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PROJECT ANALYSIS AND CONTRACT SUBMISSION REQUIREMENTS

SOC. PROGRAM
COORDINATOR

CONTRACT Procedure - CON

PORTLAND MODEL CITIES

FIRST YEAR ACTION PROGRAMS

approved June 1969

by the Department of Housing & Urban Development

Portland Model Cities Agency
Room 210 --- 5329 N.E. Union Ave.
Portland, Oregon 97211
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REGULAR CONTRACT PROCEDURE

(Note: Each step may result in recycling.)

1. This applies to projects and activities approved by HUD in the First Year Action Program, having adequate funds and an operating agency.
2. Projects and activities analysis results in a project description. The project description includes a clear statement of the work program and budget. This is done at the direction of the CDA, using a Task Force consisting of operating agency, CPB Working Committee representatives, and, at the request of the CDA, individuals having technical familiarity with the project.
3.
 - a. Project documentation after approval of CPB Working Committee is signed by the CPB Working Committee Chairman.
 - b. Project documentation reviewed and signed by CDA Program Coordinator.
 - c. Project documentation with legal attachments signed by Deputy City Attorney. (1 day)
 - d. Project documentation with legal attachments signed by CDA Administrative Management Coordinator. (½ day)
 - e. Project documentation with legal attachments signed by Systems Manager. (½ day)
 - f. Project documentation with legal attachments signed by Citizens Participation Coordinator. (½ day)
 - g. Project documentation with legal attachments signed by Director. (1 day)
 - h. Project documentation with legal attachments submitted to the Working Committee Chairman for Citizens Planning Board approval. After approval by CPB, the project documentation with legal attachments is signed by the CPB Chairman. (14 days)

(Project documentation and legal attachments constitute the proposed contract or cooperation agreement. Note that a contract is used when the City contracts with a non-public body; a cooperation agreement is used when the City reaches agreement with a public body, including its own departments.)

4.
 - a. Contract (or agreement) signed by CDA Director. (½ day)
 - b. Contract sent through the City Attorney to the City Council for approval and execution by the Mayor. (7 days)
 - c. Contract approved and signed by the Operating Agency. (7 days)
5. Distribute copies of contracts to operating agencies, city auditor, CDA and MCA.

CONTRACT PROCEDURE FOR CHANGES IN OPERATING AGENCY

(Note: Each step may result in recycling.)

1. This applies to projects and activities approved by HUD in the First Year Action Program which require changes in the designated operating agency.
2. The CDA and a CPB member of the appropriate CPB Working Committee seek out operating agencies.
3. Projects and activities analysis results in a project description. The project description includes a clear statement of the work program and budget. This is done at the direction of the CDA, using a Task Force consisting of CPB Working Committee representatives and, at the request of the CDA, individuals having technical familiarity with the project.
4. Review of the project description by the CPB Working Committee.
5. Review and approval of the project or activity by the CPB.
6. Review and approval of the project or activity by City Council.
7. Review and approval of the project or activity by HUD.
8.
 - a. Project documentation after approval of CPB Working Committee is signed by the CPB Working Committee Chairman.
 - b. Project documentation reviewed and signed by CDA Program Coordinator.
 - c. Project documentation with legal attachments signed by Deputy City Attorney. (1 day)
 - d. Project documentation with legal attachments signed by CDA Administrative Management Coordinator. (½ day)
 - e. Project documentation with legal attachments signed by Systems Manager. (½ day)
 - f. Project documentation with legal attachments signed by Citizens Participation Coordinator. (½ day)
 - g. Project documentation with legal attachments signed by Director. (1 day)
 - h. Project documentation with legal attachments submitted to the Working Committee Chairman for Citizens Planning Board approval. After approval by CPB, the project documentation with legal attachments is signed by the CPB Chairman. (14 days)

(Project documentation and legal attachments constitute the proposed contract or cooperation agreement. Note that a contract is used when the City contracts with a non-public body; a cooperation agreement is used when the City reaches agreement with a public body, including its own departments.)

9. a. Contract (or agreement) signed by CDA Director. (½ day)
 - b. Contract sent through the City Attorney to the City Council for approval and execution by the Mayor. (7 days)
 - c. Contract approved and signed by the Operating Agency. (7 days)
10. Distribute copies of contracts to operating agencies, city auditor, CDA, and MCA.

CONTRACT PROCEDURE FOR CHANGES IN WORK PROGRAM OR BUDGET

(Note: Each step may result in recycling.)

1. This applies to projects and activities approved by HUD in the First Year Action Program, requiring changes in the work programs or budgets.
2. Projects and activities analysis results in a project description. The project description includes a clear statement of the work program and budget. This is done at the direction of the CDA using a Task Force consisting of operating agency, CPB Working Committee representatives, and, at the request of the CDA, individuals having technical familiarity with the project.
3. Review of the project description by the CPB Working Committee.
4. Informal CDA consultation with HUD Leadman on whether this substantially changes the project and therefore required other than local approval. If HUD says that it is not a substantial change, skip steps 5, 6, and 7. If HUD says that it is a substantial change, then proceed with step 5.
5. Review and approval of the project or activity by the CPB.
6. Review and approval of the project or activity by the City Council.
7. Review and approval of the project or activity by HUD.
8.
 - a. Project documentation after approval of CPB Working Committee is signed by the CPB Working Committee Chairman.
 - b. Project documentation reviewed and signed by CDA Program Coordinator.
 - c. Project documentation with legal attachments signed by Deputy City Attorney. (1 day)
 - d. Project documentation with legal attachments signed by CDA Administrative Management Coordinator. (½ day)
 - e. Project documentation with legal attachments signed by Systems Manager. (½ day)
 - f. Project documentation with legal attachments signed by Citizens Participation Coordinator. (½ day)
 - g. Project documentation with legal attachments signed by Director. (1 day)
 - h. Project documentation with legal attachments submitted to the Working Committee Chairman for Citizens Planning Board approval. After approval by CPB, the project documentation with legal attachments is signed by the CPB Chairman. (14 days)

(Project documentation and legal attachments constitute the proposed contract or cooperation agreement. Note that a contract is used when the City contracts with a non-public body; a cooperation agreement is used when the City reaches agreement with a public body, including its own departments.)

