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Appendix 14A

APPENDIX 14A CONTAINS FORM HUD-27053.

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APPENDIX 14B

APPENDIX 14B CONTAINS FORM HUD-27054

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APPENDIX 14C CONTAINS FORM HUD-27054A.

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APPENDIX 14D

U. S. Department of Housing and Urban Development
Washington, D.C. 20410-8000

OFFICE OF THE ASSISTANT SECRETARY
FOR HOUSING-FEDERAL HOUSING COMMISSIONER

JULY 17, 1995

MEMORANDUM FOR: All Grantees in the Fiscal Year 1995 Comprehensive
Housing Counseling Grant Program

FROM: Emelda P. Johnson, Deputy Assistant Secretary for
Single Family Housing, HS

SUBJECT: Instructions for Requesting Payment of FY 1995 Housing Counseling
Program Funds

The purpose of this letter is to provide all FY 1995 Comprehensive Housing Counseling Grantees with instructions for requesting payment from the Line of Credit Control System (LOCCS) for housing counseling program funds. This letter replaces HOUSING COUNSELING GRANT LETTER No. 1 -- Voice Response System (LOCCS/VRS) for Payment of Fiscal Year (FY) 1994 Comprehensive Housing Counseling (CHC) Vouchers, date January 23, 1994.

The Line of Credit Control System (LOCCS) is a computerized cash management and disbursement system that stores all of the financial information associated with the housing counseling grant program. The Voice Response System (VRS) is the touch-tone phone system through which requests for payment are made and entered into LOCCS. Following the approval of the voucher request by the appropriate field office, the LOCCS system disburses the funds to the grantees financial institution.

Access to the VRS

The following forms must be completed and submitted to HUD regarding the

LOCCS system:

- o Direct Deposit Sign up Form - form HUD SF-1199A. This form identifies the name of the financial institution, bank account number, type of account, and the American Banking Association (ABA) Transit Routing Number, that the Department of Treasury uses to wire funds to a grantee's account. If you are already receiving payments via direct deposit from HUD, you do not need to resubmit this form.

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Note: It is crucial that you report any changes of ABA or bank account numbers to your respective GTR immediately to avoid rejection of funds requested due to inaccurate banking information.

oLOCCS voice Response Access Authorization form HUD-27054. The designation shown on this form must be validated by signature of an authorizing official of the grantee and must also be notarized. The official who executes the form may not be the person named on the form for security access. The completion of this form is necessary to receive a user ID for the LOCCS system, unless you were a HUD funded agency in FY '94. If you were funded in FY '94 your user ID will remain the same. Instructions are attached.

oLOCCS/VRS Request Voucher for Grant Payment, form HUD-27053. A completed HUD-27053 is required to document the telephone request for drawdown. This form is to be retained in your files and should be available to HUD upon request. Instructions attached.

Note: For local agencies, the direct deposit form HUD SF-1199A and the LOCCS Voice Response Authorization Access form HUD-27054 should both be mailed to your respective housing counseling Field office Government Technical Representative (GTR)

National/regional organizations must submit these forms to:

U.S. Department of Housing and Urban Development
Attention: Housing Counseling Staff, Room 9282
451 7th Street, S.W.
Washington, DC 20410

To access the VRS you will need the following information:

oUser ID Number and Password

For newly funded agencies, the user ID and password will be sent to you in the mail by HUD following the updating of information you supply on the LOCCS Voice Response Access

Authorization use form HUD-27054. For agencies funded in FY '94, no further action is needed. Use the same ID provided to you for drawdown on the '94 grant.

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oVoice Response Number

This ten digit voice response number will be mailed to you in accordance with the tax identification number identified on the Direct Deposit Sign-up Form. This number will be sent out automatically by the LOCCS system.

oProgram Area Name which is CHC

oVoucher Number

The three digit prefix is 066, the other six digits will be provided by the VRS system when you call in. The entire 9 digit number must be recorded on your LOCCS VRS Request Voucher for Grant Payment form HUD-27053. (More explanation on this form will follow.)

oBudget Line Item Number's

9515 - Capacity Building (first draw, one time only)
9500 - 95 Counseling Services

oVRS Telephone Number is (703) 391-1400

This telephone number must be used to request a drawdown from housing counseling funds.

oLOCCS Security is (202) 708-0764

Should the caller experience any difficulty accessing the VRS.

