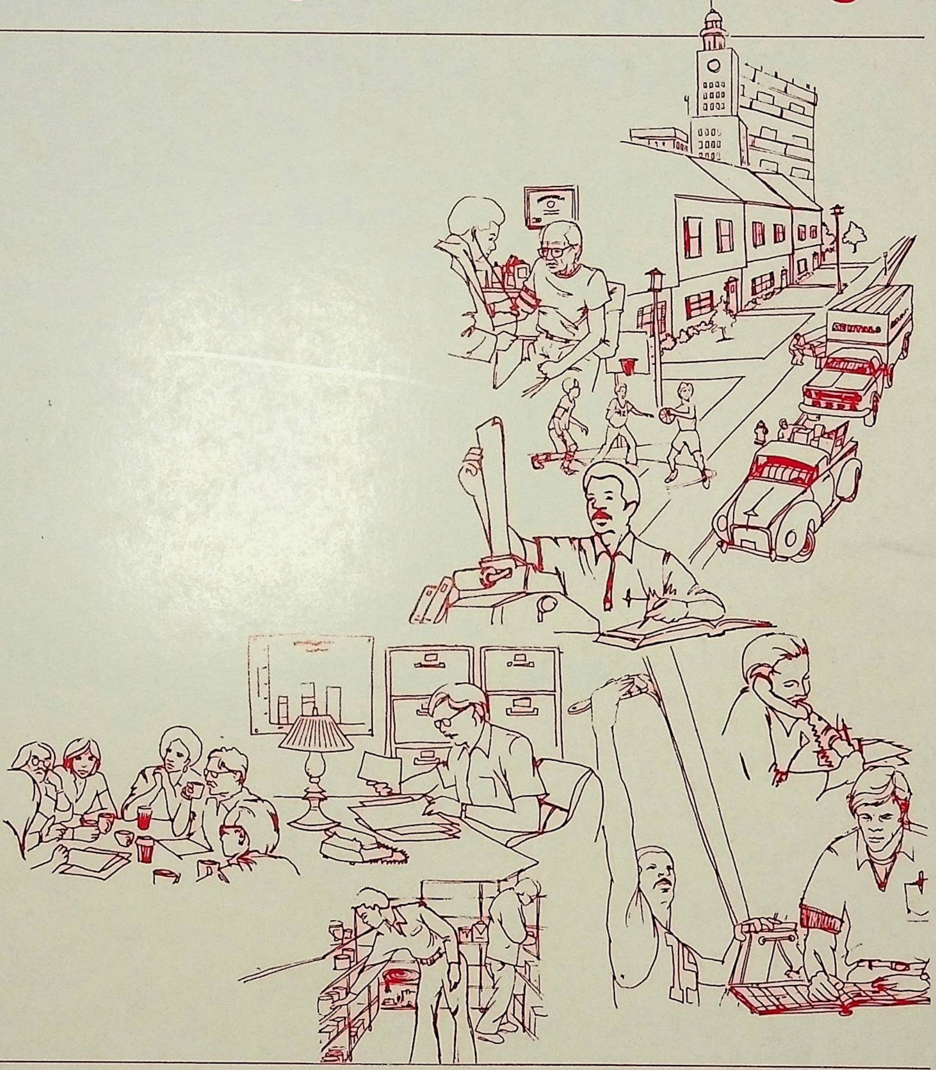
U.S. Department of Housing and Urban Development
Office of Policy Development and Research

The Insider's Guide To Managing Public Housing



Volume 2:
Analysis Guides

The Insider's Guide To Managing Public Housing

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Prepared for
U.S. Department of Housing
and Urban Development
Office of Policy Development
and Research

by
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Foreword

Today, housing managers face demands for maintaining and improving operations with limited resources at their disposal. These guides offer a starting point for those who recognize the potential dividends of self-assessment and wish to act.

Designed with the assistance of veteran professionals in the field of housing management, these volumes provide — for the first time in printed form — a comprehensive framework for careful diagnosis and intelligent problem solving. We are grateful for the assistance of the advisory committee of public housing officials and the National Association of Housing and Redevelopment Officials whose guidance was instrumental in assuring the guides' utility.

We commend the results of their important work to those concerned with conserving our Nation's public housing stock through good management practice.

Samuel R. Pierce, Jr.
Secretary

Benjamin F. Bobo
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Acknowledgements

These volumes constitute the final product of an effort to increase information sharing and improve management practice among public housing authorities. It was undertaken by The Urban Institute and Urban Strategies, Inc. for the Office of Policy Development and Research of the U.S. Department of Housing and Urban Development.

The authors of *The Insider's Guide to Managing Public Housing* were the primary staff of the overall project. Robert Kolodny and Richard Baron are partners in Urban Strategies, Inc. Raymond Struyk is Director of the Center for Housing, Community Development and Energy Policy Research at The Urban Institute. Other Institute staff members who assisted in earlier phases of this work were Jennifer Blake, Jacques Gordon and Morton Isler. Thomas Costello of Urban Strategies reviewed drafts of these volumes.

The authors have been helped enormously by the project's advisory panel, which was convened by the National Association of Housing and Redevelopment Officials (NAHRO). They met several times to review various elements of the work that went into this Guide.

Advisory panel members are William Crown, Director of Housing for the Knoxville Community Development Corporation; Thomas Lankford, Director of Planning, Research and Evaluation at the Greensboro Housing Authority; Thomas McNeely, formerly Executive Director of the Rockford Housing Authority; Mary Nenno, Associate Director for Policy Development at NAHRO; and Robert Rigby, Executive Director of the Jersey City Housing Authority. Amy Kell also participated while she was on NAHRO's staff.

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Introduction

The Insider's Guide to Managing Public Housing can be used by PHA executive directors and their staffs in several ways. The Guide's two volumes are a troubleshooter's diagnostic manual for PHAs searching for remedies in problem areas. For PHAs interested in periodic self-evaluation as a means of heading off problems and improving management systems, they provide an analytic roadmap. And they can be used as a common starting point for formal and informal efforts by PHAs to share practical management experience.

The guides have uses in addition to self-assessment. They can serve as training documents for new employees or as texts for in-service training of current staff. Newly appointed commissioners of local authority boards unacquainted with the public housing system and with the daily management of sites will also find them informative. They can assist an authority to prepare an application under the Comprehensive Improvement Assistance Program and anticipate the ongoing problems of maintenance and modernization once it is completed. Similarly, they should be of help in developing requests for Community Development Block Grant funds and other types of grants-in-aid. For financially troubled PHAs, they may be an aid in the development of a Financial Workout Plan.

Beyond their more immediate and utilitarian objectives, the guides have some longer-term ambitions. Their structure is based on a detailed catalogue of the elements of housing management activity. They can thus assist in the development of both a standard language for the public housing management community and an analytic framework that will help improve the clarity of discussions about housing management.

While not a panacea for housing authority problems which may in some cases have more to do with resource limitations than management efficiency, these documents are a starting point for self-diagnosis and operational improvement. It is clearly impossible to identify all the potential sources of problems, to say nothing of suggesting all the available remedies. Nor does it make sense to be prescriptive. From a distance, it is not possible to know what is wrong or what ought to be done at any particular housing authority. Only those with intimate knowledge of the PHA can make that judgment. The objective of these guides is to assist the process by offering suggestings drawn from the experience of other PHAs, the principles of good management, and common sense.

How This Guide Is Organized

This guide is in two parts. Volume I is *diagnostic*. Its emphasis is on identifying the fundamental tasks that make up housing management and then on determining what might or might not be going wrong in various areas, and why. It highlights the types of problems that PHAs most frequently face in each area of management, and it suggests some new ways to approach these problems. *Volume 1 is the place to start for most authorities.*

Volume 2 is *analytic* and *descriptive*. It is designed to be comprehensive rather than selective. It serves as a kind of self-interview guide posing questions about each aspect of a PHA's operations. It offers a detailed framework for analyzing current management practice in any area. *Volume 2 will probably be most useful to a PHA which has first followed the diagnostic process outlined in Volume 1 and wants to go farther.*

The first task in developing both volumes was to identify all the activities that go into the management of public housing and then to organize them in a logical way. These activities were eventually grouped into ten broad *functional areas*, as follows:

1. General Administration

General Administration is defined as the executive function with overall responsibility for organizing and sustaining the PHA so it can do its job and meet its obligations.

2. Project Management

Project Management is the functional area with direct day-to-day responsibility for delivering housing services to residents.

3. Finance & Accounting

Finance & Accounting manages and keeps track of the flow of resources within the authority.

4. Management Information

Management Information is responsible for assembling and disseminating the information which permits monitoring and evaluation of the PHA's status and its performance in various areas.

5. Maintenance & Custodial

Maintenance & Custodial is chargedwith the cleaning, routine upkeep and continual repair of the PHA's real estate.

6. Purchasing & Inventory

Purchasing & Inventory buys, stores, reallocates and generally keeps track of the material resources required for a PHA's operations.

7. Rental & Occupancy

Rental & Occupancy's responsibilities include establishing the terms of residence, attracting and screening potential tenants, letting and assigning apartments, and enforcing the lease and other rules of occupancy.

8. Personnel & Training

Personnel & Training is responsible for the recruitment, training, retention and disciplining of staff and generally managing the PHA's formal relationships with its workers.

9. Security

Security's task is to help increase personal and property security and to help maintain civil peace and order at public housing facilities.

10. Social Services

Social Services is responsible for helping to meet the social welfare and other non-housing needs of residents, thereby reducing the burden such problems place on management.

While these categories are immediately recognizable, it is not necessary, nor is it likely, that any given housing authority is organized exactly along these lines.

It is essential to understand that *functional areas* are defined as logical clusters of those responsibilities discharged by PHAs in operating their housing sites, and *not* as organizational units. In this document, for example, collection of delinquent rents is defined as part of the Rental & Occupancy function. In many authorities, responsibility for pursuing delinquent rent lies with the project manager, rather than someone from the occupancy staff. In carrying out this task, the manager is performing a Rental & Occupancy function, even though he or she is not formally part of any "occupancy unit" at the PHA. Indeed, many smaller authorities will have no separate office or division dealing with occupancy matters. Nevertheless, the PHA will have Rental & Occupancy tasks to perform. Organization by *functional area* gives the guides universal applicability—no matter how a given housing authority is organized in particular, in general it has to perform the full range of functions outlined.

A result of using this scheme is that all the functional responsibilities are allocated to a single management area. In reality, of course, many responsibilities are shared among different staffs and divisions. Furthermore, the ability of most functions to discharge their responsibilities well is dependent on the performance of other parts of the PHA. These *linkages* and shared responsibilities are therefore highlighted throughout the guide.

Because of the guide's attempt to be thorough and comprehensive, the treatment may seem extraordinarily detailed to some small and medium-sized authorities. Because they have less complex operations and less specialization of effort and labor, functions that are distinct and separate in larger PHAs may be merged for them. Such authorities may feel that the documents are oriented to, and intended only for, large agencies. This is not so. The complexity and level of detail is simply a result of aiming for what might be called the highest common denominator, in order to be useful to even the most complex PHA. If they are willing to pick and choose, portions and aspects of the volumes should be helpful to authorities at all scales and in all parts of the country.

Chapter 1

General Administration

Structure and Internal Operations

Governance

1. Statutory Powers and Arrangements

To whom is the executive director ultimately responsible? Who approves the authority's annual budget? What is the authority's legal relationship to the municipality or county (e.g., separate legal entity or administrative department)? If the authority is under direct governmental supervision, does it nevertheless have a board of its own?

The Formal Administrative Structure

1. PHA's Organization

Review the authority's formal organizational chart, delegation of authority, and chain of command. Specify the division of labor among departments. Outline the reporting, supervising, and monitoring relationships. How is the flow of information organized within the authority? Are there mechanisms which provide for accountability?

2. The Board

How are appointments made to the board of commissioners? Is the executive director consulted on these appointments? What is the background and qualification of members and what appear to be the criteria for their selection? Do appointments reflect deliberate representation for constituencies (e.g., labor representative, real estate and development, tenant)? Is there any pattern to the length of tenure for members?

Analyze the role played by the board of commissioners. To what extent are they involved in the internal operations of the authority (e.g., chairing subcommittees that are concerned with substantive management areas)? For which staff positions does the board control hiring? Is corporate counsel among them? What role, if any, does the board play in contractor selection? What is the members' role in representing the authority on public occasions?

3. Policy-Making

Review those matters that require board of commissioners (or city manager) review and/or approval and the types of decisions which are within the discretion of the executive director or other administrative staff. Who decides which issues are placed on the agenda for meetings with the board of commissioners, and how does the agenda-setting process work?

4. Planning

Determine the authority's formal planning horizon. Has it put any plans in writing or adopted them in a formal way? Determine the extent to which plans are periodically reviewed and adjusted. To what extent does the real planning horizon differ from that formally announced (e.g., one year vs. five years)? How does the board participate in the planning process?

To what extent have the principles of management-by-objective or similar approaches been adopted by the authority or any of its divisions? Has any of this been an outgrowth of experience under HUD programs such as HMIP, TPP, Urban Initiatives, etc.?

Informal Administration

1. Structure

Characterize the authority's informal organizational structure and operating style and compare them with the formal procedures outlined earlier, noting any significant departures. Do routine actions by the executive director and board members point to differences between the formal structure and actual practice? Where on the continuum between board-controlled and staff-controlled organizations does the PHA fall?

