



FAMILY INDEPENDENCE ADMINISTRATION

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POLICY DIRECTIVE #11-18-ELI *(This Policy Directive Replaces PD #11-02-ELI)*

SECURITY VOUCHER ISSUANCE PROCESS

Date: June 24, 2011	Subtopic(s): Security Deposits
AUDIENCE	The instructions in this policy directive are for all Office of Domestic Violence and Emergency Intervention Services (ODVEIS), Office of Central Processing (OCP), Rental Assistance Unit (RAU), Landlord Ombudsman Services Unit (LOSU), and Job Center staff.
REVISIONS TO THE PRIOR DIRECTIVE	<p>This policy directive has been revised to:</p> <ul style="list-style-type: none"> inform staff that Cash Assistance (CA) applicants/participants moving into a New York City Housing Authority (NYCHA) apartment, except Section 8 tenants moving into a NYCHA development that requires cash security deposits, must be issued a NYCHA Security Agreement (W-147E); and inform staff that when the money requested to secure an apartment exceeds the shelter allowance, the case must be forwarded to the RAU by the Homelessness Diversion Unit (HDU) or the appropriate AJOS I/Worker.
POLICY	Social Services districts may secure landlords against non-payment of rent and/or for damages which result from the renting of a housing accommodation to a CA applicant/participant. The Social Services district may secure the landlord by means of an appropriate agreement between the landlord and the Social Services agency.
BACKGROUND	The Human Resources Administration (HRA) no longer issues cash security deposits to CA applicants/participants who request assistance to secure an apartment in a non-NYCHA development. Effective February 1, 2011, HRA began issuing a Security Voucher (W-147N) in lieu of a cash security deposit to these CA applicants/participants.

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

CA applicants/participants who receive a **W-147N** must present the voucher to their prospective landlords or authorized agents.

Note: CA applicants/participants who receive rental assistance through ODVEIS will be provided with a Security Voucher (**ODVEIS-2**).

Form **W-147N** informs the landlord of the HRA policy of providing security vouchers in lieu of cash security deposits and that the Agency will pay the landlord up to the equivalent of one month's rent if it is verified that the participant failed to pay his/her rent and/or damaged the apartment. These payments may not exceed the amount listed on the original voucher. The Landlord's Claim For Security Voucher Payment (on the back of Form **W-147N**) must be submitted within three months after the tenant has vacated the apartment.

Revised

CA applicants/participants who request assistance to secure a NYCHA apartment, except Section 8 tenants attempting to move into a NYCHA development that requires cash security deposits, must be issued a NYCHA Security Agreement (**W-147E**). Form **W-147E** is an agreement which guarantees that HRA will pay NYCHA up to one month's rent if the tenant fails to pay his/her rent and/or damages the apartment.

REQUIRED ACTION

Model and Non Model Offices

CA Applicants Who Request Assistance to Secure an Apartment

When a CA applicant visits a Job Center to request assistance to secure an apartment, he/she will be directed to the applications section of the Case Management Unit (CMU). The CMU JOS/Worker must complete the application interview and determine whether or not the amount of assistance requested to secure the apartment exceeds the CA shelter allowance.

Revised

If the amount of assistance requested to secure the apartment exceeds the CA shelter allowance, the JOS/Worker must refer the case to the HDU or to the AJOS I/Worker who is responsible for processing such requests in Job Centers that do not typically forward such requests to HDU.

Note: In Model Offices, the referral to HDU or the appropriate AJOS I handling new apartment expenses must be made using the Model Office Numbering, Identification and Queuing (MONIQ) system.

If the amount of assistance requested to secure the apartment does not exceed the CA shelter allowance, the JOS/Worker must continue to process the housing request.

CA Participants Who Request Assistance to Secure an Apartment

Model Office

When a CA participant visits a Model Office to request assistance to secure an apartment, the Clerk at Front Door Reception (FDR) must print a ticket routing him/her to the Customer Service Information Center (CSIC). The CSIC JOS/Worker must initiate a Request for Emergency Assistance or Additional Allowance (For Participants Only) (**W-137A**) in the Paperless Office System (POS) and process the housing request if the rent does not exceed the CA shelter allowance.

