



# ONAP Training Property Maintenance Management

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Phoenix, AZ

July 29-30



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Presented by  
**Bill Nibbelink**  
Flandreau, SD

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## Introductions

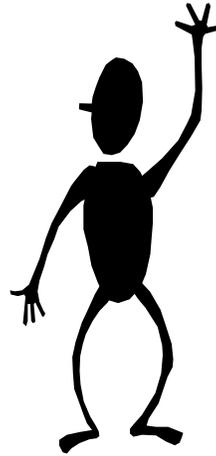
Getting to know you...

- Your name and position
- Tribe – TDHE
- Years of experience
- Your role in Maintenance
- What you hope to learn

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## Training Course Rules & Info

- Agenda
- Breaks
- Resource Documents
- Ask Questions
- Share techniques
- Training amnesty
- No cell phones that ring please!



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## Course Overview

- Receive overview of maintenance
- Learn about requirements to perform maintenance
- Understand what should be in your policies
- Understand how to budget and plan for maintenance
- Learn about inspections and inspections best practices.
- Practices strategies for effective communications with residents
- Learn about the different components of good maintenance management



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# Maintenance Program Overview



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## Programs with Maintenance Requirements

- Rental Housing
  - Tribe/TDHE responsible for maintenance and repairs
  - Tenant damage can be repaired by tenant or by Tribe/TDHE and charged to tenant
- Homeownership Housing
- Rental Assistance Housing



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## Programs with Maintenance Requirements

- Homeownership Housing
  - Homebuyer is responsible for maintenance and repairs.
  - If Homebuyer does not maintain or repair the house, the Tribe/TDHE must see that repairs are made and charge the homebuyer.

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## Programs with Maintenance Requirements

- Rental Assistance Housing
  - Such as Section 8 or similar
  - Private landlord is responsible.
  - Tenant damages are responsibility of tenant.

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## NAHASDA Maintenance Requirements

### Sec. 201. NATIONAL OBJECTIVES & ELIGIBLE FAMILIES

- PRIMARY OBJECTIVE – The national objectives of the Act are—
- (1) to assist and promote affordable housing activities to develop, maintain, and operate affordable housing in safe and healthy environments on Indian reservations and in other Indian areas for occupancy by low-income Indian families.

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## NAHASDA Maintenance Requirements

### Sec. 203. PROGRAM REQUIREMENTS

- (b) MAINTENANCE & EFFICIENT OPERATION— Each recipient who owns or operates (or is responsible for funding any entity that owns or operates housing developed or operated pursuant to a contract between the Secretary and an Indian housing authority pursuant to the United States Housing Act of 1937 shall, using amounts of any grants received under this Act, reserve and use for operating assistance under section 202(1) such amounts as may be necessary to provide for the continued maintenance and efficient operation of such housing. This subsection may not be construed to prevent any recipient (or entity funded by a recipient) from demolishing or disposing of Indian housing referred to in this subsection, pursuant to regulations established by the Secretary.

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## **NAHASDA Maintenance Requirements**

### **Sec. 203. PROGRAM REQUIREMENTS**

- (e) MAINTENANCE & MANAGEMENT– Each recipient shall develop policies governing the management and maintenance of housing assisted with grant amounts under this Act..

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## **Regulatory Maintenance Requirements**

Uniform Administrative Regulations (2 CFR 200)

- 200.313 Equipment (d)(4)
- Adequate maintenance procedures must be developed to keep the property in good condition.

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## Maintenance Policy Requirements

### Documents that guide Maintenance Policy Development:

- Native American Housing & Self-Determination Act (NAHASDA)
- Code of Federal Regulations at 24 CFR 1000
- Uniform Administrative regulatory requirements at 2 CFR 200
- Dwelling Lease
- Homeownership Agreement
- HUD Notice CPR 16-02, guidance on National Environmental Policy Act (NEPA) and maintenance/rehabilitation

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## Maintenance Policy & Procedures

- Tribal Council/Board adopts policy.
- Executive Director & staff usually develop policies.
- Maintenance policies and procedures—
  - Set the ground rules for operating a maintenance program that complies with federal, state, and local regulations.
  - Describe the responsibilities of the housing authority or housing department and the tenant or homeowner.

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## Maintenance Policies

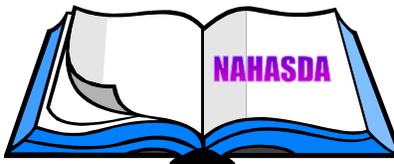
- Emergency, urgent, routine, and non-routine services
- Vacated unit repair
- Preventive maintenance
- Inspections
- Right of access
- Work order process
- Standards of work
- Schedule of costs
- Forms
- Maintenance counseling



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## NAHASDA Requirements

- Maintain owned and managed units
- Allocate funds to provide for the continued maintenance and efficient operations of housing inventory
- Identify the manner in which manner inventory will be protected and maintained



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## Key Maintenance Program Components

1. Annual Facilities Maintenance Plan
2. Staffing and Staff Supervision
3. Budgeting System
4. Materials Management
5. Work Order System
6. Tenant Relations Program
7. Inspections and Standards
8. Vacancy Turnarounds

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## The Lease

- Includes dwelling, lease-purchase, and homeownership leases.
- Spell out specific roles and responsibilities of tenant and maintenance staff for maintaining quality, for inspections, making repairs.
- Best Practice:
  - Include excerpts of the maintenance policy in the standard lease agreement.
  - Tenants and homeowners are expected to keep the property in a safe and sanitary condition.

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## Planning and Budgeting



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## Planning

- Categorize all maintenance tasks include grounds keeping and vehicle maintenance.
- List as tasks.
- Include when these take place or how often.
- Considerations for handling off-hour responses.



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## Sources of Funding for Maintenance, Modernization, & Rehabilitation

- Indian Housing Block Grants (IHBG)
  - Formula Grants
  - CARES Act Grant
  - American Rescue Plan (ARP) Grant
  - Competitive Grant

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## Sources of Funding for Maintenance, Modernization, & Rehabilitation

- Indian Community Development Block Grants (ICDBG)
  - Competitive Grants (rehabilitation)
  - Imminent Threat Grants (rehabilitation)

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## Recordkeeping

- Work Order, Inspection and Inventory Logs
  - Repairs in each unit – per unit
  - Inspections
  - Warranties and when they expire
  - Age and servicing date for equipment and appliances, building systems



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## Budget

- Is the projected receipts and expenditures that are expected over a certain time period.
- Is the financial picture of plans and activities that the maintenance staff plans to complete in the next fiscal year.
- Is typically completed by administrative or finance department so maintenance supervisor needs to work closely with counterpart.

