

**RESOLUTION OF THE  
RESOURCES AND DEVELOPMENT COMMITTEE  
Of the 23rd Navajo Nation Council---Second Year 2016**

**AN ACTION**

**RELATING TO RESOURCES AND DEVELOPMENT; CERTIFYING THAT THE  
NAVAJO NATION HAS MET THE CITIZEN PARTICIPATION REQUIREMENTS AT  
24 CFR 1003.604 TO SUPPORT THE SUBMISSION OF THE FY' 2016 INDIAN  
COMMUNITY DEVELOPMENT BLOCK GRANT APPLICATION TO THE UNITED  
STATES DEPARTMENT OF HOUSING AND URBAN DEVELOPMENT**

**BE IT ENACTED:**

**Section One. Authority**

The Resources and Development Committee has oversight authority over the Division of Community Development. 2 N.N.C. § 501(C)(1).

**Section Two. Findings**

A. The Fiscal Year 2016 Indian Community Development Block Grant ("CDBG") application to the United States Department of Housing and Urban Development has not yet been submitted.

B. Prior to the submission of the FY' 2016 CDBG application, the Resources and Development Committee of the Navajo Nation Council certifies that the Navajo Nation has met the Citizen Participation requirements as set forth in 24 CFR 1003.604 as required of prospective grantees.

C. The FY' 2016 Indian Community Development Block Grant Program Guidance, with its Exhibits marked "A" through "H" and Public Hearing Rules and Procedures, are attached as Exhibit

**Section Three. Certification**

A. The Resources and Development Committee of the Navajo Nation Council recognizes and accepts the affidavit of publication for the public hearings that were conducted by the Navajo Nation on November 12 - 13, 2015, in the local newspapers, attached as Exhibit 1, and accepts the Community Development Statement published on April 16, 2016, attached as Exhibit 2, to meet the Citizen Participation requirements as set forth in 24 CFR 1003.604.

B. The Resources and Development Committee of the Navajo Nation Council hereby certifies the following has occurred in accordance with 24 CFR 1003.604(a):

a. Residents have been furnished with information concerning the amount of funds available for proposed community development activities and the range of eligible activities that may be undertaken; and


b. This has resulted in one or more meetings to obtain views of residents on community and housing needs. The meetings were held in ways and at times that allowed participation by residents; and

c. A community development statement was developed, published and posted to provide opportunities for residents to examine its content and to submit comments; and

d. Residents were afforded an opportunity to review and comment on the application performance on current activities.

#### CERTIFICATION

I, hereby, certify that the foregoing resolution was duly considered by the Resources and Development Committee of the 23<sup>rd</sup> Navajo Nation Council at a duly called meeting at Navajo Department of Transportation Administrative Complex - Nataanii Conference Room, (Navajo Nation) Tse Bonito, New Mexico, at which quorum was present and the same was passed by a vote of 3 in favor, 0 opposed, 1 abstained this 24<sup>th</sup> day of May, 2016.



Alton Joe Shepherd, Chairperson  
Resources and Development Committee  
Of the 23<sup>rd</sup> Navajo Nation Council

Main Motion: Honorable Leonard Tsosie  
Second: Honorable Leonard Pete  
Vote: 3-0-1 (CNV)

LEGAL NOTICE  
Window Rock - Apache County  
Arizona

NOTICE OF PUBLIC  
HEARING  
COMMUNITY  
DEVELOPMENT BLOCK  
GRANT

Please be informed of the Public Hearings that are scheduled by the Navajo Nation Community Development Block Grant (CDBG) Program at the following locations:

AGENCY  
Northern Agency  
Eastern Agency  
DATE  
November 12, 2015  
LOCATION  
Shiprock Chapter  
TIME  
9:00 a.m.

AGENCY  
Chinle Agency  
Fort Defiance Agency  
Western Agency  
DATE  
November 13, 2015  
LOCATION  
Pinon Chapter  
TIME  
9:00 a.m.

The purpose of the Public Hearing is to inform the Chapter communities and the general public of the proposed Fiscal Year 2016 Indian Community Development Block Grant application and program information as provided through U.S. Department of Housing and Urban Development (HUD) in accordance to Citizen Participation requirements at 24 CFR 1003.604.

Information to be presented at the hearings will include:

1. Purpose and requirements of the CDBG Program.
2. Amounts of Indian CDBG funds available for proposed Community Development activities and range of activities that may be undertaken.
3. Provide residents the opportunity to participate in the process.
4. Opportunity to review and comment on the program performance of active grants.

If there are any questions, please contact the CDBG office at:

Community Development  
Block Grant Program  
Division of Community  
Development  
PO Box 2365  
Window Rock, Arizona 86515  
(928) 729-4442

NOTE: For Public Hearing materials go to website:  
[www.nncid.org](http://www.nncid.org)

Legal# 16284 Published in The Independent October 24 & 30, 2015.

## Affidavit of Publication

STATE OF NEW MEXICO  
) SS  
COUNTY OF MCKINLEY

Stacey Fruchey being duly sworn upon oath, deposes and says:

As LEGAL CLERK of The Independent, a newspaper published in and having a general circulation in McKinley County, New Mexico and in the City of Gallup, New Mexico and having a general circulation in Cibola County, New Mexico and in the City of Grants, New Mexico and having a general circulation in Apache County, Arizona and in the City of St. Johns and in the City of Window Rock, Arizona therein: that this affiant makes the affidavit based upon personal knowledge of the facts herein sworn to. That the publication, a copy of which is hereto attached was published in said newspaper during the period time of publication and said notice was published in the newspaper proper, and not in a supplement thereof, for Two Times, the first publication being on the 24<sup>th</sup> day of October, 2015, the second publication being on the \_\_\_\_\_ day of \_\_\_\_\_, 2015, the third publication being on the \_\_\_\_\_ day of \_\_\_\_\_, 2015,

and the last publication being on the 30<sup>th</sup> day of October, 2015. That such newspaper, in which such notice or advertisement was published, is now and has been at all times material hereto, duly qualified for such purpose, and to publish legal notices and advertisements within the meaning of Chapter 12, of the statutes of the State of New Mexico, 1941 compilation,

Stacey Fruchey  
Affiant.

Sworn and Subscribed to before me this 30<sup>th</sup> day of October, A.D., 2015.

Rebecca Taylor  
Notary Public

My commission expires:  
August 27th, 2017.

**AFFIDAVIT OF PUBLICATION**

Inv# L15-1756

I, Candace Begody, Editor of the Navajo Times, a legal newspaper published weekly at Window Rock, Navajo Nation, Arizona, do hereby swear that a legal notice:

**Notice of Public Hearing for FY-2016 Community Development Block Grant Program**

was published in said Navajo Times on the following date(s):  
**October 29, 2015**

and that said notice is attached to this Affidavit and is a true and exact copy of said notice as published.



Candace Begody  
Editor

STATE OF ARIZONA           :}

COUNTY OF APACHE       :}

SUBSCRIBED AND SWORN TO before me this

\_\_\_\_\_ 29<sup>th</sup> \_\_\_\_\_ day of \_\_\_\_\_ October \_\_\_\_\_, 2015.



Olivia L. Benally, Notary Public

My Commission Expires:

\_\_\_\_\_ April 10, 2018 \_\_\_\_\_





# PUBLIC NOTICES

JUDICIAL DISTRICT OF  
CROWNSPOINT, NEW MEXICO  
In a Matter of the Validation of  
Marriage of:

Donald Avery, deceased  
CONCERNING:

Re Sandoval, Petitioner  
PFC-DM-000449-2015

vs. All Claimants, Creditors  
and Other Interested Parties:

Notice is hereby given that a  
Petition for Validation of Marriage  
has been filed with this Court on  
October 16, 2015. The Petitioner is  
Re Sandoval, and she petitions  
this court to validate this  
marriage. A hearing will be held  
on this petition on the 18th day  
of November 2015, at the hour  
of 9:00 a.m. at the Crownspoint  
County Court in Crownspoint, New  
Mexico. If you wish to object or  
oppose in this petition, you  
must file an answer to the petition  
and serve a copy of your answer/  
motions to the Petitioner's legal counsel,  
David R. Jordan, P.O. Box  
100, Gallup, NM 87305.

If you do not file an answer to  
this petition, your answer, claims  
and objections may be barred from  
being heard.

Issued: August 31, 2015  
Court Clerk

Family Court of the Navajo Nation  
will be Published in The NAVAJO  
TIMES October 22, 29 and  
November 05, 2015.

## REQUEST FOR PROPOSALS for FINANCIAL AUDIT

Ch'oshgal Community School  
Board of Education, Inc. (CCSBE,  
Inc.) is requesting proposals  
from qualified firms of Certified  
Public Accountants to perform a  
financial audit of fiscal year end-  
ing June 30, 2015. The audit is  
to be performed in accordance  
with Generally Accepted Audit-  
ing Standards (GAAS). Indian  
preference applies in accordance  
with Section 7(b) of P.L. 93-638,  
Indian Self-determination and  
Education Assistance Act.

Additional information related  
to this RFP is available from  
CSBE, Inc. Finance Department  
located at 1/2 mile East of  
M Highway 491, Tohatchi, New  
Mexico 87325. To contact us call  
(505) 733-2726 or send an email  
to [syazzie@ccsbrnccos.org](mailto:syazzie@ccsbrnccos.org).

best interest of NAPI. Responsibility for the timely submittal and routing of bids,  
prior to opening, lies solely on the bidder.

## NOTICE OF PUBLIC HEARING COMMUNITY DEVELOPMENT BLOCK GRANT

Please be informed of the Public Hearings that are scheduled by the Navajo Nation  
Community Development Block Grant (CDBG) Program at the following locations:

AGENCY	DATE	LOCATION	TIME
Northern Agency Eastern Agency	November 12, 2015	Shiprock Chapter	9:00 am
Chinle Agency Fort Defiance Agency Western Agency	November 13, 2015	Pinon Chapter	9:00 am

The purpose of the Public Hearing is to inform the Chapter communities and the  
general public of the proposed Fiscal Year 2016 Indian Community Development  
Block Grant application and program information as provided through U.S.  
Department of Housing and Urban Development (HUD) in accordance to Citizen  
Participation requirements at 24 CFR 1003.604.

Information to be presented at the hearings will include:

1. Purpose and requirements of the CDBG Program.
2. Amounts of Indian CDBG funds available for proposed community Development  
activities and range of activities that may be undertaken.
3. Provide residents the opportunity to participate in the process.
4. Opportunity to review and comment on the program performance of  
active grants.

If there are any questions, please contact the CDBG office at:

Community Development Block Grant Program  
Division of Community Development  
P.O. Box 2365  
Window Rock, Arizona 86515  
(928) 729-4442

NOTE: For Public Hearing materials go to website: [www.nnchid.org](http://www.nnchid.org)



FOUR

The Navajo Nation  
Comments on the Part 7  
the end of San Juan  
tion. Four Corners S  
two (2) coal fired bo

At the same time the  
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to renew the facility  
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NNEPA will hold a P  
Rain permit for the  
session from 3:00 -  
2015 at the Nenahn  
Road 6675. North of  
cepting oral and/or v

Written comments a  
be submitted to Teri  
at [airquality@navajo](mailto:airquality@navajo)  
by 5:00 p.m. Decem  
ered prior to final pe

All comments on the  
Comments on the d  
one of the following.

Email:

U.S. Mail:

The applications, dr  
at NNEPA, NAQCPA  
are from 8:00 a.m. I  
draft permit and the  
<http://www.navajona>

Inquiries or request  
directed to Tennille I

Persons wishing to  
contact Angie Fran  
729-4096, or by em  
permits can be req  
nsn.gov.



# Affidavit of Publication

STATE OF NEW MEXICO

) SS

COUNTY OF MCKINLEY

Stacey Fruchey being duly sworn upon oath, deposes and says:

As LEGAL CLERK of The Independent, a newspaper published in and having a general circulation in McKinley County, New Mexico and in the City of Gallup, New Mexico and having a general circulation in Cibola County, New Mexico and in the City of Grants, New Mexico and having a general circulation in Apache County, Arizona and in the City of St. Johns and in the City of Window Rock, Arizona therein: that this affiant makes the affidavit based upon personal knowledge of the facts herein sworn to. That the publication, a copy of which is hereto attached was published in said newspaper during the period time of publication and said notice was published in the newspaper proper, and not in a supplement thereof, for One Time, the first publication being on the \_\_\_\_\_ day of \_\_\_\_\_, 2016, the second publication being on the \_\_\_\_\_ day of \_\_\_\_\_, 2016, the third publication being on the \_\_\_\_\_ day of \_\_\_\_\_, 2016,

and the last publication being on the 16<sup>th</sup> day of April, 2016. That such newspaper, in which such notice or advertisement was published, is now and has been at all times material hereto, duly qualified for such purpose, and to publish legal notices and advertisements within the meaning of Chapter 12, of the statutes of the State of New Mexico, 1941 compilation,

Stacey Fruchey  
Affiant.

Sworn and Subscribed to before me this 16<sup>th</sup> day of April, A.D., 2016.

Diane Chung  
Notary Public

My commission expires:  
September 6, 2017.

## LEGAL NOTICE

Window Rock - Apache County  
Arizona

## PUBLIC NOTICE

Community Development Block  
Grant Program  
The Navajo Nation  
FY-2016 ICDBG Application

## COMMUNITY DEVELOPMENT STATEMENT

The Navajo Nation Indian Community Development Block Grant ("ICDBG") program within the Community Housing and Infrastructure Department ("CHID") herewith develops and posts its Community Development Statement according to the citizen participation requirements at 24 CFR 1003.604.

The intent of the Community Development Statement is to address the community development needs and describe the application process in order to accomplish the Nation's objective of developing viable communities including decent housing, a suitable living environment and expanding economic opportunities, primarily for low and moderate income families, through securing Indian CDBG funding from the U.S. Department of Housing and Urban Development ("HUD") and leveraging it with local resources.

The Navajo Nation is eligible to submit an application within a ceiling amount of \$5.5 million per year as provided at 24 CFR 1003.100. ICDBG is a competitive grant, considered as an Indian set-aside and not an entitlement program to Navajo like Indian Housing Block Grant. Each project is screened, rated and ranked on a competitive basis according to threshold requirements, and acceptance criteria.

The program's established rating committee rates the proposals according to the five components of selection criteria for Public Facilities and Improvements as set forth in 24 CFR 1003.303 and current Notice of Funds Availability Guide. The five rating factors included: Capacity of Applicant (30 points); Need/Extent of the Problem (19 points); Soundness of Approach (33 points); Leveraging Resources (8 points) and Comprehensive & Coordination (10 points). The maximum number of accumulated points for all rating factors is 100.

Upon a thorough evaluation of the rating sheets and requirements, the program will be submitting the Fiscal Year 2016 ICDBG grant application to HUD in accordance to 2016 ICDBG Notice of Funding Availability guide ("NOFA"). The application will include the proposed infrastructure projects for funding consideration in the amount of \$5.5 million, which include the program's administrative cost. The recommended activities will include the proposals that have received maximum points and are potential projects for funding recommendation in order to address the Nation's Community Development needs.

The proposed cost, scope, and project information will be finalized prior to submission of the application. The application will be submitted to HUD within their prescribed federal timeline and requirements. Comments and questions regarding the scope of work, schedule, project cost, application process; and methods for formulating and implementing the proposed activities under the FY-2016 grant application can be submitted to:

The Navajo Nation  
Community Development  
Block Grant Program  
Division of Community  
Development  
Physical Address: Admin. Bldg.  
#2, 2nd Floor, SW Section  
Mailing Address: P.O. Box 2365  
Window Rock, Arizona 86515

Legal# 16634 Published in The Independent April 16, 2016.



Public Hearing for FY'2016  
Indian Community Development Block Grant (ICDBG) Program  
Shiprock Chapter House  
November 12, 2015 – 9:00 a.m.

**Comments/Questions:** Bathroom Addition for a Veteran Facility, is that an eligibility activity?

**CDBG Response:** We use to do bathroom addition projects, but we don't do anymore because we don't have a Navajo Nation Housing Policy and the CDBG program primarily concentrates on infrastructure projects.

**Comments/Questions:** What is the down fall to chapters, not to get funded? Where do we need points to get funded?

**CDBG Response:** Lack of leverage (matching) money is across the board probably. Also, HUD 180 days requirement, meaning within 180 days from the date of ICDBG grant award, project should be underway. In other words, right-of-way and house wiring should be completed within this timeframe.

