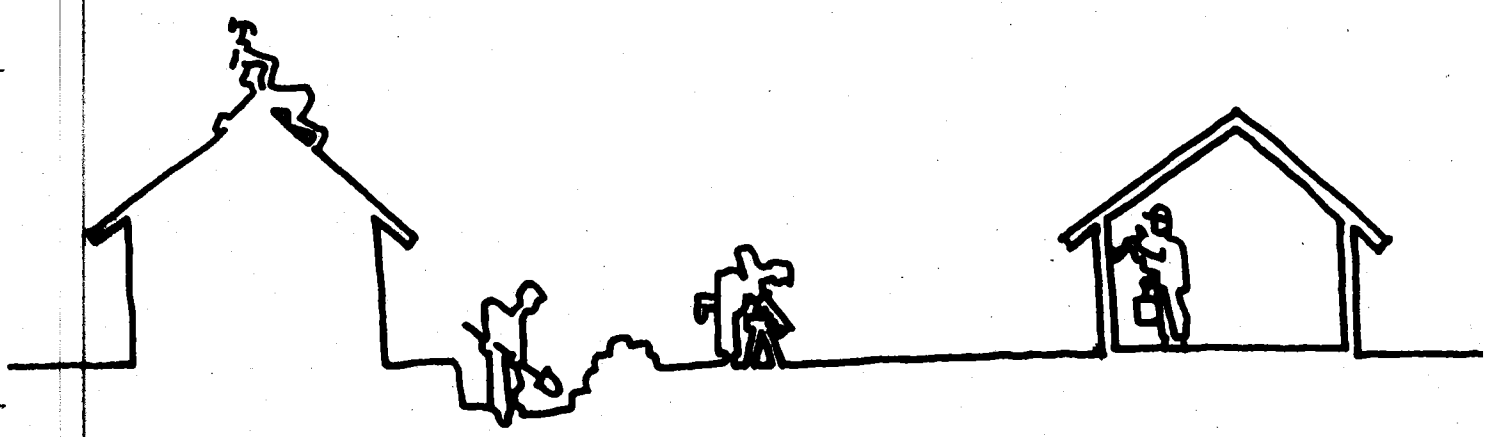
# TRIBAL HOUSING REHABILITATION





# A GUIDE TO

# TRIBAL HOUSING REHABILITATION PROGRAMS

U.S. DEPARTMENT OF HOUSING AND URBAN DEVELOPMENT
REGION IX
OFFICE OF PROGRAM PLANNING AND EVALUATION

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## ACKNOWLEDGEMENTS

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The graphics were drawn by George Coates and Gary Hanes, architects in the Housing Production Division of the Office of Indian Programs.

# I. INTRODUCTION

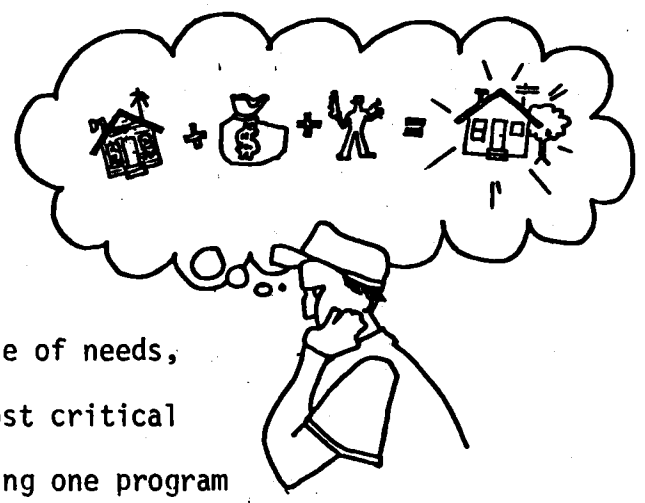
For the past few years, a number of Indian tribes have received Community Development Block Grants to support housing rehabilitation programs. Their experience has been uneven. Some tribes, particularly the smaller ones, have used these funds successfully to improve the structural condition of substandard units. Others have struggled to implement programs because of poor supervision, inferior workmanship, and inadequate planning.

This Guide has been designed to assist tribal officials who are contemplating or operating housing rehabilitation programs. It is based on information gathered from a sample of ongoing efforts in California, Nevada, Arizona, and New Mexico. Though specific operations will vary according to unique local conditions, there are a number of common issues that must be faced in planning, designing, and administering tribal rehab programs. The insights offered by tribal officials during site visits led to the recommendations contained in this Guide.

## II. PROGRAM PLANNING

> When the needs are so obvious, why is it necessary to fill out a bunch of forms to prove they exist? When roofs leak and windows don't keep the wind out, anyone can see that the houses need to be rehabilitated.

Though a few tribes still feel that "program planning" is just an exercise to go through to get federal funding, most officials recognize that a clear description of the problems is useful information to have. It provides a handle on the magnitude of needs, a direction toward solving the most critical problems, and insights to combining one program with another for greater impact.



### 1. NEEDS ANALYSIS

A useful planning process does not need to start with an elaborate statistical analysis. Nevertheless, it should provide an indication of the dimension of the problems and be able to answer the following basic questions:

- How many housing units are there on the reservation? How old are they?
- How many families live there?
- How many more housing units are needed?
- How many units are HUD-assisted? How many HUD-assisted units are substandard?
- What are the major structural problems with the housing units?
  What proportion of the units exhibit these problems?
- About how much would it cost to correct the major problems in an "average" unit?
- Are there certain units that are in greater need of rehabilitation than others?