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## Budgeting Considerations

- Ordinary Maintenance
  - Labor
  - Supplies/Materials
  - Contract costs
  - Can include emergency maintenance costs
- Non-Routine Maintenance
  - Extraordinary (Non-recurrent) costs
  - Casualty loss
- Capital Expenditures
  - Equipment Replacement (Non-routine)
  - Betterments and additions (Extraordinary)



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## Budgeting Considerations (2)

- Salaries and Benefits
  - Current hourly or salaried rate for all maintenance staff for the total hours
  - Anticipated overtime
  - Salary increases
  - Seasonal/temporary workers
  - Staff additions
  - Benefits
- Travel Expenses
- Training Expenses



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## Hourly Rate

- Davis-Bacon wage rate/HUD Determined
- OR
- Tribe's own adopted wage rate
    - Must have policies for travel and travel reimbursements



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## Budget Performance Analyses

- Monitors budget
- Income-to-Expense Ratio
  - Ratio of the % of income from all the low-rent units to the % of maintenance expenses
- Year-to-Date
  - Compares the current fiscal year's year-to-date expenditures with last year's expenditures.
- Per-Unit-Month (PUM)
  - How much is being spent or received per unit.

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# Managing Materials and Supplies



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## Managing Materials and Supplies

- Includes the procurement, inventory control, and disposition of property.
- Balance between prompt supply of needed items and operation with maximum efficiency.
- Rural communities must plan in advance to manage costs and maintain inventory.
- Labor costs are usually the most expensive part of maintenance.
  - Recommend use of high quality, durable supplies.
  - Assist MH and other homebuyers in buying items that meet standards of durability and quality or cheaper due to economy of scale.

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## Procurement

- Set up system to plan for less expensive, off-season purchasing.
- The right number items for the lowest price.
- In large organizations with multiple storage facilities, the economics of quantity purchasing may be more than offset by the multiple costs of handling and storage.
- Keep a list of suppliers or contractors including those known to furnish needed items and who are qualified to bid.

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## Procurement Policy Should Address:

- Methods of procurement per 2 CFR 200.320
- Procedures for purchasing in cases where competitive bidding is required.
- Identification (by position title) of the officials authorized to make purchases when competitive bidding is not required and procedures for making such purchases.
- Procedures for inventory control.
- Establishment of capitalization levels.
- Procedures for storage and protection of goods and supplies.

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## **Procurement Policy Should Address (2):**

- Procedures for issuance or other disposition of supplies and equipment.
- Procedures for implementing Indian Preference requirements.
- Procedures for handling complaints and protests regarding procurement.
- Standards of conduct governing directors, officers, and employees.
- Conflict of interest provisions governing directors, officers, employees, contractors/developers and other firms doing business with Tribe/TDHE.

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## **Effective Procurement Systems**

- Have a written procurement policy.
- Have a contract-administration system.
- Have a written code of standards of conduct.
- Award contracts only to responsive and responsible contractors.
- Maintain sufficient written records to support all procurement.

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## Procurement Regulatory Requirements

### 200.318 General procurement standards

- (a) The non-Federal entity must have and use documented procurement procedures, consistent with State, local, and Tribal laws and regulations and the standards of this section, for the acquisition of property or services required under a Federal award or subaward. The non-Federal entity's documented procurement procedures must conform to the procurement standards identified in 2 CFR 200.317 through 200.327.

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## Methods of Procurement Uniform Administrative Guidance 2 CFR 200.320

- Informal Methods
  - Micro-purchases
  - Small purchases
- Formal Methods
  - Sealed bids
  - Proposals
- Noncompetitive procurement

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## Informal Methods of Procurement

- Micro-Purchases --Purchases of less than \$10,000
  - Requires only one quotation if the price is reasonable.
  - Documented with an authorized purchase order or other formal method.
  - Purchases can not be broken into smaller transactions to meet the Micro Purchase threshold.

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## Informal Methods of Procurement

### Small Purchases:

- Purchases over \$10,000 but less than \$250,000 (or a lesser amount, if required by local policy)
- Requires an adequate number (typically not less than 2) price quotes - in person, by telephone, email, or in writing.
- No public advertising necessary
- Document in the procurement file.
- Can be used to procure:
  - Office supplies
  - Rehabilitation contractors
  - Professional services
  - Maintenance Equipment

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## Formal Methods of Procurement

### Sealed Bids:

- Bids are publicly solicited and a firm fixed-price contract is awarded to the responsible and responsive bidder whose bid is lowest in price.
- Preferred method of procuring construction.
- Must be used if and when the estimated contract cost exceeds the recipient's established simplified acquisition threshold (up to \$250,000).
- Invitation for bids (IFB) shall include specifications and must define the items or services in order for the bidder to properly respond.
- Bids must be solicited from an adequate number of qualified sources (to be determined by the recipient, usually 2 or more).

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## Formal Methods of Procurement

### Proposals:

- A common and versatile procurement method.
- Used to procure goods and services when price is not the only factor.
- Preferred method of professional services (auditors, legal, architects/engineers, fee accountants, pre-built housing, etc.)
- Proposals include a list of evaluation factor and their relative importance (point scale).
- Solicitation for request for proposals (RFP) is publicized.

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## Non-Competitive Method of Procurement

Can be used if one or more of the following circumstances apply:

- The acquisition of property or services, the aggregate dollar amount of which does not exceed the micro-purchase threshold.
- The item is available only from a single source.
- The public exigency or emergency for the requirement will not permit a delay resulting from publicizing a competitive solicitation;
- The Federal awarding agency or pass-through entity expressly authorizes a noncompetitive procurement in response to a written request from the non-Federal entity; or
- After solicitation of a number of sources, competition is determined inadequate.

