

Memorandum of Agreement (MOA) Part B Instruction Sheet

U.S. Department of Housing
and Urban Development
Office of Public and Indian Housing

OMB Approval No. 2577-0237

Public reporting and recordkeeping burden for the collection of information is estimated to average 13.74 hours for Parts A and B of the Memorandum of Agreement depending on the size of Public Housing Agency (PHA). This includes the time for collecting, reviewing, and reporting the data. The information will be used for monitoring PHA progress in bringing performance up to standard levels. Response to this request for information is required in order to receive the benefits to be derived, including eligibility to apply for funding. This agency may not collect this information, and you are not required to complete this form unless it displays a currently valid OMB control number.

General Instructions:

This form is to be used by Office of Public Housing as Part B of the Memorandum of Agreement (MOA), a legally binding document between the Public Housing Authority (PHA) and HUD. The MOA requires the PHA to achieve certain target goals and to achieve these goals within certain time frames. These goals and time frames are included in Part B of the MOA. Part 2 of these instructions provides a comprehensive (though not all-encompassing) menu of Performance Targets and Strategies. The sample of targets and strategies was designed to be consistent with the HUD Public Reform Act and the Public Housing Assessment System. The form is to be completed by the appropriate HUD office.

Part 1 - Instruction for completing Part B

- 1. Heading and Footer Information:** In the heading at the top of page 1, complete the PHA Name and PHA Fiscal Year Ending (FYE), i.e. March 31, June 30, September 30, or December 31. For MOA Term, insert both the start and end dates for the MOA. The MOA term is one year and may or may not correspond with the PHA's fiscal year. In the footer (on the following pages), enter the PHA name at the left, the total number of pages in the center, and the month and year that the MOA term starts at the right.
- 2. Operational Area:** The Operational Areas are preprinted on the document. These Operational Areas include Governance; Organization and Staffing; Financial Management and Procurement; Housing Management; Property Maintenance; Resident Services and Initiatives; Capital Funds; Security; and Management Information Systems. No entry is required in this field, but entries for targets and strategies must fall under the appropriate heading.
- 3. Performance Targets:** Under each operational area, identify the performance targets that apply. (See Part 2 of these instructions.) Some of the targets reflect PHAS performance standards. Additional information regarding baseline status, final target, estimated completion dates, and quarterly targets may also be needed.
- 4. Strategies:** For each performance target there are a number of strategies which can lead to achieving the target. (See Part 2 of these instructions.) Additional strategies may be added and the existing ones may be modified to fit the specific PHA's needs. The strategies shown serve as a guideline and are based on required procedures and/or recommended methods used to recover troubled PHAs. A strategy involves completing an action and should have a completion date.
- 5. Baseline:** The baseline reflects measurable performance data as of a certain date, normally the beginning of the MOA term. For PHAS data, the baseline may be the date of the MASS certification, FASS submission, physical inspection, or Resident Satisfaction Survey. For other data, it may be the date of the HUD assessment. Provide the baseline data in a measurable way and provide the applicable as of date. Provide baseline information for all targets.
- 6. Final Performance Target:** Using the same measure as the baseline, state the target that must be achieved during the MOA term.
- 7. Estimated Completion Date:** Provide the date when the performance target or strategy is expected to be achieved. The target date may be no later than the end of the MOA term.
- 8. Quarterly Targets:** For the measurable performance targets, particularly those related to PHAS, it is important to establish quarterly targets to help monitor and achieve the final target. Provide the incremental quarterly targets for the first, second, and third quarters. The fourth quarter target is also the final performance target and its completion target date is the end of the MOA term.
- 9. Lead PHA/HUD Staff:** Identify the lead staff responsible for coordinating and achieving the target or strategy.
- 10. Continuation Page (Optional):** Insert a continuation page where needed. Enter the PHA information as specified above. Enter the name of the Operational

Area. Continue entering Performance Targets and Strategies.

11. **Part 2 - Sample Memorandum of Agreement Performance Targets and Strategies**

This is a comprehensive (though not all-inclusive) sample of Performance Targets and Strategies. Identify those that pertain to the PHA and modify as necessary to fit the specific situation. Develop new Targets and Strategies as needed to fit unique circumstances. After entering the Targets and Strategies, add baseline data, final performance targets, and estimated completion dates.

1. GOVERNANCE

1.1 Establish PHA Board compliance with bylaws and applicable State laws. [Reference: 24 CFR 811.105; State Law, 1937 Act as amended]

- A. Review, revise and adopt by-laws.
- B. Conduct annual Board meeting and elect officers.
- C. Review the time, date, place of the regular meetings, and amend if necessary.
- D. Comply with State Open Meeting Law, including posting notification as appropriate.

1.2 Establish appropriate oversight and monitoring by the Board of Commissioners. [Reference: 24 CFR 811.105; State Law, 1937 Act as amended]

- A. Provide training to the Board and Appointing Officials to increase the knowledge of their roles and oversight responsibilities
- B. Participate in training provided by state or national industry groups.
- C. Establish a mentoring relationship with high performing authorities.

1.3 Develop and present Annual Report to appropriate local government in accordance with HA by-laws. [Reference: HA By-laws]

1.4 Require Appointing Officials to comply with Board members' terms consistent with State Law. [Reference: 24 CFR 811.105; State Law, Local Law]

- A. Assess appointment of Board members in accordance to State Statute.
- B. Update and maintain Oath of Office Certificates for all Board Members.
- C. Update and maintain Certificate of Appointment for Board of Commissioners; provide copies to HUD as appropriate.
- D. Assess/implement the appointment of Resident Commissioner in conjunction with State Law and HUD Public Housing Reform Act (QHWRA).
- E. Develop/maintain permanent tracking system of

Commissioners' appointments.

1.5 Monitor implementation of the MOA. [Reference 24 CFR 902.75a]

- A. Develop a process for reviewing MOA progress.
- B. Review progress report to HUD.