If the rent exceeds the CA shelter allowance, the CSIC JOS/Worker must print an **HDU General** ticket or refer the participant to the AJOS I who is responsible for processing housing requests in Job Centers that do not typically forward new apartment expense requests to HDU.

Non-Model Office

When a CA participant visits a Non-Model Office to request assistance to secure an apartment, the Receptionist at the front desk must direct him/her to the appropriate JOS/Worker in the CMU who will initiate a Form **W-137A** in POS.

If the participant's request for assistance exceeds the CA shelter allowance, the JOS/Worker will forward the case to HDU or to the AJOS I who is responsible for processing housing requests. If the participant's request for assistance does not exceed the CA shelter allowance, the CMU JOS/Worker must process the housing request.

Issuing Security Vouchers to CA Applicants/Participants

Form **W-147N** is not currently available in POS.

The JOS/Worker responsible for processing the housing request must print Form **W-147N** and provide it to the applicant/participant to bring to his/her prospective landlord/authorized agent. The JOS/Worker who is processing the housing request must also:

- provide the applicant/participant with a Documentation Request Form (**W-113A**):
 - if the rent exceeds the shelter allowance, check the "Must see the Homelessness Diversion Unit (HDU) Upon Return" box or "Must see Worker Upon Return" box in Centers that do not typically forward such requests to HDU on Form **W-113A**;
 - if the rent does not exceed the shelter allowance, check the "Must see Worker Upon Return" box on Form **W-113A**.
- check the "Security Deposit/rent in advance" box and type "Security Voucher (**W-147N**)" in the "Name" column as the item to be returned (for non-NYCHA requests only);
- verbally instruct the applicant/participant to return Form **W-147N** to the HDU or his/her assigned JOS/Worker.

- if the prospective landlord/authorized agent agrees to accept the security voucher, he/she must print and sign his/her name on the first page and return the completed form to the applicant/participant to bring to the Job Center.

Note: The JOS/Worker must make a case comment in the applicant's/participant's case record in POS to indicate that Form **W-147N** was given to the applicant/participant.

CA Applicants/Participants Who Return to the Center With a Completed W-147N

Housing request exceeds the CA shelter allowance.

See to [PB #10-124-OPE](#) for further information on creating RAU housing request packets.

When a CA applicant/participant whose housing request exceeds the CA shelter allowance returns to HDU or the appropriate AJOS I with a completed copy of Form **W-147N** that has been signed by his/her landlord, the JOS/Worker must access POS to scan and index a housing request packet for the RAU.

The housing request packet must include:

- A Rental Assistance Unit (RAU) Case Documentation Transmittal (**W-153P**) indicating that the applicant/participant is requesting a security voucher and/or first month's rent and/or broker's fees. This should be indicated in the "other" field.
- A completed Rental Assistance Unit Applicant/Participant Data Sheet (**W-153R**).
- A copy of the **W-147N** that has been signed by the applicant's/participant's prospective landlord/authorized agent.
- A completed History Sheet (**W-25**).
- Verification of income.
- Any other pertinent documentation including a lease, if available.

Note: The Supervisor must review and sign off on the packet before it can be scanned and indexed into POS.

Once the packet has been scanned and indexed into POS, the Supervisor/Designated Managerial staff member must notify RAU via e-mail (enter "**FIA RAU**" in the "To" field of the Outlook e-mail) that a housing request packet has been prepared for review.

Note: After forwarding the packet electronically, the JOS/Worker must give his/her Supervisor/AJOS I the original **W-147N**. The Supervisor/AJOS I must retain the original **W-147N** in the designated folder until the RAU decision has been received.

