21–188, VANLEV (omapatrilat) Bristol-Myers Squibb Co., proposed for the treatment of hypertension. The background material for this meeting will be posted 1 working day before the meeting on the FDA Web site at http://www.fda.gov/ohrms/dockets/ac/acmenu.htm.

Procedure: Interested persons may present data, information, or views, orally or in writing, on issues pending before the committee. Written submissions may be made to the contact person by July 11, 2002. Oral presentations from the public will be scheduled between approximately 10:15 a.m. and 10:45 a.m. and 3:15 p.m. and 3:45 p.m. on July 18, 2002, and between approximately 10:15 a.m. and 10:45 a.m. on July 19, 2002.

Time allotted for each presentation may be limited. Those desiring to make formal oral presentations should notify the contact person before July 11, 2002, and submit a brief statement of the general nature of the evidence or arguments they wish to present, the names and addresses of proposed participants, and an indication of the approximate time requested to make their presentation.

Persons attending FDA's advisory committee meetings are advised that the agency is not responsible for providing access to electrical outlets.

FDA welcomes the attendance of the public at its advisory committee meetings and will make every effort to accommodate persons with physical disabilities or special needs. If you require special accommodations due to a disability, please contact Jayne E. Peterson at least 7 days in advance of the meeting.

Notice of this meeting is given under the Federal Advisory Committee Act (5 U.S.C. app. 2).

Dated: June 21, 2002.

William K. Hubbard,

Senior Associate Commissioner for Policy, Planning, and Legislation.

[FR Doc. 02–16351 Filed 6–27–02; 8:45 am]

BILLING CODE 4160–01–S

DEPARTMENT OF HEALTH AND HUMAN SERVICES

Food and Drug Administration

National Mammography Quality Assurance Advisory Committee; Notice of Meeting

AGENCY: Food and Drug Administration, HHS.

ACTION: Notice.

This notice announces a forthcoming meeting of a public advisory committee of the Food and Drug Administration (FDA). The meeting will be open to the public.

Name of Committee: National Mammography Quality Assurance Advisory Committee.

General Function of the Committee: To provide advice and recommendations to the agency on FDA's regulatory issues.

Date and Time: The meeting will be held on August 26, 2002, from 9 a.m. to 6 p.m.

Location: Holiday Inn, Walker/Whetstone Rooms, Two Montgomery Village Ave., Gaithersburg, MD.

Contact Person: Charles Finder, Center for Devices and Radiological Health (HFZ–240), Food and Drug Administration, 1350 Piccard Dr., Rockville, MD 20850, 301–594–3332, or FDA Advisory Committee Information Line, 1–800–741–8138 (301–443–0572 in the Washington, DC area), code 12397. Please call the Information Line for up-to-date information on this meeting.

Agenda: The committee will receive information on the American College of Radiology Imaging Network trial of full field digital mammography (FFDM), potential new applications of FFDM such as tomosynthesis, facility inspection findings, and the status of current inspection followup actions, and changes to the Mammography Quality Standards Act (the MQSA) compliance guidance. The committee will also receive updates on the status of accreditation and certification of FFDM, States as certification agencies under the MQSA, reauthorization of the MQSA, and the inspection demonstration project. The MQSA compliance guidance documents, which are in a question-and-answer format, are available to the public on the Internet at http://www.fda.gov/cdrh/mammography/guidance-docs.html. This guidance is being updated continually in response to questions that FDA receives from the public.

Procedure: Interested persons may present data, information, or views, orally or in writing, on issues pending before the committee. Written submissions may be made to the contact person by August 16, 2002. Oral presentations from the public will be scheduled between approximately 9:30 a.m. and 10:30 a.m. Time allotted for each presentation may be limited. Those desiring to make formal oral presentations should notify the contact person before August 16, 2002, and submit a brief statement of the general nature of the evidence or arguments they wish to present, the names and addresses of proposed participants, and an indication of the approximate time requested to make their presentation.

Persons attending FDA's advisory committee meetings are advised that the agency is not responsible for providing access to electrical outlets.

FDA welcomes the attendance of the public at its advisory committee meetings and will make every effort to accommodate persons with physical disabilities or special needs. If you require special accommodations due to a disability, please contact Shirley Meeks, Conference Management Staff, at 301–594–1283, ext. 105, at least 7 days in advance of the meeting.

Notice of this meeting is given under the Federal Advisory Committee Act (5 U.S.C. app. 2).

Dated: June 21, 2002.

William K. Hubbard,

Senior Associate Commissioner for Policy, Planning, and Legislation.

[FR Doc. 02–16352 Filed 6–27–02; 8:45 am]

BILLING CODE 4160–01–S

DEPARTMENT OF HOUSING AND URBAN DEVELOPMENT

[Docket No. FR–4736–N–06]

Notice of Proposed Information Collection for Public Comment for Correcting and Challenging Date for the Indian Housing Block Grant Formula Allocation

AGENCY: Office of the Assistant Secretary for Public and Indian Housing, HUD.

ACTION: Notice.

SUMMARY: The proposed information collection requirement described below will be submitted to the Office of Management and Budget (OMB) for review, as required by the Paperwork Reduction Act. The department is soliciting public comments on the subject proposal.

DATES: *Comment Due Date:* August 27, 2002.

ADDRESSES: Interested persons are invited to submit comments regarding this proposal. Comments should refer to the proposal by name and/or OMB Control Number and should be sent to: Mildred M. Hamman, Reports Liaison Officer, Public and Indian Housing, The Department of Housing & Urban Development, 451—7th Street, SW., Room 8226, Washington, DC 20410–6000.

FOR FURTHER INFORMATION CONTACT: Mildred M. Hamman, (202) 708–3642,

extension 4128, for copies of the proposed forms and other available documents. (This is not a toll-free number).

SUPPLEMENTARY INFORMATION: The Department will submit the proposed information collection to OMB for review, as required by the Paperwork Reduction Act of 1995 (44 U.S.C. Chapter 35, as amended).

This notice is soliciting comments from members of the public and affected agencies concerning the proposed collection of information to: (1) Evaluate whether the proposed collection of information is necessary for the proper performance of the functions of the agency, including whether the information will have practical utility; (2) evaluate the accuracy of the agency's estimate of the burden of the proposed collection of information; (3) enhance the quality, utility, and clarity of the information to be collected; and (4) minimize the burden of the collection of information on those who are to respond; including through the use of appropriate automated collection techniques or other forms of information technology, e.g., permitting electronic submissions of responses.

This Notice also lists the Following Information:

Title of Proposal: Correcting and Challenging Data for the Indian Housing Block Grant Formula Allocation.

OMB Control Number: 2577–0218.

Description of the Need for the Information and Proposed Use: The Native American Housing Assistance and Self-Determination Act of 1996 (NAHASDA or the Act) mandated that funding for Native American housing programs be allocated through use of a block grant formula. The block grant formula, as developed by the NAHASDA negotiated rulemaking committee, uses data from multiple sources, including the 1990 and soon 2000 U.S. Census, HUD records, and the Indian Health Services. In developing the formula, the negotiated rulemaking committee recognized that the data available had significant limitations and may be inaccurate for some tribes. The group agreed to include the option that allows tribes to challenge the data. This information request is the guidance to tribes on how they can challenge, or simply make corrections, to the data so that it is fair and equitable for all tribes receiving funds through the formula.

Agency form numbers: None.

Members of the Affected Public: 579 Native American and Alaskan Native Tribes participating in the Indian Housing Block Grant Program may submit corrections or challenge the data.

