POLICY BULLETIN #19-16-OPE

REVISION TO THE RENTAL ASSISTANCE UNIT REFERRAL PROCESS
(This Policy Bulletin Replaces PB #16-55-OPE)

Date: March 22, 2019	Subtopic(s): Preparation of RAU packet

Revisions to the Original Policy Bulletin:

This policy bulletin has been revised to:

- Increase the number of months of rent/mortgage/property tax arrears that may be paid from four (4) to six (6) for individuals applying <u>only</u> for a one-shot deal (OSD);
- Increase the rent/mortgage/property tax arrears to the **actual rent** up to $7,200 for up to six (6) months for individuals applying <u>only</u> for a OSD;
- Include applications for Emergency Assistance to Adults (EAA) in the above <u>two</u> criteria;
- Identify when staff at the Job Center will process a rent/mortgage arrears OSD request without a referral to the Homeless Diversion Unit (HDU) or the RAU;
- Identify when rental/mortgage arrears OSD requests should be referred to the RAU;
- Identify when rental/mortgage arrears OSD requests should be referred to both HDU and RAU.

Purpose:

The purpose of this policy bulletin is to inform Job Center, Case Management Unit (CMU), Homelessness Diversion Unit (HDU), and RAU staff about changes to the RAU referral process for individuals applying <u>only</u> for a one-shot deal (OSD).

The RAU referral process for individuals applying for rent in advance, new apartment expense, moving expense, and assistance with rent, mortgage or property tax arrears who are also applying for ongoing assistance will be handled separately from those applying <u>only</u> for a OSD.

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

New

I. **One Shot Deal Only Cases**

New

Beginning February 19, 2019, the CMU JOS/Worker will only refer housing-related arrears requests to HDU when certain indicators for the request being considered complex are present. All categories of emergency assistance (EAF, ESNA and EAA) where a OSD is requested would follow the new OSD processing guidelines.

A. Cases Handled by CMU and not Referred to HDU or RAU

Housing-related **OSD only** arrears requests *not* referred to HDU and RAU

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

- It is not complex (as defined on pages 2-3 of this procedure); **and**
- Rent arrears, mortgage arrears, or property taxes are at or below agency level for six (6) months or less; **and**
- Applicant did not receive a housing-related arrears grant in the past 2 years/24 months

B. Cases Referred Directly from CMU to RAU

Housing-related **OSD only** arrears requests referred directly to the RAU.

Revisions

CMU JOS/Workers will refer housing-related OSD only arrears requests directly to RAU in the following instances:

- It is not complex; **and**
- Is more than six (6) months at or below agency level; **or**
- Is for up to six (6) months actual rent, up to $7,200; **and**
- It is a first time request or the applicant did not receive a housing-related grant for rent arrears, mortgage arrears, or property taxes within the past 2 years/24 months

C. Cases Referred From CMU to HDU then to RAU

Housing-related **OSD only** arrears requests referred to HDU and then to RAU.

Revisions

CMU JOS/Workers will refer housing-related OSD only arrears requests to HDU who will then refer to RAU in the following instances:

- Rent arrears, mortgage arrears, or property taxes for more than six (6) months of actual rent; **or**
- The arrears are for more than $7,200 dollars; **or**
- Received a shelter-related arrears grant within the last 24 months; **or**

See [PB #19-07-SYS](#) CA POS Release Notes Version 23.1

- The arrears request is determined to be complex in nature, regardless of amount, timeframe or past request. Complex is defined as:

- Hold over court case
- Marshall's Notice of Eviction
- Post-Eviction case
- Foreclosure case
- Reverse mortgage case
- Property tax arrears or tax liens case
- No future ability to pay
- Not on the lease/not the primary tenant
- City subsidy cases (City FEPS, HOME, LINC, SEPS)
- Other subsidy cases (FEPS, NYCHA, Section 8)
- Failing the poverty level test for EAF and ESNA

New
One Shot Deals Only

II. RAU Referral Process in POS for Rental, Mortgage, or Property Tax Arrears for One Shot Deal Applicants Only

The instructions in this section are for applications for arrears requests where the applicant is <u>not</u> also applying for ongoing assistance.

