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Volume 5

General Administration

CASE STUDIES OF EFFECTIVE MANAGEMENT PRACTICES WITHIN PUBLIC HOUSING AGENCIES

Volume 5:

GENERAL ADMINISTRATION

by

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INTRODUCTION

OVERVIEW

The purpose of the contract under which this report has been prepared is to document, in a series of case studies, the effective management practices of selected well-managed public housing agencies (PHAs), such that other PHA managers can make assessments, and, where applicable, implement similar practices at their agencies. The series includes eighteen case studies that are presented in volumes addressing six functional categories of public housing operations:

Volume 1--procurement and inventory
Volume 2--maintenance and custodial
Volume 3--rental and occupancy
Volume 4--finance and accounting
Volume 5--general administration
Volume 6--security.

Generally, within each of the six functional categories, three case studies have been developed that address practices at a small (1-499 units), a medium (500-1249 units), and a large (1250+ units) PHA. There are two exceptions to this organization, as follows. The rental and occupancy category contains only two studies, which address practices at a medium and a large PHA. And second, an additional report has been prepared for a very large PHA in the area of finance and accounting, bringing the total in this functional category to four.

It must be emphasized that the effective practices described herein are not perfect. Within the universe of public housing agencies, they may not even be the "best" practices. However, the programs and activities that follow have proven to be effective for the agencies which have implemented them. These practices are offered to the public housing community as a potential means for improving agency functions, especially if a PHA has identified a particular problem area of its operation.

For further guidance in improving agency operations, the reader is referred to the Insider's Guide To Managing Public Housing (HUD-PDR-638, August 1983), the Troubled Public Housing Handbook (7475.14), and the Field Office Monitoring of Public Housing Agencies Handbook (7460.7 REV).

The case studies described herein reflect the state and local laws and federal regulations which were in effect at the time that the management practices were documented. Prior to any attempt to replicate these practices, the reader is advised to consult current applicable laws and regulations to ensure compliance.

ORGANIZATION OF THIS REPORT

This report addresses the general administration functional category and contains three case studies. Each study is similarly organized into three chapters. Chapter I provides a detailed review of the effective management practice. Chapter II describes why the practice is effective and has improved agency operations. And Chapter III discusses the transferability of the practice to other agencies and key considerations in doing so. Additionally, each study is prefaced by an executive summary that provides a quick overview.

OVERVIEW OF THE GENERAL ADMINISTRATION FUNCTION

The functional area of general administration is responsible for directing the activities of a public housing agency. General administration involves managing the internal operations of a PHA, generating operating funds, allocating them among the PHA's functional areas and housing projects, and maintaining relations with local public officials, HUD and the public. Although this functional area obviously has a great impact on the overall operation of a PHA, it has only an indirect effect on the daily management of individual sites. An important characteristic of the general administration function is its special relationship vis-a-vis the other functional areas of public housing. This relationship is based on a complex set of linkages, most of which run _to_ rather than _from_ the functional areas, due to the supervisory nature of general administration.

Internal Management

Internal management entails the establishment of policies and procedures that form the backbone of a PHA. These practices maintain the integrity of the agency. The interests of residents, staff and the public are protected from unwarranted actions by the PHA's staff or operating divisions, and at the same time, the agency is protected from unjustified claims made by these same parties. It is also the role of general administration to adhere to HUD and other federal regulations, and also to local statutes, which normally classify PHAs as municipal corporations. Additionally, internal management includes defining the agency's organizational structure and division of labor.

Resource Generation

Another important aspect of general administration is to secure enough resources to support PHA operations and to maintain--and often develop--its physical plant. Operating revenue comes from two principal sources, rental income and HUD subsidies. For some agencies, interest income from investments provides another significant source of revenue. Still others receive operating income from consulting services and the administration of Section 8 and other housing programs. Most PHAs depend on other public funds to provide social services to residents. Local governments often provide indirect assistance as well, in the form of services (e.g., trash collection) or waiving some or all payments due in lieu of taxes. Funds for capital improvements, which allow a PHA to perform major repairs and modernize its housing stock, are available primarily through the Comprehensive Improvement Assistance Program, and to a much lesser extent, through Community Development Block Grant monies. The ability of a PHA to secure the financial resources necessary to maintain its operations obviously is crucial to its financial health.

Resource Allocation

With operating funds secured, another major role of the general administration functional area is the allocation of these resources among a PHA's operating divisions and its projects. The responsibility of preparing a budget, though often handled by the finance and accounting functional area, ultimately is borne by general administration. This is due to the fact that a budget typically serves as a comprehensive planning tool. Moreover, adherence to the budget is imperative if the financial well-being of the PHA is to be maintained.

External Relations

In many ways, the primary task of the general administration functional area is to establish and maintain positive relations with the parties outside the PHA. How the board of commissioners and the executive director of a PHA interact with the local community, particularly the local government, and with HUD affects the agency's "operating environment." The nature of an agency's relations with key actors outside the PHA influences how it performs the various subfunctions of general administration described above.

ABOUT THE GENERAL ADMINISTRATION STUDIES

This document contains case studies describing practices at: Concord Housing Authority in Concord, Massachusetts, a small agency; New Albany Housing Authority in New Albany, Indiana, a medium-sized agency; and Charlotte Housing Authority in Charlotte, North Carolina, a large agency.

Concord Housing Authority (CHA), whose operations are guided by a five-year plan drafted in 1980, is the subject of the first study. CHA's Five-Year Plan established a set of operational goals and objectives for the agency to pursue. The plan has greatly facilitated the receipt of approximately $2 million in development funding from various sources, and five parcels of land from the Town of Concord. Perhaps as important, the plan has proven to be an effective consensus-building tool among the CHA board and staff, elected officials and other governmental agencies.

New Albany Housing Authority (NAHA), under the direction of the current executive director, has implemented an effective system of project management that is complemented by a strong set of eviction policies and procedures. Together, these practices have greatly facilitated the turnaround of NAHA from its troubled status. The practices described have specifically improved rental collections and aided in the removal of many problem tenants through a responsive hearing process in the local courts. The study focuses on these attributes and discusses in detail the interactions among the various functional activities that comprise project management from the executive direction perspective.

Charlotte Housing Authority (CHA) has implemented three effective general administration practices. They are: a maintenance apprenticeship program that has helped to increase the quality of maintenance services at the agency while reducing maintenance labor costs; a management by objectives planning process that has greatly facilitated strategic planning and interdepartmental coordination; and a human services component that has networked with other public and private organizations to compensate for severe staff reductions. This latter approach has enabled CHA to make available many services to residents, and at the same time, to focus existing in-house resources on the priority needs of residents through some quite innovative program concepts.

With this brief overview of the general administration function, three case studies of effective management practices are presented in the remainder of this document.

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PART III. CHARLOTTE HOUSING AUTHORITY

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FUNCTIONAL AREA:	General Administration
EFFECTIVE MANAGEMENT PRACTICE:	Five-Year Plan
AGENCY:	Concord Housing Authority (Concord, Massachusetts)
SIZE:	Small

EXECUTIVE SUMMARY

The Concord Housing Authority (CHA) provides low-income subsidized housing to Concord, Massachusetts, a small affluent town located near Boston. An overview of the agency operations appears on the following page.

This case study describes a Five-Year Plan implemented by CHA in 1980 to prioritize goals and objectives for the agency's operational activities. CHA is in its final year of implementation. Although the ambitious development goals set forth in the plan have not been completely realized, remarkable progress has been achieved. Primarily as a result of the plan and related activities, CHA has received five parcels of land from the town of Concord and development funds totaling approximately $3,868,000 from the town, a state housing agency, and the U.S. Department of Housing and Urban Development (HUD). Additionally, it has proven to be quite effective in achieving a consensus about the agency's objectives among the CHA board and staff, elected officials and other governmental agencies.

As discussed in Chapter III, the Five-Year Plan concept is readily applicable to other agencies, even if development is not an expected area of emphasis. Other agencies should review the purpose and structure of Concord's plan and consider designing a plan that closely fits their particular strategic objective and operating environment.

CONCORD AT A GLANCE

CHARACTERISTICS	DATA
Total Stock:	12 units of scattered-site LIPH; 88 units of state-subsidized elderly housing; and a small Section 8 program
• Projects for Families:	1 project
• Projects for Elderly Tenants:	2 projects
• Unit Sizes:	efficiencies ..... 0 percent one-bedroom ..... 52 percent two-bedroom ...... 2 percent three-bedroom .... 9 percent four-bedroom ..... 1 percent congregate ...... 36 percent
• Largest Project:	Everett Gardens (52 units)
• Smallest Project:	Scattered Sites (12 units)
• Oldest Project:	Everett Gardens (1963)
• Newest Project:	Everett Gardens Expansion (1980)
Demographics:	
• One-Parent Households:	6 percent
• Minority Tenants:	6 percent
• Children Under 18:	31 percent
Operations:*	
• Operating Expenditures:	$197.99 (PUM)
• Dwelling Rentals:	$133.61 (PUM)
• Operating Reserve:	70 percent of allowable level
• Staffing:	5 employees: 3 administrative and 2 maintenance

*Figures solely reflect HUD LIPH Programs.

I. OVERVIEW OF THE FIVE-YEAR PLAN

BACKGROUND

Although the Concord Housing Authority's (CHA) existence dates back to the early 1960s, the agency's experience with HUD subsidized programs is quite recent. It was not until the late 1970s that the agency began participation in the Section 8 Existing program, and not until fiscal year 1983 did it begin operating conventional low-rent public housing. Before 1977, the agency managed only one thirty-two unit development for the elderly under a state-sponsored program. Expansion by CHA into the Section 8 and the HUD conventional low-rent programs has greatly changed the character of the agency and the client population that it serves. Specifically, the agency is now housing low/moderate income families and is soon to provide housing for the mentally handicapped. Although the number of units managed is relatively modest, it has taken a great deal of forward thinking and perseverance on the part of the executive director and board to win public and governmental support for these initiatives.

What makes the Concord situation somewhat unique is the proactive approach that CHA took towards addressing opportunities embodied in the Five-Year Plan. The plan, which began in 1980, greatly facilitated the accomplishment of the agency's major goals by helping to leverage local, state, federal, and private funding commitments.

KEY ACTORS IN THE FIVE-YEAR PLAN

The primary actors associated with the Five-Year Plan are the executive director and board members of CHA. The current executive director has served as director for two and one-half years and has been with the agency approximately eight years. Although the plan was developed while the current director was serving as a staff person at CHA, the director was very involved in drafting the Five-Year Plan and has remained involved throughout its implementation process.

The CHA board also plays a prominent role. Throughout the State of Massachusetts, boards are formulated differently than in most other areas. In Concord, four of the five board members are elected through direct ballot by the local electorate, the fifth position is appointed by the Governor. Over much of CHA's history and up until 1978 the board was relatively inactive. But since that time, the composition has changed significantly such that the board is now quite involved in CHA and civic affairs in general. In 1978 and 1979 a number of professionals, including a housing consultant and a former state public housing official, were voted onto the board. These individuals, in conjunction with the executive director at that time, spear-headed the drafting and ratification of the plan, and subsequently worked strenuously to implement the plan's goals and objectives.

Other significant actors involved with the plan include the elected Town of Concord Board of Selectmen and the town manager. The plan was formally presented to the Selectmen for approval in 1980, although this was not legally necessary. This was seen as a helpful step toward informing the public of CHA long range goals and objectives and gaining wider public acceptance. The town manager's cooperation and input was needed by CHA because the Town of Concord's local governmental structure is based on a "strong manager" approach to city government. Many of the specific items included in the plan required the cooperation if not financial assistance of the local government. For this reason, the CHA staff and board felt it important to involve the Board of Selectmen and town manager at an early stage.

STRUCTURE OF THE PLAN

A copy of the Five-Year Plan is presented as Appendix A to this document. The plan is divided into three major parts: a statement of purpose, a statement of goals, and a statement of objectives. The contents of each part is described below.

Purpose

This first section outlines, in a general fashion, CHA's basic mission, and delineates how the agency is an integral part of the larger community. The plan makes several salient points in this regard:

- CHA is committed to achieving an adequate supply of subsidized housing, including housing for the physically and mentally disabled, at minimum cost to the town.
- Full use of federal, state, and private funding should be taken advantage of, and costs to the town--both direct and "hidden" costs, such as increased property taxes and educational costs--should be minimized.
- "Quality of life" considerations should be given due attention. Factors such as population density, open space requirements, education, and employment goals should be included in CHA's planning tasks. Here the plan makes a strong statement against high density multi-family developments in favor of scattered development. As a result of this concern, CHA has set explicit maximum density standards.

The major thrust of the purpose statement is to establish a framework within which CHA planned to increase the supply of low and moderate subsidized housing. It is important to keep in mind two points. First, the agency only managed one (state-subsidized) thirty-two unit elderly housing project at this time. And second, it was clear to the CHA staff, the board, and others that a major housing "crunch" would be inevitable. Their analyses indicated that seventy-five percent of the subsidized rental housing would be eliminated in the following five-year period. Thus, the plan had to address a central concern: How would CHA widen its role as a provider of subsidized family housing?

Goal Statements

This part of the plan further articulates the central points described in the purpose statement by delineating five goals in order of priority. The key elements of each are as follows:

1) CHA will administer existing programs as humanely, efficiently, and effectively as possible;
2) CHA will seek to add fifty new family units within a five-year period;
3) CHA will seek to develop eight units of subsidized housing for physically and/or mentally disabled persons within five years;
4) CHA will develop a new elderly complex; and
5) CHA will work with private developers to stimulate production of affordable housing for moderate income families.

Objectives

The third part of the plan defines the steps required to implement the plan's goals. Because the first goal of the plan is administrative in nature, specific objectives are not defined, in recognition of the fact that the document is intended to lay out planning objectives. However, with respect to the remaining goals, specific activities are delineated. Typically, these include: analyzing specific issues; conducting feasibility or site evaluation studies; and exploring funding sources through specific state or federal programs. Where possible, activity descriptions identify other agencies that CHA will need to work with to achieve its objective. The fifth goal, stimulating private development, is somewhat unique compared to the others. The plan states that CHA will work with private developers and the banking community, with the purpose of entering into alternative financing agreements.

HOW THE PLAN WAS DRAFTED

The plan was not drafted as the outcome of a formal decision process. Rather, it flowed from the activities and concerns of key board members and staff. In the words of one board member, "it was a logical extension of what we were doing--a way to pull together our assumptions and commitments."

In this context, the development of the plan was an informal collaborative effort. Drafting went through several iterations over several months. When the authors felt comfortable with the document, it was formally presented and approved by the full board. It took approximately nine months for the plan to be drafted, approved by the board, and presented to the Board of Selectmen.

CHA enjoys a special status in Concord not granted to the town's other municipal corporations in that it is not legally required to report or obtain approval of its activities from the Board of Selectmen. Despite this, the CHA board and the executive director felt it advisable to obtain the approval of the Board of Selectmen to gain wider recognition and ratification of the plan. At the meeting in which the CHA board members formally reviewed and approved the plan, members of the local press were present. They were encouraged to give the plan prominent coverage in the local newspapers. (See two related stories in Appendix B.) At that same CHA board meeting, intention to obtain approval by the Board of Selectmen at their next public meetihg was explicitly stated. The approval of the Selectmen was privately viewed by the CHA board and staff as sort of a "good housekeeping seal of approval."

In the interim time preceding the Selectmen's meetings, the way was paved so that there would be no major obstacles to endorsement at the Board of Selectmen formal meeting. When the plan came up on the agenda, it was strongly endorsed without major discussion. Ratification by the Board of Selectmen has subsequently proven to be a crucial factor in achieving the major plan objectives. Chapter II elaborates why this ratification was important. The following section reviews the agency's progress towards implementing the plan's objectives over the subsequent five-year period.

IMPLEMENTATION OF THE PLAN

The Concord Housing Authority is in the final year of its Five-Year Plan. Although the ambitious development goals set forth in the plan have not been completely realized, remarkable progress has been achieved. The agency has received significant amounts of financial support from HUD, the state housing agency, the Town of Concord, and from private developers.

In 1981, the first year the plan was operational, CHA acquired a school building that was designated by the town as surplus property.. Using a $1,000,000 grant from the state for renovation, the school was converted into a thirty-six unit congregate housing facility for the elderly. This facility now houses the agency's central offices and maintenance shop.

During the same year, the town transfered the title of an adjacent two-acre parcel of land to CHA. The town then sponsored a bond issue in the amount of $650,000 for the construction of twenty additional one-bedroom units for the elderly on that parcel. The bond is being retired by the town while the project receives an operating subsidy from the state, as does the congregate facility.

In parallel with these events during 1981, the CHA board and executive director attempted to expand the number of units under management in the HUD low-rent housing program. At that time there were just two units under management, although the agency had a commitment from HUD to place into service eighteen additional units through acquisition. However, efforts to acquire these additional units at that time were hampered by the high real estate prices in the town, which made acquisition within the HUD per unit ceiling unfeasible.

About this same time, the town zoning board placed a stipulation on the approval of a building permit for a luxury condominium development; the board required the private developer to supply five units of low/medium priced housing on-site. In a creative arrangement between CHA and the developer that was endorsed by all of the relevant public agencies, the developer agreed to acquire ten private units (off-site), renovate them to HUD standards and sell them to the agency at the HUD allowable acquisition price. The price was well below the total cost incurred by the developer. Thus, CHA was able to add ten units to its portfolio and avoid losing the funding commitment by HUD.

The following year, in 1982, at the annual town meeting in which funding proposals were presented, the CHA staff and board were not as successful. The agency did not receive support for a major initiative to acquire an additional unused school property. The proposed deal received much publicity in the local newspaper but turnout for the meeting was low. Here it should be pointed out that Concord is somewhat unique in that all town citizens vote on budget matters at these annual town meetings.

In 1983, however, a $100,000 grant was given to CHA by the town to acquire more land. This was partly a result of the lack of success in obtaining the second school in the previous year. Additionally, the agency received two parcels of land, one three and the other one and one-half acres in size. If they were successful in obtaining development funding, CHA officials planned to build one six-unit project and one five-unit project on these parcels, thus staying within the density ceiling prescribed in the Five-Year Plan. These properties were obtained in part because of the success CHA had previously had in acquiring the ten units of family housing in conjunction with the private developer. By this time, in 1983, the units were rented and everyone viewed this as a successful demonstration of the "scattered site" concept ellaborated in the plan. (The ten units are widely dispersed throughout the town.)

Success continued into the next year. In 1984, CHA received $75,000 of funds to acquire a parcel for the development of a community residence for the disabled. This effort was a significant step towards achieving goal (3) of the plan. However, although they have commitments for state construction funding, further progress has been stymied by neighborhood opposition to the location of the residence.

Also in mid-1984, CHA applied for development funding for the two parcels of land received in 1983. In recognition of the scarcity of such funding, CHA applied to both the state housing agency and to HUD, in hopes that at least one application would be approved and that they could at least proceed with one project. Approximately one year later, in 1985, funding was approved by both sources and the agency is proceeding with the development of both parcels.

ANTICIPATED CHANGES TO THE PLAN

The executive director and board view the plan as a useful tool and anticipate drafting a second plan this year. It was generally felt that the five-year horizon was correct, especially in light of the essential orientation that CHA currently has toward development and expansion. They did feel, however, that it would probably be useful to update the next plan every two years. In this regard, they also felt that it would probably be useful to "lock-in" the Board of Selectmen every two years, by having them re-affirm support.

Other significant changes that may be implemented with the next plan include eliciting wider public awareness of the document. CHA may publish the plan in a brochure and distribute it to town residents. Outside funding would be required to do this, however.

Another significant change might be the incorporation of the plan into the reporting procedure between the director and the board at their regular meetings. Here the report would serve as a framework for reviewing progress on the major on-going initiatives of the agency.

II. WHY THE FIVE-YEAR PLAN IS EFFECTIVE

CHA's Five-Year Plan has proven to be quite an effective management practice. During the plan's implementation phase, the document was specifically used six times by the board and staff to facilitate achievement of agency objectives, as described in the preceding chapter. There are several inter-related factors that make the plan an effective practice.

First, the process of preparing the plan forced the board and staff to think in strategic terms about the housing needs and opportunities confronting the town, and CHA in particular, and how the agency should or could address these issues. Essentially, development of the plan was a consensus-building process that allowed all parties (board and staff) to agree both in general, and at some level of specificity, about the future direction and activities of the organization. The establishment of this consensus helped the agency achieve a unity of presentation when addressing items of concern with the town's elected and appointed officials, state and federal officials, the general community, and the press.

On a related point, the process of establishing the plan forced the board and staff to analyze and understand the environment in which the agency functions. For example, long range planning in general is a very important concern of the Town of Concord. Partly as a result of master planning activities in the 1960s, the town is in quite a good position at this time. Town officials are already working on a plan for the year 2000. Thus, CHA's plan builds on and complements the planning tradition and illustrates to key actors that they are "thinking ahead" too.

Second, the plan is effective because it allows the agency to be proactive rather than reactive about the future. It lays out what the future courses of action are and who needs to do what. By identifying the relevant parties to each course of action, CHA board and staff could "keep the pressure on" in a professional, constructive manner. Because the plan is well thought-out in terms of its agenda, it allows all parties to approach issues in an organized way. The step-by-step progression over several years as outlined in the previous chapter allowed CHA to establish credibility at each step as it expanded its programmatic base and housing stock.

A third factor that makes this an effective practice, according to town officials, is that it puts the "low-income issue right on the table." In this sense, it "locks-in" the elected officials to the specifics because they could not practically (or politically) disagree with the plan's goals. This is why CHA board and staff took the calculated risk to have the Board of Selectmen ratify the plan. Their initial ratification provided a basis for the agency to come back each year with specific agenda items. It made it difficult for elected officials to oppose items because the agency staff could always "point to" the approved plan. Since each item was somehow tied to the plan, the agency's image with the press and public was also always creditable and professional.

A final factor that makes the plan effective is that it explicitly subordinates the four development-oriented goals to the primary goal of operating their existing programs as efficiently and effectively as possible. This construct was not designed for the sake of expediency alone. Here, the board and staff realized that problems in managing current programs could potentially compromise their other goals and objectives. Placing first concerns for efficiency and effectiveness serves as a reminder to the board, staff and others that the agency should remain apolitical in its staffing and purchasing decisions, and should not "monkey around" with wait lists or other sorts of abuses that occasionally occur elsewhere.

III. CONSIDERATIONS FOR ADOPTING A FIVE-YEAR PLAN AT OTHER AGENCIES

The concept of a five-year plan is readily applicable to virtually all other agencies, regardless of such factors as size or geographic location. Agencies that might wish to give this practice the most consideration are those that would benefit from the arrival of a close consensus between top management and the board of commissions, and between the PHA and external actors, such as local elected officials and relevant government agencies. Such a consensus would be built around key strategic or planning objectives for the agency over a more expansive time horizon. Here, agencies will want to carefully consider the advantages or disadvantages (if any) of generally pursuing this course of action. One benefit not explicitly articulated by the Concord experience is that a five-year plan or similar document might serve to minimize crisis-oriented management and facilitate more orderly or rational decisionmaking.

If a decision to proceed is arrived upon, the next step is to lay out the framework for a plan. Concord used a three-tiered structure of overall purpose, goals, and objectives. Objectives were stated in action-oriented terms. This structure will provide a basis for preparing other plans. Drafting the actual contents of the plan, and specifically its goals and objectives, does not lend itself to a cookbook-type approach. Rather, each executive, depending on style or situation, will want to lay out a process that will fit the agency's needs. CHA used an informal collaborative approach between board members and staff. This engendered some commitment to "living with" the document when it was completed, a factor that others will want to give due attention.

Another consideration regarding the plan's contents is that it does not have to be primarily development-oriented, as was CHA's. Other agencies may find it more appropriate to place emphasis on more internal- or management-oriented considerations such as improving work conditions, increasing the use of automation, improving tenant relations, or streamlining or increasing productivity in key areas. Along these lines, agencies may want to consider a more limited timeframe for the plan, or have intermediate checkpoints to review and assess progress.

A final consideration after the plan is prepared and approved is if, and how, it will be presented to others outside the agency. CHA found it beneficial to have their plan ratified by the Board of Selectmen. Other. may or may not wish to pursue a similar approach, depending on local conditions and the relevance of their plan to external actors.

APPENDIX A

CONCORD HOUSING AUTHORITY: FIVE YEAR PLAN

GOALS AND OBJECTIVES

10/1/80

A. INTRODUCTION AND STATEMENT OF PURPOSE

The Concord Housing Authority, operating under Federal, State, and Town mandates, has as its central purpose the development and administration of an adequate supply of housing for low and moderate income individuals and families in the Town of Concord. This purpose responds to the Town's historical commitment to maintain a heterogeneous and integrated community, and the Town's commitment to meet the needs of its citizens as well as serving people in the greater Concord region.

To fulfill this purpose, the CHA must continue to give attention to two factors that are significantly related to the ability to operate a high quality subsidized housing program. These factors are:

1. The supply and costs of private market housing, including rental housing, within the Town of Concord; and
2. The supply and means of access to health, mental health, and social services.

The housing assistance plan for Concord must be fully coordinated with plans for increasing the supply of affordable private market housing, as well as with plans for organizing and delivering services to all residents of the Town.

Within the context of this purpose, the CHA is committed to achieving an adequate supply of subsidized housing at minimum cost to the Town. Meeting this commitment means not only making full use of available Federal, State, and private funds, but also minimizing the potential cost impact on the Town, both in terms of potential effects on property tax revenue, and in terms of potential costs for essential services such as education.

Most important, CHA is committed to maintaining the quality of life in Concord. To this end, housing goals must be fully consistent with Town-wide goals for the future. Issues such as population density, open space requirements, educational and employment goals, and the range of Town supported services will be affected by CHA activities, but cannot be decided by CHA alone. For this reason, CHA intends to continue to work closely with the Board of Selectmen, the Town Manager, and all appropriate Town Boards and Commissions to insure that full coordination of planning takes place. Also, CHA intends to continue cooperating with the local press to insure that Concord residents have an opportunity to be fully informed about the goals and activities of the Housing Authority.

With respect to family housing, the CHA is committed to a policy of scattered site development throughout the Town of Concord. This means that the CHA will make every effort not to foster the concentration of low and moderate income housing in one section of the Town, such as West Concord. Further, the CHA will not support the development of high density, multi-unit family housing in Concord.

High-density is a difficult term to define, and can vary according to neighborhood characteristics, lot size, and related factors. As general guidelines, the CHA has adopted a policy limiting new development to no more than eight subsidized units on one self-contained site.

When acquiring existing housing, the CHA will seek to have at least five houses separating subsidized units, with duplex houses being treated as one unit for the purpose of this policy.

B. STATEMENT OF GOALS

The following five goals, ranked in order of priority, have been approved by the Concord Housing Authority Board:

Goal #1: To administer existing housing programs as humanely, efficiently, and effectively as possible. These programs include:

1. Everett Gardens
2. Everett Gardens Expansion
3. Peter Bulkeley Terrace Congregate Housing
4. HUD 20 Unit Housing Acquisition Program
5. State 707 Rental Assistance Program
6. Federal Section 8 Rental Assistance Program

Goal #2: To increase the supply of housing for low and moderate income families in Concord by seeking to provide a minimum of 50 new subsidized family units within a five year period.

Goal #3: To develop a minimum of eight units of subsidized and supportive housing for mentally and/or physically handicapped individuals in Concord within the next five years.

Goal #4: To develop a new Elderly Housing Complex with a minimum of 20 units in West Concord.

Goal #5: To work with the Town and with private developers to stimulate the production of affordable housing for moderate income individuals and families in Concord.

C. STATEMENT OF OBJECTIVES.

The following objectives are presented to indicate specific actions that are currently being taken to achieve the stated goals of the CHA. While effective administration of existing programs is the first priority, administrative objectives are of a different nature than planning objectives, and therefore are not included in the Five Year Plan.

Goal #1: Increase the supply of subsidized family housing.

a) Submit a proposal to MAPC for Community Development planning funds to assist in meeting the above objectives, and to acquire sites for scattered site housing development.

b) Work with the Town to investigate the feasability of developing some portion of the prison houses and/or property as a combination of subsidized and private market family housing.

c) Investigate the feasability of utilizing existing lots, including non-conforming lots, for turn-key development of subsidized family units.

d) Explore potential sources of funding for scattered site family housing development and subsidy.

Goal #2: Develop Handicapped Housing

a) Continue working with the Concord Area Mental Health Office, the Elliot Mental Health Center, and the planning committee to develop a firm housing and service plan for approximately 10-12 mentally retarded and chronically institutionalized residents of the Concord Unit at Metropolitan State Hospital.

b) Upon completion and approval of the Plan, submit a proposal to the Executive Office of Communities and Development for Chapter 689 funds to acquire a suitable facility in Concord.

Goal #3: Develop New Elderly Housing in West Concord

a) Initiate discussions with the Concord School Committee to analyze the feasibility of utilizing land adjacent to the Thoreau School for Elderly Housing.

b) Investigate other potential sites in West Concord.

c) Analyze the feasibility of including up to four scattered site family units on the same site as the elderly housing.

d) Explore appropriate funding sources, including State Chapter 667 funds, and HUD Conventional Housing funds.

e) Submit appropriate proposals.

Goal #4: Stimulate Private Market Housing Development

a) In conjunction with activities under Objective (b) of Goal #2, analyze existing lots for feasibility of private development of housing for moderate income families.

b) Investigate the feasibility of using land leasing techniques to reduce the cost of housing for qualifying families.

c) Work with the banking community to gain support for construction and mortgage financing for moderate income family housing.

d) Work with private developers and the Town to include a proportion of moderate income and/or subsidized units in PRD's.

e) Include moderate income home ownership concepts in the proposal to MAPC for Community Development funds, with particular emphasis on using such funds to acquire minimally non-conforming lots for leasing under a home ownership program.

