

PBCA Working Group Transition Guidebook

July 2011

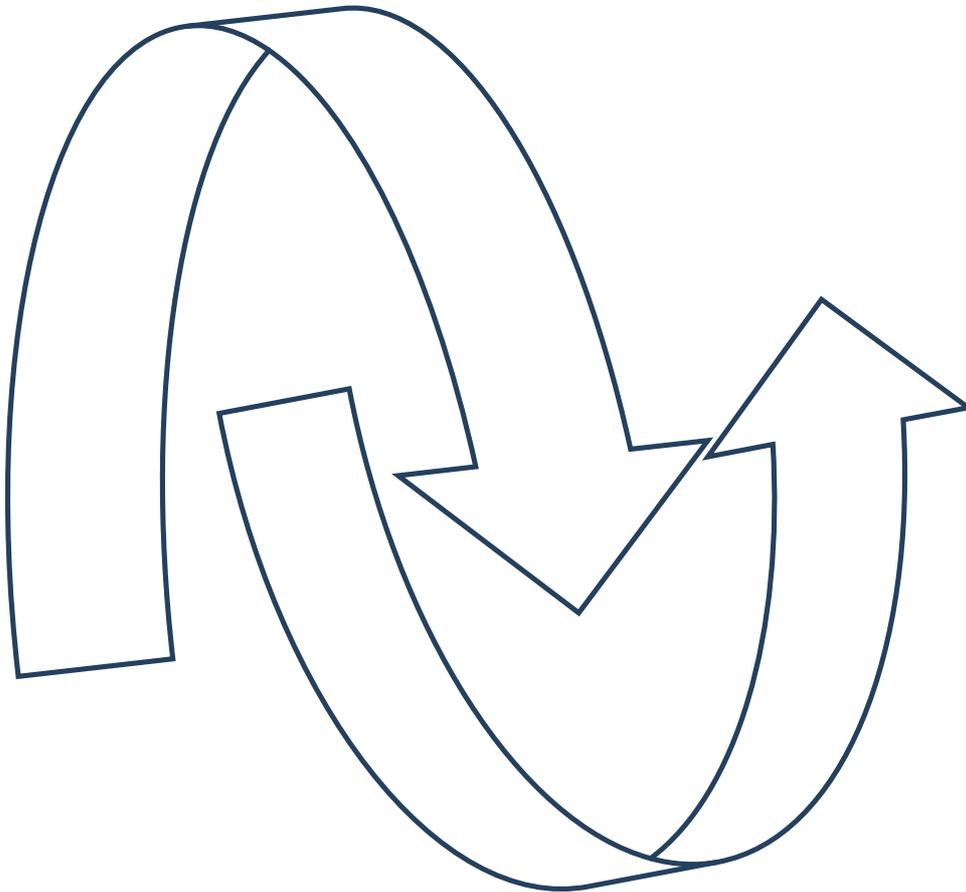


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INTRODUCTION

This guidebook outlines a uniform process to transfer responsibilities between Contract Administrators (CAs) who administer and oversee certain project-based subsidy contracts, under Section 8 of the United States Housing Act of 1937 (42 U.S.C. 1437f). This Guidebook is issued in response to HUD's transfer of contracts under the Request for Proposals for Contract Administrators for Project-Based Section 8 Housing Assistance Payments (HAP) Contracts. Following any contract awards, HUD may transfer Annual Contributions Contracts (ACCs) from one CA to another.

In July 2010, HUD requested volunteers to create working groups. These working groups were tasked to create a draft Guidebook that would provide consistency and guidelines in the event of a transition of contracts from one CA to another. The groups were divided by section and by task and are presented as listed below:

- ACC Close-out activities
 - IBPS Tasks
 - Final Reporting
 - Final Invoicing
- Transition from Incumbent to New CA
 - Management and Occupancy Reviews
 - Adjust Rents and Renew HAP Contracts
 - Review and Pay Monthly Vouchers
 - Tenant Concerns and Inquiries
- HUD's Responsibilities

Handbook Applicability

This Handbook is applicable to all Section 8 Contract Administrators administering or who will be administering Section 8 project-based subsidy contracts under the new ACC. However, in states where the ACC contract **will not** transfer, only *Part II – ACC Close Out Activities* of this Handbook applies. In situations where the ACC contract **will transfer** from an Incumbent PBCA to a New PBCA, both *Part II – ACC Close Out Activities* **and** *Part III – Transition From Incumbent to New PBCA* of this Handbook apply.

Guidebook Contents

The Guidebook is comprised of chapters on each section, as well as a chapter on policy recommendations and a communication plan. Each chapter features an overview, timeframes

for each section, applicable checklists, details of each task in the section, and a summary of the work in progress report associated with that section.

The exhibits have work in progress reports, all document checklists, a complete voucher/TRACS matrix, a comprehensive Gantt chart with duties and deadlines, and a list of all team members by section.

There are eight work in progress reports: MOR/FHEO; physical inspection follow-up; rent adjustments; contract renewals; opt-out and resident data; resident complaints/Congressional inquiries; voucher status; and special claims. All work in progress reports are due at 45, 75, and 89 days except for vouchers and special claims, which are due at 61 and 81 days. These reports are critical to the transition process.

The comprehensive Gantt chart shows every task, and includes the due date, the duration of the task, and if it is a task for the incumbent PBCA, the incoming PBCA, HUD, or the owner/agent.

A glossary of terms is also included in Part I.

Summary of working group process

Each team had a chair, co-chair and secretary, as well as partners from different areas and organizations. The teams drafted reports based on their experience and expertise, and included recommendations to HUD for changes in procedures, computer systems, and other areas to assist in the transition process. Once the team approved the individual reports, each chair and co-chair became a member of a Reconciliation working group, which was tasked with combining all of the reports into one Guidebook. This Guidebook is the work product of that Reconciliation working group.

All of the tasks, deadlines, and recommendations have been blended into this document. Some of the items in the original reports have been changed to provide consistency and assist CAs with this transition. This report is a group effort, and everyone should be very proud of the contributions they made to this product.

Target Dates & Overview: 90-Day Transition Period

This Guidebook is based on the premise that HUD is allowing 90 days to complete the transition from the Incumbent PBCA (outgoing PBCA) to the New PBCA (incoming PBCA) once the notification of award is given, and assumes July 1, 2011 as the first day of the transition period. As such, readers will notice many references to days in this report. All days are counted from the date of notification of award or 1st day of the transition period. For example, if the award is made public on July 1, the transition period would begin on July 1 and the new ACC contract would begin on October 1. When the report states Day 45, the reference is used to signify 45 days from the 1st day of the Transition Period. All time and date references are consistent with

this methodology. A summary or overview of key milestone events within this transition period is outlined in the chart below.

NOTE: All days referenced throughout the PBCA Working Group Transition Guidebook are calendar days

90-Day Transition Period Overview – Key Milestones (Effective: July 1, 2011 through September 30, 2011)

Milestone dates intentionally coincide with near dates and a 90-day transition to ensure a full, complete, and timely transition.

On/About	Event Item
July 1	DAY 1 <ul style="list-style-type: none"> ▪ Transition Period Begins ▪ Property Listing from HUD
July 5-7	DAY 5-7 <ul style="list-style-type: none"> ▪ CAOM Provides Incumbent PBCA MOR Work Plan to New PBCA
Aug 1	DAY 30 <ul style="list-style-type: none"> ▪ Transfer of Electronic Property Data/Contact Information
Aug 15	DAY 45 <ul style="list-style-type: none"> ▪ File Transfer¹ of Historical Property Documents (See Exhibits 4a,b) ▪ 1st Transfer of WIP Spreadsheets ▪ 1199A Information requested from Owners ▪ Cut-Off² for Special Claims
Aug 31	DAY 61 <ul style="list-style-type: none"> ▪ Cut-Off² for Management and Occupancy Reviews
Sept 1	DAY 62 <ul style="list-style-type: none"> ▪ File Transfer of 5-Year TRACS Baseline³ - (See Exhibit 4c) ▪ Transfer of Voucher WIP (See Exhibit 3g)
Sept 19	DAY 80 <ul style="list-style-type: none"> ▪ 2nd Transfer of WIP Spreadsheets
Sept 20	DAY 81 <ul style="list-style-type: none"> ▪ Cut-Off² for Rent Adjustments & Contract Renewals ▪ Cut-Off² for Voucher Processing
Sept 29	DAY 90 <ul style="list-style-type: none"> ▪ Cut-Off² for New EH&S Follow-Up
Sept 30	DAY 91 <ul style="list-style-type: none"> ▪ Cut-Off² for New Resident Concerns ▪ Last Transfer of WIP Spreadsheets ▪ File Transfer of WIP Contract Documents & any and all remaining Closed PBT Tasks since Day 45
Oct 1	DAY 92 <ul style="list-style-type: none"> ▪ New ACC Begins

NOTES: ¹ Incumbent or “Outgoing” PBCA transfers property/contract files to New PBCA
² Cut-Off Days represent dates the Incumbent PBCA will stop processing new PBT transactions – All new transactions should be forwarded to (handled by) New PBCA.
³ See also Exhibit 1 – History Baseline Specifications

Furthermore, a comprehensive **Gantt chart** is included as Exhibit 5, which identifies all tasks and target dates that should be performed by all affected parties for a successful a transfer of assignment, to include Incumbent PBCA, New PBCA, Owners & Agents, and HUD. If the target day falls on a weekend, the next business date is reflected in the Gantt chart. The work in progress (WIP) reports for each section have multiple due dates. For example, in the MOR section, the WIP is due to the incoming CA on the 45th day, the 75th day, and the 89th day. This is to ensure the incoming PBCA has a good grasp of any outstanding work that will transition, so issues will not be lost in the transfer of the contract.

File Transfer Checklist

Representative from both PBCA agencies' IT department will meet to discuss the best process to ensure effective and efficient transfer of data. HUD will establish a consistent index of documents to be transferred, and the files will be bundled according to the four categories on the File Transfer Checklist on page 64.

The file transfer checklist has three sections. The first section is for individual property contract files, the second section is for CA documents entity-wide, and the third section is for vouchers. The first two sections are due to the incoming CA 45 days after award of contract, and the voucher checklists are due at 61 and 81 days. All files should be transferred electronically, in one of three formats: .jpeg, .pdf, or .tiff. Document naming conventions are strongly recommended in each checklist, and must be followed to ensure consistency among CAs. If a CA cannot transmit electronically, that organization should contact their CAOM to discuss alternative solutions.

For Data Stored in Paper Format: Documents should be converted (scanned) into electronic format (.pdf preferred, .tif or .jpg) and named in the appropriate document naming conventions.

For Data Stored in Electronic File Format, i.e. in a database (MS SQL Server, MS Access, Oracle, etc.), on a spreadsheet (MS Excel):

Database: full backup of the database.

Spreadsheet: copies of each relevant spreadsheet.

File Naming Conventions:

Database: Table names and field names should be descriptive.

Spreadsheet: File names and column names should be descriptive.

Database documentation: any relevant documentation, database diagrams, data dictionaries, should be provided.

Method of delivery: All files may be compressed (zipped) to reduce file size. Depending on document/file sizes, files may be stored on CD or DVD media and sent to the new PBCA. For larger file sizes, FTP (File Transfer Protocol) sites should be utilized; hosted either from the sending PBCA or the receiving PBCA. FTP site logon credentials should be provided to the accessing PBCA.

Communication

Communication between residents, owner/agents, CAs, HUD and other organizations is essential to the success of this process. Part 6 of this guide details recommendations to ensure that this transition minimizes disruption of service to residents, owners and agents.

Quantity of Data

When data is listed on the file transfer checklist, most of the recommendations are for the last action, which is normally once a year. However, there are several sections where the last action may have happened more than one year ago, such as utility allowance analyses. All references to the last years' worth of data should be expanded to include either the last year or the last action, whichever is appropriate. Only completed packages should be sent with the document transfer checklist per the recommended deadline. The excel spreadsheets, or other mutually agreed upon format as determined by the incumbent PBCA and the new PBCA, containing the work in progress should be sent to the incoming PBCA on day 45, day 75 and day 89 (or 1 day before cutover). All work in progress paperwork should be sent on the last day of the ACC.

History Baseline

This Guidebook presumes the use of a history baseline utility in CA software. The current procedure for a baseline file is to send the last full certification on each resident. The History Baseline will permit the incumbent CA to send tenant data that spans five years of certifications, which is the maximum time period a calculation error can be recaptured. This would eliminate the need for owners/agents to submit paper vouchers/certifications to a new CA to justify adjustments to the property's voucher, saving hundreds of hours of effort with each transition. The owners/agents will benefit as well, as the CA can produce a reverse baseline to populate the owner's database in cases of catastrophic computer failure or change of management companies. The history baseline specifications can be found in Exhibit 1. In the event a PBCA software vendor is unable to provide the History Baseline utility, please see Section C, *Contingency Plans – Baseline Information*.

Work In Progress Reports

The Work in Progress (WIP) reports were designed with input of all team members; agreement was reached in each group, that the contents of the reports contain essential information for the transition process. It is very important that a) the WIP reports be used in their existing format; b) all columns and rows be populated with the requested information; c) the WIP reports be transmitted on the dates required throughout the Transition Guide and Gantt chart and d) any additional information not in the WIP reports, but volunteered by the incumbent CA or requested by the incoming CA, be discussed and agreed to by both parties. In the event no information exists for a column/row reference (for example, no 5% withholding of assistance for properties lacking EIV access), a blank cell is acceptable. Excel is the preferred program for WIP reports.

Records Retention

Whether a CA transitions or stays in place, the organization is contractually obligated to retain documents in accordance with HUD policy. The relevant HUD regulations are to be found in Handbooks 2225.6 and 2228.2, and generally follow the National Archive and Records Administration (NARA) common to Federal Agencies.