A. Referrals from CMU Directly to RAU

Designated CMU JOS/Workers will refer OSD cases, when appropriate, to RAU.

New
OSD cases referred from FIA to RAU

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

For cases referred from FIA to RAU, the JOS/Worker must send the case to the Supervisor using the **Non-Food Emergency /Special Grant Activity**.

New

New questions and indicators were added to the rent and mortgage arrears window to determine whether the OSD case should be routed to RAU.

New

A new routing decision alert field was added in POS to determine if the CMU JOS/Worker will have to refer the case to RAU. The routing decision is based on the responses to the questions and indicators from the above screens as well as information about the applicant's income, resources, and if they receive a rental subsidy.

The CMU worker will click on this button to run the rules for routing indicators and system look-ups. Once the JOS/Worker clicks on this button, a message will appear in the routing Decision Alert box. The message will tell the Worker if the case should be referred to RAU based on the criteria in Section I (B) of this procedure.

The Supervisor will refer the case to the RAU via the **Non-Food Emergency /Special Grant Activity**

Viewing the RAU approval/disapproval in POS

The 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.

If the RAU denies the request for shelter arrears the CMU Worker will process the denial and provide the appropriate notice to the applicant/participant.

B. Referrals from CMU to HDU then to RAU

Designated CMU JOS/Workers will refer OSD cases, when appropriate, to HDU. When necessary HDU supervisors will refer OSD cases from HDU to RAU through POS. Please 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 as described on page 6 of this procedure, and refer to RAU as instructed on page 3 of this procedure.

Update
Use of the Non-Food Emergency/Special Grant Activity

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 the **Non-Food Emergency/Special Grant Activity** 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 to HDU for an interview regarding the shelter arrears request if the case is complex as described on page 3 of this procedure.

New

New questions and indicators were added to the rent and mortgage arrears window to determine if the OSD case should be routed to HDU.

New

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New

New

The CMU worker will click on this button to run the rules for routing indicators and system look-ups. Once the JOS/Worker clicks on this button a message will appear in the routing Decision Alert box. The message will tell the Worker the reason for the referral to RAU or to HDU then to RAU.

New
OSD cases referred from FIA to HDU.

The HDU/CMU JOS/Worker no longer has to input initial eligibility information regarding the grant request during the interview with the applicant. For cases referred from FIA to HDU, the information captured in the rent arrears/mortgage arrears prefills the **Shelter Details** window in the **HDU Intake**.

The HDU/CMU JOS/Worker must prepare, scan, and index the RAU packet as described in the RAU Packet Preparation section on page 9 of this procedure.

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

Once the case is assigned, the HDU/CMU JOS/Worker must use the **HDU Intake Activity** to input information regarding the grant request during the interview with the applicant. The HDU/CMU JOS/Worker must prepare, scan, and index the RAU packet as described in the RAU Packet Preparation section on page 9 of this procedure.

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 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](#) 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.

Update
Viewing the RAU approval/disapproval in POS

The HDU JOS/Worker must access the RAU decision by selecting **RAU Recommendation History** from the **Clearance** menu located in the **Tools** bar or select **Referrals and Outcomes** in **Task 6** of the **SI Grants Request** window.

If the RAU denies the request for shelter arrears, the HDU Worker will process the denial and provide the appropriate notice to the applicant.

III. New Apartment, Rent in Advance, and Housing Arrears with Ongoing Cash Assistance Requests

Reminder

The instructions in this section are for applications for new apartment expenses, rent in advance and arrears requests where the applicant is also applying for ongoing Cash Assistance.

A. Housing Related Requests Not Referred to HDU or RAU

Housing related requests not referred to HDU or RAU

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

- Rent arrears, mortgage arrears, or property tax arrears for cases when:
  - Four months or less are owed; and
  - The monthly amount owed is at or below the Agency level for the household size
- Broker's fee vouchers at or below Agency level, when rent in advance and security deposit is not being requested
- Security deposit vouchers at or below Agency level rent when the
  - Applicant is not in receipt of Section 8; and
  - Rent in advance and a broker's fee is not being requested

B. Housing Related Requests Referred Directly to RAU

Housing related requests referred directly to RAU

CMU JOS/Workers will refer requests directly to RAU in the following instances:

- Requests for new apartment first month's rent if it is above the agency maximum rent levels for the household size
- Requests for rent in advance (and pro rata share, when applicable) for all applicants/participants who receive an HPD Section 8 housing subsidy, if other eligibility factors are met

Reminder

RAU staff must approve the full first month rent in advance (and pro rata share, when applicable) for <u>all</u> applicants/ participants who receive an HPD Section 8 housing subsidy.