**Comments/Questions:** In previous public hearing, it was mentioned can't include preliminary cost?

**CDBG Response:** Yes, that is the case with current requirement.

**Comments/Questions:** Fire hydrants in waterline projects?

**CDBG Response:** That information can be asked to I.H.S. or NTUA waterline.

**Comments/Questions:** Navajo Nation appropriated funds for VA? Is it possible to apply for waterline funds to do matching?

**CDBG Response:** To cover all 5 agencies, that is possible, sponsored by chapter resolution with a proposal. Work with VA closely to establish communication, cost estimates, plans and matching money.

**Comments/Questions:** Starting the process for VA homes?

**CDBG Response:** Start with Chapter Resolution with a proposal. There are tribal or non-tribal housing entities to provide assistance.

**Comments/Questions:** Has the CDBG program did any housing related activities like Bathroom Additions ?

**CDBG Response:** Use to do before, bathroom additions with waterline projects. HUD allowed it up to 1996, but HUD categorized it under housing rehab.

**Comments/Questions:** A lot of homes are storage sheds. Chapter wants to develop a policy for services.

**CDBG Response:** work with housing entities to address the needed policy.

**Public Comments/Questions:** For non-profit organization applicants, is economic development, public facilities, natural gas line and facilities eligible, has anyone ever submit a proposal for these activities. School, for example, wants to go in conjunction with chapters, will they also qualify as non-profit organization. New Mexico State may have potential interest in these projects which will qualify as matching.

**CDBG Response:** Non -profit organization needs to be recognized by the Navajo Nation thru Business Regulatory. In past, a school district in Whitecone chapter provided match funding for a 3phase powerline construction to a site where new school was built along with NHA subdivision and gas station/Laundromat. This project was completed successfully with multiple funding. With non-profits and matching state money requires pre-planning for putting all pieces together.

**Public Comments/Questions:** Regarding the requirements, does CDBG use the CIO Land use plan and ICIP to increase the points on proposal, and how does CDBG get access to the chapters land use plan, the priority list is always shuffled.

**CDBG Response:** The chapters are encouraged to provide ICIP or Land Use Plan to support the project. This will help increase component factor on factor 5 – Coordination - of the ICDBG rating system.

In addition, the current chapter resolution (not over 6 months old) is an important factor because it shows commitment from the chapter for their clients and common objectives is health and community interest of the low and moderate families.

**Public Comments/Questions:** Explain further on pre-incurred contribution.

**CDBG Response:** a project for \$200K, the matching will only cover that, HW, Arch, pre engineering is at the cost of the chapter, and they are not counted as matching, except powerline on the ROW cost, and included in the cost estimate. The chapters do not have matching funds available; this is the reason why ROW is counted as matching.

**Public Comments/Questions:** the money that was spent for ROW, etc. I can use those as matching?

In-kind services, there is no company that provides in-kind services, would like to see how NTUA does this service.

CDEC gives credit until after the construction is done, due to previous complications.

JEMEZ electric gives \$700 per home.



Public Hearing for FY'2016  
Indian Community Development Block Grant (ICDBG) Program  
Shiprock Chapter House – 2<sup>nd</sup> Page

A utility upgrade, or extending a 3 phase, is there a contribution from NTUA.

**CDBG Response:** Yes, as long as ROW is paid in full for a powerline project serving households; but there is no in-kind contribution for an upgrade project to do 3 a phase because it would be for general target population. In addition, NTUA processes ROW documents but we understand JEMEZ and CDEC don't. Careful and joint planning is recommended with utility companies in their service area, serving Navajo families.

The CDBG Program hereby attests that the above public comments as transcribed from the notes, minutes that are true and accurate to the best of the program staff ability and knowledge.

  
CDBG Program

March 10, 2016

**COMMUNITY DEVELOPMENT BLOCK GRANT**  
**FY-2016 Public Hearing**  
**Eastern and Northern Agencies - Shiprock Chapter**  
**Thursday, November 13, 2015**

No.	Name	Chapter/Organization	Email Address	Phone No.
1	Michael Eriacho	Ramah Navajo Chapter	Menrecho@ramahnavajo.org	(505) 775-7162
2	Gilbert Maria	RNC - EASTERN	gilbertmaria@ramahnavajo.org	(505) 775-7161
3	Brental Yazzie	Ramah Navajo Chapter	bryzzie@ramahnavajo.org	505-775-7142
4	Martha Saggborn	Mex Wtr Chptr	mexicanwater@navajochapters.org	928-429-0943
5	NATHAN DURAN	Jemez Cooperative	nduran@jemezcoop.org	505-693-4155
6	Hoskie Bryant	Naschi Ti	hoskiebryant@gmail.com	505-870-1646
7	Latishia Tabaha	TSES Ani (Luptin) Chpt	lauralee.yazze@jasico.com luptin@navajochapters.org	928-688-2128
8	Carmen Campbell	Jemez Electric	ccampbell@jemezcoop.org	929-2226
9	Leann Curley	Churchrock	lcurley-22@yahoo.com	505-728-6858
10	Duane F. Haven	CHURCH ROCK	duane.haven@churchrock.com	505-872-1003
11	Sherrill White	NTUA	sherrillw@ntua.com	928-726-4741
12	Sherrill White	S/K Chapter	P.O. Box 3445 S/K	
13	Darryl Ahastean	Nahata Dzii	FOR ACO, SANDERS	928 245 5347
14	Christine Sam	Mexican Springs	csam@navajochapters.org	505-733-2832
15	Richard Bowman	Mexi Sprs.	Chapt President	
16	MILFRED COSEN	CROWNPOINT	milfred@csn5.org	928 594 1548
17	Rory Jaques	ASC - Planner	roryja@nndcd.org	505-368-1022
18	Corrina Chatter	NOCC	crunchatter@yahoo.com	(928) 688-2150
19	Leander K. James	Main Lake Chpt	LJames@navajochapters.org	(505) 786-2180

COMMUNITY DEVELOPMENT BLOCK GRANT  
FY-2016 Public Hearing  
Eastern and Northern Agencies - Shiprock Chapter  
Thursday, November 13, 2015

No.	Name	Chapter/Organization	Email Address	Phone No.
1	Tomando Garcia	Shiprock Chapter		505-368-1081
2	Ellen Henders	Pueblo Pintado	ellenhenderson@navajochapters.org	(505) 290-9644
3	Gloria Choqueto	Ojo Encino	ojocencin chapters@navajochapters.org	505 731-2263
4	Leonard Perry	Crownpoint	philohis@yahoo.com	
5	James Adakai	NNCDBG		
6	Patrick Dalgai	NNCDBG	pat_dalgai@unclid.org	928-729-4445
7	Charlene Kirk	Rock Point	Kirkshyenne@yahoo.com	928 659 4850
8	Jennie Harvey	Rock Point	jennie-harvey@yahoo.com	928 659 4351
9	PAUL MANY GOATS	Coal Mine Canyon W/A		1-505-860-7072
10	DIXIE YAZZIE	SHIPROCK	chili-yazzie@hotmail.com	505-368-1081/40
11	Sarahina Curley	NNCDBG	sarahina-curley@unclid.org	739-4442
12	Ashawn Barano	NZO Chapter	ashavaro@navajochapters.org	505-960-9702
13	Daniel Smith Sr	Shiprock	hosteenetsitty@yahoo.com	505 801-5007
14	Stanley Harky	Toddlena / TGH		505 406 2703
15				
16				
17				
18				
19				



Public Hearing for FY'2016  
Indian Community Development Block Grant (ICDBG) Program  
Pinon Chapter House  
November 13, 2015 – 9:00 a.m.

**Comments/Questions:** Mold Remediation Application for households. Is Chapters eligible to submit to HUD or to CDBG Program?

**CDBG Response:** CDBG Program or Navajo Housing Authority

**Comments/Questions:** Where can we go to get status of non-profit organization?

**CDBG Response:** Recommends go to Navajo Business Regulatory Department participating entity also need a chapter resolution where the development is being planned.

**Comments/Questions:** Navajo Nation has not set 2010 Census?

**CDBG Response:** Recommends to the chapters to call the Census office. But CDBG program utilizes HUD income limits by counties, which are provided each year by HUD. This information is available on-line and at the CDBG office.

**Comments/Questions:** Pre-incurred cost? Would cost of preliminary for a building facility be considered?

**CDBG Response:** No, separate activity. Any pre-incurred costs for a commercial activity are not eligible activity. Preliminaries such as architect and engineering and archeology are not eligible, just construction cost. Tohajiilee Clinic is an example, how the chapter plan it and was funded with USDA and ICDBG to finish construction.

**Comments/Questions:** Comment: Political issues, to include projects

**CDBG Response:** The program recommends the Nation as an applicant not to involve political influence or intervention in the ICDBG application process. This type of activity caused trouble to the grant application in the past. CDBG program strongly advise that this funding source is on competitive basis. It's not a Navajo set-aside; it's an Indian set-aside, which the tribes compete for. Each tribe has a ceiling limit based upon their population.

**Comments/Questions:** Is the chapters' preliminary payment of ROW account as leverage?

**CDBG Response:** Yes, for a powerline activity provided that it's paid in full.

**Comments/Questions:** Is non-cash acceptable for leverage?

Public Hearing for FY'2016  
Indian Community Development Block Grant (ICDBG) Program  
Pinon Chapter House November 13, 2015  
2<sup>nd</sup> Page

**CDBG Response:** Yes, if it's going to be submitted within 6 months after submitting the proposal.

**Comments/Questions:** Is bonus points to be included in chapter proposals?

**CDBG Response:** Yes, only for the preferred Sustainable Community zone within Apache and Navajo county. This is a new HUD requirement.

**Comments/Questions:** Is the number of project requests limited from each chapter?

**CDBG Response:** No limitation but at the end, with project scoring high is recommended, if fundable meaning it met the requirements.

The CDBG Program hereby attests that the above public comments as transcribed from notes and minutes that are true and accurate to the best of the program staff ability and knowledge.

  
\_\_\_\_\_  
CDBG Program

March 10, 2016

**COMMUNITY DEVELOPMENT BLOCK GRANT**  
**FY-2016 Public Hearing**  
**Chinle, Fort Defiance, and Western Agencies - Pinon Chapter**  
**Friday, November 13, 2015**

No.	Name	Chapter/Organization	Email Address	Phone No.
1	Joey Apachee	Steamboat	joe.yapachee@yahoo.com	928 736 2631
2	Valerie Kelly	Tolani Lake	vkelly@navajochapters.org	928 686 3285
3	Tony K. Watchman	Fort Defiance	tkwatchman@navajochapters.org ftdefiance@navajochapters.org	928-729-4352 PH 928-729-4353 FAX
4	Caroline Bemore	Black Mesa	cbemore04@yahoo.com	928-309-9819
5	Paula Spang	Sailefithatfields	paula@navajochapters.org	928-724-2220
6	Marlene Biltah	Black Mesa	mbiltah@hotmail.com	928-257-0041
7	Veronica Hardy - Becenti	Tuba City Regional Health	veronica.hardy@tchealth.org becenti@tchealth.org	928 283 2797
8	Harry Begay, Jr.	TCDO - NTUA	harryb@ntua.com	(800) 528-5011
9	Willette Edwards	TCDO - NTUA	wedwards@ntua.com	18005285011
10	Larry Biltah	Black Mesa Chapter	LBiltah51@gmail.com	928-383-4543
11	Danny Francis	Many Farms Cyst.	manyfarms@navajochapters.org	928 281-3610
12	Eddie J. Arthur	DDI Many Farms, AZ	ejarthur3614@yahoo.com	(928) 255-2668 cell
13	Benson Mitchell	Tolani/Cottonwood Chapter	tsengineeringtech@gmail.com	(928) 725-3765
14	Shannon Burnette	NTUA-ESPS	shannonb@ntua.com	928-729-6248
15	Darlene Begay	NTUA - Ky Dist.	dbegay@ntua.com	928-729-4716
16	Louella Chee	NTUA ESP	louella@ntua.com	928 729-4685
17	Gilbert Chee	Lemp WNA Veterans	Gilbertchee@gmail.com	702-252-2892
18	Al Page Tinshorn	CM/Kayenta	eagle12755@hotmail.com	928.697.5520
19	Marlene Hoskie	ASC - Region 9	mhoskie@nndcd.org	928-7253756



COMMUNITY DEVELOPMENT BLOCK GRANT  
FY-2016 Public Hearing  
Chinle, Fort Defiance, and Western Agencies - Pinon Chapter  
Friday, November 13, 2015

No.	Name	Chapter/Organization	Email Address	Phone No.
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COMMUNITY DEVELOPMENT BLOCK GRANT  
FY-2016 Public Hearing  
Chinle, Fort Defiance, and Western Agencies - Pinon Chapter  
Friday, November 13, 2015

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## FY- 2016 Indian Community Development Block Grant

# PROGRAM GUIDANCE

“To develop viable Navajo communities principally for persons of low and moderate income”



Community Housing & Infrastructure Department (CHID)  
DIVISION OF COMMUNITY DEVELOPMENT

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**THE NAVAJO NATION**  
**Division of Community Development**

**COMMUNITY DEVELOPMENT BLOCK GRANT**  
***Fiscal Year 2016 Public Hearing***

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**EXHIBITS:**

- A. Organization Chart
- B. Application Process Flow Chart
- C. Form B/Demographic Sample Form
- D. Life Cycle of ICDBG Grant
- E. Public Hearing Notice – FY-2016
- F. Proposal Guideline/Sample Proposal
- G. Proposal Checklist
- H. Project Planning/Construction Outline

COMMUNITY DEVELOPMENT BLOCK GRANT  
*Fiscal Year 2016*

**I. OVERVIEW AND PURPOSE**

**A. Introduction**

Overview of this information packet is to serve as a reference guide for Chapter communities and the general public in preparing their project proposal for the Indian Community Development Block Grant FY-2016 funding cycle. Contained in this packet are the Federal Statutory and Regulatory requirements including proposal guidelines.

**B. Purpose**

Pursuant to 24 CFR 1003.604, Citizen Participation, the CDBG Program is responsible to provide information to the public for Indian Community Development Block Grant application requirements and program information. Citizen Participation process includes providing the following:

1. Information on the amount of funds available and eligible activities.
2. Information on community development and housing needs from the citizens.
3. Develop and publish or post community development statements for public comments.
4. Afford citizen's review and comments on the CDBG program performance.

**C. Structure of Navajo CDBG**

1. Organization Structure: Navajo Nation and CDBG Department (Exhibit "A").
2. Seven (7) Regions of HUD/Office of Native American Programs throughout U.S.; Navajo Nation is under the Southwest Region (9) in Phoenix, AZ.
3. ROLE is to: Administer the CDBG program consistent with guidelines, interpret rules governing CDBG program, provide technical assistance on proposal writing, apply for CDBG grants, keep the Nation abreast of latest development on CDBG at the national level including rule changes, etc.

**II. HISTORY AND BACKGROUND**

1. Title I of the Community Development Act of 1974, as amended, established the National CDBG Program under 24 CFR 1003.
2. Incepted in 1976 under Navajo Nation Office of Program Development.
3. Indian CDBG Program and Indian set-aside was established in 1978.
4. Maximum ceiling grants amount were imposed in 1981 at \$5.0 million. Current ceiling limit was increased for the Navajo Nation to \$5.5 million in 2003.

**III. PROGRAM REQUIREMENTS**

**A. Program Objective**

"To develop viable communities by creating decent housing, suitable living environment, and expanding economic opportunities, principally for low and moderate income families."

**B. Nature of the Program**

1. Program is very competitive and is governed by strict Federal/HUD regulations.
2. Each activity is rated on a (100) point scale and only those that rank high are selected for funding. Under FY-15, 29 proposals totaling more than \$25.3 million were submitted by chapters and 9 were recommended to HUD for funding in the amount of \$5.5 million.
3. The numbers of proposals are limited to the grant-winning projects that score the highest on the 100-point system.
4. Total CDBG request amount including Administrative Cost cannot exceed \$5.5 million current ceiling limit.
5. The key objective is to win maximum points for the Navajo Nation, CDBG Grant funds are awarded on competitive basis by HUD.

