

August 2005

# ALASKA NATIVE VILLAGES

## Recent Federal Assistance Exceeded \$3 Billion, with Most Provided to Regional Nonprofits



G A O

Accountability \* Integrity \* Reliability



Highlights of [GAO-05-719](#), a report to congressional addressees and the Alaska Federation of Natives

## Why GAO Did This Study

This report responds to section 112, Division B, of the Consolidated Appropriations Act of 2004, which directs GAO to review federal programs benefiting rural communities in Alaska. After discussions with congressional staff, GAO agreed to examine federal programs benefiting Alaska Native villages. Specifically, this report (1) provides information on the amount of federal assistance provided to Alaska Native villages during fiscal years 1998 through 2003, (2) describes how selected federal funds have been used to assist Alaska Native villages, and (3) provides data on the number and average cost of houses built by villages and Alaska Native regional housing authorities.

[www.gao.gov/cgi-bin/getrpt?GAO-05-719](http://www.gao.gov/cgi-bin/getrpt?GAO-05-719).

To view the full product, including the scope and methodology, click on the link above. For more information, contact William B. Shear at (202) 512-8678 or [shearw@gao.gov](mailto:shearw@gao.gov).

## ALASKA NATIVE VILLAGES

# Recent Federal Assistance Exceeded \$3 Billion, with Most Provided to Regional Nonprofits

## What GAO Found

GAO's analysis of available data indicates that Alaska Native villages and regional Native nonprofits—including Native associations, and regional health and housing nonprofits—received over \$3 billion in federal assistance from fiscal years 1998 through 2003. Specifically, total federal funding included approximately \$483 million to 216 Alaska Native villages and about \$3 billion to 33 regional Native nonprofits. The Department of Health and Human Services (HHS) accounted for 63 percent of all funding over the period. According to federal and state officials, Alaska Native villages also likely benefited from federal funding to the state of Alaska and to cities and boroughs that contain villages, such as when federal funding is used by municipalities to provide water services. Based on data GAO obtained from the state of Alaska, during fiscal years 1998 through 2003, the state passed through more than \$105 million in federal funding to Native villages and regional Native nonprofits.

Based on available information for 13 programs GAO reviewed, federal funding was used to provide Alaska Natives with assistance in health care, housing, infrastructure, and other areas. For example, according to information from HHS, its Tribal Self-Governance Program was used by 13 regional Native nonprofits, three Native villages, four groups of Alaska Native villages, and one statewide Native health care provider to provide clinical services at tribally run hospitals and health clinics that had over 1 million total visits throughout Alaska in 2002. Another program, HUD's Indian Housing Block Grant, provided funds used by villages and regional housing authorities to build, rehabilitate, modernize, and operate single-family homes and multifamily housing properties. However, the extent of readily available information on how funds were used from the 13 programs GAO reviewed varied, in part due to different agency reporting requirements.

Results from GAO's survey of Alaska Native villages and regional housing authorities indicated that, during calendar years 1998 through 2003, responding entities constructed a total of 874 single-family units. GAO's survey indicated that the average cost of units constructed by responding entities varied by region and by whether they were developed by villages or housing authorities. For example, the 6-year average regional cost (in 2003 dollars) of all units constructed ranged from a low of \$138,944 per unit, or \$122 per square foot, to a high of \$305,634 per unit, or \$267 per square foot. GAO also found that the cost of new housing units developed by housing authorities was slightly higher than units developed by Native villages, and that regional housing authorities constructed more than three times the number of units compared with villages. However, various factors could account for differences in the cost and number of units completed among regions or between villages and regional housing authorities.

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**Abbreviations**

AHFC	Alaska Housing Finance Corporation
AIAN	American Indian or Alaska Native
AIP	Airport Improvement Program
ANCSA	Alaska Native Claims Settlement Act
ANTHC	Alaska Native Tribal Health Consortium
APR	Annual Performance Report
AVCP	Association of Village Council Presidents
BEES	Building Energy Efficiency Standard
BIA	Bureau of Indian Affairs
CEDS	Comprehensive Economic Development Strategy
CFDA	Catalog of Federal Domestic Assistance
CIS	COPS in Schools
COPS	Community Oriented Policing Services
DEC	Department of Environmental Conservation
DOT	Department of Transportation
DOTPF	Department of Transportation and Public Facilities
EAA	Economic Adjustment Assistance
EDA	Economic Development Administration
EDR	Economic Development Representative
EPA	Environmental Protection Agency
FAADS	Federal Assistance Award Data System
GSA	General Services Administration
HHS	Department of Health and Human Services
HUD	Department of Housing and Urban Development
IGAP	Indian Environmental General Assistance Program
IHBG	Indian Housing Block Grants
IHP	Indian Housing Plan
IHS	Indian Health Service
NAHASDA	Native American Housing Assistance and Self-Determination Act
OMB	Office of Management and Budget
ONAP	Office of Native American Programs

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SF	Standard Form
TANF	Temporary Assistance to Needy Families
TDHE	Tribally Designated Housing Entity
UAS	University of Alaska Southeast
UHP	Universal Hiring Program
USDA	United States Department of Agriculture
USDA RD	USDA Rural Development

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United States Government Accountability Office  
Washington, D.C. 20548

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August 2, 2005

The Honorable Thad Cochran  
Chairman  
The Honorable Robert C. Byrd  
Ranking Minority Member  
Committee on Appropriations  
United States Senate

The Honorable Jerry Lewis  
Chairman  
The Honorable David R. Obey  
Ranking Minority Member  
Committee on Appropriations  
House of Representatives

The Honorable Ted Stevens  
Committee on Appropriations  
United States Senate

Julie Kitka  
President  
Alaska Federation of Natives

According to the Census Bureau, about 120,000 people who live in Alaska are Native—aboriginal Americans, many of whom reside in rural areas of the state long inhabited by their ancestors. For many years, the federal government both provided funding to assist Alaska Natives and their communities to meet a wide range of social and economic needs—funding that has amounted to millions of dollars annually—and administered many of the programs that provided the assistance. However, with the passage of certain federal legislation, Native villages—entities within the state that are recognized by the Bureau of Indian Affairs (BIA) to receive services from the federal government—and other Native organizations began to receive more responsibility for administering programs that assist their communities. Moreover, these entities also began to receive funding directly from the federal government to administer the programs. Currently, the federal government provides direct financial assistance to many of the more than 200 federally recognized Alaska Native villages and other Native organizations. In addition, the federal government provides financial assistance to the state, which has passed through some of these

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funds to Alaska Native villages. However, recently, some federal laws have limited the ability of Alaska Native villages to receive direct funding.

This report responds to section 112, Division B, of the Consolidated Appropriations Act of 2004, which directed us to review federal programs benefiting rural Alaska communities. As agreed with your staff, we focused our review on federal programs benefiting Alaska Native villages. Our report (1) provides information on the amount of federal assistance provided to assist Alaska Native villages during federal fiscal years 1998 through 2003; (2) describes how selected federal funds have been used to assist Alaska Native villages; and (3) provides data on the number and average cost of houses built by villages and Alaska Native regional housing authorities.

To address these objectives we met with officials of various federal agencies, the state of Alaska, boroughs, and cities. In addition, we met with representatives of Native villages, regional Native nonprofit organizations, and other organizations that assist Alaska Natives. To report on the amount of federal funding that has been provided to assist Alaska Native villages, we examined data on both funding to over 200 federally recognized Alaska Native villages and regional Native nonprofits, and funding to Native villages that was passed through the state of Alaska. We classified as regional Native nonprofits: Native associations that were identified in the Alaska Native Claims Settlement Act (ANCSA) or the organizations that succeeded them, which, throughout this report, we refer to as ANCSA regional nonprofits; Native health organizations identified in P.L. 105-83; and Alaska regional housing authorities identified by the Department of Housing and Urban Development (HUD). To provide information on funding to Alaska Native villages, we analyzed data from the Federal Assistance Award Data System (FAADS), which identifies recipients of federal awards, federal programs for which awards were made, and award amounts. To verify the accuracy of our data, we provided federal agencies with data on their programs that we obtained from FAADS. Based on agency responses, where appropriate, we made adjustments to data we obtained from FAADS. To provide information on the amount of federal funding to assist Alaska Native villages that was passed through by the state, we obtained information from the state of Alaska Department of Administration, Division of Finance. To describe how selected federal funds were used to assist Alaska Native communities, we selected 13 major

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programs from among 11 agencies.<sup>1</sup> For each of these programs, we met with federal officials and, where appropriate, state, local, village and other tribal officials, as well as officials representing organizations that primarily serve Alaska Natives. We also reviewed program descriptions from the Catalog of Federal Domestic Assistance (CFDA) and reviewed agency documents on how recipients used program funds. To determine the number of housing units completed and their costs, we surveyed all villages and regional housing authorities that had received HUD funds from the Native American Housing Assistance and Self-Determination Act of 1996, as amended (NAHASDA), during fiscal years 1998 through 2003. In carrying out our work, we did not conduct audit work to assess whether funds were spent in compliance with federal regulations, and we did not assess the efficiency or effectiveness of how federal funds were distributed or spent. We conducted our work from February 2004 to July 2005 in accordance with generally accepted government auditing standards. See appendix I for a detailed description of our scope and methodology.

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## Results in Brief

GAO's analysis of available data indicates that Alaska Native villages and regional Native nonprofits received over \$3 billion in federal assistance during the 6-year period of federal fiscal years 1998 through 2003.<sup>2</sup> Based on data from FAADS, which contains governmentwide data on federal award assistance transactions, and other agency data, total federal funding for the period included approximately \$483 million to 216 Alaska Native villages and about \$3 billion to 33 regional Native nonprofits—ANCSA regional nonprofits, regional health nonprofits, and regional housing authorities. Although direct federal funding was provided by 17 federal agencies, the Department of Health and Human Services (HHS) accounted for 63 percent of all funding over the period. Similarly, agencies provided direct federal funding through 112 programs to villages and 149 programs to regional Native nonprofits, although a small number of these programs accounted for most of the federal funding. For example, HUD's Indian Housing Block Grant program, which provides funds for housing, accounted for 22 percent of all federal funding to Native villages and 16 percent of all federal funding

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<sup>1</sup>Generally, the selected programs provided the largest amount of funding to Alaska Native villages and regional Native nonprofits during fiscal years 1998-2003 for their respective agencies, based on our analysis of FAADS.

<sup>2</sup>GAO analyses of FAADS are reported in constant 2003 dollars. Unless otherwise indicated, the years referred to in our report are federal fiscal years. The federal fiscal year runs from October through September.

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to regional Native nonprofits during the period. Overall, total annual federal funding to villages and regional Native nonprofits increased from about \$500 million in 1999 to about \$662 million in 2003—or about 30 percent.<sup>3</sup> In addition to the federal government directly providing funds to Alaska Native villages and regional Native nonprofits, the state of Alaska passed through over \$105 million in federal funds to Alaska Native villages and regional Native nonprofits during a similar period. Also, over the period, villages may have benefited from direct funding of \$224 million to nonprofit organizations that primarily provide assistance to Alaska Natives; over \$300 million to incorporated cities and boroughs that contain villages, such as when villages located in these areas receive water and sewer services; and over \$7 billion provided to the state for transportation, education, health and human services, and other assistance.

Federal funds from the 13 programs we reviewed were used to provide Alaska Natives with assistance in health care, housing, infrastructure, and other areas. For example, according to information from HHS, its Tribal Self-Governance Program was used by 13 regional Native nonprofits, three Native villages, four groups of Alaska Native villages, and one statewide Native health care provider to provide clinical services at tribally run hospitals and health clinics that had over 1 million total visits throughout Alaska in 2002.<sup>4</sup> Another program, HUD's Indian Housing Block Grant, provided funds used by villages and regional housing authorities to build, rehabilitate, modernize, and operate single-family homes and multifamily housing properties. In addition to providing funds for carrying out specific program activities, most of the programs we reviewed also covered at least a portion of grantees' total administrative costs. However, the extent of readily available information on how funds were used from the 13 programs we reviewed varied, in part, due to different agency reporting requirements. For example, Interior had only limited information on the usage of funding under its Tribal Self-Governance Program, in part because the relevant statutory provisions do not require grantees to submit the information. On the other hand, the Denali Commission—a federal agency established in 1998 to address crucial rural Alaska needs, such as energy

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<sup>3</sup>Funding for 1998 is not included in this comparison because not all HHS and Interior funding was included in FAADS for this year.

<sup>4</sup>FAADS lists the Tribal Self-Governance as a single program; however, funding for this program is provided to Native villages through annual funding agreements that include funds from multiple Indian Health Service programs.

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infrastructure—has specific grantee reporting requirements that include, among other things, detailed program and financial information.

Results from our survey of Alaska Native villages and regional housing authorities indicated that responding entities constructed a total of 874 single-family units and rehabilitated a total of 2,990 single-family units from calendar year 1998 to 2003.<sup>5</sup> The two most common units constructed were three- and four-bedroom homes. Over the period, 462 three-bedroom and 262 four-bedroom homes were constructed. Four of the 12 regions accounted for about 68 percent of the new home production, including one that accounted for over 30 percent of the production. Also, over the period, Alaska Native regional housing authorities constructed more than three times the number of units (666) than villages (208). We also found that three regions accounted for about 60 percent of the number of units rehabilitated, and that regional housing authorities rehabilitated 70 percent of units compared with 30 percent rehabilitated by villages. Our analysis of the survey data indicated that the average cost of units constructed by responding entities varied by region and by whether they were developed by villages or housing authorities. For example, the 6-year average regional cost (in 2003 dollars) of all units constructed ranged from a low of \$138,944 per unit, or \$122 per square foot, to a high of \$305,634 per unit, or \$267 per square foot. Although housing authorities had higher new construction costs than villages, villages had higher costs for units that were rehabilitated without acquisition. However, various factors could account for differences in the number or cost of units completed among regions or between villages and regional housing authorities. For example, regional differences in housing construction costs may reflect variations in the cost of transporting building materials and equipment to remote villages. Also, differences in construction costs between regional housing authorities and villages may reflect costs housing authorities likely incur when complying with Alaska state construction and energy efficiency standards—a condition of receiving state funds for housing construction. Villages generally do not receive funds from the state for housing construction, and although they may construct properties that meet these standards, adherence to such standards would typically occur voluntarily.

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<sup>5</sup>In addition, regional housing authorities modernized 5,211 single-family units over the period and 73 multifamily properties developed under the U.S. Housing Act of 1937, using “current assisted stock” funding that is provided as part of NAHASDA. We have not included the modernization of housing in the comparisons between Native villages and regional housing authorities, because only regional housing authorities received such funding.

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## Background

In terms of land area, Alaska is the largest U.S. state—more than the combined area of the next three largest states: Texas, California, and Montana. However, according to the Census Bureau, Alaska is also one of the least populated states, with about 630,000 people—of which about 19 percent, or 120,000, are Alaska Native or American Indian. Over half of the state’s population is concentrated in the Kenai Peninsula, Anchorage, and the Matanuska-Susitna area in south central Alaska. Many Alaska Natives, however, live in rural areas of western, northern, and interior Alaska long inhabited by their ancestors. Alaska Natives are generally divided into six major groupings: Unangan (Aleuts), Alutiiq (Pacific Eskimos), Inupiat (Northern Eskimos), Yup’ik (Bering Sea Eskimos), Athabascan (Interior Indians), and Tlingit and Haida (Southeast Coastal Indians).

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## A Variety of Entities Facilitates the Provision of Federal Assistance to Alaska Native Villages

A variety of entities facilitates federal assistance to Alaska Native villages. For many years, the federal government generally funded and administered many of the programs that provided assistance to Alaska Natives. However, with the passage of several key pieces of legislation, Alaska Native villages and other tribal organizations began to take on more responsibility for directly administering programs to assist their communities, and began to receive direct funding to carry out these tasks. For example, in 1971, Congress passed ANCSA, which was intended to resolve Native claims to land in the state. Under ANCSA, the Secretary of the Interior divided the state into 12 geographic regions so that each would include Natives “having a common heritage and sharing common interests.” All Natives became shareholders in one of 12 regional corporations or in a 13th corporation for nonresident Natives. In addition, Natives who resided in one of more than 200 villages listed in ANCSA were also enrolled in Native village corporations.<sup>6</sup> The Bureau of Indian Affairs currently recognizes 229 Alaska Native villages as eligible to receive federal funds.<sup>7</sup> Appendix II contains a listing of Alaska Native villages and the number of American Indian and Alaska Native (AIAN) persons and enrolled Alaska Native members by

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<sup>6</sup>The act provided 45 million acres of land and over \$900 million to be shared among Native regional corporations, village corporations, and Alaska Natives.

<sup>7</sup>Groupings of Alaska Natives are also sometimes referred to as yupiit, tribes, associations, councils, or communities. Throughout, we use the term “village.”

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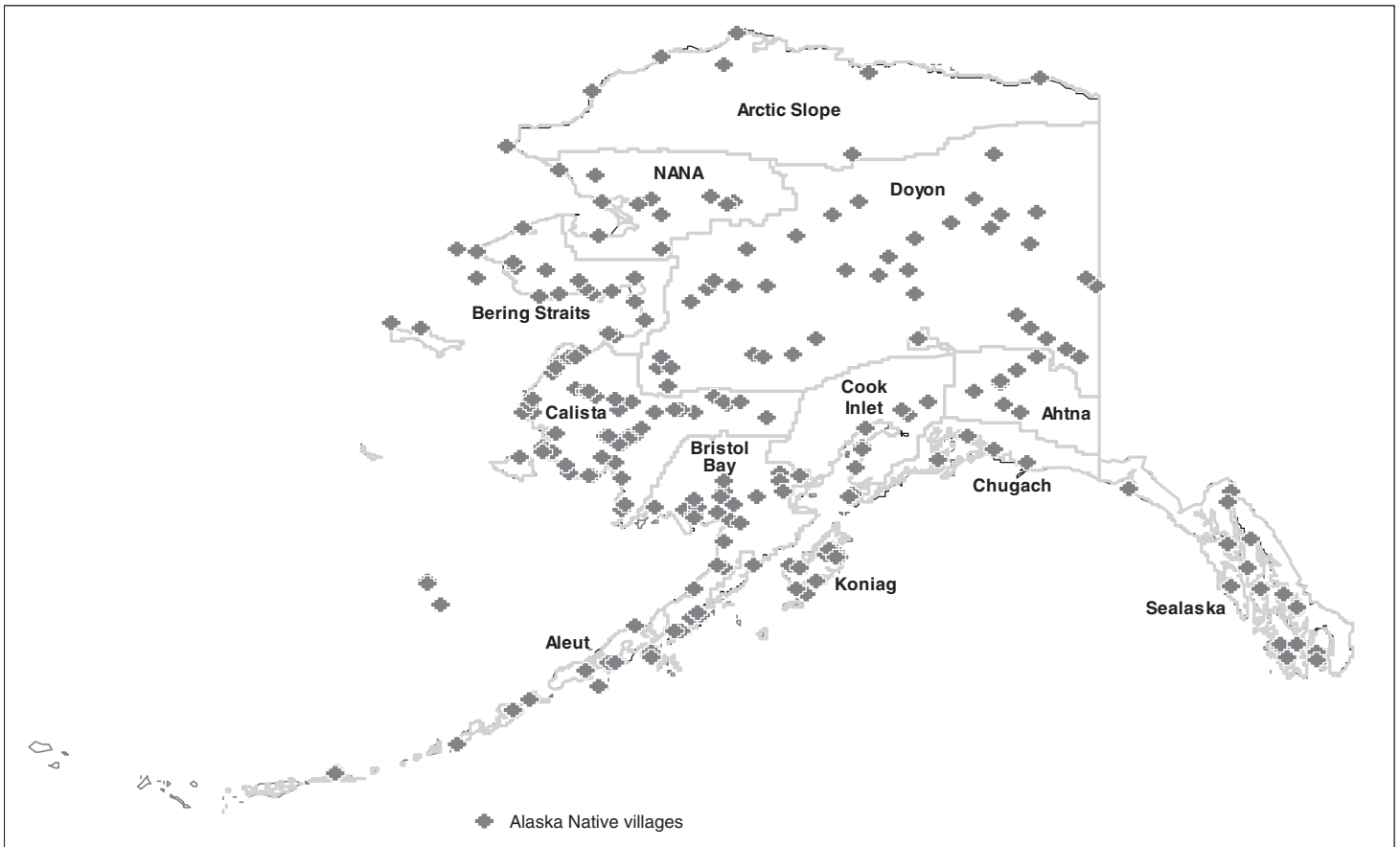
ANCSA region.<sup>8,9</sup> Figure 1 shows the location of Alaska Native villages and the 12 ANCSA regions.

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<sup>8</sup>AIAN includes persons who indicated their race as American Indian or Alaska Native on the 2000 Census questionnaire. AIAN persons reside within geographic village boundaries recognized by the Census Bureau. AIAN persons who reside within the region but not within a specific village boundary area are counted as at-large members of the regional for-profit corporation. Enrolled members are actual members of a tribe that may reside anywhere in the world.

<sup>9</sup>Throughout, we have included two federally recognized entities with the regional Native nonprofits. The Central Council of the Tlingit and Haida Indian Tribes, a regional tribe with delegates from 21 communities, is identified as a regional Native association in ANCSA. The Metlakatla Indian Community, Annette Island Reserve is the only federally recognized Indian reservation within the state, and it operates a regional health entity and regional housing authority.

**Figure 1: Location of Alaska Native Villages and ANCSA Regions**



Source: MapInfo.

Note: The regions are identified by the names of their for-profit regional corporations.



In addition to Alaska Native villages, Alaska Natives are also served by a number of other Native-controlled regional nonprofit organizations that receive federal funding to administer a broad range of services, including 12 regional Native associations identified in ANCSA or the organizations that succeeded them, which, for the purposes of this report, we refer to as ANCSA regional nonprofits, and regional health care and housing nonprofits.<sup>10</sup> Table 1 provides a list of the ANCSA for-profit regional corporations and the corresponding regional nonprofit.

**Table 1: List of ANCSA For-Profit Regional Corporations and Nonprofits**

<b>For-profit regional corporation</b>	<b>Corresponding regional nonprofit</b>
Ahtna Inc.	Copper River Native Association
The Aleut Corporation	Aleutian Pribilof Islands Association
Arctic Slope Regional Corporation	Arctic Slope Native Association
Bering Straits Native Corporation	Kawerak Inc.
Bristol Bay Native Corporation	Bristol Bay Native Association
Calista Corporation	Association of Village Council Presidents
Chugach Alaska Corporation	Chugachmiut
Cook Inlet Region Inc.	Cook Inlet Tribal Council
Doyon Limited	Tanana Chiefs Conference
Koniag Inc.	Kodiak Area Native Association
NANA Regional Corporation Inc.	Maniilaq Association
Sealaska Corporation	Central Council of the Tlingit and Haida Indian Tribes
Thirteenth Regional Corporation	No nonprofit organization

Source: GAO.

<sup>10</sup>The 12 regional Native associations identified in ANCSA were charged with naming incorporators to create regional for-profit corporations to carry out the act. These regional for-profit corporations were to cover the same geographic areas as those covered by the operations of the existing Native associations. Where the ANCSA-identified Native association name has changed or the association has been succeeded by another entity, we have used the name of the current regional entity. Generally these nonprofits are composed of member villages and operate programs on behalf of the member villages.

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Also, nearly all health care that is delivered to Alaska Natives is administered by 13 Alaska Native regional health organizations that were identified in Public Law 105-83. These entities operate under compacting arrangements, which are agreements the Indian Health Service (IHS) negotiates with Native villages and other Native entities.<sup>11</sup> Under the 1975 Indian Self-Determination and Educational Assistance Act, as amended, and further through the Tribal Self-Governance Act of 1994 and the Tribal Self-Governance Amendments of 2000, tribes and tribal organizations were allowed to participate in and manage programs that for years had been administered on their behalf by the Departments of the Interior and of Health and Human Services. Also, prior to NAHASDA, Alaska Natives were served by 14 regional housing authorities that were authorized by previous federal housing laws to provide services for Alaska Natives. NAHASDA further expanded the ability of Native villages to directly receive federal funding for the purpose of providing services to eligible Alaska Natives. The regional housing authorities and Native villages engage in a variety of affordable housing activities, including construction, rehabilitation, and management.<sup>12</sup> See appendix III for a list of the ANCSA regional nonprofits, the regional health corporations, and the regional housing authorities that operate within the 12 ANCSA-defined areas of Alaska.<sup>13</sup>

Recent legislation has limited the ability of Native villages to directly receive federal funding. Public Law 108-447 temporarily limits the ability of IHS from directly funding villages that are already located within the area of a Native Alaska regional health facility. This restriction was put in place due to congressional concerns about the efficiency of providing direct federal funding to Alaska Native villages. Also, 25 USC 13f prohibits the provision of certain BIA funding to villages with fewer than 25 members; and 25 USC 3651 (note) limits which entities can receive certain

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<sup>11</sup>Compacting generally provides grant recipients broad flexibility in the use of federal funds for multiple programs. In order to compact, a Native village or other Native entity must have contracted with IHS to provide specific health services for at least 3 years and have had satisfactory annual financial statement audits during the most recent 3-year period.

<sup>12</sup>Regional housing authorities are also referred to as tribally designated housing entities, or TDHEs. Throughout this report we refer to them as regional housing authorities. These entities also receive NAHASDA funds for the purpose of modernizing and operating housing developed under the U.S. Housing Act of 1937.

<sup>13</sup>We have included the Metlakatla Indian Community, Annette Island Reserve with the regional Native nonprofits in our analyses. Metlakatla Indian Community is the only federally recognized Indian reservation within the state, and it operates a regional health entity and regional housing authority.

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Department of Justice funds. In addition, HUD's fiscal year 2004-2005 appropriations included a provision that restricted certain housing funding to only those Alaska villages or tribally designated housing entities that had received funds in the previous fiscal year.

In addition to the aforementioned Native nonprofits, a variety of other nonprofits also facilitate the provision of federal assistance to Alaska Native villages. These nonprofits, many of which are also controlled by Alaska Natives, provide assistance related to a broad range of areas, including justice issues, cultural and environmental preservation, and educational and economic advancement. Some of these nonprofits operate in one or more regions or on a subregional basis. Appendix IV contains a listing of nonprofits other than those discussed previously that received federal funding for the purpose of assisting Alaska Native villages from 1998 through 2003.

Alaska Native villages also receive federal assistance that is passed through by the state or local agencies. For example, federally recognized Native villages may be part of communities that are incorporated under state law as cities or boroughs. State of Alaska data show that 124 Native villages are located within incorporated cities. However, these cities provide government services, such as water and sanitation, to Native village members that live in their jurisdiction, which would otherwise most likely be provided by Native villages. Likewise, some villages are located in organized boroughs that provide services to villages and cities.<sup>14</sup>

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<sup>14</sup>About 43 percent of Alaska is made up of 16 organized boroughs. The remaining 57 percent of the state is sparsely populated land that is considered a single "unorganized borough."

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In 1998, Congress established the Denali Commission to address crucial needs of rural Alaska communities, particularly isolated Alaska Native villages. The commission is composed of a federal and a state co-chair and representatives from local agencies, as well as Alaska Native public and private entities.<sup>15</sup> To carry out its work, the commission receives an annual federal appropriation and funds that are transferred from other federal agencies. The purpose of the commission is to (1) deliver the services of the federal government in the most cost-effective manner practicable; (2) provide job training and other economic development services in rural communities; (3) and, promote rural development and provide infrastructure such as water, sewer, and communication systems. According to the commission's 2004 annual report, rural Alaska communities often face serious challenges to maintaining a sufficient energy supply, especially during the state's harsh winters. Improving rural Alaska's energy infrastructure has been the commission's primary focus since 1999.

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<sup>15</sup>The Denali Commission was established by the Denali Commission Act of 1998 (P.L. 105-277) to provide sustainable rural infrastructure development, job training and other economic development services in rural communities with a focus on distressed communities, and to deliver services in the most cost-effective manner practicable in Alaska. The Denali Commission is composed of seven members appointed by the Secretary of Commerce, including: a federal co-chairperson; the Governor of Alaska, or an individual selected from nominations submitted by the Governor, who shall serve as the state co-chairperson; the President of the University of Alaska, or an individual selected from nominations submitted by the President of the University of Alaska; the President of the Alaska Municipal League or an individual selected from nominations submitted by the President of the Alaska Municipal League; the President of the Alaska Federation of Natives or an individual selected from nominations submitted by the President of the Alaska Federation of Natives; the Executive President of the Alaska State AFL-CIO or an individual selected from nominations submitted by the Executive President; and the President of the Associated General Contractors of Alaska or an individual selected from nominations submitted by the President of the Associated General Contractors of Alaska.

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## Research Shows Improvement in the Social and Economic Condition of Alaska Natives, but Some Problems Persist

Although recent research shows improvement in the social and economic condition of Alaska Natives, many problems persist. A 1989 report by the University of Alaska’s Institute of Social and Economic Research documented that Alaska Natives were facing a number of social and economic crises, such as high incidences of alcohol abuse, suicide, homicide, and unemployment.<sup>16</sup> The Alaska Natives Commission—a federal-state commission—reported similar findings in 1994. The commission stated that because of the high rate of unemployment and lack of economic opportunities for Alaska Natives, government programs for the poor had become the foundation of many village economies. More recently, a 2004 report found that conditions for Alaska Natives improved in some areas, but that Alaska Natives still faced continuing and new disparities.<sup>17</sup> For example, the report indicated that Alaska Natives have experienced improvements in health, such as reductions in tuberculosis, due in part to improvement in water and sewer systems; however, Natives continue to face health problems related to alcohol abuse and other factors. Similarly, the report indicated that Alaska Natives are making economic improvements, but continue to have disproportionately high poverty rates compared with non-Native Alaskans.

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<sup>16</sup>Institute of Social and Economic Research, *The Alaska Federation of Natives Report on the Status of Alaska Natives: A Call for Action* (Anchorage, Alaska, January 1989).

<sup>17</sup>Institute of Social and Economic Research, *Our Choices, Our Future: Analysis of the Status of Alaska Natives Report 2004* (Anchorage, Alaska, July 2004).

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## Alaska Native Villages and Regional Native Nonprofits Received Over \$3 Billion in Federal Funding from 1998 through 2003

From 1998 through 2003, Alaska Native villages and regional Native nonprofits received more than \$3 billion in funding from multiple federal agencies, with HHS providing the majority of the funding.<sup>18</sup> Native villages received substantially less funding than regional Native nonprofits, although Native villages had slightly more diverse sources for funding. Additionally, a small number of programs accounted for the majority of funding to villages and regional Native nonprofits, and, similarly, a few villages and regional Native nonprofits received the majority of federal funding. Combined federal funding to Native villages and regional Native nonprofits increased from about \$512 million in 1999 to about \$662 million in 2003. Alaska Native villages also benefited from federal funding provided to nonprofit organizations that primarily provide assistance to Alaska Natives, incorporated cities and boroughs that contain Native villages, and the state of Alaska. Moreover, during state fiscal years 1998 through 2003, the state of Alaska passed through more than \$105 million in federal funds to Native villages and regional Native nonprofits.<sup>19</sup>

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## Alaska Native Villages and Regional Native Nonprofits Received Over \$3 Billion in Funding from Multiple Federal Agencies, with HHS the Largest Single Provider of Funding

Based on our analysis of information from FAADS, 17 federal agencies provided about \$3.5 billion in federal funding to Alaska Native villages and regional Native nonprofits—ANCSA regional nonprofits, regional health nonprofits, and regional housing authorities—from 1998 through 2003.<sup>20</sup> As shown in figure 2, HHS provided 63 percent of the funding, and HUD, Interior, and the Environmental Protection Agency (EPA) provided slightly more than 30 percent; thus, four agencies accounted for more than 90 percent of all direct federal funding to villages and regional Native nonprofits. None of the other 13 agencies provided more than 1 percent of the total funding to villages and regional Native nonprofits.

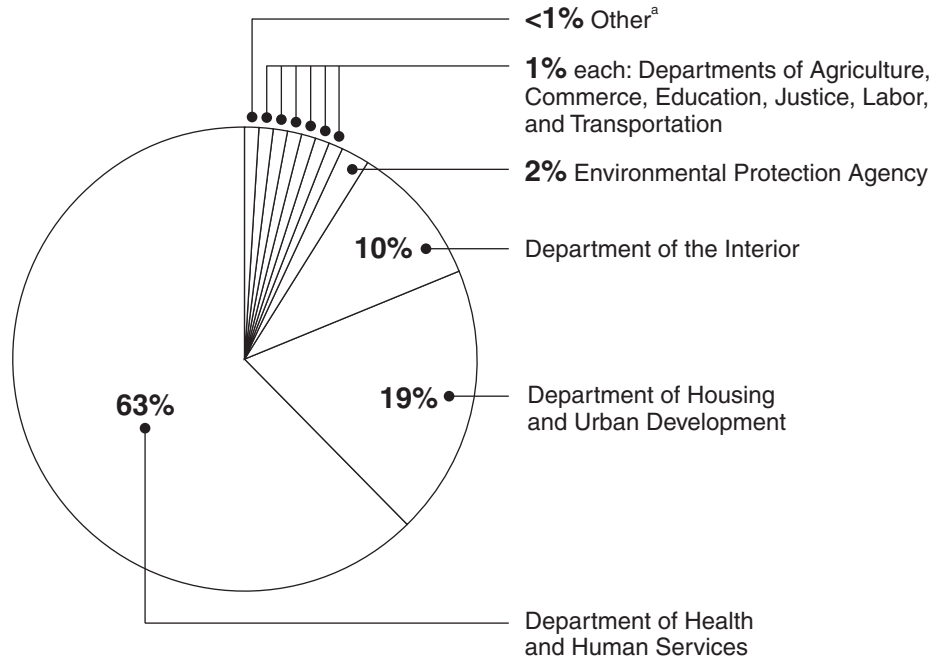
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<sup>18</sup>Unless otherwise indicated, the years referred to in our report are federal fiscal years. The federal fiscal year runs from October through September.

<sup>19</sup>The fiscal year for the state of Alaska is July through June.

<sup>20</sup>GAO FAADS analyses use constant 2003 dollars.

**Figure 2: Percentage of Federal Funding to Alaska Native Villages and Regional Native Nonprofits, by Agency, 1998-2003**



**Total direct federal funding: \$3.5 billion**

Source: GAO analysis of FAADS and other agency data, 1998-2003.

<sup>a</sup>Other agencies include the Equal Employment Opportunity Commission, National Endowment for the Arts, Institute of Museum and Library Services, National Science Foundation, Department of Energy, Corporation for National and Community Service, and the Federal Emergency Management Agency.

The federally established Denali Commission, through its federal appropriations, also provided assistance to rural Alaska communities, including Alaska Native villages. From 1999 through 2003, Denali obligated approximately \$290 million, but Denali did not report the grant amounts to the Census Bureau so that the information could be included in FAADS. Denali officials said they were not aware of the FAADS reporting requirement until recently.

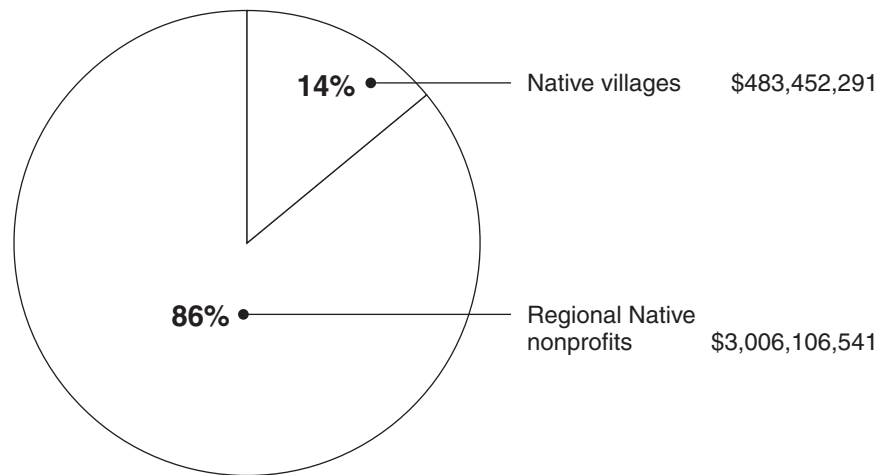
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**Native Villages Received Substantially Less Funding Than Regional Native Nonprofits, but Native Villages Received Their Funding from More Sources**

Of the \$3.5 billion provided to Alaska Native villages and regional Native nonprofits, as shown in figure 3, federal agencies provided more than \$483 million (14 percent) in direct federal funding to 216 Alaska Native villages and \$3 billion (86 percent) to 33 regional Native nonprofits from 1998 through 2003.

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**Figure 3: Federal Funding Provided to Villages and Regional Native Nonprofits, 1998-2003**



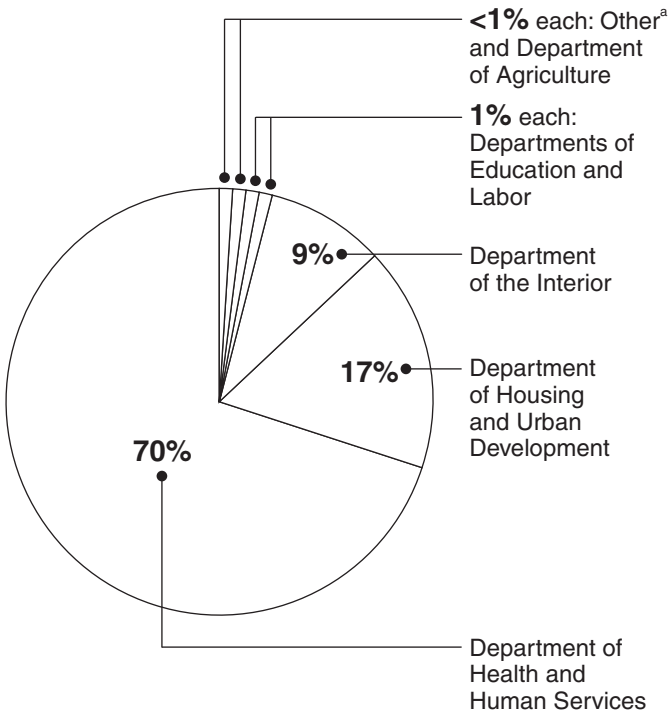
Source: GAO analysis of FAADS and other agency data, 1998-2003.

Although regional Native nonprofits received more funding than Native villages, the sources of major funding for villages were slightly more diverse than for regional Native nonprofits. Specifically, Native villages received direct funding from 16 agencies, with HHS, Interior, EPA, and HUD providing about 84 percent. In comparison, regional Native nonprofits received funding from 14 federal agencies, with HHS accounting for 70 percent of the funding (see figs. 4 and 5).

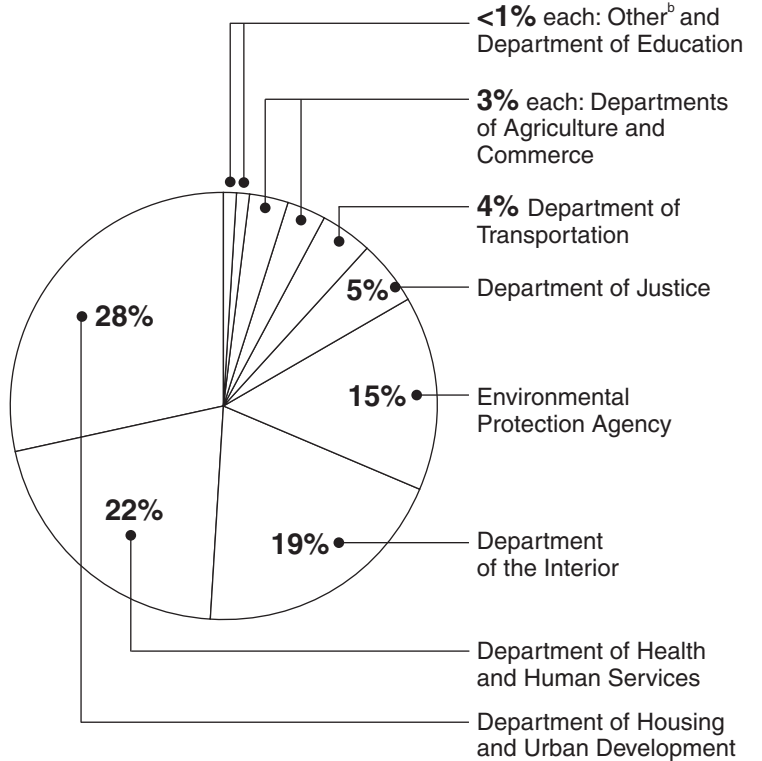


**Figure 4: Total Agency Funding to Alaska Regional Native Nonprofits and Alaska Native Villages, 1998-2003**

**Regional Native nonprofits (\$3.0 billion)**



**Alaska Native villages (\$483 million)**



Source: GAO analysis of FAADS and other agency data, 1998-2003.

<sup>a</sup>Other agencies are the Departments of Commerce, Justice, Energy, Environmental Protection Agency, Equal Employment Opportunity Commission, Institute of Museum and Library Services, the National Endowment for the Arts and the Corporation for National and Community Service.

<sup>b</sup>Other agencies are the National Endowment for the Arts, Institute of Museum and Library Services, Corporation for National and Community Service, Federal Emergency Management Agency, Department of Energy, National Science Foundation, and Department of Labor.

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Regional Native nonprofits may receive more funding from HHS than villages because regional Native nonprofits include regional health organizations that receive funding from IHS to operate major medical facilities such as hospitals. Under existing law, some villages are restricted from receiving IHS funding in cases where they are located in areas that are already served by an Alaska Native regional health organization.<sup>21</sup>

In contrast, Native villages received more funding from certain agencies than regional Native nonprofits. The Departments of Commerce, Justice, and Transportation (DOT) and EPA all provided more funding to villages than to regional Native nonprofits. For example, EPA provided \$72 million to villages over the period, or over six times the amount provided to regional Native nonprofits.

A Small Number of Programs Accounted for the Majority of Funding and a Small Number of Both Native Villages and Regional Native Nonprofits Received the Majority of the Funding

While Native villages and regional Native nonprofits received different amounts of funding, with different primary sources of funding, both received the majority of their funding from a few programs. For example, Native villages received funding from a total of 112 programs; however, as shown in table 2, the top programs from nine agencies providing the most funding accounted for about 64 percent of the funding to all Native villages.

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<sup>21</sup>Public Law 108-447 temporarily limits the ability of HHS's Indian Health Service from directly funding villages that are already located within the area of a Native Alaska regional health facility. This restriction is the latest in a series of provisions that have effectively frozen the funding structure that was in place prior to 1998.

**Table 2: Top Federal Programs, by Agency, Benefiting Native Villages**

Agency	Program name (CFDA)	Total funding	Percentage of total funding
HUD	Indian Housing Block Grants (14.867)	\$104,068,580	22
EPA	Indian Environmental General Assistance Program (66.926)	63,269,797	13
HHS	Indian Health Service Health Management Development Program (93.228) <sup>a</sup>	47,721,221	10
Interior	Tribal Self-Governance (15.022)	45,500,244	9
DOT	Airport Improvement Program (20.106)	17,545,183	4
Commerce	Economic Adjustment Assistance (11.307)	11,705,345	2
Justice	Public Safety Partnership and Community Policing Grants (16.710) <sup>b</sup>	9,766,546	2
USDA	Water and Waste Disposal Systems for Rural Communities (10.760)	6,017,480	1
Education	Alaska Native Educational Planning, Curriculum Development, Teacher Training, and Recruitment Program (84.320) <sup>c</sup>	1,497,690	<1
	103 other programs	176,360,205	36
<b>Total</b>		<b>\$483,452,291</b>	<b>100</b>

Source: GAO analysis of FAADS and other agency data, 1998-2003.

<sup>a</sup>According to HHS officials, the total funding amount also includes funding for the Tribal Self-Governance Program (CFDA 93.210) and Indian Self-Determination (CFDA 93.441).

<sup>b</sup>Also called Community Oriented Policing Services (COPS) grants.

<sup>c</sup>Starting in 2002, this program was consolidated into CFDA 84.356—Alaska Native Education Program.

Similarly, while regional Native nonprofits received funding from 149 programs, about 87 percent of the funding came from the nine agencies that provided the largest funding (see table 3).

**Table 3: Top Federal Programs, by Agency, Benefiting Regional Native Nonprofits**

Agency	Program name (CFDA)	Total funding	Percentage of total funding
HHS	Indian Health Service—Health Management Development Program (93.228) <sup>a</sup>	\$1,841,321,664	61
HUD	Indian Housing Block Grants (14.867)	480,063,494	16
Interior	Tribal Self-Governance (15.022)	245,776,863	8
Labor	Workforce Investment Act (17.255)	18,964,143	1
Education	Rehabilitation Services—American Indians with Disabilities (84.250)	13,310,179	<1
USDA	Community Facilities Loans and Grants (10.766)	7,815,357	<1
EPA	Indian Environmental General Assistance Program (66.926)	7,563,292	<1
Commerce	Economic Adjustment Assistance (11.307)	3,628,586	<1
Justice	Violence against Women Discretionary Grants for Indian Tribal Governments (16.587)	2,066,729	<1
	140 other programs	385,596,234	13
<b>Total</b>		<b>\$3,006,106,541</b>	<b>100</b>

Source: GAO analysis of FAADS and other agency data, 1998-2003.

Notes: Regional Native nonprofits did not receive any funding from the Department of Transportation during the period.

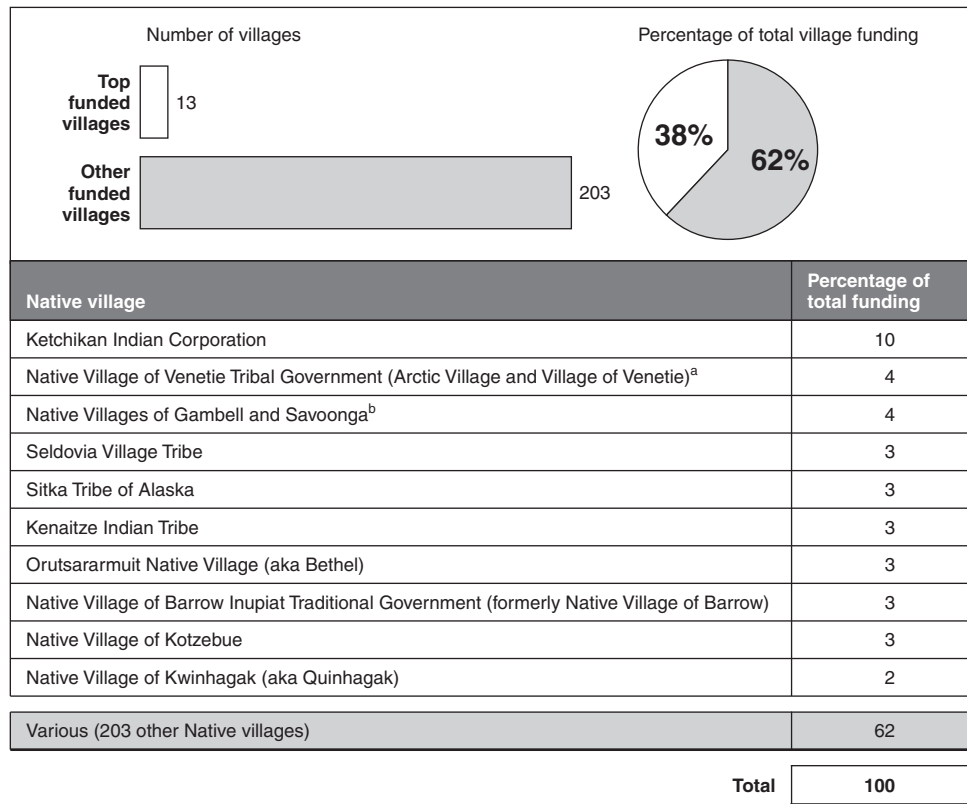
<sup>a</sup>According to HHS officials, the total funding amount also includes funding for Tribal Self-Governance Program (CFDA 93.210) and Indian Self-Determination (CFDA 93.441).

Further, Native villages and regional Native nonprofits received funding from some of the same programs, but not always in similar amounts. For example, Native villages received about \$10 million from the Department of Justice’s Public Safety Partnership and Community Policing Grants and about \$6 million from the United States Department of Agriculture’s (USDA) Water and Waste Disposal Systems for Rural Communities program. Regional Native nonprofits received less than \$500,000 from the same Justice program and about \$1.4 million from the same USDA program.

In addition to the concentration of funding among a small number of agencies, as shown in figures 5 and 6, relatively few Native villages and regional Native nonprofits received more than a third of the funding. For example, only 13 out of 216 Native villages received 38 percent of total

federal funding to Native villages. Also, 10 of 33 regional Native nonprofits received 71 percent of total funding to these entities.

**Figure 5: Top Native Village Recipients, by Percentage of Federal Funding Received**

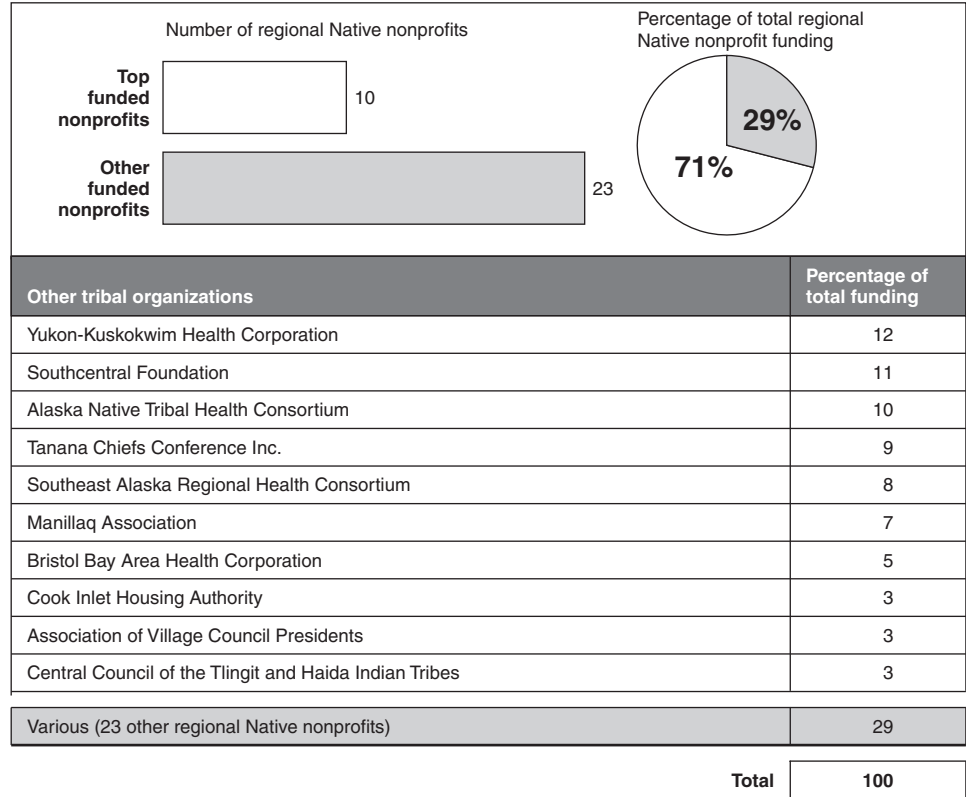


Source: GAO analysis of FAADS and other agency data, 1998-2003.

<sup>a</sup>The Native Village of Venetie Tribal Government includes Arctic Village and the Village of Venetie. All three of these entities are recognized by BIA. For this analysis, funding for these entities is combined.

<sup>b</sup>The Native Village of Gambell and the Native Village of Savoonga, both located on St. Lawrence Island, are separate BIA-recognized entities; however, because they were recorded in FAADS as joint recipients for some funds, we combined them in this analysis.

**Figure 6: Top Regional Native Nonprofits, by Percentage of Federal Funding Received**



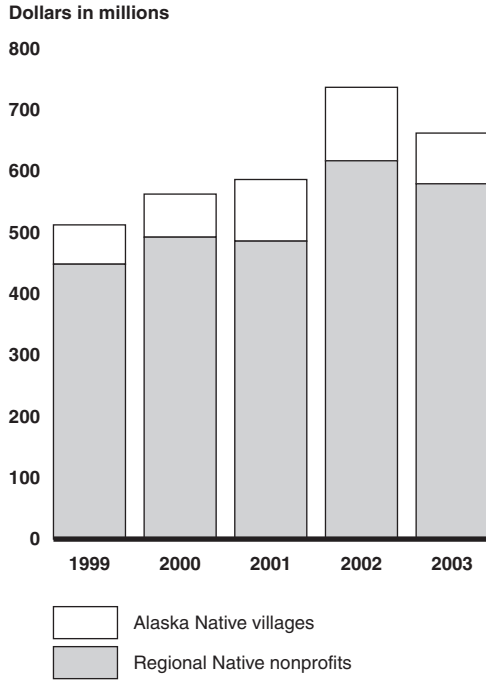
Source: GAO analysis of FAADS and other agency data, 1998-2003.

**Combined Federal Funding to Native Villages and Regional Native Nonprofits Increased 29 Percent between 1999 and 2003**

In 2003 constant dollars, annual combined federal funding to Native villages and regional Native nonprofits increased 29 percent, from \$512 million in 1999 to \$662 million in 2003.<sup>22</sup> Combined funding to Native villages and regional Native nonprofits increased every year, except 2003, peaking in 2002 at \$737 million (see fig. 7).

<sup>22</sup>This increase does not include \$26 million (constant 2003 dollars) in HHS expenditures to operate the Alaska Native Medical Center in the first quarter of 1999, before the center was operated by the Alaska Native Tribal Health Consortium and the Southcentral Foundation. If these expenditures are added to the HHS grant amounts to Native villages and regional nonprofits in 1999, the increase from 1999 through 2003 is 23 percent.

**Figure 7: Growth in Federal Funding to Native Villages and Regional Native Nonprofits**



Source: GAO analysis of FAADS and other agency data, 1999-2003.

The large increase between 2001 and 2002, from \$586 million to \$737 million, is primarily attributable to increases in HHS funding to Native villages and regional Native nonprofits. HHS funding increased from \$308 million in 2001 to \$475 million in 2002. The decrease in funding between 2002 and 2003 is primarily attributable to decreases in funding from HHS and Interior.

Finally, direct federal funding to Native villages grew 29 percent, from \$64 million in 1999 to \$83 million in 2003, and the number of Native villages receiving funds directly increased 32 percent from 148 in 1999 to 196 in 2003. Federal direct funding to the 33 regional Native nonprofits grew 29 percent from \$448 million in 1999 to \$579 million in 2003.

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Funding for 1998 is not included in the comparison because not all HHS and Interior funding was included in FAADS. According to HHS officials, FAADS does not capture the \$139 million in federal funds expended by HHS in 1998 for it to operate the Alaska Native Medical Center and provide sanitation facilities projects.<sup>23</sup> Also, according to Interior, the Bureau of Indian Affairs did not report 1998 funding data for inclusion in FAADS.

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### Alaska Native Villages and Alaska Natives Also Benefited from Federal Funding to Other Nonprofit Organizations, Cities, Boroughs, and the State of Alaska

Many Alaska Native villages also benefited from other nonprofits that primarily assist Alaska Natives. Also, Native villages located within incorporated cities benefited from municipal services, such as sewer and water services. In addition, Alaska Native villages and Alaska Natives benefited from federal funding to school districts, boroughs, and the state, for purposes such as education, transportation, and other community services. The state also passed through some federal funding it receives to Native villages, cities, and boroughs.

Based on our analysis of FAADS data, 46 nonprofit organizations that primarily provide assistance and support to Alaska Natives received \$224 million during 1998 through 2003. These organizations are a diverse group that include: statewide entities, such as the Alaska Federation of Natives, considered to be the largest advocacy group representing Alaska Natives; the Alaska Eskimo Whaling Commission, which supports subsistence activities; the Alaska Native Heritage Center, which seeks to promote awareness of Native culture and values; and the Council of Athabascan Tribal governments, a subregional Native nonprofit that provides health care services to six villages. See appendix IV for a list of the nonprofit organizations that primarily assist Alaska Natives and that received federal funding from 1998 through 2003.

Our analysis of FAADS data indicated that 12 federal agencies provided incorporated cities that have Native villages within their borders with \$167 million in federal funding during 1998 through 2003. Overall, 75 different incorporated cities received some form of federal funding, with an average of 32 cities receiving funds in any year.<sup>24</sup> USDA provided the largest amount of funding to these cities—\$88 million or about half of all funding provided

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<sup>23</sup>In constant 2003 dollars.

<sup>24</sup>According to state of Alaska data, 122 of 145 incorporated cities include a Native village. Two cities each include two Native villages.



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to the cities. More specifically, its Water and Waste Disposal Systems for Rural Communities program, provided the largest share of this funding—\$55 million. The Department of Energy provided the next largest share of funding to cities—about \$26 million over the period. However, most of the Department of Energy’s funding was from one program—Renewable Energy Research and Development program—which accounted for \$25 million to the incorporated cities. In addition, incorporated cities with Native villages within their borders received about \$22 million from the DOT’s Airport Improvement Program.

Our analysis of FAADS data also indicates that from 1998 through 2003, 18 federal agencies provided \$161 million to borough governments. DOT contributed the largest share of the funding, \$53 million. Its Airport Improvement Program provided \$37 million to boroughs, making it the largest program overall. HUD provided the next largest amount of funding, \$25 million. HUD’s Community Development Block Grants program provided \$18 million to boroughs, making it the second largest program. Commerce, USDA, and Education each provided about \$16 million to boroughs.

Based on our analysis of FAADS data, independent school districts received about \$674 million from 11 federal agencies. Fifty-six different school districts received federal funding, with an average of 52 school districts funded annually. Education was responsible for 98 percent of all funding to school districts, about \$662 million. More specifically, the majority of these funds came from the department’s formula-based Impact Aid program. Impact Aid provided \$481 million in financial assistance to school districts where school enrollments or availability of revenue are adversely affected by federal activities, or where a significant number of children reside on federal (including Indian<sup>25</sup>) lands.

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<sup>25</sup>The Impact Aid program defines Indian lands in Alaska to include real property that is tax exempt due to federal law, agreement, or policy, and that was conveyed under ANCSA to a Native individual, Native group or corporation organized under ANCSA, or village or regional corporation, as those terms are defined in ANCSA.

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Finally, our analysis of FAADS data also shows that the state of Alaska received about \$7 billion in federal funding from 1998 through 2003.<sup>26</sup> The state received about \$3 billion from DOT, with about \$2.3 billion coming from a formula-driven Federal Highway Administration program and \$662 million from the Airport Improvement Program. USDA and Education each provided about \$800 million to the state, with USDA providing \$335 million from the Food Stamp program and \$95 million from the Water and Waste Disposal Systems for Rural Communities program, and Education providing \$122 million for Impact Aid program. EPA provided \$401 million to the state, which included \$216 million from its Surveys, Studies, Investigations and Special Purpose Grants program, which is used primarily to fund the state's Village Safe Water program.

In addition to using federal funds to provide general services throughout the state, the state of Alaska also passed through some of its federal funds to Native villages, regional Native nonprofits, cities, and boroughs.<sup>27</sup> During the state fiscal period 1998 through 2003, the state passed through more than \$105 million in federal funds to Native villages and regional Native nonprofits. This funding was provided by 15 federal agencies to Native villages and by 17 federal agencies to regional Native nonprofits to address health, environmental, economic, and other needs. In addition, the state passed through \$82.5 million to incorporated cities and almost \$253 million to boroughs with Native villages. See appendix V for more information on federal funds the state passed through to villages, regional Native nonprofits and other entities.

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<sup>26</sup>Our FAADS analysis showed an additional \$3 billion coded as federal funding to the state during the period; however, we were not able to match the recipient names with a state department. Most of the additional federal funds were for HHS's Medical Assistance Program (Medicaid) (CFDA 93.778) and Temporary Assistance for Needy Families (CFDA 93.558).

<sup>27</sup>Information on funds passed through the state of Alaska was provided by the Alaska Department of Administration, Division of Finance, not through an analysis of FAADS.

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## Federal Funds Have Been Used to Provide an Array of Services to Alaska Native Villages

Federal funds from the 13 programs we reviewed have been used to provide an array of services to Alaska Native villages. However, the extent of federal agency information on those uses varied widely by program. Specifically, funds from these programs were used to provide Alaska Natives with assistance in health care, housing, infrastructure, and other areas such as education and community development.<sup>28</sup> In addition to providing funds for carrying out specific program activities, most of the programs we reviewed also covered at least a portion of grantees' total administrative costs. The extent of readily available information on how funds from these programs were used varied, partly because of different reporting requirements and partly due to different efforts to summarize individual grantee data. Summaries of the 13 programs we reviewed are contained in appendixes VI through XVI.

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## Alaska Native Villages and Regional Native Nonprofits, and Other State and Local Organizations, Used Federal Funding to Provide an Array of Services to Their Communities

Alaska Native Villages, regional Native Nonprofits, and other state and local organizations used funds from the 13 programs we reviewed to provide an array of services to their communities. Specifically, they used funds from these programs to provide assistance related to health care, housing, infrastructure, and other areas (see table 4).

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<sup>28</sup>We included in our review the Public Works and Economic Development Facilities program after speaking with Commerce officials, who stated that this program is generally used more by Alaska Native villages than the Economic Adjustment Assistance program. The officials stated that while the Economic Adjustment Assistance program was the highest funded Commerce program assisting Alaska Native villages during 1998-2003, the program provided atypically high funding levels in 2001 in response to the Alaskan salmon fishing disaster. HUD's Indian Community Development Block Grant program was added to our review because in addition to the Indian Housing Block Grant program, it, too, can be used to construct new housing in Alaska Native villages. For more detailed information on GAO's methodology, see appendix I.

**Table 4: Primary Purposes for Which Grant Funds from 13 Selected Programs Were Recently Used**

<b>Agency</b>	<b>Program</b>	<b>Primary purposes grantees used funds</b>
Denali Commission	Denali Commission (emphasis on energy and health)	Energy and health care infrastructure
Department of Agriculture	Water and Waste Disposal System for Rural Communities	Infrastructure
Department of Commerce	Economic Adjustment Assistance	Economic development
Department of Commerce	Economic Development—Grants for Public Works and Development Facilities	Economic development
Department of Education	Alaska Native Programs	Education
Department of Health and Human Services	Tribal Self-Governance	Health care
Department of Housing and Urban Development	Indian Housing Block Grant	Housing construction and rehabilitation
Department of Housing and Urban Development	Indian Community Development Block Grant	Community development
Department of Justice	Community Oriented Policing Services	Law enforcement
Department of the Interior	Tribal Self-Governance	Community welfare, community development
Department of Labor	Youth Opportunity Grants	Education, job training
Department of Transportation	Airport Improvement Program	Transportation infrastructure
Environmental Protection Agency	Indian Environmental General Assistance Program	Capacity building

Source: GAO.

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Alaska Regional Native Nonprofits, Villages, and State Agencies Used Federal Funding to Provide a Wide Range of Health Care Services to Alaska Natives

Two programs we reviewed provided health care funding for Alaska Natives: the Department of Health and Human Services' Tribal Self-Governance Program and the Denali Commission's Health Care Program. HHS's Indian Health Service (IHS) awards self-governance funding to 13 regional Native health care nonprofits, three Native villages, one statewide Native health care provider, and four groups of between two and seven Alaska Native villages, to provide health care services to Alaska Natives.<sup>29</sup> Under the program, IHS negotiates self-governance compacts with these regional Native nonprofits, villages, and the statewide Alaska Native Tribal Health Consortium<sup>30</sup> that allow those organizations to assume the management, design and implementation of their own health care programs.<sup>31</sup> According to IHS officials and agency documentation, these organizations recently used HHS's Tribal Self-Governance Program funding in several areas.<sup>32</sup> These include the following:<sup>33</sup>

- Clinical health services, including hospitals and health clinics, dental services, mental health services, and alcohol and substance abuse treatment. Collectively, these funds were used to operate 7 tribal

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<sup>29</sup>In total, 20 Alaska Native villages receive self-governance funding from IHS directly or as part of small groups that are not regional Native health care nonprofits. All other Alaska Native villages in Alaska receive health care services through regional Native health care nonprofits. We have included Eastern Aleutian Tribes Inc., as an entity that provided health care services to a group of villages; it was recognized as a Native regional health entity by P.L. 108-447, enacted in December 2004.

<sup>30</sup>The Alaska Native Tribal Health Consortium is a nonprofit health organization authorized by P.L. 105-83 and managed by regional health corporations and elected representatives from Alaska Native village governments not part of a regional health corporation. The consortium was created in 1997 to provide statewide Native health services when those services were transferred from federal ownership and control to Alaska tribes.

<sup>31</sup>In addition to funding the above services and facilities, a small percentage of the IHS funding goes to one-time cooperative agreements that provide planning and negotiation resources to villages interested in participating in the Tribal Self-Governance Program.

<sup>32</sup>The IHS Tribal Self-Governance Program allows tribes and nonprofits to reprogram funding allocations within the limitations of appropriations laws as the tribe or nonprofit deems best to address their own health care needs and priorities. Pursuant to legislative reporting requirements, IHS receives information on health status and service delivery.

<sup>33</sup>Over 95 percent of the funding for the operations described herein was provided under the Tribal Self-Governance Program. The remaining funds for these operations came from IHS's Indian Self-Determination Program, which also provides funds that allow tribes to administer health programs. Some of the information in IHS's published reports on health status and service delivery combines the uses from these two programs.

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hospitals, 28 tribal health centers, and 176 tribal community health aid clinics with about 500 community health aides.

- Contract health services (i.e., health services from private-sector providers where specialized health care services were not readily available at tribally operated providers). For example, the Alaska Native Medical Center in Anchorage—which generally provides treatment for serious illness and injury for Alaska Natives from all over Alaska—often uses contract health care funds to consult with specialists and to provide specialized care such as cardiac or neurological surgery.
- Preventive health services, such as public health nursing, health education, and immunization. For example, the Tanana Chiefs Conference used tribal self-governance funds to provide a community health representative program for patient education.
- Contract support costs (such as general administrative costs incurred by grantees).
- Health care facilities, including maintenance, improvement, and construction of health care and sanitation facilities. For example, in 2004, the Southeast Alaska Regional Health Consortium added a small, ground-floor room to accommodate a Magnetic Resonance Imaging service.

The majority of the Denali Commission's recent Health Care Program funding was used by the Alaska Department of Health and Social Services and the Alaska Native Tribal Health Consortium, a statewide Native health care provider, according to Denali Commission documentation. These groups used the funding primarily to construct new primary care clinics and repair and renovate existing ones, as well as to purchase health care equipment, for residents in rural Alaska, including Alaska Natives. According to the commission's 2004 annual report, since 1999 it funded the construction of primary health clinics in 41 communities, while projects

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Native Villages and Tribally  
Designated Housing Entities  
Used Federal Housing Funding  
to Construct, Rehabilitate, and  
Maintain Housing Stock

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are under way in 59 other communities across the state.<sup>34</sup> For example, in 2003, the Alaska Native Tribal Health Consortium used a total of \$2.7 million from the commission's health facilities program to build a health clinic in Toksook Bay (the location of the Nunakauyarmiut Tribe). The Denali Commission provides funding for other health care needs as well, such as a grant to the Alaska Department of Health and Social Services to cover half of the \$400,000 needed to purchase an ultrasound machine for Sitka.

HUD's Indian Housing Block Grant program (IHBG) funds housing activities conducted by Alaska Native villages or Native regional housing nonprofits. This program has the stated intent of recognizing the right of tribal self-governance. HUD's IHBG funds can be used in a variety of housing-related activities, including housing development, assistance to housing developed under the U.S. Housing Act of 1937, and planning and administration.<sup>35</sup> According to HUD, between 1998 and 2003, 38 percent of the IHBG funds were used for housing development activities, 22 percent were used for modernizing and operating current assisted stock, 11 percent were used for planning and administration, and 29 percent were used for other housing activities, such as housing services, housing management services, crime prevention, model activities, and unspent funds. Figure 8 shows a new house built in Alaska by the Bristol Bay Housing Authority with IHBG and other funds.

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<sup>34</sup>The Denali Commission focuses its efforts on rural Alaska. According to Denali officials, most of the Commission's projects benefit Alaska Native villages.

<sup>35</sup>Prior to the passage of NAHASDA, HUD provided financial and technical assistance to Indian housing authorities under the U.S. Housing Act of 1937 for the development and operation of low-income housing projects in Indian areas.

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**Figure 8: House Built by the Bristol Bay Housing Authority Using IHBG and Other Funds**



Source: GAO.

State Agencies, Native Villages, and Other Agencies Used Federal Infrastructure Funding to Address Needs for Water and Waste Disposal Systems, Airport Improvements, and Energy

Three of the 13 programs we reviewed—USDA’s Water and Waste Disposal System for Rural Communities, DOT’s Airport Improvement Program, and the Denali Commission’s Energy Facilities Program—provided water, transportation, and energy infrastructure in Alaska Native communities.



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Funding under USDA's Water and Waste Disposal System for Rural Communities is used primarily in conjunction with the state of Alaska's Village Safe Water program.<sup>36</sup> According to USDA officials and agency documentation, USDA funds are combined with EPA funds and 25 percent matching state funds to eliminate the "honey bucket"—a plastic 5-gallon bucket used as a toilet in some Alaska Native villages—and provide communities with water and sewer systems that function in Alaska's harsh environment, such as the flush and haul system.<sup>37</sup> From 2000 through 2003, USDA funded 86 Village Safe Water projects.<sup>38</sup> In the Alaska Native village of Napaskiak, for example, USDA provided a \$570,300 grant that, when matched with \$190,200 from the state, is being used to replace all of the remaining single-family home honey buckets in the community with the flush and haul system.

DOT's Airport Improvement Program (AIP) was used to construct new airports and rehabilitate old ones, since many of the Alaska Native villages that are not accessible by roads contain an airport runway that provides the only year-round access to the village. Most of the program's funding goes to Alaska's Department of Transportation and Public Facilities, which administers most projects under the program.<sup>39</sup> AIP officials said that many funds go to improving existing airports to bring all airports up to a minimum standard, and while airports in the lower 48 states are often on their second or third improvement plan, most airports in Alaska are being constructed or improved for the first time. Figure 9 below shows the 310 AIP projects, by type, for the 1999-2004 AIP grants that benefited Alaska Native villages.

