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## **CHAPTER 4**

### **WAITING LIST AND TENANT SELECTION**

#### **4.1 CHAPTER OVERVIEW**

The PHA is responsible for establishing an application and selection process that treats applicants fairly and consistently and provides an effective method for determining eligibility. Program regulations provide flexibility for each PHA to develop an application and selection process tailored to its particular circumstances. The design of these processes must result in consistent determinations as to which applicants should be placed on the waiting list, issued a voucher, or determined ineligible to participate in the program, and comply with HUD rules on non-discrimination.

Conducting outreach, as needed, and maintaining an up-to-date waiting list is an important PHA responsibility. An up-to-date and well-managed waiting list promotes fair and consistent treatment of families, ensures that needy families receive assistance as quickly as possible, and is a first step in helping the PHA maintain a high leasing rate.

The PHA's application and selection policies must be stated in the PHA's administrative plan. These policies should be reviewed periodically to ensure that they are current and effectively support the PHA's occupancy and leasing objectives.

#### **4.2 OPENING THE WAITING LIST**

Some PHAs always keep the housing choice voucher program waiting list open and accept applications at any time during the business day. Other PHAs only open the waiting list for brief application periods. Either approach may be acceptable. What is important is that the approach used results in a waiting list that has a sufficient number of eligible applicants to ensure that new and turnover vouchers are issued as quickly as possible to eligible applicants. At the same time, the waiting list should not be allowed to grow to such a size that the wait for housing is unreasonable. There is no magic formula for when to open the waiting list. The decision to open depends upon local needs and circumstances, such as the receipt of new increments, availability of a large number of previously issued vouchers, existence of an outdated or diminished waiting list, or the need to target special populations, such as persons with disabilities or family unification eligible families.

PHAs must affirmatively further fair housing opportunity. Before opening the waiting list, the PHA must advertise in a local newspaper of general circulation and also through minority media and other suitable means. A PHA's advertising or outreach plan must be included in the PHA administrative plan. The announcements must include information on the time and place of application taking. If the application period is limited, the announcement must provide clear information on the end of the application period. The public notice must also state any limitation on who may apply for the available slots in the program.

## Fair Housing Requirements

All outreach, advertising and public notices announcing the opening or closing of a waiting list must include efforts to ensure that the information will reach those populations that are considered to be “least likely to apply” for assistance under the housing choice voucher program. Outreach must also include efforts to reach persons with disabilities. All advertising and outreach literature must include the equal housing opportunity logo and non-discrimination in the advertising message.

### 4.3 CONDUCTING OUTREACH TO FAMILIES

There are many approaches to informing the public about an upcoming application period. The goal of the outreach must be to make the information available to every eligible family. Basic outreach objectives include:

- Stimulate and sustain interest in the program; and
- Provide helpful information to potential participants.

The PHA may need to design special outreach efforts to notify those families who are least likely to apply, including persons with disabilities and minorities, of the availability of housing choice voucher assistance.

The comprehensiveness of a PHA’s outreach strategy will depend upon its specific needs and circumstances. For example, a PHA starting a new housing choice voucher program would need to establish a comprehensive outreach strategy. PHAs with long waiting lists may only need to target outreach to a specific population group that would qualify for one of its local preferences. Other PHAs may conduct outreach only to a special population group to be housed using a specific type of funding.

PHAs conducting a comprehensive outreach effort should also analyze the housing market area to identify and determine the needs of the eligible population groups. This analysis will help the PHA focus its outreach efforts more effectively. Analyzing the market areas will provide a clear indication of relative need within the broad community. When a PHA is conducting comprehensive outreach, one objective should be to create a waiting list that represents the various groups within the community that are in need of housing. For example, if 20 percent of the eligible population in the community is made up of elderly families, but the elderly represent only five percent of the families on the waiting list, the PHA may want to target additional outreach activities to elderly families. Depending upon the number and type of population groups to be targeted in the outreach effort, the PHA may need to develop individual outreach strategies.

#### FAMILIES THAT MAY REQUIRE SPECIAL OUTREACH

- *Working poor*
- *Elderly*
- *Minority*
- *Persons with disabilities*
- *Non-English speaking persons*

Once the PHA has identified specific population groups for outreach, it should develop outreach materials. Outreach materials should provide easily understood and usable information that is expressed in simple and direct terms. They should not only explain the program, but they should highlight the benefits of participating in the program and the opportunities available to participants. The outreach materials should also include specific information on where, when and how to apply for the program and an explanation of application procedures. PHAs that are attempting to reach diverse population groups or special population groups may want to present the outreach material in a manner suitable for that group, taking into account special ethnic, cultural, and physical characteristics. For example, materials may need to be translated into another language.

The advertising budget available will also be a deciding factor in determining the PHA's approach to outreach. A tight budget should not limit, however, creative approaches to reaching eligible families.

OPENING THE WAITING LIST  
ADVERTISING AND OUTREACH SUGGESTIONS

- Submit press release to local newspapers, including minority newspapers.
- Write and submit a human-interest story with photographs to a local newspaper.
- Distribute flyers or applications through schools, community agencies, welfare offices, employers, union offices, neighborhood groups, hospitals, commercial establishments (supermarkets, discount stores, laundromats), libraries, and churches.
- Print mail-in applications in local newspapers, including minority papers.
- Request community service announcements through local television and radio.
- Purchase advertising on subways and buses.
- Purchase advertising in local newspapers, including minority papers.
- Ask supportive service organizations to participate in the outreach effort.
- Solicit referrals from agencies working with families least likely to apply.
- Ask current participants to inform friends, family, and neighbors.

In addition to developing outreach materials, the PHA should maximize its use of any community resources available to assist in the outreach effort. Church groups, advocacy groups for the homeless, elderly or disabled, community service agencies, and employers are examples

of organizations that may have an interest in the same population groups targeted by the PHA. Developing partnerships, linkages, and networks with these groups will not only improve the outreach effort but will build a foundation for many other possible partnership opportunities that will benefit applicants and participants.

The PHA should adopt a written outreach strategy that clearly identifies objectives, the specific activities to support the objectives, and the staff responsible for implementation. The PHA should also establish internal procedures to monitor outreach efforts, particularly efforts to reach families identified as least likely to apply. Most importantly, the PHA must make efforts to analyze the effectiveness of each of its outreach efforts and to modify its strategy, as needed, in order to reach stated goals and objectives. The PHA should monitor the waiting list to determine that outreach efforts are reaching a cross section of the eligible population and to determine which outreach efforts are most successful. Other factors to monitor include whether outreach activities are reaching the targeted groups in a cost-effective way and whether the number of families applying because of the outreach can be served within a reasonable time period.