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## Inventory

- One method to tell if there is an inventory problem is to review work orders. Is work being delayed because the needed materials were not available?
- Simply put, a good inventory system requires only two things: knowing what you have on hand, and knowing what you are going to need.
- Must be in Policy and Procedure.

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## Inventory

- A good inventory system is usually comprised of two parts:
  - A method of tracking the number of items remaining at any given time and
  - A decision of when to reorder items when the stock reaches a certain level.
- Physical inventories must be taken at least once every two years as required by 2 CFR 200.313(d)(2) or more often as determined in the Tribe/TDHE inventory control policy.
- The physical inventory process will be evaluated during ONAP Monitoring Review and the Independent Auditor - so document well.

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## Equipment Inventory

- The inventory records should reflect:
  - Serial number
  - Location of the item
  - Year of installation of the item
  - General name/description
  - Manufacturer
  - Model number
  - Manufacturer date/warranty



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## Inventory Control Methods

- Maintaining inventory records for each item stocked. The record should include—
  - A description of each item
  - Storage location
  - Unit of issue
  - Quantity received
  - Quantity issued
  - Balance on hand
  - Unit cost
  - Transaction date



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## Inventory Control Methods

- Performing a physical "wall-to-wall" inventory at least bi-annually.
- Reconciling any differences between amounts on hand and the recorded balances and adjusting records to reflect the actual quantities.
- Issuing items only when authorized requisitions are received.
- Verifying quantities received from vendors.

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## Inventory System Types

### Perpetual:

- Preferred when there is a high \$ value of items on hand or a high turnover of materials.
- Cost of materials/supplies is charged to Inventories-Materials when received.
- Materials/supplies withdrawn from inventory only with a requisition or work order signed by an official or employee authorized to approve.

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## Inventory System Types

### Periodic:

- Value of the inventory on hand is determined from time to time rather than on a continuing basis.
- Especially suitable for smaller housing operations where inventories are relatively small in quantity or total value.
- Method:
  - Purchase is tracked in Ordinary Maintenance and Operation-Materials Expense.
  - Inventory record for each item contains Receipt and Withdrawals.
  - Prior to end of each fiscal year(s), take a physical count of all items.
  - The balance in the expense account is adjusted to the cost of materials actually used, and Inventories - Materials is adjusted to reflect the value of the inventory on hand.

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## Inventory Control System

- Keeps clear where items are and when reordering is needed.
- Use automation when appropriate and feasible.



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## Three Steps to Inventory Control

1. Within 24 hours of receipt of item, authorized staff check the item against the purchase order and store.
  - a. If there is an error or poor quality, vendor should be contacted immediately.
  - b. Item should be entered into inventory or accounting system.
  - c. Any warranty received should be maintained and enforced.

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## Three Steps to Inventory Control

2. Materials should only be issued by authorized personnel, and only for an approved work order or a stock replenishment request. Those items should be deleted from inventory as soon as possible.
3. When an item reaches its established minimum-inventory level or when it is not stocked, the authorized staff generates a purchase requisition for stock and non-stock items and sends it for budget approval.

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## Warehousing and Storage

- Should be sized to need
- Should have security
- Should be cleaned regularly
- Location
- Consider Vans
  - Provide secure storage for material that is used on a day to day basis.
  - Cut down the amount of time lost in travel back and forth from work site to supply site.

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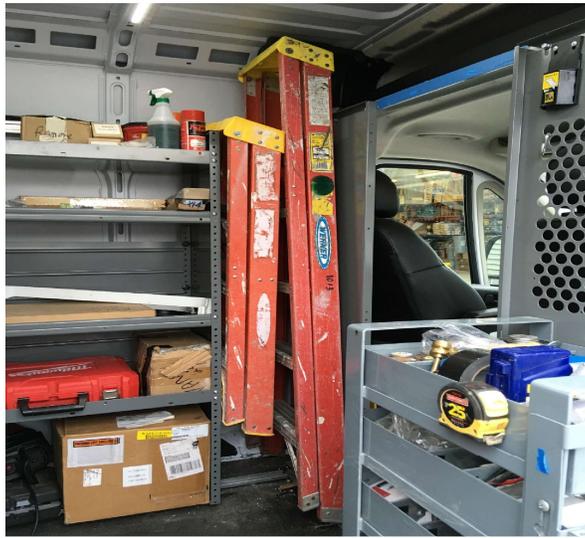
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## Warehousing and Storage

- Best practice
  - if you can order in bulk from a supplier, but have them ship only when needed, you get economy of scale without needing to store everything.



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## Quantity of Inventory for Supply

General guide to inventory supply levels:

- Not more than a 3-month supply of items that can be easily obtained from local sources.
- Not more than a 6-month supply of items easily obtained from commercial sources that require longer lead-time for purchase and delivery.
- Exceed a 6-month supply only in exceptional circumstances.
- Establish reorder points for each item based on procurement, delivery and number of items needed pending delivery of additional items.

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## Transferring Stock

- Document who receives materials and location where materials will be used or transported.
- The Maintenance Manager and/or the designated maintenance staff is jointly responsible for executing the transfer of stock and ensuring that the proper documentation of inventory and transfer of stock is maintained.

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## Transferring Stock

- Forward the original copy of this documentation to the purchasing department, and retain a copy for the maintenance file. All stock transfer records are turned in along with the monthly inventory sheet. This process allows you to maintain control of the movement of your inventory and a means to spot check staff action for accountability purposes.

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## Records

### For Purchase Requisitions

- Date
- Requestor's name
- Item name and description
- Part number
- Quantity
- Suggested vendor (if known)
- Date required
- Comptroller's signature
- Approval signature

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## Records

### Purchase Order:

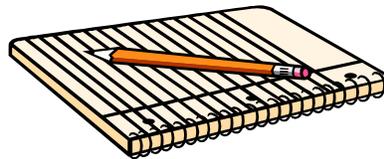
- Date
- Ship-to address
- Bill-to address
- Vendor name
- Vendor address and telephone number
- Item name and description
- Part number
- Quantity
- Due date
- Unit and extended price
- Discounts (if applicable)
- Special shipping instructions (as needed)
- Payment terms
- Authorized purchasing agent signature

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## Records

### Stock Replenishment Requisition

- Date
- Item name and description
- Part number
- Truck or stockroom identification
- Quantity
- Approval signature



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## Contractors

- Must follow Procurement Policy.
- Might include trash and snow removal, roof inspection and maintenance, pest and rodent extermination, security, window cleaning, landscaping, painting, laundry machines, plumbing, elevators, appliances, telephone equipment, and HVAC service.
- Service contract (agreement) should be in writing and should identify all parties involved.

