Overview:

In an effort to gather uniform accomplishment data from all SHOP recipients, HUD is providing an Excel-formatted reporting system for **quarterly and annual reporting**. All national and regional SHOP-funded organizations and consortia (herein referred to as “grantee” or “grantees,” including the lead entity for a consortium) must report financial data on the use of funds and accomplishment data on the status of the SHOP-assisted properties. These data include the construction status, unit characteristics, unit averages, and the income range and racial and ethnic composition of homebuyers.. Detailed financial information on administration, land acquisition, and infrastructure costs must also be reported.. On an annual basis, grantees must report on the year-end accomplishments of each of its individual consortium members/affiliates.

HUD ***strongly*** encourages grantees to use the forms –as appropriate[1] – for all active grants. A separate report must be submitted for each SHOP grant award.

For ease in collecting accomplishment data, electronic copies of the SHOP reports noted in Section A below have been sent to each SHOP grantee. Grantees must save this master file for use until all SHOP-assisted properties have been constructed and conveyed to eligible homebuyers. Generally, all properties should be completed within one year from the date all funds are drawn down. The completed grantee quarterly and annual reports must be returned to HUD via e-mail to louise.d.thompson@hud.gov.

To assist grantees, two consortium member/affiliate data collection reports have also been created that replicate the grantee report. They should assist grantees in collecting the necessary SHOP accomplishment data from consortium members and affiliates for preparation of the quarterly report to HUD.

The attached instructions are separated into three categories:

A--SHOP Reports;
B—Data Collection Instructions; and
C—Spreadsheet Guidance and Printing Instructions.

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While these data collection mechanisms were not be in place to gather information on projects developed with SHOP funds prior to the Fiscal Year 2002 SHOP awards, certain basic information such as project costs, construction status, and various unit characteristics should be available for properties funded from prior years’ grants. National and regional SHOP organizations and consortia may use the quarterly and annual reports to account for SHOP accomplishments for those prior years’ grants.

Although general guidance is provided with the spreadsheets (see Section C—Red Flags), grantees are responsible for fully meeting the reporting and data element requirements noted in Sections A and B of these printed instructions.

A. SHOP Reports:

Required reports to be submitted by Grantee to HUD.

- SHOP 1—SHOP Grantee Quarterly Report on Program Activity to HUD (HUD-40215).
- SHOP 2—SHOP Grantee's Annual Report on Consortium Members'/Affiliates' Program Activity to HUD (HUD-40216).

Reports for use by Grantee.

- SHOP 3—SHOP Grantee's Quarterly Summary Report on Consortium Members'/Affiliates' Program Activity (HUD-40217).
- SHOP 4—SHOP Consortium Member/Affiliate Quarterly Report on Program Activity to Grantee (HUD-40218).

Grantees are required to submit only two reports to HUD. These reports are a quarterly (SHOP 1) and an annual report (SHOP 2). HUD is also providing two additional reports that grantees may use for collecting data from consortium members and affiliates. The following instructions provide guidance for grantees, as well as their consortium members and affiliates, for reporting on SHOP-funded activities.

1. Workbook and transmittal guidance

This reporting system is divided into four individual Excel workbooks and this single set of instructions for the quarterly and annual reporting. Each workbook is specific to either the grantee or its consortium members/affiliates.

Each workbook has two spreadsheets for reporting data on SHOP program performance and the racial/ethnic composition of program beneficiaries. The workbooks and transmittal instructions are

SHOP 1—SHOP Grantee Quarterly Report on Program Activity to HUD. This report captures the grantee's current quarterly SHOP activities and cumulative for the grantee's SHOP program. This is a three-column report. Grantees will receive data from individual consortium members/affiliates that the grantee consolidates and enters into this workbook. The "Cumulative to Date" column does not automatically calculate data from the "Current Quarter" column. Grantees must enter data manually into each column. Grantees will transmit this report to HUD at the end of each quarter. See Section B.I, Reporting Period, for reporting due dates.