1.6. Take steps to enforce rights under Cooperation Agreement [Reference: 24 CFR 811.105; State Law, Local Law]

- A. Review and discuss dedication of streets to the local government
- B. Review and discuss baseline police services.
- C. Review and discuss baseline public services (e.g. water, sewer, trash collection, snow & ice removal, fire protection, ambulance/emergency services).
- D. Review and discuss Payment in Lieu of Taxes (PILOT).
- E. Negotiate resolution of any deficiencies with appropriate local government agency.
- F. Post notices of changes as required by State and Local Law.
- G. Amend cooperation agreement as needed.
- H. Adopt necessary resolutions and execute MOUs between Housing Authority and appropriate local government agencies to resolve deficiencies under the Cooperation Agreement.

1.7 Establish short and long-term goals and objectives for the PHA. [[Reference: 24 CFR 903.1, Public Housing Reform Act of 1998, PIH Notices 99-51 & 99-33]

- A. Develop a 5 Year Agency/Annual Plan that states PHAS views and objectives in compliance with HUD Public Housing Reform Act of 1998. Review, revise and adopt as necessary.
- B. Coordinate with local jurisdictions and obtain public comment as required.

1.8 Establish goals for Section 3 and MBE/WBE Participation. [Reference 24 CFR 85.36(e), 135.30]

1.9 Ensure permanent records of the PHA comply with applicable laws & regulations. [Reference: 24 CFR 990.201, 990.315, HA By-laws]

- A. All minutes must be approved, dated, signed and sealed.
- B. Board must comply with appropriate notice for special meetings and document compliance.
- C. Resolutions must be tracked annually and reviews made as necessary.

1.10 HUD will provide Technical Assistance as appropriate.

- A. Commissioners' Training (basic and advanced), to

include ethics training.

- B. New Executive Director's Training.
- C. Other program training as appropriate.

2. ORGANIZATION AND STAFFING

2.1 Develop, adopt and implement PHA's Administrative Policies. [Reference: 24 CFR 85.36, 965.201, HUD Guidebooks 7401.7 & 7401.1]

- A. Personnel Policy.
- B. Standard of Conduct Policy.
- C. Use of PHA Vehicle and Equipment policy and procedures.
- D. Record retention policy.
- E. Travel Policy.

2.2 Develop Operational policies and procedure manual for all agency departments. [Reference: HUD Guidebooks 7401.1 & 7401.7; Public Reform Act of 1998]

2.3 Develop/amend staffing and organizational chart. [Reference: HUD Guidebooks 7401.1 & 7401.7]

- A. Evaluate the feasibility of site-based management.
- B. Evaluate the feasibility of private management for all or part of the HA.
- C. Develop new organizational chart and plan.
- D. Adopt by Board Resolution.

2.4 Develop a training plan for staff on general program administration. [Reference: HUD Guidebook 7401.7]

- A. New employee orientation.
- B. Ethics training
- C. Formal and on the job program training.
- D. Personnel policy basic training.
- E. PHAS Training.
- F. Public Housing Management Certificate Training.
- G. Procurement Training.
- H. Cross training on program requirements among employees.
- I. Basic finance procedures for non-finance staff.
- J. Conflict Resolution Training (250 units or more).

2.5 Review, Develop and Implement Position Descriptions and Staff Performance Standards. [Reference: HUD Guidebooks 701.1 & 7401.7]

- A. Develop position descriptions and performance standards; include physical requirements and develop descriptions for those missing.
- B. Implement position descriptions and performance standards.
- C. Obtain employee signature and place a copy in their personnel file.
- D. Conduct evaluation of staff performance and document in accordance with Personnel Policy.
- E. Evaluate existing staff performance standards and revise as necessary.

F. Initiate appropriate union negotiations to adopt revised position descriptions and performance standards in compliance with union contract and applicable state law.

2.6 Establish and maintain employee records in accordance with Personnel Policy. [Reference: HUD Guidebooks 701.1 & 7401.7]

- A. Develop tracking register to track accrued annual and sick leave.
- B. Acquire staff certification on issuance of job descriptions and performance standards.
- C. Develop tracking log for staff reimbursement of mileage on personal auto use.
- D. Obtain W-4 exemption forms on all staff.
- E. Maintain copies of annual evaluations and employee concurrence in accordance with personnel policy.
- F. Maintain current employee address, phone number, and emergency contact information.

2.7 Recruit and hire a qualified Executive Director. [Reference: HUD Guidebooks 701.1 & 7401.7, HA Personnel Policy, State Law]

- A. Review the position description.
- B. Develop a solicitation package.
- C. Advertise locally, nationally, and in industry publications.
- D. Review applications received; verify references; rank applicants.
- E. Interview top ranking applicants.
- F. Select best qualified and negotiate terms of offer.
- G. Obtain Board approval.
- H. Announce selection.

2.8 Develop and maintain current Reference Library for Commissioners and Staff.

3. FINANCIAL MANAGEMENT, PROCUREMENT

3.1 Improve Current Ratio (Current assets divided by current liabilities). [Reference: 24 CFR 902, Subpart C]

- A. Develop tracking method for current ratio.
- B. Report monthly with progress report to Board/HUD.
- C. Review staffing needs and reduce salary costs where feasible.
- D. Review other sources of income, i.e., investments, waiver of PILOT, CGP use for operations, local funding, expand other HUD programs, increase occupancy, reduce accounts receivables.
- E. Review expenses and reduce / eliminate where appropriate.

3.2 Increase the Expendable Fund Balance (Expendable fund balance divided by monthly operating expenses.) [Reference: 24 CFR 902, Subpart C]

- A. Develop tracking method for expendable fund balance.
- B. Report monthly with progress report to Board/HUD.
- C. Review staffing needs and reduce salary costs where feasible.
- D. Review other sources of income, i.e., investments, waiver of PILOT, CGP use for operations, local funding, expand other HUD programs, increase occupancy, reduce accounts receivables.
- E. Review expenses and reduce / eliminate where appropriate.