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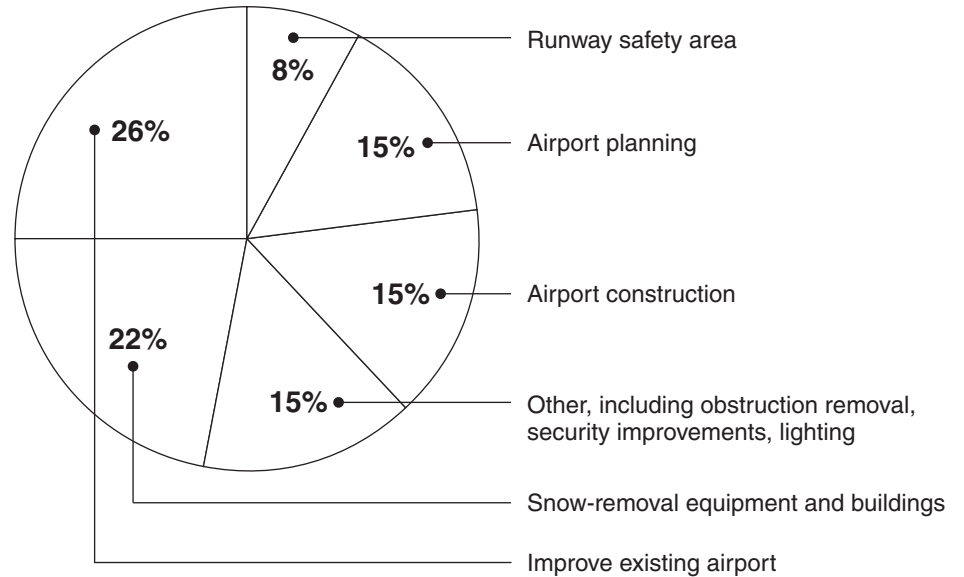
<sup>36</sup>The Village Safe Water projects focus on rural Alaska. According to USDA officials, most of the Village Safe Water projects benefit Alaska Native villages.

<sup>37</sup>A flush and haul system generally consists of individual storage tanks that provide water to flush toilets, and the sewage is then stored in a separate tank, the contents of which are transported to a sewage lagoon.

<sup>38</sup>Since 2000, program funds have been given directly from USDA to the state, while prior to that, grants were given directly to the communities with grant administration done by the state. Some of these projects have not been completed as of May 2005, as projects can take several years to complete. Additionally, some funds have only been allocated and construction of the project has not been started.

<sup>39</sup>The state of Alaska is the owner and operator for most of the airports in Alaska; as such, the state is the eligible sponsor that can receive AIP funding for these airports.

**Figure 9: Percentage of 1999-2004 AIP Projects Used to Assist Alaska Native Villages, by Type**



Source: GAO analysis of airport improvement program data.

Notes: Total does not add to 100 percent due to rounding.

AIP provides grants that benefit both Alaska Native villages as well as other areas. Federal Aviation Administration officials provided GAO with a database of 519 projects in Alaska from 1999-2004. GAO categorized 310 of those as benefiting Alaska Native villages, including villages located within the boundaries of incorporated cities; non-Alaska Natives living in those areas could benefit from those projects as well. Additionally, grants that were made to benefit airports in larger locations, such as Anchorage, Juneau, and Fairbanks were not included, though Alaska Natives living in and traveling to those locations could benefit from those projects. Further, 36 of the 519 projects were labeled as statewide projects without specific locations; those projects are not included in the analysis above, and likewise could benefit Alaska Natives using those airports. Some of the projects in this database have not been completed, as completion of some projects can take as long as 4 years.

The Denali Commission's energy program has been used to address issues affecting Alaska Natives by focusing on upgrades for bulk fuel tank farms and rural power system upgrades. Energy has been the commission's primary infrastructure theme since 1999. The first challenge undertaken by the commission was the upgrade and consolidation of fuel tanks in 172 communities identified as health and environmental hazards by the U.S. Coast Guard and EPA. According to the commission's 2004 Annual Report, the two major recipients of the commission's energy facilities funds—the Alaska Energy Authority and Alaska Village Electric Cooperative—have upgraded bulk fuel tanks in 64 communities across the state, while projects

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are under way in 70 other communities. For example, in 2001, the commission provided about \$2.9 million of the roughly \$3.8 million used by the Alaska Energy Authority to upgrade a tank farm in the Alaska Native village of Kotlik (see fig. 10). The new tank farm replaced a system that had been cited for violations by the U.S. Coast Guard with one that was in full compliance with federal regulations. The commission's 2004 annual report also stated that the commission has upgraded rural power systems in 13 communities, has started construction in 20 others, and is in the planning or design phase in an additional 18. These upgrades include adding backup power generators and increasing efficiency of existing generators.

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**Figure 10: Before and After Upgrade Photos of Kotlik Bulk Fuel Facilities**



Before upgrade.



Source: Denali Commission.

After upgrade.

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Alaska Native Villages, Regional Native Nonprofits, and Other State and Local Entities Used Federal Funding for Social Services, Capacity Building, Community Development, Job Training, Native Education, Law Enforcement, and Economic Development

Eight of the 13 programs we reviewed assisted Alaska Natives in areas such as social services, capacity building, community development, job training, education, law enforcement, and economic development in Alaska Native communities.

- Interior’s Tribal Self-Governance Program: Twelve Alaska Native villages, eight regional Native nonprofits, one group consisting of multiple Alaska Native villages and one Indian reservation recently used Interior’s Tribal Self-Governance Program to fund a variety of activities. According to agency officials and documents, these activities included:
  - tribal government programs, such as funding to allow grantees to plan, conduct, consolidate, and administer programs, services, functions, and activities for tribal citizens according to priorities established by their tribal governments;
  - human services programs, such as welfare assistance, child abuse and neglect counseling, and disaster assistance programs;
  - education programs, such as scholarship grants for Alaska Native students attending accredited postsecondary institutions and adult education programs;
  - public safety and justice, such as using funding for tribal courts that enable tribes to establish and maintain their own civil and criminal codes in accordance with local tribal customs and traditions;
  - community development, such as the Housing Improvement Program, which funds repairs and renovations of existing homes and construction of new homes, job training and placement programs, or road maintenance programs; and
  - resource management, such as programs assisting Alaska Natives in managing their forest, mineral, oil, gas, and other land-based programs, including fire protection and sacred-site programs.
- EPA’s Indian Environmental General Assistance Program: In 2004, program funding went to 139 Alaska Native villages and 11 groups of two or more tribes that are currently building their capacity to implement environmental protection programs, including development of solid and hazardous waste programs. According to EPA officials and documentation, villages use this “capacity building” funding to hire and

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train staff and purchase office equipment, conduct a review of village programs to ensure compliance with federal regulations, develop a strategic environmental plan for the village, implement village recycling programs, and coordinate environmental efforts with other villages and federal and state officials, among other uses. For example, officials in Native Village of Goodnews Bay reported to EPA that they used program funding to provide the village with environmental education, awareness, increased capacity to apply for other grants, and jobs.

- HUD's Indian Community Development Block Grant Program (ICDBG): Eighty ICDBG grants were awarded from 1998 through 2003, with all but one of those grants going to Alaska Native villages, and one going to a joint venture between a village and a regional Native health care nonprofit. The projects included 21 health-related facilities (e.g., clinics, mental health, and primary care facilities); 35 community centers; 17 infrastructure projects (e.g., fuel tanks and water and sewer systems); 6 housing-related projects (e.g., housing rehabilitation, new construction, and land acquisition for new housing) and one imminent threat grant. For example, the Native Villages of Ekuk and Curyung used ICDBG grant funds in fiscal year 2002 to construct a combined Head Start/Family Resource Center in Dillingham (see fig. 11). Each Native village received \$500,000 in ICDBG funds and leveraged an additional \$3.2 million from other sources, excluding the land that was donated by the Bristol Bay Native Association, according to program documentation. Opened to students in January 2003, the center provides Head Start and Early Learning programs and child care to parents transitioning from welfare to work. The new center serves 60 children, ranging from infants to 12-year-olds, and replaced an old center that served only 30 children.

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**Figure 11: Head Start Center in Dillingham**



Source: HUD/Alaska Field Office.

- **Labor's Youth Opportunity Grant Program:** From 2000-2004, one coalition of Alaska Native Villages and regional Native nonprofits used approximately \$32 million in funding from this program to fund a variety of education, job training, and youth development activities. The coalition selected Cook Inlet Tribal Council as the lead agency to apply for the Youth Opportunity Grant; Cook Inlet provided oversight, monitoring, and technical assistance. Cook Inlet subcontracted out the operation of most of the program to 11 regional Native nonprofits and 4

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Alaska Native villages. According to agency documentation, about 2,960 Alaska youth, the vast majority of whom were Alaska Natives, enrolled in the YO! Alaska Program's 40 youth centers and participated in internships, sports and recreation activities, reading and math remediation, community service, high school graduate equivalency degree preparation, and other activities.

- **Education's Alaska Native Education Program:** In 2003, 32 educational organizations with experience in developing educational programs for Alaska Natives used funds to address the educational needs of Alaska Native students, parents, and teachers. The program's enabling legislation specifically directs that some funding be used for Alaska Native cultural education programs, including a cultural exchange program between urban and rural students, dropout prevention programs, and parenting programs. Other funds have been used for family literacy programs, home instruction for preschool-age Alaska Natives, and to increase the educational opportunities of Alaska Native students and teachers. For example, the University of Alaska Southeast used an approximately \$1.6 million grant for four main goals, one of which was to recruit and actively mentor Alaska Native high school students for the university's Bachelor of Science program.
- **Justice's Community Oriented Policing Services (COPS):** Alaska Native villages have used Justice's COPS program to address village law enforcement needs through hiring and training police officers and purchasing uniforms and police vehicles. For example, since 1999, the COPS Tribal Resources Grant Program was used to hire 35 police officers in Alaska Native villages, and provide training and equipment to Native villages.
- **Commerce's Economic Adjustment Assistance Program:** Alaska Native villages and regional Native nonprofits have used Economic Adjustment Assistance to develop comprehensive economic development strategies tailored to villages' specific economic problems and opportunities. Since 1999, the program has funded 29 projects. For example, in 2001, the Tanana Chiefs Conference was awarded \$725,000 for the construction of a 20-room hotel with a combination restaurant, lounge, and meeting facilities on council-owned property located in the Village of Circle.
- **Commerce's Public Works and Economic Development Facilities Program:** Alaska Native villages and other tribal organizations have used

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three grants from this program since 1999. For example, in 2001, a village used \$2.3 million to assist with the construction of a complex to house a museum, visitor center, and retail and office space.

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### Most of the Selected Programs Provide Funding for at Least a Portion of Grantees' Administrative Fees

Eleven of the 13 programs we reviewed provided some funding to pay for a portion of the total administrative costs associated with the programs.<sup>40</sup> The majority of these 11 programs provided funding for administrative costs as part of the overall grant amount, rather than allowing for reimbursement for specific administrative costs that grantees incur. Most of these 11 programs had restrictions on the amount of administrative funds grantees can use. For example, HUD's IHBG program allows grantees to use up to 20 percent of the grant amount for total administrative costs. In contrast, Labor's Youth Opportunity Grant program does not specifically limit administrative costs. However, according to Labor officials, the department negotiates with grantees to keep administrative costs low.

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### Available Information on How Grantees Used Funds from Selected Programs Varies, in Part Due to Different Reporting Requirements

Information on how Alaska Native villages, regional Native nonprofits, and other grantees used funds from the 13 programs we reviewed varied widely, partially because different programs have different reporting requirements and also because agencies summarize program data differently.<sup>41</sup> For example, the statute governing the Department of the Interior's Tribal Self-Governance Program does not require that the grantee submit information on how they used program funds; however, they can submit such

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<sup>40</sup>Total administrative costs consist of direct and indirect administrative costs. Direct administrative costs include costs that grantees can allocate to a particular federal program, such as unemployment taxes and workers compensation insurance. Indirect administrative costs include costs that grantees cannot easily allocate to a particular federal program. Indirect costs typically include administrative salaries and fringe benefits associated with overall financial and organizational administration, operation and maintenance costs for facilities and equipment, and payroll and procurement services.

<sup>41</sup>In addition to reports required by federal agencies, grantees are subject to audit under the Single Audit Act. The Single Audit Act states that nonfederal grantees that expend a total amount of federal awards equal to or in excess of \$500,000 are subject to an examination to determine if the grantee has expended funds in compliance with program requirements.



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information voluntarily.<sup>42</sup> Additionally, reporting requirements for the other programs we reviewed varied, ranging from general information on delivery of services paid for by grant funds to detailed information on the financial uses of funds and progress toward grant goals. For example, HHS's Tribal Self-Governance Program requires that grantees report annually on health status and service delivery in their locations, but does not require specific financial reports on how funding was used. Conversely, DOT's Airport Improvement Program requires that grantees send quarterly performance reports that include comparisons between the projects' accomplishments and the goals established for the quarter, reasons for not accomplishing planned goals in specific cases, and an analysis and explanation of any cost overruns.

Additionally, some agencies do more than others to summarize individual grantee data on a programwide basis. For example, EPA's Indian Environmental General Assistance Program has information in project files on each individual grantee's projects, but has not summarized the information to show how all program funds have been used. In contrast, the Denali Commission collects project information in a Web-based, publicly available database that provides detailed financial and progress information. The system includes all of the commission's grants, and can be queried to produce information by attributes such as theme (the underlying subject area of the project, such as energy—bulk fuel), community involvement, recipient, and milestone (such as in the business plan or construction phase).

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<sup>42</sup>While Interior's self-governance grantees have limited reporting requirements, grantees' annual funding agreements contain provisions for the Secretary of the Interior to conduct an annual review of the tribe's performance of trust functions. The Secretary may reassume a program, service, function, or activity, if there is a finding of imminent jeopardy to a physical trust asset or the public health and safety.

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## Alaska Native Villages and Regional Housing Authorities Constructed More Than 800 and Rehabilitated Almost 3,000 Homes, and the Number and Costs of Completed Units Varied across Regions

Results from our survey of Alaska Native villages and regional housing authorities indicated that, from calendar years 1998 through 2003, these entities constructed 874 single-family units and rehabilitated 2,990 single-family units.<sup>43</sup> Most of the new units constructed were three- and four-bedroom homes, and most of the new construction and rehabilitation activity occurred in a few regions. In addition, housing authorities constructed more than three times and rehabilitated more than twice the number of units than responding villages. However, village production of new homes increased steadily, while production by regional housing authorities fluctuated. Our analysis of survey data also indicated that the average costs of units constructed varied by region and by who developed them. Survey results also showed that housing authorities had higher new construction costs than villages, although villages had higher rehabilitation costs for units that did not require acquisition. According to federal, state, and local officials, variation in the number and cost of units constructed and rehabilitated by region and between housing authorities and villages reflect various factors, such as differences in local housing goals and objectives and proximity to sources of building materials. Also, regional housing authorities modernized 5,211 single-family units previously developed under the U.S. Housing Act of 1937 and developed several multifamily properties. Villages, however, are ineligible to receive funding for modernization. Reproductions of our surveys are contained in appendixes XVII and XVIII.

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## Villages and Regional Housing Authorities Completed Construction on 874 Units and Rehabilitated 2,990 Units from 1998 through 2003

Based on our survey of Alaska Native villages and regional housing authorities, from calendar years 1998 through 2003, villages and regional housing authorities completed construction on a total of 874 single-family units and rehabilitated 2,990 single-family units. As shown in table 5, the number of units these entities constructed ranged from 104 in 1998 to 199 in 2002. The most common size of newly constructed units was a three-bedroom home. Slightly more than half of all units constructed were of this type. The second most common units were four-bedroom homes, which

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<sup>43</sup>Our survey asked for information on newly constructed and rehabilitated single-family units that were completed from 1998 through 2003 using NAHASDA funds exclusively or in combination with other funds. We asked respondents to only include units completed (when available for occupancy) by December 31, 2003. Rehabilitation refers to a wide range of improvements made to existing housing, such as energy-related improvements and lead-based paint abatement. Rehabilitation figures are for units rehabilitated without acquisition (i.e., that did not require purchase) and those acquired before they were rehabilitated.

represented about a third of all units. Also, the total number of units rehabilitated by regional housing authorities and villages increased, from 253 in 1998 to 628 in 2002.

**Table 5: Number of Single-Family Units Constructed and Rehabilitated for Villages and Regional Housing Authorities Combined, Calendar Years 1998-2003**

<b>Bedroom size of unit constructed</b>	<b>1998</b>	<b>1999</b>	<b>2000</b>	<b>2001</b>	<b>2002</b>	<b>2003</b>	<b>Total</b>
1 bedroom	1	7	4	4	3	3	<b>22</b>
2 bedroom	7	17	22	21	46	15	<b>128</b>
3 bedroom	62	64	74	99	87	76	<b>462</b>
4 bedroom	34	46	43	32	63	44	<b>262</b>
<b>Total new construction units<sup>a</sup></b>	<b>104</b>	<b>134</b>	<b>143</b>	<b>156</b>	<b>199</b>	<b>138</b>	<b>874</b>
<b>Total rehabilitated units<sup>b</sup></b>	<b>253</b>	<b>386</b>	<b>610</b>	<b>526</b>	<b>628</b>	<b>587</b>	<b>2,990</b>

Source: GAO.

Notes: Not all of the regional housing authorities and villages constructing or rehabilitating units completed units each year.

<sup>a</sup>Twelve regional housing authorities and 31 villages constructed units.

<sup>b</sup>Four regional housing authorities and 5 villages rehabilitated acquired units, and 10 regional housing authorities and 31 villages rehabilitated units that did not require acquisition.

As shown in figure 12, most of the newly constructed units were located in only a few regions. Specifically, four of the 12 regions—the Association of Village Council Presidents (AVCP), Fairbanks Native Association, Central Council, and Bristol Bay Native Association—accounted for 590 units—about 68 percent of the new construction. Specifically, one region—AVCP—accounted for about 30 percent of the production. Three regions, Copper River Native Association, Aleutian Pribilof Islands Association, and Kodiak Area Native Association, produced few or no new units.

**Figure 12: Number of Single-Family Units Constructed by Region for Villages and Housing Authorities Combined, Calendar Years 1998-2003**

Region	Year						Total
	1998	1999	2000	2001	2002	2003	
Aleutian Pribilof Islands Association	0	0	0	15	0	0	15
Arctic Slope Native Association	0	1	2	1	27	3	34
Association of Village Council Presidents	13	46	53	54	49	48	263
Bristol Bay Native Association	44	0	22	14	7	15	102
Central Council	18	17	22	23	6	26	112
Chugachmiut	15	16	15	7	0	5	58
Cook Inlet Tribal Council	1	1	1	3	64	3	73
Copper River Native Association	0	0	0	0	0	0	0
Fairbanks Native Association	0	36	11	18	22	26	113
Kawerak Inc.	13	14	15	4	18	1	65
Kodiak Area Native Association	0	0	0	13	0	0	13
Manillaq Association	0	3	2	4	6	11	26
<b>Total</b>	<b>104</b>	<b>134</b>	<b>143</b>	<b>156</b>	<b>199</b>	<b>138</b>	<b>874</b>

Source: GAO.

Note: Twelve regional housing authorities and 31 villages constructed units, although not all of the regional housing authorities and villages completed units each year.

Similarly, the majority of units that villages and housing authorities rehabilitated over the period were located in a few regions. As shown in figure 13, three regions—Central Council, Cook Inlet Tribal Council, and Bristol Bay Native Association—accounted for almost 60 percent of all rehabilitated units. In contrast, the Aleutian Pribilof Islands Association and Arctic Slope Native Association regions completed relatively few or no rehabilitation projects.

**Figure 13: Number of Units Rehabilitated (with and without Acquisition) by Region for Responding Villages and Housing Authorities, Calendar Years 1998-2003**

Region	Year						Total
	1998	1999	2000	2001	2002	2003	
Aleutian Pribilof Islands Association	0	0	0	0	0	0	0
Arctic Slope Native Association	3	0	5	5	5	5	23
Association of Village Council Presidents	10	18	37	28	36	33	162
Bristol Bay Native Association	8	11	187	88	163	48	505
Central Council	66	78	116	144	108	141	653
Chugachmiut	0	3	10	16	26	39	94
Cook Inlet Tribal Council	0	148	158	66	105	119	596
Copper River Native Association	51	25	32	18	38	38	202
Fairbanks Native Association	15	11	14	84	87	76	287
Kawerak Inc.	10	15	18	21	21	34	119
Kodiak Area Native Association	1	0	21	23	20	15	80
Maniilaq Association	89	77	12	33	19	39	269
<b>Total</b>	<b>253</b>	<b>386</b>	<b>610</b>	<b>526</b>	<b>628</b>	<b>587</b>	<b>2,990</b>

Source: GAO.

Note: Four regional housing authorities and 5 villages rehabilitated acquired units, and 10 regional housing authorities and 31 villages rehabilitated units that did not require acquisition. Not all of the regional housing authorities and villages rehabilitating units completed units each year.

The 2,990 rehabilitated units include 2,920 units that did not require purchase before rehabilitation began, and 70 units that housing authorities and villages acquired before they were rehabilitated. Housing authorities and villages in five regions—AVCP, Bristol Bay Native Association, Central Council, Chugachmiut, and Maniilaq Association—rehabilitated acquired units. Most of the rehabilitated units that required acquisition—47—were completed in the Central Council region.

## Housing Authorities Constructed More Than Three Times and Rehabilitated More Than Two Times the Number of Units Compared with Villages

Based on our survey, housing authorities constructed more than three times the number of new units as villages did. As shown in table 6, regional housing authorities constructed 666 units, while villages completed 208 units. Both the AVCP housing authority and the 11 villages within this region completed the most units—173 and 90, respectively—compared with housing authorities and villages located in other regions. The regional housing authority in Copper River Native Association region as well as the responding villages in both the Kodiak Island Native Association and Chugachmiut regions completed no units.

**Table 6: Number of New Units Constructed by Housing Authorities Compared with Villages, by Region, Calendar Years 1998-2003**

Region	Number of new units constructed by housing authorities	Number of housing authorities responding	Number of new units constructed by villages	Number of villages responding
Aleutian Pribilof Islands Association	15	1	No villages responded	No villages responded
Arctic Slope Native Association	25	1	9	2
Association of Village Council Presidents	173	1	90	11
Bristol Bay Native Association	88	1	14	2
Central Council	104	2	8	1
Chugachmiut	58	1	0	0
Cook Inlet Tribal Council	61	1	12	3
Copper River Native Association	0	1	No villages responded	No villages responded
Fairbanks Native Association	75	1	38	6
Kawerak Inc.	44	1	21	3
Kodiak Area Native Association	13	1	0	0
Maniilaq Association	10	1	16	3
<b>Total</b>	<b>666</b>	<b>13</b>	<b>208</b>	<b>31</b>

Source: GAO.

Note: Not all of the regional housing authorities and villages constructing units completed units each year.

Housing authorities rehabilitated more than double the number of units compared with responding villages, for both units that did not and did require acquisition. As shown in table 7, for units that did not require acquisition, housing authorities rehabilitated 2,114 units compared with 806 rehabilitated by villages. Almost 70 percent of housing authority rehabilitations occurred in three regions—Bristol Bay Native Association,

Central Council, and Cook Inlet Tribal Council. Similarly, villages in four regions—AVCP, Cook Inlet Tribal Council, Fairbanks Native Association, and Maniilaq Association—accounted for over 70 percent of the units rehabilitated by villages. The regional housing authorities rehabilitated more units in all regions except for the Arctic Slope Native Association, AVCP, Chugachmiut, and Maniilaq Association regions.

**Table 7: Number of New Units Rehabilitated without Acquisition by Housing Authorities Compared with Villages, by Region, Calendar Years 1998-2003**

Region	Number of units rehabilitated by housing authorities	Number of housing authorities responding	Number of units rehabilitated by villages	Number of villages responding
Aleutian Pribilof Islands Association	0	1	No villages responded	No villages responded
Arctic Slope Native Association	0	1	23	2
Association of Village Council Presidents	0	1	156	10
Bristol Bay Native Association	455	1	46	3
Central Council	550	2	56	3
Chugachmiut	22	1	69	1
Cook Inlet Tribal Council	438	1	158	4
Copper River Native Association	202	1	No Villages Responded	No Villages Responded
Fairbanks Native Association	167	1	120	3
Kawerak Inc.	100	1	19	2
Kodiak Area Native Association	61	1	19	1
Maniilaq Association	119	1	140	2
<b>Total</b>	<b>2,114</b>	<b>13</b>	<b>806</b>	<b>31</b>

Source: GAO.

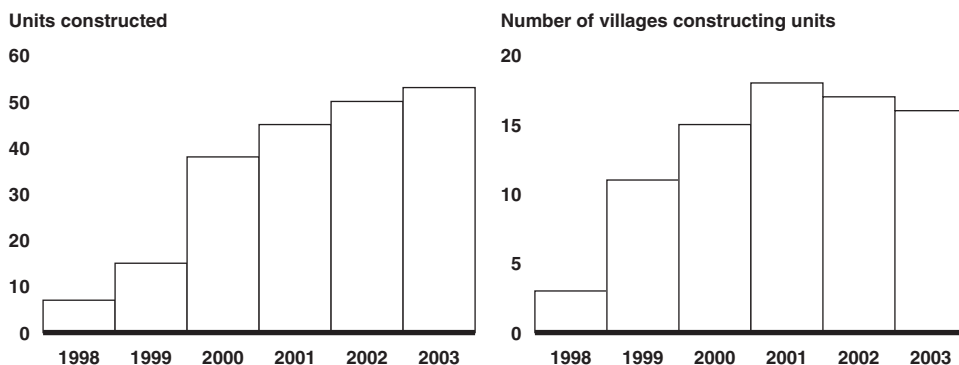
Note: Not all of the regional housing authorities and villages rehabilitating units completed units each year.

Similarly, housing authorities rehabilitated more than double the number of the acquired units as villages. Three housing authorities—Bristol Bay Native Association, Central Council, and Chugachmiut—rehabilitated 50 units that required acquisition. The housing authorities in Central Council rehabilitated the most acquired units, 43. Responding villages in three regions—AVCP, Central Council, and Maniilaq Association—rehabilitated 20 units that required acquisition. Rehabilitations of this type were more evenly spread among the responding villages, with Central Council completing 4 units, AVCP completing 6 units, and Maniilaq Association completing 10.

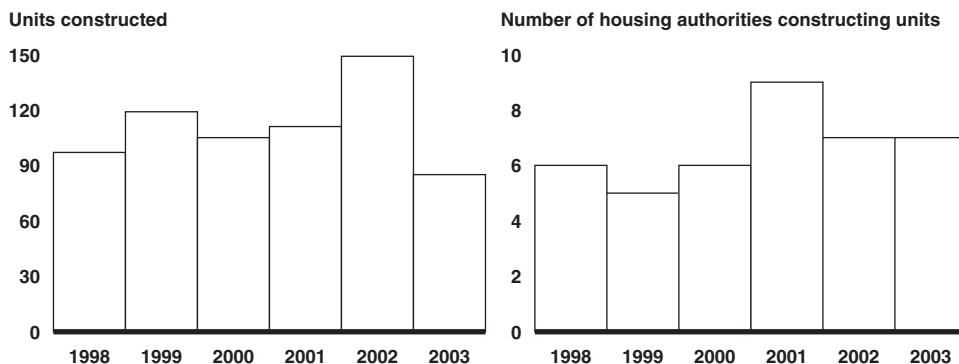
Over the period covered by our survey, villages annually increased unit construction, while regional housing authority production varied annually. Specifically, village production grew more than sevenfold, from 7 units in 1998 to 53 units in 2003. Regional housing authority production ranged from 97 in 1998 to 149 in 2002, but also fluctuated widely over the period (see fig. 14).

**Figure 14: Annual and Total Number of Units Constructed by Housing Authorities and Villages, Calendar Years 1998-2003**

**Villages**



**Regional housing authorities**



Source: GAO.



**Regional Housing Authorities Modernized 5,211 Single-Family Units Previously Developed under U.S. Housing Act of 1937**

Based on our survey, 13 housing authorities modernized 5,211 single-family units previously developed under the U.S. Housing Act of 1937.<sup>44</sup> Villages are ineligible to receive funds for modernization activities. AVCP modernized the most units, 1,287. In contrast, the housing authorities in the Copper River Native Association and the Fairbanks Native Association regions modernized few units over the period (see fig. 15).

**Figure 15: Number of Single-Family Units Modernized by Housing Authorities, Calendar Years 1998-2003**

Region	Number of single family units modernized
Aleutian Pribilof Islands Association	500
Arctic Slope Native Association	375
Association of Village Council Presidents	1,287
Bristol Bay Native Association	717
Central Council <sup>a</sup>	190
Chugachmiut	365
Cook Inlet Tribal Council	208
Copper River Native Association	4
Fairbanks Native Association	6
Kawerak Inc.	775
Kodiak Area Native Association	431
Manillaq Association	353
<b>Total</b>	<b>5,211</b>

Source: GAO.

Notes: Although all 13 regional housing authorities modernized units, not all of the regional housing authorities completed those units each year.

<sup>a</sup>Two regional housing authorities in Central Council responded to this question.

<sup>44</sup>Funds for modernization of housing developed under the U.S. Housing Act of 1937 are provided only to regional housing authorities who are the owners of record.

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## Regional Housing Authorities Constructed, Rehabilitated, and Modernized Multifamily Housing Properties

Only housing authorities completed new construction, rehabilitation, and modernization of multifamily properties (i.e., properties with five or more units). From 1998 through 2003, responding regional housing authorities constructed six multifamily properties—two by the housing authority in the Cook Inlet Tribal Council region, two by the housing authority in the Copper River Native Association region, and one each in the Aleutian Pribilof Islands and Central Council regions. Average property sizes ranged from 6,470 square feet in the Aleutian Pribilof Islands Association region to 34,831 square feet in the Cook Inlet Tribal Council region.<sup>45</sup> Housing authorities also rehabilitated four multifamily properties, two of which were acquired. The housing authorities in the Bristol Bay Native Association and Central Council regions acquired and rehabilitated one multifamily property each, and the regional housing authority in the Kawerak Inc. region rehabilitated two multifamily properties.

In addition, seven housing authorities modernized 73 multifamily properties over the period. Responding housing authorities completed a low of 8 multifamily properties in 1999 and a high of 17 properties in 2003. Housing authorities in seven regions—Arctic Slope Native Association, Bristol Bay Native Association, Central Council, Chugachmiut, Cook Inlet Tribal Council, Copper River Native Association, Kodiak Area Native Association—modernized multifamily housing. The housing authority in Cook Inlet Tribal Council region modernized the most multifamily properties—30.

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## New Construction and Housing Rehabilitation Costs Varied by Region and by Whether Units Were Completed by Villages or Housing Authorities

Construction and rehabilitation costs varied widely by region, with more remote regions generally incurring higher costs. Additionally, regional housing authorities had higher construction costs than villages. In contrast, villages had higher rehabilitation costs for housing units that did not require acquisition. Regional housing authority single-family modernization costs also varied by region, and multifamily housing costs varied according to the type of housing development. In general, housing costs are influenced by factors such as transportation, local expertise, terrain, site preparation, and required building/energy standards.

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<sup>45</sup>For newly constructed, rehabilitated, and modernized multifamily properties, we did not collect information on the number of individual units or the size of units included in these properties.

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Overall, based on our survey results, from 1998 through 2003, the average construction cost for all units produced by 31 villages and 12 housing authorities, was \$222,928 per unit or \$183 per square foot (in 2003 dollars). The average unit size was 1,217 square feet. During the same time period, the average cost of units rehabilitated by villages and housing authorities that did not require acquisition was \$46,866 for major rehabilitation (costing \$20,000 or more per unit) and \$7,070 for minor rehabilitation (costing less than \$20,000 per unit). The average cost of units that were rehabilitated and acquired by villages and housing authorities was \$87,324 or \$79 per square foot.<sup>46</sup>

New construction housing costs showed wide variation in eleven regions, based on responding regional housing authorities and villages. As shown by figure 16, the average combined cost per square foot ranged from \$122 in Chugachmiut (located in southern Alaska, near Anchorage) to \$267 in the Arctic Slope (located in the northern most region in Alaska). The average size of the units in these two regions was similar—1,134 per square foot and 1,142 per square feet, respectively. Kodiak Area Native Association region (located southwest of Anchorage) had the second highest costs per square foot, and Cook Inlet (Anchorage is part of Cook Inlet) had the second lowest cost per unit. These two regions also had similar sized units.

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<sup>46</sup>Includes both rehabilitation and acquisition costs.

**Figure 16: Average Regional New Construction Costs for Housing Authorities and Villages Combined, Calendar Years 1998-2003, Ranked by Cost Per Square Foot (in 2003 Dollars)**

Region	Average cost per square foot	Average cost per unit	Total number of units	Average sq. ft. per unit
Arctic Slope Native Association	\$267	\$305,634	34	1,142
Kodiak Area Native Association	255	301,823	13	1,181
Kawerak Inc.	225	258,043	65	1,145
Fairbanks Native Association	206	208,088	113	1,006
Bristol Bay Native Association	188	259,095	102	1,375
Association of Village Council Presidents	179	225,942	263	1,258
Manillaq Association	174	203,248	26	1,167
Central Council	170	226,901	112	1,329
Aleutian Pribilof Islands Association	161	268,614	15	1,665
Cook Inlet Tribal Council	144	158,918	73	1,101
Chugachmiut	122	138,944	58	1,134

Source: GAO.

Note: Twelve regional housing authorities and 31 villages constructed units. Copper River Native Association region did not report any new construction.

Seattle is a primary source of construction materials for housing in Alaska. The Arctic Slope Native Association is the furthest region from Seattle and incurs the highest costs for transporting building material and equipment. Chugachmiut has lower transportation costs because it is closer to Seattle. However, the Kodiak Area Native Association region exemplifies how a region relatively close to Seattle can nonetheless face unusually high construction costs. According to an official with the Kodiak Island Housing Authority, there are several factors that have increased the cost of construction on the island, such as remote villages along the coast often not having adequate docking facilities to offload construction material, requiring special, expensive barges. Also, since the Kodiak Area Native Association area is rocky, extensive drilling and blasting is required to excavate the housing foundation for each unit and for digging trenches for water and sewer lines to the housing site. Finally, villages that are close to

Kodiak City—the largest city in the Kodiak Area Native Association region—have high land costs.

As shown in table 8, responding regional housing authorities had higher average costs for all units constructed and built larger units than did villages. Regional housing authorities' average cost for all units constructed was \$236,229 per unit or \$189 per square foot, compared with villages, which had an average cost per unit of \$180,338 or \$160 per square foot. However, housing authority square-foot costs remained stable over the 6-year period, while village square-foot costs fluctuated. For example, from 1999 through 2000, the per-square-foot costs for villages decreased by 25 percent from \$183 to \$138, but between 2002 and 2003, the average per-square-foot costs increased 47 percent from \$144 to \$212. Moreover, housing authorities built units that were on average 433 square feet larger than units villages built in 1999 and 246 square feet larger in 2003. However, in 2000, villages built slightly larger units than housing authorities.

**Table 8: Average New Construction Costs, Number and Size of Units, Regional Housing Authorities and Villages**

2003 dollars

	1998	1999	2000	2001	2002	2003
<b>12 regional housing authorities</b>						
Average cost per unit	\$244,550	\$227,164	\$226,554	\$241,919	\$226,577	\$260,864
Average cost per square foot	\$188	\$180	\$188	\$192	\$194	\$193
Total number of units	97	119	105	111	149	85
Average square feet per unit	1,296	1,256	1,205	1,255	1,167	1,350
Number of responding housing authorities	6	5	6	9	7	7
<b>31 villages</b>						
Average cost per unit	\$125,199	\$150,845	\$174,761	\$168,249	\$154,076	\$235,007
Average cost per square foot	\$102	\$183	\$138	\$142	\$144	\$212
Total number of units	7	15	38	45	50	53
Average square feet per unit	1,226	823	1,260	1,182	1,068	1,104
Number of responding villages	3	11	15	18	17	16

Source: GAO.

Note: One responding regional housing authority and 21 responding villages did not report completing any new construction during the period.

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Similar to new construction costs, the combined average rehabilitation cost for units that did not require acquisition varied throughout Alaska's regions (see fig. 17). The region that reported the highest cost for major rehabilitation was the Arctic Slope Native Association, which had an average cost per unit of \$93,444, followed by Cook Inlet Tribal Council, with an average per unit cost of \$66,368. The two lowest-cost regions for major rehabilitation were Bristol Bay Native Association (southwestern Alaska), with an average per unit cost of \$30,154, and Kawerak Inc. (northern Alaska), with an average cost per unit of \$31,056. The highest-cost regions for minor rehabilitation were Kawerak Inc., which reported an average per unit cost of \$17,671, and Kodiak Area Native Association, which reported an average per unit cost of \$14,471. The lowest-cost regions for minor rehabilitation were Copper River Native Association (northeast of Anchorage) and Chugachmiut, which reported average per unit costs of \$4,239 and \$5,278, respectively.

**Figure 17: Average Rehabilitation Costs for Regional Housing Authorities and Villages Combined, Calendar Years 1998-2003, by Region, for Units That Did Not Require Acquisition (in 2003 Dollars)**

Region	Rehabilitation	
	Major (\$20,000 or more per unit)	Minor (less than \$20,000 per unit)
Aleutian Pribilof Islands Association	N/A	N/A
Arctic Slope Native Association	\$93,444	N/A
Association of Village Council Presidents	46,562	\$6,632
Bristol Bay Native Association	30,154	6,358
Central Council	50,642	6,646
Chugachmiut	48,209	5,278
Cook Inlet Tribal Council	66,368	7,173
Copper River Native Association	N/A	4,239
Fairbanks Native Association	45,854	9,170
Kawerak Inc.	31,056	17,671
Kodiak Area Native Association	33,991	14,471
Manillaq Association	38,641	6,803



Source: GAO.

Note: N/A indicates that no data were reported for these fields. Ten regional housing authorities and 31 villages rehabilitated units that did not require purchase.

Although villages had higher rehabilitation costs for units that did not require acquisition, housing authorities had higher costs for units that did require acquisition. For units that did not require acquisition, housing authorities had lower costs than villages for major and minor rehabilitation. Housing authorities' average cost for major rehabilitation was \$44,200 per unit, while the village cost was \$60,516 per unit. However, the average difference between village and regional housing authority minor rehabilitation costs was minimal: \$6,967 vs. \$7,301. (See fig. 18.)

**Figure 18: Housing Authority and Village Rehabilitation Costs for Units That Did Not Require Acquisition, by Region, Calendar Years 1998-2003**

Region	Rehabilitation			
	Major (\$20,000 or more per unit)	Number of villages	Minor (less than \$20,000 per unit)	Number of villages
Aleutian Pribilof Islands Association	N/A N/A	N/A	N/A N/A	N/A
Arctic Slope Native Association	\$93,444 N/A	2	N/A N/A	N/A
Association of Village Council Presidents	46,562 N/A	6	\$6,632 N/A	8
Bristol Bay Native Association	N/A 30,154	N/A	8,011 6,183	3
Central Council <sup>a</sup>	52,668 50,581	1	4,331 7,002	3
Chugachmiut	N/A 48,209	N/A	4,931 6,685	1
Cook Inlet Tribal Council	67,051 66,308	2	10,186 6,017	4
Copper River Native Association	N/A N/A	N/A	N/A 4,239	N/A
Fairbanks Native Association	N/A 45,854	N/A	6,657 15,325	3
Kawerak Inc.	63,069 23,230	2	16,737 17,807	1
Kodiak Area Native Association	N/A 33,991	N/A	15,057 13,675	1
Manillaq Association	51,177 31,164	1	5,105 9,706	2

 Villages  
 Regional housing authorities

Source: GAO.

Notes: N/A indicates that no data were reported for these fields.

<sup>a</sup>One housing authority in Central Council completed major rehabilitation, and two housing authorities in Central Council completed minor rehabilitation.

Conversely, regional housing authorities had higher average costs for units that were rehabilitated and acquired than villages. Over the 6-year period, 70 of these units were completed by four housing authorities and five villages. The average per unit cost for regional housing authorities was \$105,849, compared with the average village per unit cost of \$41,010. One reason for this cost difference may be that the regional housing authorities acquired much larger units; they averaged 1,281 square feet per unit compared with villages, which acquired units about half the size that



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averaged 634 square feet. However, regional housing authority costs per square foot were also higher than villages: \$82 for regional housing authorities versus \$64 for villages.

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### Regional Housing Authority Single-Family Modernization Costs Also Varied by Region

The average modernization costs for regional housing authorities varied by region. The average per unit costs for major modernization (\$20,000 or more per unit) for all housing authorities was \$28,387 per unit and for minor modernization (less than \$20,000), \$10,002 per unit. Twelve regional housing authorities completed major modernizations over the period. The regional housing authorities in Cook Inlet Tribal Council and Kawerak Inc. region had the highest average costs for major modernizations, averaging \$44,330 and \$43,324 per unit, respectively. The housing authorities in Association of Village Council Presidents and Bristol Bay Native Association regions had the lowest average costs for major modernization, averaging \$22,795 and \$23,643 per unit, respectively. Thirteen regional housing authorities completed minor modernizations. The housing authority in Kawerak Inc. region had the highest average minor modernization costs—\$12,425 per unit—and the housing authority in the Cook Inlet Tribal Council region had the lowest average cost—\$2,575 per unit.

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### Multifamily Housing Costs Varied by Region and Type of Housing Development

As previously noted, only regional housing authorities undertook multifamily projects. Although the average multifamily new construction cost for the six properties was about \$3.8 million per property or \$196 per square foot, per-square-foot costs ranged from \$171 for the housing authority in the Copper River Native Association region to \$219 for the housing authority in the Aleutian Pribilof Islands Native Association region. Similarly, the only two properties that included rehabilitation with acquisition experienced very different costs. For example, one small property (5,760 square feet), located in the Bristol Bay Native Association region, had a total cost of about \$880,270 or \$152 per square foot, and a large property (54,323 square feet) located in the Central Council region, had a total cost of about \$5.3 million or \$97 per square foot. Additionally, the two properties that were rehabilitated without acquisition (both in the Kawerak Inc. region) averaged \$50,272 per property. In contrast, the 73 multifamily properties that were modernized had an average per property cost of \$118,082. The average costs ranged from \$8,661 per property in the Copper River Native Association region to \$354,730 per property in Kodiak Island Native Association region.

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## Several Factors May Account for Differences in the Number and Cost of Units Constructed and Rehabilitated by Villages and Housing Authorities and by Region

As previously discussed, the number of units constructed and rehabilitated over the period varied by whether they were completed by villages or housing authorities, and by region. According to federal and tribal officials and documentation, the following factors could account for these differences:

- Differences in housing goals and objectives. In order to receive NAHASDA funding, housing authorities and villages are required to submit to HUD a 1-year and 5-year Indian Housing Plan (IHP), which outlines the housing goals and objectives for their communities. To carry out their plans, housing authorities and villages can determine the extent to which they focus their resources on new construction, rehabilitation, or other affordable housing activities. For example, Bristol Bay Housing Authority outlined in its fiscal year 2003 IHP that it would allocate a fixed amount of funds for new construction in villages, based on an assessment of needs.
- Differences in the amount of NAHASDA funding. Regional housing authorities generally receive considerably larger amounts of annual funding compared with villages because regional housing authorities receive funding on behalf of villages that have designated them to receive their NAHASDA funds, as well as modernization and operating funds for units developed under the U.S. Housing Act of 1937.<sup>47</sup> Lack of additional funding in some cases limits the affordable housing villages can construct or rehabilitate. For example, in fiscal year 2003, the housing authority in the Maniilaq Association region received about twice the amount of funds of the single-largest amount provided to a village in that region. In addition, the amount of funding housing authorities and villages receive from the HUD formula takes into account Native population of the service area. Some of the populations that regional housing authorities serve are considerably higher than that of villages, and some regions have higher populations than other regions. For example, the total Native population in the Cook Inlet Native Association region is more than 10 times that of the Aleutian Pribilof Islands Association region.

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<sup>47</sup>HUD uses two components to determine annual NAHASDA funding: current assisted stock and housing need. The housing need component consists of seven weighted criteria, such as population and overcrowding.

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- Differences in the extent to which NAHASDA funds were leveraged. Variations in the number of units constructed and rehabilitated may reflect the extent to which NAHASDA funds were leveraged. For example, according to the Cook Inlet housing authority, it leveraged IHBG funds with other sources of funding to complete a recent housing development. Cook Inlet housing authority used NAHASDA funds for about 10 percent of project costs and leveraged the remaining costs with private mortgages and other funding.

Similarly, federal and state housing officials informed us that several factors may account for differences in regional construction and rehabilitation costs, as well as differences in costs reported by villages and housing authorities. These factors include the following:

- **Transportation costs:** Many Alaska Native villages are in remote locations, requiring equipment and building supplies to be transported to the construction sites. In general, regions that are farthest from Seattle—a major source of building materials—incur higher costs for transporting building material and equipment than regions that are closer.<sup>48</sup>
- **Length of construction season:** Villages that experience extremely cold weather, such as those in the north and the interior of Alaska, have short construction seasons. For example, the construction season in the Arctic Slope Native Association is usually 2 or 3 months long, depending on ice conditions in the Bering Strait and north of the Arctic Circle. A short construction season means higher costs due to limited barge access to remote communities (with barge access the only viable method for moving construction materials and equipment to remote villages), less time available for site preparation and actual construction, overtime pay for working longer hours each day, and climate changes that suddenly stop construction or excavation.
- **Using outside expertise:** Higher costs are associated with transporting, housing and feeding outside construction workers, engineers, and housing inspectors. This could be for both regional housing authorities

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<sup>48</sup>For example, the 2002 Construction Cost Survey, sponsored by the Alaska Housing Finance Corporation, indicated that construction material costs for Barrow (in the far north) were about 115 percent higher than for Sitka (near the southern tip of Alaska). The study indicated that a major reason for these increased costs was the added cost of transportation.

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and rural Native villages. Larger villages may be able to use local construction workers, but smaller, more isolated villages with a limited skilled labor pool to choose from may have to rely on outside workers with required technical skills (e.g., electricians, plumbers, etc.). Many housing authorities rely on outside contractors, who usually provide a core crew of their own construction workers—supplemented by the local workforce—to construct housing.

- **Land costs:** Generally, urban areas cost more than rural areas because they are closer to utilities and roads and are located in active real estate markets in high-density areas. Rural Native villages often donate land for housing development, though in many cases they have less access to infrastructure.
- **Wage costs:** The hourly wage rates for new construction and rehabilitation of housing vary across Alaska's regions. Generally, labor costs are higher in the more remote areas of Alaska, such as the north, and lower in the southern areas. For example, under the Davis-Bacon Act, carpenters are required to be paid \$15.83 (without fringe benefits) in the Anchorage area; \$25.05 plus \$7.80 for fringe benefits in the Northern area; and \$17.68 (without fringe benefits) in the southern area.<sup>49</sup> In 2000, NAHASDA was amended to allow Native villages to establish tribally determined wage rates for their IHBG construction projects instead of using Davis-Bacon wages rates. However, according to HUD officials, Davis-Bacon wage rates and tribally determined wage rates within the same region are frequently similar.
- **Type of terrain:** Many of the houses in Alaska Native communities, particularly in northern and central Alaska, were constructed on permafrost—land that is permanently frozen. It generally costs more to build on this type of terrain due to the need for specialized engineered foundation systems. It also generally costs more to build on hilly terrain or rocky soil, such as Kodiak Island in the Kodiak Area Native Association region.
- **Site preparation:** Building or extending roads and installing power, water, and sewer lines—both on-site and off-site, particularly in rural

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<sup>49</sup>The southern region includes areas such as Bristol Bay, Aleutian East and West, Bethel, and Valdez. The northern region includes areas such as Fairbanks, Fairbanks Northstar Borough, and the Northwest Arctic Borough.

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communities—can be costly. Also, the same type of terrain problems mentioned above apply to site preparation.

- **Energy efficiency standards:** The Alaska Housing Finance Corporation (AHFC) requires any recipient of its funds to follow the Building Energy Efficiency Standard (BEES). Each regional housing authority receives annual funding from AHFC, but the villages do not receive any such funds. Therefore, each regional housing authority is required to adhere to the BEES for each newly constructed unit whenever they use AHFC funding. According to an AHFC official responsible for administering the BEES program, there are additional costs associated with compliance with the BEES standards, although these costs will vary depending on several factors, such as whether an independent inspector is required to inspect the housing unit. Villages may also voluntarily choose to use some or all of the BEES standards.
- **Building code standards:** Alaska’s Construction Inspection Guidelines require each builder to retain an independent, licensed inspector to perform each of the inspections set forth in the guidelines. According to an AHFC official, this could amount to between 5 to 12 inspector site visits during the construction period. Since only regional housing authorities receive AHFC funds, Native villages are not required to follow any state building codes, unless they are located in one of the 13 municipalities that have adopted building code standards. However, similar to the BEES, Native villages may voluntarily choose to use some or all of the building code standards.

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## Agency Comments and Our Evaluation

We provided a draft of this report for review and comment to the federal co-chair of the Denali Commission and the Secretaries of Agriculture, Commerce, Education, Health and Human Services, Housing and Urban Development, Justice, the Interior, Labor, and Transportation, and the Administrator of the Environmental Protection Agency, as well as the Governor of Alaska. We received technical comments from five federal agencies and the state of Alaska that we incorporated, as appropriate. The Departments of Commerce and the Interior generally agreed with the report and provided written comments that are reprinted in appendixes XIX and XXI, respectively. The Department of Health and Human Services also provided written comments, stating that the GAO draft report did not include its Health Resources and Services Administration’s Minority AIDS Initiative among the 13 programs we reviewed. Funding for the administration is included in our analysis as part of overall funding for the

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Department of Health and Human Services. In addition, as discussed in the report, the 13 programs we selected for review generally provided the largest amount of funding to Alaska Native villages and regional Native nonprofits during fiscal years 1998 through 2003 for their respective agencies. Based on our analysis, the Minority AIDS Initiative did not provide the largest amount of the department's funding to Alaska Native villages and regional Native nonprofits during the period. The Department of Health and Human Services' written comments are reprinted in appendix XX.

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We are sending copies of this report to the federal co-chair of the Denali Commission and the Secretaries of Agriculture, Commerce, Education, Health and Human Services, Housing and Urban Development, Justice, the Interior, Labor, and Transportation, and the Administrator of the Environmental Protection Agency, as well as the Governor of Alaska.

If you have any questions regarding this report, please contact me at (202) 512-8678 or [shearw@gao.gov](mailto:shearw@gao.gov). Contact points for our Offices of Congressional Relations and Public Affairs may be found on the last page of this report. GAO staff who made major contributions to this report are listed in appendix XXII.



William B. Shear  
Director, Financial Markets and  
Community Investment

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# Scope and Methodology

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This study's objectives were to (1) provide information on the amount of federal assistance to Alaska Native villages during federal fiscal years 1998 through 2003; (2) describe how selected federal funds have been used to assist Alaska Native villages; and (3) provide data on the number and average cost of houses built by villages and Alaska Native regional housing authorities. To address these objectives, we met with officials of various federal agencies, the state of Alaska, boroughs, and cities. In addition, we met with representatives of Native villages, regional Native nonprofit organizations, and other organizations that primarily focus on Alaska Natives. We also met with officials from advocacy groups that represent Alaska Natives, including the Alaska Federation of Natives, the Alaska Inter-Tribal Council, and the National Congress of American Indians.

To report on the amount of federal funding that has been provided to assist Alaska Native villages, we examined data on both funding to over 200 federally recognized Alaska Native villages and regional Native nonprofits. We classified as regional Native nonprofits the Native associations that were identified in the Alaska Native Claims Settlement Act (ANCSA) and the organizations that succeeded them, which, throughout this report, we refer to as ANCSA Native nonprofits; Native health organizations identified in Public Law 105-83; and housing authorities identified by the Department of Housing and Urban Development (HUD). To provide information on federal funding to Alaska Native villages, we analyzed data from the Federal Assistance Award Data System (FAADS), which identifies recipients of federal awards, federal programs for which awards were made, and award amounts. The analysis sought to isolate funding provided to Alaska Native villages, regional Native nonprofits, other nonprofits that primarily focus on Alaska Natives, incorporated cities that have villages within their borders, boroughs, and the state of Alaska. In providing FAADS data to the Census Bureau, each federal agency codes recipients of its federal funds into 13 categories. Two of these categories apply to Native recipients: Indian tribes and other nonprofit agencies. During electronic testing, GAO identified reliability problems with these categories. Similar problems were identified by other researchers (e.g., University of Alaska Anchorage and the Alaska Legislature Legislative Research Service) that have used this data. For example, agencies did not consistently apply the recipient codes to the same recipients. Therefore, we conducted our own coding of the recipient type, and in some cases, recipients were recoded into a new category. Specifically, we classified entities as Alaska Native villages based on whether they were recognized as such by the Bureau of Indian Affairs (BIA). We classified entities as regional Native nonprofits based on whether there were (1) regional Native associations identified in

ANCSA and the organizations that succeeded them, (2) regional Native health organizations identified in Public Law 105-83, or (3) Alaska regional housing authorities identified by the Department of Housing and Urban Development. We classified entities as other nonprofits that primarily focus on Alaska Natives based our review of published information and on consultations with the Denali Commission and the Alaska Federation of Natives. In addition, we classified entities as state entities based on whether they were state of Alaska agencies or subagencies; boroughs based on whether there were recognized Alaska borough governments; cities based on whether they were incorporated cities that contain Alaska Native villages within their borders; and Independent School Districts based on whether they are Alaska public school districts.

Maintained by the Census Bureau, FAADS produces a quarterly file of standardized data records on all types of financial assistance awards made by federal agencies to all types of recipients during the indicated quarter. Each transaction record identifies, by the Catalog of Federal Domestic Assistance (CFDA) program code number and name, the type and amount of financial assistance, the type and location of the recipient, and the geographic place of performance. Also, GAO's FAADS analyses uses constant 2003 dollars. We assessed the reliability of the FAADS data by (1) performing electronic testing of the required data elements for obvious errors in accuracy and completeness, (2) comparing program totals by fiscal year to similar data from the Single Audit Act database, (3) reviewing related documentation, (4) reviewing related studies that used FAADS data, and (5) interviewing Census Bureau officials knowledgeable about the data. In addition, for 10 federal agencies whose programs are focused on in this report, we provided agency officials with FAADS program dollar amount totals for all entities receiving funds in Alaska, by fiscal year, and asked agencies to verify that the totals were correct.<sup>1</sup> In cases where there was a greater than 10 percent difference between our totals based on FAADS compared with data provided directly to us by the agencies, we identified the agency programs producing the largest dollar differences and the largest percentage differences, and discussed those differences with agency officials. If we determined that the agency data were reliable, we

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<sup>1</sup>These agencies include the Departments of Agriculture, Commerce, Education, Health and Human Services, Housing and Urban Development, Justice, the Interior, Labor, and Transportation, and the Environmental Protection Agency. While the Denali Commission is also a federal agency whose programs are a focus in this report, the commission has not yet reported data on their obligations to the Census Bureau for FAADS purposes; therefore, we did not ask the commission to verify any data we obtained from FAADS.



adjusted our data to reflect the verified agency data. We did this by obtaining the agency obligations provided to individual recipients in Alaska for agency programs from 1998 through 2003. The FAADS data was obtained from Census in March 2005.

To provide information on the amount of federal funds passed through to Alaska Native villages and other entities by the state of Alaska to carry out federal programs, we analyzed information obtained from the state of Alaska's Department of Administration, Division of Finance; and the University of Alaska. The Division of Finance coordinated our request for "pass through" data with 15 state departments and component units. The information we obtained from the Division of Finance and the University of Alaska included the amount of federal funds passed through to various entities for state fiscal years 1998 through 2003, including the specific federal program that provided the funds. We limited our review to Alaska Native villages, regional Native nonprofits, incorporated cities that have Native villages within their borders, and boroughs. To assess the reliability of the state data, we discussed the data system with Division of Finance officials and the University of Alaska. We also discussed the process they used to satisfy our request. We concluded that the data we obtained from the state of Alaska were sufficiently reliable for the purposes of this report. The state data were obtained from the Division of Finance and University of Alaska during February and March 2005.

To describe how selected federal funds were used to assist Alaska Native communities, we judgmentally selected 13 major programs from 11 agencies—1 each from 9 agencies and 2 each from the remaining 2 agencies. We selected 1 program each from the Denali Commission, the Departments of Agriculture (USDA), Education, Health and Human Services (HHS), Justice, Interior, Labor, and Transportation (DOT), and the Environmental Protection Agency (EPA). We also selected two programs each from the Department of Housing and Urban Development and the Department of Commerce. Generally, the selected programs provided the largest amount of funding to Alaska Native villages and regional Native nonprofits during fiscal years 1998 through 2003 for their respective

agencies, based on our analysis of FAADS.<sup>2</sup> These programs also represented 84 percent of total federal funding to Alaska Native villages and regional native nonprofits during the period. For USDA, we selected CFDA 10.760—Water and Waste Disposal Systems for Rural Communities—even though it did not provide the most direct funding to Native villages and regional Native nonprofits, because it also provided significant funding to cities and to the state, through the state’s Village Safe Water program, which used funds to benefit Native villages and Alaska Natives. For Labor, we selected Youth Opportunity Grants (CFDA 17.263), which provided almost \$16 million to regional Native nonprofits during the period. Our FAADS analysis identified Workforce Investment Act program (CFDA 17.255) as the program that provided the most funding, which was used to provide funding for youth opportunity activities and was subsequently replaced during the period with 6 new programs, including CFDA 17.263—Youth Opportunity Grants. For Education, we selected the Alaska Native Education Program (CFDA 84.356), which represented the largest program when combining amounts provided by 2 other programs that were consolidated into this program during the period—Alaska Native Home-Based Education for Preschool Children (CFDA 84.321) and Alaska Native Educational Planning, Curriculum Development, Teacher Training, and Recruitment Program (CFDA 84.320). For Commerce, FAADS indicated that the Economic Adjustment Assistance (EAA) program provided the largest amount of department funding to Alaska Native villages and regional Native nonprofits during 1998 through 2003. We also selected Commerce’s Public Works and Economic Development Facilities program for review after department officials informed us that EAA provided atypically high funding to Alaska Native villages in 2001 in response to an Alaska salmon-fishing disaster. Also, we selected 2 HUD programs: the Indian Housing Block Grant program, which provided the largest amount of department funding to Alaska Native villages and regional Native nonprofits, according to our FAADS analysis; and the Indian Community Development Block Grant program, because it also can be used to construct new housing in Alaska Native villages.

For each of the 13 programs we reviewed, we met with federal officials and, where appropriate, state, local, and village officials, as well as other officials representing organizations that primarily serve Alaska Natives. We

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<sup>2</sup>In determining which programs were the largest, we combined funding amounts of programs that had been merged during the period to create the programs that were in place during 2003.

also reviewed program descriptions from the CFDA and reviewed agency documents on how recipients used program funds, including grantee reports, annual reports to Congress, and reports prepared in compliance with the Government Performance and Results Act of 1993. To better understand certain programs administered by the state of Alaska, we spoke with officials from the Alaska Department of Transportation and Public Facilities, Alaska Department of Environmental Conservation, and the Alaska Housing Finance Corporation. Where program data are reported, we interviewed agency officials and reviewed program documents to assure ourselves that data were sufficiently reliable for the purposes of this report.

To better understand the need for and uses of the selected programs, we visited several Alaska Native villages.<sup>3</sup> Based on our analysis of FAADS, each of the villages received funding from at least 1 of the 13 selected programs. During our visit, we interviewed representatives of Alaska Native villages, regional Native nonprofits, and incorporated cities with villages within their borders. We saw several examples of projects completed using the selected programs, including housing, water and waste treatment facilities, bulk fuel tank farms, and primary health care facilities.

To provide information on the cost and number of houses built by Native villages and Alaska Native regional housing authorities, we surveyed Alaska Native villages and regional housing authorities (also known as tribally designated housing entities) that were identified as having received Indian Housing Block Grant (IHBG) funds for at least 1 year from fiscal year 1998 through 2003. We identified 78 Alaska Native villages and 15 regional housing authorities that have received IHBG funds. We provided each of the 93 villages and regional housing authorities with a questionnaire delivered by e-mail or by U.S. mail. Questionnaire items covered the number developed and the cost of new single-family units and multifamily properties, the number developed and the cost of rehabilitated single-family units and multifamily housing properties, and the number developed and the cost of modernized single-family units and multifamily housing properties. To prepare for the survey, we conducted interviews with HUD officials, Alaska state officials, and members of various Alaska

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<sup>3</sup>Akiachak Native Community, Curyung Tribal Council, Igiugig Village, Village of Iliamna, Native Village of Kongiganak, Native Village of Kotzebue, Orutsararmuit Native Village, and Pedro Bay Village.

Native villages and regional housing authorities. We had HUD Alaska field office officials review the survey for content, and we pretested the questionnaire with two regional housing authorities and five villages to determine whether respondents would understand questions the way we intended. Since the questionnaire was administered via e-mail as well as U.S. mail, usability tests also were conducted with all of the pretests to observe respondents answering the questionnaire as it would appear when opened and displayed on their computer screen.

We took the following steps to increase the response rate for both village and housing authority participants. We sent two reminder notices via e-mail and conducted follow-up telephone calls to those offices that did not respond to our survey by the initial deadline. Collection of survey data ended on March 15, 2005. We received responses from 57 villages and 13 regional housing authorities, providing a response rate of 73.1 percent for villages and 86.7 percent for regional housing authorities. Table 9 details the responding regional housing authorities and villages that were constructing or rehabilitating single-family homes between calendar years 1998-2003. We did not attempt to verify the respondents' answers against an independent source of information; however, questionnaire items were tested by probing pretest participants about their answers using in-depth interviewing techniques. Interviewers judged that all the respondents' answers to the questions were correct. In addition, answers to the final questionnaire were compared with data in HUD's Annual Performance Reports for 1998 through 2003. These data are not directly comparable with data obtained in the survey, but do indicate whether survey respondents' answers were reasonable. We conducted follow-up phone calls to clarify responses where there appeared to be discrepancies.

**Table 9: Number of Regional Housing Authorities and Villages That Were Constructing or Rehabilitating Single-Family Units, Calendar Years 1998-2003**

	1998	1999	2000	2001	2002	2003	Total
<b>Constructed new units</b>							
Regional housing authorities	6	5	6	9	7	7	12
Villages	3	11	15	18	17	16	31
<b>Rehabilitation with acquisition</b>							
Regional housing authorities	1	3	1	1	1	2	4
Villages	0	1	2	0	1	2	5
<b>Rehabilitation only</b>							
Regional housing authorities	4	6	7	8	9	9	10
Villages	7	10	21	21	23	24	31

Source: GAO.

The practical difficulties of conducting any survey may introduce certain types of errors, commonly referred to as nonsampling errors. For example, differences in how a particular question is interpreted, the sources of information available to respondents, or the types of people who do not respond can introduce unwanted variability into the survey results. Steps such as pretesting and follow-up contacts to increase response rates serve to minimize nonresponse error. In addition, steps such as performing statistical analyses to identify inconsistencies and having a second independent reviewer for the data analysis can further minimize such error. Data from surveys returned via e-mail were entered electronically by participants and imported into an electronic data file. Data from all fax-returned or mail-returned surveys were edited for consistency before sending them for keypunching. These surveys were “double key entered” into our database (that is, the entries were 100 percent verified), and a random sample of the surveys was further verified for completeness and accuracy. Close-ended questionnaire items were analyzed using statistical software. We conducted our survey work from August 2004 through March 2005 in accordance with generally accepted government auditing standards.

# Alaska Native Population by Native Village and ANCSA Region or Indian Reservation

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Alaska Natives receive assistance from more than 200 villages that are recognized by the Bureau of Indian Affairs to receive federal funding.<sup>1</sup> Table 10 contains: a listing of the 12 regional areas established by ANCSA identified by the regional for-profit name and the Metlakatla Indian Community, Annette Island Reserve; the villages within each region; and the corresponding number of American Indian/Alaska Native (AIAN) persons and enrolled tribal members.<sup>2</sup>

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<sup>1</sup>68 Fed. Reg. 68180 (Dec. 5, 2003). The following BIA recognized entities are not included in the appendix table because they are regional or confederated entities and any associated populations are included in member villages or as part of the “at large” regional population: Central Council of the Tlingit and Haida Indian Tribes; Inupiat Community of the Arctic Slope; Native Village of Venetie Tribal Government; and Pribilof Islands Aleut Communities of St. Paul and St. George Islands.

<sup>2</sup>AIAN includes persons who indicated their race as American Indian or Alaska Native on the 2000 Census questionnaire. AIAN persons reside within geographic village boundaries recognized by the Census Bureau. AIAN persons who reside within the region but not within a specific village boundary area are counted as at-large members of the regional corporation. The number of AIAN persons and enrolled members were provided by HUD. HUD develops AIAN counts for purposes of determining housing assistance by updating Census 2000 data with birth and death records obtained from the Department of Human Services’ Indian Health Services, as well by obtaining input from Native villages. Enrolled members are actual members of a tribe and may reside anywhere in the world. HUD also obtains counts for enrolled members from BIA.

**Appendix II  
Alaska Native Population by Native Village  
and ANCSA Region or Indian Reservation**

**Table 10: Listing of Alaska Native Villages and the Number of AIAN Persons and Enrolled Members, by ANCSA Region or Indian Reservation**

<b>ANCSA region or Indian reservation</b>	<b>Villages</b>	<b>AIAN persons</b>	<b>Enrolled members</b>
<b>The Aleut Corporation</b>	Agdaagux Tribe of King Cove	393	636
	Native Village of Akutan	121	163
	Native Village of Atka	86	180
	Native Village of Belkofski	0	61
	Native Village of False Pass	44	96
	Native Village of Nelson Lagoon	71	50
	Native Village of Nikolski	28	59
	Pauloff Harbor Village	26	51
	Qagan Tayagungin Tribe of Sand Point Village	437	620
	Qawalangin Tribe of Unalaska	407	539
	Saint George (Pribilof Islands Aleut Communities)	144	131
	Saint Paul (Pribilof Islands Aleut Communities)	589	653
	Native Village of Unga	44	87
At-large	74	3,400	
<b>Region total</b>		<b>2,464</b>	<b>6,726</b>
<b>Arctic Slope Regional Corporation</b>	Village of Anaktuvuk Pass	265	279
	Atqasuk Village (Atkasook)	229	254
	Native Village of Barrow Inupiat Traditional Government (formerly Native Village of Barrow)	3,124	2,590
	Kaktovik Village (Barter Island)	262	231
	Native Village of Nuiqsut (Nooiksut)	411	450
	Native Village of Point Hope	731	841
	Native Village of Point Lay	232	200
	Village of Wainwright	541	602
	At-large	13	7,200
<b>Region total</b>		<b>5,809</b>	<b>12,647</b>

**Appendix II  
Alaska Native Population by Native Village  
and ANCSA Region or Indian Reservation**

(Continued From Previous Page)

<b>ANCSA region or Indian reservation</b>	<b>Villages</b>	<b>AIAN persons</b>	<b>Enrolled members</b>
<b>Calista Corporation</b>	Akiachak Native Community	610	571
	Akiak Native Community	318	210
	Village of Alakanuk	703	689
	Algaaciq Native Village (St. Mary's)	356	439
	Yupitit of Andreafski	127	200
	Village of Aniak	453	686
	Asa'carsarmiut Tribe (formerly Native Village of Mountain Village)	778	1,026
	Village of Atmautluak	305	305
	Village of Bill Moore's Slough	0	83
	Native Village of Chuathbaluk	121	134
	Village of Chefornak	418	441
	Chevak Native Village	809	694
	Chuloonawick Native Village	0	52
	Village of Crooked Creek	139	121
	Native Village of Eek	293	278
	Emmonak Village	793	861
	Native Village of Georgetown	3	50
	Native Village of Goodnews Bay	234	346
	Native Village of Hamilton	0	26
	Native Village of Hooper Bay	1,070	933
	Iqurmuit Traditional Council (formerly Native Village of Russian Mission)	306	296
	Village of Kalskag	198	99
	Native Village of Kasigluk	568	532
	Native Village of Kipnuk	683	702
	Native Village of Kongiganak	378	369
	Village of Kotlik	626	571
	Organized Village of Kwethluk	732	819
	Native Village of Kwigillingok	358	408
	Native Village of Kwinhagak (Quinhagak)	584	661
	Lime Village	0	44
	Village of Lower Kalskag	276	329
	Native Village of Marshall (Fortuna Ledge)	376	345
	Native Village of Mekoryuk	220	445
	Native Village of Napaimute	0	125
	Native Village of Napakiak	369	384



**Appendix II  
Alaska Native Population by Native Village  
and ANCSA Region or Indian Reservation**

*(Continued From Previous Page)*

<b>ANCSA region or Indian reservation</b>	<b>Villages</b>	<b>AIAN persons</b>	<b>Enrolled members</b>
	Native Village of Napaskiak	415	372
	Newtok Village	337	313
	Native Village of Nightmute	213	195
	Nunakauyarmiut Tribe (formerly Native Village of Toksook Bay)	562	654
	Native Village of Nunapitchuk	484	473
	Village of Ohogamiut	0	26
	Orutsararmuit Native Village (Bethel)	4,025	3,798
	Oscarville Traditional Village	66	77
	Native Village of Paimiut	0	67
	Pilot Station Traditional Village	592	537
	Native Village of Pitka's Point	129	161
	Platinum Traditional Village	41	71
	Village of Red Devil	27	28
	Native Village of Scammon Bay	499	430
	Native Village of Sheldon's Point	170	138
	Village of Sleetmute	96	126
	Village of Stony River	56	59
	Tuluksak Native Community	436	508
	Native Village of Tuntutuliak	396	384
	Native Village of Tununak	341	247
	Umkumiute Native Village	13	31
	At-large	29	11,940
<b>Region total</b>		<b>22,130</b>	<b>34,909</b>

**Appendix II  
Alaska Native Population by Native Village  
and ANCSA Region or Indian Reservation**

*(Continued From Previous Page)*

<b>ANCSA region or Indian reservation</b>	<b>Villages</b>	<b>AIAN persons</b>	<b>Enrolled members</b>
<b>Bristol Bay Native Corporation</b>	Native Village of Aleknagik	202	487
	Native Village of Chignik Lagoon	89	220
	Native Village of Chignik	50	315
	Chignik Lake Village	133	326
	Village of Clarks Point	75	181
	Curyung Tribal Council (formerly Native Village of Dillingham)	1,625	1,873
	Egegik Village	93	254
	Native Village of Ekuk	0	72
	Ekwok Village	132	222
	Igiugig Village	46	63
	Village of Iliamna	62	158
	Ivanoff Bay Village	22	42
	Native Village of Kanatak	214	107
	King Salmon Tribe	55	78
	Kokhanok Village	166	162
	New Koliganek Village Council (formerly Koliganek Village)	172	261
	Levelock Village	122	166
	Manokotak Village	409	475
	Naknek Native Village	334	314
	New Stuyahok Village	489	525
	Newhalen Village	153	195
	Nondalton Village	209	439
	Pedro Bay Village	34	117
	Native Village of Perryville	110	267
	Native Village of Pilot Point	136	160
	Portage Creek Village (Ohgsenakale)	34	78
	Native Village of Port Heiden	98	139
	South Naknek Village	120	275
	Traditional Village of Togiak	811	868
	Twin Hills Village	70	102
	Ugashik Village	9	65
	At-large		135
<b>Region total</b>		<b>6,412</b>	<b>14,951</b>

**Appendix II  
Alaska Native Population by Native Village  
and ANCSA Region or Indian Reservation**

*(Continued From Previous Page)*

<b>ANCSA region or Indian reservation</b>	<b>Villages</b>	<b>AIAN persons</b>	<b>Enrolled members</b>
<b>Sealaska Corporation</b>	Angoon Community Association	504	573
	Chilkat Indian Village (Klukwan)	125	203
	Chilkoot Indian Association (Haines)	392	495
	Craig Community Association	525	367
	Douglas Indian Association	283	411
	Hoonah Indian Association	609	587
	Hydaburg Cooperative Association	359	402
	Organized Village of Kake	674	523
	Organized Village of Kasaan	20	143
	Ketchikan Indian Corporation	2,544	4,660
	Klawock Cooperative Association	521	476
	Petersburg Indian Association	482	418
	Organized Village of Saxman	322	175
	Sitka Tribe of Alaska	2,275	3,241
	Skagway Village	96	48
	Wrangell Cooperative Association	587	565
	Yakutat Tlingit Tribe	383	385
At-large	5,303	16,114	
<b>Region total</b>		<b>16,004</b>	<b>29,786</b>
<b>Chugach Alaska Corporation</b>	Native Village of Chanega	70	57
	Native Village of Eyak (Cordova)	429	368
	Native Village of Nanwalek (English Bay)	175	260
	Native Village of Port Graham	160	151
	Native Village of Tatitlek	95	91
	At-large	1,354	2,020
<b>Region total</b>		<b>2,283</b>	<b>2,947</b>
<b>Cook Inlet Region Inc.</b>	Chickaloon Native Village	508	254
	Eklutna Native Village	57	239
	Kenaitze Indian Tribe	2,366	1,183
	Knik Tribe	1,160	580
	Ninilchik Village	921	526
	Village of Salamatoff	225	155
	Seldovia Village Tribe	131	907
	Native Village of Tyonek	195	581
At-large	29,833	7,218	
<b>Region total</b>		<b>35,397</b>	<b>11,643</b>

**Appendix II**  
**Alaska Native Population by Native Village**  
**and ANCSA Region or Indian Reservation**

*(Continued From Previous Page)*

<b>ANCSA region or Indian reservation</b>	<b>Villages</b>	<b>AIAN persons</b>	<b>Enrolled members</b>
<b>Ahtna Inc.</b>	Native Village of Cantwell	62	108
	Cheesh-Na Tribe (formerly the Native Village of Chistochina)	59	66
	Native Village of Chitina	62	316
	Native Village of Gakona	18	85
	Gulkana Village	79	132
	Native Village of Kluti Kaah (Copper Center)	206	302
	Mentasta Traditional Council (formerly Mentasta Lake Village)	103	250
	Native Village of Tazlina	91	147
	At-large	247	1,100
<b>Region total</b>		<b>927</b>	<b>2,506</b>

**Appendix II  
Alaska Native Population by Native Village  
and ANCSA Region or Indian Reservation**

*(Continued From Previous Page)*

<b>ANCSA region or Indian reservation</b>	<b>Villages</b>	<b>AIAN persons</b>	<b>Enrolled members</b>
<b>Doyon Limited</b>	Alatna Village	35	34
	Allakaket Village	133	93
	Anvik Village	105	94
	Arctic Village	144	139
	Beaver Village	82	235
	Birch Creek Tribe (formerly listed as Birch Creek Village)	29	28
	Chalkyitsik Village	83	111
	Circle Native Community	88	185
	Village of Dot Lake	29	28
	Native Village of Eagle	31	30
	Evansville Village (Bettles Field)	26	15
	Native Village of Fort Yukon	544	528
	Galena Village (Louden Village)	468	455
	Organized Village of Grayling (aka Holikachuk)	183	178
	Healy Lake Village	28	27
	Holy Cross Village	225	219
	Hughes Village	64	62
	Huslia Village	287	279
	Village of Kaltag	206	200
	Koyukuk Native Village	95	92
	Manley Hot Springs Village	18	17
	McGrath Native Village	225	219
	Native Village of Minto	245	224
	Nenana Native Association	196	499
	Nikolai Village	83	81
	Northway Village	349	256
	Nulato Village	325	680
	Rampart Village	42	41
	Native Village of Ruby	167	162
	Shageluk Native Village	129	125
	Native Village of Stevens	85	199
	Takotna Village	22	21
	Native Village of Tanacross	131	126
Native Village of Tanana	258	942	
Telida Village	3	3	
Native Village of Tetlin	119	114	
Village of Venetie	323	237	

**Appendix II  
Alaska Native Population by Native Village  
and ANCSA Region or Indian Reservation**

*(Continued From Previous Page)*

<b>ANCSA region or Indian reservation</b>	<b>Villages</b>	<b>AIAN persons</b>	<b>Enrolled members</b>
	At-large	9,366	6,868
<b>Region total</b>		<b>14,972</b>	<b>13,846</b>
<b>Bering Straits Native Corporation</b>	Native Village of Brevig Mission	271	297
	Chinik Eskimo Community (Golovin)	142	110
	Native Village of Council	0	131
	Native Village of Diomedede (Inalik)	146	190
	Native Village of Elim	359	403
	Native Village of Gambell	663	666
	King Island Native Community	209	454
	Native Village of Koyuk	299	370
	Native Village of Mary's Igloo	0	98
	Nome Eskimo Community	1,997	2,106
	Native Village of Saint Michael	366	399
	Native Village of Savoonga	655	721
	Native Village of Shaktoolik	232	211
	Native Village of Shishmaref	566	643
	Village of Solomon	3	68
	Stebbins Community Association	552	642
	Native Village of Teller	264	208
	Native Village of Unalakleet	698	637
	Native Village of Wales	146	267
	Native Village of White Mountain	187	275
	At-large	0	6,179
<b>Region total</b>		<b>7,755</b>	<b>15,075</b>
<b>Koniag Inc.</b>	Village of Afognak	108	309
	Native Village of Akhiok	79	100
	Kaguyak Village	4	9
	Native Village of Karluk	27	189
	Native Village of Larsen Bay	96	479
	Lesnoi Village (Woody Island)	62	255
	Village of Old Harbor	214	573
	Native Village of Ouzinkie	207	381
	Native Village of Port Lions	172	352
	Shoonaq' Tribe of Kodiak	652	1,213
	At-large	961	3,300
<b>Region total</b>		<b>2,582</b>	<b>7,160</b>

**Appendix II  
Alaska Native Population by Native Village  
and ANCSA Region or Indian Reservation**

*(Continued From Previous Page)*

<b>ANCSA region or Indian reservation</b>	<b>Villages</b>	<b>AIAN persons</b>	<b>Enrolled members</b>
<b>NANA Regional Corporation Inc.</b>	Native Village of Ambler	286	361
	Native Village of Buckland	420	392
	Native Village of Deering	137	186
	Native Village of Kiana	385	468
	Native Village of Kivalina	389	389
	Native Village of Kobuk	109	78
	Native Village of Kotzebue	2,526	2,629
	Native Village of Noatak	439	497
	Noorvik Native Community	643	735
	Native Village of Selawik	786	844
	Native Village of Shungnak	259	266
	At-large	224	499
<b>Region total</b>		<b>6,603</b>	<b>7,344</b>
<b>Metlakatla Indian Community, Annette Island Reserve</b>		<b>1,356</b>	<b>2,096</b>
<b>Region total</b>		<b>1,356</b>	<b>2,096</b>
<b>Total</b>		<b>124,694</b>	<b>161,636</b>

Source: HUD.

# Listing of Alaska Regional Native Nonprofits

Regional Native nonprofits also serve Alaska Natives. In this study, we include regional nonprofits that were: identified as regional Native associations in ANCSA or the organizations that succeeded them; identified as regional Native health organizations in P.L. 105-83; or that were identified as Alaska regional housing authorities by HUD.<sup>1</sup> Table 11 provides a listing of Alaska Native regional health care and housing nonprofits, by ANCSA region.

**Table 11: ANCSA Regional Nonprofits or Indian Reservation and the Corresponding Native Regional Health Care and Housing Nonprofits**

<b>ANCSA regional nonprofits or Indian reservation</b>	<b>Regional health entities</b>	<b>Regional housing authorities</b>
Copper River Native Association	Copper River Native Association	Copper River Basin Regional Housing Authority
Aleutian Pribilof Islands Association	Aleutian Pribilof Islands Association Inc.	Aleutian Housing Authority
Arctic Slope Native Association	Arctic Slope Native Association	Tagiugmiullu Nunamiullu Housing Authority
Kawerak Inc.	Norton Sound Health Corporation	Bering Straits Regional Housing Authority
Bristol Bay Native Association	Bristol Bay Area Health Corporation	Bristol Bay Housing Authority
Association of Village Council Presidents	Yukon-Kuskokwim Health Corporation	Association of Village Council Presidents Regional Housing Authority
Chugachmiut	Chugachmiut	North Pacific Rim Housing Authority
Cook Inlet Tribal Council	Southcentral Foundation	Cook Inlet Housing Authority
Tanana Chiefs Conference	Tanana Chiefs Conference	Interior Regional Housing Authority
Kodiak Area Native Association	Kodiak Area Native Association	Kodiak Island Housing Authority
Maniilaq Association	Maniilaq Association	Northwest Inupiat Housing Authority
Central Council of the Tlingit and Haida Indian Tribes	Southeast Alaska Regional Health Consortium	1. Baranof Island Housing Authority 2. Tlingit-Haida Regional Housing Authority
Metlakatla Indian Community, Annette Island Reserve <sup>a</sup>	Metlakatla Indian Community	Metlakatla Housing Authority
Not applicable	Alaska Native Tribal Health Consortium <sup>b</sup>	Not applicable

Source: GAO.

<sup>a</sup>Metlakatla Indian Community, Annette Island Reserve is a federally recognized Indian reservation that includes a regional health entity and regional housing authority.

<sup>b</sup>The Alaska Native Tribal Health Consortium is a nonprofit health organization authorized by P.L. 105-83 and managed by regional health corporations and elected representatives from Alaska Native village governments not part of a regional health corporation. ANTHC and Southcentral Foundation jointly operate the Alaska Native Medical Center in Anchorage.

<sup>1</sup>ANCSA, Section 7 (a), P.L. 92-203, as amended; Department of the Interior and Related Agencies Appropriations Act of 1998 (P.L. 105-83).



# Other Nonprofits That Provided Assistance to Alaska Native Villages

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In addition to receiving assistance directly from the federal government and from regional Native nonprofit organizations, Alaska Native villages also receive assistance from other nonprofits funded by the federal government. According to our analysis of data from FAADS for the federal fiscal year period 1998 through 2003, 46 of these other nonprofits received federal funding for the purpose of assisting Alaska Native villages. The 46 nonprofits are

- Alaska Eskimo Whaling Commission,
- Alaska Federation of Natives,
- Alaska Inter-Tribal Council,
- Alaska Nanuuq Commission,
- Alaska Native Arts Foundation,
- Alaska Native Brotherhood,
- Alaska Native Harbor Seal Commission,
- Alaska Native Health Board Inc.,
- Alaska Native Heritage Center,
- Alaska Native Heritage Park Inc.,
- Alaska Native Justice Center Inc.,
- Alaska Native Science Commission,
- Alaska Native Women's Coalition,
- Alaska Sea Otter and Steller Sea Lion Commission,
- Alaska Village Initiatives,
- Alutiiq Heritage Foundation,
- Bering Straits Foundation,

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**Appendix IV**  
**Other Nonprofits That Provided Assistance**  
**to Alaska Native Villages**

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- Calista Elders Council,
- Chugach Regional Resources Commission,
- CIRI Foundation,
- Council of Athabascan Tribal Governments,
- Cultural Heritage And Educational Institute,
- Denakkanaaga Inc.,
- Doyon Foundation,
- Eastern Aleutian Tribes Inc.,
- Eskimo Walrus Commission,
- Fairbanks Native Association,
- Institute of Alaska Native Arts Inc.,
- Koahnic Broadcast Corporation,
- Kuigpagmiut Inc.,
- Kuskokwim Native Association,
- Maniilaq Manpower Inc.,
- Mount Sanford Tribal Consortium,
- Qutekcak Native Tribe (Seward),
- Robert Aqqaluk Newlin Sr. Memorial Trust,
- Rural Alaska Community Action Program Inc.,
- Sealaska Heritage Institute,
- Simon Paneak Memorial Museum,

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**Appendix IV  
Other Nonprofits That Provided Assistance  
to Alaska Native Villages**

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- Southeast Alaska Indian Cultural Center,
- TDX Foundation,
- Tok Native Association,
- Ukpeagvik Inupiat Corporation,
- United Crow Band Inc.,
- United Villages Inc.,
- Valdez Native Tribe, and
- Yukon River Inter Tribal Watershed Council.

# The State of Alaska Passed Through Federal Funding to Native Villages, Regional Native Nonprofits, Cities, and Boroughs

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Based on our analysis of data from the state of Alaska, the state passed through more than \$105 million in federal funds to Alaska Native villages and regional Native nonprofits for state fiscal years 1998 through 2003.<sup>1</sup> However, Native villages received a smaller share of this funding. Also, the state of Alaska passed through over \$335 million in federal funds to incorporated cities and boroughs that have villages located within their borders.

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## State of Alaska Passed Through Over \$105 Million in Federal Funds to Alaska Native Villages and Regional Native Nonprofits

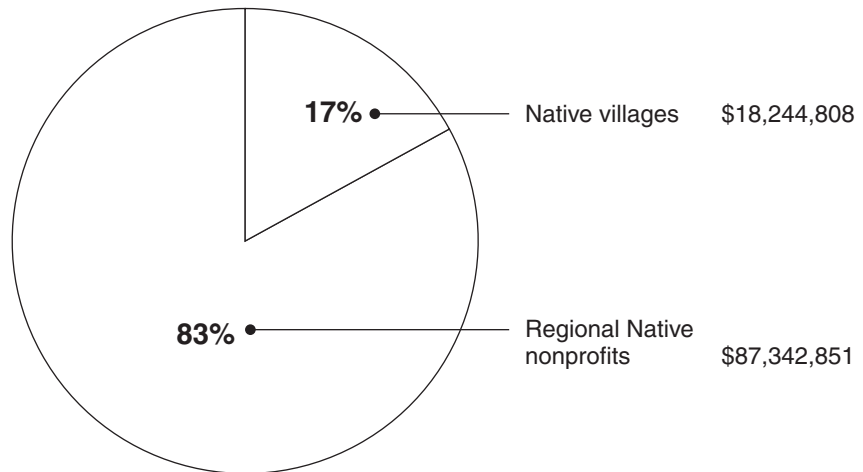
According to data provided by the state of Alaska Department of Administration, Division of Finance, the state passed through more than \$105 million to Native villages and regional Native nonprofits for state fiscal years 1998 through 2003. As shown in figure 19, Native villages received \$18.2 million (17 percent) compared with regional Native nonprofits, which received \$87.3 million (83 percent). During this period, the state passed through federal funding to 99 different Native villages and 23 regional Native nonprofits.

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<sup>1</sup>The state fiscal year for Alaska is July through June. GAO converted amounts passed through by the state of Alaska to constant 2003 dollars using the gross domestic product deflator.

**Appendix V**  
**The State of Alaska Passed Through Federal**  
**Funding to Native Villages, Regional Native**  
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**Figure 19: Amount of Federal Funds Passed Through by the State of Alaska to Native Villages and Regional Native Nonprofits, State Fiscal Years 1998-2003**

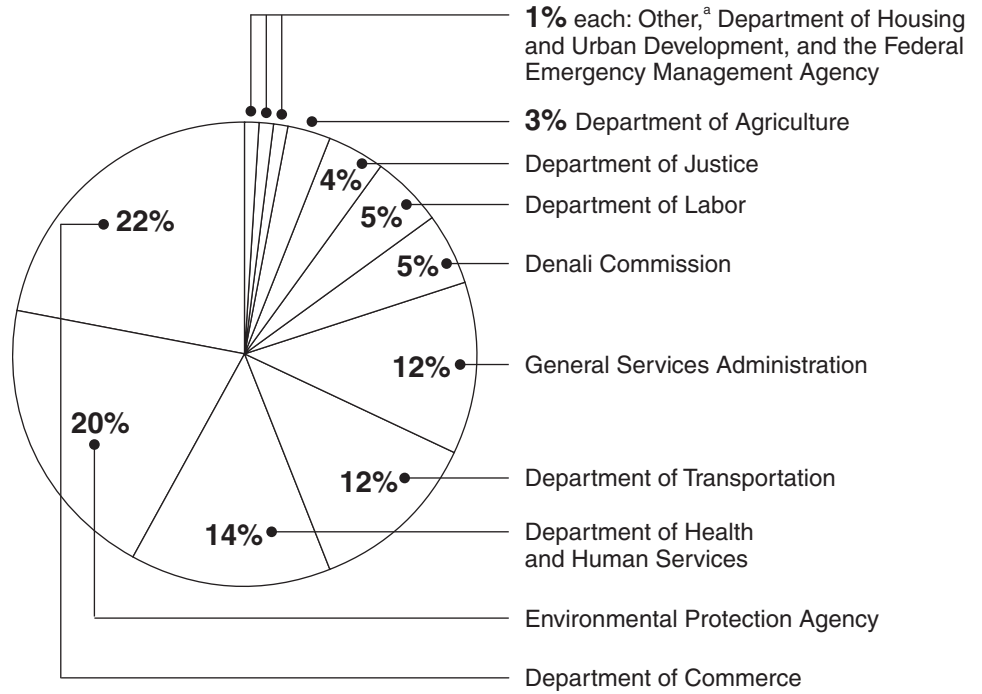


Source: GAO analysis of state of Alaska data.

Over the period, Native villages received most of their funding from slightly more agencies than regional Native nonprofits. Native villages received state pass-through funding from 15 federal agencies, with about 67 percent of the funding provided by four federal departments—Commerce, EPA, HHS, and Transportation. Commerce provided more than 20 percent of the major funding, with EPA contributing 20 percent and HHS and Transportation contributing 14 and 12 percent, respectively. In comparison, regional Native nonprofits received state pass-through funding from 17 federal agencies, but about 85 percent of all funding was provided by two federal agencies—HHS and USDA. HHS contributed about 68 percent of the major funding, with another 17 percent provided by USDA (see figs. 20 and 21).

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**Figure 20: Percentage of Federal Funds Passed Through by the State of Alaska, by Agency, to Native Villages, State Fiscal Years 1998-2003**

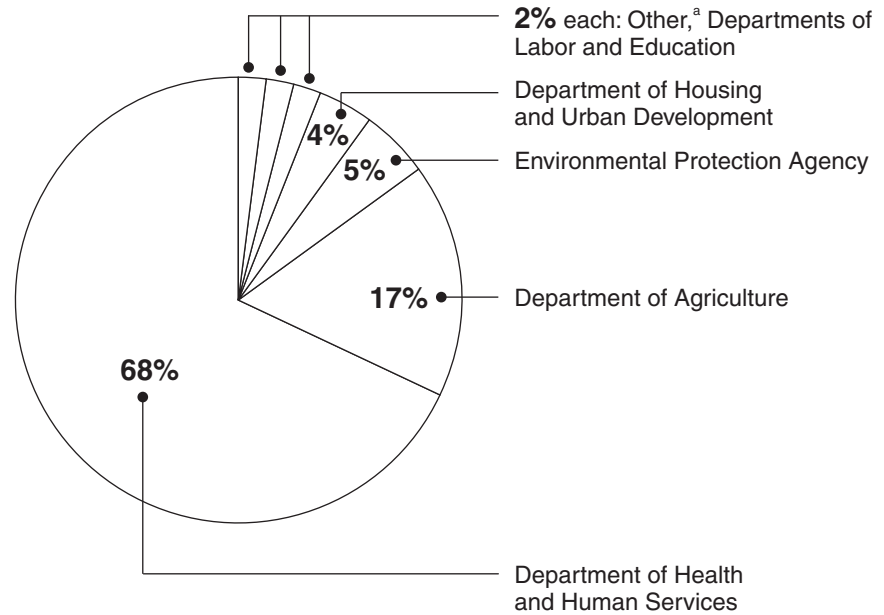


Source: GAO analysis of state of Alaska data.

<sup>a</sup>Departments of Education, Energy, and the Interior, and National Endowment for the Arts.

**Appendix V**  
**The State of Alaska Passed Through Federal**  
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**Figure 21: Percentage of Federal Funds Passed Through by the State of Alaska, by Agency, to Regional Native Nonprofits, State Fiscal Years 1998-2003**



Source: GAO analysis of state of Alaska data.

<sup>a</sup>U.S. Agency for International Development; Corporation for National and Community Service; Denali Commission; Departments of Commerce, Energy, the Interior, Justice, and Transportation; General Services Administration (GSA); National Endowment for the Arts; and National Science Foundation.

Overall, both Native villages and regional Native nonprofits received the majority of their pass-through funding from a few programs. For example, over the period, the state of Alaska passed through federal funding for 64 different programs to Native villages. However, as shown in table 12, the top five programs accounted for over 70 percent of the funding to these entities. None of the remaining 59 programs contributed more than \$1 million each in state pass-through funding over the period.

**Appendix V  
The State of Alaska Passed Through Federal  
Funding to Native Villages, Regional Native  
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**Table 12: Top Federal Programs Providing Funding Passed Through by the State of Alaska to Native Villages, State Fiscal Years 1998-2003**

<b>CFDA number</b>	<b>Agency</b>	<b>Program name</b>	<b>Total funding (2003 constant dollars)</b>	<b>Percentage of total funding</b>
11.477	Commerce	Fisheries Disasters Relief	<b>\$3,917,481</b>	<b>21.47</b>
66.606	EPA	Surveys, Studies, Investigations, and Special Purpose Grants	<b>3,564,182</b>	<b>19.54</b>
39.003	GSA	Donation of Federal Surplus Personal Property	<b>2,161,318</b>	<b>11.85</b>
20.205	DOT	Highway Planning and Construction	<b>2,131,188</b>	<b>11.68</b>
93.568	HHS	Low-Income Home Energy Assistance	<b>1,215,690</b>	<b>6.66</b>
Various	Various	59 other programs	<b>5,254,948</b>	<b>28.80</b>
<b>Total</b>			<b>\$18,244,808</b>	<b>100.00</b>

Source: GAO analysis of state of Alaska data.

Also, most agencies' funding was provided by only one of their programs. For example, three different Commerce programs provided slightly more than \$3.9 million in pass-through funding to Native villages, and almost all of this was provided by the Fisheries Disasters Relief program. Similarly, Native villages received funding from two EPA programs, and most of this was provided by the Surveys, Studies, Investigations, and Special Purpose grants program. Further, all of the General Services Administration's (GSA) funding came from the Donation of Federal Surplus Personal Property program.

Regional Native nonprofits received funding from a larger number of programs than Native villages. For example, over the period, the state of Alaska passed through federal funding for 102 different programs to regional Native nonprofits. As shown in table 13, the top 6 funding programs accounted for 76 percent of the funding to these entities. None of the remaining 96 programs contributed more than \$2 million each in state pass-through funding over the period.



**Appendix V**  
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**Table 13: Top Federal Programs Providing Funding Passed Through by the State of Alaska to Regional Native Nonprofits, State Fiscal Years 1998-2003**

CFDA number	Agency	Program name	Total funding (2003 constant dollars)	Percentage of total funding
93.558	HHS	Temporary Assistance for Needy Families	\$39,736,114	45.49
10.557	USDA	Special Supplemental Nutrition Program for Women, Infants, and Children	11,695,142	13.39
66.606	EPA	Surveys, Studies, Investigations, and Special Purpose Grants	4,674,378	5.35
93.230	HHS	Consolidated Knowledge Development and Application Program (Substance Abuse and Mental Health Administration)	4,309,512	4.93
14.239	HUD	HOME Investment Partnerships Program	3,468,928	3.97
93.658	HHS	Foster Care	2,680,311	3.07
Various	Various	96 other programs	20,778,465	23.79
<b>Total</b>			<b>\$87,342,851</b>	<b>100.00</b>

Source: GAO analysis of state of Alaska data.

Similar to Native villages, most agencies' funding to regional Native nonprofits were provided by a relatively few number of those agencies' programs. For example, 42 different HHS programs provided funding to regional Native nonprofits, but Temporary Assistance to Needy Families (TANF) provided 68 percent of all HHS funding. Similarly, 79 percent of all USDA funding was provided by the Special Supplemental Nutrition Program for Woman, Infants and Children.

Table 14 shows that pass-through funding provided to Native villages by the state of Alaska increased between state fiscal years 1998 and 2003. Although the number of Native villages receiving pass-through funding stayed fairly constant over the period, increasing from 41 in 1998 to 46 in 2003, the annual amount of funding increased by 75 percent, from \$1.6 million in 1998 to about \$2.9 million in 2003. The Denali Commission accounted for 63 percent of the increase during the period, while GSA's Donation of Federal Surplus Personal Property program accounted for 35 percent.<sup>2</sup> Commerce pass-through funding reached its peak in 2000 and

<sup>2</sup>The Denali Commission program was established in 1998; the state of Alaska did not pass through funding from the Denali Commission to Native villages until 2001. The total increase in funding of \$1.2 million over the period includes seven federal agencies whose funding increased and eight whose funding decreased.

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2002, with about 65 percent of all Commerce funding provided in those 2 years alone under the Fisheries Disaster Relief program in response to a slump in the Alaska fishing industry. EPA funding reached its peak in 1999 and 2000, with about 85 percent of the agency’s total funding over the period being provided in those 2 years under the Surveys, Studies, Investigations, and Special Purpose grants program.

**Table 14: Yearly Federal Funds Passed Through by the State of Alaska to Native Villages and Regional Native Nonprofits, State Fiscal Years 1998-2003**

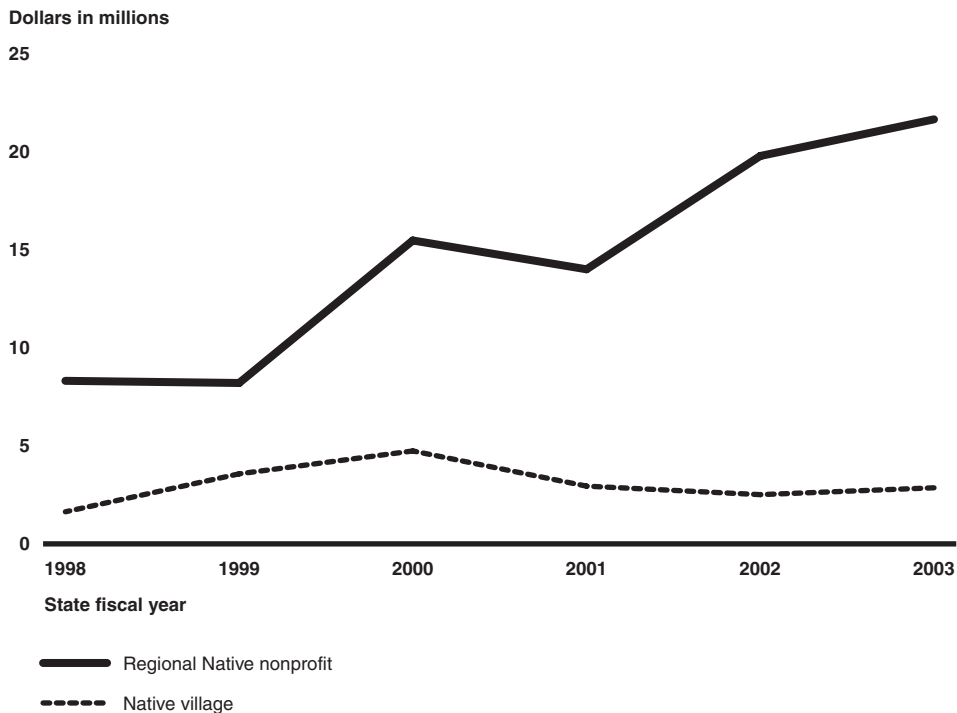
<b>State fiscal year</b>	<b>Native villages funds</b>	<b>Regional Native nonprofits funds</b>
1998	\$1,634,613	\$8,306,967
1999	3,568,358	8,197,285
2000	4,734,037	15,457,542
2001	2,941,878	13,989,537
2002	2,508,634	19,762,459
2003	2,857,288	21,629,060

Source: GAO analysis of state of Alaska data.

The amount of federal funding passed through by the state to regional Native nonprofits grew steadily over the period—by 160 percent—from 18 entities receiving \$8.3 million in 1998 to 19 entities receiving \$21.6 million in 2003. Most of this growth was caused by an increase in HHS program funding, which accounted for 90 percent of the growth. As was the case with Native villages, EPA funding reached its peak in 2000, with about 56 percent of the agency’s total funding over the period being provided under the Surveys, Studies, Investigations, and Special Purpose grants program. HUD funding also reached its peak in 2000, with about 36 percent of the agency’s total funding provided under the HOME Investment Partnerships program. Moreover, pass-through funding provided by HHS programs to regional Native nonprofits outpaced the growth in funding to Native villages by almost 10 times. (See fig. 22.)

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**Figure 22: Trend of Federal Funds Passed Through by the State of Alaska to Native Villages and Regional Native Nonprofits, State Fiscal Years 1998-2003**



Source: GAO analysis of state of Alaska data.

The state of Alaska passed through federal funds totaling more than \$335 million for state fiscal years 1998 through 2003 to incorporated cities and boroughs with Native villages. Specifically, 104 cities received \$82.5 million and 16 boroughs received almost \$253 million. The state passed through funding it received from 20 federal departments for programs such as HHS’s ChildCare Mandatory and Matching Funds of the ChildCare and Development Fund, and TANF; and EPA’s Clean Water State Revolving Fund, and its Surveys, Studies, Investigations, and Special Purpose grants program. Although these funds were not given to a Native village or regional Native nonprofit, Alaska Natives likely benefited from shared services and assistance provided by the cities and boroughs. For example, incorporated cities that have Native villages located within their borders provide municipal services, such as water, that benefit Alaska Natives.

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# Denali Commission Program Summary

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**Agency:** Denali Commission.

**Program name:** Denali Commission (emphasis on energy and health).

**Authorization:** The Denali Commission Act, as amended, 42 U.S.C. 3121 note; 70 Fed. Reg. 28283 (May 17, 2005) (Five Year Strategic Plan (2005-2009) and Fiscal Year 2006 Work Plan).

**Eligible program recipients:** Awards are available to state and local governments, private, public, profit, nonprofit organizations and institutions or individuals eligible in Alaska. Beneficiaries must be the general public, particularly distressed communities.

**Program objectives:** To deliver the services of the federal government in the most cost-effective manner practicable by reducing administrative and overhead costs; to provide job training and other economic development services in rural communities, particularly distressed communities; to promote rural development, provide power generation and transmission facilities, modern communication systems, water and sewer systems and other infrastructure needs. Another objective is to provide funding for the construction of new primary health care clinics.<sup>1</sup>

**Application process:** For bulk fuel and rural power grants (the vast majority of energy grants), there is not an application process. In 1999, the commission worked with the Alaska Energy Authority to assemble a priority ranking of the needs of all bulk fuel sites in the state. One hundred seventy-two rural Alaskan communities were ranked, based on deficiencies in fuel storage and power systems, and funding priority goes to those projects with higher scores.<sup>2</sup> Each year, as some projects are completed, those with lower priorities get funded. For most of the commission's other programs, generally a community must send the commission a letter requesting assistance, along with comprehensive community-based and approved development plans. The commission judges potential projects based on consistency with locally developed and regionally supported infrastructure development plans, long-term sustainability, relative impacts on reducing unemployment, raising the standard of living, reducing the cost

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<sup>1</sup>The Denali Commission focuses its efforts on rural Alaska. According to Denali officials, most of the Commission's projects benefit Alaska Native villages.

<sup>2</sup>Initially, 168 communities were ranked, and 4 additional communities have been added within the last 3 years.

of utilities, and cost sharing by others. In some cases, applicants can apply directly to state and local partners working with the commission. The time frame for grants is based on the projects and negotiated between the commission and the grantee, subject to the 5-year maximum time frame imposed by the Office of Management and Budget.

**Table 15: Denali Commission Reporting Requirements**

Type	Description	Frequency
Performance and financial	Grantees must electronically file reports to a Web-based database for each project— both energy and nonenergy. These reports detail the expenditures (for the commission funds and any other project funds), milestones reached (such as completion of construction) and comparison with the planned dates for the milestone and associated cost, and a narrative describing the progress on the project. Grantees often include pictures in the report to show progress on construction projects.	Quarterly

Source: GAO analysis of Denali Commission data.

**Allowable Uses of Program Funds:** Funds can be used for infrastructure or utility needs benefiting Alaskans. The commission has made rural energy its primary infrastructure theme since its inception in 1999, but has 12 program areas in total:

- energy facilities,
- health facilities,
- training,
- government coordination,
- multiuse facilities,
- washeterias (potable water and laundry facilities as well as showers and toilets),
- transportation,
- solid waste,
- economic development,
- elder housing,

- teacher housing, and
- domestic violence facilities.

**Examples of actual uses of program funds:** The commission maintains a Web-based information system that includes detailed financial and progress information on projects. The system can be publicly queried, specifying project attributes such as community involved, recipient, theme (the underlying subject area of the project, such as energy (e.g., bulk fuel) or health care (e.g., hospitals), and milestone (where in the process the project is, such as business plan or construction).

The Denali Commission's energy program has been used to address energy issues that affect Alaska Natives by focusing on bulk fuel tank farm upgrades and rural power system upgrades. Energy has been the commission's primary infrastructure theme since 1999. According to the commission's 2004 annual report, the first challenge undertaken by the commission was the upgrade and consolidation of fuel tanks in 172 communities identified as health and environmental hazards by the U.S. Coast Guard and U.S. EPA. Since its inception, grantees of the commission's energy facilities funds—usually the Alaska Energy Authority and Alaska Village Electric Cooperative—have upgraded bulk fuel tanks in 64 communities across the state, while projects are under way in 70 other communities, according to the 2004 annual report. That report also notes that the commission has upgraded rural power systems in 13 communities, has started construction in 20 others, and is in the planning or design phase in an additional 18. These upgrades include adding backup power generators and increasing efficiency of existing generators. The commission's web site has information on specific energy projects, including the following:

- upgrading a tank farm in the Village of Kotlik. In 2001, the commission provided about \$2.9 million of the roughly \$3.8 million used by the Alaska Energy Authority to upgrade the tank farm, which had been cited for violations by the U.S. Coast Guard.
- moving a fuel tank farm in the Native Village of White Mountain. The commission partnered with the Alaska Energy Authority to use a \$2,395,743 commission grant, along with \$1,239,817 in state and local funds. The Alaska Energy Authority used the funds to move the fuel tank farm from the middle of the village's business district, where the school and store are located, to an area still accessible but west of the village,

and equipped the tanks with spill prevention. Construction on that project was completed in 2003.

- developing a new aircraft off-loading fuel pipeline in the Native Village of Ambler. The commission partnered with Alaska Village Electric Cooperative to use a \$566,700 commission grant (with \$31,000 in other funds) to develop the pipeline to provide year-round fuel deliveries. The pipeline system included modifications to local tank farms to connect to the new pipeline. Construction on that project was completed in 2002.

