



U.S. DEPARTMENT OF THE TREASURY

Homeowner Assistance Fund: Guidance on Required Interim Report

December 8, 2021

For More Information: Please visit www.treasury.gov/HAF

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Homeowner Assistance Funds Guidance on Required Interim Report

State and Territory Participants that received Homeowner Assistance Fund (HAF) awards are required to submit a one-time Interim Report consisting of the data elements as described below. Please note that for the purposes of the HAF program, Treasury refers to the prime recipient (see [2 CFR § 200.1](#)) receiving the HAF federal assistance award directly from Treasury as the Participant. HAF participants may see the use of prime recipient and subrecipient terminology in future quarterly reporting requirements and templates. HAF participants should follow the constructs for pass-through entities in 2 CFR § 200 unless noted otherwise. Also note that Tribal participants are not required to submit an Interim Report.

To monitor preliminary progress of HAF Use of Funds plans and program implementation, Participants will be required to submit an Interim Report will cover the reporting period of January 21, 2020 (or the date of initial qualifying administrative and housing activity) through January 31, 2022 (which includes qualified expenses eligible for reimbursement).

Participants must submit the Interim Report via Treasury's portal by Monday, February 28, 2022. Beyond the interim report, Treasury anticipates Participants will report all other financial, performance, and compliance information in a quarterly filing requirement. Please review the Frequently Asked Questions on the HAF website for more information regarding Quarterly reporting requirements.

I. DEFINITIONS

HAF participant¹ means an Eligible entity that receives funds from the HAF.

Socially Disadvantaged Individual² are those whose ability to purchase or own a home has been impaired due to diminished access to credit on reasonable terms as compared to others in comparable economic circumstances, based on disparities in homeownership rates in the HAF participant's jurisdiction as documented by the U.S. Census. The impairment must stem from circumstances beyond their control. Indicators of impairment under this definition may include being a (1) member of a group that has been subjected to racial or ethnic prejudice or cultural bias within American society, (2) resident of a majority-minority Census tract; (3) individual with limited English proficiency; (4) resident of a U.S. territory, Indian reservation, or Hawaiian Home Land, or (5) individual who lives in a persistent-poverty county, meaning any county that has had 20% or more of its population living in poverty over the past 30 years as measured by the three most recent decennial censuses. In addition, an individual may be determined to be a socially disadvantaged individual in accordance with a process developed by a HAF participant for determining whether a homeowner is a socially disadvantaged individual in accordance with applicable law, which may reasonably rely on self-attestations.

HAF subrecipient for purposes of HAF reporting in Treasury's Portal, is any subrecipient entity or individual to which an HAF participant issues a contract, subaward, or direct payment. Direct payments are payments issued by the HAF participant to a Homeowner, mortgage servicer, utility providers, or vendors for other related housing expenses (e.g., for displacement prevention measures).

¹ Reference definition published in HAF Guidance published on August 2, 2021

² Reference definition published in HAF Guidance published on August 2, 2021

Homeowner means an individual who applied and/or receives funds from the HAF participant or subrecipient to pay for a singular qualified expense (i.e., if a Homeowner receives HAF assistance for more than one qualified expense category, they are counted multiple times, once for each qualified expense category).

In some places the Interim Guidance requires that you provide the number of unique **Homeowners**. Unique Homeowners are only counted one time even if they applied and or/received funding for more than one qualified expense category.

HAF assistance means any funds Expended by the HAF participant, HAF subrecipient or Homeowner received from the HAF for qualified expenses.

HAF application means an application submitted by the unique Homeowner to the HAF participant or HAF subrecipient used to determine eligibility to receive HAF funds for qualified expenses.

Delinquency(ies) means an obligation on which a Homeowner was past due on any housing related HAF qualified expense.³

Program Design Elements are the following: Mortgage Payment Assistance, Financial Assistance, Mortgage Principal Reduction, Facilitating Interest Rate, Payment Assistance Utilities, Payment Assistance Internet, Payment Assistance Insurance, Payment Assistance Fees, Payment Assistance Loans, Payment Assistance Taxes, Measures Preventing Displacement, Counseling or Education and Legal Services which align to eight of the qualified expenses (excludes administrative expenses).

Obligated means an order placed for property and services, contracts and subawards made, and similar transactions that require payment." (see [2 CFR § 200.1](#)). If a HAF participant has extended an offer consistent with the mailbox rule, you must post it as Obligated funds.

