

# **Annual Performance Reports**

Southwest Office of Native American Programs (SWONAP) -  
Annual Performance Report Workshop

# Schedule/Logistics

- Day one presentation
- Day two individual technical assistance

# Introductions

- Name
- Title or position
- Organization

# NAHASDA Requirements

## ■ Statute

- Sec. 404., Performance Reports - This section of the statute requires IHBG recipients to annually:
  - Review grants progress
  - Submit a report to HUD

## ■ Regulation

- 24 CFR 1000.512 – This regulatory citation requires:
  - Recipients to submit an annual report to HUD

# What does the APR accomplish?

- Measures the progress of grant activities
- Reports on how grant funds were used
- Reports on the accomplishments obtained
- Consolidates information reported to Congress
- Describes any informal revisions to the IHP

# Formal Revisions

- Required by 24 CFR 1000.232
  - IHP adds new activity
  - Reduces amount of funds to protect/maintain viability of 1937 Housing Act units.
- APR cannot be used for formal revisions

# Informal Revisions

- APR can be used for informal revisions
  - Can be used to delete activities
  - Can be used to revise and delete planned funds
  - Can be used to revise and delete budgeted funds

# When do you submit an APR?

- Submit an APR within 60 days of the end of the recipient's program year



# APR Sections

- Cover Sheet
- Part I - Reporting on the One-Year IHP Goals and Objectives
- Part II – Reporting on Program Year Accomplishments

# Cover Sheet

- Identifies:

- Who submitted the APR (Tribe or TDHE)
- Reporting period
- Name and address of the recipient
- Name and phone number of a contact person
- Lists each tribe included in the report
- Name of official authorized to submit APR

# Part I

- Recipients must submit a complete Part I for ***each*** open grant. Part I consists of:
  - Report on One-Year Indian Housing Plan(s)
  - Questions and Narratives
  - Table I – Sources of Funds
  - Table II – Uses of Funds

# Part I – Reporting on the One-Year Indian Housing Plan

- Grant number
- Date HUD notified you that the IHP was in compliance. (this date can be found on the Grant Agreement, Form HUD-52734-B, box 8b)
- Is this the final APR? Check yes/no

# Part I - Question 1

## Narrative:

- Report on one-year goals and objectives in your housing plan(s).
- Report on each of the performance objectives identified in the current IHP.

# Part I - Question 1 (Cont.)

- Where **No Accomplishment** is to be reported, describe:
  - Why objective was not accomplished
  - What is being done to complete activities

# Part I - Question 2

- **Are you on schedule to complete the 5-year goals identified in your IHP?**
  - check yes or no

# Part I - Question 3

■ **If the answer to question #2 is no:**

- Describe how you plan to modify your program or your goals and objectives



# Part I - Question 4

- **How would you change your programs as a result of your experience with the implementation of NAHASDA?**
  - Goals, objectives, and performance objectives
  - Internal management issues
  - Program issues
  - IHP revisions

# Part I

## Table I - Sources of Funds

Sources of Funds for IHBG Activities	Planned Amount (from the IHP)	Amount Actually Awarded
(a)	(b)	(c)
1. HUD Resources		
a. NAHASDA Block Grant		
b. NAHASDA Program Income		
c. NAHASDA Title VI (Federal)		
d. Section 184 Loan Guarantee		
e. Indian Community Development		
f. Drug Elimination		
g. Prior year funds		
h. Other ( <b>explain in narrative</b> )		
2. Existing Program Resources		
a. 1937 Housing Act Programs		
b. Other HUD Programs		
3. Other Federal or State Resources		
a. BIA Home Improvement Program		
b. Other ( <b>explain in narrative</b> )		
4. Private Resources		
a. Tribe		
b. Financial Institution		
c. Other ( <b>explain in narrative</b> )		
5. Other ( <b>explain in narrative</b> )		
<b>Total Resources</b>		

 **Awarded**

**From  
IHP**

**Agrees with Table II**

# Part I

## Table I – Question 1

- **Table I - If column c is less than column b, explain why the planned funds were not realized.**

