

INDIAN AFFAIRS
HOUSING IMPROVEMENT PROGRAM (HIP)
HANDBOOK

70 IAM 7-H

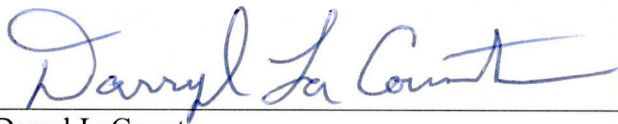


Office of Indian Services
Division of Human Services
Housing Improvement Program
1849 C Street, NW - Mailstop 3645-MIB
Washington, DC 20240

FOREWORD

This handbook documents the procedures required to implement the Indian Affairs (IA) Housing Improvement Program (HIP) policy, 70 IAM 7. It supersedes all procedures, handbooks, and other guidance related to the HIP that may have been created and/or distributed throughout IA previously.

This handbook is intended primarily for HIP professionals and managers who administer HIP policy, but it is also informative for other IA employees, Tribes, and government agencies seeking to fund housing projects in Indian country.



Darryl LaCounte
Acting Director, Bureau of Indian Affairs

7-31-2018

Date

Table of Contents

CHAPTER 1: GENERAL.....	1
1.1 Purpose.....	1
1.2 Policy.....	1
CHAPTER 2: APPLICATION AND SELECTION.....	2
2.1 Application Requirements.....	2
2.2 Eligibility.....	4
2.3 Processing Applications.....	5
2.4 Available Categories of Service.....	7
CHAPTER 3: ADMINISTRATION AND COMPLETION OF SELECTED HIP PROJECTS.....	12
3.1 Recipient Case File.....	12
3.2 Reporting.....	14
Attachment 1 – TAPR Example: PROFILE.....	16
Attachment 1 – TAPR Example: PRIORITY CALCULATION.....	17
Attachment 1 – TAPR Example: PRIORITY RANKING LIST.....	18
Attachment 1 – TAPR Example: PART I – TRIBAL WORK PLAN.....	19
Attachment 1 – TAPR Example: PART II - REPORT OF ACCOMPLISHMENTS.....	20
Attachment 2 – Checklist for HIP Applications.....	21
Attachment 3 – HIP Authorization to Release Information.....	22
Attachment 4 – Certification of Final Inspection.....	23

CHAPTER 1: GENERAL

1.1 Purpose

This handbook documents the practices and procedures necessary to manage HIP resources on Indian lands. It applies to all IA offices and programs participating in the management, accountability, utilization, or protection of housing. Other federal agencies and offices that are also involved in the management of housing on Indian lands are encouraged to adhere to the procedures prescribed herein. Compacted Tribes may not be required to abide by the practices and procedures contained in this handbook (refer to the Tribe's compact), but may use it as guidance in the performance of their HIP management projects.

The purpose of this handbook is twofold: (1) to provide guidance and procedures necessary to apply for, prepare, administer, and report on HIP projects, and (2) to reference the authorities related to the administration and implementation of other housing improvement management activities, including but not limited to, housing management planning; environmental compliance; monitoring; reporting; and documentation.

HIP is an extremely low income grant program administered by IA that offers housing assistance to disadvantaged Native American and Alaskan Native families who live in substandard housing, are homeless, or have no other resources for housing assistance. Priority is extended to the elderly, disabled, low income families with dependent children, veterans, or individuals living in overcrowded and unsafe conditions.

For additional guidance on statutory, regulatory, and policy requirements, refer to 25 CFR 256 – Housing Improvement Program and 70 IAM 7: Housing Improvement Program.

1.2 Policy

IA's housing policy is premised on the idea that every Native American and Alaskan Native family should have the opportunity for a decent home and suitable living environment. Tribal involvement is necessary to ensure that services provided under the program are responsive to the needs of the Tribes and the program participants. Tribal participation in, and direct administration of, the HIP is encouraged to the maximum extent possible.

Individuals or families having income within program guidelines, and who are deemed eligible for HIP services, are not precluded from seeking supplemental assistance from other available resources. In an effort to increase program participation and extend assistance to additional eligible applicants, it is prudent to move forward with other complementary housing programs to increase program benefits and participation. Federal agencies are encouraged to participate, collaborate, and partner amongst themselves or with other like complementary programs.

CHAPTER 2: APPLICATION AND SELECTION

Every Native American and Alaskan Native who is a member of a federally recognized Native American Tribe or Alaskan Native village, regardless of Tribal affiliation, is entitled to apply for HIP if they meet the criteria documented in 25 CFR 256.6.

The use of the following forms and/or documentation is *mandatory*:

- HIP Housing Assistance Application (Bureau of Indian Affairs (BIA) form 6407),
- Proof of land ownership (i.e., lease, allotment, assignment), and
- Categorical Exclusion Exception Review (CEER) Checklist (this is used to ensure compliance with the National Environmental Policy Act (NEPA)).

These forms and all other forms and checklists referenced throughout this handbook are located on the IA Online Forms website unless otherwise indicated:

<https://www.bia.gov/policy-forms/online-forms>. Note that there are two tabs on this webpage: 1) Indian Affairs Specific Forms and Guidance, and 2) Paperwork Reduction Act (PRA) Forms; HIP-related forms may be found on both tabs.

If a form, checklist, or document is not shown on the Online Forms webpage, the Tribal servicing housing office, Tribe, or BIA Agency may be able to provide the document in question. In addition, BIA regional housing offices may have sample forms and letters available upon request.

