



Office of Native American Programs

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TO: All Tribal Government Leaders and Tribally Designated Housing Entities

FROM: Jacqueline Johnson, Deputy Assistant Secretary, 8APIN

TOPIC: Indian Housing Plan

SUBJECT: Goals, Objectives and Performance Objectives in the One-Year Plan Section of the Indian Housing Plan

PURPOSE: This guidance provides direction and clarification on goals, objectives and performance objectives in the one-year plan section of the Indian Housing Plan (IHP).

1. What is a goal in the one-year section of the IHP?

A goal is a measure that is used to guide and motivate an organization toward achieving its mission. Goals provide direction for developing objectives and actions. A goal in the one-year plan section of the IHP is a statement of what the tribe/TDHE plans to accomplish with its annual grant allocation and any other funds identified in Table 2 - Financial Resources in the IHP.

To be effective, a goal should be complementary to an organization's mission statement. Goals should be set for each critical issue or problem and for each area for which funds have been budgeted in Part II of Table 2.

The goals in the one-year section of the IHP should relate back to the goals and objectives listed in the five-year plan section of the IHP, and in no case should the goals in the one-year plan fall outside of the scope of the five-year program design.

If a Tribe's/TDHE's mission is relatively broad and it plans to undertake many different types of programs, the IHP will contain many different goals. Conversely, if the mission statement is relatively simple, or the tribe/TDHE will only undertake one or two programs, there may be relatively few goals.

2. What is an objective in the one-year plan section of the IHP?

An objective in the one-year plan section of the IHP is a description of the methods for achieving a goal. In other words, objectives are action steps taken to achieve a goal. Objectives are tied to specific goals and in most cases, at least one objective will be listed for each goal. As with the goals in the one-year plan, objectives track the funds and are not limited to any specific time period.

3. What is a program year and what is a Federal Fiscal Year?

A program year is the tribe's/TDHE's 12-month cycle of operation. In most cases, the tribal/TDHE program year is synonymous with its fiscal year. A tribe/TDHE selects its own program year based on local circumstances and need.

A Federal Fiscal Year (FFY) is the Federal government's 12-month operating cycle. The

FFY begins October 1 and ends September 30. The formula allocation for Indian Housing Block Grant (IHBG) funds is calculated each FFY. An eligible tribe/TDHE may receive an annual IHBG grant each year. The IHBG grant number reflects the FFY for which the funds were appropriated.

4. Do the goals and objectives in the one-year plan section of the IHP describe only what will be done over the next year or do they describe what will be done with one year's grant allocation regardless of the period of time it takes to spend the funds?

A goal in the one-year plan section of the IHP (a "one-year goal") is a statement of what the tribe/TDHE wants to accomplish with its annual grant allocation. The "one year" in a one-year goal refers to one year's allocation of funds and not how long it may take to achieve a goal or expend funds. A goal in the one-year plan section of the IHP is tied to and follows the funding that is awarded during the tribe's/TDHE's program year. These funds include the entire annual IHBG grant amount as well as any other resources identified in the Financial Resources Table (IHP Table 2). The period of time it takes to actually expend the funds and accomplish the goal may be more or less than one year.

For example, the 1999 IHBG formula allocation for the XYZ tribe is \$500,000. The tribe's one-year goals describe what will be accomplished with the entire \$500,000. Some of the goals may be accomplished during the current year, others may take a longer or shorter period of time.

Objectives are related to specific goals and are often expressed as action steps toward reaching a goal. Objectives may cover a period of time that is more or less than a year.

5. Will a new set of goals and objectives be developed to describe what will be done with each year's grant funds?

Yes. Each year a tribe/TDHE prepares a new one-year plan in order to receive an IHBG. In each one-year plan the tribe/TDHE describes (through the goals and objectives) how the funds received for that particular year will be used to fulfill the tribe's/TDHE's mission. In cases where funds are used for multi-year projects, such as a large housing development, goals may overlap from year to year.

6. Must goals and objectives in the one-year plan be measurable?

Yes. The goals in the one-year plan must be measurable and allow the tribe/TDHE and ONAP to assess progress made toward achieving the goals and objectives. Progress on goals and objectives is reported in the Annual Performance Report.

7. What is a performance objective in the one-year plan section of the IHP?

Performance objectives describe (in a quantitative, measurable way) what the tribe/TDHE plans to accomplish during its one-year program year. 24 CFR § 1000.504 states that performance objectives are criteria by which the recipient (tribe/TDHE) will monitor and evaluate its performance. Performance objectives describe what will be accomplished during the 12-month tribal/TDHE program year regardless of which years grant funds are used.

Performance objectives differ from the goals and objectives in the one-year plan in that they track a specific one-year time period (the tribal/TDHE program year) and they are not tied to a specific grant. Goals and objectives in the one-year plan track one year's worth of

funds regardless of the time period it takes to expend the funds. For example, the XYZ tribe's program year begins January 1 and ends December 31. The tribe's performance objectives will describe what will be accomplished between January 1 and December 31 with the funds received during the current year, and with funds from past years if those funds will be expended during the current program year. In other words, the performance objectives in the XYZ tribe's 1999 IHP will describe what will be accomplished from January 1, 1999 to December 31, 1999 with its 1999 grant funds as well as remaining from its 1998 grant.

A sample goal with four accompanying objectives, as well as three performance objectives are provided below. The goal, objectives and performance objectives would be contained in the one-year plan section of the IHP. (note: the examples below have been simplified and are for illustration purposes only. Actual goals, objectives, and performance objectives may contain more specific/detailed information.)

For FFY 1999, a tribe receives a \$200,000 IHBG grant. No other resources are reported as being available to the tribe. The tribe's program year is January to December. The tribe lists the following in its 1999 one-year IHP:

Goal 1: Reduce overcrowded conditions in the Indian area by constructing two duplexes. The duplexes will be completed within 18 months (by June 2000) and will be used in the tribal rental program.

The goal above:

- Describes what the tribe will do with its 1999 funding,
- Is measurable and indicates that the project will take 18 months to complete, and
- Is consistent with the tribe's mission statement and five-year goals.

Objective 1.1: Acquire suitable site for duplexes by April 1999.

Objective 1.2: Complete architecture and engineering work by July 1999.

Objective 1.3: Finish site preparation including infrastructure and begin construction by Jan. 2000.

Objective 1.4: Finish construction and select four qualified families by June 2000.

The objectives above:

- Describe actions or events that will take place,
- Follow (track) the goal,
- Are steps in the process of achieving the overall goal,
- Will be accomplished this year as well as next year, and
- Are measurable and provide time-frames.

Performance Objectives for 1999 tribal program year:

Performance Objective 1: Acquire a suitable site for two duplexes by April 1999.

Performance Objective 2: Complete architecture and engineering work for two duplexes by July 1999.

The performance objectives above:

- Describe what the tribe will accomplish during its 1999 program year and
- Are quantitative and measurable

The performance objectives for the tribe's next IHP (2000) will include the work that remained to be completed from the duplexes project, i.e., completing site preparation including infrastructure and begin construction by January 2000, and completing construction and select four qualified families by June 2000. The 2000 IHP performance objectives will also include any other objectives that the tribe plans to complete during its 2000 program year with funds it receives from its 2000 grant.