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**MODEL CITIES ADMINISTRATION**  
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SUBJECT: Model Cities Planning Requirements

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## MODEL CITIES PLANNING REQUIREMENTS

### 1. INTRODUCTION

The purpose of the Model Cities program is to achieve, through the carrying out of plans developed by local governments and their citizens, substantial improvement in the quality of life of people living in blighted city neighborhoods. This document sets forth requirements for the planning of Model Cities programs during the initial planning period.

1.1 Relationship to the Program Guide: This CDA Letter is supplementary to the Program Guide: Model Neighborhoods in Demonstration Cities. The Program Guide contains pertinent discussion of the statutory requirements and program standards. This CDA Letter presents additional information regarding the type of plans to be developed in accordance with those statutory requirements and standards. Future issuances will describe the specific format of the planning documents required to be submitted, will suggest certain techniques which may facilitate planning, and will discuss other matters relating to program.

The various statutory provisions, not discussed in this CDA Letter, must be followed in program planning. These provisions are treated fully in Part III of the Program Guide. They include provision of maximum opportunities for employing model neighborhood residents in all phases of the program, fullest utilization of private initiative and enterprise, assurance of consistency of local laws and regulations, and other provisions.

1.2 Relationship to the Application for a Planning Grant: In the preparation of an application for a Model Cities planning grant, each city has already partially developed tentative goals and program approaches. Problems have been analyzed, if only in a preliminary fashion. This effort forms a useful foundation on which cities should build. Cities should reexamine that foundation, however, to assure its adequacy in terms of the requirements here described and to assure that it is responsive to neighborhood resident needs and desires as expressed by citizens participating in the planning effort.

1.3 Focus on People: Local Model Cities programs should focus on improving the quality of life for the residents of the Model Neighborhood. All projects and activities should be designed to facilitate their full participation in the economic, social, and political mainstream of urban life. Cities should examine the educational, health, employment, income, housing, environmental, and other problems of the residents of the Model Neighborhood, should consider in what ways these

problems are influenced or caused by the actions and attitudes of residents of the wider community and should develop an effective program to deal with these factors. Some of the facilities and services required to meet neighborhood needs will, in many cases, have to be located outside of the Model Neighborhood. In addition, it may be necessary to locate within the Model Neighborhood some facilities and services that serve or attract the wider community. Problems of slum and blighted neighborhoods cannot be solved in a social vacuum; the problems can be solved only by building bridges--not walls.

1.4 Emphasis on Experimentation: Many of the problems to which the program is directed are long standing and cannot be solved by traditional approaches. Solutions may require considerable experimentation with new and innovative approaches. The action phase of the program should be viewed as a period of testing and developing better ways of coping with urban problems. This is at the heart of the concept of a demonstration program. It means that the city should move into implementation with the idea that even the most successful projects and activities can be improved and that unsuccessful ones should be dropped. Cities should make every effort to learn from their successes and failures to the end of improving their problem solving capability.

1.5 High Long-Range Goals: In order to assure a substantial impact on the physical, economic, and social problems of model neighborhood residents, cities must set their sights and their goals high. Model Cities programs should aim at the solution of all critical neighborhood problems which it is within the power of the city to solve, and should be designed to make as much progress as possible towards such solutions within five years. In most cases, it should be possible within five years to make all necessary institutional and legal changes at the state and local level and to initiate all necessary projects and activities which will, when carried to completion, achieve the long-range goals set by the city.

1.6 Local Strategy: While the long-range goals of all cities may be quite similar, the strategies cities adopt toward achievement of those goals are expected to vary widely. Cities are encouraged to experiment with new program approaches. Each city should determine its own program emphasis and scheduling. The Federal Government is looking to the model cities to demonstrate new and effective ways to solve urban problems for the benefit of other communities throughout the country.

1.7 Citizen Participation: Widespread citizen participation is a basic statutory requirement. Cities must work closely with neighborhood residents in all phases of the formulation of the plan as well as its execution. The process of involving residents in decision-making during planning and program implementation should result in a plan and

program that is responsive to their needs and recognizes and develops their competence as individuals and citizens. As stated in CDA Letter No. 3 (Citizen Participation) HUD will not determine the form or structure of citizen participation systems. It is the responsibility of each model city to develop its own system with its citizens and to make sure the system effectively meets the stated requirements.

In the documents to be submitted during the planning period, cities should chronicle the methods and approaches used to achieve widespread citizen participation, and the relationship between the views of the citizens and the various elements of the model neighborhood plan. In addition, cities should include information on the mechanisms used to coordinate citizen participation in model neighborhood activities with similar activities, such as under the HUD Workable Program for Community Improvement, and the Community Action Program.

1.8 Compliance with Civil Rights Requirements: Civil rights requirements apply to all phases of the program, including the planning period.

Title VI of the Civil Rights Act of 1964 prohibits discrimination under any program or activity receiving Federal financial assistance. Executive Order 11063 on Equal Opportunity in Housing prohibits discrimination in the sale or rental of housing and related facilities provided with Federal financial assistance. Under Executive Order 11246 on Equal Employment Opportunity, all construction contractors performing under Federally-assisted construction contracts must take affirmative action to ensure no discrimination in hiring or in conditions of employment. Title VI of the Civil Rights Act of 1964 also covers employment practices of employers, employment agencies, and labor organizations where a primary objective of the Federal financial assistance is to provide employment. Since one of the primary objectives of the Demonstration Cities and Metropolitan Development Act of 1966 is to provide maximum opportunities for employing residents of the model neighborhood area, discrimination in employment on the ground of race, color, or national origin is prohibited by Title VI in all phases of the program.

## 2. PLAN SUBMISSION REQUIREMENTS

2.1 Plan Statements to be Submitted: During the planning period each city will be required to submit the following plan statements, which are described in greater detail in subsequent sections:

2.1.1 Problem Analysis, Goals, and Program Strategy Statement: This statement should describe the social, economic and physical problems of the model neighborhood residents, the city's long-range goals with respect to those problems, and the overall strategy to be employed to reach those goals.

It should be based upon and include a full analysis of (a) the problems and their underlying causes and interrelationships, (b) the conditions which must be changed if those problems are to be solved and (c) the aspirations of the city and the neighborhood residents. The

statement should be filed approximately midway in the planning period.

2.1.2 A Five Year Plan: This statement should include a general description of the projects and activities which are proposed to be undertaken during the five year period, as well as a projected schedule for undertaking them and an estimate of the annual costs and sources of funding (including Model Cities supplemental grant funds), and a description of the legislative, administrative or other changes which are proposed to be accomplished. The statement should indicate how much measurable progress the city anticipates it will be able to make towards its long-range goals by the end of five years and, to the extent feasible, by the end of each program year. The Five Year Plan should take into consideration the severity of the neighborhood's problems, the city's organizational capacity, and the necessity to phase activities over time.

During the planning period, assistance will be given to each city in developing realistic estimates of availability of funds for Federal grant-in-aid programs, including Model Cities supplemental grants, which the city may need during its first action year. The Five Year Plan should reflect those estimates for first year activities. For subsequent years, the Five Year Plan should reflect whatever level of expenditure of Federal funds may be necessary to carry out the plan. Amounts of funds actually made available by Federal agencies will, of course, depend on the amounts appropriated for their programs by the Congress.

The Five Year Plan and all documents described below should be submitted at the time of application for supplemental grants.

2.1.3 A First Year Action Program, which constitutes the first phase of the Five Year Plan and which describes in full detail the projects and activities to be financed from available Federal, State or local resources, including Model Cities supplemental grant funds, in that year.

2.1.4 A Planning and Evaluation Program, which establishes the planning and evaluation procedures and processes to be followed throughout the five year period.

2.1.5 A Statement of Administrative Structure for carrying out the Five Year Plan, First Year Action Programming and Planning and Evaluation Program with emphasis on arrangements to assure effective coordination of State, county and local agencies whose programs affect residents of the Model Neighborhood.

2.2 Data Requirements: In preparing the various plan statements for submission, cities should use data as current and complete as necessary to make valid program determinations. It is recognized, however, that the validity of the data will be dependent on the data resources available to each city. The limitations of time and budget will restrict the amount of new data which can be collected. Where complete and current data cannot be developed during the initial planning period, estimates should be made based on the best available information. Explicit note should be made, in any case, of data sources and the estimates of the

accuracy of data which have been used. Cities will be expected to identify clearly what additional data will be needed to justify plan determinations and to establish how that data will be obtained during the first action year.

2.3 Planning Continuity: The various statements which are required must all be completed within twelve months following approval of the initial planning grant. The nature and extent of available data, the planning capability and experience, and the capability and experience in mobilizing and coordinating diverse public and private organizations and local residents will vary widely among cities participating in this program. In light of these limitations, as well as limitations of available budget, not every city is expected to develop the required statements with the same degree of precision and refinement. Cities should develop planning work programs based upon their own unique situations. However, planning and evaluation are to be continuing activities during the implementation of the Model Cities Program, and all cities should increase their planning capability and improve the quality of their analyses and plans during this time.

### 3. PROBLEM ANALYSIS, GOALS AND PROGRAM STRATEGY STATEMENT

3.1 Scope: The Problem Analysis, Goals and Program Strategy Statement should define the overall framework within which the Five Year Plan and the implementing projects and activities are to be developed. It should be based on a comprehensive problem analysis. It should summarize the problems for which program plans must be developed, the long-range goals toward which program plans are to be directed, and the program strategy which will meet these goals.

It should include a statement indicating: (1) what steps were taken to ascertain the views of neighborhood residents and (2) what the results were, i.e., what they identified as problems and needed changes to be made, and in what order.

3.2 Problem Analysis: Each city's program should be based on a systematic analysis of all relevant social, economic and physical problems which describes and measures the nature and extent of the problems, identifies their basic underlying causes, examines the interrelationships between problems, and isolates the critical changes which must be made in order to overcome these problems.

3.2.1 Description and Measurement of Problems: The analysis should identify and describe as fully as possible the physical, economic and social problems which affect the lives of people in the Model Neighborhood. This should include particularly those problems to which statutory requirements are addressed--blighted physical environment, low-income levels, substandard housing, ill health, educational disadvantages, insufficient social services, unemployment and underemployment, inadequate community facilities, poor transportation, and restrictions on freedom

of housing choice - as well as any other problems which have adverse effect on the quality of life of the residents of the area.

The different population groups living in the Model Neighborhood should be identified and the problems analyzed with separate reference to those groups. At a minimum, distinction should be made between racial, ethnic and economic groups living in the area. Where appropriate, different population groups in terms of family type and age category -- e.g., single or childless young adults, child-rearing families, older adults having no children living in the home--should also be identified, as well as groups living in unique situations, e.g., in institutional settings or in foster care.

The description of problems should include quantitative assessments or measures of their severity. Measures should be selected which will facilitate the design of projects and activities designed to deal with the problem and which can be used to establish quantified long-range goals and five year and annual objectives against which program progress and impact can be measured. A Technical Assistance Bulletin to be issued shortly will suggest a variety of measures which can be used.

3.2.2 Basic Causes and Interrelationships between Problems: For each problem identified, there should be an analysis of the underlying causes which considers how and why the problem developed and the factors which serve to reinforce it.

3.2.3. Identification of Necessary Changes: For each problem identified, there should be a determination of the changes that must be brought about in order to overcome the problem. Relevant changes might include:

- a. Institutional changes--i.e., changes in the present practices of public or private agencies or institutions (e.g., assignments of most qualified teachers, coordination of services with other institutions, places on governing boards for neighborhood residents).
- b. Changes in State and local laws and regulations.
- c. Changes in attitudes in the broader community, including the metropolitan area (e.g., those attitudes which lead to discrimination or ethnic conflict, inefficient governmental organization, ineffective teaching or employment counseling, ineffective planning or uneconomic land uses).
- d. Changes in the availability (for lack of funds or other reasons) and accessibility of needed facilities or services.

In determining what changes are necessary, a wide range of possibilities should be considered. For example, overcoming problems of unemployment and underemployment might require changes in skills and qualifications of potential workers or in the kinds of jobs available. In addition, changes in hiring and promotion standards and policies, training methods, or incentives to attract new industry and jobs might be needed. Other changes



might not directly involve jobs and job skills. For example, the availability of health services might be a critical condition requiring change, since ill health is often a significant handicap to employability.

Overcoming the problems of educational disadvantage might require changes in the public school programs and/or organizational structure, changes in the programs of other community agencies (for example, provision of necessary health, recreational and other services to support the educational process), or changes in community conditions (for example, availability of jobs for those completing school).

As a basis for determining needed institutional, legislative and administrative changes, there should be a clear and explicit analysis and evaluation of current projects and activities affecting the Model Neighborhood population. The population intended to be served, the population actually served, the objectives of the project or activity, and the actual results of the project or activity, should all be described and appraised.

**3.3 Goals:** The statement should include a description of the long-range goals which reflect the city's and the residents' aspirations and provide the basic directives for planned action to overcome the identified problems. The goals should be aimed at improving the quality of urban life for all the people living in the Model Neighborhood and should comprise the projected long-range solutions to the problems which have been identified.

While the city's overall program goals should be broadly stated, they should also be broken down, as much as possible, into measurable components, which relate directly to the city's problem analysis and problem measurement. An employment goal, for example, might be defined not only in terms of overall employment levels but should also deal with problems of persons employed in jobs paying substandard wages, of persons with part-time or casual employment who are willing and able to work full time, and of persons who are not counted in usual unemployment statistics because they are discouraged from entering the employment market. The Technical Assistance Bulletin referred to in Section 3.2.1 will also deal with suggested goal measures.