When submitting a HIP Housing Assistance Application to the Tribal servicing housing office, applicants must provide all necessary documentation supporting their application to fully establish their eligibility in accordance with 25 CFR 256.13.

2.1 Application Requirements

The application process is documented in 25 CFR 256.13. Specifically, the applicant must do the following:

1. Fully complete and sign the HIP Housing Assistance Application, which also includes the Privacy Act Statement.
2. Provide documentation verifying Tribal membership. Examples of acceptable documentation include a copy of a Certificate of Degree of Indian Blood (CDIB) or a copy of a Tribal membership card.
3. Provide documentation of **gross** income for all permanent members of the household. This includes signed copies of current 1040 tax returns, including W-2 statement(s), and all other attachments. If any members of the household did not file a tax return, they must submit a signed notarized statement explaining why they did not file.

4. Provide proof of all other income for the applicant and all permanent members of the household. This includes unearned income such as social security, general assistance, retirement benefits, and unemployment benefits. If no income was received, a signed statement to that effect must be submitted by all applicable members.
5. Provide a copy of an annual trust income statement from Individual Indian Money (IIM) accounts for all permanent household members. If no account exists for the applicant or any permanent member of the household, a statement to that effect from the individual's home Agency must be submitted. 25 U.S.C. 1408, Section 8, as amended, states up to \$2,000 of income from trust interests per year per individual shall not be considered as income in determining eligibility for HIP.
6. Provide proof of ownership of the residence and/or land:
 - (a) For fee patent property, the applicant must provide a copy of a properly executed warranty deed.
 - (b) For trust property, certification must be provided by the BIA in the form of a lease, a deed, or a Title Status Report (TSR).
 - (c) For Tribally owned land, the applicant must provide a copy of a properly executed Tribal assignment or a lease, or proof of the ability to acquire an undivided leasehold for a minimum of 25 years.
 - (d) For multi-owner property, the applicant must provide a copy of a properly executed, undivided leasehold for not less than 25 years from the date housing assistance is received.
7. If a member of the household is disabled, 25 CFR 256.14 (b) (2) states that the member must fit under the established definition of "disabled" as stated in 25 CFR 256.2. The proof of disability may include a physician's certification, Social Security or Veterans Affairs determination, or similar determination. The regulations do not define what "similar determination" means. A letter from a health care provider, such as the Indian Health Service (IHS), can be developed to satisfy this requirement.
8. Down Payment Assistance Grants are grants to individuals and families pursuing affordable homeownership financing, and are intended to provide affordable homeownership opportunities to improve the quality of life in Tribal communities. The Down Payment Assistance Grant may help with down payment and closing costs, and is designed to make home mortgage payments more affordable.

Grants may be used to assist borrowers who: (1) are eligible to participate in HIP, (2) are pursuing the purchase of an existing home, (3) are constructing a new modest dwelling, (4) are renovating or rehabilitating a current home, (5) have inadequate income or limited financial resources available to meet lender requirements, and/or (6) are able to obtain affordable mortgage financing.

For down payment assistance, a letter from the funding institution that specifies the down payment amount and the closing costs required to qualify for the loan must be provided.

9. For incomplete applications, the Tribal servicing housing office must notify the applicant in writing, stating what is needed to complete the HIP Housing Assistance Application. A reasonable amount of time should be allowed for the applicant to respond. It is at the discretion of the Tribal servicing housing office to establish a policy that sets time frames for responses.

2.2 Eligibility

Once the Tribal servicing housing office receives the HIP Housing Assistance Application, it can begin the review process to determine the applicant's eligibility in accordance with 25 CFR 256.6 and 256.13. The BIA recommends that the Tribal servicing housing office use the Tribal Annual Performance Report (TAPR) as part of this process. The TAPR is an excel workbook that consists of seven worksheets (Instructions, Profile, Form, Priority List Form, Part I, Part II, and 150 Percent) contained within the file. Several of the TAPR worksheets are included as examples in Attachment 1. If computer/internet access is not available, then the Checklist for HIP Applications (see Attachment 2 for a sample) or other similar checklist that is authorized should be used.

The applicant must meet the following eligibility requirements:

1. Is a member of a federally recognized Native American Tribe or Alaskan Native Village.
2. Lives in an approved Tribal service area (lands within a geographical area designated by a Tribe to which equitable services can be provided).
3. Annual household income does not exceed 150% of the federal poverty income guidelines.

Please note that these guidelines change every year and are published annually in the Federal Register by the U.S. Department of Health and Human Services (HHS). These guidelines can be found online here: <https://www.govinfo.gov/> by typing in the 'Search' field: "annual update of HHS poverty guidelines [enter the current year]".

4. Present housing is substandard, not meeting the definition of standard housing as defined in 25 CFR 256.2.
5. Meets the Ownership Requirements (house/land) as stated in 25 CFR 256.9 (b) and 256.10 (applicable to Category B and Category C, respectively). While ownership requirements are not specifically stated for Category A, the repair or renovation of any home must have the written consent and agreement by the homeowner; therefore, ownership requirements must also be met for Category A services.

House: The applicant must either own the house, or hold an undivided leasehold for 25 years from the date housing assistance is received.

Land: Hold title to interest in the land, or hold an undivided leasehold for 25 years

from the date housing assistance is received.

