
CHAPTER 5. ASSISTANT SECRETARY FOR COMMUNITY PLANNING AND
DEVELOPMENT

Section 1. General

- 5-1. ASSISTANT SECRETARY FOR COMMUNITY PLANNING AND DEVELOPMENT. The Assistant Secretary for Community Planning and Development advises the Secretary regarding community and economic development programs and functions of the Department, including the development and promulgation of policies, standards, procedures, and technical assistance. In addition, the Assistant Secretary is responsible for:
- a. Directing the administration of Community Development Block Grant (CDBG) Programs including the Entitlement Program, State Block Grant program, HUD-administered Small Cities Program, and Emergency Shelter Grants Program.
 - b. Administering the Urban Development Action Grant Program.
 - c. Administering the Secretary's Discretionary Fund for the Indian Tribes and Alaska Natives CDBG Program, the Insular Areas CDBG Program, Special Projects, and Community Development Technical Assistance including issuing requests for contracts and grants, monitoring the progress of work and reviewing and evaluating intermediate and final products.
 - d. Administering the CDBG Loan Guarantee Program.
 - e. Administering the Rental Rehabilitation Grants Program, and other rehabilitation activities, such as the Rental Rehabilitation Demonstration Program and the Rehabilitation Loan Program.
 - f. Developing and administering the Neighborhood Development Demonstration Program.
 - g. Implementing the Uniform Relocation Assistance and Real Property Acquisition Policies Act of 1970.

- h. Performing the statutory role of Director of Urban Program Coordination with respect to achieving maximum coordination of the programs of the Government which have a major impact on community development.
- i. Exercising the Department's responsibility and leading its efforts to improve the environment, pursuant to the National Environmental Policy Act of 1969, related environmental statutes and Executive Orders. This includes developing Departmental policies, standards, procedures, and guidance on all aspects of environmental planning and management and responsibility for the Department's implementation of energy efficiency and development efforts, pursuant to Title I of the Housing and Community Development Act of 1974, as amended and Section 656 of the Department of Energy Organization Act of 1977.
- j. Stimulating economic growth and increased employment in states and communities through increased responsibility and flexibility in community planning and development, the greater use of CPD programs, and public/private partnerships in economic development, and the development and expansion of minority business enterprise.
- k. Coordinating community planning and development efforts with other departments and agencies, other public and private organizations, private industry and financial markets and international organizations.
- l. Developing and promulgating policies, standards, procedures, and advisory materials for Community Planning and Development (CPD) program activities, executing such policies and directives at Headquarters, and directing and ensuring their execution in the Regional and Field Offices.
- m. Monitoring and evaluating: program execution and adherence to policies and directives; program results, program performance and quality, quantity, and timeliness of services; the overall

effectiveness and impact of CPD and related Federal programs and activities. The evaluation functions are carried out in cooperation with the Assistant Secretary for Policy Development and Research (PD&R) as part of PD&R's Departmentwide responsibility for supervision, coordination, and review of all program evaluation activities.

- n. Closing out terminated CPD programs and other programs as assigned and administering the Revolving Fund (Liquidation Programs) to assist in the efficient liquidation of assets acquired under various housing and urban development programs.
- o. Coordinating the Department's responsibilities under the Flood Disaster Protection Act.
- p. Providing protection for the public interest in the integrity and security of programs by conducting a positive compliance program to prevent fraud, waste, and mismanagement; closing audit findings; and excluding from further participation those determined not to be responsible by debarment, suspension, or other administrative action.
- q. Collecting claims and debts due to HUD arising from the operations of the assigned functions and reporting those uncollected to the Departmental Claims Officer.
- r. Operating and terminating the Solar Energy and Energy Conservation Bank, a Government corporation established by the Energy Security Act of 1980 (12 U.S.C. 3001), which is responsible for: providing loan subsidies or matching grants for the purchase and installation of solar energy systems and energy conservation measures; overseeing programs, conducting audits, and ensuring that participants comply with Department procedures to prevent fraud, waste, and mismanagement.
- s. Exercising functional supervision of the CPD staff in the Regional and Field Offices and the following offices in Headquarters:

Deputy Assistant Secretary for Program Management
Office of Block Grant Assistance
Office of Urban Rehabilitation
Deputy Assistant Secretary for Program Policy
Development and Evaluation
Office of Program Policy Development
Office of Program Analysis and Evaluation
Office of Urban Development Action Grants
Deputy Assistant Secretary for Program
Development
Office of Field Operations and Monitoring
Office of Environment and Energy

5-2. GENERAL DEPUTY ASSISTANT SECRETARY FOR COMMUNITY PLANNING AND DEVELOPMENT. The General Deputy Assistant Secretary assists the Assistant Secretary in the performance of all duties and responsibilities and acts for the Assistant Secretary. Serves as Acting Assistant Secretary in the absence of the Assistant Secretary.

5-3. OFFICE OF MANAGEMENT. This office provides advice on all aspects of internal management of the resources available to the Assistant Secretary for programs and functions assigned; provides management support for the use and control of staff and fund resources; prepares the budget and legislative program; implements the budget; manages the Liquidating Fund; recommends suspensions and debarments of program contractors and grantees; provides organization planning services; conducts management surveys; provides management analysis and improvement services; develops and coordinates an issuances and regulations management and control systems; coordinates the development of the CPD Headquarters and Field operating plans; develops and administers a system for establishing and tracking CPD goals and objectives, and designs and implements systems and controls to eliminate fraud, waste, and mismanagement; coordinates all aspects of Headquarters CPD employee training and Field CPD program technical training; provides Headquarters CPD personnel and employment services; maintains a system for and controls delegations of authority; provides allocation of funds for the CDBG,

Rental Rehabilitation and other CPD programs;
determines eligibility for CDBG, Rental Rehabilitation
and UDAG Programs; supports selection and grant

monitoring systems for UDAG; provides analysis of alternative selection and allocation methods for CPD programs; tracks utilization of ADP resources, develops management information systems; provides statistical services and reports; provides forms and reports management programs and services; provides records and correspondence management; plans space and provides general services for supplies, equipment, etc.; coordinates actions and responses with respect to General Account Office (GAO) program audits and HUD internal audits and investigations; and serves as the principal point of contact with the Assistant Secretary for Administration. The office is also responsible for operating until and terminating after September 30, 1987, the Solar Energy and Energy Conservation Bank established by part I, Subtitle A, Title V of the Energy Security Act of 1980.

Section 2.

Deputy Assistant Secretary for Program Management

- 5-4. OFFICE OF THE DEPUTY ASSISTANT SECRETARY FOR PROGRAM MANAGEMENT. This office provides advice in the areas of Community Development Block Grant Assistance programs for Entitlement Cities, Small Cities and States; financial closeout of all Urban Renewal, Model Cities, and other categorical programs, Section 108 and Emergency Shelter Grants; the Urban Development Action Grant Program; the Section 312 Loan Program; Urban Homesteading; and Relocation and Real Property Acquisitions.
- 5-5. OFFICE OF BLOCK GRANT ASSISTANCE. This office develops, promulgates, monitors, and coordinates policies, standards, procedures, handbooks, and advisory materials which aid in the formulation and implementation of the Block Grant Assistance programs for Entitlement Cities, Small Cities, the State Block Grant Program, Community Development Loan Guarantees, and Emergency Shelter Grant Program (PL 99-500); operates a clearinghouse for information on State Enterprise Zones and is responsible for all program

development activities in connection with Federal Enterprise Zones proposals; analyzes national trends and problem areas to define the problems that arise in the administration by recipients of block grant

assistance; interprets CPD financial management policies as they relate to Federal and local management practices; coordinates cash management of CPD programs, including electronic funds transfer payment systems; monitors and evaluates the financial closeout performance of all Urban Renewal programs, the Model Cities programs, and other existing categorical programs; establishes funding strategies in the administration and delivery of CDBG funds to Small Cities; identifies trends and problems in the administration of the Block Grants Program that have Departmentwide and nationwide implications and develops alternatives to attain national goals; monitors the Loan Guarantee Program including the review of applications and negotiating agreements with local communities for security requirements and schedules to pay off loans and recommends approval of loan guarantee applications; services guaranteed loans made by the Federal Financing Bank and administers private market financing of guaranteed loans; manages collection procedures for Section 106(i) Early Close-out grants, recapturing Financial Settlement funds, disallowed costs under all CPD programs, and reallocated funds; develops policies, standards, regulations, forms, procedures, and handbooks to be used in operating its programs for Field Offices, localities, and states funded under the Title I of the Housing and Community Development Act of 1914; serves as a CPD liaison with the OIG concerning GAO audit of projects financially assisted by HUD, and OIG external audits, as well as with the Assistant Secretary for Housing regarding local administrative and financial management practices, prepares materials used in the preparation of legislation, the budget, training programs, and operating plans for Block Grant Programs; coordinates the identification of trends and problem areas, and analyzes their impact on block grant assistance and grantee performance and recommends solutions to both short term and long range problems.

5-6. OFFICE OF URBAN REHABILITATION. This office coordinates rehabilitation activities within CPD and maintains continuing communication with the various Departmental activities relating to housing rehabilitation and conservation; develops, promulgates, monitors, and coordinates policies, standards, procedures, regulations, technical

assistance efforts, reports, and advisory materials which aid in the implementation of rehabilitation activities carried out under: loan provisions of Section 312 of the Housing Act of 1964; Title I (CDBG) and Section 810 (Urban Homesteading) of the Housing and Community Development Act of 1974; Section 17 of the United States Housing Act of 1937 (Rental Rehabilitation Program); and serves as the focal point within CPD for coordinating with other Departmental elements on activities relating to housing rehabilitation and conservation, and provides liaison with outside groups and other organizations on joint programs to stimulate expanded and improved rehabilitation efforts; develops and implements technical assistance projects designed to assist local government officials operating rehabilitation programs financed with Community Development Block Grant and Rental Rehabilitation monies and other public and private sector resources; provides direct assistance to cities in the design, management, and technical implementation of their local rehabilitation programs; provides training opportunities for rehabilitation professionals; and issues technical publications in the rehabilitation field. The office has Departmentwide responsibility for the development, promulgation, monitoring, and coordination of policies, standards, procedures, and regulations governing real property acquisition and relocation under the Uniform Relocation Assistance and Real Property Acquisition Policies Act of 1970 (Uniform Act) and relocation under non-Uniform Act program statutes. The office develops advisory materials and training programs, provides training and technical assistance, and serves as the focal point for coordination within the Department for relocation and Uniform Act acquisition activities.

Section 3.

Deputy Assistant Secretary for Program Policy
Development and Evaluation

- 5-7. OFFICE OF THE DEPUTY ASSISTANT SECRETARY FOR PROGRAM POLICY DEVELOPMENT AND EVALUATION. This office provides advice in the areas of long-range program policy planning and program policy development relating to community development; management and administration of the Secretary's Discretionary Fund;

grant administration and program closeouts and program analysis, assessment, analytical support, and evaluation of CPD programs and activities to aid the Assistant Secretary in management decisions, program and policy choices, and improved management controls.

