IOWA FINANCE AUTHORITY

CERTIFICATION ONLINE
A HOW-TO GUIDE FOR ANNUAL REPORTING

September 2015

Forward

The Iowa Finance Authority (IFA) was established in 1975 to undertake programs to assist in the production of housing for low- and moderate-income residents in the state of Iowa. This manual addresses the reporting requirements for two of those programs, the Low Income Housing Tax Credit (LIHTC) and the HOME programs.

IFA uses a product called CERTIFICATION ONLINE (COL) from software developer Emphasys which has been in use here in Iowa for many years. As part of the annual reporting requirements, IFA requires each project to enter their tenant/household level data into COL. But what do we do with this data? There are several things which this data does:

- It provides information that allows us to run compliance tests on the data to ensure continuing compliance with IRS Section 42 and with the project's LURA which ensures compliance with state requirements at the *unit level*. Examples would be testing minimum set-aside compliance, unit transfer rules and adherence to income and rent limits.
- It provides a continuous history of the occupancy (or vacancy) of the units. All move-in and move-outs are recorded. This allows us to ensure that unit transfers are done correctly and that the proper applicable fraction is being applied by BIN.
- As required by the Housing and Economic Recovery Act of 2008 (HERA) we provide tenant/household level information obtained from this data to HUD annually. HUD uses this data, in part, to ensure the integrity of the LIHTC program by looking at the populations served in projects developed with tax credits across the country.

We have produced this manual on the use of the COL program to assist you with this important part of your job. LIHTC projects have two deadlines to meet:

- **New projects** which take credits in the current tax year must submit their data for testing by *April 1st* during the first year of the initial credit period.
- **Existing projects** (those in year 2 and on) of the project's extended use period (at least 30 years) are required to submit their data using COL by *March 1st.*

Upon submission, IFA tests the data and works with each project to ensure the accuracy and integrity of the data. Any data which is not corrected or projects who fail to report will be issued an owner's report and an 8823 will be submitted to the IRS for their consideration.

As the political jurisdiction (PJ) for the Iowa HOME funds allocated by HUD we are required to collect annual rent and occupancy data from project owners. The vast majority of Iowa HOME funds were allocated to projects containing tax credits so the COL process should be a familiar one. For owners with HOME only projects the use of COL may be daunting. *Beginning with reporting for the year 2015*, IFA will enforce the use of COL for those projects who are not currently reporting to us annually. The deadlines for data will be the same as those of the tax credit projects. New HOME projects will submit data by April 1st and existing HOME projects by March 1st. A State Notice of Noncompliance will be issued to projects to fail to submit their data.

We are hopeful this guide will be of assistance and aid you with training new staff that will have the responsibility of managing the data for your project.

Iowa Finance Authority Contact Information

Phone: (515) 725-4900

Toll-Free: 1-(800)-432-7230

Fax: (515) 725-4901

IFA Main Website: www.iowafinanceauthority.gov

LIHTC and HOME Compliance webpage: http://www.iowafinanceauthority.gov/Home/DocumentSubCategory/7

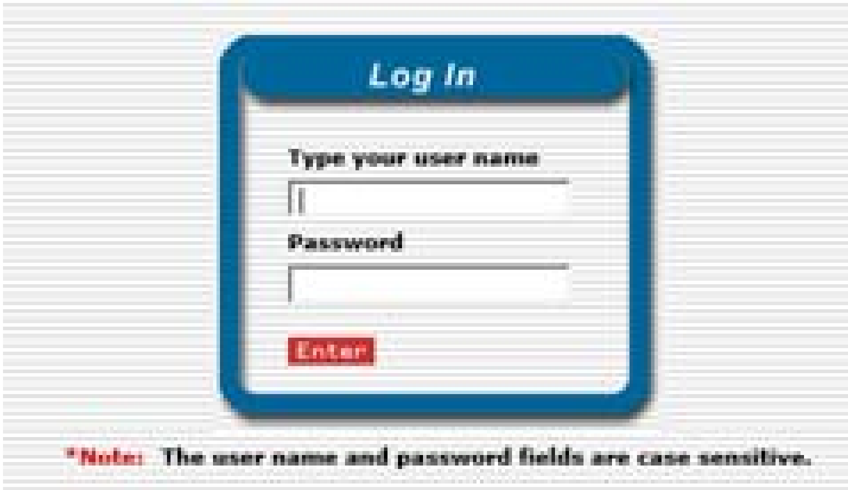
Table of Contents

SECTION 1

GETTING STARTED

SECTION 1: GETTING STARTED

You must have Internet Explorer 8 or higher or Google Chrome to use this program.
To begin working in Certification Online (COL), the user will go to the following site: https://iowafinanceauthority.iowa.gov/secure/COL//COL001.acu. Once there, the user will need to enter their Temporary User ID and Password assigned by IFA. Please take note that the username and password fields are case sensitive.



Once the step above is complete, COL will prompt the user to create a new username and password. The current username and password fields are the Temporary user ID and password that was assigned by IFA. Please again take note that the username and password fields are case sensitive and that each must be at least 6 characters long. Once this is complete, you will gain access into the COL system.

Special item to note before proceeding to enter any data into the system: DO NOT USE INTERNET MENU BAR TO GO BACK/FORWARD OR CLOSE. ALWAYS USE THE FLAGS/BUTTONS WITHIN THE COL PROGRAM TO 

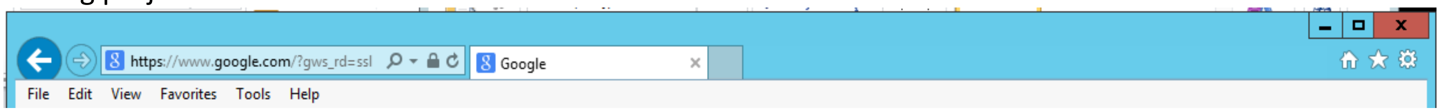
WINDOWS THAT ARE OPEN.

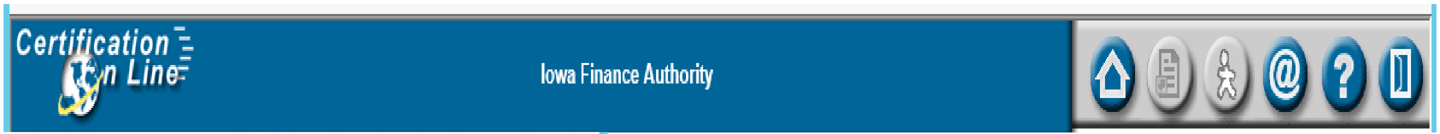
SECTION 2

PROGRAM MANAGEMENT OPTIONS

SECTION 2: PROGRAM MANAGEMENT OPTIONS

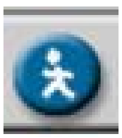
Once logged in you will see the main screen that lists your project(s). Always use the icons in the COL system to complete actions. Do not use the Explorer icons at the top of the screen to avoid being logged off and/or locking projects.





 HOME – Takes the user(s) to the project list;

 UPLOAD DOCS (UNAVAILABLE);

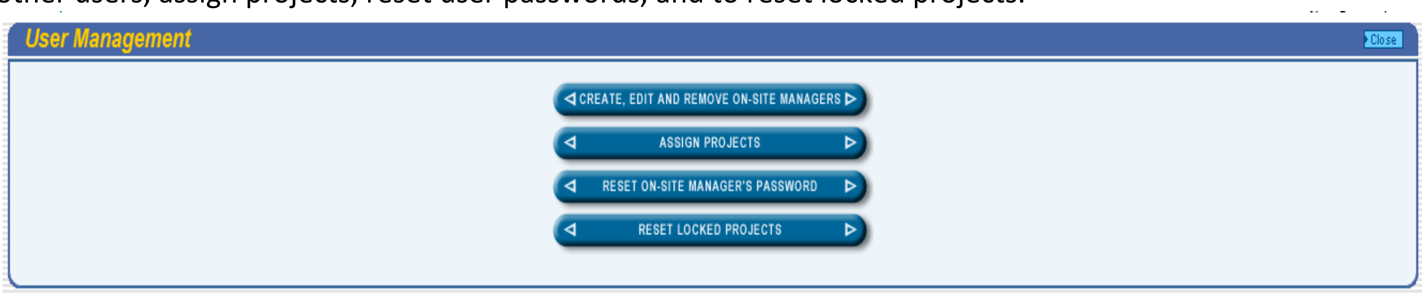
 USER MANAGEMENT – Allows "Super User" to set up sub users, reset locked projects, et cetera;

 CONTACT US – Allows the user to send an email to the Compliance Staff at IFA;

 LOG OUT – Closes users out of the COL system (must use this to protect private tenant information);

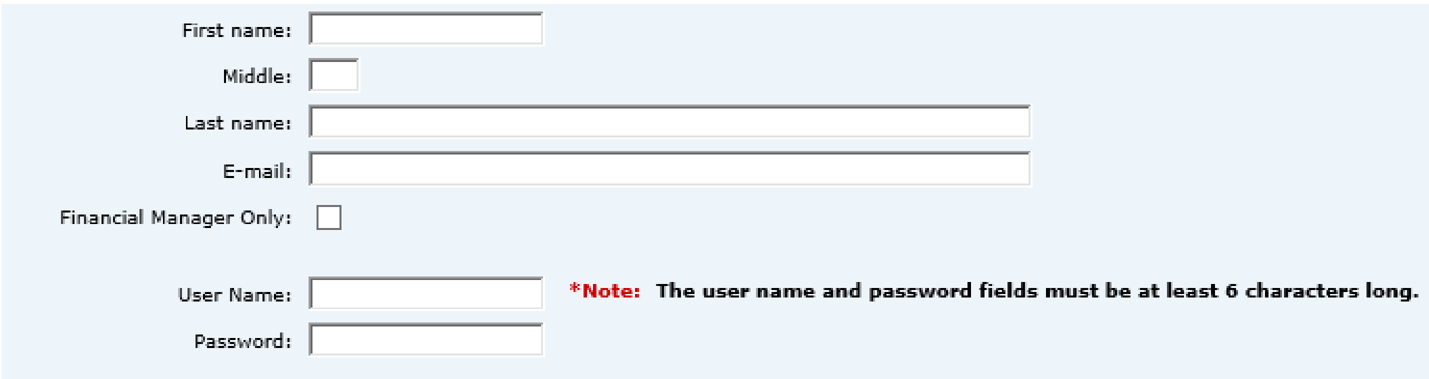
 HELP – Opens up a searchable tool from which users can find answers to commonly encountered problems in the COL System.

The "Super User" will need to click on the User Management Icon in order to create, edit, and/or remove on-other users, assign projects, reset user passwords, and to reset locked projects.

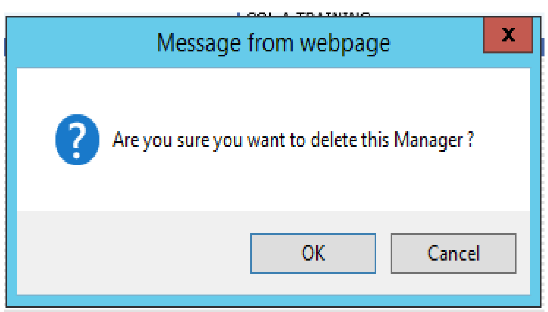


The following are the steps to create, edit, and remove other users. Step 1.) Select the Create, Edit, and Remove On-Site Managers icon. Step 2.) Click “New.” Step 3.) Enter in the on-site manager’s information including their full name, and email. Create a user name and password for the user you created. To delete an user, the same steps will be followed, but instead of selecting “New,” the user will select “Delete.” Once complete click “Update.”

<u>OR</u>



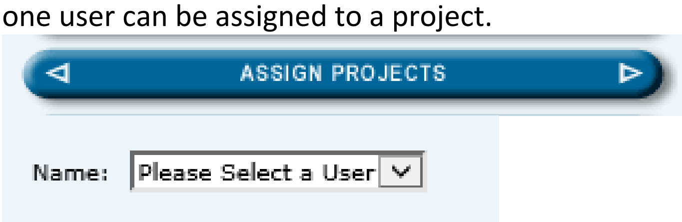
If you choose to delete a user, the system will prompt you to select whether or not you actually want to delete them.



Select “Close” when finished.

<u>NOTE: ****When a user leaves employment you must delete them immediately from the system. If the Super User leaves employment you must notify IFA immediately. Super User/Users will continue to have access to the system if this process is not followed.**</u>**

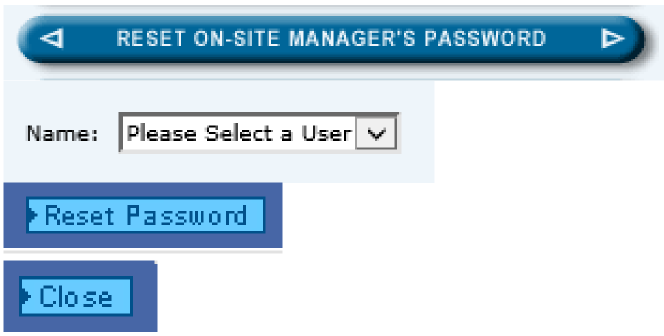
This tab allows you to assign projects to a user(s) who can input data and run tests. Under User Management, click “Assign Projects”, select the user then the project they are being assigned to and “Update”. **NOTE:** Only one user can be assigned to a project.



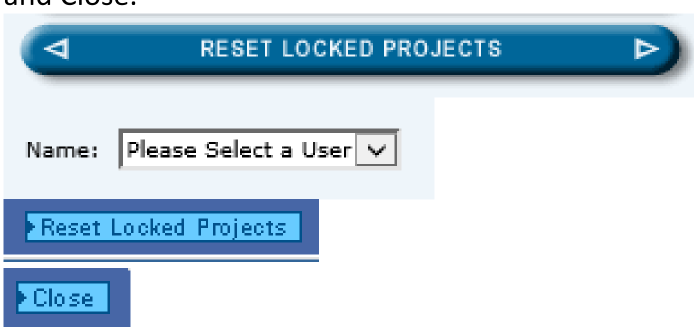
Project Assignment

Assign	Project ID	Name of the Development	Address	Assigned To
☑	87-10	test	test	Diana Smith

This tab allows the Super User to reset on-site manager's passwords. The Super User will select the reset password icon and select which user's password needs reset. Finally, the Super User will click reset password to take the user back to the original assigned password then Close.



This tab allows the Super User to reset locked projects when a user gets an error "Record locked by another user". Click on "Reset Locked Projects" and then select the user, finishing by clicking "Reset Locked Projects" and Close.

