**Appendix J: Baseline Requirements**

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## Overview

There are three types of baselines, each with a different purpose and use. **The Traditional Baseline** defines a method for indiating that a particular full certification (MI, IC, AR, IR) is a baseline record. A baseline cert cannot be a historical record—it must be effective for a date that is greater than or equal to the newest full certification in TRACS. The presence of the baseline flag in a cert causes TRACS to relax some of its normal edits. A TRACS file containing all baseline certifications is usually referred to as a baseline file. **The History Baseline** is a new concept that allows for multiple years of certification history to appear together in a single file and adds records for floor plan and rent information. History Baselines are not intended to be sent to TRACS. They can serve to exchange data between CAs, from sites to CAs, from CAs to sites and from site to site when converting software. **The Rebaseline Process** is one that HUD staff must implement and causes all of the data for a project or contract that is effective after a specific date to be invalidated. It is used to wipe the slate clean in TRACS so that the site can start over establishing tenant data.

## J.2 Traditional Baselines

What follows is the original documentation for the baseline concept as applied to loading site data to CAs and TRACS. See section J.5, Baseline Examples, for a comparison of what certifications would be included in a Traditional Baseline as compared to a History Baseline. Traditional Baselines are widely used for purposes beyond the original intent of being able to update TRACS with the latest certifications for a subsidy type or to send project or contract data to a CA. They are commonly used as an aid in moving to a new software package (site to site transmission) and frequently are produced by CAs and sent to sites to help reestablish data after a data loss. It is sometimes not understood that baseline capability is required for all subsidy types including Section 236 and BMIR and is not simply for subsidy types for which vouchers are produced. The same need to update data in TRACS or to pass data on to a CA exists for non-voucher subsidy types as it does for the others. In practice, and given the ability to create and submit history baselines, traditional baseline files will almost never be sent to a CA or created to move data from one software package to another. The history baseline is much more effective for that purpose. However marking a particular certification as a baseline cert and sending it to a CA can be useful but is best done with CA concurrence. The same may be done if reporting direct to TRACS to resolve certain data issues with a household or certification.

Note, that TRACS has relaxed the rule that a baseline certification may be no more than 13 months old. So long that it is no older than the current and active certification in TRACS, a baseline certification can be for any effective date. In addition, it is sometimes not understood that a Traditional Baseline can contain more than one full certification for a household but the rules vary depending on whether the file is being sent to a CA to populate data or to TRACS.

**Sending to a CA:** As an example, assume a baseline effective date of 4/1/2011 intended to be sent to a CA. The full cert marked as a baseline will be effective 4/1/11 or earlier. If any full certs with effective dates after 4/1/11 **have already been transmitted** to TRACS they would still be included in the baseline file. If this were not done, the CA would never see those certs going forward. Untransmitted certs future to 4/1/11 would not be included as they will be transmitted in the normal course of business. However, as mentioned in the paragraph immediately above, this scenario is no longer realistic. A history baseline serves much better.

**Sending to TRACS:** As an example, assume a baseline effective date of 4/1/2011 intended to be sent to TRACS. The full cert marked as a baseline will be effective no earlier than the cert with the greatest effective date already sent to TRACS. If any full certs with effective dates after 4/1/11 **have already been transmitted** to TRACS they would not be included in the baseline file with the exception that the last such cert could be marked as a baseline becaue TRACS will accept the baseline flag on its current and active certification. If there is a certification in the OAs database effective after the TRACS current and active cert and that has not yet been sent to TRACS, it may be included in the baseline file but must not have the baseline flag set if the prior cert is flagged as a baseline.

Original baseline documentation begins below:

**Changing Algorithms—Transition Rules**

TRACS Release 201A introduced a “baseline indicator” in the MAT10 Section 2 Record. The purpose of this document is to flesh out the intention behind the baseline indicator and to illustrate how the baseline indicator can be used as Contract Administrators build their own baselines in preparation for performing the pre-payment voucher reviews.

There have been many requests in the past for a way to reestablish a tenant inventory for a project or contract. These requests have come in when a property changed management and the electronic files weren’t transferred to the new management. A new baseline would enable the new management to proceed with some confidence that they and TRACS have similar data in their respective files. There are cases where a tenant’s record in TRACS has become so cluttered with mistakes that it easier to start over than enter the transactions needed to correct the record. Since there still is no delete transaction in TRACS, a new baseline certification for the tenant is one way of restarting the tenant’s current record with a fresh HUD 50059.