2. Administrative Style

What is the level of internal staff access to individuals with authority? How broad is the consultation on major decisions? How are tensions and disputes within the staff handled? How does the authority respond to threats or attacks from outside? How consistently are rules and procedures followed and enforced? Describe the general quality of human relations among staff and between supervisors and subordinates. It may be helpful to work through specific examples in several of the areas listed above.

Handling Change and Dealing with Problems

1. Adaptability and Innovation

To the extent possible, trace the authority's experience in adjusting to new procedures or obligations imposed by HUD or by state or local government (e.g., the introduction of the Comprehensive Improvement Assistance Program or the income mixing requirements in the 1974 Housing Act). How has it responded to the dramatic rise in fuel prices? Review its experience with new technology, both "hard" and "soft." To what extent does the authority attempt to stay current, to improve its procedures and practices and to try new approaches?

2. Seeking and Using Technical Assistance

Identify those areas, if any, in which the authority has sought outside assistance for help with management problems (e.g., organizational consultation, help with administration, planning or financial management, development of new systems, etc.). Who provided these services? How did the authority select the providers? How satisfactory has the assistance been? Are there obvious areas where additional help is needed?

Executive Staff

1. Recruitment

Outline the training and qualifications of the executive director and senior staff. What are the formal selection criteria employed in making appointments, and to what degree do they appear to be followed? What steps, if any, does the authority take to insure continuity of policies and management styles? Do any of the chief personnel have backgrounds or training in public administration, finance, management, planning, etc.?

2. Developing Skills

Identify any efforts to upgrade the technical competence, knowledge, and interpersonal skills of the staff leadership and/or the board of commissioners. What approaches are used (e.g., on-site workshops, off-site training courses at local institutions)? What incentives does the PHA offer to participate in training programs (e.g., tuition remission, release time during regular work hours)? Are such efforts acknowledged to have made any difference in authority operations? To what degree does the authority try to fill vacancies from below?

General Corporate Maintenance

Routine Administrative Aspects

1. Headquarters Facilities

Record the nature and location of the PHA's central office. Are all functions housed in one facility? Is headquarters in a project or on a separate location? Is it owned by the PHA or leased?

2. Clerical and Record-Keeping Functions

Review the authority's general approach to keeping up with its paperwork, correspondence and reporting obligations (e.g., level of sophistication and technology used in word processing, report preparation, records storage, form duplication). Identify the personnel involved and their qualifications. Is any overall attention given to the form, clarity, and consistency of the authority's written communications and routine documentation?

3. Ensuring Conformance with Statutes and Regulations

Is any one person responsible for overseeing operations to ensure that the authority complies with its various regular reporting requirements, federal and local statute changes, and HUD rules and regulations; or is this handled individually by departments? How is consistency ensured? How are various operating elements notified of changes in these areas? Note, if relevant, how the authority handles its responsibilities in the following areas:

1. Davis Bacon wage rates;
2. equal opportunity laws, regulations and executive orders;
3. fair housing requirements; and
4. civil rights and anti-discrimination laws, regulations and executive orders.

4. Maintaining Appropriate Levels of Insurance

Describe how the various requirements for insurance coverage are met (fire, extended coverage, liability, vehicles, workmen's compensation, insurance benefits for personnel, errors and omissions, fidelity bonding, etc.). How is the extent of needed coverage and the price-competitiveness of the arrangements determined? Is a consultant employed? Is the authority able to seek competitive bids on any or all of its insurance needs and, in general, how does it endeavor to minimize insurance costs? Does it self-insure in any area? To what extent is the authority forced, by the nature of its sites and population, to utilize special state insurance programs?

Corporate Legal Aspects

1. Handling Union Negotiations, Bond Sales, Construction and Repair Contracts, Employee Grievances, and So Forth

Describe the authority's use of in-house and/or outside counsel to represent and advise it on legal matters. To what extent does the authority use more than one firm or seek bids for legal services? How did it decide which functions to handle in-house and which to contract for?

2. Legal Actions Relating to Residents

Determine the mix of in-house and outside legal counsel used in handling suits for nonpayment and other lease violations. At what stage are lawyers brought into the process and how do they relate to those responsible for rental and occupancy functions? Again, how does the authority decide on which functions to handle with staff legal assistance and which to contract for?

Resource Generation

1. Strategy

Describe the decision process that permits the authority to determine which services it should be providing and the potential sources of funds or in-kind contributions to support them. Who is involved in this process? To what extent is it driven by the likelihood of securing funds for different purposes? Is the process really more than perfunctory?

2. Income from Rental and Other Charges

To what extent does the central office monitor the rent collection process? Does it regularly review collection results? To what extent does it revise collection procedures and policies accordingly? What criteria are used in evaluating the performance of those responsible for rental collections?

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3. Local Government Contribution

Describe the types and levels of services that the locality provides the authority (e.g., garbage collection, police protection, lighting external spaces). Has the city provided workers under the CETA program? Funds for modernization under CDBG? Has the level of services remained the same, decreased, or increased over the last few years? To whom, and how, does the authority register complaints about service quality and other such issues? Is there an established process for reviewing the authority's needs with city agencies?

4. Operating Subsidies

Identify who in the authority is responsible for making application to HUD under the PFS and following up to ensure timely receipt. Has the authority lodged any formal complaints with HUD regarding its treatment under the system? Have there been formal appeals to HUD for additional funds based on "costs beyond control"?

5. Modernization

Estimate the degree to which the authority has been successful in securing its reasonable share of modernization funds. Over the past five years, what funds have been received yearly and what share has been spent? Describe how the modernization program is organized and administered. Is there a separate office for this activity? To whom does the director report? Does the authority have an in-house technical staff or are professional services secured from the outside?

6. Grants-in-Aid from Local, State and Federal Programs and Other Donors

To what extent does the authority actively pursue nontraditional sources of income (e.g., CDBG, CETA)? Which opportunities are pursued with the greatest energy? Is a staff member(s) given specific responsibility for seeking grants and program awards? Has he/she received any special training? How does the authority stay abreast of funding opportunities? How has the authority dealt with the recent reductions in grant programs?

To what extent does the authority seek to secure grants or in-kind contributions to mount special programs for residents (e.g., Title XX, OAA, CETA, United Way, local parks and recreation)? Has a specific staff member(s) been assigned to develop this kind of support? Review the authority's participation in recent special programs such as TPP, Urban Initiatives, Comprehensive Modernization. Characterize the utilization of the funds and their relationship to the authority's long-range plans and objectives. Who prepares these applications? To what extent is the executive director involved?

Reducing Expenses

1. Payments in Lieu of Taxes and the Local Cooperation Agreement

Outline the authority's PILOT obligations and any modification or forebearance which has been negotiated with the locality. Who has taken the lead in such negotiations for the authority? Where there are projects nearing the end of their bond indebtedness, has the PHA reached any agreement with the locality on the project's future?

2. Utility Payments and Energy Conservation

Does the authority enjoy the most favorable available utility rates? Have any special arrangements been worked out with public utilities to deal with authority cash flow and deficit problems? Has the authority checked to be certain the correct rate is being applied to its consumption? Describe any steps the authority has taken to conserve energy consumption, both through altering tenant and staff behavior to be more frugal and through energy-conserving investments. How successful have these actions been?

Resource Allocation

1. Budgeting

Describe the process by which the authority arrives at its annual operating budget. What is the nature of the inputs to this process? Who participates (e.g., division chiefs, project managers, HUD area office, residents, etc.)? To what extent is it guided by predetermined policies and objectives (as contrasted with an *ad hoc* annual affair)? How are decisions made on distributing rental income and subsidy between the central office and the sites, as well as among individual sites? Is the distribution on a pro rata basis or according to some other principle (e.g., based on project condition, size, tenancy, special needs)? Is the system adopted working, in the sense that the budget allocations have proven to provide realistic targets?

To what extent are annual operating budgets, as forecasting tools, adjusted during the operating year to reflect actual experience or unanticipated changes in funding (e.g., PFS levels)? Is the budgeting process consciously used as a way of establishing targets for management? To what extent, if any, has the authority established incentive as part of the budgeting process for local site operations (i.e., permitting excess rent collections to be retained for use at the site)? When there have been income shortfalls, what has been the basis for distributing the cuts across functions and sites?

2. Modernization and CDBG

Describe how the authority arrives at its modernization priorities (both work items and projects) and how it allocates any CDBG funds. Who determines priorities? Has proper consideration been given to potential energy savings from improvements in this area? To what extent are tenants, staff, commissioners involved in the decision-making? To what extent are decisions guided by any comprehensive physical plans previously developed by the authority?

3. Social Service Grants and Programs for Residents

Identify how priorities are established for the allocation of social service programs among the sites and what factors are taken into account (e.g., size of elderly population, number of youth, need, community interest and involvement). Who participates in such decisions? To the extent that existing programs are being cut back, how are decisions made as to where the cuts should occur?

External Relations

1. General Public Relations

What means does the authority use to publicize its role in the community and the services it has to offer? Does it have any strategy to educate the public about housing needs and problems? To what extent does the authority maintain an individual(s) who works primarily on representing the authority to its various publics? Has it used outside public relations help?

2. Relations with "City Hall," Elected Officials, and Other Public Agencies

Describe the general relationship of the housing authority to other agencies within its jurisdiction. What is the executive director's or board members' relation to the mayor? Are other offices (agencies) particularly important to the authority? Is sufficient time invested by top management in cultivating these relationships? Does the quality of these relationships assist the authority in generating resources and resolving problems?

3. Relations with the HUD Area Office

Describe the nature of relations and how the authority works with the area office. How much help has the authority gotten from the area office (e.g., in securing financial approvals, or finding good technical assistance providers)? Are documents submitted to HUD by the PHA in a timely manner? What has been the authority's experience in obtaining approvals for modernization applications, contracts, and lease forms? How does the authority deal with delays at the area office in processing such documents? Do other, similar authorities seem to enjoy better relations? Why?

4. Relating to Tenants and Tenant Organizations

Describe how the authority is carrying out HUD's directives in terms of promoting tenant participation in authority affairs. Note the areas in which tenants are formally invited to participate. To what extent has it committed funds for the support of tenant organizations or tenant activities? Are tenants invited to participate in commission meetings? What form of redress do tenants have for specific grievances?

Chapter 2

Project Management

Basic Organization and Relation to Central Functions

Organizing for Site Management

1. Degree of Managers' Responsibility

Review the fundamental arrangements which govern the management of the authority's individual sites. To what extent does the person designated to be site manager have decision-making authority and a degree of autonomy regarding operations at the project? To what extent does the "manager" simply respond to the instructions of the central office and see that they are carried out? Determine the role of the director of management (or equivalent) and his/her degree of participation in the day-to-day operation of the PHA's sites.

In determining the actual location of site management authority, it will help to note which of the following functions is under the *primary* control of the site manager:

1. routine custodial functions
2. routine maintenance
3. purchasing authority
4. setting priorities for modernization
5. marketing and tenant selection
6. hiring, evaluation, firing of site personnel
7. rent collection and follow-up on rent delinquency
8. establishing charges for excess utilities and other causes
9. reexaminations and rent determinations
10. tenant relations
11. site security
12. social services

How much of the site manager's authority is situational, i.e., delegated de facto (but not formally) due to some special circumstance?

To the extent that it is situational, is there an overriding reason to continue these informal arrangements? Key indicators of the manager's degree of autonomy are the extent to which he has control over the assignment of resources to the site (e.g., maintenance staff) and discretion to change and redirect resources to meet legitimate needs.

2. Location of Project Management Function

Describe the authority's presence at its individual sites. Are managers residents of its sites? Are they nonresidents but assigned to sites full-time? Do they rotate among sites pursuant to an area or zone management scheme? Or do management personnel from the central office visit on a scheduled or as-needed basis? Does the approach vary by site? What other personnel maintain a presence at the site (apart from maintenance and custodial workers)? Is there an assistant manager or management aide responsible for leasing, rent collection and/or reexaminations? Are there other site staff such as cashier, work order clerk, etc.? Where there are no staff at the site, are individuals in the central office assigned to attend to the affairs of specific sites? How is site management handled outside of standard working hours? Are problems attended to centrally? Are site managers on call?

All in all, is the presence of the authority sufficient and continuous enough to create a working bond between tenants and management? Do tenants know instinctively who to contact when necessary?

3. Facilities for Site Management

Describe the range of physical space available to management at the authority's various projects (e.g., site office, maintenance shop, storage space, community facilities, social service offices, indoor/outdoor recreation facilities, security post)? Was this space originally present at the site? Have apartments been converted to provide it? How suitable is it?

4. Project Management Oversight and Review

Whatever his/her degree of autonomy, to whom does the site manager ultimately report? How is the manager supervised, and what are the mechanisms for evaluating the performance of the site staff?

Relationship to Central Office Functions and General Administration

1. Financial and Management Planning: Preparation

Review the manager's role in budget preparation and financial management. Does the manager initiate any part of the budgeting process and/or have an opportunity to negotiate its final form? Is he expected to justify individual line items? Does the manager have authority to shift resources among budget lines? Does he assist in the development of any longer-term financial plans?

To what extent is the budget process used as a management tool? What procedures are used to compare budgeted to actual expenditures and to make adjustments in the site budget during the operating year?