- 9. a. Contract (or agreement) signed by CDA Director. (½ day)
 - b. Contract sent through the City Attorney to the City Council for approval and execution by the Mayor. (7 days)
 - c. Contract approved and signed by the Operating Agency. (7 days)
10. Distribute copies of contracts to operating agencies, city auditor, CDA and MCA.

CONTRACT PROCEDURE FOR NEW PROJECTS OR ACTIVITIES

(Note: Each step may result in recycling.)

1. This applies to any project or activity not in the First Year Action Program approved by HUD. (Note: This includes projects and activities in the originally submitted Comprehensive Plan as well as newly developed projects and activities.)
2. Ideas for new projects may be generated anywhere in the community and are submitted to the CPB Chairman for assignment to the appropriate CPB Working Committee by the CPB Executive Committee.
3. The CPB Working Committee develops the idea in cooperation with CDA staff, and, as requested by the CPB Working Committee, with other technical assistance. They produce a project description or make some alternative recommendation to the CPB (for example: "Forget about it; its a bad idea.")
4. If the new project or activity requires Supplemental funding, the CPB Working Committee Chairman reports the approximate amount to the CPB Chairman. The CPB Executive Committee, with CDA staff assistance, prepares a recommendation to the CPB on the availability of Supplemental funds by reallocation.
5. Review and approval of the project or activity by the CPB. A simultaneous review and approval of the reallocation of Supplemental funds is made by the CPB.
6. Review and approval of the project or activity by City Council. A simultaneous review and approval of the reallocation of Supplemental funds is made by City Council.
7. Review and approval of the project or activity by HUD. A simultaneous review and approval of the reallocation of Supplemental funds is made by HUD.
8.
 - a. Project documentation after approval of CPB Working Committee is signed by the CPB Working Committee Chairman.
 - b. Project documentation reviewed and signed by CDA Program Coordinator.
 - c. Project documentation with legal attachments signed by Deputy City Attorney. (1 day)
 - d. Project documentation with legal attachments signed by CDA Administrative Management Coordinator. (½ day)
 - e. Project documentation with legal attachments signed by Systems Manager. (½ day)
 - f. Project documentation with legal attachments signed by Citizens Participation Coordinator. (½ day)
 - g. Project documentation with legal attachments signed by Director. (1 day)
 - h. Project documentation with legal attachments submitted to the Working Committee Chairman for Citizens Planning Board approval. After approval by CPB, the project documentation with legal attachments is signed by the CPB Chairman. (14 days)

(Project documentation and legal attachments constitute the proposed contract or cooperation agreement. Note that a contract is when the City contracts with a non-public body; a cooperation agreement is used when the City reaches agreement with a public body, including its own departments.)

9. a. Contract (or agreement) signed by CDA Director.
 - b. Contract sent through the City Attorney to the City Council for approval and execution by the Mayor.
 - c. Contract approved and signed by the Operating Agency.
10. Distribute copies of contracts to operating agencies, city auditor, CDA, and MCA.

CODING CONTR.

Project	CDA 1968 Code	CDA 1970 Code	HUD- MCA Code
Program Administration		10-00	
Staffing	None	10-01	90
Equipping & Property Management	None	10-02	90
Financial Management	None	10-03	90
Planning/Execution	None	10-04	90
Systems Development	None	10-05	90
Correspondence, Conference & Meetings	None	10-06	90
Clerical Services & Legal Services	None	10-07	90
Public Relations & Communications	None	10-08	90
Citizens Participation		20-00	
Citizens Participation	None	20-01	40
Information and Evaluation		30-00	
Evaluation	6.735	30-01	50
Information		30-02	50
Education		40-00	
Education Aides	3.42	40-01	10
Pre-School Expansion	3.43	40-02	10
Secondary & Continuing Education	3.44	40-03	10
Elementary Education In Law Enforcement	3.143	40-04	10
PCC Summer Institute	3.144	40-05	10
Cascade Center	3.45	40-06	10
Health		41-00	
Health Insurance Design	3.61	41-01	11
Health Co-ordinating & Planning		41-02	11
Social Services		42-00	
Senior Adult Service Center (Total Care for Aged)	3.181	42-01	15
Aging Design		42-02	15
Comprehensive Child Care	3.182	42-03	15
Juvenile Care and Foster Homes	3.184	42-04	15
Consumer Protection	3.185	42-05	15
Multi-Service Center	3.186	42-06	15
Mental Retardation (a & b)	3.62	42-07	15
Recreation and Culture		43-00	
Youth Activities & Planning	3.161	43-01	16
Crime and Delinquency		44-00	
Police Community Relations	3.141	44-01	17
PS-4 Police Intern Program	3.142	44-02	17
Community Legal Services	3.101	44-03	17

Project	CDA 1968 Code	CDA 1970 Code	HUD- MCA Code
Program Administration		10-00	
Staffing	None	10-01	90
Equipping & Property Management	None	10-02	90
Financial Management	None	10-03	90
Planning/Execution	None	10-04	90
Systems Development	None	10-05	90
Correspondence, Conference & Meetings	None	10-06	90
Clerical Services & Legal Services	None	10-07	90
Public Relations & Communications	None	10-08	90
Citizens Participation		20-00	
Citizens Participation	None	20-01	40
Information and Evaluation		30-00	
Evaluation	6.735	30-01	50
Information		30-02	50
Education		40-00	
Education Aides	3.42	40-01	10
Pre-School Expansion	3.43	40-02	10
Secondary & Continuing Education	3.44	40-03	10
Elementary Education In Law Enforcement	3.143	40-04	10
PCC Summer Institute	3.144	40-05	10
Cascade Center	3.45	40-06	10
Health		41-00	
Health Insurance Design	3.61	41-01	11
Health Co-ordinating & Planning		41-02	11
Social Services		42-00	
Senior Adult Service Center (Total Care for Aged)	3.181	42-01	15
Aging Design		42-02	15
Comprehensive Child Care	3.182	42-03	15
Juvenile Care and Foster Homes	3.184	42-04	15
Consumer Protection	3.185	42-05	15
Multi-Service Center	3.186	42-06	15
Mental Retardation (a & b)	3.62	42-07	15
Recreation and Culture		43-00	
Youth Activities & Planning	3.161	43-01	16
Crime and Delinquency		44-00	
Police Community Relations	3.141	44-01	17
PS-4 Police Intern Program	3.142	44-02	17
Community Legal Services	3.101	44-03	17



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THE
CODING
GUIDE

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I. INTRODUCTION

Stock numbers identify merchandise in a department store. Zip codes identify the area to which a letter is to be sent. Magnetic codes identify bank checks. Dewey decimal numbers identify books in the library. The combination of area code, exchange, number, and sometimes extension, identifies a particular telephone. All of the above examples represent situations where a large quantity of information -- about people, cars, or telephones-- would be impossible to manage if it were not organized in some logical fashion. These examples organize their information by assigning numbers and/or letters to each item in order to uniquely identify it. This combination of numbers and/or letters constitutes a code for that item; it tells you something about the item--what it is composed of, where it is located, or possibly, who uses it.

