How to track and report HUD 9902 data in CounselorMax

Table of Contents

Introduction

This document explains how to accurately track HUD 9902 Housing Counseling grant data in CounselorMax. It explains the rules, or requirements, for client activity to be reported to HUD and the mechanics for entering, auditing and reporting your data.

A Client Case is required to report activity to HUD

Clients must have a case in order show up on the 9902 and the case must have relevant activity (education or counseling activity) in the reporting year. If a client does not have a case but has education or counseling activity in the reporting year (has attended a class or has an appointment entered in the log or calendar), they will not be counted on the 9902 because the required demographic data is not available.

To create a client case record you must:

1. First create a Client by filling out and saving the "Outreach" form.
2. Fill out and save the "Intake" form.

Tracking HUD Reportable Activity at the Client Case level

For a CounselorMax client to meet HUD reporting requirements they must have a case first and they must have HUD reportable counseling or education activity.
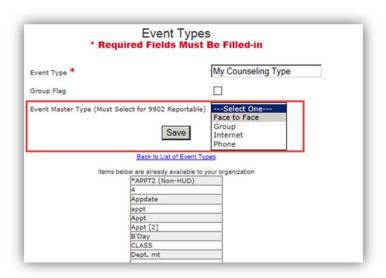
For a case to show on the "All" column of the 9902 they must have:

1. A valid case.
2. At least one HUD reportable counseling appointment in the calendar or log in the reporting period, or one HUD reportable education course completed in the reporting period.

A HUD reportable counseling appointment is one that has been designated as HUD reportable by default or in the Admin form when the appointment type is created.

To create a HUD reportable counseling appointment type follow these steps:

1. Click on the Admin link from the CounselorMax main form.
2. Click on the "Calendar" link (for Calendar appointments)
3. Click on "Event Types" link.
4. You will see a list of counseling appointment types that will be available in the Calendar.
5. To add a new one click on "Add New" and enter the required data. You must select the "Event Master Type" to make the appointment type reportable to HUD. If you do not select an option from the Event Master Type drop down list and save it, the appointment type will show up in the Calendar but any activity for these appointments will not be reported to HUD and will not show up on the 9902.

To create a HUD reportable Log counseling appointment follow these steps:

1. Click on the Admin link from the CounselorMax main form.
2. Click on the "Calendar" link.
3. Click on the Client Log Subjects link
4. To add a new one click on "Add New", and enter the name of the appointment type. To make the appointment reportable to HUD you must select a "Log Type" from the drop-down list, otherwise the appointments will not be reportable to HUD in the HUD or All columns of the 9902.
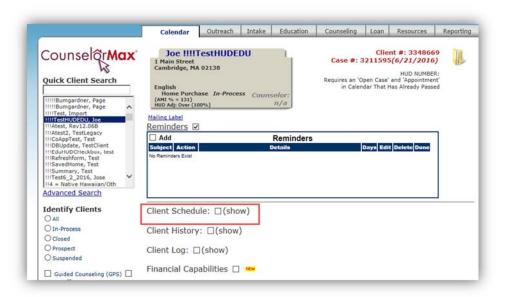

To record that a client has attended a HUD reportable appointment
Follow these steps:

Calendar Appointments
1. Select the client from the client list
2. Click on the "Calendar" tab

3. Click on the "Client Schedule" checkbox

4. Click on the date of the appointment from the calendar (you may need to navigate the calendar to find the appropriate month/year).

5. Click on the "Add Event" checkbox. This will launch a new calendar appointment window.
6. Select the appropriate appointment type from the Type drop-down. If the type is HUD reportable it will display a HUD Purpose section and a HUD Impact and Scope section. If the client has the "HUD" checkbox set in the Intake form you will also see the "HUD Activity" drop-down allowing you to bill the appointment to a specific HUD NOFA grant or to exclude it as a HUD reportable appointment for the client.

7. If the appointment is not HUD designated in the Admin section it will not display the HUD field options and will look as follows. These appointment types will not count towards HUD 9902 activity.

