



OFFICE OF POLICY, PROCEDURES, AND TRAINING

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POLICY BULLETIN #16-19-OPE (This Policy Bulletin Replaces PB #13-56-OPE)

REVISION TO THE RENTAL ASSISTANCE UNIT REFERRAL PROCESS

<p>Date: February 25, 2016</p>	<p>Subtopic(s): Preparation of RAU packet</p>
<p> This procedure can now be accessed on the FIAweb.</p>	<p>Revision to the Original Policy Bulletin:</p> <p>This policy bulletin has been revised to instruct Rental Assistance Unit (RAU) staff to approve requests for rent in advance, for Housing Preservation and Development (HPD) Section 8 recipients, equivalent to one month rent when the rent is in excess of the Cash Assistance (CA) maximum shelter allowance.</p> <p>Purpose:</p> <p>The purpose of this policy bulletin is to inform Case Management Unit (CMU), Homeless Diversion Unit (HDU), and RAU staff about the RAU referral process.</p> <p>RAU Packet Preparation for Rental Arrears</p> <p>All staff must scan and index the following as part of the RAU packet referral for rental arrears:</p> <ul style="list-style-type: none"> • 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 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 documentation such as notices, petitions, stipulations and orders show cause. • If the case has a hardship situation, proof of the hardship. • Verification of income and resources, if applicable.

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

New information

RAU Packet Preparation for Rent in Advance

All staff must scan and index the following as part of the RAU referral packet for requests for rent in advance:

- An explanation of the need to move;
- A letter of intent to rent requesting the fees needed to secure the apartment;
- the lease;
- the broker's license (if applicable) and;
- landlord proof of ownership (if dwelling has fewer than six units); and
- Section 8 voucher (if applicable)

Refer to the Preparation of the RAU Packet (**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.

RAU Referral Process in POS for Rental Arrears/Rent in Advance

Designated CMU JOS/Workers will refer cases to HDU and HDU/designated CMU supervisors will refer cases from HDU to RAU through POS. Refer to the POS HDU Instructions (**Attachment B**) for more information on the referral process.

Note: Depending on the Center, the 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.

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

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.

For information on accessing the HRA OneViewer, refer to [PB #10-103-SYS](#)

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 one of this procedure.

After the HD/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 the Rental Assistance Database (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.

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.

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

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

- Rent arrears, mortgage arrears, or mortgage taxes for case in the Emergency Assistance to Adults (EAA) category, when:
 - Less than five months arrears is owed; and
 - The monthly arrears is less than 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.

Housing Related requests referred directly to RAU

CMU JOS/Workers will refer requests for the first month’s rent if it is above the agency maximum rent levels for the household size directly to RAU.

New information

RAU staff must approve the full first month rent in advance (and pro rata share, when applicable) for clients who receive an HPD Section 8 housing subsidy, if other eligibility factors are met.

Reminder

Applicants/participants who have NYCHA/Section 8 or who have a non-HPD Section 8 voucher and request rent in advance above the agency maximum will have their eligibility determined by RAU on a case-by-case basis.

Approval of Requests for Rental Assistance

If the request is approved by the RAU staff, the RAU Supervisor must give final authorization on the case. Once the request is approved, Notice of Approval of the Request to the Rental Assistance Unit (**W-153Q**) form is completed by RAU via RAD.

A blank section on the **W-153Q** called “**Condition to be met by Applicant/Participant**” is where the RAU Worker will enter the conditions to be met for approval.

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

In emergency situations, in which the applicant/participant must provide proof of assistance to the court and the RAU JOS/Worker cannot prepare the shelter allowance checks in a timely manner to prevent an eviction, the RAU 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 RAU JOS/Worker must not utilize from **W-153Q** to notify the applicant/participant of the Agency’s decision on his/her request for rental assistance except in an emergency situation, if 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.

Reminder

Refer to [PB #15-74-OPE](#) Revisions to the Centralized Rent Processing Unit Processing of RAU Approvals of Rent Arrears for information on CRPU rental assistance approval processing.

Once RAU has approved a request for rent arrears or rent in advance, RAU will forward the approval for processing by the Centralized Rent Processing Unit. CMU/HDU JOS/Worker will be able to review the RAU approval but cannot take any actions on those approvals.

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. The Job Center staff will provide the **Form W-145HH** (for applicants) or **W-137B** (for participants) to the applicant/participant to inform them of the denial.

Effective Immediately

Related Items:

- [PB #10-103-SYS](#) HRA OneViewer
- [PB #12-102-SYS](#) CA POS Release Notes Version 16.3
- [PB #15-74-OPE](#) Revisions to the Centralized Rent Processing Unit Processing of RAU Approvals of Rent Arrears

Attachments:

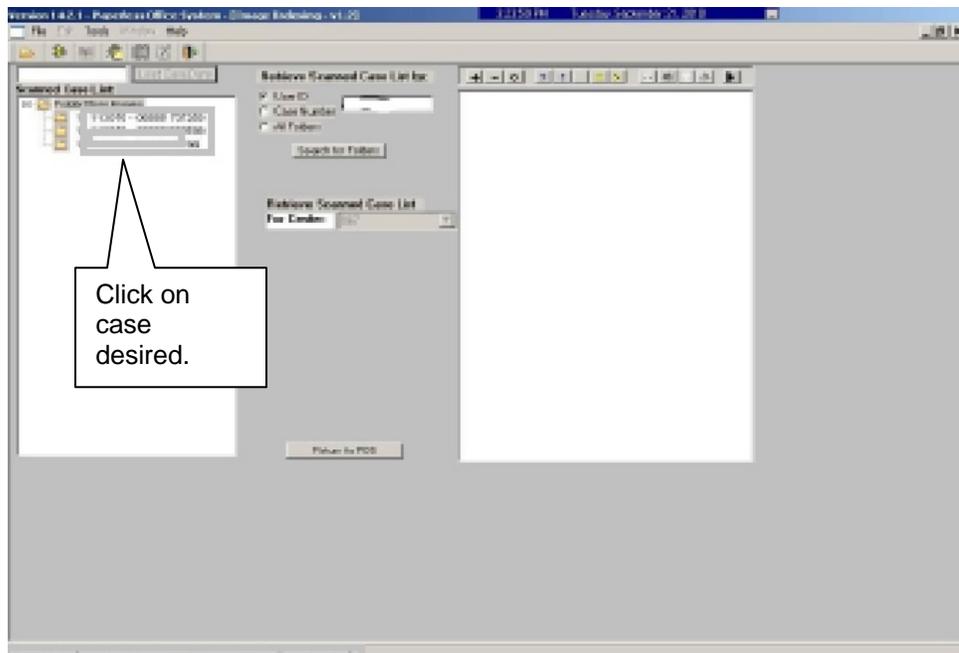
- Attachment A** Preparation of the RAU Packet
- Attachment B** POS HDU Instructions
- W-146E** Request to Pay Rent Arrears in Excess of Cash Assistance Maximum Shelter Allowance (Rev. 12/3/09)
- W-153Q** Notice of Approval of the Request to the Rental Assistance Unit (Rev. 6/13/13)