2. Management Information

Identify the manager's responsibility for generating and reporting data on site operations (e.g., delinquencies, turnover, vacancies, work order status). Is the manager expected or encouraged to do his own analysis? Describe the nature of information fed back to the site manager (e.g., actual vs. planned income and expenditures) and the use he is expected to make of it. How many areas are covered? Is it clear that the manager has responsibility for generating information in the other areas? Does the information given to the manager provide the basis for any formal or informal evaluation or management performance?

3. Modernization Planning and Implementation

To what extent is the manager involved in modernization planning—including setting priorities—for a particular site? Where modernization funds are utilized, describe the manager's role in overseeing or monitoring construction.

4. Management Style

Attempt to identify any general principles that appear to characterize the authority's approach to management. Is there a certain type of individual selected for management positions or a certain style encouraged (e.g., sympathetic and good with people; a technician; firm and businesslike; ex-police or military)? What qualifications and background are sought? What type of training programs does the PHA have to assure consistency among its managers? How important does style of management appear to be in the overall performance of the authority?

Site Responsibilities

Supervising Personnel Assigned to the Site

1. Routine Functions

Describe the manager's role in establishing workloads, assigning tasks, designating someone to be in charge in his/her absence, keeping and submitting employee time sheets and payroll records, and so on. Does the manager have primary authority over site staff or are they also directly answerable to the director of management or others in the central office? How does this vary among functions (e.g., maintenance vs. occupancy)? How do these arrangements work out in practice?

2. Nonroutine Functions

Describe the manager's role in organizing and operating the administrative offices at the site. To what extent are space allocation, record-keeping and filing systems the manager's responsibility? What other staff, if any, have responsibility for these functions?

3. Supervising the Project Office

Describe the manager's role in organizing and operating the administrative offices at the site. To what extent are space allocation, record-keeping and filing systems the manager's responsibility? What other staff, if any, have responsibility for these functions?

Maintenance and Custodial Functions

1. Direct Supervision

Describe the manager's role, if any, in direct supervision of maintenance and custodial staff, including task assignment, monitoring and follow-up. Is responsibility shared with anyone (e.g., maintenance supervisor, shop foreman, lead custodian)?

2. Oversight

Describe the manager's role in cases where direct supervision is another's responsibility. Does manager "walk the site," spot-check, monitor work orders, request special services from central maintenance, participate in overall scheduling and planning? What is his/her role in handling service requests? In handling tenant complaints about repairs or the quality of custodial activities?

Describe manager's role, if any, in overseeing and approving the work of outside contractors (e.g., elevator maintenance, painting).

3. Requisition, Purchase, and Inventory

Describe manager's role in initiating or approving purchase orders or specifications for outside contractors. What is the extent of the manager's authority in this area? If parts and supplies are stored on site, what is the manager's responsibility for monitoring disbursements?

4. Coordination with Central Maintenance

How are the maintenance and custodial supervisory duties divided between the site and central office maintenance personnel? How does the site manager relate to the director of maintenance? How are disputes resolved?

Rental and Occupancy

1. Tenant Intake Function

Outline site management's role in accepting applications, interviewing prospective occupants (including any marketing responsibilities), determining eligibility, and other tenant screening; also describe its role in rent determination and in income reexaminations. Does the manager have a voice in assignment policies for his project (e.g., assigning smaller families to some units to hold down project density)?

2. Rent Collection and Delinquency Control

Describe the site office's role in the billing and collecting of rent, follow-up on delinquencies and collection of other charges. Are there any techniques which rely on the presence and judgment of the manager to help improve collections (e.g., personal contact, counseling, repayment agreements)?

3. Apartment Preparation and Related Occupancy Functions

Determine the manager's role in keeping abreast of vacancies, initiating apartment preparation, lease preparation and scheduling of move-ins, tenant orientation, and so forth.

4. Dealing with Nonpayments and Other Lease Violations

Identify the manager's role in dealing with delinquent tenants. What responsibility, if any, does the manager have for initiating or supporting legal or other action? Does the authority provide any training to managers for dealing with problem tenants, short of legal action?

5. Energy Conservation

Describe the manager's role, if any, in monitoring energy usage and educating tenants in energy conservation. What approaches have been tried? How successful have they been?

6. Coordination with Rental & Occupancy

For those cases where some occupancy functions are performed at the site, describe the division of responsibility between the site and the central office. How does the project manager relate to the rental and occupancy director? Do routine review procedures exist? What are they? How are differences resolved?

Tenant Relations and Local Service Referral

1. Formal Tenant Organization or Representative Body

Describe the manager's role in encouraging the formation and development of an organized tenant body. Alternatively, discuss how he/she relates to independently formed groups. What formal role is given to tenant organizations and what informal roles are they encouraged or permitted to assume (e.g., screening or orienting new tenants, hall captains for security, review of site budget)? What forms of material assistance, if any, does management offer (e.g., meeting or office space, funds)?

2. Facilitating Tenant-Management Relations and Responding to Complaints

Identify the mechanisms for giving tenants access to management personnel, particularly at the site, and any regular program of contact (meetings, newsletter, bulletin board, etc.). What specifically does the manager do in consulting with tenants and fielding complaints? Has the manager largely delegated these duties to a "tenant relations advisor," for example? Does central office staff deal with tenants before the tenant has consulted site staff or the site manager?

3. Social Welfare Agency Referrals

Review project management's role in directing individual households to public agencies and sources of assistance appropriate for particular problems. How does this relate to its activities in dealing with problem families? (How do managers know what services are available?)

4. Community Relations

Examine project management's role in cultivating or maintaining relations with the surrounding community, local elected officials, merchants, police precinct, neighborhood school, and others. How specifically does the manager try to secure cooperation and assistance for project residents? How successful has project management been in making the project part of the larger community?

Public Safety and Resident Services

1. Security and Fire Prevention

Describe the manager's role, if any, in directing or overseeing site security operations. Is there any coordination between the security function and management efforts to deal with problem families? Do security personnel, if any, perform any monitoring functions in terms of vacant apartments or site conditions?

Describe the manager's role in guarding against fire hazards, especially in the collection and handling of trash. Is the manager responsible for requesting inspections by the fire department and/or correcting violations detected by inspections?

2. Resident Services

Identify the degree of responsibility the project manager has for the development or operation of on-site social service programs. Is there any coordination between social service efforts and the handling of households presenting clear management problems such as rent delinquency, property abuse, or other antisocial behavior?

Are recreation programs seen as a means of dealing with problems of vandalism and loitering? What recreation programs are available through project management (e.g., sponsorship of a little league baseball team)? Has the manager been able to arrange special facilities and activities at nearby parks or schools?

3. Coordination with the Central Office

What is the mechanism for coordinating site-initiated and centrally initiated security and resident service activities? How does the site manager relate to the directors of security and/or social services?

Chapter 3

Finance & Accounting

Maintaining Books of Accounts and Records

1. Standardized Accounts

Books and accounting procedures should be reviewed to determine whether or not they are in accordance with the HUD Low-Rent Housing Accounting Handbook and other generally acceptable accounting procedures.

2. Project-Based Accounts

Are income and expense statements generated for each site or cluster of sites (i.e., is the system "project-based")? What provisions are made to ensure that the appropriate site and account is charged for a given disbursement? How are charges for materials, contract labor and central labor allocated to individual sites? How are these accounts used?

3. Other, Extraordinary Accounts

Does the PHA maintain any other accounts beyond those prescribed in the HUD handbook? For what purposes are such accounts maintained? What are the costs of maintaining these accounts and how often are these costs reviewed?

4. Extraordinary Data-Handling Methods

Does the PHA employ extraordinary methods to assemble, record, tabulate or disseminate the financial data required for PHA operations? Do outside contractors have an unusual role in accounting? Are any accounting functions performed outside of the PHA's central offices? Has the authority investigated the cost-effectiveness of a computer time-sharing arrangement?

Providing Financial Control

Authorizing Proposed Expenditures

1. Mechanism and Location

How are proposed expenditures examined to ensure that they fall within the PHA's statutory charter? Within the PHA's policies as established in its budget and other plans? Who in the organization is involved in the review process? How do the review procedures vary by amount or type of expenditure?

2. Unanticipated Expenditures

What exceptions, if any, to standard procedures are allowed in the case of emergencies or other unanticipated but urgent expenditures? What are the definitions of acceptable exceptions? What procedures are used to review and approve the exception?

Reviewing Cost Projections

1. Mechanism and Location

Does anyone review the cost projections of the operating departments? At what step is this done in the budget and expenditure process? Who undertakes this review? How frequently? What kinds of data are used in the analysis (e.g., trend analysis, data from other authorities)?

2. Analysis of Alternatives

Does the process of commenting on projected expenditures encourage the assessment of alternative approaches and consideration of their benefits and costs? Whose job is it to see that alternatives are considered?

Control of Procurement and Disbursements

1. Procurement Oversight

Review the methods employed to control abuse and minimize conflict of interest in procurement of vendor goods and services.

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2. Authorizing Vendor Payments

Describe how payment is authorized for goods and services purchased from outside by the authority. What evidence is required of the receipt of materials or services and from whom? Is more than one person or division required to authorize payment and make a check negotiable (e.g., management plus finance department)? What kind of documentation and support is required before a check is drawn?

3. Payroll System

Describe the system for authorizing payment of wages. What system is used to verify time for individual employees? Is payroll processed by the authority or by a bank or service bureau?

Monitoring Income and Expenditures

1. Monitoring and Budget Control

Outline any mechanism for reviewing income and expenditures and comparing them to amounts originally budgeted. How often is such a review undertaken? What actions are taken when sites or divisions exceed established budget allocations?

2. Dissemination of Expense Information

Review how expense information is communicated to project management and to general administration. Are budget deviations highlighted in some way? What use is made of the information?

Auditing Procedures

1. Internal

To what extent is an internal audit of accounts undertaken by the PHA? Who performs the internal audit? How often is it undertaken?

2. Independent

Is an annual review undertaken by an independent external auditor? How is that auditor chosen? To what extent does the PHA respond to its findings?

Managing Cash Flow and Maximizing Income

Maintaining a "Cash Budget"

1. Mechanism and Location

Describe the PHA's method of projecting cash inflow and outflow in a "cash budget." Who is responsible for this task? With whom and how often are the technical decisions involved in preparing the data reviewed?

2. Adjusting for Uncertainties

How often is the "cash budget" revised? For how far into the future are projections made? How certain are the various data inputs? How is uncertainty (e.g., no guarantee of when cash income will actually arrive) handled?

3. Uses

In what form are the estimates of magnitudes of cash surplus or deficit provided? Who interprets the outcomes? How good have these estimates proven to be? What confidence does top management have in the estimates, e.g., are they used in making decisions about the short-term investment of revenues?

Making Cash Management Decisions

1. Mechanism and Location

Is there a regular procedure for making management decisions based on the "cash budget"? How frequently is the situation reviewed (e.g., when specific levels of surplus or deficit are anticipated)? Who is involved in the management decisions?

2. Relation to Cash Flow Cycles

How long are the various cash flow cycles of the PHA? What are their sources (e.g., rent collection, HUD payment cycles)? How is cash management planning geared to cash flow cycles?

3. Balancing Receivables and Payables

What types of policies have been established to balance cash inflow and outflow? How flexible are these policies in meeting shifts in the cash budget outlook over time? Have the benefit/cost relationships of alternative policies been analyzed?

Mechanisms for Maximizing Income

1. Obtaining Subsidies

How does the PHA see to it that maximum advantage is taken of subsidy entitlement provisions? Who is responsible for preparing the PFS application and related documents, and for following up to ensure receipt of all entitlements?

2. Reducing Rent Delinquencies

What are the mechanisms for preparing rent delinquency information and for relating "cash budget" projections to rent collection policy? Describe the timing and contents of any regularly supplied reports (for example, a listing of accounts receivable for 30, 60, and 90 days, by site). What is the pattern of report dissemination and use?

3. Cash Investment Policy

Review the PHA's methods for investing temporary surpluses and cash reserves. How is the use of various methods coordinated with cash flow needs?

Mechanisms for Deficit Conditions

1. Controlling Expenditures

Determine the extent to which the "cash budget" is used as a mechanism for controlling expenditures. Are further budget restrictions made during the year on the basis of cash flow information? What are the processes for making these decisions?

2. Timing Vendor Payments

What analyses are undertaken of the costs of delaying vendor payments? Do the costs of delay take into account loss of good will of suppliers?

3. Handling Deficits

How does the PHA handle cash flow problems when they arise? To what extent does it borrow against future income? To what extent are problems carried over from one accounting period to the next?

Linkages

General Administration and Project Management

1. Relationship

How separate or close is the Finance & Accounting *function* to General Administration and Project Management? Do the individuals who perform finance and accounting activities participate in management decisions or do they simply provide information to the decision-making process?

2. Responsiveness

Is the Finance & Accounting function responsive to the needs of General Administration and Project Management for financial data? Is the system set up to provide quick answers to specific questions? One test of past responsiveness is the number of such requests currently being received.

3. Role

Is the Finance & Accounting function an arm of the executive director's office in such respects as monitoring other parts of the PHA? Generally, or only for one or two problem areas? Is the Finance & Accounting function perceived as narrowly quantitative or broadly analytic? (The capabilities of staff may define the orientation.)

Management Information System

1. Relationship

What are the respective roles of Finance & Accounting and the Management Information System in generating data such as trends in accounts receivable over time? Are Finance & Accounting data compatible with Management Information needs?

2. Responsiveness

How does the Finance & Accounting function take information needs of other PHA activities into account in organizing its own activities, and what role does the Management Information System play?

