

APPENDIX 3. PHYSICAL NEEDS ASSESSMENT - COMPREHENSIVE
IMPROVEMENT ASSISTANCE PROGRAM

SECTION 1. INTRODUCTION

1. OBJECTIVES. This Appendix contains instructions for use of the Survey Instrument in conducting the required physical needs assessment under the Comprehensive Improvement Assistance Program (CIAP). Data derived from this assessment will permit completion of the Form HUD-52825, Comprehensive Assessment/Program Budget (See Appendix 10, CIAP Handbook 7485.1 REV-2), and will serve as a verification of the project's needs during the Joint Review. This Survey Instrument is completed by the PHA before the Joint Review.

SECTION 2. INSTRUCTIONS

2. ORGANIZING FOR THE SURVEY. The physical needs assessment shall be undertaken in preparation for the Joint Review. Performance of the assessment, especially in large PHAs with sufficient staff, may be accomplished via a team approach or separate teams doing the assessment and the energy audit. The PHA should organize the assessment by:

- a. Reviewing the Survey Instrument to become familiar with the types of information requested. Disregard items which do not apply to the particular project's physical characteristics.
- b. Identifying personnel responsible for conducting the assessment.
- c. Obtaining information from prior surveys that might have some of the data required for the physical needs assessment.
- d. Recording information from project architectural and mechanical drawings and prior relevant surveys onto the Survey Instrument.

3. SCOPE OF SURVEY. Judgment must be used in determining the extent of the survey. For example, when conditions are known to be similar in all units, a sampling of dwelling units may be surveyed. When variations are substantial, a 100% survey shall be conducted. In determining the extent of the survey, the following precepts shall apply:

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a. Nondwelling Spaces.

- (1) If possible, survey all nondwelling spaces, but at least 50% if conditions are known to vary; or

- (2) If all such spaces are known to be in the same condition, survey at least 20% of the total.

b. Dwelling Units.

- (1) Of all units are in similar condition, survey 10% or a statistically valid sampling of the dwelling units. Include in the sampling each type of unit size, e.g., one-, two-, and three-bedroom, and survey typical unit types in typical buildings.
- (2) Survey those units which are more subject to architectural stress, such as:
 - (a) ground floor units;
 - (b) units underneath the roof;
 - (c) units adjacent to elevator cores; and
 - (d) units on the sides of the building which receive the most weathering.

4. SURVEY INSTRUMENT. The Survey Instrument is divided into sixteen components which simulate the way in which an inspector would "walk through" a public housing project. These components are listed at the beginning of the Survey Instrument.

- a. Abbreviations and Symbols. The Page content for nondwelling spaces is similar for the first fourteen components of the survey. A sample page (Figure 1) is provided with both abbreviations and symbols noted. These are explained as follows:

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- (1) The four categories of need are noted by the following symbols:
 - o E, Emergency - health and safety items requiring immediate correction.
 - o En, Energy items which are energy related and may be a part of a cost-effective energy conservative opportunity (ECO) selected from HUD publication, Energy Conservation for Housing: A Workbook (HUD-PD-700(3) or other HUD-approved energy audits. In such cases, Handbook 7485.2 REV-2 should be referenced as well as the completed energy audit to determine the extent to which an actual ECO is involved.
 - o S, Security - project specific items which are

related to tenant and project security.

- o Ps, Project Specific - other project specific items which are necessary for long-term viability.
 - (2) Each condition is keyed by the surveyor to the applicable four categories of need.
 - (3) The Survey Instrument is keyed to the applicable section of this Handbook, e.g., in Figure 1, ROADS, GENERAL 3-2 references Paragraph 3-2 of the Handbook.
 - (4) The box S, Satisfactory, is to be checked by the surveyor if the condition of the survey item is satisfactory, requiring no remedial action.
- b. Page Structure Dwelling Unit Inventory. The dwelling unit survey consists of two parts: the Project-Wide Dwelling Unit Inventory; and the Dwelling Unit Survey.
- (1) Project-Wide Dwelling Unit Inventory provides for the collection of information about the generally prevalent characteristics and conditions of all the dwelling units and serves as a one-time general evaluation about such features. The profile is completed one time for each bedroom size and different configuration. Conditions surveyed are of the type that apply to all dwelling units of the given size and type. Hence, there is no need to survey all dwelling units to ascertain the presence of items. For example, if closets or kitchen

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storage facilities are not equipped with doors, there is no need to complete this question for all dwelling units. The findings of this survey must be expanded, however, to cover all of the bedroom unit types surveyed.