3.3 Reduce Tenant Receivables Outstanding (Average number of days tenant receivable are outstanding. The gross tenant accounts receivable at year end divided by the total tenant revenue/ 365). [Reference: 24 CFR 902, Subpart C]

- A. Develop tracking method for tenant receivables.
- B. Report monthly with progress report to Board/HUD.
- C. Assure the rent collection policies include the following and are uniformly applied: (See also Performance Target 4.1)
 - 1) Timely evictions
 - 2) Effective write-off policies
 - 3) Use of Collection Agency
 - 4) Home visits
 - 5) Repayment Agreements

3.4 Reduce the Occupancy Loss which measures the vacancy rate for the year. (One minus unit months leased divided by unit months available). [Reference: 24 CFR 902, Subpart C]

- A. Develop tracking method to determine occupancy loss. The tracking method must determine which units are approved for demolition, conversion, modernization and used for non-dwelling purposes as outlined in Performance Targets 4.3 and 4.4.
- B. Report monthly with progress report to Board and HUD.
- C. Develop marketing strategies to increase occupancy as outlined in Performance Target 4.3.

3.5 Expense Management/Utilities. Review and adjust or reduce expenses as appropriate. (The expense per unit/month for key expenses, including: administration, general (PILOT), tenant services, protective services, maintenance and operations and utility expenses as adjusted for PHA size and geographical area). [Reference: 24 CFR 902, Subpart C]

- A. Develop tracking method for expenses and utilities.
- B. Analyze spending patterns and develop recommendation for cost-cutting strategies.
- C. Verify that costs are correctly classified and allocated. (Refer to Performance Target 3.14.)
- D. Report monthly with progress report to Board and HUD.

3.6 Improve Net Income/Loss Ratio (Measures how the year's operations have affected the PHA's viability.) [Reference: 24 CFR 902, Subpart C]

- A. Develop tracking method for net income/loss and fund balance.
- B. Analyze income and expenses to assure a balanced budget or positive cash flow.
- C. Revise budget based on analysis.
- D. Report monthly with status report to the Board and HUD. Assure income and expenses comply with the latest approved budget.

3.7 Comply with OMB Circular A133 by completing and submitting the Annual Audit. [Reference: OMB Circular A-133, 24 CFR 990.120, OIG]

- A. Assure timely submission.
- B. Assure findings are resolved timely.
- C. Resolve any questioned costs.
- D. Determine audit requirement for small PHAs.

3.8 Determine the PHA's total Financial Resources (Include other Federal, State, local and Non-profit, etc.). [Reference: Public Housing Reform Act of 1998, Five Year Plan]

- A. Evaluate and report on the PHA's long-term financial stability.
- B. Analyze future income streams from dwelling and non-dwelling rental income (Welfare to Work, Mixed Income).

3.9 Develop and maintain an Investment Register. [Reference: HUD Guidebook 7510.1]

- A. Analyze potential for increasing investment income.
- B. Use data to support PFS calculation.

3.10 Acquire and maintain adequate insurance coverage. [Reference: HUD Guidebooks 7401.5 & 7510.1; 24 CFR 965.201]

- A. Develop and maintain Insurance Register to track policies.
 - 1) Property (Fire and Extended coverage).
 - 2) Fidelity Bond.
 - 3) General Liability (Owner Landlord and Tenant Liability).
 - 4) Vehicle.
 - 5) Flood.
 - 6) Workers' Compensation.

3.11 Convert to GAAP accounting. (Transition from HUD Accounting). [Reference: 24 CFR 902.33]

- A. Verify conversion has been implemented and is completed.
 - 1) Fixed assets (include allowance for depreciation).
 - 2) Unrecorded Liability (sick and vacation leave).
 - 3) Allowance on doubtful accounts.

3.12 Review Property Inventory Practices and implement necessary procedures. [Reference: HUD Guidebook 7510.1]

- A. Develop and maintain a property ledger.
- B. Conduct annual physical inventory of dwelling/non-dwelling equipment.
- C. Conduct annual physical inventory of maintenance and other expendable supplies.) See also Performance Target 5.6.)
- D. Adjust the property ledger and inventory accounts, based on results of physical inventory. (See also Performance Target 5.6.)

3.13 Execute/update General Depository Agreement. [Reference: Annual Contributions Contract; HUD Guidebook 7410.0]

3.14 Allocate costs accurately among programs.

[Reference: OMB Circular A-87]

- A. HUD will provide technical assistance in establishing the allocation of administrative costs.
- B. Develop/update the allocation plan.
- C. Evaluate the impact and accuracy of the allocation plan.

3.15 Improve financial management of the PHA.

[Reference: HUD Guidebooks 7510.1 & 7475.1]

- A. Develop, adopt, and implement Financial Management Policies.
 - 1) Disposition policy.
 - 2) Capitalization policy.
 - 3) Collection Losses/Charge-off policy.
 - 4) Check Writing Authorization policy.
 - 5) Cash Overages/Shortages policy.
 - 6) Investments policy.
 - 7) Cash Management/Internal Procedures policy.
 - 8) Petty Cash policy.

3.16 Improve timely submission of reports to HUD.

[Reference: HUD Guidebook 7510.1]

- A. Budgets.
- B. Statement of Operating Receipts and Expenditures Statement (SORES).
- C. Financial Data Schedule (FDS).
- D. Tenant Accounts Receivable (TAR)/Occupancy.
- E. Performance Funding System (PFS) Adjustments.

3.17 Provide PHA Technical Assistance and/or Training in Financial Planning. [Reference: OIG Issues]

- A. Budgeting (PHA-wide, program specific and departmental).
- B. Financial Management:
 - 1) Include bookkeeping (formal) and cash management/internal controls for Finance Staff.
 - 2) Basic financial training for non-financial staff and Board.
- C. Performance Funding System (PFS).
- D. Financial Management Policies (Refer to Performance Target 3.15.)

3.18 Improve PHA procurement practices. [Reference: 24

CFR 85.36; HUD Guidebook 7460.8]

- A. Develop/update, adopt and implement Agency-wide Procurement Policy and Contract Administration Procedures to include PHA, HUD, OMB and State requirements.
- B. Evaluate the use of annual indefinite delivery/blanket purchase agreements to promote cost savings.
- C. Conduct cost analysis and estimate for all procurement actions.
- D. Identify and define types of contracts for construction, supplies, professional services and non profit entities.
- E. Identify and define competitive and non-competitive methods and requirements including small purchases, petty cash, sealed bids, RFP/RFQ, MBE/WBE, Section 3
- F. Establish a policy to respond to protests and disputes.
- G. Develop consolidated supply lists, inter-agency agreements, and similar sources.
- H. Develop contract administration procedures to include identification of Contracting Officer and Contracting Officer Representative, Initial Meeting, Progress reports and monitoring, Default notices, Payment schedules and approvals, Final audit and/or close out.
- I. Establish contracting file system
- J. Develop an annual procurement plan.

