Multifamily Housing – F87 -Tenant Rental Assistance Certification System (TRACS)/ Enterprise Income Verification (EIV) User

Access Guide

For

Multifamily Internal Users

U.S. Department of Housing and Urban Development

April 2015

Access Procedures
Tenant Rental Assistance Certification System (TRACS)/
Enterprise Income Verification (MF EIV) for
HUD Multifamily (MF) Internal Users
(Excluding Office of Public and Indian Housing)

Before requesting access to TRACS and/or MF EIV, the requestor should read the below procedures.

<u>Introduction:</u>

A.   These procedures and practices apply to requesting access to the following TRACS sub-applications:

        TRACS Mainframe (Production)
- Contracts Batch Processing Module
- Tenants/Voucher Batch Processing Module

        TRACS Web-based Application
- Tenants Query
- Voucher Payments Query
- ARAMS (Automated Renewal and Amendment Management Sub-System)
- iCON (Integrated Contracts)
- iMAX (Integrated Multifamily Access eXchange
- MF EIV

B.   These instructions are presented in two parts:

    Part I – Instructions for Requesting TRACS and/or MF EIV Access

    Part II – Appendices:
        Appendix 1 – List of Documents User May Be Asked to Submit to Support a Background Investigation
        Appendix 2 – TRACS Supplemental User Access Registration (TRACSSuppUAR) form
        Appendix 3 - TRACS/MF EIV Rules of Behavior (ROB)

C.   Notes

    1. TRACS and MF EIV contain sensitive data which makes use of data subject to the Privacy Act. Therefore, **only persons who need access to perform their job responsibilities should request access**. Specifically, the job functions that require HUD staff to access MF EIV are currently identified as security administration; IG investigation; performing voucher, management and occupancy reviews; and, RHIIP Helpdesk Representatives providing technical assistance to MF EIV users. Persons

with job functions other than those listed may request, but may not be granted, access to MF EIV data. Such requests will be evaluated on a case-by-case basis.

2. **Persons requesting access to EIV must also have access to the TRACS Intranet Applications – Tenant and Voucher Queries**. EIV access will not be granted until the person has applied for and received access to the TRACS queries. (This requirement does not apply to IG investigators.)

3. Effective January 1, 2007, initial, re-activated, expanded and termination of access requests to all HUD business applications and support systems must be requested through the Centralized HUD Account Management Process (CHAMP) system. These procedures reflect that requirement.

    Definitions - Before any of the below accesses can be performed, users must have an account established in Secure Systems (WASS). If users don't have WASS access, they must contact the TRACS Secure Systems Administrator directly to provide their personal information (i.e., Social Security Number (SSN), etc.):

    Initial access – user requests access to TRACS and/or MF EIV for the first time.

    Re-activated – user requests re-activation of access that has been terminated due to failure to access system over a 90-day period.

    Expanded – user needs a greater level of access. For example, user currently has read-only access but needs to request greater than read access.

    Termination – user no longer has a job function that requires he/she have access OR user leaves employment at HUD.

4. In order to capture all user information required to manage access to TRACS and/or MF EIV, TRACS Security requires completion and submission of a TRACSSuppUAR in addition to completion of a CHAMP UAR.

    <u>**Summary of UAR Forms:**</u>

    - TRACSSuppUAR form
      (Must be submitted by e-mail to **MFTRACSSecurity@hud.gov** using the subject "TRACSSuppUAR".)
    - CHAMP UAR form
      (Must be submitted electronically at **useraccess.hud.gov by user's supervisor**)

Part I: <u>**Instructions for Requesting TRACS and/or MF EIV Access**</u>

A. **Field Office (FO) and Headquarters (HQ) personnel (requestor)** who require initial, re-activated, expanded or termination of access to the TRACS and/or MF EIV applications must send an e-mail to the following Microsoft Outlook Mailbox **MFTRACSSecurity@hud.gov** using the subject "TRACS/MF EIV Access Request".