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## Contractor Service Contract

- Service to be performed and the frequency of the service
- Hourly, weekly, monthly, yearly charges, or charges on a per-square-foot or per-unit basis and evening and weekend rates
- Methods of payment
- Timing
- Discounts
- Starting date, expiration date
- Renewal information
- Termination provisions
- All special provisions, such as escalation clauses or insurance coverage information, should be clearly outlined



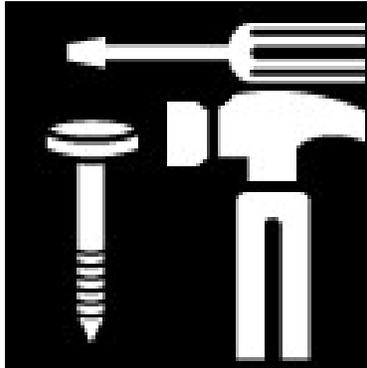
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## Contractor Service Contract

- If there are clauses for escalations, to offset increases in labor costs and/or material costs, the method of escalation and base rates should be analyzed. A limit should be put on the amount of increase that is acceptable during the life of any agreement.
- Should include the right to audit the contractor books regarding labor and material costs for the job.
- Have a service contract summary with copies of important documents available for quick reference.
- File also with business office and accounting department.

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## Categories of Maintenance



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- **Preventative**

- inspections, monitoring, and care of facilities or equipment to prevent future emergency maintenance and/or major failures.

- **Routine**

- Recurring in nature and include grounds keeping, minor repairs and replacements. Maintain but do not impact value of building.

- **Non-routine**

- Major repairs/improvements to the facility or equipment, replacement of the item, modernization or rehabilitation.

- **Emergency**

- Any maintenance task performed in response to an unanticipated defect endangering life or property. Should be priority.

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## Goals of Preventative Maintenance (PM)

- Should be included in the Maintenance Policy and the Annual Maintenance Plan.
- By regularly inspecting and maintaining your buildings and equipment, you can **prevent breakdowns**.
- You can make repairs at the earliest possible time to **prevent more serious problems from occurring**.

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## Phase I: PM Inspections

Includes a system for:

- Conducting required periodic inspections.
- Listing defects in units, roofs, plumbing and other building systems, etc. (usually by work order).
- Developing work orders to repair deficiencies found (some Tribe/TDHEs perform most work at the time of inspection).
- Completing work that results from the inspection.

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## Phase 2: Annual PM

This may consist of a system for scheduling and performing periodic maintenance such as:

- Exterior painting
- Removing leaves from gutters
- Cleaning and lubricating heating and cooling systems
- Draining water heaters
- Repair deficiencies found by inspection

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## PM Tasks

- Check fire safety (e.g., sprinkler systems and extinguishers) and fire detection (smoke detectors) equipment for operational use and service per manufacturer's recommendations and in accordance with fire safety requirements.
- Inspect, adjust, clean, and/or lubricate heating systems (including replacing filters periodically), furnaces, boilers, wood-burning stoves/flues and other equipment, such as ranges, hot water heaters, space heaters and refrigerators.

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## PM Tasks (2)

- Inspect and repair plumbing systems and fixtures including, as necessary, caulking around bathtubs and toilet bases to avoid water damage to walls and floors in addition to caulking around windows and door frames as an energy conservation measure.
- Inspect, repair, and replace worn or broken parts in electrical systems and electrical fixtures.
- Inspect and repair as needed all plumbing systems.
- Inspect and repair/patch roofs, gutters, and downspouts.

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## PM Tasks (3)

- Inspect underground facilities for corrosion control and test effectiveness of protection systems.
- Inspect and patch paved surfaces.
- Inspect for and control pests.
- Monitor painted and other sealed surfaces which protect underlying structures for compliance with lead-based paint requirements.
- Inspect for condensation, dampness, and fungus in wood and for rust in iron components and take appropriate corrective measures.

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## PM Tasks (4)

- Correct erosion and drainage deficiencies.
- Fertilize and cultivate planted areas.
- Install protective barriers, where needed, for planted areas and trees.
- Inspect sewer lines, clean outs,
  - and access (manholes) and inspect
  - and remove sewage from septic
  - tanks at regular intervals.



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## PM and the Homebuyer

- For homebuyers performing PM, it is helpful to provide guidelines or a checklist to the homebuyer as a reminder.
- Where a detailed maintenance plan has been prepared, the homebuyer should be given a copy of the plan applicable to his/her particular development/unit.

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## Typical PM Procedures

1. Management ensures that residents are given advance notice of inspection on a given date.
2. PM inspection staff inspect all units at least once a year and prepare work orders for work to be done or work that is performed at the time of inspection.
3. The PM team uses a checklist of the maintenance items to be inspected for PM and then inspects and provides maintenance as required in each unit. (Work that cannot be completed by the inspection staff is referred to the work order for future completion.)

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## Typical PM Procedures (2)

4. The worker performing the task initials completed items and signs the checklist. Unit condition and confirmation of appliance serial numbers are noted. Upon completion of each day's work, the checklist is returned to the maintenance supervisor or whoever is responsible for processing the information gathered from the PM inspections/repairs.
5. The forms are reviewed to ensure all items have been filled in and to cross check appliance serial numbers with those recorded in the inventory control files.

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## Typical PM Procedures (3)

6. The maintenance supervisor schedules service calls for all items that are beyond the PM team's capability.

7. Discrepancies noted on the unit condition portion of the form are forwarded to the appropriate development manager for follow-up. The name of the resident and development manager receiving the discrepancy is noted on the PM work schedule.

8. After all the above actions are complete and repairs are complete, the work order is filed in the unit folder.

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## Typical PM Procedures (4)

9. Quality control for the PM inspections and repairs is accomplished by the onsite review by the maintenance supervisor of 5 to 10 percent of all inspections and work.