The baseline indicator was intended as a vehicle for reestablishing a clean current certification occurrence for individual tenants or complete projects or contracts. CAs should be aware that once they submit data to TRACS for a HAP contract, TRACS will be expecting all subsequent data submissions for that contract to come from the CA. Similarly, if the CA acts as a conduit for all data from a project, including Section 236, BMIR, Rent Supplement or RAP, TRACS will expect that CA to continue acting as the conduit for that data.

The rules for using the baseline indicator are:

1. When establishing a new baseline for a contract, pick a voucher submission to define the point in time that the baseline represents.

2. Resubmit the active (re)certification (MAT10) with the Baseline Certification Indicator equal to “Y” and the Voucher Date equal to the Voucher Date submitted originally with the (re)certification (or the correct Voucher Date if the original was wrong). If establishing the baseline as of a voucher date, the “active” certification may include (re)certifications that aren’t active at the time of submission but will be active for the voucher month.

This will:

* Supersede the active (re)certification, if one exists in the TRACS database,
* Create an active (re)certification, if one doesn’t exist in the TRACS database,
* Circumvent certification type edits that would otherwise reject inconsistent certification types (e.g. a Move-In for an existing tenant, an Annual Recertification or Interim Recertification when the tenant doesn’t already exist), and

Delete any future recertifications (HUD 50059s with an effective date greater than the current date) that have been previously submitted for the tenant.

3. Resubmit any partial certifications (move-outs (MAT40), terminations (MAT65), unit transfers (MAT70), and gross rent changes (MAT70)) that apply to the freshly reestablished Baseline Certification with the Voucher Date equal to the Voucher Date submitted originally with the partial certification (or the correct Voucher Date if the original was wrong). There is no Baseline Certification Indicator for partial certifications. In TRACS, partial certifications reproduce and modify the certification occurrence(s) to which they apply creating a new occurrence without recertifying the tenant.

* Do not resubmit the partial certifications the same day the Baseline Certification (MAT10) is resubmitted. If the Baseline Certification is rejected for some reason, the partial certifications will not be processed as intended.
* Do resubmit the partial certifications following successful processing of the Baseline Certification.

If there are multiple partial certifications effective after the Baseline Certification, submit the partial certifications in effective date order, waiting for a successful TRACS response before submitting the next one in the series.

4. Resubmit any certifications with an effective date greater than the date of submission and greater than the voucher baseline date, if applicable. This does not include recertifications submitted for a targeted voucher date that may have an effective date greater than the submission date, but will be active on the baseline voucher date.

5. Unacceptable Baseline Certifications:

* (Re)certifications with a (MAT10 certification) effective date that is less than the highest MAT10 effective date for an active tenant on the TRACS database.
* Recertifications with future effective dates.

The Performance-based Section 8 Contract Administrators (CAs) will be building baselines of tenant data for use in reviewing vouchers prior to payment. If the CAs have concerns about the data quality in TRACS for their contracts, they may submit baselines to TRACS to make sure that their databases and the TRACS database are in synch. This is not a requirement, but it is a feature available in TRACS. The CA may start sending baseline data to TRACS before it starts paying vouchers. The CA will act as a conduit between the OA and TRACS for submission of data used by TRACS/LOCCS to pay the OA. The timeliness of the transmissions from the CA can affect the timeliness of the OA’s payment. Although, TRACS can handle baseline certifications one-at-a-time, we recommend that the CAs do not send Baseline Certifications to TRACS until they reconcile the first month’s baseline.

The downloadable Tenant Query by Contract and the downloadable Voucher Detail Reports are other tools that the CA may use to verify that they and TRACS have the same data.

There will be additional modifications to TRACS edits for Baseline Certifications regarding the MAT15 Address Records. If a MAT15 Address record is submitted with a Baseline Certification as an “address load”, TRACS will treat it as a correction if that address for that tenant, unit and contract is already on the Tenant database. A MAT15 load transaction submitted with a baseline will not be rejected if the address already exists.

Baseline Certifications will be sent to SSA for SS/SSI validation. Although this may seem redundant, the Baseline Certification can be used to establish tenants on the TRACS database for the first time or reestablish them on the database. Housing cannot assume that the baseline certification has validated SS & SSI income amounts.

Remembering the characteristics of the Baseline Certification Indicator outlined above, we recommend that CAs use the following three-month cycle to submit or maintain a baseline in TRACS as part of their start-up procedure.

