FAMILY INDEPENDENCE ADMINISTRATION
Matthew Brune, Executive Deputy Commissioner

James K. Whelan, Deputy Commissioner   Stephen Fisher, Assistant Deputy Commissioner
Policy, Procedures, and Training   Office of Procedures

POLICY BULLETIN #13-56-OPE
(*This Policy Bulletin Replaces PB #11-91-OPE)*

REVISION TO THE RENTAL ASSISTANCE UNIT REFERRAL PROCESS

Date: June 13, 2013	Sub-Topic(s): Preparation of RAU packet
🖳 This procedure can now be accessed on the FIAWeb.	**Revisions to the Original Policy Bulletin:** This policy bulletin has been revised to: • Inform staff that the following forms are obsolete: ▪ Rental Assistance Unit (RAU) Case Documentation Transmittal (**W-153P**) ▪ Rental Assistance Unit Applicant/Participant Data Sheet (**W-153R**) ▪ Notice of Denial of the Request to the Rental Assistance Unit (**W-153T**). • Remove instructions on usage of the Family Independence Administration (FIA) RAU Referral Mailbox and FIA RAU Post Evictions Mailbox. • Inform staff that the cutoff for cases submitted manually to RAU is June 28, 2013. Those decisions will be available in the Rental Assistance Decision Management System (RADMS). • Provide updated instructions on the referral of cases to RAU. • Reflect how the RAU decisions are communicated to the Homelessness Diversion Unit (HDU)/Case Management Unit (CMU) JOS/Worker in the Paperless Office System (POS) via the **Rental Assistance Database (RAD)**, which has replaced RADMS. • Instruct staff on the instances when Housing-Related requests must not be referred to HDU and RAU. • Describe revisions on the Notice of Approval of the Request to the Rental Assistance Unit (**W-153Q**) form. • Describe when applicants/participants should be provided the **W-153Q** in limited emergency situations.

HAVE QUESTIONS ABOUT THIS PROCEDURE?
Call 718-557-1313 then press 3 at the prompt followed by 1 or
send an e-mail to *FIA Call Center Fax* or fax to: *(917) 639-0298*

Distribution: X

- Reinforce that the updated RAU referral process should *not* increase referrals from CMU to HDU for case processing.

Purpose:

Revised

The purpose of this policy bulletin is to inform CMU, HDU, and RAU staff about the RAU referral process.

RAU Packet Preparation

For details on scanning and indexing documents please refer to TM #03-06.

All staff must scan and index the following as part of the RAU packet referral:

- A completed Request to Pay Rent Arrears in Excess of Cash Assistance Maximum Shelter Allowance (**W-146E**) form, including proof of the third party's income, if appropriate.
- Up-to-date documented proof of the arrears in the form of monthly billing statements, breakdowns, landlord notices, receipts and/or similar documents.
- A lease and landlord's proof of ownership if the documentation of the arrears is unofficial, suspect or not corroborated by documented legal action.
- Pertinent legal documents such as notices, petitions, stipulations and show cause orders.
- If the case has a hardship situation, proof of the hardship.
- Verification of income and resources, if applicable.

Note: Due to the HDU Project Integration upgrade in POS, forms **W-153P** and **W153R** are obsolete and therefore must not be submitted as part of the RAU packet.

For information on accessing the HRA OneViewer, refer to PB #10-103-SYS.

Please refer to **Attachment A** for a step-by-step description with screenshots showing the appearance of scanned images and illustrating how to index all RAU forms and documentation into the HRA OneViewer as a single RAU Packet.

Note: The RAU packet must be scanned and indexed *prior* to referring the case to RAU.

Revised

RAU Referral Process in POS

Effective June 3, 2013, through updated POS functionality, designated CMU JOS/Workers will refer cases to HDU and HDU/designated CMU Supervisors will refer cases from HDU to RAU.

With the creation of the new **HDU Intake Activity**, the **FIA RAU** and **FIA RAU Post Evictions** mailboxes in Microsoft Outlook are no longer used by HDU staff to notify RAU that a RAU packet has been scanned and indexed, and of emergency post-eviction cases via email.

Note: Cases submitted before June 28, 2013 can still be submitted to RAU by the RAU Mailboxes and those decisions will be available in RADMS.

Note: Depending on the Center, CMU acting as HDU should continue to process rental assistance requests in POS for the kind and number of cases they have been handling, and refer to RAU as appropriate. The new process is not intended to increase referrals from CMU to HDU.

When an applicant/participant is requesting emergency assistance for rent arrears, the JOS/Worker must access the **Single Issue (SI) Grant Requests Task List** in POS to record the request.

See **Attachment B** POS HDU Instructions.

After completing **Tasks 1** through **5**, the case must be referred to HDU using the **In-Center Referral** at **Task 6 (Outstanding Requests)** from the **Single Issue (SI) Grant Requests Task List**.

Note: The JOS/Worker must refer the applicant/participant to HDU for an interview regarding the shelter arrears request.

The case will appear in the **HDU Supervisor queue** where she/he can assign the case to the HDU/CMU JOS/Worker using the **Assign HDU Intake** functionality.

Once the case is assigned to the HDU/CMU JOS/Worker, she/he must use the **HDU Intake Activity** to input information regarding the grant request during the interview with the applicant/participant. The HDU/CMU JOS/Worker must prepare, scan and index the RAU packet as described in the RAU Packet Preparation section on page 2.

After the HDU/CMU JOS/Worker has completed the interview, the activity must be sent to the HDU/CMU Supervisor for review and approval. The HDU/CMU Supervisor must approve or disapprove the information recorded in the **HDU Intake Activity** via the **Approve HDU Intake Activity**.

If the activity is approved, the HDU/CMU Supervisor must refer the case to RAU by selecting the **Refer to RAU** button on the **Approval Elements** screen in the **Approve HDU Intake Activity**. The information entered and approved in POS will be transferred to RAD.

If the activity is disapproved, the HDU/CMU Supervisor will refer the activity back to the HDU/CMU JOS/Worker for correction and resubmission by selecting the **Refer Back to Worker** button on the **Approval Elements** screen.

New

See **PB #12-102-SYS Attachment C** for information on RAD.

RAU will review the case using RAD and make a determination on the shelter arrears request. Once a determination has been made in RAD, the case will appear in the **RAU Recommendation to HDU** queue in POS.

Viewing the RAU approval/disapproval in POS

The HDU/CMU JOS/Worker must then access the case via the **RAU Recommendation to HDU** queue, review the RAU determination in the **Grants** tab of the **Request Action** window, process the grant(s) (if applicable) and provide the appropriate notice to the applicant/ participant.

New

CMU JOS/Workers will continue to be able to process housing-related requests *without* referral to HDU and RAU in the following instances:

Housing-Related requests *not* referred to HDU and RAU

- Rent arrears, mortgage arrears, or mortgage taxes for cases in the Emergency Assistance to Adults (EAA) category, when:

    - less than five months arrears is owed; and
    - the monthly arrears is less that the shelter allowance for the household size.

- Broker's fee vouchers at or below Agency level rent, when rent in advance and a security deposit is not being requested.
- Security deposit vouchers at or below Agency level rent, when the:

    - applicant/participant is not in receipt of Section 8; and
    - rent in advance and a broker's fee is not being requested.

- Security deposit vouchers for Section 8 recipients equivalent to one month or less, when rent in advance and a broker's fee is not being requested.

Revised

Approval of Requests for Rental Assistance

If the request is approved by RAU staff, the RAU Supervisor must give final authorization on the case. Once the request is approved, form **W-153Q** is completed by RAU via RAD.

Form **W-153Q** has been revised. The following appears below the title of the form:

- The statement "We agree to pay $_____ provided that the case is in active status or otherwise eligible for assistance."

- A blank section called "**Condition to be met by Applicant/ Participant**", where the RAU Worker will enter the conditions to be met for approval.

In emergency situations, in which the applicant/participant must provide proof of assistance to the court and the JOS/Worker cannot prepare the shelter allowance checks in a timely manner to prevent an eviction, the JOS/Worker must contact the RAU Director or Deputy Director to obtain the **W-153Q**. This request should not be made unless an order to show cause is required on a marshal's notice or post-eviction. The RAU Director or Deputy Director will make available a copy of the **W-153Q**, which will be provided to the applicant/participant at court.