Purchasing & Inventory

1. Relationship

How do Finance & Accounting decisions affect the Purchasing & Inventory function? (Timely payments help secure efficiency in other authority operations including maintenance. The alternative may be a supplier's refusal to deliver except COD. Relationships with contractors and utility companies may be similarly affected.)

Rental & Occupancy

1. Coordination

What are the procedures for transferring information between the Finance & Accounting and Rental & Occupancy functions? For example, how is information on move-ins and move-outs coordinated for billing purposes? Is there a method for identifying previously delinquent tenants who attempt to reapply for public housing?

2. Relationship

To what extent are the Finance & Accounting and Rental & Occupancy functions peformed in the same administrative unit? Or does Finance & Accounting provide an internal control over the Rental & Occupancy function (for example, checking as to whether or not all occupied apartments are on the rolls and being billed)?

Chapter 4

Management Information

Setting Information Objectives

1. Principles and Policies

Determine the relative emphasis within the system on the following possible objectives:

1. to meet internal need and/or external demand (HUD) for routine information on operations in the most efficient way;
2. to provide periodic feedback on progress toward established goals, facilitating self-monitoring and overall review;
3. to provide evaluative and diagnostic information by combining and analyzing data in such a way as to provide fresh insight into the nature and causes of operating difficulties; and
4. to help guide future planning through analysis of past operations and projections of current trends.

2. Gauging User Needs

What is the general quality of interaction between the users and producers of Management Information? Does management regularly seek to define an optimum flow of information in the Management Information System or does it primarily rely on the sporadic requests of users to determine changes in the content and frequency of output? Is there a continuous flow of communications in both directions between system operators and users?

3. Updating the System

Is the system static or evolving? Review the requests for changes made over the last six months. How are various levels of decisions about changes to the system made? Who is involved in each decision level? How often are changes made?

4. Monitoring Usage

Who is responsible for monitoring information usage? How often is usage reviewed? Are users involved in the monitoring process? In what form and to whom are the results of monitoring reported? What safeguards are provided against over-dependency on the system's data by PHA staff who lack detailed knowledge of operational areas?

Establishing the System's Structure

Essential Characteristics

1. Basic Methodology and Internal Organization

Describe the general methods employed to accumulate and process information for PHA operations. Do other divisions share a common processing system with the Management Information System or does the system take raw data from each area of PHA operations and reprocess this information for its own purposes? Is the system fully automated? Are the products available as computer printouts, manually assembled reports, through an online data access system, or some combination?

2. Establishing Guidelines

Describe how decisions are made regarding the degree of data manipulation, the level of aggregation, the extent of cross-tabulation, and the use of estimation techniques.

Data Rules

1. Schedules for Entry or Submission of Data

Describe the mechanisms for ensuring that raw data will be supplied by sites and operating divisions on a timely basis, and that information will be updated regularly. Does the Management Information System provide forms or guides to facilitate these tasks? Has the reporting burden been minimized by drawing as much data as possible from forms completed for other reasons?

2. Standardizing the Form of Data Reports or Entries

Describe those arrangements allowing for the efficient entry of data into mechanical or manual systems for processing and analysis. If electronic data processing is used, are raw data put into processable form by management systems staff, or submitted by operating divisions in preestablished format, or entered by them directly according to established rules?

3. Defining Consistent Categories and Establishing Rules for Allocation

Identify how consistency and uniformity is achieved in the treatment of data by different suppliers. How are rules developed and explained and what procedures are used to ensure, for example, that "extraordinary maintenance" is defined similarly at each site? Describe how nonroutine and overhead costs, for example, are allocated to different accounts or prorated by site.

Processing Mechanisms

1. Ensuring Data Accuracy and Completeness

Describe mechanisms for cleansing or "scrubbing" data. How are missing data items handled? Is there any spot-checking? Are any internal tests for accuracy and consistency applied? For example, are summary results and interpretations checked with data sources to be sure they look right to those most directly involved?

2. Programming

Has the authority developed its own computer programs, adapted others or purchased packaged programs? Are programmers kept fully occupied? If no computer facility is used, describe the types of procedures used to process the data.

3. Processing

Describe the hardware utilized by the authority and indicate its capacity. What portion is owned or leased and to what extent are the facilities of outside contractors or service bureau operations utilized? How flexible is the system (i.e., can special tabulations of data in the system be easily generated)? Do users know the extent of its capability?

4. Output Formats

Identify the various methods of presentation employed by the Management Information System. Is one method preferred by the users, or are the data provided in various forms (e.g., graphic vs. tabular form)? What role do users play in determining the form in which the information is displayed? What is the capacity of the system for special tabulations and analysis?

5. Staying Current With Data Processing Technology

Identify how management information system personnel keep informed about new data processing techniques. How often are improvements in hardware or data processing technology seriously considered for incorporation into the system? How often are such changes actually made?

Producing Management Information

Scope and Coverage

1. Data and Products

Describe the kinds of data handled by the system, the various dimensions of the data, and the levels of specificity and aggregation. Distinctions should be made between information assembled for the purpose of management analysis and data routinely accumulated to meet the daily operating needs of individual divisions or projects. The scope of a Management Information System is likely to include items in one or more of the following four major categories:

1. Rental and Occupancy Information

a. Vacancy Analysis (e.g., listings and summary of vacancy patterns by site, unit size and date of vacancy; reasons for vacancies; duration of vacancies; proportion of vacancies in current year filled by moves within the authority and from outside).
b. Waiting List Analysis (e.g., waiting list in order of receipt, project preference, rent-paying class, summarized by household composition).
c. Rent Delinquency Analysis (e.g., distribution of rents by length of delinquency).
d. Rent Roll Analysis (e.g., distribution of rents by size of unit and project).
e. Occupancy Analysis (e.g., length of tenure, turnover rate, household composition of turnover).
f. Households in Occupancy That Are Underhoused/Overhoused According to Current Family Composition (e.g., size of current unit and of unit required, by site).
g. Annual Household Reviews (e.g., running accounts of number scheduled and performed).
h. Demographic Information (e.g., household composition, age of head, race, source of income).

2. Operating and Financial Information

a. Cash Flow Analysis (e.g., cash on hand, receivables, accounts payable, projected over time under different assumptions).
b. Income and Expenditure Analysis (e.g., trends by functional area; relationship to budget).
c. Project-based Accounts (e.g., income and expenditure analysis by project).

3. Maintenance Information

a. Maintenance Activity Analysis (e.g., number of work orders by type of work, location of project, expenditures, time taken to complete work).

b. Maintenance Backlog Analysis (e.g., number of backlogged work orders by type of work, project, time backlogged).
c. Maintenance Productivity Analysis (e.g., number of work orders completed in given interval, by work order, by worker, crew, site).

4. Other Information

a. Purchasing and Inventory Analysis (e.g., record of disbursements by item and site, inventory of items in stock by category, inventory balance over time).
b. Personnel Analysis (e.g., number of personnel, personnel characteristics and payroll by job classification, over time, leave time taken and accumulated, tardiness).
c. Energy Utilization Analysis (e.g.,monthly consumption by building and by site).

Use of Information Products

1. Access

Describe the various means of access to system output (e.g., are data accessed through a computer terminal capability vs. through printed reports?).

2. Frequency and Type of Reports

To what extent are reports issued monthly, weekly, or on request? Do reports highlight abnormalities or problems? Does a process exist to review reports regularly with users?

3. Distribution of Reports

What is the distribution list for each of the system's routine products and how is it determined? How often are they reviewed to establish need based on usage?

4. Informing and Training Users

Describe the process whereby users are instructed in the meaning and possible application of the system's output. Are there formal training programs which explain the system's capabilities to users? How do new users learn what is available?

Chapter 5

Maintenance & Custodial

Establishing the Workload

Routine and Emergency Repairs

1. Work Item Intake Mechanisms

Identify the different parties who customarily initiate routine and emergency work items (e.g., tenants, project managers, maintenance staff, inspectors). What proportion of routine work items is initiated by each? Of emergency items? How does this compare with the way the system is supposed to work?

What are the mechanisms available to each type of individual for initiating a work item (e.g., phone, in person, completing and depositing a form)? What special mechanisms are there for residents and others to notify staff of emergencies (e.g., posted phone number, 911 System, central phone bank, recording unit, answering service)? Identify the location of each intake mechanism (e.g., site, central or mixed; single or multiple).

2. Personnel Involved

Identify the person(s) who handles each type of intake (e.g., site manager, maintenance/work order clerk(s), maintenance supervisor, general clerical staff, other). Identify individual(s) with immediate oversight responsibility for intake function.

3. Information Gathered

What facts are recorded regarding the item of work and the request (e.g., date, time of day, location, nature of problem/repair, caller's name, telephone number, convenient time to gain access, other)?

4. Form(s) the Record Takes

Describe the manner in which the information is recorded (e.g., work order slip in single or multiple copies; entry into computer; entry into manual logbook or running record).

5. Policies Governing Intake Procedures

Is there a preferred mechanism for bringing needed work to the authority's attention? How are residents and staff encouraged to use one mechanism over another (e.g., are they referred back to preferred procedure by other staff or administrators)? Is one procedure made more timely or effective to encourage its use? Is the same procedure followed, regardless of who receives the request or notification?

Systematic (Preventive) Maintenance, Special Maintenance Tasks, Grounds Maintenance

1. Mechanism

Are target workloads (e.g., maintenance level, frequency) established for preventive maintenance, special technology operations or grounds maintenance? What is the mechanism for establishing targets? Does the mechanism take into account the repair and performance experience of individual building elements (e.g., boiler, elevators, exterior paint)?

2. Basis

What data are used in the process of establishing target workloads? How are the data analyzed? Are data or recommendations obtained from other sources (e.g., industry recommendations, the experience of other authorities)? Are any items automatically scheduled to be replaced or serviced based on estimated life rather than waiting for actual breakdown?

3. Personnel Involved

Identify the individual(s) concerned with establishing target workloads for systematic maintenance. Who has oversight responsibility for this activity?

4. Policies Governing Procedures

What are the authority's policies with regard to systematic maintenance? Is establishing the workload given high priority? Is the policy to establish uniformity in systematic maintenance workloads or to allow variation by project?

Custodial Operations

1. Mechanism

For what custodial responsibilities are target workloads (e.g., person-hours, frequency) established? At what geographic level (e.g., project, zone, authority-wide) are they established? How often are they reexamined for each activity (e.g., cleaning public outside spaces as compared with waste collection)?

2. Basis

What kind of information (e.g., visual inspections, complaints, rules-of-thumb) is used in setting target workloads? Who (e.g., project manager, supervisor, central office staff) collects it? Who uses the information and how is it used?

3. Personnel Involved

Identify the individual(s) responsible for setting custodial work targets. Who has oversight responsibility for the activity?

4. Policies Governing Procedures

What are the policies regarding custodial workloads? Are they authority-wide? How are they affected by practices of local government (e.g., municipal waste removal schedules, health and sanitation codes)?

Linkages

1. Maintenance with Custodial

Are workloads for maintenance and custodial functions linked in any way?

2. With General Management

How does the setting of target workloads for maintenance and custodial functions relate to authority-wide resource allocation processes? To what extent are workload targets used as inputs to the budget process, and to what extent are they results of budget constraints?

Allocating Staff and Material Resources: Assigning Tasks

Maintenance

1. Policies Governing Procedures

Describe the criteria used in scheduling work. How are emergency jobs defined? How is the resource allocation made between routine and systematic maintenance? What policies determine which routine maintenance work orders get priority? How is systematic maintenance worked into the regular maintenance system and how are its priorities established? Are systematic maintenance schedules adhered to or easily deferred? Are the policies for priorities written down, and do those responsible for scheduling have them and follow them?

2. Assigning Tasks to Outside Contractors

For what kinds of maintenance responsibilities (e.g., special technology operations, preventive maintenance, routine work order overloads) are outside contractors used? What criteria are used to allocate work to outside contractors rather than to staff the job? How is the work schedule of outside contractors coordinated with that of regular maintenance staff, when necessary or desirable? To what extent is it a way to reduce maintenance costs through lower labor charges or greater efficiency? Do outside contractors substitute for inadequate municipal services?

3. System for Assigning Orders to Maintenance Personnel and Distribution of Work Order Forms

Examine how orders are assigned, particularly any system for batching orders by location or nature of job. Are assignments made centrally or locally? How are required trades and/or skill levels determined? How are orders requiring several different specialties or more than one worker handled? Examine how assignments are kept track of, how they are logged or recorded. Who gets and retains the various written forms and how are they completed and circulated?

4. Schedules of Individual Workers

Determine how the day's schedule is set for individual workers. Do workers schedule their own day based on their batch of work orders? Does a supervisor schedule their time? What, if any, yardsticks of time to complete a job are used?

5. Requisitioning Supplies and Equipment

Describe the steps required to secure different categories of material resources (e.g., requisition, purchase by charging or using petty cash, borrowing or barter with other sites). To what extent are the totals expended being tracked? What are the procedures for controlling inventory regularly stored at site or materials awaiting use?

6. After-Hours Emergency Work

How are responses (assignments to staff, etc.) scheduled for after-hours emergency work? How are adjustments to regular work schedules made for personnel involved in emergency jobs?

7. Backlogged Work Orders

How are backlogged work orders handled (e.g., staff temporarily shifted to a needy project)? Is there a system for tracking them and getting them on the schedule?.

