

Instruction Guidebook for Completing Public Housing Assessment System Management Operations Certification Form HUD-50072

Management Operations Certification Assessment System (MASS)

**U.S. Department of Housing and Urban Development
Real Estate Assessment Center**

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Introduction

Program Overview: On January 11, 2000, HUD published an Amendment to the Public Housing Assessment System (PHAS) final rule that established a new system for the assessment of America's public housing. The new PHAS is designed to enhance public trust by creating a comprehensive tool that qualitatively and quantitatively measures a public housing agency (PHA) based on standards that are objective and uniform.

Under PHAS, HUD evaluates a PHA based on the following four indicators:

- Physical condition
- Financial condition
- Management operations
- Resident service and satisfaction

This Instruction Guidebook is designed to assist PHAs in the completion of the PHAS form HUD-50072, Management Operations Certification, in preparation for electronic submission. With respect to PHAS indicators #2, #3 and #4, a PHA is required to electronically submit its year-end information within two months after the end of its fiscal year.

As a part of PHAS, the management operations indicator #3 replaces the Public Housing Management Assessment Program (PHMAP) that was initiated in 1992. The management operations indicator contains five of the same management indicators that you worked with under PHMAP. Under the management operations certification form those indicators are called "sub-indicators." The vacancy rate component and the rents uncollected, financial and energy consumption indicators are now being assessed under PHAS indicator #2, financial condition, and the PHMAP resident services and community building indicator is now PHAS indicator #4, resident service and satisfaction.

Changes to form HUD-50072 are in the vacancy rate component of sub-indicator #1 and the rents uncollected, sub-indicator #3. These factors are removed from PHAS indicator #3, management operations, as a result of the Department's consideration of public comments from the June 22, 1999, PHAS Amendments Proposed Rule (64 FR 33348). These factors are assessed under the financial condition indicator through the "occupancy loss" and "tenant receivable outstanding" components. The inclusion of these factors under both the financial condition indicator and the management operations indicator were duplicative.

Another change to the form HUD-50072 includes sub-indicator #6, security and economic self-sufficiency, which have also been amended. The sub-indicator has been divided into two separate sub-indicators. Security is sub-indicator #5, and economic self-sufficiency is sub-indicator #6. These changes were necessary to reflect the intent of the Quality Housing and Work Responsibility Act of 1998 (QHWRA), under Title V, Sec. 564, Public Housing Management Assessment Program. Sections 564 (H) and (I) amend section 6(j) of the United

States Housing Act of 1937 (1937 Act), to add economic self-sufficiency of public housing residents, and security policies and strategies, as additional factors under 6(j). The statute recognizes the importance of these areas as separate assessment factors and the Department has amended form HUD-50072 to reflect the statutory guidance.

The PHAS management operations indicator reflects a change in sub-indicator #2, “Capital Fund,” which was previously known as indicator #2, “modernization,” under PHMAP. The data to score this PHMAP indicator was previously entered by the Hub/Program Center. Under the PHAS rule, this has changed. While the assessment criteria are the same as they were under PHMAP, the PHA will certify to the accuracy of its own assessment data, as submitted through the certification, rather than the data that scores this sub-indicator being entered by the Hub/Program Center.

A PHA’s PHAS score for indicator #3 will be based on all of the developments covered by the Annual Contributions Contract (ACC), including those with management functions assumed by an alternative management entity (AME). This is necessary because of the limited nature of an AME. A PHA may enter into a management contract with an AME, but the PHA’s underlying responsibilities are to the Department under the ACC.

Resident Management Corporations (RMCs), according to the January 11, 2000, PHAS Amendments; Final Rule, may now be direct recipients of certain HUD funds. Section 532 of the QHWRRA amended section 20 of the 1937 Act to provide, among other things, the ability of RMCs to directly receive operating and capital funding under certain conditions. With this in mind, direct-funded RMCs will be assessed and issued their own scores under PHAS based on the public housing developments that they manage and the responsibilities they assume which can be scored under PHAS.

In addition, PHAs should utilize this guidebook as guidance for the types and quality of management performance information that they are expected to maintain (for a minimum of three years) in order to support the management performance portion of their annual PHAS score.

Purpose: The purpose of this Instruction Guidebook is to assist a PHA with its annual submission of the PHAS indicator #3, management operations.

This Instruction Guidebook is designed to serve as general guidance, and although it presents specific examples for several sub-indicators and components, it is not intended to mandate exact methods of documenting or confirming performance.

Please note, PHA requested modifications and exclusions, which were allowable under PHMAP, no longer apply under PHAS.

Integrity: There are several methods that a PHA may use to ensure the integrity of the PHAS process. Such methods include, but are not limited to:

- Monthly reports to the Board of Commissioners that include all aspects of PHAS, especially indicator #3, management operations, which requires a Board resolution number and date of the Board resolution as part of the electronic submission;
- Periodic reports to the appointing authority(s) of the Board of Commissioners that include all aspects of PHAS;
- An internal PHA audit team that reviews all aspects of the PHAS, on a periodic basis; and/or
- Peer assistance from a neighboring PHA in the conduct of an internal audit of a PHA.

Documentation Maintenance: The Department is placing extra emphasis on the importance of a PHA's maintenance of documentation to support its PHAS certification (especially documentation related to management operations certification). Without documentation, an independent auditor review is impossible and a PHA is subject to scoring a zero for PHAS indicators requiring PHA self-certification. As previously mentioned, a PHA is required to maintain documentation related to its PHAS score for a period of three years.

SUB-INDICATOR #1: Vacant Unit Turnaround Time

This sub-indicator measures the annual average amount of time it takes a PHA to turn around its vacant units.

Data Sources: PHAs must maintain accurate information on the total number of units available for occupancy. This information can be found through a review and comparison of:

- Turnaround time records
- Rent register
- Form HUD-51234, Report on Occupancy
- Form HUD-52723, Operating Fund Calculation of Operating Subsidy
- Form HUD-52728, PHA Calculation of Occupancy Percentage for a Requested Budget Year
- Form HUD-52344, Notice of End of Initial Operating Period
- Form HUD-53012A, Terms and Conditions Constituting Part A of a Consolidated Annual Contributions Contract Between Housing Authority and the United States of America
- Form HUD-53012B, Additional Terms and Conditions Constituting Part B of a Consolidated Annual Contributions Contract Between Housing Authority and the United States of America
- Modernization and maintenance plans for unit turnaround (information must include; unit make ready time unit down time and unit lease up time)

Recommendation: Keep a narrative explanation and the math calculations by units and by days in the file for PHAS documentation.

This sub-indicator measures the average number of calendar days between the latter of:

- The legal expiration date of the immediate past lease; or
- The actual move-out date of the former tenant (or the date the PHA becomes aware that the tenant has moved out); and
- The date the new lease takes effect.

Vacant Unit Turnaround

| ELEMENT | DESCRIPTION | AMOUNT |
|---------|---|-------------|
| V12400 | Total number of turnaround days | |
| V12500 | Total number of vacancy days exempted for Capital Funds | |
| V12600 | Total number of vacancy days exempted for other reasons | |
| V12700 | Total number of vacant units turned around and leased in the PHA's immediate past fiscal year | |
| V12800 | Average number of calendar days units were in down time | |
| V12900 | Average number of calendar days units were in make ready time | |
| V13000 | Average number of calendar days units were in lease up time | |
| V13100 | Average unit turnaround days | [READ ONLY] |

Element V12400. Total number of turnaround days. Use the rent roll and count every day from the day the lease expired (or that you found the unit vacant) to the effective date of the new lease. Do not count the day the unit was last occupied or the date the new lease went into effect; count only the days in between. In some cases this may include vacancy days from prior fiscal years. If one unit was turned several times during the fiscal year being assessed, count all the

days for each time it turned. Add up the days for these turned units. Enter this total on the space for Element V12400.

EXAMPLE

Calculating turnaround days

| Vacant Unit Scenario | Date of Action | Calculation |
|--|--------------------|-------------|
| Unit became vacant for a 09/30 PHA | October 1, 1997 | |
| Unit remained vacant through the assessed year | September 30, 1998 | 365 days |
| New lease effective for the unit | February 1, 1999 | 123 days |
| Total number of unit turnaround days | | 488 days |

Element V12500. Days exempted for Capital Fund. Enter the number of days units were undergoing Capital Fund/modernization. The number of vacancy days exempted for Capital Fund/modernization cannot include vacancy days accrued prior to units being included in the HUD-approved Capital Fund/modernization budget and vacancy days accrued after the contractor has turned the unit back to the PHA. To be eligible for this exemption:

- The PHA must have received Capital Fund/modernization funding; and
- The unit(s) must be under construction, i.e., the construction contract has been awarded or force account work has started, or the unit has been included in HUD-approved modernization budget, and the time period for placing the vacant unit under construction has not yet expired.

For each of the applicable units, the exempted time begins when the unit is included in the budget of an approved on-schedule Capital Fund/modernization program and ends when the construction work has been completed and the contractor (or force account workers) has turned the unit back to the PHA.

Remember: In an ongoing Capital Fund/modernization program, the work necessary to reoccupy a vacant unit is either under construction (contract has been awarded or force account work has started in the unit) or unit is included in a HUD-approved Capital Fund/modernization budget, but the time for placing the vacant units under construction has not yet expired. Days that units are kept vacant for use as a relocation resource **ARE NOT** eligible for exemption as vacancy days. The PHA should be following a HUD-approved relocation plan.

List the “turnaround” units that are eligible and document the number of days for each of those units that meet the definition of exempted for Capital Fund/modernization time from the definition above. Total the exempt Capital Fund/modernization days, and enter that number in the space for Element V12500. Keep the documentation of the calculation in the PHAS file.

Remember: In some cases, V12500, Total Number of Vacancy days exempted for Capital Fund, may include turnaround days from prior fiscal years.

EXAMPLE

Calculating turnaround days for units exempted for Capital Fund

| Vacant Unit Scenario | Date of Action | Calculation |
|---|--------------------|-------------|
| Unit became vacant for a 09/30 PHA | October 1, 1997 | |
| Unit placed under a Capital Fund budget | February 1, 1998 | 123 days |
| Construction completed and contractor signs over unit | May 1, 1998 | [89] days |
| Unit remains vacant through the assessed year | September 30, 1998 | 153 days |
| New lease effective for the unit | February 1, 1999 | 123 days |
| Total number of unit turnaround days: | | 399 days |
| Total number of unit turnaround days exempted for Capital Fund: | | [89] days |

Element V12600. Total number of vacancy days exempt for other reasons. This means “turnaround days” included in Element V12400 where units were empty for part of that time due to circumstances beyond the PHA’s control. These reasons include litigation, laws or regulation, changing market conditions, natural disaster, insufficient Comprehensive Improvements Assistance Program (CIAP) funding, or casualty losses. Identify the specific turnaround units, by address, that would be eligible for claiming this exemption. For each unit, cite the type of reason for the exemption, calculate the appropriate allowable number of exempt “turnaround days”, and add up all the exempt days. Enter the total days claimed under this exemption in the field for Element V12600.

Element V12700. Total number of vacant units turned around and leased in the PHA’s immediate past fiscal year. Please refer to turnaround time records and other **Data Sources** for information requirements for this element.

Element V12800. Average number of calendar days units were in down time. “Down time” means, for each unit “turned” in the immediate past fiscal year, the days from the date the unit was discovered to be vacant or the date the lease expired, until the date the keys are handed to maintenance to start cleaning or fixing up. Count every day, even if the starting date was in the previous fiscal year. Total the “down time” for all the turned units, and divide by total number of units entered in the field for element V12700. Enter that figure in the field for Element 12800.

Element V12900. Average number of calendar days units were in make ready time. “Make ready time” means, for each unit “turned” in the immediate past fiscal year, the days from the date maintenance receives the keys to the date maintenance turns the unit back to management for rental. Total the “make ready time” for all the turned units, and divide by the total number of units entered in the field for element V12700. Enter that figure in the field for Element 12900.

Element V13000. Average number of calendar days units were in lease up time. “Lease up time” means, for each “turned” unit in the immediate past fiscal year, the days from the date maintenance gives the keys back to management for rental to the effective date of the lease. Total the “lease up time” for all the turned units, and divide by the total number of units entered in the field for element V12700. Enter that figure in the field for Element V13000.