Important: The JOS/Worker <u>must not</u> utilize form **W-153Q** to notify the applicant/participant of the Agency's decision on his/her request for rental assistance except in an emergency situation, in which the applicant/ participant is required to provide proof of assistance to the Court. Instead, and in all cases, the applicant/participant must be sent the Notice of Decision on Assistance to Meet an Immediate Need or Special Allowance [For Applicants Only] (**W-145HH**) form or Action Taken on Your Request for Emergency Assistance or Additional Allowance [For Participants Only] (**W-137B**) form as appropriate.

Denial of Requests for Rental Assistance

RAU staff will communicate denials of requests for rental assistance to the HDU/CMU JOS/Worker in POS via RAD. Form **W-153T** is obsolete. Form **W-145HH** (for applicants) or **W-137B** (for participants) must be provided to the applicant/participant to inform them of the denial.

Effective June 3, 2013.

Related Items:

PB #10-103-SYS   HRA OneViewer
PB #12-102-SYS   CA POS Release Notes Version 16.3
TM #03-06   Manual Updates

Provide form **W-153Q** to individuals only in limited emergency circumstances.

Revised

Form **W-153T** is obsolete.

Attachments:

Attachment A	Preparation of RAU Packet
Attachment B	POS HDU Instructions
W-146E	Request to Pay Rent Arrears in Excess of Cash Assistance Maximum Shelter Allowance (Rev. 12/3/09)
W-153Q	Notice of Approval of the Request to the Rental Assistance Unit (Rev. 6/13/13)
W-153P	Rental Assistance Unit (RAU) Case Documentation Transmittal (Obsolete)
W-153R	Rental Assistance Unit Applicant/Participant Data Sheet (Obsolete)
W-153T	Notice of Denial of the Request to the Rental Assistance Unit (Obsolete)

After successfully scanning the documents, the images captured will be electronically stored in a folder associated with the proper case number. In the Paperless Office System (POS), the JOS/Worker must index the scanned documents. To do so the JOS/Worker must:

- Select **Tools** from the menu bar in POS.
- Select **Digital Sender Image Indexing**.
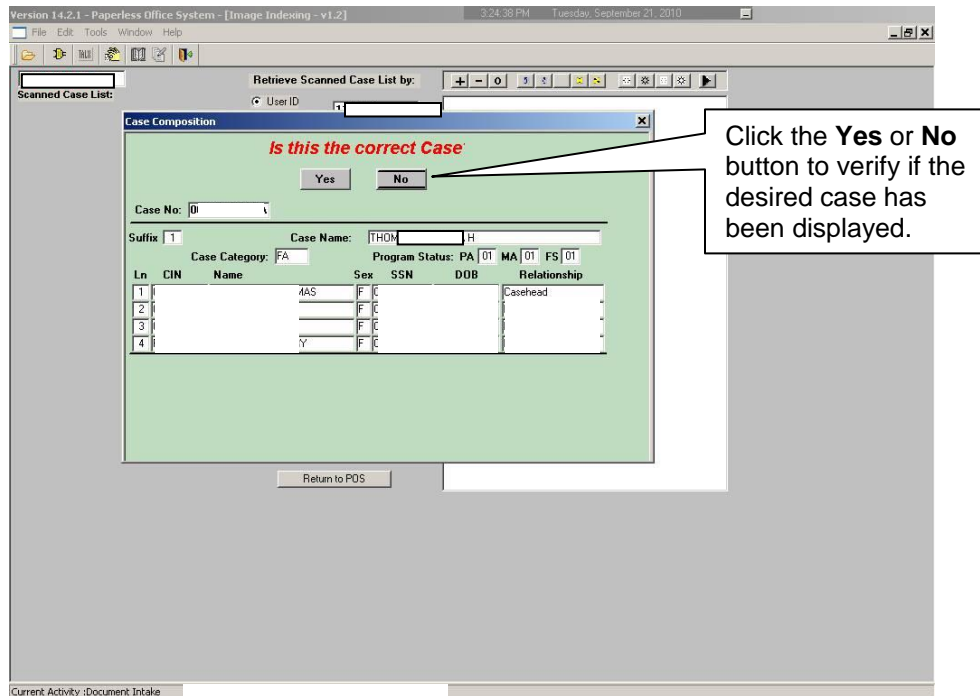
POS will then access the **Image Indexing** application.
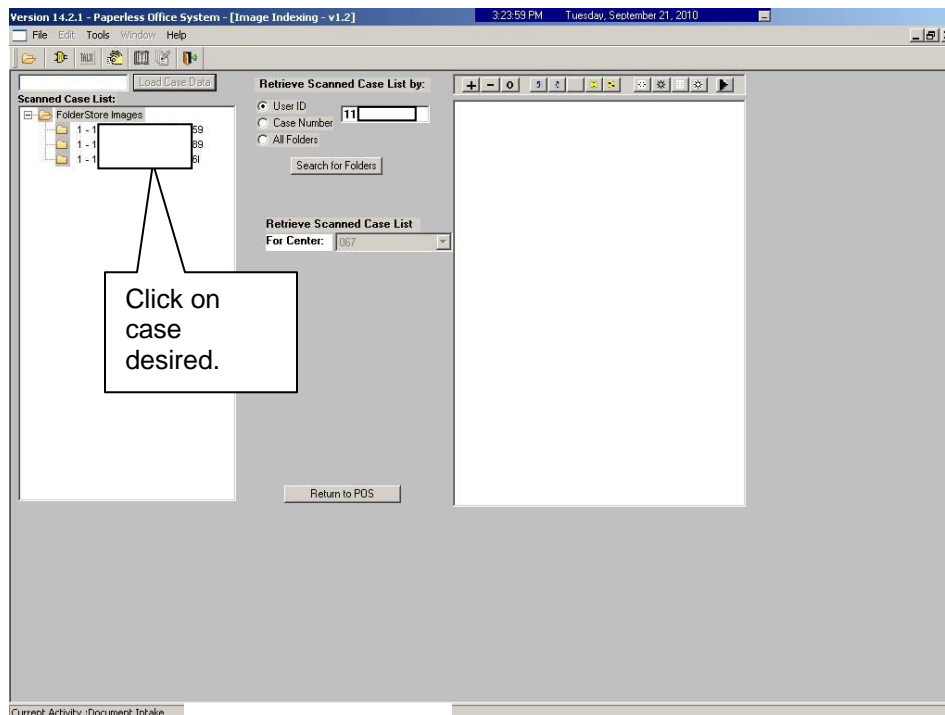
After a successful search is completed, a list of scanned cases associated with the **UserID** will appear in the **Scanned Case List:** field. To select a particular case the JOS/Worker must:

- Click on the desired case.
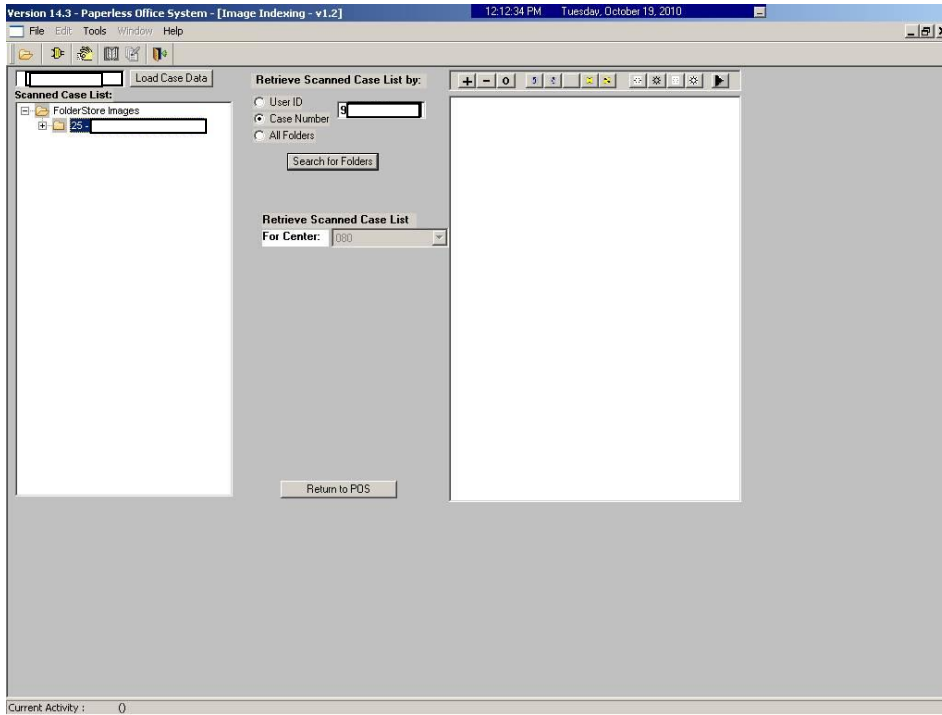
The case number selected will populate the **Load Case Data** field.