- Examples of obligated funds include: HAF funds that have been committed, pledged, or otherwise promised, in writing, to a specific borrower as part of a HAF program; HAF funds that have been set aside to cover obligations arising from loan guarantees; HAF funds that have been committed, pledged, or otherwise promised, in writing, as part of a transaction; and HAF funds that have been committed, pledged, or promised, in writing, for allowable administrative expenses (e.g., an executed contract for services).

Expended means any HAF assistance that has been spent by HAF participant and HAF subrecipient.

II. REQUIRED DATA ELEMENTS

1. Data Element: The total number of unique Homeowners that received HAF assistance of any kind during the reporting period.
 - Please provide the number of unique Homeowners whose mortgage, insurance, taxes, utilities, or other qualified expense related to housing were fully or partially paid under the subject HAF award, or who received or were referred to housing counseling or legal services, in the reporting period.

³ Reference definition published in the HAF Guidance August 2, 2021 and updated on November 12, 2021. Refer to the qualified expenses noted in the HAF Guidance.

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- Otherwise, please select “The HAF participant has Expended zero dollars of HAF assistance.”
2. Data Element: The number of unique Homeowners at or below 100% Area Median Income (or US Median Income, whichever is greater) who received HAF assistance of any kind during the reporting period.
 - Please provide the number of unique Homeowners whose mortgage, insurance, taxes, utilities, or other qualified expense related to housing were fully or partially paid under the subject HAF award or who received or were referred to housing counseling or legal services, who are at or below 100% Area Median Income (or US Median Income, whichever is greater).
 - Please select “Data Not Yet Available” if the HAF participant has not experienced any activity on this data element during the reporting period.
 3. Data Element: The number of unique Homeowners classified as "Socially Disadvantaged Individuals" who received HAF assistance of any kind during the reporting period.
 - Please provide the number of unique Homeowners whose mortgage, insurance, taxes, utilities, or other qualified expense related to housing were fully or partially paid under the subject HAF award, or who received or were referred to housing counseling or legal services, who are classified as Socially Disadvantaged Individuals.
 - Please select “Data Not Yet Available” if the HAF participant has not experienced any activity on this data element during the reporting period.
 4. Data Element: The number of Delinquencies were resolved through non-monetary HAF assistance during the reporting period.
 - Please enter the total count of Delinquencies for Homeowners that were resolved through non-financial assistance (i.e., housing counseling or legal assistance that helped resolve a Delinquency through an existing servicer's program).
 - Please select “Data Not Yet Available” if the HAF participant has not experienced any activity on this data element during the reporting period.
 5. Data Element: The number of Delinquencies that were resolved with monetary HAF assistance Expended during the reporting period.
 - Please enter the total count of Delinquencies for Homeowners that were resolved with monetary HAF assistance.
 - Please select “Data Not Yet Available” if the HAF participant has not experienced any activity on this data element during the reporting period
 6. Data Element: The number of unique Homeowners receiving HAF assistance that are not Delinquent.
 - Please enter the number of unique Homeowners receiving HAF assistance that are not Delinquent.

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- Please select “Data Not Yet Available” if the HAF participant has not experienced any activity on this data element during the reporting period

7a. Automatically populated from your HAF Grantee Plan submission. No action needed.

7b. Data Element: The number of Homeowners with HAF assistance Expended by Program Design Element during the reporting period.

- The number of Homeowners whose mortgage, insurance, taxes, utilities, or other qualified expense related to housing were fully or partially paid under the subject HAF award in the reporting period. This does not include administrative expenses or reimbursement.
- Please note, the HAF participant will be asked to provide the disaggregated number of Homeowners who received HAF assistance by Program Design Element:
 - a) Mortgage Payment Assistance
 - b) Financial Assistance
 - c) Mortgage Principal Reduction
 - d) Facilitating Interest Rate
 - e) Payment Assistance Utilities
 - f) Payment Assistance Internet
 - g) Payment Assistance Insurance
 - h) Payment Assistance Fees
 - i) Payment Assistance Loans
 - j) Payment Assistance Taxes
 - k) Measures Preventing Displacement
 - l) Counseling or Education and Legal Services (excludes administrative expenses).

7c. Data Element: The amount of HAF assistance Obligated as of January 31, 2022.

- Please provide the amount of HAF assistance Obligated by the HAF participant as of January 31, 2022 disaggregated by each program design elements. (See 7b for the full list)

7d. Data Element: The amount of HAF assistance Expended to Homeowners during the reporting period as calculated from the previous screen.

- Please provide the total dollar amount of HAF assistance paid under the HAF program(s) to or for participating Homeowners including payments for mortgage, taxes, insurance, utilities, and other housing services and qualified expenses during the reporting period (excludes administrative expenses) disaggregated by each program design elements. (See 7b for the full list)

8. Data Element: Enter the date the HAF participant started accepting HAF applications for HAF assistance (or will begin).