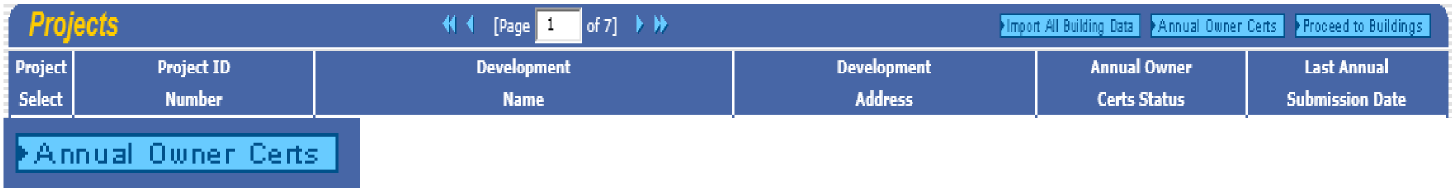


<u>SECTION 3</u>

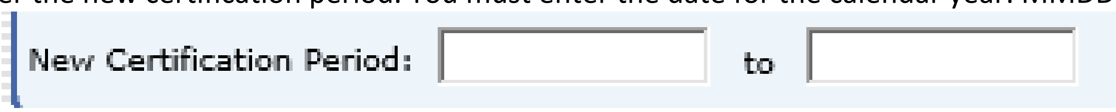
ANNUAL OWNER CERTIFICATION

SECTION 3: ANNUAL OWNER CERTIFICATION

The main screen lists all of the projects that have been assigned to your management company. To complete the Annual Owner Certification, the user will select the project and then proceed by clicking the "Annual Owner Certs" tab at the top.



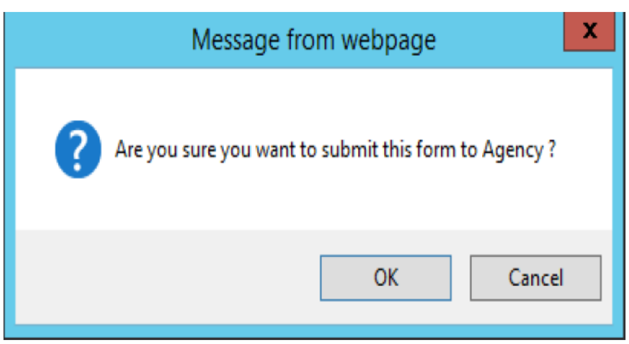
You will enter the new certification period. You must enter the date for the calendar year: MMDDYY.

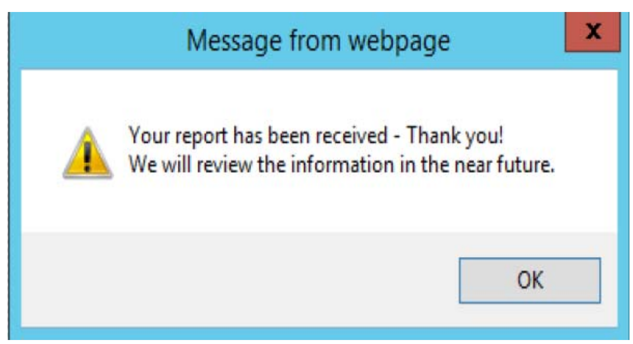


When proceeding, please DO NOT ANSWER ANY OF THE QUESTIONS – IFA SENDS OUR OWN OWNER CERTIFICATION OF CONTINUING PROGRAM COMPLIANCE FORM OUT ANNUALLY WHICH INCLUDES ADDITIONAL QUESTIONS.

If the Super User is not ready to submit the Annual Owner Certification, click:

If the Super User is ready to submit the Annual Owner Certification to IFA (Owner Cert must be completed and submitted prior to submitting buildings), click:





Once "Submit" is clicked you will be prompted with a message asking if you are sure you wish to submit the certification form to IFA. Once you press OK you will receive a message stating that the form has been received. IFA will post the form internally.

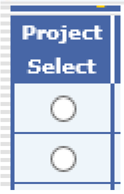
SECTION 4

MANUAL ENTRY: NEW TENANT CERTIFICATION

SECTION 4: MANUAL ENTRY: NEW TENANT CERTIFICATIONS

If you do not have a 3rd party software that uploads into the system, you will manually enter data for tenant certifications at move-in and for re-certifications to verify that the tenant qualifies to live in the unit under Low Income Housing Tax Credit (LIHTC) and HOME program rules.

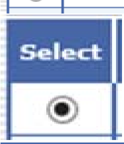
To begin, from the Projects Screen, select the project you will be working in by clicking the radial button on the left as demonstrated below:



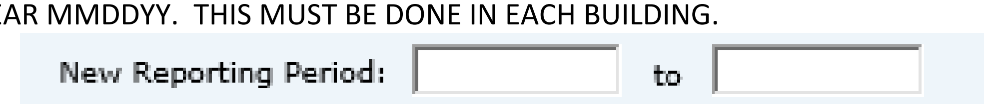
Then continue by selecting "Proceed to Buildings" at the top right of the screen.

Next, you must select the building you want to work in by using the radial button at the left and selecting "Proceed to Units" at the top right of the screen.

Lastly, you must select the unit which you wish to work in by using the radial button on the left. Once this is complete, you will select "New Tenant Cert / Recert" at the top of the screen as shown below.



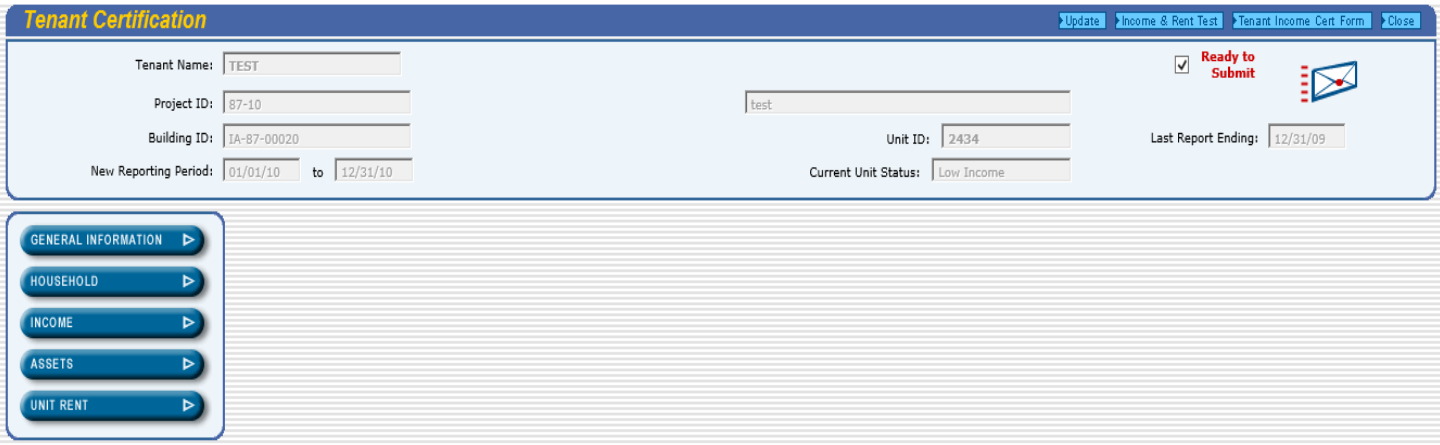
Once these steps are complete, you are ready to begin the new tenant certification process. **SPECIAL NOTE:** THE FIRST UNIT YOU WORK IN WILL REQUIRE YOU TO ENTER A REPORT PERIOD. ENTER CALENDAR YEAR MMDDYY. THIS MUST BE DONE IN EACH BUILDING.



NEW TENANT CERTIFICATION STEPS

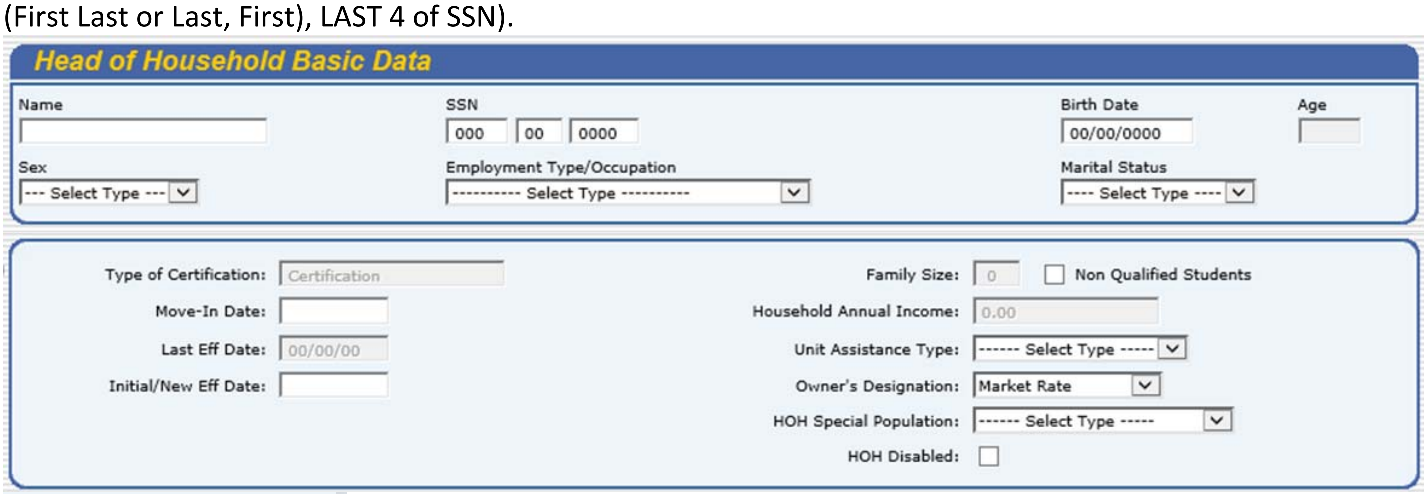
During the new tenant certification, there will be a significant amount of crucial data that will need to be entered for each new tenant in any given unit. This information is certifying whether or not the tenant is eligible to live in the unit.

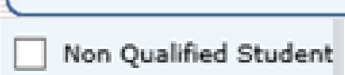
You will notice again that this section of the COL System has a selection of tabs. Each tab requires tenant data to be entered to certify they are eligible to live in the unit.



For the "General Information" tab, all information will need to be entered for the Head of Household including, but not limited to the following: tenant's name, Social Security number, age, marital status, move-in date, etc. Please note the grayed-out boxes in this screen will populate based on entries made in other screens. Use the Tab key on your keyboard to move through the fields or use your mouse. All information in the following screens comes from the Tenant Income Certification (TIC) signed by the tenant, or the system will generate a TIC (for the tenant to sign) based on your entries in the following screens.

Step 1). Enter data for all fields in the Head of Household Basic Data Section. (USE FIRST AND LAST NAME (First Last or Last, First), LAST 4 of SSN).

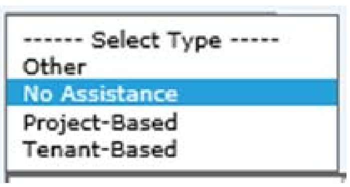




Only check the box above if all members of the unit are full-time students without exemptions.

The move-in date must be entered as MMDDYY.

A unit assistance type will need to be selected if the tenant receives Section 8 or other governmental assistance to help cover a portion of their rent. For example, the new tenant could live in a Project Based Sec. 8 property or the tenant could possess a Tenant Based – Housing Choice Voucher from a Public Housing Authority (PHA). If the tenant has any other type of unit assistance, the user should select "Other" – which would signify the tenant is receiving some other form of federal or state governmental rental assistance. Please select "No Assitance" if the tenant is not receiving any form of rental assistance. See below.

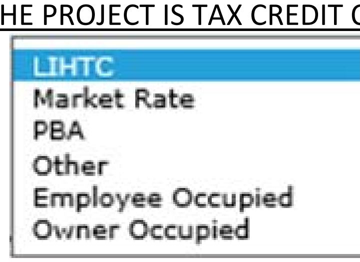


Enter an Initial/New Effective Date for this certification. It must be entered as MMDDYY and should match the client's move-in date.

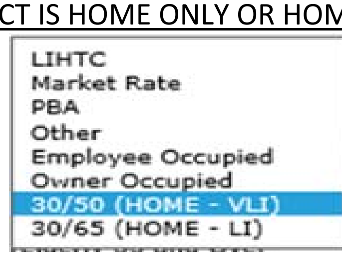
NOTE: For USDA/RD or Sec. 8 where effective dates could fall after move in date, you will complete a certification showing the effective date the same as the move in date (if all verifications are received by the move in date) then complete a recertification entry showing the USDA/RD or Sec. 8 effective date.

Select what type of unit the tenant is going to be residing in as noted in the screenshot examples below:

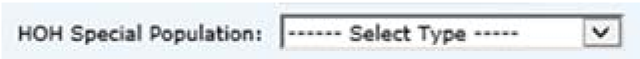
<u>IF THE PROJECT IS TAX CREDIT ONLY</u>



<u>IF THE PROJECT IS HOME ONLY OR HOME/TAX CREDIT</u>

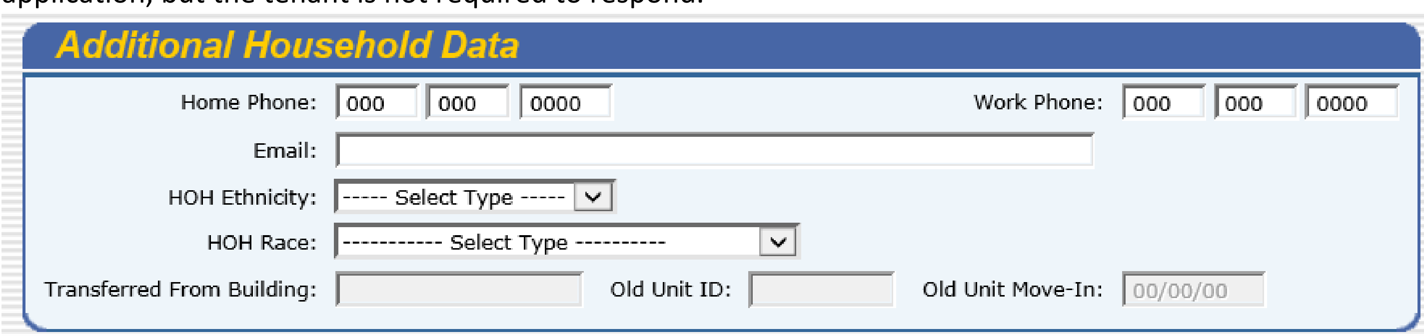


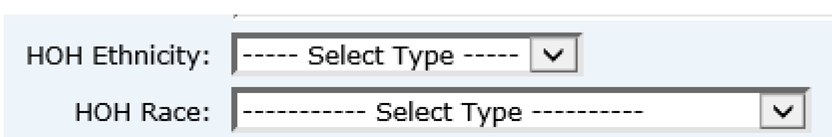
Select what special population the head of household may be categorized as.



