

## CHAPTER 5

CHAPTER 5  
REPORTING SECTION 8  
EXISTING HOUSING CERTIFICATES  
Form HUD-52491.3

5-1 CHAPTER OVERVIEW. This Chapter describes procedures for reporting Existing Housing Certificates. It specifically pertains to

Existing

Housing program activity of State Housing Agencies (HFDA) and

Local

Housing Authorities (PHAs/Non-HFDA) not acting as a State Housing Agency.

A. References in this Chapter to the Housing Funding Control systems

pertain to systems which are officially designated by the Department for input by the Regional Accounting Directors

(RADs)

of Reservation and Contract data which are automatically interfaced daily to the Section 8 MIS. The Assisted Housing Accounting System (AHAS) and the Program Accounting System

(PAS)

are system examples.

B. State Code abbreviations, Field Office Codes, County Code(s), Locality Code(s), SMSA Code(s), Congressional District

Code(s),

and Central City Indicators are to be selected for reporting

from

the Headquarters' computer-generated Field Office reports of D71AAC-A and D71AAC-B, entitled "Geographic Code System Population and SMSA Report". For report samples, refer to appendices 1 and 2 of the User Guide for Geographic Code

System,

I-160.10 Rev.1. For information on these reports, contact

the

following Headquarters' organizations:

1. The Office of Information Policies and Systems, Systems Engineering Group, Project Management Staff, AIS.

2. The Office of Information Policies and Systems, Systems Engineering Group, Administrative Systems Divisions, Administrative Support Systems Branch, AISAA.

5-2 FORM HUD-52491.3. The responsible Section 8 Program organizational

staff member, after completion of each development stage on the form,

is to initial, date, and submit the green copy (where applicable) to



5-3 SUBPROGRAM TYPES AND FUNDING INCREMENT CONFIGURATIONS  
EXISTING CERTIFICATES  
FORM HUD-52491.3 (FRAMES 3F1/3F2)

A. SUBPROGRAM TYPES

Certificates - Property Disposition

Certificates - Public Housing Demolition

Certificates - Section 23 Conversions

Certificates - Renewals (Fiscal Year 90+ (FY 90+))

Certificates - Opt-Outs (FY 90+)

Certificates - Homeownership Support (FY 90+) - Funds not  
appropriated. Replaced by (FY 91+)

Existing

Housing Replacement Certificates

91+) Certificates - Existing Housing Replacement Certificates (FY

These Certificates are for the replacement of  
Public Housing units that are lost through  
demolition or disposition.

Certificates - Regulars - (Non-HFDA and HFDA combined Non-PHA  
Owner)

Certificates - Rental Rehabilitation

Certificates - Project Self-Sufficiency

Certificates - Statewide (Fiscal Year 84 (FY 84) only)

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B. FUNDING INCREMENT CONFIGURATIONS

1. EXISTING CERTIFICATES and COST AMENDMENTS (a fund  
increase amendment increment to an already funded increment)

a. Positions 1 and 2: Federal Standard alpha State  
code applicable to the state in which the allocation area  
is located. Refer above to paragraph 5-1.B.

the allocation assigned to the (state for increment number serialized each Agency)

b. Positions 3 and 4: HUD Standard numeric code for HUD Field Office having jurisdiction over the area. Refer above to paragraph 5-1.B.

c. Position 5: The HUD Contractual Relationship will assist in determining whether an "H" or "E" is for applications received from a state agency.

(1) "E" = PHA/Non-HFDA (receipt of Form HUD-52515 (pursuant to Handbook 7420.3)

(2) "H" = HFDA (receipt of Form HUD-52516 (pursuant Handbook 7420.4);

d. Positions 6 through 8: The three-digit serialized number starting with "001" issued consecutively by Field Office to identify the PHA (Non-HFDA)/HFDA or local housing agency) administering the Funding Increment.

For Cost Amendments, this Code will be the same as the previously funded increment for which this is a cost Amendment.

e. Positions 9 through 11: A three-digit serialized starting with "001" issued consecutively for each application associated with a PHA.