CAs are expected to make payments to owners three months after the first assignment of contracts, e.g. the CA is scheduled to start in June with the goal of issuing their first payments for the September vouchers received in August. The dates used in the example, below are approximate. Payment schedules will dictate timing:

**(Month 1)**

Day

1 - 10: OA submits tenant data updates and the July voucher to TRACS.

1 - 10: OA submits tenant baseline data and the July voucher to the CA.

2 - 15: TRACS sends payment requests to LOCCS.

2 - 30: CA reconciles baseline then submits the Baseline Certifications (if desired) to TRACS coded as follows:

* (certification) effective date = the effective date of the HUD 50059 reported on the July Voucher.
* voucher date = the original voucher date for the transaction submitted for this baseline transaction. If the transaction is a certification, use the voucher date used with the original submission. If the original certification has been modified by a gross rent change or other partial certification, submit the partial certifications(s), following the baseline certification, using the voucher date originally submitted with each partial certification.

20-30: LOCCS sends July payment to Treasury for distribution to OA bank accounts.

**(Month 2)**

Day

1 - 10: OA submits to the CA tenant data updates and baselines that have not previously been sent together with the August voucher.

2 - 14: CA performs the level of oversight specified through CA Guidebook and submits tenant data and the August voucher to TRACS.

2 - 15: TRACS updates the tenant database, processes the voucher and sends a payment request to LOCCS.

20-30: LOCCS sends August payment to Treasury for distribution to OA bank accounts.

**(Month 3)**

Day

1 - 10: OA submits tenant data updates, including certifications, recertifications and baselines, and the September Voucher to the CA.

1 - 14: CA submits tenant data updates and the approved September voucher to TRACS.

2 - 15: If LOCCS has an approved requisition for the CA, TRACS retains the voucher and does not send a request for payment to LOCCS; otherwise TRACS sends a payment request to LOCCS.

20 - 30: If LOCCS has an approved requisition, LOCCS sends a scheduled payment for the CA to Treasury for distribution to the CA bank account; otherwise, the payment will be for distribution to the OA bank account.

###### Submission of a full certification in lieu of a partial certification is generally not appropriate.

## J-3. History Baselines

The record layout and records associated with this specification are found in the MAT Guide Chapers 5 and 6.

* **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 retroactive GRs.
  + This proposal can be looked at has 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 requirement is for Site and CA software to 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
      * HUD assigns TCA contracts to a PBCA--one or more contracts transferred from a TCA to a PBCA.
    - CA to CA
      * New CA takes over a State—full portfolio transfer—all contracts.
      * CA changes software—exports and imports a full portfolio.
    - Site to CA
      * Site starts reporting to a CA—one or more contracts transferred to the CA.
      * CA changes software and needs new data from sites—each site in the CAs portfolio transfers the applicable contracts. Note that, after the implementation of the History Baseline, this use would be very rare.
    - CA to Site
      * Site changes software or loses data and the CA agrees to transfer its data to the site—one or more contracts sent to the site.
    - Site to Site
      * Site changes software—export and import of a full portfolio.
* **Specification**
  + Certification and Voucher data will be transmitted as traditional MAT files. New MAT90 series records are defined to hold project/contract, unit floor plan and rent data. The MAT15 record is enhanced to carry some additional information only in the context of a History Baseline. 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 comparison**
      * General
        + See section J-2 of this appendix for a fuller discussion of the rules for Traditional 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 the single subsidy type or contract that is specified in the TENHR record. If more than one contract is to be baslined, more than one MAT file (header-end pair of records) must be created.
      * 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 <= 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 >= the effective date of the MAT10

Include any other full and partial certs effective after the Baseline Effective Date. Do not set the baseline flag on any of these full certs.

* + - * + 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**
      * A history baseline may be for a single contract or subsidy type or for all subsidy types in a project or for all subsidy types in a site or CA portfolio of projects. Whatever the case, each individual subsidy type within a project is transmitted as a separate MAT file (header-end pair of MAT records). The subsidy type is specified in the TENHR record. If more than one contract is to be baselined, more than one MAT file (header-end pair of records) must be created.
      * In producing a History Baseline, it is highly likely that certifications generated in different TRACS versions will exist for the nominal 5-year history.  A baseline produced relatively soon after TRACS 202D goes live, could include certifications in 202B, 202C and 202D formats.  Some site or CA software may have converted older files into the newer formats and some may not have done so.  If you do have certifications in different formats, do not generate multiple baseline files even though the TRACS version is part of the Header Record.  Just include all certifications for a subsidy type/contract in their original format.  The certification TRACS version is part of the MAT10 Header record and each other MAT record type includes the TRACS version as well.  The importing software will need to deal with a mixed bag of records.  Keep in mind that MAT15 records should be generated in the current TRACS version and will include the extra fields identified in the 202D specification. There are two scenarios that the receiving software could see:
        + Even though the TENHR record says 202D, there could be certification records identified as 202B and or 202C.
        + The certification records could say 202D but only contain the data required at the time the certification was created in an earlier TRACS version.

This latter case is the more likely one. For example, there may be no race or ethnicity information for other than the head of household.  Or an asset record may not contain a divestiture date for an imputed asset.

* + - * + Either way, it is important to realize that the role of historical certifications is to provide a basis for retroactive corrections going forward.  The key information needed to produce a correct adjustment on a future voucher is the rent and assistance information—not race and ethnicity or other certification fields.
      * Header Record
        + At the end of the Header Record two new fields are added to identify the transmission as a history baseline and its starting date. CA software can then identify and treat these files as falling outside of the normal processing flow if it wishes. In particular, these files are not intended to be passed on to TRACS as they 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 as mentioned above.
      * Rules for Certifications
        + Market units: HUD has no authority to require the transmission of data for market tenants. However site software may include them under a Subsidy Type 0 (zero) header record when transferring data to itself.
        + 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, only 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. The goal is not to include all certs ever transmitted but rather the ones that would be the basis for future adjustments in a retroactive transmission scenario. A history baseline is not intended to allow for the re-creation of historical vouchers.
        + 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 subsidy type, 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

Include all other transactions (MO, TM, GR, UT, AR, IR, MI, IC >= the effective date of the MAT10 above.

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 as well as new MIs)

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.
    - Examples of cert selection for Traditional Baselines and History Baselines can be found in section J-5 below. Normally a traditional baseline is for the current voucher month. The examples given in the spreadsheet do not follow that rule so as to better illustrate how cert selection works.
  + **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 or vouchers for a contract if both CA’s software support the creation and import of voucher detail and by mutual agreement. See **MAT Guide Chapter 6** for details of the record format for full vouchers. The final version of the PBCA transition guidebook does not require the inclusion of voucher records or of voucher detail in a history baseline.
  + **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 MAT90 Subsidy/Contract Information record in **MAT Guide Chapter 5**.
  + Units—See the fields associated with the MAT15 record in **MAT Guide Chapter 5**.
    - Each baseline file (header/end pair of records) should contain MAT15 records for all units subject to HUD multifamily rules—not just records for the subsidy type in the MAT Header record. For example, this means that, if there is a 100 unit Section 236 project with 30 Section 8 units, the Section 8 file will contain 100 MAT15 unit records. The Section 236 file for that project will contain the same 100 records. For a History Baseline, no tenant information will be contained in the MAT15 records. Fields 4-8 will be left blank.
  + Floor Plans—See the MAT91 Unit Floor Plans record. A floor plan is defined as identifying a unit type that is associated with a specific rent and or utility allowance. At the minimum there is one floor plan per unit size (number of bedrooms). Whereever rents or UAs can differ within units of the same # of bedrooms, there will be more than one floor plan for that number of bedrooms. For example, if there are three different sets of rents associated with three different 1-bedroom unit types, then there will be three unique floor plans defined for those types. Generally, floor plans will correspond to the lines on the HUD Form 92458 in Column 1—Unit Type..
  + Rents—See the 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 under a different TENHR header record. That other file would also include MAT90 and MAT91 records but nothing more if the 236 or BMIR certifications are not being submitted to the CA.
    - 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 after the Header Record.**
    - 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

* **Creating and Using History Baselines**
  + Transmitting files: Since some of the baseline files could well cause problems if sent through iMAX because of size, CAs may agree to alternate transmission methods such as secure FTP or physical transfer of a file that is included in a password protected zip file using strong encryption.
  + Floor Plan Identifiers
    - There are situations where Floor Plan Identifiers (Unit Types) change over time. The most typical case is where, in a multiple building project, rehab causes a different set of utility allowances to be used in one or more buildings than in others. This necessitates the addition of new Floor Plan IDs to accommodate the differences.
    - The History Baseline calls for one MAT91 Record for each Floor Plan Identifier and the corresponding MAT15 records include the Floor Plan ID. The MAT92 Unit Rent records also use the Floor Plan ID in reporting the rent history.
    - Because a Unit can only have a single Floor Plan ID, we will adopt the following convention for History Baselines: The Floor Plan Identifier shown in the MAT15 record will be the current ID. The MAT91 records will include all IDs used during the period of time covered by the baseline. Similarly, the MAT92 records will report a rent for each ID active as of the Rent Effective Date.

CAs receiving a History Baseline from another CA will be required to make sure the data is valid and provides accurate information in relation to historical changes in a Floor Plan ID for a particular unit. . It may be necessary to manually link historical floor plans to specific units.

## J-4. The Rebaseline Process

The HUD Multifamily HELP Desk (1-800-767-7588) can answer your specific questions regarding the Re-Baseline process.

The Re-Baseline process is invoked by HUD at the request of an owner or management agent for a contract or a project. It is a web-based process that can only be invoked by an authorized HUD employee. What it does is terminate every certification for the project/contract in the TRACS database with an effective date on or after the date submitted with the Re-Baseline request. The site then submits baseline certifications, as described above (J-2-Traditional Baselines), to reestablish households in TRACS.

The benefit to the new site management or the new software implementation is that any failed or un-submitted move-outs are mitigated through the re-baseline process. Everything gets terminated so any unrecognized anomalies will be terminated as well as all legitimate certifications. If the new site management simply uses the certification baseline transactions without asking HUD to invoke the re-baseline process, they may be unaware of odd transactions in the TRACS database that may distort their compliance percentage or cause legitimate certifications to be flagged with errors.

The Re-Baseline process should not be used to simply reestablish individual tenant certification histories that have become distorted. The baseline transaction handles this situation.

## J-5. Baseline Examples

|  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- |
| Baseline Scenarios | | |  |  |  | |  |  | |  |  |  |  |  |  |
| Last updated 3/12/2011 | | |  |  |  | |  |  | |  |  |  |  |  |  |
|  | |  |  |  |  | |  |  | |  |  |  |  |  |  |
|  | |  |  |  |  | | = Certs Included on the baseline | | | |  |  |  |  |  |
|  | |  |  |  | Baseline | | = Cert with the baseline flag set | | | |  |  |  |  |  |
| Traditional Baseline Examples | | | |  |  | |  | |  |  |  |  |  |  |  |
|  |  | |  |  | Baseline Effective Date | | | |  |  |  |  |  |  |  |
| Subsidy | Cert Type | | Effective Date | | 6/1/2010 | | 3/1/2010 | | 1/1/2010 |  |  |  |  |  |  |
| S8 | MI | | 2/1/2007 |  |  | |  | |  |  |  |  |  |  |  |
| S8 | GR | | 5/16/2007 |  |  | |  | |  |  |  |  |  |  |  |
| S8 | UT | | 9/3/2007 |  |  | |  | |  |  |  |  |  |  |  |
| S8 | AR | | 2/1/2008 |  |  | |  | |  |  |  |  |  |  |  |
| S8 | GR | | 5/16/2008 |  |  | |  | |  |  |  |  |  |  |  |
| S8 | AR | | 2/1/2009 |  |  | |  | |  |  |  |  |  |  |  |
| S8 | AR\* | | 2/1/2009 |  |  | |  | | Baseline |  |  |  |  |  |  |
| S8 | GR | | 5/16/2009 |  |  | |  | |  |  |  |  |  |  |  |
| S8 | GR\* | | 5/16/2009 |  |  | |  | |  |  |  |  |  |  |  |
| S8 | AR | | 2/1/2010 |  |  | | Baseline | |  |  |  |  |  |  |  |
| S8 | GR | | 5/16/2010 |  |  | |  | |  |  |  |  |  |  |  |
| S8 | IR | | 6/1/2010 |  | Baseline | |  | |  |  |  |  |  |  |  |
|  |  | |  |  |  | |  | |  |  |  |  |  |  |  |
| History Baseline Examples using the same data | | | | |  | |  | |  |  |  |  |  |  |  |
|  |  | |  |  | Baseline Effective Date | | | |  |  |  |  |  |  |  |
| Subsidy | Cert Type | | Effective Date | | 5/1/2008 | | 9/1/2007 | | 1/1/2007 |  |  |  |  |  |  |
| S8 | MI | | 2/1/2007 |  |  | |  | |  |  |  |  |  |  |  |
| S8 | GR | | 5/16/2007 |  |  | |  | |  |  |  |  |  |  |  |
| S8 | UT | | 9/3/2007 |  |  | |  | |  |  |  |  |  |  |  |
| S8 | AR | | 2/1/2008 |  |  | |  | |  |  |  |  |  |  |  |
| S8 | GR | | 5/16/2008 |  |  | |  | |  |  |  |  |  |  |  |
| S8 | AR | | 2/1/2009 |  |  | |  | |  |  |  |  |  |  |  |
| S8 | AR\* | | 2/1/2009 |  |  | |  | |  |  |  |  |  |  |  |
| S8 | GR | | 5/16/2009 |  |  | |  | |  |  |  |  |  |  |  |
| S8 | GR\* | | 5/16/2009 |  |  | |  | |  |  |  |  |  |  |  |
| S8 | AR | | 2/1/2010 |  |  | |  | |  |  |  |  |  |  |  |
| S8 | GR | | 5/16/2010 |  |  | |  | |  |  |  |  |  |  |  |
| S8 | IR | | 6/1/2010 |  |  | |  | |  |  |  |  |  |  |  |
|  |  | |  |  |  | |  | |  |  |  |  |  |  |  |
|  |  | |  |  |  | |  | |  |  |  |  |  |  |  |
|  |  | |  |  |  | |  | |  |  |  |  |  |  |  |
| Examples with two subsidy types | | | |  | Baseline Effective Date | | | |  |  |  |  |  |  |  |
|  |  | |  |  | S8 | S8 | | | S8 | S8 | 236 | 236 | 236 | 236 |  |
| Subsidy | Cert Type | | Effective Date | | 2/1/10 | 12/1/09 | | | 12/1/08 | 12/1/10 | 2/1/10 | 12/1/09 | 12/1/08 | 12/1/10 |  |
| S8 | MI | | 8/15/2008 |  |  |  | | |  |  |  |  |  |  |  |
| S8 | AR | | 8/1/2009 |  |  |  | | |  |  |  |  |  |  |  |
| S8 | TM | | 10/31/2009 |  |  |  | | |  |  |  |  |  |  |  |
| S236 | IC | | 11/1/2009 |  |  |  | | |  |  |  |  |  |  |  |
| S236 | TM | | 4/30/2010 |  |  |  | | |  |  |  |  |  |  |  |
| S8 | IC | | 5/1/2010 |  |  |  | | |  |  |  |  |  |  |  |
| S8 | AR | | 5/1/2011 |  |  |  | | |  |  |  |  |  |  |  |
|  |  | |  |  |  |  | | |  |  |  |  |  |  |  |
| Note: In the above example, rent records (MAT92) would be included for both subsidy types as of 8/15/08. For each subsidy type, include the most | | | | | | | | | | | | | | | |
| recent rents effective <= 8/15/08. The effective dates for the S8 and the S236 rents may be different as GRs may be for different dates. | | | | | | | | | | | | | | |  |
|  |  | |  |  |  | |  |  | |  |  |  |  |  |  |
| Same as above but showing how only the most recent cert for an effective date is included | | | | | | | | | | |  |  |  |  |  |
|  |  | |  |  | Baseline Effective Date | | |  | |  |  |  |  |  |  |
|  |  | |  |  | S8 | | S8 | S8 | | S8 | 236 | 236 | 236 | 236 |  |
| Subsidy | Cert Type | | Effective Date | | 2/1/10 | | 12/1/09 | 12/1/08 | | 12/1/10 | 2/1/10 | 12/1/09 | 12/1/08 | 12/1/10 |  |
| S8 | MI | | 8/15/2008 |  |  | |  |  | |  |  |  |  |  |  |
| S8 | MI\* | | 8/15/2008 |  |  | |  |  | |  |  |  |  |  |  |
| S8 | MI\* | | 8/15/2008 |  |  | |  |  | |  |  |  |  |  |  |
| S8 | AR | | 8/1/2009 |  |  | |  |  | |  |  |  |  |  |  |
| S8 | TM | | 10/31/2009 |  |  | |  |  | |  |  |  |  |  |  |
| S236 | IC | | 11/1/2009 |  |  | |  |  | |  |  |  |  |  |  |
| S236 | TM | | 4/30/2010 |  |  | |  |  | |  |  |  |  |  |  |
| S8 | IC | | 5/1/2010 |  |  | |  |  | |  |  |  |  |  |  |
| S8 | AR | | 5/1/2011 |  |  | |  |  | |  |  |  |  |  |  |