These and other basic questions can be answered fairly quickly through a Windshield Survey. Such a survey is normally conducted by two people driving through the reservation, stopping in front of each house for enough time to note some essential information. This would include a superficial evaluation ("Good, Fair, Poor, Critical"), of such visible items as the exterior, the foundation, the roof, windows, doors, etc. The grading that each of these items receives is then added together for an overall grade for each unit. A sample form for conducting a Windshield Survey is shown in Appendix A.

The results of a Windshield Survey will tell (a) how many units there are on the reservation and (b) into what categories of condition they fall. If construction materials (i.e., shingles, adobe or

brick) are also noted, this information will be useful during the Program Design stage. Naturally, this data has been gathered from exterior observation and tells nothing about conditions on the inside of the unit, i.e., the wiring, the plumbing, interior walls, etc. Usually, however, there is a direct relationship between what is seen from the outside and what exists on the inside, and certain projections can be made. One or two spot checks can validate whether or not a unit that scores as "Poor" from the exterior also contains such other predictable problems as faulty wiring and rotten flooring.

A Windshield Survey is, thus, a planning tool, as opposed to a construction tool. More detailed information on the condition of specific units will be needed when the program is being designed. For initial planning purposes, the inspector who records the data should have some knowledge of the housing field, but need not be an expert. Officials should be aware, however, that an expert in the construction trades will be needed later on for the actual construction process. (A sample form for collecting more detailed information is shown in Appendix B.)

The most important consideration with a Windshield Survey involves uniformity of judgment in making subjective evaluations. For example, a foundation that appears to be in "Good" condition to one person may

appear to be in "Fair" condition to another.* An accurate picture requires that categories be filled with structures of like condition; and therefore, a single individual should evaluate the structures on the entire reservation. Assistance may be sought from the BIA housing officer, the tribal housing authority, or a local community college or trade school. Further, detailed inspection information on the HUD-assisted units is compiled annually by the housing authority and should be available for these planning purposes.

The next step in the Needs Analysis is to estimate the overall costs of rehabilitation. This process may require additional assistance, and a local contractor might be requested to make an "estimate" on one or two typical units in each category as defined in the Windshield Survey. This estimation of unit costs can then be multiplied by the total number of units in that category to determine the tribe's Total Rehab Needs.

## 2. RESOURCES INVENTORY

Predictably, the tribe's estimate of Total Rehab Needs will be a

* The relationship of these categories to one another is more important than their relationship to some outside standard. Tribes should not be concerned that they may be designating a unit in "Fair" condition that would be considered as "Poor" on another reservation. The Needs Analysis should be conducted for internal tribal use, describing relative conditions.

substantial number--into the millions of dollars on the larger reservations. This information should direct the tribal leadership to consider the full range of resources available to meet these needs, and then to determine which needs will be treated first.

The Resources Inventory should review all potential funding sources (not just HUD Community Development Block Grants) for two important reasons: (1) the HUD funds will never be sufficient to cover the Total Rehab Needs, and (2) those HUD funds which are available will have greater impact if they are used in conjunction with other sources of assistance. The following are some potential resources that should be considered:

a. The Indian Health Service

The Indian Health Service has provided some tribes with a combination of materials, technical assistance, and equipment. The IHS has its own force account for repairs and rehabilitation which can be used to complete small jobs.

b. The Department of Labor

The Concentrated Employment and Training Act (CETA) can provide funds for construction crews. CETA personnel have been used to supplement a work force supported through Block Grant funds, freeing up those monies for the purchase of more materials.

c. The Bureau of Indian Affairs

The BIA operates a Housing Improvement Program (HIP) that has provided materials and technical assistance for tribal rehab programs. Those materials that are not eligible under HIP can frequently be purchased with Block Grant funds. The BIA officer

can also provide technical assistance with program design and operations.

d. The HUD Office of Indian Programs

Some of the tribal rehab needs may involve units that were constructed through the HUD Mutual Help and Low-Rent housing programs. If problems are associated with the original design and construction, the Office of Indian Programs may reopen the budget on these projects to provide for repairs. The Modernization Program may also be available for HUD-assisted units. This program can provide funds for bedroom additions and other kinds of major remodeling activities.

e. Other HUD Programs

Most other HUD programs designed for housing rehabilitation provide financing for repairs in units that are individually owned. The Section 312 program, for example, provides loans to property owners at a rate that is below that available from commercial lenders. The 312 program may be able to finance improvements on some properties if they are individually owned and if the owner has sufficient income to repay the loan.

f. The ACTION Agency

In some circumstances, tribes can apply to the ACTION agency for assistance in rehab from VISTA Volunteers. Tribes should contact the ACTION State Program Office for information. (State Program Offices are located in Carson City, Phoenix, Santa Fe, Los Angeles, and San Francisco.)

After these other funding sources have been exhausted, the tribe should look to the Block Grant funds as a means to "fill the gap" that may still exist. For example, if the BIA will commit HIP funds for certain materials and if the Department of Labor will contract for a number of CETA slots, then the Block Grant funds can be used to buy needed materials ineligible under HIP and for other personnel relating to training and supervision. In this way, the rehab program may be

expanded two or three times what it would be if funded entirely from Block Grant funds.