WAITING LIST MANAGEMENT

A large number of applicants on the housing choice voucher program waiting list is not necessarily a good measure of a successful outreach effort. It may be indicative, rather, of a PHA's lack of attention to properly maintaining and updating its waiting list.

EVALUATING OUTREACH TO FAMILIES

Establish a simple form, or incorporate language into the application form itself, to record how each applicant heard about the program. Include information to identify whether the applicant is included in the population identified as least likely to apply. This form can be used to help determine the cost effectiveness of each method as well as to show where outreach needs to be improved, dropped, or emphasized.

#### 4.4 CLOSING THE WAITING LIST

A PHA should consider closing its waiting list when it has insufficient funds available to assist all applicants on the waiting list over a reasonable period of time. Although the PHA has the discretion to define what is "reasonable", it is recommended that the wait for assistance not be more than 12 to 24 months. A PHA may choose to close only a portion of its waiting list instead of the entire waiting list. For example, a PHA may continue to receive applications from families qualifying for a specific local preference category, i.e. homeless families, while closing its waiting list to all other groups.

BENEFITS OF CLOSING THE WAITING LIST

- *Eliminates unnecessary application processing costs.*
- *Staff can devote time to other important program activities.*
- *Prevents false hope among families that assistance will be available in near future.*

Before closing the waiting list, the PHA should consider whether the waiting list includes a sufficient number of extremely low-income families to satisfy the requirement that 75 percent of families admitted to the housing choice voucher program are extremely low-income. See Section 4.12 of this chapter for more information about income targeting requirements.

ITEMS TO CONSIDER BEFORE CLOSING WAITING LIST

- Are there enough applicants to account for contract turnovers and vouchers that are issued but do not result in a HAP contract?
- Does the PHA wish to continue to take applications from families that meet certain local preferences?
- Is there a sufficient number of extremely low-income families on the waiting list to satisfy income targeting requirements?
- How long is the average wait for the various categories of applicants (preference and non-preference) on the waiting list?

#### 4.5 PURGING/UPDATING A WAITING LIST

##### Importance of Purging

The waiting list should be kept as up-to-date as possible in order to minimize the number of “no-shows” and ineligible determinations. Depending upon how quickly a PHA’s waiting list turns over, information provided during the application process may become outdated. Factors that may require an applicant to update his or her application include: family move, change in income, change in family composition, change in welfare benefit, or change in circumstances affecting the applicant’s preference status.

Purging the waiting list prevents delays in leasing activities. When a waiting list is out of date, it can be very difficult, if not impossible, to reach applicants selected from the waiting list. Once they are contacted, their applicant status has often changed such that they no longer meet the PHA’s eligibility or selection criteria. If these delays occur regularly, they can result in a declining leasing rate. The primary goal in purging a waiting list is to obtain current information on interested applicants and to remove applicants no longer interested in participating in the program.

The administrative plan must state the PHA’s policy on when applicant names may be removed from the waiting list. For example, some PHAs remove an applicant from the waiting list after the family fails to respond to the PHA’s written invitation to attend an eligibility appointment. Other PHAs also remove the applicant’s name if this written invitation is returned by the post office and marked “undeliverable”.

## Fair Housing Requirements

A PHA's decision to withdraw from the waiting list the name of an applicant family that includes a person with disabilities is subject to reasonable accommodation requirements. For example, if an applicant family demonstrates that it failed to respond to a PHA's request for information due to a family member's disability, the PHA must decide whether to reinstate the family on the waiting list as a reasonable accommodation for the disability.

### *When to Purge the Waiting List*

When and how often a PHA should purge its waiting list and the extent of the purge depends upon a number of factors, including:

- *How quickly the PHA is running through its waiting list?*  
For example, if a PHA is selecting applicants from its waiting list who applied for assistance within the last 12 months, it may not be cost-effective to purge the waiting list. PHAs that use the lottery approach for accepting applications, as described below in Section 4.8, may not need to purge their waiting lists if they limit the number of names to be drawn to a number which they can expect to select within a reasonable period, i.e. 12-24 months.
- *The average number of families that need to be considered to result in a positive eligibility determination.* If the number of families that need to be considered in order to identify a family who is eligible to participate is becoming larger than is typical for the PHA, the PHA may want to consider purging its waiting list to remove families who are no longer interested in participating or are no longer eligible to participate.
- *Length of the PHA's waiting list.* PHAs with long waiting lists may find that it is not cost-effective to purge the entire waiting list. Instead, these PHAs may decide to purge only enough applicants to enable the PHA to have current information only on those applicant families who are likely to reach the top of the waiting list in the next 12 months.
- *Staff and financial resources available to the PHA for this purpose.* Purging can require significant staff time and money, depending upon the extent of the purge. The PHA should analyze the effort required to complete a purge and plan the effort in a manner that completes the work without disrupting productivity in other areas. If staff is not available but the urgency to purge exists, the PHA may want to consider contracting out this function. The important fact to bear in mind is that purging the waiting list to maintain a list of active applicants is more cost-effective than risking decreased leasing rates because of an outdated list.

#### PURGING THE WAITING LIST: FACTORS TO CONSIDER

- *How quickly are you running through the list?*
- *How many families do you consider to achieve one positive eligibility determination?*
- *How many families are on your waiting list?*
- *What staff and funds are available for purging effort?*

### *Procedures for Purging*

In general, PHAs should inform applicants of their responsibility to notify the PHA immediately of any changes affecting (1) their eligibility status or (2) the PHA's ability to locate the applicant. The PHA's policy regarding notification of changes in applicant status should be included in its administrative plan and explained both orally and in writing to applicants during the application process. Depending on the size of the waiting list, the PHA may want to consider making such notification a condition of maintaining an applicant's place on the waiting list.

A good purging procedure is one that is both cost-effective and ensures fair/adequate notice to all applicants!

PHAs may also establish a policy of removing applicants who do not respond to the PHA's request for information or updates. This policy must also be described in the PHA's administrative plan. Procedures for purging the waiting list vary from PHA to PHA. A description of one such procedure, which can be modified to fit an individual PHA's staffing arrangement, financial resources, and overall administrative procedures follows:

HUD rules do not describe specific procedures to purge a waiting list. However a purge typically begins with a standardized mailing to waiting list applicants, requiring a verification of continued interest. Applicants must complete a new preliminary application providing all information needed for placement on the waiting list, such as address and phone number, household composition, income, type of preference claimed and minority designation of the head of household. The update request should provide a deadline by which the application must be returned, and clearly explain what will happen if the application is not received by the deadline date.

If no response is received by the deadline, the applicant is removed from the waiting list. The removal should be carefully documented to prevent any disputes. For example, the original letter should be attached to the file with a note to the file indicating the date and reason for removing the applicant from the waiting list. If the letter is returned because the addressee could not be located, the returned letter should also be filed.