Estimation of the Total Number of Hours Needed to Prepare the Information Collection including the Number of Respondents, Frequency of response, and hours of response: The Tribally Designated Housing Entities (TDHEs) are able to submit corrections and challenges to the data at any time. However, all corrections to have impact on the next fiscal year are due by September 15th of the current fiscal year and challenges to have impact on the next fiscal year are due by June 15th of the current fiscal year. The number of hours needed to prepare the information collection, frequency of response, and hours of response will depend on each tribe's specific correction or challenge. The average amount of time to make corrections will likely be 30 minutes for all 579 tribes. We anticipate only 15 tribes a year challenging the data at an average burden of 150 hours per challenge. In total, the department expects this request will have a total annual reporting burden of 2,540 hours.

Status of the Proposed Information Collection: Revision.

Authority: Section 3506 of the Paperwork Reduction Act of 1995, 44 U.S.C. Chapter 35, as amended.

Dated: June 25, 2002.

Paula O. Blunt,

General Deputy Assistant Secretary for Public and Indian Housing.

BILLING CODE 4210–33–M

Challenging U.S. Decennial Census Data:
Guidelines for the Indian Housing Block Grant Formula

This document, in question and answer format, outlines the steps HUD is preliminarily requiring for a tribe to challenge the U.S. Decennial Census data used in the "Needs" component of the Indian Housing Block Grant formula.

In order for a Census challenge to be considered for the upcoming Fiscal Year (FY) allocation, documentation must be submitted to HUD by June 15. Therefore, for FY 2004, documentation must be submitted to HUD by June 15, 2003. The discussion of what documentation needs to be submitted to HUD begins on page eight of this document.

Q: What are the variables in the formula that allocate funds for housing need?

A: The "needs" component of the block grant formula is based on 2000 U.S. Census sample data as adjusted by Indian Health Service (IHS) data on American Indian and Alaskan Native (AIAN) Births and Deaths. The weights and variables proposed to be used in the formula are the following:

Weight	Variable
11%	Number of American Indian and Alaskan Native (AIAN) Persons
13%	Number of AIAN Households with incomes less than 30% of local area median income
7%	Number of AIAN Households with incomes between 30% and 50% of local area median income
7%	Number of AIAN Households with incomes between 50% and 80% of local area median income
25%	Number of AIAN Households overcrowded (more than 1.01 persons per room) and/or without complete kitchen or plumbing
22%	Number of AIAN Households paying more than 50 percent of their monthly gross income for housing costs
15%	Number of AIAN Households with income less than 80% of local area median income less the number of assisted housing units.

The "weight" indicates the relative importance of a variable. The higher the weight, the more important the variable for allocating funds.

Q: Will HUD accept Tribal Enrollment Numbers?

A: Yes, HUD will accept tribal enrollment data in lieu of the number of AIAN persons listed under the Needs Data section of the Formula Response Form in computing the IHBG formula allocation but only if the tribal enrollment data is used by the Tribe to disburse significant per capita payments to tribal members and if only persons living within a Tribe's Formula Area is counted in the enrollment. HUD believes when tribal enrollment is used for disbursing funds there is a built-in incentive to update and purge records on a regular basis. Source: *NAHASDA Guidance: NO: 98-12, PG.2: 10-30-98.*

Q: Will HUD accept BIA Labor Statistics?

A: In most cases, HUD will not accept BIA Labor Statistics in lieu of the number of AIAN persons listed under the Needs Data section of the Formula Response Form when computing the IHBG. BIA Labor Statistics are not collected by a consistent method across the country. In order for HUD to consider BIA Labor Statistics in lieu of AIAN persons, a tribe would first have to submit the method that was used in collecting their BIA Labor Statistics. Sources of data for the need variables shall be data that are collected in a uniform manner that can be confirmed and verified for all AIAN households and persons living in an identified area. In most cases BIA Labor Statistics come from tribal data and this often comes from enrollment records. Data based upon enrollment records would only be accepted as described in the response to the previous question, " Will HUD accept Tribal Enrollment Numbers"?

Q: Will HUD accept Indian Health Service Information?

A: HUD will accept Indian Health Service records in lieu of the numbers of AIAN persons listed under the Needs Data section of the Formula Response Form in computing the IHBG Formula Allocation but only if the IHS data are made available to HUD. This availability will allow HUD to verify that only those users who reside within the Tribe's Formula Area, and have used the tribal health service within the last three years, are included in the Formula data. Source: *NAHASDA Guidance: NO: 98-12, PG. 2: 10-30-98.*

Q: Are the Census variables based on the number of tribal members?

A: No. The Census data used are for all AIAN households within a tribe's service area.

On the technical side, the Census data used are based on a sample of households who were given the 2000 Census "long form". That is the Census Bureau identified all of the housing units in an area. Each housing unit was then assigned a weight such that the data collected about the household in the sampled housing unit was multiplied times 2 or 6 or 8 to represent 2 or 6 or 8 other households in addition to themselves. For small areas with a relatively few people, the Census Bureau surveyed 1 of every 2 households. For areas with higher density, the Bureau sampled as high as 1 out of every 8 households. Most researchers agree that for large enough populations, sampling is less expensive and more reliable than trying to survey every household. However, because many tribal areas are relatively small in population and quite remote the chance of statistical error and undercount does increase. Undercount occurs when the Bureau does not *initially* identify all of the housing units while

statistical error occurs when not a high enough share of the households is surveyed to accurately represent the population.

Q: What if my tribe's service area is different than the service area currently identified by HUD?

A: Service Area is a term used by other programs. For IHBG purposes you should use Formula Area. You can correct the Formula Area being used for the formula. Guidance for making those corrections are in the document "Formula Response Form: Correcting Data for the Indian Housing Block Grant Formula".

Q: What if my tribe's geography is correct but the Census did not count all of the AIANs in our "formula area"?

A: The tribe may challenge the data. Any data the tribe provides to HUD to dispute the Census Bureau figures must be collected in a manner consistent with all other tribes. HUD makes the ruling on whether the data can be used. There are two options a tribe may take to challenge the data. The first option makes the case that there has been a miscount of AIAN households in the "Formula Area". The second option involves challenging each of the variables used in the formula. Both challenges require a survey. The first challenge would only require the first three questions in Appendix A. The second challenge would require all 10 questions in Appendix A to be asked.

As background for both of these challenges, the Census Bureau believes that the 1990 Census had a 12 percent "undercount" of persons in tribal areas. Unfortunately, they do not know how that undercount is distributed among tribes. Undoubtedly some tribes have a greater undercount than others. Furthermore, the housing and income data are based on a sample. The smaller a tribe's population, the more likely it is the data on income and housing condition are incorrect. The Census Bureau has worked very hard to do a better job of data collection in tribal areas during the year 2000 census. The cost of challenging data can be very expensive.

Q: How does a tribe challenge the data?

A: By providing data collected in a manner acceptable to HUD. This data may come from administrative records (see earlier answers on Tribal Enrollment and IHS data) or they may come from a survey conducted by the tribe. Regardless of whether a tribe decides to challenge only the population data or all of the variables, HUD's basic rules for reviewing data submitted, as part of a challenge is the following:

- Questions used in the tribal survey must obtain data equivalent to the data originally from the 2000 U.S. Census.

- The method of data collection is unbiased and statistically acceptable to HUD.

While this paper is to assist people without a background in survey research in conducting a successful survey that meets the above objectives, we strongly recommend trying to locate a person or organization independent from the tribe to manage the survey. Independent survey data is inherently more acceptable to other tribes and to HUD. For example, if there is a local college, a professor might be persuaded to conduct the survey as part of a course.

Step 1: Selecting the Type of Survey

The most commonly used surveys are: (a) telephone surveys; (b) door-to-door surveys; and (c) mail surveys.

Telephone surveys - An interviewer calls up, identifies an appropriate respondent, and proceeds with the interview. It is important to recognize that the steps that must be taken before the interviewer reaches the point of telephoning may prove difficult. In a telephone survey, the telephone numbers of all the households in the formula service area must be acquired and a method devised for contacting households without telephones or those with unlisted numbers.

Door-to-door surveys - The interviewers must go to each household, knock on doors, and do the "leg work" necessary to obtain interviews. In very small areas this type of survey may be the easiest because the interviewers can define the formula service area by its geographic boundaries.