3. ANNUAL HOUSING GOALS

After a tribe has determined its Total Rehab Needs and then reviewed the availability of resources that can be used in a rehab program, officials are likely to find that all the problems cannot be corrected in a single year through a single program effort. A multi-year program will have to be planned, calling for Annual Housing Goals. Multi-year planning should be done by establishing reasonable annual production goals (the number of units to be rehabbed each year) and by determining priorities (which units will be treated first).

The process of establishing goals and priorities is not always easy to separate. One is intimately tied to the other. Nevertheless, tribes should go through the process of targeting production goals based on the availability of funding for each year (25 in Year 1, 40 in Year 2, and 40 in Year 3), and then go back to decide which units will be treated first.

Once the needs have been documented, the potential funding sources identified, and the program goals established, a housing rehab program can be designed.

# III. PROGRAM DESIGN

Should we hire tribal members to insulate and put a new roof on every house that needs it, or employ a contractor to rewire the oldest homes and build additions on those where more than one family lives?

Program Design is distinguished from Program Planning by levels of specificity. The Planning process deals with overall needs, available resources, and annual goals. The Design process involves the specifics of what is to be done, by whom, and at what cost.

## 1. SELECTION CRITERIA

If there is enough money to rehab all the housing on the reservation in a single year, then there is no need to determine which units are to be treated first. Start anywhere--everyone will be taken care of soon enough. Unfortunately, of course, this situation almost never occurs. There is usually more to be done than there are funds with which to do it, and tribal officials must decide which work is to be done first and for whom. To do this, they must establish selection criteria.

Selection criteria are objective standards by which choices can be made. They are tied to the priorities determined through the planning process, and they cut two ways with regard to program design. First, they tell which units will be treated first; and second, they tell what improvements will be made to those units. Where resources are limited, most tribes will try to stretch the funds over as many units as possible, rather than do all that is needed for a few.

Deciding which units are to be rehabbed can create difficult problems for the tribal leadership, particularly on reservations with substantial needs. Unless clear and straightforward criteria are adopted, the rehab program may produce disruption and dissension from those individuals whose houses are not selected. In such difficult circumstances, tribal officials have found that members do understand and accept criteria that are tied to greatest need. They frequently designate the elderly, the handicapped, the poorest families and those with critical safety problems as the ones whose homes will be worked on first. Family needs, as opposed to standard structural deficiencies, tend to gain greater acceptance.

Nevertheless, the existence of structural deficiencies should be considered in the process of deciding what improvements will be made. Clearly, if a tribal elder lives in a home with no significant problems, that unit should not be selected for rehab. And what happens in a case

where one "priority unit" needs only new wiring and an additional heater (for a total cost of $2,500) and another needs those items plus a new roof, replacement plumbing, and an additional bedroom (for $12,000)? Shouldn't each receive the same treatment from the program? Or, on the other hand, if the needs vary, is it not reasonable that more work be done on some units than others?

Some tribes have responded to such equity problems by setting a dollar amount that defines the amount of work that will be done per unit. For example, all units that qualify for assistance under the initial selection criteria will receive $4,000 worth of work. If there is money left over after major problems have been corrected, then a utility room or new front porch might be constructed. And if the $4,000 is not enough to correct all deficiencies, then "we'll have to wait for additional funding." This approach tends to be insensitive to critical needs in response to equitable dollar treatment.

The system that appears to work better is one that estimates an "average" amount of work that will go into each unit and then determines the minimal level of improvements that will be done. For example, if a tribe estimates a per unit cost of $4,000, and at a minimum the septic tanks and electrical systems will be brought up to standard condition, then additional work may be done according to the specific needs of particular units. These needs should be determined through discussions

with the occupants. As a result, some may in fact receive $10,000 worth of work, while others only $2,500. This sort of flexibility relies on prudent and credible decisions on the part of the program's director.

## 2. SUPERVISION

"What do you think is the principal factor in the success of your rehab program?" "Well, in the first place, supervision. And in the second and third place, supervision and supervision." More than any other factor--precise plans, equitable criteria, skillful craftsmen--programs must have experienced and competent supervision in order to work.

The program supervisor, or rehab director, needs three qualifications: (1) a thorough knowledge of the construction trades, (2) an ability to schedule and direct the work of other people, and (3) a commitment to improving tribal housing conditions. These are frequently difficult qualifications to find within the tribal membership because of a lack of construction activity in the past. Consequently, most tribes have found it necessary to "go outside" and hire a non-Indian director.

The importance of this individual is no different in programs that use force account construction crews or that contract out for the rehab

work. Whereas force account crews will need more on-the-job supervision and training, contractors need day-to-day oversight as well. In each case the quality of the work must be reviewed and inspected consistently to assure that it is being done to acceptable standards. A number of tribes filled this position with retired contractors living in nearby communities.

## 3. WORK STANDARDS

The standards that govern competent and safe workmanship are second only to supervision as the key ingredient to a successful rehab program. Such standards of construction are also difficult to develop in useful form without the presence of a supervisor who understands how to use them.