#### SAMPLE PROCEDURE FOR UPDATING THE WAITING LIST

- Send a notice by first class mail.
- For each notice returned marked "Addressee Unknown", close the application, attach the returned notice and envelope, and file and maintain for three years.
- For each application for which there has been no response and no returned notice, send a second notice by certified mail providing a final deadline. When the final deadline passes, close applications for which there has been no response and maintain the record of the certified delivery with the original application for a period of three years.



#### 4.6 MAINTAINING THE WAITING LIST

The waiting list format should contain sufficient information to allow the PHA to properly select families who are next eligible for a housing choice voucher according to the selection policy described in the administrative plan. The waiting list must include the following information about each applicant:

- Name;
- Family unit size (i.e., the number of bedrooms for which the family qualifies under the PHA's occupancy standards);
- Date and time of application;
- Qualifications for any local preference; and
- Racial or ethnic designation of the head of household.

A PHA may find it needs additional information on the waiting list for waiting list management tasks. A family's apparent qualification as very low-income or extremely low-income is essential for effective management of the income targeting requirement. A PHA using a lottery for placement on the waiting list will need to record the number indicating the applicant's lottery order.

The PHA must use a single waiting list for admission to its housing choice voucher program. However, a PHA operating in multiple jurisdictions may use a separate waiting list for a county or municipality.

If the PHA maintains separate waiting lists for its programs, the following rules apply:

- If the housing choice voucher waiting list is open when an applicant is placed on the waiting list for the PHA's public housing, project-based voucher, or moderate rehabilitation programs, the PHA must offer to place the applicant on its housing choice voucher waiting list.
- If the PHA's waiting list for its public housing, project-based voucher, or moderate rehabilitation programs is open when the applicant is placed on the housing choice voucher program waiting list, the PHA must offer to place the applicant on these other waiting lists, as long as the other programs include units suitable for the applicant.

A PHA may not take any of the following actions because an applicant has applied for, received, or refused other federal, state, or local housing assistance:

- Refuse to list the applicant on the housing choice voucher program waiting list;

- Deny any admission preference for which the applicant is qualified;
- Change the applicant's place on the waiting list based on preference, date and time of application, or other factors affecting selection under the PHA selection policy; or
- Remove the applicant from the waiting list.

Depending on the size of the PHA's housing choice voucher program and the sophistication of its systems, the waiting list can be anything from a simple card file system to an automated database system capable of electronically selecting applicants and producing helpful reports.

A PHA may merge its housing choice voucher waiting list with its waiting list(s) for admission to another assisted housing program, including a federal or local program. For example, a PHA can merge its housing choice voucher waiting list with its project-based voucher program, moderate rehabilitation program and/or public housing waiting list. When admitting an applicant family, admission for each federal program is subject to the federal regulations for that program.

### **Analyzing the Waiting List**

The waiting list should be analyzed periodically to ensure that it adequately represents the objectives of the housing choice voucher program. The results of this type of analysis can be used to adjust the outreach procedures.

The PHA's Annual Plan, which requires a statement of the community's housing needs, must include data from the waiting list. Waiting list data required include: the number of waiting list families with incomes below 30% of the area median income (extremely low-income families); the number of elderly families and families with disabilities; and the number of households by racial and ethnic groups. From this data, the PHA must identify the housing needs of each group addressing issues of affordability, supply, and accessibility.

#### WAITING LIST ANALYSIS

Are there a sufficient number and variety of applicants to ensure full utilization of the PHA's rental assistance resources?

Do the applicants represent a broad range of social and economic characteristics that are representative of the community?

Are those families determined least likely to apply adequately represented?

Will the PHA be able to satisfy income-targeting requirements with current applicants?  
See Section 4.12, below.

## 4.7 MAINTAINING WAITING LIST DOCUMENTATION

Applicant files must be retained for at least three years after the date an application is closed, withdrawn from the waiting list, or determined ineligible. Applications from families admitted to the program must be retained by the PHA for the duration of the families' participation in the program.

All files should be maintained in a place that assures confidentiality and access only by authorized staff. Although there are no federal confidentiality requirements, PHA management will want to remind application and admissions staff of the importance of applicant file confidentiality. Failure to provide confidentiality to program families may have a negative impact on the PHA's ability to obtain full and accurate family information.

The PHA should create a waiting list applicant file to hold the application and any related correspondence and supporting documentation. Active applicant files should be separated from ineligible or inactive applicant files. Applicant files should be organized in a way that provides an accurate and chronological history. This documentation is important because it gives the PHA a permanent written record of actions taken which affect the application. Actions that should be recorded include:

- Change in preference status
- Changes in family size and composition
- Change of address
- Withdrawal from the waiting list
- Determination of ineligibility

The condition of a PHA's program files is an indicator of the quality of its program administration!

PHAs should consider using a simple format to document all telephone and personal contacts with the applicant, including date, nature of the contact, and action taken. As eligible applicants are selected from the waiting list, determined eligible, issued a voucher, and lease under the program, the applicant file then forms the basis of the participant file.

### APPLICANT FILE MAINTENANCE SUGGESTIONS

1. Arrange file contents in chronological order.
2. Keep all related forms together.
3. Use a simple form to document contact with the applicant.
4. Maintain active and inactive applicant files separately.
5. Retain files for three years.
6. Assure confidentiality.

## 4.8 ACCEPTING APPLICATIONS

A PHA's method of accepting and processing applications again depends upon its particular circumstances. The following factors should be taken into consideration:

- Number of families expected to apply;
- Leasing rate and current and future availability of voucher assistance;
- Size of the housing choice voucher program;
- Number of applicants currently on the waiting list;
- Staff availability and workload; and
- Administrative constraints.

Some PHAs may also have court orders, voluntary compliance agreements, or other mandatory directives to consider.

The PHA must accept applications from families for whom the waiting list is open. Even when it is apparent to staff that a particular family may be found ineligible, any family requesting an application when the list is open must be allowed to apply. If in subsequent evaluations of the application, the household is found to be ineligible, the PHA must inform the family in writing of the reason for its ineligibility and of the family's right to request an informal review.

### Fair Housing Requirements

PHAs are required to make the application process accessible to elderly and disabled populations. The PHA's application site must be accessible, unless making it accessible would result in an undue financial or administrative burden. If the application site cannot be made accessible, the PHA must offer a reasonable accommodation that provides full access to the application process. If the method chosen does not accommodate the elderly or disabled populations, the PHA must make available an alternative application process for these populations.

#### REASONABLE ACCOMMODATION EXAMPLES

1. Providing the hearing impaired accessibility through TTD/TTY machines.
2. Providing a sign interpreter upon request.
3. Providing materials in Braille or on tape to persons with visual impairments.
4. Conducting home interviews for the elderly or persons with disabilities.