Mail/Drop-off surveys-The interviewers need a list of all the addresses/location for all AIAN households in the formula service area, a questionnaire, and postage. However, mail/drop-off surveys often 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. If this method is chosen the interviewers should mail a stamped self-addressed return envelope and count on doing at least one follow-up letter or telephone call to encourage everyone to respond. If some households still do not respond, interviewers may need to be sent to the residence to conduct the survey.

Of course, it is possible, and sometimes quite useful, to combine these types of surveys. For example, if in a door-to-door survey someone is not home, the interviewers can leave a note for the resident to telephone. Or the telephone can be used to schedule a time when an interviewer will call at the door to conduct an interview. Similarly, a letter can be sent to residents of the target area to let them know in advance when an interviewer will call or visit. In each case, a last resort process may be needed for non-respondents. See Step 4: Last Resort Process for more information.

Step 2 - Developing a Questionnaire

After deciding on the survey method the questionnaire should be developed. The appendix of this paper includes the list of questions needed to challenge the data used in the Indian Housing allocation formula. It is important that all of the individuals surveyed are asked exactly the same questions and that their responses are recorded correctly. 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.

Step 3 - Assembling an Address List & Selecting a Sample

To challenge the data a tribe must first assemble a list of addresses of all households believed to be home to one or more AIANs in the tribe's formula area as defined by HUD and shown in the Formula Response Form. Tribes may wish to use their enrollment lists, telephone directories, and/or the post office to assemble this list. Of all the steps of challenging the data, this is the most important. If you cannot identify every household to be surveyed you will have an undercount. In fact, the Census

Bureau spends many years before a Census attempting to assemble a complete list of addresses/locations for the year 2000 Census. The more remote an area, the more difficult it is to assemble a complete list of addresses/locations.

Depending on the size of the list of households, a tribe may wish to survey every household or just a sample of households. 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 reasonably sure of the degree of accuracy of our overall estimates.

Note that if a tribe is sampling data, they should anticipate a certain degree of non-response. The highest level of non-response generally considered to be acceptable is 20 percent. Therefore, a tribe who wants 696 completed surveys should actually try to survey 835 households (696 * 1.20) in order to get an 80 percent response rate of 696 responses. Tribes should plan to send reminder cards, follow-up surveys, and conduct telephone or in-person follow-up visits to get households to respond that did not respond to the first survey.

The list below provides an example of how large sample sizes should be if the tribe wishes to sample households for the survey[1]:

Minimum Total Households	Completed Surveys	Sample Size
Less than 75	63	All
76- 100	79	95
101- 125	94	113
126- 150	108	129
151- 200	132	158
201- 300	168	202
301- 400	196	235
401- 500	217	261
501- 750	254	305
751- 1,000	278	333
1,001- 1,500	306	367
1,501- 2,000	322	387
2,001- 3,000	341	409
3,001- 4,000	350	421
4,001- 5,000	357	428
5,001-10,000	370	444
10,000 or more	377	450

[1] These sample sizes would provide an estimator that is within 3% of the population percentage with 95% probability. To calculate the sample size for a different population the formula is:
(Total Population * (50*50/9)) / (Total Population + (50*50/9))

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. That is, the sample needs to be random. To accomplish this, each household on the full list will be assigned a number. Then using a random numbers table the sample will be selected. For example, if the household list has 2,000 households, 835 would be randomly selected to be surveyed. When sampling using a random numbers table, which can be found in a statistical textbook appendix, you take a list of your universe and draw from it according to the table. If, for example, the first three random numbers are 087, 384, and 102, then you would go through your universe list and take the 87th, 384th, and 102nd households to try to interview. Continue until you have achieved the desired sample size.

Random numbers can also be created through built in functions in spreadsheet programs. Using this method, random numbers are usually generated in a range between 0 and 1. The random numbers must then be multiplied by the total number of households.

If all of the individuals or households can be listed systematically, i.e. alphabetically by last name or by mail address, a systematic sample will be adequate. (Systematic samples are often described as pseudo-random samples.) To draw this sample, you need to determine the sampling interval. You do this by dividing the sample size that you want by the total number on the list of names. For example, if you had a list of 1,000 names and you wanted a sample of 333 persons, the sampling interval would be 333/1000, or approximately three. After you determine the sampling interval, obtain a random starting point and apply the interval. For example if the interval was three, randomly select to start with the 1st, 2nd, or 3rd name on the list, then select every 3rd name until reaching 333 selected names.

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.

Publicity. 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 a tribal meeting can let people living in your formula service area know that you will be conducting a survey. People will more likely cooperate if you let people know in advance how, when, and why you will contact them.

Interviewers for phone and in-person surveys. 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, ask the questions as they are written, follow respondent selection procedures, and write down the responses as given.

Preparing for the Survey. As part of your preparation for the survey, you should develop an introduction to the actual interview. This should be a standard introduction identifying the purpose of the survey, and request the participation of respondent. Usually, it is also a good idea to note the expected amount of time to complete the survey.

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 receive the completed 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 set procedures for number of times you will attempt to reach an individual before they are considered "unreachable". No matter what you do, some households just will not return a written survey or 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. You can establish a procedure for collecting information when individuals are unavailable. This procedure is called collecting last resort information.

Last Resort Information Collection Procedure. You may introduce a rule about getting information regarding occupied dwellings when it is impossible to get answers directly from the residents. Imagine that there is a dwelling that is known to be occupied. Either the residents refuse to speak with any interviewer or no one is found at home after a series of six calls or visits. In such a case, it may be necessary to ask a neighbor or some other knowledgeable person – i.e. a letter carrier, etc. – for some minimal information about the residents, for example: how many individuals live there. Do not ask the knowledgeable person any questions about income. This procedure should be used extremely rarely, if at all. The interviewer should document how many AIAN households were counted through this last resort data collection method.

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 (possibly 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 at 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. With mail/drop-off surveys, reminder cards should be sent to each household soon after they receive the survey indicating the importance of the information. If they do not respond within 10 to 15 days, a second survey should be sent/dropped off. Still if you receive no response on the mail survey, you may wish to send in-person interviewers or attempt a phone call.

Training interviewers. Prior to beginning the regular interviews, supervisors should bring the interviewers together for one or more training sessions. In these sessions, the supervisors should teach:

- How to introduce yourself when you call or visit,
- How to explain the survey,
- How to explain that the person's answers will be confidential,
- How to ask the questions (asking the questions as written not improvised),
- How to listen carefully and to record answers,
- How to ask follow-up or probe questions, if the person fails to answer the question.

At the training sessions, there should be some practice interviews in which the interviewers interview each other.

Contact and Follow-Up. Interviewers should attempt to contact respondents at a time when they are most likely to get a high rate of response from 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. You 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.

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.

Editing. The completed surveys should be provided to the person who will tabulate and analyze them. That person should review each survey to ensure that it is complete and that each question is answered once and only once in a way that is clear and unambiguous. If the survey is in-person or telephone, an unclear responses may be resolved by the interviewer. It also may 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 across errors, which you need to correct.

Step 5 - Analyzing the Data

After you have your data collected and edited, you just need to add up the 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 the information needed for the formula; and (2) determining the accuracy of the estimate. The first of these parts can be taken care of by completing the worksheet in the appendix.

Tabulation. For ease of processing, it is important to enter the responses onto a computer, if one is available. A database program, such as DBase, or a spreadsheet program such as Lotus 1-2-3 or Microsoft Excel would work fine.

References. Listed below are a few clearly written books that may be helpful:

- F. J. Fowlern. *Survey Research Methods*. Sage.
- Arlene Fink. *The Survey Handbook*. Sage.
- Linda B. Bourque and Eva P. Fielder. *How To Conduct Self-Administered And Mail Surveys*. Sage.
- James H. Frey and Sabine M. Oishi. *How to Conduct Interviews By Telephone And In Person*. Sage.

