

## **Exhibit 2-6**

### **Waiting List Management**

AHFC must manage a waiting list consistent with written policies to establish the order in which housing offers are made to qualified applicants. It is important to assure that a waiting list has a sufficient number of eligible applicants so that vacant units are rented as quickly as possible to eligible applicants. Leaving the waiting lists open, when assistance may be years away:

- Gives false hope to families that assistance will be available in the near future.
- Hinders families from making realistic plans.
- Causes AHFC unnecessary application processing costs.

#### **2-6.1 ANTICIPATING WAITING LIST SIZE**

Staff can anticipate the number of applications needed to maintain a healthy waiting list by:

- Reviewing available vacancies, vacancy trends, and turnover reports each month.
- Considering the average amount of time that it takes a family from the waiting list to complete the eligibility and rental assistance process.
- Considering the average number of applicants needed to issue one offer of assistance. Staff should consider the:
  - a. Number of responses to interview notification letters
  - b. Number of appointments that do not show
  - c. Number of applicant families that fail to meet eligibility criteria during the interview process
  - d. Number of applicant families that fail to move in once an offer of a unit is made

#### **2-6.2 CLOSING A WAITING LIST**

The Public Housing Director or designee will decide when to close or open a waiting list. AHFC will provide a minimum two week (14 calendar days) public notice prior to closing a waiting list.

At a minimum, the public notice process will include publication of a legal notice in the local newspaper, publication of the notice on AHFC's website, and notification to community housing providers.

AHFC will consider closing a waiting list where one or more of following conditions exist:

1. If the average waiting time is more than 24 months or it is no longer possible to provide applicants a reasonable time of when rental assistance may be available.
2. The waiting list includes a sufficient number of extremely low-income families (below 30% of Area Median Income) to continue to serve those most in need.

### **2-6.3 OPENING A WAITING LIST**

AHFC will consider reopening a waiting list when the condition(s) for closing the waiting list are addressed.

1. The same public notice process used to close a waiting list will be used to notify all potential applicants that a waiting list is reopened.
2. AHFC may set a period for acceptance of applications, such as a number of days or weeks, depending on the anticipated number of applications needed.
3. AHFC staff may choose to not accept applications in person at site locations when a waiting list reopens. AHFC may choose one or all of the following application submission requirements: 1) mailing; 2) drop-off at a designated location, or 3) on-line submission.

AHFC may apply one of the following methods of ranking new applicants depending upon the number of applications needed and the number received. AHFC will enter all the applications received for the open list(s). AHFC may:

1. Apply a lottery to the entire list to rank and then choose the number of applicants that can reasonably be expected to be housed in the following 24 months; or
2. Screen applications for eligibility by date and time and apply any preferences or combination of preferences; or
3. Screen applications for predefined income levels using date and time of application.

Prior to reopening a waiting list, AHFC will provide public notice of the ranking criteria that will be used to select applicants from a waiting list.

### **2-6.4 PULLING THE WAITING LIST**

Applicants from the waiting list will be offered an opportunity for assistance in order of placement on the waiting list.

### **2-6.4.A Terminology**

The following computer software terms are associated with the waiting list process.

#### **1. Generate**

This function ranks applicants on a waiting list. Each time this function is run, applicants are assigned a number on a waiting list according to the rules for that list. For example, if the list is being ordered by date/time of application, all applicants will be sorted according to that criterion.

#### **2. Print**

This function allows staff to obtain a copy of a particular waiting list generation date. Formerly, staff used to call this function “pulling” the waiting list. Policy uses both terms for the same function.

#### **3. Selection**

This is the process to choose an applicant from a waiting list. Running this function in the software removes the applicant from the waiting list and puts him/her into “selected” status. This function should only be run when staff is actually ready to work an applicant.

### **2-6.4.B Waiting List Generation**

This function is performed by the Central Office. Each week (Friday morning is preferred), Central Office will generate the waiting lists to ensure applicants are properly ranked.