The housing and building codes used in surrounding localities (or adopted by state governments) provide a convenient basis from which tribes may adopt their own codes or standards. In some cases local building codes may be too restrictive to apply in total to the varying conditions on most reservations. Electrical building codes, for example, generally require outlets every 12 feet or so in new structures; for normal rehab work, it would be excessively expensive to tear up interior walls merely to comply with this standard. Nevertheless, electrical, plumbing, heating, and other codes provide both safe

specifications for materials to be used and standards against which completed work can be judged for competence.

Tribal officials who are not familiar with the use of construction codes and standards might seek advice from other reservations on the relevant specifications to adopt.* The BIA housing officer and the housing authority director should also be requested for assistance in this area.

## 4. WORK FORCE: PRIVATE CONTRACTOR vs. FORCE ACCOUNT

> "We have 40% unemployment within the tribe. We could never justify contracting the work for someone else to do. Furthermore, by using force account labor, tribal members will learn a new trade."
>
> "This is a housing rehab program, not a job training program. Using force account labor is inefficient and the resulting work inferior. The severity of our housing problem requires that we hire private contractors even if our members are unemployed."

There are strong opinions on both sides of the work force issue. And the quality of the work that results from each system does not provide conclusive evidence as to which way is superior. While it is true that private contractors generally perform the work more

* Tribal officials should be aware that HUD has its own standards that govern work done on HUD-assisted units. These tend to be more strict than those generally adopted by tribes for other rehab work, and the differences can cause problems with consistency. A chart describing HUD procedures is shown in Appendix E.

efficiently and to higher standards, force account work crews improve with experience and supervision--and they do provide jobs and job training for tribal members.

Some tribes have worked successfully by combining the two systems. In the beginning, they will hire private contractors for the more technical electrical and plumbing work, reserving the basic carpentry and foundations for force account. Further, they will arrange with the contractor for training tribal members in these more sophisticated trades. While such training arrangements cost money, tribal members can become skilled in many of these areas after a couple of years, phasing out the need for contracted labor.

The principal considerations to be taken into account by the tribal leadership are costs and efficiency. If, for example, the reservation is a long distance from the nearest town, then paying a contractor's travel time may price his services out of consideration. On the other hand, if tribal members have nearly no experience in construction trades, then the rehab program will move so slowly as to be economically inefficient--in the end costing more than hiring the distant contractor. In either case, the program will operate more smoothly if the work to be done is similar in each unit scheduled for

rehabilitation, providing that this approach is consistent with the tribe's program design.

## IV. PROGRAM ADMINISTRATION

> We could have done another two houses during the time we sat around waiting for that roofing material to be delivered. And if that lady hadn't changed her mind five times about the color of tiles for her kitchen floor, we could have been out of there in three days rather than a week and a half.

The effective administration of a rehab program requires that problems be anticipated and decisions made far enough in advance to keep the construction crew working. "Time is money" is never a truer statement than when it applies to rehab work. In addition, program administrators must keep current records on what is spent. Once again, an experienced supervisor is needed; one who has a balance between technical and management skills.

### 1. SCHEDULING

Anybody knows that you don't try to rewire a house after the insulation has already been packed in and the sheetrock has been taped and mudded. But what do you do if the sheetrock people arrive on the job as scheduled but the electrician hasn't shown up yet?

The most common problem with inexperienced administrators involves scheduling: the ability to see a job through from the beginning, anticipating how long each activity is going to take, and ordering materials and contractors accordingly. On small jobs that are being performed by a single crew this problem is not so critical; each task is simply undertaken as it comes up, and the workers move through the unit. On the larger, more complicated jobs, or those that involve more than one unit at a time, more than one crew is usually involved. And if it is improperly scheduled, electricians can be bumping into plumbers while painters are putting the undercoat on doors that haven't been hung.

Time, money, and the successful operation of a rehab program can rest with the ability to schedule the work. Tribes that encounter these problems may benefit from a couple of days' consultation with a private contractor from a nearby city or town.

## 2. PURCHASING AND RECORD KEEPING

The availability of quality materials is not generally a problem with tribal rehab programs, except where reservations are particularly distant from the source of supply. And some programs have done very well in the area of "scrounging" used or bargain supplies. Again, the key to procuring good construction materials is ordering and receiving them on time. The problems of late delivery are obvious; a shipment of sheetrock that arrives at the house two weeks early will be useless

if it should rain within that time.

Record keeping is no more difficult in rehab programs than it is in any other federally-funded project. Personnel costs must be accounted for, along with materials purchased and equipment used. If problems have been encountered with the operation of other programs, similar ones can be anticipated with rehab. The converse is also true. Sample forms for accounting and other records are shown in Appendix C.

## 3. INSPECTIONS

Interim and final inspections are also an integral administrative function. The program supervisor must certify according to pre-established standards that the work is being performed properly.* Interim inspections should approve aspects of the work that the foreman has judged as being "complete", and the supervisor should report back to the foreman what additional work is necessary before completion will be certified. Such inspections may also involve review by the occupants. Many supervisors use a standardized "Punch List" for interim inspections, a sample of which is shown in Appendix D.

Supervisors have found that disagreements frequently emerge over whether a certain task was called for in the initial job specifications.

* All contracted work should be outlined in a written agreement that covers materials to be used, standards of workmanship, bonding, insurance, and warrantees. Such contracts should be reviewed by the tribal attorney for completeness and form.