PART I – GLOSSARY OF TERMS

ACC	Annual Contributions Contract, Contracts between HUD and Contract Administrators who administer and oversee certain project-based subsidy contracts under Section 8 of the United States Housing Act of 1937
ACH	Automated Clearing House, format of payments sent to Owners
AQL	Acceptable Quality Level, measurement of task on old ACC
CAOM	Contract Administrator Oversight Monitor, monitors the CA work product
EH&S	Exigent Health & Safety Issues
EIV	Enterprise Income Verification System
FHEO	Fair Housing and Equal Opportunity
HAP	Housing Assistance Payment
HUD	Housing and Urban Development (U.S. Department of)
IBPS	Incentive Based Performance Standard, tasks in the current ACC that CAs must perform. There are sixteen IBPS tasks in the current ACC.
iMAX	Integrated Multi-Family Access Exchange System
INCUMBENT	Outgoing or existing PCBA
iREMS	Integrated Real Estate Management System
LOCCS	Line of Credit Control Systems
MIO	Management Improvement Operating Plan
MOR	Management Occupancy Review
PBT	Performance-based tasks, tasks in the proposed ACC that CAs must perform. There are eight PBT tasks in the proposed ACC.
REAC	Real Estate Assessment Center
RHIIP	Rental Housing Integrity Improvement Project

TRACS	Tenant Rental Assistance Certification System
WIP	Work in progress

PART II – ACC CLOSE OUT ACTIVITIES

SECTION A – ALL PBCAs

Overview:

The closeout reports submitted to HUD will include a monthly, quarterly, and annual report in the normal format and content as required by HUD, and as submitted by the PBCA. It will also include the unaudited financial statements, interest certification, and MOR error tracking report.

All PBCAs will undergo ACC closeout activities which terminate the contractual obligations under the old ACC, although the work of the Section 8 Contract Administrator or work-in-progress activity should continue without interruption or risk to HUD or owner/agents.

Timeframe:

The following reports will be prepared for the number of months that have elapsed since the last report was submitted to HUD and submitted within 20 days of the expiration of the ACC:

- a. Quarterly report
- b. Annual report
- c. Unaudited financial statements
- d. Interest certification

Applicable checklist:

See Section C

Final Invoice Format:

The final administrative fee invoice (hereafter “the final invoice”) to HUD will be in the same format as used by the incumbent PBCA, in order to facilitate the review by the CAOM. It will include the final billing for IBPS 12, 13, and 15, which will be for the full annual fee accrued through the end of the ACC term. The final invoice should include a statement about the LOCCS administrative fee balance, to alert the CAOM of any possible shortfall issues. The final invoice should mention any unresolved disincentives or disincentives currently under appeal.

IBPS 12: Year-End Statement:

The current requirement for IBPS 12, set forth in the Lanier Hylton memorandum of May 11, 2007, calls for an annual report in which the PBCA certifies the amount of interest accrued in

the PBCA HAP account as of the end of the PBCA fiscal year and remittance of that amount to HUD. The final interest payment should include the \$50 withheld for maintaining the HAP account, if applicable. PBCAs should remit any HAP funds remaining in a CA account by the 20th day after the ACC expires. The amount billed for this task will be the full annual fee accrued through the end of the ACC term.

IBPS 13 Audited and Unaudited Financial Statements:

The current requirement for IBPS 13 calls for submission of an unaudited financial statement 60 days after the end of the PBCA fiscal year, coupled with submission of an audited financial statement no later than 9 months after the end of the PBCA fiscal year for those PBCAs required to comply with OMB Circular A-133.

Submission of an unaudited financial statement, covering the monthly Section 8 HAP received from HUD and paid to owners through the end of the ACC for the period of time that has elapsed since the previous IBPS 13 submission, reasonably meets HUD's requirements. The amount billed for this task will be the full annual fee accrued through the end of the ACC contract year.

IBPS 15 Reporting:

The current requirement for IBPS 15 calls for submission of a monthly, quarterly and an annual report to HUD. The reports will be prepared for the number of months that have elapsed since the last report was submitted to HUD and are due as follows:

- The monthly report is due by the 20th business day of each month for the previous month activities. This will give the incumbent PBCA extra time to report on the task required to terminate the ACC.
- The quarterly report is due by the 20th business day following the end of the quarter. This will give the PBCA extra time to report on the tasks required to terminate the ACC.
- The annual report is due by the 20th business day of the month following the end of the ACC. The amount billed will be the full annual fee accrued through the number of months that have elapsed since the last report was submitted to HUD.

SECTION B: ACC CLOSE-OUT ACTIVITIES – OUTGOING PBCAs ONLY

If an ACC transition occurs, copies of the work in progress reports will be provided to an incoming PBCA at 45, 75 and 89 days. The CAOM will send existing HUD approved work plans for MORs and contract renewals to the incoming PBCA.

Timeframe:

The MOR error tracking report will be prepared in addition to the reports listed in a-d for the number of months that have elapsed since the last report was submitted to HUD and submitted within 20 days of the expiration of the ACC.

Outgoing PBCA:

Within a reasonable amount of time the outgoing PBCA will close the HAP bank account, send all remaining HAP monies to HUD if applicable, consider termination of fidelity bond, and sign a certification that all records will be stored per HUD/Federal guidelines.

Work in Progress Checklist:

There is no work in progress report associated with this section of the Guidebook.

SECTION C: ACC CLOSEOUT CHECKLIST

Section 8 Contract Administration
ACC Closeout activities
Part A - all PBCAs

Name of PBCA: _____
CA ID number: _____
Date: _____

Each document type should be sent as one .pdf file due at 20 days
Naming structure of .pdf should equal Contract number_doctype.pdf

ACC Closeout Documents	Yes	No	N/A	Comments
7a. Interest Certification				
7b. Last Monthly Invoice				
7c. Last Quarterly Invoice				
7d. Last Annual Invoice				
7e. Unaudited Financials Statements				
7f. MOR Error tracking report				
7h. Statement for LOCCS admin fee balance				

Section 8 Contract Administration
ACC Closeout activities
Part B - only outgoing PBCAs

Each document type should be sent as one .pdf file due at 20 days
Naming structure of .pdf should equal Contract number_doctype.pdf

ACC Closeout Documents	Yes	No	N/A	Comments
7i. Close HAP account				
7j. Terminate Fidelity Bond				
7k. Document storage certification				

Section 8 Contract Administration
ACC Closeout activities
Part C - only outgoing PBCAs

Each document type should be sent as one .pdf file
Naming structure of .pdf should equal Contract number_doctype.pdf

ACC Closeout Documents	Yes	No	N/A	Comments
7l. Submit current work plans for MOR and renewals				
7m. Submit WIP reports per schedules				
7n. Submit contract information on Day 30 (Exhibit 4d)				

PART III--TRANSITION FROM INCUMBENT TO NEW PBCA

SECTION A: MOR, FHEO AND PHYSICAL INSPECTION FOLLOW-UP

Overview:

Management and Occupancy Reviews (MOR) and FHEO reviews are conducted annually and scheduled per a HUD approved work plan. If a transition occurs, the incoming PBCA will receive the current work plan from the CAOM, and will work with them to approve a new plan within current policy guidelines. Also, the outgoing PBCA should amend the work plan to ensure that no reviews are conducted in the last 30 days of the existing ACC term. All appeals of the MOR rating received within 45 days of the ACC expiration date will be forwarded to the local HUD office. All iREMS entries must be complete and entered into the HUD system by the last day of the ACC. If a transition occurs, copies of the "Work in Progress" reports will be provided to an incoming PBCA on day 45, day 75 and day 89 (or 1 day before cutover). See Exhibit 3a.

Outgoing PBCA:

Within 45 days of the expiration of the ACC the outgoing PBCA will send the following documents to the incoming PBCA for each property in the portfolio:

- a. Most recent completed MOR and FHEO checklist
- b. Occupancy or Tenant File Review for open MORs only
- c. MOR follow up correspondence for open MORs only
- d. Affirmative Fair Housing Marketing Plan
- e. Current Approved MIO/Corrective Action Plan
- f. HUD approved determinations for property fees, lease addendums, HUD waivers, etc.
- g. EH&S Mitigation Certification (last year or last inspection only)
- h. If there are any properties that have 5% withheld for EIV, please list them on the voucher spreadsheet included for that purpose (Exhibit 3g).

Applicable checklist:

Exhibit 4a

MOR/FHEO review:

A MOR/FHEO review is conducted at least annually per the existing ACC. If the incumbent PBCA does not change, the work plan will be approved and followed based on existing guidelines. The work plan is based on the annual contract period even if the period of the current contract is shorter than a year due to the ACC transition. For example, if the contract started in June, the PBCA would prepare a work plan and submit for approval through May 31, even though the current contract is only through September 30, 2011. If the incumbent PBCA is the outgoing PBCA, no reviews should be scheduled in the last month of the ACC.

The new PBCA will work with the CAOM during the transition period to develop its Work Plan and submit it to the CAOM for approval. The CAOM will approve the work plan no later than September 13, 2011. In preparing the Work Plan the new PBCA will have the flexibility subject to review and approval of the CAOM in establishing a Work Plan following the current 9-15 month policy for scheduling as noted in HUD's website under "Performance Based Contract Administration-Frequently Asked Questions-Management and Occupancy Reviews"

The outgoing PBCA will transfer documents electronically to the new PBCA based on the file transfer checklists (Exhibit 4a). A completed MOR file should contain the last MOR/FHEO review, including a copy of the HUD-9834 and narrative, summary report, rating letter, all correspondence to and from the owner/agent pertaining to the MOR, and close out letter to the owner/agent. An open MOR file should contain the HUD-9834 and narrative, Summary Report, rating letter, and all correspondence to and from the owner/agent.

Outgoing PBCA:

The following tasks must be completed by the outgoing PBCA before ACC expiration:

- a. All reviews must be conducted and mailed
- b. All entries must be completed in iREMS
- c. All appeals received within 45 days of ACC expiration will be forwarded to the local HUD office for processing.
- d. All documents must be forwarded electronically to the incoming PBCA per the checklist schedule (Exhibit 4a)
- e. The error tracking log will be sent to HUD staff within 20 days of contract expiration date listing all RHIP reports that have elapsed since the last report was sent to HUD.
- f. A work in progress report must be completed for all open items and sent to the incoming PBCA on day 45, day 75 and day 89 (or 1 day before cutover) (Exhibit 3a).

MOR/FHEO --Work in Progress report:

The work in progress report for MOR/FHEO reviews includes the following information:

- a. Development Name
- b. Section 8 Contract Number
- c. MOR Conducted Date
- d. Date MOR report mailed to owner
- e. Date FHEO report mailed to HUD
- f. Date of last response from owner
- g. Date owner notified of incomplete response
- h. Date first level appeal received
- i. Date appeal sent to HUD (if applicable)
- j. Date of appeal response to owner
- k. Next follow-up date
- l. Date closeout letter mailed to owner

Physical Inspection Follow-up:

All follow up related to REAC physical inspections will be processed up to the contract expiration date. All entries in iREMS must be completed before contract expiration date. The outgoing PBCA will transfer documents electronically to the new PBCA based on the file transfer checklist (Exhibit 4a). A completed physical inspection follow-up file should have the last EH&S Mitigation Certification received from the owner/agent. The REAC inspection form should not be forwarded to the incoming PBCA.

Outgoing PBCA:

The following tasks must be completed by the outgoing PBCA before ACC expiration:

- a. All documents must be forwarded electronically to the incoming PBCA per the checklist schedule (Exhibit 4a).
- b. All iREMS entries must be completed.
- c. A work in progress report must be completed for all open items and sent to the incoming PBCA on day 45, day 75 and day 89 (or 1 day before cutover) (Exhibit 3b).

Physical Inspection - Work in Progress report:

The work in progress report for Physical Inspection follow-up includes the following information:

- a. Development Name
- b. iREMS ID number
- c. REAC inspection date
- d. REAC score (if known)
- e. Notification from HUD/owner date
- f. Date owner notified of EH&S items
- g. Date of last contact with owner
- h. Next follow-up date
- i. Date EH&S certification received

SECTION B: ADJUST RENTS AND HAP CONTRACTS

Overview:

A rent adjustment and/or contract renewal action is subject to the terms of the property's existing HAP contract. As such, the timing of each action is not consistent with every property in the portfolio. The incumbent PBCA shall diligently continue processing all actions including providing notices, checking packages for completeness, processing and determining rents, issuing approval letters and rent schedules up to the actual cutover date with the noted exception for new packages received within the final 10 days of the ACC. The incumbent PBCA will continue to notify HUD of any opt-out notices received up to the ACC expiration date. Additionally, the incumbent PBCA will submit any tenant data received from the owner for an opt-out action to the local HUD office through the ACC expiration date. Should HUD need assistance in the opt-out process, the CAOM will notify the appropriate representative with the incoming PBCA.

Contract renewals and rent adjustments are tracked separately in the ACC, and should continue to be separate in the transition process. If a transition occurs, the following cutover dates shall be applicable, and all documents received will be sent to the incoming PBCA:

- a. Any new rent adjustment or contract renewal package received within the final 10 days of the ACC expiration date.
- b. Any funding notices received within the final 5 days of the ACC expiration date.
- c. Any rent comparability studies received within the final 10 days of the ACC expiration date.
- d. All appeals of rent adjustments, rent comparability studies or contract renewals not completed by ACC expiration date shall be forwarded to the local HUD office for review.
- e. Copies of the Work in Progress reports will be provided to an incoming PBCA on day 45, day 75 and day 89 (or 1 day before cutover). See Exhibit 3c and 3d.

All iREMS entries must be complete and entered into the HUD system by the last day of the ACC.

