

Appendix A: PHA Survey Instrument

A.1. Survey Instructions

This survey consists of five sections that ask a series of questions about your public housing agency’s (PHA) capital needs and how you conduct and use Physical Needs Assessments (PNAs) or Capital Needs Assessments (CNAs). Capital needs are defined as the cumulative backlog, current, and future costs of the repair or replacement of building site, structure, fixtures, or components, *excluding routine maintenance*. While we *strongly* encourage you to complete as many sections as possible, we understand that in some cases only specialized PHA staff may be able to answer specific sections. There are two questions that request uploading files. The first is a request for all recent PNAs. The second is for uploads of your procedures manual or documentation used in hiring a contractor. Please be prepared to share the files as part of the survey response. Please select which sections you will answer and which sections you would like us to pass along to someone else:

Capital Needs Assessment Survey		
I - Verification of Public Housing Portfolio; Upload documents	Total units administered, total public housing units and developments, and project-based voucher developments owned and/or directly managed by the PHA.	Complete myself/pass along
II- Estimates of Capital Needs & Estimation Practices, including data uploads. Regulatory and statutory barriers.	Estimates of PHA capital needs, areas of greatest need, and additional sources of funding. Current approach to estimating capital needs and who conducts PNAs or CNAs for your PHA. Describe regulatory and/or statutory barriers your PHA faces in meeting its capital needs, other than its capital funding.	Complete myself/pass along
III - Opinions about Capital Funding and PNAs	Best practices in estimating capital needs.	Complete myself/pass along
IV - Capital Needs Related to Lead-Based Paint and Broadband	Questions about approaches to dealing with lead-based paint and internet access.	Complete myself/pass along
V – Closing Section	Final question to allow for an open comment if something important was missed in the rest of the survey.	Complete myself/pass along
Survey Glossary	Defines terms use throughout the survey	

[For each section that is passed along, ASK]

Could you provide contact information for the person we should contact about [insert section name]?

_____ [specify Name]
 _____ [specify Email]
 _____ [specify Phone Number]

Navigation

To navigate within each section, use the forward and back arrows to move between pages. At the top of each page there is a “HOME” button that will take you to the opening page of the section.

Each section is independent and does not need to be accessed or completed in order.

The HOME page also has a “COMPLETE AND SUBMIT” button that will bring up any skipped questions and allow you to submit responses. This allows specialized staff to go straight to questions that they need to answer and to submit the section.

Please answer all the questions. Some questions may contain follow-up questions. You may skip questions and pass them along for someone else to answer, but you will be prompted to answer any skipped questions before you can submit the section.

To submit responses to each section, click on the “SUBMIT” button on the last page of the section. You will be prompted to answer any skipped questions before your responses are finalized.

Glossary and Help

At the top of each page there is a “HELP” button that will bring up these survey instructions and the survey glossary. Some key terms will also be defined within the survey. For additional help with the survey, please call **XXXX** or email us at **XXXX**.

I. Verify PHA Information and Upload Files

1. Please provide contact information for the point of contact (POC) at your PHA who is answering this survey:
 - a. POC Name.
 - b. POC Title.
 - c. POC Phone number.
 - d. POC email.
2. Please confirm that the number of developments at your PHA is [*prefilled number*].
 - a. [If not correct, please share the correct number: ___]
3. Please confirm the number of public housing units at your PHA is [*prefilled number*].
 - a. [If not correct, please share the correct number: ___]
4. PNAs can include green physical needs assessments, physical conditions assessments, or any other document you use to estimate the current and future capital needs of all your public housing developments.
 - a. How many of your developments do you have a PNA for? *Answer: number.*
5. For each public housing development that has a PNA or similar assessment, please upload a copy of the most recent document. Please include the year of the assessment.

Answer: Browse/Upload button.

6. Who conducts and prepares your PHA’s PNA(s)? *Answer: Select one.*
- PHA employees (in-house).
 - Consultant(s) working under the direction of the PHA.
 - A contracted architectural, engineering, or management firm. [Skip to Q.Y [about RFP or other documentation of the process]
 - Other (specify).
7. If you have a procedures manual for your PNA process, please upload a copy.
Y/N if NO go to Q8 (immediately below about typing out process)
Answer: Browse/Upload button
[Skip to Q about capital fund after answering.]
8. Provide a brief, step-by-step outline of how your PHA conducts its PNA.
Answer: Text input box (approximately 500–1,000 characters).
9. Please upload a copy of the RFP or other documentation used to procure the contract.

II. Estimates of Capital Needs

10. Please confirm this is your PHA’s annual Capital Fund subsidy from [YEAR]?
[prefilled number]
11. If the subsidy amount in the previous question was incorrect, what is your PHA’s most recent annual Capital Fund subsidy?
a. Answer: dollar input.
12. Please provide an estimate of your PHA’s annual total capital needs (dollar amount) for public housing.
a. Answer: Dollar input.
13. Does your PHA utilize other funding to help meet the capital needs of its public housing?

Outside Funds	Source	Estimated Amount
None		
Grant funds	Specify: _____	Est. Amount: _____
Public debt	Specify: _____	Est. Amount: _____
Private debt	Specify: _____	Est. Amount: _____
Guaranteed debt	Specify: _____	Est. Amount: _____
Private donations/ fundraisers	Specify: _____	Est. Amount: _____
Other	Specify: _____	Est. Amount: _____

14. Does your PHA prepare single PNAs for each public housing development, a combined PNA for all public housing developments in total, or a combined PNA for only some public housing developments? *Answer: Select one.*
- Single PNA.

- b. Combined PNA for all developments.
 - c. Combined PNA for some but not all developments.
 - d. Other. Specify: _____
15. How often does your PHA conduct a PNA? *Answer: Select one.*
- a. Every 1–5 years.
 - b. Every 6–9 years.
 - c. Every 10 years.
 - d. Less frequently than every 10 years.
 - e. Irregularly or only when necessary (for example, for outside funding or major construction)
 - f. Never.
 - g. Other. Specify: _____
16. What methodology does your PHA use to conduct PNAs? *Answer: Select one.*
- a. HUD’s CNA e-Tool. [*Skip to Q18*]
 - b. HUD’s PNA tool or methodology developed by your state’s housing finance agency.
 - c. A tool or methodology developed by an outside consulting firm.
 - d. A tool or methodology developed in-house.
 - e. Other.
17. Please provide the name of the tool or methodology used to conduct your PNA:
- a. Text: _____
18. To what extent does your PNA methodology include in-unit inspections? *Answer: Select one.*
- a. No in-unit inspections.
 - b. Limited in-unit inspections (fewer than 10% of all units).
 - c. Moderate in-unit inspections (10% to 25% of all units).
 - d. Extensive in-unit inspections (more than 25% of all units).
 - e. Do not know.
 - f. Other. Specify: _____
19. To what extent does your PNA methodology cover the capital needs for all building systems and components? *Answer: Select one.*
- a. All building systems and components.
 - b. Most building systems and components.
 - c. Selected building systems and components.
 - d. No requirement specified for building systems and components.
 - e. Do not know.
 - f. Other. Specify: _____
20. To what extent does your PNA methodology use standardized cost assumptions based on current and local costs? *Answer: Select all that apply.*
- a. Uses standard cost factors.
 - b. Uses current costs.

- c. Uses local costs.
 - d. No cost standards are specified.
 - e. Don't do PNAs/not done since accepted the position
 - f. Other. Specify: _____
21. To what extent does your PNA methodology estimate current capital needs and estimate future capital needs? *Answer: Select all that apply.*
- a. Estimates critical capital needs, such as correcting health and safety deficiencies, that should be addressed immediately.
 - b. Estimates short-term capital needs, including deferred maintenance, that should be addressed by next year if possible.
 - c. Estimates long-term capital needs for the next 5 years.
 - d. Estimates long-term capital needs for the next 10 years.
 - e. Estimates long-term capital needs for the next 20 years.
 - f. Estimate long-term capital needs beyond 20 years.
 - g. Do not know.
 - h. Other. Specify: _____
22. How do you use your public housing PNA(s)? *Answer: Select all that apply.*
- a. For planning.
 - b. For budgeting.
 - c. For financing.
 - d. For reporting.
 - e. Other. Specify: _____

III. Opinions about Capital Funding and PNAs

23. Is HUD's current definition* of "capital needs" inclusive of the capital needs related to your development(s)? *Answer: Select one.*
- a. Yes
 - b. No.
 - c. Don't know.

*Capital Needs Definition - Needs associated with the development, financing, and modernization of public housing projects, including the redesign, reconstruction, and reconfiguration of public housing sites and buildings the development of mixed-finance projects. Eligible activities include: modernization, development, financing, vacancy reduction, nonroutine maintenance, planned code compliance, and/or management improvements. (24 CFR Part 905, with Section 200)

24. Please provide any additional information to contribute to the definition of "capital needs" below:

Text response _____

25. Do you agree with the following statement:
 "My PHA's capital funding is adequate to meet the time and resource demands associated with PNA processes."
Answer: Select one.
- a. Yes.

