

PART II

CHAPTER 8. PROCEDURES FOR REVIEW AND APPROVAL

- 8-1. GENERAL. Forms, documents and other materials required to be submitted for review and approval of specific employee benefit plans are listed in the "Approval" paragraph of the appropriate Chapters. Required materials shall be submitted to the HUD Field Office as specified below.
- 8-2. FIELD OFFICE APPROVAL. The following forms of employee benefit plans shall be reviewed by the Field Office: governmental employee benefit plans, independent life insurance plans, health insurance plans, miscellaneous benefit plans as outlined in Chapter 5, and HUD Certified Plans. The HUD Field Office review shall include examination of the plan documents to ensure conformance with all applicable criteria. HUD Certified plans need to be reviewed only to the extent of the options selected. The review should also establish that there are no budgetary problems such as availability of funds, proper proration of expenses, etc. Field Office Divisional Directors are authorized to approve these plans without referral to Headquarters. Where more than one HUD-aided program area of responsibility is involved, the employee benefit plan shall be reviewed by the respective program offices involved and shall be approved by the Field Office Manager. If desired, the Field Office may forward these plans to Headquarters for comment.
- 8-3. HEADQUARTERS TECHNICAL REVIEW. Private retirement plans (except HUD Certified Plans); any amendment, replacement, or change of insurance companies involving any plan, including a HUD Certified Plan; and other employee benefit problems or questions shall be referred to the Director, Project Financial Management and Occupancy Division, for technical review and comment regarding conformance to HUD policy. The Field Office shall be notified by Headquarters of the results of the technical review. The Field Office shall proceed as follows:
- a. If the plan is approvable as submitted or with minor changes, the Field Office shall issue a letter of approval to the PHA/IHA (but subject to budgetary oversight of the PHA's/IHA's financial or managerial condition). In those cases where minor changes are required, the Field Office shall follow up to assure that the changes are made. Further Headquarters' technical review is not required.
  - b. If the plan is not approvable unless major changes are made, the Field Office shall so advise the PHA/IHA. Corrected proposals shall be resubmitted to Headquarters for additional technical review. Upon notification that the plan is approvable, the Field Office shall proceed as under paragraph 8-3a.

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c. Information Copies. A copy of any referral by the Field Office to Headquarters and a copy of any notification by Headquarters to the Field Office shall be sent to the Office of Regional Public Housing.

8-4. SUBMISSION OF HUD CERTIFIED PLANS. Proposed HUD Certified Plans shall be submitted by the insurance company or plan administrator directly to Headquarters for technical review and acceptance. HUD Certified Plan correspondence shall be addressed to:

Director, Project Financial Management and Occupancy  
Division/Office of Public Housing/U.S. Department of  
Housing and Urban Development  
451 7th Street, S.W.  
Washington, D.C. 20410

8-5. APPROVAL PROCESSING FLOW CHART. An Approval Processing Flow Chart is shown in Appendix 7.

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