

## **Appendix D: Tenant File Error Report/PHA Review Summary Report— Instructions**

(Instructions for Completing/Submitting Error Tracking Reports After Completing Rental Integrity Monitoring (RIM) Reviews)

These instructions accompany the Excel workbook named “**Error Tracking Forms (Ver 5.1)**”. For each RIM review completed on a PHA, one workbook package will be submitted to HQ. This document provides instructions on how to complete the worksheets within the workbook, how to name the worksheets, how to name the workbook, as well as how and where to submit the workbook.

The Excel workbook titled “**Error Tracking Forms (Ver 5.1)**” is provided with two worksheets:

- A PHA RIM Review Summary Report (named PHArpt);
- A Tenant File Error Report (named TenantRpt (1)).

You will complete **one** PHA RIM Review Summary Report for each PHA for which a RIM review was performed. You will complete **one** Tenant File Error Report for **every** tenant family or household included in the RIM review tenant file sample. So, when you have completed the reports, while each workbook will include only **one** copy of the PHA RIM Review Summary Report worksheet, it will likely include **multiple copies** of the Tenant File Error Report, depending on the number of tenant file sample households reviewed.

### **PLEASE DO NOT ALTER THE FORMAT OF THE EXCEL WORKSHEETS.**

These worksheets are designed to be downloaded into a repository at Headquarters and must remain in their original format.

#### **I. Tenant File Error Report – TenantRpt(1)**

Because you will need a copy of the Tenant File Error Report – TenantRpt(1) for **each** tenant file (household) sampled you will likely need to create additional tenant file error reports within the Excel workbook. The following section contains step-by-step instructions for creating additional tenant file error reports within the Excel workbook.

##### **A. How to Create Copies of Tenant File Error Reports – TenantRpt(1)**

**NOTE:** *Create copies of the Tenant File Error Reports (labeled “TenantRpt(1)”) before entering any tenant data into the worksheet. For example, if you reviewed 5 tenant files, you will need to first create 4 additional copies of the TenantRpt(1) worksheet.*

You may name each additional worksheet as you create (or copy) it or you may choose to have Excel name your additional worksheets. We suggest allowing Excel to name the worksheets when copying an existing Tenant File Error Report. This way, the new worksheets (i.e., reports) will automatically be numbered sequentially. For example, suppose you reviewed five (5) households during your RIM review of the Birmingham Housing Authority’s files. You will need five (5) completed Tenant File Error Reports. Therefore, copy the original Tenant File Error Report, entitled “TenantRpt (1)” four times. Excel will name the additional reports as “TenantRpt (2)”, “TenantRpt (3)”, “TenantRpt (4)”, and “TenantRpt (5)”

To create copies of the Tenant File Error Report and let Excel name each additional report, simply:

1. Open the Excel workbook that contains the Tenant File Error Report. If the workbook is already open, save a copy of the entire workbook so that you can revert to it in case there is a problem.
2. Select the tab for the worksheet labeled “TenantRpt(1)” from the bottom left hand corner of the worksheet.

Microsoft Excel - RIM Error Tracking Forms [Ver 5.1] 9-10-02.xls

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**TENANT FILE ERROR REPORT**

1											
2											
3											
4	NAME OF THE PHA										
5	PHA CODE		XX999								
6	NAME OF HEAD-OF-HOUSEHOLD (Last, First, MI)				XXXXXXXXXXXXXXXXXXXX			XXXXXXXXXXXXXXXXXXXX			X
7	IDENTIFICATION NO. (Use unique number assigned by PHA, if applicable. Do not use Social Security Number)				XXXXXXXXXXXXXXXXXXXX						
8	DATE REVIEW COMPLETED		MM-DD-YY								
9											
10	<b>COMPLETE THIS TABLE FOR PUBLIC HOUSING REVIEWS</b>										
11			Annual Income	Adjusted Income	TTP	Utility Allowance	Ceiling Rent	Minimum Rent	Flat Rent	Tenant Rent	
12											
13	PHA-Reported Amount										
14	HUD-Calculated Amount										
15	Difference									\$ -	