SHOP 2—SHOP Grantee's Annual Report on Consortium Members'/Affiliates' Program Activity to HUD. This report captures the identity and geographic location of all consortium members and affiliates that received SHOP funds and reports progress on their SHOP activities annually. Grantees must submit this report to HUD no later than 30 days past the anniversary date of when SHOP funds were made available to them through HUD's Line of Credit Control System (LOCCS). NOTE: This annual report must include an attachment that provides the name of the consortium member or affiliate, contact person, address, telephone and e-mail address. This workbook is setup with 100 columns. Grantees should modify their reports to reflect only the number of consortium members and affiliates that they fund. Grantees should refer to Section C of these instructions for adding or deleting columns, as necessary, prior to submitting the report to HUD.

SHOP 3—SHOP Grantee's Quarterly Summary Report on Consortium Members'/Affiliate's Program Activity. This workbook captures data for the entire length of the SHOP grant. It contains 12 quarters plus 4 additional quarters to allow grantees to capture and report on all SHOP accomplishments. The additional four quarters cover reporting on the construction or rehabilitation of any properties acquired but not yet completed at the time of the final draw of SHOP funds. (Additional reporting quarters may be added if more time beyond the 16 quarters is needed to complete properties.) Although not required, HUD strongly encourages grantees to use this report in consolidating information from their consortium members/affiliates. It should assist grantees in keeping a comprehensive summary of their programs' progress until all properties have been completed and conveyed to homebuyers. This report is strictly for the grantee's internal use and is not submitted to HUD.

SHOP 4—SHOP Consortium Member/Affiliate Quarterly Report on Program Activity to Grantee. This workbook captures quarterly data from consortium members and affiliates for an entire program year. The workbook contains four quarters. Consortium members/affiliates report on the current quarter's activities and cumulative for their programs. Consortium members/affiliates must transmit this report to the grantee shortly after the end of the reporting quarter to ensure the grantee's timely submission to HUD. The grantee will use the data submitted by its consortium members/affiliates to report accomplishments in the form SHOP 1—SHOP Grantee Quarterly Report on Program Activity to HUD. Consortium members/affiliates should save this report at the end of the first year, and prepare a new worksheet for each subsequent program year correctly labeling the quarters until all properties for which they have drawn SHOP funds are completed and conveyed to homebuyers.

B. Data Collection Instructions:

Grantees are required to submit quarterly and annual data to HUD based on their consortium members' and affiliates' program performance. Grantees must collect data from each consortium member and/or affiliate, summarize the data, and submit a consolidated report to HUD. Consortium members/affiliates must submit timely reports to the grantee in order for the grantee to meet its reporting requirements to HUD (See Reporting Period below).

The data elements are identical for grantees' and consortium members'/affiliates' reports.

I. SHOP Overview

Quarterly Reporting Period: The quarterly reporting period covered by this report must be in the following format: MM/DD/YY. Quarterly reports must be received in HUD via e-mail by the following due dates:

- January 1 through March 31, due no later than May 1;
- April 1 through June 30, due no later than August 1;
- July 1 through September 30, due no later than November 1; and,
- October 1 through December 31, due no later than February 1.

NOTE: If the due date falls on a weekend or a holiday, the quarterly report is due the following workday.

Reporting begins upon joint execution of the grant agreement by HUD and the grantee and notification to the grantee that grant funds have been set up in a line of credit through HUD's Line of Credit Control System (LOCCS). If the agreement is executed and the line of credit is set up in the middle of a reporting period, grantees must submit a report on any progress to date even if properties have not been acquired (e.g., administrative actions that have occurred in starting a new grant, progress on site selections, status of environmental reviews, etc.). Except for environmental reviews completed, <u>this information should be reported in narrative form in a separate attachment as "Other Information on SHOP Program Progress</u>."

Annual Reporting Period: For annual reporting (SHOP 2), enter the annual period covered by this report in the following format: MM/DD/YY (e.g. begin 07/15/07 and end 07/14/08). The annual reporting period starts upon execution of the grant agreement and establishment of the grantee's LOCCS account. Annual reports must be received in HUD via e-mail no later than 30 days after the anniversary date of when SHOP funds were made available to the grantee in LOCCS.

Grant Number: Provide the grant number assigned by HUD as shown on the grant agreement. The grant number consists of seven alpha and numerical characters. The first two alpha characters are "SH" for SHOP. The first two numerical characters represent the SHOP funding year. The next set of three numerical characters is the number assigned to the grantee. <u>**Do not insert hyphens or spaces**</u>. If grantees receive multiple grants, the assigned grantee number remains the same except but the funding year changes. Grantees that have received prior SHOP grants must submit separate quarterly and annual reports for each grant number (e.g., SH05001, SH06001, SH07001).

