

PHDEP

*Monitoring
and
Reporting
Guide*

for
Field Staff and Grantees



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PUBLIC HOUSING DRUG ELIMINATION PROGRAM (PHDEP)

Monitoring and Reporting Guide for
Field Staff and Grantees

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U.S. Department of Housing and Urban Development
Office of Public and Indian Housing
Community Safety and Conservation Division

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PART 1: OVERVIEW

The *PHDEP Monitoring and Reporting Guide for Field Staff and Grantees* provides updated instructions on the monitoring and administration of Public Housing Drug Elimination Program (PHDEP) grants. This *Guide* is not intended to be a complete manual of procedures and should not supplant the judgment of Field Office staff. This *Guide* reflects major changes in the past few years in PHDEP's monitoring guidance and HUD's administrative structure. Many of the changes in PHDEP address the concerns of the General Accounting Office (GAO) and HUD's Office of the Inspector General regarding financial accountability, more effective monitoring, ensuring the collection of accurate data on program outcomes, and improving the overall effectiveness of PHDEP. These concerns derive from the requirements of the Government Performance and Results Act (GPRA) that Federal agencies provide information to Congress about the impact and effectiveness of their programs and program outcomes. HUD has acted on these concerns by focusing more of its efforts on compliance with program reporting requirements. Grantees and Field Office staff have received training on the developing programs that focuses on measurable outcomes and effective program administration. Specific improvements that respond to these concerns include

- ◆ Introducing the formula funding allocation system.
- ◆ Requiring public housing authorities (PHAs) to submit an annual PHDEP plan as part of their PHA plan. (This is also a requirement of the Public Housing Reform Act.)
- ◆ Developing an electronic reporting system and database. Grantees are required to report on their PHDEP activities and provide results-oriented performance data.
- ◆ Forming two new support centers—Grants Management Center (GMC) and the Fort Worth Accounting Center—to assist the Field Offices with application processing and financial management and accounting functions. This allows staff to devote more time to program monitoring, ensure that PHDEP grants are managed responsibly, and track performance goals effectively.

In September 1999, HUD changed the process for distributing PHDEP funding. A formula allocation funding system replaced the former competitive grant application process. (See Public Housing Drug Elimination Program Formula Allocation, Final Rule, 24 C.F.R. Part 761, September 14, 1999.) Under the new formula-based system, the PHA submits the PHDEP plan as part of the annual PHA plan (if the eligible PHA wants to obtain PHDEP funding). This plan identifies the PHA's strat-

egy for its entire operations and includes measures taken and planned by the PHA to ensure the safety of residents within its developments. These measures are included in Component 13 of the PHA plan. Using these measures and broad strategies, the PHA must identify how PHDEP funds will be used to carry out activities consistent with its annual plan/strategy. All eligible housing authorities must submit a PHDEP/PHA plan and receive approval by the Field Office to secure PHDEP funds (See 24 C.F.R. Part 903, October 21, 1999).

Future modifications to the PHA and PHDEP plan templates and related guidance will be designed to incorporate all changes made subsequent to the issuance of the PHA Plan Final Rule published in the September 21, 1999, issue of the *Federal Register*. Any changes proposed will ensure simplicity in the plan submission and review process.

Along with these changes, HUD has addressed concerns about the capacity of the PHDEP Semi-Annual Performance Reporting System (DERS) by folding it into the Public and Indian Housing Information Center (PIC). Using PIC to obtain DERS data from PHAs will improve the speed and accuracy of data exchanges between PHAs and HUD offices. PHAs will be able to simplify data submission not only for DERS but also for other PHA programs using the PIC system. With the integration of DERS into PIC, the DERS screens have changed to simplify the submission process for the housing authorities and the monitoring of grants by Field Office staff.

The conversion of PHDEP to a formula-based approach allows drug elimination funding to be awarded in a more predictable and timely manner while reducing the administrative burden that was required to develop and process competitive applications. Although the application process is now simpler, the new system places greater responsibility for PHDEP reporting and monitoring on grantees and Field Office staff. To monitor PHDEP by Field Offices and improve the quality of performance-data, HUD initiated an electronic performance-based reporting process with the PHDEP Semi-Annual Performance Reporting System called PIC/DERS. The Internet-based system allows the standardized collection of performance information into a database. Grantees must provide cumulative updates to data and activities implemented. Because HUD requires grantees to report on their progress toward reaching measurable goals, Field Office staff can identify programs that need technical assistance, often through remote rather than onsite monitoring. Current financial reporting requirements, added in the Formula Allocation Final Rule, set minimum standards for obligation and disbursement of funds under PHDEP. A Field Office must use this requirement to ensure that program activities and fund expenditures are proceeding according to schedule and, ultimately, to reduce the number of grants that remain open past the termination date. The new reporting

system enables HUD to access and better respond to the requirements of GPRA for specific, results-oriented, national performance data.

Field Offices carry out an active risk management strategy, allocate their monitoring resources appropriately, and monitor each PHDEP grant for which they have responsibility according to Departmentwide standards. HUD has updated its procedures for risk management analysis. The new risk management procedures ensure that all high-risk PHAs are identified for onsite program monitoring. This *Guide* provides specific information about red flags for PHDEP and includes remote and onsite monitoring checklists to ensure that the Field Office staff members address all program areas—especially financial management and accountability—that may be problematic. The new approach to monitoring complies with a strategic goal in HUD’s Business and Operating Plan of restoring the public trust in HUD and addresses the Inspector General’s concerns about the lack of monitoring of some PHDEP grantees by Field Office staff.

This *Guide* expands instructions on the review of grantee procurement procedures and provides a list of procurement documents that the PHA must retain. It helps Field Office staff ensure that subgrantee agreements include provisions for grantee evaluations of program activities. A separate section on closeout procedures provides the steps required for the timely completion of closeout activities.

This *Guide* also assists Field Office staff in implementing their reporting and monitoring responsibilities by providing instructions for program administration over the life cycle of the PHDEP grant. It complements the basic monitoring strategies in the *HUD Monitoring Desk Guide* and is used in continued training for Field Office staff and grantees on administering PHDEP. The *Guide* points the reader to formal guidance, such as specific laws and regulations, HUD handbooks, Office of Management and Budget (OMB) circulars, and Internet sites where program documents and instructions are found (see appendix I for PHDEP resource list). A number of other resources also are included as appendixes.

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PART 2: GRANT APPROVAL AND AWARD PROCESS

As part of the formula allocation process, PHAs must submit PHDEP plans (to receive PHDEP funds) as part of their 5-year PHA plan and annual plan submissions, as required by the Quality Housing and Work Responsibility Act of 1998. The PHDEP plan has been designed to serve the following goals:

- ◆ To provide a planning tool for PHAs.
- ◆ To ensure consistency with the PHA plan.
- ◆ To streamline the submission of PHDEP grant and programmatic information.
- ◆ To ensure consistency with the Internet-based PHDEP reporting system.

Eligible PHAs must submit PHDEP plans using an electronic template that can be downloaded from the PHA plan Web site at www.hud.gov/pih/pha/plans/phaps-guidance.html. In reviewing the PHDEP plan (a component of the PHA plan), Field Office staff will use Notice PIH 2000-12(HA), *Instructions for Submitting First Public Housing Agency (PHA) Plans for PHAs With Fiscal Years Beginning July 1, 2000, and October 1, 2000*, available on HUD's Web site. As part of the review process, Field Offices provide PHAs with technical support that will result in an acceptable, approvable PHDEP plan. PHAs and Field Offices should check the PHA plan Web site regularly for additional information and updates on the plan submission process.

Additional Resources on the Awards Process

- Public Housing Agency Plans: See Final Rule, 24 C.F.R. Part 903, October 21, 1999.
- PHDEP Formula Allocation: See Final Rule, 24 C.F.R. Part 761, September 14, 1999.
- PHA/PHDEP plan template (HUD 50075): Go to www.hud.gov/pih/pha/plans/phaps-guidance.html and click on Templates to download. (See appendix IV-A.)
- Notices PIH 99-51, December 14, 1999, and PIH 2000-12(HA), April 10, 2000: See instructions on submitting your plan.
- *Field Office Guidelines on Review of PHA Plans From PHAs With Fiscal Years Beginning 1/1/2000 and 4/1/2000.*

ELIGIBILITY AND ALLOCATION

The amount made available each Federal fiscal year (FY) to an eligible applicant is based on the applicant's share of the total number of public housing units of all eligible applicants. Qualified applicants with fewer than 50 units will be funded at \$500 per unit; otherwise, awards are limited to a minimum of \$25,000 and a maximum of \$35 million. Funding amounts may change from year to year depending on the Federal budget and the number of applicants approved for funding.

To begin the allocation process, HUD first identifies PHAs eligible for PHDEP funding. Eligible PHAs must qualify under one of the following categories (refer to the PHDEP Formula Allocation; Final Rule, 24 C.F.R. Part 761, September 14, 1999):

- ◆ PHAs that successfully competed for PHDEP funding under a PHDEP Notice of Funding Availability (NOFA) for FY96, FY97, or FY98, known as preference PHAs.
- ◆ PHAs that received an application score of 70 or more points under a PHDEP NOFA for FY96, FY97, or FY98 but did not receive an award because of the unavailability of funds.
- ◆ PHAs that are in the top 50 percent of the unit-weighted distribution of an index of a rolling average rate of violent crimes in the community, as computed for each Federal fiscal year by HUD.

Once funding is allocated for PHDEP for a fiscal year, HUD publishes a list of eligible housing authorities in the *Federal Register*. The list of eligible applicants for FY00 was published on May 10, 2000.

REVIEW AND APPROVAL OF THE PHDEP/PHA PLAN

Eligible applicants must obtain approval of their PHDEP/PHA plan from their Field Office. Field Offices are responsible for reviewing and approving the PHDEP plan as part of their overall responsibility for the annual PHA plans. The Field Office reports the status of the PHA plans to the GMC, which oversees the grant awards process.

An applicant submits its PHDEP/PHA plan to the Field Office for approval not later than 75 days prior to its fiscal year start date (as required by Public Housing Agency Plans, Final Rule, 24 C.F.R. Part 903, October 21, 1999). January PHAs received special submission instructions for their first PHA plan submissions, as provided in Notice PIH 99-51. The Field Office has 75 days to determine whether submissions are complete (that is, responsive to the information requested in the

PHDEP plan template and guidance) and meet the plan approval criteria. Table 1 lists the submission dates for FY01.

Table 1: Federal Fiscal Year 2001 Submission Dates

If the PHA's fiscal year begins	The due date for the PHDEP plan is
January 2001	October 18, 2000
April 2001	January 16, 2001
July 2001	April 17, 2001
October 2001	July 18, 2001

Applicants must download, sign, and mail the required certification forms to their Field Offices as part of the application process. The primary certification forms are "PHA Certifications of Compliance With the PHA Plans and Related Regulations" and the "Certification by State or Local Official of PHA Plans Consistent With the Consolidated Plan." The Certification of Compliance consolidates certification requirements in a number of regulatory areas, including affirmative furthering of fair housing and compliance with Section 3 requirements. It also requires PHDEP applicants to maintain and have available for review records relating to their programs, such as baseline law enforcement services, written agreements with law enforcement agencies receiving PHDEP funds, and partnership agreements indicating specific leveraged support.

Applicants also must submit the three forms listed below with their PHDEP/PHA plans. All local certifications should be submitted according to the instructions found on HUD's Web site. (From www.hud.gov/pih/pha/plans/phaps-home.html, choose Certifications. See appendix IV-A.)

- ◆ Form HUD 50070, Certification for a Drug-Free Workplace.
- ◆ Forms SF LLL and SF LLLa, Disclosure of Lobbying Activities (where applicable).
- ◆ Form HUD 50071, Certification of Payments to Influence Federal Transactions.

The Field Office provides guidance for applicants within the 75-day review period to ensure that the PHDEP portion of the plan is in compliance with program regulations and consistent with Field Office guidance regarding the plan review process. If the applicant's plan is acceptable, the Field Office notifies the GMC.

GRANT AWARD AND EXECUTION

Responsibilities of the Grants Management Center

- ◆ Prepares congressional notifications.
- ◆ Runs the PHDEP formula and allocates the formula share to eligible applicants.
- ◆ Sends PHAs a letter notifying them of the amounts for which they are eligible.
- ◆ Forwards the Assistance Award/Amendment Form (HUD-1044) and the grant agreement to PHAs for execution.
- ◆ Notifies the Field Office of the amount for which each PHA is eligible at the time the grant agreement package is sent to the PHA.
- ◆ Develops PHDEP plan processing instructions.

Responsibilities of the Program Office (Community Safety and Conservation Division—CSCD)

- ◆ Develops the formula, ensuring consistency and accuracy.
- ◆ Develops policy and provides guidance related to the PHDEP formula and plan.
- ◆ Monitors the overall implementation of the PHDEP plan including report submission and allocation of funds.
- ◆ Addresses and reports to Congress and the Inspector General's Office on the accountability issues related to program compliance, outcome measures, and the overall effectiveness of PHDEP.
- ◆ Prepares national summaries and analysis of the PHDEP implementation nationwide including overall accomplishments and best practices.

Responsibilities of the Field Office

- ◆ Sends the grant award approval letter to the PHA and includes any special conditions resulting from the plan review. (These are incorporated into the grant agreement by reference.)
- ◆ Receives and executes the grant agreement after it has been signed by the PHA.
- ◆ Sends the Line of Credit Control System (LOCCS) Access Authorization Security Form (HUD-27054-A) and Direct Deposit Sign-Up Form (SF 1199A) and LOCCS/VRS Drug Elimination Program Payment Voucher (HUD-50080-DRUG) to new grantees.

- ◆ Submits a copy of Form HUD-1044 to the Fort Worth Accounting Center so each grant can be entered in the Project Accounting System and LOCCS. For new grantees, a blank check on the account from which PHDEP funds will be deposited (with “void” written on the front of the check) must accompany the documents forwarded to the Fort Worth Accounting Center.
- ◆ Maintains one copy of the plan in the grant file and sends one copy to the Drug Information and Strategy Clearinghouse (see CSCD Web page for current address or call 800-955-2232).

Responsibilities of the PHA

- ◆ Executes the grant agreement and returns it to the Field Office, making sure the grantee’s tax identification number is annotated on the HUD-1044.
- ◆ Signs and returns the necessary LOCCS and direct deposit forms to the Field Office (new grantees only).
- ◆ Makes available records for inspection by HUD staff for monitoring and record keeping purposes.
- ◆ New grantees must also submit a blank check on the account from which PHDEP funds will be deposited. On the front of the check grantees should write “void.”

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PART 3: FINANCIAL MANAGEMENT, LOCCS, AND PROCUREMENT

FINANCIAL MANAGEMENT OF THE PHDEP GRANT

PHDEP grantees follow the same rules and procedures for the drawdown of grant funds and the obligation and expenditure of funds, and the same cost accounting principles, as required by other HUD programs. Careful adherence to financial management requirements is essential to ensure an efficiently run program over the life cycle of the grant.

Making Program-Related Disbursements

Grantees are required to make PHDEP drawdowns through the HUD Line of Credit Control System/Voice Response System (LOCCS/VRS) and must only request drawdowns on a cost-reimbursable basis (that is, they request only those funds required to pay invoices submitted to the PHA). On request, LOCCS releases funds to the grantee within the general guidelines described in this chapter.

The following rules govern PHDEP-related spending

- ◆ Grantees must disburse grant funds according to their approved annual plan, budget, and timetable.
- ◆ All costs must be reasonable, necessary, and eligible.
- ◆ Grantees **may not** charge indirect costs to PHDEP.
- ◆ The Other Program Costs, budget line item (BLI) #9190, must not include expenses for specific program activities covered under other BLIs in the grantee's PHDEP/PHA plan. Grantees must provide a description of all expenses included under Other Program Costs.
- ◆ Grantees must ensure that program funds are not commingled with funds from other sources, including other Federal agencies or HUD programs.
- ◆ Grantees may begin incurring expenses against the grant once the original grant agreement is executed (that is, from the date the director of the Office of Public Housing signs the HUD-1044).
- ◆ Grantees must obligate at least 50 percent of funds under a particular grant within 12 months of the execution of the grant agreement, and must expend at least 25 percent of funds under a particular grant within 12 months of the execution of the grant agreement. Review the specific NOFA under which the grant

was awarded for regulations on eligible activities and costs or the PHDEP Final Rule.

- ◆ Grantees must follow all rules specific to PHDEP. PHDEP funds must be obligated and spent in compliance with all funding notifications, regulations, Notices, and grant agreements.
- ◆ Payment to vendors must be made within 7 calendar days after receiving funds through LOCCS; excess amounts must not be drawn down.
- ◆ Grantees may draw down funds for eligible expenses during the 90-day period after the grant term expires but the costs must have been incurred before the grant termination date.

Sources for Guidance on Financial Management

- Current Notice for the program.
- OMB Circular A-87.
 - Provides information on eligibility of expenditures.
 - Provides standards for determining how costs can be allocated for selected items.
 - Provides guidance on which costs require Field Office approval.
 - States that grant funds cannot be used to pay indirect costs.
- Regulations 24 C.F.R. Part 85 and 24 C.F.R. Part 761.
- Notice PIH 2000-38(HA) Performance Reporting Requirements and Grant Closeout Procedures for Public Housing Drug Elimination Program.
- Notice PIH 2000-39(HA) Annual Resident Survey for the Public Housing Drug Elimination Program (PHDEP).

Making Financial Changes to Planned Activities

Sometimes it is necessary to modify an approved annual budget, plan, and/or timetable. In these cases, grantees submit a **written request** for proposed changes to the Field Office (for example, Attention: Director, Public Housing Division) for approval. The Field Office must approve or reject the request within 10 calendar days. The approved changes become an amendment to the original grant agreement, and the amendment is processed and distributed in the same manner as the original grant agreement. Substantial amendments to the PHDEP plan may trigger a public hearing process. Grantees should refer to Public Housing Agency Plans, Final Rule, 24 C.F.R. Part 903 and the most recent Notices. In addition, HUD may

sometimes initiate changes, if required, to a BLI and notify the grantee. Changes requiring a formal request include

- ◆ A reduction in the total funding amount.
- ◆ A change of more than 10 percent in any activity or BLI.
- ◆ A change in the scope or objective of the project or program.
- ◆ A change in the project or program timetable.
- ◆ A waiver to extend the grant term.
- ◆ Other changes as determined by the grantee in consultation with the Field Office.
- ◆ A change initiated by HUD.
- ◆ A Field Office extension of 6 months.

USING LOCCS

LOCCS/VRS is a quick-response payment process that enables grantees to obtain disbursements of PHDEP funds from HUD for eligible expenses within several business days. The system also provides a record of financial activity in each PHDEP grant. LOCCS makes it easier for grantees and Field Offices to work together on financial management of the PHDEP grant.

Getting Authorization To Use LOCCS

Along with the PHDEP grant approval documents sent to grantees, the Field Office will include the LOCCS Access Authorization Security Form HUD-27054-A (new or revised-access users) and the Direct Deposit Sign-Up Form SF 1199A (new grantees only). When these documents are signed and returned to the Field Office by the grantee, Field Office staff send a copy of the HUD-1044 to the Fort Worth Accounting Center, which completes entry of the grant into LOCCS. Once the Field Office has entered the grantee's BLIs into LOCCS (using screen F01), LOCCS generates a letter to the grantee containing its 10-digit LOCCS/VRS project number. Grantees are then authorized to initiate drawdowns.

Making Drawdowns

At the grantee's request, using the Drug Elimination Program Payment Voucher, LOCCS electronically transfers funds to the grantee's depository. Funds generally become available within 2 business days.

The PHA must disburse funds requisitioned through LOCCS/VRS within 7 calendar days after receipt of drawdown (24 C.F.R. § 85.20).

LOCCS Edits

LOCCS/VRS automatically performs a series of review edits (both generic and program-specific) of each payment request. Failure of a program edit refers the Request for Payment to the Field Office for review. PHAs should contact their Field Offices immediately when the request has been denied for either of the following reasons:

- ◆ The request exceeds 10 percent of grant funds per calendar month.
- ◆ Total drawdowns exceed 110 percent of any BLI.

LOCCS also rejects a drawdown request when the grantee has not submitted the required Semi-Annual Performance Report and the Financial Status Report (SF 269A; see Part 4).

Field Review of LOCCS Edits

When reviewing requests for a drawdown that exceeds 10 percent of grant funds for a calendar month, the Field Office must contact the PHA to obtain a verbal explanation (a specific use of funds and amounts to be paid out) before LOCCS releases funds. Field Office staff ensure that the grantee has a completed and authorized payment voucher and that the grantee's records are consistent with the PHDEP/PHA plan. Staff note the information in the grantee's file, approve or reject the request using screen V32, and notify the grantee of the action taken. The Field Office must make every effort to complete this review within 72 hours.

All drawdowns that exceed 110 percent of a BLI require the grantee to submit a written request to the Field Office. The request must include a budget modification and a revision to the approved PHDEP/PHA plan (this must be submitted on the PHDEP/PHA plan template). The Field Office may place an edit on funds (through LOCCS) until the budget/plan modification has been approved and entered into LOCCS (using screen F01).

The Field Office also may suspend payments immediately (using screen M01) under the following circumstances:

- ◆ If there is clear evidence of fraud, abuse, or mismanagement. (Payments may be resumed only after appropriate actions are taken.)
- ◆ If the grantee persistently draws down more funds than are authorized.

- ◆ If the grantee persistently holds a substantial amount of drawn funds for more than 7 calendar days before disbursement. (If no disbursement is imminent, and the grantee has a significant cash balance, the Field Office may require the grantee to remit the excess amount to the HUD Fort Worth Accounting Center.)
- ◆ If the grantee submits chronically late (30 or more days overdue) corrections/revisions to reports that have been reviewed and determined to be unacceptable by HUD.
- ◆ If the grantee is under sanction from HUD.

The Field Office must document its reasons for any suspension of payments and inform the grantee in writing. If the suspension results from delinquent grantee reports, the Field Office must acknowledge receipt of the report(s) within 5 days to avoid further delay in accessing PHDEP funds (by the grantee). Field Offices have the option of reviewing all drawdowns when corrective action is mandated (that is, outstanding audit findings).

Correcting Errors in LOCCS

At the grantee's request, the Field Office may change incorrect amounts requested through LOCCS (using screen M03) when the net change to the total grant amount is zero. A grantee that has mistakenly drawn down more funds than needed remits the excess to the Fort Worth Accounting Center. The grantee remits immediately the excess funds to HUD by wire transfer (if \$2,000 or more) or by check (for lesser amounts) made payable to U.S. Department of HUD.

If drawdowns exceed the disbursements cited on the Financial Status Report (SF 269A; see appendix IV-B), the Field Office reviews the grantee's compliance with the PHDEP/PHA plan and suspends further drawdowns until the issue is resolved.

PROCUREMENT OF PROPERTY OR SERVICES

PHA procurement activities must comply with the requirements in HUD Handbook 7460.8 REV-1, *Procurement for Public and Indian Housing Authorities*. PHDEP grantees must follow competitive contracting procedures in acquiring property and services. That is, grantees should obtain services (such as counseling and instruction), and property (such as security communications equipment, computers, office furniture, and sporting equipment) through a competitive bidding process. Non-competitive justification for restricted eligibility procedures may be used if

- ◆ The item or service is available only from a single source.

- ◆ Supplies, services, or construction must be ordered immediately to prevent threats to public health, welfare, or safety; property damage; or serious injury to the grantee.
- ◆ The Field Office authorizes the use of non-competitive proposals. Grantees must justify single-source procurement requests in writing.
- ◆ The grantee finds that only one vendor can properly fill the order after soliciting bids from a number of sources.

Procurements greater than \$100,000 require a sealed bid or competitive proposal process. (This threshold is subject to change.) For smaller purchases, grantees may use simplified procedures that require documenting price or rate quotations from an adequate number of sources before purchases are made.

For Additional Guidance on Procurement

- Appendix VII of this *Guide* provides a list of the basic procurement documents the PHA must retain.
- Handbook No. 7460.8 REV-1, *Procurement Handbook for Public Housing Authorities and Indian Housing Authorities*, January 1993 (currently under revision).
- 24 C.F.R. § 85.36.
- The procurement standards for Indian housing are found in 24 C.F.R. Part 905, subpart B.
- 24 C.F.R. § 85.32(e), Disposition of equipment, consistent with PHA policy for PHDEP-purchased equipment.

Rules for Procurement

- Grantees must develop their own procurement policies and procurement procedures that are consistent with applicable Federal, State, and local laws and regulations.
- Grantees must maintain records detailing the history of all purchases.

PART 4: REPORTING

HUD requires all PHDEP grantees to report their performance on spending and progress toward program goals semi-annually to their Field Office. The Field Office can carry out its monitoring responsibilities efficiently if performance reports are complete, accurate, and timely.

The financial and program data provided by grantees serve five purposes

- ◆ Timely submission of reports ensures access to PHDEP funds through LOCCS.
- ◆ Reports support the national administration and management of PHDEP.
- ◆ Report data is used for preparing congressionally mandated reports on PHDEP and reporting the results of PHDEP activities to public and community partners.
- ◆ The revised resident survey instrument will enable HUD to monitor national changes in residents' perceptions of drug use, drug-related activity, and safety in PHDEP-targeted developments.
- ◆ Innovative programs, success stories, and best practices can be compiled and disseminated to grantees, policy makers, and the public.

All PHDEP grantees submit the PHDEP Semi-Annual Performance Report and the Financial Status Report to comply with the regulations governing this program. Both are cumulative reports submitted on a semi-annual basis. They also are submitted at the end of the grant term as final, or closeout, reports. (See part 6 for details on the two sections that must be completed during closeout.) A resident survey is submitted with the January Semi-Annual Performance Report. (The requirements for the survey are described in Notice PIH 2000-39(HA) and in the *PHDEP Instruction Guidebook for the New Semi-Annual Performance Reporting System Version 1.0* at the HUD Web site (www.hud.gov/pih/programs/ph/de/rs.html).

PHDEP Grantee Report Requirements			
Type of Report	Performance Paper-Based	Financial Status (SF 269A)	Resident Survey
Semi-Annual and Annual Due Dates	January 31 July 30	January 31 July 30	January 31
Final or Closeout Due Dates	90 days after the grant termination date	90 days after the grant termination date	N/A
Submission Format	Internet-based	Internet-based	Internet-based

In July 1999, HUD began converting its paper-based performance monitoring system for PHDEP to an Internet-based, standard reporting format. Grantees now submit regular PHDEP program reports using an electronic system. This new electronic system helps grantees

- ◆ Establish baseline data for measuring progress against the PHDEP/PHA plan each year.
- ◆ Update their progress in program implementation and accomplishments every 6 months.
- ◆ Identify and respond to resident concerns about drug-related activity and safety.
- ◆ Provide evidence of program quality, timely performance, and financial indicators to maintain the availability of funding.
- ◆ Meet the regulatory requirement for program reporting (established by 24 C.F.R. § 761.35).

PHDEP SEMI-ANNUAL PERFORMANCE REPORT

The Semi-Annual Performance Report is the primary tool that PHDEP grantees use to report their progress in reducing drug use and violence in public housing communities (as required by 24 C.F.R. § 761.35). In July 1999, HUD introduced a standard electronic format for the report and required grantees to submit the report over the Internet. The report's common data requirements are tied to the PHDEP/HA plan components. Grantees must contact the Headquarters Program Office to obtain the access code needed to submit the Semi-Annual Performance Report.

All recipients of PHDEP grants are required to submit a Semi-Annual Performance Report and a Financial Status Report (SF 269A) for each open and active grant. ("Open and active" refers to any grant not closed out and any grant for which activities were undertaken during the reporting period.) All reports must be submitted by the deadline for each reporting cycle referenced previously in this section. PHDEP grant funds must be suspended if the Field Office does not receive reports by the deadline.

Responsibilities of Grantees

Grantees must obtain Internet service to access the electronic reporting system (see HUD's *PHDEP Instruction Guidebook* for system requirements or call the Public and Indian Housing Resource Center at 800-955-2232).

Grantees are responsible for collecting data on PHDEP-supported activities for each BLI in the PHDEP plan (see the *PHDEP Instruction Guidebook* for the type of data

required). PHAs must ensure that strategies are in place for informing staff, contractors, and community partners about the type and frequency of data required and the timeframe for submitting this data to the PHA for its report.

The grantee must submit the reports on time and in the required format to avoid suspension of program funds (see, part 3). To meet data requirements, grantees must collaborate with local law enforcement to collect information on crime in public housing developments and ensure that data are available in required categories.

Grantees are advised to establish a tracking system that ensures that thresholds for financial obligations and expenditures are consistent with the Final Rule for PHDEP Formula Allocation (24 C.F.R. § 761.23(c)(1)). Grantees must obligate at least 50 percent of funds under a particular grant within 12 months of the execution of the grant agreement, and must expend at least 25 percent of funds under a particular grant within 12 months of the execution of the grant agreement.