Although the statement of goals will vary from city to city, reflecting differences in the manner in which cities choose to state goals, the long-range goals of every city must be broad enough to fulfill the statutory requirements of the Model Cities Program. Their realization should serve to overcome all the problems set forth in Section 3.2.1. These long-range goals should be high enough to assure, for example, that, when achieved, (a) health, education and employment levels of the Model Neighborhood residents will be brought up to levels of the city or metropolitan region as a whole; (b) Model Neighborhood families and individuals will receive sufficient income, from employment, if possible, or other sources, if necessary, to maintain a decent standard of living in the city; (c) Model Neighborhood residents will have access to needed social services; (d) standard, uncrowded housing of good design will be available to all Model Neighborhood residents

at prices they can afford and with maximum choice as to location, and (e) the Model Neighborhood residents will have adequate public facilities and a physical environment which is substantially free of building and environmental deficiencies.

The goal statement should indicate how the goals relate to existing plans and policies for physical, economic, and social development such as might be contained in an up-to-date city-wide general plan, a workable program for community improvement, a community renewal program, a capital improvements program, a community action program, an overall economic development program, or other public policy statements of physical, economic and human resources development objectives.

**3.4 Program Strategy:** Having identified and analyzed the problems and having stated, in measurable terms, long-range goals, the statement should describe the overall strategy which will guide the achieving of those goals.

In the strategy statement, the city should describe the general program approaches for overcoming each identified problem and achieving the goals and should establish program priorities over time. The strategy should reflect the interrelationship between various problems and the relative importance of various goals.

The rationale for priority choices should be made explicit and be related directly to problems and goals. Innovative programs and institutional, administrative or legal changes which will be needed should be emphasized in the strategy statement. In determining appropriate program approaches to overcome a given problem (or achieve a given goal) all feasible alternatives should be evaluated. Cities should fully consider such factors as the expressed needs of the residents, the time required for program effects to be realized within the Model Neighborhood, the range of goals affected by the approach, the assuredness of program effect, and the conditions necessary for the approach to be effective.

**3.4.1 Type of Statement:** The Program Strategy statement should show how the strategy will lead to achieving the long-range goals. The statement should include specifically a concise description of the following:

- a. The problems to be given priority attention in program-plan development and the rationale for their selection (as related to the problem analysis and goals).
- b. The various changes to be brought about in order to overcome the problems to be given priority attention.
- c. The type of program approaches to be used to effect each change and the reasons such approaches were selected (i.e., the relative advantages of each approach vs. alternative approaches possible).
- d. The general sequence over time in which the different program approaches will be carried out, the relationship over time of the selected approaches to each other, and the relative scale at which they should be undertaken.

- e. The focus of each approach in terms of population group, geographic area, type of structure or other relevant subdivision of the model neighborhood area or its population.
- f. Where the problem analysis indicates that two or more problems are interrelated, the type of program linkages to be developed between different program approaches and between various agencies having the resources necessary to carry out those program approaches.

#### 4. THE FIVE YEAR PLAN

4.1 Scope: The Five Year Plan should establish the means by which the city intends to make the "substantial impact," as required by Federal law, upon the social, economic and physical problems to which the Federal statute is directed. It forms, therefore, the keystone of the whole planning process, holding together the long-range goals and strategy and the detailed projects and programs to be initiated immediately.

All elements of the Five Year Plan need not be established in detail during the initial planning period. The limitations of available data, as well as continual neighborhood and city changes, militate against making all decisions finally and firmly. Subsequent program refinement and program changes are, therefore, anticipated. The initial statement of the plan should be sufficiently definite, however, to state the extent of the city's commitments and to demonstrate that the projects and activities to be undertaken will achieve the five year and year-to-year objectives which the city sets for itself.

4.2 Constraints: As a basis for determining the scale and pace at which the strategy to meet long-range goals can be implemented during the five-year period, cities should identify and describe local constraints which may hinder progress. A major constraint to be considered will be the city's own capacity in terms of its fiscal resources and ability to carry out the program. The first year of the Five Year Plan should reflect the estimates to be made during the planning period of the Federal grant-in-aid funds which will be available for the First Year Action Program. For subsequent years, the Five Year Plan should assume that sufficient Federal funds will be available to fund projects and activities necessary to achieve five year objectives. The city should, however, plan realistically in terms of its own resources, the personnel and administrative skills required, the ability to solve specific problems such as relocation, and the time required for construction and the creation of job opportunities.

The Plan should include program effort to eliminate or modify identified constraints. For example, it might include activities designed to increase local financial resources or to increase the city's capacity to undertake various projects and activities on a larger scale over a shorter time period.

4.3 Five Year Objectives: In the light of the constraints and based upon the city's strategy, the Five Year Plan should include a statement of objectives which reflect the progress the city intends to make by the end of five years in achieving its long-range goals. To the extent feasible, annual objectives should also be set. These five year and annual objectives should be quantified as much as possible and measured in the same terms as the components of the city's long-range goals and problem analysis. The Technical Assistance Bulletin mentioned in 3.2.1 will also suggest a variety of quantified objectives which might be appropriate.

All cities are not expected to make equal progress in absolute terms. But every city should set its five year objectives as high as feasible, and should plan to make substantial progress in the five year period towards achieving the long-range goals. Each city should make its maximum effort. At a minimum, all projects and activities and all institutional, legislative, administrative, and other changes deemed necessary to meet the long-range goals should be initiated during the five years, even though the impact of these elements may not be completely felt within this period.

4.4 Description of Projects and Activities: All projects and activities which will benefit the Model Neighborhood population should be included as part of the Five Year Plan, regardless of whether the source of funding is public or private, or whether the project or activity is new or existing. These projects and activities (except for those making up the First Year Action Program; see Part 5) need only be described in general terms. The description should include the general nature of the project or activity (e.g. construct a school), the approximate scale or scope (e.g. school for 800-1,000 children), the population group or groups to be served (e.g. predominantly low-income white elementary school children), the geographic area to be served (e.g. school to serve the northwest quadrant of the Model Neighborhood) and its approximate cost.

4.5 Institutional, Legislative and Administrative Changes: The statement of the Five Year Plan should indicate the institutional, legislative, administrative, and other changes which are proposed to be made as part of the plan. The statement should indicate the nature of the change needed to be made, the results which are expected to be achieved by the change, the activities to be performed in order to bring the change about, and the likelihood that the change can be made.

4.6 Scheduling Projects and Activities, Institutional, Legal and other Changes and Estimating Annual Costs: The Five Year Plan should include a general schedule indicating the years in which various projects and activities are proposed to be undertaken, as well as when various institutional, legislative, administrative and other changes are proposed to be made. The schedule should take the interrelationship between various projects and activities into account, and should reflect the appropriate sequence in which projects and activities and institutional, legal and other changes should be undertaken.

Based on this proposed schedule, estimates of total annual expenditures should be prepared and the sources which will be looked to for funds should be indicated. Federal funding sources should be identified by program and amount. The sources and amounts of local and State matching funds should also be shown.

4.7 Relation to Problem Analysis and Program Strategy: The proposed projects and activities as well as the needed institutional, administrative, legislative and other changes should be arranged in the Five Year Plan document so as to demonstrate their relationship to the problems they are designed to solve. Relationships should also be established to the city's goals and program strategy. The Five Year Plan statement should discuss the reasons for the city's choice of projects and activities and institutional, legislative, administrative, and other changes and should indicate what alternatives were considered and why they were rejected. It should also make clear how program choices reflect the expressed desires of the Model Neighborhood residents.

4.8 Relocation Plan: The Five Year Plan should include a description of existing and projected private and government programs which will cause displacement in the neighborhood. This description should include estimated numbers of families, individuals, and business concerns (including non-profit institutions) involved; the projected schedule for relocation; and a general statement of the impact of this displacement on the overall housing resources, commercial and institutional space and the neighborhood services structure of the locality. It should also include a statement of objectives to be achieved and principles to be followed with respect to relocation of families, individuals and business concerns (including nonprofit institutions) which will be displaced during the five year planning period. The statement should include a description, in general terms, of how the program standards set forth in Part III, Item L of the Program Guide are to be met and should indicate how it is proposed to make any changes in relocation practices and procedures which are deemed appropriate as a result of the problem analysis.

A separate CDA letter describing relocation requirements more fully will be issued in the near future.

## 5. FIRST YEAR ACTION PROGRAM

5.1 Scope: The First Year Action Program derives from the problem analysis, goals, and strategy and constitutes the first phase of the Five Year Plan. It describes immediate action and constitutes the city's application for the first year's supplemental grant funds. It should reflect both the estimated amounts of Federal grant-in-aid funds available for that year and local constraints.

5.2 Projects and Activities in the First Year: The First Year Action Program should not only describe the projects, activities and changes to be carried out during the first year, but should also state the reasons and basis for selection.

In making such selection, the city should analyze resources available for the first action year and should also consider such strategic considerations as the following:

- (a) Some projects and activities are essential prerequisites for significant future projects and activities. For example, if the overall strategy calls for heavy use of nonprofessional neighborhood people in construction, health, social services, or other jobs, training of the nonprofessional will have a high priority in the first year.
- (b) Experimental projects which may, after trial and evaluation, substantially alter the strategy of the whole program will need to be started as early as possible.
- (c) Certain non-recurring expenditures may produce benefits throughout the planning period with relatively lower expenditures later on. For example, some capital improvements in early years may facilitate improved service delivery at less cost in later years.

5.3 Description of First Year Projects and Activities: The statement should include a description of each project and activity which is to be undertaken or continued as part of the First Year Action Program. The First Year Action Program should include all new projects or activities as well as expansion of existing projects and activities and continuation of presently operating projects and activities at their current levels.

These projects and activities should be related directly to the Five Year Plan; the description should be organized according to the long-range goals the projects or activities are designed to achieve. If the project or activity is directed to more than one goal, it should be listed under each but need be described only once. It should indicate the role played by neighborhood residents in developing the character and timing of projects and activities.

The description for each project and activity should include:

- (a) the geographic coverage within and outside the Model Neighborhood;
- (b) the specific population to be affected or included (identified in terms of race, income, age, sex, place of residence, or other relevant social characteristics);
- (c) the responsible administering agency (e.g., Welfare Agency, Housing Authority).
- (d) administrative/regulatory terms of the program or activity;

- (e) the specific content (e.g., legal services, new or rehabilitated low-rent housing, aid to the handicapped, vocational rehabilitation);
- (f) the costs of carrying it out, including capital costs, administrative and operating costs, even if more than one agency or more than one source of funds supports it;
- (g) sources of funding;
- (h) the problem or problems to which the project or activity is addressed and the changes it is designed to effect;
- (i) the impact it is expected to have on the problem or problems to which it is addressed, as well as the point in time when that impact is expected to be felt and the degree to which it will aid in achieving both long-range goals and the five year and annual objectives;
- (j) the manner and the point in time at which the actual impact of the project or activity will be evaluated;
- (k) future projects, activities, if any, which will be made possible by its successful operation;
- (l) the way in which it will be coordinated with other related projects and activities; and
- (m) the way in which neighborhood residents will be involved in carrying out the project or activity.

5.4. Use of Supplemental Grant Funds: Supplemental funds should be used primarily to test new and innovative projects and activities, to reorient existing resources to better uses and to mobilize additional resources. The first priority use of supplemental funds should be for new and additional projects and activities not eligible for assistance under existing Federal grant-in-aid programs. Supplemental funds may then be used and credited as part or all of the required non-Federal contribution for projects or activities assisted under a Federal grant-in-aid program. But this is possible only upon clear evidence that no other resources are available for such non-Federal contributions and that such supplemental grant funds are not needed to support new or additional projects and activities. Supplemental grant funds should not be used to substitute for local funds which would otherwise have been spent for the benefit of the Model Neighborhood.

In each case where supplemental grants are to be used to finance expansion of an existing project or activity, the city should indicate

whether the allocation of supplemental grant funds has directly resulted in an increase of other funds allocated to the project or activity or has induced desired changes in focus, operating method or other aspects of the project or activity.

Before supplemental grants can be used for new projects or activities, the city should indicate what other funds were sought to cover full project costs, whether funding from other sources is anticipated in future years, and whether the allocation of supplemental funds to the project or activity has resulted in other funds being allocated to it.

5.5 Analysis of Resources: The First Year Action Program should contain an analysis of technical and financial resources, including an appraisal of the present and future uses of all Federal, State, municipal or private resources which are, or might be, employed as part of the Model Cities effort. Resources should be rigorously analyzed to determine if they can be increased or more effectively shifted to higher priority projects or activities from those of lower priority.

In analyzing resources cities should consider:

- (a) the source of funds (Federal, State, county, local, private, other) and constraints or requirements associated with those funds;
- (b) the possible range of projects and activities which could be supported;
- (c) the annual budget (1) for the city and (2) for the Model Neighborhood.

5.6 Institutional, Legislative and Administrative Changes: The statement of the First Year Action Program should include a description of the institutional, legislative and administrative changes which are proposed to be undertaken in that year. The description should indicate the nature of the changes to be made, the results which are expected to be achieved and the steps that are to be taken to bring the change about.