B. **TRACS Security** will send the requestor, via e-mail, a copy of the TRACSSuppUAR form (see Appendix 2), the Rules of Behavior (ROB) (see Appendix 3) and the instructions for requesting access.

   1. **Requestor** will:

      a. Complete Sections I and II of the TRACSSuppUAR.

      b. **Forward the TRACSuppUAR to immediate supervisor** with a note requesting the supervisor complete Section III of the TRACSSuppUAR **and** submit a CHAMP UAR.

      NOTE: In cases where a current user wishes to expand TRACS access privileges at the same access level, the user **does not** need to have the supervisor prepare and submit a CHAMP UAR. For example, the user has some "Read Only" privileges but wants additional "Read Only" privileges for an application, in such cases, the user and supervisor need only complete a revised TRACSSuppUAR and submit it directly to **MFTRACSSecurity@hud.gov** using the subject "Expanded Access Request". The same would apply if a user wants to "downgrade" access, i.e., go from "Greater than Read" to "Read Only." (This Note does not apply to the MF EIV application.)

      Print, sign, scan and email the ROB to: **MFTRACSSecurity@hud.gov** using the subject "ROB".

      The requestor must retain a copy of the signed ROB for his/her records.

   2. **Immediate Supervisor** will:

      Use information from the requestor's TRACSSuppUAR to prepare and submit the formal CHAMP UAR. To submit the UAR via CHAMP:

      a. Access the **User Access Form** by opening Internet Explorer and in the address bar type **http://useraccess.hud.gov**.

      b. When the **CHAMP** window opens, click on **Application Access**.

   c.   Fill in **Applicant Information** (extracted from requestor's TRACSSuppUAR).

   d.   Fill in **Requestor Information (**supervisor section).

   e.   Fill in **Application(s) Needed** section (i.e., **F87 TRACS** and/or **P181-MF EIV**) and **Access Type**: Read, Write, or Read/Write.

   f.   Fill in **Special Instructions** – specify TRACS sub-application(s) for which access is requested and which roles and actions are needed within the sub-application.

   g.   Submit **UAR** by clicking **Submit.**

   h.   Complete **Section III of TRACSSuppUAR** and forward to **MFTRACS Security@hud.gov mailbox** using the subject "TRACSSuppUAR".

3. **TRACS Security Administrator** will:

   a.   Coordinate all other activities required to process the UAR through CHAMP, which includes, if appropriate, requesting the information required to facilitate a background investigation (see Appendix 1).

   b.   Confirm that the requestor is qualified for access to TRACS and/or MF EIV, i.e., has a job function that requires access, has had, or initiated, the appropriate background check and that the signed ROB has been received from the requestor.

   c.   Assign requested TRACS and/or MF EIV action(s) and role(s) to requestor.

   d.   Notify requestor via e-mail that he/she has fulfilled the appropriate security requirements, the requested TRACS and/or MF EIV action(s) and role(s) have been assigned, the Field Office or Hub jurisdiction has been assigned, if not previously assigned, and the requestor has been certified for access to the TRACS and/or MF EIV system.

   e.   Send an email annually to the user directing them to have their immediate supervisor or higher management confirm whether or not their job function still requires them to have access to the TRACS and/or MF EIV applications.

   f.   Recertify annually those TRACS and/or MF EIV users that the immediate supervisor or higher management has indicated still perform a job function requiring them to have access to TRACS and/or MF EIV.

