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CHAPTER 11. REPORTING AND RECORDKEEPING

## 11-1. URBAN HOMESTEADING PROGRAM MANAGEMENT INFORMATION SYSTEM (UHPMIS)

- A. The Urban Homesteading Program Management Information System (UHPMIS) and the reports generated by the system are required in order for HUD to monitor and evaluate the various Urban Homesteading Programs administered by LUHAs. Data collected are used also in the preparation of the statutorily required Annual Report to Congress.
- B. The UHPMIS is an automated information system. Information for HUD-approved Urban Homesteading programs and overall program data is be stored and tracked on a System 2000 data base in Headquarters. The stored data represents the current fiscal year and a cumulative summary since the inception of each individual program. The data are updated by extracting data from the C24 Field Office Reporting and Management System/Community Planning and Development (FORMS/CPD), from the A96 Program Accounting System (PAS), and from the Housing R07 Critical Path Processing System (CPPS). Input provided by the LUHAs on the computer-generated turnaround documents noted below is used to update the data base quarterly.

## 11-2. LUHA REPORTING FOR UHPMIS

- A. All LUHAs (active, inactive, closed out) that were reporting to HUD under the manual system and newly approved LUHAs in FY 1986 and thereafter must submit data for the UHPMIS on all properties acquired with section 810 funds that have not yet been transferred in fee simple to homesteaders. This includes:
    - 1. all properties recently acquired;
    - 2. all properties in the LUHA's inventory awaiting transfer to homesteaders; and
    - 3. all properties that have been transferred (conditionally) to homesteaders, and for which the LUHA still has a reversionary interest, or the equivalent.
  - B. Appendix 7 provides instructions for the preparation of the Homesteading Property Addition, HUD-40063, for initial input of properties into the system and Appendix 6, HUD-40063-A, provides instructions for updating the status of the properties on the computer-generated Quarterly Property and Progress Reports.
    - 1. Homesteading Property Addition HUD-40063. This form prepared by the LUHA is used for initial input of a property(ies) into the system. Data elements consist of the property source
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(FHA, VA, FmHA and Local properties acquired with Section 810 under the Local Property Demonstration), case number, address, census tract, number of dwelling units, value, the date the property was offered to the LUHA, the LUHA's acceptance date, the acquisition date by the LUHA, and the source of funding for the acquisition of each property. This form is submitted to Headquarters by the LUHA each quarter if new properties are to be added to the system.

2. Quarterly Property Report. This report is computer-generated in Headquarters based on the initial data from the HUD-40063. This report tracks steps in the acquisition of properties by the LUHA. Any information not originally entered by the LUHA on the HUD-40063 for a property is entered on this report. For example, the acquisition price may not have been known at the time the property was originally entered on the HUD-40063.
  3. Quarterly Progress Report. This report is computer-generated in Headquarters based on the initial data from the HUD-40063. It serves as the principal source of data concerning management of properties after acquisition by the LUHA through final conveyance to the homesteader. This includes the dates of conditional conveyance, start of rehabilitation, occupancy by the homesteader, completion of rehabilitation, and final closing. Reported also are properties that were identified for an alternative use, a range of income of homesteaders, the racial/ethnic composition of the homestead family and the source and amounts of rehabilitation financing on homesteading properties.
- C. After initial input into the UHPMIS. By the 15th of the last month of the quarter, HUD Headquarters will send a copy of the computer-generated reports covering the previous quarter's activities for updating to each LUHA. The Urban Homesteading Coordinator will receive a copy of both reports for each LUHA from the Administrative Services Division in the Field Office via the Printlist. These reports will appear as C45CBCB, Urban Homesteading Quarterly Report (PROP RPT), and C45CCCB, Urban Homesteading Quarterly Progress Report (PROG RPT). These reports will be run on the 15th of March, June, September and December and will be available for only 3 days.
- D. The LUHA will edit and update the reports through the end of the current quarter. The LUHA will return the Property and Progress reports (which have changes) and the HUD-40063 (if new properties are added) directly to the Director, Urban Homesteading Program, Rehabilitation Loans and Homesteading Division, Headquarters, within 30 days after the end of the quarter.