- Click **Load Case Data** button.

After the JOS/Worker clicks on the **Load Case Data** button, the **Case Composition** screen appears with information pertinent to the case.

- If the information in the pop-up box is incorrect, select "**No**" and the application will take you back to the **Image Indexing** screen to reenter the correct **Case Number** in the **Load Case Data** field.
- If the **Case Numbe**r and **Case Name** in the pop-up box are correct, select "**Yes**" to proceed to the "**Digital Index Imaging Screen**."

Thumbnail view of scanned images.

Selected thumbnail image in magnified view.
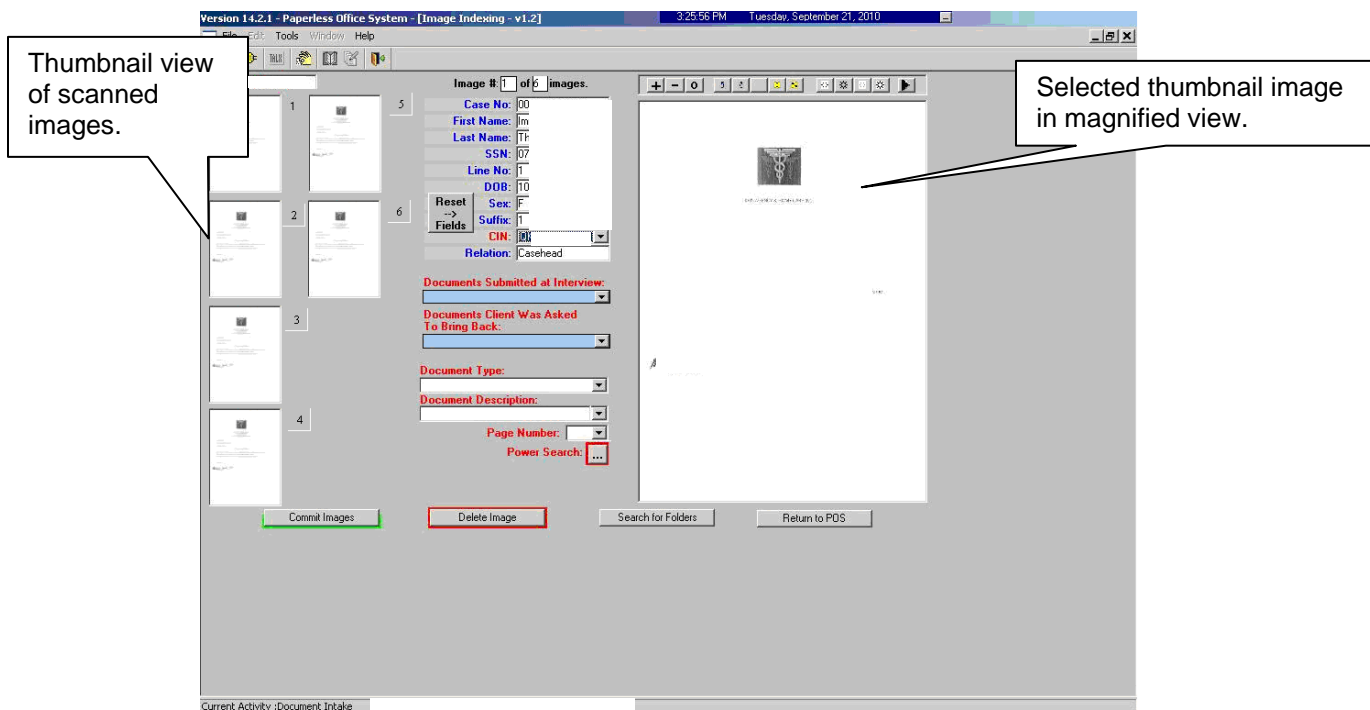
POS displays all the images that were scanned by the JOS/Worker in a thumbnail view. If there are more than eight images, a scroll bar will appear that will allow the JOS/Worker to view/access additional thumbnail images.

On the far right side is a magnified view of the document thumbnail selected. The JOS/Worker can view any of the images in magnified view by clicking on the thumbnail of the scanned document. At the top of this area, there is a Tool Bar, which is utilized to change the appearance of the selected image.

The JOS/Worker must verify that all documents that are to become part of the image have been scanned properly. If a document was incorrectly scanned or inadvertently added, it can be selected, deleted, and/or re-scanned.

Combining Images

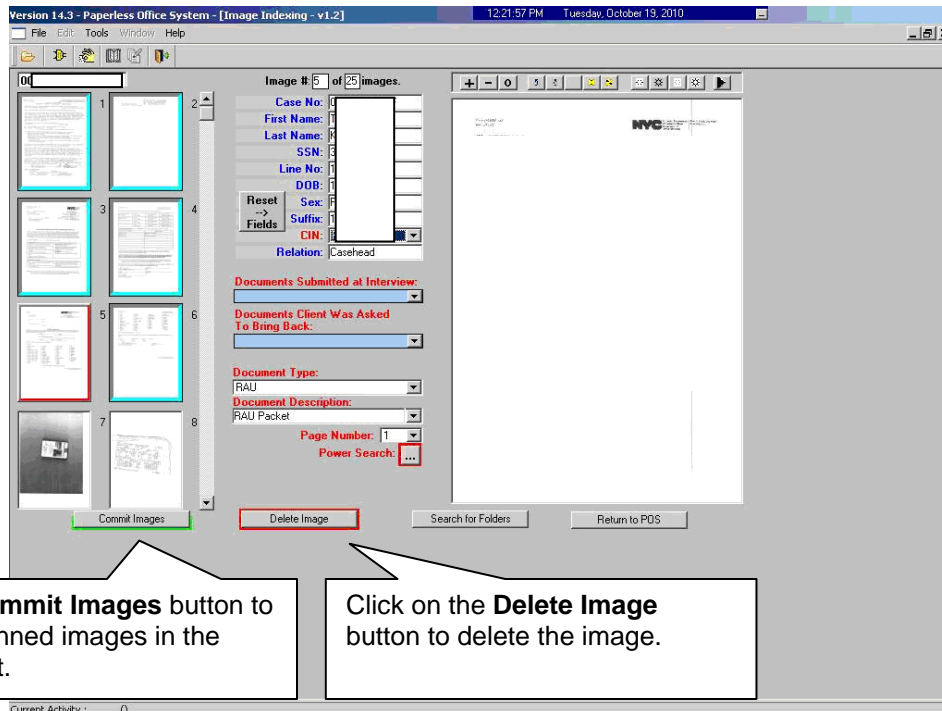Press and hold **CTRL** key and click on the images to include in the RAU packet.

Select **RAU Packet** from **Document Description** drop-down menu.

Select **RAU** from **Document Type** drop-down menu.

To combine scanned images to be included in the packet, press and hold the **CRTL** key and click on the individual images. Images selected are illuminated with a blue border. The image displayed in the normal viewer is illuminated in red.

To properly label and classify the scanned documents the JOS/Worker must:

- Select **RAU** from the **Document Type** drop-down menu.
- Select **RAU Packet** from the **Document Description** drop-down menu.

Click on **Commit Images** button to include scanned images in the RAU packet.

Click on the **Delete Image** button to delete the image.

Once the JOS/Worker has selected all the images that are to be indexed and the required fields have been populated with information, the JOS/Worker can commit the images. To commit the images:

- Click on the **Commit Images** button to include scanned images in the RAU packet.