For Cost Amendments, this is a three-digit number starting with "901" issued consecutively for funding amendment for the PHA.

Example: MA06H013001 - HFDA  
 MA06E129001 - PHA (Local/State Housing  
 MA06H013901 - Cost Amendment  
 MA06E129901 - Cost Amendment

2. EXISTING STATEWIDE RENTAL REHABILITATION (FY 84 ONLY)

Code in to

a. Positions 1 and 2: Federal Standard alpha State which the allocation area is located. Refer above to paragraph 5-1.B.

the allocation

b. Positions 3 and 4: HUD Standard numeric code for HUD Field Office having jurisdiction over the area. Refer above to paragraph 5-1.B.

c. Position 5 through 11: "E999999"

Example: MA06E999999 (FY 84 only)

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5-4 APPLICATION RECEIVED  
EXISTING CERTIFICATES  
FORM HUD-52491.3 (FRAMES 3F1/3F2)

MIS The Federal Standard numeric State Code (C1043) in the Section 8 is computer-generated from positions 1 and 2 of the Funding/Project Number.

A. 3F1, Block 1: Date Received (MM/DD/YY) - (Example, 04/11/90).

as

1. For PHA/Local Housing Authority not acting as a State Agency. Enter the date the Application (Form HUD-52515) is received by the Field Office.

by

2. For HFDA. Enter the date the application (Form HUD-52516) is received by the Field Office.

the

3. For Property Disposition. Enter the date Property Disposition Committee (PDC) Sales Authorization memorandum is received from Headquarters.

B. 3F1, Block 2: Total Assisted Units. Not applicable to Cost Amendments. Enter the total number of assisted units (elderly and family) on the Application.

C. 3F1, Block 3: Total Elderly Units. Enter the total number of units on the application. If none, leave blank.

D. 3F1, Block 4: Program Type. Select the code representing the application's method of development.

Check Only:

"E" = Existing Housing

E. 3F1, Block 5A: Project Area. Select the correct letter code representing the funding allocation or project area.

Check One:

"M" = Metropolitan Area

"N" = Non-Metropolitan Area

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F. 3F1, Block 5B: Section 8 subprogram Code. If single code, enter in first position, leave second position blank.

Enter

the designated letter code as follows:

"A" = Certificates - Property Disposition

"B" = Certificates - Public Housing Demolition

"C" = Certificates - Section 23 Conversions

"E" = Certificates - Renewals (FY 90+)

"G" = Certificates - Opt-Outs (FY 90+)

"I" = Certificates - Housing Replacements (FY

91+)

"O" = Certificates - Regular (Non-HFDA and HFDA combined Non-PHA Owner)

"R" = Certificates - Rental Rehabilitation

"S" = Certificates - Project Self-Sufficiency

"X" = Certificates - Statewide (FY 84 only)

Note: "X" is computer-generated in the Insured Indicator (C1079) in the Section 8 MIS to

identify

Cost Amendments.

G. 3F1, Block 6: County(s). Do not report for Statewide. Enter the

selected

three-digit Federal Standard county code(s)

as described above in paragraph 5-1.B.

involved,

1. If there are more than five counties

select the five counties that best

represent

the locations of the funding or project

areas.

the  
2. The first county entered should represent  
county with the largest number of assisted  
and/or unassisted units.

Prime  
3. The first county entered represents the  
County Code (C1080) in the Section 8 MIS.

H. 3F1, Block 7: Locality Code(s). Do not report for Statewide.  
other  
Required for Property Disposition. For all  
Handbook  
programs, enter where applicable (refer to  
7420.3 REV-2 CHG 4). Enter the four-digit  
above  
place/locality code(s) selected as described  
in paragraph 5-1.B.

best  
1. If there are more than five localities  
involved, select the five localities that  
represent the locations of the funding or  
project areas.

the  
2. The first locality entered should represent  
locality with the largest number of  
assisted  
and/or unassisted units.

