

CHAPTER 11. HA RESPONSIBILITY: ANNUAL REPORTING REQUIREMENTS

- 11-1.OBJECTIVE. The objective of this Chapter is to set forth the annual reporting requirements for HAs with previously approved annual grants and with funded replacement reserves. [Sec.14(e)(4)(A)]
- 11-2.PROGRAM YEAR/REPORT DEADLINE. The CGP program year is established for the 12-month period from July 1 through June 30. By September 30 of each year for the program year ending June 30, the HA shall annually submit to the FO the Performance and Evaluation Report for each approved Annual Statement, where the HA is still expending funds. The first Report after a grant is approved is due by September 30 of the FFY following grant approval; e.g., the first Report for the 1996 grant would be due 9/30/97 for the program year ending June 30, 1997. ['968.330 or '950.658]
- 11-3.RESIDENT AND LOCAL/TRIBAL GOVERNMENT PARTICIPATION. Refer to paragraph 9-3.
- 11-4.PERFORMANCE AND EVALUATION REPORT. The annual Report is comprised of the following documents:
- A. Form HUD-52837, Annual Statement/Performance and Evaluation Report is a combined form, permitting the HA to report on its progress in implementing a particular annual grant, as set forth in the Annual Statement. A sample Form HUD-52837 is contained in Appendix 6-1. A separate Form HUD-52837 is submitted for each annual grant for which the HA is still expending funds and includes:
1. Report on the status of each major work category, explaining any additions, deletions or modifications of any major work category, such as the addition of any emergency work, or changes to the Annual Statement by substituting major work categories from the Five-Year Action Plan or other approved modernization budgets;
 2. Where funds were budgeted for HA-wide physical improvements, identification of the actual developments/number of units where the funds were expended;
 3. Cumulative fund obligations/expenditures for each development and HA-wide activity; and
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4. Report on the HA's Performance with respect to the target dates established in Part III, Implementation Schedule, and an explanation of any revised target dates where the HA has self-extended due to delay outside of the HA's control or where HUD has approved a

time extension due to delay within the HA's control. The HA shall maintain adequate documentation in its files to support such extensions.

- B. Narrative Report on resident and local/tribal government participation during CGP implementation and a summary of comments received on the draft Report.
- C. Board Resolution approving the Performance and Evaluation Report and certifying that residents had an opportunity to review and comment on the draft Report.

Note: At the same time the Performance and Evaluation Report is submitted, the HA shall submit Form HUD-60002, Economic Opportunities for Low- and Very Low-Income Persons in Connection with Assisted Projects, as required by 24 CFR Part 135.

11-5. PERFORMANCE AND EVALUATION REPORT ON REPLACEMENT RESERVE. Where the replacement reserve (Account 1490) has been funded with CGP funds, the HA shall annually submit Form HUD-52842, Annual Statement/Performance and Evaluation Report on Replacement Reserve, and a Board Resolution, approving the Report, to the FO by September 30 for the program year ending June 30. The first Report after the replacement reserve is funded is due by September 30 of the FFY following funding; e.g., the first Report for a replacement reserve that was first funded by the 1996 grant would be due 9/30/97 for the program year ending June 30, 1997. Where the replacement reserve has been funded from more than one grant, the HA shall submit one combined Report on Replacement Reserve. The HA shall continue to submit the Report on Replacement Reserve until all funds in the replacement reserve have been withdrawn/expended. A sample Form HUD-52842 is contained in Appendix 11-1 and addresses the following:

- A. Reserve Funded, No Withdrawal/Expenditure. Where the replacement reserve has been funded, but no funds have been withdrawn/expended, the HA shall annually complete Part I, Section 1, Replacement Reserve Status, on the estimated and actual interest income earned on the replacement reserve. Refer to paragraph 10-6B regarding treatment of interest income earned.

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- B. Planned/Actual Withdrawal. Where the HA wishes to withdraw/expend funds from the funded replacement reserve to carry out eligible modernization activities, the HA shall complete Part I, Section 2, Replacement Reserve Withdrawal Report, and Part II, Supporting Pages, which serve as the Annual Statement for replacement reserve funds. The HA should submit these Parts to the FO for approval before withdrawing/expending funds. After FO approval, the HA shall annually complete these Parts, as well as Part I, Section 1, for the annual Report on Replacement Reserve.

