

SUB-INDICATOR #4: ANNUAL INSPECTIONS OF DWELLING UNITS AND SYSTEMS

I. Definition:

This sub-indicator examines units and systems inspected annually using the Uniform Physical Condition Standards (UPCS). The PHA is required to document that it has analyzed the local code and compared it to the UPCS. This narrative comparison must specifically identify those sections of local code that are more stringent than UPCS. The PHA should also include local code requirements that are not present in UPCS. The inspection form used by the PHA must be annotated to include the standard from the local code in each case where it is more stringent. If there is no local code, it is recommended that the PHA get a letter from the local jurisdiction (County or City) stating that fact. Keep that letter or the narrative analysis in the PHA PHAS file as documentation for a minimum of three years.

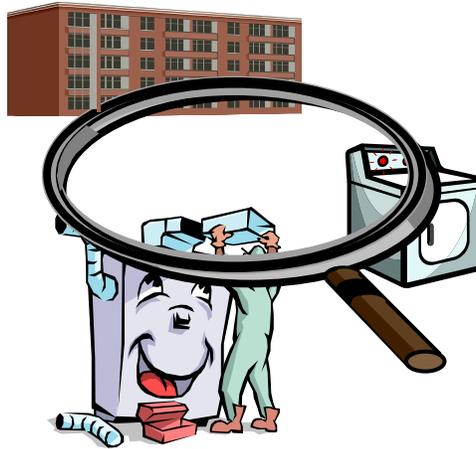
**Maximum
Point(s):
4**

II. Regulations:

- 24 CFR Part 902, Subpart D

III. Process Workflow:

Measures the percentage of units and systems that a PHA annually inspects using UPCS and local codes to determine short-term maintenance and long-term Capital Fund needs.



IV. Components:

Component #1: Annual Inspection of Dwelling Unit (2 points)

Component #2: Annual Inspection of Systems (Including Common Areas and Non-Dwelling Space)
(2 points)

V. Suggested Data Sources:

1. PHA's Annual Contributions Contract (ACC) and most recent amendments.
2. The PHA should have a tracking system to document when each inspection was completed, what was found during the inspection and whether the action taken included:
 - Completing repairs during the inspection;
 - Issuing work orders; or
 - Referred similar work items to the current year's Capital Fund Program, or to next year's Capital Fund Program if there were less than three months remaining before the end of the PHA fiscal year when the inspection was completed.
3. Preventive maintenance schedule.

Component #1 Annual Inspections of Dwelling Units

1. PHA will need an annual inspection schedule and log which lists every unit and reports:
 - The date the inspection was completed; or
 - The dates of two efforts to inspect; and
 - The status of subsequent legal action to gain access to the unit.
2. Completed inspection forms for each unit inspected must be available in either resident files or unit files. Forms should be accompanied by documentation of any deficiencies not repaired during the inspection that:
 - A work order was issued; or
 - Referred similar work items to the current year's Capital Fund Program, or to next year's Capital Fund Program if there were less than three months remaining before the end of the PHA fiscal year when the inspection was completed.

Component # 2 Annual Inspection of Systems (Including Common Areas and Non-Dwelling Space)

1. PHA will need an annual inspection schedule and log which lists every building, non-dwelling space and common and report, the date the inspection was completed.
2. The PHA should have a Maintenance Plan which includes schedules and procedures for annual inspection of buildings and systems.
3. Preventive maintenance schedule.

VI. Things to Remember:

- ✓ One of the purposes of both dwelling unit inspections and systems inspections is to determine long-term modernization (capital) needs. Deficiencies can be included in the PHA Annual and 5-Year Plans.
- ✓ Deficiency noted must be completed during the inspection, issued a work order or referred similar work items to the current year's Capital Fund Program, or to next year's Capital Fund Program if there were less than three months remaining before the end of the PHA fiscal year when the inspection was completed.
- ✓ A PHA is required to maintain documentation related to this sub-indicator for a period of three years.
- ✓ Implicit in this sub-indicator is the adequacy of the PHA's inspection program in terms of the quality of a PHA's inspections, and how a PHA tracks both inspections and needed repairs.

Component #1: Annual Inspection of Dwelling Units

I. Definition:

While HUD does not prescribe a specific format for the inspection of dwelling units, PHAs are required to inspect all units that are not specifically exempted under this sub-indicator, using the Uniform Physical Condition Standards (UPCS). Units specifically exempt from inspection include:

- The PHA has made two documented attempts to inspect, but only if the PHA can document that appropriate legal action has been taken, including eviction;
- Units vacant for the full immediate past fiscal year that are undergoing section 9(d) capital funding; and
- Units vacant for the full immediate past fiscal year that are documented to be uninhabitable for reasons beyond the PHA's control due to high/unsafe levels of hazardous/toxic materials, by order of the local health department or a directive from the Environmental Protection Agency, natural disasters, and units that became structurally unsound.