APPENDIX B

TWO SELECTED ARTICLES FROM LOCAL NEWSPAPERS
REGARDING CHA'S FIVE-YEAR PLAN

Housing authority goal:

Adequate supply of low and moderate income housing

By PENNY JANZEN

In a special meeting Monday night, members of the Concord Housing Authority reviewed a newly-drafted document outlining their goals and objectives for the next five years.

The seven page report, submitted by CHA member Stephen Day, was enthusiastically received by the board and required only minor revisions before gaining unanimous approval.

The outline, which will be made available to the public when revisions are completed, describes the central purpose of the CHA as being, "the development and administration of an adequate supply of housing for low and moderate income individuals and families in the Town of Concord.".

It goes on to specify the five distinct goals of the CHA including the administration of existing housing programs; the increase of the housing supply for low and moderate income families; development of subsidized housing for the mentally and/or physically handicapped; the development of a new elderly housing complex, and the stimulation of production of affordable housing for moderate income individuals and families.

In other business, Kate Villers made a report to the board concerning her subcommittee's progress on a proposal for seeking CEBG (Community Development Block Grants) planning funds. Said Villers, who plans to request the maximum of $125,000, "the money is available to facilitate rehabilitation of housing for low and moderate income families in areas where such housing is lacking." She intends to present an outline of the proposal at the next meeting of the CHA.

Authority sets sights

Town's housing goal

By Pam White

The Housing Authority has outlined its goals for the next five years which it plans to present to the Selectmen within the next two weeks.

In a memo compiled from the minutes of past meetings Authority board member Stephen Day presented an outline of a five-year plan the board will use to present its future housing plans to Concord.

The Authority is committed to develop and administer housing for low and moderate income families in the town. In the past Concord has shown a commitment to maintain a heterogeneous and integrated community, Historically Concord has met the needs of its citizenry and been enriched in turn by a varied outlook.

The Authority actively seeks federal and state funds to minimize the potential cost impact on the town. Board members are committed to maximizing subsidized housing in Concord at a minimal cost and impact to the town.

The Authority is independent of the town for its fiscal needs. Its funding comes solely from state and federal funds. There are no plans to ask the town for money in the future.

Because they are aware that secondary impacts on the town budget, such as school cost per pupil, the Authority's planning includes a variety of housing services. Priorities to date have centered on housing for the elderly with the Everett Gardens expansion and the Peter Bulkeley renovation project being the most salient and recent aspects of the Authority's projects. Scattered site family housing has been and continues to be a large focus.

The board is committed to a policy of seeing the subsidized family units scattered throughout the town. They have no intention of either clustering the units in one area or building a multi-unit family complex.

Board members expect that through planning, they will be able to maintain the quality of life in Concord. In the memo, it was stressed that the goals of the town and the Authority be in concert with each other. The Authority intends to work closely with town officials and other boards to see that issues such as population density, open space requirements, educational and employment goals can be coordinated and reached in a townwide effort.

In terms of numbers, the Authority hopes to gain ten units of subsidized family housing in the town every year for the next five years. It would like to see ten more units of subsidized and supportive housing for mentally and/or physically handicapped persons in Concord within the next five years.

Administering existing programs is a major objective and will probably cause the Authority to apply for another staff position. The success of the present programs and the active participation in various government programs by the staff and the board has meant that the funding for the Authority's projects are wholly independent of the town.

FUNCTIONAL AREA:	General Administration
EFFECTIVE MANAGEMENT PRACTICES:	Project Management and Strong Eviction Policies
AGENCY:	New Albany Housing Authority (New Albany, Indiana)
SIZE:	Medium

EXECUTIVE SUMMARY

During the mid 1970s, the New Albany Housing Authority (NAHA) was in severe financial distress. The agency had virtually zero operating reserves, accounts receivable were dangerously high--averaging around forty-seven percent of current charges--and the housing stock was rapidly deteriorating and in need of substantial modernization. Under the direction of the current executive director, NAHA implemented a series of management improvements highlighted by:

- an effective project management structure that is well-integrated with key management functions, and
- very strong eviction policies that have kept accounts receivable low and facilitated the removal of problem tenants.

These and other improvements initiated at NAHA have turned the PHA into a well-managed agency in sound fiscal condition. Operating reserves now are at sixty-eight percent of the allowable level. Current rent collections average around ninety-nine percent and accounts receivable have been reduced to manageable levels. Further, the agency has completed, or has underway, modernization of its most deteriorated housing stock.

As described in this case study, the project management structure is effective because there are consistent policies and procedures across all projects; managers clearly understand their roles and responsibilities, important areas of interaction between management functions are well coordinated through procedures and controls, and operations are monitored by top management through a streamlined (manual) management information system.

NAHA's eviction policies are largely effective because of a strong, well prepared lease that is updated annually by key staff. The lease and eviction policies in general reflect

NAHA's emphasis on removing problem tenants such as vandals, those involved in criminal activities, and tenants that repeatedly display behavioral problems. In this regard NAHA, is supported by a responsive court system and an efficient hearing process.

There are no significant factors that would inhibit the transfer of many management features found at NAHA. However, PHAs of similar or larger size or those with large or diverse family populations will find NAHA's practices most relevant, as described in Chapter III.

NEW ALBANY AT A GLANCE

CHARACTERISTICS	DATA
Total Stock:	1,085 units in 9 projects
• Projects for Families:	6 projects
• Projects for Elderly Tenants:	3 projects
• Unit Sizes:	efficiency .... 2 percent one-bedroom ..... 38 percent two-bedroom ..... 32 percent three-bedroom ... 21 percent four-bedroom .... 21 percent five or more bedrooms .... 6 percent
• Largest Project:	Parkview (350 units)
• Smallest Project:	Crystal Courts (18 units)
• Oldest Projects:	Beechwood Court (1942) Crystal Court (1942)
• Newest Project:	Elrod Towers (1983)
Demographics:	
• One-Parent Households:	65 percent
• Minority Tenants:	28 percent
• Children Under 18:	50 percent
Operations:	
• Operating Expenditures:	$156.55 (PUM)
• Dwelling Rentals:	$ 83.87 (PUM)
• Operating Reserve:	68 percent of allowable level
• Staffing:	35 employees: 14 administrative; 21 maintenance

I. EFFECTIVE GENERAL ADMINISTRATION AT NAHA

During the last ten years under the direction of the current executive director, broad changes implemented in staffing, systems, and procedures have been instrumental in changing the New Albany Housing Authority (NAHA) to a financially stable agency. These changes are highlighted by the development of an effective project management structure, which is well integrated with other key functional areas, and a strong eviction policy to reduce delinquencies and remove problem tenants. This chapter first provides background on the major problems the director faced when he assumed his position. The chapter's next section describes how NAHA is organized and the key actors involved with the effective management practices discussed. The chapter ends with a full description of NAHA's project management structure, including its systems and procedures, and an analysis of its strong eviction policies.

BACKGROUND

When the current executive director assumed office in 1975, he faced serious problems on virtually every front. The agency's financial problems were the most serious, however. NAHA was in severe financial distress. There were virtually no operating reserves and the financial condition was exacerbated by very poor rental collections. For the three years preceding the director's tenure, collections against current charges averaged only around ninety-five percent, and the combined arrearages from current and vacated tenants rose from twenty-one to forty-seven percent. Low collections were attributed to burdensome eviction procedures and a lack of follow-up by the agency in pursuing vacated tenants with outstanding balances.

The deteriorating condition of the housing stock was also a problem the director had to face. At the time, the agency's most recent development was already ten years old, and four of the six projects then under management were built before 1952. Most of the projects were viewed by the press and public as "run down" and the agency had not applied to HUD for funding of needed capital improvements.

A high level of drug activity on NAHA property also contributed to the agency's poor image. The local press was especially critical of the agency and devoted much coverage to minor incidents such as dog bites occurring on project grounds.

Relations with HUD were also problematic. The agency had received negative audit reviews from the HUD area office. And according to the current executive director, who indicated that at the time he assumed office, HUD was threatening to "come in and fire everyone and shut the place down" as they had done at another nearby PHA. The HUD area office officials were most concerned about the rental arrearages and strongly urged the new director to assign that problem a high priority. But they offered little in the way of concrete measures with which he could take action. So, the director began working with the legal counsel to streamline the eviction procedures. Together, they began consultations with the relevant judicial authority to work out a more responsive procedure. The judicial authorities in the area were unsympathetic, but subsequently agreed to a more streamlined administrative process for evicting tenants. About six months elapsed before the first administrative session was held. Ten cases were presented and five resulted in evictions the following month. The eviction policies and procedures have evolved to the status discussed in this case study. Their effectiveness is partly evidenced by the agency's low collection losses for FY 1984, which were less than one percent.

During this initial period at NAHA, the director--by necessity--became actively involved in project activities. He still adheres to this practice. However, over time the agency has implemented an effective management system, highlighted by a project management network well-integrated with other key housing functions. These improvements have limited the time that the executive director now spends on the details of day-to-day operations.

As operations have improved, relations with HUD have also gradually improved over time; the agency is now well regarded and has received a high proportion of available Comprehensive Improvement Assistance Program (CIAP) funding. The agency currently stands in a solid financial position, operating reserves are at ninety-nine percent of allowable levels, and there is an organized approach for dealing with needed modernization. The project sites, which have significantly increased in number, all have an attractive appearance.

OVERVIEW OF KEY ACTORS AND AGENCY OPERATIONS

This section describes key aspects of NAHA's organizational structure, staffing and work flows. The discussion is organized around four major functional areas: executive direction; budget and finance; maintenance and custodial; and leasing and occupancy. The agency's use of computerization is also briefly reviewed.

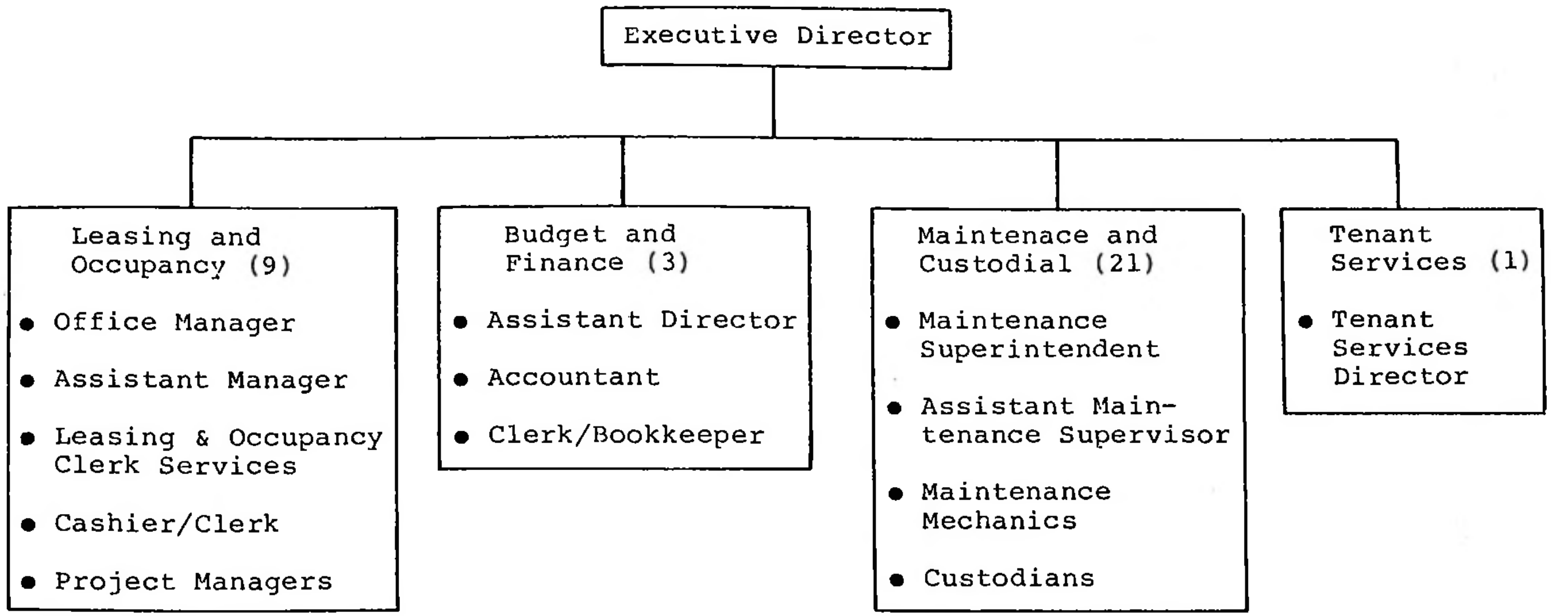
Executive Direction

The key actors in this function are the executive director and the top management staff, which numbers four persons. They are: the assistant director; the office manager; the maintenance superintendent; and the tenant services director. All of the key staff, with the exception of the maintenance superintendent who recently joined the agency from private industry, have more than four years of experience in their current positions.

Exhibit I-1 presents an organization chart that illustrates the number and types of staff supervised by each of the management team members. In sum, there are thirty-six staff currently working for the agency. Basically this work force is split between two locations, with the exception of staff permanently

EXHIBIT I-1

ORGANIZATION CHART OF NAHA



assigned to a project location (see Exhibit I-2). The director, assistant director, and the budget and finance staff are situated at the agency central office located in a high-rise for the elderly. The remaining staff, including the maintenance and leasing and occupancy staff, work out of a building located at one of the larger family project sites about three miles from the main offices. This office is quite well situated as three of the agency's nine projects, containing sixty percent of the agency's units, are located on this same parcel of land. The furthest remaining project is only four miles away.

Budget and Finance

This functional area is headed by the assistant director, who has been with the agency for over eleven years. The assistant director is supported by an accountant and a clerk/bookkeeper. Major activities they perform are: budget preparation; expenditure/budget monitoring; revenue accounting; bank relations; and managing the agency's investments. Highlights of how each of these subfunctions is performed are presented in Exhibit I-3, which also presents the relevant forms and reports that are used.

In addition to the activities identified above, this unit is also largely responsible for running the agency's computer, since most of the current applications are financially related. A detailed description of the computer's support is presented later in this chapter.

Maintenance and Custodial

This functional area is directed by the maintenance superintendent from the central maintenance shop. The shop is located at the Woodland Office, which is the same building that houses the central leasing and occupancy staff. Thus, it is relatively easy to coordinate these two functions for activities such as handling unit turnover.

EXHIBIT I-2

GEOGRAPHIC CONFIGURATION OF NAHA

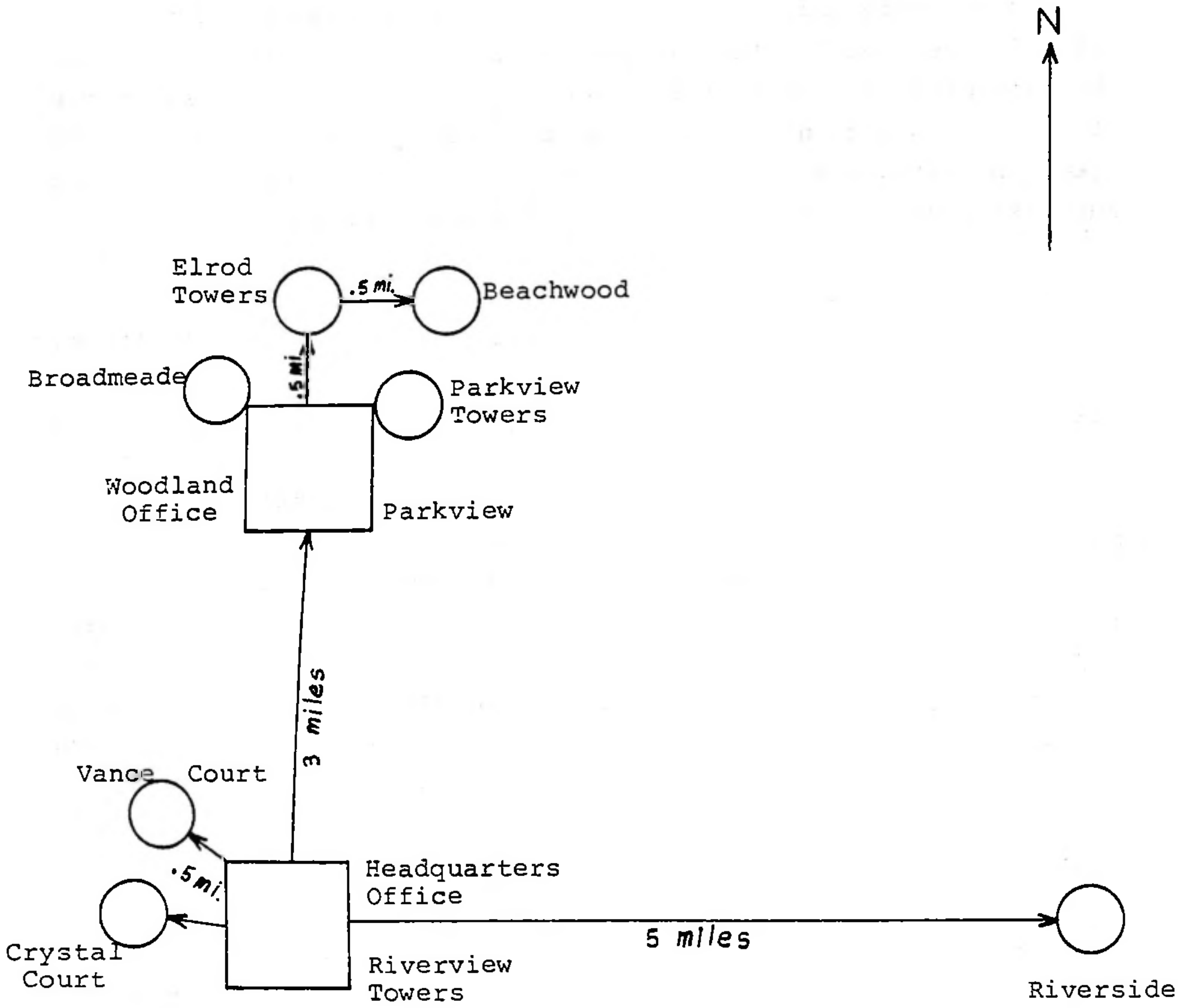


EXHIBIT I-3
OVERVIEW OF BUDGET AND FINANCE OPERATIONS

Major Functions	Synopses of Work Activities	Applicable Forms/Reports*
Budget Preparation	• Assistant director solicits input from project managers and the maintenance superintendent to create draft budget.	
	• Assistant director and executive director adjust budget after HUD subsidy is established. Process usually requires 60 to 75 days to complete.	
Expenditure/ Budget Monitoring	• Assistant director compares monthly and year-to-date actual expenditures with budget.	
	• Assistant director prepares monthly report of planned versus actual expenditures (for all budgetary accounts).	Form 1
	• Assistant director formally reviews progress on operating budget with executive director on a quarterly basis.	
	• Assistant director supervises bookkeeping and financial management of all development accounts.	
Rent Collections	• Assistant director receives rent and other monies with back-up accounting reports from project managers on daily basis.	Form 2
	• Accountant and/or clerk/bookkeeper posts appropriate entrees to consolidated ledgers.	
	• Assistant director deposits monies in bank. Budget and finance staff reconcile all bank statements.	
Investments	• Assistant director monitors all current investments and calculates excess funds available for investment using the Investment Calculation Sheet.	Form 3

*Form numbers refer to sample copies located in Appendix A.

The Woodland Office is convenient to the other project sites. For this and other reasons, NAHA has a largely centralized maintenance operation. All work crews are deployed from this location and communications with the crews during the day are handled through portable radio equipment that was recently purchased. The maintenance superintendent and the assistant are supported by seventeen persons. Their individual functions are summarized below in Exhibit I-4.

EXHIBIT I-4

MAINTENANCE STAFF BY FUNCTION

Function	Number of Staff
Painters	2
Shop Persons	2
Unit Turnover Crew	2
Maintenance Mechanics	4
Custodians	7
	17

The work functions performed by the nineteen members of the maintenance department can be categorized into five subfunctions as shown in Exhibit I-5. Additionally, the maintenance unit is responsible for the agency's vehicles, most of which are used in maintenance related activities.

Leasing and Occupancy

This functional area is headed by the office manager, who has eight years of experience with the agency. The office manager is supported by an assistant, a leasing clerk, and a cashier, all of whom are situated at the Woodland office. Additionally, the office manager directs the activities of the five project managers. All of the major leasing and occupancy

EXHIBIT I-5
OVERVIEW OF MAINTENANCE AND CUSTODIAL OPERATIONS

Major Subfunctions	Synopses of Work Activities	Applicable* Forms/Reports
Preventive Maintenance	• Maintenance mechanics perform annual inspections of all units, fix minor items on the spot and prepare work orders for all other items.	Form 4
	• Maintenance staff responds to work requests generated by annual housekeeping inspections performed by leasing and occupancy staff.	Form 5
Tenant-Initiated Work Requests	• Maintenance superintendent receives family project work requests from leasing and occupancy staff at Woodland office.	
	• Maintenance superintendent deploys 2 full-time, two-man crews from Woodland office to perform all requests from family projects.	Form 4
	• Custodians located in all high rises respond to all requests initiated by tenants.	Form 4
Unit Turnover	• Maintenance superintendent receives notification from leasing clerk of move-outs.	Form 5
	• Maintenance staff perform inspection of vacated units, change locks and prepare work schedule.	Form 6
	• Maintenance superintendent deploys two separate crews: clean-up crew and paint/dry wall crew.	
	• Maintenance superintendent monitors vacant unit preparation.	Form 7
Generate Management Information	• Maintenance superintendent tracks unit turnover progress.	Form 7
	• Maintenance superintendent performs work order analysis.	Form 8
	• Maintenance superintendent tracks vehicle utilization/ service records.	Form 8

*Form numbers refer to sample copies located in Appendix A.

subfunctions, which are described in Exhibit I-6, are centralized with the exception of some tenant accounting activities, which are delegated to some project managers. In these instances, tenant ledgers are maintained at on-site offices. In virtually all cases however, follow-up activities with regard to delinquent accounts are the responsibility of project managers.

Computerization

NAHA uses a three-year-old minicomputer that was purchased from a vendor on a turnkey basis. Exhibit I-7 presents a summary of the three current and two planned applications for the computer. A clerk in the budget and finance office is responsible for running the system on a daily basis, although that individual has other noncomputer related duties. Currently, there is no in-house computer expertise and the agency is required to work through a maintenance contract with the vendor to obtain software and hardware support.

PROJECT MANAGEMENT AND EVICTION PROCEDURES AT NAHA

This section describes how the project management function is integrated with other key housing functions at NAHA. Integration is illustrated by tracking the work flow in two key management activities--unit leasing, including vacant unit turnover, and rent collection. The rent collection discussion addresses how strong eviction policies at NAHA have been implemented for rent and behavior-related cases. Also described are key management tools used for tracking and monitoring each of these activities.

Leasing and rent collection activities at NAHA require the input, coordination and monitoring of most of the agency's key actors previously described. They are: the leasing and occupany staff, located at the Woodland office; the maintenance staff, also located at the Woodland office; and the budget and finance staff, located at NAHA headquarters, which is also where the executive director's office is situated (See Exhibit I-2).

EXHIBIT I-6
OVERVIEW OF CENTRAL LEASING AND OCCUPANCY OPERATIONS

Major Subfunctions	Synopses of Work Activities	Related Forms/Reports*
Leasing	• Staff at the Woodlawn office receive all tenant applications, determine eligibility, and subsequently notify applicant of unit availability.	Forms 9 and 10
	• Project manager orients tenant and executes lease.	
Rent Collection/ Tenant Accounting	• Woodland office and/or staff receive rents from project managers.	
	• Project manager posts collections to tenant ledger cards.	Form 13
	• Assistant director forwards rents and supporting documentation to finance and accounting department.	Form 2
	• Project manager follows-up delinquencies.	
Unit Turnover	• Project manager and/or Woodland office staff notify maintenance of unit availability.	Form 5
	• Woodland office staff and/ or project manager perform move-out inspections.	Form 5
Other Activities	• Woodland office staff perform all reexaminations in February and March.	
	• Woodland office staff perform all annual housekeeping inspections.	Form 5
	• Woodland office staff maintain agency's waiting list.	Form 5
	• Woodland office staff advertise periodically.	

*Form numbers refer to sample copies located in Appendix A.

EXHIBIT I-7

OVERVIEW OF COMPUTER APPLICATIONS

Application Area	Function
	Current Applications
Purchasing:	• Generates requisitions, orders and vouchers. Also maintains a vendor file.
Finance:	• Maintains general ledger, journal listing, payroll, and accounts payable, including check issuance. Also supports summary accounting of receipts.
Fixed Assets:	• Accounts for all nonexpendable properties.
	Planned Applications
Inventory:	• Currently implementing inventory accounting subsystem, which will interface with purchasing system.
Tenant Accounting:	• Planned to support occupancy and rent roll functions.

In addition to the staff identified above, there is a network of project managers and resident managers. Exhibit I-8 presents a summary overview of where the project managers are located by project name and size and their key responsibilities. There is on-site staffing at each of the agency's sites, although some sites share one common project manager. For example, Crystal Court and Vance Court, which are situated quite closely, are the responsibility of a single manager. As shown in Exhibit I-8, rents are collected on-site at all projects. And generally, the project manager is responsible for maintaining manual ledger cards used for tenant accounting. This is the major record-

EXHIBIT I-8

OVERVIEW OF PROJECT MANAGEMENT NETWORK

Project	# of Units	Type of Structure	On-Site Manager	Collect Rents	Maintain Tenant Ledger
Beechwood	106	Family, low-rise	yes	yes	yes
Crystal Court	18	Family, low-rise	yes[1]	yes	no
Parkview	350	Family, low-rise	yes[2]	yes	yes
Vance Court	48	Family, low-rise	yes[1]	yes	yes
Broadmeade	78	Family, low-rise	yes[2]	yes	yes
Parkview Towers	100	Elderly, high-rise	yes	yes	no[2]
Riverview Towers	164	Elderly, high-rise	yes	yes	yes
Riverside	120	Family, low-rise	yes	yes	yes
Elrod Towers	101	Elderly, high-rise	yes	yes	yes

1/ Manager responsibilities shared between Crystal Court and Vance Court. Vance Court manager also maintains tenant ledger for Crystal Court.

2/ Project management done by Woodland leasing and occupancy staff. The Woodland office is located on the Parkview Site. Parkview, Parkview Towers and Broadmeade are located on contiguous parcels of land.

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keeping responsibility of project managers. However, the project manager is also responsible for preparing detailed reports on delinquencies (discussed below) as well as other recordkeeping and reporting activities.

Leasing Flow

Exhibit I-9 presents the procedural flow of activities from initial application through the placement of the applicant in a unit, including all unit inspection and tenant orientation activities. The application procedures at NAHA are typical of

EXHIBIT I-9

LEASING FLOW

Actors

Step	Woodland Office	Maintenance	Project Manager
1	Stamps date and time on application.		
2	Completes application with client.		
3	Determines eligibility.		
4	Assigns number and places applicant on waiting list.		
5			Identifies vacancy and notifies Woodland office.
6	Notifies applicant of vacancy.		
7	Notifies maintenance of vacancy and project manager of client.		
8		Prepares unit for occupancy (see Exhibit I-11).	
9			Shows apartment.
10			If tenant accepts, executes lease and takes deposit.
11			Performs pre-move-in inspection.
12		Performs any additional work.	Sets up tenant account.

procedures at most other agencies. All applications are completed at the Woodland Office by one of the leasing and occupancy staff while the applicant is present. NAHA advertises their services in local newspapers every one-and-a-half to two years. (They have found that a secondary benefit of periodic advertising is that it helps to locate wait-listed applicants that the staff have not been able to reach because their phone numbers or addresses have changed.) Early in the application interview the tenant is asked if he or she is a former tenant so that they can be advised that any arrearages must be eliminated before they will be re-housed. The eligibility determination process at NAHA is done using standard HUD Form 50059. However, the agency places great emphasis on accurately verifying all income(s). Below, in Exhibit I-10, is the documentation required by NAHA for six types of income. After eligibility is determined, the application is placed on the waiting list (as shown in Exhibit I-9). The waiting list is maintained in application number sequence by income category and bedroom size.