**C. Eligible Activities**

As outlined in the NOFA, the following are eligible activities for the eligible Indian Tribes:

1. *Public Facilities and Improvements* – Infrastructures, (i.e., powerlines, water and wastewater, solid waste facilities and road projects), Buildings, (i.e., multipurpose buildings, preschool, senior centers). Chapter House and other buildings used for governmental and political purposes are not eligible.
2. *Economic Development* – Economic Development activities require a more detailed requirement including an organizational system, capacity, feasibility, market analysis, financial viability of the projects. Other supporting documentations should include: Articles of Incorporation, Business Operating Plan, detailed cost summary for the development, five year operating financial projections, etc.

**D. Eligible Applicants**

1. Indian Tribes recognized by the U.S. Department of Interior (approximately 171 in the Southwest Region). Only one grant-application per Tribe is allowed.
2. Navajo Nation (eligible as an applicant)
  - a. All 110 Chapters
  - b. NON-Profit entities serving the Navajo Nation (eligible under regulatory requirements).

**E. Program Accomplishments**

1. To date, HUD has awarded the Nation with over \$139 million and has successfully carried out over 390 projects.
2. Current grants/projects: 4 grants (FY-2009/2010/2011/2012), total 5 projects @ \$6.4 million to assist 151 households with water and electrical services.

**F. Sources and Size of Grants**

1. Indian CDBG receives 1.5% of National set-aside per Congressional Act – Total ICDBG set-aside for FY-2015 was \$58.8 million of which Southwest Region received \$20.9 million.
2. ICDBG are Tax dollars and federal grants (non-repayable).



3. Grant ceilings are established in NOFA according to 24 CFR 1003.100 (b) (1). Limits are currently based on population of tribes. Navajo Nation is eligible to submit an application up to \$5.5 million.

#### **IV. PROPOSAL PROCESS AND REQUIREMENTS**

##### **A. NOFA Outline**

Notice of Funds Availability (NOFA) is published yearly in a Federal Register and provides the following information:

1. Amount of funds available
2. Application process and deadline for electronic submission to Grants.gov
3. Rule changes from previous NOFA
4. Selection criteria for eligible projects

##### **B. Proposal/Application Process (Exhibit "B")**

NOFA is issued by U.S. Department of Housing and Urban Development not less than thirty (30) days before the application due date.

1. CDBG reviews and prepares proposal schedules and packet.
2. Public Hearings are conducted throughout the 5 Agencies within the Navajo Nation.
3. Proposals received are rated and ranked for funding consideration.
4. ICDBG Application is prepared and submitted by the due date.

##### **C. Proposal Submission Requirements**

Proposal for eligible activity is to be received no later than the due date. The following components are required.

1. Project achievable within two (2) years from grant award date.
2. Activity determined feasible by cooperating agency (NTUA, IHS, DES, etc.) and is on their priority list for construction, commitment of assuming maintenance & operation (O&M). Otherwise, applicant must provide a viable O&M plan.
3. Firm cost estimate is provided by a qualified estimator under a cooperating agency.
4. Applicant has secured contributions (non-CDBG matching) of at least 25% of total cost of activity being undertaken. Pre-incurred contributions maybe considered ineligible.
5. Pre-construction tasks have been cleared or completely financed. Only construction funds are being requested to CDBG in achieving the intended purpose of the project.

**NOTE:** Pre-construction activities pertain to archaeological clearance, biological surveys, environmental assessment, rights-of-way, design and engineering for proposed activities, and house wiring for power line.

6. Proposal content is based on criteria of the latest CDBG NOFA and supported by the applicable documents listed below:
  - Current Chapter Resolution supporting the proposed activity.
  - Survey or CDBG Form B (Participant Income Data). (Exhibit "C")
  - Verification of matching funds: Resolution is required if using chapter/tribal funds and letter of commitment for contributions coming from non-tribal entities.

- Map on project location, floor plan, schematic drawings, etc.

## **V. CRITERIA AND RATING REQUIREMENTS**

### **A. Screening Criteria**

1. Proposal met deadline – Hand carried or postmarked by due date.
2. Proposal completeness – All components are met and attached.
3. Eligible Activity – as prescribed in Section II C.
4. Eligible Applicant – as prescribed in Section III D.

### **B. Rating Committee**

A Proposal Evaluation Team (PET) is established for each funding cycle to rate and rank the proposals. The rating team members consist of, but not limited to, representatives from the following:

1. Indian Health Service
2. Navajo Tribal Utility Authority
3. Abandoned Mine and Lands
4. Capital Improvement Office
5. Design and Engineering Services Department
6. Other entities

### **C. Rating/Ranking Criteria**

Each proposal will be rated according to the criteria identified in the rating category component for maximum possible points of 100. The following is point award summary for Public Facilities and Improvements (Infrastructure) activity.

1. Capacity of the applicant (30) – Staff capacity, Project Implementation Plan/Schedules (180 days Project is underway from Grant award date), Financial Management, Audits, Procurement and Contracts, Past Performance.
2. Need/extent of the problem (19) – Meets essential community needs (outcome), benefits low/moderate income families.
3. Soundness of approach (33) – Scope of work, project description, cost effectiveness, O/M plan, etc. Maintenance, Repairs, Replacements. Insurance & security not required for Infrastructure.
4. Leveraging resources (8) – Matching funds. 25% or more of non-CDBG source.
5. Comprehensive and Coordination (10) – Planning system, coordination and support with other entities, measurable outputs and outcomes that will enhance community viability, i.e. job created, job training, opportunities, business assisted, reduction in substandard housing, increase income, quality of life, economic opportunities, etc.

## **VI. RESPONSIBILITIES**

### **A. Applicant Responsibilities (Chapter & Non-Profit Entities)**

1. Applicant is responsible to attend and be informed of current CDBG rules and regulations by attending Public Hearings and/or obtaining a copy of the proposal packet.
2. Preparation of proposal should be based on CDBG Proposal Format and Guidelines.

3. Coordinate groundwork with appropriate agency i.e., IHS, NTUA, etc. to ensure project is feasible and on priority list.
4. Secure and verify non-CDBG resources.
5. Adopt resolution demonstrating community support of the project.
6. Request CDBG for technical assistance.
7. Submit a completed proposal on time.
8. Submit additional information when requested.

**B. CDBG Responsibilities**

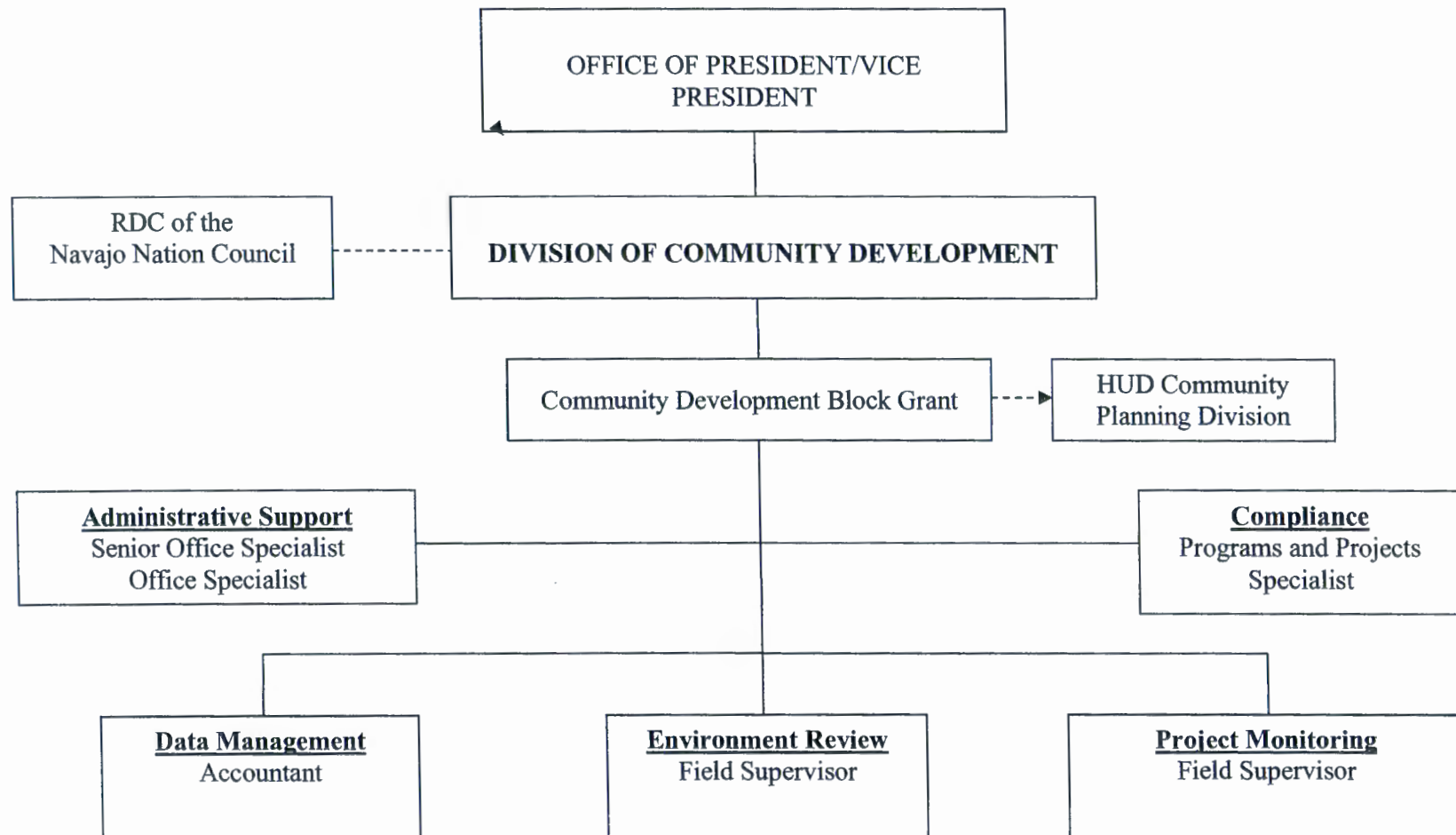
1. Inform Navajo Nation citizens of current rules and regulations by providing information in a public forum or public hearing setting.
2. Establish Proposal Evaluation Team consisting of IHS, NTUA, AML, CIO and other development entities.
3. Request and obtain additional information from chapters and entities.
4. Compile and submit an application for recommended projects that will receive maximum funding level.
5. Administer and manage projects on behalf of the Navajo Nation.
6. Provide training and technical assistance to chapters in project management, proposal development, project implementation, etc.



# EXHIBIT

“A”

**THE NAVAJO NATION  
ORGANIZATION CHART  
COMMUNITY DEVELOPMENT BLOCK GRANT**



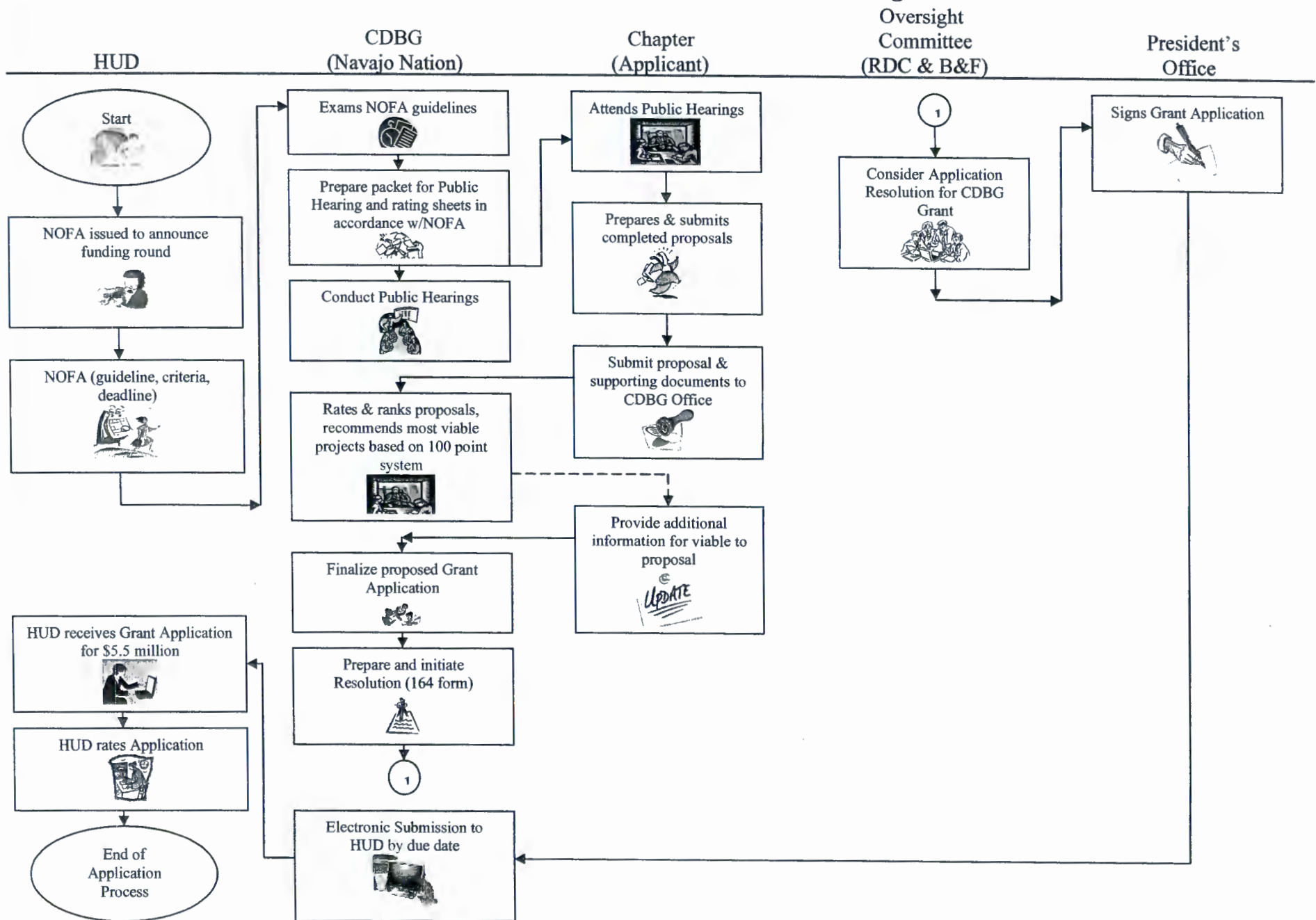
# EXHIBIT

“B”



# CDBG Program

## Application Process for CDBG Funding



# EXHIBIT

“C”

## County:

[illegible]



**Navajo Nation  
Community Development Block Grant Program**

Income Survey # \_\_\_\_\_

Date: \_\_\_\_\_

Interviewer: \_\_\_\_\_

\_\_\_\_\_ Chapter is applying for Indian Community Development Block Grant funds for powerline extension. The project will provide a reliable powerline/waterline service for future community development. This project will benefit the \_\_\_\_\_ community households.

In order to consider applying for funds, we need your help in answering a few questions about the number of individuals living in your household and your income for the past 12 months. This information will be kept confidential.

1) How many individuals live in this household? \_\_\_\_\_

2) What is the ethnic breakdown of family members?

White

Black

Hispanic

Native American or Alaskan Native

Asian or Pacific Islander

Other

3) Was the total combined family income for the last 12 months above or below:

Family Size	1	2	3	4	5	6	7	8
Income Level								

\_\_\_\_\_ County – HUD income limits

Above \_\_\_\_\_

Below \_\_\_\_\_

I have no more questions. Thank you for your assistance.

# Navajo Nation Community Development Block Grant Program

(SAMPLE)

Income Survey # 5

Date: JAN. 15, 2014

Interviewer: John Doe

Sheephill Chapter is applying for a Community Development Block Grant (CDBG) for electric utility project. The project will accommodate the High School and the Multipurpose Facility project which have been funded and are ready for construction. In addition, the project will accommodate a proposed convenience store, future scattered homes along the utility line and the future community development sited identified in the Sheep Hill land Use Plan. This project will benefit the entire community.

In order to consider applying for funds, we need your help in answering a few questions about the number of people living in your household and you income for the past 12 months. This information will be dept confidential.