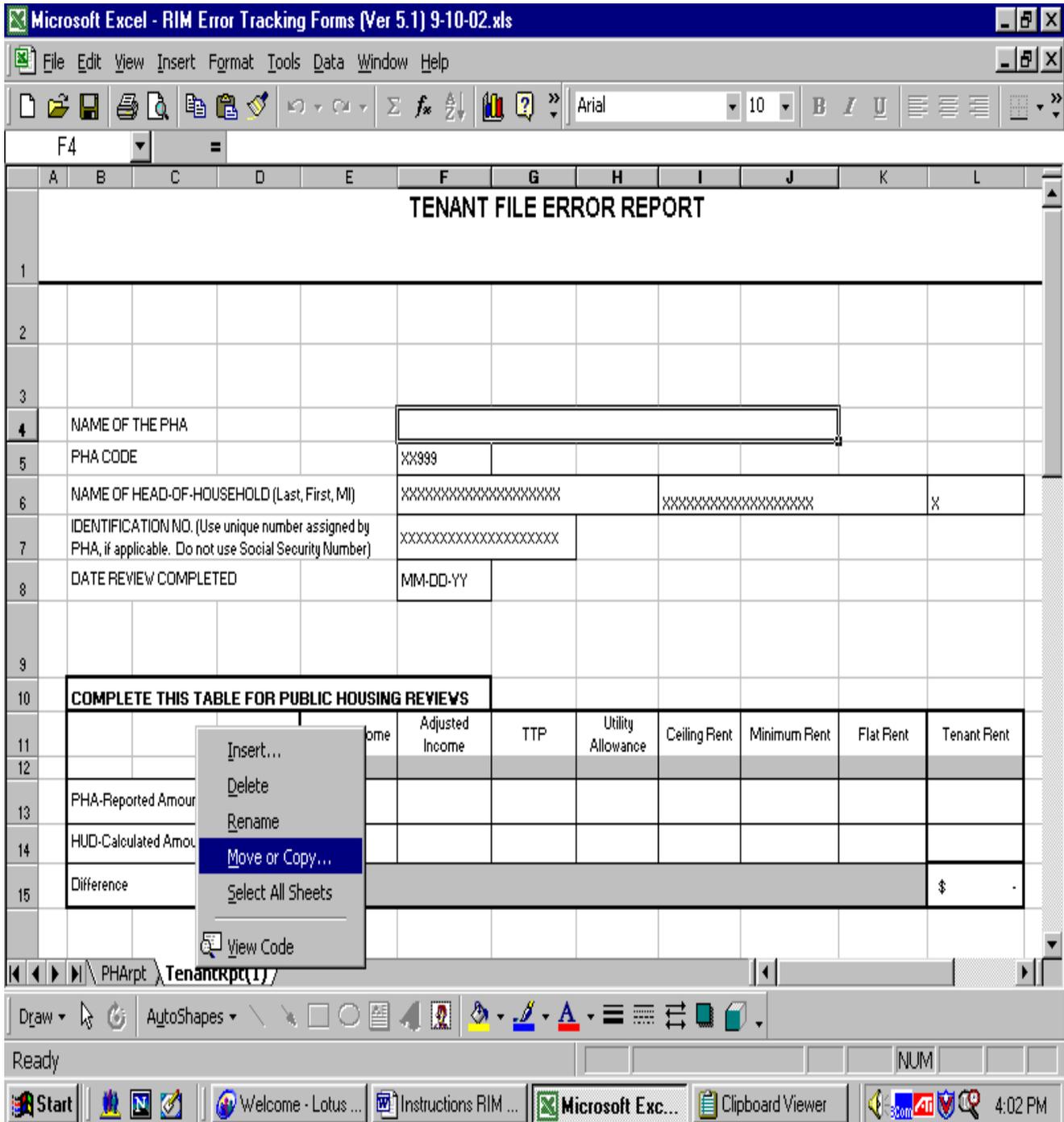
PHArpt TenantRpt(1)

