportunity Database" called Phoenix. Phoenix matches MBE's with contracts and other business opportunities via e-mail at: www.MBDA.gov

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Force Account Labor

A Public Housing Guide

General Discussion

Force Account Labor (FAL) is a work implementation alternative by which a Housing Authority (HA) performs specific improvements using its own labor force by hiring temporary or permanent employees. That is, the HA obtains the materials and equipment needed and directly employs workers to undertake the improvement acting as its own general contractor. The workforce can be external (employees hired in the private market) or internal (currently employed maintenance or other staff at the HA).

References

- ACC, form HUD-53012A (7/95): Attachment V, Section 3 — Main Construction Contract and Other Contracts
- Modernization Regulations under 24 CFR 968.105 and 968.120
- CIAP Handbook 7585.1 REV-4, Chapter 1, Section 1-3.k and Chapter 10
- CGP Guidebook 7485.3 G: Sections 1-2.N, 2-21.0 and 10-2.A
- Capital Fund Final Rule published October 24, 2013

Basic Requirements

- Skillful workforce
- Proper supervision
- Management control system

Assessing FAL

In using the FAL initiative, an HA must have the capacity to serve as its own general contractor to undertake the planned work improvements. Also, before undertaking any FAL improvements, an HA must determine if the nature, scope and type of work items planned can indeed be better accomplished by hiring dedicated labor staff - rather than contracting their implementation in the open market - by performing a Benefit Cost Analysis.

Typically, the use of the FAL concept yields significant savings since the HA itself acts as the general contractor in planning and performing the related improvements. As such, an HA does not has to finance related administrative costs and overhead and profit earned by a private contractor. However, if the basic requirements are not met, then

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[1] 24 CFR 968.105 defines FAL as labor employed directly by the HA on either a permanent or temporary basis.

the outcome may result in shoddy construction that may require additional maintenance and early replacement.

FAL Procedure

Before commencing a FAL initiative, an HA must perform a Benefit Cost Analysis to determine the overall benefits of hiring and administering a local labor force versus contracting the entire task — materials and labor installation — in the open market. The extent and nature of the assessment should be commensurate with the scope of the improvements planned. For basic work items, a simple cost assessment can easily be accomplished in-house by capable maintenance and procurement staff to support the FAL initiative. However, for larger, more complicated rehabilitation improvements, a HA may consider hiring the services of an A/E firm to assist in developing a detailed assessment. As the optional work methodology presents an additional administrative burden to the HA's operation, only after the HA can prove that it would yield considerable savings should it proceed with its implementation. Otherwise, it must issue bid requests (formal or informal) in the open market via a general contract.

Acceptable Labor Workforce

As the existing staff at an HA may be selected to undertake the FAL initiative, the labor workforce for a force account task can be made up of either privately-hired employees or internal HA employees, or a combination thereof. Before determining if currently employed staff can be re-assigned to a FAL task, the HA must assess the skills needed to be sure that they are properly met. If the local staff has the skills needed, then the selected HA employees would be reassigned - as permanent employees — to accomplish the new assignment, and would return to their duties once the specific task is completed. Therefore, current HA employees may be hired under a FAL initiative provided that their regular duties are either suspended or reassigned, and the maintenance of the properties is not compromised. Also, existing HA employees may be assigned to a short-term force account tasks — conjointly with their regular duties - provided the HA complies with applicable Federal and state labor standards, and their regular work assignments are not affected with low productivity or inadequate output which compromises the upkeep of the properties.

Employees hired in the open market may be either on a temporary or permanent basis depending on the scope and duration of the improvements planned, including part-time employees. The decision as to whether use a temporary or permanent workforce needs to be part of the planning processes before the FAL initiative starts. The administrative staff at an HA needs to follow the established Personnel Policy in-place when hiring private employees. HAs may hire force account workers through a local employee

service agency or by researching the classified ads of local newspapers for qualified employees. For specialized trades or licensed classification of employees, HAs should may also consider placing ads in the local newspapers or nationally recognized housing associations. In addition, related websites available in the Internet can be used to search qualified employees.

However, the hiring of permanent employees in the open market must be supported with additional budgetary resources after completion of the specific FAL task; otherwise, such employees will have to be terminated after completion of the initiative. The established policies and procedures at the HA will determine the nature of the employee benefits to be awarded to the temporary/permanent employees hired such as retirement, payroll taxes for Social Security benefits, health insurance, Federal Insurance Contributions Act (FICA), etc. These costs must be part of the Benefit Cost Analysis, particularly for larger FAL initiatives.

Unacceptable Labor Workforce

Per Section 19 of the Annual Contributions Contract (ACC), it is a *Conflict of Interest to* hire or enter into a contract, subcontract or any arrangement with (1) any present or former member or officer of the governing body of the HA, or any member of the officer's immediate family, (2) any employee of the HA who formulates policy or influences decisions with respect to the project(s), or any member of the employee's immediate family, or the employee's business partner, and (3) any public official, member of the local governing body, or State or local legislator, or any member of such individuals' immediate family, who exercise functions or responsibilities with respect to the project(s) or the HA. These criteria must be strictly enforced by all HAs undertaking FAL initiatives. Therefore, HAs must ensure that the hiring of private employees is properly accomplished in a fair and transparent manner ensuring full competition.

The hiring of company owners, officers or laborers directly employed by a construction or related entity in the private market is not allowed unless such employees leave their private services and make a permanent transfer to work with the HA, whether in a temporary or permanent basis. As such, HAs are forbidden from hiring several employees from a private entity as such hiring is in direct violation of Federal Procurement Policy **(VERIFY).**

Labor Skills

Regardless of the type of workforce used, whether external or internal, temporary or permanent, the HA must ensure that the force account employees have the necessary skills to perform the duties to be assigned. A sample of force account staff may include

a combination of the following employee classifications: foreman, journeyman licensed electrician, electrician's helpers, journeyman licensed plumber, plumber's helpers, painters, lead carpenter and laborer, and carpenters and laborers. All wages paid for force account workers must be in compliance with applicable Davis-Bacon wage rates, as applicable. In addition, the employees' contracts should outline the labor skills required, licensing requirements, duration of the assignment, wages earned, fringe benefits, etc.

Management and Supervision

The Executive Director or either the Maintenance Director/Superintendent at the HA will be responsible to plan and implement a FAL initiative. Therefore, HAs must carefully determine if they have the experience and time needed to undertake the force account task planned due to the managerial burden it possesses (e.g., ability in hiring skillful workers, controlling productivity, managing subcontractors, ordering materials and equipment, obtaining required permits, and keeping proper records of all related transactions.) Also, if applicable, HAs will be required to fully comply with related tasks, such as abatement of Asbestos Containing Materials (ACMs), Lead-Based Paint (LBP) regulations, and Uniform Federal Accessibility Standards (UFAS).

Due to the savings realized, the management of a small work improvement of a short duration would not significantly interfere with the senior staff regular duties. However, for large work improvements of a long duration and complexity with multiple trades, it may be prudent for the HA to hire a construction manager or Clerk of the Works (COW) to supervise the FAL initiative. This would ensure that the work is completed in a timely manner, under budget and be of high quality. Examples of cases in which a HA may hire an experienced construction manager (to act as a general contractor) is when FAL is used for the full rehabilitation of a significant number of dwelling units (including kitchens and bathrooms) where a large workforce is needed, such as foremen, electricians and plumbers, helpers, carpenters, painters and lead or regular laborers. As an option, for large FAL initiatives, an HA may also consider contracting out in the open market related skilled work such as roofing, kitchen cabinet and countertop installation, space heater and forced warmed air furnace installation, and painting. It is noted that these trades are highly specialized and it is cost effective to fully contract them out in coordination with other FAL work improvements planned by the HA.

An HA undertaking a FAL initiative must have in place a management control system to plan the purchase of needed materials and equipment, hire skillful workers for the specific task, process all related payments and properly supervise all employees. This would ensure that the specific improvements undertaken are properly installed.

Equipment and Materials

Any construction work accomplished *outside* FAL must be procured per applicable regulations at 24 CFR 85.36. This means that the HA will follow its Procurement Policy and Procedures in obtaining the materials and equipment to be installed via a FAL initiative.

While a HA's Maintenance Department may be able to handle a basic force account improvement, larger scale improvements may require more detailed planning and additional support services. For example, savings are typically achieved by purchasing materials in bulk quantities where deemed appropriate, and the use of rental space such as a secure warehouse. The acquisition of support equipment (e.g., vehicles, dump trucks, etc.) must be fully justified in relation to the scope of work and may be purchased or leased depending on the specific need. Any dedicated or specialized equipment must be disposed of once the initiative is accomplished if no longer needed for the general operation of the HA or the Maintenance Department. The cost and administration of all related equipment and materials must be clearly identified in the Benefit Cost Analysis.

HUD approval

The regulations at 24 CFR 968.120 require that HUD approve the use of the FAL initiative in an approved budget before the HA undertakes any FAL activities, except that no prior HUD approval is required where an HA is designated both as an Overall High Performer and a Modernization High Performer under the Public Housing Management Assessment Program (PHMAP). This requirement applies to all HAs provided Capital Funds under 24 CFR 905. The Field Office shall only approve the use of a FAL initiative where (1) it is *cost-effective and appropriate* to the physical improvements being undertaken, and (2) the HA has the *capacity to* serve as its own contractor. These two basic criteria shall be considered before the Field Office staff approves the use of a FAL initiative in a capital budget. Otherwise, the HA shall be required to fully contract the specified work improvement in the open market.

Final Capital Fund Rule (see 24 CFR 903, 905, 941) regulations are published, HAs must follow the regulations at 24 CFR 968 in the administration of the capital (modernization) program except where statutory requirements implemented per QHWRA prevail.

Wage Decisions

Davis-Bacon wage rates are required for all FAL initiatives depending on the type of improvements planned by the HA. Once the work improvements to be undertaken have been finalized, the HA must contact the Labor Department to obtain the applicable wage decisions based on the labor skills for the specific improvement(s).

Program Accounts

Typically, work improvements using the force account work shall be charged to the following eligible Capital Fund program accounts: 1410, Administration; 1430, Fees and Costs; 1450, Site Improvement; 1460, Dwelling Structures; 1465.1, Dwelling Equipment; 1470, Non-Dwelling Structures; and 1475, Non-Dwelling Equipment.

Obligations and Expenditures

The Department defines obligation of funds as the cumulative amount of modernization commitments entered into by an HA, that is, contract execution for contract labor, materials or services. For FAL, obligation means the initiation and continuation of the planned improvements in their entirety, that is, their full estimate, including all related administrative costs. For force account work, all funds for a group of sequentially-related work items are considered obligated when the first work item is started and the HA continues to obligate and expend the funds at a reasonable rate on all additional, related work improvements. For a single force account work item, obligation is defined as the initiation of the one work item.

Once a FAL initiative commences, it is expected that the HA show reasonable progress through increased fund expenditures at a rate which would allow completion within the time-frame set forth in the Progress Schedule for the specific work improvement(s), whether a single task or a group of sequentially-related work improvements. Once funds are disbursed via the Line of Credit Control System (LOCCS, HAs should properly expend the funds for eligible improvements related to the FAL initiative within the recommended three days.

In planning the FAL initiative, an HA must outline the timeframes for completion based on the nature and scope of work and related labor skills involved. This would facilitate the monitoring of the tasks involved. It is expected that HAs accurately report all obligations and expenditures when undertaking force account labor, including the purchasing of equipment and materials, administrative costs, etc. As part of the planning requirements, HAs shall develop official Progress Schedules to monitor the implementation and completion of all related work improvements.

HUD Monitoring

The Field Office staff will monitor the implementation of force account activities as part of the established review processes in-place for the Capital Fund program. This involves the review of the required Benefit Cost Analysis and savings projections; the examination of all related records, including hiring procedures of employees and procurement transactions of all equipment and materials used; assessing supervision and administration of the physical improvements; review of the obligation/expenditure rates reported by the HA; and quality of completed work.

Force account improvements shall be completed per contract requirements and be of acceptable quality based on applicable national work standards. Also, HUD will also review the reported obligations and expenditures to ensure that they were not overstated and reflect the actual cost of the contracted improvements undertaken via the FAL initiative.

Force Account Labor

Field Office Review Guide

HA: _____ Date of Review: _____

Work Item(s) or Task(s): _____

Start Date: _____ Completion Date: _____

Type of employees: Temporary or Permanent Employees; Private Market or In-house

No. of employees hired and skills: _____

Item	FAL Assessment Area	Comments
1	Did the HA perform a Benefit Cost Analysis to support the FAL task? Is it acceptable? What are the estimated savings generated compared to contracting the work in the private market?	
2	Review the hiring procedures per personnel procedures in place at the HA and determine appropriateness. Are there contracts for each employee hired from the private industry?	
3	Where related materials and equipment properly procured?	
4	Did the HA implement adequate supervision to monitor the work improvements?	
5	Did the HA obtained proper wage rates for the work classifications?	
6	Did the HA meet the timeframes per progress schedules? Were there any delays?	
7	Are the work improvements acceptable per applicable standards?	
8	The current rate of work improvements will result in the timely obligation/expenditure of the funds by the established due dates.	

PREVENTIVE MAINTENANCE PROCEDURE

PREVENTIVE MAINTENANCE ELECTRIC WALL HEATERS: ANNUALLY

1. If radiant heat, check for proper operation, including thermostat.
2. Clean and dust, if needed.

PREVENTIVE MAINTENANCE BATTERY EMERGENCY LIGHTING: ANNUALLY

1. Check for proper operation during a power outage - disconnect AC power by unplugging unit or using the test switch.
2. Change battery and/or light bulbs as required.

PREVENTIVE MAINTENANCE SMALL BATHROOM EXHUAST FANS: ANNUALLY

1. Check switch operation.
2. Check operation of fans:
    a. Listen for any unusual noises or vibrations for indication of misaligned fan.
    b. Check fan for proper speed.
3. Open housing and clean fan motor and blades, if required.

PREVENTIVE MAINTENANCE ROOF: ANNUALLY

1. Remove any trash or debris from roof.
2. Thoroughly inspect roof for damage and deterioration. Check for the following items:
    a. Punctures.
    b. Raised fasteners.
    c. Bare felt - missing shingles.
    d. Lack of aggregate.
    e. Loose or cracked flashing.
    f. Gutters and downspouts (check to see if they are clean: clean when necessary).
    g. Ridge and saddle condition.
    h. Stack vents free of obstruction.
3. Perform minor roof repairs, as needed.
4. Visually check gutters and downspouts - checking to make sure they are secured.

PREVENTIVE MAINTENANCE WINDOWS AND WINDOW HARDWARE:
ANNUALLY

1. Check general condition of windows and window frames. Make any necessary repairs.
    a. Replace broken or cracked panes.
    b. Replace rotten wooden sills or frames.
    c. Prime pitted metal frames.
    d. Re-caulk missing or cracked caulking.
2. Check window lock operation.
3. Open and close windows to check operation.
4. Check window screens and replace torn screens.

PREVENTIVE MAINTENANCE GARBAGE DIPOSAL UNIT:
ANNUALLY

1. Check for proper operation:
    a. Turn on and make sure it rotates.
    b. Check for vibration.
2. Look down with light into the surface of the unit to check the condition of the blades. Remove any foreign material.

PREVENTIVE MAINTENANCE WATER COOLERS:
ANNUALLY

1. Check operation of water valve.
2. Inspect for water leaks.
3: Check drains for clogging. Clean drains, if needed.
4. Check water temperature.
5. Inspect the water bowl for scale buildup.
6. Check compressor compartment, fan motor, fan blades, and condenser coils - clean if needed. Straighten any bent fins.
7. Inspect cord and plug (or wiring) for breaks in insulation.

PREVENTIVE MAINTENANCE DOMESTIC HOT WATER HEATER (GAS & ELEC):
ANNUALLY

1. Check operation, including controls.
2. Inspect unit and piping for leaks, holes, or loose connection.
3. Natural gas fired units:
    a. Inspect and clean burners, if needed.
    b. Check auto pilot operation.
    c. Inspect condition of flue and clean, if needed.
    d. Check firebox for soot buildup.
4. Record temperature on work order.
5. Reduce temperature setting if higher than 130°.
6. Check temperature/pressure valve for proper operation, and check that drain pipe has a length sufficient to satisfy code requirements.
7. Check and remove combustible materials.
8. Clean around and beneath hot water heater.

PREVENTIVE MAINTENANCE PLUMBING SYSTEMS:
ANNUALLY

Kitchens and Rest Rooms

1. Check kitchen sink, bathroom lavatory, commode and urinal:
    a. Inspect fixtures for cracks.
    b. Inspect for plumbing leaks and repair. Check operation of all water valves and faucets.
    c. Check commode seat and hardware. Tighten if loose and replace as required.
    d. Check commode flush valve operation.
    e. Check drains to see if they are clear - Treat all drains with enzymes. f. Check commode base for leak.
2. Check hot water heater (refer to domestic hot water heater P.M Procedure)
3. Check floor drains, where applicable, to see if they are clear. Replace covers if broken.

PREVENTIVE MAINTENANCE THROUGH-THE-WALL AIR CONDITIONING UNITS (P-TAC):
ANNUALLY

1. Check to be sure air conditioning unit is functioning properly.
2. Listen for unusual knocks or noises.
3. Inspect unit for condensate leaks.
4. Clean filter if reusable; change filter if throwaway type.
5. Remove unit for cleaning:
    a. Blow out condenser and evaporator coils.
    b. Wash coils if they become sticky or clogged.
6. Inspect all wiring and clean all controls.

PREVENTIVE MAINTENANCE SPLIT SYSTEM UNITS AND AIR TO AIR HEAT PUMPS:

ANNUALLY

Interior Evaporator

1. Listen for any unusual noises or vibrations and check to make sure the unit is cooling properly.
2. Replace filters - quarterly.
3. Check unit for proper operation:
    a. Check operation of all controls - cycle unit on and off.
    b. Listen for any unusual noises or vibrations and make sure the fan is properly aligned.
4. Remove cover and clean all coils, fan blades, condensate pans, and make sure condensate drain line is clear of obstruction. Straighten any bent fans.
5. Lubricate all non-sealed bearings.
6. Check for refrigerant and oil leaks.
7. Inspect all wiring and clean all controls
8. Check operation of supplemental electric heat strips on air-to-air heat pumps.
9. Vacuum interior of unit and clean blower blades.

Exterior Compressor and Air Cooled Condenser

1. Check unit to make sure no trash, debris or vegetation is blocking proper air flow.
2. Listen for any unusual noises or for "short-cycling".
3. Thoroughly clean condenser coils and fan blades and straighten bent fins or fan blades.
4. Lubricate all non-sealed bearings.
5. Check for refrigerant and oil leaks.
6. Inspect all wiring and clean all controls. Check contactors and tighten electrical connections.
7. Thoroughly inspect both the interior and exterior of the unit for corrosion. Remove corrosion with sandpaper and/or naval jelly and repaint with rust inhibitor paint.

PREVENTIVE MAINTENANCE EXTERIOR BUILDING SURFACES:

ANNUALLY

1. Check for graffiti and remove.
2. Inspect walls for cracks, painting requirements and condition of grout on brick walls.
3. Check building numbers and signs - replace and tighten as required.
4. Check condition of entrance steps, handrails, porches and patios - make the necessary repairs.
5. Check exterior lighting fixtures are in place and working properly. Repair/replace as needed.

PREVENTIVE MAINTENANCE ELECTRIC AND GAS RANGE: ANNUALLY

1. Check surface and oven burners for proper operation:
   a. Check standing pilot operation.
   b. Check color of flame.
2. Clean and adjust burners, if needed.
3. Check for any gas leaks (odor check and use gas leak detector on all fittings).
4. Check oven door operation (gaskets and hinges) and replace as needed
5. Check oven light and replace as required.
6. Visual check of automatic shutoff.
7. Check knobs for legible temperature settings and replace as needed.
8. Check for electrical shorts.
9. Check elements and drip pans and replace as needed.
10. Check grease buildup for potential fire hazard.

Range Hood Vents

1. Check exhaust vent/fan motor
   a. Check proper speed.
   b. Check noise/vibration.
2. Check light bulb and replace as needed.
3. Check for peeling paint on units that are painted.
4. Check grease buildup for potential fire hazard.
5. Check all connections.
6. Replace filters as needed.

PREVENTIVE MAINTENANCE REFRIGERATORS: ANNUALLY

1. Check operation by turning thermostat to highest and lowest setting and listen to hear if the compressor responds.
2. Clean compressor and compressor compartment, if needed. Inspect for any refrigerant oil leaks.
3. Clean condenser coils.
4. Check condition of door gasket and adjust or replace it if necessary.
5. Inspect cord and plug. Replace if insulation is broken.
6. Inspect interior of unit for interior wall cracks.
7. If refrigerator has fan:
   a. Check operation of fan motor:
   b. Clean fan motor and blades, if needed.
8. Inspect refrigerator bar and brackets (repair/replace as needed).
9. Inspect door handles and replace as needed.
10. Inspect defrost pan.
11. Check temperature controls.
12. Check interior shelves and supports.
13. Check light switch/bulb and replace as needed.
14. Check crisper tray.
15. Check kick plate.

PREVENTIVE MAINTENANCE INTERIOR OF UNITS/APARTMENTS: ANNUALLY

Walls and Ceilings

1. Check for general condition. Patch all cracks and holes.
2. Look for water stains as an indication of roof or plumbing leaks.
3. Check ceramic tile walls for grouting condition, and cracked or missing tiles. Replace as required.
4. Check bathroom mirrors and cabinets. Replace broken glass.

Floors

1. Inspect concrete floors for cracks and pitting. Patch as required.
2. Check the floors for missing, cracked or loose tiles. Replace as required.
3. Check carpeted floors for wear, loose seams, tears and condition. Repair as required.
4. Check for loose baseboards and reattach.

Cabinets, Desks, Bookshelves and other Furniture

1. Check for general condition. Look for warping, missing panels, missing hardware and loose Formica.
2. Tighten latches and hinges.

Stairs

1. Look for loose stair treads and reattach.
2. Tighten loose handrails.
3. Replace handrail brackets as needed.

Smoke Alarms

1. Open the cover to brush and clean.
2. Depress activator to test and use "smoke in a can" to smoke test. 3. Check alarm installation for proper connection.
3. Replace battery if needed or annually.
4. Replace unit, if defective beyond minor repair.

Carbon Monoxide Alarm

1. Check alarm installation for proper connection.
2. Depress activator to test.

GFCI's

1. Depress Activator to test, reset GFI outlets

Outlets

1. Use test light to test outlets that are accessible. If test light does not glow, identify and correct problem.

Closets

1. Check doors, door hardware, shelving, and rod(s)

Fire Exits

1. Where applicable - check that sign(s) are clearly marked and visible.

PREVENTIVE MAINTENANCE DOORS AND DOOR HARDWARE: ANNUALLY

1. Check door latching and locking operation:
    a. Open and close door - check for any difficulties or problems and correct.
    b. Make sure panic bars, door knobs and door pulls work and are not loose.
    c. Lock and unlock door - check for any problems.
2. Check, adjust and lubricate door closures.
3. Lubricate door hinges - using door hinge lubrication.
4. Inspect door and door frame for general condition and alignment and make necessary repairs. Check door glass, kick plates, push plates, weather stripping, etc.
5. Check door stops and replace as needed.

PREVENTIVE MAINTENANCE LARGE EXHAUST FANS: ANNUALLY

1. Check to see if units are operating properly. Listen for any unusual noises or vibrations and correct.
2. Lubricate all non-sealed bearings.
3. Inspect belt condition, alignment and condition on belt driven units. Replace, align and adjust tension as required.
4. Inspect exhaust fan superstructure.
5. Check motor and fan bearings.
6. Clean fan or blower blades (where applicable).
7. Inspect general condition of exterior and interior of unit. Treat and paint corroded areas.
8. Check operation of controls.
9. Clean exhaust grill.

PREVENTIVE MAINTENANCE ELECTRIC SPACE HEATERS: ANNUALLY

1. Check operation:
    a. Turn thermostat to highest and lowest settings and check response of unit.
    b. Listen for any unusual noises or vibration as an indication of fan misalignment.
2. Clean and inspect fan motor and blades.
3. Lubricate non-sealed motor bearings.
4. Check electrical heating element and clean.
5. Check electrical cord. Replace or repair as necessary.

PREVENTIVE MAINTENANCE GROUND, EXTERIOR INSPECTION: ANNUALLY

Driveways and Sidewalks

l. Surface material unbroken; free of obstruction or trip hazard.

Trees and Shrubs

1. Pruned.

Playgrounds

1. Free of debris; containers in good repair.

Parking Lots

Clotheslines

1. Check - tighten or replace as needed.

Drains

1. Check for debris and in good repair.

Erosion

1. Check and report.

PARKING LOTS AND COMMON AREAS: DAILY

1. Litter free; no abandoned vehicles.
2. If litter is a problem start the day off with all staff members picking up trash until the problem is under control and a system has been established to bill the responsible tenant.

SAMPLE HOUSING AUTHORITY
PREVENTIVE MAINTENANCE POLICY

Adopted: August 15, 2018

Preventive maintenance is work undertaken according to a schedule to prevent breakdown of major mechanical systems and equipment, and to prevent the deterioration of apartments and equipment. The PHA Preventive Maintenance Program will include regular comprehensive inspections and repairs of all units, equipment, buildings, and common areas. Identifying these maintenance needs will help the authority reduce the frequency and severity of breakdowns and service interruptions. These inspections will include checking, measuring, observing, and correcting deficiencies found in the units, major mechanical systems, equipment/vehicles, exterior of units, and grounds.

The PHA Preventive Maintenance Program will be the key to achieving control of maintenance. It will reduce resident-generated work orders to a manageable level, speed up vacancy turnaround since units will be generally in better condition upon a vacate, and provide information to management for follow-up with regard to care of the unit by the occupant.

The Maintenance Department will have more control over the scheduling of preventive maintenance than it has over routine corrective or emergency maintenance. Repair needs caught early will prevent emergencies, save dollars later, and substantially reduce resident generated work-orders. The preventive maintenance inspections and work also will help establish a record of deterioration which may signal modernization needs that can be systematically planned and scheduled. This maintenance will avoid waiting for a major crisis to occur before addressing a predictable problem.

The PHA Preventive Maintenance Schedule will identify when tasks need to be completed. The system in place will record the date each inspection was conducted, who did it, and a process for ensuring that needed work is completed. This process will assign accountability to inspectors, and provides a sense of responsibility for their work.

When the preventive maintenance program requires work that is predictable and repetitive (such as cleaning burners or replacing filters), maintenance staff will tend to work from a schedule. If inspections identify a need for unanticipated repairs, or replacements, the staff will generate work orders. If work orders are written, they will be identified as routine or emergency and will follow the work assignment process. A schedule of unit inspections will be prepared at the beginning of each calendar year and monitored each month to ensure that all units are inspected at least annually.

SAMPLE HOUSING AUTHORITY
MAINTENANCE PLAN
(Adopted August 15, 2018)

The Maintenance Department of the Sample Housing Authority is responsible for managing the maintenance function in the most cost effective manner possible while maximizing the useful life of Authority properties and providing the best service to Authority residents. The Sample Housing Authority owns and maintains all of the public housing units in Sampleville The following statements are designed to establish the structure of an effective and efficient maintenance system

1.0 COMPONENTS OF A MAINTENANCE SYSTEM

The Sample Housing Authority maintenance system shall include certain components:

A. A system of priorities for work requests;
B. Comprehensive working procedures;
C. Performance goals;
D. A work order system;
E. A skills training program; and
F. A long range planning system.

By developing a maintenance system that has these components in place, the authority will have the tools it needs to control the performance of maintenance work at the Housing Authority.

1.1 PRIORITY SYSTEM

The work priorities adopted by the Housing Authority exemplify its philosophy of delivering maintenance services. This priority system ensures that the most important maintenance work is done at a time it can be performed most cost-effectively. Minimizing vacancy loss is part of the cost-effectiveness calculation. The maintenance prioritess of the Housing Authority are the following:

1. Emergencies - maintenance needs representing threats to life, health and safety or the property.
2. Maintenance needs related to curb appeal, facility appearance and preventive maintenance.
3. Maintenance required preparing a unit for occupancy.
4. Maintenance work which will have a negative impact on the property if it is not completed. This priority level will include most resident on-demand work request.
5. Maintenance needs not included in other areas.

Placing planned maintenance and vacancy preparation work ahead of resident work requests does not indicate that resident requests are unimportant. It emphasizes the importance of maintaining control of the maintenance work by performing scheduled routine and preventive work first. By doing so, the Authority will decrease on-demand work and maintain the property in a manner that will keep and attract good tenants.

1.2 DEVELOP PROCEDURES

The Director of Maintenance will ensure that there are sufficient clear procedures in place to allow staff to implement this maintenance plan statement. All procedures will include the following:

A. A statement of purpose;
B. The job titles) of the staff members) responsible for carrying out the activities in the procedure;
C. Any forms needed to carry out the activities; and
D. The frequency of any specified activities.

After their adoption, maintenance procedures will be reviewed and updated at least annually.

1.3 DEVELOP PERFORMANCE STANDARDS AND GOALS

The Director of Maintenance will establish measures that will allow the effectiveness of maintenance systems and activities to be evaluated. In establishing these standards the Housing Authority will take into consideration certain factors:

A. Local housing codes;
B. Public Housing Assessment System (PHAS) standards; and
C. Housing Authority job descriptions.

Nothing in the documents listed above will prevent the Housing Authority from setting a standard that is higher than that contained in the documents. These standards and goals will be used to evaluate current operations and performance and to develop strategies to improve performance and meet the standards that have been set.

1.4 WORK ORDER SYSTEM

The Housing Authority shall have a comprehensive work order system that includes all work request information: source of work, description of work, priority, cost to complete, days to complete, and hours to perform. This information is required for the Authority to plan for the delivery of maintenance services as well as evaluate performance. To obtain the greatest effectiveness from the work order system, all work requests and activities performed by maintenance staff must be recorded on work orders.

Work orders will contain, at a minimum, the following information:

A **Preprinted number**

B **Source of request (planned, inspection, resident, etc.)**

C **Priority assigned**

D **Location of work**

E **Date and time received**

F **Date and time assigned**

G **Workers) assigned**

H **Description of work requested (with task number)**

I **Description of work performed (with task number)**

J **Estimated and actual time to complete**

K **Materials used to complete work**

L **Resident charge**

M **Resident signature**

1.5 TRAINING

In order to allow its staff members to perform to the best of their abilities, the Housing Authority recognizes the importance of providing the staff with opportunities to refine technical skills, increase and expand craft skills, and learn new procedures. Each employee must participate in at least 8 hours of training annually.

The Director of Maintenance is responsible for developing a training curriculum for the departmental staff and working with personnel department staff to identify the means of delivering the training.

1. 6 LONG RANGE PLANNING

The Housing Authority will put in place a long-range maintenance planning capability in order to ensure the most cost-effective use of Authority resources and the maximum useful life of Authority properties.

The Director of Maintenance will develop 'a property-specific long-range planning process that includes the following components:

A. A property maintenance standard;
B. An estimate of the work required to bring the property to the maintenance standard
C. An estimate of the work required to keep the property at the maintenance standard including routine and preventive maintenance workloads, vacant unit turn-around, inspection requirements and re-inspection of tenant on-demand work;
D. An estimate of the on-going cost of operating the property at the maintenance standard;

E. A market analysis of the property to determine if there are any capital improvements needed to make the property more competitive;
F. A cost estimate to provide the specified capital improvements; and
G. A revised work plan and cost estimate of maintaining property at the improved standard.

By developing a work plan, the Authority will be able to anticipate its staff, equipment and material needs. It will also be possible to determine need for contracting a particular service.

2.0 MAINTAINING THE PROPERTY

All maintenance work performed at Housing Authority properties can be categorized by the source of the work. Each piece of work originates from a particular source -- an emergency, the routine maintenance schedule, the preventive maintenance schedule, a unit inspection, a unit turnover, or a resident request.

2.1 RESPONDING TO EMERGENCIES

Emergencies are the highest priority source of work. The Housing Authority will consider a work item to be an emergency if the following occur:

A. The situation constitutes a serious threat to the life, safety or health of residents or staff; or
B. The situation will cause serious damage to the property structure or systems if not repaired within twenty-four (24) hours.

If a staff member is unsure whether or not a situation is an emergency, he or she will consult with his or her supervisor. If a supervisor is not available, the employee will use his or her best judgment to make the decision.

For emergencies that occur after regular working hours, the Housing Authority shall have a twenty-four (24) emergency response system in place. This response system includes the designation of a maintenance employee in charge for each day as well as **a list of qualified pre-approved contractors,** open purchase orders for obtaining required supplies or equipment, and access to Authority materials and supplies. The designated employee shall prepare a work order and report on any emergency within twenty-four hours after abatement of the emergency.

2.2 PREPARE VACANT UNITS FOR REOCCUPANCY

It is the policy of the Housing Authority to reoccupy vacant units as soon as possible. This policy allows the Authority to maximize the income produced by its properties and operate attractive and safe properties.

The Director of Maintenance is responsible for developing and implementing a system that ensures an average turn-around time of fifteen (15) calendar days. In order to do so, he or she must have a system that can perform the following tasks:

A. Forecast unit preparation needs based on prior years' experience;

B. Estimate both the number of units to be prepared and the number of hours it will take to prepare them; and

C. Control work assignments to ensure prompt completion.

The maintenance procedure for reoccupying vacant units relies on the prompt notification by management of the vacancy, fast and accurate inspection of the unit, ready availability of workers and materials, and good communication with those responsible for leasing the unit. The Director of Maintenance has the ability to create special teams for vacancy turnaround or to hire contractors when that is required maintaining Authority goals.

2.3 PREVENTIVE MAINTENANCE PROGRAM

Preventive maintenance is part of the planned or scheduled maintenance program of the Housing Authority. The purpose of the scheduled maintenance program is to allow the Authority to anticipate maintenance requirements and make sure the Authority can address them in the most cost-effective manner. The preventive maintenance program focuses on the major systems that keep the properties operating. These systems include heating and air conditioning, electrical, life safety and plumbing.

A. General Operating Systems

The heart of any preventive maintenance program is a schedule that calls for the regular servicing of all systems. The development of this schedule begins with the identification of each system or item that must be checked and serviced, the date it must be serviced, and the individual responsible for the work. The servicing intervals and tasks for each system must be included in the schedule. The completion of all required tasks is considered a high priority for the Housing Authority.

The systems covered by the preventive maintenance program include but are not limited to:

1. Catch basins
2. Condensate pumps
3. Electric transformer and emergency generators
4. Emergency lighting
5. Exhaust fans
6. Exterior lights
7. Fire extinguishers and other life safety systems
8. Heating and air conditioning equipment
9. Mechanical equipment and vehicles
10. Sanitary drains
11. Domestic water

A specific program will be developed for each system. This program shall include a list of the scheduled service maintenance for each system and the frequency and interval at which that service must be performed. The equipment and materials required to

perform the service will be listed as well so that they will be on hand when needed. As assessment of the skills or licensing needed to perform the tasks will also be made to determine if an outside contractor must be used to perform the work. The preventive maintenance schedule must be updated each time a system is added, updated, or replaced.

B. Roof Repairs/ Replacement

Maintenance of roofs requires regular inspections by knowledgeable personnel to ensure that there is no unauthorized access to roof surfaces and that there is good drainage, clear gutters and prompt discovery of any deficiencies.

The Director of Maintenance is responsible for the development of a roof maintenance plan that includes these features:

1. The type, area, and age of roof
2. Warranties and/or guarantees in effect
3. Company that installed the roof
4. Expected useful life of roof
5. History of maintenance and repair
6. Inspection schedule

The authority maintenance staff will usually undertake only minor roof repairs. Therefore there should be a list of approved roofing contractors to take on more serious problems for roofs no longer under warranty.

C. Vehicle/Equipment Maintenance

The Housing Authority will protect the investment it has made in vehicles and other motorized equipment by putting in place a comprehensive maintenance program. The vehicles and equipment to be covered include:

1. Cars, trucks and vans
2. Tractors
3. Bobcats
4. Leaf blowers
5. Weed cutters
6. Lawn Mowers
7. Chain saws

The Director of Maintenance is responsible for the development of this plan which shall contain components for minimal routine service as well as servicing for seasonal use. Serviceable components for each vehicle or piece of motorized equipment will be listed in the plan along with the type and frequency of service required.

The Director of Maintenance shall also maintain a system to ensure that any employee that operates a vehicle or piece of motorized equipment has the required License or certification.

D. Lead-Based Paint

The Housing Authority is committed to controlling lead-based paint hazards in all its dwellings, especially family dwellings constructed before 1978. If any hazards are discovered, the Authority will develop a plan to abate the hazard. The Director of Maintenance and Construction Manager shall have the authority and responsibility to direct all activities associated with lead hazard control. The control plan will include such activities as:

1. Detecting the possible presence of lead paint;
2. Protection of residents and workers from lead-based paint hazards;
3. Surface protection of non-painted surfaces;
4. Equipment use and care;
5. Paint quality; and
6. Method of application.

Other responsibilities include directing training sessions, issuing special work orders, informing residents, responding to cases of children with elevated blood lead levels, correcting lead-based paint hazards on an emergency repair basis, and any other efforts that may be appropriate.

The Housing Authority's plan to control such hazards is detailed in a risk assessment report and lead hazard control plan.

E Life Safety Systems

The Housing Authority shall have a comprehensive program for maintenance of life safety systems to ensure that they will be fully functional in the case of an emergency. The Director of Maintenance shall be responsible for the development and implementation of a schedule that includes the inspection, servicing and testing of this equipment. The equipment to be included in the plan includes the following:

1. Fire alarms and fire alarm systems
2. Fire extinguishers
3. Fire hoses
4. Emergency generators
5. Emergency lighting
6. Smoke and Carbon Monoxide Detectors
7. Sprinkler systems

The plan will include the required testing and servicing as required by manufacturer's recommendations. It will also include a determination of the most reliable and cost effective way to perform the work including the decision to hire a contractor.

2.4 INSPECTION PROGRAM

The Housing Authority's goals of efficiency and cost-effectiveness are achieved through a carefully designed and rigorously implemented inspection program. This program calls for the inspection of all areas of the Authority's property including

A. Dwelling Units
B. Site, Building Exteriors/Systems and Common Areas

Dwelling Unit Inspections

The unit inspection system of the Housing Authority has two primary goals:

A. To assure that all dwelling units comply with standards set by HUD and local codes; and
B. To assure that the staff of the Housing Authority know at all times the condition of each unit for which they are responsible.

The achievement of these goals may require more than the annual HUD required inspection. The Director of Maintenance is responsible for developing a unit inspection program that schedules inspections at the frequency required.

For all non-emergency inspections, the Resident shall be given at least two (2) days written notice of the inspection.

The maintenance staff or a UPCS certified contractor shall perform the unit inspection program of the Housing Authority. During each inspection, the staff shall perform specified preventive and routine maintenance tasks. Any other work items noted at the time of the inspection will be documented on the Housing Authority inspection form. All uncompleted work items shall be converted to a work order within twenty-four hours of the completion of the inspection. The maintenance staff shall endeavor to complete all inspection-generated work items within 15 days of the inspection.

All maintenance staff is responsible for monitoring the condition of dwelling units. Whenever a maintenance staff member enters a dwelling unit for any purpose, such as completing a resident request for service or accompanying a contractor, he or she shall record on an inspection form any required work he or she sees while in the apartment. These work items shall also be converted to a service request within twenty-four hours of discovery.

Building and Grounds Inspections

Regular inspections of the property grounds and building exteriors are required to maintain the curb appeal of the property. This curb appeal is required to maintain the attractiveness of the property for both current and prospective residents. The inspection procedure will specify the desired condition of the areas to be inspected. This defined condition will include any HUD or

locally required standards. The existence of these standards shall not prevent the Housing Authority from setting a higher standard that will make the property more competitive in the local market.

Building and grounds inspections must cover these areas.

A. Hallways
B. Stairwells
C. Community room and other common space such as kitchens or public restrooms
D. Laundry facilities
E. Lobbies
F. Common entries
G. Basements
H. Grounds
I. Porches or patios
J. Parking lots
K. Sidewalks and fences
L. Lawns, shrubs and trees
M. Trash compactors or collection areas
N. Building foundations

An inspection form will be developed for common areas and building exteriors and grounds. The staff member responsible for the inspection shall note all deficiencies on the form and ensure that these deficiencies are recorded on work order within twenty-four hours of the inspection. The Housing Authority will complete all inspection-generated work items within 15 days of the inspection.

Nothing in this plan shall prevent any Housing Authority staff member from reporting any needed work that they see in the regular course of their daily activities. Such work items shall be reported to the site manager of the appropriate property.

Systems Inspections

The regular inspection of all major systems is fundamental to a sound maintenance program. The major systems inspection program overlaps with the preventive maintenance program in some areas. To the extent that inspections, in addition to those required for scheduled service intervals, are needed, they will be a part of the inspection schedule. Any work items identified during an inspection shall be converted to a work order within twenty-four hours and completed within 15 days.

2.5 SCHEDULED ROUTINE MAINTENANCE

The Housing Authority includes in this work category all tasks that can be anticipated and put on a regular timetable for completion. Most of these routine tasks are those that contribute to the curb appeal and marketability of the property.

A. Pest Control/Extermination

The Housing Authority will make all efforts to provide a healthy and pest-free environment for its residents. The Authority will determine which, if any, pests infest

its properties and will then provide the best possible treatment for the eradication of those pests.

The Director of Maintenance will determine the most cost-effective way of delivering the treatments -- whether by contractor or licensed Authority personnel.

The extermination plan will Begin with an analysis of the current condition at each property. The Director of Maintenance shall make sure that an adequate schedule for treatment is developed to address any existing infestation. Special attention shall be paid to cockroaches. The schedule will include frequency and locations of treatment. Different schedules may be required for each property.

Resident cooperation with the extermination plan is essential. All apartments in a building must be treated for the plan to be effective. Residents will be given information about the extermination program at the time of move-in. All residents will be informed at least one week and again twenty-four hours before treatment. The notification will be in writing and will include instructions that describe how to prepare the unit for treatment. If necessary, the instructions shall be bi-lingual to properly notify the resident population.

B. Landscaping and Grounds

The Housing Authority will prepare a routine maintenance schedule for the maintenance of the landscaping and grounds of its properties that will ensure their continuing attractiveness and marketability.

Routine grounds maintenance includes numerous activities:

1. Litter control
2. Lawn care
3. Maintenance of driveways, sidewalks and parking lots
4. Care of flower and shrubbery beds and trees
5. Maintenance of playgrounds, benches and fences
6. Snow removal (when required by climate)

The Director of Maintenance shall be responsible for the development of a routine maintenance schedule that shall include the following:

1. A clearly articulated standard of appearance for the grounds that acknowledges but is not limited to HUD and local code standards;

2. A list of tasks that are required to maintain that standard and the frequency with which the tasks must be performed;

3. The equipment, materials, and supplies required to perform the tasks and a schedule for their procurement; and

4. A separate snow removal plan including a schedule for preparing equipment for the season and the procurement of other necessary materials and supplies:

C. Building Exteriors and Interior Common Areas

The appearance of the outside of Authority buildings as well as their interior common areas is important to their marketability. Therefore, the Housing Authority has established a routine maintenance schedule to ensure that they are always maintained in good condition. The components to be maintained include:

1. Lobbies
2. Hallways and stairwells
3. Elevators
4. Public restrooms
5. Lighting fixtures
6. Common rooms and Community Spaces
7. Exterior Porches and Railings
8. Building Walls
9. Windows

The Director of Maintenance is responsible for the development of a routine maintenance schedule for building exterior and interior common areas. The schedule shall be based on the following:

1. A clearly articulated standard of appearance for the building
2. A list of tasks required to maintain that standard
3. The frequency with which the tasks must be performed
4. A list of materials, equipment and supplies required to perform the tasks.

C. Interior Painting

The appearance and condition of the paint within each unit is important to unit condition and reside m satisfaction. Accordingly, the Housing Authority will develop a plan to ensure that interior paint in resident dwelling units is satisfactorily maintained.
As part of this plan painting standards will be developed that include:

1. Surface preparation
2. Protection of non-painted surfaces
3. Color and finish
4. Paint Quality
5. Methods of application approved
6. Lead paint testing and abatement if required

The plan will set out the conditions for the consideration of a painting request. These standards include the period of time (5 years) that has elapsed since the last time the unit was painted. Alternatives for performance of the work will be included including the conditions under which a resident will be allowed to paint his or her own unit.

2.6 RESIDENT ON-DEMAND SERVICE

This category of work refers to all resident generated work requests that fall into no other category. These are non-emergency calls made by residents seeking maintenance service. These requests for service cannot be planned in advance or responded to before the resident calls.

It is the policy of the Housing Authority to complete these work requests within seven (7) days. However, unless the request is an emergency or entails work that compromises the habitability of the unit, these requests will not be given a priority above scheduled routine and preventive maintenance. By following this procedure, the Housing Authority believes it can achieve both good resident service and a maintenance system that completes the most important work first and in the most cost effective manner.

3.0 CONTRACTING FOR SERVICES

The Housing Authority will contract for maintenance services when it is in the best interests of the Authority to do so. Once the decision has been made to hire a contractor, the process set out in the Housing Authority Procurement Policy will be used. These procedures vary depending on the expected dollar amount of the contract. The Director of Maintenance will work with the Executive Director to facilitate the contract award. The Director will be responsible for the contribution of the Maintenance Department to this process. The most important aspect of the bid documents will be the specifications or statement of work. The clearer the specifications the easier it will be for the Authority to get the work product it requires.

PHA Public Housing Occupancy Monitoring Strategies

Utilizing PIC Report Functions

Prepared by the Pittsburgh Office of Public Housing

March 2015

Summary

As part of its **Strategic Plan**, the Department has set a goal to "Expand the supply of affordable rental homes where most needed." In support of this goal, HUD will collaborate with PHAs to increase the number of occupied public housing units in the portfolio. The strategy for achieving the goal includes developing new units, re-occupying modernized and vacant units, and reducing the number of HUD-approved vacancies and excessive non-dwelling units. An important step in the efforts to increase occupancy is to ensure that the data in the PIC Development Sub-Module is accurate. Once the Department has a more accurate inventory, HUD can provide targeted technical assistance to PHAs that have a significant number of vacancies or "offline" units. The Department will work with those PHAs to implement strategies to increase occupancy levels and improve overall portfolio management.

The **Development Sub-Module** collects and displays information about PHA developments, buildings, units, and tenants. Information entered by PHAs into the Development Sub-Module affects PHA funding, performance scores, and portfolio management; therefore, it must be accurate. While this guide focuses on the PIC Development Sub-Module, the Department reminds PHAs that timely and accurate reporting is essential in all PIC modules and HUD's other information collection tools. Regular data updates by PHAs allow the Department and PHAs to make better informed decisions.

This **PHA Public Housing Occupancy Monitoring Strategies** guide has been developed by the Pittsburgh HUD Office of Public Housing to serve as a resource to PHAs to effectively utilize PIH Information Center (PIC) report functions to manage their public housing portfolios. The guidance that follows will assist PHAs in ensuring that information submitted and maintained by PHAs in the PIC Development Sub-Module is accurate, timely, and reliable. When incorporating PIC reports in its strategy to monitor public housing occupancy, PHAs will be able to make these critically important assessments:

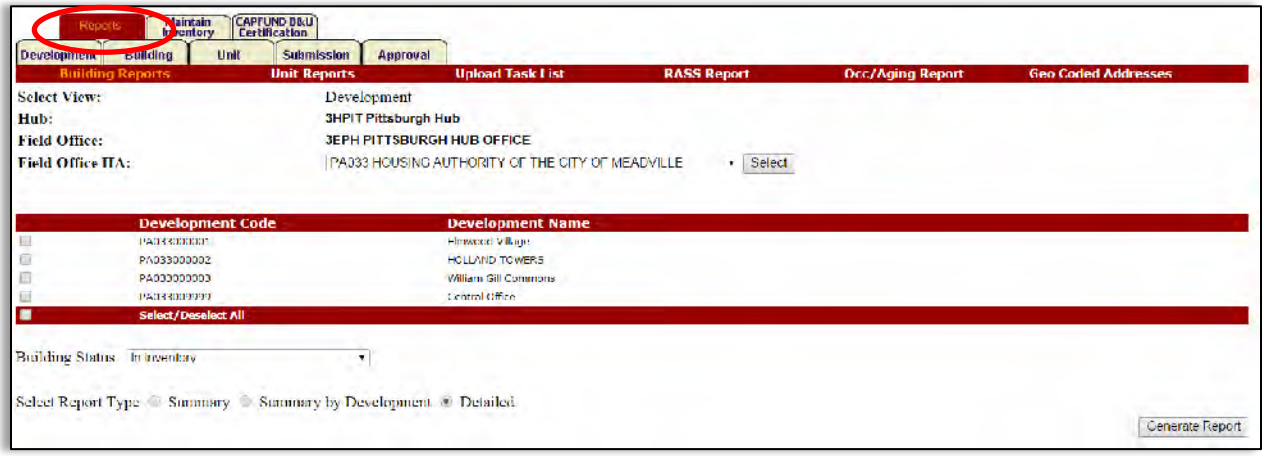
- Monitor occupied and vacant unit data to ensure reporting of accurate tenant household submissions; therefore ensuring maximum **Operating Fund** eligibility and **PHAS performance scores**.
- Monitor PHA Unit Tenant Status reporting to ensure accurate calculations of Operating Fund eligibility and compliance with maintaining status of HUD approved ***Non-Dwelling***, ***Special Use***, and ***Vacant*** units.
- Review PIC building and unit information to prepare for REAC building and unit inspections to have greater control over the outcome of the PHA **PHAS PASS** score.

PIC Development Module: Reports Tab

PHAs are encouraged to utilize PIC reports as part of a strategy to monitor public housing occupancy and ensure submission of accurate tenant and unit data. In particular, a number of data tools are available for this use within the PIC **Development** sub-module: the **Reports** tab of the **Development** sub-module (*Figure 1*) allows the user to run various reports to view building, unit, and vacancy/occupancy data. To access the **Reports** tab follow these steps:

1. Login to **PIC**
2. Select the **Development** sub-module
3. Click on the **Reports** tab on the top of the page

Figure 1: Building and Unit Development Sub Module Reports

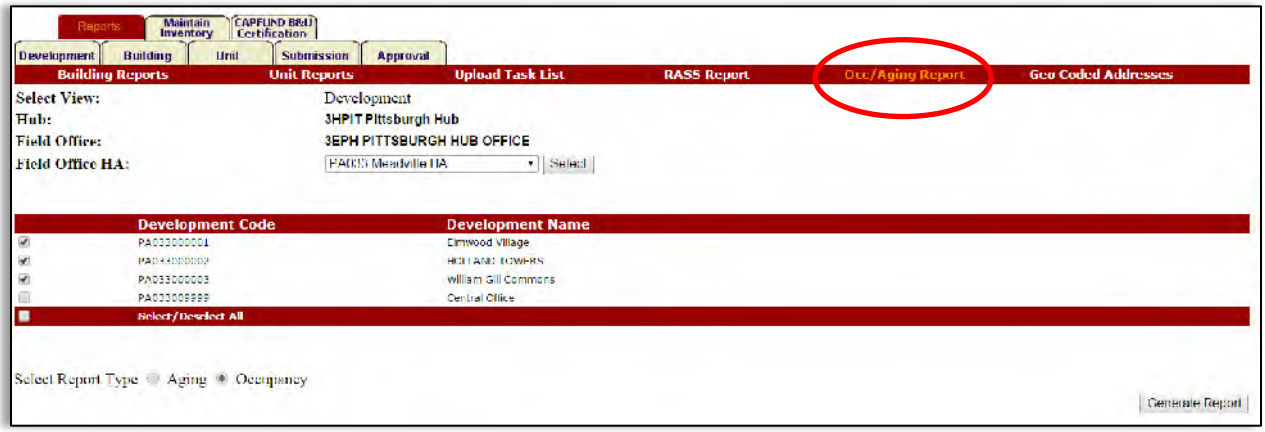


PIC Development Module: Occupancy and Aging Report

The **Occupancy** and **Aging** reporting function allows the user to run the **Aging** report and the **Occupancy** report. The **Aging** report lists all the units which are not occupied by assisted tenant in the selected development(s) with the total number of days in the Current Unit Tenant Status and with the unit tenant status. The **Occupancy** report lists all the occupied units within the selected development(s) and provides the total number of occupied units. To run the **Aging** and **Occupancy** reports follow these steps:

1. Click on **Occ/Aging Report** at the top of the page (*Figure 2*)
2. Select the developments to be included in the report
3. Select **Aging** or **Occupancy** at the bottom of the page
4. Click on **Generate Report** button

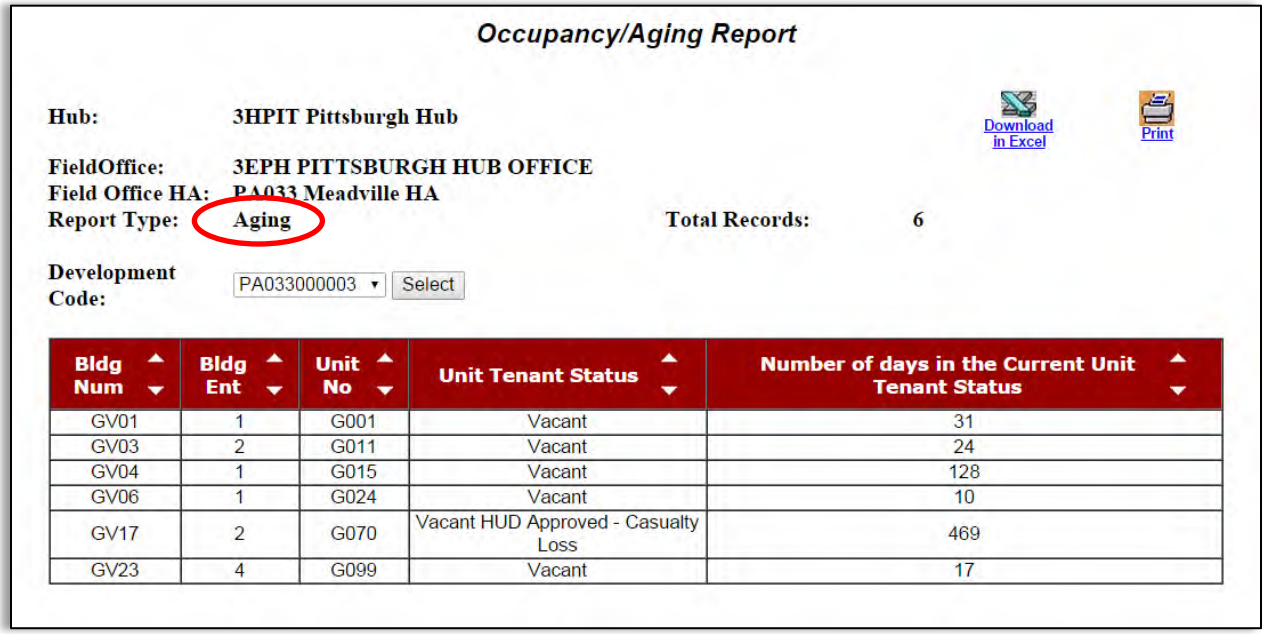
Figure 2: Occupancy and Aging Report



Aging Report

The **Aging Report** (*Figure 3*) provides PHAs with the ability to monitor all unoccupied public housing units at each of its public housing developments. PHAs are encouraged to utilize and review the **Aging Report** on a regular basis to ensure the accuracy of units designated as vacant in the PIC system. By doing so, PHAs can make corrections to PIC data to reflect the actual status of incorrectly designated vacant units and submit necessary occupancy data for units that are occupied.

Figure 3: Aging Report



Bldg Num	Bldg Ent	Unit No	Unit Tenant Status	Number of days in the Current Unit Tenant Status
GV01	1	G001	Vacant	31
GV03	2	G011	Vacant	24
GV04	1	G015	Vacant	128
GV06	1	G024	Vacant	10
GV17	2	G070	Vacant HUD Approved - Casualty Loss	469
GV23	4	G099	Vacant	17

The **Aging Report** lists all the units which are not occupied by assisted tenant associated with the selected development(s). The first tier of the report displays the PHA and the report type. The **Development Code** list allows the user to select the development number from the developments included in the report. The **Total Records** area displays the total number of records included in the report. The **Page Set** list allows users to navigate the report pages should the report contain more than one page.

The **Aging Report** includes the following columns:

- **Bldg Num –** the building numbers associated with the vacant unit numbers within the selected development
- **Bldg Ent –** the building entrance numbers associated with the vacant unit numbers within the associated buildings
- **Unit No** – PIC unit number of the vacant unit
- **Unit Tenant Status –** both the **Unit Tenant Status** and **Exception Reason Code** description.
- **Number of days in the Current Unit Tenant Status –** the difference between the **Current Date** and the **Unit Tenant Status Effective Date** of the current **Unit Tenant Status**

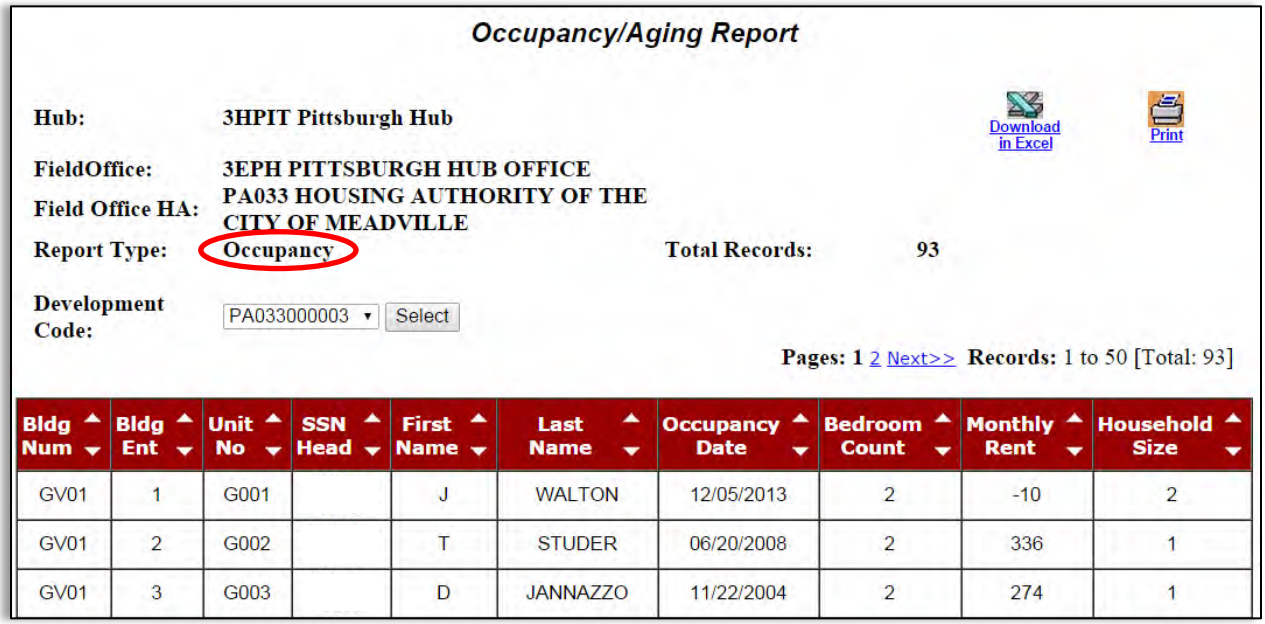
Users can print the report or download the report data in the Excel format for further manipulation. To print the report, the user must click the **Print** button. To download the report data for further manipulation, the user must click the **Download in Excel** button.

Occupancy Report

The **Occupancy Report** (*Figure 4)* provides PHAs with the ability to monitor all occupied public housing units at each of its public housing developments. In conjunction with the **Aging Report**, the **Occupancy Report** should be utilized by PHAs part of its public housing monitoring strategy to ensure accuracy of PIC unit data.

The **Occupancy Report** lists the occupied units associated with the selected development(s). The first tier of the report displays the PHA and the report type. The **Development Code** list allows the user to select the development number from the developments included in the report. To select the development, the user must select the appropriate option and then click the Select button. **The Total Records** area displays the total number of records included in the report. The **Page Set** list allows users to navigate the report pages should the report contain more than one page.

Figure 4: Occupancy Report



Occupancy/Aging Report

Hub: 3HPIT Pittsburgh Hub

Download in Excel | Print

FieldOffice: 3EPH PITTSBURGH HUB OFFICE
Field Office HA: PA033 HOUSING AUTHORITY OF THE CITY OF MEADVILLE
Report Type: Occupancy
Total Records: 93

Development Code: PA033000003 Select

Pages: 1 2 Next>> **Records:** 1 to 50 [Total: 93]

Bldg Num	Bldg Ent	Unit No	SSN Head	First Name	Last Name	Occupancy Date	Bedroom Count	Monthly Rent	Household Size
GV01	1	G001		J	WALTON	12/05/2013	2	-10	2
GV01	2	G002		T	STUDER	06/20/2008	2	336	1
GV01	3	G003		D	JANNAZZO	11/22/2004	2	274	1

The **Occupancy Report** includes the following columns:

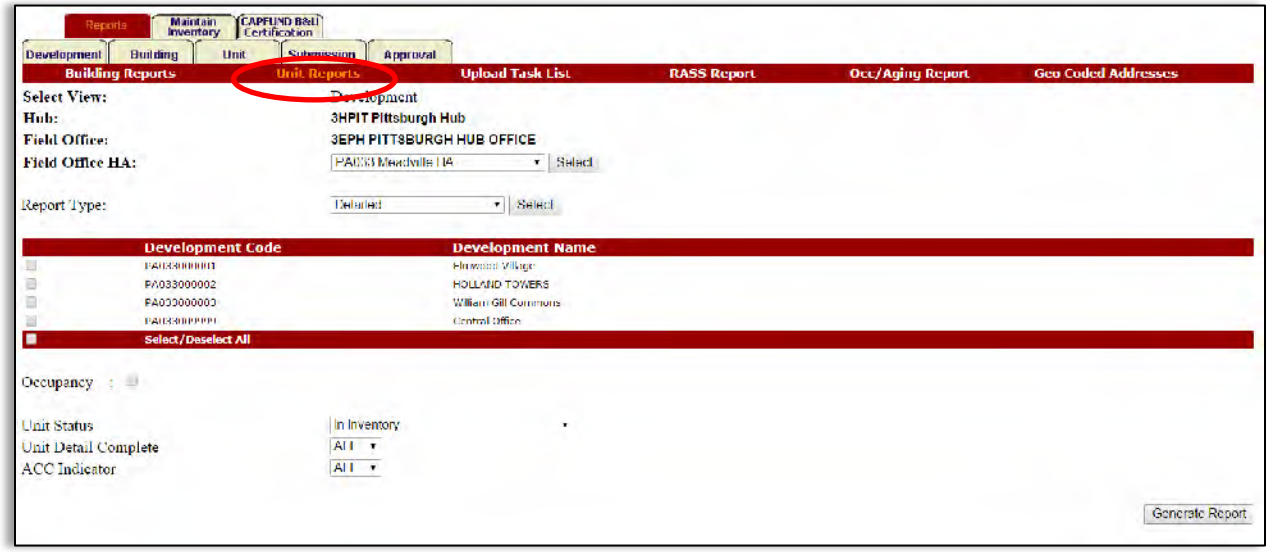
- **Bldg Num –** the building numbers associated with the occupied unit numbers within the selected development
- **Bldg Ent –** the building entrance numbers associated with the occupied unit numbers within the associated buildings.
- **SSN Head, First and Last Name** – corresponding information about the head of household residing in the unit
- **Unit Tenant Status –** both the **Unit Tenant Status** and **Exception Reason Code** description.
- **Number of days in the Current Unit Tenant Status –** the difference between the **Current Date** and the **Unit Tenant Status Effective Date** of the current **Unit Tenant Status**
- **Occupancy Date –** the date when the unit was occupied by the current head of household
- **Bedroom Count –** the number of bedrooms in the unit
- **Monthly Rent –** the amount charged for the unit
- H**ousehold Size** – the number of members of household residing in the unit

Users can print the report or download the report data in the Excel format for further manipulation. To print the report, the user must click the **Print** button. To download the report data for further manipulation, the user must click the **Download in Excel** button.

PIC Development Module: Unit Reports

The **Unit Reports** function (*Figure 5)* allows users to run unit inventory reports for all buildings within individual public housing developments. The reports display various data including unit details, ACC status, occupied and vacant unit counts, bedroom counts, unit designations, and unit status changes. Unit reports present a range of up-to-date public housing unit data that PHAs can effectively use to monitor public housing utilization.

Figure 5: Unit Reports



Users can run one of the following five types of unit reports:

- Detailed
- Summary by Development
- Summary
- Status Changes Detailed
- Status Changes Summary

Follow these steps to run one of these reports:

1. Click on **Unit Reports** at the top of the page (*Figure 5*)
2. Select the report in **Report Type** dropdown menu
3. Select the desired developments under the **Development Code** column
4. If applicable, select the **Occupancy** checkbox to display occupancy data; otherwise deselect it to include vacant unit data
5. Select **In Inventory** in the **Unit Status** dropdown menu

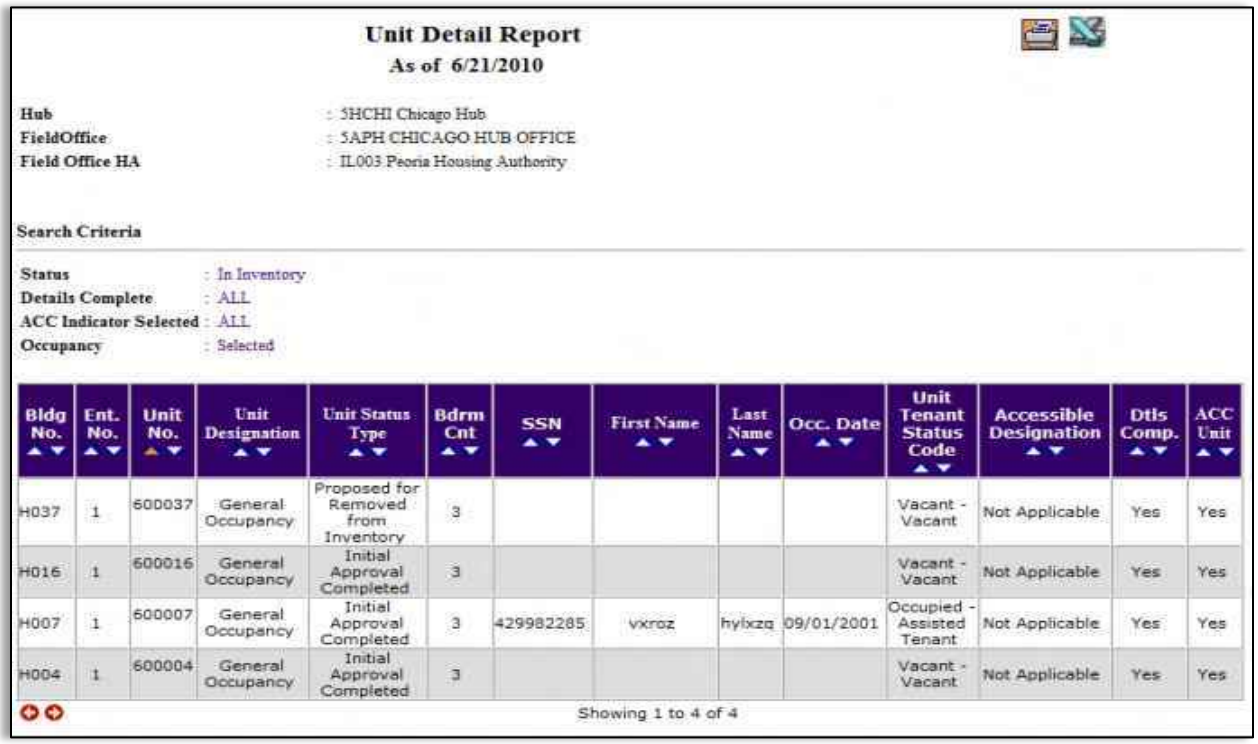
6. Select **All** in the **Unit Detail Complete** dropdown menu
7. Select **Yes** in the **ACC** Indicator dropdown menu
8. For **Status Changes** reports select the report period using the **Start Date** and **End Date** boxes
9. Click on **Generate Report** button

Users can print the report or download the report data in the Excel format for further manipulation. To print the report, the user must click the **Print** button. To download the report data for further manipulation, the user must click the **Download in Excel** button.

Unit Detail Report

The **Unit Detail Report** (*Figure 6)* provides detailed data for every unit that matched the report criteria. If the user selected the **Occupancy** option, the report will display the following information: the building number, entrance number and the unit number, unit designation, unit status type, bedroom count, SSN of the head of household that lives in the unit, his/her first name and last name, date when the head of household started living in the unit (occupancy date), unit tenant status, accessibility designation, whether the unit details are complete, and the ACC indicator.

Figure 6: Unit Detail Report



Unit Detail Report
As of 6/21/2010

Hub : 5HCHI Chicago Hub
FieldOffice : 5APH CHICAGO HUB OFFICE
Field Office HA : IL003 Peoria Housing Authority

Search Criteria

Status : In Inventory
Details Complete : ALL
ACC Indicator Selected : ALL
Occupancy : Selected

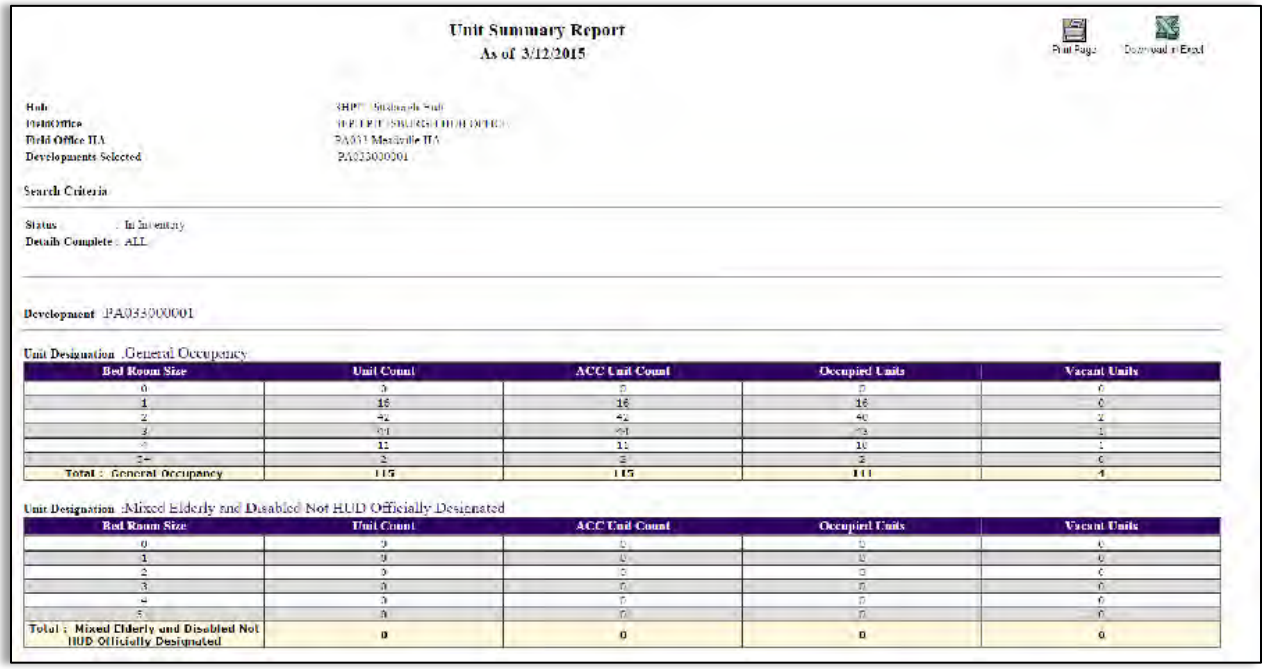
Bldg No.	Ent. No.	Unit No.	Unit Designation	Unit Status Type	Bdrm Cnt	SSN	First Name	Last Name	Occ. Date	Unit Tenant Status Code	Accessible Designation	Dtls Comp.	ACC Unit
H037	1	600037	General Occupancy	Proposed for Removed from Inventory	3					Vacant - Vacant	Not Applicable	Yes	Yes
H016	1	600016	General Occupancy	Initial Approval Completed	3					Vacant - Vacant	Not Applicable	Yes	Yes
H007	1	600007	General Occupancy	Initial Approval Completed	3	429982285	vxroz	hylxzq	09/01/2001	Occupied - Assisted Tenant	Not Applicable	Yes	Yes
H004	1	600004	General Occupancy	Initial Approval Completed	3					Vacant - Vacant	Not Applicable	Yes	Yes

Showing 1 to 4 of 4

Unit Summary / Unit Summary by Development Reports

The **Unit Summary by Development Report** (*Figure 7)* provides a breakdown of unit information by development and unit designation: unit and bedroom count, ACC status, and occupancy data group in tables by unit designation types. Within the unit designation, the unit counts are broken down by number of bedrooms in a unit, occupancy, vacancy, and ACC indicator. The **Total** section displays the total unit counts for all selected developments.

Figure 7: Unit Summary by Development Report



Unit Summary Report
As of 3/12/2015

Print Page Download in Excel

Hub
FieldOffice
Field Office HA: PA033 Meadville HA
Developments Selected: PA033000001

Search Criteria

Status : In Inventory
Details Complete : ALL

Development :PA033000001

Unit Designation :General Occupancy

Bed Room Size	Unit Count	ACC Unit Count	Occupied Units	Vacant Units
0	0	0	0	0
1	16	16	16	0
2	42	42	40	2
3	61	61	60	1
4	11	11	10	1
5+	3	3	3	0
Total : General Occupancy	115	115	111	4

Unit Designation :Mixed Elderly and Disabled Not HUD Officially Designated

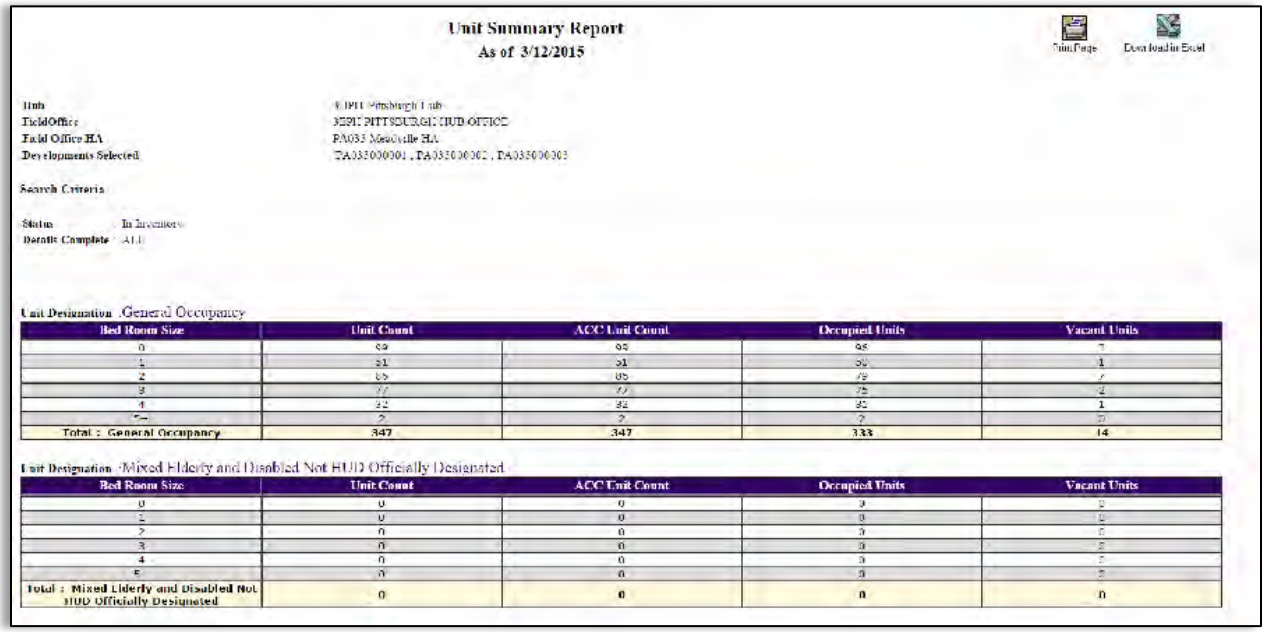
Bed Room Size	Unit Count	ACC Unit Count	Occupied Units	Vacant Units
0	0	0	0	0
1	0	0	0	0
2	0	0	0	0
3	0	0	0	0
4	0	0	0	0
5	0	0	0	0
Total : Mixed Elderly and Disabled Not HUD Officially Designated	0	0	0	0

The **Unit Summary Report** (*Figure 8)* provides a breakdown of unit information for all developments selected for the report. The unit counts are presented by unit designation. Within the unit designation, the unit counts are broken down by number of bedrooms in a unit, occupancy, vacancy, and ACC indicator. The **Total** section displays the total unit counts for all selected developments.