- 1) How many people live in this household? 3
- 2) What is the ethnic breakdown of family members?
- White \_\_\_\_\_
- Black \_\_\_\_\_
- Hispanic \_\_\_\_\_
- Native American or Alaskan Native ✓
- Asian or Pacific Islander \_\_\_\_\_
- Other \_\_\_\_\_

- 3) Was the totaled combined income for the last 12 months above or below:

Family Size	1	2	(3)	4	5	6	7	8
Income Level	\$22,400	\$25,600	\$26,800	\$32,000	\$34,550	\$37,700	\$38,700	\$42,250

NAVAJO County – HUD Income Limits

Above \_\_\_\_\_

Below ✓

I have no more questions. Thank you for your assistance.

7/2003

## **SUGGESTED PROCEDURES FOR CONDUCTING A SAMPLE SURVEY TO DETERMINE WHETHER THE MAJORITY OF PERSONS IN A TARGET AREA HAVE LOW-AND-MODERATE INCOMES**

### **INTRODUCTION**

This document was prepared by the Community Planning and Development's Office of Program Analysis and Evaluation to assist staff in HUD/s Field Offices, Status, and localities to develop to low-and-moderate income benefit. In this paper, we assume that State or local CDBG staff without substantial research background will use survey research techniques to make this determination, and we identify the basic techniques for conducting a sample survey that will yield acceptable levels of accuracy.

The purpose of a sample survey is to ask questions of a portion of the population in order to make estimates about the entire population. If we ask proper questions of a randomly drawn sample of adequate size, we can be reasonable sure of the degree of accuracy of our overall estimates. In the survey that is discussed here, we are seeking to determine one thing – whether at least 51% of the persons living in a target area have low-and-moderate incomes.

The remainder of this paper is divided into six major sections, each of which discusses a difficult step in administering the survey. In order to obtain accurate results, it is necessary to complete each step properly. You must ask the right questions of the right people and interpret their answers correctly.

While this paper will assist people without a background in survey research in conducting a successful survey on income, we would recommend trying to locate a source of experienced guidance before proceeding. For example, if there is a local college, a professor might be persuaded to conduct the survey as part of a course. At a minimum, perhaps such an individual or someone with a social science background in a county or area wide planning office would be willing to comment and make recommendations on key parts of your procedures.

### **STEP 1: SELECTING THE TYPE OF SURVEY**

Any type of survey that fulfills the criteria discussed below can be used to determine whether an area qualifies as low-and-moderate income. The most commonly used surveys for this application are: (a) telephone surveys (b) door-to-door surveys (c) mail surveys.

**Telephone Surveys** are relatively easy to conduct. An interviewer just needs to call up, identify the head of the household or someone competent and knowledgeable enough to answer for the head of household, and proceed with the interview. However, the steps that must be taken before you reach the point of telephoning many prove difficult. In a telephone survey, you must acquire the telephone numbers of all the households in your target area and devise a method for contacting households without telephones or those with unlisted numbers. It may be preferable to sample door-to-door in small target areas, such as a neighborhood or small town, where it may be difficult to find a list of telephone numbers that identifies everyone in the area while excluding everyone outside the area.

**Door-to-door surveys** involve a little more work - - the interviewers must actually go outside, knock on doors, and do the "leg work" necessary to obtain interviews. However, in small areas this type of



survey may be the easiest because you can define the target area by its geographic boundaries and develop procedures for sampling within those boundaries so that no list of the households in the area is needed beforehand.

**Mail surveys** may be the easiest of all. You need a list of all the addresses in the target area, a questionnaire, and postage. However, mail surveys usually yield a very low rate of response, which means a low degree of accuracy. Also, provisions must be made to provide non-English-speaking residents with a questionnaire in their own language. Thus, for estimating low-and-moderate income benefits, we do not recommend this type of procedure, unless you include in your mailing a stamped self-addressed return envelope and count on doing at least one follow-up letter or telephone call to encourage everyone to respond.

Of course, it is possible, and sometimes quite useful, to combine these types of surveys. For example, if in a door-to-door survey you find that someone is not home you can leave a note for them to telephone the interviewer. Or you can use the telephone to schedule a time when an interviewer will call at the door to conduct an interview. Similarly, you can mail a letter to residents of the target area to let them know in advance when an interviewer will call or visit.

## **STEP 2: DEVELOPING A QUESTIONNAIRE**

It is important that all of the individual interviewed are asked exactly the same questions and that their responses are recorded correctly. To ensure this, you need a written questionnaire, and you need to have your interviewers write down on each questionnaire the exact responses of each respondent. Each question should be clear, written in simple language, and convey only one meaning. It is usually best to test a draft questionnaire on a few people to ensure that they understand the questions as you think you are writing them.

The central question in this survey is whether the household being interviewed has an income that is below the low-and-moderate income level for households of the same size. We recommend when door-to-door interviewing that the interviewers carry with them a set of cards, one card each for the household sizes to be considered. On each card should be written the figure for the low-and-moderate income level for a household of that size. For example:

**TABLE A**  
**Illustration of Income Cards**

<b>Card Number</b>	<b>Numbers in Household</b>	<b>Low/Mod. Earnings Level</b>
1	1	19,800
2	2	22,650
3	3	25,450
4	4	28,300
5	8	30,050
6	9	31,850
7	10	33,600
8	11	35,400

In proceeding, the interviewer first should make contact with someone who is qualified to speak for the household. After making contact with the head of the household, the spouse of the head household, or someone in the household who is mature and knowledgeable about household income, the interviewer

should introduce him/herself, identify the purpose of the study, and solicit the participation of the respondent.

An adequate questionnaire must be able to provide answers to at least the following two questions:

1. How many people live in your home? (Record Number)
2. If the interview is being conducted in person, the interviewer then finds the card for the household size of the respondent, and hands it to the respondent, and asks, "Would you tell me whether, during the past twelve months, the total income of all members of your household has been above or below the figure noted on this card?" (Record above or below) Note that the interviewer should be prepared to provide a consistent answer to the question, "What should I include as income?"

If the interview is being conducted by telephone, a card obviously cannot be used, and the interviewer should make reference to the income level that is the threshold for a household of the size of the respondent's. For example, if there are three persons in the respondent's household you might ask, "During the past 12 months, was the total income of your household less than or more than \$25,450?"

While the necessary questions are brief and simple, there are some additional factors to take into account when designing this questionnaire. First, the questions used in the survey cannot be "loaded" or biased. In this particular case, the interviewer may not imply that the neighborhood will benefit or receive Federal funding if respondents say that they have low incomes. The questions must be designed to determine truthfully and accurately whether respondents have low-and-moderate incomes. It is permissible to note that the reason for the survey is to gather information essential to support an application for funding under the CDBG program or to undertake a CDBG-funded activity in the area.

Second, you should bear in mind that questions about income are rather personal. Many people are suspicious or reluctant to answer questions about their incomes - - especially if they do not see the reason for the question. A good way to handle this problem is usually to put questions about income at the end of a somewhat longer questionnaire on other community development matters. In this instance, a local agency can use this questionnaire to gather some information on what the neighborhood sees as important needs or to gather feedback on some policy or project. At the end of such a questionnaire, it usually is possible to ask questions on income more discreetly. If this option is chosen, however, the interviewer should be cautioned that an excessively lengthy questionnaire might cause respondents to lose interest before it is over. The ideal length here would probably be less than ten minutes, although certainly you could develop an even longer questionnaire if it were necessary.

Of course, it is possible to ask only the critical questions on income. You should know best how people in your community would respond to such question. With a proper introduction that identifies the need for the information, you can generate an adequate level of response with just a two-question questionnaire on income level.

### **STEP 3:      SELECTING THE SAMPLE**

In selecting a sample of households to interview so that you can estimate the proportion of all individuals who have low-and-moderate income, there is a series of steps that must be taken. First, you must define the group whose characteristics you are trying to estimate. Then you must determine how many households in that group must be sampled in order to estimate the overall characteristics accurately. Next you must make some allowances for households who, for whatever reason, you will

not be able to interview. And finally, you must actually select the household where you will try to interview. This section discussed each of these steps.

**Defining the Universe.** In sampling, the large group whose characteristics you seek to estimate from a sample is known as the universe. If you are trying to determine the proportion of households in a neighborhood with low-and-moderate incomes, that neighborhood is the universe. Instead of a neighborhood, the universe may be a town, it may be as large as a county, or it may be defined some other way. (For purposes of the CDBG program, your universe will be the area that is to be served by a CDBG-funded project.) Before you can draw a sample, you must clearly define what area you want the sample to represent. Let us assume here that the universe is a neighborhood that contains about 400 homes. You will sample from the 400 households residing here so that you may make estimates about the incomes of all the residents of these households.

When you have defined your universe, you next need a method of identifying the individual members of that area so that you can sample them. Ideally, for a given neighborhood, you would have a list of every person living in the neighborhood and perhaps their telephone numbers. Then you would devise a procedure to select randomly the persons you wanted to interview. In reality, you will not have such a list available and you probably will not even have a list of all of the households in the neighborhood, so you will have to improvise a little. One way would be to go to the neighborhood and randomly select which homes to go for an interview - - the advantage of this method is that the houses are there, so you can go right to them instead of using a list. After collecting the information on the various households, you then can make some estimates about the number of people in the neighborhood and their incomes.

For larger areas where travel costs are higher, it may not be practical to go door-to-door and a list of some sort may be absolutely necessary. City indexes, if available and up-to-date, usually provide the best source of household information suitable for sampling. Telephone books may be adequate, but keep in mind that you will miss people without telephones or with unlisted numbers. Also, telephone directories usually will have far more people listed than those who are in your defined universe, so you will need to work to eliminate those outside of your target area. Tax rolls generally identify building addresses, whereas in the case of apartment buildings you are interested in the individual apartments. You can use tax rolls to identify addresses to go to in order to get an interview, but you cannot use them as the basis of a mail or telephone survey (unless you have access to a telephone directory that identifies telephone numbers by property address.)

**How big a sample?** After you have defined your universe and identified a method for identifying individual households in the universe, you must next determine how many households to select. Assuming that you develop procedures whereby every household in your target area has an equal chance of being included in your sample, you can use Table B below to determine how many households you need to interview to develop a survey of acceptable accuracy.

The first column of Table B presents sizes of neighborhoods you may be interested in. The second column shows about how many households you need to interview from a neighborhood of the size indicated in the first column. This paper uses the hypothetical 400 household neighborhood to illustrate the use of this table. Looking down the column that says "Number of households in the Universe," you find 400 is covered by the "300-650" line. Reading across this line, you see that the sample size required to generate an acceptable level of accuracy is about 250. (See the attached Appendix B for a discussion of how these sample sizes were determined.)



**TABLE B**  
**REQUIRED SAMPLE SIZES FOR UNIVERSES OF VARIOUS SIZES**

Number of Households in the Universe		Sample Size
From:	To:	
1	55	50
56	63	55
64	70	60
71	77	65
78	87	70
88	99	80
100	115	90
116	138	100
139	153	110
154	180	125
181	238	150
239	308	175
309	398	200
399	650	250
651	1,200	300
1,201	2,700	350
2,701	Or More	400

**Unreachable and Other Non-Responses.** It is important to realize that the sample sizes suggested in Table B indicate the number of interviews that you need to complete, and not necessarily the size of the sample you need to draw. There is almost always a difference. No matter what you do, some households just will not be home during the time you are interviewing, some probably will refuse to be interviewed, some will terminate the interview before you finish, and some will complete the interview, but fail to provide an answer to the key question on income level. In order to be considered an adequate response, the interview must be conducted, and you must obtain complete and accurate information on the respondent's income level. Table C suggests some of the usual rates of response to the expected by a variety of surveys.

**TABLE C**  
**EXPECTED RESPONSE RATES FOR DIFFERENT TYPES SURVEYS**

Survey Type	Expected Rate of Responses
Mail	25-50%
Mail, with letter follow-up	50-60%
Mail, with telephone follow-up	50-80%
Telephone	75-90%
Door-to-Door	75-90%

According to Table C, if you were doing a door-to-door sample to obtain 250 interviews in the 400 households neighborhood, you should anticipate that you would need to actually try to interview between 278 and 333 households (250 divided by .75 or .9). Thus, if you were drawing a list from whom to seek interviews, one way to deal with non-response is to over-sample - - list about 300 households and assume you will interview 250. In door-to-door surveys, it usually is possible to replace unreachables, by trying to obtain an interview next door to the household actually sampled.

**Drawing Samples.** In sampling you are looking at a portion of everyone in a group and making inferences about the whole group from the portion you are looking at. For those inferences to be most accurate, everyone who is in the group should have an equal chance of being included in the sample. For example, if you are sampling from a list, using a random numbers table (one is included as Appendix C) will provide you with a highly random sample. In using a random numbers table, you take a list of your universe and draw from it according to the table. If for example, the first three random numbers were 087,384, and 102, then you would go through your universe list and take the 87<sup>th</sup>, 384<sup>th</sup>, and 102<sup>nd</sup> households to try to interview. Continue until you have achieved the desired sample size.

As indicated above, when sampling from a list, you should over-sample. Then, if you encounter unreachables, you should replace them with households from the over-sample list in the order they were selected. For example, if you drew a list of 300 households in an effort to obtain 250 interviews, the first household you write off as "unreachable" should be replaced by the 251<sup>st</sup> household sampled.

Achieving a purely random sample can be costly, so sometimes it is acceptable to take some shortcuts. If you do not have a list of all the households in a target area or group you are trying to measure, but you know the geographic boundaries of the target area, you might randomly select a point at which to start and proceed systematically from there. In the hypothetical 400 household neighborhood, for example, in trying for 250 interviews, you would need to interview every 1.6<sup>th</sup> household (400 divided by 250) to ensure that you would cover the entire neighborhood. In whole numbers, this works out to about 2 of every 3 households. Therefore, you would start at one end of the neighborhood and proceed systematically through the entire neighborhood trying two doors and then skipping one. Any households that were selected by this procedure, at which an interview was not possible, could be replaced by the next household you would have skipped. If the sample size called for you to sample one of every six households, you could draw a random number from one to six and start at that household and every sixth household after it, and replace unreachables with every third household in the six household groups.

You will achieve more accurate estimates if you are not too quick to write off a household as unreachable. You are most certain of randomness if you obtain interviews from the households you selected first. Thus, if you are doing a door-to-door survey, you probably should make two or more passes through the area (possible at different times) to try to catch a family at home. Frequently they will be busy, but will say that they can do the interview later - - you should make an appointment and return. Only after a least two tries or an outright refusal should a sampled household be replaced. With a telephone survey, at least three or four calls should be made before replacing a household.

#### **STEP 4: CONDUCTING THE SURVEY**

To carry out the survey, you have to reproduce sufficient questionnaires, recruit and train interviewers, schedule the interviewing, and develop procedures for editing, tabulating, and analyzing the results.

**Publicly.** To promote citizen participation in your effort it may prove worthwhile to arrange some advance notice. A notice in a local newspaper or announcements at churches or civic organization can let people living in your target area know that you will be conducting a survey to determine area income levels. If you let people know in advance how, when, and why you will contact them, usually they are most willing to cooperate.



As all aspects of the survey and questionnaire, any publicly must be worded so that it does not bias the results. For example, it is fine to say that the community is applying for a CDBG grant and that, as part of the application, the community has to provide HUD with current estimates of the incomes of the residents of the target neighborhood. It is not appropriate to say that, in order for the community to receive the desired funding, a survey must be conducted to show that most of the residents of the target area have low-and-moderate incomes.

**Interviews.** Anyone who is willing to follow the established procedures can serve as an interviewer. It usually is not necessary to go to great expense to hire professional interviewers. Volunteers from local community groups will serve well. Also, schools or colleges doing courses on civics, public policy, or survey research frequently may be persuaded to assist in the effort as a means of providing students with practical experience and credit.

Generally, it is best if interviewers are chosen to make the respondents feel most at home. For this reason, survey research companies often employ mature women as their interviewers. When interviewers are of the same race and social class as the respondent, the survey usually generates a better response rate and more accurate results. What is most important, though, is that the interviewer will command the attention of the respondent, as the questions as they are written, follow respondent selection procedures, and write down the response as given.

**Contact and Follow-Up.** Interviewers should attempt to contact residents at a time when they are most likely to get a high rate of response by most types of people. Telephone interviews usually are conducted early in the evening, when most people are home. Door-to-door interviews also may be conducted early in the evening (especially before dark) or on weekends. Interviewers should try again at a different time to reach anyone in the initial sample who is missed by this initial effort.