5.7 Relocation Plan: The First Year Action Program should include a description of arrangements for relocation of families, individuals, business concerns and other institutions that may be displaced as a result of activities proposed for the First Year Action Program.

All submission requirements relating to relocation in the Urban Renewal Program pursuant to Sec. 105(c) of the Housing Act of 1949 apply with respect to the projected displacement in the Model Neighborhood area for the First Year Action Program period. In addition, there should be a description of the specific projects and activities to be undertaken in order to meet the Model Cities Program standards set forth in Part III, Item L of the Program Guide.



The statement should indicate the source of funds for relocation payments and for the administration of the relocation program. This statement should take into consideration funds authorized for relocation under the various Federal, State and local programs and should estimate the amount of the supplemental grant funds which may be needed and the manner in which these funds will be used--e.g., to meet the statutory relocation payment levels for local government or private development displacement or to provide or to improve relocation administrative machinery.

A separate CDA Letter describing relocation requirements more fully will be issued in the near future.

#### 5.8 Carrying Out of Projects and Activities during the Initial Planning Period:

During the initial planning period cities will be carrying out a number of projects and activities which will have an impact on the problems to which the Model Cities plan and action program will be addressed. It is also expected that the concentration of resources contemplated in the Model Cities statute will begin during the planning period. These efforts and, in particular, the city's use of various Federal grant-in-aid programs during the period should be coordinated with each other and with the Model Cities planning effort.

### 6. THE PLANNING AND EVALUATION PROGRAM

6.1 Planning Flexibility: The Model Cities planning documents developed during the initial planning period should not be considered final statements but only the first steps in a process of dynamic planning and programming. In each succeeding year an annual action program is to be developed for the following year. Before developing such annual action programs the Problem Analysis, Goals, and Program Strategy Statement and the Five Year Plan should be revised as necessary to reflect such factors as changes in neighborhood conditions, the collection of new and additional data, development of new techniques, and a growing involvement of neighborhood residents.

Program evaluation will be particularly important. The nature of a demonstration program such as the Model Cities Program requires a probing for new solutions. Proposed projects, activities and changes will sometimes necessarily be based upon various untested assumptions and their results should be carefully evaluated and appropriate changes made in the program strategy and the Five Year Plan.

6.2 The Planning and Evaluation Program Statement: The statement of the continuing planning and evaluation program should identify all the continuing planning activities to be undertaken with respect to refining and revising the Problem Analysis, Goals, and Program Strategy Statement and the Five Year Plan, including a description of the types of data to be collected.

It should indicate how the planning and evaluation mechanism will function, who will be responsible, and what level of expenditures and staff resources are to be allocated, as well as the evaluation tasks to be undertaken during the forthcoming year. Specific techniques through which evaluation will be fed back into the planning and program operating processes should be described.

The statement should also describe the planning program to be followed in developing the projects and activities comprising the Second Year Action Program.

The statement should also indicate how Model Cities planning activities will be coordinated with other relevant planning systems such as the Workable Program, the Community Renewal Program, metropolitan or regional planning, economic development planning, Comprehensive Area Manpower Planning (CAMPS) and the various Federal, State, and regional planning systems in the health, education and welfare fields.

Because of the importance of accurate and consistent data for planning and evaluation, the city should describe any existing data system which can be used or modified to insure valid and comparable statistics for the Model Neighborhood and should describe any existing machinery in the city to improve the quality of and to standardize statistical data. If existing machinery or procedures are inadequate, the city should indicate how it plans to establish or improve its system of statistical standards.

6.3 Cost Benefit Analysis: Continuing analysis of the relative costs and benefits of various alternative solutions to problems should be carried on. Although cost-benefit analysis in some functional areas represents a precise technical methodology, precise costs and benefits cannot be determined in all program spheres, particularly during the early program phases. Therefore, rigorous cost-benefit analysis is not expected where appropriate data cannot be obtained or where the nature of the problem defies measurement. However, procedures should be developed for evaluating program decisions in a systematic manner even where costs and benefits cannot be translated into dollars or other quantitative measures. Each city will be expected to undertake such systematic analysis, including cost-benefit analysis as appropriate, in accordance with the experience and capability of its staff for such analysis.

6.4 Planning and Evaluation Expenses as Administrative Costs: Planning and evaluation are essential parts of program administration. The cost of appropriate planning and evaluation activities carried out after the initial planning period will, within limitations, be allowable costs of administering approved Model Cities programs, and will be eligible for Federal grants of up to 80 per cent under Section 105(b) of the Demonstration Cities Act.

## 7. STATEMENT OF ADMINISTRATIVE STRUCTURE

7.1 Need: A basic objective of the Model Cities Program is the creation of local administrative structures capable of implementing comprehensive, coordinated programs to meet the needs of residents living in slum and blighted areas. Responsibility and authority for implementing the program should be lodged within a central body having clear authority to coordinate the various elements of the program.

7.2 Type of Statement: The Statement of Administrative Structure should describe the administrative structure through which the First Year Action Program and the Five Year Plan are to be implemented. Because of the importance of effective mobilization and integration of all available resources, the administrative statement should describe in detail what authority (statutory, contractual or otherwise) the city and its central administrative body will have to assure coordination and integration of program effort. The statement should indicate clearly the specific administrative arrangements which are being proposed during the five-year period, and when and how those changes are to be effected.

The Statement of Administrative Structure for the five-year plan implementation period should include the staffing pattern of the central administrative and coordinating body and the relationship of that body to relevant State, regional, and county agencies, as well as to private agencies (including the Community Action Agency), private enterprise, foundations, community and labor organizations.

The Statement should describe the structure, plans and procedures for fully involving neighborhood residents and other relevant citizens' groups in Model Cities planning and implementation. It should indicate the role which neighborhood residents and other relevant citizens' groups played in formulating such structure, plans and procedures. The Statement should also describe plans for training and employing Model Neighborhood residents within the administrative and program structure.

Public and private agencies whose cooperation is necessary to the successful implementation of the program should indicate their intent to furnish such cooperation. Cooperation agreements should be detailed and precise.

# FEDERAL GUIDES ETC

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What about the innovative  
the idea that is only partially conceptualized

CDA Letter No. \_\_\_\_\_

Introduction

Purpose of This Letter

City Demonstration Agency Letter No. 1 (CDA 1) promised cities a supplement which would describe the specific format of the Five-Year Plan and One-Year Action Program which cities are required to submit. This Letter does that. CDA 1 should be read again for fuller understanding of this CDA Letter.

Instructions and format for the statement of administrative structure (2.1.5 of CDA 1) and planning and evaluation program (2.1.4) are not contained in this Letter. They will be issued separately at a later date.

Completion of the Five-Year Plan and One-Year Action Program is another step in the process of planning and evaluation which will continue over the life of the program. Each year, cities will be submitting a revised Five-Year Plan and One-Year Action Program which should reflect increasing ability:

- to deal with changing conditions;
- to analyze problems;
- to more clearly define goals and strategy;
- to more deeply involve neighborhood residents;
- to develop and use better data;
- to include more problem areas;
- to make better program decisions; and
- to evaluate planning and decision making.

To make the requirements in this Letter as clear as possible, we are including a glossary of the terms used in it, examples of tables required, and graphic illustration of some planning concepts. They are found at the end of this Letter as Appendices A, B, and C.

#### The Five-Year Plan

The Five-Year Plan consists of the problem analysis, goals and program approaches, strategy and five-year costs and objectives.

Each city should submit the first three elements (problem analysis, goals and program approaches and strategy) in draft form about two-thirds the way through its planning year. This draft submission will take the place of the mid-period planning statement called for on page 4 of CDA 1. This statement is no longer required.

This procedure serves two purposes. First, it will give cities an opportunity to review, with their citizens, the work done on the foundations of their plans. Second, it will give the Federal Government an opportunity to review the draft and to respond with whatever assistance is necessary.

After its draft has been reviewed, the city probably will wish to revise it before submitting it as part of the Five-Year Plan near the end of the city's planning year.

#### The One-Year Action Program

The One-Year Action Program consists of more detailed information about the first action year than the Five-Year Plan calls for. It should be submitted with the Five-Year Plan.

#### Relationship Between the Five-Year Plan and the One-Year Action Program

The Five-Year Plan sets the framework for understanding the One-Year Action Program. The Five-Year Plan should give everyone in the city a

picture of what it would take to substantially solve the problems of the model neighborhood in terms of money, work organization and commitment. It should highlight the problems on which the city must focus attention during the five years of action. It should show, through the problem analysis, what local, State, and Federal Government must do to overcome inadequacies in their programs and policies. It should point out to the local and national community those specific public and private institutions and practices which must be changed. Above all, it should concentrate on how to make better use of all available resources, not just on disbursing Model Cities supplemental funds.

The One-Year Action Program specifies how the city intends to take the first-year steps toward achieving the goals of the Five-Year Plan by using supplemental and other money, and through changing existing practices and institutions.

THE FIVE-YEAR PLAN

Section I -- Problem Analysis

This section of the plan should describe the problems and conditions of the model neighborhood and its residents, and what caused them. It is from this analysis that goals and strategy must flow if the plan is to be effective.

The problem analysis must cover all significant problems. But the depth of analysis can vary according to the significance of the problem and data available. Those problems which a city tries hardest to solve should receive the deepest analysis. Other problems should receive less attention. Future planning and evaluation should direct attention to those significant problems not adequately covered during this first year of planning.

The problem analysis should be done in two parts:

Initial Conditions

- a. To the extent possible, describe in measurable terms the conditions in the model neighborhood and in the lives of its residents. These will be the same terms in which the city will describe goals, and measure progress toward meeting their goals (objectives). Technical Assistance Bulletin No. 2 (TAB 2) contains examples of descriptions and measures of initial conditions as well as examples of related goals and five-year and annual objectives.
- b. Not all conditions can be easily expressed in measurable terms. Those conditions which cannot be quantified should also be described. For example, the place of model neighborhood residents in the economic, political, and social decision-making structure of the city is a condition difficult to measure. But the city should use all available data in describing these conditions.



Causes

For each initial condition which describes an important problem, analyze its causes in terms of:

- a. Deficiencies in existing public and private services to the model neighborhood and its residents. All kinds of services should be considered: schools, hospitals, employment, police and fire, real estate, commercial, welfare, transportation and many others, though cities may have time only to analyze deeply those found most inadequate by neighborhood residents. This analysis should consider such questions as:

What is the purpose of the service;

Is the service relevant to the problem; and

does the service reach the people whom it is supposed to serve;

Are people proposed to be served involved, in any way, in determining the services;

Are people proposed to be served involved, in any way, in providing the services?

If the answer to any of these or other appropriate questions is no, then the causes for the negative answer should be described. Analyze how these deficiencies operate to maintain or worsen initial conditions.

If a service appears to be performing well, the city should analyze the reasons for the quality of that service to order aid in project development and to assist in showing by contrast what deficiencies exist.

- b. Other causes.

Deficiencies in services do not, by themselves, account for all the initial conditions which describe the low quality of life in

the model neighborhood. There are other causes, and they should be analyzed here. Because conditions vary from community to community and because each community sees its problems differently, this section should be considered as the place to demonstrate how fully those problems are understood by the people who took part in the problem analysis. This section is not limited. But it might well include analysis of such factors as:

the attitude of people in the city as a whole toward the model neighborhood and its residents;

the attitude of neighborhood residents towards themselves and their neighborhood and the city;

rate and type of economic development in the model neighborhood, city and the metropolitan areas;

migration in and out of the model neighborhood; and

family stability.

Although this section and its contents will vary according to local conditions, and according to local understanding of problems, it must not avoid obvious and historical causes of deprivation and inequality.

## Section II - Goals and Problem Approaches

The long-range goals of the city should provide for improving the initial conditions listed in Section I so that conditions in the model neighborhood are as good as conditions in the wider community as a whole. These goals will be achieved by carrying out the program approaches and changes listed in this Section. (See the discussion of goals and program approaches in Appendix A and C.) This does not mean that there need be a separate goal for each initial condition. Indeed, it is likely that,

because problems are interrelated in the model neighborhood and the lives of its residents, cities may well want to define relatively few goals, each of which reflects its solution of several interrelated problems. This section will be one place to demonstrate understanding of the interrelationships among problems and the need for linking action to solve them.

While long-range goals will be broadly stated, most of them can and should be broken down into measurable components. TAB 2 illustrates such a method of describing goals.

More than one program approach must usually be used to achieve a goal or even a part of a goal. For example, the program approaches of rehabilitation, new construction, and maintenance of standard housing may all be used to achieve a broad goal in the field of housing.

There are things to be done which the city may not choose to define as a program approach but which are, nevertheless, important changes which must occur. Changes may well be needed, such as structure of local government, racial and ethnic attitudes and relationships, policies, laws and administrative regulations and practices in such areas as building codes, civil service, and other factors; and these changes might not relate to any particular program approach that a city defines. The city, after stating program approaches for each goal, must also discuss those other changes which can substantially affect the achievement of that particular goal.

Not all changes identified above, nor all program approaches, need be completely implemented in five years. But they should be started. Identify the changes needed and describe them under the most appropriate goal. If a change is relevant to more than one goal, it should be listed

under all appropriate goals and referred back to the goal where it is described. Under the statement of each goal, cities should list each program approach and change which was considered, regardless of whether it was discarded or became part of the Five-Year Plan.

Section III -- Strategy

This section of the plan should describe and explain the order, priority, and relative emphasis among actions proposed to achieve the city's goals.