Part II: **Appendices**

APPENDIX 1 - List of Documents User May Be Asked to Submit to Support a Background Investigation

FO or HQ personnel requesting access **may be** asked by TRACS Security to submit the following materials to support a background investigation:
(**Do not submit following information unless requested by TRACS Security**)

SF 85 package (For Read Only Access)

        For contractors:
        SF 85   - Questionnaire for Non-Sensitive Positions
        FD 258 - Fingerprint chart for contractors (HQs contractors must go through
                Personal Identity Verification process.)
                  HQs Point of Contact for PIV process:
                  Office of Administration, OSEP, Emergency Planning &
                    Management Division, 202-708-2914
        OF 306 – Declaration of Federal Employment (Items 1, 2, 6, 8-13, 16 and17)

        For Federal employees:
        SF 85 - Questionnaire for Non-Sensitive Positions
        SF 87 - Fingerprint chart (for HQs employees, replaced by PIV);
                HQs Point of Contact for PIV: (See above)
        OF 306 - Declaration for Federal Employment
        Resume

Note: Federal employees who have not had an NACI (minimum background
       investigation) or who have had over a two-year break in service since their NACI
       must also furnish the following:
- OF 306 – two copies
- OF 612 or other type of current resume – two copies

The above packages should be mailed in an envelope marked "CONFIDENTIAL" to the following address:

        Department of Housing and Urban Development
        Office of Multifamily Housing
        Attention: Multifamily TRACS Security
        451 – 7th Street, SW, Room 6128
        Washington, DC 20410

APPENDIX 2 – TRACS Supplemental User Access Registration Form

Supplemental User Access Registration
Tenant Rental Assistance Certification System (TRACS)
(Including Multifamily Enterprise Income Verification (MF EIV))
(HUD Internal Users – excluding Office of Public and Indian Housing staff)

SECTION I: User Profile

Date: _____

Last Name: _____ **First Name:** _____ **Middle Initial:** _____

H-ID# or C-ID#:_____

Work Telephone Number :_(   ) _____   **extension:** _____

Office Code: _____

Job Title: _____

Job Function that requires access to TRACS/MF EIV:
_____

E-mail Address: _____

Contractor Staff Only:

     Contract Name: _____

     Contract Number: _____

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List all federal background investigations (types and years) you have had without a subsequent break in federal or -federal contract services exceeding two years. If you have never had a background investigation, check none.
   None: ☐

1.
2.
3.

SECTION II: User Access Profile

    1. Contractors Only
      ☐ **Access to TRACS on the Mainframe: Privileges assigned by ADP Security after approval by MF TRACS Security Administrator**

	Read Only	Read/Write
☐ **CICS – Development on Hsys**	☐	☐
☐ **TSO – Production on Hsys**	☐	☐

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    2. ☐ **Access to TRACS data via HEREMS or Multifamily Data Warehouse**

☐ **Read only**
☐ **Download of data requested**
Reason for accessing/downloading data_____
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      3. ☐ **F87 – TRACS Production (Mainframe)**

A. Action Requested:
☐ Add a New User
☐ Reassign Access Levels to an Existing User
☐ Reinstate User
☐ Delete a User

B. Indicate User Access Level Requested:

1. Contract Batch Processing System Module:
☐ **View Data**
☐ **View, Add, Update, and Delete Data**
☐ **View, Add, Update and Delete Record**
    (limited to TRACS Points of Contact)

2. Tenant/Voucher Batch Processing Modules:
☐ **View Data**

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TRACS Secure Connection – Intranet (Web-based) Applications

      4. ☐ **Tenants/Voucher Payments**

A. Action Requested:
☐ Add a New User
☐ Reassign Access Levels to an Existing User
☐ Reinstate User
☐ Terminate a User

B. Indicate User Access Level Requested:
  Read Only
☐ QRY -View Tenant/Voucher Queries

  Greater than Read – Limited to Multifamily Staff whose job functions authorize/require that they modify TRACS data.
☐ TFO - Set Pre-Payment Decision (Field Office Staff)
☐ THQ - Execute Pre-Payment Decision (HUD HQ Staff)
☐ TMO- TRACS Move-in/Move-out (HUD HQ Staff)
☐ TPR – TRACS Project Re-baseline (HUD HQ Staff)
    (limited to Financial Operations Branch, Multifamily Programs staff)
☐ TVH - Create/Review Manual Voucher Submission
    (limited to Financial Management Branch staff)
☐ TMV – Manual Voucher Submission
☐ TTR - Set Maximum Voucher Amount and Auto Review Threshold
☐ TVR - Resolve Over/Under Payment Issues
☐ TSC - Special Claim Creation/Approval
☐ TSD - Special Claim Delete