3. The first locality represents the Prime  
Locality Code (C1041) in the Section 8 MIS.

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I. 3F1, Block 8: Locality Name. Do not report for Statewide. Up  
to  
25 characters, enter the "Place/County Name"  
in  
corresponding to the first Locality Code entered  
3F1, Block 7.

Note: The Locality Name entered represents the  
Prime Locality Name (C1042) in the Section 8  
MIS.

J. 3F1, Block 9: SMSA(s) (Standard Metropolitan Statistical  
Area(s)).  
Do not report for Statewide. Enter the four-  
digit

each  
the  
Federal Standard SMSA Code(s) corresponding to  
Locality Code entered in 3F1, Block 7. Select  
SMSA code as described above in paragraph 5-1.B.

in  
in  
1. If there are more than five SMSAs involved,  
select the SMSAs that best represent the  
locations of the funding or project areas  
conjunction with the Locality Codes entered  
3F1, Block 7.

units  
2. Enter "9999" if 50 percent or more of the  
are not in an SMSA.

K. 3F1, Block 10: Central City. Do not report for Statewide.  
Select  
the item indicating whether or not the funding  
area  
is located within the central city of an SMSA  
determined as described above in paragraph 5-

1.B.

Check One:

Yes

No

L. 3F2, Block 11: Congressional District(s). Do not report for  
Statewide. Enter the two-digit Federal Standard  
Congressional District Code(s), selected as  
described above in paragraph 5-1.B, representing  
the  
funding or project area(s).

represent  
largest  
1. If there are more than five congressional  
Districts, select the five that best  
the funding or project areas.  
2. The first Congressional District entered  
should represent the District with the  
number of assisted and/or unassisted units.

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M. 3F2, Block 12: HUD Contractual Relationship. Do not report for Statewide. Select the code representing the entity

with which HUD will sign an Annual Contributions Contract (ACC).

Check One:

executed "A" = State Housing Agency; an ACC is to be between HUD and the State Housing Agency.

and "B" = Public Housing Agency (excluding State Agency); an ACC is to be executed between HUD the Public Housing Agency.

is Note: The HUD Contractual Relationship reported used to determine the PHA-ADDRESS type code (C60) in the Section 8 MIS.

N. 3F2, Block 13: PHA Name. Do not report for Statewide. Up to 25

characters, enter the abbreviated name, not the corporate name of the PHA. Examples: Boston, HA;

District of Columbia RLA; Mass. HFA;, etc.

Note: The PHA Numbers (C59/C1049) are computer-generated in the Section 8 MIS from positions 1 and 2 and positions 6 through 8 of the Funding Number.

O. 3F2, Block 14: Housing Assistance Plan. Do not report for Statewide. Select the item indicating whether or

not the area of the funding allocation has an approved Housing Assistance Plan.

Check One:

Yes

No

P. 3F2, Block 15: Located in Title VII or IV New Community.

the 1. The value of "N" is computer-generated in

Section 8 MIS data element New Community (C1059) for the following subprograms for

which this data item need not to be reported:

- Existing Rental Rehabilitation

- Existing Project Self-Sufficiency
- Existing Statewide

2. For all other Certificates, select the item indicating whether or not the funding area in a Title VII or Title IV new community.

is

Check One:

Yes

No

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Q. 3F2, Block 16: Insured Indicator. Report only for Certificate Property Disposition and Section 23 Conversions. Select the item indicating whether or not a project carries HUD Mortgage Insurance.

Check One:

Yes

NO

8

Note: "X" is computer-generated in the Insured-Indicator element (C1079) in the Section 8 MIS to identify Cost Amendment increments.

R. 3F2, Block 17: Secretary/Held-Owned. Report only for Certificate Property Disposition and Section 23 Conversions.

Check One:

owned

Yes - The application is for a HUD-held or HUD-owned property. For processing in the Section 8 MIS, "A" is to be entered on the 3F2 data entry screen by the assigned data entry staff member(s).