IMPORTANT: After the above information has been entered into VRS DO NOT HANG UP! You must verify the information that you entered to confirm the payment request.

Drawdowns

There will be five requests for drawdowns via VRS for FY 1995 funds:

1.The first drawdown will be for capacity building funds only and should be requested immediately. No back-up is required for this drawdown request.

2.The second drawdown should be requested when 25% of the housing counseling services which are connected to the grant have been delivered. Documentation that must be submitted to the GTR for this request is the proof of purchase for the capacity building component; e.g., computer equipment. No back-up is required for counseling services delivered with this draw.

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3.The third drawdown should be requested when 50% of the housing counseling services connected to the grant have been delivered, and the Mid-Term Report must have been approved by the CTR for this third request to be approved.

4.The fourth drawdown request should be submitted when 75% of the housing counseling services connected to the grant have been delivered. No back-up is required for approval of this request.

5.The fifth drawdown request should be submitted when all services connected to this grant have been completed. The Final Report must have been submitted, and approved by the GTR, for this fifth and final request to be approved.

Security Issues

It is crucial to the security of the system that each individual who has access to the VRS safeguard his/her security ID and password. Each grantee must ensure that the persons authorized to request payments do not share their security ID's and passwords with each other or with any other person.

A breach in the security system by the grantee that results in a loss to the Government will result in immediate expiration of security ID's and passwords. Depending on the circumstances, such a breach will be treated as an offense under applicable Federal laws which may result in prosecution, fine or other penalty as appropriate. In addition, the government may have cause for remedial action with respect to the Grant Agreement.

In some cases it may be necessary to cancel security ID's because of loss, theft, or change in personnel. A security ID may be immediately canceled by calling the LOCCS security officer at 202/708-0764. This cancellation must be followed up with a revised copy of form HUD-27054 indicating that the user's security access is to be terminated. New security ID's may be requested by resubmitting form HUD-27054 with the appropriate notarized signature of approval.

An initial password will be established for each Security ID by the LOCCS Security Officer at the time the form HUD-27054 is processed. This password should be changed immediately upon receipt by the authorized user to a password which will be known only to them. The new password will be entered by the user through the VRS.

The authorized user must continue to change the password at least every 60 days from the last time a password was established for his/her ID.

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If a person has not accessed the VRS within (6) months, the security ID will automatically expire and access will be terminated. Termination of access due to password expiration will require resubmission of form HUD-27054 with the appropriate notarized approval signatures.

Reconciliation of Account Activity

The grantee should receive a monthly statement from its designated financial institution that includes any deposits and canceled checks written against its bank account. This statement should include both deposits made and checks written in connection with the CHC program for any activities performed under the Grant Agreement. This statement may include other deposits and/or checks.

The grantee must account for all CHC related deposits and checks included in the bank statement. Grantees must follow appropriate accounting and financial management procedures as required by OMB Circular A-110 (for non-profit organizations) in connection with grant funds.

Return of Funds to HUD

In some cases there will be a need to return funds to HUD for deposit in the Treasury account. This would be necessary if funds are drawn in error, or funds are not used within IS days from the time they have been deposited into the grantees account. If this occurs, then funds should be returned to HUD either by check or by electronic transfer. Your Field Office GTR must be notified of this action.

Returning Funds by Check

The grantee should indicate the grant number, tax ID number, and CHC voucher number on the check. The cover letter should state that funds are being returned to the Comprehensive Housing Counseling Grant Program and include the grant number and tax ID number. A copy of this letter should be sent to your Field Office GTR.

Checks should be mailed to the following address:

U.S. Department of Housing and Urban Development
Cash and Credit Management Division
Attention: Ms. Janice Edwards
451 7th Street, S.W.
Washington, D.C. 20410

Returning Funds by Electronic Transfer

Electronic transfer of funds to be returned to HUD should be sent to the Treasury under ABA number 021030004 with an Agency Location Code of BNF=/AC-86010300. Attached are instructions for completing a request to transfer

funds by wire to HUD. A copy of this attachment should be provided to the financial institution that will be making the electronic transfer for your organization.

LOCCS User Guide

Attached to this letter is a copy of the LOCCS User Guide which will give you more information on LOCCS and VRS processing.