There are two levels of strategy cities should explain. The first is strategy among broad goals. The second is strategy among the program approaches within a goal.

An example of strategy among goals might be as follows:

82 A city gives highest priority to its housing goal which is stated generally as providing each model neighborhood resident with decent, safe, sanitary housing in a location of his choice at a price he can afford. It decides that, in order to achieve this high-priority goal, it must first make considerable progress toward its goal of increasing residents' incomes. Before it can achieve this goal, the city thinks it must be well along toward its goal of full employment. This strategy will help determine how and when and in what order the city allocates resources among its goals over the five years.

A city's explanation of its strategy within a goal would involve the reasoning for the amount, timing, and sequencing of program approaches to achieve that goal in a manner similar to the type of reasoning illustrated above. It would also explain the changes recommended, their timing, and the order in which they are recommended (if the changes are sequentially related).

Section IV -- Five-Year Program Costs and Objectives

This section of the plan describes the progress the city expects to make over the five years toward achieving its long-range goals, what existing or new programs it will carry on, how much those programs will cost, and where the funds will come from.

There are obstacles, or constraints, which limit the amount of money and the sequence and rate at which programs can be carried out. Examples of such obstacles are limitations on salaries which make attracting qualified personnel difficult, amount of land available, and dependencies of one project on completion of another. The first part of this section of your plan should discuss these local constraints and how they affect the five-year costs and objectives.

Information relating to costs and objectives should be presented in as much detail as possible. Much of the data presented will have to be estimated. Where estimates are made, the city must state the basis of its estimates.

In each successive year, as the city continues to plan and to evaluate what it has done, it will be expected to develop more precise data about what exists and better techniques for projecting what it will need to do in the future. This increased capability should be reflected in annual revisions of the Five-Year Plan and in each successive One-Year Action Program.

For each goal listed in Section II above, provide two tables.

1. The first set of tables (see Appendix C) describes all existing efforts (both changed and unchanged) and new efforts affecting the model neighborhood or its residents, and shows how much such efforts will cost each year and over five years. Because the first year of the Five-Year

Plan reflects the One-Year Action Program, sources of funds for the first year should be as detailed as possible. Unless definitely and specifically known, only the general sources should be specified for other years--city, county, State, Federal or private.

In the case of some goals, such as education or public safety, most efforts will be continuation of existing basic services. The tables should reflect the gross cost of the portion of such basic services applicable to the model neighborhood, as well as total costs in the city. When a significant change is to be made in any such basic service, and separate project description and costing is possible, that part of the basic program should be shown separately. All other existing or new program approaches or projects in any goal area should be described and costed separately.

The tables should describe and cost all projects that are being carried on for the benefit of the model neighborhood during the planning year. Such information will be the base on which the Five-Year Plan will build and against which it can be compared. For the first action year, descriptions of programs (other than continuing basic services) should be broken down to the project level and grouped into program approaches. For the second action year, programs should be broken down to the project level wherever planning is definite enough to make such a detail meaningful. Otherwise, description and costing at the level of program approaches is adequate. For the remaining three years of the planning period, description and costing at the level of program approaches is ample.

The fiscal year periods of some cities may start at different times than the fiscal years of schools or other systems operating in the model neighborhood area. And rarely will the beginning of the Model Cities action

period coincide with a city's funding cycle. In presenting information in its Model Cities plan, each city may select whatever fiscal or funding year is most convenient and helps it most in its planning effort.

Projects should be grouped as logically as possible under program approaches. In some cases, a project may be logically related to more than one program approach. In such cases, a city should choose <sup>as the plan to show it</sup> the program approach most related to the project.

2. The second set of tables should show how much progress the city expects to make toward achieving its goals over the five-year period and, to the extent possible, year-by-year. Such progress defines five-year and one-year objectives. Under each goal, list the same projects and program approaches shown in the Five-Year Cost Table. Show how each will contribute to five-year and year-by-year objectives.

Progress in some goals, such as education, may be slow and difficult to measure year by year, project by project, or even program approach by program approach in the terms used to describe long range goals or five-year objectives. Increased levels of academic achievement might be an example of a goal which will be slow to reach and with respect to which it might be hard to trace the contribution of individual education projects or program approaches. In such cases, the contribution of the program approach should be stated and measured in the most meaningful terms which are feasible. This statement, see (d) below, should appear in narrative following the appropriate table. For such program approaches described above, no entries should appear in the body of the table.

After the Five-Year Cost and Objectives Tables, the city should provide narrative which covers the following four areas for each goal:

- a. How is the strategy outlined in Section III reflected in the allocation of resources shown in these tables?
- b. What changes (See Section II) are scheduled to occur over the five years? When and how do you expect them to affect the allocation of resources shown in these tables? A change may affect more than one goal so its effects should be shown wherever they occur.
- c. Are resources being provided to the model neighborhood as liberally in relation to the needs of its residents as in the rest of the city? To what extent will resources be concentrated more in the model neighborhood?
- d. In those cases where the program approach cannot be measured in the same terms as the goal, provide narrative showing how the program approach is expected to contribute to the goal over the five years. For the educational area, the program approach might be to increase the numbers and quality of teachers, even though the five-year objective is actually measured in terms of academic achievement. In this case, the city would describe the relationship between academic achievement and the program approach.



THE ONE YEAR ACTION PROGRAM

Section I -- Project Description

This section of the plan describes new projects, or existing but substantially changed projects, operating under the model neighborhood program. Each project description should begin on a new page and should be appropriately identified by goal and program approach. The description should include all information called for in CDA Letter 1, Section 5.3. In addition, the project description should indicate whether the project is new, or existing but substantially changed. If it is substantially changed, then the project description should show how it is to be changed.

Section II -- Supplemental Grant Statement

This is the only section in either the Five-Year Plan or One-Year Action Program which focuses specifically on the use of supplemental funds. Data taken from tables in this section will constitute the application for supplemental grant funds. It should be clearly understood, however, that supplemental funds are granted on the basis of the quality of the total plan not its component projects. Funds for general expenses of administration, for continuing planning and evaluation and for relocation should be requested according to instructions to be issued later.

Using the information already provided in the first-year portion of the tables showing resources and objectives (Section IV), provide the following tables for each goal:

- (a) Show the total first-year cost of each project using supplemental money; the amount of supplemental funds to be used and the proportion of supplemental funds to total project cost. Give the

amount and source by funding agency of other project funds.

(b) Repeat the information contained in the first-year portion of the objectives table (V 2) for all projects using supplemental funds.

Based on the tables, describe your strategy for the use of supplemental funds. For each goal, also describe how supplemental funds are to be used for new and innovative activities, redirection of existing resources to better use, and mobilization of additional resources.

If a city foresees problems or special opportunities in the use of supplemental funds, it should state them.

Goals

An expression of values and description of conditions which the city aims to achieve. For each major goal area, there could be more than one long range goal.

examples:

To bring the educational performance of the school-age population in the model neighborhood up to the educational performance of the school-age population in the rest of the city.

To increase the proportion of area residents obtaining higher levels of education equal to the proportion of residents obtaining higher levels of education in the rest of the city.

To increase the quality of public education available to residents of the model neighborhood (children and adults) up to the quality of education available to residents elsewhere in the city.

To obtain and recognize as much involvement of parents in policy making and in the development and administration of the school program in the model neighborhood as is true for school programs in the rest of the city.

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1/ See Appendix C for a graphic illustration of the relation between Goals, Program Approaches, and Projects.

2/ The attempt has been made to use terminology consistently in this letter. Therefore, there are definitional changes from some of the uses of terms in CDA Letter 1.

Initial  
Conditions

Those facts about the model neighborhood and the lives of its residents which now exist. It is these conditions against which a city will determine how much progress it can make during the five year life of its program.

examples: Number and proportion of school population in model neighborhood achieving test scores at grade level; number and proportion of population in the rest of the city achieving test scores at grade level.

Number and proportion of model neighborhood school-age population enrolled in school by age categories; number and proportion of school-age population in the rest of the city enrolled in school by age categories.

Number and proportion of teachers in the public schools in the model neighborhood with education beyond a B.S. degree; number and proportion of teachers in the public schools in the rest of the city with education beyond a B.S. degree. Number and proportion of teachers in public schools in the model neighborhood who have tenure (as opposed to substitute teachers); number and proportion of teachers in public schools in the rest of the city who have tenure.

Objectives

The level of performance, quantified where possible which measures the progress of the city at a specified time towards achieving its goals.

Five Year Objective

To reduce the differential between proportion of model neighborhood children achieving test scores at grade level and proportion of children achieving such test scores in the rest of the city by (specify) amount.

To reduce the differential by (specify amount) **children** between the proportion of school-age/in the model neighborhood enrolled in school and the proportion of school-age children in the rest of the city enrolled in school by age categories.

To reduce the differential between the proportion of high school freshmen graduation from high school in the model neighborhood and the proportion of high school freshmen in the rest of the city schools graduating by (specify amount).

One Year Objective

In many cases discernible changes in the measures can be achieved within a one-year period. One-year objectives would then parallel the five-year objective statement, varying only in the degree of reduction to be achieved. In other cases there may not be discernible changes within the first year (in which case the amount specified would be zero), but essential steps which are prerequisites to maintaining

discernible changes in future periods would be reported in your plan in the appropriate section.

Resources

Money, staff, or other types of support used in implementing, operating, and maintaining projects.

Program Approach

Basic ways to use resources for achieving goals.

It characterizes the different ways projects can be used to achieve goals. Achievement toward a goal usually implies the use of different program approaches and carrying out of several institutional or other changes.

Example (for an educational goal)

improved professional staff

curriculum development

better school-community relations

new and/or better facilities

Project

An organized set of activities, with a recognizable beginning and end point, which operates to produce goods and services. The goods and services must be related to the goals of the model neighborhood plan and to one or more program approaches under those goals.

Each project must have an identifiable source(s) of

funds, administrative machinery, and project operations

Two projects may produce the same goods or services, to produce the goods and services./ but have

different administrative or program operations.

Similarly, the same administrative machinery and funding source can generate more than one project, if the goods and services are different.

examples:

221 d (3), sponsor x

221 d (3), sponsor y

Urban Renewal Project A-21

Department of Sanitation "Clean-Up"  
Intensive Treatment

Department of Recreation Mobile Crafts Unit

Goal: Education	Base Year		First Year		Second Year	
	\$	Source	\$	Source	\$	Source
Total Expenditures	\$10,000					
School System in the MN as a Whole (less separate projects)	\$ 1,000	State MCA	\$1,000	State \$500 Studies & Tax Title I \$50		
<u>Program Approach A. Curriculum Improvement Program</u>	\$26		\$582			
<u>Existing Projects</u>						
Head Start	\$16	OEO	\$32	OEO		
Remedial Reading	\$10	Title I	\$50	Title I		
<u>Changed</u>						
Model neighborhood curriculum revisions			\$100	State \$40 Local tax \$30 Title III \$30		
<u>New</u>						
Store Front Schools for Dropouts			\$400	MCA grant		

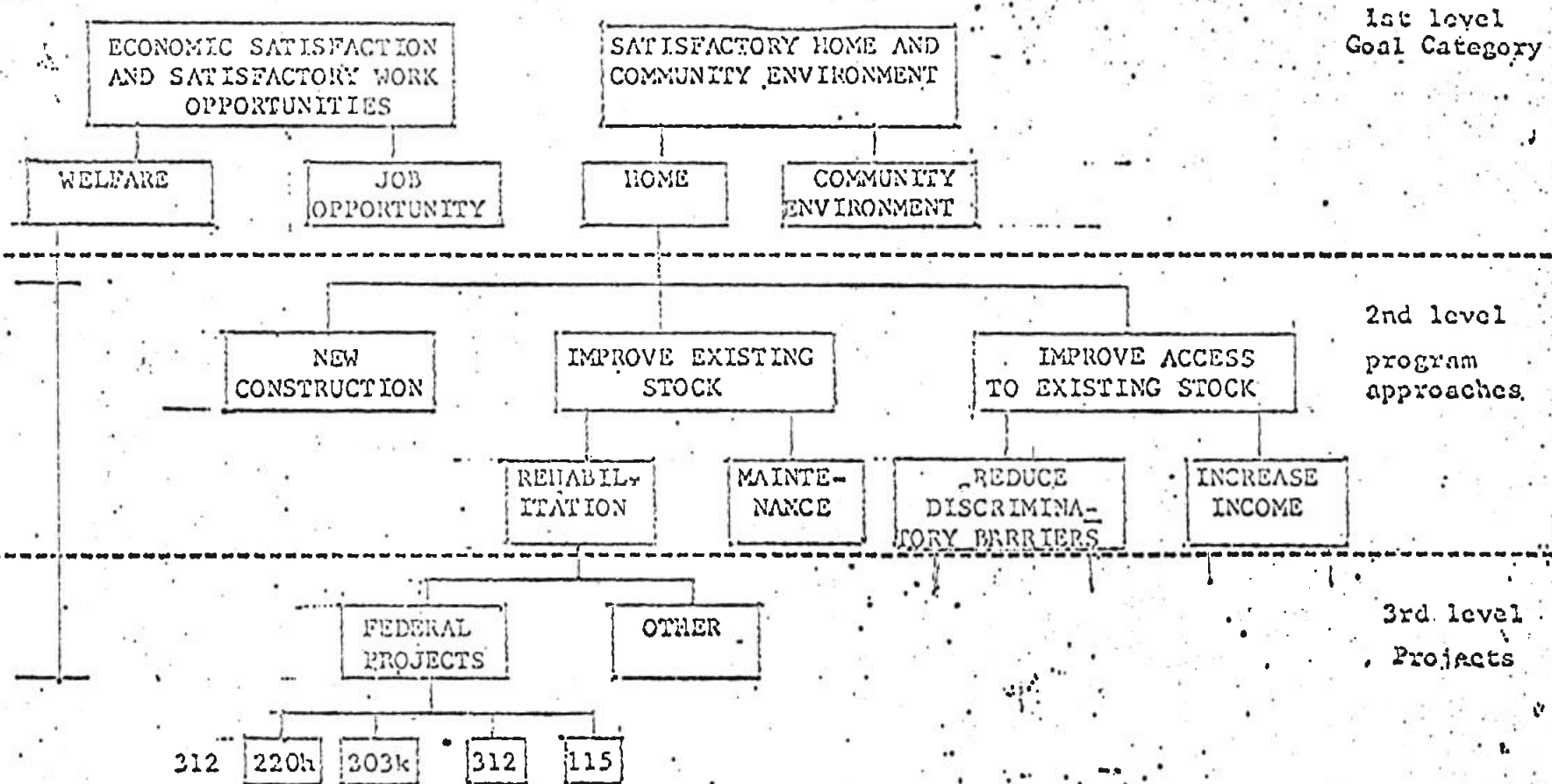
NOTES:

1. Summary tables for Goals and Program Approaches

2. Totals for program approaches, types of projects within program approach, and goal for each year



APPENDIX C RELATION BETWEEN GOALS, PROGRAM APPROACHES AND PROJECTS



Cities may subdivide each level to the extent deemed desirable. Some entry should appear, however, at each level for each goal.