For each unit designation in every selected development, the table displays the following columns:

- **Bedroom Size** – indicates the number of bedrooms
- **Unit Count** – number of units within every bedroom number category including the total number of units in the **Total** section

Figure 8: Unit Summary Report



Unit Summary Report
As of 3/12/2015

Print Page Download in Excel

Unit
FieldOffice
Field Office HA
Developments Selected

Search Criteria

Status
Details Complete

Unit Designation :General Occupancy

Bed Room Size	Unit Count	ACC Unit Count	Occupied Units	Vacant Units
0	99	99	98	1
1	91	91	90	1
2	85	85	79	6
3	77	77	75	2
4	82	82	81	1
5	2	2	2	0
Total : General Occupancy	347	347	333	14

Unit Designation :Mixed Elderly and Disabled Not HUD Officially Designated

Bed Room Size	Unit Count	ACC Unit Count	Occupied Units	Vacant Units
0	0	0	0	0
1	0	0	0	0
2	0	0	0	0
3	0	0	0	0
4	0	0	0	0
5	0	0	0	0
Total : Mixed Elderly and Disabled Not HUD Officially Designated	0	0	0	0

Continued…

- **ACC Unit Count** – number of ACC units broken down by bedroom count as well as the total number of ACC units. ACC units are considered to be units that have ACC indicator set to "Y"
- **Occupied Unit** – number of units that are occupied broken down by bedroom count
- V**acant unit** – number of units that are vacant broken down by bedroom count

Status Changes Detailed Report

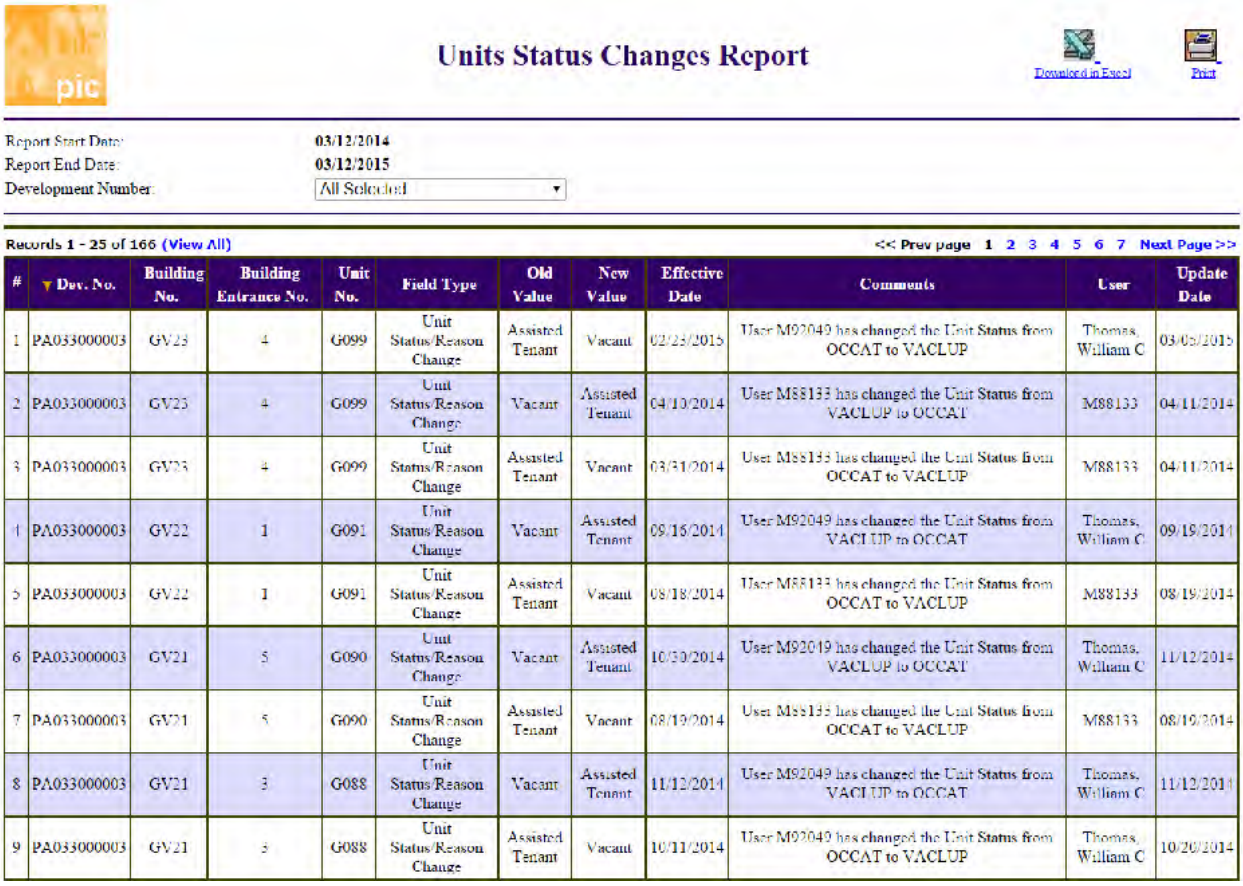
The **Unit Status Changes Detailed Report** (*Figure 9)* displays all the transaction records for unit tenant status changes, unit designation changes, and the accessibility indicator changes. Users can run the report for a specific date range and one or more specific developments.

The transactions records include the following information:

- **#** – number of the records in ascending order
- **Dev.No**. – specifies the development associated with the transaction
- **Building No.** – identifies the building associated with the unit
- **Building Entrance No.** – building entrance number associated with the unit
- **Unit No.** – unit number

- **Field Type** – displays the unit property that was changed; unit designation, unit tenant status, and accessibility indicator
- **Old Value** – the original unit property
- **New Value** – displays the modified unit property
- **Effective Date** – the date on which the change takes effect
- **Comments** – text that users enter in the Comments box when requesting a unit status change
- **User** – name of user that performed the change
- **Update Date** – displays the date when the transaction was performed or posted

Figure 9: Unit Summary Report



pic

Units Status Changes Report

Download in Excel Print

Report Start Date: **03/12/2014**
Report End Date: **03/12/2015**
Development Number: All Selected

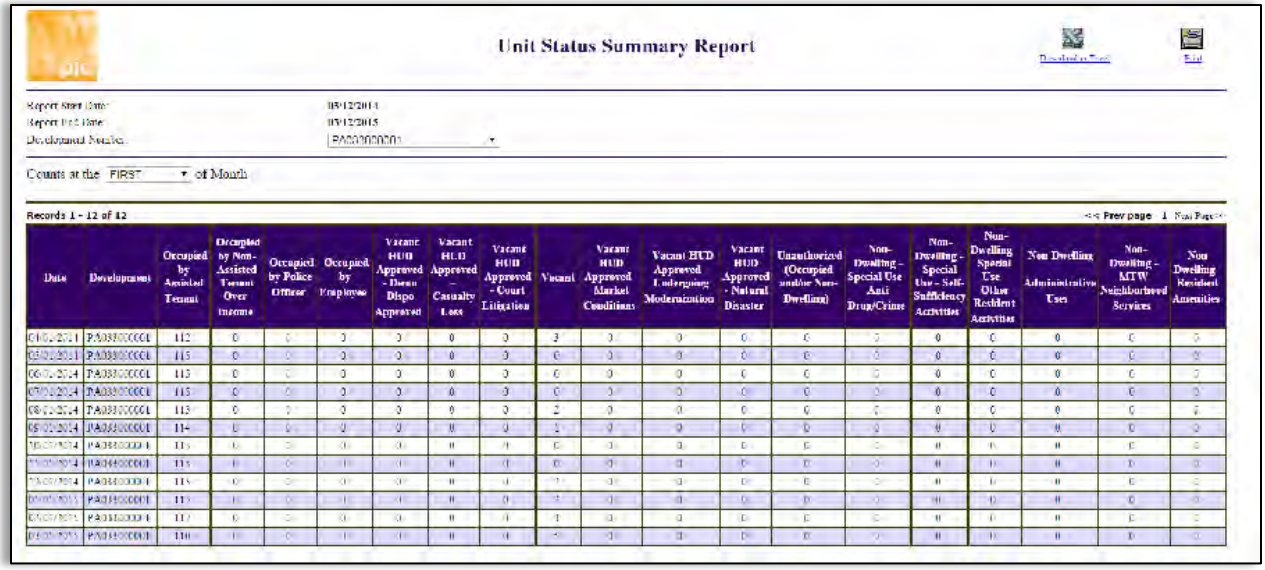
Records 1 - 25 of 166 (View All) << Prev page 1 2 3 4 5 6 7 Next Page >>

#	Dev. No.	Building No.	Building Entrance No.	Unit No.	Field Type	Old Value	New Value	Effective Date	Comments	User	Update Date
1	PA033000003	GV23	4	G099	Unit Status/Reason Change	Assisted Tenant	Vacant	02/25/2015	User M92049 has changed the Unit Status from OCCAT to VACLUP	Thomas, William C	03/05/2015
2	PA033000003	GV23	4	G099	Unit Status/Reason Change	Vacant	Assisted Tenant	04/10/2014	User M88133 has changed the Unit Status from VACLUP to OCCAT	M88133	04/11/2014
3	PA033000003	GV23	4	G099	Unit Status/Reason Change	Assisted Tenant	Vacant	03/31/2014	User M88133 has changed the Unit Status from OCCAT to VACLUP	M88133	04/11/2014
4	PA033000003	GV22	1	G091	Unit Status/Reason Change	Vacant	Assisted Tenant	09/16/2014	User M92049 has changed the Unit Status from VACLUP to OCCAT	Thomas, William C	09/19/2014
5	PA033000003	GV22	1	G091	Unit Status/Reason Change	Assisted Tenant	Vacant	08/18/2014	User M88133 has changed the Unit Status from OCCAT to VACLUP	M88133	08/19/2014
6	PA033000003	GV21	5	G090	Unit Status/Reason Change	Vacant	Assisted Tenant	10/30/2014	User M92019 has changed the Unit Status from VACLUP to OCCAT	Thomas, William C	11/12/2014
7	PA033000003	GV21	5	G090	Unit Status/Reason Change	Assisted Tenant	Vacant	08/19/2014	User M88133 has changed the Unit Status from OCCAT to VACLUP	M88133	08/19/2014
8	PA033000003	GV21	3	G088	Unit Status/Reason Change	Vacant	Assisted Tenant	11/12/2014	User M92049 has changed the Unit Status from VACLUP to OCCAT	Thomas, William C	11/12/2014
9	PA033000003	GV21	3	G088	Unit Status/Reason Change	Assisted Tenant	Vacant	10/11/2014	User M92049 has changed the Unit Status from OCCAT to VACLUP	Thomas, William C	10/20/2014

Unit Status Changes Summary Report

The **Unit Status Changes Summary Report** (*Figure 10)* displays the summarized unit counts distributed by unit tenant statuses. The user can also set the report to display the unit counts at the first or the last day of the month. The report displays the dates for every month within the selected report range, the development number and the counts for every unit tenant status as of the date in the **Date** column.

Figure 10: Unit Status Summary Report



Unit Status Summary Report

Report Start Date: 05/12/2013
Report End Date: 05/12/2015
Development Number: PA000000001

Counts at the FIRST of Month

Records 1 - 12 of 12

<< Prev page 1 Next Page >>

Date	Development	Occupied by Assisted Tenant	Occupied by Non-Assisted Tenant Over Income	Occupied by Police Officer	Occupied by Employee	Vacant HUD Approved - Demo Dispo Approved	Vacant HUD Approved - Casualty Loss	Vacant HUD Approved - Court Litigation	Vacant	Vacant HUD Approved Market Conditions	Vacant HUD Approved Undergoing Modernization	Vacant HUD Approved - Natural Disaster	Unauthorized (Occupied and/or Non-Dwelling)	Non-Dwelling - Special Use Anti Drug/Crime	Non-Dwelling - Special Use - Self-Sufficiency Activities	Non-Dwelling Special Use Other Resident Activities	Non Dwelling Administrative Uses	Non-Dwelling - MTW Neighborhood Services	Non Dwelling Resident Amenities
05/01/2014	PA000000001	112	0	0	0	0	0	0	3	0	0	0	0	0	0	0	0	0	0
06/01/2014	PA000000001	113	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
07/01/2014	PA000000001	113	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
08/01/2014	PA000000001	113	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
09/01/2014	PA000000001	113	0	0	0	0	0	0	2	0	0	0	0	0	0	0	0	0	0
10/01/2014	PA000000001	114	0	0	0	0	0	0	1	0	0	0	0	0	0	0	0	0	0
11/01/2014	PA000000001	115	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
12/01/2014	PA000000001	115	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
01/01/2015	PA000000001	114	0	0	0	0	0	0	1	0	0	0	0	0	0	0	0	0	0
02/01/2015	PA000000001	113	0	0	0	0	0	0	2	0	0	0	0	0	0	0	0	0	0
03/01/2015	PA000000001	112	0	0	0	0	0	0	3	0	0	0	0	0	0	0	0	0	0
04/01/2015	PA000000001	110	0	0	0	0	0	0	5	0	0	0	0	0	0	0	0	0	0

Maintaining your HA Contacts in PIC

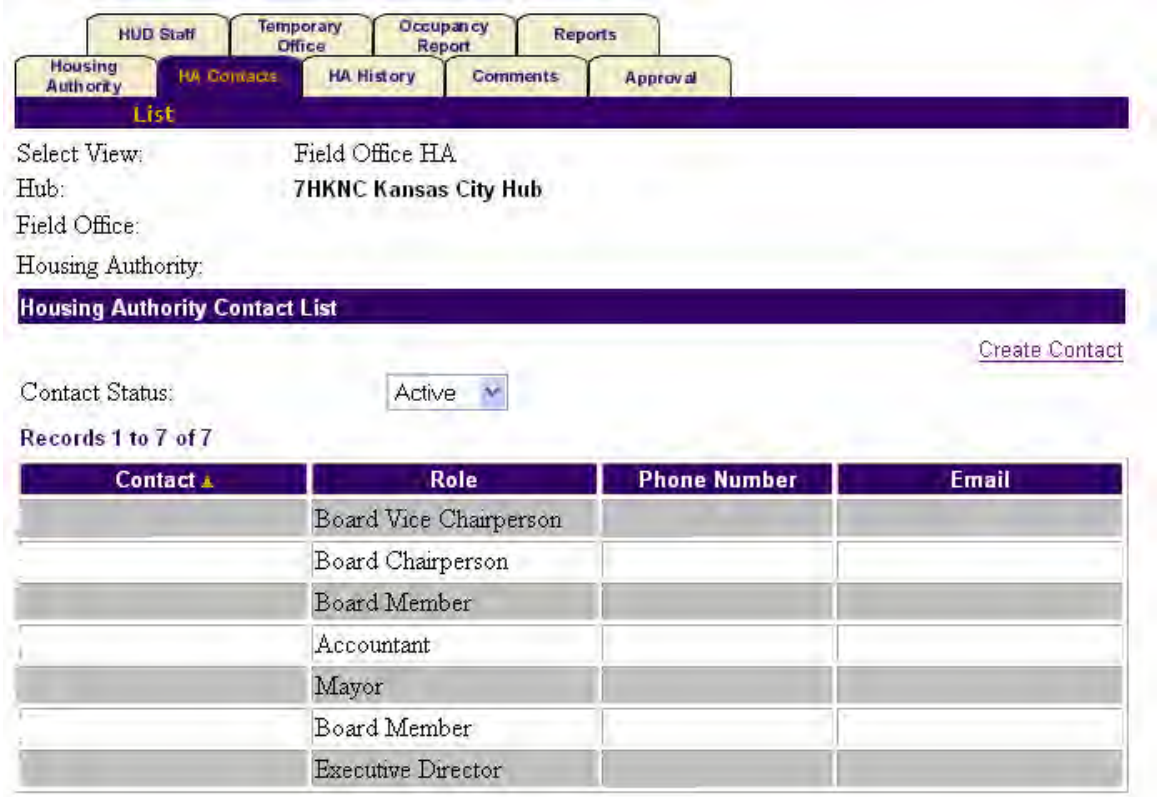
If you do not fully understand how to maintain your HA Contacts please contact your local PIC Coach. Mistakes cannot be deleted from PIC so it important to do it right the first time.

Tips:

- If you have a change in your HA Contacts, especially executive director, board chairperson, or mayor/local official, please notify your local HUD office so they are aware of the change as well. PIC does not send the field office a notification when this area of PIC changes.
- Please remember to log out of the system after you are done – closing the browser window without logging out of both PIC and Secure Systems will cause problems when you try to login to the systems in the future.

Table of Contents (click on the link to be taken directly to that page)

- Guidance for what to do and when to do it Page 1
- Adding A New HA Contact Page 3
- Adding the Physical and Mailing Addresses for an HA Contact Page 4
- Modifying the Information for an HA Contact Page 5
- Adding Roles to an HA Contact Page 6
- Making an HA Contact Inactive / Deactivating Roles of an HA Contact Page 7



Example of HA Contacts List page

Created by Wendalyn Hovendick,
PIH, Office of Field Operations, v. 4, 11/23/15

Guidance for What to Do And When to Do It

Many different situations can arise that result in the need to update the HA Contacts list in PIC. Below is guidance for the most common situations and what you should do for them. As with many things in the real world there may be a situation that is not addressed here. If you are at all unsure about what to do please contact your local PIC coach. As with most things in PIC nothing can be deleted and once an Effective Date has been entered or an Effective End Date has passed it cannot be edited.

Important notes:

- If a person has possibly been associated with your PHA previously you should check the inactive contacts list using the Contact Status drop down box on the Housing Authority Contact List page before adding a brand new contact. If you find this person on the inactive list you can use steps 3-7 on page 6 to add a new role to make them active again. Double check all information, including mailing and physical addresses, for the contact to make sure it is up to date.
- One of the purposes of HA Contacts is to give us a history of who has been associated with your PHA. **At no time should you change a contact's name to a new contact's name as a way to update your contacts.** We lose that history if a name is changed – it makes it appear as though that person has served in that role for a different time period than they actually have.

For most of the situations below there are two steps and they must be completed in the list order to get the desired results.

Situation 1: Your PHA has a new board chairperson that is an existing or former board member.

- First, you must deal with the former board chairperson.
    1. If the former board chairperson is going to remain on the board as a board member, make sure they have the board member role assigned to them. If not, follow the steps on page 6 of this document to add the board member role. Once you have added the board member role you will need to follow the instructions on page 7 to make the board chairperson role inactive.
    2. If the former board chairperson is not going to remain on the board follow page 7 to make that contact inactive.
    - ✓ You must make sure the Effective End Date you input for the board chairperson role is before the date the new board chairperson started; otherwise you will receive an error.
- Second, designate the new board chairperson.
    1. If the person is an existing board member: To add the new role of board chairperson to an existing board member that is in PIC, follow the steps on page 6 of this document. Next, you need to make the board member role inactive for the new board chairperson, follow the steps on page 7.
    2. For a former board member/contact: If this person used to be a board member or other type of contact but is not currently serving in a role see the "important note" above about accessing the inactive contacts so you can add a new role to them per the instructions on page 6 of this document.

Situation 2: Your PHA has a new board chairperson that has never been on your board or served a role for your PHA before.

- First, you must take care of the former board chairperson.
    1. If the former board chairperson is going to remain on the board as a board member, make sure they have the board member role assigned to them. If not, follow the steps on page 6 of this document to add the board member role. Next, once you have added the board member role you will need to follow the instructions on page 7 to make the former board chairperson role inactive.

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PIH, Office of Field Operations, v. 4, 11/23/15

2. If the former board chairperson is <u>not</u> going to remain on the board follow page 7 to make that contact inactive.
   - ✓ You must make sure the Effective End Date you input for the board chairperson role is <u>before</u> the date the new board chairperson started.

- Second, designate the new board chairperson.
  1. Add the new board chairperson according to the instructions on page 3 of this document. After you have completed adding the contact, follow the instructions on page 4 to add the mailing and physical address for this contact.

Situation 3: Your PHA has a new board member that has never been on your board or served a role for your PHA before.

- Add the new board member according to the instructions on page 3 of this document. After you have completed adding the contact, follow the instructions on page 4 to add the mailing and physical address for this contact.

Situation 4: Your PHA has a new mayor/local official.

- First, you must take care of the former mayor/local official by following the steps on page 7 of this document.
- Second, you will need to add the new mayor/local official
  1. If the new mayor/local official has never served in a role for your PHA before you will add them as a new contact by following the steps on page 3. After you have completed adding the contact, follow the instructions on page 4 to add the mailing and physical address for this contact.
  2. For a former contact: If this person used serve in a role but is not currently doing so see the "important note" above about accessing the inactive contacts so you can add a new role to them per the instructions on page 6 of this document.

Situation 5: Your PHA has a new Executive Director.

- ➢ This change will not only involve the HA contacts list but will also involve that person obtaining access to HUD's online systems. Please contact your local PIC Coach in your local HUD office for assistance with this.
- ➢ The steps for making the former executive director inactive and adding the new executive director may be performed by the PHA or the local HUD office depending on the circumstances and timing of gaining access to the system.
- First, you must take care of the former executive director.
  1. You will need to follow the instructions on page 7 to make the executive director role inactive. *If there are any other roles assigned to the contact you may want to look at those as well.*
     - ✓ You must make sure the Effective End Date you input for the executive director role is <u>before</u> the date the new executive director started; otherwise you will receive an error.
- Second, designate the new executive director.
  1. You will need to add the new executive director by following the steps on page 3. After you have completed adding the contact, follow the instructions on page 4 to add the mailing and physical address for this contact.
     - ✓ If by some chance the new executive director used to serve in another role at the PHA see the "important note" above about accessing the inactive contacts so you can add a new role to them per the instructions on page 6 of this document. Depending on the role they used to serve in and how long it has been since they served in that role you may want to discuss this with your local field office to make sure there is no conflict of interest.

Adding A New HA Contact

When someone begins to work for/with your housing authority (i.e. new Executive Director, board member, or mayor you will want to add their information to your HA Contact list in PIC. If someone was previously in certain positions in/with your housing authority (i.e. Executive Director, Board Chairperson, Mayor, etc.) you will want to make sure their listing in the HA Contacts list is made inactive before you add the new contact, otherwise PIC will give you an error and will not let you add the new contact. For instructions on how to make someone inactive see the instructions on page 7.

1. Once you are logged into PIC, select the Housing Agency sub module under Housing Inventory on the PIC Main page.
2. There is a row of tabs at the top of the new page that comes up. Single click on the tab that says HA Contacts.
3. You are now presented with a page with a section titled Housing Authority Contact List. This list includes your Executive Director, board members, local officials, etc. To add a new HA Contact single click on the **Create Contact** link on the right side of the screen.
4. A page will be displayed that has several boxes for you to fill in. Fill in the name, phone number, fax number (if applicable), and email address. Title is not required—if the person is a board member you do not need to type board member—that will be designated in the next step. **If the contact has an email address please enter it – whenever possible HQ prefers to contact people via email and it is also beneficial for field offices as well. This information is maintained in this secure system and is not available to the public.**
5. Next, choose the role that this person is serving in from the drop down box next to the word role. You may have to scroll through the box to find the one you're looking for. Examples:
    - Select Board Chairperson for board chairperson/chairman/president.
    - Select Board Vice Chairperson for board vice chairperson/vice president. If you prefer the vice chairperson have the role of board member that is fine.
    - Select Board Member for board members that are not resident board members/commissions.
    - Select Board Member-Resident for resident board members.
    - Select Mayor for mayor. Do **NOT** select Local Official.
    - Select Local Official only if your PHA is a multi-jurisdiction PHA (i.e. regional or joint).
6. You also need to fill in the Effective Date that this person started in this role. The Effective End Date field is **not** required and should be left blank unless there is a definite end to the term (e.g. person serving in a role temporarily). If you put in an Effective End Date you will have to remember to go back in if the person stays in that position and change it before it passes—failure to do so would result in the contact and/or role becoming inactive. While this can be rectified by adding the role to the contact again it is easier to just leave it blank if you're not sure of the definite end date. Make sure the Effective Date is correct; it cannot be edited once the information is saved.
7. When you are finished filling in this information single click on the **Save** push button. This will add the new HA Contact to the HA Contact list for your housing authority. You will be taken back to the HA Contact list page.
8. **After you add a new contact you must provide a mailing and physical address for each contact. Please follow the steps on page 4 of this document to provide this information since these screens are not included on the page where you add the new contact.**

Please Note:

- If this person fills more than one role for your housing authority then you will need to add the additional roles to this HA Contact (see instructions on page 6).

Adding the Mailing and Physical Addresses for an HA Contact

By the mailing and physical address information being in PIC it is easily accessible for anyone who may need it to get into contact with someone associated with a housing authority. Every contact listed for a housing authority must have a mailing and physical address entered for them. A PO Box should not be entered for a physical address. If you absolutely do not have a physical address as least make sure you enter a mailing address.

1. Once you are logged into PIC, select the Housing Agency sub module under Housing Inventory on the PIC Main page. If you are already on the HA Contacts list page you can skip to step 3.
2. There is a row of tabs at the top of the new page that comes up. Single click on the tab that says HA Contacts.
3. You are now presented with a page with a section titled Housing Authority Contact List. This list includes your Executive Director, board members, local officials, etc. Find the name of the person that you want to add (or edit) the mailing and physical addresses for and single click on that name.
4. The page that comes up is titled Housing Authority Contact Details and shows the name, phone number, email address, and roles assigned to this contact. In the bar below the tabs at the top of the page there is a link that says **Address**, single click on that link.

5. On the next page you will be shown what address information, if any, is already in PIC for this contact. By default the mailing address is displayed. If there is no information on this page you need to add it. On the right side of the screen single click on **Modify Address** to enter this information.
6. On this screen you will enter all the mailing address information for this person, required fields are marked with a * and must be filled in. You are encouraged to fill in the county and 4 digit zip extension (called zip+4) – available at https://tools.usps.com/go/ZipLookupAction_input. After you have completed this page single click on the **Save** push button to save this information.
7. You will be taken back to the main address page where you will now see the mailing address filled in. To add/edit the physical address you need to select **Physical** from the drop down box next to the words Select Address Type and single click on the Select button.

8. When the Physical Address screen comes up you will see what information, if any, has been entered previously for the physical address. Single click on **Modify Address** to enter this information.
9. On the next screen you will enter all the physical address information for this person, required fields are marked with a * and must be filled in. You are encouraged to fill in the county and 4 digit zip extension (called zip+4) if available. After you have completed this page single click on the **Save** push button to save this information.
10. You will be taken back to the main address page again, where you can view the mailing and physical addresses for this contact. To go back to the HA Contacts list to edit another contact's address information single click on the **List** link under the tabs at the top of the page.

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PIH, Office of Field Operations, v. 4, 11/23/15

Modifying the Information for an HA Contact

There will be instances where you will need to edit the information that has been previously entered for one of your HA contacts. You can edit the name (for legal name changes), title, phone number, fax number, and email all on one screen. To change any other information please see the other sections in this document.

1. Once you are logged into PIC, select the Housing Agency sub module under Housing Inventory on the PIC Main page. If you are already on the HA Contacts list page you can skip to step 3.
2. There is a row of tabs at the top of the new page that comes up. Single click on the tab that says HA Contacts.
3. You are now presented with a page with a section titled Housing Authority Contact List. This list includes your Executive Director, board members, local officials, etc. Find the name of the person that you need to edit the information for and single click on that name.
4. On the page that comes up there is a section titled Housing Authority Contact Details. In that section single click on the Modify Contact Details link on the right side of the screen.
5. On the page that comes up you will see an editable version of the Housing Authority Contact Details; you may edit any of these fields. Only change a contact's name if they have changed their name legally—do not change the name to a new person's name (see note below). If you change the email address please note you must type it again to confirm it. **If the contact has an email address please enter it – whenever possible HQ prefers to contact people via email and it is also beneficial for field offices as well. The information is maintained in this secure system and is not available to the public.**
6. After you have finished editing this information single click on the **Save** button. This will take you back to the Housing Authority Contact Details screen.
7. To go back to the HA Contact list, single click on the **List** link below the tabs at the top of the screen.

Please Note:

- If your PHA has a newer Executive Director, Board Chairperson, Mayor/Local Official, etc **NEVER** change the name of the former contact to the new contact's name! This will erase history and will cause us to not be able to see who held that position prior to the current person. One of the purposes of the HA Contacts is to be able to maintain a history of who has been involved with the PHA.

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Adding Roles to an HA Contact

Sometimes you will need to assign more than one role to an HA Contact. For instance, one person may be both the HA Housing Director and the HA PIC Contact. One of the roles may already be assigned, like HA Housing Director, but the other role may need to be assigned.

1. Once you are logged into PIC, select the Housing Agency sub module under Housing Inventory on the PIC Main page. If you are already on the HA Contacts list page you can skip to step 3.
2. There is a row of tabs at the top of the new page that comes up. Single click on the tab that says HA Contacts.
3. You are now presented with a page with a section titled Housing Authority Contact List. This list includes your Executive Director, board members, local officials, etc. Find the name of the person that you want to add a role to and single click on that name.
4. On the page that comes up there is a section titled Housing Authority Contact Details. In that section single click on the Modify Contact Details link on the right side of the screen.
5. On the next page, toward the bottom, there is a list of roles that are already assigned to this person. Under the list of roles single click on the Add Role link to add a new role to this person.
6. At the bottom of the page in the Housing Authority Contact Details section there is a place where you will add the role. In the Role column there is a drop down box that lists all the possible roles, select the role you want to add from this list. The Effective Date is the date when the person was appointed to role—if you don't know the date either estimate or put today's date. The Effective End Date field is **not** required and should be left blank unless there is a definite end to the term (e.g. person serving in a role temporarily). If you put in an Effective End Date you will have to remember to go back in if the person stays in that position and change it before it passes—failure to do so would result in the contact and/or role becoming inactive. While this can be rectified by adding the role to the contact again it is easier to just leave it blank if you're not sure of the definite end date. Make sure the Effective Date is correct; it cannot be edited once the information is saved.
7. When you are finished filling in this information single click on **Save**. This will add the role for this person.
8. To view the Housing Authority Contact List again so you can see your changes, single click on List on the bar below the tabs. The role you added to this HA Contact will show up along with their name.

Example of the add role section

Making an HA Contact Inactive / Deactivating Roles of an HA Contact

You can **NEVER** delete a role from a person or delete an HA Contact; however, you can make a role inactive (meaning it will no longer show up as a role for that person in the active HA Contact List but if you view the Housing Authority Contact Details for that person it will show up as a role they had in the past). To make a role inactive:

1. Once you are logged into PIC, select the Housing Agency sub module under Housing Inventory on the PIC Main page. If you are already on the HA Contacts list page you can skip to step 3.
2. There is a row of tabs at the top of the new page that comes up. Single click on the tab that says HA Contacts.
3. You are now presented with a page with a section titled Housing Authority Contact List. This list includes your Executive Director, board members, local officials, etc. Find the name of the person that you want to make a role inactive for and single click on that name.
4. On the page that comes up there is a section titled Housing Authority Contact Details. In that section single click on the Modify Contact Details link on the right side of the screen.
5. On the next page, toward the bottom, there is a list of roles that are already assigned to this person (for example, Executive Director). Single click on the title of the role you wish to make inactive (the names of active roles are links you can click on). The page will refresh.
6. At the bottom of the page you will see the list of roles again, only this time the text box for the Effective End Date for the role you clicked on is editable. In this box enter the date that this HA Contact stopped serving in this role (i.e. Executive Director).
7. When you are finished filling in the new Effective End Date single click on **Save**. This will tell the system that this HA Contact no longer is filling this role. Once saved, it **cannot** be edited.
8. To view the Housing Authority Contact List again so you can see your changes, single click on List on the bar below the tabs. The role you made inactive will no longer show up next to the name of this HA Contact. If all roles for a contact are inactive, the person will no longer show up in the HA Contacts list.

Please Note:

- If the role you just made inactive is the only role that this person has served in their name will no longer show up under the active HA Contacts. If you need to make an HA Contact totally inactive and they have more than one role assigned to them that is still active you will need to repeat the steps 4 to 9 above to make all roles inactive until they no longer show up under the active HA Contacts List. To see the information of an inactive HA Contact you will need to choose the **Inactive** option for Contact Status on the Housing Authority Contact List page.
- If you think that someone has been listed as an HA Contact before or you accidentally made someone inactive, you can make them active again by adding a new role representing the role they currently hold. You can do this by navigating to the list of inactive contacts using the Contact Status drop down box on the Housing Authority Contact List page. Once on this page you can follow steps 3-7 on page 6 to add a role.

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Modifying User Details and
Editing Expiration Dates

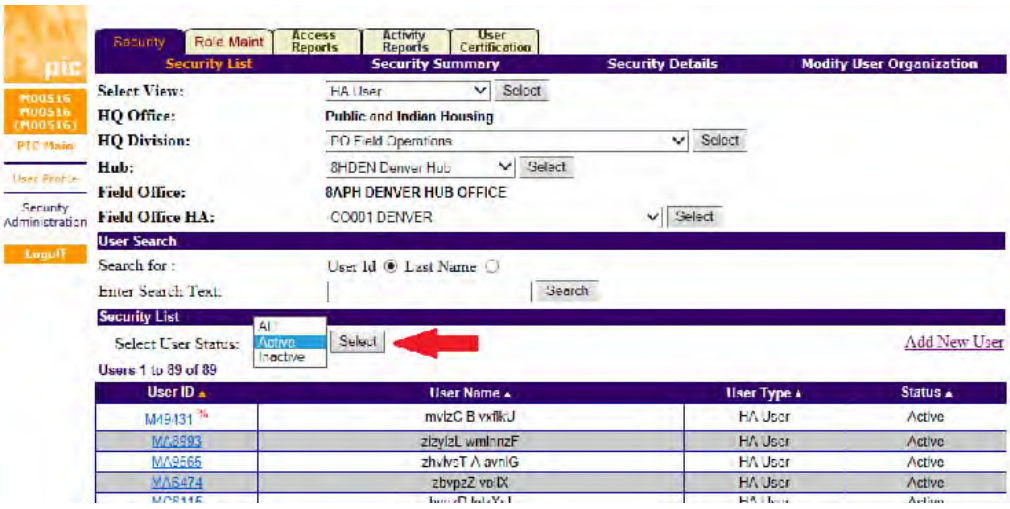
Each user is able to edit their user details – name, email address, phone number, etc. – by accessing their user profile. This page can be accessed by single clicking on the User Profile sub module link under the PIC Maintenance module on the PIC Main page. Because of this, security administrators (both PHA and HUD) should not need to assist with these changes.

Only a security administrator can edit a user's expiration date. The expiration date is a legacy field from when PIC did not utilize single sign on through Secure Systems. Due to lack of resources we have been unable to remove this field; therefore, we must continue to ensure this date is a future date for users to be able to access the system. There are three reasons why an expiration date may need to be changed. The first reason is because the expiration date is approaching soon and the user still requires access. The date can be extended up to three users in the future, depending on the status of the user's employment and/or need to have access. It is strongly suggested that security administrators have some way of keeping track of what they input for the user account expiration date for each user so that they are able to maintain these dates in an orderly fashion to prevent interruption of access for the users in their entity.

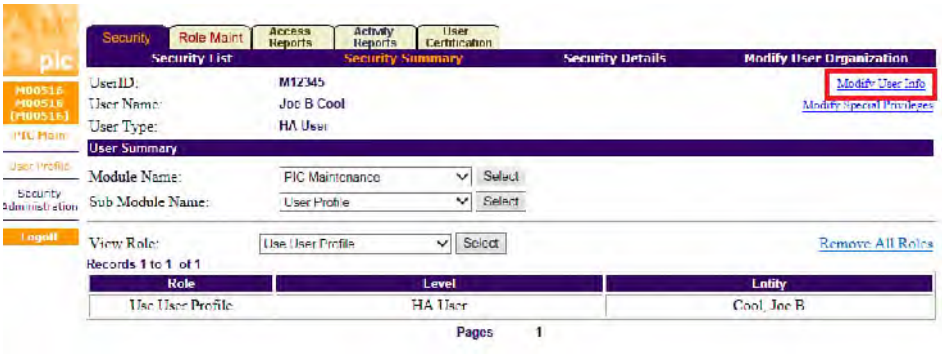
The other two reasons involve reactivating a user's access. There are two instances when you may need to reactivate a user. First, once the expiration date is reached the user will receive a message that says their access is expired when they try to access PIC. Second, there are times when a user's access may have been terminated (made inactive) because it was no longer needed but now due to a change in job and/or job duties at the same entity access is needed again.

Updating the expiration date or reactivating a user:

1. In the Security Administration sub module, single click on the user ID for the user you wish to edit the expiration date for.
   - If the user's access has expired you will see (exp) next to their user ID.
   - If the user's access was previously terminated you will need to navigate to the inactive user list by selecting Inactive from the Select User Status drop down box and single click the Select button. The page will refresh and you should see the user listed.



2. On the Security Administration Summary page single click on the Modify User Info link.



3. On the Security Details page you will need to input a new expiration date. It can be up to three years in the future depending on the status of the user's employment and/or need to have access. If you are reactivating a terminated user you also need to select Active from the User Status drop down box. While the Comments field is not required it can be helpful when maintaining a user in the future. Enter comments if you think they would be helpful, but do not delete any comments that are already present. Simply add the new text at the end and include the date you are entering the comments.
4. Once you have completed your entries single click on the Submit User Info button to save the change.

5. The page will refresh and show the Security Administration Summary page. If you were reactivating an expired user you have completed this task. If you were reactivating an inactive (terminated) user you should view the User Security Access Report under the Access Reports tab to see which roles were previously assigned to the user. Information on how to access this report is found in a separate section of this document. You can then add and/or remove roles from the user depending on what access they need now. Please see the applicable sections of this document for further information on how to perform these steps.

Public and Indian Housing Information Center (PIC)
PHA Access Authorization Form

HOUSING AUTHORITY NAME: _____ HA CODE: _____

Program Type: ☐ Low Rent (PH) ☐ Section 8 ☐ Combined

USER DETAILS

☐ New User ☐ Delete Role ☐ Add Role ☐ Terminate User

AUTHORIZED USER'S NAME *(First, MI & Last):* WASS USER ID *(*Mxxxxx*):*

_____ _____

EMAIL ADDRESS: OFFICE PHONE NUMBER:

_____ _____

CHECK EACH MODULE, SUB-MODULE, AND ROLE REQUESTED

MODULE	SUB-MODULE	ROLE (SELECT ONE ONLY)
☒ PIC Maintenance	☒ User Profile ☐ Security Administration	Use User Profile *(automatic access)* ☐ Read-Only ☐ Security Coordinator
☐ PIH Information	☐ SEMAP (Section 8 only)	☐ Read-Only ☐ Edit ☐ Submit
☐ Housing Inventory	☐ Housing Agency ☐ Development (PH only) ☐ Inventory Removals (PH only)	☐ Read-Only ☐ Edit ☐ Submit ☐ Read-Only Privacy ☐ Edit ☐ Submit ☐ Read-Only ☐ Edit ☐ Submit
☐ Executive Summary	☐ HA Executive Summary	☐ Read-Only
☐ Form-50058 (MTCS)	☐ Submission ☐ Viewer ☐ Reports ☐ Tenant ID Management	☐ Read-Only ☐ Submit ☐ Read-Only ☐ Submit ☐ Read-Only ☐ Read-Only Privacy ☐ Submit ☐ Validate SSN-AID
☐ AD-HOC	☐ Form-50058 Adhoc Report ☐ MTW Adcoc Report ☐ HA Query Report	☐ Read-Only ☐ View MTW Adhoc Report ☐ Read-Only
☐ PIC Downloads	☐ Building and Unit (PH only)	☐ Read-Only ☐ Submit
☐ MTW	☐ Data Collection ☐ Viewer ☐ Reports	☐ Read-Only ☐ Submit ☐ Read only ☐ View Reports

I authorize the above person access as indicated above to the PIH Information Center (PIC).

Executive Director's Name (Print) _____

Executive Director's Signature _____ Date: _____

Public and Indian Housing Information Center (PIC)
PHA Access Authorization Form

HOUSING AUTHORITY NAME: _____ HA CODE: _____

Program Type: ☐ Low Rent (PH) ☐ Section 8 ☐ Combined

USER DETAILS

☐ New User ☐ Delete Role ☐ Add Role ☐ Terminate User

AUTHORIZED USER'S NAME *(First, MI & Last):* WASS USER ID *(*Mxxxxx*):*

_____ _____

EMAIL ADDRESS: OFFICE PHONE NUMBER:

_____ _____

CHECK EACH MODULE, SUB-MODULE, AND ROLE REQUESTED

MODULE	SUB-MODULE	ROLE (SELECT ONE ONLY)
☒ PIC Maintenance	☒ User Profile ☐ Security Administration	Use User Profile *(automatic access)* ☐ Read-Only ☐ Security Coordinator
☐ PIH Information	☐ SEMAP (Section 8 only)	☐ Read-Only ☐ Edit ☐ Submit
☐ Housing Inventory	☐ Housing Agency ☐ Development (PH only) ☐ Inventory Removals (PH only)	☐ Read-Only ☐ Edit ☐ Submit ☐ Read-Only Privacy ☐ Edit ☐ Submit ☐ Read-Only ☐ Edit ☐ Submit
☐ Executive Summary	☐ HA Executive Summary	☐ Read-Only
☐ Form-50058 (MTCS)	☐ Submission ☐ Viewer ☐ Reports ☐ Tenant ID Management	☐ Read-Only ☐ Submit ☐ Read-Only ☐ Submit ☐ Read-Only ☐ Read-Only Privacy ☐ Submit ☐ Validate SSN-AID
☐ AD-HOC	☐ Form-50058 Adhoc Report ☐ MTW Adcoc Report ☐ HA Query Report	☐ Read-Only ☐ View MTW Adhoc Report ☐ Read-Only
☐ PIC Downloads	☐ Building and Unit (PH only)	☐ Read-Only ☐ Submit
☐ MTW	☐ Data Collection ☐ Viewer ☐ Reports	☐ Read-Only ☐ Submit ☐ Read only ☐ View Reports

I authorize the above person access as indicated above to the PIH Information Center (PIC).

Board Chairperson's Name (Print) _____

Board Chairperson's Signature _____ Date: _____

Secure Systems Security Administration

The information in this document applies to PHAs administering the Public Housing and HCV (Housing Choice Voucher) programs. Security administration for multifamily housing systems is similar but will not be addressed here.

Due to how Secure Systems (REAC) is designed PHAs must complete their own security administration tasks. HUD staff are not able to complete security administration tasks for PHAs because they do not have access to those screens. What little a limited number of HUD staff (typically PIC coaches) may be able to access will not match what the PHA sees due to how the system is configured. The instructions in this document will provide information on the most common tasks that need to be performed by PHA security administrators. **Unless otherwise noted it is the Secure Systems coordinator that needs to sign into to perform the steps.** If something is not addressed here you can contact the REAC Technical Assistance Center at 1-888-245-4860 or by email at reac_tac@hud.gov

There are two types of users in Secure Systems – coordinators and users.

- Coordinators are a type of user that can perform security administration functions on their own user ID as well as for other users within their PHA.
- Users, sometimes called regular users, cannot perform any security administrator functions in Secure Systems.
  - Typically a PHA will have at least one person that is their overall security administrator, however, it is possible that someone who is a user in Secure Systems may perform security administrator functions in a system that has its own security administration functions such as PIC or EIV.

Click on a subject to go to that page:

- Registering for a "coordinator" user ID – page 2
- Registering for a "user" user ID – page 3
- Retrieving a user ID – page 4
- Assigning rights to a user ID – page 5
- Removing a PHA Assignment – page 7
- Terminating a user ID – page 8
- Reactivating a user ID – page 9
- Updating a user's email address – page 10
- Requesting Additional Updates/Changes to a User ID – page 11
- Appendix: List of commonly accessed systems and access rights – page 12

****Important****

- If a user ever leaves a PHA they must have their user ID terminated. If they are later employed at another PHA they must apply for a new user ID. User IDs cannot be taken from one PHA to another (this may have been done many years ago but has not been allowed in the last few years). This is because there needs to be an accurate record of the business partner relationship. Additional relationships can be removed but not the original (primary) relationship.
- If an individual had access to a PHA in Secure Systems and access was terminated but now they require access to that PHA again, they can request that REAC reactivate that access.
- A user can have access to more than one PHA, for instance in cases of contract management, through assignment of the necessary PHA codes under PHA Assignment Maintenance and Business Partner Maintenance.

How to Register for a Secure Systems "Coordinator" User ID

There must be at least one coordinator at each PHA so that someone can maintain user access. If your PHA does not currently have a coordinator you will need to register as one or an existing user will need to request that their user ID be upgraded to a coordinator using the information in the Requesting Additional Updates/Changes to a User ID section of this document.

1. Go to the REAC website: http://portal.hud.gov/hudportal/HUD/program_offices/public_indian_housing/reac/online
2. On the Online Systems page, look for the **Register Online** link on the right side of the page. Single click on this link.
3. On the Need A User ID page, single click on the **Public Housing Agency** link.
4. On the PHA User Registration page you will need to complete the requested information. For User Type you will need to sign up as a **Coordinator**. You must type in your PHA name in the Organization Name box and PHA code (i.e. NE789) in the Organization ID box. Also, **be careful to take note of the password you choose**, when you receive your user ID you will need it. Some or all of the information on this page could be used if you need to have your password reset in the future. You are required to provide your SSN, as this is an item used to verify your identity when making password reset requests. Do not use any other combination of digits.
5. When you have completed all parts of the registration form, click on the **Send Application** button.
6. A page will be displayed that confirms that you are registering for a Secure Systems (REAC) user ID. You should print a copy of this page. In 7 to 10 business days the housing authority will receive a confirmation letter via mail that says the access has been granted and will give the new coordinator ID. **Please be aware that this letter will not identify on the outside what it is and may appear like "ordinary" mail so make sure to be looking for it.** At this point the new coordinator user can log into Secure Systems with the password they picked during registration.
7. You will need to assign actions, roles, and PHA code to your user ID in order to have access to the links for any of the subsystems or systems.

How to Register for a Secure Systems
"User" User ID

There must be at least one coordinator at each PHA so that someone can maintain user access. If your PHA does not currently have a coordinator you will need to register as one or an existing user will need to request that their user ID be upgraded to a coordinator using the information in the Requesting Additional Updates/Changes to a User ID section of this document.

1. Go to the REAC website: http://portal.hud.gov/hudportal/HUD/program_offices/public_indian_housing/reac/online
2. On the Online Systems page, look for the **Register Online** link on the right side of the page. Single click on this link.
3. On the Need A User ID page, single click on the **Public Housing Agency** link.
4. On the PHA User Registration page you will need to complete the requested information. For User Type you will need to sign up as a **User**. You must type in your PHA name in the Organization Name box and PHA code (i.e. NE789) in the Organization ID box. Also, **be careful to take note of the password you choose**, when you receive your user ID you will need it. Some or all of the info on this page could be used if you need to have your password reset in the future. You are required to provide your SSN, as this is an item used to verify your identity when making password reset requests. Do not use any other combination of digits.
5. When you have completed all parts of the registration form, click on the **Send Application** button.
6. A page will be displayed that confirms that you are registering for a Secure Systems (REAC) user ID. You should print a copy of this page. Within one to two days the current Secure Systems coordinator at the PHA will receive a confirmation email that states that access has been granted and for who. It will tell them they need to retrieve the user ID within the system.
7. The PHA's Secure Systems Coordinator will need to retrieve the new user ID from inside of Secure Systems and assign actions, roles, and PHA code to the new user ID in order for the new user to have access to the links for any of the subsystems or systems.

How to Retrieve a User ID
from Secure Systems (REAC)

1. Login to Secure System (REAC) by going to http://portal.hud.gov/hudportal/HUD/program_offices/public_indian_housing/reac/online and single click on the Login Here link.
    - Note: If the user cannot remember the password they chose OR they have two failed login attempts (user receives the "invalid credentials" error) they will need to ask for a password reset from REAC at https://hudapps.hud.gov/reac/wass/resetPwd.html or by calling REAC at 1-888-245-4860.
2. On the Main Menu page, look for the User Maintenance option under the System Administration heading. Single click on this option.
3. On the User Maintenance page it will ask you to search for the user you wish to maintain. There are two ways to search for a user ID.
    - In order to get all of the IDs for your PHA at once, go down to the boxes for First Name and Last Name and leave them blank. Single click on the Search Users button. It may take a minute or two since it is searching the whole database for all users with access to your PHA. This will bring up a list of all users for your PHA. It will list user ID, name, type of ID, and status (active or terminated).
    - Type in the first and/or last name for the user you need the user ID for. If the person may have registered with a short/alternative form of their first name you may want to use first initial and last name. Single click on the Search Users button.
4. Once you have obtained the ID, you may proceed with providing them access to other systems (e.g. EIV, PIC, REAC subsystems).
    - Some systems have specific requirements to gain access such as an access form or training. If you are not sure what is required please check with your local field office.
    - If the person will access EIV, make sure that you insert the user ID in PIC Security Administration even if they will not access PIC since EIV shares the PIC security table.

Assigning Rights to a User ID

The steps below can be used by a coordinator to assign rights to themselves or someone at their PHA registered as a user. If a PHA has more than one coordinator, a coordinator cannot assign rights to another coordinator. If a coordinator is assigning rights to a user, the user should not be logged in when these steps are performed.

The appendix of this document lists the systems that a PHA will typically access but is not all inclusive. You can reference this section as you are performing the steps below.

1. Login to Secure System (REAC) by going to http://portal.hud.gov/hudportal/HUD/program_offices/public_indian_housing/reac/online and single click on the Login Here link.
    - Note: If the user cannot remember the password they chose OR they have two failed login attempts (user receives the "invalid credentials" error) they will need to ask for a password reset from REAC at https://hudapps.hud.gov/reac/wass/resetPwd.html or by calling REAC at 1-888-245-4860.
2. On the Main Menu page find the heading System Administration. Under this heading single click on the User Maintenance link.
3. On the User Maintenance page enter the user ID of the user that rights will be assigned to. *This may be the user that is logged in if they are a coordinator or the user ID of a staff person registered as a user.* Single click on the Search By User button.
4. The page will refresh show the name and other details for the user ID entered. From the Choose a Function drop down box select the Maintain User Profile – Actions option and single click on the Submit button.
5. On the Assign/Unassign Actions page select the actions that correspond to the subsystem/systems that the user needs access to. **You only need to select one action per subsystem/system.** A list of the most common actions is provided in the appendix in this document.
6. After all of the actions have been selected single click on the Assign/Unassign Actions button at the bottom of the page.
7. The page will refresh and display a message that says you have successfully assigned/unassigned action(s) for the user. Single click on the OK button.
8. The page that shows the user's information will appear. From the Choose a Function drop down box select the Maintain User Profile – Roles option and single click on the Submit button.
9. On the Assign/Unassign Roles page select the roles that correspond to the subsystems/systems that the user needs access to. **Do not check all available roles since this may cause a conflict when attempting tasks in a system.** A list of the most common roles is provided in the appendix in this document.
10. After all of the roles have been selected single click on the Assign/Unassign Roles button at the bottom of the page.
11. A page will appear that asks you to confirm the roles you have just assigned. Single click on the Confirm button if it looks correct.
12. The page will refresh and display a message that says you have successfully assigned/unassigned role(s) for the user. Single click on the OK button.
13. The page that shows the user's information will appear. On the left side of the page find the System Administration heading. Single click on the PHA Assignment Maintenance link.

- Note if you do not see this link you may need to log out of the system, close your web browser, wait 30 seconds, and then use the link in step 1 to log back in again. Once you have logged back in you can continue with this step.

14. On the PHA Assignment Maintenance page enter the user ID that you just completed assigning actions and roles to in the User ID box. Enter the PHA code that you need to assign access to in the PHA ID box. Single click on the Submit button.
15. On the Assign PHA to User page select the role(s) you need to assign a PHA to from the Role Description box. To select all of the roles listed you can single click on the first role in the list so that it is highlighted in blue, then use the scroll bar on the right side of the Role Description box to scroll to the button of the list. Hold down the Shift key on your keyboard and single click on the last role listed—all of the roles should now be highlighted in blue. To select only some of the roles you can use your CTRL key and single click on each role you want to select.
16. Single click on your PHA code in the PHA ID box so that it is highlighted in blue. Single click on the Submit button.
17. A page will appear that asks you to confirm that you want to assign the selected PHA to the selected roles. If it looks correct single click on the Confirm button.
18. The page will refresh and display a message that says you have successfully assigned the PHA to the user. Single click on the OK button. You will be taken back to the PHA Assignment Maintenance page.

Next steps:

- If you assigned rights to yourself you will need to log out for the changes to take effect. Single click on the Logout link in the upper right hand part of the page. Close the window when prompted. Wait for about 30 seconds after you log out and close the window before you try to login again. The next time you login to the system you should see the links on your Main Menu page for all of the systems you selected.
- If rights were assigned to a user that user can login once the steps above have been completed. They should be able to see the links on the Main Menu page for all of the systems that were selected.

Removing a PHA Assignment in Secure Systems

A PHA assignment may need to be removed if you need to unassign a role from a user or are in the process of terminating a user's access to all systems. Coordinators can only unassign a PHA code if they have access to that subsystem/system, otherwise it will not be visible.

1. Login to Secure System (REAC) by going to http://portal.hud.gov/hudportal/HUD/program_offices/public_indian_housing/reac/online and single click on the Login Here link.
    - Note: If the user cannot remember the password they chose OR they have two failed login attempts (user receives the "invalid credentials" error) they will need to ask for a password reset from REAC at https://hudapps.hud.gov/reac/wass/resetPwd.html or by calling REAC at 1-888-245-4860.
2. Once on the Main Menu page, on the left side of the page find the System Administration heading. Single click on the PHA Assignment Maintenance link.
3. On the PHA Assignment Maintenance page enter the user ID for the user that you need to remove access for in the User ID box. Select View or Unassign PHA from the Choose a Function drop down box. Single click on the Submit button.
4. On the View/Unassign PHA for User page select the role(s) that are assigned to the user for your PHA that you would like to remove. To select all of the roles listed you can single click on the Select/Deselect All checkbox. All of the role(s) that you want to remove the PHA assignment from should now have checkmarks next to them.
5. Single click on the Submit button. You will get a page that confirms that you have unassigned the PHA from the user. Single click on the OK button. You will be taken back to the PHA Assignment Maintenance page.

Follow up items after a PHA assignment is removed:

- If the staff person is going to remain a systems user but their job duties have changed you will need to go to User Maintenance and first unassign the role(s) and then unassign the action(s) that are associated with the subsystem(s) that they no longer need access to so that the links will no longer show up on their Secure Systems Main Menu page.
- If the staff person has left the PHA's employment or no longer requires any systems access you will also need to terminate the user in any applicable systems that have separate access/security administration requirements from the REAC subsystems. Most notably these would include eLOCCS, PIC, and EIV. The following guidelines should be used to mitigate possible issues.
    - Users should be terminated in EIV prior to being terminated in PIC. Making a user inactive in PIC first will cause issues in terminating EIV access and could cause the user to be "stuck" in the user list for that PHA, which can cause confusion later.
    - Access to eLOCCS is terminated using the HUD-27054 form. Failure to do this will mean that the user will continue to have access until the next recertification period, at which time if the approving official does not recertify the user it will be terminated at that time. Good security procedures dictate that access should be terminated as soon as it is no longer needed.
    - Once all PHA assignments are removed and access has been terminated in all other systems (or is in the process of being terminated) the user ID needs to be terminated in Secure Systems. This can be done by the PHA's Secure Systems coordinator or via a request to the REAC Technical Assistance Center (TAC).

Terminating a User in Secure Systems

Before a user ID can be terminated by REAC the items below need to be performed the Secure Systems coordinator in the order listed below.

- If the user had EIV access that it was terminated.
- If the user had PIC access, even just to facilitate EIV access, that access has been made inactive.
- If the user had eLOCCS access that the OCFO User Support Branch has been provided the documentation to terminate this access.
- All PHA assignments have been removed under PHA Assignment Maintenance.
- If the user had access any multifamily housing systems that access has been removed under Property Assignment Maintenance. *If you are unable to complete this and/or need assistance please contact the REAC Technical Assistance Center (TAC) at 1-888-245-4860.*

Once the items above have been completed the executive director or individual user can submit a request directly to the REAC TAC to have the user ID terminated. Information about this can be found in the Requesting Additional Updates/Changes to a User ID section of this document.

Reactivating a User in Secure Systems

Users must access Secure Systems at least once every 90 days. If this does not occur the user ID will be terminated automatically. If a user tries to log in at this point they will receive an error about the status of their user ID. The user will need to contact the REAC Technical Assistance Center (TAC) to confirm the issue. If the user ID is in terminated status then the user can follow the information found in the Requesting Additional Updates/Changes to a User ID section of this document to request that REAC reactivate their user ID.

Updating a User's Email Address
in Secure Systems

The email address in a user's profile in Secure Systems is used to communicate with the user. The most common communication is in the event of a password reset request. If the user changes email addresses but their profile is not updated then they will not receive those email notifications. The Secure Systems coordinator will need to perform these steps for users at their PHA but can also make the update for their own user ID. If for some reason the coordinator is unable to make the update the user should contact the REAC Technical Assistance Center (TAC) at 1-888-245-4860 to inquire about how to complete this.

1. Login to Secure System (REAC) by going to http://portal.hud.gov/hudportal/HUD/program_offices/public_indian_housing/reac/online and single click on the Login Here link.
    - Note: If the user cannot remember the password they chose OR they have two failed login attempts (user receives the "invalid credentials" error) they will need to ask for a password reset from REAC at https://hudapps.hud.gov/reac/wass/resetPwd.html or by calling REAC at 1-888-245-4860.
2. On the Main Menu page find the heading System Administration. Under this heading single click on the User Maintenance link.
3. On the User Maintenance page enter the user ID of the user that you need to update the email address for. *This may be the user that is logged in if they are a coordinator or the user ID of a staff person registered as a user.* Single click on the Search By User button.
4. The page will refresh show the name and other details for the user ID entered. By default the Choose a Function drop down box is set to Maintain User Information. Single click on the Submit button.
5. On the Edit User Information page look for the email address textbox. Enter the new email address in this box and single click the Save button.
6. The page will refresh and display a message that confirms that the change was made.

Requesting Additional Updates/Changes
to a Secure Systems User ID

There are some changes that do not occur very often and/or cannot be done at the PHA. The information below is from a document available from the REAC Technical Assistance Center (TAC).

PIH-REAC
WASS ONLINE SYSTEMS REQUEST INSTRUCTIONS

All Web Access Security System (WASS) User ID related changes require an official letter submitted by email to reac_tac@hud.gov.

- It must have the owner's letterhead atop the letter as it is listed in our system.
- It must be signed and titled by the owner, president, CEO Board member, or the executive director of the entity
- It must clearly specify the following:
    - Upgrade User ID to Coordinator ID
    - Terminate User ID or Coordinator ID
    - Add Business Partner Relationship (BPR)
    - Deactivate BPR/Detach tax id or PHA code on Coordinator ID
    - Activate BPR/Re-attach tax id or PHA code on Coordinator ID
    - Downgrade Coordinator ID to User ID
    - Correct Mother Maiden Name (MMN) on User ID
    - Correct Social Security Number (SSN) on User ID
    - Change last name on User ID
    - Manual activation of tax id or PHA code on Coordinator ID
    - Reactivate User ID from terminated status to active status
- It must include contact information; i.e. name, address, phone, email address
- It must include the TIN, FHA#, contract# or project# (multifamily) or PHA code
- It must include the name of the property or housing authority
- User ID issues must include the User ID, MMN and last 4 SSN
- Changes to name on User ID and MMN should be signed by the Owner of the User ID or the owner, president, or the executive director of the organization the user works for
- User IDs can only be upgraded to coordinator under the TIN or PHA code that the user originally registered under
    - Only two Coordinators can register as "original" for an organization (i.e. Tax ID/PHA code)
- Manual activations for individuals should be signed by the individual and list the last 4 digits of their social security number
- Any user can terminate their own User ID with a letter signed by that user with their MMN and last 4 digits of SSN
- In order to correctly authenticate the validity of the system request, TAC and WASS may ask for additional information

Created: 6/11/2012

Appendix: List of Commonly Accessed Systems and Access Rights

This section lists the most common systems that a PHA will access but is not all inclusive. The roles that are assigned to a user should correlate to their job duties. Access can always be adjusted at a later time so users should not have access to more than they need. This helps protect the integrity of the data in the systems. The realm of online systems is constantly changing, which includes adding and removing of systems. If a system is not listed below please contact the REAC Technical Assistance Center (TAC) or local field office for further information.

Below are common "Actions" and "Roles" that, depending on job duties, may be assigned to someone registered as a coordinator. This may include an executive director or other individual that needs a high level of access. Whether someone is a coordinator or a user they may or may not need all system that are available. If a lower level of access is needed Please reference what you see in the system and the WASS user manual located at http://portal.hud.gov/hudportal/HUD/program_offices/public_indian_housing/reac/products/wass/wass_user_manual

Actions – you only need to pick one per subsystem or system:

Subsystem / System	Action
EIV - Enterprise Income Verification	COR - Coordinator
FASPHA - Financial Assessment Subsystem – PHA	COR - Coordinator
FHSEC3 – FHEO Section 3 60002 Reporting Form (also known as SPEARS)	COR - Coordinator
LOCCS - Line of Credit Control System	COR - Coordinator
NASS - Integrated Assessment Subsystem	COR - Coordinator
PASS - Physical Assessment Subsystem	COR - Coordinator
PIC – PIC system	COR - Coordinator
VMS – Voucher Management System (only for PHAs with a Section 8 program)	COR – Coordinator

Roles – you only need to pick one per subsystem or system unless noted:

Subsystem / System	Role(s)
EIV - Enterprise Income Verification	EIV – PIH - EIV - External User
FASPHA - Financial Assessment Subsystem – PHA	PID – PHA Director
FHSEC3 – FHEO Section 3 60002 Reporting Form (also known as SPEARS)	S3P – 60002 Reporting – Participant
LOCCS - Line of Credit Control System	ADM - Administration QRY - Query
NASS - Integrated Assessment Subsystem	PHC - PHA Coordinator
PASS - Physical Assessment Subsystem	EEE - EHS Edit External EHB - EHS Mitigation Reporter PIV - Physical Inspection Viewer
PIC – PIC system	COR - Coordinator
VMS – Voucher Management System (only for PHAs with a Section 8 program)	UDE - Utilization and Expense Data Submitter

U.S. Department of Housing and Urban Development
Office of Public and Indian Housing

Family Report

Form HUD-50058
Instruction Booklet

June 28, 2004

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Introduction

The Form HUD-50058 Instruction Booklet will help you understand and complete the Form HUD-50058.

What is the purpose of the Form HUD-50058?
The data collected on the form provides HUD with a picture of the people who participate in subsidized housing programs. Public Housing Agencies (PHAs) collect and electronically submit information contained on the Form HUD-50058 to HUD. The Public and Indian Housing Information Center (PIC) system then captures this information and creates reports used to:

- analyze the subsidized housing programs,
- monitor PHAs,
- detect fraud, and
- provide information to Congress and other interested parties.

What is the purpose of the Form HUD-50058 Instruction Booklet?
HUD prepared and distributed the Form HUD-50058 Instruction Booklet to help ensure the accuracy and consistency of the information collected. This booklet explains each line of the Form HUD-50058 and the information collected for each line item.

Where do I find information on field edits and flat file transmission requirements?
To target audiences with appropriate information, HUD created a separate document that contains the field edits and flat file transmission requirements called the *Form HUD-50058 Technical Reference Guide*. Interested users can find the Guide on the HUD Web site <http://www.hud.gov/offices/pih/systems/pic/50058/pubs/trg/index.cfm>.

General Information for Completing Form HUD-50058

What are the major differences between this Form HUD-50058 (6/2004) and the previous version (6/2001)?

HUD revised the Form HUD-50058 to remove obsolete and unnecessary lines of requested data. The revised form contains 27% fewer lines and three fewer pages. The items removed from the existing Form HUD-50058 include: section 14 (Manufactured Home Owner Renting the Space), section 16 (Indian Mutual Help), some Welfare to Work (WtW) elements of section 17 (Family Self-Sufficiency (FSS)/Welfare to Work (WtW) Voucher Addendum), reserved fields, and references to Indian Housing, including program code B = Indian Housing in line 1c, and Pre-merger Certificates.

HUD also removed lines numbered and labeled as follows: (2e) - "Date correction transmitted", (2f) - "Repayment agreement?", (2g) – "Monthly amount of repayment", (2n) - "Other special programs: Number 03", (2n) – "Other special programs: Number 04", (2n) – "Other special programs: Number 05", (2p) – "Use if instructed by HUD", (3s) – "Continued on an additional sheet?", (8u) – "Total annual travel cost to work/school (Indian Housing only)", and (11a) – "Number of bedrooms on certificate".

What are the special rules for families that participate in the Family Self-Sufficiency (FSS) and/or Welfare to Work (WtW) Voucher Program(s)?

- If the family participates in the FSS program and you complete Form HUD-50058 for any action other than an FSS action only (line 2a, action other than 8), and the family participated in the FSS program in the past year (line 2k = Y), complete all applicable sections on Form HUD-50058. Additionally, complete the FSS/WtW Voucher Addendum.

- If the family participates in the Welfare to Work (WtW) Voucher program (indicated in line 2m) and you complete Form HUD-50058 for any action other than a WtW action only (line 2a, action other than 8), complete all applicable sections on Form HUD-50058. Additionally, complete the FSS/WtW Voucher Addendum.

- If you complete Form HUD-50058 for a family that has an FSS/WtW Voucher action only (2a = 8), complete the applicable section on the Form HUD-50058, then skip to the FSS/WtW Voucher Addendum.

Reporting Requirements

What are the PIC Form 50058 reporting requirements?

PHAs are required to submit Form HUD-50058 data at least annually for each household that participates in PIH assisted housing programs. Public Housing Agencies (PHAs) must electronically submit all Form HUD-50058 data to the PIC System. The Department requires complete, accurate and timely submission of Form HUD-50058 data to the PIC System for effective program monitoring.

What can I do if my PHA fails to report data to PIC for some of its assisted tenants?
Reserved.

Privacy Act Notice and Nondiscrimination Requirement

What is the Privacy Act Notice?
Collection of information on Form HUD-50058 is subject to the requirements of the Privacy Act of 1992, Section 508(d). The Notice is a general authorization form and does not replace specific forms that PHAs currently use to verify information about applicants or participants. PHAs must give a Form HUD-9886, Authorization for the Release of Information/Privacy Act Notice to**:**

- all applicants at the time the PHA evaluates their eligibility for housing assistance, and
- all Public Housing residents and all Housing Choice Voucher and Moderate Rehabiliation program participants at each annual reexamination or interim reexamination.

What family members must sign the Privacy Act notice?
The head of household and spouse or co-head, regardless of age, and each adult member in the household at the time of the initial examination must sign the Notice. It is **mandatory** that each additional adult member who lives in the household sign the Notice. During a reexamination, PHAs must also obtain signatures from any new adult who joins the household and from household members who have reached 18 years of age. **Failure of the applicant or participant to sign the Notice constitutes grounds for denial of eligibility or termination of assistance or tenancy.** PHAs must keep a signed copy of the Authorization for the Release of Information/Privacy Act Notice in the tenants' files.

Where can I find more information on the Privacy Act Notice?

- For a copy of *Form HUD-9886, Authorization for the Release of Information/Privacy Act Notice*, see HUD's Client Information and Policy System on the Web at <http://www.hudclips.org/sub_nonhud/html/forms.htm>
- For more information on the Privacy Act Notice and Form HUD-9886, see *Notice PIH 94-36 (PHA), issued June 13, 1994*.

Does Section 504 of the Rehabilitation Act of 1974 (29 USC 794) as amended apply?
Yes, Section 504 applies. PHAs may not deny persons with disabilities assistance in the Public Housing, Housing Choice Voucher or Moderate Rehabiliation programs. The law specifically states "No otherwise qualified individual with a disability in the United States, as defined in section 705(20) of this title, shall, solely by reason of her or his disability, be excluded from the participation in, be denied the benefits of, or be subjected to discrimination under any program or activity receiving Federal financial assistance or under any program or activity conducted by any Executive agency or by the United States Postal Service."

Form Conventions

What are the data entry conventions for submitting data to PIC?

- **Dates:** Include the four-digit year for all fields that require the entry of a date. Enter the date in any standard format (i.e., "MM/DD/YYYY or MM-DD-YYYY"). You must enter the year in its entirety.
- **"/"** means "or" unless otherwise noted.
- **Monetary figures:** enter only whole dollar amounts. Do not show cents, commas, or dollar signs. Enter $350.26 as $350.
- **Rounding:** round each monetary amount *up* when a number is .50 or above; *down* when a number is .49 or below.
- **Calculation:** a scratch area where Public Housing Agencies may perform manual calculations. The column entries do not transmit to HUD.
- **Mixed Family:** a family that contains both eligible and ineligible members who may be subject to prorated rent under the Noncitizens Rule.
- **Negative numbers:** when calculations result in negative numbers, enter 0 (zero), unless the form instructs otherwise.
- **PHA use only:** use for your PHA tracking purposes.

What are the common acronyms used in the form and Instruction Booklet?

FMR = Fair Market Rent
FSS = Family Self-Sufficiency program
HAP = Housing Assistance Payment
HOPE = Homeownership and Opportunity for People Everywhere
HQS = Housing Quality Standards
HUD = Department of Housing and Urban Development
USCIS = Bureau of U.S. Citizenship and Immigration Services
OMB = Office of Management and Budget
PHA = Public Housing Agency
SRO = Single Room Occupancy
SSA = Social Security Administration
SSI = Supplemental Security Income
SSN = Social Security Number
TANF = Temporary Assistance for Needy Families
TIN = Taxpayer Identification Number
TTP = Total Tenant Payment
WtW = Welfare to Work

Additional Resources

Where can I receive further technical and program assistance?

We hope the Instruction Booklet answers most of your questions about the Form HUD-50058. Please direct additional questions to one of these resources:

- *The **PIC Help** Hotline* provides technical assistance in the completion and transmission of Form HUD-50058. The Hotline is available Monday - Friday, between the hours of 8:00 AM and 8:00 PM, Eastern Standard Time (excludes Federal Holidays). For assistance, call the Hotline at: 1-800-366-6827. Users can also send email to PIC Help at pichelp@hud.gov.
- *The PIC Form 50058 Forum* is a vehicle for on-line questions and answers. HUD headquarters, HUD Field Offices, Public Housing Agencies, and vendors use the site to resolve problems they have, post useful tips and suggestions, as well as lend their experience to situations that others face. The PIC Form 50058 Forum is located on the HUD Web site at: <http://www.hud.gov/offices/pih/systems/pic/50058/forums.cfm>.
- A HUD Field Office Representative
- A HUD Headquarters Program Specialist for questions regarding
  - Housing Choice Vouchers
  - Mod Rehab
  - Public Housing, voucher and mod rehab Occupancy and Admissions
  - Family Self-Sufficiency and Welfare to Work
- PIH Information and Resource Center (IRC) for program related questions at 1-800-955-2232.

Where can I find additional information on PIC and the Form HUD-50058?

The following resources provide additional information for staff who complete the Form HUD-50058:

- **The Code of Federal Regulations** contains the codification of the general and permanent rules published in the Federal Register by the Federal Government, executive departments and agencies. For the code section that applies to HUD programs, see **Title 24, Housing and Urban Development**. Code of Federal Regulations information is available on the Internet at <http://www.gpoaccess.gov/cfr/index.html >.
- **The Quality Housing and Work Responsibility Act of 1998,** commonly known as the **Public Housing Reform Act (PHRA)**, is landmark legislation that aims to:
  - reduce the concentration of poverty in public housing,
  - protect access to housing assistance for the poorest families,
  - merge and reform the Section 8 Certificate and Voucher programs, and
  - support HUD management reform efficiencies through deregulation and program consolidation.

  Additional information about PHRA is available on the Internet at <http://www.hud.gov/offices/pih/phr/index.cfm

  1937 Housing Act is the law that authorizes the Public and Indian Housing and Section 8. The Act is available on the Internet at <http://financialservices.house.gov/banking/usha1937.pdf >.

- **The Social Security Handbook** summarizes information about Social Security programs and

contains brief descriptions of related programs that other agencies administer. The handbook covers the primary programs that affect public housing residents, which include;

- retirement insurance,
- survivors insurance,
- disability insurance,
- supplemental security income, and
- public assistance and welfare services.

The Handbook is available on the Internet at <http://www.ssa.gov/OP_Home/handbook/ssa-hbk.htm >.

- ***Homes and Communities*** is HUD's web site on the Internet and is a source for information about HUD programs.
  Homes and Communities can be found on the Internet at <www.hud.gov>.

- **PIC Form-50058 web site** is a source for information about the PIC Form-50058 module. This site includes links to:
  - PIC Form 50058 Forum (on-line question and answer),
  - Data and related reports
  - PIC Form 50058 documentation and resources, and
  - PIH Notices.

  The PIC Form-50058 web site can be found at < http://www.hud.gov/offices/pih/systems/pic/50058/index.cfm >.

- **Form HUD-50058 Technical Reference Guide** contains the Form HUD-50058 field edits and flat file transmission requirements. The Guide is available on the Internet at <http://www.hud.gov/offices/pih/systems/pic/50058/pubs/trg/index.cfm >.

- **HUD's Client Information and Policy System**, known as HUDCLIPS, is the source to download all HUD forms; including the Form HUD-50058. HUDCLIPS can be found at <www.hudclips.org/subscriber/html/forms.htm>.

Page Heading

Head of household name:
At the top of every page, enter the head of household's last name (line 3b), first name (line 3c) and middle initial (line 3d). Use this field to identify the head of household if the pages of the form separate.

Social Security Number:
At the top of every page, enter the head of household's Social Security Number (line 3n). Use this field to identify the head of household if the pages of the form separate.

Date modified (mm/dd/yyyy):
At the top of every page, enter the date the PHA representative fills out the form or modifies any form page. If information on one page requires a correction, that page date will change when the PHA makes the correction. If information on other form pages does not change, the date modified will not change on those pages.

Section 1: Agency

1a. Agency Name:

Name of the Public Housing Agency (PHA) that completes the family's Form HUD-50058. Abbreviate the agency name as necessary, but include essential identification information.

When does my PHA report family data under voucher portability?

Under voucher portability, the receiving PHA should always report family data. Use the receiving PHA's name and number in the first section of the form. The receiving PHA can bill the initial PHA. However, PHA cannot bill another PHA for payments under a project-based HAP contract.

How does the PIC Form 50058 module populate this field?

The PIC Form 50058 module populates this field with data from other PIC modules or HUDCAPS based on the PHA code reported in 1b.

1b. PHA Code:

Five-character code composed of the 2-letter postal state code and 3-digit PHA number. This state code indicates the location of the reporting PHA and the number identifies each PHA within a particular state.

Example: If a PHA is in Florida, and its PHA number is 12, this is how the PHA code should be recorded:

- State Code: FL for Florida;
- PHA Number: 012 (to convert it to a 3-digit number, add appropriate number of zeros before the number);
- PHA code to be recorded**:** FL012

Where can I find standard state and territory codes?

See Appendix 1, Federal Standard State and Territory Codes, for a list of state and territory postal state codes.

Where can I find a PHA's number?

If the PHA number is unknown, call the PHA's state or area field office or contact the PIC Help Hotline at 1-800-366-6827 or pichelp@hud.gov. This information is also available on the PHA Profiles web site within PIC <http://www.hud.gov/offices/pih/systems/pic/haprofiles/index.cfm >.

Which PHA code should be used when my PHA administers another PHA's Housing Choice Voucher or Mod Rehab program?

If your PHA administers another PHA's voucher or mod rehab program, and the other PHA's Annual Contribution Contract (ACC) funds a family's assistance, use the PHA code for the PHA whose ACC funds the family's assistance. (This does *not* apply to portability.)

1c. Program:

Using the codes provided, indicate the housing assistance program in which the family participates. Enter a program code in the 2 boxes in line 1c from *left to right*. If there is only 1 letter to enter, complete the *first* box (the one to the left) only; if there are 2 letters to enter, complete both (first and second) boxes.

- **P** = Public Housing
- **CE** = Project-based Certificate
- **VO** = Housing Choice Vouchers
- **MR** = Moderate Rehabilitation (Mod Rehab)

Given these program types, what section of the Form HUD-50058 should I fill out to calculate tenant rent?

Sections 10, 11, 12, 13, and 15 of the Form HUD-50058 are used to calculate tenant rent. The PHA should fill out the one section of the form that corresponds to the program in which the tenant family participates. If the tenant family's program is:

- **Public Housing (1c = P)** – the PHA should fill out section 10 of the form.
- **Project-based Certificate (1c = CE)** – the PHA should fill out section 11 of the form.
- **Project-based Voucher (1c = VO)** – the PHA should fill out section 11 of the form.
- **Tenant-based Voucher (1c = VO)** – the PHA should fill out section 12 of the form.
- **Moderate Rehabilitation (1c = MR)** – the PHA should fill out section 13 of the form.
- **Homeownership Voucher (1c = VO)** – the PHA should fill out section 15 of the form.

1d. Project Number (Public Housing Only):

The project number is composed of the 2-letter project state code, 3-digit PHA number, 3-digit development number, and 3-digit suffix (if applicable).

Example: If a PHA is in Florida, its PHA number is 12, and the development number is 5, this is how the Project Number should be recorded:

- State Code: FL for Florida
- PHA Number: 012 (to convert it to a 3 digit number, add appropriate number of zeros before the number)
- Development Number: 005 (to convert it to a 3-digit number, add appropriate number of zeros before the number)
- Project Number to be recorded: FL012005

Suffix, if applicable (Public Housing Only):
HUD has assigned site numbers or suffixes to the project sites of some Public Housing Agencies. If the family lives in a project with a site number or suffix code, enter the 3-digit number or suffix here. If there is no site number or suffix, leave it blank.

1e. Building number (Public Housing only):
Six-character code to capture the tenant's building number. All PHAs should use the building numbers that correlate with Public and Indian Housing Information Center (PIC) data. HUD uses the PIC System to establish valid building numbers.

1f. Building entrance number (Public Housing only):
Three-character code to capture the tenant's building entrance number. All PHAs should use the entrance numbers that correlate with PIC data. HUD uses the PIC System to establish valid building entrance numbers.

1g. Unit number (Public Housing only):
Six-character code to capture the PHA designated tenant unit number. All PHAs should use the unit numbers that correlate with PIC data. HUD uses the PIC System to establish valid unit numbers.

Section 2: Action

2a. Type of action:

Report the type of action. Use the action codes that follow:

- *1 = New Admission:* Use this transaction when the family has:
  - Signed a lease (or occupancy agreement) with the PHA for the first time to occupy a dwelling unit operated under the PHA's Public Housing program
  - Signed a lease under the Voucher or Moderate Rehabilitation programs for the first time.
  - Experienced an interruption of over one month between his or her occupancy of one Public Housing unit and another Public Housing unit
  - Experienced an interruption of voucher assistance where the former PHA submitted an End of Participation action.
  - Moved from one PHA program to another (e.g., moved from a Public Housing project to the voucher program).

Under what circumstances should a family not be reported as a New Admission?

Do not report a New Admission for a transfer from one dwelling unit to another unit within the same PHA program. Use a reexamination code if the transfer is at the time of the regularly scheduled reexamination. Otherwise, report an Other Change of Unit (2a=7) if the family moved within the PHA's jurisdiction, or report a Portability Move-in (2a=4) if the family is moving from another PHA into your PHA's jurisdiction after being assisted by the other PHA.

Do I report a New Admission if a family exercises portability with its first admission?

If a family exercises portability with its first admission into the voucher program, the receiving PHA must classify this as a New Admission and not a Portability Move-in.

How do I indicate FSS/WtW enrollment during a New Admission?

If the family is a New Admission and is enrolling in the FSS/WtW program, report a New Admission and submit an FSS/WtW Addendum that indicates the family as a new FSS or WtW enrollment.

Do I report a New Admission when a family moves from Public Housing to the voucher program?

If a family moves from a Public Housing project to the voucher program, report a New Admission for the voucher Program, and an End Participation for the Public Housing program.

- *2 = Annual Reexamination*: The regularly scheduled annual reexamination of family income and circumstances.

Under what circumstances is a reexamination not conducted on an annual basis?

