



# MANAGEMENT OPERATIONS OVERVIEW (MASS)

## Indicator 3: Management Operations

# PHAS BACKGROUND

---

- **Public Housing Agencies (PHAs) are not owned by the Federal Government**

- **United States Housing Act of 1937**

**Section 6(j) (1) - The Secretary shall develop and publish in the Federal Register indicators to assess the management performance of public housing agencies and resident management corporations. The indicators shall be established under section 553 of title 5, United States Code.**

**Such indicators shall enable the Secretary to evaluate the performance of public housing agencies and resident management corporations in all major areas of management operations.**

## Indicator 3: Management Operations

# PHAS BACKGROUND

---

- **Decontrol Indicators - 1988-1990**
- **Public Housing Management Assessment Program (PHMAP) 24 CFR Part 901- 1992-1998**
- **Public Housing Assessment System (PHAS) 24 CFR Part 902 - published 9/1/98, effective 10/1/98 - Present**

# PHAS BACKGROUND

## Purpose of PHAS

---

- **PHAS helps the delivery of services in public housing and enhances trust in the public housing system among public housing agencies (PHAs), public housing residents, HUD and the general public by providing a management tool for effectively and fairly measuring the performance of a PHA in essential housing operations, including rewards for high performers and consequences for poor performers.**

# PHAS BACKGROUND

## KEY DATES

---

- **PHAS Final Rule published 9/1/98 (24 CFR Parts 901 and 902) - effective 10/1/98**
- **PHAS Amendments; Final Rule published 1/11/00 (CFR 24 Part 902) - effective 2/10/00**
- **PHAS: Transition Assistance for Certain PHAs; Notice published 6/6/00 (24 CFR Part 902) - effective immediately**
- **PHAS: Technical Correction; Final Rule published 6/6/00 (24 CFR Part 902) - effective immediately**
- **PHAS: Deregulation for Small Public Housing Agencies; Final Rule published 6/24/03 (24 CFR Parts 902, 903 and 985) – effective 7/24/03**

## Indicator 3: Management Operations

# PHAS BACKGROUND

## PHMAP TO PHAS CROSSWALK

<b>PHMAP Indicator</b>	<b>PHAS Indicator</b>
<b>PHMAP #1 - Vacancy rate and unit turnaround time</b>	<b>PHAS #3 - Management Assessment - Vacant unit turnaround time</b>
<b>PHMAP #2 - Modernization</b>	<b>PHAS #3 - Management Assessment - Capital fund</b>
<b>PHMAP #3 - Rents uncollected</b>	<b>PHAS #2 - Financial Condition - Tenant receivables outstanding</b>
<b>PHMAP #4 - Work orders</b>	<b>PHAS #3 - Management Assessment - Work orders</b>
<b>PHMAP #5 - Annual inspection of units and systems</b>	<b>PHAS #3 - Management Assessment 100% of occupied units - PHA annual inspection of units and systems (UPCS rather than HQS)</b>
	<b>PHAS #1 - Physical Condition sample (UPCS rather than HQS)</b>

## Indicator 3: Management Operations

# PHAS BACKGROUND

## PHMAP TO PHAS CROSSWALK

<b>PHMAP #6 - Financial management</b>	<b>PHAS #2 - Financial Condition - Number of months expendable funds balance</b>
	<b>PHAS #2 - Financial Condition - Occupancy loss</b>
	<b>PHAS #2 - Financial Condition - Expense management/utility consumption</b>
	<b>PHAS #2 - Financial Condition - Net income or loss divided by expendable fund balance</b>
<b>PHMAP #7 - Resident services and community building</b>	<b>PHAS #3 - Management Assessment - Economic Self-Sufficiency</b>
	<b>PHAS #4 -Resident Service and Satisfaction - Survey</b>
	<b>PHAS #4 -Resident Service and Satisfaction - Implementation and follow-up plans</b>
<b>PHMAP #8 - Security</b>	<b>PHAS #3 - Management Assessment - Security</b>

## Indicator 3: Management Operations

# Small PHAs Exempt from MASS

- **The Small PHA Deregulation Rule published June 24, 2003 made a further change to PHAS. The Rule exempts small PHAs (i.e., those administering less than 250 units) from submitting information required under PHAS, including MASS certifications for annual assessment. Instead, small PHAs will be required to submit MASS certification once every two years.**
- **However, the Rule has two exceptions. First, small PHAs with fiscal years ending before September 30, 2003 are not exempt. Second, small PHAs designated as PHAS troubled: troubled in one area, or Capital Fund troubled are not exempt. Small PHAs that are not subject to the exceptions described above, may still choose to voluntarily submit.**
- **Further guidance on the Small PHAs Deregulation Rule is provided in 24 CFR Part 902, 903, and 985 and Notice PIH 2003-21 dated September 9, 2003.**

# The Purpose of MASS

---

The Management Operations Indicator 3 of the PHAS rule measures certain key PHA management operations and responsibilities for the purpose of assessing the PHA's capabilities and performance in these areas.

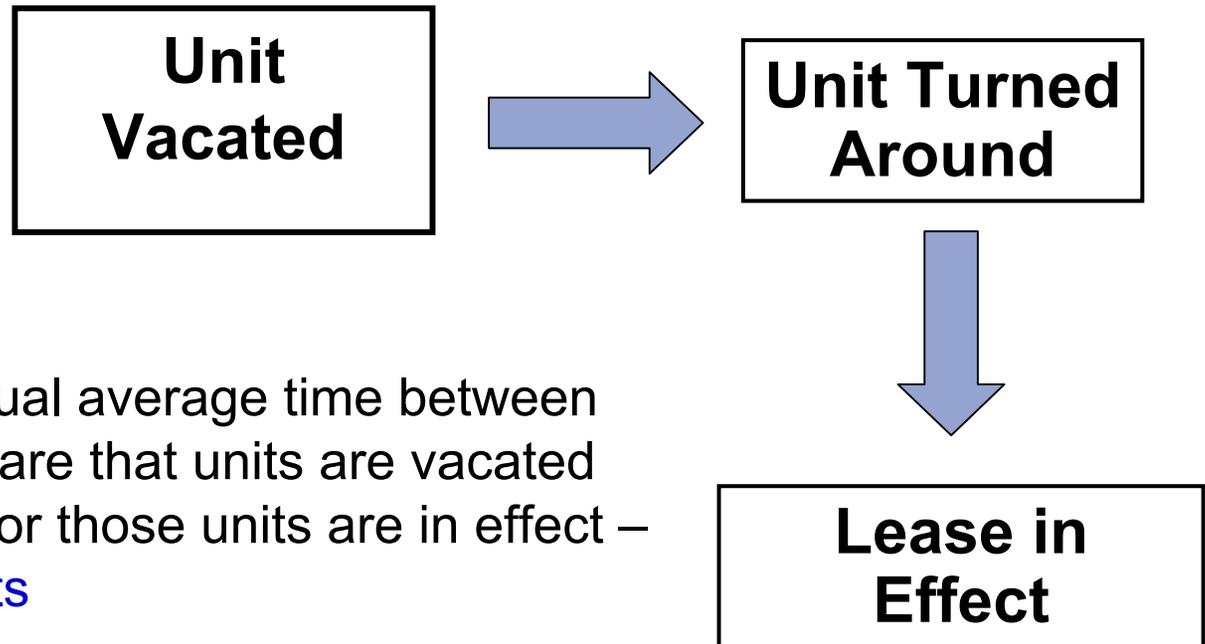
## Indicator 3: Management Operations

# 6 Sub-Indicators

---

- 1** Vacant Unit Turnaround Time
- 2** Capital Fund
- 3** Work Orders
- 4** Annual Inspection of Units and Systems
- 5** Security
- 6** Economic Self-Sufficiency