"A"

the

No - The application is not for HUD-held or HUD-owned property. For processing in the

Section 8

MIS, "D" is to be entered on the 3F2 data entry screen by the assigned data entry staff

member(s).

staff

Note: The Section 8 Program organizational

member responsible for completing the Form HUD-52491.3 for the Existing Housing Certificate program, may write-in the appropriate "A" or "D" code alongside the checked "Yes" or "No"

selection.

S. 3F2, Block 18: Owner's Name. Report only for Certificate Property

owns

Disposition. Enter the name of the firm which

the project or the name of the firm's principal officer. Leave Blank, if not applicable.

T. 3F2, Block 19: Manager's Name. Report only if Owner's Name (Block

managing

18) is reported for Certificate Property Disposition. Enter the name of the firm

the property or the firm's principal officer.

U. 3F2, Block 20: FHA Project Number. Enter if "Yes" is selected for

the Insured Indicator (3F2, Block 16) for Certificate Property Disposition.

follows:

1. An invalid FHA Number is defined as

All Xs  
All nines  
All zeros  
"None", or it is Not eight positions.

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2. A valid FHA Number is defined as follows:

a. Positions 1-3: FHA Office prefix

b. Positions 4-8: FHA Case Number

(1) Positions 4-5: Section of the Housing Act

serial (2) Positions 6-8: Consecutive  
number within the Field Office;

or

(1) Positions 4-6: Section of the  
Housing Act

serial (2) Positions 7-8: Consecutive  
number within the Field Office.

V. 3F2, Block 21: Prime Census Tract/Enumeration Districts.  
Report

only for Certificate Property Disposition and  
Section 23 Conversions. Enter the Census Tract  
or  
Enumeration District designated by Field Office  
Fair  
Housing and Equal Opportunity (FH&EO) personnel.  
If  
not provided by FH&EO, leave blank. Refer to  
appendix 1, Reporting Project Census  
Tract/Enumeration District.

1. Census Tracts:

census a. Positions 1 through 4: enter the  
tract number with leading zeroes.

tract b. Positions 5 and 6: enter the census  
suffix. If none, enter "00".

Examples:

Census Tract #1 = "0001" . "00"  
Census Tract #25 = "0025" . "00"  
Census Tract #1104.10 = "1104" . "10"

2. Enumeration Districts.

enumeration a. Positions 1 through 4: enter  
district number with leading zeroes.

of b. Position 5: enter the letter suffix  
the enumeration district. If no  
suffix,  
enter "X".

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c. Position 6: enter the letter "E".

Examples:

Enumeration  
District #1 = "0001" . "XE"

Enumeration  
District #25 = "0025" . "XE"

Enumeration  
District #104A = "0104" . "AE"

W. 3F2, Block 22: Total Project Units. Report only for Existing Certificate Property Disposition.

- project,
1. Enter the total number of units in the assisted and unassisted. If there are no unassisted units, enter the Total Assisted Units from Block 2.
  2. Required to be reported at the Application Received stage.
  3. The Percent of Total Units Assisted (C1078) in the Section 8 MIS is computed by dividing current Reserved Total Assisted Units (C1020) by the Total Project Units being reported.

5-5 TERMINATION BEFORE RESERVATION EXISTING CERTIFICATES. Refer to appendix 5, Termination Before Reservation.

5-6 APPLICATION APPROVED and RESERVATION EXISTING CERTIFICATES. The application approved development stage is automatically interfaced to the Section 8 MIS from the Reservation/Funding data input by the Regional Accounting Division (RAD) to the appropriate Housing Funding Control systems. Refer to appendix 2, Reporting Section 8 Fund Reservations/Amendments.

5-7 HAP LIST APPROVED EXISTING CERTIFICATES FORM HUD-52491.3 (FRAME 3F2)

A. 3F2: Project Number. Copy the funding increment number exactly as

it appears at the top of the form.

B. 3F2: HAP List Approved Date. Enter the date (MM/DD/YY) that  
Form

HUD-5041-C was signed by the Field Office manager.