# Part I

## Table II - Uses of Funds

Activity	Budgeted Amount (from the IHP)	Cumulative			Percentage of IHBG Grant Amount Obligated
		Grant (IHBG) funds expended	Other funds expended	Total funds expended from all sources (c + d)	
(a)	(b)	(c)	(d)	(e)	(f)
1. Indian Housing Assistance (1937 Housing Act units)					
a. Modernization					
b. Operating					
2. Development					
a. Rental					
i. Construction of new units					
ii. Acquisition					
iii. Rehabilitation					
b. Homeownership					
i. Construction of new units					
ii. Acquisition					
iii. Rehabilitation					
3. Housing Services					
4. Housing management					
5. Crime Prevention & Safety					
6. Model Activities					
7. Planning & administration					
8. Reserves					
9. Other					
<b>Total</b>					

**From IHP** →

← **IHBG Only**

# Part I

## Table II - Uses of Funds (cont.)

Activity	Number of units planned (from the IHP)	Number of units completed	Number of units started not completed	Cumulative		
				Number of families assisted		
				(j)	(k)	(l)
(a)	(g)	(h)	(i)	low-income Indian families	non low-income Indian families	non-Native American
1. Indian Housing Assistance (1937 Act units)						
a. Modernization						
b. Operating						
2. Development						
a. Rental						
i. Construction of new units						
ii. Acquisition						
iii. Rehabilitation						
b. Homeownership						
i. Construction of new units						
ii. Acquisition						
iii. Rehabilitation						
3. Housing Services						
4. Housing Management Services						
5. Crime Prevention & Safety						
6. Model Activities						
7. Planning & Administration						
8. Reserves						
9. Other						
Total						

# Part I

## Table II – Question 1

- **Table II - Reserves: Identify the purpose of any funds placed in this category.**

# Part I

## Table II – Question 2

- Explain any unexpected cost overruns associated with IHBG funds.

# Part I

## Table II – Question 3

### ■ Investments:

- Date HUD approved:
- Amount approved for investment
- Identify the amount of IHBG funds invested



# Part II – Reporting on Program Year Accomplishments

## ■ Five Sections of Part II:

- Section A – Self-Monitoring
- Table III – Inspection of Assisted Housing
- Section B – Audits
- Section C – Public Accountability
- Section D – Jobs Created by NAHASDA

# Part II

## Minimum Requirements

- Only one Part II is required because it combines information for all open IHBG grants.

# Part II

## Section A - Monitoring

- Report on the self-monitoring activities accomplished during the program year

# **Part II**

## **Section A - Question 1**

- **Describe self-monitoring systems and procedures used to assure program activities comply with NAHASDA.**

# Part II – Section A

## Question 2

- **If you are a tribe or a TDHE reporting as the recipient:**
  - a. List activities that were self-monitored
  - b. Describe the results of the self-monitoring activity
  - c. Describe corrective actions implemented as a result of the monitoring

# Part II - Section A

## Question 3 (Cont.)

### TDHE only:

- d. Describe the procedures the tribe used to monitor your affordable housing activities
  - periodic reports
  - audits
  - financial statements
- e. List activities tribe monitored
- f. Describe the result of the activities monitored
- g. Describe corrective action required

# Part II – Section A

## Question 4

**TDHE only:**

- Describe any issues regarding your program activities that were referred to the tribe by HUD, auditors, etc.
- Describe your responses to them.

# **Part II – Section A**

## **Question 5**

**Complete only if you have Sub-Recipients:**

- **Describe any monitoring activities you conducted of your sub-recipients.**



# Part II – Section A - Table III

Activity	Total number of units	Units Inspected				
		Total number of units inspected	Number of units in standard condition	Number of units needing rehabilitation (costing less than \$20,000)	Number of units needing rehabilitation (more than \$20,000)	Number of units needing to be replaced.
a.	b.	c.	d.	e.	f.	g.
<b>1. 1937 Housing Act funded units</b>						
a. Mutual Help	5	5	2	1	2	
b. Low Rent	36	34	30	2	2	
c. Turnkey III						
d. Other						
<b>2. NAHASDA funded units</b>						
a. Owned or managed by recipient	1	1	1			
b. Homeownership	3	3	1		2	
c. Rental						
d. Temporary housing						
e. Other						
<b>Total</b>	<b>45</b>	<b>43</b>	<b>34</b>	<b>3</b>	<b>6</b>	