Outgoing PBCA:

Within 45 days of the expiration of the ACC, the outgoing PBCA will send the following documents electronically to the incoming PBCA for each property in the portfolio:

- a. Original term HAP Contract
- b. Current HAP Contract/Amendments
- c. HAP Assignment, if applicable
- d. Rent calculation paperwork – Attachment 3 or Pre-MAHRA appropriate documents, last action only
- e. Most recent rent computation worksheet
- f. Most recent rent decision letter
- g. Rent schedule HUD-92458
- h. Amortization Schedule or billing coupon
- i. One year tenant notification letter

- j. Rent Comparability Study, most recent

Applicable checklist:

Exhibit 4a

Rent Adjustments and HAP Contract Renewals:

All contracts created, issued and/or executed by the incumbent PBCA should be accepted without any requirements to review, confirm, verify, reprocess, or agree by the incoming PBCA. Additionally, if the incumbent has determined the final rents for a contract renewal or rent adjustment as evidenced by approval letter or communication to HUD for approval, the incoming PBCA will accept the determination as valid and not be required to reprocess, verify, confirm, or agree with such determination.

Any appeals on rent adjustments, rent comparability studies or contract renewals received after the ACC expiration date against determinations made by the outgoing PBCA will be handled and determined by the appropriate HUD office. HUD's intimate experience and history with the appealing property provides the best opportunity for a reasonable and fair determination.

All rent comparability studies including reviewing, responses to owners and appeals will be addressed to the incumbent PBCA through the ACC term with the exception noted for new packages received within the final 10 days of the contract. Since each PBCA knows the turn-around time of its appraisers who conduct the independent review of RCS' it is recommended the PBCA photocopy RCS' received within 20 days before the cutover date of the contract, before providing to its appraiser. The incumbent PBCA must determine whether this is necessary based on the appraiser commitment to return before the cutover date. At the point of transition, if the reviewed RCS has not been returned by the incumbent PBCA's appraiser, the PBCA should send the photocopied RCS report to the new PBCA and inform the new PBCA that the RCS needs to be reviewed and accepted by the new PBCA's appraiser.

The incumbent PBCA will transfer documents electronically to the incoming PBCA based on the file transfer checklist (Exhibit 4a). A completed rent calculation paperwork file shall contain the last attachment 3 sent by the owner and all documentation supporting the rent increase/contract renewal review, or pre-MAHRA paperwork as applicable. A completed rent computation worksheet will contain any calculation spreadsheets and documentation used by the incumbent PBCA to calculate the rents and renew the contract. A completed utility analysis will contain the summary spreadsheets only, and will not contain any of the utility bills used to create the summary spreadsheets. The rent comparability study file will have the entire report of the most recent study, not just the rent grids.

Outgoing PBCA:

The following tasks must be completed by the outgoing PBCA before ACC expiration:

- a. All entries must be completed in iREMS
- b. All appeals not completed by the ACC expiration date will be forwarded to the local HUD office for processing.
- c. All documents must be forwarded to the incoming PBCA per the checklist schedule (Exhibit 4a)
- d. A work in progress report must be completed for all open items (which includes items with initial letter only) and sent to the incoming PBCA on day 45, day 75 and day 92 (Exhibit 3c and 3d).

Rent Adjustments -Work in Progress report:

The work in progress report for rent adjustments includes the following information:

- a. Development name
- b. HUD contract number
- c. Contract expiration date
- d. Rent adjustment anniversary date
- e. Rent adjustment type
- f. Date of initial notification letter to owner date
- g. Date of complete package
- h. Date submitted to HUD for review (>5%)
- i. Date received approval/denial from HUD
- j. Date of decision letter to owner date
- k. Date submitted for funding
- l. Date Funding ACC received
- m. Date Exhibit A/Rent Schedule mailed to owner
- n. Rent Schedule received from owner
- o. Date signed/executed documents sent to owner
- p. Date signed/executed documents sent to HUD
- q. Date Signed/Executed Documents Received from HUD
- r. Final Documents Mailed to O/A
- s. Comments
- t. Under appeal Yes/No

Contract Renewals- Work in Progress report:

The work in progress report for contract renewals includes the following information:

- a. Development name
- b. HUD contract number
- c. Contract expiration date
- d. Date of initial notification letter to owner
- e. Date initial owner package received
- f. Date of complete package
- g. Option type selected
- h. Date submitted to HUD for review (>5%)
- i. Date received approval/denial from HUD
- j. Date of decision letter to owner date
- k. Date submitted for funding
- l. Date Funding ACC received
- m. HAP Contract Sent to O/A
- n. HAP Contract Received from O/A
- o. Date signed/executed documents sent to owner
- p. Date signed/executed documents sent to HUD
- q. Date Signed/Executed Documents Received from HUD
- r. Final Documents Mailed to O/A
- s. Comments
- t. Under appeal Yes/No

Opt-Out- Work in Progress report:

The work in progress report for opt-outs includes the following information:

- a. Development name
- b. HUD contract number
- c. Contract expiration date
- d. Date opt-out notice received
- e. Date notice sent to HUD
- f. Date resident data received from owner
- g. Date resident data sent to HUD
- h. Comments

SECTION C: REVIEW AND PAY MONTHLY VOUCHERS

Overview:

This section provides a narrative overview of the voucher transition process. The voucher transition is highly complex: the incoming PBCA will be required to make payment to each property in their portfolio on their first or second day of operation. Those payments typically reach multiple millions of dollars in aggregate, and the ability to make timely payments depends on many factors beyond the incoming PBCA's control – the incumbent PBCA, vendor software, TRACS, LOCCS and other HUD systems.

Since the voucher process includes many different organizations, a Matrix is attached to this guidebook (Exhibit 2) that explains all topics in this section in greater detail.

The Voucher Transition group examined the current transition methodology. In order to make timely payments to properties during the transition, enhancements are necessary to HUD systems and PBCA vendor software. The recommendations are listed in the Policy Recommendations section of this report (Part V). The transition plans developed by this group assume that both the HUD system changes and PBCA vendor software changes will be present for the transition. This group also developed contingency plans in the event those changes do not happen. Benefits of the recommendations are more thoroughly addressed in the Matrix report (Exhibit 2).

The most essential recommendation is a history baseline, an enhancement to PBCA vendor software. This will allow PBCAs to exchange data without burdening owners and agents, as well as PBCA staff, with the need to acquire baseline information from the properties. This baseline has potential to benefit the industry as a whole, and can be used to send reverse baselines to properties for periods of time, not just the last certification. The History Baseline is designed to send 5 years of certifications to the incoming PBCA. This will ensure that RHIPs are correctly calculated, tenant repayment agreements have backup, and will not burden the owners/agents with sending paper vouchers/certifications to prove miscellaneous adjustments. Please see Exhibit 1 for the specifications on the history baseline.

HUD guidance will be necessary for group recommendations concerning Special Claims processing, a hold-harmless period for the first two payments by the incoming PBCA, a hold during the transition period for contract combinations and TCA to PBCA transfers, and the months during which the transition will occur. The recommendations are listed in the Policy Recommendations section of this report (Part V).

If a transition occurs, the transition sequence is

- a. Day 1: HUD holds all TCA to PBCA transfers and contract combinations, resuming Day 91.
- b. Day 1: HUD provides a complete listing of properties (Attachment B in the current ACC) to the incoming PBCA.

- c. Day 1: The incumbent and outgoing PBCAs conference and establish key personnel and key manager relationships.
- d. Day 30: The incumbent PBCA provides the incoming with detailed data on each property, specified in the Matrix report (Exhibit 2) and Exhibit 4d.
- e. Day 45: The incoming PBCA communicates with all properties requesting 1199A information.
- f. Day 45: Owners/agents provided transition instructions by incoming PBCA.
- g. Day 45: The incumbent PBCA halts returning completed special claims packages to owners.
- h. Day 61: No later than this date, Incoming PBCA's will receive their CA-ID from HUD.
- i. Day 61: Major document transfer to incoming PBCA, specified in the document transfer checklist (Exhibit 4c), with details in the Matrix report (Exhibit 2).
- j. Day 61: Major data transfer of history baseline to incoming PBCA, who imports data and begins data checking and proving.
- k. Incumbent PBCA begins cc'ing (mirroring) all files which are sent to TRACS, to the incoming PBCA
- l. Day 61: Incumbent PBCA provides voucher work in progress report (Exhibit 3g) to incoming PBCA, for all vouchers during the first two months of the transition (approximately Day 1 to Day 60).
- m. Day 80: Incumbent PBCA halts voucher reconciliations and transmissions to TRACS.
- n. Day 80: Incumbent PBCA provides voucher work in process report, including information requested in WIP for vouchers not received, not processed and/or not transmitted, (Exhibit 3g) to incoming PBCA.
- o. Day 80: Incumbent PBCA halts special claims processing, and transfers all packets reviewed and completed after day 15 to the incoming PBCA for claim number assignment.
- p. Day 80: Incumbent PBCA provides data accumulated since Day 61 to incoming PBCA, for all current repayment agreements, project repayment agreements, outstanding RHIP actions, HAP vouchers, reconciliation reports, etc. (Exhibit 3g)
- q. Day 81: HUD performs Assignment process and Cutover processes in HUD systems.
- r. Day 85: HUD provides iREMS, LOCCS and WASS access to incoming PBCA.
- s. Day 85: Incoming PBCA creates ACH pre-note files.
- t. Day 87: Incumbent PBCA forwards any unprocessed data received in IMAX after Day 80 to incoming PBCA.
- u. Day 90: If Incumbent PBCA receives any LOCCS emails advising payment, the incumbent PBCA forwards LOCCS email advising payment to incoming PBCA.
- v. Day 90: Incoming PBCA takes over all portfolio operations.
- w. Day 91: Treasury, through LOCCS, disburses funds to incoming PBCA.
- x. Day 91/Day 92: Incoming PBCA disburses funds to properties.

Contingency Plans – Baseline information:

If a PBCA software vendor does not support the history baseline enhancements, the incumbent PBCA will provide a conventional baseline files for each active contract on day 80 after halting reconciliation and TRACS transmissions. Please see Matrix for benefits/challenges to the transition process.

If a PBCA cannot or will not assemble and transfer a conventional baseline, incoming PBCA will have to acquire baseline data from each owner and agent beginning on day 91. The voucher working group recommends the incumbent PBCA be considered for sanction, if the incoming PBCA must acquire baseline information from owners/agents. This scenario could severely impact the owners/agents and the timely payment of HAP funds. Please see Exhibit 2 for benefits/challenges to the transition process.

In the event either of the contingencies mentioned above occur, it is very important that HUD extend the hold harmless period for accuracy of payments to 90 days after the incoming PBCA begins operations.

Contingency Plans – Payment issues:

In the event that HUD system enhancements which would permit the assignment and cutover processes before day 90 do not occur, the incumbent PBCA would not transmit any MAT 30 electronic vouchers to TRACS during their final month of operations. All MAT 30 electronic vouchers would have to be transferred from the incumbent PBCA to the incoming PBCA after day 80. The MAT 30 files would be transmitted to TRACS by the incoming PBCA after day 90. All owners/agents would be paid an estimated 7-20 days late or more during the transfer month. In this case, it is likely that the incoming PBCA would have to re-create any vouchers that failed, which could lead to differences in the amount approved by the outgoing PBCA, particularly if the history baseline is also not present.

The incumbent PBCA would hold payment of any special claims from Day 15 because TRACS will reject any vouchers with the incoming PBCA's ID and the incumbent PBCA's special claims ID number.

If HUD systems cannot be changed, HUD may wish to explore the possibility of paying two months of HAP in the final month of billing under the incumbent PBCA at day 91. In the event the incumbent PBCA does make two months' payment under this plan, the incumbent PBCA would have an additional WIP requirement, which is to identify the amount paid for each period, for each contract number and property name. Also, the incumbent PBCA should stop returning approved special claims packages to owners on day 15. Special claims processing will continue until day 80, but approved packages will be held by the incumbent PBCA.

Applicable checklists:

Exhibit 4c

Vouchers -- Work in Progress report:

The work in progress report for vouchers will be sent on day 61 and day 80 and includes the following information:

- m. Development name
- n. HUD contract number
- o. Voucher month processed
- p. HAP amount approved by PBCA

- q. HAP amount
- r. Payment made (Y/N)
- s. Payment Status Code if no payment
- t. TRACS compliance percentage
- u. Reason not paid if no payment

Special Claims -- Work in Progress report:

The work in progress report for special claims will be sent on day 61 and day 80 and includes three spreadsheets: special claims received but not processed, special claims approved but not paid, and special claims paid in the last 180 days. The three reports include the following information:

- a. Development name
- b. HUD contract number
- c. Tenant name
- d. Unit number
- e. Type of claim
- f. Amount of claim
- g. Approval date
- h. Claims number
- i. Voucher month paid

SECTION D: TENANT CONCERNS/CONGRESSIONAL INQUIRIES REPORT

Overview:

This section describes the requirements and procedures governing the tenant concern, IBPS Tasks 9 and 10, close out of the ACC and the transition period from incumbent PBCA to incoming PBCA if any. This policy does not supersede any Contract Administrator rights, obligations, or requirements under their current contract prior to the new ACC.

If a transition occurs, HUD will notify the properties in the portfolio of a change in contractors. At the first opportunity, the incoming PBCA should contact each property and give them new contact information to use. The incumbent PBCA will forward all resident concerns received after day 88 to the incoming PBCA. All congressional inquiries received after day 85 will be forwarded to the local HUD office. Also, copies of the Work in Progress report will be provided to an incoming PBCA on day 89 (or 1 day before cutover) based on the checklist (Exhibit 3f).

All iREMS entries must be complete and entered into the HUD system by the last day of the ACC.

Outgoing PBCA:

Within 45 days of the expiration of the ACC, the outgoing PBCA will send a log of resident concerns/inquiries for the last year to the incoming PBCA. All resident concerns will be forwarded to the incoming PBCA after day 88, and all Congressional inquiries after day 85.