6. Has no other resource for housing assistance. This must be documented by the Tribal servicing housing office.
7. Has not previously received assistance relating to categories as defined in 25 CFR 256.9, 256.10, and 256.11, for repairs and renovation, replacement and new housing, or down payment assistance.
8. Did not acquire his/her present housing through past participation in a federal government-sponsored housing program over the previous 20 year period.
9. If present housing is located in a flood plain, the applicant must provide proof of flood insurance, in accordance with P.L. 93-234, 87 Statute 977.

If an applicant is found ineligible, the Tribal servicing housing office must notify the applicant in writing within 45 days of receipt of the completed application.

2.3 Processing Applications

Once the Tribal servicing housing office has reviewed the HIP Housing Assistance applications for eligibility, it then rates the eligible applications and assigns numeric values according to the factors and table provided in 25 CFR 256.14.

The Tribal servicing housing office then has two options for submitting their eligible applicant data to the applicable BIA regional housing office. This submission is done annually based on a due date provided by the BIA regional housing office.

Option 1: The application information is entered into the TAPR using the Priority Calculation Form worksheet that calculates automatically and can be electronically stored and shared via email to the BIA regional housing office. **Note: The TAPR excel workbook is an automated software tool that is supplied annually to assist the Tribal servicing housing office. The use of this workbook is strongly encouraged and is the preferred method of use when submitting Tribal HIP data.**

Option 2: The application information is entered into the TAPR using the Priority Calculation Form - Manual Entry, and will be completed manually for each applicant.

The names of all eligible applicants who have submitted applications for assistance will be transferred automatically to the Priority List and Part I worksheets within the TAPR. Again, if not using Option 1, the Tribal servicing housing office will need to complete this function manually for each applicant.

The Priority List is an additional tool used by the Tribal servicing housing office to provide a profile of the family's needs according to the selection criteria defined in 25 CFR 256.14.

On both the Priority Ranking List and Part I, the eligible applicants are ranked in order of need, from highest to lowest points calculated. In cases of a tie, the family with the lower income per household member will be listed first as defined in 25 CFR 256.14 (c) (2). If additional tie breakers are required, other factors for consideration could be length of time the applicant has already been listed on the TAPR and has been “waiting,” condition of the house, availability of infrastructure, or other possible deciding factors according to the needs of the Tribe(s).

The Tribal servicing housing office ensures that all documentation noted in section 3.1 below (items #1 through #13) are completed *prior* to submittal of the TAPR to their BIA regional housing office, and are included in the file.

Upon notification from the BIA regional housing office of the TAPR due date, the Tribal servicing housing office should submit only their completed TAPR as requested; all other documents remain with the application in the applicant file. It should be noted that there is an approximate 3-4 months waiting period between sending the TAPR to the BIA regional housing office and hearing whether a project will receive funding.

The BIA regional housing office then combines the TAPRs received in order to compile a Regional Work Plan that will be sent to Central Office in Washington, D.C. Central Office then uses a mathematical methodology and the Regional Work Plans to determine how much of the appropriated HIP funding will be allocated to each region. Once the BIA regional housing offices are informed by Central Office how much funding they will receive, the Regional Officer will refer back to his/her Regional Work Plans and work down the list until he/she has exhausted all of the allocated funding.

Funding notification letters will be sent to the Tribes and the Tribal servicing housing offices. Applications not funded can be carried forward for an additional three (3) years per 25 CFR 256.16.

2.3 a. Eligible Applicant – Project Not Selected

If an applicant is determined to be eligible, but his/her project is not selected due to a lack of funding, the Tribal servicing housing office will notify the applicant in writing, including how to update the application for the next program year. The applicant’s name will be placed on the Priority Ranking List and the Part I worksheet of the TAPR, and the Tribal servicing housing office will retain and consider the application for three (3) more years. The applicant must ensure that the information on their application remains accurate, and must provide an annual written update if any information changes. The applicant can update his/her information by mailing in a signed letter, sending it in via email, or by calling the Tribal servicing housing office.

2.3 b. Eligible Applicants – Project Selected

The Tribal servicing housing office will notify the applicant in writing of his/her selection, including any further instructions. At this point the applicant now becomes the “recipient,”

a Recipient Case File is created, and the contracting and construction process begins (see chapter 3 for more details).

2.4 Available Categories of Service

There are five (5) different categories of HIP services available to an applicant that meets the applicable eligibility requirements. These categories are: Category A - Minor Repairs; Category B - Major Repairs/Renovations; Category C1 - Replacement Home; Category C2 -New Housing; and Category D - Down Payment Assistance. These categories are further explained within this section. It should be noted that once an applicant receives category B, C, or D services, they are no longer eligible for HIP assistance ever again.

2.4 a. Category A Grant

The applicant must meet all of the eligibility requirements mentioned in 25 CFR 256.8.

A family qualifies for Category A interim housing assistance if the home in which they are living cannot be repaired to a standard condition (as defined in 25 CFR 256.2), meeting applicable building codes for a cost of \$60,000 or less and, if either of the following is true:

- Other resources to meet the family's housing needs exist but are not immediately available; or
- The family qualifies for replacement housing under Category C, but there are no HIP funds available.

Total cumulative cost shall not exceed \$7,500.00 for any one dwelling.

No Grant Agreement is required, but the HIP Notice of Project Completion form must be signed by the grantee and become a part of the recipient's case file.