PHAs may use both traditional and non-traditional approaches to taking applications. While the traditional method tends to be in-person at the PHA offices or at a special short-term location, other approaches should be considered. Consider a mail-in application process, making home visits, a lottery or other random selection approach, accepting applications over the internet, printing an application in the local newspaper or developing an innovative approach that addresses local needs.

Some application-taking approaches result in a waiting list that is established based on date and time of application. In these instances, completing the application as early as possible is critical. When the method used is a lottery or other random selection process, the timing of application submission has no bearing on one's position on the waiting list, as long as the application is submitted by the specified deadline. Some approaches limit application taking to a defined period of time; others provide for the receipt of applications on an ongoing basis.

What is important is that the approach chosen accommodates the needs of the interested parties, takes into consideration staff resources and availability, and is an efficient means to achieving leasing goals. Consideration should be given to ways in which the application process can be expedited so as not to inconvenience families, particularly working families. Any method that results in applicants standing in long lines in order to receive and complete an application is an unwise choice. Not only is this method inefficient, it reflects poor customer service.

The following highlights a variety of options for taking applications and identifies possible advantages, disadvantages, and other issues for PHAs to consider when determining which approach, or combination of approaches, is most suitable for the PHA:

- *Regular office hours.* Applications can be taken on-site, during regular office hours either by appointment or on a walk-in basis. Taking applications by appointment eliminates long applicant lines and excessive waiting times, thereby promoting customer service. Taking applications by appointment may also be advisable in cases where staff are not available full-time to take applications, or there is an insufficient volume of applicants to warrant a full-time employee dedicated to this activity. A walk-in approach can work well provided the PHA has enough staff to handle the demand, and the demand is low enough that the process doesn't create chaos in the PHA office. Smaller PHAs may find taking applications on a walk-in basis particularly useful. With either approach, the PHA may wish to limit walk-in and appointment hours to, for example, once a week, mornings only, etc.
- *Specially-designated times.* In addition to or in lieu of taking applications at the PHA office during regular business hours, PHAs may offer the option to schedule an appointment during early morning, evening, or weekend hours to accommodate applicants who may be unable to appear during regular business hours due to work obligations, inability to obtain child care or transportation, or other hardship reasons. Although accommodating, this approach limits the times an applicant can apply, which can be seen as a customer disadvantage. Staff must be available to work during the off-hours, and the added staffing cost must be weighed against the numbers of eligible applicants placed on the waiting list as a result of this approach.
- *Specially designated locations.* PHAs who administer the program over a wide geographic area may wish to establish more than one location for taking applications. PHAs choosing this option should consider locations where there are heavy concentrations of potential applicants or a heavy concentration of a population group currently under-served by the program. This method is often appropriate for larger PHAs and may be a good mechanism for helping the PHA achieve its family outreach objectives. One concern is that this method may require more staff and staff time dedicated to the intake process.

- *Home visits.* Home visits are helpful to those applicants who are unable to reach the PHA office due to lack of transportation, illness, disability, hospitalization, and child care constraints.
- *Centralized application and referral center.* PHAs may establish one or more centralized application taking centers with shared staff. This approach increases the pool of applicants and can provide more comprehensive information on housing opportunities in a variety of areas. In the long term, it may also decrease the amount of staff and staff time dedicated to application intake. A spin-off of this approach is a centralized application center for a PHA's public housing and housing choice voucher programs.
- *Applications by mail and fax.* Instead of applying in person, applicants are required to complete and mail or fax a standardized application form. This approach works well when a pre-application form is used (see Section 4.9 below). It can also be used to accommodate an applicant who has difficulty traveling to the PHA office, either because of a disability, or because the family is living out-of-state and interested in relocating to the PHA's area. A mail-in or fax approach limits staff time spent servicing walk-in applicants, and scheduling and conducting applicant interviews. Some PHAs have designed application forms that can be recognized by a computer and automatically entered into a computer database, eliminating data entry by staff. Some PHAs prefer not to have applicants complete the full application form off-site because of the risk that questions will be interpreted or answered incorrectly. If a full application is mailed, follow-up phone calls or correspondence is often required to obtain additional information and to ascertain the accuracy of all entries on the application form prior to verification.
- *Applications by telephone.* Through the installation of an interactive voice response system, applications can be taken by telephone. When applicants call, the computer "asks" them to enter key information and "reads" the information back in a synthesized human voice. The system virtually eliminates staff time associated with taking applications, except for special cases where the applicant needs to speak with a specialist. Another benefit is that the system can operate 24 hours a day. Implementing this system requires a computer technician for programming, installation and regular maintenance. It also requires an initial outlay for the purchase of hardware and software.
- *Lottery or random selection approach.* Under this approach, the waiting list is not established based on date and time of application. Instead the PHA randomly orders applications to form its waiting list. If the PHA anticipates receiving far more applications than it can assist in a reasonable period of time, the lottery rules can be established in advance with a limit to the number of applications that will be placed on the waiting list. When the application deadline has passed, the PHA randomly selects the number of applications from a pool of all applications submitted. Those selected are randomly ordered on a waiting list. Applications not selected for the waiting list should be discarded. This approach works well when a pre-application form is used. It is suitable for large or medium PHAs where the demand for housing far exceeds availability. This method is time intensive, but only for a short period of

time, which the PHA can plan for in advance. PHAs may opt to run the lottery using existing staff, hire temporary help, or hire a private firm to manage the process.

#### A LOTTERY APPROACH

A PHA uses a lottery to construct a waiting list. Entry cards printed in several languages are distributed from sites at a pre-established date and time. Only one card per family is accepted. Applicants fill out the cards and return them by mail. The cards must be post-marked by a specified date. All of the accepted cards are held in a pool, and the PHA conducts drawings throughout a 12-month period using a computer-based, random selection procedure. The dates of the drawings are published in the local newspaper. Winning families are notified in writing regarding application procedures. The number of lottery cards drawn is intended to carry the PHA until the next drawing. Drawings occur one or twice a year or as needed by the PHA. At the end of the year, the entire application process begins again. One PHA using this approach reports that the percent of applicants called from the list who become successful leaseholders has increased from 35 to 80 percent with the implementation of the annual lottery.

## 4.9 PROCESSING APPLICATIONS AND APPLICATION CONTENT

HUD does not mandate the format or content for a housing choice voucher application or the method for processing applications. Families wishing to participate in the housing choice voucher program must complete an application according to the method required by the PHA. The family should apply using a written application form and sign the form upon completion.