A stock number may describe the size, color, and style of a particular garment. The number or code on a library book tells you something about the content of the book as well as its location in the library. The code can provide all of this information very concisely and precisely, eliminating the need for a lengthy item description. Then, using the codes, it is easy to organize items or pieces of information. Once logically organized, this information is more useful because it can be easily handled, studied, and stored.

A CDA handles great quantities of information also. It administers a very large comprehensive program, consisting of many diverse (and often complex) projects. The proper administration of such a program requires readily-available information for decision-making at all levels. Information could be required on such items as:

- Payroll
- Personnel
- Budget
- Project Performance
- Continual Planning Activities

- Resident Participation
- Coordination Mechanisms
- Evaluation Studies
- Contracts

To some degree, information about each of the above items is amenable to coding. In the following sections two specific coding structures will be discussed: Subproject Coding and Administrative Coding.

Subproject Coding provides a means of organizing the projects within the CDA. Most CDAs have established Program Account areas. By assigning a code to each of these areas and then attaching the proper code to an individual project, the projects are easily grouped. Each project can also be given a unique number to identify it within its Program Account area. A project can usually be broken down into many different parts, subprojects. The coding structure provides sets of codes which will describe a subproject as to its function within the project and the particular activity in which it is involved. These codes, like the stock numbers, tell you something about the item (the subproject). Then, in conjunction with the program and project codes, the full code will uniquely describe and locate the subproject within the total program. The content and uses of all these codes are discussed more fully in Section II, Subproject Coding.

Administrative Coding, discussed in Section III, can be used to identify staff members, chargeable work time, operating agencies, funding sources, and the like. By attaching meaningful codes to each of these items, the CDA can more efficiently organize and manage all of this information.

CDAs are not required to use internally any of these codes. The Administrative Coding Section merely contains guidelines for developing a coding structure that would be useful in internal management of the CDA. The Subproject Coding Structure is currently being used by MCA.

However, if a city has their own system of program and project identification they should continue to use that, particularly if their system is compatible

with one used by the city and/or by other agencies, If the CDA has no system of organizing programs and projects, it might consider using this one. Cities will be required to submit to MCA some kind of unique identification codes for programs and projects as well as functional codes, as described in Section II, for all subprojects. These codes must be submitted only once, after Project Analysis, and thereafter MCA will generate returnable input forms containing the codes for the city; the city may or may not wish to make further use of the codes. New codes must be submitted if a new project appears or if the nature of an old one changes. So, practically, a CDA needs only to become sufficiently familiar with the Subproject Coding Structure in order to generate the proper codes for MCA on a one-time basis. Ideally the CDA will be able to make use of both the Subproject Codes and the Administrative Codes in order to assist them in managing the CDA and in evaluating the Program.

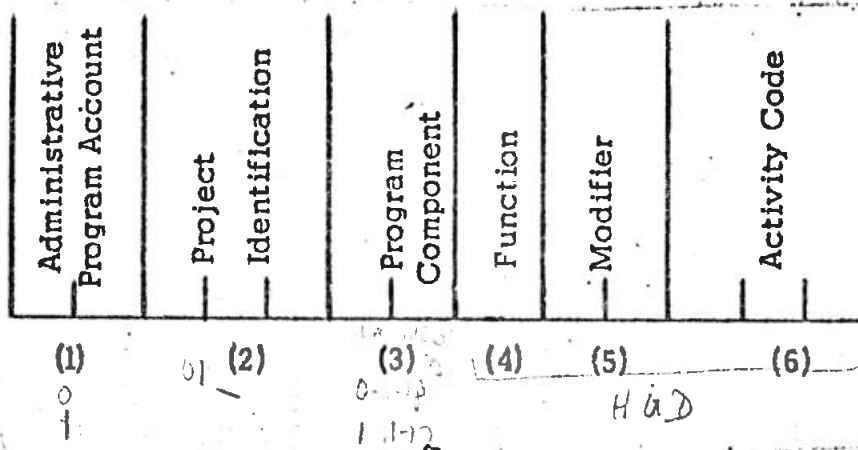
II. SUBPROJECT CODING

A. Definition of Subproject Coding

Subprojects are the discrete work packages which make up a total project. Their successful completion is critical to the success of the project and the attainment of both project and program objectives. Therefore it is important that they be sufficiently well-defined so that their progress can be monitored and evaluated.

Definition of the Subprojects is done during Project Analysis and this process is fully discussed in the Programming Package of the Operations and Installation Manual. Once defined, the Subprojects are ready to be coded, and the coding should be done by the same group doing the Project Analysis. It is important to code Subprojects at this stage, for the coding provides one more way of examining the discrete parts of a project and this may reveal certain ambiguities or weaknesses in its design, or at least provide some further knowledge about its content. The codes also provide for some standardization of subprojects which later facilitates the cross referencing and grouping of projects.

Each subproject is defined by six basic subproject codes, a total of 13 digits. The format of the particular codes is as follows:



The codes describe the following attributes of a Subproject:

- (1) The Program Account under which the subproject is administratively assigned.
- (2) The Project within which it falls.
- (3, 4, 5) The Function it intends to perform .
- (6) The nature of the Activity it will accomplish.