Log Appointments

Log appointments work the same way as calendar appointments. To create a HUD reportable appointment in the log follow these steps:

1. Select the client.
2. Click on the Calendar form

3. Click on the "Client Log" check box.
4. Click on the "Add" button to add a new log appointment.
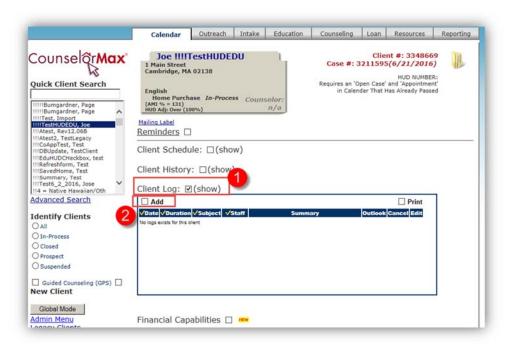5. Follow the same steps as for a calendar appointment. All of the same rules apply.

Marking Counseling Activity as HUD billable

HUD activity is tracked in CounselorMax at the Case level. However, we provide enough flexibility in the application to allow users to select what specific activity is billed to HUD and what may not be billable to HUD. Moreover, you also have the flexibility to designate reportable activity to more than one NOFA within the same case year.

It's important to note that, by default, a new case will not be automatically marked as HUD activity. The default behavior is that a new case will not be considered HUD activity. You must specifically designate that the case is HUD billable (HUD activity). To do so you must do two things:

1. Click the "HUD Activity" checkbox for the case.
2. Select the appropriate NOFA (grant) you wish to make the default grant to bill the cases' reportable activity to. Keep in mind that you will have the option to "unselect" specific activity at the individual event level (see below) if you wish. Selecting a client case as "HUD Activity" means that you are making any future HUD reportable Calendar event, Log event default to be HUD activity for that case, and that the NOFA selected will be the default NOFA that the activity will be billed to. But again, this is only a default and you can override this for individual events (Figure 1).

This will expose the "HUD NOFA/Grant" drop-down list. You must select an option from this list. You cannot click the HUD Activity checkbox and not select one of the NOFA options from the drop-down. You will get a warning message to select a value if you try to save the record without also selecting a value from the dropdown list (Figure 2).

Selecting the HUD checkbox and NOFA makes the client reportable on the 9902 as HUD funded in the HUD funded column of the 9902. If the case has reportable activity but is not designated as HUD funded, they will show up in the "All" column of the HUD report but not the HUD funded column.

Tracking HUD billable activity at the individual log event level

1. If the case does not have the "HUD" checkbox and NOFA drop-down selected, the appointment will not display the "NOFA" drop-down. These appointments will show in the "All" column of the 9902 but not the HUD column.
2. If you select "Not billed to HUD" from the "HUD Activity Drop-down" the appointment will show on the "All" column of the 9902 but not the HUD column. In other words, you can deliberately exclude one or more appointments from being billed to HUD even if the case is designated as HUD billable in the Intake form.

Tracking HUD activity for HUD reportable education activity

You can also allocate education activity to specific HUD NOFA grants. To do so:

1. When you create or edit an education course (single class or series course) in the education menu. You will see that you now have a new field to mark all activity associated with the class or course as billable to a specific HUD NOFA Grant:

CounselorMax®

Admin: Education
Classes
* = Required

Course	ABC of Homeowership ▼		
Start Date & Time *mm/dd/yyyy* *	11/20/2015 9 ▼ 00 ▼ AM ▼	End Date & Time *mm/dd/yyyy* *	11/20/2015 3 ▼ 00 ▼ PM ▼
Instructor *	Allen, John ▼	Location *	123 Agency Office ▼
Capacity *	50	Online Course	☐
Outreach Sponsor	---Select One--- ▼	Language *	English ▼
Class Coordinator *	Evans, John ▼	Status *	Valid ▼
HUD Activity	---Select One--- ▼		

---Select One---
NOFA Comprehensive 2015 - 2
NOFA Comprehensive 2015 - 1

NOTE: Classes that span more than one day should be made into seperate class for each day