The categories specified at the first level are abbreviated here. They should be stated in terms of measurable goals.

Is this what in

Portland Fed

~~PROGRAM~~

# FEDERAL GUIDES DIRECTIVES, ETC

HUD-96 (7-66)

UNITED STATES GOVERNMENT

DEPARTMENT OF  
HOUSING AND URBAN DEVELOPMENT

## Memorandum

TO : Advance Copy Recipients

DATE: July 25, 1968

In reply refer to:

FROM : Charles B. Huyett

SUBJECT: Advance Copy of the Comprehensive Program  
Submission Requirements (CDA Letter #4)

Attached for your information is an advance copy of the Comprehensive Program Submission Requirements (CDA Letter #4).

Addressees will be supplied with their normal distribution upon completion of printing. Requests for additional copies will be honored after distribution has been made.

*Charles B. Huyett*  
Acting Director  
Administrative Staff, MGR

*[Handwritten scribbles and lines]*

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Foreword

There are three important things to remember in working with this GDA Letter.

First, it sets out the basic format and minimum content of the Comprehensive Demonstration Program which cities will submit for funding by the Department of Housing and Urban Development.

Second, it seeks to do so in a manner which permits and encourages cities to achieve as much as they can beyond this minimum content and which offers flexibility in responding to the requirements of the Act, especially those in Section 103.

Third, it calls attention to the essential purpose of the program nationally and locally: to mount locally prepared and scheduled comprehensive city demonstration programs "of sufficient magnitude to make a substantial impact on the physical and social problems and to remove or arrest blight and decay in entire sections or neighborhoods."

This is both the spirit and the letter of the law within which the partners in this program -- the citizens, the cities and the agencies of government on all levels -- must operate. It stresses comprehensiveness, magnitude and substantial impact. This Letter, in turn, stresses the importance of the Five-Year Forecast in achieving those purposes.

The Comprehensive Demonstration Program submitted as cities complete their planning phase is a step in the process of planning and evaluation which will continue over the life of the program. It is important, not so much as a document, but for the analysis, thought, decision-making and commitment invested in it by citizens and officials in each of the cities.

Each year, the city will submit a new One-Year Action Program and revisions of other parts of its Comprehensive Program which should reflect increasing ability:

- to deal with changing conditions;
- to analyze problems;
- to measure progress toward goals;
- to define goals and strategy more clearly;

- 
- to involve neighborhood residents more deeply;
  - to develop and use better data;
  - to make better program decisions; and
  - to evaluate planning and decision making.

In reviewing successive submissions, the Federal Government will compare progress achieved with objectives forecast to make sure the city is making the required substantial impact on its problems.

The importance which the Federal Government attaches to the first steps in this journey toward better cities is best conveyed by this excerpt from a recent report to the President by Secretary Robert C. Weaver of H.U.D.:

"The Model Cities Program is not a modest effort either in its investment or its potential. We conceive it as the basis for a broad, national investment in urban reconstruction -- in which the Model Cities Program is the first necessary exploration of how such a broader investment can be wisely made."

The cities lead this exploration. But they are not alone. At the Federal level, departments and agencies are at work on their end of the Model Cities bargain. Building on the base of cooperation laid by inter-agency review of applications and subsequent revisions and improvements, they are:

- seeking to improve their ability to help cities find effective, workable solutions to problems.
- trying to find ways to improve delivery of funds and programs.
- wrestling with the difficult questions of pulling together Federal resources in ways that will match the Act's mandate for coordination.

There are Model Cities partners at work in the private sector. The Urban Coalition and the National Alliance of Businessmen, to name two, are probing for ways in which they can most usefully help cities with the difficult exploration of which Secretary Weaver spoke.

Participation of the States is essential to the success of the Model Cities Program. Many State governments have moved to meet the responsibilities of partnership in the Model Cities effort. Others are becoming increasingly aware of their stake in it.



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Each of these interests has this in common with the cities: we are beginning. We know it will take skill, resources and commitment to overcome the effects of decades of neglect. We do not know how much of these things it will take because we do not yet know the extent of the job to be done. We look to the cities, to their leaders and their citizens to give us this knowledge and their decisions.

*Ralph Taylor*

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## CHAPTER 1. INTRODUCTION

1. Basic Instructions.<sup>1/</sup> The Comprehensive Demonstration Program consists principally of three parts. They are:
  - i. Problem Analysis, Goals and Program Approaches and Strategy,
  - ii. The Five-Year Forecast, and
  - iii. The One-Year Action Program.
- a. The first part should be submitted in draft from about two-thirds the way through the planning year or as soon as the city is satisfied that it is properly completed. This draft submission will take the place of the mid-period planning statement called for on page 4 of CDA Letter No. 1.
- b. The Federal Government will review the draft and discuss it with the city. This discussion, and any local review of the draft which the city undertakes, may suggest revisions of the draft.
- c. The revised draft of Part One and Parts Two and Three should be submitted to the Department of Housing and Urban Development near the end of the planning year. Together, these will constitute the city's application for first-year action funds.
- d. The format outlined in this Letter need not be followed rigidly. Cities may wish to rearrange or add sections, attach appendices, or elaborate on material covered in the body of the draft. Such changes should be discussed with the city's Model Cities representatives as they develop.

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<sup>1/</sup> City Demonstration Agency Letter No. 1 (CDA) promised cities a supplement which would describe the format of the Comprehensive Demonstration Program which cities are required to submit. This Letter does that. CDA 1 and the Demonstration Cities and Metropolitan Development Act of 1966 should be read again for fuller understanding of this CDA Letter.

To make this Letter as clear as possible, we are including a glossary of the terms used in it, a graphic illustration of the basic planning concept of this paper and illustrative tables for the presentation of necessary data. They are found at the end of this Letter as Appendices A, B and C.

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## 2. Relationship Among the Three Parts.

- a. Part One, the Problem Analysis, Goals and Program Approaches and Strategy Statements, sets forth the problems of the model neighborhood and its residents, the long-range goals and program approaches of the comprehensive program, and the strategy to be used in pursuing those goals. It does not deal with fixed time periods or specific projects.
- b. Part Two, the Five-Year Forecast, derives logically from the needs and lines of action described in Part One. It deals with a fixed period of time-- five years-- and projects more specific objectives to be reached in this period and estimates costs to reach those objectives.
- c. Part Three, the One-Year Action Program, specifies how the city intends to take the first-year steps towards achieving the objectives of the Five-Year Forecast by making the best possible use of available resources and by beginning the work of changing those existing practices and institutions that need to be changed to better solve the problems and achieve the goals set forth in Part One.

As the city and the neighborhood make progress in the program, they will continue the process of analysis, thought and decision making. HUD assumes that this process will identify new problems to be dealt with, develop new information and understanding about problems already identified, and develop new possibilities for change and new opportunities for solutions.

All of this will have its impact on the Comprehensive Demonstration Program. Each year, the changes created by these developments may be reflected in revisions of the problem analysis, goals and program approaches and strategy. They will be reflected in revisions of the Five-Year Forecast, and in the successive One-Year Action Programs.

## 3. - 4. Reserved.

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CHAPTER 2. PROBLEM ANALYSIS, GOALS AND PROGRAM APPROACHES, AND STRATEGY  
(Part I of the Comprehensive Program)

SECTION 1. PROBLEM ANALYSIS

1. 5. Introduction. This section should describe the problems and conditions of the model neighborhood and its residents, what caused them and what sustains them. The problem analysis should cover all significant problems but the depth of analysis can vary according to the significance of the problem and data available. High priority problems should receive the most attention the first year. Future planning should direct attention to those significant problems not adequately covered during this first year of planning. Although this section and its contents will vary according to local conditions and according to local understanding of problems, it should not avoid significant and historical causes of deprivation and inequality.
2. 6. Problem Analysis. The problem analysis should be done in two parts:
  - a. Initial Conditions. To the extent possible, describe in measurable terms the conditions in the model neighborhood and in the lives of its residents. These will be the same measures by which the city marks its progress toward meeting goals.
  - b. Causes. For each initial condition which describes an important problem, analyze its causes in terms of:
    - (1) Basic causes. The underlying causes of initial conditions should be analyzed here. Because conditions vary from community to community and because each community sees its problems differently, this section should be considered as the place to demonstrate how fully those problems are understood by the people who took part in the problem analysis. This section might well include analysis of factors such as the following illustrative examples:

the attitude of people in the city as a whole towards the model neighborhood and its residents;

the attitude of neighborhood residents towards themselves and their neighborhood and the city;

the rate and type of economic development in the model neighborhood, city and the metropolitan area;

migration in and out of the model neighborhoods.

- (2) Deficiencies in existing public and private services to the model neighborhood and its residents and in the administration of those services. All kinds of services should be considered: schools, hospitals, employment, police and fire, real estate, commercial, welfare, transportation and many others, though cities may have time to analyze deeply only those services found most inadequate by neighborhood residents. This analysis should consider questions such as those suggested by the following purely illustrative examples.

What is the purpose of the service?

Is the service relevant to the problem and does the service reach the people whom it is supposed to serve?

Are those people involved, in any way, in determining what services are to be provided and how?

Are those people involved, in any way, in providing the services?

If there are deficiencies in any such service systems, the causes of the deficiencies and how they operate to maintain or worsen initial conditions should be analyzed.

If a service appears to be performing well, the city should analyze the reasons for the quality of that service in order to aid in development of other programs and to assist in showing by contrast what deficiencies exist in other services.

7. - 8. Reserved.

## SECTION 2. GOALS AND PROGRAM APPROACHES

9. Goals. The long-range goals of the city should provide for improving the initial conditions listed in Section 1 so that conditions for residents in the model neighborhood are comparable to conditions in a wider community. It is towards achievement of these goals that the program approaches and changes listed in this Section are aimed. (See the discussion of goals and program approaches in Appendix 1.) This does not mean that there need be a separate goal for each initial condition. Indeed, it is likely that, because problems are interrelated in the model neighborhood and the lives of its residents, cities may well want to define relatively few goals, each of which reflects its solution of several interrelated

problems. But each city's goals and strategy must be sufficiently comprehensive to deal effectively with all of the problem areas and conditions covered by Section 103 of the Act. This section will be one place to demonstrate understanding of the interrelationships among problems and the need for linking action to solve them.

While long-range goals will be broadly stated, most of them can and should be broken down into measurable components.

10. Program Approaches. Usually, more than one program approach must be used to achieve a goal or even a part of a goal. For example, the program approaches of rehabilitation, new construction, and improved access to occupancy of existing standard housing may all be used to achieve a broad goal in the field of housing.

Alternative program approaches considered, but not planned for implementation, should be noted. In some cases, it will be neither possible nor desirable to specify which program approaches in each goal area will be selected ultimately for implementation. In such cases, it is entirely appropriate (and desirable) to list the alternative program approaches under consideration. However, there should not be so many decisions postponed that the city cannot develop its strategy and arrive at a statement of it.

11. Changes Unrelated to Program Approaches. There are things to be done which the city may not choose to define as a program approach but which are important changes the city wants to make.
  - a. Changes may well be needed in areas such as the structure of local government; racial and ethnic attitudes and relationships; policies, laws and administrative regulations and practices which govern the operation of building codes, civil service, etc.
  - b. Such changes could, however, relate to local conditions which limit the amount of State, Federal, local or private money that can be invested effectively in programs and the rate at which programs can be carried out. These conditions will affect the five-year forecasting described in Chapter 3. For example, adherence to outmoded personnel selection regulations can make it impossible to staff a program regardless of how much money is available for staff salaries. Or, a cumbersome, unresponsive contracting procedure within local government could limit the rate at which money available for urgently needed contract services could be spent. Or, the undeveloped state of the local construction

industry could limit the rate at which new housing could be built. Such constraints should be identified and discussed here.