 Please use Print on Demand to obtain copies of forms.

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:

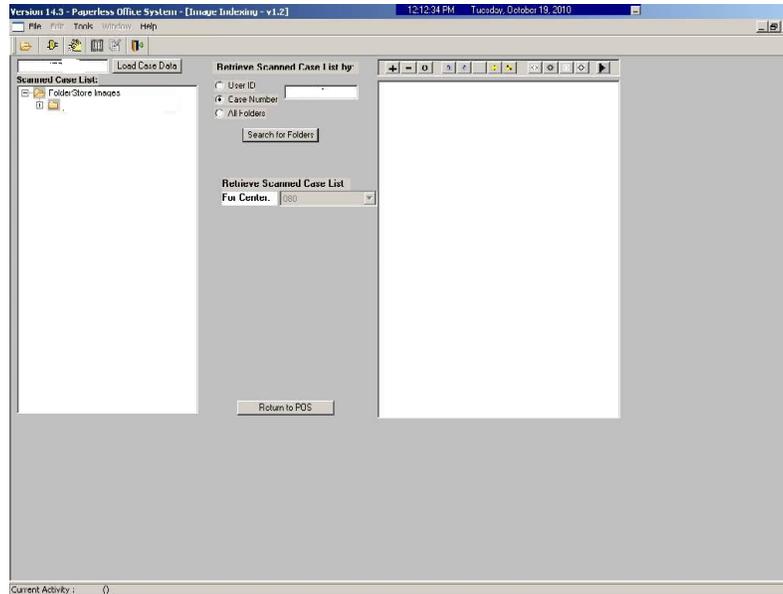
- Select **Tools** from the menu bar in POS.
- Select **Digital Sender Image Indexing**.

POS will then access the **Image Indexing** application.



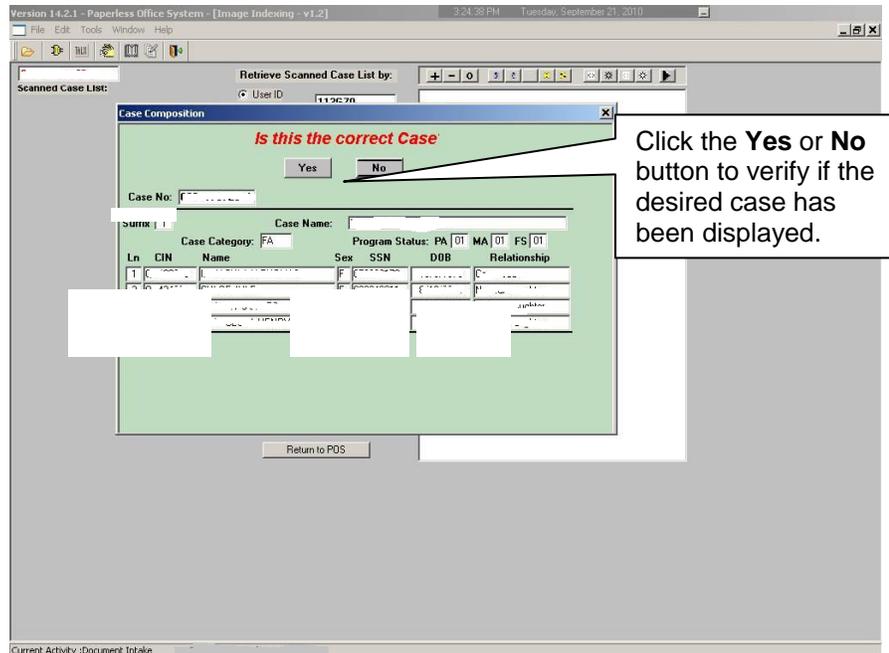
After a successful search is completed, a list of scanned cases associated with the **UserID** will appear in the **Scanned Case List:** field. To select a particular case the JOS/Worker must:

- Click on the desired case.