[Approve]   [Approve & Assign HUD #]
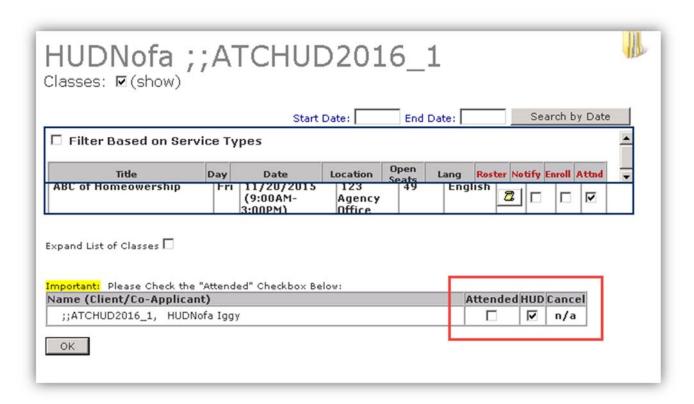
2. Select the NOFA you wish all participants attending this class to be billed to. You will have a chance to override individual attendees later, if desired.
3. Click "Approve" to save the record.
4. Any attendees you enroll and mark as attended for this class will now show up on the 9902 as HUD Activity assigned to the NOFA selected. Notice that in the example below I have enrolled the following client in the "ABC of Homeownership" class I had previously designated as HUD activity for NOFA Comprehensive 2015 -2. If I mark the client as having attended the class below by clicking the "Attended" checkbox they will be automatically allocated to HUD Activity under that NOFA. However, note that there is a "HUD" checkbox to the right of the "attended" checkbox. If I want to exclude this individual attendee from being billed to HUD under that NOFA I can unselect (uncheck) the checkbox, mark the client as having attended and click "OK" to exclude them from HUD activity on the 9902 report.

HUDNofa ;;ATCHUD2016_1
Classes: ☑ (show)

Start Date: [_____] End Date: [_____] [Search by Date]

☐ **Filter Based on Service Types**

Title	Day	Date	Location	Open Seats	Lang	Roster	Notify	Enroll	Attnd
ABC of Homeowership	Fri	11/20/2015 (9:00AM-3:00PM)	123 Agency Office	49	English	🗐	☐	☐	☑

Expand List of Classes ☐

Important: Please Check the "Attended" Checkbox Below:

Name (Client/Co-Applicant)	Attended	HUD	Cancel
;;ATCHUD2016_1, HUDNofa Iggy	☐	☑	n/a

[OK]

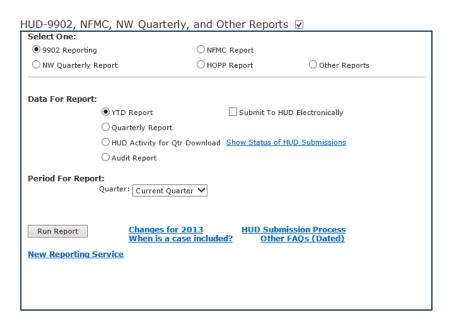# Changes to the HUD reporting interface and HUD reports

The HUD 9902 reporting interface has changed. The old interface displayed the following options:

We have simplified the interface in with the new updates and removed the old report formats that are no longer applicable with the introduction of NOFA level tracking and reporting. The new interface looks as follows:
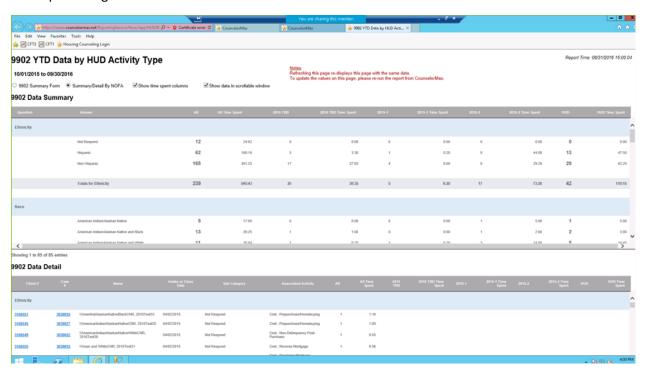