Best Practice: The totals of Element V12800, Element V12900 and Element V13000 should equal Element V13100.

Remember: It is at the discretion of the PHA as to how it determines if a day should be included in down time, make ready time or lease up time if two of the activities occur on the same day.

Element V13100. Average unit turnaround days. Read only. System generated.

Calculations by system:

[V13100] Average unit turnaround days = [V12400] Total number of turnaround days - ([V12500] Total number of vacancy days exempted for Capital Funds (modernization) + [V12600] Total number of vacancy days exempted for other reasons) / [V12700] Total number of vacant units turned around and leased in the PHA's immediate past fiscal year

SUB-INDICATOR #2: Capital Fund

This sub-indicator assesses performance under the PHA's Capital Fund/modernization programs. This sub-indicator consists of five statutory components. The components apply to the following programs:

Components #1, #2, #3, #4 and #5 apply to:

- Capital Fund Program (CFP)
- Comprehensive Grant Program (CGP)
- Comprehensive Improvements Assistance Program (CIAP)
- Lead-Based Paint Risk Assessment (LBPRA) funding granted in Federal Fiscal years (FFYs) 1992-1995

Only components #3, #4 and #5 **also** apply to:

- HOPE VI
- Vacancy Reduction Program (VRP)

Unlike the PHMAP when HUD completed the certification of this indicator, under the PHAS the PHA is required to collect and maintain documentation essential for the measurement and the submission of the data for this sub-indicator.

Remember: The information requirements for this sub-indicator are subject to an independent audit.

Data Sources: PHAs must maintain accurate information on what programs and/or grants the PHA is believed to have in open status (**Open** = any program that does not have a pre-audit end date or that received a pre-audit end date during the fiscal year being assessed) during the review period. Before completing this sub-indicator, the PHA should first determine all of the capital improvement programs that apply to the PHA. In the case where a PHA has multiple programs, each program should be listed separately and identified by program number. In addition, take the following steps:

- Confirm every non-completed program by reviewing all of the Modernization Cost Certificates (form HUD-53001, CIAP and/or form HUD-52839, CGP) and any supporting documentation that was sent to the local HUD office. Determine whether the local office has entered the required documentation into LOCCS to close the program. To verify if a program and/or grant has been closed out, the PHA must insure the local HUD office has entered the post audit end date into LOCCS.

For Components #1 and #2, the data sources of information needed include:

- Form HUD-52837, CGP Annual Statement/Performance and Evaluation Report, Parts I, II, III, and any revisions
- Form HUD-52825, CIAP Budget, Parts I, II, and III
- Form HUD-53001, CIAP and CGP Actual Modernization Cost Certificate (AMCC)
- Letters to HUD requesting obligation or expenditure extensions

- Letters to HUD supporting claims outside PHA's control
- Correspondence from HUD on the subjects of obligation and expenditure, and HUD approval for time extensions
- PHA obligation and expenditure reports
- Final Lead-Based Paint Risk Assessment schedule and plan, if applicable
- PHA documentation


For Components #3 and #4 the data sources of information needed includes:

- On-site inspection report(s) for the PHAs fiscal year in review or the latest on-site inspection report available. If there are findings, review finding and determine if corrections were made or in the process of being completed
- Other reports such as Inspector General report or the independent audit
- Violations of Lead-Based Paint Risk Assessment, or Hope VI programs as documented by HUD
- PHA documentation

For Components #5 the data sources of information needed includes:

- CIAP schedule/report(s) of modernization expenditures or CGP performance evaluation reports, program budgets (annual statement), any HUD approved budget revisions that exceed the threshold amount and the five-year plan (if CGP agency) for budget work items
- PHA documentation

Sub-Indicator Question ?

| ELEMENT | DESCRIPTION | AMOUNT |
|---------|--|---|
| CF10000 | Do you have any open Capital Fund programs(e.g. CIAP, CGP, HOPE VI, LBPR, VRP)(Y/N)? Open = any program that does not have a pre-audit end date or that received a pre-audit end date during the fiscal year being assessed. |  |

Element CF10000. Do you have any open Capital Fund (CFP, CGP, CIAP and LBPR for components #1, #2, #3, #4 and #5; VRP and HOPE VI for components #3, #4 and #5 only) programs? **Open = Any program that does not have a pre-audit end date or that received a pre-audit end date during the fiscal year being assessed. ANSWER YES OR NO.**

Remember: If a PHA with fewer than 250 units has obtained HUD approval and transfers its Capital Fund/modernization funds to its 1406 account, that PHA does not have an open Capital Fund/modernization program and should answer **NO** to element CF10000.

☛ If your answer is NO, ➡ continue to sub-indicator #3, work orders. There is no need to respond to the remainder of the Capital Fund elements since the PHA does not have any open Capital Fund programs (MASS will block out any attempts to enter information if the answer NO is selected and saved).

Component #1, Unexpended Funds Over Three Federal Fiscal (FFYs) Old

This component measures unexpended funds over three FFYs old, and not PHA fiscal years (FFYs); the FFY runs from October 1 to September 30. This applies to grants and/or programs awarded to the PHA that are over three FFYs old and funding that has not been expended.

This component applies to the following programs:

- **CFP** ➤ **CGP** ➤ **CIAP** ➤ **LBPRA**

Remember: Where a PHA administers multiple Capital Fund/modernization programs, each program shall be evaluated under this component. The PHA will enter into this component the cumulative amount of authorized funding from each program. A POINT EQUIVALENT OF A GRADE OF “F” FOR ANY ONE PROGRAM WILL RESULT IN A POINT EQUIVALENT OF A GRADE OF “F” FOR THIS COMPONENT.

Component #1: Unexpended Funds Over Three Federal Fiscal Years (FFYs) Old

| ELEMENT | DESCRIPTION | AMOUNT |
|---------|---|----------------|
| CF10050 | Total funds authorized over 3 FFYs old | \$ |
| CF10100 | Total funds expended over 3 FFYs old | \$ |
| CF10200 | Unexpended funds to be recaptured | \$ |
| CF10300 | Unexpended funds approved by HUD over 3 FFYs old | \$ |
| CF10400 | Unexpended funds with time extensions due to reasons outside of PHA’s control | \$ |
| CF10500 | Adjusted total unexpended funds | \$ [READ ONLY] |

Element CF10050. Total funds authorized over 3 FFYs old. This applies to all grants and/or programs awarded to the PHA that are over three FFYs old and do not have a pre-audit end date. Please refer to form HUD-52837, CGP Annual Statement/ Performance and Evaluation Report, Parts I and II, form HUD-52825, CIAP Budget/ Progress Report, Parts I and II, and other **Data Sources** for information for this element. (For calculating this component, DO NOT include funds awarded in the fiscal year being assessed.)

Remember: Where a PHA administers multiple Capital Fund/modernization programs, each program shall be evaluated under this element. The PHA will enter into this element the cumulative amount of authorized funding from each program.

Element CF10100. Total funds expended over 3 FFYs old. This applies to all funds expended from grants and/or programs that are over three FFYs old and do not have a pre-audit end date. Please refer to PHA expenditure report and other **Data Sources** for information for this element. (For calculating this component, DO NOT include funds awarded during the fiscal year being assessed.)

Remember: Where a PHA administers multiple Capital Fund/modernization programs, each program shall be evaluated under this element. The PHA will enter into this element the cumulative amount of authorized funding from each program.

Element CF10200. Unexpended funds to be recaptured. Unexpended funds are leftover funds that will be recaptured after audit. Please refer to form HUD-53001, Actual Modernization Cost Certificate, line 1(d), Amount to be Recaptured. In addition, please refer to PHA expenditure report and other **Data Sources** for information for this element.

Remember: Where a PHA administers multiple Capital Fund/modernization programs, each program shall be evaluated under this element. The PHA will enter into this element the cumulative amount of authorized funding from each program.

Element CF10300. Unexpended funds approved by HUD over 3 FFYs old. Please refer to the HUD-approved original implementation schedule that allows for longer than three FFYs old to expend all funds, form HUD-52825, CIAP Budget/Process report, Part III, or form HUD-52837, Annual Statement/Performance and Evaluation Report, Part III and other **Data Sources** for other information for this element.

Remember: Where a PHA administers multiple Capital Fund/modernization programs, each program shall be evaluated under this element. The PHA will enter into this element the cumulative amount of authorized funding from each program.

Element CF10400. Unexpended funds with time extensions due to reasons outside of the PHA's control. Please refer to the HUD-approved original implementation schedule that allows for longer than three FFYs to expend all funds, form HUD-52825, CIAP Budget/Process report, Part III or form HUD-52837, Annual Statement/ Performance and Evaluation Report, Part III, documentation demonstrating reasons outside the PHA's control and other **Data Sources** for other information for this element.

Remember: Where a PHA administers multiple Capital Fund/modernization programs, each program shall be evaluated under this element. The PHA will enter into this element the cumulative amount of authorized funding from each program.

Element CF10500. Adjusted total unexpended funds. Read Only. System generated.

Calculations by system:

| |
|---|
| $[CF10500] \text{ Adjusted total unexpended funds} = [CF10050] \text{ Total funds authorized over 3 FFYs old} - ([CF10100] \text{ Total funds expended over 3 FFYs old} + [CF10200] \text{ Unexpended funds to be recaptured} + [CF10300] \text{ Unexpended funds approved by HUD over 3 FFYs old} + [CF10400] \text{ Unexpended funds with time extension due to reasons outside of PHA's control})$ |
|---|

Component #2, Timeliness of Funds Obligated

This component is similar, in several aspects, to component #1 in that fund obligation is measured by FFYs and not by PHA FYs.

This component applies to the following programs:

➤ **CFP** ➤ **CGP** ➤ **CIAP** ➤ **LBPRA**

Remember: Where a PHA administers multiple Capital Fund/modernization programs, each program shall be evaluated under this component. The PHA will enter into this component the cumulative amount of authorized funding from each program.

Component #2: Timeliness of Fund Obligation

| ELEMENT | DESCRIPTION | AMOUNT |
|---------|--|----------------|
| CF11100 | Total funds authorized for grants over 2 FFYs old | \$ |
| CF11200 | Total funds obligated over 2 FFYs old | \$ |
| CF11300 | Unobligated funds approved by HUD over 2 FFYs old | \$ |
| CF11400 | Unobligated funds with time extensions due to reasons outside of PHA's control | \$ |
| CF11500 | Adjusted total unobligated funds | \$ [READ ONLY] |

Element CF11100. Total Funds authorized for grants over 2 FFYs old. This applies to all grants and/or programs funds awarded to the PHA that are over two FFYs old and do not have a pre-audit end date. Please refer to form HUD-52837, CGP Annual Statement/Performance and Evaluation Report, Parts I and II, form HUD-52825, CIAP Budget/Progress Report, Parts I and II, and other **Data Sources** for information for this element.

Remember: Where a PHA administers multiple Capital Fund/modernization programs, each program shall be evaluated under this element. The PHA will enter into this element the cumulative amount of authorized funding from each program.

Element CF11200. Total funds obligated over 2 FFYs old. This applies to all grants and/or programs funds obligated by the PHA that are over two FFYs old and do not have a pre-audit end date. Please refer to PHA obligation reports and other **Data Sources** for information requirements for this element. (For calculating this component, DO NOT include funds awarded the fiscal year being assessed.)

Remember: Where a PHA administers multiple Capital Fund programs, each program shall be evaluated under this component. The PHA will enter into this element the cumulative amount of authorized funding from each program.

Element CF11300. Unobligated funds approved by HUD over 2 FFYs old.

This applies to all grants and/or program funds unobligated by the PHA that are over two FFYs old and do not have a pre-audit end date. Please refer to the HUD-approved original implementation schedule that allows for longer than two FFYs old to expend all funds, forms HUD-52825, CIAP Budget/Process Report, Part III, or form HUD-52837, Annual Statement/Performance and Evaluation Report, Part III and other **Data Sources** for information for this element.

Remember: Where a PHA administers multiple Capital Fund/modernization programs, each program shall be evaluated under this component. The PHA will enter into this component the cumulative amount of authorized funding from each program.