# Sub-Indicator 1- Vacant Unit Turnaround Time Process and Point Value



Measures the annual average time between when a PHA is aware that units are vacated and when leases for those units are in effect – Maximum - 4 points

# Sub-Indicator 1-Vacant Unit Turnaround Terminology

---

- Down Time - days from date unit was discovered vacant or lease expired, until date keys are handed to maintenance staff for cleaning/fix-up
- Make Ready Time - days from date maintenance staff receives keys until date they turn unit back to management for rental
- Lease Up Time - days from date maintenance staff turns unit back to management for rental until effective date of new lease

# Sub-Indicator 1- Vacant Unit Turnaround Calculation

---

- Average number of calendar days between:

- Legal expiration date of immediate past lease

OR

- Actual move-out date of former tenant
- (or date PHA becomes aware tenant has moved out)
- Whichever is **LATER** -

AND

- Date new lease takes effect

# Sub-Indicator 1 - Vacant Unit Turnaround Data Sources

---

- Turnaround time records
- Rent rolls/registers
- Signed Leases
- PHA calculation of occupancy percentage for a requested budget year
- Modernization and maintenance plans for unit turnaround including unit make ready, down, and lease up times

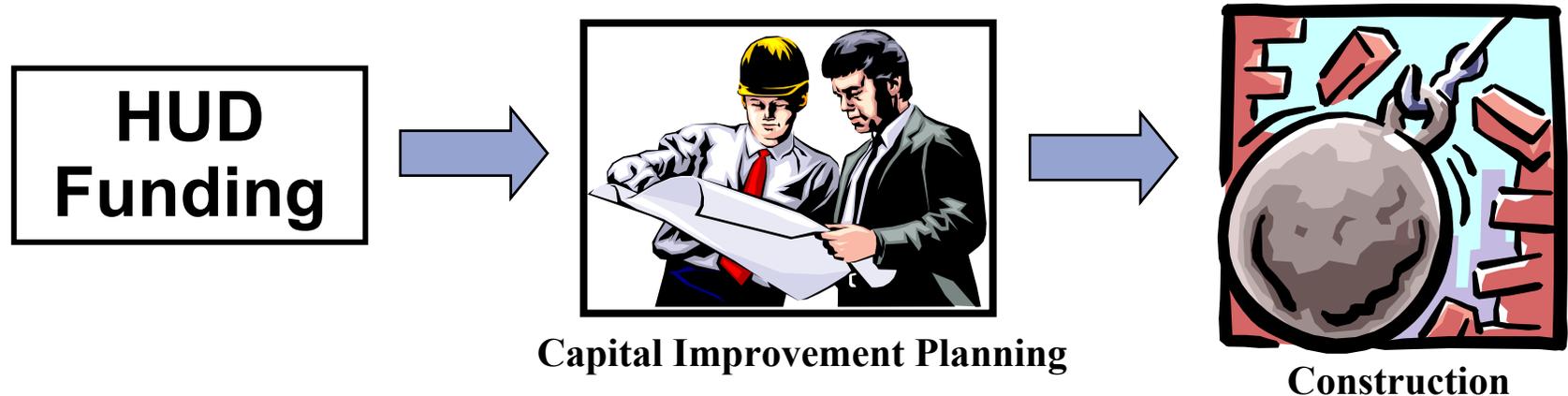
## Sub-Indicator 1-Vacant Unit Turnaround Time

- Vacant Unit Turnaround Time: The average number of calendar days between the time when a unit is vacated and a new lease takes effect.

AVERAGE NUMBER OF DAYS A UNIT IS VACANT/REPAIRED/LEASED	GRADE
■ 0-20	A
■ 21-25	B
■ 26-30	C
■ 31-40	D
■ 41-50	E
■ MORE THAN 50 DAYS	F

Indicator 3: Management Operations

# Sub-Indicator 2 - Capital Fund Process and Point Value



Measures performance under a PHA's modernization programs in five key areas – Maximum - **7 points**

## Sub-Indicator 2 - Capital Fund 5 Scoring Components

---

- 2.1 - Unexpended funds over 3 Federal Fiscal Years (FFYs) old - 1 point
- 2.2 - Timeliness of fund obligation - 2 points
- 2.3 - Adequacy of contract administration - 1 point
- 2.4 - Quality of physical work - 2 points
- 2.5 - Adequacy of budget controls - 1 point

Maximum - 7 points

## Sub-Indicator 2 - Capital Fund

---

### Assessed Programs

Assesses PHA's performance under:

- Comprehensive Grant Program (CGP)
- Replacement Housing Factor
- Lead-based Paint Risk Assessment (LBPRA)
- HOPE VI

### Indicator 3: Management Operations

## Sub-Indicator 2 - 5 Capital Fund Components and Funding Programs

	Measured By	Comprehensive Grant Program	Replacement Housing Factor	Lead-based Paint Risk Assessment	Hope VI
Unexpended funds over three Federal Fiscal Years old	FFY	X		X	
Timeliness of funds obligated	FFY	X		X	
Adequacy of contract administration	PHA FYE	X	X	X	X
Quality of physical work	PHA FYE	X	X	X	X
Adequacy of budget controls	PHA FYE	X	X	X	X

**FFY = Federal Fiscal Year**

**PHA FYE = PHA's Fiscal Year End**

Note: Replacement Housing Factor  
24 CFR 905.10

### Indicator 3: Management Operations

# Sub-Indicator 2 - Capital Fund Data Sources

<b>Components 1 &amp; 2</b>	<b>Comprehensive Grant Program</b>	<b>Replacement Housing Factor</b>	<b>Lead-based Paint Risk Assessment</b>	<b>Hope VI</b>
<b>Unexpended funds over three Federal Fiscal Years (FFYs) old &amp; Timeliness of funds obligated</b>	<b>HUD-52837 - CGP Annual Statement/ Evaluation Report, Parts I, II, &amp; III and revisions</b>			
	<b>HUD-53001, Actual Modernization Cost Certificate</b>			
	<b>Letters to and correspondence from HUD re: obligations and expenditure extensions; claims outside PHA's control</b>	<b>Letters to and correspondence from HUD re: obligations and expenditure extensions; claims outside PHA's control</b>		
	<b>PHA Obligation and Expenditure Reports</b>	<b>PHA Obligation and Expenditure Reports</b>	<b>Final Lead-based Paint Risk Assessment schedule and plan</b>	
	<b>PHA documentation</b>	<b>PHA documentation</b>	<b>PHA documentation</b>	
<b>Components 3 &amp; 4</b>	<b>Comprehensive Grant Program</b>	<b>Comprehensive Improvements Assistance Program</b>	<b>Lead-based Paint Risk Assessment</b>	<b>Hope VI</b>