**Best practice:** After completing a service request, the service technician checks all faucets for drips, flushes the toilets, checks all the window screens, graphite the locks, checks the HVAC filter, etc. This “mini-maintenance” should only take 5 or 10 minutes and is highly cost-effective.

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## Scheduling PM

- Often takes place during equipment “off-season,” ie, heating systems checked in late summer to ensure working when it is cold.
- To be effective, PM must be carried out on an annual schedule with written schedules.
  - Record benchmarks to follow status of performance.
- Ensure that all codes and requirements are met.

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## Implementing PM

1. Determine in writing how often items need maintenance. (See next slide.)
2. Create a schedule of inspections and maintenance – Automate where ever it will help you!
3. Create a written Inspection/Maintenance Checklist.
4. Create your budget based on what you actually need.

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## Sample Schedule

ITEM	FREQUENCY
HVAC: Clean coils, change filters, oil motors	Quarterly
Rain Gutters: Inspect for secure fastening and clean	Quarterly
Roofs and Flashing: Inspect and repair	Semi-annually
Water Heaters: Inspect, drain and descale	Annually
Fire Extinguishers: Inspect and recharge	Any time a service technician is in unit
Smoke Alarms: Inspect and test battery	Any time a service technician is in unit
Storm Drains: Inspect and clean	Semi-annually
Exterior Doors: Inspect weather stripping, thresholds, hinges, door closes and locks	Any time a service technician is in unit
Parking Lot: Inspect for cracks and potholes	Weekly
Balcony and Stairwell Railings: Inspect for secure fastening	Any time a service technician is in unit
Exterior of Buildings: Inspect for wood rot, loose or damaged trim, paint deterioration and loose or damaged siding.	Quarterly
Exterior, Common Area and Signage Lighting: Inspect and adjust timers or photocells.	Weekly

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## Implementing Work order Procedure



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## Work Order Systems

- A properly designed work order system gives maintenance supervisors the ability to control what work gets done, when it gets done and by whom.
- Electronic systems can, through a tracking system, increase efficiency in labor and cost management.
- Review the work order history for several years in order to include recurring issues into scoping the planning work for extraordinary maintenance activities on properties.

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## Written Work Order Process

Initiating:

- Request form – manual or electronic
- Who fills out form (resident or other vs. maintenance staff)
- Part of resident orientation – how to
- All activities get a work order
- Logged in and assigned priority
- Control and filing procedures

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## The Work Order

- Work order number – numbered sequentially
- Source of request (resident, maintenance, management)
- Location (development, address, unit #)
- Project number
- Dates (origination, assignment, work performed, completion, and approval)
- Work order type (emergency, urgent, vacancy prep, routine, PM, special projects)
- Work description (requested/estimated, actual)
- Actual time and materials
- Name of staff member or contractor who performed work
- Resident (phone number, resident damages/charges, signature)
- Date and time emergency was abated

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## Assignment Process

Maintenance supervisor or foreman assigns:

- One at a time
- Multiple orders in the order to carry out (as appropriate)
- Prioritize but group according to location as feasible
- Assigned maintenance staff receive either an electronic work order form, or two copies of each work order.
- Maintenance staff should not accept a work order that is not completed correctly.

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## Scheduling

It is **YOUR** priority. But a general priority system follows:

1. Emergency-Life-threatening, or extreme property damage
2. Urgent-Major inconvenience to resident, property damage
3. Vacancy Prep-Prepare unit for occupancy
4. Routine-Resident or management request
5. PM-Planned and seasonal maintenance
6. Special Project-Any deferred maintenance

95

## Scheduling

In addition to priority status, consider the following when scheduling:

- Location-Work orders should be grouped by development or site to minimize travel time.
- Time Required-Estimate - Time required for each work order and arrange assignments accordingly.

96

## Service Response Guidelines

- Emergency-Immediate
- Urgent-Same day
- Vacancy Prep-Within 48 hours (assumes minimal damage)
- Routine-Within 72 hours
- PM-Within 120 hours
- Special Projects-Within 30 days

97

## Tracking Process

- When work is completed, maintenance staff
  - Leave the resident a notice form or copy of the work order.
  - File other copy electronically in the system or, if manual, in the unit file after review by the supervisor.
- Supervisor collects incomplete and complete work orders at the end of the day for tracking and redistribution.
  - Should not accept work orders as complete if they are not properly filled out.
  - Should be regularly reviewed.
- Train the staff preparing work orders in the technology, maintenance procedure, and items subject to frequent repair.
- Keep an adequate number of copies (hard copy or electronic) of work orders for controlling and filing.

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## Tracking Work Orders

- Work order log
  - Will record work orders sequentially
  - Easy to see what is still open
- Work order tracking report
  - Documents the amount and status of work orders, including their receipt, completion, and those which are outstanding.
- Unit maintenance records
  - Kept for each unit
  - Quick-reference overview of all work that has been performed on every home

99

## Non-Routine Maintenance



100

## Non-Routine Maintenance

- Defined as extraordinary maintenance, modernization, renovation, remodeling, or rehabilitation.
- Completed by maintenance staff, force account crew, or contractors.

101

## Establishing the Project

Defining a needed project:

- Significant routine maintenance or emergency calls
- Useful life
- Conduct thorough inventory and analysis to develop list of needs
- Develop budget
- Project timeline

102

## Rehabilitate or Demolish

- General rule
  - If the renovation costs are about 75% of the Total Development Costs for the same units, consider whether demolishing might be wiser.
- Inform HUD of the decision to demolish any NAHASDA-assisted units prior to demolition.
  - Include in the Indian Housing Plan or submit it to HUD separately
  - Include an analysis documenting why the decision was made.
  - Develop a policy to guide decision to demolish vs. renovate

103

## Implementing Project

- Develop complete plans, scope of work, and specifications of materials
  - Share any departmental specifications for items with architecture and engineering team (A&E)
  - Could include cabinet quality, standard flooring, standard fixtures
  - No naming of brands
- Review timeline with force account crew
- Schedule inspections at rough-in framing, insulation, electrical, plumbing and HVAC; and at completion of electrical, plumbing, and HVAC.