Applicable checklist:

Exhibit 3f

Tenant Concerns - Work in Progress report:

The work in progress report for tenant concerns includes the following information:

- a. Development name
- b. HUD contract number
- c. Life Threatening Health & Safety Issue?
- d. Non-Life Threatening Health & Safety Issue?
- e. Description of outstanding issue
- f. Date inquiry received
- g. Name of resident reporting issue
- h. Date owner was contacted regarding inquiry
- i. Corrective Action Plan (if applicable)
- j. Date corrective action plan was received from owner
- k. Date of follow-up with resident regarding inquiry
- l. Date of iREMS update (if applicable)
- m. Contact number/email/address

PART IV -- HUD RESPONSIBILITIES

Overview:

This section describes the requirements and procedures governing the transition from incumbent PBCA to incoming PBCA with respect to HUD. There are two parts to this section: document transfer and certifications

Notification of Award:

Per the communication plan, HUD will notify owners, agents and residents of all awards under the new ACC. This notification will utilize mail, the HUD website, membership organizations, and electronic media (including TRACSmal).

Outgoing PBCA:

The outgoing PBCA will transmit documents electronically to the incoming PBCA per the attached checklists (Exhibit 4a, 4b, 4c). If that is not possible, the incumbent PBCA should suggest an alternative method and acquire HUD's approval prior to transfer.

Exhibit 6a is the certification for the incumbent PBCA. Included in the certification are file transfers, compliance with ACC close out procedures (as will be determined) and securing contract files for three years as mandated by government regulations.

Incoming PBCA:

Exhibit 6b is the certification for the incoming PBCA. Included in the certification are receipt of files and completion of the readiness review.

CAOM:

Exhibit 6c is the certification for the CAOM. Included in the certification are all items as mentioned above. Also, in order to have consistency in how files are set up for this new ACC, all CAOMs should have at minimum copies of the following items:

- a. Readiness Checklist
- b. Depository Agreement
- c. Fidelity Bond coverage
- d. List of sub-contractors
- e. Letter sent by incoming PBCA to owner/agents
- f. Resident notification of incoming PBCA
- g. Documentation verifying separate accounts for HAP and admin fee funds

Applicable checklists:

Exhibit 4a, 4b, 4c

Work in Progress report:

None

PART V – POLICY RECOMMENDATIONS

Overview:

This section describes recommendations of the Working Groups for changes to HUD systems, policies or procedures.

HUD Systems requests/recommendations:

- a. LOCCS systems should create an automatic cutover procedure that eliminates the need for an incoming PBCA to enter cutover dates for each contract in the portfolio as happened in 2008 when HUD transferred hundreds of TCA properties to PBCAs.
- b. HUD will provide the Incoming PBCA with access to iREMS on day 30.
- c. If the CA ID will change with the new ACC, HUD systems should be able to transfer all existing users and permissions to the new CA ID without PBCA data input. It is recommended that HUD issue the CA ID to the incoming PBCA no later than Day 61.
- d. Assignment processes should be updated to happen shortly before the end of the ACC, as happened in 2008 when HUD transferred hundreds of TCA properties to PBCAs.
- e. Provision of a “History Baseline”, an enhancement to PBCA vendor software, is critical and will allow PBCAs to exchange data without burdening owners, as well as PBCA staff, with the need to acquire baseline information from each property. Quite literally, multiple hundreds of hours of effort will be saved in each portfolio transition.

Closeout of ACC:

- a. If there is a transition, unaudited financial statements will be sent to the CAOM as part of the annual invoice to satisfy the requirement of task #13 PHA Audit.
- b. HUD should resolve all payment issues, disincentive or otherwise, as expeditiously as possible, to allow for timely and effective close out of the ACC.
- c. If there is a transition, the current work plan should be modified by the incumbent PBCA with CAOM approval to move all MOR reviews from the last month of the ACC. The reviews should be moved to months within the current contract term if at all possible.
- d. HUD should not schedule an Annual Compliance Review with the PBCA within 60 days of the ACC expiration date.
- e. Original signatures are not needed on documents transferred to the incoming PBCA.
- f. All documents will be transferred electronically in one of the following formats: .jpeg, .pdf, or .tiff.
- g. The outgoing PBCA will not send any completed/approved special claims back to the property after Day 15, but will be forwarded to the incoming PBCA for claim number assignment. The owner/agent will not be penalized for the late submission of an approved special claim on their voucher during this transition period. This would supersede the Special Claims Guidebook for the transition period only.

- h. If an incumbent PBCA loses their entire portfolio, and has no further use for their iMAX (TRACSMail) ID, it is strongly recommended that consideration should be given to transferring the iMAX (TRACSMail) ID to the incoming PBCA to ease transition issues with owners/managers.
- i. The final monthly and quarterly invoices from the incumbent PBCA will be due 20 days after ACC expiration date, not 10 days. This will allow all invoices to be due at the same time and eliminate errors.
- j. HUD should not transfer TCA properties to outgoing PBCAs nor implement any contract combinations during the transition period, for reasons stated in the Matrix voucher report (Exhibit 2).
- k. The final month of the transition should not occur during the months of November or December. The final month is critical to the transition, and the work can neither be deferred nor accelerated to accommodate holidays of the duration of Thanksgiving and/or Christmas.
- l. If there is a transition, the incumbent PBCA halts all voucher reconciliations and transmissions to HUD on day 80.

Incoming PBCA:

- a. HUD will notify owner/agent 60 days in advance of transition.
- b. All issues unresolved or improperly resolved by outgoing PBCA found during an Annual Compliance Review conducted by HUD should not result in a disincentive to the incoming PBCA.
- c. The incoming PBCA should have the flexibility to schedule MORs within a 9-15 month period as noted in HUD's website under PBCA FAQ.
- d. All packages included in the work in progress should adhere to the old ACC IBPS AQL standards.
- e. The AQL calculation will start on the first day of the ACC, even if the incoming PBCA receives work before the contract start date.
- f. The incoming PBCA should have a hold-harmless period for the first two sets of payments made by the incoming PBCA. The payments made by the incoming PBCA on their first or second day of operations are all based on the amounts calculated and approved by the outgoing PBCA. The second payment, one month after beginning operations, will occur when many PBCAs are still working to reconcile data provided by the outgoing PBCA and owners.
- g. HUD should send a complete listing of the new portfolio (Attachment B in the current ACC) to the incoming PBCA on day 1.
- h. HUD will hold the incoming PBCA harmless for any action completed by the incumbent PBCA.
- i. For all "Work in Progress" both the incumbent PBCA and new PBCA will be held harmless related to loss of fees - base and incentive. If errors are found in the work of the incumbent PBCA by the new PBCA/HUD, the new PBCA will have 30 days to correct the errors where they are correctable.

PART VI -- COMMUNICATION PLAN

Overview:

This section provides a narrative overview of the communication plan through the transition process. There are four sections: HUD announcements, incumbent PBCA duties, CAOM duties, and incoming PBCA duties. In addition to the details listed below, maximum use of websites and electronic media (including iMAX, formerly TRACSmal) will be used to keep the target audiences informed of the process. Membership organizations such as AAHSA, NAHMA and NLHA will be utilized to facilitate meetings, disseminate information and promote a broad-based understanding of the transition. If needed, the CAOM and new PBCA will develop and implement alternate plans for owners and agents who cannot attend meetings in person or in regions where in person transition meetings are not practical.

HUD Headquarters notices:

HUD Headquarters will send several notices to the owners, agents, asset management staff and industry groups. These notices include:

- a. General process notice at the end of the invitation period, i.e. 04/01/2011. This notice will notify target audience in general terms that bids have been received and what the timeline is for assessing bids and awarding contracts. Emphasize to target audience that nothing will change during the bid review process and, if the bid is awarded to a new PBCA, a very orderly and structured process has been developed and will be communicated and implemented to make the change as seamless as possible.
- b. Award announcement notice i.e. 07/1/2011. In states where no change will occur, a general letter stating the PBCA will remain the same but note contractual changes, if any, that will affect owners and agents. If the PBCA changes, notification should introduce the new PBCA and include an overview of the transition process. The incoming PBCA should provide contact information to HUD, including email address and website. This notice should include the local HUD point of contact (POC) and emphasize the importance of owner/agent attention to letters, information and instructions that will be disseminated during the transition.
- c. Draft and have available for transition a comparison chart of the old and new ACC requirements.

Incumbent PBCA Communication Duties:

Within 7 calendar days of contract award announcement i.e. 07/08/2011, HUD will provide the following instructions to the incumbent PBCA:

- a. Incumbent PBCA will provide incoming PBCA owner/agent contact information.
- b. HUD will provide the Incoming PBCA with access to iREMS on day 30.

- c. IT staff from incumbent PBCA and incoming PBCA will work cooperatively to facilitate timely, efficient transfer of electronic information during the transition period.

CAOM Communication Duties:

Following notification of the PBCA contract award, CAOMs in jurisdictions where the PBCA changes will organize meetings between the incumbent and incoming PBCAs to facilitate knowledge transfer including but not limited to:

- a. General review of owners, agents, and properties in the portfolio covering such topics as:
 - 1. Information on major owners/agents
 - 2. Any unique agreements with properties that affect processing
 - 3. Property specific nuances
 - 4. Portfolio specific issues (i.e. double subsidies; active O/A advocates, etc.)
 - 5. Portfolio demographics (# of budgets; # of special claims; are these typical?)
- b. Review performance based task expectations with incoming PBCA
- c. Review HUD requirements that may be locally vs. centrally determined. (Note: CAOM will review ACC requirements to ensure local practices are not exceptions to the ACC standards.)
- d. CAOM will send the current approved work plan to the incoming PBCA, and work with them to establish a new work plan if necessary.

Incoming PBCA:

The incoming PBCA will initiate contact with HUD field staff, owners and agents. If possible, PBCA should hold transition meetings in different areas of the contracted region so customers can attend. The incoming PBCA should also:

- a. Orient owners, agents and HUD staff to general communication materials, means of communication, templates etc. It is recommended that incoming PBCA develop an introductory guidebook for use during the transition period.
- b. Discuss short term start up issues, such as MOR schedules (with emphasis on those that may be affected during transition), voucher and special claims processing and possible payment delays
- c. Provide complaint intake staff contact information, as well as new contact information for all aspects of the contract.
- d. Obtain 1199As from owners
- e. Emphasize cut off dates for receipt of information by incumbent PBCA consistent with transition plan. Cover all work in progress tasks.

- f. Post Transition timeline on line
- g. Provide introductory materials to local tenant advocacy groups where they exist.
- h. Complete the orientation within 60 days (August 1 – September 30).

PART VII -- EXHIBITS

Exhibit 1 - HISTORY BASELINE SPECIFICATION

History Baseline Spec

8/31/2010 Draft-3

The record layout changes and new records associated with this specification are found in the **202D MAT Record Changes.xlsx** file.

- **Purpose and uses**

- To facilitate system to system transfer of certification and other data. The primary historical uses have been to use traditional baseline files to move site data to a new CA and to transfer site data to new site software.
- The traditional baseline includes only the most recent full certification and any subsequent partial certs. As a result the certifications have an average age of roughly six months. Any new retroactive transactions from sites are likely to find CA software unable to process them correctly as the data for that date is missing. This is a major problem with retro GRs.
- This proposal can be looked at as having two parts. Part one describes changes to the baseline rules to accommodate multiple years of certification history. Part two, adds records for other project data that can help automate the transition between systems.
- The expectation is that Site and CA software will add the capability to generate and process History Baselines to facilitate the uses outlined below.
- Examples of situations where a History Baseline can be used
 - TCA to CA
 - Contract transferred from a TCA to a CA
 - CA to CA
 - New CA takes over a State
 - CA changes software
 - Site to CA
 - Site starts reporting to a CA
 - CA changes software and needs new data from sites
 - CA to Site
 - Site changes software and the CA agrees to transfer its data to the site
 - Site to Site
 - Site changes software

- **Proposal**

- Certification and Voucher data will be transmitted as traditional MAT files. New MAT records are defined to hold project/contract, floor plan and rent data. The MAT15 record is enhanced to carry some additional information. The reason for basing the format on MAT files is to leverage the capabilities that site and CA software already possess for importing and exporting these formats. Defining new formats (XML) would take longer to develop and involve more work to implement. The time to embrace XML is when TRACS itself moves to that format.

- **Certification Data**

- Traditional Baseline Rules--for reference

- General

- See Chapter 4 of the MAT Guide--section 4.10.1 for a fuller discussion of the rules for baseline files. The algorithm below assumes that the baseline is being sent to a CA and not to TRACS. As a result, the records for a household do not have to be split into multiple files as CA software will process records in effective date order whereas TRACS does not do this.
 - The Baseline Effective Date is defined as a voucher date--the first of a month--usually a current voucher date
 - Leave the anticipated voucher date field as it was originally for each cert. Do not change the date to that of the Baseline Effective Date. If a cert has not yet been transmitted, use the anticipated voucher date that would normally apply.
 - A traditional baseline is for a single subsidy type or contract that is specified in the TENHR record

- Certifications

- For each household that would appear in the Regular Tenant Assistance part of the voucher corresponding to the Baseline Effective Date (includes households with new MOs and TMs)
 - Include the most recent MAT10 effective \leq Baseline Effective Date
 - Set the Baseline Flag on this cert.
 - If the household has a mailing address different than the unit address, include a MAT15 Tenant Address record
 - Include all MAT40, 65, 70 records effective \geq the effective date of the MAT10
 - Include any other full and partial certs effective after the Baseline Effective Date
 - Note: If there are multiple certifications effective on the same date, include only the most recent correct version in the file.

- Units

- For each unit
 - Include a MAT15 Unit Address record

- History Baseline Rules

- Header Record

- At the end of the Header Record add the words "History Baseline." CA software can then treat these files as falling outside of the normal processing flow. In particular, these files are not intended to be passed on to TRACS and will contain non-standard records.
 - Note that the software generating the file will need to know the start date or the History Effective Date. This date is determined by mutual agreement between the two parties to the transaction and determines which records are included in the file. The date is also included in the Header record.