SHOP Grant Amount: Provide the amount of SHOP funds awarded by HUD to the SHOP grantee in the grant agreement and any subsequent amendment. For the SHOP 2--SHOP Grantee's Annual Report on Consortium Members'/Affiliates' Program Activity to HUD, grantees must also list the amounts of SHOP funds awarded in agreements to the individual consortium members and affiliates. These amounts will be entered below each organization's name.

Grantee Name: On the quarterly and annual reports, SHOP 1 and SHOP 2, abbreviate or use an acronym for the name of the national or regional nonprofit organization or consortium (lead entity) that entered into a grant agreement with HUD to use SHOP funds.

Consortium Member/Affiliate Name: On the annual report, SHOP 2, abbreviate or use an acronym for the name of the consortium member and/or affiliate that entered into a grant agreement with the grantee to use SHOP funds. In the column headings, identify the organization as a consortium member or an affiliate.

Service Area--States Served: Identify the service area of the grantee organization. If grantee's service area is nationwide or regional, enter "nationwide" or "regional." If funds are not distributed nationwide, indicate specific states using the state abbreviations. SHOP 2 requires identification of the local community(ies) and/or state(s) where SHOP funds will be or have been spent by each consortium member or affiliate.

Proposed Dwelling Units: Provide the proposed number of dwelling units for which SHOP funds will be used for land acquisition and/or infrastructure improvements, as stated in grantee's SHOP application or any HUD-approved modification of the application.

Proposed Administrative Costs: Provide the amount of SHOP funds the grantee and its consortium members/affiliates expect to use for administration of the SHOP grant as stated in the SHOP application or any HUD-approved modification of the application. Grantees can use SHOP funds for administration and may pass these funds to their consortium members and affiliates. Section II Financial Summary, defines administrative expenses and sets the cap for administrative expenses.

Proposed Average SHOP Cost Per Unit: Provide the average SHOP cost per unit based on the combined land acquisition and/or infrastructure improvement expenses proposed in your SHOP application or any HUD modification of the application. *The per unit cost does not include proposed administrative expenses.* The Proposed Average SHOP Cost Per Unit is the "Total SHOP Grant Amount" minus "Proposed Administrative Costs," divided by the number of "Proposed Dwelling Units."

II. Financial Summary

Background: Beginning with the use of FY 2001 funds, grantees (including individual consortium members) that directly develop properties are restricted to the statutorily mandated period of 24 months to draw down and expend funds regardless of the number of properties developed. Affiliates that received FY 2001 and subsequent years funding that develop one to four units are permitted up to 24 months to draw down and expend SHOP funds. Affiliates that develop five or more units are permitted up to 36 months to use the funds. Grantees have up to 36 months to spend administrative funds provided they have any affiliates that develop five or more units. The timeframes for grantees, consortium members, and affiliates to spend funds begin on the date that HUD makes SHOP funds available in a line of credit to the grantee.

Administrative Expenses: Report the amount of SHOP funds expended for administrative expenses. Administrative costs are the costs of general management, oversight and coordination of the SHOP grant; staff and overhead costs of the SHOP grant; costs of providing information to the public about the SHOP grant; cost of affirmatively furthering fair housing; and indirect costs (such as rent and utilities) of the grantee, consortium member or affiliate in carrying out SHOP activities. Indirect costs may only be charged to the SHOP grant under a cost allocation plan prepared in accordance with OMB Circular A-122.

NOTE: The combined administrative expenses for the grantee and its consortium members and/or affiliates may not exceed 20 percent of the total SHOP award or a lesser amount if proposed in grantee's SHOP application. Grantees may only use SHOP funds to cover administrative expenses up to the percentage requested in their applications.

Land Acquisition: Land acquisition expenses may include financing and closing costs. Grantees and affiliates that purchase existing properties for rehabilitation must separate the cost of the land from the cost of the structure.

SHOP Funds Expended for Land Acquisition: Report the amount of SHOP funds expended for land acquisition this reporting period.