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## Completing the Project

- Schedule for inspections at completion of electrical, plumbing, and HVAC.
- Schedule final inspection and punch list.
  - Bring maintenance crew and housing management staff. They will see with different eyes.
- Inventory all equipment and return it to the “central shop.”
- Force account crew debriefs project management.
- Retain all documents.

105

## Inspections



106

# NAHASDA Inspection Requirements

- **SEC. 403 MONITORING OF COMPLIANCE**
- (b) **PERIODIC MONITORING-** Not less frequently than annually, each recipient shall review the activities conducted and housing assisted under this Act to assess compliance with the requirements of this Act. Such review shall include an appropriate level of **onsite inspection of housing** to determine compliance with applicable requirements. The results of each review shall be included in the performance report of the recipient submitted to the Secretary under section 404 and made available to the public.

# Annual Performance Inspection Table

**SECTION 11: INSPECTIONS**  
NAHASDA § 403(b)

(1) **Inspection of Units** (Use the table below to record the results of recurring inspections of assisted housing.)

Activity	Total Number of Units (Inventory)	Results of Inspections			Total number of units inspected
		Units in standard condition	Units needing rehabilitation	Units needing to be replaced	
(a)	(b)	(c)	(d)	(e)	(f)
<b>1 1937 Housing Act Units:</b>					
a. Rental					0
b. Homeownership					0
c. Other					0
<b>1937 Act Subtotal</b>	0	0	0	0	0
<b>2 NAHASDA assisted units:</b>					
a. Rental					0
b. Homeownership					0
c. Rental Assistance					0
d. Other					0
<b>NAHASDA Subtotal</b>	0	0	0	0	0
<b>Total</b>	0	0	0	0	0

The Inspection of Units table is used to record the results of the inspections of the recipient's HUD-assisted housing. The requirement to periodically inspect units applies to all units under the recipient's control. The recipient is not required to inspect every assisted unit every year; however, over time, all units should be inspected. The recipient may take a representative sample of its units and rotate which units are inspected each year. This would include any 1937 Act units, as well as IIG-assisted units owned by the tribe or TDHE. Because the tribe or TDHE holds the title to Mutual Help units until they are conveyed to the homebuyer, these units need to be inspected as long as the units are within the recipient's control. This does not include units that were assisted under the 1937 Act or NAHASDA, but which are now privately owned, such as private homeownership units. For more information on the inspection requirements, see Notice PH 2012-45 (Recipient Inspection of Housing Units Assisted under the Native American Housing Assistance and Self-Determination Act of 1996 (NAHASDA) and those Assisted Under the United States Housing Act of 1937) at <http://portal.hud.gov/hudportal/documents/huddoc?id=PH2012-45.pdf>

If the recipient conducted more than one inspection of the same unit during the 12-month program year, the recipient should only report the condition of the unit based upon the last inspection of that unit. For example, a rental unit is inspected in July as part of an annual inspection program and the unit is in standard condition, but then the family moves out in September and the move-out inspection reveals considerable damage to the unit, then the unit should be reported based on the September inspection.

## **Recurring Inspections Responsibilities**

### **PIH Notice 2012-45**

- The recurring recipient inspection requirement will eventually terminate. For rental housing, the requirement expires when the unit is no longer required to remain as affordable housing upon the end of its “useful life” as defined under 24 CFR § 1000.142. For Mutual Help homes developed under Sec. 202 of the United States Housing Act of 1937 and lease-purchase housing developed with NAHASDA funds, the recurring inspection requirement expires when unit ownership is conveyed to the homebuyer/purchaser.

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## **Initial Inspection**

- During provision of assistance and prior to occupancy
- For owner-occupied, at completion of rehabilitation
- Maintain documentation of inspection
- Make available for ONAP on-site monitoring review

110

## Inspections

- Required: Periodic inspections required
- Applies to all NAHASDA-assisted units
- Periodic scheduled inspections allow the recipient to adequately assess the on-going compliance of the unit with the requirements of NAHASDA.

111

## Inspection Standards

- Tribe/TDHE should establish acceptable and unacceptable “physical conditions standards” or “housing standards” in livability
  - Includes sanitary conditions, lead-based paint, air quality, space and security, and more.
- Construction/Renovation
  - Requires understanding of specifications and building plans, code compliance. May require inspector certification.

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## Inspection Standards

### Maintenance:

- Move-in and Move-out inspections
- Considering livability
- Housing management and tenant often present
- Likely not new, but does establish baseline
- Do damages go beyond regular wear and tear?
- Tribe should have policies in place

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## Inspection Forms as Tools

- HUD Form 52580-A – inspection form, may offer useful guidance. Not required.
- Several software inspection modules are available



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# Sample Inspection Checklist Form 52580

**Inspection Checklist** U.S. Department of Housing and Urban Development, Office of Public and Indian Housing, OMB Approval No. 2071-0108 (Rev. 04/20/2005)

**Housing Choice Voucher Program**

**OMB Burden Statement:** The public reporting burden for this collection of information is estimated to average 0.50 hours per response, including the time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. An estimate of the burden of this collection of information is based on a review of the reporting requirements for this collection of information by the Office of Management and Budget. Send comments regarding this burden estimate or any other aspect of this collection of information, including suggestions for reducing the burden, to the Office of Management and Budget, Paperwork Project Director, Washington, DC 20503. HUD may not conduct and sponsor, and a person is not required to respond to, a collection of information unless it displays a valid OMB control number.

**Privacy Notice:** The Department of Housing and Urban Development (HUD) is authorized to collect the information required on this form by 24 CFR § 982.401. The information is used to determine if it meets the housing quality standards of the Section 8 rental assistance program. The personally identifiable information (PII) data collected on this form are not stored or retrieved within a system of record.