The first code administratively assigns the entire project to a Program Account area within the CDA. Likewise Project Identification Code is the CDA's own identification number for the project. These two codes are valid for all subprojects within a project. The last four codes describe the particular Subproject. Selection of the proper set of codes is definitely an art; it is hard to state any precise rules governing this process. Each CDA, even each CDA staff member, may select a different set of codes to describe their interpretation of the function of that subproject. The selection, however, should not become a long laborious task. It can be done effectively in a brain-storming session with two or three people. If done properly these codes can be invaluable tools for the CDA in organizing the subprojects.

It is not intended, however, that the codes should determine the subprojects or artificially structure them. Instead, they are intended only to describe them in a standard language. If it is impossible to adequately describe a subproject within this structure, perhaps parts of the structure need to be expanded. (See p. 18) Occasionally the codes may reveal that a subproject was poorly defined at first and needs redefinition.

A more definitive discussion of each of the individual Subproject Codes follows. To demonstrate the definition of each code, subprojects from a typical project will be coded and discussed further when necessary. The project to be used in the examples is the "Neighborhood Medical Clinic", which will construct and operate a new clinic to provide a variety of health services and on-the-job training to MN. residents who will be employed there.

The project contains the following subprojects:

- Construction of Neighborhood Medical Clinic
- Staff Development
- Provision of Outpatient Services
- Training of MN Medical Aides

B. Definition of Codes

1. Administrative Program Account

Definition

This two-digit code identifies the Program Account Area administratively responsible for a project and its subprojects. It will be assigned to the project and is valid for all subprojects within the project. These codes are created by the CDA to identify each of the program areas within its administrative structure. These codes need not be the same as the Program Component Codes listed on page A-1, but if a city has similar program areas and no codes as yet, these might be used.

Example *

This Neighborhood Medical Clinic Project is administered by the CDA as part of its Health Program Account. Assuming that the CDA has chosen to use the same codes as MCA (page A-1), Health is coded 11.

Codes

- Construction of Neighborhood Medical Clinic
- Staff Development
- Provision of Outpatient Services
- Training of MN Medical Aides

11				
11				
11				
11				

* Obviously an in-depth understanding of the example project and its subprojects is impossible from this brief description so some assumptions will have to be made as the codes are selected.

2. Project Identification Code

Definition

This three digit code ought to uniquely identify a project within a Program Account area. It may be assigned sequentially by the CDA or may represent anything the CDA would like to note about the project, as long as it is a unique code for this particular project. Since the CDA defines this, it may be alpha, numeric, or both.

Example

Assume that the projects in this example were assigned Project Identification Codes sequentially as they were created. Perhaps then the Neighborhood Medical Clinic was the seventeenth project created within the Health Program Account.

Codes

● Construction of Neighborhood Medical Clinic	11017
● Staff Development	11017
● Provision of Outpatient Services	11017
● Training of MN Medical Aides	11017

3. Program Component Code

Definition

This is a two-digit code that identifies the Program Component to which this subproject is functionally related. The code is taken from the set of codes on page A-1.

Determining the main function of the subproject depends on the interpretation of the subproject intended by those who defined it. That is why this coding should be done immediately after subproject definition by the group that is doing the Project Analysis. More than one code may be given to a subproject if it performs more than one function.

Example

Subprojects of the Health project are each performing very different functions. However, when looking at their main function it becomes clear that the Construction subproject's main function is not to beautify the neighborhood, but to attain certain Health objectives. Likewise, Staff Development, which involves hiring doctors, nurses, and other qualified personnel is not attacking the unemployment problem but is vital to the attainment of the Health Objectives. These three are all assigned a Program Component Code of 11 (Health). The last subproject, Training MN Medical Aides, and providing them with jobs in the clinic relates to Health objectives, but more specifically to hiring and training MNA residents which implies that it hopes to assist in improving the unemployment situation. Therefore the last subproject should have a Program Component Code of 20 (Manpower and Job Development).

Codes

● Construction of Neighborhood Medical Clinic	11017	11
● Staff Development	11017	11
● Provision of Outpatient Services	11017	11
● Training of MN Medical Aides	11017	20

4. Function Code

Definition

This single-digit code is directly related to a Program Component and specifically defines the function within the component which this subproject performs. The Function Codes are not intended to describe in detail the functions within any particular CDA. However, they are broad enough that they should cover most types of functions which might relate to particular subprojects. The Function Codes are grouped under their Program Component codes beginning on page A-2.

Example

In selecting Function Codes for the first three subprojects look at the list on page A-3 under Health. This clinic intends to prevent and control health problems rather than actually to treat people who are sick; it stresses Outpatient Services which would indicate a Function Code of 1. * The fourth subproject is clearly defined. Since you are placing MN residents in jobs for which they are not presently qualified and you intend to train them while they work, the Function Code 3 from the Manpower and Job Development list on page A-10 seems to fit.

Codes

● Construction of Neighborhood Medical Clinic	11017111
● Staff Development	11017111
● Provision of Outpatient Services	11017111
● Training of MN Medical Aides	11017203

* It could be argued, however, that the clinic is as interested in rehabilitating alcoholics. If such were the case, both Functions could be coded for each of the first 3 elements. For purposes of this example, assume that only a Function Code of 1 (Prevent and Control Health Problems) applies.

5. Modifier Code

Description

This two-digit code, like the Function Code, is associated with a Program Component. It too should further define or clarify the function of the subproject. It may state something about the target group (Pre-school, High School, Adult Education), the particular means of attaining the objective (Community Relations, Law Reform, New Construction) or the main area of concentration (Medical, Dental Alcoholism). Its purpose varies with the component it is modifying. Both the Function and the Modifier codes actually modify the component but they each describe a different aspect of the function being performed; the Modifier is stated in more traditional terms. The Modifier Codes are grouped under their respective Program Codes beginning on page A-2.

Example

Since the first three subprojects are related to Health, the modifiers, like the Functions, come from the set on page A-3. The Modifier Code would most likely be 01 (Medical-Physical). The other modifiers don't apply because none of those services -- dental, drugs, food -- have been mentioned in the Project Description. The Modifier Code for the fourth subproject would be under the Manpower and Job Development Program Account on page A-10, but it has no modifiers so zeros are used.