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.

C. Housing Related Requests Referred to HDU then to RAU

Housing related requests referred to HDU then RAU

CMU JOS/Workers will refer requests to HDU, and then HDU will refer RAU in the following instance:

- Requests for Rental arrears above the agency maximum rent levels for the household size when the client is also applying for ongoing CA

IV. RAU Referral Process in POS for Requests for Rental Arrears and Ongoing Cash Assistance, Rent in Advance, New Apartment Expense

Requests for rental arrears with ongoing assistance, rent in advance and new apartment expenses will follow the referral process for the OSD except:

- the receiving rental subsidy question will not appear;
- the routing decision field will not appear;
- the routing message field will not appear.

This is where the rental subsidy question and routing decision fields would be in the new OSD process

V. RAU Packet Preparation for Rental Arrears

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

- 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.
- Proof of paid current month rent, where available
- 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 to show cause.
- If the case has a hardship situation, proof of the hardship.
- Verification of income and resources, if applicable.

New

VI.   RAU Packet Preparation for Rent in Advance

Reminder

CMU JOSs/Workers must scan and index the following as part of the requests for rent in advance and other new apartment expenses:

- 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);
- landlord proof of ownership (if dwelling has fewer than six units); and
- Section 8 voucher (if applicable)

Note: Staff must scan and index the RAU packets for rent arrears and rent in advance *prior* to referring the case to RAU.

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

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.

VII.   Approved Request for Rental/Mortgage or Property Tax Arrears

If the request is approved by RAU, 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/ Deputy Director will make available a copy of the **W-153Q**, which will be provided to the applicant/participant at court.

Update

Reminder

See [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.

Important: The RAU JOS/Worker <u>must not</u> utilize from **W-153Q** to notify the applicant/participant of the Agency's decision on the request for rental assistance except in an emergency situation such as when 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.

If an emergency situation exits, the staff may also print the **W-636 Notice of Special Grant** from the HRA OneViewer and give the client as verification of assistance to present to the court.

Once RAU has approved a request for rent arrears, or mortgage arrears or property tax arrears, RAU will forward the approval for processing by the Centralized Rent Processing Unit. The 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
[PB #19-07-SYS](#)	CA POS Release Notes Version 23.1

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)

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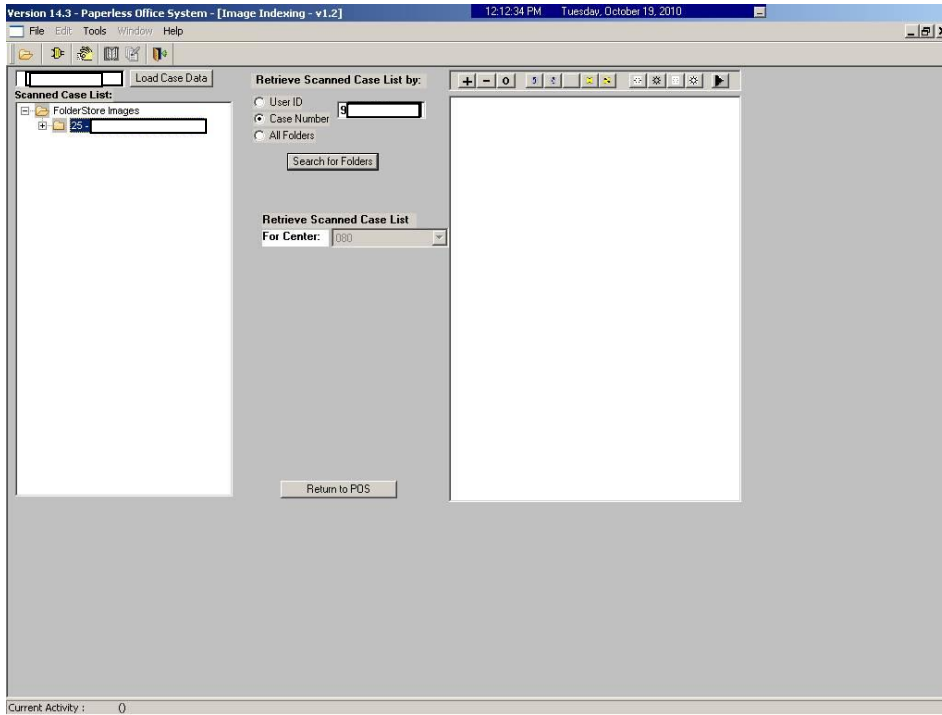
• Select **Tools** from the menu bar in POS.
• Select **Digital Sender Image Indexing**.