#### **1. Historical/Statistical Record**

On the first working day of each month, Central Office will generate and print a copy of every waiting list for statistical and historical purposes.

#### **2. Exhausted Lists**

If staff exhausts a waiting list, staff will enter applications according to the instructions in Chapter 2 before contacting Central Office. Central Office may generate a particular waiting list upon request by staff due to circumstances that fall outside the normal generation schedule.

### **2-6.4.C Waiting List Pulls**

The waiting list will be pulled and applicants selected according to the type of waiting list.

## 1. Waiting Lists with Preferences

- a. Staff will print (pull) a waiting list **every other month** between the 6<sup>th</sup> and 12<sup>th</sup> of the respective month.
- b. Staff will choose the most recent generation version of the waiting list. The generation date does not have to be between the 6<sup>th</sup> and the 12<sup>th</sup>.
- c. Staff is not required to print an entire list at one time as each generated version of a waiting list is saved in a historical record.
- d. This waiting list generation date will be used until exhausted or until the next regularly scheduled time to pull a new waiting list (whichever comes first).
- e. Staff will select applicants from the waiting list and work in accordance with actual and projected unit availability.

## 2. Waiting Lists by Date/Time

- a. Staff will print (pull) a waiting list **every other month** between the 6<sup>th</sup> and 12<sup>th</sup> of the respective month.
- b. Staff will choose the most recent generation version of the waiting list. The generation date does not have to be between the 6<sup>th</sup> and the 12<sup>th</sup>.
- c. Staff will select applicants from the waiting list and work in accordance with actual and projected unit availability.
- d. If a waiting list is exhausted, a new list must be generated before beginning the selection process.

### 2-6.5 APPLICANT SELECTION

The Public Housing Division's department goal is to lease 100 percent of all S8N Multifamily Housing units. Staff will select applicants in the order they are listed on the waiting list. Staff may continue to select and schedule applicants up until the day before the next waiting list pull. This will cause some overlap between an "older" waiting list and the "new" waiting list. That is okay. Staff can anticipate the number of applications needed to keep units leased by:

1. Looking for vacancy trends using the Occupancy Rate reports in the computer database.
2. Considering the average number of applicants needed to lease a unit, including: number of applicants that respond to interview notifications, no shows to appointments, the location of the vacant unit, and the ability of applicants to give notice and pay required deposits.

Refer to the Administrative Desk Manual, Building Waiting List History, for assistance with selecting applicants using the computer software.

### **2-6.5.A Applicant "Skip" Requests**

When an applicant is selected from a waiting list, the applicant may request to be "skipped" for a particular waiting list pull. When an applicant is skipped, it means that the applicant does not incur any penalty. The applicant does not receive any "favored" placement on subsequent waiting lists and will be ranked according to the date/time of his/her application and any applicable preferences.

#### **1. Skip Request Information**

Applicants must put their request to skip in writing. The applicant must include his/her name, the date of the request, and the reason that the applicant wishes to be skipped on the particular waiting list.

If an applicant is unable to put the request in writing due to extenuating circumstances, staff may complete the request on an applicant's behalf. Staff may document a skip request by using the *Client File Notes* (form PW300). The request will be filed with the applicant's application documentation.

#### **2. Skip Request Justification**

Requests to be skipped on a waiting list should be based on reasonable mitigating or extenuating circumstances. Examples would include hospitalization, completion of a treatment program, a death in the family, short-term care of a family member outside the state, etc.

Staff will exercise prudent, professional judgment when deciding whether to allow an applicant to be skipped on a waiting list or whether the applicant must be withdrawn.

#### **3. Waiting List Annotation**

Staff must annotate the skipped waiting list entry. An example would be "skipped at applicant request" with the date and time of the applicant's request to skip.