Responsibilities of the Field Office

Field Offices are responsible for monitoring the submission of reports in advance of the deadline. This action allows Field Offices to work proactively with PHAs to ensure timely submissions, identify potential problems with submissions, and work with CSCD desk officers if extraordinary circumstances arise. (The Field Office defines extraordinary circumstances and works with CSCD desk officer staff on a case-by-case basis.) Any extraordinary circumstances identified by Field Offices must be documented, and a copy of the narrative should be provided to the respective CSCD desk officer when intervention is warranted.

The Field Offices are responsible for reviewing reports to ensure completeness and accuracy and to reconcile Financial Status Reports with expenditures and obligations identified in LOCCS. It is the responsibility of the Field Office to acknowledge the receipt of reports using LOCCS (Screen M10). Grantees with outstanding reports must be notified by the Field Office in writing of their noncompliance with the executed grant agreement and the requirement to suspend payments through LOCCS until semi-annual report(s) are submitted. The suspension in LOCCS may be removed only after CSCD, in consultation with the grantee, agrees to accept the late submissions. The format and method for submitting late reports through DERS will be determined by CSCD. (See Part 5.)

CSCD desk officers also monitor the submission of reports to identify grantees that are in noncompliance as well as to identify patterns of noncompliance. As noted in the Public Housing Reform Act, § 586(b),

One-year renewable grants shall be contingent upon the Secretary finding, upon an annual or more frequent review, that the grantee agency is performing under the terms of the grant and applicable laws in a satisfactory manner and meets such other requirements as the Secretary may prescribe.

FINAL AND CLOSEOUT PERFORMANCE AND FINANCIAL REPORTS

The Final Performance Report documents the overall accomplishments of the grantee in meeting its PHDEP goals during the grant life cycle (as required by 24 C.F.R. § 761.35), and the report identifies any problems or issues preventing the grantee from implementing any approved activities or unmet goals. The report also highlights special achievements, best practices, the number of program participants, and the total hours of participation for each program activity; explains why any participant goals were not met; and summarizes achievements and best practices.

On completion of approved grant activities, or no later than 90 days after the grant termination date (or revised termination date based on an approved extension, waiver, or early termination by HUD for cause), grantees are required to submit an electronic Closeout Report through DERS. This report can be utilized in meeting the requirements found in 24 C.F.R. § 761.35 and 24 C.F.R. Part 85 for the submission of a Final Performance Report and Post Grant Report identified in HUD Handbook 7490.01, *Resident Initiatives Grant Management Handbook*. To meet these requirements, the DERS Closeout Report must cover the entire term of the grant.

Responsibilities of the Grantee

Currently, DERS provides only two sections (*Problems Encountered* and *Success Stories/Best Practices*) in which to capture narrative descriptions and analysis for each grant scheduled to be closed out. Therefore, the additional narrative information required by regulations should be included in these two sections. Please note that DERS has a capacity of 1,200 characters per section; therefore, grantees must be concise in developing a narrative analysis. Future enhancements to DERS will incorporate the required narrative sections to the Closeout Report.

The grantee must complete both sections as part of the closeout process and cover the following information:

Problems-Encountered Section

- ◆ An evaluation of the grantee's overall performance against its plan.
- ◆ Any change or lack of change in crime or other indicators drawn from the applicant's plan assessment and an explanation of any difference.
- ◆ A discussion of any problems encountered in implementing the plan and how they were addressed.
- ◆ Any change or lack of change in crime or other indicators drawn from the applicant's plan assessment and an explanation of any difference.

Success Stories/Best Practices Section

- ◆ Successful completion of any strategy component identified in the grant's plan.
- ◆ A discussion of the grantee's efforts to encourage resident participation.
- ◆ A description of any other programs that may have been initiated, expanded, or deleted as a result of the plan, with an identification of the resources and the number of people involved in the programs and their relationship to the plan.

In addition to the Closeout Report, grantees are required to submit a final Financial Status Report (SF 269A). This report is a cumulative financial summary, from the date of the grant agreement to the grant termination date, and includes expenditures to date and the exact balance of unexpended funds. This report must be submitted to the Field Office within 90 days of the termination of the grant or on completion of the approved grant activities.

Responsibilities of the Field Office

The director of the Office of Public Housing is responsible for all administrative actions and controls necessary for a timely closeout of PHDEP grant agreements. To ensure that all closeout requirements are met, the Field Office should take the following actions:

- ◆ At least *60 calendar days* (45 days for grants terminated for cause) before the grant termination date, the Field Office will review the grant file and DERS and remind grantees of the grant termination date, time limits on the expenditure of funds, reporting submission requirements, and records retention requirements.
- ◆ No later than *90 calendar days* after the grant termination date, Field Office staff will review the contents of the official grant file against the closeout requirements and make sure all required reports have been received. If not, the Field Office will notify the grantee of overdue reports and grant closeout

requirements. Enforcement of regulatory requirements is detailed in 24 C.F.R. § 85.43.

- ◆ No later than *120 calendar days* after the grant termination date, the Field Office will review reports to ensure that the final narrative report or Closeout Report reflects completion of the program with respect to the purpose of the activities authorized.

The final Financial Status Report (SF 269A) is analyzed to determine if the amounts are in excess of the budgeted amounts approved for the project activities (these amounts must be reconciled). The amount of funds approved and drawn down, as reflected in LOCCS, shall be reconciled with the expenditures as reported on the SF 269A. The Field Office notifies the grantee in writing that any excess funds are to be remitted immediately to HUD by wire (if \$2,000 or more) or by check (for lesser amounts) made payable to U.S. Department of HUD. If all authorized funds have not been drawn, the remaining funds shall be de-obligated (recaptured).

Once the final Financial Status Report (SF 269A) has been approved, the Field Office issues a closeout letter to the grantee along with an executed grant agreement amendment (HUD-1044). The grant agreement amendment reflects the amount of unexpended (excess) funds remitted and the amount of funds de-obligated. These documents, along with the approved SF 269A, shall be forwarded to the Fort Worth Accounting Center that establishes an account receivable for any amount due to HUD or to de-obligate any unused grant funds as applicable. The Field Office shall enter a pre-audit date into LOCCS on approval of the final reports.

Responsibilities of the Program Office (Community Safety and Conservation Division)

The Program Office staff has overall responsibility for monitoring the PHDEP report submission process. This includes responding to issues related to the system's capacity and, under certain conditions, extending the reporting cycle deadline. In addition, the Program Office has overall responsibility for policy regarding PHDEP, including

- ◆ Providing guidance to Field Offices.
- ◆ Monitoring the submission of the semi-annual reports.
- ◆ Identifying trends in periodic performance reporting.
- ◆ Developing national analysis of the DERS data to identify trends.
- ◆ Assessing the accomplishments of PHDEP-funded activities in areas that include prevention, intervention, youth initiatives, and community policing initiatives.

ANNUAL RESIDENT SURVEY

Grantees are responsible for conducting an Annual Resident Survey (a statistical sampling) of adult residents (one per household) who have resided in the PHDEP-targeted area(s) for a year or more at the time of the survey implementation. PHAs are no longer required to hire an independent survey organization to conduct the Annual Resident Survey as prescribed in PIH Notice 2000–39.

This Notice (2000–39) identifies the parameters for conducting the annual survey and guidance to minimize the type of errors that can occur in the administration of the survey. PHAs are now required to achieve a 25-percent response rate and to consider four sources of error to yield accurate results

- ◆ **Coverage errors** occur when the list from which a sample is drawn is incomplete.
- ◆ **Sampling errors** occur when researchers survey only a subset or a sample of all the available people.
- ◆ **Measurement errors** occur when the answer to a given question is inaccurate or cannot be compared in any useful way to other answers.
- ◆ **Nonresponse errors** occur when a significant number of people in the sample do not respond to the survey.

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PART 5: MONITORING

Through Field Office monitoring, HUD ensures that PHDEP is administered efficiently and effectively and that it is in compliance with applicable laws and regulations. As the *HUD Monitoring Desk Guide* states,

Monitoring is an integral management control technique and a GAO [General Accounting Office] standard. It is an ongoing process that assesses the quality of performance over time. Monitoring provides information for making informed judgments about program effectiveness and management efficiency, as well as identifying instances of fraud, waste, and abuse. (p. 1)

Efforts to standardize and improve PHDEP monitoring are part of HUD's overall effort to address deficiencies identified by GAO and HUD's Office of Inspector General. Overall, Field Offices should conduct remote and onsite monitoring to ensure that PHDEP funds are expended according to approved plans and consistent with obligation and expenditure thresholds as well as to ensure that program activities are on schedule.

Monitoring lets Field Office staff identify grantee needs and assign each local program to an appropriate level of oversight based on its risk rating. Through monitoring, the Field Office identifies deficiencies in program and financial management operations and develops action plans to correct any problems. The Field Office establishes the type, frequency, and scope of risk and management reviews needed to direct its own resources efficiently, allocating the most time and effort to grantees with the greatest need for oversight.

For onsite monitoring, Field Office staff should visit each PHDEP grantee housing authority as determined by the grantee's risk rating. The remote and onsite monitoring of an effectively run program simplifies the final closeout and audit process. This *Guide* includes two appendixes (appendixes V and VI) that provide Field Office staff with specific guidance on reviewing service agreements, procurement records, and financial documentation as well as interviewing participants and staff to assess the effectiveness of PHDEP grants.

Sources for Rules on Eligible Activities and Expenditures

- Public Housing Drug Elimination Program Formula Allocation; Final Rule, 24 C.F.R. Part 761, September 14, 1999.
- Notices of Funding Availability for PHDEP, FY96, FY97, and FY98.
- Notice Withdrawing and Reissuing FY99 Notice of Funding Availability for PHDEP.
- C.F.R. Part 85, Administrative Requirements for Grants and Cooperative Agreements to State, Local, and Federally Recognized Indian Tribal Governments.
- OMB Circular A-87, part 85, as revised. "Cost Principles for State, Local, and Indian Tribal Governments."
- OMB Circular A-122 "Cost Principles for Nonprofit Organizations."

RISK MANAGEMENT APPROACH

Field Offices must perform a risk analysis to determine the relative exposure or risk to the Department. These risk factors, which in part include performance with respect to Public Housing Assessment Systems, are integral parts of each Field Office's comprehensive monitoring strategy and Business and Operating Plan. HUD Handbook 7460.7 REV-2, *Field Office Monitoring of Public Housing Authorities (PHAs)* provides guidance on risk assessment for Field Offices. Risk assessment procedures ensure the most effective use of limited Field Office staff.

The overall risk assessment and ranking process allows Field Offices to target and develop specific monitoring strategies and schedules for each grantee, including both remote and onsite reviews. The Field Office provides continuous remote monitoring reviews for PHDEP (for example, review of LOCCS and the semiannual reports and supplemental data) on all grantees.

Some Red Flags in PHDEP*Financial*

- Audit or field reviews indicate poor financial controls, procurement practices, or financial documentation.

Management

- Field reviews show poor management of supportive service contracts.
- Semi-Annual Performance Reports and Financial Status Reports show poor program implementation.

Resident Satisfaction

- PHDEP Resident Survey indicates increased resident concerns about drugs, drug use, and safety.

Services

- Grantee goals for reduction in crime, police calls, arrests, and other anticrime measures are not being met.
- Lack of progress on implementing the memorandum of understanding with the local law enforcement agency.
- Approved activities are not implemented on schedule.

REMOTE MONITORING

Remote monitoring allows the Field Office to assess the performance and status of PHDEP programs by examining the required grantee reports and other documentation provided by grantees. The basic tools for remote monitoring are the PHDEP/PHA plan, the Semi-Annual Performance Report, LOCCS, the Financial Status Report (SF 269A), and audits by HUD's Office of Inspector General. As an additional remote monitoring tool, Field Office staff may request supporting documentation, such as invoices, telephone logs, agreements or contracts with service providers, and requests for voucher payments. With the submission of a PHA's Semi-Annual Performance Report, Field Office staff should look for red flags that signal that the program may be in trouble.

After receiving the Semi-Annual Performance Report and the Financial Status Report, Field Office staff should compare them against the PHDEP/PHA plan to assess the status of planned activities. Field Offices should determine whether

- ◆ The proposed program outputs (for example, number of participants and participant hours) are on schedule.
- ◆ The grantee has met the thresholds of expending 25 percent and obligating 50 percent of the total grant award with 12 months of grant execution.

- ◆ The grantee's total disbursements reflected on the SF 269A and in LOCCS are on schedule as proposed in the approved plan.
- ◆ Annual resident survey results are complete and recorded in the PIC/DERS system.
- ◆ Recent onsite reviews clearly indicate programmatic issues and corrective action steps.

A checklist for remote monitoring reviews is included in appendix V.

If all review areas appear to comply with program regulations and activities are on schedule, the Field Office sends the grantee a letter assessing that grantee's performance (adequate, exemplary, significant achievements). The Field Offices also must indicate areas of noncompliance or concerns about deficiencies. Field Office staff may request additional supporting documentation from the grantee to further evaluate performance. Both remote and onsite reviews should be coordinated with other disciplines or affected staff to ensure appropriate corrective action or guidance.

Terms Used in Monitoring

- **Conclusion.** Field Office staff summarizes conclusions made during monitoring orally in the exit conference and provides a followup in writing for the grantee and for the grantee file. Field Office staff support their conclusions with documented evidence and observations.
- **Finding.** A finding refers to a condition that is not in compliance with program requirements and guidelines—either regulatory or statutory requirements, or guidance from handbooks. Field Office reports of findings should include
 - *Condition*—explaining the problem.
 - *Criteria*—citing the regulatory or statutory requirement that was not met.
 - *Cause*—explaining why the condition occurred.
 - *Effect*—describing what happened because of the condition.
 - *Corrective action*—explaining what the grantee must do to correct the condition.

Corrective actions, whether recommended or required, must be included in all findings.
- **Concern.** A concern refers to a deficiency in performance that, although not a violation of a program requirement, should still be brought to the grantee's attention. Communications about concerns should include the condition, cause, effect, and corrective action.

HUD Monitoring Desk Guide: Policies and Procedures for Program Oversight, 1999.

ONSITE MONITORING

The key document used in planning monitoring reviews is HUD Handbook 7460.7 REV-2, *Field Office Monitoring of Public Housing Authorities (PHAs)*, to be updated in the near future. Field Office staff members schedule and conduct onsite reviews as directed by the comprehensive monitoring plan. To maximize staff and travel resources, onsite reviews should include all areas of concern, not just one program.

Preparing for the Onsite Monitoring Visit

Before visiting the site, an onsite review team should develop a monitoring strategy by conducting an examination of remote monitoring activities and concerns and discussions with (and observations from) affected Field Office staff. This includes the key staff members who will conduct the onsite review (see the Onsite Monitoring Checklist in appendix VI, for suggested questions).

Field Offices should call the grantee at least 30 calendar days before the visit to discuss any outstanding issues, develop a detailed interview schedule (program administrator, subcontractors, and residents) and request essential services (such as access to telephones, a conference room, and files). As a followup, Field Offices should send the grantee a letter of confirmation outlining the scope of the review, the schedule, and relevant records to be reviewed.

The monitoring team should review the following documents, using the Remote Monitoring Checklist (see appendix V) as a guide

- ◆ Semi-Annual Performance and Financial Status Reports.
- ◆ Most current Public Housing Assessment System scores.
- ◆ PHA's PHDEP resident survey analysis.
- ◆ Audit reports (from the Office of the Inspector General of HUD or GAO) and outstanding findings.
- ◆ Previous PHDEP monitoring reports and documents indicating subgrantee contract compliance.
- ◆ Obligations and expenditures (check consistency with the PHDEP/PHA plan, budget, and activity timetables).
- ◆ Requested program changes to the PHDEP/PHA plan, approval or denial status, and timetable.

The monitoring team should identify topics to address during the visit and inform the grantee of any specific documents needed for review (see the Onsite Monitoring Checklist in appendix VI for suggested questions).

Conducting the Onsite Review

The monitoring team begins the visit with an entrance interview with the executive director, senior staff, resident or resident council representatives, and the board chairperson, as appropriate, to communicate the scope and objectives of the review. The team interviews PHDEP staff, local law enforcement officials, residents, subcontractors, and others to discuss program performance. To ensure an effective onsite review, coordination with the staff directly responsible for each aspect of the program is essential. For example, if procurement issues are a monitoring focus, HUD staff should meet with and review all financial records pertaining to subcontractors, BLI activities, the budget, budget narratives, PHDEP reports, activity timetables, invoices and vouchers, records confirming disbursement of funds, and LOCCS access.

To conclude the onsite visit, the monitoring team should convene an exit meeting with the executive director and other officials, as appropriate, to outline deficiencies and clarify required or recommended corrective action. To the extent possible, the team and the grantee should agree on a timetable for corrective action. The team should also provide information on the next steps in the monitoring process and a projected timeframe for providing the grantee with a monitoring report.

Preparing the Onsite Monitoring Report, Followup Action, and Closing the Findings

The onsite monitoring report should be transmitted to the grantee no later than 30 calendar days after the onsite visit. The Field Office director must approve all reports with a copy provided to HUD's Office of General Counsel (for the Field Office's jurisdiction) in cases where grant funding is adversely affected.

The Field Office must offer the grantee an opportunity to contest any finding and provide adequate due process. It should inform the grantee of the availability of technical assistance through the PHDEP Support Center.

Elements of the Onsite Monitoring Report

- PHDEP activities being reviewed.
- Names of the staff conducting the review.
- Staff from the PHA who participated in the review process.
- Date(s) of the review.
- Formal conclusions, findings, and concerns along with the facts to support them.
- Recommendations for each finding and suggested corrective actions with a timetable for completion.
- Recommendations for technical assistance.

See also Onsite Monitoring Checklist in appendix VI.

Concerns and findings in the monitoring report require followup by the Field Office. The monitoring report must establish clear deadlines for the grantee to initiate and complete corrective action to ensure compliance. If the grantee fails to both meet the target dates and submit a written explanation for the delay to the Field Office, the Field Office must contact the grantee and document the communication. The grantee must respond within 30 calendar days following the deadline for implementing corrective action(s) and identify the status of the action taken or prob-

lems associated with implementing HUD recommendations. If the grantee fails to respond, the Field Office must transmit a letter to the chairperson of the agency, the chief executive officer, and the appropriate local government official(s) warning that noncompliance may result in the suspension of grant funds. The Field Office prepares such letters under advice of counsel. Field Office staff members also communicate with the PHDEP Program Office in situations where corrective actions are required, particularly in cases involving the lack of financial controls or procurement problems.

Field Office staff must review all corrective action taken by the grantee and send a written response within 10 calendar days from receipt. The response either certifies that corrective action is complete or advises additional action.

Closing the Findings

Once the grantee has taken satisfactory corrective action, the Field Office documents this in writing. The Field Office then sends a letter enclosing the findings to the chairperson of the agency and the executive director. The Field Office staff retains a copy of the monitoring report documenting the closing of any findings. Field Office staff ensures that the monitoring documentation, including completed checklists, monitoring reports, and followup communications, are included in the program file.

PART 6: CLOSEOUT PROCEDURES

The PHDEP closeout process begins when the grantee disburses all PHDEP grant funding or at the grant termination date. The Field Office certifies that the grantee has completed its planned activities, and certification is provided for the final Financial Status Report (SF-269A) for each affected grant (see 24 C.F.R. § 85.50 and Notice PIH 2000-38 for the grant closeout regulations governing PHDEP). The Field Office also certifies that all findings, corrective actions, or other administrative actions have been completed. The closeout process involves two steps

- ◆ **Pre-audit procedures** include all activities by HUD and the grantee required for closeout *before* the grantee's (yearly) independent public audit. (The independent audit includes PHDEP activities.) Procedures include submission and review of grantee reports, remission of funds (if required), issuance of the closeout letter, and establishment of the post-audit date.
- ◆ **Post-audit procedures** include all activities by HUD and the grantee required to finish closeout *after* the grantee's (yearly) independent public audit. This stage involves completion of the grantee's independent audit, HUD review of the audit report, and followup by HUD if required. HUD determines that all grantee program expenditures are correct and the account contains no overdrafts, then establishes the post-audit date.

These two activities are part of the same process. They are combined to complete HUD's records of the grant. The PHA's PHDEP account for any given grant period is not considered to be closed until all closeout and audit procedures are complete.

PRE-AUDIT CLOSEOUT PROCEDURES

The closeout process begins with the submission of the grantee's final report. Within 60 calendar days before the grant termination date (45 days for grants terminated for cause), the Field Office reviews the grant file and DERS and notifies the grantee in writing of

- ◆ Grant termination date.
- ◆ Time limits on the expenditure of funds.
- ◆ Reporting submission requirements.
- ◆ Records retention requirements.

No later than 90 calendar days after the grant termination date (or the date set in an approved waiver), the Field Office reviews the contents of the official grant file against the closeout requirements to ensure that all required reports have been received. HUD notifies grantees of overdue reports if they have not been received. Within 120 calendar days after receipt of the final reports, the Field Office reviews the reports to ensure that the final narrative report (Closeout Report) shows that the grantee has completed the activities authorized for the grant term.

The review ensures that the amount of funds identified on the final Financial Status Report matches the budgeted amounts approved for the program activities. The amount of funds approved and drawn down in LOCCS also must be reconciled with the expenditures reported on the SF 269A. If the SF 269A indicates that excess funds have been provided to the grantee, Field Office staff directs the grantee in writing to remit them to the Fort Worth Accounting Center. The grantee remits immediately the excess funds to HUD by wire (if \$2,000 or more) or by check (for lesser amounts) made payable to U.S. Department of HUD. The Fort Worth Accounting Center establishes an account receivable for the amount due. If the SF 269A indicates that the grantee is owed additional funds, the Field Office directs the grantee to request the funds using LOCCS/VRS. The Field Office must approve the drawdown because the automatic review flag set by LOCCS locks the grantee out of the system once the grant termination date has been reached. If all allocated funds have not been drawn, any remaining funds are recaptured.

Once the final Financial Status Report has been approved, the Field Office issues a closeout letter to the grantee along with an executed grant agreement amendment (HUD-1044). The grant agreement amendment reflects the amount of excess funds remitted or the amount of funds to be recaptured. The Field Office sends the closeout letter, executed grant agreement, and approved final Financial Status Report to the Fort Worth Accounting Center. After the Fort Worth Accounting Center notifies the Field Office that the PHA has remitted any required funds or that the required funds have been recaptured, the Field Office closes out the grant by entering the pre-audit end date in LOCCS. This action stops all reminder letters to the grantee and removes grantee access to grant funds through LOCCS for that particular PHDEP grant.

POST-AUDIT CLOSEOUT PROCEDURES

At the next regular audit of the PHA, the independent auditor verifies that all PHDEP expenditures are authorized and determines if the grantee owes or is due any funds for the grant period. The PHA notifies the Field Office of the completion of the audit and forwards it to the Field Office. If the audit discloses unauthorized

expenditures, the Field Office informs the Fort Worth Accounting Center that an account receivable must be established to receive this amount from the grantee. If the audit reveals that funds are due the grantee, the Field Office tells the Fort Worth Accounting Center to allow the grantee access to this amount in LOCCS. If there are no audit findings, the Field Office sends a letter to the Fort Worth Accounting Center instructing it to enter the post-audit end date in LOCCS without any further modifications. Field Office staff should go into LOCCS after the recapture entry is generated to perform an option FO1 to clean out the Q05 screen.

The Field Office then notifies the grantee by letter that program costs have been audited and are correct. The Field Office retains a copy of the letter and sends copies to the Fort Worth Accounting Center. Only when post-audit closeout procedures are complete is the closeout process finished.

The Field Office must retain a permanent file for each closed-out PHDEP grant for 1 year after final payment and may retire the files to the Federal Records Center any time after that. (HUD Handbook 2225.6 provides instructions for records disposition.)

WAIVERS AND EXTENSIONS

Extensions to 24 Months

Housing authorities that implement PHDEP programs with grant terms that are less than 24 months (Grant Administration, 24 C.F.R. § 761.30,) may request that the Field Office amend the grant agreement to reflect this maximum period. To effect this change, the grantee must submit its request in writing no later than 30 calendar days before the grant termination date. This request must be submitted to the Field Office for review and approval. Other requirements that must be satisfied by the grantee include the following:

- ◆ Current and acceptable Financial Status Reports (SF 269A) must be on file in the Field Office.
- ◆ The grantee must explain why the extension is needed, how much additional time will be required, and the effect of a denial of the request.
- ◆ The grantee must have satisfied all special conditions of the grant agreement except those that must be fulfilled in the remaining period of the grant. This includes the performance and resolution of audit findings in a timely manner.
- ◆ The grantee must submit a narrative justification with the program extension request. The justification must provide complete details, including the circum-

stances that require the proposed extension and an explanation of the impact of denying the request.

- ◆ Any problems identified by an audit have been resolved.

The Field Office reviews and approves the extension and sends a copy of the revised HUD-1044 to the Fort Worth Accounting Center to establish a new termination date in LOCCS. The Field Office must also inform the PHDEP Program Office desk officer of the new termination date in writing.

Extensions Beyond 24 Months

Per Grant Administration, 24 C.F.R. § 761.30,

the terms of the grant agreement may not exceed 24 months for the Public Housing Program, unless an extension is approved by the local HUD Office. Any funds not expended at the end of the grant term shall be remitted to HUD. HUD may grant an extension of the grant term in response to a written request for an extension stating the need for the extension and indicating the additional time required. HUD will not consider requests for retroactive extension of program periods. HUD will permit only one extension. The request must be received by the local HUD Office prior to the termination of the grant, and requires approval by the local HUD Office.

The Field Office must amend the HUD-1044 to reflect the new grant term and forward a copy to the Fort Worth Accounting Center to allow the revised termination date to be entered into LOCCS. The Field Office must notify the Program Office of the new grant termination date.

Waivers

PHAs that requested and were already granted a 6-month extension based on the above provision may request a waiver of 24 C.F.R. § 761.30 to extend the grant term. The request for a waiver is reserved for extraordinary circumstances that prevent the grantee from fully implementing PHDEP activities. “Upon determination of good cause, the Secretary may, subject to statutory limitations, waive any provision of this title (Code of Federal Regulations) and delegate this authority in accordance with § 106 of the Department of Housing and Urban Development Reform Act of 1989 (24 C.F.R. § 5.110).

The PHA must submit a request for a waiver in writing to the Field Office within 30 days before the extended grant termination date. The Field Office must transmit a letter of support for the grantee's request along with a copy of the request initiated by the housing authority. The Field Office transmits its request to the Assistant Secretary for Public and Indian Housing with a copy to the PHDEP Program Office, which reviews and recommends approval to the Assistant Secretary.

The PHA must satisfy the same criteria outlined above to have a request approved. The Field Office must amend the HUD-1044 to reflect the new grant term and forward a copy to the Fort Worth Accounting Center to allow the revised termination date to be entered into LOCCS.

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APPENDIX I. LAWS, HANDBOOKS, REGULATIONS, AND OMB CIRCULARS GOVERNING PHDEP

Laws

Title V of the Anti-Drug Abuse Act of 1988 (42 U.S.C. § 11901 *et seq.*), Chapter 2, Subtitle C, as amended by § 581 of the National Affordable Housing Act of 1990 (NAHA) approved November 28, 1992, Public Law 101-625, and § 161 of the Housing and Community Development Act of 1992 (HCDA 1992) (Public Law 102-550, approved October 28, 1992).

Quality Housing and Work Responsibility Act of 1998 (Public Housing Reform Act) Public Law 105-276, 112 Statute 2461, approved October 21, 1998; 42 U.S.C. § 1437d(j) § 511 (*re* Public Housing Agency Plans) and 586 (*re* formula funding allocation system for PHDEP).

Handbooks

7490.01, *Resident Initiatives Grants Management*.

7460.7 REV-2, *Field Office Monitoring of Public Housing Authorities (PHAs)*.

7460.8 REV-1, *Procurement Handbook for Public and Indian Housing Authorities*.

Guidebooks

HUD Monitoring Desk Guide

Internal Controls Desk Reference Guidebook

Regulations

24 C.F.R Part 761 as revised by the Public Housing Drug Elimination Program Formula, September 14, 1999.

Public Housing Agency Plans: Final Rule (Federal Register Vol. 64, No. 203, October 21, 1999)

24 C.F.R Part 903, Public Housing Agency Plans: Final Rule (Federal Register Vol. 64, No. 203, October 21, 1999; 24 C.F.R Part 903, Public Housing Agency Plans: Change in Plan Submission Dates (Federal Register Vol. 64, No. 182, September 21, 1999)

Each PHDEP grant awarded before the formula allocation funding system was effective is governed by the requirements of the Notice of Funding Availability (NOFA) for the year in which it was funded. Take a copy of the appropriate NOFA

on your onsite monitoring visit. They can be found on HUDCLIPS using the reference numbers and issuance dates that follow:

For FY97: Federal Register, May 23, 1997, Docket No. FR-4181-N-01, HUDCLIPS Reference No. 102.