Name of Property: \_\_\_\_\_ Agent or Owner: \_\_\_\_\_ Date of Inspection: \_\_\_\_\_

Address: \_\_\_\_\_ Neighborhood/County Tract: \_\_\_\_\_ Date of Inspection (continued): \_\_\_\_\_

Type of Inspection: \_\_\_\_\_ Date of Last Inspection (continued): \_\_\_\_\_

Initial: \_\_\_\_\_ Special: \_\_\_\_\_ Reinspection: \_\_\_\_\_

**A. General Information**

Inspection Date: \_\_\_\_\_ Year Inspected/Last Inspection: \_\_\_\_\_

PII (Do not include in this section)

Number of Units in Family Lease #: \_\_\_\_\_

Number of Units in Family Lease #: \_\_\_\_\_

Address of Owner or Agent: \_\_\_\_\_

**B. Summary Checklist (Do not fill in appropriate after form has been checked and signed)**

Pass  Fail  Incomplete  No Report of Property Issues

**Inspection Checklist**

No.	Item	Pass	Fail	In Comp.	Comments	Final Approval Date (YYYYMMDD)
1.1	Living Room Present					
1.2	Electricity					
1.3	Electrical Hazards					
1.4	Security					
1.5	Windows Condition					
1.6	Ceiling Condition					
1.7	Wall Condition					
1.8	Floor Condition					

Please refer to the checklist Page 1 of 15 Form HUD-92088 (4/2005)

# Sample Inspection Form 52580A

**Inspection Form** U.S. Department of Housing and Urban Development, Office of Public and Indian Housing, OMB Approval No. 2071-0108 (Rev. 04/20/2005)

**Housing Choice Voucher Program**

**OMB Burden Statement:** The public reporting burden for this collection of information is estimated to average 0.50 hours per response, including the time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. An estimate of the burden of this collection of information is based on a review of the reporting requirements for this collection of information by the Office of Management and Budget. Send comments regarding this burden estimate or any other aspect of this collection of information, including suggestions for reducing the burden, to the Office of Management and Budget, Paperwork Project Director, Washington, DC 20503. HUD may not conduct and sponsor, and a person is not required to respond to, a collection of information unless it displays a valid OMB control number.

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Name: \_\_\_\_\_ Agent or Owner: \_\_\_\_\_ Date of Inspection: \_\_\_\_\_

Address: \_\_\_\_\_ Neighborhood/County Tract: \_\_\_\_\_ Date of Inspection (continued): \_\_\_\_\_

Inspection/Reinspection Type: \_\_\_\_\_ Date of Inspection: \_\_\_\_\_

Initial: \_\_\_\_\_ Special: \_\_\_\_\_ Reinspection: \_\_\_\_\_

**C. Housing Information**

Other Address of Inspection: \_\_\_\_\_

City: \_\_\_\_\_ County: \_\_\_\_\_ State: \_\_\_\_\_

Name of Family: \_\_\_\_\_ Current Tenants of Family: \_\_\_\_\_

Current Street Address of Family: \_\_\_\_\_

City: \_\_\_\_\_ State: \_\_\_\_\_

Number of Units in Family Lease #: \_\_\_\_\_

Name of Owner or Agent: \_\_\_\_\_ Address of Owner or Agent: \_\_\_\_\_

**Housing Type (Check all that apply)**

Single Family Detached  
 Duplex or Two Family  
 House or Town House  
 Low Rise, 3-6 Stories, including Garden Apartments  
 High Rise, 7 or More Stories  
 Manufactured Home  
 Congregate  
 Independent Group Residence  
 Single Room Occupancy  
 Shared Housing  
 Other (Specify): \_\_\_\_\_

**PII (Do not include in this section)**

Inspector Signature: \_\_\_\_\_ Date: \_\_\_\_\_

PII (Do not include in this section) Page 1 of 15 Form HUD-92088 (4/2005)

## Tenant and Homebuyer Relations



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## Residents

- Can be encouraged to carry out minor maintenance.
- Should be encouraged to participate in activities that improve quality of life including maintaining and improving their housing.
- HUD strongly encourages Tribes/TDHEs to identify opportunities for direct resident involvement in the management and maintenance of Indian housing communities.

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## Resident Opportunities

- Maintenance Assessment and Planning
- Establishment of Management/Maintenance Rules by Building, Development or Community-Wide
- Contracting with Resident Organizations or Resident Management Corporations for Maintenance Services or Enforcement
- Resident Employment
- Repairs by Residents to Avoid Damage Charges
- Resident Assumption of Certain Maintenance Responsibilities

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## Training

- Opportunities to train residents or homeowners in maintenance skills
  - In-house workshops
  - Local community college or civic programs

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## Supporting Homebuyer Compliance

- Include in purchase agreement:
  - Monitor homebuyer maintenance through scheduled inspections.
  - Offer counseling for homebuyers, prior to and after occupancy, that explains maintenance obligations and training, if necessary, on how to perform the required tasks.
  - Encourage homebuyers to use available resources in the community to carry out their maintenance obligations.

121

## Dealing with Noncompliance

- 1. Require the homebuyer to agree to a specific plan of action to cure the breach of agreement and to assure future compliance with maintenance obligations. The plan should include:
  - A schedule for maintenance work to be done within a reasonable time by the homebuyer.
  - Tasks are to be done and charged to the homebuyer's account and which will be done by the homebuyer.
- 2. Terminate the homeownership agreement if the homebuyer fails to agree to a plan or to carry out the agreed-upon plan.

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## Entering Occupied Units

1. Never mark a work request complete before being absolutely sure that the work requested has been completed satisfactorily.
2. Leave a copy of the work request in any unit that has been entered; advise whether the work requested is complete or whether a problem still exists.
3. Refrain from discussing the nature of the problem with the resident, and never say, "It can't be fixed."
4. Respond to all emergencies immediately.
5. Do not smoke while in a resident's unit.

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## Entering Occupied Units (2)

6. Restrict all activities to the area of the unit where the work is performed.
7. If promises are made to residents, follow up to see that they are kept.
8. Never argue with a resident; always be courteous.
9. Refer any and all questions from present or prospective residents relating to a leasing agreement, the availability of units, and company policy to the resident manager. Do not become a messenger for resident communications concerning such matters.

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### **Entering Occupied Units (3)**

10. Never remove items from any unit unless instructed to do so by the resident manager.

11. Report immediately to a supervisor any damage to a resident's property.

12. During working hours, refer to the rental office anyone requesting access to a unit. Do not open doors to units for "residents" without the resident manager's approval.

13. When work is completed, restore all areas to a clean and orderly condition.

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### **Entering Occupied Units (4)**

14. Always treat all present and prospective residents with respect and in a dignified manner. Show no preference or personal favoritism because of an individual's race, religion, creed, color, sex, age, or handicap.