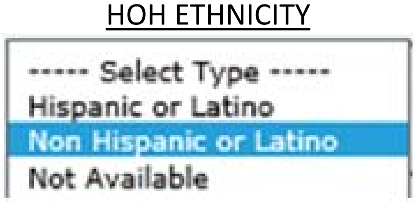
This box should be checked only if the tenant claims to be disabled. This must be a question on the application, but the tenant is not required to respond.

Some additional household data is also needed including the following: home phone, work phone, and email are (optional). The head of household's race and ethnicity are required to be asked on the application, but the tenant is not required to respond.





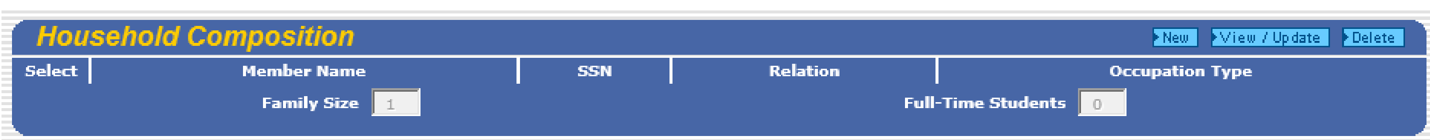
HOH ETHNICITY



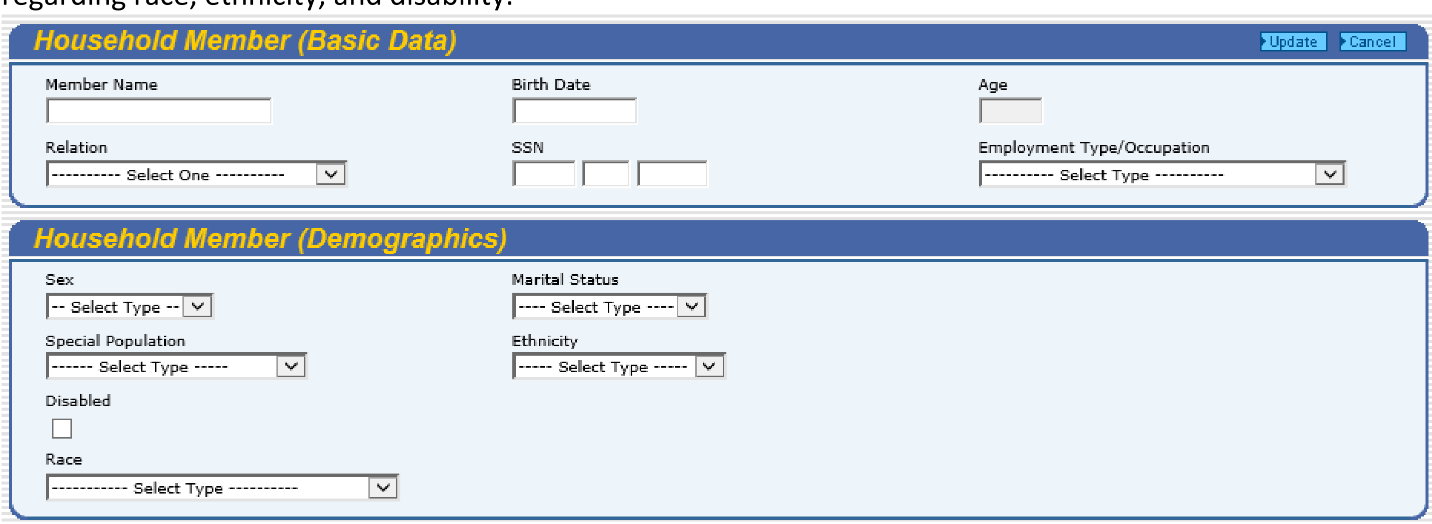
HOH RACE

ADDING ADDITIONAL HOUSEHOLD MEMBERS

Step 2) Select the "Household" tab on the left side of the screen to add in data regarding additional household members (if any).

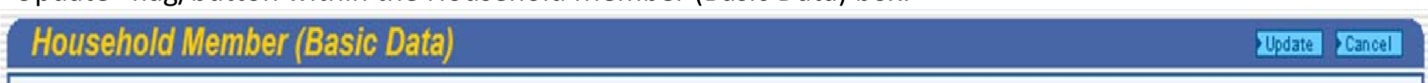


Select "New" and begin entering information for the additional member(s) of the household. Please note the drop down menus are the same as the "General Information Screen" – the same rules apply regarding race, ethnicity, and disability.



Select what relationship the additional household member is to the head of household.

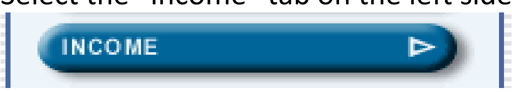
Once you have completed the necessary data entry for the individual household member, select the "Update" flag/button within the Household Member (Basic Data) box.



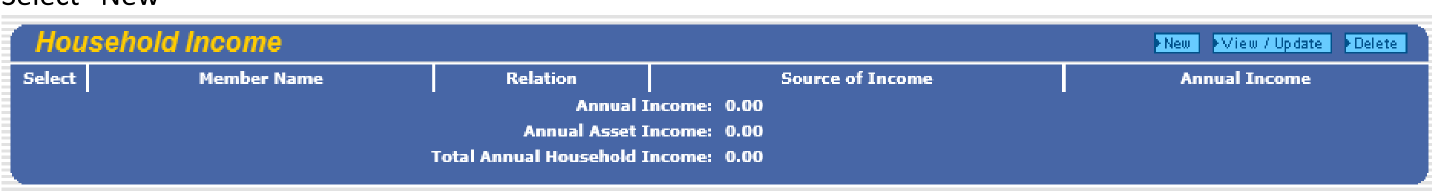
Continue the process until ALL household members have been added (including unborn children).

Step 3)

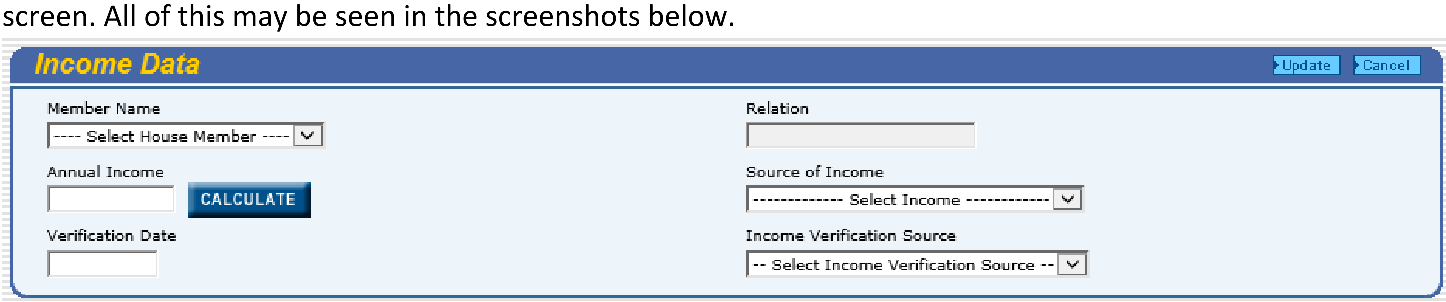
Select the "Income" tab on the left side of the screen to add in data regarding tenant income.



Select "New"



Under "Income Data," select the Member Name. The "Relation" field will automatically populate. Enter the tenant's annual income in dollars and cents (i.e. 35000.00). Select the Source of Income and Income Verification Source from the drop-down menus. Please disregard the calculate button found on the screen. All of this may be seen in the screenshots below.



Member Name

---- Select House Member ----

---- Select House Member ----
TEST
Jane Doe
john

Annual Income

0.00 CALCULATE

Gross Income. (Disregard calculate button)

Verification Date

Date Manager RECEIVED verification. Enter as MMDDYY.

Source of Income

------------- Select Income ------------

------------- Select Income ------------
Wages
Business Income
Social Security/Pensions
Public Assistance
Interest/Dividends/Trusts
Alimony/Child Support
Annuities/Periodic Payments
Student Subsistence Allowance
Unemployment
Overtime
Commision/Bonus
Child Support
Tip Income
Other

Income Verification Source

-- Select Income Verification Source --

-- Select Income Verification Source --
Employer Verification
Check Stubs/Earning Statement
Tax Returns - Individuals
Tax Returns - Business
Accountant/CPA Statement
Benefits Provider Verification
Separation/Divorce Settlement
Payer/Benefactor Affidavit
Bank/Trustee Verification
Attorney's Statement
Copy of Benefits/Payment Check
Not Verified
Other

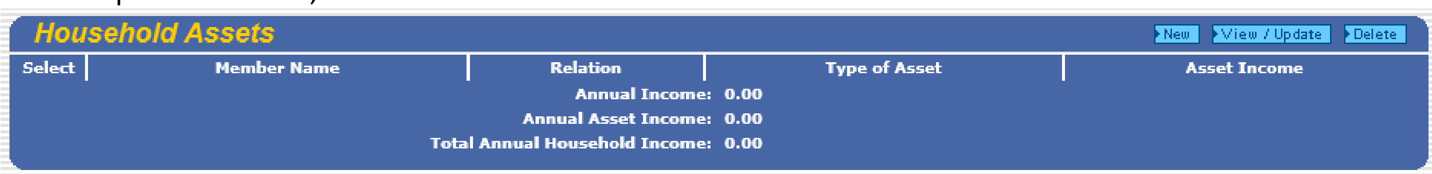
When all the income information has been input, select "Update" in the Income Data box.

Continue this process until all applicable tenant's income data has been entered.

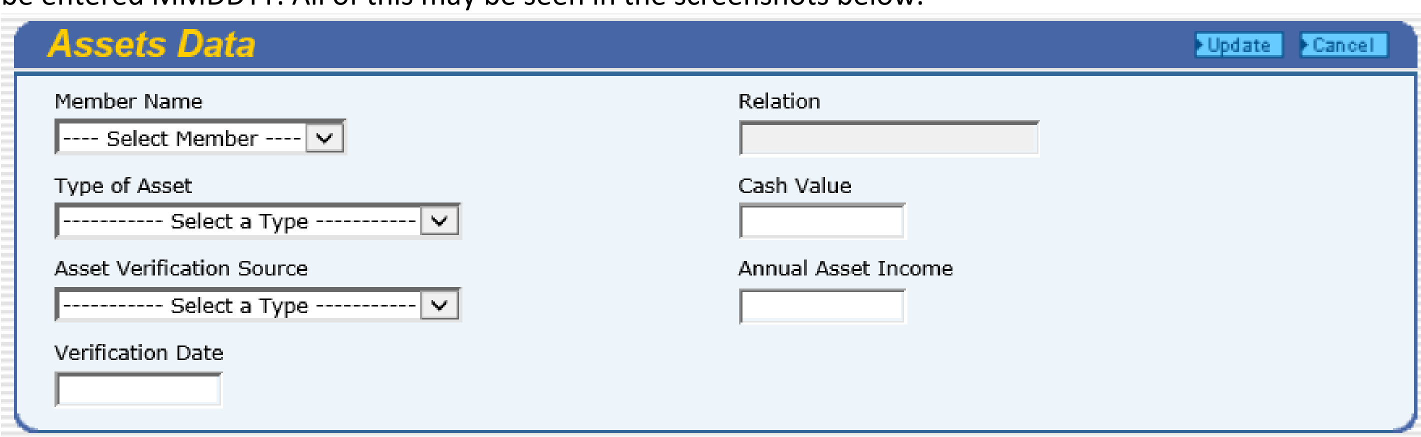
Step 4)

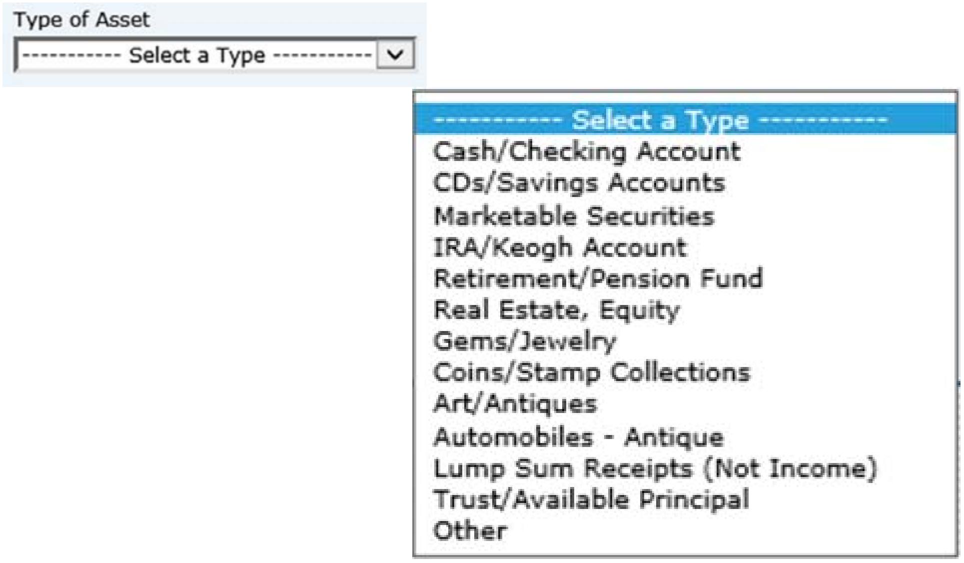
Select the "Assets" tab on the left side of the screen to add in data regarding tenant assets.

At the top of the screen, select "New."

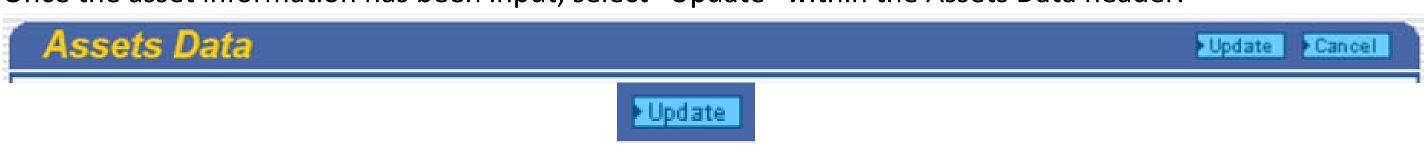


Under "Assets Data," select the Member Name. The "Relation" field will automatically populate. You will enter in the **cash value** of the tenant's asset in dollars and cents (i.e. 35000.00). The verification date will be entered MMDDYY. All of this may be seen in the screenshots below.