If they were not, then a "change order" must be filed. If they were, then the foreman (or contractor) must perform the work at no additional cost. Because the nature of rehab work calls for some "blind guessing" (it's hard to tell what's behind the wall until the old plaster is removed), it is critical that work to be performed be detailed in writing before actual reconstruction begins. All subsequent inspections, approvals, and modifications should also be formalized in writing. Final inspections should be signed off as "satisfactory" by the occupant.

## 4. RELOCATION

Relocation has become an issue in only a small number of rehab programs, but when it has, it has involved some major problems. The issue of relocation surrounds a chronic problem with housing rehabilitation: it is awkward and time-consuming to work on a house while it is occupied, and it is expensive to provide relocation housing during periods of major reconstruction.

Where tribes are involved in modest to moderate rehab work, occupants usually accommodate the inconvenience and remain in the unit. If these jobs would normally take from a week to a month to complete (if the units were vacant), from a couple of days to a couple of weeks must be added to the rehab time for the inconvenience of working around

the occupants. Most programs will take one room at a time, moving furnishings in and out as the work progresses. Care must be taken by the crew in moving personal belongings, and complaints sometimes result from missing or broken items.

If possible, occupants are encouraged to live with a friend or relative during the time of reconstruction. Several hours a day can normally be saved if the unit does not have to be "returned to liveable conditions" each evening. If the occupants do not wish to move out, scheduling must be even more closely arranged. A rewiring job, for example, must be completed in as short a time as possible so the family does not have to go on without electricity. Similar problems arise with plumbing and water supply.

Where the rehab work is substantial, it may not be possible for the unit to be occupied during the construction period. In such cases, funds must be budgeted for temporary relocation facilities. These may have to be available for six months or more for each job. Hotel or motel rooms in nearby towns are one alternative--though these are very expensive and not particularly satisfactory to most relocatees. Some tribes have found it necessary to arrange for temporary replacement housing on their own in the form of trailers. This alternative would appear cost-effective for major long-term rehab programs; otherwise, the investment of $15,000 or so in a mobile home would be imprudent.

## 5. STAFFING

The size of the administrative staff naturally varies to some extent with the size of the program. At a minimum, the staff generally consists of three individuals: (1) the program supervisor, (2) the assistant supervisor/finance director, and (3) the secretary-bookkeeper. These are not necessarily full-time positions working exclusively in the rehab program, and duties may be assigned in different ways; but the following sketches of job descriptions provide a guide:

a. Program Supervisor

...overall responsibility for program operations, both in the office and at the construction site(s)...must inspect and approve rehabilitation work*...should have experience in both office management and the construction trades.

b. Assistant Supervisor/Finance Director

...assist with administrative issues as assigned...control of all funds spent in the program, including payments for materials, vouchers, payroll, etc...should have management experience and familiarity with construction trades.

c. Secretary-Bookkeeper

...responsible for clerical, bookkeeping, and typing needs of the office...should possess minimal secretarial skills.

Depending on the extent of the rehab work to be done, additional

* With force accounts, some tribes have found it useful to employ an independent inspector to assure that deficiencies are not missed by the supervisor.

assistance may be necessary. For major or complex jobs, an architect or engineer may be needed during design and construction phases. Such services can be contracted for from private individuals or firms in lieu of hiring full-time staff members.

## V. CONCLUSIONS

Similar to housing rehab programs developed in urban areas, tribal programs must be adapted to unique local circumstances. No two programs operate in exactly the same manner. Nevertheless, tribal officials should not feel that they have to "reinvent the wheel" as they develop programs for their reservations. Useful lessons can be learned from the experience of others, and tribes that are contemplating rehab programs would benefit from visiting others with operational experience.

If problems can be anticipated and planned for, housing rehab programs can dramatically improve the living conditions on Indian reservations.

# A P P E N D I C E S

A: WINDSHIELD SURVEY

B: HOUSING CONDITION SURVEY

C: ADMINISTRATIVE FORMS

D: PUNCH LIST

E: CDBG REHAB OF MUTUAL HELP/RENTAL HOUSES

# APPENDIX A:

# W I N D S H I E L D  S U R V E Y

# WINDSHIELD SURVEY

LOCATION (Address): _____

_____

| GENERAL TYPE OF HOUSE | GENERAL CONDITION (circle one) |
|---|---|
| 1. EXTERIOR: | |
| ___ Block; ___ Stucco; ___ Adobe | GOOD FAIR POOR CRITICAL |
| 2. FOUNDATION: | |
| ___ Concrete; ___ Dirt | GOOD FAIR POOR CRITICAL |
| 3. ROOF: | |
| ___ Shingle; ___ Roll; ___ Dirt | GOOD FAIR POOR CRITICAL |
| 4. WINDOWS: | |
| ___ Metal; ___ Wood | GOOD FAIR POOR CRITICAL |
| 5. DOORS: | |
| ___ Metal; ___ Wood | GOOD FAIR POOR CRITICAL |
| 6. CHIMNEY: | |
| ___ Brick; ___ Block; ___ Mud | GOOD FAIR POOR CRITICAL |
| 7. OTHER (Specify) | |
| _____ | GOOD FAIR POOR CRITICAL |
| _____ | GOOD FAIR POOR CRITICAL |
| OVERALL CONDITION: | GOOD FAIR POOR CRITICAL |

SUITABLE FOR REHABILITATION?