8. Personnel Involved

Identify person(s) with responsibility for assignment (e.g., manager, maintenance supervisor, work order clerk, individual maintenance workers, others). Identify individual(s) with immediate oversight responsibility for assignment functions.

Custodial

1. System of Deployment

Outline the system of assignment of custodial staff. Are they assigned by building (highrise), lane or block (lowrise), by zone, or do they "float"? What are the total numbers involved per site and are there good reasons for variations in staffing ratios? What portion of custodial functions is performed by central personnel?

2. Scheduling

Describe the basic schedule for custodial tasks. How are staff loads distributed? How are weekends handled? Is there any special scheduling for peak periods, holidays? How are special problems dealt with—emergencies, snow removal, apartment preparation, etc.?

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3. Division of Responsibility with Residents

What custodial functions are expected to be performed by residents, if any (e.g., sweeping or mopping of halls and stairwells, painting of apartments, cleaning of yards and walkways outside units, gardening)? What are resident responsibilities regarding disposal of household garbage? How are residents informed and reminded of their responsibilities? Is involvement of tenants cost-effective when follow-up time is considered? What is the process for getting residents to agree to additional tasks? Are there other tasks that residents might do?

4. Custodial Staff Organization

Who is in charge (head custodian, maintenance supervisor, manager)? Are all other staff equal in authority or is there a hierarchy?

5. Equipment and Supplies

How are the required materials ordered and stored? Who determines when they are low enough to be replenished? How are stocks controlled and issued to personnel?

Linkages

1. Allocating Resources Between Maintenance and Custodial Tasks

If staff resources for maintenance and custodial activities are fungible, how are the resources allocated between them? Do any staff regularly perform both functions? Who decides on how their time is divided?

2. Vacant Apartment Preparation

How are maintenance and custodial activities coordinated when an apartment turns over?

3. Gardening and Grounds Maintenance

Are landscape maintenance and grounds clean-up separated? If so, what are the problems in coordinating their schedules and how are they handled?

4. With Purchasing & Inventory

Does the Purchasing & Inventory function have any effect on the scheduling of work orders? How are requests for parts needed to treat emergencies given priority?

Performing Tasks: Actually Getting the Maintenance and Custodial Work Done

Maintenance Performed by Regular Workforce

1. Personnel Involved

Identify how the decision is made whether to use site and/or central personnel. Outline the various grades, skill levels, and different specialities available and the rules for determining assignment. How are assignments affected by union rules? Identify persons responsible for emergency repairs, backup if any, rotation schedule where duties are shared. Are skill levels commensurate with demands?

2. Arranging for Access

How is access for work inside apartments arranged, and what callback procedures or notification are used where access is not secured?

3. Securing Necessary Tools, Materials and/or Assistance

Review how workers decide what to bring with them and what provisions are made for securing necessary tools or materials and additional hands, muscle power, or technical expertise, as needed.

4. Transportation to Sites

Determine how workers and materials reach the site, if coming from off-site. Are visits to sites/zones regularly scheduled, made as needed, or both?

5. Problem Projects

Do procedures differ for handling work orders at problem projects?

6. Modification of Work Orders at the Site

Determine how adjustments are made in work orders when, after inspection, the worker finds that repairs needed differ from those described in the work order.

7. Handling of Problematic or Difficult Repairs

What approach is taken to particularly difficult repairs? Are certain workers or a supervisor called on to handle special cases?

8. Closed Out/Recording of Work Item

Review the process whereby a work order is recorded as being completed, the disposition of signed copies, and any entry into a continuing log. Are date and time indicated? By worker? By clerk or other person receiving work order? Are items recorded so they can periodically be summarized by nature, location and time required to complete?

9. Confirmation of Completion

Does someone besides the worker confirm completion of the work order? If a supervisor or project manager, determine the basis on which work is certified as done. Are all projects or an established fraction checked? If tenant, determine the method by which tenant certifies work done to his/her satisfaction (e.g., signature).

10. Supervisory Personnel

Identify person(s) with responsibility for overseeing work itself (e.g., maintenance supervisor, manager, other). Do supervisory staff participate in the work themselves?

Maintenance Performed by Outside Contractor

1. Routine: On Contract, on Retainer or on Informal Basis (for example, elevator service)

Review mechanism for choosing contractor, ordering work, monitoring it. What kind of work is covered? Who has discretion and what procedures are followed? Is bidding required? Is negotiation allowed?

What is the overlap between work funded under modernization program and systematic maintenance by contractors?

2. Extraordinary: Emergency, Unusual, Infrequent or Highly Specialized Work Items (for example: major heating plant breakdown)

Determine how contractors are secured for work that is beyond capacity of regular staff to perform. What are the mechanisms for choosing contractor, ordering work, monitoring it? What kind of work is covered? Who has discretion and what procedures are followed? Is bidding required?

3. Personnel Involved

What staff are involved with outside contractors on a day-to-day basis? What functions do the staff perform (e.g., coordination with staff maintenance workers, providing access to buildings, oversight and sign-off)?

Custodial Activities

1. Checklist of Types of Activities

Outline in detail those duties assigned to the custodial staff.

2. Personnel Involved

Evaluate the skill level of the staff in terms of experience, preparation and training. Are all generalists or do some specialize in types of task performed? Are there job descriptions? Different levels or grades of service? To what extent do custodial staff double as maintenance, or vice versa?

3. Supervisory Personnel

Identify individual(s) with immediate oversight responsibility for actual performance of maintenance tasks (lead custodian, maintenance supervisor, project manager).

Linkages

1. With Management Information System

Are completed work items directly entered into an information system that produces overall indicators of performance? If so, how is completeness and quality of input assured? If not, how does management obtain comparable information on productivity?

2. With Finance & Accounting

Are there routine mechanisms for assessing residents with charges for repairs? On what basis is fault determined? How is amount assessed and actually communicated to resident?

3. With Security

Is there any link to Security in terms of identifying repeated problems of vandalism?

4. With Personnel & Training

Analyze how the employment needs of the Maintenance and Custodial systems relate to hiring and training practices of the PHA. To what extent does Personnel & Training share in any training function and provide opportunities for attending off-site classes or workshops?

5. With General Administration

Explore relations with General Administration and amount of authority/autonomy given to project manager and/or maintenance supervisor. Also explore the interaction with General Administration regarding bidding requirements, time required to solicit and let maintenance and custodial contracts.

Supervising and Monitoring Performance

Maintenance Functions

1. System Overview

Determine how supervisory personnel keep track of the state of the system. What strategy do they apply when work piles up (e.g., not permit residents to transfer apartments until backlog is gone)? How is an "excessive" buildup defined? Are measures of maintenance system productivity developed on a regular basis? If so, how are such measures used?

2. Quality Control

Do supervisory personnel make spot checks in person or by phone? Do they seek out residents for comment or complaint? How do they follow up on complaints of incomplete work or non-performance?

3. Evaluating Individual Workers

What mechanisms are available for gauging performance (e.g., time required for tasks against a standard, average number of work orders completed)?

4. Monitoring Outside Contractors

What is the method employed for monitoring outside contractors? Is someone involved besides the individual responsible for selecting the contractor? What performance measures are used and how are they employed?

Custodial Functions

1. Ensuring Completion and Quality of Work

Outline the system used for monitoring custodial activities (e.g., daily punch list, staff sign-off, spot check, daily tour of sites). Pay special attention to inspection of interior and exterior stairwells, basements, elevator cabs, grounds. What is the system for following up on complaints?

2. Evaluating Individual Workers

What mechanisms are available for gauging performance (e.g., time required for tasks against a standard amount of area to be covered in a given period)?

3. Resident Responsibilities

How are resident responsibilities for custodial functions enforced? What standards are used? Are tenant organizations involved in setting standards? What mechanism(s) exists to handle complaints by neighbors?

Linkages

With General Administration and Finance & Accounting

Explore influence of General Administration and Finance & Accounting in terms of control or work-rule abuses and disciplinary actions, particularly the general state of PHA-union relations and the personnel procedures adopted and agreed to over time.

With Project Management

Explore role of Project Management in supervision of staff and outside contractors.

With Purchasing & Inventory

How are breakdowns in Purchasing & Inventory taken into account in evaluating performance? How are problems corrected?

With the Management Information System

Determine the role of the Management Information System in monitoring maintenance performance and employee evaluation.

Chapter 6

Purchasing & Inventory

Establishing and Acting on Purchasing Needs

Basic Rules and Procedures

1. Assembling and Responding to Requisitions

Determine how items required by other functional areas are reported to purchasing (phone, written requisition, other). How does this occur (as needed, periodic solicitation)? Are different types of requirements handled differently? Is any separate authorization or approval of items required? How is it secured and in what stage of the process, and how long does it take? Is any confirmation of the order provided to the originator?

2. Restocking Inventory

How are purchases to restock inventory triggered? For what proportion of stock items have economic order quantities been established? For what proportion of stock items are regular purchases of inventory made and for what proportion is restocking an outcome of inventory accounting? Who authorizes inventory restocking? How are restocking decisions related to the budget?

3. Direct Purchase By Users

Determine the extent to which purchasing by staff of other functional units is permitted. Who has discretion to purchase directly, under what circumstances, and to what dollar limit? Do individual sites and/or PHA departments have "petty cash funds" or an equivalent? Can employees get compensated for expenditure of their own funds?

4. Emergency Purchases

Are there special procedures available for purchase to meet emergencies? Do these differ between normal working hours and after hours? What limits are placed on discretion?

Vendor Selection

1. Rules Governing Selection of Vendors

Outline the rules governing competitive bidding and impartial vendor selection under which the PHA operates. Include those procedures which are required by state or local law and any that may have been adopted by the PHA. What considerations besides price govern selection, and how do these vary by type of item? Does the PHA have any standing purchasing arrangements for certain classes of goods? Is comparative pricing done even in cases where strict competitive bidding is not required?

2. Attracting and Selecting Vendors

Describe the process for preparing and soliciting competitive bids, preparing specifications, and communicating with suppliers generally. To what extent is bargaining and negotiation employed? What efforts are made to advertise and to reach out to potential suppliers of goods and services? Are policies regarding payment linked to maintaining the good will of competent suppliers?

Tracking and Accepting Deliveries

1. Tracking Deliverables

Describe any system utilized to track items on order and to follow up when overdue. How are staff complaints about slow delivery handled? How is the party which made a requisition notified when an item(s) is secured?

2. Checking Merchandise

How is merchandise checked for errors or defects?

3. Accepting Deliveries

What is the method for authorizing payment after merchandise has been found satisfactory?

Keeping Up to Date

1. Staying Current

Are there any mechanisms for identifying new, better, or cheaper products and services (e.g., trade journals, conferences, industry shows, visits by sales representatives)? Is this task shared with any other functional area, e.g., the office handling modernization?

Inventory Planning

1. Extent of Inventory

How many items are kept in stock? Is it possible to determine the dollar value of the inventory? Can the variation in the dollar value on a quarterly basis over the past years be determined? Does the authority have a way of calculating the inventory storage and carrying costs? Does the authority know the average storage time for selected items?

2. Determining Items to be Stocked

Describe considerations governing what is stocked as opposed to items which are ordered only as needed. How is the amount of each item maintained determined? Are prior-year utilization totals used as a guide for planning future expenditures and/or establishing budgets?

Inventory Maintenance and Accounting

1. Location of Inventory Facilities

Review the system of storage areas and the deployment of staff, if any. Is all storage central or a combination of site and central? Where there is more than one location, how is allocation determined? What proportion of stock is stored centrally? Are materials ordered for other functions handled in the same manner as those for Maintenance & Custodial?

2. Cataloguing Stock

Review mechanisms for logging in deliveries and maintaining current accounts of materials on hand. Are unit prices available for stock items? Describe accessibility of inventory accounts and unit prices to materials users.

3. Inventory Value

Review the methods used to value inventory. How often is physical inventory valued compared to balances in the inventory account? How are variances handled?

4. Controlling Pilferage

What checks are employed to control for pilferage? What proportion of inventory is "controlled stock" versus "open stock"?

Filling Requests and Controlling Outflow

1. Response

Review the system used for recording disbursement of items. What procedures and forms are used? Are disbursements charged by category or site?

2. Controlling Outflow

Is any attempt made to control disbursements exceeding a preestablished limit for a site or functional area? Are these subdivisions given periodic notice of their expenditures to date?

Signalling Management Problems

1. Management Information

Identify any mechanism for alerting Project Management and/or General Administration to problems as reflected in excessive disbursements of a particular type or to a specific site, or in excessive inventory build-up.

Linkages

With Maintenance & Custodial

1. Materials Delivery

How are materials delivered to the Maintenance & Custodial system, the functional area most dependent on purchasing? What proportion of materials are delivered by the vendor to Purchasing & Inventory and what proportion directly to the Maintenance & Custodial system? To what extent is the Maintenance & Custodial system responsible for getting materials to the point of use and to what extent is Purchasing & Inventory?

2. Resolving Materials Problems

To what extent are problems in the performance of the Maintenance & Custodial function "blamed" on Purchasing & Inventory? To what extent must staff cannibalize vacant units or recycle used parts and equipment to meet needs? Is there a systematic way of assessing the performance of materials delivery procedures or are problems dealt with as they arise? What is the mechanism for dealing with problems; who is involved; and how well does it seem to work?

