

# HCV File Basics and Quality Control Best Practices

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MN NAHRO ANNUAL CONFERENCE

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# Speakers

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Lisa Hohenstein



# Agenda

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- Part 1
  - Eligibility (Intake/Program Admission)
  - Annual Recertification



- Part 2
  - Quality Control



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# Eligibility: Mandatory Forms

## Declaration of Citizenship Form 214

## USCIS Verification Forms (if applicable)

- Verification of forms from SAVE
- Non-contending members

## Debts Owed to Public Housing Agencies and Terminations

- All adults
- HUD Form 52675 (\*Expires 06/30/2026)

## Authorization for Release of Information/Privacy Act

- HUD Form 9886/9886-A (\*Expires 10/31/2026)

## Supplement To Application For Federally Assisted Housing

- Optional
- Release form
- HUD Form 92006 (\*Expires 02/28/2019) ☹️

\*Ensure you are utilizing the most current form\*

# Eligibility: Other Requirements

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- EIV Verification
  - Debts owed and past terminations?
  - Other subsidies?
  - Re-run 60-90 days after admission to compare income
- Lifetime Sex Offender Registry Search
- Verification of Income Eligibility
- Social Security Numbers
- Waiting List Selection (If Applicable)
  - Adhered to Administrative Plan?

# Eligibility: Best Practices

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- Program Application
- Criminal Release
  - Run criminal background check
- Release/Privacy Notice
  - Agency Release of Information
  - Tennessean Warning Notice

# Eligibility: Best Practices Continued...

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- Special Circumstances Documentation
  - Interpretive Disclosure Form
    - ESL Policy (Language Barriers)
  - Reasonable Accommodation
  - Disability
  - Waiting List Preference(s)
  - Special Programs
    - Mainstream, VASH, FUP, EHV, FYI, PBV, etc.
- Follow up on any EBLL status/reports

# Eligibility: Best Practices Continued...

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- Verifications
  - Income
    - HUD Hierarchy
  - Assets
  - Student Status
  - Expense
    - Medical, Childcare
  - Rent Reasonableness
  - Affordability Calculation
  - Passed inspection
  - Lead Based Paint Addendum
    - Units Prior to 1978
  - Lease
  - HAP Contract

# Briefing: Voucher Issuance

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25 CFR 982.301(b)

- Voucher
  - Term; suspensions; extension policy (if applicable)
- Affordability
  - Payment standard; utility allowance; total tenant payment; maximum rent
- Where & How to Lease/Select a Unit?
  - Portability explanation
- Tenancy Addendum HUD Form 52641-A
  - Included with lease
- Request for Tenancy Approval (RFTA/RTA)
  - Deadline

# Briefing: Voucher Issuance

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25 CFR 982.301(b)

- Landlord Information
  - PHA policy on information PHA will provide to prospective landlords/owners
- Subsidy (Payment) Standards
  - Exception Policy
- Reasonable Accommodations
- Housing Discrimination Complaint
- Landlord/Owner Listing
  - Disabled household member?
    - Provide accessible unit listing

# Briefing: Voucher Issuance

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25 CFR 982.301(b)

- Family Obligations
  - Statement of Tenant Responsibilities
- Expanding Housing Opportunities
  - Advantages renting outside identified areas of poverty
- Informal Hearing
  - When one is required
  - How to request
- “Advantages” of Non-Concentrated Areas
- Limited English Proficiency (LEP) notice

# Annual Recertification: Best Practices

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- Recertification Packet
  - Application
  - Release (HUD-9886)
- EIV
- Verifications
  - Income, Assets, Expenses (when applicable)
- HUD-50058

# Annual Recertification: Continued...

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- Lease
  - Rent Change Notice
- HAP Contract
  - Amendment
- Inspection (when applicable)

# Questions?

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# Welcome Back!