Note that a house that has served as a Category A **may** later serve as a Category B or Category C.

2.4 b. Category B Grant

The applicant must meet all the eligibility requirements mentioned in 25 CFR 256.9.

Category B repairs, renovations, and/or additions must bring a structurally sound dwelling to a standard condition, meeting applicable building codes, for \$60,000.00 or less. The applicant must sign a Grant Agreement stating that if he/she sells the house within 10 years of the completion of repairs, then:

- The assistance grant under this part will be voided; and

- At the time of settlement, the applicant will repay the Tribe, Tribal organization, or BIA the full cost of all repairs made under this part.

After 10 years, a Satisfaction of Grant Agreement will be issued by the Tribal servicing housing office to remove the lien. A sample New Grant Agreement and Satisfaction of Grant Agreement are provided on the IA Online Forms webpage.

The dwelling must become “standard” (as defined in 25 CFR 256.2) upon completion of repairs. HIP funding may be used for the following:

1. Electrical, plumbing, heating systems (may include an alternate heating system)
2. Roofs and gutter systems
3. Weatherization
4. Items necessary to meet seismic requirements of region
5. Foundations
6. Porches and landings. Porches and landings will not exceed 25 square feet except as noted below:
 - a. For disabled access - porches and ramps must meet minimum codes as defined in the Uniform Federal Accessibility Standards.
 - b. In areas of severe weather conditions where a larger porch can be justified.
 - c. For existing porches, reasonable repair of porch surface and/or structural members is allowable.
7. Additions:
 - a. Must document need for an addition
 - b. When an addition involves a bedroom, the following criteria will apply:
 - Up to two (2) brothers or two sisters may share one bedroom of 100 square feet or larger.
 - Family composition will determine the number of bedrooms needed.
8. Exterior painting is allowable for the preservation of the home
9. Floor covering (must be documented with pictures that floor covering is a safety and/or health hazard to homeowner; or, the planned renovation will cause damage to existing floor covering).
10. The repair to exterior surfaces and the roof of a garage, if it is part of the home's integral structure, may be included with the HIP cost.

If a mobile home/manufactured house has exterior walls of less than three inches, the family must be considered for Category C services.

HIP funds will **not** be used to purchase the following items:

1. Appliances, including dishwashers, freezers, washers, dryers, and microwave ovens, except when they are included in the purchase of a mobile or manufactured home price.

Exception: The purchase of a refrigerator and range may be allowed when: (a) the renovation under this category includes a kitchen, and (b) if it can be established and documented that the applicant does not have the resources to purchase a refrigerator and a range on his/her own.

2. Furniture, bedding, and televisions.
3. Fences and clothes lines.
4. An alternate heating system is not allowed unless there is evidence that a secondary system is necessary to maintain a temperature of 70° during the winter months.
5. Driveways and roads, except when American Disabilities Act of 1990 (ADA) compliance is applicable.
6. Carports or unattached garages.
7. Separate roofs over mobile homes are not allowed. Roofs must be attached and be a part of the home's structural unit.

Another beneficial complementary housing program to increase program benefits is the Section 504 Loan and Grants program administered by the U.S. Department of Agriculture (USDA), Rural Development division. The Section 504 program is a Rural Repair and Rehabilitation Loan and Grant program that may enhance the HIP Category B. This is a very low income repair program which provides loans and grants to repair, improve, and modernize dwellings or to make the dwelling more safe and sanitary, or to remove health and safety hazards. The homeowner must be at least 62 years old. Grants are up to a maximum of \$7,500; if a loan is also necessary, then the maximum loan is \$20,000 up to 20 years at 1% interest.

2.4 c. Category C Grant

The applicant must meet all the eligibility requirements mentioned in 25 CFR 256.10.

A family qualifies for housing assistance under Category C if one of the following circumstances exist:

1. The family owns the house in which they are living and the house cannot be repaired to meet applicable building codes for a cost of \$60,000 or less;
2. The family holds an undivided lease on the house for not less than 25 years and the house cannot be repaired to meet applicable building codes for a cost of \$60,000 or less;
3. The family does not own a house, but owns land that is suitable for housing construction and has adequate ingress and egress rights; or,

4. The family does not own a house, but holds an undivided 25 year lease of land that has adequate ingress and egress rights, and the land is suitable for housing construction.

Homes will be built or delivered complete to meet applicable building codes. Plans must meet regional standards for weatherization and seismic codes. The applicant must sign a written Grant Agreement stating that if the house is sold within 10 years of assuming ownership, then the grant will be voided and at the time of settlement the full cost of the house will be repaid to the Tribe, Tribal organization, or BIA. If the house is sold after 10 years, the applicant may retain 10% of the grant received per year beginning in the 11th year up to the full 20 years; the remaining grant amount will be repaid back to the Tribe, Tribal organization, or BIA.

The 20 year Grant Agreement will be recorded against title upon completion of the home. After 20 years, a Satisfaction of Grant Agreement will be issued by the Tribal servicing housing office to remove the lien.

Total square footage of the home must be in accordance with 25 CFR 256.10 (d).