The primary focus of the Denali Commission's health facilities program—its second infrastructure priority—is to provide funding for the construction of new primary care clinics and repair and renovation of existing primary care facilities. From 1999 through 2004, the commission completed primary care facilities in 41 communities, and has 59 facilities in planning or design phases, according to its 2004 annual report. Some specific health care projects from Denali's project database include the following:

- designing and constructing a rural primary care facility and community health center in the Native Village of Kiana. The commission partnered with the Alaska Native Tribal Health Consortium to use a commission grant of \$716,000 (with \$400,000 in other funding) for the facility and community health center, which replaced an existing village clinic. Construction on that project was completed in 2002.
- constructing a health clinic in the Native Village of Toksook Bay (the location of the Nunakauyarmiut Tribe). The commission partnered with the Alaska Native Tribal Health Consortium to use two grants totaling \$2.7 million from the commission's health facilities program to build a health clinic in Toksook Bay. Construction was completed in January, 2005.
- providing funding for other health care needs as well, such as a grant to the Alaska Department of Health and Social Services to cover half of the \$400,000 needed to purchase an ultrasound machine in Sitka.

**Funding mechanism:** The commission's energy and other programs usually provide federal funds to grantees that the commission calls "partners" (i.e., state or federal agencies or nonprofits that administer numerous projects). For energy projects, for example, the Alaska Energy Authority and Alaska Village Electric Cooperative were the commission's

partner agency on over 95 percent of grants. For health projects, the Alaska Native Tribal Health Consortium and the state of Alaska's Department of Health and Social Services were the commission's partner on most projects. A few grantees are not partner agencies, such as Native villages or other local communities that administer just one program for their community.

**Restrictions on administrative costs:** The commission does not have a standard limit on the amount of funding grantees can spend on total administrative costs. However, the commission negotiates with each grantee on the amount of indirect administrative costs that the commission will provide. According to agency officials, for energy partners the amount of indirect costs that the commission allows has generally ranged from 0 percent to 4 percent of total grant amounts, paid for from the overall grant amount.



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# Program Summary for the Department of Agriculture

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**Subagency:** Rural Development.

**Program name:** Water and Waste Disposal Systems for Rural Communities.

**Authorization:** Consolidated Farm and Rural Development Act, as amended, 7 U.S.C. 1926; 7 C.F.R. §§ 1779.1 *et seq.*; 7 C.F.R. §§ 1780.1 *et seq.*

**Eligible program recipients:** Municipalities, counties, and other political subdivisions of a state, such as districts and authorities, associations, cooperatives, corporations operated on a not-for-profit basis, Indian tribes on federal and state reservations, and other federally recognized Indian tribes. Facilities shall primarily serve rural residents and rural businesses. The service area shall not include any area in any city or town having a population in excess of 10,000 inhabitants, according to the latest decennial Census of the United States. Beneficiaries may be farmers, ranchers, rural residents, rural businesses, and other users in eligible applicant areas.

**Program objectives:** To provide basic human amenities, alleviate health hazards and promote the orderly growth of the rural areas of the nation by meeting the need for new and improved rural water and waste disposal facilities.

**Application process:** Over 80 percent of program funding in Alaska is appropriated by Congress to fund the state of Alaska's Village Safe Water program, administered by the Alaska Department of Environmental Conservation. For those grants, applicants file an application on forms prescribed by the Department of Environmental Conservation that describes the community need, how the proposed project will address that need, and cost. A committee comprising representatives from USDA Rural Development (USDA RD), the Alaska Department of Environmental Conservation, and EPA (which also provides funds for the Village Safe Water program) scores each application to the Village Safe Water program. (The Alaska Native Tribal Health Consortium, which oversees many of the projects funded by the Village Safe Water program, does not have a representative on the committee, but does have the ability to advise informally on project selection.) The scoring depends on several variables, including whether the grant is requested for construction or planning. For construction projects, project need and impact are the most significant scoring factors, followed by operation and maintenance of the project (e.g., if the project will be operated by certified technicians), community planning, and application quality. Communities must have overall

environmental plans to be approved for construction grants. For planning projects, the factors include planning need, existing level of service, previous planning efforts, and type of facilities to be planned. Also, according to agency officials, there are some projects that are specifically included by Congress in appropriations legislation, which requires USDA RD to contact certain entities to assist them in USDA RD's application process if they choose to apply. Most of the other program funding goes to the Combination Water/Waste programs, which USDA RD administers directly.<sup>1</sup> Under this program, villages and cities can apply to USDA RD for funding.

**Table 16: USDA Reporting Requirements for Village Safe Water Funding**

Type	Description	Frequency
Engineering and construction analyst	For the Village Safe Water program, the Alaska Department of Environmental Conservation (DEC) or the Alaska Native Tribal Health Consortium (ANTHC), if it is overseeing the project, provides an engineering and environmental report, which USDA's state construction analyst reviews and approves prior to USDA allowing DEC or ANTHC to draw down grant money.	Once, prior to drawing down grant funding
Financial	Under the Memorandum of Understanding between the Alaska Department of Environmental Conservation and USDA, DEC must provide USDA with expenditure reports.	Upon each draw request for each project
Progress and financial	These reports are status reports that include both a financial summary as well as narrative information from the project engineer regarding the progress made on the project.	Semiannual

Source: GAO analysis of USDA data.

**Allowable uses of program funds:** Funds may be used for the installation, repair, improvement, or expansion of a rural water facility, including distribution lines, well pumping facilities and costs related thereto; the installation, repair, improvement, or expansion of a rural waste disposal facility, including the collection, and treatment of sanitary, storm, and solid wastes; and indoor plumbing in certain cases where the residents are unable to afford the improvements on their own. Grant funds may not be used to pay interest on loans, operation and maintenance costs, or to acquire or refinance an existing system.

<sup>1</sup>About 1 percent of program grant funding goes to the state-administered Remote Maintenance Worker program, which provides technical assistance to villages and provides infrastructure help in case of emergencies.

**Examples of actual uses of program funds:** USDA RD's Water and Waste Disposal System for Rural Communities has been used for new and improved rural water and waste disposal facilities. According to USDA RD officials and available documentation, USDA RD funds are combined with EPA funds and 25 percent matching state funds to eliminate the honey bucket—5-gallon buckets that serve as a toilet—and provide communities with water and sewer systems that function in Alaska's harsh environment, such as the flush and haul system.<sup>2</sup> According to agency documentation, from 2000 through 2003, USDA RD provided funding for 86 Village Safe Water grants.<sup>3</sup> Over that same time period, USDA RD funded 17 other projects through USDA RD Combination Water/Waste projects, and also provided funding for the state-administered Remote Maintenance Worker program. USDA RD and state documentation show the following examples of Village Safe Water projects:

- In 2003, USDA RD provided a grant of \$570,300 to benefit Napaskiak that, when matched with \$190,200 in state funds, is being used to replace all of the remaining single-family home honey buckets in the community with the “flush haul” system, according to agency documentation.
- In 2000, USDA RD provided \$633,800, in conjunction with \$211,200 in Alaska Housing Finance funding, for water and sewer improvements in Nulato. Uses of the funds included the design and construction of a wastewater lagoon for the lower town site, maintenance upgrades for the new town site lagoon and landfill, and replacement of the water and sewer system for the lower town site teacher housing area.
- In 2000, USDA RD provided a \$2,175,000 grant that, in conjunction with \$725,000 in state funds, was used in Bethel for a new piped water distribution and sewer collection system, including circulating water mains and pressure sewer mains.

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<sup>2</sup>A flush and haul system generally consists of individual storage tanks that provide water to flush toilets, and the sewage is then stored in a separate tank, whose contents are transported to a sewage lagoon.

<sup>3</sup>Since 2000, program funds have been given directly to the state, while prior to that grants were given directly to the communities with grant administration done by the state. The Village Safe Water projects focus on rural Alaska. According to USDA officials, most of the Village Safe Water projects benefit Alaska Native villages. Some of these 86 projects have not been completed; in fact, some funds have only been allocated and construction of the project has not been started.

One example of a Combination Water/Waste project is the project in Talkeetna. According to USDA RD, Alaska's 2003 annual report and other agency documentation, in 2002, USDA RD provided the Mat-Su Borough with \$1.3 million to help fund an upgrade for a sewage treatment facility in Talkeetna. The new system was the first of its type in Alaska and uses a collection of cells and aquatic plants to pretreat raw sewage from the community. The project converted an old percolation cell into a lagoon cell lined with a plastic layer, increasing treatment capacity by over 25 percent, according to the 2003 annual report. A wetland was also constructed to treat secondary effluent from the lagoons prior to discharge into the Talkeetna River.

**Funding mechanism:** According to agency documentation, over 80 percent of USDA RD's Alaska funding is appropriated by Congress specifically for the Alaska Village Safe Water program; that funding goes to the state of Alaska's Department of Environmental Conservation, which administers the Village Safe Water projects in rural Alaska. Most of the other program funding goes from USDA RD directly to cities and villages.

**Restrictions on administrative costs:** The program follows Office of Management and Budget (OMB) Circular A-87, a primary federal regulation that outlines the principles for determining which administrative costs can be recovered for programs administered under grants with the federal government; there are no other established limitations. Until fiscal year 2005, the state paid for administrative costs of the Village Safe Water program from state funds and from federal EPA funds, so 100 percent of USDA RD's funds went to project costs, according to agency officials. Officials also stated that, in fiscal year 2005, USDA RD and the state began working toward providing some USDA RD funds for administrative costs. Funding for these administrative costs will come from the grant amount.

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# Program Summaries for the Department of Commerce

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**Subagency:** Economic Development Administration.

**Program name:** Economic Adjustment Assistance.

**Authorization:** Public Works and Economic Development Act of 1965, as amended, 42 U.S.C. 3149; 13 C.F.R. § 308.1 *et seq.*

**Eligible program recipients:** Eligible applicants include economic development districts; states, cities or other political subdivisions of a state or a consortium of political subdivisions; Indian tribes or a consortium of Indian tribes; institutions of higher learning or a consortium of such institutions; or public or nonprofit organizations or associations acting in cooperation with officials of a political subdivision of a state. Applicants using Economic Development Administration (EDA) supplemental disaster assistance will generally be restricted to disaster-impacted areas.

**Program objectives:** To assist state and local interests to design and implement strategies to adjust or bring about change to an economy. Program focuses on areas that have experienced or are under threat of serious structural damage to the underlying economic base. Such economic change may occur suddenly or over time, and generally results from industrial or corporate restructuring, new federal laws or requirements, reduction in defense expenditures, depletion of natural resources, or natural disaster. EAA aids the long-range economic development of areas with severe unemployment and low family-income problems; aids in the development of public facilities and private enterprises to help create new, permanent jobs.

**Application process:** EDA's Economic Development Representative (EDR) or regional office representative will meet with the applicant to determine whether preparation of a project proposal is appropriate. If appropriate, applicants are requested to prepare a brief project proposal according to an outline provided by the EDR. Following a review by the EDR and regional office staff, the Regional Director will determine whether to invite a formal application. An environmental impact assessment is necessary, and an environmental impact statement may also be required. All proposals and applications for funding submitted to EDA are evaluated competitively for conformance to statutory and regulatory requirements and conformance with EDA's Investment Policy Guidelines and funding priorities. Final decision on applications from eligible applicants is made by the Regional Office Director of the Economic Development Administration, Department of Commerce.

**Table 17: Commerce Reporting Requirements for EAA Funding**

Type	Description	Frequency
Performance	Comprehensive Economic Development Strategy (CEDS) Updates: This is a long-term strategic plan for economic stabilization and growth for an area. The CEDS profiles the economy of the area, assesses the local institutional capacity and organizational structure determining growth, sets strategic priorities, and identifies implementation projects.	Annually
Performance	Annual narrative report: This report covers the grant scope of work and what was accomplished over the reporting period to satisfy the planning process, and project implementation purpose of the grant.	Annually
Financial	Annual financial report: This report covers the financial transactions by cost category for all grant expenditures during the reporting period.	Annually

Source: GAO analysis of Commerce data.

**Allowable uses of program funds:** EAA funds can be used to provide grants for planning or construction of projects tailored to the community's specific economic problems and opportunities. Specific activities may include

- creation or expansion of strategically targeted business development,
- revolving loan funds,
- infrastructure improvements,
- organizational development, and
- market or industry research and analysis.

**Examples of actual uses of program funds:** According to information GAO received from EDA, since 1999, EDA has funded 29 EAA projects in Native villages and Native nonprofits. Examples of specific projects include the following:

- In 2001, a total of \$5.1 million was provided to five different entities, including the Native Villages of Savoonga, Wales, and Unalakleet, for the construction of five approximately 4,000-square-foot multipurpose community buildings to Alaskan native entities. These facilities included

amenities such as a visitor center, lodging, meeting hall; office spaces; conference rooms, kitchens, restrooms, and storage.

- In 2001, the Tanana Chiefs Conference was awarded \$725,000 for the construction of a 20-room hotel with a combination restaurant, lounge, and meeting facilities on council-owned property located midtown in the Village of Circle.

**Funding mechanism:** The EDA provides funding directly to grantees, which could be Alaska Native entities. Generally, EDA funds 50 percent of a project's cost. However, certain conditions of high economic distress or an applicant's inability to provide all of the matching share may permit a higher grant rate.

**Restrictions on administrative costs:** According to EDA officials, there is no specific dollar limitation on allowable administrative costs; however, under the EAA program, administrative costs typically do not constitute a significant portion of the total grant. For smaller or rural grantees such as Alaskan tribes, allowable administrative costs could include the cost of a Project Administrator because such entities may not hold the in-house expertise needed to manage large construction projects.

**Program name:** Grants for Public Works and Economic Development Facilities.

**Authorization:** Public Works and Economic Development Act of 1965, as amended, 42 U.S.C. 3141; 13 C.F.R. § 305.1 *et seq.*

**Eligible program recipients:** States, cities, counties, an institution of higher education or a consortium of institutions of higher education, and other political subdivisions, Indian tribes, the Federated States of Micronesia, the Republic of the Marshall Islands, Commonwealths and territories of the U.S. flag, Economic Development Districts, and private or public nonprofit organizations or associations acting in cooperation with officials of a political subdivision of a state or Indian Tribe. Individuals, companies, corporations, and associations organized for profit are not eligible.

**Program objectives:** To promote long-term economic development in areas experiencing substantial economic distress. EDA provides public works investments to support the construction of rehabilitation of essential public infrastructure and development facilities necessary to generate higher-skill, higher-wage jobs and private investment.

**Application process:** The EDR or other appropriate EDA official will meet with the applicant and community leaders to explore the applicability of the proposed project. If deemed appropriate, a proposal will be requested. After reviewing the proposal, the EDR or the regional office will notify the applicant regarding the decision of whether to invite an application. If the project appears viable, a preapplication conference with regional office personnel may be arranged at EDA's discretion. An environmental impact assessment is required for this program. The review of the environmental impact assessment may result in an environmental impact statement being required. Applications are approved by the Regional Director and announced by the Assistant Secretary of Commerce for Economic Development.



**Appendix VIII  
Program Summaries for the Department of  
Commerce**

**Table 18: Commerce Reporting Requirements for Public Works Funding**

<b>Type</b>	<b>Description</b>	<b>Frequency</b>
Performance	Quarterly performance report: The grantee is required to report the status of work accomplished in project development through project completion, including land acquisition, engineering/design, construction contract award, construction, final inspection, and project completion.	Quarterly
Financial	Recipient's outlay report and request for reimbursement for construction programs: In order to request a reimbursement from EDA for construction costs and transactions incurred by the grantee, the grantee is required to file this report to document its expenditures and transactions. EDA will disburse funds only for actual outlays.	Periodic as project progresses
Financial	Financial status report: This financial report is prepared on a periodic basis to represent the financial status of the grant in conjunction with the performance reports and audit reporting period.	Periodic as project progresses
Performance	Final acceptance inspection report: This is a critical one-time report executed by the project architect, the contractor, and the owner (EDA grantee) at the end of construction to certify final acceptance inspection and project completion.	After construction is completed

Source: GAO analysis of Commerce data.

**Allowable uses of program funds:** Public works investments may include

- investments in facilities such as water and sewer system improvements, industrial access roads, industrial and business parks, port facilities, railroad sidings, distance learning facilities, skill-training facilities, business incubator facilities, redevelopment of brownfields, eco-industrial facilities, and telecommunications infrastructure improvements needed for business retention and expansion;
- eligible activities such as the acquisition, rehabilitation, design and engineering, or improvement of public land or publicly owned and operated development facilities, including machinery and equipment; and
- infrastructure for broadband deployment and other types of telecommunications-enabling projects and other kinds of technology infrastructure.

**Examples of actual uses of program funds:** According to information we received from EDA, since 1999, EDA has funded three public works projects totaling about \$3.8 million in Native areas. Examples of specific projects include the following:

- In 2001, the Seldovia Village Tribe was provided \$2.3 million to assist with the purchase of two lots and construction of a complex that will encompass a museum, visitor center, and retail/office space.
- In 1999, the Nenana Native Association was provided \$480,000 for implementation of the entities' economic development plan by renovating and upgrading its community hall and funding construction of other business infrastructure to continue development of tourism business.
- In 1999, the Shishmaref Village Council was provided about \$1 million for a traditional tannery.

**Funding mechanism:** The EDA provides funding directly to grantees, which could be Alaska Native entities. The basic grant rate may be up to 50 percent of the project cost. Severely depressed areas may receive supplementary grants to bring the federal contribution up to 80 percent of the project cost. Recognized Indian tribes may be eligible for up to 100 percent assistance. On average, EDA's investment covers approximately 50 percent of project costs.

**Restrictions on administrative costs:** According to EDA officials, there is no specific dollar limitation on allowable administrative costs; however, under the Public Works and Economic Development Facilities program, administrative costs typically do not constitute a significant portion of the total grant. For smaller or rural grantees such as Alaskan tribes, allowable administrative costs could include the cost of a project administrator because such entities may not have the in-house expertise needed to manage large construction projects.

# Program Summary for the Department of Education

**Subagency:** Office of Elementary and Secondary Education.

**Program name:** Alaska Native Educational Programs.

**Authorization:** Elementary and Secondary Education Act, as amended, 20 U.S.C. 7541-7546; 34 C.F.R. §§ 74, 75, 77, 80, 81, 82, 84, 85, 86, 97, 98, and 99.

**Eligible program recipients:** Alaska Native educational organizations or educational entities with experience in developing educational programs for Alaska Natives.

**Program objectives:** To support projects that recognize and address the unique educational needs of Alaska Native students, parents, and teachers.

**Application process:** Alaska Native Educational Programs are competitive grants, except for program funds that have been earmarked for specified recipients for specified purposes. For competitive grants, applicants submit proposals under which the Department of Education uses a peer review process where panels choose applications to determine which proposal best meets program objectives and the needs of Alaska Natives. The Department of Education selects panelists who are knowledgeable of Alaska Native educational needs, eligible activities, and project management and evaluation, and who are from outside the department. To avoid potential conflicts of interest, panelists are usually non-Alaska Natives. Specific selection criteria for the 2003 application included the magnitude of the need for and significance of the project, quality of project design, quality of project services, and the quality of the project evaluation to be conducted on the project. Approved grants are usually for 3-year funding periods.

**Table 19: Education Reporting Requirements for Alaska Native Educational Programs Funding**

Type	Description	Frequency
Performance and financial	Reports contain a narrative section to describe how the funds were used and a financial section that provides information on how the funding was spent.	Annually, every year that a grantee receives funds under the program.

Source: GAO analysis of Education data.

**Allowable uses of program funds:** Program funds can be used in a variety of areas, including

- curriculum development,
- family literacy,
- parenting education,
- increasing the education of Alaska Native teachers or those who teach Alaska Natives,
- home instruction for preschool Alaska Natives,
- remedial tutoring,
- dropout prevention, and
- math and science assistance.

Additionally, the enabling legislation, the Alaska Native Educational Equity, Support, and Assistance Act, has five earmarks for specific programs:

- \$1 million annually for the Alaska Native Heritage Center for cultural educational programs designed to share the Alaska Native culture with students;
- \$1 million annually for Alaska Humanities Forum for a cultural exchange program designed to share Alaska Native culture with urban students in a rural setting;
- \$2 million annually for a dropout prevention program operated by Cook Inlet Tribal Council;
- \$2 million annually for the Alaska Initiative for Community Engagement for continuation of that entity's general programs; and
- \$1 million annually to continue existing parenting educational programs, including parenting education provided through in-home visitation of new mothers.

**Examples of actual uses of program funds:** Individual grant files maintained by the department contain the following examples of how grantees used funds.<sup>1</sup>

In 2000, the University of Alaska Southeast (UAS) received a grant of about \$1.6 million for “Preparing Indigenous Teachers for Alaska Schools.” The 3-year grant had four main goals, one of which was to increase participation of Alaska Native students in bachelor of science programs at UAS. One way the program increased participation was by using mentors to recruit high school students for the UAS bachelor of science program. By the third year of the grant, program participants actively mentored 75 high school students and post-high-school candidates from 11 different communities. In the third year of the grant, the program provided 16 mentors a stipend of \$1,000 each, and also provided scholarships for 15 students in the amount of \$8,500 each. Another goal of the program was to develop a focused support system for Alaska Native students at UAS. One way the program used grant funds to accomplish this was to hire math tutors to assist Alaska Native students in individual and group tutoring sessions. The program also financially supported the UAS Native/Rural Resource Center for cultural activities such as lectures, storytelling series, and pot luck dinners.

In 1999, the Alaska Native Heritage Center received a 3-year Alaska Native Education Program grant in the amount of about \$570,000. The grant had seven objectives, including providing Alaska Native youth with cultural activities unavailable in the schools. The center’s activities addressing this objective included dance classes, youth leadership workshops, and art workshops. Over the 3 years of the grant, 157 students participated in programs offered by the center through the grant.

**Funding mechanism:** The Department of Education provides funding directly to grantees, which could be Alaska Native educational organizations or educational entities with experience in developing educational programs for Alaska Natives.

**Restrictions on administrative costs:** The program’s enabling legislation states that no more than 5 percent of funds provided to a grantee may be used for administrative purposes. No amount in addition to the grant is provided for reimbursement of administrative costs.

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<sup>1</sup>These examples are from a former CFDA program number, as the current CFDA program number combined several different CFDA program numbers, starting in 2001.

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# Program Summary for the Department of Health and Human Services

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**Subagency:** Indian Health Service.

**Program name:** Tribal Self-Governance.<sup>1</sup>

**Authorization:** Indian Self-Determination and Education Assistance Act, as amended, 25 U.S.C. 458aaa—458aaa-18; 42 C.F.R. § 137.1 *et seq.*

**Eligible program recipients:** Any federally recognized tribe that (1) formally requests, through a governing body action, participation in the Tribal Self-Governance Program; (2) has furnished organizationwide single audit reports for the previous 3 years that contain no uncorrected significant and material audit exceptions in the audit of the tribe's self-determination contracts or self-governance funding agreements with any federal agency; and (3) successfully completes a planning phase, to the satisfaction of the tribe, that includes legal and budgetary research and internal tribal government planning and organizational preparation relating to the administration of health care programs. Tribes may also authorize another eligible tribe to participate in the self-governance program on their behalf. Under current law, tribes not already in a compacting relationship with the Indian Health Service (IHS) may not receive funds for health care services if they are located in areas served by an Alaska Native regional health entity.<sup>2</sup>

**Program objectives:** The purpose of the program is to make financial assistance awards to Indian tribes to enable them to assume from IHS programs, services, functions, and activities with respect to which Indian tribes or Indians are primary or significant beneficiaries.

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<sup>1</sup>This appendix focuses on grants for tribes already participating in the Tribal Self-Governance Program. Nationally, less than 0.1 percent of Tribal Self-Governance funding goes to planning grants for tribes not currently participating in the Tribal Self-Governance Program.

<sup>2</sup>Compacting generally provides grant recipients broad flexibility in the use of federal funds for multiple programs.

**Application process:** If a tribe is eligible and interested in entering the self-governance program, it sends a letter of intent to either the Director of the Office of Tribal Self-Governance or to an IHS area director for a tribe's area.<sup>3</sup>

**Table 20: HHS Reporting Requirements for Tribal Self-Governance Funding**

Type	Description	Frequency
Performance	Pursuant to 42 CFR 137.200, each compacting tribe must report on health status and services delivery. Most compacting tribes use an IHS-prescribed form to report information on number of patient visits, diagnostic first visits, and radiology, laboratory, pharmacy, and dental services information.	Annual

Source: GAO analysis of HHS data.

**Allowable uses of program funds:** Funds can be used by compacting tribes to provide any program, service, function, or activity that IHS is authorized to administer. According to IHS documentation, these areas include

- clinical health services, including hospitals and health clinics, dental services, mental health services, and alcohol and substance abuse treatment;<sup>4</sup>
- contract health services (i.e., health services from private sector providers where specialized health care services were not readily available at tribally-operated providers);
- preventive health services, such as public health nursing, health education, and immunization;
- contract support costs (e.g., tribes' and tribal consortia's general administrative costs); and

<sup>3</sup>If 50 other eligible tribes nationally have already applied that year to become new compacting tribes, then additional eligible tribes applying would need to wait until the next fiscal year to participate.

<sup>4</sup>The IHS Tribal Self-Governance Program allows tribes and nonprofits to reprogram funding allocations within the limitations of appropriations laws as the tribe or nonprofit deems best to address their own health care needs and priorities. Pursuant to legislative reporting requirements, IHS receives information on health status and service delivery.

- health care facilities, including maintenance, improvement, and construction of health care and sanitation facilities.

**Examples of actual uses of program funds:**<sup>5</sup> IHS and the Alaska Native Tribal Health Consortium—a statewide Native health care provider—collect information on health status and services delivery and compile this information into several different reports, including Alaska-specific reports such as the *Statistical Summary of Workload* reports and Annual Performance Contract information. The 2003 Annual Performance Contract states that grant recipients used program funds during this period to

- operate 7 tribal hospitals, 28 tribal health centers, and 176 tribal community health aide clinics; and
- provide 4,093 homes with water facilities, and 3,004 homes with wastewater facilities.

The 2002 *Statistical Summary of Workload* states the following:

- In the 7 hospitals in Alaska that receive tribal self-governance funding,<sup>6</sup>
  - there were 10,992 inpatient admissions (excluding newborns), an overall decrease of 802 admissions from fiscal year 2001; and
  - there were 1,868 total newborn admissions (deliveries), a 6.65 percent decrease from 2001.

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<sup>5</sup>Over 95 percent of the funding for the operations described herein was provided under the Tribal Self-Governance Program. The remaining funds for these operations came from IHS's Indian Self-Determination Program, which also provides funds that allow tribes to administer health programs. Some of the information in IHS's published reports on health status and service delivery combines the uses from these two programs.

<sup>6</sup>The tribal hospitals in Alaska (with location and number of hospital beds), as listed in the 2002 *Statistical Summary of Workload*, are: Alaska Native Medical Center (Anchorage, 156 beds); Kakanak Hospital (Dillingham, 16 beds); Maniilaq Medical Center (Kotzebue, 17 beds); Mt. Edgecumbe Hospital (Sitka, 49 beds); Norton Sound Regional Hospital (Nome, 19 beds); Samuel Simmonds Memorial Hospital (Barrow, 14 beds); and Yukon-Kuskokwim Delta Hospital (Bethel, 50 beds).



- In the tribally run hospitals, health centers, and community clinics,
  - there were 970,146 ambulatory care visits, a 2.2 percent increase from 2001;<sup>7</sup>
  - in 2001, the most recent year available, contract medical<sup>8</sup> accounted for 1,939 hospital admissions, 7,181 hospital patient days, 128 hospital births, and 60,741 outpatient clinic visits; and
  - during 2002, adjusted health aide visits totaled 263,947 encounters, which was a 1.9 percent decrease from 2001.<sup>9</sup>

**Funding mechanism:** IHS provides funding directly to the compacting entity—that is, the regional Native health care nonprofit, Alaska Native village, or group of villages administering the health program.

**Restrictions on administrative costs:** IHS does not have a standard limit on the amount of funding compacting tribes can spend on total administrative costs. Pursuant to tribal funding agreements, IHS provides funding for contract support payments—payments to compacting tribes to pay for some of tribes' administrative costs.

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<sup>7</sup>IHS defines an ambulatory care visit as an encounter between a patient and a health care provider in an organized clinic, medical center, or hospital within an IHS or tribal facility where service resulting from the encounter is not part of an inpatient stay. Services provided for these ambulatory visits include pharmacy, X-ray, and laboratory visits.

<sup>8</sup>Contract medical care refers to services that are not available directly from IHS or tribes. These services are purchased under contract from community hospitals and practitioners.

<sup>9</sup>Tribal self-governance funds also were used for community health aide (CHA) program visits by individual patients. IHS does not total all CHA visits the same way, since some visits take longer than others. IHS counts the amount of community health aide hours required by specific kinds of visits. For example, IHS counts a patient encounter as taking 1 hour, a group health education presentation as taking 2 hours, and fluoride rinses as taking 6 minutes.

# Program Summaries for the Department of Housing and Urban Development

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**Subagency:** Public and Indian Housing.

**Program name:** Indian Community Development Block Grant.

**Authorization:** Housing and Community Development Act of 1974, as amended, 42 U.S.C. 5306; 24 C.F.R. § 1003.1 *et seq.*

**Eligible program recipients:** Any Indian tribe, band, group, nation, or tribal organization, including Alaska Indians, Aleuts, and Eskimos, and any Alaska Native village that is eligible for assistance under the Indian Self-Determination and Education Assistance Act or that had been eligible under the State and Local Fiscal Assistance Act of 1972. Tribal organizations are permitted to submit applications on behalf of eligible tribes when one or more eligible tribes authorize the organization to do so under concurring resolutions. The tribal organization must be eligible under Title I of the Indian Self-Determination and Education Assistance Act.

**Program objectives:** The objective of the Indian Community Development Block Grant (ICDBG) program is to provide assistance to Indian tribes and Alaska Native villages in the development of viable communities, including decent housing, a suitable living environment, and economic opportunities, principally for persons of low and moderate income.

**Application process:** Applicants must file an application on forms prescribed by HUD that describes the community development need and how that need will be addressed by the proposed project. The applicant must provide sufficient information for the project to be rated against selection criteria. The rating criteria include the need of the project, soundness of approach, leveraging resources and comprehensiveness and coordination. The Office of Native American Programs (ONAP) Area Office is responsible for administering the program and for notifying applicants of the results, which are done annually.

**Appendix XI  
Program Summaries for the Department of  
Housing and Urban Development**

**Table 21: HUD Reporting Requirements for ICDBG Funding**

<b>Type</b>	<b>Description</b>	<b>Frequency</b>
Status and evaluation report	Reports contain a narrative section to describe progress made in completing approved activities and expenditure of funds. If the project has been completed, an evaluation of how the project has been effective in meeting community development needs.	Annually
Federal Cash Transaction Report, Standard Form (SF) 272	The report must be submitted to the area ONAP, accounting for funds received and disbursed by the recipient.	Quarterly
Minority Business Enterprise Reports, HUD-2516	Recipients must submit the report on contract and subcontract activity.	Biannually
Final status and evaluation report	Recipients must submit a narrative report identifying all expenditures spent on each activity and any remaining costs to be paid with ICDBG funds. Narrative must include an assessment of the effectiveness of the program in resolving or addressing the community need as described in the application.	Upon project completion
SF-269	A Final Financial Status Report must be submitted with the Final Status and Evaluation Report, which identifies all expenditures spent with ICDBG funds.	Upon project completion

Source: GAO analysis of HUD data.

**Allowable uses of program funds:** Indian tribes and Alaska Native villages may use block grants to improve the housing stock, provide community facilities, make infrastructure improvements, and expand job opportunities by supporting the economic development of their communities. Activities eligible for funding include housing rehabilitation programs, acquisition of land for housing, direct assistance to facilitate homeownership among low and moderate income persons, construction of tribal and other facilities for single or multiuse, streets and other public facilities, and economic development projects, particularly those by nonprofit tribal organizations or local development corporations when the recipient determines that the provision of such assistance is appropriate to carry out an economic development project. Tribes and Alaska Native villages are restricted from using block grants for construction and improvement of governmental facilities, the purchase of equipment, general government expenses, operating and maintenance expenses, political activities, new housing construction (except through community-based development organizations), and income payments.

**Actual uses of program funds:** Eighty ICDBG grants were awarded from 1998 through 2003, according to HUD documentation. These projects included: 21 health-related facilities (e.g., clinics, mental health, and primary care facilities); 35 community centers; 17 infrastructure projects

(e.g., fuel tanks and water and sewer systems); 6 housing-related projects (e.g., housing rehab, new construction and land acquisition for new housing), and one imminent threat grant.

**Funding mechanism:** Funding goes directly from HUD to the grantees; from 1998 through 2003, according to HUD documentation, all but 1 of the 80 grants went to Alaska Native villages, and that grant went to a joint venture between a village and regional Native health care nonprofit.

**Restrictions on administrative costs:** The program's regulations state that no more than 20 percent of funds provided to a grantee may be used for administrative purposes.

**Appendix XI**  
**Program Summaries for the Department of**  
**Housing and Urban Development**

**Program name:** Indian Housing Block Grant.

**Authorization:** Native American Housing Assistance and Self-Determination Act (NAHASDA) of 1996, 25 U.S.C. 4101 et seq.; 24 C.F.R. § 1000.1 *et seq.*

**Eligible program recipients:** Indian tribes or tribally designated housing entities (referred to throughout this appendix as housing authorities).

**Program objectives:** IHBG funds are used for affordable housing activities administered by tribes or housing authorities, while recognizing the right of tribal self-governance.

**Application process:** An eligible recipient must submit to HUD an Indian Housing Plan (IHP) each year to receive funding.

**Table 22: HUD Reporting Requirements for IHBG Funding**

<b>Type</b>	<b>Description</b>	<b>Frequency</b>
Financial	Tribes and housing authorities are required to file a Federal Cash Transactions Report ONAP (HUD-272-I) that reports on expenditures of Indian Housing Block Grant (IHBG) and unobligated United States Housing Act of 1937 funding.	Quarterly
Performance	Tribes and housing authorities submit an IHP that identifies affordable housing goals and objectives specific to each activity the grantee plans to administer and an Annual Performance Report that details how grantees are progressing with implementation of their IHPs.	Annually

Source: GAO analysis of HUD data.

**Allowable uses of program funds:** Indian Housing Block Grants can be used for a variety of eligible affordable housing activities, including modernization and operating assistance for U.S. Housing Act of 1937 housing; new construction, acquisition or rehabilitation of renter- or owner-occupied housing; housing services, housing management, crime prevention and safety or model activities as described in the Indian Housing Plan.

Appendix XI  
 Program Summaries for the Department of  
 Housing and Urban Development

**Actual uses of program funds:** The actual uses of IHBG funds from 1998 through 2003 for Alaska Native recipients were as follows, according to HUD documentation:

**Table 23: Percentage of IHBG Funds Used by Activity, Calendar Years 1998-2003**

	Activity							
	Housing Development				Current assisted stock			
	Rental new construction	Rental rehabilitation	Home ownership new construction	Home ownership rehabilitation	Modernization	Operating	Planning and administration	Other Uses <sup>a</sup>
Percentage of IHBG funds expended	5	1	22	10	12	10	11	29

Source: HUD.

<sup>a</sup>“Other uses” includes housing services, housing management services, crime prevention, model activities and unspent funds.

**Funding mechanism:** HUD provides IHBG formula grants directly to Alaska Native tribes or their tribally designated housing entity. The IHBG funding formula considers two factors: (1) the needs of the grantee, and (2) the housing previously developed by HUD funding. Tribes may annually choose to receive IHBG funds and provide services directly to their members or tribes may choose to designate a housing entity to receive their IHBG funds and provide services on their behalf. Appropriations for 2004-2005 included a provision limiting IHBG recipients in Alaska to those tribes or tribally designated housing entities that received funds in the previous fiscal year. Grantees do not have a matching funds requirement to qualify for the IHBG grant. The minimum grant award is \$25,000.

**Restrictions on administrative costs:** The IHBG program allows grantees to use up to 20 percent of the total grant amount for administrative costs. Administrative costs are taken out of the grant amount.