If you have any questions or need clarification regarding this memorandum, please contact Bonnie Adkins, on 202/708-0614 ext. 2034.

Attachments

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U.S. Department of Housing and Urban Development
Washington, D.C. 20410-8000

July 21, 1995

OFFICE OF THE ASSISTANT SECRETARY
FOR HOUSING-FEDERAL HOUSING COMMISSIONER

MEMORANDUM FOR: All Field Office Housing Counseling Grant GTRs/GTMs

FROM: Emelda P. Johnson, Deputy Assistant Secretary for Single
Family Housing, HS

SUBJECT: Guidelines for Monitoring Housing Counseling Grant Payment Requests
and Obtaining Access to the Line of Credit Control System (LOCCS)

The purpose of this Memorandum is to provide all Field Office GTRs and GTMs with monitoring guidelines for approving CHC vouchers, instructions for acquiring LOCCS access, and using LOCCS to approve CHC vouchers.

Monitoring Guidelines

oReceipt and Transmission of LOCCS forms

GTRs are responsible for receiving the following forms from grantees approved for FY 95 funding. Copies of these forms must be filed and retained in the Field. The originals must be forwarded by the GTRs to Headquarters for processing.

oDirect Deposit Sign up Form - form HUD SF-1199A

This form identifies the name, bank account, routing number and the type of account of the financial institution that will be receiving funds for the grantees.

This form is required only if the funded FY 95 grantee is NOT already receiving funds via LOCCS or if the tax identification number has changed since the FY 94 funding.

Send this form to:

U.S. Department of Housing and Urban Development
Office of Finance and Accounting
ATTENTION: ACH Team

P.O. Box 44816
Washington, DC 20026-4816

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oLOCCS Voice Response Access Authorization form HUD-27054

This form will provide FY 95 funded grantees access to the VRS to request drawdown of program funds.

It is required only if the funded FY 95 grantee does NOT have a current LOCCS user ID and password.

Send this form to:

U.S. Department of Housing and Urban Development
Office of Information Policies and Systems (AISAO)
P.O. Box 23774
Washington, DC 20026-3774

oVoucher Approval

Outstanding voucher requests must be reviewed in LOCCS at least twice a week. Voucher requests should be approved or cancelled upon review based on the following:

First drawdown (up to \$4,000)

Requested for capacity building funds only. No documentation is required.

Second drawdown

Requested when 25% of the housing counseling services which are connected to the grant have been delivered. Proof of purchase for the capacity building component; e.g., computer equipment must have been received and approved prior to authorizing this request. No documentation regarding counseling services provided is required at this time.

Third drawdown

Requested when 50% of the housing counseling services which are connected to the grant have been delivered. The mid-term report must have been received and approved prior to authorizing this request. This report will document counseling services which have been delivered up to this point.

Fourth drawdown

Requested when 75% of the housing counseling services which are connected to the grant have been delivered. No documentation is required.

Fifth drawdown

Requested when all services connected to this grant have been delivered. The final report must have been received and approved prior to authorizing this request for final payment.

o Acquiring LOCCS Access

If you do not have LOCCS access already, complete the following forms and return them immediately to the LOCCS security officer at:

U.S. Department of Housing and Urban Development
Office of Information Policies and systems (AISAO)
P.O. Box 23774
Washington, DC 20026-3774

Forms Required for Access to LOCCS

1. Form HUD-27054-A - LOCCS Access Authorization security Form for HUD Staff. Every GTR and GTM must individually complete this form. A copy is attached for your convenience although it is also available in "HUD Forms" from your "Office systems" menu on the LAN.

a. Box 12 - Insert "CHC" under Program Area and place an "x" under Query and Field office Admin.

b. Box 13 - The Regional personnel Officer has the dates needed to complete this box. Your Administrative Officer may be able to obtain the dates from the Regional personnel officer and then proceed to fill in the dates and sign in the space provided under Box 13.

c. Box 14 - Your supervisor will fill in this box.

Note: Please instruct your personnel officer to send a copy of the signed form to you in addition to sending the original to Headquarters. This will prevent unnecessary delays if the original signed forms are misplaced or misdirected.