RAU will assess the request and make a determination. For approvals, RAU will complete a Notice of Approval of the Request to the Rental Assistance Unit (**W-153Q**). For denials, RAU will complete a Notice of Denial of the Request to the Rental Assistance Unit (**W-153T**). Forms **W-153Q** and **W-153T** will be transmitted to the Job Center via the Rental Assistance Decision Management System (RADMS).

Once the final decision has been transmitted to the Job Center, the JOS/Worker must process the request using the Single Issuance Grant Request Task List in POS by entering the housing request decision in the **Request Action** window (see below for instructions on processing security voucher approvals and denials in POS).

CA Applicants/Participants Who Return to CMU or CSIC With a Completed W-147N

Housing request does not exceed the CA shelter allowance.

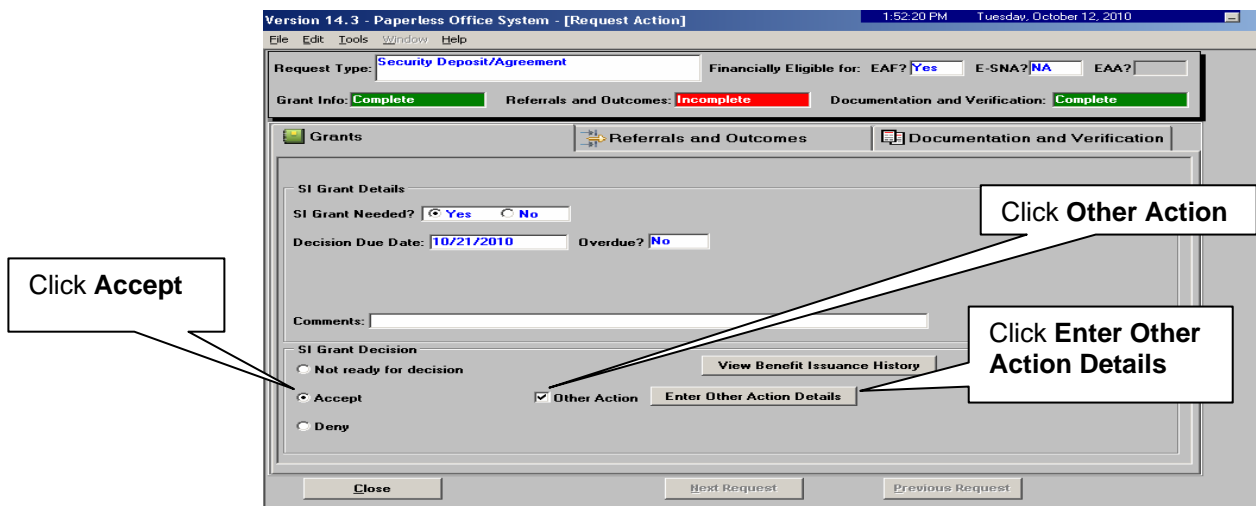
When an applicant/participant whose request for assistance does not exceed the CA shelter allowance returns to the Center with a completed copy of Form **W-147N** that has been signed by his/her landlord, the JOS/Worker must approve/deny the request using the Single Issuance Grant Request Task List in POS. This is done by entering the housing request decision in the **Request Action** window (see instructions on processing security voucher approvals and denials in POS below).

Processing Security Voucher Approvals in POS

See [PD #10-22-SYS](#) for detailed instructions on processing Single Issuance grant requests in POS.

If the request for the housing payment is approved, the JOS/Worker must complete the following steps on the **Request Action** window:

- click **Accept**;
- click **Other Action**; and
- click **Enter Other Action Details** button.



The **Other Actions** window will appear. The JOS/Worker must then:

- click **Other Action**;
- enter “The issuance of a Security Voucher (**W-147N**) has been approved” in the **Other Action** text box; and
- Click **OK**.

See [CD #11-08](#) for further information on Supervisory levels of approval.

After processing the approval, the JOS/Worker must complete the CA Single Issuance Form (**LDSS-3575**) in POS. The completion of Form **LDSS-3575** will allow for the issuance of any shelter allowances (e.g., rent checks or broker’s fees). The JOS/Worker must then transmit the completed actions concerning Form **LDSS-3575** and the approval of Form **W-147N** to the appropriate Supervisor.

