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Case Studies of Effective Management Practices within Public Housing Agencies

Volume 3

Rental and Occupancy

**CASE STUDIES OF EFFECTIVE MANAGEMENT PRACTICES
WITHIN PUBLIC HOUSING AGENCIES**

Volume 3:

RENTAL AND OCCUPANCY

DEPARTMENT OF HOUSING
AND URBAN DEVELOPMENT

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by

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Decision Information Systems Corporation

for

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Harvey Dickerson
Project Director
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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 rental and occupancy functional category and contains two 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. 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 RENTAL AND OCCUPANCY FUNCTION

The functional area of rental and occupancy involves a range of processes which establish, maintain and, if necessary, terminate the landlord-tenant relationships that exist between a public housing agency and its residents. As such, the rental and occupancy function is a very visible aspect of a public housing agency's operations. This overview is divided into three sections, which describe three subfunctions of rental and occupancy: ground rules, vacancy procedures, and occupancy procedures.

Ground Rules

As with other PHA functions, rental and occupancy operates

according to set policies and procedures. The ground rules, which are set and approved by the general administration function but implemented by rental and occupancy, must conform with federal (HUD) regulations and state laws. Foremost among these rules are policies that govern the terms of residence. Before any unit is let, a PHA has to establish a policy regarding eligibility criteria for admission and rents. Additionally, most agencies have in place a system that determines priorities among applicants.

The dwelling lease is more than a basic document which establishes a legal relationship between a housing agency and its residents--it reflects the rental and occupancy policy of a PHA. While subject to certain standard requirements, all PHA leases include special provisions that reflect the unique operating environment of the agency.

Vacancy Procedures

Established ground rules allow an agency to perform basic rental and occupancy duties on a routine basis. When vacancies occur, it is the responsibility of rental and occupancy to attract potential tenants, screen the pool of applicants, and subsequently lease apartments to those found eligible and acceptable. This subfunction involves accepting initial applications (or seeking applicants using various marketing techniques), making preliminary determinations of eligibility, and maintaining a waiting list. In doing so, PHAs are obligated to meet all existing affirmative action and fair marketing regulations.

When units become vacant, the backgrounds of the applicants at the top of the waiting list are checked more thoroughly. Income and household size are verified. Some agencies expand the screening process to include information such as employment background, credit history, health, ability to live independently, housekeeping patterns, police records, etc. Next, the agency calculates the potential tenants' required rent contri-

bution. The final step in the process is to match "suitable" applicants with available units. The applicant inspects the unit, signs the lease, receives an orientation, and moves in.

Occupancy Procedures

The rental and occupancy function has several key responsibilities once a tenant has occupied a unit. The primary duty is to collect rents and other charges (e.g., excess utilities or damages). This practice entails creating a collection procedure, posting receipts and sending delinquency notices. Another important task of this subfunction is conducting annual reexaminations of tenants' eligibility, and verifying income and adjusting rents accordingly. Many agencies have provisions to make interim reviews due when changes in a tenant's circumstances (e.g., illness, layoff, etc.) affect his or her ability to pay. In addition, it is normally the responsibility of rental and occupancy staff to ensure that tenants meet their obligations--and if necessary--to take steps to evict those who do not. This monitoring task is often shared to some degree with the finance and accounting functional area.

Rental and occupancy staff are also in charge of handling special tenant problems, which result in rental delinquencies or lease violations. If such problems cannot be resolved through internal lobbying or counseling, the agency may have to resort to procedures to terminate the lease. (It should be noted that all PHAs are required to provide grievance procedures, through which residents have an opportunity to file formal complaints against the agency.) If legal action is taken, it usually requires the involvement of the general administration functional area. Finally, if a tenant moves out voluntarily or is evicted, rental and occupancy coordinates with the maintenance and custodial functional area to prepare the vacant unit, and with the finance and accounting functional area to assess any charges to tenants' accounts.

ABOUT THE RENTAL AND OCCUPANCY STUDIES

This document contains case studies describing practices at: Fayetteville Metropolitan Housing Authority in Fayetteville, North Carolina, a medium-sized agency; and St. Paul Public Housing Agency in St. Paul, Minnesota, a large agency.

Fayetteville Metropolitan Housing Authority (FMHA) has in place a very effective rental and occupancy system, which has kept occupancy related problems to a minimum and helped the agency to achieve a high rent collection rate. The overall system is highlighted by strong marketing, screening and selection practices.

St. Paul Public Housing Agency (SPPHA) has three effective rental and occupancy practices. These are: 1) resident hearing committees, which review appeals by applicants denied admission by SPPHA rental officers; 2) annual dwelling lease compliance reviews of all in-possession tenants prior to lease renewal; and 3) guidelines for assessing elderly and handicapped tenants' ability to live independently. These practices separately and together have aided SPPHA by cost-effectively circumventing and/or resolving occupancy related problems. At the same time, the agency has enhanced its image with the tenant population.

With this brief overview of the rental and occupancy function, two case studies are presented in the remainder of this document.



PART I. FAYETTEVILLE METROPOLITAN HOUSING AUTHORITY

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FUNCTIONAL AREA:

Rental and Occupancy

EFFECTIVE MANAGEMENT PRACTICES:

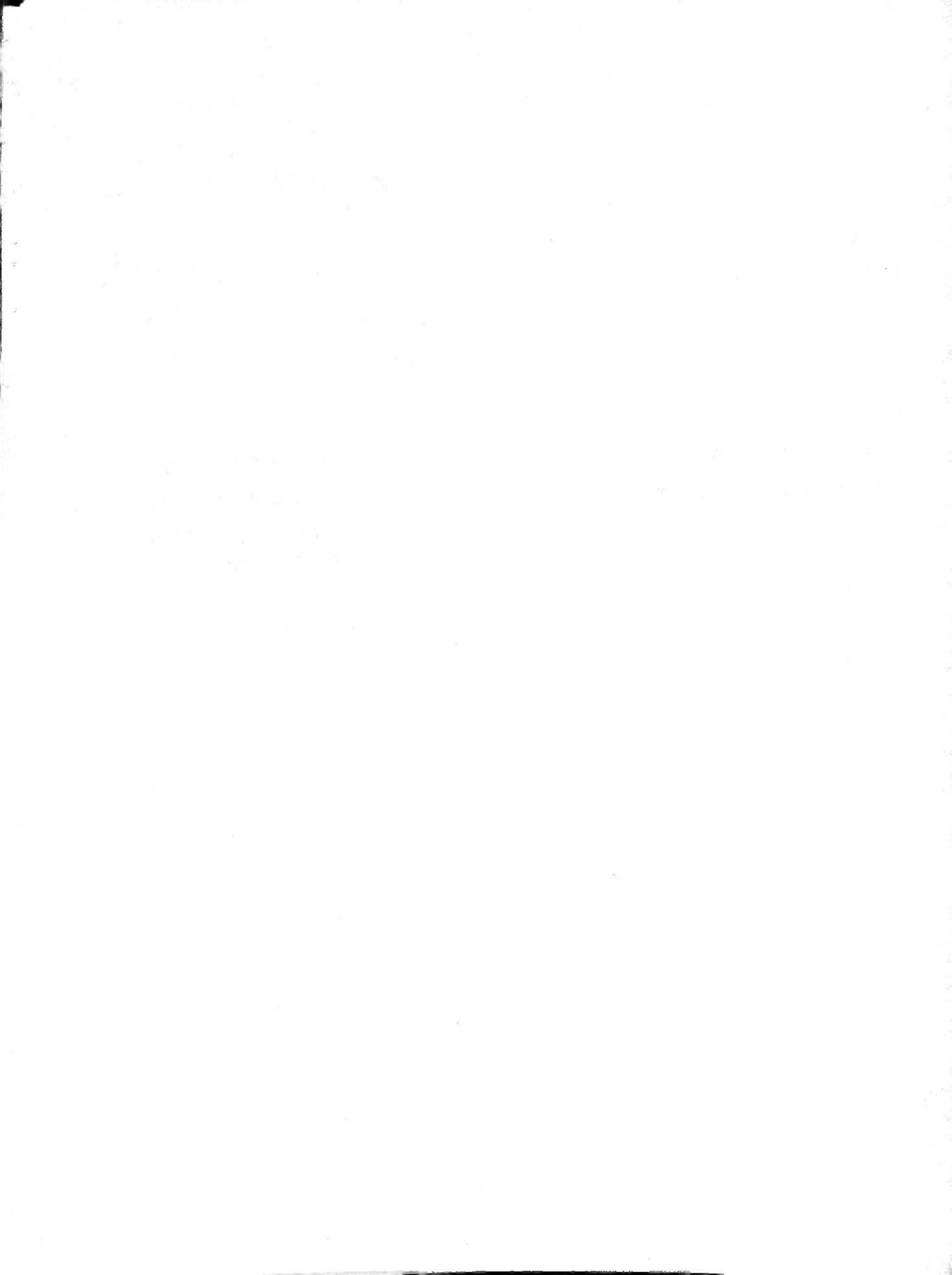
**Aggressive Marketing,
Screening, Selection,
and Networking**

AGENCY:

**Fayetteville Metro-
politan Housing
Authority**

SIZE:

Medium



EXECUTIVE SUMMARY

This case study describes the aggressive management practices of marketing, screening, selection, and networking within the rental and occupancy cycle at Fayetteville Metropolitan Housing Authority. An overview of the agency's operations is provided following this executive summary.

The rental and occupancy cycle includes:

- the establishment, maintenance, interpretation, revision and enforcement of local policies and procedures based on the U.S. Department of Housing and Urban Development (HUD) guidelines;
- the attraction of potential residents to the low-income housing program by outreach and marketing; and
- the screening and processing of applicants for eligibility for continued occupancy and selection.

Additional tasks included in the cycle are maintenance and processing of interim rent reporting systems, background investigation, lectures, briefings and orientation programs, and the establishment of cooperative relationships with local social service agencies and the general public through effective networking and outreach procedures.

The effective management practices in the rental and occupancy cycle have helped decrease maintenance costs for vandalized vacant units, reduce crime rates, improve the livability and marketability of communities, and reduce the stigma attached to public housing in Fayetteville.

Many of the rental and occupancy practices at Fayetteville are more than likely already in effect, to some degree, at other housing agencies. Fayetteville has managed to fine-tune its marketing, screening, selection, and networking practices so that the rental and occupancy cycle is not interrupted. Procedures are straightforward and formally recorded, and position

descriptions are such that staff understand their roles in the cycle. The tasks and procedures are clearly documented by the forms and reports generated by staff throughout the cycle. Transferability to other agencies would easily be achieved by careful attention to detail in initiation and execution of rental and occupancy practices.

FAYETTEVILLE AT A GLANCE

CHARACTERISTICS

DATA

Total Stock:	928 units in eleven projects of conventional LIPH; 128 units in four projects of leased rental housing
● Projects for Families:	14 projects
● Projects for Elderly Tenants:	1 project
● Unit Sizes:	one-bedroom 18 percent two-bedroom 38 percent three-bedroom 38 percent four-bedroom 5 percent five-bedroom 1 percent
● Largest Project:	Campbell Terrace (220 units)
● Smallest Project:	North Street (8 units)
● Oldest Projects:	Grove View Terrace and Delona Gardens (1942)
● Newest Project:	McNeill Apartments (1984)
Demographics:	
● One-Parent Households:	72 percent
● Minority Tenants:	87 percent
● Children Under 18:	52 percent
Operations:	
● Operating Expenditures:	\$177.87 (PUM)
● Dwelling Rentals:	\$ 81.61 (PUM)
● Operating Reserves:	28 percent of allowable level
● Staffing:	62 employees: 36 maintenance; 26 administrative



I. THE OPERATIONS OF THE RENTAL AND OCCUPANCY CYCLE AT FAYETTEVILLE METROPOLITAN HOUSING AUTHORITY

As with all public housing agencies, Fayetteville Metropolitan Housing Authority (FMHA) is required to establish certain procedures and terms of occupancy in conformance with federal regulations and state law. Although the PHA's general administration function is responsible for establishing rental and occupancy policies, they are administered by the rental and occupancy staff. The rental and occupancy staff of FMHA seeks to ensure that all tasks and occupancy functions are carefully executed and meticulously documented. The primary goal of the rental and occupancy cycle is to house low-income families in the most efficient and effective manner. In order to achieve this goal, FMHA has incorporated effective and aggressive practices in the areas of marketing, screening, selection, and networking. These practices are the focus of this case study.

KEY ACTORS

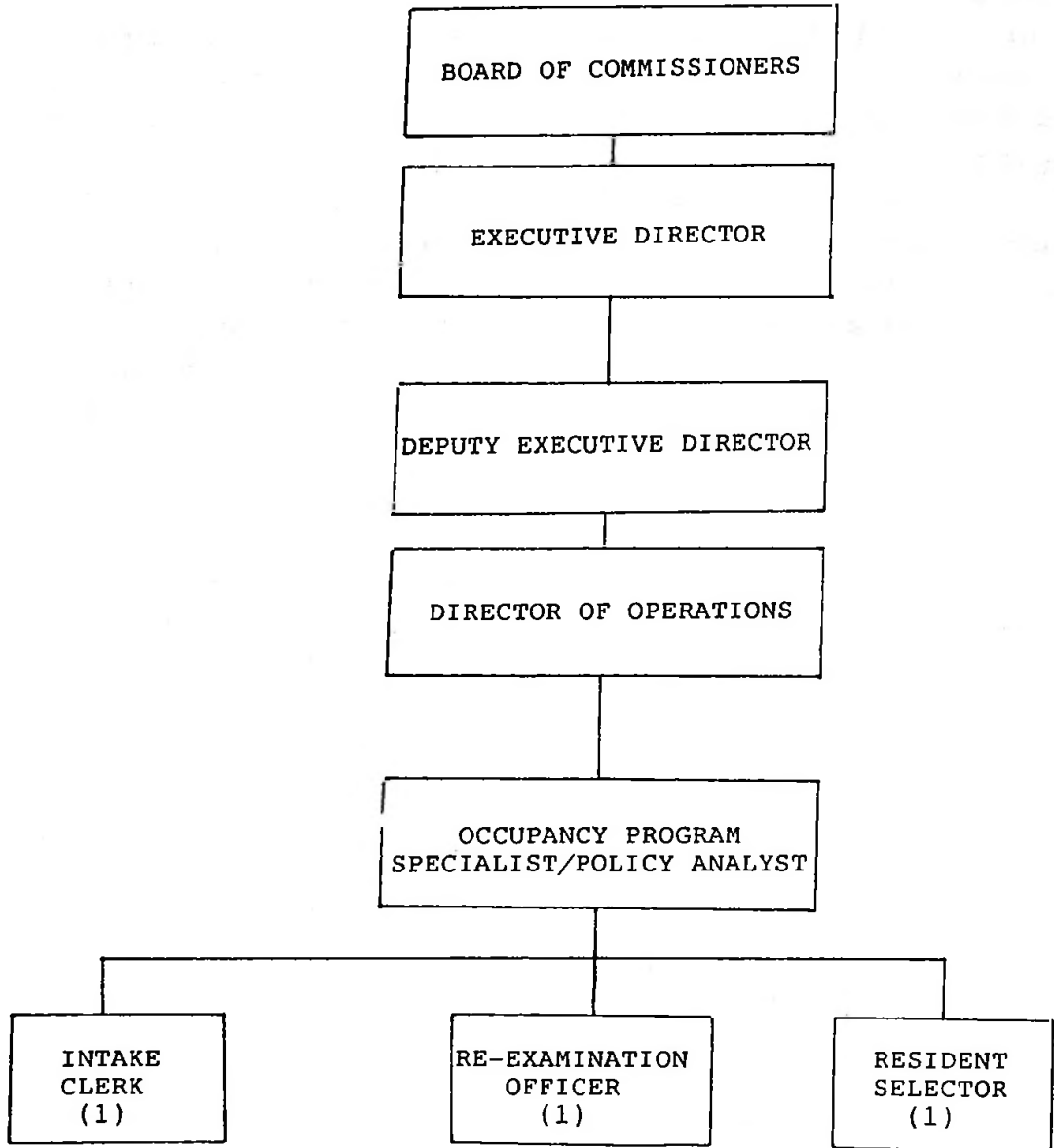
The success of the effective management practices depends upon the support and cooperation of FMHA staff and to a lesser degree that of other agencies. These two groups are discussed below.

Key Actors Within FMHA

The board of commissioners, the executive director, the deputy executive director, and the director of operations comprise top level management that are responsible for policy making for the rental and occupancy function. They generally are responsible for assuring that FMHA's rental and occupancy procedures follow federal, state and local regulations and guidelines.

The key actors within FMHA who are involved in the effective management practices are depicted in Exhibit I-1. This function includes the authority flow from top level management to departmental staff.

EXHIBIT I-1
ORGANIZATION AND AUTHORITY FLOW OF
THE RENTAL AND OCCUPANCY CYCLE



The occupancy specialist serves as an assistant to the director of operations and performs administrative duties and planning and analysis functions in support of new and ongoing FMHA public housing programs. The specialist also supervises operations of the occupancy office. A detailed description of all of duties and responsibilities of this position appears in Appendix A. The occupancy staff consists of four full-time persons who perform the daily tasks associated with housing the city's low-income residents. The narrative below summarizes the responsibilities of each position and job descriptions for all appear in Appendix A.

The intake clerk has the responsibility for the initial application intake process and maintains files according to the Department of Housing and Urban Development (HUD) guidelines. The intake clerk also performs general clerical functions for the occupancy office. Continued occupancy eligibility is handled by the reexamination officer. The reexamination officer is responsible for implementing lease agreements, and referring transfers and special cases to management. Specialized screening and selecting of applicants for public housing programs are the responsibilities of the resident selector. The duties of this position include verification and certification of reports to determine occupancy eligibility and selection, completion of interviews, initiation of rent changes, and coordination of vacancy activities.

The FMHA staff in general are supportive of the rental and occupancy cycle, and therefore, are instrumental in the maintenance of the effective practices. Because the cycle includes steps from unit availability through move-out and availability again, several other departments must interact with the occupancy department to ensure that the cycle does not break down. For example, inspections prior to occupancy are done by housing management staff in the presence of the new resident. Vacancies that are voluntary or necessitated by eviction or transfer and unit inspections after a move-out all primarily are handled by housing management staff. And, after a move-out, maintenance staff must repair the unit and prepare it for a new resident.

Regardless of which department performs a task, the occupancy staff must interact with other departments to ensure that occupancy policies are being carried out. Exhibit I-2 shows the organization of FMHA including the occupancy division and its relation to other divisions.

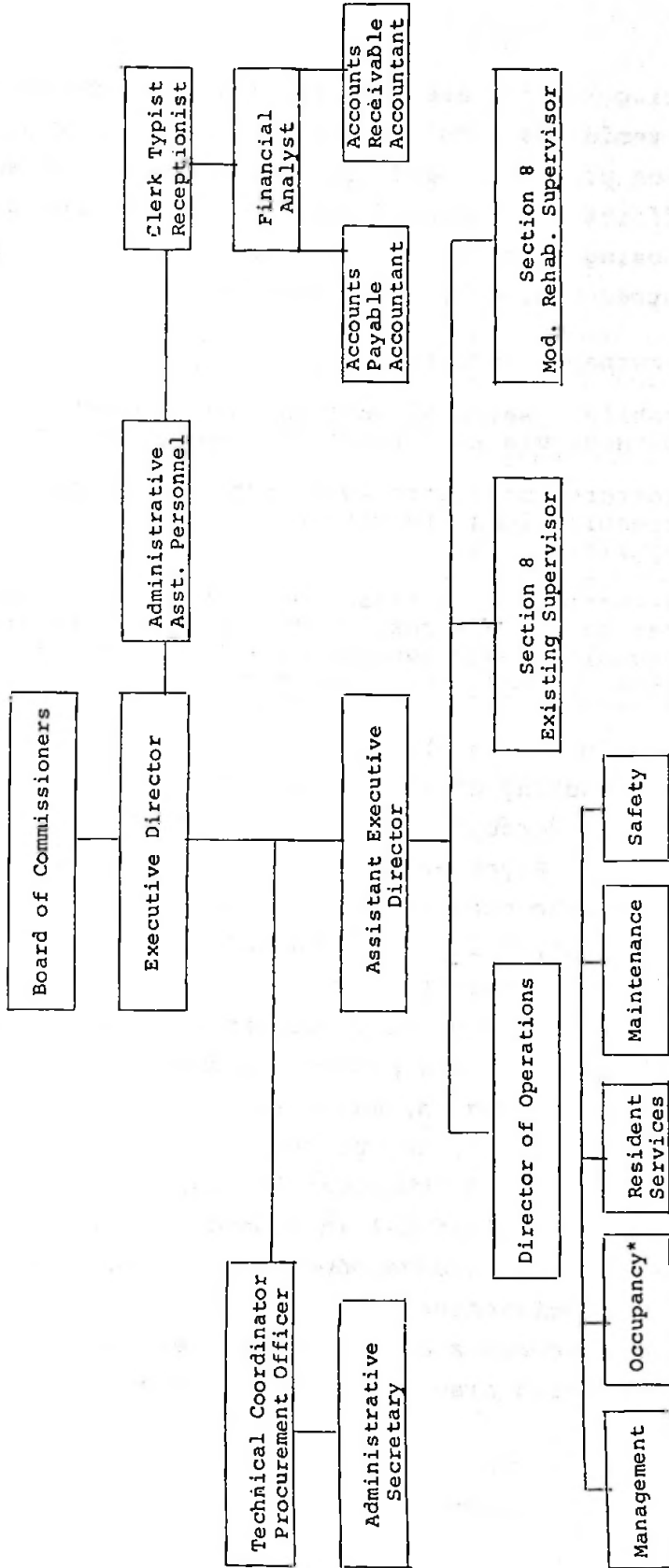
Key Actors Outside FMHA

In addition, several organizations, agencies, and private individuals support and cooperate with the occupancy staff and FMHA in maintaining the effective management practices. FMHA's marketing outreach efforts target such organizations as city and county governmental agencies, military community services, local churches, civic organizations, local universities, and the news media. The agency's networking efforts, undertaken to provide effective social services to its residents, entail cooperation and coordination with such groups as the Inter-Agency Council--the membership of which includes social services agencies, job training programs, vocational rehabilitation programs, consumer credit service agencies, and senior citizen programs. In addition, FMHA maintains a good relationship with the local police department, the mayor's office, the city council, the county commissioners, and the HUD field office.

AN OVERVIEW OF THE RENTAL AND OCCUPANCY EFFECTIVE MANAGEMENT PRACTICES AT FMHA

Rather aggressive marketing, screening, selection, and networking practices were implemented by FMHA to: attract a larger number of applicants; educate the community about low-income housing programs; develop and maintain socially and economically balanced housing communities; and to provide more effective social service delivery to public housing residents. These practices are described in the following sections.

**EXHIBIT I-2
FAYETTEVILLE METROPOLITAN HOUSING AUTHORITY ORGANIZATION**



* Has primary responsibility for the rental and occupancy cycle.

Marketing

Marketing plans are generally implemented to attract potential residents during phases of new construction, modernization programs, and as needed, when vacancies occur. Outreach efforts are directed towards alerting the general public that the housing agency has low-income housing available. The forms of outreach used by FMHA include:

- newspaper advertisements;
- public service announcements--cost free methods via television and radio stations;
- letters and fliers to church groups and civic organizations requesting them to refer applicants; and
- letters and fliers to private industry, personnel offices, and housing referral agencies (such as the military) requesting them to post the fliers and refer applicants.

PHAs also may wish to advise local social service agencies of low-income housing availability. These efforts are targeted toward strategic groups that disseminate the information to various groups of Fayetteville-Cumberland County residents. The public service announcements via the news media are particularly helpful and effective in disseminating the information throughout the Fayetteville, Cumberland County, and Fort Bragg areas because they tend to reach the greatest number of prospective applicants. The targeted agencies are provided background information about the public housing program, which includes the history of public housing in Fayetteville, new programs, eligibility requirements, unit availability, and the overall purpose of the low-income housing program. Exhibit B-1 in Appendix B is a sample marketing plan for one of FMHA's developments. It outlines the outreach efforts used to disseminate information about the development. Additional announcements and letters used as part of marketing and outreach efforts also are included in Appendix B.

Screening

The screening procedures include application intake and verification of applicant information. Applications are taken only at the occupancy office and the applicant must be a responsible member of the family who desires housing. The intake clerk handles all applications, and during the initial contact with an applicant, explains what information will be required, why it is necessary, and that all information will remain confidential. If a formal application is taken at this time the clerk completes the application form and gets the applicant to sign it. The clerk then assigns an application number and logs in the application.

After the application is completed and the logged in, income information has to be verified. The most common sources for income verification for applicants are employment, business income, court-ordered child support, alimony, social security, AFCD, unemployment compensation, retirement benefits, and veteran benefits. The occupancy office has developed standardized forms for verification of income from the sources mentioned. They are included in Appendix C and will be outlined in the section on forms and reports.

In addition to verifying income, the intake clerk checks the criminal and credit histories of the applicant. Once the income has been verified and the criminal and credit histories prove satisfactory, the resident selector calculates the rent and returns the application to the intake clerk for a recheck of all numbers and calculations. The application then goes to the occupancy specialist for certification of eligibility. The application will be returned to the intake clerk either certified eligible or ineligible. If eligible, the clerk adds the application to the waiting list, prepares a file card with the applicant's name and sends a letter to the applicant informing him/her of the eligible status. If the applicant is determined to be ineligible, a letter is sent stating why and what appeal procedures are available.

FMHA staff have prepared forms to support all screening procedures. These procedures are well documented, and all staff

responsibilities are delineated in the Occupany Procedures document presented in Appendix D.

Selection

The selection process includes: selecting an applicant from the waiting list or from the transfer list; orientation; and conducting a housekeeping inspection. The resident selector is responsible for most tasks in this area and coordinates with other divisions to complete the other related tasks. The variables considered when selecting a potential resident for occupancy include:

- bedroom size of available unit;
- rent range; and
- date and time of application.

The resident selector selects the applicant using the variables identified above. Residents that are transferring, including residents displaced in ensuring modernization, have priority over new applicants. Orientation is the procedure used for preparing a family for occupancy. Prior to moving into a unit, each family must participate in an orientation presentation. As part of the presentation, the family receives a slide show and orientation materials that provide background information on the Fayetteville Metropolitan Housing Authority and its operations. A sample orientation packet is included in Appendix C. The slide presentation addresses the same subject areas that the orientation packets cover and assures that FMHA's rules and policies are presented to applicants at least twice. Both of these orientation tools contain basic information on what is expected of applicants who become residents. The topics covered include:

- rent policies--including when rent is due and what happens if rent is delinquent;
- additional charges--this section explains excess utility charges and other maintenance and repair charges;

- security deposit--applicants are instructed on the use, payment and return of the security deposit;
- maintenance policies--explains that all problems that concern household maintenance should be immediately reported to the maintenance department; and
- the public safety/crime prevention program.

In addition to the mandatory viewing of the slide presentation, applicants are required to participate in additional orientation programs. They are:

- lease review;
- review of admission and recertification procedures;
- grievance procedure review;
- review of community services; and
- review of maintenance standards for their unit.

The following activities complete the selection subfunction and must be completed prior to an applicant's move-in to a FMHA public housing unit:

- application;
- income verification;
- eligibility certification;
- orientation;
- selection from waiting list or transfer list;
- home visit; and
- previous housing report.

At this point in the occupancy flow, each applicant file folder with the selection letter is sent to the appropriate manager and the selection process is complete. FMHA's selection procedures are thoroughly documented in the agency's procedures manual (See Appendix D).

Networking

The occupancy office, in conjunction with the resident services office, takes an active role in ensuring that residents are provided effective supportive services. By ensuring a good system of social service delivery to residents, the occupancy office avoids many occupancy-related problems. Networking with local agencies, such as social services, social security, job training programs, vocational rehabilitation, consumer credit, and senior aides programs, provides an array of referral sources. In some instances, the cooperative relationship with various agencies reduces the processing time needed to certify and recertify residents.

The philosophy behind the cooperative relationship with local agencies is that residents who are provided supportive services, and who understand the use of these services, make better residents. This reduces the likelihood of occupancy problems such as frequent turnover and illegal activities in violation of the lease. A good supportive services system enhances the probability of a stable, viable community.

The networking function is informal and was never really "established." The agencies involved have taken the time and effort to learn what each agency does and the services each provides. This allows agencies to refer clients from one agency to the other as their needs require. The function is maintained by constant contact among agencies including FMHA.

The Occupancy Cycle Continued

The occupancy cycle includes procedures that are initiated and handled by divisions of FMHA other than the occupancy office. Once an applicant becomes a resident, most procedures, except recertification, are the responsibility of the management office, resident services or maintenance.

The procedures from unit availability through recertification are initiated and handled by occupancy staff. The procedures from move-out to availability are initiated by other divisions of FMHA.

Forms and Reports

Remaining forms that relate to marketing and outreach functions are presented in Appendix B. The forms and reports described in this section relate to screening and selection practices and appear in Appendix C. They can be summarized into four categories: application intake; verification of income; selection; and pre-move-in. Exhibits I-3 through I-6 categorize these forms, and give the title of the form, its purpose and appendix reference.

In addition to the forms used in conjunction with screening and selection of applicants, FMHA has devised forms for other procedures of the occupancy cycle including interim changes, tenant transfers, and recertification. Exhibit I-7 lists these form and reports, describes their use, and gives an appendix reference.

Finally, occupancy staff are responsible for several reports that are forwarded to the director of operations. These are used to support communications with management staff and the board, and to aid decision making and policy formulation in the occupancy area. Exhibit I-8 lists these reports.

Training

The effectiveness of the rental and occupancy cycle at FMHA is quite dependent on the provision of adequate training for all personnel.

The training of staff initially is done by familiarizing them with the procedures and accompanying forms found in the procedures manual. The procedures manual serves as a definitive source for determining how things are to be done within the agency. It is used as an orientation and training tool for new employees, a reference for all employees whenever clarification of procedure is needed, and as a basis for conducting management audits that compare current practices with those previously established.