3.19 Verify PHA staff compliance with agency procurement policies and practices. [Reference: 24 CFR 85.36, HA Procurement Policy; HUD Guidebook 7460.8]

- A. Ensure procurement is done in accordance with Procurement Policy and CFR 85.36.
- B. Ensure Contracting Officer and Contracting Officer Representative(s) and their responsibilities are identified and carried out.
- C. Ensure compliance with thresholds and processes.

3.20 Provide PHA Technical Assistance and/or Training in Procurement to include: [Reference: 24 CFR 85.36]

- A. HUD procurement requirements (24CFR85.36)
- B. OMB grant administration requirements
- C. State requirements
- D. PHA Procedures and Policy compliance
- E. Contracts for construction, supplies, professional services and non-profit grantees
- F. Procurement Planning (See Performance Target 3.18)
- G. Cost analysis and estimating
- H. Competitive methods and requirements
- I. Protests and appeal procedures
- J. Consolidated supply lists and similar sources
- K. Contract Administration (See Performance Target 3.18, 3.19, & 7.6)
- L. Contract file system

4 - HOUSING MANAGEMENT

4.1 Comply with current requirements regarding admission and occupancy of Public Housing. [Reference: 24 CFR 960.205; Public Housing Reform Act of 1998,

Section 578; HUD Guidebook 7465.1, Chapter 5]

A. Review, and revise as necessary, the PHA's Public Housing Management and Admissions and Occupancy policies to comply with current requirements of the Public Housing Reform Act of 1998. Include as a minimum:

- 1) One Strike Policy.
 - a) Establish the One Strike screening criteria.
 - b) Develop screening methods that prohibit admission of any household that includes a member who the housing authority determines is: illegally using a controlled substance or alcohol; subject to a lifetime registration required under a State sex offender registration program; or whose behavior would adversely affect other housing tenants in accordance with the One-Strike screening criteria.
- 2) Revise tenant selection and admission procedures to eliminate outdated requirements and local preferences.
- 3) Develop a Deconcentration Policy.
 - a) Identify and promote the positive aspects of the development and its residents
 - b) Identify target populations based on types and locations of vacancies
 - c) Conduct outreach and marketing efforts, to include advertising, in accordance with the Admissions and Occupancy Policy.
- 4) Current Income Limits.
- 5) Resident Charges List.
- 6) Utility Allowances.
- 7) Security Deposit.
- 8) Rent Collection Policy.
- 9) Grievance Policy
- 10) Pet Policy.
- 11) Establish a Minimum and Flat Rent.
- 12) Evaluate the need for Transitional Ceiling Rents - Mixed Rent to encourage working families.
- 13) Evaluate the feasibility of site based waiting lists.
- 14) Establish a contingency plan to allow overhousing when units would otherwise remain vacant.
- 15) Transfer Policy.

B. Post revised policies for 30-day comment period

C. Adopt and implement revised policies

D. Provide training on revised policies to staff.

E. Communicate with residents regarding the impact of revised policies. (See Performance Target 6.3)

4.2 Reduce vacancy loss. [Reference: Public Housing Reform Act of 1998]

A. Analyze vacancy trends and root causes.

B. Develop and implement a plan to address problems identified; may include deprogramming request, demo/dispo request, conversion request, improving services, and improving curb appeal, etc.

C. Establish method for routine coordination between maintenance and leasing staffs.

D. Establish a procedure to authorize overhousing families when units would otherwise remain vacant.

E. Attract additional qualified applicants by:

- 1) Identifying and promoting the positive aspects of the development and its residents.
- 2) Identifying target populations based on types and locations of vacancies.
- 3) Conducting outreach and marketing efforts, to include advertising, in accordance with the Admissions and Occupancy Policy.

4.3 Reduce vacant unit turnaround time. [Reference: 24 CFR 901.10 & 902.43(a)(1)]

A. Develop Vacancy and Unit Turnaround log to include as a minimum:

- 1) Date the unit becomes vacant
- 2) Date the unit is assigned to maintenance or deferred to modernization
- 3) Date completed by maintenance and returned to occupancy
- 4) Date Leased
- 5) Total number of turnaround days
- 6) Total number of maintenance days exempted for capital fund or for other reasons.
- 7) Average number of calendar days units were in down time.
- 8) Average number of calendar days units were in make ready time.
- 9) Average number of calendar days units were in lease up time.

B. Develop a plan to address making viable units market ready. Include repairs and upgrades needed to meet current market standards. (See Performance Targets 4.2 and 7.1.)

C. Identify units that need to be deferred to modernization or demolished/disposed of.

D. Evaluate the feasibility of contracting vs. in-house vacancy prep by maintenance.

E. Complete all make ready work within 21 days.

F. Improve coordination between maintenance & management to:

- 1) Provide projected availability dates;
- 2) Schedule move-in inspection in a timely manner;
- 3) Prioritize vacant unit prep to ensure waiting list needs are met;
- 4) Notify applicants in a timely manner to minimize lease up time; and
- 5) Minimize downtime by notifying maintenance of vacancies promptly.

G. Submit an updated Vacant Unit Turnaround Log to Board/HUD.

4.4 Establish an accurate unit inventory and amend the ACC to agree with the actual number of units if necessary. [Reference: 24 CFR 990.101, 990.102, 990.109, 990.405; HUD Guidebook 7465.1]

A. Verify the number, unit address, development name, unit number, bedroom size, structure type, number of buildings on a site and number of sites in each development.

B. Compile and reconcile accurate accounting records of

total unit inventory.

C. Identify units no longer used for dwelling purposes (e.g. police substations, resident groups, management offices, businesses, nursing services, health centers, storage areas, undercover, mothballed units, demolished and temporarily boarded, etc.)