## Indicator 3: Management Operations

# Sub-Indicator 2 - Capital Fund

## Data Sources

Components 3 & 4	Comprehensive Grant Program	Replacement Housing Factor	Lead-based Paint Risk Assessment	Hope VI
Adequacy of contract administration & Quality of physical work	On-site inspection reports/review of findings, if applicable			
	Other reports including Inspector General reports and independent audits	Other reports including Inspector General reports and independent audits	Other reports including Inspector General reports and independent audits	Other reports including Inspector General reports and independent audits
	Other reports including Inspector General reports and independent audits	Other reports including Inspector General reports and independent audits	Other reports including Inspector General reports and independent audits	Other reports including Inspector General reports and independent audits
			Violations of Hope VI programs	Violations of Lead-based Paint Risk Assessment program
	PHA documentation	PHA documentation	PHA documentation	PHA documentation

## Indicator 3: Management Operations

# Sub-Indicator 2 - Capital Fund Data Sources

Components 3 & 4	Comprehensive Grant Program	Replacement Housing Factor	Lead-based Paint Risk Assessment	Hope VI
Adequacy of contract administration & Quality of physical work	On-site inspection reports/review of findings, if applicable			
	Other reports including Inspector General reports and independent audits	Other reports including Inspector General reports and independent audits	Other reports including Inspector General reports and independent audits	Other reports including Inspector General reports and independent audits
	Other reports including Inspector General reports and independent audits	Other reports including Inspector General reports and independent audits	Other reports including Inspector General reports and independent audits	Other reports including Inspector General reports and independent audits
			Violations of Hope VI programs	Violations of Lead-based Paint Risk Assessment program

## Sub-Indicator 2 - Capital Fund

- **Component 2.1: Unexpended Funds Over Three Federal Fiscal Years Old**
  - **A** = PHA has no unexpended funds over three federal fiscal years old or can demonstrate that the left over funds will be recaptured after the audit, HUD has approved the remaining unexpended funds to be over three federal fiscal years old, or HUD has granted the PHA time extensions on the remaining unexpended funds for reasons outside the PHA's control.
  - **F** = PHA has unexpended funds over three federal fiscal years old which are not approved by HUD, or are not covered by time extensions, and are not being recaptured by HUD.

## Sub-Indicator 2 - Capital Fund

### ■ Component 2.2: Timeliness of Fund Obligation

- **A** = PHA has no unobligated funds over two federal fiscal years old or is able to demonstrate one of the following: Either HUD has approved the funds to be unobligated over two federal fiscal years old or HUD has granted extensions on the obligation of funds due to reasons outside the PHA's control.
- **F** = PHA has unobligated funds over two federal fiscal years old and does not have prior authorization from HUD to be unobligated or received a time extension due to reasons outside PHA's control.

## Sub-Indicator 2 - Capital Fund

### ■ Component 2.3: Adequacy of Contract Administration

- **A** = Based on last HUD/ Corps of Engineer on-site inspection there were no findings related to contract administration or the PHA has corrected all such findings.
- **C** = Based on last HUD/ Corps of Engineer on-site inspection there were findings based on contract administration and the PHA is in the process of correcting all such findings.
- **F** = Based on last HUD/ Corps of Engineer on-site inspection there were findings based on contract administration and the PHA has failed to initiate corrective actions for all such findings or those actions which have been initiated have not resulted in progress towards remedying all of the findings.

## Sub-Indicator 2 - Capital Fund

### ■ Component 2.4: Quality of Physical Work

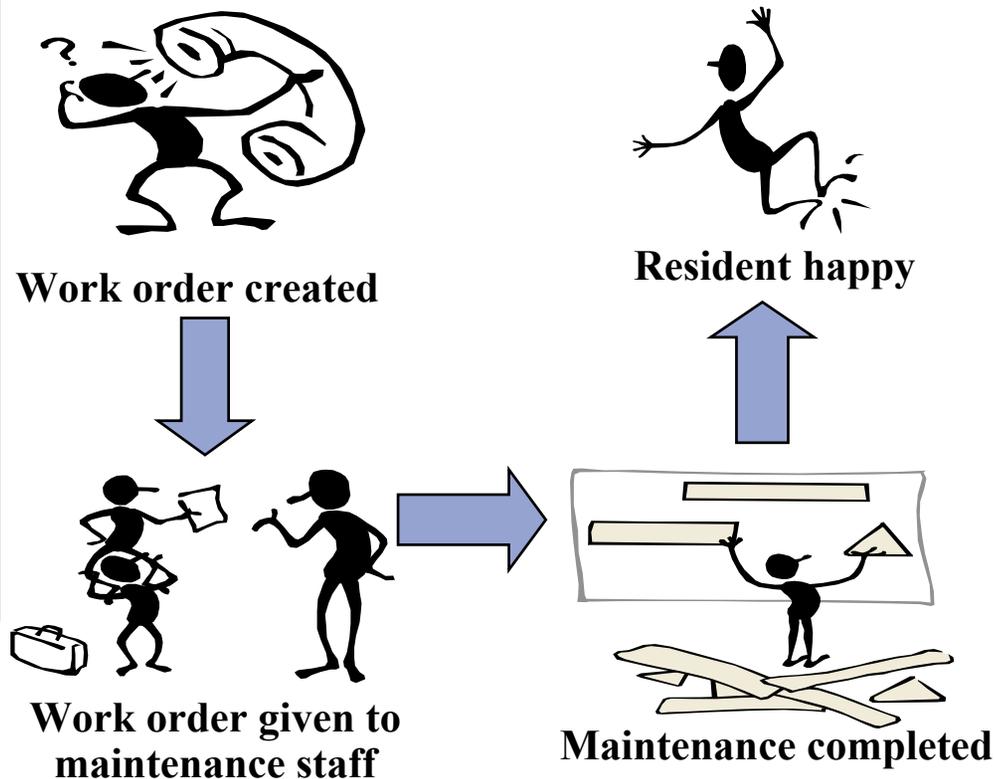
- **A** = Based on last HUD/Corps of Engineer on-site inspection there were no findings related to the quality of physical work or the PHA as corrected all such findings.
- **C** = Based on last HUD/Corps of Engineer on-site inspection there were findings related to quality of physical work and the PHA is in the process of correcting all such findings.
- **F** = Based on last HUD/Corps of Engineer on-site inspection there were findings related to quality of physical work and the PHA has failed to initiate corrective action for all such findings or those actions which have been initiated have not resulted in progress towards remedying all the findings.

## Sub-Indicator 2 - Capital Fund

- **Component 2.5: Adequacy of Budget Controls**
  - **A** = PHA has expended all funds according to the original budget submitted to the HUD office or has obtained prior HUD approval for any budget revisions or completed budget revisions which did not require prior HUD approval.
  - **F** = PHA has failed to adequately report all the funds expended during the FY being assessed.
  - (The calculation for passing component 5 is as follows: Elements CF12800 plus (+) CF12900 plus (+) CF13000 must equal (=) to the penny, the dollar amount entered in element CF12700). If your submission follows this calculation you get an A for component 5.

