

QUICK REFERENCE GUIDE:

Activity Planning — Document Management Center

Purpose of Document Management Center:

Beginning with federal Fiscal Year 2021 (FFY21) Capital Fund Program (CFP) Awards require an *Initial Package* for access to these funds in the Line of Credit Control System (LOCCS). As of EPIC Release 6.0 (March 2021), Public Housing Agencies (PHAs) should initiate (create) an *Initial Package* in the Document Management Center for Field Office review.

After a *Package* is submitted it is either Accepted or Rejected by the Field Office Director or designee. EPIC will not customize the list of required documents for each PHA and/or Grant type. Moreover, EPIC will not check to ensure that PHAs have uploaded specific documents. PHAs and Field Offices will be responsible for making sure required documents have been uploaded in accordance with published guidance. An “Accepted” *Initial Package* is required to create an Annual Statement/Budget for any Award obligated after February 1, 2021.

Each *Package* relates to a specific Award (Grant). While, each Award may eventually have more than one *Package* to track the lifecycle of the Award, only one package type, *Initial Package*, will be available in the initial Release.

Definition of Terms:

- Document Management Center – Feature in EPIC, under Activity Planning for PHA submission of “Packages” relating to compliance and monitoring of a Capital Fund Award.
- Package – Folder of documents uploaded and/or submitted by the PHA to HUD. PHAs create and submit an “Initial Package” that contains their Annual Contributions Contract (ACC) Amendments for their FY 2021 Capital Fund Awards.

Energy and Performance Information Center (EPIC)

Steps to Create a Package:

To access the Document Management Center a user will navigate the Activity Planning tab in EPIC from the Home Screen.

- 1) Activity Planning: Click on Activity Planning and then Document Management (the third link)

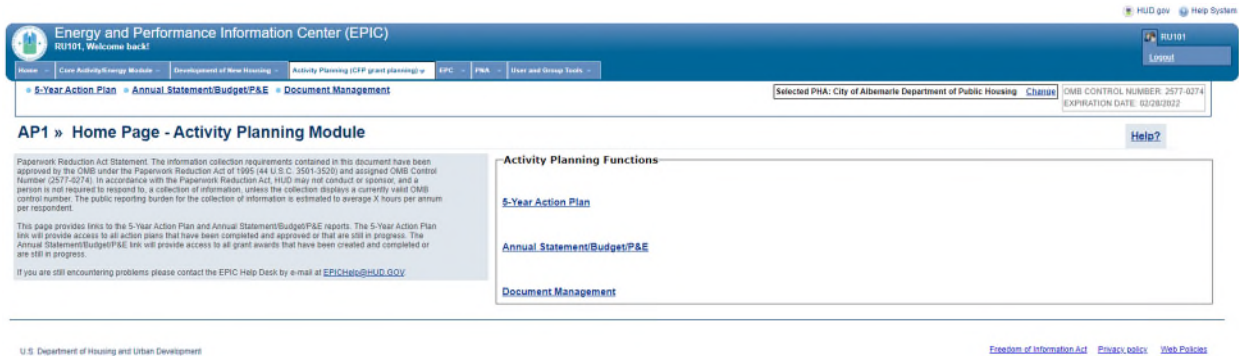


Figure 1: Activity Planning Screen with 3 Links

- 2) Document Management Center Main Page: Click on Document Management Center to navigate to the main page of the Document Management Center.