The Sage Publications information address and email is:

Sage Publications, Inc.
2455 Teller Road
Thousand Oaks, Ca 91320

e-mail: order@sagepub.com

These books and others that are similar may be available in a local public or university library.

Q: After collecting and analyzing the data, what do we send to HUD?

A: Send to HUD a detailed copy of your methodology. This includes:

1) The name, organization, and phone number for the person(s) who managed the survey
2) Your source(s) of data for the addresses
3) The geographic areas of the addresses (by county, city, reservation, and/or trust land) include a map or maps of the geographic area you are surveying, from http://ftp2.census.gov/plmap/pl_blk/ web site or equivalent.
4) The number of addresses identified (i.e. the number of households used for drawing your sample)
5) The number of AIAN households sampled (if applicable)
6) The number of AIAN households responding
7) A copy of your questionnaire
8) An explanation of your survey method(s) - (a) if the survey is telephone, in-person, mail, or some combination, (b) number of repeat attempts before dropping a household

from the sample, (c) what recruitment and training was done for interviewers, and (d) what kinds of quality checks were done to assure the accuracy of the data collected.

9) If weighting is done, a detailed explanation of how each households response is weighted.

Also send to HUD a table with your results. If this is only a population challenge, include only the number of AIAN persons and AIAN households (where the head and/or spouse is AIAN) in the formula service area. If this is a full challenge, provide the following information:

1) Number of AIAN Persons
2) Number of AIAN Households with incomes less than 30% of local area median income
3) Number of AIAN Households with incomes between 30% and 50% of local area median income
4) Number of AIAN Households with incomes between 50% and 80% of local area median income
5) Number of AIAN Households overcrowded (more than 1.01 persons per room) and/or without complete kitchen or plumbing
6) Number of AIAN Households paying more than 50 percent of their monthly gross income for housing costs

In some cases, HUD may request the household level data collected in order to confirm the accuracy of the results and/or to randomly survey the respondents to insure the accuracy of the survey.

All challenges should be sent to:

Formula Allocation, Customer Service Office
Stephen Winter Associates
1331 H Street NW
Suite 1000
Washington, DC 20005
Toll Free Number: 1-800-410-8808
FAX: 202-393-5043
E-mail: IHBGformula@swinter.com

Q: Under the proposed rule, HUD can challenge the data used in the formula. Why would HUD challenge the data?

A: Because the formula is based on all AIANs in a tribe's "formula area", some tribes may receive funding for AIAN households they would never serve even if they had enough funding. Such cases can occur especially when a tribe's "formula area" encompasses a major urban area. In order for the formula to be fair for all tribes, HUD has the authority to challenge the data so that one tribe is not receiving a disproportionate amount of funding at the expense of all other tribes. Because a formula is a "zero sum game", that is the size of the pie does not change, if one tribe is getting more than its fair share all of the other tribes are receiving less.

Appendix A - Survey Questions

Please Note: The definition for American Indian and Alaskan Native (AIAN) Household for this special tabulation is a household where the head of household and/or spouse is AIAN. In addition, HUD uses the U.S. Census Bureau's definition of a household: a person or group of persons who live in a housing unit. This definition equals the count of occupied housing units used in the census.

1. This survey must count every person living or staying in this house, apartment, or mobile home on the day of the survey.

   How many persons lived here on Sunday (survey day), including all persons staying here who have no other permanent place to stay? (Count the number of persons living in this place, do not be concerned with family relationships or the number of families living in this place).

Include

- Everyone who usually lives here such as family members, housemates and roommates, foster children, roomers, boarders, and live-in employees
- Persons who are temporarily away on a business trip, on vacation, or in a general hospital
- College students who stay here while attending college
- Persons in the Armed Forces who live here
- Newborn babies still in the hospital
- Children in boarding schools below the college level
- Persons who stay here most of the week while working, even if they have another permanent place to stay
- Persons, who are staying here (on survey day), with no other permanent place to stay

Do NOT include

- Persons who usually live somewhere else
- Persons who are away in an institution such as a correctional facility, a mental hospital, or a nursing home
- College students who live somewhere else while attending college
- Persons in the Armed Forces who live somewhere else
- Persons who stay somewhere else most of the week while working

_____ Total Number of Persons

2. How many of the persons indicated above are AIAN?

   _____ Total AIAN Persons

3. Is the head of household and/or their spouse an AIAN? The "head of household" is the person in whose name this house or apartment is owned, being bought, or rented.

__ YES
__ NO

4. How many rooms do you have in THIS house, apartment, or mobile home? *Be sure to count bedrooms, living rooms, kitchens, a separate dining room and rooms in a finished basement. Do not count bathrooms, porches, balconies, entry areas, halls, or half-rooms. Count multipurpose room only one time; for example count a combination kitchen and dining room or a living room that is used as a bedroom at night only once.*

_____ Total Number of Rooms

5. Do you have COMPLETE plumbing facilities in THIS house, apartment, or mobile home? That is 1) hot and cold piped water, 2) a flush toilet, and 3) a bathtub or shower.

__ YES, have all three facilities
__ NO

6. Do you have COMPLETE kitchen facilities in THIS house, apartment, or mobile home? That is 1) a sink with piped water, 2) a range or stove, and 3) a refrigerator.

__ YES, have all three facilities
__ NO

7a. Answer only if you PAY RENT for this house or apartment - What is the monthly rent?

$_____ Monthly Rent

7b. Does the monthly rent include any meals?

__ YES
__ NO

8. What are the ANNUAL costs of utilities and fuels for this house, apartment, or mobile home? Utility and fuel costs include the cost of ELECTRICITY, GAS, WATER and SEWAGE, OIL, COAL, KEROSENE, WOOD, ETC. If you have lived here less than 1 year, estimate the annual cost.

a. Electricity

$_____Yearly Cost - Dollars

OR
_____ Included in rent or in condominium fee
_____ No charge

b. Gas

$_____Yearly Cost - Dollars

OR
_____ Included in rent or in condominium fee
_____ No charge

c. Water and sewer

$_____Yearly Cost - Dollars

OR
_____ Included in rent or in condominium fee
_____ No charge

d. Oil, coal, kerosene, wood, etc.

$_____Yearly Cost - Dollars

OR
_____ Included in rent or in condominium fee
_____ No charge

9. Answer questions 9a to 12 only if this is a one-family house, a condominium or a mobile home that someone in this household OWNS OR IS BUYING; otherwise go to question 13.

a. If not included in mortgage payments, what were the real estate taxes on THIS property last year?

__ Yes, mortgage, deed of trust, or similar debt
__ Yes, contract to purchase
__ No, sip to 10

b. How much is your regular monthly mortgage payment on THIS property? Include payment only on first mortgage or contract to purchase.

$_____ Monthly Amount – Dollars
OR
__ No regular payment required, go to question 10

c. Does your regular monthly mortgage payments include payments for real estate taxes on THIS property?

_____ Yes, taxes included in mortgage payment
_____ No, taxes paid separately or taxes not required

d. Does your regular monthly mortgage payment include payments for fire, hazard, or flood insurance on THIS property?

_____ Yes, insurance included in mortgage payment
_____ No, insurance paid separately or no insurance

10a. Do you have a second mortgage or a home equity loan on THIS property? Mark all that apply.
_____ Yes, a second mortgage
_____ Yes, a home equity loan
_____ No, skip to question 11

b. How much is your regular monthly mortgage payment on all second or junior mortgages and all home equity loans on THIS property?

