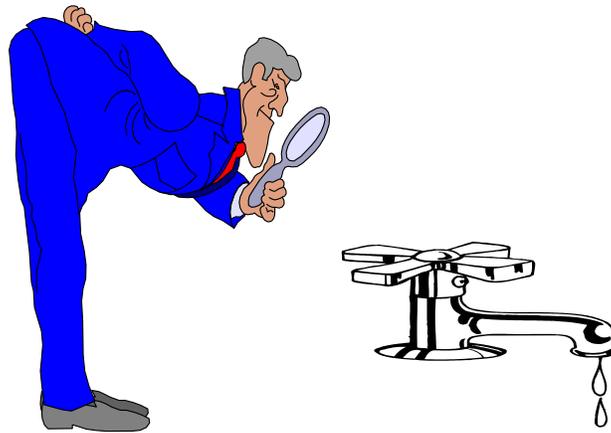


# ***PHAS Planning Sessions***

***March 4, 2003***



# PHAS Inspection Planning

March 4, 2003

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## Introduction

### **What – Why – How - Who – When – Where?**

**What:** PHAS Inspections or PHAS Physical Conditions Inspections are HUD's annual inspections of a random sample of all PHA properties.

**Acronyms:**

<b>PHAS</b>	Public Housing Assessment System
<b>PASS</b>	Physical Assessment Subsystem (of PHAS)
<b>UPCS</b>	Uniform Physical Conditions Standards
<b>EHS</b>	Exigent Health and Safety Violations
<b>REAC</b>	HUD's Real Estate Assessment Center oversees PHAS

**Why:** The Agency's #1 Goal is to retain the high performer rating under PHAS (90 points or above out of 100).

HUD's goal is to assess the performance of all 3300 housing authorities, and to document the physical condition of subsidized properties.

The PHAS score, including the Physical Condition score and three other components, is HUD's official rating of the PHA's performance each year. HUD says the High Performer rating will earn the Saint Paul PHA a bonus in capital funding and other benefits like less paperwork and less HUD oversight.

**How:** HUD's REAC contracts with companies, which hire, train and supervise the people who inspect PHA properties. Inspectors are not HUD employees.

HUD/REAC sets the inspection standards (UPCS) and provides the inspection computer software.

The contractor calls or writes to the PHA to schedule the inspections, with as little as 10 days advance notice.

Each day the inspectors meet on-site with PHA staff, review required documentation and paperwork, select a random sample of units, inspect them, and send the results to REAC. Neither the inspectors nor PHA staff knows the daily inspection scores. Inspection results are posted later on REAC's website. The PHA can send written requests for score adjustments.

**Who:** PHA staff directly involved in PHAS inspections include, Maintenance Managers, Assistant Housing Managers, Maintenance Supervisors, Housing Managers, Technical Services Supervisors and Project Leaders.

**When:** January, February or March of each year (the last quarter of the PHA's fiscal year) are when the PHAS inspections are supposed to occur. The length of time the full round of inspections takes depends on how many inspectors are assigned. See attached inspection schedule.

**Where:** All developments, including dwelling units, common areas, offices, mechanical areas, building exteriors and sites; community centers, maintenance garages, etc.

### **Preparation for Inspections (before notice is received)**

- During January - February – March – expect notice at any time.
- Review PHAS protocol, UPCS standards and PHA procedures with staff.

### **Inspection preparation:**

Keep your eyes open to identify and have corrected all deficiencies. ***Bold Italics*** are emergencies and work orders need to be initiated immediately upon identification:

- ***Missing breaker panels***, electrical box covers (including those in mechanical areas)
- ***Inaccessible electrical panels in dwelling or non-dwelling areas*** – not painted shut or blocked by furniture or wall hangings, equipment, etc.
- ***Missing or broken outlet covers and switch plates***
- ***Burnt out bulbs in exit lights***
- ***Fire doors in hi-rise corridors that do not close and latch freely*** (including doors to apartments and stairwells)
- ***Security screens on 1st floor bedrooms that do not open freely*** (must have 2 exits)
- ***Non-functioning GFI's*** (test by pressing “Test” button, then “Reset” button)
- Fire extinguishers - tags must all be dated and initialed to show they were checked within the last 12 months (in scattered site and family area homes). In hi-rises tags should be initialed monthly. Gauge must show extinguisher is fully charged.
- ***Non-functioning smoke detectors*** – all must be in working order and sound when tested
- Tripping hazards – uneven pavement, broken curbing, potholes, rippling carpet, extension cords, debris, etc.
- Missing/stained ceiling tiles and light fixture lenses in hi-rises, community centers
- Make sure that non-PHA equipment is clearly labeled – RAP freezers, etc.