Codes

● Construction of Neighborhood Medical Clinic	11017111	01
● Staff Development	11017111	01
● Provision of Outpatient Services	11017111	01
● Training of MN Medical Aides	11017203	00

6. Activity Code

Definition

This three -digit code is the last of the set and it should complete the definition of the subproject. It identifies the task to be accomplished by the subproject. This code ought to be quite specific and easily related to Output Measures and Participant/Beneficiaries. There should be no difficulty in selecting an accurate Activity Code. If, however, the present list of Activity Codes does not cover some situation, codes may be added.¹ These codes allow a CDA to group activities across all projects and programs, regardless of the objectives to which they relate, their intended functions, or the program area in which they belong. This could result in coordination of like activities or in revised approaches where one activity may be progressing at a much faster pace than the same activity in another area. These codes begin on page A-18.

Example

The selection of an Activity Code for "Construction of Neighborhood Medical Clinic" is quite obvious -- 104 (Building Construction). Likewise, the next subproject has an Activity Code of 260 (Increase Staff Numbers). The third subproject is clearly defined by Activity Code 501 (Clinical Services). The fourth subproject is Activity Code 002 (On-the-job training)²

Codes

Construction of Neighborhood Medical Clinic	1101711101	104
Staff Development	1101711101	260
Provision of Outpatient Services	1101711101	501
Training of MN Medical Aides	1101720300	002

-
1. Additional codes, however, must be approved by MCA. See page 18.
 2. There could be some discussion as to whether it might not be 004 (Work experience) or 005 (New Careers).

C. Uses of Subproject Codes

Coding has been defined in general and in the specific application of coding subprojects. The Subproject Coding Structure and how to select the right codes from the structure have been explained. Now it is time to examine how to use the codes once they have been assigned to the programs, projects, and subprojects. It has been stated that the codes provide a means of organizing this information and of describing it in a standard language. Why is this useful for the CDA? Here are some of the areas in which it may be most useful:

- CDA Information Flow
- CDA Information Storage
- CDA Reporting
- CDA Planning and Evaluation Programs
- CDA Management
- Federal Reporting
- Computerization

It will be shown how the coded data assists the activities in each of the above areas. Examples will be shown when necessary. The CDA is free to use, alter, or reject any of the suggestions. Only in the Federal Reporting are the codes required.

CDA Information Flow

The Administrative Program Account Codes and Project Identification Codes could be used on routing lists and data flow procedures instead of any lengthy instructions or descriptions. This would make manual data processing faster and more efficient. Raw data coming into the system from agencies or surveys could be assigned a Program Account Code, or if possible, a Project Identification Code and then sent to the proper person or file concerned with information carrying this code. Any person or agency requesting information on a particular program area, project, or subproject could specify a code or set of codes on which to retrieve it. The file clerk's job would become almost automatic, glancing quickly at lists of codes in order to sort or locate information.

In the development of a Systems and Procedures Manual the codes are invaluable. All Instruction Sheets, Charts, and Flow Diagrams would contain Program Account Codes and Project Identification Codes, not the full titles of each. Even on a quick reference sheet codes are easier to read and use than one containing narrative (provided one is familiar with the codes).

CDA Information Storage

Once it has been coded, the information could logically be filed by Program Account, Project I.D., and even Subproject, if feasible. If the CDA chooses to expand the coding structure so that information is also coded as to Financial, Participant/Beneficiary, Output Measure, and Employee data, information could also be filed under these areas. It could be coded and organized by administrative responsibility, objectives, or evaluation programs. In a manual system, the CDA would probably establish a very straightforward filing system, and coding to assist storage might be rather simple; however, in a computerized system it could become quite complex, providing instant cross-referencing between any data items across all projects. Data could be deleted by code if, for example, a project or any aspect of it was cancelled; any piece of data could easily be modified or added.

CDA Reporting

In the preparation of reports the codes become particularly useful. The full Subproject Code is first created during Project Analysis and it is immediately transferred onto a Project Description Sheet (Exhibit 1) and a Subproject Description Sheet (Exhibit 2). These sheets are then the source of the codes for all other uses. For any program report the Administrative Program Account Code will identify which projects are to be included. Obviously Project numbers will identify the information which is to be summarized onto each particular Project Report. The reports should also contain the codes identifying the Program and/or Project with which this report deals so that they can be routed and filed efficiently. See Exhibit 4 for a Program Report that utilized codes in collecting and grouping Projects and Subprojects. Exhibit 3 shows a Project Report that is coded.

In the preparation of a Program Account Summary Report, the Program Component Code and the Subproject Codes are extremely useful in locating and sorting the needed information. Part I of the Program Account Summary Report usually lists the subprojects from all projects within that Program Account (See Exhibit 4). Part II, however, might list all Subprojects which perform functions related to this particular Program Account, regardless of which Program Account is administratively responsible for them. By specifying a Program Component of Health in this case, you would retrieve all subprojects relating functionally to Health. If you wished to be even more selective in the types of Subprojects which you included on the report, you could specify a Function and/or Modifier also. Perhaps the Activity Code alone would identify the subprojects of interest to you.

This use of the codes is effective in a manual system because it is easier to flip through Subproject Description Sheets selecting by code those subprojects you want to include in the report rather than having to read through all the narrative descriptions on subprojects. If there is a file containing all Subproject Description Sheets ordered by codes, this is even easier.

The selection by codes of projects and subprojects for reports like the Program Account Summary Report is particularly effective in a computerized system. Then all information is coded and all codes can serve as keys for quick and easy retrieval of data. On the reports the codes can be useful in collecting, coordinating and summarizing data about the projects, programs, and subprojects.

CDA Planning and Evaluation Programs

The coding of subprojects can be very useful in local P & E Programs by providing convenient keys for sorting, combining, cross-referencing and cross-analyzing the information. By grouping similar activities from various projects

throughout all the programs, it is possible to compare the progress each is making. This can be useful in determining which approach to a certain activity might be best. Also, activities that are common to several projects can be consolidated. More sophisticated analyses can be done when all the information is coded and can be manipulated on the computer. The nearly unlimited ways of grouping and cross-analyzing subprojects should give the planners, evaluators, and administrators sufficient information on which to base future progress planning decisions. Such cross-analysis may point out the need for reallocation of resources - funds, employees or emphasis. Comparisons of data items on all levels and through all categories is done by merely choosing the right key or keys on which to retrieve the data. If detailed data is maintained in a standard format for employees, administration, finances, participants, and output measures, it is easy to summarize these statistics also -- either manually or by computer.

