

**2021**

Table of Contents

I. Purpose .....2

II. Pre-Visit Preparation .....2

III. Onsite Review .....4

    A. Policies and Procedures/Records Management .....4

    B. Board/Tribal Council Actions .....5

    C. Conflict of Interest .....7

    D. Complaints and Grievances .....8

    E. IHP Certification .....8

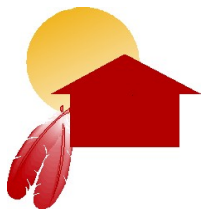
    F. Insurance .....9

    G. Administrative Climate .....11

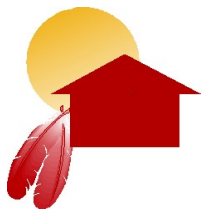
    H. Record Retention.....11

    I. Indian and Tribal Preference in Employment and Hiring.....12

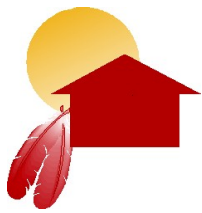
IV. Summary .....13



<b>RECIPIENT NAME:</b>	<u>Regulatory/ Statutory Citation</u>	<u>Other Tools</u>	<u>WP. Pg.</u>	<u>Remarks</u>
<b>I. Purpose</b>				-
<p>The purpose of this portion of the review is to assess the day-to-day operation of the overall organization, structure, and administration of the recipient. The review is intended to determine the recipient's implementation of key areas of authority, appropriate lines of reporting, and adequate controls to ensure assets are safeguarded.</p>	<p>NAHASDA, Sections 403(c) and 405(b)(1)(ii)</p> <p>2 CFR Part 200 24 CFR 1000.26 24 CFR 1000.524 and .526 24 CFR Part 1003 (ICDBG)</p>	<p>ICDBG, ROSS, and RHED/RIF NOFAs for the year grant was funded.</p> <p>See Other Programs Monitoring Plan for web links to ICDBG, ROSS, and RHED/RIF NOFAs.</p>		<p>See Other Programs Monitoring Plan for web links to ICDBG, ROSS, and RHED/RIF NOFAs.</p> <p>Read &amp; Noted</p>
<b>II. Pre-Visit Preparation</b>				-
<p>A. If available, review the following documents as they pertain to organization and structure:</p> <ol style="list-style-type: none"> <li>1. Most recent IHP, approved IHP amendments, IHP amendments in process</li> <li>2. Policies and procedures (see section III for review instructions)</li> <li>3. Previous monitoring findings</li> <li>4. Previous self-monitoring report(s)</li> <li>5. Previous 2 CFR Part 200 audit and OIG audits findings and/or work papers</li> </ol>		<p>HUD-52737 (also known as the EPIC IHP/APR form)</p>		<p>Read &amp; Noted</p>

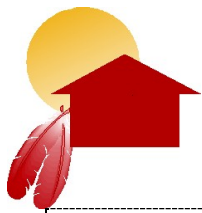


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6. Corrective actions status for findings 7. Previous and current enforcement actions 8. Valid complaints 9. Relevant correspondence				
B. Review the sampling methods in the General Instructions for Monitoring Plans.	24 CFR 1000.503 and .526			Read & Noted
C. Indian Preference in Employment/Hiring  NOTE: Indian preference is also covered in procurement. For this review, the focus should be on Indian preference in overall employment/hiring.	24 CFR 1000.48, .50 and .52			Read & Noted
1. Identify whether prior monitoring reports addressed noncompliance with Indian preference requirements.				No non-compliance noted in last review done in 2007.
a. If a monitoring finding remained unresolved, the on-going noncompliance is a repeat finding.				N/A
b. If the audit finding remained unresolved, the on-going noncompliance is a repeat finding.				N/A

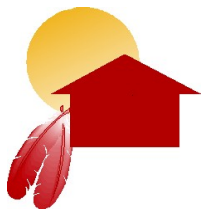


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2. Review and discuss with Grants Management any Indian preference complaints received by the recipient.	24 CFR 1000.54 24 CFR 1003.510 (e)	See Attached confirmation from HR Director		No complaints in 2021.