# Table III Hint

- Check your math!
- Column (c) = (d) + (e) + (f) + (g)
- Column (b) should be equal to or more than (c)
- Column (b) should equal the amount reported in the IHP and in the Formula Current Assisted Stock
- If column (c) is less than column (b), narrative question 2 should explain

# Part II

## Table III - Question 1

- Describe your plan of action for complying with your inspection policy.

# Part II

## Table III - Question 2

- If you did not inspect the units you planned to inspect during the year, explain why not.

# Part II

## Table III - Question 3

- Describe how you inspected IHBG-funded units that you do not own or manage.

# Part II – Section B - Audit

- **24 CFR 1000.502, 1000.544, and 1000.548 (NAHASDA regulations)**

Require recipients to meet the requirements of the Single Audit Act and OMB Circular A-133

# Part II – Section B - Audit Submission Requirements

- **Submit When?**
  - The regulations at 24 CFR 1000.544 require recipients to comply with the OMB Circular A-133, which requires audits to be submitted within 9 months after the end of the reporting period.
  - The regulations at 24 CFR 1000.548 require recipients to submit a copy of the latest audit with the APR.

# Part II – Section B - Audits

## Question 1

**For this reporting period, did you expend \$300,000 or more in Federal funds?**

- All recipients must answer this question.
- The \$300,000 threshold is not limited to HUD or IHBG funds.
- Answer "Yes" (audit report is required)
- Answer "No" (audit report is not required)
- If you answer "No", skip questions 2, 3, and 4.



# **Part II – Section B – Audits**

## **Question 2**

**If the audit is not submitted with the APR, what is the period covered by your last audit?**

If an audit was required, identify the start and ending dates for the last audit period.

Example: 1/01/01 to 12/31/01

# Part II – Section B - Audits

## Question 3

**TDHE only: Will your housing activities be included in the tribe's audit?**

-Answer "Yes" (The TDHE is included in the tribe's audit and will not be submit a separate audit.)

-Answer "No" (The TDHE is not included in the tribe's audit and will submit its own audit.)

# **Part II - Section B – Audits**

## **Question 4**

**If the answer to question 3 is “No”, have you submitted your latest audit report to the tribe in accordance with 24 CFR 1000.550?**

# Questions about Audits?

Audit contact within SWONAP:

Linda Carpenter

Lead Grants Evaluation Specialist

(602) 379-7215

# Part II – Section C – Public Accountability

1. Did you make the APR available to citizens before it was submitted?
2. TDHE only: Did you submit this APR to the tribe?
3. If not (for 1 or 2 above), when will you do so?

# Part II – Section C –Public Accountability

4. Summarize comments made by citizens
  - Describe your response
  - Indicate if no comments received
  
5. TDHE only: Summarize comments received from the tribe.
  - Describe your response
  - Indicate if no comments received

# Part II - Section D – Jobs

- Report on jobs created by NAHASDA
  - Permanent Jobs
  - Temporary Jobs
  - Staffing Needs

# Part II - Section D - Jobs

- The table tells HUD “how many”

	Number of Permanent Positions Created	Number of Temporary Positions Created	Number of Positions Needed to Implement NAHASDA
(a)	(b)	(c)	(d)
Indian Housing Block Grant Assistance			

- The narrative tells HUD “what kind”



# **Submit APR to:**

**Southwest Office of Native American Programs  
Attention: Grants Evaluation Division  
1 North Central Avenue, Suite 600  
Phoenix, AZ 85004  
(602) 379-7200**

**or**

Email:

[Marcia\\_A.\\_Fredman@hud.gov](mailto:Marcia_A._Fredman@hud.gov)

[Carl\\_V.\\_Stahoviak@hud.gov](mailto:Carl_V._Stahoviak@hud.gov)