

# Housing Choice Voucher Executive Management Master Book

Product #301-010

## December 2012

Revision Date	Revision Date
August 1, 2014	
June 1, 2015	
June 1, 2016	
April 1, 2017	
December 1, 2017	
January 1, 2019	



1810 Gillespie Way, Suite 202  
El Cajon, CA 92020  
800.783.3100  
Fax: 619.258.5791  
[www.nanmckay.com](http://www.nanmckay.com)

# Acknowledgments

## **Writing Team**

William Caltabiano – primary author

Nan McKay – editor and writer

## **Contributors:**

JoAnne Cohen, Desktop Publisher

John McKay

Diane Sterling

Annie Stevenson

Ron Urlaub

© All materials copyrighted by Nan McKay and Associates, Inc.,  
January 2019, except reference material.

# *Table of Contents*

**Introduction to Housing Choice Voucher Executive Management**

<b>SECTION I.1</b>	<b>PURPOSE OF BOOK</b> .....	I.1-1
<b>SECTION I.2</b>	<b>THE BALDRIGE PERFORMANCE EXCELLENCE PROGRAM</b> .....	I.1-3
	Self-Analysis Worksheet.....	I.1-5
	Baldrige Definitions.....	I.1-8
<b>SECTION I.3</b>	<b>HISTORICAL PERSPECTIVE OF SUBSIDIZED HOUSING PROGRAMS</b> .....	I.1-15
	Pre-Public Housing .....	I.1-15
	The Housing Act of 1937 .....	I.1-17
	The Housing Act of 1949 .....	I.1-18
	The Housing and Urban Development Act of 1965 .....	I.1-18
	The Fair Housing Act (Title VIII of the Civil Rights Act of 1968) .....	I.1-19
	The Housing and Urban Development Act of 1969 —	
	The Brooke Amendment.....	I.1-19
	1973 Moratorium .....	I.1-19
	The Housing and Community Development Act of 1974 .....	I.1-19
	The Housing and Community Development Acts of 1980 and 1981 .....	I.1-20
	The Housing and Urban-Rural Recovery Act of 1983.....	I.1-20
	The Housing and Community Development Act of 1987 .....	I.1-20
	The Stewart B. McKinney Homeless Assistance Act of 1987 .....	I.1-21
	The HUD Reform Act of 1989.....	I.1-21
	The Cranston-Gonzalez National Affordable Housing Act of 1990 .....	I.1-21
	The Housing and Community Development Act of 1992 .....	I.1-22
	The Quality Housing and Work Responsibility Act of 1998 .....	I.1-22
	Types of Subsidized Housing Programs.....	I.1-25
	Rental Certificate Program (1974-2001) (Formerly Section 8 Existing Housing Program) .....	I.1-25
	Rental Voucher Program (1984-2001) (Formerly Housing Voucher Program) .....	I.1-26
	The Housing Choice Voucher Program (2001 to Present).....	I.1-26
	Project-Based Vouchers .....	I.1-26
	Special Purpose Vouchers (“Boutique” Programs).....	I.1-27
	Private Sector Section 8 Programs and Characteristics .....	I.1-33
	Section 8 New Construction Program (1974-1984) .....	I.1-33
	Section 8 Substantial Rehabilitation Program (1974-1984) .....	I.1-34
	Section 8 Moderate Rehabilitation Program (1978-80).....	I.1-35
	Public Housing .....	I.1-36