Federal Reporting

The subproject codes which have been described thus far for use in the CDAIS are compatible with those in MCA Coding Structure. The subproject codes can be transferred directly to the appropriate areas on the Federal forms. These forms include Exhibits 1 and 2. The projects can then be categorized and summarized by MCA. These codes need to be submitted only once and then the information becomes a permanent part of the MCA data base. MCA will preprint the forms with the codes and new codes need to be submitted only in the case of a new project or a change in an old one. So the coding is really a minimum requirement as compared to most Federal reporting. It was designed to be an extremely flexible structure to allow the cities to describe their activities in their terms. It is hoped that the cities will also be able to make effective use of the codes within their own individual systems.

At least the codes will facilitate retrieval of the necessary information for the Federal Reports. In the future, the Annual Reports will require detailed information on employees and funding as well as project progress. The codes can be used to identify this information, also.

Computerization

The codes are particularly powerful when used in a computerized CDAIS; they are, in fact, the basis of such a system. The data files are ordered on these codes. All reorganization, updating, and retrieval is done using the codes as keys. Adding and deleting of programs, projects, employees, or any particular data item is part of the file maintenance procedures. Summarization and sorting for various reports is easily done on the computer. Even Federal reports can be generated this way and printed with or without their codes, perhaps on preprinted forms. The reports are generated very painlessly. Special programs can be written to do sophisticated analyses of the information. If necessary, the data base can be reorganized and expanded with additional codes more easily on the computer than in a manual system. The manual use of coding prior to computerization is, however, a useful first step; it will help to iron out problems that may occur later, and to point out useful additions and modifications that should be made to the basic structure.

III. ADMINISTRATIVE CODING

Definition

Administrative coding would assist the CDA in monitoring most of the internal activities of its staff and of participating operating agencies. These codes can be as detailed as the CDA wishes. This guide describes four types of information that might benefit from coding:

- Employee Information
- Task Information
- Agency Information
- Funding Source Information

An employee can be identified by a single unique code or by many codes that completely define all of his personal characteristics and every aspect of his duties. If the CDA is maintaining employee data on operating agencies probably less information would be required on these people.

Tasks can fall in broadly defined categories or each specific task within the CDA can have its own code. Employees' time can be recorded by the minute, hour, day or week. Obviously the CDA can determine the level of detail that will provide useful information to management without demanding excessive quantities of information which would be difficult and time-consuming to collect.

The suggestions in this section describe what might be a useful level of detail. Examples of codes for each type of information are given; these may be adopted as is, altered, or expanded by the CDA. These codes may be used on reports, maintained on punched cards or in a computer, taken off manual input forms, used in organizing a filing system, etc. Some examples are included.

Initially, a complex system of Administrative Codes might become confusing unless the intention were to computerize and implement a full management information system. Experimentation is nevertheless beneficial to the CDA. It is up to the CDA to decide what is practical for their present operation and their aspirations for computerization.

Employee Codes

By assigning an employee a Department Code, a Class Code, and a unique Identification Code, the CDA can monitor the types of people employed, their distribution through the various departments and their contributions to various tasks, projects and programs. For operating agencies the CDA might only be interested in the types of employees. Time charges are easily categorized and summarized when the employees use codes on their time sheets. Broad categories of tasks and departments should be defined at first and then expanded as needed; perhaps it would be desirable to assign a code to each staff position and each particular task.

These codes would be used on all time sheets to identify the employee and to correlate his activities with those of others in the CDA or in his department. A sample time sheet is found in Exhibit 5. The codes could also be used to collect, summarize, and display information about Personnel as on the Personnel Summary Report (Exhibit 6), the Annual Personnel Summary Report, and even an internal report generated after each pay period such as the sample shown in Exhibit 7. If the CDA wishes to maintain similar information on time and changes about operating agency personnel; the Agency Code (page 21) would also be attached to each Employee's Identification Codes. Here are some of the codes that might be created and examples of what they might look like:

- CDA Department Code: Most CDAs are organized into several departments, sections, or areas of responsibility. Each of these would be assigned a code and employees would use this code to identify the area in which they are working.

1. Administration		1 CDA Operations
2 Information	OR	2 Information & Evaluation
3 Evaluation		3 Planning
4 Planning		4 Resident Council

Employee Class and Origin:	MNA Resident	NON-MNA Resident
Professional	11	01
Paraprofessional	12	02
Clerical	13	03
Trainee	14	04

- Employee I.D.: Four -digit numbers from 0001 to 9999 sequentially assigned to each employee when they are hired to uniquely identify them.

Task Codes

These codes will identify the general category in which an employee's activities fall during a specified time period. Of course, it is possible to further define subtasks and primary and secondary responsibilities for each task but initially a broader-based system is easier to handle. An agency probably should not be expected to report on tasks, even broadly defined tasks, so define tasks unique to the internal operation of the CDA. Sometimes the tasks may be directly related to a particular project and, in such a case, it might be wise to attach Project Identification Codes to the task, or even Program Codes. These Task Codes would usually be used in conjunction with the Employee Codes to determine the time and charges in each area or for each project. Note particularly the Annual Personnel Summary Report (Exhibit 6), the Time Sheet (Exhibit 5), and the Pay Period Summary (Exhibit 7). The progress in each area should then be compared against the staff involved and the expenditures. This comparison can prove useful for future planning.

Typical codes might look like the following:

• Tasks:	10	Administration
	20	Budget and Fiscal
	30	Information System
	40	Research and Evaluation
	50	Planning and Programming
	60	Community Relations
	70	Clerical.
	91	Holiday
	92	Annual Leave
	93	Sick Leave

Agency Codes

It can be useful to assign codes to all operating agencies in order to correlate their activities in various areas and to file them efficiently in the Agency Reference File. These codes may or may not be compatible with those used by MCA depending on the uses designed by the CDA. These codes can facilitate the retrieval and routing of the various project reports to the proper interested agency. The CDA can formulate its own meaningful codes but it might be useful to adopt the MCA codes if nothing else seems significantly better. These Agency Codes could initially be entered on the Project Identification Sheet (Exhibit 1). Since these basic information sheets are the source of most Project Codes, they would indicate which agency would get the project reports as they were generated. A sample of the MCA codes is included here.