The new reporting options are as follows:

YTD Report

This report will show you the new formatted HUD 9902 Summary and Detail report including NOFA/HUD billed activity and hours. To run this report:

1. Select "YTD Report"
2. Select a "Quarter" from the "Period for Report" drop-down.
3. Click "Run Report"

The report will generate and look as follows:

The report contains two sections: a Summary section with the aggregate 9902 numbers broken down by "All", "Time Spent" "NOFA" and "HUD" numbers. If you scroll down you will see the "detail" section of the report displaying the detail records underlying the aggregate numbers:

This gives you all the information you need to review and submit your numbers. The detail section includes the following columns:

1. Client #. You can click on the client # link to launch a new tab with the specific client's record open in the Calendar tab.
2. Case #. You can click on the case # tab to launch a new tab with the specific case in Case management.
3. Name (client name)
4. Intake or Class date (Intake date for counseling activity and class date for education activity)
5. Sub Category: HUD Section subcategory, for example Ethnicity "Did Not respond" or "Is Hispanic"

6. Associated Activity: "Cnsl" for counseling activity and "Edu:" for education activity plus the type of each (Pre-purchase Home buying, Financial Literacy, etc.)
7. All: if the case shows in the All column. By default all cases appearing on the report will fall in the "All" column.
8. All Time Spent: total reportable time spent for the case.
9. NOFA activity columns: a column for each NOFA. If the client has reportable activity in that NOFA a "1" will show for them on that column.
10. HUD column: displaying the number of times an activity will be reportable to HUD. Note that if a client has the same activity billed to more than one NOFA in the reporting period, for example, two Home Purchase counseling appointments each billed to a different NOFA the HUD column will have a "2". In other words, with the new reporting format a case may be reported more than once to HUD for the same activity (once per NOFA).
11. HUD Time Spent: subtotal time spent billable to HUD for the activity

Quarterly Report

The Quarterly Report is exactly like the YTD report but only shows activity that occurred in the selected quarter. In other words, it's not cumulative for the year. You can use to see how much new activity occurred in the selected quarter. It is not useful for submitting data to HUD, but many organizations find this information useful. All columns and formatting is identical to the YTD report.

HUD Activity for Qtr Download

This report is currently disabled for updates and will be available soon. The radio button to run it will be temporarily disabled.

Audit Report

The audit report is now a separate report from the 9902. It displays the following information to help you identify cases that are not reportable to HUD and why. It is up to you to use the information to correct the data that is preventing them from reporting, if indeed they should be reported. It is possible that some of these cases are not reportable, in which case you should take no action on them.

The report has three sections:

HUD Clients having log entry with missing HUD Activity Type
These are cases that have a HUD activity log appointment but the NOFA drop-down is not entered. The report shows the following information:

To "fix" these cases, click on the "Client #" link, navigate to the client Log and find the appointment in question. For example, above <**>LEGENDS, John has a Home Purchase Log appointment on 11/25/2015 that is missing the NOFA drop-down. To fix it, simply select the proper NOFA from the drop-down and save the case. They will now show on the 9902 correctly.

HUD Clients having calendar entry with missing HUD Activity Type

These are the same as the Log cases above but their appointments were entered in the Calendar. Simply find the appointment and save the correct NOFA to fix them.