### **2-6.5.B Senior/Disabled Housing Selection**

Multifamily Housing Senior/Disabled units have their own waiting list. For these units, the head of household, spouse, or co-head must be a person with a disability or at least 62 years of age. Staff will select individuals from these waiting lists in the order they appear.

See the Administrative Desk Manual, Application Entry, for instructions when posting these applications.

### **2-6.5.C Exhausting a Waiting List**

In some communities, larger bedroom sizes can be difficult to fill due to an insufficient number of applicants. Once a waiting list for a bedroom size has been exhausted, staff will work the remaining waiting lists as follows:

1. Staff will pull the waiting lists for the bedroom size that is both one bedroom smaller and one bedroom larger. For example, if the three bedroom waiting list is exhausted, staff will pull the four bedroom and the two bedroom waiting lists.
2. Looking at both lists, staff will rank applicant families by the date/time of their application.
3. Staff will work the combined list in the new date/time order.
4. If the new combined list is exhausted, staff will again pull the waiting lists for the bedroom sizes that are both larger and smaller and repeat the ranking process in Step 2 above.

### **2-6.5.D Under-Housed Families**

Due to waiting list constraints, AHFC may need to under-house a family in a unit.

#### **1. Family Choice**

An applicant family may choose to be under-housed in a unit as long as the family size is within the occupancy standard guidelines. This family is not eligible for a transfer unless family size changes. Families are responsible for the rent associated with the unit size.

#### **2. AHFC Offer**

Staff may under-house an applicant family as long as the family size is within the occupancy guidelines. The family is responsible for the rent associated with the unit size. The family may choose to reject the unit and remain on the waiting list.

For units that must be filled outside of occupancy standard guidelines, staff needs supervisory approval. Staff will place a copy of the approval in the file.

## **2-6.6 POOL FILES**

Staff may accumulate eligible applicant files in excess of available units because:

- Applicants scheduled for eligibility interviews from a prior waiting list are still in the eligibility determination process.
- A family provides good cause for declining a unit and is placed in the pool;
- In order to decrease issuance time and increase leasing rates, staff prepares a few extra applicant files to account for units which become available during or between waiting list pulls.

These files are often called “pool” files.

### **2-6.6.A Applicant Eligibility Interview Files**

AHFC will allow a family to complete the eligibility process once a family has been notified (through the *Interview Notification* (form AP109) or a record of telephone conversation (using form PW300 *Client Notes*)) assistance may be available.

- Staff does not have to complete the eligibility process before the expiration of the waiting list.
- Staff does have to make the eligibility determination before the expiration of the next waiting list.

An eligibility determination means that the family receives an offer of admission **OR** an *Ineligibility Notice* for failure to meet eligibility criteria.

#### **Example: Applicant Eligibility Files**

Staff pulls a waiting list on February 10. Staff sends a set of *Interview Notification* letters on March 30. Staff pulls a new waiting list on April 6. All families notified on March 30 are allowed to schedule an eligibility interview and complete the process. The eligibility determination must be made before the April 6 waiting list expires. This is normally the day before the next scheduled waiting list is pulled in June.

### **2-6.6.B Unanticipated Vacancies**

Staff may create pool files for unanticipated vacancies. Applicant files completed from a prior waiting list may be held for vacancies that become available during the next waiting list pull. Any pool files not briefed and issued by the end of the following waiting list period will be returned to the waiting list with their appropriate ranking.

#### **Example: Vacancy Pool File**

Staff pulls a waiting list on August 6 and works the list through September 30. Staff pulls a new waiting list on October 6.

1. Staff determined eligibility for two files from the August 6 waiting list.
2. There were no available units.
3. These files may be held in the pool and will expire the day before the next scheduled waiting list pull in December.
4. If a unit is not available or accepted by the day before the next waiting list is pulled in December, the files will be returned to the waiting list with their proper ranking.