Element CF11400. Unobligated funds with time extensions due to reasons outside of PHA's control. This applies to all grants and/or program funds unobligated by the PHA that are over two FFYs old and do not have a pre-audit end date. Please refer to the HUD-approved original implementation schedule, form HUD-52825, CIAP Budget/Process Report, Part III, or form HUD-52837, Annual Statement/Performance and Evaluation Report, Part III, documentation demonstrating reasons outside the PHA's control and other **Data Sources** for other information for this element.

Remember: Where a PHA administers multiple Capital Fund/modernization programs, each program shall be evaluated under this element. The PHA will enter into this element the cumulative amount of authorized funding from each program.

Element CF11500. Adjusted total unobligated funds. Read Only. System generated.

Calculations by system:

[CF11500] Adjusted total unobligated funds = [CF11100] Total funds authorized for grants over 2FFYs old – ([CF11200] Total funds obligated over 2 FFYs old + [CF11300] Unobligated funds approved by HUD over 2FFYs old + [CF11400] Unobligated funds with time extensions due to reasons outside of PHA's control)

Component #3, Adequacy of Contract Administration

This component measures the PHA’s ability to adequately manage contract administration for funded program(s). It also measures progress in correcting findings in contract administration, based on findings from the latest on-site review and/or audit, where **A WRITTEN REPORT WAS PROVIDED TO THE PHA AT LEAST 75 DAYS PRIOR TO THE PHA’S FISCAL YEAR END.** “Finding” means a violation of the statute, regulation, ACC, or other HUD requirements in the areas of contract administration. Contract administration refers to all aspects of Capital Fund/modernization programs that have program requirements and has construction contracting.

Remember: The following is a chart of the 75 days before the fiscal year ending dates:

| <i>FISCAL YEAR END (FYE)</i> | <i>75 DAYS PRIOR TO FYE</i> |
|------------------------------|-----------------------------|
| 09/30 | 07/15 |
| 12/31 | 10/16 |
| 03/31 | 01/16 |
| 06/30 | 04/15 |

This component applies to the following programs:

- CFP ➤CGP ➤CIAP ➤LBPRA ➤HOPE VI ➤VRP

This component measures performance based on the PHA’s FYE, rather than on the FFY that was used for components #1 and #2.

Component #3: Adequacy of Contract Administration

| ELEMENT | DESCRIPTION | AMOUNT |
|---------|---|--------|
| CF11700 | The date of the last HUD/Army Corps of Engineers on-site inspection and/or audit related to contract administration (include A-133 Audit) | / / |
| CF11800 | The number of findings related to contract administration. | |
| CF11900 | The number of findings related to contract administration that have been corrected by the PHA | |
| CF12000 | The number of findings related to contract administration that the PHA is in the process of correcting | |

Element CF11700. The date of the last HUD/Army Corps of Engineers on-site inspection and/or audit related to contract administration (include A-133 audit). Please refer to on-site inspection reports, audit reports and other **Data Sources** for information requirements for this element.

Element CF11800. The number of findings related to contract administration.

The number of findings relate to the number of findings documented by HUD/Army Corps of Engineers at the VERY LAST on-site inspection and/or audit related to contract administration that was provided to the PHA by HUD 75 days prior to the assessed fiscal year end. Please refer to on-site inspection reports, audit reports and other **Data Sources** for information requirements for this element.

Remember: A finding, for the purpose of this component, refers to a violation of a statute, regulation, ACC, corrective action order or other HUD requirements relating to the adequacy of contract administration. This does not include observations, recommendations or suggestion for improvement that are contained in a written report.

Element CF11900. The number of findings related to contract administration that have been corrected by the PHA. The number of findings corrected that relate to element CF118000. Please refer to PHA documentation and other **Data Sources** for information requirements for this element.

Element CF12000. The number of findings related to contract administration that the PHA is in the process of correcting. The number of findings the PHA is in the process of correcting where corrective actions exceed the fiscal year being assessed. Please refer to PHA documentation and other **Data Sources** for information requirements for this element.

Component #4, Quality of the Physical Work

This component evaluates the quality of physical work for funded program(s). This component applies to the following programs:

- CFP
- CGP
- CIAP
- LBPRA
- HOPE VI
- VRP

This component measures performance based on the PHA’s FYE, rather than on the FFY that was used for components #1 and #2.

Remember: The following is a chart of the 75 days before the fiscal year ending dates:

| FISCAL YEAR END (FYE) | 75 DAYS PRIOR TO FYE |
|------------------------------|-----------------------------|
| 09/30 | 07/15 |
| 12/31 | 10/16 |
| 03/31 | 01/16 |
| 06/30 | 04/15 |

Component #4: Quality of the Physical Work

| ELEMENT | DESCRIPTION | AMOUNT |
|---------|--|--------|
| CF12200 | The date of the last HUD/Army Corps of Engineers on-site inspection and/or audit related to the quality of physical work | / / |
| CF12300 | The number of findings related to the quality of physical work | |
| CF12400 | The number of findings related to the quality of physical work that have been corrected by the PHA | |
| CF12500 | The number of finding related to the quality of physical work that the PHA is in the process of correcting | |

Element CF12200. The date of the last HUD/Army Corps of Engineers on-site inspection and/or audit related to the quality of physical work. Please refer to on-site inspection reports, audit reports and other **Data Sources** for information requirements for this element.

Element CF12300. The number of findings related to the quality of physical work. The number of findings relate to the number of findings documented by HUD/Army Corps of Engineers at the VERY LAST on-site inspection and/or audit related to quality of physical work that was provided to the PHA by HUD 75 days prior to the assessed fiscal year end. Please refer to on-site inspection reports, audit reports and other **Data Sources** for information requirements for this element.

Remember: A finding, for the purpose of this component, refers to a violation of a statute, regulation, ACC, corrective action order or other HUD requirements relating to the adequacy of contract administration. This does not include observations, recommendations or suggestion for improvement that are contained in a written report.

Element CF12400. The number of findings related to the quality of physical work that has been corrected by the PHA. The number of findings corrected that relate to element CF123000. Please refer to PHA documentation and other **Data Sources** for information requirements for this element.

Element CF12500. The number of findings related to the quality of physical work that the PHA is in the process of correcting. The number of findings the PHA is in the process of correcting where corrective actions exceed the fiscal year being assessed. Please refer to PHA documentation and other **Data Sources** for information requirements for this element.

Component #5, Adequacy of Budget Controls

This component evaluates the adequacy of a PHA’s budget controls for funded programs. This component applies to the following programs:

- CFP
- CGP
- CIAP
- LBPRA
- HOPE VI
- VRP

This component measures performance based on the PHA’s FYE, rather than on the FFY that was used for components #1 and #2.

Component #5: Adequacy of Budget Controls

| ELEMEN | DESCRIPTION | AMOUNT |
|---------|--|--------|
| CF12700 | Total amount of Capital Funds expended during the PHA fiscal year being assessed | \$ |
| CF12800 | Amount of Capital Funds expended on approved work items not subject to budget revisions during the PHA fiscal year being assessed | \$ |
| CF12900 | Amount of Capital Funds expended under budget revisions with prior HUD approval during the PHA fiscal year being assessed | \$ |
| CF13000 | Amount of Capital Funds expended under budget revisions not requiring prior HUD approval during the PHA fiscal year being assessed | \$ |

Element CF12700. Total amount of Capital Funds expended during the PHA fiscal year being assessed. PHAs must provide a cumulative amount of all Capital Funds expended during the fiscal year being assessed. Please refer to PHA expenditure report and other **Data Sources** for information for this element.

Element CF12800. Amount of Capital Funds expended on approved work items not subject to budget revisions during the PHA fiscal year being assessed. This applies to all grants and/or programs that would have expended funds for the fiscal year being assessed, only on work items in a HUD-approved Capital Fund/modernization annual statement, and program required five year plan (excluding emergencies). Please refer to the HUD-approved budget, form HUD-52825, CIAP Budget/Process report, Parts I and II, or form HUD-52837, Annual Statement/Performance and Evaluation Report, Parts I and II, and other **Data Sources** for other information for this element.

Element CF12900. Amount of Capital Funds expended under budget revisions with prior HUD approval during the PHA fiscal year being assessed. This applies to all grants and/or programs that would have expended funds for the fiscal year being assessed only on work items with prior HUD approval on budget revisions. Please refer to the HUD-approved budget, form HUD-52825, CIAP Budget/Process Report, Parts I and II, or form HUD-52837, Annual Statement/Performance and Evaluation Report, Parts I and II, a five year action plan and other **Data Sources** for other information for this element.

Element CF13000. Amount of Capital Funds expended under budget revisions not requiring prior HUD approval during the PHA fiscal year being assessed. This applies to all grants and/or programs that would have expended funds for the fiscal year being assessed, only on work items not requiring prior HUD-approval. Please refer to the HUD-approved budget, form HUD-52825, CIAP Budget/Process Report, Parts I and II, or form HUD-52837, Annual Statement/Performance and Evaluation Report, Parts I and II, a five year action plan and other **Data Sources** for other information for this element.

Remember: The sum of elements CF12800, CF12900 and CF13000 should be equal to element CF12700.

SUB-INDICATOR #3: Work Orders

This sub-indicator examines the adequacy of a PHA’s performance with regard to completing maintenance work items as measured by its work order system. The sub-indicator evaluates how the PHA controls its active work orders as well as the timeliness of completion. Any work order active within the assessed year is included regardless of when it was received or completed. However, only the calendar days within the current assessed year are included in the calculation.

Data Sources:

- Work order Log is required which reports the time and date each work order is received and completed, the status of all work requests and includes emergency and non-emergency classification
- Work Orders: received in the prior assessed year and completed in the current assessed year; received and completed within the current assessed year; and received and not completed before the end of the current assessed year

Recommendation: Keep a narrative explanation and the math calculations by units by days in the file for PHAS documentation.

Component #1, Emergency Work Orders

Emergency work orders are those that address an immediate threat to life, health, safety to property or to the resident or are related to fire safety. Examples include, but are not limited to, an unhealthy or undrinkable water supply, gas leak, broken/blocked sanitary sewer line, failed heating system, hazardous electrical system, uninhabitable unit as a result of a fire, and situations causing an exposure to asbestos, lead-based paint, or other toxic materials.

This component measures the performance of a PHA in abating or completing emergency work orders within 24 hours.

Remember: Abatement of the emergency condition means, that although the work was not completed, the threat to life, health or safety has been removed. Abating the situation allows you to change the status of the work order to “non-emergency,” giving more time to actually correct the problem. Abatement may include moving the family to another unit until the situation can be corrected.

Component #1: Emergency Work Orders

| ELEMENT | DESCRIPTION | AMOUNT |
|----------------|--|----------------------|
| W10000 | Total number of emergency work orders | |
| W10100 | Total number of emergency work orders completed/abated within 24 hours | |
| W10200 | Percentage of emergency work orders completed/abated within 24 hours | [READ ONLY] % |

Element W10000. Total number of emergency work orders. Please refer to the Work Order Log for information requirements for this element.

Remember: Any emergency work orders active within the assessed year is included in this calculation, regardless of when it was received or completed.

Element W10100. Total number of emergency work orders completed/abated within 24 hours. Please refer to the Work Order Log for information requirements for this element.

Remember: Only those emergency work orders completed/abated within the assessed year are included in the calculation.

Element W10200. Percentage of emergency work orders completed/abated within 24 hours. Read only. System generated.

Calculations by system:

| |
|--|
| $[W102000] \text{ Percentage of emergency work ordered completed/abated within 24 hours} = \frac{[W10100] \text{ Total number of emergency work orders completed/abated within 24 hours}}{[W10000] \text{ Total number of emergency work orders}}$ |
|--|

Remember: Emergency work orders are calculated in hours or portion thereof.

Component #2, Non-Emergency Work Orders

A non-emergency work order measures the average number of calendar days for a PHA to complete non-emergency work orders. Non-emergency work orders are issued to correct conditions that do not pose an immediate threat to life, health, safety to property or to the resident, or are not related to fire safety.

This includes work orders generated in response to resident or staff reports of a repair need and preventive maintenance work orders. It also includes work orders resulting from annual inspections using Uniform Physical Condition Standards for public housing. HOWEVER, cyclical work orders (mopping the halls, grounds care tasks, cleaning gutters), work deferred for modernization and vacant unit preparation ARE NOT INCLUDED.