C. LST: Enter data from Form HUD-5041-C, refer to appendix 3,  
Reporting ACC/HAP Contract list.

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5-8 ANNUAL CONTRIBUTIONS CONTRACT (ACC)

EXISTING CERTIFICATES. The date (signature date, not effective  
date)

of the obligatory Annual Contributions Contract (ACC) executed  
between the PHA and HUD is reported by the RAD to the appropriate  
Housing Funding Control system, from which it is automatically  
interfaced to the Section 8 MIS. Refer to appendix 4, Reporting  
Section 8 Obligatory Contracts.

5-9 REPORTING ADDRESSES

EXISTING CERTIFICATES. Refer to appendix 8, Reporting Addresses.  
PHA and Managing Agent Addresses are required at ACC Contract.

5-10 PROGRAM UTILIZATION (OCCUPANCY)

EXISTING CERTIFICATES

FORM HUD-52683 (MGT FRAME). For Reporting Procedures, refer to  
Handbook 7420.7 CHG 4, Chapters 3 and 12. Within the requirements  
of

an Annual Contributions Contract (ACC), the PHA and/or private  
owner

shall submit occupancy data to HUD which describes the extent of  
program participation by characteristics of assisted families and  
financial data which discloses how annual contributions were  
spent.

For each set of units (funding increment) under the ACC, PHAs  
and/or

private owners are to prepare and submit to HUD Field Offices on a  
project-by-project basis (i.e., for each funding increment under

the  
PHA's ACC) occupancy data on Form HUD-52683, Report on Program  
Utilization. PHAs and/or private owners shall prepare at least

two

report copies, submitting one copy to the HUD Field Office and  
keeping one copy for its records.

A. REPORTING FREQUENCY (Refer to Handbook 7420.3 REV 2 CHG-3)

1. Quarterly Reporting. The report is to be first submitted  
as

initially  
increment.

of the end of the quarter during which the ACC was  
executed or amended to incorporate a new funding

are

Thereafter, it is to be submitted as of the end of each  
subsequent quarter (even if there is no change from the  
previous quarter report) until ninety-five percent of the  
units in the funding increment (i.e. authorized by ACC)

under lease (HAP Contract).

in  
under  
be

2. Annual Reporting. Once ninety-five percent of the units  
the funding increment (i.e. authorized by the ACC) are  
lease (HAP Contract), reporting on Form HUD-52683 is to  
annually as of September 30 to be received by HUD Field  
Office by October 10. Once annual reporting has begun,  
reporting on Form HUD-52683 is to continue annually, even  
if  
the assisted units under lease drop below ninety-five  
percent of units in the funding increment.

but  
that

Should the funding increment reach ninety-five percent  
occupancy during a quarter other than the quarter ending  
September 30, that quarterly report must be submitted,

no further reporting is required until September 30 of  
year.

submitted

If ninety-five percent occupancy is reached during the  
quarter ending September 30, the report is to be

as of September 30 as a quarterly report.

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submitted  
the

3. Field Office Report Receipt. The reports are to be  
to and received by the HUD Field Office by the 10th of  
month following the quarter/year covered by the report  
period.

the

4. Section 8 MIS Data Entry. The Field Office organization  
responsible for the Section 8 program(s) should forward  
report, upon receipt, to the assigned program data entry



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C. SPECIFIC OCCUPANCY REPORTING INSTRUCTIONS  
EXISTING CERTIFICATES  
FORM HUD-52683 (MGT FRAME)

52683 (MGT) 2b: Initial Lease Date. Enter the effective  
date (MM/DD/YY - Example, 04/11/90) of the first  
and lease executed between a certificate holder  
the an owner. Enter this date only if this is  
reporting initial report for the project or if the  
initial lease was executed during the  
period, otherwise, leave blank.

52683 (MGT) 2c: Occupancy Report Date. Enter date  
(MM/DD/YY - Example, 06/30/90) which is the as of  
under end-of-month date that the project units  
lease are reported.

52683 (MGT) 3: Project Number. Enter the eleven character  
assigned funding increment/project number.