HIP funding may be used for the following:

1. Reasonable site preparation
2. Concrete parking pad for disabled access
3. Ramps and porches for disabled access
4. Smoke alarms and fire extinguishers
5. Woodstove chimneys (metal bestos) from ceiling to exterior of home
6. Removal of home. Note that the applicant must agree in writing that upon completion and acceptance of a new home, the original home will be demolished and removed.
7. Modest/standard appliances at Region's discretion
8. See other allowable items in Category B

HIP funds will **not** be used for the following items:

1. Garages and carports
2. Decks
3. Appliances, except for a refrigerator, stove, or oven (see Category B)
4. Window coverings
5. Landscaping (i.e., grass, shrubs). Note that final grading of a site is acceptable.

2.4 d. Category D Grant

The HIP Down Payment Assistance Program (HDPA) is a grant that may be used with Tribal housing programs and other participating lenders. HDPA grants are available to eligible HIP applicants who cannot afford the full cost of a loan.

Tribal members seeking down payment assistance have the responsibility to contact the various Tribal, federal, and/or state programs that offer the necessary literacy in homebuyer education and counseling.

Category D provides a “one time” grant for individuals or families that meet the program’s income requirements. The applicant must occupy the property as their primary residence.

HIP applicants with low to very low income seeking HDPA must complete the Housing Assistance Application and turn it into the local Tribal servicing housing office with supporting documentation for eligibility determination. All applicants must meet the basic eligibility criteria defined in 25 CFR 256.

The lender will determine the borrower’s creditworthiness and whether or not the borrower will qualify for mortgage financing. What level of financing is available and what financing options would be most suitable for the applicant is based on affordability.

If approved for financing, a letter of commitment from the lender must be provided to the Tribal servicing housing office to determine the grant amount available. The grant should not exceed 15% of the contract sales price (and can be reduced depending on need) with a maximum allowable amount of \$20,000, or whichever is less. In the case of Alaska, \$75,000, or whichever is less.

The USDA’s Rural Development Housing Section 502 Loan Program may be beneficial for HIP Category D applicants. The 502 Loan Program is used to help very low income households build, repair, renovate, purchase, and improve home sites, including providing water and sewage facilities. Interest is generally very low and can be modified even lower by a payment assistance subsidy as low as 1%. The applicant must still meet all the eligibility requirements in Part 256.6.

CHAPTER 3: ADMINISTRATION AND COMPLETION OF SELECTED HIP PROJECTS

As stated previously, once an eligible applicant's project is selected for funding, they become a "recipient." A recipient's project is then classified under one of the Categories of Service (described in 2.4), which determines how the project proceeds. A Recipient Case File must be created by the Tribal servicing housing office as the HIP process proceeds, and should include the additional items discussed below beginning with item #14. A Recipient Case File becomes the official file and must follow the applicable Indian Affairs Record Schedule.

The funding for the recipient's project is transferred to the recipient's Tribe, on their behalf, to be serviced by one of the following: the Tribal servicing housing office through a P.L. 93-638 contract; an Office of Self Governance (OSG) Tribal compact; or by direct services from the BIA office. The project will be completed using the Tribe's procurement process or using the Tribe's labor force for purchase and/or construction of the project.

3.1 Recipient Case File

The Recipient Case File must contain the following documentation at a minimum, fully completed and signed where applicable:

1. Checklist for HIP Applications (see Attachment 2 for a sample)
2. HIP Housing Assistance Application
3. HIP Authorization to Release Information form (see Attachment 3 for a sample; the Tribal servicing housing office may use their own version)
4. Proof of enrollment in a federally recognized American Indian Tribe or Alaska Native Village
5. Verification of prior year income (earned and unearned) and current 1040 tax return, including W-2 statements and all other attachments, filed with the Internal Revenue Service for all permanent members of the household.
6. Copies of annual IIM income statements for all permanent members of the household. If no account exists for any permanent household member, a statement to that effect from the individual's home BIA Agency must be included in the file.
7. Proof of ownership of the residence and/or the land, or the ability to obtain assignment or leasehold.
8. If a member of the household is awarded points for a disability, there must be proof.
9. Verification that the applicant has no other source for housing assistance, such as a denial letter from the local housing authority stating that the applicant is on their waiting list but has not been provided housing assistance.
10. Proof of veteran status to be awarded veteran points
11. Letter of Credit Approval for Category D, Down Payment Assistance points

12. Priority Calculation Form
13. Copies of Priority List Form and TAPR
14. Certification of Preliminary Site Evaluation form
15. Grant Agreement (signed twice, during application & upon project completion)
16. NEPA Categorical Exclusion Exception Review Checklist
17. IHS application and/or approval for water and sewer services installation
18. Project Scope of Work, Plans, Specifications (signed by applicant), and Cost Estimate
19. Approved Change Orders (if any) to original Scope of Work
20. Bid Solicitations, Bid Summary, Awarded Bid, and Construction Contract
21. Progress inspections, Final Inspection/Punch List, and a Certificate of Final Inspection
22. Letters or other documents pertaining to the project development and completion, including financial documents showing actual costs.

Additional guidance is provided below regarding certain case file requirements.

3.1 a. Preliminary Inspection (item #14)

A preliminary inspection of the home will involve a very thorough inspection of all systems of the house. This serves as the basis for the cost estimate needed to complete the TAPR *prior* to submission to the BIA regional housing office. Preliminary inspections may also include photographs of the site and/or areas to be repaired, including front, rear, and side elevations. The Certification of Preliminary Site Evaluation form should be completed for this purpose, and should be signed by the person conducting the inspection as well as by the applicant and at least one witness.