E. The OMB control number for the UHPMIS is 2506-0042.

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#### 11-3. FIELD OFFICE RESPONSIBILITIES FOR UHPMIS AND FORMS/CPD

The Urban Homesteading Coordinator:

- A. is responsible for monitoring the timely submission of the LUHAs reports according to the schedule noted in the Homesteading Property addition, HUD-40063, and Instructions for updating the Quarterly Property and Quarterly Progress Reports, HUD-60063-A;
- B. is responsible for ensuring that LUHAs submit complete and accurate data to Headquarters according to the HUD-40063 and HUD-40063-A;
- C. shall reconcile discrepancies in reporting by the LUHA, the PAS and CPPS data when problem areas are identified through review of the UHPMIS reports;
- D. shall update the FORMS/CPD data base with data from the Standard Form 424, Application for Federal Assistance, that was submitted for each LUHA approved in FY 1986, and from new application approvals in succeeding years. Subsequent changes based on the annual request for program participation, amendments to the application, funding levels, and close-outs, must be inputted in FORMS/CPD to update the UHPMIS (see Appendix 20);
- E. shall send a memorandum to Headquarters with the name of a new LUHA's contact person, address, telephone number, and subsequently keep Headquarters informed of any changes in the LUHA's contact person, address, telephone number, and program status (i.e., active, inactive, or closed out).

#### 11-4. OTHER UHPMIS REPORTS

The UHPMIS will produce other reports based on data furnished by the LUHAs in their quarterly Property and Progress Reports, and data provided by the PAS, and FORMS/CPD. These reports will be available to Urban Homesteading Program staff in Headquarters, Regional and Field Offices.

##### Quarterly Property Transfer Report

This report summarizes property transfers (number and value) for the fiscal year, and duration of the program for each LUHA, showing totals For each Field Office.

##### Semi-Annual Milestone Report

This report summarizes the number of properties for each LUHA by source of the property and source of funding and the number of

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properties in each stage of management. Detailed data printed at the LUHA level and totals are printed at the Field Office level.

#### Annual Rehabilitation Report

This report summarizes rehabilitation data (number of properties, dwelling units and funding) for each LUHA, for the fiscal year, showing totals for each Field Office.

#### 11-5. REGIONAL OFFICE REPORTING.

The Regional Office Urban Homesteading Coordinator will prepare two reports on the status of Section 810 funds.

##### A. Monthly Report of Regional Funds Use, HUD-40064-B.

This report, HUD-40064-3 (Appendix 21), summarizes by each Field Office the amount of Section 810 funds reserved under HUD-718's for FHA, FmHA, Section 312, and VA properties and dwelling units. The Regional Urban Homesteading Coordinator should obtain this information from the Field Office Urban Homesteading Coordinator and not the RAD. This report is due on the 10th of the month following the reporting month.

For the last report of the Fiscal Year, the Regional Coordinator must submit the above required data for all properties on which closings occurred by September 30.

The end of the year report should be reconciled to the RAD's recordation of Section 810 funds expenditures by LUHA prior to submission to Headquarters.

##### B. Annual Report of LUHA Funds Use, Section 810 Regional Report, HUD-40064-A. This report, HUD-40064-A (Appendix 22), summarizes data on the actual expenditure of Section 810 funds based on property closings for all LUHAs under each Field Office. The Field Office subtotals should equal the corresponding figures in the September Monthly Regional Status of Funds Use Report. This report is due in Headquarters on October 15.

#### 11-6. OTHER PERIODIC REPORTS

##### A. HUD Handbook 1970.33 REV.-2, Accounting Procedures, Program Accounting System (PAS), provides a complete list, description, and frequency of all reports available from the PAS. The Regional Urban Homesteading Coordinator and/or Regional Director

for CPD should use the Status of Funds Report, A96CICA, which provides the status of the Field Office's sub-assignment, reservations, obligations, and remaining balance, and the Grant Status Report, A96CYCA, which provides the status of an individual LUHA for program oversight and management to monitor funds use. Each month

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the RAD will prepare a summary Report on Distribution of Disbursements, HUD-27043 (Appendix 23). This reflects the amount of Section 810 funds paid to FHA, VA, FmHA and the Section 312 fund during the month. The RAD should submit a copy to the Regional Director for CPD and any discrepancy between the amount of disbursements on the summary and the PAS should be reconciled (see paragraph 6-5, A).