All Cases - Audit: HUD Clients having calendar entry with missing HUD Activity Type

Client #	Case #	Name	Activity Date	Associated Activity
3155493	3026606	;;;HUD, HUD FLIP	11/25/2015	Home Purchase
3113986	2985988	White, NonHisp	10/8/2015	Home Purchase
3269891	3137440	!!!Atest, Rev12.06B	4/2/2016	Home Purchase
3101554	3017490	<**>CLIENT, HOME PURCHASE	11/24/2015	Mortgage Default/Early Delinquency
3163467	3034033	!!AmericanIndianAlaskanNative, 2016Test	12/7/2015	Homeowner Services

Total for Audit: HUD Clients having calendar entry with missing HUD Activity Type: 5
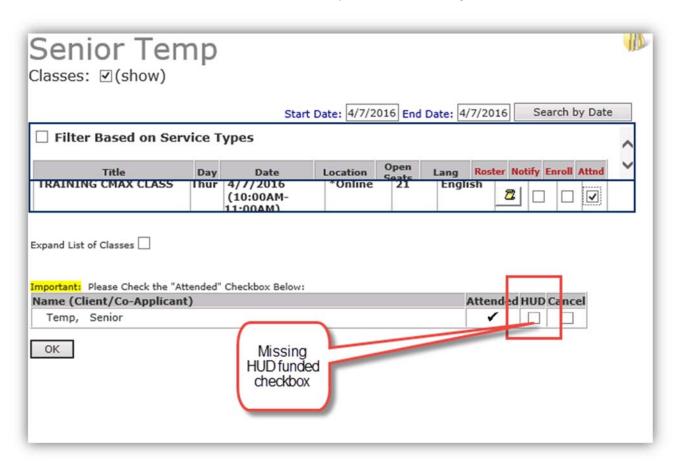
Clients in HUD class not marked as HUD attendees

This section shows you clients who have attended a HUD designated course and completed all requirements but are not marked as HUD funded in the attendance form.

All Cases - Audit: Clients in HUD class not marked as HUD attendees

Client #	Case #	Name	Activity Date	Associated Activity
3275057	3142207	Temp, Senior	4/7/2016	TRAINING CMAX CLASS
3284721	3151353	!!!DBUpdate, TestClient	4/7/2016	TRAINING CMAX CLASS
3165822	3036366	!!BlackAfricanAmericanHisp, 2016Test18	12/15/2015	!2016 Completed Fair Housing
2735858	2864393	<**>CMAX-2014, Joe	11/28/2015	ABC of Homeowership
3155489	3026602	;;;HUD, NON	12/4/2015	*Homebuyer Education Online (24/7)
3164470	3035065	!!American Indian/Alaskan Native and Black, Test20169	12/15/2015	!2016 Completed Fair Housing
2957389	3001579	****COUNS-MINS, Charlie	12/12/2015	*E-Home Education
2708861	2735976	****CustomCounseling, Joe	12/12/2015	*E-Home Education

Total for Audit: Clients in HUD class not marked as HUD attendees: 8

To correct these go to the class in question -- the report gives you the date of the class and the name of the class -- and mark them as HUD funded if indeed they should be. If not, ignore this.

Senior Temp
Classes: ☑(show)

Start Date: 4/7/2016 End Date: 4/7/2016   Search by Date

☐ **Filter Based on Service Types**

Title	Day	Date	Location	Open Seats	Lang	Roster	Notify	Enroll	Attnd
TRAINING CMAX CLASS	Thur	4/7/2016 (10:00AM-11:00AM)	*Online	21	English	📖	☐	☐	☑

Expand List of Classes ☐

Important: Please Check the "Attended" Checkbox Below:

Name (Client/Co-Applicant)	Attended	HUD	Cancel
Temp, Senior	✔	☐	☐

OK

Missing HUD funded checkbox

Finally, the audit report shows cases that fall within the reporting year but have no reportable activity for the 9902. These may or may not be in error. If they should have HUD reportable activity you simply need to add the correct appointment or class for them to show up on the report.