## Indicator 3: Management Operations

# Sub-Indicator 3 - Work Orders Process and Point Value



Measures how a PHA manages work orders and the time it takes to abate and complete work orders in two areas - Maximum - 4 points

# Sub-Indicator 3 - Work Orders

## 2 Scoring Components

---

- 3.1 - Emergency work orders – 2 points
- 3.2 - Non-emergency work orders - 2 points

Maximum - 4 points

## Sub-Indicator 3 - Work Orders

- **Component 3.1: Emergency Work Orders**
  - **A** = At least 99% of emergency work orders were completed within 24 hours.
  - **B** = At least 98% of emergency work orders were completed within 24 hours.
  - **C** = At least 97% of emergency work orders were completed within 24 hours.
  - **D** = At least 96% of emergency work orders were completed within 24 hours.
  - **E** = At least 95% of emergency work orders were completed within 24 hours.
  - **F** = Less than 95% of emergency work orders were completed within 24 hours.

## Indicator 3: Management Operations

# Sub-Indicator 3 - Work Orders

## Component 3.2: Non-Emergency Work Orders

- **A** = All non-emergency work orders are completed within an average of 25 calendar days.
- **B** = All non-emergency work orders are completed within an average of 26-30 calendar days.
- **C** = All non-emergency work orders are completed within an average of 31-40 calendar days.
- **D** = All non-emergency work orders are completed within an average of 41-50 calendar days.
- **E** = All non-emergency work orders are completed within an average of 51-60 calendar days.
- **F** = All non-emergency work orders are completed within an average of greater than 60 calendar days.

## Sub-Indicator 3 - Work Orders

### Component 3.1: Emergency Work Orders

#### ■ Definition:

A deficiency that poses an immediate threat to life, health and/or safety of a property or resident or that is related to fire safety and includes:

- Unhealthy or undrinkable water supply
- Gas leak
- Broken/blocked sanitary sewer line
- Failed heating system
- Hazardous electrical system
- Inoperable smoke detector
- Exposure to toxic materials

## Sub-Indicator 3 - Work Orders

### Component 3.2: Non-Emergency Work Orders

#### Definition:

A deficiency that does not poses an immediate threat to life, health and/or safety of a property or resident and includes:

- Repair needs and preventative maintenance
- Findings from annual inspections of units and systems

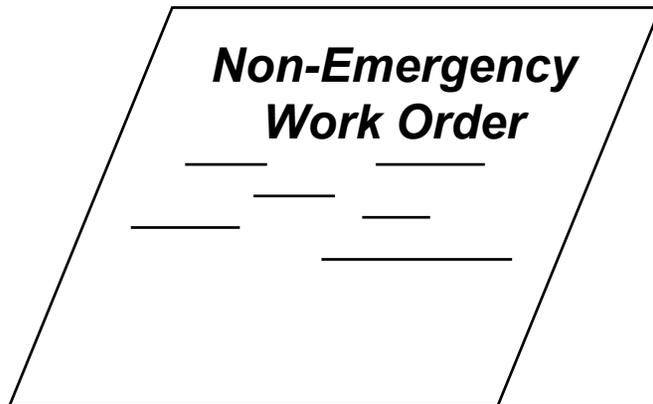
#### ■ Does not include:

- Cyclical tasks (e.g., mopping halls, grounds care)
- Work deferred for capital funding and/or vacant unit preparation

# Sub-Indicator 3 - Work Orders

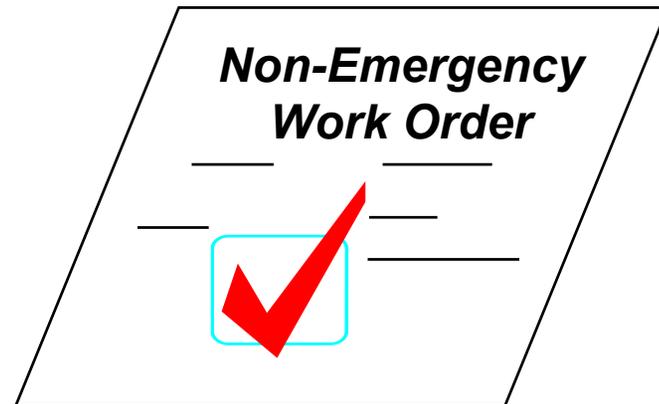
## Calendar Day - Example 1

---



**Generated**

**Monday, 10:05 a.m.**



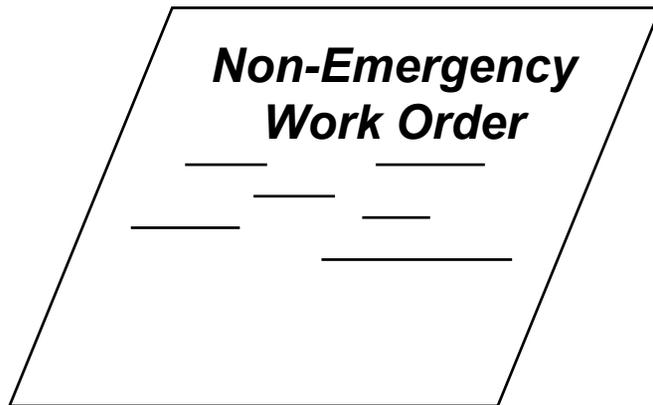
**Completed**

**Monday, 10:20 a.m.**

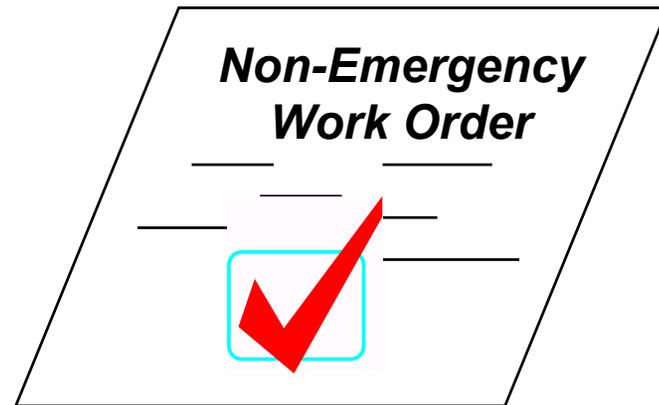
**ONE Calendar Day**

# Sub-Indicator 3 – Work Orders

## Calendar Day - Example 2



**Generated**  
**Friday, 3:15 p.m.**



**Completed**  
**Saturday, 11:20 p.m.**

**ONE Calendar Day**

**Note: Calendar days includes weekend days**

# Sub-Indicator 3 - Work Orders

## Data Sources

---

- Work orders
- Preventive maintenance plans
- Maintenance manuals
- Work order logs and related documentation

## Sub-Indicator 4 – Annual Inspection of Units and Systems

---

### ■ Component 4.1: Annual Inspection of Units

- **A** = PHA has inspected 100% of its ACC units according to current inspection protocol.
- **B** = PHA has inspected 97% -99% of its ACC units according to current inspection protocol.
- **C** = PHA has inspected 95%-96% of its ACC units according to current inspection protocol.
- **D** = PHA has inspected 93% -94% of its ACC units according to current inspection protocol.
- **E** = PHA has inspected 90%-92% of its ACC units according to current inspection protocol.
- **F** = PHA has inspected less than 90% of its ACC units according to current inspection protocol.