$_____ Monthly Amount – Dollars
OR
___ No regular payment required

11. What ere the real estate taxes on THIS property last year?

$_____Yearly Amount - Dollars
OR
__ None

12. What was the annual payment for fire, hazard, and flood insurance on THIS property?

$_____ Annual Amount – Dollars
OR
___ None

13. Answer ONLY is this is a CONDOMINIUM. What is the monthly condominium fee?

$_____ Monthly Amount - Dollars

14. Answer ONLY if this is a MOBILE HOME.

a. Do you have an installment loan or contract on THIS mobile home?
_____ Yes
_____ No

b. What is the total cost for installment loan payments, personal property taxes, site rent, registration fees, and license fees for THIS mobile home and its site last year? Exclude real estate taxes.

$_____ Yearly Amount - Dollars

15. INCOME LAST YEAR. What was this household's total income last year, include: all wages, salary, commissions, bonuses, or tips from all jobs; self-employment income from own farm or non-farm business, include proprietorships and partnerships, report net income after business expenses; interest, dividends, net rental income, royalty income, or income from estates and trusts; Social Security or Railroad Retirement; Supplemental Security Income (SSI), Aid to Families with Dependent Children (AFDC), or other public assistance or public welfare payments from state or local welfare office; Retirement, survivor, or disability pensions; and any other income received regularly such as Veterans' (VA) payments, unemployment compensation, child support, or alimony, or per capita payments for all household members. Do not include lump sum payments such as money from an inheritance or sale of a home.

$_____ Annual Amount - Dollars

OR

_____ None

(This question may be replaced by one that asks the respondent to select the category that best represents the household's total income last year). The categories should be based upon 30%, 50% and 80% values of the median income for the local county(ies) or the National median income.)

Appendix B - U.S. Census Bureau: Government Specialists for Tribal Programs

Atlanta
Bea Piddock
Dwight Danzy
404-730-3832

Boston
Cesar Monzon
617-424-0510
Cesar.Augusto.Monzon@census.gov

Charlotte
Ken Wright
704-344-6142
W.Kenneth.Wright@census.gov

Chicago
Marilyn Stephens
708-531-9572
Marilyn.E.Stephens@census.gov

Dallas
Paula Wright
Janice People
800-835-9752
Paula.K.Wright@census.gov

Denver
Pat Rodriguez
303-969-7750
Patricia.Eloise.Rodriguez@census.gov

Detroit
Vincent Kountz
800-564-3978
Vincent.L.Kountz@census.gov

Kansas City
Matthew Milbrodt
Paula Givens-Bolder
913-551-6711
Matthew. S.Milbrodt@census.gov

Los Angeles
Tommy Randle
818-904-6522
Tommy.Randle@census.gov

New York
Kewulay Kamara
Ron Uba
212-264-4730
nypds@census.gov

Philadelphia
Phil Lutz
215-656-7580
Philip.M.Lutz@census.gov

Seattle
Patty Farnam
206-553-5835

Additional information on the 1990 Federal Census of Population and Housing can be found on the Census Bureau Web Page: http://www.census.gov/population/www/socdemo/race/indian.html

Appendix C - Formula Needs Worksheet for Population Challenge

Please Note: The definition for American Indian and Alaskan Native (AIAN) Household for this special tabulation is a household where the head of household and/or spouse is AIAN. In addition, HUD uses the U.S. Census Bureau's definition of a household: a person or group of persons who live in a housing unit. This definition equals the count of occupied housing units used in the census.

RAW DATA

1. Total Number of Households in "formula area" (from list compiled for survey).
   _____ Households listed

2. Total Number of Households sampled for survey.
   _____ Households sampled

3. Total Number of Households responding to survey.
   _____ Households responding

4. Total persons in households responding to survey. The sum of survey question 1. (For example, if the sample was 2 households, with household #1 having 5 persons and household #2 having 4 persons, the sum of survey question 1 would result in a total of 9 persons).
   _____ Persons

5. Total Number of persons in households responding to survey who are AIAN. The sum of survey question 2.
   _____ AIAN Persons

6. The total number of AIAN households responding to the survey. The number of households responding "YES" to survey question 3.
   _____ AIAN Households responding

CALCULATIONS

7. Response Rate = Line 3 divided by Line 2 (Line 3 / Line 2)

8. Weight of each responding household = Line 1 divided by Line 3 (Line 1 / Line 3)

9. Total AIAN Persons = Line 5 times Line 8 (Line 5 * Line 8)

10. Total AIAN Households = Line 6 times Line 8 (Line 6 * Line 8)

Appendix D - Formula Needs Worksheet for All Variable Challenge

Please Note: The definition for American Indian and Alaskan Native (AIAN) Household for this special tabulation is a household where the head of household and/or spouse is AIAN. In addition, HUD uses the U.S. Census Bureau's definition of a household: a person or group of persons who live in a housing unit. This definition equals the count of occupied housing units used in the census.

RAW DATA

1. Total Number of Households in "formula area" (from list compiled for survey).

2. Total Number of Households sampled for survey.

3. Total Number of Households responding to survey.

4. Total persons in households responding to survey. The sum of survey question 1. (For example, if the sample was 2 households, with household #1 having 5 persons and household #2 having 4 persons, the sum of survey question 1 would result in a total of 9 persons).

5. Total Number of persons in households responding to survey who are AIAN . The sum of survey question 2.

6. The total number of AIAN households responding to the survey. The number of AIAN households responding "YES" to survey question 3.

7. Total number of AIAN households with incomes less than 30 percent of Median Income. The number of households responding "YES" to survey question 3 and whose population equals line 1 and income is below line 2:

Persons in household (response to survey question 1)	30% of Local Area Median Income (From table supplied by HUD)	Total Number of AIAN Households with income below 30% of area Median (question 10 of survey)
1. Person:		
2. Person:		
3. Person:		
4. Person:		
5. Person:		
6. Person:		
7. Person:		
	TOTAL:	

8. Total number of AIAN households with incomes less than 50 percent of Median Income. The number of households responding "YES" to survey question 3 and whose population equals line 1 and income is below line 2:

Persons in household (response to survey question 1)	50% of Local Area Median Income (From table supplied by HUD)	Total Number of AIAN Households with income below 30% of area Median (question 10 of survey)
1. Person:		
2. Person:		
3. Person:		
4. Person:		
5. Person:		
6. Person:		
7. Person:		
	TOTAL:	

9. Total number of AIAN households with incomes less than 80 percent of Median Income. The number of households responding "YES" to survey question 3 and whose population equals line 1 and income is below line 2:

Persons in household (response to survey question 1)	80% of Local Area Median Income (From table supplied by HUD)	Total Number of AIAN Households with income below 30% of area Median (question 10 of survey)
1. Person:		
2. Person:		
3. Person:		
4. Person:		
5. Person:		
6. Person:		
7. Person:		
	TOTAL:	

10. Total Number of AIAN Households Overcrowded and or without complete kitchen or plumbing are all of those AIAN households that meet one or more of the following requirements:

    a) It is overcrowded -> Question 1 divided by Question 4 is 1.01 or greater.

    b) It is without complete plumbing -> responded NO to Question 5.

    c) It is without complete kitchen -> responded NO to Question 6.

11. Total Number of AIAN households with severe housing cost burden are all those AIAN households who meet the following requirements:

    For AIAN renters: ((Question 7e times 12 months) + Question 8)) / Question 15 is greater than or equal to .50

    For AIAN owners: ((Question 9b times 12 months) + Question 11[2] + Question 12[2] + Question 8)) / Question 15 is greater than or equal to .50

[2] Note, if the respondent said yes to 13 then 11 should not be included in the calculation. If respondent said yes to 14 then 12 should not be included in the calculation.

FY 2003 Formula Response Form
Indian Housing Block Grant Formula Data for the « 1» Tribe

This document provides notice to tribes/TDHEs of the data to be used in calculating their Indian Housing Block Grant (IHBG) Program allocation for Fiscal Year (FY) 2003. It also provides an estimate of their FY 2003 allocation. Please carefully review your Tribe's data then report discrepancies, including updated information, to the IHBG Formula Customer Service Center as described below.