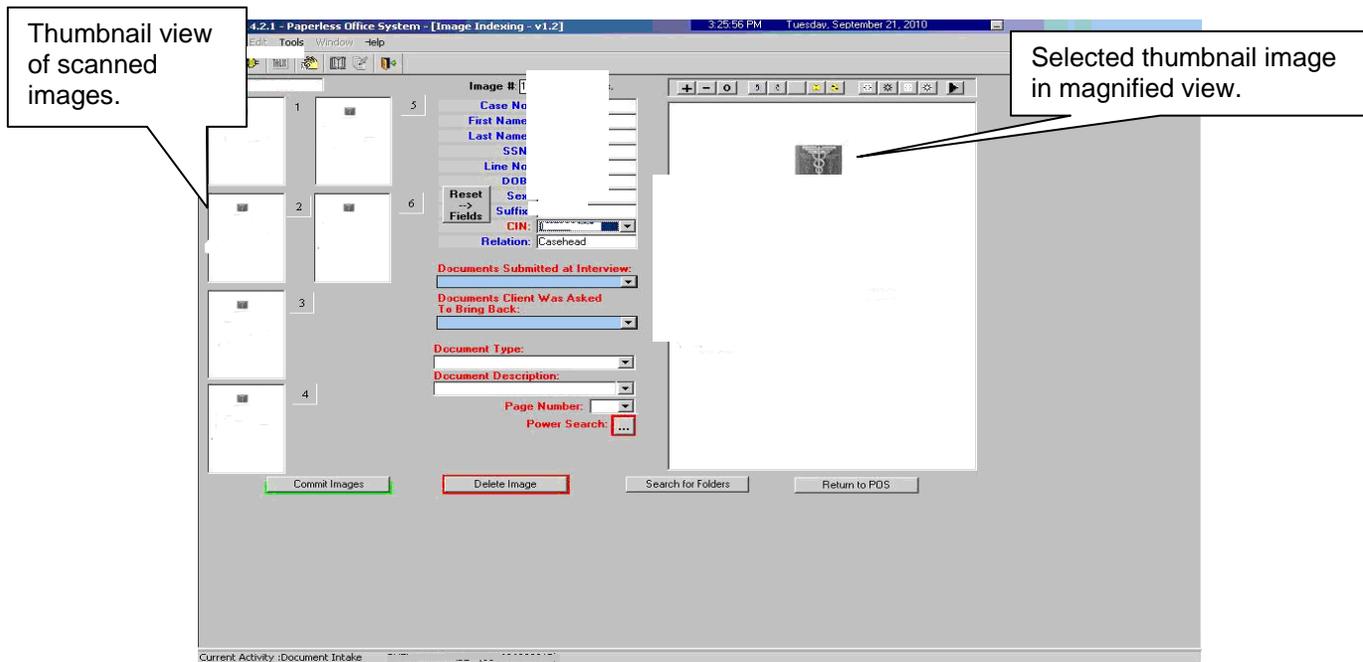
The case number selected will populate the **Load Case Data** field.

- 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 Number** and **Case Name** in the pop-up box are correct, select **“Yes”** to proceed to the **“Digital Index Imaging Screen.”**



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

Version 14.3 - Paperless Office System - [Image Indexing - v1.2]

Image #: 5 of 25 images.

Case No:
First Name:
Last Name:
SSN:
Line No:
DOB:
CIN:
Relation:

Documents Submitted:
Documents Client Was To Bring Back:
Document Type:
Document Description:
RAU Packet

Page Num
Power Search: ...

Commit Images
Delete Image
Search for Folders
Return to POS

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 **CTRL** 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.

Version 14.3 - Paperless Office System - [Image Indexing - v1.2] 12:21:57 PM Tuesday, October 19, 2010

File Edit Tools Window Help

Image #: 5 of 25 images.

Case No.:
First Name:
Last Name:
SSN:
Line No.:
DOB:
Sex:
Suffix:
CIN:
Relation: Casehead

Reset
Fields

Documents Submitted at Interval:
Documents Client Was Asked To Bring Back:
Document Type:
RAU
Document Description:
RAU Packet
Page Number: 1
Power Search: ...

Commit Images Delete Image Search for Folders Return to PDS

Current Activity : 0

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

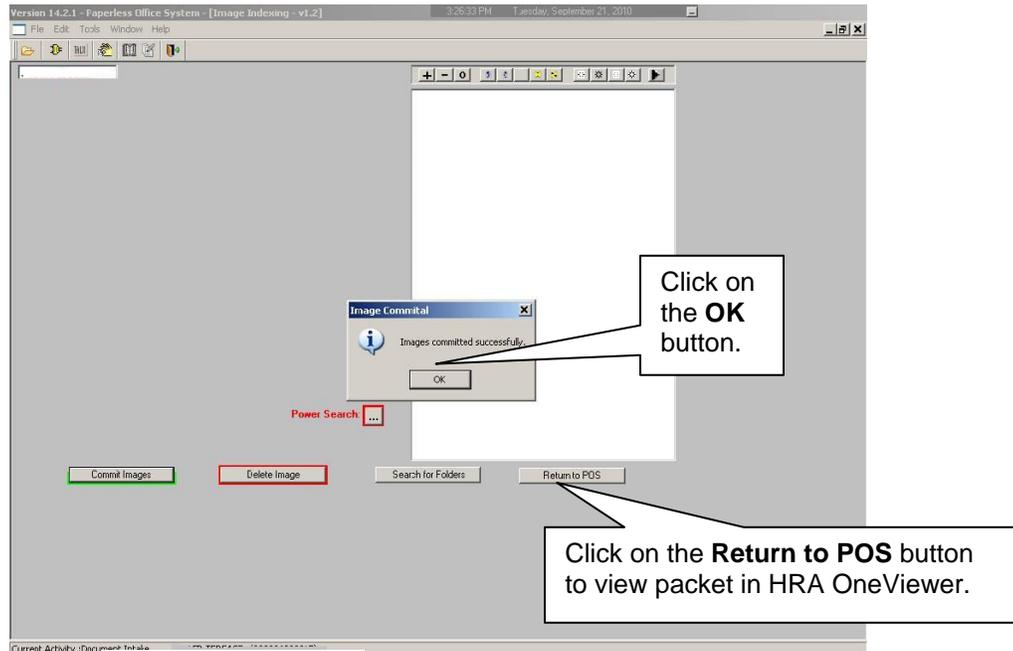
Click on the **Delete Image** button to delete the image.

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 Commital** 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

In the **Referred to HDU from** Window, the HDU worker must complete:

- the **Referred to HDU From** section.
- the **Risk Factors** section.
- a detailed narrative in the **Narrative** section.

Requests will RAU Reconsideration/Addition will also be shown.

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: Case Name:

Referred to HDU From:
Homeless Referral Type: At-Risk Population:
Other Details:

Risk Factors
Risk Factors:
Risk Factors Details:

Requesting RAU Reconsideration/Addition Reason for Reconsideration/Addition
Other Details:

Narrative

HDU Information Screen

Version 16.2 - Paperless Office System - [HDU Information] 11:49:45 AM Friday, August 24, 2012

File Edit Tools Window Help

Instructions: Use the window below to record grant requests. To record a request, click "Yes" for the appropriate row in the window. A Response to Question window will appear to allow you to record the details of the request. Once all requests are recorded, click the Next button to continue.