3. Inventory Accumulation Problems

If frustrated by the "official" delivery system, site managers or maintenance supervisors sometimes accumulate their own stockpile of supplies outside of the normal system. To what degree does this occur? What role does the Purchasing & Inventory function play in controlling such accumulation? How do problems of inventory accumulation surface and how are they resolved between the two functions?

4. Controlling Waste and Pilferage Once Items Reach the Sites

Review the operation of site maintenance shops in allocating supplies, materials, and appliances. To what extent are items accounted for? Are serial numbers on appliances recorded?

With Finance & Accounting

1. Organizational Relationships

Describe the organizational relationships with Finance & Accounting. Is there a system of checks and balances built into the relationship?

2. Payment Procedures

Examine how authorization to pay is transmitted to Finance & Accounting. How are deposit or prepayment requirements handled? What attempts are made to minimize delay and secure discounts? Is Finance & Accounting sensitive to the need to maintain good relations with vendors?

3. Internal Controls

Do the two functions effectively or explicitly perform internal control functions with respect to each other?

4. Problem Resolution

How are problems between Finance & Accounting and Purchasing & Inventory resolved? Who resolves them? What delays are involved? Do such problems affect relationships (prices) with vendors?

With the Management Information System

1. Utilization of the MIS

Describe the ways in which the Management Information System, if any, is utilized to enhance the inventory function. Identify the specific data inputs from Purchasing & Inventory to the MIS. Is the MIS role primarily in reporting back and displaying current inventory data? Does it do any manipulation or analysis of the data to make them more useful for planning or monitoring purposes?

Chapter 7

Rental & Occupancy

Establishing the Ground Rules

1. Locus of Responsibility

Identify who has responsibility for setting the authority's admission and assignment policies. Are they clearly spelled out in written form and made available to staff and to tenants? Are policies periodically reviewed for effectiveness?

2. The Lease and Other Terms and Conditions of Occupancy

Outline the provisions of the authority's lease. Note respects in which it differs from the HUD model lease. Does it conform with HUD requirements regarding grievance procedures and other due process considerations? Has any effort been made to simplify language? What are the provisions for tenant comment on changes?

Are there a specific written set of "house rules"? Are they incorporated in the lease directly or by reference? Are questions of pets, noise, anti-social behavior, occupancy by non-family members, installation of major appliances, charges for damage to the premises, etc. addressed? Are rules regarding rent payments and other charges spelled out?

What are the provisions for payment of security deposits? How are deposits held and do they earn interest?

3. Income Limits

Income eligibility is determined by the provisions of the Housing and Community Development Amendments of 1981.

4. Rent and Other Charges

Basic rents are determined by provisions of the Housing and Community Development Amendments of 1981.

Indicate whether or not utilities are included in the rent and, if so, what constitutes excess usage and the basis for an addicharge. If tenants are tional required to pay their own utilities, what allowances are made in the lease? (Are there any residents with negative rents?) Determine schedules for any other charges, such as utility surcharges, damages to the unit or project ("sales and services") or penalties for late payment of rent. Describe the process by which changes or adjustments are made in utility and other schedules and any opportunities for review and comment by residents and others.

5. Equal Opportunity and Affirmative Action

Identify the PHA's procedures for assigning households to projects to promote desegregation or to maintain racial balance in the projects. Are special steps taken in the selection of new tenants to influence resident composition and to further the attainment of these objectives? Do any of these practices result from judicial actions against the authority?

6. Priorities Among Applicants

Outline any system of priorities for the allocation of units. Do any groups receive preference (homeless, displaced, disabled, veterans, current residents requesting transfers)? How are preferences reconciled with the principle of first-come, first-served? Does the priority system allow for income averaging or for attracting households "least likely to reside"? For maintaining or restoring racial balance at individual sites?

7. Handling Grievances and Insuring Fair Practice

Describe mechanisms established for residents or rejected applicants to complain of or seek redress from PHA actions. Review the rules governing actions taken against residents by management. Are there higher levels of appeal? Does the PHA use outside mediation or arbitration? Are peers (other tenants) involved in hearings or complaint proceedings?

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The Intake Process

Securing a Pool of Prospective Occupants

1. Marketing

Review the PHA's approach to attracting eligible households and informing prospective applicants of the availability of units (e.g., sole reliance on word of mouth and maintenance of a waiting list; use of community contacts; encouraging referrals from other housing developments, public agencies or social service groups; posting ads or signs to attract walk-ins; printing promotional brochures; showing a model unit; advertising in newspapers and other media; general public relations).

Identify the rationale behind any program of outreach. Do market conditions make it especially difficult to attract some types of tenants? Is outreach targeted at any particular group in the population or to any specific pattern of vacancies? Are there different strategies for different unit sizes and types of applicants (e.g., elderly, "empty nesters," singles)? Is marketing entirely a central office function or do individual sites have authority to seek applicants?

2. Taking Applications

Review the application procedure for admission to public housing. What information is available to applicants and at what locations (e.g., only at a central leasing office or also at local sites)? What data are collected from applicants (e.g., race, family size, age and sex of members, income, source of income, prior housing experience, entitlement to preference)? To what extent are a household's specific needs considered at this point? What degree of verification is required at this stage? Are applicant's encouraged or entitled to visit sites or see the interior of units?

3. Notification of Applicants

To what extent do application procedures used at this stage allow a preliminary (or more detailed) determination of eligibility? How are applicants notified of their post-application status, assuming no unit is immediately available?

4. Maintaining the Waiting List

Determine procedures for adding the names of applicants to a waiting list. Is one list maintained centrally? How are registrants sorted according to preferences and priorities other than by date of application (e.g., by size of unit required, preferred project, rent-paying ability)? How often is the list checked, purged, and updated? Are applicants required to keep their registration active or does the burden rest with the authority?

5. Insuring an Orderly Flow in Processing an Applicant

Outline the overall phasing of the application process, moving an applicant through acceptance, eligibility determination, other screening, and waiting list entry. At what point are data computerized, if at all? If not computerized, how is the waiting list maintained?

Tenant Screening and Selection

1. Processing the Application and Reviewing Eligibility

Review the steps for determining eligibility and the criteria applied. Examine how policies regarding definition of income for eligibility and how asset limitations are applied in practice.

2. Eligibility Verification

Describe efforts made to verify information provided by applicants regarding eligibility. Outline the documentation required of applicants (e.g., W-2 form, employer letter, social security or public assistance verification, marriage or birth records). Is third-party verification employed? What does it cost to make these checks? Do they seem to be worth it? What steps are taken to insure confidentiality? How dated can information become before it must be reverified (e.g., if there is a significant interval between initial verification at time of application and availability of a unit)?

3. Review for Suitability

Analyze steps taken, if any, to review applicants for acceptability according to social (noneconomic) criteria. What criteria are applied (e.g., employment stability; health and capacity to live independently; credit history; previous rent payment record; house-keeping patterns; family stability; history of civil disturbance; substance abuse; vandalism or criminal activity)? Are reviews made for all tenants? If not, what is the basis for selecting those prospective tenants who are reviewed?

4. Suitability Verification

What techniques are used to obtain or verify information about applicants (employer references; credit check; home visit; military records; medical records; policy check; interview)? Are residents involved in the screening process at any stage, particularly in interviewing an applicant? Which types of review are most effective? What steps are taken to ensure confidentiality?

5. Establishing Initial Rent

Review the process by which rents are calculated and the application, in practice, of the various deductions allowed in determining rent payments.

6. Quality Control

What steps are taken to ensure the accuracy of the computations and the reliability of the information used in the screening and selection process (supervisors check percentage of all cases; computer check of calculations, etc.)?

7. Notifying Applicants of Acceptability or Rejection

Describe procedures for notifying tenants of outcome of review. Does the PHA observe any time limit? Are rejection notices put in writing with reasons given?

Assignment of Tenants to Available Units

1. Resident Composition Policy

Describe extent to which assignment is used to achieve pre-established goals in terms of racial and socioeconomic mix or to influence site densities in terms of household composition. To what extent is the rent level that can be paid taken into consideration in assigning a household? How are selective assignment procedures reconciled with the first-come, first-served rule?

2. Notification of Unit Availability

Examine the process by which those responsible for tenant assignment are notified of anticipated or actual vacancies. What procedure is used to minimize delays in the process of selecting residents and filling vacancies (e.g., selection of several potential tenants)? Is vandalism of unoccupied units a problem, and, if so, what measures are taken to prevent it?

3. Determination of Proper Unit Size

How do the authority's apartment size standards for households of different sizes compare with those recommended by HUD? In general, how are factors of age, sex, physical disability, and family relationship weighed in determining proper size of unit for a given family? Do the standards factor in expectations of future growth or decline in a family's size?

Is there flexibility to deal with hard-to-rent sites, apartments with exceptionally small room sizes, projects seriously deficient in open and play space, etc.? Does the project manager have a voice in making these assignment decisions? What legal or blood relationships are considered to define a family (e.g., are marriages based on common law acceptable)?

4. Matching Appropriate Household to Unit

Describe how Rental & Occupancy responds to the notification of a vacancy in a unit of given size. Does it provide Project Management with files on appropriate applicants from the top of the waiting list and allow management to choose, does it make the decision itself, or is Project Management entirely responsible for matching? To what extent are tenant preferences honored in the assignment process?

What provision is made for the possibility that the household initially offered a unit will decline? Is there a limit on the number of refusals of available units before the household loses its position on the waiting list? Are there legitimate reasons for rejection, reasons which do not count against a household (e.g., a location inaccessible to place of employment)?

5. Transfers

Review the policies applying to tenant-requested transfers and authority-initiated transfers. What priority are such transfers given, if any? Are transfers deferred during periods of high turnover when there is a heavy apartment preparation workload?

Who handles inter-project transfers (Rental & Occupancy?) as distinct from intra-project moves (at Project Management's discretion?)? Are transfers permitted for other than reasons of underhousing or overhousing?

Move-in and Tenant Orientation

1. Lease Execution and Pre-occupancy Orientation

Examine the process for preparing and signing the lease, collecting the security deposit and initial rent payment, and scheduling the move-in. Is the security deposit payable entirely in advance or are installment payments permitted? When is the key turned over to the lessor?

Review any effort to orient applicant with regard to contents of lease, house rules, general management practices, neighborhood facilities and services, mutual rights and responsibilities, etc. Is a manual or any written material provided to new tenant? Do other residents have any role in the orientation process?

2. Apartment Inspection

Does an authority staff member visit the unit assigned with the prospective resident? Is any document or checklist prepared indicating condition of the unit for future reference at time of move-out? Does the tenant sign it? Are any remaining deficiencies noted for remedy before move-in date?

3. Move-in

Describe provisions for facilitating move-in by a new resident. How strictly is the time of move-in controlled? Describe any orientation provided at the time of moving (e.g., appliances, building systems, garbage collecting schedule). Is there any regularly scheduled follow-up visit to new residents after they have been in occupancy for an interval?

Functions for Occupied Units

Collection of Rents and Other Charges

1. Policies Regarding Payment

Review rules governing when payment is due, form it is to take (cash, check), and penalties for lateness. How are residents initially informed and then reminded of these policies? Outline the rules, if any, governing late fees; court costs; excess utilities or energy consumption resulting from tenant-supplied major appliances; and "sales and service" charges for repairs resulting from tenant negligence.

2. Rent Billing Procedures

Describe the means by which tenants are informed of monthly amount due (e.g., ledgerbook in office; rent book with stubs; individual bill each month; delivered by mail or hand; with or without return address mailer; with duplicate copy for tenant). Where a bill is prepared, are charges other than rent included and listed separately?

3. Mechanism for Receiving Payment

Note whether rents are received at the sites, at one or more central collection points, or only by mail to a depository. Are collection points part of the PHA or branches? What considerations influence the choice of collection system (e.g., security)? If payment can be made in person, review the hours and accessibility, what forms of payment are acceptable (e.g., cash, check, money order), how the security of deposits is protected.

4. Charges for "Sales and Services" and Excess Utilities

Determine how the amounts for such charges are calculated. How are tenants informed of charges (by maintenance personnel, bill, at rental office)? Are they prepared monthly, quarterly? Can they under state law be treated as equivalent to rent in legal proceedings for nonpayment?

5. Provisions for Handling Rental Delinquencies

Analyze the mechanism through which the authority identifies and keeps track of tenants in arrears on charges. Identify the process for following up on delinquencies and securing payment. Does Rental & Occupancy have a significant role in this area, or is it exclusively the task of the Project Management or Finance & Accounting?

Describe the authority's policy regarding accepting partial payments and entering into repayment agreements. Are rents accepted from delinquent accounts once legal proceedings have been instituted? If so, does this prejudice such proceedings?

Reexaminations

1. Schedule & Mechanism

Review the PHA's approach to reexaminations. What personnel are responsible (special Rental & Occupancy teams or regular Project Management personnel)? What is the scheduled frequency and what is the frequency in actual practice? Are all reexaminations conducted during a specified interval or are they spread more or less evenly throughout the year according to the anniversary date?

2. Interim Rent Adjustment Policies

Is there a mechanism for adjusting rents before anniversary dates, in cases where family circumstances change markedly? Are practices here dictated by state law?

3. Determining Eligibility for Continued Occupancy

Determine the authority's policy regarding continued occupancy by "over-income" households. Is there a separate rent schedule for families with incomes above a specified level? What is the PHA's "economic rent"?