Other funds Expended for Land Acquisition: Report the amount of leveraged funds (non-SHOP funds) from other sources expended for land acquisition on SHOP-assisted properties this reporting period.

Total Land Acquisition Expenses: This field is calculated automatically. The field will add the SHOP funds expended for land acquisition to the amount of leveraged funds expended for land acquisition. The result should reflect the total land acquisition costs for all SHOP properties acquired during the reporting period.

Infrastructure:

SHOP Funds Expended for Infrastructure: Report the amount of SHOP funds expended for infrastructure improvements this reporting period.

Other Funds Expended for Infrastructure: Report the amount of leveraged funds (non-SHOP funds) expended for infrastructure improvements on SHOP-assisted properties this reporting period.

Total Infrastructure Expenses: This field is calculated automatically. The field will add the SHOP funds expended for infrastructure improvements to the amount of leveraged funds expended for infrastructure improvements. The result should reflect the total infrastructure costs for all SHOP properties.

Other Funds Expended (Funds Leveraged). Report the amount of funds provided by other funding sources (public and/or private) to complete the self-help housing units. Include any additional administrative expenses that may not have been covered by the SHOP grant.

Total Funds Leveraged. This field is calculated automatically. This field will add the "Other Funds Expended for Land Acquisition," "Other Funds Expended for Infrastructure," and "Other Funds Expended (Funds Leveraged)."

Total SHOP Funds Expended This Quarter: This field is calculated automatically. This field will total the amount of SHOP funds drawn this quarter for administration, land acquisition, and infrastructure expenses.

Total SHOP Funds Expended To Date: This field is calculated automatically. This field will total the SHOP funds drawn to date for administration, land acquisition, and infrastructure expenses.

SHOP Balance: This field is calculated automatically. The field will subtract the "*Total SHOP Funds Drawn To Date*" from the "*SHOP Grant Amount*" awarded under the grant agreement, and any subsequent amendment, to show the balance of SHOP funds available for use.

III. Program Accomplishments

The "*Program Accomplishments*" section of the SHOP reports gathers data on environmental reviews, land acquisition, site preparation, construction, completion and conveyance of SHOP-funded units. All SHOP program accomplishments must be reported, and represent all SHOP activities for the reporting period and "*Cumulative to Date*" (SHOP 1) or *"Year End Total" (SHOP 2).*

Environmental Reviews Completed: An explanation of the environmental process is included to assist grantees and affiliates in understanding the environmental review requirement and reporting accurately. An environmental review of all SHOP-funded activities is required before funds may be drawn down. There are two different levels of environmental reviews that may be conducted: (1) a Compliance Review and (2) an Environmental Assessment. Environmental reviews are conducted by either a unit of general local government (UGLG), e.g., a city or county [which becomes the responsible entity (RE)], or by HUD. Environmental reviews conducted by an UGLG are done in accordance with 24 CFR part 58, while HUD reviews are conducted in accordance with 24 CFR part 50.

A <u>Compliance Review</u> is conducted for activities that are categorical exclusions. The acquisition of land that can accommodate one to four units of housing on one site, or five or more units on scattered sites that are *more* than 2,000 feet apart with no more than four units on any one site, is categorically excluded.

- A Compliance Review conducted by the RE uses a "Statutory Checklist Form" to document the environmental review. If the RE concludes that *none* of the related Federal laws and authorities listed on the Statutory Checklist requires additional compliance, the RE may convert the activity from a categorical exclusion into an exempt activity. No public notice is published or disseminated and a "Request for Release of Funds and Certification" (RROF/C) form (HUD-7015.15) is not submitted to HUD. On the other hand, if the RE concludes that any of the Federal laws and authorities require further compliance, a "Notice of Intent to Request Release of Funds" must be published or disseminated, and a HUD-7015.15 form must be submitted to HUD. HUD approves the Request for Release of Funds and Certification by executing an "Authority to Use

Grant Funds" form (HUD-7015.16). The RE retains all documents as part of its Environmental Review Record.

- A Compliance Review conducted by HUD requires the completion of blocks 1 through 24 of form HUD-4128, "Environmental Assessment and Compliance Findings for the Related Laws." Written notice of HUD approval of the property (or advice to select an alternate property) completes the environmental review process.