### **2-6.6.C Verification Expiration**

Because files may be held from one waiting list to the expiration of the next waiting list, verifications may expire. Staff must update any expired verifications before housing an applicant from the pool. See Chapter 3 for Time-Limited Verifications.

## **2-6.7 APPLICATION STATUS**

Applicants may request information regarding their approximate waiting time with proper identification. Proper identification may include the last four digits of the client's social security number. AHFC will not release any information regarding the applicant family except to a source authorized by the family in writing or by such authorized agents as listed in Chapter 1.

### **2-6.7.A Application Update**

Applicants must provide AHFC written notice of any changes in mailing address or family composition while they are on the waiting list. Upon receipt of written notification from the applicant, staff will change family composition and income, change mailing addresses, and otherwise keep the computer information current.

### **2-6.7.B Application Removal**

Staff may withdraw an application at any time from a waiting list for the following reasons:

1. The applicant requests to be withdrawn.
2. The applicant declines the offer of a voucher. The applicant's decline of an offer of assistance does not affect their status on any other waiting lists.
3. The applicant reports changes that make the family ineligible.
4. The applicant fails to submit required verifications or attend an eligibility appointment.

For all instances above, staff will send an *Ineligibility Notice* (form AP110) to the applicant. Staff will include the *Applicant Informal Review* (form SN502) with the letter.

### **2-6.7.C Returned Mail**

If any notice or appointment letter to the applicant is returned by the postal service unopened or as undeliverable, AHFC will withdraw the applicant from the waiting list. Staff will not send an *Ineligibility Notice* for returned mail due to an incorrect address; staff will make a note in the "memo" field regarding the reason for the withdrawal. It is the applicant's responsibility to keep AHFC updated with the current mailing address.

### **2-6.8 PURGING THE WAITING LIST**

AHFC must ensure that the waiting list is kept current in order to minimize the number of “no-shows” and “ineligible” determinations. Central Office or the local AHFC office periodically mails update letters to applicants. Applicants are given a time frame to respond. Failure to respond will result in withdrawal of the applicant’s name from the waiting list.

When an applicant’s name is withdrawn from a waiting list due to a waiting list update process, staff will not send the *Ineligibility Notice* (AP110). The waiting list update letter advises the applicant that his/her application will be removed for failure to respond.

### **2-6.9 APPLICATION REINSTATEMENT**

If an applicant who was withdrawn contacts AHFC within a reasonable time and inquires about their waiting list status, staff will identify the reason the applicant was withdrawn (i.e., nonresponse to Interview Notification, nonresponse to the waiting list update letter). Staff may then determine if reinstatement to the waiting list is reasonable. Some examples might include:

- A person who was hospitalized and has recently returned to their home.
- A person who doesn’t have a permanent mailing address might not have received his/her letter if he/she is using a bulletin board service at a shelter.
- A person who was out of the state because of extenuating family circumstances did not respond timely to the letter.

If staff decides to reinstate the application, the application’s original date and time will be used when placing the applicant back on the waiting list. If staff experiences difficulty with an applicant’s situation or is unsure about reinstatement, staff should contact a supervisor.

### **2-6.10 WAITING LIST NOTATIONS**

For tracking and audit purposes, staff must document each pulled waiting list with the result of each applicant’s selection. This is especially important when an applicant requests to skip, AHFC staff is “skipping” applicants on a waiting list to find the next eligible family for a specialty unit, when a “pool” file expires prior to being offered a unit, or an applicant is reinstated to a waiting list. Notate the status of each applicant beside their name on the waiting list being used. See Exhibit 4-1 (Initial Examination) for specific instructions on documenting the client file.

### **2-6.11 ARCHIVING**

See the Administrative Desk Manual, File Maintenance-Applicants, for archiving instructions.

**Forms**

AP109 Interview Notification

AP110 Ineligibility Notice

PW300 Client File Notes

SN502 Applicant Informal Review

**Administrative Desk Manual**

Application Entry

Building Waiting List History

File Maintenance-Applicants