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# Program Summary for the Department of the Interior

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**Subagency:** Bureau of Indian Affairs.

**Program name:** Tribal Self-Governance Program.

**Authorization:** Indian Self-Determination and Education Assistance Act, as amended, 25 U.S.C. 458aa—458hh; 25 C.F.R. § 1000.1 *et seq.*

**Eligible program recipients:** Any federally recognized tribe that (1) formally requests, through a governing body action, participation in the Tribal Self-Governance Program; (2) demonstrates, for the previous 3 fiscal years, financial stability and financial management capability by furnishing organizationwide single audit reports for those 3 years that contain no uncorrected significant and material audit exceptions in the audit of the tribe's self-determination contracts; and (3) successfully completes a planning phase, to the satisfaction of the tribe, that includes legal and budgetary research and internal tribal government planning and organizational preparation. If each tribe requests, two or more otherwise eligible tribes may be treated as a single tribe for the purpose of participating in self-governance as a consortium.

**Program objectives:** To further the goals of Indian self-determination by providing funds to Indian tribes to administer a wide range of programs with maximum administrative and programmatic flexibility.

**Application process:** If a tribe is eligible and interested in entering the self-governance program, it sends a letter of intent to the Director of the Office of Tribal Self-Governance. The letter of intent must also include information about how self-governance will benefit the tribe.<sup>1</sup> Awards are not competitive; if a tribe is eligible, it may generally participate in the program. An annual funding agreement is negotiated between the participating tribe and the Secretary of the Interior consistent with federal laws and the tribal relationship. A tribe may also negotiate a multiyear funding agreement.

**Reporting requirements:** Interior requests tribes to submit information on funds spent by category (e.g., human services), amount, tribal goal, and progress toward tribal goal, for inclusion in the Secretary of the Interior's

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<sup>1</sup>If 50 other tribes nationally that meet the eligibility requirements have previously applied that year to become new compacting tribes, then additional eligible tribes applying would need to wait until the next fiscal year to participate.

*Tribal Self-Governance Annual Report* to Congress. Tribal submission of information for the Secretary's annual report is optional, although agency officials and documentation noted that tribal self-governance data collection is important to the program. Most grantees in Alaska do not send such information to Interior; for 2003, for example, only six of the program's 22 Alaskan grantees provided such information to Interior. Starting in fiscal year 2005, according to Interior officials, Alaska's 22 grantees agreed in their annual funding agreements to provide Interior with Government Performance and Results Act information, such as housing, environmental, training, technical assistance, and other uses of tribal self-governance funds.

**Allowable uses of program funds:** Funds may be used by grantees to support programs previously administered by the Bureau of Indian Affairs, pursuant to the terms of annual funding agreements or for programs specifically authorized by federal statute, and may not be used for the operation of elementary and secondary schools or for community colleges. Under these agreements, grantees have the flexibility to redesign programs to meet local needs and priorities. Table 24 shows budget categories for tribal self-government allocations from Interior to program grantees. Many of the budget categories also contain more specific allocation areas.



**Appendix XII  
Program Summary for the Department of the  
Interior**

**Table 24: Allowable Uses of Tribal Self-Governance Program Funding, Based on Budget Categories**

<b>Tribal government</b>	<b>Human services</b>	<b>Education</b>	<b>Public safety and justice</b>	<b>Community development</b>	<b>Resource management</b>	<b>Trust services</b>	<b>General administration</b>	<b>Economic development</b>	<b>Other tribal programs</b>
No specific budget allocation areas	Welfare assistance, including child welfare and disaster assistance	Johnson O'Malley (federal government program to provide education to American Indians and Alaska Natives)	Tribal courts	Housing improvement plan	Forestry	Realty/ appraisals	Tribal annual audits	No specific budget allocation areas	No specific budget allocation areas
	Indian Child Welfare Act	Scholarships and higher education	Law enforcement	Economic development loans	Fisheries	Land surveys			
	Child abuse and neglect	Adult education	Community fire protection	Roads	Water resources/ rights	Agricultural/ minerals and grazing			
					Irrigation				

Source: Bureau of Indian Affairs, Department of the Interior.

**Examples of actual uses of program funds:** Based on summaries submitted by grantees for Interior's *Tribal Self-Governance 2003 Annual Report to Congress*, the following are examples of recent uses of tribal self-governance funds:

- In 2003, the Central Council of Tlingit and Haida used approximately \$4.6 million for job placement and training for 2,084 tribal members through its various programs. The number of individuals receiving support services assistance totaled 1,472. Those services included direct employment, vocational rehabilitation, and employability assistance. The Central Council also provided transportation, work clothing, and tools to over 276 tribal members. One hundred seventy people received classroom training and 25 received on the job training.
- In 2003, the Bristol Bay Native Association used approximately \$2 million for tribal government, including providing assistance in drafting and amending tribal constitutions, and developing and enhancing tribal

courts. Bristol Bay also used the funds to provide training for village administrators and village presidents and improve communications with the village.

**Funding mechanism:** Interior provides funding directly to the grantee—that is, the Alaska Native village, regional Native nonprofit, or group of villages administering the Tribal Self-Governance Program. Twelve Alaska Native villages, eight regional Native nonprofits, one group consisting of several other Alaska Native villages and one Indian reservation received self-governance funding in 2003.

**Restrictions on administrative costs:** There are no specific restrictions on administrative costs. Pursuant to tribal funding agreements, Interior provides for contract support payments, which offset indirect and direct administrative costs.

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# Program Summary for the Department of Justice

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**Subagency:** Office of Community Oriented Policing Services.

**Program name:** Community Oriented Policing Services.

**Authorization:** Omnibus Crime Control and Safe Streets Act of 1968, as amended, 42 U.S.C. 3796dd—3796dd-8.

**Eligible program recipients:** States, units of local government, federally recognized Indian tribal governments, U.S. territories or possessions (including the Commonwealth of Puerto Rico, the Virgin Islands, Guam, American Samoa, and the Mariana Islands), other public and private entities, and multijurisdictional or regional consortia thereof.

**Program objectives:** The Community Oriented Policing Services (COPS) Office was created as a result of the Violent Crime Control and Law Enforcement Act of 1994. Grants are to be made to increase police presence and improve cooperative efforts between law enforcement agencies and members of the community. Specifically COPS was established to accomplish numerous projects or activities, including the following:

- substantially increasing the number of law enforcement officers interacting directly with members of the community;
- providing additional and more effective training to law enforcement officers to enhance their problem solving, service, and other skills needed in interacting with members of the community;
- encouraging the development and implementation of innovative programs to permit members of the community to assist state, federally recognized Indian tribal government, and local law enforcement agencies in the prevention of crime in the community;
- encouraging the development of new technologies to assist state, federally recognized Indian tribal government, and local law enforcement agencies in reorienting the emphasis of their activities from reacting to crime to preventing crime; and
- establishing school-based partnerships between state and federally recognized Indian tribal government and local law enforcement agencies, and local school systems by using school resource officers to

**Appendix XIII  
Program Summary for the Department of  
Justice**

engage in community policing in and around elementary and secondary schools.

**Application process:** COPS grants are awarded on a competitive basis. Applications are submitted to COPS's Grants Administration Division for approval and include a description of the proposed project and a priority ranking of specific needs requested in the grant proposal. In fiscal year 2004, COPS received more than \$60 million in grant requests and awarded available funds of about \$25 million, nationwide. Typically awards are made to successful applicants based on the applicants' ranking of needs at the time the grant request is submitted. Applicants may be denied any level of funding if they are under investigation by the U.S. Attorneys Office, in noncompliance under another COPS program, or not correcting deficiencies in their current application.

**Table 25: Justice Reporting Requirements for COPS Funding**

<b>Type</b>	<b>Description</b>	<b>Frequency</b>
Financial	These reports reflect the actual federal monies spent, unliquidated obligations incurred, local matching contributions, and the unobligated balance of federal funds.	Quarterly, unless an extension is required or a waiver is granted.
Program progress reports	These reports request information about the status of the grant in terms of hiring, purchases, and progress achieved in implementing community policing.	Once per year during the grant funding period.
Final progress reports	This report serves as the final progress report and is used by COPS to make final assessment of grant progress.	As requested by COPS of grantees that have completed the grant period.
Final financial status report	The final financial status report should reflect the total amount of federal expenditures, the total amount of local matching, and the total amount of unobligated funds.	No later than 90 days after the end of the grant period, unless an extension is granted.
Surveys about hiring	COPS may conduct these surveys via phone, fax, or letter to determine the number of officers hired and deployed into the community, policing roles, and timetable for when future hiring may occur.	As requested.

Source: GAO analysis of Justice data.

**Allowable uses of program funds:** Grants provide funding for a variety of activities, including

- 36 months of entry-level salaries and benefits;
- background investigations;
- training;
- uniforms;
- basic equipment, such as handguns, holsters, and body armor;
- technology items, such as computers, software, automated booking systems, fingerprint identification systems, and GPS systems; and
- police cars.

**Examples of actual uses of program funds:**

- Since its inception in 1994, COPS program grants have been used to add community policing officers to the nation's streets and schools, enhance crime-fighting technology, support crime prevention initiatives, and provide training and technical assistance to advance community policing. In the state of Alaska, COPS grants have been awarded to hire 324 additional police officers and sheriff's deputies, including about 100 officers under the programs discussed below.
- COPS has created a series of programs to meet the needs of law enforcement in Native communities. The COPS Tribal Resources Grant Program is a broad, comprehensive program designed to meet law enforcement needs in Native communities. This program offers a variety of funding in areas such as hiring additional officers, law enforcement training, uniforms, basic-issue equipment, emerging technologies, and police vehicles.
- COPS's Universal Hiring Program (UHP) provides funding directly to local, state, and tribal jurisdictions for the salaries and benefits of newly hired officers engaged in community policing. COPS merged the COPS Funding Accelerated for Smaller Towns and Accelerated Hiring, Education, and Deployment program functions into UHP in 1995, which

incorporated both of these previous initiatives into one centralized grant program.

- The COPS in Schools (CIS) grant program is designed to help law enforcement agencies hire additional school resource officers to engage in community policing in and around primary and secondary schools. CIS provides an incentive for law enforcement agencies to build collaborative partnerships with the school community and to use community policing efforts to combat school violence.
- The Alaska State Patrol received technology grants beginning in 1999 that benefited the Village Public Safety Officers of Alaska.

**Funding mechanism:** COPS provides grants to tribal, state, and local law enforcement agencies up to 75 percent of the costs to hire and train community policing professionals, acquire and deploy cutting-edge crime-fighting technologies, and develop and test innovative policing strategies.<sup>1</sup> The CIS and technology grants do not require the 25 percent local match. Funds can be accessed by grantees using a phone system or electronically.<sup>2</sup>

**Restrictions on administrative costs:**

According to the Grants Administration Division, administrative costs are not allowable under most COPS programs.

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<sup>1</sup>Hiring grants were limited to a maximum of \$75,000 per officer over a 3-year period.

<sup>2</sup>Specifically, grantees may request funds using one of two systems, the Phone Activated Paperless Request System or the Letter of Credit Electronic Certification System.

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# Program Summary for the Department of Labor

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**Subagency:** Employment and Training Administration.

**Program name:** Youth Opportunity Grants.

**Authorization:** Workforce Investment Act of 1998, as amended, 29 U.S.C. 2914; 20 C.F.R. § 664.800 *et seq.*

**Eligible program recipients:** This program is no longer taking new applications for grants. The 5 years of funding for grantees, which began in 2000, has already been completed, but most Youth Opportunity Grant program sites have some funds remaining that will allow them to provide a reduced level of programming for at least part of a sixth year. Eligible recipients included Native American and Alaska Native entities. Alaska Native applicants were required to be a Workforce Investment Act Section 166 Native American Grantee, and the community the applicant served had to meet certain poverty rate criteria in the Internal Revenue Code and be an Alaska Native village as defined in section 3 of the Alaska Native Claims Settlement Act. Beneficiaries had to be youth between the ages of 14 and 21 at the time they joined the program, and had to reside in the target area, without regard to income.

**Program objectives:** To increase the long-term employment of youth who live in empowerment zones, enterprise communities, and high poverty areas. Youth Opportunity Grants concentrate extensive resources in high-poverty areas in order to bring about communitywide impact on employment rates, high school completion rates, and college enrollment rates.

**Application process:** The program was competitive, and there were not specific amounts of grants set aside for Native Americans. Proposals were reviewed by an independent panel, including both federal staff and peer reviewers; site visits were made to finalists. Panelists rated the proposals based on project design and service strategy, youth development and community services, dropout prevention, management and accountability, and need in the target area. Applications had to include both a technical proposal and a financial proposal, describing, for example, how the grantee would provide comprehensive services, where the services would be delivered, the staff numbers that would deliver the services, and the program's activities. Grant awards were made for an initial period of 1 year, with up to 4 additional option years based on the availability of funds and satisfactory progress toward achieving the goals and objectives of the grant.

**Appendix XIV  
Program Summary for the Department of  
Labor**

**Table 26: Labor Reporting Requirements for Youth Opportunity Grant Funding**

<b>Type</b>	<b>Description</b>	<b>Frequency</b>
Monthly program progress report	Shows current month, year to date, and cumulative participation by youth in the various types of youth programs, such as reading/math remediation. The reports also contain information about the impact of the program, such as the number of participants who have achieved a high school diploma, entered a 4-year college, or completed vocational/technical school.	Monthly
Quarterly program progress report	For the quarter, reports include follow-up information on out-of-school, in-school, and total youth who had been enrolled in the program within the previous 24 months, and their work, school, or other status. This report is based on youth who have had a long-term placement in employment, postsecondary education, or long-term occupational skills training within the last 24 months. This is primarily a retention report.	Quarterly
Financial reports	On OMB SF-269, these reports show total outlay of funds for both the quarter and cumulative, but do not report specifically for what the funds were used.	Quarterly
Financial and progress	Annual Updates to Application for Youth Opportunity Grant details the grantee's budget and actual spending, including information on personnel, travel, and equipment costs, for example. The report also details aspects of program areas such as the educational and youth development components of the grant, among others.	Annual

Source: GAO analysis of Labor data.

**Allowable uses of program funds:** Program funds can be used to provide comprehensive activities to eligible youth seeking assistance in achieving academic and employment success; activities include a variety of options for improving educational skill competencies and provide effective connections to employers; ongoing mentoring opportunities; training opportunities; continued support services for eligible youth; incentives for recognition and achievement to eligible youth; and youth development opportunities in activities related to leadership, development, decision making, citizenship, community service, and recreation. The enabling legislation also authorized the use of funds for intensive placement services and follow-up services for not less than 24 months after the completion of participation in the Youth Opportunity Grant programs.

**Examples of actual uses of program funds:** According to Department of Labor documentation, a coalition of Alaska Native organizations that served the state of Alaska used program funds to set up youth opportunity community centers in 40 villages across Alaska. In each center, there were one or two youth development specialists who provided a variety of services. According to Labor documentation and officials, over 2,900 Alaska Native youth participated in YO! Alaska programs, including



employment, community service, sports, recreation, education, and life skills programs.

**Funding mechanism:** Funding went directly from Labor to the grantees. In Alaska, the grantee was Cook Inlet Tribal Council, which was designated as the lead agency to apply for the grant by the Alaska Native Coalition on Employment and Training. This coalition was originally composed of 10 Alaska Native regional nonprofits, two Alaska Native villages, and one other Native organization. That coalition selected Cook Inlet Tribal Council as the lead agency to apply for the Youth Opportunity Grant.

**Restrictions on administrative costs:** The program's enabling legislation does not specifically limit administrative costs. However, Department of Labor officials informed us that they negotiated with grantees to keep administrative costs low. Grantees pay for administrative costs from the grant amount; no amount in addition to the grant is provided for reimbursement of administrative costs.

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# Program Summary for the Department of Transportation

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**Subagency:** Federal Aviation Administration.

**Program name:** Airport Improvement Program.

**Authorization:** 49 U.S.C. 47101 - 47142.

**Eligible program recipients:** States, counties (in Alaska, boroughs), municipalities, and other public agencies, including Indian tribes, are eligible for airport development grants if the airport is listed in the National Plan of Integrated Airport Systems, which identifies more than 3,300 airports nationally that are significant to national air transportation. Grants for projects under the Airport Improvement Program (AIP) are typically given only to publicly owned, public use airports, with a few exceptions. Recipients of grants are commonly called sponsors. Sponsors must meet basic qualifications set up by the Federal Aviation Administration to receive AIP grants. In addition, a sponsor must be legally, financially, and otherwise able to assume and carry out the assurances and obligations contained in the project application and grant agreement.

**Program objectives:** The purpose of the AIP is to assist sponsors, owners, and operators of public-use airports in the development of a nationwide system of airports adequate to meet the needs of civil aeronautics.

**Application process:** Applicants file an application on forms prescribed by DOT that describe the objective of the project, benefits of the project, and need for the project, among other things. The application also requires budget and financial information. The Alaska Department of Transportation and Public Facilities (DOTPF) selects projects on a competitive basis, and the Federal Aviation Administration oversees the Alaska DOTPF's selection of projects for completion. The Alaska DOTPF awards AIP funding based on, among other criteria, safety improvements that the project would make, improving community access to basic necessities, economic benefits, and if the community has alternatives to air travel. This process takes place annually, and projects can take up to 3 to 4 years to design, engineer, and build.

**Allowable uses of program funds:** Grants can be made for integrated airport system planning in a specific area; and airport master planning, construction, or rehabilitation at a public-use airport or portion thereof. Eligible work at airports consists of (1) airport master plans; (2) airport noise compatibility plans; (3) land acquisition; (4) site preparation; (5) construction, alteration, and rehabilitation of runways, taxiways, aprons,

**Appendix XV  
Program Summary for the Department of  
Transportation**

and certain roads within airport boundaries; (6) construction and installation of airfield lighting, navigational aids, and certain off-site work; (7) safety equipment required for certification of airport facility; (8) security equipment required by the Secretary of Transportation; (9) snow-removal equipment; (10) terminal development; (11) aviation-related weather reporting equipment; (12) equipment to measure runway surface friction; (13) burn area training structures and land for that purpose; (14) agency-approved burn area training structures and land for that purpose; (15) relocation of air traffic control towers and navigational aids if they impede other projects funded by AIP; (16) land, paving, drainage, aircraft deicing equipment and structures for centralized deicing areas; and (17) projects to comply with the Americans with Disabilities Act of 1990, Clean Air Act, and Federal Water Pollution Control.

**Table 27: DOT Reporting Requirements for AIP Funding**

<b>Type</b>	<b>Description</b>	<b>Frequency</b>
Performance	Provides information on the grantee's performance, including comparisons between the project's accomplishments and the goals established for the period, reasons for not accomplishing planned goals in those cases where they have not been met, and other pertinent information, such as analysis and explanation of cost overruns or high unit costs.	Quarterly
Financial	Grantees must file several financial reports that provide information on the total outlays of funds and obligations. These reports include the Financial Status Report on OMB SF 269, Federal Cash Transactions Report (OMB SF 272), and Request for Reimbursement (OMB SF 270).	Annually, unless requested by AIP officials to be more frequent.
	Grantees must file final financial status report showing fund expenditures.	Within 90 days of the end of the project

Source: GAO analysis of DOT data.

**Examples of actual uses of program funds:** In general terms, the AIP uses its funding for airport planning and development. The AIP tracks its spending by three categories: purpose of the project (the underlying objective of the project, such as airport reconstruction), the physical component of the project (e.g., a runway), and the type of the project (the work being done, such as a runway extension). Based on GAO analysis of agency data, from 1999 through 2004, DOT provided funding for 310 grants that benefited Alaska Native villages and villages that are located within the boundaries of incorporated cities.<sup>1</sup> According to AIP documentation, some recent examples of grant uses:

- In 2002, Alaska's Department of Transportation and Public Facilities used grants totaling \$8.3 million for airport improvements in the Alaska Native village of Iliamna, including \$6.4 million to strengthen the runway.
- In 2003, the Native Village of Venetie used grants totaling about \$6 million to construct a new airport and a snow-removal equipment building.
- In 2004, Alaska's Department of Transportation and Public Facilities used grants totaling \$257,000 to rehabilitate the seaplane base in the Metlakatla Indian Community, Annette Island Reserve.

**Funding mechanism:** From 1999 through 2004, based on GAO analysis of AIP data, AIP provided the vast majority of its Alaska funding to the state of Alaska, which oversaw projects through the DOTPF. The DOTPF received 91 percent of the funding that benefited Alaska Native villages or villages that are located within the boundaries of incorporated cities. The remainder was provided directly to Alaska Native villages, incorporated cities encompassing Alaska Native villages, and boroughs, where the borough sponsored the airport benefiting from the project and that airport

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<sup>1</sup>The Airport Improvement Program provides grants that benefit both Alaska Native villages as well as other areas. The projects referred to herein were categorized by GAO as benefiting Alaska Native villages or villages that are located within the boundaries of incorporated cities; non-Alaska Natives living in those areas would benefit from those projects as well. Additionally, grants that were made to benefit airports in larger locations, such as Anchorage, Juneau, and Fairbanks, were not included, though Alaska Natives traveling to those locations could benefit from those projects. Some of these projects have not been completed, as completion of some projects can take as long as 4 years.

was located in an Alaska Native village or village located within the boundaries of an incorporated city.

**Restrictions on administrative costs:** According to agency officials, the AIP limits the amount of indirect administrative costs that Alaska's DOTPF can recover to 4.8 percent of the total AIP grants to the state; in 2003, the actual rate for indirect costs was less than 3 percent. DOT's Federal Highway Administration adjusts that limit each year. Administrative costs are paid for from the grant, rather than given by AIP in addition to the AIP grant.

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# Program Summary for the Environmental Protection Agency

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**Subagency:** Office of Water, American Indian Environmental Office.

**Program name:** Indian Environmental General Assistance Program.

**Authorization:** Indian Environmental General Assistance Program Act of 1992, as amended, 42 U.S.C. 4368b; 40 C.F.R. Part 35, Subpart B.

**Eligible program recipients:** Alaska Native or American Indian tribal government or intertribal consortium.

**Program objectives:** The primary purpose of the Indian Environmental General Assistance Program (IGAP) is to support the development of a core tribal environmental protection program. IGAP is intended to help Alaska Native and American Indian tribes build their capacity to administer environmental programs and address environmental problems on Indian land.

**Application process:** Tribes and consortia in Alaska submit applications to EPA's Alaska Operations Office on forms prescribed by EPA. Each IGAP application must include a description of the tribe's environmental needs and goals, a work plan to accomplish those goals, and identification of grant outputs and outcomes. IGAP applicants must specify how they will spend the IGAP funds prior to receiving the IGAP grant. EPA evaluates proposals based on the completeness of the application, demonstration of risks and benefits to human health and the environment, the nature and quality of activities intended to build tribal capacity to address long-term environmental risks and needs, and management capability and past performance, if applicable. IGAP grants are not competitive grants; funding is available to all eligible tribes that demonstrate the capability to successfully manage a grant. EPA bases award amounts on fund availability, the number of eligible tribes and consortia applying, and the amount of any funds remaining in existing IGAP grants. IGAP project periods cannot exceed 4 years.

**Table 28: EPA Reporting Requirements for IGAP Funding**

Type	Description	Frequency
Performance and financial	Grantees must file performance reports that include information on the progress made on the grant's projects, by specific task, milestones reached, any problems the grantee had along with actions taken to overcome those problems, and state financial expenditure information.	Quarterly
Financial	Financial Status Reports on OMB SF 269, which show the total outlay of funds for the year, but do not report specifically for what the funds were used.	Annual
	Final financial status report showing fund expenditures.	Once, within 90 days of the end of the project

Source: GAO analysis of EPA data.

**Allowable uses of program funds:** Grantees are permitted to spend IGAP funds on planning, developing, and establishing tribal capability to implement environmental protection programs, as well as implementation of solid and hazardous waste programs.

**Examples of actual uses of program funds:** Approximately 140 Alaska Native tribes are currently using EPA's Indian General Assistance Program to build their capacity to implement environmental protection programs, including development and implementation of solid and hazardous waste programs, according to EPA officials and documentation. Generally, according to EPA officials and documentation, Alaska Natives often use IGAP grants to complete some of the following tasks:

- establishing an environmental office, through, among other steps, hiring and training staff and purchasing office equipment;
- conducting an administrative review of tribal policies and procedures to ensure compliance with federal regulations and circulars;
- establishing the administrative, legal, technical, and implementation capability of the tribe to develop and operate a tribal environmental program;
- assessing and prioritizing environmental concerns and developing a strategic plan to address problems;
- implementing recycling and household hazardous waste removal programs, which typically include aluminum cans, batteries, used appliances, junk cars, used oil, and solvents;

- developing and implementing integrated and sustainable solid waste management programs;
- cleanup and closure of unregulated dumps;
- acquiring training in environmental program priority areas (e.g., water, waste, pollution prevention, alternative energy, environmental emergency response);
- training and working with tribally elected officials on EPA programs, environmental regulations, and effective intergovernmental coordination;
- identifying and performing baseline assessments of sources of pollution (water quality sampling, air quality emissions inventories, and waste stream analysis);
- establishing a tribal communications capability and technical expertise to work with federal, state, local, tribal, and other environmental officials; and
- increasing communities' environmental awareness.

Additionally, EPA provided GAO with “success stories” highlighting specific examples of how IGAP funds have been used. Following are some examples:

- In 2003, the Gwich'yaa Zhee (Fort Yukon) IGAP program participated in the household hazardous waste back haul with Yutana barge lines, and back hauled 93 lead-acid batteries, 63 drums of waste oil, eight old vehicles, and 318 pounds of aluminum cans to be recycled.
- In 2003, the Goodnews Bay IGAP program sent a person to a Solid Waste Workshop, completed feasibility studies on the local dump, and started the process of getting a permit and draft management plans approved by the Alaska Department of Environmental Conservation to get a new landfill. Goodnews Bay also said that the IGAP program provided the community with environmental education, awareness, increased capacity to apply for other grants, and jobs.
- From 2000 through 2003, the Ugashik IGAP program set up a monitored collection site for recycled and reuse products and worked more closely



with other villages in the region, such as forming the Ugashik Watershed Council.

- In 1999, The Aleut Community of St. Paul Island IGAP program developed a Village Environmental Planning Survey and in 2000 began working on a Specific Action Plan, focusing on addressing the community's solid and hazardous waste issues and educating the community on a variety of environmental issues. The IGAP program reported its top three accomplishments as: (1) establishment of a department within the tribal government of St. Paul to address current and ongoing environmental issues in the community; (2) signing the Tribal Environmental Agreement with EPA in 2000, and (3) establishment and implantation of a recycling program.

**Funding mechanism:** IGAP grants go directly from EPA to the Alaska Native tribes and tribal consortia that run the programs.

**Restrictions on administrative costs:** Grantees use indirect cost rates approved by the Department of the Interior where a grantee has such a rate.<sup>1</sup> Where a grantee does not have a rate, it typically includes all administrative costs as direct costs, negotiating with EPA the portion of overhead costs allocable to IGAP. There is no programwide limit on total administrative costs. Direct and indirect administrative costs are provided as part of the grant, rather than given by EPA in addition to the IGAP grant.

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<sup>1</sup>An indirect cost rate is established for an entity by determining the percentage that indirect costs represent of all costs. The indirect cost rate is then used by federal agencies to determine how much money from a federal grant the entity will recover for the indirect costs of administering the grant.

# Reproduction of NAHASDA Survey to Native Villages

**U.S. Government Accountability Office**

**Survey of Alaska Native Villages on Housing Developed with NAHASDA funds in Alaska Native Communities**

**Introduction**

In response to a mandate contained in the Consolidated Appropriations Act of 2004, the Government Accountability Office (GAO) is conducting a survey of all entities in Alaska who have received grants under the Native American Housing Assistance and Self Determination Act of 1996 (NAHASDA), as amended. GAO is collecting this information from grant recipients who received funds between 1998 and 2003 and used them to construct, acquire, or rehabilitate single-family units or multi-family properties during that period.

The purpose of this survey is to determine the cost of housing newly constructed, acquired, or rehabilitated with NAHASDA grants in Alaska Native communities, **including when NAHASDA grants were used in combination with other sources of funding**. Results of the survey will be used in our report to the Congress, and will help them understand the costs of providing affordable housing in Alaska Native communities.

**Instructions**

Please complete the following sections on housing activities pertaining to: new construction of single-family units, rehabilitation of existing single-family units with acquisition, rehabilitation of existing single-family units without acquisition, and completion of multi-family property development.

Please return the questionnaire **within 2 weeks** of receipt. Complete this survey in MS Word, save it, and return it to this email address as an attachment. If you prefer to print out the questionnaire and fax return or post-mail it, you may. You may contact us for a business reply envelope, or you may fax or mail the questionnaire back to us at:

Dan Meyer  
U.S. Government Accountability Office  
200 W. Adams Street, #700  
Chicago, IL 60606  
(202) 512-2502 or (202) 512-2514 FAX

Please also retain a copy of the questionnaire for your records.

If you have any questions please contact: Brodi Fontenot (202-512-8279, fontenotb@gao.gov) or James Vitarello (202-512-5119, vitarelloj@gao.gov).

Please use your mouse to navigate throughout the questionnaire by clicking on the gray-shaded answer box or check box that you wish to answer. To answer a question that requires you to write a number, click on the answer box (  ) and begin typing. Do **not** enter dollar signs or commas. Do **not** use the enter key to end a line. To select a check box (  ), click or double-click on the center of the box. To change or deselect a response, click on the check box and the "x" should disappear.

Do not "unlock" this document, because it will erase your answers. If you wish to include comments about a particular question(s), include the comment with the question number at the end of the questionnaire.

While completing this survey, please save your document often as you work.

**Thank you very much for your time and assistance!**

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**Appendix XVII**  
**Reproduction of NAHASDA Survey to Native Villages**

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**1. Please provide the following information for the individual(s) completing this questionnaire, so that we may call to clarify information if necessary. *The answer boxes will expand.***

\_\_\_\_\_  
Name

\_\_\_\_\_  
Title

\_\_\_\_\_  
Village

\_\_\_\_\_  
Address

\_\_\_\_\_  
Address

\_\_\_\_\_  
(Area Code) Phone Number

\_\_\_\_\_  
E-mail Address

**The following sections will ask you about:**

- New construction of single-family units (Question #2)**
- Rehabilitation of existing single-family units with acquisition (Question #3)**
- Rehabilitation of existing single-family units without acquisition (Question #4)**
- Completion of multi-family property development (Questions #5-#7)**

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**Appendix XVII**  
**Reproduction of NAHASDA Survey to Native Villages**

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**NEW CONSTRUCTION OF SINGLE-FAMILY UNITS**

2. Single-family units are housing constructed in one to four unit buildings and may be either rented or owned homes. During calendar years 1998 through 2003, did your village complete any new construction of single-family units using NAHASDA funds exclusively or in combination with other funds? *Please check your response.*

- Yes, *Continue to Question 2a*
- No, *SKIP to Question 3*
- Don't know, *SKIP to Question 3*

**Appendix XVII  
 Reproduction of NAHASDA Survey to Native  
 Villages**

**2a. If yes, how many single-family units of the following sizes were completed, and what were the combined square footages and total development costs for all units for each calendar year? (Please enter numbers in each box, including "0" if none. Please do not enter commas.)**

Bedroom Size	Total Number of Completed Units by Bedroom Size (A unit is completed when it is available for occupancy.)	Combined Square Footage for All Completed Units by Bedroom Size	Total Development Costs by Bedroom Size (Includes costs for administration, planning, site acquisition, demolition, construction, and/or equipment and financing (including payment of carrying charges) and other necessary costs, such as shipping costs or the Alaska Building Energy Efficiency Standards (BEES) costs. Excludes off-site costs for water, sewers, and roads. Include all costs associated with unit completion even if some costs were incurred in previous calendar years.)
<i>Calendar Year of Completion: 1998 (January 1 to December 31)</i>			
1-Bedroom	units	Sq. Ft.	\$
2-Bedroom	units	Sq. Ft.	\$
3-Bedroom	units	Sq. Ft.	\$
4-Bedroom	units	Sq. Ft.	\$
<i>Calendar Year of Completion: 1999 (January 1 to December 31)</i>			
1-Bedroom	units	Sq. Ft.	\$
2-Bedroom	units	Sq. Ft.	\$
3-Bedroom	units	Sq. Ft.	\$
4-Bedroom	units	Sq. Ft.	\$
<i>Calendar Year of Completion: 2000 (January 1 to December 31)</i>			
1-Bedroom	units	Sq. Ft.	\$
2-Bedroom	units	Sq. Ft.	\$
3-Bedroom	units	Sq. Ft.	\$
4-Bedroom	units	Sq. Ft.	\$
<i>Calendar Year of Completion: 2001 (January 1 to December 31)</i>			
1-Bedroom	units	Sq. Ft.	\$
2-Bedroom	units	Sq. Ft.	\$
3-Bedroom	units	Sq. Ft.	\$
4-Bedroom	units	Sq. Ft.	\$
<i>Calendar Year of Completion: 2002 (January 1 to December 31)</i>			
1-Bedroom	units	Sq. Ft.	\$
2-Bedroom	units	Sq. Ft.	\$
3-Bedroom	units	Sq. Ft.	\$
4-Bedroom	units	Sq. Ft.	\$
<i>Calendar Year of Completion: 2003 (January 1 to December 31)</i>			
1-Bedroom	units	Sq. Ft.	\$
2-Bedroom	units	Sq. Ft.	\$
3-Bedroom	units	Sq. Ft.	\$
4-Bedroom	units	Sq. Ft.	\$

**REHABILITATION OF EXISTING SINGLE-FAMILY UNITS WITH ACQUISITION**

3. Single-family units are housing constructed in one to four unit buildings and may be either rented or owned homes. During calendar years 1998 through 2003, did your village complete any rehabilitation of existing single-family units where the unit(s) was/were acquired using NAHASDA funds exclusively or in combination with other funds? *Please check your response.*

- Yes, *Continue to Question 3a*
- No, *SKIP to Question 4*
- Don't know, *SKIP to Question 4*

**Appendix XVII  
 Reproduction of NAHASDA Survey to Native  
 Villages**

**3a. If yes, how many single-family units of the following sizes were completed, and what were the combined square footages and total development costs for all units for each calendar year? (Please enter numbers in each box, including "0" if none. Please do not enter commas.)**

Bedroom Size	Total Number of Completed Units by Bedroom Size (A unit is completed when it is available for occupancy.)	Combined Square Footage for All Completed Units by Bedroom Size	Total Development Costs by Bedroom Size (Includes costs for administration, planning, site acquisition, single-family unit acquisition, demolition, construction, and/or equipment and financing (including payment of carrying charges) and other necessary costs, such as shipping costs or the Alaska Building Energy Efficiency Standards (BEES) costs. Excludes off-site costs for water, sewers, and roads. Include <i>all</i> costs associated with unit completion <i>even if some costs were incurred in previous calendar years.</i> )	
			Sq. Ft.	\$
<i>Calendar Year of Completion: 1998 (January 1 to December 31)</i>				
1-Bedroom	units	Sq. Ft.	\$	
2-Bedroom	units	Sq. Ft.	\$	
3-Bedroom	units	Sq. Ft.	\$	
4-Bedroom	units	Sq. Ft.	\$	
<i>Calendar Year of Completion: 1999 (January 1 to December 31)</i>				
1-Bedroom	units	Sq. Ft.	\$	
2-Bedroom	units	Sq. Ft.	\$	
3-Bedroom	units	Sq. Ft.	\$	
4-Bedroom	units	Sq. Ft.	\$	
<i>Calendar Year of Completion: 2000 (January 1 to December 31)</i>				
1-Bedroom	units	Sq. Ft.	\$	
2-Bedroom	units	Sq. Ft.	\$	
3-Bedroom	units	Sq. Ft.	\$	
4-Bedroom	units	Sq. Ft.	\$	
<i>Calendar Year of Completion: 2001 (January 1 to December 31)</i>				
1-Bedroom	units	Sq. Ft.	\$	
2-Bedroom	units	Sq. Ft.	\$	
3-Bedroom	units	Sq. Ft.	\$	
4-Bedroom	units	Sq. Ft.	\$	
<i>Calendar Year of Completion: 2002 (January 1 to December 31)</i>				
1-Bedroom	units	Sq. Ft.	\$	
2-Bedroom	units	Sq. Ft.	\$	
3-Bedroom	units	Sq. Ft.	\$	
4-Bedroom	units	Sq. Ft.	\$	
<i>Calendar Year of Completion: 2003 (January 1 to December 31)</i>				
1-Bedroom	units	Sq. Ft.	\$	
2-Bedroom	units	Sq. Ft.	\$	
3-Bedroom	units	Sq. Ft.	\$	
4-Bedroom	units	Sq. Ft.	\$	

REHABILITATION OF EXISTING SINGLE-FAMILY UNITS WITHOUT ACQUISITION

4. Single-family units are housing constructed in one to four unit buildings and may be either rented or owned homes. During calendar years 1998 through 2003, did your village complete any rehabilitation of existing single-family units where the rehabilitation did not require the purchase of the unit(s) using NAHASDA funds exclusively or in combination with other funds? *Please check your response.*

- Yes, *Continue to Question 4a*
- No, *SKIP to Question 5*
- Don't know, *SKIP to Question 5*



**Appendix XVII  
 Reproduction of NAHASDA Survey to Native  
 Villages**

**4a. If yes, for each calendar year, how many single-family units were completed, and what were total development costs for all units?** (Please enter numbers in each box, including "0" if none. Please do not enter commas.)