All Cases - Audit: Clients with Cases not reportable

Client #	Case #	Name	Intake or Class Date	Associated Activity
3277290	3144368	!!!CoAppTest, Test	4/11/2016	Home Purchase
3286753	3153387	!!!EduHUDCHeckbox, test	4/19/2016	Home Purchase
2929200	2809449	!!AmericanIndianAlaskanNativeHisp, 2016Test16	4/2/2015	Home Purchase
3186746	3057120	!!ATEST, HHSIZE	1/11/2016	Home Purchase
3168554	3039029	!!Black or African AmericanCNR, 2016Test27	4/2/2015	Home Purchase
2929199	3039036	!!OtherNotListedCNR, 2016Test34	4/2/2015	Home Purchase
2735858	2864393	<**>CMAX-2014, Joe	6/2/2015	Home Purchase
2757238	2949910	****New9902, Joe	9/1/2015	Home Purchase
1906946	2701952	***AMI 4-80 GF, San Antonio	12/5/2014	Home Purchase
2052496	2578586	***DPA, Test	7/29/2014	Home Purchase
1902484	2126420	***NFMC Test, Greg	4/18/2013	Home Purchase
1908060	1837793	***Test, GF DP Assistance	6/20/2012	Home Purchase
1339784	1289441	***TEST-HomePurchase, Tom	1/13/2011	Home Purchase

CounselorMax 9902 Reporting Rules

When is a case included?

Requirement	Action	Validation and rules
Client must have a case in CounselorMax	Complete Intake form for the client and save to create a case.	All current required data must be saved for the case. For FY 2016 required data points are: 1. HUD Activity (checkbox indicates if client activity should default to HUD billable. While checking this box designates the client to default to HUD

		billable for counseling and education activity you can still designate a specific activity as non-HUD billable) 2. Total Co-Apps 3. Race 4. Is Hispanic? 5. Gender 6. Number in Household 7. Marital Status 8. Head of Household? 9. Household Income 10. Client DOB 11. Education 12. Rural Status 13. Limited English Proficiency 14. Disabled 15. Number of dependents
Client must have reportable activity in the reporting period	Enter and save at least one of the following activity types for the client case: 1. A HUD reportable appointment in the client calendar 2. A HUD reportable appointment in the client Log 3. Mark the client as having completed a HUD reportable education course in the Education tab.	1. The reportable event must occur in the reporting fiscal year (October through September). 2. HUD reportable appointments in the client calendar are either the default reportable types or any custom type you create in the admin forms and designate as HUD reportable (see "selecting and designating a HUD reportable counseling event" section 3. HUD reportable education courses are any that you have designated as HUD reportable in the Education Admin form (see "Designating a class

		or series as HUD reportable" section.
For a client to be designated as HUD billable and show up on the HUD column of the 9902	1. Check the "HUD" checkbox and default NOFA on the Intake form and save the case data. 2. Enter at least one counseling appointment and select a billing NOFA in the counseling appointment's HUD activity drop down; Or Enroll the client in a HUD reportable education activity (series or single session class) and mark them as having attended and completed the course and check the HUD checkbox in the class attendance form.	1. For valid counseling activity the appointment must have a billable NOFA selected in the NOFA drop-down. 2. For education activity the "HUD" checkbox for a HUD billable class or series must be checked off on the Education attendance form. This will occur by default if the client is designated as HUD in the Intake form and the class is a HUD class. 3. The class must be in the reporting year. 4. The class must be on or before the case's resolution date; that is, the class can't occur after the case is resolved.
For a client to show on sections 2-7 (demographic sections) of the HUD 9902	1. Client must have a case. 2. Reportable counseling activity must be saved for the client case. Or 3. Reportable education activity must be saved for the client case.	
For a client to show on section 8 (education)	1. Create a case for the client. 2. Enroll the client in a HUD reportable education activity (series or single session class) and mark them as having attended and completed the course.	1. The class must be on or before the case's resolution date; that is, the class can't occur after the case is resolved. 2. The class must be in the reporting year.

For a client to show up on section 9 of the 9902 (counseling activity)	1. Create a case for the client. 2. Enter at least one HUD reportable counseling appointment in the reporting year for the client.	1. The counseling appointment must be between the case creation date and the case resolution date.
For a client to show on section 10 of the 9902 "Scope and Outcome"	1. Create a case for the client. 2. Enter at least one HUD reportable counseling appointment in the reporting year for the client. 3. Select one or more HUD Impact and Scope values for the reportable appointment.	