- 5-8. OFFICE OF PROGRAM POLICY DEVELOPMENT. This office provides advice on the development of program policies and strategies, and on the development and analysis of legislation to achieve CPD's mission; provides management and coordination of long-range program policy planning and program development activities related to community development; develops, coordinates, and implements policies and regulations in the management, administration, and monitoring of the Secretary's Discretionary Fund under Section 107 of the Housing and Community Development Act of 1974; recommends approval or disapproval of all applications or proposals for funding under Secretary's Discretionary Fund programs; documents, publishes, and disseminates information concerning programs and projects financed by the Secretary's Discretionary Fund, for use by local and state governments and national organizations and by individuals in planning, developing, and administering community development activities; administers a program of financial and technical assistance for neighborhood development organizations under the Neighborhood Development Demonstration Program; manages the closeout of the Comprehensive Planning Assistance Program, the Neighborhood Self-Help Development Program, and the terminated portions of the Secretary's Discretionary Fund.

-
- 5-9. OFFICE OF PROGRAM ANALYSIS AND EVALUATION. This office develops, coordinates, and implements analyses, assessments, evaluations, and studies of CPD programs, policies, and issues that have complex, diverse, and substantial national impact; assesses the likely efficiency, effectiveness, and impact of CPD programs, policies, and activities at the community, state, regional, and national levels; designs and prepares the Department's statutorily-mandated annual reports to Congress on the CDBG, UDAG, Rental Rehabilitation, Section 312, Urban Homesteading, and Neighborhood Development Programs; develops and uses complex, multi-file, longitudinal evaluation-oriented computerized data bases for the major CPD programs;

serves as the Assistant Secretary's principal liaison with PD&R, the Office of International Affairs, and other public and private organizations concerning evaluation and analytical studies, issues, and techniques relating to CPD programs; conducts annual end-of-year evaluative assessments of CPD programs; develops periodic evaluative alert reports identifying significant issues or concerns about CPD-administered programs; designs and conducts short- and long-term studies and performance assessments of CPD programs and issues; performs program related studies of CPD policies and procedural issues; advises the Assistant Secretary and key CPD staff on significant findings and implications of analyses and evaluations conducted by the office; identifies alternative program, management, and policy options suggested by office studies; monitors and analyzes Congressional hearings, GAO, PD&R, and OIG reports and external evaluations concerning CPD programs and develops analytical responses to these reports.

- 5-10. OFFICE OF URBAN DEVELOPMENT ACTION GRANTS. This office reviews and provides advice on the granting of funds and the general management of the Action Grant program in accordance with Section 119 of the Housing and Community Development Act of 1977, negotiates with potential recipients and the private sector on Urban Development Action Grants, develops grant agreements and recommends to the Assistant Secretary the making of Action Grants; develops, promulgates, and monitors standards, regulations, policies, reports, and technical assistance which implements the Action Grant

program; receives, reviews, negotiates with public and private sector and recommends approvals of the applications for Urban Development Action Grants, and develops application review procedures including ranking criteria; oversees the monitoring of the progress of projects during the post-approval stage, recommends termination for those which are not proceeding in accordance with their executed grant agreements; designs system for ensuring closeout and completion of all projects; works with other Federal agencies on joint funding and other issues concerning the coordination of the Action Grant program with other Federal programs; advises the Field staff on UDAG management plan issues and goals; provides advice and guidance on all program matters, including

contractual arrangements, conditions, and offers of grants to be made; develops a comprehensive management information system and methods for collection and analysis of data concerning progress of the Action Grant program; represents the Assistant Secretary with other Federal agencies on issues concerning Federal economic development assistance to communities; and advises on economic development considerations in regional and urban policies.

Section 4.

Deputy Assistant Secretary for Program Development

- 5-11. OFFICE OF THE DEPUTY ASSISTANT SECRETARY FOR PROGRAM DEVELOPMENT. This office provides liaison for CPD programs between Headquarters and the Field, including dissemination and interpretation of existing program policy, day-to-day program management, Congressional and public communication, technical support, Field performance, and coordination of other Federal and HUD programs with active CPD programs; provides a continuing perspective of program operations under CPD's purview; monitors CPD programs; provides overall Departmental responsibility for environmental planning and management with respect to CPD and the Department's implementation of the following statutes (as amended) and other authorities: the National Environmental Policy Act of 1969, the National Historic Preservation Act of 1966, environmental sections of the Housing and Community Development Act