Once the Supervisor has reviewed and approved all actions, he/she must prepare and send the applicant/participant a Notice of Decision on Assistance to Meet an Immediate Need or Special Allowance (For Applicants Only) (**W-145HH**) or Action Taken on Your Request for Emergency Assistance or Additional Allowance (For Participants Only) (**W-137B**). Form **LDSS-3575** will be automatically transmitted to the Control unit through POS, once the case actions have been approved.

Note: In HDU, the Supervisor must confirm that the request was approved by RAU.

The Supervisor/AJOS I who approved the case actions must then:

- pull the original **W-147N** from the designated folder;
- print his/her name, sign, and date the front side of Form **W-147N** in the “For HRA Use Only” section;
- ensure that Form **W-147N** is scanned and indexed into POS;
- ensure that the completed original copy of Form **W-147N** is hand delivered to the Control unit.

The Control unit Supervisor/AJOS I must:

- sign the original **W-147N** and stamp it with an authorization number for tracking;
- review and authorize Form **LDSS-3575** in POS;
- print all e-checks that have been generated; and
- instruct a Clerk or Worker to forward the original **W-147N** to the Disbursement and Collection (D&C) unit along with any checks (e.g., broker’s fees or rent checks) to be released.

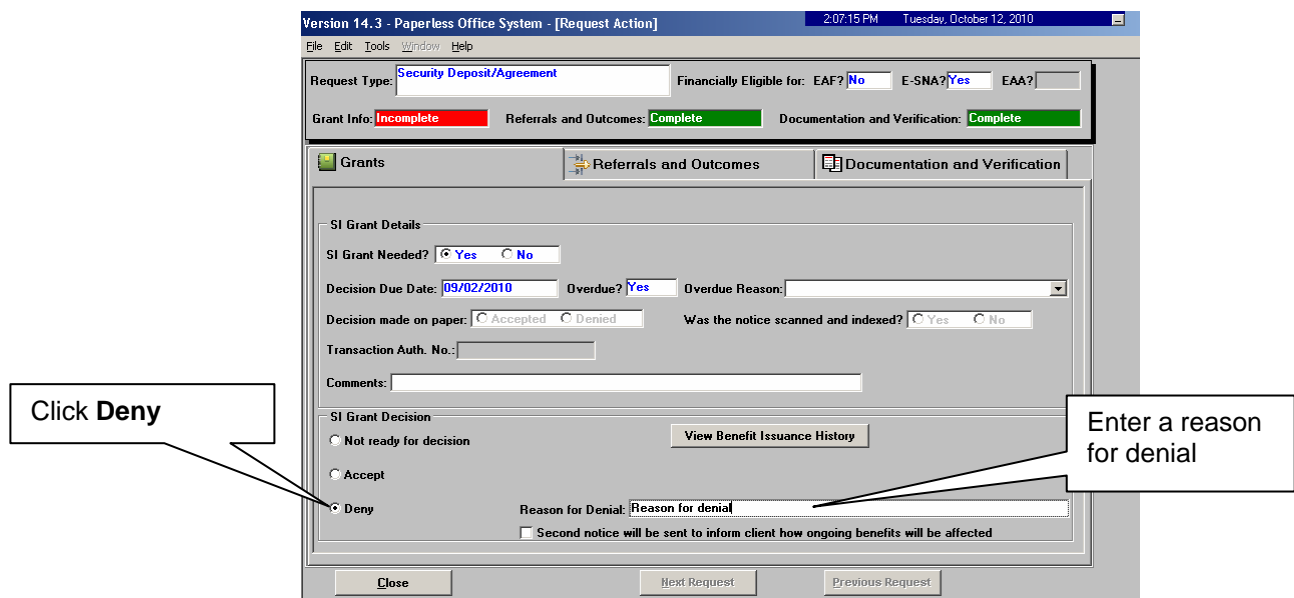
D&C unit staff must:

- ensure that the original copy of Form **W-147N** has all pertinent approval signatures and is given to the applicant/participant;
- document the issuance of Form **W-147N** on the Security Voucher Issuance Log (**FIA-1019**);
- provide the applicant/participant with any relevant e-checks that have been released (e.g., rent checks/broker’s fees); and
- document the issuance of the e-checks on the Daily Emergency Public Assistance (EPA) Check Log (**W-209B**).