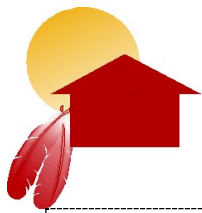
<b>III. Onsite Review</b>				
<b>A. Policies and Procedures/Records Management</b>				
1. Has the Board/Tribal Council adopted the required policies; i.e., rent and homebuyer policy; eligibility, admission, and occupancy; management and maintenance, tenant and homebuyer selection, relocation and real property acquisition; drug free workplace, Indian preference, Section 3?	NAHASDA Sec. 102(b)(2)(d) 2 CFR 200.318(a)(c) 2 CFR 200.474.(d) 24 CFR 1000.14 24 CFR 1000.26 24 CFR 1000.42 24 CFR 1000.46 24 CFR 1000.158 24 CFR 1003.510	PG 2002-11		Yes, most policies are current and in place, but edits and revisions are always ongoing to ensure they meet our program needs and reflect our program operations accurately. A major update to our Tribally Owned Rental Housing Policy is currently underway and will be completed before our 34th Street development accepts tenants. The program will be working on creating an Acquisition Policy in 2022 to capture all HUD regulations for purchase, environmental reviews, and feasibility for all property acquisitions intended for housing.
2. Do meeting minutes confirm that the Board/Tribal Council is following its policies?				Yes, all changes in policies are done by Tribal Council as a Resolution. Tribal Council will also call upon the Housing Committee as needed for input on changes.
3. Do the minutes confirm that staff is following its policies?				Minutes reflect the review of the monthly housing report detailing program activities, and monthly expenditures are reported by the CFO. Minutes reflect no compliance issues in 2021.



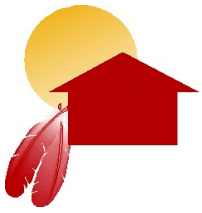
4. Do the minutes reveal any instances where tribal officials have interfered with the Board/Tribal Council and/or staff in enforcing its policies?				No
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RECIPIENT NAME:	<u>Regulatory/ Statutory Citation</u>	<u>Other Tools</u>	<u>WP. Pg.</u>	<u>Remarks</u>
<b>B. Board/Tribal Council Actions</b>				
1. Does the Board/Tribal Council provide guidance and direction to management?				Although Tribal Council typically just offers policy oversight and strategic planning, they will also act as a final level of control through the check signing process. This was evident in 2021. Executive Management and program staff reviewed and approved the purchase of an RV as housing solution for WYFF client; However, a Tribal Council member chose not to sign the check for purchase until further verification and support was shared with Tribal Council that all other housing solutions were explored for this client and the purchase was the last remaining one available. TC asked for additional assurances and evidence as to the purchase being allowable prior to check approval.
2. If applicable, does the governing body review and evaluate the performance of the Director and their grant administration activities?	24 CFR 1000.502			No, HR, HHS Director, and the COO are involved in that process.
3. Does the Board/Tribal Council adhere to all laws, regulations, and policies?  NOTE: For state recognized tribes, examine the requirements of state law as well.				Yes

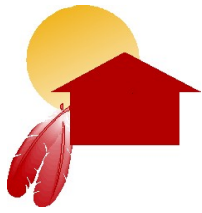


a. Review meeting minutes for evidence of noncompliance with federal requirements and recipient policies.				None Noted
b. Interview staff and program participants for opinions on compliance.				Samish has an Appeals Board in place to address any complaints or concerns related to compliance with policy for participants. Program operational compliance is reviewed through establish internal controls in the program and accounting functions for daily activity and is also reviewed formally during the annual self-monitoring process.  Program has confirmed there are no areas of concern this year surrounding compliance or compliance issues of concern in 2021.
c. Review policies for compliance with federal requirements.				Reviewed and found compliant.

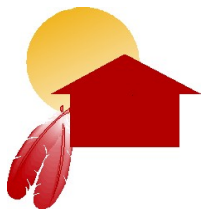


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<p>4. Have Board/Tribal Council members placed their relatives in housing ahead of others on the waiting list? (Note: this should also be cited in the Occupancy Monitoring Plan.)</p> <p>NOTE: This issue is addressed in Admissions and Occupancy (A&amp;O). If A&amp;O is not reviewed, then the issue should be addressed during the Organization and Structure review.</p>	<p>24 CFR 1000.30 24 CFR 1000.32 24 CFR 1000.34</p>			<p>There is a waitlist in 2021, and no relatives of Tribal Council were placed into the Housing programs in 2021.</p>
<p>5. Does the Board/Tribal Council allow the recipient to operate without undue interference?</p>	<p>2 CFR 200.303</p>			<p>Yes</p>
<p>a. Does the Board/Tribal Council interfere with the day-to-day operations of the recipient?</p>				<p>No</p>
<p>b. Does the Board/Tribal Council override internal or financial controls put in place for the recipient's staff?</p>				<p>No</p>
<p>6. Does the Board/Tribal Council convey the message that integrity and ethical values are not compromised?</p>				<p>Yes</p>