As an orientation and training tool, the manual is assigned as required reading and the supervisor or department head generally reviews the relevant procedures with the employee. The

EXHIBIT I-3

FORMS AND REPORTS USED IN THE APPLICATION IN TAKE PROCESS

TITLE OF FORM/REPORT	PURPOSE	APPENDIX REFERENCE
Application for Admission	To gather information to determine eligibility	Exhibit C-1
Addendum to Application	To determine status as a nonimmigrant student alien (eligibility)	Exhibit C-2
Progress Report	To document status of application and record services and action taken when applicant becomes a resident	Exhibit C-3
Form Letter: Insufficient Information from Applicant	To receive additional information regarding eligibility	Exhibit C-4
Form Letter: Eligible But No Apartment Available	To notify applicant of length of waiting period for apartment	Exhibit C-5
Form Letter: Ineligible and Reason; Hearing	To notify applicant of the reason for ineligible status	Exhibit C-6

EXHIBIT I-4

FORMS AND REPORTS TO VERIFY INCOME

TITLE OF FORM/REPORT	PURPOSE	APPENDIX REFERENCE
Employment Income Verification Form	To verify applicant's income from employment	Exhibit C-7
Statement of Business Income and Expenses	To verify applicant's income from a business	Exhibit C-8
Form Letter: Child Support and/or Alimony Paid Through the Court	To verify applicant's income from court ordered support or alimony	Exhibit C-9
Form Letter: Voluntary Support or Alimony	To verify applicant's income from voluntary support, alimony and/or contribution payments	Exhibit C-10
Form Letter: Consent to Provide Information Cover Letter	To authorize social services to provide amount of applicant's public assistance grant	Exhibit C-11
AFDC Income Verification Form	To verify applicant's income from AFDC-public assistance	Exhibit C-12
Form Letter: Consent to Provide Information Cover Letter	To authorize the Social Security Administration to provide amount of applicant benefits	Exhibit C-13
Verification and Consent Form for Income From Unemployment Insurance	To consent to release of information and verify amount of applicant's benefits	Exhibit C-14
Verification and Consent Form for Income From Veteran's Benefits	To consent to release of information and verify amount of applicant's benefits	Exhibit C-15

EXHIBIT-5
PRE-SELECTION/MOVE-IN FORMS

TITLE OF FORM/REPORT	PURPOSE	APPENDIX REFERENCE
Form Letter to Prospective Resident Regarding Orientation	To notify applicant that he is being considered for housing and must complete orientation	Exhibit C-16
Orientation Packet	To acquaint applicant with FMHA policies that concern tenants and FMHA sponsored programs	Exhibit C-17
Applicant Orientation Progress Report	To record applicant's orientation progress	EXHIBIT C-18
Orientation Completion Memo	To record applicant's successful completion of orientation	EXHIBIT C-19
Home Visit Waiver	To waive the home visit requirement	EXHIBIT C-20
Pre-Occupancy Home Visit Form	To record results of visit	EXHIBIT C-21
Previous Housing Record and Cover Letter	To inform applicant's landlord of FMHA's policy and collect information on applicant's housing record	EXHIBIT C-22

EXHIBIT I-6

SELECTION FORMS AND REPORTS

TITLE OF FORM/REPORT	PURPOSE	APPENDIX REFERENCE
Notification Letter of Possible Unit Available and Amount of Security Deposit	To notify applicant that an apartment may be available with an approximate date and amount of security deposit	Exhibit C-23
Selection Letter	To inform applicant that an apartment is available, amount of rent and to give a contract deadline	Exhibit C-24
Form Letter: Permission to Pay Security Deposit in Part Prior to Move-In	To inform the manager that an applicant has been approved to pay only part of the security deposit prior to move-in	Exhibit C-25
Form Letter: Application Completion Check Off List	To inform applicant of items to be completed before move-in	Exhibit C-26

EXHIBIT I-7

OTHER OCCUPANCY FORMS

TITLE OF FORM/REPORT	PURPOSE	APPENDIX REFERENCE
Interim Determination of Income and/or Family Composition	To calculate and implement interim rent changes as required by HUD guidelines for residents with income or family composition changes	Exhibit C-27
Application for Continued Occupancy	To determine a family's eligibility for continued occupancy. This application is used during re-examination	Exhibit C-28
Progress Report: Criteria for Continued Occupancy	To record progress of interim or reexamination of tenant	Exhibit C-29
Form Letter to Resident Whose Income Exceeds Allowable Limits	To inform resident that his income is over the limit set by law for occupancy in public housing and to explain the procedures for move-out and circumstances for remaining as a tenant	Exhibit C-30
Transfer of Resident	To notify resident that based on results of reexamination he will be transferred to another unit	Exhibit C-31
Notice of Pre-Transfer Housekeeping Inspection	To notify resident that a housekeeping inspection is required before transfer and give the scheduled date	Exhibit C-32
Resident Inspection Check List	To record housekeeping habits of resident	Exhibit C-33

EXHIBIT I-7 (continued)

TITLE OF FORM/REPORT	PURPOSE	APPENDIX REFERENCE
Notification of Special Reexamination Form	To notify resident that FMHA has been unable to accurately estimate his income and must re-examine in 90 days to establish stable rent. To inform resident to report every 30 days to attest to no change in income or to report changes	Exhibit C-34
Fluctuating Income Statement Form	To record resident's attestation that his income has not changed over the last 30 days	Exhibit C-35
Tenant Information Form	To record changes and additions to resident's file	Exhibit C-36

EXHIBIT I-8
OCCUPANCY REPORTS

TITLE OF FORM/REPORT	PURPOSE	APPENDIX REFERENCE
Occupancy Report - Weekly	To record weekly occupancy statistics	Exhibit C-37
Occupancy Report - Monthly	To record monthly occupancy statistics	Exhibit C-38
Occupancy Priority Listing (Selection Schedule)	To indicate priorities for selection by rent paying ability	Exhibit C-39

occupancy specialist gives in-service training on occupancy procedures to all supervised staff periodically, and as it becomes necessary, if certain procedures are not being followed or are not thoroughly understood.

In addition to in-service training provided by the occupancy specialist, staff are occasionally trained by HUD staff. This is particularly true when HUD guidelines have been changed or new guidelines have been implemented.

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II. WHY THE MARKETING, SCREENING, SELECTION, AND NETWORK PRACTICES ARE EFFECTIVE

INDICATORS OF EFFECTIVENESS

The strongest indicators of the effectiveness of the documented management practices at FMHA are the decline in evictions--one in November 1984, down from five in December 1983; the decline in rent delinquencies--all quarters in 1984 show a decline over 1983 except the first quarter; and the decrease in maintenance costs for vandalized vacant units. Other indicators that are not as measurable include an improvement in the quality of life in the developments, the improved marketability of apartments and the improved financial stability in the communities. Exhibit II-1 shows evictions for a twelve-month period beginning December 1983 and ending November 1984. The number of evictions in December 1983 was five and they have decreased since.

The occupancy office maintains good statistical data on rent ranges, average rents, residents' income, family composition, ethnic information, application intake, and applicant selection. These data are charted and used to develop trend information. Specific statistical goals have been set in these areas and are compared to the actual levels attained. The occupancy comparisons for the calendar year 1984 include application intake, applicant selections, and applicant average rent from January through October 1984.

Exhibit II-2 presents the planned and actual monthly application intake for January through October 1984. The application intake during August 1984 reflects the opening of a new development.

For seven of the ten months recorded FMHA took in more applications than they had planned or projected. Exhibit II-3 presents the planned and actual monthly applicant selections for January through October 1984.

EXHIBIT II-1
 FMHA EVICTIONS---DECEMBER 1983 THROUGH NOVEMBER 1984

R E A S O N	Dec 83	Jan 84	Feb	Mar	Apr	May	Jun	Jul	Aug	Sep	Oct	Nov	TOTAL
Rent	4	2	0	0	2	0	2	1	0	3	0	0	14
Unauthorized Dweller	1	0	0	0	1	0	0	0	0	0	0	1	3
Assault	0	0	0	0	0	0	0	1	0	1	2	0	4
Housekeeping	0	0	0	0	0	0	0	1	0	0	0	0	1
Misrepresentation	0	1	0	0	0	0	0	0	0	0	0	0	1
Drugs	0	0	0	0	0	0	0	0	0	0	1	0	1
TOTAL	5	3	0	0	3	0	2	3	0	4	3	1	24

EXHIBIT II-2
MONTHLY APPLICATION INTAKE
PLANNED AND ACTUAL
JANUARY THROUGH OCTOBER 1984

	JAN.	FEB.	MAR.	APR.	MAY	JUNE	JULY	AUG.	SEP.	OCT.
PLANNED	60	75	90	70	80	70	85	115	125	105
ACTUAL	116	119	82	76	76	113	99	165	101	119
DIFFERENCE	+56	+44	-8	+6	-4	+43	+14	+50	-24	+14

EXHIBIT II-3
MONTHLY APPLICATION SELECTIONS
JANUARY THROUGH OCTOBER 1984

	JAN.	FEB.	MAR.	APR.	MAY	JUNE	JULY	AUG.	SEP.	OCT.
PLANNED	15	15	20	15	15	10	25	50	50	20
ACTUAL	12	10	5	13	13	13	7	61	15	21
DIFFERENCE	-3	-5	-15	-2	-2	+3	-18	+11	-35	+1

Projections for vacancies and modernization completions were overestimated and, therefore, FMHA was under its planned selection figure for seven of the ten months recorded. The planned selections for August and September were set higher than usual because FMHA began the selections for their new development. Actual selections were higher than planned for August but were substantially lower than planned for September. By October, selections were back to normal and fairly close to the planned numbers. The occupancy comparisons provided FMHA with a planning mechanism for its application and selection procedures for successive years.

The planned and actual rents reflect FMHA's occupancy initiative relating to avoiding concentrations of the most economically and socially deprived families in one or all of its communities. The rent data also addresses FMHA's stated goal of developing and maintaining a resident body composed of families with a range of incomes. This tenancy is representative of the income range among low-income families in the agency's area of operation. It also has the resources to contribute to the financial stability of the community.

An additional indicator of effectiveness that is recorded is the average rent collected per unit at FMHA developments. Exhibit II-4 gives the average planned and actual rent for FMHA developments for January through October 1984. The actual rent has been over the planned only twice during the recorded period.

The occupancy procedures have impacted the rental collection area. Exhibit II-5 shows that late rents have declined for 1984 as compared to the same quarters for 1983. The first quarter for 1984 is the only quarter showing a higher number in the total column than the equivalent period for the preceding year.

The comparison of these tables and other statistical data give an indication of the effectiveness of the occupancy practices and demonstrate the staff's use of information for planning and policy making.

EXHIBIT II-4
MONTHLY APPLICANT AVERAGE RENT
JANUARY THROUGH OCTOBER 1984

	JAN.	FEB.	MAR.	APR.	MAY	JUNE	JULY	AUG.	SEP.	OCT.
PLANNED	100	90	90	105	110	90	95	110	90	110
ACTUAL	90	105	95	91	97	95	95	97	85	109
DIFFERENCE	-10	+15	+5	-14	-13	-5	0	-13	-5	-1

EXHIBIT II-5
LATE RENTS
FMHA 1983 AND 1984

TENENTS IN POSSESSION:	1st QUARTER		2nd QUARTER		3rd QUARTER		4th QUARTER	
	1983	1984	1983	1984	1983	1984	1983	1984
One Month or less	37	52	40	43	53	52	49	42
Over One Month	11	9	15	4	10	7	8	8
TOTAL	48	61	55	47	63	59	57	50

OTHER CONSIDERATIONS

The preceding chapter illustrated how occupancy procedures are well organized and documented. In addition to the organization and demonstration of procedures of the occupancy cycle, the integration of occupancy functions and procedures among the occupancy staff and other divisions plays an important role in the effectiveness of the management practices. The occupancy staff is a subset of a larger team that keeps the occupancy cycle functioning. The contact between occupancy staff, management staff and maintenance staff is constant, and these three divisions have integrated their functions such that each knows who is responsible for each procedure in the cycle. The paper flow and documentation forms provide each actor with an updated and accurate record of procedures completed and steps taken throughout the process from application to occupancy and from occupancy to move-out.

The procedures manual is the single most important document for maintaining the management practices. The procedures are clearly written, are accompanied with illustrations and forms, and indicate responsibility by staff person and task. The occupancy procedures are included in Appendix D.

Although the effective management practices may not be considered innovative or novel, the level of attention to detail and the level of documentation of procedures provide FMHA with an effective and efficient system for marketing, screening, selection, and other networking practices.

The marketing procedures and strategies have given FMHA a larger and more diverse pool of applicants from which to select their residents. This procedure again reflects action taken by FMHA to diversify its resident population within federal and state guidelines.

The rapport with social service agencies has cut the time for income verification and has provided occupancy staff and resident services with direct contact to these agencies for resident and applicant referrals.

III. IMPLEMENTING SIMILAR PRACTICES AT OTHER PHAS

The marketing, screening, selection, and networking practices are largely a function of clearly articulated procedures and coordination and cooperation among the involved staff and outside agencies.

Other PHAs considering implementing practices similar to those at FMHA should first review FMHA's procedures and policies as described in Chapter I of this report. In addition, other factors to be considered include:

- o marketing difficulties which result from project reputation or the mix of units in the development;
- o legal and administrative considerations related to state laws and HUD requirements;
- o current screening procedures and problems with selection and assignment; and
- o adequate staff coverage for all occupancy functions.

The first step in implementing effective occupancy practices is to ensure that all procedures and policies are clearly defined and allocated among the involved staff. The occupancy area is controlled by HUD guidelines and state law more than any other area. Therefore, it is necessary that all procedures and policies conform to these guidelines and laws. Although the occupancy practices encompass several divisions, there is no need for duplication of services or tasks if the divisions coordinate and cooperate with each other.

Many of FMHA's procedures may be in place at other PHAs and the task of developing and maintaining the effective management practices may be minor. The clear articulation of procedures, and the cooperation and coordination of operating divisions are all enhanced by the development of forms and reports for documentation and reporting. The forms developed by FMHA clearly indicate what staff person uses them and what tasks are documented.

Finally, other PHAs will want to determine if staff changes are involved and whether their present organizational structure is appropriate. The occupancy division at FMHA is under the director of operations, who also oversees the management, resident services, maintenance, and safety divisions. Staff within these four divisions manage the occupancy cycle at FMHA under a common director. The organizational structure of FMHA enhances the effectiveness of the cycle because it allows the director to coordinate procedures and activities of all necessary staff.

APPENDIX A

POSITION DESCRIPTIONS

- EXHIBIT A-1 Occupancy Specialist/Program Policy Analyst
- EXHIBIT A-2 Application Intake Clerk
- EXHIBIT A-3 Re-Examination Officer
- EXHIBIT A-4 Resident Selector
- EXHIBIT A-5 Director of Operations

EXHIBIT A-1

OCCUPANCY SPECIALIST/PROGRAM-POLICY ANALYST

PURPOSE AND SCOPE

To serve as an assistant to the Director of Operations by performing administrative duties, planning and analysis functions in support of new and ongoing FMHA Public Housing Programs in accordance with Federal Regulations and local policies. Also to supervise, direct, control and monitor operations of the Occupancy Department.

PRINCIPAL RESPONSIBILITIES

1. Be fully informed of Federal Regulations, local policies and procedures so as to interpret and implement them on the local level.
2. Supervise/monitor the work of the occupancy staff who are engaged in the application eligibility, tenant selection and continued occupancy recertification process. Supervisor shall certify all re-examinations and tenant eligibility/selection determinations to ensure conformance with FMHA and Federal requirements.
3. Plan and conduct studies to develop new/revised methods, systems, procedures. Expand program functions through development of long-range plans, expansion of departmental goals and objectives to improve the efficiency and effectiveness of FMHA'S Public Housing Program.
4. Compile and analyze statistical data, computerized information and maintain charts, graphs and rosters pertaining to the Operations Department.
5. Plan, develop and conduct special programs and projects such as: outreach programs for the general public, orientation/audio visual programs for participants, training programs, workshops and meetings as they relate to Public Housing Programs and present them for approvals, findings and recommendations to the Director of Operations
6. Coordinate efforts with Resident Services, Housing Management and Maintenance stations.
7. Report to and confer with HUD officials regarding Public Housing Programs.
8. Perform related work as required.

REQUIREMENTS

Education:

Some college business education desirable; Public Housing Management Certification also desirable plus 2 years of formal training in occupancy policies and procedures or equivalent.

Experience:

Three to four years of working experience in occupancy work or an equivalent combination of experience and education.

Special Skills:

Supervisory ability, knowledge of office practices and procedures including effective use of calculator and excellent command of the English language.

RELATIONSHIPS

Internal:

Coordinate, counsel and advise with Director of Operations, management staff, maintenance staff and supervisory personnel as required by work assignments.

External:

Establish and maintain effective working relationships with Federal and local agencies, consultants, other public housing agencies, media and the general public

SUPERVISION OF PERSONNEL

1 Resident Selector
1 Re-exam Officer
1 Intake Clerk
1 Part-time Clerk(CETA Employee)

Total Supervised 4

EXHIBIT A-2
APPLICATION INTAKE CLERK

PURPOSE AND SCOPE

To take responsibility for initial application intake process. Maintain files based on HUD guidelines, and to perform general clerical functions.

PRINCIPAL RESPONSIBILITIES

1. Interview applicants, secure information to determine eligibility in accordance with Federal guidelines and local policies. Process application so that determinations can be made as to the placement on waiting list.
2. Confer with employees and other sources of income to confirm information on applicant eligibility.
3. Make inquiries to proper agencies regarding background investigation (criminal investigation pre-occupancy check and medical forms on disabled and/or elderly applicants).
4. Prepare applicant's file for certification.
5. Maintain occupancy files and records, weekly reports and unit allocation/vacancy roster.
6. Perform general clerical duties such as typing forms, letters, statistical materials, memorandums, cards, envelopes and etc. Prepare outgoing mail.
7. Assist in preparation of HUD Forms 50059 and Tenant Information forms for the purpose of compiling computerized data.
8. Be responsible for office equipment, such as Royal-fax Copier, Cannon Calculator, Monroe Calculating Computer and IBM Selectric Typewriter.

9. Act as receptionist for FMHA; direct phone calls, and continuously confer with applicants regarding application status, and the public, at large.
10. Perform related work as required.

REQUIREMENTS

Education:

High School graduate or equivalent. General office procedure courses desirable or equivalent.

Experience:

One year working experience in housing or an equivalent combination of experience and education.

Special Skills:

Ability to interview and counsel. Type 45 wpm, effective use of calculator, must possess excellent telephone etiquette, and an ability to deal effectively with the general public.

RELATIONSHIPS

Internal:

Maintain effective working relationship with supervisor, staff members, management personnel, other FMHA employees, and the general public.

External:

Maintain effective working relationship with public and private agencies, applicants, residents, and general public.

SUPERVISION OF PERSONNEL

Total Supervised: 0

EXHIBIT A-3

RE-EXAMINATION OFFICER

PURPOSE AND SCOPE

To redetermine families for Continued Occupancy eligibility. To implement Lease agreements, refer transfers and special circumstances to Management.

PRINCIPLE RESPONSIBILITIES

1. Schedule and conduct reexamination interviews to verify, certify, calculate, report, determine eligibility, and monthly payments in accordance with FMHA guidelines.
2. Submit processed eligibility data for final selection or rejection.
3. Conduct special reexaminations as requested and required by program guidelines.
4. Insure HUD Form 50059 and Tenant Information Forms are completed for each resident to be used in computerized systems.
5. Report lease violations, misrepresentation, and unusual situations to Management. Initiate Interims when applicable.
6. Confer with employers and other sources of income to obtain or confirm resident eligibility.
7. Conduct Orientation Program
8. Maintain up-to-date Re-examination data and records.
9. Answer all phone inquiries for Public Housing information and assist in the taking of applications.
10. Notify residents of changes in rent.

REQUIREMENTS

High School graduate or equivalent. 1 year vocational training in basic economics, sociology, and accounting useful.

Experience

1 year working experience in housing, general office procedures, or an equivalent combination of experience and education.

Special Skills

Ability to interview residents. Ability to type 45 wpm and to use calculators and computers. Working knowledge of office procedures with reference to preparation and maintenance of records.

RELATIONSHIPS

Internal:

Consult and advise with immediate supervisor. Coordinate related functions between Management and Accounting.

External:

Maintain effective working relationships with public and private agencies, applicants, residents, and general public.

SUPERVISION OF PERSONNEL

Total Supervised: 0

EXHIBIT A-4

RESIDENT SELECTOR

PURPOSE AND SCOPE

To perform specialized screening and selection of applications for Public Housing Program; verify and certify reports to determine occupancy eligibility and selection-completion of interviews; to initiate interim rent changes and coordinate vacancy activities.

PRINCIPLE RESPONSIBILITIES

1. Interview and counsel applicants, screen applications, and determine eligibility and monthly payments in accordance with FMHA guidelines.
2. Confer with employers and other sources of income to confirm information on applicant eligibility.
3. Confer with applicants on the status of applications, notify selections to find vacancies, and explain reasons for rejection to applicants when necessary.
4. Prepare and submit move-in file to correct channels.
5. Submit processed eligibility data for final selection or rejection.
6. Receive interims, review information for accuracy, refigure rent, and notify resident of rent change.
7. Submit information for background investigations and review, on anticipated residents.
8. Conduct orientation sessions.
9. Assist in preparation of HUD reports, complete HUD forms 50059 and TIF forms, assure accuracy, submit to proper channels for use in computerized systems.
10. Supervise maintenance of occupancy files and records.
11. Prepare and maintain all vacancy reports and coordinate efforts with maintenance and management staffs.
12. Perform related work as required.

REQUIREMENTS

Education:

High school graduate or equivalent. Must have completed general business courses or have working experience equivalent to the education.

Experience:

One year of working experiences in housing, general office procedures, counselling, or an equivalent combination of experience and education.

Special Skills:

Ability to interview and counsel applicants. Ability to type 45 wpm and use of Monroe Computing calculator.

RELATIONSHIPS

Internal:

Maintain effective working relationship with supervisor, occupancy staff members, management, maintenance personnel and other employees.

External:

Maintain effective working relationship with public and private agencies, applicants, residents, and general public.

SUPERVISION OF PERSONNEL:

1 Full-time Clerk
1 Part-time CETA Employee

Total Supervised: 2

EXHIBIT A-5

DIRECTOR OF OPERATIONS

Pay Grade: 11

PURPOSE AND SCOPE

To direct all activities of FMHA relating to resident support services, including maintenance, housing management, resident services, and housing services.

PRINCIPLE RESPONSIBILITIES

1. Direct and control the maintenance, housing management, resident services, and housing services activities of FMHA.
2. Formulate program and performance goals, objectives, and strategies for all areas of resident support services.
3. Monitor and evaluate the performance of each area of resident support services against established objectives.
4. Establish and maintain procedures and policies to implement and operate effectively each area of resident support services.
5. Coordinate the resident support services operation with other FMHA areas of operation.
6. Perform related work as required.

REQUIREMENTS

Education:

Four years of college with a degree in Housing, Public Administration, Business Administration, or an equivalent combination of experience and education.

Experience:

Four-to-six years of administrative experience in housing, housing management and/or community services. Experience with interpreting Federal, State, and local housing legislation.

Special Skills:

Ability to work with staff to define clear and concise objectives and to motivate staff to accomplish objectives.

RELATIONSHIPS

Internal:

Consult with department heads to achieve the goals and objectives of the FMHA housing program.

Director of Operations

External:

Maintain effective working relationships with federal, state, and local officials; consultants; other housing authority officials; and the general public.

SUPERVISION OF PERSONNEL

- 1 Housing Services Coordinator
- 1 Resident Services Coordinator
- 1 Property Maintenance Manager
- 2 Housing Managers
- 1 Secretary

Total Supervised: _____



APPENDIX B

MARKETING STRATEGIES AND OUTREACH FORMS

- EXHIBIT B-1 Marketing Plan (sample)
- EXHIBIT B-2 Public Housing Outreach Plan
- EXHIBIT B-3 Outreach Letter to Church Groups and Civic
Organizations
- EXHIBIT B-4 Outreach Letter to T.V. and Radio Stations
- EXHIBIT B-5 Outreach Letter to Employers/Private Industry

EXHIBIT B-1

MARKETING PLAN FOR
NC 9-1 AND 3, GROVE VIEW TERRACE

TASK: To compile information relative to how the Fayetteville Metropolitan Housing Authority proposes to maintain a 97% occupancy rate in NC 9-1 and 3, Grove View Terrace, following the completion of Comprehensive Modernization based on tenant selection.

I. Outreach

The Fayetteville Metropolitan Housing Authority intends to engage in an outreach effort so that we may carry out our policies related to housing families with a broad range of incomes as required by 24 CFR, part 869, Subpart B. This outreach will be directed towards applicants with higher incomes than those who currently appear on our waiting list so that we might achieve the broad range of income objectives and to avoid outreach methods which are likely to result in the receipt of applications from a large number of applicants whom we will be unable to serve, as exists in our present situation. (Average rents currently on our waiting list are \$71, effective April, 1980--see Attachment A, Step 3--Income Range Study, 1980)

Outreach efforts will also be directed towards making availabilities of our facilities known to the handicapped.

A. Past outreach efforts

In the past, the following steps were taken to demonstrate outreach efforts to the general public:

Advertisements were placed in the local newspapers (Fayetteville Times and Fayetteville Observer), local radio stations, church groups, and civic organizations were contacted by mail and/or in person to develop outreach for additional units.

Contact with the Fort Bragg Military Housing Services Center was implemented via newspaper advertisements, fliers, and personal contact

with the Director of Housing Services at Fort Bragg. The Housing Services files were reviewed by our staff for the purpose of developing a waiting list that would provide us with families who met the minimum/maximum bedroom size distribution and the needed income range.

II. Local conditions and required ranges of income:

This information is explained in Attachment B, Steps 1, 5, and 8 of our Income Range Study, 1980.

III. The most effective study, as based on financial resources available at the Fayetteville Metropolitan Housing Authority, is to:

- A. Place advertisements in the local newspapers
- B. Mail letters and/or fliers to local church groups and civic organizations
- C. Hand out fliers to places of employment, unemployment office, Department of Social Services, post offices, grocery stores, public transportation agencies, and organizations representing the interests of the handicapped.

IV. Tenant Selection

A. Purpose

To determine quickly if an applicant is eligible, to establish the amount of rent to be paid, to verify information submitted, and to fulfill the HUD requirement that active application files are maintained with current information to facilitate the selection process, and to house an applicant in a suitable unit as soon after it becomes vacant as possible.

Tenant selection is performed in the following manner:

1. All applications are taken formally at our Occupancy office.
2. Determinations are made as to family compositional eligibility and income eligibility.

3. Previous housing records of any applicants who have lived in our community are checked. Move-out files are checked to determine any previous unpaid balances. If the applicant has an unpaid balance, the application is taken but is placed in inactive file, pending payment of the charges. If there is no debt, the application is considered active and the clerk proceeds to verify income.
4. Clerk gives applicant relevant income verification forms such as: employment, VA benefits, AFDC and etc. Forms are explained to applicant and instructions are given at that time that relevant forms are to be completed and returned immediately to our office. Instructions are also given to notify occupancy when any changes occur in income/benefits, family composition, address or phone number. Applicant is notified that until forms are received application will remain in our pending file. Progress Report form is noted that various forms have been given and dated when received.
5. When verification is received clerk calculates rent to determine whether applicant is within income limits. If applicant is within income limits clerk completes application.
6. When family is approaching top of waiting list a Criminal History Record form is sent to the local Police Department. Previous Housing Record is checked with present landlord. File is updated for all verification to fulfill HUD requirement to maintain files with current information and to facilitate the selection process.
7. Letter is sent advising applicant of date and time of Orientation session. At the Orientation session applicant completes Orientation Progress Report form and returns to the chairperson at the end of the meeting to verify the fact that all lease information has been discussed. In the case of elderly or disabled persons a Confidential Medical Form is to be completed by his/her physician and immedi-

ately returned to Occupancy. If Medical Form is not returned, applicant is considered to have rejected an available unit.

8. Resident Services Unit is contacted so that selection coordination can take place in the following manner:

Occupancy notifies Resident Services prior to mailing orientation letters so that broader screening can be done and a more open line of communication can be formed before final selections are made.

A listing of new residents is compiled and forwarded to Resident Services so that they can become more informed of new residents for the purpose of welcoming these persons to our communities upon move-in.

Resident Services performs home visits on any applicants that have been recommended by Occupancy before move-in takes place, dependent upon the type of recommendation that has been forwarded by Occupancy.

EXHIBIT B-2
PUBLIC HOUSING OUTREACH PLAN

DEPARTMENTAL CORRESPONDENCE

DATE March 22, 1983

SUBJECT Public Housing Outreach Plan

TO _____ DEPT. Director of Operations

FROM _____ DEPT. Occupancy Supervisor

Consistent with our efforts to achieve a more reasonable ethnic balance, coupled with a more feasible rent ratio, we have initiated the following forms of outreach:

- Newspaper advertisement*
- Public Service Announcements—cost free methods via television and radio stations*
- Letters and fliers to Church groups and Civic organizations requesting referrals*
- Letters and fliers to Private Industry, Personnel Offices, housing referral agencies (such as the military and etc.) requesting referrals via personal contact with agencies; also posting fliers on location*
- Mailing lists are compiled so as to reach target groups.*

Samples are attached for your review. Please advise.

ASN/ebd

cc:

Executive Director

Occupancy Staff

Attachments:

EXHIBIT B-3
OUTREACH LETTER TO CHURCH GROUPS
AND CIVIC ORGANIZATIONS

We are writing this letter to request your assistance in helping us to locate eligible families. Families will be selected in such a manner as to:

- Avoid concentrations of the most economically and socially deprived families
- Preclude admissions of applicants whose habits and practices may reasonably be expected to have a detrimental effect on other families
- Maintain a community composed of families with a broad range of income

Rents will be computed based upon 30% of the total family income.

If you know of families who meet any of the conditions set forth above please encourage them to come to our offices and make an application or to call me at Many families may be surprised to learn of their eligibility.

Thank you for your efforts.

Sincerely,

Occupancy Supervisor

ASN/ebd

EXHIBIT B-4
OUTREACH LETTER TO TV
AND RADIO STATIONS

The Fayetteville Metropolitan Housing Authority currently operates some thirteen (13) Public Housing communities in the Fayetteville/Cumberland County area. _____ 198 _____ will mark the launching of another one of our efforts to provide additional standard and affordable housing to qualified families. We have recently applied for construction of fifty (50) additional units which will be located on Ireland Drive Extension.

We are writing this letter to request your assistance in helping us to locate eligible families with emphasis being placed on families who qualify for two bedroom units (not to exceed 4 family members).

Enclosed is a flier describing eligibility requirements along with a Public Service Announcement that we would like to have aired.

Thank you for your cooperative efforts.

Sincerely,

Occupancy Supervisor

ASN/abd

EXHIBIT B-5
OUTREACH LETTER TO EMPLOYERS/PRIVATE INDUSTRY

Dear

The Fayetteville Metropolitan Housing Authority has recently applied for construction of fifty (50) additional units which will be located on Ireland Drive Extension (off Raeford Road near Lowes). We anticipate construction to be completed in _____ of 1983.

While reviewing our current resident roster, along with our application waiting list, I have noticed that some of your employees either live in our communities or show an interest in residing in them in the future. My aim is to broaden the communication lines between our agency and your company and to assist additional employees who might have an interest in attaining decent, safe and sanitary housing. This program is geared towards the low to moderate income family. I would like to solicit your help in "spreading the word".

Attached is a copy of our eligibility requirements which details income limitations and the application intake schedule. I would appreciate your placing these fliers in a noticable area and have your employees call us if we can be of assistance. Also, if you have further questions about our program please do not hesitate to call.

Sincerely,

Occupancy Supervisor

ASN/ebd



**EXHIBIT C-1
APPLICATION FOR ADMISSION**

PAYETTEVILLE
HOUSING AUTHORITY
APPLICATION FOR ADMISSION

BR. Size _____ App. # _____
Rent _____ Date _____
Ethnic Code _____ Time _____

NAME: _____ PHONE _____

ADDRESS _____ PHONE _____

ADDRESS _____ ZIP CODE _____

Have you rented from FHHA _____, If yes, address, year _____ Balance Due _____

Do you have your own car _____, if yes, License Plate number _____

I. FAMILY COMPOSITION

A. Persons who will move into the community

B. Social Security # _____

Family Member #	Name of Family Members	Relation to Family Head	Date of Birth	Age	Sex	Occupation

C. Anticipated changes _____

D. Marital Status _____

II. FAMILY INCOME

A. Gross Income _____

C. Maximum Income Limit _____

B. Net Income _____

D. _____

Family Member #	Name and Address of Place of Employment or Source of Income	Rate of Pay	Total Amount

E. Total Deductions: _____

F. Assets: _____

(amount) \$ _____

TYPE OF DEDUCTION	# or AMOUNT	VERIFIED	TYPE OF DEDUCTION	# or AMOUNT	VERIFIED
5% or 10%			CHILD CARE		
MINORS OR ADULT DEPENDENTS			MEDICAL EXPENSES		
SECONDARY WAGE EARNER			OCCUPATIONAL EXPENSES		

CREDIT HISTORY

- A. Have you ever defaulted on a credit or loan agreement? _____ If so, for what reason and when? _____
- B. Have you ever been denied credit? _____ If so, for what reason and when? _____
- C. Name two credit references:
 - Firm: _____ Address: _____
 - Firm: _____ Address: _____

HOUSING HISTORY

- A. Have you ever been evicted or required to move? _____ If so, for what reason and by whom? _____
- | | | |
|-------------------------------------|-------------------|-----------|
| (Name) | (Mailing Address) | (Phone #) |
| <hr/> | | |
| PRESENT LANDLORD | | |
| (Name) | (Mailing Address) | (Phone #) |
| <hr/> | | |
| Previous Address and Landlord _____ | | |

UTILITY HISTORY

Amount of Rent Paid \$ _____

- A. Which utility companies have you done business with? _____
- B. Is/Was the account in your name? _____ Do you owe them a balance? _____
- C. Have you been consistent with payments? _____ Have you recovered your deposits? _____

CRIMINAL HISTORY

- A. Have you or any other family member been convicted of any offense other than a minor traffic violation? _____ If so, which member, what year, and the offense? _____

PRIORITY DATA *(Official documentation must accompany this information)

- A. Have you been displaced by Urban Renewal, any low rent projects or any other public action? _____
- | | | | |
|--------------------------|---------------|--------|--------------|
| (Address when displaced) | (notified by) | (date) | (date moved) |
|--------------------------|---------------|--------|--------------|

EMERGENCY STATUS: List conditions which would justify this status: _____

DISABILITIES OR HANDICAPPED STATUS: Family member # _____

Nature and extent of disability or handicap _____

NOTIFICATION IN CASE OF EMERGENCY: Name, Relationship, Address and Phone number _____

I UNDERSTAND THAT THE INFORMATION GIVEN ON THIS APPLICATION WILL BE HELD IN CONFIDENCE AND WILL BE USED FOR THE SOLE PURPOSE OF DETERMINING MY ELIGIBILITY FOR PUBLIC HOUSING. I FURTHER UNDERSTAND THAT THIS IS NOT A CONTRACT AND DOES NOT BIND EITHER PARTY. THE ABOVE INFORMATION IS FULL, TRUE AND COMPLETE TO THE BEST OF MY KNOWLEDGE, AND I UNDERSTAND THAT MY SELECTION FOR PUBLIC HOUSING WILL BE CONTINGENT UPON THE HOUSING AUTHORITY BEING ABLE TO FORMALLY VERIFY THIS INFORMATION. I HAVE NO OBJECTIONS TO INQUIRIES BEING MADE FOR THE PURPOSE OF VERIFYING THE STATEMENTS MADE HEREIN.