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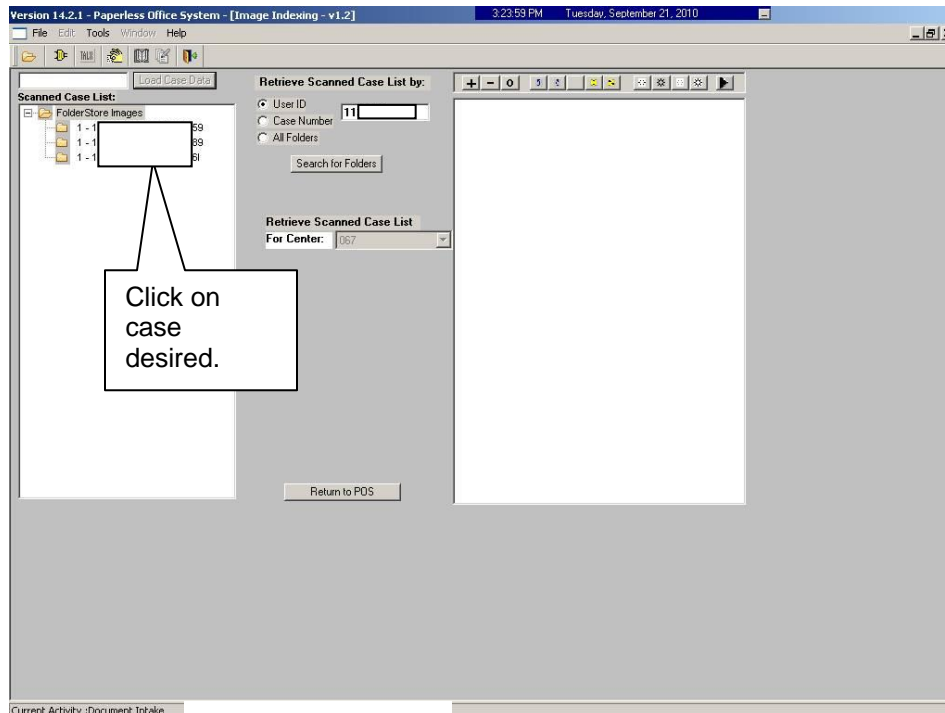
After a successful search is completed, a list of scanned cases associated with the **UserID** will appear in the **Scanned Case List:** field. To select a particular case the JOS/Worker must:

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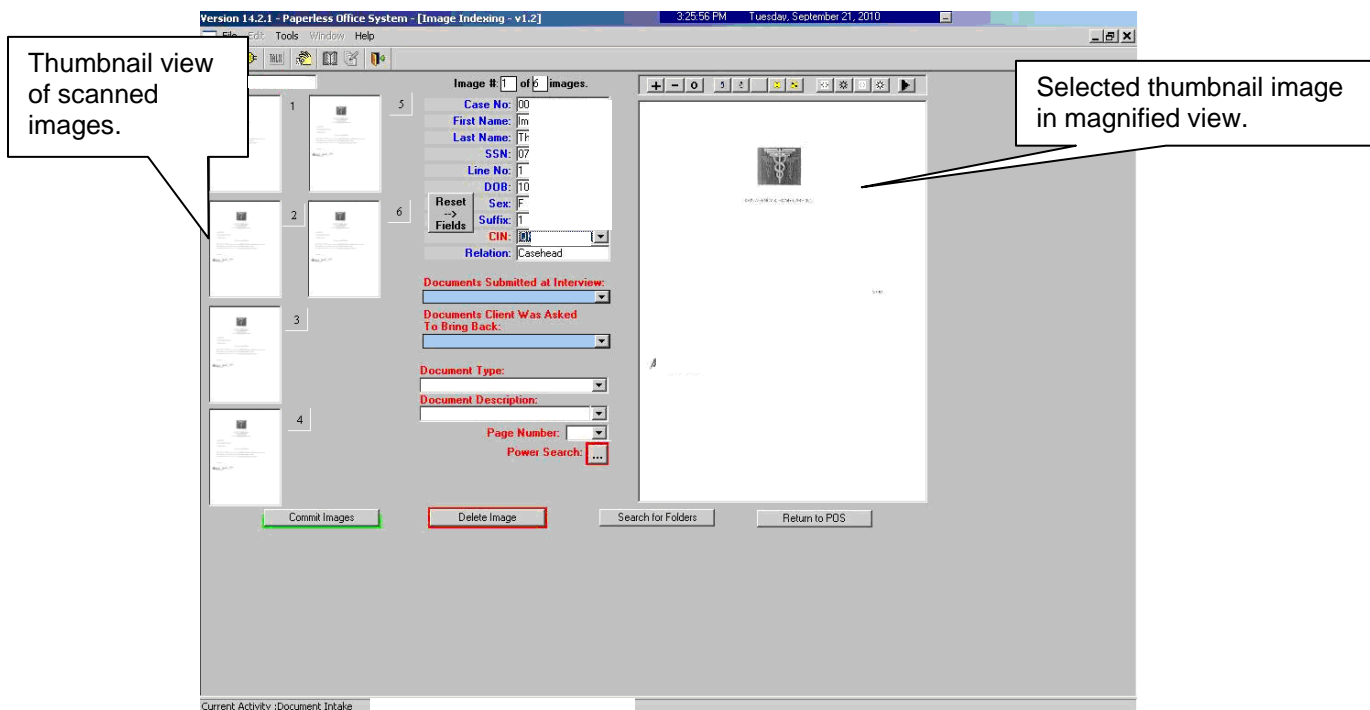
POS displays all the images that were scanned by the JOS/Worker in a thumbnail view. If there are more than eight images, a scroll bar will appear that will allow the JOS/Worker to view/access additional thumbnail images.

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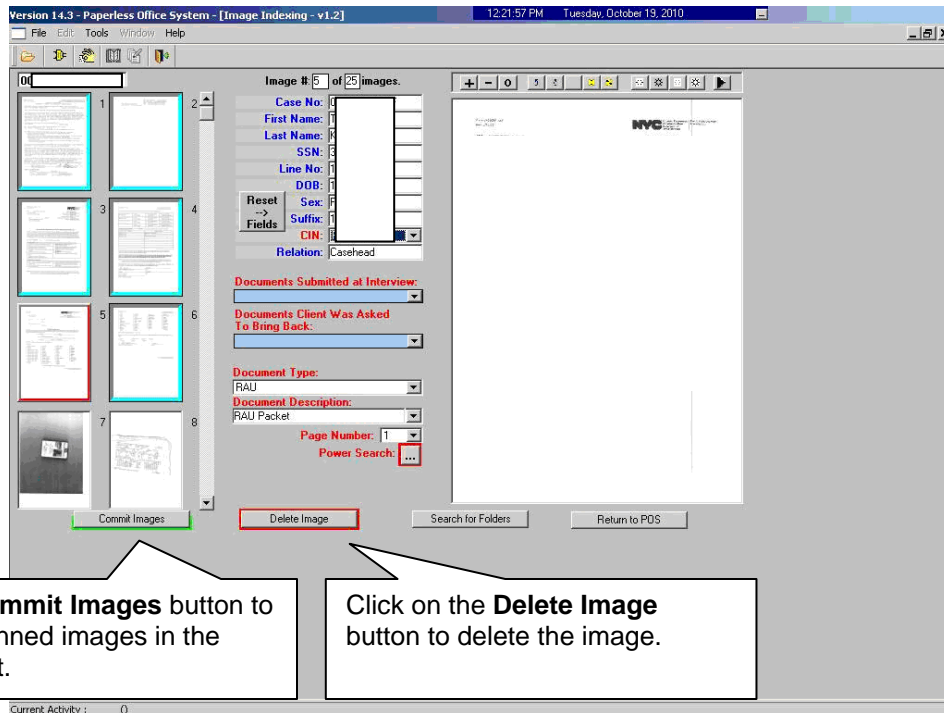
Once the JOS/Worker has selected all the images that are to be indexed and the required fields have been populated with information, the JOS/Worker can commit the images. To commit the images:

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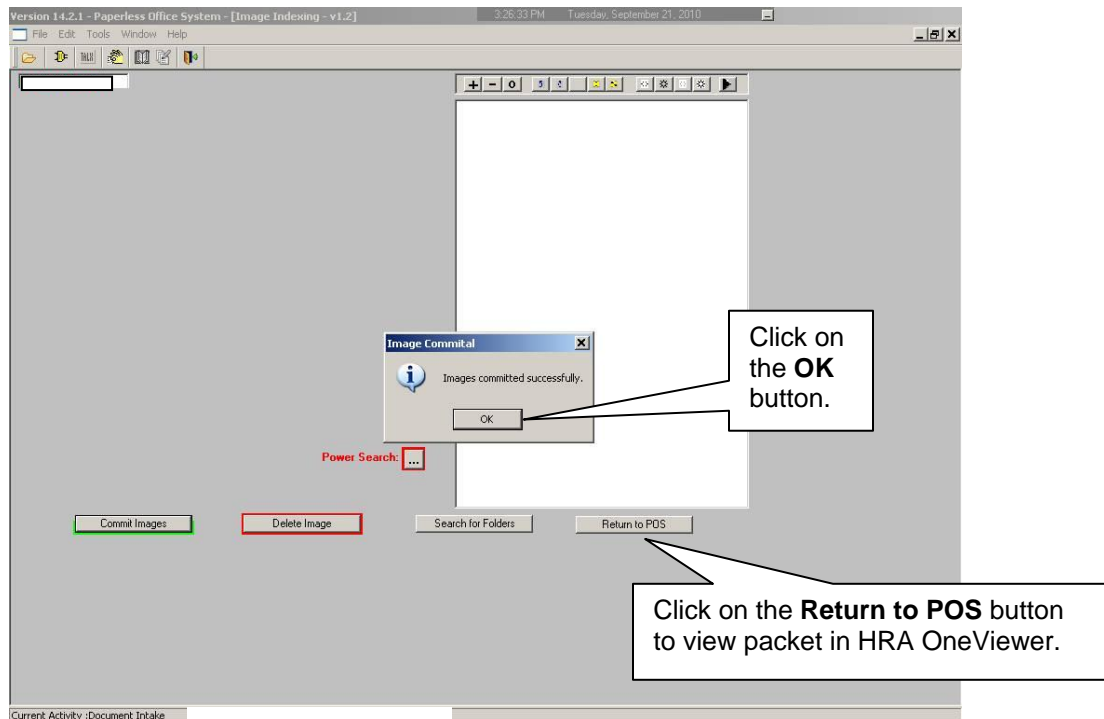
When the images have been successfully combined into the RAU packet, an **Image Committal** information window will appear with the message "**Images committed successfully**". The JOS/Worker must:

- 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: [   ]   Case Name: [   ]

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)

INDICATE IF YOU OR ANYONE WHO LIVES WITH YOU THAT IS APPLYING:	Yes	No
Is Employed?	●	○

Response to Question

Info from WRS

Employee

Employer

Street

City

Zip

Wage   Year Quarter

Who

Type of Work.. Beauty Culture

Employer 111 Main

Street 111 Main St

City Queens

State [NY]   Zip   -

Contact

Title

Phone   -   -

Start Date 00/00/0000   Expected End Date.. 00/00/0000

Gross income $.00 $.00 $.00 $.00

Frequency Hours/Freq... Taxes Withheld   Day Paid
BW   ○ Yes ○ No

Is Health Insurance Available through Your Employer (even If you are not participating)?   ○ Yes.. ○ No