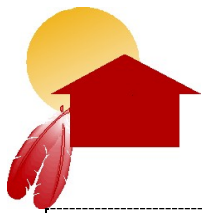




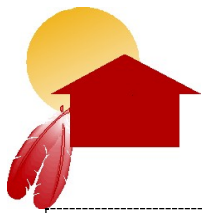
<b>RECIPIENT NAME:</b>	<u>Regulatory/ Statutory Citation</u>	<u>Other Tools</u>	<u>WP. Pg.</u>	<u>Remarks</u>
7. Are Board/Tribal Council minutes transcribed and stored to preserve a history of Board/Tribal Council actions?				Yes, and the program has access to those minutes online and in the H-drive at Council/Monthly Meeting/Minutes.
8. Are Board/Tribal Council meetings held in accordance with the terms of the bylaws?				Yes
9. Are financial reports reviewed as part of each regular monthly Board/Tribal Council meeting?				Yes, the CFO presents financial data monthly.
10. Do Board/Tribal Council members receive a stipend to attend meetings?				Yes, but not paid using program funds - only paid using discretionary TYEE funds.
(a) If so, is the stipend reasonable in accordance with local practice and ONAP Program Guidance?	2 CFR 200.404	Program Guidance 98-13t		N/A
<b>C. Conflict of Interest</b>				-
1. Is there a written Code of Conduct or Conflict of Interest statement or policy?	2 CFR 200.318(c) and (k) 24 CFR 1000.30, 32, .34 and 36 24 CFR 1003.606	PG 2002-13 (R)  <i>See Attached</i>		Yes: Personnel Policy 5-04-001 Conduct Policy Finance: 4-90-010(5) Code of Conduct Housing 13.300
2. Has the statement or policy been adopted by the Board/Tribal Council?		<i>See Attached</i>		Yes, by Resolution – 2021-02-015
3. Does the Board/Tribal Council follow the policy?				Yes, the policy is Nationwide.



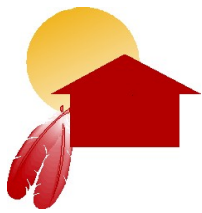
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<p><b>D. Complaints and Grievances</b></p> <p>NOTE. This section applies only to complaints and grievances by staff and board members.</p>				Read & Noted
<p>1. Is there a written policy or procedure to cover the management of complaints and grievance resolution?</p>	<p>24 CFR 200.318(c) 24 CFR 1000.54</p>	<p>PG 2001-06</p>		<p>Personnel Policy: 5-14-001 through 003</p> <p>For staff and Council: Section 5-14-001 &amp; 002 outline informal resolution within 3 days as initial response. Section 5-14-003(a-b) requires formal grievances be submitted within 10 days in writing to the HR Director who will then respond with a solution within 10 days; © offers additional resolution by for missing those deadlines (d) allows for further appeal to the COO within 5 days, who then has 30 days to respond (e). Finally, if that resolution still is inadequate, then final appeal can be made to the Appeals Board under the Appeals Board Ordinance.</p> <p>For Clients, section 13.207 in the Housing Program Policy addresses complaints and grievances and clients are given a form to complete to verify they are aware of that process. That appeal goes directly to the Appeals Board.</p>