An Environmental Assessment is conducted for projects that are neither exempt nor categorically excluded. Projects involving the acquisition of land that can accommodate five or more units of housing (other than scattered site projects described above) and/or any infrastructure improvements require an environmental assessment.

- An Environmental Assessment conducted by an RE uses an "Environmental Assessment Format" to document the conclusions of the review. If the RE concludes that the proposed action will result in a finding of no significant impact on the environment, a "Notice of Finding of No Significant Impact" (FONSI) and a "Notice of Intent to Request Release of Funds" (NOI/RROF) are published or disseminated. The RE then submits a HUD-7015.15 form to HUD and HUD responds with an executed HUD-7015.16 form or letter removing grant conditions, thereby completing the environmental review process. On the other hand, if the RE concludes that the project could have a significant impact on the environment, an Environmental Impact Statement (EIS) must be prepared. The RE must publish or disseminate a "Notice of Intent to Prepare an EIS." Upon completion of the EIS and resolution of significant impacts, the RE publishes or disseminates a NOI/RROF, and submits a HUD-7015.15 form to HUD. HUD then executes a HUD-7015.16 form or letter removing grant conditions, thereby completing the environmental review process.

- An Environmental Assessment conducted by HUD requires the completion of blocks 1 through 34 of form HUD-4128 (and/or HUD prepares an EIS if needed). Written notice from HUD approving the property (or advice to select an alternate property) following completion of form HUD-4128 (and/or EIS if needed) completes the environmental review process.

Report the number of **environmental reviews** (both Compliance Reviews [Statutory Checklists and HUD-4128], and Environmental Assessments [Environmental Assessment Formats and HUD-4128]) completed this reporting period. Categorically excluded activities that are converted into exempt activities are counted as completed reviews. Include environmental reviews even in cases where the project is not pursued or completed after the environmental review. Report the number of environmental reviews completed, not the number of units to be completed. The number of **units** to be included in projects that were environmentally reviewed should be reported in either *"Lots/Existing Units Acquired"* or *"Infrastructure."*

Lots/Existing Units Acquired: Report the number of lots acquired on which new units will be constructed or existing structures will be rehabilitated. The number of "*Lots/Existing Units Acquired*" must equal the number of units to be built or rehabilitated. (Do not include lots or existing units that have been acquired with non-SHOP funds, **unless** the environmental review has been completed, and the grantee/consortium member/affiliate has received reimbursement from SHOP funds.)

Infrastructure: Infrastructure improvements include installing, extending, constructing, rehabilitating, or otherwise improving utilities and other infrastructure, such as wells and septic systems, impact fees, streets, streetlights, curbs, roads, and sidewalks, surveys, engineering fees, and environmental testing and site preparation, including, but not limited to grading, razing, de-leading of soil and buildings, hazardous waste clean-up and other environmental clean-up costs.

Started: Report the number of SHOP units for which infrastructure improvements were started this reporting period.

Completed: Report the number of SHOP units for which the infrastructure improvements were completed this reporting period.

Construction: Construction means the building of a new dwelling unit or rehabilitation of an existing dwelling unit.

Started: Report the number of SHOP units for which new construction or rehabilitation started this reporting period.

Completed: Report the number of SHOP units for which construction or rehabilitation was completed this reporting period.

Total Dwelling Units Completed & Conveyed to Homebuyers: This field is calculated automatically. This field adds the number of single- and multi-family units completed and conveyed to homebuyers.

Total Single Family Units*:* Report the total number of single-family SHOP units for which construction is complete, certificates of occupancy issued, and the units have been conveyed to homebuyers this reporting period. For purposes of the SHOP program, a single-family unit is defined as a detached, single unit home.

Total Units in Multifamily Projects*:* Report the total number of SHOP units located within multifamily properties that were completed, certificates of occupancy issued, and the units conveyed to homebuyers this reporting period. For purposes of the SHOP program, a multifamily property is defined, as a housing structure comprised of two or more attached units. This includes duplexes, row houses, condominiums, and cooperatives. Each unit in a multi-family property must be counted as a separate unit.

IV. Unit Characteristics (completed & conveyed units)

Accessible Units: Report the number of completed and conveyed SHOP-funded units that are accessible to persons with disabilities. When used with respect to an individual dwelling unit, accessible means that the unit is located on an accessible route, and when designed, constructed, altered or adapted, can be approached, entered, and used by individuals with physical disabilities. Do not include "Visitable Units."