EXHIBIT I-[illegible]

REQUIRED INCOME VERIFICATION DOCUMENTATION

Income Type	Documentation Required
1) Child Support (direct)	Cancelled check or court decree papers
2) Child support (via courts)	NAHA obtains a copy of receipts from local court house
3) SSI and Social Security	Form sent to Social Security Administration
4) Veterans Administration	Copy of notification from VA or cancelled check
5) Babysitting	Statements from payment
6) Employment	Verification form

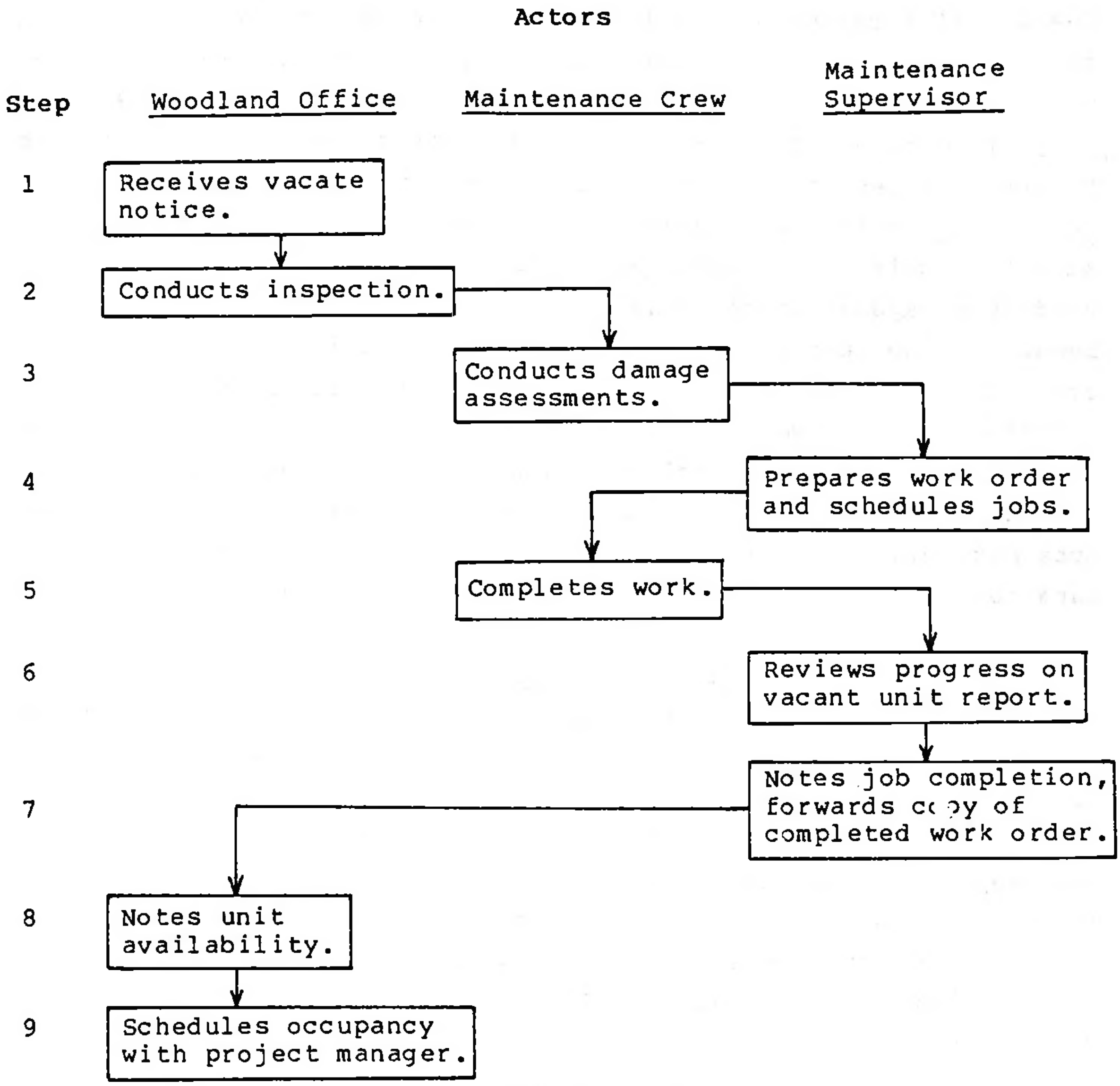
Interaction With Other Functions. Linkages between other functions and the leasing unit occur when potential vacancies are identified. NAHA requests tenants to notify their project manager or the central office of their intention to vacate fifteen days in advance. That notification triggers a sequence of events necessary to make the unit available for a new tenant. At NAHA, a general guideline is that family units are to be "turned over" in four working days and elderly units within three days. The maintenance superintendent is required to inform the executive director if this time interval will be exceeded. It is useful to note that vacant unit turnover intervals were significantly longer as late as 1979. At that time, a HUD audit revealed that the turnover interval averaged approximately 12.9 days. Since that time the maintenance unit has been reorganized, as presented earlier in this chapter. Additionally, various scheduling and inventory control improvements have been implemented which have increased maintenance responsiveness considerably.

The unit turnover sequence effectively begins with a move-out inspection, as shown in Exhibit I-11.

Two separate inspections are performed soon after a tenant vacates a unit. The first move-out inspection is performed by a leasing clerk with the essential purpose of inventorying all items in the unit (e.g. smoke detectors, ice cube trays, etc). A copy of the form used is presented as Form 5 in Appendix A. Following the move-out inspection, the maintenance unit is notified of the vacancy and an inspection is performed by one of the vacant unit crews. This inspection serves to identify damages that may be charged to the tenant's account and to schedule the various work activities required to turn over the unit. The vacant unit schedule is prepared by the maintenance inspector (see Form 6 in Appendix A). This form triggers the preparation of separate work orders by the maintenance superintendent for each discrete job required (e.g. plastering, painting and/or plumbing, etc). After all the work orders have

EXHIBIT I-11

VACANT UNIT WORK FLOW



been completed, the maintenance superintendent returns an initialed and dated copy of the vacant unit schedule to the leasing unit, to formally indicate that the unit is available.

Upon receipt of the returned vacant unit work schedule, the leasing unit contacts the first name or names at the top of the waiting list. The leasing clerk contacts multiple applicants because they often find it difficult to quickly reach individuals. If a person at the top of the list cannot be reached in two to three days then the unit is offered to the next applicant on the waiting list. As shown previously in Exhibit I-9, the project manager is then responsible for showing the unit to the prospective tenant. This usually occurs before the unit is ready but after the first clean-up crew has removed trash, etc. When the unit is ready, a formal pre-move-in inspection is performed again using Form 5 in Appendix A. At that time the lease is executed, a deposit is received, and keys are turned over to the tenant. The project manager also conducts a short orientation, including how to operate appliances and the substance of key NAHA policies with regard to rent payments, pet policies, etc. A handbook is also provided to the tenant (see Appendix B). The leasing cycle is completed with the preparation of a tenant ledger card by the project manager.

Management Information and Monitoring. The two inspections performed of vacant units, one by the leasing clerk and the other by the vacant unit crew, serve as a check and balance procedure to ensure that all agency property is properly accounted for and that all charges for missing items and/or damages are properly assessed and entered into the vacating tenant's account, thus enhancing the financial condition of the agency. Ensuring that vacancy/day losses are kept to a minimum also improves the financial condition and is also a key concern at NAHA and any well-managed operation.

NAHA has three specific tools that are used to monitor this aspect of operations. The vacant unit schedule (Form 6 in Appendix A) is a checklist and monitoring tool used by the vacant unit crews and maintenance superintendent to review progress on vacant unit work activities. A copy of this form is dated, initialed and forwarded to the leasing and occupancy staff to notify them of a unit's availability. The fact that it is initialed and dated provides an element of accountability to the process by ensuring that the unit is properly prepared in a timely manner.

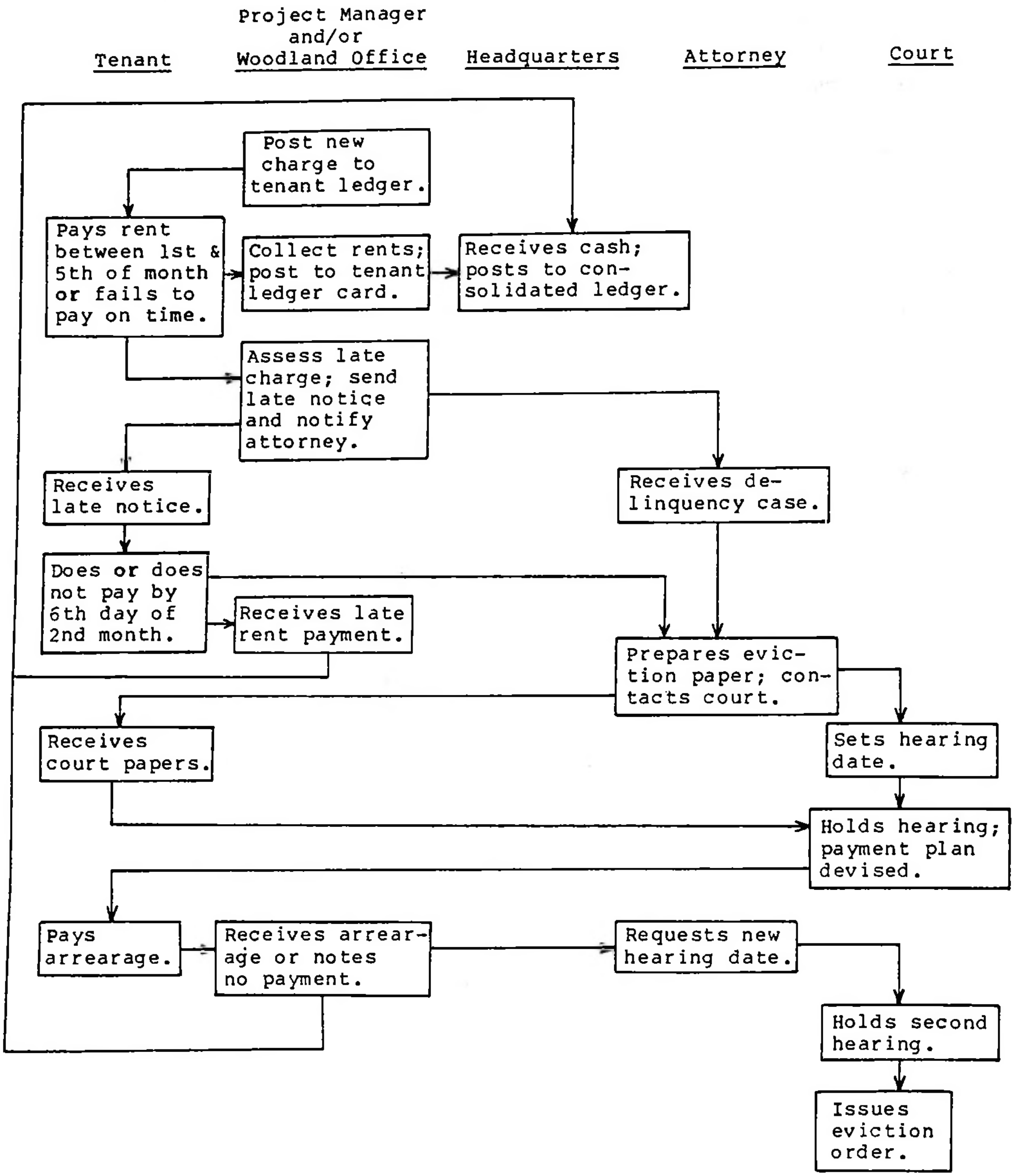
The maintenance superintendent also keeps a tracking report to supply a management overview of the unit preparation process (Form 7 in Appendix A). It provides a convenient reference document for obtaining information on the number of units being worked on, the status of various work activities completed and remaining, and the turnaround time required for all units completed that month. As mentioned earlier, a three- to four-day standard is used by the maintenance unit for unit preparation. When it is anticipated that this period will be exceeded, the executive director is notified by the maintenance superintendent. The director in turn monitors vacancies at a more summary level in the monthly accounts receivable report (Form 12 in Appendix A). This report compares current month vacancy levels with the same month of the preceding year.

Rent Flow

Exhibit I-12 presents a flow of rent collection activities that begins with the first of each calendar month. Most tenants pay when rent is due between the first and fifth of the month. However, as illustrated, a sequence of follow-up events, occurring over a two-month period, is in place to resolve a situation in which a tenant continues to be in arrears.

As indicated previously, rents are collected on-site at all projects. Both cash and checks are accepted by the agency. Reportedly, theft or robbery has not been a significant problem, presumably because monies are forwarded each day to the central office for accounting, consolidation and subsequent bank deposit. Additionally, to reduce the vulnerability of tenants to crime at one elderly project, a local financial institution is permitted to provide banking services in the building on the first of each month.

EXHIBIT I-12
RENT COLLECTION AND EVICTION FLOWS



Each project manager is required to post receipts to manual ledger cards on a daily basis and prepare a daily statement of operations (Form 2 in Appendix A), which is forwarded along with an adding machine "tape" to the central office by courier.

If rents are not received by the sixth day of the month a $10 late charge is assessed to the tenant's account. A late notice is mailed to the tenant and the agency attorney is notified (see Form 14 in Appendix A). There are infrequent exceptions permitted to this procedure, e.g., if the tenant contacts the office and makes and keeps an agreement to shortly pay the rent. During the first month the project manager may follow-up verbally with the tenant to attempt to secure the monies or establish a payment agreement.

If the rent is not received by the sixth day of the following month, the NAHA attorney is notified. The attorney is responsible for drafting a set of "papers," including a notice of lease termination (Form 15 in Appendix A). The attorney also contacts the courts and establishes a hearing date. Every attempt is made to schedule a hearing that same month and typically ten to twelve cases are scheduled for one hearing. It should be noted that implementation of this procedure by NAHA serves to automatically age arrears in the "over 30 day category," as of the sixth day of the following month in which the delinquency occurs. Adherence to this practice reflects NAHA's emphasis on strong collection and eviction policies.

The hearing is an administrative procedure. It is attended by the tenant, the project manager, the executive director, and the legal counsel. A typical rent delinquency case proceeds as follows. The tenant ledger card is provided as evidence of nonpayment. The tenant is permitted an opportunity to respond and identify any mitigating circumstances. In rent eviction cases, discussions are usually kept short and to the point by the judge. In most instances, the judge invites the tenant to suggest a payment schedule for resolving the arrearage. Usually the judge attempts to make the tenant feel completely comfortable with the payment schedule, which can be extended over several months. The case is then adjourned and the project manager annotates the ledger card with the agreed upon payment schedule.

If the tenant does not adhere to the schedule a new court date is set. At this time, the judge is less lenient. Typically, if the tenant has not paid the full balance by the second hearing date, an additional three days is allotted by the judge. The tenant is informed that the sheriff will be directed immediately thereafter to remove the tenant from the unit. According to NAHA staff, few actual evictions occur--usually only one or two per year. Rather, the tenants usually move out before the sheriff arrives.

Behavioral Cases. Many of the eviction cases brought before the judge are behavior-related lease violations. These include vandalism cases, drug-related cases and tenant disputes. Over a six-year period in the late 1970s the agency made a concerted effort to identify and remove vandals. Through perseverance these individuals have been removed and vandalism incidents are no longer a significant problem.

Association with drug-related charges or activities is grounds for NAHA lease termination, a provision that is strongly enforced. The executive director, through formal and informal channels with the local police department, receives information on drug-related activities involving tenants or NAHA properties. These are strenuously followed-up with eviction proceedings.

With regard to tenant disputes, the director maintains a policy of bringing all parties in a disputed incident to court, regardless of the merit of their positions in the incident. This policy has proved effective in resolving these types of disturbances and was initiated in his early days in the job. He quickly learned that the only way to effectively resolve these matters was to bring all parties to court.

Management Information and Monitoring. Two reports are prepared by agency staff to support this function. A biweekly Delinquency Report is prepared by each project manager (see Form 13 in Appendix A) that presents a unit breakdown of balances due and provides "remarks" on the status of the situation (e.g., payment plan in effect, or the date of the scheduled court hearing). This report is forwarded to the executive director each month. The director relies on this report, and more heavily, on the monthly Accounts/Receivable Report to monitor activities in this area (see Form 12 in Appendix A). The Accounts/Receivable Report provides a breakdown by project of the current month's outstanding receivables and compares them with the previous month's values and also with the same month of the preceding year. The report also summarizes amounts due from vacated tenants. This report is the primary tool used by the executive director to monitor this crucial area of agency operations and is used as a basis for his interactions with project managers and other staff.

II. WHY THESE PRACTICES ARE EFFECTIVE

INTRODUCTION

One unambiguous indicator of the effectiveness of NAHA systems and procedures is its rental collection performance. Exhibit II-1 illustrates how well the agency has performed recently, as compared to the two-year period preceding the current director's arrival in 1975, when the organization was in considerable distress. Over the last six years, collections received against current charges in the month of June, shown as a representative month, have averaged over or near one-hundred percent of current charges. These data indicate that on an agency-wide basis, virtually all current charges were being collected, and in some months, considerable progress was being made towards collecting accounts receivable or other miscellaneous charges. This is in contrast to the early 1970s when current collections were averaging only around ninety-five percent. While Exhibit II-1 only presents "snapshots" over a long period, the performance of the agency is revealed in annual financial statements. Over the last five years collection losses generally have been less than one percent, while operating reserves, a key indicator of financial "health," have risen to sixty-seven percent of the allowable level.

WHY PROJECT MANAGEMENT IS EFFECTIVE

The preceding chapter illustrates how key project management functions are well integrated with other key functions, including maintenance and leasing and occupancy. The most significant reason for the effectiveness of this specific practice, and NAHA operations in general, is perhaps the least tangible. Most key staff and board members of NAHA attributed much of the agency's operational success to the effective leadership style and guidance of the executive director. The tone promulgated by the director to the staff and tenants

EXHIBIT II-1

PERFORMANCE TRENDS IN MONTHLY COLLECTIONS

For Month of June in Year	Percent of Current Charges Received[1]
1973	94%
1974	95%
1975[2]	97%
1976	106%
1977	101%
1978	95%
1979	98%
1980	100%
1981	103%
1982	103%
1983	98%
1984	99%

1/ Reflects total collections (including current and outstanding monies) as expressed as a percentage of the month's total rent roll.
2/ New executive director arrived.

---

is one that can be characterized as somewhat relaxed but very business-minded. A team approach is emphasized, but key areas of functional area interaction are delineated, accountability is established and progress is monitored, as was the case with vacant unit preparation flows discussed in the preceding chapter.

A high premium is placed on interpersonal contact among all staff. The executive director makes it a point to visit each project at least once per week to tour the site and speak with tenants and the manager. Frequent interpersonal contacts with staff have made it unneccessary for the director to hold regular staff meetings. Rather, formal staff meetings are held only when there is a significant policy or procedural change. Similarly, staff are not burdened with many report preparation responsibilities. The director relies on two simple routine monthly reports. A more relaxed but focused work environment has contributed at least somewhat to low turnover among key management staff. While the importance of well documented procedures is clearly recognized, the fact that most staff have been with the agency several years, moving up from lower positions, has rendered it unnecessary for the agency to spend much time formally documenting policies and procedures in great detail. Each staff person interviewed by the team at all levels of the organization was well acquainted with the procedures for handling each aspect of agency operations. Prior to the current director's tenure there was a lack of uniform policies and procedures, especially with regard to use of common space and late rent payments. For example, project managers were permitted to make payment agreements with tenants without any monitoring by top management. This previous situation lead to many complaints of favoritism of one tenant over another. This process was eliminated and the status of each delinquent account, including schedules, is reported bimonthly by the project manager. Similarly, different policies were in force as to types of activities that could be conducted at meeting rooms located on project sites. This situation lead to disgruntlement by several tenant groups, pitting them against the PHA. A uniform policy was created to eliminate this problem.

Another reason that project management is effective is that project managers realize that they are the "eyes and ears" of management and that their diligence is required to ensure that the developments are a desirable place to live. In this regard, heavy emphasis is placed on "weeding out" problem tenants, especially those involved with drug activities or vandalism. The strong lease and eviction policy along with the responsive courts is seen as instrumental in achieving this objective. Further, the project managers who have been with the agency over a number of years have seen how much easier their jobs are if they are not responding to the problems generated by a few tenants.

As project managers and other staff have had to spend much less time dealing with problem tenants, they have been able to help ensure that the stock is well maintained. Over the last several years maintenance response time has been reduced, despite a twenty-five percent reduction in maintenance staffing prompted by the elimination of the CETA program.

Upgrading the housing stock through modernization has also helped to make the project management function run more smoothly. In part because of significant operational improvements implemented under the present director, relations with HUD have improved such that the agency has received more than its share of modernization funding available in the state. According to the project management and other staff at NAHA, tenant attitudes improve significantly when units are upgraded and this is manifested in more timely rent payments and fewer problems in general.

WHY STRONG EVICTION POLICIES ARE EFFECTIVE

In addition to the well integrated operational structure discussed earlier, there are two key reasons why eviction and related policies are effective: a strong lease and strong but responsive courts. Each of these is discussed below.

One indicator of the effectiveness of NAHA's lease is the fact that it has been used as a model for many of the PHA leases across the state. The lease is viewed both by the director and HUD as being strong, clear, and well laid out. One aspect of the lease that makes it strong is the prohibition against criminal and especially drug-related activity. This lease stipulation is strongly enforced by the agency and backed by the court. Another reason that the lease is effective is the considerable attention devoted to upgrading the lease on an on-going basis. At least once per year the director sits down with the legal counsel, the tenant services director and the project manager to review the lease and make any improvements based on the year's "lesson learned."

Another significant reason for the effectiveness of eviction policies is the responsiveness of the courts. The current administrative procedure replaced a burdensome judicial process that was virtually inoperative. At first, the courts were reluctant to change the process but did so after considerable lobbying and negotiating by the executive director and the agency attorney. It took six months before cases were brought to a hearing under the new administrative hearing process. At that hearing, ten cases were presented, and five resulted in evictions within two months. Other tenants learned of the evictions and this set a new tone with all parties concerned. Tenants now know that the judge will be cooperative at first through liberal payment plans in delinquency cases. But, if the schedule is broken the threat of eviction is quite real and imminent. The current director said that over the last few years there have been one or two actual evictions per year (recall that most move out before the sheriff arrives) and that is the best deterrent in the world for all those that are considering being delinquent. The courts are also responsive inthat they are supportive of "weeding out" problem tenants, whether done on behavioral- or rent-related grounds. The tolerance of the judge diminishes rapidly when faced with repeated appearances by the same tenant. According to legal counsel, of approximately one hundred cases brought per year, most of them involve the same ten percent of the tenant population. Through perseverance though, the NAHA staff and counsel remove these problem tenants, especially for drug-related or vandalism-related activities. For example, it took approximately six years to effectively remove a network of tenants that were vandalizing NAHA property. Thus, while the courts are at least reasonably cooperative with tenants at first, the process does "have teeth" in that problems are eliminated or the problem tenant's occupancy is discontinued.

III. IMPLEMENTING SIMILAR PRACTICES AT OTHER PHAs

PROJECT MANAGEMENT

The major management functions at NAHA such as maintenance and leasing and occupacy are fairly centralized. The role of project management is clearly defined but largely coordinative in nature, except for the quite significant activity of rent collection. This particular project management structure is effective in addressing the characteristics of the physical stock, tenancy, staff skills, and organizational structure of this agency.

Other PHAs considering implementing systems similar to those in NAHA should of course first review the major factors influencing NAHA's management structure, which are described in Chapter I of this report. Other factors that should be considered and should compose any effective structure are:

- A proper correlation between the manager's authority and accountability. At NAHA, elements of accountability are in place for each key work task or activity.

- Proper staff coverage at all sites. At NAHA, there is a resident manager or project manager at virtually all sites. Only those sites that are too small to warrant a dedicated manager do not have one. These two, however, share a manager and are nearby each other. Managers should be familiar with procedures, which should be documented, and changes should be properly introduced through in-service training.

- Proper oversight of project management and other functions. At NAHA, there is a high degree of interpersonal contact, but this is overlayed with a small but effective number of management information reports, which keep the executive director and others informed of key operations.

STRONG EVICTION POLICIES AND PROCEDURES

The first step in implementing effective practices is to ensure that there is an enforceable set of rules that are directly incorporated, or incorporated by reference to the lease. At NAHA, these are reviewed annually with an eye towards improving them. Rules should be simple, carefully thought through, and meet common sense as well as legal requirements. Key items that should be addressed include: pets; noise; antisocial and criminal behavior; property abuse; lease payments; and grievance procedures.

Following the establishment of a strong lease, other agencies should ensure that there are adequate procedures in place to follow-up with evictions when other approaches are unsuccessful. Managers and other staff should be well-informed as to the documentation that is required to successfully present a case. The tenant ledger card at NAHA is the key document used. Coordination between legal counsel and PHA staff is important to ensure that proper notices, warnings and penalties are administered. Additionally, NAHA officials have found that it is important to have the neccessary staff members present at the hearings to answer all questions that may arise, and to have the entire case file with them as an aide. These practices may be something that other agencies may want to adopt also.

Finally, other PHAs will want to consider whether the local courts are as responsive as possible, and if not, attempt to change the status quo. At NAHA, the courts try to accommodate the agency in three ways that other agencies may want to consider. First, hearings are scheduled promptly, usually during the same month of the delinquency. Second, the courts are responsive; they impose sanctions to those who do not comply with judgments by removing them from occupancy. And third, the courts implemented a streamlined administrative procedure in lieu of the previous judicial process.

APPENDIX A
FORMS USED BY NAHA

Below is a list of forms referred to by number in this case study. A sample of each form appears on the following pages.

FORM 1
MONTHLY COMPARISON OF ACTUAL AND ESTIMATED EXPENDITURES

DATE August 31, 1984

ACCOUNT NUMBER	MONTHLY ESTIMATES	MONTHLY ACTUAL	YEAR TO DATE ACTUAL	APPROVED BUDGET
4110	20,937.50	27,117.80	46,780.88	251,250
4190	4,197.50	3,353.87	16,002.26	50,370
4210	1,633.33	2,126.40	7,604.80	19,600
4220	33.33	-0-	-0-	-0-
4230	41.67	-0-	-0-	-0-
4300	51,410.00	47,010.83	245,124.36	616,920
4410	33,074.17	41,885.39	151,572.01	396,890
4420	7,500.00	8,207.14	33,451.46	90,000
4430	7,419.17	8,866.52	49,060.40	20,000
4510	1,666.67	548.00	5,234.00	73,220
4520	6,101.67	-0-	-0-	-0-
4530	-0-	-0-	-0-	-0-
4540	15,124.17	14,808.78	71,018.46	181,490
4550	-0-	-0-	-0-	-0-
4560	-0-	-0-	-0-	-0-
TOTALS	149,139.18	153,974.73	675,848.63	1,789,670

FORM 2
DAILY STATEMENT OF OPERATIONS

3M - 8-74 L-NC

Housing Authority of the City of New Albany, Indiana

DAILY STATEMENT OF OPERATIONS

Project No. Consolidated Cash Receipt No. ________ Through ________ Date May 31, 1985

TENANT ACCOUNT ANALYSIS	RENTAL CHARGES AND CASH COLLECTIONS	MISCL. DEBITS	MISCL. CREDITS	DAILY NET TOTAL	TOTALS FOR MO. TO DATE
2,944.07 (41,000.00) 1,077					
CHARGES TO TENANTS ACCOUNTS					
1. Dwelling rental (Account 3110)					126,485.88
2. Excess utilities (Account 3120)	xxxxxx				
3. Nondwelling rental (Account 3190)	xxxxxx				158.00
4. Other income (Account 3690)	xxxxxx				2,747.33
5. Total Operating Income	xxxxxx	xxxxxx	xxxxxx		129,391.21
6. Refunds to tenants	xxxxxx				709.93
7. Returned checks	xxxxxx				248.50
8. Court costs	xxxxxx				
9. Collection Loss Recovery	xxxxxx				
10. Total Charges	xxxxxx	xxxxxx	xxxxxx		130,349.64
CREDITS TO TENANTS ACCOUNTS					
11. Collections					130,600.04
12. Transfers from security deposits	xxxxxx				1,360.00
13. Collection losses (Account 4570)	xxxxxx				
14. ________	xxxxxx				
15. Total Credits	xxxxxx	xxxxxx	xxxxxx		131,960.04
BALANCE-TENANTS ACCOUNTS RECEIVABLE					
16. Net total of debit (credit) transactions	xxxxxx	xxxxxx	xxxxxx	(9,678.02)	xxxxxx
17. Previous balance (Account 1122)	xxxxxx	xxxxxx	xxxxxx	21,011.69	xxxxxx
18. Current balance (Account 1122)	xxxxxx	xxxxxx	xxxxxx	11,333.67	xxxxxx
TENANTS SECURITY DEPOSIT ACCOUNTS					
19. Collections					960.00 +(24)
20. Transfers to tenant's accounts	xxxxxx				1,360.00 -(34)
21. ________	xxxxxx				
22. Net total of debit (credit) transactions	xxxxxx	xxxxxx	xxxxxx		xxxxxx
23. Previous balance (Account 2114) (credit)	xxxxxx	xxxxxx	xxxxxx	40,600.00	1,067 xxxxxx
24. Current balance (Account 2114) (credit)	xxxxxx	xxxxxx	xxxxxx	40,600.00	1,067 xxxxxx
UNDEPOSITED COLLECTIONS					
25. Total collections (Lines 11 & 19)	xxxxxx	xxxxxx	xxxxxx		
26. Add: Undeposited balance-previous report	xxxxxx	xxxxxx	xxxxxx		xxxxxx
27. Less: Deposits	xxxxxx	xxxxxx	xxxxxx		
28. Undeposited Balance	xxxxxx	xxxxxx	xxxxxx		

Prepared By: ____________________ Approved By: ____________________

FORM 2 (continued)

ANALYSIS OF ADJUSTMENT SLIPS

Charges to Tenants

ADJ. NO.	ACCOUNTS RECEIVABLE							SECURITY DEPOSITS	
	DWELLING RENTAL	EXCESS UTILITIES	NONDWELLING RENTAL	OTHER INCOME		REFUNDS TO TENANTS	RETURNED CHECKS	REFUNDS	TRANSFERS TO A/C REC.