- b. No.
 - c. Don't know.
26. What are your PHA's three areas of greatest need of capital funding based on the PNA Tool? *Answer: Select three.*
- a. Site.
 - b. Building exterior.
 - c. Building system.
 - d. Common areas.
 - e. Unit.
 - f. Replacement.
 - g. Refurbishment.
 - h. Sustainability.
 - i. Marketability.
 - j. Accessibility.
 - k. Bath.
 - l. Exterior wall.
 - m. Kitchen.
 - n. Roof.
 - o. Window.
27. What are your PHA's three areas of greatest need of capital funding **not covered** by the PNA tool? *Answer: Select three.*
- a. New construction.
 - b. Reconfiguration
 - c. General upgrades
 - d. Plumbing/sewage systems.
 - e. Utility systems.
 - f. Energy conservation and modernization.
 - g. Computer and/or Internet access/connectivity
 - h. HVAC.
 - i. Pest control.
 - j. Mold control.
 - k. Radon/toxic chemical mitigation.
 - l. Damage repair (for example, from natural disasters, fire, tenant damage).
 - m. Upgrades for accessibility.
 - n. Inspections – in-house.
 - o. Inspections – contractual.
 - p. Maintenance – in-house.
 - q. Maintenance – contractual.
 - r. Underground structures (parking).
 - s. Risk mitigation—natural disasters.
28. Would PHAs benefit from developing 10-year recapitalization plans in addition to PNAs? *Answer: Select one.*

- a. Would benefit from both.
- b. Wouldn't benefit from either.
- c. PNA only.
- d. Recapitalization plan only.
- e. Don't know.

29. Please provide any additional comments about recapitalization plans:

Text response _____

30. Please list and rate on a scale of 1 to 4 any regulatory or statutory barriers (other than capital funding) to meeting your PHA's capital needs, where 1 is a modest barrier and 4 is the most severe barrier. Examples of such barriers may include Capital Fund regulations, tenant relocation requirements, fair housing requirements, energy efficiency standards, American Disability Act requirements, local zoning standards, and/or environmental regulations.

Barrier	Ranking			
Statutory Barrier 1	1	2	3	4
Statutory Barrier 2	1	2	3	4
Statutory Barrier 3	1	2	3	4
Regulatory Barrier 1	1	2	3	4
Regulatory Barrier 2	1	2	3	4
Regulatory Barrier 3	1	2	3	4

31. Please provide a brief explanation on how these barriers limit your PHA's ability to meet its capital needs, including interactions with funding limitations (for example, raising costs), and impacts on planning and capital needs prioritization

- a. *Answer: Text input box (approximately 500–1,000 characters).*

IV. Capital Needs Related to Lead-Based Paint and Broadband

32. For properties that have lead-based paint, we would like to know how you determine whether any paint, and if so, how much paint, will be disturbed during a housing maintenance or rehabilitation project that involves lead-based paint.

Specifically, do you look at lead paint inspection or risk assessment reports, or do you presume that all paint in the work area is lead paint?

- a. We look at the reports.
- b. We presume the paint is lead paint.
- c. This question does not apply to us because none of our properties have lead paint.
- e.

33. How and where do you document paint-disturbing activities for housing maintenance or rehabilitation work orders that involve paint that is lead paint or might be lead paint?

- a. The property management staff records lead-related maintenance or rehab projects with each work order.

- b. The maintenance staff records whether maintenance or rehab projects at the unit level are lead related.
 - c. Lead activity is not recorded in the documentation of maintenance or rehab activities.
34. Is public or private internet access/connectivity present in any developments? *Answer: Select one.*
- a. Yes, free and private access present
 - b. Yes, private access present only
 - c. No
35. If free internet access is present, is it wireless? *Answer: Select one.*
- a. Yes
 - b. No
 - c. N/A – (no internet access)

V. Closing Section

36. Thank you for taking the time to participate in this study. If there is anything else you would like to share about the PNA process or something important that we missed, please share it below.
- a. *Open text field.*

[Closing thank you message. Option to include contact information for Econometrica and/or HUD.]

A.2. Letter to PHA Survey Participants

[Letter to be sent on HUD Letterhead]

Dear XXXX,

The U.S. Department of Housing and Urban Development (HUD) has asked Econometrica, Inc., a research organization, to conduct an assessment of the capital needs of public housing authorities (PHAs). The purpose of this study is to:

1. Estimate the capital needs of HUD's public housing portfolio.
2. Assess how well HUD's data can be used for this purpose.
3. Determine if a different approach than used in the past studies can yield results as good, if not better.

As part of this study, we will survey PHAs on their current approaches to estimating their capital needs. The responses to this survey are extremely important and will provide details to HUD that can inform policies and develop best practices for measuring and addressing capital needs of HUD's public housing portfolio.