12. Additional Elements.

- a. The city, after stating program approaches for each goal, should also discuss those other changes which it has identified as needed to achieve that particular goal but which are not discussed under any particular program approach.
- b. If a program approach or change is relevant to more than one goal, it should be listed under all appropriate goals and referred back to the goal where it is described.
- c. Not all changes identified above, nor all program approaches, need be completely implemented in five years. But they should be started. The Five-Year Objectives Tables explained in Chapter 3 will show how much progress the city expects to make towards its long-range goals by the end of five years.

13.-14. Reserved.

SECTION 3. STRATEGY

15. Purpose. This section should describe and explain the order, priority, and relative emphasis among actions necessary to achieve the city's goals.

16. Strategy Levels. There are two levels of strategy cities should explain. The first is strategy among goals. The second is strategy among the program approaches and changes within a goal.

- a. A purely illustrative (and oversimplified) example of strategy among goals: ..

A city attaches greatest importance to goal A. It decides that, in order to fully achieve this high-priority goal, it must first make considerable progress toward goal B while doing the best it can with existing programs in goal A. However, before it can achieve goal B, the city feels it must achieve certain other objectives as a pre-condition. Having achieved these objectives, the city sees its way clear to making the big push in goal A. This strategy will help determine how and when and in what order the city allocates resources among its goals over the five years.

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- b. A city's explanation of its strategy within a goal would involve the reasoning for the amount, timing and sequencing of program approaches to achieve that goal in a manner similar to the type of reasoning illustrated above. It would also explain the order in which the changes discussed earlier are recommended (if the changes are sequentially related.)

17.-18. Reserved.

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CHAPTER 3. FIVE-YEAR FORECAST (part II of the Comprehensive Program)

19. Introduction. The Five-Year Forecast describes:
- a. the progress the city expects to make in five years towards achieving its long-range goals;
  - b. what existing or new projects it wants to carry on during the first two years;
  - c. what program approaches it plans to work towards in future years;
  - d. how much those projects and program approaches will cost;
  - e. where the funds are expected to come from.
20. Limiting Factors. Although cities should do their five-year forecasting without assuming any particular limit on Federal funding after the first year, there are other factors which limit the amount of money and the rate at which programs can be carried out. Illustrative examples of such factors could be constraints on the amount of land available, dependence of one project on completion of another, and the tax base of the city. The city's forecast should reflect these other limiting factors, which will have been discussed earlier in Chapter II.
21. Initial Cost Data. Information about costs should be presented in as much detail as possible. Much of the data presented will have to be estimated. Where estimates are made, state the basis of the estimates.
22. Cost Data Refinement. In each successive year, as the city continues to plan and to evaluate what it has done, it will be expected to develop more precise data about ongoing activities and better techniques for projecting what it will need to do in the future. This increased capability should be reflected in annual revisions of the Five-Year Forecast and in each successive One-Year Action Program.
23. Required Tables. For each goal listed in Section 2 of Chapter 2, provide two tables.
- a. The first table (Five-Year Fiscal Needs Table, see Appendix 3) describes all existing efforts (both changed and unchanged) and new efforts affecting the model neighborhood and shows how much such efforts will cost each year and over five years. Because the first year of the Five-Year Forecast reflects the first One-



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Year Action Program, sources of funds for this first year should be as detailed as possible. Unless definitely and specifically known, only the general sources should be specified for the second year of the forecast. The third through the fifth year should be summarized in one cost figure for each program approach.

- (1) Where a goal calls for continuation of an existing basic service (such as the public school system or trash collection), the tables should reflect the gross cost of the portion of such basic services applicable to the model neighborhood as well as its total citywide costs. Such comparison will show the extent of concentration of resources in the model neighborhood. When a significant change is to be made in any such basic service, and separate project description and costing is possible, the changed part of the basic program should be shown separately. All other existing or new program approaches or projects in any goal area should be given descriptive labels and costed separately.
- (2) The fiscal year periods of some cities may be different than the fiscal years of states, schools, or other systems operating in the model neighborhood area. The beginning of the Model Cities action period will rarely coincide with a city's funding cycle. In presenting information in its forecast, each city may select whatever fiscal or funding year is most convenient and helps it most in its planning effort. The city should indicate when its fiscal year begins.
- (3) The table should label and cost all projects that are being carried on for the benefit of the model neighborhood during the 12 months that precede the first action year. This 12-month period is referred to as the initial condition year. The initial condition year will be the base on which the Five-Year Forecast will build and against which it can be compared. In some cases, H.U.D. may require a city to present this information for a period that goes back more than 12 months prior to the first action year. For the first action year, programs (other than continuing basic services) should be described at the project level and the descriptions grouped by program approaches. For the second action year, programs should be described at the project level wherever planning is definite enough to make such detail meaningful. Otherwise, description and costing at the level of program approaches is adequate. For the last three years, programs should be described at the program approach level and should not be broken down year by year. Costs should be estimated and tabulated for the three-year period as a whole.

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- (4) Projects should be grouped as logically as possible under program approaches. In some cases, a project may be logically related to more than one program approach. In such cases, a city should choose the program approach most related to the project.
- b. The second table for each goal (Five-Year Objectives Table, see Appendix 3) should show how much progress the city expects to make toward achieving its goals over the five-year period. Such progress defines five-year and one-year objectives. Under each goal, list the program approaches shown in the Five-Year Fiscal Needs Table. Show how each will contribute to the five-year and one-year objectives.
- (1) Yearly progress toward some goals (education, for instance) may be slow and the results of program approaches may be difficult to measure in the same terms used to measure objectives. Increased levels of academic achievement might be an example of an objective which the city will be slow to reach. It might be hard to trace the contribution of individual education program approaches toward an academic achievement goal. In such cases, the contribution of the program approach should be stated and measured in the most meaningful terms feasible. These statements can be made in the table or in narrative following the appropriate table.
24. Required Narrative. Following the Five-Year Fiscal Needs and Objectives Tables for each goal, the city should provide narrative which covers the following three areas:
- a. How is the strategy outlined in Section 3. Chapter 2 reflected in the allocation of resources shown in these tables?
- b. What proportion of city resources are allocated to the model neighborhood? To what extent will resources be concentrated more in the model neighborhood?
- c. In those cases where the program approach cannot be measured in the same terms as the objective, provide narrative showing how the program approach is expected to help achieve the objective. For the educational area, for example, the program approach might be to increase the number and quality of teachers, even though the five-year objective is actually measured in terms of academic achievement. In this case, the city would explain how the program approach is expected to improve academic achievement.
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25.-26. RESERVED.

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CHAPTER 4. ONE-YEAR ACTION PROGRAM (Part III of the Comprehensive Program)

27. Supplemental Grant Statement. This submission should describe the strategy for the use of supplemental funds. For each goal in which supplemental funds are proposed to be used, describe how and why supplemental funds are proposed to be used in the following categories: new and innovative activities; redirection of existing resources to better use; mobilization of additional resources. If a city foresees problems or special opportunities in the use of supplemental funds in the first and succeeding years, it should state them.

Using the information and format provided by the city in the first-year portion of the Five-Year Fiscal Needs Table, the city should show the following information for each goal: the expected results at the end of the first year; total first-year cost of project; amount of supplemental funds used in that project; proportion of supplemental funds to total project cost; amount and source of other project funds, if any; total amount of supplemental funds for that goal and for each program approach.

28. Project Description.

- a. Projects on which no Model Cities Supplemental Funds are to be used.

- (1) The submission must include a description, not expected to exceed two pages, of each project which is to be undertaken or continued as part of the first One-Year Action Program. All new projects as well as expansion of existing projects and continuation of presently operating projects should be included. Only the non-Federal contributions to projects included in this statement will be included in the calculation of the city's ceiling for supplemental funds.
- (2) Each project description should begin on a new page and should be appropriately identified by goal and program approach. The description for all projects not funded by supplemental funds should include all information called for in CDA 1, Section 5.3. The description should also indicate whether the project is new, substantially changed, or unchanged. If it is substantially changed, then the description should state how and why it is to be changed. If it is unchanged, the description should state its significance to the program.

b. Projects Funded in Whole or in Part by Model Cities Supplemental Funds.

- (1) Each project that will be funded in whole or in part by supplemental funds must include a work program and a budget (in lieu of the information required in Section 5.3 of CDA 1). The purpose of the work program is to provide a description of the activities that will be conducted during the project. This description should be sufficiently clear and detailed so that:
  - (a) There is an adequate basis for MCA review.
  - (b) There is sufficient justification for the proposed budget.
  - (c) The work program can provide a guide to the subsequent work of the applicant in carrying out the component project. However, it is not expected that the work program for any project will exceed three pages.
- (2) Each work program (except for the Administration Work Program) must provide an answer to the questions listed under the following headings:
  - (a) Purpose and beneficiaries. What is the component project intended to achieve and who will benefit from it? What basis is there for anticipating that the project will actually achieve the intended results? If it involves the expansion of activities already underway in the community, what have been the results accomplished to date?
  - (b) Scope and content. What action will be undertaken during the course of the component project?
  - (c) Timetable. What will be the sequence of activities to be undertaken? How do they relate to one another in time and how can the entire project be initiated and completed in the estimated time?
  - (d) Administration and organization. What is the name of the operating entity? What are the qualifications of the entity to undertake and complete the project? What staff and other resources that will be necessary? How will the CDA supervise and coordinate the projects with other components of the program?

- (e) Evaluation. How will the accomplishments of the project be measured?
- (f) Citizen participation. What opportunity will the residents of the areas and members of the groups be served have to obtain employment in and otherwise participate in the conduct and administration of the project?
29. Budget. Budget requirements and forms for MCA - funded projects will be set forth in a forth coming CDA Letter on Program Budgets.
30. Administrative Structure, Continuing Planning and Evaluation. The Model Cities Program is intended to be an instrument of coordination and change. Coordination and change will not occur without a strong and well designed administrative structure, a process for continuing planning, a procedure for extensive evaluation of results of local Model Cities programs and use of this evaluation in program revision.
- a. Statement of Administrative Structure. Section 7 of CDA 1 describes the statement of administrative structure. These instructions supplement CDA 1.
- (1) The statement of administrative structure should reflect the basic function of the CDA as a planning and policy coordination vehicle. Program operation will normally remain the responsibility of operating agencies. The local program must work with the full support and commitment of the elected governmental structure. The CDA cannot be a separate agency such as an independent housing authority or renewal agency and be effective.
- (2) In addition to reflecting these fundamental relationships, the statement of administrative structure should consider the relationships with the elements of the structure of government responsible for the ordinary municipal services such as trash and garbage collection, police and fire protection and code enforcement, as well as the more obvious services like renewal, education, housing, manpower, and health and welfare. The statement should also clearly reflect the CDA's relationship with those responsible for the many services in the model neighborhood which are not controlled directly by the local unit of government--the independent school boards, state and county highway and welfare departments, community health and welfare councils, chambers of commerce, central labor councils and the private sector generally.

b. Continuing Planning and Evaluation. Section 6.2 of CDA 1 describes the Planning and Evaluation Program Statement. In addition, that statement should indicate what parts of the administrative budget and project budgets reflect the cost of continuing planning and evaluation.

(1) Evaluation is an area that is traditionally neglected by all levels of government. Cities are not necessarily expected to present a complete evaluation plan in the first submission. Each city should recognize the importance of beginning an evaluation process. Every city is encouraged to try new and innovative ideas in this area.

(2) Additional information on continuing planning and evaluation will be provided in a forthcoming Technical Assistance Bulletin. Budget requirements and forms will be set forth in a forthcoming CDA Letter on program budgets.

31. Statement of Non-Federal Contribution. The non-Federal contributions required to be made to all projects assisted by Federal grant-in-aid programs which are carried out in connection with the Comprehensive City Demonstration Program must be specifically enumerated in this section. These projects must be closely related to the physical and social problems of the area and be reasonably expected to have a noticeable effect upon such problems. Forthcoming material will give (1) information as to the projects within the city which may be enumerated, (2) the format in which to present this information, and (3) the rules which HUD will use in calculating the amount of the non-Federal contribution which may be included.
32. Relocation. The submission must include a Comprehensive Relocation Plan and a Relocation Program. Detailed requirements will be set forth in a forthcoming CDA Letter on relocation.
33. Statutory Checklist. The submission must include a completed Statutory Checklist (Appendix 4). For each requirement, note the page or pages in the Five-Year Forecast and/or One-Year Action Program which show how the Comprehensive Demonstration Program meets the requirement.
- 34-35. Reserved.



GLOSSARY OF TERMS 1/ 2/

Goals

An expression of values and description of conditions which the city aims to achieve. For each major goal area, there could be more than one long-range goal.

Examples: To bring the educational performance of the school-age population in the model neighborhood up to the educational performance of the school-age population in the rest of the city.

To increase the proportion of area residents obtaining higher levels of education equal to the proportion of residents obtaining higher levels of education in the rest of the city.

To increase the quality of public education available to residents of the model neighborhood (children and adults) to equal the quality of education available to residents elsewhere in the city.

To obtain and recognize as much involvement of parents in policy making and in the development and administration of the school program in the model neighborhood as is true for school programs in the rest of the city.