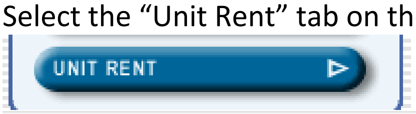
Once the asset information has been input, select “Update” within the Assets Data header.

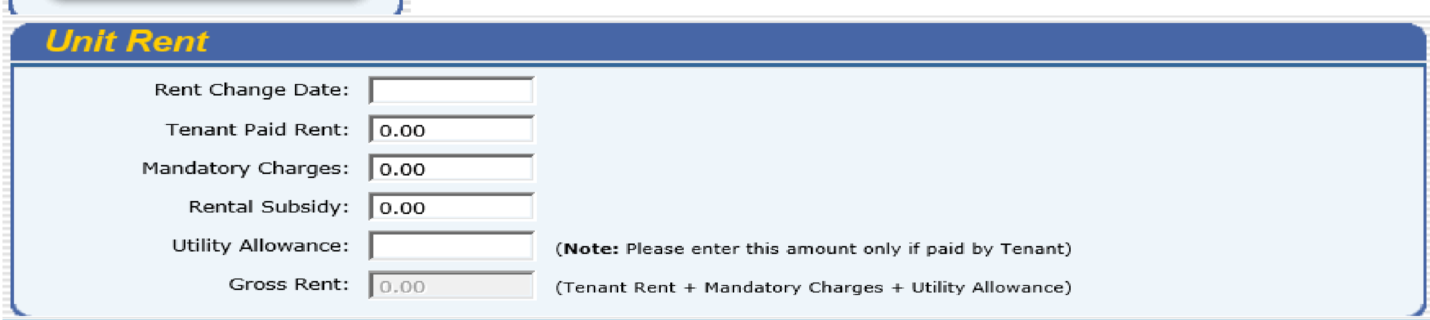


Continue this process until all data regarding tenant(s) assets has been entered. Please note that the system only allows entries of up to 5 assets. If the tenant(s) have more than 5, you will need to combine similar types of assets and income from assets.

Step 5)

Select the “Unit Rent” tab on the left side of the screen to add in data regarding the tenants rent.





Rent Change Date:

Do not enter a rent change date for a new move-in or recertification. Only use a date when there is a change in the tenant(s) rent outside of the certification (i.e. utility allowance change, across the board rent change, subsidy approved or removed, etc.)

Tenant Paid Rent: 0.00

This the actual amount the tenant pays for rent. Enter in dollars only.

Mandatory Charges: 0.00

These are non-optional charges that are a condition of occupancy the tenant must pay (i.e. garage rental, cable, etc)

Rental Subsidy: 0.00

This is the amount of subsidy the tenant is receiving for rental assistance (i.e. Section 8 Voucher or other government rental assistance).

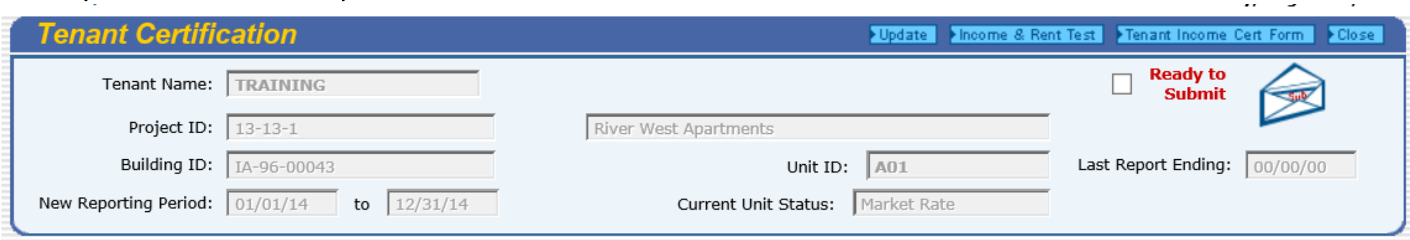
Utility Allowance:

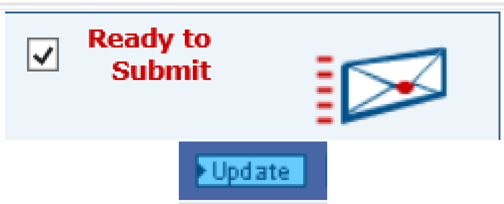
This amount reflects what has been provided by the local PHA or an IFA approved allowance.

Gross Rent: 0.00

The Gross Rent is the total amount the tenant pays. **NOTE:** If Tax Credit only it will include Tenant Paid, Madatory Charges, and Utility Allowance. If Home/TC or HOME only it will include all fields

Once you are certain all fields have been entered for all members of the unit, you will check the box "Ready to Submit" and "Update" the record.





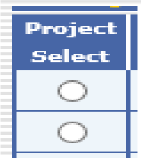
Note: At this point, the COL system will create a TIC for the tenant to sign after you have entered all the data in the appropriate screens. If you choose to use this feature you must click on the "Tenant Income Cert Form" prior to clicking on "Update". If you click "Update" before printing the TIC, see Chapter 11 for printing instructions after clicking "Update".

SECTION 5

MANUAL ENTRY: RECERTIFICATION

SECTION 5: MANUAL ENTRY: RE-CERTIFICATION

The following section will guide the user on how to complete recertifications for LIHTC only, HOME only, LIHTC/HOME, and Market Rate Units. The steps for re-certification are virtually the same as if the user completed a new move-in certification. Since it is a re-certification, some information from the system will populate the fields while others you will need to review and update where applicable (i.e. maybe their income has increased or decreased, or possibly there is a new household member – just to name a few examples.)

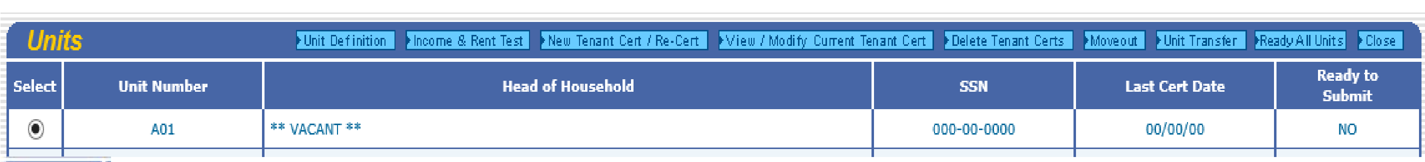


Click on the radial button for the project you wish to work in.

Select “Proceed to Buildings” at the top of the screen.

Click on the radial button for the building you want to work in.

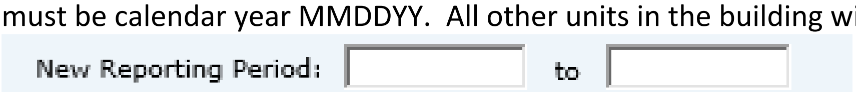
Select “Proceed to Units” at the top of the screen.



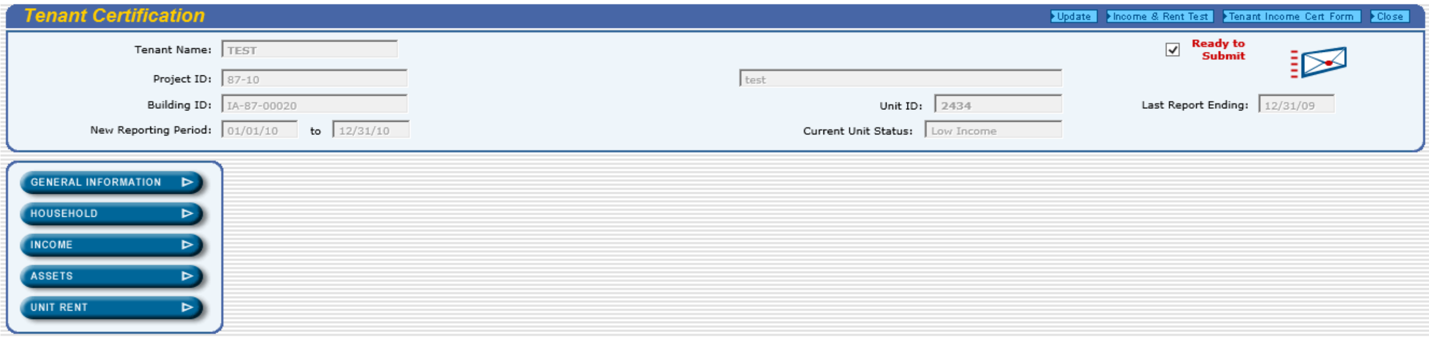
Click on the radial button for the unit you want to work in.

Select “New Tenant Cert/Re-Cert” at the top of the screen.

REMINDER: For the first unit you work on in the building you will enter the New Reporting Period and must be calendar year MMDDYY. All other units in the building will automatically populate this date.

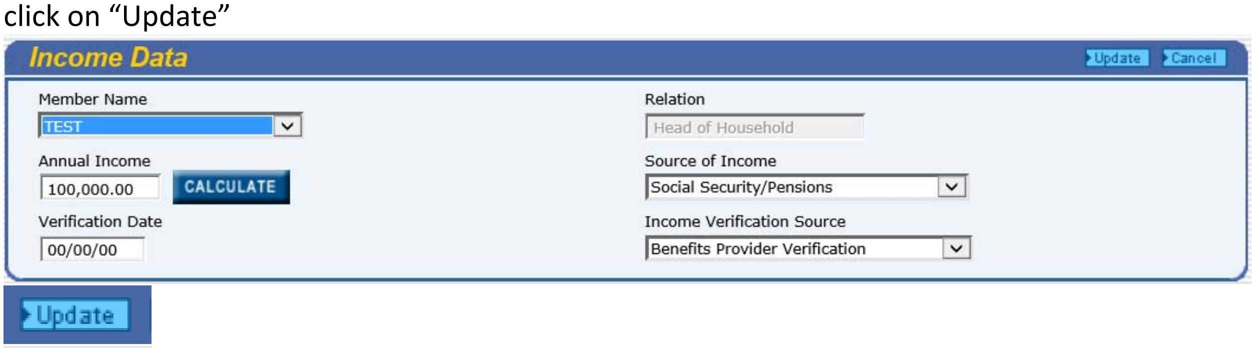


You will complete the various fields from the tabs on the left side of the screen (i.e. General Information, Income, etc.) The steps in completing the fields are exactly the same as if you were completing a new move-in certification, with a few caveats noted below.

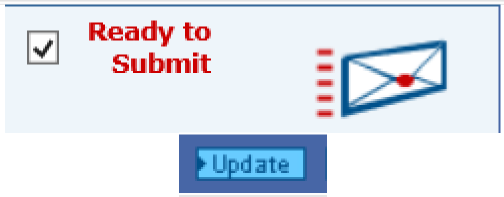


1) LIHTC/HOME and HOME only must update all tabs.
2) The HOME Program requires full re-certifications every 6th year of the affordability period and self-certifications done in the in-between years.
3) 100% LIHTC projects with no HOME will only update the “General Information” and “Unit Rent” tabs.
4) If the project has state agency covenants in the Land Use Restrictive Agreement (LURA) re-certifications are required and you must review and update all tabs where applicable.
5) If LIHTC/Market – Re-certifications are required and you must review and update all tabs where applicable.

NOTE: When completing a re-certification, the gray boxes in the “General Information” tab will show the data history as of the last posted report. When Income and Assets are from the same source as the prior year you will not use the NEW flag you will use the VIEW/UPDATE flag to update the information then click on “Update”



When all fields have been updated for the unit, you will check the box “Ready to Submit” and “Update” the record.



SECTION 6

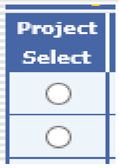
UNIT TRANSFER & MOVE-OUT

SECTION 6: UNIT TRANSFER & MOVE-OUT

Whenever a household transfers to another unit within the project or if they move-out of the project, this information will need to be entered into the system.

In the case of a unit transfer, you will select the project in which the transfer is occuring by clicking the radial button next to it.

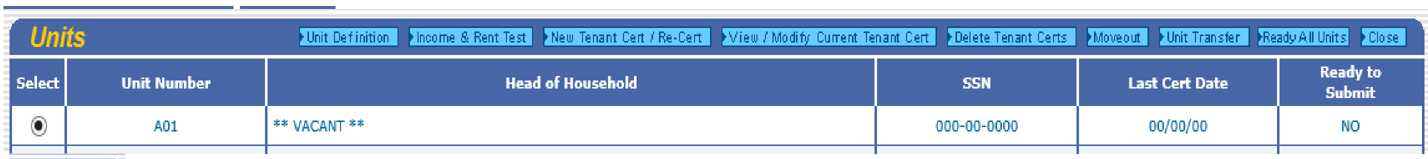
Project Select	Project ID Number	Development Name	Development Address	Annual Owner Certs Status	Last Annual Submission Date
◉	87-10	test	test	NOT SUBMITTED	08/18/15



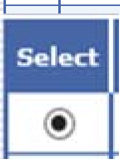
You will then click on “Proceed to Buildings” in which you will select the building you will work in by selecting the radial button to the left of it.

Bldg Select	Building ID Number	Placed in Service Date	Last Report Date	IRS Compliance Status	HOME Compliance Status	Agency Compliance Status	Tenant Recert Status	Last Submission Date
◉	IA-87-00020	01/01/10	12/31/09	Out of compliance	Not tested	Not tested	READY	10/15/12

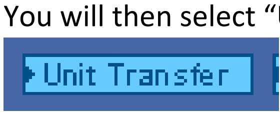
You will then click on “Proceed to Units” in which you select the unit that is transferring out by selecting the radial button on the left next to the unit.