15. If additional maintenance problems are noted, add them to the existing work order or create a new work order, but always report additions to the resident manager.

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## During a Resident's Absence

1. If it appears that the resident is out, knock loudly on the door. If there is no answer, wait 2 minutes and knock again.
2. If there is still no answer, use the key, enter the unit, and call out "Maintenance." Repeat the call three times while waiting to see whether the unit is occupied.
3. Hang a "Maintenance in Unit" sign on the door. If there is still no answer, close the door and fulfill the work request.
4. Be sure to leave the unit orderly and securely locked. Be aware of which lock was unlocked to gain entry to the unit; some residents do not always use both locks. Lock only what was locked.
5. Leave the copy of the work request on the kitchen counter in the unit.

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## Resident Communications Class Exercise:

- Tenant Relations Maintenance Supervisor, John Clemens, has driven out to one of the units where his maintenance staff should be doing some preventive maintenance work. As he approaches the site, a resident from the neighboring unit approaches him and she says:
- I called your office 2 days ago about the crack in my ceiling and you still haven't even let me know when you're going to come and fix it. Now you're over in Mrs. Johnson's unit and there isn't even anything broken in there. You're just in there making her unit nicer than mine. I saw that new refrigerator go in there – what is it that she's doing that I'm not so that she gets a new refrigerator? I've been living with the same old ratty refrigerator for 2 years now. What's up with that? John Clements responds: "I'm sorry that no one has called you back about the crack in your ceiling. That must really be annoying you. I'll come and take a look at it now if you want."
- What do you think about the communication that took place in this scenario?

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## **Strategies for Effective Communication**

- Active listening and communications.
- Negotiating effectively.

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## **Active Listening and Communications**

1. Listen to content.
2. Listen to intent.
3. Assess the speaker's nonverbal communication.
4. Monitor your nonverbal communications and filters.
5. Listen to the speaker with empathy and without judgment.

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# Vacancy Turnaround

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## Vacancy Turnover Plan

Have a plan that will address vacancies:

- To ensure that the unit is ready for occupancy without undo loss of time
- To ensure that there will be a resident available for immediate move-in or transfer upon renovation (management responsibility)

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## **Value of Systems and Procedures**

- To monitor units becoming vacant and track every unit until it is reoccupied.
- Allows management and maintenance staff to react quickly.
- To notify the other party involved since they have joint responsibility for bringing the unit back on-line.

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## **Major Work – Slower Times**

- Vandalized or severely abused units
- More vacancies than existing staff can reasonably handle
- Contract work necessary

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## Major Work - Modernization

Replace roof	Replace bathtub
Replace/repair entire plumbing system	Replace 50% of interior doors
Rewire electrical system	Replace entrance door
Replace wall studs	Replace two or more windows
Replace floor joists	Replace three or more walls and/or ceilings
Replace entire stairwell	Replace kitchen cabinets

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## Timelines

- A burned out or seriously vandalized unit may take 3-4 weeks to make ready for occupancy.
- However, if a Tribe/TDHE has 15 days' notice for an upcoming "clean and repaint only" vacancy, that unit can be available in only 2 or 3 days.

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## Long-Range Vacancy Planning

- Review move-out records, including internal transfers, for the previous 12-18 months to get a fairly accurate estimate of the number of vacancies which are likely for the next 12-month period. Note seasonal variations.
- How do existing staff resources match up with anticipated vacancies? Prepare tentative monthly and 6-month schedules based on this information. Project the average amount of work per unit needed to restore each vacancy.

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## Move Out Inspection

- Vacant units should be inspected as soon as possible.
- With resident present if at all possible.
- Prepare list of deficiencies.
- Document with photos.
- Prepare list of costs for charge to be assessed against security deposit.



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## Typical Turnaround Procedure

- Conduct an move-out inspection.
- Secure the unit and change the lock if unit is vacant.
- Prepare units for maintenance work.
  - Remove all trash, furniture, and so on if approved by management.
  - Sweep down and bag any trash left in unit.
  - Take trash to the nearest dumpster or arrange for pickup.
  - Broom clean unit.
  - Schedule painting.
- Repair all maintenance problems in the unit and conduct any PM.

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## Typical Turnaround Procedure (2)

- Wash windows, floors, bathroom, and kitchen.
- Clean out the vacant units after the entire renovation is complete, and conduct an inspection to determine if the unit is acceptable.
- Conduct entry inspection with new applicant and make any needed repairs. Document minor damages.
- Orient tenant with cleaning techniques, requesting work repairs, emergency procedures, operating appliances.
- Transfer utilities to new tenant and read meters.

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## Documentation and Reporting

- Maintain inspection reports, resident charges, checklists, work orders, and contracts in a permanent filing system.
  - Move In Inspection Form
  - Move Out Inspection Form
  - Vacancy Control Log

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## Safety and Crime Prevention

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## Safety

- It is a good business practice and critical for the life and safety of your Tribal members establish a safety program that fits your Tribe's particular situation and the types of maintenance work you do.
- Have safety training on a regular basis that is based on safety requirements of state, local, Tribal, and Federal laws.
- Teach your staff safe procedures for all maintenance work and how to use appropriate safety equipment (e.g., fire extinguisher, lift belts, respirators).

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## Safety Training and Programs

- Implement training based on the safety standards in your area. Locate standards in:
  - Fire safety standards and codes
  - Building habitability standards (Housing Quality Standards)
  - Building codes
  - Occupational Safety and Health Act of 1970 (OSHA) bulletins and regulations
- Establish safety programs for fire protection, materials handling, hand and power tools, electrical, and working surfaces.

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## Contacts for Developing Safety Programs

- The local safety council in your community
- Tribal legal counsel
- The state or county safety office
- The regional OSHA representative

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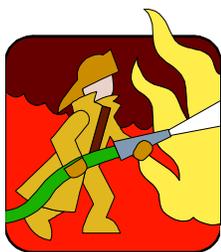
## Safety Procedures

- Limit access to work areas.
- Post warning signs of danger.
- Avoid leaving wires, ropes, and hoses stretched across walkways where people are likely to trip.
- Clean up work areas promptly.

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## Policies and Plans

- Security Plan
- Off Hour Response Plan
- Emergency Call List



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*That's all Folks!*

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