D. Identify units used as employee units and/or custodian/caretaker units.

E. Adjust (reconcile) all records/databases, (e.g. occupancy, accounting, maintenance) to show current use of all units

F. Develop a written system to track and monitor units used for non-dwelling and employee purposes. Include procedures for:

- 1) Assessing continued need.
- 2) Determining the need for units to be used for non-dwelling and employee purposes.
- 3) Requesting HUD approval to remove units used for non-dwelling and employee purposes from the rent rolls.
- 4) Requesting waivers of requirements governing operating subsidy for eligible units.

4.5 Develop and maintain waiting list in accordance with Admissions and Occupancy Policy. [Reference: HUD Guidebook 7465.1; Public Housing Reform Act of 1998]

A. Develop all application files in accordance with Admissions and Occupancy Policy.

B. Develop formal letter of eligibility/ineligibility.

C. Develop formal letter of offer for vacant units.

D. Develop transfer list in accordance to Admissions and Occupancy Policy.

E. Purge waiting list every twelve months.

4.6 Resolve legal and operational problems with existing dwelling lease. [Reference: 24 CFR 966.1-7]

A. Review/Revise dwelling lease; verify compliance with requirements of Public Housing Reform Act of 1998.

B. Provide families 30-day comment period.

C. Execute lease/Lease addendum with all adult members of household signing; provide 30-day notice of rent changes.

D. Enforce dwelling lease provisions.

4.7 Conduct Annual Re-exams in a timely manner. [Reference: 24 CFR 960.209, 990.113]

A. Develop tracking register for annual re-exams and inspections.

B. Coordinate and assemble application-reexamination packets.

C. Develop formal letter to include date and time of resident interviews, documentation required, date and time of annual inspection. Notify residents of interview time slots assigned.

D. Conduct interviews and review documentation submitted by residents and obtain "release of information," HUD-9886 form.

E. Mail "release of information" HUD-9886 forms to third party sources.

F. Log receipt of income verification forms and other documentation (i.e. assets, deductions) for each resident.

G. Assess all occupancy files for accuracy and required documentation.

H. Complete calculation of income, assets, and deductions; prepare lease addendum, HUD 50058s. Execute required documents, as applicable.

I. Provide 30-day notice of rent change.

4.8 Submit required reports to HUD on a timely basis (e.g. HUD Form 52295 (TAR), HUD Form 51234). [Reference: HUD Guidebooks 7465.1, 7475.1]

4.9 Improve MTCS reporting to at least at an 85% level. [Reference: 24 CFR Part 908; PIH Notice 2000-13 & 99-2]

A. Provide technical assistance and support for transmission of HUD Form 50058s (MTCS Report)

B. Pull Deficiency Report on the 10th of each month.

C. Reconcile Deficiency Report on submission of HUD Form 50058s and submit corrections as needed.

D. Submit request for Forbearance, as applicable.

4.10 HUD to provide Technical Assistance Training.

A. Basic Occupancy Training.

B. Administration of Housing Authority programs.

5. PROPERTY MAINTENANCE

5.1 Enhance staff qualifications and capabilities. [Reference: 24 CFR 5.701-705]

A. Assess maintenance employee skills and determine employee training needs.

B. Obtain and conduct training to enhance employee skills.

C. Provide training on REAC inspection procedures and standards.

5.2 Improve Work Order (WO) Performance. [Reference: 24 CFR 901.25, 902.43(a)(4)]

A. Correct or abate emergency WOs within 24 hours or less.

B. Complete all Non-Emergency WOs within an average of 30 days or less.

C. Complete all Vacancy Preparation WO's completed within an average of 21 days or less and ensure that UPCS or more stringent local standards are met.

D. Determine existing performance and establish standards of productivity for maintenance performance.

E. Develop and implement an effective quality control system for all aspects of maintenance.

F. Develop tracking log/system capable of tracking completed and open WOs. The log must continue to track all Work Orders deferred to Modernization through completion in the Modernization Program.

G. Evaluate feasibility of automated work order system.

H. Identify deficiencies and revise work order form. Form should, at a minimum, be sequentially numbered and

include:

- 1) Type;
- 2) Start date/time;
- 3) Complete date/time;
- 4) Cost;
- 5) Tenant charges;
- 6) Material use/cost.

I. Submit updated Work Order Log monthly to Board/HUD.

5.3 Improve Maintenance operations. [Reference: PIH Notice 97-36, 64 FR 33708 dated 6/23/99]

A. Develop a Maintenance Plan to include, as a minimum, the following:

- 1) WO Procedures.
- 2) WO Classifications (emergency vs. non-emergency etc.).
- 3) Schedule for Inspections of units, buildings, sites, and systems.
- 4) Inventory Controls.
- 5) Work Schedules.
- 6) Vacancy Preparation.
- 7) Scheduled Preventive Maintenance.
- 8) Service Contracts.
- 9) Purchase Order/Blanket Purchase Order.
- 10) Action plan relating to contracting vs. In-house.
- 11) Annual Maintenance Budget.
- 12) UPCS Inspection Criteria for buildings/systems.
- 13) Quality control procedures (inspections, quality of work, wrench time, etc.).
- 14) Cyclical maintenance schedule, to include curb appeal issues.

B. Implement the Maintenance Plan

C. Assess the effectiveness of the Maintenance Plan and adjust as needed.

5.4 Inspect all buildings, sites, and systems annually. [Reference: 24 CFR 901.30, 902.23, 902.43(a)(5)]

A. Identify all buildings, sites, and systems to be inspected according to the PHA's Maintenance plan.

B. Develop a systems inspection schedule.

C. Submit monthly report summary of progress to Board/HUD.

5.5 Improve Physical Condition score. [Reference: 24 CFR 901.30, 902.23, 902.43(a)(5)]

A. Analyze the most recent REAC Physical Condition inspection report to identify widespread deficiencies.

B. Develop and implement a plan to correct identified deficiencies.

C. Develop a plan to improve the condition and appearance of the building exteriors and sites (curb appeal).

D. Schedule a limited inspection of all developments to prepare for REAC inspection.

E. Report progress to Board/HUD.

5.6 Ensure 100% of dwelling units are inspected annually using UPCS and/or more stringent local code.

[Reference: 24 CFR 901.30, 902.23, 902.43(a)(5)]

A. Conduct an analysis and determine the most stringent inspection code (Federal (UPCS), state or local housing or occupancy code).

