

Asset Management Division
Kansas Housing Resources Corporation

Electronic Document PDF Submission Standard Operating Procedure

1. APPLICABILITY

This Standard Operating Procedure (SOP) applies to documents the Asset Management Division (AMD) of Kansas Housing Resources Corporation (KHRC) creates and/or requires to be electronically submitted via Procorem. Documents covered by this SOP may include Tenant Files, Management Plans, Maintenance Plans, Fair Housing Plans, Grievance Procedures, Admission Criteria, 60-Day Notice, 60-Day Notice Responses, REAC Inspection Forms, IRS Forms 8609, and 8823. Appendix A contains document types and a naming guide. The examples include some of the most common documents found in the Procorem work center. Appendix A does not represent the total inventory of documents submitted to Asset Management and/or found in the work center. Please reference Appendix C, commonly referred to as the “Matrix” for a more complete list of documents and an overview of the folder/subfolder set up. Appendix B, previously addressed bookmarking pdf files and has since been removed. Bookmarking can be used and is helpful; however, it is not required by KHRC.

2. PURPOSE

AMD collects the documents to meet state and federal regulatory requirements. This information could be reviewed by the other divisions of the corporation, the public, other state and federal agencies, and consultants. To make this information accessible for review, AMD may request information from the owner or management agent. This SOP establishes an electronic document standard used for submissions to AMD for all programs overseen including Project Based Contract Administration, Tax Credit/HOME allocation, Tax Credit, Tax Credit Exchange, TCAP, Bond, FDIC, HOME and HTF compliance. All documents provided to AMD for review must be submitted in an electronically following the format of this SOP.

The SOP does not preclude AMD from requiring the submittal of documents in a format in addition to a PDF format. AMD may request that hard copies of documents also be submitted with the electronic version. Programs or documents that collect raw data may require that information be submitted in a format which allows further manipulation/analysis of these data.

3. DEFINITIONS (TBD)

3.1 Adobe Acrobat- software for creating PDF files.

3.2 Word- Microsoft Word processing software.

3.3 xls- Microsoft Excel processing software.

4. RESPONSIBILITIES

4.1 COMPLIANCE - It will be the responsibility of the Division Director to inform and assure all property owners, managers and KHRC employees are familiar with the electronic submission requirements. Determine if there are any companion documents allowed to be submitted in paper format in addition to electronic format. Determine the programs that will be impacted by the policy and the documents that AMD will require to adhere to the policy. Develop a list of constituent's names and addresses that will be used in an outreach plan to inform constituents of the new AMD electronic submission policy.

5. GUIDELINES AND PROCEDURES

5.1 FORMAT- This SOP requires the submission of documents in PDF format. Although AMD indicates in this section that Acrobat is the format that should be used, AMD will accept documents produced by other systems as long as they are compliant with the Acrobat standards and can be reviewed by AMD staff.

5.1.2 PDF documents should be generated from their original files, rather than scanned, when raw data is transmitted. PDFs generated from scanned documents typically exist in an image format that limits their utility for extracting usable data from the document.

5.1.3 Scanned PDFs are much larger, and therefore take longer to download. Their text is less clear and cannot be searched or copied. Persons, who are vision-impaired, sometimes cannot read scanned PDFs.

5.1.4 Try to keep file sizes under 10 MB. These files should be made to post on the Internet or in Procorem, rather than for high resolution printing. AMD requests that owner/agents submit documents as a single PDF file bookmarked for ease of use. Bookmarking methods for tenant files is addressed in Appendix B.

5.1.5 Settings for the conversion to Acrobat should be selected to minimize file size. Although the setting name may vary from one version of Acrobat to another (Screen or Smallest File Size are examples), graphics should generally be rendered at 72 dpi. Compatibility should be set to Acrobat 8.0 and later. Documents should be tagged for handicapped accessibility.

5.1.6 For very large files (over 10 MB), the submittal of two versions of the file may be required, i.e., a high resolution version for review or printing, and a low resolution version for posting on the internet.

5.1.7 ~~Documents should be bookmarked, and the document properties marked so that the bookmarks pane is opened upon initial viewing. (When converting from a properly formatted Word document, bookmarks and a linked table of contents can be automatically generated using the PDFMaker wizard.)~~

5.1.8 Proper formatting in the software used for document creation is critical.

5.1.9 No security features should be enabled. Standard fonts should be used for ease of review. (Arial for sans serif and Times Roman for serif are good choices.)

5.1.10 This SOP does not request information like image files; video clips audio files or other kinds of submitted files to be converted to PDF format.

5.2 NAMING CONVENTION

5.2.1 File names should contain no punctuation or parentheses.

5.2.2 The extension should be .pdf for Acrobat files.

5.2.3 The Property Name, Procorem Number, Current Date MMDDYYYY, and Document Title, should be added to the the document prior to uploading to the Procorem work center.

5.2.4 The first keywords should be Property Name and Procorem Number.

5.2.5 Explanation of basic naming convention:

(A) property name: Includes the current name of the property (do not abbreviate the property name). It should be written exactly as it is written in the work center name.