	Yes	No
Is Employed?	<input checked="" type="radio"/>	<input type="radio"/>
Is Self-Employed?	<input type="radio"/>	<input type="radio"/>
Do You (Or Anyone Who Lives With You) Have A Rent, Mortgage Or Other Shelter Expenses?	<input type="radio"/>	<input type="radio"/>
Are There Rent Or Mortgage/Tax Arrears?	<input type="radio"/>	<input type="radio"/>
Mortgage/Property Tax Arrears?	<input type="radio"/>	<input type="radio"/>
HDU Shelter Arrears Detail	<input type="radio"/>	<input type="radio"/>
Household Resources, Expenses and Other Potential Savings	<input type="radio"/>	<input type="radio"/>
HDU Decision/Plan of Action	<input type="radio"/>	<input type="radio"/>
Document Deferral	<input type="radio"/>	<input type="radio"/>

Spanish Next Previous

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)

INDICATE IF YOU OR ANYONE WHO LIVES WITH YOU THAT IS APPLYING:		Yes	No
Is Employed?		<input checked="" type="radio"/>	<input type="radio"/>
Response to Question			
<p>Info from WRS</p> <p>Employee</p> <p>Employer</p> <p>Street</p> <p>City</p> <p>Zip</p> <p>Wage Year Quarter</p>	<p>Who <input type="text"/></p> <p>Type of Work: Beauty Culture</p> <p>Employer 111 Main</p> <p>Street 111 Main St</p> <p>City Queens</p> <p>State NY Zip -</p> <p>Contact <input type="text"/></p> <p>Title <input type="text"/></p> <p>Phone - -</p>	<p>Start Date 00/00/0000</p> <p>Expected End Date: 00/00/0000</p> <p>Gross income \$00 \$00 \$00 \$00</p> <p>Frequency Hours/Freq... BW</p> <p>Taxes Withheld <input type="radio"/> Yes <input type="radio"/> No</p> <p>Day Paid <input type="text"/></p> <p>Is Health Insurance Available through Your Employer (even if you are not participating)? <input type="radio"/> Yes.. <input type="radio"/> No</p> <p>Do you have child or dependent care expenses due to employment (including job search)? <input type="radio"/> Yes <input type="radio"/> No</p> <p>Do you have other employment-related expenses (including job search)? <input type="radio"/> Yes <input type="radio"/> No</p>	<p>Document... <input type="text"/></p> <p>Scan <input type="checkbox"/></p> <p>Comment <input type="text"/></p>
OK		Cancel	

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

INDICATE IF YOU OR ANYONE WHO LIVES WITH YOU THAT IS APPLYING:		Yes	No
Is Employed?		<input type="radio"/>	<input checked="" type="radio"/>
Is Self-Employed?		<input checked="" type="radio"/>	<input type="radio"/>
Response to Question			
<p>Info from WRS</p> <p>Employee</p> <p>Employer</p> <p>Street</p> <p>City</p> <p>Zip</p> <p>Wage Year Quarter</p>	<p>Who <input type="text"/></p> <p>Company Name <input type="text"/> <input type="radio"/> Yes <input type="radio"/> No</p> <p>Business Address <input type="text"/> <input type="radio"/> Yes... <input type="radio"/> No</p> <p>Business Type <input type="text"/> Business Tel # <input type="text"/></p>	<p>Start Date 00/00/0000</p> <p>Expected End Date: 00/00/0000</p> <p>Gross Income \$0</p> <p>Frequency <input type="text"/></p> <p>Hours Per Frequency <input type="text"/></p> <p>Expenses <input type="radio"/> Yes.. <input type="radio"/> No</p> <p>Monthly Net Income Amount \$00</p> <p>Is Health Insurance Available to You (even if you are not participating)? <input type="radio"/> Yes.. <input type="radio"/> No</p> <p>Do you have child or dependent care expenses due to employment (including job search)? <input type="radio"/> Yes <input type="radio"/> No</p> <p>Do you have other employment-related expenses (including job search)? <input type="radio"/> Yes <input type="radio"/> No</p>	<p>Document... <input type="text"/></p> <p>Scan <input type="checkbox"/></p> <p>Comment... <input type="text"/></p>
OK		Cancel	

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

Response to Question

Shelter Information

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

Restriction Information

Has The Household Requested A Rent Restriction Exemption? Yes No

Rent Restriction Type: Direct Involuntary (PA level)

PA Shelter Amount: 400.00

Is the restriction information the Same As The Landlord Information? Yes 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

Excess Rent Monthly Excess Rent: \$0.00

Document... Scan Comment...

OK Cancel

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

Are There Rent Or Mortgage/Tax Arrears? Yes No

Response to Question

Rent Arrears Arrears Amount: \$1,569.00 Period From: 01/01/2012 Period To: 07/31/2012 Months of Arrears: 08

Mortgage Arrears Arrears Amount: \$0.00 Period From: 00/00/0000 Period To: 00/00/0000 Months of Arrears:

Property Tax Arrears Amount: \$0.00 Property Tax Period From: 00/00/0000 Property Tax Period To: 00/00/0000 Property Tax Months of Arrears:

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...