<u>Agencies:</u>	HEWEØ	Office of Education
	HEWHØ/	Public Health Service
	HEWH4	National Institute of Mental Health
	HUDHØ	Housing Assistance Administration
	INTIØ	Bureau of Indian Affairs
	JUSCØ	Civil Rights Division
	DOTHØ	Federal Highway Administration
	SBAØ Ø	Small Business Administration

Funding Source Codes

If Funding Sources are identified by codes it becomes easier to summarize the amounts of funds coming from each source into the overall Program, to the Program Account, and to each Project. Summary Reports could be generated for each Funding Source on the status of all projects to which they are contributing. It might even be possible to compare the Employee Summary on time and charges against the various funds and for what uses they were intended. Obviously, much more information would be required in order to do a thorough job of this. The Funding Source itself is the first item that must be coded before building a more complex structure (one that would probably evolve into a computerized accounting system).

Funding Source codes would be similar to Agency Codes and would be applied to each project and each task within the CDA. Perhaps a primary and secondary source could be listed for each. The codes could be attached to the projects on the PIS sheets. A separate report might be developed eventually to relate the funds to tasks. When the information was gathered from the Employee Reports, it could be compared against the allocation that was intended and thus evaluated.

IV. EXHIBITS

EXHIBIT 1: PROJECT IDENTIFICATION SHEET

PROJECT NUMBER:

PROGRAM OBJECTIVES
AFFECTED (up to 10)

0	3	0	2	0	0	0	0
0	4	0	1	0	0	0	0
0	0	0	0	0	0	0	0
0	0	0	0	0	0	0	0
0	0	0	0	0	0	0	0

PROGRAM ACCOUNT

1	1
---	---

SEQUENCE NUMBER

0	0	2
---	---	---

CDA PROJECT NUMBER

0	0	0	0	0	0	0	0	0	0	0	0
---	---	---	---	---	---	---	---	---	---	---	---

PROJECT DURATION

3	6
---	---

OPERATING ORGANIZATION TYPE

2

OPERATING ORGANIZATION (83 CHAR MAX)

City-County Health Department

PROJECT TITLE (47 CHAR MAX)

Neighborhood Medical Clinic

PROJECT DESCRIPTION (300 CHAR MAX)

This project will construct and operate a Neighborhood Medical Clinic in the Southeast Neighborhood and it will provide medical services to all age groups. These services will be both preventive and treatment oriented. Medical aides will be trained and employed.

TARGET GROUP:

AGE 2

INCOME 1

MINORITY 3

OTHER 0 2

0 0

0 0

EXHIBIT 2A : SUB-PROJECT IDENTIFICATION SHEET

PROJECT NUMBER:

PROGRAM ACCOUNT

1	1
---	---

SEQUENCE NUMBER

0	1	7
---	---	---

ELEMENT NUMBER

0	0	0	1
---	---	---	---

SUB PROJECT CODE:

PROGRAM ACCOUNT

1	1
---	---

FUNCTION

1

MODIFIER

0	1
---	---

ACTIVITY

1	0	4
---	---	---

SUBPROJECT DESCRIPTION (41 CHAR MAX)

Construction of Neighborhood Medical Clinic

OUTPUT MEASURE	1st Qtr.	2nd Qtr.	3rd Qtr.	4th Qtr.
	Planned	Planned	Planned	Planned
Percent Completed				

EXHIBIT 2B : SUB-PROJECT IDENTIFICATION SHEET

PROJECT NUMBER:

PROGRAM ACCOUNT

1	1
---	---

SEQUENCE NUMBER

0	1	7
---	---	---

ELEMENT NUMBER

0	0	0	2
---	---	---	---

SUB PROJECT CODE:

PROGRAM ACCOUNT

1	1
---	---

FUNCTION

1

MODIFIER

0	1
---	---

ACTIVITY

2	6	0
---	---	---

SUBPROJECT DESCRIPTION (41 CHAR MAX)

Staff Development

OUTPUT MEASURE (48 CHAR EACH)	1st Qtr.	2nd Qtr.	3rd Qtr.	4th Qtr.
	Planned	Planned	Planned	Planned
Number interviewed				
Number hired				

EXHIBIT 2C: SUB-PROJECT IDENTIFICATION SHEET

PROJECT NUMBER:

PROGRAM ACCOUNT

1	1
---	---

SEQUENCE NUMBER

0	1	7
---	---	---

ELEMENT NUMBER

0	0	0	3
---	---	---	---

SUB PROJECT CODE:

PROGRAM ACCOUNT

1	1
---	---

FUNCTION

1

MODIFIER

0	1
---	---

ACTIVITY

5	0	1
---	---	---

SUBPROJECT DESCRIPTION (41 CHAR MAX)

Provision of Outpatient Services

OUTPUT MEASURE	1st Qtr.	2nd Qtr.	3rd Qtr.	4th Qtr.
	Planned	Planned	Planned	Planned
(48 Char each) Number receiving emergency treatment				
Number attending clinic				
Number of services provided - by type of service				

EXHIBIT 2D : SUB-PROJECT IDENTIFICATION SHEET

PROJECT NUMBER:

PROGRAM ACCOUNT

1	1
---	---

SEQUENCE NUMBER

0	1	7
---	---	---

ELEMENT NUMBER

0	0	0	4
---	---	---	---

SUB PROJECT CODE:

PROGRAM ACCOUNT

2	0
---	---

FUNCTION

3

MODIFIER

0	0
---	---

ACTIVITY

0	0	2
---	---	---

SUBPROJECT DESCRIPTION (41 CHAR MAX)

Training of Medical Aides

OUTPUT MEASURE	1st Qtr.	2nd Qtr.	3rd Qtr.	4th Qtr.
	Planned	Planned	Planned	Planned
(48 CHAR EACH) Number in training Number completing training Number graduates employed in clinic				

