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.

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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? ___ ___

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<td>(a)</td>
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APPENDIX 20
(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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<td>(9) Office of Inspector General?</td>
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j. Examine Appendix 22?   ____  ____
k. Contact local government officials? ___ ___

1. 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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_____________________________________________________________________

APPENDIX 20

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<td>e.   Other participant(s) in attendance: ______</td>
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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: _________________________________________

APPENDIX 20

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? ___ ___


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: _________________________ ___ ___

20. Report released to the public or news media? ___ ___
   Date released: _____________________________
   Released to: _____________________________


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: __________________________________________________________
_________________________________________________________________________________
_________________________________________________________________________________
_________________________________________________________________________________
_________________________________________________________________________________
_________________________________________________________________________________