<b>CHAPTER 1</b>	<b>Organizational Profile</b>	
<b>SECTION 1.1</b>	<b>INTRODUCTION</b> .....	1.1-1
<b>SECTION 1.2</b>	<b>ORGANIZATIONAL ENVIRONMENT</b> .....	1.2-1
	Key Functional Relationships .....	1.2-2
	Service Offerings .....	1.2-3
	Regulatory Requirements .....	1.2-4
	PHA Role .....	1.2-15
	The Board, Executive Director, and Senior Leaders .....	1.2-16
	Organizational Structure .....	1.2-21
	Mission, Vision and Culture .....	1.2-28
	Strategic Planning and Strategy Deployment .....	1.2-33
	Goals and Objectives .....	1.2-44
	Leadership Performance Systems .....	1.2-55
	Ethics .....	1.2-63
<b>SECTION 1.3</b>	<b>ORGANIZATIONAL RELATIONSHIPS</b> .....	1.3-1
	Key Relationships .....	1.3-2
	Voice of the Customer .....	1.3-11
	Customer Communication .....	1.3-16
	Owner Excellence Programs .....	1.3-26
<b>CHAPTER 2</b>	<b>Workforce</b>	
<b>SECTION 2.1</b>	<b>INTRODUCTION</b> .....	2.1-1
<b>SECTION 2.2</b>	<b>WORKFORCE CAPABILITY</b> .....	2.2-1
<b>SECTION 2.3</b>	<b>WORKFORCE CAPACITY</b> .....	2.3-1
<b>SECTION 2.4</b>	<b>SELECTION AND ONBOARDING</b> .....	2.4-1
	Introduction .....	2.4-1
	Hiring and Selection .....	2.4-1
	Onboarding .....	2.4-22
<b>SECTION 2.5</b>	<b>PERFORMANCE MANAGEMENT</b> .....	2.5-1
	Introduction .....	2.5-1
	Performance Standards .....	2.5-2
	Performance Incentives .....	2.5-15
	Individual Development Plans .....	2.5-20
	Termination .....	2.5-24
<b>CHAPTER 3</b>	<b>Effective Supervision</b>	
<b>SECTION 3.1</b>	<b>INTRODUCTION</b> .....	3.1-1
<b>SECTION 3.2</b>	<b>THE TRANSITION FROM FRONT LINE STAFF TO SUPERVISOR</b> .....	3.2-1
	Prepare for the Transition from Front Line Staff Member to Manager .....	3.2-1
	Common Challenges for New Managers .....	3.2-3

<b>SECTION 3.3</b>	<b>SUPERVISORY SKILL BUILDING</b> . . . . .	3.3-1
	Communication . . . . .	3.3-1
	Listening . . . . .	3.3-18
	Managing Conflict . . . . .	3.3-22
	Giving Feedback . . . . .	3.3-25
	Delegation . . . . .	3.3-28
	Time Management . . . . .	3.3-30
	Meeting Management . . . . .	3.3-31
	Social Media and the Workplace . . . . .	3.3-39
	Creating a Motivational Environment . . . . .	3.3-42
	Coaching Employees . . . . .	3.3-45
	Performance Evaluation . . . . .	3.3-48
	Employee Discipline . . . . .	3.3-66
<b>SECTION 3.4</b>	<b>DISC® PROFILE: MANAGING YOURSELF AND OTHERS</b> . . . . .	3.4-1
<b>SECTION 3.5</b>	<b>SITUATIONAL LEADERSHIP</b> . . . . .	3.5-1
	Leadership Styles . . . . .	3.5-3
<b>CHAPTER 4</b>	<b>Financial Management and Program Utilization</b>	
<b>SECTION 4.1</b>	<b>INTRODUCTION</b> . . . . .	4.1-1
<b>SECTION 4.2</b>	<b>ANNUAL CONTRIBUTIONS CONTRACT (ACC)</b> . . . . .	4.2-1
	Overview of the Master Document . . . . .	4.2-1
	Understanding the ACC Funding Exhibit . . . . .	4.2-10
<b>SECTION 4.3</b>	<b>KEY POINTS OF HAP AND FEES FUNDING</b> . . . . .	4.3-1
	Introduction . . . . .	4.3-1
	PHA Requirements for HAP Funding . . . . .	4.3-1
	Quality Assurance . . . . .	4.3-2
	Administrative Fee Restriction . . . . .	4.3-2
<b>SECTION 4.4</b>	<b>REPORTING REQUIREMENTS</b> . . . . .	4.4-1
	Overview . . . . .	4.4-1
	Use of the VMS . . . . .	4.4-1
<b>SECTION 4.5</b>	<b>MONITORING YOUR FUNDING</b> . . . . .	4.5-1
	Introduction . . . . .	4.5-1
	Tracking PUC . . . . .	4.5-2
	Tracking Administrative Fees . . . . .	4.5-3
	Developing and Using Monitoring Tools . . . . .	4.5-3
<b>SECTION 4.6</b>	<b>YEAR-END FINANCIAL REPORTING REQUIREMENTS</b> . . . . .	4.6-1
	Introduction . . . . .	4.6-1
	HUD Monitoring . . . . .	4.6-2
<b>SECTION 4.7</b>	<b>MANAGING FUNDING</b> . . . . .	4.7-1
	Introduction . . . . .	4.7-1
	Managing HAP Funding . . . . .	4.7-1
	Potential Problems and Solutions . . . . .	4.7-2
<b>SECTION 4.8</b>	<b>HUD PROGRAM TOOLS</b> . . . . .	4.8-1
	HUD's Two-Year Forecasting Tool . . . . .	4.8-1
<b>SECTION 4.9</b>	<b>INTERDEPARTMENT COORDINATION</b> . . . . .	4.9-1