3.1 b. Grant Agreements (item #15)

Grant Agreements are required and may be pre-signed prior to the start of work on the project. Upon completion of the project, the original Grant Agreement will be completed and notarized, and will include the actual cost of the project before being sent to the appropriate office for recordation.

3.1 c. NEPA (item #16)

The Tribal servicing housing office must ensure that the NEPA Categorical Exclusion Exception Review Checklist is completed and signed by the responsible party for each project.

3.1 d. Coordinating with IHS (item #17)

All BIA representatives should assist with the coordination of HIP projects which require water and sewage facilities with the nearest IHS office to ensure that the sanitation facilities

for each project are constructed in a timely manner. The responsibilities of each agency are explained in the interdepartmental agreement on Indian Housing. The applicant is responsible for applying with IHS for installation of these water and sanitation services.

3.1 e. Scope of Work and Cost Estimate (item #18)

The Tribal servicing housing office will prepare a scope of work, drawings/specifications, and a cost estimate for the project. The Tribal servicing housing office will also provide a written notice and a copy of the scope of work to the grantee. The grantee will be asked to concur with the scheduled work by signing a copy of the notice and returning it to the servicing housing office. At this point, the Tribal servicing housing office can proceed with the project, once the applicable contracting mechanism has been awarded between the Tribe and IA. This includes soliciting bids, awarding a sub-contract, monitoring the sub-contract, performing progress inspections, and approving payments to the sub-contractor for the completion of the project.

3.1 f. Vacating the Dwelling

If it is necessary to vacate the dwelling while it is being repaired or replaced, the Tribal servicing housing office must notify the homeowner in written form. The homeowner must be notified that he/she is responsible for locating other lodging, paying all costs associated with vacating and living away from the dwelling, and removing all personal belongings and furnishings prior to the scheduled work start date. A copy of the letter must be included in the case file.

3.1 g. Completion of the Project (item #21)

At the completion of the project, the Tribal servicing housing office must notify the homeowner in writing of the project completion and of the scheduled final inspection of the work. The homeowner will be asked to be present at the final inspection. The homeowner will also be asked to verify that he/she has received the notice of completion by signing a copy of the notice, and returning it to the Tribal servicing housing office. A Certification of Final Inspection (see Attachment 4 for a sample) needs to be included in the file.

3.2 Reporting

On an annual basis, the Office of the Secretary of the Interior issues a Dear Tribal Leader Letter which formally provides the Tribes with information regarding the collection of the HIP data, funding distribution methodology, and the due date for submission of the TAPR to their respective BIA regional housing office.

In accordance with the Government Performance and Results Act (GPRA), Tribes are asked to provide reports of accomplishments on a quarterly basis to the BIA regional housing office on those HIP funds received the prior fiscal year. A sample HIP GPRA Report form is on the IA Online Forms webpage. Reports are due as follows; these are estimated dates only:

First Quarter (Oct. – Dec.)	January 4
Second Quarter (Jan. – March)	April 4
Third Quarter (April – June)	June 4
Fourth Quarter (July – Sept.)	October 4

A Narrative Report may also be required depending on the Tribe’s P.L. 93- 638 contract or compact requirements. This is provided as an accompaniment to further explain not only the accomplishments during the fiscal year, but the setbacks/challenges encountered as well.

The Tribal servicing housing office will also prepare an Annual Report of Accomplishments. The report template is one of the worksheets within the TAPR and is titled “Part II – Report of Accomplishments” (the Excel tab is labeled “Part II”) (see Attachment 1 for the TAPR worksheet example). This report identifies all recipient projects undertaken and completed during the current fiscal year (October 1 - September 30) regardless of when the funding was received. The report should contain:

1. Total amount of eligible applicants
2. Total amount of applicants that were provided with housing services
3. The names of applicants that received housing services
4. For each project:
 - a. Start date
 - b. Completion date
 - c. Total cost of the project
 - d. Category of service

**Attachment 1 – TAPR Example
PROFILE Worksheet**

**Housing Improvement Program
Tribal Annual Performance Report
Profile**

1 Region	WESTERN
2 Tribe / Consortia	Tohono O'odham
3 Agency	Papago Agency
4 Fiscal Year	2019
5 Name	Jane Doe
6 Title	Housing Executive Director
7 Phone #	928-258-8967
8 Fax #	928-258-8904
9 Email	jane.doe@tonation.org
I certify that all the information given is true, complete and correct to the best of my knowledge and belief, and they are made in good faith.	
10 Signature	<i>Jane Doe</i>
11 Date	7/23/2018 5:57

The Bureau of Indian Affairs Housing Improvement Program implements the Department of Health & Human Services (DHHS) Federal Poverty Income Guideline (FPIG) at 150%. Please see Federal Register Notice January 18, 2018, as these guidelines are used in conjunction with the FY2018 HIP Eligibility requirements.