Select	Unit Number	Head of Household	SSN	Last Cert Date	Ready to Submit
◉	A01	** VACANT **	000-00-0000	00/00/00	NO

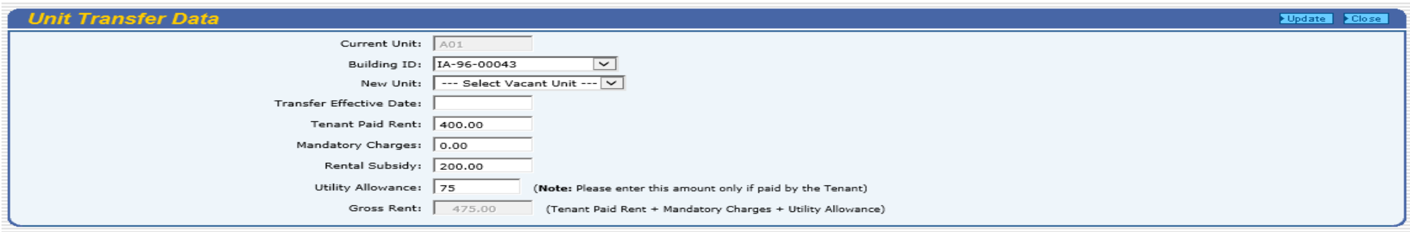


You will then select “Unit Transfer” at the top right of the screen.



This will bring up the Unit Transfer Data screen pictured below.

This screen is where you will enter information regarding the transfer out.



The “Current Unit” field is prepopulated with the unit number.

If the owner elected to have a multiple building project on the 8609 Form, a drop down menu will be present which will list all buildings in the project. If other buildings do not show up in the drop down, then transfers are not allowed between buildings in the project.

This is where the user will select which unit the tenant wishes to transfer to. Note that only vacant units will show up in this drop down menu.

The user will enter the effective date of the unit transfer, MMDDYY.

This field is prepopulated with information that has already been entered into the COL system from the most recent certification. Please update the field if the tenant paid rent amount will change with this transfer.

This field is prepopulated with information that has already been entered into the COL system from most recent certification. Please update the system if the mandatory charges amount will change with this transfer.

This field is prepopulated with information that has already been entered into the COL system from most recent certification. Please update the system if the rental subsidy amount will change with this transfer.

This field is prepopulated with information that has already been entered into the COL system from most recent certification. Please update the system if the utility allowance amount will change with this transfer.

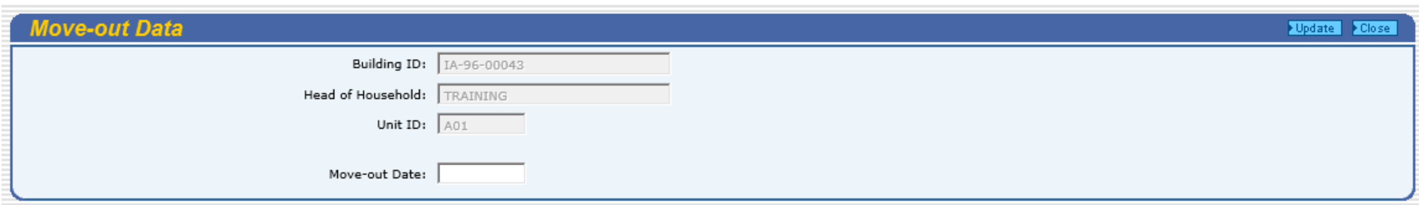
This field will automatically update based on any new entries for this transfer.

Once the information above is reviewed and updated where applicable, then select “Update” at the top of the screen.

MOVE OUT

The same steps will be followed as in previous sections to arrive at the unit you wish to work in. Select the Project > Proceed to Buildings > Select the Building > Proceed to Units > Select Unit, and click on "Move-out".

The following screen will appear:



Enter the move out date MMDDYY. Once you have entered the move-out date, select update in the Move-Out Data box and the unit will now show Vacant.

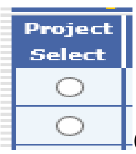
SECTION 7

CORRECTING ERRORS MANUALLY

SECTION 7: CORRECTING ERRORS MANUALLY

As a user, you may encounter situations where you find that an error has occurred with the data you have entered into the COL System. Below are some commonly encountered issues and how to correct them.

If you should find an error in any dates entered in the current year data entry, you must delete entry(ies) to fix it. In order to do that, proceed with the following steps:

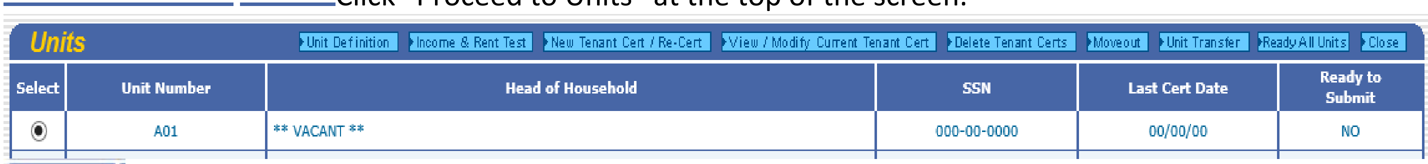


Click on the radial button next to the project for which there is an error(s).

Click “Proceed to Buildings” at the top of the screen.

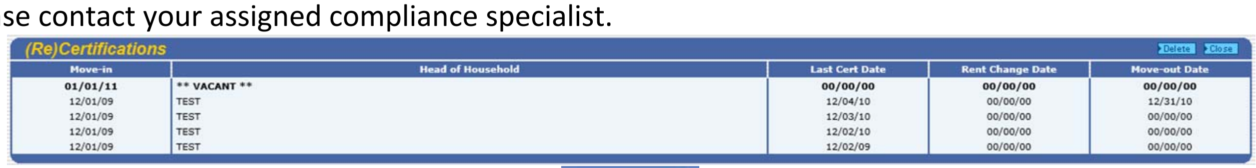
Click on the radial button next to the building for which there is an error(s).

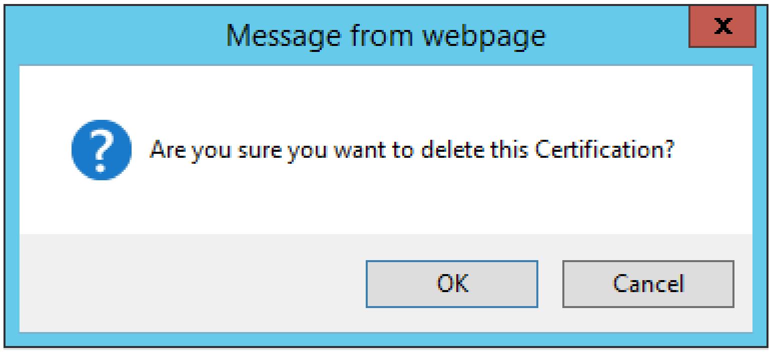
Click “Proceed to Units” at the top of the screen.



Click on the radial button next to the unit that needs an error corrected.

You may then click “Delete Tenant Certs.” Note that you can only delete from the top entry down (see below) – if it is an error from a prior reporting year that has been posted, please contact your assigned compliance specialist.





Once you click the “Delete” button, the system will provide this message asking if you are sure you want to delete the certification. If you are sure, press ok. Then click “Close” at the top of the screen to return to the units list.

IMPORTANT THINGS TO REMEMBER

1) The user will need to re-enter all data for the entries that were deleted.

2) If it is an error with a transfer, the user will need to delete these very carefully:
- i.) Delete any new entries that were completed after the transfer into the transfer unit.
- ii.) Delete any new entries that were completed after the transfer out in the transfer out unit.
- iii.) When the transfer out unit shows “Vacant,” delete the vacant unit and that will pull the tenant back into the transfer out unit and show the other unit as “Vacant.”

3) If the error was with a transfer issue that was part of the 3rd party upload process, please notify your assigned compliance specialist detaling the following:
- i.) The transfer out unit;
- ii.) The transfer in unit;
- iii.) The tenant(s) name(s);
- iv.) The date of transfer;
- V.) Provide copies of the TICS for the transfer out and any new move ins or re-certifications that occurred for the units involved.

These transfers must be corrected by IFA’s programmer.

4) If you find an error from prior year’s submissions (previous 3 years), please notify your assigned compliance specialist detailing the following:
- i.) Unit(s) involved;
- ii.) Clearly identify what is incorrect and how it should be corrected;
- iii.) Provide copies of the TICS;
- iv.) Give approval for IFA to take the project offline to correct it.*

Please note that some issues may be too old or cannot be corrected without extensive work. In those cases, IFA will post a memo in the system explaining the issue(s).

* If IFA needs to take the project offline, please be aware that any data you have entered without submitting it will be erased. If you have data entered that you do not want to lose, you can submit the building(s) prior to IFA taking it offline. Notify IFA when it is clear to take the project offline.

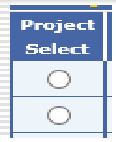
SECTION 8

3RD PARTY SOFTWARE UPLOADS

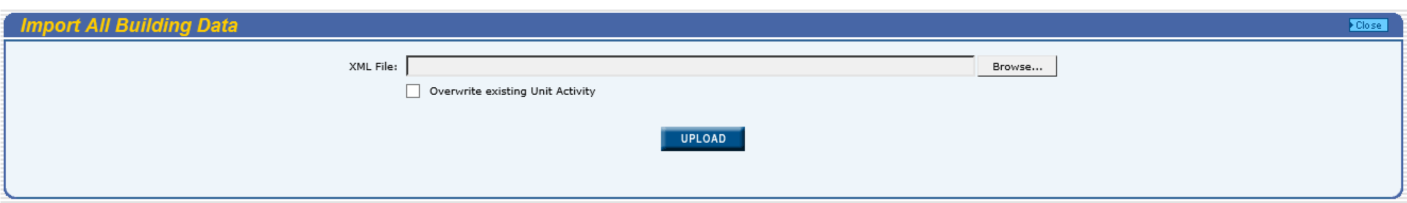
SECTION 8: 3rd PARTY SOFTWARE UPLOADS

There are known sofware companies using the Emphasys Software schema for the COL System including the following: Real Page, Yardi, Simply Compute Software, Inc., Multi Site Systems, LLC, Boston Post, and IPM Software, Inc. Please note that COL system does not use the National Schema. Please check with your provider to verify they use the Emphasys schema. The schema is available for companies who have not implemented COL schema. Call your assigned Compliance Specialist for further information.

To upload XML files from 3rd Party Software Companies, start by selecting the project you wish to work in by clicking on the radial button next to it.



Proceed by clicking "Import All Building Data" at the top of the screen. A box will then pop-up allowing you to Browse…. for the file that you will be uploading. Please note to check with the 3rd Party Software vendor to ensure they create an XML file upload of all buildings. See below.

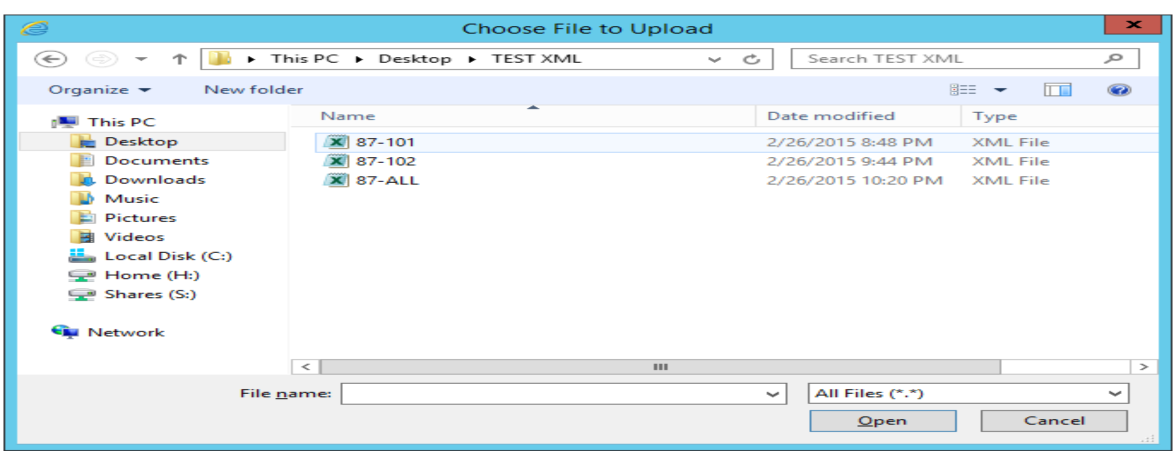


Special notes about 3rd Party XML file uploads:

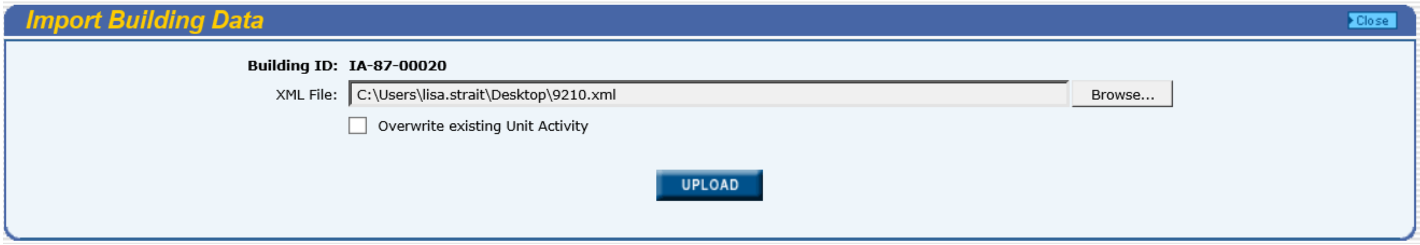
1) Files can be repeatedly uploaded.

2) The overwrite existing unit activity must be checked when re-uploading files.

