

Exhibit 12-1

Quality Assurance Categories

An important component of the Quality Assurance process is quantifying and assessing the types of errors in applications and client files. While AHFC encourages staff to strive for files with no errors, different errors have varying levels of importance. This exhibit is meant to clarify which errors are considered more critical than others.

12-1.1 CRITICAL ERRORS

As stated in the policy, critical items are those that are integral to program eligibility or family subsidy. They may also be items that HUD has mandated for inclusion in the file.

12-1.1.A Applicants

For the following items, at least 98 percent of files sampled must have the following critical items properly documented.

1. Waiting list application must have the date and time accepted notated on it.
2. Waiting list application must be signed by the head of household.
3. The family must be income eligible to be placed on the waiting list.
4. The waiting list application must be posted to the proper waiting lists within the time limits prescribed in Chapter 2.
5. If the family indicated a need for an accessible unit, the proper coding must be in the electronic file.
6. The *Supplement to Application for Federally Assisted Housing* is attached to the application.
7. The *Waiting List Placement or Ineligibility* letter must be mailed to the family within the time limits prescribed in Chapter 2.

12-1.1.B New Admissions from the Waiting List

For the following items, at least 98 percent of files sampled must have the following critical items properly documented.

1. Senior/Disabled households must have proof of age or disability status.
2. A verification of social security number must be in the file for all eligible household members. An alternate HUD ID is acceptable for those household members claiming ineligible status.
3. Birth certificate documentation must be in the file for all minors and where required.

4. Citizenship documentation must be in the file for all household members.
5. The *Supplement to Application for Federally Assisted Housing* must be signed and in the file for all adult household members.
6. *Debts Owed to Public Housing Agencies and Terminations* (form HUD-52675) must be signed and in the file for all adult household members.
7. The *Race and Ethnic Data Reporting Form* (form HUD-27061) is completed, signed, and present in the file for all household members.
8. The *Annual Recertification Requirement Notice* (form SN517) is completed, signed, and present in the file
9. For family units, the *Lead-Based Paint* certification is in the file
10. The file must document the following for initial eligibility:
 - a. The family was selected from the waiting list in order
 - b. Proper preferences were applied
 - c. The family was income eligible
 - d. The family passed all screening (sex offender, criminal background check, money owed to AHFC or other PHA, EIV previous/current participation, previous AHFC participation, tenancy references)
11. Reasonable Accommodation
 - a. Verifications (if required) and responses are present in the file
 - b. If a live-in aide is present in the household, the *Live-In Aide Personal Declaration* is signed and present in the file.
12. The file must document the correct family subsidy was determined:
 - a. All income was properly verified and calculated correctly
 - b. All assets were properly verified and calculated correctly
 - c. All deductions were properly verified and calculated correctly
 - d. All required family signatures were obtained (*Family Questionnaire* or *Family Report of Changes*)
 - e. All required releases were signed
13. The HUD-50059 is correct
 - a. The subsidy indicated on the 50059 matches the file documentation
 - b. The family's names, social security numbers, dates of birth, and citizenship are correct
 - c. The 50059 is signed by the family prior to or on the 50059 effective date.
14. Leasing
 - a. Part 2 of the *Residential Lease Agreement* is signed by all adult household members.
 - b. The Move in Inspection is complete, clearly annotated with "pass", and signed by an adult household member.

- c. Security deposit is collected or has a payment arrangement.
- d. If applicable, proof of the utility service in the family's name is in the file.

12-1.1.C Client File Reviews

For the following items, at least 90 percent of files sampled must have the following critical items properly documented.

1. Reasonable Accommodation

- a. Verifications (if required) and responses are present in the file
- b. If a live-in aide is present in the household, the *Live-In Aide Personal Declaration* is signed and present in the file.

2. Income

- a. All income is properly verified and calculated correctly
- b. All assets are properly verified and calculated correctly
- c. All deductions are properly verified and calculated correctly
- d. All required family signatures are obtained (*Family Questionnaire* or *Family Report of Changes*)
- e. All required releases are signed
- f. The examination is completed timely in accordance with the guidelines in Chapter 4 (only a failed item if AHFC did not complete the exam timely).
- g. If required, minimum income examinations are completed in accordance with the guidelines in Chapter 3.
- h. The *Annual Recertification Requirement Notice* (form SN517) is completed, signed, and present in the file

3. 50059

- a. The subsidy indicated on the 50059 matches the file documentation.
- b. The family's names, social security numbers, dates of birth, and citizenship are shown properly.
- c. The 50059 is signed by the family prior to or on the 50059 effective date.

4. Enterprise Income Verification (EIV)

- a. The EIV report was pulled timely in accordance with the guidelines in Chapter 3
- b. If there is an income discrepancy, the discrepancy is resolved in accordance with Chapter 3

5. Leasing

- a. Part 2 (or Addendum) of the *Residential Lease Agreement* is signed by all adult household members.
- b. The Move in Inspection is complete, clearly annotated with "pass", and signed by an adult household member

12-1.1.D Inspection Enforcement

For the following items, at least 98 percent of files sampled must have the following critical items properly documented.

1. Annual UPCS Inspection conducted
2. For any deficiencies, AHFC took appropriate action to enforce the lease. The actions are documented in the file.

12-1.2 NONCRITICAL ERRORS

Noncritical items are those that do not affect program eligibility or family subsidy. If not specifically listed above, a failed file item can be considered as noncritical.

Noncritical errors must be documented and corrected (where possible) in the file.