Note: The applicant/participant will be responsible for presenting his/her landlord with the original copy of Form **W-147N** and any rent checks/broker’s fees that have been issued.

Processing Security Voucher Denials in POS

If the request for the housing payment has been denied, the JOS/Worker must click **Deny** and type the denial reason in the **Reason for Denial** text box on the POS **Request Action** window



Note: Possible reasons for denial include but are not limited to an inability to make ongoing rent payments or selection of an apartment with a rent that exceeds the maximum shelter allowance.

After processing the denial, the JOS/Worker must send the completed action to the Supervisor for review and final determination.

Note: In HDU, the Supervisor(s) must review and confirm that RAU has denied the grant request.

The Supervisor must then prepare and send either Form **W-145HH** for applicants or Form **W-137B** for participants.

Note: In cases of denial, the Supervisor/AJOS I must ensure that the original **W-147N** is discarded in the appropriate locked black bin.

Processing Security Voucher Claims

Any landlord wishing to claim a payment must complete the **W-147N** (front and back), have the back page notarized, and send it to OCP.

Note: Landlords of applicants/participants who were processed by a Domestic Violence liaison must submit their claims directly to ODVEIS.

In addition to completing Form **W-147N**, the landlord must submit:

- proof of ownership (of the premises);
- certification that the tenant has vacated the apartment and that he/she occupied the apartment within three months preceding the claim; and
- documentation of unpaid rent (e.g., court judgment or stipulation, landlord breakdown, etc.) or documentation to verify the damage(s) to the apartment and the cost of repairs (e.g., photographs, estimates, receipts for repairs, etc.).

Upon receipt of the landlord's claim and supporting documents, staff within OCP will:

- confirm that the information listed on the **W-147N** submitted by the landlord matches the information on the **W-147N** available in the HRA OneViewer;
- review the supporting documentation that was submitted to ensure that the amounts listed on any receipts or estimates are consistent with the amount listed on the claim;
- check the Welfare Management System (WMS) to confirm that Special Grant Code **38** (Security Deposit Issued) was not previously posted for the same apartment;

- check WMS to determine whether or not the former tenant is an active CA participant:
 - If the former tenant is an active CA participant, the Worker must confirm that he/she has moved to a new address. If the old address is still listed in WMS the Worker must send the participant a request for contact notice to confirm that he/she has moved. If the participant contacts OCP and states that he/she is still residing in the apartment in question, OCP may deny the claim. If the participant confirms that he/she has moved or if the request is returned undeliverable, OCP may approve the claim based on the landlord’s attestation on the back of Form **W-147N**. OCP will then initiate an action to close the CA case.
 - If the former tenant is not an active CA participant, the Worker must make the claim determination based on the documentation provided, including the landlord’s attestation on the back of Form **W-147N**.
- send the landlord a Notice of Decision on Security Voucher Claim (**FIA-1017**) to inform the landlord of the final decision.

Payment Amount

Any payments issued must be based upon the verified amount of rent owed/damages incurred, but cannot exceed the amount listed on the voucher. For example, if the tenant’s monthly rent was \$700, but the landlord can verify a claim of only \$200, the Worker must issue a check in the amount \$200. If the tenant’s monthly rent was \$700 and the landlord verifies that the damages were \$1000, the Worker must issue a check in the amount of \$700.

PROGRAM IMPLICATIONS

Paperless Office System (POS) Implications

POS implications are covered in this document.

Model Office Implications

Model Office implications are covered in this directive.