_____ YES; _____ NO

# APPENDIX B:

# H O U S I N G  C O N D I T I O N  S U R V E Y

# HOUSING CONDITION SURVEY

Date _____ Inspector _____

Applicant: _____

Community/Location: _____

General Condition and Needed Repairs: _____

_____

_____

_____

Number of Bedrooms: _____ Number of Bathrooms: _____

Type of Water Supply: _____

Type of Sewerage: _____

| OCCUPANTS | | |
|---|---|---|
| Name | Age | Relationship to Head of Household |
| 1 | | |
| 2 | | |
| 3 | | |
| 4 | | |
| 5 | | |
| 6 | | |
| 7 | | |

| CONDITION OF HOUSE | | |
|---|---|---|
| Primary Components | Rating | Numerical Score |
| 1 Foundation | A B C D | |
| 2 Roof | A B C D | |
| 3 Load Bearing Walls | A B C D | |
| 4 Load Bearing Floor System | A B C D | |
| Secondary Components | Rating | Numerical Score |
| 5 Non-Load Bearing Walls | A B C D | |
| 6 Windows | A B C D | |
| 7 Doors and Jambs | A B C D | |
| 8 Heating | A B C D | |
| 9 Electrical | A B C D | |
| 10 Water-Plumbing & Sewerage | A B C D | |
| Minor Structural Components | Rating | Numerical Score |
| 11 Steps and Stoops | A B C D | |
| 12 Chimney | A B C D | |
| 13 Insulation | A B C D | |
| 14 Siding | A B C D | |

TOTAL NUMERICAL SCORE: _____

Classification: _____

# EXPLANATION OF HOUSING CONDITION SURVEY AND CRITERIA USED IN SURVEY TO EVALUATE HOUSING CONDITIONS
(From the Minnesota Chippewa Tribal Survey)

The surveyors are asked to evaluate housing conditions using the following criteria format, rating each component as either: A) Good, B) Fair, C) Poor, or D) Critical. The surveyor ratings by the numerical system result in numerical ranges for the housing conditions, which are then converted into the three categories of sound, deficient, and substandard.

## Components to be Surveyed

The components of each house to be surveyed are divided into three groups:

1) Primary Structural Components of a building would include the foundation, roof, load bearing walls, and load bearing floor system.

2) Secondary Structural Components of a building include non-load bearing walls, windows, doors and jambs, heating system, electrical system, and water and sanitation systems.

3) Minor Structural Components of a building include such things as exterior steps and stoops, chimney, insulation, and siding. Maintenance items such as roof coverings, siding, etc., are identified in their respective categories and are rated at the low end of the point system. This is done due to the little effect they have on structural conditions.

## Weighing of Defects

Each component of a structure is evaluated in terms of a number of criteria; this is designed so that, when summarized, they will accurately state the overall condition of the structure. The criteria, which are weighted in degrees of condition, are divided by definitions. As used in the actual survey they are:

A. Primary Components

### 1. Foundation

Good - Foundation that shows no sign of deterioration.

Fair - Foundation that has a few cracks visible.

Poor - A foundation that shows large number of cracks. Shows sign of creating damage to the dwelling structure.

Critical - Foundation showing a large number of severe cracks and bowing of the foundation wall, permanent damage to the structure usually is evident. No Foundation.

2. Roof Structural

Good - Roof showing no sign of deterioration.

Fair - Shingles showing some signs of deterioration.

Poor - Roof shows many signs of deterioration, but is intact.

Critical - Roof showing signs of deterioration, in the structure (bowing), roof boards exposed and areas where shingles not intact.

3. Load Bearing Walls

Good - Walls show no signs of deterioration.

Fair - Walls showing minor flaking or peeling of paint, small cracks or holes, possible brick walls lacking mortar in some joints.

Poor - Walls bowed in or seriously out of plumb, rot at top of of foundation.

Critical - Walls bulged and cracked, sill broken or deteriorated, walls undulating to marked degree, walls cracked are out of line, walls separating from structure.

4. Load Bearing Floor System

Good - Floors sound and showing no sign of deterioration. Floor surface smooth, easily cleanable, free of splinters, no separation.

Fair - Floors sound and showing slight signs of deterioration, virtually no separation between flooring and walls less than 1/4-inch space.

Poor - Flooring surface rough and uneven with splinters, cracks over 1/4-inch space, worn area without holes.

Critical - Flooring surface rough, warped or broken boards, holes in main walking area, earth floor.

B. Secondary Components

1. Non-Load Bearing Walls

Good - No visible sign of deterioration.

Fair - Walls showing signs of peeling, cracking, and fading. Walls bowed in or out, no broken surface.

Poor - Walls are cracking, peeling, checking, and fading. Walls bowed in or out. Broken surface.

Critical - Walls bulged and cracked, sill broken or deteriorated, walls undulating to marked degree. Out of line and separating from structure.

2. Windows

Good - No visible sign of deterioration.

Fair - Windows showing slight deterioration.

Poor - Windows showing deterioration of paint, broken glass, and/or torn screens.

Critical - Windows showing deterioration of paint, broken glass, torn screens, and loss of hardware (hinges) or windows out. No storm windows.

3. Doors and Jambs

Good - No visible signs of deterioration.

Fair - Doors showing slight deterioration of paint.

Poor - Doors show deterioration of paint, broken glass, door damaged, and torn screens.

Critical - Doors showing deterioration of paint, broken glass, torn screens, and loss of hardware (hinges), doors missing. No storm doors.