### **Administrative preparation**

- Assemble documentation – certifications; reports ready to run for unit/resident lists, etc.
- Draft inspection calendar, list of staff to accompany inspectors on all inspections
- Check/update notice letter to residents
- Prepare for likely appeals/requests for adjustments
- Copy last year's paperwork on code conflicts (the score was adjusted)
- Non-PHA equipment – air conditioners, CO detectors, washers/dryers; copy form letters for residents to sign

### **Notice is Received**

- Circulate calendar; update staff assignments for all time slots
- Housing Management staff will insert dates and mail notices to residents, by day and development (7-10 day advance notice).
- Housing Manager and Maintenance Manager schedule walk-through of family development and hi-rise sites, grounds and common areas immediately before inspections – glass on sidewalks, trash/litter?
- MIS will create a report so each Housing Manager can print out lists of units, resident names (for Housing Managers to review when the inspector picks the random sample of units to be inspected)
- Confirm where inspector will go meet staff on the first day – Valley Hi-Rise
- Prepare to ask REAC to adjust scores, if necessary/AI Hester
  - ✓ Check copies of last year's paperwork on code conflicts/AI Hester
  - ✓ Document modernization work in progress – send letter to REAC and inspection contractor/Tech Services
- Check keys – Staff who will accompany inspectors should have keys for all of their units, buildings (every door!). Arrange to get keys before inspection if necessary.

### **Day Before the Inspection**

#### **Assemble materials to take on inspection:**

- PHA staff ID badge/All Staff
- PHA Unit Inspection Forms – family or hi-rise – 1 per unit inspected/Management Staff
- While You Were Out forms/Maintenance Staff
- Staff in Unit doorknob notices/Maintenance Staff
- Smoke detector sticks/Maintenance Staff
- Copy of notice letter to residents/Management Staff
- Digital camera to record deficiencies (make sure batteries are charged and staff know how to use the camera)/Management Staff
- Scattered site maps/Management Staff
- Form letters on non-PHA equipment/Management Staff

#### **Check all materials to give to inspector**

- Copy of inspection notice letter to residents of that development/Management Staff
- List of all units in that development/Management Staff
- Number of vacant units (noted on unit/resident list; verify)/Management Staff
- Site plans for family developments, with all unit numbers/addresses/Tech Services Staff
- Square footage of parking lots, driveways and sidewalks, the inspector should already have these/Tech Services Staff
- Number of buildings in that development, including hi-rises and separate maintenance buildings; number of separate townhouse, fourplex/duplex and single family buildings (garages at scattered site homes are not counted as separate buildings)/Management Staff (from MIS)

#### **Family Units:**

- Lead-based paint testing certifications/Management Staff
- Lead-based paint notices to residents/Management Staff

#### **Building Systems: Hi-Rise and Community Center certifications:**

- Elevator/Tech Services Staff
- Boiler/Maintenance Staff
- Alarm System Test Reports/Tech Services Staff
- Fire Safety Sprinkler System Test Reports/Tech Services Staff
- Generator Test Reports/Tech Services Staff
- Kitchen Hood Test Reports/Tech Services Staff

**Note: All of the above test reports must include documentation of repairs identified during the inspection and testing process.**

### **First Day of Inspections/March 17, 2003/Valley Hi-Rise**

Before the inspections start, on the first day, the inspector will attend a short meeting with Al Hester and other staff at Valley Hi-Rise.

#### **Morning (or Afternoon) of the Inspection**

- Meet at the inspection site, unless other arrangements are made in advance.
- Inspectors start at 8:00 AM.
- Staff **must** arrive on time (preferably a few minutes early) and be ready with all documentation and paperwork.
- Review of the documentation and paperwork takes 15-45 minutes before the actual inspection begins.
- Staff will confirm the day's schedule and transportation with the inspector.
- The inspector will drive.
- Lunch break – Staff will clarify with inspector in advance.

- End day by 4:30 PM. HUD does not require PHA staff to work overtime for inspections.
- End of day – return to the office (Maintenance staff are to copy and fax in notices of Exigent Health and Safety Violations and Inspection Certification and Order Form).
- Confirm next day's starting place and time.

**Materials to give to inspector:**

- Copy of inspection notice letter to residents of that development
- List of all units in that development
- Number of vacant units (not units used for offices or other non-dwelling uses)
- Site plans for family developments, with all unit numbers/addresses
- Square footage of parking lots, driveways and sidewalks, although the inspector should already have these.

**Family Units:**

- Lead-based paint testing certifications
- Lead-based paint notices to residents, signed by a resident of that development

**Building systems: Hi-Rise and Community Center certifications:**

- Elevator
- Boiler
- Alarm Systems Test Reports
- Fire Safety Sprinkler Systems Test Reports
- Generator Test Reports
- Kitchen Hood Test Reports

**Note: Including documentation of repairs identified during the inspection and testing process.**

**PHA staff involvement during inspections:**

- Prepare for requests for score adjustments
  - ✓ Offer copies of last year's paperwork on code conflicts (fire hoses, furnace vents, egress).
  - ✓ Document modernization work in progress at sites to be inspected – give the inspector a copy of any letters to REAC and contractor.
  - ✓ Note any "conditions beyond PHA control" which may affect score – heavy rains or snow in last 48 hours, etc.
- The inspector's computer will pick the random sample of units to be inspected – up to 25, depending on the size of the development.
  - ✓ Housing Manager – Review list of units picked for random sample.
  - ✓ Are any vacant? The inspector will still want to see the unit to verify it is vacant, but it will not be inspected.
  - ✓ Are there any major resident problems? Eviction in progress, critical illness, mental health issues, etc. – whether or not these units are inspected are up to the inspector, but Management staff will mention. Inspectors can pick alternate units.