Maximum Point(s):

2

II. Suggested Data Sources:

1. PHA's annual inspection schedule and log which lists every unit and reports:
 - The date the inspection was completed; or
 - The date of two efforts to inspect; and
 - The status of subsequent legal action to gain access to the unit.
2. Completed inspection forms for each unit inspected must be available in either resident files or unit files. Forms should be accompanied by documentation of any deficiencies not repaired during the inspection that:
 - A work order was issued; or
 - The work was referred to the current or following year's Capital Fund/modernization program.

III. Elements:

Element Number	Element Description	Instructions for Completing Element Submission
A10000	The total number of ACC units.	Enter the total number of low-rent ACC, as amended, units. Please refer to the current ACC.
A10100	The sum of units exempted where the PHA made two documented attempts to inspect and is enforcing the lease.	Enter the sum of units exempted where the PHA made two documented attempts to inspect and is enforcing the lease. Please refer to the inspection schedule and log and other suggested data sources for information for this element.

III. Elements Continued:

Element Number	Element Description	Instructions for Completing Element Submission
A10200	Vacant units exempted for Capital Fund.	Enter the number of vacant units exempted for Capital Fund. Please refer to the inspection schedule and log, completed inspection forms, tracking system and other suggested data sources for information for this element.
A10300	Vacant units exempted for other reasons.	Enter the number of vacant units exempted for other reasons. Please refer to the inspection schedule and log, completed inspection forms, tracking system and other suggested data sources for information for this element.
A10400	Total number of units inspected using the UPCS.	Enter the number of units inspected using the UPCS. Please refer to the inspection schedule and log, completed inspection forms, tracking system and other suggested data sources for information for this element.
A10550	Total number of units inspected that did not require repairs.	Enter the total number of units entered for this element should represent the number of units that did not require repairs to meet the UPCS at the time of the inspection. Please refer to the inspection schedule and log and other suggested data sources for information for this element.
A10600	Total number of units where necessary repair were completed to comply with UPCS either during the inspection, issued work orders for the repairs, or referred the deficiency to the current year's or next year's Capital Fund/modernization program.	Enter the total number of units where necessary repair were completed to comply with UPCS either during the inspection, issued work orders for the repairs, or referred the deficiency to the current year's or next year's Capital Fund/modernization program. Please refer to the inspection schedule and log, completed inspection forms, tracking systems and other suggested data sources for information for this element.
A10700	Adjusted units available.	Read only. System generated.
A10800	Percent of units inspected by the PHA.	Read only. System generated.
A10900	Percent meeting UPCS.	Read only. System generated.

IV. Things to Remember:

- ✓ All units and space shall be inspected. This includes units used for non-dwelling purposes, those occupied by an employee and those used for resident services.
- ✓ Implicit in this sub-indicator is the adequacy of the PHA's inspection program in terms of the quality of a PHA's inspections, and how a PHA tracks both inspections and needed repairs.

V. Best Practices:

- ✓ Keep an inspection schedule and log listing every unit and occupied space.
- ✓ Keep documentation of the PHA's effort to inspect.
- ✓ Keep documentation as result of legal action to gain access to the unit.

VI. Criteria for Scoring:

Grade	Annual Inspection of Dwelling Units
A	The PHA inspected 100% of its units and, if repairs were necessary for local code or UPCS compliance, either completed the repairs during the inspection; issued work orders for the repairs; or referred similar work items to the current year's Capital Fund Program, or to next year's Capital Fund Program if there were less than three months remaining before the end of the PHA fiscal year when the inspection was completed.
B	The PHA inspected less than 100% but at least 97% of its units and, if repairs were necessary for local code or UPCS compliance, either completed the repairs during the inspection; issued work orders for the repairs; or referred similar work items to the current year's Capital Fund Program, or to next year's Capital Fund Program if there were less than three months remaining before the end of the PHA fiscal year when the inspection was completed.
C	The PHA inspected less than 97% but at least 95% of its units and, if repairs were necessary for local code or UPCS compliance, either completed the repairs during the inspection; issued work orders for the repairs; or referred similar work items to the current year's Capital Fund Program, or to next year's Capital Fund Program if there were less than three months remaining before the end of the PHA fiscal year when the inspection was completed.
D	The PHA inspected less than 95% but at least 93% of its units and, if repairs were necessary for local code or UPCS compliance, either completed the repairs during the inspection; issued work orders for the repairs; or referred similar work items to the current year's Capital Fund Program, or to next year's Capital Fund Program if there were less than three months remaining before the end of the PHA fiscal year when the inspection was completed.
E	The PHA inspected less than 93% but at least 90% of its units and, if repairs were necessary for local code or UPCS compliance, either completed the repairs during the inspection; issued work orders for the repairs; or referred similar work items to the current year's Capital Fund Program, or to next year's Capital Fund Program if there were less than three months remaining before the end of the PHA fiscal year when the inspection was completed.
F	The PHA has failed to inspect at least 90% of its units and, or failed to correct deficiencies during the inspection or issue work orders for the repairs; or failed to refer similar work items to the current year's Capital Fund Program, or to next year's Capital Fund Program if there were less than three months remaining before the end of the PHA fiscal year when the inspection was completed.