For FY98: Federal Register, March 31, 1998, Docket No. FR-4340-N-01, HUDCLIPS Reference No. 596.

For FY99: Federal Register, May 12, 1999, Docket No. FR-FR-4451-N-03, HUDCLIPS Reference No. 64.

For FY00: Federal Register September 14, 1999, Docket No. FR-4451-F-04, HUDCLIPS Reference No. 465.

HUD Notices

Notice PIH 99-33, Issued July 30, 1999, Announcement of Availability of PHA Plan Template...Announcement of Streamlining of Capital Fund and Public Housing Drug Elimination Program Planning Requirements.

Notice PIH 99-51, Issued December 14, 1999; Additional Instructions for Submitting First PHA Plans under the Final Rule and Extension of Due Date for Submission of PHA Plans for PHAs with Fiscal Years Beginning July 1, 2000 and after; Availability of Required Format for Public Housing Drug Elimination Program (PHDEP) Plan.

Notice PIH 2000-12, Issued April 7, 2000, Instructions for Submitting First Public Housing Agency (PHA) Plans for PHAs With Fiscal Years Beginning July 1, 2000 and October 1, 2000.

Field Office Guidelines on Review of PHA Plans from PHAs With Fiscal Years Beginning 1/1/2000 and 4/1/2000 (available on HUD Web site).

Updated Field Office Guidance on Review of PHA Plans From PHAs With Fiscal Years Beginning 1/1/2001 (available on HUD Web site).

Notice PIH 00-19, Extension of Notice PIH 99-18(HA), Guidelines for Creating, Implementing and Managing Public Housing Authority Police Departments in Public Housing.

Notice PIH 2000–43(HA), Issued September 18, 2000: PHA Plan Guidance; Streamlining of Small PHA Plans; Extension of Notices PIH 99–33(HA) and PIH 99–51(HA)

Notice PIH 2001–4(HA), Issued January 19, 2001; Instructions.

(Notices on grant award procedures will be published periodically.)

OMB Circulars

OMB Circular A–87, part 85, as revised, “Cost Principles for State, Local, and Indian Tribal Governments.”

OMB Circular A–102, “Grants and Cooperative Agreements With State and Local Governments.”

OMB Circular A–110, “Uniform Administrative Requirements for Grants and Agreements With Institutions of Higher Education, Hospitals, and Other Non-Profit Organizations.”

OMB Circular A–122, “Cost Principles for Non-Profit Organizations.”

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APPENDIX II. RESOURCES FOR PROGRAM MONITORING AND OPERATION

HUDCLIPS is the Web site where you can find HUD Handbooks, Notices, and Directives; links to the *Federal Register*, the U.S. Code, and OMB Circulars; and virtually all publicly available program documents for PHDEP. (HUD Field Office staff also has an intranet available for internal processing and information).

PHDEP Monitoring-Related Web Sites

Description	Web Site
All HUD Handbooks, Notices, links to <i>Federal Register</i> documents, and links to OMB circulars and other resources	www.hudclips.org/
HUD Web site	www.hud.gov/
PHDEP Semi-Annual Performance Reporting System	www.hud.gov/pih/programs/ph/de/prs.html
Community Safety and Conservation Division (CSCD) at HUD. Contains Semi-Annual Report instructions, notices of upcoming training, listserv instructions, information on DETAP, and information on new developments in the program	www.hud.gov/pih/programs/ph/de/cscd.html
Office of Public and Indian Housing Web site	www.hud.gov/pih/pih.html
PHA Plans Web site (includes PHDEP plan template)	www.hud.gov/pih/pha/plans/phaps-home.html
Notice of Funding Availability Web site	www.hud.gov/pih/nofas2001
Public Housing Reform Act Web site	www.hud.gov/pih/events/phra_training.html
BuyBack America Program	www.hud.gov/buyback/
Periodic notices and guidance	HUD intranet
PHDEP information for Indian tribes, TDHEs, and HUD staff	www.codetalk.fed.us

Other Resources

The SuperNOFA Information Center at (800-HUD-8929) provides applicants with application kits.

The TA Program Information Line at (800-955-2232), Option 4 answers questions and/or assists in preparing any technical assistance application.

The Public and Indian Housing Resource Center (800-955-2232) provides information on upcoming conferences, PHDEP publications and documents, and other program guidance.

National Office of Native American Programs (303-765-1600, ext. 3323) provides information on PHDEP, including technical assistance, for Indian tribes and tribally designated housing entities.

New Monitoring Guidance: HUD is now preparing an updated procurement handbook that will help Field Office staff monitor service contracts.

The PHDEP Listserv: Grantees use the listserv to communicate with colleagues around the country about a wide range of PHDEP-related topics. HUD uses the listserv to provide direct guidance in some PHDEP areas of concern. (To subscribe, go to the Community Safety and Conservation Division (CSCD) Web site at www.hud.gov/pih/programs/ph/de/cscd.html; click on "Resources," then on "Listserv" for instructions.)

Periodic PHDEP Technical Training: The PHDEP Program Office offers periodic training for Field Office staff on monitoring PHDEP programs. Training is also provided to grantees on subjects such as using the Internet-based reporting system, improving crime data and analysis, and developing measurable performance indicators. Training is announced on the CSCD Web site.

Periodic HUD Broadcasts: The PHDEP Program Office periodically issues broadcasts from Headquarters to provide timely program guidance.

APPENDIX III. GRANT AWARD AND LOCCS FORMS WITH INSTRUCTIONS

- ◆ Appendix III–A: Assistance Award/Amendment (HUD–1044)
- ◆ Appendix III–B: Questionnaire for Public Trust Positions (SF 85P; for HUD staff use only)
- ◆ Appendix III–C: LOCCS Access Authorization Security Form for HUD Staff (HUD–27054–A)
- ◆ Appendix III–D: Direct Deposit Sign-Up Form (SF 1199A)
- ◆ Appendix III–E: LOCCS/VRS Drug Elimination Program Payment Voucher (HUD–50080–DRUG)
- ◆ Appendix III–F: Change of Address Request for Recipients of HUD Grants or Contracts (HUD–27056)
- ◆ Appendix III–G: HUD 50070 Certification for a Drug-Free Workplace
- ◆ Appendix III–H: SF LLL and SFLLLa, Disclosure of Lobbying Activities
- ◆ Appendix III–I: HUD 50071, Certification of Payments to Influence Federal Transactions

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Assistance Award/Amendment

U.S. Department of Housing
and Urban Development
Office of Administration

1. Assistance Instrument <input type="checkbox"/> Cooperative Agreement <input type="checkbox"/> Grant		2. Type of Action <input type="checkbox"/> Award <input type="checkbox"/> Amendment	
3. Instrument Number	4. Amendment Number	5. Effective Date of this Action	6. Control Number
7. Name and Address of Recipient		8. HUD Administering Office	
		8a. Name of Administrator	8b. Telephone Number
10. Recipient Project Manager		9. HUD Government Technical Representative	
11. Assistance Arrangement <input type="checkbox"/> Cost Reimbursement <input type="checkbox"/> Cost Sharing <input type="checkbox"/> Fixed Price		12. Payment Method <input type="checkbox"/> Treasury Check Reimbursement <input type="checkbox"/> Advance Check <input type="checkbox"/> Automated Clearinghouse	
13. HUD Payment Office		15. HUD Accounting and Appropriation Data	
14. Assistance Amount		15a. Appropriation Number	15b. Reservation Number
Previous HUD Amount	\$	Amount Previously Obligated \$	
HUD Amount this action	\$	Obligation by this action \$	
Total HUD Amount	\$	Total Obligation \$	
Recipient Amount	\$		
Total Instrument Amount	\$		

16. Description

17. <input type="checkbox"/> Recipient is required to sign and return three (3) copies of this document to the HUD Administering Office		18. <input type="checkbox"/> Recipient is not required to sign this document.	
19. Recipient (By Name)		20. HUD (By Name)	
Signature & Title	Date (mm/dd/yyyy)	Signature & Title	Date (mm/dd/yyyy)

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Questionnaire for Public Trust Positions

Follow instructions fully or we cannot process your form. Be sure to sign and date the certification statement on Page 7 and the release on Page 8. *If you have any questions*, call the office that gave you the form.

Purpose of this Form

The U.S. Government conducts background investigations and reinvestigations to establish that applicants or incumbents either employed by the Government or working for the Government under contract, are suitable for the job and/or eligible for a public trust or sensitive position. Information from this form is used primarily as the basis for this investigation. Complete this form only after a conditional offer of employment has been made.

Giving us the information we ask for is voluntary. However, we may not be able to complete your investigation, or complete it in a timely manner, if you don't give us each item of information we request. This may affect your placement or employment prospects.

Authority to Request this Information

The U.S. Government is authorized to ask for this information under Executive Orders 10450 and 10577, sections 3301 and 3302 of title 5, U.S. Code; and parts 5, 731, 732, and 736 of Title 5, Code of Federal Regulations.

Your Social Security number is needed to keep records accurate, because other people may have the same name and birth date. Executive Order 9397 also asks Federal agencies to use this number to help identify individuals in agency records.

The Investigative Process

Background investigations are conducted using your responses on this form and on your Declaration for Federal Employment (OF 306) to develop information to show whether you are reliable, trustworthy, of good conduct and character, and loyal to the United States. The information that you provide on this form is confirmed during the investigation. Your current employer must be contacted as part of the investigation, even if you have previously indicated on applications or other forms that you do not want this.

In addition to the questions on this form, inquiry also is made about a person's adherence to security requirements, honesty and integrity, vulnerability to exploitation or coercion, falsification, misrepresentation, and any other behavior, activities, or associations that tend to show the person is not reliable, trustworthy, or loyal.

Your Personal Interview

Some investigations will include an interview with you as a normal part of the investigative process. This provides you the opportunity to update, clarify, and explain information on your form more completely, which often helps to complete your investigation faster. It is important that the interview be conducted as soon as possible after you are contacted. Postponements will delay the processing of your investigation, and declining to be interviewed may result in your investigation being delayed or canceled.

You will be asked to bring identification with your picture on it, such as a valid State driver's license, to the interview. There are other documents you may be asked to bring to verify your identity as well.

These include documentation of any legal name change, Social Security card, and/or birth certificate.

You may also be asked to bring documents about information you provided on the form or other matters requiring specific attention. These matters include alien registration, delinquent loans or taxes, bankruptcy, judgments, liens, or other financial obligations, agreements involving child custody or support, alimony or property settlements, arrests, convictions, probation, and/or parole.

Instructions for Completing this Form

1. Follow the instructions given to you by the person who gave you the form and any other clarifying instructions furnished by that person to assist you in completion of the form. Find out how many copies of the form you are to turn in. You must sign and date, in black ink, the original and each copy you submit.
2. Type or legibly print your answers in black ink (if your form is not legible, it will not be accepted). You may also be asked to submit your form in an approved electronic format.
3. All questions on this form must be answered. If no response is necessary or applicable, indicate this on the form (for example, enter "None" or "N/A"). If you find that you cannot report an exact date, approximate or estimate the date to the best of your ability and indicate this by marking "APPROX." or "EST."
4. Any changes that you make to this form after you sign it must be initialed and dated by you. Under certain limited circumstances, agencies may modify the form consistent with your intent.
5. You must use the State codes (abbreviations) listed on the back of this page when you fill out this form. Do not abbreviate the names of cities or foreign countries.
6. The 5-digit postal ZIP codes are needed to speed the processing of your investigation. The office that provided the form will assist you in completing the ZIP codes.
7. All telephone numbers must include area codes.
8. All dates provided on this form must be in Month/Day/Year or Month/Year format. Use numbers (1-12) to indicate months. For example, June 10, 1978, should be shown as 6/10/78.
9. Whenever "City (Country)" is shown in an address block, also provide in that block the name of the country when the address is outside the United States.
10. If you need additional space to list your residences or employments/self-employments/unemployments or education, you should use a continuation sheet, SF 86A. If additional space is needed to answer other items, use a blank piece of paper. Each blank piece of paper you use must contain **your name and Social Security Number at the top of the page.**

Final Determination on Your Eligibility

Final determination on your eligibility for a public trust or sensitive position and your being granted a security clearance is the responsibility of the Office of Personnel Management or the Federal agency that requested your investigation. You may be provided the opportunity personally to explain, refute, or clarify any information before a final decision is made.

Penalties for Inaccurate or False Statements

The U.S. Criminal Code (title 18, section 1001) provides that knowingly falsifying or concealing a material fact is a felony which may result in fines of up to \$10,000, and/or 5 years imprisonment, or both. In addition, Federal agencies generally fire, do not grant a security clearance, or disqualify individuals who have materially and deliberately falsified these forms, and this remains a part of the permanent record for future placements. Because the position for which you are being considered is one of public trust or is sensitive, your trustworthiness is a very important consideration in deciding your suitability for placement or retention in the position.

Your prospects of placement are better if you answer all questions truthfully and completely. You will have adequate opportunity to explain any information you give us on the form and to make your comments part of the record.

Disclosure of Information

The information you give us is for the purpose of investigating you for a position; we will protect it from unauthorized disclosure. The collection, maintenance, and disclosure of background investigative information is governed by the Privacy Act. The agency which requested the investigation and the agency which conducted the investigation have published notices in the Federal Register describing the system of records in which your records will be maintained. You may obtain copies of the relevant notices from the person who gave you this form. The information on this form, and information we collect during an investigation may be disclosed without your consent as permitted by the Privacy Act (5 USC 552a(b)) and as follows:

PRIVACY ACT ROUTINE USES

1. To the Department of Justice when: (a) the agency or any component thereof; or (b) any employee of the agency in his or her official capacity; or (c) any employee of the agency in his or her individual capacity where the Department of Justice has agreed to represent the employee; or (d) the United States Government, is a party to litigation or has interest in such litigation, and by careful review, the agency determines that the records are both relevant and necessary to the litigation and the use of such records by the Department of Justice is therefore deemed by the agency to be for a purpose that is compatible with the purpose for which the agency collected the records.
2. To a court or adjudicative body in a proceeding when: (a) the agency or any component thereof; or (b) any employee of the agency in his or her official capacity; or (c) any employee of the agency in his or her individual capacity, where the Department of Justice has agreed to represent the employee; or (d) the United States Government is a party to litigation or has interest in such litigation, and by careful review, the agency determines that the records are both relevant and necessary to the litigation and the use of such records is therefore deemed by the agency to be for a purpose that is compatible with the purpose for which the agency collected the records.
3. Except as noted in Question 21, when a record on its face, or in conjunction with other records, indicates a violation or potential violation of law, whether civil, criminal, or regulatory in nature, and whether arising by general statute, particular program statute, regulation, rule, or order issued pursuant thereto, the relevant records may be disclosed to the appropriate Federal, foreign, State, local, tribal, or other public authority responsible for enforcing, investigating or prosecuting such violation or charged with enforcing or implementing the statute, rule, regulation, or order.
4. To any source or potential source from which information is requested in the course of an investigation concerning the hiring or retention of an employee or other personnel action, or the issuing or retention of a security clearance, contract, grant, license, or other benefit, to the extent necessary to identify the individual, inform the source of the nature and purpose of the investigation, and to identify the type of information requested.
5. To a Federal, State, local, foreign, tribal, or other public authority the fact that this system of records contains information relevant to the retention of an employee, or the retention of a security clearance, contract, license, grant, or other benefit. The other agency or licensing organization may then make a request supported by written consent of the individual for the entire record if it so chooses. No disclosure will be made unless the information has been determined to be sufficiently reliable to support a referral to another office within the agency or to another Federal agency for criminal, civil, administrative, personnel, or regulatory action.
6. To contractors, grantees, experts, consultants, or volunteers when necessary to perform a function or service related to this record for which they have been engaged. Such recipients shall be required to comply with the Privacy Act of 1974, as amended.
7. To the news media or the general public, factual information the disclosure of which would be in the public interest and which would not constitute an unwarranted invasion of personal privacy.
8. To a Federal, State, or local agency, or other appropriate entities or individuals, or through established liaison channels to selected foreign governments, in order to enable an intelligence agency to carry out its responsibilities under the National Security Act of 1947 as amended, the CIA Act of 1949 as amended, Executive Order 12333 or any successor order, applicable national security directives, or classified implementing procedures approved by the Attorney General and promulgated pursuant to such statutes, orders or directives.
9. To a Member of Congress or to a Congressional staff member in response to an inquiry of the Congressional office made at the written request of the constituent about whom the record is maintained.
10. To the National Archives and Records Administration for records management inspections conducted under 44 USC 2904 and 2906.
11. To the Office of Management and Budget when necessary to the review of private relief legislation.

STATE CODES (ABBREVIATIONS)

Alabama	AL	Hawaii	HI	Massachusetts	MA	New Mexico	NM	South Dakota	SD
Alaska	AK	Idaho	ID	Michigan	MI	New York	NY	Tennessee	TN
Arizona	AZ	Illinois	IL	Minnesota	MN	North Carolina	NC	Texas	TX
Arkansas	AR	Indiana	IN	Mississippi	MS	North Dakota	ND	Utah	UT
California	CA	Iowa	IA	Missouri	MO	Ohio	OH	Vermont	VT
Colorado	CO	Kansas	KS	Montana	MT	Oklahoma	OK	Virginia	VA
Connecticut	CT	Kentucky	KY	Nebraska	NE	Oregon	OR	Washington	WA
Delaware	DE	Louisiana	LA	Nevada	NV	Pennsylvania	PA	West Virginia	WV
Florida	FL	Maine	ME	New Hampshire	NH	Rhode Island	RI	Wisconsin	WI
Georgia	GA	Maryland	MD	New Jersey	NJ	South Carolina	SC	Wyoming	WY
American Samoa	AS	District of Columbia	DC	Guam	GU	Northern Marianas	CM	Puerto Rico	PR
Trust Territory	TT	Virgin Islands	VI						

PUBLIC BURDEN INFORMATION

Public burden reporting for this collection of information is estimated to average 60 minutes per response, including 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 the burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden to Reports and Forms Management Officer, U.S. Office of Personnel Management, 1900 E Street, N.W., Room CHP-500, Washington, D.C. 20415. Do not send your completed form to this address.

**QUESTIONNAIRE FOR
 PUBLIC TRUST POSITIONS**

OPM USE ONLY	Codes	Case Number
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Agency Use Only (Complete items A through P using instructions provided by USOPM)

A Type of Investigation	B Extra Coverage	C Sensitivity/Risk Level	D Compu/ADP	E Nature of Action Code	F Date of Action	Month	Day	Year	
G Geographic Location	H Position Code	I Position Title							
J SON	K Location of Official Personnel Folder	None NPRC At SON	Other Address				ZIP Code		
L SOI	M Location of Security Folder	None At SOI NPI	Other Address				ZIP Code		
N OPAC-ALC Number	O Accounting Data and/or Agency Case Number								
P Requesting Official	Name and Title			Signature			Telephone Number		Date

Persons completing this form should begin with the questions below.

1 FULL NAME • If you have only initials in your name, use them and state (IO). • If you have no middle name, enter "NMN". - If you are a "Jr.," "Sr.," "II," etc., enter this in the box after your middle name.	2 DATE OF BIRTH					
Last Name	First Name	Middle Name	Jr., II, etc.	Month	Day	Year

3 PLACE OF BIRTH - Use the two letter code for the State. City	County	State	Country (if not in the United States)	4 SOCIAL SECURITY NUMBER
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5 OTHER NAMES USED

#1 Name	Month/Year	To	Month/Year	#3 Name	Month/Year	To	Month/Year
#2 Name	Month/Year	To	Month/Year	#4 Name	Month/Year	To	Month/Year

6 OTHER IDENTIFYING INFORMATION	Height (feet and inches)	Weight (pounds)	Hair Color	Eye Color	Sex (Mark one box) <input type="checkbox"/> Female <input type="checkbox"/> Male
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7 TELEPHONE NUMBERS	Work (include Area Code and extension) Day () Night ()	Home (include Area Code) Day () Night ()
----------------------------	--	--

8 CITIZENSHIP	b Your Mother's Maiden Name
a Mark the box at the right that reflects your current citizenship status, and follow its instructions.	
<input type="checkbox"/> I am a U.S. citizen or national by birth in the U.S. or U.S. territory/possession. Answer items b and d.	
<input type="checkbox"/> I am a U.S. citizen, but I was NOT born in the U.S. Answer items b, c and d.	
<input type="checkbox"/> I am not a U.S. citizen. Answer items b and e.	

c UNITED STATES CITIZENSHIP If you are a U.S. Citizen, but were not born in the U.S., provide information about one or more of the following proofs of your citizenship.

Naturalization Certificate (Where were you naturalized?)

Court	City	State	Certificate Number	Month/Day/Year Issued
-------	------	-------	--------------------	-----------------------

Citizenship Certificate (Where was the certificate issued?)

City	State	Certificate Number	Month/Day/Year Issued
------	-------	--------------------	-----------------------

State Department Form 240 - Report of Birth Abroad of a Citizen of the United States

Give the date the form was prepared and give an explanation if needed.	Month/Day/Year	Explanation
--	----------------	-------------

U.S. Passport

This may be either a current or previous U.S. Passport	Passport Number	Month/Day/Year Issued
--	-----------------	-----------------------

d DUAL CITIZENSHIP If you are (or were) a dual citizen of the United States and another country, provide the name of that country in the space to the right.

	Country
--	---------

e ALIEN If you are an alien, provide the following information:

Place You Entered the United States:	City	State	Date You Entered U.S. Month	Day	Year	Alien Registration Number	Country(ies) of Citizenship
--------------------------------------	------	-------	--------------------------------	-----	------	---------------------------	-----------------------------

9 WHERE YOU HAVE LIVED

List the places where you have lived, beginning with the most recent (#1) and working back 7 years. All periods must be accounted for in your list. Be sure to indicate the actual physical location of your residence: do not use a post office box as an address, do not list a permanent address when you were actually living at a school address, etc. Be sure to specify your location as closely as possible: for example, do not list only your base or ship, list your barracks number or home port. You may omit temporary military duty locations under 90 days (list your permanent address instead), and you should use your APO/FPO address if you lived overseas.

For any address in the last 5 years, list a person who knew you at that address, and who preferably still lives in that area (do not list people for residences completely outside this 5-year period, and do not list your spouse, former spouses, or other relatives). Also for addresses in the last 5 years, if the address is "General Delivery," a Rural or Star Route, or may be difficult to locate, provide directions for locating the residence on an attached continuation sheet.

#1	Month/Year To	Month/Year Present	Street Address	Apt. #	City (Country)	State	ZIP Code
Name of Person Who Knows You			Street Address	Apt. #	City (Country)	State	ZIP Code
Telephone Number ()							
#2	Month/Year To	Month/Year	Street Address	Apt. #	City (Country)	State	ZIP Code
Name of Person Who Knew You			Street Address	Apt. #	City (Country)	State	ZIP Code
Telephone Number ()							
#3	Month/Year To	Month/Year	Street Address	Apt. #	City (Country)	State	ZIP Code
Name of Person Who Knew You			Street Address	Apt. #	City (Country)	State	ZIP Code
Telephone Number ()							
#4	Month/Year To	Month/Year	Street Address	Apt. #	City (Country)	State	ZIP Code
Name of Person Who Knew You			Street Address	Apt. #	City (Country)	State	ZIP Code
Telephone Number ()							
#5	Month/Year To	Month/Year	Street Address	Apt. #	City (Country)	State	ZIP Code
Name of Person Who Knew You			Street Address	Apt. #	City (Country)	State	ZIP Code
Telephone Number ()							

10 WHERE YOU WENT TO SCHOOL

List the schools you have attended, beyond Junior High School, beginning with the most recent (#1) and working back 7 years. List all College or University degrees and the dates they were received. If all of your education occurred more than 7 years ago, list your most recent education beyond high school, no matter when that education occurred.

Use one of the following codes in the "Code" block:

- 1 - High School
- 2 - College/University/Military College
- 3 - Vocational/Technical/Trade School

For schools you attended in the past 3 years, list a person who knew you at school (an instructor, student, etc.). Do not list people for education completely outside this 3-year period.

For correspondence schools and extension classes, provide the address where the records are maintained.

#1	Month/Year To	Month/Year	Code	Name of School	Degree/Diploma/Other	Month/Year Awarded
Street Address and City (Country) of School						
						State
ZIP Code						
Name of Person Who Knew You			Street Address	Apt. #	City (Country)	State
ZIP Code						
Telephone Number ()						
#2	Month/Year To	Month/Year	Code	Name of School	Degree/Diploma/Other	Month/Year Awarded
Street Address and City (Country) of School						
						State
ZIP Code						
Name of Person Who Knew You			Street Address	Apt. #	City (Country)	State
ZIP Code						
Telephone Number ()						
#3	Month/Year To	Month/Year	Code	Name of School	Degree/Diploma/Other	Month/Year Awarded
Street Address and City (Country) of School						
						State
ZIP Code						
Name of Person Who Knew You			Street Address	Apt. #	City (Country)	State
ZIP Code						
Telephone Number ()						

Enter your Social Security Number before going to the next page

11 YOUR EMPLOYMENT ACTIVITIES

List your employment activities, beginning with the present (#1) and working back 7 years. You should list all full-time work, part-time work, military service, temporary military duty locations over 90 days, self-employment, other paid work, and all periods of unemployment. The entire 7-year period must be accounted for without breaks, but you need not list employments before your 16th birthday.

• **Code.** Use one of the codes listed below to identify the type of employment:

- 1 - Active military duty stations
- 2 - National Guard/Reserve
- 3 - U.S.P.H.S. Commissioned Corps
- 4 - Other Federal employment
- 5 - State Government (Non-Federal employment)
- 6 - Self-employment (Include business and/or name of person who can verify)
- 7 - Unemployment (Include name of person who can verify)
- 8 - Federal Contractor (List Contractor, not Federal agency)
- 9 - Other

• **Employer/Verifier Name.** List the business name of your employer or the name of the person who can verify your self-employment or unemployment in this block. If military service is being listed, include your duty location or home port here as well as your branch of service. You should provide separate listings to reflect changes in your military duty locations or home ports.

• **Previous Periods of Activity.** Complete these lines if you worked for an employer on more than one occasion at the same location. After entering the most recent period of employment in the initial numbered block, provide previous periods of employment at the same location on the additional lines provided. For example, if you worked at XY Plumbing in Denver, CO, during 3 separate periods of time, you would enter dates and information concerning the most recent period of employment first, and provide dates, position titles, and supervisors for the two previous periods of employment on the lines below that information.