Draw AutoShapes

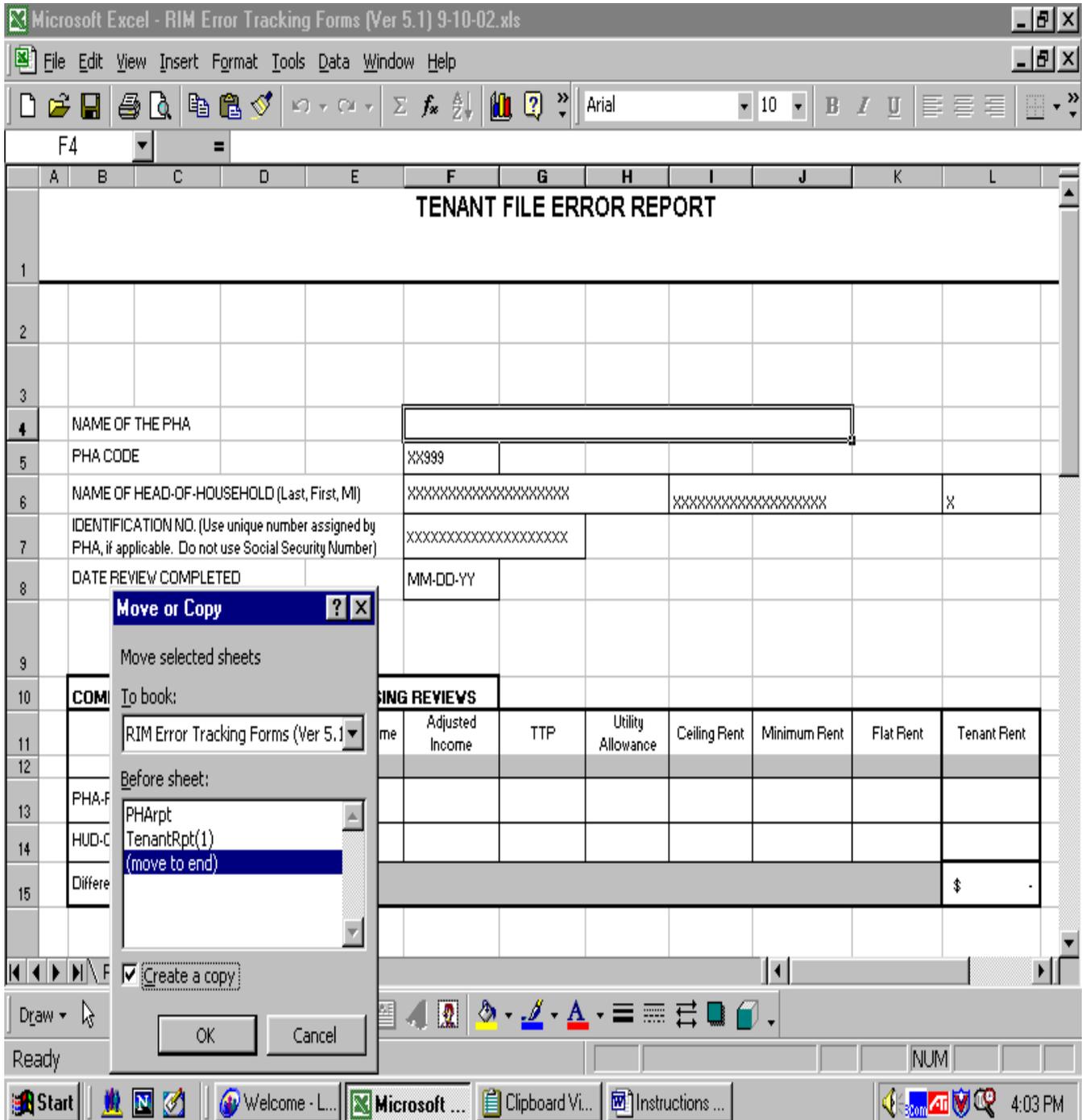
Ready NUM

Click here to begin. Welcome - Lotus ... Instructions RIM ... Microsoft Exc... Clipboard Viewer 4:00 PM