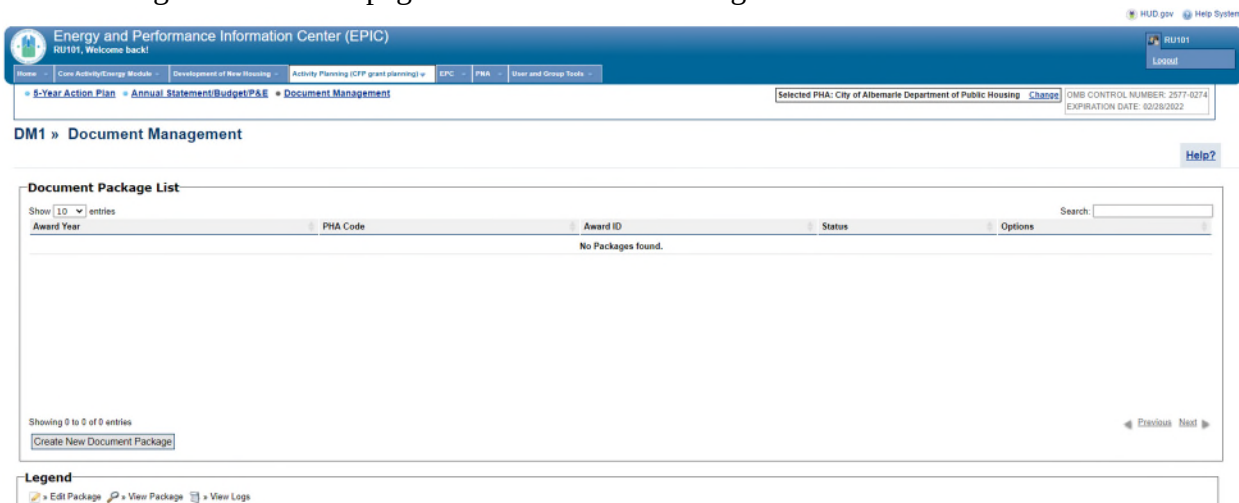


Figure 2: DM1 Document Management Center Main Page

Energy and Performance Information Center (EPIC)

- 3) Creating a *Package*: To create a *Package* click on the Create New Document Package Button on the lower left side of the screen:

The screenshot shows the Energy and Performance Information Center (EPIC) interface. The header includes the HUD.gov logo and 'Help System' link. The main navigation bar shows 'Home', 'Core Activity/Energy Module', 'Development of New Housing', 'Activity Planning (CFP grant planning)', 'EPIC', 'PMA', and 'User and Group Tools'. The sub-navigation bar shows '5-Year Action Plan', 'Annual Statement/Budget/P&E', and 'Document Management'. The selected PHA is 'City of Albemarle Department of Public Housing'. The OMB CONTROL NUMBER is 2577-0274 and the EXPIRATION DATE is 02/28/2022. The main content area is titled 'DM1 » Document Management'. Below this is a 'Document Package List' table with columns for Award Year, PHA Code, Award ID, Status, and Options. The table is empty, showing 'No Packages found.' At the bottom left of the table, there is a 'Create New Document Package' button, which is highlighted with a green arrow. The footer shows 'Showing 0 to 0 of 0 entries' and navigation links for 'Previous' and 'Next'.

Figure 3: Create New Document Package Button

- 4) Package Details: Fill in the 3 required fields using the drop downs:
- Package Type (Initial Package)
 - Award Year (2021)
 - Award ID (EPIC will populate relevant Award (s))

Select OK to continue creating the *Package* and proceed to uploading documents.

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Figure 4: DM2 Create New Document Package

Energy and Performance Information Center (EPIC)

- 5) Package Contents: Review the list of possible documents and compare to the [2021 CFP Processing Guidance](#) or relevant Notice, or Notice of Funding Availability (NOFA)/Notice of Funding Opportunity (NOFO) to ascertain which documents are required for the specific grant.

The screenshot shows a web interface titled "Document Package". It features a table with a header "File Name" and a list of document types, each preceded by a folder icon. The list includes: "Initial Award (submitter folder and file list)", "Form HUD-53012 (CFP ACC Amendment)", "Certification of Compliance w/ Public Hearing", "HUD form 50071, Certification of Payments to Influence Federal Transactions", "Civil Rights Certification", "Lobbying Form - SFLLL (if required in accordance with the form's instructions)", "Statement of Significant Amendment", and "Other". Below the table, there is a status bar showing "Uploaded on 02/06/2021 05:24 PM by SMITH, TEST 101" and a "Delete" link. At the bottom, there are "Upload File", "Submit", and "Back to Package List" buttons.