4. Heating

Good - Heating in good running condition. Heating device well insulated, any fire adequately shielded.

Fair - Heating system needs minor repairs. Open fire shielded and insulated.

Poor - Heating system needs major repairs. Building inadequately heated, could cause burns if touched. Open fire shielded but in need of repair. Fuel supply line leaky or defective, shut off valve which needs repair and/or replacement.

Critical - Heating system inadequate or dangerous, needs replacement. No insulation and could cause burns if touched. No shut-off valve in fuel supply line.

5. Electrical and Wiring

Good - Electrical in good condition, adequately insulated. Meets safety standards, wiring within the walls, well insulated.

Fair - Limited observable wiring. Wiring well insulated.

Poor - Electric power off for extended periods. Not enough power coming in to service unit. Wiring visible on walls and secured by staples.

Critical - No electrical hook-up or wiring secured with wire, staples or nails. Insulation very thin or missing, wire hanging loose from walls and ceiling.

6. Water, Plumbing and Sewage

Good - Water and plumbing in good working order. Hot running water.

Fair - Water and plumbing needs minor repairs and upkeep.

Poor - Water and plumbing in poor working order needs major repairs and/or replacement.

Critical - No inside water, plumbing, or sewage hook-up.

C. Minor Structural Components

1. Steps and Stoops

Good - Steps and stoops showing no sign of deterioration or settling.

Fair - Steps and stoops that show sign of cracks in concrete, but no sign of settling.

Poor - Steps and stoops showing signs of large cracks in concrete; also there is settling of one corner or side. Steps uneven.

Critical - Steps and stoops that are a hazard to a pedestrian; there are usually poorly maintained and neglected wooden stairs with no handrail, large cracks, and settled unevenly.

2. Chimney

Good - Shows no sign of deterioration.

Fair - Mortar showing signs of deterioration, but held in place.

Poor - Bricks loose in their mortar.

Critical - Seriously out-of-plumb. Bricks loose or falling out.

3. Insulation

Good - Well insulated. Holds heat.

Fair - Insulated, but high fuel consumption.

Poor - Poor insulation, high fuel consumption. Cracks around doors and window frames. Holes in walls exposing interior materials. Drafty or cold.

Critical - Holes in walls and roofing to allow direct flow of heat out. Large cracks around door and window frames. Drafty and cold.

POINT SYSTEM

1) Primary Components - Foundation, roof, load bearing walls, and load bearing floors, were given from 0 to 3 points.

| | Points | |
|---|---|---|
| A - Good | 3 | Maximum Points possible for |
| B - Fair | 2 | Primary Components was |
| C - Poor | 1 | 12 Points. |
| D - Critical | 0 | |

2) Secondary Components - Non-load bearing walls, windows, doors and jambs, heating, electrical and water, plumbing, and sanitary were given from 0 to 2 points.

| | Points | |
|---|---|---|
| A - Good | 2 | Maximum Points possible for |
| B - Fair | 1 | Secondary Components was 12 |
| C - Poor | 0 | Points. |
| D - Critical | 0 | |

3) Minor Structural Components - Steps and stoops, chimney, insulation, and siding were given from 0 to 1 point.

| | Points | |
|---|---|---|
| A - Good | 1 | Maximum Points possible for |
| B - Fair | 0 | Minor Components was 4 Points. |
| C - Poor | 0 | |
| D - Critical | 0 | |

CLASSIFICATION OF STRUCTURE

Class 1 - Sound - Adequate Housing - From 18 to 28 points--sound housing units are those which showed no major structural deficiencies.

Class 2 - Deficient - Needs Extensive Repair - From 14 to 17 points--secondary components or single critical deficiencies required repair. This unit is beyond the scope of normal repair.

Class 3 - Substandard - Needs Replacement - From 0 to 13 points--needs critical repairs to primary components, i.e., foundation, roof, load bearing walls, and load bearing floor systems. These units are beyond repair and extensive renovation will be useless.

# APPENDIX C:

# A D M I N I S T R A T I V E  F O R M S

# MATERIAL REPORT

Report No: _____

Period: _____

Project: _____

Grantee: _____

I, _____, certify that I have checked and verified the listed and attached material invoices for the indicated period, that to the best of my knowledge and belief they are true and present a correct statement of the materials supplied for and incorporated into the above-captioned project, and that all materials included in this list of invoices have been inspected by me.

| Name of Vendor | Date | Amount |
|---|---|---|

_____ _____

Date Superintendent's Signature

# EQUIPMENT USAGE REPORT

Report No: _____

Period: _____

Project: _____

Grantee: _____

| Equipment | Dates and Hours Used | Total Time | Monthly Rate* | Cost to Project |
|---|---|---|---|---|
| | | | | |
| | | | | |
| | | | | |
| | | | | |
| | | | | |

Total Equipment rental/leased cost for this period: $ _____

_____ _____

Date Superintendent's Signature

* NOTE: Weekly rates may be used for periods less than a month (but not to exceed the monthly rate) and hourly rates for periods less than a week (but not to exceed the weekly rate).