Visitable Units: Report the number of completed and conveyed SHOP-funded units that are visitable by persons with disabilities. Visitability standards allow a person with mobility impairments access into the home, but do not require that all features be made accessible. Visitability means at least one entrance is at grade (no steps), can be approached by an accessible route such as a sidewalk; and the entrance door and all interior passage doors are at least 2 feet 10 inches wide, allowing 32 inches of clear passage. A visitable home also serves persons without disabilities, such as a mother with a stroller or a person delivering large appliances. Do not include "Accessible Units."

Units Located in Colonias: Report the number of completed and conveyed SHOP-funded units located in designated Colonias areas in the states of Arizona, California, New Mexico, and Texas. Colonia means any identifiable community that is within 150 miles of the border between the United States and Mexico and meets need criteria, including lack of potable water supply, lack of adequate sewage systems, and lack of decent, safe, and sanitary accessible housing.

V. Unit Averages (completed & conveyed units)

Average Appraised Value. Report the average appraised value of properties completed and conveyed during the quarter (SHOP1) and annually (SHOP2). This average must be calculated on the total of all individual properties, not that of the consortium members' and/or affiliates' averages. The appraised value must be determined by a qualified appraiser or, if one is not available, an estimate of value must be made by an individual qualified to determine property values. This field should represent only the number of properties completed and conveyed to homebuyers during the reporting period. (Total appraised values / number of properties = average appraised value.)

Average Sales Price to Homebuyer. Report the average sales price of all properties completed and conveyed to homebuyers during the quarter (SHOP 1) and annually (SHOP 2). This sales price is generally the contract sales price listed on line 101 in Section J of the HUD-1 Settlement Statement or listed in similar documentation or an agreement between the grantee (including consortium members)/affiliate and the homebuyer. This average must be calculated on the total of all individual properties, not that of the consortium and/or affiliates' averages (Total sales prices / number of properties = average sales price.)

Total Number of Sweat Equity Hours. Report the total number of sweat equity hours contributed by all homebuyers for units completed and conveyed during the quarter (SHOP 1) and annually (SHOP 2). This figure should represent only those families that have completed all their sweat equity requirements, including all reasonable accommodation hours for persons with disabilities, and currently occupy their properties. This does not include volunteer labor unless volunteers are substituting for persons with disabilities under the terms of a written agreement required in section lll.C.g. of the SHOP NOFA. Grantees must ensure that the homebuyer family itself is contributing the requisite number of sweat equity hours stated in the grantee's application.

Total Number of Volunteer Hours. Report the total number of volunteer hours contributed by all volunteers for units completed and conveyed during the quarter (SHOP 1) and annually (SHOP 2). This does not include volunteer labor that is being counted towards substitution for persons with disabilities under the terms of a written agreement required in section III.C.g. of the SHOP NOFA. Volunteer labor is work performed by an individual without promise, expectation, or compensation for the work rendered. Grantees must ensure that the volunteers are contributing the requisite number of volunteer hours stated in the grantee's application.

VI. Homebuyer Income Targeting (completed & conveyed units)

Homebuyers' incomes must be no greater than 80 percent of area median income. Report the number of households in completed and conveyed units that fall within the following income ranges:

0 – 30 percent of area median income.
>30 – 50 percent of area median income.
>50 – 80 percent of area median income.

VI. Ethnic and Racial Composition (completed & conveyed units)

Government–wide standards for collecting racial/ethnic data were effective January 1, 2003. HUD and grantees are required to treat ethnicity as a separate category. "Hispanic or Latino" and "Not Hispanic or Not Latino" are designated as separate ethnicity categories. Grantees must report the racial and/or ethnic composition of all SHOP households. Data should be collected and reported for the ***head of the household*** at the time the unit is completed and conveyed to and occupied by the homebuyer family. Racial/ethnic documentation must be reported for each household for each racial/ethnic category, as appropriate. Grantees must enter the number of households in each racial category and indicate whether the household is "Hispanic or Latino" **OR** "Not Hispanic or Not Latino."