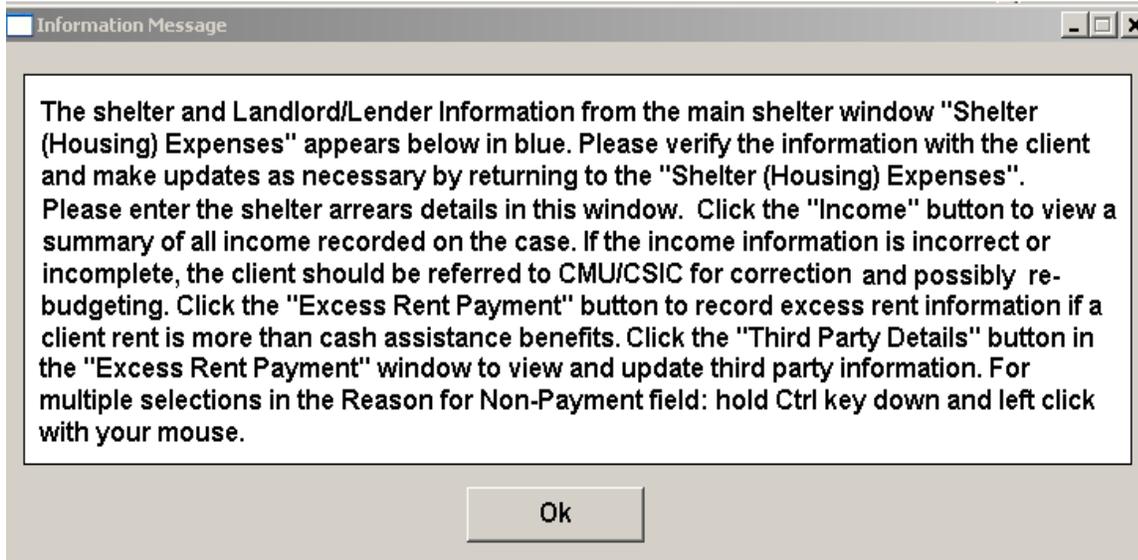
OK Cancel

Mortgage/Property Tax Arrears? Response to Question Window

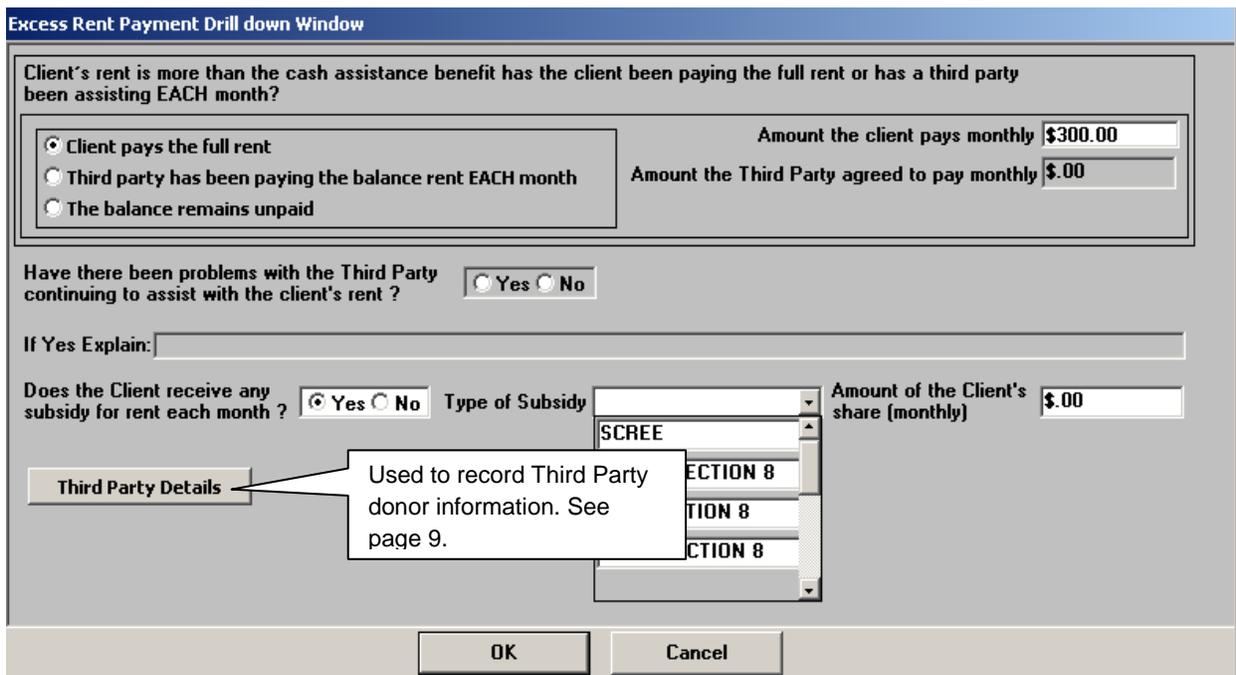
Mortgage/Property Tax Arrears?							
Response to Question							
<p>This window allows you to record the property details for homeowners requesting assistance with Mortgage/Tax Arrears or information for those requesting assistance with a Co-op purchase. For Co-op purchase, the purchase price must be entered and all details about the purchase must be entered in the "How was Home Afforded/Details of Co-op Purchase?" question.</p>							
Type of Request <input type="radio"/> Purchase Co-op Apt <input type="radio"/> Help with Mortgage/Tax Arrears <input type="radio"/> Property Tax Arrears Only		Property Purchase Date <input type="text" value="00/00/0000"/>	Purchase Price (Incl tax, fees & closing costs) <input type="text" value="\$00"/>	Name of Mortgage Holder <input type="text"/>	Terms of Mortgage Years <input type="text"/> Interest <input type="text"/>		
Did you or will you make a Down Payment? <input type="radio"/> Yes <input type="radio"/> No	Down Payment Amount <input type="text" value="\$00"/>	Is Property Producing Income? <input type="radio"/> Yes <input type="radio"/> No	Monthly Amount Received <input type="text" value="\$00"/>	Number of Mortgages <input type="text"/>	Date Last Mortgage was taken <input type="text" value="00/00/0000"/>	Last Mortgage Amount <input type="text" value="\$00"/>	
Equity in Home? <input type="radio"/> Yes <input type="radio"/> No	Equity Amount <input type="text" value="\$00"/>	Foreclosure Action? <input type="radio"/> Yes <input type="radio"/> No	Foreclosure Details <input type="text"/>		How Afforded Home/Details of Co-op Purchase? <input type="text"/>		
Document... <input type="text"/>		Scan <input type="checkbox"/>	Comment... <input type="text"/>				
<input type="button" value="OK"/>				<input type="button" value="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.