Current 2018 DHHS FPIG levels are:

	100%	Additional Persons
Lower 48 & Contiguous States	\$ 12,140	\$4,320
Alaska	\$ 15,180	\$ 5,400

Attachment 1 – TAPR Example PRIORITY CALCULATION FORM Worksheet

HOUSING IMPROVEMENT PROGRAM

A	B	C	D	E	F	G	H	I	J	K	L	
1	See Instructions	PRIORITY CALCULATION FORM										
2	Region											
3	1	WESTERN										
4	Privacy Act Warning! Information on this sheet may pertain to the Privacy Act, all persons handling records must protect integrity, security and confidentiality!											
5	2	Tohono O'odham										
6	District, Agency, Member Tribe of Consortia											
7	3	Sells District			Fiscal Year		Date of Application					
8					2019							
9	Last Name of Applicant		First Name		Suffix		Enrollment #		Category:			
10	4	Sample	Tom						B			
11												
12	5	Household Income:		2		9,875				Pts		
13										15		
14	6	Aged Person:		8/2/1947						15		
15										10		
16	7	Disabled Individual:		Yes						0		
17										0		
18	8	Dependent Children:		Under age 18						0		
19										0		
20	9	Homeless/ Dilapidated		Dilapidated				Homeless		0		
21								Dilapidated		5		
22	10									0		
23										5		
24	11	Overcrowded								0		
25										5		
26	12	Veteran		Yes						0		
27										5		
28	13	Have you applied for the Veterans Home Loan Program.								0		
29										0		
30	14								Subtotal		50	
31											0	
32	15	DownPayment Assistance, must be provide a Certificate of Eligibility from Lender.									0	
33											0	
34	16	You are on the waiting list and have obtained a denial letter from the Local Housing Authority.							Yes		0	
35											0	
36	17	You have received prior Federal Housing Assistance from HIP, NAHASDA, 1937 ACT, USDA									0	
37											0	
38	18										50	
39											50	
40	19	HIP Eligibility requirements 25 CFR Part 256 effective after 12/10/15							Eligibility Status		50	
41											50	
42	20	If known, please provide an estimated start date to renovate or build new!										
43	21	If known, please provide an estimated cost to renovate or build new!										
44												
45	22	Date of Evaluation:		7/23/18		See instructions on printing						
46												
47	23	Name of Evaluator:		Jane Doe								
48												
49	24	Contact Number:		928-258-8967								
50												

Attachment 1 – TAPR Example PRIORITY RANKING LIST Worksheet

A	B	C	D	E	F	G	H	I	J	K	L	M	N	O	P	Q	R	S	T	U	V		
1																							
2		Regional Office:		WESTERN	Number of Tribes Submitting Workplans:					Number of Eligible Applicants:					1								
3		Fiscal Year:		2019	Number of Tribes In Region:					Number of Applications Considered:					1								
4																							
5	Privacy Act Warning! Information on this sheet may pertain to the Privacy Act, must protect integrity, security and confidentiality!																						
6		LAST NAME	FIRST NAME	Suffix	Tribe/District	Cat	Family size	Income 1040 Form	Income Pts	Aged	Disabled	Dependent Children	Homeless	Dilapidated	Overcrowded	Native Veteran	Veteran Loan	Down Payment	Denial Letter	Prior Assistance	Eligibility Status	Total Points	
7	1	Sample	Tom		Tohono O'odham	B	2	9,875	15	15	10	0	0	5	0	5	No	0	No	No	50	50	
8	2																						
9	3																						
10	4																						
11	5																						
12	6																						
13	7																						
14	8																						
15	9																						
16	10																						
17	11																						
18	12																						
19	13																						
20	14																						
21	15																						
22	16																						
23	17																						
24	18																						
25	19																						
26	20																						
27	21																						
28	22																						
29	23																						
30	24																						
31	25																						
32	26																						
33	27																						
34	28																						
35	29																						

**Attachment 1 – TAPR Example
PART I - TRIBAL WORK PLAN Worksheet**

PART I - TRIBAL WORK PLAN										Date:	07/23/18	
1	Work Plan for Fiscal Year:			2019			Name:	Jane Doe				
2	Name of Tribe / Consortium:			Tohono O'odham			Title:	Housing Executive Director				
3	Number of Eligible Applicants:			1			Phone:	928-258-8967				
4	Number of Applications Received:			1			Fax:	928-258-8904				
See instructions for printing form												
5. Name of Eligible Applicant (ranked in order of need)			6. Applicant's Servicing Tribe	7. Program Category (Enter One As Applicable)					8a. Estimated Start Date	8b. Estimated Project Costs 25 CFR 258.17(b)**	Eligibility Status	8c. Priority Ranking Points (ranked in order from highest to lowest)
Last	First	Suffix		(A)	(B)	(C-1)	(C-2)	(D)				
1	Sample	Tom	Sells District		B				Unknown	60,000	50	50
2												
3												
4												
5												
6												
7												
8												
9												
10												
11												
12												
13												
14												
15												
16												
17												
18												

**Attachment 1 – TAPR Example
PART II – REPORT OF ACCOMPLISHMENTS Worksheet**

PART II - REPORT OF ACCOMPLISHMENTS																
1	a. Number of Applicants Provided Service:		1		Name of Tribe / Consortium		Tohono O'odham									
	b. Number of Projects Completed within Fiscal Year:		1													
2	a. Amount of Total Administration Funds to Report:		1,250								REGION		WESTERN			
	b. Amount of Total Construction Funds to Report:		58,750								AGENCY		Papago Agency			
	c. Amount of Total HIP Funds to Report:		60,000		FISCAL YEAR		2019									
Type or Printed Name		Jane Doe		Title		Housing Executive Director										
Telephone		928-258-8967		Fax		928-258-8904										
3	Name of Applicant Provided Program Services		4. Applicant's Servicing Tribe			5. Program Category (Enter one, as applicable)					6. Construction Schedules		7. Construction Funds			
	Last	First				(A)	(B)	(C-1)	(C-2)	(D)	a. Date of Construction Start	b. Date of Construction Completion	a. Admin cost	b. Project cost	c. Sum of 7(a) & 7(b)	
1	Example	Dee	Tohono O'odham				B					2/25/2018	6/30/2018	1,250	58,750	60,000
2																
3																
4																
5																
6																
7																
8																
9																
10																
11																
12																
13																
14																
15																
16																
17																
18																
19																