### *Use of Preliminary Application Form*

Many PHAs opt to have applicants complete a streamlined, abbreviated pre-application form as the first step in the application process. The pre-application collects only the information that is required for placement of the family on the waiting list: name and address, family unit size, date and time of application, qualifications for any local preference, and racial or ethnic designation of the head of household. In addition, the pre-application should also ask for an estimate of annual income to comply with the PHA plan and income-targeting requirements. (See Section 4.12, below.)

Pre-applications are screened by PHA staff to determine initial eligibility and effectively screen out obviously ineligible applicants before placing them on the waiting list. If the PHA determines a family as ineligible, the PHA must notify the family in writing of the reasons for the determination and how the family may request an informal review. The PHA also must inform those applicants that are determined potentially eligible of their status and place them on the waiting list. The PHA does not complete a full application until the family is selected from the waiting list, just prior to the

#### ADVANTAGES OF PRE-APPLICATION

- *Allows for quick initial processing*
- *Screens out obviously ineligible applicants*
- *Defers completion of full application and eliminates need to reverify*
- *Limits delays in issuance*

expected availability of assistance. This deferral ensures that the information collected and verified is accurate and up-to-date when the voucher becomes available for issuance, so that the voucher can be issued as quickly as possible.

Use of the pre-application works best in situations where there will be a wait for assistance. This approach allows for expedient initial processing of the basic information required for the waiting list, screens out ineligible families, and defers the full application process so that when the full application is completed, the information collected is more accurate and timely. The preliminary application can easily be taken by mail, in a public setting with a large number of applicants present, or at the front desk of the PHA office. Exhibit 4-1, provides a sample preliminary application.

### *Full Application Form*

PHAs with no waiting list or a very short waiting list may opt to skip the pre-application and use only a full application form. Exhibit 4-2 provides a sample of a full application. The full application should provide the following:

- Information necessary to compute the family's annual income. This includes identification of all sources of income and how amounts are paid (annually, bi-annually, quarterly, monthly, bi-monthly, bi-weekly, weekly, etc.) and all assets.
- Information necessary to determine allowances and adjusted income. This includes information related to the number of dependents, type of family, and any childcare, disability, or medical expenses (elderly families only).
- Information to determine family composition and family unit size requirements.
- Information related to qualification and verification of preferences.
- Name and address of current and previous owner.
- Identification of persons with disabilities and special housing needs.
- Information on previous evictions from federally assisted housing.
- Information on arrests for use of controlled substances and activities related to abuse of alcohol and violent criminal activity.
- Information on any screening required by PHA policy.
- Statistical information for reporting/tracking purposes, such as race, ethnicity, household size, housing status.
- A certification that the information provided is accurate and complete.



The full application is best taken in a private interview situation. Many PHAs find it efficient to have the application form completed by its staff while the applicant family is present. This method assures that the application is completed accurately and consistently.

#### **4.10 PHA SELECTION PREFERENCES**

The PHA may, but is not required to, establish a system of preferences for the selection of families admitted to the program. PHA selection preferences must be described in the PHA administrative plan. Any system of local preferences must be consistent with the PHA plan and the Consolidated Plan under which the local PHA jurisdiction is covered. In addition, the preference system must be based on local housing needs and priorities, as determined by the PHA. In determining such needs and priorities, the PHA must use generally accepted data sources and consider public comment on the proposed PHA plan and the Consolidated Plan. Preferences affect only the order of applicants on the waiting list. They do not make anyone eligible who was not otherwise eligible, and they do not change the right of an owner or a PHA to adopt and enforce tenant screening criteria.

The PHA may not deny a local preference, nor otherwise exclude or penalize a family in admission to the program, solely because the family resides in a public housing development. The PHA may not provide a local preference for families who agree to participate in the family self-sufficiency program. The PHA may not adopt a preference for selection of higher income families over low-income families.

If a PHA wishes to change its current preference system, the PHA must give notice and opportunity for public comment. This requirement is applicable even if the new system is simply based on date and time of application. An opportunity for public comment can be a public meeting or an opportunity to submit written comment. The new participant selection system must be included in the PHA administrative plan and approved by the PHA before implementation. It must also conform to the Consolidated Plan for either the state or local government. PHAs must explain each type of preference to applicants and provide them with the opportunity to show that they are qualified for the preference.

The PHA may elect to adopt a preference for working families (families where the head, spouse or sole member is employed). A PHA that adopts a preference for working families must give the benefit of that preference to an applicant family if the head and spouse, or sole member is age 62 or older, or is a person with disabilities.

The PHA may limit the number of applicants that may qualify for any local preference. For applicants on the waiting list with the same preference status, the PHA may select among applicants using the date and time of application or use a drawing or other random choice technique.

The box on the following page provides examples of various types of local preferences that a PHA may, but is not required to, establish based on local housing needs and priorities. It should be noted that the Public Housing Reform Act of 1998 encourages PHAs to consider establishing a local preference for families that include victims of domestic violence.

Residency preferences are permitted and no longer require HUD approval, although they are subject to HUD audit and review for compliance with non-discrimination and equal opportunity requirements. A residency preference applies to applicants who are working or have been notified that they are hired to work in the locality as well as applicants already living in the PHA's jurisdiction. A residency preference may not be based on the length of time the applicant has lived or worked in the area. The PHA may treat graduates or participants of a training program designed to prepare individuals for the job market as "residents". A county or municipality may be used as a residency preference area. An area smaller than a county or municipality may not be used as a residency preference area.

#### EXAMPLES OF LOCAL PREFERENCES

1. Families residing in public housing that are victims of a crime of violence.
2. Persons who reside in a specified geographic area or who are working or have been hired to work in the same area, i.e. residency preference.
3. Working families, i.e. families where the head, spouse or sole member is employed. Applicant families where the head, spouse or sole member is age 62 or older or is a person with disabilities must be given the benefit of the working family preference.
4. Families that include a person with disabilities. The PHA, however, may not adopt a preference for admission of persons with a specific disability.
5. Families that include victims of domestic violence.
6. Single persons who are age 62 or older, displaced, homeless, or a person with disabilities.
7. Families living in substandard housing.
8. Families that are involuntarily displaced.
9. Families paying more than 50 percent of gross monthly income for rent and utilities.

PHAs should adopt procedures for verifying preferences. PHAs do not have to verify a preference at the time of initial application. At the time of initial application, the applicant only needs to certify as to whether or not it is eligible for a preference, and the PHA need only place the applicant on the waiting list according to the preference claimed. Before the family receives assistance, however, the PHA must verify the family's eligibility for the preference based on current circumstances. If upon verification the PHA determines that the family does not qualify for the preference claimed, the family does not receive the preference. In this situation, the PHA must provide a written notice stating the reasons for the determination.