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	
<input type="radio"/> Legally Responsible Relative	- -	- -	.00		.00		
<input type="radio"/> Non-Legally Responsible Relative	Net Salary	Freq	Other income	Amount	Freq		
	.00			.00			

Contribution Information

Monthly Contribution Amount	.00	Is this considered a Loan?	<input type="radio"/> Yes <input type="radio"/> No	Is this court ordered payment?	<input type="radio"/> Yes <input type="radio"/> No
Contribution Start Date	00/00/0000	Is Donor still assisting?	<input type="radio"/> Yes <input type="radio"/> No	Contribution End Date	00/00/0000
Contribution given to whom?	<input type="radio"/> To Client <input type="radio"/> 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	
<input type="radio"/> Legally Responsible Relative	- -	- -	.00		.00		
<input type="radio"/> Non-Legally Responsible Relative	Net Salary	Freq	Other income	Amount	Freq		
	.00			.00			

Contribution Information

Monthly Contribution Amount	.00	Is this considered a Loan?	<input type="radio"/> Yes <input type="radio"/> No	Is this court ordered payment?	<input type="radio"/> Yes <input type="radio"/> No
Contribution Start Date	00/00/0000	Is Donor still assisting?	<input type="radio"/> Yes <input type="radio"/> No	Contribution End Date	00/00/0000
Contribution given to whom?	<input type="radio"/> To Client <input type="radio"/> 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 Total

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.

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 if it results in a penalty for liquidating the resource, 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: Case Name:

- Future Rent Payment Plan

Payment Plan w/Landlord:	<input type="radio"/> Yes <input checked="" type="radio"/> No	Status: <input type="text"/>
Pension Loan:	<input type="radio"/> Yes <input checked="" type="radio"/> No	Status: <input type="text"/>
Bank/Credit Union Loan:	<input type="radio"/> Yes <input checked="" type="radio"/> No	Status: <input type="text"/>
Salary Advance:	<input type="radio"/> Yes <input checked="" type="radio"/> No	Status: <input type="text"/>
Retirement/IRA/401K Loan:	<input type="radio"/> Yes <input checked="" type="radio"/> No	Status: <input type="text"/>
Cashing Savings Bond:	<input type="radio"/> Yes <input checked="" type="radio"/> No	Status: <input type="text"/>
Borrow From Family/Friend:	<input type="radio"/> Yes <input checked="" type="radio"/> No	Status: <input type="text"/>
Cash Value of Life Insurance:	<input type="radio"/> Yes <input checked="" type="radio"/> No	Status: <input type="text"/>
Other Potential Resource:	<input type="radio"/> Yes <input checked="" type="radio"/> No	Status: <input type="text"/>
Charity/Church/Synagogue:	<input type="radio"/> Yes <input checked="" type="radio"/> No	Status: <input type="text"/>

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
- Other

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.

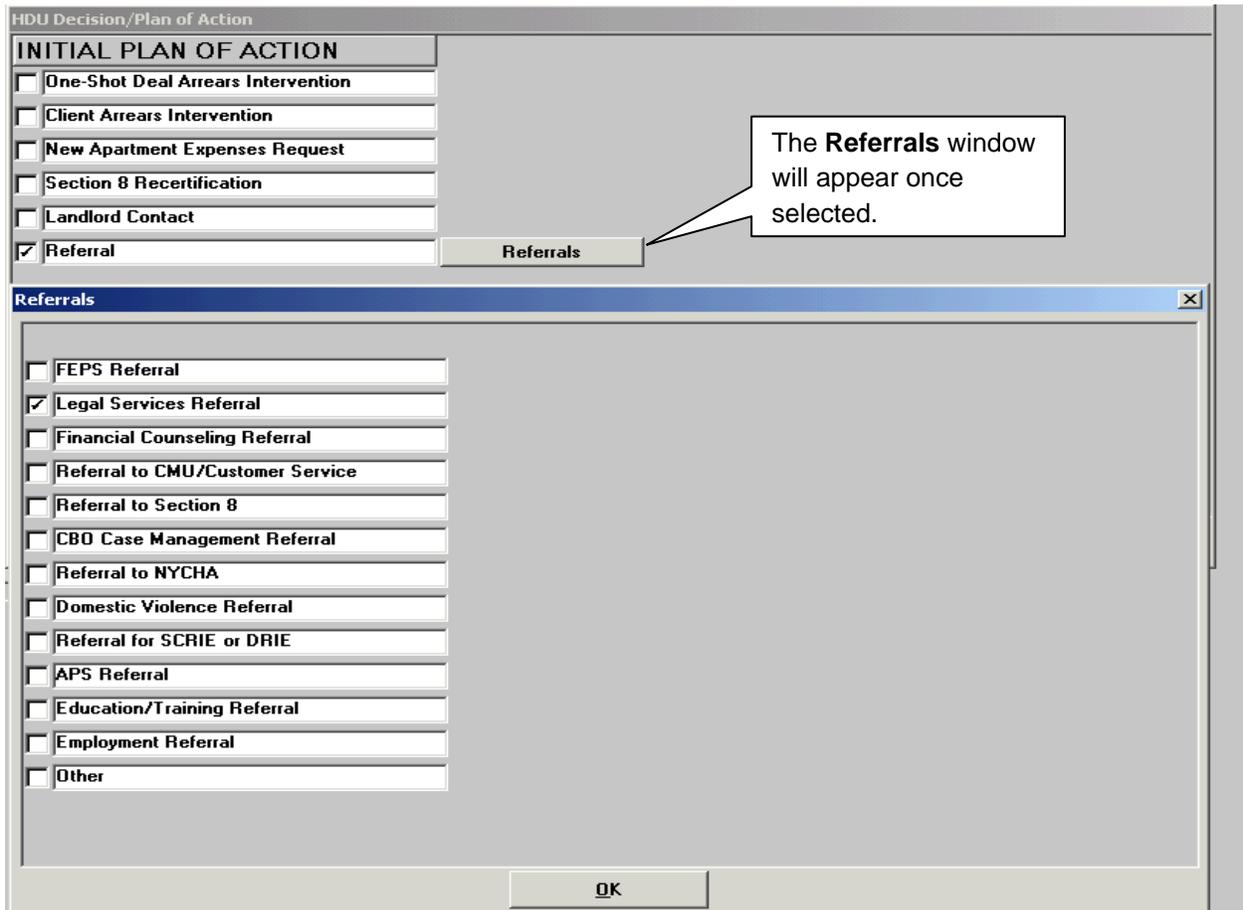
Initial Plan of Action from the HDU Decision/Plan of Action window

The screenshot shows a software window titled "HDU DECISION/PLAN OF ACTION". At the top, there is a text box with the following text: "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". Below this, the window title "HDU Decision/Plan of Action" is repeated. The main area is titled "INITIAL PLAN OF ACTION" and contains a list of checkboxes:

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

To the right of the "Referral" checkbox is a button labeled "Referrals". A callout box points to this button with the text: "Once Referral is checked, select the adjacent Referrals button to enter a specific referral type." At the bottom of the window, there are two sets of "OK" and "Cancel" buttons.