All tribes/TDHEs are responsible for reporting discrepancies in the following sections along with appropriate documentation to the IHBG Formula Customer Service Center:

- Formula Current Assisted Stock.
- Formula Area.
- Overlapping Formula Areas.
- Formula Area Population Cap.

The submission must be postmarked or faxed by **September 15, 2002**, for consideration in the FY 2003 allocation. For questions regarding appropriate documentation, please contact the Formula Customer Service Center at the address listed below.

Tribes/TDHEs wishing to challenge their Census data should review the **Needs section** of this form. In January 2002, tribes/TDHEs were notified of their FY 2002 Allocation and Formula Data. They were also reminded of the June 15, 2002, deadline for FY 2003 Census challenges. The Needs data in this document should include any successful Census Challenges approved to date. You should check the Needs section and verify that successful challenges have been incorporated.

In January 2003, tribes/TDHEs will be notified of their FY 2003 Allocation and Formula Data. Also at that time, we will remind tribes/TDHEs of the **June 15, 2003**, deadline for FY 2004 Census challenges. Should you wish to challenge your Needs data, please consult the guide titled, "*Challenging U.S. Decennial Census Data: Guidelines for the Indian Housing Block Grant Formula*". The guide outlines procedures for conducting a Census challenge and can be obtained from the IHBG Formula Customer Service Center. Page 10 of the document contains a discussion on the documentation required for a Census challenge submission. HUD may also correct or challenge any formula data. In accordance with 24 CFR 1000.336, tribes will receive proper notification if HUD proposes such a challenge.

The IHBG Formula Customer Service Center can be contacted at:

1331 H Street NW	E-mail:	IHBGformula@swinter.com
Suite 1000	Phone:	1 (800) 410-8808
Washington, DC 20005 Phone:	Fax:	1 (202) 393-5043

« 1»

Formula Current Assisted Stock
Homeownership and Rental

HUD records show your Tribe/TDHE having the following Formula Current Assisted Stock (FCAS) funded by 1937 Housing Act programs. Please compare the project numbers, number of units, type of units, and Date of Full Availability (DOFA) with your records. Then postmark or fax any discrepancies, including updated information, to the IHBG Formula Customer Service Center by **September 15, 2002**, for inclusion in the FY 2003 allocation.

Count
- Low-Rent, Mutual Help and Turnkey III units funded under 1937 Housing Act (i.e., units that were subject to an Annual Contributions Contract (ACC))
- Units converted prior to October 1, 1997, as the type of unit funded on the latest ACC.
- Units converted after October 1, 1997, as the type of unit to which it was converted.

Do Not Count
- Units built with NAHASDA, HOME or ICDBG funds.
- Units built with BIA, State or tribal funds.
- Units built over number specified in original ACC for Projects that DOFA after October 1, 1997.
- Units used for non-dwelling purposes.
- Units that have been conveyed.
- Units that are paid-off but not conveyed unless the conveyance was beyond the entity's control (see NAHASDA Guidance 98-19).

Please complete and submit appropriate forms.
- Use **Appendix A1** to report changes due to conveyances.
- Use **Appendix A2** to report changes due to DOFAs.
- Use **Appendix A3** to report changes due to conversions.
- Use **Appendix A4** to report all other FCAS changes.

Please note that to maintain fairness to all tribes, back-funding is not provided for previously unreported units. However, since it is each tribe's responsibility to report all discrepancies, over-funding for ineligible units will be recovered.

Project Number	Low-Rent	Mutual Help	Turnkey III	Development	DOFA

« 2»

« 1»

Formula Current Assisted Stock
Section 8

As of September 30, 1997, HUD records show your Tribe/TDHE having the following Section 8 contracts with respective contract expiration dates. By regulation, Section 8 units are counted under the IHBG formula only:

- After the original Section 8 contract has expired.
- When the tribe/TDHE continues to operate these units as low-income rental units.

Please indicate any changes to the number of Section 8 units your tribe manages or to their contract expiration dates. When a voucher or certificate expires, credit will be prorated based on the remaining part of the Fiscal Year. For example, if the voucher or certificate expires in the middle of the Fiscal Year, a tribe will receive funding for half a year.

Please note that Section 1003(k) of Public Law 106-568 amends Section 502(a) of NAHASDA by adding the following language at the end of 502(a), "Any housing that is the subject of a contract for tenant-based assistance between the Secretary and an Indian housing authority that is terminated under this section shall, for the following fiscal year and each fiscal year thereafter, be considered to be a dwelling unit under section 302(b)(1)." The Department believes that a regulatory change is needed to implement this provision and is currently in the process of selecting members for the negotiated rulemaking committee. Therefore, these changes have not yet been incorporated.

Contract Number	Number of Section 8 Units	Contract Expiration Date

« 3»

« 1»
Needs Data
(Please note: Census challenges must be postmarked or fax by June 15 for upcoming fiscal year)

Listed below are the data currently being used for your Tribe's allocation based on 1990 U.S. Census data available for your Tribe's "Formula Area" (see Formula Area section of this document). The Census data are from a special tabulation of 1990 Sample Census Data that separated the American Indian and Alaska Native (AIAN) population of each county into counts for reservation lands and for the balance of the county. This Census data is adjusted by the Native American population growth rate for the county between 1990 and 2000 based on Indian Health Service data for Native American births and deaths.

Please note that the definition for Native American Household for this special tabulation is a household where the head of household and/or spouse is Native American. This is a broader definition than what standard Census tabulations report. In addition, HUD uses the US Census Bureau's definition of a household. A household by this definition is a person or group of persons who live in a housing unit. Therefore, a house with 3 families residing in that house would be counted as one household, not 3 households. This is important to note when submitting a Census challenge.

If you disagree with the data below, **first check to see if the Formula Area, as listed on the following page, is correct for your Tribe**. If the Formula Area is not correct, submit that correction. If the Formula Area for your tribe is correct, or if you believe that the Formula Area correction will not resolve the data discrepancies, you may wish to challenge these data. If so, please review the guidelines in, "*Challenging U.S. Decennial Census Data: Guidelines for the Indian Housing Block Grant Formula".* This document can be obtained from the IHBG Formula Customer Service Center at the address listed on the first page of this form.

AIAN persons**« 12»**:	« 5»
AIAN households with annual income less than 30% of median income:	« 6»
AIAN households with annual income between 30% and 50% of median income:	« 7»
AIAN households with annual income between 50% and 80% of median income:	« 8»
AIAN Households which are overcrowded or without kitchen or plumbing:	« 9»
AIAN Households with housing cost burden greater than 50% of annual income:	« 10»
Housing Shortage (Number of low-income AIAN households less total number of NAHASDA and Formula Current Assisted Stock):	« 11»

If there is a "*" next to "AIAN persons" above, the tribe's data have been "capped". This occurs when the Native American population in the tribe's service area is greater than 200% of its total tribal enrollment.

« 1»
Formula Area

Formula Area is the geographic area over which an Indian tribe could exercise court jurisdiction or is providing substantial housing services and, where applicable, the Indian tribe or TDHE has agreed to provide housing services pursuant to a Memorandum of Agreement with the governing entity or entities (including Indian tribes) of an area, including but not limited to:

(1) A reservation;
(2) Trust land;
(3) Alaska Native Village Statistical Area;
(4) Alaska Native Claims Settlement Act Corporation Service Area;
(5) Department of the Interior Near-Reservation Service Area;
(6) Former Indian Reservation Areas in Oklahoma as defined by the Census as Tribal Jurisdictional Statistical Area;
(7) Congressionally Mandated Service Area; and
(8) State legislatively defined Tribal Areas as defined by the Census as Tribal Designated Statistical Areas.

The geographic areas currently contained in your Formula Area are listed below. If any of these areas do not meet the above criteria, please indicate so below.