For public housing families that select a flat rent, the PHA must conduct a reexamination of income at least once every three years.

- *3 = Interim Reexamination*: The reexamination of family income and circumstances, other than at the regularly scheduled annual reexamination. An interim reexamination occurs at the request of the tenant as a result of a change in income status, addition or loss of a family member, or other circumstance that requires tenant rent adjustment. PHAs must adopt policies that prescribe when and under what circumstances a tenant family must report a change in family income or composition. (24 CFR 960.257(b); 24 CFR 982.518(c))

- *4 = Portability Move-In (VO only)*: Applicable to Housing Choice Vouchers only. Portability move into a new PHA jurisdiction.

What is portability?

Portability is renting a dwelling unit with Housing Choice Voucher assistance outside the jurisdiction of the initial PHA.

When is a Portability Move-in classified as a New Admission?

If a family exercises portability with its first admission into the voucher program, the receiving PHA must classify this as a New Admission and not a Portability Move-in.

5 = Portability Move-out (VO only): Portability move out of a PHA jurisdiction, regardless of whether the receiving PHA bills or absorbs the cost.

When should a Portability Move-out be reported?
Report a Portability Move-out only after the receiving PHA has executed a HAP contract on behalf of the family and returns the portability billing form to the initial PHA.

- *6 = End Participation*: The transaction where the head of household and all family members discontinue participation in the PHA program. Report an End Participation if the family moves from one PHA program to another.

  Example: A family moves from a Public Housing project to the Housing Choice Voucher program. Report an End Participation for the Public Housing program, and a New Admission for the voucher program.

  Under what circumstances should I not report an End of Participation?
  Do not report an End Participation for temporarily interrupted assistance (e.g., interrupted for one month or less for Public Housing program).

  Do not report an End Participation if the family is between assisted units in the voucher program.

- *7 = Other Change of Unit*: Use this code to report a move to a different unit within the same PHA program at a time other than the family's Annual Reexamination or an Interim Reexamination.

- *8 = FSS/WtW Voucher Only*: Use this code when the family enrolls, reports program progress, or exits the Family Self-Sufficiency (FSS) or Welfare to Work (WtW) Voucher program(s) at a time other than the time of another reported action for the family. The family continues to receive housing assistance.

- *9 = Annual Reexamination Searching (VO only)*: The family is due for an annual reexamination, but has moved from its former unit and is searching for a new unit.

- *10 = Issuance of Voucher (VO only)*: Anytime the PHA issues a Voucher to the family and the family begins to search for housing.

- *11 = Expiration of Voucher (VO only)*: The family fails to lease a unit and the Voucher expires. Report each voucher issuance and expiration, whether for a new admission or a participant who is moving.

- *12 = Flat Rent Annual Update (Public Housing only)*: Applicable only to families who select flat rent. The regularly scheduled annual update for a public housing family that chooses a flat rent. HUD requires the PHA to update family composition information each year.

  When does my PHA use this action code?
  The flat rent annual update is only conducted in the years that a reexamination is not conducted for families in Public Housing who choose flat rent. Families who select flat rent only require an annual reexamination at least once every three years. This code allows PHAs to update family composition data for families who selected a flat rent.

  Example: Public Housing family chooses flat rent.
  Year 1: New admission (2a=1) or Annual Reexamination (2a=2)
  Year 2: Flat Rent Annual Update (2a=12)
  Year 3: Flat Rent Annual Update (2a=12)
  Year 4: Annual Reexamination (2a=2)

- *13 = Annual HQS Inspection Only (tenant based vouchers, project based certificates only)*: To report the annual HQS inspection as a separate action if it happens at a time other than the time of another reported action for the family. The PHA is responsible to ensure that each annual HQS inspection is reported in a timely manner to PIC.

- *14 = Historical Adjustment*: To capture information for households who do not have a New Admission (line 2a=1) recorded in PIC, but require an action other than a new admission or an issuance of voucher. Historical Adjustment will serve as the baseline action for the household.

  When does my PHA use this action code?
  PHAs may use action code 14 in cases where the family was never successfully reported to the PIC system and is not a New Admission (*i.e.*, the family has been assisted by a PHA for over one year). However, as PHA must report newly admitted households to HUD in a timely manner, action code 14 should rarely be used.

- *15 = Void*: For PHAs to remove the most recently submitted record from the database.

When should I use Void to remove records from the database?

- Use Void to delete the latest family record when it was submitted in error.
- PHAs should use Void to correct data when there are two or more duplicate records in the PIC database or when the PHA sends an erroneous SSN to PIC.

Example: If a PHA submits a Form HUD-50058 in March and a FSS Addendum to the same Form HUD-50058 in April then subsequently voids the Form HUD-50058 in May, the FSS Addendum will also be voided.

2b. Effective date (mm/dd/yyyy) of action:

Date the reported action becomes effective. The effective date cannot be earlier than the date of admission to the program (line 2h). Enter the date in the mm/dd/yyyy format.

- *New Admission (line 2a = 1)*. The effective date of the lease. For tenant-based voucher units, it is the effective date of the assisted lease and HAP contract.
- *Annual Reexamination (line 2a = 2)*. Date that the reexamination takes effect. It is generally the same month and day each year.
- *Interim Reexamination (line 2a = 3)*. Date that the reexamination takes effect.
- *Portability Move-in (vouchers only) (line 2a = 4)*. The effective date of the lease and HAP contract.
- *Portability Move-out (vouchers only) (line 2a = 5)*. Same date as the portability move-in as noted on the portability billing form.
- *End Participation (line 2a = 6)*. For Public Housing units, it is the date the lease terminates. For voucher famiies, it is the date the HAP contract terminates, or if the family is not in an assisted unit, the date that the voucher expires (whichever is later).
- *Other Change of Unit (line 2a = 7)*. The effective date of the lease for the new unit.
- *FSS/WtW Addendum only (line 2a = 8).* Date the family enrolls or exits the Family Self-Sufficiency (FSS) or Welfare to Work (WtW) program, or the date when the PHA runs a progress report on the family.
- *Annual Reexamination Searching (tenant-based vouchers only) (line 2a = 9)*. The effective date of the annual reexamination for a family that is searching for a unit.
- *Issuance of Voucher (vouchers only) (line 2a = 10)*. Date the PHA issues a voucher to the family (whether new to the program or currently assisted).
- *Expiration of Voucher (vouchers only) (line 2a = 11)*. Date the issued Voucher, including any term extensions, expires.
- *Flat Rent Annual Update (Public Housing only) (line 2a = 12)*. Date of the flat rent annual update. Use this to record the date of the yearly update, not the 3 year reexamination. It is generally the same month and day each year.
- *Annual HQS Inspection Only (Housing Choice Vouchers and Moderate Rehabilitationonly) (line 2a = 13)*. Date the annual HQS inspection was performed.
- *Historical Adjustment (line 2a = 14)*. Date that the historical adjustment takes effect.
- *Void (line 2a = 15)*. Date the PHA chooses to void the record.

2c. Correction? (Y or N):

Allows PHAs to correct fields previously transmitted in error on the last submitted Form HUD-50058. Use a correction for a change to the last submitted Form HUD-50058. If the majority of the last submitted form is erroneous, use line 2a = 15, i.e. Void action type.

2d. If correction (check primary reason):

Indicate the primary reason for the correction record. Requires PHAs to indicate the reason for a correction.

- *Family correction of income*: A family corrected its inaccurate income information.
- *Family correction (non-income)*: A family corrected its inaccurate non-income information.
- *PHA correction of income*: The PHA corrected its errors in determining or reporting a family's income or rent.
- *PHA correction (non-income)*: The PHA corrected its inaccurate reporting of a family's non-income information.

2h. Date (mm/dd/yyyy) of admission to program:

Date the PHA initially admitted the family into the program reported in line 1c. HUD uses this date to determine how long families participate in specific housing programs. Enter the date in the mm/dd/yyyy format. See below for the applicable dates for different scenarios.

- For new admissions, enter the Effective Date of Action from line 2b.
- If the family was converted from the Certificate to the Voucher program but the PHA continuously assisted the family, enter the date the PHA initially admitted the family to the rental Certificate program.
- The Date of Admission for voucher program is the effective date of the first assisted lease and HAP contract for the tenant. The date the tenant signed the lease may or may not be the effective date.

2i. Projected effective date (mm/dd/yyyy) of next reexamination:

Scheduled date for the next reexamination. Enter the date in the mm/dd/yyyy format. Enter a projected reexamination date if type of action (line 2a) is:

- 1 = New Admission
- 2 = Annual Reexamination
- 3 = Interim Reexamination
- 4 = Portability Move-in
- 7 = Other Change of Unit
- 9 = Annual Reexamination Searching
- 12 = Flat Rent Annual Update

When should the reexamination be scheduled?

For most families, the PHA must conduct a reexamination of the family's income and composition once a year. If the family is in the voucher program, moderate rehabilitation program or Income-based Public Housing, schedule the family's reexamination within12 months from the effective date of action of the family's last reexamination or new admission. If the family is in Public Housing and chooses flat rent, the PHA must schedule the reexamination within three years from the effective date of action of the family's last reexamination or new admission.

How often should reexaminations be scheduled for families who choose flat rent for Public Housing?

Reexaminations of income and rent for families who choose flat rent do not have to be conducted on a yearly basis. The PHA has the option to conduct reexaminations only once every three years for families with flat rent. In the 'off' years, the PHA must still collect information on the family's composition through a Flat Rent Annual Update (2a=12).

Example: Public Housing family chooses flat rent.
Year 1: New admission (2a=1) or Annual Reexamination (2a=2)
Year 2: Flat Rent Annual Update (2a=12)
Year 3: Flat Rent Annual Update (2a=12)
Year 4: Annual Reexamination (2a=2)

2j. Projected date (mm/dd/yyyy) of next flat rent annual update (Public Housing flat rent only):

The flat rent annual update is the annual update of family composition data for families who choose flat rent. The flat rent annual update is only conducted in the years that a reexamination is not conducted. Enter the date in the mm/dd/yyyy format.

When should the flat rent annual update be scheduled?

Schedule the flat rent annual update for no more than 12 months from the Effective Date of Action (line 2b). If the flat rent family is due for their reexamination in 12 months, leave this line blank.

2k. FSS participation now or in the last year? (Y or N):

Indicate if the family currently participates or participated in the Family Self-Sufficiency program in the past year. Complete and submit the FSS/WtW Addendum if the family currently participates in the FSS program.

What do I enter if the family ended FSS, but my agency did not complete an FSS exit report?

If the family ended the FSS program and the PHA did not complete the FSS Exit form, indicate Y and complete the FSS Exit form at this time.

What PHA completes the FSS/WtW Addendum if the family ported-in to my PHA?

When a FSS participant moves under portability, the receiving PHA must complete and submit the FSS Addendum. The receiving PHA must obtain the information, as necessary, from the initial PHA.

2m. Special program (vouchers only) (check only one):

Indicate if the family has Enhanced Voucher assistance or a Welfare to Work Voucher.

When do families receive Enhanced Vouchers?

Enhanced Voucher assistance may be provided to families who stay at multifamily projects where the project meets one of these criteria:

- the owner opted out of, or did not renew, a covered HUD subsidy contract,
- the owner prepaid a mortgage or voluntarily terminated a mortgage insurance contract on a preservation project, or
- In rare cases where HUD terminated or did not

permit an owner to renew a Section 8 multifamily project contract. See Notice PIH 2000-9 for detailed guidance.

Who is a Welfare to Work family?
A Welfare to Work (WtW) family is a family that is assisted by a PHA with Voucher funding awarded to the PHA under the HUD Welfare-to-Work Voucher program (including any renewal of such WtW funding for the same purpose).

2n. Other special programs:
Indicate if the family participates in one or more of the following programs:

Housing Choice Voucher programs:
- **FUP** (Family Unification Program)
- **PHRR** (Public Housing Relocation/Replacement)
- **MS1** (Mainstream -1 year)
- **MS5** (Mainstream – 5 year)
- **PHDES** (Designated Public Housing)
- **MFDES** (Designated Multifamily Projects/ Certain Projects)
- **PA** (Project Access)
- **LIT** (Litigation)

Public Housing programs:
- **ROSS** (Resident Opportunities & Self Sufficiency program)
- **HOPE** (Homeownership and Opportunity for People Everywhere VI Resident Service Program)

2q, 2r, 2s, 2t, 2u. PHA use only:
PHAs may use these lines for any information they wish to collect. HUD encourages PHAs to use lines 2q-2u for local initiatives. The information on these lines is transmitted to HUD so PHAs may later retrieve the information from PIC.

Example: PHAs may use 2q through 2u to capture Mailbox sub-ID numbers, PHA subcontractor codes or PHA tenant identification codes.

Section 3: Household

General Rules:

- Apply the instructions for lines 3a through 3q to page 3 of the form.
- The household includes everyone who lives in the unit. Household members are used to determine unit size.
- The family includes all household members except live-in aides and foster children and adults. Use the number and characteristics of family members to calculate housing subsidies and payments.

3a. Head of household/ Member number 01:

The Member Number identifies the individual listed on that line of the form. You must list Member Number 01 as the Head of the Household. List Member Number 02 as the spouse or co-head (see relation codes, line 3h, for co-head definition). If there is no spouse or co-head, list other household members beginning with Member Number 02 and continue in sequence until the form contains information about everyone who comprises the household.

3b. Last name & Sr., Jr., etc.:

Indicate the last name of each household member. Include name suffixes, such as Jr., and separate with a comma. Do not include name prefixes, such as Ms. or Mr.

Example: Smith, Jr. or Doe, III.

3c. First name:

Indicate the first name of each household member. Do not include name prefixes, such as Ms. or Mr.

3d. MI:

Indicate the middle initial of each household member. If the household member does not have a middle initial, leave blank. If he/she has more than one middle initial, only enter one.

3e. Date of birth:

Indicate the date of birth for each household member. Include all four digits of the year. Enter the date in the mm/dd/yyyy format.

Example: Write 11/15/1997 instead of 11/15/97.

3f. Age on effective date of action:

Indicate the age in years of each household member on the effective date of action (line 2b). Use whole years only. Do not round.

Example: The effective date of action listed is 12/01/2000. Household Member Number 03 was born on August 8, 1981. This person's age as of 12/01/2000 is 19 years.

3g. Sex:

Indicate the gender of each household member. Use M = Male and F = Female.

3h. Relation:

Use the code that best categorizes the position or role of each household member.

- H = Head of household
- S = Spouse
- K = Co-head
- F = Foster child/adult
- Y = Other youth under 18
- E = Full-time student 18+
- L = Live-in aide
- A = Other adult

How are each of the codes defined?

- *H = Head of household:* The one adult member of the household, designated by the family or by PHA policy as the head of household, who is wholly or partly responsible for rent payment.

- *S = Spouse:* The marriage partner of the head of household.

- *K = Co-head:* An individual in the household who is equally responsible for the lease with the head of household. Indicate either a spouse or a co-head, but not both. A co-head never qualifies as a dependent. However, a co-head may be under 18 years old if declared an "emancipated minor", as many states will allow an emancipated minor to sign a lease.

- *F = Foster child/adult:*
  - *Foster child* – A member of the household who is under 18 years of age or a member who is a full-time student, 18 years or older, and who is under the parental control and responsibility of someone other than his or her mother or father.
  - *Foster adult* – A member of the household

(usually a person with a disability, unrelated to the tenant family, who is unable to live alone) who is 18 years of age or older and for whom the family provides necessary shelter, care and protection.

- *Y = Other youth under 18*: A member of the household (regardless of disability status), who is under 18 years of age on the effective date of action (line 2b), and is not a foster child.

- *E = Full-time student 18+*: A member of the household, other than the Head, spouse or co-head, or foster child or adult, 18 years of age or older on the effective date of action (line 2b) who carries a subject load considered full-time for students under the standards and practices of the educational institution attended. An educational institution includes a vocational school with a diploma or certificate program, as well as a degree-granting institution.

- *L = Live-in aide*: A person who lives with an elderly or disabled person(s) and who**:**
  - is determined by the PHA to be essential to the care and well-being of the person(s);
  - is not obligated to support the person(s);
  - would not be living in the unit except to provide necessary supportive services.

  How do I categorize a child of a Live-in aide? Categorize the child(ren) of a Live-in aide as a Live-in aide.

- *A = Other adult:* A member of the household (excludes foster adults), other than the head or spouse or co-head, who is 18 years of age or older on the effective date of action (line 2b), regardless of disability status.

3i. Citizenship**:**

Use code that indicates each family member's United States citizenship status.

- EC = Eligible citizen: The family member is an eligible U.S. citizen or national.
- EN = Eligible noncitizen: The family member has an alien registration number verified by the USCIS.
- IN = Ineligible noncitizen: The family member fits one or more of the following descriptions:
  - the person is unable to verify registration at USCIS,·
  - the person has not yet provided documentation of eligible status, or
  - the person elected not to contest eligibility status.
- PV = Pending verification: The family member has an alien registration that is pending verification by the USCIS. If you do not know an individual's citizenship, enter 'PV'.

- Leave blank if the household member is a live-in aide or foster child/adult.

  What is the citizenship status used for? Each family member's code will factor into the rent calculations for housing assistance eligibility.

3j. Disability (Y/N)**:**

Indicate whether or not the household member has a disability as defined below.

What conditions classify a person as disabled? A person with disabilities has one or more of the following:

- A disability as defined in section 223 of the Social Security Act.
- A physical, mental, or emotional impairment, which is expected to be of long-continued and indefinite duration, substantially impedes his or her ability to live independently, and is of such a nature that such ability could be improved by more suitable housing conditions.
- A developmental disability as defined in section 102 of the Developmental Disabilities Assistance and Bill of Rights Act.
- Acquired immune deficiency syndrome (AIDS) or any condition that arises from the etiologic agent for AIDS.

3k. Race**:**

Use the code or codes the family says best indicates each household member's race. These codes are the official codes the Federal Government uses for census-taking and related activities and are mandated by the U.S. Office of Management and Budget (OMB). Select as many codes as appropriate. More than one race code can be entered for each household member.

1 = White
2 = Black/African American
3 = American Indian/Alaskan Native
4 = Asian
5 = Native Hawaiian/Other Pacific Islander

3m. Ethnicity**:**

Use the code the family says best indicates each

household member's ethnicity.

1 = Hispanic or Latino
2 = Not Hispanic or Latino

3n. Social Security Number:

Enter the 9-digit Social Security Number (SSN) issued to each household member by the Social Security Administration (SSA).

Whose SSN needs to be reported?

The family must report all SSNs of family members who are age six and over. If, for some reason, a family member has more than one SSN, record the number the individual currently uses.

What do I enter if a family member does not have a SNN?

If a Head of Household does not have a SSN, PHA must generate an alternate identification number for the family head. PHA must access the Alternate ID Generator Module in PIC to generate this number. If a member who is not the Head does not have a SSN, enter 999999999.

What do I enter if an individual receives social security benefits under a SSN other than his or her own?

Regardless of whether, an individual receives social security benefits under a SSN other than his or her own, enter the recipient individual's SSN in line 3n. Do not enter a SSN that has one or two alpha or numeric characters that follow the basic 9-digit number. The presence of the suffix indicates that the number is actually a claim number – issued by the Social Security Administration to identify the relationship of the recipient to the person from whom the benefit is derived (i.e., the basis of the recipient's benefit is another person's social security record).

Example: Do not record xxx-xx-xxxxB or xxx-xx-xxxxW1 as an individual's valid SSN. A number in this format is actually a claim number.

3p. Alien Registration Number:

Enter the Alien Registration Number or A-number issued to each noncitizen household member, if applicable. Each alien registration number is unique in that it pertains to one person or one document only; in many instances, the USCIS provides minors and infants in the United States with individual alien numbers. The A-number contains seven, eight or nine numerical digits preceded by the letter A, e.g., A72 735 827.

How do I format the A-number?

- Do not enter the letter A in any case.
- Enter the digits from left to right.
- If the alien registration number has seven digits, enter two zeros before the alien registration number.
- If the alien registration number has eight digits, enter one zero before the alien registration number.
- If the alien registration number is nine digits, enter the number without a leading zero.

Example:

- If the Alien Registration Number is A1234567, enter as 001234567.
- If the Alien Registration Number is A12345678, enter as 012345678.
- If the Alien Registration Number is A123456789, enter as 123456789.

3q. Meeting community service or self-sufficiency requirement? (Public Housing only):

Indicate whether the family member is in the process of meeting his or her prior year community service or selfsufficiency requirements under the FY 2003 HUD/VA Appropriations Act that reinstated the provisions authorized in Section 12 of the United States Housing Act of 1937, as amended by PHRA. Regulations for this provision are provided in 24 CFR 960 (Subpart F). Further guidance is available in Notice PIH 2003-17.

Select one of the options:

- 1 = yes; the tenant is meeting his or her 8 hour monthly service requirement
- 2 = no; the tenant is not meeting his or her 8 hour monthly service requirement. If tenant is not satisfying this requirement, his/her lease should be terminated.
- 3 = pending; the PHA needs to verify if the tenant is meeting his or her service or self-sufficiency requirements.
- 4 = exempt; refers to tenants and their primary care givers, including live-in aides, who meet the exemptions listed in 24 CFR 960.601(b). (see question below for exemption criteria)

PHA should no longer be selecting the option "n/a" since the community service requirement is now reinstated for all PHA. After September 2004, PHA will receive a fatal error if the "n/a" option is used.

When do PHAs have to comply with the community service requirement?

By July 31, 2003 all residents should have received written notice of the reinstatement of the community

service requirement. As of October 31, 2003, PHAs must ensure that all affected residents are performing their community service or self-sufficiency requirement.

When does my PHA assess community service compliance?
Satisfaction of the requirement is assessed during the annual reexamination process and the flat rent annual update process. PHAs must review family compliance once a year, 30 days prior to the expiration of the resident's lease.

What can an individual do if they do not meet the community service requirement?
The regulation provides for a make-up period if the eight-hour average is not met.

What are the criteria for satisfying community service requirements under the Public Housing Reform Act (PHRA) and 24 CFR 960.603?
To satisfy service requirements, every adult resident of public housing must do one of the following:

- Contribute an average of eight hours of community service each month,
- Participate in a self-sufficiency program for at least eight hours every month, or
- Perform eight hours of combined activities each month.

What household members are exempt from the community service requirement under 24 CFR 960.601?
Exemption criteria includes the following**:**

- Persons who are 62 years of age or older, and their primary caregivers, including live-in aides.
- Persons under 18 years of age.
- Persons with disabilities, and their primary caregivers, including live-in aides.
- Persons engaged in work activities.
- Persons meeting the requirement for being exempted from engaging in work under a State program funded under Part A, Title IV of the Social Security Act or under any other welfare program of the State in which the PHA is located, including State-administered Welfare to Work (WtW) program.
- Members of a family receiving assistance, benefits or services under a State program funded under Part A, Title IV of the Social Security Act or under any other welfare program of the State in which the PHA is located, including State-administered Welfare to Work (WtW) program.

3t. Total number in household:

The total number of people in the household. Count all persons, include foster children or adults, live-in aides, and other unrelated individuals (who reside with the family as part of the household). Also include persons who are members of the household but temporarily absent from the home.

The total count of household members should equal the number of individuals listed separately in Section 3 (line 3a).

3u. Family subsidy status under Noncitizens Rule:

The code that indicates the housing assistance eligibility for family members based on the 24 CFR Part 5 (e). The Noncitizens Rule allows PHAs to provide financial assistance to U.S. citizens, U.S. nationals, and non-U.S. citizens with eligible immigration status.

Use the following status codes:

- C = Qualified for continuation of full assistance
- E = Eligible for full assistance
- F = Eligible for full assistance pending verification of status
- P = Prorated assistance

What does each code mean?

- *C = Qualified for continuation of full assistance*: Applies to a mixed family, which is composed of both eligible and ineligible members. A mixed family may be qualified for continued assistance if it meets all of the following conditions**:**
  - The family was receiving assistance under a Section 214 covered program on June 19, 1995, which is when the Noncitizens rule became effective.
  - The head of household or the spouse has eligible immigration status. See 24 CFR 5.506.
  - The family does not include any person without eligible immigration status other than the Head of Household, spouse, and parents or children of the Head or spouse.

  A family granted continued assistance before Nov 29, 1996 is entitled to receive non-prorated assistance. A family granted assistance after Nov 29, 1996 must receive prorated assistance (Section 5.518(a)(2)).

- *E = Eligible for full assistance*: Applies when the

entire family provides documentation of U.S. citizenship, U.S. national status, or eligible immigrant status and the USCIS verified this status or documentation.

- *F = Eligible for full assistance pending verification of status*: Applies when the family provides documentation of eligible immigrant status and the PHA is waiting for USCIS verification or the family currently participates in the hearing process in reference to their ineligible noncitizen status. This applies if the PHA did not know the citizenship of any family member, as indicated by 'PV=Pending Verification' in line 3i. This also applies for instances of temporary deferral of termination of assistance.

- *P = Prorated assistance*: This applies if one or more family members do not provide acceptable documentation of their citizenship or eligible immigrant status. The PHA gives an assistance amount based on the percentage of the family that provided acceptable documentation of citizenship or eligible immigrant status. The PHA must establish at least one family member's acceptable degree of eligibility (through documentation) to make assistance available.

When can a family have ineligible members and still receive full assistance?
Mixed families who are qualified for full continuation of assistance (3u=C) or those who choose temporary deferral of termination (3u=F), can still receive full assistance. The aggregate temporary deferral period for deferrals granted prior to November 29, 1996 should not exceed 3 years, and for deferrals provided after November 29, 1996 should not exceed 18 months. The initial deferral is granted for a period of 6 months, and renewed for 6- month periods thereafter.

What is a Termination of Assistance and how long does it last?
If a family member knowingly permits an ineligible individual to reside in an assisted housing unit, the family member's assistance must be terminated for at least 24 months, according to 24 CFR 5.514 (c)(1)(iii).

3v. Eligibility effective date (mm/dd/yyyy) if qualified for continuation of full assistance (3u = C):

Date the family originally qualified for the continuation of full assistance (3u=C).

3w. If new head of household, former head of household's SSN:

If the designated head of household changed due to discontinued occupancy or another cause such as death, marriage, or remarriage and there are family members who remain in the household, enter the former head of household's SSN.

Only enter a SSN in this field if the family changed its head of household. If the former head of household did not possess a Social Security Number, enter the Alternate Identification number that was previously generated for the former head of household in the PIC Alternate ID module.

Section 4: Background at Admission

4a. Date (mm/dd/yyyy) entered waiting list:

Date the PHA placed the family on the waiting list for the program under which they are currently receiving housing assistance. If the PHA admitted the family as a special admission (not on waiting list; 24 CFR 982.203) to the tenant-based voucher program, leave blank. This date must not be later than the Effective Date of Action (line 2b).

What do I enter if the family's application was temporarily inactive?

If the family's application was inactive at some point, enter the date the PHA used to determine the family's position on the waiting list.

4b. ZIP code before admission:

The 5-digit ZIP code where the family lived before admission to an assistance program.

What ZIP code should I enter if the family was homeless prior to admission?

If the family was categorized as "homeless" prior to admission, enter the post office ZIP code for the area or location where the family usually slept immediately prior to admission. If known, enter the full 9-digit ZIP code (ZIP + 4).

4c. Homeless at admission? (Y or N):

Indicate whether or not the family was homeless at the time the PHA admitted the family to a housing assistance program.

4d. Does family qualify for admission over the very low-income limit? (vouchers only) (Y or N):

Indicate whether or not the family qualified for program admission even though their income exceeds the very low-income limit (50% of the area's median income).

What are the criteria for a family to qualify for admission over the very low-income limit?

A family qualifies for admission over the very low-income limit if one or more of the following apply:

- A low-income family that is "continuously assisted" under the 1937 Housing Act.
- A low-income family that meets additional eligibility criteria specified in the PHA administrative plan.
- A low-income non-purchasing family who resides in a HOPE 1 or HOPE 2 project.
- A low-income non-purchasing family who resides in a project subject to a resident homeownership program under 24 CFR 248.173.
- A low-income or moderate-income family displaced as a result of the prepayment of a mortgage or voluntary termination of a mortgage insurance contract under 24 CFR 248.101.

4e. Continuously assisted? (Y or N):

Indicate whether or not the family is continuously assisted under or currently enrolled in any 1937 Housing Act program at the time of admission.

Example: Indicate yes if a family moves from public housing to the Housing Choice Voucher or Moderate Rehabilitation program or if a family moves from a Section 8 subsidized multifamily project to the voucher program.

4f. Is there a HUD approved income targeting disregard? (Y or N):

Applicable to Welfare to Work families only. Indicate whether this Welfare to Work family is approved for an income targeting disregard. (see 24 CFR 982.201(b)(2)(iii))

How does a family qualify for an income targeting disregard?

If approved by HUD, the admission of a portion of very low income welfare-to-work (WTW) families that are not extremely low income families may be disregarded in determining compliance with the PHA's income-targeting obligations under 24 CFR 982.201(b)(2)(i).

HUD will grant such approval only if and to the extent that the PHA has demonstrated to HUD's satisfaction that compliance with such targeting obligations with respect to such portion of WtW families would interfere with the objectives of the Welfare to Work Voucher program. If HUD grants such approval, admission of that portion of WtW families is not counted in the base number of families admitted to a PHA's tenant-based Voucher program during the fiscal year for purposes of income targeting.

Section 5: Unit to be Occupied on Effective Date of Action

5a. Unit address:

The complete address of the housing unit that the household occupies on the effective date of action (line 2b).

What is included in a complete address?

- Number and street: Street address of the unit.
- Apt: Apartment or unit number, if applicable.
- City: City in which the unit is physically located.
- State: State in which the unit is physically located (use 2 character postal codes).
- ZIP code (+4): 5-digit ZIP code in which the unit is physically located (if known, include the full 9-digit ZIP code: ZIP + 4).

5b. Is mailing address same as unit address? (Y or N) (if yes, skip to 5d):

Indicate whether the mailing address is the same as the unit address indicated in line 5a.

5c. Family's mailing address:

The complete address where the family receives mail, if other than the unit address indicated in line 5a. Complete only if the answer to the previous question (5b) is no.

When do I enter a mailing address?

- Use when tenant would like to receive mail at a different address.
- Use when the individual has a "guardian" that handles correspondence.
- Use when the family receives mail at a Post Office box.

When do I leave the field blank?

Leave this field blank if the mailing address is the same as the unit address.

What is included in a complete address?

- Number, street, or PO box - Street address or post office box number where the family receives mail
- Apt. - Apartment or unit number, if applicable, where the family receives mail
- City - City where the family receives mail
- State - State where the family receives mail (use two character postal code)
- ZIP code (+ 4) - 5-digit ZIP code where the family receives mail (if known, include the full 9-digit ZIP code: ZIP + 4)

5d. Number of bedrooms in unit:

Total number of bedrooms in the unit that the household will occupy on the effective date of action (line 2b).

What number do I enter if the unit is an efficiency or Single Room Occupancy (SRO)?

If the unit is an efficiency or Single Room Occupancy (SRO), enter 0 (zero) in this field.

What number do I enter if two or more families share the unit?

If two or more families share the unit (i.e., shared housing unit) under the voucher program, enter the number of bedrooms in the family's private living space.

5e. Has the PHA identified this unit as an accessible unit? (Public Housing only) (Y or N):

Indicate whether or not the unit that the family occupies on the effective date of action (line 2b) is a PHA designated handicapped accessible unit.

5f. Has the family requested accessibility features? (Public Housing only) (Y or N) (If no, skip to next section):

Indicate whether or not the family requested disability amenities or accessibility features.

If you answered no, skip to Section 6.

5g. Has the family received the requested accessibility features? (Public Housing only):

Indicate the status of the family's request for disability amenities and/or accessibility features (line 5f) on the effective date of action (line 2b).

- a = Yes, fully: the PHA fulfilled the request fully.

  Example: If the household requested a unit with disability amenities and on the effective date of action, the PHA had fulfilled the request fully, mark the status as a = Yes, fully.

- b = Yes, partially**:** the PHA fulfilled the request partially.
  Example: If the household requested a unit with disability amenities and on the effective date of action, the PHA fulfilled the request partially,

mark the status as b = Yes, partially.

- c = No, not at all: the PHA did not fulfill the request in any way.

  Example: If the household requested a unit with disability amenities but on the effective date of action, the household did not receive any amenities, mark the status as c = No, not at all.

- d = Action pending: the request is currently pending (can be checked in combination with b or c).

  Example: If the household requested a unit with disability amenities and on the effective date of action, the household did not receive any amenities, but the unit is scheduled to receive an upgrade in the next month, mark the status as d = Action pending.

5h. Date (mm/dd/yyyy) unit last passed HQS inspection (All Voucher-Funded Assistance and Moderate Rehabilitation units only, except Homeownership and Project-based Vouchers):

The last date the unit passed a full housing quality standards (HQS) inspection. Enter the date in the mm/dd/yyyy format.

Is this date always the same as the last annual HQS inspection recorded in 5i?

No, this date may or may not be the same date as the last annual HQS Inspection, depending on whether or not the unit passed the HQS inspection.

5i. Date (mm/dd/yyyy) of last annual HQS inspection (All Voucher-Funded Assistance and Moderate Rehabilitation only, except Homeownership and Project-based Vouchers):

The last date a PHA inspector performed a full annual HQS inspection of the unit that the household occupies. Enter the date in the mm/dd/yyyy format.

Can this date be different from the date the unit last passed HQS inspection (line 5h)?

This date may be different from the date reported in 5h if the unit failed the last HQS inspection.

Example 1: The unit failed the initial full HQS inspection on 2/20/2001. When the unit was re-inspected on 3/15/2001, it passed. In this situation:
Line 5h = 3/15/2001
Line 5i = 2/20/2001

The date of the last annual HQS inspection (5i) is the date the inspector conducted a full inspection of the unit. When the inspector returns to re-inspect for the correction of a failed item, he/she is not re-inspecting the entire unit, thus not doing a full HQS inspection.

Example 2: The unit passed inspection on 3/15/2001. However, the unit failed the next full annual HQS inspection on 2/20/2002. In this situation:
Line 5h = 3/15/2001
Line 5i = 2/20/2002

5j. Year (yyyy) unit was built (All Voucher-Funded Assistance and Moderate Rehabiliation only):

Indicate the year that the unit was built. This date can be found on the request for tenancy approval form. If the owner does not know the exact year the unit was built, enter the owner's best estimate of the year the unit was built. Enter the year in the yyyy format.

5k. Structure Type (check only one) (All Voucher Funded Assistance and Moderate Rehabilitation only):

Indicate the building structure type.

- *Single family detached* includes building structures that house only one family under one roof.
- *Semi-detached* includes units in duplexes and two-family homes.
- *Low-rise* includes multifamily apartment buildings of five or more units and up to four stories. Also include five or six story buildings without an elevator as low-rise structures.
- *High-rise with elevator* includes buildings of five stories or more with elevators.
- *Rowhouse/townhouse* includes structures with three or more units side-by-side and under one roof.
- *Manufactured home* includes mobile homes.

Section 6: Assets

General Rules:

- Do not include assets for live-in aides or foster children or foster adults.
- Use a separate line for each family member and asset source.
- Report each asset source on lines 6a through 6e. Enter line information for each family member from *left to right*.

6a. Family member name / No.:

The name of each family member in the household that has assets and their Member number (line(s) 3a) that corresponds to the asset information reported.

6b. Type of asset:

List any asset that has a dollar value or provides a source of income to the person listed in column 6a.

What items are considered assets?

Assets include, but are not limited to:

- savings account,
- stocks,
- bonds,
- other forms of capital investment, and
- real property (land owned or bequeathed).

What items are not considered assets?

Assets do not include:

- Interests in Indian trust land
- Equity accounts in HUD homeownership programs
- Necessary items of personal property, such as furniture and automobiles
- Trust funds, in cases where the trust is not revocable by, or under the control of, any member of the family or household

6d. Cash value of asset:

The estimated, known or calculated dollar value of each asset listed. Cash value of an asset can be estimated by a formal assessment; or the actual dollar value may be known (for example, the amount of money in a savings account).

How do I determine an asset's value?

In order to calculate the dollar value of the listed asset, subtract the cost to sell the asset from the asset's value (i.e., the asset value minus the cost to sell it).

Do I include assets that have been sold?

Include the value of any business or family asset that an applicant or tenant disposes of, for less than fair market value (include a disposition in trust, but not a foreclosure or bankruptcy sale) during the 2 years that precede the effective date of action (line 2b).

6e. Anticipated income:

Total amount of income the family member expects to receive in the next 12-month period from the asset listed.

6f. Column total:

Total of the values listed in column 6d.

6g. Column total:

Total of the values listed in column 6e.

6h. Passbook rate (written as decimal):

Enter the passbook rate as a decimal.

What is a Passbook rate?

The Passbook rate is the interest rate used to determine the imputed (estimated) income of an asset(s) that would not otherwise be readily determinable. It usually falls between 2% (0.02) and 3% (0.03).

Example: After analyzing several banks in a project locality, HUD determined that the average rate of interest on local Passbook Savings Accounts is 3% (0.03). For a family member who listed her farm as an asset, the Passbook Rate should be applied to calculate the imputed (estimated) income that results over time from the use or sale of the farm.

How does HUD determine the Passbook rate?

The HUD field office determines the Passbook rate of interest for the project locality based on the average interest rate received on Passbook Savings Accounts at several banks in the local area.

6i. Imputed asset income: 6f x 6h (if 6f is $5,000 or less, put 0):

Imputed income from assets based on the total dollar value of the asset listed and the Passbook rate of interest.

How do I calculate imputed asset income?

Multiply the total cash value of the listed asset (line 6f) by the Passbook Rate of interest (line 6h). Use the imputed income on the total of all assets.

Example: A family lists its total assets as $5,500. To calculate the imputed income from this asset multiply $5,500 by 0.03 (assume 3% is the HUD-determined local Passbook Interest rate). This results in an imputed asset income of $165.

6j. Final asset income: larger of 6g or 6i:
The total amount of household income derived from assets. Indicate the larger amount of the total anticipated income from assets (column total 6g) or imputed asset income (line 6i).

Section 7: Income

General Rules:

- Do not include income for live-in aides or foster children or foster adults.
- Use a separate line for each family member and income source.
- Use the columns in section 7 to report each income source that contributes to the family's income. Enter line information for each family member from left to right.
- If the family members do not have any income from sources other than assets and do not expect any other income in the next 12-month period, leave the income section blank (except for total annual income (line 7i), which is the total of the asset income).
- Do not double count asset income as another income type in this section.
- Do not consider income exclusions in the determination of eligibility for housing assistance. Consider income deductions in the determination of eligibility for housing assistance.
- The Code of Federal Regulations (CFR) lists the income items to exclude as "income" for the various Public Housing and Section 8 housing programs. Please see 24 CFR 5.609(c) for further guidance.
- PHAs are required to report all sources of income and all sources of exclusion amounts.

7a. Family member name/No.:

The name and member number (line(s) 3a) of each family member in the household that corresponds to the income information reported.

7b. Income code:

Use the one or two letter code that represents the type of income for a family member. Please refer to the Income and Exclusions chart when completing Income code (line 7b) and Income exclusions (line 7e).

Income and Exclusions Chart			
Income code	**Description**	**Include**	**Income Exclusions**
		WAGES	
(B) Own business	Net income from a professional or business operation (24 CFR 5.609 (b)(2)).	· Withdrawals of cash or assets from the professional or business operation (24 CFR 5.609(b)(2)). · Expenditures for business expansion (24 CFR 5.609 (b)(2)). · Amortization of capital indebtedness as deductions in determining net income (24 CFR 5.609 (b)(2)).	· Withdrawals of cash or assets from the professional or business operation if the withdrawal is a reimbursement for cash or assets invested in the operation by the family (24 CFR 5.609(b)(2)). · Allowance for asset depreciation, based on straight line depreciation, as provided in Internal Revenue Service (IRS) regulations (24 CFR 5.609(b)(2)).
(F) Federal wage	Compensation received from federal government employment, which includes federal government agencies and instrumentalities.	· Wages from federal government employment	· Income from employment of children or foster children under 18 years old (24 CFR 5.609(c)(1)). · Earnings in excess of $480 for each full-time student 18 years old or older (excluding the head of household and spouse) (24 CFR 5.609(c)(11)).· · Earned income disallowance for public housing families (24 CFR 960.255(b)) and persons with disabilities in public housing, vouchers, , and other HUD assisted housing (24 CFR 5.617). · Amounts earned by temporary Census employees; terms of employment may not exceed 180 days for the purposes of the exclusion (Notice PIH 2000-1).
(HA) PHA wage	Compensation earned through work performed for the Public Housing Agency (PHA).	· Wages paid to family member from the PHA	· Income from employment of children or foster children under 18 years old (24 CFR 5.609(c)(1)). · Amounts received under a resident service stipend. A resident service stipend is a modest amount (not to exceed $200 per month) received by the resident for performing a service for the PHA or owner, on a part-time basis, that enhances the quality of life in the development. (24 CFR 5.609(c)(8)(iv)). · Stipends to reimburse residents for expenses for serving as members of the PHA governing board or commission (24 CFR 5.609(c)(8)(iv)). · Earnings in excess of $480 for each full-time student 18 years old or older (excluding the head of household and spouse) (24 CFR 5.609(c)(11)).· · Earned income disallowance for certain public housing families (24 CFR 960.255(b)) and persons with disabilities in Housing Choice Vouchers, and other HUD assisted housing (24 CFR 5.617).

Income and Exclusions Chart			
Income code	**Description**	**Include**	**Income Exclusions**
WAGES			
(M) Military Pay	All regular pay, special pay and allowances of a member of the Armed Forces (including the Coast Guard, National Guard, and Reserve units).	· The full amount of the head of household's or spouse's military pay, not just the amount sent home, regardless of whether the head of household or spouse or co-head is on the lease. · Subsistence allowances. · Uniform allowances. · Other allowances. *see 24 CFR 5.609(b)(8)*	· Income from employment of children or foster children under 18 years old (24 CFR 5.609(c)(1)). · The special pay to a family member serving in the Armed Forces who is exposed to hostile fire (24 CFR 5.609(c)(7)). · Earnings in excess of $480 for each full-time student 18 years old or older (excluding the head of household and spouse) (24 CFR 5.609(c)(11)).· · Earned income disallowance for public housing families (24 CFR 960.255(b)) and persons with disabilities in public housing, vouchers, and other HUD assisted housing (24 CFR 5.617). · The full amount of military pay of any family member other than the head and spouse. If other family members are away from home in the military, the PHA may remove their name from the lease and exclude their income. · Other pay specifically excluded by law (e.g., Desert storm active duty).

Income and Exclusions Chart			
Income code	**Description**	**Include**	**Income Exclusions**
WAGES			
(W) Other wage	Wages and salary received from private or public sources (other than military pay and federal wages). Also include income in lieu of earnings in this category.	· Overtime pay · Commissions · Fees · Tips · Bonuses · Other compensation for personal services · Workers' compensation · Severance pay · Termination pay (24 CFR 5.609(b)(1))	· Income from employment of children or foster children under 18 years old (24 CFR 5.609(c)(1)). · Income of a live-in aide, as defined in 24 CFR 5.403 (24 CFR 5.609(c)(5)). · Earnings and benefits from employment training programs funded by HUD (24 CFR 5.609(c)(8)(i)). · Reimbursement for out-of-pocket expenses while attending a public assisted training program (24 CFR 5.609(c)(8)(iii)). · Incremental earnings and benefits from participation in qualifying state and local employment programs (24 CFR 5.609(c)(8)(v)). · Earnings in excess of $480 for each full-time student 18 years old or older (excluding the head of household and spouse) (24 CFR 5.609(c)(11)). · Payments to volunteers under the Domestic Volunteer Services Act of 1973 (42 USC 5044(g), 5088, 24 CFR 5.609(c)(17)). · Payments received under programs funded in whole or in part under the Workforce Investment Act (WIA) of 1998 (formerly known as the Job Training Partnership Act (JTPA)) (29 USC 1552(b), 24 CFR 5.609(c)(17)). · Earnings and benefits to any family member from an employment training and supportive services program (Family Support Act of 1988, Section 22 of the 1937 Act (42 U.S.C. 1437t), or any comparable federal, state, or local law) during the exclusion period. The exclusion is applicable only if the family was admitted to the program prior to October 1, 1999 *(Public Housing only)*. · Earned income disallowance for public housing families (24 CFR 960.255(b)) and persons with disabilities in public housing, vouchers, and other HUD assisted housing (24 CFR 5.617).

Income and Exclusions Chart			
Income code	**Description**	**Include**	**Income Exclusions**
WELFARE			
(G) General assistance	Payments made under a financial or medical assistance program(s) provided by a state, tribe, or local government jurisdiction.	· Payments provided by a state, tribe or local government for medical or financial assistance	· Amounts paid by a State agency to a family with a member who has a developmental disability and is living at home to offset the cost of services and equipment needed to keep the developmentally disabled family member at home (24 CFR 5.609(c)(16)) · The value of food stamps provided to an eligible household under the Food Stamp Act of 1977 (7 USC 2017(h), 24 CFR 5.609(c)(17)). · Incremental earnings and benefits from participation in qualifying state and local employment training programs (24 CFR 5.609(c)(8)(v)).
(IW) Annual Imputed Welfare Income	The annual income not received by a family because of a welfare benefit reduction, but is included in the family's annual income for determining rent.	· The dollar amount by which the family's welfare benefits were reduced by a TANF agency because of fraud or noncompliance (24 CFR 5.615).	· The amount by which the family's welfare benefits were reduced, if the family was not an assisted resident at the time of sanction (24 CFR 5.615(c)(5)).
(T) TANF assistance	Temporary Assistance to Needy Families (TANF) is benefits designed to meet a family's ongoing basic needs. Not all states refer to this income as TANF. A state may have a different name (other than TANF) for this type of income. See 45 CFR 260.31 for additional information on TANF assistance and exclusions.	· TANF assistance funded from federal or state dollars. The term assistance includes cash, payments, vouchers, and other forms of benefits designed to meet a family's ongoing basic needs (i.e., for food, clothing, shelter, utilities, household goods, personal care items, and general incidental expenses) (24 CFR 5.609(b)(6)). · Payments to individ-ual recipients by a TANF agency, or other agency on its behalf. · Benefits based on participation in work experience or community service (or any other work activity in 45 CFR 261.30). · Supportive services such as transportation and child care provided to families who are *not* employed.	· Nonrecurrent, short-term benefits that**:** * Are designed to deal with a specific crisis situation or episode of need; * Are not intended to meet recurrent or ongoing needs; and * Will not extend beyond four months. · Work subsidies (i.e., payments to employers or third parties to help cover the costs of employee wages, benefits, supervision, and training). · Supportive services such as child care and transportation provided to families who are employed. · Refundable earned income tax credits. · Individual Development Accounts. · Services such as counseling, case management, peer support, child care information and referral, transitional services, job retention, job advancement, and other employment-related services that do not provide basic income support. · Transportation benefits provided under a Job Access or Reverse Commute project, pursuant to section 404(k) of the Social Security Act, to an individual who is not otherwise receiving assistance. (24 CFR 984.103)

INCOME AND EXCLUSIONS			
Income Code	**Description**	**Include**	**Income Exclusions**
SS/SSI/PENSIONS			
(P) Pension	A periodic distribution paid for retirement benefits.	· Pensions. · Annuities. · Retirement or profit-sharing plans. · Individual Retirement Accounts (IRAS). · Simplified Employee Pensions (SEPS). · Life insurance and endowment policies. 24 CFR 5.609(b)(4)	· Lump-sum benefits payable as a death benefit. (24 CFR 5.609(c)(3))
(S) SSI	The Supplemental Security Income (SSI) program provides cash assistance to family members who have limited income and resources, are 65 or older, blind, or disabled. Family members under 18 can also receive SSI if they have an impairment that prohibits an adult family member from working.	· Periodic amounts received from the SSI program. · State supplements to SSI (24 CFR 5.609(b)(4)).	· Deferred periodic amounts from SSI benefits that the family member received in a lump sum amount or in prospective monthly amounts (24 CFR 5.609(c)(14)). · Amounts received by a person with a disability that are disregarded for a limited time for purposes of SSI eligibility and benefits because they are set aside for use under a Plan to Attain Self-Sufficiency (PASS) (24 CFR 5.609(c)(8)(ii)).
(SS) Social Security	Benefits from the Social Security Administration.	· Child's benefits. · Disabled workers' benefits. · Disabled widow(er)'s benefits. · Divorced wife's insurance benefits. · A widow(er) entitled to mother's or father's insurance benefits. · Parent's, brother's, or sister's benefits. · Retirement insurance benefits. · Spouse's benefits. · Surviving divorced spouse's benefits. · Widow(er)'s benefits. · Spouse's benefits. · Comparable benefits under the Railroad Retirement Act. (24 CFR 5.609(b)(4))	· Deferred periodic amounts from Social Security benefits that the family member received in a lump sum amount or in prospective monthly amounts (24 CFR 5.609(c)(14)).

INCOME AND EXCLUSIONS			
Income Code	**Description**	**Include**	**Income Exclusions**
OTHER INCOME SOURCES			
(C) Child support	Financial or medical assistance that a parent provides voluntarily or by court order for upkeep and general well-being of his or her child(ren).	· Payments from a parent for child rearing · Regular contributions toward support from a public or private welfare agency (24 CFR 5.609(b)(7))	· Child care arranged or provided under the Child Care and Development Block Grant Act of 1990 (42 USC 9858(q), 24 CFR 5.609(c)(17)).
(E) Medical reimbursement	Any income received to reimburse medical expenses.		· Amounts received by the family that are specifically for, or in reimbursement of, the cost of medical expenses for any family member (24 CFR 5.609(c)(4)).
(I) Indian trust/per capita	Judgment funds awarded by the Indian Claims Commission, the Court of Claims, or funds held in trust for an Indian tribe by the Secretary of the Interior.	· Amounts over the first $2,000 of per capita shares received from judgment funds	· Payments received under the Alaska Native Claims Settlement Act (43 USC 1626(a), 24 CFR 5.609(c)(17)). · Income derived from certain submarginal land of the United States that is held in trust for certain Indian tribes (25 USC 459(e), 24 CFR 5.609(c)(17)). · Income derived from the disposition of funds of the Grand River Band of Ottawa Indians (Pub. L. 94-540, 90 State 2503-04, 24 CFR 5.609(c)(17)). · The first $2,000 of per capita shares from judgement funds awarded by Indian Claims Commission or the Court of Claims (25 USC 1407-08) or from funds held in trust for an Indian Tribe by the Secretary of Interior (25 USC 117(b), 1407) (24 CFR 5.609(c)(17)). · Payments received under the Maine Indian Claims Settlement Act of 1980 (Pub. L. 96-420, 94 Stat. 1785, 24 CFR 5.609(c)(17)). · Payments received by the Indian Claims Commission to the Confederate Tribes and Bands of the Yakima Indian Nation or the Apache Tribe of the Mescalero Reservation (66 Federal Register 4669, April 20, 2001). · The first $2,000 of income received by individual Indians derived from interests or trust or restricted land (66 Federal Register 4669, April 20, 2001).

INCOME AND EXCLUSIONS			
Income Code	**Description**	**Include**	**Income Exclusions**
OTHER INCOME SOURCES			
(N) Other non-wage sources	Any other income source not otherwise specified.		· Payments received for the care of foster children or foster adults (usually persons with disabilities, unrelated to the tenant family, who are unable to live alone) (24 CFR 5.609(c)(2)). · Lump-sum additions to family assets, such as inheritances, insurance payments (including payments under health and accident insurance and worker's compensation), capital gains and settlement for personal or property losses (24 CFR 5.609(c)(3)). · Full amount of student financial assistance paid directly to the student or to the educational institution (24 CFR 5.609(c)(6)). · Temporary, nonrecurring or sporadic income (including gifts) (24 CFR 5.609(c)(9)). · Reparation payments paid by a foreign government pursuant to claims filed under the laws of that government by persons who were persecuted during the Nazi era (24 CFR 5.609(c)(10). · Adoption assistance payments in excess of $480 per adopted child (24 CFR 5.609(c)(12)). · Refunds or rebates under state or local law for property taxes paid on dwelling unit (24 CFR 5.609(c)(15)). · Amounts specifically excluded by any other Federal statute from consideration as income for purposes of determining eligibility or benefits under a category of assistance programs that includes assistance under any program to which the exclusions set forth in 24 CFR 5.609(c) apply (24 CFR 5.609(c)(17).

INCOME AND EXCLUSIONS			
Income Code	**Description**	**Include**	**Income Exclusions**
OTHER INCOME SOURCES			
(N) Other non-wage sources (cont'd)			· Payments or allowances under DHHS' low-income home energy assistance program (LIHEAP) (42 USC 8624(f), 24 CFR 5.609(c)(17)). · Federal scholarsips funded under Title IV of The Higher Education Act of 1965, including awards under the Federal work study program or under the Bureau of Indian Affairs student assistance program (20 USC 1087(uu), 24 CFR 5.609(c)(17)). · Payments received from programs funded under Title V of the Older Americans Act of 1965 (42 USC 3056(f), 24 CFR 5.609(c)(17)). · Payments received on or after January 1, 1989 from the Agent Orange Settlement Fund or any fund established pursuant to the settlement in the Agent Orange product liability litigation (24 CFR 5.609(c)(17)). · Earned Income Tax Credit refund tax payments (26 U.S.C. 32(j), 24 CFR 5.609(c)(17)). · Any allowance paid under provisions of 38 U.S.C. 1805 to a child suffering from spina bidifa who is a child of a Vietnam Veteran (66 Federal Register 4669, April 20, 2001). · Any amount of crime victim compensation that the applicant (under the Victims Crime Act) receives through crime victim assistance (or payment or reimbursement of the cost of such assistance) as determined under the Victims Crime Act because of the commission of a crime against the applicant (66 Federal Register 4669, April 20, 2001).
(U) Unemployment benefits	Periodic payments in lieu of earnings.	· Payments in place of earnings, such as unemployment compensation (except as provided in paragraph 24 CFR 5.609(c)(3)). *see 24 CFR 5.609(b)(5)*	

7d. Dollars per year:
The yearly income amount the family member receives from the income source(s) listed.

Please refer to the Income and Exclusions chart, for guidance on:
- what income to include, and
- how to match income to the correct income code.

7e. Income exclusions:
Income excluded from annual income calculations. Amounts of money that are prohibited from being included in a family's income for rent determination purposes. Income exclusions are described in 24 CFR Subtitle F, § 5.609.

Please refer to the Income and Exclusions chart, given above, for guidance on:
- what income to exclude, and
- how to match exclusions to the correct income code.

7f. Income after exclusions (7d minus 7e):
The family's total annual income minus any exclusions. Deduct income exclusions (line 7e) from dollars per year (line 7d).

7g. Column Total:
The total of the dollar amounts listed in column 7f (Income after exclusions).

7h. Reserved:
Reserved for future HUD use. HUD may have future directions about how to use this line. It is a placeholder for possible future changes.

7i. Total annual income: 6j + 7g:
The family's total annual income. Add the final asset income (line 6j) and the total income after income exclusions (line 7g).

What amounts are included in total annual income?
Total annual income means all amounts, monetary or not, which:
- Go to, or are on behalf of, the family head or spouse (even if temporarily absent) or any other family member; or
- Are anticipated to be received from a source outside the family during the 12-month period following admission, interim reexamination, or annual reexamination effective date; and
- Are derived from assets (during the 12 month period) to which any family member has access; and
- Are not specifically excluded.

Section 8: Expected Income Per Year

8a. Total annual income: Copy from 7i:
The total annual family income.

Permissible Deductions (Public Housing only. If Vouchers or Moderate Rehabilitation, skip to 8f or 8q):

Complete if the family resides in public housing and the PHA has established a written policy for permissible deductions.

IMPORTANT: Permissible deductions replace current optional income exclusions for Public Housing participants. PHAs can adopt these deductions provided the amounts are not already deducted from annual income or reimbursed to the family from other sources.

8b. Family member name/No.:
Public Housing only. The name of each family member in the household, and their individual member number as indicated in line(s) 3a that corresponds to the income information reported.

8c. Type of permissible deduction:
Public Housing Only. The type of permissible deduction as determined by the PHA. This line is not transmitted to HUD.

8d. Amount:
Public Housing Only. The amount of the permissible deduction. This line is not transmitted to HUD.

8e. Total permissible deductions:
Public Housing Only. The total of the dollar amounts listed in column 8d (Amount).

What is the maximum amount allowable for total permissible deductions?
Total permissible deductions (column total 8e) must be less than $90,000 per year.

If the head of household and spouse or co-head are under age 62, and there are no family members (plus foster children) with a disability, skip to line 8q. Otherwise, enter all medical and disability expense information for the entire family (plus foster children) in lines 8f through 8p.

8f. Medical/disability threshold: 8a x 0.03:
Amount of unreimbursed medical and disability expenses that the family must pay before the PHA can deduct an allowance for such expenses from their income. Multiply 0.03 by total annual income (line 8a).

Example: The total annual income in line 8a for a family is $7,000, and the standard medical/disability percentage is 3%. The medical/disability threshold for the family will be: $7,000 x 0.03 = $210.

8g. Total annual unreimbursed disability assistance expense (if no disability expenses, skip to 8k):
The family's total annual unreimbursed disability expenses.

What are disability assistance expenses?
Disability assistance expenses are reasonable expenses that are anticipated, during the period for which annual income is computed, for attendant care and auxiliary apparatus for a disabled family member and that are necessary to enable a family member (including the disabled member) to be employed, provided that the expenses are neither paid to a member of the family nor reimbursed by an outside source.

If all family members indicated no disability in line 3j or if the family has no disability expenses, skip to line 8k.

8h. Maximum disability allowance: If 8g minus 8f is positive or zero, put amount:
The amount the PHA may potentially deduct for the family's disability expenses. Subtract the medical/ disability threshold (line 8f) from the total annual unreimbursed disability assistance expenses (line 8g). If the calculation results in a positive number or zero, enter the amount.

If negative and head/spouse/co-head is under 62 and not disabled, put 0:
If the calculation results in a negative number and head/spouse/co-head are under 62 and not disabled, enter zero.

If negative and head/spouse/co-head is elderly or disabled, copy from 8g:
If calculation results in a negative number and head/spouse/co-head are elderly or disabled, enter total annual unreimbursed disability assistance expense (line 8g).

8i. Earnings in 7d made possible by disability assistance expense:
Of a family's dollars per year (line 7d), determine the earned amount made possible by the unreimbursed disability expenses the family incurs. This amount may not exceed the total family income after exclusions (column total 7g).

Example: The head of household spends $1,000 to overhaul his van to accommodate his wheelchair. The van allows the head of household to travel to his job, where he earns $10,000. The unreimbursed disability assistance expense makes possible the $10,000 of earnings.

8j. Allowable disability assistance expense: lower of 8h or 8i (if 8g is less than 8f and head/spouse/co-head elderly or disabled, copy from 8h):
The total disability assistance expense amount the family may deduct. Enter the lower of the maximum disability allowance (line 8h) or the earnings made possible by disability assistance expense (line 8i). If the total annual unreimbursed disability assistance expense (line 8g) is less than the medical/disability threshold (line 8f) and the Head, spouse or co-head is elderly (age 62 or over) or disabled, copy the amount from the maximum disability allowance (line 8h).

8k. Total annual unreimbursed medical expenses (if head/spouse/co-head under 62 and not disabled, put 0):
The total amount of the family's medical expenses that another source does not reimburse (e.g., co-payments for medical insurance). If the head, spouse or co-head are under age 62 and not disabled, enter 0 (zero).

8m. Total annual disability assistance and medical expense: 8j + 8k (if no disability expenses, copy from 8k):
The amount of the family's total disability assistance (line 8j) and medical expenses (line 8k). If the family has no disability assistance expenses, enter total annual unreimbursed medical expenses (line 8k).

8n. Medical/disability assistance allowance:
The amount of the family's allowance for medical expenses and disability assistance expenses.

If no disability assistance expenses or if 8g is less than 8f, put 8m minus 8f (if 8m minus 8f is negative, put 0):
If the family has no disability expenses or if total annual unreimbursed disability assistance expense (line 8g) is less than the medical/disability threshold (line 8f), calculate medical/disability assistance allowance (line 8n) as total annual disability assistance/medical expense (line 8m) minus the medical/disability threshold (line 8f). If total annual disability assistance/medical expense (line 8m) minus the medical/disability threshold (line 8f) is negative, enter 0 (zero).

If disability assistance expenses and 8g is greater than or equal to 8f, copy from 8m:
If the family has disability expenses and the total annual unreimbursed disability assistance expense (line 8g) is greater than or equal to the medical/disability threshold (line 8f), enter the total annual disability assistance/medical expenses (line 8m).

8p. Elderly/disability allowance (default = $400):
The family's standard allowance amount if the head of household, spouse or co-head is elderly (age 62 or over), or disabled. The current allowance is $400.

Does the elderly/disability allowance double if both head and spouse or co-head are elderly or disabled?
No, if both the head of household and spouse or co-head are elderly or disabled, the allowance is not doubled. It is still $400, not $800.

8q. Number of dependents (people under 18, or with disability, or full-time student. Do not count head of household, spouse, co-head, foster child/adult or live-in aide):
The total number of dependents who live in the household and are under 18 years of age, have a disability, or are full-time students of any age. Include dependents who are temporarily absent from the home but listed on the lease (i.e., family members).

What household members qualify as dependents?
Include all members of the household with the following relation code (line 3h)

- other youth under 18 (Y),
- full time student 18+ (E), or
- other adult (A) (if disabled).

What household members do not qualify as dependents?
Do not include the head of household (H), spouse (S) or co-head (K), foster children or adults (F), live-in aides (L), and other adults (A) who are not disabled.

8r. Allowance per dependent (default = $480):
Enter the standard allowance amount for each dependent in the household. The current allowance per dependent is $480.

8s. Dependent allowance: 8q x 8r:
The amount of the family's dependent allowance. Multiply the number of dependents (line 8q) in the household by the standard allowance per dependent (line 8r).

8t. Total annual unreimbursed childcare costs:
The household's total yearly unreimbursed childcare expenses. This is the estimated amount a family expects to pay for childcare during the annual income period. The amount deducted may not exceed the amount of income that the employment generates. The amount deducted must also not exceed reasonable childcare charges.

What childcare expenses should I include under annual unreimbursed childcare costs?

- Only include childcare expense for children under the age of 13.
- Only include child care expenses that are necessary for a family member to be gainfully employed or to further his or her education.

8x. Total allowances: 8e + 8n + 8p + 8s + 8t:
The total amount of all of the family's allowances. Enter the sum of total permissible deductions (line 8e), medical/disability assistance allowance (line 8n), elderly/disability allowance (line 8p), dependent allowance (line 8s), and total annual unreimbursed childcare costs (line 8t).

8y. Adjusted annual income: 8a minus 8x (if 8x is larger, put 0):
The family's adjusted annual income. Subtract total allowances (line 8x) from total annual income (line 8a). If total allowances (line 8x) are larger than or equal to total annual income (line 8a), enter 0 (zero).

Section 9: Total Tenant Payment (TTP)

What is the total tenant payment?

Total tenant payment (line 9j) is the highest of the following amounts, rounded to the nearest dollar:

- 10 percent of the family's monthly income (line 9c);
- Program-specified percent of the family's adjusted monthly income (line 9f);
- A portion of the family's welfare assistance, specifically designated for the family's housing costs, determined by a public welfare agency (line 9g);
- The minimum rent of the unit (line 9h); or
- Enhanced Voucher minimum rent (line 9i).

9a. Total monthly income: 8a ÷ 12:

Divide total annual income (line 8a) by 12 to get total monthly income.

Example: If the annual income in line 8a is $12,000, the calculation reads: $12,000 ÷12 = $1,000.

9c. TTP if based on annual income: 9a x 0.10:

Multiply total monthly income (line 9a) by 0.10.

Example: If the family has a total monthly income of $750 as indicated in line 9a, the calculation reads: $750 x 0.10 = $75.

9d. Adjusted monthly income: 8y ÷ 12:

Divide adjusted annual income (line 8y) by 12.

Example: If the family has an adjusted annual income of $2400 as indicated in line 8y, the calculation reads: $2400 ÷12 = $200.

9e. Percentage of adjusted monthly income: Use 30% for Vouchers or Moderate Rehabilitation :

Percentage of adjusted monthly income used to determine TTP. The maximum percentage for this calculation is 30%. Use 30% for tenants that participate in a voucher or moderate rehabilitation program.

What do I enter for families in Public Housing?

Enter a number up to 0.30 for families in Public Housing.

9f. TTP if based on adjusted annual income: (9d X 9e) ÷ 100:

Multiply the adjusted monthly income (line 9d) by percentage of adjusted monthly income (line 9e) and divide by 100.

Example: If the family has an adjusted monthly income of $673, as indicated in line 9d, and is in a voucher or moderate rehabilitation program, the calculation reads: ($673 x 30) ÷ 100 = $202.

9g. Welfare rent per month (if none put 0):

If the family receives welfare assistance, include the amount that the welfare assistance agency specifically designates for shelter and utilities. The welfare assistance agency may adjust this amount in accordance with the actual cost of shelter and utilities. If the family does not receive welfare rent, enter 0 (zero).

9h. Minimum rent (if waived, put 0):

The PHA-established minimum rent amount per month. The PHA may require the tenant to pay a minimum rent amount up to $50.

In case of financial hardship, how do I enter minimum rent?

Enter zero for a family that has requested a financial hardship exemption and for whom the PHA has suspended the minimum rent. If the PHA then does not grant the family a hardship exemption because it determines the hardship is only temporary, submit an interim reexamination with the reinstated minimum rent.

9i. Enhanced Voucher minimum rent:

Enhanced Vouchers only. Enter the monthly rent that the family was paying on the date of the eligibility event for the project. Families assisted with Enhanced Voucher assistance have a special statutory minimum rent requirement. The law requires that a family receiving Enhanced Voucher assistance must pay a rent amount that is no less than the rent that the family was paying on the date of the "eligibility event" for the project in question.

What is the date of the eligibility event?

In the case of an owner opt-out, the date of the eligibility event is the expiration date of an expiring project-based contract. For preservation prepayments, the date of the eligibility event is the

effective date of the prepayment of the mortgage, or voluntary termination of the mortgage insurance.

How do I calculate Enhanced Voucher minimum rent if the family income changes?
The method for calculating the Enhanced Voucher minimum rent changes if the family's income subsequently decreases significantly (15 percent or more) from the family's gross income on the effective date of the prepayment. Guidance on recalculating minimum rent in cases where a family's income significantly decreases is discussed in detail in Notice PIH 2000-9.

9j. TTP, highest of lines 9c, 9f, 9g, 9h or 9i:

The total tenant payment (TTP). Indicate the highest of the amounts listed in lines 9c, 9f, 9g, 9h, or 9i. (see 24 CFR 5.628)

9k. Most recent TTP:

The most recent total tenant payment (TTP) amount for the family. This amount is only available if the family previously lived in subsidized housing.

9m. Qualify for minimum rent hardship exemption? (Y or N):

Under PHRA, a family does not have to pay the PHA-established minimum rent if it qualifies for a financial hardship exemption. (See 24 CFR 5.630(b)).

After the family requests a financial hardship exemption, the PHA must promptly determine whether the family is unable to pay the minimum rent because of financial hardship as described in the PHA's written policie

Section 10: Public Housing and Turnkey III

General Rules:

- Complete if the family's program type is Public Housing (line 1c=P) and family participates in Public Housing and/or Turnkey III and the type of action is New Admission (2a=1), Annual Reexamination (2a=2), Interim Reexamination (2a=3), or Other Change of Unit (2a=7).
- Do not complete for ineligible police officers or over-income families who reside in Public Housing.

10a. TTP: Copy from 9j:

The total tenant payment (TTP). This is the amount per month the PHA may require the family to pay the unit owner unless the family pays a flat or ceiling rent.

10b. Unit's flat rent (see Appendix III for Mixed Family Flat Rent calculation):

Indicate the flat rent dollar amount. Flat rent is set by the unit size and building type. If a PHA uses the ceiling rent amount for flat rent, input the ceiling rent amount in this line.

How do I calculate flat rent for a mixed family?

See Appendix III for the Mixed Family Flat Rent calculation to compute the mixed family flat rent to enter in line 10b. Use Appendix III when one or more family members are ineligible noncitizens (3i=IN). Enter the amount from line 7 in the appendix in line 10b as the mixed family's flat rent amount.

Income Based Rent Calculation

Complete line 10c - 10f if the family receives full rental subsidy.

10c. Ceiling rent, if any:

The highest rent amount the PHA will require a family to pay for a particular unit size. The PHA determines the ceiling rent, which is similar to the Fair Market Rent (FMR). If no ceiling rent, enter 0 (zero).

10d. Lower of TTP or ceiling rent (if no ceiling rent, put 10a):

Indicate the lesser amount of either the TTP (line 10a) or ceiling rent (line 10c). If ceiling rent is 0 (zero) or there is no ceiling rent, enter the TTP indicated in line 10a.

10e. Utility allowance, if any:

If the rental payment does not include all utilities, indicate the monthly allowance amount for tenant supplied utilities that apply to the unit. If there is no utility allowance, enter 0 (zero).

10f. Tenant rent: 10d minus 10e:

The rent amount the family pays to the PHA after deducting the utility allowance (line 10e) from the lower rent (line 10d); or the total credit amount the family receives to pay utilities.

What does it mean when tenant rent is positive?

If the lower of TTP or ceiling rent (line 10d) minus the utility allowance (line 10e) results in a positive number or 0 (zero), this line reflects the tenant's rent to the PHA.

Example: The utility allowance amount in line 10e is $100 per month, and the lower rent in line 10d is $450. The calculation reads**:** $450 - $100 = $350. The tenant pays $350 to the PHA.

What does it mean when tenant rent is negative?

If the result is a negative number, this line reflects a credit to the tenant, commonly referred to as the utility reimbursement.

Example: The utility allowance in line 10e is $100, and the lower rent in line 10d is $75. The calculation reads**:** $75 - $100 = -$25. The tenant receives a $25 credit (i.e., utility reimbursement).

Income Based Prorated Rent Calculation

Complete lines 10h – 10s if the family receives a prorated rental subsidy (i.e., one or more family members indicated ineligible noncitizen (IN) in line 3i).

10h. Public Housing maximum rent:

Indicate the maximum rent that the PHA (owner) can charge for the unit. The Public Housing maximum rent (line 10h) is between $5 and $3,000 per year.

How do I calculate maximum rent?
To calculate the maximum rent for a unit, list the TTPs paid by all tenants that live in a unit of the same size in the PHA's jurisdiction from largest to smallest, and then take the TTP that falls at the 95th percentile. Do not take the average of all TTPs and then compute 95 percent of that average. *Example:* If you have 100 TTPs and list them from highest to lowest, the maximum rent is equal to the 95th highest rent, regardless of the TTP amount.

10i. Family maximum subsidy: 10h minus 10a:
The maximum amount of rent subsidy available to the family. Subtract total tenant payment (TTP) (line 10a) from the Public Housing maximum rent (line 10h).

10j. Total number eligible:
Total number of family members eligible for rent subsidy based on the Noncitizens Rule. Family members do not include live-in aides or foster children or adults. Eligible family members have citizenship codes in line 3i of:
EC = Eligible citizen
EN = Eligible noncitizen
PV = Pending verification

10k. Total number in family:
Total number of family members in the household. Include all family members, including ineligible noncitizen family members (3i=IN). Do not include live-in aides or foster children/adults.

10n. Eligible subsidy: (10i ÷ 10k) X 10j:
The total amount of rent subsidy for which the family is eligible. Divide the family maximum subsidy (line 10i) by the total number in family (line 10k) and multiply the result by the total number of eligible family members (line 10j).

Example: The family maximum subsidy (line 10i) is $500 and the family consists of 4 members (line 10k) of which 3 members are eligible for rent subsidy (line 10j). The calculation reads ($500 ÷ 4) X 3 = $375. The family's eligible subsidy is $375.

10p. Mixed family TTP: 10h minus 10n:
Indicate the mixed family total tenant payment (TTP) for the unit based on the proration calculation. The mixed family TTP is the Public Housing maximum rent (line 10h) minus eligible subsidy (line 10n).

10r. Utility allowance, if any:
If the payment does not include all utilities, indicate the monthly allowance amount for tenant supplied utilities that apply to the family occupied unit.

What do I enter if there is no utility allowance?
If there is no utility allowance, enter 0 (zero).

10s. Mixed family tenant rent: 10p minus 10r:
The rent amount the family pays to the PHA after deducting the utility allowance (line 10r) from the mixed family total tenant payment (TTP) (line 10p); or the total credit amount the family receives to pay for utilities.

What does it mean when the mixed family tenant rent is positive?
If mixed family total tenant payment (line 10p) minus the utility allowance (line 10r) results in a positive number or 0 (zero), this line reflects the tenant's rent to the PHA.

Example: The utility allowance amount in line 10r is $100 per month, and the mixed family total tenant payment in line 10p is $450. The calculation reads**:** $450 - $100 = $350. The tenant pays $350 to the PHA.

What does it mean when the mixed family tenant rent is negative?
If the result is a negative number, this line reflects the credit to the tenant, commonly referred to as a utility reimbursement.

Example: The utility allowance in line 10r is $100, and the mixed family total tenant payment in line 10p is $75. The calculation reads**:** $75 - $100 = -$25. The tenant receives a $25 credit (i.e., utility reimbursement).

Type of Rent

10u. Type of rent selected:
Indicate whether the tenant selected an income based rent or a flat rent.

- Income based - Check this box if the family selected income based rent.
- Flat - Check this box if the family selected flat rent

Section 11: Project Based Certificates and Vouchers

General Rules:

- Complete for families that receive project based assistance, where the PHA has an agreement with the project owner to subsidize the owner's project.
- Complete if the family's program type is Certificates (1c=CE) for Project-based Certificates or if the family's program type is Vouchers (1c=VO) for Project-based Vouchers.
- Complete if the type of action is New Admission (2a=1), Annual Reexamination (2a=2), Interim Reexamination (2a=3), or Other Change of Unit (2a=7).

11b. Is family now moving to this unit? (Y or N):

Indicate Y (Yes) if the family is moving into the unit in connection with the reported action. If the family leases in-place or if the family will remain in the same unit at the time of re-examination, enter N.

11d. Did family move into your PHA jurisdiction under portability? (Y or N) (if no, skip to 11g):

Indicate whether or not the household will move or has moved into the PHA's jurisdiction under portability. If you answer yes to this question, continue to answer yes for this family as long as the family resides in your PHA jurisdiction.

11e. Cost billed per month (put 0 if absorbed):

PHA should always put a 0 in this field. PHA cannot bill another PHA for payments under a project-based HAP contract.

11f. PHA code billed:

PHA should leave this line blank.

11g. Housing type:

Check the housing type that applies to the family's housing unit, if applicable.

- *Group home (prorate gross rent):* A state-approved group home where 2 to 12 elderly or disabled individuals live in a single unit.
- *SRO: 1 room occupied by 1 person:* A single room unit, usually without food preparation or sanitary facilities, occupied by only 1 person.

11h. Owner name:

The unit owner's legal name.

11i. Owner TIN/SSN:

Tax identification number (TIN) or Social Security Number (SSN) of the legal unit owner.

11k. Contract rent to owner:

Total monthly rent amount paid to the unit owner under the lease.

11m. Utility allowance, if any:

If the rental payment does not include all utilities, indicate the monthly allowance amount for tenant supplied utilities that apply to the family occupied unit.

What do I enter when there is no utility allowance?

If there is no utility allowance, enter 0 (zero).

How do I prorate the utility allowance for a group home?

If an elderly person or a person with disabilities resides in a group home, enter only the family's prorated portion of the unit's utility allowance. To derive the family's prorated portion, divide the number of persons in the assisted household (typically one, unless there is a live-in aide) by the total number of occupants (assisted and unassisted) who reside in the group home.

11n. Gross rent of unit: 11k + 11m:

The unit's total monthly rent amount. Add the contract rent to owner (line 11k) to the utility allowance (line 11m).

11q. TTP: Copy from 9j:

The total tenant payment (TTP). Copy from line 9j.

Rent Calculation (if prorated assistance (line 3u=p), skip to 11aa)

Complete if family receives full subsidy.

11r. Total HAP: 11n minus 11q. If 11q is larger, put 0:

Total housing assistance payment (HAP) equals the gross rent of unit (line 11n) minus total tenant payment (TTP) (line 11q).

11s. Tenant rent: 11k minus 11r:
The rent amount the family pays to the owner is the contract rent to owner (line 11k) minus the total HAP (line 11r); or the credit amount the family receives to pay for utilities.

***What if the tenant rent is positive or zero*?**
If the contract rent to owner (line 11k) minus the total HAP (line 11r) results in a positive number or 0 (zero), this line reflects the rent amount that the tenant pays to the owner.

Example: The total HAP amount in line 11r is $100 per month, and the contract rent to owner in line 11k is $450. The calculation reads**:** $450 - $100 = $350. The tenant pays $350 to the owner.

***What if the tenant rent is negative*?**
If the result is a negative number, this line reflects the credit to the tenant, commonly referred to as a utility reimbursement.

Example: The total HAP in line 11r is $475, and the contract rent to owner in line 11k is $450. The calculation reads**:** $450- $475 = -$25. The tenant receives a $25 credit (i.e., utility reimbursement).

11t. HAP to owner: lower of 11k or 11r:
The amount of the housing assistance payment to the unit owner. Indicate the lower of the contract rent to owner (line 11k) or the total HAP (line 11r).

Prorated Rent Calculation

Complete if one or more family members indicated ineligible noncitizen (IN) in line(s) 3i.

11aa. Normal total HAP: 11n minus 11q:
Amount of the normal total housing assistance payment. Subtract total tenant payment (TTP) (line 11q) from gross rent (line 11n).

11ae. Total number eligible:
Total number of family members eligible for rent subsidy based on the Noncitizens Rule. Family members do not include live-in aides or foster children and foster adults. Eligible family members have citizenship codes in line 3i of:
EC = Eligible citizen
EN = Eligible noncitizen
PV = Pending verification

11af. Total number in family:
Total number of family members in household. Do not include live-in aides or foster children and foster adults. Include ineligible noncitizen family members as part of the total number in the family.

11ag. Proration percentage: 11ae ÷ 11af:
Percentage of family eligible for rent subsidy. Divide total number eligible (line 11ae) by total number in family (line 11af). A family with ineligible family members is only eligible for a percentage of the rent subsidy. Use the proration percentage to determine the family's total prorated rent subsidy.

Example: There are 4 family members eligible for housing assistance (line 11ae), and 5 total family members (line 11af; 1 is ineligible for rent subsidy). The calculation reads**:** 4 ÷ 5 = 0.8 (or 80%).