Do you have child or dependent care expenses due to employment (including job search)?   ○ Yes ○ No

Do you have other employment-related expenses (including job search)?   ○ Yes ○ No

Document...   Scan ☐   Comment

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?	○	●
Is Self-Employed?	●	○

Response to Question

Info from WRS

Employee

Employer

Street

City

Zip

Wage   Year Quarter

Who

Company Name ○ Yes   ○ No
Name

Business Address Different from Residence ○ Yes... ○ No

Business Type   Business Tel #
                       -   -

Start Date 00/00/0000   Expected End Date... 00/00/0000

Gross Income Frequency   Taxes Withheld   Day Paid
$0   ○ Yes ○ No
$0
$0   Hours Per Frequency   Expenses   Monthly Net Income Amount
$0   ○ Yes.. ○ No $.00

Is Health Insurance Available to You (even If you are not participating)?   ○ Yes.. ○ No

Do you have child or dependent care expenses due to employment (including job search)?   ○ Yes ○ No

Do you have other employment-related expenses (including job search)?   ○ Yes ○ No

Document...   Scan ☐   Comment...

OK   Cancel

4

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

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

Response to Question

Shelter Information

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

Excess Rent

Monthly Excess Rent: $0.00

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

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	

	Amount
☑ Amortization of mortgage on applicant/recipient-owned property	$1,568.00
☑ Carrying charges on applicant/recipient-owned property	$1,596.00

Document...   Comment...

OK   Cancel

5

Mortgage/Property Tax Arrears? Response to Question Window

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.

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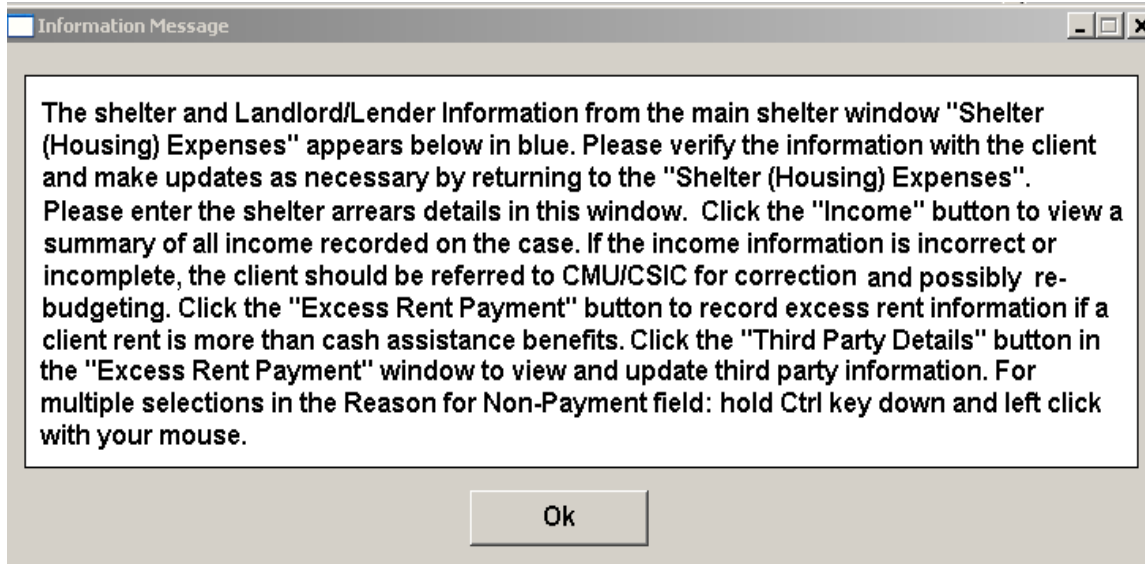
Excess Rent Payment from HDU Shelter Arrears Detail
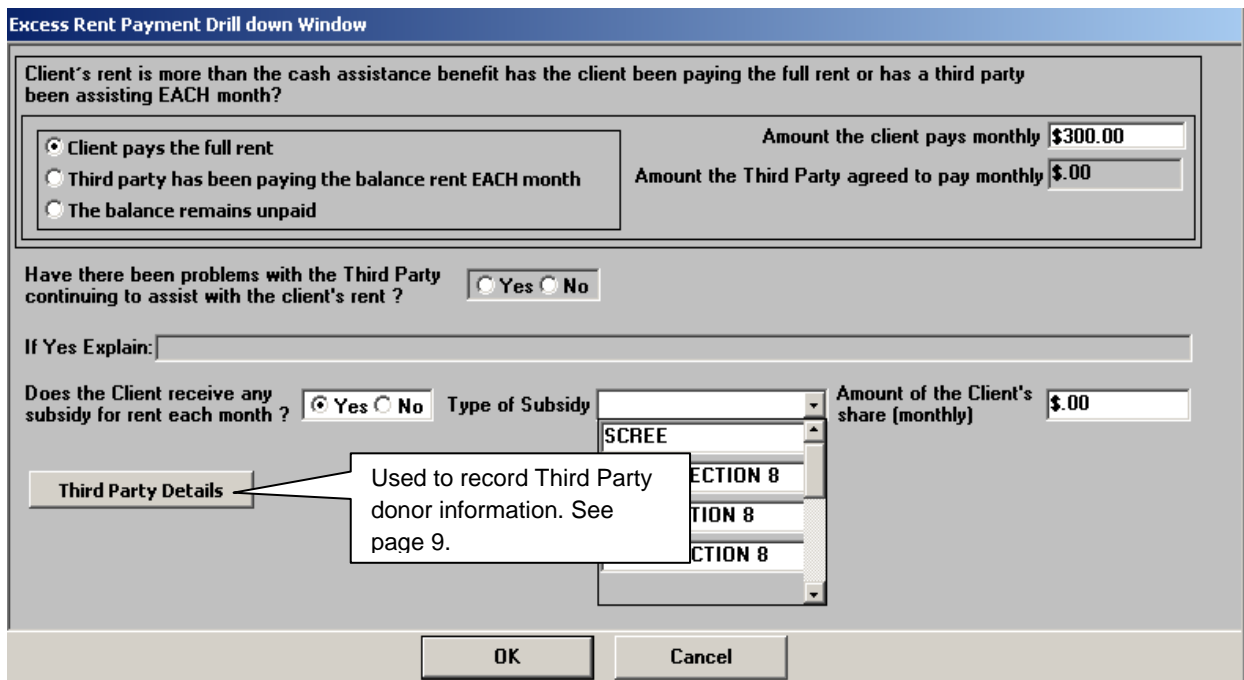
The above **Excess Rent Payment** screen is accessed by clicking on **Excess Rent** on the **HDU Shelter Arrears Detail** screen.