Food Stamp Implications

There are no Food Stamp implications.

**LIMITED ENGLISH
SPEAKING
ABILITY
(LESA) AND
HEARING
IMPAIRED
IMPLICATIONS**

For Limited English-Speaking Ability (LESA) and hearing-impaired applicants/participants, make sure to obtain appropriate interpreter services in accordance with [PD #10-12-OPE](#) and [PD #08-20-OPE](#).

**FAIR HEARING
IMPLICATIONS**

Avoidance/
Resolution

Ensure that all case actions are processed in accordance with current procedures and that electronic case files are kept up to date. Remember that the applicant must receive either adequate or timely and adequate notification of all actions taken on his/her case.

Conferences

An applicant/participant can request and receive a conference with a Fair Hearing and Conference (FH&C) AJOS I/Supervisor I at any time. If an applicant/participant comes to the Job Center requesting a conference, the Receptionist must alert the FH&C Unit that the individual is waiting to be seen.

The FH&C AJOS I/Supervisor I will listen to and evaluate any material presented by the applicant/participant, review the case file and discuss the issue(s) with the JOS/Worker responsible for the case and/or the JOS/Worker's Supervisor. The AJOS I/Supervisor I will explain the reason for the Agency's action(s) to the applicant/participant.

Evidence Packets

All Evidence Packets must contain a detailed history, copies of relevant WMS screen printouts, other documentation relevant to the action taken, and copies of NYCWAY "Case Notes" screens.


RELATED ITEMS

[CD #11-08](#)
[PB #11-25-OPE](#)
[PB #10-124-OPE](#)
[PD #10-22-SYS](#)

REFERENCES

Social Service Law section 143-c
18 NYCRR 352.6
18 NYCRR 381.3

ATTACHMENTS

 Please use Print on Demand to obtain copies of forms.

FIA-1017 (E)
FIA-1019 (E)
W-147E
W-147N

Notice of Decision on Security Voucher Claim
Security Voucher Issuance Log
NYCHA Security Agreement (Rev. 3/8/11)
Security Voucher (Rev. 1/24/11)

Date: _____

Notice of Decision on Security Voucher Claim

We have received your claim for payment of a Security Voucher regarding the premises located at:

Address: _____ Apt: _____

City: _____ State: _____ Zip Code: _____

which were rented by: _____

Your claim has been:

SAMPLE

- Accepted – you will receive a check in the amount of \$ _____.
- Denied because you:
 - Did not submit proof of ownership
 - Did not certify that the tenant has vacated the apartment and/or that he/she occupied the apartment within three months preceding the claim
 - Did not submit documentation of unpaid rent (e.g., court stipulation/judgment, landlord breakdown, etc.)
 - Did not submit documentation to verify damages to the apartment (e.g., photographs, estimates, or receipts for repairs, etc.)
 - Other: _____

If you have any questions regarding this decision please contact the Landlord Ombudsman Services Unit at (212) 331-5927.

Security Voucher Issuance Log

Applicant/Participant Name	Case Number/Suffix	Security Voucher (W-147N) Authorization Number	Date Issued

SAMPLE

_____ D&C Supervisor's Signature

_____ Date

Date: _____

Case Number: _____

Case Name: _____

Center: _____

Caseload: _____

NYCHA Security Agreement

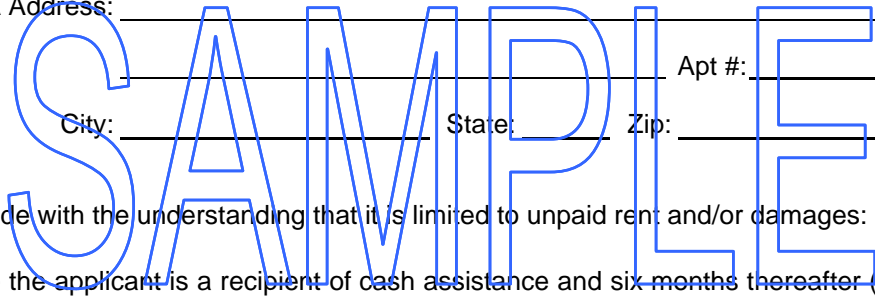
This AGREEMENT is between the New York City Department of Social Services (NYCDSS), having its principal offices at 180 Water Street, New York, NY 10038, and the New York City Housing Authority (NYCHA), having its principal offices at 250 Broadway, New York, NY 10007, regarding the Cash Assistance applicant/participant and apartment listed below.