Credits to Tenants Accounts Receivable

ADJ. NO.	DWELLING RENTAL	EXCESS UTILITIES	NONDWELLING RENTAL	OTHER INCOME				COLLECTION LOSSES	TRANS. FROM SECURITY DEPOSITS

FORM 3
INVESTMENT PROJECTION SHEET

August 31, 1984
DATE

1.	ACTUAL CASH BALANCE 1111.1 (1st day of month)	143,616.51	
2.	ACTUAL FUNDS INVESTED 1162 (1st day of month)	+ 642,000.00	
	SUB-TOTAL	785,616.51	
3.	ESTIMATED CASH RECEIPTS	+ 111,778.46	
	SUB-TOTAL		897,394.97
4.	ESTIMATED EXPENSES		- 149,139.18
5.	ESTIMATED FUNDS AVAILABLE FOR INVESTMENT		748,225.79
6.	ACTUAL FUNDS INVESTED 1162 (last day of month)		642,000.00

FORM 4
ROUTINE MAINTENANCE WORK ORDER

LIPPS-NATIONAL CORPORATION 40187

THE HOUSING AUTHORITY OF THE CITY OF NEW ALBANY, INDIANA

WORK ORDER

Unit No. B-105 Date 10-24-84

Tenant [redacted]

Address 105 Riverside

Work To Be Done Broken exhaust fan

Taken By: Susan

Work Done By:	Approved By:	Charges:
[redacted]		
Reg. Hrs. Worked 20 mins	O.T. Hrs. Worked	
Materials New fan blade		Tenant - Charge ☐ Charge to Other ☐ Tenant - Cash ☐
(Use reverse side for additional space)		

Tenant's Signature *Date*

Project No. 12-8

20201

ORIGINAL

IIA-6

FORM 5
MOVE-IN, PRE-VACATE AND MOVE-OUT RECORD INSPECTION FORM

MOVE-IN, PRE-VACATE AND MOVE- JT RECORD

NAME: ____________________ PROJECT # IND-12-__________

UNIT # __________

ADDRESS: ____________________ # OF BEDROOMS __________

	LIV. ROOM	KITCHEN	BATH	STAIRS	HALLWAY	BD. RM. 1	BD. RM. 2	BD. RM. 3	BD. RM. 4	OTHER
WALLS										
CEILING										
FLOORS										
LIGHT FIXTURES										
LIGHT BULBS										
LIGHT SWITCHES										
RECEPTACLES										
STORM WINDOWS										
GLASS WINDOW										
WINDOW HARDWARE										
WINDOW SCREENS										
CURTAIN RODS										
DOOR CHAIN										
DOOR GLASS										
DOOR STOP										
STORM GLASS										
STORM SCREENS										
STORM CLOSER										

EXTERIOR: MAIL BOX___ HOUSE #___ CLOTHESLINE___
GROUNDS___ PORCH LIGHT-FRONT___ BACK___

Checking symbols: M Missing B Broken P Paint
H Holes ✓ Acceptable D Dirty R Replace

KITCHEN EQUIPMENT

RANGE
Switches ___ Pilot Light ___
Surface Units ___ Oven Door ___
Oven Unit ___ Racks ___
Broiler Pan ___

REFRIGERATOR
Door ___ Ice Trays ___
Chiller Tray ___ Butter Dish ___
Racks ___

CABINETS
Shelves ___ Doors ___
Drawers ___ Hardware ___

PLUMBING
Sink ___ Stopper ___
Faucet ___ Drain ___
Crumb Cup ___

BATHROOM FIXTURES
Towel rack ___ Paper Holder ___
Medicine Cab. ___ Glass Holder ___
Soap Dish ___ Toilet ___
Tank ___ Seat ___ Drain ___
Tank Cover ___ Tub ___
Stopper ___ Drain ___ Sink ___
Stopper ___ Drain ___

FURNACE ___
WATER HEATER ___
SMOKE ALARM ___ BATTERY ___

MISCELLANEOUS NOTES
____
____
____

This certifies that the undersigned have jointly checked the dwelling identified herein and find that it is furnished with the items listed, all in satisfactory condition except as noted. The tenant agrees to assume all responsibility for loss or damage while the same is in his/her custody or possession, normal wear and tear excepted. Any loss or damage established shall be charged to the account of the Tenant, either in accordance with a "Schedule Of Charges" posted in the Management Office or on the basis of actual cost of repair or replacement.

ACKNOWLEDGEMENT OF CONDITIONS AT MOVE-IN

DATE ____________ ____________________
Signature of Resident

DATE ____________ ____________________
Signature of Housing Authority

ACKNOWLEDGEMENT OF CONDITIONS AT PRE-VACATE

DATE ____________ ____________________
Signature of Resident

DATE ____________ ____________________
Signature of Housing Authority

FORM 6
VACANT WORK SCHEDULE

ADDRESS: 132 Woodland Drive

UNIT # B-29-11 PROJECT # 12-3

MOVE-OUT INSPECTION REPORT	10-1-84
CLEAN OUT RUBBISH (# OF LOADS 2)	✓
CHANGE LOCKS (2 key made [illegible])	10-1-84
CLEAN RANGE, REFRIGERATOR, SINK, BATH	—
REPAIR HOLES IN WALL (# OF SMALL 2) (# OF LARGE 1)	10-15-84
REPAIR TRIM	✓
REPAIR GLASS	✓
REPAIR SCREENS 2 window screens, 3 storm door screens	✓
REPAIR CABINETS	—
PAINT	—
REPAIR FIXTURE	—
DOOR CHAIN (1)	—
REPLACE WINDOW RODS (3)	—
REPLACE LIGHT SHADES Living Room	✓
REPLACE SMOKE ALARM BATTERY	✓
CHECK (CLEAN OR REPAIR) FURNACE	—
CHECK HOT WATER HEATER	—
CLEAN AND MOP FLOORS	—
1 bulb - living room	✓
1 storm door closer	✓
2 ice trays	✓
1 butter dish	✓

[illegible] Ready 10-19-84

FORM 7

VACANT UNIT MONITORING REPORT

THE HOUSING AUTHORITY OF THE CITY OF NEW ALBANY, INDIANA

DATE: OCTOBER 1984

Project Number	ADDRESS	Date Insp.	BR Size	1st Cleaning Start	1st Cleaning Fin.	Painted Start	Painted Fin.	2nd Cleaning Start	2nd Cleaning Fin.	Date Completed
12-3	115 BONNIE SLOAN	10/1	2	10/1 G B	10/1	10/4	10/4	10/5 G	10/5	10-5-84
12-3	256 ERNI AVE	10/1	2	10/1 G	10/2	N/R	—	—	—	10-2-84
12-3	132 WOODLAWN DRIVE	10/1	2	10/1 B	10/3	10/12	10/17	10/18	10/19	10-19-84
12-4	14 WM. O. VANCE CT.	10/1	2	10/2 G	—	10/2	10/3	10/3 G	10/4	10-4-84
12-3	154 WOODLAWN DRIVE	10/2	3	10/4 B	10/5	10/15	10/22	10/22 G	10/23	10-23-84
12-3	1716 BONO ROAD	10/2	3	10/8	10/9	10/5	10/5	—	—	10-10-84
12-3	107 CARDINAL DRIVE	10/3	2	10/4 G	10/5	10/8	10/10	10/11 B	10/11	10-11-84
12-1	302 BEECHWOOD AVE.	10/3	1	10/5 G	10/8	10/11	10/12	10/15 G	10/15	10-16-84
12-4	23 WM. O. VANCE CT.	10/5	2	N/R	N/R	N/R	N/R	N/R	N/R	10-5-84
12-3	146 WOODLAWN DRIVE	10/5	2	10/7 G	10/10	10/17	10/19	10/22 B	10/23	10-23-84
12-8	45 RIVERSIDE DRIVE	10/8	2	10/9 M	10/10	10/9 M	10/10	—	—	10-10-84
12-3	305 ERNI AVE	10/8	3	10/10 B	10/10	10/19	10/22	10/23 G		

FORM 8
WORK ORDER ANALYSIS REPORT

AVERAGE WORK ORDER PER DAY WITHIN MONTH

19__	12-1	12-2	12-3	12-4	12-5	12-8	Total
JAN.							
FEB.							
MARCH							
APR.							
MAY							
JUNE							
JULY	1.42	.57	6.90	.95	1.14	.95	11.95
AUG.	1.78	.82	7.82	1.13	1.39	1.13	14.08
SEPT.	1.57	.73	8.68	.89	1.05	1.10	14.05
OCT.							
NOV.							
DEC.							

AVERAGE MILEAGE PER DAY WITHIN MONTH

Veh. #	6	7	8	9	10	11	12	13	Total
JAN.									
FEB.									
MARCH									
APR.									
MAY									
JUNE									
JULY	0	14.59	10.00	10.62	15.67	5.09	24.66	13.38	94.03
AUG.	0	18.16	13.52	6.14	11.38	5.08	20.60	14.82	89.73
SEPT.	0	9.00	17.21	10.43	13.03	10.82	13.10	10.26	83.87
OCT.									
NOV.									
DEC.									

AVERAGE MILES PER WORK ORDER WITHIN THE MONTH

JAN.		JULY	7.86772908366
FEB.		AUG.	6.37037037037
MARCH		SEPT.	5.96853932584
APR.		OCT.	
MAY		NOV.	
JUNE		DEC.	

FORM 9
BROOK AMENDMENT COMPUTATION FORM

THE HOUSING AUTHORITY OF THE
CITY OF NEW ALBANY, INDIANA

BROOKE AMENDMENT COMPUTATION

3.75 X
40 =
150.00 *

150.00 X
52 =
7,800.00 *

7,800.00 X
3.00 %
234.00 *

18.24 X
52 =
948.48 *

948.48 +
234.00 -
714.48 *

7,800.00 +
390.00 -
714.48 -
900.00 -
5,795.52 *

5,795.52 X
30.00 %
1,738.66 *

1,738.66 ÷
12 =
144.89 *

145.00 +
16.00 -
129.00 *

OJECT Ind 12-3 DATE 10-5-84

IT NO. C-252-7 BEDROOM SIZE 3 BR

ME [redacted] ADDRESS 342 Erni

). OF ADULT DEPENDENTS ___ NO. OF MINORS 3

EMARKS employment

COMPUTATION OF INCOME & RENT

OTAL ANNUAL FAMILY INCOME		7800.00
DJ:	DEDUCTIONS* 5% nonelderly-10% elderly	390.00
	Secondary wage earner	
	Medical Expenses	714.48
	EXEMPTIONS: Child Care	
	Minors 3	900.00
	Adult Dependents ___	
	INCOME FOR RENT	5795.52
	MONTHLY GROSS RENT	145.00
	UTILITY ALLOWANCE	16.00
	CONTRACT RENT	129.00

FORM 10
SMOKE DETECTOR AGREEMENT

Date 10-5-84

I the undersigned do hereby state to The Housing Authority that the Smoke Alarm placed in my apartment is in good working condition as of this date and I the tenant do realize that I am responsible for the maintenance of the Alarm.

Signed X

Address 342 Elm

FORM 11
TENANT LEDGER CARD

NAME | UNIT NUMBER C-1-8

ADDRESS 223 Graybrook Ln. SD $40 | PROJECT NO. IND 12-3

DATE	REF.	UNIT NO.	CHARGES	CREDIT	BALANCE	PREVIOUS BALANCE
						.00
02/01/85	RENT		C 38.00		**38.00	38.00
02/11/85	12-3		B	38.00		.00
02/25/85	12-3		B	135.50	**.00	
					**135.50-	
						135.50-
03/01/85	RENT		C 281.00		**145.50	145.50
03/01/85	RENT		C 281.00-		**135.50-	135.50-
03/01/85	RENT		C 271.00		**135.50	135.50
03/11/85	12-3		B	135.50		
					**.00	
						.00
03/22/85	12-3		A	135.50		135.50-
04/01/85	RENT		C 271.00		**135.50- **135.50	
						135.50
04/09/85	12-3		B	135.50		
					**.00	.00
04/22/85	12-3		C	132.00	**132.00-	132.00-
05/01/85	RENT		C 271.00		**139.00	139.00
05/06/85	12-3		C	66.00	**73.00	73.00
05/20/85	12-3		B	66.00	**7.00	7.00
06/01/85	RENT		C 262.00		**269.00	269.00
06/03/85	12-3		C	134.50	**134.50	

1/8

THE HOUSING AUTHORITY
OF THE
CITY OF NEW ALBANY,
INDIANA

~~271.00 (3-1-85)~~
~~38.00 (11-1-84)~~
262.00 (6-1-85)

FORM 12
ACCOUNTS RECEIVABLE REPORT

DATE: October 31, 1984

ACCOUNTS RECEIVABLE REPORT

Project No.	Previous Year Oct., 1983	Previous Month Sept., 1984	Current Month Oct., 1984	Monthly Change	Vacated Tenants	Vacant Units 1983	Vacant Units 1984
IND-12-1	4% 398.02	8% 941.76	2% 256.45	(685.31)	545.27 706.77	1	1
IND-12-2	2% 17.35	20% 249.50	9% 122.63	(126.87)	-0- -0-	0	0
IND-12-3	16% 5,262.59	24% 9,019.67	18% 7,071.04	(1,948.63)	10,540.80 12,812.95	9	6
IND-12-4	23% 869.98	48% 1,830.87	45% 1,847.23	16.36	1,137.48 1,265.81	2	0
IND-12-5	30% 2,259.96	26% 2,219.68	20% 1,694.61	(525.07)	6,992.64 7,874.99	2	2
IND-12-6	45.17	26.19	90.41	64.22	284.38 284.38	1	1
IND-12-7	6.05	12.10	27.95	15.85	201.25 201.25	0	0
IND-12-8	3% 552.30	11% 1,839.63	8% 1,293.50	(546.13)	1,124.64 1,130.54	0	0
IND-12-10	-0-	5.00	-0-	(5.00)	-0-	0	0
TOTALS	9,411.42	16,144.40	12,403.82	(3,740.58)	24,276.69	15	10

FORM 13
RENT DELINQUENCY REPORT

DELINQUENCY REPORT

Date April 12, 1982

Unit No.	Name and Address	Monthly Rental	Balance	Remarks
C-55-4	[redacted]	109.00	54.50	4/12
C-57-6	[redacted]	137.00	104.25	weekly
C-58-6	[redacted]	173.00	171.20	4/12 & 4/26
C-65	[redacted]	183.00	388.00	
C-66-4	[redacted]	129.00	129.00	4/12 & 4/19
C-73-8	[redacted]	127.00	53.50	weekly
D-75-1	[redacted]	191.00	329.00	called [redacted] waiting court date
C-91	[redacted]	118.00	132.00	went on unemployment
C-94	[redacted]	209.00	209.00	4/14 & 4/28
B-97	[redacted]	58.00	45.50	4/12
C-102-8	[redacted]	163.00	81.50	4/19
B-103	[redacted]	92.00	95.00	4/19
B-104	[redacted]	124.00	62.00	4/16

FORM 14
LATE NOTICE

[redacted]

[redacted]

New Albany, IN 47150

All rents are due and payable on the 1st of each month. Your balance at the present time is $ 108.00 . Please call our office and make arrangements to take care of this balance immediately.

945-6653
THE HOUSING AUTHORITY OF THE
CITY OF NEW ALBANY, INDIANA

FORM 15
NOTICE OF TERMINATION OF LEASE

TO: [redacted] NAME OF TENANT

[redacted] Graybrook Lane ADDRESS

New Albany, Indiana 47150

VIA: CERTIFIED MAIL
RETURN RECEIPT REQUESTED

NOTICE OF TERMINATION

OF

LEASE

You are hereby notified that the Management of the Housing Authority of the City of New Albany, Indiana, pursuant to the terms of your dwelling lease with the Housing Authority, is terminating your lease effective five (5) days from the date this Notice was personally delivered to you or five (5) days from the date this Notice was mailed to you, for the reason of Violation of Lease, Section 6, Item #14. You are hereby requested to vacate the premises you now occupy on or before the above date in accordance with the provisions of your lease. You may reply by contacting the office if you wish and you may request a hearing in accordance with the Authority's grievance procedure.

Dated this 4th day of June, 1984.

HOUSING AUTHORITY OF THE
CITY OF NEW ALBANY, INDIANA

BY: ______________________________

FORM 15 (continued)

June 6, 1984

I am this day taking the cat from the apartment of James & Dorothy Nance. I understand that if I bring this cat or any cat or dog to their apartment that it will break their lease with the New Albany Housing Authority, and they will be expected to move immediately.

____

I have gotten rid of the cat that was in my apartment. I do understand that if there is another time when a cat or dog is seen in my apartment that I will be expected to vacate immediately as it breaks my lease. This is whether the animal(s) belongs to myself or someone else.

____

APPENDIX B

TENANT HANDBOOK

Your New Home

IIB-2

INFORMATION

for ______________________

The Housing Authority of the City of New Albany, Indiana

CONTENTS — PAGE

welcome

The Housing Authority of the City of New Albany welcomes you as a tenant and hopes you will enjoy your new home.

We realize that you may be a bit confused at first about some of the rules. To help you we have prepared this booklet. When you read it, you will find that most of your questions are answered. If they aren't, ask us.

We will be glad to help you.

THE HOUSING AUTHORITY OF THE
CITY OF NEW ALBANY, INDIANA

IIB-3

____
Executive Director

OUR OFFICE HOURS

The office is open daily, 8 a.m. to 4:30 p.m., except Saturday, Sunday and legal holidays.

YOUR NEW ADDRESS

The address of your home is __________________.

WHO TO CALL

Fire 944-6411

Police 948-9266

Management Office 945-6653

After Hours — Emergency .... ______________

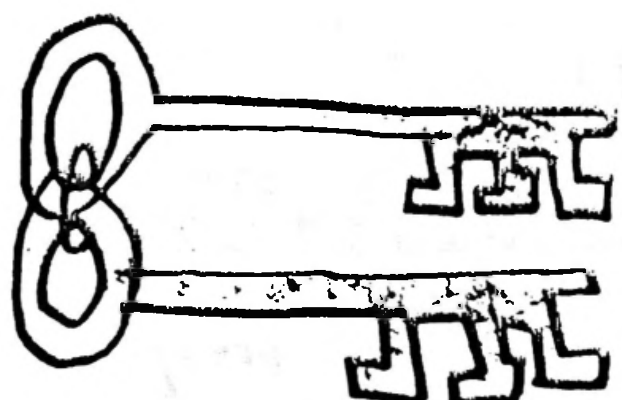
____

____

____

YOUR KEYS

You have been given 2 keys to your home. If you should lose them we can furnish duplicates at your cost.



WHAT WE ASK OF OUR RESIDENTS

These are six important things we ask of you:

1. Pay your rent on time as agreed.
2. Keep your apartment clean inside and out.
3. Get along with your neighbors.
4. No dogs or cats.
5. Do not park or drive across yards.
6. Take proper care of garbage and trash.

CHANGES IN INCOME

IIB-4

As you know your rent is based on your income and the number of people in your family. If you have any questions about this, ask the office.

Once a year we will go over your family income and family size with you to see if there have been any changes. We will let you know when this is to be done. The elderly residents are re-examined each two years.

your lease

You have signed a lease with us. Please read it carefully as soon as you have time. If there is anything in it that is not clear, just ask about it at the Management Office. We will be glad to explain.

If you decide to move you can terminate your lease by giving 15 days written notice.

YOUR APPLIANCES

Your stove and refrigerator should be wiped off daily. A solution of baking soda and water is good for keeping the refrigerator clean and odor free.

Don't forget to defrost about once a week. Just turn the dial to OFF, put a pan of hot water in the freezer and close the door. Keep changing the water as it cools until all the ice is melted or falls from the sides. Empty the drip pan, wipe the pan and freezer dry and turn dial back to ON and the setting number you want.

Do not chip away at the ice with anything! The freezer is easily punctured and the expense you will face is large!

Clean your stove with ammonia and water solution, soaking the burned-on parts. If your stove needs repair, call the management office and we will do it free if trouble is from normal wear.

If you want to move your stove to clean or for any other reason, it must be disconnected and re-connected by experts. Call the management office.

IIB-5

You may use your own stove or refrigerator if you wish by discussing this with the management office. If you store your refrigerator in the utility room please turn it to the wall to prevent children from being trapped inside. Please keep it away from the furnace and water heater so our maintenance men will have easy access to them for repairs.

LOCK OUTS

If you lock yourself out after regular office hours and our maintenance man has to make a run to open your apartment, there will be a charge for this overtime service.

SIGNS

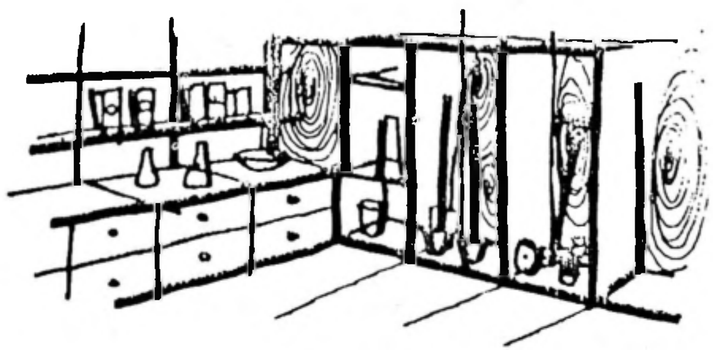
No signs of any kind will be allowed inside your windows or doors or outside your premises.

STORAGE

We ask you not to store toys, wagons, bicycles, etc., in your hall or stairway because this is dangerous.

In your utility room, be careful not to store things close to your furnace or water heater or let paper be scattered around. Don't store kerosene, gasoline, oil paint or other highly inflammable liquids in your apartment.

Absolutely no mopeds or motorcycles will be allowed in the utility room or anywhere else in the apartment.



GARBAGE AND TRASH

Services for disposal of trash and garbage are provided. You are to use good garbage cans with tight fitting lids, no boxes or sacks. Wrap your garbage well in paper or put it in milk cartons before putting it in your cans. We sell garbage bags in the office.

If you have two or more garbage cans, use one (or two) for garbage and the other for trash (paper, bottles, cans, etc.) **Keep the cover on your cans—and flies and animals out.** Wash the cans often.

The city might change the collection days but just now garbage collection days are Tuesday and Friday. Trash is picked up on Wednesdays. If you have trash to be picked up some other time contact the Management office and we will have our men pick it up. **Do not** let your cans stay on the street after the garbage has been picked up, always take your cans to the proper place. Failure to care for garbage and trash as outlined above is against the law of The City of New Albany and is punishable by fine.

IIB-6

LAUNDRY FACILITIES

Our units are built so that your laundry can be done in your home and dried in your yard.

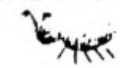
HEAVY APPLIANCES

If you wish to have an automatic washer, drier, an air conditioner or freezer installed in your apartment, contact the management office for permission and to find out the regulations.

PEST EXTERMINATION

Monthly pest extermination is furnished.

Once in awhile people bring home roaches or other vermin from grocery stores or other places. This problem can be handled easily if reported to us. We ask that you call the office as soon as possible if you see **even one roach.**



REPAIRS

All repairs due to normal wear are free. Just call the office and report whatever needs to be done. If you break something we will repair it and charge you only what it costs us to fix it. (See the list of charges posted in our office.)

If maintenance has to make after hours repairs for something that could be done during working hours or which is not an emergency, you will be charged for this call at their overtime rate.

BUILDING CHECK

Once a year the management will check your apartment to see if the building needs any repair. If you know of work to be done tell him then, or if repairs are needed sooner call the office.

PETS

We have a rule which prohibits dogs, cats and similar pets. Birds and fish are o.k.

your neighbors

GETTING ALONG

In this development you'll be living close to your neighbors, and that takes a special effort in cooperation. Noise is especially annoying, so keep your radio, your phonograph or TV turned low, as well as your voices, particularly at night. If you share a walk, work together in keeping it clean. Remember, arguments almost never solve anything, but talking things over calmly and in a friendly manner does.

your children

ARE YOUR RESPONSIBILITY

IIB-7

Some developments are built mainly to serve families with children. We have provided play space for them in most of our areas. **Please caution them not to abuse lawns, trees, shrubs, and other property.** They belong to us all.

Please supervise your children when they are outside and know where they are. If there are stores nearby, don't allow your children to loiter or play there. It is dangerous for the children and annoying to the merchants and shoppers.

Damage caused by children to buildings, grounds, trees, and so forth will be charged to the parents. B-B guns, pellet guns and such are illegal and not permitted because of their danger.

your yard

Your neighbor will judge you by the condition of your yard. We plan the landscaping, plant the trees and keep up the walks; it's your job to keep your yard clean, mowed, raked, watered and the walks shoveled. Regular lawn mowing and watering will give good results.

The best-kept lawn will look neglected if it is littered with candy wrappers, bottles, cans, twigs, and other trash. Dispose of your dirt and trash in the trash cans.

You can plant flowers next to the building in front or back of your apartment and we hope you will. Flowers really improve the looks of the whole area.

FREE TOOLS

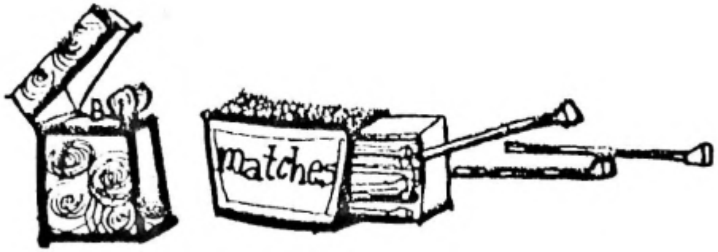
We keep a good supply of yard tools for your use. You can borrow rakes, shovels, lawn rakes, and lawn mowers when you need them. If your lawn has bare spots we will give you seed.

A CAUTION

Please do not put up a fence without permission and please use the walks. Cross-cutting may save a step or two, but will ruin a good lawn in no time.

CHILDREN AREN'T FIRE PROOF

For your own peace of mind and to prevent fires and accidents never leave young children unattended. Above all, keep matches and lighters up out of their reach.



PARKING

IIB-8

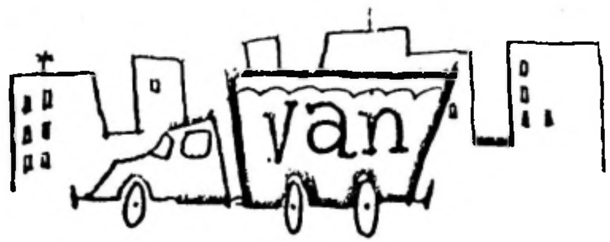
If you have an allotted space in a parking lot, protect your car by parking it there, not in the street. Do not abuse this privilege by taking another resident's space.

The development would become a junkyard if we allowed car repairing or storage of non-operating cars . . . so we don't.

MOTORCYCLES AND MOPEDS

It is against Housing Authority rules to drive a motorcycle or moped on the grass. Driving these vehicles on the grass will damage the yards. You, as tenants, are responsible for your yard. There will be a charge on damage to lawns.

your next move



WHEN YOU MOVE OUT

Come to the office and notify the management in writing at least 15 days before you move out. When you leave, clean your apartment well and bring your keys to the office on the day you move out. Please notify your movers not to drive or park in the yard.

WHEN YOU TRANSFER

The size of your home depends on the number of people in your family and their ages. If you need a larger or smaller place contact the management office. If you need a home more suited to your present health condition contact the management office.

RESIDENT ORGANIZATIONS

Organizations among our residents are encouraged and every assistance will be given by the management. Community space will be provided by the management, so call our office for this information.

SERVICES TO RESIDENTS

We sincerely want your life here to be just as pleasant and enriching as it can be. For this reason we have one staff member, a Resident Adviser whose concern is your well being.

If you have a question, a complaint, a suggestion, a request or a doubt, either phone her at the management office, drop in personally, or send her a letter.

IIB-9 If you are a person who likes to get involved in community activities for pleasure or neighborhood betterment tell our Adviser. She will be delighted to have your help and will welcome your ideas for improving your home and the whole area.

AND FINALLY

With all of us working together we can keep all of our Developments attractive, inviting and thus a credit to ourselves and to our city.

FUNCTIONAL AREA:	General Administration
EFFECTIVE MANAGEMENT PRACTICE:	Three Effective General Administration Practices
AGENCY:	Charlotte Housing Authority
SIZE:	Large

EXECUTIVE SUMMARY

This case study focuses upon three general management practices initiated at the Charlotte Housing Authority (CHA). An overview of CHA appears on page five.

The Maintenance Apprenticeship Program (MATPRO), the first practice, represents a broad management initiative by CHA to upgrade the skills of maintenance staff, improve the quality of maintenance services, and enhance employee job satisfaction and motivation. The two-year program is sponsored by CHA but is administered in conjunction with a local community college and a local private manpower organization.

The program is quite effective for CHA. It has enabled the agency to increase the number of maintenance staff through five appprentices at reduced cost. Personnel costs for these individuals are low because major portions of their salaries are paid by local and state manpower agencies. Additionally, the agency increases the skills and knowledge of existing staff. This is a critical need for CHA because the quality of maintenance services was deteriorating before the program was initiated. The program also contributes to better morale on the maintenance force and in other areas of the organization. Nonmaintenance staff are permitted to participate in the program on a more limited basis, thus enhancing horizontal mobility opportunities for these individuals.

The second practice is CHA's use of management by objectives (MBO) processes to formulate, implement, and monitor major policy and programmatic initiatives. This approach has been quite effective in accomplishing the agency's short-term strategic objectives, and facilitating better coordination and communication channels between various organizational components and management levels.

The third management practice discussed is the agency's human services component which provides a noteworthy array of services through links with several area private and public service providers. These linkages were developed as constructive response to severe staff reductions that the agency was recently required to implement. By facilitating networking agreements, the agency is able to focus staff resources and provide some unique programs that enhance the quality of life of residents, particularly children and teenagers.

The three practices are generally transferable to other large agencies. Chapter III addresses some prominent considerations in doing so. Most attention, however, is given to the apprenticeship program, as implementing a similar initiative at another agency would require extensive planning and staff commitment. This issue and others are addressed in the chapter.

CHARLOTTE AT A GLANCE

CHARACTERISTICS	DATA
Total Stock:	3,947 units of LIPH in 21 developments; 1,864 additional units of Section 8, leased housing, Turnkey III, and locally-subsidized housing
• Projects for Families:	16 projects
• Projects for Elderly Tenants:	5 projects
• Unit Sizes:	efficiencies .... 16 percent one-bedroom ..... 22 percent two-bedroom ..... 29 percent three-bedroom ... 23 percent four-bedroom .... 8 percent five-bedroom .... 3 percent
• Largest Project:	Fairview Homes (468 units)
• Smallest Project:	Meadowoaks, Live Oak (32 units each)
• Oldest Project:	Fairview Homes (1940)
• Newest Project:	Gladedale (1983)
Demographics:	
• One-Parent Households:	90.7 percent
• Minority Tenants:	98.7 percent
• Children Under 18:	43.8 percent
Operations:	
• Operating Expenditures:	$153.92 (PUM)
• Dwelling Rentals:	$ 91.58 (PUM)
• Operating Reserve:	38 percent of allowable level
• Staffing:	Permanent staff of 160 for all programs

I. THREE EFFECTIVE GENERAL ADMINISTRATION PRACTICES

INTRODUCTION

This chapter is divided into three sections that respectively address CHA's Maintenance Apprenticeship and Training Program (MATPRO), the use of a management by objective framework for strategic planning, and the agency's effective human services component. These practices separately and together involve various individual actors and organizational departments and divisions. An overview of the agency's structure is provided in Exhibit I-1. The specific individuals and organizational units involved with each of the three practices are described within the discussion devoted to each topic.