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- Part 2
  - Quality Control



# Speakers

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Corina Serrano



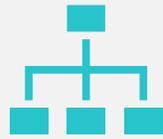
Lisa Hohenstein



# Quality Control



Set expectations during and throughout training



Establish levels of QC throughout workflow and department hierarchy



Provide guides, references, and access to knowledgeable staff

# Quality Control: Training



Program review



Admin Plan/Policies



Shadowing



Reference Materials and Guides



Start with basics and build off base knowledge



QC of processing

Consistent feedback and  
redirecting



Check in throughout probationary  
process

Review standards within class  
spec

# Quality Control: Types

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Peer reviews

Supervisor level reviews

Regular supervisory review throughout  
year

Random QC reviews by upper  
management

SEMAP review

Audit review

# SEMAP

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DIFFERENT REPORTING REQUIREMENTS  
DEPENDING ON AGENCY SIZE, TYPE,  
AND STATUS



14 INDICATORS PLUS BONUS

# SEMAP Indicator 1

## Selection from the Waiting List (24 CFR 982.54(d)(1) and 982.204(a))

- Admin Plan has waiting list selection policies
- Applicants reaching top of list and selection were admitted according to your admin plan

## Sample is gathered from “Universe”

- Total new admissions that were pulled from waiting list for fiscal year; and
- Total applicants pulled from waiting list that were not admitted

## Sample size is based on “Universe”

# SEMAP Indicator 2

Reasonable Rent. (24 CFR 982.4, 982.54(d)(15), 982.158(f)(7) and 982.507)

Have a rent reasonable process established

Must be able to document each approve rent is reasonable at:

- move in,
- increases, and
- HAP contract anniversary\*

Reasonableness is based on similar type units that are unassisted

Universe is total assisted families during fiscal year

## SEMAP Indicator 3

Determination of Adjusted Income. (24 CFR part 5, subpart F and 24 CFR 982.516)

At admission and recert income was verified properly

- obtained third party verification or documented why third-party verification was not available;
- used the verified information in determining adjusted income;
- properly attributed allowances for expenses; and,
- used proper UA if applicable

Universe is number of assisted families during the fiscal year

SEMAP  
Indicator 4

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## Agency's Utility Allowance Schedule

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Be able to document it was  
reviewed and/or updated within  
last 12 months

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Mandatory changes (10% +/-)  
are accounted for

SEMAP  
Indicator 5

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**HQS Quality Control Inspections. (24  
CFR 982.405(b))**

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A sample of units were reinspected for  
quality control

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Sample is from recently inspected units

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Sample represents different areas and  
unit types

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Universe is units under HAP contract  
during fiscal year

# SEMAP Indicator 6

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## **HQS Enforcement. (24 CFR 982.404)**

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Life-threatening HQS deficiencies were corrected within 24 hours from the inspection;

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Other deficiencies were corrected within 30 calendar days from the inspection or any PHA-approved extension;

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If not corrected, HAP was abated no later than the first of the month following the correction period, or

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Agency enforced the family obligations.

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Universe is number of units that failed HQS in fiscal year

# SEMAP Indicator 7



Expanding Housing Opportunities. (24 CFR 982.54(d)(5), 982.153(b)(3) and (b)(4), 982.301(a) and 983.301(b)(4) and (b)(12)).



Policy and documentation to encourage owner participation outside of concentrated areas



Provide maps showing concentrated areas and lists of resources, opportunities, and schools



Provide list of owners who accept vouchers



Provide info on how portability works



Analyzed if voucher holders are unable to locate housing outside of concentrated areas

If so, requested exception payment standards

# SEMAP Indicator 8



## **Payment Standards.**



Agency has payment standards for each unit size between 90% and 110% of the current FMRS

# SEMAP Indicator 9-13

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Annual recertifications

- Completed annuals for each household at least every 12 months

Correct Tenant Rent Calculations

- Calculated rent properly

Precontract HQS Inspections

- New leased units passed inspection prior to HAP contract

Annual HQS Inspections

- Inspections unit at least once annually\*

Lease Up

- ACC Unit and HAP utilization between 98-100%

# SEMAP Indicator 14

- Only applicable if you have or should have Family Self-Sufficiency Program
- Number of current enrolled versus mandatory slots available
- Percentage of FSS families with escrow

# SEMAP Bonus Indicator

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- Eligible for bonus points if:
  - 50% or more households with children reside in low poverty census tracts; or
  - The percentage of households with children that moved to low poverty census tracts was 2% more than the percentage of households with children that lived in low poverty census tracts at the end of the PREVIOUS fiscal year; or
  - The percent of households with children who moved to low poverty census tracts in the last **two** fiscal years is at least 2% more than the percent of all households with children who resided in low poverty census tracts at the end of the **second to last** fiscal year.

