

CHAPTER 8. INDICATOR #7, RESIDENT SERVICES AND
COMMUNITY BUILDING

- 8-1 GENERAL. This indicator examines a PHA's efforts to deliver quality customer services and to encourage partnerships with residents, resident organizations and the local community, including non-PHA service providers, that help improve management operations at the PHA. This indicator encourages programs that promote individual responsibility, self-improvement and community involvement among residents, and assists residents to achieve economic uplift and develop self-sufficiency. Also, if applicable, this indicator examines PHA performance under any special HUD grant(s) administered by the PHA. PHAs can receive credit for performance under non-HUD funded programs if they choose to be assessed for these programs.
- A. PHAs with fewer than 250 units will not be assessed under this indicator unless they request to be assessed at the time of the PHMAP certification submission. If not so requested, the State/Area office will exclude this indicator from the PHA's assessment.
- B. PHAs with 100 Percent elderly developments will not be assessed under this indicator unless they request to be assessed at the time of the PHMAP certification submission. If not so requested, the State/Area Office will exclude this indicator from the PHA's assessment.
- 8-2 COMPONENT #1, ECONOMIC UPLIFT AND SELF-IMPROVEMENT. This component examines a PHA's encouragement of programs that promote individual responsibility and self-improvement. PHAs will be assessed for all of the programs that the PHA has HUD funding to implement. Also, PHAs can receive credit for the implementation of programs through partnerships with non-PHA providers, even if the programs are not funded by HUD or the PHA, if they choose to be assessed for them. A PHA must select either to be assessed for all or none of the non-HUD funded programs. If a PHA does not have any HUD funded programs, and the PHA does not have or chooses not to be assessed under non-HUD funded programs, the State/Area Office will exclude this component from the PHA's assessment.
- A. Prior to the on-site confirmatory review, the reviewer should identify all the applicable programs for which the PHA has HUD funding to implement. The reviewer should also identify

from the PHA's PHMAP certification if the PHA elected

to be assessed for non-HUD funded programs. Only grant programs which were open at any time during the assessed fiscal year are measured under this component.

- B. Verification of component #1, economic uplift and self-improvement.
1. Board resolution. The first item to verify for this component is that the Board of Commissioners has passed a resolution that supports one or more economic uplift and self-improvement programs. Examples may include, but are not limited to:
 - a. Section 3 Program;
 - b. Homeownership;
 - c. Resident education;
 - d. Resident management;
 - e. Resident training;
 - f. Child care/Head start;
 - g. Job placement;
 - h. Resident business and micro-enterprize development;
 - i. Youth mentoring/Safe Havens;
 - j. Family Self-Sufficiency coordination;
 - k. On-site health facilities and screening; and
 - l. Elder care and services coordination.
 2. The Board resolution may contain support for additional programs, but it must include at least one program.
 3. The reviewer should verify that the Board resolution was in effect for the FY being assessed or in effect prior to the beginning of the FY being assessed.
- 4/97
- 8-2
- 7460.5 G
4. The minutes of the Board meeting at which the resolution was adopted should be examined to verify that the Board passed the subject resolution.
 5. If Board minutes do not contain reference to the passage of a Board resolution, or if the

resolution was not in effect during the FY being assessed or in effect prior to the FY being assessed, the PHA will fail this component.

C. Documentation of the implementation of economic uplift and self-improvement programs. The second portion of this component deals with the PHA's implementation of the Board resolution, specifically, the extent that the selected programs are implemented at the PHA's various developments. The PHA should be able to provide the reviewer with material that illustrates at which developments the selected programs are being carried out. This documentation may include, but is not limited to the following examples.

1. Program outreach and publicity that show methodologies utilized. Such information may include, but is not limited to:
 - a. Informational brochures on the selected programs that clearly document at which developments the programs are offered, and the brochures should include the addresses and telephone numbers of the developments;
 - b. Posters, leaflets, notices etc., that should identify the services available at specific locations;
 - c. Evidence of the recruitment of bona fide family residents, including survey and/or recruitment assistance from residents and resident councils;
 - d. Program and intake events/meetings to solicit or process eligibility of family residents; and
 - e. Published announcements, such as newspaper and other media reports/announcements, as well as electronic media announcements.
2. Program participation documentation may include but is not limited to:

8-3

4/97
7460.5 G

- a. Reports depicting graduation rates;
- b. Training attendance;
- c. Completion rates;
- d. Job placement;

- e. Management or business contracts;
 - f. Child care enrollment;
 - g. Case management agreements; and
 - h. Home visitation reports.
- 3. Agreements/Memoranda of Understanding with non-PHA providers that should identify the location of where the services are offered.
 - 4. Visits by the reviewer to actual locations where these activities are ongoing, including written surveys and interviews with program participants, residents and resident councils.
- D. Documentation of PHA monitoring and reporting on performance under economic uplift and self-improvement programs.
- 1. The PHA should be able to supply the reviewer with written information describing the system or methodology for ongoing reporting and followup. The system should include performance measures, milestones, progress reports, feedback and follow-up, and fraud and abuse controls.
 - 2. The PHA should be able to supply the reviewer with documentation listing the developments where economic uplift and self-improvement programs were implemented, and the number of family occupied units in each development.
 - 3. The percentage of family occupied units where economic uplift and self-improvement programs were implemented is calculated by first determining the total number of family occupied units, and then the total number of family occupied units where economic uplift and self-improvement programs were implemented by the PHA.

- 4. The PHA should also be able to supply the reviewer with copies of monitoring reports issued that outline activities and progress against the work plan(s), during the assessment year for economic uplift and self-improvement programs. The monitoring reports issued should include the date issued, and list by development, the number of PHA residents receiving services and the number of residents employed under these programs. Reports issued include reports issued to HUD under HUD funded grants, to the Board of Commissioners and residents on a periodic basis, and/or to the

program sponsor.

B. Calculation of component #1, economic uplift and self-improvement.

1. This component, for the Anywhere PHA with a FYE of March 31, 1997, is calculated as follows:

Calculation of the % of Family Occupied Units Where EU/SI Programs Were Implemented

Board Resolution(s)

Date of Board resolutions where economic uplift and/or self-improvement programs were adopted: 02/08/94

Date of minutes of Board meeting where the subject Board resolution was passed: 02/08/94

Percentage of Family Occupied Units With Programs

Total number of family occupied units: 599

Development	Type of Program	Occup. W/Progrms.	# Fam. Units
First Street	EU/SI		499
Second Street	SI		80
Third Street	None		0

Total number of family units with programs 579

579 fam. units w/programs = 96.66% of fam. occupied units
599 fam. occupied units with EU/SI progs. implemented

7460.5 G

Performance Monitoring Reports

Development	Date Reports Issued	# Residents Receiving Services	Residents Employed
First Street	07/15/96	216	8
	10/15/96	278	10
	01/15/97	269	10
	04/14/97	305	10
Second Street	07/15/96	17	2
	10/15/96	18	2
	01/15/97	14	2
	04/14/97	16	2

2. In this example, the Anywhere PHA would receive a grade of A for this component since the PHA Board has adopted, by resolution, and implemented economic uplift and self-improvement programs in developments covering at least 90 percent of its family occupied units, and the PHA has issued monitoring reports concerning progress, including the number of residents receiving services and residents employed under these programs.

8-3 COMPONENT #2. RESIDENT ORGANIZATION. This component examines PHA's relationship with residents and resident councils.

A. The PHA should be able to supply the reviewer with documentation demonstrating that the PHA has formally recognized resident councils where they exist, has an ongoing system of communication and collaboration with resident councils, and supports existing resident councils. If there are no resident councils, the PHA should be able to document its efforts to encourage the formation of these councils.

B. Verification of component #2, resident organization. Examples of PHA documentation to verify this component include, but are not limited to:

1. Board resolution or other formal statement. The first item to verify for this component is that the Board of Commissioners has passed a Board resolution or issued a statement that:

4/97

8-6

7460.5 G

- a. Formally recognizes a resident council(s), including;
 - b. A system of communication and collaboration with the resident council(s); and
 - c. Supports the existing resident council(s).
 - d. Where no resident council(s) exists, the PHA has documentation that it has encouraged the formation of such councils.
2. The reviewer should verify that the Board resolution was in effect for the FY being assessed or in effect prior to the FY being assessed, or the formal statement was issued for the FY being assessed or issued prior to the FY being assessed.
 3. The minutes of the Board meeting at which the resolution was adopted should be examined to verify that the Board passed the subject resolution.