- B. Single Family PD in the Field Office produces a HUD Property Disposition Program Acquired Home Properties Monthly Report, R07AMCA, on the automated Housing CPPS (see Appendix 25) to report on property acquisition and disposition activities. CPPS is also capable of producing on demand inquiry reports of property information (city, state, street name and number, zip code, census tract general features, status, and condition). Any reports deemed useful by the Urban Homesteading Coordinator or Regional Director for CPD may be requested from Housing.

#### 11-7. HUD RECORDKEEPING

The Field Office Urban Homesteading Coordinator shall develop a system of recordkeeping which includes at a minimum the following records:

- A. LUHA File. An individual file for each LUHA which includes:
1. Application and amendments, including an executed Urban Homesteading Program Certification, HUD-40073
  2. Annual request for participation
  3. Urban Homesteading Agreement, HUD-40051, and amendments
  4. HUD-40052, HUD Notification
  5. Monitoring Reports (findings and resolutions)
  6. Alternative Use (approvals and disapprovals)
  7. Complaints and resolution efforts
  8. Audit reports
  9. All correspondence with the locality and concerning the locality.
- B. Funds Management. A file of all Section 810 financial activity which includes:
1. a financial record showing Section 810 allocations and

reallocations to the Field Office, reservations to localities, and obligations for properties, with monthly and annual reconciliation results; and

2. a file or record of all financial forms (HUD-135.1, 718, 40050, 9589, 1, Standard Form 1034, and VA or FmHA closing documents).

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C. Program Status. A file of all progress reporting activity which includes:

1. lists of available properties (Section 312, FHA, VA, FmHA);
2. a file or record of the most recent Quarterly Property and Progress Reports.

#### 11-8. LUHA RECORDKEEPING

The LUHA shall develop a system of recordkeeping which will enable it to manage the homesteading program in a timely and cost effective manner. At a minimum, the LUHA must have:

A. An Accounting System capable of breaking out and keeping track of:

1. administrative, costs directly related to the management and support of the homesteading program;
2. property acquisition costs;
3. homesteading rehabilitation financing; and
4. public and private investment supporting homesteading and neighborhood improvement efforts in target neighborhoods.

B. A Progress Tracking System capable of detailing the status of each property as it goes through the homesteading process (UHPMIS Quarterly Progress Report).

C. A Program Information File(s) Containing:

1. neighborhood improvement strategy (a coordinated approach to neighborhood improvement);
2. homesteading program design, application and certifications;
3. legal and financial documents;
4. correspondence with federal agencies;

5. complaints and resolution efforts;
6. inspection reports; and results;
7. "proof of purchase" form issued by the NFIP for affected properties;
8. data showing the extent to which persons of different races, sexes, religions, national origins, ages, handicaps, and

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familial characteristics are applicants for, and participants in, the program;

9. evidence that properties were marketed to reach "eligible persons who are not likely to apply without special outreach;"
10. evidence showing that properties were offered to "priority" applicants first, prior to offering them to applicants who do not meet the lower income definition.

#### 11-9. RECORDS RETENTION AND DISPOSITION

- A. HUD. Public Law 95-440 prescribes mandatory use of the General Records Schedules issued by the General Services Administration (GSA) for the retention and disposal of records and reports prepared by personnel of HUD. HUD has in turn issued two Handbooks to describe the records and to provide mandatory disposition instructions for them. All records and reports are to be retained or disposed of in accordance with the provisions of these two Handbooks which are listed below:
    1. HUD Handbook 2225.6, REV-1, HUD Records Disposition Schedules, October 1988.
    2. HUD Handbook 2228.2, REV-2, General Records Schedules, February 1989.
  - B. LUHA. The LUHA will maintain adequate financial records, property Disposition documents, supporting documents, statistical records, and all other records pertinent to each annual local urban homesteading program, as described in paragraph 11-8 of this chapter, until either it transfers fee simple title to all federally-owned properties from that year to the homesteader or receives HUD approval of an alternative use and has implemented such alternative use.
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