#1	Month/Year To	Month/Year Present	Code	Employer/Verifier Name/Military Duty Location	Your Position Title/Military Rank		
Employer's/Verifier's Street Address				City (Country)	State	ZIP Code	Telephone Number ()
Street Address of Job Location (if different than Employer's Address)				City (Country)	State	ZIP Code	Telephone Number ()
Supervisor's Name & Street Address (if different than Job Location)				City (Country)	State	ZIP Code	Telephone Number ()
PREVIOUS PERIODS OF ACTIVITY (Block #1)	Month/Year	Month/Year		Position Title	Supervisor		
	To						
	Month/Year	Month/Year		Position Title	Supervisor		
To							
#2	Month/Year To	Month/Year	Code	Employer/Verifier Name/Military Duty Location	Your Position Title/Military Rank		
Employer's/Verifier's Street Address				City (Country)	State	ZIP Code	Telephone Number ()
Street Address of Job Location (if different than Employer's Address)				City (Country)	State	ZIP Code	Telephone Number ()
Supervisor's Name & Street Address (if different than Job Location)				City (Country)	State	ZIP Code	Telephone Number ()
PREVIOUS PERIODS OF ACTIVITY (Block #2)	Month/Year	Month/Year		Position Title	Supervisor		
	To						
	Month/Year	Month/Year		Position Title	Supervisor		
To							
#3	Month/Year To	Month/Year	Code	Employer/Verifier Name/Military Duty Location	Your Position Title/Military Rank		
Employer's/Verifier's Street Address				City (Country)	State	ZIP Code	Telephone Number ()
Street Address of Job Location (if different than Employer's Address)				City (Country)	State	ZIP Code	Telephone Number ()
Supervisor's Name & Street Address (if different than Job Location)				City (Country)	State	ZIP Code	Telephone Number ()
PREVIOUS PERIODS OF ACTIVITY (Block #3)	Month/Year	Month/Year		Position Title	Supervisor		
	To						
	Month/Year	Month/Year		Position Title	Supervisor		
To							

Enter your Social Security Number before going to the next page →

YOUR EMPLOYMENT ACTIVITIES (CONTINUED)

#4	Month/Year	Month/Year	Code	Employer/Verifier Name/Military Duty Location	Your Position Title/Military Rank			
	To							
	Employer's/Verifier's Street Address				City (Country)	State	ZIP Code	Telephone Number ()
	Street Address of Job Location (if different than Employer's Address)				City (Country)	State	ZIP Code	Telephone Number ()
Supervisor's Name & Street Address (if different than Job Location)				City (Country)	State	ZIP Code	Telephone Number ()	

PREVIOUS PERIODS OF ACTIVITY (Block #4)	Month/Year	Month/Year	Position Title	Supervisor
	To			
	Month/Year	Month/Year	Position Title	Supervisor
To				
Month/Year	Month/Year	Position Title	Supervisor	
To				

#5	Month/Year	Month/Year	Code	Employer/Verifier Name/Military Duty Location	Your Position Title/Military Rank			
	To							
	Employer's/Verifier's Street Address				City (Country)	State	ZIP Code	Telephone Number ()
	Street Address of Job Location (if different than Employer's Address)				City (Country)	State	ZIP Code	Telephone Number ()
Supervisor's Name & Street Address (if different than Job Location)				City (Country)	State	ZIP Code	Telephone Number ()	

PREVIOUS PERIODS OF ACTIVITY (Block #5)	Month/Year	Month/Year	Position Title	Supervisor
	To			
	Month/Year	Month/Year	Position Title	Supervisor
To				
Month/Year	Month/Year	Position Title	Supervisor	
To				

#6	Month/Year	Month/Year	Code	Employer/Verifier Name/Military Duty Location	Your Position Title/Military Rank			
	To							
	Employer's/Verifier's Street Address				City (Country)	State	ZIP Code	Telephone Number ()
	Street Address of Job Location (if different than Employer's Address)				City (Country)	State	ZIP Code	Telephone Number ()
Supervisor's Name & Street Address (if different than Job Location)				City (Country)	State	ZIP Code	Telephone Number ()	

PREVIOUS PERIODS OF ACTIVITY (Block #6)	Month/Year	Month/Year	Position Title	Supervisor
	To			
	Month/Year	Month/Year	Position Title	Supervisor
To				
Month/Year	Month/Year	Position Title	Supervisor	
To				

12 YOUR EMPLOYMENT RECORD	Has any of the following happened to you in the last 7 years? If "Yes," begin with the most recent occurrence and go backward, providing date fired, quit, or left, and other information requested.		Yes	No

Use the following codes and explain the reason your employment was ended:

- 1 - Fired from a job
- 2 - Quit a job after being told you'd be fired
- 3 - Left a job by mutual agreement following allegations of misconduct
- 4 - Left a job by mutual agreement following allegations of unsatisfactory performance
- 5 - Left a job for other reasons under unfavorable circumstances

Month/Year	Code	Specify Reason	Employer's Name and Address (Include city/Country if outside U.S.)	State	ZIP Code

Enter your Social Security Number before going to the next page →

16 YOUR MILITARY HISTORY

	Yes	No
a Have you served in the United States military?		
b Have you served in the United States Merchant Marine?		

List all of your military service below, including service in Reserve, National Guard, and U.S. Merchant Marine. Start with the most recent period of service (#1) and work backward. If you had a break in service, each separate period should be listed.

•Code. Use one of the codes listed below to identify your branch of service:
 1 - Air Force 2 - Army 3 - Navy 4 - Marine Corps 5 - Coast Guard 6 - Merchant Marine 7 - National Guard

•O/E. Mark "O" block for Officer or "E" block for Enlisted.

•Status. "X" the appropriate block for the status of your service during the time that you served. If your service was in the National Guard, do not use an "X": use the two-letter code for the state to mark the block.

•Country. If your service was with other than the U.S. Armed Forces, identify the country for which you served.

Month/Year	Month/Year	Code	Service/Certificate No.	Status				Country
				O	E	Active	Inactive Reserve	
To								
To								

17 YOUR SELECTIVE SERVICE RECORD

	Yes	No
a Are you a male born after December 31, 1959? If "No," go to 18. If "Yes," go to b.		
b Have you registered with the Selective Service System? If "Yes," provide your registration number. If "No," show the reason for your legal exemption below.		

Registration Number _____ Legal Exemption Explanation _____

18 YOUR INVESTIGATIONS RECORD

	Yes	No
a Has the United States Government ever investigated your background and/or granted you a security clearance? If "Yes," use the codes that follow to provide the requested information below. If "Yes," but you can't recall the investigating agency and/or the security clearance received, enter "Other" agency code or clearance code, as appropriate; and "Don't know" or "Don't recall" under the "Other Agency" heading, below. If your response is "No," or you don't know or can't recall if you were investigated and cleared, check the "No" box.		

Codes for Investigating Agency 1 - Defense Department 4 - FBI 2 - State Department 5 - Treasury Department 3 - Office of Personnel Management 6 - Other (Specify)	Codes for Security Clearance Received 0 - Not Required 3 - Top Secret 6 - L 1 - Confidential 4 - Sensitive Compartmented Information 7 - Other 2 - Secret 5 - Q
--	--

Month/Year	Agency Code	Other Agency	Clearance Code	Month/Year	Agency Code	Other Agency	Clearance Code

	Yes	No
b To your knowledge, have you ever had a clearance or access authorization denied, suspended, or revoked, or have you ever been debarred from government employment? If "Yes," give date of action and agency. Note: An administrative downgrade or termination of a security clearance is not a revocation.		

Month/Year	Department or Agency Taking Action	Month/Year	Department or Agency Taking Action

19 FOREIGN COUNTRIES YOU HAVE VISITED

List foreign countries you have visited, except on travel under official Government orders, beginning with the most current (#1) and working back 7 years. (Travel as a dependent or contractor must be listed.)

•Use one of these codes to indicate the purpose of your visit: 1 - Business 2 - Pleasure 3 - Education 4 - Other

•Include short trips to Canada or Mexico. If you have lived near a border and have made short (one day or less) trips to the neighboring country, you do not need to list each trip. Instead, provide the time period, the code, the country, and a note ("Many Short Trips").

•Do not repeat travel covered in items 9, 10, or 11.

Month/Year	Month/Year	Code	Country	Month/Year	Month/Year	Code	Country
#1	To			#5	To		
#2	To			#6	To		
#3	To			#7	To		
#4	To			#8	To		

20 YOUR POLICE RECORD (Do not include anything that happened before your 16th birthday.)

In the last 7 years, have you been arrested for, charged with, or convicted of any offense(s)? (Leave out traffic fines of less than \$150.)

If you answered "Yes," explain your answer(s) in the space provided.

Month/Year	Offense	Action Taken	Law Enforcement Authority or Court (City and county/country if outside the U.S.)	State	ZIP Code

21 ILLEGAL DRUGS

The following questions pertain to the illegal use of drugs or drug activity. You are required to answer the questions fully and truthfully, and your failure to do so could be grounds for an adverse employment decision or action against you, but neither your truthful responses nor information derived from your responses will be used as evidence against you in any subsequent criminal proceeding.

a In the last year, have you illegally used any controlled substance, for example, marijuana, cocaine, crack cocaine, hashish, narcotics (opium, morphine, codeine, heroin, etc.), amphetamines, depressants (barbiturates, methaqualone, tranquilizers, etc.), hallucinogenics (LSD, PCP, etc.), or prescription drugs?

b In the last 7 years, have you been involved in the illegal purchase, manufacture, trafficking, production, transfer, shipping, receiving, or sale of any narcotic, depressant, stimulant, hallucinogen, or cannabis, for your own intended profit or that of another?

If you answered "Yes" to "a" above, provide information relating to the types of substance(s), the nature of the activity, and any other details relating to your involvement with illegal drugs. Include any treatment or counseling received.

Month/Year	Month/Year	Controlled Substance/Prescription Drug Used	Number of Times Used
To			
To			
To			

Month/Year	Month/Year	Controlled Substance/Prescription Drug Used	Number of Times Used
To			
To			
To			

22 YOUR FINANCIAL RECORD

a In the last 7 years, have you, or a company over which you exercised some control, filed for bankruptcy, been declared bankrupt, been subject to a tax lien, or had legal judgment rendered against you for a debt? If you answered "Yes," provide date of initial action and other information requested below.

Month/Year	Type of Action	Name Action Occurred Under	Name/Address of Court or Agency Handling Case	State	ZIP Code

b Are you now over 180 days delinquent on any loan or financial obligation? Include loans or obligations funded or guaranteed by the Federal Government.

If you answered "Yes," provide the information requested below:

Month/Year	Type of Loan or Obligation and Account #	Name/Address of Creditor or Obligor	State	ZIP Code

After completing this form and any attachments, you should review your answers to all questions to make sure the form is complete and accurate, and then sign and date the following certification and sign and date the release on Page 8.

Certification That My Answers Are True

My statements on this form, and any attachments to it, are true, complete, and correct to the best of my knowledge and belief and are made in good faith. I understand that a knowing and willful false statement on this form can be punished by fine or imprisonment or both. (See section 1001 of title 18, United States Code).

Signature (Sign in ink)	Date

Enter your Social Security Number before going to the next page →

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Certification for a Drug-Free Workplace

U.S. Department of Housing and Urban Development

Applicant Name _____

Program/Activity Receiving Federal Grant Funding _____

Acting on behalf of the above named Applicant as its Authorized Official, I make the following certifications and agreements to the Department of Housing and Urban Development (HUD) regarding the sites listed below:

I certify that the above named Applicant will or will continue to provide a drug-free workplace by:

a. Publishing a statement notifying employees that the unlawful manufacture, distribution, dispensing, possession, or use of a controlled substance is prohibited in the Applicant's workplace and specifying the actions that will be taken against employees for violation of such prohibition.

b. Establishing an on-going drug-free awareness program to inform employees ---

- (1) The dangers of drug abuse in the workplace;
- (2) The Applicant's policy of maintaining a drug-free workplace;
- (3) Any available drug counseling, rehabilitation, and employee assistance programs; and
- (4) The penalties that may be imposed upon employees for drug abuse violations occurring in the workplace.

c. Making it a requirement that each employee to be engaged in the performance of the grant be given a copy of the statement required by paragraph a.;

d. Notifying the employee in the statement required by paragraph a. that, as a condition of employment under the grant, the employee will ---

- (1) Abide by the terms of the statement; and
- (2) Notify the employer in writing of his or her conviction for a violation of a criminal drug statute occurring in the workplace no later than five calendar days after such conviction;

e. Notifying the agency in writing, within ten calendar days after receiving notice under subparagraph d.(2) from an employee or otherwise receiving actual notice of such conviction. Employers of convicted employees must provide notice, including position title, to every grant officer or other designee on whose grant activity the convicted employee was working, unless the Federal agency has designated a central point for the receipt of such notices. Notice shall include the identification number(s) of each affected grant;

f. Taking one of the following actions, within 30 calendar days of receiving notice under subparagraph d.(2), with respect to any employee who is so convicted ---

- (1) Taking appropriate personnel action against such an employee, up to and including termination, consistent with the requirements of the Rehabilitation Act of 1973, as amended; or
- (2) Requiring such employee to participate satisfactorily in a drug abuse assistance or rehabilitation program approved for such purposes by a Federal, State, or local health, law enforcement, or other appropriate agency;

g. Making a good faith effort to continue to maintain a drug-free workplace through implementation of paragraphs a. thru f.

2. Sites for Work Performance. The Applicant shall list (on separate pages) the site(s) for the performance of work done in connection with the HUD funding of the program/activity shown above: Place of Performance shall include the street address, city, county, State, and zip code. Identify each sheet with the Applicant name and address and the program/activity receiving grant funding.)

Check here if there are workplaces on file that are not identified on the attached sheets.

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 of Authorized Official	Title
Signature	Date
X	

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LOCCS Access Authorization Security Form for HUD Staff

U.S. Department of Housing and Urban Development

Line of Credit Control System (LOCCS)
HI-00590R

See the Privacy Act statement on the back before completing this form

This form is used to request terminal access to Line of Credit Control System (LOCCS). For users who require other than a data query access, a Limited Background Investigation package, e.g., SF-85P(95 edition only), SF-87, and OF-306, must also be completed and submitted to the Employee Service Center in Chicago when submitting this form.

This form is to be completed by the LOCCS user and signed by both the Personnel Official and a LOCCS Access Authorizing Official. All entries are mandatory unless specifically not applicable. Print all information clearly.

All other users may forward the forms directly to:

**U.S. Department of Housing and Urban Development
Chief Financial Officer, FYM
P.O. Box 23774
Washington, DC 20026-3774**

For new users, send the completed form to:
**Employee Service Center
77 West Jackson Blvd., 22nd floor
Chicago, IL 60604-3507**

1. Type of Action (mark one)	2. Type of User (mark one)
<input type="checkbox"/> New User	<input type="checkbox"/> RAD <input type="checkbox"/> RO
<input type="checkbox"/> Reinstate User	<input type="checkbox"/> FO <input type="checkbox"/> OFA
<input type="checkbox"/> Terminate User	<input type="checkbox"/> OSS
<input type="checkbox"/> Add new Program Area	<input type="checkbox"/> ACH
<input type="checkbox"/> Change Program Area or Address	<input type="checkbox"/> HQ

3. Region (2 digits)	4. Field Office (2 digits)	5. User ID (unless you're a new user)
----------------------	----------------------------	---------------------------------------

6. User's Last Name	User's First Name	Middle Initial	7. User's Social Security Number
8. User's Office Street Address			9. Office Phone No. (include area code & extension)
City	State	Zip Code	10. Office Correspondence Code

11. User's Signature

12. Access Requested (Skip this part if the Type of User code is "HAO," ACH," or "OSS.")

Program Area	Query	For CFO Use Only			Field Office Admin.	HQ Admin.
		Payment Banking Cntrl DE	Voucher Entry	Verify		

13. Personnel Office Certification for User

I certify that:

NACI completed (date-mm/dd/yyyy) _____ is on file.

A Limited Background Investigation package, e.g., SF-85P (95 edition only), SF-87, and OF-306, was submitted to the Personnel Security Branch on (date-mm/dd/yyyy) _____

Personnel Official's Title	Phone Number
Personnel Official's Signature	Date (mm/dd/yyyy)

13a. Personnel Office Certification for Approving Official

I certify that:

NACI completed (date-mm/dd/yyyy) _____ is on file.

A Limited Background Investigation package, e.g., SF-85P (95 edition only), SF-87, and OF-306, was submitted to the Personnel Security Branch on (date-mm/dd/yyyy) _____

Personnel Official's Title	Phone Number
Personnel Official's Signature	Date (mm/dd/yyyy)

14. LOCCS Access Authorizing Official: Mandatory data. Printed name, social security number, title, phone number, and signature of the LOCCS Access Authorizing Official. The approving official should be the supervisor or higher level of manager of the person cited on line 6. The LOCCS Access Authorizing Official must file a Limited Background Investigation package, e.g., SF-85P (95 edition only), SF-87, and OF-306.

LOCCS Access Authorizing Official

Name of Supervisor or Line Manager	Social Security Number
Title	Phone Number
Address	
Supervisor or Line Manager'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)

Previous editions are obsolete

form HUD-27054-A (2/2000)

Instructions for LOCCS Access Authorization Security Form (for HUD Staff)

1. Type of Action:

New User: User does not currently have a LOCCS User ID.

Terminate User: will cause immediate termination of the user's access to LOCCS.

Change Program Area or Address: User has a current ID and will be changing the user information or the access privileges currently assigned, or the current mailing address.

2. Type of User: Identify the user as follows:

FO = Field Office Personnel

OSS = Office of Finance and Accounting Systems Staff (HQ only)

ACH = Automated Clearing House team in the Office of Finance and Accounting (OFA)

RAD = Regional Accounting Division

OFA = Operational area -- except for OFA's System Staff or the "ACH" team

HQ = Headquarters Program Personnel

RO = Regional Program Staff

3-4. Region/Field Office: Enter numeric region and Field Office code for the user.

5. User ID: Enter your 6-digit LOCCS User ID if you are a current user.

6-11. Self explanatory / Mandatory.

12. Access Requested: (If the User Type is "HAO," or "OSS," skip to items 13-14.)

Enter the 4-character LOCCS Program Area in column 1. Headquarters program staff will provide you with the appropriate code(s).

Mark, in the appropriate column, the access privileges requested:

Mark "Query" only if no other classification is desired. This will allow the user to query all data for the HUD program within their Field Office, Regional, or Headquarters control.

Mark "Payment/ Banking Control Data Entry" if you are a "RAD" type of user, and your job function will be assigning a grant to a Tax ID Number or entering payment/banking data.

Mark "Voucher Entry" if you are a "RAD" type of user, and your job function will be to enter vouchers into LOCCS.

Mark "Verify" if you are a "RAD" type of user, and your job function is to confirm payment/banking data and/or vouchers entered by the RAD.

Mark "Field Office Administration" if you require authority to approve/reject a payment that has been sent by LOCCS to program staff for approval prior to payment. This option will also give the user the ability to record receipt of outstanding program documents/forms, enter program budget data for grants, and record receipt of Section 8 Financial Settlement Reviews.

Mark "Headquarters Administration" if you are an "HQ" type of user and you require access to screens for overall program management.

Request **Additional Screen Options** if you require screen functions not associated with any access category listed above.

13. Personnel Office Certification: Completing this box by the Office of Personnel is mandatory. It must be filled in only by a **Personnel Official**. The name, title, and phone number of the Personnel Officer are required. The Personnel Official must also record the dates that the NACI clearance was completed and the date the SF-85P was sent to the Personnel Security Branch. Failure to obtain a Personnel Official's signature will result in access being denied.

The LOCCS user must have a "National Agency Check with Inquiry" (NACI) investigation completed before they will be granted any LOCCS access. The LOCCS user will not be able to receive other than "Query" authority, for any program, if they have not completed a SF-85P, Background Investigation form.

To be valid at HUD, the clearance contained in the user's personnel file must have been issued by a Federal Agency not more than fifteen (15) years ago. NACI and Limited Background Investigations over 15 years old will not be accepted. If the NACI is over fifteen years old, the Office of Personnel must initiate and receive a new NACI before they can sign this form.

14. LOCCS Access Authorizing Official: Mandatory data. Printed name, social security number, title, phone number, and signature of the LOCCS Access Authorizing Official. The approving official should be the supervisor or higher level of manager of the person cited on line 6. **The LOCCS Access Authorizing Official must file a Limited Background Investigation package, e.g., SF-85P(95 edition only), SF-87, and OF-306.**

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 Housing and Community Development Act of 1987, 42 U.S.C. 3543 authorizes HUD to collect the SSN. 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. Provision of the SSN is mandatory. 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. Failure to provide the information requested on the form may delay the processing of your approval for access to LOCCS.

BURDEN ESTIMATE STATEMENT

The estimated average burden associated with this collection of information is 10 minutes per respondent or record-keeper, depending on individual circumstances. Comments concerning the accuracy of this burden estimate and suggestions for reducing this burden should be directed to the Financial Management Service, Facilities Management Division, Property & Supply Section, Room B-101, 3700 East-West Highway, Hyattsville, MD 20782 or the Office of Management and Budget, Paperwork Reduction Project (1510-0007), Washington, D.C. 20503.

PLEASE READ THIS CAREFULLY

All information on this form, including the individual claim number, is required under 31 USC 3322, 31 CFR 209 and/or 210. The information is confidential and is needed to prove entitlement to payments. The information will be used to process payment data from the Federal agency to the financial institution and/or its agent. Failure to provide the requested information may affect the processing of this form and may delay or prevent the receipt of payments through the Direct Deposit/Electronic Funds Transfer Program.

INFORMATION FOUND ON CHECKS

Most of the information needed to complete boxes A, C, and F in Section 1 is printed on your government check:

- (A) Be sure that the payee's name is written exactly as it appears on the check. Be sure current address is shown.
- (C) Claim numbers and suffixes are printed here on checks beneath the date for the type of payment shown here. Check the Green Book for the location of prefixes and suffixes for other types of payments.
- (F) Type of payment is printed to the left of the amount.

United States Treasury
AUSTIN, TEXAS
Check No. 0000 - 4157815
Pay to the order of JOHN DOE
123 BRISTOL STREET
HAWKINS BRANCH, TX 76543
28 28
VA. COMP
DOLLARS CTS
\$ 100 00
NOT NEGOTIABLE
@00000052&C 042572926*

SPECIAL NOTICE TO JOINT ACCOUNT HOLDERS

Joint account holders should immediately advise both the Government agency and the financial institution of the death of a beneficiary. Funds deposited after the date of death or ineligibility, except for salary payments, are to be returned to the Government agency. The Government agency will then make a determination regarding survivor rights, calculate survivor benefit payments, if any, and begin payments.

CANCELLATION

The agreement represented by this authorization remains in effect until canceled by the recipient by notice to the Federal agency or by the death or legal incapacity of the recipient. Upon cancellation by the recipient, the recipient should notify the receiving financial institution that he/she is doing so.

The agreement represented by this authorization may be cancelled by the financial institution by providing the recipient a written notice 30 days in advance of the cancellation date. The recipient must immediately advise the Federal agency if the authorization is cancelled by the financial institution. The financial institution cannot cancel the authorization by advice to the Government agency.

CHANGING RECEIVING FINANCIAL INSTITUTIONS

The payee's Direct Deposit will continue to be received by the selected financial institution until the Government agency is notified by the payee that the payee wishes to change the financial institution receiving the Direct Deposit. To effect this change, the payee will complete the new SF 1199A at the newly selected financial institution. It is recommended that the payee maintain accounts at both financial institutions until the transition is complete, i.e. after the new financial institution receives the payee's Direct Deposit payment.

FALSE STATEMENTS OR FRAUDULENT CLAIMS

Federal law provides a fine of not more than \$10,000 or imprisonment for not more than five (5) years or both for presenting a false statement or making a fraudulent claim.

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**Change of Address Request
for Recipients of HUD Grants
or Contracts**

**U.S. Department of Housing
and Urban Development
Office of Administration**

Instructions: This form is to be completed by recipients of HUD Grants or Contracts when their address changes. Please note the maximum characters per area. Characters in excess of the maximum will be truncated. The recipient shall submit this request to the appropriate Field/Program Office for approval. Once approved, the Field/Program Office will forward the request to Accounting for processing. After being processed, the U.S. Department of Housing and Urban Development will send all future correspondence to the new address.

Recipient's Tax Identification Number (9 characters)	Effective Date of Address Change
--	----------------------------------

Current Information

Recipient's Name (33 characters max.)		
Address (33 characters per line max.)		
City (22 characters max.)	State (2 chars.)	Zip Code (5 or 9 characters)
Contact Name		Phone Number (include area code)

Enter the Requested Changes

Recipient's Name (33 characters max.)		
Address (33 characters per line max.)		
City (22 characters max.)	State (2 chars.)	Zip Code (5 or 9 characters)
Contact Name		Phone Number (include area code)

Name and Signature of the Recipient Official Authorized to sign the Grant Agreement / Contract

X

**Approval
(only necessary on requests for a recipient name change)**

Name and Signature of the HUD Program Official Authorized to sign the Grant Agreement / Contract	

X

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Disclosure of Lobbying Activities

Approved by OMB 0348-0046

Complete this form to disclose lobbying activities pursuant to 31 U.S.C. 1352
(See reverse side for instructions and Public Reporting burden statement)

1. Type of Federal Action <input type="checkbox"/> a. contract <input type="checkbox"/> b. grant <input type="checkbox"/> c. cooperative agreement <input type="checkbox"/> d. loan <input type="checkbox"/> e. loan guarantee <input type="checkbox"/> f. loan insurance	2. Status of Federal Action <input type="checkbox"/> a. bid/offer/application <input type="checkbox"/> b. initial award <input type="checkbox"/> c. post-award	3. Report Type <input type="checkbox"/> a. initial filing <input type="checkbox"/> b. material change For Material Change Only year (yyyy) _____ quarter _____ date of last report (mm/dd/yyyy) _____
4. Name and Address of Reporting Entity <input type="checkbox"/> Prime <input type="checkbox"/> Subawardee Tier _____, if known: _____ Congressional District, if known _____	5. If Reporting Entity in No. 4 is Subawardee, enter Name and Address of Prime _____ Congressional District, if known _____	
6. Federal Department/Agency _____	7. Federal Program Name/Description _____ CFDA Number, if applicable _____	
8. Federal Action Number, if known _____	9. Award Amount, if known \$ _____	
10a. Name and Address of Lobbying Registrant (if individual, last name, first name, MI) _____	b. Individuals Performing Services (including address if different from No. 10a.) (last name, first name, MI) _____	
(attach continuation sheet(s) if necessary)		
11. Amount of Payment (check all that apply) \$ _____ <input type="checkbox"/> actual <input type="checkbox"/> planned	13. Type of Payment (check all that apply) <input type="checkbox"/> a. retainer <input type="checkbox"/> b. one-time fee <input type="checkbox"/> c. commission <input type="checkbox"/> d. contingent fee <input type="checkbox"/> e. deferred <input type="checkbox"/> f. other (specify) _____	
12. Form of Payment (check all that apply) <input type="checkbox"/> a. cash <input type="checkbox"/> b. in-kind; specify: nature _____ value _____		
14. Brief Description of Services Performed or to be Performed and Date(s) of Service, including officer(s), employee(s), or Member(s) contacted, for Payment Indicated in Item 11 _____ (attach continuation sheet(s) if necessary)		
15. Continuation sheets attached <input type="checkbox"/> Yes <input type="checkbox"/> No		
16. Information requested through this form is authorized by Sec. 319, Pub. L. 101-121, 103 Stat. 750, as amended by sec. 10; Pub. L. 104-65, Stat. 700 (31 U.S.C. 1352). This disclosure of lobbying activities is a material representation of fact upon which reliance was placed by the above when this transaction was made or entered into. This disclosure is required pursuant to 31 U.S.C. 1352. This information will be reported to the Congress semiannually and will be available for public inspection. Any person who fails to file the required disclosure shall be subject to a civil penalty of not less than \$10,000 and not more than \$100,000 for each such failure.	Signature _____ Print Name _____ Title _____ Telephone No. _____ Date (mm/dd/yyyy) _____	

Instructions for Completion of SF-LLL, Disclosure of Lobbying Activities

This disclosure form shall be completed by the reporting entity, whether subawardee or prime Federal recipient, at the initiation or receipt of a covered Federal action, or a material change to a previous filing, pursuant to title 31 U.S.C. section 1352. The filing of a form is required for each payment or agreement to make payment to any lobbying entity for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or any employee of a Member of Congress in connection with a covered Federal action. Complete all items that apply for both the initial filing and material change report. Refer to the implementing guidance published by the Office of Management and Budget for additional information.

1. Identify the type of covered Federal action for which lobbying activity is and/or has been secured to influence the outcome of a covered Federal action.
2. Identify the status of the covered Federal action.
3. Identify the appropriate classification of this report. If this is a followup report caused by a material change to the information previously reported, enter the year and quarter in which the change occurred. Enter the date of the last previously submitted report by this reporting entity for this covered Federal action.
4. Enter the full name, address, city, state and zip code of the reporting entity. Include Congressional District, if known. Check the appropriate classification of the reporting entity that designates if it is, or expects to be, a prime or subaward recipient. Identify the tier of the subawardee, e.g., the first subawardee of the prime is the 1st tier. Subawards include but are not limited to subcontracts, subgrants and contract awards under grants.
5. If the organization filing the report in item 4 checks "Subawardee", then enter the full name, address, city, state and zip code of the prime Federal recipient, include Congressional District, if known.
6. Enter the name of the Federal agency making the award or loan commitment. Include at least one organizational level below agency name, if known. For example, Department of Transportation, United States Coast Guard.
7. Enter the Federal program name or description for the covered Federal action (item 1). If known, enter the full Catalog of Federal Domestic Assistance (CFDA) number for grants, cooperative agreements, loans, and loan commitments.
8. Enter the most appropriate Federal identifying number available for the Federal action identified in item 1 (e.g., Request for Proposal (RFP) number; Invitation for Bid (IFB) number; grant announcement number; the contract, grant, or loan award number; the application proposal control number assigned by the Federal agency). Include prefixes, e.g., "RFP-DE-90-001."
9. For a covered Federal action where there has been an award or loan commitment by the Federal agency, enter the Federal amount of the award/loan commitment for the prime entity identified in item 4 or 5.
10. (a) Enter the full name, address, city, state and zip code of the registrant under the Lobbying Disclosure Act of 1995 engaged by the reporting entity identified in item 4 to influence the covered Federal action.
(b) Enter the full names of the individual(s) performing services, and include full address if different from 10 (a). Enter Last Name, First Name, and Middle Initial (MI).
11. Enter the amount of compensation paid or reasonably expected to be paid by the reporting entity (item 4) to the lobbying entity (item 10). Indicate whether the payment has been made (actual) or will be made (planned). Check all boxes that apply. If this is a material change report, enter the cumulative amount of payment made or planned to be made.
12. Check the appropriate box (es). Check all boxes that apply. If payment is made through an in-kind contribution, specify the nature and value of the in-kind payment.
13. Check the appropriate box (es). Check all boxes that apply. If other, specify nature.
14. Provide specific and detailed description of the services that the lobbyist has performed, or will be expected to perform, and the date(s) of any services rendered. Include all preparatory and related activity, not just the time spent in actual contact with Federal officials. Identify the Federal official(s) or employee(s) contacted or the officer(s), employee(s), or Member(s) of Congress that were contacted.
15. Check whether or not a continuation sheet(s) are attached.
16. The certifying official shall sign and date the form, print his/her name, title, and telephone number.