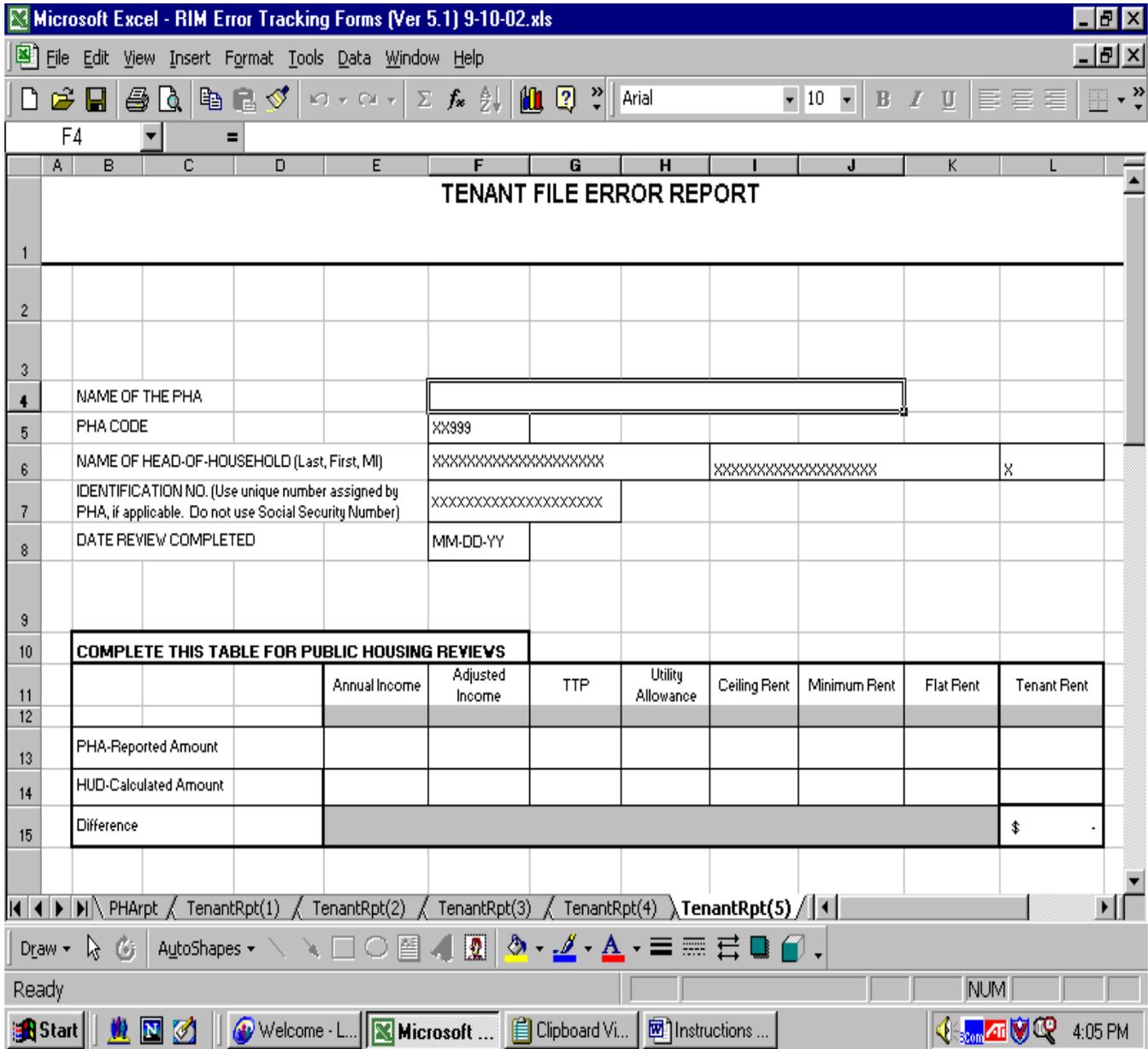
- With the cursor over the tab, depress the right mouse button and select “Move or Copy...” A dialog box labeled “Move or Copy” will appear.



