

EXECUTIVE GUIDE

- 1. Monitoring of a PHA should be a planned approach. The plan should be carefully coordinated in order to maximize the effectiveness of the monitoring review. The process should be planned around a specific schedule which clearly outlines tasks and time frames.
 - a. Several factors should be considered when scheduling and/or planning a monitoring review. These include:
 - (1) The availability of travel funds for monitoring purposes;
 - (2) Whether travel will serve multiple purposes, such as conducting concurrent monitoring of a PHA with other functional areas;
 - (3) The availability of Assisted Housing Management Branch (AHMB) staff and the overall AHMB workload, particularly when monitoring large PHAs;
 - (4) Estimated AHMB staff and time required to complete the monitoring reviews (includes in-office review, on-site visit and Final Report preparation);
 - (5) PHAs that were required during the current program year to submit plans on the status of actions taken to correct previous monitoring findings or findings resulting from other program reviews;
 - (6) PHAs that are scheduled for Title VI Compliance Reviews. The FHEO/PHA Title VI Compliance Review List is provided to the Field Office AHMB by Regional Fair Housing and Equal Opportunity (FHEO) during the first month of each Federal Fiscal Year; and
 - (7) High risk PHAs such as large Troubled PHAs or problematic PHAs as identified during the Annual Performance Review.
 - b. The executive guide offered in this Appendix includes the criteria which constitute a good review and is designed for use by Housing Management Specialists (HMSs), Branch Chiefs and Division Directors to effectively track monitoring reviews throughout the entire monitoring process.

1. Annual update of the PHA Performance Profile, completed within 60 days of the beginning of the PHA's fiscal year?

a. Date Profile completed: _____

b. Performance Standards and/or other factors failed: _____

c. Is the PHA a high risk PHA?

d. Is the PHA a Troubled PHA?

(1) Has the Memorandum of Agreement been executed?

(2) Date: _____

e. Is the PHA a decontrolled PHA?

f. Review scheduled? Proposed date: _____

g. Proposed functional area(s) to be reviewed:

h. Other areas to be reviewed based on complaints received by the Field Office or media coverage (i.e., concerns related to crime and/or illegal drug activities)?

2. Initial PHA notification of on-site review?

a. Date of notification: _____

b. PHA encouraged to perform internal analysis?

3. In-office preparation?

a. Review PHA Performance Profile?

b. Review other information available?

(1) Review most recent management review?

APPENDIX 20

TASK	YES	NO
(2) Review most recent maintenance review?	<input type="checkbox"/>	<input type="checkbox"/>
(a) Project engineering survey?	<input type="checkbox"/>	<input type="checkbox"/>

- (b) Maintenance operations review?
- (3) Review most recent utility review?
- (4) Review most recent occupancy audit?
- (5) Review most recent Inspector General audit?
- (6) Review most recent civil rights review?
- c. Review PHA's actual expenses on a PUM for each budget line item?
- d. Review income from all sources?
- e. Analyze ratio of administrative and maintenance employees to units?
- f. Analyze the impact of outside contracting (if any) on these ratios?
- g. Review project-by-project expenses?
- h. Review internal PHA reports?
- i. Contact other disciplines within the Field Office?
- (1) Financial Analyst?
- (2) General Engineer?
- (3) Community Planning and Development?
- (4) Fair Housing and Equal Opportunity?
- (5) Regional Contracting Officer?
- (6) Modernization Coordinator?
- (7) Office of General Counsel?
- (8) Economic and Market Analysis Division?

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- | TASK | YES | NO |
|----------------------------------|--------------------------|--------------------------|
| (9) Office of Inspector General? | <input type="checkbox"/> | <input type="checkbox"/> |
| j. Examine Appendix 22? | <input type="checkbox"/> | <input type="checkbox"/> |

- k. Contact local government officials? ___ ___
- l. Review Appendix 23? ___ ___
- 4. Additional information requested from the PHA? ___ ___

- 5. Final preparatory steps completed? ___ ___
- a. Identification of functional area(s) to be examined on-site? _____ ___ ___

- b. Review team: _____

- c. Team leader: _____
- d. Review date: _____
- e. Logistical and procedural aspects discussed? ___ ___
- 6. Final PHA notification? Date of notification: _____ ___ ___

- 7. Entry meeting held? Date: _____ ___ ___
- a. HUD staff in attendance: _____

- b. PHA staff in attendance: _____

- c. Board/Chairman in attendance: _____

- d. Tenant representative(s) in attendance: _____

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- | TASK | YES | NO |
|--|-----|-----|
| e. Other participant(s) in attendance: _____

_____ | | |
| 8. Team meetings held? Date: _____
Date: _____ Date: _____ | ___ | ___ |

Date: _____ Date: _____

9. Other meetings attended or held? _____

a. Board of Commissioners meeting? _____

Date: _____

b. Tenant's organization meeting? _____

Date: _____

c. With local officials? _____

Date: _____

d. Other meetings? _____

Date: _____

10. Closeout meeting held? Date: _____

a. HUD staff in attendance: _____

b. PHA staff in attendance: _____

c. Board/Chairman in attendance: _____

d. Tenant organization(s) in attendance: _____

e. Other participant(s) in attendance: _____

11. Delayed closeout meeting scheduled? _____

Date: _____

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TASK YES NO

12. Verbal concurrence obtained from AHMB Chief to allow the PHA to take corrective action on appropriate findings? Date: _____

13. Recommendation to PHA to include all applicable performance standards' duties and/or responsibilities in the responsible staff member's position description and incorporate the accomplishment of objectives as elements in his/her performance evaluation? _____

14. Discussion of findings with other Field Office staff? _____
15. Findings prioritized? _____
16. Action Plan requested? _____
17. Performance goals developed? _____
18. Final Report transmitted within 30 calendar days from the closeout date of the review to the PHA? _____
Date transmitted: _____
- a. Final Report transmitted within 45 calendar days from the closeout of the review to the PHA? Date transmitted: _____
- b. Final Report transmitted to the Board Chairman? Date transmitted: _____
- c. Final Report transmitted to the Chief Executive Officer of local government? Date transmitted: _____
19. Report transmitted within HUD? _____
- a. To Regional Administrator? Date transmitted: _____
- b. To Headquarters? Date transmitted: _____
- c. To Office of Regional Inspector General for Audit? Date transmitted: _____
- d. To Field Office FHEO Division Director? Date transmitted: _____

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- | TASK | YES | NO |
|--|-------|-------|
| 20. Report released to the public or news media?
Date released: _____
Released to: _____ | _____ | _____ |
| 21. Action Plan submitted? Date of Action Plan: _____
Date received: _____ | _____ | _____ |
| 22. Field Office reviewed Action Plan? | _____ | _____ |
| a. Response sent to PHA? Date: _____ | _____ | _____ |
| b. Copy of Plan and response sent to Regional Public Housing Director? Date: _____ | _____ | _____ |

23. Action Plan revision(s)? _____

a. Date of revision #1: _____
Date received: _____

b. Copy of revised Plan and response sent to
Regional Public Housing Director? _____
Date: _____

c. Date of revision #2: _____
Date received: _____

d. Copy of revised Plan and response sent to
Regional Public Housing Director? _____
Date: _____

e. Date of revision #3: _____
Date received: _____

f. Copy of revised Plan and response sent to
Regional Public Housing Director? _____
Date: _____

24. All findings closed and/or resolved? _____
Date: _____

Additional Tasks/Comments: _____