B. Develop standardized inspection form for dwelling units using UPCS and/or more stringent local code.

C. Ensure that quality control inspections are completed.

D. Ensure that work identified by the inspections is entered on the WO tracking log/system.

E. Develop a unit inspection schedule.

F. Address REAC PHAS inspection deficiencies and report progress to Board/HUD.

G. Submit monthly report of progress to Board/HUD.

5.7 Develop effective Inventory Control System for Maintenance. [Reference: HUD Guidebook 7510.1]

A. Standardize types of items, parts, supplies and equipment to the maximum extent possible.

B. Perform an annual physical inventory on all parts, supplies and equipment.

C. Establish a link between Work Order parts usage, tenant charges, cost controls, and accountability with Inventory Control System.

D. Evaluate the use of annual indefinite delivery/blanket purchase agreements which promotes cost savings. (See Performance Target 3-18)

E. Evaluate feasibility of automated inventory control system. (See Section 9, Management Information Systems)

F. Establish procedures for security of supplies; install hardware as necessary.

5.8 Improve communications between maintenance, other PHA departments, and residents. [Reference: HA Maintenance Plan]

A. Conduct weekly meetings between Maintenance Management and key maintenance staff for the purpose of discussing current maintenance issues, workload and conformance with maintenance plan, etc.

B. Assure Maintenance Supervisor attends weekly management staff meetings with ED and other key staff to present and discuss maintenance needs and performances.

C. Coordinate work identified through the inspection and WO system between the maintenance and capital fund staff.

D. Conduct resident meetings to educate them on HA maintenance procedures, capital improvements and life safety issues, such as maintaining smoke detectors in proper operating condition.

E. Report results of meetings in monthly status/progress reports.

6. RESIDENT SERVICES AND INITIATIVES

6.1 Increase customer satisfaction based on the results of the REAC Customer Satisfaction Survey. [Reference: 24 CFR Part 984; PIH Notice 93-23]

A. Analyze the results of the REAC survey to determine areas of weakness and strength.

- B. Develop a Follow-Up Plan to address identified weaknesses and build on strengths. Ensure the Plan includes the areas of Maintenance and Repairs; Communication; Safety; Services; Development Appearance; and Overall Satisfaction. Seek input from resident leadership & resident groups. Include a data collection process for on-going measurement of the level of customer satisfaction.
- C. Implement the Follow-Up plan.
- D. Prepare for and promote the next annual REAC Customer Satisfaction Survey.

6.2 Provide Technical Assistance to Resident Council Organizations. [Residence: PIH Notice 96-67]

- A. Facilitate formation of Resident Council; develop or revise by-laws as needed.
- B. Provide Technical Assistance to elected Resident Council Officers.
- C. Grant writing
 - 1) Grant program management (TOP, ROSS, etc.)
 - 2) Organizational skills
 - 3) Hope VI
 - 4) Section 3/MBE/FHEO/WBE
 - 5) Community outreach skills/networking
- D. Assist in identifying and obtaining other Training Opportunities for residents.
- E. Facilitate communication with other Resident Councils.
- F. Provide Technical Assistance on using LOCCS.

6.3 Improve communication between management and residents to improve customer satisfaction. [Reference: Public Housing Reform Act of 1998]

- A. Promote active resident organizations and activities encouraging a self sufficiency environment.
- B. Distribute information on current activities to all residents on an on-going basis and provide a copy to HUD. Update bulletin boards on monthly basis in all developments.
- C. Develop a process for effectively addressing and resolving correctable resident dissatisfaction items.
- D. Meet with resident leadership on a regular (e.g. monthly) basis.
- E. Provide monthly progress report to Board/HUD.

6.4 Increase involvement and participation by community service agencies. [Reference: Public Housing Reform Act of 1998]

- A. Survey residents to determine needs/wants for community services and survey community to determine what services are available.
- B. Establish partnerships with community entities such as colleges, churches, retailers, banks, foundations, civic groups, social service providers to provide services and/or in-kind contributions (space, funds, materials, staff time/expertise) for the benefit of PHA residents.

6.5 Improve accountability and effectiveness of resident related grants. [Reference: 24 CFR Part 984]

- A. Develop internal procedures which include Grant

requirements, documentation, and draw down responsibilities.

- B. Develop tracking system for each grant.
- C. Maintain an inventory of all equipment purchased under grants and the current status of equipment.
- D. Monitor grant activities to determine compliance with grant agreement, PHA procurement policies, and applicable laws and regulations.
- E. Report deficiencies to appropriate party.

6.6 Improve the rate of implementation of resident related grants. [Reference: 24 CFR Part 984]

- A. Obligate and expend grant funds in accordance with the established implementation schedule.
- B. Analyze any obstacles to timely implementation and take appropriate action:
 - 1) Revise grant activities if appropriate.
 - 2) Revise budgets if necessary.
 - 3) Take action against sub-grantees or contractors if necessary.
 - 4) Request HUD approval of actions as required.

6.7 Take appropriate action to close out old/completed resident related grant programs. [Reference: 24 CFR Part 984]

- A. Submit appropriate close out documentation to HUD.
- B. Include final cost certificate in next IPA audit.

6.8 Adopt a Board Resolution supporting Economic Uplift and Self Improvement programs for residents that includes programs currently in force. [Reference: 24 CFR Part 984]

6.9 Increase Economic Development and Self-Sufficiency opportunities for residents. [Reference: 24 CFR Part 984]

- A. Establish committee to coordinate the PHA's efforts.
 - 1) Include residents and community representatives on committee.
- B. Establish existing level of opportunities available to residents and determine current level of participation.
- C. Develop and implement a plan to increase opportunities and participation.
 - 1) Seek participation from community sources.
 - 2) Target resources (HUD and non-HUD).
 - 3) Improve and expand information dissemination.
 - 4) Improve life skills.
 - 5) Make referrals for counseling.
 - 6) Identify sources for low-cost day care.
 - 7) Identify sources for transportation.
- D. Develop a tracking system for accomplishments.