This survey is not an evaluation of you or your organization. These responses will only be used for research purposes and will **not** be used for compliance. The results will be reported in aggregate and include responses from other PHAs. Responses from PHAs will be kept confidential, per 5 CFR 1320.8(b)(3). HUD will receive a copy of the survey responses with all personally identifying information removed, including PHA identifiers. Participation in this survey is completely voluntary.

You will be receiving an email inviting you to participate in this effort and explaining more about the survey. The survey should take approximately 45 minutes to complete. I hope you will take the time to help us in this important effort.

If you have questions about the survey or the study, please contact Mark Reardon, Program Analyst with HUD's Office of Policy Development and Research and the point of contact for this study, at (202) 402-2133 or Mark.A.Reardon@hud.gov, or Dennis Stout, Econometrica's Project Director, at (240) 204-5155 or DStout@EconometricaInc.com.

We greatly appreciate your time.

Sincerely,

[[Signature]]

Name

Title

HUD may not conduct or sponsor, and a person is not required to respond to, a collection of information unless it displays a currently valid OMB control number. This survey was approved by the Office of Management and Budget (OMB). The OMB control number is 2528-XXXX **and expires on x.**

A.3. Email to PHA Survey Participants

Dear XXXX,

The U.S. Department of Housing and Urban Development (HUD), in partnership with Econometrica, Inc., a research firm, recently sent your organization a letter asking you to participate in a survey regarding your agency's public housing capital needs.

The survey should take approximately 45 minutes to complete; we ask that you submit your responses by **[DEADLINE]**.

[Click here to take the survey.](#)

This survey will inform a broader study assessing:

1. The capital needs of public housing.
2. How well HUD's data can be used for this purpose.
3. How an approach using HUD and other public data sources can yield reliable and valid results.

The responses to this survey are extremely important and will provide details to HUD that can inform policies and develop best practices for measuring and addressing capital needs of the public housing stock. As a reminder, **this survey is not an evaluation of you or your organization**, and your responses will be used for research purposes only. The results of the survey will be reported in aggregate and will include responses from other PHAs. Responses from PHAs will be kept confidential per 5 CFR 1320.8(b)(3). HUD will receive a copy of the survey responses with all personally identifying information removed, including PHA identifiers. Participation in this survey is completely voluntary.

If you have questions about the survey or the study, please contact Mark Reardon, Policy Analyst with HUD's Office of Policy Development and Research and the point of contact for this study, at (202) 402-2133 or Mark.A.Reardon@HUD.gov, or Dennis Stout, Econometrica's Project Director, at (240) 204-5155, or DStout@EconometricaInc.com.

We hope that you will participate and answer these critical research questions. We greatly appreciate your time.

Sincerely,

Name
Title

HUD may not conduct or sponsor, and a person is not required to respond to, a collection of information unless it displays a currently valid OMB control number. This survey was approved by the Office of Management and Budget (OMB). The OMB control number is 2528-XXX **and expires on X.**

[To opt out of future emails for this survey, send an opt-out email here.](#)

A.3. Reminder Email to PHA Survey Participants

Dear XXXX,

The U.S. Department of Housing and Urban Development (HUD), in partnership with Econometrica, Inc., a research firm, recently sent you an email asking you to participate in a survey regarding your agency's public housing capital needs. If you or another member of your agency has already completed the survey, please accept our sincere thanks.

The survey should take about 45 minutes to complete; we ask that you submit your responses by **[DEADLINE]**.

[Click here to take the survey.](#)

This survey will inform a broader study assessing:

1. The capital needs of public housing.
2. How well HUD's data can be used for this purpose.
3. How an approach using HUD and other public data sources can yield reliable and valid results.

The responses to this survey are extremely important and will provide details to HUD that can inform policies and develop best practices for measuring and addressing capital needs of the public housing stock. As a reminder, **this survey is not an evaluation of you or your organization**, and your responses will be used for research purposes only. The results of the survey will be reported in aggregate and will include responses from other PHAs. Responses from PHAs will be kept confidential per 5 CFR 1320.8(b)(3). Participation in this survey is completely voluntary.

If you have questions about the survey or the study, please contact Mark Reardon, Program Analyst with HUD's Office of Policy Development and Research and the point of contact for this study, at (202) 402-2133 or Mark.A.Reardon@hud.gov, or Dennis Stout, Econometrica's Project Director, at (240) 204-5155, or DStout@EconometricaInc.com.

We hope that you will participate and answer these critical research questions. We greatly appreciate your time.

Sincerely,

Name

Title

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To opt out of future emails for this survey, send an opt-out email here.