For example, if during the third quarter 10 properties have been completed, but properties have not yet been conveyed and occupied, the grantee may not report on the households. However, during the fourth quarter certificates of occupancy have been issued on the10 properties and 9 properties have been conveyed and occupied by families. The grantee will report the race of each of the 9 households indicating in the appropriate categories whether the head of household is "Hispanic or Latino" OR "Not Hispanic or Not Latino." The number of households reported in each quarter should equal the number of properties conveyed to homebuyers during the same quarter.

Reporting race and ethnicity is optional by the family. If families do not furnish the information, the grantee/consortium member/affiliate may report based on a visual assessment.

Ethnicity and Racial Definitions

Ethnicity Categories:

(1) **Hispanic or Latino.** A person of Cuban, Mexican, Puerto Rican, South or Central American, or other Spanish culture or origin, regardless of race. The term, "Spanish origin," can be used in addition to "Hispanic or Latino."

(2) **Not Hispanic or Not Latino**. A person not of Cuban, Mexican, Puerto Rican, South or Central American, or other Spanish culture or origin, regardless of race.

Racial Categories:

(1) **American Indian or Alaska Native.** A person having origins in any of the original peoples of North and South America (including Central America), and who maintains tribal affiliation or community attachment.

(2) **Asian.** A person having origins in any of the original peoples of the Far East, Southeast Asia, or the Indian subcontinent including, for example, Cambodia, China, India, Japan, Korea, Malaysia, Pakistan, the Philippine Islands, Thailand and Vietnam.

(3) **Black or African American.** A person having origins in any of the black racial groups of Africa. Terms such as "Haitian" or Negro" can be used in addition to "Black or African American."

(4) **Native Hawaiian or Other Pacific Islander.** A person having origins in any of the original peoples of Hawaii, Guam, Samoa, or other Pacific Islands.

(5) **White.** A person having origins in any of the original peoples of Europe, the Middle East, or North Africa.

(6) **American Indian or Alaska Native & White**. A person having these multiple race heritages as defined above.

(7) **Asian & White.** A person having these multiple race heritages as defined above.

(8) Black or African American & White. A person having these multiple race heritages as defined above.

(9) American Indian or Alaska Native & Black or African American. A person having these multiple race heritages as defined above.

(10) Other Multi-Racial. A person reporting multi-race heritages not included in any of the other nine categories listed above, and that have a total count that exceeds one percent of the population served. (If the aggregate count of any reported multi-racial category that is not listed above exceeds 1% of the total population being reported, you should indicate each such category here.) **NOTE**: Breakout below in **"Other Information on SHOP Program Progress,"** the identification of each racial category, including the actual count, the percentage of the population, and the actual count for the ethnic categories.

(11) Balance of Individuals Reporting More Than One Race. A person reporting any racial categories that are not included in the list of nine above, and are not included under **"Other multi-racial categories." NOTE:** Breakout below in the **"Other Narrative on Program Progress**," the total number of all racial categories reported that do not fit the nine racial categories above, and do not equate to one percent of the total population being reported. Indicate also the total number of all such ethnic categories.

VII. Other Information on SHOP Program Progress: Attach a separate sheet(s).

1) Use this element to expand on your program's progress in any area. Report on specific project delays if you are encountering problems or bring to HUD's attention accomplishments if you are ahead of schedule. See guidance under "Reporting Period."

2) Use this element to report on change of name, address, telephone, or fax number of the grantee's or its consortium members'/affiliates' contacts.

3) Use this element to expand specifically on racial/ethnic categories under "Other Multi-Racial Categories" and "Balance of Individuals Reporting More than One Race" (See above Ethnicity and Racial Definitions). You must identify each such racial category, including the actual count, the percentage of the total population, and the actual count for the ethnic categories.

For example, if the SHOP grantee's data indicates that the total number of homebuyers is 200 and includes 10 Cajun Americas and 12 Creole Americans, and those numbers of Cajun and Creole American homebuyers each equates to more than one percent of the total homebuyers served, and 2 of the Cajun American homebuyers indicate they belong to the Hispanic/Latino ethnic category and 3 of the Creole American homebuyers indicate they belong to the Hispanic/Latino ethnic category, you should explain as follows:

Racial Category	**Total Number of Categories Reported**	**Total Number of Category Responses (Hispanic or Latino)**
Other Multi-Racial Categories:	Cajun American 10 (5%)	2
	Creole American 12 (6%)	3

4) Other pertinent information.