6.10 Resolve outstanding Family Self-Sufficiency program issues.

- A. Resolve any outstanding Audit findings.
- B. Identify all program participants.
- C. Verify complete contract file for each participant.

- D. Reconcile escrow accounts to contracts.
- E. Recapture funds remaining in accounts for participants who have left the program prior to completion.
- F. Pay legitimate claims under FSS Contracts in a timely manner.
- G. Establish necessary documentation for continuing participants; re-negotiate and extend contracts as appropriate.
- H. Establish internal procedures to ensure proper execution of the program.

6.11 Improve effectiveness of HOPE VI CSSP as appropriate. [Reference: 24 CFR 970, PIH Notice 99-19]

- A. Resolve any outstanding findings.
- B. Comply with implementation schedule in approved HOPE VI Implementation Plan.
- C. HUD will provide TA in developing new CSSP for HOPE VI applications.

7. CAPITAL FUNDS (MODERNIZATION)

7.1 Improve the physical condition and long-term viability of the developments. [Reference: 24 CFR 968.315, 903.1-11]

- A. Conduct a comprehensive physical needs assessment by development.
- B. Evaluate, prioritize and develop the five year action plan to include the comprehensive physical needs assessment.
- C. Determine viability of all public housing developments for continued use as public housing.
- D. Incorporate the results in the PHA Annual and Five Year Plans.

7.2 Improve the management capacity of the Authority. [Reference: 24 CFR 968.315, 903.1-11]

- A. Use data from Sections 2 & 9 to establish management improvement needs.
- B. Evaluate, prioritize and develop the five year action plan to include the management needs assessment.
- C. Coordinate eligible training programs with available funds.
- D. Evaluate the feasibility of hiring a Modernization Coordinator.
- E. Incorporate the results in the PHA Annual and Five Year Plans.

7.3 Improve the timely obligation of capital funds. [Reference: 24 CFR 901.15(b)]

- A. Obligate funds within approved Implementation Schedules.
- B. Determine appropriateness of contract vs. force account labor for obligation purposes.

7.4 Improve the timely expenditure of capital funds. [Reference: 24 CFR 901.15(a)]

- A. Expend funds within approved Implementation Schedules.

- B. Submit final Actual Modernization Cost Certificate (AMCC) to HUD.
- C. Close out all completed modernization programs pending final audit.

7.5. Improve the Quality of Physical Work. [Reference: 24 CFR 85.36]

- A. Establish quality control to insure compliance with Construction Contract documents to include contract monitoring and periodic construction inspections.
- B. Establish periodic (weekly, monthly, etc.) progress meetings with Contractor and A/E.

7.6. Improve effectiveness of Construction contract administration procedures. [Reference: 24 CFR 968.135]

- A. Develop a system to schedule pre-construction conferences, notice to proceed, and contract work.
- B. Complete procurement in accordance with Procurement Policy and 24CFR 85.36. (See also Performance Target 3.18.)
- C. Identify Contracting Officer and Contracting Officer Representative(s).
- D. Develop a Daily Log to document construction work activities.
- E. Comply with Davis Bacon requirements and/or prevailing wage rate requirements.
- F. Submit proper close-out documentation for construction contracts.
- G. Conduct final Inspection, complete of Punch-list items and issue Notice of Acceptance.
- H. Obtain Warranties and product information manuals; provide copies to Maintenance Department.
- I. Complete and submit Contractor's Certificate of Completion and Release.
- J. Maintain all contract files in an orderly and retrievable manner.

7.7 Establish more effective budget controls and capital fund tracking procedures. [Reference: 968.320, 902.43(a) (2)]

- A. Assure proper authorization and training of personnel accessing LOCCS.
- B. Develop an effective capital fund tracking procedure.
- C. Submit P&E/semi-annual progress reports on a timely basis.
- D. Update obligations & expenditures quarterly and call into LOCCS.

7.8 Address and clear all Modernization findings and observations from previous reviews, audit findings, court orders, HUD reviews, and COE findings/deficiencies. [Reference: 24 CFR 85.40]

- A. Develop a schedule/plan for resolving findings.
- B. Report status and methods of resolution in monthly status/progress reports to HUD.

7.9 Comply with ADA/Section 504 requirements.

[Reference: 24 CFR 968.110(a); PIH Notice 99-52]

- A. Develop/update Self Assessment, Needs Assessment and Transition Plan(s).
- B. Report progress on implementation of Transition Plan.
- C. Comply with existing Voluntary Compliance Agreement (VCA), where applicable.

7.10 Comply with HUD Notice 99-11 requirements regarding hard-wired smoke detectors/sprinkler systems.

[Reference: PIH Notice 99-11]

- A. Report on deficiencies to HUD
- B. Report status and methods of resolution in monthly status/progress reports to HUD.

7.11 Comply with lead based paint (LBP) and asbestos abatement requirements. [Reference: 24 CFR 965.701-711]

- A. All LBP Testing should be completed.
- B. Family units testing positive for LBP should have abatement plans.
- C. Abate asbestos as required.
- D. Include scheduled abatements in Maintenance Plan or Capital Funds programs.
- E. HUD to provide Technical Assistance as required.

7.12 Comply with energy audit requirements. [Reference: 24 CFR 965.302]

- A. Incorporate results of Energy Audit in five year plan.
- B. Determine feasibility of Energy Performance Contracting.
- C. HUD to provide Technical Assistance as required.

7.13 Comply with environmental requirements.

[Reference: 24 CFR Part 50]

- A. Update Environmental Assessment Annually.
- B. Incorporate results of environmental assessment in five year plan.
- C. HUD to provide Technical Assistance as required.