Initial Conditions

Those facts about the model neighborhood and the lives of its residents which now exist. It is these conditions against which a city will determine how much progress it can make during the five-year life of its program.

Examples: Number and proportion of school population in model neighborhood achieving test scores at grade level as compared to number and proportion of population in the rest of the city achieving test scores at grade level.

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1/ See Appendix 2 for a graphic illustration of the relation between Goals, Program Approaches, and Projects.

2/ The attempt has been made to use terminology consistently in this letter. Therefore, there are definitional changes from some of the uses of terms in CDA Letter 1 (HUD Handbook DIR 3100.1).

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Number and proportion of model neighborhood school-age population enrolled in school by age categories as compared to number and proportion of school-age population in the rest of the city enrolled in school by age categories.

Number and proportion of teachers in the public schools in the model neighborhood with education beyond a B.S. degree as compared to number and proportion of teachers in the public schools in the rest of the city with education beyond a B.S. degree.

Number and proportion of teachers in public schools in the model neighborhood who have tenure (as opposed to substitute teachers) as compared to number and proportion of teachers in public schools in the rest of the city who have tenure.

#### Objectives

The level of performance, quantified where possible, which measures the progress of the city at a specified time towards achieving its goals.

#### Examples of Five-Year Objectives:

To reduce the differential between proportion of model neighborhood children achieving test scores at grade level and proportion of children achieving such test scores in the rest of the city by (specify amount).

To reduce the differential by (specify amount) between the proportion of school-age children in the model neighborhood enrolled in school and the proportion of school-age children in the rest of the city enrolled in school by age categories.

To reduce the differential between the proportion of high school freshmen graduating from high school in the model neighborhood and the proportion of high school freshmen in the rest of the city schools graduating by (specify amount).

Relation-  
ship Between  
One-Year Ob-  
jectives and  
and Five-Year  
Objectives:

In many cases significant changes in the measures can be achieved within a one-year period. One-year objectives would then parallel the five-year objective statement, varying only in the degree of reduction of the differential to be achieved. In other cases there may not be measurable changes within the first year (in which case the amount specified would be zero), but essential steps which are designed to lead to measurable changes in future periods would be reported in your plan in the appropriate section.

Resources

Money, staff, or other types of support used in implementing, operating, and maintaining projects.

Program Approach

A basic way of achieving a goal within which similar projects can be grouped. Achievement toward a goal usually implies the use of different program approaches and carrying out of several institutional or other changes.

Example (for an educational goal)

improved professional staff  
curriculum development  
better school-community relations  
new and/or better facilities

Project

An organized set of activities, with a recognizable beginning and end point, operating to produce goods and services. The goods and services must be related to the goals of the model neighborhood plan and to one or more program approaches under those goals. Each project must have an identifiable source(s) of funds, administrative machinery, and project operations to produce the goods and services. Two projects may produce the same goods or services, but have different administrative or program operations. Similarly, the same administrative machinery and funding source can generate more than one project, if the goods and services are different.

Examples: 221 d (3), sponsor x.

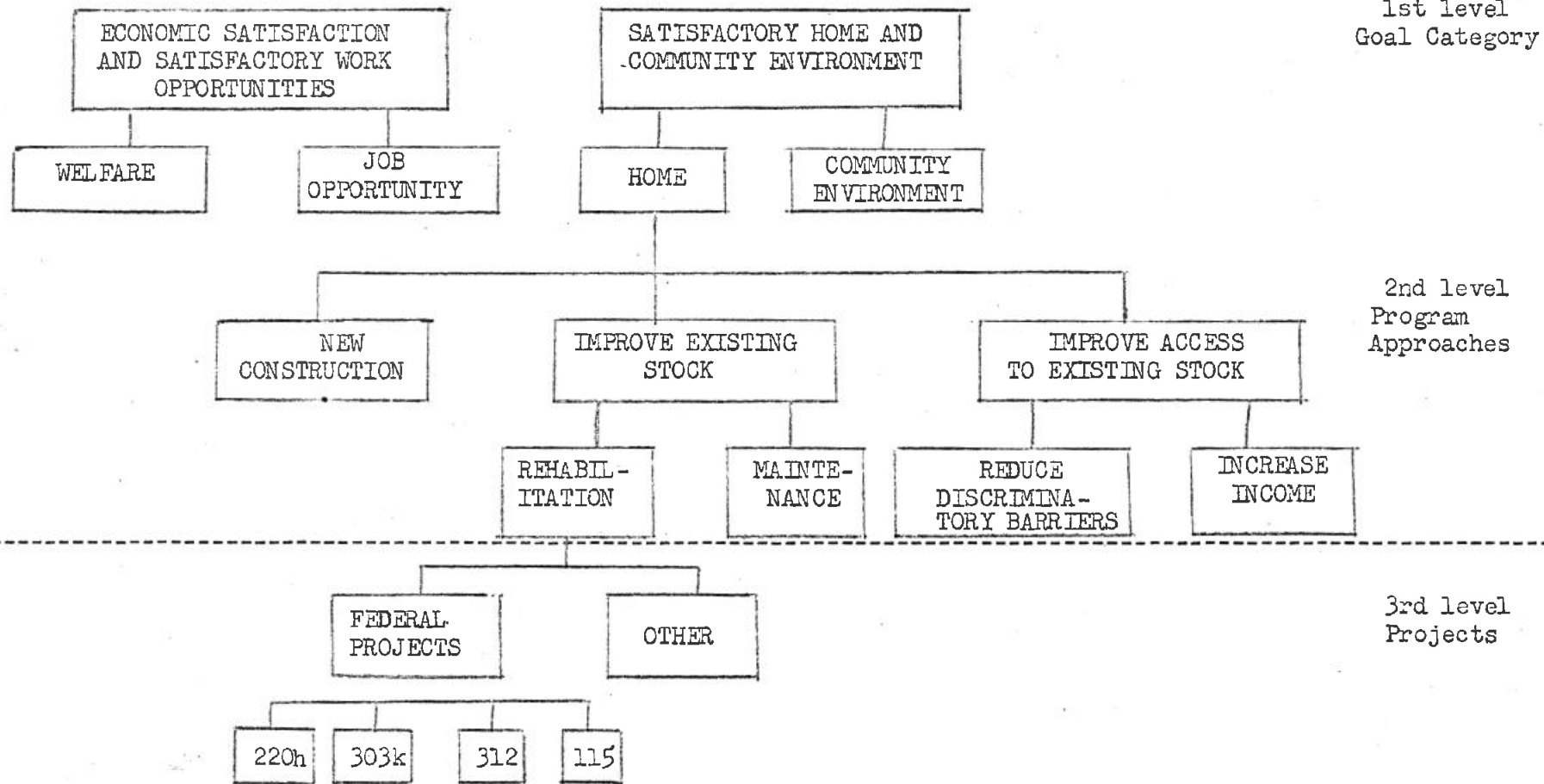
221 d (3), sponsor y.

Urban Renewal Project A-21.

Department of Sanitation "Clean-Up" Intensive  
Treatment.

Department of Recreation Mobile Crafts Unit.

RELATION AMONG GOALS, PROGRAM APPROACHES  
AND PROJECTS



Cities may subdivide each level to the extent deemed desirable. Some entry should appear, however, at each level for each goal.

The categories specified at the first level, abbreviated here, should be stated in terms of measurable goals.

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## FIVE-YEAR FISCAL NEEDS AND OBJECTIVES STATEMENTS

1. FORMAT. This appendix suggests a format for the statements of Five-Year Fiscal Needs and Five-Year Objectives. The tables presented here illustrate some of the alternatives cities have in thinking about and presenting data. They are not intended to suggest the substance of goals, objectives, program approaches or projects. Nor do they serve as exclusive models of how data must be presented by cities, though tabular form is preferred. However, cities are required to meet the following criteria in presenting their data:
  - a. Objectives, program approaches and projects which logically relate to each other should be shown together.
  - b. The program approaches used in the statements should be the same program approaches discussed in the strategy chapter of Part One. The data in the statements should be consistent with the discussion of strategy.
  - c. Total city-wide expenditures and model neighborhood expenditures for each goal should be shown adjacent to one another.
  - d. The main body of the statement should be as simple and comprehensible as possible. The method of presentation should facilitate ready reference from one part to another. Explanatory material or material the city wants to incorporate in its presentation (e.g., a cost-benefit analysis) should be presented in footnotes or technical appendices. Footnotes should appear on the same page as the material to which they are related.
2. ILLUSTRATIONS CHOSEN. Housing and education data were chosen to illustrate the tables in this appendix because they require two different types of presentation. In housing, for the most part, the results of projects and program approaches are directly related to objectives. For example, Project X produces 25 units toward achieving an objective of 100 units. In education, on the other hand, the outputs of projects and program approaches cannot always be directly related to the achievement of an objective. One cannot be certain, for example, that success in the program approach of raising teacher quality increases grade-level performance, the objective, by a specified amount. But he can test that hypothesis in succeeding years.

3. FOOTNOTES. The tables presented here are heavily footnoted so that CDA staff and all those involved in local model cities planning can understand the different types of data shown.

GOAL I: EDUCATION 1/

FIVE YEAR FISCAL NEEDS (Thousands of Dollars) 2/

	INITIAL CONDITION <u>4/</u> 4/68 - 3/69	YEAR I <u>3/</u> 4/69 - 3/70	YEAR II <u>5/</u> 4/70 - 3/71	YEAR III-V 4/71 - 3/74
Total Expenditures, City <u>6/</u>	\$1,598	2,030	2,730	9,600
Total Expenditures, MN <u>7/</u>	98	330	730	2,400

OBJECTIVE 1 8/

To reduce the differential in grade level between MN school children and similar age school children in the rest of the city to one year.

OBJECTIVE 2

To reduce the differential in percentage of children dropping out of school before graduation between MN children and children in the rest of the city by 50%.

PROGRAM APPROACH 9/

					<u>TOTAL</u>
A. <u>Curriculum Improvement</u>	<u>2</u>	<u>36</u>	<u>55</u>	<u>200</u>	291 <u>10/</u>
<u>Unchanged</u>					
<u>Changed</u>					
1. Curriculum Revision Committee		2 Local, 2 MC			
<u>New</u>					
2. Total Curriculum Review <u>11/</u>		5 MC, 15 State (see project IC 3)			
3. American History Revision		2 Private Foundation			
4. Paperback Supplement	2 Local	5 Local			
5. Local Conditions Core Curriculum		5 OEO			

B. <u>Quality Teachers</u>	<u>18</u>	<u>83</u>	<u>350</u>	<u>1500</u>	<u>1933</u>
<u>Unchanged</u>					
1. Professional Leave, Academic Training	10 Local	11 Local	12 Local		
<u>Changed</u>					
2. Summer Workshop	5 Local	10 MC, 5 OEO, 5 State			
3. Recruitment	3 Local	6 Local, 6 State			
<u>New</u>					
4. MN Incentive		10 Local	250 Local		
5. In-School Training Teacher-Student Out-of-School Contact (project IC2) <u>12/</u>	See School-Community Relations Program Approach	30 MC			
C. <u>School-Community Relations</u>	<u>1</u>	<u>88</u>	<u>200</u>	<u>700</u>	<u>988</u>
<u>Unchanged</u>					
1. PTA	1 Local	3 Local			
<u>Changed</u>					
Use of Athletic Field (project ID4) See Improved Use of Existing Facilities Program Approach					
Adult Literacy Program (project IB3) <u>13/</u> See Manpower and Employment Goal					



New

- |  |                    |
|--|--------------------|
| 2. Teacher-Student Out-of-School Contact                   | 15 MC, 15 OEO      |
| 3. Parent-Student-Teacher-School Planning & Administration | 15 Local, 15 State |
| 4. Weekend Storefront Seminars                             | 15 MC              |
| 5. Public Information                                      | 10 Local           |

TOTALS  
(For 3 program approaches)

21 10/

207

605

2,400

3212 10

## Appendix 3

- 1/ Goal I: Education. The goal being described by the table should be identified either in the title of the table or separately in a clearly identifiable manner. In this case, a one-word title was used even though the Goals and Program Approaches chapter undoubtedly gave a more complete description. A longer title would be particularly desirable if a less standard goal were used, such as "family life", where a narrative statement would be necessary to understanding what the goal encompassed.
- 2/ Five-Year Fiscal Needs (Thousands of dollars). The purpose of this table is to give a general picture of the plan, not to apply for funds. Therefore, figures should ordinarily be given to the nearest thousand.
- 3/ Year I. Cities should show their financial forecasting with their most convenient fiscal year. This could create a situation whereby some of the supplemental funds are expended in the year preceding Year I of the plan. Nevertheless, since the plans are to reflect what is most logical and easy for the city to do, the programming year should be defined by the city.
- 4/ Initial condition. This period is always the year prior to Year I of the plan.
- 5/ Year II. Project data is requested for Year II only when the city is clear about expenditures which will be needed for a specific project. Otherwise, forecasting at the program approach level is sufficient.
- 6/ Total Expenditures, City. This figure should show what is being spent for all city residents for this particular goal. This data will be an estimate. In some cities, the data will be more difficult to collect than in other cities. The method of computation and the basis of the estimate should be described in a technical appendix.
- 7/ Total Expenditures, MN. This figure should show what is being spent for residents of the MN for this particular goal. The same method of computation and basis of estimation should be used as in (6) above and described in technical appendix referred to in (6) above.
- 8/ Objective 1. Program Approaches should be grouped under the most relevant objective or set of objectives. In some tables, objectives have to be grouped together because they are so closely related. Similarly, the same program approaches may apply to more than one objective. The grouping of objectives, and program approaches under objective, should be the same in both the Fiscal Needs and Objectives tables.