2. Departmental ADP Policy statements Forms - The GTR and GTM sign and date the forms and send them to the LOCCS Security Officer (Telephone 202-708-0764):

LOCCS users who have Program Area payment review functions must have a limited Background Investigation Level 2A or higher clearance. If this clearance was not granted in the last 15 years, the following forms must be completed and submitted to your personnel office.

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3. Form HUD SF-8SP - Questionnaire for Public Trust Positions

4. SF-87 - U.S. Civil Service Fingerprint Chart

5. SF-171 - Application for Federal Employment
(original and 1 copy)

Notification of User IDs and Passwords

Upon receipt of the completed forms mentioned above, the LOCCS Security Officer at Headquarters will provide the User Identification Number (ID) and password to GTRs and GTMs via pouch mail. GTRs and GTMs must activate their User ID and change their initial password within 45 days of their receipt or the User ID will be terminated. The User ID can be reinstated by calling the LOCCS Security Officer at (202) 708-0764 and faxing a HUD-27054-A with the inscription on top: "User ID is to be reinstated".

Change of Designation of GTRs and GTMs

Call the LOCCS Security Officer at (202) 708-0764 to terminate GTRs' and GTMs' access. Follow-up the verbal request with documentation to support the termination.

Lack of Use of LOCCS

If a GTR or a GTM does not access LOCCS for a period of 6 months, the system will automatically terminate the User ID for that person. LOCCS will send a letter to the User after 4 months of non-use advising that access will be terminated within 2 months if not accessed. By using IDs and Passwords, users keep their IDs active and avoid termination.

Security Issues

Never display or divulge your User ID or password to anyone. ALL activity conducted under your ID and password will appear as if it were conducted by you regardless of who uses the ID and password.

Recertification of LOCCS Access

Users must be recertified every six months by the HUD approving (Certifying) Official through the A67MFG report. The HUD Approving Official is the individual that signs box 14 of the form HUD-27054-A. After receiving the recertification report in the mail, the approving official will follow the instructions on the report for recertification of their employees. Failure to recertify will result in the suspension of the GTRs and GTMs access to LOCCS.

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Accessing LOCCS on HINET

LOCCS screen usage is restricted to HUD staff who have been approved for access privileges via a LOCCS Access Authorization security Form. Field Office GTRs and GTMs should contact their respective Automation Technologies Administrator (ATA) for instructions on how to access LOCCS in their office. Accessing LOCCS will vary from office to office depending on how the office's LAN menu is set-up for selection.

Please take the following steps to access the LOCCS sign-on screen. IMPORTANT: LOCCS requires each action to be followed by pressing the XMIT key.

1. Since the LOCCS resides on HUD's "System 2" UNISYS 2200 mainframe computer, access the UNISYS environment by typing \$OPEN TIP2 and the XMIT key after attaining UNYSIS access.
2. Then enter LOCCS and XMIT key
3. At the LOCCS Sign-On screen enter USER ID and PASSWORD to gain access to LOCCS. Enter your six-character User ID and Password as provided in writing by the LOCCS Security Officer. Do not hit the "Enter" key after entering the required information, the cursor will automatically advance to the next field. To move between fields, use the TAB or Arrow keys.

Note: If an error is found, the user has three attempts to re-enter a correct User ID or Password, or to change the Password. After three attempts, the user will be automatically logged off the system.

Accessing the HUD Program Area Main Menu, Review and Approval Screens

Following are the instructions for accessing the screens you will use to review and approve or reject vouchers.

1. Enter CHC at the Program Area Prompt and tab the cursor to the xmit field and enter to move from the Welcome Menu to the individual Program.
2. Enter Q10 in the Option Field of the Program Area Main Menu to determine if there are any voucher requests to be reviewed.
3. Enter V32 in the Option Field to review vouchers for approval or rejection.
 - a. Enter A to approve the voucher for payment
 - b. Enter B to reject the voucher
 - c. Enter M to return to the main menu

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4. Enter V31 in the Option Field at the Program Menu to cancel a voucher that was keyed incorrectly by recipients during a VRS session. This does not delete the voucher. However, a reason that the voucher was cancelled must be provided.
5. Enter E in the Option Field of the Program Menu to exit LOCCS.

6. Enter Alt and the F9 key to return to your LAN menu.

These instructions supercede the memorandum dated February 22, 1995, on the same topic. If you have any questions, please contact Bonnie Adkins, on (202) 708-0614, ext. 2034.

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