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

## ■ Component 4.2: Annual Inspection of Systems

- **A** = PHA has inspected all major systems at 100% of its buildings and sites.
- **B** = PHA has inspected all major systems at 90%- 99% of its buildings and sites.
- **C** = PHA has inspected all major systems at 80%-89% of its buildings and sites.
- **D** = PHA has inspected all major systems at 70%-79% of its buildings and sites.
- **E** = PHA has inspected all major systems at 60%-69% of its buildings and sites.
- **F** = PHA inspected less than 60% of all major systems on its buildings and sites.

## Sub-Indicator 4 - Annual Physical Inspections of Units and Systems

---

Measures percentage of units and systems that a PHA annually inspects using Uniform Physical Condition Standards (UPCS) and local codes to determine short-term maintenance and long-term capital fund needs – Maximum - 4 points

## Sub-Indicator 4 - Annual Physical Inspections of Units and Systems

---

### 2 Scoring Components

- 4.1 - Annual inspection of dwelling units - 2 points
- 4.2 - Annual inspection of systems - including common areas and non-dwelling spaces - 2 points

Maximum - 4 points

## Sub-Indicator 4 - Annual Physical Inspections of Units and Systems

---

### Data Sources

- Annual Contributions Contract and amendments
- Compare ACC with PIC data
- Inspection logs, forms, and documentation
- Preventive maintenance schedules
- Work Order logs, tracking system, and documentation - repairs, routine maintenance, and deficiencies

Indicator 3: Management Operations

## Sub-Indicator 5 - Security

---

### Activities and Point Value

Measures how a PHA tracks, reports, and prevents crime, screens applicants, enforces leases, and prevents drug use

Maximum - 4 points

Indicator 3: Management Operations

## Sub-Indicator 5 - Security

---

### 4 Scoring Components

- 5.1 - Tracking and reporting crime related problems - 1 point
- 5.2 -Screening applicants - 1 point
- 5.3 -Lease enforcement - 1 point
- 5.4 -Drug prevention and/or crime reduction program goals - 1 point

Maximum – 4 points

## Sub-Indicator 5 – Security

### Data Sources

- Board of Commissioner adopted policies, goals, implementation plans for applicant screening and drug and crime prevention including use of “One-Strike and You’re Out” criteria
- Record of 911 calls, criminal activity listings and statistics, evictions, cooperative agreements with law enforcement officials, and communications with tenants
- Documentation of proactive crime prevention and drug deterrence activities

## Sub-Indicator 5 – Security

---

### One Strike and You're Out Criteria

#### Lease Enforcement

Resident is evicted if the PHA has reasonable cause to believe that the resident:

- Engages in criminal activity that threatens the rights of other residents or PHA personnel
- Engages in drug-related criminal activity on or off the PHA's property
- Abuses alcohol in such a way that causes behavior which may infringe on the rights of other residents or PHA personnel

## Indicator 3: Management Operations

# Sub-Indicator 5 – Security

## One Strike and You're Out Criteria

### Screening of Applicants

#### ■ Admission is denied if:

- Applicant has a recent history of criminal activity
- Applicant was evicted from assisted housing for drug-related activity within last 3 years
- PHA has reasonable cause to believe that an applicant is using an illegal controlled substance
- PHA has reasonable cause to believe that an applicant is abusing alcohol, which may infringe on the rights of residents or PHA personnel

## Indicator 3: Management Operations

# Sub-Indicator 5 – Security

## One Strike and You're Out Criteria

**Background:** March 28, 1996 President Clinton announced a “One Strike and You're Out” policy for public housing residents.

### Resources:

42 U.S.C. 1437 d(r)

Notice PIH 96-16 – Guidelines

Notice PIH 96-52 – Clarification and Guidance

Notice PIH 97-56 – Sample Lease

Notice PIH 2001-8 – Termination of Tenancy

24 CFR Part 960 – Admission to & Occupancy

24 CFR Part 966.4 – Lease Requirements

24 CFR Part 982.553 – Denial of Admission

24 CFR Parts 5, 200, 247, 880, 882, 884, 891

## Indicator 3: Management Operations

# Sub-Indicator 5 – Security

## One Strike and You're Out Criteria

### Section 9 – Housing Opportunity Program Extension Act of 1996

#### Current:

Admissions and Continuing Occupancy Policy, especially the selections relating to crime and drug prevention, applicant screening and evictions should reflect the amendments cited in the Quality Housing Work Responsibility Act of 1998 and the amended Housing Act of 1937, section 6(j).

## Sub-Indicator 5 – Security

### Component 5.1: Tracking and Reporting Crime-Related Problems

- **A** = The PHA board, by resolution, has adopted policies and the PHA as implemented procedures and can document that it tracks crime in at least 90% of its developments and has a cooperative system for reporting crime to local police.
- **C** = The PHA board, by resolution, has adopted policies and the PHA as implemented procedures and can document that it tracks crime in at least 60%-89% of its developments and has a cooperative system for reporting crime to local police.
- **F** = PHA has no board adopted/PHA implemented policy for tracking and reporting crime.

## Sub-Indicator 5 – Security

---

### Component 5.2: Screening of Applicants

- **A** = The PHA board, by resolution, has adopted policies and the PHA has implemented procedures and can document that it successfully screens out and denies admission to a public housing applicant who meets the criteria.
- **F** = The PHA has no board adopted/PHA implemented policy and procedure for screening and denying admission to public housing applicants who meet the criteria.

## Sub-Indicator 5 – Security

---

### Component 5.3: Lease Enforcement

- **A** = The PHA board, by resolution, has adopted policies and the PHA has implemented procedures and can document that it appropriately evicts any public housing resident who meets the criteria.
- **F** = PHA has no board adopted/ PHA implemented policy and procedure for evicting any public housing residents who meet the criteria.

## Indicator 3: Management Operations

# Sub-Indicator 5 – Security

## Component 5.4: Drug Prevention/Crime Reduction

- **A** = PHA can document that it met at least 90% of its goals related to drug prevention/crime reduction under the implementation plan for any and all of the programs.
- **C** = PHA can document that it met between 60%-89% of its goals related to drug prevention/crime reduction under the implementation plan for any and all of the programs.
- **F** = PHA can document that it met less than 60% of its goal related to drug prevention/crime reduction under the implementation plan for any and all of the programs.

# Sub-Indicator 6 - Economic Self-Sufficiency Measures and Point Value

---

Measures whether a PHA has established economic self-sufficiency program goals and can document that it is meeting the goals as planned – Maximum-7 points

## Indicator 3: Management Operations

# Sub-indicator 6 - Economic Self-Sufficiency

---

- **A** = PHA can document that is met at least 90% of its goals related to economic self-sufficiency under the implementation plan for any and all of the programs.
- **C** = PHA can document that it met between 60-89% of its goals related to economic self-sufficiency under the implementation plan for any and all of the programs.
- **F** = PHA can document that it met less than 60% of its goals related to economic self-sufficiency under the implementation plan for any and all of the programs.