A "+" next to a geographic area listed below indicates that area overlaps with another tribe. For overlapping areas, be sure to include the information in the next section "Overlapping Formula Areas". If a tribe's Formula Area extends beyond reservation or Trust Land boundaries into a county, the geographic area for that county is listed as "Balance", implying the balance of the county less any reservations or trust lands within that county.

The tribe's current Formula Area is: **« 4»**

If you wish to request other geographic areas to be included in your Tribe's Formula Area, please complete the Formula Area table in **Appendix B**. HUD will review this submission and determine whether or not to include these areas. HUD will make its judgment using as its guide whether this addition is fair and equitable for all tribes receiving a formula allocation.

« 1»

Overlapping Formula Areas

Only for tribes with a "+" next to a geographic area
(see previous section on Formula Area)

To provide an allocation of Formula Area Needs Data (population) to tribes with overlapping IHBG Formula Areas, HUD is currently using Bureau of Indian Affair (BIA) and HUD estimates for Total Resident Indian Service Area Population to proportionately allocate U.S. Census data to affected tribes. Although the geography represented by BIA data is not always consistent with the geography of the Census data, HUD finds that the BIA data is a good estimate available at a national level.

The Total Resident Indian Service Area Population being used for your Tribe is: **« 16»**

If you wish to correct your Tribe's Total Resident Indian Service Area Population, please contact your BIA Area Office to correct your Tribe's number. HUD will only accept written correspondence from the BIA to correct Total Resident Indian Service Area Population figures.

However, HUD recognizes that tribes may be able to provide better data. To improve this method, HUD is requesting that each tribe provide their tribal enrollment within each of the geographic areas described in the preceding section as overlapping geographical areas. Tribes also need to provide a letter addressed to HUD verifying the tribe's continued commitment to serve the housing needs of AIAN families in that area. If **all tribes in an overlapping area submit corrected information** to HUD, HUD will then use this information to divide the funds for the affected area. Otherwise, HUD will continue to use the BIA and HUD estimates to make the allocations. On the form in **Appendix C** list the overlapping geographic area (indicated earlier under the Formula Area section by a "+" next to the geographic area) and your tribe's enrollment in the area.

Tribal Enrollment & Formula Area Population Cap

Tribal enrollment is used to cap AIAN persons data under the Needs section of this form. A cap is placed at twice your tribal enrollment. If there is a "*" next to "AIAN persons" under the Needs section above, your Tribe's data have been "capped".

The tribal (Alaskan Corporation) enrollment being used for your tribe is: **« 16»**

If your Tribe's enrollment is different than what is listed above, please follow the instructions in **Appendix D** for correcting your Tribe's enrollment.

If the number of AIAN persons exceeds **twice** your tribal enrollment and you are providing housing services to more than twice as many Native Americans who are non-members of your tribe than members, please follow the instructions in **Appendix D** for correcting your Tribe's Population Cap. Attach supporting documentation demonstrating your Tribe's commitment to providing housing services to substantially more non-member Native Americans who are members of another federally recognized tribe and include a breakdown by tribal affiliation of the Native Americans that you are serving.

Please note that the **Formula Area Population Cap Adjustments must be submitted on an annual basis** to the IHBG Formula Customer Service Center for approval. The requests must be postmarked or faxed by **September 15** of each fiscal year.

« 1»

Adjustment Factors & Preliminary Grant Amount

Local Area Cost Adjustments

Annual Expense Level (AEL):	« 13»
Fair Market Rent (FMR):	« 14»
Total Development Cost (TDC):	« 15»

Inflation Rate Factor

16

Preliminary Grant Amount

(based on an estimated $XXX million Congressional allocation)

1. Current Assisted Stock:	« 17»
2. Need:	« 18»
3. Adjustments to achieve FY 1996 Base Year Amount [2]:	« 19»
4. FY 2001 Grant [3]:	« 20»
5. FY 1998 Adjustments:	21
6. FY 1999 Adjustments:	**22**
7. FY 2000 Adjustments:	**23**
8. FY 2001 Adjustments:	**24**
9. FY 2002 Adjustments:	**25**
10. Repayments	**26**
11. FY 2003 Grant with Adjustments[3]:	**27**

[2] FY 1996 base year amount is the amount of funds a tribe received in FY 1996 for operating subsidy and modernization. NAHASDA mandates that the formula cannot allocate less than this amount to a tribe.

[3] This is only a preliminary estimate to be used for planning purposes based on an estimated $XXX million appropriation for the Indian Housing Block Grant. It will change based on (1) corrections to the data used for all tribes (any change in one tribe's data affects the allocation for all tribes) and/or (2) actual FY 2000 appropriations.

Appendix A1:
Conveyance of Formula Current Assisted Stock (FCAS) Units

Conveyance Regulation:

According to 24 CFR 1000.318, "Mutual Help and Turnkey III units shall no longer be considered Formula Current Assisted Stock (FCAS) when the housing entity no longer has the legal right to own, operate, or maintain the units, whether such right is lost by conveyances, demolition, or otherwise."

According to NAHASDA Guidance Number 98-19, "The tribe/TDHE shall not include units that have been paid-off but not conveyed unless the they can demonstrate that reasons beyond their control have not made conveyance practical. The tribe/TDHE or IHA must demonstrate that they have actively enforced strict compliance by the homebuyers with the terms and conditions of the MHOA, including the requirements for full and timely payment. Because promissory notes can be issued, Tenant Account Receivables alone are not adequate for non-conveyance."

- Report units that have been conveyed.
- Report units that are paid-off but not conveyed unless the conveyance was beyond the entity's control (see NAHASDA Guidance 98-19).

Please note that to maintain fairness to all tribes, over-funding for ineligible units will be recovered. Please provide information below for each unit conveyed*.

Project number:

Conveyed Unit Number:	Paid-off date	Conveyance date	Explanation for conveyance delays greater than two (2) years
1			
2			

Project number:

Conveyed Unit Number:	Paid-off date	Conveyance date	Explanation for conveyance delays greater than two (2) years
1			
2			

Project number:

Conveyed Unit Number:	Paid-off date	Conveyance date	Explanation for conveyance delays greater than two (2) years
1			
2			

*Please postmark or fax discrepancies with appropriate supporting documentation to the IHBG Formula Customer Service Center by **September 15, 2002**, for inclusion in the FY 2003 allocation.

Appendix A2:
Date of Full Availability (DOFA) of Formula Current Assisted Stock (FCAS) Units

DOFA Regulation:

According to 24 CFR 1000.312 and 1000.314 "Formula Current Assisted Stock (FCAS) consists of Housing units owned or operated pursuant to an ACC. This includes all low rent, Mutual Help, and Turnkey III units under management as of September 30, 1997, and all 1937 act units in the development Pipeline when they become owned or operated by recipients and are under management as indicated in the Formula Response Form."

- Report only Low-Rent, Mutual Help and Turnkey III units funded under 1937 Housing Act (i.e., units that were subject to an Annual Contributions Contract (ACC))
- Do not report units built with NAHASDA, HOME or ICDBG funds.
- Do not report units built with BIA, State or tribal funds.
- Do not report units built over number specified in original ACC for Projects that DOFA after Oct 1, 1997.

Please note that to maintain fairness to all tribes, back-funding is not provided for previously unreported units. Please provide the information below for each new reported project DOFA*. Please provide a copy of the Annual Contribution Contract (ACC) for each reported project.

Project Number	Number of Units	Type of Units	DOFA DATE

*Please postmark or fax discrepancies with appropriate supporting documentation to the IHBG Formula Customer Service Center by **September 15, 2002**, for inclusion in the FY 2003 allocation.

Appendix A3:
Conversion of Formula Current Assisted Stock (FCAS) Units

Conversion Regulation:

According to NAHASDA Guidance No. 98-12, "If FCAS units were converted prior to Oct.1, 1997, as evidenced by an amended Annual Contribution Contract (ACC), then those units will be counted as the type of unit to which they were converted [for formula purposes]. If units were converted on or after October 1, 1997, than those units will be counted as the type of unit specified on the original ACC [for formula purposes]."