Figure 5: DM3 Document Management Upload Documents

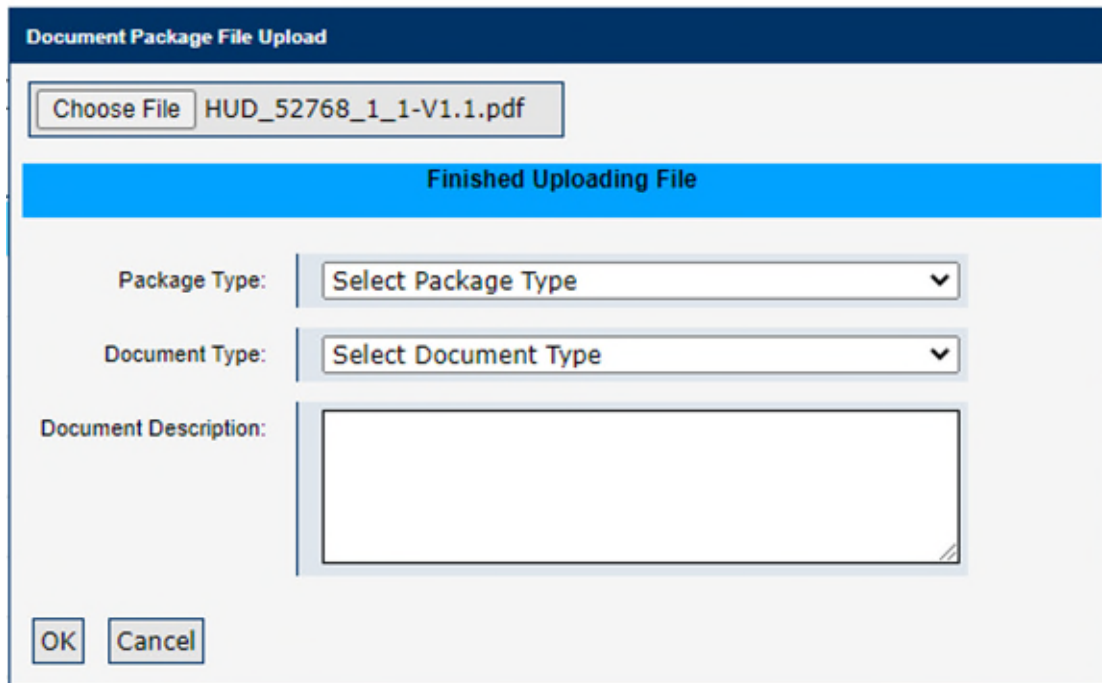
- 6) Uploading Documents: Click Upload File to begin uploading relevant documents. This will load a pop-up screen that allows you to select the relevant file from your computer and label it according to each document type possibility for the *Package* type.

The screenshot shows a "Document Package File Upload" pop-up window. It has a dark blue header with the title. Below the header, there is a "Choose File" button followed by the filename "FY2021 Form...21 ID274.pdf". Below this is an "Upload" button. Further down, there are two dropdown menus: "Package Type:" with the text "Select Package Type" and "Document Type:" with the text "Select Document Type". Below these is a "Document Description:" label followed by a large text input area. At the bottom left, there is a "Cancel" button.

Figure 6: Document Package File Upload Pop-Up

Energy and Performance Information Center (EPIC)

Click Choose File and select the relevant document from your computer. This could be a PDF, Microsoft Office Document, or a picture file. Click Upload. Once the document has finished uploading a blue bar with Upload Complete will Appear.



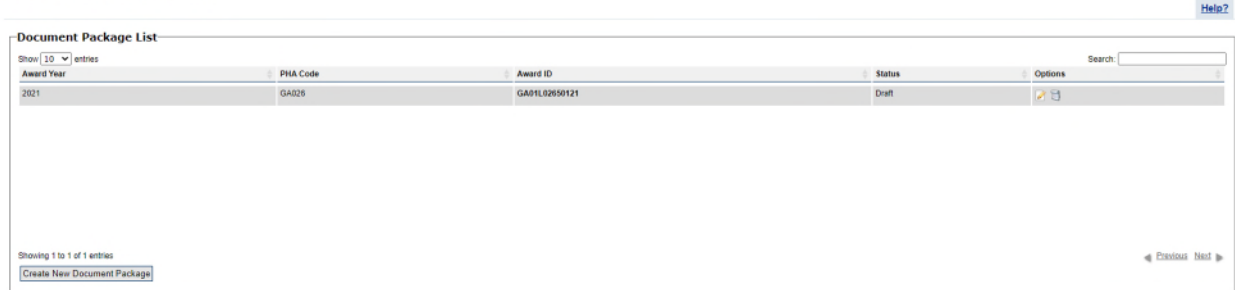
The screenshot shows a web-based dialog box titled "Document Package File Upload". At the top, there is a "Choose File" button followed by the filename "HUD_52768_1_1-V1.1.pdf". Below this is a prominent blue horizontal bar with the text "Finished Uploading File" in white. Underneath the bar, there are three fields: "Package Type:" with a dropdown menu showing "Select Package Type", "Document Type:" with a dropdown menu showing "Select Document Type", and "Document Description:" with a large empty text area. At the bottom left, there are "OK" and "Cancel" buttons.