Dealing with Problems and Special Situations

1. Problem Tenants

Describe any measures customarily taken to contact and negotiate with households accused of antisocial behavior, property damage, or other violations prior to taking legal action (e.g., counseling, grievance hearings, social agency referral). Who is responsible for deciding on the appropriate course of action in a given circumstance? To what degree are other tenants involved? What is the role of the project manager? Is a written record kept of discussions with tenants about particular problems?

2. Special Occupancy Arrangements

Insofar as it is relevant, examine provisions for housing PHA employees or persons providing tenant-oriented services who are otherwise ineligible (e.g., emergency maintenance personnel; local police), and any special concessions on rental charges.

Handling Move-Outs

1. Tenant-Initiated With Notification

Review the procedures for inspecting a vacated apartment, determining charges for repairs, if any, and refunding the security deposit. How is the occupancy cycle then restarted for a vacant unit?

2. Tenant-Initiated Without Notification ("Skip-out")

Describe how Rental & Occupancy ordinarily learns of move-outs where there is no prior notification. Is there any system for periodic checking to discover "skips"? How is the vacant unit secured? Who is responsible for checking for any damage and entering charges against the tenant's account and/or security deposit? To what extent are "skipping" tenants pursued in an attempt to collect rent if they leave with a balance due? What procedure must the authority follow in taking possession, particularly if belongings are left behind? To what extent is it obliged to store or dispose of such property? At what point is Rental & Occupancy informed of the vacancy and the availability of an additional unit?

3. Eviction

Outline the procedure following issuance of a court order, especially where the tenant refuses to leave voluntarily. How are notices served to tenants? What steps must be taken to get appropriate officials to forcibly evict and what delays are likely to be encountered? What recourse, if any, does the tenant have at this stage?

Legal Action for Violations

1. Instituting Legal Action for Nonpayment

Analyze the authority's policy regarding suits for nonpayment, the nature of the process which operates and Rental & Occupancy's role. What prior notices of delinquency are sent to tenants as a matter of course and who has the responsibility (Finance & Accounting, Project Management, Rental & Occupancy)? After what interval is legal action instituted (e.g., after 15, 30, 45 days)? Who initiates law suits (e.g., a paralegal in the central office, an occupancy clerk, outside counsel)?

Where matters go to trial, who coordinates the process to make sure that the full records and required witnesses are present and that the amount requested for judgment is correct and includes all outstanding charges as of the hearing date? What recourse is available to residents to pay their outstanding indebtedness, thereby forcing a dismissal of the legal action?

2. Instituting Legal Action for Other Lease Violations

In cases of other lease violations, who is responsible for making the determination that legal action should be initiated? What procedures are utilized to insure that a complete dossier and persuasive case can be presented? Who coordinates court appearances? What recourse is available to residents to restore good standing once legal action is begun? How often is the authority successful in bringing such suits.

Linkages

With Maintenance & Custodial, Purchasing & Inventory

Determine how the various elements which go into apartment preparation, particularly availability of appliances, are coordinated to minimize turnaround time and ensure delivery on schedule.

With Security and Social Services

How conscious is Rental & Occupancy of minimizing social problems that can grow out of over-occupancy, inappropriate concentrations of households with children, etc.? Does it actively take these factors into account in its assignment policy?

With Project Management, Finance & Accounting, and Management Information

How does Project Management learn the extent of delinquency at appropriate points in the month? How is information on move-ins and move-outs coordinated for billing purposes? Do site staff follow up on late payers? How are chronic delinquents handled in terms of billing? In general, how is a consistent policy with regard to rent payments maintained and communicated to residents?

With General Administration

How do senior staff with ultimate responsibility for legal actions and for the firm and consistent application of rules and regulations coordinate actions so that they are generally in a position to back up difficult decisions by operating staff?

With Management Information

Describe means of coordination in terms of maintaining the waiting list and summarizing demographic and socioeconomic data on residents and on applicants.

Chapter 8

Personnel & Training

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Establishing Personnel Policies

1. Policy-Setting and Oversight

Identify who is in charge of setting these policies and dealing with employee unions. What roles do the board of commissioners, the executive director, and the head of personnel play? How much say do the heads of individual divisions such as the director of management or the maintenance chief have?

2. The Policy Environment

To what extent are the authority's personnel practices determined by Civil Service regulations and/or collective bargaining agreements? Review the broad structure of the regulations and the requirements of the agreements. Are clerical or other staff covered by the Civil Service rules and/or union contracts?

Personnel Administration

1. Focus of Responsibility

Identify who is in charge of the function at the authority and how it relates to other divisions. Is there a full-time specialist working in this area? Are the qualifications and backgrounds of those responsible appropriate? Note who has the following responsibilities: establishing job descriptions, hiring, disciplinary actions, overseeing the evaluation process, determining the employee compensation schedule.

2. Job Duties and Requirements

Determine the steps followed by the authority in developing job descriptions. Has an independent analysis of actual requirements been made? Are standard descriptions borrowed from another authority or municipal agency? Are formal written descriptions available, are they periodically reviewed and updated, and are they actually utilized in the hiring process? What role do union work rules and labor categories play?

3. Numbers of Positions of Each Type

How are the numbers of employees in each type of position determined? Is there any overall assessment of personnel needs, or are the totals arrived at by "feel" or simply accretion? Are there different practices for different categories of jobs? Does an increase in the number of units under management generally trigger a corresponding increase in the number of custodial laborers? Is there a periodic attempt to rationalize the authority's personnel rosters? How do staffing levels relate to the budgeting process? Are variations in staffing across projects commensurate with current workloads?

5. Ensuring Fair and Equal Treatment, Including Meeting Legal Requirements

Review how the authority endeavors to meet its obligations under the various federal and local requirements concerning fair labor standards and practices, equal employment opportunity, equal pay, working conditions, occupational health and safety, and the like. How are grievances handled? Is there a personnel manual spelling out authority policies?

4. Guidelines for Promotions, Transfers, Terminations

Are there formal criteria established for promotions and terminations? Is there one specific set of evaluative steps to be followed by the authority, and are there rights of appeal on denial or termination? What role does longevity or seniority play? Is there any sort of established career ladder for particular job categories?

6. Compensation and Benefits

What is the authority's broad policy on compensation (e.g., to be slightly below market rates for some jobs, above for others)? How do civil service and union requirements affect the broad policy?

Recruitment and Selection

1. Sources and Outreach

Indicate the principal sources from which personnel are recruited for the various job categories and the relative importance of the different sources (e.g., current employee referrals, union hiring hall, employment agencies, colleges, schools and vocational training programs, advertisements, personal contacts of senior staff). How do civil service and union agreements affect outreach? To what extent is special consideration given to current staff and to what extent are promotions made from within? How aggressive is the PHA in its recruitment efforts, and how does it ensure reaching a broad enough group to meet equal opportunity goals? Does the authority consistently have a sufficient number of qualified applicants to choose among?

2. Application Procedures

What kind of information is requested of the applicant (e.g., standard vital statistics, educational background, previous job history, special training or experience). What sort of supporting documentation, verification and references is required?

3. Testing and Interviewing

Indicate the extent to which written or oral tests are used and whether or not they are aimed at testing general ability and aptitude or special skills. What reliance is placed on test results? How and by whom are job interviews conducted (by an individual or a group)? Are there second interviews for serious candidates? Has any testing program ever been challenged as being discriminatory? With what effect on the authority's overall use of testing?

4. Hiring Decisions

Who participates in decisions to hire for the various PHA positions? Are decisions shared? How are decisions communicated to prospective employees? To what extent are new workers put on a provisional status? Has experience with new hires suggested that sufficient information is being assembled for a hiring decision?

Compensation and Other Benefits

1. The Compensation Package

Outline the elements in the package, including wages and salaries, vacation and sick leave, insurance and retirement benefits. How is the balance among the elements in the package determined? If union or civil service inputs are absent or weak, are employees polled as to their preferences?

2. Mechanics

Describe the mechanisms for establishing salary and wage scales, benefits, increments, vacation and leave provisions, etc. To what extent are they a function of collective bargaining and the authority's labor relations? To what extent are they a function of Civil Service provisions or prevailing wages in the local public sector? Does the authority survey prevailing wages for some jobs? To what extent does the HUD wage determination for blue collar workers influence compensation for these workers, and what is the interaction between HUD and the PHA on this point?

How strong are attempts to keep pace with the cost of living? Does the authority split the funds available for increases into across-the-board and merit components? How is the division determined and how variable has been the mix over time? Do employees understand the reasons for choosing a particular split each year?

Training and Professional Development

1. Basic Approach to Skill Development

Describe how training needs are determined (e.g., performance or productivity problems, safety standards, desire to match external standards, introduction of new programs or technology, worker demand). Is any regular analysis made or plan generated for skill development (even if the authority's actual training programs remain limited and incomplete)? Is training related to career ladders? Are there specific objectives for different kinds of training? How is proficiency determined? How does the amount of training available compare with the amount really needed?

2. Orientation for New Staff

How is practical information on working life at the authority communicated? Are any conscious efforts made to familiarize newcomers with the "culture" of the authority, its history and mission? How are specifics of duties and responsibilities communicated?

3. In-Service or On-the-Job Training

Is the nature of such training formal or informal? Is there training for certain categories but not for others (e.g., maintenance vs. management)? How does it fit into the work schedule and who conducts it (e.g., PHA's own staff, outside instructors or consultants)? How are the trainers selected?

4. Off-Site Training and Professional Development

Does the authority in any way encourage or facilitate staff participation in off-site programs (e.g., reimburse expenses and/or tuition, allow release time)? What types of opportunities are utilized by staff (e.g., courses at local universities and colleges, trade schools and institutes; programs sponsored by professional and trade associations, business groups,manufacturers and suppliers; conferences and workshops such as those sponsored by NAHRO)? How has the authority dealt with the requirement that all managers be certified?

5. Retraining

Determine if any special training is offered to those who receive promotions. When new equipment and/or new rules or requirements are introduced, is any special briefing or training conducted?

6. Evaluating Training Efforts

Is any attempt made to assess the training program? If so, what criteria are employed (e.g., increased job satisfaction, higher productivity, reduced turnover, cost savings)? Is the mastery of new skills tested for those recently trained? When was the last time such an evaluation was made and how has the training program changed since then?

Evaluation and Employee Incentives

1. Standards, Criteria, and Measures

Analyze the basic evaluative process used for the various job categories (e.g., primarily input or output measures, general impressions of supervisor, detailed checklist). How are employees made aware of the evaluation procedures? How are they informed of the results? Does evaluation affect pay, promotion, and discipline decisions? What safeguards are used to help ensure that the process remains consistent, fair, and impartial?

2. Mechanism

Describe how supervisory personnel conduct evaluation and how formal and scheduled the process is (general daily observation, spot-check of quality, analysis of records, workflow problems, complaints, discussion with employee, tasks completed measured against established targets, etc.). If evaluation is frequent, how is the record of performance compiled and maintained?

3. Promotions and Transfers

Review the policies which govern. Is job advancement based on seniority, on merit, according to a schedule, only possible upon vacancies, etc.? What considerations govern transfers to different kinds of work at the same or lower wage level? Specifically, what roles do training and evaluation play in decisions to promote or transfer employees?

4. Disciplinary Actions

Describe the typical progression of disciplinary steps and actions taken against employees. How does the process differ for various problems (e.g., poor attendance record vs. low productivity)? Are warnings given in writing? Are periods of probation used? What alternatives are considered? How does the authority document such cases, make sure it meet legal requirements, and deal with union or civil service representatives?

5. Grievance/Appeals Process

Describe those procedures instituted under existing union agreements and those that are followed pursuant to local and/or state law.

Tenant Recruitment and Training

1. Tenant Employment

What percentage of authority employees are residents? What steps, if any, are taken to recruit tenants for job openings? Are any special training programs available to residents who are prospective employees? Are contractors encouraged to hire residents (for example, are conditions for resident employment made part of bid documents)?

2. Training for Other Management Roles

Does the authority offer group training to tenants which might permit them to take a more active part in project affairs (e.g., modernization planning, social service program development, the components of the PHA's budget and how it is allocated)?

Linkages

With Maintenance & Custodial and Project Management

Is any special attention given to the needs of these two functional areas which are the main users of human resources in the PHA, employ the least experienced and least skilled workers, and stand to benefit most from an effective personnel and training program?

With Management Information

How do the two areas coordinate the feeding in and reporting out of data required to evaluate employee performance and the effectiveness of training programs?

With General Administration

What arrangements are made to see to it that personnel staff get adequate backing and support in dealing with union issues and difficult personnel decisions?

Chapter 9

Security

Analysis of Security Needs and Determination of Policy

1. Nature of Security Problem

What is the nature of the security problems confronted by the authority? To what degree do they vary by project and by type of project, i.e., elderly vs. family? What is the impact of surrounding neighborhoods on the level of crime? What means are used by the authority to keep track of the security picture (e.g., police statistics, resident complaints, vandalism-related work orders, internal PHA analysis of incident reports)?

What is the level of fear of crime and vandalism among residents and/or PHA personnel at the various facilities and sites? To what extent does this square with the available quantitative indicators of victimization and property abuse? To what extent are subjective factors taken into account in the data collection and security planning efforts? Are there periodic reviews of crime problems, both actual and perceived?

2. Strategy

Outline the authority's approach to dealing with its security problem. Determine the role of the following types of efforts:

1. direct security activity — guards or other security personnel, special hardware or structure modifications, and tenant activities that are explicitly geared to fighting crime;
2. indirect activities — recreation, job training for youth, forceful pursuit of evictions where appropriate, etc.