<b>SECTION 4.10</b>	<b>MAXIMIZING ADMINISTRATIVE RESOURCES</b> . . . . .	4.10-1
	Introduction . . . . .	4.10-1
	Budgeting Administrative Fees and Operating Expenses . . . . .	4.10-1
	Administrative Expenses . . . . .	4.10-3
	Simplification Strategies for the PHA . . . . .	4.10-9
	Summary . . . . .	4.10-16
<b>SECTION 4.11</b>	<b>HOUSING CHOICE VOUCHER PROGRAM FEE FOR SERVICE</b> . . . . .	4.11-1
<b>SECTION 4.12</b>	<b>LEASING BUDGET PROJECTION WORKSHEET</b> . . . . .	4.12-1
	Introduction . . . . .	4.12-1
	The Worksheet and Its Explanation . . . . .	4.12-1
<b>CHAPTER 5</b>	<b>Operational Work Systems</b>	
<b>SECTION 5.1</b>	<b>INTRODUCTION</b> . . . . .	5.1-1
<b>SECTION 5.2</b>	<b>WORK SYSTEMS AND PROCESSES</b> . . . . .	5.2-1
<b>SECTION 5.3</b>	<b>REQUIRED PHA POLICIES AND POLICY DEVELOPMENT</b> . . . . .	5.3-1
	The Consolidated Plan . . . . .	5.3-1
	The PHA Plan . . . . .	5.3-5
	Assessment of Fair Housing (AFH) . . . . .	5.3-8
	Administrative Plan Required Content . . . . .	5.3-11
	Mandatory Vs. Discretionary Policies . . . . .	5.3-13
	Administrative Plan Policy Development . . . . .	5.3-16
<b>SECTION 5.4</b>	<b>KEY WORK PROCESSES</b> . . . . .	5.4-1
	Procedures . . . . .	5.4-1
	Steps to Developing a Procedure for Annual Reexaminations . . . . .	5.4-2
	Sample Minimum Procedures . . . . .	5.4-40
<b>SECTION 5.5</b>	<b>SUMMARY: IMPLEMENTING POLICIES AND PROCEDURES</b> . . . . .	5.5-1
<b>SECTION 5.6</b>	<b>DOCUMENT CREATION</b> . . . . .	5.6-1
<b>SECTION 5.7</b>	<b>SOFTWARE</b> . . . . .	5.7-1
<b>SECTION 5.8</b>	<b>WORK PROCESS TOOLS</b> . . . . .	5.8-1
	Reexamination Calendar . . . . .	5.8-1
	Reexamination Tracking . . . . .	5.8-7
	Temporary File Organization . . . . .	5.8-12
	Desk Checks . . . . .	5.8-13
	Caseload Status Report . . . . .	5.8-13
<b>CHAPTER 6</b>	<b>Measurements and Analysis</b>	
<b>SECTION 6.1</b>	<b>INTRODUCTION</b> . . . . .	6.1-1
<b>SECTION 6.2</b>	<b>QUALITY CONTROL PLANNING</b> . . . . .	6.2-1
	Introduction . . . . .	6.2-1
	Types of Quality Control . . . . .	6.2-3
	The Quality Control Cycle . . . . .	6.2-7
	Program Integrity Schedule . . . . .	6.2-8
	Designing a Quality Control Plan . . . . .	6.2-21
<b>SECTION 6.3</b>	<b>CONDUCTING QUALITY CONTROL</b> . . . . .	6.3-1
	Internal Quality Control . . . . .	6.3-2
	Formal Quality Control . . . . .	6.3-7