It is the responsibility of the PHA to clearly define its preferences. For example, the PHA must define what it means by “working family”. Is a family in training included? How will the PHA make certain persons with disabilities and elderly applicants know they qualify when a PHA has a working preference?

When identifying local preferences, it is important to simplify the definitions to the extent possible so that families claiming preferences clearly understand what they are claiming, and preferences can be more easily verified.

PHAs with complex preference systems should consider whether the system is more complex than it needs to be. Is the preference achieving the desired result? Does the result achieved justify the additional administrative burden on the part of PHA staff to administer the preference system? One drawback of a complex preference system is that SEMAP Indicator 1, Selection from the Waiting List, becomes more difficult and time-consuming to monitor. More staff time must be devoted to conducting quality control and ensuring accuracy in selecting applicants from the waiting list and determining applicant eligibility. The method of selecting applicants from a preference category must leave a clear audit trail that can be used to verify that each applicant has been selected in accordance with the method specified in the PHA administrative plan.

#### **4.11 SELECTION FROM THE WAITING LIST**

As vouchers are expected to become available, the PHA selects eligible applicants from the waiting list in order to begin the eligibility determination, voucher issuance, and leasing processes. Except for special admissions, participants must be selected from the housing choice voucher program waiting list. The PHA must select participants from the waiting list in accordance with HUD regulations and requirements and in compliance with admission policies in the PHA’s administrative plan. The PHA’s admission policy must describe the PHA’s system of preferences that is used to select applicants from the waiting list, including any residency or other local preference. The PHA must organize its waiting list and maintain the information necessary to select according to its policies.

If the PHA does not have a system of local preferences, applicants are selected from the waiting list in sequence according to the date and time of their applications or the result of the random drawing. If the PHA has a preference system, the applicant that qualifies for a preference may be issued a housing choice voucher before an applicant that applied earlier but has no preference. (See Section 4.10, above, for a discussion of preferences.) The PHA may never select families for admission to the program in an order different from the order on the waiting list for the purpose of selecting higher income families for admission to the program.

The order of selection from the waiting list must not be based on family size, or on the family unit size for which the family qualifies under the PHA’s occupancy policy. Waiting lists maintained by family unit size are illegal. If the PHA does not have sufficient funds to subsidize the unit size requested by the family at the top of the waiting list, the PHA may not skip the top family to admit an applicant with a smaller family unit size. Instead, the family at the top of the waiting list must be admitted when sufficient funds are available.

Admission to the program cannot be based on where the family lived before admission to the program or on where the family will live with assistance under the program. One exception is that a PHA may give a selection preference to families who live in public housing or other federally assisted housing, or may adopt a local residency preference.

Although a PHA can establish a preference system to admit families with certain characteristics from the waiting list, admission to the program must never be based on the following:

- The presence of family members that include unwed parents, recipients of public assistance, or children born out of wedlock;
- Family includes children;
- Age, race, color, religion, sex or national origin;
- A family decision to participate in a family self-sufficiency program; and
- Persons with a specific disability.

#### **4.12 INCOME TARGETING REQUIREMENTS**

At least 75 percent of the families who are admitted to a PHA's housing choice voucher program during the PHA fiscal year must be extremely low-income. Extremely low-income families are those with incomes at or below 30 percent of the area median income. Income limits are posted on the internet through HUDUSER. The annual gross income of the applicant family is used for income-targeting purposes. Annual income must have been verified within the 60 days prior to issuance of the voucher. A PHA must meet its income targeting requirement over the course of the PHA's fiscal year. In other words, deviations from the 75 percent extremely low-income target are allowed during the year as long as the target is met by the year's end.

With HUD approval, a PHA may admit a lower percentage of extremely low-income families. Such a lower percentage must be consistent with the agency's PHA plan. It must also be based on HUD's determination that certain circumstances necessitate the use of a lower percentage, such as the following:

- The PHA has opened its waiting list for a reasonable time for admission of extremely low-income families residing in the same metropolitan statistical area (MSA) or non-metropolitan county, both inside and outside the PHA jurisdiction;
- The PHA has notified the public of the opening, and has conducted outreach and marketing to extremely low-income families. This marketing and outreach must target families on the waiting lists for the housing choice voucher and public housing programs at other PHAs with jurisdiction in the same MSA or non-metropolitan county;

- Despite the actions taken above, there are not enough extremely low-income families on the PHA's waiting list to fill available slots in the program during any fiscal year for which use of a lower percentage is approved by HUD; and
- Admitting additional very low-income families to the program, other than extremely low-income families, will substantially address worst-case housing needs, as determined by HUD.

PHAs participating in the welfare-to-work voucher program (WtW) may request HUD approval for an exemption from the income-targeting rule for WtW families. HUD will only approve such a waiver if and to the extent that the PHA has demonstrated to HUD's satisfaction that compliance with income-targeting obligations would interfere with the objectives of the WtW Program. If HUD approves an exemption, families admitted to the WtW program are not counted in the base number of families admitted to a PHA's housing choice voucher program during the fiscal year for the purposes of income-targeting.

When determining whether the PHA is in compliance with income-targeting requirements, the PHA does not have to include a low-income family that is "continuously assisted" under the 1937 Housing Act in its calculation. The same applies for a low-income or moderate-income family that is displaced as a result of the prepayment of the mortgage or voluntary termination of an insurance contract.

If the jurisdictions of two or more PHAs administering the housing choice voucher program cover an identical geographic area, these PHAs may elect to be treated as a single PHA for income-targeting purposes. In these cases, the PHAs must cooperate to assure that their aggregate number of admissions comply with income-targeting requirements. If such PHAs do not operate under the same fiscal year, HUD will determine which fiscal year is to be used for income-targeting purposes.

If a family initially leases a unit outside the PHA jurisdiction under portability procedures at admission to the voucher program, such admission shall be counted against the targeting obligation of the initial PHA, unless the receiving PHA's absorbs the portable family, in which case the family is considered an admission by the receiving PHA voucher program and is counted in the receiving PHA's income-targeting calculation.

### **PHA Considerations**

The PHA will need to regularly monitor the income levels of its waiting list applicants and new admissions in order to be sure that it will meet its income-targeting requirement by the end of its fiscal year. To do this, a PHA should take the following steps:

- Step 1: Collect the data necessary to estimate the annual gross incomes of waiting list applicants. A PHA that uses a pre-application process must make sure its pre-application contains this data.
- Step 2: Estimate the number of families it expects to admit over the course of its fiscal year.