In general, you should know best the residents of your community and when they can be reached. What you should avoid is selecting a time or method that will yield biased results. For example, interviewing only during the day from Monday to Friday probably will miss families where both the husband and wife work. Since these families may have higher incomes than families with only one employed member, your timing may lead to the biased result of finding an excessively high proportion of low-and-moderate income households.

Of course, in making contact with a member of the household, the interviewer first has to determine that the person being interviewed is knowledgeable and competent to answer the questions being asked. The interviewer thus should ask to speak to the head of the household or the spouse of the head of the household. If it is absolutely necessary to obtain an interview at the residence that is sampled, the interviewer may conduct an interview with other resident adults or children of at least high school age only after determining that they are mature and competent to provide accurate information.

As part of your questionnaire, or at least as part of your training of interviewers, you should develop an introduction to the actual interview. This should be a standard introduction in which the interviewers introduce themselves, identify the purpose of the survey, and request the participation of the respondent. Usually, it is also a good idea to note the expected duration of the interview - - in this case to let respondents know that the burden to them will be minimal.

You also should emphasize to respondents that their answers will be kept confidential - - people are more likely to give you honest answers if they will remain anonymous. You should do your very best to maintain this confidentiality. Usually, the respondent's name, address, and telephone number appear only on a cover sheet. After you complete the survey, you can throw away the cover sheet or at



least separate it from the actual interview. If you number both the cover sheets and the questionnaires, you can then match them up if absolutely necessary. What is important is that people will not just be able to pick up a questionnaire and see what the Jones family income is.

Interviewers also should follow the set procedures for replacing "unreachables" (as discussed above in Step3). If they must write off an interview they should not say, "Well, I was refused an interview here, so I'll go over there where I think I can get an interview." This replacement procedure is not random and will hurt the accuracy of your survey results.

**The Interview.** Interviewers should read the questions exactly as they are written. If the respondent does not understand the question or gives an unresponsive answer; it usually is best to have the interviewer just repeat the question. Questions should be read in the order in which they are written. The respondents' answers should be recorded neatly and accurately immediately as they are provided. At the end of the interview, and before proceeding to the next interview, the interviewer should **always** do a quick edit of the questionnaire to be sure that they have completed every answer correctly. This simple check helps to avoid the frustrating mistake of having gone to the time and expense of conducting the interview, but without getting the information you sought.

For the survey here being discussed on low-and-moderate income benefit, note that there may be an important exception to reading the questions in the same order every time. If you elect to include other questions, and if you place the questions on income at the end, it is possible that a willing resident will end the interview before you get to the critical question. If it appears to the interviewer that the respondent is about to terminate the interview, it is recommended that he or she immediately try to get an answer to the critical income question.

**Editing.** Interviewers should turn their completed surveys in to the person who will tabulate and analyze them. That person should review each survey form to ensure that it is complete and that each question is answered once in a way that is clear and unambiguous. Questions or errors that are found should be referred to the interviewer for clarification. It may also be desirable to call back the respondent, if necessary, to clarify incomplete or ambiguous responses. Note that editing is an ongoing process. Even after you have started to tabulate or analyze the data, you may come upon errors, which you need to correct.

## **STEP 5: DETERMINING THE RESULTS**

After you have your data collected and edited, you need to add up numbers to see what you have learned. Actually, it is useful to think of this in two parts: (1) tabulating up the responses from the questionnaires and calculating on estimated proportion of low-and-moderate income persons; and (2) determining how accurate that estimate is. The first of these parts can be taken care of by completing the LOW-AND-MODERATE INCOME WORKSHEET, which is below.

**Tabulation.** For ease of processing, it may be desirable to enter the figures into a computer, if one is available. Personal computer packages such as dBase, Lotus 1-2-3, and SPSS are all easy to use in tabulating this type of data. Computers also make it relatively easy to check for accuracy and consistency in the data. However, you can perform the calculations by hand with a calculator. And you can process that data by putting it on a code sheet, by entering it on a manual spreadsheet, or just by flipping through the completed surveys. Regardless of how you process and tabulate the data, when you are finished you must be able to complete Part A of the LOW-AND-MODERATE INCOME WORKSHEET.

## LOW-AND-MODERATE INCOME WORKSHEET

### PART A. INFORMATION CONTAINED IN YOUR SURVEY

1. Enter the estimated total number of households in the target area. \_\_\_\_\_
2. Enter the total number of households interviewed. \_\_\_\_\_
3. Enter the total number of low and moderate income households interviewed \_\_\_\_\_
4. Enter the total number of persons living in the low and moderate income households interviewed. \_\_\_\_\_
5. Enter the total number of households interviewed in which the income was above the low and moderate income level. \_\_\_\_\_
6. Enter the total number of persons living in the households in which the income was above the low and moderate income level. \_\_\_\_\_

### PART B. CALCULATING BASED ON DATA CONTAINED IN YOUR SURVEY

7. Divide line 4 by line 3. (This is the average size of the low-mod household you interviewed.) \_\_\_\_\_
8. Divide line 6 by line 5. (This is the average size of non-low-mod household you interviewed.) \_\_\_\_\_
9. Divide Line 3 by line 2. (This is the proportion of households interviewed that have low-and-moderate incomes.) \_\_\_\_\_
10. Divide line 5 by line 2. (This is the proportion of households interviewed not have low-and-moderate incomes.) \_\_\_\_\_
11. Multiply line 1 by line 9. (This is the estimate of the total number of low-mod households in your target area.) \_\_\_\_\_
12. Multiply line 1 by line 10. (This is the estimate of the total number of low-mod households in your target area.) \_\_\_\_\_
13. Multiply line 7 by line 11. (This is the estimate of the total number of low-mod persons in you target area.) \_\_\_\_\_
14. Multiply line 8 by line 12. (This is the estimate of the total number of non-low-mod persons in your target area.) \_\_\_\_\_
15. Add line 13 and line 14. (This is the estimate of the total number of persons in your target area.) \_\_\_\_\_
16. Divide line 13 by 15 and multiply the resulting decimal by 100. (This is the Estimated percentage of persons in your target area who have low-and-moderate incomes. \_\_\_\_\_)

## PART C. INSTRUCTIONS AND EXPLANATIONS

The number that goes on Line 1 is something you needed to know before drawing your sample. In the course of your survey, you may have refined your original estimate. On Line 1, you should enter your current best estimate of the total number of households in the area. For the number of households interviewed, you actually want the total number of interviews with complete and as far as you can tell, accurate information on the income and size of household questions.

When you are completing Part A, be sure that the answers are logical. For example, the number on Line 4 cannot be smaller than the number on Line 3 (because every household must have at least one person). Similarly, the number on Line 6 cannot be less than the number on Line 5. Also note that the number on Line 34 plus the number on Line 5 should equal the number on line 2- every household is either low-and-moderate income or it is not.

Some examples for Part B. For purposes of illustration, assume that you estimated that the target area contained 650 households (Line 1). Assume that you interviewed 250 households (Line 2), of whom 130 had low and moderate incomes (Line 3). These low-and-moderate income households contained 450 persons (Line 4). The 120 households with incomes above the low-and-moderate income level (Line 5) contained 400 persons (Line 6). You would complete part B as follows:

- Line 7: If the households you interviewed contained 450 low-mod persons in 130 households, the number on line 7 would be about 3.46 ( $450/130$ ).
- Line 8: If the households you interviewed contained 400 non-low-mod persons in 120 households, the number on line 8 would be about 3.33 ( $400/120$ ).
- Line 9: If you interviewed a total of 250 households, 130 of which had low-and-moderate incomes, the number on line 9 would be about .52 ( $130/250$ ).
- Line 10: If 120 of the 250 households you interviewed did not have low-and-moderate incomes, the number on Line 10 would be about .48 ( $120/250$ ).
- Line 11: If your target area contained as estimated 650 households, and you interviewed 250, of which 130 had low-and-moderate incomes, the number on Line 11 would be about 338 ( $650 \times .52$ ).
- Line 12: Continuing with the example, Line 12 would be about 312 ( $650 \times .48$ ).
- Line 13: 3.46 persons per low-mod households times 338 low-mod households - - Line 13 would be about 1,169.
- Line 14: 3.33 persons per non-low-mod households times 312 non-low-mod households - - Line 14 would be about 1,039.
- Line 15: Total low-mod persons (1,169) plus total non-low-mod persons (1,039) - - Line 15 would be about 2,208 estimated total persons.
- Line 16: 1,169 low-mod persons divided by 2,208 total persons yields about .5294. Multiplied by 100, this gives an estimate that about 52.94 percent of the residents have low-moderate incomes.



**Analysis.** The estimate you reach for the proportion of residents who have low-and-moderate incomes will be just that - - an estimate. If you have done everything right, including random selection of the required number of households, the estimate should be reasonably accurate. If, using the procedures specified here you come up with an estimate of 55 percent or more of the residents of the target area having low-and-moderate incomes, you can be pretty sure that at least 51 percent of the residents actually have low-and-moderate incomes. You can skip over this section, and go down to STEP 6. On the other hand, if your estimate is that less than 51 percent of the people in the area have low-and-moderate incomes, the presumption is that the area is ineligible as a target area. This section and, in fact, the remainder of this paper, probable will not be of much use to you either.

This section is intended for use by those whose survey results indicate that somewhere between 51 and 54 percent of the residents of the target area have low-and-moderate incomes. If your estimates were in the 51-54 percent range, it is probable that a majority of all neighborhood residents have low-and-moderate incomes, but there is less certainty than if you came up with a higher proportion. The closer your estimate is to 51 percent, the less certain you become that the area is low-and-moderate income.

There are a couple of additional analyses you can make to help determine the extent to which your estimate of the proportion of low-and-moderate income residents is correct. First, compare the average size of low-and-moderate income households in your sample with the average size of above low-and-moderate income households. The closer these figures are to each other, the more confident you can be in your estimate. Thus, if you estimate that 53 percent of the residents have low-and-moderate incomes and you found in your sample that both low-and-moderate income families and above low-and-moderate income families had an average of 3.4 people, you can be pretty sure that it is a low-and-moderate income area.

A second simple calculation is to arrange your data into a table such as that outlined below as Table D. This table enables you to compare that distribution of family sizes of families with low-and-moderate incomes with those that are above low-and-moderate income.

In completing Table D, you would count the number of low-and-moderate income families in your survey that had just one person in the household. You would enter this figure under "number" across from "one." You would proceed to enter the number of low-and-moderate income families with two persons, with three persons, and so forth through the "nine or more" category. Adding up all the entries in this column, you enter the sum across from "total," which will be the total number of low-and-moderate income families from which you obtained interviews. Then, considering families that are above low-and-moderate income, you follow the same procedures to complete the "number" column for them. For each income group, dividing the number of one person families by the total number of families in that income group and multiply in by 100, yields the percent of that group that are in one-person households. You should fill in the "percent" columns, using this procedure. Each of the percent columns should fill in the "percent" columns, using this procedure. Each of the percent columns should total to 100 or so allowing for rounding errors.



**TABLE D**  
**TABLE FOR COMPARING THE DISTRIBUTION OF**  
**FAMILY SIZE BY FAMILY INCOME**

Number of Persons In the Family	Families with Low and Moderate Incomes		Families above Low and Moderate Income	
	Number	Percent	Number	Percent
One				
Two				
Three				
Four				
Five				
Six				
Seven				
Eight				
None or More				
<b>Total</b>		<b>100%</b>		<b>100%</b>

When you have filled Table D with your data, compare the percentages of the low-and-moderate income respondents with the percentages of the above low-and-moderate income respondents for each family size. The closer the distribution, the greater the degree of confidence you can give in your estimate of the proportion of persons with low-and-moderate incomes. For example, if among your low-and-moderate income group, 10 percent have one person, 40 percent have two persons, and 50 percent have three persons, and among your above low-and-moderate income group 12 percent have one person, 41 percent have two persons, and 47 percent have three persons, you would have a great deal of confidence in your estimate.

Consider a best-case scenario where you estimate that 51 percent of the residents have low-and-moderate incomes. You examine the distribution of household sizes according to Table D and find that in your sample 100 percent of your low-and-moderate income group had nine or more persons. (Yes, this would be a strange neighborhood.) This distribution would make it probable that your sample was badly distributed in favor of large above-lower income families and that without the sample error the actual distribution in the target area is that more than 51 percent of the residents have low-and-moderate incomes.

Third, after completing data collection, non-respondents should be briefly analyzed to determine that they were reasonably random. For example, you may want to tabulate the rate of response by street or block in the target area to see whether there are notable gaps in the coverage of your survey. You may want to examine the racial or ethnic background of your respondents and compare them with what you supposed to distribution to be. If you do not detect any major gaps in the coverage of your sample or any probable patterns in the characteristics of your non-respondents, you can be more certain of the accuracy of your estimates.

#### **STEP 6: DOCUMENTING YOUR EFFORT**

The results of your survey will indicate to you with a high degree of accuracy whether your target area is predominantly low-and-moderate income. People who may be auditing or evaluating the program may want to review the procedures and data you used to determine that your target area qualifies under the CDBG program regulations. You should therefore maintain careful documentation of the survey. The contents of that documentation are discussed here.

1. Keep the completed surveys. This will show that you actually did the survey and that you asked the proper questions.

It is best if each survey has a cover sheet that contains the information that identifies the respondent, such as name, address, and telephone number. Then, when the survey is complete, the cover sheets can be separated from the questionnaires. You can save the questionnaires as documentation of your work but you maintain the privacy of your respondents.

If you save the cover sheets and save them separately, this provides you with a record of who was contacted. If anyone wanted subsequently to verify that you had not made up that data, they could contact some of the respondents noted on the cover sheet and ask them whether, in fact, they had been contacted on such-and-such a date by such-and-such a person to discuss matters related to community development. The privacy of their original responses still is protected by this procedure.

2. Keep a list of the universe of households you sampled from and a list of the actual households sampled. This might be one list with the sampled households being checked once if they were sampled, and checked twice if they were interviewed. Replacement households should be noted toll. There should be some written documentation about the method you used to select households from the list for interviewing. Note that this is little different from keeping just the cover sheets, since it documents not just who was interviewed, but also who was not interviewed and how interviewees were selected.

If you did a door-to-door sample without starting from a universe list, you should have written down the procedures you used to select the sample, including instructions to interviewers for replacing sampled households who were not interviewed.

3. To the extent possible, you should retain your data. If you put the data onto a computer, keep a floppy disk with the data and programs you used to tabulate the results. If you do your tabulations from spreadsheets, retain the spreadsheets. If you just leaf through the questionnaires and count up responses and enter them into a table as you go, keep the tables with the raw data counts.

## **OVERVIEW OF STEPS IN A SAMPLE SURVEY**

### **Step 1: Selecting the Type of Survey**

- A. Decide whether it is best to conduct a telephone, door-to-door, or other survey. Be sure to consider your available manpower, the size of the sample you need, and the means you have available for identifying households to interview.

### **Step 2: Developing a Questionnaire**

- A. Write your questionnaire. Remember to keep the language as simple as possible. Avoid bias - - do not encourage particular answers. Include other questions, if you like, but make sure the survey does not take too long.
- B. Develop a standard introduction for your interviewers to use in approaching the respondents.

### **Step 3: Selecting the Sample**

- A. Define your universe. What is the area or population for which you are trying to estimate the portion of persons who have low and moderate incomes?

- B. Identify a procedure for identifying individual households in the target area. Obtain a complete list of residents, addresses, telephone numbers, or identify a procedure for selecting from all of the homes in the area.
- C. Determine the number of interviews you need to achieve an acceptable level of accuracy.
- D. Select your sample (or sample selection procedure). Make sure you can add households to replace refusals. Make sure that the entire universe is covered - - that is, that you have not excluded certain areas or groups of people.

#### **Step 4: Conducting the Survey**

- A. Select and train your interviewers. Make sure they are very comfortable with the questionnaire. Make sure they know the importance of randomness and how to select and replace individual households.
- B. Make contact with the sample. Write or phone and let them know you are coming. Or just knock on doors, if this is the procedure you select.
- C. Try (and again) where contact has not resulted in an interview.
- D. Replace households you have written off as "unreachable."