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5. ☐ **ARAMS (Automatic Renewal and Amendment Management Sub-system)**

A. Action Requested:
☐ Add a New User
☐ Reassign Access Levels to an Existing User
☐ Reinstate User
☐ Terminate a User

B. Indicate User Access Level Requested:
<u>**Read Only**</u>
☐ ARAMS View-Only

<u>**Greater than Read –**</u> Limited to Multifamily Staff whose job functions authorize/require that they modify TRACS data.
☐ MHS – MF HUD support (HQ Only) *View/Add/Update/Delete/Batch Process/Generate Summary Report*
☐ MSS – MF Systems Support (HQ only) *View/Add/Update/Delete/Batch Process*/Generate Summary Report
☐ LPA – Limited Promotion Authority *View/Add/Update/Delete/Generate Summary Report*
☐ RSA – Reservation Approval Authority *View/Add/Update/Delete*/ Generate Summary Report/**Reservation Approval**
☐ CSA – Contract Obligation Authority *View/Add/Update/Delete/Generate Summary Report/ Contract Approval*

6. ☐ **iCON (Integrated Contracts)**

A. Action Requested:
☐ Add a New User
☐ Reassign Access Levels to an Existing User
☐ Reinstate User
☐ Delete a User

B. Indicate User Access Level Requested:
<u>**Read Only**</u>
☐ TCV - View Contract Authority

<u>**Greater than Read –**</u> Limited to Multifamily Staff whose job functions authorize/require that they modify TRACS data
☐ TCA – Add Contract Authority
☐ TCD – Delete Contract Authority
☐ TCU – Update Contract Authority

TCA (Traditional Contract Administrator) Related Data
☐ TCF – Field Office users to maintain TCA Fee Amount
☐ TCQ – HQ users to maintain TCA Fee Amount
☐ TCX – iCon users to maintain TCA ACC (Annual Contribution Contract) Expiration Date

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7. ☐ **iMAX (Integrated Multifamily Access eXchange)**

A. Action Requested
☐ Add a New User
☐ Reassign Access Levels to an Existing User
☐ Reinstate User
☐ Delete a User

B. **Level of Access Requested**
☐ ADM – Administration

        8. ☐   **Enterprise Income Verification (MF EIV)**

A. Action Requested:
- ☐ Add a New User
- ☐ Reassign Access Levels to an Existing User
- ☐ Reinstate User
- ☐ Delete a User

B. Level of Access Requested
- ☐ HDK – MF - EIV - Helpdesk Personnel
- ☐ HFU – MF - EIV - HUD Field Office User
- ☐ HQA – MF – EIV - HQ User Administrator
- ☐ HQU – MF – EIV - HUD HQ User
- ☐ OIG – EIV – MF - OIG User

Comment:

Section III: To be Completed by Immediate Supervisor or Contracting Officer Technical Representative

Last Name: First Name: Middle Initial:

Title:

Office Code: Program Area:

Telephone Number: (   )   -   Ext.

Date Approved: / /   (mm/dd/yyyy)   Supervisor/COTR:

Date CHAMP UAR submitted:_   _____

FORWARD the form to the appropriate System Security Administrator Mailbox.
MFTRACSSECURITY@hud.gov using the subject "TRACSSuppUAR"

APPENDIX 3 – TRACS/MF EIV Rules of Behavior

Sign, scan and email the attached Rules of Behavior to MFTRACSSECURITY@hud.gov using the subject "ROB".

RULES OF BEHAVIOR FOR
TENANT RENTAL ASSISTANCE CERTIFICATION SYSTEM
(TRACS – F87) and
MULTIFAMILY ENTERPRISE INCOME VERIFICATION (EIV) SYSTEM
for internal HUD Users

The Office of Multifamily Housing (MF) may grant system access to employees, contractors, clients/customers, and program participants who have a need to utilize the TRACS –F87 and the MF EIV systems.