11ah. Prorated total HAP: 11aa x 11ag:
Total prorated housing assistance payment (HAP). Multiply normal total HAP (line 11aa) by the proration percentage (line 11ag).

11ai. Mixed family TTP: 11n minus 11ah:
Total tenant payment (TTP) for the unit based on the proration calculation. Gross rent of unit (line 11n) minus the prorated total housing assistance payment (HAP) (line 11ah).

Example: If the gross rent (line 11n) is $450, and the prorated total HAP (line 11ah) is $200, the mixed family TTP is $450 - $200 = $250. This is the amount the PHA may require the mixed family to pay.

11aj. Utility allowance: Copy from 11m:
Monthly allowance amount for tenant supplied utilities if the rent does not include all utilities. Copy from line 11m.

What if there is no utility allowance?
If there is no utility allowance, enter 0 (zero).

What do I enter for a person in a group home?
If an elderly or disabled person lives in a group home, enter only the individual's prorated portion of the unit's utility allowance. To determine an individual's prorated portion, divide the number of persons in the assisted household (typically one unless there is a live-in aide) by the total number of occupants (assisted and unassisted) who live in the

group home.

11ak. Mixed family tenant rent: 11ai minus 11aj:

The rent amount the family pays to the owner after deducting the utility allowance (line 11aj) from the mixed family total tenant payment (TTP) (line 11ai); or the total credit amount the family receives to pay utilities.

What does it mean when the mixed family tenant rent is positive?

If the mixed family total tenant payment (line 11ai) minus the utility allowance (line 11aj) results in a positive number or 0 (zero), this line reflects the tenant's rent to the owner.

Example: The utility allowance amount in line 11aj is $100 per month, and the mixed family TTP in line 11ai is $450. The calculation reads**:** $450 - $100 = $350. The tenant pays $350 to the owner.

What does it mean when the mixed family tenant rent is negative?

If the result is a negative number, this line reflects the credit to the tenant, commonly referred to as a utility reimbursement.

Example: The utility allowance in line 11aj is $100, and the mixed family TTP in line 11ai is $75. The calculation reads**:** $75 - $100 = -$25. The tenant receives a $25 credit (i.e., utility reimbursement).

11an. Prorated HAP to owner: 11k minus 11ak (if 11ak is negative, put 11k):

The prorated housing assistance payment (HAP) to the unit owner. Subtract the mixed family tenant rent (line 11ak) from the contract rent to owner (line 11k). If the mixed family tenant rent in line 11ak is negative, enter the contract rent to owner (line 11k).

Section 12: Housing Choice Vouchers: Tenant Based Vouchers

General Rules:

- Complete if program type is tenant-based Voucher (1c=VO) and type of action is New Admission (2a=1), Annual Reexamination (2a=2), Interim Reexamination (2a=3), Portability Move-in (2a=4), Other Change of Unit (2a=7).

12a. Number of bedrooms on voucher:

The unit size (number of bedrooms) listed on the voucher issued to the family. This may be different than the number of bedrooms listed in line 5d (Number of bedrooms in the unit). Enter 0 (zero) for an efficiency or Single Room Occupancy (SRO) unit.

12b. Is family now moving to this unit? (Y or N):

Indicate if the family is moving into the unit in connection with the reported action. If the family leases in-place or if the family is remaining in the same unit at the time of re-examination, enter N.

12c. Does the family qualify as a Hard to House family? (Y or N):

Indicate whether or not the family qualifies as Hard to House.

- Y = Yes: the family has three or more minors or has a disabled member and is moving to a different unit
- N = No: the family does not have three or more minors, does not have a disabled member, or is not moving

Who qualifies as a Hard to House family?

A family qualifies as Hard to House if there are three or more minors or if there is a disabled family member and the family is moving to a different unit.

Who does not qualify as a Hard to House family?

A family with three or more minors or with a disabled member that is not moving to a different unit does not qualify as a Hard to House family. A family who owns a manufactured home (e.g. mobile home) and leases the space or pad does not qualify as hard to house.

12d. Did family move into your PHA jurisdiction under portability? (Y or N) (If no, skip to 12g):

Indicate whether or not the household has moved into the PHA's jurisdiction under portability. If you answer yes to this question, continue to answer yes for this family as long as the family resides in your PHA jurisdiction.

What do I enter if my PHA absorbed the family?

If a portability move-in occurred, indicate Y (Yes) regardless of whether the receiving PHA bills the initial PHA or absorbs the family into its own program.

12e. Cost billed per month (put 0 if absorbed):

Under portability, the monthly amount billed to the initial PHA for the family's housing assistance payment (HAP) amount, on-going administrative fee, and any utility reimbursement to the family.

What do I enter if my PHA absorbed the family?

Enter 0 if the family was absorbed by the receiving PHA.

12f. PHA code billed:

The initial PHA's 2-letter state code and 3-digit identification number. Leave blank if the receiving PHA absorbs the family.

How do I find the initial PHA's identification number?

For help obtaining the initial PHA's identification number, contact the appropriate HUD field office, the HA Profiles Web Site within PIC or the PIC Help Hotline at 1-800-366-6827 or pichelp@hud.gov.

12g. Housing type:

Check the housing type that applies to the family's housing unit.

- *Group home (prorate gross rent):* A state-approved group home where 2 to 12 elderly or disabled individuals reside in a single unit.
- *Own manufactured home, lease space:* A family who occupies a manufactured home (e.g. mobile home) as its principle place of residence and leases, but does not own, the home space or pad.
- *SRO: 1 room occupied by 1 person:* A single room unit, usually without food preparation or sanitary facilities, occupied by only 1 person.

12h. Owner name:

The unit owner's legal name.

12i. Owner TIN/SSN:

Tax identification number (TIN) or Social Security Number (SSN) of the legal unit owner.

12j. Payment standard for family:
Enter the payment standard for the family. See 982.505(c).

What do I enter for Enhanced Vouchers?
For a family who stays at the multifamily project and who does not qualify for a smaller family unit size based on the PHA's subsidy standards, the payment standard is the gross rent of the family's unit.

What do I enter when the family has an Enhanced Voucher and is overhoused?
If the family qualifies for a smaller family unit size than the unit it occupies at the multifamily project, and if the family did not locate an eligible unit elsewhere during the voucher term despite a good faith effort, enter the gross rent of the oversized unit at the time of the family's admission to the voucher program. The HAP contract for an oversized unit automatically terminates after one year and then the family must follow normal program rules.

What do I enter for shared housing?
If the family shares the unit with another family, enter the lower of the payment standard for the family unit size or the family's prorated portion of the payment standard for the shared housing unit size. To get the family's prorated portion, divide the number of bedrooms in the family's private space by the total number of bedrooms in the shared housing.

What do I enter for a group home?
If an elderly person or a person with disabilities resides in group home, enter the lower of the payment standard for the family unit size or the family's prorated portion of the payment standard for the group home size. To derive the family's prorated portion, divide the number of persons in the assisted household (usually one, unless there is a live-in aide) by the total number of occupants (assisted and unassisted) who reside in the group home.

12k. Rent to owner:
Total monthly rent payable to the unit owner under the lease for the unit. For rental of a manufactured home space, enter the rent to owner for the space including any owner maintenance or management charges for the space. In a section 236, 221(d)(3)BMIR, 202, or 515 project, the rent to owner is the subsidized rent as determined in accordance with the requirements for those programs.

12m. Utility allowance, if any:
If the rent does not include all utilities, indicate the monthly allowance amount for tenant supplied utilities that apply to the family occupied unit.

What do I enter if there is no utility allowance?
If there is no utility allowance, enter 0 (zero).

How do I prorate the utility allowance for shared housing?
If the family shares the unit with another family, enter only the family's prorated portion of the unit's utility allowance. To derive the family's prorated portion, divide the number of bedrooms in the family's private space by the total number of bedrooms in the shared housing unit.

How do I prorate the utility allowance for a group home?
If an elderly person or a person with disabilities resides in a group home, enter only the family's prorated portion of the unit's utility allowance. To derive the family's prorated portion, divide the number of persons in the assisted household (typically one, unless there is a live-in aide) by the total number of occupants (assisted and unassisted) who reside in the group home.

12p. Gross rent of unit: 12k + 12m (or Space Rent):
Gross rent of unit or space rent. Add rent to owner (line 12k) to the utility allowance (line 12m).

12q. Lower of 12j or 12p:
Lower of Voucher payment standard for family (line 12j) or gross rent of unit (line 12p).

12r. TTP (copy from 9j):
Total tenant payment (TTP). Copy from 9j.

12s. Total HAP: 12q minus 12r:
Total housing assistance payment (HAP). Subtract total tenant payment (TTP) (line 12r) from line 12q. If the TTP (line 12r) is larger, enter 0 (zero).

Rent Calculation (If prorated assistance, skip to 12ab)

Complete if family receives full subsidy.

12t. Total family share: 12p minus 12s:
Amount the family contributes toward rent and utilities. Subtract total housing assistance payment (HAP) (line 12s) from gross rent of unit (line 12p). If

the total HAP (line 12s) is larger than the gross rent (line 12p), enter 0 (zero).

12u. HAP to owner: lower of 12k or 12s:
The amount of the housing assistance payment (HAP) to the unit owner. Indicate the lower of the rent to owner (line 12k) or total HAP (line 12s).

12v. Tenant rent to owner: 12k minus 12u:
Rent amount the family pays to the owner after deducting the housing assistance payment (HAP) to owner (line 12u) from the rent to owner (line 12k).

12w. Utility reimbursement to the family: 12s minus 12u, but do not exceed 12m:
The utility reimbursement to the family from the PHA. Subtract housing assistance payment (HAP) to owner (line 12u) from total HAP (line 12s), but do not exceed the utility allowance (line 12m).

Prorated Rent Calculation

Complete if one or more family members indicated ineligible noncitizen (IN) in line(s) 3i.

12ab. Normal total HAP: copy from 12s, but do not exceed 12p:
The amount of the normal total housing assistance payment (HAP). Copy from 12s, but do not exceed the amount in 12p (gross rent).

12ac. Total number eligible:
Total number of family members eligible for rent subsidy based on the Noncitizens Rule. Family members do not include live-in aides or foster children and foster adults. Eligible family members have citizenship codes in line 3i of:

EC = Eligible citizen
EN = Eligible noncitizen
PV = Pending verification

12ad. Total number in family:
Total number of family members in household. Include all family members, including ineligible noncitizen family members (3i=IN). Do not include live-in aides or foster children or foster adults.

12ae. Proration percentage: 12ac ÷ 12ad:
The percentage of the family eligible for rent subsidy. A family with ineligible family members is only eligible for a percentage of the rent subsidy. Use the proration percentage to determine the family's total prorated rent subsidy. Divide the total number eligible (line 12ac) by the total number in family (line 12ad).

Example: There are 4 family members eligible for housing assistance (line 12ac), and 5 total family members (line 12ad; 1 is ineligible for rent subsidy), the calculation reads**:** 4 ÷ 5 = 0.8 (or 80%).

12af. Prorated total HAP: 12ab x 12ae:
The prorated housing assistance payment. Multiply the normal total HAP (line 12ab) by the proration percentage calculated in line 12ae.

12ag. Mixed family total family contribution: 12p minus 12af:
Indicate the mixed family total family contribution based on the proration calculation. Take the gross rent of unit (line 12p) minus prorated total housing assistance payment (HAP) (line 12af).

Example: If the gross rent (line 12p) is $450, and the prorated total HAP is $200 (line 12af), the mixed family total family contribution is**:** $450 - $200 = $250. This is the total amount the mixed family must pay toward rent and utilities.

What if the mixed family contribution is negative?
If negative, put 0 (zero)

12ah. Utility allowance: copy from 12m:
If the payment does not include all utilities, indicate the monthly allowance amount for tenant supplied utilities that applies to the family occupied unit.

What do I enter if there is no utility allowance?
If there is no utility allowance, enter 0 (zero).

What do I enter for shared housing?
If the family shares the unit with another family, enter only the family's prorated portion of the unit's utility allowance. To derive the family's prorated portion, divide the number of bedrooms in the family's private space by the total number of bedrooms in the shared housing unit.

12ai. Mixed family tenant rent to owner: 12ag minus 12ah:
The rent amount the family pays to the owner after subtracting the utility allowance (line 12ah) from the mixed family total family contribution (line 12ag); or

the total credit amount the family receives to pay for utilities.

What does it mean when the mixed family tenant rent to owner is a positive number?
If the mixed family total family contribution (line 12ag) minus the utility allowance (line 12ah) results in a positive number or 0 (zero), this line reflects the tenant's rent to the owner.

Example: The utility allowance amount in line 12ah is $100 per month, and the mixed family total family contribution in line 12ag is $450. The calculation reads**:** $450 - $100 = $350. The tenant pays $350 to the owner.

What does it mean when the mixed family tenant rent to owner is a negative number?
If the result is a negative number, this line reflects the credit to the tenant, commonly referred to as a utility reimbursement.

Example: The utility allowance in line 12ah is $100, and the mixed family total family contribution in line 12ag is $75. The calculation reads**:** $75 - $100 = -$25. The tenant receives a $25 credit (i.e., utility reimbursement).

12aj. Prorated HAP to owner: 12k minus 12ai. If 12ai is negative, put 12k:

The total prorated amount of the housing assistance payment (HAP) to the unit owner. Subtract the mixed family tenant rent to owner (line 12ai) from the rent to owner (line 12k). If the mixed family tenant rent to owner (line 12ai) is negative, enter the rent to owner (line 12k).

Section 13: Section 8: Moderate Rehabilitation (Mod Rehab)

General Rules:

- Complete if program type is Moderate Rehabilitation (1c=MR) and type of action is New Admission (2a=1), Annual Reexamination (2a=2), Interim Reexamination (2a=3), or Other Change of Unit (2a=7).
- Do not complete for ineligible police officers or security personnel.

13a. HAP contract number:

The housing assistance payment (HAP) contract number. Include the sequence number for each HAP contract. The HAP contract sequence number identifies the particular project (funding increment) under which the HAP contract is funded.

How do I enter the HAP contract number?
Break down the contract number into the pieces that follow. This is the new contract number format based on the Housing and Urban Development Central Accounting Program System (HUDCAPS) format:

- *State code* - The first 2 boxes, indicate the Federal standard code of the state where the project is located
- *PHA code* - The next 3 boxes, indicate the 3-digit PHA number that HUD assigned
- *Program code* - The next 2 boxes, indicate the program (e.g., MR or SR)
- *Increment number* - The next 4 boxes, allow up to 4 numbers for the project (funding increment)
- *Sequence number* - The final 4 boxes, allow up to 4 numbers for the HAP contract sequence number.

Example: The project number is WI-439-MR-0002. The PHA uses funding under this project number for three separate HAP contracts with three different owners and three different buildings. The HAP contract sequence numbers are**:** WI-439-MR-0002-0001; WI-439-MR-0002-0002; and WI-439-MR-0002-0003.

Do I enter a sequence number even if there is only one HAP contract under the project?
Add the sequence number to the project number even if there is only one HAP contract under the project. If the PHA uses all of the project funding for only one HAP contract, the HAP contract number is**:** WI-439-MR-0002-0001.

13b. Mod Rehab SRO Program for homeless? (Y or N):

Indicate whether the family's unit is in a Single-Room Occupancy (SRO) project under the SRO Program for Homeless Individuals (24 CFR Part 882, Subpart H).

13c. Mod Rehab SRO unit (not homeless program) (Y or N):

Indicate whether the family's unit is an SRO unit, but not under the SRO Program for Homeless Individuals.

What do I enter if the tenant participates in the Mod Rehab SRO Program for the Homeless?
If the tenant participates in the Mod Rehab SRO Program for the Homeless, enter N (No).

13d. Owner name:

The unit owner's legal name.

13e. Owner TIN/SSN:

Tax identification number (TIN) or Social Security Number (SSN) of the legal unit owner.

13f. Current base rent:

The amount of the current base rent for the unit that reflects the most recent rent adjustment.

13g. Rehabilitation debt service:

The amount of the owner's current monthly rehabilitation debt service payment for the unit.

What do I enter if the owner paid off the loan?
If the owner paid off the rehabilitation loan, enter 0 (zero) here.

13h. Contract rent to owner: 13f + 13g:

The monthly rent amount paid to the Mod Rehab unit owner as specified in the housing assistance payment (HAP) contract. Add the current base rent (line 13f) to any monthly rehabilitation debt service payment (line 13g).

13i. Utility allowance, if any:

If the contract rent to owner does not include all utilities, indicate the monthly allowance amount for tenant supplied utilities that apply to the family occupied unit.

What do I enter if there is no utility allowance?
If there is no utility allowance, enter 0 (zero).

13j. TTP: Copy from 9j:
The total tenant payment (TTP). Copy from line 9j.

Rent Calculation (If prorated, skip to 13p)

13k. Tenant rent: 13j minus 13i (if 13j is greater than 13h + 13i, put 13h):
The rent amount the family pays to the owner after deducting the utility allowance (line 13i) from the total tenant payment (TTP) (line 13j); or the total credit amount the family receives to pay for utilities. If the TTP (line 13j) is greater than the gross rent (line 13h plus line 13i) enter the contract rent to owner (line 13h).

What does it mean when the tenant rent is a positive number?
If the total tenant payment (line 13j) minus the utility allowance (line 13i) results in a positive number or 0 (zero), this line reflects the tenant's rent to the owner.

Example: The utility allowance amount in line 13i is $100 per month, and the TTP in line 13j is $450. The calculation reads**:** $450 - $100 = $350. The tenant pays $350 to the owner

What does it mean when the tenant rent is a negative number?
If the result is a negative number, this line reflects the credit to the tenant, commonly referred to as a utility reimbursement.

Example: If the utility allowance in line 13i is $100, and the TTP in line 13j is $75. The calculation reads**:** $75 - $100 = -$25. The tenant receives a $25 credit (i.e., utility reimbursement).

13m. HAP to owner: 13h minus 13k (If 13k is negative, put 13h):
The amount of the housing assistance payment (HAP) to the unit owner. Subtract the tenant rent (line 13k) from the contract rent to owner (line 13h). If the tenant rent indicated in line 13k is negative, enter the contract rent to owner (line 13h).

Example: The contract rent is $400, and the tenant rent is $200. The calculation reads**:** $400 - $200 = $200. The $200 balance is the housing assistance payment that the PHA pays to the unit owner.

Prorated Rent Calculation

Complete if one or more family members indicated ineligible noncitizen in line(s) 3i.

13p. Gross rent: 13h + 13i:
The unit's total monthly rent amount. Add the contract rent to owner (line 13h) to the utility allowance (line 13i).

13q. Normal total HAP: 13p minus 13j:
The amount of the normal total housing assistance payment (HAP). Subtract total tenant payment (TTP) (line 13j) from the gross rent (line 13p).

13r. Total number eligible:
Total number of family members eligible for rent subsidy based on the Noncitizens Rule. Family members do not include live-in aides or foster children or foster adults. Eligible family members have citizenship codes in line 3i of:

- EC = Eligible citizen
- EN = Eligible noncitizen
- PV = Pending verification

13s. Total number in family:
Total number of family members in household. Include all family members, including ineligible noncitizen family members (3i=IN). Do not include live-in aides or foster children or foster adults.

13t. Proration percentage: 13r ÷ 13s:
Percentage of family eligible for rent subsidy. Divide the total number eligible (line 13r) by the total number in family (line 13s). A family with ineligible family members is only eligible for a percentage of the rent subsidy. Use the proration percentage to determine the family's total prorated rent subsidy.

Example: There are 4 family members eligible for housing assistance (line 13r), and 5 total family members (line 13s; 1 is ineligible for rent subsidy), the calculation reads 4 ÷ 5 = 0.8 (or 80%)

13u. Prorated total HAP: 13q x 13t:
The prorated housing assistance payment (HAP). Multiply the normal total HAP (line 13q) by the proration percentage (line 13t).

13v. Mixed family TTP: 13p minus 13u:
Indicate the mixed family total tenant payment (TTP). Subtract the prorated total housing assistance payment (HAP) (line 13u) from the gross rent (line 13p).

Example: If the gross rent is $450, and the prorated HAP is $200, the mixed family TTP is**:** $450 - $200 = $250. This is the amount the PHA may require the tenant to pay.

13w. Utility allowance (copy from 13i):

If the payment does not include all utilities, indicate the monthly allowance amount for tenant supplied utilities that applies to the family occupied unit.

What do I enter when there is no utility allowance?

If there is no utility allowance, enter 0 (zero).

13x. Mixed family tenant rent: 13v minus 13w:

The rent amount the family pays to the owner after deducting the utility allowance (line 13w) from the mixed family total tenant payment (TTP) (line 13v); or the total credit amount the family receives to pay for utilities.

What do I enter if the mixed family tenant rent is a positive number?

If mixed family total tenant payment (line 13v) minus the utility allowance (line 13w) results in a positive number or 0 (zero), this line reflects the tenant's rent to the owner.

Example: The utility allowance amount in line 13w is $100 per month, and the mixed family TTP in line 13v is $450. The calculation reads**:** $450 - $100 = $350. The tenant pays $350 to the owner.

What do I enter if the mixed family tenant rent is a negative number?

If the result is a negative number, this line reflects the credit to the tenant, commonly referred to as a utility reimbursement.

Example: The utility allowance in line 13w is $100, and the mixed family TTP in line 13v is $75. The calculation reads**:** $75 - $100 = -$25. The tenant receives a $25 credit (i.e., utility reimbursement).

13z. Prorated HAP to owner: 13h minus 13x (If 13x is negative, put 13h):

The total prorated amount of the housing assistance payment (HAP) that the PHA pays to the unit owner. Subtract the mixed family tenant rent (line 13x) from the contract rent to owner (line 13h). If the mixed family tenant rent indicated in line 13x is negative, enter the contract rent to owner (line 13h).

Section 15: Homeownership Vouchers

General Rules:

- Complete if program type is Homeownership (line 1c=VO) and type of action is New Admission (2a=1), Annual Reexamination (2a=2), Interim Reexamination (2a=3), Portability Move-in (2a=4), or Other Change of Unit (2a=7).

15a. Is family now moving to this home?:

Indicate if the family is now moving into the home. If the family will remain in the same home at the time of admission or of reexamination, enter N.

15b. Date (mm/dd/yyyy) of initial HQS inspection:

Date of the initial housing quality standards (HQS) inspection.

15c. Did family move into your PHA jurisdiction under portability? (Y or N) (if no, skip to 15f):

Indicate whether or not the household has moved into the PHA's jurisdiction under portability, regardless of whether the PHA bills the initial PHA or absorbs the family into its own voucher homeownership program. If you answer yes to this question, continue to answer yes for this family as long as the family resides in your PHA jurisdiction.

15d. Cost billed per month (put 0 if absorbed):

Monthly amount billed to the initial PHA for the family's housing assistance payment (HAP) amount, on-going administrative fee, and any utility reimbursement to the family. Enter 0 if the family was absorbed by the receiving PHA.

15e. PHA code billed:

The initial PHA's 2-letter state code and 3-digit identification number. Leave blank if the receiving PHA absorbs the family.

How do I find the initial PHA's identification number?

For help obtaining the initial PHA's identification number, contact the appropriate HUD field office, the HA Profiles Web Site within PIC or the PIC Help Hotline at 1-800-366-6827 or pichelp@hud.gov.

15f. Monthly homeownership payment (PITI & MIP if applicable):

The monthly homeownership cost. Includes principal and interest on initial mortgage debt, taxes and insurance (PITI) and any mortgage insurance premium (MIP), if applicable.

What do I enter for homeownership in a cooperative (co-op)?

For homeownership in a cooperative, enter the monthly cooperative charge under the occupancy agreement, including real estate taxes and public assessments, and any principal and interest on initial debt to finance purchase of cooperative shares.

15g. Utility allowance:

The PHA's utility allowance for the unit.

15h. Monthly maintenance allowance:

The amount of PHA's allowance for the monthly routine maintenance costs.

15i. Monthly major repair/replacement allowance:

The amount of the PHA's allowance for major home repairs and replacements.

15j. Monthly co-op/condominium assessments:

If applicable, enter the amount of co-op or condominium association operation and maintenance assessments.

15k. Monthly principal and interest on debt for improvements, if any:

The amount of principal and interest for debt associated with major repairs, replacements, or improvements to the unit.

15m. Gross homeownership expense: 15f + 15g + 15h + 15i + 15j + 15k:

Calculation of tenant's total cost of homeownership. Sum of 15f through 15k.

15n. Payment standard for the family:

Enter the lower of the payment standard for the family unit size or the payment standard for the unit size that the family actually owns. See 24 CFR 982.503 and 24 CFR 982.635(b).

15p. Lower of 15m and 15n:
The lower of gross homeownership expense (15m) and the payment standard for the family (15n).

15q. TTP: copy from 9j:
Total tenant payment (TTP). Copy from line 9j.

15r. HAP: 15p minus 15q (if 15q is larger, put 0):
The amount of monthly homeownership assistance payment (HAP). Subtract the total tenant payment (TTP) (line 15q) from the lower of 15m and 15n (line 15p). If the TTP (line 15q) is larger, enter 0.

Family Share Calculation (If prorated, skip to 15aa)

Complete if family receives full subsidy.

15s. Total family share: 15m minus 15r:
The total amount the family contributes toward homeownership is equal to the gross homeownership expense (line 15m) minus the HAP (line 15r).

Prorated Subsidy Calculation

Complete if one or more family members indicated ineligible noncitizen in line(s) 3i.

15aa. Normal total HAP: copy from 15r:
The amount of the normal total homeownership assistance payment (HAP).

15ab. Total number eligible:
Total number of family members eligible for homeownership subsidy based on the Noncitizens Rule. Family members do not include live-in aides or foster children or foster adults. Eligible family members have citizenship codes in line 3i of:
EC = Eligible citizen
EN = Eligible noncitizen
PV = Pending verification

15ac. Total number in family:
Total number of family members in the household. Include all family members, including ineligible noncitizen family members (3i=IN). Do not include live-in aides or foster children or foster adults.

15ad. Proration percentage: 15ab ÷ 15ac:
Percentage of family eligible for homeownership subsidy. Divide the total number eligible (line 15ab) by the total number in family (line 15ac). A family with ineligible family members is only eligible for a percentage of the homeownership subsidy. Use the proration percentage to determine the family's total prorated homeownership subsidy.

15ae. Prorated HAP: 15aa X 15ad:
The total prorated amount of the homeownership assistance payment (HAP) to the homeowner. Multiply normal total HAP (line 15aa) by the proration percentage (line 15ad).

15af. Mixed family total family share: 15m minus 15ae:
Indicate the mixed family total family contribution based on the proration calculation. Subtract the prorated homeownership assistance payment (HAP) (line 15ae) from the gross homeownership expense (line 15m).

Section 17: Family Self-Sufficiency (FSS)/ Welfare to Work (WtW) Voucher Addendum

General Rules:

- Complete this section to track the enrollment, progress, or exit of a family that participates in an FSS program or the WtW Voucher program.
- Failure to submit FSS exits may impact minimum FSS program size obligations.

17a. Participate in special programs? (check all that apply):

Identify if the family participates in a Family Self-Sufficiency (FSS) program, a Welfare to Work (WtW) voucher program, or both. If the family participates in both programs, please check both.

17b. FSS report category (check no more than one):

If the family participates in FSS, check one category to indicate the purpose of the Addendum.

- *Enrollment Report* - New enrollment in the FSS program.
- *Progress Report* - Update to family's FSS status.
- *Exit Report* - Exit from the FSS program.

17c. FSS effective date (mm/dd/yyyy) of action:

The effective date of the FSS action being reported in line 17b.

Can this date be different from the effective date of action (line 2b)?

If the PHA submits an FSS report using any action type other than FSS/WtW Addendum Only (2a = 8), the FSS effective date and the effective date in line 2b may differ. Different effective dates can occur if the PHA reviewed the family's FSS program status on a different day than the review took place for the other household data reported in the form. However, if the PHA submits a FSS/WtW Addendum Only (2a = 8), the FSS effective date should match the effective date in line 2b.

17d. PHA code of PHA administering FSS contract:

The PHA code of the PHA that executed the FSS contract with the family and is counting the family in its FSS program.

What should I enter if the family resides in one PHA's jurisdiction, but has a contract of participation with a different PHA?

A family may reside in one PHA, but have an executed FSS contract of participation with another PHA. Enter the PHA code for the PHA that has an executed FSS contract with the family.

How do I find the administering PHA's identification number?

For help obtaining the administering PHA's identification number, contact the appropriate HUD field office, the HA Profiles Web Site within PIC or the PIC Help Hotline at 1-800-366-6827 or pichelp@hud.gov.

Example: A family executed an FSS contract with PHA001 and then moved into PHA002's jurisdiction. PHA001 is still administering the FSS program while the family resides in PHA002's jurisdiction. Enter the PHA code for PHA001 in line 17d in this situation because PHA001 is still responsible for administering the FSS contract of the family.

17e. WtW report category (check no more than one):

If the family participates in WtW, check one category to indicate the purpose of the Addendum.

- *Enrollment Report* - New enrollment in the WtW program.
- *Progress Report* - Update to family's WtW status.
- *Exit Report* - Exit from WtW program.

17f. WtW effective date (mm/dd/yyyy) of action:

The date of the WtW voucher program action.

Can this date be different from the effective date of action (line 2b)?

If the PHA submits an WtW report using any action type other than FSS/WtW Addendum Only (2a = 8), the WtW effective date and the effective date in line 2b may differ. Different effective dates can occur if the PHA reviewed the family's WtW program status on a different day than the review took place for the other household data reported in the form. However, if the PHA submits a FSS/WtW Addendum Only (2a = 8), the WtW effective date should match the effective date in line 2b.

17g.(1) PHA code of PHA that issued the WtW Voucher: The PHA code associated with the PHA that issued the WtW Voucher. A family may receive a WtW Voucher from one PHA, but subsequently move to a unit within a new PHA's jurisdiction.

17g.(2) PHA code of PHA counting the family as enrolled in its WtW Voucher program (if different from 17g(1)): The PHA code of the PHA counting the family as enrolled. Only complete if this PHA code differs from 17g(1).

17h. General information: General information about the family.

17h.(1) Current employment status of head of household. Check the box to indicate the head of household's employment status at the time addendum is completed: Indicate the head of household's current employment status.

- *Full-time (32 hours per week or more)* - Head of household works 32 hours or more per week.
- *Part-time* - Head of household works less than 32 hours per week.
- *Not employed* - Head of household is not employed.

17h.(2) Date (mm/dd/yyyy) current employment began: The date the head of household began his/her current job.

17h.(3) Benefits in current employment (check all that apply): Indicate the benefits received through the head of household's current employment. Check all that apply**:**

- *Health* - Head of household's current employer provides health insurance
- *Retirement Account* - Head of household's current employer provides a retirement account
- *Other* - Head of household's current employer provides other benefits aside from health insurance and retirement accounts.

17h.(4) Years of school completed by the head of household. Enter the highest grade of education or years of formal schooling the head of household completed at the time Addendum is submitted. (0-25): Enter the highest grade or the full years of formal schooling that the head of household completed (0-25). Years of schooling begin with 1st grade (do not count kindergarten or pre-school).

Example: If the head of household completed school through 7th grade, enter 7 in the box. This indicates 7 full years of formal schooling. If the head of household completed high school and 2 years of college, vocational, technical, or other 2 - 4 year accredited school, enter 14 in the box.
Example: If the head of household attended but did not finish 8th grade, enter 7 in the box.

Example: If the head of household received a GED, enter 12 in the box (indicating the completion of high school).

17h.(5) Assistance received by the family (check all that apply): Indicate whether or not the family receives additional assistance, such as food stamps, Medicaid/Children's Health Insurance Program, TANF assistance, general assistance, or the earned income tax credit.

17h.(6) Number of children receiving child care services: Indicate the number of children in the household who receive child care services. Child care services must be of a type that provides sufficient hours of operation and serves an appropriate range of ages.

17i. Family services table (optional for WtW Voucher):
The family services table includes a list of different services and blank columns to complete. The columns indicate whether the participants need the services, whether the need for services was met during participation in the FSS or WtW program, and the type of entity or organization that provided the services.

17i.(1) Need (Y/N): Indicate whether or not the PHA identified individual training and service needs for any of the family members.

- *Education/training* -
  - *GED* - The GED is a Graduate Equivalency Diploma; Program participants need to attend classes to complete high school-equivalency credits.
  - *High school* - Program participants need to attend or return to high school to obtain a high school diploma.
  - *Post secondary* - Program participants need to attend or return to post secondary schooling (such as a college or university) to obtain a secondary degree.
  - *Vocational/job training* - Program participants need to attend a vocational or technical school (e.g., may obtain a license or certificate but not an official degree), or participate in job training classes (e.g., computer skills courses, etc.).
- *Job search/job placement* - Program participants need services to help them to search for employment or to use current

employment networks for placement in a permanent position.
- *Job retention* - Program participants need services to help retain their jobs.
- *Transportation* - Program participants need transportation to attend school, training, search for a job, or take children to child care.
- *Health services* - Program participants need specific health services, or well-child and well-family regular services and check-ups.
- *Alcohol and other drug abuse prevention services* - Program participants need services designed to help rehabilitate or help them with drug-related problems.
- *Mentoring* - Program participants need services that place them with role models or mentors in the community.
- *Homeownership counseling* - Program participants need a program designed to help participants migrate from housing assistance to homeownership.
- *Individual Development Account (IDA)* - Program participants need an Individual Development Account (IDA), which is a matched savings account that can be used by low-income households to purchase a home, seek postsecondary education, or capitalize a small business.
- *Child care* - Program participants need child care assistance.
- *None* - No special services are needed.

Example: If the FSS family head needs to complete his or her high school education, enter Y (Yes) in the appropriate box.

17i.(2) Need Met During Participation in Program (Y or N): If the PHA identified certain needs for family members, indicate whether or not the needs listed in 17i(1) were met while the family participated in the FSS or WtW Voucher program.

17i.(3) Service Provider: Indicate the code that corresponds to the type of service provider who meets the participant's need.
- *P = PHA* - Indicate if the PHA meets the service need.
- *T = TANF Agency* - Indicate if a TANF agency meets the service need.
- *D = DOL Grantee* - Indicate if a Department of Labor grantee meets the service need.
- *V = Voluntary Organization* - Indicate if a voluntary organization meets the service need.
- *PR = For Profit Organization* - Indicate if a "for profit" organization meets the service need.
- *N = Nonprofit Agency* - Indicate if a nonprofit organization meets the service need.
- *E = Employer* - Indicate if the employer meets the service need.
- *C = Community college* - Indicate if a community college meets the service need.

Family Self Sufficiency Program (if not in FSS program, skip to 17n)

17j. FSS Contract Information:

Contract information related to the participating family.

17j.(1) Initial start date (mm/yyyy) of contract of participation (FSS enrollment report only): The effective date of the family's FSS contract of participation; the date the family initially enrolled in the FSS program. Include all four digits of the year (i.e., 06/2000).

17j.(2) Initial end date (mm/yyyy) of contract of participation (FSS enrollment report only): The expiration date of the family's FSS contract of participation; the date the family is initially expected to exit the FSS program. The contract term is for a period of 5 years. Include all four digits of the year (i.e., 06/2005).

17j.(3) Contract date extended to (mm/yyyy) (if applicable): If applicable, the date to which the PHA has extended the family's FSS contract of participation. If the PHA did not extend the family's end date, leave this field blank. Include all four digits of the year (i.e., 06/2006).

How long can a contract be extended?
The FSS contract cannot be extended more than two years beyond the original expiration date.

17j.(4) Number of family members with Individual Training & Services Plan: The number of family members in the household who have current Individual Training and Services Plans under the FSS contract of participation.

17j.(5) Did the family receive selection preference because of related service program participation? (FSS enrollment report only) (Y or N): For new FSS enrollment, indicate whether or not the family received an FSS selection preference due to participation in a related service program.

17k. FSS Account Information:

Information about the family's FSS account.

17k.(1) Current FSS account monthly credit: The current dollar amount credited to the family's FSS account due to increases in earned income by the family. See Appendix II for instructions for calculating this amount. If there are no contributions to the family's FSS account, enter 0 (zero).

17k.(2) Current FSS account balance: The current dollar amount of the family's FSS account based on the most recent report of account funds and activity. Include the amounts paid into the account for the family, as well as the prorated investment income credited to the account. If there is no established FSS account, enter 0 (zero).

17k.(3) FSS account amount disbursed to the family (cumulative as of end of reporting period): Total dollar cumulative amount, if any, of all FSS escrow disbursements ever made to the family. If there are no disbursed funds, enter 0 (zero).

17m. FSS exit information (FSS exit report only):

Information about the family leaving the FSS program. Complete this section only if the family is exiting the FSS program (i.e., FSS Exit Report). The family may still be a public housing resident or a Housing Choice Voucher program participant.

17m.(1) Did family complete contract of participation? (Y or N): Indicate 'Y' if the family fulfilled all of its obligations under the contract during the contract term or if 30% of the family's monthly adjusted income equals or exceeds the existing housing fair market rent (FMR) for the unit size for which the family qualifies, and at completion, all family members met program requirements for being off welfare assistance.

17m.(2) If (1) is Yes, did family move to homeownership? (Y or N): Indicate if the family completed the contract and is moving to homeownership. Homeownership includes families that participate in the voucher homeownership option as well as those moving to other homeownership opportunities.

17m.(3) If (1) is No, reason for exit: Indicate why the family did not complete its FSS contract. Select one of the following reasons:

- *Left voluntarily* -- terminated contract through mutual consent of the family and the PHA, or the family decided to withdraw.
- *Asked to leave program* -- the PHA terminated the Contract of Participation because a family member failed to meet obligations required under the FSS Contract, or because the family's housing assistance program participation was terminated.
- *Portability move-out* -- the family exercised a portability move-out to another PHA's jurisdiction.
- *Left because essential service was unavailable* -- the PHA declared the Contract of Participation null and void because a particular service deemed essential to a family's ability to become self-sufficient was unavailable.
- *Contract expired but family did not fulfill obligations* -- the term of the Contract of Participation, including any extensions, expired but the family did not meet all contract obligations.

Welfare to Work (WtW) Voucher Program

17n. WtW Voucher program information (WtW voucher program enrollment report only):

Information about the family's participation in the WtW Voucher program.

17n.(1) Date (mm/dd/yyyy) Voucher issued: The date the PHA issued the Welfare to Work Voucher.

17n.(2) Date (mm/dd/yyyy) of request for lease approval (RFLA) for a unit leased: The date the family submitted a Request for Lease Approval (RFLA) to the PHA. The RFLA date must be equal to or later than the WtW Voucher issued date (line 17n(1)) and equal to or earlier than the WtW voucher program effective date of action (line 17f). If "Enrollment" is selected for the Welfare to Work Voucher report category (line 17e), a valid date must be entered (mm/dd/yyyy).

17q. Welfare to Work Voucher Program exit information (WtW exit report only):

Information about why the family is leaving the WtW Voucher program.

17q.(1) Is the family moving to Homeownership? (Y or N): Indicate Y (yes) if the family is moving to either the voucher homeownership program or to another homeownership opportunity.

17q.(2) Primary reason for leaving the WtW Voucher program: Identify the reason why the family is leaving the WtW program. Select only one.

- *Portability move-out* - the family exercised a portability move-out to another PHA's jurisdiction.
- *Family no longer needs subsidy* - the family no longer needs housing assistance.
- *Subsidy terminated for Housing Choice Voucher program violation, other than WtW voucher program obligations* - the family violated a Housing Choice Voucher program rule.
- *Subsidy terminated for violation of WtW voucher program obligations* - the family violated a WtW Voucher Program rule.
- *Family voluntarily withdrew from Housing Choice Voucher program* - the family withdrew from the Housing Choice Voucher program.
- *Other* - the family exited the WtW Voucher Program for a reason other than the ones stipulated above.

Appendix I

Federal Standard State and Territory Codes

States

AL = Alabama
AK = Alaska
AZ = Arizona
AR = Arkansas
CA = California
CO = Colorado
CT = Connecticut
DE = Delaware
DC = District of Columbia
FL = Florida
GA = Georgia
HI = Hawaii
ID = Idaho
IL = Illinois
IN = Indiana
IA = Iowa
KS = Kansas
KY = Kentucky
LA = Louisiana
ME = Maine
MD = Maryland
MA = Massachusetts
MI = Michigan
MN = Minnesota
MS = Mississippi
MO = Missouri
MT = Montana
NE = Nebraska
NV = Nevada
NH = New Hampshire
NJ = New Jersey
NM = New Mexico
NY = New York
NC = North Carolina
ND = North Dakota
OH = Ohio
OK = Oklahoma
OR = Oregon
PA = Pennsylvania
RI = Rhode Island
SC = South Carolina
SD = South Dakota
TN = Tennessee
TX = Texas
UT = Utah
VA = Virginia
VT = Vermont
WA = Washington
WV = West Virginia
WI = Wisconsin
WY = Wyoming

Territories

AS = America Samoa
FM = Federated States of Micronesia
GQ = Guam
MH = Marshall Islands
MP = Northern Mariana Islands
PW = Palau
RQ/PR = Puerto Rico
VQ/VI = Virgin Islands

Appendix II

Section 17, line 17k: FSS Escrow Account Credit Worksheet

Instructions for Completing the FSS Escrow Account Credit Worksheet:

1. Determine the escrow credit at each reexamination and interim determination occurring after the effective date of the FSS contract of participation while the family is participating in the FSS program.
2. Calculate the amount of the escrow credit with Form HUD-52652, or another document which incorporates the procedures in Form HUD-52652.
3. The amount of the escrow credit will vary depending on the income level of each FSS family and is based on increases of **earned** income since the effective date of the contract of participation. If the family's adjusted income exceeds the lower-income limit in the jurisdiction in which the FSS family is living (the amount on line 3 of this worksheet is greater than the amount on line 2), the family does not qualify for an escrow credit. In such cases, lines 4 through 22 of this worksheet should not be completed.

Head of the FSS Family:	**Date:**
1. Current Total Annual Income (Enter amount on line 7i of form HUD-50058.)	1.
2. Applicable Lower-Income Limit (Enter the current lower-income limit for the jurisdiction in which the FSS family is living.)	2.
3. Current Adjusted Annual Income (Enter amount on line 8y of form HUD-50058.) If line 3 is greater than line 2, this family does not qualify for an FSS credit.	3.
4. Earned income included in line 1 (Add up the income amounts in column 7f of form HUD-50058 that are coded B, M, F, HA, or W.)	4.
5. Earned income included in total annual income on the effective date of the FSS Contract of Participation (Enter the amount from the Contract of Participation.)	5.
6. Increase in earned income since the effective date of the FSS Contract of Participation (Line 4 minus line 5. If negative, enter 0.)	6.
7. Current Total Annual Income less increase in earned income since the effective date of the FSS Contract of Participation (Line 1 minus line 6)	7.
8. Thirty percent of current monthly Adjusted Annual Income (Line 3 divided by 40. The calculated amount should equal the amount on line 9f of form HUD-50058.)	8.

9. Current Adjusted Annual Income less increase in earned income since the effective date of the FSS Contract of Participation (Line 3 minus line 6)	9.
10. 30% of current monthly Adjusted Annual Income less increase in earned income since the effective date of the FSS Contract of Participation (Line 9 divided by 40)	10.
11. 10% of current monthly Annual Income less increase in earned income since the effective date of the FSS Contract of Participation (Line 7 divided by 120)	11.
12. If applicable, welfare rent (enter amount on line 9g of form HUD-50058) or public housing ceiling rent (enter amount on line 10c of form HUD-50058)	12.
13. TTP based on current Total Annual Income less increase in earned income since the effective date of the FSS Contract of Participation (If vouchers, enter the amount on line 10; otherwise, enter the greater of lines 10, 11, or 12.)	13.
14. Difference between 30% of current monthly Adjusted Annual Income and TTP adjusted for increases in earned income (Line 8 minus line 13. Enter 0 if negative.)	14.
15. Current TTP (Enter the amount on line 10d of form HUD-50058 or, in the case of vouchers, enter the amount on line 8 of this worksheet.)	15.
16. TTP on effective date of the FSS Contract of Participation or, in the case of vouchers, 30% of monthly Adjusted Annual Income on effective date of the FSS Contract of Participation (Enter amount from the FSS Contract of Participation.)	16.
17. Difference between current TTP and TTP on the effective date of the FSS Contract of Participation (Line 15 minus line 16. Enter 0 if negative.)	17.
18. Enter the lesser of line 14 or line 17.	18.
19. Applicable Very Low-Income Limit (Enter the current very low-income limit for the jurisdiction in which the FSS family is now living.)	19.
20. Amount by which the Adjusted Annual Income exceeds the Very Low-Income Limit (Line 3 minus line 19)	20.

21. 30% of the amount by which Adjusted Annual Income exceeds the Very Low-Income Limit (Line 20 divided by 40)	21.
22. Escrow credit (line 18 minus line 21)	22.

Appendix III

Section 10, line 10b: Mixed Family Flat Rent Worksheet

Complete this worksheet for mixed families that reside in Public Housing (1c = P). A mixed family is a family that includes both citizens/eligible immigrants and noncitizens/ineligible immigrants.

Public Housing Mixed Family Flat Rent Calculation

1. Flat rent		$ 1.	
2. Public Housing maximum rent		$ 2.	
3. Family maximum subsidy**:** line 2 minus line 1 (If negative or 0, there is no proration. Skip to line 7 and enter flat rent (line 1).)		$ 3.	
4. Total number eligible		4.	
5. Total number in family		5.	
6. Eligible subsidy**:** (line 3 ÷ line 5) X line 4		$ 6.	
7. Mixed family flat rent**:** line 2 - line 6	If positive, put mixed family prorated flat rent		$ 7.
	If negative or 0, copy flat rent from line 1		$ 7.

Instructions for Completing the Mixed Family Flat Rent Worksheet:

1. Flat rent:
The dollar amount of the full subsidy flat rent. Flat rent is set by the unit size and building. If a PHA uses the ceiling rent amount for flat rent, input the ceiling rent amount in this line.

2. Public Housing maximum rent:
The maximum rent that the PHA (owner) can charge for the unit. The Public Housing maximum rent is between $5 and $3,000 per year.

How do I calculate maximum rent?
To calculate the maximum rent, list the TTPs paid by all tenants in this unit's size in the PHA's jurisdiction from largest to smallest, and then take the TTP that falls at the 95th percentile. Do not take the average of all TTPs and then compute 95 percent of that average.
Example: If you have 100 TTPs and list them from largest to smallest, the 95th highest rent is the maximum rent, regardless of the TTP amount.

3. Family maximum subsidy: line 2 minus line 1:
The maximum amount of rent subsidy available to the family is Public Housing maximum rent (line 2) minus Flat rent (line 1). If the family maximum subsidy is negative or zero, there is no proration. Enter the flat rent from line 1 in line 7 of the worksheet and in line 10b of the form HUD-50058.

4. Total number eligible:
The total number of family members eligible for rent subsidy based on their citizen status. Family members do not include live-in aides or foster children/adults. Eligible family members have citizenship codes in line 3i of:
EC = Eligible citizen
EN = Eligible noncitizen
PV = Pending verification

5. Total number in family:
The total number of family members in the household. Include all family members, including ineligible noncitizen family members (3i = IN). Do not include live-in aides or foster children/adults.

6. Eligible subsidy: (line 3 ÷ line 5) X line 4:
The total amount of rent subsidy for which the family is eligible. Divide the family maximum

subsidy (line 3) by the total number in family (line 5). Multiply the result by the total number eligible (line 4).

Example: The family maximum subsidy (line 3) is $100 and the family consists of 4 members (line 5) of which 3 members are eligible for rent subsidy (line 4). The calculation reads ($100 ÷ 4) X 3 = $75. The family's eligible subsidy is $75.

7. Prorated flat rent: line 2 - line 6:

The mixed family flat rent for the unit is Public Housing maximum rent (line 2) minus the eligible subsidy (line 6).

What does it mean when the mixed family flat rent is a positive number?

If the Public Housing maximum rent (line 2) minus the eligible subsidy (line 6) results in a positive number, this line reflects the mixed family's prorated flat rent amount.

Example: The eligible subsidy (line 6) is $75, and the Public Housing maximum rent (line 2) is $600. The calculation reads**:** $600 - $75 = $525. The mixed family pays a prorated flat rent of $525.

What does it mean when the mixed family flat rent is a negative number or zero?

If the Public Housing maximum rent (line 2) minus the eligible subsidy (line 6) results in a negative number or zero, the mixed family's flat rent is not prorated. This family pays the flat rent amount.

Example: The eligible subsidy (line 6) is $450, and the Public Housing maximum rent (line 2) is $300. The calculation reads**:** $300 - $450 = - $150. Since the difference is negative, the mixed family pays the flat rent amount listed in line 1.

Where do I enter the information from line 7 of the Mixed Family Flat Rent Worksheet?

Enter the mixed family flat rent amount from line 7 in line 10b, Unit's flat rent, on the Form HUD-50058.

Appendix IV

PIC Form 50058 Glossary

Use this glossary as a reference document only. Refer to the Code of Federal Regulations (as referenced after each definition) and HUD Notices for official program descriptions and definitions.

1937 Act: the United States Housing Act of 1937.

Absorption: in voucher portability, the point at which a receiving PHA stops billing the initial PHA for assistance on behalf of a portability family. The receiving PHA uses funds available under the receiving PHA's Consolidated Annual Contributions Contract (ACC). (24 CFR 982.4)

Accessible units: units that meet the requirement of accessibility with respect to dwellings. (24 CFR 945.105)

Accessible: when used with respect to the design, construction, or alteration of a facility, or a portion of a facility other than an individual dwelling unit, so that the facility or portion of the facility can be approached, entered, and used by individuals with physical handicaps. The phrase "accessible to and usable by" is synonymous with accessible. (24 CFR 8.3)

Act: the United States Housing Act of 1937 (42 U.S.C. 1437 et seq.) (24 CFR 5.100) Also see 1937 Act.

ADA: the Americans with Disabilities Act of 1990 (42 U.S.C. 12101 et seq.) (24 CFR 5.100)

Adjusted income: annual income (as determined by the responsible entity) of the members of the family residing or intending to reside in the dwelling unit, after making the applicable deductions. (24 CFR 5.611)

Administrative fee: Fee paid by HUD to the PHA for administration of the program. (24 CFR 982.4)

Administrative plan: the plan that describes PHA policies for administration of the tenant-based programs. (24 CFR 982.4)

Admission: the point when the family becomes a participant in a program. In a tenant-based program, the date used for this purpose is the effective date of the first HAP contract for a family (first day of initial lease term). (24 CFR 982.4)

Annual Contributions Contract (ACC) (Indian Housing): a contract under the 1937 Act between HUD and an IHA containing the terms and conditions under which HUD assists the IHA in providing decent, safe, and sanitary housing for low-income families. (24 CFR 1000.10) Also see 1937 Act.

Annual contributions contract (ACC): the written contract between HUD and a PHA, under which HUD agrees to provide funding for a program under the 1937 Act, and the PHA agrees to comply with HUD requirements for the program. (24 CFR 5.403) Also see 1937 Act.

Annual income: all amounts, monetary or not, which: (1) Go to, or are on behalf of, the family head or spouse (even if temporarily absent) or any other family member; or (2) Are anticipated to be received from a source outside the family during the 12-month period following admission or annual reexamination effective date; and (3) Are derived (during the 12-month period) from assets to which any member of the family has access; (4) Are not specifically excluded. (24 CFR 5.609)

Applicant: a person or a family that has applied for housing assistance. (24 CFR 5.403)

Assisted lease (or lease): a written agreement between an Owner and a Family for the leasing of a unit by the Owner to the Family, with housing assistance payments under a Housing Assistance Payments Contract between the Owner and the PHA. (24 CFR 882.102)

Child care expenses: amounts anticipated to be paid by the family for the care of children under 13 years of age, during the period for which annual income is computed, but only where such care is necessary to enable a family member to actively seek employment, be gainfully employed, or to further his or her education and only to the extent that such amounts are not reimbursed. The amount deducted shall reflect reasonable charges for child care. In the case of child care necessary to permit employment, the amount deducted shall not exceed the amount of employment income that is included in annual income. (24 CFR 5.603)

Child: a member of the family other than the family head or spouse who is under 18 years of age.

Citizen: a citizen or national of the United States. (24 CFR 5.504)

Community service: the performance of voluntary work or duties that are a public benefit, and that serve to improve the quality of life, enhance resident self-sufficiency, or increase resident self-responsibility in the community. Community service is not employment and may not include political activities. (24 CFR 960.601)

Consent form: any consent form approved by HUD, to be signed by assistance applicants and participants for the purpose of obtaining income information from employers and State Wage Information Collection Agencys (SWICAs), return information from the Social Security Administration (including wages, net earnings from self-employment, and payments of retirement income), and return information for unearned income from the

Internal Revenue Service. Consent forms expire after a certain time and may authorize the collection of other information from assistance applicants or participants to determine eligibility or level of benefits. (24 CFR 5.100)

Continuously assisted: an applicant is continuously assisted under the 1937 Act if the family is already receiving assistance under any 1937 Act program when the family is admitted to a certificate or voucher program. (24 CFR 982.4) Also see 1937 Act.

Contract of participation: a contract in a form approved by HUD, entered into between a participating family and a PHA operating an FSS program, that sets forth the terms and conditions governing participation in the FSS program. The contract of participation includes all individual training and services plans entered into between the PHA and all members of the family who will participate in the FSS program, and which plans are attached to the contract of participation as exhibits. (24 CFR 984.103)

Cooperative (includes mutual housing): housing owned by a nonprofit corporation or association, and where a member of the corporation or association has the right to reside in a particular apartment, and to participate in management of the housing. (24 CFR 982.4)

Covered families (for welfare benefit reduction): families who receive welfare assistance or other public assistance benefits (welfare benefits) from a State or other public agency (welfare agency) under a program for which Federal, State, or local law requires that a member of the family must participate in an economic self-sufficiency program as a condition for such assistance. (24 CFR 5.615)

Department: the Department of Housing and Urban Development (HUD). (24 CFR 5.100)

Dependent: a member of the family (except foster children and foster adults) other than the family head or spouse, who is under 18 years of age, or is a person with a disability, or is a full-time student. (24 CFR 5.603)

Disability assistance expenses: reasonable expenses that are anticipated, during the period for which annual income is computed, for attendant care and auxiliary apparatus for a disabled family member and that are necessary to enable a family member (including the disabled member) to be employed, provided that the expenses are neither paid to a member of the family nor reimbursed by an outside source. (24 CFR 5.603)

Disabled family: a family whose head, spouse, or sole member is a person with disabilities; or two or more persons with disabilities living together; or one or more persons with disabilities living with one or more live-in aides. (24 CFR 5.403)

Disallowance: exclusion from annual income. (24 CFR 960.255)

Earned income: income or earnings included in annual income from wages, tips, salaries, other employee compensation, and self-employment. Earned income does not include any pension or annuity, transfer payments, any cash or in-kind benefits, or funds deposited in or accrued interest on the FSS escrow account established by a PHA on behalf of a participating family. (24 CFR 984.103)

Economic enterprise: any Indian-owned commercial, industrial, or business activity established or organized for the purpose of profit, except that Indian ownership must constitute not less than 51 percent of the enterprise. Section 3 of the Indian Financing Act of 1974 (24 CFR 1000.48)

Economic self-sufficiency program: any program designed to encourage, assist, train, or facilitate the economic independence of HUD-assisted families or to provide work for such families. These programs include programs for job training, employment counseling, work placement, basic skills training, education, English proficiency, workfare, financial or household management, apprenticeship, and any program necessary to ready a participant for work (including a substance abuse or mental health treatment program), or other work activities. (24 CFR 5.603)

Effective date of FSS contract of participation: the first day of the month following the month in which the FSS family and the PHA entered into the contract of participation. (24 CFR 984.103)

EHPA: the Earned Home Payments Account. (24 CFR 982.401)

Elderly family: a family whose head, spouse, co-head or sole member is a person who is at least 62 years of age. (24 CFR 5. 403)

Elderly Person: an individual who is at least 62 years of age. (24 CFR 5.100)

Elevated blood lead level (EBL): excessive absorption of lead. Excessive absorption is a confirmed concentration of lead in whole blood of 20 ug/dl (micrograms of lead per deciliter) for a single test or of 15-19 ug/dl in two consecutive tests 3-4 months apart. (24 CFR 982.401)

Evidence of citizenship or eligible status: the documents, which must be submitted to evidence citizenship or eligible immigration status. (24 CFR 5.504)

Extremely low income family: A family whose annual income does not exceed 30 percent of the median income for the area, as determined by HUD, with adjustments for smaller and larger families, except that HUD may establish income ceilings higher or lower than 30 percent of the median income for the area if HUD finds that such variations are necessary because of unusually high or low family incomes. (24 CFR 5.603)

Family rent to owner: in the voucher program, the portion of rent to owner paid by the family. (24 CFR 982.4)

Family Self-Sufficiency (FSS) program: program to promote the development of local strategies to coordinate the use of public housing assistance and housing assistance under the voucher program with public and private resources, to enable families eligible to receive assistance under these programs to achieve economic independence and self-sufficiency. (24 CFR 984.101)

Family share: the portion of rent and utilities paid by the family. (24 CFR 982.4)

Family unit size: The appropriate number of bedrooms for a family, as determined by the PHA under the PHA subsidy standards. (24 CFR 982.4)

Family: includes all household members except live-in aides and foster children and adults. Use the number of family members to calculate subsidies and payments. Family includes but is not limited to: (1) A family with or without children (the temporary absence of a child from the home due to placement in foster care shall not be considered in determining family composition and family size); (2) An elderly family; (3) A near-elderly family; (4) A disabled family; (5) A displaced family; (6) The remaining member of a tenant family; and (7) A single person who is not an elderly or displaced person, or a person with disabilities, or the remaining member of a tenant family. (24 CFR 5. 403)

FSS account: the FSS escrow account (24 CFR 984.103)

FSS credit: the amount credited by the PHA to the participating family's FSS account. (24 CFR 984.103)

FSS family: a family that resides in public housing or receives assistance under the rental certificate or rental voucher programs, and that elects to participate in the FSS program, and whose designated head of the family has signed the contract of participation. (24 CFR 984.103)

FSS related service program: any program, publicly or privately sponsored, that offers supportive services. (24 CFR 984.103)

FSS slots: refers to the total number of public housing units or the total number of rental certificates or rental vouchers that comprise the minimum size of a PHA's respective Public Housing FSS program or Housing Chocie VoucherFSS program. (24 CFR 984.103)

Full-time student: a person who is attending school or vocational training on a full-time basis. (24 CFR 5.603)

FUP: Family Unification Program.The Housing Choice Voucher–FUP is designed to provide housing assistance to households whose lack of adequate housing is a primary cause of the separation or imminent separation of a child or children from their families. FUP accomplishes this by providing funding to public housing agencies that allocate the money to special housing choice vouchers for the families in danger of separation. Recipients of the vouchers must otherwise be eligible for the voucher program. The local public welfare agency must also certify that the lack of adequate housing is a primary reason that the family's child(ren) may be placed in out-of-home care or may be prevented from returning to the family.

Gross rent: the sum of contract rent to owner plus any utility allowance. (24 CFR 982.4, 24 CFR 882.102)

Group home: a dwelling unit that is licensed by a State as a group home for the exclusive residential use of two to twelve persons who are elderly or persons with disabilities (including any live-in aide). (24 CFR 982.4)

HAP contract: housing assistance payments contract. (24 CFR 982.4) Also see Housing assistance payment (HAP).

Head of household: the adult member of the family who is the head of the household for purposes of determining income eligibility and rent. (24 CFR 5.504)

Homeless family: A homeless family includes: (A) Any person or family that lacks a fixed, regular, and adequate nighttime residence; and (B) Any person or family that has a primary nighttime residence that is: (1) A supervised publicly or privately operated shelter designed to provide temporary living accommodations (including welfare hotels, congregate shelters, and transitional housing); (2) An institution that provides a temporary residence for individuals intended to be institutionalized; or (3) A public or private place not designed for, or ordinarily used as, a regular sleeping accommodation for human beings. A "homeless family" does not include any person imprisoned or otherwise detained pursuant to an Act of Congress or a State law.

Homeowner: a family of which one or more members owns the title to the home. (24 CFR 982.401)

HOPE VI: the HOPE VI program was developed as a result of recommendations by National Commission on Severely Distressed Public Housing, which was charged with proposing a National Action Plan to eradicate severely distressed public housing. The Commission recommended revitalization in three general areas: physical improvements, management improvements, and social and community services to address resident needs.

Household: includes everyone who lives in the unit, including foster children/adults and live-in aides. Household members are used to determine unit size.

Housing agency (HA): a state, county, municipality or other governmental entity or public body (or agency or instrumentality thereof) authorized to engage in or assist in the development or operation of low-income housing. (Also referred to as a Public Housing Agency or PHA.) (24 CFR 5.100)

Housing assistance payment (HAP): the monthly assistance payment by a PHA, which includes a payment to the owner for rent owed to the owner under the family's lease; and an additional payment to the family if the total assistance payment exceeds the rent to owner. (24 CFR 982.4)

Housing quality standards (HQS): the HUD minimum quality standards for assisted housing under the tenant-based programs. (24 CFR 982.4)

Imputed welfare income: the amount of annual income not actually received by a family, as a result of a specified welfare benefit reduction, that is nonetheless included in the family's annual income for purposes of determining rent.

Indian Housing Authority (IHA): an entity that is authorized to engage or assist in the development or operation of low-income housing for Indians under the 1937 Act; and is established: (1) by exercise of the power of self government of an Indian tribe independent of state law; or (2) by operation of state law providing specifically for housing authorities for Indians, including regional housing authorities in the State of Alaska. (24 CFR 1000.10)

Individual training and services plan: a written plan that is prepared for the head of the FSS family, and each adult member of the FSS family who elects to participate in the FSS program, by the PHA in consultation with the family member, and which sets forth the supportive services to be provided to the family member, the activities to be completed by that family member;

and the agreed upon completion dates for the services and activities. Each individual training and services plan must be signed by the PHA and the participating family member, and is attached to, and incorporated as part of the contract of participation. An individual training and services plan must be prepared for the head of the FSS family. (24 CFR 984.103)

Initial PHA: in Housing Choice Voucher portability, the term refers to both a PHA that originally selected a family that later decides to move out of the jurisdiction of the selecting PHA, and a PHA that absorbed a family that later decides to move out of the jurisdiction of the absorbing PHA. (24 CFR 982.4)

IRS: the Internal Revenue Service. (24 CFR 5.100)

Jurisdiction: the area in which the PHA has authority under State and local law to administer the program. (24 CFR 982.4)

Lease: a written agreement between an owner and a tenant for the leasing of a dwelling unit to the tenant. The lease establishes the conditions for occupancy of the dwelling unit by a family with housing assistance payments under a HAP contract between the owner and the PHA. In cooperative housing, a written agreement between a cooperative and a member of the cooperative. The agreement establishes the conditions for occupancy of the member's cooperative dwelling unit by the member's family with housing assistance payments to the cooperative under a HAP contract between the cooperative and the PHA. (24 CFR 982.4)

Live-in aide: a person who resides with one or more elderly persons, or near-elderly persons, or persons with disabilities, and who: (1) Is determined to be essential to the care and well-being of the persons; (2) Is not obligated for the support of the persons; and (3) Would not be living in the unit except to provide the necessary supportive services. (24 CFR 5. 403)

Low income family: a family whose annual income does not exceed 80 percent of the median income for the area, as determined by HUD with adjustments for smaller and larger families, except that HUD may establish income ceilings higher or lower than 80 percent of the median income for the area on the basis of HUD's findings that such variations are necessary because of unusually high or low family incomes. (24 CFR 5.603)

Manufactured home: a manufactured structure that is built on a permanent chassis, is designed for use as a principal place of residence, and meets the Housing Quality Standards (HQS). (24 CFR 982.4)

Manufactured home space: in manufactured home space rental, a space leased by an owner to a family. A manufactured home owned and occupied by the family is located on the space. (24 CFR 982.4)

Medical expenses: Medical expenses, including medical insurance premiums, anticipated during the period for which annual income is computed, and not covered by insurance. (24 CFR 5.603)

Minority: means any individual who is included within any one of the following racial and ethnic categories: (1) American Indian or Alaskan Native--a person having origins in any of the original peoples of North America, and who maintains cultural identification through tribal affiliation or community recognition; (2) Asian or Pacific Islander--a person having origins in any of the original peoples of the Far East, Southeast Asia, the Indian subcontinent, or the Pacific Islands; (3) African-American--a person having origins in any of the black racial groups of Africa; and (4) Hispanic--a person of Mexican, Puerto Rican, Cuban, Central or South American, or other Spanish culture or origin, regardless of race. (24 CFR 81.2)

Mixed family: a family whose members include those with citizenship or eligible immigration status, as well as those without citizenship or eligible immigration status. (24 CFR 5.504)

Moderate Rehabilitation Single Room Occupancy Program for Homeless Individuals: rehabilitation involving a minimum expenditure of $3,000 for a unit, including its prorated share of work to be accomplished on common areas or systems, to upgrade to decent, safe, and sanitary conditions to comply with the Housing Quality Standards (HQS) or other standards approved by HUD, from a condition below those standards (improvements being of a modest nature and other than routine maintenance). (24 CFR 882.802)

Moderate rehabilitation: rehabilitation involving a minimum expenditure of $1000 for a unit, including its prorated share of work to be accomplished on common areas or systems, to upgrade to decent, safe and sanitary conditions to comply with the Housing Quality Standards or other standards approved by HUD, from a condition below these standards (improvements being of a modest nature and other than routine maintenance) or to repair or replace major building systems/components in danger of failure. (24 CFR 882.102)

Monthly adjusted income: one twelfth of adjusted annual income. (24 CFR 5.603)

Monthly income: one twelfth of annual income. (24 CFR 5.603)

Mutual Help Occupancy Agreement (MHOA): a lease with option to purchase contract between an IHA and a homebuyer under the 1937 Act. (24 CFR 1000.302)

MSA: a metropolitan statistical area. (24 CFR 5.100)

MTCS: means Multifamily Tenant Characteristics System. It was the forerunner of the PIC system.

National: a person who owes permanent allegiance to the United States, for example, as a result of birth in a United States territory or possession. (24 CFR 5.504)

Net family assets: (1) Net cash value after deducting reasonable costs that would be incurred in disposing of real property, savings, stocks, bonds, and other forms of capital investment, excluding interests in Indian trust land and excluding equity accounts in HUD homeownership programs. The value of necessary items of personal property such as furniture and automobiles shall be excluded. (24 CFR 5.603)

Noncitizen: a person who is neither a citizen nor national of the United States. (24 CFR 5.504)

Non-elderly disabled person: a person with a disability who is less than 62 years of age. (24 CFR 945.105)

Office of Native American Programs (ONAP): the office of HUD, which has been delegated authority to administer programs for Native Americans. An Area ONAP is an ONAP field office. (24 CFR 1000.10)

Officer: a professional police officer or other professional security provider. Police officers and other security personnel are considered professional if they are employed full time, i.e., not less than 35 hours per week, by a governmental unit or a private employer and compensated expressly for providing police or security services. (24 CFR 960.503)

OMB: the Office of Management and Budget. (24 CFR 5.100)

Over-income family: a family that is not a low income family. (24 CFR 960.102) Also see low income family.

Owner: the person or entity (or employee of an owner) that leases an assisted dwelling unit to an eligible family and includes, when applicable, a mortgagee. (24 CFR 5.100)

Participant (participant family): a family that has been admitted to the PHA program and is currently assisted in the program. The family becomes a participant on the effective date of the first HAP contract executed by the PHA for the family (first day of initial lease term). (24 CFR 982.4)

Participant: for Section 8 of the 1937 Act, a family receiving rental assistance under the program. For the public housing program a family or individual that is assisted under the program. (24 CFR 5.100)

Payment standard: the maximum monthly assistance payment for a family assisted in the voucher program (before deducting the total tenant payment by the family). (24 CFR 982.4)

Person with disabilities: a person who has a disability, as defined in (A) 42 U.S.C. 423 and is determined to have a physical, mental, or emotional impairment that is expected to (1) be of long-continued and indefinite duration, (2) substantially impede his or her ability to live independently, and (3) be of such a nature that the ability to live independently could be improved by more suitable housing conditions, or (B) has a developmental disability as defined in 42 U.S.C. 6001. This definition includes persons who have the disease of acquired immunodeficiency syndrome (AIDS) or any conditions arising from the etiologic agent for acquired immunodeficiency syndrome. For purposes of qualifying for low-income housing, it does not include a person whose disability is based solely on any drug or alcohol dependence; and means “individual with handicaps”, for purposes of reasonable accommodation and program accessibility for persons with disabilities. (24 CFR 5.403)

PHA: a Housing Authority--either a Public Housing Agency (PHA) or an Indian Housing Authority (IHA). (24 CFR 984.103)

PHRA: stands for Public Housing Reform Act.

PIC: stands for Public and Indian housing information center. PIC was designed to facilitate a more timely and accurate echange of data between PHAs and local HUD offices by allowing the PHAs to submit information to HUD over the Internet.

Police officer: a person employed on a full-time basis as a duly licensed professional police officer by a Federal, State or local government or by any agency of these governments. (24 CFR 5.661)

Portability: renting a dwelling unit with tenant-based voucher assistance outside the jurisdiction of the initial PHA. (24 CFR 982.4)

Previously unemployed: a person who has earned, in the twelve months previous to employment, no more than would be received for 10 hours of work per week for 50 weeks at the established minimum wage. (24 CFR 960.255)

Private space: in shared housing: The portion of a contract unit that is for the exclusive use of an assisted family. (24 CFR 982.4)

Project-based assistance: The subsidy is attached to the unit.

Project owner: The person or entity that owns the housing project containing the assisted dwelling unit. (24 CFR 5.504)

Public Housing Agency (PHA): any state, county, municipality, or other governmental entity or public body, or agency or instrumentality of these entities, that is authorized to engage or assist in the development or operation of low-income housing under the 1937 Act.

Public Housing programs: the public housing programs administered by the Assistant Secretary for Public and Indian Housing under title I of the United States Housing Act of 1937. (24 CFR 5.306)

Public housing: housing assisted under the 1937 Act, other than under Section 8. Public housing includes dwelling units in a mixed finance project that are assisted by a PHA with capital or operating assistance. (24 CFR 5.100)

Reasonable rent: a rent to owner that is not more than rent charged for comparable units in the private unassisted market and for comparable unassisted units in the premises.

Receiving PHA: in voucher portability, a PHA that receives a family selected for participation in the tenant-based program of another PHA. The receiving PHA issues a voucher and provides program assistance to the family. (24 CFR 982.4)

Rent to owner: the total monthly rent payable to the owner under the lease for the unit. Rent to owner covers payment for any housing services, maintenance and utilities that the owner is required to provide and pay for. (24 CFR 982.4)

ROSS: Resident Opportunities and Self Sufficiency Program links services to Public and Indian housing residents by providing grants for supportive services, resident empowerment activities and activities to assist residents in becoming economically self-sufficient.

Section 8: section 8 of the United States Housing Act of 1937 (42 U.S.C. 1437f). (24 CFR 5.100)

Security personnel means: A police officer, or a qualified security professional, with adequate training and experience to provide security services for project residents. (24 CFR 5.661)

Self-sufficiency: that an FSS family is no longer receiving voucher, public or Indian housing assistance, or any Federal, State, or local rent or homeownership subsidies or welfare assistance. Achievement of self-sufficiency, although an FSS program objective, is not a condition for receipt of the FSS account funds. (24 CFR 984.103)

Service provider: a person or organization qualified and experienced in the provision of supportive services, and that is in compliance with any licensing requirements imposed by state or local law for the type of service or services to be provided. The service provider may provide the service on either a for-profit or not-for-profit basis. (24 CFR 945.105)

Service requirement: the obligation of each adult resident, other than an exempt individual, to perform community service or participate in an economic-self sufficiency program required in accordance with Sec. 960.603. (24 CFR 960.601)

Shared housing: a unit occupied by two or more families where at least one of the families is assisted. The unit consists of both common space for shared use by the occupants of the unit and separate private space for each assisted family. (24 CFR 982.4)

Single person: a person who lives alone or intends to live alone, who is not an elderly person, a person with disabilities, a displaced person, or the remaining member of a tenant family. (24 CFR 945.105)

Single room occupancy housing (SRO): a unit that contains no sanitary facilities or food preparation facilities, or contains either, but not both, types of facilities. (24 CFR 982.4)

Social Security Number (SSN): the nine-digit number that is assigned to a person by the Social Security Administration and that identifies the record of the person's earnings reported to the Social Security Administration. The term does not include a number with a letter as a suffix that is used to identify an auxiliary beneficiary. (24 CFR 5.100)

Special admission: admission of an applicant that is not on the PHA waiting list or without considering the applicant's waiting list position. (24 CFR 982.203)

Specified welfare benefit reduction: a reduction of welfare benefits by the welfare agency, in whole or in part, for a family member, as determined by the welfare agency, because of fraud by a family member in connection with the welfare program; or because of welfare agency sanction against a family member for noncompliance with a welfare agency requirement to participate in an economic self-sufficiency program. (24 CFR 5.615)

SSA: the Social Security Administration. (24 CFR 5.100)

SSI: means Supplemental Security Income.

Subsidy standards: standards established by a PHA to determine the appropriate number of bedrooms and amount of subsidy for families of different sizes and compositions. (24 CFR 982.4)

Supportive services (FSS Family): those appropriate services that a PHA will make available, or cause to be made available to an FSS family under a contract of participation. (24 CFR 984.103)

Suspension: stopping the clock on the term of a family's voucher, for such period as determined by the PHA, from the time when the family submits a request for PHA approval of the tenancy, until the time when the PHA approves or denies the request. (24 CFR 982.4)

Tenant rent: the amount payable monthly by the family as rent to the unit owner (r or PHA in public housing). (This term is not used in the voucher program.) (24 CFR 5.603)

Tenant: an individual or a family renting an assisted dwelling unit. (24 CFR 5.504)

Tenant: the person or persons (other than a live-in aide) who executes the lease as lessee of the dwelling unit. (24 CFR 982.4)

TIN: Tax Identification Number.

Unit size or size of unit: the number of bedrooms in a dwelling unit. (24 CFR 984.103)

USCIS: The Bureau of U.S. Citizenship and Immigration Services, formerly the Immigration and Naturalization Service (INS). (24 CFR 5.504)

Utility allowance: if the cost of utilities (except telephone) and other housing services for an assisted unit is not included in the tenant rent but is the responsibility of the family occupying the unit, utility allowance is an amount equal to the estimate made or approved by a PHA or HUD of the monthly cost of a reasonable consumption of such utilities and other services for the unit by an energy-conservative household of modest circumstances consistent with the requirements of a safe, sanitary, and healthful living environment. (24 CFR 5.603)

Utility reimbursement (certificates, income based public housing): the amount, if any, by which the utility allowance for a unit, if applicable, exceeds the total tenant payment for the family occupying the unit. (24 CFR 5.603)

Utility reimbursement (vouchers): in the voucher program, the portion of the housing assistance payment which exceeds the amount of the rent to owner. (24 CFR 982.4)

Very low income family: a family whose annual income does not exceed 50 percent of the median family income for the area, as determined by HUD with adjustments for smaller and larger families, except that HUD may establish income ceilings higher or lower than 50 percent of the median income for the area if HUD finds that such variations are necessary because of unusually high or low family incomes. (24 CFR 5.603)

Voucher (rental voucher): a document issued by a PHA to a family selected for admission to the voucher program. This document describes the program and the procedures for PHA approval of a unit selected by the family. The voucher also states obligations of the family under the program. (24 CFR 982.4)

Voucher holder: a family holding a voucher with an unexpired term (search time). (24 CFR 982.4)

Waiting list admission: an admission from the PHA waiting list. (24 CFR 982.4)

Welfare assistance: income assistance from Federal or State welfare programs, and includes assistance provided under the Temporary Assistance to Needy Families (TANF) Program, Supplemental Security Income (SSI) that is subject to an income eligibility test; Medicaid, food stamps, general assistance, or other assistance provided under a Federal or State program directed to meeting general living expenses, such as food, health care, child care, but does not include assistance solely directed to meeting housing expenses, and does not include transitional welfare assistance provided to JOBS participants. (24 CFR 984.103)

Welfare assistance: welfare or other payments to families or individuals, based on need, that are made under programs funded, separately or jointly, by Federal, State or local governments. (24 CFR 5.603)

Welfare-to-work (WtW) families: families assisted by a PHA with voucher funding awarded to the PHA under the HUD welfare-to-work voucher program (including any renewal of such WtW funding for the same purpose). (24 CFR 982.4)

What sections of the Form do I fill out for each action type?
Use the following chart to help you determine which sections of the Form to fill out for each action type.

Required 50058 Sections by Action Type

Section / Action Type	1: Agency	2: Action	3: Household	4: Background at Admission	5: Unit to be Occupied	6: Assets	7: Income	8: Deductions	9: TTP	10, 11, 12, 13, or 15: Rent Calculation	17: FSS/WtW
1: New Admission	√	√	√	√	√	√	√	√	√	√	Optional
2: Annual Reexam	√	√	√	No	√	√	√	√	√	√	Optional
3: Interim Reexam	√	√	√	No	√	√	√	√	√	√	Optional
4: Portability Move-in	√	√	√	No	√	√	√	√	√	√	Optional
5: Portability Move-out	√	√ (Partial)	√ (HOH only)	No	No	No	No	No	No	No	No
6: End Participation	√	√ (Partial)	√ (HOH only)	No	No	No	No	No	No	No	Optional
7: Other Change of Unit	√	√	√	No	√	√	√	√	√	√	Optional
8: FSS/WtW Addendum Only	√	√ (Partial)	√ (HOH only)	No	No	No	No	No	No	No	√
9: Annual Reexam Searching	√	√	√	No	No	√	√	√	√	No	Optional
10: Issuance of Vouchers	√	√ (Partial)	√	√ (4b, 4c only)	No	No	No	No	No	No	No
11: Expiration of Voucher	√	√ (Partial)	√ (HOH only)	No	No	No	No	No	No	No	No
12: Flat Rent Annual Update	√	√	√	No	√	No	No	No	No	No	Optional
13: Annual HQS Inspection Only	√	√ (Partial)	√ (HOH only)	No	√ (5h, 5i only)	No	No	No	No	No	No
14: Historical Adjustment	√	√	√	Optional	Optional	Optional	Optional	Optional	Optional	Optional	Optional
15: Void	√	√ (Partial)	√ (HOH only)	No	No	No	No	No	No	No	No

What section of the Form do I complete to determine the family's rent?

The following table indicates which of the sections of the form should be completed when calculating rent, based on the program type and the housing type or participation in other special programs.