VII. Calculation(s) by System:

1. [A10700] Adjusted units available = [A10000] The total number of ACC units – ([A10100] The sum of units exempted where the PHA made two documented attempts to inspect and is enforcing the lease + [A10200] Vacant units exempted for Capital Fund + [A10300] Vacant units exempted for other reasons).
2. [A10800] Percent of units inspected by PHA = [A10400] The number units inspected using UPCS / [A10700] Adjusted units available.

**Component #2: Annual Inspection of Systems
(Including Common Areas and Non-Dwelling Space)**

I. Definition:

The purpose of this component is to ensure that, in addition to the annual inspection of individual dwelling units, PHAs are also annually inspecting and maintaining the major systems, including common areas and non-dwelling space, that are essential to decent, safe and sanitary housing. This component examines: the inspection of building and sites according to the PHA's Maintenance Plan; performing the required maintenance on structures and systems in accordance with the manufacturer's specifications and established local/PHA standards; issuing work orders for maintenance/repairs; or including identified deficiencies in the current year's Capital Fund/modernization program, or in the next year's Capital Fund/modernization program if there are less than three months remaining before the end of the PHA fiscal year when the inspection was performed.

In order to complete this component, the PHA should have available its written Maintenance Plan.

**Maximum
Point(s):**

2

II. Suggested Data Sources:

1. Inspection schedule and log.
2. The PHA Maintenance Plan, which includes schedules and procedures for annual inspection of building and systems. The Maintenance Plan should detail the full range of maintenance requirements for all systems, PHA-wide. Understandably, the plans will be more detailed in larger PHAs. Nonetheless, all PHAs should regard the Maintenance Plan as the basic guide to all required maintenance activities. Using the plan, the PHA should be able to identify and document the full scope of all required maintenance activities.
3. Preventive maintenance schedule.

III. Elements:

Element Number	Element Description	Instructions for Completing Element Submission
A11100	Total number of projects under the ACC.	Enter the total number of projects under the ACC. Please refer to the Maintenance Plan, tracking system and other suggested data sources for information for this element.
A11200	Total number of projects exempted from the inspection of systems.	Enter the total number of projects exempted from the inspection of systems. Please refer to the Maintenance Plan, tracking system and other suggested data sources for information for this element.

III. Elements Continued:

Element Number	Element Description	Instructions for Completing Element Submission
A11300	Total number of projects where all systems were inspected in accordance with the UPCS.	Enter the total number of projects where all systems were inspected in accordance to the UPCS. Please refer to the Maintenance Plan, tracking system and other suggested data sources for information for this element.
A11400	Total number of buildings.	Enter the sum total number of all buildings at each site/project. Please refer to the Maintenance Plan, tracking system and other suggested data sources for information for this element.
A11500	Total number of buildings exempted from the inspection of systems.	Enter the sum total number of all buildings exempted from the inspection of systems. This applies to buildings where all the units are: <ul style="list-style-type: none"> ➤ Deprogrammed - formally removing units under the ACC out of service as a result of demolition or conversion and all units in the building are vacant; and ➤ Undergoing modernization - construction that is necessary to reoccupy the vacant units or the units are under a HUD-approved modernization budget. Please refer to the Maintenance Plan, tracking system and other suggested data sources for information for this element.
A11600	Total number of buildings where all systems were inspected in accordance with the UPCS.	Enter the total number of buildings where all systems were inspected in accordance with the UPCS. Please refer to the Maintenance Plan, tracking system and other suggested data sources for information for this element.
A11700	The number of buildings and projects where necessary repairs were completed to comply with the UPCS either during the inspection, issued work orders for the repairs, or referred the deficiency to the current year's or next year's CFP.	Enter the total number of buildings and projects where necessary repairs were completed to comply with the UPCS either during the inspection, issued work orders for the repairs, or included identified deficiencies in the current year's CFP, or in next year's CFP if there are less than three months remaining before the end of the PHA fiscal year when the inspection was performed. Please refer to the tracking system, Maintenance Plan and other suggested data sources for information this element.
A11800	Percentage of projects inspected.	Read only. System generated.
A11900	Percentage of buildings inspected.	Read only. System generated.