Attachment 2 – Checklist for HIP Applications

CHECKLIST FOR HIP APPLICATION

Name: _____ Category: _____

Tribe: _____ FY: _____

HOUSING IMPROVEMENT PROGRAM (HIP) individual ELIGIBLE APPLICANTS ARE required to have the following documents on file with their application, per 25 CFR 256.13:

- 1. BIA form 6407, completed APPLICATION signed and dated by each applicant. _____
- 2. PRIVACY ACT STATEMENT form signed and dated by applicant. _____
- 3. Each applicant shall furnish (copy) documentation of the following:
 - a) Proof of Tribal Membership – examples of acceptable documentation; enrollment certificate, tribal membership card, and/or Certificate of Degree of Indian Blood (CDIB). _____
 - b) Proof of earned and unearned INCOME for all permanent members of the household – examples of documentation; current 1040 tax return, W-2's, Check Stubs, Social Security, retirement benefits, unemployment, general assistance, also any IIM account, royalty, lease and other recorded monies. _____
 - c) Provide proof of ownership of the residence and/or LAND. Fee patent provides executed Warranty Deed and tribally owned land a copy of executed tribal assignment. _____
 - d) Disability Claims, please provide a Doctor's statement or other documents verifying disability. _____
 - e) Proof of Veterans status, provide a copy of Veterans Card, Discharge papers, etc. _____
 - f) Denial Letter, please provide a denial letter from your Housing Authority, Bank Loan Institution or Credit Union showing you have been denied housing or loan. _____
 - g) HIP CERTIFICATION form signed and dated, attesting to the effect that the applicant has never received any HIP funds. _____
 - h) NEPA Clearance, please provide status of home site on C.E. or E.A. _____

Map showing HOME SITE location, provided by Servicing Office. _____

SCOPE OF WORK (SOW), DRAWING, COST ESTIMATE, provided by Servicing Office. _____

GRANT AGREEMENT form signed and dated by each applicant, before construction Proceedings begin and/or at the start of direct grant agreement. _____

Ensure the home is not in a FLOOD ZONE area. _____

Servicing Office is responsible for preparing and awarding project bids, progress inspections, Final inspection, photo documentation before and after construction, maintaining clients file, Punch list items, construction costs, any change orders and grant close out. _____

REVIEWED BY: _____ DATE: _____

BY: _____ DATE: _____

REASON: _____

Attachment 3 – HIP Authorization to Release Information

AUTHORIZATION TO RELEASE INFORMATION

To Whom It May Concern:

I/We hereby authorize you to release to _____
for verification purposes, any and all information concerning the following:

Employment history dates, title, income, hours worked, etc.

Banking, savings, and IIM accounts of record.

General Assistance income.

Any other information requested as deemed necessary to verify our application.

This information is for the CONFIDENTIAL use of _____,
in
evaluating your application for Housing Improvement Program (HIP) financial assistance.

A photographic or carbon copy of this authorization (being a photographic or carbon copy of the signature (s) of the undersigned) may be deemed to be equivalent of the original and may be used as a duplicate original.

FULL NAME: _____ PARENT/GUARDIAN _____
(SIGNATURE) (IF REQUIRED - SIGNATURE)

FULL NAME: _____ SOCIAL SECURITY NUMBER: _____

ADDRESS: _____ PHONE NUMBER: _____

SUBSCRIBED AND SWORN TO ME, THE UNDERSIGNED NOTARY PUBLIC

THIS _____ DAY OF _____, 20 ____.

NOTARY PUBLIC

MY COMMISSION EXPIRES: _____

Attachment 4 – Certification of Final Inspection



United States Department of the Interior
Bureau of Indian Affairs
[Insert] Region
[Insert address]
[Insert city, state and zipcode]

In Reply Refer To:
Housing-
T:
F:

CERTIFICATION OF FINAL INSPECTION

I hereby certify that I have evaluated the ___ bedroom home (renovated/construction) for _____ of the _____ Tribe and find the house to have passed all final inspections, including exterior structures, interior wall finish, electrical wiring and entry panel, interior plumbing, heating stove, floor covering, kitchen cabinets, paint and trim finish.

ADDITIONAL COMMENTS:

Signed: _____ Date: _____
Inspector

I, _____, do hereby acknowledge that the above evaluation has taken place and concur with its findings.

Signed: _____
Owner

I have been informed of the BIA policy which states that the recipient of a HIP funding assistance grant must return the entire amount of the HIP grant if he or she sells the house for profit: Category A (no restriction), Category B (ten years), Category C (1st ten years and prorated thereafter up to 20 years), after accepting the house from the BIA and I agree to the terms and conditions set forth in the HIP Regulations, 25 CFR 256.9, .10 and .11.

Signed: _____ Date: _____
Owner

Signed: _____ Date: _____
Witness