# Helpful Resources.....

---

- HUD Web Links

- MASS Homepage and Submission Calendar

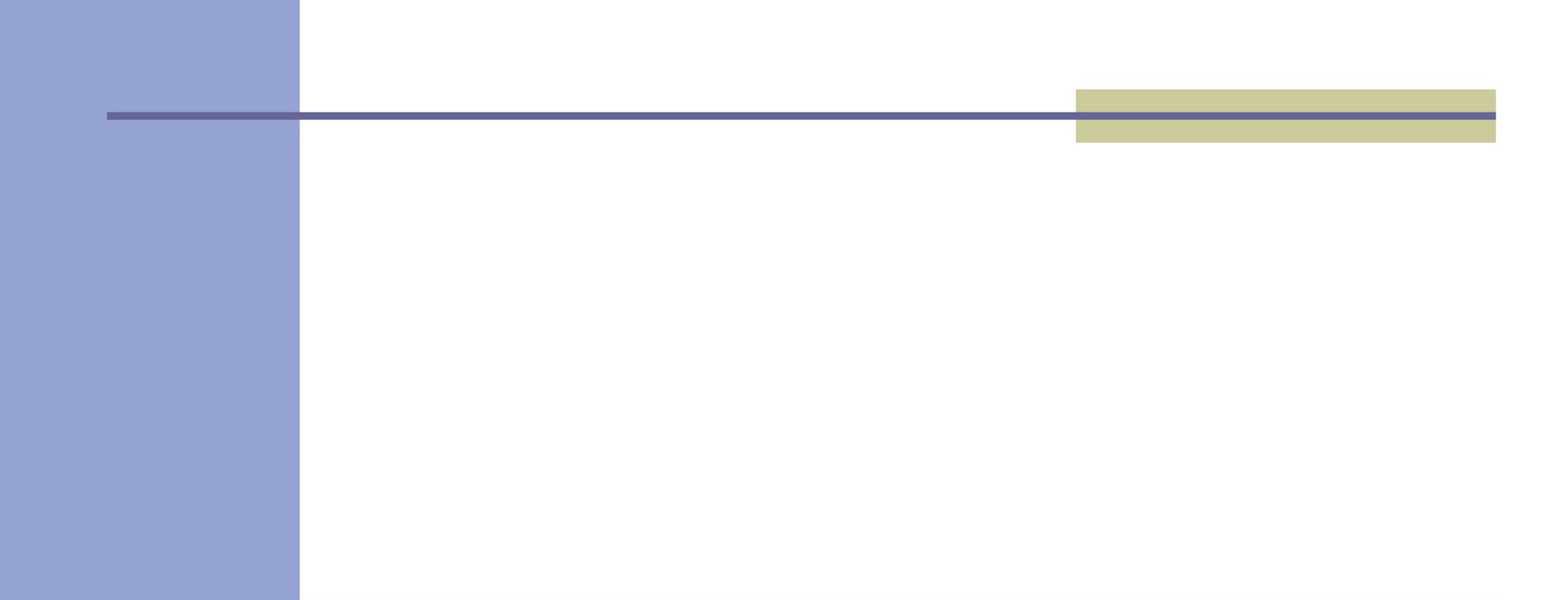
- <http://www.hud.gov/offices/reac/products/prodmo.cfm>

- MASS Library

- [http://www.hud.gov/offices/reac/library/lib\\_mo.cfm](http://www.hud.gov/offices/reac/library/lib_mo.cfm)

- MASS Documents and Guidance

- [http://www.hud.gov/offices/reac/products/mass/mass\\_doc.cfm](http://www.hud.gov/offices/reac/products/mass/mass_doc.cfm)



# ***MASS Submission Process***

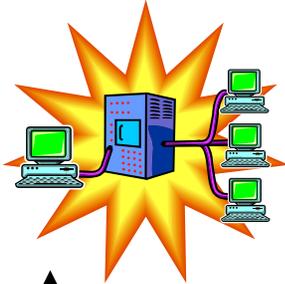
# Parameters

---

- PHAs must submit electronically
- Short-term approval of manual submission if requested 2 months prior to due date
- Review process to appeal PHAS scores clarified in Technical Correction 6/6/00
- FYE 3/31/00 PHAs receive PHAS advisory scores
- New scoring notices issued periodically (most recent notice issued 6/28/00)