THE MAINTENANCE APPRENTICESHIP AND TRAINING PROGRAM (MATPRO)

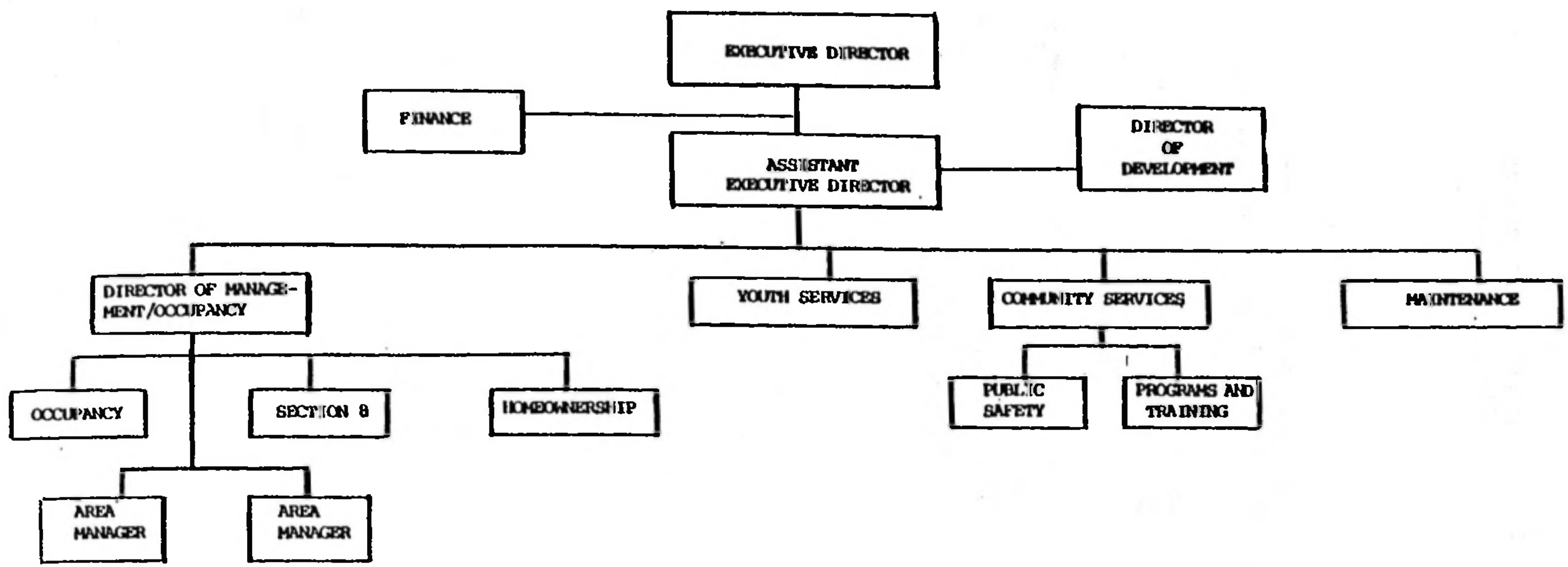
The section addresses CHA's innovative maintenance program and is organized into the following subsections: program rationale; structure and operations; training curriculum; advancement and completion; and current status.

Program Rationale

Effective maintenance support is an essential ingredient to providing quality housing services in the private and public sectors. The skill levels, experience, and training of maintenance staff play a primary role in the effectiveness of maintenance support. However, there are few organized training resources available to upgrade the knowledge base of maintenance staff. This is especially the case in the public housing environment where a lack of adequate training contributes to higher costs

EXHIBIT I-1

CHA ORGANIZATION CHART



associated with poor service delivery and in some instances, the increased use of private contractors to supplement project maintenance staff. To address staffing needs, the housing industry has traditionally been required to either hire skilled individuals in a specific technical area or, unskilled individuals with the hope that needed knowledge would be acquired through further experience and trial and error.

The basic rationale of the MATPRO program is that the training needs of a public housing agency can be addressed in a structured way. And that, providing broad-based training will improve the quality of maintenance services, increase staff productivity because staff will be cross-trained in several technical areas, and, enhance employee job satisfaction through increased opportunities for advancement.

Thus, the basic mission of MATPRO is to provide skill-specific training. This training is provided to two types of participants. The first type is current CHA employees desiring to upgrade their skills. The second type is new or recently hired employees to CHA who are willing to participate as apprentices in the program. A key benefit of the program for CHA is that a major portion of the salaries of apprentices are funded through other governmental agencies. Thus, CHA is able to increase its labor force at substantially reduced costs. MATPRO accomplishes its mission through a two-year training program, consisting of classroom-type instruction complemented by on-the-job training, the details of which are addressed later in this chapter.

Structure and Operations

CHA plays a key role in the functioning of MATPRO. Foremost, the agency permits all on-the-job work to be performed at CHA project sites under the supervision of the maintenance staff. Second, the agency plays a supportive role to a community college that participates in the program by: providing staff to the college to teach formal classes; assisting the college in the development of laboratories and models for training; and providing training equipment.

This section separately addresses: an overview of the program by describing the various agencies and organizations involved; the two levels of program participants--current employees and apprentices; the comprehensive training curriculum; and finally, requirements for advancement and program completion.

Program Overview. The program is sponsored by CHA but is administered with the assistance of two cooperating agencies. These are the Charlotte Area Fund and the Central Piedmont Community College. The roles of these organizations are described below.

Charlotte Area Fund (the Fund). This is a community action program (CAP) agency that provides broad-based employment placement, counseling and training services to Charlotte residents. Through the employment and training division of the Fund, this organization has primary responsibility for recruiting and screening MATPRO applicants at no cost to CHA. This includes the administration of pre-employment aptitude tests as required by the Apprenticeship Standards (described subsequently).

Additionally, the Fund enters into agreements with local educational institutions to provide supplementary training and education to MATPRO participants. Such ancillary training includes items such as a six-week series of workshops and seminars that prepare individuals to successfully participate in a work environment, and assisting individuals to receive a high school equivalency diploma. The costs of this supplementary training are initially paid by the participant but are reimbursed by CHA.

Central Piedmont Community Collge (CPCC). The college organizes and supervises the delivery of formal training to all MATPRO participants and awards credits to students who successfully complete each training module. (A nominal tuition fee is charged to each student for each module.) CPCC provides classroom and laboratory space on campus and assists in the provision of laboratory facilities at the CHA maintenance shop and another satellite training facility. Laboratories are an important element in the structured training curriculum as participants are intended to have as much "hands-on" experience as possible to enhance learning objectives.

MATPRO Committee. CHA, in conjunction with the cooperating agencies, administers and operates the program through a committee composed of representatives of each cooperating agency, and a representative at large; the U.S. Department of Labor has ex-officio representation. The following four individuals at CHA also are members on the committee: the directors of personnel, maintenance, and management and occupancy; and the supervisor of the maintenance department. The committee assumes the following major responsibilities:

- registering training standards with appropriate State of North Carolina and federal agencies;
- establishing and implementing application procedures;
- evaluating applicants and selecting participants;
- establishing performance standards for on-the-job and classroom training;
- establishing a curricula and schedules for all training;
- evaluating participants' progress, including disciplining and removing participants for unsatisfactory performance; and

- enforcing provisions of the apprenticeship standards (see Appendix A) and awarding certificates to participants successfully completing the program.

Other Agencies. Additionally, there are two governmental agencies that are involved with MATPRO and are referred to as "registering agencies." They are the U.S. Department of Labor--Bureau of Apprenticeship and Training and North Carolina Department of Labor--Apprenticeship Division. These two agencies formally reviewed and endorsed the training standards for the program in accordance with their legal mandates. U.S. Department of Labor registration was necessary so that the salary schedules could be adjusted for participants without violating labor laws. The North Carolina Labor Department registration was not required for legal reasons but was opted for public relations concerns.

Training Participants. As described previously, there are two levels of participation in the MATPRO program; each is described below.

Apprentices. Five positions were budgeted for by CHA for newly hired employees as apprentices when the program was initiated. Candidates for these slots were required to agree to the conditions of MATPRO and the supporting schedule of wages (see Appendix A). Direct costs of hiring these individuals were low because where possible, one-half of their salaries were paid through a City of Charlotte-funded job training program. Additionally, some positions were eligible for funding in full for six months under a state-sponsored vocational rehabilitation program. Regardless of funding sources, CHA retains authority to discipline or terminate any apprentices.

Recently hired employees to the CHA maintenance staff (but still having probationary status) were also invited to participate in MATPRO. However, their participation was subject to the MATPRO schedule of wages. This, in some instances, resulted in a reduction in pay during the first year of the program. However, it is likely that these participants will move one grade higher in two years than they ordinarily would without program participation.

Permanent Staff. One of MATPRO's key goals is to upgrade the skills of those who are permanent CHA staff, thus the participation of such individuals is strongly encouraged. Before the program began, schedules of instruction were prepared by the MATPRO committee for permanent-employee MATPRO participants, based on past job performance and current knowledge of maintenance procedures. Each schedule of instruction may include both on-the-job training and classroom instruction, as appropriate. While participation is not mandatory, the recommendations of the committee are considered in future job performance evaluations, thus providing additional incentive for participation. Maintenance staff are not represented by union at CHA.

Training Curriculum. The two-year program integrates on-the-job experience with classroom instruction. Each portion of instruction is described below.

On-the-Job (OJT) Experience. This portion of training is a key phase of MATPRO in recognition of the evidence that suggests that most of what we learn is acquired incidentally as we go about our work routines. OJT at CHA is delivered by existing CHA journeymen and foremen. Apprentices and current staff serve with various journeymen and foremen on a rotating basis between four technical "blocks." The four blocks are: plumbing; electrical; heating, air conditioning, and carpentry; and work order response at project sites. Apprentices spend forty hours per week on OJT activities, evenly divided between journeymen and maintenance foremen located at a project site. No more than four apprentices are assigned at any one time to a journeyman.

On the other hand, current employees also receive OJT, subject to normal work constraints. These participants receive approximately eight hours of OJT per week and also are rotated among journeymen and foremen, depending on scheduling constraints.

The director of maintenance, in conjunction with the maintenance supervisor, is responsible for scheduling all OJT activities. The schedule is reviewed by the MATPRO committee chairman, who is also a CHA employee, but in another division of the organization.

Classroom Instruction. Apprentices and other participants also receive structured classroom instruction after business hours at CPCC facilities. No participants are paid for attendance and all must successfully complete all scheduled phases of instruction. For apprentices, there are 182 hours of programmed instruction (six hours per week) during year one and 168 hours of instruction in year two, for a total of 350 instructional hours. Other participants attend sessions based on the schedule of instruction prepared at program initiation by the committee. The agency reimburses students for the costs of instructional materials if the individual successfully completes the curriculum.

The curriculum is divided into six modules, each module requiring a progressive level of achievement and knowledge. And, as suggested above, each module must be satisfactorily completed in order to proceed. The six modules are:

- Introduction to Maintenance Procedures
- Basic Plumbing
- Basic Carpentry
- Basic Electricity

- Heating and Air Conditioning
- Codes and their Enforcement.

Appendix A presents a curriculum guide that details the topical areas addressed in each module.

Advancement and Completion. The committee rules on the successful completion of each participant at the end of each module based on satisfactory OJT performance and the recommendations of journeymen and supervisors, and satisfactory completion of the classroom instruction. Any person retained at a step can appeal the committee's recommendation.

At program completion, each participant is awarded a certificate. The committee also makes nonbinding recommendations for promotion to the level of maintenance mechanic. The timing of the promotion is subject to the CHA personnel plan and position allocations. There are also no guarantees of employment beyond the two-year program.

Current Status

The MATPRO program has been operational since January 1984, and is now about to complete its first year of operation. During the first year, there were a total of eighteen participants of which nine were apprentices and the remainder were permanent CHA employees. Of the nine apprentices, three were terminated for unsatisfactory performance and one left the agency to assume another position, but still attends the classroom instruction. The five remaining apprentices have been so successful in the program that they have all been offered permanent positions with the agency. Also, it is noteworthy that three of the five apprentices are current or former CHA tenants.

MANAGEMENT BY OBJECTIVES

This section describes CHA's use of a management by objectives (MBO) document to formulate, implement, and monitor major policy and programmatic initiatives. The discussion is organized into subsections that address the document's purpose, structure, and implementation.

Purpose

The basic purpose of the MBO document is to lay out in a concise and operable fashion, the agency's key short-term policy and programmatic initiatives. By doing so, the agency realizes two primary benefits. First, it facilitates better information flow between the agency and the board of commissioners. At CHA, the board is highly interested and involved in the major issues and initiatives of the agency. The MBO document serves to channel this interest in a constructive, effective manner. The second benefit of the document is to facilitate greater interdepartmental coordination. Many of the initiatives promulgated in the document require the input, coordination, and cooperation of multiple CHA departments. By making such linkages explicit, and defining them in evaluative parameters, the likelihood of successful implementation is enhanced. Within this context, the MBO document and associated activities are mechanisms to ensure better communication and management oversight between three tiers of management: the board; the assistant executive director and the executive director; and the major departmental heads. The following subsections discuss the structure of the MBO document and how it is implemented.

Structure

A copy of the 1984/85 Departmental Objectives document is included as Appendix B. One-page synposes, corresponding to each initiative or objective planned for the fiscal year, make up this document. Each initiative is supported by four segments of information: a goal statement; a short description of work methods/activities; time allocations; and monitoring and reporting information. Generic aspects of each segment are described in the following paragraphs.

Goal Statement. As the name indicates, this segment is a broad statement of the purpose of the initiative. However, each goal statement is presented in operable terms that permit objective measures of accomplishment. Two examples are "to reduce the amount of time required to process work orders," and "to design criteria for the selection of architects for the CHA's development and modernization programs."

Methods. This segment lays out in a concise manner which activities must be performed and by whom to facilitate goal accomplishment. For example, "the Director of Development will meet with representatives of... to review the selection criteria and processes utilized by these bodies..." This segment also establishes committees or working groups where appropriate to coordinate interdepartmental aspects of the initiative. For example, to facilitate an initiative relating to public relations, an agency editorial board is established to supervise and oversee the publication of a newsletter intended to improve public relations.

Time Allocations. This third segment addresses all scheduling considerations, including how often work groups or committees are to meet, when work activities or subactivities are to be completed, etc.

Monitoring and Reports. This segment describes any and all tangible products and any frequency of the interim reports intended to monitor progress.

Finally, the one-page objective statements are organized into five program areas: maintenance improvements; resident self-sufficiency; general management; development improvements; and miscellaneous objectives. Exhibit I-2 presents each program area and the associated 1984/85 objectives. The following paragraphs briefly discuss highlights of each program area.

Maintenance Improvements. Enhancing the effectiveness of maintenance operations is a key area of emphasis. The maintenance apprenticeship program described previously in this chapter also reflects this point. The MBO document lays out three other complementary initiatives in this area. One involves initiating a two-pronged training program that is respectively targeted at: current employees, involving familiarization with maintenance procedures and policies; and a resident program designed to enhance resident capabilities to take better care of equipment and appliances in their apartments. The second and third maintenance objectives are focused more directly on improving operations; one will result in the development of agency-wide maintenance schedules, and the other is targeted at reducing work order processing times.

Resident Self-Sufficiency. Four specific objectives are defined in this area. In sum, these objectives are designed to enhance the quality of life for CHA residents. Three of the objectives address improving the effectiveness of resident organizations through training and other technical assistance initiatives. A fourth objective here is to provide better supportive services in the human services area to residents by entering into agreements with other public and private agencies. Developing linkages in this manner is a policy initiative undertaken by the agency to compensate for severe staff reductions in CHA's human services component. This topic is subsequently addressed in the concluding section of this chapter.

EXHIBIT I-2
CHA 1984/85 DEPARTMENTAL OBJECTIVES

I. Maintenance Improvements

- Maintenance Training
- Improved Maintenance Programs
- Work Order Processing

II. Resident Self-Sufficiency

- Training of Resident Organization Officers
- Stipends for Staff Support
- Formal/Informal Agreements
- Orientation and Training in Rules, Regulations, and Procedures

III. General Management

- Centralized Rent Collection
- Improved Resident/Management Relations
- Staff Evaluations

IV. Development Improvements

- New Construction
- Selection of Architects
- Site Selection

IV. Miscellaneous Objectives

- Public Relations
- Scattered Site Programs

General Management. This area includes three objectives, two of which loosely address the rental and occupancy function. One of these is a thrust to implement a centralized rent collection system, and the other is to improve site project management by fostering better relations between CHA staff and residents. A third objective has a personnel management focus, by strengthening staff evaluation processes.

Miscellaneous Objectives. These initiatives are distinct from the other areas in that they are not directly tied to a major organizational component or division. One of the objectives addresses a need for the agency to enhance its image in the community through better public relations, including improving media relations. This is accomplished by the establishment of an agency editorial board and tighter procedures for processing news releases. The second objective addresses the agency's scattered site program. Over the last several years the agency has gone to this development approach, which entails limiting the number of units on a parcel to fifty units and placing the sites in or near all types of Charlotte neighborhoods, including middle- and upper-income neighborhoods. Ensuring the success of this approach is an area of high concern for the agency, as reflected in this objective.

Preparation and Implementation

Preparation of the annual Departmental Objectives document is a collaborative effort between management and staff. The process of preparing the document is an iterative process beginning about three months before the program year commences. The process begins with a large meeting attended by the department and division heads, area managers, top management, and other selected staff, including the public safety coordinator, who is also responsible for coordinating the development of this document. In this session, general priority areas and policy thrusts are developed using the previous year's documents as a starting point.

Based on this meeting, individual divisions and departments subsequently evaluate their own operations and define specific objectives for the upcoming year. One-page statements are then prepared and submitted to the public safety coordinator.

The public safety coordinator, in conjunction with the assistant executive director and executive director then consolidate the one-page statements and eliminate redundancies among objectives, and add additional items as they feel warranted. After this process is complete, the larger body is reconvened. At this time, the list is reviewed again and staff consensus is arrived upon.

The next and final step in the preparation process is a working lunch with the commissioners. During this session, the document is presented. Often, the board adds to or modifies the list based on their own views of priority areas. After this input is received, the document is finalized and responsibility for each objective is formally assigned.

During the program year, which runs from April to March at CHA, the "monitoring and reports" section of each objective statement provides a means of assessing progress. Any reports or other products identified are submitted to the assistant executive director, who has overall responsibility for implementing the document. The assistant meets on an ad hoc basis with those responsible for each objective to coordinate action steps and review progress.

HUMAN SERVICES COMPONENT

This section describes the effective array of human resource services provided by CHA. Over the last five years, this component has incurred a fifty-percent reduction in staffing due to elimination of outside funding sources, such as CETA and internal agency budget constraints. To compensate for this reduction, the agency has placed increased focus on eliminating any redundant services or activities provided by other private and public organizations, and fostering better linkages with these agencies through informal and formal agreements.

The human services component has two divisions: community services, with a director and four human services specialists; and youth services, with a director and six part-time field coordinators. Also, organizationally included in this component is the agency's public safety programs, but these are the subject of a separate case study developed in this series of reports. The following sections describe the activities of the community and youth services departments, respectively.

Community Services

The community services division is responsible for responding to the social, educational, vocational, and health needs of CHA residents. Because of staffing and budgetary constraints, these needs are principally addressed through a network of public and private social services providers. Appendix C provides an illustrative list of sixteen agencies with which CHA has cooperative or informal working agreements to provide high quality service to residents. On the other hand, the community services staff directly provide the following services to PHA residents: home visitations; counseling and information dissemination; and transportation services. Each is briefly described below.

Home Visits. A key responsibility of the staff is to conduct home visits. Between thirty-five to one hundred visits are performed each month, depending on work load, which flows from two sources. The first source is visits to prospective residents who have reached the top of the occupancy wait list. These visits are primarily a means of assessing the housekeeping practices of the applicants. Negative findings are a basis for denial of occupancy, however, findings can be appealed in a hearing. The hearing body is composed of: one commissioner (on a rotating basis); one CHA community representative; one CHA resident; a community services staff person; and the appellant.

For family applicants and in special elderly applicant cases, the home visit also includes a needs assessment of required social services. Here, the needs of the family or key family members are prioritized in the following ways: 1) educational; 2) employment; and 3) health service related. The home visitation report also highlights any special needs of the family that have occupancy or project management implications. For example, do any family members have mental health problems or physical handicaps or impairments? Some of these needs and more general needs are addressed through the staff's counseling and information referral services, as described below.

The second source of home visitations is identified through on-site project management staff. Referrals are made to the community services staff based on evidence of alcohol and drug abuse, other behavior or social problems, or lack of adequate housekeeping skills. Based on these visits, counseling is provided or referrals are made to other agencies. In most severe cases, recommendations for eviction are submitted for follow-up to the leasing and occupancy staff. These may be appealed by the occupant as per the grievance process described above.

Counseling and Other Supportive Services. Less severe cases are handled through the trained social work staff available at CHA. More severe cases are referred to appropriate public or private service providers.

Transportation Services. The community services staff coordinate transportation, primarily for the elderly using an agency-owned van and bus. Generally, the trips are for medical reasons or to transport individuals to resident meetings or other agency events and meetings.

Youth Services

CHA's youth services department is the only such organization in the state. Such focused attention is warranted at this agency in part because of the large minor dependent population--approximately 8,000 children and teenagers. Youth service programs are highlighted by two educational programs that are described below. The department also has high involvement in two other programs that are sponsored by other agencies. These are a program designed to identify and channel socially disruptive children into special counseling and recreation programs and a prevention-oriented teenage pregnancy program jointly sponsored by the local chapter of the Urban League and CHA.

Educational Programs. The youth services staff provide and/or coordinate two educational programs. One is a tutoring/after-school program for children of primary school age, and the other is a specially established college scholarship fund for CHA residents.

The after-school program is a network of six learning centers located in key CHA project sites. Tutoring and educational enrichment programs are delivered to children four days per week for three hours per day. Learning is directed by teachers or teacher's aides who have been recommended by the board of education. CHA pays for staff salaries, supplies, and utilities from operating funds, and provides the space, which is usually in agency-owned community centers. The Board of Education participates by providing some equipment, such as chairs, desks, and audio/visual equipment on a loan basis.

CHA also recently established a scholarship fund under which resident teenagers are eligible to compete for college tuition assistance. Scholarships are awarded through a separately established endowment fund for this purpose. The program has been in operation for two years. In the first year, $51,000 was raised from private contributions. Of that amount, $34,000 was allocated to the endowment and the remainder went towards scholarships for fourteen resident students. Each scholarship averaged around $1,250. During the time this study was prepared, in the second year of operation, the agency had already raised $80,000, half of which was to be allocated to the endowment and the remainder to individual scholarships. Background information on the program is provided in Appendix D.

II. WHY THE PRACTICES ARE EFFECTIVE

MATPRO

There are three broad reasons that make MATPRO an effective program. First, it reduces staff costs in the maintenance area. Much of the apprentices' salary costs were absorbed by outside funding sources. Also, those apprentices not eligible for funding support from outside agencies were paid at a lower wage rate, in accordance with the program standards (see Appendix A). These salaries were approximately forty percent below salaries ordinarily paid. In sum, after year one, CHA experienced an increase of five positions in the maintenance area at an annual cost of only around $35,000 (not including fringes).

A second reason for the program's effectiveness is that it enhances the quality of maintenance services. Although there is little data available to support this assertion, as the program is still in its intermediary phase, CHA officials strongly feel that the program positively affects maintenance services for two reasons. First, work is likely to be done better and more efficiently as a result of the skills upgrading received by apprentices and current employees. For example, one apprentice noted that minor fires at one project site were caused by improperly wired switches when the project was originally built. The apprentice is now correcting the wiring under the supervision of a journeyman at great cost savings to the agency. Secondly, CHA will have more staff with broader technical skill bases. Thus, CHA foremen and supervisors will have greater flexibility in deploying resources. For example, laborers will now be able to respond to routine orders as opposed to doing only minor activities such as garbage collection, etc. This will have significant impact on productivity levels.

A third reason that makes this an effective practice is that it enhances the career mobility of maintenance personnel. Advancement opportunities within the organization (as well as outside) are heightened, which is expected to increase job satisfaction. This is especially true of the CHA nonmaintenance participants who may currently hold clerical or similar type positions. The program provides them the opportunity to proceed along a significantly different career path (this is termed horizontal mobility). A related point here is that the program enhances the agency's image with the resident population by providing meaningful career opportunities for tenants; three of the current participants are current or former CHA residents.

MANAGEMENT BY OBJECTIVES (MBO)

There are two basic reasons why the MBO process is effective. First, it provides a constructive means of identifying and addressing areas of improvement or opportunity for the entire agency. Input is received from all levels of the organization through a consensus building process. This in turn facilitates the channeling of staff resources and energies towards relatively near-term objectives that are widely accepted. In addition to the enhanced opportunity to make meaningful improvements in agency operations, the process also results in greater staff cohesiveness and organizational commitment.

A second reason why this is an effective practice is that it facilitates better communication and coordination among the various tiers of management and between organizational departments and divisions.

The objectives statements require interdepartmental cooperation and input, which make these linkages and responsibilities explicit in "black and white." This increases the likelihood of goal accomplishment than would otherwise be the case if such initiatives were undertaken on an informal or ad hoc basis. And further, routine operations are reportedly improved as a result of the process because the various departments are forced to communicate with each other on a regular or more frequent basis.

HUMAN SERVICES

The activities in this area are effective because they enable the agency to "do more with less." In-house resources are carefully targeted to the highest priority needs that cannot be or are not provided by others. The mix of services now provided is a creative array of activities, particularly in the youth services area, that truly addresses the human servics needs of residents in a most cost-effective manner.

III. IMPLEMENTING SIMILAR PROGRAMS AT OTHER AGENCIES

ESTABLISHING AN APPRENTICESHIP PROGRAM

Implementing a program similar to MATPRO is a considerable undertaking. Approximately three years of advance planning was required by a staff member at CHA, although he had other primary responsibilities. Other agencies could save considerable time by modelling the necessary program documentation after that provided in Appendix A. According to the chairman of the MATPRO committee, a program could be implemented in as little as six months once a decision is reached and all parties are "on-board."

Much of the advance work requires structuring agreements with the necessary outside agencies. The primary one, of course, is an academic institution. Other agencies should seek a community college, technical school, or similar institution in their proximity. The commitment on the part of the institution is significant but not great. Central Piedmont Community College provides classroom space, instructors, and credit for successful course completion for MATPRO.

Another significant planning and preparation task is ensuring that the program complies with applicable state and federal employment practices. CHA was required to register the program with appropriate state and federal agencies. This required approximately three months to complete.

A third requirement for CHA was developing linkages with manpower and training agencies to provide recruitment assistance and financial support. This was an important element in CHA's program and, indeed, made the concept viable. Other PHAs should network with similar agencies in their location to provide needed financial and other support. The types of assistance provided by outside agencies to the MATPRO program is documented in Chapter I.

Implementation

After the above components of the program are in place, detailed planning can proceed. The Apprenticeship Standards that appear in Appendix A should provide a good starting point. These can be adapted to fit a program design tailored to specific agency needs and circumstances. Addressed in that documentation are the following topical program areas:

- definitions and general standards;
- applications and placement procedures;
- on-the-job training and related instruction;
- wages, hours of work, and supervision; and
- personnel policies.

Another consideration in implementing a program that should logically precede the planning phase is the commitments that will be required of PHA management. First, and noted previously, is that considerable staff time will be required to plan and administer the program, although it is difficult to be precise regarding its extent. Second, during implementation there will be some minor disruption of on-going work activities to accommodate the on-the-job training. And third, there will be some "hard" costs to the agency. These include the short-term costs of nongrant funded portions of the apprentices' salaries. As well, there will be long-term costs as program participants "graduate" and become eligible for promotion. However, CHA offers no guarantees regarding future promotions or increases, or even the availability of job positions. Other agencies may find it advisable to structure similar arrangements. One other cost of the program may be greater attrition, as participants become more "hireable" workers, although this is probably not a very significant item of concern. However, all these factors should be considered in the decision-making process.

A final noteworthy consideration is that CHA management encountered stiff resistance during the planning stage from key maintenance staff who felt threatened by the program. This caused much delay to CHA during program planning. This resistance was addressed through several detailed facets of the program such as, not providing any advancement guarantees, not making participation mandatory for current employees, and allowing current staff to serve as instructors for additional compensation (provided by the community college).

IMPLEMENTING AN MBO PROGRAM

The concept of a Departmental Objectives document is widely applicable to other agencies, regardless of size. Once a basic decision to proceed has been arrived upon, top management should guide the development of a basic format and a process for its development. The CHA format is a simple one that addresses the key requirements. Other agencies can use the document presented in Appendix C as a starting point. CHA's document has a one-year horizon that corresponds to its budget year. Other agencies may want to have a cycle different from the budgetary one for work load or other reasons. As well, other agencies may wish to have shorter or longer planning horizons, depending on agency circumstances and the programmatic issues of concern. Developing the document's content, of course, must be tailored to fit the needs and context of each individual agency. The process used by CHA involved three tiers of the organization: the board; the assistant director, and executive director and their designees; and department heads and their immediate staff. Again, other agencies may choose to use the semi-structured iterative approach used by CHA to develop the document. The essential point is to engender a sense of ownership and commitment to the product. Monitoring and follow-up is a final important consideration with this and any management system or initiative. In this regard, careful attention should be paid at the early stages of design and development to ensure that management will have the time and tools to monitor and manage goal accomplishments. In this regard, agencies may find it advantageous to keep additional reporting requirements and meetings to an essential minimum and to integrate MBO activities as closely as possible with existing management meetings, reports, etc.

UPGRADING SOCIAL SERVICES

Other agencies desiring to upgrade their social services function can find utility in CHA's approach, which represents a cost-effective integration of agency-provided services combined with an effective referral network. At CHA, in-house resources are targeted at home visitations, a critical activity in circumventing or resolving tenant occupancy problems; and the youth services area, in recognition of CHA's high population of children. As a result of CHA's severe budgetary constraints, the agency relies on a network of referral agencies to make available many needed social services, many of which were formerly provided by CHA staff.

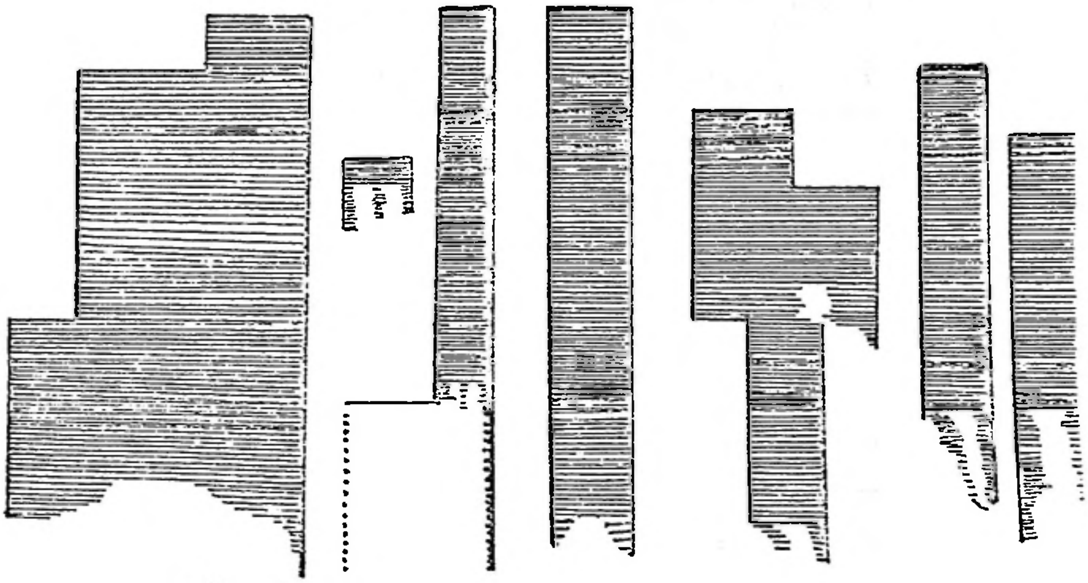
Recognizing that organizational change does not completely lend itself to a cookbook approach, the following lays out some basic steps that others may wish to follow in modifying their social service delivery systems. First would be conducting a needs assessment that would help to identify and prioritize tenant social service requirements. A second step, that could be conducted in parallel with the first, would be to survey other service providers in the immediate geographical area. This should include agencies that are currently providing services to residents, as well as others that might potentially provide services. The long list of CHA cooperating agencies provided in

Appendix C should provide others with some candidate agencies. A third step would be essentially analytic in nature. It involves synthesizing the information gathered in steps one and two. The goal is to determine which activities can be performed best in-house. A key determinant is the available personnel and their skill and training levels. The agency may want to consider augmenting existing social service staff by cross-training other staff to perform certain activities.

A final step would be to pursue cooperative agreements with agencies that can serve needs unmet by in-house staff. Here, the agency can do well by offering incentives to encourage greater assistance. For example, offering the provider work space on-site, or, assisting to ease the caseflows by coordinating the scheduling of tenant cases. Here, there is room for great creativity to structure agreements that enhance service resources while minimizing the costs to the agency.

APPENDIX A
MATPRO APPRENTICESHIP STANDARDS
AND CURRICULUM GUIDE

APPRENTICESHIP STANDARDS FOR THE



Housing Authority OF THE CITY OF CHARLOTTE, N.C.

Administrative Offices: 1301 South Boulevard
Post Office Box 36795
Charlotte, North Carolina 28236
Telephone - 704-332-0051

TRADE: PROJECT MAINTENANCE (MAINTENANCE REPAIRER)
899.381-010

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APPRENTICESHIP STANDARDS FOR

THE HOUSING AUTHORITY
OF THE CITY OF CHARLOTTE, N. C.
1301 SOUTH BOULEVARD
POST OFFICE BOX 36795
CHARLOTTE, NORTH CAROLINA 28236

CONTACT: *TELEPHONE:*

1. *DEFINITION OF THE APPRENTICESHIP AND TRAINING COMMITTEE*

The Apprenticeship and Training Committee is composed of representatives appointed by the Sponsor. The Apprenticeship and Training Committee shall be responsible for the administration and operation of the Apprenticeship program including maintaining all records for five years after the apprentice has completed or separated from the program. In the event of deregistration or cancellation of these standards, the procedures as outlined in the North Carolina Administrative Code, Title 13, Chapter 2, shall be followed.

2. *REGISTRATION OF APPRENTICESHIP STANDARDS*

It shall be the responsibility of the Training Committee to register these standards with the appropriate registration agency. The term "registration agency" shall mean the North Carolina Department of Labor/Apprenticeship Division, recognized by the Bureau of Apprenticeship and Training, U. S. Department of Labor. Any necessary additions to these standards shall be registered with the registration agency.

3. *DEFINITION OF AN APPRENTICE*

An apprentice in the program is a person who is engaged in learning a trade by working with and assisting a qualified journeyperson in all phases of the industry. This person must meet the qualifications outlined in Section 4 of these standards and sign an Apprenticeship Agreement with the Apprenticeship and Training Committee. This agreement must be registered with the registration agency.

4. *QUALIFICATIONS OF APPLICANTS FOR APPRENTICESHIP*

A. *Age*

1. *All applicants shall be at least eighteen (18) years of age.*

2. *Applicants shall submit reliable proof of birth date with the completed application form.*

3. *Military Discharge Form DD 214 must be submitted if applicable for veteran benefits. (The Veterans Administration regulations require that all training benefits cease whenever the trainee is paid an amount equal to or more than the stated journeyperson rate; therefore, sponsor must notify the NCDL/Apprenticeship Division in writing when the apprentice is paid the journeyperson rate.*

B. *Education*

1. *Applicants must satisfy the committee that they have the aptitude, ability, interest and desire to master the rudiments of the trade and are prepared educationally to complete the required related instruction. A high school degree or its equivalent is not required, but if accepted in the apprenticeship program they must obtain a G.E.D. within nine (9) months of employment.*

C. *Physical Condition*

1. *Applicants shall be in such physical condition to perform the work of the trade.*

2. *Applicants shall not be considered if there is disability sufficient to impair the person's safety or the safety of others on the job.*

5. *AFFIRMATIVE ACTION AND EQUAL OPPORTUNITY*

The recruitment, selection, employment, and training of apprentices shall be without discrimination because of race, color, religion, national origin, or sex. The Apprenticeship and Training Committee shall take affirmative action to provide equal opportunity in apprenticeship and shall operate the apprenticeship program as required under applicable law and lawful regulations issued thereunder. The affirmative action program, with required implementation, for the selection of apprentices shall be the one prepared by the Apprenticeship and Training Committee. (See Affirmative Action Plan attached).

6. *APPRENTICE APPLICATION PROCEDURES*

A. *The Apprenticeship and Training Committee will use the Apprenticeship Forms # 1 and 2. Form #1 will be furnished to each applicant who will complete, sign and return the form to the committee by a designated date.*

1. *Form #1 consists of:*

a. *Application for admission into the apprenticeship program.*

b. *Requirements for admission in the apprenticeship program: prime responsibilities of applicants after acceptance into the program as apprentices; and the appeals procedures in the event an applicant is rejected.*

2. *Form #2 consists of:*

a. *Space for recording the name of the applicant, and the date on which Form #1 was completed and received by the Apprenticeship and Training Committee.*

b. *Step-by-step procedures for carrying out the selection process.*

c. *Space for summary of the official interview of the applicant.*

d. *Space for recording applicant's progress through the selection process from the date of receipt of Form #1 by the committee to the date of final disposition of the application.*

B. *The Apprenticeship and Training Committee shall maintain on file for each applicant, a copy of forms #1 and 2, for a period of not less than five years from date of final disposition of the application.*

7. *APPRENTICESHIP AGREEMENT*

A. *After an applicant for apprenticeship has been selected and before employment as an apprentice or enrollment in related instruction classes begin, the apprentice shall sign an Apprenticeship Agreement which shall be registered with the registration agency. Likewise, these standards shall be considered a part of the Apprenticeship Agreement as though expressly written therein.*

B. *Each selected applicant shall be given an opportunity to study these standards, the Apprenticeship and Training Committee policies, and the Apprenticeship Agreement before signing the agreement.*

C. *At least four (4) copies of the agreement shall be made; one for the apprentice; one for the Apprenticeship and Training Committee; and one for the registration agency, and when applicable, one for the Veterans' Administration.*

8. *TERM OF APPRENTICESHIP*

The term of apprenticeship including the probationary period shall consist of two (2) years of training. This training shall be divided into two (2) one-year segments. Each one-year segment shall consist of 1700 to 2000 hours of reasonably continuous on-the-job training and a minimum of 144 hours of related instruction per year.

9. *PROBATIONARY PERIOD*

A. *Each applicant selected for apprenticeship shall serve a probationary period of ninety (90) days.*

B. *The Apprenticeship and Training Committee shall set standards for performance for on-the-job training and related classroom instruction.*

   1. *The probationary apprentice shall conform to the training stnadards set by the Apprenticeship and Training Committee.*

   2. *Any probationary apprentice who does not conform to the training standards shall be dropped from the apprentice program.*

      a. *Any apprentice who is considered for expulsion shall be given a hearing before the Apprenticeship and Training Committee in the presence of all parties involved.*

      b. *The Apprenticeship and Training Committee shall show just cause for expulsion.*

C. *The records for each probationary apprentice shall be reviewed at the end of the probationary period. Records shall consist of: periodic reports from the apprentice's journeyperson and/or instructor; a complete record of attendance, grades, and any disciplinary action connected with instruction during the probationary period.*

D. *Any probationary apprentice considered to be unsatisfactory after a review of the proabtionary records shall be dropped from the program, but only after the procedures shown in items B-2 of this section "Probationary Period" have been followed.*

E. *Each probationary apprentice considered to be satisfactory after a review of the records shall be considered an apprentice.*

10. *CREDIT FOR PREVIOUS EXPERIENCE*

An applicant may request credit for previous experience. If the previous experience was outside the supervision of the Apprenticeship and Training Committee, the applicant must submit a request at the time of application and furnish such records, affidavits, or other bona-fide evidence as the Apprenticeship and Training Committee shall require to substantitate the claims. After candidates have signed the Apprenticeship Agreement, they cannot request an evaluation of previous experience.

The Committee shall evaluate all records, affidavaits or other bona-fide evidence produced by any applicants requesting credit for previous experience. Applicants granted credit shall be indentured and started at the appropriate wage designated for the period to which such credit accrues.

11. *RELATED INSTRUCTION*

During each year of training, each apprentice shall be required to attend classes in subjects related to the trade. Hours of related training shall be no less than 144 hours per year with a minimum of hours for the two year term of training.

B. *Any apprentice who is absent from related instruction class sessions, unless officially excused, shall satisafactorily complete all class work missed before being advanced to the next period of training.*

C. *Related instruction shall be closely correlated with the practical experience and training received on the job. The Apprenticeship and Training Committee may request the assistance of the local schools in establishing classroom space for related instruction.*

D. *Policy with respect to hours spent in related instruction by apprentices other than regular working hours; Apprentices will not be paid for attending related instruction classes.*

E. In cases of failure of an apprentice to fulfill the obligations regarding classroom or on-the-job training, without due cause, the Apprenticeship and Training Committee shall take necessary disciplinary action.

F. The instructional materials recommended by the Apprenticeship and Training Committee shall be adopted as the basic course of study, and each apprentice shall be required to purchase a set of these text materials for personal study during the training and for future reference after completion of apprenticeship.

12. WORK EXPERIENCE

A. The Apprenticeship and Training Committee shall rotate or shift apprentices from one journeyperson to another as necessary to assure complete training in all branches of the trade.

B. The work experience schedule shall be attached to these standards when they are registered by the Apprenticeship and Training committee. This schedule shall be used as a guide to be performed and the basic skills to be learned during apprenticeship.

13. HOURS OF WORK

A. Apprentices shall work the same hours as journeypersons (forty (40) hours per week), except that no apprentice shall be allowed to work overtime if it interferes with attendance at related instruction classes.

B. Apprentices who do not complete the required hours of on-the-job training during a given segment shall have the term of that segment extended until the required number of hours are accured.

14. WAGES AND ADVANCEMENT

A. The progressively increasing schedule of wages for apprentices shall be included in these standards by the Apprenticeship and Training Committee and that schedule shall be established as a percentage of the prevailing wage rate for journeypersons (see attached).

B. Before an apprentice is advanced to the next period of training or journeyperson status, the Apprenticeship and Training Committee shall evaluate all progress to determine whether advancement has been earned and satisfactory progress has been made, the Apprenticeship and Training Committee shall be guided by the records of work experience and related instruction.

15. SUPERVISION OF APPRENTICES

A. The employer, or the designated person such as the superintendent, foreman, or journeyperson, shall be responsible for the training of the apprentice on the job. The supervisor of the apprentice, with the advice and assistance of the Apprenticeship and Training Committee, shall be responsible for the apprentice's work experience on-the-job and shall complete and return the record forms and progress reports provided by the Apprenticeship and Training Committee.

B. The Apprenticeship and Training Committee or the designated person shall be responsible for the apprentice's progress in related instruction classes.

16. RESPONSIBILITIES OF APPRENTICES

The apprentice shall:

A. Perform diligently and faithfully the work of the trade, and perform such other pertinent duties as may be assigned in accordance with the provisions of the registered standards.

B. Respect the property of the Employer and abide by the working rules and regulations of the employer and the Apprenticeship and Training Committee.

C. Attend regularly and complete satisfactorily the required hours of instruction in subjects related to the trade as provided under the registered standards.

D. Maintain such records of on-the-job training and related instruction as may be required by the Apprenticeship and Training Committee.

E. Develop safe working habits, and work in such manner as to assure their safety and that of other workers.

F. Conduct themselves at all times in a creditable, ethical, and moral manner.

17. DISCIPLINARY ACTION

A. The Apprenticeship and Training Committee may cancel the Apprenticeship Agreement and remove the apprentice from the training program at any time for failure to comply with the Apprenticeship Agreement or with the registered standards. Such removal by the Apprenticeship and Training Committee shall cancel the classification of the apprentice and the opportunity to complete the training. The registration agency shall be notified of such cancellations.

B. The Apprenticeship and Training Committee may also discipline an apprentice by postponing advancement from one period of training to the next or by temporarily removing the apprentice from the job, causing loss of employment.

C. Before invoking any disciplinary action the Apprenticeship and Training Committee must notify the apprentice by certified mail to appear before the Apprenticeship and Training Committee for a hearing. If the apprentice fails to appear before the Apprenticeship and Training Committee after due notice, such disciplinary action may be invoked without a hearing.

18. ADJUSTING DIFFERENCES

The Apprenticeship and Training Committee shall have full authority to supervise the enforcement of the provisions of these standards. It's decision shall be final and binding upon the employer, and the apprentice.

The Apprenticeship and Training Committee shall hear and consider all complaints of violations concerning the Apprenticeship Agreement and the registered standards. The Apprenticeship and Training Committee shall make such rulings as it deems necessary in each individual case.

Either party to the Apprenticeship Agreement may consult with the registration agency for an interpretation of any provision of the standards over which differences occur.

19. CERTIFICATE OF COMPLETION OF TRAINING

The apprentice who successfully completes the training shall be awarded a certificate by the Apprenticeship and Training Committee, attesting to satisfactory completion. Requests for those completion certificates shall be made by the Committee to the registration agency.

20. RATIO OF APPRENTICES TO JOURNEYPERSONS.

The ratio of apprentices to journeypersons shall be one to one.

21. SAFETY AND HEALTH TRAINING

All apprentices shall receive instruction in safe and healthful work practices and shall be training in facilities and other environments that are in compliance with either the occupational safety and health standards promulgated by the Secretary of Labor under Public Law 91-596, dated December 29, 1970, or State standards that have been found to be at least as effective as the Federal Standards. Wherever possible, first aid training should be included.

22. COMPLAINT PROCEDURE

In case of differences between the parties to the agreement, either has the right and privilege of appealing to the Committee for such action and adjustment of such matters as comes within these standards of apprenticeship. Requests for hearings shall be made in writing to the Chairperson of the Apprenticeship and Training Committee.

The following individual shall be responsible, and have authority to receive, process and make disposition of complaints concerning apprenticeship:

NAME ______________________ TELEPHONE NO ____________

ADDRESS The Housing Authority of the City of Charlotte, N. C., 1301 South Boulevard, Post Office Box 36795, Charlotte, North Carolina 28236

Failing to gain satisfaction under these provisions, parties to a complaint may appeal to the State Apprenticeship Agency under the provisions of such regulations as may prevail at the time of the complaint being reviewed.

23. *APPRENTICESHIP COMMITTEE RESPONSIBILITIES*

A. This Committee shall meet once each month or when two or more members feel a meeting is necessary.

B. To see that each prospective apprentice is interviewed and impressed with the responsibilities he or she is about to accept, as well as the benefits to be received.

C. To accept or reject applicants for apprenticeship according to selection procedures.

D. To place new apprentices under agreement.

E. To hear and decide on those questions and written complaints involving the apprentices which relates to their apprenticeship program.

F. To determine whether the apprentices scheduled wage is increased, or withheld, in the event that he or she is delinquent in their progress, either on the job or in educational studies.

G. To evaluate and implement constructive suggestions for the improvements to training on the job, and in related instructional studies.

H. To certify the names of apprentices who have satisfactorily completed their requirements of apprenticeship as established herein and recommend to the Registration Agency that they be awarded a certificate of completion.

I. To approve and recommend to the Registration Agency acceptance of work and training schedules for all apprenticeable trades.

J. In general, the Committee shall be responsible for the administration and operation of the apprenticeship program including maintaining all records for five years after the apprentice has completed or separated from the program. These records shall be available for examination upon reasonable notice.

24. *CONSULTANTS*

The Committee may request interested agencies to designate a representative to serve as a consultant.

Consultants shall be asked to participate without vote in conference on special problems related to apprentice training which affect the agencies they represent.

AFFIRMATIVE ACTION PLAN

AFFIRMATIVE ACTION PLAN

The Apprenticeship and Training Committee has pledged that the recruitment, selection, employment, and training of apprentice during their apprenticeship shall be without discrimination because of race, color, religion, national origin, or sex. In order to promote equality of opportunity, the Apprenticeship and Training Committee hereby pledges to take affirmative action to encourage minorities and women to complete the apprenticeship application and enter into the eligiblity pool.

1. *The following activities shall constitute the affirmative action plan of the Apprenticeship and Training Committee. It is expected to make a good faith effort to participate in those activities which are likely to accomplish the goals of affirmative action.*

   A. *Notification of apprenticeship opportunities shall be made at least 30 days prior to the earliest date of application. If a program accepts applications throughout the year, notification shall be made at least semi-annually. Such notification shall contain information including (1) the nature of apprenticeship, (2) the requirements for admission to apprenticeship, (3) the availability of apprenticeship opportunities, (4) the source of apprenticeship applications, (5) the equal opportunity policy of the sponsor, and (6) at least two (2) weeks shall be allowed for applicants to make application.*

   Notification shall be made to:

   1. *The BAT or SAC representative servicing the program.*
   2. *In a SAC state, the state supervisor of the BAT.*
   3. *The local superintendent of schools.*
   4. *State employment offices in the training area.*
   5. *Responsible groups identified with the minority community and/or women.*
   6. *LEAP or OUTREACH type programs.*
   7. *Apprenticeship Information Centers (AIC) Agencies.*
   8. *Other appropriate groups.*

   B. *Newspaper, radio, or television advertisements may be made if needed and if feasible, given the limitations of local Apprenticeship and Training Committee finances and personnel. Special emphasis shall be given to media organizations or programs chosen by the Apprenticeship and Training Committee as being identified with the monority community or with women.*

C. *The Apprenticeship and Training Committee shall participate in annual workshops conducted by the employment service agencies for the purpose of familiarizing school and employment service counselors with the apprenticeship program and the opportunities available.*

D. *The Apprenticeship and Training Committee shall cooperate with school boards and vocational education systems so that they will be familiar with the needs of the Industry and with the qualifications required of apprentices.*

E. *The Apprenticeship and Training Committee shall communicate its equal opportunity policy to its employees and shall enlist their support in furthering this Plan. The Apprenticeship and Training Committee shall also encourage the program sponsors to inform their members of the equal opportunity policy of the Apprenticeship and Training Committee and enlist their support in futhering the objectives of the policy.*

F. *Where advance standing or credit on the basis of previously acquired experience or training is given, the policy shall be applied to all applicants equally.*

G. *Where there are no outreach programs, the Apprenticeship and Training Committee shall encourage the creation of such programs, or, if, feasible, may initiate such programs.*

H. *The Apprenticeship and Training Committee may modify the age qualification standard when doing so will assist the Committee in meeting its affirmative action objectives.*

I. *The application period may be modified when doing so will assist the Committee in meeting its affirmative action objectives.*

J. *The Apprenticeship and Training Committee may initiate or participate in any other action which it considers likely to ensure that the recruitment, selection, employment, and training of apprentices during apprenticeship shall be without discrimination because of race, color, religion, national origin, or sex.*

II. *The selection of apprentices shall be by means of a selection procedure consistent with the provisions of Title 29 CFR part 30 as amended, Section 30.5 (b) (4).*

III. *The Apprenticeship and Training Committee shall make an annual study of the participation of minorities and women in its apprenticeship program in order to compare its utilization of these groups with the rates of their partici-*

pation in the labor force as a whole. The ratios identified below shall be used for this study. The numbers to be inserted in the ratios represent actual numbers of workers in the wage area in which the apprenticeship program operates, (figures from the Department of Labor) and numbers of apprentices in the apprenticeship program (figures from the Apprenticeship and Training Committee's records); the resulting quotients are participation rates expressed in percentage. A percentage participation rate of women or minorities in apprenticeship which is less than their respective participation rate in the labor force as a whole siginifies a utilization deficiency to be corrected through affirmative action. (See Analysis Sheet).

A. *Utilization of minorities*

1. $\dfrac{\textit{minority labor force}\%}{\textit{total labor force}}$

2. $\dfrac{\textit{minority apprentices}\%}{\textit{total apprentices}}$

B. *Utilization of women*

1. $\dfrac{\textit{female labor force}\%}{\textit{total labor force}}$

2. $\dfrac{\textit{female apprentices}\%}{\textit{total apprentices}}$

SELECTION PROCEDURES

SELECTION PROCEDURES

1. *Purpose*

The following selection procedures have been adopted by the Apprenticeship and Training Committee to assist them in complying with applicable law and lawful regulations issued thereunder.

2. *General Selection Procedures*

   A. *Notice of apprenticeship openings shall be posted on the Sponsor's bulletin boards.*

   B. *Applications will be available to anyone who is interested, and at least two (2) weeks shall be allowed for applicants to make applications.*

   C. *The fact that applications and apprenticeship opportunities are available shall be made known as outlined in the Affirmative Action Program. (30 days prior to earliest date for application.)*

   D. *Applications will be available at places designated by the Apprenticeship and Training Committee (preferably at the Sponsor's Personnel Office).*

   E. *Records shall be maintained and kept for at least five years to show the progress, by dates, including final disposition of each application.*

   F. *Applications will be accepted at times designated by the Apprenticeship and Training Committee. (If applications are accepted throughout the year dissemination of information shall not be done less than semi-annually.*

   G. *Interviews will be held at intervals designated by the Apprenticeship and Training Committee. All applications for apprenticeship accepted since the last series of interviews shall be processed to final dispostion before any individual is selected (see "Selection from Committee Evaluation," Step 6 of these "Selection Procedures"). Interviews will be granted to all who meet the basic requirements. The number of new apprentices to be accepted shall be determined before starting interviews.*

   H. *Eligible applicants (applicants after interview) not chosen for entrance into apprenticeship will be held as pool of eligibles for a minimum of two (2) years. (See "Selection from Committee Evaluation," Step 6).*

   I. *Applicants not interviewed because they lack a basic qualification will not be considered until they correct any deficiencies they may have and reapply.*

   J. *Selected candidates shall be registered as probationary apprentices for a period of ninety (90) days. Each probationary apprentice shall be evaluated at the end of the probationary period in regard to on-the-job performance, and related training.*

3. <u>*Step-by-Step Procedures for Each Applicant*</u>

A. Each applicant shall be given Apprenticeship Form #1 to complete and return by a designated date.

B. Form #1 contains the following:

1. Apprentice qualifications as listed in the Apprenticeship Standards.

2. Apprentice obligations after acceptance.

3. Application for Apprenticeship.

C. The date of application shall be date of receipt by the Apprenticeship and Training Committee of the completed Form #1 accompanied by proof of birth date.

D. Upon compliance with apprentice requirements (Form #1), the applicant shall be scheduled for Apprenticeship and Training Committee's interview.

E. A complete record of the applicant's progress will be entered into the applicant's file (form #2) at this time.

F. The results of the Committee interview shall be entered in each applicant's file.

G. Form #1 will be checked for any deficiencies in basic requirements. If there are any deficiencies the applicant's records shall be marked "not interviewed" to show that the interview process of selection was not necessary.

H. The applicant shall be notified of the rejection and reason why by certified mail with a return receipt requested.

I. When an applicant is notified that there will not be an interview because of certain basic deficiencies, the notification shall be entered on applicant's Form #1 as final disposition.

J. If Form #1 meet the basic requirements, the applicant shall be considered for an interview.

K. An applicant qualified for interview shall be notified of date and place for interview by certified mail with a return receipt requested, and the notification date shall be entered into the record.

L. An applicant selected for probationary apprenticeship after the interview may be scheduled for a physical examination, (if required). After passing the examination, the applicant will enter into the program at a prescribed date.

4. *Procedure for Scheduling Interview*

   A. *All qualified applicants shall be listed in the order of dates of completion of application (Form #1,/oldest date first).*

   B. *This list shall be divided into groups of an appropriate size for each interview session according to the order of completion dates of the applications (date application was completed and returned to the Apprenticeship and Training Committee).*

   C. *Each interview session shall be scheduled to provide enough time to interview each applicant notified to be present at the given session.*

   D. *Applicants shall be notified to appear for interview by certified mail and return receipt requested. Notification will specify a time and place to appear. An appropriate number of applicants will be scheduled for each interview session.*

5. *The Interview Session*

   A. *The interview committee shall have in its possession for review with regard to each applicant: application form, and proof of birth date.*

   B. *Each applicant shall be interviewed by members of the committee.*

   C. *After a brief introduction, the committee will ask questions of the applicant with the purpose of finding out as much as possible about the individual and about the capacity to participate in apprenticeship.*

   D. *Questions for the interview and for purposes of evaluation will be on topics related to job performance such as: work experience, school record, physical abilities, mechanical abilities, and motivation.*

   E. *Evaluation must be based on a standards of industry needs, and not by comparison with other applicants.*

   F. *Evaluation of the interview will be based on <u>Excellent</u>, <u>Good</u>, <u>Fair</u>, <u>Poor</u>, and <u>Unacceptable</u> responses on each topic.*

   G. *<u>Excellent</u> will be given a numerical range of 16 to 20; <u>Good</u> will be given a numerical range of 11 to 15; <u>Fair</u> will be given a numerical range of 6 to 10; <u>Poor</u> will be given a numerical range of 1 to 5; <u>Unacceptable</u> will be given a zero value.*

   H. *A review or summary of the answers to questions from the interview session must be entered in each applicant's file (Form #2).*

   I. *The same questions, when possible, should be asked of each applicant.*

6. *Selection from Committee Evaluation*

A. The number of new apprentices to be accepted shall be determined before starting interviews. This number will be based on the needs of the Sponsor.

B. Selection of individuals from the list of interviewed applicants shall not be made until all interview sessions are complete and all applicants have been evaluated.

C. Selection of applicants for apprenticeship after the interview will be done by the Committee on the basis of the numerical rating obtained from the interview evaluation.

D. All applicants interviewed will be notified of the results by certified mail.

E. All eligible candidates not selected for entry into apprenticeship after the interviews will be registered in an eligibility pool according to their rating. They will remain in this pool for a period of two (2) years from the time of interview and will be included in all subsequent selection procedures for that period.