Access to the Multifamily TRACS and the MF EIV systems are **for official HUD business only** and access is based on your need to perform your specific job function. You will have access only to information for which you are authorized.

The system user identification (User ID) and password issued to you are to be used solely in connection with the performance of your responsibilities in support of the HUD (Department) mission and may not be used for personal or private gain. As a condition of receiving access, you agree to be responsible for the confidentiality of the assigned information and accountable for all activity with your user identification (User ID)/password). Further, you agree that you will not provide this confidential User ID/ password to anyone, and that you will notify the MF TRACS Security Office in writing upon leaving the employment of the Department. You will also notify the MF TRACS Security Office if you transfer to another position or office within the Department.

Additional rules of the system follow:
a) Log off or lock the system when leaving the system/workstation area.
b) Refrain from leaving written passwords in the workstation area.
c) Passwords for application systems must be changed every 30 days (TRACS Web). Users are encouraged to avoid creating passwords that can be easily associated with user.
d) Your User ID will be suspended after 90 days of inactivity and you will have to request re-activation of access (**TRACS Web-based Application including MF EIV).**
e) Your User ID will be suspended after 45 days of inactivity and you will need to contact the Information Security staff at 202-708-3300 (Option 3) for a password reset **(TRACS Mainframe)**.
f) Your User ID will be terminated after six months of inactivity, and you will need to re-apply for access to the system **(TRACS Mainframe).**
g) Avoid posting printouts of sensitive output data on bulletin boards.
h) Control input documents by returning them to files or forwarding them to the appropriate contact person in your office.
i) Avoid violation of the Privacy Act, which requires confidentiality of personal data contained in government and contractor data files. TRACS and MF EIV contain personal information covered by the Privacy Act and penalties apply to the misuse of that data. Users must avoid leaving system output records or reports unattended or unsecured.
j) Protect all electronic /optical media and hardcopy documentation containing sensitive information and properly dispose of it by shredding hardcopy documentation.

RULES OF BEHAVIOR FOR
TENANT RENTAL ASSISTANCE CERTIFICATION SYSTEM
(TRACS – F87) and
MULTIFAMILY ENTERPRISE INCOME VERIFICATION (EIV) SYSTEM
for internal HUD Users

k) Avoid saving sensitive HUD information on the local drive of a laptop, personally-owned computer or other mobile or portable technology ("flash drives", removable/external hard drives, etc.)

l) Report security violations immediately to the MF Security Office or the Government Technical Representative (if you are a contractor).

m) Cooperate in providing personal background information to be used in conducting security background checks required by Federal regulations.

n) Respond to any requests for information from either the Government Technical Representative, MF TRACS Security Office or management officials regarding system security practices.

o) Individuals who telework or remotely access HUD/TRACS information should do so only through approved remote access solutions (as hudmobile.hud.gov) and should safeguard all sensitive information accessed in this manner. Remote access users will also adhere to Rules of Behavior for Remote Access.

p) Review the Department's "Information Security Guide" and other security guidance at: http://hudweb.hud.gov/po/i/it/security/policy.cfm.

Actions violating any of these rules will result in immediate termination of your assigned User ID/ password from the system and can result in further disciplinary action (civil or criminal) as prescribed by the Office of the Inspector General.

- **Unauthorized disclosure** can result in a felony conviction and a fine of up to $5,000 and/or imprisonment up to five (5) years, as well as civil penalties.

- **Unauthorized inspection** of data can result in a misdemeanor penalty of up to $1,000 and/or one (1)-year imprisonment, as well as civil damages.

CERTIFICATION: I have read the above statement of policy regarding system security awareness and practices when accessing HUD's information resources. I understand the Department's policies as set forth above, and I agree to comply with these requirements as a condition of being granted limited access to the Multifamily Housing information technology resources.

_____   _____
System User's Name (print)   System User's Name (signature)

User ID:_____   Date:_____