4. If Board minutes do not contain reference to the passage of a Board resolution, or if the resolution was not in effect during the FY being assessed, or the formal statement not issued for the FY being assessed or issued prior to the FY being assessed, the PHA will fail this component.
5. Minutes from regular meetings between PHA representatives and resident council representatives.
6. Evidence of the provision of in-kind services, such as the provision of resources and facilities (office space, access to materials, etc.) for resident council groups or residents.
7. Evidence of PHA efforts to organize resident councils such as:
 - a. PHA sponsored training for resident leaders;
 - b. PHA oversight of resident elections;
 - c. PHA staff assigned to community organizing efforts;

8-7

4/97
7460.5 G

- d. Written material inviting residents to meet to organize a resident council;
- e. Minutes of meetings between PHA representatives and residents;
- f. Resident council organizational meeting minutes; and
- g. Attendance list of meetings called to organize resident councils.

C. Calculation of component #2, resident organization.

1. This component, for the Anywhere PHA with a FYE of March 31, 1997, is calculated as follows:

Calculation of Component #2,
Resident Organization

Where a Resident Council(s) Exists

Board Resolution or Formal Recognition

Date of Board resolution or other formal statement that recognizes the resident

council(s), has a system of communication and collaboration with the resident council(s), and supports the resident council(s):

02/08/94

Date of minutes of Board meeting where the subject Board resolution was passed, or date of formal statement:

02/08/94

Communication and Collaboration

1. Monthly meetings between PHA representative and resident council representatives.
2. Suggestion boxes in PHA site offices.
3. Joint monitoring of resident programs.
4. Other:

4/97

8-8

7460.5 G

Support

1. Office space.
 2. Provision of funds for resident participation.
 3. Use of copying machine.
 4. Office supplies.
 5. Use of community room for regular meetings/activities.
 6. Training for resident officers following an election.
 7. Full-time PHA Resident Services Coordinator.
2. In this example, the Anywhere PHA would score a grade of A for this component since the PHA can document formal recognition of resident councils, can document a system of communication and collaboration with resident councils, and can document its support for resident councils.
 3. Using the example, above, the Anywhere PHA would not be scored on how it encouraged the formation of resident councils, since it can document formal recognition of resident councils, and it would be scored on the encouragement of the formation of resident councils as follows:

Calculation of Component #2,
Resident organization

Encouragement for the Formation of Resident Council(s)

Date of PHA sponsored training for resident leaders:	N/A
Date of PHA sponsored resident elections:	N/A
PHA staff assigned to community organizing efforts:	N/A
Listing of written material inviting residents to meet to organize a resident council:	N/A
Date(s) of resident council organizational meeting minutes:	N/A
Does an attendance list of meeting(s) called to organize resident councils exist in PHA files?	N/A

8-9

4/97

7460.5 G

8-4 COMPONENT #3. RESIDENT INVOLVEMENT. This component examines the effectiveness of a PHA's efforts to include resident input into PHA policy development and planning as part of the overall effort to provide quality customer services.

A. Areas where resident input is required are:

1. Modernization planning and implementation; and
2. Development of new housing units;

B. Areas where resident input is encouraged include, but are not limited to:

1. Screening and other areas of occupancy;
2. Relocation;
3. Development of the operating budget;
4. Development and implementation of resident programs;
5. Security; and
6. Maintenance.

C. Verification of component #3. resident involvement. The PHA should provide the reviewer with evidence that the Board of Commissioners has actively encouraged the appointment of a public housing resident to the Board of Commissioners through the passage of a Board resolution. Since the PHA has no authority to appoint Board members, acts of encouragement by the Board would be equal to a resident actually serving on the Board. These acts of encouragement include, but are not limited to:

1. Board resolution. The first item to verify for this component is that the Board of Commissioners has passed a resolution that calls upon the local appointing officials to appoint a resident to the Board, and provides for resident participation of Board committees and other PHA activities;
2. A letter from the Board Chairperson to the local appointing officials asking for the appointment of a resident to the Board of Commissioners; and