If an image should be deleted from the folder, the JOS/Worker must:

- Click on the thumbnail image.
- Click on the **Delete Image** button.
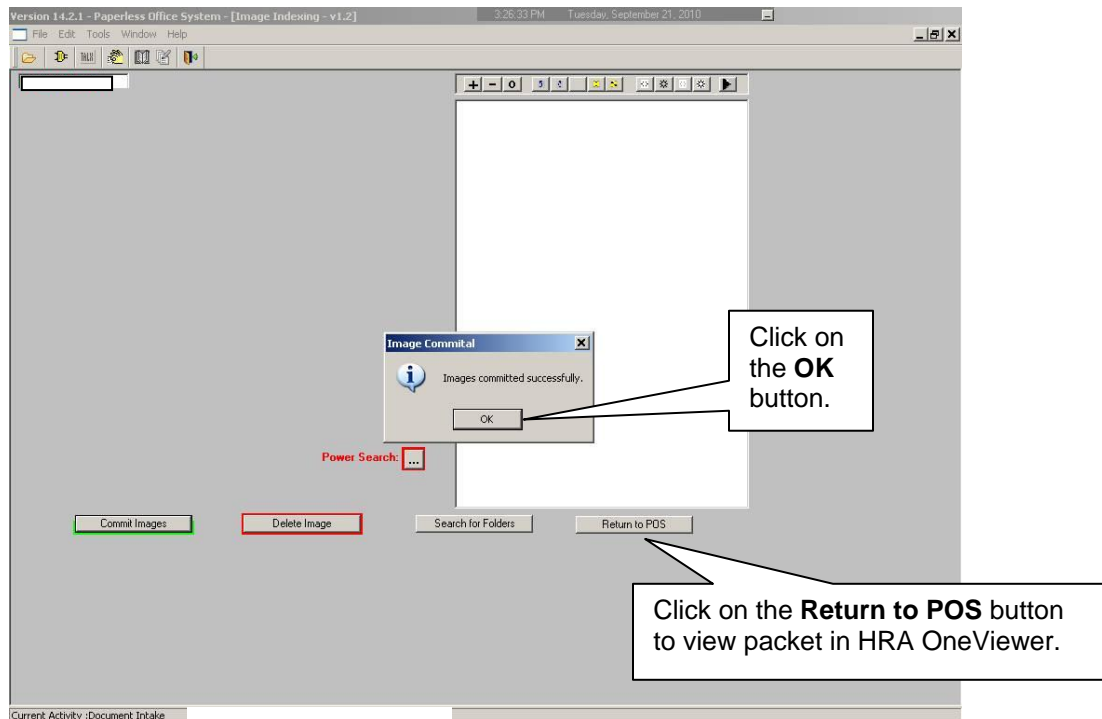
When the images have been successfully combined into the RAU packet, an **Image Committal** information window will appear with the message "**Images committed successfully**". The JOS/Worker must:

- Click the **OK** button.

To exit the **Image Indexing** application:

- Click on the **Return to POS** button; or
- Go to **File** and select **Close.**

POS HDU INSTRUCTIONS

HDU Intake Activity

After completing the Household Screen, Address Information, and Individual Detail sections in the **HDU Intake Activity,** the HDU worker must continue to complete the following sections:

- Referred to HDU From (see below)
- HDU Information (see pages 3-16)
- SI Grant Requests (see page 17)
- Print Forms (see page 18)
- Approval Elements (see page 19)

Referred to HDU From Window

Version 16.3 - Paperless Office System - [Referred to HDU from]   1:06:29 PM   Wednesday, November 07, 2012

File   Edit   Tools   Window   Help

Case Information
Case Number: 00007013606E   Case Name: SARANDUN SUSAN

Referred to HDU From:
Homeless Referral Type: [▼]   At-Risk Population: Case Management Unit [▼]
Other Details: [   ]

Risk Factors
Risk Factors: Scheduled Eviction/Post Eviction [▼]

Risk Factors Details: [   ]

Requesting RAU Reconsideration/Addition   **Reason for Reconsideration/Addition**
              YES   **Additional Documentation**

Other Details: [   ]
Narrative

[Next]   [Previous]

HDU Information Screen

The HDU worker must complete the **HDU Information** section which contain the following screens (shown in pages 3 through 16):

- Is Employed? (read only window, see page 4)
- Is Self-Employed? (read only window, see page 4)
- Do you (or anyone who lives with) have a rent, mortgage or other shelter expenses? (see page 5)
- Are there rent or mortgage arrears? (see page 5)
- Mortgage/Property Tax arrears? (see page 6)
- HDU Shelter Arrears Details (see pages 7-10)
- Household Resources, Expenses and Other Potential Savings (see page 11)
- HDU Decision/Plan of Action (see pages 12-15)
- Document Deferral (see page 16)

Is Employed? Response to Question Window (Read Only)

Is Self-Employed? Response to Question Window (Read Only)

4

Do You (Or Anyone Who Lives With You) Have A Rent, Mortgage Or Other Shelter Expenses? Response to Question Window

Do You (Or Anyone Who Lives With You) Have A Rent, Mortgage Or Other Shelter Expenses? — Yes No (Yes selected)

Response to Question

Shelter Information

Shelter Type: Apt pvt house...
Shelter Code: 01
Change Shelter type? Yes (selected) / No
Actual amount charged for Rent/Mortgage: $400.00
Frequency: M
Verified: Yes (selected) / No

Click to View/Update Details of the Current Shelter Type
Housing Advantage Indicator(HAI):
Rent Charged To Secondary Tenant: .00
Frequency:

Landlord Information

Landlord Type: Landlord
SSN/Tax Number: 11123455
Name: Landlord Name
Phone: - -
House/PO Box Number: 22
Apt/Suite Number: 22
Street Dir: West   Street Name: 121st   Street Type: Str
City: New York   State: New York   Zip: 10026

Excess Rent
Monthly Excess Rent: $0.00

Restriction Information

Has The Household Requested A Rent Restriction Exemption? Yes / No (No selected)
Rent Restriction Type: Direct Involuntary (PA level)
PA Shelter Amount: 400.00
Is the restriction information the Same As The Landlord Information? Yes (selected) / No
Name: Client Name for Landlord Nam
House Number or PO Box: 22   Apt/Suite: 22
Street Dir: West   Street Name: 121st   Street Type: Str
City: New York   State: New York   Zip: 10026
Routing Number:

Document...
Scan
Comment...

OK   Cancel

Are There Rent Or Mortgage/Tax Arrears? Response to Question Window

Are There Rent Or Mortgage/Tax Arrears?

Response to Question

	Arrears Amount	Period From	Period To	Months of Arrears
⦿ Rent Arrears	$1,569.00	01/01/2012	07/31/2012	08
○ Mortgage Arrears	$.00	00/00/0000	00/00/0000	

Property Tax Arrears Amount	Property Tax Period From	Property Tax Period To	Property Tax Months of Arrears
$.00	00/00/0000	00/00/0000	

☑ Amortization of mortgage on applicant/recipient-owned property — Amount: $1,568.00

☑ Carrying charges on applicant/recipient-owned property — Amount: $1,596.00

Document...
Comment...

OK   Cancel

ATTACHMENT B

Mortgage/Property Tax Arrears? Response to Question Window

Mortgage/Property Tax Arrears?

Response to Question

This window allows you to record the property details for homeowners requesting assistance with Mortgage/Tax Arrears or information for those requesting assistance with a Co-op purchase. For Co-op purchase, the purchase price must be entered and all details about the purchase must be entered in the "How was Home Afforded/Details of Co-op Purchase?" question.

Type of Request
- ○ Purchase Co-op Apt
- ○ Help with Mortgage/Tax Arrears
- ○ Property Tax Arrears Only

Property Purchase Date 00/00/0000

Purchase Price (Incl tax,fees & closing costs) $.00

Name of Mortgage Holder

Terms of Mortgage Years [▼] Interest

Did you or will you make a Down Payment? ○ Yes ○ No
Down Payment Amount $.00
Is Property Producing Income? ○ Yes ○ No
Monthly Amount Received $.00
Number of Mortgages [▼]
Date Last Mortgage was taken 00/00/0000
Last Mortgage Amount $.00

Equity in Home? ○ Yes ○ No
Equity Amount $.00
Foreclosure Action? ○ Yes ○ No
Foreclosure Details
How Afforded Home/ Details of Co-op Purchase?