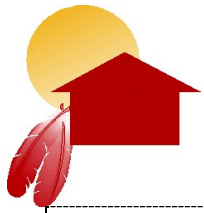
<p>2. Does the recipient have a method to track grievances to ensure that they are resolved?</p>			<p>Yes, HR has a tracking system in place and oversees complaints or grievances for staff and board.</p> <p>Clients' complaints/grievances are formally processed through the Appeals Board and an informal system is in place currently within department that issues a corrective action for procedures and needed policy updates; However, program has a draft in review for a more formal outline for corrective actions and policy updates. Additionally, the program is considering a staged appeal process that has internal administrative steps to the Housing Director, and then HHS Director prior to the Appeals Board.</p> <p>Program has drafted a written procedure for the interpretation and application of criminal history results. This procedure will aim to classify by type of charge, degree of charge and time since charge to create a uniform application for the program of reasonableness under the policy for participation in TBRA. This update is in process of final reviews prior to submission to Tribal Council. The inclusion of this new procedure will be to create a list that will be provided to clients and signed with their intake application. This process should help eliminate any individual interpretation by the department and move the burden of individual interpretation to the Appeal Board on a case by case basis.</p>
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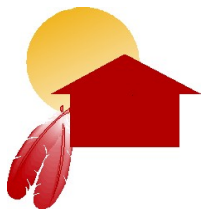
3.	Is there a provision for an impartial hearing panel or alternate dispute resolution?			Yes, the Appeals Board under the Appeals Board Ordinance.
4.	Are complaints and grievances resolved promptly, with fair and reputable action by the recipient?			Yes, process is within 30 days under Appeals Board currently.
<b>E. IHP Certification</b>				-
1.	Has the Board/Tribal Council executed the certificate of compliance in the IHP?		HUD-52737 (Section 9) <i>See Attached</i>	Yes, by Resolution #2020-10-001 for 2021.
2.	Does documentation confirm that the recipient is in compliance with its certification?		<i>See IHP as attached</i>	Yes, Certifications are in the final IHP in EPIC on page 6 of 7.



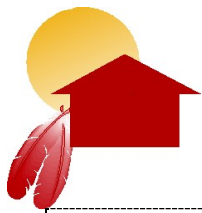
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a. Did the recipient comply with title II of the Civil Rights Act of 1968 in carrying out this Act, to the extent that such title is applicable, and other applicable federal statutes?				Yes.
b. If applicable, are there households within the recipient’s jurisdiction at or below 80 percent of median income?				Yes, all current program participants are at or under 80% of median income. Seven program participants became over-income in 2021 and were discharged from the program, three of which were home purchases!  See “Rental Assistance Code 2021” in program files.
<b>F. Insurance</b>  NOTE: Most of this section is covered in Fiscal and Financial Management – Appendix 8 Insurance. If no Fiscal and Financial Management review, then review questions 1-7 below.				Read & Noted  N/A in 2021 as we do not have our own housing stock to insure.
1. Obtain a copy of the latest insurance policy(s) and proof of payment(s).		PG 2014-03 (R)		N/A in 2021 for housing stock



2. Does the recipient provide proof of insurance to indemnify from loss against fire, weather, and liability claims for all IHBG-assisted housing units owned or operated by the recipient?	NAHASDA Section 203(c) 24 CFR 1000.136 24 CFR 1003.202			N/A in 2021 for housing stock
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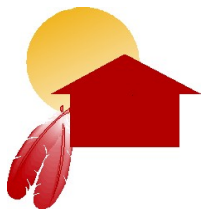


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3. Has the recipient produced a copy of the certification of insurance, including an inventory of the structures and buildings insured?	24 CFR 1000.136 24 CFR 1000.138 24 CFR 1000.38 24 CFR 1003.202	<i>See Attached</i>		Yes
4. Are the vehicles and other equipment properly insured?		<i>See Attached</i>		Yes, the program specific vehicles are insured under the Tribe's policies and fleet procedures which are managed by HR and Planning Dept.
5. Does the recipient effectively maintain an insurance file that includes a history of claims and other pertinent information?				Yes, it is managed by HR.
6. Obtain a copy (or verify existence) of a list of insured housing to document that all units are covered. <i>Note: If this is not included in the policy, access the insurance company's website.</i>				N/A in 2021
(a). Are all NAHASDA-assisted units covered by the insurance policy?	24 CFR § 1000.136			N/A in 2021
7. If the recipient has done extensive rehab on private homes, then verify that there is adequate insurance coverage for these units.				N/A in 2021

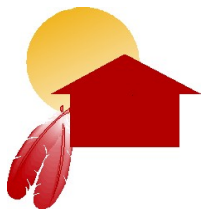


(a). Verify insurance coverage by reviewing the listing of units in the policy or by accessing the insurance company's website.				N/A in 2021
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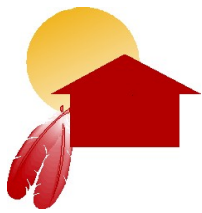