Remember: There are several types of non-emergency work orders completed by a PHA. The types of non-emergency work orders that must be counted are response generated work orders, preventative maintenance work orders and work orders resulting from the annual inspection of units and systems.

Remember: In counting the total calendar days that it took to complete non-emergency work orders, consideration should be given to the fact that any part of the day, even 15 minutes, is counted as ONE DAY for each non-emergency work order. A work order received in the morning of one day and not completed until the afternoon of the next day is counted as ONE DAY for each non-emergency work order.

Example: Calculation of the number of calendar days to complete non-emergency work orders.

| DATE EACH NON-EMERGENCY WORK ORDER GENERATED | DATE EACH NON-EMERGENCY WORK ORDER IS COMPLETED | THE NUMBER OF CALENDAR DAYS TO COMPLETE ALL NON-EMERGENCY WORK ORDERS |
|--|---|---|
| Monday at 10:05 AM | Same Monday at 10:45 AM | 1 day each |
| Monday at 4:15 PM | The next day, Tuesday at 5:30 PM | 1 day each |

Remember: For a non-emergency work order that is RECEIVED BUT NOT COMPLETED in the previous fiscal year, ONLY the days that the work order was active during the assessment year are counted. For a work order RECEIVED DURING THE ASSESSMENT YEAR, BUT NOT COMPLETED until the following fiscal year, ONLY the days the work order was active during the assessment year are counted.

Remember: A non-emergency work order active within the assessed year is included in this calculation, regardless of when it was received or completed.

Component #2: Non-Emergency Work Orders

| ELEMENT | DESCRIPTION | AMOUNT |
|---------|---|-------------|
| W10500 | Total number of non-emergency work orders | |
| W10600 | Total number of calendar days it took to complete non-emergency work orders. | |
| W10700 | Average number of days PHA has reduced the time it takes to complete non-emergency work orders over the past three years (enter average number of days) | |
| W10800 | Average completion days | [READ ONLY] |

Element W10500. Total number of non-emergency work orders. Please refer to the Work Order Log for information requirements for this element.

Remember: Any non-emergency work order that was active within the assessed year is included in this calculation, regardless of when it was received or completed.

Element W10600. Total number of calendar days it took to complete non-emergency work orders. Please refer to the Work Order Log for information requirements for this element.

Remember: Any non-emergency work order that was active within the assessed year is included in this calculation, regardless of when it was received or completed.

Element W10700. Average number of days PHA has reduced the time it takes to complete non-emergency work orders over the past three years (enter average number of days).

Optional: This calculation is a comparison of the average time it took to complete non-emergency work orders in the fiscal year being assessed with the average time it took to complete non-emergency work orders of the fiscal year that is two years previous to the assessment year. It is calculated by subtracting the average time it took to complete non-emergency work orders in the fiscal year being assessed from the average time it took to complete non-emergency work orders in the earlier year.

Remember: If a PHA elects to certify to the reduction of the average time it took to complete non-emergency work orders during the previous three years, the PHA shall retain justifying documentation to support its certification for HUD post review.

| Reduction in the Period of Time Required to Complete Non-Emergency Work Orders during the Preceding Three Years | |
|---|------------------------------|
| Fiscal Year | Days to Complete Work Orders |
| Fiscal year 2 years prior to the assessment year | 59 |
| –Fiscal year being assessed | <u>–41</u> |
| Reduction | 18 |

Element W10800. Average Completion days. Read only. System generated.

Calculations by system:

| |
|--|
| $[W10800] \text{ Average completion days} = [W10600] \text{ Total number of calendar days it took to complete non-emergency work orders} / [W10500] \text{ Total number of non-emergency work orders}$ |
|--|

SUB-INDICATOR #4: Annual Inspections of Dwelling Units and Systems

This sub-indicator examines units and systems inspected annually using the Uniform Physical Condition Standards (UPCS). The PHA is required to be able to document that they have analyzed the local code and compared it to the UPCS. This narrative comparison must specifically identify those sections of local code that are more stringent than UPCS. PHA should also include local code requirements that are not present in UPCS. The inspection form used by the PHA must be annotated to include the standard from the local code in each case where it is more stringent. If there is no local code, it is recommended that the PHA get a letter from the local jurisdiction (County or City) stating that fact. Keep that letter or the narrative analysis in the PHA PHAS file as documentation.

Remember: One of the purposes of both unit inspections and systems inspections is to determine long-term modernization (capital) needs. Deficiencies can be included in the PHA's comprehensive modernization (capital) plan.

Data Sources:

- PHA Annual Contributions Contract (ACC) and most recent amendments
- The PHA should have a tracking system to document when each inspection was completed, what was found during the inspection and whether the action taken included:
 - ❑ Completing repairs during the inspection
 - ❑ Issuing work orders; or
 - ❑ Referring deficiencies to the current or the following year's Capital Fund/modernization program
- Preventive maintenance schedule

Component #1 Annual Inspections of Dwelling Units

- PHA will need an annual inspection schedule and log which lists every unit and reports:
 - ❑ The date the inspection was completed or
 - ❑ The date of two efforts to inspect and
 - ❑ The status of subsequent legal action to gain access to the unit
- Completed inspection forms for each unit inspected must be available in either resident files or unit files; forms should be accompanied by documentation of any deficiencies not repaired during the inspection that:
 - ❑ A work order was issued or
 - ❑ The work was referred to the current or following year's Capital Fund/modernization program

Component # 2 Annual Inspection of Systems (Including Common Areas and Non-Dwelling Space)

- The PHA should have a maintenance plan which includes schedules and procedures for annual inspection of building and systems
- Preventive maintenance schedule

Recommendation: Keep a narrative explanation and the math calculations by units and by days in the file for PHAS documentation.

Component #1, Annual Inspection of Dwelling Units

While HUD does not prescribe a specific format for the inspection of dwelling units, PHAs are required to inspect all units, using the Uniform Physical Condition Standards (UPCS) that are occupied and not specifically exempted under this sub-indicator. Units specifically exempt from vacant unit turnaround time include:

- The PHA has made two documented attempts to inspect, but only if the PHA can document that appropriate legal action has been taken, including eviction;
- Units vacant for the full immediate past fiscal year that are undergoing section 9(d) capital funding; and
- Units vacant for the full immediate past fiscal year that are documented to be uninhabitable due to high/unsafe levels of hazardous/toxic materials, by order of the local health department or a directive from the Environmental Protection Agency, natural disasters, and units that became structurally unsound.

Remember: ALL OCCUPIED SPACE SHALL BE INSPECTED. This includes units used for non-dwelling purposes, those occupied by an employee and those used for resident services.

Component #1: Annual Inspection of Dwelling Units

| ELEMENT | DESCRIPTION | AMOUNT |
|---------|--|---------------|
| A10000 | The total number of ACC units | |
| A10100 | The sum of units exempted where the PHA made two documented attempts to inspect and is enforcing the lease | |
| A10200 | Vacant units exempted for Capital Fund | |
| A10300 | Vacant units exempted for other reasons | |
| A10400 | Total number of units inspected using the Uniform Physical Condition Standards | |
| A10550 | Total number of units inspected that did not require repairs. | |
| A10600 | The number of units where necessary repairs were completed to comply with Uniform Physical Conditions Standards either during the inspection, issued work orders for the repairs, or referred the deficiency to the current year's or next year's Capital Fund program | |
| A10700 | Adjusted units available | [READ ONLY] |
| A10800 | Percent of units inspected by PHA | [READ ONLY] % |
| A10900 | Percent meeting Uniform Physical Condition Standards | [READ ONLY] % |

Element A10000. Total number of ACC Units. Please refer to the ACC and other **Data Sources** for information for this element.

Element A10100. The sum of units exempted where the PHA made two documented attempts to inspect and to enforce the lease. Please refer to the inspection log and other **Data Sources** for information for this element.

Element A10200. Vacant Units exempted for Capital Funds/modernization. Please refer to the inspection log, completed inspection forms, tracking system and other **Data Sources** for information for this element.

Element A10300. Vacant Units exempted for other reasons. Please refer to inspection log and other **Data Sources** for information for this element.

Element A10400. Total number of units inspected using the Uniform Physical Condition Standards. Please refer to the inspection schedule and log and other **Data Sources** for information for this element.

Element A10550. Total number of units inspected that did not require repairs. Please refer to the inspection schedule and log and other **Data Sources** for information for this element. The total number of units entered for this element should represent the number of units that did not require repairs to meet the UPCS at the time of the inspection.

Element A10600. Total number of units where necessary repair were completed to comply with Uniform Physical Condition Standards either during the inspection, issued work orders for the repairs, or referred the deficiency to the current year's or next year's Capital Fund/modernization program. Please refer to the inspection log, completed inspection forms, tracking systems and other **Data Sources** for information for this element.

Element A10700. Adjusted units available. Read only. System generated.

Calculations by system:

[A10700] Adjusted units available = [A10000] The total number of ACC units - ([A10100] The sum of units exempted where the PHA made two documented attempts to inspect and is enforcing the lease + [A10200] Vacant units exempted for Capital Fund + [A10300] Vacant units exempted for other reasons)

Element A10800. Percent of units inspected by PHA. Read only. System generated.

Calculations by system:

[A10800] Percent of units inspected by PHA = [A10400] The number units inspected using Uniform Physical Condition Standards / [A10700] Adjusted units available

Element A10900. Percent meeting Uniform Physical Condition Standards. Read only. System generated.

Remember: This element will not be used for purpose of scoring; it is used for reporting purpose only.

Calculations by system:

[A10900] Percent meeting Uniform Physical Condition Standards = ([A10500] Total number of units inspected meeting the Uniform Physical Condition Standards + [A10600] The number of units where necessary repairs were completed to comply with Uniform Physical Condition Standards either during the inspection, issued work orders for the repairs, or referred the deficiency to the current year's or the following year's Capital Fund program / [A10400] Total number of units inspected using Uniform Physical Condition Standards.

Component #2, Annual Inspection of Systems (Including Common Areas and Non-Dwelling Space)

The purpose of this component is to ensure that, in addition to the annual inspection of individual dwelling units, PHAs are also annually inspecting and maintaining the major systems, including common areas and non-dwelling space, that are essential to decent, safe and sanitary housing. This component examines the inspection of building and sites according to the PHA's maintenance plan, including performing the required maintenance on structures and systems in accordance with the manufacturer's specifications and established local/PHA standards, or issuing work orders for maintenance/repairs, or including identified deficiencies in this year's Capital Fund/modernization program, or in the next year's Capital Fund/modernization program if there are less than three months remaining before the end of the PHA fiscal year when the inspection was performed.

In order to complete this component, the PHA should have available their written Maintenance Plan. It should detail the full range of maintenance requirements for all systems, PHA-wide. Understandably, the plans will be more detailed in larger PHAs. Nonetheless, all PHAs should think of the maintenance plan as the basic guide to all required maintenance activities. Using the plan, the PHA should be able to know the full scope of all required maintenance activities.

Remember: Systems include but are not limited to:

➤ **Structural building envelopes which include:**

- roofing, walls, siding, windows, hardware,
- flashing and caulking; fire escapes, foundations
- doors

➤ **Mechanical systems which include:**

- heating, ventilation, air conditioning, plumbing,
- sanitary system, underground utilities (gas, electrical and water)
- fuel storage tanks sprinkler systems (if applicable)

➤ **Electrical systems which include:**

- underground and above ground transmission equipment,
- elevators, emergency generators, door bells,
- electronic security devices, fire protection and smoke alarms,
- outdoor and indoor lighting (halls, stairwells, public areas and exit signs)
- transformers. panel boxes exhaust system,
- outlets and switches

➤ **Other items, if applicable:**

- roadways, parking areas, sidewalks, property drainage,
- playgrounds and tot lots, etc. mailboxes fencing

Component #2: Annual Inspection of Systems (Including Common Areas and Non-Dwelling Space)

| ELEMENT | DESCRIPTION | AMOUNT |
|---------|--|---------------|
| A11100 | Total number of sites | |
| A11200 | Total number of sites exempted from the inspection of systems | |
| A11300 | The total number of sites where all systems were inspected in accordance with the UPCS | |
| A11400 | Total number of buildings | |
| A11500 | Total number of buildings exempted from the inspection of systems | |
| A11600 | The total number of buildings where all systems were inspected in accordance with the UPCS | |
| A11700 | The number of buildings and sites where necessary repairs were completed to comply with the Uniform Physical Conditions Standards either during the inspection, issued work orders for the repairs, or refer deficiency to the current year's or next year's Capital Fund program. | |
| A11800 | Percentage of sites inspected | [READ ONLY] % |
| A11900 | Percentage of buildings inspected | [READ ONLY] % |

Element A11100. Total number of sites (the term “sites” refers to the number of projects under the ACC). Please refer to the maintenance plan, tracking system and other **Data Sources** for information for this element.