Referrals window from the Initial Plan of Action window



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: Case Name:

Landlord Contact Made? Yes No Discussion Date:

Results of Discussion With Landlord

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

Lease Duration: New Monthly Rent: New Arrears:

Comment..

OK Cancel

OK Cancel

HDU Document Deferral Window

HDU DOCUMENT DEFERRAL WINDOW

Instructions: This HDU Documentation Deferral window lists the names of **all active adult household members over 18 years of age**. If there is someone residing in your household over 18 that does not appear on this list, select "Other Person Not Listed", then enter the name in the "Other Name" field. Once you have selected from the "who" list box, you should select **all of the documents needed for the name you selected only**. For instances when you have more than one selection for a request type, you can make multiple selections per each request type group. Hold the 'Ctrl' button down on your keyboard and left click with your mouse). If you need to make additional request for the next household member, use the "scroll bar" to view the next available row so that you can fill their request information separately

Deferral Due Date: Return Documents To: Homeless Diversion Unit (HDU) Must See Your Worker

Who: Other Name:

Request Type	Select Documentation List	Supporting Information
<input type="checkbox"/> Brokers Fees/Voucher	<input type="text"/>	<input type="text"/>
<input checked="" type="checkbox"/> Mortgage Payments/ Arrears	<input type="text" value="Income tax return for year"/>	<input type="text" value="2011"/>
<input type="checkbox"/> Moving expenses	<input type="text"/>	<input type="text"/>
<input type="checkbox"/> Property Tax Payments/ Arrears	<input type="text"/>	<input type="text"/>
<input checked="" type="checkbox"/> Rent Arrears	<input type="text" value="Income tax return for year"/>	<input type="text" value="2003"/>
<input type="checkbox"/> Security Deposit/ Voucher	<input type="text"/>	<input type="text"/>
<input type="checkbox"/> Other HDU Request:	Specify: <input type="text"/>	<input type="text"/>

Comments:

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

Version 16.2.1 - Paperless Office System - [SI Grant Requests and Issuance] 5:35:09 PM Wednesday, Aug

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 Action: This Task must be completed before proceeding. Status: No Action Required	NA
2.	Task Name: Record Special Grant Requests Action: This Task must be completed before proceeding. Status: Completed	GO
3.	Task Name: Requests Details Action: This Task must be completed before proceeding. Status: No Action Required	NA
4.	Task Name: EAF, E-SNA and EAA Financial Eligibility Determination Action: This Task must be completed before proceeding. Status: No Action Required	NA
5.	Task Name: Print Forms for Client to Sign Action: This Task must be completed before proceeding. Status: No Action Required	NA

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

Version 16.3 - Paperless Office System - [Approval Elements] 1:46:28 PM Monday, January 14, 2013

File Edit Tools Window Help

Disapproved Element
Address Information Approval Edit
 Add Comment

Disapproval Reasons Review Comment Log

Disapproved Element
Identity,Citizenship,Relationship,Residence,SSN,Age&Household Composition Approval Edit
 Add Comment

Disapproval Reasons Review Comment Log

Disapproved Element
Identity,Citizenship,Relationship,Residence,SSN,Age&Household Composition Approval Edit
 Add Comment

Disapproval Reasons Review Comment Log

Next Refer to RAU Previous
 Refer Back to Worker

Activity Includes Ready SI Grants: No
 Highest PA Issuance Code Total: 0
 Grants Needing Center Director (Admin JOS II) Approval:
 Next Level: ADMIN JOS

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

Supervisory Approval – HDU Information Example

Version 16.2.1 - Paperless Office System - [Supervisory Approval-Shelter] 5:38:21 PM Wednesday, August 22, 2012

File Edit Tools Window Help

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

Shelter Type	Actual Amount Charged For Rent/Mortgage	Frequency	Rent Charged to Secondary Tenant	Frequency	Verified
23	\$0	M		00	Yes

Housing Advantage Indicator (HAI) _____

No One Pays Rent, Mortgage or Other Shelter Expense Shelter Type _____ Number of bedrooms _____
Monthly PA Shelter Amount _____

Landlord Information:
Landlord Type _____
Name _____
Address _____
Phone _____ NY
SSN _____ Tax Number _____

Rent Restriction Info:
Restriction Type _____
PA Shelter Amount: _____
Name _____
Address _____ NY
Routing _____

