Waiting List Management

Objectives

- To know what is and is not required content
- To understand what types of information are prohibited
- To know what actions must take when Opening and Closing
- To understand obligations to work and maintain

What Must Be Included on the Waiting List?

- Date and time;
- Name of head of household;
- Annual income level;
- Identification of the need for an accessible unit, including the need for accessible features;
- Preference status;
- Unit size.

What Should Be Excluded?

- race/ethnicity, gender, and family size - *not directly relevant to tenant selection* and may result in discrimination.

How the Waiting List Helps

- Upon receipt of an application for tenancy or assistance - must indicate the date and time received.

- Must then either process for admission, _place on the waiting list_ or, based on a preliminary eligibility determination, reject.

Preliminary Eligibility

- make a preliminary eligibility determination before putting a household on the waiting list.

- Review the application to ensure that there are no obvious factors that would make the applicant ineligible.

- If a family is eligible for tenancy, but units of appropriate size are not vacant, must place the family on the waiting list for the property and notify the family when a suitable unit becomes available.

- A final eligibility determination is made at the time the unit is available.

Preliminary Determination

- If an applicant is otherwise eligible for tenancy but no appropriate size unit exists in the property, must reject the application.

- Applicants who are obviously not eligible for tenancy must be rejected.

Can a Property Have Multiple Waiting Lists?

- Yes. Based upon the application dates and times and qualification for preferences (if used), placement on these multiple lists may vary.

Sample Waiting List

Figure 4-5: Sample Waiting List Format

Date of Application	Time of Application	Head of Household	Unit Size	Income Level			Need for Accessible Unit		Comment/ Contact	Removed/ Rejected Date	Move-in Date	Preference Type
				ELI	VLI	LI	Y	N				
12/3/01	10:30 AM	Mary Tate	2	X				X				Working family preference; Elderly preference
12/4/01	1:00 PM	Hiroshi Kihara	2		X		X					

Maintaining the List

- essential to maintain with appropriate information taken from the application for tenancy.

What Does a Good Plan Include?

- HOW and WHEN updates list are performed.
- define when periodic updates occur.
- One update strategy to require applicants to contact the property every six months.

Closing the Waiting List

- may be closed for one or more unit sizes when the average wait is excessive.

- must advise potential applicants when closed and refuse to take additional applications.

- must publish a notice in a publication likely to be read by potential applicants.

Opening the Waiting List

- monitor the vacancies to ensure that there are enough applicants to fill the vacancies.

- monitor to make sure do not become so long that the wait for a unit becomes excessive.

Opening the Waiting List

- notifications should be extensive.

- rules for applying and order in which applications will be processed should be stated.

- Advertisements should include where and when to apply and should conform to the advertising and outreach activities.

Placing Families with Disabled Members

- must not skip over a family that has reached the top of the list and has indicated a need for certain unit accommodations because of a disability.

- If separate waiting lists are used for persons with disabilities, must also be placed on the general waiting list.

Families with Disabilities

- must be given the opportunity to benefit from the program and decide for itself, whether a unit meets the needs of the family, based on size, location, or facilities.

The Applicant Decides

- may decide to accept a standard unit, particularly when units meeting the household's needs are in short supply.

- may accept the unit and request some modification to the unit as a reasonable accommodation.

How the Comments Help

- Goal of annotation is to provide an auditable record.

Independent reviewers should be able to:

- Find an applicant;
- Readily confirm that an applicant was housed at the appropriately; and
- Trace various actions taken.

Maintaining Information on the Waiting List

- must develop a method to maintain.
- should periodically analyze policies and documentation procedures.

Manual Waiting List

Must be maintained as a permanent record.

- must not be "rewritten."
- must be maintained in a manner that cannot easily be altered.
- must be kept in a manner that can be audited.
- must provide an easily viewable record.

Electronic Waiting List

- must have a mechanism for maintaining the date and time and a way to document changes.

Maintaining Electronic Waiting List

- Use a data backup function to record the time and date of entry.

- Print a record of the appearance as often as necessary.

- Time and the date of the printout should appear on the report.

Electronic Waiting List

- changes should be recorded with an explanation, and the re-sorted list should be printed.

- should use electronic safeguards.

Updating Waiting List

- should update annually or semi-annually.

Updating Waiting Lists

- must update information and decide.
- written policy will determine placement.

Example

- applicant contact information changes, such as address or phone number.

Removing Names

Examples of applicant removal policies may adopt:

- no longer meets the eligibility requirements;

- fails to respond to a written notice;

- offered and rejects two units;

Removing Names

- fails to provide SSNs;
- mail sent is returned as undeliverable; or
- unit that is needed changes.
- must periodically print out or preserve backup copies.

Recordkeeping

- must retain current applications.

- Once applicant is taken off the waiting list, must retain the application, form HUD-92006 completed by the applicant, initial rejection notice, applicant reply, copy of the owner's final response, and all documentation supporting the reason for removal.

Recordkeeping

- applicant moves in and begins to receive assistance, the application and form HUD-92006 completed by the applicant must be maintained in the tenant file.

Archiving and Purging

- must dispose of applicant and tenant files and records.

- must keep records and submit reports and information as required by HUD.

Selection from the Waiting List

- When a unit becomes vacant, must select the next applicant.
- select the first name on the list.

Waiting List Management

Owner/Agent's Goal For a Waiting List:

Transarency

MOR Reviewer

Auditing the Waiting List

HUD Guidance on Waiting Lists

Independent reviewers should be able to:

1. Find an applicant;

2. Readily confirm that an applicant was housed at the appropriately; and

3. Trace various actions taken.

What Is a Key Indicator of a Problem?

No transparency - if you review the list and cannot follow the actions that were taken, then it is most likely that errors in the selection process occurred.

So, What Do You Do?

1. Find the last applicant to move in.
2. Check to see notes.
3. Determine if there is a continuous string of notes.
4. Review all documentation and ensure all notes have been included.
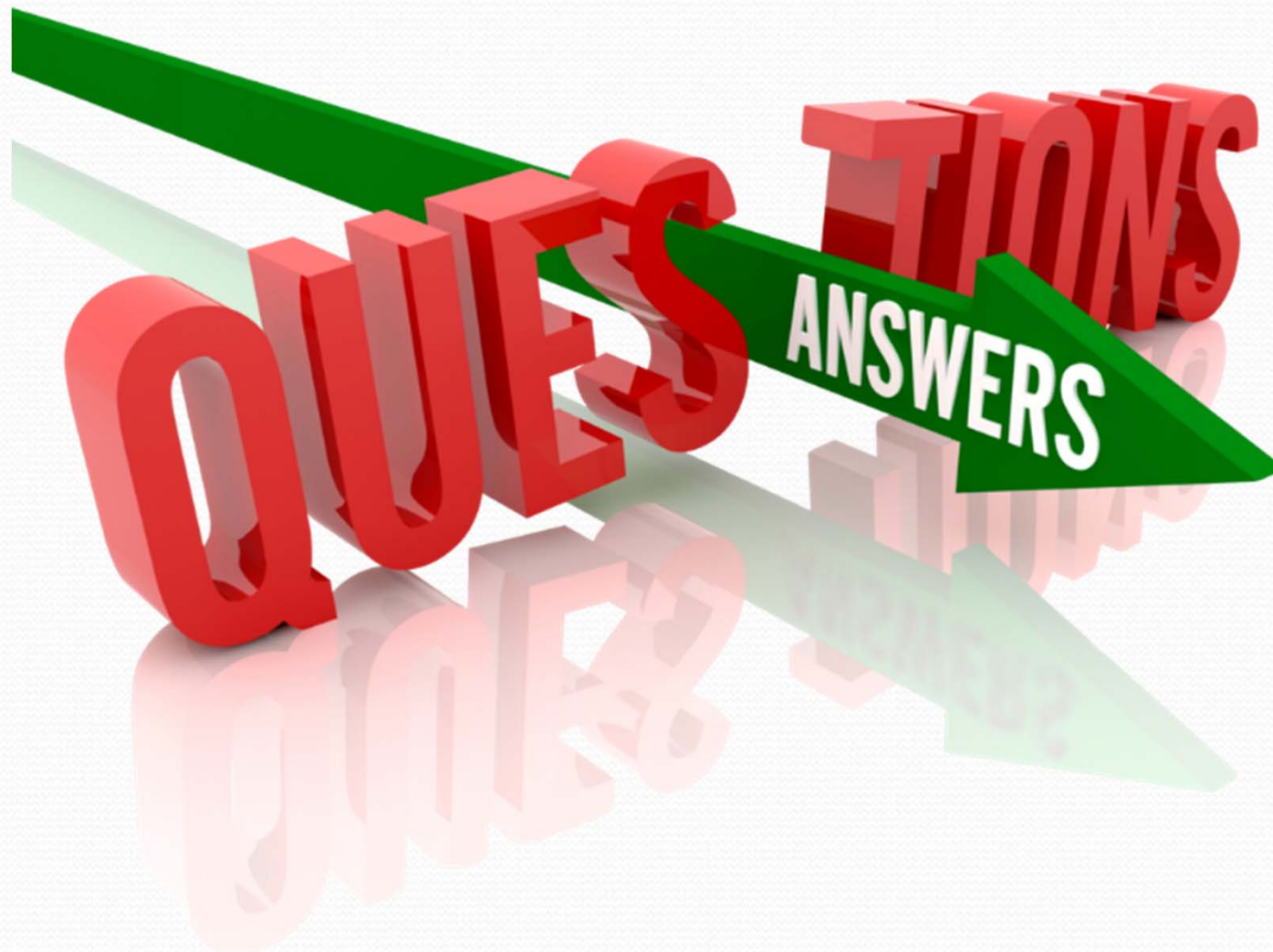
Impact on Management Reviews

- examine both specifics and larger issues related to the impact of policies have on actual operations.

Updating Waiting List Information

- There are several good practices; annotation, update annually or semi-annually, just to name a few.

How Does this Help the Owner?

- By keeping the Waiting List current, owners will spend less time contacting applicants.
- If list is cluttered, chances are circumstances will have changed.

THANK YOU

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