

DEPARTMENT OF HOUSING AND URBAN DEVELOPMENT

[Docket No. FR-4497-N-03]

Notice Clarifying Manual Submissions and Extension Requests  
Under the Public Housing Assessment System (PHAS)

**AGENCY:** Office of the Assistant Secretary for Public and Indian Housing, and Office of the Director of the Real Estate Assessment Center, HUD.

**ACTION:** Notice

**SUMMARY:** This notice provides additional information to public housing agencies, and members of the public, regarding HUD's process for approving a PHA's request for manual submission of a PHA's unaudited year-end financial, management operations and/or resident service and satisfaction information, and a PHA's request for an extension for the submission of its unaudited year-end financial and/or management operations information under the PHAS.

**FOR FURTHER INFORMATION CONTACT:** For further information contact Wanda Funk, Real Estate Assessment Center, Department of Housing and Urban Development, 1280 Maryland Avenue, SW, Suite 800, Washington DC, 20024-2135; telephone Customer Service Center at 1-888-245-4860 (this is a toll free number). Persons with hearing or speech impairments may access that number via TTY by calling the Federal Information Relay Service at 1-800-877-8339. This information is available from the Real Estate Assessment Center (REAC) Internet Site at <http://www.hud.gov/reac>.

**SUPPLEMENTARY INFORMATION:**

**1. Purpose of this Notice**

The purpose of this notice is to provide additional information about HUD's process for approving a PHA's request for the manual submission of a PHA's unaudited year-end financial, management operations and/or resident service and satisfaction information, as well as a PHA's request for an extension for the submission of its unaudited year-end financial and/or management operations information under the Public Housing Assessment System (PHAS). HUD published two notices in the Federal Register on June 23, 1999, regarding the Public Housing Assessment System, Management Operation Scoring Process, and the Public Housing Assessment System, Resident Service and Satisfaction Scoring Process (64 FR 33708 and 64 FR 33712, respectively). Both notices addressed how a PHA may request approval for manual submission of management operations and/or resident service and satisfaction information (see 64 FR 33708 and 64 FR 33712). For the convenience of PHAs, this notice repeats the information concerning the process for requesting approval of manual submission of management operations and/or resident service and satisfaction information.

In addition to the two notices referenced above, HUD's final rule on Uniform Financial Reporting Standards for HUD Housing Programs, published September 1, 1998 (63 FR 46582), provided in § 5.801(b)(2), that with respect to year-end financial information required to be submitted electronically in accordance with the requirements of § 5.801, HUD would consider non-electronic submission if HUD determined that the burden or cost of electronic reporting is excessive. PHAs that would like to submit year-end financial information manually may request manual submission in accordance with the process provided for manual submission of management operations and/or resident service and satisfaction information.

In addition to requests for manual submission, HUD's final rule on Uniform Financial Reporting Standards for HUD Housing Programs, published September 1, 1998 (63 FR 46582), provided in the preamble to the rule that HUD would consider extensions of submission due date for all entities submitting their first financial reports. The preamble provides that requests for extensions are to be directed to HUD's Real Estate Assessment Center (REAC). The preamble, however, did not describe the process for making such requests (see 63 FR 46588). This notice, published today, provides a process for a PHA

to request an extension for the submission of its year-end financial information, similar to that for which requests for manual submissions of information are to be made.

## **2. Manual Submission of Unaudited Year-End Financial, Management Operations and/or Resident Service and Satisfaction Information**

Under the PHAS, a PHA is required to electronically submit its unaudited year-end financial, management operations and/or resident service and satisfaction information. If a PHA does not have this capability in-house, the PHA should consider utilizing local resources, such as the library or another local government entity that has internet access. In the event local resources are not available, a PHA may go to the nearest HUD Public Housing program office and assistance will be given to the PHA to transmit its year-end financial, management operations and/or resident service and satisfaction information.

As provided in the June 23, 1999, notices, REAC will consider manual submission requests of unaudited year-end financial, management operations and/or resident service and satisfaction information. A PHA may request approval to submit its unaudited year-end financial, management operations and/or resident service and satisfaction information manually if the PHA can support the claim that the electronic submission requirement poses an administrative and/or cost burden.

As stated in the notice published on June 23, 1999 (64 FR 33708), a PHA that seeks approval to manually submit its information to REAC on unaudited year-end financial information, management operations and/or resident service and satisfaction information must ensure that the REAC receives its written request for manual submission 60 calendar days prior to the submission due date for each of these information components (unaudited year-end financial information, management operations information, and resident service and satisfaction information). A PHA must forward its manual submission request in writing, to the Real Estate Assessment Center, Department of Housing and Urban Development, 1280 Maryland Avenue, SW, Suite 800, Washington DC, 20024-2135, Attention: Manual Submission PHA Finance Team.

For PHAs with a fiscal year-end date of September 30, 1999, REAC will not require that manual submission requests must be submitted 60 calendar days prior to the submission due date for the information. REAC requests, however, that these PHAs forward their manual submission requests to the above-mentioned address as soon as possible, prior to their submission due date. A PHA's written request for a manual submission must include a justification as to why the electronic submission of information will pose an administrative and/or cost burden on the PHA.

The REAC will respond to the PHA's request and will forward its determination in writing to the PHA. Approvals are for the PHA's current reporting period only.

## **3. Extension Requests for the Submission of Year-End Financial and Management Operations Information**

HUD will consider extension requests for the electronic submission of a PHA's unaudited financial and/or management operations information. To receive an extension, a PHA must ensure that the REAC receives the PHA's extension request (electronic or written) 15 calendar days before the submission due date of its unaudited year-end financial and/or management operations information. REAC will only consider requests for extensions relative to financial reporting if a PHA can demonstrate that it is unable to meet the requirements referenced in the Uniform Financial Reporting Standards for HUD Housing Programs (24 CFR Part 5, Subpart H) as a result of unusual circumstances beyond its control.

The extension request (electronic or written) must include a justification as to why the PHA cannot submit the information by the submission due date. The REAC will respond to the PHA's request and will forward its determination (electronic or written) to the PHA.

An electronic extension request may be submitted by contacting the REAC's Customer Service Center at <http://www.hud.gov/reac/reafinph.html>.

Dated: November 17, 1999.

**Harold Lucas,**

Assistant Secretary for Public and Indian Housing

**Donald J. LaVoy,**

Acting Director, Real Estate Assessment Center

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