- In the dialog box labeled “Move or Copy” select the option labeled “(move to end)” and check the checkbox labeled “Create a copy”. Then click “OK”. A copy of the worksheet will be created with all the data that is currently in the sheet that you are copying.



- Repeat steps (2) through (4) until you have as many template worksheets as you have tenant file error reports from the RIM reviews of a PHA. If you reviewed 5 case files, then make 4 copies/templates of the tenant report worksheet.



- Select the tab for the worksheet labeled “TenantRpt(1)” from the bottom left hand corner of the worksheet, and begin your work in this worksheet.
- Select a new worksheet each time you want to enter data for additional tenant file error reports.

## B. How to Complete a Tenant File Error Report

You will complete **one** Tenant File Error Report for **every** tenant family/household included in the RIM review. If some of the tenant family/households reviewed do not have income and rent errors, you will still complete Tenant File Error Reports for those files. Do not leave the data elements associated with income errors blank.

1. Enter the name of the PHA being reviewed (e.g. Birmingham Housing Authority).
2. Enter the PHA Code (e.g., AL001) of the PHA being reviewed.
3. Enter the full name of the head of household for the file being reviewed. Enter the last name first, then the first name, then the middle initial.
4. If applicable, enter the unique identifier assigned by the PHA to the tenant/household being reviewed. **Do not enter the Social Security Number.** If a unique identifier is not assigned by the PHA, leave this field blank. **(Note: Because you will be submitting these reports to headquarters via Internet e-mail over a non-secured line, use of SSN is prohibited).**
5. Enter the date when the tenant file review was completed (MM/DD/YY). Do not enter a range of dates (e.g. from 8/1/02 – 8/9/02). Enter only a single date (e.g. 08/05/02).
6. Use one of the next two tables for entering income and rent data from the tenant/household files. Use the first table for tenants or households in Public Housing **OR** use the second table for tenants or households in the Section 8 program. Complete only one of the tables for each tenant or household reviewed.
7. In either table, in the row titled “PHA-Reported Amount”, enter the amounts reported by the PHA that are related to income and rent (e.g., Annual Income, Adjusted Income, TTP, Tenant Rent, etc.). The amounts titled “Annual Income” and “Adjusted Income” will be annual amounts. The remaining entries (TTP, Utility Allowance, etc.) will be monthly amounts.
8. In the row titled “HUD-Calculated Amount”, enter the amount the reviewer correctly calculated for each amount described in the title of each column. The reviewer should use their best judgment as well as the following guidance to determine this amount:
  - a. In certain cases it may be difficult to ascertain the HUD-calculated amounts. Such cases may include, for example, situations where there is a lack of third party verification, missing or illegible documents. Make a reasonable effort to determine a HUD-calculated amount that most closely approximates the correct amount. If the HUD-calculated rent cannot be determined for either the public housing or Section 8 program at the time of the RIM review, enter “**TBD**” (To Be Determined) in the HUD-Calculated Amount of Tenant Rent (Family Rent). The reviewer may give the PHA up to 30 days to address the errors, before the reviewer must complete and submit the reports to HQ. In this case, the reviewer would submit the error reports and