SCHEDULE OF WORK PROCESSES

SCHEDULE OF WORK PROCESSES FOR THE TRADE OF PROJECT MAINTENANCE (MAINTENANCE REPAIRER) 899.381-010

	HOURS
A. ORIENTATION:	
1. Introduction to apprenticeship program.	30
2. Terminology	50
3. Maintenance Procedures	80
4. Safety Training and Fire Prevention	60
5. Knowledge and application of Building Codes	80
6. Energy Conservation	20
B. CARE AND USE OF TOOLS AND EQUIPMENT:	
1. Hand tools	50
2. Power tools	50
3. Electrical test equipment	100
4. Refrigeration test equipment	100
C. TEST, INSPECT AND REPAIR OF ELECTRICAL EQUIPMENT:	
1. Basic wiring	200
2. Trouble shooting	150
3. Major appliance repair (stoves and refrigerators)	280
4. Small appliance repair	120
D. PREVENTIVE MAINTENANCE:	
1. Maintain permanent records on each unit	100
2. Maintain record of warrenties	80
3. Equipment inventory	150
4. Spare parts	150
5. Requisition for new and replacement parts	100
E. REPAIRS AND MAINTENANCE:	
1. Plumbing, drains, and sewer lines	350
2. Repair of gas and electrical heating equipment	350
3. Repair, maintenance and installation of air conditioning equipment	350
4. Small engine	200
5. Basic carpentry repairs (windows, doors and screens)	200

6.	*Basic landscaping (trimming trees and shrubs)*	*200*
7.	*Basic knowledge of painting, plastering and dry-wall patching*	*200*
8.	*Interior and exterior maintenance*	*200*
	HOURS GRAND TOTAL --	*4,000*

The Sponsor shall, with the advice and assistance of the Apprenticeship and Training Committee, be responsible for the apprentice work experiences and safety instructions on the job.

The hours indiciated are approximate and will vary according to production and maintenance work schedules. However, job processes rotation shall be followed as closely as possible to assure that an apprentice will receive adequate training to qualify as a First Class Craft Person.

SCHEDULE OF RELATED INSTRUCTIONS

SCHEDULE OF RELATED INSTRUCTION FOR THE TRADE OF
PROJECT MAINTENANCE (MAINTENANCE REPAIRER)
899.381-010

1st Year - Part 1 COURSE #APP7011

INSTRUCTION BLOCK	COURSE DESCRIPTIONS	HOURS	DATES
1.	INTRODUCTION TO THE APPRENTICESHIP PROGRAM		
	A. Housing Authority & Apprenticeship Policies and Procedures	3	Jan. 9, 1984
	B. Work Attitudes and Job Performance	3	Jan. 11, 1984
	(1) Work expectations & supervision	3	Jan. 16, 1984
	(2) How to carry our assigned tasks	3	Jan. 18. 1984
	(4) Human relations & resolving conflicts	3	Jan. 23, 1984
	C. Accident & Fire Prevention	3	Jan. 25, 1984
2.	INTRODUCTION TO MAINTENANCE PROCEDURES		
	A. What is maintenance and why is training important?	1	Jan. 30, 1984
	B. Introduction to tools and their care and use		Jan. 30, 1984
	(1) Hand tools	2	Jan. 30, 1984
	(2) Power tools	3	Feb. 1, 1984
	C. Safety and Maintenance of Equipment	3	Feb. 6, 1984
	D. Basic Maintenance		
	(1) Floor care and maintenance	3	Feb. 8, 1984
	(2) Clean-up of stoves and refrigerators	3	Feb. 13, 1984
	(3) Vacancy clean-up	3	Feb. 15, 1984
	(4) Grounds clean-up	3	Feb. 20, 1984
	E. Pest Control	9	Feb. 22-27-29, '84

SCHEDULE OF RELATED INSTRUCTION FOR THE TRADE OF
PROJECT MAINTENANCE (MAINTENANCE REPAIRER)
899.381-010

1st Year - Part 1 — COURSE #APP7011

INSTRUCTION BLOCK	COURSE DESCRIPTIONS	HOURS	DATES
2.	F. Maintnance Record Keeping		
	(1) Work Order Processing	3	Mar. 5, 1984
	(2) Unit & warranty records	3	Mar. 7, 1984
	(3) Spare parts & replacements	3	Mar. 12, 1984
	(4) Equipment & supply inventories and requisitions	6	Mar. 14&19. '84
	(5) Security of Equipment & Supplies	3	Mar. 21, 198[illegible]
	TOTAL	66	

1st Year - Part 2 — COURSE #APP7012

INSTRUCTION BLOCK	COURSE DESCRIPTIONS	HOURS	DATES
3.	BASIC PLUMBING		
	A. How Plumbing Works and What You Should Know	3	Mar. 26, 1984
	B. Types of Pipe and Fittings	3	Mar. 28, 1984
	C. Plumbing Tools and How To Use Them	6	Apr. 2 & 4, 1984
	D. Plumbing Fixtures and Their Care		
	(1) Water closets	3	Apr. 9, 1984
	(2) Faucets and Showers	3	Apr. 11, 1984
	E. Troubleshooting Plumbing Problems and Plumbing Repairs		
	(1) Faucets	3	Apr. 16. 1984
	(2) Water closets	6	Apr. 18&23, 198[illegible]
	(3) Stopped up drains	6	Apr. 25 & 30, [illegible]84
	(4) Pipes		
	(a) Copper tube work, flaring and solder fittings	12	May. 2-7-9&14, '84
	(b) Plastic pipe work	6	May 16 & 21, 1984

SCHEDULE OF RELATED INSTRUCTION FOR THE TRADE OF
PROJECT MAINTENANCE (MAINTENANCE REPAIRER)
899.381-010

1st Year - Part 2 — COURSE #APP7012

INSTRUCTION BLOCK	COURSE DESCRIPTIONS	HOURS	DATES
3.	(c) Cast iron and steel pipe	3	May 23, 1984
	F. Hot Water Heaters: Introduction	3	May 28, 1984
	(1) Gas water heaters	9	May 30-Jun. 4-6'84
	TOTAL	66	
3.	(2) Electrical Water heaters	9	Sept. 10,12,17,'84
4.	BASIC CARPENTRY		
	A. Tools	3	Sept. 19, 1984
	B. Wood Types and Sizes	3	Sept. 24, 19[illegible]
	C. Fastenings (nails, screws, etc.)	3	Sept. 26, 1983
	D. Floors and Walls - Construction	6	Oct. 1 & 3, 1984
	E. Windows and Doors - Locks, Hinges and Hardware	6	Oct. 8 & 10, 1984
	F. Repairing Screens	3	Oct. 15, 1984
	G. Drywall Construction and Replacement and Finishing	6	Oct. 17 & 22, 1984
	H. Wall Materials		
	(1) Paneling	3	Oct. 24, 1984
	(2) Wall coverings/wallpaper	3	Oct. 29, 1984
	(3) Painting - paint types and applications	9	Oct. 31 - Nov. 5 & 7, 198[illegible]
	TOTAL	54	
TOTAL YEAR 1	TOTAL HOURS	186	

2nd Year - Part 1 — COURSE #APP7014

INSTRUCTION BLOCK	COURSE DESCRIPTIONS	HOURS	DATES
1.	BASIC ELECTRICITY		
	A. The Power System in Homes	9	Jan. 7, 9, 14, 1985
	B. Tests and Tools	3	Jan. 16, 1984
	C. Safety Around Electricity	3	Jan. 21, 1984

SCHEDULE OF RELATED INSTRUCTION FOR THE TRADE OF
PROJECT MAINTENANCE (MAINTENANCE REPAIRER)
899.381-010

2nd Year - Part 1 COURSE #APP7014

INSTRUCTION BLOCK	COURSE DESCRIPTIONS	HOURS	DATES
1.	D. Wire Joints, Cable & Conduit	9	Jan. 23,28,30'85
	E. Troubleshooting Electrical Problems	6	Feb. 4 & 6, 1985
	F. Switches and Outlets	3	Feb. 11, 1985
	G. Electrical Appliance Repair	12	Feb. 13, 18, 20, 25, 1985
2.	SMALL ENGINE REPAIR	15	Feb. 27, Mar. 4 6, 11, & 13, 1985
	TOTAL	60	

2nd Year - Part 2 COURSE #APP7015

INSTRUCTION BLOCK	COURSE DESCRIPTIONS	HOURS	DATES
3.	HEATING AND AIR CONDITIONING		
	A. Basic Principles	9	Mar. 18, 20, 25, 1985
	B. Controlling the Temperature	6	Mar. 27, Apr. 1,'85
	C. Maintaining HVAC Systems	15	Apr. 3, 8, 10, 15 & 17, 1985
	D. Troubleshooting	9	April 22, 24 & 29, 1985
4.	LANDSCAPING AND MAINTENANCE	15	May 1, 6, 8, 13, & 15, 1985
5.	CONCRETE AND MASONRY	6	May 20 & 22, 1985
	TOTAL	60	

Summer

2nd Year - Part 3 COURSE #APP7016

INSTRUCTION BLOCK	COURSE DESCRIPTIONS	HOURS	DATES
6.	CODES AND THEIR ENFORCEMENT		
	A. Building Codes and Standards	18	Sept. 9,11,16,18, 23, 25, 1985
	B. Electrical Code	18	Sept. 30, Oct. 2, 7, 9, 14, & 16,'85
7.	BLUEPRINT READING AND SKETCHING	12	Oct. 21,23,28,'85
8.	ESTIMATING MATERIALS AND COSTS	9	Nov. 4,6, 11, 1985
9.	LEADERSHIP AND SUPERVISION	6	Nov. 13 & 18, 1985
	TOTAL	63	
TOTAL YEAR 2	TOTAL HOURS	183	

GRAND TOTAL (2 YEARS) --- HOURS ---372

SCHEDULE OF WAGES

SCHEDULE OF WAGES FOR THE TRADE OF
PROJECT MAINTENANCE (MAINTENANCE REPAIRER)
899.381-010

JOURNEYPERSON'S RATE: $6.18 PER HOUR

NORMAL WORK WEEK: 40 HOURS

EFFECTIVE DATE: ____________

THE WAGE SCALE FOR APPRENTICES IN THIS TRADE SHALL BE AS FOLLOWS:

STEP 1 - Apprentice I - 4 months --------------------------$3.35 Per Hour

STEP 2 - Apprentice II - 5 months -------------------------$3.55 Per Hour

STEP 3 - Apprentice III - 3 months ------------------------$4.00 Per Hour

STEP 4 - Apprentice IV - 3 months -------------------------$4.30 Per Hour

Step 5 - Apprentice V - 3 months --------------------------$4.75 Per Hour

Step 6 - Apprentice VI - 3 months -------------------------$5.20 per Hour

Step 7 - Apprentice VII - 3 months ------------------------$5.50 Per Hour

COMMITTEE FORMS

FORM #1

APPRENTICESHIP FORM #1 *Issued By*

Application Form

QUALIFICATIONS NECESSARY FOR AN APPLICANT TO BE CONSIDERED FOR APPRENTICESHIP

1. *Must be at least 18 years of age;*
2. *Complete Form #1 - (Three (3) pages), and return with the following:*
   a. *Birth Certificate or other such document for proof of age;*
   b. *Military transfer or Discharge Form DD-214, if applicable;*
3. *Appear for interview when notified;*

IF YOU ARE ACCEPTED FOR APPRENTICESHIP YOU WILL BE REQUIRED TO:

1. *Serve as a probationary apprentice for a period of 90 days;*
2. *Serve a 2 year apprenticeship;*
3. *Report for work on a regular basis;*
5. *Work under the direction of a Journeyperson on the job and perform job duties satisfactorily;*
6. *Attend related training classes regularly and maintain an acceptable average in those classes,*
7. *Purchase text material for use in related training classes as required;*
8. *Abide by all rules and regulations of the Apprenticeship and Training Committee;*

9. *Education - Applicants must satisfy the committee that they have the aptitude, ability, interest and desire to master the rudiments of the trade and are prepared educationally to complete the required related instruction. A high school degree or its equivalent is not required; but if accepted into the apprenticeship program they must obtain a G.E.D. within nine (9) months of employment.*

IF YOU ARE REJECTED FOR APPRENTICESHIP:

You may appeal your rejection within 15 days, in writing, to the Apprenticeship and Training Committee.

I, the undersigned, have read, understand, and agree to abide by the above.

______________________________ *Date* ____________________

(Applicant's Signature)

NORTH CAROL EPARTMENT OF LABOR – APPRE ship DIVISION
4 West iton Street Raleigh, N. C.

FORM #1

APPRENTICESHIP APPLICATION

Check if OJT ☐

I understand that apprenticeship is preparation for a vocational career requiring both work and study. I hereby apply for apprenticeship in the ______________________ trade and submit the following information to support my application

LEASE PRINT

ame (last, first, middle):	Social Security Number:	Birthdate: / /	Phone(area code & no.):

resent Address (street, city, state, zip code):

☐ Married ☐ Single	Number of Dependents:	Describe any physical disability:

ILITARY SERVICE Branch	Discharge Date:	Length of Ser.	Check one: ☐ Vietnam ☐ Other Vet	Do you plan to apply for GI on the job training benefits? ☐ YES ☐ NO C#

EX	RACE/ETHNIC GROUP		
☐ Male	☐ Caucasian/white	☐ Oriental	☐ Not elsewhere classified
☐ Female	☐ Negro/black	☐ American Indian	☐ Spanish American

CHOOL RECORD Circle highest grade completed in each:	High School 9 10 11 12	G. E. D. ☐ YES ☐ NO	Trade School 1 2 3 4	College 1 2 3 4

School	Name	City	State	From MO/YR	To MO/YR	Graduate	Grade Average
						YES / NO	
						YES / NO	
						YES / NO	
						YES / NO	

ORK RECORD — List present or most recent firs:

Firm Name and Address	Nature of Your Work	Date of Employment	Months
		from / to	
		from / to	
		from / to	
		from / to	
		from / to	

List other experience on a separate sheet	Applicant's Signature:	Date:

DO NOT WRITE BELOW THIS LINE

nterviewed by:	Date:	Score:	Accepted by:	Date:

Employed by:	Signature:	Title:

ddress:	Phone:	Date:

County:	Number:	SATB #:	Program #:	Apprenticeship Representative:

FORM #2

NAME OF APPLICANT ______________________

1. FORM #2

A. Given to Applicant ...... Date ________

B. Completed & Returned .. Date ________

☐ Satisfactory ☐ Unsatisfactory

Reason ______________________

2. APTITUDE TEST

A. Scheduled for (Date) ________

B. Not Scheduled ☐

C. Notified of Scheduled Test ☐

Date ________

D. Results

☐ Satisfactory ☐ High ☐ Medium ☐ Low

Not taken ☐

E. Notified of Test Results ☐

Date ________

Reason ______________________

3. INTERVIEW

A. Scheduled Yes ☐ No ☐

B. Notified ☐ Date ________

C. Interviewed Yes ☐ No ☐ Date ________

Reason ______________________

4. INTERVIEW EVALUATION AND SUMMARY

____

INTERVIEW EVALUATION AND SUMMARY (cont.)

____

Final Score (Rating) ________

☐ Acceptable ☐ Unacceptable

Signed ______________________

Title ______________________

Signed ______________________

Title ______________________

Date ______________________

5. PHYSICAL EXAM (IF REQUIRED)

A. Scheduled ☐ Yes ☐ No Date ________

Reason ______________________

B. Notified ☐ Date ________

C. Examined ☐ Yes ☐ No Date ________

Reason ______________________

D. Results Satisfactory ☐ Unsatisfactory ☐

E. Notified ☐ Date ________

Form #2

Page 2

DISPOSITION OF APPLICANT

PROBATIONARY DATA

Date Assigned to Employer, Employer, Other Pertinent Information.

Signed

Title

Signed

Title

8. PROBATIONARY PERIOD REVIEW

A. On the Job Training ☐ Satisfactory ☐ Unsatisfactory

Reason

B. Related Training ☐ Satisfactory ☐ Unsatisfactory

Reason

C. If 8A and 8B are satisfactory, no interview is necessary.

D. Interviewed after Probation

Yes ☐ Date

No ☐

E. Summary of Interview

9. DISPOSITION OF PROBATIONARY APPRENTICE

Signed

Title

Signed

Title

Date

NAME

COMPLETED FORM NO. 1

Date Received

INTERVIEW

☐ Yes Date

☐ No

DISPOSITION

RATING FORM FOR INTERVIEW SESSION (FORM 3A)

Rating Form for Interview Session (Form 3A)

NAME OF APPLICANT ______________________________

	Excellent 16-20	Good 15-11	Fair 10-6	Poor 5-1	Un. Ac. 0
EDUCATION .... Remarks: ______________________					
PHYSICAL FACTORS .... Remarks: ______________________					
INTEREST .... Remarks: ______________________					
PERSONAL TRAITS .... Remarks: ______________________					
ATTITUDE .... Remarks: ______________________					

DATE: ______________________ RATING FORM TOTAL ______________________

COMMITTEE MEMBER: ______________________

NOTE: Any applicant failing to achieve seventy (70) points shall not be considered as qualified

COMMITTEE SUMMARY SHEET (FORM 3B)

Committee Summary Sheet (Form 3B)

NAME OF APPLICANT ____________________

Interviewers Names	Rating Form Totals
TOTAL COMMITTEE SCORE	

RATING: Divide total Committee score by the actual number of Interviewers to find rating	

DATE: ____________________

COMMITTEE CHAIRPERSON: ____________________

APPRENTICE/TRAINEE TRAINING RECORD

North Carolina Department of Labor
Apprenticeship Division
4 West Edenton Street
Raleigh, North Carolina 27601
(919) 733-7533

APPRENTICE/TRAINEE TRAINING RECORD

for the month of ____________________ 19 ____

Instructions: This Training Record is to be kept daily by the Apprentice or trainee and turned in to the trainer at the end of each month. The Apprentice or trainee must sign the form before giving it to the trainer. The trainer must file the completed form in his training program file after grading and signing.

Unit of Instruction	Hours Absent	1	2	3	4	5	6	7	8	9	10	11	12	13	14	15	16	17	18	19	20	21	22	23	24	25	26	27	28	29	30	31	Total Hours	Trainer Rating
Total Hours																																		
Related Instruction																																		

The above is a true representation of time spent in the units of instruction as shown.

______________________________ Date
Apprentice's signature

______________________________ Date
Trainer's signature

____
Job objective

____
Sponsor's name

III.12.1926
Revised 1/03

SCHEDULE OF RELATED INSTRUCTION FOR THE TRADE OF
PROJECT MAINTENANCE MECHANIC (MAINTENANCE REPAIRER) [redacted]
899.381-010

1st Year - Part 1

COURSE # APP7011

INSTR. BLOCK	COURSE DESCRIPTIONS	HOURS	
1.	INTRODUCTION TO THE APPRENTICESHIP PROGRAM		
	A. Housing Authority & Apprenticeship Policies and Procedures	3	JAN 9, 1984
	B. Work Attitudes and Job Performance	3	JAN 11, 1984
	(1) Work expectations and supervision	3	JAN 16,
	(2) How to carry out assigned tasks	3	JAN 18
	(3) Human relations and resolving conflicts	3	JAN 23
	C. Accident and Fire Prevention	3	JAN 25
2.	INTRODUCTION TO MAINTENANCE PROCEDURES		
	A. What is maintenance and why is training important?	1	JAN 30
	B. Introduction to tools and their care and use		
	(1) Hand tools	2	
	(2) Power tools	3	Feb 1
	C. Safety and Maintenance of Equipment	3	Feb 6
	D. Basic Maintenance		
	(1) Floor care and maintenance	3	Feb 8
	(2) Clean-up of stoves and refrigerators	3	Feb 13
	(3) Vacancy clean-up	3	Feb 15
	(4) Grounds clean-up	3	Feb 20
	E. Pest Control	9	Feb 22, 27, 29
	F. Maintenance Record Keeping		
	(1) Work Order Processing	3	MAR 5
	(2) Unit and warranty records	3	MAR 7
	(3) Spare parts and replacements	3	MAR 12
	(4) Equipment and supply inventories and requisitions	6	MAR 14 + 19
	(5) Security of Equipment & Supplies	3	MAR 21

 TOTAL 66 HOURS

COURSE #APP 7012

1st Year - Part 2

INSTRUCTION BLOCK	COURSE DESCRIPTIONS	HOURS	
3	BASIC PLUMBING		
	A. How Plumbing Works and What You Should Know	3	MAR 26, 1984
	B. Types of Pipe and Fittings	3	MAR 28
	C. Plumbing Tools and How to Use Them	6	APR 2 + 4
	D. Plumbing Fixtures and Their Care		
	(1) Water closets	3	APR 9
	(2) Faucets and showers	3	APR 11
	E. Troublshooting Plumbing Problems and Plumbing Repairs		
	(1) Faucets	3	APR 16
	(2) Water closets	6	APR 18 + 23
	(3) Stopped up drains	6	APR 25 + 30
	(4) Pipes		MAY
	(a) Copper tube work, flaring and soldering fittings	12	2, 7, 9, 14
	(b) Plastic pipe work	6	MAY 16 + 21
	(c) Cast iron and steel pipe	3	MAY 23
	F. Hot Water Heaters: Introduction	3	MAY 28
	(1) Gas water heaters	9	MAY 30, JUN. 4 + 6
	TOTAL	66 HOURS	

1st Year - Part 3

COURSE # APP 7013

INSTRUCTION BLOCK		COURSE DESCRIPTIONS	HOURS	
3	F.			
		(2) Electrical Water heaters	9	Sep 10, 12, 17, 1984
4		BASIC CARPENTRY		
	A.	Tools	3	Sep 19
	B.	Wood Types and Sizes	3	Sep 24
	C.	Fastenings (nails, screws, etc.)	3	Sep 26
	D.	Floors and Walls - Construction	6	Oct 1 + 3
	E.	Windows and Doors - Locks, Hinges and Hardware	6	Oct 8 + 10
	F.	Repairing Screens	3	Oct 15
	G.	Drywall Construction and Replacement and Finishing	6	Oct 17 + 22
	H.	Wall Materials		
		(1) Paneling	3	Oct 24
		(2) Wall coverings/wallpaper	3	Oct 29
		(3) Painting - paint types and applications	9	Oct 31, Nov 5 + 7
		TOTAL	54 HOURS	1984

TOTAL YEAR 1 186 HOURS

2nd Year - Part 1

COURSE #APP 7014

INSTRUCTION BLOCK	COURSE DESCRIPTIONS	HOURS	
1.	BASIC ELECTRICITY		JAN 7, 9,
	A. The Power System in Homes	9	14, 1985
	B. Tests and Tools	3	JAN 16
	C. Safety Around Electricity	3	JAN 21
	D. Wire Joints, Cable and Conduit	9	JAN 23, 28, 30
	E. Troubleshooting Electrical Problems	6	Feb 4 + 6
	F. Switches and Outlets	3	Feb 11
	G. Electrical Appliance Repair	12	FEB. 13, 18, 20 + 25
2.	SMALL ENGINE REPAIR	15	FEB 27, MAR 4, 6, 11 + 13
	TOTAL	60 HOURS	1985

COURSE #APP 7015

2nd Year - Part 2

INSTRUCTION BLOCK	COURSE DESCRIPTIONS	HOURS	
3.	HEATING AND AIR CONDITIONING		
	A. Basic Principles	9	MAR 18, 20, 25, 1985
	B. Controlling the Temperature	6	MAR 27, APR 1
	C. Maintaining HVAC Systems	15	APR 3, 8, 10, 15 + 17
	D. Troubleshooting	9	APR 22, 24 + 29
4.	LANDSCAPING AND MAINTENANCE	15	MAY 1, 6, 8, 13 + 15
5.	CONCRETE AND MASONRY	6	MAY 20 + 22
	TOTAL	60 HOURS	1985

COURSE #APP 7016

2nd Year - Part 3

INSTRUCTION BLOCK	COURSE DESCRIPTIONS	HOURS	
6.	CODES AND THEIR ENFORCEMENT		SEP 9, 11, 16, 18
	A. Building Codes and Standards	18	23 + 25, 1985
	B. Electrical Code	18	SEP 30, OCT 2, 7, 9, 14 + 16
7.	BLUEPRINT READING AND SKETCHING	12	OCT. 21, 23, 28 + 30
8.	ESTIMATING MATERIALS AND COSTS	9	NOV. 4, 6, 11
9	LEADERSHIP AND SUPERVISION	6	NOV. 13 + 18
	TOTAL	63 HOURS	1985

TOTAL YEAR 2	183
GRAND TOTAL (2 YEARS)	372

APPENDIX B
1984-85 DEPARTMENTAL OBJECTIVES

I. MAINTENANCE IMPROVEMENTS

A. Maintenance Training

GOAL: To reduce the number of resident complaints concerning maintenance services and improve the delivery of services through more effective employee/resident training.

METHODS:

1. Creation of "Quality Circles" teams composed of management, maintenance and residents to review problem areas and propose strategies for improving the delivery of services.
2. The Director of Maintenance and Area Managers will establish bi-weekly or monthly joint meetings for all projects and central maintenance staff to communicate goals and objectives, acquaint staff with new policies and maintenance procedures, and provide instruction in new techniques, materials and equipment.
3. The Director of Maintenance and Area Managers will design and conduct bi-weekly or monthly training sessions for managers in maintenance procedures, policies and techniques to acquaint the managers with maintenance terminology and potential causes and remedies to common maintenance problems in order to increase their effectiveness in supervising project maintenance staff.
4. The Director of Maintenance and Area Managers in consultation with the Residents' Advisory Council and Human Services staff will design and implement self-contained training modules for residents in areas such as apartment and equipment care and maintenance, requesting maintenance services, and work order processing.

TIME ALLOCATIONS:

1. Quality Circles: Meet monthly.
2. Joint Maintenance Meetings: Meet monthly.
3. Manager Training:
   a. Design of Training: To be completed by September 15, 1984.
   b. Implementation: Monthly starting in September, 1984.
4. Resident Training: Modules are to be completed by December, 1984 with utilization on a rotating basis by residents' organizations starting January, 1985.

MONITORING AND REPORTS:

1. Monthly summaries of training programs.
2. Charts and graphs of work order processing.
3. Quarterly evaluation of maintenance complaints from the Residents' Advisory Council.

B. Improved Maintenance Programs

GOAL: To improve the effectiveness and efficiency of on-going maintenance programs through improved scheduling and monitoring of such programs.

METHODS:

1. The Director of Maintenance will establish a schedule of maintenance activities to be conducted on a routine basis in each development (e.g., grass cutting, landscaping, painting of elderly units, vacancy preparation) and will meet with the Area Managers on a regular basis to inform them of the schedules and revisions to the schedule.

2. The Central Maintenance staff will notify each development of the respective schedule at least 24 hours in advance of implementation of that schedule in that development. The manager and project maintenance staff will undertake necessary preparation and notification of residents to insure effective and efficient conduct of the program in the respective development.

3. A "Quality Circles" approach will be designed and implemented to review the conduct of these maintenance programs and recommend adjustments or changes in the programs as needed.

TIME ALLOCATIONS:

1. Schedule of Activities: Published monthly.

2. Notification of Developments: Daily.

3. Quality Circles: To meet monthly.

MONITORING AND REPORTING:

1. Monthly summary of accomplishments in relationship to scheduled activities.

2. Quarterly performance review reports.

C. Work Order Processing

GOAL: To reduce the amount of time necessary to process work orders.

METHODS:

1. A "Quality Circles" team consisting of managers, and project and central maintenance staff will be formed to monitor work orders weekly, review problems and concerns in the processing of work orders, and suggest strategies for overcoming delays and problems.

2. The "Quality Circles" team will review current work order forms with the objective of simplifying these forms and specifying more clearly the type of request by severity, urgency, and category of request as well as previous corrective actions undertaken.

TIME ALLOCATIONS:

1. Review and Revision of Current Forms and Procedures: To be completed by October 1, 1984.

2. Monitoring of Work Order Processing: Weekly.

MONITORING AND REPORTING:

1. Monthly graphs and charts on work order processing by category of request.

2. Quarterly performance review and recommendations for adjustments.

II. RESIDENT SELF-SUFFICIENCY

A. Training of Residents' Organization Officers

GOAL: To insure that every residents' organization has skilled leaders capable of providing effective leadership in developing, organizing, managing and implementing programs to improve the quality of life of residents in their respective developments.

METHODS:

1. The Director of Community Services and the Executive Committee of the Residents' Advisory Council will meet weekly to identify the training needs of the presidents and officers of individual residents' organizations and to plan and develop a series of workshops and seminars to address those needs.
2. Skilled trainers and resource people knowledgeable of the problems and issues in low-income neighborhoods will be identified and contracted to conduct a series of workshops to be held quarterly. Anticipated topics include parliamentary procedures, community organizing, problem identification and goal setting, program planning and implementation, budgeting and requisition, proposal writing, communications and public relations, and problem solving.
3. An abbreviated one- or two-day training program for new officers will also be designed to cover the duties of residents' organizations' officers and the limits of their authority, program planning and budgeting, requisition procedures, resident-management relations, and accountability and record keeping.
4. Announcements of forthcoming leadership workshops and seminars sponsored by the Authority and other organizations both locally and regionally will be published in the Authority newsletter.
5. Technical assistance and support will be provided to each residents' organization by the Human Services Coordinators and through the provision of at least one stipend position for each organization.

TIME ALLOCATIONS:

1. Schedule of Training: To be completed by September 30, 1984.
2. Conduct of Training Workshops: To be implemented by October 1, 1984 and continue quarterly until the schedule of training is completed.
3. Training of New Officers: To be conducted in January of each calendar year.
4. Technical Assistance: Provided on a year-round basis.

PROGRAM MONITORING AND REPORTS:

1. Schedule and outline of workshops and seminars.
2. Participant evaluation forms completed at the end of each workshop or seminar.
3. Quarterly report of residents' organization participation and activities.

B. Stipends for Staff Support

GOAL: To encourage resident involvement in conducting self-help programs and activities in their respective developments.

METHODS:

1. The Human Services Program Coordinator and the respective Departmental Heads, Area Managers and Residents' Advisory Council Officers will develop a list of eligible activities for which stipends may be given. This committee will also develop a set of guidelines and monitoring forms to be used in awarding stipends as well as an associated schedule of stipend amounts.

2. Residents' organizations and others requesting stipend assistance will be required to submit a proposal describing the activity, the goal of the activity, the methods to be used in achieving the goal, the expected results and outputs to be realized, the time frame in which the activity is to occur, and the person(s) to be placed on the stipend. Proposals will be reviewed by the Program Coordinator and recommended for approval or disapproval after consultation with appropriate staff persons. The Assistant Executive Director shall have final authority to approve or disapprove any stipend request.

