

Instructions for HUD-52735-AS

OVERVIEW: When preparing the Annual Performance Report (APR), report on activities you included in the latest compliant Indian Housing Plan (IHP) for a particular reporting period. If you have made changes to the IHP for a particular grant, or have changed your activities, that did not require review and concurrence by the Area ONAP you should be reporting on those activities.

Reporting period: The reporting time frame of the APR must match that of the corresponding IHP. For example, if the IHP is submitted for the period 10/1/1999 through 9/30/2000, then the APR must cover the same period.

Part I - Report on the one-year IHP. Note: A separate Part I must be prepared for each open grant.

Grant number: Use the grant number ONAP assigned at the time your IHP was approved.

Final APR: All funds have been disbursed from LOCCS for the grant and information on Table II reflects that all funds have been expended for activities under the grant.

Definitions of terms used in this section:

Goal: A measure that is used to guide and motivate an organization toward achieving its mission. Example: The recipient will spend one million dollars to develop 10 rental units in the next year.

Objective: The description of the methods (steps) for achieving the goal. Example: the recipient will (1) select the land, and (2) procure an architect, etc. Together the goals and objectives describe what the recipient will do with the funding during the program year, and how these actions will be accomplished.

Performance Objective: Developed by the recipient to monitor and evaluate its own performance during the program year. The IHP contains performance objectives for each open grant and the APR will provide accomplishments for each performance objective in the IHP. Example: Ten units will be completed within a certain time period and within a certain budgeted

amount. By (enter date) we will have (a) purchased the land (b) conducted an environmental review (c) hired an architect, etc.

Items:

1. Explain what progress you have made on the one-year goals and objectives, and the performance objectives you listed in the IHP that corresponds to the APR's program year. Please include a narrative for each question listed in this APR form. If you have not made adequate progress on a performance objective, explain why not and what you will do to complete the activity. If a goal or objective was reported as complete in a prior APR, do not include it again. Make a note in the applicable section that the activity is complete.
2. For this question, indicate if the five-year goals and objectives are on schedule. Sec 102(b) of NAHASDA requires that you develop a five-year plan for future housing activities. Progress, or lack of progress, made in the one-year plan impacts the five-year goals described in the IHP.
3. In this section, describe how you plan to modify your program to meet your five-year goals and objectives. Modifications to the IHP may need to be reviewed in accordance with §1000.232 by the Area ONAP. Any questions regarding when the Area ONAP should review a modification to your IHP should be addressed to them.
4. In this section, describe how you would change your programs in general as a result of your experience with the implementation of NAHASDA. Recipients are asked, in Sec. 404(b)(4) of NAHASDA, how they would change their overall housing goals given the experiences they encountered with the implementation of their IHP.

Table I: In this table, report on the funds awarded for this particular grant. Note: A separate Table I is to be prepared for each open grant.

Column (a) - These categories are the same as those reflected in the IHP.

Column (b) - These amounts are carried over from the corresponding IHP.

Column (c) - In the IHP, you identified funds you expected to receive from a particular entity. In column (c), enter the amount actually received or awarded; that

is, the entity notified you that the funds were authorized. This is not the amount you budgeted or expected to receive.
Narrative: Include here any other pertinent information that may need clarification or is not covered in any other section of this table.

Table II: Note: A separate Table II is to be prepared for each open grant.

General:

- Do not provide data in fields for activities that can not be measured on a per unit basis.
- It is possible to count a family in more than one category of activities (if the family was assisted by the recipient in more than one activity).
- Amounts provided in columns (c), (d), (e), (f), (h), (i) (j), (k) and (l) are cumulative over the years of the open grant, and are not just for the reporting period.

Column (a) These categories are the same as those reflected on the IHP.

Column (b) These amounts are carried over from the corresponding IHP.

Column (c) Provide a breakout of IHBG funds expended, not obligated, by activity.

Column (d) Total amount of funds expended, not obligated, other than IHBG funds, leveraged with (used with) IHBG funds for this reporting period and for the prior years of this grant.

Column (e) The total of columns (c) and (d).

Column (f) Enter the cumulative percentage of obligated IHBG funds for this grant.

Column (g) - These amounts are carried over from the corresponding IHP.

Column (h) - Enter the cumulative total number of units completed with this grant.

Column (i) - Total number of units for which construction has begun but has not yet been completed.

Column (j) - Cumulative number of low-income Indian families that have been assisted with this grant.

Column (k) - Cumulative number of non low-income Indian families that have been assisted with this grant.

Column (l) - Cumulative number of non-Native American families who were served with this grant.

Narrative:

1. If you include IHBG funds in line #8, in column (a), please describe the purpose of these funds.
2. (a) Briefly explain what kinds of unexpected costs you encountered in the implementation of a particular activity.
(b) Were there any financial concerns that have or will affect your ability to meet one-year and five-year goals and objectives? These concerns relate to funding shortfall, either from funds not received, or from costs higher than were budgeted.
3. If applicable, indicate the date you were approved by ONAP to invest IHBG funds, the amount approved for investment and the actual amount invested.
4. Include here any other pertinent information that might need clarification or is not covered in any other section of this table.

PART II: Submit this Part, which includes Sections A, B, D, and Table III, once per year. The individual grant data should be combined to reflect all open grants.

Section A:

I: Self Monitoring: NAHASDA's implementing regulations, at 24 CFR Part 1000.502, state that as the IHBG recipient (whether you are a tribe or a TDHE), you are responsible for monitoring your grant activities. In addition, if you are a TDHE, the tribe must monitor your activities to ensure compliance with applicable Federal requirements and performance goals.

Questions:

1. In this section, briefly describe the type of self-monitoring system and internal control procedures that you used to assure that the program activities comply with NAHASDA and its program regulations. (Tribes and TDHEs are encouraged to use the NAHASDA Indian Housing Block Grant Recipient Self-Monitoring Compliance Assessment Guidebook for assistance in developing a self-monitoring framework.)
2. In this section, describe the activities monitored, the results of each monitoring activity, and if

applicable, describe what corrective actions were required.

3. This section is to be completed only if you are a TDHE. In this section, describe the procedures the tribe used to monitor activity, activities monitored, results of the monitoring activity and if applicable, describe what corrective actions were required.
4. In this section, if an entity such as HUD, the Office of Inspector General, an auditor, a fee accountant, another Federal agency, etc., notified your tribe of issues regarding your IHBG activities, describe the issue and what corrective actions are being taken to resolve it.
5. In this section, describe what monitoring activities you conducted of your sub-recipients, the results of each monitoring activity, and if applicable, describe what corrective actions were required of the sub-recipients.

TABLE III

Column (a) - These categories are the same as those reflected on the IHP.

Column (b) - The number of units in your housing stock requiring inspection. This includes units assisted with IHBG or 1937 Housing Act funds.

Column (c) - The total number of units inspected during the reporting period. This should relate to your policy for inspection of units. Column c must equal the total of columns d through g.

Column (d) - Standard condition is housing that does not require more than routine maintenance to provide a decent, safe, and sanitary living environment.

Column (g) - Units reported in column (g) should not also be reported in column (f).

Narrative:

1. How will you go about inspecting the units per the process that is set out in your inspection policy.
2. If your maintenance policy states that you require inspections less than annually, please note and explain that you are complying with this policy.
3. In this section, describe the process you used to perform inspections on privately own units assisted with IHBG funds.

Other narrative:

- If you provide one-time financing assistance to the home buyers of units or provide assistance to homeless shelters or temporary housing programs, you may not be able to perform periodic inspections as you can with owned or managed units. If this is the case, describe in the narrative section those activities you were not able to monitor.
- In the event that you conveyed, converted, demolished or disposed of units in this reporting period, report them in the narrative section.
- Include here any other pertinent information that is not covered in any other section of this table.

Section B - AUDITS: IHBG recipients are required to comply with the Single Audit Act and OMB Circular A-133.

1. If you expend \$300,000 or more of Federal funds (not just IHBG funds) during your last fiscal year, you must have an independent public audit.
2. In this section, identify the period of your last audit and is not attached to this APR.
3. A TDHE may be considered an "agency" or "other organizational unit" of an Indian tribe for audit purposes even though it was established as a separate legal entity. If you are, was your housing activities, including financial activities, included or will be included as part of the tribe's audit. See NAHASDA Guidance 2000-01T for further details.
4. The TDHE is required to submit a copy of its audit to the tribe so the tribe may perform its oversight functions.

SECTION C - Public Accountability:

1. You must, under NAHASDA, give your citizens an opportunity to review your APR before submitting it to the Area ONAP.
2. If you are a TDHE, you must submit the APR to the tribe for review before submitting it to the Area ONAP.
3. Self explanatory

4. In this section, summarize any comments you have received from your citizen constituency. Also include what actions have been or will be taken to address the comments.
5. In this section, summarize any comments you have received from the Tribe. Also include what actions have been or will be taken to address the comments.

SECTION D - Jobs Created by NAHASDA: You are not required to complete this portion of the APR. If you do, the information you provide may indicate the number of jobs that have been created by the IHBG program.