Document... **Scan** **Comment...**

OK   Cancel

Note: The **Mortgage/Property Tax Arrears? Response to Question Window** is used to record *property specific information* for homeowners requesting Mortgage/Tax Arrears or Co-op purchase assistance.

ATTACHMENT B

HDU Shelter Arrears Detail

Response to Question

Case Information
Case Number: ____ Case Name: ____ Contact Person: ____
Street Address ____ City ____ State ____ Zip Code ____ Phone # __-__ AlternativePhone # __-__

Shelter Type: ____ Shelter Code: ____ Rent Restriction Type: ____
Actual Rent: ____ Frequency: ____ PA Shelter Amount: ____ Excess Rent: ____

Landlord/Lender Information
Landlord/Lender Name: ____ Landlord/Lender Email: ____
Landlord/Lender Address : ____
Landlord/Lender Phone#: ____ Landlord Cell#: __-__ Landlord/Lender Fax#: __-__

Arrears Information
Breakdown Submitted? ○ Yes ○ No   Legal Fees: .00   ☐ Formerly on Advantage Program
Mortage/Rent Arrears: .00   Period From: 00/00/00   Period To: 00/00/0000   Month of Arrears: ____
Property Tax Arrears: .00   Period From: 00/00/00   Period To: 00/00/0000   Month Of Arrears:
Principle reason For Non Payment: ____   Non Payment Detail: ____

Is Client Faced with ?
☐ Non Pay Petition ☐ Eviction ☐ Dispossess ☐ Holdover
☐ Post Eviction ☐ No Court Action ☐ Client Foreclosure ☐ Landlord Foreclosure

Is there a Court Stipulation? ○ Yes ○ No   Is there a order to Show Cause? ○ Yes ○ No
Court Date: 00/00/0000   Follow Up Date: 00/00/0000   Date: 00/00/0000   Eviction Date: 00/00/0000

Has the Client Applied for Housing Through?
☐ Section 8 Housing Date: 00/00/0000 ☐ NYCHRA Date: 00/00/0000 ☐ FEPS Date: 00/00/00 Status:

[Instructions] [Excess Rent] [Income]

Instructions, **Excess Rent**, and **Income** options. See pages 8 through 10 for examples.

[OK] [Cancel]

The **Instructions**, **Excess Rent**, and **Income** options may be selected toward the bottom of the **HDU Shelter Arrears Detail** screen.

The **Instructions** option gives directions on how to complete the **Excess Rent**, **Third Party Details** (within the **Excess Rent** window) and **Income** windows.

Instructions Window from HDU Shelter Arrears Detail
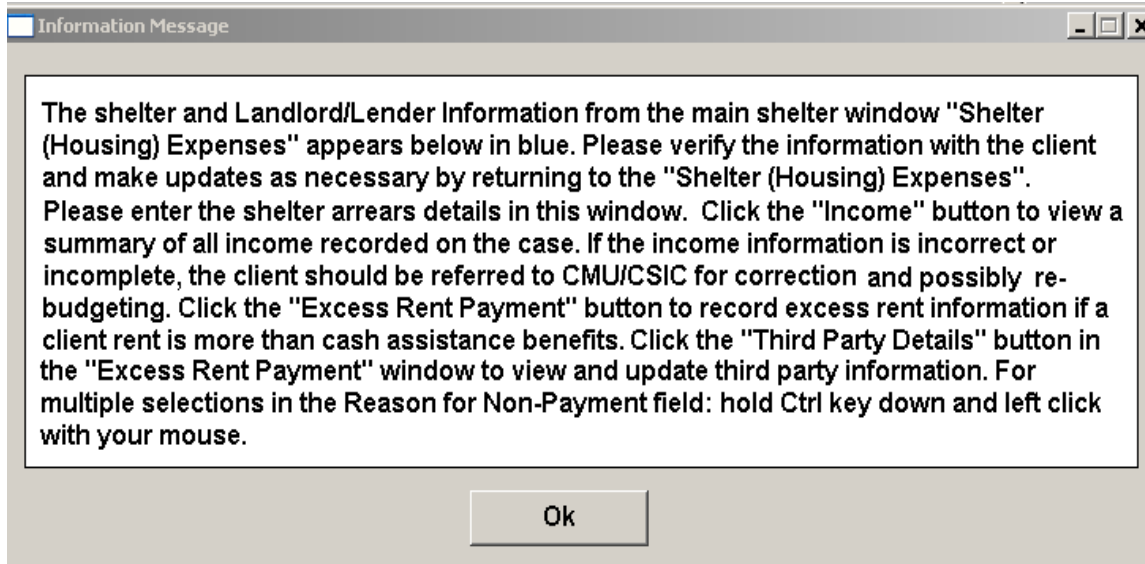
Excess Rent Payment from HDU Shelter Arrears Detail
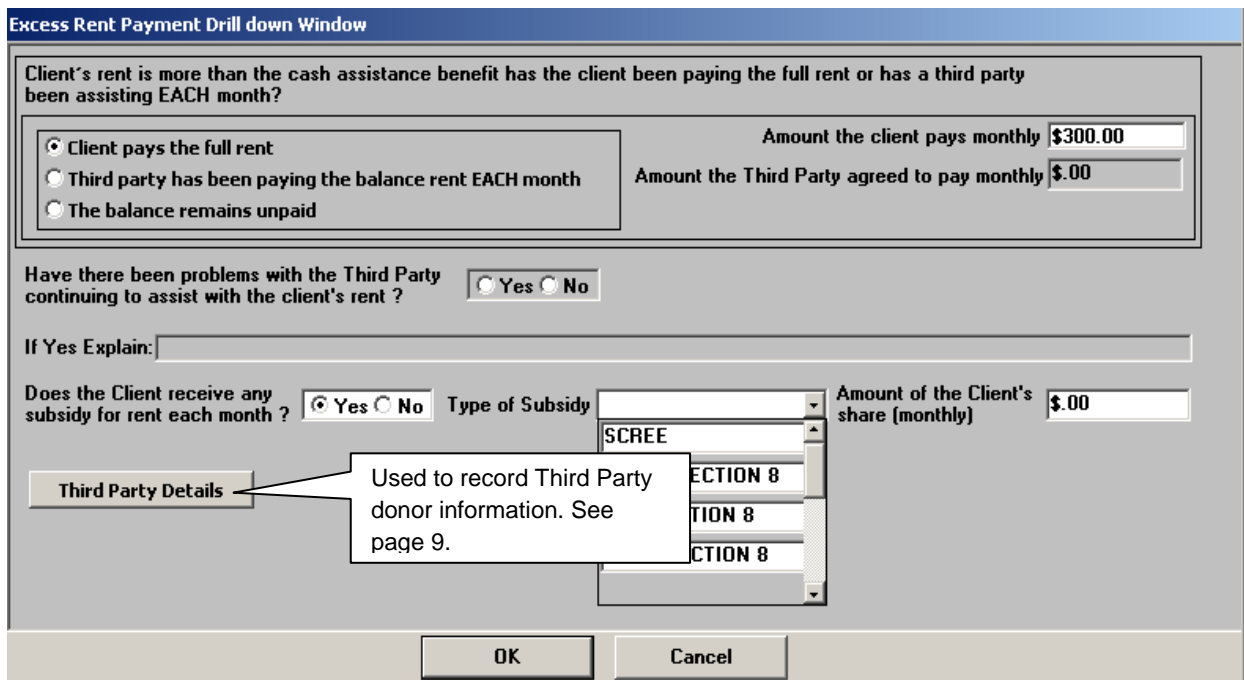
The above **Excess Rent Payment** screen is accessed by clicking on **Excess Rent** on the **HDU Shelter Arrears Detail** screen.

Click on **Third Party Details** to access the **Third Party Drill Down** window.