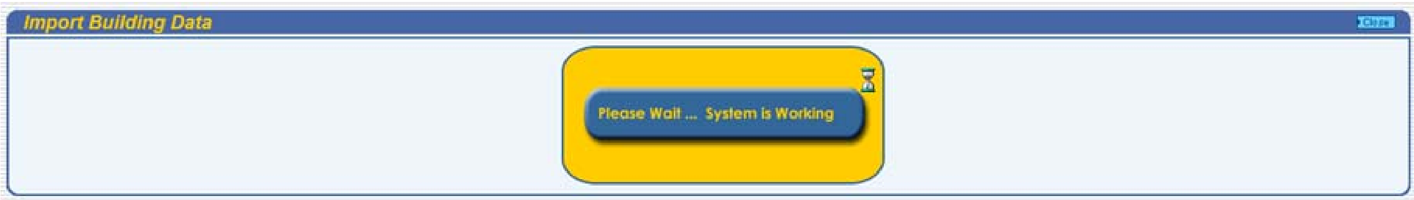
3) Double click the file you created from the 3rd Party Software



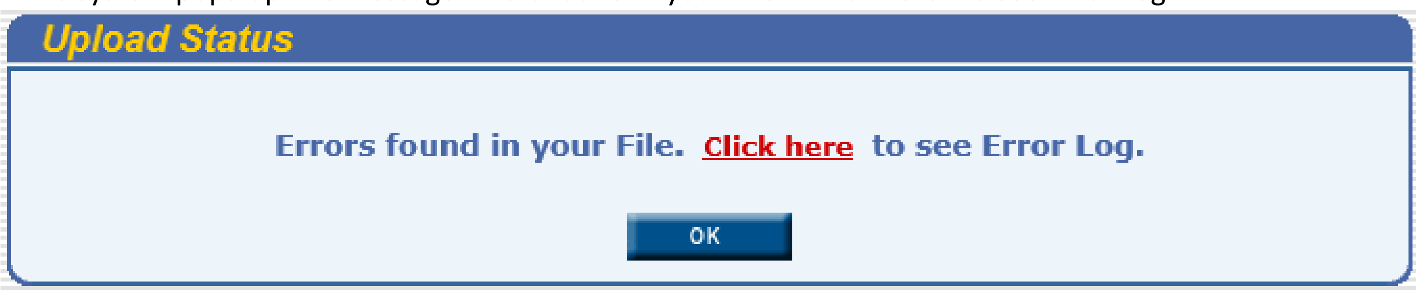
Once the file shows up in COL, you will click Upload to begin the process.



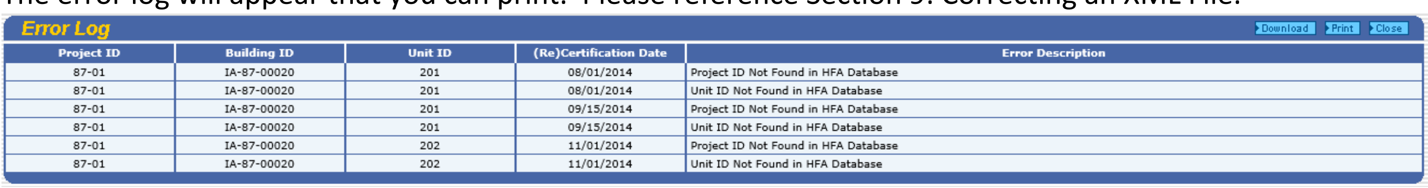
While the file is uploading into the system, the user should see this message.



If the system pops-up this message Errors found in your File. "Click here" to see Error Log.



The error log will appear that you can print. Please reference Section 9: Correcting an XML File.



Project ID	Building ID	Unit ID	(Re)Certification Date	Error Description
87-01	IA-87-00020	201	08/01/2014	Project ID Not Found in HFA Database
87-01	IA-87-00020	201	08/01/2014	Unit ID Not Found in HFA Database
87-01	IA-87-00020	201	09/15/2014	Project ID Not Found in HFA Database
87-01	IA-87-00020	201	09/15/2014	Unit ID Not Found in HFA Database
87-01	IA-87-00020	202	11/01/2014	Project ID Not Found in HFA Database
87-01	IA-87-00020	202	11/01/2014	Unit ID Not Found in HFA Database

When the message appears "All transactions for this project have been completed" the upload was successful and you will return to the Units screen and click "Ready All Units".

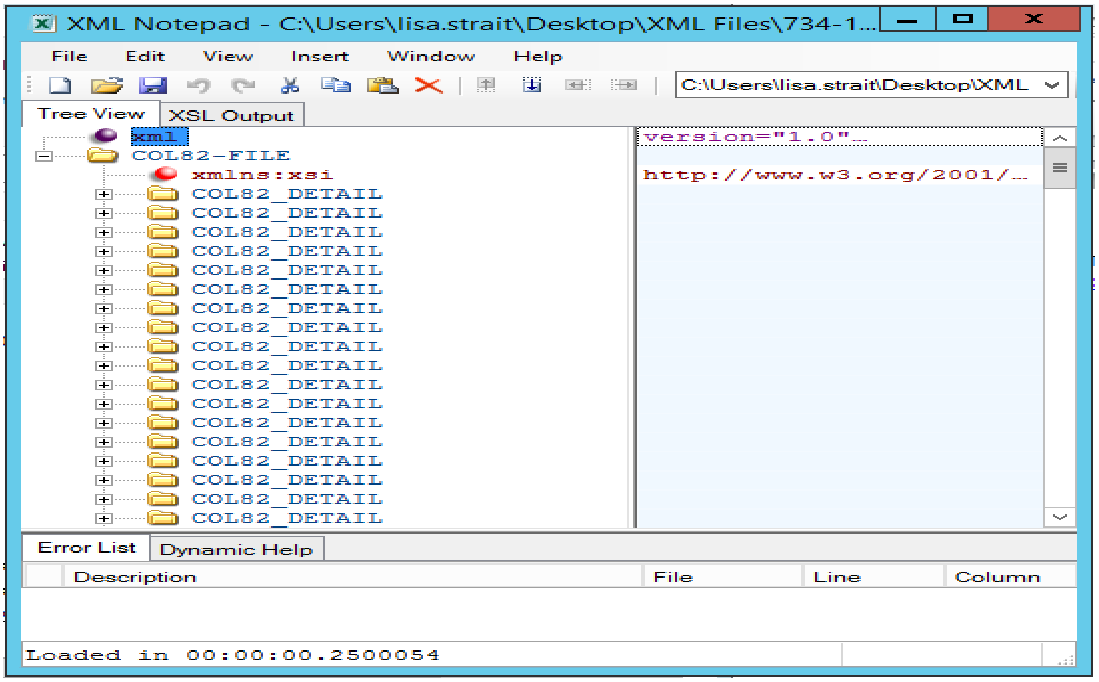
SECTION 9

CORRECTING XML FILES

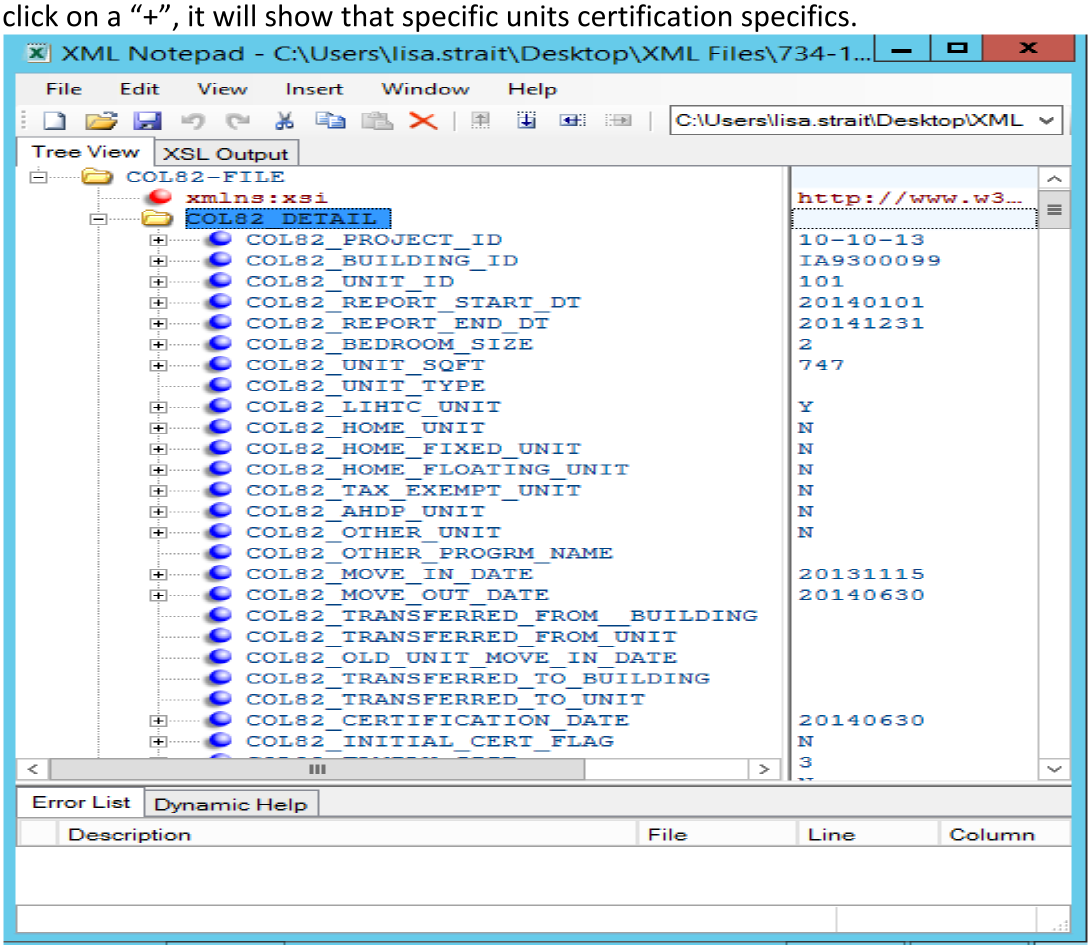
SECTION 9: CORRECTING XML FILES

It is recommended that you download the free XML Notepad to edit files. You may do that by following this link: http://www.microsoft.com/en-us/download/details.aspx?id=7973

Note that each "+" is an individual unit entry.

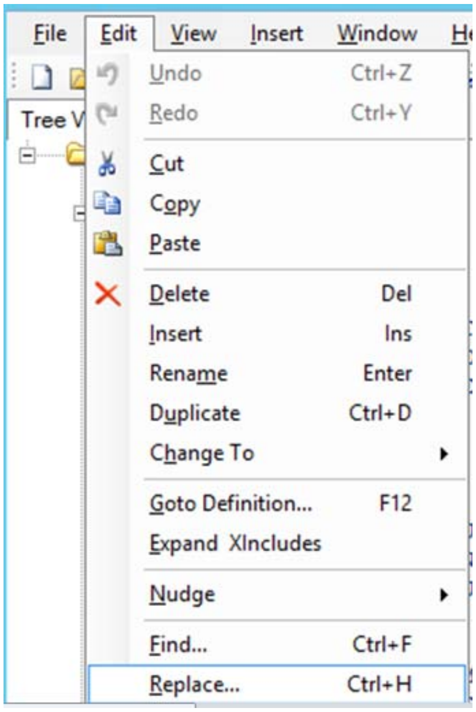


When you click on a "+", it will show that specific units certification specifics.

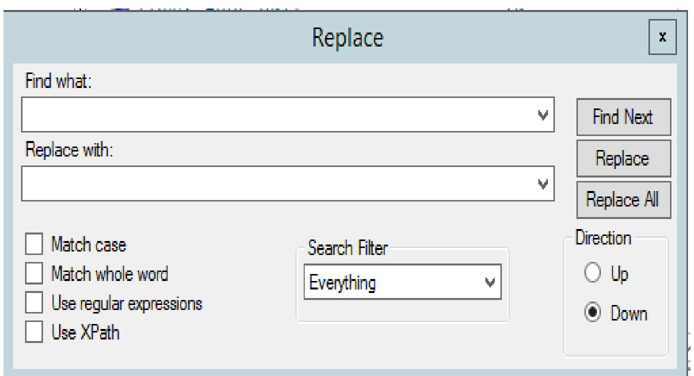


When the upload fails, according to what the error log shows:
Example: Cannot find Project ID: The project number must match COL exactly with the dashes.

CLICK EDIT > REPLACE



Find What?: Enter project number from the XML File.
Replace With?: Enter the project number listed in COL.
Click on "Replace All."



<u>COMMONLY ENCOUNTERED ERRORS WITH XML FILES</u>

1.) Cannot find BIN: The building must match COL exactly with no dashes. Follow the same process as Project ID, but only find and replace the BIN.

2.) Cannot find unit: Unit numbers must match COL exactly. These will need to be corrected individually by opening the "+". Click twice on the unit number (the field will turn light blue), correct the number and hit Enter (the field will turn dark blue). Other options: contact your compliance specialist to correct numbers in COL to match your system or you can correct them in your software. For sorting purposes, a zero can be entered in front of single number units, This can only be done by IFA.

3.) Move-in date cannot be earlier than the last move-in. Move-in dates in the XML file must match COL exactly. An error would indicate that the move-in date in the XML file does not match what was last reported and posted with IFA. Double click the move-in date and correct to match COL. If the date in COL is incorrect, please notify your compliance specialist.

4.) The last certification date cannot be earlier than the last certification proccessed by the agency. The last certification date must match COL exactly. An error with this would indicate that the last certification date in the XML file does not match COL. Double click the date and correct to match COL. If the date is incorrect in COL, please contact your compliance specialist.

5.) Transfer-in record not found. This indicates that the transfer-out record processed, but not the transfer-in. Check both records in the XML file to ensure each has the same date (out/in). Contact your compliance specialist for futher assistance and include the error report and the XML file.

6.) Transfer-out record not found. This indicates the transfer-in record processed, but not the transfer-out. Contact your compliance specialist for futher assistance and include the error report and the XML file.

7.) If there is a transfer error that includes a different BIN, contact your compliance specialist and include a copy of the error report and XML file.

8.) If you receive any error messages other than the ones listed above, notify your compliance specialist for assistance.

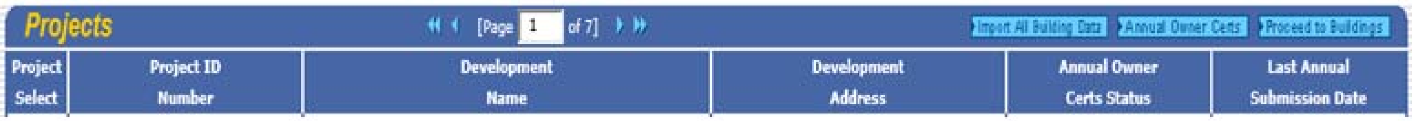
SECTION 10

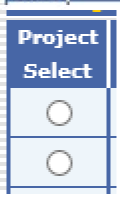
SUBMITTING OWNER CERTIFICATIONS & TENANT CERTIFICATIONS

SECTION 10: SUBMITTING OWNER CERTIFICATIONS & TENANT CERTIFICATIONS

ANNUAL OWNER CERTIFICATIONS

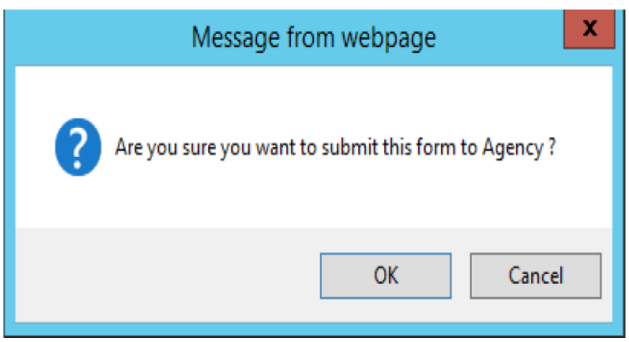
NOTE: Only the **SUPER USER** can complete this process.
"Annual Owner Certs" are required to be submitted annually. To begin, select the project they are ready to submit.