- Rules for Certifications

- Issues to be resolved
 - Market units—do we want the ability to include market tenants? This could be useful in a site-to-site situation.
 - Cert criteria for inclusion. CA history files will include all certifications that have been paid on or appeared in an adjustment on a HAP voucher and any other certification that is not obsolete because it has been corrected, dirtied, etc. If there are multiple versions of a certification for a particular effective date, the most recent one will be included. Site files will include all signed and transmitted certs. As with CA files, only the most recent version of a certification is included.
 - Order of certs in the file

- By Household by Effective Date
 - The receiving software is free to resort the file if it wants to process in unit order.
- For each household in residence on or after the History Effective Date
 - If the household is in residence on the History Effective Date
 - Include the most recent MAT10 effective <= History Effective Date
 - If the household has a current mailing address different than the unit address, include a MAT15 Tenant Address record
 - Include all other transactions (MO, TM, GR, UT, AR, IR, MI, IC >= the effective date of the MAT10
 - If the household starts to receive subsidy after the History Effective Date (MI or IC after the History Effective Date). This would include households who were in residence but not subsidized on the History Effective Date who start receiving subsidy later than that date.
 - Include all transactions starting on the MI or IC date
 - If the household has a current mailing address different than the unit address, include a MAT15 Tenant Address record
- Do not set the Baseline Flag on any cert.
- As with a regular baseline, this file is not a history of transactions in cases where there are multiple transactions for the same date. Only the most recent correct cert should be included for an effective date.
- Examples of cert selection for Traditional Baselines and History Baselines. Normally a traditional baseline is for the current voucher month. The examples given below do not follow that rule so as to better illustrate how cert selection works.
 - Underlying data for a single household
 - 2/1/07 MI
 - 5/16/07 GR
 - 9/3/07 UT
 - 2/1/08 AR
 - 5/16/08 GR
 - 2/1/09 AR
 - 2/1/09 AR*
 - 5/16/09 GR
 - 5/16/09 GR*
 - 2/1/10 AR
 - 5/16/10 GR
 - 6/1/10 IR
 - Traditional Baseline for 6/1/10
 - 6/1/10 IR (marked as baseline)
 - Traditional Baseline for 3/1/10
 - 2/1/10 AR (marked as baseline)
 - 5/16/10 GR
 - 6/1/10 IR
 - Traditional Baseline for 1/1/10

- 2/1/09 AR* (marked as baseline)
- 5/16/09 GR*
- 2/1/10 AR
- 5/16/10 GR
- 6/1/10 IR
- History Baseline for 5/1/08
 - 2/1/08 AR
 - 5/16/08 GR
 - 2/1/09 AR*
 - 5/16/09 GR*
 - 2/1/10 AR
 - 5/16/10 GR
 - 6/1/10 IR
- History Baseline for 9/1/07
 - 2/1/07 MI
 - 5/16/07 GR
 - 9/3/07 UT
 - 2/1/08 AR
 - 5/16/08 GR
 - 2/1/09 AR*
 - 5/16/09 GR*
 - 2/1/10 AR
 - 5/16/10 GR
 - 5/16/10 GR
- History Baseline for 1/1/07
 - 2/1/07 MI
 - 5/16/07 GR
 - 9/3/07 UT
 - 2/1/08 AR
 - 5/16/08 GR
 - 2/1/09 AR*
 - 5/16/09 GR*
 - 2/1/10 AR
 - 5/16/10 GR
 - 5/16/10 GR

- **Voucher Data**
 - Generally voucher records would not be included in the baseline. However, the final step in the transition from one CA to another could involve the transmission of the most recent full voucher for a contract. See the Voucher Detail spec in **202D MAT Record Changes.xlsx** for details of the record format.

- **Other Project Data**
 - Project name is contained in the MATHR record and is assumed to apply to all data in the file. We need to keep in mind that there are cases where site software is submitting one Project Name to the CA and CA Software is submitting another one to TRACS. These are usually cases where the original contract uses a particular project name and where the site has started using a different AKA name. So, Project Name cannot be considered a globally unique identifier.

 - Subsidy/Contract Information—See the new MAT90 Subsidy/Contract Information record.

 - Units—See the new fields associated with the MAT15 record.

 - Floor Plans—See the new MAT91 Unit Floor Plans record.

 - Rents—See the new MAT92 Unit Rents record.
 - Note: if this is a Section 8/Rent Supp/RAP contract in a 236 or BMIR project, include rents for 236 or BMIR for the same time frame. The rents need to include those in effect as of the effective date of the earliest certification in the History Baseline. For example, if the History Baseline start date is 1/1/2007 and the earliest full certification included in the file is effective 12/1/2005, the rents submitted need to include those in effect on 12/1/2005. Those rents will usually have an effective date earlier than 12/1/2005. If this is a Section 8 contract in a 236 then rents for both subsidy types are included.

- **Record Order in the History Baseline File**
 - MAT90-Subsidy/Contract Information
1 record only
 - MAT91-Unit Floor Plans
1 record for each floor plan
 - MAT92-Unit Rents
1 record for each rent for each floor plan in effect during the period of the baseline starting with those in effect at the time of the certification with the earliest effective date.
 - MAT15-Address Record
1 record for each unit
 - Certifications-MAT10, 40, 65, 70
As defined above in Rules for Certifications.

A very brief summary of comments received to date is:

- Keep scope by contract—not project.
- Include only signed, transmitted certs
- Include current pending certs that have not been on a voucher yet.
- Don't redefine the header record
- Don't include market tenants.
- Include ALL certs—not just the latest one for an effective date.
- Include only the most recent voucher.
- For data that does not fit into the usual MAT record types, use XML.
- Use an Excel file for the extra data.
- Carefully define the meaning of any dates.
- No partial certs unless a prior full cert is included.
- Don't include certs that have been inactivated by a TM or MO effective before the cert effective date.
- Require PBCAs to give a history baseline to any OA that needs one.
- In a DS situation, (a Move-in, followed by a DS termination, followed by an IC), only the IC would be sent.
- When going back, if certs are in earlier TRACS versions, they need to be transmitted in 202C format with correct defaults for any missing fields.

Exhibit 2 - VOUCHER MATRIX

Transition Issues: Review and Pay Monthly Vouchers and HUD Systems, TRACS and LOCCS

Issue No.	Who/ What	TASKS	STATUS	POLICIES AND PROCEDURES
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1.	HUD - (History Baseline)	<p>Group Recommendation: Require outgoing PBCA to transfer five years of tenant data and associated contract data to incoming PBCA, in electronic file format specified in Exhibit 1.</p> <p>The specified data transfer will be used to transfer tenant data and contract data from the outgoing PBCA to the incoming PBCA.</p> <p>Benefits include:</p> <ul style="list-style-type: none"> • Eliminates the need for Owners/Agents to provide baseline Tenant data for each Project /Contract. • Reduces ongoing requests to Owners/Agents for retroactive data arising from EIV findings, gross rent changes, etc. • Transfers tenant data sufficient for incoming PBCA to accurately calculate results of EIV findings • Reduces reporting burden for both Outgoing and Incoming PBCA's by hundreds of man-hours per PBCA. • Does not require changes to any HUD Systems • Allows incoming PBCAs to analyze vouchers and make accurate payments much sooner by avoiding lengthy baseline data acquisition period. • Ensures data at incoming PBCA matches prior payment data, and tenant data at TRACS. • Benefits Industry: PBCA can provide data to Owner/Agent, when necessary. Preserves history, increases accuracy. 	<p>Recommended by Voucher Transition team. Specification, developed by Vendor working group, nearly complete as of 10/1/2010.</p>	<ul style="list-style-type: none"> • Documents/data transferred: Exhibit 1, History Baseline Specification • Documents/Data retained: N/A • Communication with HUD: N/A • Communication with O/A: N/A • Timeframes/deadlines - # days to process: Issue with Transition Guidance. Vendor implementation by June, 2011.
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2.	HUD/ (90 day Ramp-up time line)	<p>Group Recommendation: Provide 90-day ramp-up period for PBCA transition, consistent with HUD guidance for prior PBCA start-up.</p> <p>Benefits include:</p> <ul style="list-style-type: none"> • Basis for all planning and deadlines for all Transition activities. • Reduction in missed deadlines • Mutually identifiable timeframes and deadlines for both incoming and outgoing PBCAs. 	Recommended by Voucher Transition team. Pending inclusion in HUD Transition Guidelines.	<ul style="list-style-type: none"> • Documents/data transferred: N/A • Documents/Data retained: N/A • Communication with HUD: N/A • Communication with O/A: N/A • Timeframes/deadlines - # days to process: Issue with Transition Guidance. <p>Note: all day #'s must be applied to actual calendar when transition period is set, avoiding weekends and holidays.</p>
3.	HUD - (TRACS/ LOCCS Systems update)	<p>Group Recommendation: Update HUD systems to permit:</p> <ul style="list-style-type: none"> • Outgoing PBCA to reconcile and transmit MAT30 vouchers to HUD, up to the 20th day of the final month of the outgoing PBCA's operations. • Batch process the Assignment and Cutover processes. <ul style="list-style-type: none"> ○ Schedule the Assignment and Cutover process to take place immediately after day 20 of the final month of the outgoing PBCA's operations. <p>Benefits include:</p> <ul style="list-style-type: none"> • Timely payment (8 – 15 days sooner than current process) for all properties scheduled to be paid, which are transferring. • Long-term benefit to HUD; the proposed system update would be 	Currently under discussion at HUD	<ul style="list-style-type: none"> • Documents/data transferred: Exhibit 4c, HUD Systems Change • Documents/Data retained: N/A • Communication with HUD: N/A • Communication with O/A: N/A <p>Timeframes/deadlines - # days to process: Issue with Transition Guidance; changes in place in time for PBCA transition.</p>

4.	HUD (TCA to PBCA contract transfers)	<p>available for all TCA – PBCA transfers, and any future PBCA to PBCA transfers.</p> <ul style="list-style-type: none"> • Provides a time-efficient, orderly process for transfer, instead of a massive bottleneck for the incoming PBCA, at the time of transfer. • Will add to the accuracy of results by significantly reducing the complexity of the change. <p>Group Recommendation: Hold any contract transfers from Traditional Contract Administrators to PBCA’s, from day 1 to day 90.</p> <p>Benefits include:</p> <ul style="list-style-type: none"> • Reduced complexity for property involved in transfer. Property would have to transfer twice, if a TCA contract is transferred to the outgoing CA. • Outgoing PBCA may not have time to reconcile property baseline data, if data is received any time after day 1. 	TCA oversight remains in place until day 91 of transition.	<ul style="list-style-type: none"> • Documents/data transferred: N/A • Documents/Data retained: N/A • Communication with HUD: N/A • Communication with O/A: N/A <p>Timeframes/deadlines - # days to process: N/A</p>
5.	HUD (Contract Combinations)	<p>Group Recommendation: Hold any contract combinations, from day 1 to day 90.</p> <p>Benefits include:</p> <ul style="list-style-type: none"> • Contract combinations are complex, time consuming and typically require 	Properties with two Section 8 contracts for the same property, remain as-is for the duration of the transition period.	<ul style="list-style-type: none"> • Documents/data transferred: N/A • Documents/Data retained: N/A • Communication with HUD: N/A • Communication with O/A: N/A <p>Timeframes/deadlines - # days to process: N/A</p>

6.	HUD - (Property Listing)	<p>multiple months to complete. Outgoing PBCA may not be able to complete the contract combination before the expiration of their contract.</p> <p>Provide Attachment B, listing all projects in the state PBCA portfolio, to incoming PBCA.</p>	Indicates status of each property in the stat PBCA portfolio.	<ul style="list-style-type: none"> • Documents/data transferred: HUD Attachment B to the PBCA ACC contract • Documents/Data retained: N/A • Communication with HUD: N/A • Communication with O/A: N/A <ul style="list-style-type: none"> ○ Timeframes/deadlines - # days to process: N/A ○ Information provided to Incoming PBCA on day 1 of the Ramp-up period.
7.	Incoming PBCA - (Establish contact with outgoing PBCA)	Contact Outgoing PBCA and establish key personnel/key manager contact, to develop working relationship for Transition.	N/A	<ul style="list-style-type: none"> • Documents/data transferred: Functional Org chart for transfer; contact information. • Documents/Data retained: N/A • Communication with HUD: N/A • Communication with O/A: N/A <ul style="list-style-type: none"> ○ Timeframes/deadlines - # days to process: 1 ○ Information provided to Incoming PBCA on day 1 of Ramp-up period.
8.	Outgoing PBCA (Setup and Contact information for voucher function)	Provide Incoming PBCA with HAP Contact Information spreadsheet.	Outgoing PBCA provides incoming PBCA with information needed to begin initializing systems, making necessary contacts. Will provide information including	<ul style="list-style-type: none"> • Documents/data transferred: Exhibit 4d, Voucher Setup and Contact information Spreadsheet with all columns populated, provided by outgoing PBCA to incoming PBCA. • Documents/Data retained: Retention period by outgoing PBCA to be determined.