3. Approved stipends will be paid once a month after certification of completion of the scheduled activities by the Program Coordinator. The Finance Department shall be responsible for the disbursement of all stipends upon certification by the Program Coordinator.

TIME ALLOCATIONS:

1. Guidelines and Procedures: To be completed by July, 1984.

2. Implementation: Immediately upon completion of guidelines.

PROGRAM MONITORING AND REPORTS:

1. Guidebook for stipend projects and activities.

2. Monthly summary of stipends awarded and activities of stipend staff.

3. End-of-year evaluation of the effectiveness of the stipend program.

C. Formal and Informal Agreements with Agencies for the Delivery of Services

GOAL: To improve the access to and quality of services received by public housing residents through existing social and human services agencies.

METHODS:

1. The Human Services staff in consultation with the Area Managers and Residents' Advisory Council will conduct an assessment of both the nature and quality of services available to residents and areas where there appear to be gaps in the delivery of services.

2. Where problems in either the delivery of existing services or the availability of those services exist, the Human Services staff will meet with the respective agencies to strengthen any existing formal or informal agreementswhich may exist or establish a service agreement where none currently exists.

3. Where gaps in services are identified, the Human Services staff will meet with agencies offering services or resources capable of addressing those gaps in services. To the extent that services can be obtained which are not cost prohibitive, agreements or memorandums of understanding will be developed and submitted to the Board's Human Services Committee for review and approval.

4. To the extent possible, all agreements and memorandums of understanding shall stress the training and utilization of resident volunteers (either stipend or not) as adjuncts to or outreach resources for the delivery of services.

TIME ALLOCATIONS:

1. Assessment of Services: To be completed by October 30, 1984.

2. Development of Agreements: Continuous activity.

PROGRAM MONITORING AND REPORTS:

1. Annual reports on the delivery of services and an assessment of the services provided.

2. Monthly summaries of agreements established and services provided.

D. Orientation and Training of Residents in Rules, Regulations, and Procedures of the Authority

GOAL: To insure that all residents understand their obligations as residents and the rules and regulations which govern their family's and guests' behavior while residents as well as the policies and procedures designed to insure a safe, sanitary and decent environment in which to live.

METHODS:

1. The Human Services staff in conjunction with the management and maintenance staff will design (1) a two-day orientation program for new residents and (2) a series of one-hour audio-visual training modules for current residents.

2. The orientation program and training modules will be pre-tested and modified prior to implementation.

TIME ALLOCATIONS:

1. Design and Pretesting of the Orientation Program: To be completed by January 31, 1985.

2. Design and Pretesting of Training Modules and Materials: To be completed by March 30, 1985.

PROGRAM MONITORING AND REPORTS:

1. Submission of scripts and program outlines quarterly.

2. Periodic review of training materials.

E. Staff Evaluation

GOAL: To provide periodic review of staff performance and insure management by objectives.

METHODS:

1. Each staff member will submit monthly reports summarizing their activities and progress in relationship to each of their assigned objectives. Reports will consist of the following:

   a. Objective.

   b. Progress/Accomplishment.

   c. Significant events impacting on the objective.

   d. Need for changes in objective or time frame.

2. Department Heads will review the progress reports with their staff monthly and will report on progress or request alterations in objectives in their monthly board reports.

3. Performance reviews will be conducted quarterly in informal staff conferences.

TIME ALLOCATION:

12 Months

MONITORING AND REPORTS:

1. Monthly Board Reports.

2. Quarterly Performance Review.

III. MANAGEMENT IMPROVEMENTS

A. Management Training

GOAL: To improve the proficiency and effectiveness of managers in the performance of their management, maintenance and resident relations functions.

METHODS:

1. A Management Training Committee will be formed consisting of representatives from each of the following areas of responsibility: Area Managers, Project Managers, Tenant Selection, Accounting, Project Maintenance, Central Maintenance, Human Services, and the Residents' Advisory Council. The function of this Committee will be to:
   a. Assess the training needs of managers and assistant managers;
   b. Explore resources for providing training through local agencies and colleges/universities and potential registration under the N. C. Apprenticeship Program.
   c. Establish a training schedule and monitor the training offered.
2. A two-year management training program will be implemented consisting of seminars and workshops on all aspects of management responsibilities to include such areas as accounting and bookkeeping, work order processing, supervision, problem solving and planning, resident relations and community organization.
3. The management handbook will be reviewed, modified and updated and distributed to all managers and assistant managers. The handbook will be used as an orientation tool for all new management staff employed by the Authority.
4. New management employees will be given a thirty-six (36) hour orientation to the Authority, its policies and procedures, and management functions within the first 60 days of their employment.

TIME ALLOCATIONS:

1. Formation of Training Committee: To be completed by July 1, 1984.
2. Two-Year Training Program:
   a. Initial Design and Outline of the Program: November, 1984.
   b. Final Proposal: February 1, 1985.
   c. Implementation: March, 1985.
3. Management Handbook: To be completed by October, 1984.
4. Orientation and Training for New Employees: To be implemented by October 1, 1984.

MONITORING AND REPORTING:

1. Monthly progress reports.
2. Revised management handbook.
3. Training proposal.

B. Centralized Rent Collection

GOAL: To establish and implement a system of centralized rent collection to enable the staff to have more time to work with residents.

METHODS:

1. A "Quality Circles" Committee consisting of Managers, Human Services staff and Residents' Organization Presidents will be formed to assess the problems associated with implementing a centralized rent collection program and design and implement strategies for overcoming those problems.

2. The Area Managers will consult with managers and the Residents' Advisory Council concerning computer formats and wordings of bills and letters explaining the centralized rent collection program and recommend changes as needed.

3. The Area Managers will consult with the "Quality Circles" team regarding the implementation schedule and will coordinate the resident training and education programs at each site.

TIME ALLOCATIONS:

1. Implementation Strategies and Schedules: To be completed by September 1, 1984.

2. Implementation: Monthly during the next 18 months.

MONITORING AND REPORTING:

1. Report of implementation strategies and schedules.

2. Monthly progress reports.

3. Charts and graphs comparing delinquencies at various sites over time.

C. Improved Resident/Management Relations

GOAL: To improve the relations between residents and managers at each development.

METHODS:

1. Development level "Quality Circles" will be established at each site consisting of the Manager, the Maintenance Foreman, the Residents' Organization President, a teenager, an elderly or handicapped resident, and one resident at large. The purpose of this team will be to discuss areas of concern and develop strategies for improving resident/management relations at their respective sites. A set of objectives and methods for improving resident/management relations will be forwarded to the respective Area Managers and the Residents' Advisory Council on a quarterly basis.

2. The Area Managers in conjunction with the Residents' Advisory Council and the Human Services Department will review the quarterly objectives and devise procedures for evaluating the effectiveness of these programs and resident/management relations at each site.

3. The Human Services staff will provide technical assistance to each site in developing and implementing their specific objectives.

TIME ALLOCATIONS:

1. Implementation of Development Level "Quality Circles": July 1, 1984.

2. Quarterly Statement of Objectives: To be implemented starting October 1, 1984.

MONITORING AND REPORTING:

1. Monthly reports submitted to the Area Managers.

2. Quarterly performance reviews and evaluations.

IV. DEVELOPMENT IMPROVEMENTS

A. New Construction

GOAL: To improve the design, architectural selection, and construction of new development and reduce the number of complaints from maintenance staff and residents occupying newly constructed sites.

METHODS:

1. Establish a Specification Review Committee consisting of management, maintenance staff and residents to review the previously constructed family and elderly developments. The purpose of this Committee shall be to identify specifications and construction flaws and problems and make recommendations concerning new construction which need to be taken into consideration during the specification and construction phases.

2. Establish a Construction Review Committee to review land and building codes as well as HUD regulations and make recommendations concerning site selection and architectual design.

3. Review and monitor new construction techniques and make recommendations concerning the implementation of these techniques.

TIME ALLOCATIONS:

1. Specification Review: January, 1985.

2. Construction Review: As needed.

3. Construction Techniques: Monthly.

MONITORING AND REPORTING:

1. Construction specifications guidebook.

B. Selection of Architects

GOAL: To design criteria for the selection of architects for the Charlotte Housing Authority's development and modernization programs.

METHODS:

1. The Director of Development will meet with representatives of city and county government, the Board of Education, and major developers of private multifamily housing to review the selection criteria and processes utilized by these bodies in the awarding of architectural contracts. Based on this review, the Director will present a proposed list of selection criteria to the Development Committee of the Board of Commissioners and the executive staff for review and approval.

2. The Director of Development will establish a list of architectural firms and architects whose major areas of expertise conform to the needs of the Authority based on portfolios already on file with the Authority.

3. Whenever architectural services are expected to be needed for either development or modernization work, the Director of Development will mail a Notice of Anticipated Need for Architectural Services to those architectural firms and architects meeting the criteria in 2. above. Such notices will be sent at least 60 days in advance of the expected date of need for services requesting interested firms to update their portfolios and submit tentative proposals.

4. Once contracts for architectural services are ready to be let, the Director of Development shall meet with the Architect Selection Committee to review the preliminary proposals in relationship to the selection criteria established in 1. above. This Committee shall be composed of the Executive Director, Assistant Executive Director, the Director of Maintenance, and the members of the Board of Commissioners' Development Committee. This Committee will either select the architect based on the preliminary proposals or request full proposals from the those firms or individuals presenting preliminary proposals most closely conforming to the selection criteria.

TIME ALLOCATIONS:

1. Selection Criteria: To be completed by September 1, 1984.

2. List of Architectural Firms: To be completed by October 1, 1984.

3. Notification of Need for Architectural Services: As needed.

MONITORING AND REPORTING:

1. Proposed list of selection criteria.

2. List of architects and firms.

3. Quarterly review of the selection process.

C. Site Selection

GOAL: To improve the process of selecting development sites which conform to local and HUD requirements and reduce the length of time required to select such sites.

METHODS:

1. The Director of Development in consultation with the executive staff and members of local government will review the local Housing Assistance Plan to identify eligible development areas.

2. The Director of Development will develop a set of site review criteria based on the local Housing Assistance Plan, applicable building codes, and HUD requirements.

3. The Director of Development will maintain a current map of eligible areas and vacant suitably zoned land which could be suitable for development should funding become available.

4. Based on the above review, the Director of Development will evaluate the feasibility of establishing a land bank policy under which prospective parcels of land in eligible development areas might be recommended for purchase when they become available.

TIME ALLOCATIONS:

1. Review of HAP Plan: July 15th.

2. Site Criteria: August 31, 1984.

3. Maps of Eligible Areas: December 1st to be updated quarterly.

4. Land Bank Policy: March 1, 1985.

MONITORING AND REPORTING:

1. Site review criteria.

2. Maps of eligible areas.

3. Proposal for a land bank policy.

4. Monthly progress reports.

V. PUBLIC RELATIONS

GOAL: To insure that the activities and accomplishments of the Authority and its staff receive appropriate attention both within and outside the Authority and that factors affecting both residents and the Authority receive appropriate attention in the broader community.

METHODS:

1. The Human Services staff in conjunction with the Residents' Advisory Council and the management and maintenance staff will establish and maintain an Authority newsletter to be published bi-monthly.

   a. An editorial board consisting of a Housing Authority Commissioner, the Residents' Advisory Council President, an Area Manager, the Director of Maintenance, the Director of Tenant Selection, and the Human Services Director will supervise and oversee publication of the newsletter and have control over the contents of each newsletter.
   b. The three Area Human Services Coordinators plus three stipend resident volunteers shall be responsible for editing and producing the newsletter on a bi-monthly basis.
   c. Distribution of the newsletter will be through the rent office in each respective development or via the bulk mail in those developments where centralized rent collection has been implemented.

2. News releases will be prepared by the Public Safety Coordinator and submitted to the Executive Director and/or Assistant Executive Director for final approval.

   a. The Public Safety Coordinator will assist other department heads in preparing releases and reports of successful programs to be released to the press.
   b. The Public Safety Coordinator will assist other staff in coordinating public relation events and will insure that press coverage will be provided or that appropriate staff are contacted by the medias for indepth interviews on programs.

3. The Human Services staff will prepare periodic reports on events or conditions affecting the Authority and its residents for release to appropriate individuals.

   a. The staff will prepare and conduct annual needs assessments of Authority residents utilizing stipend resident volunteers and interns from the local colleges and universities.
   b. The staff will prepare an annual report on the characteristics of families in the Authority's application file and living in our developments.

TIME ALLOCATIONS:

1. Newsletter: Bi-monthly starting in September, 1984.

2. News Releases and Reports: 12 monthly.

3. Needs Assessments: January - April annually.

4. Resident and Applicant Characteristics: December annually.

VI. SCATTERED SITE PROGRAMS

GOAL: To increase the resources available to residents living in scattered site developments through coordination with churches, schools and agencies in the vicinity of the respective sites.

METHODS:

1. The Human Services staff and representatives of the respective developments will conduct a canvass of resources in and around the scattered site developments to determine the type of programs and services which may be available to residents.

2. The Human Services staff will assist the respective Residents' Organization in establishing planning committees consisting of representatives of area/neighborhood churches, schools, and organizations to:

   a. Conduct needs assessments;

   b. Plan and implement joint programs; and

   c. Leverage additional resources from community-wide programs and organizations.

TIME ALLOCATIONS:

1. Canvass of Resources: To be completed by December 1, 1984.

2. Formation of Planning Committees: To be implemented starting in September, 1984.

MONITORING AND REPORTING:

1. Monthly progress reports.

2. Annual report of services and needs of scattered sites.

APPENDIX C
COOPERATIVE AGREEMENT LIST

*BETHLEHEM CENTER	FOR SERVICES TO SOUTHSIDE HOMES RESIDENTS AND THE JOINT PLANNING OF PROGRAMS WITH THE AUTHORITY'S STAFF
*CHARLOTTE-MECKLENBURG URBAN LEAGUE	FOR TECHNICAL ASSISTANCE TO STAFF AND RESIDENTS' ORGANIZATIONS, THE TEENAGE PREGNANCY PROGRAM IN EARLE VILLAGE & BOULEVARD HOMES AND THE INVOLVEMENT IN THE YOUTH EMPLOYMENT PROGRAM
*CHARLOTTE-MECKLENBURG BOARD OF EDUCATION	FOR TECHNICAL ASSISTANCE AND STAFF INVOLVEMENT IN THE YOUTH CRIME PREVENTION PROGRAM, THE SCHOLARSHIP FUND AND OUR TUTORIAL PROGRAMS AND FOR THE DONATION OF EQUIPMENT AND MATERIALS TO OUR LEARNING CENTERS
*JOHNSON C. SMITH UNIVERSITY URBAN STUDIES DEPARTMENT SOCIOLOGY DEPARTMENT (2 AWARDS)	FOR INVOLVEMENT WITH THE SCHOLARSHIP COMMITTEE AND THAT OF IN PROVIDING INTERNS AND IN EVALUATING OUR SCATTERED SITES.
*MENTAL HEALTH & ALLIED SERVICES	FOR TECHNICAL ASSISTANCE AND SERVICES TO OUR STAFF AND RESIDENTS ESPECIALLY THE GUIDANCE AND SERVICES OF
*MECKLENBURG COUNTY MENTAL HEALTH	FOR TECHNICAL ASSISTANCE AND SERVICES TO OUR STAFF AND RESIDENTS, ESPECIALLY THE GUIDANCE AND SERVICES OF
*MECKLENBURG COUNTY SUBSTANCE ABUSE PROGRAM DIRECTORS ASSOCIATION	FOR THE CLOSE WORKING RELATIONSHIP WITH THE STAFF IN PLANNING SERVICES FOR RESIDENTS
*DRUG EDUCATION CENTER	FOR THE LOAN OF A STAFF PERSON ( ) TO OUR CRIME PREVENTION PROGRAMS

*MECKLENBURG COUNTY INFORMATION AND REFERRAL	FOR TRAINING RESIDENTS IN INFORMATION AND REFERRAL PRACTICES
*CHARLOTTE POLICE DEPARTMENT AND *CRIME PREVENTION DIVISION (2 AWARDS)	FOR MAINTAINING A CLOSE WORKING AND SUPPORTIVE RELATIONSHIP WITH ALL OUR DEPARTMENTS AND FOR ASSISTING IN CONDUCTING CRIME PREVENTION PROGRAMS IN ALL SITES
*CHARLOTTE-MECKLENBURG AREA FUND	FOR INVOLVEMENT IN OUR APPRENTICESHIP PROGRAM.
*ROBERT H. PINNIX, INC.	FOR HIRING RESIDENTS AT FAIRVIEW HOMES
*CHARTER OAK FARMS	FOR HIRING RESIDENTS OF PUBLIC HOUSING
*CENTRAL PIEDMONT COMMUNITY COLLEGE	FOR INVOLVEMENT IN OUR APPRENTICESHIP PROGRAM AND THE OLDER ADULTS PROGRAM
*U.S. DEPARTMENT OF LABOR BUREAU OF APPRENTICESHIP & TRAINING	FOR TECHNICAL ASSISTANCE IN THE APPRENTICESHIP PROGRAM

AGENCY	REPRESENTATIVE	SERVICES
*MECKLENBURG COUNTY CHAPTER OF THE NATIONAL CONFERENCE OF CHRISTIANS & JEWS		FOR CO-SPONSORSHIP OF THE YOUTH AND ELDERLY CRIME PREVENTION PROGRAMS AND YOUTH SPEAK-OUTS
*CHARLOTTE-MECKLENBURG COMMUNITY RELATIONS COMMITTEE		FOR CO-SPONSORSHIP AND ADMINISTRATION OF THE DISPUTE SETTLEMENT PROGRAM AND CO-SPONSORSHIP OF THE "RENT-A-KID" PROGRAM DURING THE SUMMER
*Y.W.C.A.		FOR SPONSORSHIP AND ADMINISTRATION OF THE AFTER-SCHOOL PROGRAMS AT OUR SCATTERED SITES
*C. W. WILLIAMS COMPREHENSIVE HEALTH CENTER		FOR WORKING WITH STAFF TO PLAN HEALTH CARE PROGRAMS FOR PUBLIC HOUSING RESIDENTS
*PROVIDENCE ROAD BAPTIST CHURCH		FOR LEADERSHIP IN AND SPONSORING AFTER-SCHOOL AND RESIDENT PROGRAMS AT THE PROVIDENCE ROAD SITE
*CHARLOTTE-MECKLENBURG YOUTH COUNCIL		FOR ASSISTANCE IN FINDING JOBS FOR YOUTHS
*NEIGHBORHOOD CENTERS DEPARTMENT		FOR PROVIDING TRANSPORTATION AND PROGRAM ASSISTANCE
*GETHSEMANE AME ZION ENRICHMENT PROGRAM		FOR PROGRAMS FOR YOUTHS AND ELDERLY AND ASSISTANCE IN PROVIDING TRANSPORTATION
*CHARLOTTE PARKS & RECREATION DEPARTMENT		FOR RECREATION CENTERS IN OUR SITES
*MECKLENBURG COUNTY SENIOR CITIZENS NUTRITION PROGRAM		FOR HOT LUNCH PROGRAMS FOR SENIOR CITIZENS AND PROGRAMS ON TRANSPORTATION ASSISTANCE
*COMMUNITY HEALTH ASSOCIATION		FOR REGULAR HEALTH CLINICS AT OUR SENIOR CITIZEN SITES
*UPJOHN HEALTH CARE SERVICES PROGRAM		FOR ON-SITE HEALTH CARE ASSISTANCE TO RESIDENTS
*COMMUNITY SCHOOL OF THE ARTS		FOR PROVIDING CULTURAL ENRICHMENT PROGRAMS TO PUBLIC HOUSING YOUTHS,

AGENCY	REPRESENTATIVE	SERVICES
*RESIDENTS ADVISORY COUNCIL		FOR INCREASED ASSISTANCE TO ALL OUR STAFF
*FAMILY HOUSING SERVICES		FOR CREDIT COUNSELING AND TRAINING WORKSHOPS FOR OUR RESIDENTS
*SEIGLE AVENUE PRESBYTERIAN CHURCH		FOR SERVICES TO RESIDENTS OF PIEDMONT COURTS

APPENDIX D
CHA SCHOLARSHIP FUND
BACKGROUND INFORMATION

CHARLOTTE HOUSING AUTHORITY SCHOLARSHIP APPLICATION

INSTRUCTIONS

Be sure you meet the criteria for a scholarship as outlined on the attached sheet.

You must complete pages 1 and 2 of the application form.

Be sure to include all the attachments required as listed on the bottom of page 1 and top of page 2 of the Criteria sheets and again listed on the bottom of page 2 of the application form. Begin to collect them NOW.

Your resident manager must complete page 3 of the application form.

The BUDGET FORM must be completed. If you know which school you will be attending, contact the financial aid officer at once to determine the maximum amount of financial assistance they will be able to give you. Do not wait to do this as their funds are limited and delay may mean all their funds have become committed before you apply for aid.

Deadline for return of applications to the Housing Authority Office is March 15th for primary consideration, April 15th for final consideration If you cannot complete the budget form by that date, be sure to return the three-page application form by then and get the budget form to us as soon as possible.

If you need any assistance, please call the Housing Authority Offices at 332-0051.

CHARLOTTE HOUSING AUTHORITY SCHOLARSHIP PROGRAM

CRITERIA

1. Must be a resident of a Charlotte Housing Authority Project.
   a. Living with parent(s) or legal guardian.
   b. Head of the household.
   c. If living with relative, must have been a resident at least two years, unless there are some extenuating circumstances approved by the Scholarship Committee.

2. Not over 21 years of age for a new enrollee or not over 25 years of age for a continuing student.

3. Accepted for enrollment in an accredited, degree awarding two-or four-year institution of higher learning or accepted for enrollment in an accredited institution for vocational training, or, upon receipt of a Charlotte Housing Authority grant, must present verification of acceptance in such an institution within 30 days.

GENERAL RULES

1. Grants shall apply only to institutions as defined above.

2. Grant award shall not discriminate on the basis of race, religion, sex or national origin.

3. Grants shall be awarded on the basis of scholarship achievement, school and community service and need.

4. A screening committee shall be established to determine the eligibility of applicants.

5. Interviews shall be conducted with applicants who meet the above criteria.

6. Priority will be given to current recipients. A CHA application must be submitted each year.

7. In order to continue receiving these funds, the recipient(s) must maintain "satisfactory academic progress" as defined by the particular institution attended and demonstrate continued need and eligibility as defined in the criteria.

8. Funds will be paid directly to the institution of enrollment unless special application is made to the Scholarship Committee.

INCLUDE WITH APPLICATION

1. Housing Authority Scholarship Application form.

2. High school or college transcript.

3. Projected budget (complete attached budget form).

INCLUDE WITH APPLICATION (CONTINUED)

4. Letters of Recommendation (no letters from relatives acceptable).

    a. From a person in the immediate community where applicant lives (either a resident or a Housing Authority staff member).
    b. From a teacher.
    c. From an employer, if applicant has a record of employment.
    d. From another person of the Charlotte-Mecklenburg area.

5. Statement of Goals.

CHARLOTTE HOUSING AUTHORITY SCHOLARSHIP APPLICATION

ANNUAL BUDGET FORM

NUMBER OF DEPENDENTS IN FAMILY:____________

NUMBER OF CHILDREN IN COLLEGE:____________

FAMILY INCOME FOR 1984

Mother's Income from Work	$__________
Father's Income from Work	$__________
Spouse's Income from Work	$__________
Your Income from Work	$__________
Social Security (Do not include educational benefits)	$__________
AFDC or ADC	$__________
Other Family Income	$__________

TOTAL FAMILY INCOME FOR 1984 $__________

CHA SCHOLARSHIP APPLICATION
BUDGET FORM
PAGE TWO

ANNUAL EXPENSES

Tuition	$________
Room & Board (When living on campus)	$________
Books & Supplies	$________
Transportation	$________
Meals (For commuting students)	$________
Other (Itemize)	$________

TOTAL EXPENSES $________

OTHER ANNUAL FINANCIAL ASSISTANCE

Scholarships	$________
Grant-In-Aid	$________
Supplemental Educational Opportunity Grant	$________
N. C. Legislative Grant	$________
Work-Study Program	$________
National Direct Student Loan (Guaranteed Loan)	$________
Pell Grant (Basic Educational Opportunity Grant)	$________
Other Aid (List)________________	$________
Amount to be Paid by You and/or Your Family	$________

TOTAL OTHER FINANCIAL ASSISTANCE $________

AMOUNT OF ASSISTANCE REQUESTED OF CHARLOTTE HOUSING AUTHORITY SCHOLARSHIP $________

Date:________________ Signature________________________________

CHARLOTTE HOUSING AUTHORITY SCHOLARSHIP APPLICATION

FULL NAME: ______________________________ SOCIAL SECURITY NO.: ____________

STREET ADDRESS: ____

CITY: ____________________ STATE: ______________ ZIP CODE: ____________

TELEPHONE: ______________ AGE: __________ DATE OF BIRTH: ______________

MARRIED: ________ SINGLE: ________ NUMBER OF YOUR DEPENDENTS: ______________

LIVING WITH PARENTS/GUARDIAN: ________ MAINTAINING OWN RESIDENCE: ______________

PARENTS'/GUARDIANS' NAME: ______________________________________

NAME & ADDRESS OF SCHOOL YOU ARE PLANNING TO ATTEND: ______________________

WILL BE A COMMUTING STUDENT: ________ WILL LIVE ON CAMPUS: ________ YOUR ADDRESS AT SCHOOL (IF KNOWN): ______________________________

WILL YOU BE A FULL-TIME STUDENT? ________

ORGANIZATIONS: Please list community organizations such as service organizations, volunteer organizations or church in which applicant is now active. Note leadership roles.

____

____

____

____

____

Please list community organizations in which applicant was previously (within the last five years) active. Note leadership roles.

____

____

____

____

SCHOOL EXTRA-CURRICULAR ACTIVITIES: Please list school extra-curricular activities in which the applicant has participated. Note leadership roles.

____

____

____

____

CHARLOTTE HOUSING AUTHORITY
SCHOLARSHIP APPLICATION
PAGE TWO

RECOGNITIONS: Please list important awards or recognitions received. Note organization presenting honor and date.

____

____

____

____

EMPLOYMENT HISTORY: List record of all employment, including name of supervisor, telephone number and dates.

____

____

____

____

NAME OF HIGH SCHOOL ATTENDED: __________________________________

NAME OF INSTITUTION OF HIGHER EDUCATION ATTENDED (IF APPLICABLE:) ____________

PLEASE ATTACH THE FOLLOWING TO THIS APPLICATION:

1. High school or college transcript.
2. Completed budget form.
3. Letters of recommendation (no letters from relatives acceptable):
   a. From a person in the immediate community where applicants lives (either a resident or a Housing Authority staff member).
   b. From a teacher.
   c. From an employer, if applicant has a record of employment.
   d. From another person of the Charlotte-Mecklenburg area.
4. A statement of applicant's goals for his/her life.

I certify that I am a resident of ______________________________, a Charlotte
(Name of Development)
Housing Authority development.

____
(Signature)

Please have housing project Manager complete the following:

I certify that ______________________________ has been a legal resident
(Applicant's Name)

of the Charlotte Housing Authority's ______________________________
(Name of Development)

project since ______________________.
(Date of Lease)

____
Signature of Resident Manager

Announcement

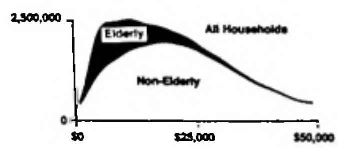
The American Housing Survey:
A Comprehensive One-Stop Look at the Nation's Homes and People

The AHS is useful to city managers, banks, marketing departments, builders, fuel companies, developers, manufacturers, brokers, and strategic planners. Information is gathered through 50,000–150,000 interviews per year.

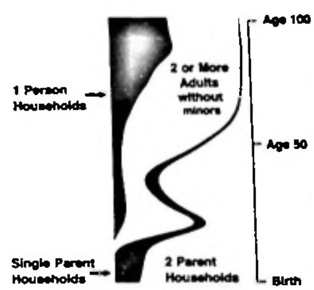
Subject Areas Include:

- Age, race, sex, disabilities.
- Number of rooms, bedrooms, baths.
- Neighborhood quality.
- Commuting, reasons for moving, details about former home.
- Plumbing, kitchens, heating, air conditioning, insulation.
- Condition of homes, repairs made, date built, why houses were no longer used.
- Mobile homes, housing value, rent, mortgage, utility costs.
- Income from wages, pensions, investments, welfare.

Here are just two uses of AHS data:



U.S. Households, by the Average Income Each Had in Last 1–5 Years



Four Kinds of Households, and the Ages When People Live in Them

How to Order:

AHS books are available for a small handling charge from HUD USER, P.O. Box 280, Germantown, MD 20874, tel. (800) 245–2691 or (301) 251–5154.

Three volumes contain overviews:

Book A compares cities, suburbs, and nonmetro areas.
Book C compares various incomes and housing costs.
Book E compares urban, rural, metro, and nonmetro areas.

Three other volumes focus on special topics:

Book B looks at housing and neighborhood quality.
Book D focuses on people who moved that year.
Book F highlights energy: utilities and commuting.

In addition, a separate book is published on each large metropolitan area.

Computer tapes and microfiche: Data User Services Division, Census Bureau, Washington, DC 20233, tel. (301) 763–4100.

Free advice, special tabulations, and special tapes: AHS Data Project, Abt Associates, 55 Wheeler Street, Cambridge, MA 02138, tel. (617) 497–7182.

*U. S. GOVERNMENT PRINTING OFFICE 1986; 623-164/00492

DATE DUE

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Washington, D.C. 20410

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HUD - 401

U.S.MAIL

July 1986
HUD-1052-PDR

U.S. DEPARTMENT OF HOUSING AND URBAN DEVELOPMENT

EQUAL HOUSING OPPORTUNITY