Third Party Drill Down Window option from Excess Rent Payment Window

Third Party HDUA Drill Down Window

Instructions: A Legally responsible relative is a relative who, by law is responsible for the support and care of another person such as a spouse, parent or step-parent. Parents (including adoptive parents) and step-parents are responsible for the support of their children and/or step-children only under the age of 21. A loan is defined as money that is borrow and must be returned. Court ordered payments are defined as support payments required to be made directly to a recipient pursuant to an order of the family court/payments that are directed by the court.

Donor 1 Information

Donor's Name	House No	Dir	Street Name	Type	City	State	Zip

Donor's relationship to client

	Donor's SSN	Donor's Phone No.	Shelter Exp	Freq	Gross Salary	Freq

○ Legally Responsible Relative

○ Non-Legally Responsible Relative

Net Salary	Freq	Other income	Amount	Freq

Contribution Information

Monthly Contribution Amount [.00]   Is this considered a Loan? ○ Yes ○ No   Is this court ordered payment? ○ Yes ○ No

Contribution Start Date 00/00/0000   Is Donor still assisting? ○ Yes ○ No   Constribution End Date 00/00/0000

Contribution given to whom? ○ To Client   ○ Directly to Landlord

Donor 2 Information

Donor's Name	House No	Dir	Street Name	Type	City	State	Zip

Donor's relationship to client

	Donor's SSN	Donor's Phone No.	Shelter Exp	Freq	Gross Salary	Freq

○ Legally Responsible Relative

○ Non-Legally Responsible Relative

Net Salary	Freq	Other income	Amount	Freq

Contribution Information

Monthly Contribution Amount [.00]   Is this considered a Loan? ○ Yes ○ No   Is this court ordered payment? ○ Yes ○ No

Contribution Start Date 00/00/0000   Is Donor still assisting? ○ Yes ○ No   Constribution End Date 00/00/0000

Contribution given to whom? ○ To Client   ○ Directly to Landlord

Donor 3 Information

Donor's Name	House No	Dir	Street Name	Type	City	State	Zip

OK   Cancel

Income Recorded During Interview Window from HDU Shelter Arrears Detail

Income Recorded During Interview

Instructions:

Unlike the SNA 125% income test, the EAF test is only applicable to income that is actually available to the EAF household on the date of application, not the household's anticipated or past income. Income guidelines are updated annually.

For example, an applying household may have received income exceeding 200% but on the day of EAF application has less than 200% of that income available, therefore passing the income test and any available income is applied to the emergency need.

Name	Income Type	Monthly Amount (Gross)	Monthly Amount (Net)

Total $.00   Total $.00

OK

This window is accessed by clicking on **Income** from the **HDU Shelter Arrears Detail** window.

The Income window is used to view a summary of the income recorded on the case. If the income information is incorrect or incomplete the applicant/participant must be referred to CMU/CSIC for correction and possibly re-budgeting.

Household Resources, Expenses and Other Potential Savings

Instructions

The household resources and expenses in this window are the most current available and are displayed in blue. If after interviewing the client you determine that updated amounts are needed, make entries in the 'HDU Household Resources' and 'HDU Monthly Expenses' areas. After reviewing the household budget with the client you may discover some savings that would assist the family in reducing the need for future public assistance. Please make these entries in the 'Other Potential Savings' area. Information added to fields annotated with an asterisk (*) require an explanation in the narative field.

HOUSEHOLD RESOURCES

Household Resources	Amount
Cash	$.00
Savings/Checking Accounts	$.00
Stocks/Bonds/CDs	$.00
Retirement Accounts	$.00
Personal Assets (Condo, Etc)	$.00
Life Insurance	$.00
Alimony	$.00
Disability	$.00
Tax Refund	$.00
Lawsuits	$.00
Loan From Others	$.00
PA/FS	$.00

HDU Household Resources	Amount
Earned Income (HDU)	$.00
Unearned Income (HDU)	$.00
Credit Cards	$.00
Inheritance	$.00
Other	$.00
Total Household Resources	$.00

HOUSEHOLD MONTHLY EXPENSES

Household Monthly Expenses	Amount
Rent/Mortgage	$.00
Tax	$.00
Utilities	$.00

HDU H/H Monthly Expenses	Amount
Food	$.00
Transportation	$.00
Credit Cards	$.00
Garnishees*	$.00
Car Insurance*	$.00
Life Insurance*	$.00
Loans*	$.00
Cable TV	$.00
Personal (clothing, laundry, etc)	$.00
Entertainment	$.00
Home/Cell Phone	$.00
Child Support*	$.00
Child Care *	$.00
Medical Fees*	$.00
Tuition*	$.00
Other	$.00
Total Household Expenses	$.00

OTHER POTENTIAL MONTHLY SAVINGS

Other Potential Savings	Amount
Will Obtain Employment	$.00
Will Receive Food Stamps	$.00
Expecting SSA or VA Benefits, Other Benefits	$.00
Have Second Jo/Higher Paying Job	$.00
Remove children from private school	$.00
Credit Counceling	$.00
Will Sell Car	$.00
Have Arranged Affordable Child Care	$.00
Have Arranged Affordable Adult Care	$.00
Bankruptcy	$.00
Will Receive Additional/Change Health Insurance	$.00
Third Party Financial Assistance	$.00
Other	$.00
Total Potential Savings	$.00

OK   Cancel

The Amounts in blue are pre-populated from prior POS entry. Any updated amounts must be entered in the "grey" areas (See instructions toward the top of the window).

HDU Decision/Plan of Action

HDU DECISION/PLAN OF ACTION

To be eligible for a rent arrears grant, a plan is needed for future rent/mortgage payments when the cash assistance allowance does not cover the entire shelter amount for participants/applicants. The applicant's/participant's available resources must not exceed the Resource Limits. All resources (if any) must be evaluated to determine whether they are countable towards the resource limit or exempt. Also cases applying for a one-time-cash grant must use all available resources and to apply for, as well as pursue, potentially available resources. A resource must be easily converted to available cash, even it it results in a penalty for liquidating the resouce, such as in the case of stocks, bonds, etc. Click the 'Landlord Contact' button to record details of discussion with landlord and to indicate that no contact was made.

Case Information
Case Number: 00007421939F   Case Name: PERKINS SAM

Future Rent Payment Plan

			Status
Payment Plan w/Landlord:	○ Yes	● No	
Pension Loan:	○ Yes	● No	
Bank/Credit Union Loan:	○ Yes	● No	
Salary Advance:	○ Yes	● No	
Retirement/IRA/401K Loan:	○ Yes	● No	
Cashing Savings Bond:	○ Yes	● No	
Borrow From Family/Friend:	○ Yes	● No	
Cash Value of Life Insurance:	○ Yes	● No	
Other Potential Resource:	○ Yes	● No	
Charity/Church/Synagogue:	○ Yes	● No	

Unforeseen Circumstances that Caused Arrears
Are there unforeseen circumstances that caused the arrears? (select all that apply) ○ Yes ● No
- ☐ Robbery or Loss of Property
- ☐ Medical
- ☐ Unexpected Death in a Family
- ☐ Loss of Income
- ☐ Natural Disaster/Fire
- ☐ Loss of affordable childcare

...ipant provide documentation to verify ...rcumstances?
Yes   ○ No   ○ Deferred

Initial Plan of Action example on pages 13 and 14.

HDU Plan of Action

[Initial Plan of Action]   Outcome: Client Refused Services   Outcome Date: 09/05/2012
Other Details:

Did the Participant Provide all necessary Documentation? ○ Yes ● No ○ Deferred   RAU Packet Complete: ○ Yes ● No

[Landlord Contact]   Reason for extension beyond 30 days [   ]

Landlord Contact example on page 15.

[OK]   [Cancel]

The **Initial Plan of Action** and **Landlord Contact** options may be selected from the **HDU Decision/Plan of Action** window.

Initial Plan of Action from the HDU Decision/Plan of Action window

HDU DECISION/PLAN OF ACTION

To be eligible for a rent arrears grant, a plan is needed for future rent/mortgage payments when the cash assistance allowance does not cover the entire shelter amount for participants/applicants. The applicant's/participant's available resources must not exceed the

HDU Decision/Plan of Action

INITIAL PLAN OF ACTION

- [ ] One-Shot Deal Arrears Intervention
- [ ] Client Arrears Intervention
- [ ] New Apartment Expenses Request
- [ ] Section 8 Recertification
- [ ] Landlord Contact
- [x] Referral   [Referrals]

Once **Referral** is checked, select the adjacent **Referrals** button to enter a specific referral type.