9.	Incoming PBCA - (Acquire 1199A direct deposit forms)	The incoming PBCA will communicate with each property currently active in the outgoing PBCA portfolio to acquire the 1199A direct deposit forms.	Project name, Contract number, FHA# operative in TRACS, TRACS ID, # of units and contact information. Request must have Owner/Agent signature, on document with incoming PBCA information identified.	<ul style="list-style-type: none"> • Communication with HUD: N/A • Communication with O/A: N/A <ul style="list-style-type: none"> ○ Timeframes/deadlines - # days to process: 29 ○ Information provided to Incoming PBCA on day 30 of Ramp-up period. • Documents/data transferred: 1199A direct deposit forms from properties to incoming PBCA. • Documents/Data retained: TBD • Communication with HUD: N/A • Communication with O/A: Request for 1199A Direct deposit form. <ul style="list-style-type: none"> ○ Timeframes/deadlines - # days to process: 45 ○ Request to Owners on or about day 45 of Ramp-up period. <p>Note: incoming PBCA’s may make this request in conjunction with orientation meetings or other communications with Owners and Agents. Note: Notify Owners/Agents of iMAX ID to which properties will send, after day 90. Note: Notify Owners/Agents to not transmit any TRACS files to outgoing PBCA, after sending the final electronic voucher and supporting electronic tenant files. This will avoid “lost” data after day 80.</p> <ul style="list-style-type: none"> • Documents/data transferred: Documents will include but not be limited to Exhibit 4c: all approved current Rent Schedules (92458); all current repayment agreements for the previous 120 days; Reconciliation reports or memos (the reports provided to each contract, each month, for the
10.	Outgoing PBCA – (Transfer Docs to incoming PBCA)	Document Transfer to incoming PBCA. Outgoing PBCA will transfer documents in accepted, mutually agreeable file format such as PDF, JPEG, TIFF, Word Doc, Excel Spreadsheet. In the event the documents are not digitized, the outgoing PBCA will provide paper copies to the incoming PCBA.	Document transfer to provide the incoming PBCA with essential authoritative documentation such as approved Rent schedules and other information	<ul style="list-style-type: none"> • Documents/data transferred: Documents will include but not be limited to Exhibit 4c: all approved current Rent Schedules (92458); all current repayment agreements for the previous 120 days; Reconciliation reports or memos (the reports provided to each contract, each month, for the

		discussed by the outgoing and incoming PBCAs and mutually agreeable prior to transfer.	approved Rent schedules and other information supporting amounts paid over the previous 120 days.	<p>process: 1</p> <ul style="list-style-type: none"> ○ Information provided to Incoming PBCA on day 61 of Ramp-up period. <p>Note: The information is to be provided to the incoming PBCA on Day 61 so that the HUD 52670 HAP voucher supporting the day 61 payment to the owner and all MAT10 and other tenant and property information specified in the History Baseline Spec, will be included in the transfer.</p> <p>Note: It is acceptable for the outgoing PBCA and incoming PBCA agree to the weekend closest to day 61 so that the outgoing PBCA can create files after the close of that week's business and the incoming PBCA can utilize the weekend to import the data.</p>
12.	Outgoing PBCA commences "mirroring" (cc'ing) TRACS tenant files to incoming PBCA, via iMAX	The History Baseline, or other Baseline, will establish tenant history. Mirroring is the method by which the established history will be kept current.		<ul style="list-style-type: none"> • Documents/data transferred: N/A • Documents/Data retained: TBD • Communication with HUD: N/A • Communication with O/A: N/A <p>○ Timeframes/deadlines - # days to process: 1</p> <p>○ Action accomplished Day 61</p> <p>Note: Only mirror files sent to TRACS, to Incoming PBCA.</p>
13.	Outgoing PBCA – (Voucher reconciliation cutoff)	Outgoing PBCA halts voucher reconciliation and all transmissions to TRACS.	Voucher processing should be substantially complete for final month, and operations must cease to allow sufficient time for the outgoing PBCA to summarize work	<ul style="list-style-type: none"> • Documents/data transferred: N/A • Documents/Data retained: TBD • Communication with HUD: N/A • Communication with O/A: N/A <ul style="list-style-type: none"> ○ Timeframes/deadlines - # days to process: 1 ○ Action accomplished Day 80.

14.	Outgoing PBCA - (Voucher status for all properties to incoming PBCA)	Provide Work in Process Report (WIP) to incoming PBCA. This report will provide the voucher status of each contract in the outgoing PBCA portfolio. Information contained must be in electronic format usable for development of ACH files by incoming PBCA.	<p>in process, provide that information to the incoming PBCA, and allow the incoming PBCA to incorporate that information into their operations.</p> <p>The status report will include the approved HAP amount for the month, which voucher month the HAP is approved for, and the Voucher Status code at LOCCS (for example, VSP10), or at TRACS if the voucher did not reach LOCCS (for example, VSR26).</p> <p>The WIP report will also list the voucher month most recently requested by the property and processed by the PBCA for each contract. Each contract which is not requesting funds for the current month will be noted with an explanation of work in process, characterizing the reason the contract is</p>	<p>Note: The outgoing PBCA will process and transmit to TRACS all complete vouchers received on or before day 75 of the final month. A complete voucher includes receipt of the hard copy voucher, the electronic voucher and tenant data. The last day to process and transmit the approved voucher to TRACS will be the day 80 of the final month.</p> <ul style="list-style-type: none"> • Documents/data transferred: Exhibit 4c, Voucher Status Work in Process report. Documents/Data retained: TBD • Communication with HUD: N/A • Communication with O/A: N/A <ul style="list-style-type: none"> ○ Timeframes/deadlines - # days to process: 1 ○ Information provided to Incoming PBCA on day 80 of Ramp-up period.
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15.	Outgoing PBCA - (Status of all scheduled opt-outs)	Provide Work in Process Report (WIP) to incoming PBCA. This report will provide the status of all opt-outs either in process or scheduled. Work in Process spreadsheet will be supported by all opt-out documentation.	not current (for example, "contract late to report because of a fire in the project offices",). To disclose the status of all opt-outs both in process and scheduled.	<ul style="list-style-type: none"> • Documents/data transferred: exhibit 3e, opt-out Work in Process report. Documents/Data retained: TBD • Communication with HUD: N/A • Communication with O/A: N/A <ul style="list-style-type: none"> ○ Timeframes/deadlines - # days to process: 1 ○ Information provided to Incoming PBCA on day 80 of Ramp-up period.
16.	HUD - (Guidance needed for orderly Special Claims transition)	<p>Group Recommendation: Beginning on day 15, outgoing PBCA holds approved Special Claims for transmittal to incoming PBCA on day 80. Special Claims processing continues through day 79.</p> <p>Benefits:</p> <ul style="list-style-type: none"> • Avoids TRACS rejection of vouchers filed with outgoing PBCA Special Claim ID. • Provides Owners time to file Special Claims approved through day 45, on final voucher processed by outgoing PBCA. • Expedites payment of Special Claims approved but held by outgoing PBCA because after day 90, incoming PBCA can assign Special Claim ID to packages approved by outgoing 	Provide for orderly transition of Special Claims processing	<ul style="list-style-type: none"> • Documents/data transferred: N/A • Documents/Data retained: TBD • Communication with HUD: N/A • Communication with O/A: N/A <ul style="list-style-type: none"> ○ Timeframes/deadlines - # days to process: N/A

17.	Outgoing PBCA – (Special Claims Work in Process transferred to incoming PBCA)	<p>PBCA. Disadvantages:</p> <ul style="list-style-type: none"> • Adds one month to payment of Special Claims approved after day 15. <p>Provide Exhibit 3h, Special Claims Work in Process status spreadsheet, to incoming PBCA. Spreadsheet includes information on:</p> <ul style="list-style-type: none"> • Special Claims Approved but not Paid. • Special Claims received but not processed. • The outgoing PBCA record of Special Claims required by the existing ACC contract and kept by the outgoing PBCA for HUD review during the annual ACR. <ul style="list-style-type: none"> ○ The PBCA record or log should at a minimum, provide Project Name, Contract Number, Tenant name and unit number, the type of Special Claim, the amount of the claim, the approval date and the Special Claim ID, for all claims approved and denied for the previous 180 days. 	In conjunction with the recommended Special Claims procedure above, this item provides for a cutoff, orderly transition and information sufficient for the incoming PBCA to know the status of Special Claims and avoid duplicate Special Claims processing.	<ul style="list-style-type: none"> • Documents/data transferred: Exhibit 3h, Special Claims Work in Process spreadsheet; Special Claims log • Documents/Data retained: TBD • Communication with HUD: N/A • Communication with O/A: N/A <ul style="list-style-type: none"> ○ Timeframes/deadlines - # days to process: 1 ○ Information provided to Incoming PBCA on day 80 of Ramp-up period. <p>Note: Outgoing PBCA will be expected to review and approve or deny all special Claims filed through day 79. Special Claims received beginning on day 74 will be held for transmittal to incoming PBCA on day 80.</p> <p>Note: Incoming PBCA will assign Special Claims ID’s to all requests processed by outgoing PBCA, but not returned to Owner, at earliest possible date.</p>
18.	Outgoing PBCA – (Final document transfer)	Provide all Repayment Agreements received since day 61 of ramp-up period to incoming PBCA. Also note on Exhibit 4c.	Transfer all repayment agreements received or updated during final month of operations	<ul style="list-style-type: none"> • Documents/data transferred: Repayment Agreements • Documents/Data retained: TBD • Communication with HUD: N/A • Communication with O/A: N/A <ul style="list-style-type: none"> ○ Timeframes/deadlines - # days to process: 1

19.	Outgoing PBCA – (Final document transfer)	Provide all Project/Contract Repayment Agreements received since day 61 of ramp-up period to incoming PBCA. Also note on Exhibit 4c.	Transfer all Project/Contract repayment agreements received or updated during final month of operations	<ul style="list-style-type: none"> ○ Information provided to Incoming PBCA on day 80 of Ramp-up period. ● Documents/data transferred: Project/Contract Repayment Agreements ● Documents/Data retained: TBD ● Communication with HUD: N/A ● Communication with O/A: N/A <ul style="list-style-type: none"> ○ Timeframes/deadlines - # days to process: 1 ○ Information provided to Incoming PBCA on day 80 of Ramp-up period.
20.	Outgoing PBCA – (Final document transfer)	Provide all outstanding RHIP actions received since day 61 of ramp-up period to incoming PBCA. Also note on Exhibit 4c.	Transfer all outstanding RHIP actions received or updated during final month of operations	<ul style="list-style-type: none"> ● Documents/data transferred: Outstanding RHIP actions. ● Documents/Data retained: TBD ● Communication with HUD: N/A ● Communication with O/A: N/A <ul style="list-style-type: none"> ○ Timeframes/deadlines - # days to process: 1 ○ Information provided to Incoming PBCA on day 80 of Ramp-up period.
21.	Outgoing PBCA – (Final document transfer)	Provide all HAP Vouchers and reconciliation reports generated since day 61 of ramp-up period to incoming PBCA. Also note on Exhibit 4c.	Transfer all HAP Vouchers and Reconciliation reports during final month of operations. This could be handled as an ongoing data transfer, if mutually	<ul style="list-style-type: none"> ● Documents/data transferred: HAP Vouchers and Reconciliation reports generated since day 61. ● Documents/Data retained: TBD ● Communication with HUD: N/A ● Communication with O/A: N/A <ul style="list-style-type: none"> ○ Timeframes/deadlines - # days to

22.	iMAX (TRACSMail) ID	<p>Outgoing PBCA transfers TRACSMail ID for PBCA portfolio to incoming PBCA.</p> <p>Benefits: Avoid requiring each reporting entity to switch TRACSMail settings in occupancy software.</p>	<p>agreeable to the parties.</p> <p>If Outgoing PBCA has a single portfolio and no other activity, it will consider transferring their iMAX (TRACSMail ID).</p>	<p>process: 1</p> <ul style="list-style-type: none"> ○ Information provided to Incoming PBCA on day 80 of Ramp-up period. <ul style="list-style-type: none"> ● Documents/data transferred: TRACSMail ID ● Documents/Data retained: N/A ● Communication with HUD: N/A ● Communication with O/A: N/A <ul style="list-style-type: none"> ○ Timeframes/deadlines - # days to process: 1 ○ Information provided to Incoming PBCA on day 80 of Ramp-up period. <p>Note: It may not be feasible for the outgoing PBCA to transfer their TRACSMail ID if that ID is used to receive TRACS information for multiple portfolios.</p>
23.	Outgoing PBCA – (Payment Status information)	Provide LOCCS Missed Payment report to incoming PBCA.	This will provide incoming PBCA with payment status information.	<ul style="list-style-type: none"> ● Documents/data transferred: LOCCS Missed Payments Report ● Documents/Data retained: TBD ● Communication with HUD: N/A ● Communication with O/A: N/A <ul style="list-style-type: none"> ○ Timeframes/deadlines - # days to process: 1 ○ Information provided to Incoming PBCA on day 85 of Ramp-up period.
24.	Outgoing PBCA – add staff member of incoming PBCA as Secure System user	If consistent with outgoing PBCA IT and Security policies, outgoing PBCA will add one staff member of incoming PBCA as a Secure System user.		<ul style="list-style-type: none"> ● Documents/data transferred: N/A ● Documents/Data retained: N/A ● Communication with HUD: N/A ● Communication with O/A: N/A <ul style="list-style-type: none"> ○ Timeframes/deadlines - # days to process: 1 ○ Access provided to Incoming PBCA

25.	Outgoing PBCA – (Payment Status information)	Provide update on any voucher status which has changed in WIP report since day 80.	Transfer information on any changes in voucher status.	<p>on day 80 of Ramp-up period.</p> <ul style="list-style-type: none"> • Documents/data transferred: updates voucher status information in Exhibit 3g, Voucher Status Work in Process format. • Documents/Data retained: TBD • Communication with HUD: N/A • Communication with O/A: N/A <ul style="list-style-type: none"> ○ Timeframes/deadlines - # days to process: 1 ○ Information provided to Incoming PBCA on day 85 of Ramp-up period.
26.	Outgoing PBCA – (TRACS files received but not processed)	Outgoing PBCA forwards TRACS data received after day 80, but not imported and processed, to incoming PBCA.	This allows files mistakenly sent by properties to outgoing PBCA, to reach incoming PBCA.	<ul style="list-style-type: none"> • Documents/data transferred: TRACS files • Documents/Data retained: TBD • Communication with HUD: N/A • Communication with O/A: N/A <ul style="list-style-type: none"> ○ Timeframes/deadlines - # days to process: 1 ○ Information provided to Incoming PBCA on day 89 (or 1 day before cutover) of Ramp-up period.
27.	HUD (Assignment and Cutover process)	HUD performs Assignment process and Cutover process after day 80 but before day 90, to permit timely payment to properties.		<ul style="list-style-type: none"> • Documents/data transferred: N/A • Documents/Data retained: TBD • Communication with HUD: N/A • Communication with O/A: N/A <ul style="list-style-type: none"> ○ Timeframes/deadlines - # days to process: 1
28.	HUD – (provide iREMS, LOCCS and WASS access)	iREMS, LOCCS and WASS access provided to incoming PBCA	Coordinated with Assignment/cutover process in item 3	<ul style="list-style-type: none"> • Documents/data transferred: N/A • Documents/Data retained: TBD • Communication with HUD: N/A • Communication with O/A: N/A <ul style="list-style-type: none"> ○ Timeframes/deadlines - # days to process: 1