- (2) Dwelling Unit Survey covers any problem items specific to the condition of the individual dwelling unit being surveyed which is not generic to the class of dwelling units. In the example above, one would be concerned with the condition of closets and of kitchen storage facilities, but not the absence of doors.
6. PHYSICAL NEEDS ASSESSMENT ANALYSIS. The following steps must be taken after the physical needs assessment, including the energy audit, is completed.
- a. Quantify and Expand. The analysis of the assessment and energy audit should be done jointly after quantities of work items have been summarized on each individual survey summary sheet (Figure 2). This is so that a joint agenda

may be prepared for subsequent costing and so that related work items may be combined into single tasks.

- (1) If less than 100% of the project was Surveyed for certain work items, the quantity required for remedial action should be expanded to cover the entire project. For example, in a 50% survey of 100 units:

Remedial Action	Survey Coverage	Quantity Observed
Patch and Plaster 25 sq. ft. of bathroom walls	50%	50 bathrooms x 25 sq. ft. or 1250 sq. ft.

If all bathrooms are likely to require the above remedial action, the expansion to 100 units is calculated dividing the quantity observed (1250 sq. ft.) by the percentage of survey coverage (.50). The quantity eyed is 2500 sq. ft. The expansion should be written on the survey. Figure 2 shows addition samples.

FIGURE 2, APPENDIX 3

SAMPLES OF EXPANDED SURVEY ITEMS

250 Unit Project in 5 Buildings

Remedial Action	Survey Coverage	Quantity Observed	Quantity Required	Quantity Expanded
Install parking lot wheelstops	50%	20LF	20/.50	40LF
Install closet doors in dwelling units-all	30%	75	250 or 75/.30	250
Install closet doors in units - building 1 only	100%	50	50	50
Recaulk around bathtubs	30%	9 LF	9x75/.30 or 9x250	2250LF
Replace screen windows	30%	40	40/.30	133

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- b. Organize. The organization of the quantified results should follow the 16 general areas of the Survey Instrument. PHAs

will be able to identify comprehensive systems of improvements, which include the results of the energy audit, in the following fashion on the suggested Project Cost Estimate Worksheet, Figure 3:

- (1) Identify project building component, i.e., site, building envelope, etc.
 - (2) Identify itemized remedial action, i.e., install, repair, or replace.
 - (3) Transfer units and quantities onto the Project Cost Estimate Worksheet, i.e., linear feet, square feet, each, etc.
 - (4) Check from survey(s) if the remedial action is an emergency, energy, security or project specific item. If it is an energy item, record the cost of installation in the cost column and check the column marked EN, as well as the other columns for which the item is appropriate. Note that the cost of an energy item will come from the energy audit.
- c. Estimate Costs. With the above steps completed, projects should have a composite listing of remedial actions and quantities needed to bring the project up to the mandatory standards. This listing from the Project Cost Estimate Worksheets must be cost estimated, using the category of improvements for which funds are to be requested on Form HUD-52825. The following steps are suggested to obtain total costs:
- (1) Ascertain PHA in-house capability.
 - (2) If there are no in-house cost estimation procedures, obtain estimates from locally recognized cost indices, local cost estimators or from any source commonly used and approved by the PHA.
 - (3) When a source has been identified, note that the estimate must include the total or unit cost of an item installed. Note where force account labor is used, materials, labor, supervision and job-related costs shall apply.

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- (4) Since all cost estimates must specify materials, in the event that material specifications exceed the mandatory standards, due to current materials, security or individual project requirements, provide a justification with the Final Application.
- (5) Record the unit cost and total cost in the appropriate

columns, making sure that appropriate category columns are checked, i.e., E(emergency), En(energy), S(security), Ps(project specific). Some items may be appropriate for more than one category column.

- (6) Cost estimates are to include all needss for which funds are required. This includes demolition, construction, finishing, and related repairs thereto as well as installation, materials, labor and supervision. The Project Cost Estimate Worksheet and supporting documentation shall be presented at the Joint Review. The PHA shall indicate when labor costs are based on force account.
- (7) Whenever possible, obtain costs for systems of improvements which may allow quantity cost savings on packages which will remedy several problems with a single cost and material.
- (8) Total all costs with a check in the E(emergency) column. To prevent double counting, note whenever the item is also an ECO. This may be noted as a subtotal, i.e., Emergency - Energy.
- (9) Total all costs with a check in the PS(project specific) column. Avoid double counting for ECOs; utilize sub-totals, i.e., Project Specific - Energy.
- (10) Total all remaining costs which have no check in the PS or E columns, again insuring against double counts by noting subtotals.
- (11) Record any remaining ECO costs deemed cost-effective from the energy audit and not recorded in any of the above totals.
- (12) Add all of the above to obtain the grand total cost estimate for the project. Figure 4 demonstrates this costing procedure.