WARNING: Section 1001 of Title 18 of the U. S. Code makes it a criminal offense to make willful false statements or misrepresentation to any Department or Agency of the U. S. as to any matter within its jurisdiction.

APPLICANT'S SIGNATURE _____ DATE _____

INTERVIEWED BY _____ DATE _____

CERTIFICATION: ON THE BASIS OF THE INFORMATION RECEIVED, THE APPLICANT FAMILY IS FOUND TO
TO BE: ELIGIBLE _____ INELIGIBLE _____

(Signed) _____ (Official Title) _____ (Date) _____

LEASING INFORMATION

(Community #) _____ (Unit #) _____ (Unit Size) _____ (Date Assigned) _____

EXHIBIT C-2
ADDENDUM TO APPLICATION FOR ADMISSION

Applications for Admission

Fayetteville Metropolitan Housing Authority

Addendum to Application for Admission (Housing Assistance)

By law, housing assistance cannot be provided to any nonimmigrant student-alien or the alien spouse and minor children of such alien (Section 1436A of Title 42, U.S.C.).

Definition of nonimmigrant student-alien: (1) An alien having a residence in a foreign country which he or she has no intention of abandoning, who is a bona fide student temporarily and solely for the purpose of study at an established institution of learning or other recognized place of study in the United States, particularly designated by him or her and approved by the Attorney General after consultation with the Department of Education of the United States, which institution or place of study shall have agreed to report to the Attorney General the termination of attendance of each nonimmigrant student and if any such institution of learning or place of study fails to make reports promptly the approval shall be withdrawn, and (2) the alien spouse and minor children of any such alien if accompanying him or her or following to join him or her.

I certify that I have read the information above and that I am not a nonimmigrant student-alien and that no others in my household are nonimmigrant student-alien.

Applicant

Date

WARNING: Section 1001 of Title 18 U.S.C. provides: "Whoever, in any matter within the jurisdiction of any Department or Agency of the United States knowingly and willfully falsifies... a material fact, or makes any false, fictitious or fraudulent statements or representations, or makes or uses any false writing or document knowing the same to contain any false, fictitious or fraudulent statement or entry, shall be fined not more than \$10,000 or imprisoned not more than five years, or both."

EXHIBIT C-3
 PROGRESS REPORT

NAME _____ TELEPHONE # _____

ADDRESS _____ ACCOUNT # _____

<u>DATE</u>	<u>ACTION TAKEN</u>	<u>INITIAL</u>
_____	APPLICATION INTAKE	IM
_____	CRIMINAL CHECK	IM
_____	PRE-OCCUPANCY CHECK	IM
_____	SENT ELIGIBILITY LETTER	IM

EXHIBIT C-4
FORM LETTER: INSUFFICIENT
INFORMATION FROM APPLICANT



Fayetteville Metropolitan Housing Authority
Ramsey and Wiley Street, Post Office Drawer 2149
Fayetteville, N.C. 28302 — Telephone (919) 463-3648

Executive Director

Dear _____

Application Number _____

The Housing Authority cannot determine if you are eligible for public housing because the following information has not been received:

If we have not heard from you by _____ we will assume that you are no longer interested in public housing, and your application will be placed in our inactive file.

Sincerely,

Occupancy Section



Building Good Neighborhoods
FAYETTEVILLE, N.C. 28302

EXHIBIT C-5
FORM LETTER: ELIGIBLE BUT NO
APARTMENT AVAILABLE



Fayetteville Metropolitan Housing Authority
Ramsay and Wiley Street Post Office Drawer 2349
Fayetteville, N.C. 28302 - Telephone (919) 483-3648

Executive Director

Dear _____

Application Number _____

This is to inform you, based upon the information that you provided to us, that you are eligible for an apartment. We do not have a _____ bedroom size apartment at this time.

When you are selected for an apartment, in accordance with the regulations, you will receive a notice by letter. It appears it will be approximately _____ months before housing will be available for you. Please do not call the Housing Authority except when changes need to be made on your application.

It will be necessary for you to report any changes in your address, income and family situation if you wish to keep your application active. Please call 483-3648 or come by our office to make these changes.

Sincerely,

Occupancy Department



Building Good Neighborhoods
That Build Good Neighbors

EXHIBIT C - 6
FORM LETTER: INELIGIBLE AND
REASON; HEARING PROCEDURE



Fayetteville Metropolitan Housing Authority
Ramsey and Wiley Street, Post Office Drawer 2349
Fayetteville, N.C. 28302 — Telephone (919) 483-3648

Executive Director

Dear _____ Application Number _____

This is to inform you that based upon our review of your application for public housing, we have determined that you are ineligible for a unit in our projects because of the following reason(s) indicated below:

- _____ Do not qualify as a family.
- _____ Net family income exceeds the Maximum Income limits for admission.
- _____ Family net assets and net income is sufficient to obtain and maintain adequate accommodations on the private market.
- _____ If single, not capable of living independently.
- _____ Family composition does not conform to Occupancy Standards which are appropriate to the vacant unit.
- _____ Past performance in meeting financial obligations, especially rent, is unsatisfactory.
- _____ Have a record of disturbing neighbors, destruction of property or living or housekeeping habits at prior residences which adversely affect the health, safety or welfare of other tenants.
- _____ Have a history of criminal activity involving crimes of physical violence to persons or property which would adversely affect the health, safety or welfare of other tenants.

If you wish to request an informal hearing on this determination, please contact this office within five days of receipt of this letter.

Sincerely,

Occupancy Department



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EXHIBIT C-7
EMPLOYMENT INCOME VERIFICATION FORM



Fayetteville Metropolitan Housing Authority
Ramey and Wiley Street Post Office Drawer 2349
Fayetteville, N.C. 28302 — Telephone (919) 483-3648

Executive Director

Gentlemen:

We are required by Federal law to verify the income of all members of families applying for admission to the low-rent communities which we operate, and to reexamine once each year the incomes of our families, because rent is based on gross family income. Falsification of statements concerning income could possibly subject the resident to criminal prosecution for obtaining Federal funds under false pretense.

We ask your cooperation in supplying information indicated regarding the earnings of your employee. This information will be held in confidence for use only in determining the eligibility status and rent of the employee's family. Please mail this information directly to the Housing Authority at the address below. Your prompt return of the information will be appreciated.

Sincerely,

Fayetteville Metropolitan Housing Authority
Post Office Box 2349
Fayetteville, North Carolina 28302

Occupancy Section

I hereby authorize and request the employer to furnish the information below which is necessary in determining eligibility and rent for subsidized housing.

SIGNATURE _____ Date _____

Name _____ Social Security Number _____

Address _____

Name of Place Employed _____ Phone Number _____

Address of Place Employed _____ Occupation _____

Date Employed _____ Returned from last lay-off _____

Total Amount Earned during past 12 months _____

Present rate of pay \$ _____ per hour/week/month/year

Regular hours per week _____ Overtime hours per week _____

Rate of pay (overtime) \$ _____ Bonus/Commission \$ _____

Other income on the job: Yes _____ No _____ \$ _____ per _____

Compulsory deductions for: Social Security Yes _____ No _____ Retirement _____

Hospital Insurance Premium \$ _____ (weekly/biweekly/monthly)

Vacation time Yes/No ----- paid/not paid. How long _____

Completed by _____ Title _____

Date _____

EXHIBIT C-8
STATEMENT OF BUSINESS INCOME AND EXPENSES

STATEMENT OF BUSINESS INCOME AND EXPENSE

Date _____

Name _____

Business _____

For Period From _____ To _____
(Must be for at least the last six months)

GROSS INCOME. \$
Beginning Inventory \$

LOSS
Cost of Goods Sold \$
Ending Inventory \$

GROSS PROFIT. \$

EXPENSES (BUSINESS ONLY)
Gas. \$
Oil. \$
Grease \$
Rent \$
Utilities. \$
Insurance. \$
License. \$
Tires and Tubes. \$
Communications \$
TOTAL. \$

NET INCOME. \$ _____

I swear or affirm under penalty of perjury that the above statement is true and correct.

Signature _____
Resident/Owner

Sworn and subscribed to this _____ day of _____, 19____.

Notary Public

My Commission Expires _____, 19____.

EXHIBIT C-9
FORM LETTER: CHILD SUPPORT AND/OR
ALIMONY PAID THROUGH THE COURT



Executive Director

Fayetteville Metropolitan Housing Authority
Ramsey and Wiley Street, Post Office Drawer 2349
Fayetteville, N.C. 28302—Telephone (919) 483-3648

Clerk of Superior Court
Domestic Relations Court
Bookkeeping Department

Dear Sir:

We are required by Federal law to verify the income of all members of families applying for the subsidized housing communities that we operate, and to reexamine once each year the income of the families, because rent is based on net family income.

We ask your cooperation in supplying the information indicated regarding the amounts paid to the following person through the courts:

NAME _____ ADDRESS _____

PAID BY _____

Please indicate payments for the last six months.

AMOUNT

DATE

Completed by _____ Title _____ Date _____


Please mail this information directly to the Housing Authority at the address below. Thank you.

Sincerely,

Fayetteville Metropolitan Housing Authority
Post Office Drawer 2349
Fayetteville, North Carolina 28302

Occupancy Section

I hereby authorize and request the Clerk of the Domestic Relations Court to furnish the above information which is necessary in determining eligibility and rent for subsidized public housing.

Signature _____  Date _____

Building Good Neighborhoods

EXHIBIT C-10
FORM LETTER: VOLUNTARY SUPPORT OR ALIMONY



Fayetteville Metropolitan Housing Authority
Ramsey and Wiley Street, Post Office Drawer 2349
Fayetteville, N.C. 28302—Telephone (919) 483-3648

Executive Director

Dear

We are required by Federal law to verify the income and expenses of all residents or prospective residents because rent is based on income.

We have been advised by _____ (Address) _____ that he/she (contributes to) (receives from) you \$ _____ for _____.

Would you please fill in the information requested.

Please mail this information directly to the Housing Authority at the address below. Thank you very much for your prompt response.

Sincerely,

Fayetteville Metropolitan Housing Authority
Post Office Drawer 2349
Fayetteville, North Carolina 28302

Occupancy Section

I hereby authorize and request _____ to furnish the information below which is necessary in determining eligibility and rent for subsidized public housing.

Signature _____ Date _____

This is to certify that I (contribute to) (receive from) _____ who lives at _____ the sum of \$ _____ per week ___ month ___ year ___ for child support ___ child care ___ contribution ___ alimony ___.

I agree to report to the Housing Authority promptly any changes in the amounts stated above.

Signature _____

Address _____ Date _____



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That Build Good Neighbors

EXHIBIT C-11
FORM LETTER: CONSENT TO PROVIDE
INFORMATION/COVER LETTER



Fayetteville Metropolitan Housing Authority
Hamsey and Wiley Street Post Office Drawer 2349
Fayetteville, N.C., 28302 --- Telephone (919) 483-3648

Executive Director

Cumberland County Department of Social Services
Post Office Box 2429
Fayetteville, North Carolina 28302

Re: _____
Claimant's Name

Address

SOC. SEC. NO. / /

Dear Sir:

I hereby authorize the Department of Social Services to provide the amount of my Public Assistance grant to the Fayetteville Metropolitan Housing Authority. This information is to be provided to the Authority for a period of one calendar year from this date or until the termination of my Public Assistance grant whichever is applicable. This information will be used by the Authority to determine eligibility for admission and/or continued occupancy in all housing programs administered by the Fayetteville Metropolitan Housing Authority and will be used for that purpose only.

Signature

Date



Building Good Neighbors
That Build Good Neighbors

EXHIBIT C-12
AFDC INCOME VERIFICATION FORM



Executive Director

Fayetteville Metropolitan Housing Authority
Hamsey and Wiley Street Post Office Drawer 2349
Fayetteville, N.C. 28302 Telephone (919) 483-3648

Cumberland County Department of Social Services
Post Office Box 2429
Fayetteville, North Carolina 28302

Attention: Verification File Clerk

We are required by Federal law to verify the income of all members of families applying for admission to our housing community, and to reexamine once each year the incomes of our families, because rent is based on net family income.

We have been advised by _____
Address _____ Account No. _____
that he/she receives AFDC in the amount of \$ _____. Please verify the following questions:

1. Names listed below for grant:
2. Current monthly amount \$ _____ Effective Date _____
3. Any anticipated changes: Amount: \$ _____ Effective Date _____
4. Other income: \$ _____ Source _____

Verification Clerk _____ Date _____

Please mail this information directly to the Housing Authority at the address below.

As this information is used to compute rent for the next 12 months, please indicate the date it was verified after you sign your name. Thank you for your prompt response.

Sincerely,

Fayetteville Metropolitan Housing Authority
Post Office Drawer 2349
Fayetteville, North Carolina 28302

Occupancy Department

I hereby authorize and request the Department of Social Services to furnish the above information which is necessary in determining eligibility and rent for subsidized public housing.

Signature _____  Date _____

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That Build Good Neighbors

EXHIBIT C-13
FORM LETTER: CONSENT TO PROVIDE
INFORMATION/COVER LETTER



Fayetteville Metropolitan Housing Authority
Ramsey and Wiley Street, Post Office Drawer 2349
Fayetteville, N.C. 28302—Telephone (919) 483-3648

Executive Director

Social Security Administration
Bureau of Old-Age and Survivor's Insurance
111 Lamon Street
Fayetteville, North Carolina 28301

Re: _____
Claimant's Name

Address

Soc. Sec. No. _____ / _____ / _____

Dear Sir:

I hereby authorize the Social Security Administration to provide all income and benefit information to the Fayetteville Metropolitan Housing Authority. This information is to be provided to the Authority at any-time it is requested by the Authority to determine eligibility for admission and/or continued occupancy in all housing programs administered by the Fayetteville Metropolitan Housing Authority and will be used for that purpose only.

Signature

Date



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That Build Good Neighbors

EXHIBIT C-14
VERIFICATION AND CONSENT FORM
FOR INCOME FROM UNEMPLOYMENT
INSURANCE



Fayetteville Metropolitan Housing Authority
Ramsey and Wiley Street, Post Office Drawer 2349
Fayetteville, N.C. 28302—Telephone (919) 483-3648

Executive Director

Employment Security Commission
414 Ray Avenue
Fayetteville, North Carolina 28302

Dear Sir:

We are required by Federal law to verify the income of all members of families applying for the subsidized communities which we operate, and to reexamine once each year the income of the families because rent is based on net family income.

We ask your cooperation in supplying the following information for:

Name _____ Address _____

Social Security Number _____

Current Weekly Amount \$ _____ Effective _____

Any anticipated changes: Yes ___ No ___ Amount _____ Effective _____

Termination date _____ Verified by _____

Please mail this information directly to the Housing Authority at the address below.
Thank you for your prompt response to this request.

Sincerely,

Fayetteville Metropolitan Housing Authority
Post Office Drawer 2349
Fayetteville, North Carolina 28302

Occupancy Section

I hereby authorize and request the Employment Security Commission to furnish the above information which is necessary in determining eligibility and rent for subsidized public housing.

Signature _____ Date _____



Building Good Neighborhoods
For People in Need

EXHIBIT C-15
VERIFICATION AND CONSENT FORM
FOR INCOME FROM VETERAN'S BENEFITS



Fayetteville Metropolitan Housing Authority
Ramsay and Wiley Street Post Office Drawer 2349
Fayetteville, N.C. 28302 — Telephone (919) 483-3648

Executive Director

*Veteran's Administration
Regional Office
301 North Main Street
Winston-Salem, North Carolina 27102*

Veteran's Information:

Name

Claim Number

Date of Birth

Re: _____

Claimant's Name

Address

Social Security Number

Type of Benefit Received

Amount Received

Effective Date

Dear Sirs:

I hereby authorize the Fayetteville Metropolitan Housing Authority to call the Veteran's Administration Regional Office in Winston-Salem to verify my income. This information will be used by the Authority to determine eligibility for admission and/or continued occupancy in all housing programs administered by the Fayetteville Metropolitan Housing Authority and will be used for that purpose only.

Signature

Date



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That Build Good Neighbors

EXHIBIT C-16

FORM LETTER TO PROSPECTIVE RESIDENT
REGARDING ORIENTATION



Executive Director

Fayetteville Metropolitan Housing Authority
Ramey and Wiley Street, Post Office Drawer 2349
Fayetteville, N.C. 28302 — Telephone (919) 483-3648

Dear _____

You are being considered as a prospective resident for an apartment in a Housing Authority community. Before final consideration is made on any application, family are required to participate in the Applicant Orientation Program.

This program will acquaint you with valuable information on Housing Authority policies, procedures and the broad range of resident services available to you. The session of orientation training will help you as a new resident to adjust to and benefit from living in an apartment in the Housing Authority.

Orientation sessions will be held in the Conference Room at the Ramsey Street office on _____, at 2:30 p.m.

Please note that all families will be required to attend these sessions before any consideration will be given to renting one of our apartments. Please call the Occupancy Section at 483-3648 upon receipt of this letter to confirm your attendance. If we do not hear from you we'll assume you are no longer interested in housing, and your application will be withdrawn from our waiting

Sincerely,

Occupancy Section



Building Good Neighborhoods
That Build Good Neighbors

EXHIBIT C-17

ORIENTATION PROGRAM

What is expected of you as a tenant.

A. Paying rent on time

1. One of the most important responsibilities of a good resident is to make sure that rent is paid on or before due date. You must always pay your rent on time.
2. If you have money available before rent is due you can pay in advance- or before the due date, (which is always the 1st of the month).

When is rent due?

1. Rent is due on the 1st working day of each month. (show copy of new rent collection policy and explain) Ask for questions. Rent is payable by personal check or money order at the location designated. No cash payments!!

B. Delinquent Rent.

The 1st person to contact once you realize that you will not be able to pay your rent on time is your resident manager.

Rent will be considered delinquent (late) when it is paid after the 5th working day of the month (without your being granted a rent extension) a \$10.00 late charge will be added to your account.

Your rent will be considered delinquent when it is paid after the 5th working day and you have not been granted a rent extension. (Refer to new rent collection policy.)

Rent extension will be granted only for extreme emergencies provided however, that a family request such and extension prior to the 25th of the month immediately preceding (before) the month for which an extension is requested.

Three delinquent payments within any twelve month period will subject a family to eviction proceedings.

C. Additional Charges.

Aside from your basic rent, you will be charged for using any excess utilities and any other maintenance and repair charges (beyond normal wear & tear). Give example.

A statement is sent to each resident showing the amount of any additional charges prior to rent due date.

The resident is responsible for all damages in (or) around the apartment, even if children are not responsible. (such as broken windows, etc.)

D. Security Deposit - (what it is?)

The security deposit will be returned to the resident upon vacating (provided a seven days notice was given to your manager and provided all rents and other charges are paid in full. Also, the apartment (and it's equipment) are left clean and no damages are left beyond "NORMAL" wear & use. (explain) All keys must be turned in to project office.

E. Maintenance Policies.

All problems that concern household maintenance should be immediately reported to the Maintenance Department.

Discuss water cut off locations

If you smell gas upon entering your home, first ventilate your house by opening doors and windows. Never light a match or turn on any electrical fixtures or appliances. Then call for help.

If you should experience an electrical cut off, shortage or sparks, check the circuit breaker in the electrical panel box (which is sometimes called a fuse box).

In freezing temperatures, make sure your water pipes are insulated or covered to prevent your pipes from freezing and bursting.

EXHIBIT C-17
(Continued)

F. Miscellaneous.

When moving into your home, make sure an inventory check to see that windows are not broken, doors will properly close and lock & all appliances are in working order.

NO PETS or animals allowed except birds or fish.

Once each year the resident must furnish accurate information to the management as to family income (from all sources) of employment & FAMILY COMPOSITION in order for the management to determine the amount of rent to be charged if any and to determine whether or not the dwelling size is still adequate for the resident's needs.

EXHIBIT C-17
(Continued)

1. Rent is due on the First Working Day of each month and is payable at the following locations. Rent notices must accompany all payments.
 - A. First Citizens Bank and Trust Company
First Union National Bank
United National Bank
Guaranty Savings and Loan Association
Peoples Bank and Trust Company
 - B. Residents may pay their rent by personal check or money order by mailing it to the following address:

Fayetteville Metropolitan Housing Authority
Post Office Drawer 2349
Fayetteville, North Carolina 28302
2. Rent not paid in full by the Fifth Working Day of each month shall be considered delinquent.
3. Delinquent rent will carry a handling charge of \$10.00 after the fifth working day.
4. Delinquent rent plus handling charges due after the fifth working day of the month will subject a family to lease termination.
5. The offer of three delinquent payments within any twelve month period will subject a family to eviction proceedings.
6. Rent extensions will be granted only for extreme emergencies provided however, that a family requests such an extension prior to the 25th of the month, immediately preceding the month for which an extension is requested.
Example: An extension for the month of July must be requested prior to June 25.
7. All rent extensions must be paid in full by the 15th of the month for which an extension is requested.
8. A rent extension will be considered delinquent if not paid in full by the 15th of the month and will carry an immediately due handling charge as above, and lease termination.
9. Retroactive rents must be paid in full within ninety (90) days where a family has made misrepresentations on the initial application or during annual re-examination; also due to failure to provide facts which resulted in the family paying a lower rent than should have been paid. Failure to pay retroactive charges within ninety (90) days will result in immediate lease termination.

ADOPTED: JUNE 10, 1982

SPECIAL ATTENTION
TO
FAMILIES INTERESTED IN AIR CONDITIONING INSTALLATION

MAINTENANCE DEPARTMENTAL PERSONNEL ARE THE ONLY AUTHORIZED PERSONS TO INSTALL AIR CONDITIONING UNITS IN ANY OF OUR PUBLIC HOUSING COMMUNITIES. THE COST FOR INSTALLATION IS \$25.00 PER UNIT. IT IS OUR POLICY HERE AT THE FAYETTEVILLE METROPOLITAN HOUSING AUTHORITY THAT 230 VOLT SYSTEMS CONTAINING A MAXIMUM OF 16 AMPRES BE PURCHASED; AS SYSTEMS WHICH CONTAIN OTHER VOLTAGE ELEMENTS AND AMPRES ARE NOT ADAPTABLE AND/OR ARE TOO COSTLY TO OPERATE. THE SPACE DIMENSIONS FOR THESE AIR CONDITIONING UNITS, IN MOST CASES, ARE 18"X 28"; THOUGH THESE DIMENSIONS VARY ACCORDING TO COMMUNITY.

YOU ARE URGED TO CONTACT OUR MAINTENANCE DEPARTMENT AT 483-9670 REGARDING AIR CONDITIONER INSTALLATION, ALONG WITH ANY OTHER MAINTENANCE PROBLEMS YOU MAY EXPERIENCE.

THANK YOU.

EXHIBIT C-17
(Continued)

(ORIENTATION)

SAFETY & SECURITY PROGRAM OVERVIEW

The Safety and Security Program for the Fayetteville Metropolitan Housing Authority is basically designed to offer an additional link of services to residents of F. M. H. A. housing projects. The program is not designed to replace the Police Department, but rather as a vehicle for effective communication between residents and various agencies outside of F. M. H. A. which are also involved with our Safety and Security needs.

The Safety and Security Officer is available to any resident of public housing to discuss and act on any Safety/Security need that might come up. Examples of current activities under the program include Chess Education for residents, CPR (Cardio-Pulmonary Resuscitation) training on a resident/community basis, engraving of resident's valuables, fire/safety measures, etc. The Security Officer maintains close contact with the Fayetteville Police Department to insure that crime in public housing is monitored as close as possible.

Finally, this brief overview of the Safety and Security Program is not meant to be conclusive, but involves safeguards to insure that the program will always be one with Resident/F.M.H.A. concerns as it's priority. All suggestions, and ideas from staff and residents are always welcome.

Submitted By

Safety & Security Specialist

F. M. H. A.

FMMA

SAFETY & SECURITY

- Co-ordinate for better police/ambulance response time.*
- Co-ordinate community watches with resident organization.*
- Keep accurate records on amount and types of crime in each resident community.*
- Perform visible vehicle/foot patrol in areas.*
- Co-ordinate for expansion of recreational/social activities in resident areas.*
- Conduct "vacation watches" for resident.*
- Offer specialized CHESS instruction to any resident. (Also Drill Team instruction)*
- Assist with any safety/security need that might arise.*

Safety & Security Specialist

EXHIBIT C-17
(Continued)
FAYETTEVILLE METROPOLITAN HOUSING AUTHORITY
FIRE SAFETY TIPS

1. KEEP ALL MATCHES AND FLAMMABLE MATERIALS AWAY FROM CHILDREN AND HEAT SOURCES.
 2. MAKE SURE ALL ELECTRICAL APPLIANCES ARE IN GOOD WORKING ORDER INCLUDING EXTENSION CORDS.
 3. KEEP ALL STORAGE AREAS FREE OF OLD RAGS, PAPERS, OR ANY COMBUSTIBLE MATERIAL.
 4. KEEP KITCHEN AREA, ESPECIALLY STOVE AND RANGE FREE OF GREASE.
 5. IF YOU SMOKE OR HAVE VISITORS THAT SMOKE, HAVE LARGE NON-COMBUSTIBLE ASH TRAYS AVAILABLE.
 6. KEEP CURTAINS, DRAPES, BEDSPREADS AND RUGS AWAY FROM ANY HEATING DUCT OR ELECTRICAL CORDS.
 7. NEVER LEAVE SMALL CHILDREN IN THE HOUSEHOLD UNATTENDED.
 8. MAP OUT AN INDIVIDUAL FIRE ESCAPE PLAN FOR YOUR HOUSEHOLD AND PRACTICE IT
 9. NEVER SMOKE IN BED!!
 10. NEVER POUR WATER ON A GREASE FIRE.
- *** A CLEAN HOUSEHOLD IS AN IMPORTANT FACET OF FIRE SAFETY!!!!

SUBMITTED BY:

FMHA SAFETY AND SECURITY SPECIALISTS

EXHIBIT C-18

APPLICANT ORIENTATION PROGRESS REPORT

NAME _____

ADDRESS _____

PHONE # _____

The following areas of orientation have been completed by the above named applicant:

	<u>Initial</u>	<u>Date</u>
_____ Lease Review	_____	_____
_____ Admission and Recertification Procedures	_____	_____
_____ Grievance Procedure	_____	_____
_____ Community Services Review	_____	_____
_____ Maintenance of Unit	_____	_____

EXHIBIT C-19
ORIENTATION COMPLETION MEMO

TO:

FROM:

SUBJECT: Fayetteville Metropolitan Housing Authority Orientation Program

*This is to advise you that _____ has
attended our Public Housing Orientation Program.*

Thank you for your cooperation.

EXHIBIT C-20
HOME VISIT WAIVER



Fayetteville Metropolitan Housing Authority
Ramsay and Wiley Street, Post Office Drawer 2348
Fayetteville, N.C. 28302—Telephone (919) 483-3848

Form 10-68

Homevisit for _____ has been waived for the following reason:

- _____ Staff Limitations
- _____ Lives out of county
- _____ Military - getting housing for family

Thank you



Building Good Neighborhoods
That Build Good Neighbors

EXHIBIT C-21
 FAYETTEVILLE METROPOLITAN HOUSING AUTHORITY
 PRE-OCCUPANCY HOME VISIT

DATE _____

NAME _____ SPOUSE _____

ADDRESS _____ PHONE _____

PREVIOUS ADDRESS IF AT ABOVE ADDRESS LESS THAN ONE YEAR: _____

TYPE OF INCOME/SOURCE _____ AMOUNT: _____

AMOUNT OF RENT PAID: _____

CHECK ONE: Elderly _____ Non-Elderly _____ Disabled _____

MEDICAL CHECK REQUIRED (CHECK ONE): Yes _____ No _____

FAMILY COMPOSITION:

NAME	REL.	SEX	DATE OF BIRTH	NAME	REL.	SEX	DATE OF BIRTH
1. _____				6. _____			
2. _____				7. _____			
3. _____				8. _____			
4. _____				9. _____			
5. _____				10. _____			

PRESENT HOUSING CONDITION (CHECK ONE):

Standard _____ Sub-Standard _____ Without Housing _____
 About to be without housing _____

APPARENT HOUSEKEEPING HABITS (CHECK ONE):

Excellent _____ Good _____ Fair _____ Poor _____

REMARKS: _____

REASON FOR NEED OF PUBLIC HOUSING IF PRESENT HOUSING IS STANDARD: _____

 Signature of Applicant Inspector

APPENDIX D
OCCUPANCY PROCEDURES

PROCEDURES MANUALS

Purpose and Use

The purpose of a procedures manual is to have a definitive source for determining how things are done within the agency. Having such a document is useful for three important tasks: as an orientation tool for new employees, a reference for all employees whenever clarification is needed concerning any given procedure within the agency, and as a basis for conducting management audits to compare current practices with those previously established.

As an orientation tool for new employees, the manual may be assigned as required reading for each new employee. The immediate supervisor or department head may wish to review the manual with the new employee periodically during the first three months on the job. Reading of some or all of the more detailed manuals may also be necessary or desirable, depending on the new employee's position. In any case, the procedures manual provides the basic information needed to acquaint the new employee with Housing Authority operations.

The manual should be used also as a first point of reference whenever any employee has questions concerning procedures either in his department or another department. From time to time, it may be helpful to have brief in-service training on certain procedures if a supervisor becomes aware that established procedure is not being followed or that several employees do not thoroughly understand any given procedure. The manual can be used as the chief resource for this type of training, as well as being used more informally in the

course of routine work performance.

The purpose of a management audit is to determine where and why actual practices currently being used differ from established procedures. Since the procedures manual contains the established procedures, it serves as a device against which to measure the effectiveness of new practices to determine whether or not they should be continued.

Method of Control and Updating

The manual is assembled in a loose leaf form to allow convenient updating. Since procedures may be added, deleted, or modified as required, and since the Operating Procedures Manual must be kept up to date, each procedure contained in the manual is assigned an effective date so that the user of the manual will know how current the description is. This date (in numerical form of month/year) will appear on the upper right hand corner of the first sheet of each procedure and the Table of Contents, and will appear in parenthesis next to the appropriate procedure in the Table of Contents.

To add, change, or delete a procedure, the following steps are taken:

- Prepare the new procedure in standard format and send it to the immediate Supervisor with a cover memo which describes the new procedure, explains reasons for the change, and identifies the present procedure which will be superseded or deleted as a result of adopting the new procedure.

- The immediate Supervisor will forward the change to the Director of Operations. All affected supervisors direct their comments on the change to the Director of Operations. The Director of Operations will recommend the change to the Executive Director.
- If approved, the Executive Director issues the new procedure to all supervisors, stating which procedures have been superseded or deleted as a result of the new procedure.



1.0 APPLICATION INTAKE.

PROCEDURE 1.0(a)
OCCUPANCY STANDARD UNIT SIZE LIST
EFFECTIVE MAY 3, 1982

Mother and Son - 1 Bedroom
Age 3 Son - Transfer Required

Mother and Daughter - 1 Bedroom
Age 6 Daughter - Transfer Required

Father and Son - 1 Bedroom
Age 6 Son - Transfer Required

Father and Daughter - 1 Bedroom
Age 3 Daughter - Transfer Required

Procedure 1.1

ESTABLISHING TENTATIVE ELIGIBILITY

Purpose: To determine quickly if an applicant is eligible to make an application for housing.

Who Uses: Occupancy Clerks

Steps:

1. Applications are taken at the Occupancy Office only, and must be made by a responsible member of the family who is to reside in the unit.
2. Before the Application Form is filled out, the Clerk explains to the applicant what information will be required and why it is necessary, and that all information will remain confidential.
3. The Clerk determines if the family applying constitutes a family: that all members are related by blood, marriage or adoption. A foster child living with a family is acceptable. An applicant who is single must be over 62 or disabled according to the Social Security Act.
4. If the applicant's family meets the above criteria, the Clerk asks if the applicant has previously lived in any of the Housing Authority's communities. If the applicant has, the Move Out card file is checked. The Clerk takes the application; if, as a result of an unsatisfactory move out record the applicant is ineligible, procedure 2.1.7 is followed.
5. If the record is satisfactory, the Clerk requests information to determine if the applicant's income is within the income limits. The income of all family members must be used to determine eligibility unless the person is under 18 or a full-time student who is other than the head of household or spouse.
6. If the applicant's income is within the income limits established for residency in public housing, the Clerk completes the Application Form. If the applicant is not eligible but desires to apply and establish unquestionable status, the Clerk must complete the Application Form.

Procedure 1.2

APPLICATION FORM

Purpose: To assure the gathering of all information necessary to determine an applicant's eligibility and need for occupancy.

Who Uses: Occupancy Clerk

Steps:

1. All entries on the Application Form (Figure 1.2), related forms and information sheets are made in ink or are typewritten.
2. The Clerk consults the Application Log Book (Figure 1.2b) for the next application number, records the number on the Application Form and inserts the applicant's name in the corresponding space in the Log Book.
3. The Clerk fills out the form as the applicant supplies the information.
4. When the Application Form is complete, the Clerk reads back the information on the form checking to be sure the applicant understands all questions and that all responses are accurate.
5. The Clerk then reads out loud the legal paragraph on the Application Form which attests to the accuracy of the information recorded on the form and gives permission for any further inquiries for the purpose of verification. The applicant then signs the Application Form. If the applicant cannot write, he makes his mark in the appropriate space. It is witnessed by the Clerk who writes the applicant's name next to the mark, indicates BY and the name of the Clerk.

APPLICATION LOG BOOK

APPL. No.	NAME OF APPLICANT	DATE	UNIT SIZE	SOURCE OF INCOME	PRESENT ADDRESS	ELIGIBLE INELIGIBLE	REMARKS

Procedure 1.3

INCOME VERIFICATION AND ADDITIONAL FORMS

Purpose: To determine eligibility for housing and establish the amount of rent to be paid by the applicant.

Who Uses: Occupancy Clerk

Steps:

1. Following the signing of the Application Form, the Clerk gives the applicant the relevant income verification forms. The available forms are: Employer Income Verification, Contribution or Support Payment Verification, Court Ordered Support, Statement of Business Income and Expense, Military Income Verification, Veterans Administration, Employment Security Commission Verification, Social Security Verification, DSS Verification (Figures 1.3 a-i).
2. The Clerk explains the purpose and content of the forms to the applicant, and instructs him to have them filled out and to have them returned to the Occupancy Office as soon as possible.
3. The Clerk instructs the applicant to notify the Occupancy Office when any changes occur which might effect the processing of his Application, such as changes in address, phone number, income and benefits, or family composition.
4. The Clerk completes a Progress Report (Figure 1.3j) and notes on it the forms given to the Applicant for verification of income. The Progress Report form is placed in the applicant's file.
5. The Clerk types a rolodex card (Figure 1.3k) for each applicant. Information on the card will include name, address, phone, zip code, application number, bedroom size needed, date of application, and rent that will be paid at time of admission. This card will be placed in application file folder until determination is made.

Procedure 2.1

ELIGIBILITY

Purpose: To verify all information given on the Application Form.

Who Uses: Occupancy Clerk, Occupancy Supervisor

Steps:

1. The applicant must verify income information given on Application Form by bringing in checks or by having completed income verification forms returned to the Occupancy Office.
2. The Occupancy Clerk informs the applicant that he is responsible for seeing that the appropriate forms are completed and returned to the Housing Authority. It is preferred that all verification forms are returned by mail directly to the Occupancy Office by the verifying agency. If necessary because of unusual circumstances, the verification forms may be completed through telephone interviews with the appropriate agencies (Figure 2.1a), or mail the signed form to the appropriate agency if verification cannot be obtained through a telephone interview.
3. If the applicant brings checks with him to verify income, the amounts are recorded on the check verification certificate (Figure 2.1b). If the applicant has not brought in checks, he is requested to bring them in the following month, or to obtain a letter of verification from the appropriate agency.
4. When all verification has been received, the Clerk calculates the rent to determine eligibility.
5. The Clerk gives the file to the Supervisor for certification. The Occupancy Supervisor reviews all decisions, checking the application file to ensure that the total family income has been included, the appropriate income deductions have been given, the calculations are correct, and the proper rent has been set.
6. If the applicant is found eligible, the Occupancy Office sends out a letter (Figure 2.1c) signed by the Occupancy Supervisor informing him of his status and the minimum number of months he will have to wait before a unit of appropriate size becomes available. A copy of the letter of eligibility is inserted into the applicant's file and the date of the letter is recorded on the Progress Report Form.

Procedure 2.1

(Continued)

7. If the applicant is found ineligible, the Occupancy Office sends out a letter (Figure 2.1d) signed by the Occupancy Supervisor informing him of his status, explaining why the application was found ineligible and telling him of his right to appeal. A copy of the letter of ineligibility is inserted into the applicant's file and the date of the letter is recorded on the Progress Report Form.
8. If the applicant is found eligible, the Occupancy Clerk will place the rolodex card (Figure 1.3k) in the ELIGIBILITY card holder. If determination is ineligible, card will be placed in NONELIGIBILITY card holder.

Procedure 2.2

ESTABLISHING AND MAINTAINING APPLICANT FILES

Purpose: To establish a mechanism to have ready access to all applications and to provide a means for selecting the most qualified applicant for admission.

Who Uses: Occupancy Supervisor, Occupancy Clerk

Steps:

1. There are two types of applicant files maintained in the Occupancy Office: an application file and a selection file.
2. The application file contains the completed application forms and any other relevant information received concerning the applicant. The file is divided into three sections: the A status--active eligible applicants; the B status--active withdrawn applications; and the C status--inactive withdrawn and ineligible applications.
3. Applications are filed in each of these sections alphabetically by bedroom size based on the last name of the applicant.
4. Applications are not moved into the selection file until after Orientation (Procedure 2.4) has been completed.

Procedure 2.3

UPDATING

Purpose: To fulfill the HUD requirement that active eligible files (Status A) are updated once a year. To maintain applicant files with current information to facilitate the selection process.

Who Uses: Occupancy Supervisor, Occupancy Clerk

Steps:

1. When it is necessary to update an applicant's file the Clerk sends a postcard (Figure 2.3a) to the applicant requesting that they contact the Occupancy Office. If specific information is needed, a letter (Figure 2.3b) is sent detailing the information required. The file folder is placed in the Eligible Pending Update file with a notation on the Progress Report Form that the card or letter has been sent. The response from the applicant will also be noted on the Progress Report Form.
2. The file is reviewed with the applicant at the Occupancy Office. If applicant's income has changed the applicant is required to bring in a check(s) to verify the information or as many Income Verification Forms (Figures 1.3a-i) as are necessary will be distributed to the applicant to be completed by the appropriate authority. The file is replaced in the Eligible Pending Update file until update is complete.
3. After income is reverified, the rent will be recomputed.
4. If the applicant is determined ineligible during this process, a letter (Figure 2.1d) will be sent indicating the reason for ineligibility. The card in the rolodex file is removed and destroyed.

Figure 2.3a

UPDATE NOTIFICATION

Application # _____

Dear Applicant:

It is necessary to update your application for an apartment. Please call the telephone number listed below for an appointment.

If you do not respond within five (5) days, your application will be placed in our inactive file.

Sincerely,

Occupancy Section Telephone;

Procedure 2.4

ORIENTATION

Purpose: To prepare a family for selection.

Who Uses: Occupancy Supervisor, Occupancy Clerk

Steps:

1. When a family is approaching the top of the Waiting List, the Criminal History Record Form (Figure 2.4a) must be sent to the local police department to be completed and returned to the Occupancy Office. To perform the Previous Housing Record check, the Clerk telephones the present landlord to review the applicant's housing experience. If necessary the Clerk requests a credit history check from the local Credit Bureau. The file is updated if necessary to ascertain that the applicant remains in the same position.
2. After the applicant's Criminal History Record form has been returned and is in satisfactory order, and the previous housing record check and credit check have been satisfactorily completed, a letter (Figure 2.4b) is sent advising the applicant of the date, time and place of the orientation session. A copy of the letter is inserted in the file. Record the date the letter is sent on the Progress Report Form.
3. At the Orientation Session the Applicant completes an Applicant Orientation Progress Report form (Figure 2.4c). It is the responsibility of the applicant to fill out the form and turn it in at the appropriate time during the session. The receipt of the form is recorded on the Progress Report form.
4. In the event that the applicant is elderly, a Confidential Medical form (Figure 2.4d) is given to them at the Orientation Session to be completed by their physician. The Medical form is to be mailed to the Occupancy Office. Record the receipt of the form on the Progress Report form. If the applicant does not have the Medical form completed and returned to the Occupancy Office, the applicant is considered to have rejected an available unit. A notation to this effect is made on the Progress Report form. The file folder is replaced in the original position in the active eligible file, and two more units are subsequently offered to the applicant. If a total of three units are rejected, the applicant's file folder is placed at the end of the waiting list.

Procedure 2.5

SELECTION

Purpose: To house an applicant in a suitable unit as soon after it becomes vacant as possible.

Who Uses: Occupancy Supervisor, Occupancy Clerk

Steps:

1. A vacancy report (Figure 2.5a) is received the first of every week. Based on this report selections are made using the following priorities: bedroom size, rent range, date and time of application. If the information is more than 30 days old, the application will be updated. The selection will be approved by the Supervisor.
2. The Clerk completes the selection letter (Figure 2.5b). Completion will be recorded on the Progress Report form.
3. The Clerk completes the Tenant Information form (Figure 2.5c) except for the move-in date and rent start date. Record the above items on the Progress Report Form.
4. The applicant file folder with the selection letter and the Tenant Information form will be sent to the office of the appropriate manager. Record the transfer of the file folder on the Progress Report form. Upon receipt of the file, the Manager decides whether or not to accept the applicant. If he accepts the applicant, the letter of selection is mailed to the applicant by the Housing Clerk from the community and the mailing is recorded on the Progress Report form. A copy of the letter is inserted in the file. If the applicant accepts the unit, a move-in date will be decided upon. The Housing Clerk records the move-in date and rent start date on the Tenant Information Form.
5. If the Manager does not accept the applicant, the file folder is returned to the Occupancy Office. The Manager must attach a detailed memorandum addressed to the Occupancy Supervisor stating the reasons for refusing the applicant family. If the reasons are valid, the memorandum is retained in the file and the reason for nonacceptance is written on the Progress Report Form. If the Occupancy Supervisor questions the Manager's refusal, a meeting is arranged between the Occupancy Supervisor, the Manager and the Director. The decision reached in this meeting is recorded on the Progress Report Form.

Procedure 2.5

(Continued)

6. If the applicant does not accept the unit, the file folder is returned to the Occupancy Office with the notation of non-acceptance on the Progress Report form. The file folder is replaced in the original position in the active eligible file and two more units subsequently are offered to the applicant. If three units are rejected, the applicant's file folder is placed at the end of the waiting list.
7. The Clerk reselects and repeats Steps 1 through 6 above until the unit is filled.
8. At the end of the month, the Housing Management Clerk sends a monthly move-in/move-out report (Figure 2.5d) to the Occupancy Office.
9. The Housing Management Clerk sends the completed Tenant Information form to the Accounting office who then forwards the form to Data Processing. Action is recorded on the Progress Report form.

3.0 RECERTIFICATION

Procedure 3.1

PROCEDURES FOR RECERTIFICATION

Purpose: To expedite the recertification interviews.

Who Uses: Occupancy Clerk, Occupancy Supervisor

Steps:

1. The eligibility status and family income of each family is recertified and redetermined once a year. Recertifications are conducted on a semi-annual schedule. All residents whose original move-in date falls within a given period are scheduled for their recertification during that period.
2. Two weeks before the start the recertification process, the file folders for the residents to be recertified are pulled. In order to include all verification forms (Figures 1.3a-i) needed to complete the recertification in the notice to the resident, the Clerk reviews last year's recertifications, all interims thereafter, the Progress Report Form (Figure 1.3j).
3. Residents are notified by letter (Figure 3.1a) of the date and time to come in for their interview at their community management office. This letter is sent approximately two weeks in advance of the scheduled interview. Included with this letter will be the appropriate verification forms. The advance notice allows the resident time to call if the date for the interview conflicts with other obligations. It also gives the resident time to have all verification forms completed and bring with them for their interview. The resident is informed of the Authority's inability to give a deduction without verification. If the date and time of the recertification interview are inconvenient, the resident may call the Occupancy Office to reschedule the interview.
4. During the recertification interview, the Clerk fills in all spaces on the Application for Continued Occupancy interview sheet (Figure 3.1b) by reconfirming all the previously recorded information with the resident. The Clerk checks with the resident to ascertain that all family members previously listed are still residing in the home and makes any changes necessary. Parentheses are put around the name(s) of a family member who is out of the home temporarily and an explanation shown (for example: in school, in service). The following should be included for each family member: relation to the head of household, date of birth, current grade in school or grade of school completed, occupation and social security number. The

Procedure 3.1

(Continued)

copy, and 2) the Tenant Information form (Figure 2.5c). If the resident is housed in a unit that is either too large or too small for his family, a Transfer Notice (Figure 3.1g) is also typed. The letter is mailed to the family, a copy inserted in the resident's file, and the action recorded on the Progress Report form. If the proper verification has not been brought in, a temporary rent notice (Figure 3.1h) is typed. In the case of unstable income, a Notice of Special Reexamination (Figure 3.1i) is typed. Include the Notice of Rent Adjustment, the Temporary Rent Notice or Notice of Special Reexamination and the Tenant Information form in the file to send to the Manager's office. The Housing Clerk mails the Notice of Rent Adjustment to the residents thirty (30) days prior to the effective date. The Manager sends the Tenant Information forms to the Accounting Office who then forwards them to Data Processing.

8. Residents who do not come in for their interview will be sent a second notice (Figure 3.1e) informing them of a make-up date in their community for their recertification interview. If the resident does not come in they may have their lease canceled.
9. If the resident does not respond to the second notice, the Clerk sends a memo to the Management Office to inform them that the file is being turned over to them for action. When the issue is resolved, the Management Office sends a memo to the Occupancy Office informing them of the outcome.

3.1a

RECERTIFICATION NOTICE

Each year the Housing Authority is required by Federal law to recertify each resident who resides in our communities to establish his/her eligibility for possible rent adjustment and other pertinent information.

Your appointment for this recertification is set for _____ o'clock on _____ 19____, at your Housing Manager's office. If this date and time are inconvenient for you, please notify this office at _____

You will be responsible for bringing in the following documents when reporting for your recertification interview. (The blocks checked apply specifically to you.)

- Verification of all income received by anyone living in your apartment. Forms are attached for employers listed in our files.
- If you or any member of your family receive their income from Social Security, Supplemental Security Income, Public Assistance, VA Retirement, or Pension, you must bring your next check to your Management office for verification.
- Bring in your quarterly statement or passbook on your savings account.
- For persons eighteen (18) years or over attending high school, college or vocational school full-time, we must have a statement from the institution verifying the enrollment as a full-time student.
- If you are paying child care or have a member of your family living with you who is ill or incapacitated, please bring in the verification of amount paid.

(See Reverse Side)

If you have extraordinary medical expenses that you are not compensated for or not covered by your insurance in excess of 3% of your total income, please bring in verification of the amount paid. (This would be for ~~the previous calendar year.~~)

If you have unusual occupational expenses not compensated for by your employer, please bring in verification of the amount paid.

Please bring in the Social Security numbers, birthdates, grade of school completed of all persons residing in your household.

If persons residing in your household other than those listed on the enclosed forms are employed or are receiving other income, you must obtain the appropriate forms from your Management office and have ~~the forms filled out by the~~ employer or agency.

We expect your cooperation in providing the Housing Authority with the above required information. Should you fail to provide the information, the Housing Authority has no alternative but to ~~serve you a lease cancellation notice.~~

If you have any questions, please feel free to call us at

Sincerely,

Occupancy Supervisor

Housing Manager

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4.0 INTERIMS

4.0 INTERIMS

Procedure 4.1

REDETERMINATION OF FAMILY INCOME

Purpose: To make adjustments to rent based on a change in family status.

Who Uses: Occupancy Clerk, Occupancy Supervisor, Housing Clerk, Managers

Steps:

1. The resident must initiate the Interim Redetermination process by coming to the Manager's office to report a change(s).
2. The Housing Clerk completes the Interim Redetermination of Family Income form (Figure 4.1a). The resident is responsible for providing proper verification: Income Verification forms (Figures 1.3a-i) may be used.
3. When the form is complete, the Housing Clerk will read the information back to the resident, including the legal statement at the end. The resident is then asked if there are any changes. The resident then signs and the Clerk signs and dates the form. If the resident cannot write, he makes his mark in the appropriate space, it is witnessed by the Clerk who writes the applicant's name next to the mark and indicates BY and the name of the Clerk.
4. When all verification has been received, the Manager or Clerk places all forms in the Resident File Folder and sends it to Occupancy.
5. The Occupancy Clerk reviews the verifications and recomputes the rent and has the recomputation certified by the Occupancy Supervisor.
6. The Occupancy Clerk types a Notice of Rent Adjustment (Figure 3.1e) in original and one copy, completes changes on the Tenant Information form and posts changes on the Interim log (Figure 4.1b).
7. The Occupancy Clerk returns the Resident File Folder with all completed forms to the Manager of the community. The Housing Clerk posts rent change on the rent roll and mails the original copy to the resident. The carbon copy is stapled in the Resident File Folder next to the lease. The Tenant Information form is sent to Accounting who then will forward it to Data Processing. The Resident File Folder is returned to the correct file in the Manager's office.

Procedure 4.1

(Continued)

8. In the case of a Temporary Rent Notice (Figure 3.1g) or Special Reexamination Notice (Figure 3.1h), the Interim Redetermination form (Figure 4.1a) is used to complete adjustments. Either the completion of Temporary Rent form (Figure 4.1c) or the Completed Special Reexamination form (Figure 4.1d) is used at this time. The completed form is included in the Resident File Folder.

INTERIM CHANGES

19 _____

CARRYOVERS RECEIVED	_____
TOTAL COMPLETED	_____
REMAINING	_____

REFERENCE INFORMATION		ACTION TAKEN				ACTION TAKEN		
OTR. NO.	PROJ. ACC'T. NO.	REASON FOLDER WAS SENT	DATES REC'D	DATES RET'D	OLD CHRG. MET INCOME	NEW CHRG. MET INCOME	NO. CH'S	EFFECTIVE DATE

FUNCTIONAL AREA:

Rental and Occupancy

EFFECTIVE MANAGEMENT PRACTICES:

Residential Hearing Committee;
Annual Tenant Dwelling Lease
Compliance Review; and Guide-
lines for Assessing Elderly and
Handicapped Tenants' Ability to
Live Independently.

AGENCY:

St. Paul Public Housing Agency
(St. Paul, Minnesota)

SIZE:

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EXECUTIVE SUMMARY

This case study describes three effective management practices at the St. Paul (Minnesota) Public Housing Agency (SPPHA), including the use of:

- resident hearing committees, which review appeals from applicants denied admission by the SPPHA rental officer, and which also approve or deny tenant transfer applications;
- annual tenant dwelling lease compliance reviews, conducted by housing managers to determine whether applications for continued occupancy should be denied and whether existing leases should be terminated; and
- guidelines for assessing elderly and handicapped tenants' abilities to live independently in high-rise public housing.

Resident hearing committees implemented by SPPHA have proven to be more cost effective and faster than holding formal hearings with a paid hearing officer, which were used previously. Additionally, appellants perceive this process to be fairer because tenants compose a majority on the committees. The rental officer can also present cases more strongly, knowing that the committees will fully consider the views of appellants.

SPPHA has also initiated the practice of annual reviews of tenant dwelling lease compliance because they provide an expeditious way to identify and remove those tenants whose behavior is continually disruptive. In contrast to resident hearing committees, a paid outside hearing officer hears appeals of these lease termination decisions pursuant to the grievance procedure.

Lastly, the guidelines used by human services coordinators at SPPHA to assess the independent living skills of current and prospective tenants provide a means of systematically identifying and assisting those who are unable to live independently. The assessment guidelines are applied primarily to those tenants

whose health or mental faculties have significantly deteriorated. Tenants not meeting the standards may be denied admission or readmission, or may be referred to an alternative living situation such as a nursing home, a hospital, or the home of a relative. In cases where tenants need supportive services to live in public housing, SPPHA coordinates a plan for providing those services. SPPHA has found that referring tenants who cannot live independently to an alternative living situation reduces health hazards, serves to ensure that SPPHA's standards of behavior are adhered to, and ultimately, reduces staff costs.

These practices, separately and together, have significantly improved SPPHA's rental and occupancy system and may be adapted to other agencies with similar tenant populations and behavioral problems. There are no inherent difficulties in implementing these practices at other agencies and indeed similar practices have already been implemented at several other public housing agencies.

ST. PAUL AT A GLANCE

CHARACTERISTICS	DATA
Total Stock:	4,238 units in 28 projects (6 of which are scattered-site projects)
● Projects for Families:	14 projects
● Projects for Elderly Tenants:	16 projects
● Unit Sizes:	efficiency 7 percent one-bedroom 56 percent two-bedroom 13 percent three-bedroom ... 16 percent four-bedroom 6 percent five or more bedrooms 2 percent
● Largest Project:	McDonough Homes (484 units)
● Smallest Project:	545 North Wabasha (75 units)
● Oldest Project:	McDonough Homes (1951)
● Newest Project:	825 Seal Street (1975)
Demographics:	
● One-Parent Households:	75 percent
● Minority Tenants:	62 percent
● Children Under 18:	44 percent
Operations:	
● Operating Expenses:	\$186.89 (PUM)
● Dwelling Rentals:	\$108.19 (PUM)
● Operating Reserve:	50 percent of allowable level
● Staffing:	135 full-time-equivalent positions: 39 administrative, 14 tenant services, and 82 maintenance and custodial.

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2. The second part is a list of dates.

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I. SPPHA'S EFFECTIVE RENTAL AND OCCUPANCY MANAGEMENT PRACTICES

This chapter describes, in turn, St. Paul Public Housing Agency's resident hearing committees, annual tenant dwelling lease compliance reviews, and assessments for independent living.

THE RESIDENT HEARING COMMITTEES

SPPHA's resident hearing committees are formal groups of tenants and staff that make binding admission decisions for applicants who have been administratively denied admission by SPPHA's rental officer. The committees also review tenant requests for transfers between SPPHA projects and housing programs based on hardship considerations. The committees are rather unique, and tenants and staff alike praise them for increasing tenant involvement in important occupancy decisions, including those related to problem tenants. The remainder of this section describes the committees' history, the committees' make-up and procedures, and their procedures for handling applicant and transfer cases. The section concludes by presenting some typical cases of each type.

History of the Committees

The first committee was established in the late 1960s, after HUD had implemented new model lease and grievance procedures. SPPHA staff were concerned that changes in the grievance procedures and lease policies would make it almost impossible to evict problem tenants. Hence, it became very important to try to detect potential problems during the admission process.

For a while, a staff committee reviewed and approved new applicants. Often the committee was divided over whether to admit applicants in borderline cases. Staff from the management department usually opposed admission, and human services staff often advocated admission. Gradually, staff members came to realize that tenants should be involved in the process, because

existing tenants would have to live with the new tenants, and many tenants were complaining that problematic applicants were being allowed into the projects.

The first committee with tenant representation was formed in 1968-69. This committee had one tenant, one human services staff member, and one management staff member. After the committee had functioned successfully for two years, the staff decided to cede majority control to the tenants. In 1971 the committee expanded to five members, including two staff representatives and three tenants. There now are two committees--one for elderly tenants and one for families. Committee membership rotates among staff and tenants and each member has one vote.

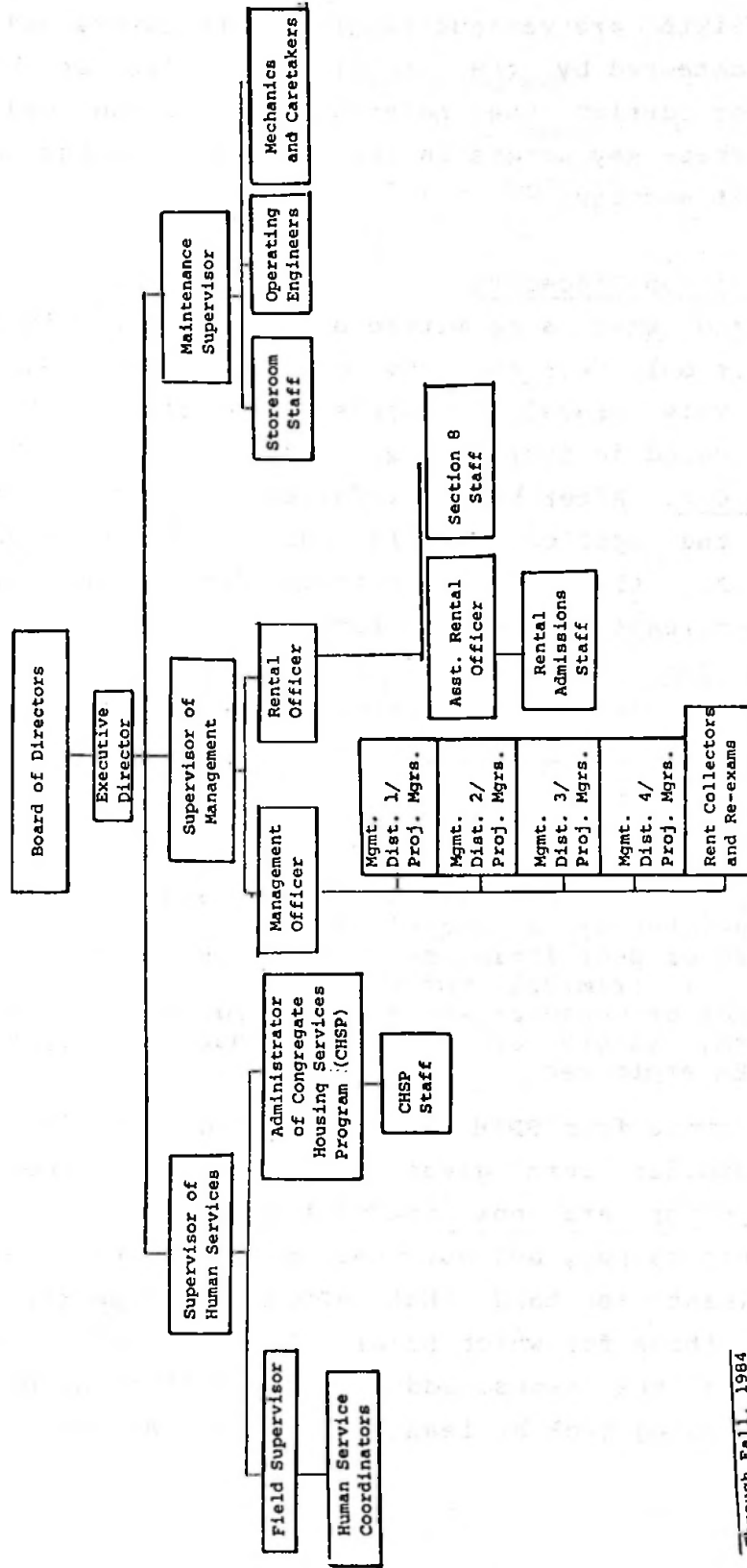
At first, the committee ruled only on new admissions, but soon transfers were added to its responsibilities. For a while, tenant members were selected from among interested volunteers, but there were rarely enough good volunteers, and some volunteers were overly zealous. Thus, the present system of choosing from among resident council officers evolved.

Another experiment involved letting a tenant member chair the meetings. However, this practice rarely worked well since the tenants' grasp of informal parliamentary procedures tended to be inadequate, and for this reason, it was curtailed.

Key Actors in the System

There are six key actors or groups of actors in the resident hearing committee system. (For a depiction of the overall organizational structure of SPPHA, see Exhibit I-1.) First is the applicant. Second is the rental technician, who does the intake work in the rental office. Third is the rental officer (and assistant rental officer) who supervise the rental office and answer to the executive director through the supervisor of management. Fourth are the four human services coordinators, who have social work backgrounds and work in the separate human services department. Fifth is the resident hearing committee itself, which will be described in detail

**EXHIBIT I-1
ORGANIZATION CHART OF SPPHA**



Through Fall, 1964

below. Sixth are various landlords, employers and other outside parties contacted by the rental technician or human services coordinator during the reference and background checks. The roles of these key actors in the committee system are described in the next section.

The Application Procedure

If and when a committee becomes involved in an applicant's case, it is only near the end of the normal application procedure. This procedure comprises the following ten steps, which are illustrated in Exhibit I-2.

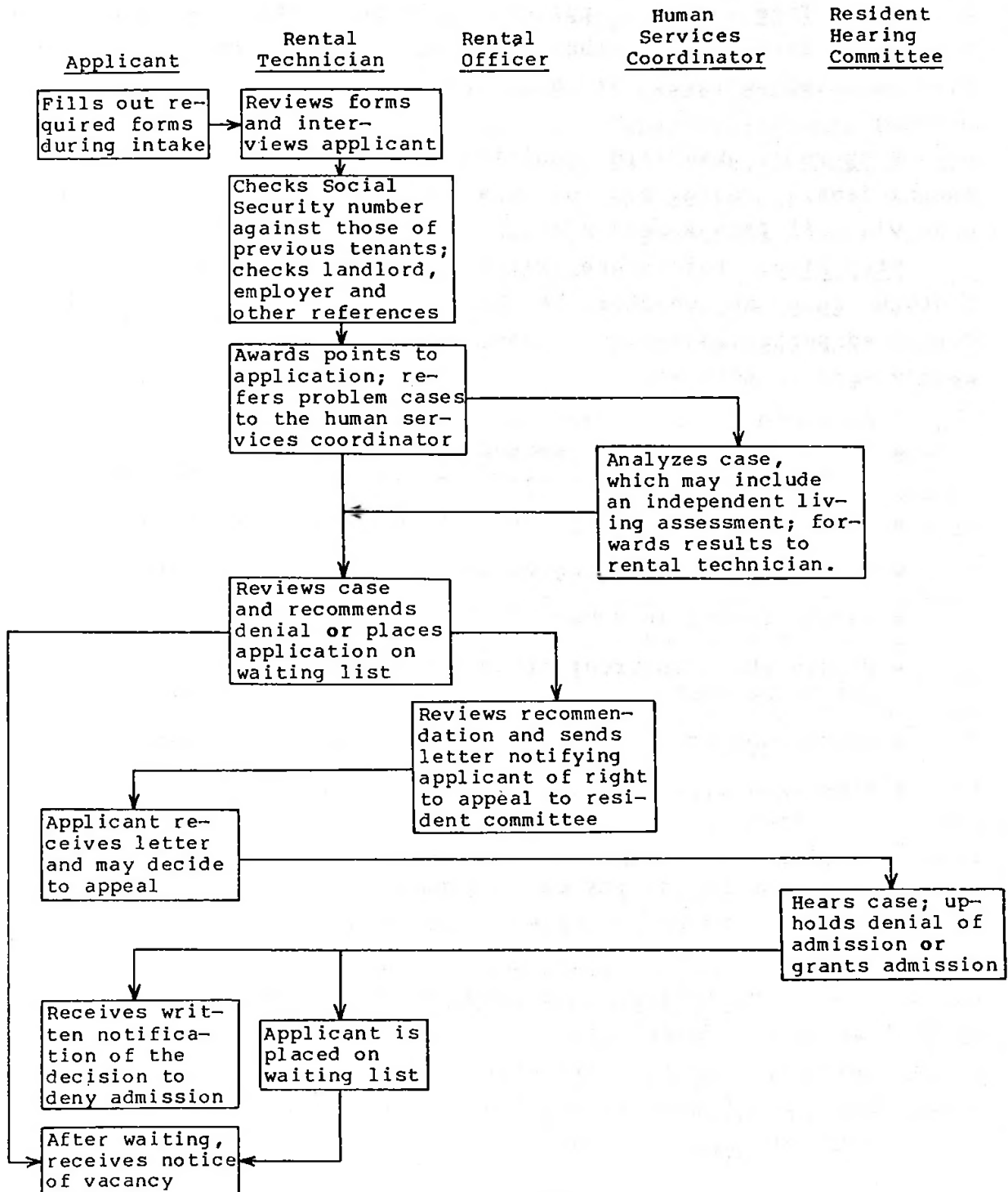
Step One. After being informed of his or her right to privacy, the applicant fills out SPPHA's admission form (see Appendix A), the income-certification form, the authorization-to-release-information form (see Appendix A).

Step Two. The intake rental technician interviews the applicant and reviews the forms. In this initial interview, the applicant is informed that admission may be denied if he or she has:

a record of non-payment of rightful obligations including rent and utilities; a record of disturbance of neighbors; a record of destruction of property; a record of poor living or housekeeping habits; a history of criminal activity; or a history of other conduct or behavior which would adversely affect the health, safety or welfare of other tenants, neighbors or PHA employees.

This is a quote from SPPHA's "Statement of Policies" manual, and from a similar form given to applicants (see Appendix A). Former tenants are not readmitted unless they pay, or make arrangements to pay, any outstanding debts they owe to SPPHA. The applicant is told that SPPHA will perform an extensive background check for which he or she must list on the application form the names, addresses, and phone numbers of previous landlords, going back at least two years. Admission may also be

**EXHIBIT I-2
SPPHA'S APPLICATION PROCESS**



denied if the prospective tenant is unable to live independently, as will be described subsequently in this chapter.

Step Three. The applicant's social security number is checked against SPPHA's computer files to see if he or she has ever applied before, or has ever resided in St. Paul's public housing.

Step Four. Landlord inquiries are undertaken by the rental technicians. These can be via telephone, but are preferably done via mail (see Appendix A).

Step Five. Points are awarded to the applicant based on factors such as whether he or she is a St. Paul resident, displaced person, disabled person, or veteran. Specific points awarded are as follows:

- St. Paul resident or person employed in St. Paul 64 points
- Person displaced by government action 32 points
- Person without housing 16 points
- Person living in substandard housing 8 points
- Person whose current gross rent exceeds thirty percent of income 4 points
- Person who is elderly or disabled 2 points
- A veteran 1 point

Step Six. If the rental technician is of the professional opinion that the tenant may cause future problems, the case is referred to a human services coordinator, who conducts a home visit to assess the housekeeping skills, living situation, and attitude of the family. The human services staff also rigorously follows up the home visit, making all landlord, employer, social worker, parole officer, and court checks deemed necessary. SPPHA staff members say that, if necessary, they spend a great deal on long distance telephone calls in order to track

down former landlords of applicants who seem likely to cause problems. Although a staff member may have a "gut" feeling that an applicant will cause problems, tangible evidence must be obtained before a denial is recommended (see Appendix A).

Step Seven. The human services staff turns over its findings to the rental technician, who either recommends denial or places the applicant on the waiting list. Factors that determine where on the waiting list an applicant is placed include the points awarded, the size and make-up of the household, and whether the applicant is elderly.

Step Eight. If the rental technician recommends denial, the applicant's file must be reviewed by the assistant rental officer or the rental officer. If the reviewer concurs with the recommendation, the applicant is sent a letter informing him or her of the decision, and his or her right to appeal to either the family resident hearing committee or the elderly resident hearing committee. In the event of the receipt of unfavorable information with respect to an applicant, consideration shall be given to the time, nature, and extent of the applicant's conduct and to factors which might indicate a reasonable probability of favorable future conduct or financial prospects. The staff weighs factors such as the seriousness of the landlord's complaints and any history of criminal activity or violence.

Step Nine. If an appeal is requested by the applicant, the appropriate resident hearing committee hears the case and makes a binding decision. The applicant could make a further appeal through the courts, but this option has never been exercised (see Appendix A). A rehearing by the committee can be requested if new data are available; this has occurred occasionally.

Step Ten. If a committee decides to admit an applicant, he or she is placed on the waiting list and treated in the usual way. This involves waiting until his or her name comes up, updating all forms, being shown a unit, accepting it, getting an orientation briefing, paying a deposit, and moving in.

Exhibit I-3 provides an idea of the volume of cases that flow through this system. Of over 2,000 applications in a sample one-year period, only seven percent were rejected by the rental officer. Of these 144 rejections, only about seventeen percent appealed to the resident hearing committees. Of the twenty-five appeals heard, only four were decided by the committee in favor of the appellant. Thus, this system works very well from management's point of view. The rental office only rejects a small proportion of the applicants; but when an applicant is problematic enough to be rejected by management, the rental office staff can be confident that the applicant is not likely to be placed on the waiting list. (The four successful appeals constitute only 2.7 percent of the 144 applications rejected by the rental office.)

The Transfer Procedure

Requests for hardship transfers from one unit to another, from one project to another, or from one program to another (for example, from a Section 8 existing subsidy unit to a LIPH unit) are made in writing by the tenant at the tenant's management office. The requests are forwarded to either the elderly resident hearing committee or the family resident hearing committee (whichever is applicable). The committee reviews these cases at their monthly meetings without any judgment by the rental office. However, both human services and management staff personnel make positive or negative recommendations to the committee. As with admission cases, rehearings may be requested, but transfer denials may be appealed through the grievance procedure. However, this has never happened.

Exhibit I-4 presents the flow of hardship transfer requests through the committees for a sample one-year period. Of the 4,238 households served by SPPHA, 113 requested transfers during the year. Of these requests, sixty-six percent were approved by the committee and twenty-nine percent were denied. Note that the committee approves a higher proportion of requests from

EXHIBIT I-3

FLOW OF NEW APPLICANTS
FROM NOVEMBER 1983 THROUGH OCTOBER 1984

<u>Status</u>	<u>Elderly Applications</u>	<u>Family Applications</u>	<u>Total Applications</u>	<u>Percent of Previous Total</u>
Number of New Applications	885	1,174	2,059	--
Number of Applications Rejected by Rental Officer	67	77	144	7.0%
Number of Appeals Heard by Resident Hearing Committee	11	14	25	17.4%
Number of Appeals Decided by Committee in Favor of Applicant	1	3	4	16.0%
Number of Successful Appeals Placed.	0*	0*	0	0%

*Due to the length of the waiting list, none of the 4 successful appellants were placed by October 30, 1984.

EXHIBIT I-4

FLOW OF HARDSHIP TRANSFER REQUESTS
FROM OCTOBER 16, 1983 THROUGH OCTOBER 16, 1984

<u>Status</u>	<u>Elderly Requests</u>	<u>Family Requests</u>	<u>Total Requests</u>	<u>Percent of Total Requests</u>
Total Number of Requests	73	40	113	100%
Requests Approved by Committee	55	20	75	66.4%
Requests Denied by Committee	16	17	33	29.2%
Requests Tabled	2	1	3	2.7%
Outcome Unclear	0	2	2	1.8%

elderly residents than from families.

Applicants for transfer are told that the committee will only allow transfers in cases where actual hardships can be demonstrated, and where it is clear that the transfers will relieve such hardships. (The only exception to this is that in recent years SPPHA has had some difficulty filling its efficiency units in some of its high-rise buildings for elderly tenants. Transfer requests from Section 8 units to these high-rises are almost always granted.) Transfer applicants must also have satisfactory housekeeping reports, be current in their rents and other charges, and leave their former unit in "first-class" condition.

Committee Compositions and Procedures

Staff members of the committees are drawn from the housing managers and the human services coordinators on a rotating

basis. One committee position is always filled by a human services representative, and one is always filled by a management representative.

Tenants are drawn from present and sometimes from past officers of the elderly and family resident councils elected in each project, and participate on a rotating basis each month. The rental office maintains a composite list of participants and calls several of them to obtain volunteers for the next meeting. The office sometimes assigns minority participants to cases involving minority applicants or tenants. Occasionally, the rental officer is aware that a particularly difficult case is coming up. An effort is then made to select tenant members who are especially "sharp, good and objective." However, no attempt is ever made to "pack" the committee with tenants known to favor management. In fact, management favors independent thinkers. Members of the committee receive no formal training but rely on on-the-job training, which seems sufficient.

Although without a vote, the rental officer is a very important actor on the committee. The rental officer presents management's case for excluding the applicant and cross-examines the applicant and any witnesses. The rental officer's job is very draining and requires someone who is willing to ask the most personal questions in an effort to get a true picture of an applicant's ability to be successful as a public housing tenant.

Committee meetings are usually held once a month in a conference room at the rental office. State law requires the meetings to be open to the public, but outsiders virtually never attend. Because extremely personal matters are frequently discussed, all parties seem to appreciate the unofficial privacy of the proceedings. Committee members are instructed to keep the discussion and deliberations of the committee confidential. One member of the committee is nominated to take notes and to assist in writing a letter to the appellant, stating the vote and findings of the committee.

Most tenants who are requesting transfers do not personally

appear before the committee, but most applicants who are appealing a denial of admission to public housing do. Attorneys may be present but very rarely are.

A Typical Appeal for Admission

A case heard by the elderly resident hearing committee in the fall of 1984 illustrates the workings of the committee. The applicant was disabled and had applied to live in housing designated for elderly tenants. Such applicants are regarded as elderly under HUD regulations.

The five members of the committee opened the meeting by choosing the human services coordinator to serve as chairperson. Present in the room were the five members, the rental officer, her assistant, the director of human services, the applicant (Don Jones), his father, and two observers from the HUD study team.

Don Jones (fictitious names and titles are used to protect privacy) was a white male in his late twenties. Two of the tenant committee members were elderly, and one was a middle-aged, disabled male.

The human services coordinator began by reading from a typewritten sheet that SPPHA provides to all committee chairpersons (see Appendix B). This sheet outlines the procedure by which the chairperson is to conduct the hearing.

Following the prescribed procedure, the rental officer presented management's position first, explaining her responsibilities and how the background investigation was done. She noted that Don had applied in September 1984, claiming disability and low income. A human services investigation had shown that both claims were true, but that two out of three previous landlords contacted had cited the following: that Don's housekeeping habits were poor; that he had spent almost all his time sequestered in his room, apparently depressed; that he had been found sleeping in another person's car near his

apartment house; and that he abused alcohol extensively. Also, Don had provided only eleven months of recent landlord history rather than the usual twenty-four months. The director of human services was called to testify that two of the three previous rental locations given as references by Don were halfway houses for emotionally disturbed persons, and thus Don had little recent independent living experience. For these reasons, the rental officer recommended denial of admission.

Don responded by saying that the incident in which he was found sleeping in the car occurred almost two years before, that he no longer drank alcohol, and that he had largely solved his social problems. However, he stated that he had been diagnosed as schizophrenic, depressive, and alcoholic and that he had once been in a state mental hospital for several years. His father testified that Don was living at home, was neat, never had any violent tendencies, but sometimes "laid around in his room."

Next, under cross-examination by the rental officer, Don stated that he was attending Alcoholics Anonymous meetings. However, in response to a question, Don acknowledged that he had only attended regularly for the last two weeks. He acknowledged that every six months or so he became depressed, and needed to be hospitalized for about a week. Asked about his experience in living independently, he was able to cite only one such period, when he lived with his brother for six months seven years ago.

Committee members next asked questions and, in response to a question, Don stated that he had been hospitalized briefly twice in the previous six months.

In closing statements, the rental officer stated that before the hearing, she had had two reasons for recommending denial (the two negative landlord reports). Now she had a third set of reasons--the recent hospitalizations, Don's depression, his need for constant supervision by his father, and his inability to live independently.

Don angrily said that all the persons in the room had obviously made up their minds ahead of time, and he contended

that he could live independently.

The final order of business was the deliberation by the committee. The first tenant voted for denial, stating that he did not think Don could live independently. A project manager voted for denial for the same reason. A housing tenant voted for denial, giving no reason, and the third tenant voted for denial, stating that it was very important to be communicative in public housing. Finally, the human services coordinator voted for denial, stating that Don apparently could not live independently.

The human services coordinator adjourned the meeting, but Don's father said, "People have to have somewhere to go. What is public housing for?" On that plaintive note the hearing ended, having lasted about two hours. (No one answered Don's father's question at the time the meeting was adjourned, but the answer that SPPHA gives very strongly to anyone who asks that question is, "We are not the houser of last resort. We will only house appropriate individuals. We do this to protect tenants, avoid destruction of units, and hold down costs.")

Some Typical Transfer Cases

Typical transfer requests initiated by three families and three elderly tenants will be discussed in this section, again using fictitious names.

Case I. The first family request came from Mrs. Marston, a black woman in her thirties. She and her three teenage daughters lived in a Section 8 Existing unit in what she described as a very bad area across from an all-night bar. She complained of cockroaches, high crime, and stress brought on by her location. She brought a doctor's letter stating that she was depressed and sleepless. (It also stated that she was not taking medications and should avoid alcohol for several months.)

The human services coordinator's recommendation was that she be transferred, as requested, to a three-bedroom LIPH unit. However, the management department opposed the transfer.

A resident committee member asked Mrs. Marston if she had a "support system" in her proposed new location. She said her father lived nearby. After further questioning, it became apparent that Mrs. Marston probably had a drinking problem, that she did not get along with her neighbors, and that they may have called the police to complain about her daughters' behavior on occasion.

In subsequent voting on the case, two tenants voted that the transfer should be allowed provided that Mrs. Marston enter a counseling program that addressed her various problems. A third tenant voted to deny the transfer, saying she should learn to get along better with her neighbors. The management and human services representatives agreed with the first two tenants, creating a four to one majority for allowing the transfer, contingent upon Mrs. Marston providing proof that she had enrolled in a counseling program. The case took about fifteen minutes altogether.

Case II. The second family transfer request was initiated by Mrs. Johnson, who lived in a two-bedroom, two-level LIPH unit. She wanted to transfer to a two-bedroom, one-level Section 8 Existing unit across town near her daughter's hospital and her brother's home. Her daughter, who was dependent on a wheelchair as result of a recent accident, could be better accomodated in this unit. Mrs. Johnson did not appear before the committee but sent a letter from the hospital confirming her need. The committee quickly voted unanimously to grant the request. The case took about five minutes.

Case III. The third family case involved Mr. Thompson, who also did not appear before the committee. He requested a transfer to another LIPH unit nearer his work, citing the high cost of commuting. The human services coordinator noted that his young children had to walk eleven blocks from the family's current residence to school.

Discussion revealed uncertainty among the members. They were unsympathetic about Mr. Thompson's commuting costs but were

concerned about his children. A motion to table the request and obtain more information was discussed, but eventually the committee voted three to two in favor of the transfer, with the management's representative and one tenant voting against. This case took about ten minutes.

Case IV. In the first of the three cases involving elderly tenants, Mrs. Sail, a transfer case, desired a transfer from an efficiency unit to a one-bedroom in the same high-rise because a stroke had left her unable to open her hide-a-bed. (Neither she nor any of the other elderly tenants discussed below appeared in person.) A doctor's letter was presented and stated that she had hypertension. The human services coordinator said Mrs. Sail had demonstrated that she could not use the hide-a-bed, but otherwise was alert and competent, and had done well on a recent housekeeping inspection. One tenant representative stated that she knew the applicant, but opposed the transfer because she felt that cleaning a one-bedroom unit would exhaust Mrs. Sail. After discussing the case for about five minutes, the committee voted four to one in favor of permitting the transfer.

Case V. The next elderly case involved Mrs. Martin, who requested a transfer to another building or to a Section 8 unit, after finding a hostile note on her door. The anonymous note said that the "grim reaper was coming to get her," and she feared she was in danger. Two of the tenant members of the committee said they knew her fairly well; they reported that she was disruptive and constantly complained about other tenants, and discounted the idea that she was in any danger. They also felt that she had brought the hostility upon herself, and that she would repeat her abrasive behavior regardless of where she was moved. A vote after about ten minutes of discussion indicated that two tenants and a project manager opposed the transfer, and one tenant and the human services coordinator favored it. The transfer was denied.

Case VI. The final elderly case involved Mrs. Mudd, who was housed in a Section 8 Existing efficiency and wanted to move

to a LIPH unit in a new high-rise building across the street. This request had been denied in the spring of 1984, because a housekeeping inspection by a human services coordinator had found her unit in poor condition. The coordinator stated that Mrs. Mudd had enrolled in a housekeeping class over the summer, that she now had help with her housework, and that she had passed a recent inspection. (It was also later pointed out to the observers that SPPHA is having difficulty filling some of these elderly high-rises.) After five minutes of discussion, the committee voted unanimously to permit the transfer.

ANNUAL TENANT DWELLING LEASE COMPLIANCE REVIEW

This effective management practice involves annually reviewing each tenant's compliance with the terms of the dwelling lease, denial of the application for continued occupancy, and termination of the existing leases of tenants who have created problems throughout the year. This is done at the time of the annual reexamination of income when tenants file their applications for continued occupancy. This practice is a manifestation of SPPHA's philosophy of trying to retain a body of good tenants by rejecting applicants who seem likely to cause problems and expelling tenants whose behavior is disruptive; it is partially credited with helping to keep the general tenant body happy, rent collection and property levels high, and vandalism low. A termination of tenancy letter is used that differs significantly from the termination of tenancy notice routinely used for other breaches of the lease. The letter is keyed to HUD's noneconomic selection criteria which are applied, in this case, to tenants in possession, as opposed to applicants. This practice does not preclude the PHA from terminating a tenant's dwelling lease during the course of the year for serious breaches of the lease.

This section describes the history of the program; the flow of denials of applications for continued occupancy and the terminations of existing leases; the relevant policies and pro-

cedures; two typical cases; and the costs, benefits, and transferability of the system. In all examples names are fictitious.

History of the Program

Six years ago, SPPHA staff had a fairly serious problem with repeatedly terminating large numbers of leases. Each month, the staff had to mail about 350-400 termination of tenancy notices, mostly for nonpayment of rent, in order to try to induce problem tenants to pay rent, rid the household of a dog or cat, comply with the PHA's pest control policies, pay utility bills, or behave in a responsible manner. This process was time consuming, expensive and often unsuccessful. In addition, the staff had to file "unlawful detainer" requests with the municipal court in forty-five to fifty-five cases each month.

Then the staff considered using the annual application for continued occupancy as a vehicle for reviewing lease compliance (behavior) during the past year. The application for continued occupancy is filed each year by the tenant as part of the tenant's income recertification. The idea was to examine each tenant's lease compliance record throughout the past year, and if a tenant's behavior was unacceptable, simply deny the application for continued occupancy and terminate the existing lease. Tenants who wish to contest this method of lease termination may appeal through SPPHA's grievance procedure, which could involve a formal hearing before a hearing officer.

As a result of this change in procedures, only about seventy-five to one hundred termination of tenancy notices per month are now sent to tenants. The number of unlawful detainers filed has declined dramatically, to about ten per month, costs have been reduced, and the staff time saved is expended on other work.

Lease Terminations

In terminating leases during the annual reviews, SPPHA

follows the twelve steps discussed below and outlined in Exhibit I-5. Tenants at SPPHA all file their applications for continued occupancy on a project-by-project basis, rather than on the anniversary dates of individual tenancies. For large projects, fifty percent of the tenants reapply in say, June, and the rest reapply in July.

Step One. Each housing manager examines the lease compliance behavior of tenants in each household that is reapplying. The manager does this by carefully reviewing the detailed file that is kept on each household. This file lists all complaints from neighbors, sightings of pets in violation of the pet policy, late payment of rents or other charges, nonpayment of utilities, and other violations of the lease.

If, in the manager's judgment, the violations are "serious or repeated," he or she may recommend nonacceptance of the application for continued occupancy. (Of course, if a lease violation is extremely serious and "represents a threat of physical harm, destruction of property, or creates a danger to the health and safety of other persons," the manager may recommend terminating the lease upon five days notice. Quotes are taken from the Manager's Manual, parts of which appear in Appendix C.) The annual refusals to renew are designed to address only minor but repeated offenses. Major lease violations are acted on when they occur. The manager must use good judgment and must be able to document a decision as to what constitutes a serious or repeated violation of the lease. Habitual late payment of rent does not by itself warrant lease termination at the time of the application for continued occupancy; but when it is coupled with other lease violations that may have occurred during the year, a strong case for denial of continued occupancy and termination of the dwelling lease can be demonstrated. This is because most hearing officers may not sustain a termination of grounds of habitual late payment alone. Typical cases involve numerous instances of late payment of rent, coupled with extremely poor housekeeping, complaints from

**EXHIBIT I-5
SPPHA'S TENANT DWELLING LEASE COMPLIANCE REVIEW AND TERMINATION PROCESSES**

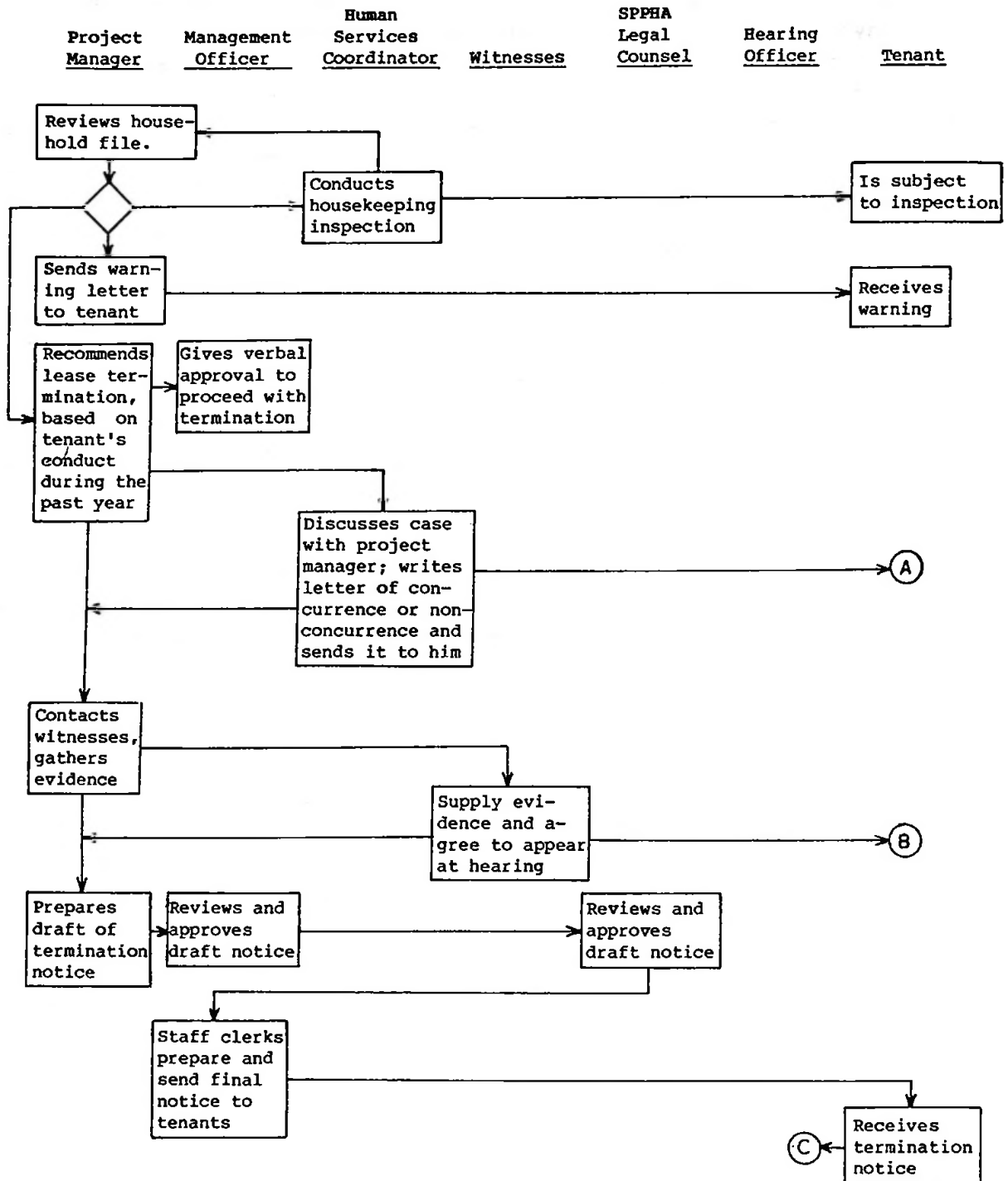
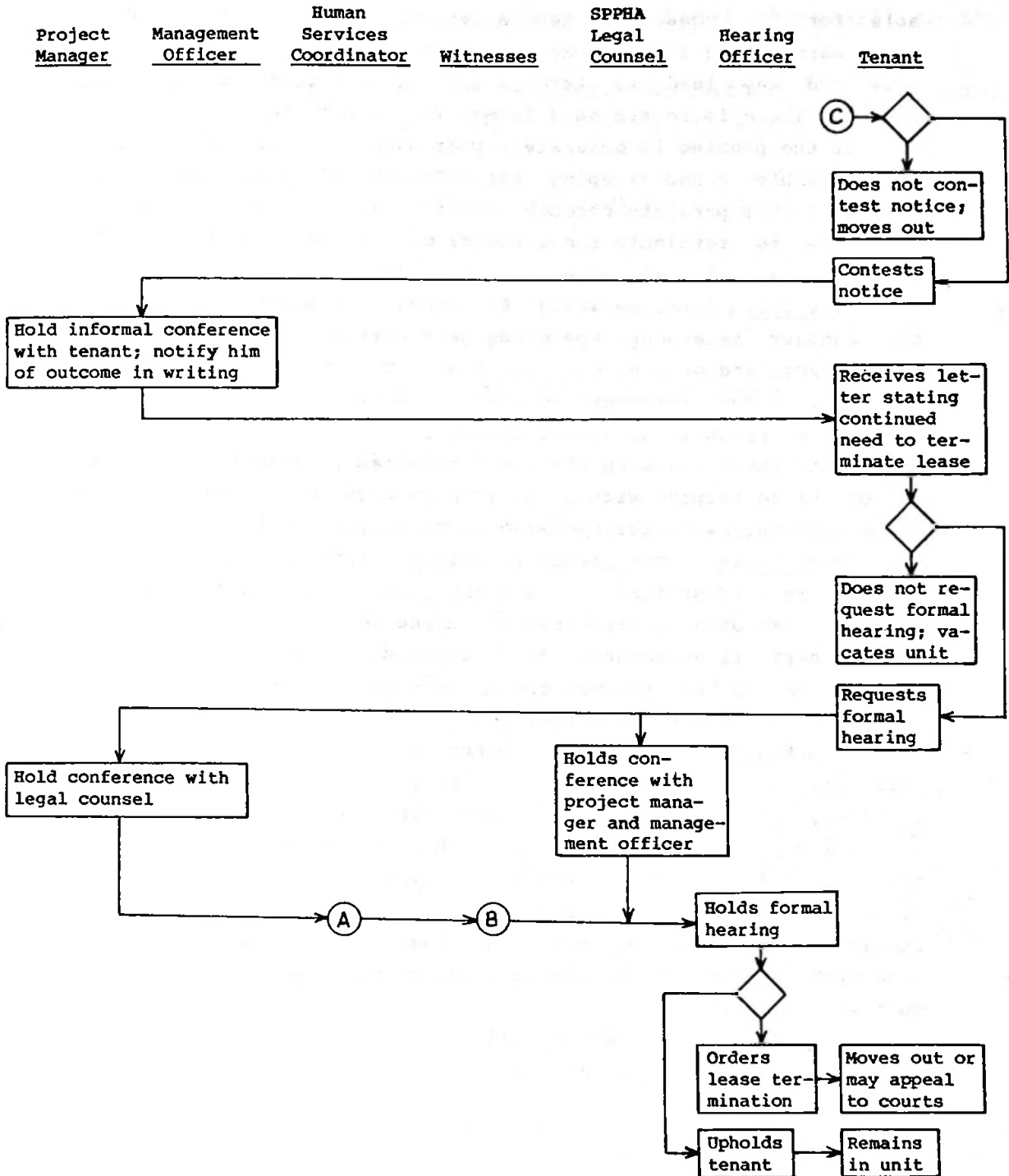


EXHIBIT I-5 (continued)



neighbors, utility shut-offs, or pet violations. It is advisable for the manager to send a letter, during the course of the year, warning the tenant that his or her behavior is unacceptable and may lead to termination of the lease at the annual review. There is no standard format for this letter.

If the problem is moderately poor housekeeping, the manager may schedule a housekeeping inspection in thirty to ninety days. If the problem persists through several inspections, the agency may move to terminate the lease or may choose to wait until the annual review, if doing so would strengthen the case.

Step Two. After deciding to proceed against the tenant, the manager telephones the management officer, presents the pertinent facts and gets an oral approval. The manager also notifies the human services coordinator familiar with the case that the manager plans to terminate the tenant's lease. The manager discusses the case with the human services coordinator, and asks him or her to respond with a written notice of concurrence or non-concurrence with the decision to terminate the lease.

Step Three. The manager obtains written statements from appropriate witnesses and gathers any needed documentation. He or she also obtains witnesses who agree to appear at the hearing and in court, if necessary. If it appears that witnesses may be intimidated by the tenant, the manager makes a special effort to secure a large number of witnesses.

Step Four. The manager prepares a draft of the proposed termination notice, citing the lease provisions that have been violated, and describing the specific violations in detail. Appendix D provides an example of such a notice and the settlement reached just before the hearing was to be held. All of the letter is in standardized form except for the listing of the specific provisions of the lease that have been violated. The description of specific violations is attached to the standardized letter.

Step Five. The draft notice is reviewed by the management officer and SPPHA's legal counsel.

Step Six. The management office's clerical staff types the notice in final form and sends it by first class mail to the tenant.

Step Seven. If the tenant contests the notice, an informal conference is first held, as specified in the grievance procedure (see Appendix B).

Step Eight. If satisfactory resolution does not occur, the tenant may request a formal hearing.

Step Nine. If a hearing is requested, the housing manager, witnesses, and legal counsel hold a case conference to review the facts and testimony.

Steps Ten. The case is heard before a hearing officer, or, if the parties cannot agree on a hearing officer, a panel of three persons may be selected according to the conditions specified in the grievance procedure.

Step Eleven. The hearing officer issues an opinion, which is binding on SPPHA but not on the tenant.

Step Twelve. The tenant may appeal to the local courts, if he or she elects to do so.

From management's perspective, the attraction of this system is that most tenants receiving such notices move out without requesting a hearing. Thus, minimal expenses are incurred and problems are resolved. As Exhibit I-6 indicates, during the past three years, about sixty-three percent of tenants who received notices of nonrenewal moved out without a hearing. Another twenty-nine percent reached settlement with SPPHA before the hearing, and only eight percent actually went to a hearing. Tenants won a slight majority of the seven hearings that were held.

The SPPHA staff has noticed that the number of leases terminated in this manner tends to exhibit a cyclic fluctuation: a high number in one year is followed by a low number in the next year. Exhibit I-6 illustrates this point. The staff's theory is that the large number of lease nonrenewals in the

EXHIBIT I-6

FLOW OF TERMINATIONS COMPLETED DURING THE ANNUAL APPLICATION FOR CONTINUED OCCUPANCY PERIOD

<u>Steps</u>	<u>Terminations</u>				<u>% of Total</u>
	<u>1981</u>	<u>1982</u>	<u>1983</u>	<u>Total</u>	
1 Notice of Nonrenewal Sent to Tenant	39	8	39	86	100.0%
2 Tenants Receiving the Notice Who Moved Before the Hearing	26	4	24	54	62.8%
3 Settlements Reached Prior to Hearing	10	2	13	25	29.1%
4 Hearings Held	3	2	2	7	8.1%
5 Hearings Lost	1	1	2	4	4.7%

Note: Lines 2, 3 and 4 sum to line 1

first year of the cycle serves as a warning to new tenants and a reminder to old tenants that SPPHA is serious about expelling problem tenants. However, when the second year of the cycle passes with very few terminations, tenant awareness of the policy decreases and violations increase, which leads to many more terminations in the third year.

Policies and Procedures

Hearing officers are always attorneys chosen in consultation with Ramsey County Legal Assistance (now called Southern Minnesota Regional Legal Services, Inc.) and the City-Wide Resident Council, as specified in SPPHA's grievance procedure. Four to five approved attorneys are usually kept in the pool of available hearing officers, and are paid \$75 for conducting a hearing and \$75 for writing an opinion.

Tenants may be represented by counsel; most have some form of representation. Sometimes "certified law students" assist the tenants. Transcripts of a hearing may be made at the tenant's request and expense but none has ever asked for a transcript. Hearings are private unless the tenant requests a public hearing. Most prefer private hearings. Hearings are usually held in a conference room at SPPHA's headquarters.

At the hearing, the tenant states his or her complaint. This generally involves the tenant disputing the agency's charges, although sometimes the tenant admits the charges and raises mitigating factors, such as large family size, poverty, or lack of alternative housing. Next, the agency makes its case against the tenant, citing the lease violations and giving the details of each incident. Finally, each side gets to cross-examine witnesses. All this is conducted informally, and strict rules of evidence are not followed. On rare occasions, the hearing officer sequesters witnesses. After adjourning the hearing, the hearing officer usually issues an opinion within three to four weeks.

Two Typical Cases

The first typical case involves Mrs. Jones (a fictitious name), who filed an application for continued occupancy in June 1983. After internal review of her conduct, SPPHA sent her a denial notice on June 21, 1983. The notice stated that she had violated five provisions of the lease relating to cleanliness, disposal of rubbish and garbage, and use and operation of supplied plumbing fixtures. The violations also involved several failures to pay rent and utilities, failure to comply with a payment agreement to make up back rent, failure to pass three housekeeping inspections, and failure to cooperate with pest control assistance.

A hearing was held on August 2 and 4, 1983. The tenant was represented by counsel. Mrs. Jones acknowledged some house-keeping and rent payment problems but said that there was some

confusion about how much rent she owed, that she was in the process of correcting the problems, and that her neighbors had never complained about her housekeeping.

On August 25, 1983, the hearing officer stated his findings, which were: SPPHA clearly had the burden of establishing serious or repeated violations of material terms of the lease; Mrs. Jones's rent payment record was extremely bad, but that was largely due to circumstances beyond her control; she was making efforts to pay back the rent; her housekeeping was problematic but not the subject of neighbors' complaints; and she had not wantonly destroyed SPPHA property. Hence, he ruled in favor of the tenant. He also suggested that the agency should have granted an extension of the last home inspection (despite her failure to pass two previous ones), and that the agency should develop "reasonable standards to govern housekeeping."

The agency's attorney provided additional information after the hearing, stating that Mrs. Jones was still in arrears, and that she had failed to report part of her income. The hearing officer found that because these items were raised after the hearing, they were not germane to his ruling.

The second case involved Mr. James, who had moved into a SPPHA unit in March 1984. In September 1984, he applied for a continuation of occupancy which was denied on September 21, 1984. In its denial, the agency stated that Mr. James had violated provisions of the lease related to payment of rent, use of the unit solely as a private dwelling, disturbance of neighbors, destruction of property, illegal activities, and keeping the premises neat. Specifically, Mr. James allegedly disturbed his neighbors with loud music; received numerous visitors carrying in stolen merchandise; was late in paying his rent on three occasions; failed to keep his yard properly; and his brother's behavior resulted in the police being called twice.

As a result of the denial of renewed occupancy, Mr. James moved out in October 1984, without contesting the charges.

TENANTS' ABILITY TO LIVE INDEPENDENTLY

The third effective management practice involves a system developed by SPPHA's human services department to evaluate the ability of tenants to live independently. This system is used almost exclusively in evaluating elderly and handicapped tenants who apply to live alone (or who already live alone) in high-rise public housing. It is very rarely used in evaluating family applicants. This system has received national attention and has been adopted by at least two other public housing agencies. It is praised by social workers and housing managers as providing an objective guide for evaluating tenants whose loss of physical or mental abilities could drastically reduce their chances of living successfully in public housing.

The assessment takes into account twenty factors, ten of which are considered critical and ten contributory. Examples of critical factors include meal preparation and diet, personal care and medications, housekeeping ability, and alcohol and drug abuse. Examples of contributory factors include financial management, transportation, capability to maintain interpersonal relationships, and communication capabilities.

The lease, the Manager's Manual and large posters in the rental office mention the ability to live independently as a prerequisite to being accepted into public housing. The Manager's Manual defines persons who can live independently as "those who are either able to care for themselves or who recognize their need for care and are able to organize and obtain such care for themselves." The manual adds that SPPHA will assist residents in organizing assistance.

This section discusses a brief history of the assessment, the sources and flow of the caseload, and the assessment guidelines and their application.

Brief History of the Assessment

The assessment system got its impetus between 1969 and 1972, when the SPPHA built nine high-rise housing projects for

elderly tenants, dramatically expanding its focus on elderly tenants and its capacity to serve them. Renting the new units led to some screening problems, because it was not always clear whether some elderly applicants were capable of living independently, and some of the new tenants immediately encountered problems. Borderline applicants were often the subject of conflict between management and social workers, with the social workers advocating independence for their clients, and the housing managers opposing the admission of potential problem tenants. This conflict was most acute in dealing with some outside social service organizations. Because their clients were sometimes living in very poor conditions, these organizations insisted that the clients be allowed admission to public housing. Sometimes the staff of these organizations had misconceptions about the level of service that would be available to their clients upon admission to SPPHA housing. And sometimes they seemed to ignore the safety and rights of existing tenants, in favor of their clients. For example, on at least one occasion the staff of one such organization strongly advocated that SPPHA admit a known pyromaniac.

The assessment guidelines were first drafted and adopted as a working document by SPPHA staff in 1974. The guidelines have been revised three times in their eleven-year history. The early versions did not list all of the twenty factors currently in the guidelines, did not distinguish between critical and contributory factors, and did not take into account the eventuality that tenants might refuse the support services available to them.

Throughout the development of the system, SPPHA's board of commissioners has been aware of the guidelines but has not officially approved them. (In 1982, the board was given an informational memo describing the guidelines in detail.) HUD's involvement has been limited to referring other interested agencies to SPPHA for information about the system.

Sources and Flow of the Caseload

Clients who are subject to the assessments fall into three categories: new applicants, reapplicants and existing tenants.

New Applicants. The flow of new applicants can be broken down into seven steps. First, during the initial intake process, an experienced rental technician interviews the applicant. The interviewer asks numerous questions, including whether anyone in the applicant's family is disabled or handicapped, what the nature of the handicap is, and the name of the applicant's doctor. The interviewer is trained to observe other indicators of the need for an independent living assessment. Such indicators include slurred speech, difficulty in answering questions, evidence of alcohol abuse, a general lack of cooperation, and any history of living in half-way houses. Although most assessments involve elderly applicants, occasionally the rental technician refers family applicants or young single persons to the human services department.

Second, after the intake interview, verification forms are sent to all relevant parties, including past landlords and current doctors. Complete verifications often contain indicators as to whether an independent living assessment is necessary.

Third, the rental technician receives and reviews the completed verifications, and decides whether a human services staff assessment is necessary. If so, the application is sent to the department with a form requesting an independent living assessment (see Appendix E). The application is logged out and sent to the human services department where it is logged in and assigned to the human services coordinator most likely to have the applicant in his or her district, if the applicant is accepted. (If the rental technician decides no assessment is needed, the application is simply put on the waiting list in the normal way.)

Fourth, the human services coordinator tracks down any other landlords, relatives, friends, doctors, parole officers,

or other individuals who might provide information on the applicant's ability to live independently. The human services coordinator visits the applicant at home and applies the independent living guidelines. The human services coordinator interviews the applicant, and any relatives or friends who are present. He or she also makes use of all the senses. For example, a keen sense of smell can detect possible housekeeping and incontinence problems.

Fifth, the human services coordinator fills out a rating sheet, assessing the applicant on the twenty key factors. The human services coordinator also writes a report and recommendation to the rental technician, summarizing the human services department's findings and recommending either admittance or denial. (This report and recommendation is done on the bottom of the transmittal form that accompanied the case from the rental office to the human services staff.)

Two "rules of thumb" sometimes are used when deciding to admit mentally ill applicants: 1) Has the person had at least one year of recent experience at independent living? and 2) Does the person's current "support system" involve twenty-four hour monitoring by relatives or institutional staff, to a degree that precludes independent living? Even with these standards and extensive experience, SPPHA's staff sometimes finds it difficult to decide whether individuals are capable of living independently. This is true not just of mentally ill applicants but of all types of applicants.

Sixth, the rental technician decides whether to admit the applicant (in which case the applicant is placed on the waiting list) or to recommend denial. Recommendations for denial are reviewed by the rental officer or assistant rental officer. Usually, the rental office accepts the human services staff's recommendation as to the tenant's ability to live independently.

Seventh, rental office denials can be appealed to the resident hearing committee, and ultimately to the courts (although no one has ever taken such a case to court).

Exhibit I-7 provides an overview of the flow of applicants' cases to the human services department from the rental office over a sample one-year period. Of 2,059 applications, 615 (or 29.9 percent) were referred to the department for various reasons. Many of these referrals were for independent living assessments, but unfortunately, it is not possible to determine exactly how many. Of the 2,059 applicants, seven percent were denied entry by the rental office, and twenty-five appeals were heard by the resident hearing committee. It is unclear how many of these were for independent living problems, how many were for other problems, and how many were for a mixture of problems. (Recall the case of Don Jones, for whom no formal independent living assessment was performed but whose inability to live independently was clearly important in the committee's decision.)

Many more formal independent living assessments are done on new applicants than on those seeking readmission and on existing tenants. These assessments are discussed below.

EXHIBIT I-7

FLOW OF NEW APPLICANTS TO THE HUMAN SERVICES DEPARTMENT AND TO POSSIBLE APPEALS, NOVEMBER 1983--OCTOBER 1984

<u>Status</u>	<u>Number</u>	<u>Percent</u>
Total Number New Applications	2,059	100.0%
New Applications Referred to Human Services Department	615	29.9%
New Applications Denied Entry by Rental Office	144	7.0%
Appeals Heard by Resident Hearing Committee	25	1.2%
Rental Office Denial Overruled by Committee	4	0.2%
Appeals to Courts	0	0%

Tenants Returning From Hospitalization/Nursing Home Care.

SPPHA tenants who have been temporarily placed elsewhere (in a hospital or nursing home, for example) may wish to return to high-rise living. In such cases, the human services coordinator familiar with the returning tenant usually discusses the situation with the staff at the temporary institution and at the monthly coordinating meeting held in the tenant's SPPHA high-rise. If any of the staff members familiar with the case suggests an independent living assessment, the human services coordinator usually undertakes the assessment, often in cooperation with members of the temporary institution's staff. A typical test would be to apply the guidelines in assessing the client's ability to procure and administer his or her own medications (as a test for cooperativeness and accuracy), and to have the client cook a bacon, lettuce and tomato sandwich (which requires dealing with a hot stove, hot grease, and a sharp knife).

If the assessment indicates that the returning tenant is not ready for independent living, the staff explores alternatives, including nursing homes, placement with relatives or friends, temporary home-help in the high-rise, or placement in SPPHA's congregate housing services program (CHSP). CHSP is located in a high-rise, and is designed for residents who have difficulty in managing daily living activities, but who do not need the intensive services and supervision of a nursing home.

Existing Tenants. Many elderly tenants develop problems that raise questions about their ability to live independently. Typical problems include incontinence, physical ailments, erratic behavior, and refusal to allow authorized staff into their apartments. Complaints from staff and tenants about such dwelling lease compliance problems are brought up at the monthly coordinating meeting. If the problems are viewed as potentially chronic and serious, then the human services coordinator places the tenant's name on a list. The case is discussed, the tenant's needs are assessed, a staff member is assigned to visit

the tenant and monitor the case, and an informal service plan is developed. (The human services coordinator generally provides only very short-term assistance; if long-term assistance is necessary, the family services social worker or the public health nurse takes the lead.) The list of names is updated each month by the human services coordinator, who also records brief comments next to each name and distributes copies of the list at the meeting. (The list and all related discussions are kept confidential.)

The goal of the monthly meeting and of the service plan is to maximize the length of time that each tenant can live independently, and to improve the quality of tenants' lives. Toward these ends, all social work and other resources are brought to bear.

A tenant may be kept on the list, monitored, aided, and visited by staff for months until the tenant is clearly better or has worsened to the extent that a formal independent living assessment is needed. The twenty factors considered in the assessment are so familiar to staff that sometimes the formal assessment is simply that--a formality. Sometimes it is used as a tool to convince relatives, who are often less willing than tenants to accept the truth about problems, that an alternative living situation is essential.

Alternative living situations include placement in nursing homes, with friends or families, hospitals or hospices, or in the congregate housing services program. Often the independent living capabilities of a tenant are assessed by a team, which usually includes the human services coordinator, a family services social worker, a public health nurse, the housing manager, the tenant, and any appropriate relatives or helpers.

Applying the Independent Living Guidelines

Appendix E presents the assessment guidelines in detail. Although most aspects of the guidelines are self-explanatory, a few should be clarified.

First, even failure to meet the standards of a critical factor does not always mean that a tenant cannot live independently. For example, many residents require extensive regular assistance with meal preparation, an independent living skill. But meals-on-wheels programs, senior companions, homemaker assistance, and friends and relatives can enable SPPHA's tenants to remain in their apartments.

Second, none of the critical or the contributory factors are considered more critical or contributory than any others.

Third, the routine safety measures mentioned in factor number ten include such steps as placing combustibles away from stoves, placing phone and light cords where they will not cause tenants to trip, firmly anchoring rugs, and keeping units free of clutter to avoid tripping and fire.

Fourth, examples of the disturbing or disabling dwelling lease compliance traits or habits mentioned in factor seventeen include habitually accusing staff or residents of stealing, yelling at and intimidating other tenants, and refusing to allow authorized staff into the unit for such activities as pest control and inspections.

Fifth, SPPHA's staff feel that the factors addressing mental health (numbers 6, 7, 8, 17, and 18) are particularly difficult to judge, especially with mentally ill tenants. Some thought is being given to developing a separate set of factors for mentally ill tenants.

Sixth, the staff members administering these guidelines clearly need to be very skillful and tactful in interviewing and observing tenants. They must know a great deal about disabilities and the aging process. Human services coordinators at SPPHA have social work backgrounds and are quite sympathetic to tenant needs, while keeping their landlord function clearly in mind when trying to assess tenants' abilities objectively. Most human services coordinators have bachelor degrees in social work. The equivalent of 4.75 full-time employees are currently employed in this role and all of them conduct assessments. A

conscious decision was made not to have an assessment specialist, whose only task was assessment. It was felt that each human services coordinator should have this skill, that each coordinator knows his or her projects and their environment well, and that each should be responsible for screening tenants who enter his or her district and become his or her responsibility.

Seventh, training new human services coordinators to use the guidelines is done in two stages. First, the supervisor instructs the new employee. Second, the new coordinator spends several weeks observing an experienced coordinator using the guidelines and performing other functions.

Eighth, often the guidelines are applied in the presence of, and discussed with, the tenant, the tenant's relatives and other interested parties. This makes SPPHA's standards open and unambiguous and may well encourage dwelling lease compliance improvement.

Ninth, human services coordinators applying the guidelines are, and need to be, familiar with the conditions in the project to which the tenant seeks admittance. This is because conditions vary enough that a tenant who could not live independently in one building might succeed in another. For example, a young deaf person might fail in many high-rises, but succeed in sites where several other young deaf persons already live. Or an elderly man whose sight is poor and who relies on his daughter might fail if placed across town from his daughter's house. But he would probably succeed if placed near his daughter. Or an applicant with a history of blood clots might do well in a building with a weekly physician's clinic at which regular blood tests could be given.

Examples of Independent Living Assessments

This section presents four examples of independent living assessments, two for prospective tenants and two for current tenants. All the names used in these examples are fictitious.

Case I. The first case involves a young man, Mr. Nolty, with cerebral palsy, who applied for public housing on August 3, 1984. Because of his disability and difficulty in speaking, his application was sent to the human services department on August 7, 1984. A human services coordinator interviewed the applicant on August 28th, discussed the case with his employer, Goodwill Industries, and with two social workers and his doctor. On September 29th, the human services coordinator returned the application to the rental office with a recommendation to admit the client. He was subsequently placed on the waiting list for a unit in a high-rise project with elderly tenants and other young, disabled tenants.

Even though the doctor told a rental technician in a telephone interview that Mr. Nolty probably could not function in public housing, the human services coordinator recommended admittance, based on a second interview of the doctor, and the independent living assessment. Exhibit I-8 is a copy of the rating sheet completed during the assessment.

Case II. This case involves a young woman, Ms. Harper, who applied on September 12, 1984, for public housing. The case was referred to the human services department on September 13th because of a negative statement by a landlord and because she was then living in a half-way house. The human services coordinator interviewed Ms. Harper and her counselor on September 21st and on October 4th and recommended that Ms. Harper not be admitted to public housing. Ms. Harper's assessment revealed that she was an alcoholic, had a history of drug use and lacked the motivation to learn and apply independent living skills. Exhibit I-9 is a copy of the rating sheet completed on Ms. Harper.

Case III. Another typical case involved an elderly woman, Mrs. Hardesty, who lived in a high-rise for elderly tenants. Because of her deteriorating condition, an independent living assessment was undertaken by a team consisting of the human services coordinator, a social worker, and a public health

EXHIBIT I-8

COPY OF RATING SHEET COMPLETED ON MR. NOLTY

	CRITICAL AND CONTRIBUTORY FACTORS	CLASSIFICATION I INDEPENDENT	CLASSIFICATION II INDEPENDENT WITH SUPPORTIVE SERVICES	CLASSIFICATION III ALTERNATIVE LIVING SITUATION
Critical Factors	1. MEAL PREPARATION DIET	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	2. HOUSEKEEPING	<input type="checkbox"/>	<input checked="" type="checkbox"/> will	<input type="checkbox"/>
	3. MOBILITY	<input type="checkbox"/>	<input type="checkbox"/> poor balance - falls easily, gets up by self; no broken bones	<input type="checkbox"/>
	4. PERSONAL CARE: TOILET	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	5. PERSONAL CARE: MEDICATIONS	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	6. TIME, PLACE, PERSON ORIENTATION	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	7. PERSONAL HEALTH & WELFARE PLANNING & DECISION MAKING	<input type="checkbox"/>	<input checked="" type="checkbox"/> not much opportunity to make decisions	<input type="checkbox"/>
	8. PRESENCE & EFFECT OF ANXIETY, DEPRESSION, PHOBIAS, PARANOIA	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	9. ALCOHOL/DRUGS USES ABUSE	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	10. ROUTINE SAFETY AWARENESS	<input checked="" type="checkbox"/> Has not practiced at home, but has confidence	<input type="checkbox"/>	<input type="checkbox"/>
Contributory Factors	11. SHOPPING CAPABILITIES	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	12. FINANCIAL	<input type="checkbox"/>	<input checked="" type="checkbox"/> - cashes goods will check pays own bills	<input type="checkbox"/>
	13. TRANSPORTATION	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
	14. PERSONAL CARE: BATHING	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	15. PERSONAL CARE: DRESSING	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	16. PERSONAL CARE: GROOMING	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	17. PERSONAL HABITS & CHARACTER TRAITS RELATING TO GROUP LIVING CAPABILITIES	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	18. CAPABILITY TO MAINTAIN INTER-PERSONAL RELATIONSHIPS	<input checked="" type="checkbox"/> no friends, has friends at goodwill	<input type="checkbox"/>	<input type="checkbox"/>
	19. COMMUNICATION CAPABILITIES HEARING, SIGHT, SPEECH, WRITING	<input type="checkbox"/>	<input checked="" type="checkbox"/> speech very poor	<input type="checkbox"/>
	20. TELEPHONE COMMUNICATION CAPABILITY	<input type="checkbox"/>	<input checked="" type="checkbox"/> hard to understand	<input type="checkbox"/>

EXHIBIT I-9

COPY OF COMPLETED RATING SHEET ON MS. HARPER

	CRITICAL AND CONTRIBUTORY FACTORS	CLASSIFICATION I INDEPENDENT	CLASSIFICATION II INDEPENDENT WITH SUPPORTIVE SERVICES	CLASSIFICATION III ALTERNATIVE LIVING SITUATION
Critical Factors	1. MEAL PREPARATION DIET	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/> <i>all meals prepared at Duke St</i>
	2. HOUSEKEEPING	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/> <i>X lacks motivation - does not make bed, etc.</i>
	3. MOBILITY	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	4. PERSONAL CARE: TOILET	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	5. PERSONAL CARE: MEDICATIONS	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/> <i>medication given by staff - however she is aware of when they are to be taken</i>
	6. TIME, PLACE, PERSON ORIENTATION	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	7. PERSONAL HEALTH & WELFARE PLANNING & DECISION MAKING	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
	8. PRESENCE & EFFECT OF ANXIETY, DEPRESSION, PHOBIAS, PARANOIA	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
	9. ALCOHOL/DRUGS USES ABUSE	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
	10. ROUTINE SAFETY AWARENESS	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Contributory Factors	11. SHOPPING CAPABILITIES	<input type="checkbox"/>	<input checked="" type="checkbox"/> <i>mother would take her shopping</i>	<input type="checkbox"/>
	12. FINANCIAL	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
	13. TRANSPORTATION	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	14. PERSONAL CARE: BATHING	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	15. PERSONAL CARE: DRESSING	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	16. PERSONAL CARE: GROOMING	<input type="checkbox"/>	<input checked="" type="checkbox"/> ↔ <i>Hair not clean - dressed O.K.</i>	<input type="checkbox"/>
	17. PERSONAL HABITS & CHARACTER TRAITS RELATING TO GROUP LIVING CAPABILITIES	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	18. CAPABILITY TO MAINTAIN INTER-PERSONAL RELATIONSHIPS	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	19. COMMUNICATION CAPABILITIES HEARING, SIGHT, SPEECH, WRITING	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	20. TELEPHONE COMMUNICATION CAPABILITY	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

nurse, in cooperation with the tenant and her granddaughter.

The resulting rating sheet is shown in Exhibit I-10. On some factors, the team determined that Mrs. Hardesty's skills fell between classifications. Although Mrs. Hardesty did very well in some areas, in one critical area and in four contributory areas she clearly needed an alternative living situation. The team applied its professional judgment and decided Mrs. Hardesty should move to a nursing home.

Case IV. A fourth case involved an assessment done on Mrs. Gardner, an elderly tenant living alone in a high-rise unit. The assessment was done by a human services coordinator in cooperation with the tenant and her niece. This assessment indicated that Mrs. Gardner could remain in public housing if appropriate supportive services were provided. The fact that Mrs. Gardner had support from relatives, got along with her neighbors, and possessed independent living skills were pluses in her favor. Her ability to hear the phone or to prepare her own meals prompted the coordinator to make sure that the necessary support services were in place to assure that Mrs. Gardner could live independently in public housing. Mrs. Gardner's rating sheet is shown in Exhibit I-11.

EXHIBIT I-10

COPY OF RATING SHEET ON MRS. HARDESTY

	CRITICAL AND CONTRIBUTORY FACTORS	CLASSIFICATION I INDEPENDENT	CLASSIFICATION II INDEPENDENT WITH SUPPORTIVE SERVICES	CLASSIFICATION III ALTERNATIVE LIVING SITUATION
Critical Factors	1. MEAL PREPARATION DIET	<input type="checkbox"/>	<input type="checkbox"/> - X -	<input type="checkbox"/>
	2. HOUSEKEEPING	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
	3. MOBILITY	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	4. PERSONAL CARE: TOILET	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	5. PERSONAL CARE: MEDICATIONS	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	6. TIME, PLACE, PERSON ORIENTATION	<input type="checkbox"/>	<input type="checkbox"/> - X -	<input type="checkbox"/>
	7. PERSONAL HEALTH & WELFARE PLANNING & DECISION MAKING	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>
	8. PRESENCE & EFFECT OF ANXIETY, DEPRESSION, PHOBIAS, PARANOIA	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	9. ALCOHOL/DRUGS USES ABUSE	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	10. ROUTINE SAFETY AWARENESS	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Contributory Factors	11. SHOPPING CAPABILITIES	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
	12. FINANCIAL	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	13. TRANSPORTATION	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>
	14. PERSONAL CARE: BATHING	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	15. PERSONAL CARE: DRESSING	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	16. PERSONAL CARE: GROOMING	<input type="checkbox"/> X	<input type="checkbox"/>	<input type="checkbox"/>
	17. PERSONAL HABITS & CHARACTER TRAITS RELATING TO GROUP LIVING CAPABILITIES	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	18. CAPABILITY TO MAINTAIN INTER-PERSONAL RELATIONSHIPS	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>
	19. COMMUNICATION CAPABILITIES HEARING, SIGHT, SPEECH, WRITING	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>
	20. TELEPHONE COMMUNICATION CAPABILITY	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>

*9-5-84
 Gen Assessment
 done with grand-
 daughter, friend,
 social worker,
 nursing home
 present
 needs
 - 1 mo to do*

EXHIBIT I-11

COPY OF RATING SHEET ON MRS. GARDNER

	CRITICAL AND CONTRIBUTORY FACTORS	CLASSIFICATION I INDEPENDENT	CLASSIFICATION II INDEPENDENT WITH SUPPORTIVE SERVICES	CLASSIFICATION III ALTERNATIVE LIVING SITUATION
Critical Factors	1. ^{Done 7-11-84} MEAL PREPARATION DIET	<input type="checkbox"/>	<input checked="" type="checkbox"/> neighbor is doing neighbor is doing	<input type="checkbox"/>
	2. HOUSEKEEPING	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	3. MOBILITY	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	4. PERSONAL CARE: TOLLET	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	5. PERSONAL CARE: MEDICATIONS	<input checked="" type="checkbox"/> medication aware	<input type="checkbox"/>	<input type="checkbox"/>
	6. TIME, PLACE, PERSON ORIENTATION	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	7. PERSONAL HEALTH & WELFARE PLANNING & DECISION MAKING	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	8. PRESENCE & EFFECT OF ANXIETY, DEPRESSION, PHOBIAS, PARANOLA	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	9. ALCOHOL/DRUGS USES ABUSE	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	10. ROUTINE SAFETY AWARENESS	<input type="checkbox"/>	<input checked="" type="checkbox"/> groceries bought by niece husband	<input type="checkbox"/>
Contributory Factors	11. SHOPPING CAPABILITIES	<input type="checkbox"/>	<input checked="" type="checkbox"/> paid by niece husband	<input type="checkbox"/>
	12. FINANCIAL	<input type="checkbox"/>	<input checked="" type="checkbox"/> niece husband	<input type="checkbox"/>
	13. TRANSPORTATION	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
	14. PERSONAL CARE: BATHING	<input checked="" type="checkbox"/> afraid of tube sponge	<input type="checkbox"/>	<input type="checkbox"/>
	15. PERSONAL CARE: DRESSING	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	16. PERSONAL CARE: GROOMING	<input checked="" type="checkbox"/> beauty shop	<input type="checkbox"/>	<input type="checkbox"/>
	17. PERSONAL HABITS & CHARACTER TRAITS RELATING TO GROUP LIVING CAPABILITIES	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	18. CAPABILITY TO MAINTAIN INTER-PERSONAL RELATIONSHIPS	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	19. COMMUNICATION CAPABILITIES HEARING, SIGHT, SPEECH, WRITING	<input type="checkbox"/> H.O.H.	<input checked="" type="checkbox"/>	<input type="checkbox"/>
	20. TELEPHONE COMMUNICATION CAPABILITY	<input type="checkbox"/>	<input checked="" type="checkbox"/> can't hear well on phone - hearing prices for phone - niece husband will check into	<input type="checkbox"/>



II. WHY SPPHA'S MANAGEMENT PRACTICES ARE EFFECTIVE

This chapter analyzes why the three management practices (the resident hearing committees, the annual review of tenant behavior, and the independent living assessment) are effective.

THE RESIDENT HEARING COMMITTEES

The advantages of SPPHA's resident hearing committees heavily outweigh their few drawbacks. The resident hearing committees take some of the pressure off the staff, particularly the rental officer, to be lenient with problem tenants. She can concentrate on presenting management's case, confident that the human services representative and the tenants will consider the tenant's point of view.

The system provides more democratic control to tenants and increases their acceptance of unpopular verdicts, although it must be noted that not all applicants or tenants are pleased with the outcomes. Don Jones was not. And, a tenant whose appeal for transfer had twice been turned down told interviewers that he was quite upset and had written his U.S. Senator and hired a lawyer.

The resident hearing committee system is cheaper than using the grievance procedure, with its expensive hearing officers. The committee costs involve roughly twenty hours per month of tenants' time, paid at \$3.50 per hour, plus associated expenses such as child care and lunch costs. Additionally, an indeterminate but large amount of staff time is expended primarily in doing the extensive background checks and home inspections on questionable applicants; these are not direct costs of the committee, but are closely related to and supportive of its work. By contrast, the direct cost of the grievance procedure is at least several hundred dollars per hearing, due to payment of \$150 to the hearing officer and the costs of legal counsel.

An intangible cost of the system is the stress caused by exposing a person's weaknesses to a room full of strangers.

Even though the atmosphere is one of caring, it is often quite embarrassing for the applicants and staff.

THE ANNUAL TENANT DWELLING LEASE COMPLIANCE REVIEW

Annual reviews are effective because they reduce the number of problem tenants in occupancy. This, in turn, reduces the staff time and cost of filing unlawful detainers, especially in those cases in which problem tenants have been habitually delinquent with their rent--in addition to causing other problems. Another benefit is the perception by tenants that they will be held to reasonable standards of behavior. Less tangible benefits also include a more conducive living environment in which tenants are satisfied with their neighbors and take care of their units.

There are several costs associated with this practice. These include the expense of the hearing officer, should a tenant contest the tenancy termination, the staff time spent to prepare for hearings, and the staff time spent to maintain detailed records of tenant behavior. Here it should be noted that a recurring problem has been inconsistency in the rulings of hearing officers. Although some officers render balanced decisions, some seem always to rule in favor of the tenant, regardless of the circumstances.

THE INDEPENDENT LIVING ASSESSMENT SYSTEM

The benefits of the assessment system include the reduced number of injuries to tenants, reduced staff time devoted to aiding tenants who are clearly unsuitable for public housing, improved working relations with outside social service agencies (who have universally accepted the guidelines), improved morale of tenants, and improved clarity and objectivity of SPPHA standards. Quantifying these benefits is difficult, but SPPHA staff strongly feel that the assessment system saves much more than its cost.

The costs of the independent living assessment system include the staff time necessary to implement the system and the delays it sometimes causes in renting units. The human services staff estimates that each assessment takes about six hours (spread over many days), including time to set up the interview, conduct it, make phone calls to the appropriate individuals, and prepare a report on the case.

It takes the human services staff between three and fifty days to process an application. As of June 1984, seventy-eight percent of applications referred to the department were returned to the rental office within thirty days. The department has set a goal of trying to process ninety percent of the applications within thirty days. Many delays are caused by an inability to get responses from doctors, even though forms are sent to them with stamped, self-addressed return envelopes. The length of the processing time sometimes causes conflicts with the rental office staff, who want to minimize vacancy days but sometimes cannot rent units because applicants have not yet been approved by the human services staff.

There were virtually no start-up costs associated with the system. In-house staff developed the assessment guidelines. Since the guidelines were developed, the human services staff has been reduced by forty percent due to funding cuts. Despite this reduction, the assessments and other human services functions are carried out in a timely manner.

The first part of the document discusses the importance of maintaining accurate records of all transactions. It emphasizes that every entry should be supported by a valid receipt or invoice. This ensures transparency and allows for easy verification of the data. The text also mentions that regular audits are necessary to identify any discrepancies or errors in the accounting process.

Furthermore, it is noted that the accounting system should be designed to be user-friendly and efficient. This helps in reducing the time and effort required to enter and process data. The document also highlights the need for proper segregation of duties to prevent fraud and ensure the integrity of the financial information. It suggests that different individuals should be responsible for different stages of the accounting cycle, such as data entry, review, and approval.

In conclusion, the document provides a comprehensive overview of the key principles and practices of good accounting. It stresses the importance of accuracy, transparency, and efficiency in all financial reporting. By following these guidelines, organizations can ensure that their financial records are reliable and trustworthy, which is essential for making informed business decisions.

III. TRANSFERABILITY OF THE EFFECTIVE MANAGEMENT PRACTICES TO OTHER PHAS

This chapter briefly discusses issues to consider before transferring SPPHA's effective management practices to other agencies.

THE RESIDENT HEARING COMMITTEES

To achieve maximum benefit from the practice of having resident hearing committees, certain preconditions must be met. First, a fairly high degree of trust between most tenants and management should exist. St. Paul tenants are generally very pleased with SPPHA, and consequently the committees' votes usually do not split on strict landlord-tenant lines. Furthermore, management trusts the tenants' judgment enough to cede the majority of votes to them.

Second, management must be firmly committed to identifying potential problem tenants and keeping them out. It is much easier to say, "We will house anyone" than to conduct detailed and sometimes embarrassing inquiries into a person's background and capabilities. It is probably cheaper in the short run as well. But in the long run, SPPHA is confident that accepting only good tenants will result in much lower crime, higher rent collection rates, lower maintenance costs, less staff turnover, and happier tenants. SPPHA staff state repeatedly that, "We are not the housers of last resort."

Third, each agency should consider that very careful records on tenants, applicants, cases, and other related matters will need to be maintained. This represents an additional staff burden.

Fourth, the agency must have someone on staff willing to take on the "bad guy" role of representing the agency before the committee, and cross-examining the tenant applicant. If no one is willing to ask the difficult, personal, embarrassing questions that will reveal the truth, then the whole exercise

will be a rather pointless addition to the agency's overhead costs.

One possible way to introduce this system in an agency where conditions are somewhat less than ideal might be to have tenant members serve only on committees that review applicants and transfers to their own project. This would increase the tenants' interest in the results, and increase their sense of control. This should eventually lead to higher trust between management and tenants, and could facilitate later implementation of a wider system.

THE ANNUAL DWELLING LEASE COMPLIANCE REVIEW

SPPHA's system of terminating the tenancy of problem tenants as part of the annual income recertification should be readily transferable to other public housing agencies. Two other agencies have already adopted this system. The termination is treated as a standard thirty-day termination of the existing lease under HUD regulations, and may be appealed through the standard HUD grievance procedure. Hence, it should widely hold up under scrutiny by HUD or state courts.

Other agencies might consider this practice if they are constantly besieged with numerous, minor tenant infractions of rules, none of which individually are grounds for lease termination, but which collectively constitute a major problem.

No particular staff expertise is needed to adopt this system. Nor is the system limited to any particular size agency.

The transition to the new system should be planned carefully, as should any major policy change related to lease termination. Preliminary steps should include consultation with the agency's legal staff to ensure that the policy is legal; briefing the project managers and hearing officers (or equivalent) on the policy; possibly briefing or obtaining approval from the agency's board of directors (since they will receive complaints); and finally presenting the policy to tenants. Several channels of communication should be used, (e.g., meetings, the

tenant handbook, letters to each household, etc.). It would probably be wise to begin enforcing the policy only one year after announcing it. This would allow project managers to review tenants' behavior throughout the year in which the tenants were fully notified of the change, and would avoid charges of unfairness about a policy that was applied retroactively.

Naturally, this policy change must fit into the overall management philosophy of the PHA. If tenants and staff alike feel that the agency is the "houser of last resort," and that on-going minor infractions are not just causes for lease termination, then this policy is unlikely to succeed.

THE INDEPENDENT LIVING SKILLS ASSESSMENT PROGRAM

This program has already been adopted by at least two other PHAs, and publicity about it has generated many other inquiries. Transfer of the program to other agencies should be relatively straightforward, given three preconditions: 1) sensitive in-house staff with social work backgrounds and knowledge of local support services; 2) management and policy-makers with a fairly strong philosophy that the agency is not the "houser of last resort"; and 3) close links with local social service agencies, preferably modeled after SPPHA's monthly coordinating meeting.

One agency that has recently adopted the SPPHA assessment system, and has found that there are some fears among residents and social workers that the guidelines will be used to retaliate against troublesome tenants. There appear to be two primary ways to overcome this problem. First, with regard to the fears of social workers, all social workers active in elderly buildings should be invited to attend the monthly coordinating meetings. If these meetings are modeled on St. Paul's, any reasonable observer will come away with the impression that the meetings and the guidelines are used in a fair, tolerant, caring atmosphere, free from any hint of retaliation.

Second, with regard to the fears of tenants, the ideal solution would be to invite tenants to observe a few meetings to experience the honest, caring atmosphere of the meeting and the use of the guidelines. Because of confidentiality considerations, this is probably impossible. However, two possible variations on this would include: inviting one or two tenant observers (e.g., the head of the tenant council) to attend a few meetings, agree to protect the confidentiality of specific cases, and forward a general report on the proceedings;* or inviting one or two of the tenants under review to appear at each meeting. (Only one or two attendees is suggested, to prevent lengthening the meeting inordinately.)

Other possibilities for allaying tenant misgivings include holding a public meeting to explain the guidelines, having a tenant who has personally experienced the assessment discuss the process, and publishing copies of the guidelines with an accompanying narrative.

Clearly, the best cure for tenants' fears is use of the guidelines in a reasonable, considerate manner. Tenants' fears are not entirely groundless, in that the guidelines could be abused by staff acting in a nonprofessional, vindictive manner. The best cure is several years of reasonable, consistent application of the guidelines.

* The agency should ensure that no laws or ethics regarding social work confidentiality are compromised here.

APPENDIX A
FORMS USED IN SPPHA'S APPLICATION PROCESS

	PAGE
1) Application for Admission	IIIA-2
2) Authorizations to Release Information	IIIA-4
3) Telephone Verification Form	IIIA-6
4) Owner/Manager Questionnaire	IIIA-7
5) Grievance Procedure	IIIA-8

TRANSLATION NOTICE!

NOTICIA!
Si usted no puede leer Ingles, por favor digale al Administrador de esta oficina.

If you cannot read English, please let the Administrator know.

תרגום לסיכור מגורים
אם אתם לא יודעים אנגלית, אנא
ידועו את המנהל.

PUBLIC HOUSING AGENCY APPLICATION FOR ADMISSION

NAME _____ MAIDEN NAME _____ APPLICATION NO. _____
 ADDRESS _____ APT. # _____ TIME _____
 CITY _____ STATE _____ ZIP CODE _____ DATE _____
 SECURITY BUILDING: YES NO MESSAGE/WORK PHONE _____

I. FAMILY COMPOSITION: ALL PERSONS WHO WILL BE LIVING WITH FAMILY

Member No.	Names of Family Members			Social Security No.	Relation To Family Head	Date of Birth	Age	Sex	Place of Birth	Full Time Student	
	Last	First	Middle							Yes	No
1.					HEAD						
2.											
3.											
4.											
5.											
6.											
7.											
8.											
9.											
10.											

11. Do you expect any additions to your family? _____

II. NAMES OF PERSONS WHO COULD BE NOTIFIED IN CASE YOU CANNOT BE REACHED

Name	Relation To Family	Address	Phone Number	Speaks English (Yes/No)

III. ASSETS (A FULL AND COMPLETE LIST OF ALL ASSETS OF FAMILY)

Type	Account No.	Bank Name	Bank Address	Amount
Checking Account				
Savings Account				
Savings Certificates				
Certificate of Deposit				
U.S. Savings Bonds (Value)				
Stocks and Bonds (Value)				
Real Estate (Location and Net Value)				
Credit Union Shares/Credit Union Name and Address				

Cash or Other _____
 Have you disposed of any real property or assets in the last 2 years? Yes No

IV. INCOME: LIST INCOME SOURCE, RATE AND TYPE FOR YOURSELF AND ALL PERSONS WHO WILL LIVE WITH YOU. LIST CASE NUMBER OR CONTROL NUMBER FOR WELFARE ASSISTANCE.

Did you receive an Earned Tax Credit?	No	Yes - Explain

V. DEDUCTIONS

Medical _____
 Unusual Expenses _____

MEDICAL EXPENSES: (Elderly only) List any medical expenses you will have over the next 12 months which are not covered by insurance. You may list premiums paid for medical insurance. You will be allowed a deduction for the amount over 3% of your income.

UNUSUAL EXPENSES: List the name of the person providing child care and the amount you must pay for child care or for other family members who need care so that you can be employed, except that the amount deducted shall not exceed the amount of income received by the member employed.

VI. HOUSING CONDITIONS

A. Why are you applying for housing? _____
 B. Present housing conditions and need
 1. Without housing: Yes No Number of persons sharing unit with family _____
 a) Reason _____
 2. About to be without housing: Yes No
 a) Reason _____
 3. Living under substandard conditions: Yes No
 a) Explain _____
 C. Monthly amount now paid for Rent \$ _____ Utilities \$ _____
 Do you share rent? Yes No Your portion of rent \$ _____ Number of Bedrooms in the Unit _____

VII DISPLACED, DISABLED, VETERAN AND SERVICE DATA

A. Displaced Family: _____ 1. Address when Displaced _____

Displaced Family means a person or family displaced by governmental action or whose dwelling has been extensively damaged or destroyed as a result of disaster declared or otherwise formally recognized pursuant to Federal Disaster Relief Laws.

2. Date Moved _____ 3. Notified By _____

B. Disabled Family-Status of Elderly: 1. Member Disabled _____

2. Nature and Extent of Disability _____

3. Doctor's Name, Address, Phone _____

C. Military Service: 1. Name of Family Member who has been or is in the Military Service _____

Relation To Head _____ Claim No., if any _____

VIII LOCAL RESIDENCE

A. Are you a resident of St. Paul? Yes _____ No _____

B. Have you ever lived in public housing in St. Paul, or participated in the Section 8 program? Yes _____ No _____

If Yes, when and where: _____

C. Have you ever applied for public housing before? Section 8? _____

D. Your Addresses and Landlord's Name and Address FOR THE PAST 2 YEARS

1. Your PRESENT Address _____ How Long _____

City and State _____

Landlord's Name _____ Phone _____

Address _____

City and State _____ Zip Code _____

2. Your Previous Address _____ How Long _____

City and State _____

Landlord's Name _____ Phone _____

Address _____

City and State _____ Zip Code _____

3. Your Previous Address _____ How Long _____

City and State _____

Landlord's Name _____ Phone _____

Address _____

City and State _____ Zip Code _____

IF NECESSARY, USE ADDITIONAL SHEET

The following information is required, for statistical purposes only, so the Department of Housing and Urban Development (HUD) may determine the degree to which its programs are utilized by minority families. The General Counsel of HUD has ruled that the regulation issued on behalf of the secretary requiring collection of racial and ethnic data has the force and effect of law and takes precedence over any conflicting State or Local requirements.

Racial Group Identification: HEAD OF HOUSEHOLD

1) _____ White 2) _____ Black 3) _____ American Indian or Alaskan Native 4) _____ Asian or Pacific Islander

ETHNIC GROUP: 1) _____ HISPANIC 2) _____ NON-HISPANIC

I UNDERSTOOD THAT THIS IS NOT A CONTRACT AND DOES NOT BIND EITHER PARTY. I HEREBY CERTIFY THAT THE INFORMATION GIVEN BY ME IS TRUE, CORRECT AND COMPLETE, TO THE BEST OF MY KNOWLEDGE. I UNDERSTAND THAT ANY FALSIFICATION, MISREPRESENTATION OR CONCEALMENT OF INFORMATION GIVEN BY ME CAN RESULT IN MY EVICTION FROM ANY DWELLING UNIT OBTAINED FROM THE PHA AND POSSIBLE PROSECUTION UNDER THE LAW. I HAVE NO OBJECTIONS TO INQUIRIES MADE FOR THE PURPOSE OF VERIFYING THE STATEMENTS MADE HEREIN.

SIGNATURE OF APPLICANT _____ DATE _____

SIGNATURE OF APPLICANT _____ DATE _____

DO NOT WRITE BELOW
OFFICE USE ONLY

INTERVIEW BY _____ DATE _____
SECURITY DEPOSIT REGULATIONS AND NECESSITY FOR NORTHERN STATES POWER CO. CREDIT APPROVAL HAVE BEEN EXPLAINED TO APPLICANT _____ Yes _____ No

III-RISE CHOICE: (1) _____ ACCOMPANIED BY: _____
(2) _____
(3) _____



PUBLIC HOUSING AGENCY OF THE CITY OF SAINT PAUL

AUTHORIZATION TO RELEASE INFORMATION

I, _____, hereby authorize
Name - Please Print

_____ of the PUBLIC
HOUSING AGENCY OF THE CITY OF SAINT PAUL, to disclose to

the following information which is contained in my tenant file:

This information may be used for the following purposes(s) only:

This Release shall be effective _____, 19_____.

Signed _____

Date _____

AUTHORIZATION TO RELEASE INFORMATION

I, _____, hereby authorize

Name of Company

to disclose to the PUBLIC HOUSING AGENCY OF THE CITY OF SAINT
PAUL, the following information which is contained in my file:

This information may be used for the following purpose(s) only:

This Release shall be effective until _____, 19__.

Signed _____

Date _____

DP9
3/84



PUBLIC HOUSING AGENCY OF THE CITY OF SAINT PAUL

TELEPHONE VERIFICATION

_____	_____
Applicant/Tenant	Date
_____	_____
Applicant/Tenant Account No.	Address
_____	_____
Person Contacted/Telephone No.	Company Name

Information Obtained: _____

Information Received By _____

OWNER/MANAGER QUESTIONNAIRE

APPLICANT NAME _____ APPLICATION NO. _____

ADDRESS OF UNIT OCCUPIED _____

1. What was the period of occupancy of this applicant?
 _____ 19__ to _____ 19__ YES NO
2. Was the rent paid on time?
 If no, how late was it? _____ ___ ___
3. If applicant has vacated unit, was proper notice given of intent
 to vacate? ___ ___
4. Was the conduct of the applicant (or visitors) acceptable?
 If no, please explain. ___ ___
5. Are you aware of any problems affecting the applicant such as:
 alcohol abuse, violence, neighbor/neighborhood disturbances,
 police problems, etc.? ___ ___
 If yes, please explain.
6. Was the housekeeping acceptable?
 If no, why not? ___ ___
7. Did the applicant keep pets in violation of the rental agreement? ___ ___
8. Were there any violations of your rental agreement by the
 applicant? ___ ___
 Nature of violations:
9. Did the applicant keep the property in good condition?
 If no, please describe condition: ___ ___
10. What previous address did the applicant give when they applied
 for housing with you?
11. What forwarding address did the applicant give when they moved?
12. Would you re-rent to the applicant?
 If no, why not? ___ ___
13. How many bedrooms did the unit have? _____
14. Additional comments.

COMPLETED BY _____ TELEPHONE NO. _____

TITLE _____ DATE _____

ADDRESS _____

IF COMPLETED BY PHA STAFF

Questionnaire Completed By _____ Date _____

Information Received Via: ___ Telephone ___ In Person ___ Other (Specify) _____

Person Supplying Information _____

Address _____ Telephone No. _____

NOTICIA

Si usted no puede leer Inglés, por favor dígame al Administrador de esta oficina.

TRANSLATION**NOTICE**

If you cannot read English, please let the Manager know.

Public Housing Agency of the City of Saint Paul

GRIEVANCE PROCEDURE**1. APPLICABILITY**

- a. The P.H.A. Grievance Procedure shall be applicable to all individual grievances as defined in Section 2 between the Tenant and the P.H.A. The P.H.A. may exclude from its procedure any grievance concerning an eviction or termination of tenancy based upon conduct or threat by a Tenant or his household or guests which creates a danger to the health or safety of other Tenants or P.H.A. employees.
 1. If a Tenant is excluded by the P.H.A. from this Grievance Procedure for the above mentioned conduct or threat, the P.H.A. will provide the opportunity for the Tenant to examine all relevant documents, records and regulations of the P.H.A. within a reasonable time prior to any trial and will not oppose the assertion of any affirmative legal or equitable defenses which the Tenant may have.
 2. If the Tenant who is excluded from this Grievance Procedure for such threat or conduct has any affirmative legal or equitable defense which the Court determines are beyond its jurisdiction to hear, then Management shall schedule a Grievance Hearing pursuant to Section 4 of this procedure.
- b. The P.H.A. Grievance Procedure shall not be applicable to disputes between Tenants not involving the P.H.A. or to class grievances. The Grievance Procedure is not intended as a forum for initiating or negotiating policy changes between a group or groups of Tenants and the P.H.A.'s Board of Commissioners.

2. DEFINITIONS

- a. Grievance shall mean any dispute which a Tenant may have with respect to P.H.A. action or failure to act in accordance with the individual Tenant's lease or P.H.A. regulations which adversely affect the individual Tenant's rights, duties, welfare or status.
- b. Complainant shall mean any Tenant whose grievance is presented to the P.H.A. or at the Management Office in accordance with Section 3.
- c. Elements of due process shall mean an eviction action or a termination of tenancy in a state or local court in which the following procedural safeguards are required:
 1. Adequate notice to the Tenant of the grounds for terminating the tenancy and for eviction;
 2. Opportunity for the Tenant to examine all relevant documents, records and regulations of the P.H.A. prior to the trial for the purpose of preparing a defense;
 3. Right of the Tenant to be represented by counsel;
 4. Opportunity for the Tenant to refute the evidence presented by the P.H.A., including the right to confront and cross examine witnesses and to present any affirmative legal or equitable defense which the Tenant may have;
 5. A decision on the merits.
- d. The Hearing Officer shall mean a person selected in accordance with Section 4b of this procedure to hear grievances and render a decision with respect thereto
- e. Hearing Panel shall mean a panel selected in accordance with Section 4b of this procedure to hear grievances and render a decision with respect thereto.
- f. Tenant shall mean any lessee or the remaining head of the household of any Tenant's family residing in public housing accommodations.

3. INFORMAL SETTLEMENT OF GRIEVANCE

Any grievance shall be personally presented, either orally or in writing, to the P.H.A. office or to the Management Office of the development in which the Complainant resides so that the grievance may be discussed informally and settled without a hearing. Such grievance must be presented within ten (10) working days of the P.H.A.'s action or failure to act. A summary of such discussion shall be prepared by the P.H.A. within the next five (5) working days and one copy shall be given to the Tenant and one retained in the P.H.A.'s Tenant file. The summary shall specify the names of the participants, dates of meeting, the nature of the proposed disposition of the complaint and the specific reasons therefor, and shall specify the procedures by which a hearing under Section 4 may be obtained if the Complainant is not satisfied.

4. PROCEDURES TO OBTAIN A HEARING

- a. The Complainant shall submit a written request for a hearing to the P.H.A. or to the Management Office within a reasonable time not to exceed ten (10) working days after receipt of the summary of discussion pursuant to Section 3. The written request shall specify:
 1. The reasons for the grievance; and
 2. The action or relief sought.
- b. Selection of Hearing Officer or Hearing Panel: Grievances shall be presented before a Hearing Officer or Hearing Panel. The P.H.A. together with Legal Assistance of Ramsey County shall compile a list of Hearing Officers acceptable to both parties and the City Wide Resident Council. If the parties cannot agree on a Hearing Officer, they shall each appoint a member of a Hearing Panel and the member so appointed shall select a third member. If the members appointed by the P.H.A. and the Complainant cannot agree on a third member such member shall be appointed by an independent arbitration association such as the Center for Dispute Settlement of the American Arbitration Association, or by any other third party agreed upon by the P.H.A. and the Complainant.
- c. Failure to Request a Hearing: If the Complainant does not request a hearing in accordance with this section, then the P.H.A.'s disposition of the grievance under Section 3 shall become final, provided, that failure to request a hearing shall not constitute a waiver by the Complainant of his right thereafter to contest the P.H.A.'s action in disposing of the complaint in an appropriate judicial proceeding.
- d. Hearing Prerequisite: All grievances shall be personally presented pursuant to the informal procedure prescribed in Section 3 as a condition precedent to a hearing under this section, provided, that if the Complainant shall show good cause why he failed to proceed in accordance with Section 3 to the Hearing Officer or Hearing Panel, the provisions of this subsection may be waived by the Hearing Officer or Hearing Panel.
- e. Escrow Deposits: Before a hearing is scheduled in any grievance involving the amount of rent which the P.H.A. claims is due, the Complainant shall pay to the P.H.A. an amount equal to the amount of the rent due and payable as of the first of the month preceeding the month in which the act or failure to act took place. The Complainant shall thereafter pay the same amount of the monthly rent in an escrow account monthly until the complaint is resolved by decision of the Hearing Officer or Hearing Panel. Before a hearing is held in any other type of grievance, the Complainant must have paid the current month's rent to the P.H.A. or to an escrow account if requested to do so by the P.H.A.

- d. **Hearing Prerequisite.** All grievances shall be personally presented pursuant to the informal procedure prescribed in Section 3 as a condition precedent to a hearing under this section, provided, that if the Complainant shall show good cause why he failed to proceed in accordance with Section 3 to the Hearing Officer or Hearing Panel, the provisions of this subsection may be waived by the Hearing Officer or Hearing Panel.
- e. **Escrow Deposits.** Before a hearing is scheduled in any grievance involving the amount of rent which the P.H.A. claims is due, the Complainant shall pay to the P.H.A. an amount equal to the amount of the rent due and payable as of the first of the month preceding the month in which the act or failure to act took place. The Complainant shall thereafter pay the same amount of the monthly rent in an escrow account monthly until the complaint is resolved by decision of the Hearing Officer or Hearing Panel. Before a hearing is held in any other type of grievance, the Complainant must have paid the current month's rent to the P.H.A. or to an escrow account if requested to do so by the P.H.A.
- g. If a Complainant who has not followed the informal procedure prescribed in Section 3, presents a proper request for a Grievance Hearing; and wishes to show good cause why he or she did not follow the procedure, a Hearing Officer shall be appointed in accordance with Section 4b. This Hearing Officer shall determine whether or not Complainant has shown good cause and shall determine whether or not to proceed with a hearing or allow the P.H.A.'s disposition of the grievance to stand.

6. PROCEDURES GOVERNING THE HEARING

- a. The hearing shall be held before a Hearing Officer or Hearing Panel, as appropriate.
- b. The Complainant shall be afforded a fair hearing providing the basic safeguards of due process which shall include:
 - 1. The opportunity to examine before the hearing all documents, records and regulations of the P.H.A. that are relevant to the hearing. If copies of such documents are not available free, then Complainant may copy such documents at his own expense. Any document not so made available after request therefor by the Complainant may not be relied on by the P.H.A. at the hearing;
 - 2. The right to be represented by counsel or other person chosen as his or her representative;
 - 3. The right to a private hearing unless the Complainant requests a public hearing;
 - 4. The right to present evidence and arguments in support of his or her complaint, to controvert evidence relied on by the P.H.A. and to confront and cross-examine all witnesses on whose testimony or information the P.H.A. relies; and
 - 5. A decision based solely and exclusively upon the facts presented at the hearing.
- c. The Hearing Officer or Hearing Panel may render a decision without proceeding with the hearing if the Hearing Officer or the Hearing Panel determines that the issue has been previously decided in another proceeding.
- d. If the Complainant or the P.H.A. fails to appear at a scheduled hearing, the Hearing Officer or Hearing Panel shall make a determination to postpone the hearing for a period not to exceed five (5) business days or shall make a determination that the party has waived his right to a hearing. However, the Hearing Officer or Hearing Panel shall be permitted to proceed with the hearing in the absence of either party if counsel or the authorized representative of both parties so agree. Both the Complainant and the P.H.A. shall be notified of the determination by the Hearing Officer or Hearing Panel, provided, that a determination that the Complainant has waived his right to a hearing shall not constitute a waiver of any right the Complainant may have to contest the P.H.A.'s disposition of the grievance in an appropriate judicial proceeding.
- e. At the hearing, the Complainant must first make a showing of the entitlement to the relief sought and thereafter the P.H.A. must sustain the burden of justifying the P.H.A. action or failure to act against which the complaint is directed.
- f. The hearing shall be conducted informally by the Hearing Officer or Hearing Panel and oral and documentary evidence pertinent to the facts and issues raised by the complainant may be received without regard to admissibility under the rules of evidence applicable to judicial proceedings. The Hearing Officer or Hearing Panel shall require the P.H.A., the Complainant, counsel and other participants or spectators to conduct themselves in an orderly fashion. Failure to comply with the directions of the Hearing Officer or Hearing Panel to obtain order may result in exclusion from the proceedings or in a decision adverse to the interests of the disorderly party and granting or denial of the relief sought, as appropriate.
- g. The Complainant or the P.H.A. may arrange, in advance and at the expense of the party making the arrangement, for a transcript of the hearing. Any interested party may purchase a copy of such transcript.

6. DECISION OF THE HEARING OFFICER OR HEARING PANEL

- a. The Hearing Officer or Hearing Panel shall prepare a written decision, together with the reasons therefor, within a reasonable time after the hearing. A copy of this decision shall be sent to the Complainant and the P.H.A. The P.H.A. shall retain a copy of the decision in the Tenant's folder. A copy of such decision, with all names and identifying references deleted, shall also be maintained on file by the P.H.A. and made available for inspection by a prospective Complainant, his representative, or the Hearing Officer or Hearing Panel.
- b. The decision of the Hearing Officer or Hearing Panel shall be binding on the P.H.A. which shall take all actions, or refrain from any actions, necessary to carry out the decision unless the P.H.A. Board of Commissioners determines within a reasonable time, and promptly notifies the Complainant of its determination, that:
 - 1. The grievance does not concern P.H.A. action or failure to act in accordance with or involving the Complainant's lease or P.H.A. regulations which adversely affect the Complainant's rights, duties, welfare or status; or
 - 2. The decision of the Hearing Officer or Hearing Panel is contrary to applicable federal, state or local law, HUD regulations or requirements of the Annual Contributions Contract between HUD and the P.H.A.
- c. A decision by the Hearing Officer, Hearing Panel or Board of Commissioners in favor of the P.H.A. or which denies the relief requested by the Complainant in whole or in part shall not constitute a waiver of, nor affect in any manner whatever, any rights the Complainant may have to a trial de novo or judicial review in any judicial proceedings, which may thereafter be brought in the matter.

7. PHA EVICTION ACTIONS

If a Tenant has requested a hearing in accordance with Section 4 on a complaint involving a P.H.A. notice of termination of tenancy and the Hearing Officer or Hearing Panel upholds the P.H.A.'s action to terminate the tenancy, the P.H.A. shall not commence an eviction action in state or local court until it has served a notice to move on the Tenant, and in no event shall the notice to move be issued prior to the decision of the Hearing Officer or Hearing Panel having been mailed or delivered to the Complainant. Such notice to move must be in writing, and specify that if the Tenant fails to quit the premises within three (3) days or on the termination date stated in the notice of termination, whichever is later, appropriate action will be brought against him and he may be required to pay court costs and attorney fees.

APPENDIX B

PROCEDURAL FORM USED IN CONDUCTING RESIDENT HEARING COMMITTEE MEETING

PROCEEDINGS OF THE PHA RESIDENT HEARING COMMITTEE

(THE PROCEEDINGS BEGIN WITH THE CHAIRPERSON'S STATEMENT.)

My name is _____. I am the Chairperson of the PHA Resident Hearing Committee. I will now ask other members of the Committee to introduce themselves. (MEMBERS OF THE COMMITTEE INTRODUCE THEMSELVES.) The proceedings of the PHA Resident Hearing Committee are conducted as an open meeting. Do all parties agree that sufficient notice has been given and that all necessary parties have been given the opportunity to appear? If there is no objection, then we shall proceed with the informal hearing. The hearing will be conducted in two parts: first, the actual hearing of evidence, and second, the deliberative session of the panel which will be open. You may stay through the entire proceedings.

The Committee's decision will be based on a majority vote of the PHA Resident Hearing Committee based solely on the evidence presented at the hearing today. The Committee is required to write a report of their findings and indicate the vote of each member of the Committee. I am passing around a sheet for your name and address. Please indicate whether you wish to receive a copy of the Committee's report. (CHAIRPERSON PASSES AROUND SHEET OF PAPER FOR ALL TO SIGN THEIR NAME AND ADDRESS.)

Everyone will have an opportunity to present all relevant information, but we require that it be presented in an orderly fashion. First, the PHA will be permitted to make an opening statement and call any witnesses. The complainant will be given an opportunity to cross-examine each witness after they have testified. Then, the complainant will be given the opportunity to make an opening statement and present witnesses. The PHA may cross-examine these witnesses. Both the complainant and the PHA will have the opportunity to make a closing statement to the Committee.

We will not swear in the witnesses, but I take this opportunity to remind everyone here that they are expected to tell the truth, the whole truth, and nothing but the truth. Are there any questions?

OUTLINE OF THE HEARING

A. If there are no further questions, I will ask the PHA to begin with their opening statement and call their first witness.

(PHA makes opening statement and presents testimony from its first witness.)

1. Is there any cross-examination from the Complainant?

(Complainant cross-examines witness.)

2. Is there anything further from the PHA?

(PHA presents redirect testimony.)

3. Is there anything further from the Committee?

(Committee asks any questions of witness)

(This procedure continues for all witnesses presented by the PHA.)

B. Will the Complainant please proceed to make an opening statement and present its first witness.

(Complainant proceeds to make an opening statement and question its first witness.)

1. Is there any cross-examination from the PHA

(PHA cross-examines witness.)

2. Is there anything further from the Complainant?

(Complainant presents any redirect examination.)

3. Is there anything further from the Committee?

(Committee asks questions of Complainant's witness.)

(Complainant proceeds to present all witnesses, subject to examination from the PHA and the Committee. Once the Complainant states that he or she has no more witnesses, the Chairperson shall make the following statements.)

Is there any further testimony from anyone? If not, I will permit a closing statement from each side beginning with the PHA.

(PHA presents closing statement.)

Now for a closing statement from the Complainant.

(Complainant makes closing statement.)

The Committee will now take a short break and reconvene for the deliberative session.

APPENDIX C

MANAGER'S MANUAL

DWELLING LEASE RENEWAL REFUSALS

Prior to conducting the taking of Applications for Continued Occupancy, in any area or building, each Manager should review the files to determine if there are residents whose Dwelling Leases should not be renewed for the coming year owing to their failure to observe the terms of the Dwelling Lease.

Refer to Section C. "Other Qualifications" on Page 1 of Part II of the "Statement of Policies". This language provides express authority for the PMA to make determinations as to whether or not the resident will be allowed to remain in occupancy for another year. When coupled with the terms of the Dwelling Lease itself there is ample cause for denying continued occupancy where many breaches have occurred. Those Dwelling Leases should be terminated using the format shown on the attached documents.

Attachment

Saint Paul, MN 551__

Re: MN. 1-_____ Account
Notice of Termination of Tenancy

Dear

Pursuant to regulations mandated by the United States Department of Housing and Urban Development (HUD), the PHA's "Statement of Policies" and the PHA's Dwelling Lease, you have recently completed a formal Application for Continued Occupancy in support of your request for one additional year of tenancy in your federally subsidized apartment commencing on _____ The PHA has denied your Application for Continued Occupancy. You are hereby advised that the Dwelling Lease for the above premise by and between you and the Public Housing Agency of the city of Saint Paul, dated _____ will not be renewed and is terminated as of Midnight,

The PHA is taking this action pursuant to regulations which have been mandated by HUD for the operation of low-rent public housing. Those regulations have been incorporated in the HUD approved PHA "Statement of Policies", Part II, C. 1. and 2. which reads as follows:

C. OTHER QUALIFICATIONS. In determining eligibility for admission or continued occupancy to any property owned by the PHA the following factors shall also apply:

1. Whether admission or continued occupancy in the PHA's low-income housing program of a particular individual would prove detrimental to the Public Housing Program. A record of any of the following may be sufficient cause for the PHA to deny eligibility.

- a) A record of non-payment of rightful obligations including rent and utilities;
- b) A record of disturbance of neighbors;
- c) A record of destruction of property;
- d) A record of poor living or housekeeping habits;
- e) A history of criminal activity involving crimes of physical violence to persons or property or a history of other criminal acts, conduct or behavior which would adversely affect the health, safety or welfare of other tenants, neighbors, or PHA employees.

2. Whether admission or continued occupancy will adversely affect the physical environment or the financial stability of the PHA's low-income housing.

The PHA contends that you have failed to meet some or all of these qualifications because you have breached the following provisions of your Dwelling Lease during your past tenancy with the PHA:

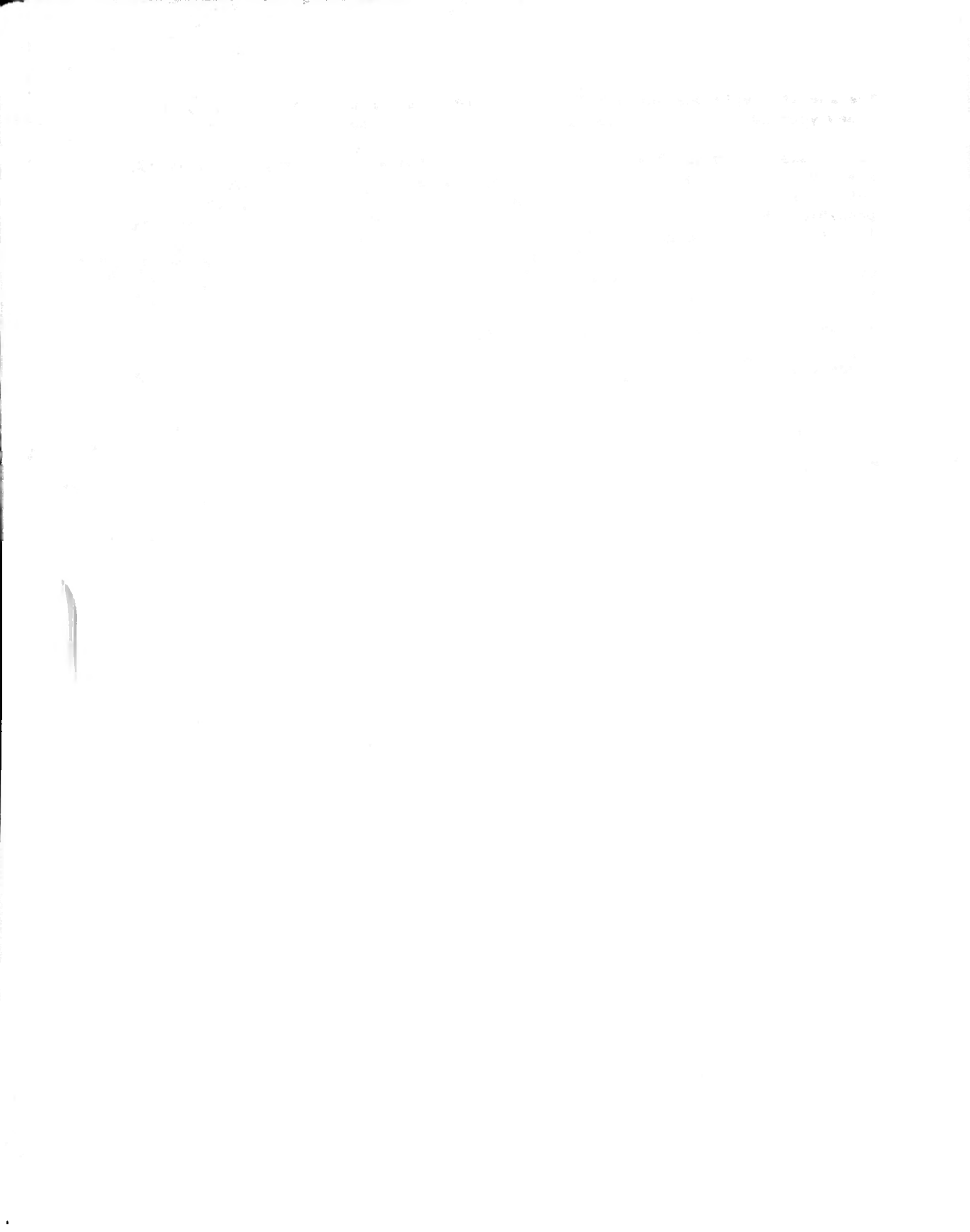
The specific episodes which have resulted in this decision of the PIA not to renew your Dwelling Lease are summarized on the Attachment to this letter.