(B) assigned Procorem Number: This is a number generated by ProLink and assigned to the property's work center in Procorem.

(C) document date (mmddyyy): This is the date the file was uploaded. A 2-digit month, 2-digit day and a 4-digit year is required (no dots, slashes, or spaces).

(D) description: (Additional information as required) Please remember, use the Document Naming Format and reference Appendix C (Matrix) for the document name. If the document is not a “common” document listed on the Matrix, please be descriptive in the name so AMD can determine why the document was uploaded.

(F) KHRC will delete all documents submitted in unknown file extensions and documents that are not named correctly. If a document is uploaded to the incorrect folder and/or named incorrectly or with no name, the document may not be reviewed by any KHRC staff.

5.3 Guidance for PDF Submittals: The electronic filing system works most efficiently when the originator of the document creates the PDF file. This will generally result in the best version possible and save time by not having to scan the document. Below are the requirements for achieving the type of PDF that is needed:

5.3.1 Documents must be submitted electronically via a Procorem portal defined by KHRC. This portal will be internal to KHRC or external to our software provider.

5.3.2 If the Procorem portal is unavailable to the user then email submittal is acceptable if the document size is less than 10 MB, return receipt requested.

5.3.3 The document must be searchable. If the PDF was created using Word or WordPerfect, it will likely be in a searchable state.

5.3.4 If the document was scanned, “paper capture” or optical character recognition (OCR) the creator will need to make sure that the original scanned image is retained with the file.

5.3.5 The PDF document should be as small as possible while maintaining adequate resolution. For most documents 200-400 dpi resolution is appropriate.

5.3.6 Draft reports may be delivered in any electronic form as requested by individual project managers.

6. FAILURE TO SUBMIT FILES AS REQUESTED

5.1 KHRC will give owners one year to train personnel on the correct procedure to submit files. As of 1-1-16 KHRC will charge owner’s a fee to correct the file naming or while reviewing.

5.1.1 Only properties that have an inspection will be required to submit the selected tenant files.

5.1.2 If an owner or management company submits files in hard copy format or a file that is not the required standard, KHRC can charge the owner/management company for administrative costs to scan the document at \$.25 per page and a rate of \$20.00 an hour, one hour minimum. KHRC will track and invoice the cumulative costs at the end of each month.

6. APPENDICES

Appendix A: Document Type and Naming Format – See examples

~~Appendix B: Bookmarking~~

Appendix C: Matrix - The boxes represent folders/subfolders in the work center. The bullet point list contains the common document names within that folder/subfolder. Reference the boxes when determining where the document should be uploaded. Reference the bullet point list when determining how a document should be named.

Appendix A Document Type and Naming Format (Examples may not be all inclusive)

IRS Form 8609: See example below

Property Name Procorem Number Date of Upload (in MMDDYYYY Format) Form 8609 BIN - BIN

Greenway Apartments 60457 07212014 Form 8609 KS14000127-14000134

LURA: See example below

Property Name Procorem Number Date of Upload (in MMDDYYYY Format) LURA Registered/Unregistered

Sunshine Tower 60457 07212014 LURA Registered

Tenant Files uploaded for Inspection: See example below

Property Name Procorem Number Date of Upload (in MMDDYYYY Format) Unit Number Tenant Name Move In Date

Topeka Apartments 60336 08142014 Unit 307 Smith 07142014

Project Plans - Management Plan, Maintenance Plan, Fair Housing Plan, Grievance Procedure, Tenant Selection Criteria: See example below

Property Name Procorem Number Date of Upload (in MMDDYYYY Format) Type of Plan Effective date of Plan

Ulysses Central 60211 09132015 Management Plan 01012015

Waivers and Requests: See example below

Property Name Procorem Number Date of Upload (in MMDDYYYY Format) Type of Waiver of Request (upload to corresponding folder)

Emporia Lofts 60457 07212014 Request to Waive or Amend Original LURA (upload to Waivers & Request folder)

Emporia Lofts 60457 07212014 Request to Change Ownership (upload to Waivers & Request folder)

Emporia Lofts 60457 07212014 Request to Change Management Company (upload to Waivers & Request folder)

Emporia Lofts 60457 07212014 Files Inspection Owner's Request for an Extension (upload to Files Inspection folder)

Emporia Lofts 60457 07212014 Physical Inspection Owner's Request for an Extension (upload to Physical Inspection folder)

Emporia Lofts 60457 07212014 Annual Report Owner's Request for an Extension (upload to Annual Report folder)

60-Day Notice, Property's Response to 60-Day Notice: See examples below

Property Name Procorem Number Date of Upload (in MMDDYYYY Format) Type of Notice or Response (upload to corresponding folder)

Timberwood 60945 05142014 Physical Inspection 60 Day Notice

Timberwood 60945 05142014 Physical Inspection Property's Response to 60 Day Notice

Timberwood 60945 05142014 Files Inspection 60 Day Notice

Timberwood 60945 05142014 Files Inspection Property's Response to 60 Day Notice

Timberwood 60945 05142014 Annual Report 60 Day Notice

Timberwood 60945 05142014 Annual Report Property's Response to 60 Day Notice