#### **Step 5: Determining the Results**

- A. Complete the low and moderate income worksheet. What is your estimated percent of low and moderate income residents? If your results are between 51 and 60 percent, does your data give you any reason to think that this is an over-estimation?

#### **Step 6: Documenting Your Efforts**

- A. Save the completed questionnaires - - preferably in a form that does not identify the respondents.
- B. Save a list of the respondents - - preferably in a form that does not identify their responses.
- C. Save a list of your sampling procedures - - this includes your universe list, your original sample, your replacements, your sampling method, and your replacement method.
- D. Save you data.

## APPENDIX A

### A RANDOM NUMBERS TABLE

This appendix makes reference to a two-page table of random numbers (Appendix C). It is just that - - each number there is random. You can use it going up, down, sideways, diagonally, and you can use any so column or combination of columns in drawing your random numbers. The following are some examples of how the enclosed table can be used.

**Example 1: Drawing a Sample of 5 of 10.** Assume that you have a listing of 10 households and you want to draw a random sample of 5 households. Look at Appendix C. Find the number "6" in the upper left hand corner. Let's start with the "6" and work down the column. The numbers we find are "6", "8", "9", "5", and "1". So from the list of 10 households, the sample of five would include the sixth, eighth, ninth, fifth, and first household.

**Example 2: Drawing a Sample of 5 of 100.** Start this time with "31" in the lower left hand corner of the table. Let's work across the bottom row from here, and take the numbers "31", "32", "37", "30", and "95". From the list of 100 households, our sample would include the 31<sup>st</sup>, 32<sup>nd</sup>, 37<sup>th</sup>, 30<sup>th</sup>, and 95<sup>th</sup> households on the list.

**Example 3: Drawing a Sample of 5 of 30.** start this time back in the upper left hand corner and start with the "6" and work across. The numbers in order are "6", "11", "60", "90", "89", "96", "2", "41", and "86". Notice that all of these numbers, except for 6, 11, and 2 are greater than 30. Just skip them until you find a number in your range, making sure that you don't select a duplicate number. Here you would sample the 6<sup>th</sup>, 11<sup>th</sup>, and 2<sup>nd</sup> household on your list and continue until you found two more (which would be the 15<sup>th</sup>, and the 25<sup>th</sup>).

**Example 4: Drawing a Sample of 5 of 300.** Start again with the "6" in the upper left hand corner. Since we need a three-digit number to cover the size of our universe list, we can use these three (or any three columns - - each number is random). Reading down from the "6 11", we see "6 11", "8 21", "9 93", "5 536", and "1 95". From the list of 300 households, then, you would take the 195<sup>th</sup> household (as well as how many more you needed - - the next four would be the 74<sup>th</sup>, 249<sup>th</sup>, 212<sup>th</sup>, and the 190<sup>th</sup>).



## APPENDIX B

### DISCUSSION OF SAMPLE SIZES

Sample of the sizes suggested in Table B on page 5 of this paper are intended to provide an estimate of the proportion of households that say they have low and moderate incomes that will be within  $\pm 5$  percent of the proportion that all households in the area would indicate if all were interviewed. Thus, if you interviewed 200 randomly selected households from a 350 households neighborhood and 70 percent indicated that they have low and moderate incomes, you could reasonable infer that if you interviewed all 350 households that between 65 and 75 percent of the households would say that they had low and moderate incomes.

In the survey being discussed in this paper, the confidence interval probably will be a little less than  $\pm 5$  percent. The method here is to estimate the proportion of **people** who are income eligible, not the proportion of **households**. Following the procedures outlined here will result in sampling a fraction of people that is approximately equal to the fraction of households that would be sampled by the following Table B (number of people sampled/total number of people = number of households sampled/total number of households). Other things being equal, if you increase the size of your universe and maintain the same sampling fraction, your confidence interval decreases.

Of course, in this application other things may not be equal. By sampling households as a cluster for gathering data on individuals, we are departing from a purely random selection of individuals. Thus, the actual confidence can be calculated only after the data actual are colleted and the variance on household size and income are analyzed. The actual confidence interval should be a little less than  $\pm 5$  percent. But we also included an "analysis" section in the paper to help in determining the extent to which it may be less than  $\pm 5$  percent.

# EXHIBIT

“D”

## THE LIFECYCLE OF THE ICDBG GRANT

### Notice of Funding Availability (NOFA)

Published in Federal Register, usually for 45 – 60 days – annually

Applications for single-purpose grants must be submitted by deadline (1003.300) (usually +/- 60 days from NOFA).

Date, time, method of submission, NOFA requirements are detailed in the NOFA.

More than 1 “project” can be included in an application; but the total grant amount cannot exceed the ceiling specified in the NOFA. The NOFA details project/application rating criteria.

HUD ONAP review period – requires 3 to 4 months – rating, ranking, selection (1003.303)

Must score at least 15 pts on Rating Factor 1, and at least 70 pts total, to be selected

Applications scoring high enough to use all available \$ are funded (1003.304).

Selected applicants must clear pre-award conditions before grant is offered – Applicant is allowed 30 days from pre-award letter to respond satisfactory. No time extension.

HUD offer a grant requests that the grantee return 2 copies of executed agreement within 30 days.

Special Conditions – must be cleared within timeframes of HUD ONAP award letter/grant agreement.

Non-ICDBG funding assurance – within 6 month of grant agreement

Environmental Release of Funds (ROF) by HUD ONAP – ASAP – but before irreversible construction activities – including bidder selection and/or contract execution.

Administrative, planning, A&E, environmental review costs can be incurred before Tribe provides the Request for Release of Funds (RROF) to HUD ONAP.

Other Special Conditions – as indicated in HUD ONAP award / offer of grant letter

Special conditions may limit funds that can be obligated.

Environmental Review Activities – 24 CFR Part 58 (Tribe acts as Responsible Entity, or RE)

Exempt activities – document in the Environmental Review Record (ERR) (per 58.34)

Categorically excluded activities – document in the ERR (per 58.35)

Request ROF if mitigation is triggered by 58.5 or 58.6 authorities.

ERR (per 58.38) for each project activity in any category must:

- Identify the preparation and RE concurrence/approval dates.
- Identify grant number and estimated cost of the activity.
- Identify regulatory basis for determination (citing Part 58 section).
- Bear original signature of RE approving official.
- Be maintained at a central ERR file location.

NEPA – covered activities – prepare Environmental Assessment (58.36).

RE (Tribe) determines no adverse impact = Finding of No Significant Impact (FONSI)

Tribe disseminates a public notice of FONSI determination, either by:

Newspaper publication – 15 day public comment period, or

Mailing/posting – 18 day public comment period.

Tribe also disseminates a Notice of Intent to Request Release of Funds (NOI/RROF)

7 or 10 days for public comment period, depending on publication or posting.

OR Tribe prepares a Combined FONSI – NOI/RROF – Same as FONSI comment period.

After expiration of public comment period – Tribe prepares/submits RROF &

Certification, form HUD – 7015.15 to HUD ONAP.

HUD must hold for 15-day public comment period after receipt.

If no comments, HUD ONAP issues Authority to Use Grant Funds, from HUD 7015.16.



Implementation Schedules, form HUD 4125 (anticipated 24-month implementation period)

Originally approved by HUD ONAP as a vital part of the original application.

HUD ONAP must approve program delays by approving Revised Implementation Schedule.

Tribe submits revised HUD-4125 and justification that cause (s) of delay is beyond Tribe's

Control – before the project fails more than 80 days behind schedule.

Cost Summary, form HUD-4123 (project budget, includes funds from all sources)

Approved by HUD ONAP in original application

HUD ONAP must approve significant changes

(Significant changes only move money from P&A to construction, or vice versa

(Re-allocate \$ between A&E, environmental, construction costs – no HUD approval required)

(It never hurts to check with HUD first RE: significance of budget change

Submit revised HUD-4123 and explanation of changes

Minority Business Enterprise Report, Form HUD-2516

Due to HUD ONAP by April 10 every year for 6-month period ended March 31

Due to HUD ONAP by October 10 every year for 6 month period ended September 30

Financial Reporting (required from Grant Agreement execution until HUD closes subject to audit)

Quarterly – Federal Cash Transaction Report, SF-272

Due to HUD ONAP 15 days after each calendar quarter

Annual – Annual Statement and Evaluation Report (ASER) (per 1003.506 (a))

Due to HUD ONAP 11/15 annually for each 12-month period ending 09/30

Annual Audit – required if grantee exceeds \$500,000 annual Federal expenditures

Program Amendments (1003.305) – Prior HUD ONAP approval required

Significant changes in scope, location, objective, or class of beneficiaries

Different requirements if request is less than vs. more than \$100,000

Amended application must score within the funding range of the most recently completed NOFA cycle

Grant Closeout

Closing documents – Due to HUD ONAP within 90 days after grant completion (1003.506)

Final Status & Evaluation Report (described at 1003.506(a))

Financial Status Report, SF-208-A (period from grant agreement – completion)

Closeout Agreement – format provided by HUD ONAP

Closeout Subject to Audit – HUD ONAP will advise of close date and balance to be audited

HUD ONAP will also advise at CSTA that reports are no longer required

Final Closeout – HUD ONAP will determine and advise – when all grant funds have been audited

Records Retention by Grantee – For 3 years after submission of Final Status & Evaluation Report

(1003.501(a) 1003.506 (a) and 85.42 (b) and (c))

# EXHIBIT

“E”

# NOTICE OF PUBLIC HEARING

## COMMUNITY DEVELOPMENT BLOCK GRANT

Please be informed of the Public Hearings that are scheduled by the Navajo Nation Community Development Block Grant (CDBG) Program at the following locations:

<u>AGENCY</u>	<u>DATE</u>	<u>LOCATION</u>	<u>TIME</u>
Northern Agency Eastern Agency	November 12, 2015	Shiprock Chapter	9:00 a.m.
Chinle Agency Fort Defiance Agency Western Agency	November 13, 2015	Pinon Chapter	9:00 a.m.

The purpose of the Public Hearing is to inform the Chapter communities and the general public of the proposed Fiscal Year 2016 Indian Community Development Block Grant application and program information as provided through U.S. Department of Housing and Urban Development (HUD) in accordance to Citizen Participation requirements at 24 CFR 1003.604.

Information to be presented at the hearings will include:

1. Purpose and requirements of the CDBG Program.
2. Amounts of Indian CDBG funds available for proposed Community Development activities and range of activities that may be undertaken.
3. Provide residents the opportunity to participate in the process.
4. Opportunity to review and comment on the program performance of active grants.

If there are any questions, please contact the CDBG office at:

Community Development Block Grant Program  
Division of Community Development  
PO Box 2365  
Window Rock, Arizona 86515  
(928) 729-4442

*NOTE: For Public Hearing materials go to website: [www.nnchid.org](http://www.nnchid.org)*



# EXHIBIT

“F”

**THE NAVAJO NATION  
COMMUNITY DEVELOPMENT BLOCK GRANT  
PROJECT PROPOSAL GUIDELINES**

**I. INTRODUCTION**

Proposal requirements for Indian Community Development Block Grant (ICDBG) are described in 24 CFR 1003.

**II. PROPOSAL FORMAT**

Navajo Nation Chapters and non-profit organizations are to submit a formal and complete proposal package in requesting for ICDBG funds for each project. Applicants are to assemble each proposal package in the following order:

**A. Cover Sheet**

1. Name of Chapter or Organization
2. Title of Project
3. Amount of Funds Requested
4. Proposal Submittal Information
  - a. Name of contact person
  - b. Address
  - c. Phone Number
5. Date Proposal is submitted

**B. Table of Contents**

1. Identifies the subtitle of each section
2. Number the pages
3. Include and identify all documents submitted

**C. Proposal Outline (Narrative)**

1. Abstract or Summary
  - a. provide an overview of the proposed project.
2. Introduction
  - a. Give a brief profile of the chapter.
  - b. Provide a history and background of the planned project.
  - c. Explain the primary intent and outcome of the project.
  - d. Describe the administrative capacity of the chapter.
  - e. Describe and previous project management experience.
  - f. Briefly describe the status of the chapter's management.
  - g. Describe the status of land use plan.
  - h. Describe the chapter's Capital Plan.
  - i. Attach Chapter Resolution.
3. Needs and Goals of the Project
  - a. Justify the need and extent of the project.

- b. Identify the number of people to be served and indicate the percentage of low and moderate income people (Form B).
- c. Describe how the people were identified and/or selected.
- d. Address the impact and benefits of the project.
- e. Describe how the project will meet community objectives.

#### 4. Scope of Work

- a. Define the role of key personnel, programs, entities, etc. that may be involved in the project.
- b. provide a project description, summary and/or design i.e., number of miles.
- c. Describe accessibility design features for handicap and disabled, if applicable.
- d. Describe other alternative methods were considered (feasibility studies).
- e. Describe who will operate and maintain the project upon completion.
- f. Explain the status of archaeological and environmental clearances.
- g. Explain the status of Right of Ways, easements and/or land withdrawals for the project.
- h. Indicate the status of bathroom additions for waterline or house wiring for powerlines.
- i. Indicate who will do the construction and how it will be carried out.
- j. Indicate who were involved in the planning of the project i.e., IHS, NTUA, Non-profit organizations, schools, etc.
- k. Include any supporting resolutions, letters, etc.
- l. Attach the feasibility studies.

#### 5. Budget information

- a. Provide a total project cost.
- b. Provide a breakdown of sources and amount contributed by each source.
- c. Include letter of commitments, resolutions, purchase order numbers, copy of checks, etc. identifying the source and amount.
- d. Attach a detailed project cost breakdown by line items.

#### D. Attachments and Exhibits

##### 1. Required Documents

- a. Current chapter resolution supporting the project.
- b. Feasibility Study and map identifying project area and homes.
- c. Detailed cost estimate breakdown by line item.
- d. Commitment letters, resolutions, etc. for funding and operation & maintenance.
- e. Form B – Client listing and income data.

##### 2. Additional Supporting Documents

- a. Survey Results, Census Data, Chapter Profile
- b. Supporting letters, resolutions, testimonies, etc.
- c. Newspaper clippings, excerpts of meeting minutes, etc.



**SHEEP HILL CHAPTER  
Powerline Extension Project  
(Phase I)**

**Amount of Fund Requested: \$700,000**

**FY-2016 CDBG Funding Round**

**Submitted To:**

**COMMUNITY DEVELOPMENT BLOCK GRANT**

**P.O. Box 2365**

**Window Rock, Arizona 86515**

**January 15, 2016**

**Submitted By:**

**Ashkii Muleherder, Chapter Representative**

**Sheep Hill Chapter**

**P.O. Box 1000**

**Sheep Hill, Arizona 81000**

## SUMMARY

The Sheep Hill Chapter is collaborating with Navajo Tribal Utility Authority, Capital Improvement Office and Community Development Block Grant Program in making this project a reality. The Sheep Hill Chapter along with cooperating agencies and departments intend on constructing 20.0 miles of powerline within the Sheep Hill Chapter area.

According to project plans, the Navajo Tribal Utility Authority will extend a powerline approximately 2.4 miles south of the Chapter. There are a total of forty-five (45) homes under this project (see attached Form B). Under this project a new well will be established at least 1.5 miles south of the Chapter House.

The total project cost is \$1,000,000 (see attached project budget). The Sheep Hill Chapter and individual homeowners will be responsible for thirty-six (36) house wiring, which include materials and labor.

Upon completion of the proposed powerline, many residents will enjoy a higher standard of living as well as improvement of health for many children, families and the elderly. Finally, the Sheep Hill Chapter Officials and Administration will oversee the project making periodic reports to the Navajo Tribal Utility Authority and the Navajo Nation Community Development Block Grant Program.

## INTRODUCTION

The Sheep Hill Chapter community is geographically situated in Northwestern New Mexico approximately thirty-five miles south of Debe Yazhii, New Mexico. The Chapter is located along U.S. Highway 44. This highway is the main access road between Farmington and Dibe Yazhii, New Mexico.

According to the 2010 census records, the community's population is approximately two thousand (2,000) residents. Many residents depend on selling arts and crafts and silversmith to purchase basic needs. There are also limited employment opportunities available with the community. Limited employment programs, Navajo Tribal Utility Authority Sub-Offices, a Federally-funded school and various Navajo Nation Offices. Approximately 75% receive Navajo Nation general assistance, food stamps or temporary assistance for needy families grant.