Supervisory Review

Documents: _____ Documents Reviewed: _____

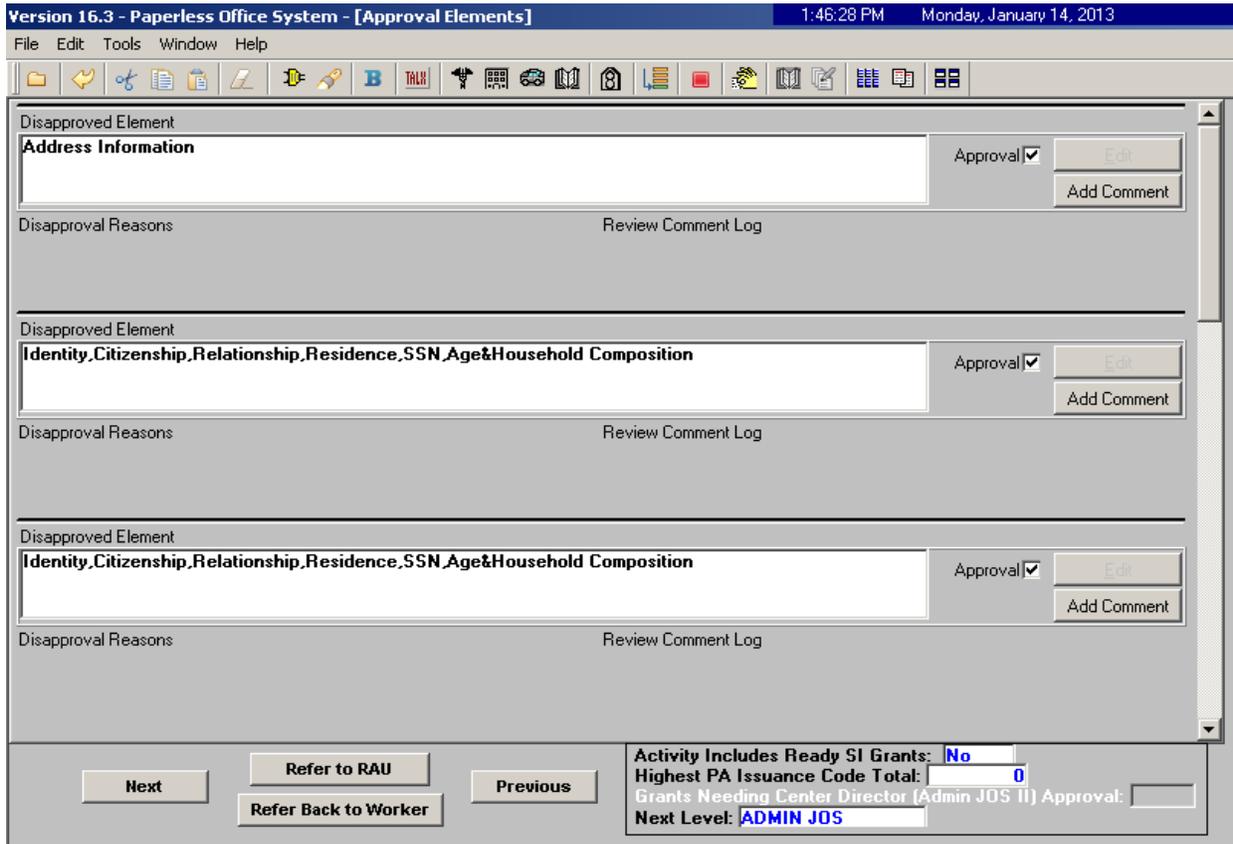
Approve
 Disapprove

Disapproval Reasons

Preview Comment Log

Supervisory Review Area

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

The screenshot shows the 'Paperless Office System - [Request Action]' window. The top status bar indicates the time is 8:16:48 AM on Wednesday, May 15, 2013. The main window has a menu bar (File, Edit, Tools, Window, Help) and a header area with the following information:

- 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**

The 'Grants' tab is active, showing the following fields and options:

- SI Grant Details:
 - SI Grant Needed? **Yes** **No**
 - Decision Due Date: **05/17/2013** Overdue? **No**
 - Comments: [View Benefit Issuance History](#)
- SI Grant Decision:
 - RAU Referral Required? **Yes** Ready for Referral to RAU? **Yes** **No** Was Decision Received? **Yes** **No**
 - Decision: **Issue Grant** **Issue Grant Conditionally** **Deny Grant**
 - Conditions:
 - Submit Addition to RAU? **Yes** **No** Reason: **Additional Documentation**
 - Not ready for decision**
 - Accept** Approved Amount: \$ /00/0000 To: 00/00/0000
 - Deny** Denied Amount: \$.00

At the bottom of the window are three buttons: **Close**, **Next Request**, and **Previous Request**.

Two callout boxes provide instructions:

- One points to the 'Submit Addition to RAU?' radio button, stating: "Select **Yes** button to **Submit Addition to RAU?** Question."
- Another points to the 'Reason' dropdown menu, stating: "Select reasons for **Submit Addition to RAU** here."

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: Financially Eligible for: EAF? E-SNA? EAA?

Grant Info: Referrals and Outcomes: Documentation and Verification:

Grants | **Referrals and Outcomes** | Documentation and Verification

Referrals

Referral to HDU: Yes No Details:

Referral to RAU: Yes No Details:

Referral to Housing Court: Yes No Details:

Referral to Center Management: Yes No Details:

Landlord Contact: Yes No Details:

Comments:

Request Action Window: Documentation and Verification Tab

No Documents Needed Example:

The screenshot shows the 'Paperless Office System - [Request Action]' window. The title bar includes 'File Edit Tools Window Help'. The 'Request Type' is 'Back Rent or Carrying Charges'. Financially Eligible for: EAF? Yes, E-SNA? NA, EAA? . Grant Info: Complete, Referrals and Outcomes: Complete, Documentation and Verification: Complete. The 'Documentation and Verification' tab is active. The question 'Does the client need to bring back documents?' has 'No' selected. There is a 'Comments:' text box. At the bottom are buttons for 'Close', 'Next Request', and 'Previous Request'.

Documents Needed Example:

The screenshot shows the 'Paperless Office System - [Request Action]' window. The title bar includes 'File Edit Tools Window Help' and the system clock shows '8:48:47 AM Monday, January 28, 2013'. The 'Request Type' is 'Back Rent or Carrying Charges'. Financially Eligible for: EAF? Yes, E-SNA? NA, EAA? . Grant Info: Complete, Referrals and Outcomes: Complete, Documentation and Verification: Complete. The 'Documentation and Verification' tab is active. The question 'Does the client need to bring back documents?' has 'Yes' selected. Below it, 'Due date for client to return with documents:' is '02/07/2013'. There is a radio button for 'Collateral Contact Made?' with 'No' selected. An 'Action Taken:' dropdown menu is empty. There is a 'Comments:' text box. At the bottom are buttons for 'Close', 'Next Request', and 'Previous Request'.

Single Issue Grant Summary Window

Version 16.2.1 - Paperless Office System - [Single Issue Grant Summary] 5:49:46 PM Wednesday, August 22, 2012

File Edit Tools Window Help

Case Number: Case Name: Suffix:

Re-Use Case Number: Center: Category:

Filters

Show PA Grants Show FS Grants

Code	Description	From / To	Created	Amount	Next Month Amount	Special	Status
30	30 - Rent Payments in Excess of Maximum	08/01/2012-08/31/2012	08/22/2012	\$800.00		E-Check	Awaiting Action

Select **Grant Details** to access the **Single Issue Data Entry** 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.

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: _____

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