Calendar Year of Completion (January 1 to December 31)	Total Number of Completed Units (A unit is completed when it is available for occupancy.)	Total Development Costs (Includes costs for administration, planning, site acquisition, demolition, construction, and/or equipment and financing (including payment of carrying charges) and other necessary costs, such as shipping costs or the Alaska Building Energy Efficiency Standards (BEES) costs. Excludes off-site costs for water, sewers, and roads. Include <i>all</i> costs associated with unit completion <i>even if some costs were incurred in previous calendar years.</i> )	
<i>Rehabilitation Costing \$20,000 or More Per Unit</i>			
1998		units	\$
1999		units	\$
2000		units	\$
2001		units	\$
2002		units	\$
2003		units	\$
<i>Rehabilitation Costing Less Than \$20,000 Per Unit</i>			
1998		units	\$
1999		units	\$
2000		units	\$
2001		units	\$
2002		units	\$
2003		units	\$

**Appendix XVII  
 Reproduction of NAHASDA Survey to Native  
 Villages**

**COMPLETION OF MULTI-FAMILY PROPERTY DEVELOPMENT**

**5. Multi-family properties are housing structures with 5 or more units that may be either rented or owned homes. During calendar years 1998 through 2003, did your village complete any new construction of multi-family properties using NAHASDA funds exclusively or in combination with other funds? Please check your response.**

- Yes, Continue to Question 5a
- No, SKIP to Question 6
- Don't know, SKIP to Question 6

**5a. If yes, for each calendar year, how many multi-family properties were completed, and what were the combined square footages and total development costs for all properties? (Please enter numbers in each box, including "0" if none. Please do not enter commas.)**

Calendar Year of Completion (January 1 to December 31)	Total Number of Completed Multi-family Properties (A multifamily property is completed when it is available for occupancy.)	Combined Square Footage for All Properties	Total Development Costs for All Properties (Includes costs for administration, planning, site acquisition, demolition, construction, and/or equipment and financing (including payment of carrying charges) and other necessary costs, such as shipping costs or the Alaska Building Energy Efficiency Standards (BEES) costs. Excludes off-site costs for water, sewers, and roads. Include <i>all</i> costs associated with unit completion even if some costs were incurred in previous calendar years.)
1998	properties	Sq. Ft.	\$
1999	properties	Sq. Ft.	\$
2000	properties	Sq. Ft.	\$
2001	properties	Sq. Ft.	\$
2002	properties	Sq. Ft.	\$
2003	properties	Sq. Ft.	\$

**Appendix XVII  
 Reproduction of NAHASDA Survey to Native  
 Villages**

**6. Multi-family properties are housing structures with 5 or more units that may be either rented or owned homes. During calendar years 1998 through 2003, did your village complete any rehabilitation of existing multi-family properties where property was acquired using NAHASDA funds either exclusively or in combination with other funds? Please check your response.**

- Yes, Continue to Question 6a
- No, SKIP to Question 7
- Don't know, SKIP to Question 7

**6a. If yes, for each calendar year, how many multi-family properties were completed, and what were the combined square footages and total development costs for all properties? (Please enter numbers in each box, including "0" if none. Please do not enter commas.)**

Calendar Year of Completion (January 1 to December 31)	Total Number of Completed Multi-family Properties (A multifamily property is completed when it is available for occupancy.)	Combined Square Footage for All Properties	Total Development Costs for All Properties (Includes costs for administration, planning, multi-family property acquisition, site acquisition, demolition, construction, and/or equipment and financing (including payment of carrying charges) and other necessary costs, such as shipping costs or the Alaska Building Energy Efficiency Standards (BEES) costs. Excludes off-site costs for water, sewers, and roads. Include <i>all</i> costs associated with unit completion <i>even if some costs were incurred in previous calendar years.</i> )
1998	properties	Sq. Ft.	\$
1999	properties	Sq. Ft.	\$
2000	properties	Sq. Ft.	\$
2001	properties	Sq. Ft.	\$
2002	properties	Sq. Ft.	\$
2003	properties	Sq. Ft.	\$

**Appendix XVII  
 Reproduction of NAHASDA Survey to Native  
 Villages**

**7. Multi-family properties are housing structures with 5 or more units that may be either rented or owned homes. During calendar years 1998 through 2003, did your village complete any rehabilitation of existing multi-family properties where the rehabilitation did not require the purchase of property using NAHASDA funds either exclusively or in combination with other funds? Please check your response.**

- Yes, Continue to Question 7a
- No, SKIP to Question 8
- Don't know, SKIP to Question 8

**7a. If yes, for each calendar year, how many multi-family properties were completed, and what were total development costs for all properties? (Please enter numbers in each box, including "0" if none. Please do not enter commas.)**

Calendar Year of Completion (January 1 to December 31)	Total Number of Completed Multi-family Properties (A multifamily property is completed when it is available for occupancy.)	Total Development Costs for All Properties (Includes costs for administration, planning, site acquisition, demolition, construction, and/or equipment and financing (including payment of carrying charges) and other necessary costs, such as shipping costs or the Alaska Building Energy Efficiency Standards (BEES) costs. Excludes off-site costs for water, sewers, and roads. Include all costs associated with unit completion even if some costs were incurred in previous calendar years.)
1998	properties	\$
1999	properties	\$
2000	properties	\$
2001	properties	\$
2002	properties	\$
2003	properties	\$

**Appendix XVII  
 Reproduction of NAHASDA Survey to Native  
 Villages**

**8. Did your village construct, acquire, or rehabilitate single-family units and/or multi-family properties in the geographic area(s) corresponding to the following ANCSA non-profit regions during calendar years 1998 through 2003? Please check all that apply.**

- Aleutian Pribilof Islands Association
- Arctic Slope Native Association
- Association of Village Council Presidents
- Bristol Bay Native Association
- Central Council
- Chugachmiut
- Cook Inlet Tribal Council
- Copper River Native Association
- Fairbanks Native Association
- Kawerak, Incorporated
- Kodiak Area Native Association
- Maniilaq Association
- Other, please specify: \_\_\_\_\_

**9. In what Annual Performance Report (APR) "Table II Activity" did your village include costs for your staff and administration for each of the following years? Please check one for each row**

Reporting Year	Development	Planning and Administration	Other	Don't know
1998	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/> <i>Please, specify:</i>	<input type="checkbox"/>
1999	<input type="checkbox"/>	<input type="checkbox"/>	____ <input type="checkbox"/> <i>Please, specify:</i>	<input type="checkbox"/>
2000	<input type="checkbox"/>	<input type="checkbox"/>	____ <input type="checkbox"/> <i>Please, specify:</i>	<input type="checkbox"/>
2001	<input type="checkbox"/>	<input type="checkbox"/>	____ <input type="checkbox"/> <i>Please, specify:</i>	<input type="checkbox"/>
2002	<input type="checkbox"/>	<input type="checkbox"/>	____ <input type="checkbox"/> <i>Please, specify:</i>	<input type="checkbox"/>
2003	<input type="checkbox"/>	<input type="checkbox"/>	____ <input type="checkbox"/> <i>Please, specify:</i>	<input type="checkbox"/>

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**Appendix XVII**  
**Reproduction of NAHASDA Survey to Native Villages**

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**10. Please provide any additional comments below. *The answer box will expand.***

\_\_\_\_\_

# Reproduction of NAHASDA Survey to Tribally Designated Housing Entities

U.S. Government Accountability Office

Survey of Alaska Tribally Designated Housing Entities on Housing Developed and Modernized with NAHASDA funds in Alaska Native Communities

**Introduction**

In response to a mandate contained in the Consolidated Appropriations Act of 2004, the Government Accountability Office (GAO) is conducting a survey of all entities in Alaska who have received grants under the Native American Housing Assistance and Self Determination Act of 1996 (NAHASDA), as amended. GAO is collecting this information from grant recipients who received funds between 1998 and 2003 and used them to construct, acquire, rehabilitate, or modernize single-family units or multi-family properties during that period.

The purpose of this survey is to determine the cost of housing newly constructed, acquired, rehabilitated, or modernized with NAHASDA grants in Alaska Native communities, **including when NAHASDA grants were used in combination with other sources of funding**. Results of the survey will be used in our report to the Congress, and will help them understand the costs of providing affordable housing in Alaska Native communities.

**Instructions**

Please complete the following sections on housing activities pertaining to: new construction of single-family units, rehabilitation of existing single-family units with acquisition, rehabilitation of existing single-family units without acquisition, modernization of single-family units, and completion of multi-family property development.

Please return the questionnaire **within 2 weeks** of receipt. Complete this survey in MS Word, save it, and return it to this email address as an attachment. If you prefer to print out the questionnaire and fax return or post-mail it, you may. You may contact us for a business reply envelope, or you may fax or mail the questionnaire back to us at:

Dan Meyer  
U.S. Government Accountability Office  
200 W. Adams Street, #700  
Chicago, IL 60606  
(202) 512-2502 or (202) 512-2514 FAX

Please also retain a copy of the questionnaire for your records.

If you have any questions please contact: Brodi Fontenot (202-512-8279, fontenotb@gao.gov) or James Vitarello (202-512-5119, vitarelloj@gao.gov).

Please use your mouse to navigate throughout the questionnaire by clicking on the gray-shaded answer box or check box that you wish to answer. To answer a question that requires you to write a number, click on the answer box (  ) and begin typing. Do **not** enter dollar signs or commas. Do **not** use the enter key to end a line. To select a check box (  ), click or double-click on the center of the box. To change or deselect a response, click on the check box and the "x" should disappear.

Do not "unlock" this document, because it will erase your answers. If you wish to include comments about a particular question(s), include the comment with the question number at the end of the questionnaire.

While completing this survey, please save your document often as you work.

**Thank you very much for your time and assistance!**

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**Appendix XVIII**  
**Reproduction of NAHASDA Survey to**  
**Tribally Designated Housing Entities**

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**1. Please provide the following information for the individual(s) completing this questionnaire, so that we may call to clarify information if necessary. *The answer boxes will expand.***

\_\_\_\_\_  
Name

\_\_\_\_\_  
Title

\_\_\_\_\_  
Tribally Designated Housing Entity

\_\_\_\_\_  
Address

\_\_\_\_\_  
Address

\_\_\_\_\_  
(Area Code) Phone Number

\_\_\_\_\_  
E-mail Address

**The following sections will ask you about:**

- New construction of single-family units (Question #2)**
- Rehabilitation of existing single-family units with acquisition (Question #3)**
- Rehabilitation of existing single-family units without acquisition (Question #4)**
- Modernization of single-family units (Question #5)**
- Completion of multi-family property development (Questions #6-#9)**



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**Appendix XVIII**  
**Reproduction of NAHASDA Survey to**  
**Tribally Designated Housing Entities**

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**NEW CONSTRUCTION OF SINGLE-FAMILY UNITS**

2. Single-family units are housing constructed in one to four unit buildings and may be either rented or owned homes. During calendar years 1998 through 2003, did your Tribally Designated Housing Entity (TDHE) complete any new construction of single-family units using NAHASDA funds exclusively or in combination with other funds? *Please check your response.*

- Yes, *Continue to Question 2a*
- No, *SKIP to Question 3*
- Don't know, *SKIP to Question 3*

**Appendix XVIII  
 Reproduction of NAHASDA Survey to  
 Tribally Designated Housing Entities**

**2a. If yes, how many single-family units of the following sizes were completed, and what were the combined square footages and total development costs for all units for each calendar year? (Please enter numbers in each box, including "0" if none. Please do not enter commas.)**

Bedroom Size	Total Number of Completed Units by Bedroom Size (A unit is completed when it is available for occupancy.)	Combined Square Footage for All Completed Units by Bedroom Size	Total Development Costs by Bedroom Size (Includes costs for administration, planning, site acquisition, demolition, construction, and/or equipment and financing (including payment of carrying charges) and other necessary costs, such as shipping costs or the Alaska Building Energy Efficiency Standards (BEES) costs. Excludes off-site costs for water, sewers, and roads. Include all costs associated with unit completion even if some costs were incurred in previous calendar years.)
<i>Calendar Year of Completion: 1998 (January 1 to December 31)</i>			
1-Bedroom	units	Sq. Ft.	\$
2-Bedroom	units	Sq. Ft.	\$
3-Bedroom	units	Sq. Ft.	\$
4-Bedroom	units	Sq. Ft.	\$
<i>Calendar Year of Completion: 1999 (January 1 to December 31)</i>			
1-Bedroom	units	Sq. Ft.	\$
2-Bedroom	units	Sq. Ft.	\$
3-Bedroom	units	Sq. Ft.	\$
4-Bedroom	units	Sq. Ft.	\$
<i>Calendar Year of Completion: 2000 (January 1 to December 31)</i>			
1-Bedroom	units	Sq. Ft.	\$
2-Bedroom	units	Sq. Ft.	\$
3-Bedroom	units	Sq. Ft.	\$
4-Bedroom	units	Sq. Ft.	\$
<i>Calendar Year of Completion: 2001 (January 1 to December 31)</i>			
1-Bedroom	units	Sq. Ft.	\$
2-Bedroom	units	Sq. Ft.	\$
3-Bedroom	units	Sq. Ft.	\$
4-Bedroom	units	Sq. Ft.	\$
<i>Calendar Year of Completion: 2002 (January 1 to December 31)</i>			
1-Bedroom	units	Sq. Ft.	\$
2-Bedroom	units	Sq. Ft.	\$
3-Bedroom	units	Sq. Ft.	\$
4-Bedroom	units	Sq. Ft.	\$
<i>Calendar Year of Completion: 2003 (January 1 to December 31)</i>			
1-Bedroom	units	Sq. Ft.	\$
2-Bedroom	units	Sq. Ft.	\$
3-Bedroom	units	Sq. Ft.	\$
4-Bedroom	units	Sq. Ft.	\$

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**Appendix XVIII  
Reproduction of NAHASDA Survey to  
Tribally Designated Housing Entities**

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**REHABILITATION OF EXISTING SINGLE-FAMILY UNITS WITH ACQUISITION**

3. Single-family units are housing constructed in one to four unit buildings and may be either rented or owned homes. During calendar years 1998 through 2003, did your Tribally Designated Housing Entity (TDHE) complete any rehabilitation of existing single-family units where the unit(s) was/were acquired using NAHASDA funds exclusively or in combination with other funds? *Please check your response.*

- Yes, *Continue to Question 3a*
- No, *SKIP to Question 4*
- Don't know, *SKIP to Question 4*

**Appendix XVIII  
 Reproduction of NAHASDA Survey to  
 Tribally Designated Housing Entities**

**3a. If yes, how many single-family units of the following sizes were completed, and what were the combined square footages and total development costs for all units for each calendar year? (Please enter numbers in each box, including "0" if none. Please do not enter commas.)**

Bedroom Size	Total Number of Completed Units by Bedroom Size (A unit is completed when it is available for occupancy.)	Combined Square Footage for All Completed Units by Bedroom Size	Total Development Costs by Bedroom Size (Includes costs for administration, planning, site acquisition, single-family unit acquisition, demolition, construction, and/or equipment and financing (including payment of carrying charges) and other necessary costs, such as shipping costs or the Alaska Building Energy Efficiency Standards (BEES) costs. Excludes off-site costs for water, sewers, and roads. Include <i>all</i> costs associated with unit completion <i>even if some costs were incurred in previous calendar years.</i> )	
			Sq. Ft.	\$
<i>Calendar Year of Completion: 1998 (January 1 to December 31)</i>				
1-Bedroom	units	Sq. Ft.	\$	
2-Bedroom	units	Sq. Ft.	\$	
3-Bedroom	units	Sq. Ft.	\$	
4-Bedroom	units	Sq. Ft.	\$	
<i>Calendar Year of Completion: 1999 (January 1 to December 31)</i>				
1-Bedroom	units	Sq. Ft.	\$	
2-Bedroom	units	Sq. Ft.	\$	
3-Bedroom	units	Sq. Ft.	\$	
4-Bedroom	units	Sq. Ft.	\$	
<i>Calendar Year of Completion: 2000 (January 1 to December 31)</i>				
1-Bedroom	units	Sq. Ft.	\$	
2-Bedroom	units	Sq. Ft.	\$	
3-Bedroom	units	Sq. Ft.	\$	
4-Bedroom	units	Sq. Ft.	\$	
<i>Calendar Year of Completion: 2001 (January 1 to December 31)</i>				
1-Bedroom	units	Sq. Ft.	\$	
2-Bedroom	units	Sq. Ft.	\$	
3-Bedroom	units	Sq. Ft.	\$	
4-Bedroom	units	Sq. Ft.	\$	
<i>Calendar Year of Completion: 2002 (January 1 to December 31)</i>				
1-Bedroom	units	Sq. Ft.	\$	
2-Bedroom	units	Sq. Ft.	\$	
3-Bedroom	units	Sq. Ft.	\$	
4-Bedroom	units	Sq. Ft.	\$	
<i>Calendar Year of Completion: 2003 (January 1 to December 31)</i>				
1-Bedroom	units	Sq. Ft.	\$	
2-Bedroom	units	Sq. Ft.	\$	
3-Bedroom	units	Sq. Ft.	\$	
4-Bedroom	units	Sq. Ft.	\$	

REHABILITATION OF EXISTING SINGLE-FAMILY UNITS WITHOUT ACQUISITION

4. Single-family units are housing constructed in one to four unit buildings and may be either rented or owned homes. During calendar years 1998 through 2003, did your Tribally Designated Housing Entity (TDHE) complete any rehabilitation of existing single-family units where the rehabilitation did not require the purchase of the unit(s) using NAHASDA funds exclusively or in combination with other funds? (Do not include modernized U.S. Housing Act of 1937 single-family units.) *Please check your response.*

- Yes, *Continue to Question 4a*
- No, *SKIP to Question 5*
- Don't know, *SKIP to Question 5*

**Appendix XVIII  
 Reproduction of NAHASDA Survey to  
 Tribally Designated Housing Entities**

**4a. If yes, for each calendar year, how many single-family units were completed, and what were the total development costs for all units?** (Please enter numbers in each box, including "0" if none. Please do not enter commas.)

Calendar Year of Completion (January 1 to December 31)	Total Number of Completed Units (A unit is completed when it is available for occupancy.)	Total Development Costs (Includes costs for administration, planning, site acquisition, demolition, construction, and/or equipment and financing (including payment of carrying charges) and other necessary costs, such as shipping costs or the Alaska Building Energy Efficiency Standards (BEES) costs. Excludes off-site costs for water, sewers, and roads. Include <i>all</i> costs associated with unit completion <i>even if some costs were incurred in previous calendar years.</i> )	
<i>Rehabilitation Costing \$20,000 or More Per Unit</i>			
1998		units	\$
1999		units	\$
2000		units	\$
2001		units	\$
2002		units	\$
2003		units	\$
<i>Rehabilitation Costing Less Than \$20,000 Per Unit</i>			
1998		units	\$
1999		units	\$
2000		units	\$
2001		units	\$
2002		units	\$
2003		units	\$

**MODERNIZATION OF U.S. HOUSING ACT OF 1937 SINGLE-FAMILY UNITS**

**5. Single-family units are housing constructed in one to four unit buildings and may be either rented or owned homes. During calendar years 1998 through 2003, did your Tribally Designated Housing Entity (TDHE) complete any modernization of U.S. Housing Act of 1937 single-family units using NAHASDA funds exclusively or in combination with other funds? (Do not include rehabilitated single-family units.) Please check your response.**

- Yes, *Continue to Question 5a*
- No, *SKIP to Question 6*
- Don't know, *SKIP to Question 6*

**Appendix XVIII  
 Reproduction of NAHASDA Survey to  
 Tribally Designated Housing Entities**

**5a. If yes, for each calendar year, how many single-family units were completed, and what were the total development costs for all units?** (Please enter numbers in each box, including "0" if none. Please do not enter commas.)

Calendar Year of Completion (January 1 to December 31)	Total Number of Completed Units (A unit is completed when it is available for occupancy.)	Total Development Costs (Includes costs for administration, planning, site acquisition, demolition, construction, and/or equipment and financing (including payment of carrying charges) and other necessary costs, such as shipping costs or the Alaska Building Energy Efficiency Standards (BEES) costs. Excludes off-site costs for water, sewers, and roads. Include <i>all</i> costs associated with unit completion <i>even if some costs were incurred in previous calendar years.</i> )	
<i>Modernization Costing \$20,000 or More Per Unit</i>			
1998		units	\$
1999		units	\$
2000		units	\$
2001		units	\$
2002		units	\$
2003		units	\$
<i>Modernization Costing Less Than \$20,000 Per Unit</i>			
1998		units	\$
1999		units	\$
2000		units	\$
2001		units	\$
2002		units	\$
2003		units	\$



**Appendix XVIII  
 Reproduction of NAHASDA Survey to  
 Tribally Designated Housing Entities**

**COMPLETION OF MULTI-FAMILY PROPERTY DEVELOPMENT**

**6. Multi-family properties are housing structures with 5 or more units that may be either rented or owned homes. During calendar years 1998 through 2003, did your Tribally Designated Housing Entity (TDHE) complete any new construction of multi-family properties using NAHASDA funds exclusively or in combination with other funds? Please check your response.**

- Yes, Continue to Question 6a
- No, SKIP to Question 7
- Don't know, SKIP to Question 7

**6a. If yes, for each calendar year, how many multi-family properties were completed, and what were the combined square footages and total development costs for all properties? (Please enter numbers in each box, including "0" if none. Please do not enter commas.)**

Calendar Year of Completion (January 1 to December 31)	Total Number of Completed Multi-family Properties (A multifamily property is completed when it is available for occupancy.)	Combined Square Footage for All Properties	Total Development Costs for All Properties (Includes costs for administration, planning, site acquisition, demolition, construction, and/or equipment and financing (including payment of carrying charges) and other necessary costs, such as shipping costs or the Alaska Building Energy Efficiency Standards (BEES) costs. Excludes off-site costs for water, sewers, and roads. Include <i>all</i> costs associated with unit completion <i>even if some costs were incurred in previous calendar years.</i> )
1998	properties	Sq. Ft.	\$
1999	properties	Sq. Ft.	\$
2000	properties	Sq. Ft.	\$
2001	properties	Sq. Ft.	\$
2002	properties	Sq. Ft.	\$
2003	properties	Sq. Ft.	\$

**Appendix XVIII  
 Reproduction of NAHASDA Survey to  
 Tribally Designated Housing Entities**

**7. Multi-family properties are housing structures with 5 or more units that may be either rented or owned homes. During calendar years 1998 through 2003, did your Tribally Designated Housing Entity (TDHE) complete any rehabilitation of existing multi-family properties where property was acquired using NAHASDA funds either exclusively or in combination with other funds? Please check your response.**

- Yes, Continue to Question 7a
- No, SKIP to Question 8
- Don't know, SKIP to Question 8

**7a. If yes, for each calendar year, how many multi-family properties were completed, and what were the combined square footages and total development costs for all properties? (Please enter numbers in each box, including "0" if none. Please do not enter commas.)**

Calendar Year of Completion (January 1 to December 31)	Total Number of Completed Multi-family Properties (A multifamily property is completed when it is available for occupancy.)	Combined Square Footage for All Properties	Total Development Costs for All Properties (Includes costs for administration, planning, multi-family property acquisition, site acquisition, demolition, construction, and/or equipment and financing (including payment of carrying charges) and other necessary costs, such as shipping costs or the Alaska Building Energy Efficiency Standards (BEES) costs. Excludes off-site costs for water, sewers, and roads. Include all costs associated with unit completion even if some costs were incurred in previous calendar years.)
1998	properties	Sq. Ft.	\$
1999	properties	Sq. Ft.	\$
2000	properties	Sq. Ft.	\$
2001	properties	Sq. Ft.	\$
2002	properties	Sq. Ft.	\$
2003	properties	Sq. Ft.	\$

**Appendix XVIII  
 Reproduction of NAHASDA Survey to  
 Tribally Designated Housing Entities**

**8. Multi-family properties are housing structures with 5 or more units that may be either rented or owned homes. During calendar years 1998 through 2003, did your Tribally Designated Housing Entity (TDHE) complete any rehabilitation of existing multi-family properties where the rehabilitation did not require the purchase of property using NAHASDA funds either exclusively or in combination with other funds? (Do not include modernized U.S. Housing Act of 1937 multi-family properties.) Please check your response.**

- Yes, Continue to Question 8a
- No, SKIP to Question 9
- Don't know, SKIP to Question 9

**8a. If yes, for each calendar year, how many multi-family properties were completed, and what were the total development costs for all properties? (Please enter numbers in each box, including "0" if none. Please do not enter commas.)**

Calendar Year of Completion (January 1 to December 31)	Total Number of Completed Multi-family Properties (A multifamily property is completed when it is available for occupancy.)	Total Development Costs for All Properties (Includes costs for administration, planning, site acquisition, demolition, construction, and/or equipment and financing (including payment of carrying charges) and other necessary costs, such as shipping costs or the Alaska Building Energy Efficiency Standards (BEES) costs. Excludes off-site costs for water, sewers, and roads. Include <i>all</i> costs associated with unit completion <i>even if some costs were incurred in previous calendar years.</i> )
1998	properties	\$
1999	properties	\$
2000	properties	\$
2001	properties	\$
2002	properties	\$
2003	properties	\$

**Appendix XVIII  
 Reproduction of NAHASDA Survey to  
 Tribally Designated Housing Entities**

**9. Multi-family properties are housing structures with 5 or more units that may be either rented or owned homes. During calendar years 1998 through 2003, did your Tribally Designated Housing Entity (TDHE) complete any modernization of U.S. Housing Act of 1937 multi-family properties using NAHASDA funds either exclusively or in combination with other funds? (Do not include rehabilitated multi-family properties.) Please check your response.**

- Yes, Continue to Question 9a
- No, SKIP to Question 10
- Don't know, SKIP to Question 10

**9a. If yes, for each calendar year, how many multi-family properties were completed, and what were the total development costs for all properties? (Please enter numbers in each box, including "0" if none. Please do not enter commas.)**

Calendar Year of Completion (January 1 to December 31)	Total Number of Completed Multi-family Properties (A multifamily property is completed when it is available for occupancy.)	Total Development Costs for All Properties (Includes costs for administration, planning, site acquisition, demolition, construction, and/or equipment and financing (including payment of carrying charges) and other necessary costs, such as shipping costs or the Alaska Building Energy Efficiency Standards (BEES) costs. Excludes off-site costs for water, sewers, and roads. Include all costs associated with unit completion even if some costs were incurred in previous calendar years.)
1998	properties	\$
1999	properties	\$
2000	properties	\$
2001	properties	\$
2002	properties	\$
2003	properties	\$

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**Appendix XVIII**  
**Reproduction of NAHASDA Survey to**  
**Tribally Designated Housing Entities**

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**10. Did your Tribally Designated Housing Entity (TDHE) construct, acquire, rehabilitate, or modernize single-family units and/or multi-family properties in the geographic area(s) corresponding to the following ANCSA non-profit regions during calendar years 1998 through 2003? Please check all that apply.**

- Aleutian Pribilof Islands Association
- Arctic Slope Native Association
- Association of Village Council Presidents
- Bristol Bay Native Association
- Central Council
- Chugachmiut
- Cook Inlet Tribal Council
- Copper River Native Association
- Fairbanks Native Association
- Kawerak, Incorporated
- Kodiak Area Native Association
- Maniilaq Association
- Other, please specify: \_\_\_\_\_

**Appendix XVIII**  
**Reproduction of NAHASDA Survey to**  
**Tribally Designated Housing Entities**

**11. In what Annual Performance Report (APR) "Table II Activity" did your Tribally Designated Housing Entity (TDHE) include costs for your staff and administration for each of the following years? Please check one for each row**

Reporting Year	Development	Planning and Administration	Other	Don't know
1998	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/> <i>Please, specify:</i>	<input type="checkbox"/>
1999	<input type="checkbox"/>	<input type="checkbox"/>	____ <input type="checkbox"/> <i>Please, specify:</i>	<input type="checkbox"/>
2000	<input type="checkbox"/>	<input type="checkbox"/>	____ <input type="checkbox"/> <i>Please, specify:</i>	<input type="checkbox"/>
2001	<input type="checkbox"/>	<input type="checkbox"/>	____ <input type="checkbox"/> <i>Please, specify:</i>	<input type="checkbox"/>
2002	<input type="checkbox"/>	<input type="checkbox"/>	____ <input type="checkbox"/> <i>Please, specify:</i>	<input type="checkbox"/>
2003	<input type="checkbox"/>	<input type="checkbox"/>	____ <input type="checkbox"/> <i>Please, specify:</i>	<input type="checkbox"/>

**12. Please provide any additional comments below. The answer box will expand.**

# Comments from the Department of Commerce



**THE DEPUTY SECRETARY OF COMMERCE**  
Washington, D.C. 20230

July 15, 2005

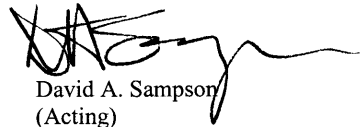
Mr. William Shear  
Director, Financial Markets  
and Community Investments  
Government Accountability Office  
441 G Street, NW  
Washington, DC 20548

Dear Mr. Shear:

Thank you for the opportunity to comment on the draft report entitled *Federal Assistance to Alaska Native Villages: Recent Federal Assistance Exceeded \$3 Billion, With Most Provided to Regional Nonprofits* (GAO-05-719).

We have reviewed the draft report and found all representations regarding EDA programs and financial assistance to be accurate. The Department of Commerce has no further comments to make on this report.

Sincerely,



David A. Sampson  
(Acting)

# Comments from the Department of Health and Human Services



DEPARTMENT OF HEALTH & HUMAN SERVICES

Office of Inspector General

Washington, D.C. 20201

JUL 27 2005

Mr. William Shear  
Director, Financial Markets  
and Community Investment  
U.S. Government Accountability Office  
Washington, DC 20548

Dear Mr. Shear:

Enclosed are the Department's comments on the U.S. Government Accountability Office's (GAO's) draft report entitled, "Alaska Native Villages: Recent Federal Assistance Exceeded \$3 Billion, With Most Provided to Regional Nonprofits" (GAO-05-719). These comments represent the tentative position of the Department and are subject to reevaluation when the final version of this report is received.

The Department provided several technical comments directly to your staff.

The Department appreciates the opportunity to comment on this draft report before its publication.

Sincerely,

A handwritten signature in cursive script that reads "Daniel R. Levinson".

Daniel R. Levinson  
Inspector General

Enclosure

The Office of Inspector General (OIG) is transmitting the Department's response to this draft report in our capacity as the Department's designated focal point and coordinator for U.S. Government Accountability Office reports. OIG has not conducted an independent assessment of these comments and therefore expresses no opinion on them.



**HHS COMMENTS ON THE U.S. GOVERNMENT ACCOUNTABILITY OFFICE'S DRAFT REPORT ENTITLED, "ALASKA NATIVE VILLAGES: RECENT FEDERAL ASSISTANCE EXCEEDED \$3 BILLION, WITH MOST PROVIDED TO REGIONAL NONPROFITS" (GAO-05-719)**

The Department of Health and Human Services (HHS) appreciates the opportunity to comment on the U.S. Government Accountability Office's (GAO) draft report.

**General Comments**

GAO's report focused on 13 programs which provide Alaska natives with assistance in health care, housing, infrastructure, and other areas. However, the report did not contain reference to HIV/AIDS activities or funding. HRSA provides health care related funding under the Secretary's Minority AIDS Initiative (MAI) Fund (\$50 million annually) but this was not included as one of the 13 programs in the report. The American Indian/Alaska Native (AI/AN) HIV/AIDS Education and Training for Healthcare Providers Serving Tribal Areas and Communities is a program funded by the Secretary's MAI Fund that benefits Alaska natives and provides special training for AI/AN health care providers through the AIDS Education and Training Centers. Fiscal year 2005 funding for this program was \$1,052,986.

# Comments from the Department of the Interior



United States Department of the Interior

OFFICE OF THE SECRETARY  
Washington, D.C. 20240



JUL 25 2005

Mr. William Shear  
Director, Financial Markets  
and Community Investment  
Government Accountability Office  
Washington, D.C. 20548

Dear Mr. Shear:

The Department of the Interior appreciates the opportunity to provide comments on the Government Accountability Office's draft report entitled *Alaska Native Villages: Recent Federal Assistance Exceeded \$3 Billion, With Most Provided to Regional Nonprofits* (report No. GAO-05-719).

As discussed in the draft report, specific information on the uses of the funds provided under the Tribal Self-Governance program was limited. Beyond the submission of an annual Single Audit Report, relevant statutory provisions do not require Self-Governance Indian Tribes and Consortia to submit additional information. It is true only a few of the tribes in Alaska have submitted information on funds spent by category, amount, tribal goals, and progress toward tribal goals for inclusion in the Tribal Self-Governance Annual Report to Congress. However, as indicated in the draft report, we think it is significant to note that starting in fiscal year 2005, the Self-Governance tribes in Alaska have agreed to provide Interior with Government Performance and Results Act information. We believe that the funding information reflected for the Tribal Self-Governance program is accurate.

We have also included as an enclosure, a technical comment for your consideration. If you require additional information, please contact Mr. William Sinclair, Director, Office of Self-Governance and Self-Determination at 202-219-0240.

Sincerely,

Assistant Secretary – Policy,  
Management and Budget

Enclosure

# GAO Contact and Staff Acknowledgments

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## GAO Contact

William B. Shear, (202) 512-8678

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## Staff Acknowledgments

In addition to those named above, Mark Egger, Brodi Fontenot, Curtis Groves, Cathy Hurley, May Lee, John Lord, Jeffery D. Malcolm, Grant Mallie, Alison Martin, John McGrail, Dan Meyer, Marc W. Molino, Andrew Nelson, David M. Pittman, Barbara M. Roesmann, James D. Vitarello, and Chuck Wilson also made key contributions to this report.

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