Table of Contents

<b>SECTION 6.4</b>	<b>PRODUCTION MEASUREMENT</b> . . . . .	6.4-1
	Introduction . . . . .	6.4-1
	Leading and Lagging Indicators . . . . .	6.4-9
	Using Reports to Track Production . . . . .	6.4-11
	Cycle Time . . . . .	6.4-17
<b>SECTION 6.5</b>	<b>ACCURACY MEASUREMENT</b> . . . . .	6.5-1
	Conducting Tenant File Reviews . . . . .	6.5-1
	Using Reports to Track Accuracy . . . . .	6.5-5
	EIV Measurement . . . . .	6.5-15
	HUD IMS/PIC Measurement . . . . .	6.5-21
	Five Tips to Increase Your PIC Reporting Rate . . . . .	6.5-25
<b>SECTION 6.6</b>	<b>PROBLEM AND DATA ANALYSIS</b> . . . . .	6.6-1
	Introduction . . . . .	6.6-1
	Problem Analysis . . . . .	6.6-2
	Data Analysis . . . . .	6.6-5
<b>CHAPTER 7</b>	<b>Performance Solutions</b>	
<b>SECTION 7.1</b>	<b>INTRODUCTION</b> . . . . .	7.1-1
<b>SECTION 7.2</b>	<b>QUALITY CONTROL PLANNING</b> . . . . .	7.2-1
	Performance Excellence . . . . .	7.2-1
<b>SECTION 7.3</b>	<b>PROBLEM RESPONSE STRATEGY</b> . . . . .	7.3-1
<b>SECTION 7.4</b>	<b>PERFORMANCE TRENDS AND RESULTS</b> . . . . .	7.4-1
<b>SECTION 7.5</b>	<b>ERROR REDUCTION STRATEGY</b> . . . . .	7.5-1
<b>SECTION 7.6</b>	<b>SEMAP IMPROVEMENT</b> . . . . .	7.6-1
<b>SECTION 7.7</b>	<b>REPORTS</b> . . . . .	7.7-1
<b>SECTION 7.8</b>	<b>KNOWLEDGE MANAGEMENT (KM)</b> . . . . .	7.8-1
	Introduction . . . . .	7.8-1
	What Knowledge Do You Need to Manage? . . . . .	7.8-3
<b>CHAPTER 8</b>	<b>Managing Program Functions</b>	
<b>SECTION 8.1</b>	<b>INTRODUCTION</b> . . . . .	8.1-1
<b>SECTION 8.2</b>	<b>MANAGING THE OWNER BASE</b> . . . . .	8.2-1
	Introduction . . . . .	8.2-1
	Managing Your Owner Base . . . . .	8.2-2
	Internal Program Administration . . . . .	8.2-4
	Owner Retention Through Excellent Customer Service . . . . .	8.2-18
<b>SECTION 8.3</b>	<b>THE OCCUPANCY CYCLE</b> . . . . .	8.3-1
	Introduction . . . . .	8.3-1
	Intake Process . . . . .	8.3-2
	Initial Lease-Up . . . . .	8.3-3
	Program Activities . . . . .	8.3-3
	Interim Activities . . . . .	8.3-4
	Terminations . . . . .	8.3-5
	Summary . . . . .	8.3-5

# HCV Executive Management

## Table of Contents

<b>SECTION 8.4</b>	<b>MANAGING THE WAITLIST AND THE INTAKE PROCESS</b> . . . . .	8.4-1
	Introduction . . . . .	8.4-1
	Taking Applications . . . . .	8.4-2
	Managing the Waiting List . . . . .	8.4-8
	Form HUD-90026 . . . . .	8.4-15
	Selection from the Waiting List . . . . .	8.4-21
	Final Eligibility Determination . . . . .	8.4-33
<b>SECTION 8.5</b>	<b>INITIAL LEASE-UP</b> . . . . .	8.5-1
	Introduction . . . . .	8.5-1
	Issuance of Vouchers and Briefing . . . . .	8.5-2
	The Leasing Process . . . . .	8.5-7
<b>SECTION 8.6</b>	<b>PROGRAM ACTIVITIES</b> . . . . .	8.6-1
	Annual Reexaminations . . . . .	8.6-1
	Reexamination Calendar . . . . .	8.6-5
	Rent Adjustments . . . . .	8.6-12
	Moves . . . . .	8.6-14
	Reexamination . . . . .	8.6-16
	Owner HAP When Family Moves . . . . .	8.6-16
<b>SECTION 8.7</b>	<b>INTERIM ACTIVITIES</b> . . . . .	8.7-1
	Interim Changes . . . . .	8.7-1
	Interim Inspections . . . . .	8.7-3
<b>SECTION 8.8</b>	<b>TERMINATIONS</b> . . . . .	8.8-1
	Introduction . . . . .	8.8-1
	The Process . . . . .	8.8-2
	Termination of Tenant-based Assistance . . . . .	8.8-2
	Termination of the Assisted Lease . . . . .	8.8-14
	Termination of HAP Contract . . . . .	8.8-15
<b>SECTION 8.9</b>	<b>PORTABILITY</b> . . . . .	8.9-1
	Introduction . . . . .	8.9-1
	Who Processes Portability Moves? . . . . .	8.9-2
	Review of Key Portability Rules . . . . .	8.9-2
	Initial and Receiving PHA Responsibilities . . . . .	8.9-5
	Portability Billing . . . . .	8.9-13
	Portability Tracking . . . . .	8.9-20
<b>SECTION 8.10</b>	<b>INFORMAL REVIEWS AND HEARINGS</b> . . . . .	8.10-1
	Introduction . . . . .	8.10-1
	Key Points for the Manager . . . . .	8.10-2
	Denial of HCV Assistance to an Applicant . . . . .	8.10-3
	Informal Hearings for Participants . . . . .	8.10-4
	Elements of Due Process . . . . .	8.10-5
	Assessing the Case Before the Hearing and What the Hearing Decision Should be Based Upon . . . . .	8.10-19
	Working with Advocacy Groups . . . . .	8.10-21



# HCV Executive Management

## Table of Contents

<b>SECTION 8.11</b>	<b>INSPECTIONS</b> . . . . .	8.11-1
	Introduction . . . . .	8.11-1
	Know the HQS Basics . . . . .	8.11-2
	Annual/Biennial HQS Inspection . . . . .	8.11-3
	Owner Inspection Fees . . . . .	8.11-8
	Consistency in HQS Standard . . . . .	8.11-8
	Customer Service and Inspections . . . . .	8.11-9
<b>SECTION 8.12</b>	<b>FAMILY SELF-SUFFICIENCY</b> . . . . .	8.12-1
	Introduction . . . . .	8.12-1
	Mandatory FSS Program Size . . . . .	8.12-2
	FSS Policies . . . . .	8.12-2
	Coordinating Staff Activities . . . . .	8.12-5
	FSS and Portability . . . . .	8.12-5
	Staffing the Case Manager Position . . . . .	8.12-6
	Individual Training and Services Plans (ITSPs) and the Path to Success . . . . .	8.12-7
	Contract Execution . . . . .	8.12-7
	Preparing for Grant Applications . . . . .	8.12-8
<b>SECTION 8.13</b>	<b>PROJECT-BASED VOUCHERS (PBV)</b> . . . . .	8.13-1
	Introduction . . . . .	8.13-1
	Project Caps . . . . .	8.13-2
	Rents . . . . .	8.13-3
	HCV Manager Objectives . . . . .	8.13-4
	Eligible Units and Locations . . . . .	8.13-5
	Admissions . . . . .	8.13-5
	Financial Incentives for Owners . . . . .	8.13-6
	Managing PBV Inspections . . . . .	8.13-6
	PHA-Owned Units . . . . .	8.13-7
	Important Management Issues . . . . .	8.13-7
<b>SECTION 8.14</b>	<b>SEMAP – BEYOND THE REGULATIONS</b> . . . . .	8.14-1
	Introduction . . . . .	8.14-1
	SEMAP Overview . . . . .	8.14-1
	Key Performance Indicators . . . . .	8.14-2
	SEMAP Certification . . . . .	8.14-2
	PHA Supervisory Audits . . . . .	8.14-6
	Your SEMAP System . . . . .	8.14-8
	SEMAP Indicators in Depth . . . . .	8.14-10
	The SEMAP 50058 Connection: A Guide to 50058 Data . . . . .	8.14-17
	Self-Assessment of the SEMAP Indicators . . . . .	8.14-19
	HUD Indicators Verified by PIC . . . . .	8.14-41
	General SEMAP Errors . . . . .	8.14-50
	SEMAP Scoring Sheet . . . . .	8.14-50
	Remote Confirmatory Reviews . . . . .	8.14-51