1/87

5-10

1100.3 REV 5

of 1974, the Archeological and Historic Preservation Act of 1974, Flood Disaster Protection Act of 1973, Coastal Zone Management Act of 1972, Clean Air Act and Clean Air Act Amendments, Federal Water Pollution Control Act, Fish and Wildlife Coordination Act, Endangered Species Act, regulations of the Council on Environmental Quality, Procedures of the Advisory Council on Historic Preservation, and other statutes, Executive Orders, regulations and guidelines relating to environment; and formulates and administers policies, procedures, standards, regulations, reports, and advisory material which aid implementation of the energy purposes.

- 5-12. OFFICE OF FIELD OPERATIONS AND MONITORING. This office serves as the primary focal point for ensuring the successful operation of active Community Planning

and Development programs in the Field; provides primary direction over and controls all major activities between Headquarters and the Field regarding dissemination and interpretation of existing program policy, day-to-day program management, Congressional and public communication, Field technical support, Field performance, and coordination of other Federal and HUD programs with active CPD programs; represents CPD with the Field and provides the Assistant Secretary an overall, continuous perspective of Field program operations; negotiates the transfer of Federal agency funds for administration pursuant to CPD programs and other agency requirements in support of coordinated interagency actions to assist communities; provides advice on policies and procedures for monitoring CPD programs and on the success of and need for program policies, regulations, guidance, and standards for CPD programs; provides overall program direction to the Field on CPD programs, activities, and functions, and provides program and general guidance, assistance, and support to these offices; makes day-to-day policy determinations on specific cases where general program policies have been determined; prepares summaries and analyses of Field Office and grantee performance to included operations and organization problems; directs surveys and samples of Field Offices and grantees,

1100.3 REV 5

analyzes audit findings, GAO reports, and evaluations by CPD and others; and analyzes reports from other CPD offices.

- 5-13. OFFICE OF ENVIRONMENT AND ENERGY. This office provides Departmental leadership and policy guidance for all aspects of environmental planning and management, for promulgation of environmental policies, and for improvement of environmental quality, and energy functions; develops policies, standards, procedures, and advisory materials to foster implementation of the following statutes (as amended) and other authorities: environmental sections of the Housing and Community development Act of 1974, and other HUD program legislation, the National Environmental Policy Act of 1969, the National Historic Preservation Act of 1966, the Archeological and Historical Preservation Act of 1974, Flood Disaster Protection Act of 1973, Coastal Zone Management Act of 1972, Clean Air Act and Clean Air

Act Amendments, Federal Water Pollution Control Act, regulations of the Council on Environmental Quality, and of the Advisory Council on Historic Preservation, and other statutes, Executive Orders, regulations, and guidelines relating to the environment, including wetlands, flood insurance, flood plain management, coastal zone management, barrier island protection, and marine and estuarine sanctuaries; formulates, administers, and provides technical assistance to support policies, procedures, standards, regulations, reports, and advisory material which aid the implementation of the energy purposes and goals of Title I of the Housing and Community Development Act of 1974, other legislation and Executive Orders, and provides technical assistance to HUD program recipients and Field staff; advises on environmental and energy aspects of land use and urban development; coordinates the development of all HUD and CPD environmental and energy information systems with the Office of Management and the Field Offices; and provides technical assistance to and oversight of Environmental Field staff. Advises on international activities, in coordination with the Office of International Affairs; on Urban Environmental Design including specific aspects of urban design criteria, and on community energy systems, conservation, and

1/87

5-12

1100.3 REV 5

energy planning. Develops and oversees implementation of environmental criteria, standards, guidance, and checklists covering specific hazards as well as general review requirements. Maintains liaison with professional organizations, public interest groups, other Federal agencies and state and local governments concerned with environmental and/or energy issues affecting HUD programs and constituencies.

5-13

1/87