- Step 3: Estimate the number of families it will need to select from its waiting list in order to admit the number of families identified in Step 2.
- Step 4: For the total number of families identified in Step 3, use data collected in Step 1 to determine what percentage may be expected to fall in the extremely low-income category.
- Step 5: With this information, begin admitting applicants according to the selection criteria contained in the PHA administrative plan.
- Step 6: Monitor admissions to determine the actual percentage of extremely low-income families who are admitted into the program. If, based on the figure identified in Step 4, the PHA anticipates difficulty meeting the seventy-five percent income targeting requirement, it should monitor admissions more frequently, such as monthly. If, based on the figure identified in Step 4, the PHA expects to easily meet the seventy-five percent income-targeting requirement, it can monitor less frequently, such as quarterly. The admissions report in the Multifamily Tenant Characteristics System (MTCS) provides the data needed to monitor income targeting performance.
- Step 7: If it is clear from the data collected in Step 6 that the PHA is not going to meet the income-targeting requirement:
- Step 7A: Suspend that part of the PHA's existing selection policy that discourages admission of extremely low-income families.
- Step 7B: Implement a strategy for reaching out to extremely low-income families on the waiting list.
- Step 7C: Aggressively market to extremely low-income families.

*Note: Substep A requires that the PHA establish in its PHA administrative plan a policy that enables it to suspend its current selection procedures and implement a new (already defined) procedure in order to meet income-targeting requirements.*

#### **4.13 SPECIAL ADMISSIONS/NON-WAITING LIST ADMISSIONS**

##### **Background**

HUD may award a PHA special program funding that is targeted for families living in specified units. For example, special housing choice voucher program funding can be targeted to:

- Families displaced because of demolition or disposition of a public housing development;
- Families residing in a multifamily rental housing project when HUD sells, forecloses or demolishes the project;

- For housing covered by the Low Income Housing Preservation and Resident Homeownership Act of 1990 (LIHPRHA), non-purchasing families residing in a project subject to a homeownership program or families displaced because of a mortgage prepayment or voluntary termination of a mortgage insurance contract;
- Families residing in a project covered by a project-based Section 8 HAP contract at or near the end of the HAP contract term; and
- Non-purchasing families residing in a HOPE I or HOPE II project.

If HUD awards program funding that is targeted for families living in specified units, the PHA must use the assistance for the families living in these units. The PHA must maintain records showing that the family was issued a HUD-targeted voucher.

Units leased by non-waiting list admissions are not counted when calculating a PHA's performance under SEMAP Indicator 1.

#### **4.14 SEMAP INDICATOR 1, SELECTION FROM THE WAITING LIST**

SEMAP Indicator 1 measures two aspects of a PHA's management of its waiting list and selection activities:

- Whether the PHA has written policies in its PHA administrative plan for selecting applicants from the waiting list.
- Whether the PHA follows these policies when selecting applicants for admission from the waiting list.

To receive the 15 points for this indicator, the latest independent audit report must state that the PHA has written waiting list selection policies. It must also state that, based on a random sample of the PHA's applicants and admissions, 98 percent of families in the sample were selected from the waiting list in accordance with the PHA written policy and met the selection criteria that determined their places on the waiting list and their order of selection.

Tracking and monitoring performance under SEMAP Indicator 1 requires that PHA staff maintain an up-to-date administrative plan and conduct routine internal audits of the waiting list selection process. The purpose of the audits should be to confirm that staff consistently select from the list according to established policy and include clear selection documentation in each new participant file. As part of this process, errors should be documented and monitored and staff should be trained in policies and procedures accordingly. Similarly, routine internal audits of recent admissions should be conducted to verify that these determinations were made according to the PHA's admission policies and HUD regulations.

In addition to monitoring staff procedures, PHAs with automated systems may want to review their waiting list software to verify that the software is properly programmed to make selections according to PHA policy. This review is particularly important if policies have recently changed.

SAMPLE

EXHIBIT 4-1

**HOUSING CHOICE VOUCHER PROGRAM PRE-APPLICATION**

**1. HEAD OF HOUSEHOLD INFORMATION**

Last Name \_\_\_\_\_ First Name \_\_\_\_\_ Middle Initial \_\_\_\_\_

Social Security Number \_\_\_\_\_ Date of Birth \_\_\_\_\_

Mailing Address \_\_\_\_\_

(City) \_\_\_\_\_ (State) \_\_\_\_\_ (Zip Code) \_\_\_\_\_

Telephone number \_\_\_\_\_ Alternate Telephone number \_\_\_\_\_

**2. INFORMATION ABOUT SPOUSE**

Last Name \_\_\_\_\_ First Name \_\_\_\_\_ Middle Initial \_\_\_\_\_

Social Security Number \_\_\_\_\_ Date of Birth \_\_\_\_\_

**3. HOW MANY PEOPLE WILL LIVE IN THE UNIT? Please include yourself. \_\_\_\_\_**

**ADULTS** \_\_\_\_\_ Male \_\_\_\_\_ Female \_\_\_\_\_ **CHILDREN** \_\_\_\_\_ Male \_\_\_\_\_ Female \_\_\_\_\_

**4. DO ANY PERSONS WHO WILL LIVE IN THE UNIT HAVE A DISABILITY? Yes No**

**5. I WOULD LIKE MY NAME PLACED ON THE PUBLIC HOUSING WAITING LIST.**

Yes  No

**6. FOR HUD STATISTICAL PURPOSES ONLY**

Please identify your race and ethnicity by checking one box in each of the two categories below:

**Check One:**

- White
- Black/African American
- American Indian/Alaska Native
- Asian
- Native Hawaiian/Other Pacific Islander

**Check One:**

- Hispanic or Latino
- Not-Hispanic or Latino

**7. SOURCE(S) OF FAMILY INCOME; CHECK ALL THAT APPLY AND IDENTIFY AMOUNT:**

- Wages \_\_\_\_\_
- Social Security \_\_\_\_\_
- SSI \_\_\_\_\_
- TANF/Welfare \_\_\_\_\_

**8. I CERTIFY THAT THE ABOVE INFORMATION IS ACCURATE AND COMPLETE.**

I understand that submission of false information or misrepresentation may result in loss of eligibility to participate in the housing choice voucher program.

Date \_\_\_\_\_ Signature of Head of Household \_\_\_\_\_



This preapplication is NOT an official HUD form. Please review and revise the form to conform to state and local law and PHA procedures.

**EXHIBIT 4-2**

Date: \_\_\_\_\_ Time: \_\_\_\_\_

**SAMPLE**

**FULL APPLICATION FOR ADMISSION TO THE HOUSING CHOICE VOUCHER PROGRAM**

APPLICANT NAME \_\_\_\_\_ APPLICATION NO.: \_\_\_\_\_  
 CURRENT ADDRESS \_\_\_\_\_ APT. NO.: \_\_\_\_\_  
 CITY, STATE, ZIP CODE \_\_\_\_\_  
 HOME PHONE \_\_\_\_\_ HEAD HH WORK NO. \_\_\_\_\_ SPOUSE WORK NO. \_\_\_\_\_

HOUSEHOLD COMPOSITION AND CHARACTERISTICS

1. List the Head of Household and all other members who will be living in the unit. Give the relationship of each family member to the head.