**Take with you on the inspections:**

- PHA staff ID badge
- Keys – to all units, offices, common areas, mechanical areas, closets, storage rooms, etc.
- Cell phone – to call in emergency work orders.
- PHA unit inspection forms – family or hi-rise (1 per inspection; max 25 per development)
- While You Were Out cards

- Staff in Unit doorknob notices
- Smoke detector sticks
- Copy of notice letter to residents
- Digital camera to record deficiencies
- Maps for scattered sites – Hudson’s, PHA maps
- Form letters on non-PHA equipment – air conditioners, CO detectors, washers/dryers; take copies of the letter for residents to sign.

### **During the Inspections**

- PHA staff should knock or ring doorbell, explain the inspection’s purpose to the resident, show notice letter if questioned. (“This is the inspector under contract with HUD,” not “the HUD inspector”)
- Staff can check smoke detectors, stove burners, etc., if the inspector requests.
- Use PHA unit inspection form to record deficiencies.
- Inspectors may ask staff to carry the list with random units marked, and check them off as they are inspected.
- Non-PHA equipment (air conditioners, etc.), note if any is cited as broken. If resident is present, ask them to confirm that the equipment is not PHA’s. Housing Manager will ask the resident to sign the form letter then or within 1 week. Send letter to AI Hester.
- Exigent Health and Safety Violations (EHS)  
These are serious deficiencies. If the inspector cites any of these, **make sure you know and understand what is being cited**. Don’t argue with the inspector, but **ask questions to clarify it if you aren’t sure what the deficiency is**.
  - ✓ Record the exact location of each defect in your notes (the inspector’s notice and the final PHAS report won’t be clear).
  - ✓ Call Maintenance immediately on cell phone to request a Work Order to fix the Exigent Health and Safety violation.
  - ✓ If the inspector gives you an Exigent Health and Safety Violation Notice at the end of the inspection, Maintenance staff will sign it and keep a copy. Fax the copy to Maintenance Administration (see below), keep a copy and send the original to AI Hester.
  - ✓ Note especially any Exigent and Safety violations caused by conflict with City Code (fire hoses in hi-rises, etc.).
  - ✓ Take photos of Exigent Health and Safety violations and any other deficiencies, which are questionable (for example, “penetrating or overgrown vegetation”). Keep a record of the photos – photo number, use auto-date on camera, exact location and deficiency shown.
- **Quality Assurance Inspections**  
Both REAC and the contractor’s company may send quality assurance (QA) inspectors to check on the consistency and accuracy of the PHAS inspectors.  
The QA inspectors appear unannounced on the day of the scheduled inspection, or come a day or two later for a follow-up inspection. Notify AI Hester if a QA inspector calls or arrives. With proper identification, the QA inspectors have the same access to PHA properties and records as the other inspectors.

### **Immediately After the Inspection**

- Call in any emergency work orders not already reported during the inspection. If inspection ends after business hours, call the after-hours answering service (651-227-9919), but also call Maintenance Administration the next morning to be sure the work order was recorded.
- Maintenance staff are to immediately fax copies of the Notification of Exigent and Fire Safety Hazards Observed form to MaryJo Mauer at Maintenance Administration. Send the original to Betty Lou Authier.
- If the notice does not clearly state the location and nature of the deficiency, attach a separate page specifically describing WHAT and WHERE each Exigent Health and Safety violation was.
- Send the original Inspection Certification and Order Form to MaryJo Mauer.

### **Generating Emergency Work Orders from PHAS Inspections**

#### **Emergency Work Orders:**

- Emergency work orders will be generated for all Exigent Health and Safety violations (those violations that you are required to sign).
- Call Maintenance Support Services at 298-4413 and provide the necessary information (address or location of the violation and the detailed description of the needed repair or work).
- Ask the Support Services staff person for the work order number and write the work order number on the Exigent Health and Safety Violation form.

#### **Non-Emergency Work Orders:**

- Support staff of the Housing Manager who accompanies the inspector will initiate all non-emergency work orders. These work orders will be prioritized as a 2, non-emergency work order and initiated within 24 hours of the inspection completion.

### **Follow Up, Appeals, Requests for Adjustments**

- Exigent Health and Safety deficiencies – Work orders to correct – Write the Inspection # on the work order repairing the Exigent Health and Fire Safety Hazards and complete the certification of repair form. Form must be faxed to local HUD office no later than 10 days after the inspection.
- Check REAC website (daily?) for final scores/AI Hester
- Request for adjustments due 15 days after score is posted on REAC's website.

#### **Appeal/Adjustment Issues**

- For City Code conflicts (fire hoses, chimney vents, egress) have the paperwork ready before the scores are posted/AI Hester
- For defects in non-PHA equipment, get written verification or certification establishing ownership/Housing Manager
- For "circumstances beyond the PHA's control", get documentation/AI Hester