[OK]   [Cancel]

[OK]   [Cancel]

13

Referrals window from the Initial Plan of Action window

HDU Decision/Plan of Action

INITIAL PLAN OF ACTION

- ☐ One-Shot Deal Arrears Intervention
- ☐ Client Arrears Intervention
- ☐ New Apartment Expenses Request
- ☐ Section 8 Recertification
- ☐ Landlord Contact
- ☑ Referral   [Referrals]

The **Referrals** window will appear once selected.

Referrals

- ☐ FEPS Referral
- ☑ Legal Services Referral
- ☐ Financial Counseling Referral
- ☐ Referral to CMU/Customer Service
- ☐ Referral to Section 8
- ☐ CBO Case Management Referral
- ☐ Referral to NYCHA
- ☐ Domestic Violence Referral
- ☐ Referral for SCRIE or DRIE
- ☐ APS Referral
- ☐ Education/Training Referral
- ☐ Employment Referral
- ☐ Other

[OK]

Landlord Contact window from the HDU Decision/Plan of Action window

HDU DECISION/PLAN OF ACTION

To be eligible for a rent arrears grant, a plan is needed for future rent/mortgage payments when the cash assistance allowance does not cover the entire shelter amount for participants/applicants. The applicant's/participant's available resources must not exceed the

Landlord Contact

Case Information

Case Number: 00007421939F   Case Name: PERKINS SAM

Landord Contact Made? ○ Yes   ○ No   Discussion Date: 00/00/0000

Results of Discussion With Landlord

☐ Move to New Apartment ☐ Rent Reduction ☐ Arrears Reduction ☐ Awaiting FEPS ☐ Pending Outcome ☐ Negative Outcome

Lease Duration: [   ]   New Monthly Rent: [$.00]   New Arrears: [   ]

Comment...

[   ]

[OK]   [Cancel]

[OK]   [Cancel]

HDU Document Deferral Window

Select the person(s) selected for the deferral in the **Who** drop-down box. If there is another individual, over 18 years of age, that is not listed in the drop-down box, select "**Other Person Not Listed**", then enter the name in the **Other Name** field.

Select the **Request Type** and complete the **Select Documentation List** fields.

SI Grant Requests and Issuance

File   Edit   Tools   Window   Help

Instructions

The list below shows the tasks that are part of this activity. You should do the tasks in the order presented. Some tasks are required: you must click the GO button and do the task before going on to the next task or completing the activity. Other tasks are not required and will have a button label of NA. All required tasks must be completed before you can complete the activity.

SI Grant Request

1.   **Task Name:** SI Grant Needs Identified in Interview   [NA]
        Action: This Task must be completed before proceeding.
        Status: No Action Required

2.   **Task Name:** Record Special Grant Requests   [GO]
  ✓   **Action:** This Task must be completed before proceeding.
        Status: Completed

3.   **Task Name:** Requests Details   [NA]
        Action: This Task must be completed before proceeding.
        Status: No Action Required

4.   **Task Name:** EAF, E-SNA and EAA Financial Eligibility Determination   [NA]
        Action: This Task must be completed before proceeding.
        Status: No Action Required

5.   **Task Name:** Print Forms for Client to Sign   [NA]
        Action: This Task must be completed before proceeding.
        Status: No Action Required

[Next]   [Previous]

Print Forms

Version 16.2.1 – Paperless Office System – [Print Forms]		5:36:02 PM	Wednesday, August 22, 2012	

File   Edit   Tools   Window   Help

Form No	Form Description	Copies	Forms
DSS2474	SSI Referral and Certification of Contact		e-form
DSS3151	Food Stamp Change Report Form		e-form
DSS3573	PA-Recoupment		e-form
DSS3938	Food Stamp Application Expedited Processing Summary Sheet		e-form
DSS4198	Third Party Data Sheet		e-form
DSS4279	Notice of Responsibilities and Rights for Support		e-form
DSS4529	Agreement to Repay Any Safety Net Assistance Overpayments Still Owed After Case Is Closed		e-form
DSS4530	Assignment of Wages, Salary, Commissions or other Compensation for Services		e-form
DSS4571	Alcohol/Substance Abuse Screening Instrument		e-form
DSS4733	DFR Legal Residence Statement		e-form
DSS4753	Food Stamps - Request for Contact/Missed Interview		e-form
DSS4776	Safety Net Assistance (SNCA) Application (LDSS-4776)		e-form
EXP_76R	Documentation Receipt		e-form
EXP83H	Declaration of Application for a Social Security Number		e-form
M15	Inquiry Regarding Veterans' Benefits and Servicemen's Allotments		e-form
M15F	Agreement to Repay Public Assistance		e-form
M186RR	Mandatory Dispute Resolution Action Taken Form		e-form
M186TT	Mandatory Dispute Resolution No Action Taken Form		e-form

[Preview W-145HH Notice]   [Next]   [Print]   [Previous]

Approval Elements

The HDU Supervisor will use the **Approve HDU Intake** activity to approve information completed by the HDU worker via the **HDU Intake** activity. The **Approve HDU Intake** activity will contain the following sections *with* **Supervisory Review** areas attached toward the bottom of those sections.

- Household Screen
- Address Information
- Individual Detail
- HDU Referred From
- HDU Information
- SI Grant Requests
- Print Forms
- Notice Selection (SCR Centers)
- Approval Elements

19

Supervisory Approval – HDU Information Example

Approval Elements Screen

The HDU Supervisor sends the case to RAU by selecting the **Refer to RAU** button toward the bottom of the **Approval Elements** screen.

Decisions Received From RAU

When RAU processes a decision on the case, an **Assign Change Case Data** (for active cases) or **Assign Non-Food Emergency** (for applying cases) will be placed in the **RAU Recommendation to HDU** queue**.**

The **Request Action** window is updated with the RAU decision allowing HDU to process the decision. There are three tabs on the **Request Action** window. The Grants tab appears below. Screenshots of the **Referrals and Outcomes** and **Documentation and Verification** tabs appear in the following pages.

Request Action Window: Grants Tab

The **SI Grant Details** and the **SI Grant Decision** sections of the **Grants** tab will be systematically pre-filled with the decision details.

If the case is a reconsideration (previously denied by RAU and resubmitted by the Job Center with new information), on the **Grants** tab, Select **Yes** to in response to the **Submit Addition to RAU?** Question. Select an appropriate reason from the **Reason** drop-down list. The complete list of reasons are the following:

- Legal fees
- Change of time period requested (change of dates)
- Additional documentation
- Client/Third Party Contribution
- New income
- Other

ATTACHMENT B

Request Action Window: Referrals and Outcomes tab

Version 17.1.1 – Paperless Office System – [Request Action]   8:13:48 AM   Wednesday, May 15, 2013

File Edit Tools Window Help

Request Type: Rent in Advance (to secure an Apartment)   **Financially Eligible for: EAF?** Yes   **E-SNA?** NA   **EAA?**

Grant Info: Complete   **Referrals and Outcomes:** Complete   **Documentation and Verification:** Complete

| Grants | Referrals and Outcomes | Documentation and Verification |

Referrals

Referral to HDU: ◉ Yes ○ No   **Details:**

Referral to RAU: ◉ Yes ○ No   **Details:** Sufficient Income to Pay Future Rent

Referral to Housing Court: ○ Yes ○ No   **Details:**

Referral to Center Management: ○ Yes ○ No   **Details:**

Landlord Contact: ○ Yes ○ No   **Details:**

Comments:

Close   Next Request   Previous Request

Request Action Window: Documentation and Verification Tab

No Documents Needed Example:

Documents Needed Example:

Single Issue Grant Summary Window

The **Single Issue Grant Summary** window will be updated with the approved grant. HDU or designated staff must process the grant in the **Single Issue Data Entry** window (accessed by selecting **Grant Details**). See **PD #10-22-SYS Single Issuance Grant Requests in POS** for more information.