Figure 7: File Upload Confirmation

- 7) Document Details: Select the appropriate option from the drop down and enter a description if relevant and then OK.
 - a. Select Package type (Initial Award)
 - b. Select Document Type
 - c. Add a description if relevant (e.g. MTW Agreement)
- 8) Editing a Package: Continue adding relevant documents until the *Package* is complete and ready to be submitted for Field Office Review. Documents can also be deleted by clicking Delete next to the specific file. Note: Uploading documents does not need to be completed in one step. A user can add whatever documents are ready and available and then later add and/or replace documents. To do so click Back to Package List on the lower right-side of the page. This will bring the user back to the DM1 page. The package will remain in *Draft* and can be edited until it is ready for Submission.

Energy and Performance Information Center (EPIC)

DM1 » Document Management



Award Year	PHA Code	Award ID	Status	Options
2021	GA026	GA01L02650121	Draft	

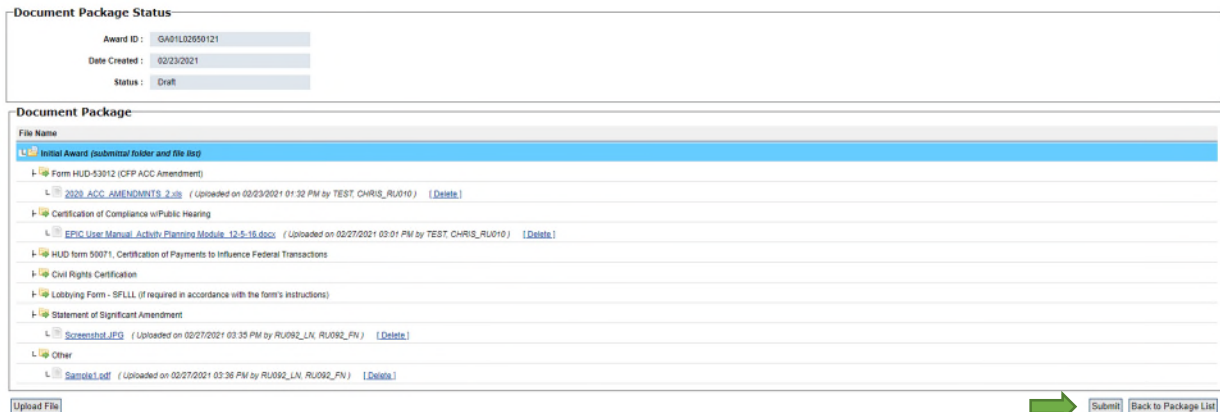
Figure 8: DM1 Draft Package

As long as the *Package* is in *Draft*, a user can click the Edit Package icon under Options to navigate to the DM3 Page to continue to add or remove documents.



Figure 9: Edit Package (Paper and Pencil) Icon

- 9) Package Submission: Once all the relevant documents have been uploaded, the user clicks on the Submit Button.



Document Package Status

Award ID: GA01L02650121
Date Created: 02/23/2021
Status: Draft

Document Package

File Name

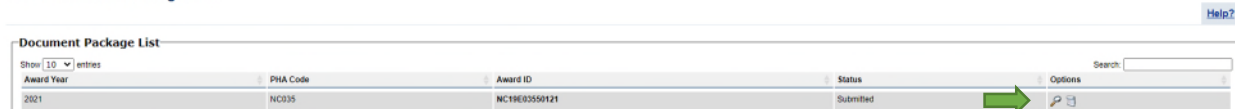
- Initial Award (submit folder and file list)
- Form HUD-53012 (CFP ACC Amendment)
- 2020 ACC AMENDMENTS 2.xls (Uploaded on 02/23/2021 01:32 PM by TEST_CHRIS_RU010) [Delete]
- Certification of Compliance w/Public Hearing
- EPIC User Manual Activity Planning Module 12.5-15.docx (Uploaded on 02/27/2021 03:01 PM by TEST_CHRIS_RU010) [Delete]
- HUD form 50071, Certification of Payments to Influence Federal Transactions
- Civil Rights Certification
- Lobbying Form - SFLLL (if required in accordance with the form's instructions)
- Statement of Significant Amendment
- Screenshot.JPG (Uploaded on 02/27/2021 03:35 PM by RU092_LN_RU092_FN) [Delete]
- Other
- Sample1.pdf (Uploaded on 02/27/2021 03:36 PM by RU092_LN_RU092_FN) [Delete]