- follow-up reports at the same time, once the HUD-calculated rent had been determined.
- b. Alternatively, the reviewer could choose to estimate the HUD-calculated rent and submit reports to HQ prior to the PHA correction. In this case, the corrections would be recorded during the follow-up review, and a revised EXCEL workbook would be submitted to HQ (refer to Section III A. *How to Name Excel Workbook before submission*). Generally, follow-up reviews will be conducted within 6 months of the initial review.
  - c. In certain cases, the reviewer's estimate that most closely approximates the correct amount of tenant rent or family rent may result in an apparent subsidy underpayment. For example, if the PHA failed to perform third party verifications for several years of a bank account balance that had steadily decreased. In this case, the HUD-calculated amount of tenant rent or family rent will be lower than the PHA-reported amount. Subsequently, when the follow-up review is performed and the PHA has made the necessary corrections, the differences will be resolved.
9. In the Difference block for Tenant/Family Rent subtract the PHA-Reported Amount of monthly Tenant Rent from the HUD-Calculated Amount of monthly Tenant Rent. When entering the data into the Excel worksheet this amount is calculated automatically.
    - a. The ***Tenant Rent & Family Rent fields are critical*** and must contain numeric entries. Additionally, a "TBD" entry (as explained in section 8.a. above) is acceptable. Other entries, including a blank, will cause the entire file to be rejected. A zero (0) is a valid entry and will be accepted.
  10. The next section of the worksheet labeled "Types of Errors Related to The Discrepancies" contains two tables (one on the left and one on the right). Use only one of the tables for entering the different types of errors found in the review of each household's or family's case file. Use the table on the left for tenant or households in Public Housing **OR** use the table on the right for tenant or households in the Section 8 program. Complete only one of the tables for each tenant or household reviewed. To do so, place an "X" next to the type of error(s) that resulted in a discrepancy. Each file reviewed may contain no errors, only one type of error, or multiple types of errors. Therefore, put an "X" in all boxes that apply, or leave blank if no errors.
    - a. Error codes 101,102 & 103 enumerate the errors that pertain to income. Such errors may be due to lack of required 3rd party verification and/or miscalculation errors such as mathematical errors, transposition errors, incorrect use of income regulations, etc. Error code 104 enumerates errors that pertain to exclusions from income, such as errors in treating income from children under 18. Exclusions may or may not need third party verification depending on the type of exclusion. Error code 105 pertains to errors in treating deductions, including such items as dependent care expenses, disability expenses,

medical expenses, etc. Error code 109 (No Form HUD 9886) includes missing or incomplete forms and forms not signed by the tenant, and should be checked as a “Miscalculation”. The remaining error codes are self-explanatory.

11. If an error cannot be classified within one of the above categories, check the box “Other Errors” and explain in the Summary Description block. Also provide a brief summary of the type(s) of error(s) found.
12. Enter name of the HUD field office performing the review.
13. Enter the first and last name of the HUD reviewer.

## **II. PHA RIM Review Summary Report – PHArpt**

You will complete **one** PHA RIM Review Summary Report – PHArpt worksheet for the PHA on which a RIM review was performed. The Workbook already contains the single copy you will need, so there should be no need to make an additional copy.

### **A. How to Complete a PHA RIM Review Summary Report**

1. Enter the name of the PHA being reviewed (e.g. Birmingham Housing Authority).
2. Enter the PHA Code (e.g., AL001) of the PHA being reviewed.
3. Enter the date the review was completed (MM/DD/YY). Do not enter a range of dates (e.g. from 8/1/02 – 8/9/02). Enter only a single date (e.g. 08/09/02).
4. Based on the existing risk model, select the box that best describes the risk ranking of the PHA being reviewed.
5. Under “Summary of Findings of Systemic Errors”, complete one of the two charts - the left-hand chart for Public Housing reviews **OR** the right-hand chart for Section 8 reviews:
  - a. Enter the total number of files included in the sample.
  - b. Enter the number of files that contained errors.
  - c. Excel will automatically calculate the percentage of files reviewed that contained errors.
6. Under the next section labeled “Types of Systemic Errors Related to the Discrepancies” use only one of the two checklists. Use the left-hand checklist for Public Housing reviews **OR** the right-hand checklist for Section 8 reviews. This section summarizes the findings from the Tenant File Error Reports. For each type of error related to the discrepancies listed, enter the number of tenant or household files reviewed that contain each type of systemic error.