7.14 Reduce the findings and risk of findings in the administration of capital funds programs. [Reference: 24 CFR 85.36; HA Procurement Policy]

- A. Develop effective contract administration procedures for the Architect-Engineer (A/E).
- B. Comply with Procurement Policy and CFR 85.36.
- C. Establish periodic (Weekly, monthly, etc.) progress meetings with A/E & PHA.
- D. Establish quality control(s) during preparation and development of Construction Contract Documents.
- E. Develop effective PHA procedures for administering the A/E contract. (See Performance Target 3.18)
- F. Monitor compliance with A/E Contract/Agreement.

7.15 Coordinate/communicate regarding modernization activities with PHA staff and residents. [Reference: 24 CFR 968.125, 901.13, 902.43(a)(2)]

- A. Conduct cross functional meeting as appropriate.

- B. Report status and methods of resolution in monthly status/progress reports to HUD.

7.16 Encourage use of MBE/WBE, Section 3, and/or Resident hiring in Construction Contracts. [Reference: 24 CFR 135.30-40, 85.36e; HUD Guidebook 7401.1]

- A. Develop a schedule/plan for resolving findings.
- B. Report status and methods of resolution in monthly status/progress reports to HUD.

7.17 Evaluate the need for HOPE VI and/or demolition and request funds, if applicable. [Reference: 24 CFR 970; PIH Notice 99-19]

- A. Ensure timely obligation of Hope VI funds
- B. Ensure timely expenditure of Hope VI funds
- C. Ensure Quality of Physical Work
- D. Develop effective Construction contract administration procedures.
- E. Establish effective budget controls and Hope VI fund tracking procedures.

8. SECURITY

8.1 Reduce crime and improve the quality of life in the PHA's developments. [Reference: Public Housing Reform Act of 1998; 24 CFR Part 84 & 761]

- A. Assess the security needs of all developments.
 - 1) Identify physical security needs (e.g. alarms, fencing, barriers, etc.)
 - 2) Identify risk for domestic violence, youth at risk, etc.
 - 3) Identify need for security patrols or surveillance.
- B. Evaluate the effectiveness of Police Services provided by local Law Enforcement Agency.
 - 1) Identify services provided under the Cooperation Agreement.
 - 2) Identify services funded by PHDEP.
- C. Evaluate present PHA Security Staff and determine if additional Security Officers are needed to enhance security and safety in public housing.
- D. Develop a security program for each development with input from residents and local law enforcement agencies.
- E. Implement the security program.
- F. Evaluate the effectiveness of the security program and modify as appropriate.

8.2 Establish and maintain awareness of security issues. [Reference: Public Housing Reform Act of 1998]

- A. Develop a system of communication which will enable the PHA to be aware of all law enforcement services active in its communities.
- B. Board to adopt resolution for tracking crime and crime related problems.
- C. Develop system for tracking and reporting crime.
 - 1) Periodically obtain a report of crimes and incidents reported to local Law Enforcement. Report should be organized by development.

- 2) Use the reports to adjust security strategies as needed.

D. Submit reports monthly to Board/HUD.

8.3 Evaluate the effectiveness of applicant screening procedures in reducing crime. [Reference: Public Housing Reform Act of 1998]

- A. Establish procedures for obtaining FBI criminal records in accordance with PIH notice 98-20.
- B. Update background checks older than 90 days prior to accepting/offering a unit to new applicants.
- C. Develop tracking log for ineligible applicants with criminal history.

8.4 Evaluate the effectiveness of lease enforcement in reducing crime. [Reference: Public Housing Reform Act of 1998]

- A. Establish procedure to track lease enforcement resulting from One Strike Policy and other security related lease violations.
- B. Use the information from incident reports to document security related lease violations and enforce the lease.

8.5 Pursue non-HUD funded programs to foster drug prevention and crime reduction. [Reference: 24 CFR Part 84 & 761]

- A. Identify potential non-HUD funded programs.
- B. Apply for, or establish partnerships with, non-HUD funded programs.
- C. Develop a tracking system.
- D. Periodically evaluate the effectiveness of funded programs.

8.6 Reduce the number of unregistered and non-resident vehicles in PHA developments. [Reference: Public Housing Reform Act of 1998]

- A. Develop and implement a Vehicle Identification Program.
 - 1) Consult with Resident organizations and local law enforcement.
 - 2) Implement during the Re-examination process and for new admissions.
- B. Contract (in accordance with PHA's procurement policy) with towing company to remove designated vehicles.
- C. Coordinate implementation with local law enforcement.

8.7 Reduce the number of disruptive incidents caused by non-residents. [Reference: Public Housing Reform Act of 1998]

- A. Develop and implement a Trespass/Loitering Policy with input from residents and law enforcement agencies.
- B. Coordinate implementation with residents and law enforcement agencies.

9. MANAGEMENT INFORMATION SYSTEMS (MIS)

9.1 Resolve problems with existing MIS.

- A. Identify party responsible for MIS planning and development.
- B. Resolve existing reporting problems.
- C. Verify data integrity.
- D. Establish appropriate internal controls to ensure data integrity.
- E. Train staff on existing MIS capabilities and features.
- F. HUD will provide Technical Assistance as needed.

9.2 Establish PHA capability for electronic record keeping and transmission of required reports.

- A. Identify party responsible for MIS planning and development.
- B. Identify current requirements (hardware, software, connectivity), or other locally available alternatives.
- C. Estimate resources required and source of funding.
- D. Procure and install appropriate system, in accordance with PHA procurement policy.
- E. Train staff on new system.
- F. HUD will provide Technical Assistance as needed.

9.3 Position PHA to conduct business electronically.

- A. Identify party responsible for MIS planning and development.
- B. Forecast requirements for the next three years. Include standard office software, e-mail, LAN/WAN, and Internet access in addition to need for proprietary software.
- C. Estimate resources (funds, manpower) needed to meet hardware, software, and connectivity requirements.
- D. Identify source of funding for each requirement.
- E. Estimate training requirements for new systems.
- F. Procure (in compliance with PHA procurement policy) and install the system.
- G. Train staff on new system.
- H. HUD will provide Technical Assistance as needed.

9.4. Resolve problems with PHA access and use of HUD systems.

- A. Determine PHA access needs and status.
- B. Obtain appropriate passwords, IDs, guidebooks.
- C. Provide technical assistance and training on HUD systems.