## OTHER COSTS

Report No: _____

Period: _____

Project: _____

Grantee: _____

I, _____, certify that I have checked and verified the listed and attached material invoices for the indicated period, that to the best of my knowledge and belief they are true and present a correct statement of the materials supplied for and incorporated into the above-captioned project, and that all materials included in this list of invoices have been inspected by me.

| Name of Vendor | Date | Amount |
|---|---|---|

_____ Date

_____ Superintendent's Signature

# SUMMARY STATUS REPORT

Report No: _____

Period: _____

Project: _____

Grantee: _____

| CONSTRUCTION COSTS | Cost This Period | Cost To Date |
|---|---|---|
| Labor: | | |
| Payroll | | |
| F.I.C.A. | | |
| Retirement | | |
| Health Benefits | | |
| Workmen's Compensation | | |
| Other | | |
| Material: | | |
| Equipment: | | |
| OTHER COSTS | Cost This Period | Cost To Date |
| | | |
| | | |
| TOTALS: | | |

# PAYROLL REPORT

Report No: _____

Period: _____

Project: _____

Grantee: _____

I, _____, certify that I have checked the attached payroll number _____ for the week ending _____, that all employees as listed therein are working solely on this project, and that to the best of my knowledge, the payroll is correct.

## PROJECT LABOR COSTS

| | |
|---|---|
| Payroll: | _____ |
| F.I.C.A.: | _____ |
| Retirement: | _____ |
| Health Benefits: | _____ |
| Workmen's Compensation: | _____ |
| Other: | _____ |
| TOTAL: | _____ |

_____ Date

_____ Superintendent's Signature

# DAILY TIME REPORT

Pay Period Ending: _____

| NAME | DATE | TIME | | TOTAL TIME |
|---|---|---|---|---|
| | | IN | OUT | |
| | | | | |
| | | | | |
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# APPENDIX D:

# P U N C H  L I S T

# PUNCH LIST

Date: _____ Case Number: _____

Owner: _____ Occupant: _____

Address: _____ Address: _____

_____ _____

(Work specification description numbers found in the extreme left-hand column will be found in the Minimum Property Standards. These standards, which have been adopted by the Tribe, will be strictly adhered to in all rehabilitation work.)

WORK SYMBOLS

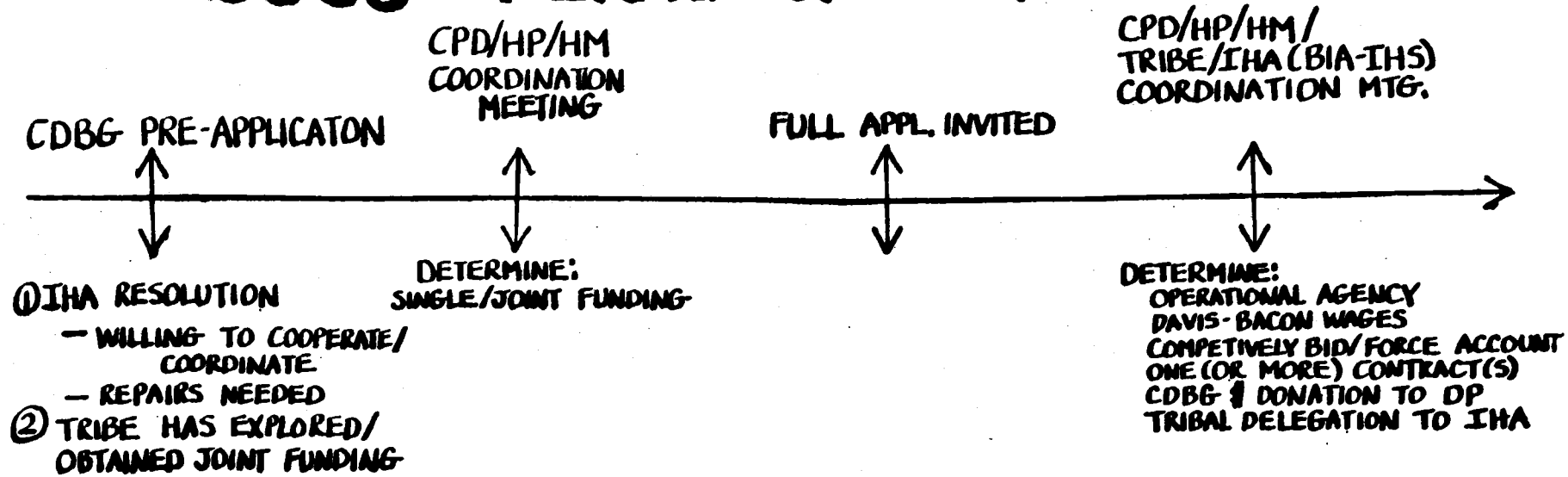
A - Paint
B - Demolish
C - Repair
D - Replace with New
E - Provide New

| Specification Number | Work Symbol | Location | Size | Quantity | Cost | Total |
|---|---|---|---|---|---|---|
| 504-4.1 | D | PATIO | 2"x4" | 60 | 12¢ EA | $7.20 |
| 615-3.6 | E | ALL LIVING ROOMS | | | | |
| 616-3.1 | C | KITCHEN CIRCUIT | 20 AMPS | 1 | | |
| | | | | | | |
| | | | | | | |
| | | | | | | |
| | | | | | | |

# APPENDIX E:

# C D B G  R E H A B  O F
# M U T U A L  H E L P / R E N T A L  H O U S E S

# CDBG REHAB OF MH/RENTAL HOUSES




E-1