Applicant/Participant Name: _____

NYCHA Address: _____

Apt #: _____

City: _____ State: _____ Zip: _____



This agreement is made with the understanding that it is limited to unpaid rent and/or damages:

- Incurred while the applicant is a recipient of cash assistance and six months thereafter (one time emergency [one-shot deal] applicants only).
- Incurred while the participant is a recipient of cash assistance. The claim for unpaid rent and/or damages must be made while the participant is receiving cash assistance (recurring cash assistance cases only).

This agreement is being issued pursuant to Social Services Law, section 143-C, **18NYCRR 352.6**, and **18NYCRR 381.3**, to secure the landlord against non-payment of rent and/or damages as a condition of renting the above-mentioned apartment to the above-named Cash Assistance applicant/participant. NYCDSS will repay NYCHA up to \$ _____ for unpaid rent and/or damages incurred by the above-named applicant/participant.
(monthly rental amount)

Worker's Signature

Date

Instructions:

Scan a copy of this document into the electronic folder and give the original to the applicant/participant to take to NYCHA Management Office.

Date: _____
Case Number: _____
Case Name: _____
Center: _____

Security Voucher

The Human Resources Administration (HRA) no longer issues cash security deposits. Instead, the Agency is issuing this Security Voucher. This voucher guarantees that HRA will pay up to the equivalent of one month's rent if it is verified that the tenant who occupied the apartment failed to pay his/her rent and/or caused damages to it. The landlord must submit proof of the unpaid rent and/or damages along with the Landlord's Claim For Security Voucher Payment (on the back page) within three months after the tenant has vacated the apartment. The Agency will only make a payment if the claim is submitted within three months after the tenant has vacated the apartment and a review of the documentation submitted by the landlord confirms that the tenant failed to pay his/her rent and/or damaged the apartment. This Security Voucher will not be honored until the front and back pages have been completed, signed, notarized, and returned to HRA.

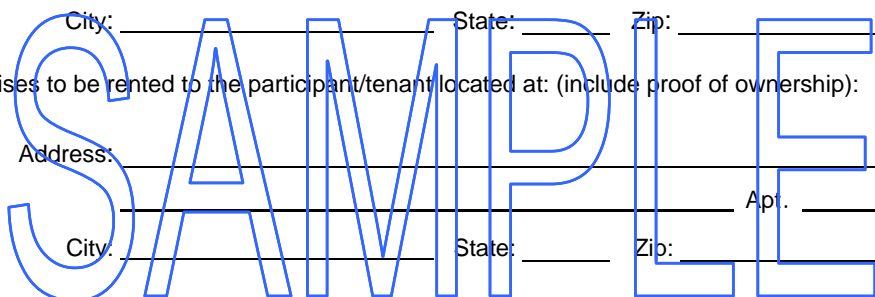
This Security Voucher is issued by the New York City Department of Social Services (NYCDSS), having its principal offices at 180 Water Street, New York, NY 10038, to:

Name of Landlord: _____
Landlord's Address: _____

City: _____ State: _____ Zip: _____

as Landlord of the premises to be rented to the participant/tenant located at: (include proof of ownership):

Address: _____ Apt. _____
City: _____ State: _____ Zip: _____



regarding the participant/tenant listed below:

Participant/tenant: _____

This Security Voucher is being issued pursuant to Social Services Law Sec. 143-c and 18 NYCRR 352.6 and 381.3, to secure the landlord against non-payment of rent and/or damages as a condition of renting the above-identified premises ("Premises") to the above-named Cash Assistance participant/tenant ("Participant/Tenant"). A claim for the payment of this Security Voucher by the landlord must be made after, and within three months of, the participant/tenant vacating the premises. The claim must be made by the full completion and execution of the Claim on page two of this form and cannot exceed the amount of the Tenant's monthly rent which is \$_____.