29.	Outgoing PBCA (Forward LOCCS email)	If necessary, outgoing PBCA forwards LOCCS email(s) advising payment, to incoming PBCA.		<ul style="list-style-type: none"> ○ Access provided to Incoming PBCA on day 85 of Ramp-up period.
30.	Incoming PBCA (creates ACH payment files)	Incoming PBCA will create ACH files to make payments to the properties in their new portfolio.	Transfer of payment responsibility from outgoing to incoming PBCA, after day 90.	<ul style="list-style-type: none"> ● Documents/data transferred: N/A ● Documents/Data retained: TBD ● Communication with HUD: N/A ● Communication with O/A: N/A <ul style="list-style-type: none"> ○ Timeframes/deadlines - # days to process: 1 ○ Email forwarded day 90.
31.	Incoming PBCA (begins operations)	Incoming PBCA begins operations on day 91.		<ul style="list-style-type: none"> ● Documents/data transferred: N/A ● Documents/Data retained: TBD ● Communication with HUD: N/A ● Communication with O/A: N/A <ul style="list-style-type: none"> ○ Timeframes/deadlines - # days to process: 1 ○ Operations begin day 91.
32.	LOCCS (routes payments to incoming PBCA)	Notifies incoming PBCA and ensures appropriate funds disbursed to incoming PBCA.		<ul style="list-style-type: none"> ● Documents/data transferred: N/A ● Documents/Data retained: TBD ● Communication with HUD: N/A ● Communication with O/A: N/A <ul style="list-style-type: none"> ○ Timeframes/deadlines - # days to process: 1

33.	Incoming PBCA (disburses funds to Owners /Agents)	Incoming PBCA makes payment to Owners / Agents.		<ul style="list-style-type: none"> ○ Funds transfer day 91. ● Documents/data transferred: N/A ● Documents/Data retained: TBD ● Communication with HUD: N/A ● Communication with O/A: N/A <ul style="list-style-type: none"> ○ Timeframes/deadlines - # days to process: 1 ○ Funds transfer day 91.
-----	---	---	--	--

c. RENT ADJUSTMENTS

RENT ADJUSTMENT CHECKLIST

Property Name _____ Property Contract Number _____

iREMS ID Number _____ FHA # _____

Option Type at Renewal _____ HAP Expiration date _____

Rent Adjustment type _____ Funding Expiration Date _____

RCS expiration date _____ New RCS required? YES No

The purpose of this checklist is to communicate the work in progress to ensure the smooth transition and uninterrupted continuation of the properties' funding within the PBCA portfolio. Send this information form to the CAOM and new primary PBCA contact 1 day before the PBCA transition.

	Step Description	Step Completed?	Date Completed
1	Initial reminder letter sent:	YES <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>	
2	Date(s) of other reminder letters/calls:	YES <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>	
3	Initial Package receive date:	YES <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>	
4	Response to owner:	YES <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>	
5	Complete Package Receive Date:	YES <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>	
6	RCS Approved by HUD/ CA Appraiser: (if applicable, 5 th year adj.)	YES <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>	
7	HUD approval requested as per adjustment type (Option 2 >5% budget, Option 4 > 5% budget – describe what was requested in comments.)	YES <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>	
8	HUD approval received as per adjustment type (Option 2 >5% budget, Option 4 > 5% budget – describe what was approved in comments.)	YES <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>	
9	iREMS updated: - Project Action Screen - Contract Processing screen	YES <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/> YES <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/> YES <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>	
10	Funding request sent to HUD:	YES <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>	
11	Rent Decision Letter to O/A:	YES <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>	
12	Funding received from HUD:	YES <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>	
13	Rent schedule signed by CA:	YES <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>	
14	Rent Schedule to Owner:	YES <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>	
15	Rent Schedule received from owner	YES <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>	

d. CONTRACT RENEWALS

CONTRACT RENEWAL CHECKLIST

Property Name _____ Property Contract Number _____

iREMS ID Number _____ FHA # _____

HAP Expiration date: _____ Renewal Option Chosen: _____

RCS expiration date _____ New RCS required? YES No

The purpose of this checklist is to communicate the work in progress to ensure the smooth transition and uninterrupted continuation of the properties' funding within the PBCA portfolio. Send this information form to the CAOM and new primary PBCA contact 1 day before the PBCA transition.

	Step Description	Step Completed?	Date Completed
1	Initial reminder letter sent:	YES <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>	
2	Date(s) of other reminder letters/calls:	YES <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>	
3	Initial Package receive date:	YES <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>	
4	Response to owner:	YES <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>	
5	Complete Package Receive Date:	YES <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>	
6	RCS Approved by HUD/ CA Appraiser: (if applicable)	YES <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>	
7	HUD approval requested as per Option Selected (Option 1 eligibility, Option 2 >5% budget, Option 3 OAHP referral, etc – describe what was requested in comments.)	YES <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>	
8	HUD approval received as per Option Selected (Option 1 eligibility, Option 2 >5% budget, Option 3 OAHP referral, etc – describe what was approved in comments.)	YES <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>	
9	iREMS updated:		
	- Project Action Screen	YES <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>	
	- Contract Processing screen	YES <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>	
10	Funding request sent to HUD:	YES <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>	
11	Funding received from HUD:	YES <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>	
12	HAP Contract/Rent Schedule sent to Owner for signature:	YES <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>	
13	Signed HAP Contract/Rent schedule received from Owner:	YES <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>	
14	HAP Contract/Rent schedule signed by CA:	YES <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>	
15	HAP Contract sent to HUD for signature:	YES <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>	
16	Executed HAP Contract received from HUD:	YES <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>	
17	Final notification to Owner:	YES <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>	

Due to variations between each local HUD office additional steps may be needed. Please use this “comment” section to provide additional guidance regarding the package. **Comments:**

CONTRACT RENEWAL WORK-IN-PROGRESS

g. VOUCHERS

VOUCHER STATUS WORK IN PROCESS

	Project Name	Contract #	Voucher Month processed for day 60 (ex. 10/1/2011)	HAP amount approved by PBCA	HAP amount, LOCCS email advice	Payment made? (Y/N)	Payment Status (VSR26, etc.) if no payment	TRACS Compliance Pct. at day 60	Reason not paid, if No payment	EIV 5% penalty	Penalty amount
1											
2											
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34											

Exhibit 4 - CHECKLISTS

a. FILE TRANSFER CHECKLIST/BY CONTRACT

Section 8 Contract Administration
File Transfer Checklist

Project Name: _____
Contract No: _____
Property ID/iREMS No: _____

Please provide comments for any negative responses.

Regulatory Documents should be sent as one .pdf file on day 45
Naming structure of .pdf should equal Contract number_RegDoc.pdf

Regulatory Documents	Yes	No	N/A	Comments
1a. Use Agreement and/or Plan of Action	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
1b. Regulatory Agreement and Amendments	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
1c. Multifamily Summary Appraisal Report HUD-92264	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
1d. Income & Expense Analysis HUD-92264a	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
1e. Management Certification HUD 9839	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
1f. Management Entity Profile HUD 9832	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
1g. Previous Participation Certification HUD-2530	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
1h. HUD Notice of Default	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
1i. Legal Agreements	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	

Physical inspection Documents should be sent as one .pdf file on day 45
Naming structure of .pdf should equal Contract number_inspdoc.pdf

Physical inspections	Yes	No	N/A	Comments
2a. EH & S Mitigation Certification (last year or last inspection)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	

Management Review Documents should be sent as one .pdf file on day 45 and day 90
Naming structure of .pdf should equal Contract number_mgmtreview.pdf

Management Review Documents	Yes	No	N/A	Comments
3a. Most recent completed MOR and close out letter, if applicable	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
3b. Occupancy or Tenant File Review for open MORs only	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
3c. MOR follow up correspondence	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
3d. Affirmative Fair Housing Marketing Plan	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
3e. Current Approved MIO/Corrective Action Plan	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
3f. HUD approved determinations for property fees, lease addendums, HUD waivers, etc.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	

Section 8 Documents should be sent as one .pdf file on day 45
Naming structure of .pdf should equal Contract number_s8docs.pdf

Section 8 Documents	Yes	No	N/A	Comments
4a. Original term HAP Contract	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
4b. Current HAP Contract/Amendments	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
4c. HAP Assignment	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
4d. Rent calculation paperwork Att 3 (last action only)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
4e. Most Recent Rent Computation Worksheet	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
4f. Most recent rent decision letter	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
4g. Rent Schedule Form 92458	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
4h. Amortization Schedule or billing coupon	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
4i. One year tenant notice letter	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
4j. Rent Comparability Study (most recent)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	

b. FILE TRANSFER CHECKLIST/NON-CONTRACT SPECIFIC

Section 8 Contract Administration
Document Transfer Checklist (Non-Contract specific)

Name of PBCA: _____
 CA ID number: _____
 Date: _____

Each document type should be sent as one .pdf file
Naming structure of .pdf should equal Contract number_doctype.pdf

Miscellaneous Documents	Yes	No	N/A	Comments
5a. MOR work plan (current and proposed) - request from CAOM Day 1				
5b. Resident concerns/inquiries log - showing last year of all resident complaints, life threatening calls and Congressional inquiries - due at 45 days.				
5c. An average of HAP amounts for last 12 months for Fidelity Bond - due at 45 days				
5d. Property voucher contact and set up information - due at 30 days - see Excel spreadsheet (Exhibit X)				

c. FILE TRANSFER CHECKLIST/VOUCHER

Section 8 Contract Administration
File Transfer Checklist-Voucher Section

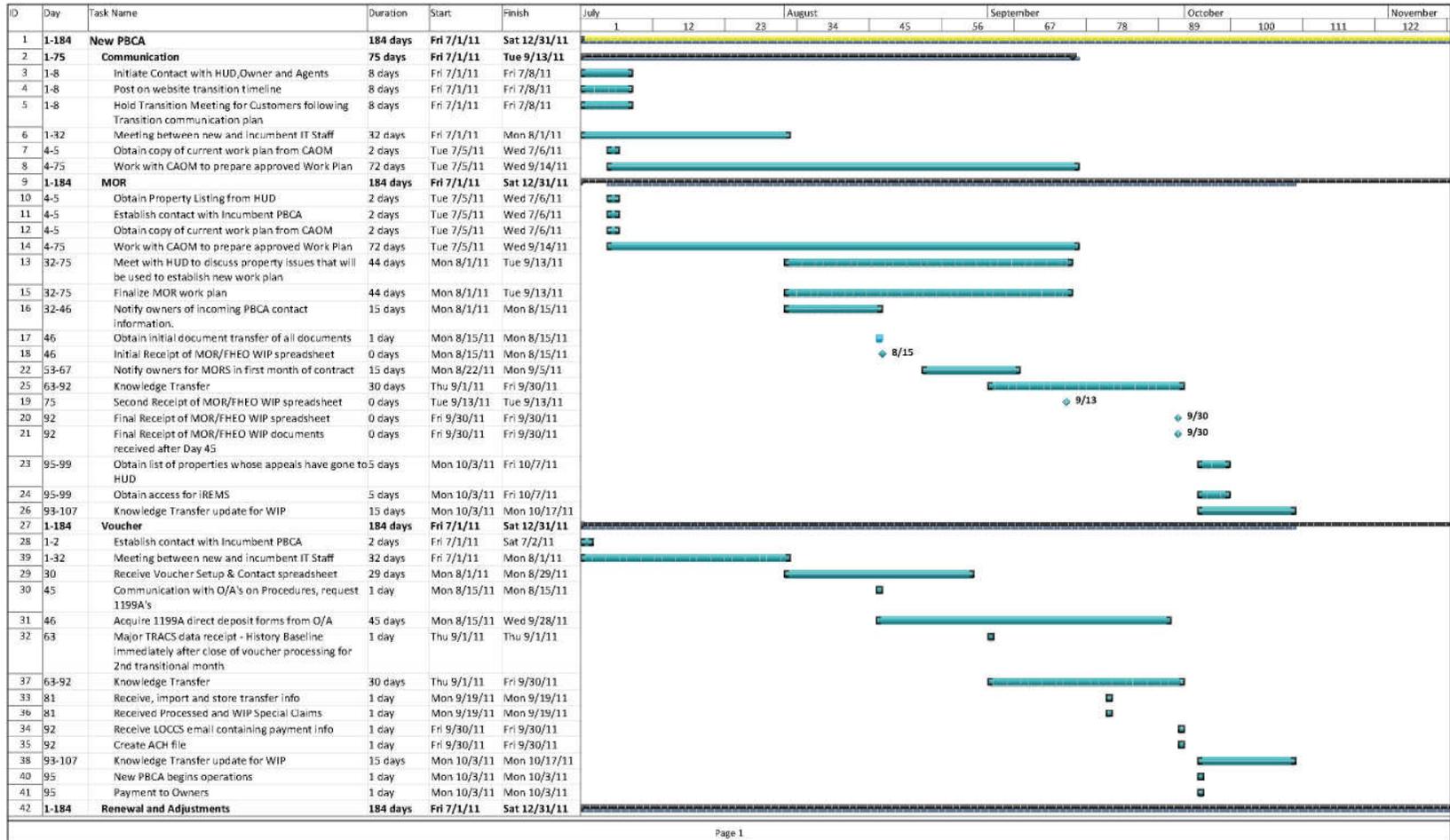
Project Name: _____
Contract No: _____
Property ID/iREMS No: _____

Please provide comments for any negative responses.