Element A11200. Total number of sites (the term “sites” refers to the number of projects under the ACC) exempted from the inspection of systems. Please refer to the maintenance plan, tracking system and other **Data Sources** for information for this element.

Remember: Sites can be exempted if all the units in all the buildings are uninhabitable, scheduled for demolition or disposition, or otherwise exempt.

Element A11300. Total number of sites (the term “sites” refers to the number of projects under the ACC) where all systems were inspected in accordance to the UPCS. Please refer to the maintenance plan, tracking system and other **Data Sources** for information for this element.

Remember: Inspection of systems should be in accordance with the PHA’s maintenance plan.:

Element A11400. Total number of buildings. Please refer to the maintenance plan, tracking system and other **Data Sources** for information for this element.

Element A11500. Total number of buildings exempted from the inspection of systems. This applies to building where all the units are:

- **deprogrammed** - formally removing units under the ACC out of service as a result of demolition or conversion and all units in the building are vacant; and
- **undergoing modernization** - formally removing units under the ACC out of service as a result of construction that is necessary to reoccupy the vacant units or the units are under a HUD-approved modernization budget.

Please refer to the maintenance plan, tracking system and other **Data Sources** for information for this element.

Element A11600. Total number of buildings where all systems were inspected in accordance with the UPCS. Please refer to the maintenance plan, tracking system and other **Data Sources** for information for this element.

Remember: Inspection of buildings should be in accordance with the PHA’s maintenance plan.

Element A11700. The number of buildings and sites (the term “sites” refers to the number of projects under the ACC) where necessary repairs were completed to comply with the UPCS either during the inspection, issued work orders for the repairs, or referred the deficiency to the current year’s or next year’s Capital Fund/modernization program. Please refer to the tracking system and other **Data Sources** for information this element.

Element A11800. Percentage of sites (the term “sites” refers to the number of projects under the ACC) inspected. Read only. System generated.

Calculations by system:

| |
|--|
| $[A11800] \text{ Percent of contiguous sites (adjoining with no natural boundaries) inspected} = [A11300] \text{ The total number of sites where all systems were inspected according with the PHA maintenance plan} / [A11100] \text{ Total number of sites}$ |
|--|

Element A11900. Percentage of buildings inspected. Read only. System generated.

Calculations by system:

| |
|---|
| $[A11900] \text{ Percent of building inspected} = [A11600] \text{ The total number of building where all systems were inspected according with the PHA maintenance plan} / [A11400] \text{ Total number of buildings} - [A11500] \text{ Total number of buildings exempted from the inspection of systems}$ |
|---|

SUB-INDICATOR #5: Security

This sub-indicator evaluates a PHA's performance in tracking of crime-related problems in its developments; reporting incidence of crime to local law enforcement agencies; the adoption and implementation, consistent with section 9 of the of the Housing Opportunity Program Extension Act of 1996, (One-strike and You're Out) (42 U.S.C. 1437 d (r)), of applicant screening and resident eviction policies and procedures and other anticrime strategies. This sub-indicator measures a PHA's performance under any HUD drug prevention and/or crime reduction grants, as applicable. Also, PHAs will get credit for the performance under non-HUD funded programs, if they choose to be assessed for these programs.

Remember: PHAs must select either to be assessed for all or none of the non-HUD funded programs.

Data Sources:

- Tracking systems for the various drug and crime programs and their goals
- Crime reports and statistics
- A log of crimes reported to local authorities
- Board adopted policy for a cooperative system to share information with local law enforcement agencies
- PHA Board of Commissioner approved policies to track crime-related problems
- PHA Board of Commissioner adopted policy for applicant screening policies and criteria
- Documentation of cases where admission has been denied to applicants meeting the screening criteria
- Eviction records of residents who violate the lease for the reasons cited in the eviction policy
- Goals and implementation plans for the various drug and crime programs
- Board minutes
- Board resolutions
- Listing of 911 calls
- Listing of criminal activity or problems identified by site manager
- Mapping information showing the crime rate by area
- Policies that encourage/require PHA staff to report crime
- Inspection of developments for evidence of visible criminal activity
- Documentation of PHA communications to residents encouraging the reporting of crime
- Admission and Occupancy Policy and implementing procedures
- PHA Housing Application includes screening questions
- Applicant ineligibility letters
- Documentation of eviction notices of "for cause" evictions
- Documentation of court judgments
- Warning letters issued to residents
- Internal occupancy reports showing number of lease violations for the three criteria outlined in "One-Strike And You're Out"
- Implementation plan(s) for drug prevention and/or crime-related program(s)
- Lists of attendees at various programs

Recommendation: Keep a narrative explanation and any applicable calculations in the file for PHAS documentation.

Component #1, Tracking and Reporting Crime-Related Problems

This component examines a PHA’s performance in tracking crime and crime-related problems in its developments, identifies the reporting of incidents of crime to local police authorities, and if applicable, shows whether a PHA has a cooperative system with the local police authorities for tracking and reporting incidents of crime to local police authorities to improve law enforcement and crime prevention.

Component#1: Tracking and Reporting Crime-Related Problems

| ELEMENT | DESCRIPTION | AMOUNT |
|---------|---|--------|
| S10000 | The date that the PHA Board adopted current policies to track crime and crime-related problems. | / / |
| S10100 | The date that the PHA implemented the current procedures to track crime and crime-related problems | / / |
| S10200 | The date that the PHA implemented a current cooperative system for tracking and reporting crime to local police authorities | / / |
| S10300 | The number of crimes that the PHA reported to local police authorities | |
| S10400 | Percentage of developments where PHA can document it tracks crime and crime-related problems | % |

Element S10000. The date that the PHA Board adopted policies to track crime and crime-related problems. Please refer to the Board approved crime tracking policies and other **Data Sources** for information for this element.

Remember: The date that the PHA Board adopted policies to track crime and crime-related problems **must** be prior to the PHA’s fiscal year end date.

Element S10100. The date that the PHA implemented the current procedures to track crime and crime-related problems. Please refer to the Board minutes/resolutions and **Data Sources** for information requirements for this element.

Remember: The date that the PHA implemented the current procedures to track crime and crime-related problems **must** be prior to the PHA’s fiscal year end date.

Element S10200. The date that the PHA implemented a current cooperative system for tracking and reporting crime to local police authorities. Please refer to the Board of Commissioner approved cooperation policy and other **Data Sources** for information requirements for this element.

Remember: The date that the PHA implemented a current cooperative system for tracking and reporting crime to local police authorities **must** be prior to the PHA’s fiscal year end date.

Element S10300. The number of crimes that the PHA reported to the local police authorities during the fiscal year being assessed. Please refer to the log of crimes reported to the local police authorities and other **Data Sources** for information requirements for this element.

Element S10400. Percentage of developments where PHA can document it tracks crime and crime-related problems. Please refer to the mapping information and other **Data Sources** for information requirements for this element.

Component #2, Screening of Applicants

This component measures whether a PHA has formally adopted applicant screening policies and procedures and can document that it denies admission to an applicant who:

- Has a recent history of criminal activity involving crime to persons or property;
- Was evicted because of drug-related activity from assisted housing within the last three years, unless the applicant has successfully completed a rehabilitation program approved by the PHA;
- The PHA has reason to believe is illegally using a controlled substance, or engages in any drug-related activity on or off PHA property; or
- The PHA has reason to believe is abusing alcohol, which interferes with the health, safety or right to peaceful enjoyment of the premises by other residents.

Each PHA must develop and implement its own screening policies and procedures. Each PHA must document that it appropriately screens applicants based on the above criteria.

Component#2: Screening of Applicants

| ELEMENT | DESCRIPTION | AMOUNT |
|---------|--|--------|
| S10500 | The date the PHA Board adopted current screening policies that reflect the One-Strike criteria | / / |
| S10600 | The date the PHA implemented current screening procedures that reflect the One-Strike criteria | / / |
| S10700 | PHA can document that current screening procedures result in successfully denying admission to applicants who meet the One-Strike criteria | Yes No |
| S10800 | The total number of applicants denied who met the One-Strike criteria | |

Element S10500. The date the PHA Board adopted current screening policies that reflect the One-Strike criteria. Please refer to the Board of Commissioner minutes/resolutions and other **Data Sources** for information requirements for this element.

Remember: The date that the PHA Board adopted current screening policies that reflect the One-Strike criteria **must** be prior to the PHA’s fiscal year end date.

Element S10600. The date the PHA implemented current screening procedures that reflect the One-Strike criteria. Please refer to the Board of Commissioner minutes/resolutions and other **Data Sources** for information requirements for this element.

Remember: The date that the PHA Board implemented current screening procedures that reflect the One-Strike criteria **must** be prior to the PHA’s fiscal year end date.

Element S10700. PHA can document that current screening procedures result in successfully denying admissions to applicants who meet the One-Strike criteria, Yes or No. Please refer to housing applications and other **Data Sources** for information requirements for this element.

Remember: If a PHA has adopted screening policies and implemented screening procedures that reflect the One-Strike criteria prior to the PHA’s fiscal year end date, but the PHA did not deny admissions to applicants because none of the applicants met the One-Strike criteria, then

the PHA should answer “Yes” to Element S10700. A PHA should not be penalized because none of its applicant met the One-Strike criteria.

Element S10800. The total number of applicants denied who met the One-Strike criteria. Please refer to ineligibility letters and other **Data Sources** for information requirements for this element.

Remember: PHAs are scored for this component based on the formal adoption and implementation of applicant screening policies and procedures and has incorporated One-Strike criteria in the screening of applicants.

Component #3, Lease Enforcement

This component measures whether a PHA has formally adopted policies and implemented procedures to evict residents who the PHA has reasonable cause to believe:

- Engage in criminal activity that threatens the health, safety, or right to peaceful enjoyment of the premises by other residents or PHA personnel;
- Engage in any drug related criminal activity on or off of the PHA property; or
- Abuse alcohol in a way that interferes with the health, safety, and peaceful enjoyment of the premises by other residents or PHA personnel.

Each PHA must develop and implement its own eviction policies and procedures. Each PHA must document that it appropriately evicts residents based on the above criteria.

Component#3: Lease Enforcement

| ELEMENT | DESCRIPTION | AMOUNT |
|---------|--|--------|
| S10900 | The date the PHA Board adopted current eviction procedures that reflect the One-Strike criteria | / / |
| S11000 | The date the PHA implemented current eviction procedures that reflect the One-Strike criteria | / / |
| S11100 | PHA can document that current eviction screening procedures resulted in the eviction of residents who meet the One-Strike criteria | Yes No |
| S11200 | The total number of evictions as a result of the One-Strike criteria | |

Element S10900. The date the PHA Board adopted current eviction procedures that reflect the One-Strike criteria. Please refer to the Board of Commissioner minutes/resolutions and other **Data Sources** for information requirements for this element.

Remember: The date that the PHA Board adopted current eviction policies that reflect the One-Strike criteria **must** be prior to the PHA’s fiscal year end date.

Element S11000. The date the PHA implemented current eviction procedures that reflect the One-Strike criteria. Please refer to the Board of Commissioner minutes/resolutions and other **Data Sources** for information requirements for this element.

Remember: The date that the PHA Board implemented current eviction procedures that reflect the One-Strike criteria **must** be prior to the PHA’s fiscal year end date.

Element S11100. PHA can document that current eviction screening procedures resulted in the eviction of residents who meet the One-Strike criteria, Yes or No. Please refer to eviction notices for cause evictions and other **Data Sources** for information requirements for this element.