Rent Calculation Sections

Program	Housing Type or Special Program Participation	Rent Section
Public Housing (line 1c=P)	Income based Rent	10
	Flat Rent	10
Sec 8 Certificates (line 1c=CE)	Project-based Certificate Assistance	11
Sec 8 Vouchers (line 1c=VO)	Project-based Voucher Assistance	11
	Tenant-based Vouchers	12
	Homeownership Vouchers	15
Sec 8 Mod Rehab (line 1c=MR)	All	13

U.S. Department of Housing and Urban Development

Office of Public and Indian Housing

Family Report

Form HUD-50058, Family Report, applies to Public Housing, Housing Choice Voucher, and Section 8 Moderate Rehabilitation programs.

Additional instructions are contained in the Form HUD-50058 Instruction Booklet. Copies of the Instruction Booklet can be found on the PIC Web Site at http://www.hud.gov/offices/pih/systems/pic/50058/pubs/

Public reporting burden for this collection of information is estimated to average 30 minutes per response in the first year and 15 minutes per response in subsequent years. This estimate includes the time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. This agency may not collect this information, and you are not required to complete this Form, unless it displays a currently valid OMB control number.

Send the Form HUD-50058 data to the electronic address provided by HUD. Questions? Contact the PIC Help Hotline at 1-800-366-6827 or go to the PIC Web Site at: http://www.hud.gov/pih/systems/pic/index.cfm.

Privacy Act Information. This collection is authorized by the U. S. Housing Act of 1937 (42 U. S. C. 1437 et seq.), Title VI of the Civil Rights Act of 1964 (42 U. S. C. 2000d) and by the Fair Housing Act (42 U. S. C. 3601-19). Each affected agency must submit information to assist HUD in managing and monitoring HUD assisted housing programs, to protect the Government's interest, and to verify the accuracy of the information received. HUD will use the information to: (1) monitor program participants' compliance with requirements, (2) provide demographic information describing tenants' characteristics, (3) participate in income matching, detect fraud, and (4) plan for future use of the housing inventory with emphasis on the housing needs of special groups. The information requested is required to obtain or retain benefits. This collection is mandatory. The information requested is required to obtain and retain benefits. Failure to provide SSN could result in denial of eligibility and/or termination of assistance or tenancy participants. HUD is authorized to collect this information under the Housing and Community Development Act of 1987 42 U.S.C.3543 (a).

Sensitive Information: The information on these forms is sensitive and is protected by the Privacy Act. Keep the forms locked and confidential.

Acronyms

FMR = Fair Market Rent
FSS = Family Self-Sufficiency program
HAP = Housing Assistance Payment
HOPE = Homeownership and Opportunity for People Everywhere
HQS = Housing Quality Standards
HUD = U. S. Department of Housing and Urban Development
ISA = Individual Savings Account
OMB = U. S. Office of Management and Budget
PHA = Public Housing Agency
PHRA = Public Housing Reform Act
PIC = Public and Indian Housing Information Center
SRO = Single Room Occupancy
SSA = Social Security Administration
SSI = Supplemental Security Income
SSN = Social Security Number
TANF = Temporary Assistance for Needy Families
TIN = Taxpayer Identification Number
TTP = Total Tenant Payment
WtW = Welfare to Work

Major Definitions (refer to the Form HUD-50058 Instruction Booklet for a more detailed definition of each field on the Form):

Disabilities: A person with disabilities has one or more of the following: (a) a disability as defined in Section 223 of the Social Security Act, (b) a physical, mental, or emotional impairment which is expected to be of long-continued and indefinite duration, substantially impedes his or her ability to live independently, and is of such a nature that such ability could be improved by more suitable housing conditions, or (c) a developmental disability as defined in Section 102 of the Developmental Disabilities Assistance and Bill of Rights Act. Note: Include persons who have the acquired immune deficiency syndrome (AIDS) or any condition that arises from the etiologic agent for AIDS.

Effective Date of Action: Date the reported action becomes effective. The effective date cannot be earlier than the date of admission to the program.

Head of household: The one adult member of the household, designated by the family or by PHA policy as the head of household, who is wholly or partly responsible for the rent payment.

Mixed Family: A family that contains some members that are eligible for assistance and some members that are ineligible for assistance. This family may be subject to prorated rent under the Noncitizens Rule.

Portability: Renting a dwelling unit with Housing Choice Voucher assistance outside the jurisdiction of the initial PHA.

Form Conventions:

1. All fields that require the entry of a date must include the 4-digit year. Enter the date in a standard format (i. e., "mm/dd/yyyy", "mm/yyyy"). Enter the year in its entirety.
2. "/" means "or" unless otherwise noted.
3. Monetary figures: enter only whole dollar amounts. Do not show cents, commas, or dollar signs.
4. Rounding: round each monetary amount up when a number is 0.50 or above; down when a number is 0.49 or below.
5. Calculation column is a scratch area where PHAs may perform manual calculations.
6. Leave blank any line(s) or item(s) that do not apply unless this Form instructs otherwise.

Head of household name	Social Security Number	Date modified (mm/dd/yyyy)

Family Report

U.S. Department of Housing and Urban Development

Office of Public and Indian Housing

OMB Approval Number 2577-0083

1. Agency

1a.	Agency name	1a.
1b.	PHA code [ ][ ][ ][ ][ ]	1b.
1c.	Program P=Public Housing, CE= Sec. 8 Certificates, VO= Sec. 8 Vouchers, MR= Sec. 8 Mod Rehab [ ][ ]	1c.
1d.	Project number (Public Housing only) [ ][ ][ ][ ][ ][ ][ ][ ] Suffix: [ ][ ][ ]	1d.
1e.	Building number (Public Housing only) [ ][ ][ ][ ][ ][ ]	1e.
1f.	Building entrance number (Public Housing only) [ ][ ][ ]	1f.
1g.	Unit number (Public Housing only) [ ][ ][ ][ ][ ][ ][ ][ ][ ][ ]	1g.

2. Action

2a.	Type of action	2a.
2b.	Effective date (mm/dd/yyyy) of action	2b.
2c.	Correction? (Y ☐ or ☐ N	2c.
2d.	If correction: (check primary reason) [ ] Family correction of income [ ] PHA correction of family income [ ] Family correction (non-income) [ ] PHA correction (non-income)	
2h.	Date (mm/dd/yyyy) of admission to program	2h.
2i.	Projected effective date (mm/dd/yyyy) of next reexamination	2i.
2j.	Projected date (mm/dd/yyyy) of next flat rent annual update (Public Housing flat rent only)	2j.
2k.	FSS participation now or in the last year? (Y or N)	2k.
2m.	Special program: (vouchers only) (check only one) [ ] Enhanced Voucher [ ] Welfare to Work Voucher	
2n.	Other special programs: Number 01	2n.
2n.	Other special programs: Number 02	2n.
2q.	PHA use only	2q.
2r.	PHA use only	2r.
2s.	PHA use only	2s.
2t.	PHA use only	2t.
2u.	PHA use only	2u.

2a. Type of action codes

1 = New Admission
2 = Annual Reexamination
3 = Interim Reexamination
4 = Portability Move-in (VO only)
5 = Portability Move-out (VO only)
6 = End Participation
7 = Other Change of Unit
8 = FSS/WtW Addendum Only
9 = Annual Reexamination Searching (VO only)
10 = Issuance of Voucher (VO only)
11 = Expiration of Voucher (VO only)
12 = Flat Rent Annual Update (PH only)
13 = Annual HQS Inspection Only (S8 only)
14 = Historical Adjustment
15 = Void

	Page Heading
Note:	The fields in the page heading are provided for the convenience of PHA that maintain paper records of the Form HUD-50058.
Head of household name:	On every page, enter the head of household's last name (line 3b), first name (line 3c) and middle initial (line 3d). Use this field to identify the head of household if the pages of the Form separate.
Social Security Number	On every page, enter the head of household's Social Security Number (line 3n). Use this field to identify the head of household if the pages of the Form separate.
Date modified (mm/dd/yyyy)	On every page, ender the date the PHA representative fills out the Form or modified any Form page.
1:	**Agency**
Line 1a:	Name of the Public Housing Agency (PHA) that completes the family's Form HUD-50058.
Line 1b:	Five-character code composed of the 2-letter postal state code and 3-digit PHA number. The state code indicates the location of the reporting PHA and the number identifies each PHA within a particular state.
Note:	For help obtaining the PHA's identification number, contact the appropriate HUD field office, the HA Profiles Web Site within PIC or the PIC Help Hotline at 1-800-366-6827.
Line 1c:	Using the codes provided, indicate the housing assistance program in which the family participates.
Line 1d:	Public Housing only. The project number is composed of the 2-letter project state code, 3-digit PHA number, 3-digit development number, and 3-digit suffix (if applicable).
Line 1e:	Public Housing only. Six-character code to capture the tenant's building number.
Line 1f:	Public Housing only. Three-character code to capture the building's entrance number.
Line 1g:	Public Housing only. Ten-character code to capture the PHA designated tenant unit number.
2:	**Action**
Line 2a:	Use the codes provided at the bottom of the page to report the family's type of action.
Note:	When a family that receives flat rent requires a reexamination, use Annual Reexamination (2a= 2).
Line 2b:	Date the reported action becomes effective.
Note:	The effective date cannot be earlier than the date of admission to the program (line 2h).
Line 2c:	Allows PHAs to correct fields previously transmitted in error.
Note:	Use a correction for a minor change to a previously submitted record.
Line 2d:	Indicate the primary reason for the correction record.
Line 2h:	Date the PHA initially admitted the family into the program reported in line 1c.
Line 2i:	The projected effective date of the family's next reexamination.
Line 2j:	Public Housing flat rent only. Projected effective date of the next flat rent annual update.
Line 2k:	Indicate if the family currently participates or participated in the Family Self-Sufficiency program in the past year.
Line 2m:	Vouchers only. Indicate if the family receives an Enhanced Voucher or a Welfare to Work Voucher.
Line 2n:	Indicate if the family participates in a special program.
Note:	See Form HUD-50058 Instruction Booklet for a listing of special programs and their abbreviations.
Line 2q-2u:	PHAs may use these lines for any information they wish to collect.
Note:	HUD encourages PHAs to use lines 2q through 2u for local initiatives.

Head of household name	Social Security Number	Date modified (mm/dd/yyyy)

3. Household

3a. Head of Household Member number 01	3b. Last name & Sr., Jr. etc.		3c. First name	3d. MI	3e. Date of birth	3f. Age on effective date of action
	3g. Sex	3h. Relation **H** / 3i. Citizenship	3j. Disability (Y or N)	3k. Race [ ] 1. [ ] 2. [ ] 3. [ ] 4. [ ] 5.		3m. Ethnicity
	3n. Social Security Number		3p. Alien Registration Number A-	3q. Meeting community service or self-sufficiency requirement? (PH only)		
3a. Member number 02	3b. Last name & Sr., Jr. etc.		3c. First name	3d. MI	3e. Date of birth	3f. Age on effective date of action
	3g. Sex	3h. Relation / 3i. Citizenship	3j. Disability (Y or N)	3k. Race [ ] 1. [ ] 2. [ ] 3. [ ] 4. [ ] 5.		3m. Ethnicity
	3n. Social Security Number		3p. Alien Registration Number A-	3q. Meeting community service or self-sufficiency requirement? (PH only)		
3a. Member number 03	3b. Last name & Sr., Jr. etc.		3c. First name	3d. MI	3e. Date of birth	3f. Age on effective date of action
	3g. Sex	3h. Relation / 3i. Citizenship	3j. Disability (Y or N)	3k. Race [ ] 1. [ ] 2. [ ] 3. [ ] 4. [ ] 5.		3m. Ethnicity
	3n. Social Security Number		3p. Alien Registration Number A-	3q. Meeting community service or self-sufficiency requirement? (PH only)		
3a. Member number 04	3b. Last name & Sr., Jr. etc.		3c. First name	3d. MI	3e. Date of birth	3f. Age on effective date of action
	3g. Sex	3h. Relation / 3i. Citizenship	3j. Disability (Y or N)	3k. Race [ ] 1. [ ] 2. [ ] 3. [ ] 4. [ ] 5.		3m. Ethnicity
	3n. Social Security Number		3p. Alien Registration Number A-	3q. Meeting community service or self-sufficiency requirement? (PH only)		
3a. Member number 05	3b. Last name & Sr., Jr. etc.		3c. First name	3d. MI	3e. Date of birth	3f. Age on effective date of action
	3g. Sex	3h. Relation / 3i. Citizenship	3j. Disability (Y or N)	3k. Race [ ] 1. [ ] 2. [ ] 3. [ ] 4. [ ] 5.		3m. Ethnicity
	3n. Social Security Number		3p. Alien Registration Number A-	3q. Meeting community service or self-sufficiency requirement? (PH only)		
3a. Member number 06	3b. Last name & Sr., Jr. etc.		3c. First name	3d. MI	3e. Date of birth	3f. Age on effective date of action
	3g. Sex	3h. Relation / 3i. Citizenship	3j. Disability (Y or N)	3k. Race [ ] 1. [ ] 2. [ ] 3. [ ] 4. [ ] 5.		3m. Ethnicity
	3n. Social Security Number		3p. Alien Registration Number A-	3q. Meeting community service or self-sufficiency requirement? (PH only)		
3a. Member number 07	3b. Last name & Sr., Jr. etc.		3c. First name	3d. MI	3e. Date of birth	3f. Age on effective date of action
	3g. Sex	3h. Relation / 3i. Citizenship	3j. Disability (Y or N)	3k. Race [ ] 1. [ ] 2. [ ] 3. [ ] 4. [ ] 5.		3m. Ethnicity
	3n. Social Security Number		3p. Alien Registration Number A-	3q. Meeting community service or self-sufficiency requirement? (PH only)		

3t. Total number in household	3t.
3u. Family subsidy status under Noncitizens Rule	3u.
3v. Eligibility effective date (mm/dd/yyyy) if qualified for continuation of full assistance (3u=C)	3v.
3w. If new head of household, former head of household's SSN	3w.

3h. Relation codes:
H = head
S = spouse
K = co-head
F = foster child/foster Adult
Y = other youth under 18
E = full-time student 18+
L = live-in aide
A = other adult

3i. Citizenship codes:
EC = eligible citizen
EN = eligible noncitizen
IN = ineligible noncitizen
PV = pending verification

3k. Race codes:
1 = White
2 = Black/African American
3 = American Indian/Alaska Native
4 = Asian
5 = Native Hawaiian/Other Pacific Islander

3m. Ethnicity codes:
1 = Hispanic or Latino
2 = not Hispanic or Latino

3q. Community service or self-sufficiency codes:
1 = yes
2 = no
3 = pending
4 = exempt
5 = n/a

3u. Family subsidy status codes:
C = qualified for continuation of full assistance
E = eligible for full assistance
F = eligible for full assistance pending verification of status
P = prorated assistance

3.	Household
Note:	Complete for each household member.
Note:	The first family member (member number 01) must be the head of household.
Note:	The household includes everyone who lives in the unit. Household members are used to determine unit size. The family includes all household members except live-in aides and foster children and foster adults. Family members are used to calculate subsidies and payments.
Line 3a:	The member number identifies the individual listed on that line of the Form.
Line 3b:	The last name of each household member. Include name suffixes, such as Jr., and separate with a comma. Do not include name prefixes, such as Ms. or Mr.
Line 3c:	The first name of each household member. Do not include name prefixes, such as Ms. or Mr.
Line 3d:	The middle initial of each household member. If no middle initial, leave blank. If more than one middle initial, only enter one.
Line 3e:	The date of birth for each household member.
Line 3f:	The age in years of each household member on the effective date of action (line 2b).
Line 3g:	Indicate the gender of each household member (M= Male, F= Female).
Line 3h:	Select the code at bottom of the page that best categorizes the relation or role of each household member.
Line 3i:	Select the code at the bottom of page that indicates each household member's United States citizenship status.
Line 3j:	Indicate whether or not the household member has a disability.
Line 3k:	Select the code or codes at the bottom of the page that the family says best indicates each household member's race. Select as many codes as appropriate.
Line 3m:	Select the code at bottom of page and check the box next to the code the family says best indicates each household member's ethnicity.
Line 3n:	Enter the 9-digit Social Security Number (SSN) issued to each household member by the Social Security Administration (SSA).
Note:	If a head of household does not have a SSN, see the Form HUD-50058 Instruction Booklet.
Line 3p:	Enter the Alien Registration Number or A-number issued to each noncitizen household member, if applicable.
Note:	The A-number contains seven, eight or nine numerical digits preceded by the letter A, e. g., A72 735 827. If the A-number has seven digits, enter two zeros before the numbers. If the A-number has eight digits, enter one zero before the numbers. If the A-number has nine digits, enter the number without a leading zero. Do not enter the letter A in any case.
Line 3q:	Public Housing only. Select the code at the bottom of the page to indicate whether the family member met his or her community service or self-sufficiency requirement under PHRA.
Note:	The law requires an average of eight hours of community service per month during the year.
Note:	Use '5' if the community service requirement is not in effect for your particular PHA.
Line 3t:	The total number of people in the household.
Note:	Count all persons. Include foster children or adults, live-in aides, and other unrelated individuals (who reside with the family as part of the household). Also include persons who are members of the household but temporarily absent from the home.
Line 3u:	Select the code on the bottom of the page that indicates the housing assistance eligibility for family members based on the Noncitizens Rule. The Noncitizens Rule allows PHAs to provide financial assistance to U. S. citizens, nationals, and non-U. S. citizens with eligible immigration status.
Note:	If the family's status under the Noncitizens Rule is prorated assistance (3u= P), the family should fill out the applicable prorated rent calculation when determining rent burden.
Line 3v:	Date the family originally qualified for the continuation of full assistance (3u= C).
Line 3w:	If the designated head of household changed due to discontinued occupancy or other cause such as death, marriage, or remarriage and there are family members who remain in the household, enter the former head of household’s Social Security Number (SSN).

Head of household name	Social Security Number	Date modified (mm/dd/yyyy)

4. Background at Admission

4a.	Date (mm/dd/yyyy) entered waiting list	4a.
4b.	ZIP code before admission	4b.
4c.	Homeless at admission? (Y or N)	4c.
4d.	Does family qualify for admission over the very low-income limit? (vouchers only) (Y or N)	4d.
4e.	Continuously assisted under the 1937 Housing Act? (Y or N)	4e.
4f.	Is there a HUD approved income targeting disregard? (Y or N)	4f.

5. Unit to be Occupied on Effective Date of Action

5a.	Unit address			
	Number and street		Apt.	
	City	State	ZIP code (+4)	
5b.	Is mailing address same as unit address? (Y or N) (if yes, skip to 5d)			5b.
5c.	Family's mailing address			
	Number and street		Apt.	
	City	State	ZIP code (+4)	
5d.	Number of bedrooms in unit			5d.
5e.	Has the PHA identified this unit as an accessible unit? (Public Housing only) (Y or N)			5e.
5f.	Has the family requested accessibility features? (Public Housing only) (Y or N) (if no, skip to next section)			5f.

5g. Has the family received requested accessibility features? (Public Housing only)

[ ] a. Yes, fully [ ] b. Yes, partially [ ] c. No, not at all [ ] d. Action pending (can be checked in combination with b. or c.)

5h.	Date (mm/dd/yyyy) unit last passed HQS inspection (Section 8 only, except Homeownership and Project-based Vouchers)	5h.
5i.	Date (mm/dd/yyyy) of last annual HQS inspection (Section 8 only, except Homeownership and Project-based Vouchers)	5i.
5j.	Year (yyyy) unit was built (Section 8 only)	5j.

5k. Structure type (check only one) (Section 8 only)

[ ] Single family detached [ ] Semi-detached [ ] Rowhouse/townhouse

[ ] Low-rise [ ] High rise with elevator [ ] Manufactured home

4:	Background at Admission
Line 4a:	Date the PHA placed the family on the waiting list for the program under which they currently receive housing assistance.
Note:	This date must not be later than effective date of action (line 2b).
Line 4b:	The 5-digit ZIP code (+ 4, if applicable) where the family lived before admission to an assistance program.
Line 4c:	Indicate whether or not the family was homeless at the time the PHA admitted the family to a housing assistance program.
Line 4d:	Vouchers only. Indicate whether or not the family qualified for program admission even though their income exceeds the very low-income limit (50% of the area's median income).
Line 4e:	Indicate whether or not the family is continuously assisted under or currently enrolled in any 1937 Housing Act program at the time of admission.
Line 4f:	Welfare to Work families only. Indicate if the family is disregarded for income targeting under a HUD approved disregard of a portion of welfare to work families.
5:	**Unit to be Occupied on Effective Date of Action**
Line 5a:	The complete address of the housing unit that the household occupies on the effective date of action (line 2b).
Line 5b:	Indicate whether the mailing address is different from the unit address.
Line 5c:	The complete address where the family receives mail, if other than the unit address provided in line 5a.
Note:	Leave this field blank if the mailing address is the same as the unit address.
Line 5d:	Total number of bedrooms in the unit that the household will occupy on the effective date of action (line 2b).
Line 5e:	Public Housing only. Indicate whether or not the unit that the family occupies on the effective date of action (line 2b) is a PHA designated handicapped accessible unit.
Line 5f:	Public Housing only. Indicate whether or not the family requested disability amenities or accessibility features.
Line 5g:	Public Housing only. Indicate the status of the family's request for disability amenities and/or accessibility features (line 5f) on the effective date of action (line 2b).
Line 5h:	Section 8 only, except Homeownership and Project-based Vouchers. The last date the unit passed a full housing quality standards (HQS) inspection.
Line 5i:	Section 8 only, except Homeownership and Project-based Vouchers. The last date a PHA inspector performed a full annual housing quality standards (HQS) inspection of the unit that the household occupies.
Note:	This date may be different from the date unit last passed HQS inspection (line 5h) if the unit failed the last HQS inspection.
Line 5j:	Section 8 only. The year that the unit was built.
Note:	This date is found on the request for tenancy approval form.
Line 5k:	Section 8 only. The building structure type.
Note:	See the Instruction Booklet for descriptions of each housing type.

Head of household name	Social Security Number	Date modified (mm/dd/yyyy)

6. Assets

6a. Family member name	No.	6b. Type of asset	6c. Calculation (PHA use)	6d. Cash value of asset	6e. Anticipated Income
				$	$
				$	$
				$	$
				$	$
				$	$
				$	$
				$	$
				$	$
6f, 6g. Column totals				$ 6f.	$ 6g.
6h. Passbook rate (written as decimal)					0. _____ 6h.
6i. Imputed asset income: 6f X 6h (if 6f is $5,000 or less, put 0)					$ 6i.
6j. Final asset income: larger of 6g or 6i					$ 6j.

7. Income

7a. Family member name	No.	7b. Income Code	7c. Calculation (PHA use)	7d. Dollars per year	7e. Income exclusions	7f. Income after exclusions (7d minus 7e)
				$	$	$
				$	$	$
				$	$	$
				$	$	$
				$	$	$
				$	$	$
				$	$	$
				$	$	$
				$	$	$
				$	$	$
				$	$	$
				$	$	$
7g. Column total						$ 7g.
7h. Reserved						
7i. Total annual income: 6j + 7g						$ 7i.

7b: Income Codes		
Wages: B = own business F = federal wage HA = PHA wage M = military pay W = other wage	**Welfare:** G = general assistance IW = annual imputed welfare income T = TANF assistance **SS/SSI/Pensions:** P = pension S = SSI SS = Social Security	**Other Income Sources:** C = child support E = medical reimbursement I = Indian trust/per capita N = other nonwage sources U = unemployment benefits

6:	Assets
Note:	Use a separate line for each family member and asset type.
Line 6a:	The name of each family member in the household that has assets and their Member number (line(s) 3a) that corresponds to the asset information reported.
Line 6b:	List any asset that has a dollar value or provides a source of income to the person listed in column 6a.
Note:	See the Form HUD-50058 Instruction Booklet for an explanation of allowable assets.
Line 6c:	Use this column to perform asset calculations.
Line 6d:	Estimated, known or calculated dollar value of the asset listed.
Line 6e:	Total amount of income the family member expects to receive in the next 12-month period from the asset listed.
Line 6f:	Total of the values listed in column 6d.
Line 6g:	Total of the values listed in column 6e.
Line 6h:	Enter the passbook rate as a decimal.
Note:	The HUD field office determines the Passbook rate of interest for the project locality based on the average interest rate received on a Passbook Savings Account at several banks in the local area.
Line 6i:	Imputed income from assets based on the total dollar value of the asset listed and the Passbook rate of interest.
Note:	If the total cash value of assets is $5,000 or less, enter 0.
Line 6j:	Total amount of household income derived from assets.
7:	**Income**
Note:	If the family members do not have any income from sources other than assets and do not expect any other income in the next 12-month period, leave 7a through 7g blank. Fill in total annual income (line 7i), which would be the total of the asset income.
Line 7a:	The name of each family member in the household that has income and their Member number (line(s) 3a) that corresponds to the income information reported.
Line 7b:	Use one or two letter code at bottom of page that represents the type of income for a family member.
Note:	See the Form HUD-50058 Instruction Booklet for a detailed description of each income code.
Line 7c:	Use this column to perform income calculations.
Line 7d:	Yearly income amount the family member receives from the income source(s) listed.
Note:	See the Form HUD-50058 Instruction Booklet for a description of each income source.
Line 7e:	Income excluded from annual income calculations.
Note:	Includes income disallowance and individual savings accounts (ISA) for Public Housing.
Note:	See the Form HUD-50058 Instruction Booklet for a description of each income exclusion.
Line 7f:	The family's total income minus any exclusions. Take dollars per year (line 7d) minus income exclusions (line 7e).
Line 7g:	The total of the dollar amounts listed in column 7f.
Line 7h:	Reserved for future HUD use.
Line 7i:	The family's total annual income. Add the final asset income (line 6j) and the total income after income exclusions (line 7g).

Head of household name	Social Security Number	Date modified (mm/dd/yyyy)

8. Expected Income Per Year

8a.	Total annual income: copy from 7i	$ 8a.

Permissible Deductions (Public Housing Only. If Section 8, Skip to 8f or 8q)

8b. Family member name	No.	8c. Type of permissible deduction	8d. Amount
			$
			$
			$
			$
			$
			$

8e.	Total permissible deductions (sum of column 8d)	$ 8e.

If head/spouse/co-head is under 62 and no family member is disabled, skip to 8q

8f.	Medical/disability threshold: 8a X 0.03		$ 8f.
8g.	Total annual unreimbursed disability assistance expense (if no disability expenses, skip to 8k)		$ 8g.
8h.	Maximum disability allowance: If 8g minus 8f is positive or zero, put amount		$ 8h.
		If negative and head/spouse/co-head is under 62 and not disabled, put 0	$ 8h.
		If negative and head/spouse/co-head is elderly or disabled, copy from 8g	$ 8h.
8i.	Earnings in 7d made possible by disability assistance expense		$ 8i.
8j.	Allowable disability assistance expense: lower of 8h or 8i (if 8g is less than 8f and head/spouse/co-head elderly or disabled, copy from 8h)		$ 8j.
8k.	Total annual unreimbursed medical expenses (if head/spouse/co-head under 62 and not disabled, put 0)		$ 8k.
8m.	Total annual disability assistance and medical expense: 8j + 8k (if no disability expenses, copy from 8k)		$ 8m.
8n.	Medical/disability assistance allowance:	If no disability assistance expenses or if 8g is less than 8f, put 8m minus 8f (if 8m minus 8f is negative, put zero)	$ 8n.
		If disability assistance expenses and 8g is greater than or equal to 8f, copy from 8m	$ 8n.
8p.	Elderly/disability allowance (default = $400)		$ 8p.
8q.	Number of dependents (people under 18, or with disability, or full-time student. Do not count head of household, spouse, co-head, foster child/adult, or live-in aide.)		$ 8q.
8r.	Allowance per dependent (default = $480)		$ 8r.
8s.	Dependent allowance: 8q X 8r		$ 8s.
8t.	Total annual unreimbursed childcare costs		$ 8t.
8x.	Total allowances: 8e + 8n + 8p + 8s + 8t		$ 8x.
8y.	Adjusted annual income: 8a minus 8x (if 8x is larger, put 0)		$ 8y.

8:	Expected Income Per Year
Line 8a:	The family's total annual family income. Copy from 7i.
Line 8b:	Public Housing only. The name of each family member in the household, and their individual Member number as provided in line(s) 3a that corresponds to the income information reported.
Line 8c:	Public Housing only. The type of permissible deduction as determined by the PHA.
Line 8d:	Public Housing only. The amount of the permissible deduction.
Line 8e:	Public Housing only. The total of the dollar amounts (permissible deductions) listed in column 8d.
Note:	If the head of household and spouse or co-head are under age 62, and there are no family members with a disability, skip to line 8q. Otherwise, enter all medical expense information for the entire family in lines 8f through 8n.
Line 8f:	Amount of unreimbursed medical and disability expenses that the family must pay before the PHA can deduct an allowance for such expenses from their income. Multiply 0.03 by total annual income (line 8a).
Line 8g:	The family's total annual unreimbursed disability expenses.
Line 8h:	The amount the PHA may potentially deduct for the family's disability expenses. Subtract the medical/ disability threshold (line 8f) from the total unreimbursed disability assistance expenses (line 8g).
Note:	If the maximum disability allowance is negative and head/spouse/co-head is under 62 and not disabled, enter 0.
Note:	If the maximum disability allowance is negative and head/spouse/co-head is elderly or disabled, copy the total unreimbursed disability assistance expenses (line 8g).
Line 8i:	Of a family's dollars per year listed in line 7d, determine the earned amount made possible by the unreimbursed disability expenses the family incurs.
Line 8j:	The total disability assistance expense amount the family may deduct. Lower of the maximum disability allowance (line 8h) or the earnings made possible by disability assistance expense (line 8i).
Note:	If the total unreimbursed disability assistance expense (line 8g) is less than the medical/disability threshold (line 8f), and head/spouse/co-head is elderly or disabled, copy the maximum disability allowance (line 8h).
Line 8k:	The total annual amount of the family's medical expenses that another source does not reimburse (e. g., co-payments for medical insurance).
Note:	If the head/spouse/co-head is under 62 and not disabled, enter 0.
Line 8m:	The amount of the family's total disability assistance (line 8j) and medical expenses (line 8k).
Note:	If no disability expenses, copy the total unreimbursed medical expenses (line 8k).
Line 8n:	The amount of the family's allowance for medical expenses and disability assistance expenses.
Note:	If the family does not have any disability assistance expenses or if the total unreimbursed disability assistance expenses (line 8g) is less than the medical/disability threshold (line 8f), enter the total disability assistance and medical expenses (line 8m) minus the medical/disability threshold (line 8f). If the difference is negative, put zero.
Note:	If disability assistance expense and the total unreimbursed disability assistance expense (line 8g) are greater than or equal to the medical/disability threshold (line 8f), copy the total disability assistance and medical expenses (line 8m).
Line 8p:	The family's standard allowance amount if the head of household or spouse or co-head is elderly (age 62 or over), or disabled. The current allowance is $400.
Line 8q:	The total number of dependents who live in the household and are under 18 years of age, or have a disability, or are full-time students of any age.
Line 8r:	Standard allowance amount for each dependent in the household.
Note:	The current allowance per dependent is $480.
Line 8s:	The amount of the family's dependent allowance. Multiply the number of dependents (line 8q) in the household by the standard allowance per dependent amount (line 8r).
Line 8t:	The household's total yearly unreimbursed childcare expenses.
Note:	This is the estimated amount a family expects to pay for childcare during the annual income period.
Line 8x:	The total amount of all of the family's allowances. Enter the sum of lines 8e, 8n, 8p, 8s, and 8t.
Line 8y:	The family's adjusted annual income. Subtract total allowances (line 8x) from total annual income (line 8a).
Note:	If 8x is larger, put 0.

Head of household name	Social Security Number	Date modified (mm/dd/yyyy)

9. Total Tenant Payment (TTP)

9a.	Total monthly income: 8a ÷ 12	$	9a.
9c.	TTP if based on annual income: 9a X 0.10	$	9c.
9d.	Adjusted monthly income: 8y ÷ 12	$	9d.
9e.	Percentage of adjusted monthly income: use 30% for Section 8		9e.
9f.	TTP if based on adjusted annual income: (9d X 9e) ÷ 100	$	9f.
9g.	Welfare rent per month (if none, put 0)	$	9g.
9h.	Minimum rent (if waived, put 0)	$	9h.
9i.	Enhanced Voucher minimum rent	$	9i.
9j.	TTP, highest of lines 9c, 9f, 9g, 9h, or 9i	$	9j.
9k.	Most recent TTP	$	9k.
9m.	Qualify for minimum rent hardship exemption? (Y or N)	$	9m.

9:	Total Tenant Payment (TTP)
Line 9a:	Divide total annual income (line 8a) by 12 to get total monthly income.
Line 9c:	Multiply total monthly income (line 9a) by 0.10 to get total tenant payment (TTP) based on annual income.
Line 9d:	Divide adjusted annual income (line 8y) by 12 to get adjusted monthly income.
Line 9e:	Percentage of adjusted monthly income used to determine total tenant payment (TTP).
Note:	Use 30% for Section 8.
Line 9f:	Multiply the adjusted monthly income (line 9d) by percentage of adjusted monthly income (line 9e) and divide by 100 to get total tenant payment (TTP) based on adjusted monthly income.
Line 9g:	The amount the welfare assistance agency specifically designates for shelter and utilities if the family receives welfare assistance. The welfare assistance agency may adjust this amount in accordance with the actual cost of shelter and utilities.
Note:	If no welfare rent, put 0.
Line 9h:	Enter the PHA established monthly minimum rent amount. The PHA may require the tenant to pay a minimum rent amount up to $50.
Note:	If the PHA waived this payment because of financial hardship, enter 0.
Line 9i:	Enhanced Vouchers only. Enter the monthly rent that the family was paying on the date of the 'eligibility event' for the project.
Line 9j:	The total tenant payment (TTP). The highest amount listed in the lines 9c, 9f, 9g, 9h, or 9i.
Line 9k:	The most recent total tenant payment (TTP) amount for the family.
Note:	This amount is only available if the family previously lived in subsidized housing.
Line 9m:	Indicate if the family qualifies for a minimum rent hardship exemption.
Note:	Under PHRA, a family does not have to pay the PHA established minimum rent if they qualify for a financial hardship exemption.

Head of household name	Social Security Number	Date modified (mm/dd/yyyy)

10. Public Housing and Turnkey III

10a.	TTP: copy from 9j		$	10a.
10b.	Unit's flat rent (see Instruction Booklet for prorated flat rent calculation)		$	10b.
Income Based Rent Calculation (if prorated rent, skip to 10h)				
10c.	Income based ceiling rent, if any		$	10c.
10d.	Lower of TTP or income based ceiling rent (if no income based ceiling rent, put 10a)		$	10d.
10e.	Utility allowance, if any		$	10e.
10f.	Tenant rent: 10d minus 10e	If positive or 0, put tenant rent	$	10f.
		If negative, credit tenant	$	10f.
Income Based Prorated Rent Calculation (if not prorated, skip to 10u)				
10h.	Public Housing maximum rent		$	10h.
10i.	Family maximum subsidy: 10h minus 10a		$	10i.
10j.	Total number eligible			10j.
10k.	Total number in family			10k.
10n.	Eligible subsidy (10i ÷ 10k) X 10j		$	10n.
10p.	Mixed family TTP: 10h minus 10n		$	10p.
10r.	Utility allowance, if any		$	10r.
10s.	Mixed family tenant rent: 10p minus 10r	If positive or 0, put tenant rent	$	10s.
		If negative, credit tenant	$	10s.
Type of Rent				
10u.	Type of rent selected: [ ] Income based [ ] Flat			

10:	Public Housing
Note:	Complete if the family participates in the Public Housing program (line 1c=P) or the Turnkey III program (line 1c= P) and the type of action is New Admission (2a= 1), Annual Reexamination (2a= 2), Interim Reexamination (2a= 3), or Other Change of Unit (2a= 7).
Line 10a:	The total tenant payment (TTP). Copy from 9j.
Line 10b:	Flat rent dollar amount.
Note:	Flat rent is set by the unit size and building.
Note:	If a PHA uses the income based ceiling rent amount for flat rent, input the income based ceiling rent amount in this line.
Note:	See the Instruction Booklet for the prorated flat rent calculation.
Line 10c:	The highest rent amount the PHA will require a family to pay for a particular unit size.
Note:	If no income based ceiling rent, enter 0.
Line 10d:	The lesser amount of either the total tenant payment (TTP) (line 10a) or income based ceiling rent (line 10c).
Note:	If there is no income based ceiling rent, enter the TTP (line 10a).
Line 10e:	If the payment does not include all utilities, the monthly allowance amount for tenant supplied utilities that apply to the family occupied unit.
Note:	If there is no utility allowance, enter 0.
Line 10f:	The rent amount the family pays to the owner after deducting the utility allowance (line 10e) from the lower rent (line 10d) or the total credit amount the family receives to pay utilities.
Line 10h:	The maximum rent. To calculate the maximum rent, list the total tenant payments (TTP) paid by all tenants in this size unit in the PHA's jurisdiction from largest to smallest, then take the TTP that falls at the 95th percentile.
Line 10i:	Maximum amount of rent subsidy available to the family. Subtract total tenant payment (TTP) (line 10a) from the Public Housing maximum rent (line 10h).
Line 10j:	The total number of family members eligible for rent subsidy based on the Noncitizens Rule.
Line 10k:	The total number of family members in the household.
Note:	Include all family members, including ineligible noncitizen family members (3i= IN). Do not include live-in aides or foster children/adults.
Line 10n:	The total amount of rent subsidy for which the family is eligible. Divide family maximum subsidy (line 10i) by the total number in the family (line 10k) and multiply the product by the total number eligible (line 10j).
Line 10p:	The mixed family total tenant payment (TTP) for the unit based on the proration calculation. Public Housing maximum rent (line 10h) minus eligible subsidy (line 10n).
Line 10r:	If the payment does not include all utilities, the monthly allowance amount for tenant supplied utilities that apply to the family occupied unit.
Note:	If there is no utility allowance, enter 0.
Line 10s:	The rent amount the family pays to the owner after deducting the utility allowance (line 10r) from the mixed family total tenant payment (TTP) (line 10p), or the total credit amount the family receives to pay for utilities.
Line 10u:	Indicate whether the family selected an income based rent or a flat rent.

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11. Section 8: Project Based Certificates and Vouchers

11b.	Is family now moving to this unit? (Y or N)			11b
11d.	Did family move into your PHA jurisdiction under portability? (Y or N) (if no, skip to 11g)			11c.
11e.	Cost billed per month (put 0 if absorbed)		$	11e.
11f.	PHA code billed			11f.
11g.	Housing type: ☐ Group Home (prorate gross rent) ☐ SRO: 1 room occupied by 1 person			
11h.	Owner name			11h.
11i.	Owner TIN/SSN			11i.
11k.	Contract rent to owner (if unit has other subsidy, put subsidized rent)		$	11k.
11m.	Utility allowance, if any		$	11m.
11n.	Gross rent of unit: 11k + 11m		$	11n.
11q.	TTP: copy from 9j		$	11q.

Rent Calculation (if prorated rent, skip to 11aa)

11r.	Total HAP: 11n minus 11q. If 11q is larger, put 0		$	11r.
11s.	Tenant rent: 11k minus 11r	If positive or 0, put tenant rent	$	11s.
		If negative, credit tenant	$	11s.
11t.	HAP to owner: lower of 11k or 11r		$	11t.

Prorated Rent Calculation

11aa.	Normal total HAP: 11n minus 11q		$	11aa.
11ae.	Total number eligible			11ae.
11af.	Total number in family			11af.
11ag.	Proration percentage: 11ae ÷ 11af			11ag.
11ah.	Prorated total HAP: 11aa X 11ag		$	11ah.
11ai.	Mixed family TTP: 11n minus 11ah		$	11ai.
11aj.	Utility allowance: copy from 11m		$	11aj.
11ak.	Mixed family tenant rent: 11ai minus 11aj	If positive or 0, put tenant rent	$	11ak.
		If negative, credit tenant	$	11ak.
11an.	Prorated HAP to owner: 11k minus 11ak (if 11ak is negative, put 11k)		$	11an.

11:	Section 8: Project Based Certificates and Vouchers
Note:	Complete if the family participates in the Project Based Certificates program (1c= CE) or the Project Based Voucher program (1c= VO) and the type of action is New Admission (2a= 1), Annual Reexamination (2a= 2), Interim Reexamination (2a= 3), Portability Move-in (2a= 4), or Other Change of Unit (2a= 7).
Line 11b:	Indicate if the family is now moving into the unit.
Line 11d:	Indicate whether or not the household will move or has moved into the PHA's jurisdiction under portability.
Line 11e:	Monthly amount billed to the initial PHA for the family's housing assistance payment (HAP), on-going administrative fee, and any utility reimbursement to the family.
Note:	Enter 0 if the family was absorbed by the receiving PHA.
Line 11f:	The initial PHA's 2-letter state code and 3-digit identification number.
Note:	For help obtaining the initial PHA's identification number, contact the appropriate HUD field office, the HA Profiles Web Site within PIC or the PIC Help Hotline at 1-800-366-6827.
Line 11g:	Check the housing type that applies to the family's housing unit.
Line 11h:	The Section 8 unit owner's legal name.
Line 11i:	Tax identification number (TIN) or Social Security Number (SSN) of the legal unit owner.
Line 11k:	Total monthly rent amount paid to the unit owner under the lease, or other subsidized rent amount.
Line 11m:	If the payment does not include all utilities, the monthly allowance amount for tenant supplied utilities that apply to the family occupied unit.
Line 11n:	To get the unit's total monthly rent amount, or gross rent, add the contract rent to owner (line 11k) and the utility allowance (line 11m).
Line 11q:	The total tenant payment (TTP). Copy from 9j.
Line 11r:	Total housing assistance payment (HAP), which is composed of the gross rent of unit (line 11n) minus total tenant payment (TTP) (line 11q).
Line 11s:	The rent amount the family pays to the owner after deducting the total housing assistance payment (HAP) (line 11r) from the contract rent to owner (line 11k), or the total credit amount the family receives to pay utilities.
Line 11t:	The amount of the housing assistance payment (HAP) to the unit owner. The lower amount of the contract rent to owner (line 11k) or total HAP (line 11r).
Line 11aa:	Amount of the normal total housing assistance payment. Subtract total tenant payment (TTP) (line 11q) from gross rent (line 11n).
Line 11ae:	Total number of family members eligible for a rent subsidy based on the Noncitizens Rule.
Line 11af:	Total number of family members in household.
Note:	Include all family members, including ineligible noncitizen family members (3i= IN). Do not include live-in aides or foster children/adults.
Line 11ag:	Percentage of family eligible for rent subsidy. Divide total number eligible (line 11ae) by total number in family (line 11af).
Line 11ah:	Total prorated housing assistance payment (HAP). Multiply normal total HAP (line 11aa) by proration percentage (line 11ag).
Line 11ai:	Total tenant payment (TTP) for the unit based on the proration calculation. Gross rent of unit (line 11n) minus prorated total housing assistance payment (HAP) (line 11ah).
Line 11aj:	Monthly allowance amount for tenant supplied utilities if the payment does not include all utilities. Copy from line 11m.
Line 11ak:	The rent amount the family pays to the owner after deducting the utility allowance (line 11aj) from the mixed family total tenant payment (TTP) (line 11ai), or the total credit amount the family receives to pay utilities.
Line 11an:	The total prorated housing assistance payment (HAP) to the unit owner. Subtract the mixed family tenant rent (line 11ak) from the contract rent to owner (line 11k).
Note:	If the mixed family tenant rent (line 11ak) is negative, enter the contract rent to owner (line 11k).

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12. Housing Choice Vouchers: Tenant Based Vouchers

12a.	Number of bedrooms on Voucher		12a.
12b.	Is family now moving to this unit? (Y or N)		12b.
12c.	Does the family qualify as a Hard to House family? (Y or N)		12c.
12d.	Did family move into your PHA jurisdiction under portability? (Y or N) (if no, skip to 12g)		12d.
12e.	Cost billed per month (put 0 if absorbed)		$ 12e.
12f.	PHA code billed		12f.
12g.	Housing type: [ ] Group Home (prorate gross rent) [ ] Own manufactured home, lease space [ ] SRO: 1 room occupied by 1 person		
12h.	Owner name		12h.
12i.	Owner TIN/SSN		12i.
12j.	Payment standard for the family		$ 12j.
12k.	Rent to owner		$ 12k.
12m.	Utility allowance, if any		$ 12m.
12p.	Gross rent of unit: 12k + 12m (or Space Rent)		$ 12p.
12q.	Lower of 12j or 12p		$ 12q.
12r.	TTP: copy from 9j		$ 12r.
12s.	Total HAP: 12q minus 12r		$ 12s.

Rent Calculation (if prorated rent, skip to 12ab)

12t.	Total family share: 12p minus 12s		$ 12t.
12u.	HAP to owner: lower of 12k or 12s		$ 12u.
12v.	Tenant rent to owner: 12k minus 12u		$ 12v.
12w.	Utility reimbursement to family: 12s minus 12u, but do not exceed 12m		$ 12w.

Prorated Rent Calculation

12ab.	Normal total HAP: copy from 12s, but do not exceed 12p		$ 12ab.
12ac.	Total number eligible		12ac.
12ad.	Total number in family		12ad.
12ae.	Proration percentage: 12ac ÷ 12ad		$ 12ae.
12af.	Prorated total HAP: 12ab X 12ae		$ 12af.
12ag.	Mixed family total family contribution: 12p minus 12af		$ 12ag.
12ah.	Utility allowance: copy from 12m		$ 12ah.
12ai.	Mixed family tenant rent to owner: 12ag minus 12ah	If positive or 0, put tenant rent	$ [ ] 12ai.
		If negative, credit tenant	$ 12ai.
12aj.	Prorated HAP to owner: 12k minus 12ai. If 12ai is negative, put 12k		$ 12aj.

12:	Housing Choice Vouchers: Tenant Based Vouchers
Note:	Complete if the family participates in the Tenant-based Voucher program (1c= VO) and type of action is New Admission (2a= 1), Annual Reexamination (2a= 2), Interim Reexamination (2a= 3), Portability Move-in (2a= 4), or Other Change of Unit (2a= 7).
Line 12a:	Unit size (number of bedrooms) listed on the family's Voucher.
Line 12b:	Indicate if the family is now moving into the unit.
Line 12c:	Indicate whether or not the family qualifies as Hard to House. A family qualifies as Hard to House if there are three or more minors or if there is a disabled family member and the family is moving to a different unit.
Line 12d:	Indicate whether or not the household will move or has moved into the PHA's jurisdiction under portability.
Line 12e:	Monthly amount billed to the initial PHA for the family's housing assistance payment (HAP) amount, on-going administrative fee, and any utility reimbursement to the family.
Note:	Enter 0 if the family was absorbed by the receiving PHA.
Line 12f:	The initial PHA's 2-letter state code and 3-digit identification number.
Note:	For help obtaining the initial PHA's identification number, contact the appropriate HUD field office, the HA Profiles Web Site within PIC or the PIC Help Hotline at 1-800-366-6827.
Line 12g:	Check the housing type that applies to the family's housing unit.
Line 12h:	The unit owner's legal name.
Line 12i:	Tax identification number (TIN) or Social Security Number (SSN) of the legal unit owner.
Line 12j:	Enter maximum monthly assistance payment for a family assisted in the Voucher program.
Line 12k:	Total monthly rent payable to the unit owner under the lease for the contract unit.
Line 12m:	If the payment does not include all utilities, the monthly allowance amount for tenant supplied utilities that apply to the family occupied unit.
Line 12p:	Gross rent of unit or space rent. Add rent to owner (line 12k) to the utility allowance (line 12m).
Line 12q:	Lower of Voucher payment standard for family (line 12j) or gross rent of unit (line 12p).
Line 12r:	Total tenant payment (TTP). Copy from 9j.
Line 12s:	Total housing assistance payment (HAP), which is composed of the lower of the payment standard for the family or gross rent (line 12q) minus total tenant payment (TTP) (line 12r).
Line 12t:	Amount the family contributes toward rent and utilities. Subtract total housing assistance payment (HAP) (line 12s) from gross rent of unit (line 12p).
Line 12u:	The amount of the housing assistance payment (HAP) to the unit owner. The lower of the rent to owner (line 12k) or total HAP (line 12s).
Line 12v:	Rent amount the family pays to the owner after deducting the housing assistance payment (HAP) to owner (line 12u) from the rent to owner (line 12k).
Line 12w:	The utility reimbursement to the family from the PHA. Subtract housing assistance payment (HAP) to owner (line 12u) from total HAP (line 12s), but do not exceed the utility allowance (line 12m).
Line 12ab:	The amount of the normal total housing assistance payment (HAP).
Line 12ac:	Total number of family members eligible for rent subsidy based on the Noncitizens Rule.
Line 12ad:	Total number of family members in household.
Note:	Include all family members, including ineligible noncitizen family members (3i= IN). Do not include live-in aides or foster children/adults.
Line 12ae:	Percentage of family eligible for rent subsidy. Divide total number eligible (line 12ac) by total number in the family (12ad).
Line 12af:	Multiply total normal housing assistance payment (HAP) (line 12ab) by the proration percentage (line 12ae).
Line 12ag:	The mixed family total family contribution based on the proration calculation. Take the gross rent of unit (line 12p) minus prorated total housing assistance payment (HAP) (line 12af).
Line 12ah:	If the payment does not include all utilities, the monthly allowance amount for tenant supplied utilities that apply to the family occupied unit.
Line 12ai:	The rent amount the family pays to the owner after subtracting the utility allowance (line 12ah) from the mixed family total family contribution (line 12ag); or the total credit amount the family receives to pay for utilities.
Line 12aj:	The total prorated amount of the housing assistance payment (HAP) to the unit owner. Subtract the mixed family tenant rent to owner (line 12ai) from the rent to owner (line 12k).
Note:	If the mixed family tenant rent to owner (line 12ai) is negative, enter the rent to owner (line 12k).

13. Section 8: Moderate Rehabilitation (Mod Rehab)

13a.	HAP contract number [ ] [ ] – [ ] [ ] [ ] – [ ] R [ ] [ ] [ ] [ ] – [ ] [ ] [ ] [ ]			13a.
13b.	Mod Rehab SRO Program for homeless? (Y or N)			13b.
13c.	Mod Rehab SRO unit (not homeless program)? (Y or N)			13c.
13d.	Owner name			13d.
13e.	Owner TIN/SSN			13e.
13f.	Current base rent		**$**	13f.
13g.	Rehabilitation debt service		**$**	13g.
13h.	Contract rent to owner: 13f + 13g		$	13h.
13i.	Utility allowance, if any		$	13i.
13j.	TTP: copy from 9j		$	13j.

Rent Calculation (if prorated, skip to 13p)

13k.	Tenant rent: 13j minus 13i (if 13j is greater than 13h + 13i, put 13h)	If positive or 0, put tenant rent	$	13k.
		If negative, credit tenant	$	13k.
13m.	HAP to owner: 13h minus 13k (if 13k is negative, put 13h)		$	13m.

Prorated Rent Calculation

13p.	Gross rent: 13h + 13i		$	13p.
13q.	Normal total HAP: 13p minus 13j		$	13q.
13r.	Total number eligible			13r.
13s.	Total number in family			13s.
13t.	Proration percentage: 13r ÷ 13s			13t.
13u.	Prorated total HAP: 13q X 13t		$	13u.
13v.	Mixed family TTP: 13p minus 13u		$	13v.
13w.	Utility allowance: copy from 13i		$	13w.
13x.	Mixed family tenant rent: 13v minus 13w	If positive or 0, put tenant rent	$	13x.
		If negative, credit tenant	$	13x.
13z.	Prorated HAP to owner: 13h minus 13x (if 13x is negative, put 13h)		$	13z.

13:	Section 8: Moderate Rehabilitation (Mod Rehab)
Note:	Complete if the family participates in the Moderate Rehabilitation program (1c= MR) and type of action is New Admission (2a= 1), Annual Reexamination (2a= 2), Interim Reexamination (2a= 3), or Other Change of Unit (2a= 7).
Line 13a:	The housing assistance payment (HAP) contract number. Include the sequence number for each HAP contract. Note: The HAP contract sequence number identifies the particular HAP contract as under the project (funding increment).
Line 13b:	Indicate whether the family's unit is in a Single-Room Occupancy (SRO) project under the SRO Program for Homeless Individuals.
Line 13c:	Indicate whether the family's unit is a Single-Room Occupancy (SRO) unit, but not under the SRO Program for Homeless Individuals.
Line 13d:	The Section 8 unit owner's legal name.
Line 13e:	Tax identification number (TIN) or Social Security Number (SSN) of the legal unit owner.
Line 13f:	The current base rent for the unit that reflects the most recent rent adjustment.
Line 13g:	The owner's current monthly rehabilitation debt service payments for the unit.
Line 13h:	The monthly rent amount paid to the Mod Rehab unit owner as specified in the housing assistance payment (HAP) contract. Add the current base rent (line 13f) to any monthly rehabilitation debt service (line 13g).
Line 13i:	If the payment does not include all utilities, the monthly allowance amount for tenant supplied utilities that apply to the family occupied unit.
Line 13j:	The total tenant payment (TTP). Copy from 9j.
Line 13k:	The rent amount the family pays to the owner after deducting the utility allowance (line 13i) from the total tenant payment (TTP) (line 13j); or the total credit amount the family receives to pay for utilities.
Line 13m:	The amount of the housing assistance payment (HAP) to the unit owner. Subtract the tenant rent (line 13k) from the contract rent to owner (line 13h).
Note:	If the tenant rent (line 13k) is negative, enter the contract rent to owner (line 13h).
Line 13p:	The unit's total monthly rent amount. Add the contract rent to owner (line 13h) to the utility allowance (line 13i).
Line 13q:	The amount of the normal total housing assistance payment (HAP). Subtract total tenant payment (TTP) (line 13j) from the gross rent (line 13p).
Line 13r:	Total number of family members eligible for rent subsidy based on the Noncitizens Rule.
Line 13s:	Total number of family members in household.
Note:	Include all family members, including ineligible noncitizen family members (3i= IN). Do not include live-in aides or foster children/adults.
Line 13t:	Percentage of family eligible for rent subsidy. Divide the total number eligible (line 13r) by the total number in family (line 13s).
Line 13u:	The prorated housing assistance payment (HAP). Multiply the normal total HAP (line 13q) by the proration percentage (line 13t).
Line 13v:	The mixed family total tenant payment (TTP). Subtract the prorated total housing assistance payment (HAP) (line 13u) from the gross rent (line 13p).
Line 13w:	If the payment does not include all utilities, the monthly allowance amount for tenant supplied utilities that apply to the family occupied unit.
Line 13x:	The rent amount the family pays to the owner after deducting the utility allowance (line 13w) from the mixed family total tenant payment (TTP) (line 13v); or the total credit amount the family receives to pay for utilities.
Line 13z:	The total prorated amount of the housing assistance payment (HAP) to the unit owner. Subtract the mixed family tenant rent (line 13x) from the contract rent to owner (line 13h).

Head of household name	Social Security Number	Date modified (mm/dd/yyyy)

15. Homeownership Vouchers

15a.	Is family now moving to this home? (Y or N)		15a.
15b.	Date (mm/dd/yyyy) of initial HQS inspection		15b.
15c.	Did family move into your PHA jurisdiction under portability? (Y or N) (if no, skip to15f)		15c.
15d.	Cost billed per month (put 0 if absorbed)	$	15d.
15e.	PHA code billed		15e.
15f.	Monthly homeownership payment (PITI & MIP if applicable)	$	15f.
15g.	Utility allowance	$	15g.
15h.	Monthly maintenance allowance	$	15h.
15i.	Monthly major repair/replacement allowance	$	15i.
15j.	Monthly Co-op/Condominium assessments	$	15j.
15k.	Monthly principal and interest on debt for improvements, if any	$	15k.
15m.	Gross homeownership expense: 15f + 15g + 15h + 15i + 15j + 15k	$	15m.
15n.	Payment standard for family	$	15n.
15p.	Lower of 15m and 15n	$	15p.
15q.	TTP: copy from 9j	$	15q.
15r.	HAP: 15p minus 15q (if 15q is larger, put 0)	$	15r.
Subsidy Calculation (if prorated, skip to 15aa)			
15s.	Total family share: 15m minus 15r	$	15s.
Prorated Subsidy Calculation			
15aa.	Normal total HAP: copy from 15r	$	15aa.
15ab.	Total number eligible		15ab.
15ac.	Total number in family		15ac.
15ad.	Proration percentage: 15ab ÷ 15ac		15ad.
15ae.	Prorated HAP: 15aa X 15ad	$	15ae.
15af.	Mixed family total family share: 15m minus 15ae	$	15af.

15.	Homeownership Vouchers
Note:	Complete if program type is Homeownership (line 1c= VO) and type of action is New Admission (2a= 1), Annual Reexamination (2a= 2), Interim Reexamination (2a= 3), Portability Move-in (2a= 4), or Other Change of Unit (2a= 7).
Line 15a:	Indicate if the family is now moving into the home.
Line 15b:	Date of the initial housing quality standards (HQS) inspection.
Line 15c:	Indicate whether or not the household will move or has moved into the PHA's jurisdiction under portability.
Line 15d:	Monthly amount billed to the initial PHA for the family's housing assistance payment (HAP) amount, on-going administrative fee, and any utility reimbursement to the family.
Note:	Enter 0 if the family was absorbed by the receiving PHA.
Line 15e:	The initial PHA's 2-letter state code and 3-digit identification number.
Note:	For help obtaining the initial PHA's identification number, contact the appropriate HUD field office, the HA Profiles Web Site within PIC or the PIC Help Hotline at 1-800-366-6827.
Line 15f:	The monthly homeownership cost.
Note:	Includes principal and interest on initial mortgage debt, taxes and insurance (PITI) and any mortgage insurance premium (MIP), if applicable.
Line 15g:	The PHA's utility allowance for the unit.
Line 15h:	The amount of PHA's allowance for the homeowner's monthly routine maintenance costs.
Line 15i:	The amount of the PHA's allowance for the homeowner’s major home repairs and replacements.
Line 15j:	If applicable, enter co-op occupancy charges or condominium association assessments.
Line 15k:	The amount of principal and interest for debt associated with home improvements on the unit.
Line 15m:	Calculation of tenant's total cost of homeownership. Sum of 15f through 15k.
Line 15n:	Enter the lower of the payment standard for the unit size as indicated on the family's Voucher or the payment standard for the unit size that the family actually owns.
Line 15p:	The lower of gross homeownership expense (line 15m) and the payment standard for the family (line 15n).
Line 15q:	Total tenant payment (TTP). Copy from 9j.
Line 15r:	The amount of monthly homeownership assistance payment (HAP). Subtract total tenant payment (TTP) (line 15q) from the lower of 15m and 15n (line 15p).
Note:	If the TTP (line 15q) is larger, enter 0.
Line 15s:	Total amount the family contributes toward homeownership. Subtract housing assistance payment (HAP) (line 15r) from gross homeownership expense (line 15m).
Line 15aa:	The amount of the normal total housing assistance payment.
Line 15ab:	Total number of family members eligible for homeownership subsidy based on the Noncitizens Rule.
Line 15ac:	Total number of family members in the household.
Note:	Include all family members, including ineligible noncitizen family members (3i= IN). Do not include live-in aides or foster children/adults.
Line 15ad:	Percentage of family eligible for homeownership subsidy. Divide the total number eligible (line 15ab) by the total number in family (line 15ac).
Note:	Do not include live-in aides or foster children and adults. Include ineligible noncitizen family members as part of the total family number.
Line 15ae:	The total prorated amount of the homeownership assistance payment (HAP) to the homeowner. Multiply normal total HAP (line 15aa) by the proration percentage (line 15ad).
Line 15af:	The mixed family total family contribution based on the proration calculation. Subtract the prorated housing assistance payment (HAP) (line 15ae) from the gross homeownership expense (line 15m).

Head of household name	Social Security Number	Date modified (mm/dd/yyyy)

17. Family Self-Sufficiency (FSS)/ Welfare to Work (WtW) Voucher Addendum

17a.	Participate in special programs? (check all that apply) [ ] FSS [☐] Welfare to Work Voucher	
17b.	FSS report category: (check no more than one) [☐] Enrollment [☐] Progress [☐] Exit	
17c.	FSS effective date (mm/dd/yyyy) of action	17c.
17d.	PHA code of PHA administering FSS contract	17d.
17e.	WtW report category (check no more than one) [☐] Enrollment [☐] Progress [☐] Exit	
17f.	WtW effective date (mm/dd/yyyy) of action	17f.
17g.	(1) PHA code of PHA that issued the WtW Voucher	17g(1).
	(2) PHA code of PHA counting the family as enrolled in its WtW Voucher program (if different from 17g(1))	17g(2).
17h.	General information	
	(1) Current employment status of head of household. Check the box to indicate the head of household's employment status at the time addendum completed. [☐] Full-time (32 hours per week or more) [☐] Part-time [☐] Not employed	
	(2) Date (mm/dd/yyyy) current employment began	17h(2).
	(3) Benefits in current employment: (check all that apply) [☐] Health [☐] Retirement account [☐] Other	
	(4) Years of school completed by the head of household. Enter the highest grade of education or years of formal schooling the head of household completed at the time Addendum is submitted. (0-25)	17h(4).
	(5) Assistance received by the family: (check all that apply) [☐] TANF Income Assistance [☐] General Assistance [☐] Food Stamps [☐] Medicaid/Children's Health Insurance Program [☐] Earned Income Tax Credit	
	(6) Number of children receiving childcare services	17h(6).

17i. Family services table (optional for WtW Voucher)

	(1) Need (Y or N)	(2) Need Met During Participation in Program (Y or N)	(3) Service Provider
Education/Training			
GED			
High school			
Post secondary			
Vocational/Job training			
Job search/job placement			
Job retention			
Transportation			
Health services			
Alcohol and other drug abuse prevention services			
Mentoring			
Homeownership counseling			
Individual Development Account (IDA)			
Child care			
None			

17i (3) Service provider codes:

P = PHA	D = DOL grantee	PR = For profit entity	E = Employer
T = TANF agency	V = Voluntary organization	N = Nonprofit agency	C = Community college

17:	Family Self-Sufficiency (FSS)/ Welfare to Work (WtW) Voucher Addendum
Note:	Complete this section if the family participates in the Family Self-Sufficiency or Welfare to Work Programs.
Line 17a:	Identify if the family participates in a Family Self-Sufficiency (FSS) program, a Welfare to Work (WtW) Voucher program, or both.
Line 17b:	Check one category to indicate the purpose of the FSS Addendum.
Line 17c:	The effective date of the FSS action.
Line 17d:	The PHA code associated with the PHA that provides the FSS services.
Note:	For help obtaining the PHA's identification number, contact the appropriate HUD field office, the HA Profiles Web Site within PIC or the PIC Help Hotline at 1-800-366-6827.
Line 17e:	Check one category to indicate the purpose of the WtW Addendum.
Line 17f:	The effective date of the WtW action.
Line 17g(1):	The PHA code associated with the PHA that issued the WtW Voucher. For unknown issuing PHAs, enter own PHA code.
Line 17g(2):	The PHA code of the PHA counting the family as enrolled.
Note:	Only complete if this PHA code differs from 17g(1).
Line 17h(1):	Indicate the head of household's current employment status.
Line 17h(2):	The date the head of household began his/her current job.
Line 17h(3):	Indicate the head of household's current employment benefits. Check all that apply.
Line 17h(4):	Enter the highest *grade* or the *full* years of formal schooling that the head of household completed (0-25).
Note:	Years of schooling begin with first grade (do not count kindergarten or pre-school).
Line 17h(5):	Indicate whether or not the family receives additional assistance, such as food stamps, Medicaid, TANF assistance, or the earned income tax credit.
Line 17h(6):	The number of children in the household who receive childcare services.
Line 17i(1):	Indicate whether or not the PHA identified individual training and service needs of the family members.
Line 17i(2):	If the PHA identified certain needs for family members, indicate whether or not these needs were met during participation in the FSS program.
Line 17i(3):	Using the codes provided at bottom of page, indicate the type of service provider that meets the participant's need.

Head of household name	Social Security Number	Date modified (mm/dd/yyyy)

Family Self-Sufficiency Program (if not in FSS program, skip to 17n)

17j.	FSS Contract Information	
	(1) Initial start date (mm/yyyy) of contract of participation (FSS enrollment report only)	17j(1).
	(2) Initial end date (mm/yyyy) of contract of participation (FSS enrollment report only)	17j(2).
	(3) Contract date extended to (mm/yyyy) (if applicable)	17j(3).
	(4) Number of family members with Individual Training and Services Plan	17j(4).
	(5) Did the family receive selection preference because of a FSS related service program participation? (FSS enrollment report only) (Y or N)	17j(5).
17k.	FSS account information	
	(1) Current FSS account monthly credit	17k(1).
	(2) Current FSS account balance	17k(2).
	(3) FSS account amount disbursed to the family (cumulative as of end of reporting period)	17k(3).
17m.	FSS exit information (FSS Exit Report only)	
	(1) Did family complete contract of participation? (Y or N)	17m(1).
	(2) If (1) is Yes, did family move to homeownership? (Y or N)	17m(2).

(3) If (1) is No, primary reason for exit:

[ ] Left voluntarily [ ] Portability move-out [ ] Contract expired but family did not fulfill obligations
[ ] Asked to leave program [ ] Left because essential service was unavailable

Welfare to Work Voucher Program

17n.	WtW program information	
	(1) Date (mm/dd/yyyy) Voucher issued (WtW enrollment report only)	17n(1).
	(2) Date (mm/dd/yyyy) of request for lease approval (RFLA) for a unit leased	17n(2).
	17q. Welfare to Work exit information (WtW exit report only)	
	(1) Is the family moving to homeownership? (Y or N)	17q(1).

(2) Primary reason for leaving the WtW Voucher program:

[ ] Portability move-out
[ ] Family no longer needs subsidy
[ ] Subsidy terminated for Housing Choice Voucher program violation, other than WtW obligations
[ ] Subsidy terminated for violation of WtW obligations
[ ] Family voluntarily withdrew from Housing Choice Voucher program
[ ] Other

17:	Family Self-Sufficiency (FSS)/ Welfare to Work (WtW) Voucher Addendum (continued)
Line 17j(1):	FSS enrollment report only. The effective date of the family's FSS contract of participation; the date the family *initially* enrolled in the FSS program.
Line 17j(2):	FSS enrollment report only. The expiration date of the family's FSS contract of participation; the date the family is *initially* expected to exit the FSS program. The contract term is for a period of 5 years.
Line 17j(3):	If applicable, the date to which the PHA has extended the family's FSS contract of participation.
Line 17j(4):	The number of family members in the household who have current Individual Training and Services Plans under the FSS contract of participation.
Line 17j(5):	For new FSS enrollment, indicate whether or not the family received an FSS selection preference due to participation in a related service program.
Line 17k(1):	The current dollar amount credited to the family's FSS account due to increases in earned income by the family.
Line 17k(2):	The current dollar amount of the family's FSS account based on the most recent report of account funds and activity.
Line 17k(3):	Total dollar cumulative amount, if any, of all FSS escrow disbursements ever made to the family.
Line 17m(1):	Indicate if the family fulfilled all of its obligations under the contract during the contract term, or when 30% of the family's monthly adjusted income equals or exceeds the existing housing fair market rent (FMR) for the unit size for which the family qualifies.
Line 17m(2):	Indicate if the family completed the contract and is moving to homeownership.
Line 17m(3):	Indicate why the family is not moving to homeownership.
Line 17n(1):	The date the PHA issued the Welfare to Work Voucher.
Line 17n(2):	The date the family submitted a request for lease approval (RFLA) to the PHA.
Line 17q(1):	Indicate whether or not the family withdrew from the WtW program to buy a home.
Line 17q(2):	Identify the reasons why the family is leaving the WtW program.

OMB No. 2577-0267
Expires 09/30/2019

Office of Public and Indian Housing (PIH)
Enterprise Income Verification (EIV) System
User Access Authorization Form and
Rules of Behavior and User Agreement

Paperwork Reduction Notice: The information collection requirements contained in this notice have been approved by the Office of Management and Budget (OMB) under the Paperwork Reduction Act of 1995 (44 U.S.C. 3520) and assigned OMB control number(s) 2577-0267 In accordance with the Paperwork Reduction Act, HUD may not conduct or sponsor, and a person is not required to respond to, a collection of information unless the collection displays a currently valid OMB control number. Public reporting burden for this collection of information is estimated to average 1.0 hour for initial responses and 0.25 hours for modified responses. This includes the time for collecting, reviewing, and reporting the data. The Federal Privacy Act (5 USC 552a) requires that HUD account for all individuals who will have access to a system containing personally identifiable information.The information is being collected to ensure only authorized users have access to HUD's EIV system and that those users are aware of their responsibility to safeguard sensitive data.

Purpose of this form: To request, modify, or terminate access to the PIH EIV system. To review and acknowledge Rules of Behavior and signify compliance with User Agreement.

Send completed forms: To the designated HUD EIV Coordinator at the local HUD office as listed in the instructions. **Note:** Individuals who will not access the EIV system, but will view and/or handle printed or electronic EIV information, are not required to send this completed form to the HUD EIV Coordinator.

PART I. ACCESS AUTHORIZATION

☐ Check here if you will not have access to the EIV system and will only view or handle printed or electronic EIV information

A. Authorized User Details			
1. PHA Code: (e.g. DC451)	**2. HUD Office, PHA, or Management Agent Name:**	**3. Address:**	
4. Name (first name, middle initial, last name):			**5. WASS User ID (C/H/M-ID):**
6. Position Title:			**7. Phone Number:**
8. Email Address:			**9. Fax Number:**

10. Type of work which involves use of the EIV system or printed and/or electronic EIV information:

1 – Initial eligibility only **2 – Annual/interim reexams** **3 – Security Administrator**
4 – Request EIV access **5 – Certify EIV users** **6 – Modify/terminate EIV access roles**
7 – HUD Administrator **8 – Auditor** **9 – Investigator/Program Compliance**
10 – Enter/update/delete debts owed to PHAs & adverse termination information of former tenants
11 – Clerical/Administrative Support (Viewer or handler of EIV reports) – Do not complete sections BE.

B. Type of Action Requested *(See instructions)*

1 – Add Access (Initial access request for new users)
2 – Reinstatement (Due to automatic system or other termination)
3 – Modify Access (Add/remove access roles for existing users)
4 – Terminate Access

C. PHA User Access Roles – External Users *(See instructions)*	
1 – PHA Occupancy – Public Housing	**5 – Program Administrator – Voucher (Section 8)**
2 – PHA Occupancy – Voucher (Section 8)	**6 – PHA User Administrator**
3 – PHA Occupancy – Applications Processor	**7 – PHA Security Administrator**
4 – Program Administrator – Public Housing	**8 – Other Prescribed by HUD**

D. Public Housing Portfolio
Specify the Public Housing project numbers to which access will be limited.

Check here to grant access to all public housing projects

Project Number	Project Number	Project Number
1)	**4)**	**7)**
2)	**5)**	**8)**
3)	**6)**	**9)**

E. HUD User Access Roles – Internal Users *(See instructions)*				
Select Region *(Check only one region)*	**HHQ**	**HUB**	**FO**	**TARC**
1 – Occupancy Specialist		**5 – HQ PIH DHAP**		
2 – Security Administrator		**6 – HQ System Administrator**		
3 – User Administrator		**7 – HQ PIH Help Desk/TAC**		
4 – HUD OIG		**8 – Other Prescribed by HUD**		

F. Authorization

As the Authorizing Official, I authorize the above-named person to have access to the EIV system or view printed or electronic EIV information, as indicated by my signature below. I further understand this form for each user must be maintained on-site by the PHA and may be subject to audit at any time.

Authorizing Official's Name (Print Full Name) **Authorizing Official's** Signature Date

☐ Check here for **ELECTRONIC SIGNATURE** (Original signed document **must** be on file and is subject to inspection)

G. *For HUD Use Only (Maintain a copy of this completed form in your files)*

Date Application Received:	**Date Application Processed:**
HUD EIV Coordinator's Name:	
Action taken: **Approved** **Denied**	**Reason:**

PART II. RULES OF BEHAVIOR

A. Introduction

The U.S. Department of Housing and Urban Development (HUD) actively implements policies and procedures to keep its systems secure from unauthorized access and inappropriate use. In compliance with Federal laws and regulations, HUD's Office of Public and Indian Housing (PIH) created these Rules of Behavior for the Enterprise Income Verification (EIV) system to ensure that EIV system users (including those individuals who only view or handle printed or electronic EIV information) comply with HUD's security policies. In addition, this document ensures that system accounts are used in the appropriate manner.

Information contained in the EIV system is for official use only. HUD may grant limited system access to the following classes of individuals: HUD employees, HUD contractors, Public Housing Authority employees, and Public Housing Authority-hired management agents. As a condition of receiving access, all users are required to understand and abide by the HUD's system security policies and procedures.

All users must adhere to the Rules of Behavior outlined in this document. These rules delineate the responsibilties of and expectations for all individuals accessing EIV information. Failure to comply with these rules will result in sanctions. Sancitons may include temporary suspension of system access or permanent termination of all access rights. Additional civil or criminal penalties may result from a misuse of EIV information. (See Part III of this document for more information.)

B. Responsibilities

HUD-PIH, as the System Owner of EIV, is responsibile for ensuring that appropriate technicial, operational, and managerial security controls are implemented in the EIV system.

Users are responsible for the protection of passwords, information, equipment, systems, networks, and communication pathways to which they have access. All HUD computer resources, including hardware, software, programs, files, paper reports, and data are the sole property of HUD.

C. Other Policies and Procedures

The Rules of Behavior do not replace existing HUD security policies or procedures. These rules are intended to enhance and clarify the specific rules each user must follow while accessing the EIV system. These rules are consistent with the policies and procedures described in the following HUD document:

HUD Information Technology Security Policy. HUD Handbook 2400.25 Rev.-2, CHG-2, dated August 22, 2011, or as amended, establishes responsibilities, practices, and conditions that directly or indirectly promote security in the development, operation, maintenance, and support of all HUD information technology (IT) resources.

This handbook is available online at: http://www.hud.gov/offices/adm/hudclips/handbooks/admh/2400.25/index.cfm. The HUD information security policies are based on recent federal laws, regulations, and guidance on information security (from National Institute of Standards and Technology (NIST)). In areas where federal guidelines are lacking or still evolving, the policy reflects established best security practices within the security community.

D. Application Rules

The Web Access Security System (WASS) user identification (user ID) and password issued to you is to be used solely in connection with the performance of your responsibilities in support of HUD's mission and administration of HUD rental assistance program, and may not be used for personal or private gain. You agree to be responsible for the confidentiality of the assigned information and accountable for all activity with your user ID. Furthermore, you agree that you will not provide this confidential user ID and password to another user during employment nor upon leaving the employment of the agency. Additional rules of the EIV system are as follows:

Required Training – EIV system users are required to participate in annual Security Awareness Training and HUD-sponsored initial and updated PIH-EIV System training. Individuals who will not access the EIV system, but will view and/or handle printed or electronic EIV information are required to participate in only the annual Security Awareness training. Free HUD-sponsored Security Awareness and EIV training is available online at http://www.hud.gov/webcasts/archives/iv.cfm. PIH-sponsored EIV training materials are located at http://www.hud.gov/offices/pih/programs/ph/rhiip/training.cfm. ***Users are not permitted to access the EIV system or view printed or electronic EIV information if they have not completed the required training.***

System Access (on-site only): Users are required to use only approved HUD software, software settings, and comply with vendor software license agreements. Users are allowed to access the system only using the mechanisms specified by HUD.

Unofficial use of government information: Users must be aware that personal use of information resources is prohibited. EIV data is personal information covered by the Federal Privacy Act (5 USC 552a), as amended, and penalties apply to the misuse of that data. State and local laws may also prohibit misuse of personal information and impose penalties for misuse of the data.

Information protection: Users must avoid leaving system output records or reports unattended or unsecured. Users should lock the computer or log out of the system when leaving work areas unattended. Users shall not violate the Federal Privacy Act (5 USC 552a), as amended, which requires confidentiality of personal data contained in government and contractor data files. Users should securely store EIV data in accordance with HUD policy.

Use of passwords: User passwords and user IDs are for your individual use only and are confidential HUD information. Users are required to change passwords every 30 days. Users are encouraged to avoid creating passwords that can be easily associated with you or your user ID.

System privileges: Users are given access to the system and EIV data based on a need to perform specific work related only to the administration of the following PIH programs: Public Housing, Housing Choice Voucher (HCV), Project-Based Voucher, Project-Based Certificate, and Disaster Housing Assistance programs. Users shall only access the information for which they are authorized.

Individual accountability: Users shall be held accountable for their actions while accessing the system or viewing printed or electronic EIV data. Be aware that all computer resources are monitored and audited.

Monitoring of EIV System Use: All users and agencies are subject to monitoring of their EIV system use and compliance with security requirements by HUD, HUD contractors or a third party. If it is determined that an agency or any of its users are not in compliance with security requirements or any provision of this document, HUD will immediately terminate one or all of an agency's users' EIV access. HUD will reinstate access upon the successful implementation of corrective action(s) to cure the deficiency.

Automatic EIV System Terminations: A user's EIV system access is automatically terminated if the user does not access HUD's Web Access Security Subsystem at least once every 90 days; or if the user is not certified by the respective EIV User Administrator.

Incident Response: Users should immediately contact their supervisor and the HUD Headquarters Security Officer at EIV help@HUD.GOV , with a copy to local HUD office, regarding any suspected violation or breach of system security.

PART III. USER AGREEMENT

I have read the above policy regarding system security awareness and practices when accessing HUD's information technology resources. I understand the policies and procedures as set forth above, and I agree to comply with these requirements as a condition of being granted limited access to the EIV system and/or its data.

As an authorized user of the EIV system or viewer and/or handler of EIV data, I understand the information obtained may only be used for official HUD business. I understand that authorized users may access, disclose, inspect and use these data only within the scope of their official duties of administering a HUD rental assistance program. HUD employees are held to the highest level of responsibility and accountability for the protection of HUD data. HUD contractor firms will be expected to apply similar standards to their employees. Anyone who abuses EIV access privileges may be stripped of those and other access rights to HUD's secure systems. Employees of an agency may be subject to personnel discipline consistent with applicable personnel rules. Contractor firms that do not assure that the Rules of Behavior are observed may be subject to remedies under the terms of their contract.

I also understand that unauthorized disclosure or inspection of EIV data may result in civil and criminal penalties. The penalties are as follows:

- **Unauthorized disclosure** may result in me being found guilty of a misdemeanor and fined not more than $5,000 and/or imprisoned up to five (5) years.
- **Unauthorized inspection** of EIV data may result in me being found guilty of a misdemeanor and fined not more than $5,000 and/or imprisoned up to five (5) years.