Finally, the Sheep Hill community has various governmental offices serving the local residents.. They include: Navajo Nation Chapter House, Senior Citizen, Boys & Girls Club and a preschool. Employment is also offered by a federally operated school, Navajo Tribal Utility Authority and community health representative. The local chapter is operated by the chapter administration with three officials serving as an oversight.

## PROBLEM STATEMENT AND NEEDS ASSESSMENT

The Sheep Hill Chapter is respectfully requesting the funding in the amount of \$700,000 from the Navajo Nation CDBG Program to construct 20.0 miles of powerline in the Sheep Hill community. Current residents depend on oil lamps for basic needs. This situation is further compounded by dirt roads, which are often impassable during inclement weather. Furthermore, a large percentage of residents residing in the project area not educated and thus are not practicing healthful habits such as proper cooking of food and cleanliness.

The Navajo Tribal Utility Authority will construct the actual powerline. The Sheep Hill Chapter in cooperation with the Capital Improvement Office will construct the house wiring prior to the proposed powerline project. Upon completion, forty-five (45) families will enjoy electric facilities.

### OBJECTIVES AND GOALS

The objective of this particular project is to improve health, sanitation and an overall enhancement of the quality of life for forty-five (45) families who are in dire need of services. Furthermore, through the successful and timely completion of this project, the Chapter will exemplify the ability to work with various agencies/organizations in meeting community prioritized needs of the Sheep Hill Chapter. The completion of this project will also contribute to further capital development such as additional waterlines, power line extensions and improved roads. To meet community needs and goals, the Sheep Hill Chapter will require approval of the funds that are being requested. In short, the community supports the project and with proper direction completion will occur within two years.

### SCOPE OF WORK

The proposed project's principal players will include the following: The Sheep Hill Chapter Administration and Chapter Officials will play a key role as the primary coordinator for the project. Weekly monitoring and periodic reports will be required of the Chapter. Second, the Navajo Tribal Utility Authority personnel will plan, design and construct the actual powerline for the project.

Upon completion, Navajo Tribal Utility Authority will maintain and operate the powerline (see attached sample commitment letter). Final reports and inspections will be coordinated with Navajo Tribal Utility Authority.

### BUDGET

The total cost for 20.0 miles of powerline project is \$1,000,000. Below is a breakdown of funding sources:

<u>Source</u>	<u>Amount</u>
NTUA	\$ 67,500
CIO	232,000
CDBG	<u>700,000</u>
TOTAL COST:	1,000,000

The commitment letters from the leveraging funding sources are attached for verification.

Attachments:

- A – NTUA Commitment Letter for Operation & Maintenance
- B – Form B-Income Data Sheet
- C – Chapter Resolution
- D – NTUA Cost Estimate
- E – Chapter Leverage Commitment Letter
- F – Others



# EXHIBIT

“G”

## CONSTRUCTION READY PROPOSALS

### PROPOSAL CHECKLIST

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#### NEEDS ASSESSMENT

Identifying needs, prioritizing, development of plans for funding, chapter profile, identifying potential site for development, identifying clients, etc.

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#### CLIENT LISTING

Conducting home assessments, gathering client data (household information, income, etc.) getting building layout, housing condition, etc.

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#### ENVIRONMENTAL ASSESSMENT

Conducting environmental assessment, this is usually conducted by the developing entity i.e. NTUA, IHS, etc.

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#### ARCHAEOLOGICAL CLEARANCES

This is different from the environmental assessment. The archaeological report is conducted by the developing entity or maybe contracted out to an archaeologist.

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#### FEASIBILITY STUDY

This will determine the feasibility of the project. This will identify other needs for infrastructure such as waterline, powerline, etc.

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#### RIGHTS OF WAY/EASEMENT

This determines the alignment of roads, powerlines, waterline, communication lines, etc. This requirement shows the consent of the landusers, permittees and others who may have an interest to the land proposed for development.

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#### LAND WITHDRAWAL

The land withdrawal process has its own process. This is the set aside or authorizing of land for specific use.

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#### DESIGN/ENGINEERING

This is the layout of the facility. This is determined by the needs assessment and client listing. The design/engineering will determine the type, size and drawing of the facility.

---

Housewiring and service entrance inspection completed for powerline.

---

#### COST ESTIMATE

All above factors will determine the cost of the project.

---

#### CHAPTER RESOLUTION

Chapter resolution is required to ensure the support from the chapter membership and priority of the project.

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#### MATCHING FUNDS

To match resources, in many cases, leverage should be 25% or more.

# EXHIBIT

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## **CDBG Outline of Powerline Planning/Construction Process**

### **Preliminaries**

1. Request for Cost Estimate letter for right of way expenses from NTUA with a Chapter Resolution. Attach the name listing and project map.
2. Request for funds with a Chapter resolution to other funding sources, i.e., CIP, County, Chapter funds, etc. to pay for Rights of way expenses using NTUA cost estimate for names identified.
3. Also, on house wiring work, Chapter to obtain funds to complete the required home wiring materials and labor.

### **Construction Activity**

4. After the rights of way and house wiring are completed, another Chapter resolution to NTUA requesting for cost estimate for a powerline construction cost.
5. A project proposal can be submitted with chapter resolution to CDBG Program or other funding agencies to finance the Powerline Construction cost using NTUA cost estimate and name list. Notice of CDBG funding is announced each year, and the public hearing on funding cycle will be advertised in local news paper and KTNN radio for each agency to meeting public requirements.
6. When project is recommended by CDBG office and approved for funding by U.S. Department of Housing and Urban Development (HUD), the Nation will enter into a Subgrant Agreement to construct the project; thereafter, NTUA will operate and maintain the powerline system.
7. See attached CDBG brochure and application process flow chart.

PUBLIC HEARING RULES AND PROCEDURES  
**A Citizen's Guide to Public Hearings in Navajo Nation**  
Community Development Block Grant Program

FY-2016

The purpose of a public hearing is to give everyone the opportunity to express their views, and to provide evidence in support of those views. These opinions and evidence create part of the record, which the Hearing Body relies on for its findings, conclusions, and decisions.

An Agenda is established for each hearing. The Hearing Body follows the Order of Business on the Agenda. This includes:

- 2016 PH Outline Packet
- Notice of Public Hearing
- 2016 Application Preparation Schedule
- Sign-in-Sheet
- Comment Sheet

#### **TYPES OF PUBLIC HEARINGS**

Public hearings can generally be classified as Quasi-Judicial or Legislative or Federal Regulations. The program will be presenting a Federal Regulatory & Program Review matters usually involve issues of Community-wide scope. Examples are recommended changes to Federal/HUD regulations or Community Development needs.

#### **HEARING BODIES**

The Hearing Body will be the following:

- Division of Community Development
- Community Housing & Infrastructure Department
- Community Development Block Grant Program
- RDC Committee resolution to certify the Citizen Participation requirement

#### **PREPARATION TASK**

**Distributing Information in Advance** — Information is disseminated to the public in advance of the Hearing so they can become familiar with the matters and aware of meeting location, time and date.

**Space for the Meeting** — Suitable meeting space is provided. Staff will arrange the facility, open and set it up in advance.

**Special Equipment** — Staff to arrange for equipment such as microphones, amplifier/speaker systems, tape recorders, projectors, power cords, equipment stands, charts, markers, and other items to be available as needed. Locate the electrical outlets needed to operate power equipment.

## **HEARING PROCEDURES**

The staff presiding over the hearing will call the meeting to order and introduce each new item of business. This individual has the authority to take any necessary measures to control the hearing, to include closing the meeting, clearing the hearing room, and calling the public in one at a time to testify. Members of the Staff will participate to introduce the Application purpose.

### **PUBLIC TESTIMONY**

- Anyone wishing to testify must sign in on a comment sheet and turn it in to the Hearing Secretary
- All testimony before the Hearing Body must be given from the podium so that a transcribable record may be made. Spontaneous comments from the floor are not permitted
- Persons testifying are required to state their name and organizations they represent
- Any exhibits which are presented to the Hearing Body will be retained for the record

**APPLICANT/PUBLIC:** The Applicant will be given a suitable time period to present their proposal or comments, 5 to 10 minutes.

**IN SUPPORT/NEUTRAL/OPPOSED:** Persons in support/neutral/opposed to the community development needs or regulations changes will be given a suitable time period to present testimony 5-10 minutes. The Hearing Body may hear all of the testimony in support, in neutral, then all in opposition, or may alternate.

**REBUTTAL:** The Applicant will be given a suitable time period to rebut testimony presented, generally 10 to 15 minutes. The Hearing Body may ask questions during the presentation. Questions to the Applicant from the public must be addressed to the Hearing Body. The Hearing Body will determine whether to ask the question of the Applicant.

### **HEARING BODY DISCUSSION AND DELIBERATIONS**

After closing public testimony, the Program staff will record the comments, questions, recommendations and rebuttal. Hearing Body will discuss the issue with the Program Staff. The Staff will not make informal recommendation at the public hearing. After the Hearing, a signed recommendation written will be submitted for filing at the CDBG Program.

### **RULES FOR SUBMITTING EXHIBITS**

ALL EXHIBITS, SUCH AS PHOTOGRAPHS, MAPS, VIDEOS, SLIDES, DRAWINGS, OR CHARTS, WHICH ARE PRESENTED TO THE HEARING BODY, WILL BE RETAINED FOR THE RECORD.

ALL EXHIBITS SHALL INCLUDE THE FOLLOWING:

- The name of the person submitting the exhibit.
- The name of the person who took the pictures, slide, etc. or who created the chart or drawing.
- If the exhibit consists of pictures, slides, or videos, the date they were taken.
- A key mapping the location of each picture, slide, etc. to a site map.

These rules are designed to ensure a fair and orderly decision-making process and to promote public participation.

The CDBG Staff would be happy to explain this hearing process during office hours:

Monday through Friday, 8:00 a.m. to 5:00 p.m.

The Navajo Nation  
Division of Community Development  
Community Development Block Grant Program  
P.O. Box 2365  
Window Rock, Arizona 86515  
Office Location: Administration Building No. Two (2); Second Floor; Southwest Section  
Window Rock, Arizona 86515  
Phone: (928) 871-6564  
Fax: (928) 871-7418

Thank you for your participation.



# Community Development Block Grant Department The Navajo Nation

Revised 04/20/2016

## Citizen Participation Plan

### I. Purpose

A. The Navajo Nation Community Development Block Grant (CDBG) Program is responsible to initiate, plan, coordinate, the ICDBG application process as the lead agency in accordance to federal regulations at 24 CFR 1003.301 and the Nation's plan of operation for Community Housing and Infrastructure Department as specified at Section V (4): Responsibility and Authority – Research and Seek funding. Specific guidelines are issued for each grant year by the U.S. Department of Housing and Urban Development (HUD) in Notice of Funds Availability Guide (NOFA) that is published in the federal register. The guideline directs the Program staff in handling the comprehensive grant application process until its submittal to HUD.

B. In Accordance to Citizen Participation requirement at 24 CFR 1003.604, Public Hearing notices and program requirements including proposal deadline date are provided to the Chapters in writing through the Administrative Service Centers at the beginning of the application process. The Hearing involves:

(1) Furnishing residents with information concerning the amounts of funds available for proposed community development and housing activities and the range of activities that may be undertaken.

(2) Holding one or more meetings to obtain the views of residents on community development and housing needs. Meetings shall be scheduled in ways and at times that will allow participation by residents.

(3) Developing and publishing or posting a community development statement in such a manner as to afford affected residents an opportunity to examine its contents and to submit comments.

(4) Affording residents an opportunity to review and comment on the applicant's performance under any active community development block grant.

(b) Prior to submission of the application to HUD, the applicant shall certify by an official Tribal resolution that it has met the requirements of paragraph (a) of this section; and

(1) Considered any comments and views expressed by residents and, if it deems it appropriate, modified the application accordingly; and

(2) Made the modified application available to residents through community development statement publication.

C. Proposal Evaluation Team (PET) is established for each funding round comprising of representatives from: Capital Improvement Office, Navajo Abandon Mine Lands Office, Navajo Tribal Utility Authority, Indian Health Services, and Design and Engineering Department, or other relevant organization. The program will orientate PET members on the criteria components and scoring system of the rating sheet in accordance to current NOFA guidelines in order to participate in the rating task of proposals. PET and the staff will comply with the adopted conflict of interest policy as prescribed in Section IV of this policy.

D. The final review of the comprehensive application is processed through the 164 review to obtain the President's signature. The prior to application submission it will require a RDC committee resolution to certify that the Navajo Nation has met the Citizen Participation requirement at 24 CFR 1003.604.

## **II. Screening & Flow Chart (steps how a proposal is processed)**

A. The Chapter or interested organization serving the Navajo Nation submits their proposal for funding review and consideration to CDBG Program by a specified deadline date.

B. The Program staff logs in the proposal in the order it was received and conducts a preliminary threshold review. In the event, the proposal is an ineligible activity or received after the deadline (hand delivered or postmarked); the proposal is returned by mail to the sponsor with a cover letter. Upon the evaluation of PET, proposals that were not recommended for consideration is returned to the sponsor with rating sheet and cover letter attached.

C. The Program staff attaches the CDBG proposal evaluation sheet to each proposal for threshold review by PET panel. The panel is responsible for screening and rating each proposal according the instructions provided by the Program staff and applicable the criteria set forth in NOFA to satisfy the five factors. There will be no more than two reviewers for each project. An average point will be taken from PET to determine total scores for the projects.

D. The Program coordinates the ranking of proposals based on the points provided by PET and prepares an overall score sheet to determine which project is recommended for consideration.

E. A grace period is provided to the sponsor (in writing) whose project is scoring reasonably high but requiring more support documentation to earn maximum points. If no support information is provided within the grace period, the points for the project will remain unchanged.

F. Upon establishment of the final recommended project listing, the Program prepares a comprehensive grant application, applicable HUD forms and 164 review cover sheet. The application includes the administration budget for Program staff and operation cost. The staff coordinates the processing of the application for reviews by 164 review departments, RDC approval and the President's signature.

G. The Program submits the Nation's CDBG application to HUD by due date set in the NOFA. Refer to CDBG application flow chart in Public Hearing handbook.

### **III. Coordination with Contracts and Grants & Controller's Office**

A. The Contracts and Grants Office is the Nation's official representative for all grants and contracts.

B. The Controller's Office Contract Accounting works closely with Contracts and Grants to provide assistance to the department and the Nation on grants administration after awards are received.

C. The Contract Accounting maintains the financial records. Also, responsible for providing accounting information to HUD and ensures for submittal of all required financial reports.

### **IV. Conflict of Interest**

A. The staff and PET is required to comply with the adopted Conflict of Interest policy include prohibiting real and apparent conflicts of interest that may arise among officers, employees, and agents; prohibiting the solicitation and acceptance of gifts or gratuities by the officers, employees and agents for their personal benefit; and it outlines administrative and disciplinary actions available to remedy violations of such standards. Refer to Navajo Nation Ethics in Government Law.

B. The staff and PET who are evaluating and rating proposals will sign a Disclosure Statement to ensure there is no conflict of interest involved.

### **V. Amendment**

A. The policy and procedures for proposal evaluation herein adopted is perpetual and can be amended when deemed necessary with the authorization of the director of Division of Community Development upon the justification provided by department director.



## Division of Community Development

Carl Smith, Division Director  
Division of Community Development

### CDBG PERSONNEL

James Adakai, Programs and Projects Specialist  
Benjamin Cowboy, Construction Supervisor  
Patrick Dalgai, Field Supervisor  
Roger Morgan, Field Supervisor  
Ronald Tsosie, Field Supervisor  
Orlinda Cleveland, Accountant  
Brenda Notah, Senior Office Specialist  
Saraphina Curley, Office Assistant

### Resources & Development Committee

Alton Shepherd, Chair  
Fort Defiance Agency

Benjamin Bennett, Vice Chair  
Ft. Defiance Agency

Leonard Tsosie  
Eastern Navajo Agency

Davis Filfred  
Nothorn Agency

Leonard Pete  
Chinle Agency

Walter Phelps  
Western Agency

## CHECKLIST FOR PROPOSALS

1. Eligible Activities outlined inside the brochure.
2. The proposed activity is determined feasible by cooperating agencies (NTUA, IHS, DES, etc.). The activity is on the priority list for implementation. An agency is committed to assume maintenance & operation (M&O) where appropriate. Otherwise, applicant must provide viable M&O plan.
3. Firm cost estimate is provided by cooperating agency for the construction activity.
4. Pre-construction tasks are cleared or completely financed & project only needs construction funds to achieve the intended purpose of the overall project.