Landlord, please acknowledge your acceptance of the Security Voucher in lieu of a cash security deposit by signing this form below:

Landlord's/Authorized Agent 's Name (print): _____

Landlord's/Authorized Agent's Signature: _____ Date: _____

(This voucher is not valid until it has been fully completed and authorized in the "For HRA Use Only" section below.)

For HRA Use Only:

Supervisor's Name (Print): _____

Supervisor's Signature: _____ Date: _____

Control Unit Supervisor's Name (Print): _____

Control Unit Supervisor's Signature: _____ Date: _____

Control Unit Authorization #: _____

Landlord's Claim for Security Voucher Payment

I (we), the Landlord(s) of the premises described on page 1 of this form, certify that _____
tenant/participant name

has vacated the apartment located at _____ Apt. _____ on or about _____ and occupied the
address date

apartment within three months prior to the date of this certification.

I hereby request that the security voucher be paid to me for the reason specified below:

- Tenant/Participant defaulted on payment of rent for _____ (provide court
Month/Year
 judgment, stipulation, landlord breakdown, etc).
- Tenant/Participant caused the following damages to the apartment. (Describe and also include proof of
 damage[s]: e.g., photographs, estimates, receipts for repairs, etc.)

"I, _____, hereby swear/affirm, under penalty of perjury, that the information I have given above is true and complete.

_____ (Signature of Landlord or Office of Corporation)

_____ (Print Name)

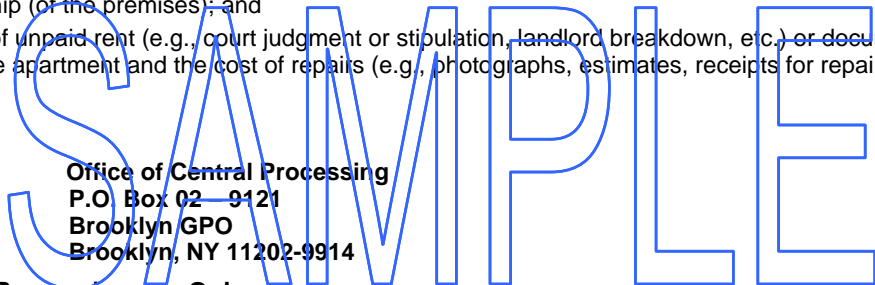
Subscribed and sworn to/affirmed before me this _____ (Date)

_____ (Signature)

_____ (Notary Seal)"

Please submit the following items along with this claim form:

- proof of ownership (of the premises); and
- documentation of unpaid rent (e.g., court judgment or stipulation, landlord breakdown, etc.) or documentation to verify the damage(s) to the apartment and the cost of repairs (e.g., photographs, estimates, receipts for repairs, etc.)



Please send claim to:
Office of Central Processing
P.O. Box 02-9121
Brooklyn GPO
Brooklyn, NY 11202-9914

For Office of Central Processing use Only

Case Name:			Last:			First:			
Pick-up Code:									
Special Roll — 1						Job Center: _____			
Case Number: <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>						Suffix: <input type="checkbox"/> <input type="checkbox"/>			
Date Form Prepared: ____/____/____						Authorization Number _____			
Issuance Code	Amount Dollars Cents		From: Month Day Year			To: Month Day Year			Restricted Indicator
Print Dollar Amount in Words								Dollars	Cents
Optional Fields(Block Print Only)									
Payee Name: _____									
Address: _____									
City: _____			State: _____			Zip: _____			

Authorized Signature _____ Print Name _____

Title: _____ Date: _____

OCP Control Clerk: _____ Date: _____

OCP CRT Operator: _____ Date: _____