I understand that my user ID and password are to be used only by me. Under no circumstances will I reveal or allow use of my user ID or password by another person. Nor will I use another person's password and user ID. I will protect EIV data within my control, whether online, printed, or stored in media, from unauthorized access and disclosure.

I understand and agree to follow all HUD standards, policies, and procedures.

I certify that I have: 1. participated in the initial PIH EIV system training, and 2. within the past twelve (12) months the security awareness training, and 3. I agree to participate in annual security awareness training and 4. periodic PIH-EIV system training as required by HUD.
Failure to provide this certification or participate in training will result in denial or discontinuation of EIV Access.

User's Name (Print Full Name) Date

User's Signature

☐ Check here for **ELECTRONIC SIGNATURE** (Original signed document **must** be on file and is subject to inspection)

Note: All EIV system users are required to complete initial EIV system training provided by HUD prior to accessing the system. All individuals who will view and/or handle printed or electronic EIV information are required to complete annual Security Awareness training. Security Awareness training provided by third parties is acceptable when HUD has not offered such training.

Office of Public and Indian Housing (PIH)
Enterprise Income Verification (EIV) System
User Access Authorization Form and
Rules of Behavior and User Agreement
Instructions

Instructions for Completing This Form

Paperwork Reduction Notice: The information collection requirements contained in this notice have been approved by the Office of Management and Budget (OMB) under the Paperwork Reduction Act of 1995 (44 U.S.C. 3520) and assigned OMB control number(s) 2577-0267. In accordance with the Paperwork Reduction Act, HUD may not conduct or sponsor, and a person is not required to respond to, a collection of information unless the collection displays a currently valid OMB control number.

Public reporting burden for this collection of information is estimated to average 1.0 and 0.25 hours for initial and periodic responses, respectively. This includes the time for collecting, reviewing, and reporting the data. The information is being collected for the authorization and accountability of all individuals that will access HUD's EIV system. Response to this request for information is required in order for HUD to comply with the Federal Privacy Act's (5 USC 552a) requirement that HUD account for all individuals who will have access to a system containing personally identifying information of individuals assisted by the Federal government. HUD may not collect this information, and you are not required to complete this form unless it displays a currently valid OMB number. Limited confidentiality is assured.

This form must be completed each time an individual requests initial access to the PIH EIV System, a user's access is to be modified, reinstated or terminated. This form must also be completed by any individual who will not access the EIV system, but will view and/or handle printed or electronic EIV information. Initial access and the most recent access modification requests must be maintained (electronic retention is acceptable) for the entire duration that the individual will access the EIV system and/or information, and is subject to inspection and/or audit. Access termination requests must be maintain for a period of three years from the termination request date.

How to complete this form. An explanation for each item is listed below.

Part I. Access Authorization

If you will not access the EIV system, but will view printed or electronic EIV information, check the checkbox above Section A. of the form. **Do not complete sections B – E**. Maintain the complete form on file. Do **not** send the completed form to you r local HUD office.

Section A. Authorized User Details

1. Enter your Public Housing Agency's code. The code consists of two alpha and three numeric characters. For example, DC451. HUD employees and contractors should enter the state abbreviation of where the office is located, followed by three zeros (i.e. DC000, KS000).

2. Public Housing Agencies should enter complete agency name. Do not use abbreviations. For example, District of Columbia Housing Authority, not DCHA.
   Management Agents hired by the Public Housing Agency should enter their complete company name. For example, District Realty Company.
   HUD Headquarters employees should enter "HUD Headquarters" and the program office name. For example, HUD Headquarters, Office of Public and Indian Housing.
   HUD Field Office employees should enter their Office Name. For example, Baltimore HUB or Omaha Program Center.
   HUD Contractors should enter their complete company name and HUD office location and program office. For example, ABC Consulting, HUD Headquarters, Real Estate Assessment Center.
3. Enter complete mailing address.
4. Enter complete first name, middle initial and last name.
5. There are two types of users: internal (HUD users) and external (PHA users). Enter your HUD-assigned WASS (Web Access Security Subsystems) user ID. This number consists of 6 alpha and numeric characters and begins with the letter C, H, or M. You **must** have a WASS user ID in order to access the EIV system. If you do not have a WASS ID, you may register for one online at:
   http://www.hud.gov/offices/reac/online/online registration.cfm.
6. Enter your position title. Do not use abbreviations.
7. Enter your complete telephone number and include extension, if applicable.
8. Enter your complete business email address.
9. Enter your fax number.
10. Select the type of work which involves the use of the EIV system. Check all that apply.
    a. If box 11 is selected, do **not** complete Sections B-E.

Section B. Type of Action Requested

1. Check this box to add EIV access for initial access requests for new users.
2. Check this box to reinstate EIV access for an individual who had access, but was terminated as a result of either an automatic system or other type of termination.
3. Check this box to modify (add or remove) an existing user's EIV role assignments or public housing development assignments.
4. Check this box to terminate an existing user's access.

Section C. PHA User Access Roles (External Users)

There are numerous roles which serve to limit a PHA user's access to data within the EIV system. Below is a listing of these roles. Based on the user's business needs, select the appropriate role(s) for the user.

1 - PHA Occupancy – Public Housing: This role allows the PHA user to access the following functions in EIV: Debts Owed to PHAs & Terminations Report and Search for Former Tenant (nationally), Income Discrepancy Report, Income Information and Verification Reports for the Public Housing program. The user is permitted to access specific information for the designated public housing developments assigned to the user's ID. See Exhibit 1 for display of EIV functions available to a user assigned this role.

Check box number 1 in Section C, if you work with Public Housing families and checked box number **2, 8, or 9** in Section A, Item 10.

2 - PHA Occupancy – Voucher: This role allows the PHA user to access the following functions in EIV: Debts Owed to PHAs & Terminations Report and Search for Former Tenant (nationally), Income Discrepancy Report, Income Information and Verification Reports for the Housing Choice Voucher (HCV) program. The user is permitted to access specific information for all Section 8 families under the PHA's jurisdiction. See Exhibit 1 for display of EIV functions available to a user assigned this role.

Check box number 2 in Section C, if you work with Section 8 families and checked box number **2, 8, or 9** in Section A, Item 10.

Exhibit 1:

3 - PHA Occupancy – Application Processor*: This role allows the PHA user to access the following verification reports: Debts Owed to PHAs & Terminations Report and Search for Former Tenant (nationally), Existing Tenant Search and Multiple Subsidy Report. See Exhibit 2 for display of EIV functions available to a user assigned this role.

Check box number 3 in Section C, if you work with Public Housing and/or Section 8 families applying for rental assistance, and checked box number **1** in Section A, Item 10.

***** This role ***limits*** the user's access to only the Debts Owed to PHAs & Terminations Report and Search for Former Tenant and Multiple Subsidy Report and Existing Tenant Search functions. Do **not** need to select this role if you have been assigned the PHA Occupancy – Public Housing or PHA Occupancy – Voucher role.

Exhibit 2:

4 - Program Administrator – Public Housing: This role allows the PHA user to review, enter, update or delete debts or terminations of former public housing tenants in the Debts Owed to PHAs and Terminations module, access the Debts Owed & Terminations Report and Search for Former Tenants (nationally). See Exhibit 3 for display of EIV functions available to a user assigned this role.

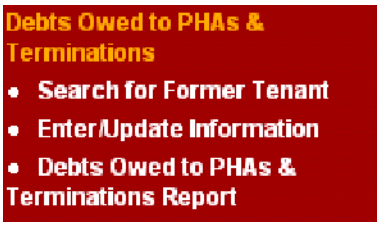
Check box number 4 in Section C, if your Executive Director, or designee has authorized you to **only** enter debt and termination information of former Public Housing tenants into EIV and you checked box number **10** in Section A, Item 10,

Exhibit 3:

5 - Program Administrator – Voucher: This role allows the PHA user to review, enter, update or delete debts or terminations of former Housing Choice Voucher (HCV) tenants in the Debts Owed to PHAs and Terminations module, access the Debts Owed to PHAs & Terminations Report and Search for Former Tenants (nationally). See Exhibit 4 for display of EIV functions available to a user assigned this role.

Check box number 5 in Section C, if your Executive Director, or designee has authorized you to **only** enter debt and termination information of former Section 8 tenants into EIV and you checked box number **10** in Section A, Item 10.

Exhibit 4:



6 - PHA User Administrator: This role allows the user to request EIV access for PHA staff; assign, modify and remove roles; assign public housing developments; certify users, terminate EIV access; and view User Role History, Termination and Certification reports. See Exhibit 5 for display of EIV functions available to a user assigned this role.

Check box number 6 in Section C, if you checked box number **4, 5, or 6** in Section A, Item 10.

Note: *Medium, large and extra large PHAs must have at least two User Administrators. The User Administrator may **not** be assigned the Security Administrator role, **unless** the PHA is designated as a small PHA.*

Exhibit 5:

7 - PHA Security Administrator: This role allows the user to monitor staff access to the EIV system by viewing the various audit reports: User Session and Activity and Tenant Data Access Reports. See Exhibit 6 for display of EIV functions available to a user assigned this role.

Check box number 7 in Section C, if you checked box number **3** in Section A, Item 10.

Note: *Medium, large and extra large PHAs must have at least two Security Administrators. The Security Administrator may **not** be assigned the User Administrator role, **unless** the PHA is designated as a small PHA.*

Exhibit 6:

Note: If the type of action requested (in Section B) is **Modify Access**, the user should check both previously assigned roles and new roles to be assigned to the user's ID. The most recent access modification request must be maintained on file.

Guide to Selecting the Appropriate PHA User Roles to be Assigned to a PHA User ID

Box Checked in Section A, Item 10 (Type of Work)	Box to Check in Section C (PHA User Access Role)
2, 8, or 9	1
2, 8, or 9	2
1	3
10	4
10	5
4, 5, or 6	6
3	7

Note: If you select 1 **and** 2, 8, and/or 9 in Section A.10, you do **not** check box 3 in Section C.

If you select 3 **and** 4, 5, and/or 6, do **not** check both boxes 6 and 7 in Section C, **unless** you are a PHA with combined (Public Housing & Section 8) unit count of 250 or less. Otherwise, you may only check one box – 6 **or** 7 in Section C.

Section D. Public Housing Portfolio

This section applies to only PHA users. A user who has been assigned the PHA Occupancy – Public Housing role must have the applicable public housing projects, now known as Asset Management Projects (AMPs), assigned to their user ID so that the user may view income data of tenants that reside within the designated AMPs. If this is not done, the user will not be able to view income data of public housing tenants.

List the designated AMP numbers to be assigned to the user ID. AMP information is displayed in EIy's User Administration module. If the user is authorized to access more than nine AMPs, list the AMP numbers on a separate sheet of paper and attach (or append) to the form. If the user is authorized to access income data of all public housing tenants, check the checkbox in this section.

Section E. HUD User Access Roles (Internal Users)

There are numerous roles which serve to limit a user's access to data within the EIV system. Below is a listing of these roles. Based on the user's business needs, select the appropriate role(s) for the user.

1 - Occupancy Specialist: This role allows the HUD user to access the following functions in EIV: Debts Owed to PHAs & Terminations Report and Search for Former Tenant (nationally), Income Discrepancy Report, Income Information and Verification Reports for the Public Housing and Housing Choice Voucher programs. The user is permitted to access information for the designated region(s) assigned to the user's ID. See Exhibit 7 for display of EIV functions available to a user assigned this role.

Exhibit 7:

2 - Security Administrator: This role allows the user to monitor HUD and PHA staff access to the EIV system by viewing the various audit reports: User Session and Activity and Tenant Data Access Reports. The user is permitted to access information for the designated region(s) assigned to the user's ID. See Exhibit 8 for display of EIV functions available to a user assigned this role.

Note: *HUD Field Offices must have at least two Security Administrators. The Security Administrator may* ***not*** *be assigned the User Administrator role.*

Exhibit 8:

3 - User Administrator: This role allows the user to approve PHA EIV access requests; assign, modify and remove roles to PHA and Field Office staff user IDs; assign public housing developments; certify users, terminate EIV access; and view PHA Access Requests, User Role History, Termination, and Certification reports. See Exhibit 9 for display of EIV functions available to a user assigned this role.

Note: *HUD Field Offices must have at least two User Administrators. The User Administrator may **not** be assigned the Security Administrator role.*

Exhibit 9:

4 - HUD OIG: This role allows the HUD OIG user to access the following functions in EIV: Debts Owed to PHAs & Terminations Report and Search for Former Tenant (nationally), Income Discrepancy Report, Income Information and Verification Reports for the Public Housing and Housing Choice Voucher programs. The user is permitted to access information for the designated region(s) assigned to the user's ID. See Exhibit 10 for display of EIV functions available to a user assigned this role.

Note: This role is designated for only HUD OIG personnel.

Exhibit 10:

5- HQ PIH DHAP: This role allows the HUD Headquarters' user to access the following functions in EIV: Income Discrepancy Report, Income Information and Verification Reports for the Disaster Housing Assistance program. See Exhibit 11 for display of EIV functions available to a user assigned this role.

Exhibit 11:

HQ - User Administrator: This role allows the user to approve and grant EIV access requests for HUD and PHA staff; assign, modify and remove roles; assign public housing developments; certify users, terminate EIV access; and view User Role History, Termination and Certification reports.

This role is reserved for only HUD Headquarters' staff.

6 – HQ System Administrator: This role is reserved for HUD Headquarters' system administrator.

7 – HQ PIH Help Desk/TAC: This role is reserved for HUD Headquarters' approved Help Desk staff.

Guide to Selecting the Appropriate HUD User Roles to be Assigned to HUD Field Office staff's User ID

Box Checked in Section A, Item 10 (Type of Work)	Box to Check in Section E (HUD User Access Role)
7, 8, or 9	1
3	2
5 or 6	3
HHQ roles will be approved by EIV System Owner or HQ System Administrator	

Section F. Authorization

The Authorizing official or designee is required to sign and date this form to authorize a user's access request to access the EIV system or ability to view and/or handle printed or electronic EIV data.

PHAs – The Executive Director or his/her designee must sign and date this form for all PHA staff and PHA-hired management agents.

HUD Employees - The employee's first line supervisor is required to sign and date this form.

HUD Contractors – The Government Technical Monitor (GTM) or first line HUD supervisor of the HUD office for which the contractor is providing services to is required to sign and date this form.

Section G. For HUD Use Only

This section is to be completed by the designated EIV coordinator in the local HUD office. The EIV Coordinator is required to indicate the date the form was received and processed, his/her name, action taken (approved or denied) and if the request was denied, specify the reason the request was denied.

The EIV Coordinator is required to maintain this form for the duration of the individual's access and for a period of three years from the termination date of the user's EIV access.

Electronic retention of this form is permissible.

Part II. Rules of Behavior

Each user who requests access to and will use the EIV system and any individual who will not access the EIV system, but will view and/or handle printed or electronic EIV information is required to read all elements of Part II.

Part III. User Agreement

Each user who requests access to and will use the EIV system and any individual who will not access the EIV system, but will view and/or handle printed or electronic EIV information is required to read all elements of Part III, certify that s/he has participated in HUD-sponsored PIH EIV System training and annual Security Awareness training, and agree to comply with and follow all HUD standards, policies, and procedures related to EIV system and data use, by signing and dating this form.

Local HUD Offices and Designated EIV Coordinators

PHAs are required to send completed forms to the local HUD office. A listing of each local HUD office including the address, telephone number, fax number, and designated EIV coordinators and their respective telephone numbers and email addresses is listed below. Do not forward this form to HUD Headquarters in Washington, DC. Only your local HUD office can process your form. Only typewritten forms will be accepted. You may fax, email, or mail the completed form to the U.S. Department of Housing and Urban Development in your region.

HUD staff and contractors are required to email the completed form as a portable document format (PDF) file to EIV_help@HUD.GOV . Maintain a copy of this form in your files.

*e*LOCCS

GETTING STARTED GUIDE

Line of Credit Control System (LOCCS)

U.S. Department of Housing and Urban Development

June 2014

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1.0 INTRODUCTION

1.0 INTRODUCTION

The Line of Credit Control System (LOCCS) is the U.S. Department of Housing and Urban Development's (HUD) primary grant and subsidy disbursement system that handles disbursement and cash management for the majority of HUD grant programs.

In 1990, the LOCCS Voice Response System (VRS) was developed to handle grantees access to their HUD funds using a touchtone phone system. In 2001, an Internet version of LOCCS (VRS) called *e*LOCCS was introduced allowing Public Housing Authorities (PHA), Section 8 Performance Based Contract Administrators (PBCA) and other approved HUD-trusted business partners access to their HUD portfolios through the web. *e*LOCCS provided selected Business Partners the internet financial system tool to access their grant portfolio and drawdown against their available portfolio balances.

In 2007, *e*LOCCS was modified to allow all LOCCS Business Partners with appropriate authorization, to access, manage, and drawdown their HUD grant portfolios through *e*LOCCS.

1.1 Hours of Operation

Monday – Saturday	6:00 a.m. to 8:00 p.m. EST
Sunday	Unavailable

1.2 Browser Requirements

In supporting Secure System's latest browser requirements, *e*LOCCS supports Internet Explorer 7.0.

1.3 Purpose of Guide

The purpose of this guide is to provide examples of *e*LOCCS screens and to describe the overall layout and menu navigation with the intent of familiarizing the user with the *look-and-feel* of eLOCCS prior to actually accessing eLOCCS. A "Core *e*LOCCS Screens" section has examples of functionality and screens that all HUD Programs support (such as the grant Portfolio) and separate sections provide examples of custom *e*LOCCS functionality a specific HUD Program may have, such as Shelter Plus Care (SPC).

While the primary purpose of this guide is how to "use" *e*LOCCS, it does provide a high level overview of the security and registration components required to gain access *e*LOCCS, and directs you to specific documents with detail instructions on how to complete those registration components.

2.0 REGISTRATION COMPONENTS

2.0 REGISTRATION COMPONENTS

2.1 Registration Overview

*e*LOCCS is accessed through the HUD internet portal called **Secure Systems**. Secure Systems is sponsored by the Office of Public and Indian Housing (PIH) Real Estate Assessment Center (REAC) and sometimes referred to as 'REAC' or 'Online Systems'. Secure Systems supports many HUD applications, of which *e*LOCCS is one of them. In order to use *e*LOCCS, you must;

1) Register in Secure Systems to access the *e*LOCCS "application", and
2) Submit a *HUD-27054 LOCCS Access Authorization form*, which will specify the Business Partner(s) and HUD Programs you are authorized to access within *e*LOCCS.

1) Secure Systems Registration

There are several components to Secure Systems Registration

✔ **Your organization must be a recognized Secure Systems Business Partner**
This only needs to occur once for your organization

✔ **Your organization must have an assigned Secure Systems "Coordinator".**
This individual serves as your organizations Secure Systems administrator and would be responsible for assigning appropriate *e*LOCCS Secure Systems roles to "Users" or themselves. Up to 5 Coordinators can be assigned to each organization.

✔ **Each Secure Systems *e*LOCCS "User" must have their own Secure Systems ID**
The Coordinator will assign appropriate *e*LOCCS roles to each user.

A separate ***eLOCCS Secure Systems Registration Guide*** provides step by step registration instructions on each of these components. A link to this guide can be found in ***Section 5.2 LOCCS URL Quick References.***

2) LOCCS Authorizations

✔ **Each *e*LOCCS user must submit a *HUD-27054 LOCCS Access Authorization Form***
What Business Partners a user can see and which HUD Programs they have access to is determined by the approved LOCCS authorizations submitted on the HUD-27054.

A link to the ***HUD 27054 LOCCS Access Authorization Form*** along with instructions can be found in ***Section 5.2 LOCCS URL Quick References.***

You will be assigned both a Secure Systems ID/password from the Secure Systems Registration process and a separate LOCCS ID/password from the HUD-27054 process. The Secure Systems ID/password will be needed to sign-on to Secure Systems, and LOCCS will prompt for the LOCCS ID/password once you select LOCCS from the Secure Systems applications page.

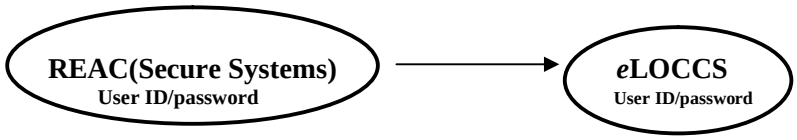
3.0 SIGNING ON TO *e*LOCCS

3.0 SIGNING ON TO *e*LOCCS

3.1 What You Need Before Signing On

- **Secure Systems User ID/password and LOCCS system/role assignment**
  If you do not have a REAC User ID or have roles assigned,
  see *Section 2.1 Registration Overview*.

- **A LOCCS User ID and password**
  If you do not have a LOCCS User ID and password,
  see *Section 2.1 Registration Overview*.



3.2 *e*LOCCS Log In

3.2.1 *e*LOCCS Access

As mentioned above, you must have a valid **REAC (Secure Systems)** *User ID/password* and ***e*LOCCS** *User ID/password*.

To access Secure Systems Cut and paste URL or click <here>

http://portal.hud.gov/hudportal/HUD?src=/program_offices/public_indian_housing/reac/online

Figure 3–1. Secure Systems - Select <Login here>

Figure 3–2. Secure Systems Login page

Enter your Secure Systems User ID and Password (usually an M ID).

Continue through Secure Systems to the Main menu.

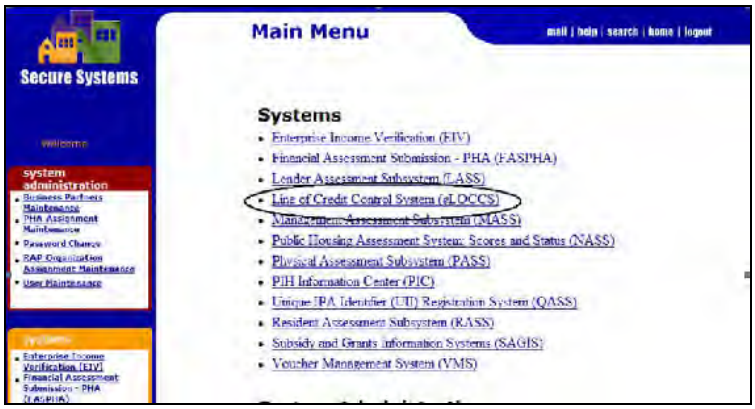


Figure 3–3. Secure Systems Menu page

Select the <Line of Credit Control Systems (*e*LOCCS) > link
If you do not have the *e*LOCCS link see your Coordinator to add system roles for link to display.

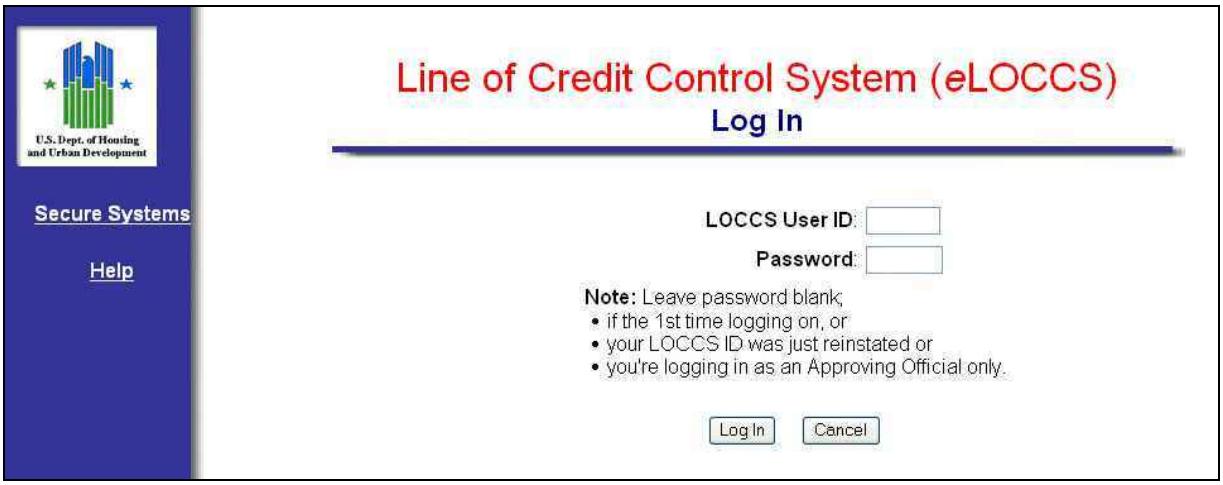


Figure 3–4. Log In with LOCCS User ID and Password

Enter your all numeric **LOCCS** User ID and Password.

3.2.2 Program Authorization

After a successful *e*LOCCS log in, the 'LOCCS Authorizations' page will display. This page summarizes a user's Business Partner program area authority from the LOCCS registration Access Authorization HUD-27054 form. A user can represent several Business Partners/Tax ID organizations as seen in Figure 3–5. Select a program area to access the organization portfolio. Return to the 'LOCCS Authorizations' page to access a different organization.

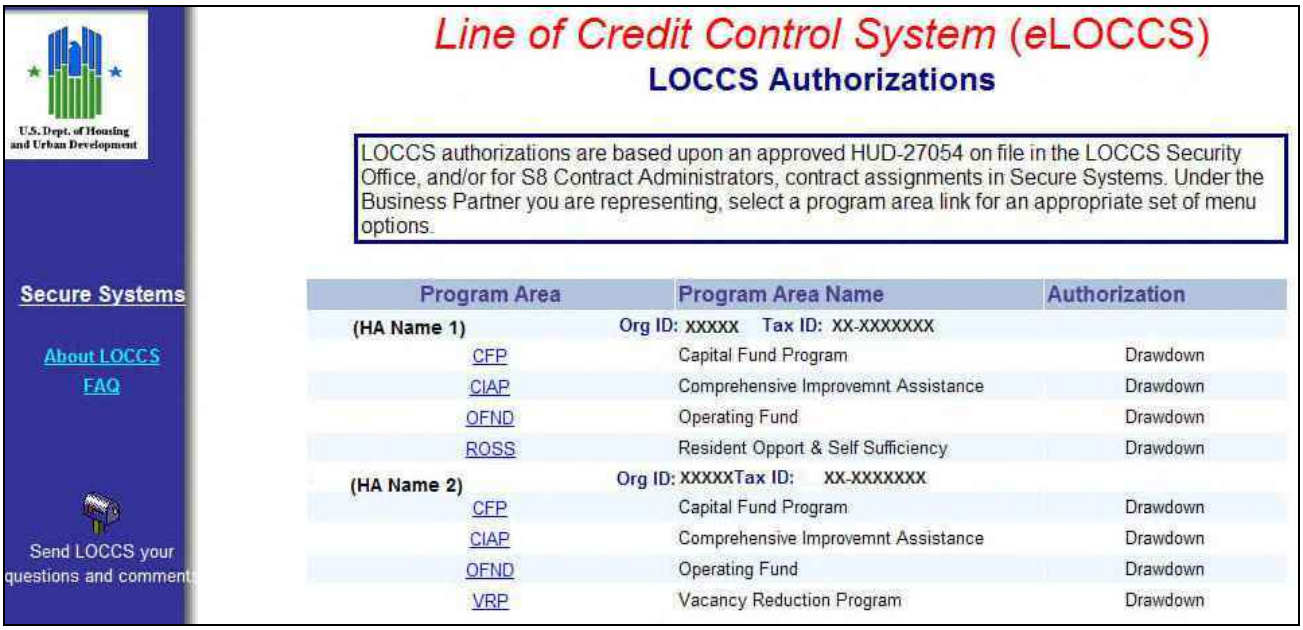


Figure 3–5. LOCCS Authorizations for Program Areas

4.0 *e*LOCCS SCREENS

4.0 *e*LOCCS SCREENS

*e*LOCCS supports a wide range of business partners including Public Housing Authorities (PHA), Section 8 Performance Based Contract Administrators (PBCA), Title II lenders, State, Cities and Non-profits. *e*LOCCS permits each business partner the ability to access program area screens, to manage and initiate drawdown requests against their HUD program portfolios. Depending on business partner and program areas authorized on the LOCCS 27054 form, eLOCCS will have

The majority of HUD programs fit into either two voucher request groups, '**Budget Line Item**' (BLI) based or '**Grant**' based. The primary difference is that the 'BLI based' grants have specific budget line items in which funds are drawn against whereas 'grant based' funds are drawn at the grant level. Both groups share similar core *e*LOCCS screens with subtle differences. *Section 4.1* describes core *e*LOCCS screens examples that are BLI based. *Section 4.2* describes the differences in processing for grant based programs.

4.1 Core *e*LOCCS Screens

A variety of information is available through *e*LOCCS menu options. Menu options may vary depending upon a user's program area authority. Figure 4–1 shows an example of an *e*LOCCS main menu page in which the 'Capital Fund Program' (CFP) was selected from the *e*LOCCS Authorizations page.

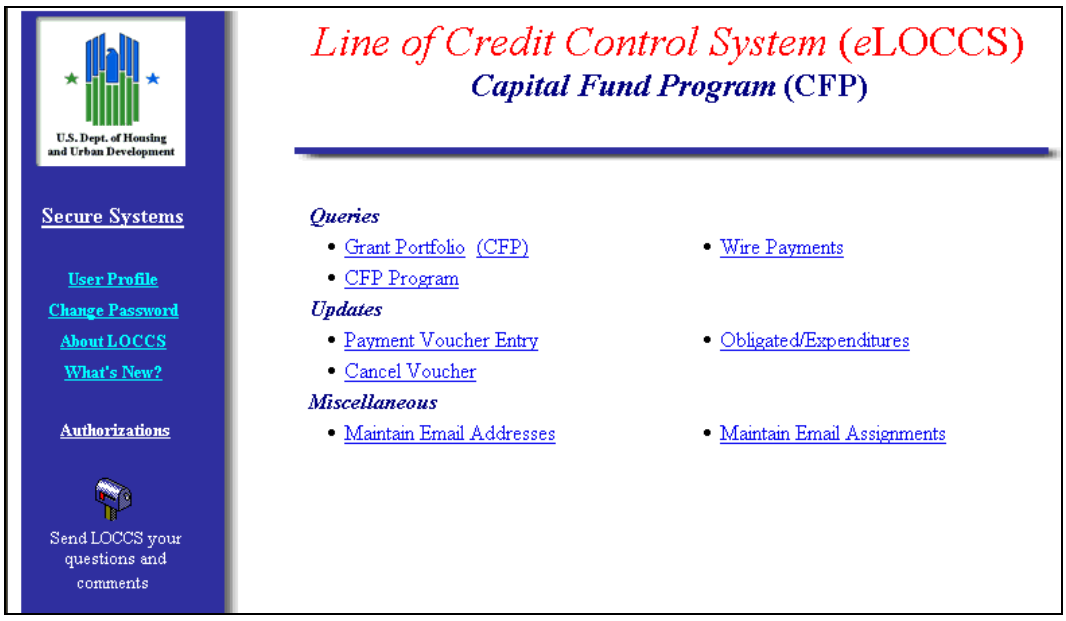


Figure 4–1. *e*LOCCS Main Menu

The left sidebar of the *e*LOCCS main menu page provides the user with the several options as described in the table that follows.

The Navigation Pane (sidebar) contains several useful links:

Secure Systems – Returns to the Secure Systems Main Menu.

User Profile – Displays user information, roles assigned, and *e*LOCCS HUD-27054 authority access level.

Change Password – Provides the option to change a password prior to the every 60 days change password prompt in *e*LOCCS.

About eLOCCS **–** Displays basic *e*LOCCS information, hours of operation, points of contact, etc.

FAQ **–** Links to a frequently asked questions page.

Authorizations – Returns to the *e*LOCCS Authorizations screen.

Mailbox – Provides a link to send questions and comments through an *e*LOCCS electronic mailbox.

4.1.1 Navigation Trail Hyperlinks

As a user navigates within *e*LOCCS screens, a navigation trail provides quick access to a previous page. Figure 4-2. It is strongly recommended to not use the internet back browser button to maintain current *e*LOCCS data.

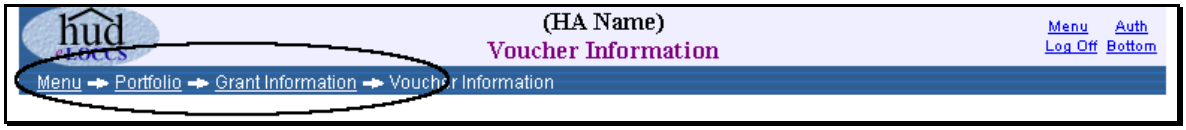


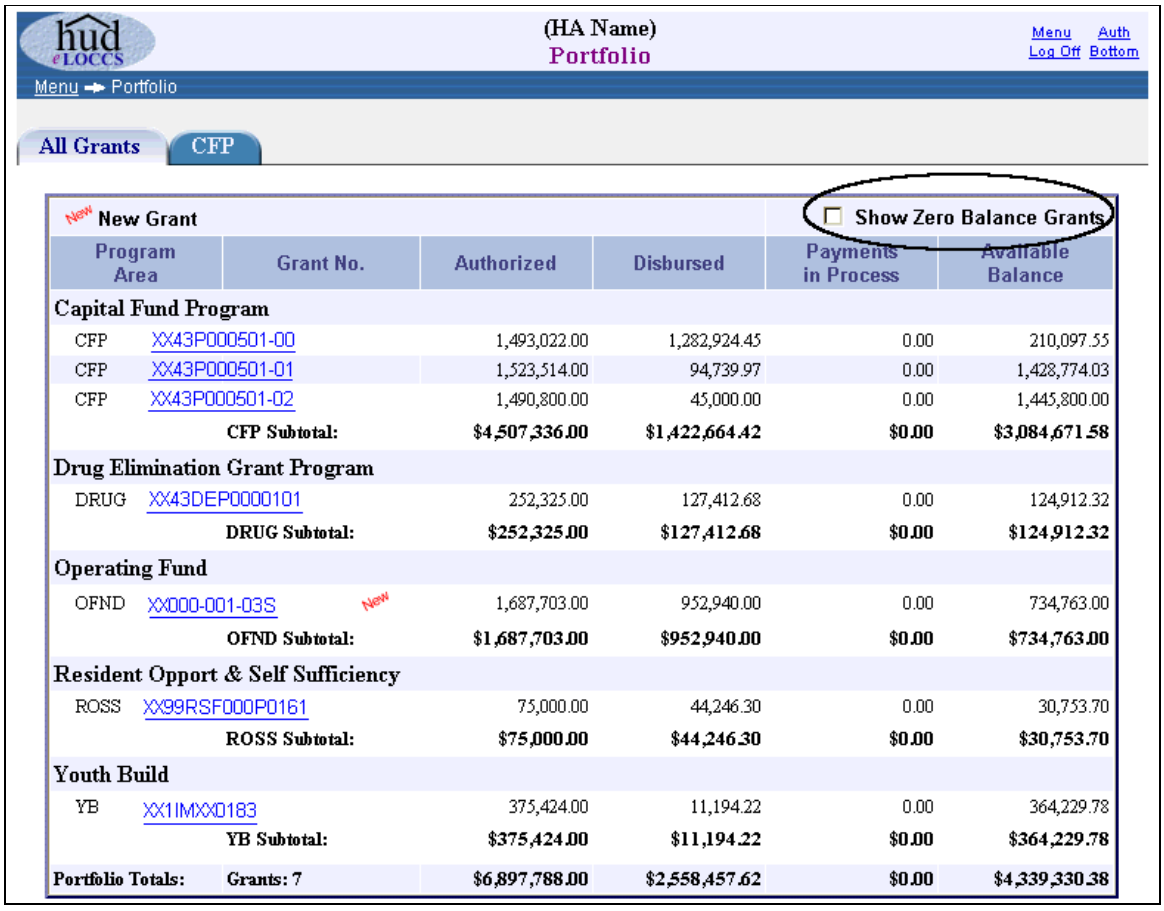
Figure 4–2. Navigation Trail Hyperlinks

4.1.2 Queries

4.1.2.1 Grant Portfolio

The Grant 'Portfolio' (Figure 4–3) lists funding information of 'All Grants' by program area authorized for the user. The page offers a budget snapshot of grant information with available balances including any new grants that have been assigned to the Portfolio within the past 30 days. A "New" icon will be displayed next to the grant number for 30 days. Depending upon whether the grant is awaiting the program office to spread the initial budget, the available balance amount may be zero.

Above the column headings on the right is a check box indicating 'Show Zero Balance Grants'. To view grants with zero balances, mark the check box and *e*LOCCS will automatically load any grants with zero available balances on the grant 'Portfolio' page. To return to the original grant portfolio balance amounts, simply deselect the check box.



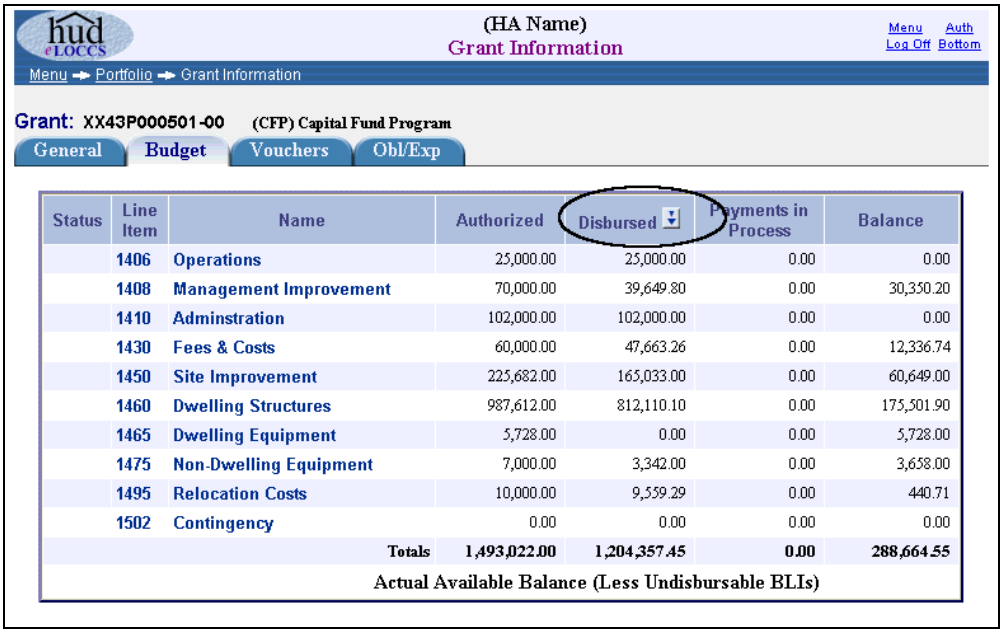
Program Area	Grant No.	Authorized	Disbursed	Payments in Process	Available Balance
Capital Fund Program					
CFP	XX43P000501-00	1,493,022.00	1,282,924.45	0.00	210,097.55
CFP	XX43P000501-01	1,523,514.00	94,739.97	0.00	1,428,774.03
CFP	XX43P000501-02	1,490,800.00	45,000.00	0.00	1,445,800.00
	CFP Subtotal:	**$4,507,336.00**	**$1,422,664.42**	**$0.00**	**$3,084,671.58**
Drug Elimination Grant Program					
DRUG	XX43DEP0000101	252,325.00	127,412.68	0.00	124,912.32
	DRUG Subtotal:	**$252,325.00**	**$127,412.68**	**$0.00**	**$124,912.32**
Operating Fund					
OFND	XX000-001-03S New	1,687,703.00	952,940.00	0.00	734,763.00
	OFND Subtotal:	**$1,687,703.00**	**$952,940.00**	**$0.00**	**$734,763.00**
Resident Opport & Self Sufficiency					
ROSS	XX99RSF000P0161	75,000.00	44,246.30	0.00	30,753.70
	ROSS Subtotal:	**$75,000.00**	**$44,246.30**	**$0.00**	**$30,753.70**
Youth Build					
YB	XX11IMXX0183	375,424.00	11,194.22	0.00	364,229.78
	YB Subtotal:	**$375,424.00**	**$11,194.22**	**$0.00**	**$364,229.78**
Portfolio Totals:	**Grants: 7**	**$6,897,788.00**	**$2,558,457.62**	**$0.00**	**$4,339,330.38**

Figure 4–3. Grant Portfolio

To view additional information on a grant, click the appropriate hyperlink and the Grant Information page (Figure 4–4) will display with the 'General' tab set as default along with optional tabs depending on the grant selected. At a minimum, the 'General' and 'Voucher' tabs will appear for each grant. The 'General' tab details organizational information, contract dates, and funding information specific to that grant. Figure 4–4 is an example of a 'Grant (Portfolio) Information' page with the 'General' default tab selected.

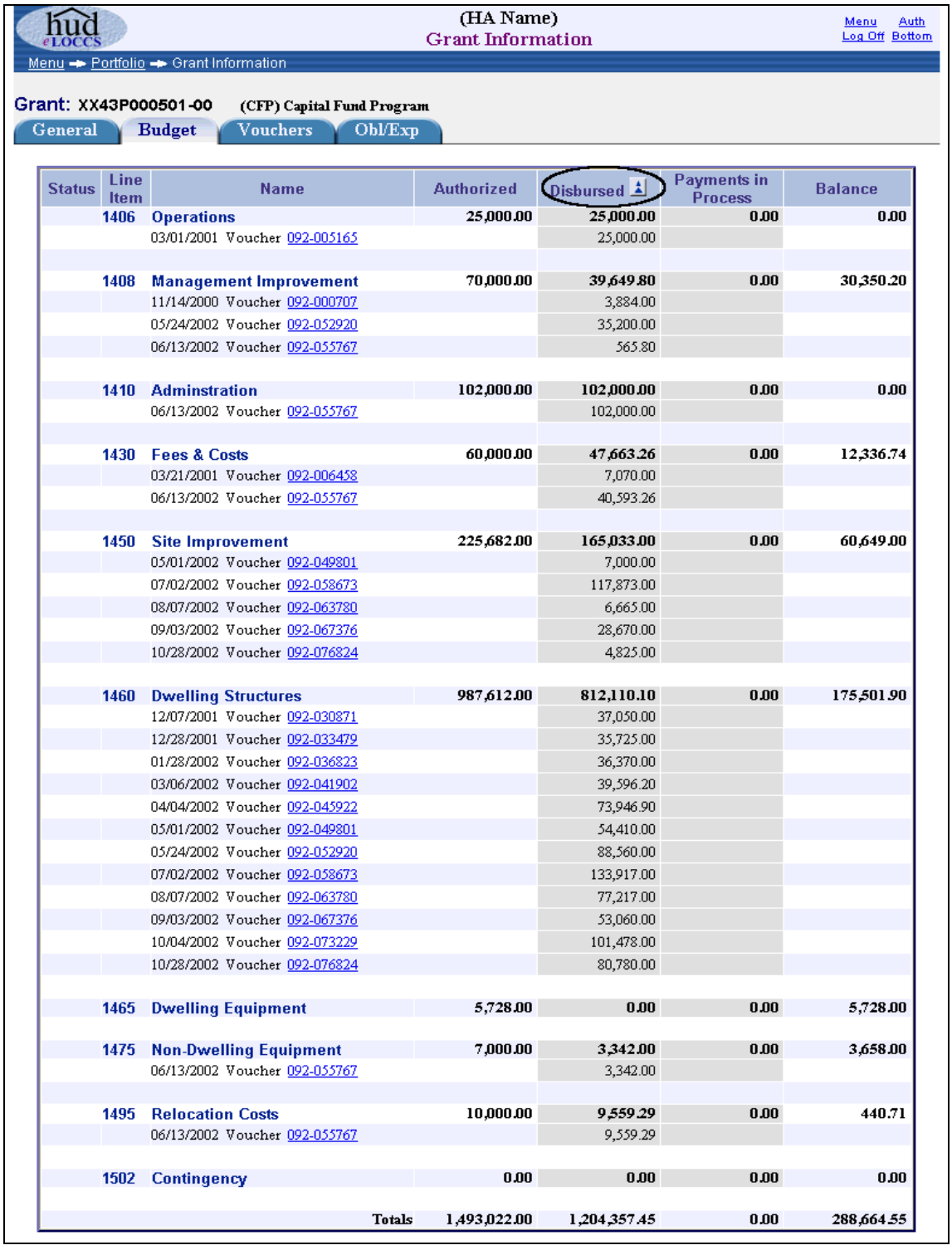
Figure 4–4. Grant (Portfolio) Information

The following two figures illustrate 'Budget' tab screen information for the selected grant. There is a dropdown for the "Disbursed" heading to display additional detail.



Status	Line Item	Name	Authorized	Disbursed	Payments in Process	Balance
	1406	Operations	25,000.00	25,000.00	0.00	0.00
	1408	Management Improvement	70,000.00	39,649.80	0.00	30,350.20
	1410	Adminstration	102,000.00	102,000.00	0.00	0.00
	1430	Fees & Costs	60,000.00	47,663.26	0.00	12,336.74
	1450	Site Improvement	225,682.00	165,033.00	0.00	60,649.00
	1460	Dwelling Structures	987,612.00	812,110.10	0.00	175,501.90
	1465	Dwelling Equipment	5,728.00	0.00	0.00	5,728.00
	1475	Non-Dwelling Equipment	7,000.00	3,342.00	0.00	3,658.00
	1495	Relocation Costs	10,000.00	9,559.29	0.00	440.71
	1502	Contingency	0.00	0.00	0.00	0.00
		Totals	**1,493,022.00**	**1,204,357.45**	**0.00**	**288,664.55**
		Actual Available Balance (Less Undisbursable BLIs)				

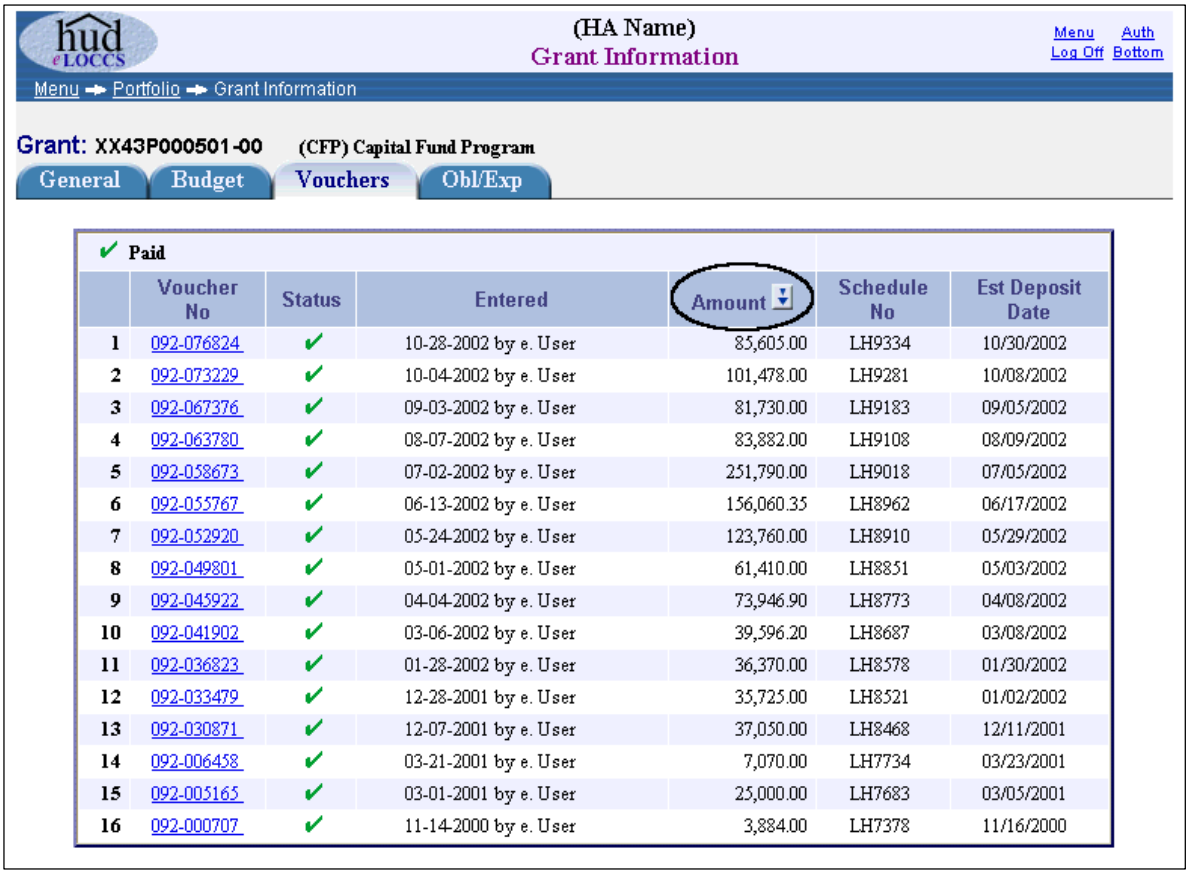
Figure 4–5. Budget Tab by BLI



Status	Line Item	Name	Authorized	Disbursed	Payments in Process	Balance
	1406	**Operations**	**25,000.00**	**25,000.00**	**0.00**	**0.00**
		03/01/2001 Voucher 092-005165		25,000.00		
	1408	**Management Improvement**	**70,000.00**	**39,649.80**	**0.00**	**30,350.20**
		11/14/2000 Voucher 092-000707		3,884.00		
		05/24/2002 Voucher 092-052920		35,200.00		
		06/13/2002 Voucher 092-055767		565.80		
	1410	**Adminstration**	**102,000.00**	**102,000.00**	**0.00**	**0.00**
		06/13/2002 Voucher 092-055767		102,000.00		
	1430	**Fees & Costs**	**60,000.00**	**47,663.26**	**0.00**	**12,336.74**
		03/21/2001 Voucher 092-006458		7,070.00		
		06/13/2002 Voucher 092-055767		40,593.26		
	1450	**Site Improvement**	**225,682.00**	**165,033.00**	**0.00**	**60,649.00**
		05/01/2002 Voucher 092-049801		7,000.00		
		07/02/2002 Voucher 092-058673		117,873.00		
		08/07/2002 Voucher 092-063780		6,665.00		
		09/03/2002 Voucher 092-067376		28,670.00		
		10/28/2002 Voucher 092-076824		4,825.00		
	1460	**Dwelling Structures**	**987,612.00**	**812,110.10**	**0.00**	**175,501.90**
		12/07/2001 Voucher 092-030871		37,050.00		
		12/28/2001 Voucher 092-033479		35,725.00		
		01/28/2002 Voucher 092-036823		36,370.00		
		03/06/2002 Voucher 092-041902		39,596.20		
		04/04/2002 Voucher 092-045922		73,946.90		
		05/01/2002 Voucher 092-049801		54,410.00		
		05/24/2002 Voucher 092-052920		88,560.00		
		07/02/2002 Voucher 092-058673		133,917.00		
		08/07/2002 Voucher 092-063780		77,217.00		
		09/03/2002 Voucher 092-067376		53,060.00		
		10/04/2002 Voucher 092-073229		101,478.00		
		10/28/2002 Voucher 092-076824		80,780.00		
	1465	**Dwelling Equipment**	**5,728.00**	**0.00**	**0.00**	**5,728.00**
	1475	**Non-Dwelling Equipment**	**7,000.00**	**3,342.00**	**0.00**	**3,658.00**
		06/13/2002 Voucher 092-055767		3,342.00		
	1495	**Relocation Costs**	**10,000.00**	**9,559.29**	**0.00**	**440.71**
		06/13/2002 Voucher 092-055767		9,559.29		
	1502	**Contingency**	**0.00**	**0.00**	**0.00**	**0.00**
		Totals	**1,493,022.00**	**1,204,357.45**	**0.00**	**288,664.55**

Figure 4–6. Budget Tab with BLI/Voucher Detail

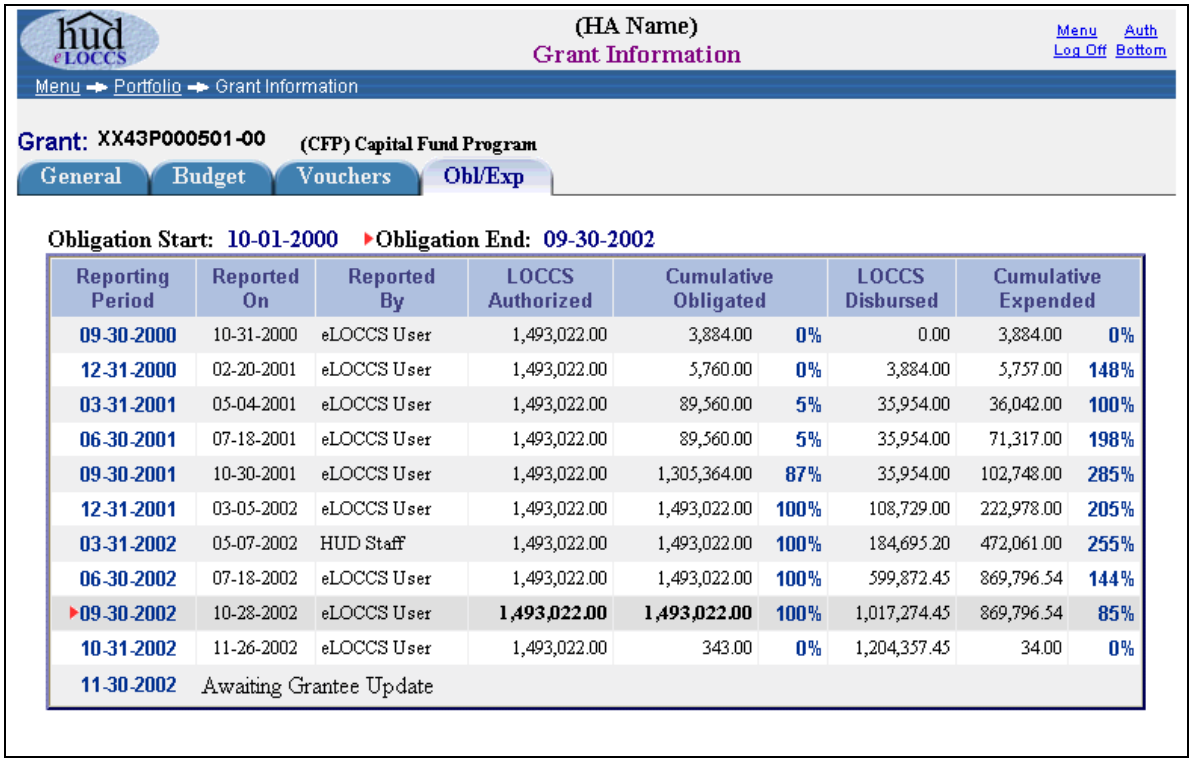
Clicking the 'Voucher' tab lists general voucher information for a particular grant. A voucher number can be selected to retrieve additional detail about that voucher (Figure 4–7). Click the double arrow detail icon on the 'Amount' column header to display an itemized BLI breakdown by voucher. To return to the previous level, click the up icon.



	Voucher No	Status	Entered	Amount	Schedule No	Est Deposit Date
1	092-076824	✔	10-28-2002 by e. User	85,605.00	LH9334	10/30/2002
2	092-073229	✔	10-04-2002 by e. User	101,478.00	LH9281	10/08/2002
3	092-067376	✔	09-03-2002 by e. User	81,730.00	LH9183	09/05/2002
4	092-063780	✔	08-07-2002 by e. User	83,882.00	LH9108	08/09/2002
5	092-058673	✔	07-02-2002 by e. User	251,790.00	LH9018	07/05/2002
6	092-055767	✔	06-13-2002 by e. User	156,060.35	LH8962	06/17/2002
7	092-052920	✔	05-24-2002 by e. User	123,760.00	LH8910	05/29/2002
8	092-049801	✔	05-01-2002 by e. User	61,410.00	LH8851	05/03/2002
9	092-045922	✔	04-04-2002 by e. User	73,946.90	LH8773	04/08/2002
10	092-041902	✔	03-06-2002 by e. User	39,596.20	LH8687	03/08/2002
11	092-036823	✔	01-28-2002 by e. User	36,370.00	LH8578	01/30/2002
12	092-033479	✔	12-28-2001 by e. User	35,725.00	LH8521	01/02/2002
13	092-030871	✔	12-07-2001 by e. User	37,050.00	LH8468	12/11/2001
14	092-006458	✔	03-21-2001 by e. User	7,070.00	LH7734	03/23/2001
15	092-005165	✔	03-01-2001 by e. User	25,000.00	LH7683	03/05/2001
16	092-000707	✔	11-14-2000 by e. User	3,884.00	LH7378	11/16/2000

Figure 4–7. Voucher Tab

Depending upon the Program Area and grant selected, the Obligated/Expenditures (Obl/Exp) tab may or may not be visible. The Obl/Exp query applies only to CFP, COMP CIAP, and URP. The Obl/Exp query tab supplies important historical information for the grant by reporting period (Figure 4–8).

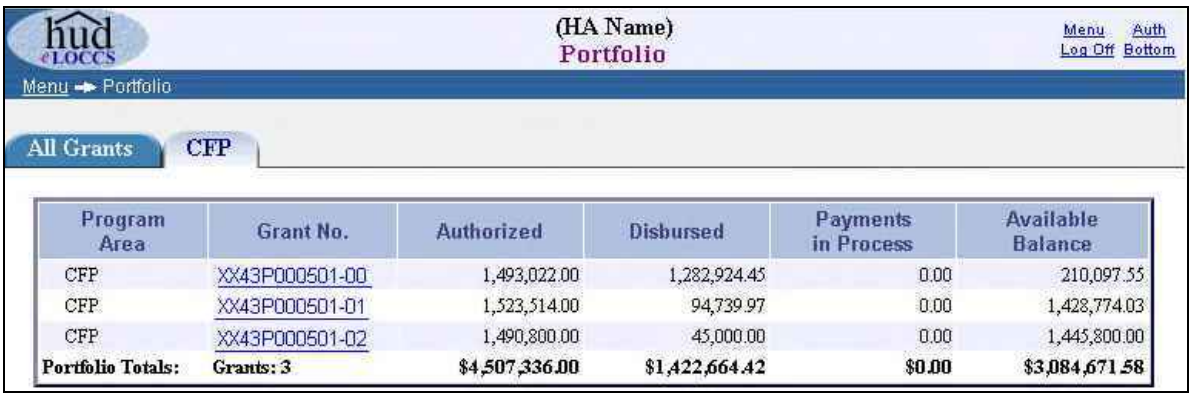


Reporting Period	Reported On	Reported By	LOCCS Authorized	Cumulative Obligated		LOCCS Disbursed	Cumulative Expended	
09-30-2000	10-31-2000	eLOCCS User	1,493,022.00	3,884.00	0%	0.00	3,884.00	0%
12-31-2000	02-20-2001	eLOCCS User	1,493,022.00	5,760.00	0%	3,884.00	5,757.00	148%
03-31-2001	05-04-2001	eLOCCS User	1,493,022.00	89,560.00	5%	35,954.00	36,042.00	100%
06-30-2001	07-18-2001	eLOCCS User	1,493,022.00	89,560.00	5%	35,954.00	71,317.00	198%
09-30-2001	10-30-2001	eLOCCS User	1,493,022.00	1,305,364.00	87%	35,954.00	102,748.00	285%
12-31-2001	03-05-2002	eLOCCS User	1,493,022.00	1,493,022.00	100%	108,729.00	222,978.00	205%
03-31-2002	05-07-2002	HUD Staff	1,493,022.00	1,493,022.00	100%	184,695.20	472,061.00	255%
06-30-2002	07-18-2002	eLOCCS User	1,493,022.00	1,493,022.00	100%	599,872.45	869,796.54	144%
09-30-2002	10-28-2002	eLOCCS User	**1,493,022.00**	**1,493,022.00**	100%	1,017,274.45	869,796.54	85%
10-31-2002	11-26-2002	eLOCCS User	1,493,022.00	343.00	0%	1,204,357.45	34.00	0%
11-30-2002	Awaiting Grantee Update							

Figure 4–8. Obl/Exp Tab

4.1.2.2 Program Portfolio

A user may view a specific program area by clicking the Program Area tab ("CFP") next to the 'All Grants' tab (Figure 4–9). The program area on the tab is based on the user's program area selection when initially accessing *e*LOCCS (Figure 4–1). In Figure 4–9 , only CFP grants are displayed because this is the program area selected at the authorizations page access point.

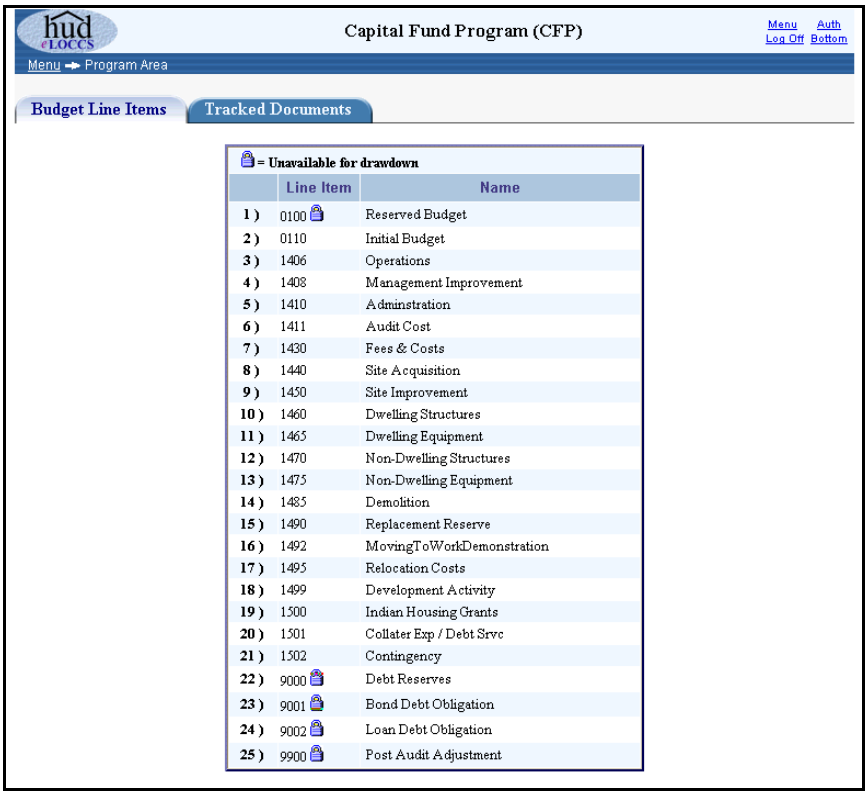


Program Area	Grant No.	Authorized	Disbursed	Payments in Process	Available Balance
CFP	XX43P000501-00	1,493,022.00	1,282,924.45	0.00	210,097.55
CFP	XX43P000501-01	1,523,514.00	94,739.97	0.00	1,428,774.03
CFP	XX43P000501-02	1,490,800.00	45,000.00	0.00	1,445,800.00
Portfolio Totals:	**Grants: 3**	**$4,507,336.00**	**$1,422,664.42**	**$0.00**	**$3,084,671.58**

Figure 4–9. Program Portfolio

4.1.2.3 Program Specific Information

The program-specific information hyperlink on the *e*LOCCS main menu provides useful information about a particular program. The program area hyperlink is determined at the *e*LOCCS authorizations page access point. Figure 4–10 shows two tabs that supply information relative to the CFP grant: a 'Budget Line Item' chart under the Budget Line Items tab and a message about a HUD requirement under the 'Tracked Documents' tab (Figure 4–11).



	Line Item	Name
1)	0100	Reserved Budget
2)	0110	Initial Budget
3)	1406	Operations
4)	1408	Management Improvement
5)	1410	Adminstration
6)	1411	Audit Cost
7)	1430	Fees & Costs
8)	1440	Site Acquisition
9)	1450	Site Improvement
10)	1460	Dwelling Structures
11)	1465	Dwelling Equipment
12)	1470	Non-Dwelling Structures
13)	1475	Non-Dwelling Equipment
14)	1485	Demolition
15)	1490	Replacement Reserve
16)	1492	MovingToWorkDemonstration
17)	1495	Relocation Costs
18)	1499	Development Activity
19)	1500	Indian Housing Grants
20)	1501	Collater Exp / Debt Srvc
21)	1502	Contingency
22)	9000	Debt Reserves
23)	9001	Bond Debt Obligation
24)	9002	Loan Debt Obligation
25)	9900	Post Audit Adjustment

Figure 4–10. Program Specific BLI Tab

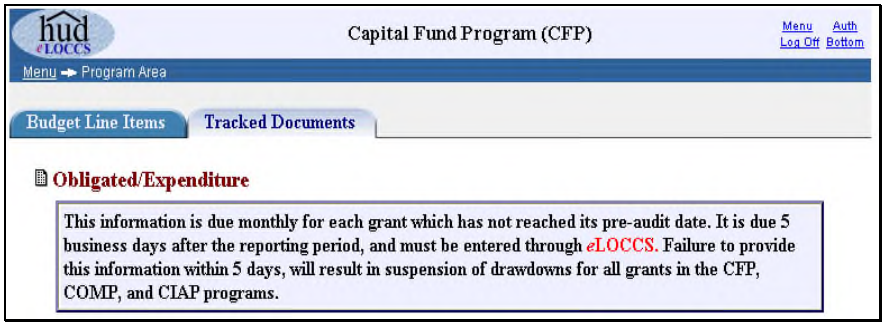


Figure 4–11. Program-Specific Tracked Documents Tab

4.1.2.4 Wire Payments/Check Payments

The 'Wire/Check Payments' option displays daily summaries of wire/check payments made to the Business Partner. To reduce the number of records displayed, the page defaults to the last 50 payments. A 'Next' hyperlink is available at the top column header and bottom of the table to select the next 50 rows (Figure 4–12).

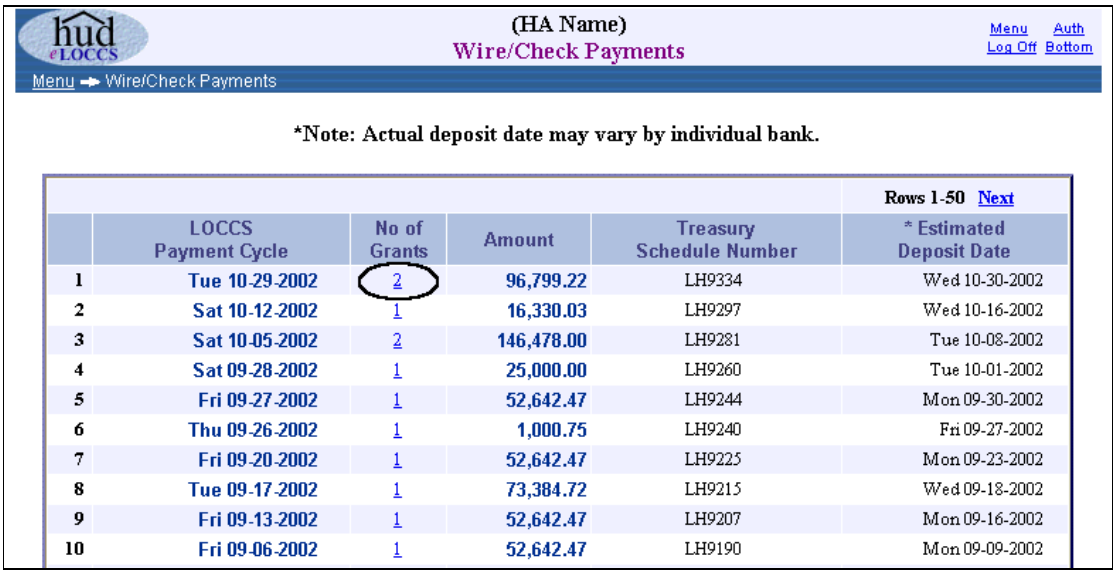


Figure 4–12. Wire/Check Payments

4.1.2.4.1 Wire Payments Detail

Select a hyperlink in the 'No of Grants' column on the Wire/Check Payments page to view the 'Wire-Check Payments Detail'. The LOCCS disbursements made on the selected Payment Cycle date appear on this page as illustrated in the figure below.

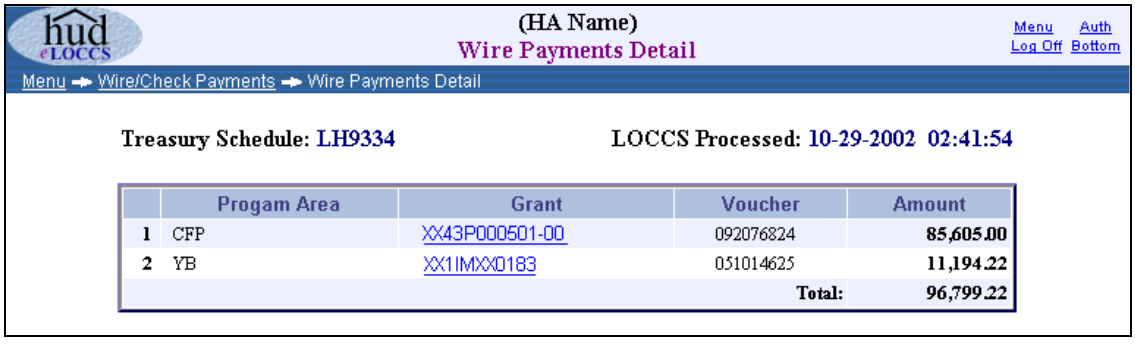


Figure 4–13. Wire Payments Detail

4.1.3 Updates

4.1.3.1 Payment Voucher Entry

The 'Payment Voucher Selection' page allows grantees the ability to select and request all their voucher payments at once. Depending on the user's program area authority, all available grants in all program areas in which the user has drawdown authority are selected and displayed with a check box next to the grant number (Figure 4–14).

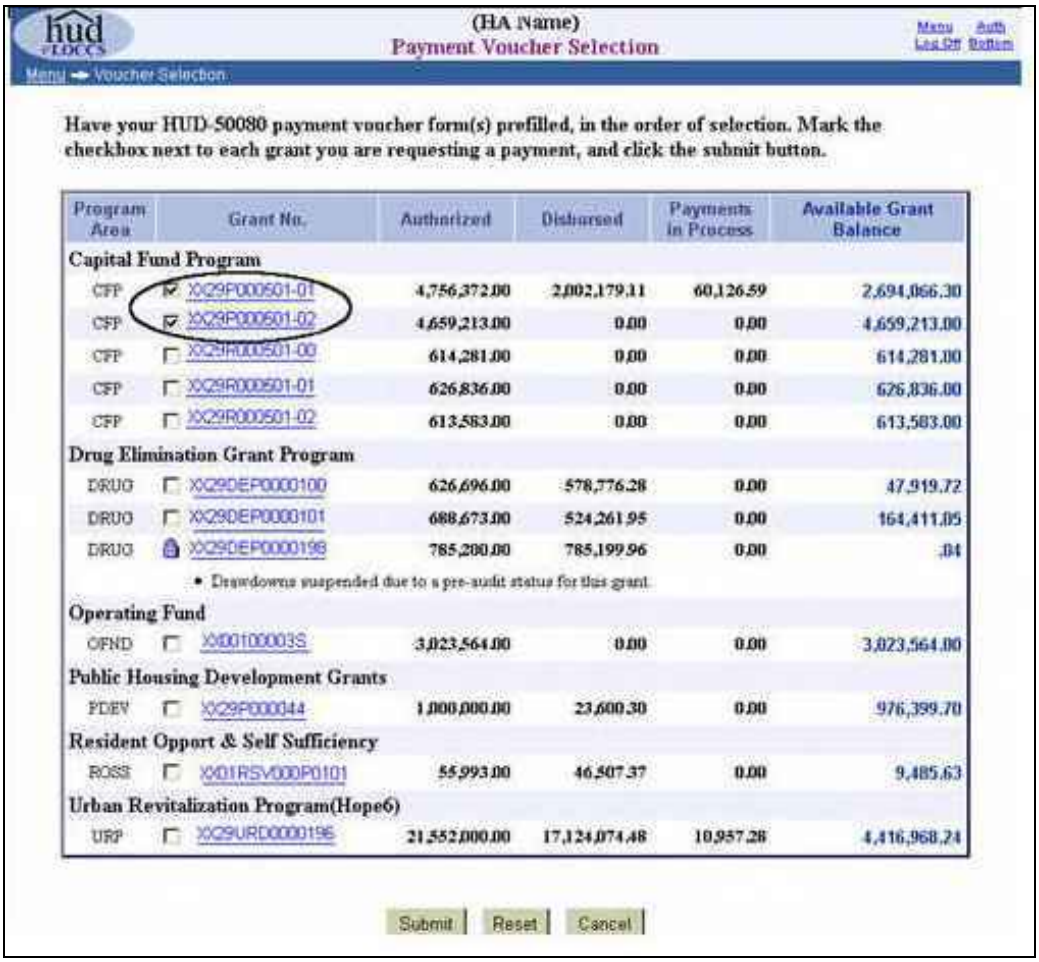


Figure 4–14. Payment Voucher Selection

If a grant has an available balance, but *e*LOCCS determines the grant is unavailable for drawdown, the check box is replaced with a lock icon. An explanation will appear directly below the grant stating why the grant is locked.

To perform a drawdown, mark the desired check boxes next to the grant and click the 'Submit' button for *e*LOCCS processing. *e*LOCCS will then display these vouchers in succession, and the appropriate budget line information will appear for each one.

If multiple grants were selected on the 'Voucher Selection' page, the 'Next Payment' button and related grant number appear at the bottom of the page (Figure 4–15). Clicking on the 'Next Payment' button displays the next HUD-50080 voucher form for that grant. The current voucher will be skipped for processing.

*e*LOCCS automatically totals the voucher as each Budget Line Item (BLI) amount is entered. A negative BLI amount cannot be entered against an available drawdown balance.

After BLI drawdown amounts fields have been populated, click the 'Submit' button and one of the following results will be returned:

- The voucher request is accepted and processed for payment,
- The voucher request is accepted but requires HUD review, or
- The voucher request is rejected and a reason is provided.

Figure 4–15 illustrates a payment voucher entry request of $2,000 against the BLI 1408 Management Improvement account.

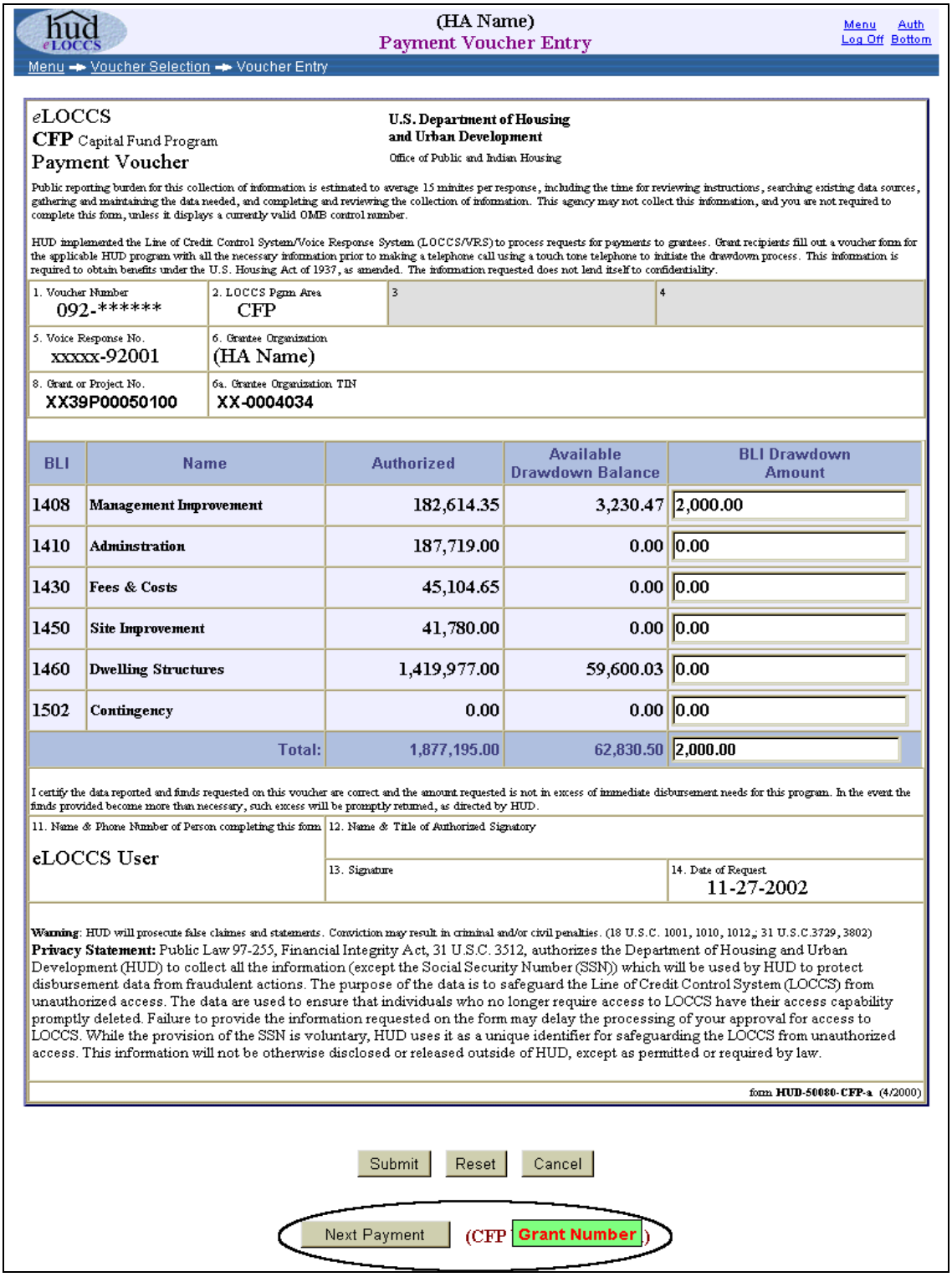


Figure 4–15. Payment Voucher Entry

Figure 4–16 illustrates a screen stating the voucher request has been accepted and approved for payment.

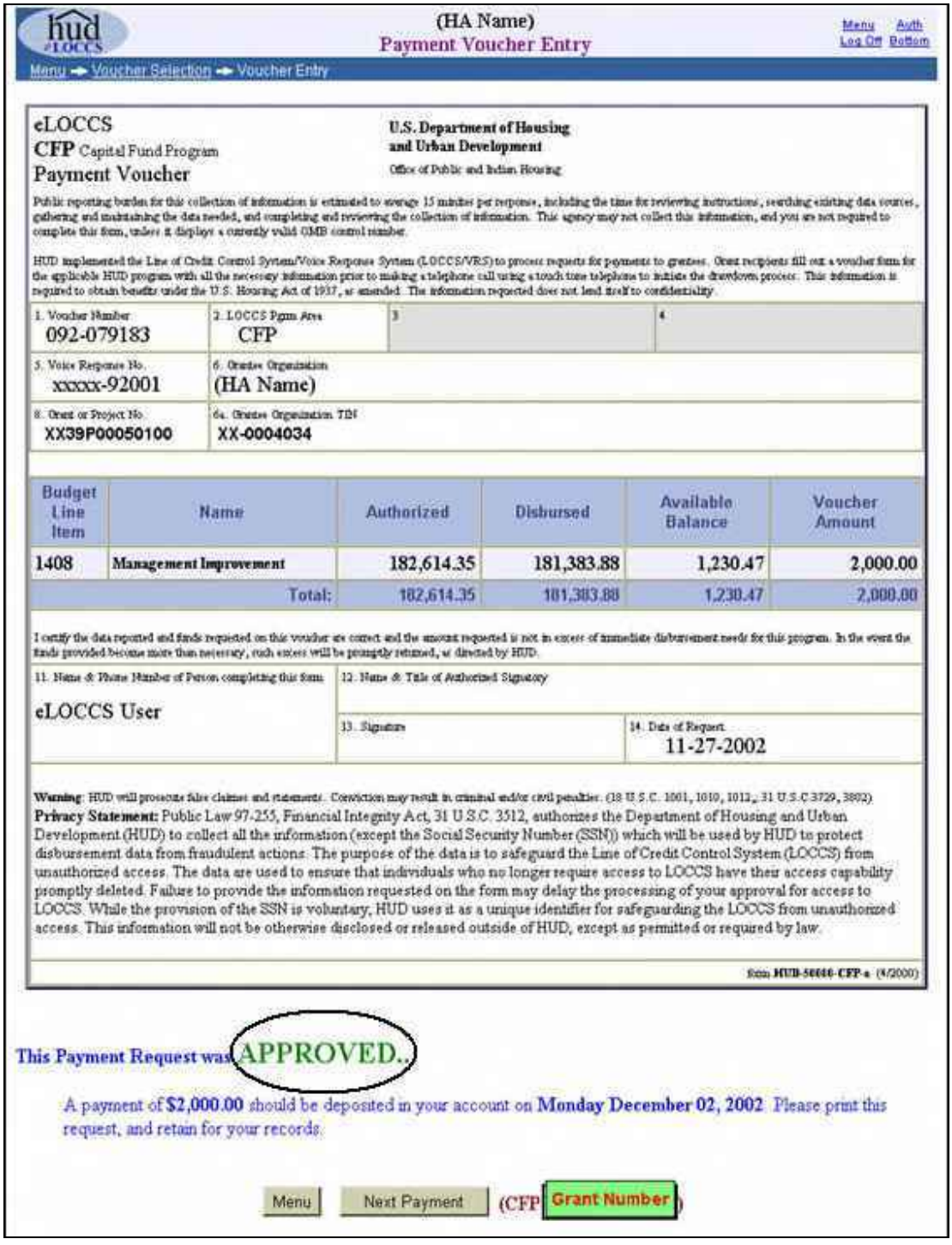


Figure 4–16. Payment Voucher – Approved Confirmation

4.1.3.2 Cancel a Voucher

Users who have the authority to create a voucher request can cancel that request prior to LOCCS payment. The 'Cancel Voucher' option is accessed through the main menu. When this option is selected, *e*LOCCS will display any outstanding vouchers that may be canceled (Figure 4–17).

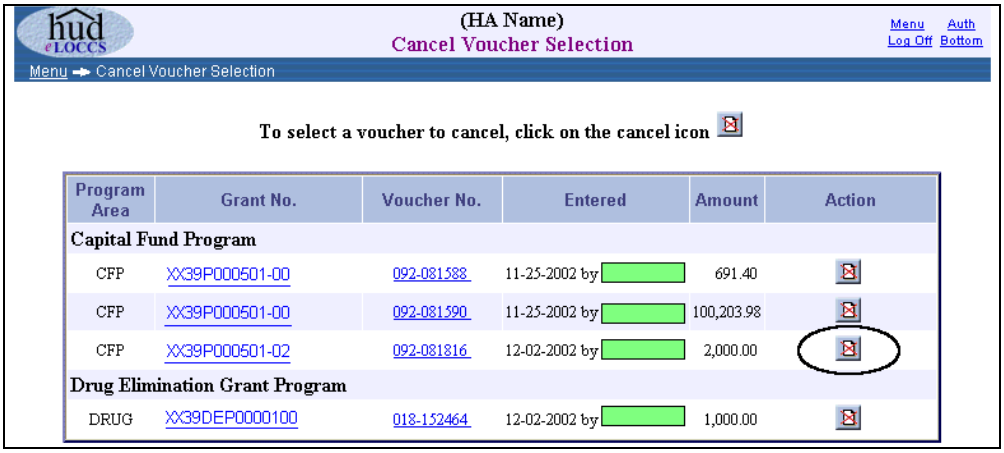


Figure 4–17. Cancel Voucher Selection

Select the cancel button icon and a screen with a text box will be displayed for entering a reason to cancel the voucher (Figure 4–18). After entering the reason, click the 'Submit' button and the selected voucher will be canceled. Another voucher may now be entered against the grant, if needed.

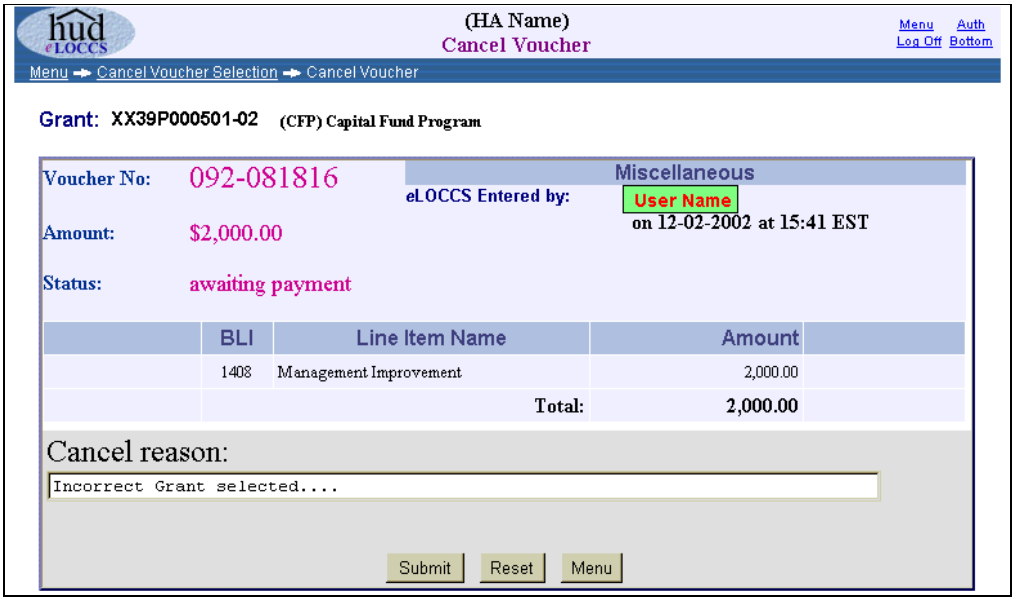


Figure 4–18. Cancel Voucher

4.1.3.3 Obligated/Expenditure (Programs)

PIH programs such as CFP, COMP, and URP require the business partner to provide monthly obligated and expended information in *e*LOCCS. This information represents the amount of HUD funds they have received and that have been obligated and/or expended.

The Obligated/Expenditure link is a program specific function. In order for it to appear in the *e*LOCCS main menu a related program area must be chosen from the *e*LOCCS authorization page after signing into *e*LOCCS.

To display the Obligated/Expenditure Status page, click on the Obligated/Expenditure link from the *e*LOCCS Main Menu. *e*LOCCS will list all programs with grants that require Obligated/Expenditure updating. If the reporting information is past due, a clock icon appears next to reporting period. By simply providing the obligated/expended reporting information the icon will go away. Users that are authorized to provide that information, the reporting period will become a hyperlink. Clicking on the link will allow entry of the information for that period (Figure 4–19).

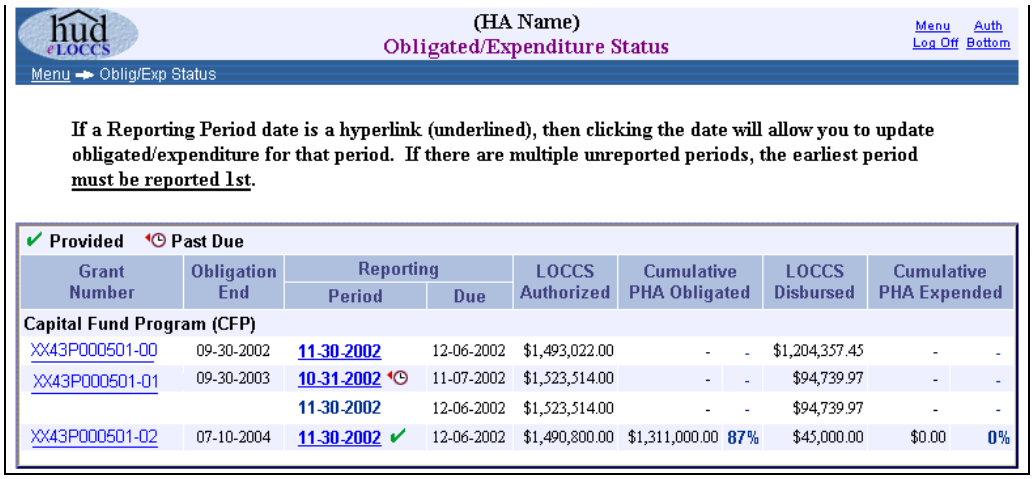


Figure 4–19. Obligated/Expenditure Status

For convenience, a check box is provided to automatically use the previous figures if the prior reported amounts are the same as current reported amounts (Figure 4–20).

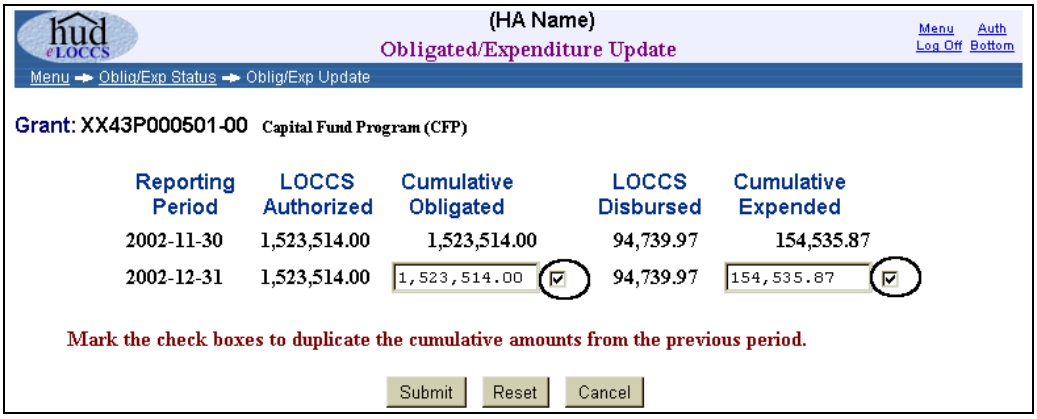


Figure 4–20. Obligated/Expenditure Update

4.1.4 Miscellaneous

4.1.4.1 Maintain Email Addresses

A useful feature of *e*LOCCS is the ability to provide emails of LOCCS HUD changes that affect the funding of grants in a portfolio. These e-mails alert users when funding for the contract/grant has changed. The Business Partner maintains both the email distribution list and the LOCCS email that each user address will receive.

In order to update or maintain email addresses, users must be assigned the Secure Systems LOCCS role of 'ADM - Administration'. With this role assigned, the *e*LOCCS menu options will display 'Maintain Email Addresses' and 'Maintain Email Assignment' hyperlinks on the *e*LOCCS main menu page.

Click on the 'Maintain Email Addresses' hyperlink to display an entry page with an upper and lower section (Figure 4–21). The upper section specifies the primary LOCCS email address for the Business Partner. This email address automatically receives all LOCCS email portfolio changes; no specific email assignment is necessary. For this reason, it is suggested that the primary email address be a generic email mailbox for the organization.

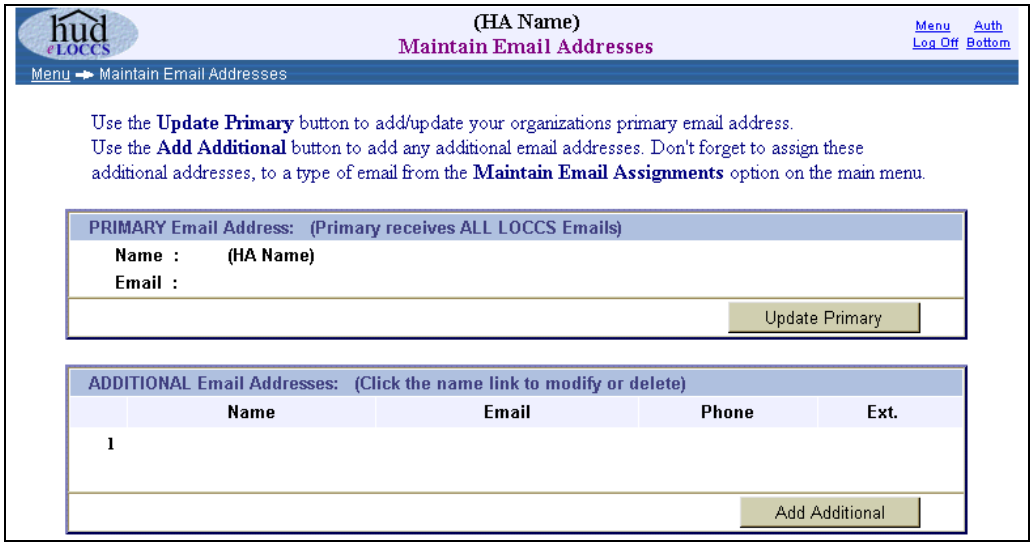


Figure 4–21. Maintain Email Addresses

To update the primary email address, click the 'Update Primary' button and enter the updated email information for the organization and select 'Submit' (Figure 4–22).

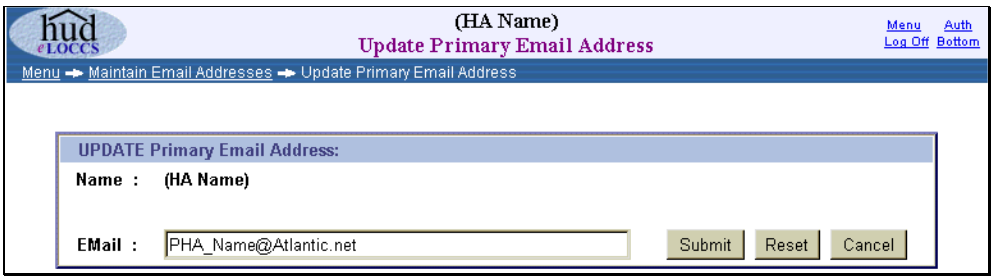


Figure 4–22. Update Primary Email Address

The bottom portion of the 'Maintain Email Addresses' page (Figure 4–21) provides an area for adding, deleting, and updating any number of additional email addresses for individuals in the organization (Figure 4–23 and Figure 4–24).

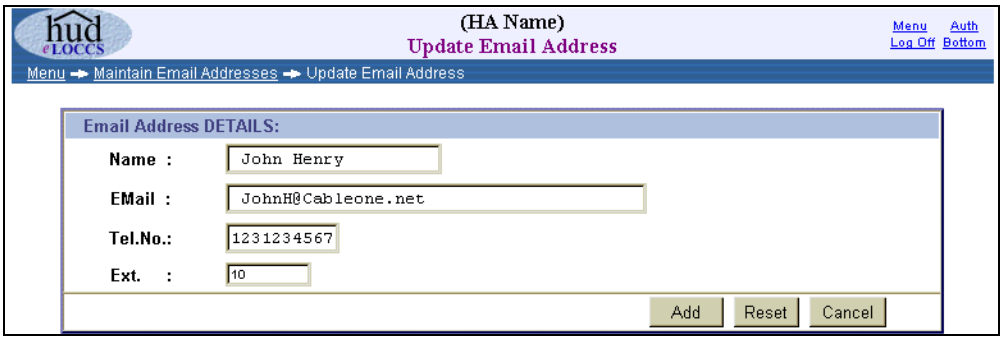


Figure 4–23. Update Email Addresses

These additional email addresses will not automatically receive any email reports and therefore must be assigned a type of email by selecting the 'Email Assignment' option from the main menu (*Section 4.1.4.2, "Maintain Email Assignments"*). Select 'Add Additional' and enter the email information.

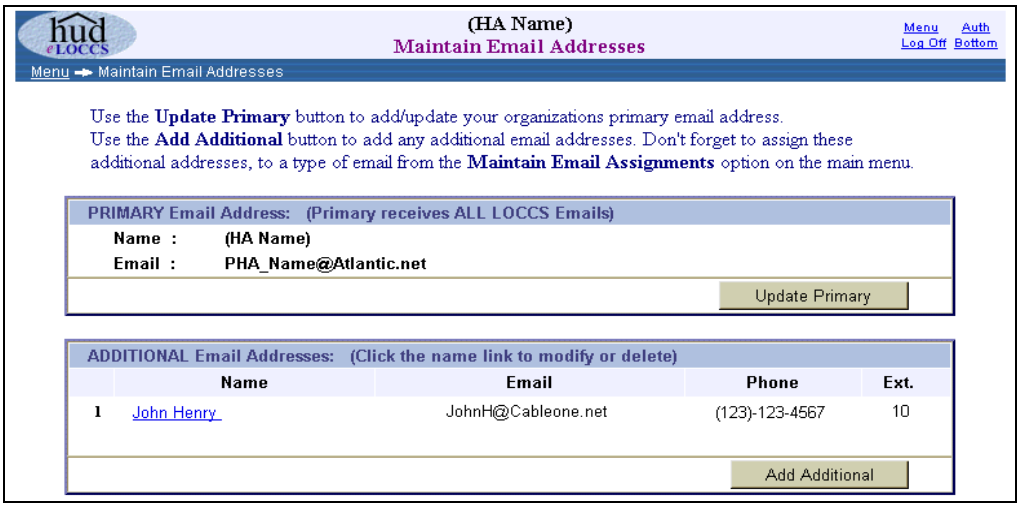


Figure 4–24. Update Additional Email Addresses

4.1.4.2 Maintain Email Assignments

The Maintain Email Assignments page allows an Admin user to assign additional email addresses other than the primary email address to specific emails generated by LOCCS. A user has two options for email assignment: (1) 'By Addressee' and (2) 'By Type of Email'. In Figure 4–25 the email type 'By Addressee' has been chosen.

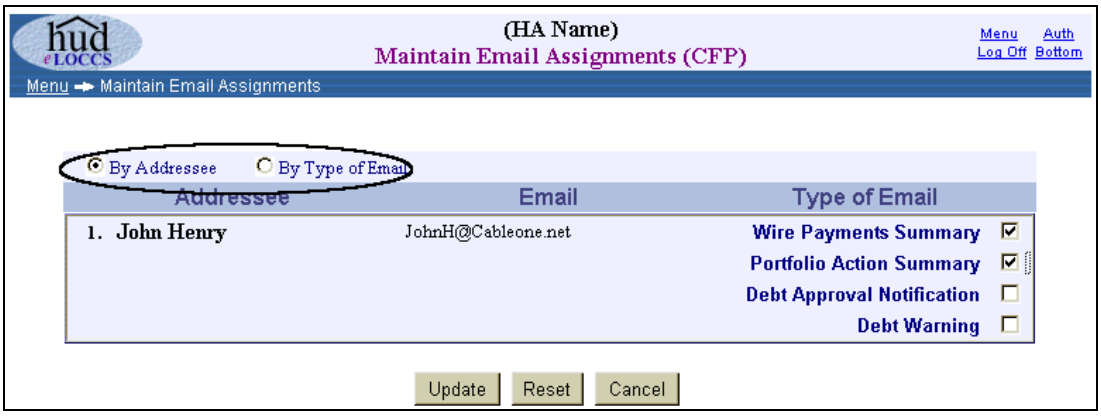


Figure 4–25. Email by Addressee

If selecting 'By Type of Email' (Figure 4–26), individual types of email will appear as a hyperlink. Clicking on a hyperlink will display a description of the email and provide a sample email. In the example in Figure 4–26, selecting the check box after the addressee's name, the 'Wire Payments' and 'Portfolio Action Summary' email types will be assigned to the user.

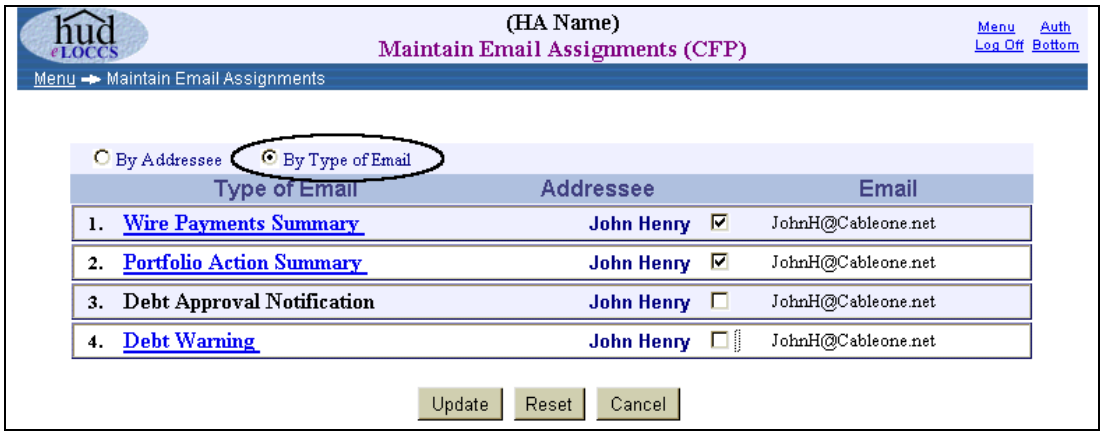


Figure 4–26. Email by Type

4.2 Grant Based Programs

4.2.1 Payment Voucher Entry

The *e*LOCCS system supports a range of HUD programs allowing the grantees the ability to manage and perform payment voucher requests against their program portfolios. As mentioned, another type of HUD program is 'Grant based' in which disbursement processing is at the grant level. An example of this grant accounting transaction is illustrated through n *e*LOCCS 'Payment Voucher Entry' request (Figure 4–27).

From the *e*LOCCS Main Menu page, select the 'Payment Voucher Entry' link to return the 'Payment Voucher Selection' page. Mark the checkbox next to the grant for draw and click Submit.

Figure 4–27. Grant Payment Voucher Selection

After this submittal, the 'Payment Voucher Entry' page is displayed to allow the grantee to indicate the requested funds. Note that the grantee only has one voucher line option at the grant level for requesting funds. In the example in Figure 4–28, $5000 is entered. Since the program is grant based, *e*LOCCS will disburse and report funds at this accounting level.

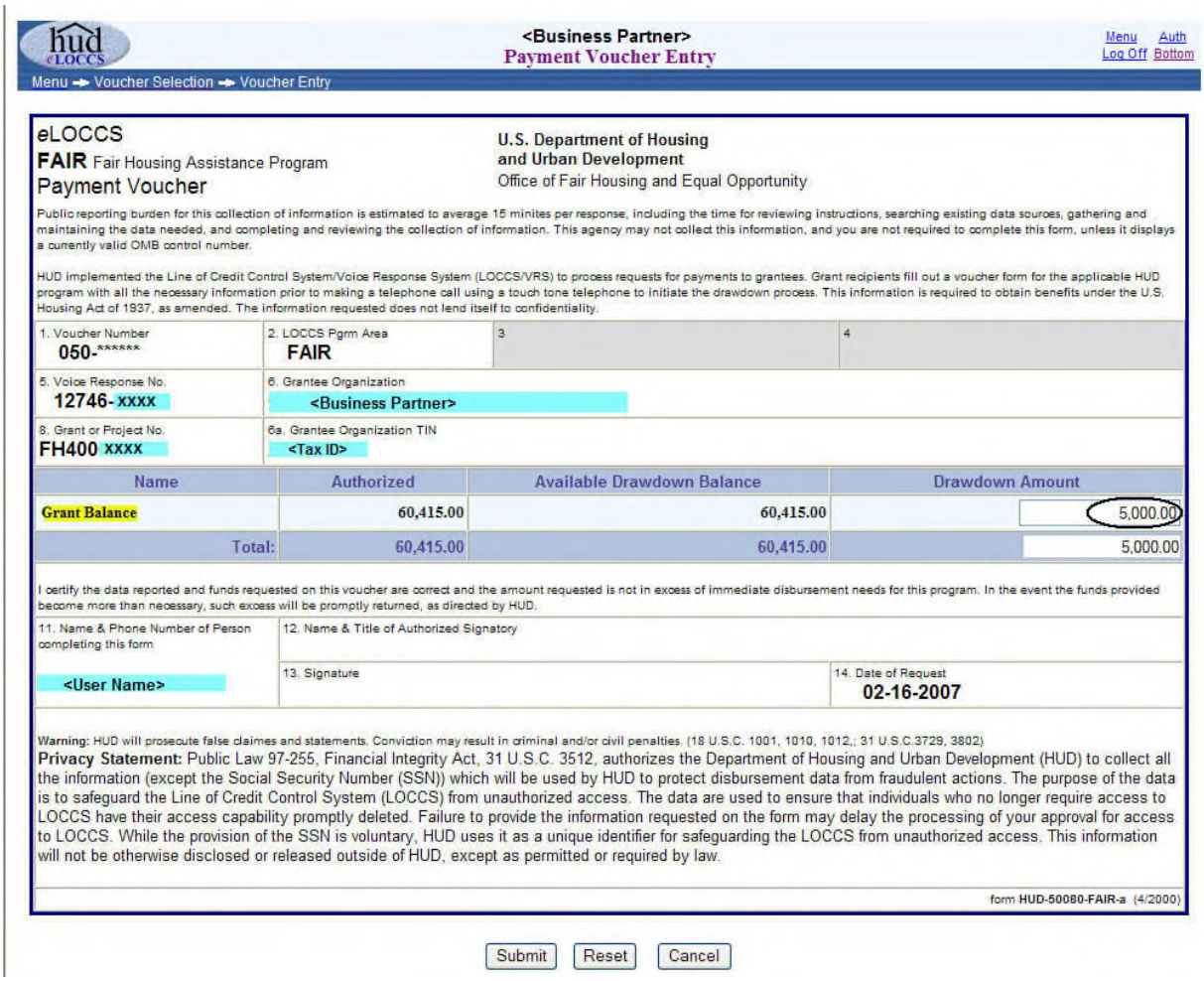


Figure 4–28. Grant Voucher Entry

4.3 Shelter Plus Care (SPC) Program

4.3.1 SPC Components

'Shelter Plus Care' (SPC) is a Budget Line Item (BLI) based program area. SPC is unique in that the BLI based program is further grouped into three major program components:

- Sponsor-based Rental Assistance (SRA)
- Tenant-based Rental Assistance (TRA)
- Project-based Rental Assistance (PRA)

*e*LOCCS tracks each BLI component separately within that program area's operating start date, term, and tenant information for an operating year. Since each component is tracked independently, *e*LOCCS requires a single voucher request at a time for each SRA, TRA or PRA budget line item. If the grantee requires a draw for more than one component on a given day, multiple voucher requests must be entered.

The normal *e*LOCCS voucher request is one grant per day. This is overridden for SPC, since its components are tracked separately.

For all three SPC components, *e*LOCCS captures unit and tenant information which is provided by the grantee during a draw. There are five types of unit and tenant categories for the grantee to select or update for a given draw period. If unit/tenant information has already been provided for the given component/period in a previous voucher, this information is not required to be submitted again by the grantee.

Descriptions and examples of the major SPC components are presented in sections that follow.

4.3.2 SPC Grant Portfolio

The 'Grant Portfolio' lists funding information of 'All Grant's by program area authorized for the user. The 'Grant Portfolio' page offers a budget snapshot of grant information with balance amounts including any new grants that have been assigned to the Portfolio within the past 30 days.

In addition to displaying grant information on the Grant Portfolio page, the SPC page displays a 'Show Sponsor' hyperlink that is unique to SPC program. The 'Show Sponsor' link will display all sub-grantee Sponsors linked to the grantee.

In the example below (Figure 4–29), clicking on the Shelter + Care '**Show Sponsors**' link displays the names of the SPC sponsors. To 'hide' the sponsor names, click on '**Hide Sponsors'**.

SPC Sponsors are further described in *SPC Voucher Entry*, *Section 4.3.3*.

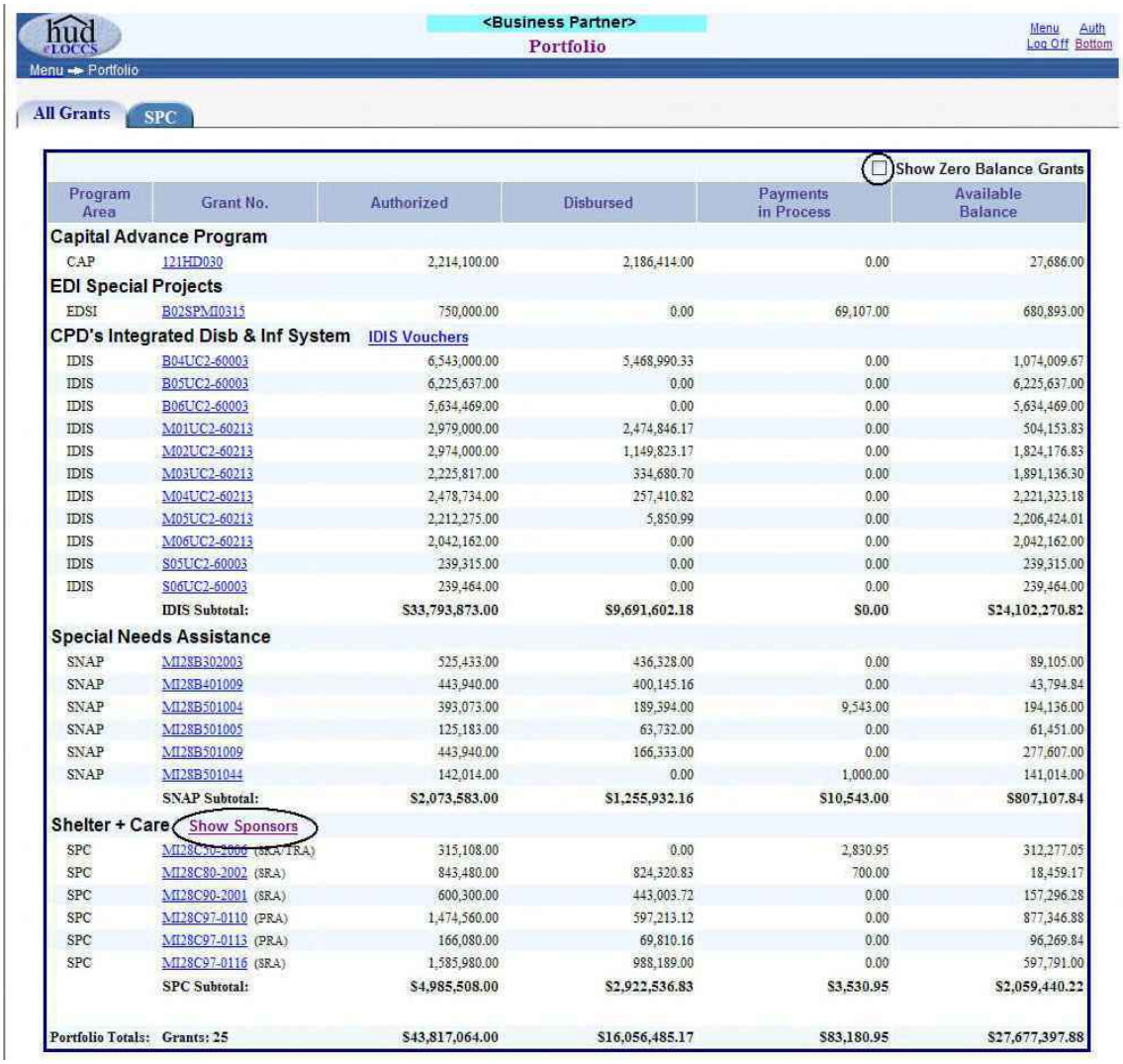


Figure 4–29. SPC Grant Portfolio

The names of Shelter + Care Business Partner Sponsors may be displayed (Figure 4–30).

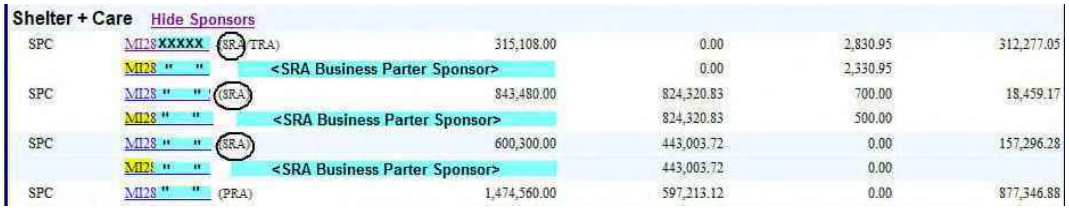


Figure 4–30. Displaying Names of Shelter Plus Care Sponsors

4.3.3 Shelter Plus Care (SPC) Payment Voucher Entry

The 'Payment Voucher Selection' page allows grantees the ability to select and request all their vouchers at once. Depending on the user's program area authority, all available grants in all program areas in which the user has drawdown capability are displayed.

From the *e*LOCCS Main Menu, select the 'Payment Voucher Entry' hyperlink which will display a 'Payment Voucher Selection' page (Figure 4–31). Mark the desired check box next to the grant and click the 'Submit' button.

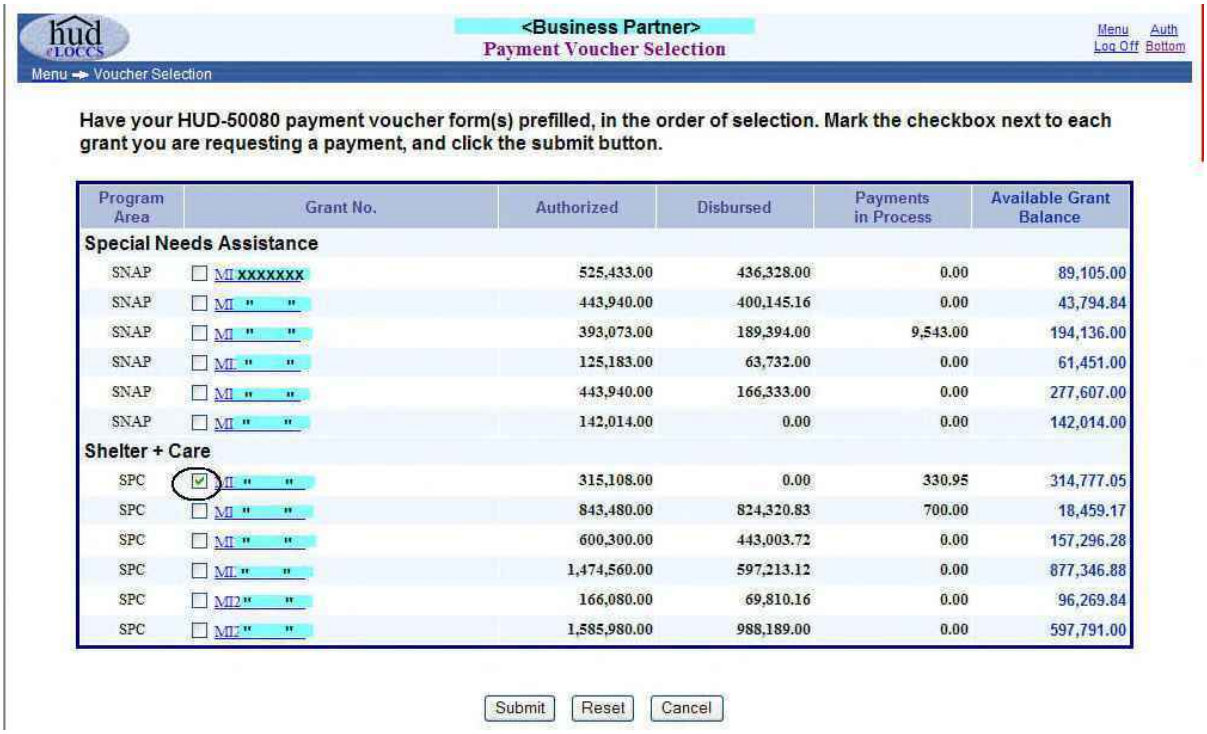


Figure 4–31. SPC Payment Voucher Selection

The next page displayed will be the 'SPC Component Selection' page. One to multiple components may be listed, depending on the SPC grant. Due to the uniqueness of the SPC BLI Components, voucher draws are handled differently from other BLI programs in *e*LOCCS.

For SRA components, one or more sponsors will be associated with the SRA funding. To draw funds against the SRA Component, *e*LOCCS requires the grantee to enter a voucher period and to identify a sponsor.

For TRA and PRA components, voucher draws are handled in the same manner as SRA components except that TRA and PRA voucher draws require only a voucher period when requesting funds.

Note that **only one SRA/TRA/PRA component is allowed per voucher request**; however, ADMN funds can be drawn with any component or on a voucher by itself.

The following section includes two examples that illustrate voucher draws for an SRA component and TRA component after an SPC grant has been selected from the 'Payment Voucher Selection' page (Figure 4–31).

4.3.3.1 Sponsor-based Rental Assistance (SRA) Component Selection

In Figure 4–32 which provides an SRA component selection example, the SRA and ADM BLIs have been selected, noted by the marked checkboxes.

Note the **SRA component requires a Voucher Period and Sponsor** whereas the ADM BLI does not.

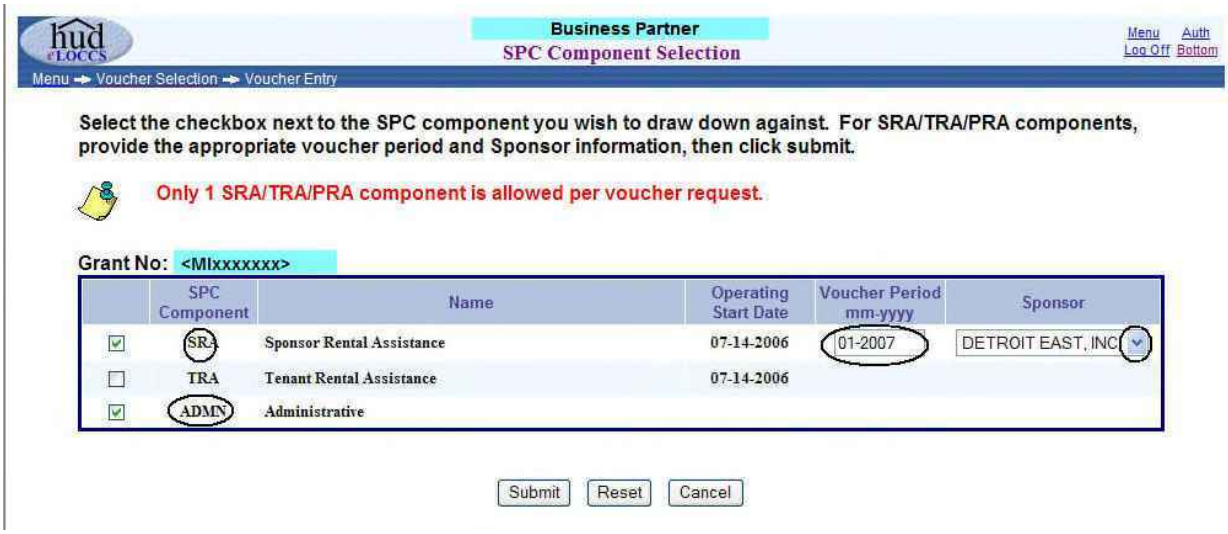


Figure 4–32. SRA Component Selection

Once the component information has been entered, click 'Submit' and a 'Unit and Tenant Information' page will be returned (Figure 4–33).

Each SPC voucher requires Unit/Tenant data when performing a draw unless it has previously been provided for the same voucher period and sponsor.

For convenience, a check box is provided that will automatically duplicate the previous reported tenant information if the current information is the same.

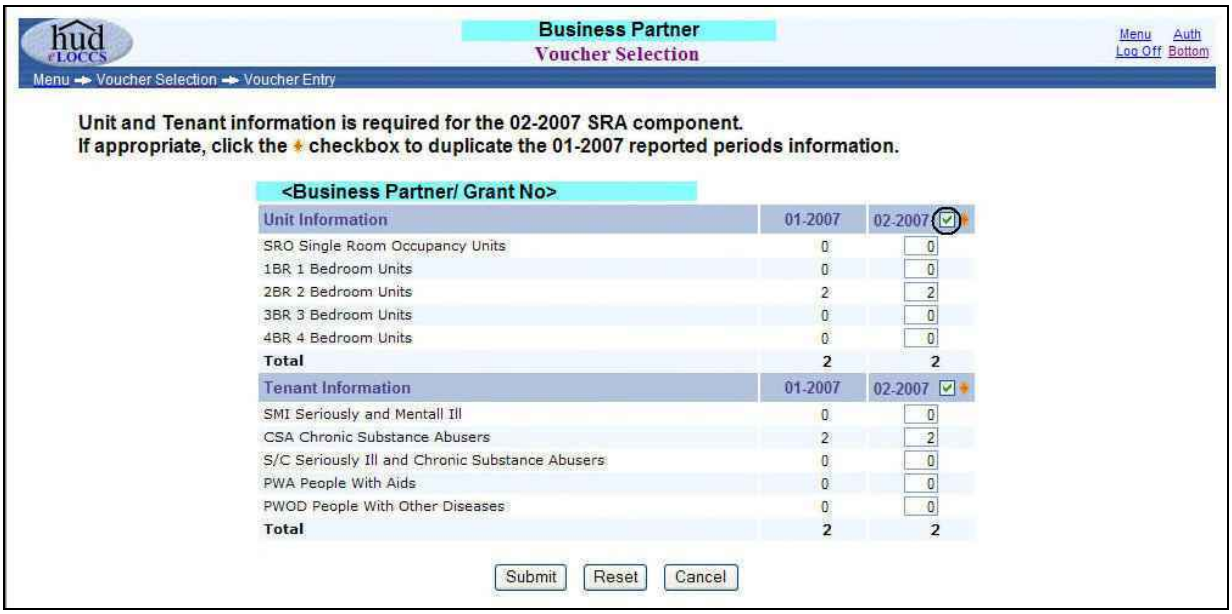


Figure 4–33. Voucher Selection: Unit and Tenant Information

Once Unit and Tenant information has been provided, click the 'Submit' button to return the 'Payment Voucher Entry' page (Figure 4–34).

In the Payment Voucher example (Figure 4–34) , a voucher request of $2,500 has been entered to draw funds against **BLI 1000 SRA Rental Assistance** (in this case for the Sponsor selected) and $500 for **BLI 1060 Administrative**.

The *e*LOCCS system automatically totals the voucher as each Budget Line Item (BLI) amount is populated.

Click ‘Submit” to request the funds.

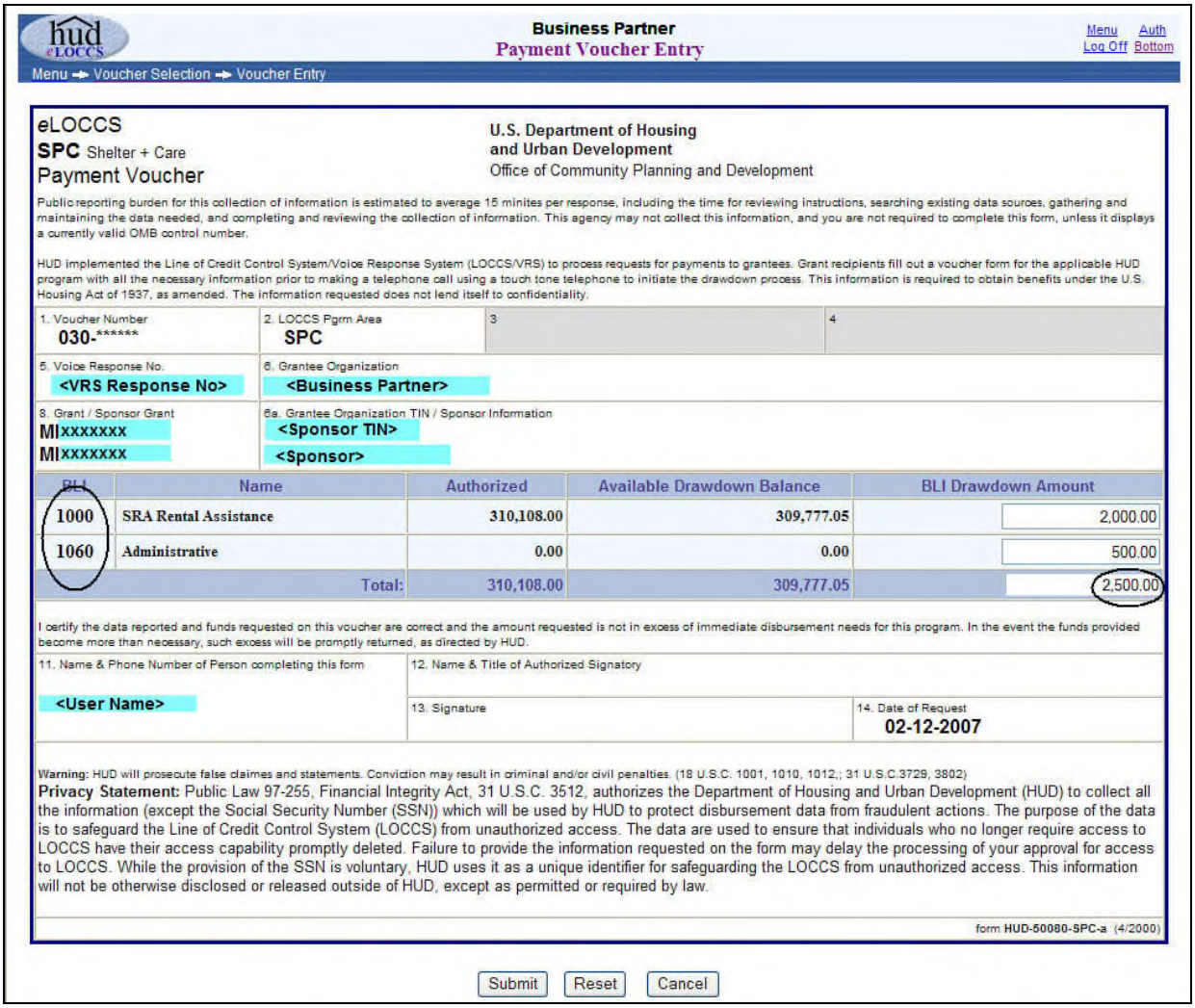
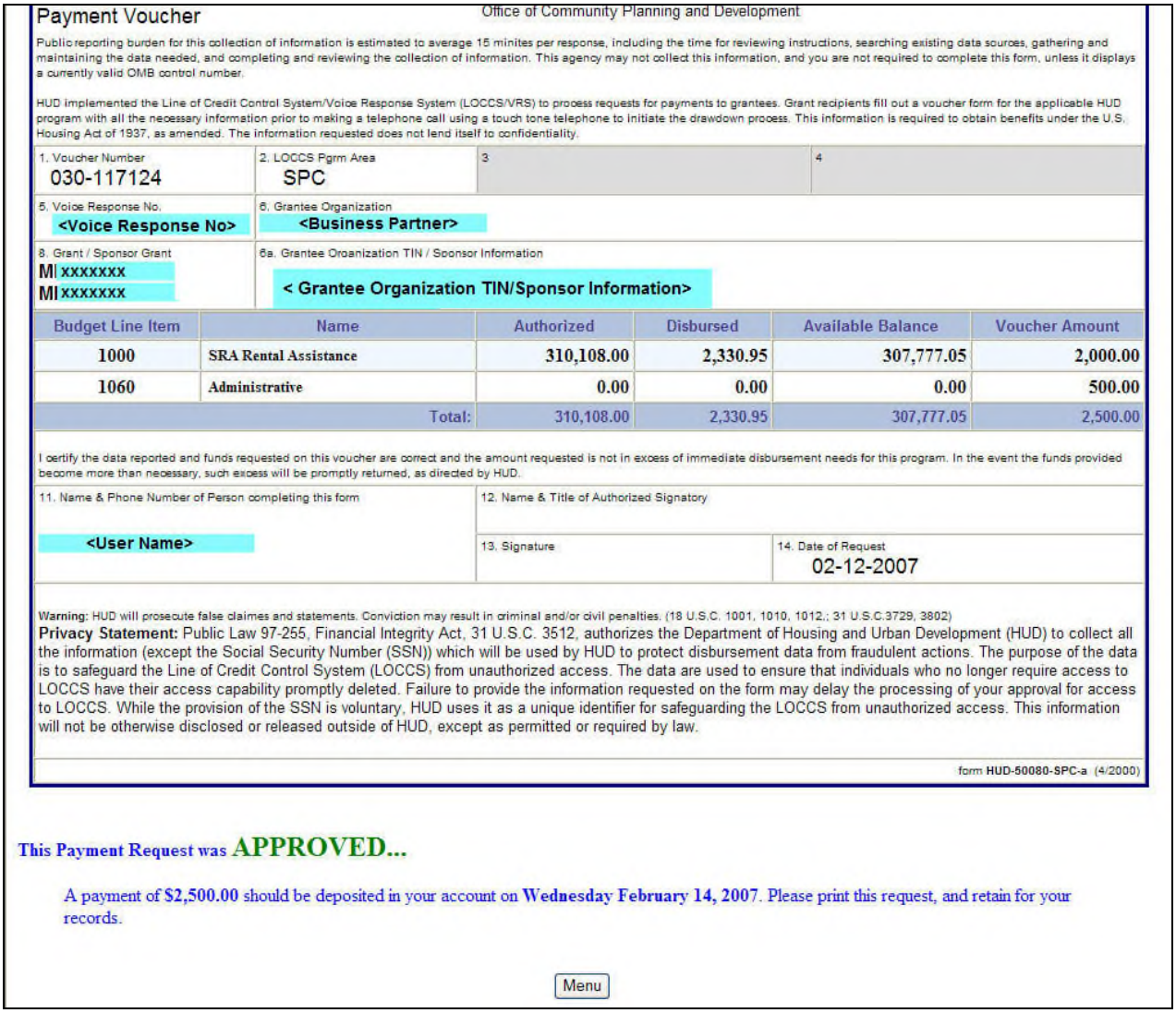


Figure 4–34. SPC Payment Voucher Entry > SRA Component

Figure 4–35 illustrates an SRA payment voucher request for $2500 that has been **accepted and approved** for payment.



Payment Voucher

Office of Community Planning and Development

Public reporting burden for this collection of information is estimated to average 15 minites per response, including the time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. This agency may not collect this information, and you are not required to complete this form, unless it displays a currently valid OMB control number.

HUD implemented the Line of Credit Control System/Voice Response System (LOCCS/VRS) to process requests for payments to grantees. Grant recipients fill out a voucher form for the applicable HUD program with all the necessary information prior to making a telephone call using a touch tone telephone to initiate the drawdown process. This information is required to obtain benefits under the U.S. Housing Act of 1937, as amended. The information requested does not lend itself to confidentiality.

1. Voucher Number	2. LOCCS Pgrm Area	3	4
030-117124	SPC		

5. Voice Response No.	6. Grantee Organization
<Voice Response No>	<Business Partner>

8. Grant / Sponsor Grant	8a. Grantee Organization TIN / Sponsor Information
MI xxxxxxx MI xxxxxxx	< Grantee Organization TIN/Sponsor Information>

Budget Line Item	Name	Authorized	Disbursed	Available Balance	Voucher Amount
1000	SRA Rental Assistance	310,108.00	2,330.95	307,777.05	2,000.00
1060	Administrative	0.00	0.00	0.00	500.00
	Total:	310,108.00	2,330.95	307,777.05	2,500.00

I certify the data reported and funds requested on this voucher are correct and the amount requested is not in excess of immediate disbursement needs for this program. In the event the funds provided become more than necessary, such excess will be promptly returned, as directed by HUD.

11. Name & Phone Number of Person completing this form	12. Name & Title of Authorized Signatory	
<User Name>	13. Signature	14. Date of Request 02-12-2007

Warning: HUD will prosecute false claimes and statements. Conviction may result in criminal and/or civil penalties. (18 U.S.C. 1001, 1010, 1012.; 31 U.S.C.3729, 3802)

Privacy Statement: Public Law 97-255, Financial Integrity Act, 31 U.S.C. 3512, authorizes the Department of Housing and Urban Development (HUD) to collect all the information (except the Social Security Number (SSN)) which will be used by HUD to protect disbursement data from fraudulent actions. The purpose of the data is to safeguard the Line of Credit Control System (LOCCS) from unauthorized access. The data are used to ensure that individuals who no longer require access to LOCCS have their access capability promptly deleted. Failure to provide the information requested on the form may delay the processing of your approval for access to LOCCS. While the provision of the SSN is voluntary, HUD uses it as a unique identifier for safeguarding the LOCCS from unauthorized access. This information will not be otherwise disclosed or released outside of HUD, except as permitted or required by law.

form HUD-50080-SPC-a (4/2000)

This Payment Request was **APPROVED...**

A payment of **$2,500.00** should be deposited in your account on **Wednesday February 14, 2007**. Please print this request, and retain for your records.

Menu

Figure 4–35. Approved SRA Payment Request

4.3.3.2 Tenant-based Rental Assistance (TRA) Component Selection

Figure 4–36 illustrates an example of a TRA component selection. A 'Voucher Period' is required information for a TRA component voucher request.

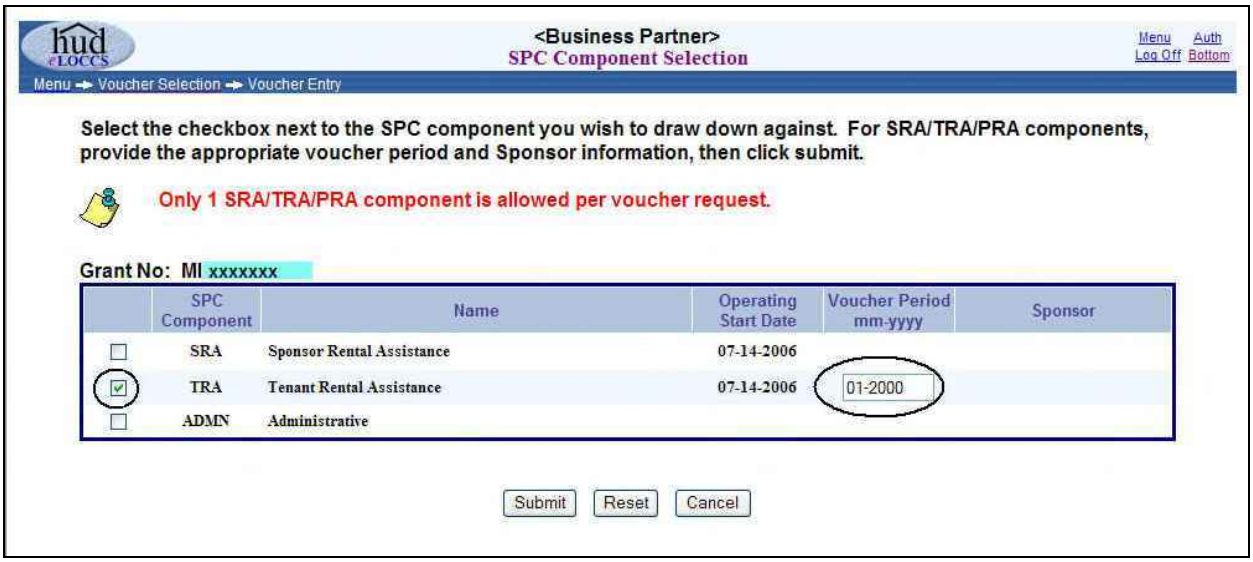


Figure 4–36. TRA Component Selection

To continue with the TRA voucher request, select 'Submit' which will bring up the 'Payment Voucher Entry" page.

Enter voucher amounts on the returned "Payment Voucher Entry" page. Click on 'Submit' to request funds.

4.3.3.3 Project-based Rental Assistance (PRA) Component Selection

PRA voucher requests are handled the same way as TRA component requests. The 'Voucher Period' is required information for a PRA component voucher request.

4.4 Special Needs Assistance Program (SNAP)

The 'Special Needs Assistance Program' (SNAP) is a BLI based program area that has distinctive program rules when requesting a voucher. An initial draw against certain Budget Line Items will require entry of an operating start date for the grant. The operating start date is used to control when documents are due, to calculate the expiration date of the grant, and cash management threshold edits by eLOCCS.

The BLIs that trigger the entry of the operating start date are flagged with a **yellow triangle** icon ⚠. Requesting funds on any of the flagged BLIs will also require entry of the operating start date whose entry box is below the available BLIs for the grant. An operating start date is only provided once per grant. Once provided, subsequent draws will not have any BLIs flagged with a yellow triangle.

Figure 4–37 illustrates a SNAP grant being selected from the 'Payment Voucher Selection page. Click on the 'Submit' button to return the 'Payment Voucher Entry' page.

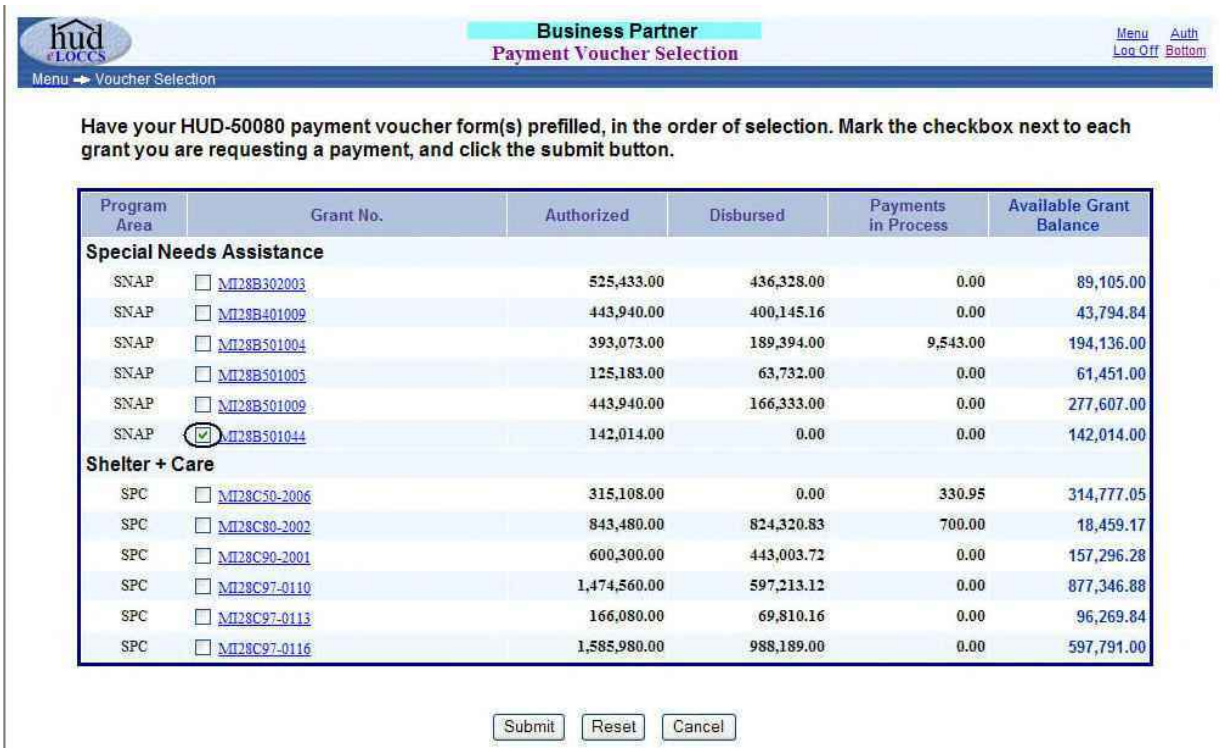


Figure 4–37. SNAP Payment Voucher Selection

In Figure 4–38, the example of a payment voucher request is made against **BLI 1050 Supportive Services** and the operating start date is provided since funds are being requested against this BLI for the first time as noted by the **yellow triangle** icon ⚠ next to the BLI number.

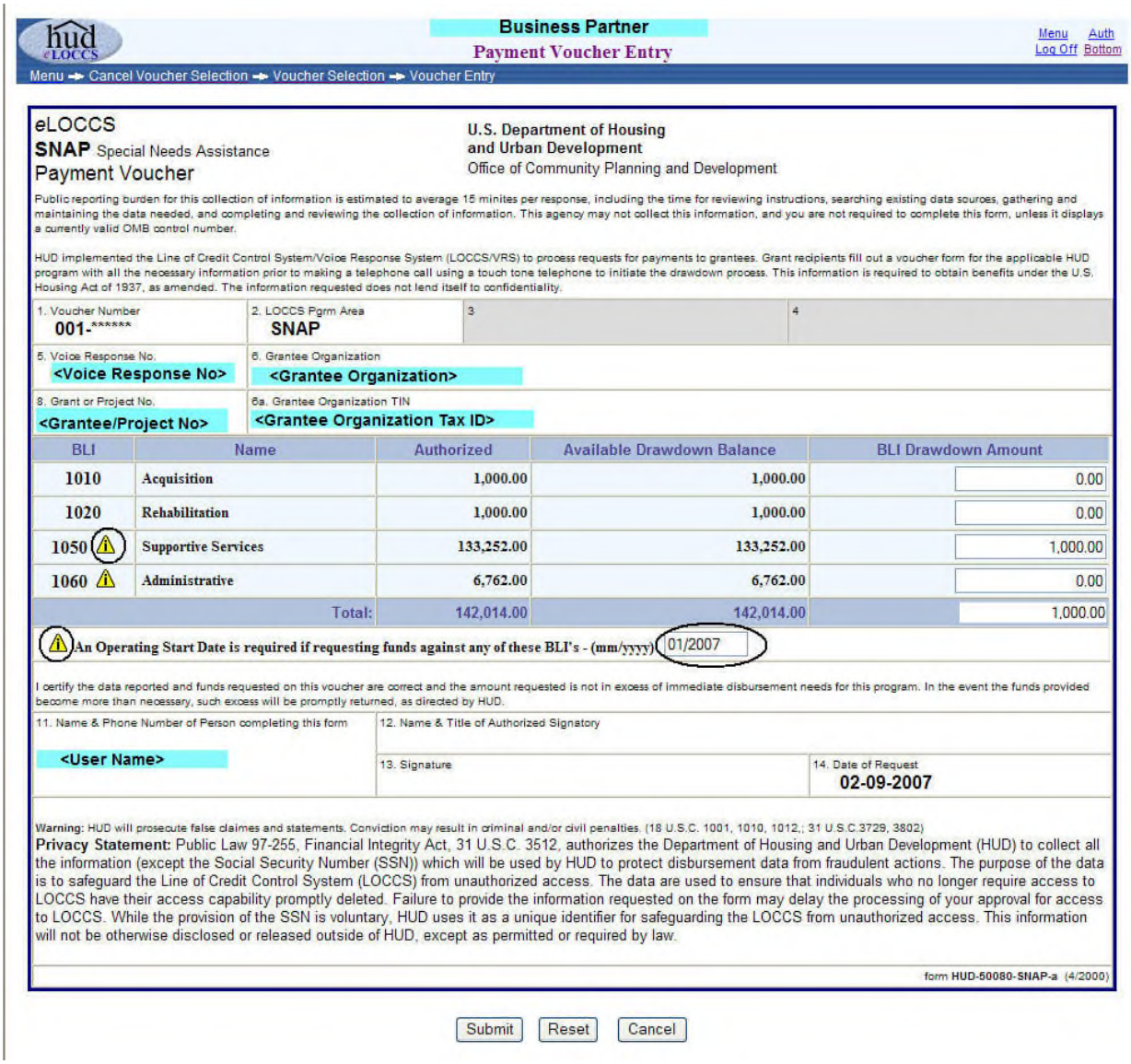


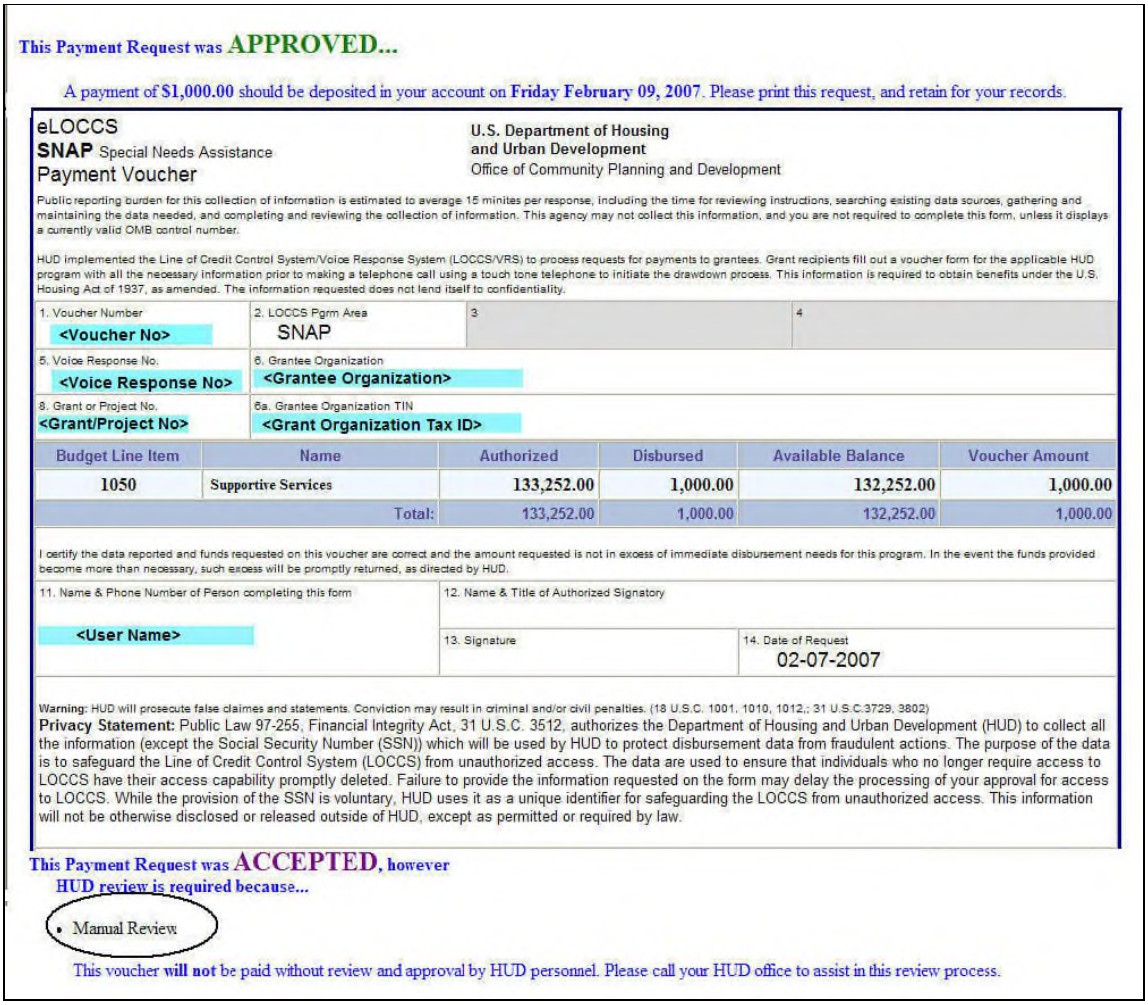
Figure 4–38. SNAP Payment Voucher Entry

A grantee can request funds against BLIs that do not have a yellow triangle. In this case, if an operating start date is mistakenly provided, *e*LOCCS will prompt the user that a date is not required for that particular BLI.

Figure 4–39 provides an example of an approved SNAP voucher payment request.

Figure 4–39. SNAP Voucher Payment Request Approved

Figure 4–40 provides an example of an approved payment voucher request pending HUD personnel "Manual Review" as indicated by the statements at the bottom of the screen. The payment request will not be paid until the voucher request is reviewed and approved by the HUD Office.



This Payment Request was **APPROVED...**

A payment of **$1,000.00** should be deposited in your account on **Friday February 09, 2007**. Please print this request, and retain for your records.

eLOCCS
SNAP Special Needs Assistance
Payment Voucher

U.S. Department of Housing and Urban Development
Office of Community Planning and Development

Public reporting burden for this collection of information is estimated to average 15 minites per response, including the time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. This agency may not collect this information, and you are not required to complete this form, unless it displays a currently valid OMB control number.

HUD implemented the Line of Credit Control System/Voice Response System (LOCCS/VRS) to process requests for payments to grantees. Grant recipients fill out a voucher form for the applicable HUD program with all the necessary information prior to making a telephone call using a touch tone telephone to initiate the drawdown process. This information is required to obtain benefits under the U.S. Housing Act of 1937, as amended. The information requested does not lend itself to confidentiality.

1. Voucher Number	2. LOCCS Pgm Area	3	4
<Voucher No>	SNAP		

5. Voice Response No.	6. Grantee Organization
<Voice Response No>	<Grantee Organization>

8. Grant or Project No.	6a. Grantee Organization TIN
<Grant/Project No>	<Grant Organization Tax ID>

Budget Line Item	Name	Authorized	Disbursed	Available Balance	Voucher Amount
1050	Supportive Services	133,252.00	1,000.00	132,252.00	1,000.00
	Total:	133,252.00	1,000.00	132,252.00	1,000.00

I certify the data reported and funds requested on this voucher are correct and the amount requested is not in excess of immediate disbursement needs for this program. In the event the funds provided become more than necessary, such excess will be promptly returned, as directed by HUD.

11. Name & Phone Number of Person completing this form	12. Name & Title of Authorized Signatory	
<User Name>	13. Signature	14. Date of Request: 02-07-2007

Warning: HUD will prosecute false claimes and statements. Conviction may result in criminal and/or civil penalties. (18 U.S.C. 1001, 1010, 1012,; 31 U.S.C.3729, 3802)

Privacy Statement: Public Law 97-255, Financial Integrity Act, 31 U.S.C. 3512, authorizes the Department of Housing and Urban Development (HUD) to collect all the information (except the Social Security Number (SSN)) which will be used by HUD to protect disbursement data from fraudulent actions. The purpose of the data is to safeguard the Line of Credit Control System (LOCCS) from unauthorized access. The data are used to ensure that individuals who no longer require access to LOCCS have their access capability promptly deleted. Failure to provide the information requested on the form may delay the processing of your approval for access to LOCCS. While the provision of the SSN is voluntary, HUD uses it as a unique identifier for safeguarding the LOCCS from unauthorized access. This information will not be otherwise disclosed or released outside of HUD, except as permitted or required by law.

This Payment Request was **ACCEPTED**, however
HUD review is required because...

- Manual Review

This voucher **will not** be paid without review and approval by HUD personnel. Please call your HUD office to assist in this review process.

Figure 4–40. SNAP Voucher Payment Request Requiring HUD Review

Figure 4–41 provides an example of a rejected payment voucher request describing the reason for the rejection.

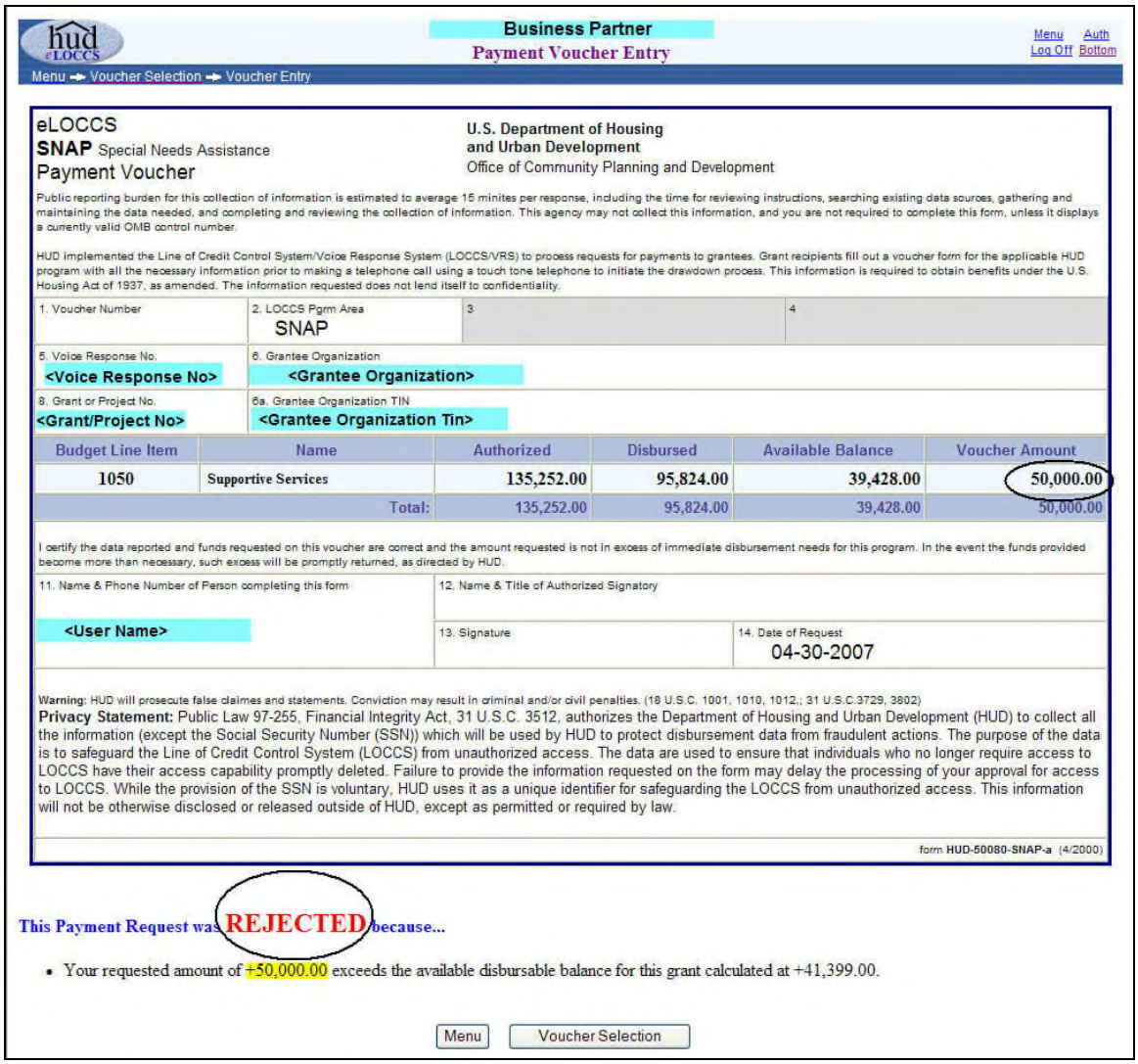


Figure 4–41. SNAP Voucher Payment Request Rejected

4.5 Capital Fund Recovery Grants (CFRG)

In support of the 2009 American Recovery and Reinvestment Act (ARRA), the Capital Fund Recovery Grants (CFRG) is available in LOCCS. The CFRG is similar to the CFP BLI based program with one major exception. HUD requires an organization to have a Data Universal Number System (DUNS) number from Dun & Bradstreet (D&B) and register with the Central Contractor Registration (CCR). Since multiple DUNS numbers may exist for your organization, *e*LOCCS requires a DUNS number assigned to each grant. Until a DUNS number has been assigned to each CFRG grant, users will not be able to drawdown Recovery Act funds.

To obtain information on a DUNS number from Dun & Bradstreet, please go to the link below:

http://fedgov.dnb.com/webform/displayHomePage.do

To obtain information on registering your DUNS number in CCR, please go to the link below:

www.ccr.gov

For further questions regarding ARRA, DUNS or CFRG program, please contact your local HUD Program Office.

DUNS ASSIGNMENT

As mentioned above, *e*LOCCS will require a registered CCR DUNS number be assigned to each CFRG grant. From the *e*LOCCS Main Menu, select the 'DUNS Entry' hyperlink (Figure 4–42). The DUNS entry page will display an *e*LOCCS information table of only active CCR registered DUNS entries based on the Tax ID of your organization (Figure 4–43).

Figure 4–42. Select DUNS Entry

Please note if the organization Tax ID does not have a DUNS number displayed as a selection or if the DUNS number is manually entered and *e*LOCCS returns a message of 'no CCR entry is available', then it may be due to one of the following:

- The organization Tax ID registered with CCR does not match the Tax ID in LOCCS.
- The organization may have more than one Tax ID in which a DUNS number is registered.
- The DUNS number registration in CCR may be incomplete, needs to be renewed or revalidated or is pending processing.
- A DUNS number is not registered in CCR.

For any of these examples, contact CCR to determine that the DUNS number is registered in CCR and active.

To quickly assign a DUNS number to a grant(s) in the CCR information table, click the **green check mark** icon or use the drop down box to select the number and then click submit for assignment.

To manually assign, a DUNS number, enter the number in the add CCR selection field and click the **red plus** icon. Click the green check mark icon or select the number from the drop down box and click submit for assignment.

In the following example, a DUNS number has been assigned by using the green check mark which populates the number in the drop down field box (Figure 4-44).

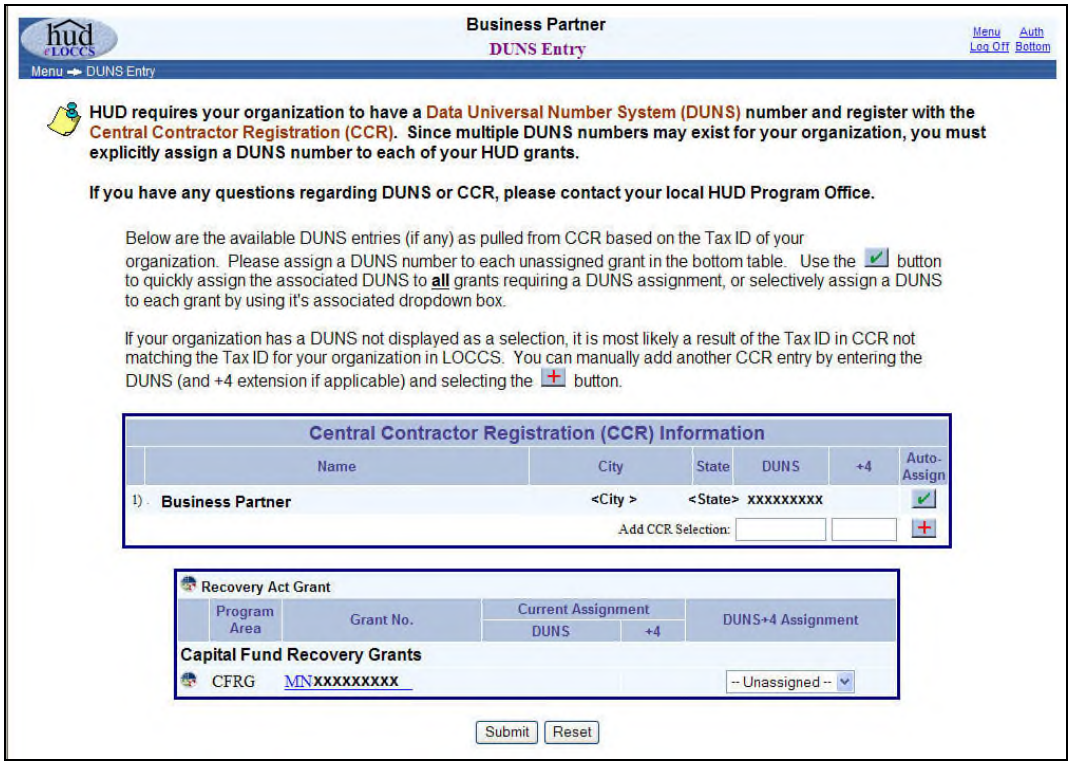


Figure 4–43. Assigning a DUNS to a Grant

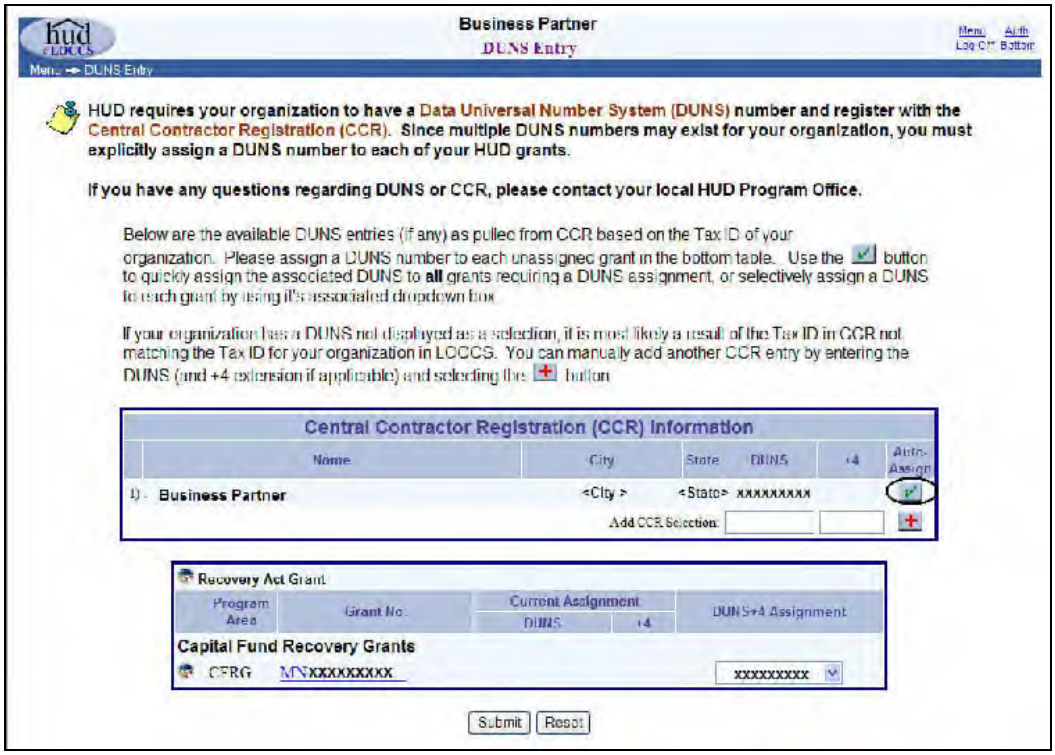


Figure 4–44. DUNS Entry

Click the submit button for a return of a confirmation page that the DUNS number has been assigned to the grant (Figure 4–45).

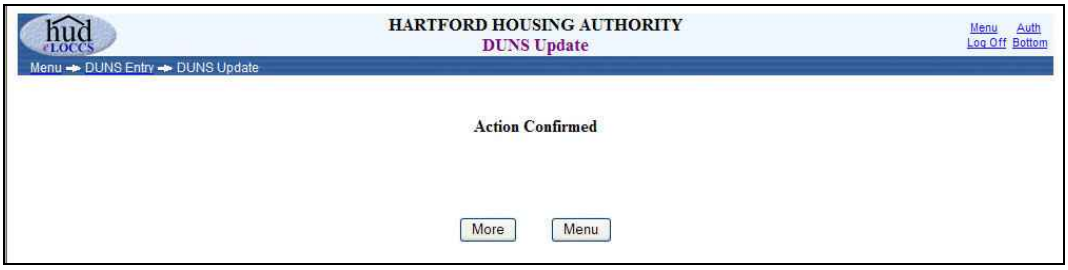


Figure 4–45. Confirmation of DUNS Entry

4.6 Housing Green Retrofit Program (HGRP)

In support of the American Recovery and Reinvestment Act of 2009, the Housing Green Retrofit Program (HGRP) is available in LOCCS. The HGRP is similar to BLI based programs but with a minor difference. A Participating Administrative Entity (PAE) awarded an administrative contract will have properties assigned to their portfolio. When requesting a voucher, the PAE will have the option to draw directly against an 'Administrative Draw' or draw against a property within the portfolio. An Administrative Draw allows only the Admin BLI to be drawn directly at the PAE contract level. If a property is selected, a list of BLI accounts will be available for draw against the property.

The following voucher requests present two examples of each request type:

The first voucher request is for an 'Administrative Draw only'. The Payment Voucher entry link from the eLOCCS main menu has been selected and will display the Payment Voucher Selection page as seen in (Figure 4–46).

Click in the box next to the HGRP grant and click on Submit.

Figure 4–46. Payment Voucher Selection Form for ARRA

eLOCCS will then return an Admin\Property Selection page where the PAE has the option to select an Administrative Draw only or a property if available as shown in the figure that follows. (Figure 4–47). Place a check mark next to the Admin Draw only and submit to retrieve the Payment Voucher Page (Figure 4–48). Enter the BLI drawdown amount and submit for voucher acceptance.

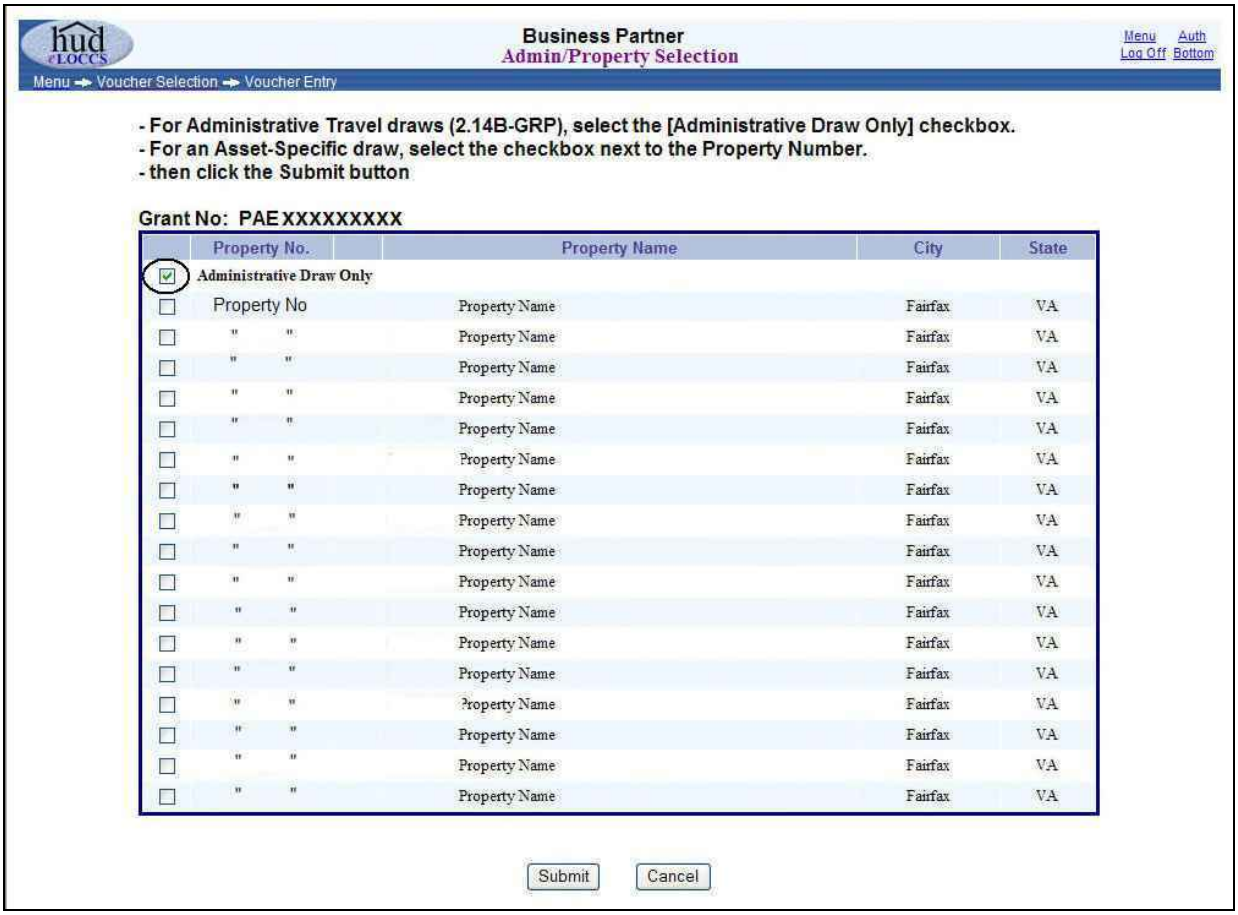


Figure 4–47. Administrative Draw Property Selection

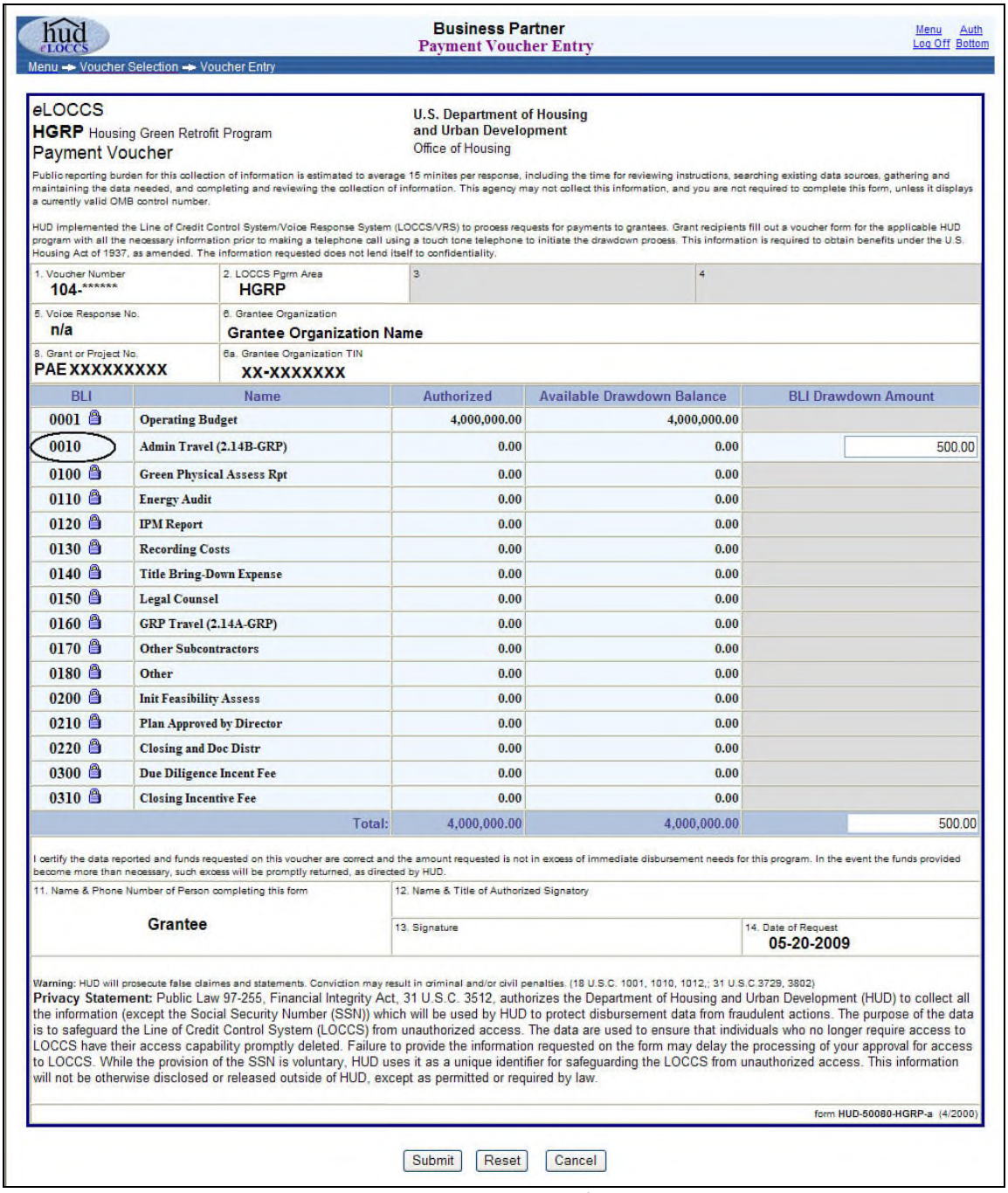


Figure 4–48. Housing Green Retrofit Program Voucher Entry

(Figure 4–49) indicates the Payment Request was accepted and HUD review is required for program area "HGRP".

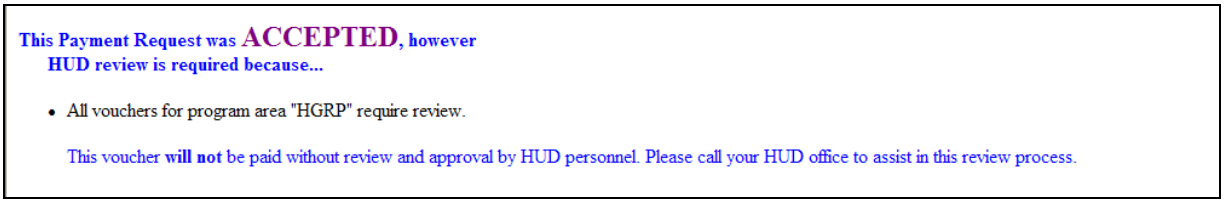


Figure 4–49. Payment Request Accepted

The second voucher request example is a PAE draw against a property. From the Admin/Property Selection page, place a check mark in the box next to the desired HGRP property and submit (Figure 4–50).

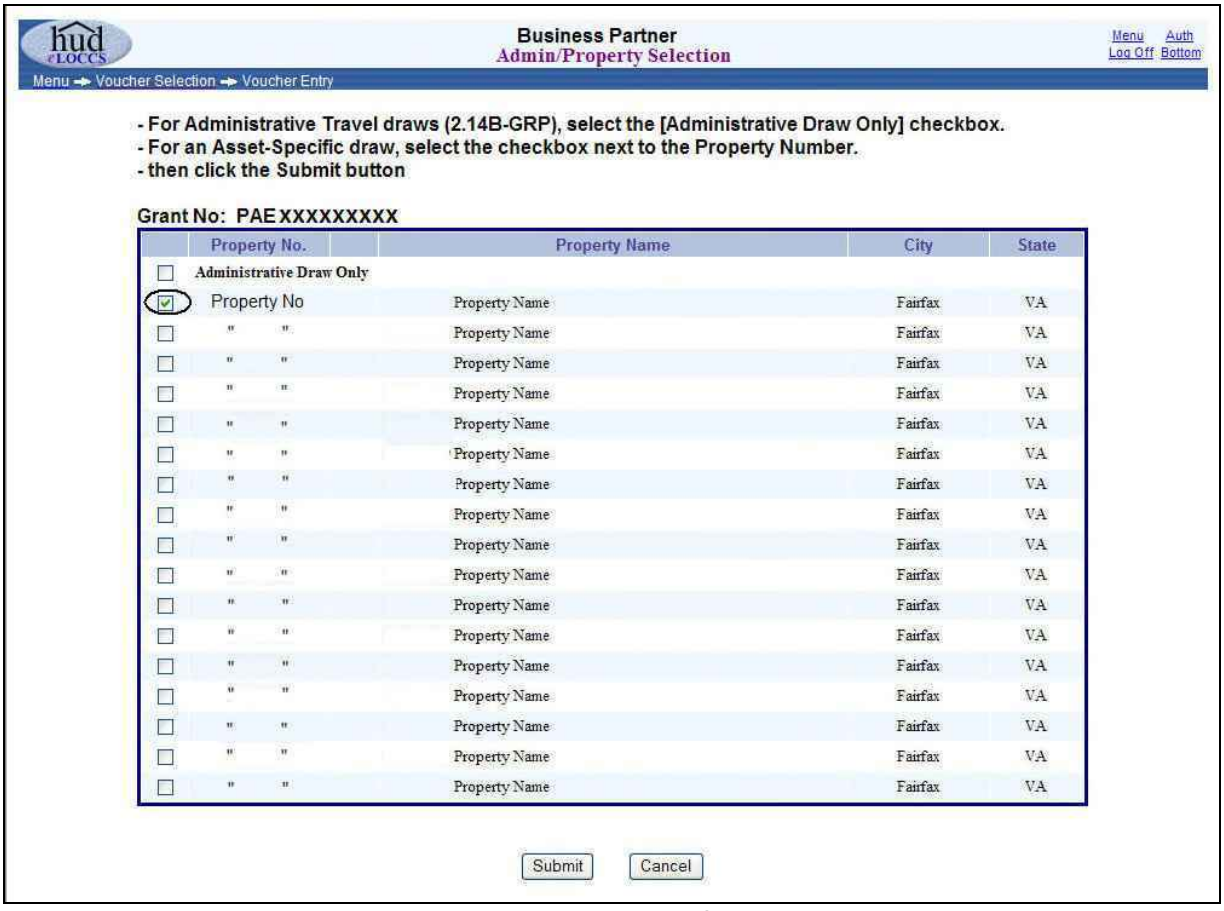
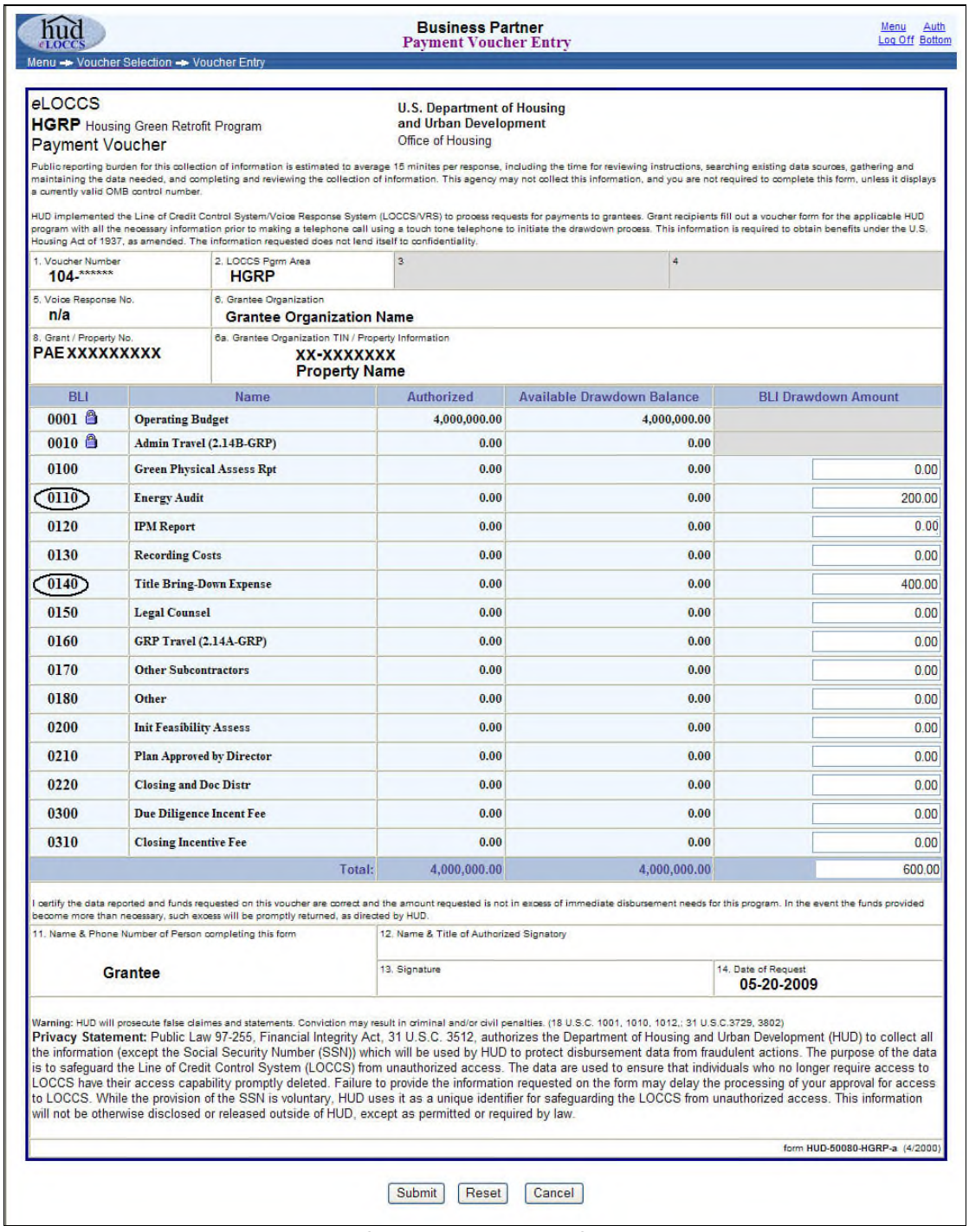


Figure 4–50. Asset Specific Draw

A list of BLI account numbers will be displayed (Figure 4–51). Enter draw amount in the BLI drawdown amount fields and click "Submit" for voucher acceptance.



hud eLOCCS

Business Partner
Payment Voucher Entry

Menu Auth
Log Off Bottom

Menu ➡ Voucher Selection ➡ Voucher Entry

eLOCCS
HGRP Housing Green Retrofit Program
Payment Voucher

U.S. Department of Housing and Urban Development
Office of Housing

Public reporting burden for this collection of information is estimated to average 15 minites per response, including the time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. This agency may not collect this information, and you are not required to complete this form, unless it displays a currently valid OMB control number.

HUD implemented the Line of Credit Control System/Voice Response System (LOCCS/VRS) to process requests for payments to grantees. Grant recipients fill out a voucher form for the applicable HUD program with all the necessary information prior to making a telephone call using a touch tone telephone to initiate the drawdown process. This information is required to obtain benefits under the U.S. Housing Act of 1937, as amended. The information requested does not lend itself to confidentiality.

1. Voucher Number	2. LOCCS Pgm Area	3	4
104-******	HGRP		

5. Voice Response No.	6. Grantee Organization
n/a	Grantee Organization Name

8. Grant / Property No.	6a. Grantee Organization TIN / Property Information
PAEXXXXXXXXX	XX-XXXXXXX Property Name

BLI	Name	Authorized	Available Drawdown Balance	BLI Drawdown Amount
0001	Operating Budget	4,000,000.00	4,000,000.00	
0010	Admin Travel (2.14B-GRP)	0.00	0.00	
0100	Green Physical Assess Rpt	0.00	0.00	0.00
0110	Energy Audit	0.00	0.00	200.00
0120	IPM Report	0.00	0.00	0.00
0130	Recording Costs	0.00	0.00	0.00
0140	Title Bring-Down Expense	0.00	0.00	400.00
0150	Legal Counsel	0.00	0.00	0.00
0160	GRP Travel (2.14A-GRP)	0.00	0.00	0.00
0170	Other Subcontractors	0.00	0.00	0.00
0180	Other	0.00	0.00	0.00
0200	Init Feasibility Assess	0.00	0.00	0.00
0210	Plan Approved by Director	0.00	0.00	0.00
0220	Closing and Doc Distr	0.00	0.00	0.00
0300	Due Diligence Incent Fee	0.00	0.00	0.00
0310	Closing Incentive Fee	0.00	0.00	0.00
	Total:	4,000,000.00	4,000,000.00	600.00

I certify the data reported and funds requested on this voucher are correct and the amount requested is not in excess of immediate disbursement needs for this program. In the event the funds provided become more than necessary, such excess will be promptly returned, as directed by HUD.

11. Name & Phone Number of Person completing this form	12. Name & Title of Authorized Signatory	
Grantee	13. Signature	14. Date of Request 05-20-2009

Warning: HUD will prosecute false claimes and statements. Conviction may result in criminal and/or civil penalties. (18 U.S.C. 1001, 1010, 1012,; 31 U.S.C.3729, 3802)

Privacy Statement: Public Law 97-255, Financial Integrity Act, 31 U.S.C. 3512, authorizes the Department of Housing and Urban Development (HUD) to collect all the information (except the Social Security Number (SSN)) which will be used by HUD to protect disbursement data from fraudulent actions. The purpose of the data is to safeguard the Line of Credit Control System (LOCCS) from unauthorized access. The data are used to ensure that individuals who no longer require access to LOCCS have their access capability promptly deleted. Failure to provide the information requested on the form may delay the processing of your approval for access to LOCCS. While the provision of the SSN is voluntary, HUD uses it as a unique identifier for safeguarding the LOCCS from unauthorized access. This information will not be otherwise disclosed or released outside of HUD, except as permitted or required by law.

form HUD-50080-HGRP-a (4/2000)

Submit Reset Cancel

Figure 4–51. Asset Specific Property Selection for Payment Voucher Entry

4.7 *e*LOCCS S235 and S236 IRP

The Section 235 and 236 Interest Reduction Program (IRP) is unique in that it provides Service Providers access to their portfolio and voucher drawdown requests through a batch submission. A link to a separate e*LOCCS S235 and S236 IRP Getting Started Guide* can be found in ***Section 5.1 LOCCS URL Quick References.***

4.8 Section 8 Contract Administrator (S8CA)

Performance Based Contract Administrators (PBCA) are contracted by HUD to manage a portfolio of Housing Section 8 contracts. While vouchers are initiated through the Tenant Rental Assistance Certification System (TRACS) system to LOCCS, *e*LOCCS provides individual contract and portfolio view of information to the PBCA. Due to the unique requirements of this program there is a separate *Section 8 Getting Started Guide.* A link to this guide can be found in ***Section 5.1 LOCCS URL Quick References.***

5.0 QUICK REFERENCE

5.0 QUICK REFERENCE

5.1 Troubleshooting Tips

Multiple components and systems support *e*LOCCS access; therefore, the nature of the particular problem will determine the contact person. The most frequent problem encountered by users is difficulty accessing *e*LOCCS. This is due to the Secure Systems Coordinator's improper setup of access in Secure Systems. Once access has been established in *e*LOCCS through Secure Systems, users report very few problems with navigating and using *e*LOCCS. Listed below are some *e*LOCCS troubleshooting tips, common problems, and resolutions.

I'm a Coordinator and I do not see the LOCCS roles to assign to my users.

You (a Coordinator) have not assigned the LOCCS system to yourself. Without LOCCS system being assigned, you will not see the LOCCS roles to assign to users on the Maintain User Information page.

I'm a user and do not see the LOCCS hyperlink on my Secure Systems Main Menu.

The Coordinator has not assigned either the LOCCS – Query and/or the LOCCS – Administrative role to you. The assignment of any one of these roles will place the LOCCS hyperlink on your Secure Systems Main Menu.

When I click on a program area in *e*LOCCS, the main menu is blank.

Verify with the Coordinator that you have been assigned either LOCCS – Query (QRY) and/or LOCCS – Administration (ADM) roles.

I do not have any email options displayed on my LOCCS menu.

You were not assigned the LOCCS – Administration role by your Coordinator. Have your coordinator add this role to you.

I do not see a particular program area on the Authorizations page, but it shows up on the Grant Portfolio page.

To have drawdown program access, add the program area access to the HUD-27054 LOCCS Access Authorization form and forward to your local Field Office for review. The Field Office will forward the form to LOCCS Security Office for processing.

My Organization address is incorrect in *e*LOCCS.

To change your organization address, send a revised SF-1199A to your program office, who will in turn forward it to Fort Worth Accounting. LOCCS is a payment system, where a payment can be made by check and treats the name and address of your organization as if it were banking/payment information, which requires an SF-1199A.

When I attempt to drawdown from the Payment Voucher Entry hyperlink, I get a grant information page with budget related tabs.

You either selected a grant from the Grant portfolio hyperlink or after selecting the Payment Voucher Entry hyperlink from the main menu you clicked on the grant link instead of placing a checkmark in the box beside the grant number. The only way a drawdown can be completed is through accessing the Payment Voucher Entry hyperlink from the *e*LOCCS main menu, mark the check box next to the grant number and submit.

Can I change my password in *e*LOCCS prior to the 60-day prompt?

Yes. After a program area has been selected from the Authorizations page, the Change Password option will appear on the left sidebar of any program area menu, directly under the User Profile option.

I do not know my Secure Systems organization's Coordinator.

If you do not know your organization's Coordinator or you are unsure that the organization has an existing Coordinator, please contact REAC Technical Assistance at 888-245-4860 to determine this information.

5.2 LOCCS URL Quick References

LOCCS URL Quick References

1) **LOCCS Access Guidelines for Grantees**

These are general LOCCS instructions for filling out the HUD-27054 LOCCS Access Authorization Form and SF1199A Direct Deposit form.

http://portal.hud.gov/hudportal/HUD?src=/program_offices/cfo/loccs_guidelines

Cut and paste URL or click <here>

2) ***e*LOCCS Getting Started Guide**

This guide provides *e*LOCCS web page examples, familiarizing the user with how navigation works in *e*LOCCS and how to view, manage and drawdown HUD grant funds.

http://portal.hud.gov/hudportal/documents/huddoc?id=eloccsguide.pdf

Cut and paste URL or click <here>

3) ***e*LOCCS Registration Guide**

Before accessing *e*LOCCS, a user must have a Secure Systems ID/password and a LOCCS ID/password. This document outlines the security and registration components needed to obtain those IDs.

Note: If you are converting from VRS to *e*LOCCS, you **already** have a LOCCS ID/password.

http://portal.hud.gov/hudportal/documents/huddoc?id=eloccs_registration_guide.pdf

Cut and paste URL or click <here>

4) **HUD-27054 LOCCS Access Authorization form**

Use this form to request specific LOCCS Organization and HUD Program Area access. The LOCCS Access Guidelines for Grantees (#1 above) has instructions on filling out this form.

https://portal.**hud.gov/hudportal**/documents/huddoc?id=27054.pdf

Cut and paste URL or click <here>

5) **Secure Systems** (this is how you access *e*LOCCS)

Secure Systems is a HUD Web Portal which has access to many HUD systems, of which *e*LOCCS is one of them.

http://portal.hud.gov/hudportal/HUD?src=/program_offices/public_indian_housing/reac/online

Cut and paste URL or click <here>

5.3 Help Desk Contact Information

All other issues most likely will be related to *e*LOCCS. Please use the *e*LOCCS mailbox, *e*LOCCS@HUD.Gov, to send appropriate information. The following table lists some useful Help Desk contact numbers.

Help Desk	System	Telephone
*e*LOCCS Support	*e*LOCCS	571-766-2916
PIH REAC Technical Assistance	Secure Systems	888- 245-4860
TRACS	TRACS	800-767-7588
LOCCS Security Office	LOCCS	877-705-7504

*e*LOCCS Registration GUIDE

Line of Credit Control System (LOCCS)

U.S. Department of Housing and Urban Development

June 2014

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1 Introduction

The Line of Credit Control System (LOCCS) is the U.S. Department of Housing and Urban Development's (HUD) primary grant and subsidy disbursement system that handles disbursement and cash management for the majority of HUD grant programs. Organizations and individuals have access to these grants through an internet version of LOCCS called *e*LOCCS, where Business Partners with appropriate authorization can access, manage, and drawdown against their HUD grant portfolios.

1.1 Purpose of Guide

Accessing *e*LOCCS requires;

1) Registration in **Secure Systems** which is the HUD Web Portal in which the *e*LOCCS application resides.
2) Submission of a **HUD-27054 LOCCS Access Authorization** form which will control what a user can see and do once they are in *e*LOCCS.

This guide focuses on Registration components and steps needed to gain access to *e*LOCCS through Secure Systems. A separate ***e*LOCCS Getting Started Guide** with screen samples will familiarize you with eLOCCS functionality and layout. A link to the **Getting Started Guide**, along with other useful links can be found in section ***1.2 LOCCS URL Quick References***.

1.2 LOCCS URL Quick References

LOCCS URL Quick References
1) **LOCCS Access Guidelines for Grantees** These are general LOCCS instructions for filling out the HUD-27054 LOCCS Access Authorization Form and SF1199A Direct Deposit form. http://portal.hud.gov/hudportal/HUD?src=/program_offices/cfo/loccs_guidelines Cut and paste URL or click <here>
2) ***e*LOCCS Getting Started Guide** This guide provides *e*LOCCS web page examples, familiarizing the user with how navigation works in *e*LOCCS and how to view, manage and drawdown HUD grant funds. http://portal.hud.gov/hudportal/documents/huddoc?id=eloccsguide.pdf Cut and paste URL or click <here>
3) ***e*LOCCS Registration Guide** Before accessing *e*LOCCS, a user must have a Secure Systems ID/password and a LOCCS ID/password. This document outlines the security and registration components needed to obtain those IDs. Note: If you are converting from VRS to *e*LOCCS, you **already** have a LOCCS ID/password. http://portal.hud.gov/hudportal/documents/huddoc?id=eloccs_registration_guide.pdf Cut and paste URL or click <here>
4) **HUD-27054 LOCCS Access Authorization form** Use this form to request specific LOCCS Organization and HUD Program Area access. The LOCCS Access Guidelines for Grantees (#1 above) has instructions on filling out this form. https://portal.hud.gov/hudportal/documents/huddoc?id=27054.pdf Cut and paste URL or click <here>
5) **Secure Systems** (this is how you access *e*LOCCS) Secure Systems is a HUD Web Portal which has access to many HUD systems, of which *e*LOCCS is one of them. http://portal.hud.gov/hudportal/HUD?src=/program_offices/public_indian_housing/reac/online Cut and paste URL or click <here>

1.3 Overview of *e*LOCCS Registration Components

*e*LOCCS is accessed through the HUD internet portal called **Secure Systems**. Secure Systems is sponsored by the Office of Public and Indian Housing (PIH) Real Estate Assessment Center (REAC) and sometimes referred to as 'REAC' or 'Online Systems'. Secure Systems supports many HUD applications, of which eLOCCS is one of them. In order to uses *e*LOCCS, there are 4 registration components which must be completed prior to access.

- **Component 1 – Secure Systems Business Partner Registration**
  In Secure Systems there are (2) types of users: "Coordinator" or "User", and each are associated with an organization or Business Partner. The Business Partner organization must be recognized by Secure Systems and this is accomplished thru the Business Partner Registration process.
  ****DO NOT SKIP THIS COMPONENT****

- **Component 2 – Secure Systems "Coordinator" Registration**
  The Secure Systems Coordinator serves as the Business Partner's system administrator, granting application (in this case eLOCCS) roles to users. Each Business Partner must have a minimal of 1 and up to 5 assigned Coordinators.

- **Component 3 – Secure Systems "User" Registration**
  Individual Users register in Secure Systems under a Business Partner, but the Coordinator grants the user specific application roles to allow Secure Systems application access. In the case of eLOCCS, the Coordinator would grant the eLOCCS roles "QRY" and "ADM".

  The Coordinator can assign themselves eLOCCS "QRY" and "ADM" roles, and access eLOCCS too, as long as a HUD-27054 has been processed (Component 4).

  eLOCCS can also be used by Approving Officials to certify their staff. Approving Officials must have a valid Secure Systems ID (either as a "Coordinator" or "User") to access eLOCCS just like everyone else.

- **Component 4 – HUD-27054 LOCCS Access Authorization Form**
  LOCCS has its own security registration process requirement due to its sensitive financial nature. If you are already a LOCCS VRS user, then your existing VRS User ID/password will work in *e*LOCCS. If you are new to LOCCS, then a LOCCS Access Authorization Security Form HUD-27054 must be submitted.

  The LOCCS HUD-27054 is independent of the Secure Systems components and therefore can be submitted concurrently with Secure Systems Components 1,2 and 3.

In summary, there are four (4) **registration components** which must be completed prior to eLOCCS access. Included in this document is a handy check list which will help you in determining where you are in the registration process. Following the checklist, are step by step instructions on how to complete each registration component. ****PLEASE START WITH COMPONENT 1****

1.4 Coordinators and Approving Officials

A Business Partner "**Coordinator**" is a Secure Systems administrator who manages the organizations "users" in Secures Systems. Responsibilities include assigning Secure Systems LOCCS roles to users. A Business Partner can have up to 5 Secure Systems Coordinators, who can manage any Secure Systems user in the organization.

A Business Partner "**Approving Official**" is a LOCCS administrator who manages "users" in LOCCS. Responsibilities include re-certifying the LOCCS user still requires access to LOCCS every 6 months. A LOCCS User is associated with an Approving Official on the **HUD-27054 LOCCS Access Authorization** form.

Approving Officials will also use *e*LOCCS to re-certify their staff every 6 months, therefore Approving Officials will also need to register for an ID in Secure Systems. They should be assigned the same **QRY** and **ADM** roles as all eLOCCS users.

A Secure Systems "Coordinator" can also be a LOCCS "Approving Official"

2 Registration Component Check list

Component 1 – Secure Systems Business Partner Registration

☐ My organization (Business Partner) is recognized by Secure Systems
(Either as a Public Housing Authority or Multifamily Housing organization)

Component 2 – Secure Systems "Coordinator" Registration

☐ My organization has an assigned "Coordinator"

If not, identify within your Organization who will be the Secure Systems Coordinator.

- ☐ Register for Secure Systems Coordinator ID (*mailed to CEO*)
- ☐ Receive your Coordinator Secure Systems ID from CEO
- ☐ Assign the *e*LOCCS system by adding the Coordinator Role to your 'M' ID. Then add the 'Query' and 'ADM' roles to your ID (see Appendix A)

Component 3 – Secure Systems "User" Registration

☐ If you are the Coordinator, check the box and go to Component 4

If not,

- ☐ Register for a Secure Systems User ID
- ☐ Contact your Secure System Coordinator to retrieve your user 'M' ID
(Wait until next business day)
- ☐ Have your Secure Systems Coordinator assign the 'Query' and 'ADM' roles to your 'M' ID to establish the *e*LOCCS link within Secure Systems.

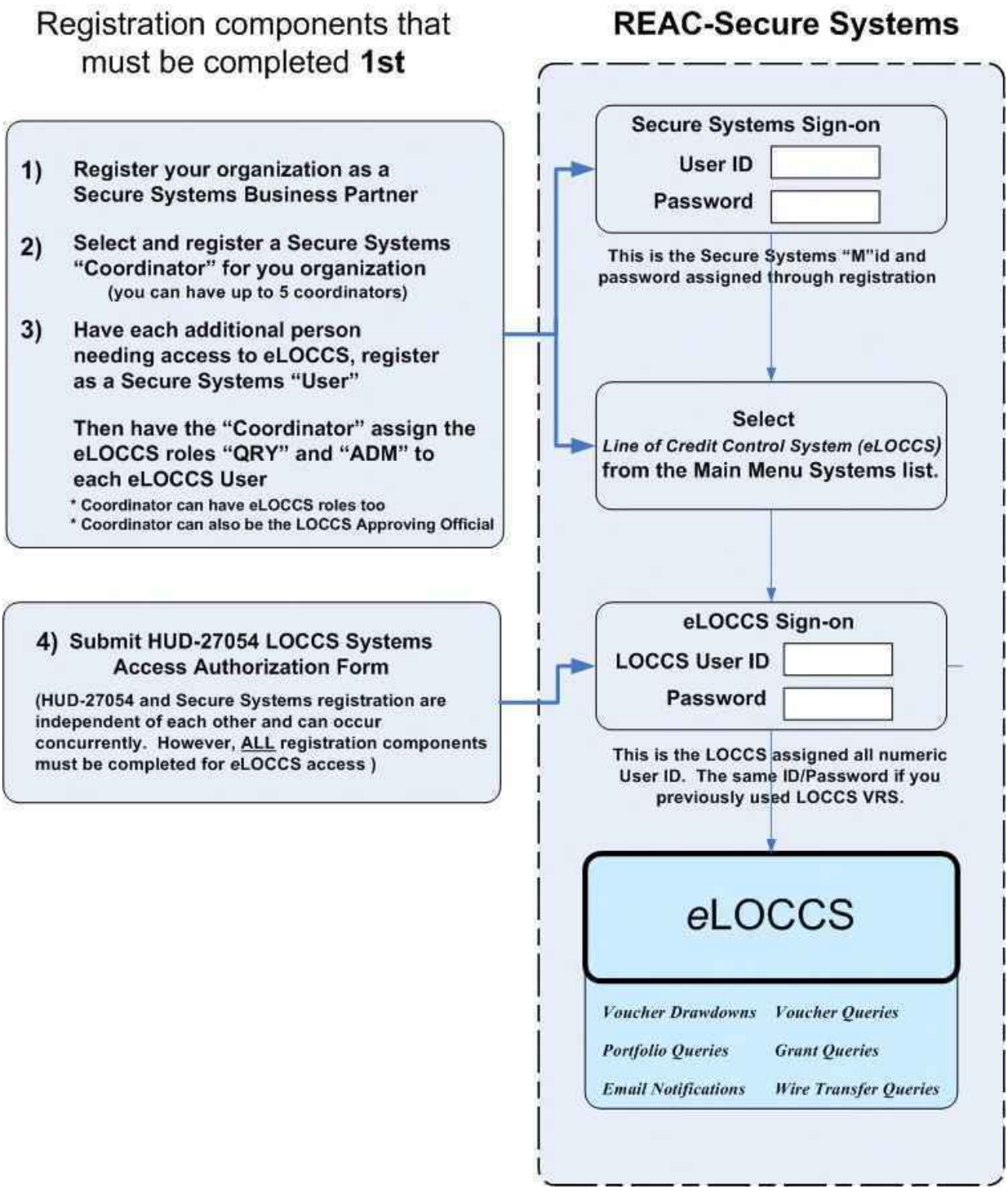
Component 4 – HUD-27054 LOCCS Access Authorization Form

- ☐ LOCCS Registration Completed
(*I already have, or have received my LOCCS ID and password)*
(If you are a VRS user converting to eLOCCS, you are already registered in LOCCS. Your eLOCCS ID/password is the same as your VRS LOCCS ID/password)

Congratulations, you have completed all the necessary registration components to now successfully access eLOCCS! You can now proceed to the **Signing Into *e*LOCCS Section 4.**

If you have any questions regarding any registration component please call the **LOCCS Help Desk** at 571-766-2916 or email eLOCCS@HUD.GOV with questions.

Accessing eLOCCS through Secure Systems

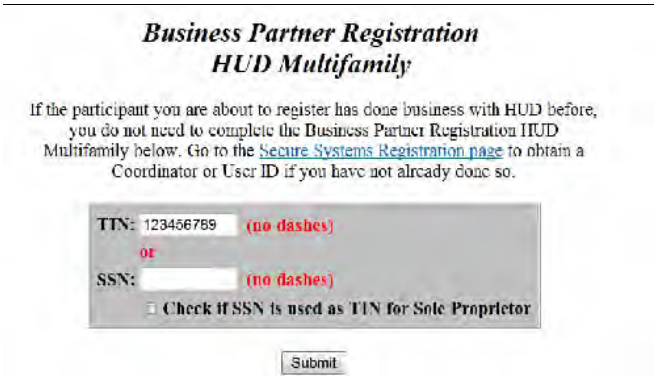


3 Registration Components

3.1 Component 1 – Secure Systems Business Partner Registration

Component 1 – Secure Systems Business Partner Registration Instructions

This step is to confirm if your organization is recognized in Secure Systems . Unless your organization is a Public Housing Authority, ** DO NOT SKIP this step **.

Register your Business Partner Tax ID number	
Step 1a	**Copy and paste URL or click <here> for the Business Partner Registration page.** https://hudapps2.hud.gov/apps/part_reg/apps040.cfm Enter your organization's Tax Identification Number (TIN) and Submit.  *Business Partner Registration* *HUD Multifamily* If the participant you are about to register has done business with HUD before, you do not need to complete the Business Partner Registration HUD Multifamily below. Go to the Secure Systems Registration page to obtain a Coordinator or User ID if you have not already done so. TIN: 123456789 (no dashes) or SSN: (no dashes) Check if SSN is used as TIN for Sole Proprietor Submit

Step 1b

Did the Business Partner Registration HUD Multifamily return a 'Form to fill' OR Business Partner is 'already processed' below?

Form to fill in?

Form to fill?

If the above blank form is returned, your organization does need to register. Complete the form and **save**.

* **Wait until the next business day** to continue to **Component 2 - Secure Systems Registration.**

— {OR} —

TIN Processed?

TIN has been processed message?

If you received the above message, your organization Tax ID Number is already recognized in Secure Systems.

Continue to **Component 2 - Secure Systems Registration.**

3.2 Component 2 –Secure Systems "Coordinator" Registration

Component 2 –Secure Systems "Coordinator" Registration Instructions

Understanding Secure Systems ID Registration Types

In Secure Systems there are two (2) ID types available to register: "**Coordinator**" or "**User**".

Both ID types allow access to Secure Systems. However, only a **Secure Systems Coordinator** has the authority to assign the LOCCS Query and Admin roles to display the eLOCCS link for the eLOCCS user to sign in. Determine within your organization who should be the Secure Systems Coordinator(s). *There must be at least one Secure Systems Coordinator registered.*

Coordinator ID: The Secure Systems Coordinator serves as the system administrator to retrieve Secure Systems User IDs, establish the appropriate systems link (eLOCCS) and assign LOCCS Roles.

User ID: A Secure Systems User has the ability to access Secure Systems, but requires a **Secure Systems Coordinator** to initially add the LOCCS roles in order for the eLOCCS link to display on the Secure Systems Menu page.

Does your organization already have a Secure Systems Coordinator assigned?	
No	If you just registered your organization in **Business Partner Registration HUD Multifamily**, the answer is 'No'. Determine within your organization who should be the Secure Systems Coordinator(s). **Every Business Partner must at least have one Secure Systems coordinator registered to establish the eLOCCS link in Secure Systems for the eLOCCS user to sign in.* Continue to **Step 2a – Applying for a Secure Systems "Coordinator" ID.**
Not Sure	Contact REAC Technical Assistance at 1-888-245-4860 to inquire.
Yes	Continue to **Component 3 – Apply for a Secure Systems "User" ID.**

Steps 2a – 2d: Applying for Secure Systems "Coordinator" ID	
Step 2a	**Copy and paste URL or click** <here> for Secure Systems http://portal.hud.gov/hudportal/HUD?src=/program_offices/public_indian_housing/reac/online Select the <**Register Online**> link.
Step 2b	Choose your organization type to register in Secure Systems: Select <**Multifamily Housing Entity**>. Only select Public Housing Agency if a PHA, otherwise select **Multifamily Housing Entity**.
Step 2c	**Multifamily Coordinator and User Registration Selection** Select **<Coordinator>** as the 'Application Type' and complete form. *The form is a 2 step process. 1) Fill out the form and click **<Send>**. 2) Review the information and then click **<Confirm/Submit>**.* *A letter containing the Coordinator's 'M' ID will be mailed to the organization's CEO/ED Within 7-10 business days. If you have not received you Secure Systems Coordinator 'M' ID, Contact REAC Technical Assistance to inquire on status at 1-888-245-4860.*

Step 2d	**Secure System Coordinator establishment of *e*LOCCS and LOCCS Role Assignment.** • After the CEO has provided the Secure Systems Coordinator 'M' ID, sign-on to Secure System to establish the *e*LOCCS link **and** add LOCCS roles – **See Appendix A for steps**. If the Coordinator is also the *e*LOCCS user, continue to **Component 4 – HUD-27054 LOCCS Access Authorization Form.** If the Coordinator is not the *e*LOCCS user, have the user apply for their own Secure Systems User ID. See **Component 3 – Secure Systems "User" Registration.**

3.3 Component 3 –Secure Systems "User" Registration

Component 3 –Secure Systems "User" Registration Instructions	
Steps 3a – 3d: Applying for Secure Systems "User" ID	
Step 3a	**Copy and paste URL or click** <here> for Secure Systems http://portal.hud.gov/hudportal/HUD?src=/program_offices/public_indian_housing/reac/online Select the **<Register Online>** link.
Step 3b	Choose your organization type: Select <**Multifamily Housing Entity**>. Only select Public Housing Agency if a PHA, otherwise select **Multifamily Housing Entity**.
Step 3c	Select **<User>** as the 'Application Type' and fill out the remaining form.

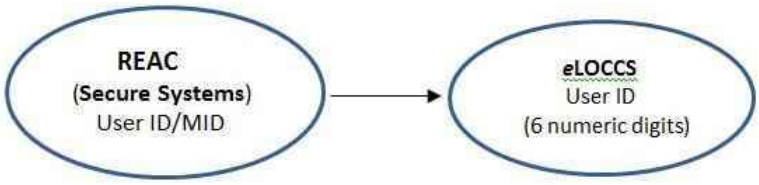
	   After submitting the form, **wait 24 business hours**, then contact your organization's **Secure Systems Coordinator** to inform you have requested access to Secure Systems. Request the Coordinator retrieve your User ID in Secure System and assign the '**Query**' and '**ADM**' LOCCS roles to establish the *e*LOCCS link. **See Appendix A for the Secure System's Coordinator to assign LOCCS System and roles.**
Step 3d	Continue to **Component 4 – HUD-27054 LOCCS Access Authorization Form Instructions**

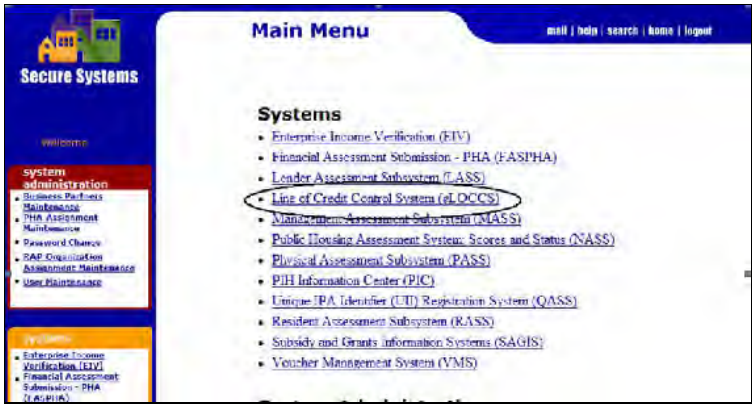
3.4 Component 4 – HUD-27054 LOCCS Access Authorization Form

Component 4 – HUD-27054 LOCCS Access Authorization Form Instructions

Do you already have a LOCCS User ID and Password?	
Yes	Continue to **– Signing into *e*LOCCS Instructions** *If you are an existing LOCCS Voice Response System (VRS) User (using phone to draw funds), then the answer is yes.
No	Complete the LOCCS HUD-27054 form, have it notarized and forwarded to the appropriate HUD staff for review. Instructions are on the form. HUD-27054 – LOCCS Access Authorization Form: Copy and paste URL or click <here> for form. https://portal.hud.gov/hudportal/documents/huddoc?id=27054.pdf After receiving your LOCCS User ID, and completing registration components 1-3, Continue to **– Signing into *e*LOCCS** **Note:** The **Business Partner Registration** and **Secure Systems Registrations** are independent of **LOCCS registration** and can be done concurrently. However, all security components must be completed prior to accessing *e*LOCCS.
Not Sure	Contact the LOCCS Security Office to verify at 877-705-7504.

4 Signing Into *e*LOCCS

Signing Into *e*LOCCS Instructions	
Step 1 – 4: Signing into eLOCCS	
All the previous registration components must be completed prior to accessing eLOCCS. Use the Registration checklist in Section 2 to verify. **You must have a valid Secure Systems 'M' ID/password and LOCCS User ID/password. The Coordinator must have established the *e*LOCCS link in Secure Systems and LOCCS roles for the eLOCCS User to sign in.** 	
Step 1	Cut and paste URL or click <here> for Secure Systems http://portal.hud.gov/hudportal/HUD?src=/program_offices/public_indian_housing/reac/online Select the **<Login here>** link.
Step 2	Enter your Secure Systems User 'M' ID and Password.

Step 3	Select the **<Line of Credit Control Systems (*e*LOCCS) >** link. 
Step 4	Enter your LOCCS User ID (numeric digits) and password. If you have been using LOCCS VRS, the User ID and password are the same to sign into *e*LOCCS. **Note**: If you do not see the *e*LOCCS link on the REAC main menu page, contact your Secure Systems Coordinator to assign the *e*LOCCS link. **(See Step 2d)**

5 Frequently Asked Questions or Issues

- **Contact the REAC Technical Assistance Center at 1-(888) 245-4860 for the following questions or issues;**

  1) **I have registered for a Secure Systems Coordinator ID and have not received it.**
     Ask them to confirm your registration, your organizations address and status of your Secure Systems ID.

  2) **I mistakenly registered for a Secure Systems User ID instead of a Coordinator ID.**
     Contact the REAC Technical Assistance Center on how to resolve.

  3) **I may have registered for a Secure Systems ID in the past, but I'm not sure.**
     The REAC Technical Assistance Center will be able to research that.

  4) **I don't know who the Secure Systems Coordinators are for my organization.**
     The REAC Technical Assistance Center will be able to help you with that.

- **Contact your organizations Secure Systems Coordinator for the following questions or issues;**

  1) **I have registered for a Secure Systems User ID and have not received it.**
     Ask your Coordinator to retrieve your User ID and establish the *e*LOCCS link/roles. If you do not know your System Coordinator, contact REAC Technical Assistance Center.

  2) **I am a Secure Systems User and do not see the *e*LOCCS link after I sign in.**
     The Coordinator has not assigned the LOCCS – Query and ADM Roles. Contact your Coordinator to assign these roles. Refer them to **Appendix A** if necessary.

  3) **I click on a program area in *e*LOCCS, and the main menu is blank.**
     Verify with your Coordinator that LOCCS – Query and Administration roles are assigned. Refer them to **Appendix A** if necessary.

- **I use the HUD telephone Voice Response System (VRS) to draw funds, do I need to register for an *e*LOCCS ID?**
  No - Your log in credentials used on the HUD VRS, telephone system will be the same used to signing into *e*LOCCS.

- **If you are a Secure Systems Coordinator;**
  And need help in either retrieving a User ID to assign LOCCS roles, or actually assigning those roles, refer to **Appendix A**.

- **Anything Else?**
  Call the **LOCCS Help Desk** at 571-766-2916 or email eLOCCS@HUD.GOV with your question.

Appendix A - *e*LOCCS and Role Assignment Steps for Coordinator

A Secure System Coordinator has the system administrative responsibility of first assigning the LOCCS **COR** (Coordinator) - <Action>, and then the **QRY** (Query) and **ADM** (Administrator)- <Roles> to themselves before assigning QRY and ADM roles to users.

Step I. Secure Systems Coordinator assignment of LOCCS System:

Cut and paste URL or click <here> for Secure Systems

http://portal.hud.gov/hudportal/HUD?src=/program_offices/public_indian_housing/reac/online

Select the **<Login here>** link, sign in with your Secure System Coordinator 'M' ID and proceed to the Secure Systems Main Menu.

Secure System Login

A. From the **Secure Systems Coordinator Main Menu**, Select **User Maintenance**. (Figure 1).

Figure 1 - Secure Systems Main Menu

B. Enter your Secure Systems Coordinators 'M' ID in the **Search by User ID** section and click **<(S)earch for User>** button. Figure 2

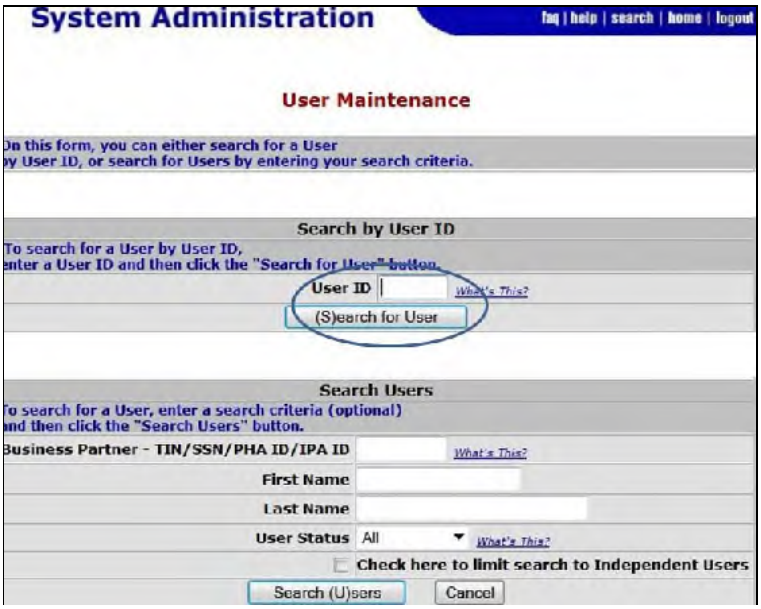


Figure 2. User Maintenance and Search for User by ID

C. On the Maintain User Profile Select <**Choose a Function**> , then

Select <**Maintain User Profile – Actions**> and submit. (Figure 3).

Figure 3. Maintain User Profile – Actions

D. From the **Assign/Unassign Actions** page, mark the <**LOCCS COR-Coordinator**> check boxes and click Assign/Unassign Actions. Figure 4

Figure 4. Mark the check box - LOCCS 'Cor'

E. Click <OK> to confirm action. The eLOCCS link will appear on the left menu bar of Secure Systems and on the REAC Main Menu Page. Continue to Step 2.

Step II. Assignment of Roles to *e*LOCCS User:

After the Secure Systems Coordinator has assigned the **LOCCS COR-Coordinator <action>** to themselves in Step I, LOCCS 'ADM' and 'Query' <Roles> must also be assigned to each Secure Systems User that needs to access *e*LOCCS. This includes the Coordinator. If the Coordinator is also an eLOCCS User, they should assign the LOCCS QRY and ADM roles to themselves too.

To retrieve a Secure Systems User ID that have registered, enter the user's name information in the **Search Users' section.* Figure 3.

A. From the Main Menu, select <**User Maintenance**>. (Figure 1).

Figure 1 - Secure Systems Main Menu

B. From the User Maintenance Screen, enter the Secure Systems User 'M' ID in the **Search by User ID** section and click **<(S)earch for User>** button. Figure 2.

If you don't know the User's 'M' ID, enter the user name information in the **Search Users' section.* Figure 3.

Then click the appropriate **<Search for User>** button to display the User profile page.

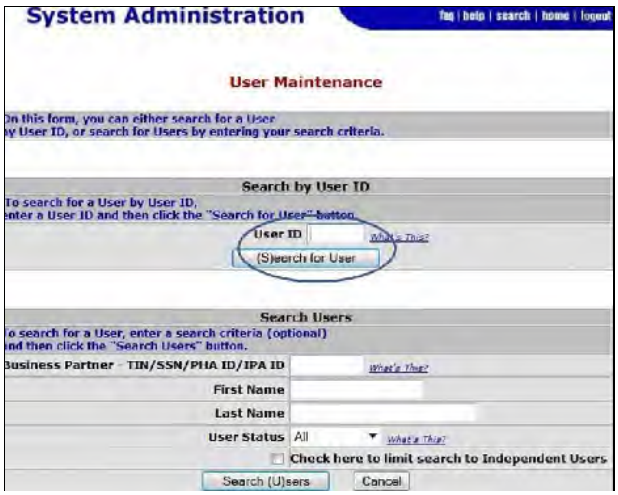


Figure 2. Search for User by ID

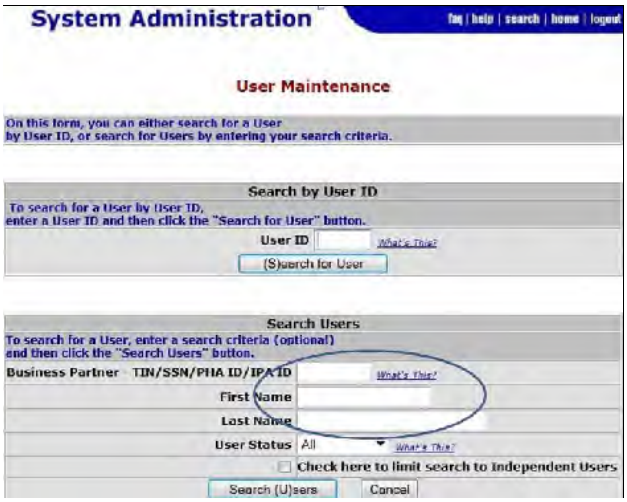


Figure 3 - Search for User by Name Information

C. From the User Profile page, select <**Choose a Function**> and choose '**Maintain User Profile - Roles**' and submit. Figure 4.

Figure 4. Select Maintain User Profile - Roles

Under the LOCCS system, mark the '**QRY**' and '**ADM**' check boxes and confirm role changes. Figure 5

Inform the user that you have successfully assigned the LOCCS system/roles and to sign into Secure System to access *e*LOCCS. **See Section 4.**

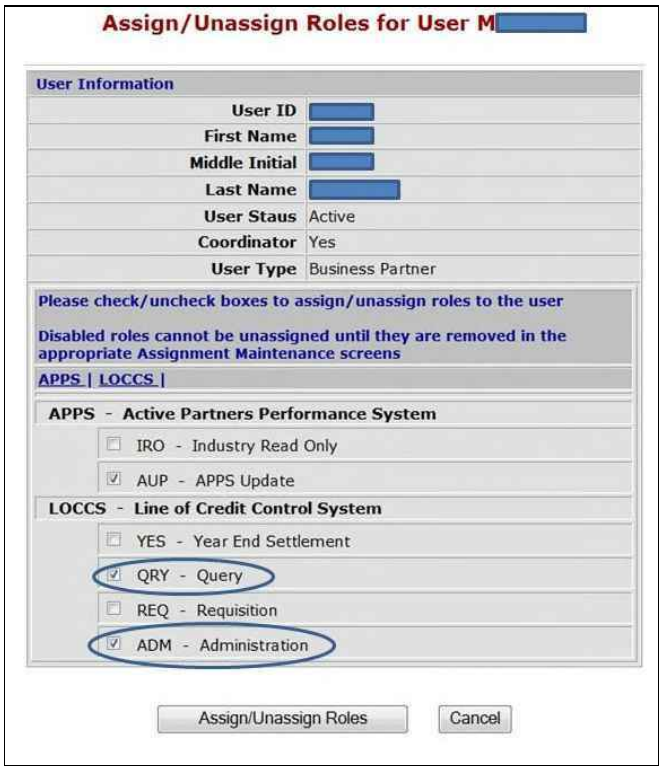


Figure 5. Add LOCCS Roles - Mark 'Qry" and 'ADM' - Roles

IF YOU NEED HELP or have questions regarding any registration component, please call the **LOCCS Help Desk** at 571-766-2916 or email eLOCCS@HUD.GOV with questions.

IF YOU NEED HELP or have questions about your **Secure Systems ID**, please contact the Contact REAC Technical Assistance at 1-888-245-4860.

OMB Approval No. 2535-0102
(exp. 4/30/2020)

eLOCCS
Access Authorization Form

U.S. Department of Housing and Urban Development

See Instructions, Public Burden, and Privacy Act statements before completing this form

This form is to be approved by the recipient's (or grantee's) Chief Executive Officer or equivalent. All forms must be sent to your HUD Program Office for review and approval. Retain a copy. **MANDATORY REQUIREMENT**: New User, Reinstate User and Change Secure Systems ID must be NOTARIZED. **GRANTEE –** Mail form to your grant program officer. **PROGRAM OFFICER:** Required to mail the completed and certified form to: **OCFO, User Support Branch (FYMU)** 451 7th Street SW, Room 3114, Washington, DC 20410.

1. Type of Function(s)	2a. Secure Systems ID (**mandatory**)	2b. New Secure Systems ID **(if changing ID)**
1 ☐ New User 2 ☐ Reinstate User 3 ☐ Terminate User 4 ☐ Change Secure Systems ID 5 ☐ Revise Authorizations 6 ☐ Name/Address Change 7 ☐ Other _____		

3. Authorized User's Name (last, first, mi) **Print or Type**	Title (**mandatory**)	Office Telephone Number (include area code)

Complete Mailing Address	E-Mail Address

4. **Authorizations** (see next page) are **required** for New User, Reinstate User and Revise Authorization functions. Attach one or more authorization pages as needed. Record the number of attached pages to the right. Each page should be initialed by the Approving Official and HUD Program Office POC.	Number of Authorization Pages Attached
5. Authorized User's Signature	Date (mm/dd/yyyy)

I authorize the person identified above to access eLOCCS via HUD's Secure Systems.

6.LOCCS Approving Official Name (last, first, mi) Print or Type	Title	7. Notary (must be different from user and approving official) Seal, Signature, and Date Notarized (mm/dd/yyyy)
E-Mail Address	Secure Systems User ID (mandatory)	
Complete Mailing Address	Office Telephone Number (include area code)	
Approving Official's Signature	Date (mm/dd/yyyy)	

8. HUD Program Office Point of Contact's Name (last, first, mi) Print or Type	Title
E-Mail Address	Office Telephone Number (include area code)
HUD Program Office Point of Contact's Signature	Date (mm/dd/yyyy)

Warning: HUD will prosecute false claims and statements. Conviction may result in criminal and/or civil penalties. (18 U.S.C. 1001, 1010, 1012; 31 U.S.C. 3729, 3802)

Use one of the blocks below to enter requested authorizations as needed for the Type of Function checked in block 1. Most users should use block 9. Use block 10 if you are requesting access for multiple organizations under the same program area (for example, SCMF users need access to many organizations). Use multiples of this Authorization page as needed. Enter the number of Authorization pages used in block 4.

9. Program Area Authorizations

Reason:			
Organization Tax ID:		Organization Name:	

Program Area	Program Area Name	Q =Query D=Drawdown

10. Multiple Organizations for a Single Program Area

Reason:			
Program Area:		Program Area Name:	

Organization Tax ID	Organization Name	Q =Query D=Drawdown

11a. Authorized User's Initials and date	11b. Approving Official's Initials and date	11c. HUD Program Office Initials and date

Warning: HUD will prosecute false claims and statements. Conviction may result in criminal and/or civil penalties. (18 U.S.C. 1001, 1010, 1012; 31 U.S.C. 3729, 3802)

Public reporting burden for this collection of information is estimated to average 10 minutes per response, including the time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. This agency may not collect this information, and you are not required to complete this form, unless it displays a currently valid OMB control number.

Privacy Act Statement: Public Law 97-255, Financial Integrity Act, 31 U.S.C. 3512, authorizes the Department of Housing and Urban Development (HUD) to collect all the information which will be used by HUD to protect disbursement data from fraudulent actions. The purpose of the data is to safeguard the Line of Credit Control System (LOCCS) from unauthorized access. The data are used to ensure that individuals who no longer require access to eLOCCS have their access capability promptly deleted. Provision of the Secure Systems ID is mandatory. HUD uses it as a unique identifier for safeguarding the eLOCCS from unauthorized access. This information will not be otherwise disclosed or released outside of HUD, except as permitted or required by law. Failure to provide the information requested on the form may delay the processing of your approval for access to eLOCCS.

Instructions for the eLOCCS Access Authorization Form

For more information, including the LOCCS program area codes and names, go to the following webpage:

http://portal.hud.gov/hudportal/HUD?src=/program_offices/cfo/loccs_guidelines

1. Type of Function:

(1) **New User**: User does not currently have eLOCCS access. Form must be notarized with original signatures.

(2) **Reinstate User**: Used to reinstate the user's access authorization in eLOCCS. Form must be notarized with original signatures.

(3) **Terminate User**: Used to immediately terminate the user's access authorization to eLOCCS.

(4) **Change Secure Systems ID**: Used to change the Secure Systems ID recorded in eLOCCS.

(5) **Revise Authorizations**: Used to add, change, or delete the eLOCCS authorizations for an existing user. Use Reason in block 9 or 10 to describe the purpose of the revision.

(6) **Name/Address Change:** User is changing name, email, telephone or address information.

(7) **Other:** Use only as directed by the LOCCS Security staff.

2a. **Secure Systems User ID: Field is mandatory.** Approving Officials and Users must register with Secure Systems to obtain their Secure Systems User ID. It is a required field on this form. **If you do not have your Secure Systems ID or have questions, contact your Program Office for procedures.**

2b. **New Secure Systems User ID:** Use only when correcting the Secure Systems ID that eLOCCS has associated with the user.

3. **User Information: All fields are mandatory**. Failure to enter any of these fields will cause the HUD-27054E to be rejected and returned for correction. Enter the user's last name, first name, and middle initial. Enter the user's office phone number. Enter user's mailing address, city, state and zip code. Enter user's e-mail address.

4. **Authorizations:** Enter the number of authorization pages used. Not needed for all functions.

5. **Signature/Date:** The signature of the user requesting access and the date (mm/dd/yyyy) this authorization was signed.

6. **Approval Official:** Enter the name, office telephone number, title, Secure Systems User ID**,** office address, signature and date of the approving official representing the grantee organization. Approving officials **cannot** approve themselves for access to the system, and must be the organizations chief executive officer or equivalent.

7. **Notary.** Must be different from user and approving official. The official who notarizes the form shall include his/her seal, signature, and date (mm/dd/yyyy). Notary should notarize both signatures. Notary is only required for new user, reinstate user and change Secure Systems ID functions.

8. **Program Office Validation**. The **HUD Program Office** must validate that the grantee is the correct official accessing the grant, and all data as it appears on the form for accuracy. The Program Official shall include his/her name, office telephone number, title, e-mail address, signature, and date (mm/dd/yyyy).

9. **Program Area Authorizations:** Enter the reason, organization Tax ID and name, the program area codes and names, and Q for Query or D for Drawdown (which includes query access). Use multiple pages as needed.

Use Reason to explain the authorization request. For example, "new user", "updating authorization", "changing Tax ID", or as directed by HUD.

10. **Multiple Organizations:** Enter reason. Enter multiple organization Tax IDs and names and Q for Query or D for Drawdown for a single program area code and name. Use multiple pages as needed.

11. **Required:**
    - 11a. Authorized Users intiials and date
    - 11b. Approving Official's intials and date
    - 11c. HUD Program Officer's initials and date

eLOCCS Quick References

March 2018

eLOCCS Quick Reference - Guides		
	Guide	**URL**
1	**eLOCCS Access Guidelines for Grantees** These are general LOCCS instructions for obtaining access and filling out the HUD-27054E eLOCCS Access Authorization Form and SF1199A Direct Deposit form.	here
2	**eLOCCS Registration Guide** Walks you through; 1. Registering for an ID in Secure Systems 2. Having your Secure Systems Coordinator assign you the eLOCCS application and the ADM/QRY eLOCCS roles. 3. Requesting eLOCCS access/authorization through the HUD-27054e.	here
3	**eLOCCS Getting Started Guide** This guide provides *e*LOCCS web page examples, familiarizing the user with how navigation works in *e*LOCCS and how to view, manage and drawdown HUD grant funds.	here
4	**eLOCCS Approving Official Recertification Guide** This guide is specific to Approving Officials and provides recertification web page examples, as well as instructions on how an organization can change Approving Officials.	here

eLOCCS Quick Reference - Forms		
	Form	**URL**
1	**HUD-27054E eLOCCS Access Authorization Form** Use this form to request specific LOCCS Organization and HUD Program Area access. The eLOCCS Access Guidelines for Grantees (#1 in the Guides Quick Reference) has instructions on filling out this form.	here
2	**SF1199 Direct Deposit Form** Used to establish or change an organizations Banking Institution or Account Number Instructions on how to fill out and where to send can be found in the eLOCCS Access Guidelines for Grantees (#1 in the Guides Quick Reference).	here
3	**HUD-27056 Change of Name or Address Form** This form is used when an organization address changes.	here

eLOCCS Quick Reference - Miscellaneous		
	Miscellaneous	**URL/Reference**
1	**Secure Systems Login** Select the appropriate Login option from the System Login action(s) on the right-hand side of the page.	here
2	**Secure Systems Technical Assistance (TAC)** **Contact TAC;** 1. If you or your Coordinator are having issues registering in Secure Systems 2. If you or your Coordinator can't get past the User ID/Password on the Secure Systems User Login page.	**1-888-245-4860**
3	**eLOCCS Mailbox** Only email the mailbox if your local Program Office cannot assist.	**eloccs@hud.gov**

U.S. DEPARTMENT OF HOUSING AND URBAN DEVELOPMENT
WASHINGTON, D.C. 20410-3000

OFFICE OF THE CHIEF FINANCIAL OFFICER

To: **eLOCCS Business Partner**
From: **LOCCS Security Office**
Subject: **Changing Approving Officials**

- **By sending this request, if there is a problem, you will be notified.**
- **If approved,** the listed **USERS** will be **TRANSFERRED** to the new **APPROVING OFFICIAL**.
- An **EMAIL** will be sent to the **NEW APPROVING OFFICIAL** once the transfer has been completed.
- If the **TRANSFERRED USERS** were pending recertification, it will be up to the new Approving Official to complete the user recertification process in eLOCCS.

CHANGING APPROVING OFFICIALS, eLOCCS (GRANTEES ONLY)
On the **LETTERHEAD** of the organization, the **NEW APPROVING OFFICIAL** is to send to the eLOCCS Security Office:

1. **NAME** and **TITLE** (Please note that the new approving official should be the CEO; BOARD OFFICER and/or of higher authority than the LOCCS user) of the new **Approving Official. "SECURE SYSTEMS 'M' ID as COORDIANTOR,** daytime **TELEPHONE, ADDRESS** and **EMAIL(PERSONAL)** of the new **Approving Official.**

   ***** "INTERIM/ACTING" TITLES ARE NOT RECOGNIZED BY OUR AUDITORS; PLEASE USE A PERMENENT OFFICIAL.**

2. **NAME** of the **PREVIOUS APPROVING OFFICIAL. (NAME ONLY, DO NOT LIST 'M' USERID)**
3. List **EXISTING USERS (NAME ONLY, DO NOT LIST 'M'USERID).**
4. **SIGN, DATE** and **NOTARIZE** the new **APPROVING OFFICAL'S SIGNATURE.** (Notary must be different from user and new Approving Official; the **ONLY** signatures needed are new official and notary.)

Send a copy to HUD Program officer and
FAX TO: 202/708-4350 (THEN MAIL ORIGINAL)
SEND TO: U.S. DEPT. OF HOUSING AND URBAN DEVELOPMENT
451 7TH ST, SW RM 3114-LOCCS SECURITY OFFICE
WASHINGTON DC 20410
Office Telephone: 877/705-7504 BEFORE 4PM EASTERN TIME.

The ABCs of How to Get Your User ID and Log In as a ... PHA Coordinator

A. How to register for a user ID as a Coordinator:

1. Open your Web browser (e.g., Netscape).
2. In the *Location* field, type in the following URL address: *www.hud.gov/reac*.
   The **REAC** Web page displays on your screen.
3. Click on the online systems link on the left side of the page. Scroll to the bottom of the page and click on the Public Housing Authority link. The PHA Coordinator and User registration form displays.
4. Click on the Coordinator *Application Type* radio button.
5. Complete the form by filling out all of the fields. Remember the password you choose AND how you enter it (uppercase/lowercase)!
6. Click on the Send Application button. A confirmation page displays on your screen.
7. Make sure the PHA Executive Director's mailing address is correct or you will not receive your user ID! If the mailing address is wrong, follow the instructions on the page to get it corrected, and click the Cancel Application button. If the mailing address is correct, click on the Confirm / Submit button.

B. How you get your user ID:

C. How to log in to HUD's secure systems:

1. Open your Web browser (e.g., Netscape).
2. In the *Location* field, type in the URL address*: www.hud.gov/reac*.
   The **REAC** Web page displays on your screen.
3. Click the online systems link on the left side of the page.
4. Click on the LOG IN button. The "Username and Password Required" window pops up.
5. Type your **user ID** in the *User Name* field.
6. Tab to the *Password* field and type in your password.
7. Click on the OK button. The **Legal Warning** page displays.
8. Read the warning and then click on the Continue button.
   The **Secure Systems** page displays on your screen.
9. Follow the step-by-step system administration instructions in the *REAC System Security User Guide for PHAs* (**online systems** page) to:
   a. establish yourself as the Coordinator in the system, and
   b. provide PHA users with system access.

Your user ID and password are **case-sensitive** (uppercase/lowercase)

Need help? Click on the Contact Us link to contact the Technical Assistance Center.

The ABCs of How to Get Your User ID and Log In as a ... PHA User

A. How to register for a user ID as a User:

1. Open your Web browser (e.g., Netscape).
2. In the *Location* field, type in the following URL address: *www.hud.gov/reac*. The **REAC** Web page displays on your screen.
3. Click on the online systems link. Scroll to the bottom of the page and click on the Public Housing Authority link. The PHA Coordinator and User Registration form displays.
4. Click on the User *Application Type* radio button.
5. Complete the form by filling out all of the fields. Remember the password you choose AND how you enter it (uppercase/lowercase)!
6. Click the Send Application button. A confirmation page displays on your screen.
7. Click on the Confirm / Submit button.

B. How you get your user ID:

1. Wait at least 24 hours after you have registered on line for a user ID.

2. Then, contact your PHA Coordinator to request your user ID.

3. Once your PHA Coordinator provides you with your user ID, you can log in.

C. How to log in to HUD's secure systems:

1. Open your Web browser (e.g., Netscape).
2. In the *Location* field, type in the following URL address*: www.hud.gov/reac*. The **REAC** Web page displays on your screen.
3. Click on the online systems link on the left side of the page.
4. Click on the LOG IN button. The "Username and Password Required" window pops up.
5. Type your **user ID** in the *User Name* field.
6. Tab to the *Password* field and type in your password.
7. Click the OK button. The **Legal Warning** page displays.
8. Read the warning and then click the Continue button. The **Secure Systems** page displays.
9. Under the Systems menu, click on the secure system (e.g., FASS PHA) you want to access to begin working.

Your user ID and password are **case-sensitive**. (uppercase/lowercase)

Need help? Click on the Contact Us link to contact the Technical Assistance Center.