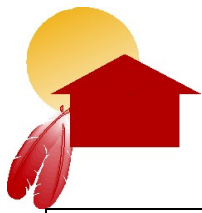
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<b>G. Administrative Climate</b>				-
1. Is there evidence of frequent staff turnover among key positions?				Not in 2021
2. Is there frequent staff turnover in finance?				No in 2021
3. Is there frequent staff turnover in maintenance?				None in 2021; no HUD specific maintenance staff to date in 2021.
4. Is there a lack of seniority among staff?				No
5. Is there an accurate organization chart available on site?		<i>See Attached</i>		Yes, it is available on the Samish Intranet site, under HR.
6. Is there an emphasis on training and educational opportunities for staff and Board/Tribal Council members?				Yes, since Covid-19 it has been online only.
7. Are the appropriate staff and Board/Tribal Council members attending training?				Yes
8. Is the training adequate?				Yes, and it is free.
<b>H. Record Retention</b>				-
1. Are records maintained for 3 years from the end of the program year during which the funds were expended (NAHASDA)?		<i>See Attached</i>		Yes, we have a retention policy in place at Samish that is followed. The current Records Retention was updated this year and does provide for that 3-year requirement at minimum.



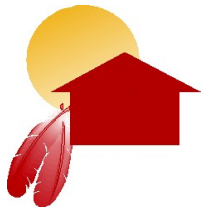
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2. Does the recipient have an effective file management and records retention system?				Yes.
<b>I. Indian and Tribal Preference in Employment and Hiring</b>				-
<p>Section 101 (k) of NAHASDA allows a tribe to adopt tribal preference in employment and contracting. The tribal employment and contract preference laws (including regulations and tribal ordinances) must be adopted by the Indian tribe that receives the preference.</p> <p>NOTE: Indian and tribal preference requirements should be referenced in both the procurement policy and personnel policy.</p>		<i>See Attached</i>		<p>Read &amp; Noted</p> <p>Finance: 4-90-020 (7) ; 4-90-060(4)</p> <p>Personnel: 5-03-002 and 5-03-003</p>
<p>A. Review the recipient’s policies to determine if they are compliant with the requirements.</p> <p>NOTE: If procurement will be reviewed, then focus on personnel policy procedures for addressing personnel and hiring complaints. If no procurement review, then look at both procurement and personnel policies.</p>				Reviewed and found compliant
<p>B. If complaints regarding Indian or tribal preference were filed, determine if the procedures for addressing the complaints are consistent with program requirements.</p>		<i>See attached confirmation from HR Director</i>		No complaints in 2021



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NOTE: If procurement will be reviewed, then focus on procedures for addressing personnel and hiring complaints. If no procurement review, then look at procedures to address contractor complaints as well.				Read & Noted
C. Determine if the recipient complies with the Indian preference requirements in employment and hiring.				Read & Noted
1. Interview staff and review files to determine if the recipient has provided hiring preference and training opportunities to Indians and Alaska Natives.		<i>See attached confirmation from HR Director</i>		Yes, we hired 8 and promoted 6 Natives in 2021
a. If problems are noted in the staff interview process, research the records to determine if a violation exists.				N/A in 2021
<b>IV. Summary</b>				-
A. Summarize the results of the review in a work paper. B. Discuss significant issues with Supervisor. C. Develop findings, including questioned costs and corrective actions, as appropriate. D. Develop concerns because they could lead to a violation E. Develop report language, including any findings and concerns.				Program in compliance and no areas of weakness found.  Improvements in draft and pending approvals:  - Added clarification to Inspection clause in policy by separating pre-occupancy and annual inspections and adding procedures for each.



			<ul style="list-style-type: none"><li>- Added clause to require verifiable income and sufficient income be maintained for program participation</li><li>- Added a 30-day notice period for termination</li><li>- Added that program will establish TBRA income annually unless a change over 20% occurs, at which point the client must notify staff.</li><li>- Added a general clause requiring ethical behavior of program participants</li><li>- Adding a new policy clause and procedure for interpreting criminal background check results using matrix for evaluations that can better meet the need of our community while also eliminating the need for program staff to make case by interpretations.</li></ul>
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F. If there are any major issues identified in this review and the recipient has approval to invest, determine if a withdrawal of investment authority should be recommended.				
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<b>Reviewer Name:</b>	Jenna Burnett, with Tiffany Ross, interviewed Sharon Paskewitz
<b>Review Date(s):</b>	11/30/2021

Jenna Burnett:

Tiffany Ross:

Sharon Paskewitz:

Reviewed and Approved by Carey Thurston, CFO: