

**U.S. Department of Housing and Urban Development  
Office of Public and Indian Housing**

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**Special Attention of:**  
Administrators; Grants  
Evaluation Directors; Offices  
of Native American Programs;  
Tribes; Tribally Designated  
Housing Entities (TDHEs)

**NOTICE PIH 2000-54 (TDHEs)**  
Issued: December 18, 2000  
Expires: June 30, 2001  
  
Cross References:  
Notice PIH 98-47

OMB Approval 2577-0218  
expires 6/30/2001

**SUBJECT:** Revised Annual Performance Report,  
form HUD-52735-A

**PURPOSE:** The purpose of this notice is to convey the revised Annual Performance Report (APR), form HUD-52735-A, initially published in Notice PIH 98-47 on September 4, 1998. Please use the revised form published in this notice to submit APRs due on or after December 31, 2000.

**AUTHORITY:** Section 404 of the Native American Housing Assistance and Self-Determination Act (NAHASDA) of 1996, requires recipients to annually review progress made in carrying out the activities described in their Indian Housing Plans (IHP). Recipients must prepare a report describing the conclusions of the review, make it publicly available to citizens in their jurisdiction and submit it to HUD within 60 days after the end of their program year.

**BACKGROUND:** A work group composed of Office of Native American Programs (ONAP) staff and tribal and tribally designated housing entity (TDHE) staff reviewed and offered suggestions for revisions to the APR form prior to submitting it to all recipients of Indian Housing Block Grant (IHBG) funds for review through the consultation process. A summary of the workgroup's comments and suggestions for revisions and those submitted by recipients through the consultation process are included as an attachment to this notice.

**SUBMISSION:** An APR may be prepared and submitted by one of the following methods:

1. Paper version. Prepare the form HUD-52735-A using the enclosed form, or by downloading a copy of the form from Code Talk at <http://www.codetalk.fed.us> (click on U.S. Housing and Urban Development, Office of Native American Programs, TA Products and Forms, and then HUD forms) or on HUD CLIPS at <http://www.hudclips.org>. After completing the form, mail it to the Area ONAP.
  
2. Electronic version. The electronic version of the APR should be available on Code Talk by January 31, 2001. Prepare the APR in Word using the electronic template available on Code Talk at <http://www.codetalk.fed.us> (click on U.S. Housing and Urban Development, Office Native American Program, NAHASDA Home Page, and then template download) and mail a disk containing the completed form file to the Area ONAP or attach the completed form file to an e-mail message and send it to the Area ONAP Grants Evaluation Division Director. The APR may be submitted over the Internet by completing the electronic form available on Code Talk at <http://www.codetalk.fed.us> (click on U.S. Housing and Urban Development, Office of Native American Programs, NAHASDA Home Page, and then submit\review my APRs). If you wish to submit your APR over the Internet you must be registered. Registration is accomplished on Code Talk at <http://www.codetalk.fed.us> (click on U.S. Housing and Urban Development, Office of Native American Programs, NAHASDA Home Page, and then register).

A list of Area ONAP addresses and e-mail addresses for Grants Evaluation Division Directors is attached to this notice.

All questions regarding completion and submission of the APR should be directed to the appropriate Area ONAP. The form is not attached to the Notice on the PIH web pages but will be transmitted with the official printed Notice.

/s/ Milan Ozdinec for

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Harold Lucas, Assistant Secretary  
for Public and Indian Housing

Attachments: Summary of Comments and Revisions  
Instructions for Completing the APR  
List of Area ONAP Addresses

## Summary of Comments and Revisions

### **I. Comments Incorporated or Addressed in the Revised APR**

**Comment:** Clarifying language requested for sections relating to audit, performance objectives and optional information requested for Congress.

**Response:** The Audits section was redesigned and becomes Section B in Part II. The questions in this section were drafted to remind recipients of the audit reporting requirements and to assist ONAP staff in tracking them.

Most of the prior Part G data was eliminated for ease of reporting and becomes Table IV in the revised form.

In Part I, a matrix was developed to aid in relating the performance objectives identified in the Indian Housing Plan (IHP) to the one-year goals and objectives.

**Comment:** Definitions for cost overrun, high unit costs, and planned amount should be provided.

**Response:** Instructions for completing the APR, including definitions for applicable terms, is attached to this notice. Detailed guidance to assist recipients in developing an APR will be forthcoming.

**Comment:** The electronic version of APR is frustrating.

**Response:** The revised electronic version of the APR will be available in the future. The system will be a browser-based format designed to greatly reduce the time recipients spend accessing and developing their APRs.

**Comment:** Eliminate breakout of costs question 1.c. in Part B narrative.

**Response:** Many recipients indicated that the requirement to collect data in the level of detail indicated was cumbersome and unnecessary. In response to this, question 1.c was eliminated in the revised APR form. The data collected on table II will be sufficient to satisfy this data need.

**Comment:** Eliminate bureaucratic language.

**Response:** Revisions to language and tone have been made in the revised APR and are due primarily to the efforts of the recipient work group.

**Comment: Reduce redundant questions.**

**Response:** Questions 1.a. and 1.b. of the previous Part A have been eliminated in the revised APR. Recipients will now explain, in question 3 of Part I, if the five-year goals and objectives stated in the IHP are on track.

In addition, the previous Part B was revised and restructured for efficiency in reporting. This section is Part I in the revised APR.

**Comment: Structure of the APR is confusing.**

**Response:** In an effort to reduce the confusion regarding which sections of the APR are to be submitted in any given year, the APR form is revised into Parts I and II. One Part I and Tables I and II are to be submitted for each open Indian Housing Block Grant. Part II, including Sections A, B, C and D and Table III are to be submitted once per program year and the information will be combined to cover all open grants.

**Comment: Suggest that amounts on Table II be cumulative.**

**Response:** The columns on Table II have been regrouped and ask for cumulative data.

**Comment: There is nowhere on the APR form to report on units that have conveyed, converted or demolished and/or disposed.**

**Response:** This information is initially provided on Table 3 of the IHP. Changes to this data should be included in the narrative section of Table III of the revised APR.

**Comment: Under Part C - Citizens Comments - reference is made to Section 403(d) and there is no Sec. 403(d) in NAHASDA. The probable reference is to Sec. 404(d).**

**Response:** There was a typo in the original form. The correct citation is Sec. 404(d) and this correction has been made in the revised APR.

## **II. Comments Which Could not be Incorporated or Addressed in the Revised APR**

**Comment: Deadline date for APR submittal provides only a minimum amount of time for citizen comments.**

**Response:** The 60-day submittal period is a requirement of the program regulations(24 CFR 1000.514).

**Comment: Item #3 in Table II could be split between Federal, State, and Local government resources.**

**Response:** The format used to collect table data in the APR must be consistent with that provided in the IHP.

**Comment: Recipients should not have to repeat the goals and objectives listed in the IHP.**

**Response:** It is vital to repeat in the APR the goals and objectives listed in the IHP for the following reasons:

- (1) Citizens in the recipient's jurisdiction will have an opportunity to compare accomplishments to the goals and objectives,
- (2) Listing them again focuses the recipient's attention on goals and objectives to assure that they have been addressed, and
- (3) The ONAP reviewer will look to see that the recipient is reporting on the latest-compliant IHP goals and objectives.

**Comment: Eliminate Table I - Financial Resources and Table III Periodic Monitoring of Assisted Units.**

**Response:** Both of these tables are essential for collecting the data necessary for reporting to Congress. The data collected by Table I verifies that the recipient was able to receive anticipated funds to accomplish the activities proposed in the IHP. Table III collects data to satisfy the requirements of Section 403(b) of the statute and Subpart F of the regulations.

### **III. Positive Comments Regarding the Revised APR:**

Overall, recipients supported changes made in the revisions to the APR. Following is a sampling of several comments received in this regard:

- The new format is program and administratively sensitive to the needs of this commentor's tribe and the changes accomplished by the recipient work group are much appreciated.
- The shorter version will be easier to develop and is less repetitive, and the revised APR looks much more user friendly and will eliminate time-consuming repetitiveness.

### **IV. Other Changes Included in the Revised APR Not Made in**

**Response to Specific Comments but Were Made for Purposes of Internal Consistency and Clarification:**

- Question #2 (If applicable, give an analysis and explanation of cost overruns or high unit costs) formerly in Part B, is now question #2 in the narrative section of Table II.
- Column (f) was added to Table II to facilitate development and review of these amounts. This information had appeared as a question in the narrative section.
- Reporting on investment activity is now to be included at the bottom of Table II.
- A dollar value for units needing minor and major rehabilitation is now provided in columns (e), (f) and (g) to assist in determining how to report in these categories

## Instructions

**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.

<b>Tribes &amp; TDHES located</b>	<b>ONAP Address</b>
East of the Mississippi River (including all of Minnesota) and Iowa	Eastern/Woodlands ONAP, 5API Metcalf Federal Building 77 West Jackson Boulevard, Room 2400 Chicago, Illinois 60604-3507 (312) 886-4532 or (800) 735-3239 TDD Numbers: 1-800-927-9275 or 312-886-3741 Director of Grants Evaluation (GE): Elmer_Thogersen@hud.gov
Louisiana, Missouri, Kansas, Oklahoma, and Texas except for Ysleta del Sur	Southern Plains ONAP, 6IPI 500 West Main Street, Suite 400 Oklahoma City, Oklahoma 73102 (405) 553-7520 TDD Numbers: 405-231-4181 or 405-231-4891 Director of GE: Calvin_C._Moser@hud.gov
Colorado, Montana, Nebraska, North Dakota, South Dakota, Utah, and Wyoming	Northern Plains ONAP, 8API Wells Fargo Tower North 633 17 <sup>th</sup> Street Denver, Colorado 80202-3607 (303) 672-5465 TDD Number: 303-844-6158 Director of GE: Carol_A._Roman@hud.gov
Arizona, California, New Mexico, Nevada, and Ysleta del Sur in Texas	<b>Southwest ONAP, 9EPI</b> Two Arizona Center 400 North Fifth Street, Suite 1650 Phoenix, Arizona 85004-2361 (602) 379-4156 TDD Number: 602-379-4156 <b>or</b> <b>Albuquerque Division of ONAP, 9EPIQ</b> Albuquerque Plaza 201 3 <sup>rd</sup> Street, NW, Suite 1830 Albuquerque, New Mexico 87102-3368 (505) 346-6923 TDD Number: None Director of GE: Larocka_A._Zelder@hud.gov
Idaho, Oregon, and Washington	<b>Northwest ONAP, 0API</b> 909 First Avenue, Suite 300 Seattle, Washington 98104-1000 (206) 220-5270 TDD Number: (206) 220-5185 Director of GE: Patricia_Boydston@hud.gov
Alaska	<b>Alaska ONAP, OCPI</b> 949 East 36 <sup>th</sup> Avenue, Suite 401 Anchorage, Alaska 99508-4399 (907) 271-4633 TDD Number: (907) 271-4328 Director of GE: David_Vought@hud.gov