If you disagree with this action, you may personally present any grievance you may have to the Management Office so that the matter may be discussed informally at a personal conference, and settled without a hearing, if possible. Such grievance must be presented within 10 days of the date of this letter. You will be given a written summary of the personal conference discussion. You may request a Grievance Hearing in accordance with the PIA's Grievance Procedure if you disagree with Management's proposed disposition of your grievance.

A copy of the PIA's Grievance Procedure is enclosed.

Sincerely,

Manager,



APPENDIX D

NOTICE OF DENIAL OF APPLICATION FOR CONTINUED OCCUPANCY
AND NOTICE OF TERMINATION OF TENANCY

PUBLIC HOUSING AGENCY OF THE CITY OF SAINT PAUL

February 13, 1984



[REDACTED]
Saint Paul, MN 55146

Re: MN. 1- 2 [REDACTED]
Notice of Termination of Tenancy

Dear Ms [REDACTED]

Pursuant to regulations mandated by the United States Department of Housing and Urban Development (HUD), the PHA's "Statement of Policies" and the PHA's Dwelling Lease, you have recently completed a formal Application for Continued Occupancy in support of your request for one additional year of tenancy in your federally subsidized apartment commencing on March 1, 1984. The PHA has denied your Application for Continued Occupancy. You are hereby advised that the Dwelling Lease for the above premise by and between you and the Public Housing Agency of the city of Saint Paul, dated December 4, 1979, will not be renewed and is terminated as of Midnight, March 15, 1984.

The PHA is taking this action pursuant to regulations which have been mandated by HUD for the operation of low-rent public housing. Those regulations have been incorporated in the HUD approved PHA "Statement of Policies", Part II, C. 1. and 2. which reads as follows:

C. OTHER QUALIFICATIONS. In determining eligibility for admission or continued occupancy to any property owned by the PHA the following factors shall also apply:

1. Whether admission or continued occupancy in the PHA's low-income housing program of a particular individual would prove detrimental to the Public Housing Program. A record of any of the following may be sufficient cause for the PHA to deny eligibility.
 - a) A record of non-payment of rightful obligations including rent and utilities
 - b) A record of disturbance of neighbors;
 - c) A record of destruction of property;
 - d) A record of poor living or housekeeping habits;
 - e) A history of criminal activity involving crimes of physical violence to persons or property or a history of other criminal acts, conduct or behavior which would adversely affect the health, safety or welfare of other tenants, neighbors, or PHA employees.

2. Whether admission or continued occupancy will adversely affect the physical environment or the financial stability of the PHA's low-income housing.

The PHA contends that you have failed to meet some or all of these qualifications because you have breached the following provisions of your Dwelling Lease during your past tenancy with the PHA:

SECTION 2: AMOUNT AND DUE DATE OF RENTAL PAYMENTS.

Monthly rent is due and payable in advance on the 1st day of each month.

SECTION 3: UTILITIES.

Tenant agrees to furnish and pay for the Heat, Electricity, Gas and Hot Water.

SECTION 5: OCCUPANCY OF THE DWELLING UNIT.

CLAUSE B: Tenant's Obligations.

PARAGRAPHS: 6, 12

(6) To pay reasonable charges (other than wear and tear) in accordance with the current schedule of charges posted in the Management Office for the repair of damages to the premises, development buildings, facilities or common areas used by the Tenant, his household or guests. Such charges shall not become due and collectible prior to the first day of the second calendar month following the month in which the charge is made.

(12) To comply with all obligations imposed upon Tenant by applicable provisions of building and housing codes materially affecting health and safety.

The specific episodes which have resulted in this decision of the PHA not to renew your your Dwelling Lease are summarized on the Attachment to this letter.

If you disagree with this action, you may personally present any grievance you may have to the Management Office so that the matter may be discussed informally at a personal conference, and settled without a hearing, if possible. Such grievance must be presented within 10 days of the date of this letter. You will be given a written summary of the personal conference discussion. You may request a Grievance Hearing in accordance with the PHA's Grievance Procedure if you disagree with Management's proposed disposition of your grievance.

A copy of the PHA's Grievance Procedure is enclosed.

Sincerely,

Manager

Roosevelt Homes
1575 Ames Avenue
Saint Paul, Minnesota, 55106
Phone:
AV: cg

Page Three
February 13, 1984

SPECIFICALLY:

Since March of 1983, you have received seven (7) Termination of Tenancy Notices for failure to pay your rent on time. Unlawful Detainer Action was necessary in July and October of 1983 in order to get you to pay your rent.

On October 5, 1983, the PHA issued you a Termination of Tenancy Notice due to a NSP Shut-Off of utilities.

On November 30, 1983, the PHA issued you a Termination of Tenancy Notice due to your failure to comply with the "Pest Control" procedures. +

On February 10, 1984, the PHA issued you a Termination Notice for failure to pay "Sales and Service Charges".

STATE OF MINNESOTA

MUNICIPAL COURT

COUNTY OF RAMSEY

DIVISION I - ST. PAUL

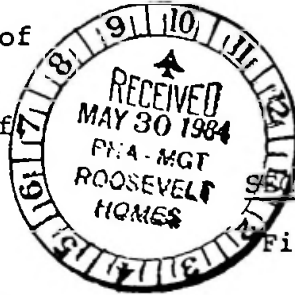
The Public Housing Agency of
The City of Saint Paul,

Plaintiff

-vs-

[REDACTED]

Defendant.



SECOND STIPULATION

File No. [REDACTED]

IT IS HEREBY AGREED by and between plaintiff and defendant
as follows:

1. [REDACTED] agrees that for the next six months:
 - a) She will pay rent to the PHA on the first day of each month;
 - b) She will receive financial counseling at least one time per month; and
 - c) If she is more than ten days late with the rent on any occasion she will arrange, within two weeks, to have her paychecks for the next seven months given to Ramsey County or Catholic Charities, which will pay the monthly rent to the PHA and pay the balance to her; her failure to comply with this provision would constitute grounds for her eviction.

2. The \$90.40 that [REDACTED] deposited into escrow with the PHA shall be applied to the June, 1984 rent, with the balance to be paid June 1, 1984.

3. The March and April, 1984 rent deposited into court by the PHA shall be returned to the PHA. The PHA may request a court order to this effect ex parte.

4. The PHA waives payment of the repair and/or service charges referred to in its complaint herein and agrees that [REDACTED] does not at this time owe the PHA any charges.

5. [REDACTED] waives any claims against the PHA for reimbursement of costs or charges she has paid to the PHA heretofore.

6. [REDACTED] may pay the June, 1984 rent no later than June 7, 1984. Rent for the following months shall be paid on the first day of each month.

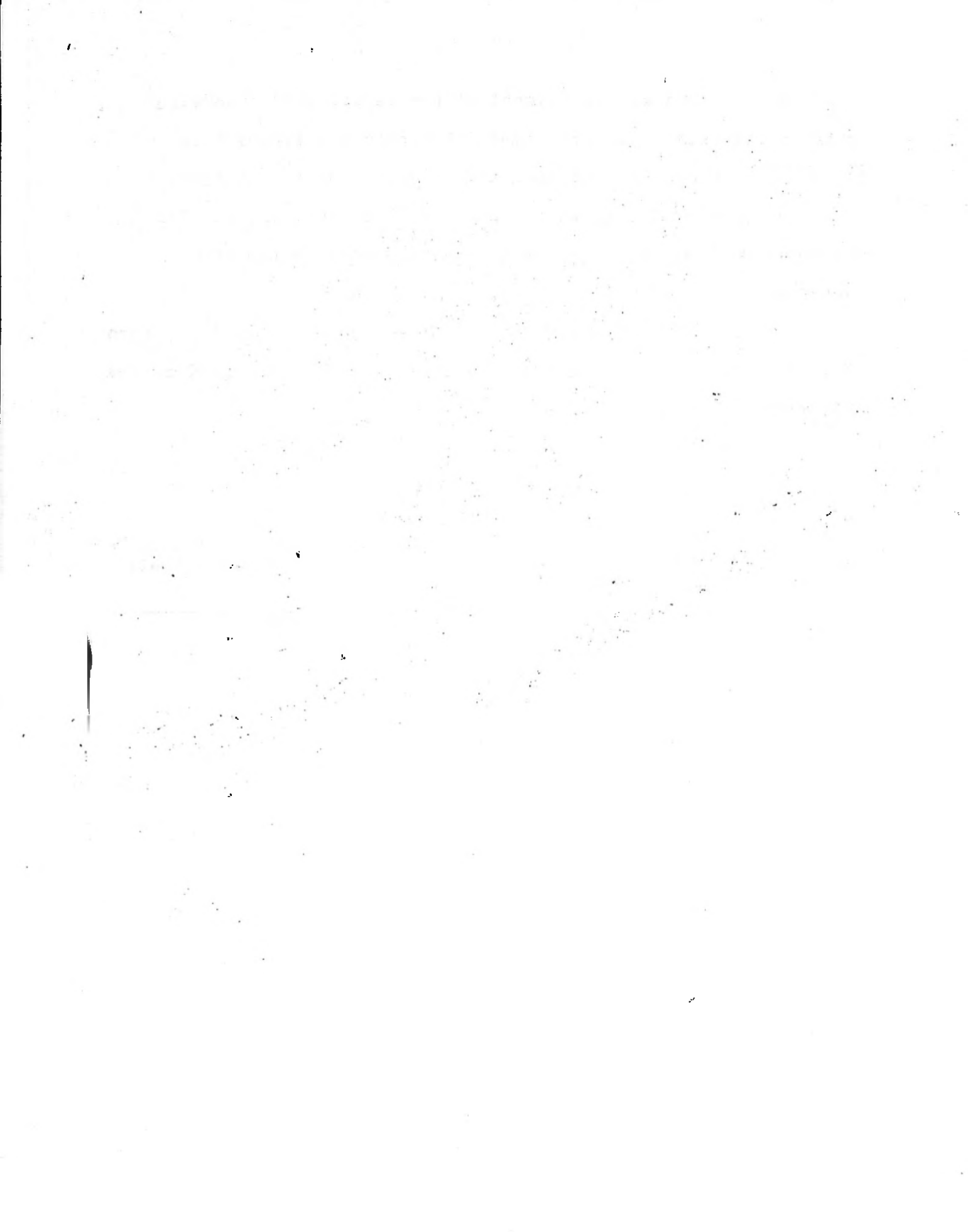
Dated this ____ day of May, 1984.

[REDACTED] Defendant

[REDACTED]
Attorney for Defendant

The Public Housing Agency
Of the City of Saint Paul,

By [REDACTED]



APPENDIX E

SPPHA'S GUIDELINES FOR THE ASSESSMENT OF INDEPENDENT LIVING SKILLS



PUBLIC HOUSING AGENCY OF THE CITY OF SAINT PAUL

339 Bremer Building • 419 North Robert Street, Saint Paul, Minnesota 55101 • Phone (612) 298 5668

GUIDELINES FOR THE ASSESSMENT OF INDEPENDENT LIVING SKILLS

Introduction

The Human Services Department of the Public Housing Agency of the City of Saint Paul (PHA) has developed the attached Guidelines to serve two purposes:

1. To provide a model of what the PHA dwelling lease refers to as "independent living" as it relates to admission to and continued occupancy in PHA hi-rises, and
2. to provide management and social services personnel, applicants, residents and their families with an assessment tool to use in focusing on and defining needs, making decisions, and developing plans concerning supportive services or alternative living situations.

The Saint Paul PHA provides housing for approximately 3,000 low-income elderly and handicapped residents in 16 hi-rise communities scattered throughout the City of Saint Paul. Part of insuring that safe and decent housing conditions are maintained is the recognition that the PHA has a responsibility to:

1. assist the individual resident in maintaining his/her personal health, happiness and welfare, and
2. insure the health and safety of the hi-rise community as a whole.

The establishment and judicious employment of some norms of hi-rise living skills enhance the PHA's ability to maintain safe and decent housing conditions and make effective and efficient use of available human services resources.

Instructions

The Guidelines* encompass twenty routine living skills or conditions which are defined within three categories: (1) Independent, (2) Independent with Supportive Services, and (3) Alternative Living Situation Required. The twenty skills or conditions are further delineated as being Critical or Contributory Factors in determining the status of a person's ability to live independently. Critical factors relate directly to lease requirements and immediate health and safety conditions. If a resident's skill level in any of these critical factors falls within the category requiring an alternative living situation, management and social service personnel should take

*The Guidelines are partially based on materials presented in: A Social Work Guide for Long-Term Care Facilities, (DHEW Publication No. (ADM) 75-177, Printed 1975), developed by the National Institute of Mental Health. The publication is available through the U.S. Government Printing Office.

April, 1982

this as sufficient reason to move for a prompt placement of the individual in a more suitable situation regardless of the level of ability in other categories. If a person's skill level in ten or more of the twenty skills or conditions falls within the category of Independent with Supportive Services, a hi-rise living situation may not be appropriate, and serious consideration should be given to a supervised, service-intensive living arrangement. The availability and appropriateness of supportive services and a willingness on the part of the individual to accept services are factors which must be considered.

It must be emphasized that the three categories should be visualized as a continuum upon which the status of a person's condition can be charted and defined. For example, assume that a particular individual is functioning mostly within the category of Independent with Supportive Services. Over a period of time, the Guidelines can help management and social services personnel to determine if the individual is moving toward the Independent category or the category requiring an alternative living situation. An assessment of the individual's status over a period of time would provide the staff with a better chance to work realistically and sensitively toward a satisfactory service plan. Page five of the Guidelines provides the evaluators with a more convenient means of charting.

It cannot be over-emphasized that the Guidelines should primarily be used within the content of a case conference involving all personnel active in a particular case to insure a more objective status determination. Furthermore, the Guidelines should not be treated or used as inflexible absolutes from which there is no appeal. All factors and extenuating circumstances must be discussed and weighed and pertinent information shared in order to afford the fairest assessment. Participation of the resident in the decision-making process should be routinely encouraged and supported whenever possible. Decisions should be arrived at by team consensus.

The Guidelines also lend themselves as an outline to use during in-home evaluations of elderly and handicapped housing applicants. Often these evaluations are conducted by one person rather than a team. Consequently, the determination made by one person will be far more subjective. Nevertheless, if the Guidelines are used the evaluator will have covered all important aspects of independent living skills with the applicant thereby providing a more comprehensive appraisal of the applicant's abilities and needs.

The psychosocial characteristics survey and the mental status questionnaire (Goldfarb-Kahn-Pollack) on page six should be used in those instances when the evaluator(s) needs a quick assessment of an individual's reality orientation and behavioral characteristics. Verification of these assessments should be sought from mental health professionals and should be obtained prior to using the assessments to make long-term decisions and plans.

INDEPENDENT LIVING SKILLS

CLASSIFICATION I

CLASSIFICATION II

CLASSIFICATION III

	INDEPENDENT	INDEPENDENT WITH SUPPORTIVE SERVICES	ALTERNATIVE LIVING SITUATION REQUIRED
Critical Factors	1) Able to prepare adequate meals independently. Eats without assistance.	Requires health aide/homemaker, family or friends to prepare adequate meals on periodic or short term basis. Eats with minor assistance and may be untidy.	Requires extensive regular assistance with all meals or refuses to prepare or eat adequate meals. Totally dependent on health aide/homemaker/family or friends for preparing of adequate meal. Refuses assistance or assistance is not available.
	2) Does housekeeping alone or with occasional help with heavy work.	Performs light housekeeping tasks but cannot maintain acceptable level of cleanliness without chore service/homemaker. Assistance is available and accepted.	Needs extensive regular help with all housekeeping tasks. Does not participate in any housekeeping tasks or refuses assistance in maintaining acceptable level of cleanliness or assistance is not available.
	3) Is mobile without any aids, can walk 6 to 8 blocks and climb stairs without assistance.	Is mobile with mechanical aids (wheelchair, cane, crutches, walker, braces) and/or occasional available assistance. Able to go in and out of wheelchair without assistance.	Requires extensive regular assistance to carry out routine living functions in and out of wheelchair, toilet, dressing. Refuses assistance or assistance is not available.
	4) Toilet - Cares for self at toilet completely. No incontinence.	Needs reminders about or minor & occasional assistance with toilet-personal care. May soil or wet while asleep.	Soils or wets while awake or has no control over bladder or bowels.
	5) Medications - Is responsible for taking medications in correct dosages at correct times without assistance.	At times confused by medications and requires periodic supervision of dosages. Supervision available and accepted.	Requires daily or excessive supervision of medications for more than short period of time. Refuses supervision or supervision is not available.

INDEPENDENT LIVING SKILLS

	CLASSIFICATION I INDEPENDENT	CLASSIFICATION II INDEPENDENT WITH SUPPORTIVE SERVICES	CLASSIFICATION III ALTERNATIVE LIVING SITUATION REQUIRED
Critical Factors	6) Goldfarb-Kahn-Pollack has little or no difficulty with time, place, person orientation	Has intermittent or moderate confusion in time, place person orientation	Severely disoriented in regard to time, place and person.
	7) Able to fully participate in planning and exercises good judgement in decision-making in matters relating to personal health and welfare. Or, is capable of participating in planning and decision-making with minor dependence on others.	Capable of participating in planning but may be slow in grasping content or must have some support from others in decision-making. May have occasional memory lapses. May have always had limited intellectual capacities. Needed support is available and accepted.	Capacity for planning and decision making requires considerable help from others or memory disorientation is sufficient to warrant daily or around the clock nursing care & supervision. Totally dependent on others for planning and decision making.
	8) Free of symptoms such as anxiety, depression, phobias or paranoia, or these symptoms may be present in a mild form but do not significantly hinder daily functioning.	May have mild to moderate symptoms that are beginning to have a hindering effect on daily functioning.	May have moderate to severe symptoms pointing to a possibility of danger to self or others.
	9) Use of drugs or alcohol is not abusive.	Is developing a pattern of alcohol and/or drug abuse, but has not caused disturbances. Assistance is available and accepted.	Frequently under the influence of alcohol and/or drugs. Is displaying disruptive behavior. Is not maintaining own health and apartment. Refuses assistance.
	10) Is aware of and practices routine safety measures without reminders or teaching assistance.	Requires some teaching assistance initially and/or occasional reminders, but functions satisfactorily with no further assistance.	Refuses to practice or is frequently unaware of normal safety precautions.

-- -- INDEPENDENT LIVING SKILLS

	<u>CLASSIFICATION I</u>	<u>CLASSIFICATION II</u>	<u>CLASSIFICATION III</u>
	INDEPENDENT	INDEPENDENT WITH SUPPORTIVE SERVICES	ALTERNATIVE LIVING SITUATION REQUIRED
Contributory Factors	11) Obtains own groceries and other items needed for daily living.	Obtains own food and other necessary items with some assistance from others. Assistance is available.	Cannot or will not obtain food and other necessary items. Refuses assistance or assistance is not available.
	12) Manages financial matters independently. (Budgets, writes and cashes checks, pays rent & bills, goes to bank, collects & keeps track of income.)	Manages some day-to-day purchases but needs help with banking & major purchases. May have or need conservator.	Incapable of handling financial matters. Has or needs guardian. Refuses assistance or assistance is not available.
	13) Travels independently on public transportation or drives own car or arranges own travel via taxi.	Travels on public transportation when assisted by others or travels in taxi or automobile with assistance of others. Occasionally requires others to make transportation arrangements for them. Assistance is available.	Requires extensive assistance with transportation or help in obtaining transportation for medical/dental appointments. Does not or will not travel or adequate transportation is not available.
	14) Bathing: Bathes self - (Tub-shower-sponge bath) without help.	Bathes self with help in getting in and out of tub, shower, or washes face & hands only but cannot bathe rest of body. Accepts available assistance of family, friends or health aide/homemaker to bathe rest of body.	Cannot or will not wash self. Refuses assistance or assistance is not available.
	15) Dressing: Dresses, undresses & selects clothes from own wardrobe with no or very minor assistance.	Needs moderate assistance on dressing, undressing & selection of clothes - assistance is available and accepted.	Needs major assistance with dressing and/or assistance with dressing is not available.

INDEPENDENT LIVING SKILLS

	<u>CLASSIFICATION I</u>	<u>CLASSIFICATION II</u>	<u>CLASSIFICATION III</u>
	<u>INDEPENDENT</u>	<u>INDEPENDENT WITH SUPPORTIVE SERVICES</u>	<u>ALTERNATIVE LIVING SITUATION REQUIRED</u>
Contributory Factors	16) Grooming - (Neatness, hair, nails, hands, face, clothing). Always neatly dressed, well groomed without assistance.	Grooms self adequately with help of hygiene education and/or minor assistance. May need moderate assistance on short term basis. Assistance is available & Accepted.	Needs regular assistance or supervision in grooming. Refuses assistance or assistance is not available.
	17) Is free of disturbing or disabling behavior patterns, character traits, and personal habits which affect capacity for group living. Or, has mildly disturbing traits and habits which do not significantly impair capacity for group living.	Has disturbing or disabling behavior, traits or habits which moderately impair capacity for group living. Supervision or counseling is available and accepted.	Exhibits severely disturbing behavior traits or habits requiring considerable supervision or counseling. May be incapable of conform to socially acceptable standards of group conduct. Behavior traits or habits create severe problems in group living.
	18) Maintains satisfactory inter-personal relationships with family, friends and other residents. Or, may be having minor problems or may be becoming less active in sustaining relationships.	May have had adequate inter-personal relationships in the past, but currently is developing a pattern of difficulties in maintaining these relationships. Requires occasional counseling encouragement and/or stimulation in dealing with these difficulties. Assistance is available and accepted.	Needs considerable or excessive counseling, encouragement, and/or stimulation. Less apt than formerly to be interested or concerned about others. Refuses or is unable to maintain inter-personal relationships.
	19) Is able to speak & hear, read & write with little or no difficulty.	Has moderate impairment of communication faculties which may necessitating use of electronic or mechanical aids. Accepts use of aids or other appropriate available assistance.	Has severe impairments of communication faculties. Has excessive difficulty in understanding and/or being understood. Refuses assistance or assistance is not available.
	20) Is able to look up phone numbers, dial phone, and converse understandably.	Uses phone with difficulty. May need electronic aid. Accepts use of aid. May only be able to dial a few well-known numbers.	Cannot or will not use phone at all, or refuses to have phone even though necessary for health and safety.

	CRITICAL AND CONTRIBUTORY FACTORS	CLASSIFICATION I INDEPENDENT	CLASSIFICATION II INDEPENDENT WITH SUPPORTIVE SERVICES	CLASSIFICATION III ALTERNATIVE LIVING SITUATION
Critical Factors	1. MEAL PREPARATION DIET	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	2. HOUSEKEEPING	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	3. MOBILITY	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	4. PERSONAL CARE: TOILET	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	5. PERSONAL CARE: MEDICATIONS	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	6. TIME, PLACE, PERSON ORIENTATION	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	7. PERSONAL HEALTH & WELFARE PLANNING & DECISION MAKING	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	8. PRESENCE & EFFECT OF ANXIETY, DEPRESSION, PHOBIAS, PARANOIA	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	9. ALCOHOL/DRUGS USES ABUSE	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	10. ROUTINE SAFETY AWARENESS	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Contributory Factors	11. SHOPPING CAPABILITIES	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	12. FINANCIAL	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	13. TRANSPORTATION	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	14. PERSONAL CARE: BATHING	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	15. PERSONAL CARE: DRESSING	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	16. PERSONAL CARE: GROOMING	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	17. PERSONAL HABITS & CHARACTER TRAITS RELATING TO GROUP LIVING CAPABILITIES	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	18. CAPABILITY TO MAINTAIN INTER-PERSONAL RELATION- SHIPS	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	19. COMMUNICATION CAPABILITIES HEARING, SIGHT, SPEECH, WRITING	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	20. TELEPHONE COMMUNICATION CAPABILITY	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

PSYCHOSOCIAL CHARACTERISTICS (CHECK 1, 2 or 3 FOR EACH CHARACTERISTIC)

Characteristic

A. Depression	Incommunicative <input type="checkbox"/>	Talks normal amount <input checked="" type="checkbox"/>	Overtalkative <input type="checkbox"/>
B. Emotional State	Tends to be depressed <input type="checkbox"/>	Normal emotional state <input type="checkbox"/>	Somewhat elated <input type="checkbox"/>
C. Memory	Frequent memory failure <input type="checkbox"/>	Unimpaired memory <input type="checkbox"/>	Occasionally forgetful <input type="checkbox"/>
D. Sociability	Withdrawn <input type="checkbox"/>	Normally sociable <input type="checkbox"/>	Overly gregarious <input type="checkbox"/>
E. Anxiety	A worrier <input type="checkbox"/>	Worries appropriately <input type="checkbox"/>	Denies all worry <input type="checkbox"/>
F. Satisfaction	Dissatisfied, demanding <input type="checkbox"/>	Makes appropriate requests <input type="checkbox"/>	Won't complain or request anything <input type="checkbox"/>
G. Activity	Prefers to be idle <input type="checkbox"/>	Normally active for age <input type="checkbox"/>	Content only when busy <input type="checkbox"/>

MENTAL STATUS QUESTIONNAIRE

Please write interviewee's own words, if any question about correctness. Give no hints. Repeat question as often as necessary, but do not rephrase.

(Goldfarb-Kahn-Pollack)

1. What is the name (address) of this place? (Hi-Rise name, street address, hospital name)
Answer: _____
2. Where is it? (St. Paul, Minneapolis)
Answer: _____
3. What is today's date? (day of week not acceptable)
Answer: _____
4. Month?
Answer: _____
5. Year?
Answer: _____
6. How old are you? (If records indicate birthdate uncertain, credit if estimate is within 2 years of age given by family)
Answer: _____
7. When were you born?
Month? Answer: _____
Year? Answer: _____
8. Who is the President of the United States?
Answer: _____
9. Who was President before him?
Answer: _____

Comments: _____

Score: _____ errors
 0 - 2 errors - no or mild impairment
 3 - 8 errors - moderately advanced impairment
 9 - 10 errors - severe brain dysfunction

APPLICANT EVALUATION REFERRAL

APP. NO. _____ DATE _____
 NAME _____ ADDRESS _____
 PHONE _____ SECURITY BUILDING _____
 ACCOMPANIED BY _____ RELATIONSHIP _____ PHONE _____
 WORKER _____ AGENCY _____ PHONE _____

APPLICANT UNDER 62 INDEPENDENT LIVING ASSESSMENT
 NO LANDLORD REFERENCE APPLICANT UNDER 18
 10 DAY LETTER SENT CHSP

INTAKE OBSERVATIONS/COMMENTS:

Referred By _____

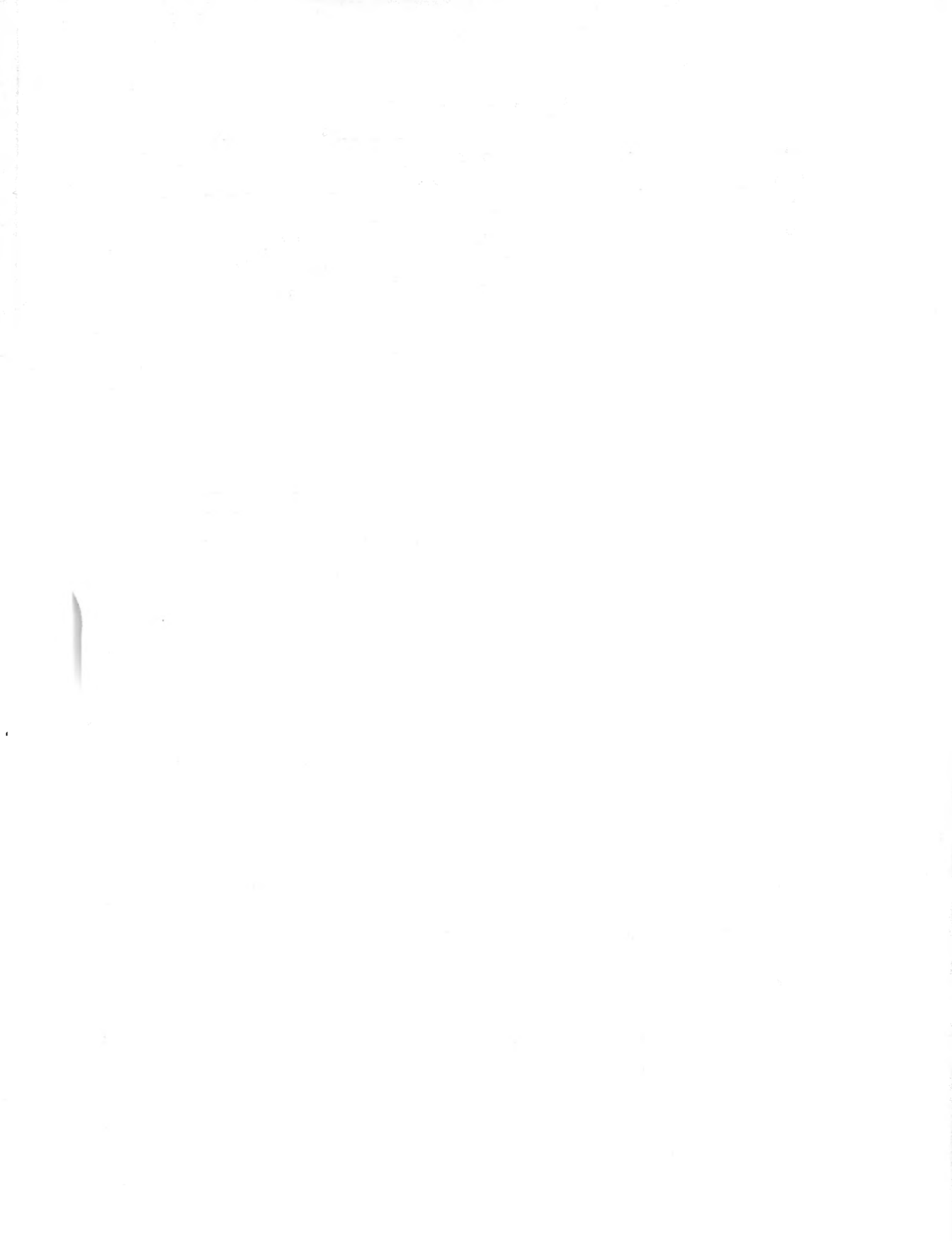
REPORT AND RECOMMENDATION: Received _____ Date _____ Initial Interview _____ Date _____ Returned _____ Date _____

Describe relationships with neighbors, housekeeping/care of property, family/visitor conduct, history of physical violence/property destruction, history of acts/conditions adversely affecting health, safety, welfare of others, and obvious health/social problems.

Recommendation: Admit Case Worker To Be Present: Yes
 Deny No

Interviewer: _____ Position: _____

HD-107
 9/84



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.

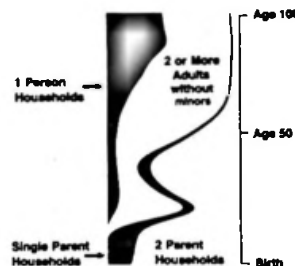
Subject Areas Include:

- 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.



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