- Please enter the date (i.e., MM/DD/YYYY) the HAF participant started accepting HAF applications for HAF assistance (or will begin accepting).

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- For HAF participants with multiple programs that have varying application periods, participants should share the earliest date the HAF applications are/will be available across any of their HAF funded programs.

9. Data Element: The number of unique Homeowners that submitted a HAF application for HAF assistance during the reporting period.

- Please enter the number of unique Homeowners that submitted a HAF application during the reporting period across all HAF funded programs.
- Please select “Data Not Yet Available” if the HAF participant has not experienced any activity on this data element during the reporting period.

10. Data Element: The number of unique Homeowners that submitted a HAF application for HAF assistance and were approved during the reporting period.

- Please enter the number of unique Homeowners that submitted a HAF application for HAF assistance and were approved during the reporting period.
- Please select “Data Not Yet Available” if the HAF participant has not experienced any activity on this data element during the reporting period.

11. Data Element: The amount of HAF assistance (Obligated and Expended) used for administrative expenses during the reporting period.

- Please enter the amount of HAF assistance obligated by the HAF participant for administrative expenses as of January 31, 2022. Administrative expenses include planning, community engagement, and needs assessments related to the HAF participant’s disbursement of HAF funds for qualified expenses.
- Please enter the amount of HAF assistance expended by the HAF participant for administrative expenses as of January 31, 2022.
- Please select “The HAF participant has Obligated zero dollars of HAF assistance” if no money is Obligated as of January 31, 2022.
- Please select “The HAF participant has Expended zero dollars of HAF assistance” if no money has been Expended during the reporting period

12. Data Element: The amount of HAF assistance Expended for reimbursement expenses during the reporting period.

- Please enter the amount of HAF assistance Expended by the HAF participant for reimbursement expenses. Reimbursement expenses include funds expended by a state, local government, or entity during the period beginning on January 21, 2020, and ending on the date that the first funds are disbursed by the HAF participant under the HAF, for a qualified expense (other than any qualified expense paid directly or indirectly by another federal funding source, or any qualified expenses described in clauses (6), (7), (8), or (10) of the qualified expenses section of the HAF guidance).
- Reimbursement expenses are a subset of total HAF assistance Expended, which is to be provided in question #7D. Each reimbursement expense amount by Program Design Element should be less than the corresponding Program Design Element HAF assistance Expended in question #7D.

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- Please note, the HAF participant will be asked to disaggregate amount of reimbursement expenses Expended to Homeowners by each Program Design Element.
- Please select "The HAF participant has Expended zero dollars for reimbursement expenses" if no money has been Expended during the reporting period

13. Automatic calculation of the total amount of HAF assistance Obligated as of January 31, 2022.

- Total is calculated from the disaggregate table plus the Obligated administrative expense.
- Otherwise, please select "The HAF participant has zero dollars of HAF assistance currently Obligated."

14. Automatic calculation of the total amount of HAF assistance Expended as of January 31, 2022.

- Total is calculated from the disaggregate table plus the Expended administrative expense.
- Otherwise, please select "The HAF participant has Expended zero dollars of HAF assistance."

15. Data Element: Indicate whether the HAF participant has prioritized identifying if loss mitigation is available to the homeowner through their servicer in determining how to distribute HAF assistance to servicers.

- Please respond "Yes" if you have prioritized identifying whether loss mitigation is available to homeowners through their servicer, otherwise select "No."

HAF participants are required to comply with the reporting requirements established by Treasury pursuant to the "Reporting " section of the HAF Financial Assistance Agreement, which provides in pertinent part, "Recipient agrees to comply with any reporting obligations established by Treasury related to this award. Recipient acknowledges that any such information required to be reported pursuant to this section may be publicly disclosed." Treasury has decided to implement this Interim Report as a substitute to the first Quarterly Report to reduce burden on HAF participants.

Treasury will use the reported information from the HAF participants to determine whether participants are complying with HAF requirements. HAF participants should maintain all documents and financial records sufficient to support the data requests and establish compliance with program requirements.

We appreciate your attention on these issues and please email HAF@treasury.gov or HAF_Tribal@treasury.gov with any questions or concerns.

(Note: The Homeowners Assistance Fund ("HAF") Is authorized by Title III, Subtitle B, Section 3206 of the American Rescue Plan Act, 2021, Pub. L. No. 117-2 (March 11, 2021).)