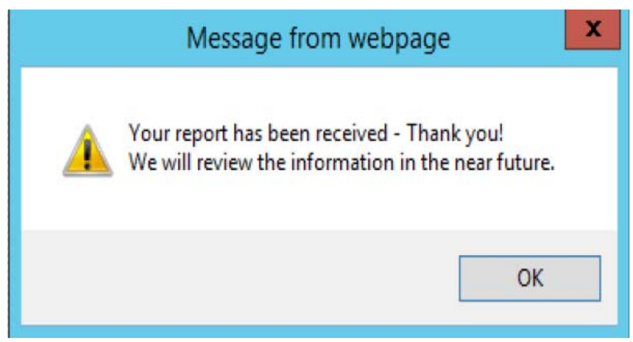




Next, click on the radial button for the project you want to submit for.

The user will then click "Annual Owner Certs" then "Submit".



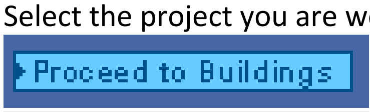


Once "Submit" is clicked you will be prompted with a message asking if you are sure you wish to submit the certification form to IFA. Once you press OK you will receive a message stating that the form has been received. IFA will post the form internally.

SUBMIT TENANT CERTS

NOTE: Only the **SUPER USER** can complete this process.

Select the project you are working in and click "Proceed to Buildings" at the top of the screen.



If the units still say "No" under Ready to Submit, click on Ready all Units.

Note: All units must show "Ready" for the system to allow submission to IFA. If you have a vacant unit that says "No," click on "New Tenant Cert/Recert," and check the "Ready to Submit" box and "Update".

When all units say “Yes,” the building screen “Tenant Recert Status” will say “Ready.”

Buildings — Import Building Data | View Details | Change Report Period | Submit Tenant Certs | Proceed to Units | Reports | Close

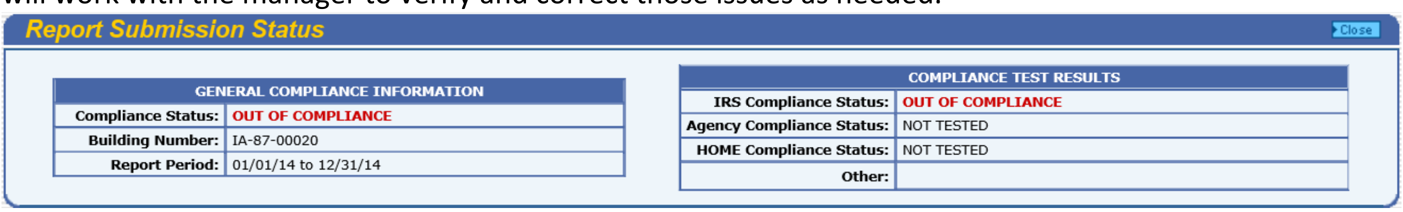
Bldg Select	Building ID Number	Placed in Service Date	Last Report Date	IRS Compliance Status	HOME Compliance Status	Agency Compliance Status	Tenant Recert Status	Last Submission Date
◉	IA-87-00020	01/01/10	12/31/09	Out of compliance	Not tested	Not tested	READY	10/15/12

Select the building you are ready to submit and click “Submit Tenant Certs”. This must be done for each building in the project.

Buildings — Import Building Data | View Details | Change Report Period | Submit Tenant Certs | Proceed to Units | Reports | Close

Bldg Select	Building ID Number	Placed in Service Date	Last Report Date	IRS Compliance Status	HOME Compliance Status	Agency Compliance Status	Tenant Recert Status	Last Submission Date
◉	IA-87-00020	01/01/10	12/31/09	Out of compliance	Not tested	Not tested	READY	10/15/12

The screenshot below shows the example project failed at least one of the tests and has been sent to the agency. Although it states to contact the agency, please do not contact the agency as the assigned compliance specialist will test the building internally as soon as possible and initiate a 90 day notice to the owner and “Cc” the manager, listing the out of compliance issues where applicable. There may be cases where it can be clearly determined to be a typo in which case the assigned compliance specialist will work with the manager to verify and correct those issues as needed.



Report Submission Status — Close

GENERAL COMPLIANCE INFORMATION	
Compliance Status:	OUT OF COMPLIANCE
Building Number:	IA-87-00020
Report Period:	01/01/14 to 12/31/14

COMPLIANCE TEST RESULTS	
IRS Compliance Status:	OUT OF COMPLIANCE
Agency Compliance Status:	NOT TESTED
HOME Compliance Status:	NOT TESTED
Other:	

SELF-MONITORING THE STATUS OF YOUR PROJECT(S)

Shows the Annual Owner Certs' status has been submitted but has not been posted by IFA and the date in which it was submitted.

Projects — Import All Building Data | Annual Owner Certs | Proceed to Buildings

Project Select	Project ID Number	Development Name	Development Address	Annual Owner Certs Status	Last Annual Submission Date
◉	87-10	test	test	SUBMITTED	08/25/15

Annual Owner Certs Status	Last Annual Submission Date
SUBMITTED	08/25/15

Shows the units have been checked "Ready to Submit," but the building has not been submitted

Buildings — Import Building Data | View Details | Change Report Period | Submit Tenant Certs | Proceed to Units | Reports | Close

Bldg Select	Building ID Number	Placed in Service Date	Last Report Date	IRS Compliance Status	HOME Compliance Status	Agency Compliance Status	Tenant Recert Status	Last Submission Date
◉	IA-87-00020	01/01/10	12/31/09	Out of compliance	Not tested	Not tested	READY	10/15/12

Tenant Recert Status	Last Submission Date
READY	10/15/12

Shows the building has been submitted and the date it was submitted. Because it shows as "Submitted," means the building failed testing and did not auto-post.

Buildings — Import Building Data | View Details | Change Report Period | Submit Tenant Certs | Proceed to Units | Reports | Close

Bldg Select	Building ID Number	Placed in Service Date	Last Report Date	IRS Compliance Status	HOME Compliance Status	Agency Compliance Status	Tenant Recert Status	Last Submission Date
◉	IA-87-00020	01/01/10	12/31/10	In compliance	Not tested	Not tested	SUBMITTED	08/25/15

Tenant Recert Status	Last Submission Date
SUBMITTED	08/25/15

This identifies the last builiding report that has been posted.

Last Report Date
12/31/09

These boxes identify the status of the project as of the last posted date.

IRS Compliance Status	HOME Compliance Status	Agency Compliance Status
Out of compliance	Not tested	Not tested

NOTE: It is the owner/manager's responsibility to identify if all projects/buildings have been submitted by looking at the Projects Screen which shows the Annual Owner Cert Submission and Posted Date and the Buildings Screen which shows the building submissions and posted date.

The Annual Cert will show "Not Submitted" after it has been posted internally by IFA. Buildings will show "Not Ready" after submission if they auto-post with no compliance issues. If the buildings show "Ready" then they have not been submitted. If the buildings show “Not Ready” and the last report date does not show the correct year, check the units to be sure they all show “Ready to Submit”.

SECTION 11

OTHER PROGRAM FEATURES

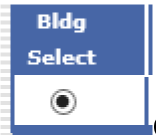
SECTION 11: OTHER PROGRAM FEATURES

To view building detail information, complete the following:

Buildings

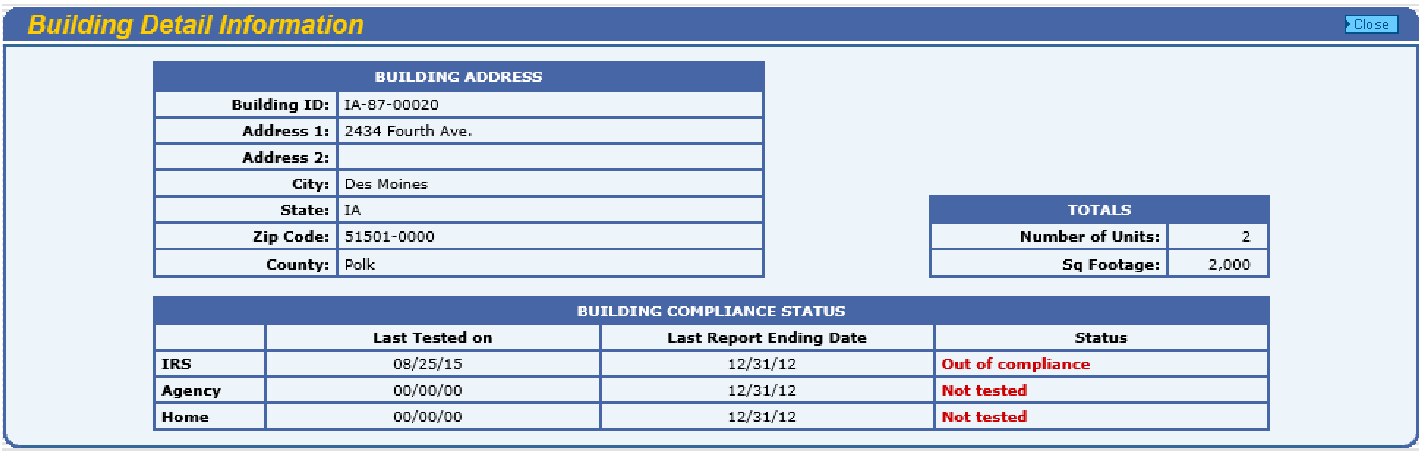
Import Building Data | View Details | Change Report Period | Submit Tenant Certs | Proceed to Units | Reports | Close

Bldg Select	Building ID Number	Placed in Service Date	Last Report Date	IRS Compliance Status	HOME Compliance Status	Agency Compliance Status	Tenant Recert Status	Last Submission Date
◉	IA-87-00020	01/01/10	12/31/09	Out of compliance	Not tested	Not tested	READY	10/15/12



Click on the radial button next to the building.

Click View details and the screen below will appear.



Building Detail Information

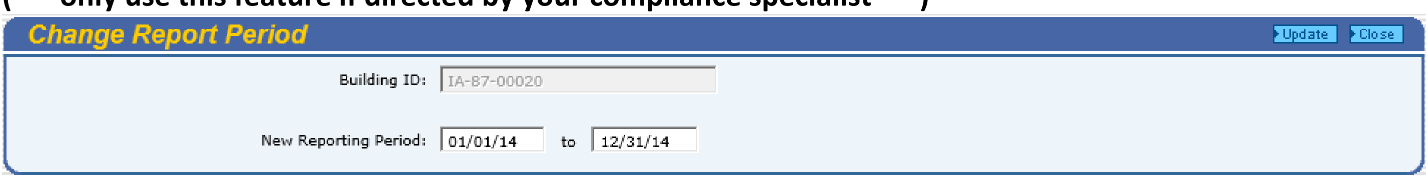
Close

BUILDING ADDRESS	
Building ID:	IA-87-00020
Address 1:	2434 Fourth Ave.
Address 2:	
City:	Des Moines
State:	IA
Zip Code:	51501-0000
County:	Polk

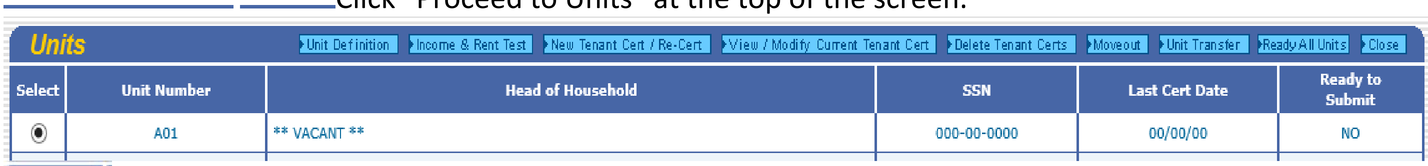
TOTALS	
Number of Units:	2
Sq Footage:	2,000

BUILDING COMPLIANCE STATUS			
	Last Tested on	Last Report Ending Date	Status
IRS	08/25/15	12/31/12	Out of compliance
Agency	00/00/00	12/31/12	Not tested
Home	00/00/00	12/31/12	Not tested

To change the report period, click Change Report Period at the top of the screen and enter in the new reporting period for the calendar year using MMDDYY and click "Update."
(*only use this feature if directed by your compliance specialist***)**



Click "Proceed to Units" at the top of the screen.