IV. Things to Remember:

- ✓ Systems include, but are not limited to:
 1. Structural building envelopes which include:
 - roofing, walls, siding, windows, hardware,
 - flashing and caulking, fire escapes, foundations, doors
 2. Mechanical systems which include:
 - heating, ventilation, air conditioning, plumbing, sanitary system,
 - underground utilities (gas, electrical and water), fuel storage tanks, sprinkler systems (if applicable)
 3. Electrical systems which include:
 - underground and above ground transmission equipment, elevators, emergency,
 - generators, door bells, electronic security devices, fire protection and smoke alarms, outdoor and indoor lighting (halls, stairwells, public areas and exit signs)
 - Transformers, panel boxes, exhaust system, outlets and switches
 4. Other items, if applicable:
 - roadways, parking areas, sidewalks, property drainage, playgrounds and tot lots, etc, mailboxes, fencing

- ✓ Projects can be exempted if all the units in all the buildings are uninhabitable, scheduled for demolition or disposition, or otherwise exempt.
- ✓ Inspection of systems should be in accordance with the PHA’s Maintenance Plan.
- ✓ Implicit in this sub-indicator is the adequacy of the PHA’s inspection program in terms of the quality of a PHA’s inspections, and how a PHA tracks both inspections and needed repairs.

V. Best Practices:

- ✓ Keep an inspection schedule and log listing every building, site and system.
- ✓ Keep documentation of the PHA’s effort to inspect.

VI. Criteria for Scoring:

Grade	Annual Inspection of Systems
A	The PHA inspected all major systems at 100% of its buildings and projects, according to its Maintenance Plan. The inspection included performing the required maintenance on structures and systems in accordance with manufacturer’s specifications and established local/PHA standards, or issuing work orders for maintenance/repairs, or including identified deficiencies in the current year’s CFP, or in next year’s CFP if there are less than three months remaining before the end of the PHA fiscal year when the inspection was performed.

VI. Criteria for Scoring Continued:

Grade	Annual Inspection of Systems
B	The PHA inspected all major systems of at least a minimum of 90% but less than 100% of its buildings and projects, according to its Maintenance Plan. The inspection included performing the required maintenance on structures and systems in accordance with manufacturer's specifications and established local/PHA code standards, or issuing work orders for maintenance/repairs, or including identified deficiencies in the current year's CFP, or in next year's CFP if there are less than three months remaining before the end of the PHA fiscal year when the inspection was performed.
C	The PHA inspected all major systems of at least a minimum of 80% but less than 90% of its buildings and projects, according to its Maintenance Plan. The inspection included performing the required maintenance on structures and systems in accordance with manufacturer's specifications and established local/PHA code standards, or issuing work orders for maintenance/repairs, or including identified deficiencies in the current year's CFP, or in next year's CFP if there are less than three months remaining before the end of the PHA fiscal year when the inspection was performed.
D	The PHA inspected all major systems of at least a minimum of 70% but less than 80% of its buildings and projects, according to its Maintenance Plan. The inspection included performing the required maintenance on structures and systems in accordance with manufacturer's specifications and established local/PHA code standards, or issuing work orders for maintenance/repairs, or including identified deficiencies in the current year's CFP, or in next year's CFP if there are less than three months remaining before the end of the PHA fiscal year when the inspection was performed.
E	The PHA inspected all major systems of at least a minimum of 60% but less than 70% of its buildings and projects, according to its Maintenance Plan. The inspection included performing the required maintenance on structures and systems in accordance with manufacturer's specifications and established local/PHA code standards, or issuing work orders for maintenance/repairs, or including identified deficiencies in the current year's CFP, or in next year's CFP if there are less than three months remaining before the end of the PHA fiscal year when the inspection was performed.
F	The PHA failed to inspect all major systems of at least a minimum of 60% its buildings and projects and perform the required maintenance on these systems in accordance with manufacturer's specifications and established local/PHA code standards, or did not issue work orders for maintenance/repairs, or did not include identified deficiencies in the current year's CFP, or in next year's CFP if there are less than three months remaining before the end of the PHA fiscal year when the inspection was performed.

VII. Calculation(s) by System:

1. [A11800] Percent of projects (adjoining with no natural boundaries) inspected = [A11300] The total number of sites where all systems were inspected according with the PHA Maintenance Plan / [A11100] Total number of projects.
2. [A11900] Percent of building inspected = [A11600] The total number of building where all systems were inspected according with the PHA Maintenance Plan / [A11400] Total number of buildings - [A11500] Total number of buildings exempted from the inspection of systems.