Upload File [Submit] [Back to Package List]

Figure 10: DM3 Document Management Package Submission

Note: Submitting the *Package* will prevent it from being edited further. PHA users will not be able to add or delete documents after this stage until the Field Office Accepts or Rejects the *Package*.

DM1 » Document Management



Award Year	PHA Code	Award ID	Status	Options
2021	NC035	NC19E03550121	Submitted	

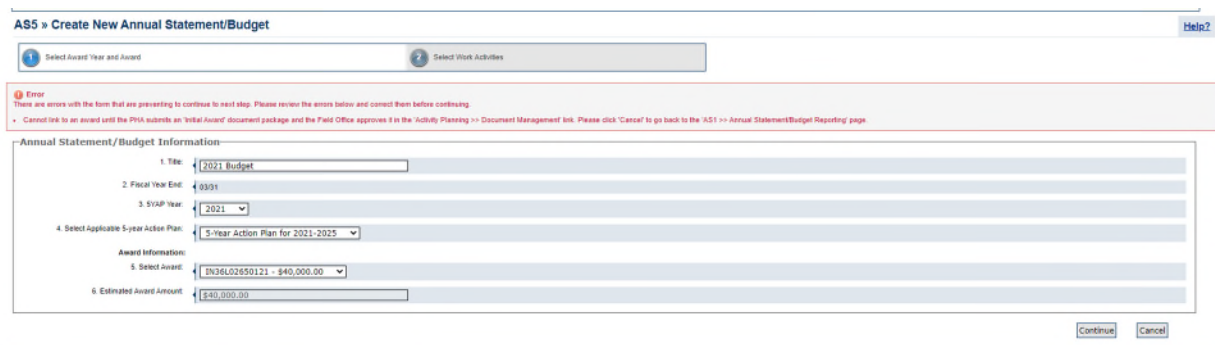
Figure 11: DM1 Submitted Package



Figure 12: View (Magnifying Glass) and Log (Scroll) Icons

Package Acceptance/Rejection:

Field Offices will review PHA submissions and either Accept or Reject each *Package*. If the *Package* is accepted the status will change and the PHA will be able to proceed to the next step of creating an Annual Statement/Budget. If the *Package* is rejected the *Package* will be set back to Draft and the PHA can edit the *Package* to correct the deficiencies noted by the Field Office. EPIC will not allow a PHA to create an Annual Statement/Budget or Assign it to an Award without an Accepted *Package*. The following is a screen shot of the error a PHA will get:



The screenshot displays the 'AS5 - Create New Annual Statement/Budget' interface. At the top, there are two tabs: 'Select Award Year and Award' (active) and 'Select Work Activities'. Below the tabs, a red error banner contains the following text:

Error
There are errors with the form that are preventing to continue to next step. Please review the errors below and correct them before continuing.

- Cannot link to an award until the PHA submits an 'Initial Award' document package and the Field Office approves it in the 'Activity Planning >> Document Management' link. Please click 'Cancel' to go back to the 'AS1 >> Annual Statement/Budget Reporting' page.

Below the error message, the 'Annual Statement/Budget Information' section is visible, containing the following fields:

- 1. Title: [2021 Budget]
- 2. Fiscal Year End: [03/31]
- 3. SYAP Year: [2021]
- 4. Select Applicable 5-year Action Plan: [5-year Action Plan for 2021-2025]
- Award Information:
 - 5. Select Award: [IN36L02650121 - \$40,000.00]
 - 6. Estimated Award Amount: [\$40,000.00]

At the bottom right of the form, there are 'Continue' and 'Cancel' buttons.

Figure 13: Create New Annual Statement/Budget Error

Therefore, a PHA will not be able to access their Award/Grant without an Accepted *Package*.