FIVE-YEAR OBJECTIVES

GOAL II - HOUSING

OBJECTIVE 1 <u>1/</u>	<u>To increase the percentage of MN families living in standard housing units to 75%.</u>				<u>TOTALS</u>
(See explanatory table on next page for relationship between objectives 1 and 2)	Initial Conditions 4/68 - 3/69	Year I 4/69 - 3/70	Year II 4/70 - 3/71	Year III - V 4/71 - 3/74	
	1,500 families in 2/ st. units, 33%	1,600 families in st. units, 35%	1,900 families in st. units, 40%	4,000 families in st. units, 75%	2,500 additional living in st. units.

OBJECTIVE 2	<u>To reduce the gap between the percentage of families living in overcrowded conditions in the MN to the proportion of families in similar conditions in the rest of the city by 50%.</u>				
	Initial Conditions 4/68 - 3/69	Year I 4/69 - 3/70	Year II 4/70 - 3/71	Year III - V 4/71 - 3/74	
	2,250 families overcrowded, 50%	2,250 families overcrowded, 48%	2,125 families overcrowded, 45%	1,250 families overcrowded, 25%	1,000 families moved from over- crowded units.

PROGRAM APPROACH 3/

A. Improvement of Existing Housing	35 additional families living in st. units	75 additional families living in st. units	200 additional families living in st. units	1,700 additional families living in st. units	1,975 additional families living in st. units
B. New Construction	10 additional families living in st. units	25 additional families living in st. units	100 additional families living in st. units	400 additional families living in st. units	525 additional families living in st. units.

OBJECTIVE 3	<u>To increase the number of families presently living in the MN who own their own home to 10%.</u>				
	Initial Conditions 4/68 - 3/69	Year I 4/69 - 3/70	Year II 4/70 - 3/71	Year III - V 4/71 - 3/74	
	45 families homeowners, 1%	70 families homeowners, 1½%	118 families homeowners, 2½%	525 families homeowners, 10%	

PROGRAM APPROACH

- a. Increasing Ability of Low-Income Residents to Become Home-Owners.      No families assisted.      50 families assisted successfully.      100 families assisted successfully.      300 families assisted successfully.      450 families assisted successfully.

Explanatory table showing relation between objectives 1 and 2. 4/

	Initial Conditions 4/68 - 3/69			Year I 4/69 - 3/70			Year II 4/70 - 3/71			Year V 3/74		
	Families in st. units	Families in ss. units		Families in st. units	Families in ss. units		Families in st. units	Families in ss. units		Families in st. units	Families in ss. units	
families in overcrowding	1,000	1,250	2,250 (50%)	1,000	1,250	2,250 (48%)	975	1,150	2,125 (45%)	500	750	1,250 (25%)
families not in overcrowding	500	1,750	2,250 (50%)	600	1,750	2,350 (52%)	925	1,675		3,500	1,000	4,500 (75%)
	1,500 (33%)	3,000 (66%)		1,600 (35%)	3,000 (65%)		1,900 (40%)	2,825 (60%)		4,000 (75%)	1,250 (25%)	
			<u>4,500</u>			<u>4,600</u>			<u>4,725</u>			<u>5,250</u>
			(total families)			(total families)			(total families)			(total families)

104

- 1/ Objective 1. Objectives 1 and 2 are shown together because, in the view of the city, they are closely related to each other. Whenever a forecast table places two objectives together, the objectives tables should do likewise.
- 2/ 1500 Families. Both numbers of families and percentage are included in the statement of objectives to present a more understandable table.
- 3/ Program Approach. Listed under the set of objectives are those program approaches the city feels are programmatically most related to the objectives. The results (output) of the program approaches is stated in the table. In the case of these particular program approaches, the results translate directly into a measure (families moved into standard units) which is comparable to the statement of objectives.
- 4/ (Explanatory Table). Because the two measures are so closely related, the city has decided to show how they relate to each other. In order to keep the body of the table simple, a table which appears at the bottom of the page is referenced. A special technical appendix would also have served the purpose.

In detailed planning to meet housing objectives, it may be necessary to consider cost and number of rooms as well as condition. In this case, more elaborate analysis and tables showing housing units by cost, condition, size and occupancy would be attached in technical appendices.

GOAL II: HOUSING

FIVE YEAR FISCAL NEEDS (thousands of dollars)

	Initial Condition 4/68 - 3/69	Year I 4/69 - 3/70	Year II 4/70 - 3/71	Year III - V 4/71 - 3/74
Total Expenditure City	\$2,900	4,270	7,500	32,700
Total Expenditure MN	90	920	2,510	10,500

OBJECTIVE 1 To increase the percentage of MN families living in standard units to 75%

OBJECTIVE 2 To reduce the gap between the percentage of families living in overcrowded conditions in the MN to the percentage of families in similar conditions in the rest of the city by 50%

PROGRAM APPROACH

					Total
A. <u>Improvement, Existing Housing Supply</u>	<u>90</u>	<u>755</u>	<u>2,100</u>	<u>7,300</u>	<u>10,245</u>
<u>Unchanged</u>					
Urban Renewal A-27, Stone-Hyde <u>1/</u>	(See project IIIB5, Community Environment Goal; see project IIA1, IIB1)				
1. Code Enforcement Stone-Hyde	20 Local, 40 HUD	30 Local, 60 HUD			
<u>Changed</u>					
Urban Renewal A-31, Barn Area	(See Project IIIB6, Community Environment Goal; see project VA2, Manpower & Employment Goal)				
2. Code Enforcement Barn Area	10 Local, 20 HUD	80 Local, 160 HUD			
<u>New</u>					
3. Housing Imp. Grants, Low Income Res.		50 Local, 150 HUD	100 Local, 300 HUD		

4. Rent Supplement		100 HUD			
5. NFP Housing Coop. Finance Corp.		125 MC			
B. New Construction	0	110	300	2,500	2,910
<u>Unchanged</u>					
<u>Changed</u>					
1. Moderate Income, Senior Citizens Stone-Hyde Area <u>2/</u>	See narrative, Non- financial change	25, 50 Local, HUD	100 Local		
<u>New</u>					
2. Rent Supplement		5 MC	200 <u>3/</u> HUD		
OBJECTIVE 3	To increase the number of families presently living in the MN who own their own homes to 10%.				
A. <u>Increasing</u> Ability of Low Income Resident to Become Home Owners	<u>0</u>	<u>55</u>	<u>110</u>	<u>700</u>	<u>865</u>
<u>Unchanged</u>					
<u>Changed</u>					
<u>New</u>					
1. Housing Information Service		5, 20 Local, MC (see also project VIC1)			
2. Family Financial Counseling		30 MCA			
TOTALS (for three objectives)	<u>90</u>	<u>920</u>	<u>2,510</u>	<u>10,500</u>	<u>14,020</u>

2/17

- 
- 1/ Urban Renewal Project A-27, Stone-Hyde Area. This project is entered under Program Approach A even though its costs are shown elsewhere because of its strong secondary effect on this program approach and goal. The number of "see" references for this entry gives an indication of its strategic importance in the Comprehensive Demonstration Program.
  - 2/ Moderate Income, Senior Citizens, Stone-Hyde Area. This project has been changed even though there is no entry for expenditures during the year of initial condition. The change, therefore, did not involve any money. The exact change would be described in the narrative part of the One Year Action Program.
  - 3/ 200 HUD. In this project, the city feels that Year II is the first year in which large expenditures will be made. The project description should contain information explaining the expenditure pattern.



GOAL I: EDUCATION

FIVE YEAR OBJECTIVES

OBJECTIVE 1

To reduce the differential ingrade level between MN school age children and similar children in the rest of the city to one year.

Initial Conditions	Year I	Year II	Year III - V
4/68 - 3/69	4/69 - 3/70	4/70 - 3/71	4/71 - 3/74
MN children 3 grades behind, others 1 grade	MN children 3 grades behind, others 1 grade	MN children 2 - 3/4 grades behind, others 1 grade	MN children 1 grade behind, others at grade level

OBJECTIVE 2

To reduce the differential in percentage of children dropping out of school before graduation between MN children and children in the rest of the city.

Initial Conditions	Year I	Year II	Year III - V
4/65 - 3/69	4/69 - 3/70	4/70 - 3/71	4/71 - 3/74
40% MN children drop out, others 10%	40% MN children drop out, others 10%	35% MN children drop out, others 9%	10% MN children drop out, others 5%

PROGRAM APPROACH 1/

A. Curriculum Improvement (see narrative)

B. Quality

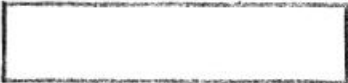
Teachers			
No in-service training course. Average 2 years college training.	Preparation of in-service training course. Average 2 years college training.	Initiation of in-service training course. Average 3 years college training.	50% completion of in-service training course. Average 1 year graduate training.

C. School-Community Relations (see narrative)

11/15

1/ Program Approach. The output of the program approaches in Education are harder to relate to objectives than were the Housing program approaches. The city, in this case, had several options. It could show, for Program Approach B (Better Teachers), the number of teachers trained and some measure of quality of teachers to be achieved for each year. Or it could decide to write a narrative on the program approach which would discuss what is planned for action generally, its reasoning and hypothesis concerning the effect of the program approach on achieving the objective, the relation of this program approach to the other approaches, and briefly how the program approach would be evaluated.

The Housing and Education tables have shown two extremes. Some functional areas have both types of program approaches. A community relations project in Crime and Delinquency component is difficult to relate to a decrease in some specified crime rate or some degree of satisfaction with the community. On the other hand, cities could hypothesize in their tables certain types of reduction in crime rates with increases in particular types of crime prevention techniques.



Appendix 4

STATUTORY CHECKLIST  
(Sec. 103)

Page or pages in the  
program in which  
evidence is presented

- A. A Comprehensive City Demonstration Program is eligible for Federal assistance only if:
  - 1. The program is of sufficient magnitude
    - a. to make a substantial impact on the physical and social problems and to remove or arrest blight and decay in entire sections or neighborhoods;
    - b. to contribute to the sound development of the entire city;
    - c. to make marked progress in reducing:
      - (1) social disadvantages,
      - (2) educational disadvantages,
      - (3) ill health,
      - (4) underemployment,
      - (5) enforced idleness;
    - d. to provide:
      - (1) educational,
      - (2) health,
      - (3) social services necessary to serve the poor and disadvantaged in the area;
    - e. to provide widespread citizen participation in the program;
    - f. to provide maximum opportunities for employing residents of the area in all phases of the program;

STATUTORY CHECKLIST (Sec. 103)	Page or pages in the program in which evidence is presented
<p>g. to provide and enlarge opportunities for work and training;</p> <p>2. The program, including rebuilding or restoration, will contribute to a well-balanced city with:</p> <p>a. a substantial increase in the supply of standard housing of low and moderate cost;</p> <p>b. maximum opportunities in the choice of housing accommodations for all citizens of all income levels;</p> <p>c. adequate public facilities for:</p> <p>(1) education,</p> <p>(2) health and social services,</p> <p>(3) transportation,</p> <p>(4) recreation;</p> <p>d. commercial facilities adequate to serve the residential areas;</p> <p>e. ease of access between the residential areas and centers of employment</p> <p>3. The various projects and activities to be undertaken in connection with such programs are scheduled to be initiated within a reasonably short period of time.</p> <p>a. adequate local resources are, or will be, available for the completion of program as scheduled.</p>	



Appendix 4

STATUTORY CHECKLIST (Sec. 103)	Page or pages in the program in which evidence is presented
<ul style="list-style-type: none"> <li>b. the fullest utilization possible will be made of private initiative and enterprise;</li> <li>c. administrative machinery is available at the local level for carrying out the program on a consolidated and coordinated basis;</li> <li>d. substantive local laws, regulations, and other requirements are, or can be expected to be, consistent with the objectives of the program;</li> <li>e. there exists a relocation plan meeting the requirements of the regulations referred to in section 107;</li> <li>f. agencies whose cooperation is necessary to the success of the program have indicated their intent to furnish such cooperation;</li> <li>g. the program is consistent with comprehensive planning for the entire urban or metropolitan area;</li> <li>h. and the locality will maintain, during the period an approved comprehensive city demonstration program is being carried out, a level of aggregate expenditures for activities similar to those being assisted under this title which is not less than the level of aggregate expenditures for such activities prior to initiation of the Comprehensive City Demonstration Program.</li> </ul>	
<p>B. The projects and activities will be carried out so as to the maximum extent feasible:</p>	

STATUTORY CHECKLIST  
(Sec. 103)

Page or pages in the  
program in which  
evidence is presented

1. they enhance neighborhoods by applying a high standard of design,
  2. they maintain, as appropriate, natural and historic sites and distinctive neighborhood characteristics, and
  3. they make maximum possible use of new and improved technology and design, including cost-reduction techniques.
- C. The preparation of Comprehensive Demonstration Programs includes to the maximum extent feasible:
1. the performance of analyses that provide explicit and systematic comparisons of the costs and benefits, financial and otherwise, of alternative possible actions or courses of action designed to fulfill urban needs; and
  2. the establishment of programming systems designed to assure effective use of such analyses by city demonstration agencies and by other government bodies.