Remember: If a PHA has adopted eviction policies and implemented eviction procedures that reflect the One-Strike criteria prior to the PHA’s fiscal year end date, but the PHA did not evict residents because none of the residents met the One-Strike criteria, then the PHA should answer “Yes” to Element S11100. A PHA should not be penalized because none of its residents met the One-Strike criteria.

Element S11200. The total number of evictions as a result of the One-Strike criteria. Please refer to eviction notices for cause evictions and other **Data Sources** for information requirements for this element.

Remember: PHAs are scored for this component based on the formal adoption and implementation of eviction policies and procedures and has incorporated One-Strike criteria in the eviction of residents.

Component #4, Drug Prevention and/or Crime Reduction Program Goals

This component examines PHA management of HUD-funded programs. The PHA may want to self-certify to all public safety programs, or just the HUD-funded programs. This component measures whether the PHA has ESTABLISHED drug prevention and/or crime reduction program GOALS and CAN DOCUMENT that it is meeting goals under the requisite plan(s). PLEASE REMEMBER TO INCLUDE ONLY THE NUMBER OF GOALS TO BE ACCOMPLISHED IN THE YEAR BEING ASSESSED.

Component#4: Drug prevention and/or crime reduction program goals

| ELEMENT | DECRPTION | AMOUNT |
|---------|---|---------------|
| S11350 | The number of HUD-funded drug prevention and/or crime reduction programs. | |
| S11450 | The number of non HUD-funded drug prevention and/or crime reduction programs that the PHA requests to be assessed. | |
| S11550 | The number of documented program goals that are related to drug prevention and/or crime reduction. | |
| S11600 | The number of goals the PHA can document it met under the implementation plan(s) for any and all of these programs | |
| S11700 | Percentage of goals that the PHA can document it met under implementation plan(s) for any and all of these programs | [READ ONLY] % |

Element S11350. The number of HUD-funded drug prevention and/or crime reduction programs that the PHA requests to be assessed. Please refer to the Board of Commissioner minutes/resolutions and other **Data Sources** for information requirements for this element.

Element S11450. The number of non HUD-funded drug prevention and/or crime reduction programs. Please refer to the Board of Commissioner minutes/resolutions and other **Data Sources** for information requirements for this element.

Remember: This is voluntary; the PHA does **NOT** have to be assessed on the non HUD-funded programs. There is no penalty for opting not to be assessed. Also, if the PHA does not have any non HUD-funded programs, there is no penalty.

Element S11550. The number of documented program goals that are related to drug prevention and/or crime reduction. Please refer to the implementation plans and other **Data Sources** for information requirements for this element.

Remember: The number of documented program goals that are related to drug prevention and/or crime reduction should only be the number of goals that are scheduled to be met in the fiscal year being assessed. The number of program goals should not include goals accomplished in the prior fiscal year or scheduled to be accomplished in the next fiscal year.

Element S11600. The number of goals the PHA can document it met under the implementation plan(s) for any and all of these programs. Please refer to the implementation plans and other **Data Sources** for information requirements for this element.

Remember: The number of goals that the PHA can document it met under the implementation plan(s) for any and all programs should only be the number of goals met that were scheduled to be met in the fiscal year being assessed. The number of program goals should not include goals accomplished in the prior fiscal year or scheduled to be accomplished in the next fiscal year.

Element S11700. Percentage of goals that the PHA can document it met under implementation plan(s) for any and all of these programs. Read only. System generated.

Remember: PHAs must have comparative drug prevention and/or crime reduction statistics over time, against the baseline, that can be used to show how the program goals are directly related. Ultimately, there should be some correlation between the decline in the drug and crime rates AND the successful achievement of the program goals.

Calculations by system:

[S11700] Percent of goals the PHA can document it met under the implementation plan (s) for any and all of these programs = [S11600] The number of goals that the PHA can document it met under the implementation plan (s) for any and all of these programs / [S11500] The number of documented program goal that are related to drug prevention and/or crime reduction

SUB-INDICATOR #6: Economic Self-Sufficiency

Under the Quality Housing and Work Responsibility Act of 1998, economic self-sufficiency was added as a factor to section 6(j) of the U.S. Housing Act of 1937. In recognition of the Department’s emphasis on economic self-sufficiency, a separate sub-indicator has been created to evaluate a PHA’s performance under any HUD economic self-sufficiency program that the PHA has HUD funding to implement. Also, PHAs will get credit for the implementation of programs through partnerships with non-PHA providers, even if the programs are not funded by HUD or the PHA, if they choose to be assessed for them.

This sub-indicator examines PHA management of HUD-funded economic self-sufficiency programs. This component measures whether the PHA has ESTABLISHED economic self-sufficiency program GOALS and CAN DOCUMENT that it is meeting the goals under the requisite plan(s).

Remember: PHAs must select either to be assessed for all or none of the non-HUD funded programs.

Data Sources:

- Implementation plan(s) for economic self-sufficiency program(s)
- Lists of attendees at various programs

Recommendation: Keep a narrative explanation and the math calculations in the file for PHAS documentation.

Economic Self-Sufficiency

| ELEMENT | DESCRIPTION | AMOUNT |
|---------|---|----------------------|
| E10000 | The number of HUD-funded economic self-sufficiency programs. | |
| E10100 | The number of non HUD-funded economic self-sufficiency programs that the PHA requests to be assessed. | |
| E10200 | The number of documented program goals that are related to economic self-sufficiency. | |
| E10300 | The number of goals the PHA can document it met under the implementation plan(s) for any and all of these programs | |
| E10400 | Percentage of goals that the PHA can document it met under implementation plan(s) for any and all of these programs | [READ ONLY] % |

Element E10000. The number of HUD-funded economic self-sufficiency programs that the PHA requests to be assessed. Please refer to the Board of Commissioner minutes/resolutions and other **Data Sources** for information requirements for this element.

Element E10100. The number of non HUD-funded economic self-sufficiency programs. Please refer to the Board of Commissioner minutes/resolutions and other **Data Sources** for information requirements for this element.

Remember: This is voluntary; the PHA does **NOT** have to be assessed on the non HUD – funded programs. There is no penalty for opting not to be assessed. Also, if the PHA does not have any non HUD-funded programs, there is no penalty.

Element E10200. The number of documented program goals that are related to economic self-sufficiency. Please refer to the implementation plans and other **Data Sources** for information requirements for this element.

Remember: The number of documented program goals that are related to economic self-sufficiency should only be the number of goals that are scheduled to be met in the fiscal year being assessed. The number of program goals should not include goals accomplished in the prior fiscal year or scheduled to be accomplished in the next fiscal year.

Element E10300. The number of goals the PHA can document it met under the implementation plan(s) for any and all of these programs. Please refer to the implementation plans and other **Data Sources** for information requirements for this element.

Remember: The number of goals that the PHA can document it met under the implementation plan(s) for any and all programs should only be the number of goals met that were scheduled to be met in the fiscal year being assessed. The number of program goals should not include goals accomplished in the prior fiscal year or scheduled to be accomplished in the next fiscal year.

Element S10400. Percentage of goals that the PHA can document if met under implementation plan(s) for any and all of these programs. Read only. System generated.

Remember: PHAs must have comparative economic self-sufficiency statistics over time, against a baseline, that can be used to show how the program goals are directly related. Ultimately, there should be some correlation between the increase in the number of residents that participate in programs and achieve economic self-sufficiency AND the successful achievement of the program goals.

Calculations by system:

| |
|--|
| $[E10400] \text{ Percent of goals the PHA can document it met under the implementation plan (s) for any and all of these programs} = [E10300] \text{ The number of goals that the PHA can document it met under the implementation plan (s) for any and all of these programs} / [E10200] \text{ The number of documented program goal that are related to economic self-sufficiency}$ |
|--|

ADJUSTMENTS FOR PHYSICAL CONDITION AND/OR NEIGHBORHOOD ENVIRONMENT

The overall physical score for a property will be upwardly adjusted to the extent that negative conditions are caused by situations outside the control of a PHA. These situations are related to poor physical condition of the property or the overall depressed condition of the immediate surrounding neighborhood. The intent of this adjustment is to not unfairly penalize a PHA through appropriate application of the adjustment.

Adjustments will be considered for the following three inspectable areas:

- Physical condition of the site;
- Physical condition of the common areas on the property; and
- Physical condition of the building exteriors.

The definition and application of physical condition and neighborhood environment factors are:

- ***Physical Condition:*** applies to properties over 10 years old and that have not received substantial rehabilitation in the past 10 years.
- ***Neighborhood Environment:*** applies to properties located where the immediate surrounding neighborhood (that is a majority of the population that resides in the census tracts or census block groups on all sides of the development) has at least 51 percent of families with incomes below the poverty rate as documented by the latest census data.

👉 Recommendation: If a PHA needs assistance in ascertaining its census data, it should contact local government or the local library.

👉 Remember: HUD will adjust the physical score of a PHA's property that is affected by physical condition (property age) and/or neighborhood environment. If a property is affected by both physical condition and neighborhood environment, the requested adjustments ARE ONLY COUNTED ONCE.

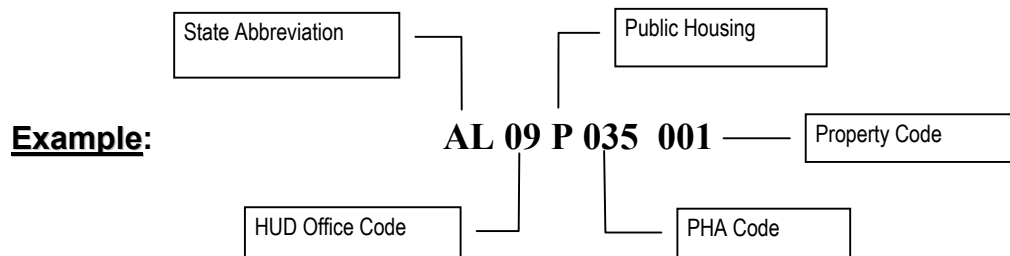
The PHA is to certify on the management operations certification, form HUD-50072, the extent to which the conditions apply, and to the inspectable area(s) where the extra point should be applied.

The adjustment will be made to the scores assigned to the applicable inspectable area(s) to reflect the difficulty in managing the project(s). In each instance where the actual physical condition of the inspectable area (site, common area, building exterior) is rated below the maximum score for that area, 1 point will be added, but not to exceed the maximum points available to the inspectable area.

Remember: PHAs that receive the maximum potential weighted points on the inspectable areas may not claim any additional adjustments for physical conditions and/or neighborhood environment for the respective inspectable area (s).

To complete this process, enter the number of the project or projects you are certifying for the adjustment. Please note: the project number is the ACC project number for the development you are certifying for.

The number should show the first two numbers as being the two-letter state abbreviation, then two-digits reflecting the HUD office code, the letter “P” for Public Housing, followed by a three digit PHA code and finally a three-digit property code.



PHAs are required to maintain documentation related to this element. Please know that when this information is electronically submitted it will be automatically validated against the records that are stored in HUD’s system database.

Adjustment For Physical Condition and/or Neighborhood Environment

Please enter project number and click "Add" to add a project. Indicate which area the adjustment for physical condition and /or neighborhood environment applies for a project. Click "Save" before adding another project.

Project Number:

| Project Number | Project Name | Site | Common Area | Bldg Exterior |
|-------------------------------------|--------------|------|-------------|---------------|
| <input type="button" value="Save"/> | | | | |

APPENDIX 1

Public Housing Assessment
OMB No. 2535-0106
System (PHAS) Management
(exp.09/01/2002)
Operations Certification

**U.S. Department of Housing
and Urban Development**

Real Estate Assessment Center

Public reporting burden for this collection of information is estimated to average **1.8 hours per response**, including the time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. This agency may not collect this information, and you are not required to complete this form, unless it displays a currently valid OMB control number.