# MASS Submission Process

**PIH-REAC Server**



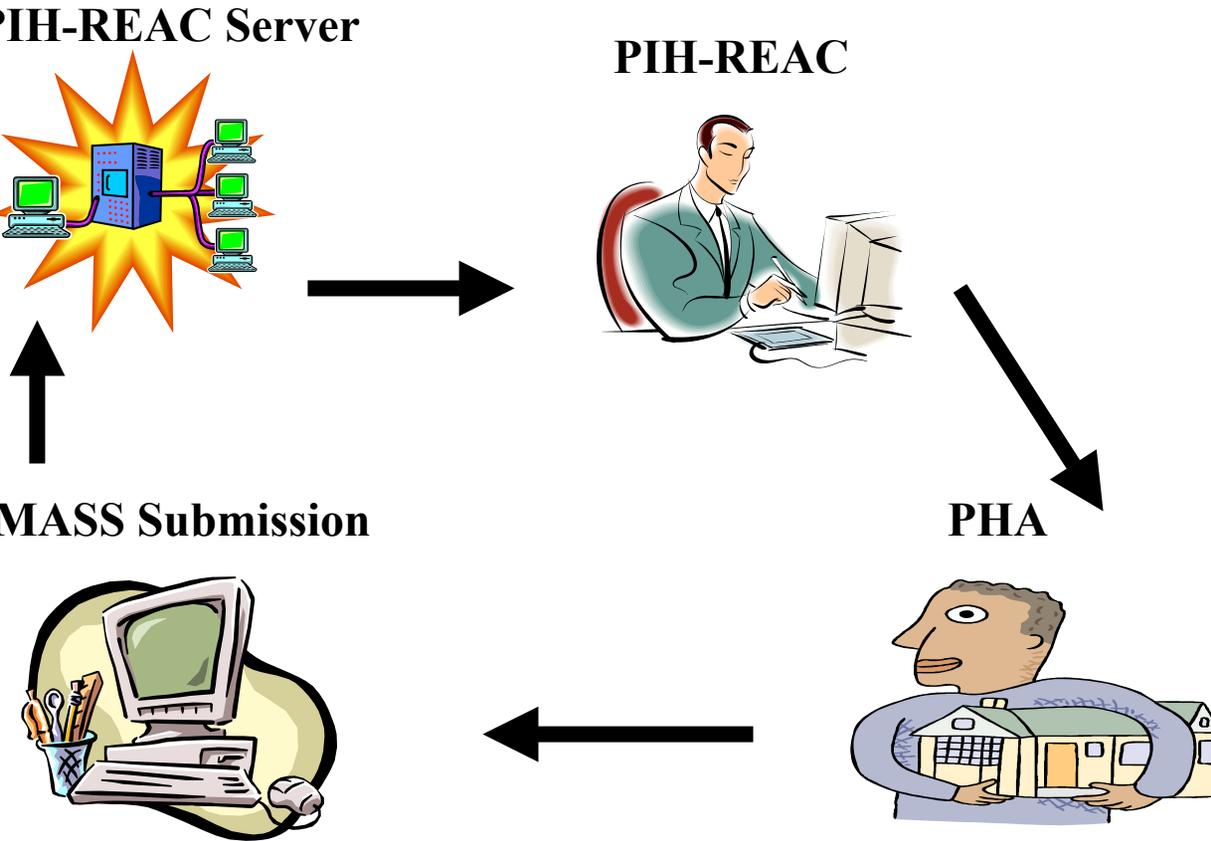
**PIH-REAC**



**MASS Submission**



**PHA**



# Management Assessment Certification Reporting Schedule

## Management Assessment Certification Reporting Schedule

Fiscal Year End Date	Submission Due Date	1 <sup>st</sup> late point assessed	2 <sup>nd</sup> late point assessed	3 <sup>rd</sup> late point assessed	4 <sup>th</sup> late point assessed	5 <sup>th</sup> late point assessed	Late Presumptive Failure
Sept. 30	Nov. 30	Dec. 16	Dec. 31	Jan. 15	Jan. 30	Feb. 14	Mar. 1
Dec. 31	Feb. 28	Mar. 16	Mar. 31	Apr. 15	Apr. 30	May 15	May 31
Mar. 31	May 31	Jun. 16	Jul. 1	Jul. 16	Jul. 31	Aug. 15	Aug. 31
Jun. 30	Aug. 31	Sept. 16	Sept. 31	Oct. 15	Oct. 30	Nov. 14	11/31

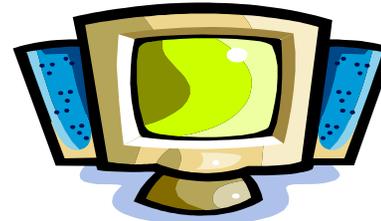
## Indicator 3: Management Operations

# MASS Submission Review Process

**MASS review and approval process is completed. MASS score is generated.**



**MASS Score is sent to PIH-REAC NASS to create a PHAS score.**



**PHA**



# All Data Elements In MASS Are MANDATORY

---

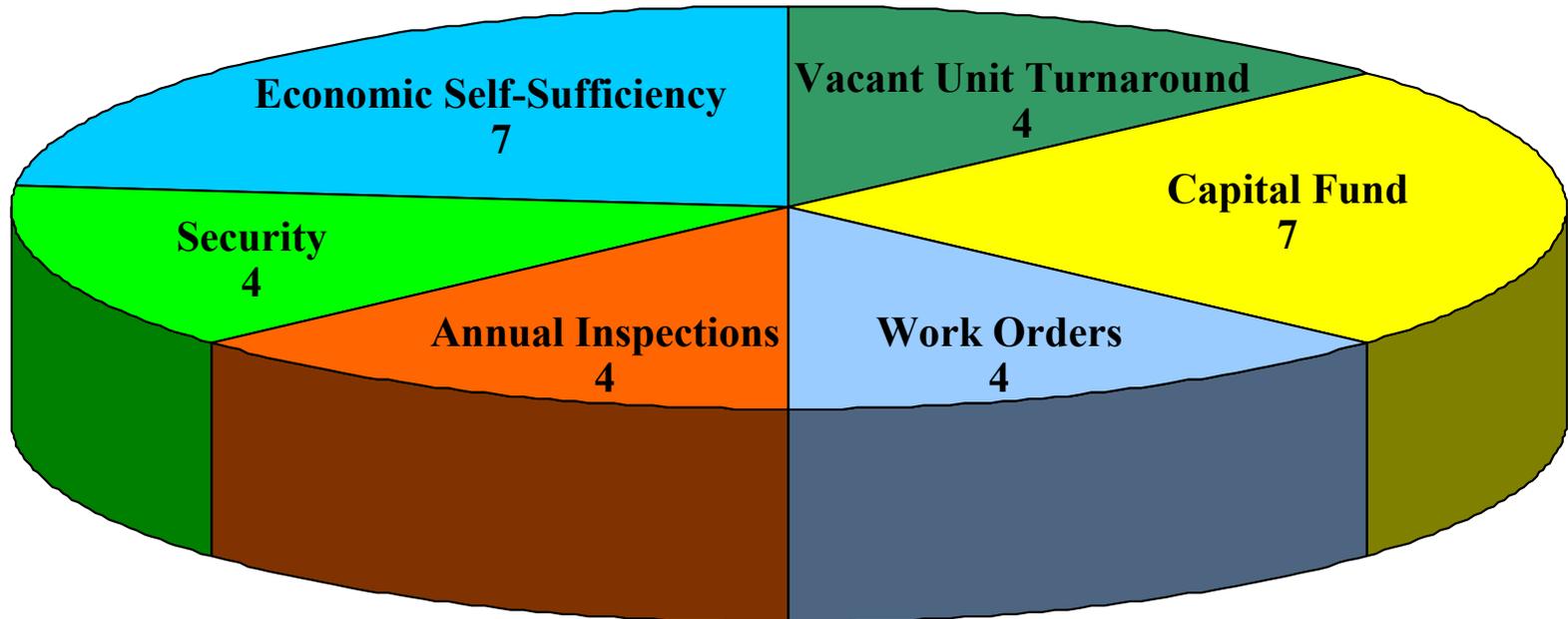
**All elements of the Public Housing Assessment System (PHAS) Management Operation Certification form HUD-50072 must be answered, even if the answer is zero.**

## **Why Is This Important?**

**It is mandatory in MASS that all data elements are populated in order to submit the Management Operations information.**

## Indicator 3: Management Operations

# Management Operations Scoring



**Total - 30 points**

# MASS Submission Review

## Process Adjustments

---

- MASS has the capability to adjust the MASS information which may or may not effect the MASS score for the following:
  - Appeals – Completed through NASS
  - Field Office Review - MASS
  - Annual Independent Audits - MASS
  - Office of Inspector General Audits - MASS
  - Quality Assurance Audits - Mass

# MASS Adjustment Process

A request is made to PIH-REAC for an adjustment.  
(Requester can be a PHA or Field Office.)



MASS review and approval process is completed.  
MASS score is generated.



The adjusted PHAS score is returned to NASS to release to the PHA.



MASS Score is sent to PIH-REAC NASS to create a PHAS score.