Does the approach vary across projects? Why?

3. Resources

Review how the authority has marshalled resources for security. Has it utilized existing police resources in developing its own approach to security? Have local public and voluntary social service and recreation systems helped the PHA meet its security needs? What types of security services does the authority provide itself?

Development and Administration of Security Program

1. Planning, Design and Supervision

Describe the process through which the PHA has arrived at its current array of security and security-related efforts. Was one individual or division responsible for its planning and implementation or has responsibility been split among several divisions? Did the PHA use outside consultation from the police department, elements of the criminal justice system, juvenile bureaus, or other experts in developing its program? How long ago was this done? In the intervening years has the problem changed, i.e., is the current strategy still appropriate?

How are the various elements currently supervised and what is the background and training of those who have oversight and operating responsibility? How involved are project managers?

2. Participation in Special Security Programs and Grants

Determine the extent to which current security efforts have been designed and supported through the modernization program and special governmental programs (HMIP, TPP, Urban Initiatives, Anti-crime, LEAA, etc.)? Has the PHA benefited from any citywide anti-crime efforts? How has the present security system been shaped by participation in these activities? If the interventions developed under such funding were successful, has the PHA been able to sustain the security efforts through its operating budget?

3. Evaluation

Describe the extent to which the authority evaluates its security efforts and modifies them accordingly. What data, if any, are used in these evaluations? Are such reviews regularly scheduled?

Personnel-Based Security Approaches

Alternate Approaches

1. Total or Partial Reliance on Municipal Police Department

Analyze the scope and nature of municipal protective services normally given the PHA sites. Is it more or less than that given other residential areas? Does it reflect the special needs and nature of individual sites (e.g., highrise)? Is there any special relationship between police personnel at the supervisory or patrol level and PHA staff?

Is there a substation or any special space or communication equipment available to police on site? Do police patrol by car, on foot, in the interior of buildings, on a 24-hour basis?

2. Programs Utilizing an Authority-Based Seurity Force

Decribe generally the nature of any security forces maintained by the authority or its residents. Which of the following basic types are employed?

1. Internal PHA Security Force (direct employees of the authority);
2. Contract Security Force (including off-duty police); or
3. Resident Patrols and/or Building Monitors (paid or unpaid).

To what extent is the authority's security force designed as a supplement to or as a substitute for the local police?

Characteristics of Authority-Based Security Systems

[Note that general questions relating to all types of authority-based personnel systems are raised in items 1-9 below, and that questions specific to one type are noted in items 10-13.]

1. Legal Authority

What is the extent of the legal authority and what restrictions apply to the different types of manpower employed (particularly do they have authority to make arrests and/or to carry a weapon)?

2. Deployment and Administration

Determine the basic pattern of deployment. Are personnel assigned exclusively to a site on a decentralized basis, or are they dispatched from a central location and expected to cover more than one site?

3. Personnel Selection and Training

Describe the standards employed in selecting security personnel and the measures used to identify individuals unsuited for such service. How much control does the authority have over this process? Review the auspices, nature, duration and rigor of the training received. How does it compare with that offered the regular police force?

4. Schedule and Coverage

For each element of the security force, review the nature and pattern of coverage (e.g., 24-hour or only high-crime periods; stationary access control, foot patrol, interior and/or exterior). On what basis are the physical patterns and frequency of patrols determined?

5. Equipment Employed

Describe the type of equipment used by security personnel (e.g., walkie-talkies, TV monitors, scooters or patrol cars, call boxes). Is this sufficient for them to efficiently discharge the tasks they have been assigned?

6. Relations With Police

Describe any ways in which the PHA-based system(s) relates to the local police (e.g., training, consultation, hot-line, regular exchange and briefing, informal cooperation).

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7. Cost and Benefit

Has the authority done an analysis of the full cost of security personnel (e.g., including amortized training cost)? Does the authority have a sense of the savings resulting from the security system or specific activities (e.g., reduction in elevator maintenance after installation of a lobby monitor)?

8. Monitoring and Evaluation

Determine how the performance of the security force is guided and/or monitored (e.g., briefing for on-duty personnel before each shift, punch clocks, spot checks by supervisors, review of blotter and incident reports, tenant complaints). How are standards communicated and what sanctions are available? Are they consistently applied?

9. Record Keeping

Is any analysis done to determine whether or not the force is organized and deployed most effectively? Describe the system for recording those incidents dealt with by or brought to the attention of the force. Are they sufficiently detailed to be of use to project management? Do they include civil disturbances, property abuse and vandalism, as well as more serious offenses? Does management utilize security information in enforcing the lease against or relocating problem families or altering its site operations to reduce loitering in halls, vandalism, burglaries, etc.?

10. Questions Relating Specifically to an Internal PHA Security Force

Analyze the degree of management control. For example, is the force organized centrally and hierarchically as is typical of a regular police command, or is it under supervision of individual site manager? Are any residents or CETA employees used?

11. Questions Relating Specifically to a Contract Security Force

Review the source of any security services purchased from outside and the bidding procedure, if any. Are any residents or CETA employees included? Can the PHA exercise any effective control over performance short of terminating the contract?

12. Questions Relating Specifically to Resident Patrols and/or Building Monitors

Review the nature of any resident-based security force (e.g., lobby monitors, interior patrols, exterior patrols, elderly escort services). Was it organized independently and on the initiative of tenants, or with the encouragement and assistance of the authority? Are members of this force volunteers, paid staff, or a combination? To what extent is it integrated with other personnel systems? How regular and sustained is its operation? Is any special training or equipment provided? How does it relate to any tenant organization(s) at the site?

Hardware Approaches to Security

1. Approaches

Use the checklist below to identify all hardware approaches employed by the PHA to cope with either property abuse or unauthorized entry.

Protective Devices and Equipment

Elevator systems
Window and skylight grills
Locks and peepholes
Vandal-proof fixtures
Doors and fittings
Windows
Mailboxes
Fire escapes
Parking area access control

Surveillance, Detection and Communication Devices

Intercoms and buzzer systems
Alarms
Walkie-talkies and call boxes
Patrol vehicles
Television monitors
Identification cards
Guard stations

2. Equipment

Describe any provision for ensuring that security hardware remains in operating conditions, including how the continuing operating costs of capital items are funded.

3. Tenant Education

Are there any special programs to encourage residents to use and protect security hardware? For example, are intercom systems understood? Do children use hardware well, or, for example, are doors left open in lobby areas?

Design Approaches ("Defensible Space")

1. Employing Aspects of Original Design or Subsequent Modification

Review the extent to which original design elements and/or structure modification serve security purposes. How effective do they appear to be?

Community Organization and Education

1. Taking Precautions and Self-Defense

Review any efforts designed to educate residents to look after their own security (e.g., being street-wise, handling valuables, making provisions for extended absences, using chain locks and interrogating callers, engraving identifying information on property). Is this type of material covered as part of the tenant's orientation? At special sessions?

2. Mutual Support and Surveillance

Note any organized programs involving street watchers, surveillance of neighbors' apartments during working hours or vacations, teenage escorts for the elderly, general adult supervision of youth on site, etc.

3. Reporting Suspicious Activity and Actual Incidents

Describe any efforts to persuade residents of the importance of reporting incidents, particularly dealing with the fear of retaliation or of "getting involved."

4. Subjective Aspects of Insecurity

Is any effort made to alleviate fear of crime where it is exaggerated and not justified by the facts?

5. Social Service, Social Welfare, Recreation Programs

Are there any social programs which appear to have had a significant secondary impact on security at one or more sites?

6. Role of Resident Organization

Describe any approaches undertaken by residents (with or without authority encouragement) to regain social control of their environment; enforce behavior codes and norms through peer pressure; involve youth; utilize hearing or grievance procedures to discipline problem tenants; consult/negotiate with management, law enforcement, and social agencies to secure better security conditions at their housing development.

Linkages

With Maintenance & Custodial

To what extent do security personnel monitor physical conditions when on their rounds and report repair needs? Is there any evidence that security has affected maintenance workloads by reducing the amount or severity of property vandalism?

With Project Management and Rental & Occupancy

Are security reports available to and used by these other functional areas in identifying problem households, undue concentrations of large households, and the like? Are security reports used to supplement tenant files where cases go to court?

Chapter 10

Social Services

Policy and Organization

1. Policy

Identify, if possible, the PHA's basic orientation towards social services. Is it oriented primarily to supplementing property management functions (e.g., counseling problem families, workshops in homemaking), or towards the traditional social work goals of maximizing well-being and self-sufficiency (health services, day care for working mothers)? At what point in the authority structure is social service policy set? How actively are commissioners and the executive director involved?

2. Organization

What part of the authority is responsible for the following aspects of the Social Services function: planning, program development, fund-raising, and program administration? Is a separate department mainly responsible for social services, a single staff member, several staff members with other assignments devoting a portion of their time? If more than one part of the authority is responsible for social services, how do the staff relate to each other? What is the coordination mechanism? What are the backgrounds and qualifications of the key social service staff? What responsibility do project managers have, if any, for overseeing the delivery of these services?

Program Development and Analysis of Residents' Needs

1. Characteristics of Tenant Population

Describe the extent to which the authority assembles and uses information on the resident population of each project and the PHA as a whole in assessing the need for services. Is information available on household composition (age, sex, and race of members), household income and source, educational attainment, presence of disabilities and special health problems? What is the level of detail and to what extent is it summarized in convenient form? In general, what is the depth of the PHA's own knowledge of its tenant body and to what extent does this knowledge get used for social service planning purposes?

2. Other Indicators of Need

Determine the extent to which data assembled by others (public and voluntary service agencies, academic researchers, etc.) on crime, community health, employment, dependency, and similar indicators are used to evaluate resident needs and levels of well-being.

3. Resident Views and Desires

To what extent and in what ways does the authority attempt to involve residents in establishing an agenda for social services? Are tenants polled informally or formally regarding their needs? Are tenant associations consulted on the question?

4. Social Services as an Adjunct to Management

To what extent and in what ways does the authority use its social service programs to make management easier (e.g., recreation programs to occupy adolescents, day care for children to permit mothers to work, thereby raising the income base for calculation of rents)?

Resource Generation

1. Bringing Existing Programs to Residents and/or the Site

How does the authority review programs and services already available to its residents through other agencies in the community? Does the authority have any basis for judging quality as well as availability? To what degree has the authority tapped the local health and welfare council as a source of information or participated in its activities? Describe any special efforts made by the authority to lure program providers to public housing sites or to secure special attention for public housing on referrals.

2. Securing Grants and Raising Funds

What success has the authority had in getting support for its social service efforts? Identify any aspects of the authority's organization that seem to facilitate proposal preparation and/or to be persuasive with funding sources. To what extent is the authority required to serve a population other than its own tenant body in order to secure program support, and to what extent does its willingness to do so attract resources?

3. Matching Strategy With Resources

Analyze the interaction between outside resources—both funds and in-kind services—and the program developed by the authority. Does the authority rely strictly on outside funding? Does it use its own resources to provide a few services that it views as critical if outside funding or services are not available? How is the uncertainty of outside resources handled in the budgeting process?

Social Service Activity of the Authority

1. Services Provided

Describe the type and nature of the social service programs which actually operate at the authority and/or those community services in which large numbers of public housing tenants participate. The checklist below contains most of the program types likely to be operating at PHAs; separate lists are given for the two main categories of household. Review significant changes in the range of programs in recent years and the reasons for them.

Families

Child Day Care and After-School Programs

Tutoring and Remedial Education

Alcoholism/Substance Abuse Counseling

Recreation and Summer Vacation Programs

Employment and Job Development

Health and Prenatal Care

Information and Referral

Elderly

Congregate or Home-Delivered Meals

Adult Day Care

Health Services

Transportation

Homemaker Services

Information and Referral

Determine the period of time particular programs have been in operation, and review the numbers served, linkages among programs, and important features of outreach, sponsorship, and program organization.

2. Mechanisms for Providing Social Services

For each of the services actually offered, indicate which among four possible approaches the authority takes to delivering the service, and the rationale, if any, for the approach used.

1. Direct provision by employees of the PHA (a separate social services staff).
2. Contracts or agreements with public agencies or voluntary service organizations to deliver on-site services at no charge to the PHA (through provision of cheap or free facilities at projects).

3. Subcontracts with public agencies, voluntary organizations or tenant groups to provide on-site services with funds secured by the PHA.
4. Organized on-site referral to service providers in the community at large (including how the availability of referral help is communicated and the extent of follow-up and advocacy).

Determine the period of time particular programs have been in operation, and review the numbers served, linkages among programs, and important features of outreach, sponsorship, and program organization.

3. Supervision and Evaluation

To what extent does the authority monitor program operation and endeavor to ensure quality control? How does it deal with performance problems in programs not under its direct control?

Involving Residents in Program Development and Administration

1. Tenants as Partners or Providers

Are there service programs which employ residents or which are run by residents, either voluntarily or under contract to the authority? Is there any significant consumer role in planning or in monitoring and evaluating social programs?

Linkages

With Maintenance & Custodial and Security

Does the presence or absence of social service programs appear to have any bearing on the incidence of vandalism, malicious mischief, loitering and crime?

With Project Management and Rental & Occupancy

Does the presence of social service programs have any impact on the number or seriousness of occupancy problems? Does it increase management's capacity to treat non-paying or problem households through other than legal means?

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