This information is collected to implement section 502 of the National Affordable Housing Act of 1990, as amended, which established specific indicators to assess the management performance of public housing agencies (PHAs) in all major areas of management operations. PHAs will complete the PHAS Certification form HUD-50072 and electronically submit it to HUD. If a PHA does not have this capability in-house, the PHA should consider utilizing local resources, such as the library or another local government entity that has Internet access. In the event local resources are not available, a PHA may go to the nearest HUD Public Housing program office and assistance will be given to the PHA to transmit this PHAS certification. The information is used by HUD as a component of PHAS to assess all major areas of PHA's management operations, designate PHAs as troubled and PHAs troubled with respect to the program for assistance from the Capital Fund under Section 9, enter into a Memorandum of Agreement (MOA) with troubled PHAs and PHAs troubled with respect to the program for assistance from the Capital Fund under Section 9, and report annually to Congress on the status of troubled PHAs and PHAs troubled with respect to the program for assistance from the Capital Fund under Section 9. This information is required for HUD to fulfill statutory requirements of the 1990 Act. The information collected does not lend itself to confidentiality.

Instructions: A PHA/AME's electronic responses to this certification must be the PHA/AME's actual data; e.g., prior to any adjustments to the indicators. Round percentages to the nearest two decimal points.

| PHA/AME Name | For FY Ending | Submission Date |
|------------------------|---------------|-----------------|
| Project name(s) if AME | | |

The management functions for the following sub-indicator (s) have been assumed by an RMC, and the RMC certification will be completed and submitted to HUD (enter sub-indicator numbers or N/A):

Sub-Indicator #1: Vacant Unit Turnaround Time

| | | |
|--------|---|-------------|
| V12400 | Total number of turnaround days. | |
| V12500 | Total number of vacancy days exempted for Capital Fund. | |
| V12600 | Total number of vacancy days exempted for other reasons. | |
| V12700 | Total number of vacant units turned around and lease in effect in the PHA's immediate past fiscal year. | |
| V12800 | Average number of calendar days units were in down time. | |
| V12900 | Average number of calendar days units were in make ready time. | |
| V13000 | Average number of calendar days units were in lease up time. | |
| V13100 | Average unit turnaround days. | [READ ONLY] |

Sub-Indicator #2: Capital Fund

| | | |
|---------|---|--------|
| CF10000 | Do you have any open Capital Fund programs (e.g., CIAP, CGP, Hope VI, LBPR, VPR) (Y/N)? Open = any program that does not have a pre-audit end date or that received a pre-audit end date during the fiscal year being assessed. Component #1 and #2 (please circle yes or no) | Yes No |
|---------|---|--------|

Component #1: Unexpended Funds Over Three Federal Fiscal Years (FFYs) Old

| | | |
|---------|---|----------------|
| CF10050 | Total funds authorized over 3 FFYs old that do not have a pre-audit end date or that received a pre-audit end date during the fiscal year being assessed. | \$ |
| CF10100 | Total funds expended over 3 FFYs old that do not have a pre-audit end date or that received a pre-audit end date during the fiscal year being assessed. | \$ |
| CF10200 | Unexpended funds to be recaptured. | \$ |
| CF10300 | Unexpended funds approved by HUD over 3 FFYs old. | \$ |
| CF10400 | Unexpended funds with time extensions due to reasons outside of PHA control. | \$ |
| CF10500 | Adjusted total unexpended funds. | \$ [READ ONLY] |

Component #2: Timeliness of Fund Obligation

| | | |
|---------|---|----------------|
| CF11100 | Total funds authorized for grants older than 2 FFYs old. | \$ |
| CF11200 | Total funds obligated over 2 FFYs old. | \$ |
| CF11300 | Unobligated funds approved by HUD over 2 FFYs old. | \$ |
| CF11400 | Unobligated funds with time extensions due to reasons outside of PHA control. | \$ |
| CF11500 | Adjusted total unobligated funds. | \$ [READ ONLY] |

Component #3: Adequacy of Contract Administration

| | | |
|---------|--|--------------|
| CF11700 | The date of the last HUD/Army Corps of Engineers on-site inspection and/or audit related to contract administration (include A-133 Audit). | (mm/dd/yyyy) |
| CF11800 | The number of findings related to contract administration. | |
| CF11900 | The number of findings related to contract administration that have been corrected by the PHA. | |
| CF12000 | The number of findings related to contract administration that the PHA is in the process of correcting. | |

Component #4: Quality of the Physical Work

| | | |
|---------|---|--------------|
| CF12200 | The date of the last HUD/Army Corps of Engineers on-site inspection and/or audit related to the quality of physical work. | (mm/dd/yyyy) |
| CF12300 | The number of findings related to the quality of physical work. | |
| CF12400 | The number of findings related to the quality of physical work that have been corrected by the PHA. | |
| CF12500 | The number of finding related to the quality of physical work that the PHA is in the process of correcting. | |

Component #5: Adequacy of Budget Controls

| | | |
|---------|---|----|
| CF12700 | Total amount of Capital Funds expended during the PHA fiscal year being assessed. | \$ |
| CF12800 | The amount of Capital Funds expended on approved work items not subject to budget revisions during the PHA fiscal year being assessed. | \$ |
| CF12900 | The amount of Capital Funds expended under budget revisions with prior HUD approval during the PHA fiscal year being assessed. | \$ |
| CF13000 | The amount of Capital Funds expended under budget revisions not requiring prior HUD approval during the PHA fiscal year being assessed. | \$ |

Sub-Indicator #3: Work Orders

Component #1: Emergency Work Orders

| | | |
|--------|---|------------------|
| W10000 | Total number of emergency work orders. | |
| W10100 | Total number of emergency work orders completed / abated within 24 hours. | |
| W10200 | Percentage of emergency work orders completed / abated within 24 hours. | [READ ONLY] % |

Component #2: Non-Emergency Work Orders

| | | |
|--------|---|-------------|
| W10500 | Total number of non-emergency work orders. | |
| W10600 | Total number of calendar days it took to complete non-emergency work orders. | |
| W10700 | Average number of days PHA has reduced the time it takes to complete non-emergency work orders over the past three years. | |
| W10800 | Average completion days. | [READ ONLY] |

Sub-Indicator #4: Annual Inspection of Dwelling Units and Systems

Component #1: Annual Inspection of Dwelling Units

| | | |
|--------|--|--------------|
| A10000 | The total number of ACC units. | |
| A10100 | The sum of units exempted where the PHA made two documented attempts to inspect and is enforcing the lease. | |
| A10200 | Vacant units exempted for Capital Fund. | |
| A10300 | Vacant units exempted for other reasons. | |
| A10400 | Total number of units inspected using the Uniform Physical Condition Standards (UPCS). | |
| A10550 | Total number of units inspected that did not require repairs. | |
| A10600 | The number of units where necessary repairs were completed to comply with UPCS either during the inspection, issued work orders for the repairs, or referred the deficiency to the current year's or next year's Capital Fund program. | |
| A10700 | Adjusted units available. | [READ ONLY] |
| A10800 | Percent of units inspected by PHA. | [READ ONLY]% |

Component #2: Annual Inspection of Systems including Common Areas and Non-Dwelling Space

| | | |
|--------|---|--|
| A11100 | Total number of sites. | |
| A11200 | Total number of sites exempted from the inspection of systems. | |
| A11300 | The total number of sites where all systems were inspected in accordance with the UPCS. | |
| A11400 | Total number of buildings. | |
| A11500 | Total number of buildings exempted from the inspection of systems. | |
| A11600 | The total number of buildings where all systems were inspected in accordance with the UPCS. | |

| | | |
|--------|--|--------------|
| A11700 | The number of buildings and sites where necessary repairs were completed to comply with the Uniform Physical Conditions Standards either during the inspection, issued work orders for the repairs, or referred the deficiency to the current year's or next year's Capital Funds program. | |
| A11800 | Percentage of sites inspected. | [READ ONLY]% |
| A11900 | Percentage of buildings inspected. | [READ ONLY]% |

Sub-Indicator #5: Security

Component#1: Tracking and Reporting Crime-Related Problems

| | | |
|--------|--|--------------|
| S10000 | The date that the Board adopted current policies to track crime and crime-related problems. | (mm/dd/yyyy) |
| S10100 | The date that the PHA implemented the current procedures to track crime and crime-related problems. | (mm/dd/yyyy) |
| S10200 | The date that the PHA implemented a current cooperative system for tracking and reporting crime to local police authorities. | (mm/dd/yyyy) |
| S10300 | The number of crimes that the PHA can document it reported to local police authorities. | |
| S10400 | Percentage of developments where PHA can document it tracks crime and crime-related problems. | % |

Component#2: Screening of Applicants

| | | |
|--------|---|--------------|
| S10500 | The date the Board adopted current screening policies that reflect the One-Strike criteria. | (mm/dd/yyyy) |
| S10600 | The date the PHA implemented current screening procedures that reflect the One-Strike criteria. | (mm/dd/yyyy) |
| S10700 | PHA can document that current screening procedures result in successfully denying admission to applicants who meet the One-Strike criteria. (please circle yes or no) | Yes No |
| S10800 | The total number of applicants denied who met the One-Strike criteria. | |

Component#3: Lease Enforcement

| | | |
|--------|---|--------------|
| S10900 | The date the Board adopted current eviction procedures that reflect the One-Strike criteria. | (mm/dd/yyyy) |
| S11000 | The date the PHA implemented current eviction procedures that reflect the One-Strike criteria. | (mm/dd/yyyy) |
| S11100 | PHA can document that current eviction screening procedures resulted in the eviction of residents who meet the One-Strike criteria. (please circle yes or no) | Yes No |
| S11200 | The total number of evictions as a result of the One-Strike criteria. | |

Component#4: Drug Prevention and/or Crime Reduction Program Goals

| | | |
|--------|--|--------------|
| S11350 | The number of HUD-funded drug prevention and/or crime reduction programs. | |
| S11450 | The number of non HUD-funded drug prevention and/or crime reduction programs that the PHA requests to be assessed. | |
| S11550 | The number of documented program goals that are related to drug prevention and/ or crime reduction. | |
| S11600 | The number of goals the PHA can document it met under the implementation plan(s) for any and all of these programs. | |
| S11700 | Percentage of goals that the PHA can document it met under implementation plan(s) for any and all of these programs. | [READ ONLY]% |

Sub-Indicator #6: Economic Self-Sufficiency

| | | |
|--------|--|--------------|
| E10000 | The number of HUD-funded economic self-sufficiency programs. | |
| E10100 | The number of non HUD-funded economic self-sufficiency programs that the PHA requests to be assessed. | |
| E10200 | The number of documented program goals that are related to economic self-sufficiency. | |
| E10300 | The number of goals the PHA can document it met under the implementation plan(s) for any and all of these programs. | |
| E10400 | Percentage of goals that the PHA can document it met under implementation plan(s) for any and all of these programs. | [READ ONLY]% |

Adjustments for Physical Condition and/or Neighborhood Environment

Please enter project number and name and indicate which area the adjustment for Physical Condition and/or Neighborhood Environment applies for a project. (Check all that apply)

| Project No. | Project Name | Site | Common Areas | Building Exteriors |
|-------------|--------------|--------------------------|--------------------------|--------------------------|
| | | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| | | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |

Please attach additional sheets as necessary for additional projects.

I certify that, as of the submission date, the above sub-indicators, under Public Housing Assessment System indicator #3 Management Operations are true and accurate for the fiscal year indicated. I further certify that, to my present knowledge, there is no evidence to indicate seriously deficient performance that casts doubt on the PHA's capacity to present and protect its public housing developments and operate them in accordance with Federal law and regulations. Appropriate sanctions for intentional false certification will be imposed, including suspension or debarment of the signatory.

A Board Resolution approving this certification is required. I further certify that Board Resolution number _____ approving this certification was passed on (mm/dd/yyyy) _____.

| | |
|--------------------------------|-------------------|
| Executive Director (signature) | Date (mm/dd/yyyy) |
| X | X |

**Public Housing Assessment
System (PHAS) Management
Operations Certification**

**U.S. Department of Housing
and Urban Development**
Real Estate Assessment Center

OMB No. 2535-0106
(exp. 8/31/2001)

Public reporting burden for this collection of information is estimated to average **1.8 hours per response**, including the time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. This agency may not collect this information, and you are not required to complete this form, unless it displays a currently valid OMB control number.