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

○ Legally Responsible Relative
○ Non-Legally Responsible Relative

Donor's SSN	Donor's Phone No.	Shelter Exp	Freq	Gross Salary	Freq
- -	- -	.00		.00	

Net Salary	Freq	Other income	Amount	Freq
.00			.00	

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

○ Legally Responsible Relative
○ Non-Legally Responsible Relative

Donor's SSN	Donor's Phone No.	Shelter Exp	Freq	Gross Salary	Freq
- -	- -	.00		.00	

Net Salary	Freq	Other income	Amount	Freq
.00			.00	

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 if 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: _____   Case Name: _____

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
- ☑ Referral   [Referrals]

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

[OK]   [Cancel]

[OK]   [Cancel]

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: _____ Case Name: _____

Landlord 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]

ATTACHMENT B

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

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   [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]

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ATTACHMENT B

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

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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

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

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:

Paperless Office System - [Request Action]

File Edit Tools Window Help

Request Type: 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

Grants   Referrals and Outcomes   Documentation and Verification

Does the client need to bring back documents? No

Comments:

Close   Next Request   Previous Request

Documents Needed Example:

Version 17.1 - Paperless Office System - [Request Action]   8:48:47 AM   Monday, January 28, 2013

File Edit Tools Window Help

Request Type: 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

Grants   Referrals and Outcomes   Documentation and Verification

Does the client need to bring back documents? Yes

Due date for client to return with documents: 02/07/2013

Collateral Contact Made? ○ Yes   ● No   Action Taken:

Comments:

Close   Next Request   Previous Request

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.

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

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