4/97

8-10

7460.5 G

3. Letters from the Board of commissioners to residents inviting participation on the Board.
 4. The reviewer should verify that the Board resolution was in effect for the FY being assessed.
 5. The minutes of the Board meeting at which the resolution was adopted should be examined to verify that the Board passed the subject resolution.
 6. If Board minutes do not contain reference to the passage of a Board resolution, or if the resolution was not in effect during the FY being assessed, the PHA will fail this component.
- D. While the PHA has no control over Board appointments, the Board of commissioners can invite residents to serve as non-voting advisory members on Board committees, on a resident ad hoc committee, or even on the Board itself. Documentation of residents serving on committees includes, but is not limited to:
1. Minutes of Board meeting showing the appointment of a resident as a non-voting advisory member;
 2. Minutes of Board committee meetings stating attendance by residents; and
 3. Evidence of special projects carried out jointly by the PHA and a resident group(s).
- E. Other involvement. There are other levels of resident participation and involvement, the most prominent being a public hearing where residents can provide input to the PHA. Documentation to verify this method of input includes, but is not limited to:
1. Minutes of Board meeting requesting resident representation at a public hearing(s);
 2. Copies of notices published and/or posted to

announce a public hearing(s);

3. Minutes of the public hearing(s);
4. Letters from residents regarding the scheduled public hearing(s); and
5. Minutes from meetings of resident organizations pertaining to the scheduled public hearing.

8-11

4/97

7460.5 G

8-5 COMPONENT #4, RESIDENT PROGRAMS MANAGEMENT. This component measures progress under any HUD funded programs that benefit residents including, but not limited to, Family Investment Centers, Food Banks, Health Clinics, Youth Apprenticeship Program, Family Self-Sufficiency, and Resident Management or Tenant Opportunity Program (where the PHA is the contract administrator). Also, PHAs can receive credit for implementation of programs through partnerships with non-PHA providers, even if the programs are not funded by HUD or the PHA, if they choose to be assessed for them. A PHA must select either to be assessed for all or none of the non-HUD funded programs. If a PHA does not have any HUD funded programs, and the PHA does not have or chooses not to be assessed under non-HUD funded programs, the State/Area Office will exclude this component from the PHA's assessment.

- A. Prior to the on-site confirmatory review, the reviewer should identify all the applicable programs for which the PHA has HUD funding to implement. The reviewer should also identify from the PHA's PHMAP certification if the PHA elected to be assessed for non-HUD funded programs. Only grant programs which were open at any time during the assessed fiscal year are measured under this component.
- B. Verification of component #4, resident programs management.
 1. In order to confirm the validity of a PHA's certification for this component, the reviewer will have to compare actual progress to the most recent implementation plan for each of the PHA's resident programs.
 2. The reviewer should assemble an accurate count of the number of goals for each program in question and then an accurate count of each goal met and degree of accomplishment in order to calculate the percentage of goals accomplished.
- C. Documentation of the implementation of resident Programs management. For each goal contained in the

implementation plan for which the PHA claims accomplishment, the PHA would be required to provide documentation that indicates the degree to which the goal was met.

1. For example, if under the Youth Sports Program, the PHA claimed that it had met its goal of holding teen drug prevention classes, the PHA would have to provide

4/97
7460.5 G

8-14

would have to provide documentation/records that verify the classes had actually been held.

2. This documentation verification would have to establish that people actually attended the classes, as opposed to announcements that the classes were scheduled to be held.
3. Documentation also would include evidence of a formal management contract or Memorandum of Understanding.

D. Calculation of component #4, resident programs management.

1. This component measures the percentage of goals met under the implementation plan(s) for resident programs. Even though the timely expenditure and processing of budgetary resources may not be a goal(s), the reviewer should examine these areas and provide technical assistance to a PHA, as warranted. The reviewer should determine the following:
 - a. Total number of goals included in all the implementation plan(s) for the FY being assessed; and
 - b. Total number of goals met in the FY being assessed;
2. The reviewer should examine the documentation to ensure that goals were actually accomplished as claimed by the PHA. It is not sufficient to simply review a statistical report. Interviews should be held with resident leaders and program participants.
3. To calculate the percentage of goals met, divide the total number of goals met by the total number of goals included in all the implementation plans.
4. For example, the Anywhere PHA has a total of 36 goals, with 31 of those goals met in the FY being

assessed, as follows:

8-15

4/97

7460.5 G

Calculation of Component #4, Resident Programs
Management

31 total number of goals met by the PHA = 86% goals met
36 total number of goals included in
the implementation plan(s)

5. In this example, the Anywhere PHA would score a grade of C for this component since at least 60 percent of the goals were met under the implementation plan for any/all of these programs.

4/97

8-16

7460.5