Form W-146E LLF
Rev. 12/3/09

NYC | **Human Resources Administration** Department of Social Services | Family Independence Administration

Date: _____

Case Number: _____

Case Name: _____

Request to Pay Rent Arrears in Excess of Cash Assistance Maximum Shelter Allowance

I, _____, am requesting assistance to pay rent arrears to avoid eviction.
　　　　　(Name)

I understand that my rent is in excess of the cash assistance maximum shelter allowance for my household size.

I understand that in order to have this request approved, I must provide documentation showing how future rent payments will be made, including a statement from a third party who will help me pay my rent.

I understand that the rent arrears payment will be made in the form of a check made payable to my landlord.

If any of the rent arrears advanced to me duplicates assistance previously given to me by the Human Resources Administration, I agree to the recoupment of such portion of the arrears payment.

Applicant/Participant's Signature: _____ Date: _____

Agreement by Third Party to Pay Excess Rent

I, _____, affirm that:
　　　　　(Name)

I agree to pay the excess rent in the amount of $ _____ for the apartment occupied

by _____ at _____,
　　　(Applicant/Participant's Name)　　　　　　　　　　　(Applicant/Participant's Address)

effective _____. The payment will be made directly to the:

☐ aforementioned applicant/participant

☐ landlord (name and address):

_____

_____

My income, indicated below, is sufficient to meet all of my expenses as well as the excess rent payment.

　　　My monthly household income is: _____ My shelter expense is: _____

　　　The proof of income I am submitting is:

☐ Pay stubs, W-2 form and/or letter from employer on employer's stationery from:

_____
　　　　　　　　　　　　(Employer's Name and Address)

☐ Proof of other income/source:

_____

My relationship to the applicant/participant is: _____

My address is: _____

The above information is true and correct.

Signature: _____ Date: _____

NYC Human Resources | Family Independence
Administration | Administration
Department of
Social Services

Date: _____

Case Number: _____

Case Name: _____

Center: _____

Notice of Approval of the Request to the Rental Assistance Unit
Rent arrears checks are to be issued direct vendor only.

We agree to pay $ _____ provided that the case is in active status or otherwise eligible for assistance.

Condition to be met by Applicant/Participant

SAMPLE

NYC | **Human Resources Administration** Department of Social Services | Family Independence Administration

Date: _____

Case Number: _____

Case Name: _____

Originating Center: _____

Rental Assistance Unit (RAU)
Case Documentation Transmittal

The Family Independence Administration (FIA) requires that all submissions to the RAU be accompanied by relevant documentation.

Documentation attached (check ☑ all that apply):

☐ Court-ordered Stipulation with LT/Index Number

☐ Notice of Petition

☐ Petition

☐ Notice of Motion

☐ Order to Show Cause

☐ Breakdown of rent arrears by landlord

☐ Letter from nonprofit organization on official letterhead stating contribution toward arrears

☐ Copy of money order if tenant claims that he/she has money to contribute toward arrears

☐ "Third-party" verification if tenant states that he/she has family or friends to assist with arrears and/or ongoing rent (**Form W-146E**)

☐ Income verification (such as paystubs, award letters, and UIB, etc.)

☐ Resources (such as bank accounts, pensions, 401Ks, and IRAs)

☐ Medical documentation

☐ Broker's License

☐ Lease

☐ Voucher Signed by Landlord

☐ Unforeseen emergency

Describe and document: _____

_____

☐ Other: _____

JOS/Worker: _____
(print name)

AJOSII/HDU-AJOSI: _____
(print name)

_____
(signature)

Telephone: _____ Fax: _____

NYC Human Resources Administration | Family Independence Administration
Department of Social Services

Rental Assistance Unit
Applicant/Participant Data Sheet

Case Number: _____   Originating Center: _____

Case Name: _____

Address: _____   Prepared by: _____

_____   Reviewed by (AJOS II/HDU-AJOS I): _____

_____   Unit: _____

Current Telephone: _____   Telephone: _____

Reason for non-payment of rent: _____   Fax Number: _____

_____   Date sent to RAU: _____

Legal documents? ☐ Yes   ☐ No

(Note: All documents must be scanned into the case record.)

OBSOLETE

☐ Applicant   ☐ "One-Shot"   ☐ Participant

If applicant requests "One-Shot" indicate income source and amount:

☐ UIB: $ _____   ☐ Self-employment: $ _____   ☐ 401k: $ _____

☐ SSA: $ _____   ☐ Union Benefits: $ _____   ☐ SSI: $ _____

☐ Pension: $ _____   ☐ Stocks: $ _____   ☐ Other (specify): _____

Household Composition   Number of Adults: _____ Ages: _____

Number of Children: _____ Ages: _____

Are there "at risk" factors involved with this case?

If Yes, details: If SSI or SSD, describe the disability: _____

_____

_____

_____

Arrearage

Arrears Requested: _____

Excess Rent: _____

Recoupable Rent: _____

CA Level: _____

Non-Recoupable Rent: _____

Period(s): _____

Other fees (legal fees, marshal's fees, etc.): _____

_____

Rent

Restricted: ☐ Yes   ☐ No

Date of Restriction: _____

Actual Rent: _____

Excess Rent: _____

Mortgage Arrears Situation (see page 2): ☐ Yes   ☐ No

Mortgage Arrears Situation

When was property purchased? _____   Purchase price? _____

Terms of mortgage _____   2nd/3rd mortgage: _____

Equity in home? ☐ Yes ☐ No   If Yes, amount? _____

Income producing property? ☐ Yes ☐ No   If Yes, amount? _____
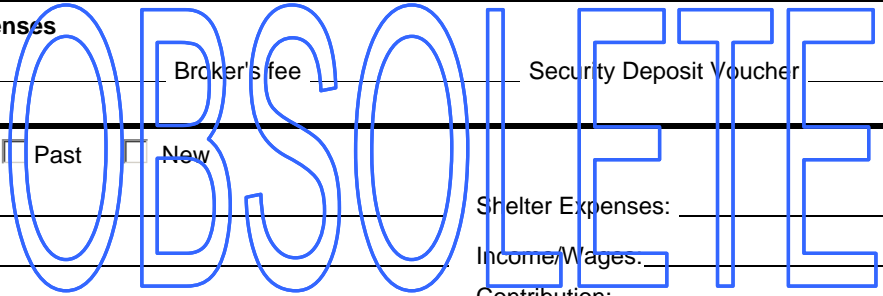
How was home afforded? _____   Down payment? _____

_____   Mortgage holders? _____

_____   _____

How will mortgage be paid in the future? _____   _____

_____   Foreclosure action? _____

_____   _____

New Apartment Expenses

First month's rent _____   Broker's fee _____   Security Deposit Voucher _____

Third-Party Donor   ☐ Past   ☐ New

Name: _____   Shelter Expenses: _____

Address: _____   Income/Wages: _____

_____   Contribution: _____

_____   _____

Has the applicant/participant requested exception to policy within the past twelve months/prior twelve months?

If Yes, date(s): _____

Details: _____

_____

_____

_____

Can the applicant/participant be referred for Legal Aid services?   ☐ Yes   ☐ No

JOS/Worker: _____
(print name)

AJOSII/HDU-AJOSI: _____
(print name)

_____
(signature)

Telephone: _____   Fax: _____

NYC **Human Resources** | Family Independence
Administration | Administration
Department of
Social Services

Date: _____

Case Name: _____

Case Number: _____

Center Number: _____

Attention: _____

c.c: _____

Notice of Denial of the Request to the Rental Assistance Unit

Amount Denied: $ _____   **Periods**: _____

Check the request for the specific need below:

Requested Action:

☐ Special Grant
☐ FEPS Arrears Only
☐ FEPS Relocation
☐ FEPS other (specify) _____

Specific Need:

☐ Applicant Arrears
☐ Participant Arrears
☐ Rent, Security
☐ Rent, Security, Brokers Fee
☐ Moving Fees

☐ Other (specify) _____

L&T Number: _____   _____

OBSOLETE

Check the reasons for denial below:

Reasons for Denial (Check all that apply)	
☐ Excessive Arrears	☐ No future ability or plan to pay rent
☐ Excessive Rent	☐ Recidivism
☐ Sufficient income to pay past rent	
☐ Other (specify) _____	
_____	

If new information becomes available, this decision can be reconsidered.
Please call: _____ .

_____   _____
RAU Consultant   Date