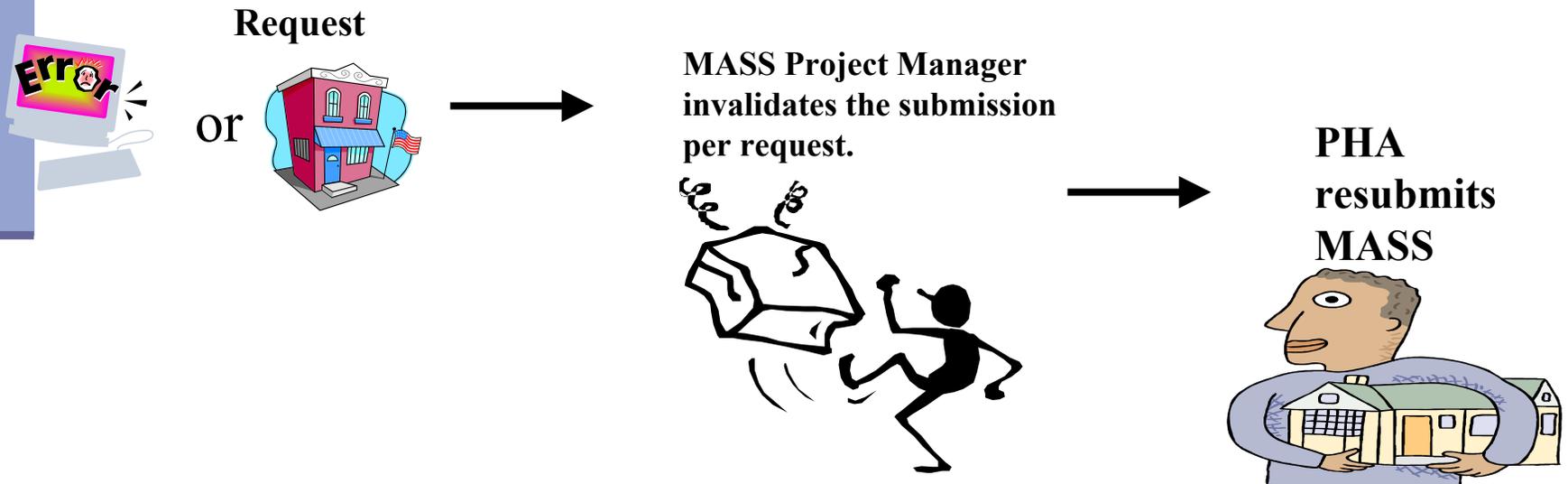
PHA



# MASS Submission

## Invalidation Process

- MASS has the capability to invalidate (reject) an **approved** MASS submission for the following reason:
  - Error noted in the submission after the submission was approved.



# Frequently Asked Questions and Answers

---

Q. Which sub-indicator has the lowest failure rate?

A. Sub-Indicator #4 – Annual Inspection of Dwelling Units and Systems

Why? It appears from past practice the PHAs report inaccurate data to complete the certification, without ensuring the accuracy of the data certified.

# Frequently Asked Questions and Answers

---

Q. Which sub-indicator has the highest failure rate?

A. Sub-indicator #1 – Vacant Unit Turnaround Time

Why? PHAs report units that did not complete the turn around cycle as vacancy.

Remember: A PHA should ensure that the days certified to were actual turn around days and not vacancy days.

# Frequently Asked Questions and Answers

---

Q. Which sub-indicator showed the best improvement from the prior year?

A. Sub-indicator 2 – Capital Fund

Why? PHAs have acquired experience in this area, with significant assistance from the MASS team.

# Frequently Asked Questions and Answers

---

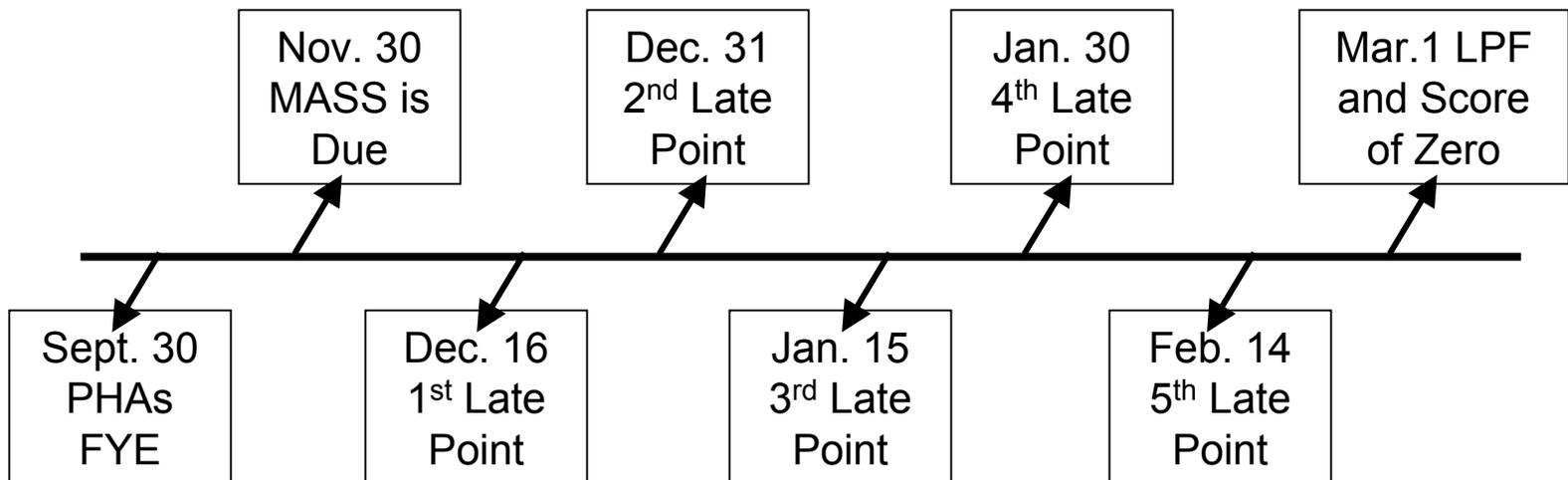
- Q. Which sub-indicator do small PHAs fail the most?
- A. Sub-indicator #5 – Security.

Why? Many small PHAs do not report the data as required under PHAS for security in the submitted certification.

# Dates To Remember

- The MASS submission is due, via electronic submission, two (2) months after the PHAs FYE.
- Late points will be assessed starting 15 days after the submission due date and continue for each 15 days up to five (5) penalty points.
- A Late Presumptive Failure (LPF) will occur if no submission has been received within five (5) months after the PHAs FYE. An LPF will result in a MASS score of zero (0).

## EXAMPLE



# Don't Forget To.....

**Plan ahead!!!! The MASS submission must have board resolution and is due 60 days after the PHAs FYE.**

**Print off the instruction guidebooks provided on the MASS webpage. These will be handy when completing the submission process.**

**Review the list of data sources needed to complete the MASS submission.**

**Make sure your ED has a secure systems ID with the PHD role assigned. The ED, and only the ED, can certify your submission.**

**Ensure you have board adopted policies regarding security, as it became required for all PHAs under the PHAS Rule.**

**Enter the number of ACC units the PHA actually inspected during the FY being assessed and not the REAC inspections (for the Annual Inspections indicator).**

# MASS Contacts

---

**Technical Assistance Center (TAC)** 1 (888) 245-4860  
(7:00 am to 8:00 p.m., Eastern Standard Time)

**Kimberly Griffin**, MASS Program Manager, (202) 475-8750

**Leon Garrett**, MASS Assessment Manager, (202) 475-8611

**Dee Ann Walker**, MASS Assessment Manager, (202) 475-8822

**Eric Bode**, MASS Analyst, (202) 475-8705

**Donna Rains**, MASS Analyst, (202) 475-8605