C. Spreadsheet Guidance and Printing Instructions

All of the Excel workbooks described above have several formatting elements in common.

(a) Cell Formatting

The spreadsheets within the workbooks will display different colored cells. All reports have cells colored Light Blue and Tan as well as Yellow, Light Green, and White. The cells colored Light Blue and Tan are the only cells of concern to grantees and their consortium members/affiliates.

- The ***Light Blue*** cells indicate cells that require manual entry.
- The ***Tan*** cells indicate cells that contain formulas and are automatically calculated fields. Should you attempt to enter data into any of these Tan colored cells, you will receive an error message.
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For ease in reading the data elements and cumulative to date data, the first three columns on the spreadsheets have been frozen. These columns will not move, however, the quarterly columns shift to the left across the screen.

(b) Red Flags

Red Flags are attached to most cells in Column A as well as other places throughout the spreadsheet. These flags, visible in the upper right hand corner of various cells, indicate that a comment on that data element is present. These comments are intended to be brief clarifications of the data elements in that cell. They will provide explanations as well as instructions. Grantees must not strictly rely on the data in these flags. More detailed explanations of the data elements including policy guidance can be found in the Data Collection Instructions in Section B above. Grantees and consortium members/affiliates are responsible for adhering closely to the Data Collection Instructions in Section B of this document.

To access a comment simply move the mouse icon over the red flag. A text box will appear with the explanation.

(c) Printing Instructions for Red Flags

To print the red flag comments, follow the directions below.
1. Choose <u>File</u> from the <u>Menu</u> toolbar.
2. Scroll down and select <u>Page Setup</u>.
3. Once in <u>Page Setup</u>, select the tab named <u>Sheet</u>.
4. Find the subheading titled <u>Print</u>. Under this subheading find the <u>Comments</u> pull down menu. From this menu choose one of the following:

> NONE to print only the spreadsheet;
> AT END OF SHEET to print the comments after the spreadsheet;
> AS DISPLAYED ON SHEET, to print the comments within the spreadsheet. If this option is chosen, all comments will print over the existing data on the spreadsheet obscuring the data.

5. After selecting one of the above, print by clicking the <u>Print</u> button at the top right of the activity box.

To print Comments immediately upon opening the Excel file, follow steps 1 and 2 then click the print button at the top right of the activity box.

NOTE: AT END OF SHEET is the default setting. To change the default setting follow the instructions above for printing comments.

(d) Instructions for Printing Reports

When printing reports, remember Excel provides a choice of Entire Workbook or Active Sheet. The default setting is Active Sheet. This setting will print only the worksheet displayed on the screen. You must choose Entire Workbook to print both worksheets titled Quarterly report and Racial/Ethnic data. To ensure the entire workbook prints, choose File from the Menu toolbar. Scroll down and select Print. Locate the *Print What* subheading in the activity box. Select Entire Workbook then click the OK button.

(e) Adding and Deleting Columns

Below are instructions detailing how to format the SHOP Grantee's Annual Report on Consortium Members/Affiliates to HUD to meet the individual needs of SHOP grantees.

For those grantees collecting data from more than 100 affiliates, follow these instructions to add columns that will automatically continue the sequential order and preserve the imbedded formulas.

- Select the last column that contains data in the spreadsheet. To select the entire column, click once on the heading of the column, in this case, the letters CZ at the top of the column.
- To continue the columns in sequential order, place the cursor on the line that separates CZ from DA and directly underneath the column heading (at the top of Row 1). A black cross icon, without arrows, will appear.
- When the cross icon appears, hold down the left button on the mouse and drag across for as many columns as needed.

For grantees collecting data from fewer than 100 affiliates, follow these instructions to delete columns that will automatically continue the sequential order and preserve the imbedded formulas.

- Select all the columns that will not be used. To select the columns to be deleted, click once on the column heading of the first column to be deleted, at the top of the column and drag the cursor to the end of recorded data.
- Choose Edit from the menu toolbar.
- Scroll down and choose Delete. Once Delete is chosen, all highlighted columns will be deleted. The formulas will automatically adjust to the number of columns left.