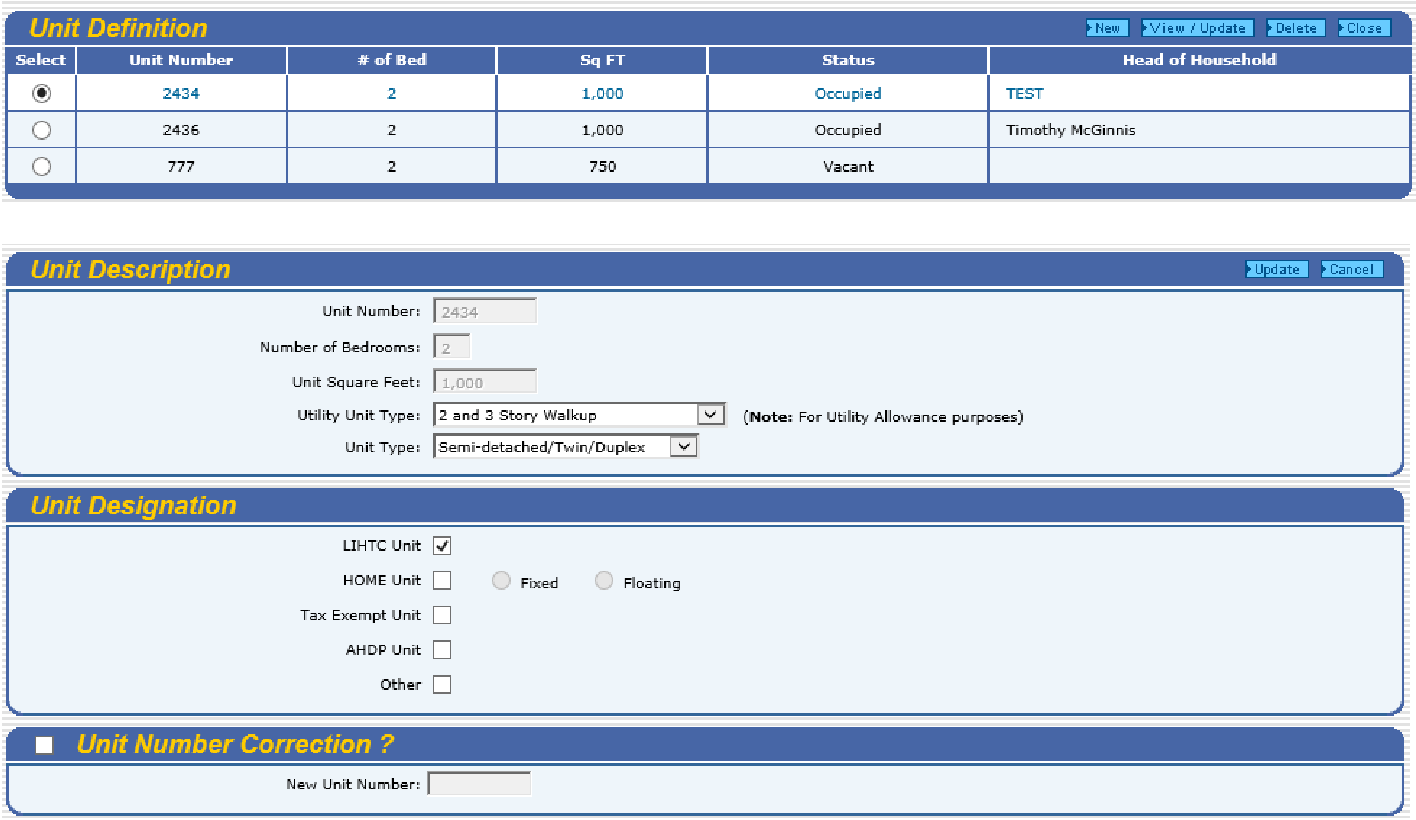
Units

Unit Definition | Income & Rent Test | New Tenant Cert / Re-Cert | View / Modify Current Tenant Cert | Delete Tenant Certs | Moveout | Unit Transfer | Ready All Units | Close

Select	Unit Number	Head of Household	SSN	Last Cert Date	Ready to Submit
◉	A01	** VACANT **	000-00-0000	00/00/00	NO

Click on the radial button next to unit you want to view.

To view/update the unit definition, click "Unit Definition" at the top of the screen and then "View/Update. Only update this when directed by your compliance specialist.



Select	Unit Number	# of Bed	Sq FT	Status	Head of Household
◉	2434	2	1,000	Occupied	TEST
○	2436	2	1,000	Occupied	Timothy McGinnis
○	777	2	750	Vacant	

The COL System can create a "Tenant Income Certification Form" by following these steps.

1) From the Home Screen, select the project and click "Proceed to Buildings."

2) Click "Proceed to Units."

3) Click "View/Modify Tenant Cert."

4) Click "Tenant Income Cert Form" at the top of the screen.

5) The Tenant Income Cert Form will pop-up in a new window.

The Form may be seen on the following page:

LIHTC Tenant Data Collection Form

LIHTC Tenant Data Collection Form	
☐ Initial Certification ☑ Recertification ☐ Other ______	Effective Date: 2010/12/03 Move-in Date: 2009/12/01 (YYYY/MM/DD)

PART I - DEVELOPMENT DATA

Property Name:	test	County:	Polk	BIN #:	IA-87-00020
Address:	test Des Moines , IA 50309-0000	Unit Number:	2434	# Bedrooms:	2

☐ Vacant Unit **PART II - HOUSEHOLD COMPOSITION**

HH Mbr #	First Name Middle Initial & Last Name	Relationship to Head of Household	Race	Ethnicity	Disabled?	Date of Birth (YYYY/MM/DD)	F/T Student (Y or N)	Last 4 Digits Social Sec #
1	TEST	H			2	1950/01/11	1	0000
2	Jane Doe	S	1	1	1	1980/12/31	1	6789
3	john	S			2	1960/01/01	2	0001
4								
5								
6								
7								

PART III - GROSS ANNUAL INCOME (USE ANNUAL AMOUNTS)

HH Mbr #	(A) Employment or Wages	(B) Soc. Security/Pensions	(C) Public Assistance	(D) Other Income
1				32,000.00
3	1.00			
TOTALS	$ **1.00**	$ **0.00**	$ **0.00**	$ **32,000.00**

Add totals from (A) through (D), above — TOTAL INCOME (E): $ **32,001.00**

PART IV - INCOME FROM ASSETS

Hshld Mbr #	(F) Type of Asset	(G) C/I	(H) Cash Value of Asset	(I) Annual Income from Asset
2	CDs/Savings Accounts		100.00	

The COL System can run Income & Rent tests. From the Home screen, select the project and then click "Proceed to Buildings" then "Proceed to Units" followed by clicking "Income & Rent Test." This will pop-up the following window to show if the unit passes the income & rent testing.

Income & Rent Test

If either the Income Limits or Rent Limits are in red, the unit is **out of compliance**:

https://iowafinanceauthority.iowa.gov/?hcol020-userid-in=F111111111&hcol020-project-id-in...

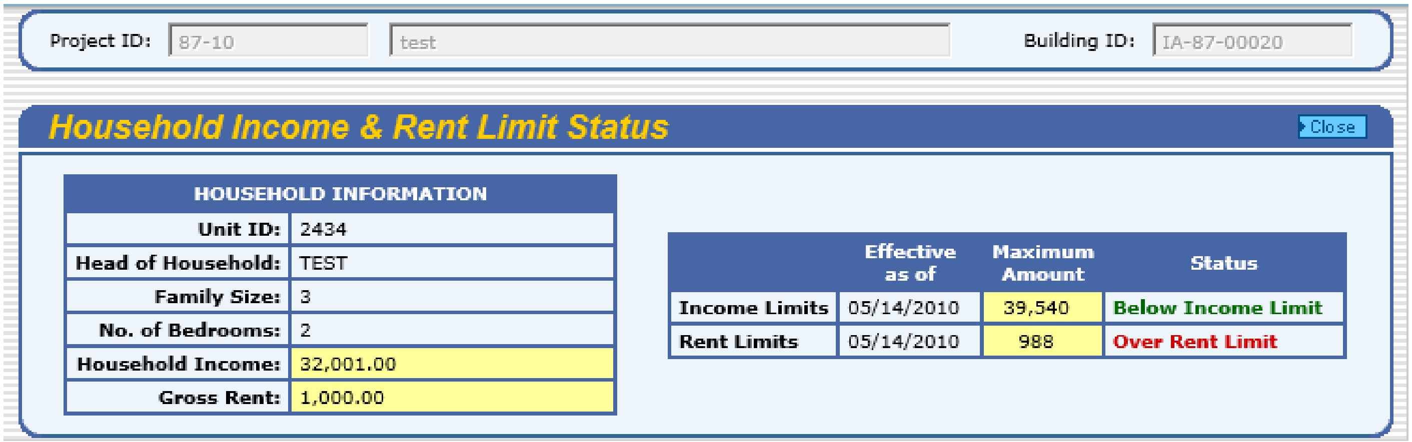
Project ID: 87-10 test Building ID: IA-87-00020

Household Income & Rent Limit Status Close

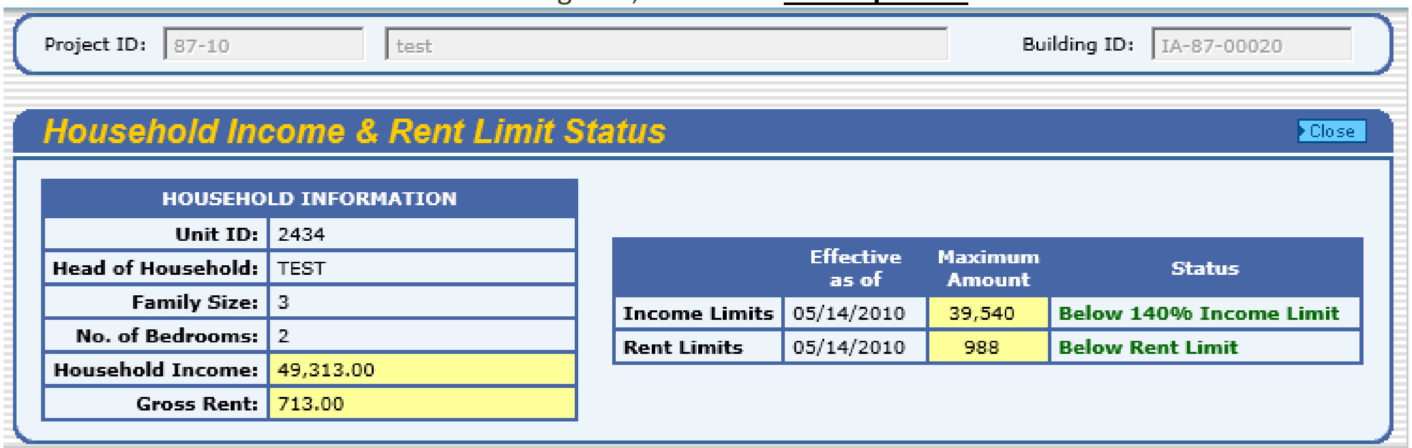
HOUSEHOLD INFORMATION	
Unit ID:	2434
Head of Household:	TEST
Family Size:	1
No. of Bedrooms:	2
Household Income:	100,000.00
Gross Rent:	0.00

	Effective as of	Maximum Amount	Status
Income Limits	05/14/2010	30,780	Initial Over Income Limit
Rent Limits	05/14/2010	988	Below Rent Limit

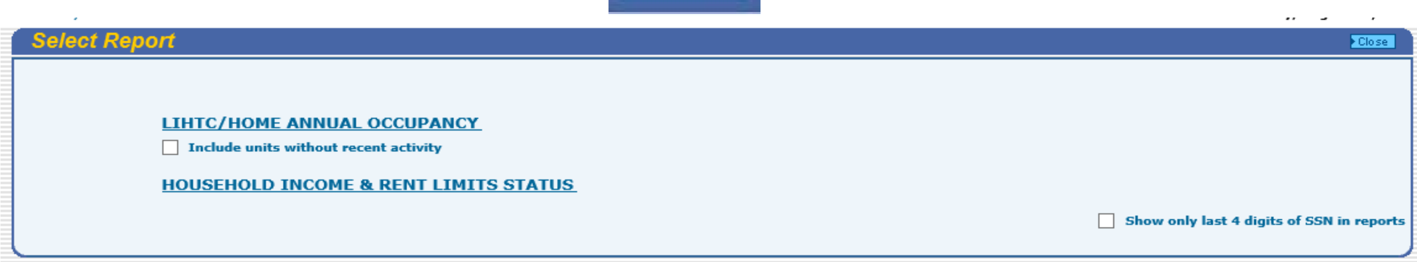
100%



If the Income Limits and Rent Limits are in green, the unit is **<u>in compliance</u>**.



The COL System can also run Occupancy and Limits reports. Please review these reports thoroughly prior to submission to catch any potential errors.



The LIHTC/HOME Annual Occupancy report will show only current year data entry. If you want it to show all units regardless of no data entered you will check the box "Include units without recent activity".

The Household Income & Rent Limits Status will show current and previous year data. This report contains the same data as the unit level Income and Rent test.

See both example reports on the following page:

LIHTC/HOME ANNUAL OCCUPANCY REPORT

Report Covering Period: 01/01/2014 to 12/31/2014

https://iowafinanceauthority.iowa.gov/?hcol078-userid-in=F111111111&hcol078-username-in=NO MANA - Internet Explorer

Certification On Line

LIHTC/HOME ANNUAL OCCUPANCY REPORT

Report Covering Period: 01/01/2014 to 12/31/2014

Page 1

Project Number 87-10
Project Name test
Project Address 2434 Fourth Ave.
Building Id Number IA-87-00020 **Total Number of Units** 3

Student Explanation

1 - TANF assistance.
2 - Job Training Program.
3 - Single parent/dependent child.
4 - Married/joint return.
5 - Previous Foster Care.
6 - Extended-Use Period.

Unit No	Unit Sq Ft	# Bdrms	Move-In Date	Move-Out Date	Head of Household Social Security Number	Head of Household Full Name	Date of Last Certification	Rent Change Date	Initial Cert Y/N	Age Head of Hshld	Gross Annual Income at Recert	Monthly Tenant Paid Rent	Mandatory Charges	Amount of Rental Subsidy	Util Allow	# in Hshld at Recrt	Non-qual Stdnt Y/N	Qual Stdnt Expln Code	Mrkt Unit Y/N
2434	1,000	2	12/05/2010		000-00-1234	TEST	09/01/2014		N	54	100,000.00	0.00	0.00	0.00	0	1	N		N
2434	1,000	2	12/05/2010		000-00-1234	TEST	12/05/2010		Y	54	100,000.00	0.00	0.00	0.00	0	1	N		N
2436	1,000	2	02/01/2001		486-74-4573	Timothy McGinnis	02/02/2010		N	54	0.00	535.00	0.00	0.00	91	1	N		N

*** Denotes a Transfer from/to another unit in the same building.**

125%

HOUSEHOLD INCOME & RENT LIMIT STATUS REPORT

https://iowafinanceauthority.iowa.gov/?hcol081-userid-in=F111111111&hcol081-username-in=NO MANA - Internet Explorer

Certification On Line

HOUSEHOLD INCOME & RENT LIMIT STATUS REPORT

Page 1

Project Number 87-10
Project Name test
Project Address 2434 Fourth Ave.
Building Id Number IA-87-00020 **County** Polk

Unit ID	Bed Size	Head of Household Full Name	Household Size	Move-In Date	Date of Last Certification	Date of Last Rent Change	Total Annual Household Income	Income Limit	Effective As Of	Income Limit Status	Monthly Gross Rent	Rent Limit	Effective As Of	Rent Limit Status
2434	2	TEST	1	12/05/2010	09/01/2014		100,000.00	31,740	12/01/2011	Over 140% Income Limit	0.00	1,020	12/01/2011	Below Rent Limit
2434	2	TEST	1	12/05/2010	12/05/2010		100,000.00	30,780	05/14/2010	Initial Over Income Limit	0.00	988	05/14/2010	Below Rent Limit
2436	2	Timothy McGinnis	1	02/01/2001	02/02/2010		0.00	30,120	03/19/2009	Below Income Limit	626.00	753	03/19/2009	Below Rent Limit

https://iowafinanceauthority.iowa.gov/secure/COL//HTML/PRINT%20REPORT 125%