This information is collected to implement section 502 of the National Affordable Housing Act of 1990, as amended, which established specific indicators to assess the management performance of public housing agencies (PHAs) in all major areas of management operations. PHAs will complete the PHAS Certification form HUD-50072 and electronically submit it to HUD. If a PHA does not have this capability in-house, the PHA should consider utilizing local resources, such as the library or another local government entity that has Internet access. In the event local resources are not available, a PHA may go to the nearest HUD Public Housing program office and assistance will be given to the PHA to transmit this PHAS certification. The information is used by HUD as a component of PHAS to assess all major areas of PHA's management operations, designate PHAs as troubled and PHAs troubled with respect to the program for assistance from the Capital Fund under Section 9, enter into a Memorandum of Agreement (MOA) with troubled PHAs and PHAs troubled with respect to the program for assistance from the Capital Fund under Section 9, and report annually to Congress on the status of troubled PHAs and PHAs troubled with respect to the program for assistance from the Capital Fund under Section 9. This information is required for HUD to fulfill statutory requirements of the 1990 Act. The information collected does not lend itself to confidentiality.

Instructions: A PHA/AME's electronic responses to this certification must be the PHA/AME's actual data; e.g., prior to any adjustments to the indicators. Round percentages to the nearest two decimal points.

| | | |
|--------------|---------------|-----------------|
| PHA/AME Name | For FY Ending | Submission Date |
|--------------|---------------|-----------------|

Project name(s) if AME

The management functions for the following sub-indicator (s) have been assumed by an RMC, and the RMC certification will be completed and submitted to HUD (enter sub-indicator numbers or N/A):

Sub-Indicator #1: Vacant Unit Turnaround Time

| | | |
|--------|---|-------------|
| V12400 | Total number of turnaround days. | |
| V12500 | Total number of vacancy days exempted for Capital Fund. | |
| V12600 | Total number of vacancy days exempted for other reasons. | |
| V12700 | Total number of vacant units turned around and lease in effect in the PHA's immediate past fiscal year. | |
| V12800 | Average number of calendar days units were in down time. | |
| V12900 | Average number of calendar days units were in make ready time. | |
| V13000 | Average number of calendar days units were in lease up time. | |
| V13100 | Average unit turnaround days. | [READ ONLY] |

Sub-Indicator #2: Capital Fund

| | | |
|---------|---|--------|
| CF10000 | Do you have any open Capital Fund programs (e.g., CIAP, CGP, Hope VI, LBPR, VRP) (Y/N)? Open = any program that does not have a pre-audit end date or that received a pre-audit end date during the fiscal year being assessed. Component #1 and #2 (please circle yes or no) | Yes No |
|---------|---|--------|

Component #1: Unexpended Funds Over Three Federal Fiscal Years (FFYs) Old

| | | |
|---------|---|----------------|
| CF10050 | Total funds authorized over 3 FFYs old that do not have a pre-audit end date or that received a pre-audit end date during the fiscal year being assessed. | \$ |
| CF10100 | Total funds expended over 3 FFYs old that do not have a pre-audit end date or that received a pre-audit end date during the fiscal year being assessed. | \$ |
| CF10200 | Unexpended funds to be recaptured. | \$ |
| CF10300 | Unexpended funds approved by HUD over 3 FFYs old. | \$ |
| CF10400 | Unexpended funds with time extensions due to reasons outside of PHA control. | \$ |
| CF10500 | Adjusted total unexpended funds. | \$ [READ ONLY] |

Component #2: Timeliness of Fund Obligation

| | | |
|---------|--|----|
| CF11100 | Total funds authorized for grants older than 2 FFYs old. | \$ |
| CF11200 | Total funds obligated over 2 FFYs old. | \$ |

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| | | |
|---------|---|----------------|
| CF11300 | Unobligated funds approved by HUD over 2 FFYs old. | \$ |
| CF11400 | Unobligated funds with time extensions due to reasons outside of PHA control. | \$ |
| CF11500 | Adjusted total unobligated funds. | \$ [READ ONLY] |

Component #3: Adequacy of Contract Administration

| | | |
|---------|--|--------------|
| CF11700 | The date of the last HUD/Army Corps of Engineers on-site inspection and/or audit related to contract administration (include A-133 Audit). | (mm/dd/yyyy) |
| CF11800 | The number of findings related to contract administration. | |
| CF11900 | The number of findings related to contract administration that have been corrected by the PHA. | |
| CF12000 | The number of findings related to contract administration that the PHA is in the process of correcting. | |

Component #4: Quality of the Physical Work

| | | |
|---------|---|--------------|
| CF12200 | The date of the last HUD/Army Corps of Engineers on-site inspection and/or audit related to the quality of physical work. | (mm/dd/yyyy) |
| CF12300 | The number of findings related to the quality of physical work. | |
| CF12400 | The number of findings related to the quality of physical work that have been corrected by the PHA. | |
| CF12500 | The number of finding related to the quality of physical work that the PHA is in the process of correcting. | |

Component #5: Adequacy of Budget Controls

| | | |
|---------|---|----|
| CF12700 | Total amount of Capital Funds expended during the PHA fiscal year being assessed. | \$ |
| CF12800 | The amount of Capital Funds expended on approved work items not subject to budget revisions during the PHA fiscal year being assessed. | \$ |
| CF12900 | The amount of Capital Funds expended under budget revisions with prior HUD approval during the PHA fiscal year being assessed. | \$ |
| CF13000 | The amount of Capital Funds expended under budget revisions not requiring prior HUD approval during the PHA fiscal year being assessed. | \$ |

Sub-Indicator #3: Work Orders

Component #1: Emergency Work Orders

| | | |
|--------|---|---------------|
| W10000 | Total number of emergency work orders. | |
| W10100 | Total number of emergency work orders completed / abated within 24 hours. | |
| W10200 | Percentage of emergency work orders completed / abated within 24 hours. | [READ ONLY] % |

Component #2: Non-Emergency Work Orders

| | | |
|--------|---|-------------|
| W10500 | Total number of non-emergency work orders. | |
| W10600 | Total number of calendar days it took to complete non-emergency work orders. | |
| W10700 | Average number of days PHA has reduced the time it takes to complete non-emergency work orders over the past three years. | [READ ONLY] |
| W10800 | Average completion days. | [READ ONLY] |

Sub-Indicator #4: Annual Inspection of Dwelling Units and Systems

Component #1: Annual Inspection of Dwelling Units

| | | |
|--------|---|--|
| A10000 | The total number of ACC units. | |
| A10100 | The sum of units exempted where the PHA made two documented attempts to inspect and is enforcing the lease. | |
| A10200 | Vacant units exempted for Capital Fund. | |

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| | | |
|--------|--|--------------|
| A10300 | Vacant units exempted for other reasons. | |
| A10400 | Total number of units inspected using the Uniform Physical Condition Standards (UPCS). | |
| A10550 | Total number of units inspected that did not require repairs. | |
| A10600 | The number of units where necessary repairs were completed to comply with UPCS either during the inspection, issued work orders for the repairs, or referred the deficiency to the current year's or next year's Capital Fund program. | |
| A10700 | Adjusted units available. | [READ ONLY] |
| A10800 | Percent of units inspected by PHA. | [READ ONLY]% |

Component #2: Annual Inspection of Systems including Common Areas and Non-Dwelling Space

| | | |
|--------|--|--------------|
| A11100 | Total number of contiguous sites (adjoining with no natural boundaries). | |
| A11200 | Total number of contiguous sites (adjoining with no natural boundaries) exempted from the inspection of systems. | |
| A11300 | The total number of contiguous sites (adjoining with no natural boundaries) where all systems were inspected in accordance with the UPCS. | |
| A11400 | Total number of buildings. | |
| A11500 | Total number of buildings exempted from the inspection of systems. | |
| A11600 | The total number of buildings where all systems were inspected in accordance with the UPCS. | |
| A11700 | The number of buildings and sites where necessary repairs were completed to comply with the Uniform Physical Conditions Standards either during the inspection, issued work orders for the repairs, or referred the deficiency to the current year's or next year's Capital Funds program. | |
| A11800 | Percentage of contiguous sites (adjoining with no natural boundaries) inspected. | [READ ONLY]% |
| A11900 | Percentage of buildings inspected. | [READ ONLY]% |

Sub-Indicator #5: Security

Component#1: Tracking and Reporting Crime-Related Problems

| | | |
|--------|--|--------------|
| S10000 | The date that the Board adopted current policies to track crime and crime-related problems. | (mm/dd/yyyy) |
| S10100 | The date that the PHA implemented the current procedures to track crime and crime-related problems. | (mm/dd/yyyy) |
| S10200 | The date that the PHA implemented a current cooperative system for tracking and reporting crime to local police authorities. | (mm/dd/yyyy) |
| S10300 | The number of crimes that the PHA can document it reported to local police authorities. | |
| S10400 | Percentage of developments where PHA can document it tracks crime and crime-related problems. | % |

Component#2: Screening of Applicants

| | | |
|--------|---|--------------|
| S10500 | The date the Board adopted current screening policies that reflect the One-Strike criteria. | (mm/dd/yyyy) |
| S10600 | The date the PHA implemented current screening procedures that reflect the One-Strike criteria. | (mm/dd/yyyy) |
| S10700 | PHA can document that current screening procedures result in successfully denying admission to applicants who meet the One-Strike criteria. (please circle yes or no) | Yes No |
| S10800 | The total number of applicants denied who met the One-Strike criteria. | |

Component#3: Lease Enforcement

| | | |
|--------|--|--------------|
| S10900 | The date the Board adopted current eviction procedures that reflect the One-Strike criteria. | (mm/dd/yyyy) |
| S11000 | The date the PHA implemented current eviction procedures that reflect the One-Strike criteria. | (mm/dd/yyyy) |

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| | | | |
|--------|---|-----|----|
| S11100 | PHA can document that current eviction screening procedures resulted in the eviction of residents who meet the One-Strike criteria. (please circle yes or no) | Yes | No |
| S11200 | The total number of evictions as a result of the One-Strike criteria. | | |

Component#4: Drug Prevention and/or Crime Reduction Program Goals

| | | |
|--------|--|--------------|
| S11350 | The number of HUD-funded drug prevention and/or crime reduction programs. | |
| S11450 | The number of non HUD-funded drug prevention and/or crime reduction programs that the PHA requests to be assessed. | |
| S11550 | The number of documented program goals that are related to drug prevention and/ or crime reduction. | |
| S11600 | The number of goals the PHA can document it met under the implementation plan(s) for any and all of these programs. | |
| S11700 | Percentage of goals that the PHA can document it met under implementation plan(s) for any and all of these programs. | [READ ONLY]% |

Sub-Indicator #6: Economic Self-Sufficiency

| | | |
|--------|--|--------------|
| E10000 | The number of HUD-funded economic self-sufficiency programs. | |
| E10100 | The number of non HUD-funded economic self-sufficiency programs that the PHA requests to be assessed. | |
| E10200 | The number of documented program goals that are related to economic self-sufficiency. | |
| E10300 | The number of goals the PHA can document it met under the implementation plan(s) for any and all of these programs. | |
| E10400 | Percentage of goals that the PHA can document it met under implementation plan(s) for any and all of these programs. | [READ ONLY]% |

Adjustments for Physical Condition and/or Neighborhood Environment

Please enter project number and name and indicate which area the adjustment for Physical Condition and/or Neighborhood Environment applies for a project. (Check all that apply)

| Project No. | Project Name | Site | Common Areas | Building Exteriors |
|-------------|--------------|------|--------------|--------------------|
| | | | | |
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Please attach additional sheets as necessary for additional projects.

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I certify that, as of the submission date, the above sub-indicators, under Public Housing Assessment System indicator #3 Management Operations are true and accurate for the fiscal year indicated. I further certify that, to my present knowledge, there is no evidence to indicate seriously deficient performance that casts doubt on the PHA's capacity to present and protect its public housing developments and operate them in accordance with Federal law and regulations. Appropriate sanctions for intentional false certification will be imposed, including suspension or debarment of the signatory.

A Board Resolution approving this certification is required. I further certify that Board Resolution number _____ approving this certification was passed on (mm/dd/yyyy) _____.

| | |
|---|----------------------------|
| Executive Director (signature) X | Date (mm/dd/yyyy) X |
|---|----------------------------|