# SEMAP Universe

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Universe	Minimum number of files or records to be sampled
<b>50 or less</b>	5.
<b>51-600</b>	5 plus 1 for each 50 (or part of 50) over 50.
<b>601-2000</b>	16 plus 1 for each 100 (or part of 100) over 600.
<b>Over 2000</b>	30 plus 1 for each 200 (or part of 200) over 2000.

## Quality Control Review Checklist

Head of Household Name: \_\_\_\_\_ HS: \_\_\_\_\_

Household Members: \_\_\_\_\_

Family ID: \_\_\_\_\_

Action: ( ) Re-Exam UP ( ) Re-Exam MOVE ( ) EOP ( ) IRC (X) New Admission ( ) Port-In

Action Date: \_\_\_\_\_ Date Submitted To Auditor: \_\_\_\_\_

SEMAP Indicator #3 - Determination of Adjusted Income		Correct Verification		Accurate Calculation	
		Yes	No	Yes	No
<b>Income Determined Correctly</b>					
_____	Wages				
_____	M FIP				
_____	Unemployment				
_____	Child Support				
_____	GA				
_____	MSA				
_____	Pension				
_____	SSI				
_____	Social Security				
_____	Other ( )				
<b>Gross Income</b>		\$ _____			
<b>Assets Determined Correctly</b>		Yes	No	Yes	No
_____	Under \$5,000 Cert				
_____	Checking Account				
_____	Savings				
_____	IRA				
_____	Other ( )				
<b>Asset Income</b>		\$ _____			
<b>Allowances Determined Correctly</b>		Yes	No	Yes	No
_____	Dependent				
_____	Elderly/Disability				
_____	Child Care				
_____	Medical Expenses				
_____	= Medical Threshold (3%)				
<b>Total Deductions</b>		\$ _____			
<b>Adjusted Income</b>		\$ _____			

# QC Checklist

De Minimus Error (More than \$360 annually)?

*\*Corrective action needed*

Correct Payment Standard Applied

Correct Voucher Size

Utility Allowance Determined Correctly

Correct Year's Schedule?

Bedroom Size?

Housing Type?

Amount?

Tenant paid utilities:

YES*	NO
YES	NO
YES	NO
YES	NO

Rent \$ \_\_\_\_\_  
 UA \$ \_\_\_\_\_  
 Gross \$ \_\_\_\_\_

HAP \$ \_\_\_\_\_  
 TTP \$ \_\_\_\_\_  
 Tenant \$ \_\_\_\_\_  
 (to owner)

**SEMAP Indicator #2 - Rent Reasonableness Completed**

Does rent amount exceed amount certified	YES	NO
Correct Gross Rent in Calc	YES	NO

1st Review: \_\_\_\_\_ Date \_\_\_\_\_  
 Approved \_\_\_\_\_  
 Approve w/ comments \_\_\_\_\_  
 Rejected \_\_\_\_\_  
 Auditor \_\_\_\_\_

EIV Report In File

Open IRC's? If so, can they be cleared w/ this action?

Declaration of 214 Status (all members)

214 Consent Form (when citizenship is not naturalized/birth)

Soc Sec Card(s), Birth Cert(s), & Photo ID

HAP contract or Rent Change Notice w/ signatures

Lease (correct address, rent, dates, sign, etc), if applicable

Inspection complete within 24 months

YES	NO

2nd Review: \_\_\_\_\_ Date \_\_\_\_\_  
 Approved \_\_\_\_\_  
 Approve w/ comments \_\_\_\_\_  
 Rejected \_\_\_\_\_  
 Auditor \_\_\_\_\_

# QC Checklist

# Questions?

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# Contact Information

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