*NOTE: Pre-construction pertains to archaeological clearance, environmental assessment, rights-of-way, design & engineering, etc.*

5. Applicant has secured contributions (non-CDBG) matching equal to at least 25% of the cost of activity being undertaken. Pre-incurred contributions are ineligible for matching.
6. The activity is realistic and achievable within two (2) year period from the date funded.
7. The proposal is completed based on criteria of latest NOFA and supported by the applicable documents listed below:
  - Chapter Resolution
  - CDBG Form B or demographic survey (income data)
  - Letters (including commitment of contributions) from organizations and committee supporting the project.
  - Map of project location, floor plan, schematic drawings, etc.



## THE NAVAJO NATION COMMUNITY DEVELOPMENT BLOCK GRANT (CDBG)

P.O. Box 2365  
Window Rock, Arizona 86515  
Phone: (928) 871-6564 Fax: (928) 871-7189  
Email: [admin@nnchid.org](mailto:admin@nnchid.org)

**James Benally, Acting Department Manager**  
**Community Housing &  
Infrastructure Department  
(CHID)**  
(928) 871-6564

**Website: [www.nnchid.org](http://www.nnchid.org)**

**Division of Community Development**  
**Website: [www.nndcd.org](http://www.nndcd.org)**





## HISTORY OF THE PROGRAM

The Navajo Nation Community Development Block Grant Program (CDBG) began its operation in 1976 under the Office of Program Development, which is now called the Division of Community Development. In 1978, The U.S. Department of Housing and Urban Development (HUD) established CDBG program exclusively for Indian Tribes. In 1981, ceiling limits were imposed on CDBG funding based on the population of Tribes. The maximum eligibility for the Navajo Nation is currently \$5.5 million per grant year.

## PROGRAM OBJECTIVE

The Program objective is to develop viable Navajo Communities principally for persons of low and moderate income. Viable communities include decent housing, suitable living conditions, and economic opportunities for the Navajo people.

## ROLE OF THE PROGRAM

The CDBG Program serves as a liaison between HUD and the Navajo Nation and is responsible for administering the program consistently with applicable guidelines and standards. The CDBG recommends proposed funding considerations, monitors the approved projects, interprets HUD rules and regulations, and provides technical assistance on proposal writing, etc.

## NATURE OF THE PROGRAM

CDBG is competitive in nature. The demand for funds and needs far exceeds the amount of funds available. Thus, only quality and eligible projects are selected for funding consideration.

CDBG assists projects on community basis to serve multiple citizens. Individual assistance is ineligible. Leveraging is one of the key factors in the success of the proposal. Applicants are advised to secure non-CDBG sources equal to at least 25% of the total project cost. Leveraging points assigns up to a

maximum of (8) points on a (100) point rating system. Other components of the selection criteria are addressed in Notice of Funding Availability (NOFA) guide for each eligible activity.

## PROGRAM ACCOMPLISHMENTS

HUD has awarded approximately \$139.4 million to the Nation since the CDBG program began operation. The Program has assisted 255 projects, which included: waterlines, powerline extensions, clinic building facility, housing rehabilitation and economic development.

## ELIGIBLE APPLICANTS

All 110 Chapters and other nonprofit entities of the Nation may submit proposals for CDBG funding consideration.

## APPLICATION PROCESS

There is no yearly set schedule on CDBG funding process. HUD issues NOFA at least (30) days prior to the application due date. NOFA contains the deadline dates, selection criteria, and availability of CDBG grant funds for the upcoming funding round.

Public Hearings are scheduled to include the five agencies. The public is informed of the date, time and location of the hearings on local radio station, newspapers and correspondences. The public hearings provide the opportunity to the public to obtain views and comments on community development and housing needs. Also, proposal requirements and guidelines are provided. The deadline for chapters to submit proposals to CDBG Office is announced publicly and at the hearings.

CDBG strongly encourages interested persons or applicants to attend one of the hearings that are scheduled annually at the agencies.

## ELIGIBLE ACTIVITIES

- Public facilities and Improvements *Infrastructure (i.e. powerline, water/wastewater, solid waste facilities and road projects); buildings, (i.e., multipurpose, preschool, senior centers, etc.).* NOTE: Chapter houses & other facilities used for governmental or political purposes are ineligible activities.
- Land Acquisition – such as real property that is for any public purposes.
- Public Services – Counseling; employment, crime prevention, health, child care, drug abuse, education, fair housing counseling, energy conservation, homebuyer development assistance or recreational needs.
- Economic Development
- Micro Enterprise Assistance

Rating Factors for eligible proposals are rated on a 100 pt system based on the following components:

1. Capacity	30 pts.
2. Need/Extent of Problem	19 pts.
3. Soundness of Approach	33 pts.
4. Leveraging Resources	8 pts.
5. Comprehensive and Coordination	<u>10 pts.</u>
	100 pts

RECEIVED

Document No. 005821

Date Issued: 04/18/2016

DIVISION OF  
COMMUNITY  
DEVELOPMENT

**EXECUTIVE OFFICIAL REVIEW**

Title of Document: RDC Approval-FY'16 CDBG Citizn Participa Contact Name: ADAKAI, JAMES F.

Program/Division: DIV. OF COMMUNITY DEVELOPMENT

Email: james\_adakai@nnchid.org Phone Number: (928) 871-6717/6564

☐ **Business Site Lease** Sufficient    Insufficient

1. Division: _____	Date: _____	<input type="checkbox"/>	<input type="checkbox"/>
2. Office of the Controller: _____	Date: _____	<input type="checkbox"/>	<input type="checkbox"/>
(only if Procurement Clearance is not issued within 30 days of the initiation of the E.O. review)			
3. Office of the Attorney General: _____	Date: _____	<input type="checkbox"/>	<input type="checkbox"/>

☐ **Business and Industrial Development Financing, Veteran Loans, (i.e. Loan, Loan Guarantee and Investment) or Delegation of Approving and/or Management Authority of Leasing transactions**

1. Division: _____	Date: _____	<input type="checkbox"/>	<input type="checkbox"/>
2. Office of the Attorney General: _____	Date: _____	<input type="checkbox"/>	<input type="checkbox"/>

☐ **Fund Management Plan, Expenditure Plans, Carry Over Requests, Budget Modifications**

1. Office of Management and Budget: _____	Date: _____	<input type="checkbox"/>	<input type="checkbox"/>
2. Office of the Controller: _____	Date: _____	<input type="checkbox"/>	<input type="checkbox"/>
3. Office of the Attorney General: _____	Date: _____	<input type="checkbox"/>	<input type="checkbox"/>

☐ **Navajo Housing Authority Request for Release of Funds**

1. NNEPA: _____	Date: _____	<input type="checkbox"/>	<input type="checkbox"/>
2. Office of the Attorney General: _____	Date: _____	<input type="checkbox"/>	<input type="checkbox"/>

☐ **Lease Purchase Agreements**

1. Office of the Controller: _____	Date: _____	<input type="checkbox"/>	<input type="checkbox"/>
(recommendation only)			
2. Office of the Attorney General: _____	Date: _____	<input type="checkbox"/>	<input type="checkbox"/>

☐ **Grant Applications**

1. Office of Management and Budget: _____	Date: _____	<input type="checkbox"/>	<input type="checkbox"/>
2. Office of the Controller: _____	Date: _____	<input type="checkbox"/>	<input type="checkbox"/>
3. Office of the Attorney General: _____	Date: _____	<input type="checkbox"/>	<input type="checkbox"/>

☐ **Five Management Plan of the Local Governance Act, Delegation of an Approving Authority from a Standing Committee, Local Ordinances (Local Government Units), or Plans of Operation/Division Policies Requiring Committee Approval**

1. Division: _____	Date: _____	<input type="checkbox"/>	<input type="checkbox"/>
2. Office of the Attorney General: _____	Date: _____	<input type="checkbox"/>	<input type="checkbox"/>

☐ **Relinquishment of Navajo Membership**

1. Land Department: _____	Date: _____	<input type="checkbox"/>	<input type="checkbox"/>
2. Elections: _____	Date: _____	<input type="checkbox"/>	<input type="checkbox"/>
3. Office of the Attorney General: _____	Date: _____	<input type="checkbox"/>	<input type="checkbox"/>

☐ **Land Withdrawal or Relinquishment for Commercial Purposes**

Sufficient    Insufficient

1. Division: \_\_\_\_\_ Date: \_\_\_\_\_ ☐ ☐  
2. Office of the Attorney General: \_\_\_\_\_ Date: \_\_\_\_\_ ☐ ☐

☐ **Land Withdrawals for Non-Commercial Purposes, General Land Leases and Resource Leases**

1. NLD \_\_\_\_\_ Date: \_\_\_\_\_ ☐ ☐  
2. F&W \_\_\_\_\_ Date: \_\_\_\_\_ ☐ ☐  
3. HPD \_\_\_\_\_ Date: \_\_\_\_\_ ☐ ☐  
4. Minerals \_\_\_\_\_ Date: \_\_\_\_\_ ☐ ☐  
5. NNEPA \_\_\_\_\_ Date: \_\_\_\_\_ ☐ ☐  
6. DNR \_\_\_\_\_ Date: \_\_\_\_\_ ☐ ☐  
7. DOJ \_\_\_\_\_ Date: \_\_\_\_\_ ☐ ☐

☐ **Rights of Way**

1. NLD \_\_\_\_\_ Date: \_\_\_\_\_ ☐ ☐  
2. F&W \_\_\_\_\_ Date: \_\_\_\_\_ ☐ ☐  
3. HPD \_\_\_\_\_ Date: \_\_\_\_\_ ☐ ☐  
4. Minerals \_\_\_\_\_ Date: \_\_\_\_\_ ☐ ☐  
5. NNEPA \_\_\_\_\_ Date: \_\_\_\_\_ ☐ ☐  
6. Office of the Attorney General: \_\_\_\_\_ Date: \_\_\_\_\_ ☐ ☐  
7. OPVP \_\_\_\_\_ Date: \_\_\_\_\_ ☐ ☐

☐ **Oil and Gas Prospecting Permits, Drilling and Exploration Permits, Mining Permit, Mining Lease**

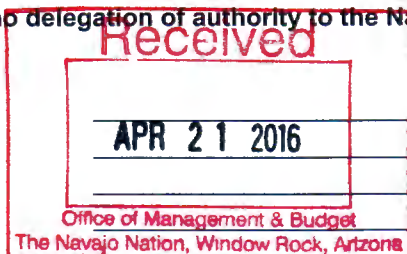
1. Minerals \_\_\_\_\_ Date: \_\_\_\_\_ ☐ ☐  
2. OPVP \_\_\_\_\_ Date: \_\_\_\_\_ ☐ ☐  
3. NLD \_\_\_\_\_ Date: \_\_\_\_\_ ☐ ☐

☐ **Assignment of Mineral Lease**

1. Minerals \_\_\_\_\_ Date: \_\_\_\_\_ ☐ ☐  
2. DNR \_\_\_\_\_ Date: \_\_\_\_\_ ☐ ☐  
3. DOJ \_\_\_\_\_ Date: \_\_\_\_\_ ☐ ☐

☐ **ROW (where there has been no delegation of authority to the Navajo Land Department to grant the Nation's consent to a ROW)**

1. NLD \_\_\_\_\_ Date: \_\_\_\_\_ ☐ ☐  
2. F&W \_\_\_\_\_ Date: \_\_\_\_\_ ☐ ☐  
3. HPD \_\_\_\_\_ Date: \_\_\_\_\_ ☐ ☐  
4. Minerals \_\_\_\_\_ Date: \_\_\_\_\_ ☐ ☐  
5. NNEPA \_\_\_\_\_ Date: \_\_\_\_\_ ☐ ☐  
6. DNR \_\_\_\_\_ Date: \_\_\_\_\_ ☐ ☐  
7. DOJ \_\_\_\_\_ Date: \_\_\_\_\_ ☐ ☐  
8. OPVP \_\_\_\_\_ Date: \_\_\_\_\_ ☐ ☐



☒ **OTHER:**

1. Division of Community Development \_\_\_\_\_ Date: 4-21-16 ☒ ☐  
2. Office of Management & Budget \_\_\_\_\_ Date: 5/3/16 ☒ ☐  
3. Office of the Attorney General \_\_\_\_\_ Date: 5/4/16 ☒ ☐  
4. \_\_\_\_\_ Date: \_\_\_\_\_ ☐ ☐  
5. \_\_\_\_\_ Date: \_\_\_\_\_ ☐ ☐





# NAVAJO NATION DEPARTMENT OF JUSTICE

## DOCUMENT REVIEW REQUEST FORM

☐ RESUBMITTAL



DOJ	
05/03/16 @ 1033am	DATE / TIME
<input type="checkbox"/> 7 Day Deadline	
DOC #: 005821	
SAS #:	
UNIT: ECDU	

\*\*\* FOR NNDOJ USE ONLY - DO NOT CHANGE OR REVISE FORM. VARIATIONS OF THIS FORM WILL NOT BE ACCEPTED. \*\*\*

CLIENT TO COMPLETE			
DATE OF REQUEST:	5/3/2016	DIVISION:	Community Development
CONTACT NAME:	James Adakai, PPS	DEPARTMENT:	Community Dev. Block Grant/CHID
PHONE NUMBER:	(928) 871-6564/7420	E-MAIL:	james_adakai@nnchid.org
TITLE OF DOCUMENT: 164 Document No. 005821: To obtain approval of the RDC Resolution to certify that the Navajo Nation has met the Citizen Participation requirements in accordance to 24 CFR 1003.604 prior to submission of the 2016 CDBG Application to U.S. HUD.			
DOJ SECRETARY TO COMPLETE			
DATE/TIME IN UNIT:		REVIEWING ATTORNEY/ADVOCATE:	
5-03-16 11:30am		Latoria Johnson	
DATE TIME OUT OF UNIT:			
DOJ ATTORNEY / ADVOCATE COMMENTS			
Subject			
REVIEWED BY: (Print)		Date / Time	
LBT		5/4/16 @ 1110am	
SURNAME BY: (Print)		Date / Time	
LBT		5/4/16 @ 1110am	
DOJ Secretary Called: Graphina for Document Pick Up on 5/4/16 at 11:54 By: AH			
PICKED UP BY: (Print)		DATE / TIME:	

NNDOJ/DRRF-July 2013







# THE NAVAJO NATION

RUSSELL BEGAYE PRESIDENT  
JONATHAN NEZ VICE PRESIDENT

April 21, 2016

## MEMORANDUM

TO : 164 Administrative Review Department(s)  
Resources and Community Development Committee ("RDC")

THRU :   
James Benally, Acting Department Manager  
Community Housing & Infrastructure Department ("CHID")

FROM :   
James Adakai, Programs and Projects Specialist  
Community Development Block Grant/CHID-DCD

SUBJECT : 164 Document No. 005821

The intent of the subject document is to obtain approval of the RDC Resolution to certify that the Navajo Nation has met the Citizen Participation requirements in accordance to 24 CFR 1003.604 prior to submission of the 2016 Community Development Block Grant ("CDBG") application to the U.S. Department of Housing and Urban Development ("HUD").

The objective of this resolution is to satisfy the Citizen Participation requirements ahead of time. RDC has approved a similar resolution dated June 2, 2015, to support 2015 ICDBG application. See exhibit "A". Wherefore, the 2015 ICDBG application was successfully submitted before the deadline.

The 2016 Community Development Statement was published on April 16, 2016. Attached are the affidavits, sign-in sheets, handouts and public comments to show evidence that the program has carried out the Citizen Participation requirements. In addition, the program's Public Hearing policy, procedures and the Community Development Statement are attached.

2016 ICDBG Notice of Funds Availability is published on April 13, 2016 and the national deadline for ICDBG application submission is June 14, 2016. The program is currently working on the 2016 ICDBG application and will submit it a week before the deadline.

Your expeditious review and approval is greatly appreciated. If you have questions, please contact me at (928) 871-6564. Thank you.

xc: Chrono/JA/04-21-16  
Subject File: FY'2016 ICDBG Application