Public Reporting Burden for this collection of information is estimated to average 30 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. Please do not return your completed form to the Office of Management and Budget; send it to the address provided by the sponsoring agency.

Send comments regarding the burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to the Office of Management and Budget, Paperwork Reduction Project (0348-0046), Washington, DC 20503.

Authorized for Local Reproduction
Standard Form-LLL (7/97)

**DISCLOSURE OF LOBBYING ACTIVITIES
CONTINUATION SHEET**

Approved by OMB
0348-0046

Reporting Entity: _____ Page _____ of _____

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Certification of Payments to Influence Federal Transactions

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

Applicant Name

Program/Activity Receiving Federal Grant Funding

The undersigned certifies, to the best of his or her knowledge and belief, that:

(1) No Federal appropriated funds have been paid or will be paid, by or on behalf of the undersigned, to any person for influencing or attempting to influence an officer or employee of an agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with the awarding of any Federal contract, the making of any Federal grant, the making of any Federal loan, the entering into of any cooperative agreement, and the extension, continuation, renewal, amendment, or modification of any Federal contract, grant, loan, or cooperative agreement.

(2) If any funds other than Federal appropriated funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of an agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with this Federal contract, grant, loan, or cooperative agreement, the undersigned shall complete and submit Standard Form-LLL, Disclosure Form to Report Lobbying, in accordance with its instructions.

(3) The undersigned shall require that the language of this certification be included in the award documents for all subawards at all tiers (including subcontracts, subgrants, and contracts under grants, loans, and cooperative agreements) and that all subrecipients shall certify and disclose accordingly.

This certification is a material representation of fact upon which reliance was placed when this transaction was made or entered into. Submission of this certification is a prerequisite for making or entering into this transaction imposed by Section 1352, Title 31, U.S. Code. Any person who fails to file the required certification shall be subject to a civil penalty of not less than \$10,000 and not more than \$100,000 for each such failure.

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 of Authorized Official

Title

Signature

Date (mm/dd/yyyy)

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APPENDIX IV. PHDEP PLAN AND SEMI-ANNUAL REPORTS

- ◆ Appendix IV–A: PHDEP/PHA Plan Template (HUD 50075)
- ◆ Appendix IV–B: Financial Status Report (SF 269A).
- ◆ Appendix IV–C: Semi-Annual Performance Report Template
- ◆ Appendix IV–D: Performance Reporting Requirements and Grant Closeout Procedures for the Public Housing Drug Elimination Program (Notice PIH 2000–38(HA))
- ◆ Appendix IV–E: Annual Resident Survey for the Public Housing Drug Elimination Program (Notice PIH 2000–39(HA))

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

PHA Plans

5 Year Plan for Fiscal Years 2000 - 2004
Annual Plan for Fiscal Year 2000

**NOTE: THIS PHA PLANS TEMPLATE (HUD 50075) IS TO BE COMPLETED IN
ACCORDANCE WITH INSTRUCTIONS LOCATED IN APPLICABLE PIH NOTICES**

HUD 50075
OMB Approval No: 2577-0226
Expires: 03/31/2002

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PHA Plan Agency Identification

PHA Name:

PHA Number:

PHA Fiscal Year Beginning: (mm/yyyy)

Public Access to Information

Information regarding any activities outlined in this plan can be obtained by contacting: (select all that apply)

- Main administrative office of the PHA
- PHA development management offices
- PHA local offices

Display Locations For PHA Plans and Supporting Documents

The PHA Plans (including attachments) are available for public inspection at: (select all that apply)

- Main administrative office of the PHA
- PHA development management offices
- PHA local offices
- Main administrative office of the local government
- Main administrative office of the County government
- Main administrative office of the State government
- Public library
- PHA website
- Other (list below)

PHA Plan Supporting Documents are available for inspection at: (select all that apply)

- Main business office of the PHA
- PHA development management offices
- Other (list below)

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5-YEAR PLAN
PHA FISCAL YEARS 2000 - 2004
[24 CFR Part 903.5]

A. Mission

State the PHA's mission for serving the needs of low-income, very low income, and extremely low-income families in the PHA's jurisdiction. (select one of the choices below)

- The mission of the PHA is the same as that of the Department of Housing and Urban Development: To promote adequate and affordable housing, economic opportunity and a suitable living environment free from discrimination.
- The PHA's mission is: (state mission here)

B. Goals

The goals and objectives listed below are derived from HUD's strategic Goals and Objectives and those emphasized in recent legislation. PHAs may select any of these goals and objectives as their own, or identify other goals and/or objectives. Whether selecting the HUD-suggested objectives or their own, **PHAS ARE STRONGLY ENCOURAGED TO IDENTIFY QUANTIFIABLE MEASURES OF SUCCESS IN REACHING THEIR OBJECTIVES OVER THE COURSE OF THE 5 YEARS.** (Quantifiable measures would include targets such as: numbers of families served or PHAS scores achieved.) PHAs should identify these measures in the spaces to the right of or below the stated objectives.

HUD Strategic Goal: Increase the availability of decent, safe, and affordable housing.

- PHA Goal: Expand the supply of assisted housing
Objectives:
- Apply for additional rental vouchers:
 - Reduce public housing vacancies:
 - Leverage private or other public funds to create additional housing opportunities:
 - Acquire or build units or developments
 - Other (list below)
- PHA Goal: Improve the quality of assisted housing
Objectives:
- Improve public housing management: (PHAS score)
 - Improve voucher management: (SEMAP score)
 - Increase customer satisfaction:
 - Concentrate on efforts to improve specific management functions: (list; e.g., public housing finance; voucher unit inspections)

- Renovate or modernize public housing units:
- Demolish or dispose of obsolete public housing:
- Provide replacement public housing:
- Provide replacement vouchers:
- Other: (list below)

- PHA Goal: Increase assisted housing choices
Objectives:

- Provide voucher mobility counseling:
- Conduct outreach efforts to potential voucher landlords
- Increase voucher payment standards
- Implement voucher homeownership program:
- Implement public housing or other homeownership programs:
- Implement public housing site-based waiting lists:
- Convert public housing to vouchers:
- Other: (list below)

HUD Strategic Goal: Improve community quality of life and economic vitality

- PHA Goal: Provide an improved living environment
Objectives:

- Implement measures to deconcentrate poverty by bringing higher income public housing households into lower income developments:
- Implement measures to promote income mixing in public housing by assuring access for lower income families into higher income developments:
- Implement public housing security improvements:
- Designate developments or buildings for particular resident groups (elderly, persons with disabilities)
- Other: (list below)

HUD Strategic Goal: Promote self-sufficiency and asset development of families and individuals

- PHA Goal: Promote self-sufficiency and asset development of assisted households

Objectives:

- Increase the number and percentage of employed persons in assisted families:

- Provide or attract supportive services to improve assistance recipients' employability:
- Provide or attract supportive services to increase independence for the elderly or families with disabilities.
- Other: (list below)

HUD Strategic Goal: Ensure Equal Opportunity in Housing for all Americans

- PHA Goal: Ensure equal opportunity and affirmatively further fair housing Objectives:
 - Undertake affirmative measures to ensure access to assisted housing regardless of race, color, religion national origin, sex, familial status, and disability:
 - Undertake affirmative measures to provide a suitable living environment for families living in assisted housing, regardless of race, color, religion national origin, sex, familial status, and disability:
 - Undertake affirmative measures to ensure accessible housing to persons with all varieties of disabilities regardless of unit size required:
 - Other: (list below)

Other PHA Goals and Objectives: (list below)

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Annual PHA Plan
PHA Fiscal Year 2000
[24 CFR Part 903.7]

i. Annual Plan Type:

Select which type of Annual Plan the PHA will submit.

Standard Plan

Streamlined Plan:

- High Performing PHA**
- Small Agency (<250 Public Housing Units)**
- Administering Section 8 Only**

Troubled Agency Plan

ii. Executive Summary of the Annual PHA Plan

[24 CFR Part 903.7 9 (r)]

Provide a brief overview of the information in the Annual Plan, including highlights of major initiatives and discretionary policies the PHA has included in the Annual Plan.

iii. Annual Plan Table of Contents

[24 CFR Part 903.7 9 (r)]

Provide a table of contents for the Annual Plan, including attachments, and a list of supporting documents available for public inspection.

Table of Contents

Page #

Annual Plan

- 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
 - 6. Grievance Procedures
 - 7. Capital Improvement Needs
 - 8. Demolition and Disposition
 - 9. Designation of Housing
 - 10. Conversions of Public Housing
 - 11. Homeownership
 - 12. Community Service Programs

- 13. Crime and Safety
- 14. Pets (Inactive for January 1 PHAs)
- 15. Civil Rights Certifications (included with PHA Plan Certifications)
- 16. Audit
- 17. Asset Management
- 18. Other Information

Attachments

Indicate which attachments are provided by selecting all that apply. Provide the attachment's name (A, B, etc.) in the space to the left of the name of the attachment. Note: If the attachment is provided as a SEPARATE file submission from the PHA Plans file, provide the file name in parentheses in the space to the right of the title.

Required Attachments:

- Admissions Policy for Deconcentration
- FY 2000 Capital Fund Program Annual Statement
- Most recent board-approved operating budget (Required Attachment for PHAs that are troubled or at risk of being designated troubled ONLY)

Optional Attachments:

- PHA Management Organizational Chart
- FY 2000 Capital Fund Program 5 Year Action Plan
- Public Housing Drug Elimination Program (PHDEP) Plan
- Comments of Resident Advisory Board or Boards (must be attached if not included in PHA Plan text)
- Other (List below, providing each attachment name)

Supporting Documents Available for Review

Indicate which documents are available for public review by placing a mark in the "Applicable & On Display" column in the appropriate rows. All listed documents must be on display if applicable to the program activities conducted by the PHA.

List of Supporting Documents Available for Review		
Applicable & On Display	Supporting Document	Applicable Plan Component
	PHA Plan Certifications of Compliance with the PHA Plans and Related Regulations	5 Year and Annual Plans
	State/Local Government Certification of Consistency with the Consolidated Plan	5 Year and Annual Plans
	Fair Housing Documentation: Records reflecting that the PHA has examined its programs or proposed programs, identified any impediments to fair housing choice in those programs, addressed or is addressing those impediments in a reasonable fashion in view of the resources available, and worked or is working with local jurisdictions to implement any of the jurisdictions' initiatives to affirmatively further fair housing that require the PHA's involvement.	5 Year and Annual Plans

List of Supporting Documents Available for Review		
Applicable & On Display	Supporting Document	Applicable Plan Component
	Consolidated Plan for the jurisdiction/s in which the PHA is located (which includes the Analysis of Impediments to Fair Housing Choice (AI)) and any additional backup data to support statement of housing needs in the jurisdiction	Annual Plan: Housing Needs
	Most recent board-approved operating budget for the public housing program	Annual Plan: Financial Resources;
	Public Housing Admissions and (Continued) Occupancy Policy (A&O), which includes the Tenant Selection and Assignment Plan [TSAP]	Annual Plan: Eligibility, Selection, and Admissions Policies
	Section 8 Administrative Plan	Annual Plan: Eligibility, Selection, and Admissions Policies
	Public Housing Deconcentration and Income Mixing Documentation: 1. PHA board certifications of compliance with deconcentration requirements (section 16(a) of the US Housing Act of 1937, as implemented in the 2/18/99 <i>Quality Housing and Work Responsibility Act Initial Guidance; Notice</i> and any further HUD guidance) and 2. Documentation of the required deconcentration and income mixing analysis	Annual Plan: Eligibility, Selection, and Admissions Policies
	Public housing rent determination policies, including the methodology for setting public housing flat rents <input type="checkbox"/> check here if included in the public housing A & O Policy	Annual Plan: Rent Determination
	Schedule of flat rents offered at each public housing development <input type="checkbox"/> check here if included in the public housing A & O Policy	Annual Plan: Rent Determination
	Section 8 rent determination (payment standard) policies <input type="checkbox"/> check here if included in Section 8 Administrative Plan	Annual Plan: Rent Determination
	Public housing management and maintenance policy documents, including policies for the prevention or eradication of pest infestation (including cockroach infestation)	Annual Plan: Operations and Maintenance
	Public housing grievance procedures <input type="checkbox"/> check here if included in the public housing A & O Policy	Annual Plan: Grievance Procedures
	Section 8 informal review and hearing procedures <input type="checkbox"/> check here if included in Section 8 Administrative Plan	Annual Plan: Grievance Procedures
	The HUD-approved Capital Fund/Comprehensive Grant Program Annual Statement (HUD 52837) for the active grant year	Annual Plan: Capital Needs

List of Supporting Documents Available for Review		
Applicable & On Display	Supporting Document	Applicable Plan Component
	Most recent CIAP Budget/Progress Report (HUD 52825) for any active CIAP grant	Annual Plan: Capital Needs
	Most recent, approved 5 Year Action Plan for the Capital Fund/Comprehensive Grant Program, if not included as an attachment (provided at PHA option)	Annual Plan: Capital Needs
	Approved HOPE VI applications or, if more recent, approved or submitted HOPE VI Revitalization Plans or any other approved proposal for development of public housing	Annual Plan: Capital Needs
	Approved or submitted applications for demolition and/or disposition of public housing	Annual Plan: Demolition and Disposition
	Approved or submitted applications for designation of public housing (Designated Housing Plans)	Annual Plan: Designation of Public Housing
	Approved or submitted assessments of reasonable revitalization of public housing and approved or submitted conversion plans prepared pursuant to section 202 of the 1996 HUD Appropriations Act	Annual Plan: Conversion of Public Housing
	Approved or submitted public housing homeownership programs/plans	Annual Plan: Homeownership
	Policies governing any Section 8 Homeownership program <input type="checkbox"/> check here if included in the Section 8 Administrative Plan	Annual Plan: Homeownership
	Any cooperative agreement between the PHA and the TANF agency	Annual Plan: Community Service & Self-Sufficiency
	FSS Action Plan/s for public housing and/or Section 8	Annual Plan: Community Service & Self-Sufficiency
	Most recent self-sufficiency (ED/SS, TOP or ROSS or other resident services grant) grant program reports	Annual Plan: Community Service & Self-Sufficiency
	The most recent Public Housing Drug Elimination Program (PHDEP) semi-annual performance report for any open grant and most recently submitted PHDEP application (PHDEP Plan)	Annual Plan: Safety and Crime Prevention
	The most recent fiscal year audit of the PHA conducted under section 5(h)(2) of the U.S. Housing Act of 1937 (42 U. S.C. 1437c(h)), the results of that audit and the PHA's response to any findings	Annual Plan: Annual Audit
	Troubled PHAs: MOA/Recovery Plan	Troubled PHAs
	Other supporting documents (optional) (list individually; use as many lines as necessary)	(specify as needed)

1. Statement of Housing Needs

[24 CFR Part 903.7 9 (a)]

A. Housing Needs of Families in the Jurisdiction/s Served by the PHA

Based upon the information contained in the Consolidated Plan/s applicable to the jurisdiction, and/or other data available to the PHA, provide a statement of the housing needs in the jurisdiction by completing the following table. In the "Overall" Needs column, provide the estimated number of renter families that have housing needs. For the remaining characteristics, rate the impact of that factor on the housing needs for each family type, from 1 to 5, with 1 being "no impact" and 5 being "severe impact." Use N/A to indicate that no information is available upon which the PHA can make this assessment.

Housing Needs of Families in the Jurisdiction by Family Type							
Family Type	Overall	Afford-ability	Supply	Quality	Access-ibility	Size	Loca-tion
Income <= 30% of AMI							
Income >30% but <=50% of AMI							
Income >50% but <80% of AMI							
Elderly							
Families with Disabilities							
Race/Ethnicity							
Race/Ethnicity							
Race/Ethnicity							
Race/Ethnicity							

What sources of information did the PHA use to conduct this analysis? (Check all that apply; all materials must be made available for public inspection.)

- Consolidated Plan of the Jurisdiction/s
Indicate year:
- U.S. Census data: the Comprehensive Housing Affordability Strategy ("CHAS") dataset
- American Housing Survey data
Indicate year:
- Other housing market study
Indicate year:
- Other sources: (list and indicate year of information)

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

State the housing needs of the families on the PHA's waiting list/s. Complete one table for each type of PHA-wide waiting list administered by the PHA. PHAs may provide separate tables for site-based or sub-jurisdictional public housing waiting lists at their option.

Housing Needs of Families on the Waiting List			
Waiting list type: (select one)			
<input type="checkbox"/> Section 8 tenant-based assistance			
<input type="checkbox"/> Public Housing			
<input type="checkbox"/> Combined Section 8 and Public Housing			
<input type="checkbox"/> Public Housing Site-Based or sub-jurisdictional waiting list (optional)			
If used, identify which development/subjurisdiction: _____			
	# of families	% of total families	Annual Turnover
Waiting list total			
Extremely low income <=30% AMI			
Very low income (>30% but <=50% AMI)			
Low income (>50% but <80% AMI)			
Families with children			
Elderly families			
Families with Disabilities			
Race/ethnicity			
Characteristics by Bedroom Size (Public Housing Only)			
1BR			

Housing Needs of Families on the Waiting List			
2 BR			
3 BR			
4 BR			
5 BR			
5+ BR			
Is the waiting list closed (select one)? <input type="checkbox"/> No <input type="checkbox"/> Yes			
If yes:			
How long has it been closed (# of months)?			
Does the PHA expect to reopen the list in the PHA Plan year? <input type="checkbox"/> No <input type="checkbox"/> Yes			
Does the PHA permit specific categories of families onto the waiting list, even if generally closed? <input type="checkbox"/> No <input type="checkbox"/> Yes			

C. Strategy for Addressing Needs

Provide a brief 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**, and the Agency's reasons for choosing this strategy.

(1) Strategies

Need: Shortage of affordable housing for all eligible populations

Strategy 1. Maximize the number of affordable units available to the PHA within its current resources by:

Select all that apply

- Employ effective maintenance and management policies to minimize the number of public housing units off-line
- Reduce turnover time for vacated public housing units
- Reduce time to renovate public housing units
- Seek replacement of public housing units lost to the inventory through mixed finance development
- Seek replacement of public housing units lost to the inventory through section 8 replacement housing resources
- Maintain or increase section 8 lease-up rates by establishing payment standards that will enable families to rent throughout the jurisdiction
- Undertake measures to ensure access to affordable housing among families assisted by the PHA, regardless of unit size required
- Maintain or increase section 8 lease-up rates by marketing the program to owners, particularly those outside of areas of minority and poverty concentration

- Maintain or increase section 8 lease-up rates by effectively screening Section 8 applicants to increase owner acceptance of program
- Participate in the Consolidated Plan development process to ensure coordination with broader community strategies
- Other (list below)

Strategy 2: Increase the number of affordable housing units by:

Select all that apply

- Apply for additional section 8 units should they become available
- Leverage affordable housing resources in the community through the creation of mixed - finance housing
- Pursue housing resources other than public housing or Section 8 tenant-based assistance.
- Other: (list below)

Need: Specific Family Types: Families at or below 30% of median

Strategy 1: Target available assistance to families at or below 30 % of AMI

Select all that apply

- Exceed HUD federal targeting requirements for families at or below 30% of AMI in public housing
- Exceed HUD federal targeting requirements for families at or below 30% of AMI in tenant-based section 8 assistance
- Employ admissions preferences aimed at families with economic hardships
- Adopt rent policies to support and encourage work
- Other: (list below)

Need: Specific Family Types: Families at or below 50% of median

Strategy 1: Target available assistance to families at or below 50% of AMI

Select all that apply

- Employ admissions preferences aimed at families who are working
- Adopt rent policies to support and encourage work
- Other: (list below)

Need: Specific Family Types: The Elderly

Strategy 1: Target available assistance to the elderly:

Select all that apply

- Seek designation of public housing for the elderly
- Apply for special-purpose vouchers targeted to the elderly, should they become available
- Other: (list below)

Need: Specific Family Types: Families with Disabilities

Strategy 1: Target available assistance to Families with Disabilities:

Select all that apply

- Seek designation of public housing for families with disabilities
- Carry out the modifications needed in public housing based on the section 504 Needs Assessment for Public Housing
- Apply for special-purpose vouchers targeted to families with disabilities, should they become available
- Affirmatively market to local non-profit agencies that assist families with disabilities
- Other: (list below)

Need: Specific Family Types: Races or ethnicities with disproportionate housing needs

Strategy 1: Increase awareness of PHA resources among families of races and ethnicities with disproportionate needs:

Select if applicable

- Affirmatively market to races/ethnicities shown to have disproportionate housing needs
- Other: (list below)

Strategy 2: Conduct activities to affirmatively further fair housing

Select all that apply

- Counsel section 8 tenants as to location of units outside of areas of poverty or minority concentration and assist them to locate those units
- Market the section 8 program to owners outside of areas of poverty /minority concentrations
- Other: (list below)

Other Housing Needs & Strategies: (list needs and strategies below)

(2) Reasons for Selecting Strategies

Of the factors listed below, select all that influenced the PHA's selection of the strategies it will pursue:

- Funding constraints
- Staffing constraints
- Limited availability of sites for assisted housing
- Extent to which particular housing needs are met by other organizations in the community
- Evidence of housing needs as demonstrated in the Consolidated Plan and other information available to the PHA
- Influence of the housing market on PHA programs
- Community priorities regarding housing assistance
- Results of consultation with local or state government
- Results of consultation with residents and the Resident Advisory Board
- Results of consultation with advocacy groups
- Other: (list below)

2. Statement of Financial Resources

[24 CFR Part 903.7 9 (b)]

List the financial resources that are anticipated to be available to the PHA for the support of Federal public housing and tenant-based Section 8 assistance programs administered by the PHA during the Plan year. Note: the table assumes that Federal public housing or tenant based Section 8 assistance grant funds are expended on eligible purposes; therefore, uses of these funds need not be stated. For other funds, indicate the use for those funds as one of the following categories: public housing operations, public housing capital improvements, public housing safety/security, public housing supportive services, Section 8 tenant-based assistance, Section 8 supportive services or other.

Financial Resources: Planned Sources and Uses		
Sources	Planned \$	Planned Uses
1. Federal Grants (FY 2000 grants)		
a) Public Housing Operating Fund		
b) Public Housing Capital Fund		
c) HOPE VI Revitalization		
d) HOPE VI Demolition		
e) Annual Contributions for Section 8 Tenant-Based Assistance		
f) Public Housing Drug Elimination Program (including any Technical Assistance funds)		
g) Resident Opportunity and Self-Sufficiency Grants		

Financial Resources: Planned Sources and Uses		
Sources	Planned \$	Planned Uses
h) Community Development Block Grant		
i) HOME		
Other Federal Grants (list below)		
2. Prior Year Federal Grants (unobligated funds only) (list below)		
3. Public Housing Dwelling Rental Income		
4. Other income (list below)		
4. Non-federal sources (list below)		
Total resources		

3. PHA Policies Governing Eligibility, Selection, and Admissions

[24 CFR Part 903.7 9 (c)]

A. Public Housing

Exemptions: PHAs that do not administer public housing are not required to complete subcomponent 3A.

(1) Eligibility

a. When does the PHA verify eligibility for admission to public housing? (select all that apply)

- When families are within a certain number of being offered a unit: (state number)
- When families are within a certain time of being offered a unit: (state time)
- Other: (describe)

b. Which non-income (screening) factors does the PHA use to establish eligibility for admission to public housing (select all that apply)?

- Criminal or Drug-related activity
- Rental history
- Housekeeping
- Other (describe)

c. Yes No: Does the PHA request criminal records from local law enforcement agencies for screening purposes?

d. Yes No: Does the PHA request criminal records from State law enforcement agencies for screening purposes?

e. Yes No: Does the PHA access FBI criminal records from the FBI for screening purposes? (either directly or through an NCIC-authorized source)

(2)Waiting List Organization

a. Which methods does the PHA plan to use to organize its public housing waiting list (select all that apply)

- Community-wide list
- Sub-jurisdictional lists
- Site-based waiting lists
- Other (describe)

b. Where may interested persons apply for admission to public housing?

- PHA main administrative office
- PHA development site management office
- Other (list below)

c. If the PHA plans to operate one or more site-based waiting lists in the coming year, answer each of the following questions; if not, skip to subsection **(3) Assignment**

1. How many site-based waiting lists will the PHA operate in the coming year?

2. Yes No: Are any or all of the PHA's site-based waiting lists new for the upcoming year (that is, they are not part of a previously-HUD-approved site based waiting list plan)?
If yes, how many lists?
3. Yes No: May families be on more than one list simultaneously?
If yes, how many lists?
4. Where can interested persons obtain more information about and sign up to be on the site-based waiting lists (select all that apply)?
- PHA main administrative office
 - All PHA development management offices
 - Management offices at developments with site-based waiting lists
 - At the development to which they would like to apply
 - Other (list below)

(3) Assignment

- a. How many vacant unit choices are applicants ordinarily given before they fall to the bottom of or are removed from the waiting list? (select one)
- One
 - Two
 - Three or More
- b. Yes No: Is this policy consistent across all waiting list types?
- c. If answer to b is no, list variations for any other than the primary public housing waiting list/s for the PHA:

(4) Admissions Preferences

- a. Income targeting:
 Yes No: Does the PHA plan to exceed the federal targeting requirements by targeting more than 40% of all new admissions to public housing to families at or below 30% of median area income?
- b. Transfer policies:
In what circumstances will transfers take precedence over new admissions? (list below)
- Emergencies
 - Overhoused

- Underhoused
- Medical justification
- Administrative reasons determined by the PHA (e.g., to permit modernization work)
- Resident choice: (state circumstances below)
- Other: (list below)

c. Preferences

1. Yes No: Has the PHA established preferences for admission to public housing (other than date and time of application)? (If "no" is selected, skip to subsection **(5) Occupancy**)

2. Which of the following admission preferences does the PHA plan to employ in the coming year? (select all that apply from either former Federal preferences or other preferences)

Former Federal preferences:

- Involuntary Displacement (Disaster, Government Action, Action of Housing Owner, Inaccessibility, Property Disposition)
- Victims of domestic violence
- Substandard housing
- Homelessness
- High rent burden (rent is > 50 percent of income)

Other preferences: (select below)

- Working families and those unable to work because of age or disability
- Veterans and veterans' families
- Residents who live and/or work in the jurisdiction
- Those enrolled currently in educational, training, or upward mobility programs
- Households that contribute to meeting income goals (broad range of incomes)
- Households that contribute to meeting income requirements (targeting)
- Those previously enrolled in educational, training, or upward mobility programs
- Victims of reprisals or hate crimes
- Other preference(s) (list below)

3. If the PHA will employ admissions preferences, please prioritize by placing a "1" in the space that represents your first priority, a "2" in the box representing your second priority, and so on. If you give equal weight to one or more of these choices (either through an absolute hierarchy or through a point system), place the same number next to each. That means you can use "1" more than once, "2" more than once, etc.

Date and Time

Former Federal preferences:

- Involuntary Displacement (Disaster, Government Action, Action of Housing Owner, Inaccessibility, Property Disposition)
- Victims of domestic violence
- Substandard housing
- Homelessness
- High rent burden

Other preferences (select all that apply)

- Working families and those unable to work because of age or disability
- Veterans and veterans' families
- Residents who live and/or work in the jurisdiction
- Those enrolled currently in educational, training, or upward mobility programs
- Households that contribute to meeting income goals (broad range of incomes)
- Households that contribute to meeting income requirements (targeting)
- Those previously enrolled in educational, training, or upward mobility programs
- Victims of reprisals or hate crimes
- Other preference(s) (list below)

4. Relationship of preferences to income targeting requirements:

- The PHA applies preferences within income tiers
- Not applicable: the pool of applicant families ensures that the PHA will meet income targeting requirements

(5) Occupancy

a. What reference materials can applicants and residents use to obtain information about the rules of occupancy of public housing (select all that apply)

- The PHA-resident lease
- The PHA's Admissions and (Continued) Occupancy policy
- PHA briefing seminars or written materials
- Other source (list)

b. How often must residents notify the PHA of changes in family composition? (select all that apply)

- At an annual reexamination and lease renewal
- Any time family composition changes

- At family request for revision
- Other (list)

(6) Deconcentration and Income Mixing

a. Yes No: Did the PHA's analysis of its family (general occupancy) developments to determine concentrations of poverty indicate the need for measures to promote deconcentration of poverty or income mixing?

b. Yes No: Did the PHA adopt any changes to its **admissions policies** based on the results of the required analysis of the need to promote deconcentration of poverty or to assure income mixing?

c. If the answer to b was yes, what changes were adopted? (select all that apply)

Adoption of site-based waiting lists
If selected, list targeted developments below:

Employing waiting list "skipping" to achieve deconcentration of poverty or income mixing goals at targeted developments
If selected, list targeted developments below:

Employing new admission preferences at targeted developments
If selected, list targeted developments below:

Other (list policies and developments targeted below)

d. Yes No: Did the PHA adopt any changes to **other** policies based on the results of the required analysis of the need for deconcentration of poverty and income mixing?

e. If the answer to d was yes, how would you describe these changes? (select all that apply)

- Additional affirmative marketing
- Actions to improve the marketability of certain developments
- Adoption or adjustment of ceiling rents for certain developments
- Adoption of rent incentives to encourage deconcentration of poverty and income-mixing

Other (list below)

f. Based on the results of the required analysis, in which developments will the PHA make special efforts to attract or retain higher-income families? (select all that apply)

Not applicable: results of analysis did not indicate a need for such efforts

List (any applicable) developments below:

g. Based on the results of the required analysis, in which developments will the PHA make special efforts to assure access for lower-income families? (select all that apply)

Not applicable: results of analysis did not indicate a need for such efforts

List (any applicable) developments below:

B. Section 8

Exemptions: PHAs that do not administer section 8 are not required to complete sub-component 3B. Unless otherwise specified, all questions in this section apply only to the tenant-based section 8 assistance program (vouchers, and until completely merged into the voucher program, certificates).

(1) Eligibility

a. What is the extent of screening conducted by the PHA? (select all that apply)

Criminal or drug-related activity only to the extent required by law or regulation

Criminal and drug-related activity, more extensively than required by law or regulation

More general screening than criminal and drug-related activity (list factors below)

Other (list below)

b. Yes No: Does the PHA request criminal records from local law enforcement agencies for screening purposes?

c. Yes No: Does the PHA request criminal records from State law enforcement agencies for screening purposes?

d. Yes No: Does the PHA access FBI criminal records from the FBI for screening purposes? (either directly or through an NCIC-authorized source)

e. Indicate what kinds of information you share with prospective landlords? (select all that apply)

- Criminal or drug-related activity
- Other (describe below)

(2) Waiting List Organization

a. With which of the following program waiting lists is the section 8 tenant-based assistance waiting list merged? (select all that apply)

- None
- Federal public housing
- Federal moderate rehabilitation
- Federal project-based certificate program
- Other federal or local program (list below)

b. Where may interested persons apply for admission to section 8 tenant-based assistance? (select all that apply)

- PHA main administrative office
- Other (list below)

(3) Search Time

a. Yes No: Does the PHA give extensions on standard 60-day period to search for a unit?

If yes, state circumstances below:

(4) Admissions Preferences

a. Income targeting

Yes No: Does the PHA plan to exceed the federal targeting requirements by targeting more than 75% of all new admissions to the section 8 program to families at or below 30% of median area income?

b. Preferences

1. Yes No: Has the PHA established preferences for admission to section 8 tenant-based assistance? (other than date and time of application) (if no, skip to subcomponent **(5) Special purpose section 8 assistance programs**)

2. Which of the following admission preferences does the PHA plan to employ in the coming year? (select all that apply from either former Federal preferences or other preferences)

Former Federal preferences

- Involuntary Displacement (Disaster, Government Action, Action of Housing Owner, Inaccessibility, Property Disposition)
- Victims of domestic violence
- Substandard housing
- Homelessness
- High rent burden (rent is > 50 percent of income)

Other preferences (select all that apply)

- Working families and those unable to work because of age or disability
- Veterans and veterans' families
- Residents who live and/or work in your jurisdiction
- Those enrolled currently in educational, training, or upward mobility programs
- Households that contribute to meeting income goals (broad range of incomes)
- Households that contribute to meeting income requirements (targeting)
- Those previously enrolled in educational, training, or upward mobility programs
- Victims of reprisals or hate crimes
- Other preference(s) (list below)

3. If the PHA will employ admissions preferences, please prioritize by placing a "1" in the space that represents your first priority, a "2" in the box representing your second priority, and so on. If you give equal weight to one or more of these choices (either through an absolute hierarchy or through a point system), place the same number next to each. That means you can use "1" more than once, "2" more than once, etc.

Date and Time

Former Federal preferences

- Involuntary Displacement (Disaster, Government Action, Action of Housing Owner, Inaccessibility, Property Disposition)
- Victims of domestic violence
- Substandard housing
- Homelessness
- High rent burden

Other preferences (select all that apply)

- Working families and those unable to work because of age or disability
- Veterans and veterans' families
- Residents who live and/or work in your jurisdiction
- Those enrolled currently in educational, training, or upward mobility programs

- Households that contribute to meeting income goals (broad range of incomes)
- Households that contribute to meeting income requirements (targeting)
- Those previously enrolled in educational, training, or upward mobility programs
- Victims of reprisals or hate crimes
- Other preference(s) (list below)

4. Among applicants on the waiting list with equal preference status, how are applicants selected? (select one)

- Date and time of application
- Drawing (lottery) or other random choice technique

5. If the PHA plans to employ preferences for "residents who live and/or work in the jurisdiction" (select one)

- This preference has previously been reviewed and approved by HUD
- The PHA requests approval for this preference through this PHA Plan

6. Relationship of preferences to income targeting requirements: (select one)

- The PHA applies preferences within income tiers
- Not applicable: the pool of applicant families ensures that the PHA will meet income targeting requirements

(5) Special Purpose Section 8 Assistance Programs

a. In which documents or other reference materials are the policies governing eligibility, selection, and admissions to any special-purpose section 8 program administered by the PHA contained? (select all that apply)

- The Section 8 Administrative Plan
- Briefing sessions and written materials
- Other (list below)

b. How does the PHA announce the availability of any special-purpose section 8 programs to the public?

- Through published notices
- Other (list below)

4. PHA Rent Determination Policies

[24 CFR Part 903.7 9 (d)]

A. - Public Housing

Exemptions: PHAs that do not administer public housing are not required to complete sub-component 4A.

(1) Income Based Rent Policies

Describe the PHA's income based rent setting policy/ies for public housing using, including discretionary (that is, not required by statute or regulation) income disregards and exclusions, in the appropriate spaces below.

a. Use of discretionary policies: (select one)

- The PHA will not employ any discretionary rent-setting policies for income based rent in public housing. Income-based rents are set at the higher of 30% of adjusted monthly income, 10% of unadjusted monthly income, the welfare rent, or minimum rent (less HUD mandatory deductions and exclusions). (If selected, skip to sub-component (2))

---or---

- The PHA employs discretionary policies for determining income based rent (If selected, continue to question b.)

b. Minimum Rent

1. What amount best reflects the PHA's minimum rent? (select one)

- \$0
 \$1-\$25
 \$26-\$50

2. Yes No: Has the PHA adopted any discretionary minimum rent hardship exemption policies?

3. If yes to question 2, list these policies below:

c. Rents set at less than 30% than adjusted income

1. Yes No: Does the PHA plan to charge rents at a fixed amount or percentage less than 30% of adjusted income?
2. If yes to above, list the amounts or percentages charged and the circumstances under which these will be used below:
- d. Which of the discretionary (optional) deductions and/or exclusions policies does the PHA plan to employ (select all that apply)
- For the earned income of a previously unemployed household member
 - For increases in earned income
 - Fixed amount (other than general rent-setting policy)
If yes, state amount/s and circumstances below:
 - Fixed percentage (other than general rent-setting policy)
If yes, state percentage/s and circumstances below:
 - For household heads
 - For other family members
 - For transportation expenses
 - For the non-reimbursed medical expenses of non-disabled or non-elderly families
 - Other (describe below)

e. Ceiling rents

1. Do you have ceiling rents? (rents set at a level lower than 30% of adjusted income) (select one)

- Yes for all developments
- Yes but only for some developments
- No

2. For which kinds of developments are ceiling rents in place? (select all that apply)

- For all developments
- For all general occupancy developments (not elderly or disabled or elderly only)
- For specified general occupancy developments
- For certain parts of developments; e.g., the high-rise portion

- For certain size units; e.g., larger bedroom sizes
- Other (list below)

3. Select the space or spaces that best describe how you arrive at ceiling rents (select all that apply)

- Market comparability study
- Fair market rents (FMR)
- 95th percentile rents
- 75 percent of operating costs
- 100 percent of operating costs for general occupancy (family) developments
- Operating costs plus debt service
- The "rental value" of the unit
- Other (list below)

f. Rent re-determinations:

1. Between income reexaminations, how often must tenants report changes in income or family composition to the PHA such that the changes result in an adjustment to rent? (select all that apply)

- Never
- At family option
- Any time the family experiences an income increase
- Any time a family experiences an income increase above a threshold amount or percentage: (if selected, specify threshold) _____
- Other (list below)

g. Yes No: Does the PHA plan to implement individual savings accounts for residents (ISAs) as an alternative to the required 12 month disallowance of earned income and phasing in of rent increases in the next year?

(2) Flat Rents

1. In setting the market-based flat rents, what sources of information did the PHA use to establish comparability? (select all that apply.)

- The section 8 rent reasonableness study of comparable housing
- Survey of rents listed in local newspaper
- Survey of similar unassisted units in the neighborhood

- Other (list/describe below)

B. Section 8 Tenant-Based Assistance

Exemptions: PHAs that do not administer Section 8 tenant-based assistance are not required to complete sub-component 4B. **Unless otherwise specified, all questions in this section apply only to the tenant-based section 8 assistance program (vouchers, and until completely merged into the voucher program, certificates).**

(1) Payment Standards

Describe the voucher payment standards and policies.

a. What is the PHA's payment standard? (select the category that best describes your standard)

- At or above 90% but below 100% of FMR
 100% of FMR
 Above 100% but at or below 110% of FMR
 Above 110% of FMR (if HUD approved; describe circumstances below)

b. If the payment standard is lower than FMR, why has the PHA selected this standard? (select all that apply)

- FMRs are adequate to ensure success among assisted families in the PHA's segment of the FMR area
 The PHA has chosen to serve additional families by lowering the payment standard
 Reflects market or submarket
 Other (list below)

c. If the payment standard is higher than FMR, why has the PHA chosen this level? (select all that apply)

- FMRs are not adequate to ensure success among assisted families in the PHA's segment of the FMR area
 Reflects market or submarket
 To increase housing options for families
 Other (list below)

d. How often are payment standards reevaluated for adequacy? (select one)

- Annually
 Other (list below)

e. What factors will the PHA consider in its assessment of the adequacy of its payment standard? (select all that apply)

- Success rates of assisted families
- Rent burdens of assisted families
- Other (list below)

(2) Minimum Rent

a. What amount best reflects the PHA's minimum rent? (select one)

- \$0
- \$1-\$25
- \$26-\$50

b. Yes No: Has the PHA adopted any discretionary minimum rent hardship exemption policies? (if yes, list below)

5. Operations and Management

[24 CFR Part 903.7 9 (e)]

Exemptions from Component 5: High performing and small PHAs are not required to complete this section. Section 8 only PHAs must complete parts A, B, and C(2)

A. PHA Management Structure

Describe the PHA's management structure and organization.

(select one)

- An organization chart showing the PHA's management structure and organization is attached.
- A brief description of the management structure and organization of the PHA follows:

B. HUD Programs Under PHA Management

List Federal programs administered by the PHA, number of families served at the beginning of the upcoming fiscal year, and expected turnover in each. (Use "NA" to indicate that the PHA does not operate any of the programs listed below.)

Program Name	Units or Families Served at Year Beginning	Expected Turnover
Public Housing		
Section 8 Vouchers		

Section 8 Certificates		
Section 8 Mod Rehab		
Special Purpose Section 8 Certificates/Vouchers (list individually)		
Public Housing Drug Elimination Program (PHDEP)		
Other Federal Programs(list individually)		

C. Management and Maintenance Policies

List the PHA's public housing management and maintenance policy documents, manuals and handbooks that contain the Agency's rules, standards, and policies that govern maintenance and management of public housing, including a description of any measures necessary for the prevention or eradication of pest infestation (which includes cockroach infestation) and the policies governing Section 8 management.

- (1) Public Housing Maintenance and Management: (list below)
- (2) Section 8 Management: (list below)

6. PHA Grievance Procedures

[24 CFR Part 903.7 9 (f)]

Exemptions from component 6: High performing PHAs are not required to complete component 6. Section 8-Only PHAs are exempt from sub-component 6A.

A. Public Housing

1. Yes No: Has the PHA established any written grievance procedures in addition to federal requirements found at 24 CFR Part 966, Subpart B, for residents of public housing?

If yes, list additions to federal requirements below:

2. Which PHA office should residents or applicants to public housing contact to initiate the PHA grievance process? (select all that apply)

- PHA main administrative office
 PHA development management offices
 Other (list below)

B. Section 8 Tenant-Based Assistance

1. Yes No: Has the PHA established informal review procedures for applicants to the Section 8 tenant-based assistance program and informal hearing procedures for families assisted by the Section 8 tenant-based assistance program in addition to federal requirements found at 24 CFR 982?

If yes, list additions to federal requirements below:

2. Which PHA office should applicants or assisted families contact to initiate the informal review and informal hearing processes? (select all that apply)

- PHA main administrative office
 Other (list below)

7. Capital Improvement Needs

[24 CFR Part 903.7 9 (g)]

Exemptions from Component 7: Section 8 only PHAs are not required to complete this component and may skip to Component 8.

A. Capital Fund Activities

Exemptions from sub-component 7A: PHAs that will not participate in the Capital Fund Program may skip to component 7B. All other PHAs must complete 7A as instructed.

(1) Capital Fund Program Annual Statement

Using parts I, II, and III of the Annual Statement for the Capital Fund Program (CFP), identify capital activities the PHA is proposing for the upcoming year to ensure long-term physical and social viability of its public housing developments. This statement can be completed by using the CFP Annual Statement tables provided in the table library at the end of the PHA Plan template **OR**, at the PHA's option, by completing and attaching a properly updated HUD-52837.

Select one:

The Capital Fund Program Annual Statement is provided as an attachment to the PHA Plan at Attachment (state name)

-or-

The Capital Fund Program Annual Statement is provided below: (if selected, copy the CFP Annual Statement from the Table Library and insert here)

(2) Optional 5-Year Action Plan

Agencies are encouraged to include a 5-Year Action Plan covering capital work items. This statement can be completed by using the 5 Year Action Plan table provided in the table library at the end of the PHA Plan template OR by completing and attaching a properly updated HUD-52834.

a. Yes No: Is the PHA providing an optional 5-Year Action Plan for the Capital Fund? (if no, skip to sub-component 7B)

b. If yes to question a, select one:

The Capital Fund Program 5-Year Action Plan is provided as an attachment to the PHA Plan at Attachment (state name)

-or-

The Capital Fund Program 5-Year Action Plan is provided below: (if selected, copy the CFP optional 5 Year Action Plan from the Table Library and insert here)

B. HOPE VI and Public Housing Development and Replacement Activities (Non-Capital Fund)

Applicability of sub-component 7B: All PHAs administering public housing. Identify any approved HOPE VI and/or public housing development or replacement activities not described in the Capital Fund Program Annual Statement.

Yes No: a) Has the PHA received a HOPE VI revitalization grant? (if no, skip to question c; if yes, provide responses to question b for each grant, copying and completing as many times as necessary)
b) Status of HOPE VI revitalization grant (complete one set of questions for each grant)

1. Development name:

2. Development (project) number:

3. Status of grant: (select the statement that best describes the current status)

- Revitalization Plan under development
- Revitalization Plan submitted, pending approval
- Revitalization Plan approved
- Activities pursuant to an approved Revitalization Plan underway

Yes No: c) Does the PHA plan to apply for a HOPE VI Revitalization grant in the Plan year?
If yes, list development name/s below:

Yes No: d) Will the PHA be engaging in any mixed-finance development activities for public housing in the Plan year?
If yes, list developments or activities below:

Yes No: e) Will the PHA be conducting any other public housing development or replacement activities not discussed in the Capital Fund Program Annual Statement?
If yes, list developments or activities below:

8. Demolition and Disposition

[24 CFR Part 903.7 9 (h)]

Applicability of component 8: Section 8 only PHAs are not required to complete this section.

1. Yes No: Does the PHA plan to conduct any demolition or disposition activities (pursuant to section 18 of the U.S. Housing Act of 1937 (42 U.S.C. 1437p)) in the plan Fiscal Year? (If "No", skip to component 9; if "yes", complete one activity description for each development.)

2. Activity Description

Yes No: Has the PHA provided the activities description information in the **optional** Public Housing Asset Management Table? (If "yes", skip to component 9. If "No", complete the Activity Description table below.)

Demolition/Disposition Activity Description
1a. Development name:
1b. Development (project) number:

2. Activity type: Demolition <input type="checkbox"/> Disposition <input type="checkbox"/>
3. Application status (select one) Approved <input type="checkbox"/> Submitted, pending approval <input type="checkbox"/> Planned application <input type="checkbox"/>
4. Date application approved, submitted, or planned for submission: (DD/MM/YY)
5. Number of units affected:
6. Coverage of action (select one) <input type="checkbox"/> Part of the development <input type="checkbox"/> Total development
7. Timeline for activity: a. Actual or projected start date of activity: b. Projected end date of activity:

9. Designation of Public Housing for Occupancy by Elderly Families or Families with Disabilities or Elderly Families and Families with Disabilities

[24 CFR Part 903.79 (i)]

Exemptions from Component 9; Section 8 only PHAs are not required to complete this section.

1. Yes No: Has the PHA designated or applied for approval to designate or does the PHA plan to apply to designate any public housing for occupancy only by the elderly families or only by families with disabilities, or by elderly families and families with disabilities or will apply for designation for occupancy by only elderly families or only families with disabilities, or by elderly families and families with disabilities as provided by section 7 of the U.S. Housing Act of 1937 (42 U.S.C. 1437e) in the upcoming fiscal year? (If “No”, skip to component 10. If “yes”, complete one activity description for each development, unless the PHA is eligible to complete a streamlined submission; PHAs completing streamlined submissions may skip to component 10.)

2. Activity Description

- Yes No: Has the PHA provided all required activity description information for this component in the **optional** Public Housing Asset Management Table? If “yes”, skip to component 10. If “No”, complete the Activity Description table below.

Designation of Public Housing Activity Description	
1a. Development name:	
1b. Development (project) number:	
2. Designation type:	
Occupancy by only the elderly <input type="checkbox"/>	
Occupancy by families with disabilities <input type="checkbox"/>	
Occupancy by only elderly families and families with disabilities <input type="checkbox"/>	
3. Application status (select one)	
Approved; included in the PHA's Designation Plan <input type="checkbox"/>	
Submitted, pending approval <input type="checkbox"/>	
Planned application <input type="checkbox"/>	
4. Date this designation approved, submitted, or planned for submission: (DD/MM/YY)	
5. If approved, will this designation constitute a (select one)	
<input type="checkbox"/> New Designation Plan	
<input type="checkbox"/> Revision of a previously-approved Designation Plan?	
6. Number of units affected:	
7. Coverage of action (select one)	
<input type="checkbox"/> Part of the development	
<input type="checkbox"/> Total development	

10. Conversion of Public Housing to Tenant-Based Assistance

[24 CFR Part 903.7 9 (j)]

Exemptions from Component 10; Section 8 only PHAs are not required to complete this section.

A. Assessments of Reasonable Revitalization Pursuant to section 202 of the HUD FY 1996 HUD Appropriations Act

1. Yes No: Have any of the PHA's developments or portions of developments been identified by HUD or the PHA as covered under section 202 of the HUD FY 1996 HUD Appropriations Act? (If "No", skip to component 11; if "yes", complete one activity description for each identified development, unless eligible to complete a streamlined submission. PHAs completing streamlined submissions may skip to component 11.)

2. Activity Description

- Yes No: Has the PHA provided all required activity description information for this component in the **optional** Public Housing Asset Management Table? If "yes", skip to component 11. If "No", complete the Activity Description table below.

Conversion of Public Housing Activity Description	
1a. Development name:	
1b. Development (project) number:	
2. What is the status of the required assessment?	
<input type="checkbox"/> Assessment underway <input type="checkbox"/> Assessment results submitted to HUD <input type="checkbox"/> Assessment results approved by HUD (if marked, proceed to next question) <input type="checkbox"/> Other (explain below)	
3. <input type="checkbox"/> Yes <input type="checkbox"/> No: Is a Conversion Plan required? (If yes, go to block 4; if no, go to block 5.)	
4. Status of Conversion Plan (select the statement that best describes the current status)	
<input type="checkbox"/> Conversion Plan in development <input type="checkbox"/> Conversion Plan submitted to HUD on: (DD/MM/YYYY) <input type="checkbox"/> Conversion Plan approved by HUD on: (DD/MM/YYYY) <input type="checkbox"/> Activities pursuant to HUD-approved Conversion Plan underway	
5. Description of how requirements of Section 202 are being satisfied by means other than conversion (select one)	
<input type="checkbox"/> Units addressed in a pending or approved demolition application (date submitted or approved: _____) <input type="checkbox"/> Units addressed in a pending or approved HOPE VI demolition application (date submitted or approved: _____) <input type="checkbox"/> Units addressed in a pending or approved HOPE VI Revitalization Plan (date submitted or approved: _____) <input type="checkbox"/> Requirements no longer applicable: vacancy rates are less than 10 percent <input type="checkbox"/> Requirements no longer applicable: site now has less than 300 units <input type="checkbox"/> Other: (describe below)	

B. Reserved for Conversions pursuant to Section 22 of the U.S. Housing Act of 1937

C. Reserved for Conversions pursuant to Section 33 of the U.S. Housing Act of 1937

11. Homeownership Programs Administered by the PHA

[24 CFR Part 903.7 9 (k)]

A. Public Housing

Exemptions from Component 11A: Section 8 only PHAs are not required to complete 11A.

1. Yes No: Does the PHA administer any homeownership programs administered by the PHA under an approved section 5(h) homeownership program (42 U.S.C. 1437c(h)), or an approved HOPE I program (42 U.S.C. 1437aaa) or has the PHA applied or plan to apply to administer any homeownership programs under section 5(h), the HOPE I program, or section 32 of the U.S. Housing Act of 1937 (42 U.S.C. 1437z-4). (If “No”, skip to component 11B; if “yes”, complete one activity description for each applicable program/plan, unless eligible to complete a streamlined submission due to **small PHA** or **high performing PHA** status. PHAs completing streamlined submissions may skip to component 11B.)

2. Activity Description

Yes No: Has the PHA provided all required activity description information for this component in the **optional** Public Housing Asset Management Table? (If “yes”, skip to component 12. If “No”, complete the Activity Description table below.)

Public Housing Homeownership Activity Description (Complete one for each development affected)	
1a. Development name:	
1b. Development (project) number:	
2. Federal Program authority:	
<input type="checkbox"/> HOPE I <input type="checkbox"/> 5(h) <input type="checkbox"/> Turnkey III <input type="checkbox"/> Section 32 of the USHA of 1937 (effective 10/1/99)	
3. Application status: (select one)	
<input type="checkbox"/> Approved; included in the PHA’s Homeownership Plan/Program <input type="checkbox"/> Submitted, pending approval <input type="checkbox"/> Planned application	
4. Date Homeownership Plan/Program approved, submitted, or planned for submission: (DD/MM/YYYY)	
5. Number of units affected:	
6. Coverage of action: (select one)	

<input type="checkbox"/> Part of the development
<input type="checkbox"/> Total development

B. Section 8 Tenant Based Assistance

1. Yes No: Does the PHA plan to administer a Section 8 Homeownership program pursuant to Section 8(y) of the U.S.H.A. of 1937, as implemented by 24 CFR part 982 ? (If “No”, skip to component 12; if “yes”, describe each program using the table below (copy and complete questions for each program identified), unless the PHA is eligible to complete a streamlined submission due to high performer status. **High performing PHAs** may skip to component 12.)

2. Program Description:

a. Size of Program

Yes No: Will the PHA limit the number of families participating in the section 8 homeownership option?

If the answer to the question above was yes, which statement best describes the number of participants? (select one)

- 25 or fewer participants
- 26 - 50 participants
- 51 to 100 participants
- more than 100 participants

b. PHA-established eligibility criteria

Yes No: Will the PHA’s program have eligibility criteria for participation in its Section 8 Homeownership Option program in addition to HUD criteria?

If yes, list criteria below:

12. PHA Community Service and Self-sufficiency Programs

[24 CFR Part 903.7 9 (l)]

Exemptions from Component 12: High performing and small PHAs are not required to complete this component. Section 8-Only PHAs are not required to complete sub-component C.

A. PHA Coordination with the Welfare (TANF) Agency

1. Cooperative agreements:

- Yes No: Has the PHA entered into a cooperative agreement with the TANF Agency, to share information and/or target supportive services (as contemplated by section 12(d)(7) of the Housing Act of 1937)?

If yes, what was the date that agreement was signed? DD/MM/YY

2. Other coordination efforts between the PHA and TANF agency (select all that apply)

- Client referrals
 Information sharing regarding mutual clients (for rent determinations and otherwise)
 Coordinate the provision of specific social and self-sufficiency services and programs to eligible families
 Jointly administer programs
 Partner to administer a HUD Welfare-to-Work voucher program
 Joint administration of other demonstration program
 Other (describe)

B. Services and programs offered to residents and participants

(1) General

a. Self-Sufficiency Policies

Which, if any of the following discretionary policies will the PHA employ to enhance the economic and social self-sufficiency of assisted families in the following areas? (select all that apply)

- Public housing rent determination policies
 Public housing admissions policies
 Section 8 admissions policies
 Preference in admission to section 8 for certain public housing families
 Preferences for families working or engaging in training or education programs for non-housing programs operated or coordinated by the PHA
 Preference/eligibility for public housing homeownership option participation
 Preference/eligibility for section 8 homeownership option participation
 Other policies (list below)

b. Economic and Social self-sufficiency programs

C. Welfare Benefit Reductions

1. The PHA is complying with the statutory requirements of section 12(d) of the U.S. Housing Act of 1937 (relating to the treatment of income changes resulting from welfare program requirements) by: (select all that apply)

- Adopting appropriate changes to the PHA's public housing rent determination policies and train staff to carry out those policies
- Informing residents of new policy on admission and reexamination
- Actively notifying residents of new policy at times in addition to admission and reexamination.
- Establishing or pursuing a cooperative agreement with all appropriate TANF agencies regarding the exchange of information and coordination of services
- Establishing a protocol for exchange of information with all appropriate TANF agencies
- Other: (list below)

D. Reserved for Community Service Requirement pursuant to section 12(c) of the U.S. Housing Act of 1937
--

13. PHA Safety and Crime Prevention Measures

[24 CFR Part 903.7 9 (m)]

Exemptions from Component 13: High performing and small PHAs not participating in PHDEP and Section 8 Only PHAs may skip to component 15. High Performing and small PHAs that are participating in PHDEP and are submitting a PHDEP Plan with this PHA Plan may skip to sub-component D.

A. Need for measures to ensure the safety of public housing residents

1. Describe the need for measures to ensure the safety of public housing residents (select all that apply)

- High incidence of violent and/or drug-related crime in some or all of the PHA's developments
- High incidence of violent and/or drug-related crime in the areas surrounding or adjacent to the PHA's developments
- Residents fearful for their safety and/or the safety of their children
- Observed lower-level crime, vandalism and/or graffiti
- People on waiting list unwilling to move into one or more developments due to perceived and/or actual levels of violent and/or drug-related crime
- Other (describe below)

2. What information or data did the PHA use to determine the need for PHA actions to improve safety of residents (select all that apply).

- Safety and security survey of residents
- Analysis of crime statistics over time for crimes committed "in and around" public housing authority
- Analysis of cost trends over time for repair of vandalism and removal of graffiti
- Resident reports
- PHA employee reports
- Police reports
- Demonstrable, quantifiable success with previous or ongoing anticrime/anti drug programs
- Other (describe below)

3. Which developments are most affected? (list below)

B. Crime and Drug Prevention activities the PHA has undertaken or plans to undertake in the next PHA fiscal year

1. List the crime prevention activities the PHA has undertaken or plans to undertake: (select all that apply)

- Contracting with outside and/or resident organizations for the provision of crime- and/or drug-prevention activities
- Crime Prevention Through Environmental Design
- Activities targeted to at-risk youth, adults, or seniors
- Volunteer Resident Patrol/Block Watchers Program
- Other (describe below)

2. Which developments are most affected? (list below)

C. Coordination between PHA and the police

1. Describe the coordination between the PHA and the appropriate police precincts for carrying out crime prevention measures and activities: (select all that apply)

- Police involvement in development, implementation, and/or ongoing evaluation of drug-elimination plan
- Police provide crime data to housing authority staff for analysis and action

- Police have established a physical presence on housing authority property (e.g., community policing office, officer in residence)
 - Police regularly testify in and otherwise support eviction cases
 - Police regularly meet with the PHA management and residents
 - Agreement between PHA and local law enforcement agency for provision of above-baseline law enforcement services
 - Other activities (list below)
2. Which developments are most affected? (list below)

D. Additional information as required by PHDEP/PHDEP Plan

PHAs eligible for FY 2000 PHDEP funds must provide a PHDEP Plan meeting specified requirements prior to receipt of PHDEP funds.

- Yes No: Is the PHA eligible to participate in the PHDEP in the fiscal year covered by this PHA Plan?
- Yes No: Has the PHA included the PHDEP Plan for FY 2000 in this PHA Plan?
- Yes No: This PHDEP Plan is an Attachment. (Attachment Filename: ___)

14. RESERVED FOR PET POLICY

[24 CFR Part 903.7 9 (n)]

15. Civil Rights Certifications

[24 CFR Part 903.7 9 (o)]

Civil rights certifications are included in the PHA Plan Certifications of Compliance with the PHA Plans and Related Regulations.

16. Fiscal Audit

[24 CFR Part 903.7 9 (p)]

- 1. Yes No: Is the PHA required to have an audit conducted under section 5(h)(2) of the U.S. Housing Act of 1937 (42 U.S.C. 1437c(h))?
(If no, skip to component 17.)
- 2. Yes No: Was the most recent fiscal audit submitted to HUD?
- 3. Yes No: Were there any findings as the result of that audit?
- 4. Yes No: If there were any findings, do any remain unresolved?
If yes, how many unresolved findings remain? _____
- 5. Yes No: Have responses to any unresolved findings been submitted to HUD?

If not, when are they due (state below)?

17. PHA Asset Management

[24 CFR Part 903.7 9 (q)]

Exemptions from component 17: Section 8 Only PHAs are not required to complete this component. High performing and small PHAs are not required to complete this component.

1. Yes No: Is the PHA engaging in any activities that will contribute to the long-term asset management of its public housing stock , including how the Agency will plan for long-term operating, capital investment, rehabilitation, modernization, disposition, and other needs that have **not** been addressed elsewhere in this PHA Plan?

2. What types of asset management activities will the PHA undertake? (select all that apply)
 Not applicable
 Private management
 Development-based accounting
 Comprehensive stock assessment
 Other: (list below)

3. Yes No: Has the PHA included descriptions of asset management activities in the **optional** Public Housing Asset Management Table?

18. Other Information

[24 CFR Part 903.7 9 (r)]

A. Resident Advisory Board Recommendations

1. Yes No: Did the PHA receive any comments on the PHA Plan from the Resident Advisory Board/s?

2. If yes, the comments are: (if comments were received, the PHA **MUST** select one)
 Attached at Attachment (File name)
 Provided below:

3. In what manner did the PHA address those comments? (select all that apply)
 Considered comments, but determined that no changes to the PHA Plan were necessary.

- The PHA changed portions of the PHA Plan in response to comments
List changes below:
- Other: (list below)

B. Description of Election process for Residents on the PHA Board

1. Yes No: Does the PHA meet the exemption criteria provided section 2(b)(2) of the U.S. Housing Act of 1937? (If no, continue to question 2; if yes, skip to sub-component C.)
2. Yes No: Was the resident who serves on the PHA Board elected by the residents? (If yes, continue to question 3; if no, skip to sub-component C.)

3. Description of Resident Election Process

a. Nomination of candidates for place on the ballot: (select all that apply)

- Candidates were nominated by resident and assisted family organizations
- Candidates could be nominated by any adult recipient of PHA assistance
- Self-nomination: Candidates registered with the PHA and requested a place on ballot
- Other: (describe)

b. Eligible candidates: (select one)

- Any recipient of PHA assistance
- Any head of household receiving PHA assistance
- Any adult recipient of PHA assistance
- Any adult member of a resident or assisted family organization
- Other (list)

c. Eligible voters: (select all that apply)

- All adult recipients of PHA assistance (public housing and section 8 tenant-based assistance)
- Representatives of all PHA resident and assisted family organizations
- Other (list)

C. Statement of Consistency with the Consolidated Plan

For each applicable Consolidated Plan, make the following statement (copy questions as many times as necessary).

1. Consolidated Plan jurisdiction: (provide name here)
2. The PHA has taken the following steps to ensure consistency of this PHA Plan with the Consolidated Plan for the jurisdiction: (select all that apply)

- The PHA has based its statement of needs of families in the jurisdiction on the needs expressed in the Consolidated Plan/s.
- The PHA has participated in any consultation process organized and offered by the Consolidated Plan agency in the development of the Consolidated Plan.
- The PHA has consulted with the Consolidated Plan agency during the development of this PHA Plan.
- Activities to be undertaken by the PHA in the coming year are consistent with the initiatives contained in the Consolidated Plan. (list below)

- Other: (list below)

4. The Consolidated Plan of the jurisdiction supports the PHA Plan with the following actions and commitments: (describe below)

D. Other Information Required by HUD

Use this section to provide any additional information requested by HUD.

Attachments

Use this section to provide any additional attachments referenced in the Plans.

(this page intentionally left blank)

Public Housing Drug Elimination Program Plan

Note: THIS PHDEP Plan template (HUD 50075-PHDEP Plan) is to be completed in accordance with Instructions located in applicable PIH Notices.

Annual PHDEP Plan Table of Contents:

1. General Information/History
2. PHDEP Plan Goals/Budget
3. Milestones
4. Certifications

Section 1: General Information/History

- A. Amount of PHDEP Grant \$ _____
- B. Eligibility type (Indicate with an "x") N1 _____ N2 _____ R _____
- C. FFY in which funding is requested _____
- D. Executive Summary of Annual PHDEP Plan

In the space below, provide a brief overview of the PHDEP Plan, including highlights of major initiatives or activities undertaken. It may include a description of the expected outcomes. The summary must not be more than five (5) sentences long.

E. Target Areas

Complete the following table by indicating each PHDEP Target Area (development or site where activities will be conducted), the total number of units in each PHDEP Target Area, and the total number of individuals expected to participate in PHDEP sponsored activities in each Target Area.

PHDEP Target Areas (Name of development(s) or site)	Total # of Units within the PHDEP Target Area(s)	Total Population to be Served within the PHDEP Target Area(s)

F. Duration of Program

Indicate the duration (number of months funds will be required) of the PHDEP Program proposed under this Plan (place an "x" to indicate the length of program by # of months. For "Other", identify the # of months).

6 Months _____ 12 Months _____ 18 Months _____ 24 Months _____ Other _____

G. PHDEP Program History

Indicate each FY that funding has been received under the PHDEP Program (place an "x" by each applicable Year) and provide amount of funding received. If previously funded programs have not been closed out at the time of this submission, indicate the fund balance and anticipated completion date. For grant extensions received, place "GE" in column or "W" for waivers.

Fiscal Year of Funding	PHDEP Funding Received	Grant #	Fund Balance as of Date of this Submission	Grant Extensions or Waivers	Anticipated Completion Date
FY 1995					
FY 1996					
FY 1997					
FY 1998					
FY 1999					

Section 2: PHDEP Plan Goals and Budget

A. PHDEP Plan Summary

In the space below, summarize the PHDEP strategy to address the needs of the target population/target area(s). Your summary should briefly identify: the broad goals and objectives, the role of plan partners, and your system or process for monitoring and evaluating PHDEP-funded activities. This summary should not exceed 5-10 sentences.

B. PHDEP Budget Summary

Enter the total amount of PHDEP funding allocated to each line item.

FY ____ PHDEP Budget Summary	
Budget Line Item	Total Funding
9110 - Reimbursement of Law Enforcement	
9120 - Security Personnel	
9130 - Employment of Investigators	
9140 - Voluntary Tenant Patrol	
9150 - Physical Improvements	
9160 - Drug Prevention	
9170 - Drug Intervention	
9180 - Drug Treatment	
9190 - Other Program Costs	
TOTAL PHDEP FUNDING	

C. PHDEP Plan Goals and Activities

In the tables below, provide information on the PHDEP strategy summarized above by budget line item. Each goal and objective should be numbered sequentially for each budget line item (where applicable). Use as many rows as necessary to list proposed activities (additional rows may be inserted in the tables). PHAs are not required to provide information in shaded boxes. Information provided must be concise—not to exceed two sentences in any column. Tables for line items in which the PHA has no planned goals or activities may be deleted.

9110 - Reimbursement of Law Enforcement						Total PHDEP Funding: \$	
Goal(s)							
Objectives							
Proposed Activities	# of Persons Served	Target Population	Start Date	Expected Complete Date	PHDEP Funding	Other Funding (Amount/Source)	Performance Indicators
1.							
2.							
3.							

9120 - Security Personnel						Total PHDEP Funding: \$	
Goal(s)							
Objectives							
Proposed Activities	# of Persons Served	Target Population	Start Date	Expected Complete Date	PHDEP Funding	Other Funding (Amount/Source)	Performance Indicators
1.							
2.							
3.							

9130 - Employment of Investigators						Total PHDEP Funding: \$	
Goal(s)							
Objectives							
Proposed Activities	# of Persons Served	Target Population	Start Date	Expected Complete Date	PHDEP Funding	Other Funding (Amount/Source)	Performance Indicators
1.							
2.							
3.							

9140 - Voluntary Tenant Patrol						Total PHDEP Funding: \$	
---------------------------------------	--	--	--	--	--	--------------------------------	--

Goal(s)							
Objectives							
Proposed Activities	# of Persons Served	Target Population	Start Date	Expected Complete Date	PHEDEP Funding	Other Funding (Amount /Source)	Performance Indicators
1.							
2.							
3.							

9150 - Physical Improvements					Total PHDEP Funding: \$		
Goal(s)							
Objectives							
Proposed Activities	# of Persons Served	Target Population	Start Date	Expected Complete Date	PHEDEP Funding	Other Funding (Amount /Source)	Performance Indicators
1.							
2.							
3.							

9160 - Drug Prevention					Total PHDEP Funding: \$		
Goal(s)							
Objectives							
Proposed Activities	# of Persons Served	Target Population	Start Date	Expected Complete Date	PHEDEP Funding	Other Funding (Amount /Source)	Performance Indicators
1.							
2.							
3.							

9170 - Drug Intervention					Total PHDEP Funding: \$		
Goal(s)							
Objectives							
Proposed Activities	# of Persons Served	Target Population	Start Date	Expected Complete Date	PHEDEP Funding	Other Funding (Amount /Source)	Performance Indicators
1.							
2.							
3.							

9180 - Drug Treatment					Total PHDEP Funding: \$		
Goal(s)							
Objectives							
Proposed Activities	# of Persons Served	Target Population	Start Date	Expected Complete Date	PHDEP Funding	Other Funding (Amount /Source)	Performance Indicators
1.							
2.							
3.							

9190 - Other Program Costs					Total PHDEP Funds: \$		
Goal(s)							
Objectives							
Proposed Activities	# of Persons Served	Target Population	Start Date	Expected Complete Date	PHDEP Funding	Other Funding (Amount /Source)	Performance Indicators
1.							
2.							
3.							

Section 3: Expenditure/Obligation Milestones

Indicate by Budget Line Item and the Proposed Activity (based on the information contained in Section 2 PHDEP Plan Budget and Goals), the % of funds that will be expended (at least 25% of the total grant award) and obligated (at least 50% of the total grant award) within 12 months of grant execution.

Budget Line Item #	25% Expenditure of Total Grant Funds By Activity #	Total PHDEP Funding Expended (sum of the activities)	50% Obligation of Total Grant Funds by Activity #	Total PHDEP Funding Obligated (sum of the activities)
<i>e.g Budget Line Item # 9120</i>	<i>Activities 1, 3</i>		<i>Activity 2</i>	
9110				
9120				
9130				
9140				
9150				
9160				
9170				

9180				
9190				
TOTAL		S		S

Section 4: Certifications

A comprehensive certification of compliance with respect to the PHDEP Plan submission is included in the "PHA Certifications of Compliance with the PHA Plan and Related Regulations."

U. S. Department of Housing and Urban Development

Office of Public and Indian Housing

Special Attention of:

NOTICE PIH 2000-38 (HA)

Secretary's Representatives;
State/Area Coordinators;
Public Housing Directors;
Housing Agencies

Issued: August 21, 2000

Expires: August 31, 2001

Cross References

OMB Circular A-110, OMB Circular
A-102; Resident Initiatives Grant
Management Handbook (7490.01)
Notice 97-51, Notice 98-60
24 CFR 85.50, 24 CFR 84.71
24 CFR 761.35

Subject: Performance Reporting Requirements and Grant Closeout Procedures for the Public Housing Drug Elimination Program (PHDEP)

I. Purpose

The purpose of this Notice is to clarify the procedures to be followed by housing agencies in complying with performance reporting and monitoring requirements and in closing out a grant agreement for the PHDEP.

II. Background

In accordance with Code of Federal Regulations (CFR) at 24 CFR 761.35, recipients of PHDEP funds are required to manage and monitor the day-to-day operations of the grant and subgrant activities to assure compliance with applicable Federal requirements and achievement of performance goals. Recipients of PHDEP funds are required to report the performance (narrative and financial) of approved activities for each grant on a semi-annual basis and to report final performance (narrative and financial) at the end of the grant term.

The Code of Federal Regulations (CFR) at 24 CFR 85 establishes uniform grant requirements, including closeout procedures for state and local governments and subgrantees administering federal grants and applies to public housing agencies.

III. Performance Reporting Requirements

All recipients of PHDEP grants are required to submit a semi-annual performance report and a semi-annual financial status report (SF 269A) for each open and active grant (“open and active” refers to any grant not closed-out and any grant for which activities were undertaken during the reporting period). Semi-annual performance reports must be submitted by July 30th for the January-June reporting period and by January 31st for the July-December reporting period. The semi-annual performance reports must be submitted electronically by **Public Housing Agencies**. Upon access to the PHDEP web site, performance reports are to be transmitted through the PHDEP Semi-Annual Performance Reporting System (known as DERS). PHDEP grant funds will be **suspended** if reports are not received by the local Field Office by the deadline. The DERS will not accept the submission of electronic performance reports after the deadline unless approval, under special circumstances, and notification has been provided by HUD’s Community Safety and Conservation Division (CSCD).

The semi-annual financial status report (SF269A - not an electronic submission) must be submitted to the appropriate Field Office on or before the above referenced deadlines (July 30th and January 31st). As noted above, delinquent reports will result in the **suspension** of PHDEP funds.

IV. Monitoring and Evaluating Report Submissions

The DERS has been established, in part, to ensure a more uniform approach to performance reporting, data collection and analysis of the overall effectiveness of the PHDEP. To ensure that these goals are met, a 100% submission rate by grantees is required. Providing effective oversight to assure that grantees comply with the PHDEP regulations and meet this target is the responsibility of local Field Offices.

The local Field Offices are responsible for monitoring the submission of reports (performance and financial status reports) in advance of the deadline. This action allows Field Offices to work proactively with **public housing agencies** to ensure timely submissions, to identify potential problems with respect to submissions, and to work with CSCD Desk Officers in situations where extraordinary circumstances may arise. Any extraordinary circumstances identified by Field Offices must be documented and a copy of the narrative should be provided to the respective CSCD Desk Officer in cases where intervention may be warranted.

The local Field Offices are responsible for reviewing reports to ensure completeness and accuracy and to reconcile financial status reports with expenditures and obligations identified in the Line of Credit Control System (LOCCS). It is the responsibility of the local Field Office to acknowledge the receipt of reports utilizing the LOCCS (Screen M10), to identify all delinquent reports and utilizing LOCCS to indicate that report(s) are outstanding. Grantees with outstanding reports must be notified by the Field Office of their non-compliance (in writing) with the executed grant agreement and the requirement to “**suspend**” payments through the LOCCS until semi-annual report(s) are submitted. The **suspension in LOCCS** may only be removed

upon consultation with and approval by CSCD to accept late submissions. The format and method for submitting late reports **through DERS** will be determined by CSCD.

CSCD Desk Officers will also monitor the submission of reports in order to identify grantees that are in non-compliance as well as to identify patterns of non-compliance. As noted in Public Housing Reform Act, Section 586(b), “one-year renewable grants shall be contingent upon the Secretary finding, upon an annual or more frequent review, that the grantee agency is performing under the terms of the grant and applicable laws in a satisfactory manner and meets such other requirements as the Secretary may prescribe.”

V. Close-Out Actions by Grantees

Upon the completion of approved grant activities or no later than 90 days after the grant termination date (or revised termination date based on an approved extension or early termination by HUD for cause), grantees are required to submit an electronic “Close Out Report” through the DERS. In the event that the “Closeout” of grant activities occurs between reporting cycles, grantees should notify their field office (in writing) and submit the “Closeout” report in the next semi-annual reporting cycle.. (It should be noted that the complete close out process is contained in Section VI of this Notice.) This report can be utilized in meeting the requirements found at 24 CFR 761.35 and 24 CFR 85 for the submission of a “Final Performance Report” and the “Post Grant Report” identified in the Resident Initiatives Grant Management Handbook (7940.01). In order to meet these requirements, the DERS “Close Out Report” must cover the entire term of the grant and contain the information identified below. Currently, the DERS only provides two sections (“Problems Encountered” and “Success Stories/Best Practices”) in which to capture narrative descriptions/analysis for each grant that is scheduled to be closed out. Therefore, the additional narrative information required by regulations are to be included in the two sections referenced. Please note that the DERS has a capacity of 1200 characters per section, therefore, grantees must be concise in developing a narrative analysis. Future enhancements to the DERS will incorporate the required narrative sections to the “Close Out Report”

Problems Encountered

1. An evaluation of the grantee’s overall performance against its plan;
2. Any change or lack of change in crime or other indicators drawn from the applicant’s plan assessment and an explanation of any difference;
3. A discussion of any problems encountered in implementing the plan and how they were addressed and;
4. Any change or lack of change in crime or other indicators drawn from the applicant’s plan assessment and an explanation of any difference.

Success Stories/Best Practices

1. Successful completion of any strategy component identified in the grant’s plan;

2. A discussion of the grantee's efforts in encouraging resident participation and;
3. A description of any other programs that may have been initiated, expanded or deleted as a result of the plan, with an identification of the resources and the number of people involved in the programs and their relationship to the plan.

In addition to the "Close Out Report", grantees are required to submit a final financial status report (SF 269A). This report will be a cumulative summary, from the date of the grant agreement to the termination date of the grant agreement, and include expenditures to date and the exact balance of unexpended funds. This report must be submitted to the local HUD office within 90 days of the termination of the grant (or upon completion of approved grant activities).

Grantees must ensure that the PHDEP program (scheduled to be closed out) is included as part of the housing agency's overall independent public audit. The independent auditor verifies that all PHDEP expenditures were authorized and determines if the grantee owes or is due any funds for the grant period. Upon completion and issuance of the audit report, a copy must be provided to the local Field Office. Any PHDEP-related findings contained in the audit report must be resolved by the grantee in cooperation with local Field Offices.

VI. Close Out Actions by Field Offices

The Director, Office of Public Housing is responsible for all administrative actions and controls necessary for a timely closeout of PHDEP grant agreements. To ensure that all closeout requirements are met, the following actions shall be taken:

1. At least 60 calendar days (45 days for grants terminated for cause) before the grant termination date, the Field Office shall review the grant file and DERS and shall remind grantees of:
 - the grant termination date;
 - time limits on the expenditure of funds;
 - reporting submission requirements and;
 - records retention requirements
2. No later than 90 calendar days after the grant termination date, Field Offices will review the contents of the official grant file against the closeout requirements and:
 - Make sure all required reports have been received. If not, notify grantee of overdue reports and grant closeout requirements. Enforcement of regulatory requirements are detailed in CFR Part 85.43.
3. No later than 120 calendar days after receipt of the final reports, the Field Office shall review reports to ensure that:

- a. The final narrative report or "Close Out Report" reflects completion of the program with respect to the purpose of the activities authorized;
- b. The final financial status report (SF 269A) is analyzed to determine if the amounts are in excess of the budgeted amounts approved for the project activities (these amounts must be reconciled). The amount of funds approved and drawn down, as reflected in LOCCS, shall be reconciled with the expenditures as reported on the SF 269A. Notify the grantee (in writing) that any excess funds are to be remitted immediately to HUD by wire transfer (for amounts equal to or greater than \$2,000) or by check for lesser amounts (payable to U.S. Department of HUD). If all authorized funds have not been drawn, the remaining funds shall be de-obligated (recaptured).

Once the final financial status report (SF269A) has been approved, the Field Office shall issue a close out letter to the grantee along with an executed grant agreement amendment (HUD 1044). The grant agreement amendment will reflect the amount of excess funds remitted or the amount of funds de-obligated (recaptured). These documents along with the approved SF269A shall be forwarded to the CFO Accounting Center (Ft. Worth, TX). The CFO will establish an account receivable for any amount due to HUD or de-obligate (recapture) any unused grant funds as applicable. The Field Office shall enter a "pre-audit" date into LOCCS upon approval of the final reports.

At the next audit of the grantee, the independent auditor's report must be reviewed by the field Office to determine if there were any findings related to the grant. Government auditing standards will determine the extent of audit procedures performed on this grant and the reports, if any, required of the auditor. Any findings identified with respect to PHDEP shall require follow-up and action by the Field Office to include setting up an account receivable for unallowed costs or paying the grantee for allowed costs still due. Both of these actions must be done through the CFO. If there are no findings contained in the report, the Field Office shall send a letter to the CFO instructing them to enter the post-audit end date without any further modifications.

VII. Records Retention

Grant files should be established and maintained for each grantee by Field Offices and remain at the official file stations for one year after final payment. Files may be retired to the Federal Records Center (FRC) any time after the one year period. The disposition of scheduled program records shall be in accordance with the current issue of HUD Handbook 2225.6, HUD records disposition schedules.

VIII. Paperwork Reduction Act Statement

The information collection requirements contained in this notice have been approved by the Office of Management and Budget under the Paperwork Reduction Act of 1995 (44 U.S.C. 3501-3520), and assigned OBM control number 2577-0124. An agency may not conduct or sponsor, and a person is not required to respond to, a collection of information unless the collection displays a valid control number.

/s/

Harold Lucas, Assistant Secretary
for Public and Indian Housing

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

Special Attention of: Secretary's Representatives, State/Area Coordinators, 2000 Directors of Public Housing, Executive Directors of Public Housing 2001	NOTICE PIH 2000-39 (HA) Issued: August 23, Expires: August 31,
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Subject: Annual Resident Survey for the Public Housing Drug Elimination Program (PHDEP)

1. **PURPOSE:**

This notice provides instructions and clarification of existing policy for conducting Annual Resident Surveys for the Public Housing Drug Elimination Program (PHDEP).

2. **BACKGROUND:**

In the Federal Register Notice FR 4451N-03 published May 12, 1999, Withdrawing and Reissuing the FY 1999 Notice of Funding Availability for the Public Housing Drug Elimination Program, housing agencies were required to include in their plans and budget, contracting with an independent survey organization to conduct an annual resident survey in the targeted development(s) or area(s), the results of which were to be reported in the PHDEP Semi-Annual Performance Reporting System. PHDEP grantees were also required to conduct an Annual Survey of Residents in PHDEP-targeted development(s) or area(s) (using questions provided in Appendix 1 of the Guidebook) to survey enough households to achieve 400 completed interviews.

3. **POLICY CHANGE:**

Effective immediately, housing agencies are instructed to conduct a Statistical Sampling Survey of the adult residents (one per household) who have lived in the PHDEP-targeted area(s) for a year or more at the time of the interview (survey). Housing agencies will not be required to hire an

independent survey organization to conduct an Annual Resident Survey in the targeted

development(s)/area(s) as prescribed in the Federal Register Notice FR 4451N-03 and the PHDEP Semi-Annual Performance Reporting System Guidebook.

4. **SURVEY GUIDELINES:**

Grantees are required to conduct an annual survey of residents of PHDEP-targeted development(s) or area(s). Annual survey results must be reported in the January Semi-Annual PHDEP Performance Reporting System.

In the administration of the resident survey, it is important to achieve a 25 percent response rate and to consider the sources of error in order to yield accurate results. There are four key sources of error to consider when surveys are conducted. The first type of error is Coverage error which occurs when the list from which a sample is drawn is incomplete. The second type of error is Sampling error. This error occurs when researchers survey only a subset or a sample of all the available people. The third type of error is Measurement error. Measurement errors occur when the answer to a given question is inaccurate or cannot be compared in any useful way to other answers. The fourth type of error is the non response error. This error occurs when a significant number of people in the sample do not respond to the survey.

To minimize Coverage error:

Make sure everyone in the targeted development(s) has an equal or known chance of being selected for the sample.

Make sure the characteristics of the people selected in the sampling process, but who do not participate in the

survey, are similar to the characteristics of those who do.

To minimize Sampling error:

To be eligible for the survey, a respondent in a household should be an adult and have lived in the PHDEP-targeted development(s) for at least one year. Only one person can be surveyed per household. Make sure the sample is large enough to yield the desired level of precision. *The sample size is defined as the number of complete and usable surveys.* The table below provides a breakdown of the required sample size based on the number of units/households

in the PHDEP targeted development(s) and the required number of surveys to be administered in order to yield the appropriate sample size.

Public Housing Survey Information Table
(based on a 25% response rate)

Number of Units	Number of Surveys to Send	Number of Responses Needed
1	1	1
2	2	2
3	3	3
4	4	4
5-6	5	5
7	7	6
8-9	8	7
10-11	10	8
12-13	12	9
14-16	14	10
17-18	17	11
19-21	19	12
22-25	22	13
26-29	26	14
30-34	30	15
41-47	41	17
48-56	48	18
57-67	57	19
68-81	68	20
82-101	82	21
102-130	88	22
131-175	92	23
176-257	96	24
258-449	100	25
450-1,461	104	26
>1,481*	108	27

*The Number of Surveys to Send stays the same after 1,481 households.

To minimize Measurement errors:

There are four sources of measurement error. They are the survey method, the questionnaire, the interviewer and the respondent. For purposes of the annual PHDEP survey, the questions are already provided in Appendix 1 of the PHDEP Semi Annual Performance Reporting System Guidebook. Therefore this section will address minimizing errors based on the survey method.

There are three primary survey methods that can be employed. They are 1) the mail survey, 2) telephone interviews, or 3) face to face interviews. The method selected should be the most cost effective. The

recommended approach is mail followed by telephone or
face to face interviews. When

using this multi-method approach, ensure that the questions are asked the same way by the interviewer and that the respondents are not asked the questions in a leading manner.

To minimize Non response errors:

It is important to keep an accurate list of the households to whom surveys were mailed. Cross reference the survey responses received daily. After two weeks begin telephone follow up and schedule telephone and face to face interviews.

5. **FOR FURTHER INFORMATION AND TECHNICAL ASSISTANCE:**

If you have questions regarding survey procedures or would like additional advice, please contact HUD's Drug Information Strategy Clearinghouse (DISC) at 1 (800) 955-2232.

_____/s/_____
Harold Lucas
Assistant Secretary for Public
and Indian Housing

PHA Plan Table Library

Component 7 Capital Fund Program Annual Statement Parts I, II, and II

Annual Statement Capital Fund Program (CFP) Part I: Summary

Capital Fund Grant Number FFY of Grant Approval: (MM/YYYY)

Original Annual Statement

Line No.	Summary by Development Account	Total Estimated Cost
1	Total Non-CGP 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	
17	1495.1 Relocation Costs	
18	1498 Mod Used for Development	
19	1502 Contingency	
20	Amount of Annual Grant (Sum of lines 2-19)	
21	Amount of line 20 Related to LBP Activities	
22	Amount of line 20 Related to Section 504 Compliance	
23	Amount of line 20 Related to Security	
24	Amount of line 20 Related to Energy Conservation Measures	

**Annual Statement
Capital Fund Program (CFP) Part II: Supporting Table**

Development Number/Name HA-Wide Activities	General Description of Major Work Categories	Development Account Number	Total Estimated Cost

Annual Statement
Capital Fund Program (CFP) Part III: Implementation Schedule

Development Number/Name HA-Wide Activities	All Funds Obligated (Quarter Ending Date)	All Funds Expended (Quarter Ending Date)

Optional Table for 5-Year Action Plan for Capital Fund (Component 7)

Complete one table for each development in which work is planned in the next 5 PHA fiscal years. Complete a table for any PHA-wide physical or management improvements planned in the next 5 PHA fiscal year. Copy this table as many times as necessary. Note: PHAs need not include information from Year One of the 5-Year cycle, because this information is included in the Capital Fund Program Annual Statement.

Optional 5-Year Action Plan Tables				
Development Number	Development Name (or indicate PHA wide)	Number Vacant Units	% Vacancies in Development	
Description of Needed Physical Improvements or Management Improvements		Estimated Cost		Planned Start Date (HA Fiscal Year)
Total estimated cost over next 5 years				

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FINANCIAL STATUS REPORT

(Short Form)

(Follow instructions on the back)

1. Federal Agency and Organizational Element to Which Report is Submitted		2. Federal Grant or Other Identifying Number Assigned By Federal Agency		OMB Approval No. 0348-0039	Page _____ of _____ pages
3. Recipient Organization (Name and complete address, including ZIP code)					
4. Employer Identification Number		5. Recipient Account Number or Identifying Number		6. Final Report <input type="checkbox"/> Yes <input type="checkbox"/> No	
7. Basis <input type="checkbox"/> Cash <input type="checkbox"/> Accrual					
8. Funding/Grant Period (See Instructions) From: (Month, Day, Year)		To: (Month, Day, Year)		9. Period Covered by this Report From: (Month, Day, Year)	
To: (Month, Day, Year)		To: (Month, Day, Year)			
10. Transactions			I Previously Reported	II This Period	III Cumulative
a. Total outlays					
b. Recipient share of outlays					
c. Federal share of outlays					
d. Total unliquidated obligations					
e. Recipient share of unliquidated obligations					
f. Federal share of unliquidated obligations					
g. Total Federal share (Sum of lines c and f)					
h. Total Federal funds authorized for this funding period					
i. Unobligated balance of Federal funds (Line h minus line g)					
11. Indirect Expense		a. Type of Rate (Place "X" in appropriate box) <input type="checkbox"/> Provisional <input type="checkbox"/> Predetermined <input type="checkbox"/> Final <input type="checkbox"/> Fixed			
b. Rate		c. Base		d. Total Amount	
e. Federal Share					
12. Remarks: Attach any explanations deemed necessary or information required by Federal sponsoring agency in compliance with governing legislation.					
13. Certification: I certify to the best of my knowledge and belief that this report is correct and complete and that all outlays and unliquidated obligations are for the purposes set forth in the award documents.					
Typed or Printed Name and Title				Telephone (Area code, number and extension)	
Signature of Authorized Certifying Official				Date Report Submitted	

FINANCIAL STATUS REPORT
(Short Form)

Please type or print legibly. The following general instructions explain how to use the form itself. You may need additional information to complete certain items correctly, or to decide whether a specific item is applicable to this award. Usually, such information will be found in the Federal agency's grant regulations or in the terms and conditions of the award. You may also contact the Federal agency directly.

Item	Entry	Item	Entry
1, 2 and 3.	Self-explanatory.		indirect expense incurred, the value of in-kind contributions applied, and the net increase or decrease in the amounts owed by the recipient for goods and other property received, for services performed by employees, contractors, subgrantees and other payees, and other amounts becoming owed under programs for which no current services or performances are required, such as annuities, insurance claims, and other benefit payments.
4.	Enter the employer identification number assigned by the U.S. Internal Revenue Service.		
5.	Space reserved for an account number or other identifying number assigned by the recipient.		
6.	Check yes only if this is the last report for the period shown in item 8.		
7.	Self-explanatory.	10b.	Self-explanatory.
8.	Unless you have received other instructions from the awarding agency, enter the beginning and ending dates of the current funding period. If this is a multi-year program, the Federal agency might require cumulative reporting through consecutive funding periods. In that case, enter the beginning and ending dates of the grant period, and in the rest of these instructions, substitute the term "grant period" for "funding period."	10c.	Self-explanatory.
9.	Self-explanatory.	10d.	Enter the amount of unliquidated obligations, including unliquidated obligations to subgrantees and contractors. Unliquidated obligations on a cash basis are obligations incurred, but not yet paid. On an accrual basis, they are obligations incurred, but for which an outlay has not yet been recorded. Do not include any amounts on line 10d that have been included on lines 10a, b or c. On the final report, line 10d must be zero.
10.	The purpose of columns, I, II and III is to show the effect of this reporting period's transactions on cumulative financial status. The amounts entered in column I will normally be the same as those in column III of the previous report in the same funding period . If this is the first or only report of the funding period, leave columns I and II blank. If you need to adjust amounts entered on previous reports, footnote the column I entry on this report and attach an explanation.	10e, f, g, h and i.	Self-explanatory.
10a.	Enter total program outlays less any rebates, refunds, or other credits. For reports prepared on a cash basis, outlays are the sum of actual cash disbursements for direct costs for goods and services, the amount of indirect expense charged, the value of in-kind contributions applied, and the amount of cash advances and payments made to sub-recipients. For reports prepared on an accrual basis, outlays are the sum of actual cash disbursements for direct charges for goods and services, the amount of	11a.	Self-explanatory.
		11b.	Enter the indirect cost rate in effect during the reporting period.
		11c.	Enter the amount of the base against which the rate was applied.
		11d.	Enter the total amount of indirect costs charged during the report period.
		11e.	Enter the Federal share of the amount in 11d.
		Note:	If more than one rate was in effect during the period shown in item 8, attach a schedule showing the bases against which the different rates were applied, the respective rates, the calendar periods they were in effect, amounts of indirect expense charged to the project, and the Federal share of indirect expense charged to the project to date.

APPENDIX V. REMOTE MONITORING CHECKLIST

This checklist will help you maintain an up-to-date picture of PHDEP grantees' programs, using the Semi-Annual Performance Report and the other documents and resources available in the Field Office. It is also designed as a guide to preparing for onsite monitoring visits.

Documents you will need:

PHDEP/PHA plan

PHDEP grant agreement

HUD-1044 and the Grantee's PHDEP Grant agreement

Latest Financial Status Report (SF 269A)

Latest Semi-Annual Performance Report

Field review reports

Independent Public Audit of the PHA

Financial Administration

1. Compare total outlays or disbursements from the PHA's latest Financial Status Report (SF 269A), by budget line item (BLI) with funds drawdowns in LOCCS (use Screen Q13). Add LOCCS drawdowns made since the date of the SF 269A. Do they match? Are any BLIs behind in anticipated spending? A large disparity could signal slow implementation.
2. Are there open audit findings in this grant? Yes__ No__
3. What is the timetable for resolving the findings?

4. Has this grantee experienced continuing problems in grant administration? Yes__ No__ Explain. (Review notes and field monitoring reports in the program files to identify possible continuing problems with the program, such as lack of financial documentation and delays in closing out grants.) _____
5. Get the PHA's grant agreement and HUD-1044. Are there grant conditions to be met? Yes__ No__ Describe. _____
6. Have grantee drawdowns been automatically edited by LOCCS? Yes__ No__ Describe the reason(s). _____

7. Ask for financial documentation such as invoices, memoranda of understanding, and other records when you have questions and are unable to make a site visit. List documents submitted and describe results of document review.
-

Program Operations

8. Review the latest Financial Status Report (SF 269A). Did the PHA obligate at least 50 percent of PHDEP grant funds within 12 months after grant execution? Yes__ No__
9. Did the grantee disburse at least 25 percent of the PHDEP grant funds within 12 months after grant execution? (add any new disbursements shown in LOCCS to the SF 269A outlays). Yes__ No
10. Does the grantee have a history of slow program implementation as reflected in previous field reviews? Check with other HUD staff on program implementation in other HUD programs. Yes__ No__
11. Review each BLI and program activity listed in the PHDEP/PHA plan and the PHA's Semi-Annual Performance Report. Compare goals in the current Semi-Annual Performance Report with the previous report and with the PHDEP/PHA plan. Are any activities behind schedule for participants and participant hours delivered (You may use the optional tally sheets at the end of this appendix for this purpose.) Check for explanation of delays in the Milestones section. Note activities needing further investigation during the next onsite monitoring visit.
12. Is the PHA late in filing its Semi-Annual Performance Reports and/or Financial Status Reports? Call to ask why and follow up with questions during the onsite monitoring visit if necessary. Yes__ No__
13. If the PHA has its own police department, the PHDEP/PHA plan will list the services above baseline services they are to provide. Take this list on your on-site visit for reference. (*Baseline services* are ordinary and routine services provided to residents as a part of the overall city and countywide deployment of police resources, including 911 communications, processing calls for service, routine patrol officer responses to calls for service, and investigative followup of criminal activity.)
14. Is the PHA using PHDEP funds for physical improvements to deter crime? Are these improvements on schedule? Yes__ No__

15. Review the project file and ask others in the Field Office whether the grantee has had a procurement practices review recently. (See Handbook 7460.7 REV-2, *Field Office Monitoring of Public Housing Authorities (PHAs)*, Appendix 4: Procurement and Contract Administration. Also see appendix VII of this *Guide* for a summary of required procurement procedures/documents.) If the grantee has not had a procurement review, allot some time to check procurement practices for service contracts in PHDEP during the next onsite visit.

Program Effectiveness

16. Does the Semi-Annual Performance Report include measurable (quantifiable) goals for each activity? Note where measurable goals are lacking for further discussion on a site visit. (You may use the optional tally sheets at the end of this appendix to summarize your observations.)
17. Compare goals for each activity in the Semi-Annual Performance Report with actual results and note where goals have not been met. Review the Milestones section to see whether the grantee explains any problems in implementation. Note the problems and follow up with a phone call and/or site visit.
18. Does the PHA track crime for PHDEP-targeted properties (Level I), for the PHA as a whole (Level II), or at the jurisdiction level (Level III) as noted on the first page of the Semi-Annual Performance Report? Yes__ No__
19. Have crime-related statistics in the Semi-Annual Performance Report reflected a decrease from the previous report? Yes__ No__
20. Have crime-related statistics in the Semi-Annual Performance Report reflected a decrease from the baseline year? (For PHAs that do not track their public housing crimes, look at the jurisdiction baseline for Part I crime.) Yes__ No__
21. Does the Semi-Annual Performance Report show that the grantee has met its goals for Part I crime reduction during the first year? If the report covers the first six months of the grant, has the grantee met at least half of its yearly goal for Part I crime reduction? Note problem areas to discuss with PHA staff.
Yes__ No__

22. Does the Semi-Annual Performance Report show that the grantee has met its goals for Part II crime reduction and other crime-related data (drug abuse arrests and police calls) during the first year? If the report covers the first 6 months of the grant, has the grantee met at least half of its yearly goal for Part II crime reduction? Note problem areas to discuss with PHA staff. Yes__ No__
23. Look at the latest annual Resident Survey conducted as part of the Semi-Annual Performance Report. Have resident concerns about safety increased, decreased, or remained the same compared with the previous survey? If they have increased or remained the same, you will need to research why the PHDEP program has not improved the perception of crime.
24. Does the PHDEP/PHA plan state how the PHA will monitor the activities of its service providers and its own PHA-delivered PHDEP activities? Yes__ No__
25. Does the PHDEP/PHA plan indicate the PHA's community partners?

Optional Tally Sheets for Program Operations/Implementation

These optional tables can help you to summarize a PHA's success in implementing its program activities for youth and for adults, families, and communities, and in meeting its goals for drug and violent crime prevention. They can make it easier to discuss Field Office concerns with PHA representatives during an onsite visit, and provide documentation for the files on your evaluation of progress in various areas of the PHDEP/PHA plan.

PHDEP-Supported Activities for Youth	Grantee Provided Number of Participants and Hours of Participation in Activities? (Y or N)	Activity Implementation Is on Schedule? (Y or N)
Substance abuse education		
Other education		
Recreational/cultural activities		
Employment readiness/job placement		
Employment of residents with PHDEP funding		
Community organizing/mobilization		
Drug treatment/drug intervention		
Drug treatment/counseling		

PHDEP-Supported Activities for Adults, Families, and Communities	Grantee Provided Number of Participants and Hours of Participation in Activities? (Y or N)	Activity Implementation Is on Schedule? (Y or N)
Substance abuse education		
Other education		
Recreational/cultural activities		
Employment readiness/job placement		
Employment of residents with PHDEP funding		
Community organizing/mobilization		
Drug treatment/drug intervention		
Drug treatment/counseling		

Optional Tally Sheets for Program Effectiveness

For PHDEP-Supported Activities Directed Specifically at Youth	PHA Has Established Measurable/Quantified Goals? (Y or N)	Has Met Quantified Goals? (Y or N)
Substance abuse education		
Other education		
Recreational/cultural activities		
Employment readiness/job placement		
Employment of residents with PHDEP funding		
Community organizing/mobilization		
Drug treatment/drug intervention		
Drug treatment/counseling		

PHDEP-Supported Activities for Adults, Families, and Communities	PHA Has Established Measurable/Quantified Goals? (Y or N)	Has Met Quantified Goals? (Y or N)
Substance abuse education		
Other education		
Recreational/cultural activities		
Employment readiness/job placement		
Employment of residents with PHDEP funding		
Community organizing/ mobilization		
Drug treatment/drug intervention		
Drug treatment/counseling		

Optional Tally Sheets for Crime Reduction Efforts

Crime Level Evaluation for PHAs Measuring Crime at Level II or Level III

Crime and Crime-Related Category	Increase or Decrease in Crime-Related Data	Met Goal/Did Not Meet Goal, or N/A if No Goal Set
Homicide		
Robbery		
Aggravated assault		
Burglary		
Auto theft		
Arson		
Drug abuse violations		
Simple assault		
Vandalism		
Weapons violation		
Drug arrests—felony		
Drug arrests—misdemeanor		
Domestic violence calls		

Law Enforcement Activities	Grantee Provided Number of Participants and Hours of Participation in Activities or Information on Amount Spent for Physical Improvements? (Y or N)	Activity Implementation Is on Schedule? (Y or N)
Voluntary tenant patrols		
Law enforcement and security personnel		
Physical improvements to reduce crime		
Gun buyback		
Other PHDEP initiatives		

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APPENDIX VI. ONSITE MONITORING CHECKLIST

Part I: Financial Administration of PHDEP

Date of visit _____

PHA name _____

PHDEP contact number _____

Field staff _____

Grant number _____

Service provider/contractor _____

Bring these documents/reviews from your remote monitoring review:

- ◆ NOFA for the year the grant(s) was funded.
- ◆ Copies of OMB Circular A-87, Cost Principles for State, Local, and Tribal Governments, and OMB Circulars 110 and 122.
- ◆ PHA's grant agreement.
- ◆ Findings from review of grantee's file, including open audit and/or HUD review findings, grant conditions, and problems with closeouts.

Request from the PHA:

- ◆ Documents that show agreements with local organizations, such as memoranda of understanding, contracts, agreements, and firm letters of commitment.
- ◆ Invoices from service providers for several months.
- ◆ Supporting documentation for expenditures made using PHDEP funds.
- ◆ Cancelled checks showing payment to contractors for several months.
- ◆ Document showing the level of baseline services from law enforcement.
- ◆ PHA financial records showing cash disbursements for the program.
- ◆ Any monthly or weekly participation reports that service providers submit to the PHA.

You will need to complete questions 1 through 14 for each service provider you monitor. Questions 15 through 17 apply only to the basic financial management functions in PHDEP. You will need to talk to the PHDEP coordinator identify the major service providers for the PHDEP program. It usually is best to focus on contracts with the highest risk factors. If a resident organization has contracted with the PHA to deliver a security and substance abuse program, you will need to review their records as well.

1. Does the contract or agreement with the service provider clearly state the services to be provided, number of hours of service, number of participants expected to participate, and staff to provide services? Yes____ No_____
2. Examine invoices from the service provider and compare with cancelled checks and cash disbursement records from the PHA. Do they match?
Yes____ No_____
3. Examine documents in which the PHA records cash disbursements. Identify the payments made to contractors from cancelled checks. Were any non-PHDEP expenses charged to PHDEP accounts? Yes____ No_____
4. Does the invoice specify the service, personnel, and hours of work provided? Is it clear what the funds were spent on? Yes____ No_____
5. Are the expenditures on the invoices you have examined eligible under PHDEP and OMB regulations? Check the NOFA for the year in which the grant was funded.

6. Examine the PHA's journal recording expenditures in PHDEP. Can they provide supporting documentation for particular expenditures? Can you identify the purpose for which the funds were spent?_____
7. Compare the dates when disbursements were made to the dates of the draw-downs through LOCCS. Were payments made within 7 calendar days after receiving funds through LOCCS? (Refer to part 3 of this guide for regulations on holding drawdowns.)
8. Were excess amounts drawn down? Yes____ No_____
9. Does the PHA have an agreement or memorandum of understanding (MOU) with the local law enforcement agency? (If no security activities are being funded, no MOU is required; skip to Question 16.) Yes____ No_____

10. Does the PHA have a document listing the baseline services that the local law enforcement agency provides to the PHA? Baseline services are defined as ordinary and routine services provided to the residents as a part of the overall city and countywide deployment of police resources, including 911 communications, processing calls for service, routine patrol officer responses to calls for service, and investigative followup of criminal activity.
11. Does the MOU specify the additional services the law enforcement agency will provide under the agreement (number of hours, location, services, full-time equivalent hours), and the method of billing? Yes___ No___
12. Describe what services in addition to the baseline services the local law enforcement agency is providing to the PHA. _____
13. Examine invoices from the local law enforcement agency to the PHA. Are the services provided clearly stated on the invoice? Yes___ No___
14. Does it appear that excessive overtime is being charged to the PHA (especially for security services)? Yes___ No___
15. If the agency has any open audit or Field Office review findings or concerns, how are they being addressed? _____
16. Do the PHA's cash disbursement records show that indirect costs, which are ineligible, were charged to PHDEP? (Indirect costs shall be classified within two broad categories: *Facilities* and *Administration*. *Facilities* is defined as depreciation and use allowances on buildings, equipment, and capital improvement; interest on debt associated with certain buildings, equipment, and capital improvements; and operations and maintenance expenses. *Administration* is defined as general administration and general expenses such as the director's office, accounting, personnel, library expenses, and all other types of expenditures not listed specifically under one of the subcategories of *Facilities* (including cross allocations from other pools, where applicable; from OMB Circular A-122 as revised, September 30, 1999).
17. If there were any grant agreement conditions, how are they being addressed?

Part II: Program Operation and Reporting

Date of visit _____

PHA name _____

PHDEP contact number _____

Field staff _____

Grant number _____

Service provider/contractor _____

Bring these items:

- ◆ PHDEP/PHA plan.
- ◆ Latest Semi-Annual Performance Report.
- ◆ Percentage of PHA's PHDEP grant obligated by end of the first year _____
(from the SF 269A).
- ◆ Percentage of PHA's PHDEP grant disbursed by end of first year _____
(from the SF 269A).
- ◆ Unresolved audit or field review items.
- ◆ Charts you have made detailing activities that are behind schedule and PHA goals that have not been achieved.
- ◆ Other concerns from your remote monitoring review.

Request from the PHA:

- ◆ Contractors' monthly, weekly, or biweekly activity reports, including identity of participants, location of activity, number of service hours provided, and staff providing service.
- ◆ Monitoring plan.
- ◆ Evaluation plan for the program.
- ◆ Schedule of activities.
- ◆ Contracts, agreements, or letters from service providers.
- ◆ Findings from review of grantee's file, including open audit and/or HUD review findings, grant conditions, and problems with closeouts.

You will need to complete questions 18 through 23 for service providers whom you decide to monitor. The remaining questions in this part do not relate specifically to one service provider.

18. Has the PHA signed agreements with all subcontractors needed to perform activities included in the PHDEP/PHA plan? Yes___ No___
19. Does each contract or agreement with a subcontractor indicate how the PHA will monitor the contract? Yes___ No___
20. Does the Semi-Annual Performance Report indicate that any program activities are behind schedule? Yes___ No___
21. Explain any implementation delays _____
22. What is the PHA's system for monitoring its subcontractors?

23. Has the PHA complied with competitive proposal, sealed bid, or alternative procurement regulations in obtaining service providers? (Required by 24 C.F.R. P.85. See appendix 4 of Handbook 7460.7 *Field Office Monitoring of Public Housing Authorities*, for complete procurement monitoring guidelines.)
24. What steps are being taken to close out these projects? _____
25. When is closeout expected _____
26. Determine the reasons for delay in closing out grants and how HUD can help the process. _____
27. If the PHA funds contract security guards with PHDEP, does the contractor have a policy manual specifically governing the activities and duties of its personnel on public housing property? _____
28. Are there other anticrime and antidrug programs operating in the area such as Operation Safe Home, Weed and Seed, and Safe Neighborhoods Action Program? Yes _____ No _____
29. Is the PHA cooperating with these activities? Yes _____ No _____
30. Does the PHA maintain written documentation of coordination with other law enforcement efforts? Yes _____ No _____

31. Is there written evidence the PHA consulted with local law enforcement officials in preparing the plan, such as minutes from meetings? Yes____ No_____

32. If the PHA has a police department, ask the PHDEP coordinator to set up a meeting with a representative of the PHA's police department. Ask if you can observe some of the activities of the security staff and observe if possible. Observations: _____

33. Ask how the PHA's police department coordinates with the local law enforcement agency. _____

Part III: Program Effectiveness

Date of visit _____

PHA name _____

PHDEP contact number _____

Field staff _____

Grant number _____

Bring these items:

- ◆ PHDEP/PHA plan.
- ◆ Latest Semi-Annual Performance Report.
- ◆ Charts to help you track performance.
- ◆ Description of the Drug Elimination Technical Assistance Program (DETAP).

Request from the PHA:

- ◆ Latest program evaluation of PHDEP.
- ◆ Service provider agreements.

34. At what level does the PHA measure crime: Level I, II, or III? What hinders the PHA from obtaining development-specific crime data? _____

35. Has the PHA or HUD requested assistance through the DETAP program?

36. Compare current reporting period figures with those from the baseline year (give reference from previous year) in each of the crime and crime-related categories. If statistics for a particular category have remained the same or increased, ask the PHDEP program director to explain why and show what is being done to improve the situation. _____

37. If the PHA's crime-reduction goals in the Semi-Annual Performance Report are not being met, ask what process the grantee will go through to evaluate why and how it will improve the situation.

38. Are the PHA's goals for drug prevention activities for youth and for adults, families, and communities in the Semi-Annual Performance Report measurable (quantitative) and attainable? _____
39. Which ones are not? _____
40. Examine one or more of the PHA's service provider agreements to determine whether the service provider is required to provide some evaluation of the effect of the services delivered on the community or individuals served. Explain: _____
41. What steps is the PHA taking to make its goals measurable? _____
42. Ask whether the PHA can use help in translating its strategic plan into measurable goals and whether it would like to be considered for DETAP: _____
43. Ask the PHA how it currently evaluates program activities and how the information is used to improve the program. Minutes of meetings and plan documents are helpful.
Describe: _____
44. If the annual resident safety survey showed that a larger percentage of residents feel less safe out alone at night walking in their development or immediate neighborhood than a year ago, or if other questions indicate that people do not feel as safe as before, ask the PHA why it believes this has occurred.
45. Ask to see the original completed resident survey forms. _____
46. *Site Visits:* Onsite monitoring should include a visit to two or more program delivery sites to observe a variety of program activities and meet with resident leaders. Talk with residents about how satisfied they feel with the activities and what improvements/expansions they would like to see. Ask specifically about whether they feel safer in their neighborhoods than they did previously. Talk with residents of different ages.
47. *Discussions with resident leaders:* Ask to speak with resident leaders who have been involved in the PHDEP planning and evaluation process. Ask how well they are satisfied with the procedures for planning and evaluating the program, and with the program results. Ask if they believe the program has increased the perception of safety in the community (this question is especially important if the resident survey does not show positive change).

- 48. *Discussion with law enforcement contact person:* If possible, meet with the law enforcement agency's contact person and discuss any law enforcement problems in the program, such as data quality or concerns with other aspects of the law enforcement partnership.
- 49. *Discussion with the executive director:* As part of your closing meeting, you will want to discuss any concerns your team may have regarding measurement of the impact of PHDEP and how it could be improved.

Notes

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APPENDIX VII. PROCUREMENT CHECKLIST

Procurement regulations ensure that there is free and open competition in contracting for services and that the PHA gets the best price and the best work for its dollar. Procurements of more than \$100,000 require a sealed bid or competitive proposal process. Exceptions to this rule may include emergency procurements and procurements directed toward resident businesses.

Sealed bids are most often used in soliciting contracts for supplies and construction. When soliciting sealed bids, grantees must

- ◆ Provide a rationale for using the sealed bid procurement method.
- ◆ Prepare an independent cost estimate.
- ◆ Maintain records of public advertisements of the invitation for bid, including copies of the advertisement and where and when it ran.
- ◆ Place notices in the legal notices section or another prominent place in the newspaper and provide the place, date, and time of the bid opening; solicitation number; a point of contact for questions or requests for solicitations; and a brief description of the needed service.
- ◆ Include notice of any prebid conferences in the Invitation to Bid.
- ◆ Maintain solicitation mailing lists for the files.
- ◆ Prepare a bid abstract that includes the names of all bidders and their bids.
- ◆ Prepare price analysis sheets comparing the independent cost estimate with the bids received.

The *competitive proposal* method is often used when awarding professional services contracts. When soliciting competitive proposals, grantees must

- ◆ Circulate a Request for Proposals (RFP).
- ◆ Include the requirements for Section 3 in the RFP. (e.g., “Section 3 requires that to the greatest extent feasible, opportunities for training and employment be given lower income residents of the project area and contracts for work in connection with the project be awarded to business concerns which are located in, or owned in substantial part by, persons residing in the area of the project.”)
- ◆ Maintain solicitation mailing lists for the files.
- ◆ Place notices in the legal notices section or another prominent place in the newspaper and provide the place, date, and time when proposals were received, and the date, address, and time of any preproposal conference.

- ◆ Develop a technical evaluation plan containing selection procedures and criteria for evaluating proposals. The evaluation plan should include an analysis of cost items within proposals (e.g. staff-hours, rates, overhead, equipment, space, and supervision).
- ◆ Notify unsuccessful offerors in writing of the reasons why they were not selected. (There must be an opportunity for a debriefing meeting.)
- ◆ Document the basis for choosing one offeror over the others.
- ◆ Maintain a record of negotiations with offerors.

When drawing *emergency contracts*, grantees must

- ◆ Record the justification for the emergency purchases.
- ◆ Document efforts to find competitive sources.
- ◆ Obtain Field Office approval for the procurement.
- ◆ Conduct a price analysis before awarding the contract to be sure that proposed prices are in line with prices paid in the past for similar goods and services.
- ◆ Document negotiations, pre-award discussions, and proposal amendments that occur as part of the procurement process.

When using *alternative procedures for procurement to encourage resident businesses*, grantees must:

- ◆ Limit contracts awarded under this procedure to a total of \$500,000.
- ◆ Record the justification for using this particular method of procurement.
- ◆ Prepare an independent cost estimate.
- ◆ Retain a copy of the solicitation distributed to resident businesses.
- ◆ Keep the amount of the award within allowable limits (the amount must not exceed the independent cost estimate or the price that would normally be paid in the locality for similar services).

APPENDIX VIII. PHDEP OFFICIAL FILE REQUIREMENTS

PHDEP Grant File

The Field Office manager is responsible for official PHDEP grant files for all PHDEP awards. The director of Public Housing is responsible for establishing and maintaining the PHDEP grant files for the Field Office.

Financial records, supporting documents, and all other records relating to the grant program are to be kept for at least 5 years from the date the grantee submits its final reports, pursuant to the HUD Reform Act of 1989. Records relating to audit findings must be kept until the finding is resolved or for 5 years, whichever is later. Records of equipment acquired with Federal grant funds must be kept for 5 years after final disposition (24 C.F.R. § 85.42 (b)(2)).

File Contents

On award of a grant, the grant application file will be established and application material will be included in the file. The grant project number, name, and location of the grantee will be typed on a label and affixed to the upper left corner of the folder. The files will contain the following documentation by section

- ◆ Signed accepted grant award, special conditions, PHDEP/PHA plan, and application acknowledgment letter, filed in ascending date order.
- ◆ Documentation of telephone calls, meetings, and so on, filed in ascending date order.
- ◆ Procurement correspondence, such as contracts and sole source justification, filed in ascending date order.
- ◆ LOCCS/VRS documents and reports, semiannual financial and performance reports, audit reports, audit resolutions (correspondence related to audit reports and resolution of audit findings, including final resolution memorandum), negotiation agreements, electronic funds transfer or letter of credit drawdown history, correspondence concerning disputes and appeals, formal letters of termination, general counsel opinions, and other financial integrity or financial information, filed in ascending date order.
- ◆ Remote monitoring checklists and risk rating worksheets, filed in ascending date order.

- ◆ Onsite monitoring checklists, filed in ascending date order.
- ◆ Grant closeout documents, including final financial and performance reports and any checklists, filed in ascending date order.
- ◆ Any other information required by the Field Office.

File Retention

The files will be retired to Federal storage in accordance with established record retention requirements.