MEMBER NO.	MEMBER'S FULL NAME	RELATION TO HEAD	BIRTH DATE	AGE	SEX	SOCIAL SECURITY NO.

2. Race of Head of Household: (Check one - used for statistical purposes only)  
 White      Black       American Indian/Alaskan Native       Asian       Native Hawaiian/Other

3. Ethnicity of Head of Household (Check one)  
 Hispanic or Latino       Not-Hispanic or Latino

4. Does anyone live with you now who is not listed above?      Yes       No  
 5. Does anyone plan to live with you in the future who is not listed above?      Yes       No

Explain if you answered yes to either question: \_\_\_\_\_

\*6. Is head of household or spouse a person with disabilities?      Yes       No

\*7. Please identify any special housing needs your household has.  
 \_\_\_\_\_

8. How many people live in your unit now? \_\_\_\_\_ How many bedrooms do you have? \_\_\_\_\_

9. Do you wish to move?  Yes  No If yes, why? \_\_\_\_\_

10. Are you now living in a federally subsidized housing unit?      Yes      No

11. Have you ever lived in Public Housing?  Yes  No If yes, where? \_\_\_\_\_

12. Have you ever participated in the Certificate or Voucher Program?      Yes      No

If yes, enter the date(s) of occupancy: \_\_\_\_\_

13. Have you ever been evicted from public housing, Indian Housing, a Section 23 or Section 8 program?      Yes  No

If yes, provide the following information: When? \_\_\_\_\_ For what reason? \_\_\_\_\_

Name of Housing Authority or owner \_\_\_\_\_

14. Have you ever been arrested for illegal use of a controlled substance or activities related to an abuse of alcohol?  
 Yes       No

15. Name and address of current landlord: \_\_\_\_\_ Phone: \_\_\_\_\_

16. Your last address: \_\_\_\_\_ Dates you lived there: from \_\_\_\_\_ to \_\_\_\_\_

17. Name and address of previous landlord: \_\_\_\_\_  
 \_\_\_\_\_ Phone: \_\_\_\_\_

\*These questions are asked only for the purposes of calculating total tenant payment and determining the family's need for an accessible unit.

This application is NOT an official HUD form. Please review and revise the form to conform to state and local law and PHA procedures.

**INCOME AND ASSET INFORMATION**

Please answer each of the following questions. For each "yes," provide details in the charts below.

- YES**    **NO**        Does any member of your household:
- Yes  No    1.        Work full-time, part-time, or seasonally?
  - Yes  No    2.        Expect to work for any period during the next year?
  - Yes  No    3.        Work for someone who pays them cash?
  - Yes  No    4.        Expect a leave of absence from work due to lay-off, medical, maternity, or military leave?
  - Yes  No    5.        Now receive or expect to receive unemployment benefits?
  - Yes  No    6.        Now receive or expect to receive child support?
  - Yes  No    7.        Have an entitlement to receive child support that he/she is not now receiving?
  - Yes  No    8.        Now receive or expect to receive alimony?
  - Yes  No    9.        Have an entitlement to receive alimony that is not currently being received?
  - Yes  No    10.      Now receive or expect to receive public assistance (welfare)?
  - Yes  No    11.      Now receive or expect to receive Social Security benefits?
  - Yes  No    12.      Now receive or expect to receive income from a pension or annuity?
  - Yes  No    13.      Now receive or expect to receive regular contributions from organizations or from individuals not living in the unit?
  - Yes  No    14.      Receive income from assets including interest on checking or savings accounts, interest, and dividends from certificates of deposit, stocks or bonds, or income from rental property?
  - Yes  No    15.      Own real estate or any assets for which you receive no income (checking account, cash)?
  - Yes  No    16.      Have you sold or given away real property or other assets (including cash) in the past two years?

MEMBER NO.	SOURCE OF INCOME/TYPE OF INCOME	ANNUAL INCOME

**ASSETS**

1.        List all checking and savings accounts (including IRAs, Keogh accounts, and Certificates of Deposit) of all household members.

MEMBER NO.	BANK NAME	TYPE OF ACCOUNT	ACCOUNT NUMBER	BALANCE

2. List the value of all stocks, bonds, trusts, pensions, or other assets owned by any household member:  
\_\_\_\_\_  
\_\_\_\_\_
3. List the value of any assets disposed of for less than fair market value during the past two years:  
\_\_\_\_\_  
\_\_\_\_\_

**EXPENSES**

- Yes  No  Do you have expenses for child care of a child aged 12 or younger?  
If yes, provide the name, address, and telephone number of the care provider:  
\_\_\_\_\_  
\_\_\_\_\_
- What is the weekly cost to you of the child care?  
Yes  No  Do you pay a care attendant or for any equipment for any household member(s) with disabilities necessary to permit that person or someone else in the household to work?  
If you pay a care attendant, provide the name, address, and telephone number:  
\_\_\_\_\_  
\_\_\_\_\_
- What is the cost to you for the care attendant and/or the equipment?

**Elderly Families Only**

- Yes  No  Do you have medicare? If yes, what is your monthly premium?  
Yes  No  Do you have any other kind of medical insurance? If yes, provide name and address of carrier, policy number, premium amount, and agent's name.  
\_\_\_\_\_  
\_\_\_\_\_
- Yes  No  Do you have outstanding medical bills which you are paying? If yes, list them below.  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_
- What medical expenses do you expect to incur in the next twelve months?  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_
- If you use the same pharmacy regularly, please provide the name and address.  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

**All Families** List names, addresses, and phone numbers of two relatives or friends who generally know how to contact you.

1. \_\_\_\_\_ 2. \_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

**APPLICANT CERTIFICATION**

I/We certify that the information given to the \_\_\_\_\_ (HA) \_\_\_\_\_ on household composition, income, net family assets, and allowances and deductions is accurate and complete to the best of my/our knowledge and belief. I/We understand that false statements or information are punishable under Federal law. \*I/We also understand that false statements or information are grounds for termination of housing assistance and termination of tenancy.

Signature of Head: \_\_\_\_\_ Date: \_\_\_\_\_  
Signature of Spouse: \_\_\_\_\_ Date: \_\_\_\_\_  
HA Representative: \_\_\_\_\_ Date: \_\_\_\_\_

NOTE TO APPLICANTS: If you believe you have been discriminated against, you may call the Fair Housing and Equal Opportunity National Toll-free Hot Line at (800) 424-8590.

\*Add state law, if applicable.