Voucher Documents should be sent as separate .pdf files on day 61

Voucher Documents	Yes	No	N/A	Comments
6a. Voucher Report HUD-52670 with attachments (last 4 months)				
6b. All current repayment agreements (resident and property) with payment history and current balance				
6c. Outstanding RHIP actions requiring property repayment				

Exhibit 5 - GANTT CHART



ID	Day	Task Name	Duration	Start	Finish	Gantt Chart											
						July	August	September	October	November							
52	1-32	Meeting between new and incumbent IT Staff	32 days	Fri 7/1/11	Mon 8/1/11	[Gantt bar from 7/1 to 8/1]											
46	46	Initial Receipt and Analysis of RA & CR WIP spreadsheet	0 days	Mon 8/15/11	Mon 8/15/11	[Milestone diamond at 8/15]											
50	63-92	Knowledge Transfer	30 days	Thu 9/1/11	Fri 9/30/11	[Gantt bar from 9/1 to 9/30]											
47	75	Second Receipt of RA & CA WIP Worksheet	0 days	Tue 9/13/11	Tue 9/13/11	[Milestone diamond at 9/13]											
48	92	Final Receipt of WIP RA & CA spreadsheet	0 days	Fri 9/30/11	Fri 9/30/11	[Milestone diamond at 9/30]											
49	92	Final Receipt of RA & CR WIP Documents received after Day 45	1 day	Fri 9/30/11	Fri 9/30/11	[Milestone square at 9/30]											
43	95-159	Rent Adjustment Appeals Received after 09/30 Submitted to HUD	65 days	Mon 10/3/11	Tue 12/6/11	[Gantt bar from 10/3 to 12/6]											
44	95-159	Contract Renewal Appeals after 09/30 Submitted to HUD	65 days	Mon 10/3/11	Tue 12/6/11	[Gantt bar from 10/3 to 12/6]											
45	95-159	RCS Appeals Received After 9/30 Submitted to HUD	65 days	Mon 10/3/11	Tue 12/6/11	[Gantt bar from 10/3 to 12/6]											
51	93-107	Knowledge Transfer update for WIP	15 days	Mon 10/3/11	Mon 10/17/11	[Gantt bar from 10/3 to 10/17]											
53	1-184	ACC Close Out	184 days	Fri 7/1/11	Sat 12/31/11	[Gantt bar from 7/1 to 12/31]											
56	63	Send Document Certification with readiness check-out	1 day	Thu 9/1/11	Thu 9/1/11	[Milestone square at 9/1]											
55	84-85	Enter LOCCS Cutover data by 84th day	2 days	Thu 9/22/11	Fri 9/23/11	[Gantt bar from 9/22 to 9/23]											
54	130-134	Provide Close-Out Report to HUD: Open Issues -OR- "ALL CLEAR" (Post 30 DAYS)	5 days	Mon 11/7/11	Fri 11/11/11	[Gantt bar from 11/7 to 11/11]											
57	1-184	Incumbent PBCA	184 days	Fri 7/1/11	Sat 12/31/11	[Gantt bar from 7/1 to 12/31]											
58	1-92	Communication	92 days	Fri 7/1/11	Fri 9/30/11	[Gantt bar from 7/1 to 9/30]											
59	4-63	Follow Transition Plan Communication Plan	60 days	Tue 7/5/11	Fri 9/2/11	[Gantt bar from 7/5 to 9/2]											
60	4-92	Authorize one incoming PBCA Employee access to IREMS and other HUD System	88 days	Tue 7/5/11	Fri 9/30/11	[Gantt bar from 7/5 to 9/30]											
61	1-184	MOR	184 days	Fri 7/1/11	Sat 12/31/11	[Gantt bar from 7/1 to 12/31]											
62	1-62	Continue to complete MORs	62 days	Fri 7/1/11	Wed 8/31/11	[Gantt bar from 7/1 to 8/31]											
73	1-92	Retain access to IREMS	92 days	Fri 7/1/11	Fri 9/30/11	[Gantt bar from 7/1 to 9/30]											
76	1-31	ACR If performed by HUD	31 days	Fri 7/1/11	Sun 7/31/11	[Gantt bar from 7/1 to 7/31]											
80	3-34	Meeting between new and incumbent IT Staff	32 days	Tue 7/5/11	Fri 8/5/11	[Gantt bar from 7/5 to 8/5]											
66	11-46	Ready document transfer	36 days	Mon 7/11/11	Mon 8/15/11	[Gantt bar from 7/11 to 8/15]											
64	25-92	Continue to Send Rating letter and MOR to clients	68 days	Mon 7/25/11	Fri 9/30/11	[Gantt bar from 7/25 to 9/30]											
65	46-92	Appeals received shipped to HUD	47 days	Mon 8/15/11	Fri 9/30/11	[Gantt bar from 8/15 to 9/30]											
67	46	Transmission of all Documents according to part III section A of Transition guide	1 day	Mon 8/15/11	Mon 8/15/11	[Milestone square at 8/15]											
68	46	Initial Transmission of MOR/FHEO WIP spreadsheet	0 days	Mon 8/15/11	Mon 8/15/11	[Milestone diamond at 8/15]											
63	63-92	Stop completing MORS	30 days	Thu 9/1/11	Fri 9/30/11	[Gantt bar from 9/1 to 9/30]											
78	63-92	Knowledge Transfer	30 days	Thu 9/1/11	Fri 9/30/11	[Gantt bar from 9/1 to 9/30]											
69	75	Second Transmission of MOR/FHEO WIP spreadsheet	0 days	Tue 9/13/11	Tue 9/13/11	[Milestone diamond at 9/13]											
77	81	Listing of All Properties that had 5% withheld on voucher Spreadsheet	1 day	Mon 9/19/11	Mon 9/19/11	[Milestone square at 9/19]											
70	92	Final Transmission of MOR/FHEO WIP spreadsheet	0 days	Fri 9/30/11	Fri 9/30/11	[Milestone diamond at 9/30]											
71	92	Transmission of all MOR/FHEO WIP documents received after 45 Days document transfer	0 days	Fri 9/30/11	Fri 9/30/11	[Milestone diamond at 9/30]											
74	95-112	Complete Invoice	18 days	Mon 10/3/11	Thu 10/20/11	[Gantt bar from 10/3 to 10/20]											
75	95-112	Annual Report to HUD	18 days	Mon 10/3/11	Thu 10/20/11	[Gantt bar from 10/3 to 10/20]											

ID	Day	Task Name	Duration	Start	Finish	Calendar											
						July	August			September			October			November	
						1	12	23	34	45	56	67	78	89	100	111	122
142	92	Final WIP Spreadsheet submitted	0 days	Fri 9/30/11	Fri 9/30/11												
144	92	Transfer WIP Packages received after Day 45 to N-PBCA	1 day	Fri 9/30/11	Fri 9/30/11									9/30			
138	93	New CR Packages Received after 9/20 Submitted to new PBCA	1 day	Mon 10/3/11	Mon 10/3/11												
147	93-107	Knowledge Transfer update for WIP	15 days	Mon 10/3/11	Mon 10/17/11												
162	1-184	ACC Close Out	184 days	Fri 7/1/11	Sat 12/31/11												
163	1-92	MOR	92 days	Fri 7/1/11	Fri 9/30/11												
165	1-62	Last MOR Conducted	62 days	Fri 7/1/11	Wed 8/31/11												
167	1-75	Received Final Owner Follow-Up	75 days	Fri 7/1/11	Tue 9/13/11												
164	4	Provide Existing MOR Work Plan to New PBCA	1 day	Tue 7/5/11	Tue 7/5/11												
166	4-46	Provide all MOR Documents to new PBCA	43 days	Tue 7/5/11	Tue 8/16/11												
169	46	Transmit Initial MOR WIP Spreadsheet	0 days	Mon 8/15/11	Mon 8/15/11				8/15								
173	63-92	Complete All-Close Out Activities (Last 30 Days)	30 days	Thu 9/1/11	Fri 9/30/11												
170	75	Transmit Second MOR WIP Spreadsheet	0 days	Tue 9/13/11	Tue 9/13/11							9/13					
168	92	Forward All final MOR WIP Files received after Days 45 document transmission to new PBCA	1 day	Fri 9/30/11	Fri 9/30/11												
171	92	Transmit Final MOR WIP Spreadsheet	0 days	Fri 9/30/11	Fri 9/30/11									9/30			
172	92	Enter final IREMS Data	1 day	Fri 9/30/11	Fri 9/30/11												
174	1-112	FHEO same as MOR process	112 days	Fri 7/1/11	Thu 10/20/11												
176	63-92	Complete All-Close Out Activities (Last 30 Days)	30 days	Thu 9/1/11	Fri 9/30/11												
175	92	Enter IREMS Data	1 day	Fri 9/30/11	Fri 9/30/11												
177	1-92	Rent Adjustments	92 days	Fri 7/1/11	Fri 9/30/11												
178	1-62	Last Owner RA Request Accepted	62 days	Fri 7/1/11	Wed 8/31/11												
183	1-75	Received Final Owner Follow-Up	75 days	Fri 7/1/11	Tue 9/13/11												
179	4-46	Provide all RA Documents to new PBCA	43 days	Mon 7/4/11	Mon 8/15/11												
180	46	Transmit Initial RA WIP Spreadsheet	0 days	Mon 8/15/11	Mon 8/15/11				8/15								
186	63-92	Complete All-Close Out Activities (Last 30 Days)	30 days	Thu 9/1/11	Fri 9/30/11												
181	75	Transmit Second RA WIP Spreadsheet	0 days	Tue 9/13/11	Tue 9/13/11							9/13					
182	92	Transmit Final RA WIP Spreadsheet	0 days	Fri 9/30/11	Fri 9/30/11									9/30			
184	92	Forward All WIP Files to new PBCA received after Day 45 document transmission	1 day	Fri 9/30/11	Fri 9/30/11												
185	92	Enter final IREMS Data	1 day	Fri 9/30/11	Fri 9/30/11												
210	1-112	Contract Renewals	114 days	Fri 7/1/11	Sat 10/22/11												
216	1-75	Received Final Owner Follow-Up	75 days	Fri 7/1/11	Tue 9/13/11												
212	4-46	Provide all CR Files to new PBCA	43 days	Tue 7/5/11	Tue 8/16/11												
211	46	Last Owner CR Request Accepted	1 day	Mon 8/15/11	Mon 8/15/11												
213	46	Transmit Initial CR WIP Spreadsheet	0 days	Mon 8/15/11	Mon 8/15/11				8/15								
219	63-92	Complete All-Close Out Activities (Last 30 Days)	30 days	Thu 9/1/11	Fri 9/30/11												
214	75	Transmit Second CR WIP Spreadsheet	0 days	Tue 9/13/11	Tue 9/13/11							9/13					
215	92	Transmit Final CR WIP Spreadsheet	0 days	Fri 9/30/11	Fri 9/30/11									9/30			
217	92	Forward All WIP Files received after Day 45 to new PBCA	1 day	Fri 9/30/11	Fri 9/30/11												
218	92	Enter final IREMS Data	1 day	Fri 9/30/11	Fri 9/30/11												
220	93-112	Provide Monthly/Quarterly & Annual Reports	20 days	Mon 10/3/11	Sat 10/22/11												
221	1-92	EH&S	92 days	Fri 7/1/11	Fri 9/30/11												
222	1-91	Complete EH&S Follow-Up	91 days	Fri 7/1/11	Thu 9/29/11												
223	46	Transmit All EH&S Certification completed in last year from date of most recently completed IMORS.	1 day	Mon 8/15/11	Mon 8/15/11												

ID	Day	Task Name	Duration	Start	Finish	July			August			September			October		November						
						1	12	23	31	7	14	21	28	5	12	19	26	3	10	17	24	31	
268	1-31	ACR if performed by HUD	31 days	Fri 7/1/11	Sun 7/31/11																		
269	1-184	Owners/Agents	184 days	Fri 7/1/11	Sat 12/31/11																		
273	1-92	Rent Adjustment Packages	92 days	Fri 7/1/11	Fri 9/30/11																		
274	1-92	Contract Renewals	92 days	Fri 7/1/11	Fri 9/30/11																		
271	32	Submit Final Requests for RA & CA	1 day	Mon 8/1/11	Mon 8/1/11																		
270	46	Post New PBCA contact information for Residents	1 day	Mon 8/15/11	Mon 8/15/11																		
272	75	Provide All Remaining Follow-Up Response	1 day	Tue 9/13/11	Tue 9/13/11																		

Project: Final.mpp Date: Thu 6/30/11	Task		Summary		External Milestone		Inactive Summary		Manual Summary Rollup		Finish-only	
	Split		Project Summary		Inactive Task		Manual Task		Manual Summary		Deadline	
	Milestone		External Tasks		Inactive Milestone		Duration-only		Start-only		Progress	
Page 9												

Exhibit 6 - CERTIFICATIONS

a. Certification of Outgoing PBCA

(Draft)

Exhibit 6a

Certification of Outgoing Performance Based Contract Administrator

PBCA Name:

Address:

Service Area:

The transfer of all Section 8 contract files has been completed as outlined in the File Transfer Checklist.

Compliance with the ACC close out procedures has been completed.

All files relevant to this PBCA-ACC contract have been stored in a secured manner.

Authorizing Officer

Date

Title:

b. Certification of Incoming PBCA

(Draft)

Exhibit 6b

Certification of Incoming Performance Based Contract Administrator

PBCA Name:

Address:

Service Area:

All Section 8 contract files as outlined in the File Transfer Checklist have been received.

The Readiness Review has been completed and there are no outstanding items.

Authorizing Officer

Date

Title:

Please fax or email to _____ and retain a copy for your files.

CAOM

c. CAOM Certification

(Draft)

Exhibit 6c

CAOM Certification

Incumbent PBCA has transferred all Section 8 contract files and complied with ACC closeout procedures as defined. Certification has been received.

New PBCA has received all Section 8 contract files and Readiness Review has been completed and there are no outstanding items. Certification has been received.

Contract Administration Oversight Monitor

Date

Director of Operations or HUB Director

Date

Please fax or email to _____ and retain a copy for your files.
Headquarters Desk Officer

Exhibit 7 - TEAM MEMBERS

Matrix 1				
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