**NOTE:** *This section differs from the Tenant File Error Report in that it is broken down between systemic component errors and systemic administrative errors. Systemic component errors refer to income and expense items used to calculate rent often resulting from the tenant supplying incorrect information or the PHA conducting inadequate interviews. Administrative errors are calculation errors, transcription errors, failure to certify on time, etc. Rather*

*than placing an “X” next to the type of discrepancy if there were errors, indicate the number of files reviewed that contained each type of error.*

7. In the next section labeled “Systemic Findings and Recommendations,” use the column titled “Number” to sequentially number each finding. Use the column titled “Error Code” to enter error codes (e.g. 101, 102, 103, etc.) from the previous section. In the column labeled “Systemic Finding Description” enter a description if needed. It is important to note that systemic errors are those errors that constitute 30% or more of the total errors identified at one PHA. Therefore, you can use the “percentage of files with errors” located on the PHA RIM Review Summary Report to assist you in making this determination.
8. In the column titled “Corrective Action – Recommendation” enter a description of the recommended action that the PHA needs to take to improve their system and correct any errors. In the column titled “Recommended Corrective Action Code” use one of the codes from the lower left-hand key of the form that describes the needed action. Use codes 1, 2, 3 and/or 4 as needed. Enter a target date for the PHA to take the necessary corrective action. Establish a target date for the HUD field office to perform a follow-up review.

**NOTE:** *Additional guidance on follow-up reviews is forthcoming. In general however, an estimated target date for follow-up should be agreed upon with the PHA. The time allowed for the PHA to implement a corrective action plan will vary significantly among PHAs. Factors that the reviewer should consider when establishing a date for follow-up review include but are not limited to size of PHA, initial risk assessment and complexity of corrective action plan. The follow-up review will usually involve selecting a new sample of tenant or household files. The new sample will be recorded on follow-up error tracking reports similar to the initial reports. The follow-up review will ensure that corrective action plans have been implemented and are functioning properly, and that initially discovered errors have been corrected. Generally, follow-up reviews will be completed within 6 months of the initial review.*

9. Enter the name of the HUD field office and the first and last name of the HUD reviewer.

### **III. Submitting the Excel Workbook**

#### **A. How To Name Each Excel Workbook Before Submission**

1. The file name for each Excel workbook submitted must be unique! Therefore, for each PHA, create a name for its Excel workbook using the PHA’s code (HACODE) and the date when the RIM review was completed. This will

distinguish the specific housing authority reviewed and the date on which the RIM review was completed.

- For example, using this naming convention, the file name for the RIM review of the Birmingham Housing Authority (AL001) completed on 6/30/02 would be **AL001\_06\_30\_02.xls**.
2. Each Excel workbook submitted must contain the files (i.e., Summary Review Report and all Tenant File Error Reports) for **one** PHA. This will enable us to keep the PHA RIM review summary report and the tenant file error reports tied together by housing authority code (HACODE).
  3. If **after** the initial submission of a particular workbook, revisions are necessary. You may submit a *revised* Excel workbook with a **new file name** to the repository. The new file name should include the PHA's code and the revision date of the file.
    - For example, if the workbook for the Birmingham Housing Authority (AL001) was revised on 7/15/02, the new file name should be **AL001Rev\_07\_15\_02.xls**.

**B. How To Submit Workbooks To The Repository**

**Use the following schedule as a guide to determine the submission due dates for the RIM Review Reports/Workbooks for your field office.**

<b>RIM Review Completed by:</b>	<b>RIM Reports Due to HQ</b>
September 30, 2002 (4th qtr FY'02)	December 31, 2002
December 31, 2002 (1 <sup>st</sup> qtr FY'03)	January 31, 2002

1. A special e-mail address has been set up to receive the completed Excel files relative to the RIM reviews performed. Transmit completed reviews to:

[Rim\\_Reviews@Hud.gov](mailto:Rim_Reviews@Hud.gov)

Attach each individual workbook for each PHA your office reviewed to the e-mails. *In the event of a revision to a previously submitted file, it is important to note in the e-mail the nature of the revision..*

2. When the E-mail transmissions are received they will be opened and the Excel files will be saved to a folder on the server. The files will then be scanned for completion. If any required fields are incomplete the files will be rejected and returned to you by HUD Headquarters.