- Count units converted prior to Oct 1, 1997, as the type of unit converted to.
- Count units converted after Oct 1, 1997, as the type of unit on the original ACC.

Please provide the information below for each project converted prior to October 1, 1997*. Please provide a copy of the Amended (ACC) for each project.

Project Number	Number of Units on Formula Response Form	Number of Units after Conversion			Date of Conversion
		Low Rent	Mutual Help	Turnkey III	

*Please postmark or fax discrepancies with appropriate supporting documentation to the IHBG Formula Customer Service Center by **September 15, 2002**, for inclusion in the FY 2003 allocation.

Appendix A4:
All Other Corrections to Formula Current Assisted Stock (FCAS)

FCAS Correction Regulation:

According to 24 CFR 1000.312 and 1000.314 "Formula Current Assisted Stock (FCAS) consists of Housing units owned or operated pursuant to an ACC. This includes all low rent, Mutual Help, and Turnkey III units under management as of September 30, 1997, and all 1937 act units in the development Pipeline when they become owned or operated by recipients and are under management as indicated in the Formula Response Form."

- Report units used for non-dwelling purposes.
- Report discrepancies that cannot be explained by conveyances, DOFAs and/or conversion. For these types of corrections, use Appendices A1, A2 and A3.

Please provide the information below for each project requiring a correction that is not a conveyance, DOFA, or conversion. To add units or projects to your FCAS, an Annual Contributions Contract (ACC) must be provided. To remove units or projects the date and reason for change must be reported.

Project Number	FRF Units & Type	Correction	Difference	Reason for Correction

Appendix B:
Request to include Other Geographies to Formula Area

Formula Area Regulation:

According to 24 CFR 1000.302, "(1) Formula area is the geographic area over which an Indian Tribe could exercise court jurisdiction or is providing substantial housing services and, where applicable, the Indian tribe or TDHE has agreed to provide housing services pursuant to a Memorandum of Agreement with the governing entity or entities (including Indian tribes) of the area, including but not limited to: (i) A reservation; (ii) Trust land; (iii) Alaska Native Village Statistical Area; (iv) Alaska Native Claims Settlement Act Corporation Service Area; (v) Department of the Interior Near-Reservation Service Area; (vi) Former Indian Reservation Areas in Oklahoma as defined by the Census as Tribal Jurisdictional Statistical Area; (vii) Congressionally Mandated Service Area; and (viii) State legislatively defined Tribal Areas as defined by the Census as Tribal Designated Statistical Areas.

(2) For additional areas beyond those identified in the above list of eight, the Indian tribe must submit on the Formula Response Form the area that it wishes to include in its Formula Area and what previous and planned investment it has made in the area. HUD will review this submission and determine whether or not to include this area. HUD will make its judgment using as its guide whether this addition is fair and equitable for all Indian tribes in the formula."

Please provide the following information below for each geographic area you want included in your Tribe's Formula Area if it meets Part (1) of 24 CFR 1000.302:

- Map of the reservation.
- Map of the Trust land.
- Map of the Alaska Native Village Statistical Area.
- Map of the Alaska Native Claims Settlement Act Corporation Service Area.
- Federal Register notice publishing designation Department of Interior Near-Reservation Service Areas.
- Map of the Former Indian Reservation Areas in Oklahoma (attach map of Tribal Jurisdictional Statistical Area).
- Public Law document legislating Congressionally Mandated Service Areas.
- Map of the State legislatively defined Tribal Areas.

If the geography is not included in this list, please provide the information below and a MAP* for each area that you want included in your Tribe's Formula Area:

Geographic Area Name	American Indian / Alaska Native (AIAN) Population	AIAN Households	AIAN Households Receiving Assistance (Tribal Members)	AIAN Households Receiving Assistance (Non-members)	Percent of AIAN Households Receiving Assistance	Total Dollar Amount of Assistance for all Programs	Dollar Amount of Assistance per AIAN Household

Appendix B (con't):
Request to Include Other Geographies to Formula Area

Please provide the information below for each area that you want included in your Tribe's Formula Area. In addition, please provide a brief narrative describing each program.

Geographic Area Name	Affordable Housing Program	Program Purpose	Total Dollar Amount of Program Investment

*Maps are available from the US Census Bureau. http://ftp2.census.gov/geo/maps/blk2000/

Appendix C:
Enrollment in Overlapping Areas

Overlapping Area Regulation:

According to 24 CFR 1000.326, "(a) If an Indian tribe's formula area overlaps with the formula area of one or more other Indian tribes, the funds allocated to that Indian tribe for the geographic area in which the formula area in which the formula areas overlap will be based on: (1) The Indian tribe's proportional share of the population in the overlapping geographic area; and (2) The Indian tribe's commitment to serve that proportional share of the population in such geographic area. (3) In cases where a State recognized Indian tribe's formula area overlaps with a Federally recognized Indian tribe, the Federally recognized Indian tribe receives the allocation for the overlapping area. (b) Tribal membership in the geographic area (not to include dually enrolled tribal members) will be based on data that all Indian tribes involved agree to use. Suggested data sources include tribal enrollment lists, Indian Health Service User Data, and Bureau of Indian Affairs data. (c) If the Indian tribes involved cannot agree on what data source to use, HUD will make the decision on what data will be used to divide the funds between the Indian tribes by August 1."

Please provide the information below for each portion of your Tribe's Formula Area. **This information will only be used if ALL tribes in the overlapping area submit data.**

Geographic Area Name	Tribal Enrollment

If you wish to correct your Tribe's Total Resident Indian Service Area Population, please contact your BIA Area Office to correct your Tribe's number. HUD will only accept written correspondence from the BIA to correct Total Resident Indian Service Area Population figures.

Appendix D:
Tribal Enrollment & Population Cap

Population Cap Regulation:

According to 24 CFR 1000.302, "(3) In some cases the population data for an Indian tribe within its formula area is greater than its tribal enrollment. In general, for those cases to maintain fairness for all Indian tribes, the population data will not be allowed to exceed twice an Indian tribe's enrolled population. However, an Indian tribe subject to this cap may receive an allocation based on more than twice its total enrollment if it can show that it is providing housing assistance to substantially more non-member Indians and Alaska Natives who are members of another Federally recognized Indian tribe than it is to members. (4) In cases where an Indian tribe is seeking to receive an allocation more than twice its total enrollment, the tribal enrollment multiplier will be determined by the total number of Indians and Alaska Natives the Indian tribe is providing housing assistance (on July 30 of the year before funding is sought) divided by the number of members the Indian tribe is providing housing assistance. For example, an Indian tribe which provides housing to 300 Indians and Alaska Natives, of which 100 are members, would then be able to receive an allocation for up to three times its tribal enrollment if the Indian and Alaska Native population in the area is three or more times the tribal enrollment."

According to NAHASDA Guidance 98-12, "A tribe must demonstrate that it is serving substantially more non-member Indians and Alaska Natives who are members of another federally recognized tribe than members. For Population Cap purposes, Housing Assistance refers to grants or subsidies provided within the year before funding is sought to make housing more affordable for low-income Indians and Alaska Natives who are member of Federally recognized Indian tribes including but are not limited to: HOME programs, energy assistance; home improvement assistance; mortgage or downpayment assistance; homeless or emergency shelter assistance; and, programs similar to the programs formerly known as Mutual Help, Low Rent, Turnkey 3, and Section 8."

If you wish to correct your Tribe's enrollment, have your Tribe's enrollment officer submit a signed letter stating your Tribe's enrollment.

Tribal Enrollment: _____

If you wish to adjust your Tribe's population cap to a level greater than twice your Tribe's enrollment, please provide the information below and a brief narrative describing the programs.

A Tribal Enrollment	B Total Persons Served	C Tribal Members Served	D Members of other Federally recognized Tribes served	Factor (C+D)/C

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