52683 (MGT) Line D: Units Under Budget. Leave blank for  
(Item 4) Certificates.

52683 (MGT) Line E: Certificates Outstanding. Enter the  
(Item 5) number of Certificates held by families  
searching for units and those already under  
contract (leased). Does not include  
certificates that have expired or have been  
terminated.

52683 (MGT) Line F: Total Assisted Leased. Enter the total  
number (Item 6) of units currently under a signed lease to  
certificate holders.

52683 (MGT) Line G: Total Elderly Leased. Enter the total  
lease (Item 7) number of units currently under signed  
and occupied by an elderly, disabled, or  
handicapped.

D. SECTION 8 MIS RETRIEVAL. For ease of retrieval of the latest  
Occupancy occupancy data, the project level data items of Current  
Current Date (C1081), Current Total Assisted Units (C1082), and the

time Total Elderly Leased (C1083) are valued in the databases each  
occupancy data is reported.

E. SECTION 8 MIS COMPLETED LEASE UP (CLU). When the Total Number  
of Units Under Lease to Assisted Tenants are equal to or greater  
than 95 percent of the Total Reserved Assisted Units (C1020), the  
project elements of CLU-Date (C1065), CLU-Assisted (c1066), and  
CLU-Elderly (C1067) are valued from the Occupancy Report date,  
Total Assisted Leased, and Total Elderly Leased.

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5-11 MANAGEMENT REVIEWS  
EXISTING CERTIFICATES  
FORM HUD-52491.7 (FRAME MGT); Non-Insured and Non-202/8 Projects  
Only

A. REPORTING MANAGEMENT REVIEWS. The responsible Section 8  
program organization of the Field Office is to report to the Section  
8 MIS the initial (original) management review within six  
months after the initial execution of the ACC. A second review  
shall be conducted one year after the initial review. Subsequent  
reviews are reported every two years after the second review  
regardless of whether or not new units have been added to the program  
(refer to Handbook 7420.3 REV-2 CHG-4, CHAPTER 5).

B. FOR EXISTING CERTIFICATES. The PHA is reviewed, not the  
have project(s), which are funding increments. Should the PHA  
only more than one funding increment, management review data need  
funding be entered into the Section 8 MIS for any one non-insured  
Office increment/project for a given PHA. Therefore, the Field  
which should select a non-insured funding increment/project for  
that an ACC has been executed and each time a PHA is reviewed,  
update same funding increment/project number should be used to



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D. SPECIFIC MANAGEMENT REVIEW REPORTING INSTRUCTIONS  
EXISTING CERTIFICATES  
FORM HUD-52491.7 (MGT FRAME)

52491.7(MGT): Project Number. Enter the eleven character  
selected PHA review funding/increment project number.

52491.7(MGT): Original Management Review Date. Enter date  
six (MM/DD/YY - Example, 04/11/90) which is the date  
months after the ACC execution for the funding  
increment being used for the PHA review.

52491.7(MGT): Annual Management Review Date. Enter date  
(MM/DD/YY - Example, 04/11/91) which is the review date  
for once a year or every two years subsequent to the  
original review date.

Note: Field Offices may elect to use the first issued PHA  
funding increment number for the original and subsequent reporting of  
PHA review dates. In this instance, if the first funding increment  
issued for a PHA becomes terminated, expired, defunded, or  
subsequent opted-out in the Section 8 MIS, both the original and/or  
annual review dates that were reported to the now inactive  
increment are to be reported to the next active sequentially  
issued PHA funding increment number.

5-12 TERMINATION/INACTIVATING AFTER RESERVATION: EXISTING  
CERTIFICATES.

Refer to appendix 6, Termination/Inactivating After Reservation.

5-13 REINSTATEMENT OF TERMINATED PROJECTS: EXISTING CERTIFICATES.

Refer to appendix 7, Reinstatement of Terminated Proposals/Applications.

5-14 DATA CORRECTIONS TO SECTION 8 MIS. Refer to appendix 9, Data  
Corrections to the Section 8 MIS.