PROGRAM ACCOUNT ANALYSIS

Period Covered _____ Date Prepared _____ Prepared By _____

Program Account (or function) Project Name Project Objective Measure Project Element Process Output Measure	Unit of Measure	ANNUAL ATTAINMENT					LONG-RANGE ATTAINMENT					COST-RATIO ANALYSIS						
		Level at End of Previous Year	Level at End of Current Year	Actual Attainment Current Yrs. Program	Planned Attainment Current Yrs. Program	% of Planned Attainment Current Year	Five-Year (or other) Out/Obj to be Attained	% Out/Obj Attainment Previous Year	% Out/Obj Attainment Current Year	% Out/Obj Attainment Cumulative	% Out/Obj Attainment Remaining	No. of Yrs. to Objective at Current Rate	Out/Obj Attained (or service units) over Current Yr.	No. Particip. Beneficiaries (or service units) over Current Year	Costs Incurred Over Current Year	Cost Per Unit of Out-Obj or Particip. Beneficiaries	Annual Cost Per Unit of Out-Obj or Particip. Beneficiaries	Prep. Cost Per Unit of Out-Obj or Particip. Beneficiaries
Health Program Account Project H1 Project Objective Measure 1 Project Element A Process Output Measure a Process Output Measure b	11																	
Education Program Account Project E1	10																	
Housing Program Account Project H1	30																	

PROGRAM ACCOUNT SUMMARY REPORT

PLANNING COMPONENT Social PROGRAM ACCOUNT Health **11**
 PERIOD COVERED 7/1/69 - 9/30/69
 DATE PREPARED 10/4/69 PREPARED BY _____

Project Elements Outputs to be Measured	Output Units	OUTPUTS															BUDGETS										Action Required/Remarks
		This Quarter			Next Quarter Planned	Following Quarter Planned	Following Quarter Planned	Year to Date			Total Year		This Quarter			Next Quarter Planned (000)	Following Quarter Planned (000)	Following Quarter Planned (000)	Year to Date			Total Year					
		Plan	Actual	% Att.				Plan	Actual	% Att.	Total Planned	% Remain	Plan (000)	Actual (000)	% Att.				Plan (000)	Actual (000)	% Att.	Total (000)	Remain				
(1)	(2)	(3)	(4)	(5)	(6)	(7)	(8)	(9)	(10)	(11)	(12)	(13)	(14)	(15)	(16)	(17)	(18)	(19)	(20)	(21)	(22)	(23)	(24)	(25)			
PART I																											
Neighborhood Health Center																											
1. Health Center Construction	%	5	5	100	-	-	-	100	100	100	100	0	5	5	100	-	-	-	25	25	100	25	0	Done			
2. Staff Development	Indiv	4	4	100	0	0	0	4	4	100	4	0	5	5	100	5	5	5	5	5	100	20	75				
3. Provision of Bus Services	Indiv	10	10	100	10	10	10	10	10	100	60	75	1	1	100	1	1	1	1	1	100	4	75				
4. Provision of Outpatient Services	Indiv	10	10	100	10	10	10	10	10	100	40	75	5	5	100	5	5	5	5	5	100	20	75				
5. Provision of Inpatient Services	Indiv	11	11	100	11	11	11	11	11	100	44	75	10	10	100	10	10	10	10	10	100	40	75				
6. Provision of Counseling Services	Indiv	6	6	100	6	6	6	6	6	100	24	75	2.5	2.5	100	2.5	2.5	2.5	2.5	2.5	100	10	75				
Hope House																											
1. Facility Prep.	%	90	90	100	10	0	0	9	9	100	100	0	15	10	66 2/3	2	0	0	16	15	93	16	7				
2. Staff Develop.	Indiv	42	2	100	1	1	1	2	2	100	5	60	.5	.5	100	.5	.5	.5	.5	.5	100	3	.5				

Collected By
Administrative
Code



Exhibit 4

PROGRAM ACCOUNT SUMMARY REPORT

PLANNING COMPONENT Social PROGRAM ACCOUNT Health
 PERIOD COVERED 7/1/69 - 9/30/69
 DATE PREPARED 10/4/69 PREPARED BY _____

Collected
By Function
Code

-
-
-
-
-
-

Project Elements Output to be Measured	Output Units	Outputs											Budgets										Action Required/ Remarks		
		This Quarter			Next Quarter Planned	Following Quarter Planned	Following Quarter Planned	Year to Date			Total Year		This Quarter			Next Quarter Planned (000)	Following Quarter Planned (000)	Following Quarter Planned (000)	Year to Date			Total Year			
		Plan	Actual	% Att.				Plan	Actual	% Att.	Total Planned	% Remain.	Plan (000)	Actual (000)	% Att.				Plan (000)	Actual (000)	% Att.	Total (000)		% Remain.	
(1)	(2)	(3)	(4)	(5)	(6)	(7)	(8)	(9)	(10)	(11)	(12)	(13)	(14)	(15)	(16)	(17)	(18)	(19)	(20)	(21)	(22)	(23)	(24)	(25)	
PART I (continued)																									
3. Provision of Health Supportive Services	Indiv	15	10	66 $\frac{2}{3}$	25	30	35	15	10	66 $\frac{2}{3}$	105	94	10	8	80	10	10								
• No. provided clinical services	Indiv	15	10	66 $\frac{2}{3}$	25	30	35	15	10	66 $\frac{2}{3}$	105	94	10	8	80	10	10	10	16	15	93	16	7		
4. Provision of Counseling services	Indiv	5	0	0	40	15	20	5	6	120	50	88	5	\$15	110	6	8	8	5	15	100	3	15		
PART II																									
1. Provision of Outpatient Services	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-
2. Provision of Health Supportive Services																									
• Head Start	Indiv	10	10	100	25	25	25	10	10	100	85	75	25	25	100	50	50	50	50	50	100	175	66		
3. Provision of Health Counseling Services																									
• High School Health Hygiene Project	Indiv	75	75	100	100	125	125	75	75	100	125	82	48	50	125	75	100	100	40	50	125	315	85		
PART III																									
1. Provision of Outpatient Services																									
• Neighborhood Health Center	Indiv	10	10	100	10	01	10	10	10	100	40	75	5	5	100	5	5	5	5	5	100	20	75		
2. Provision of Health Supportive Services																									
• Head Start	Indiv	10	10	100	10	10	10	10	10	100	40	75	25	25	100	50	50	50	50	50	100	175	66		
• Hope House	Indiv	15	10	66 $\frac{2}{3}$	25	30	35	15	10	66 $\frac{2}{3}$	105	94	10	8	80	10	10	10	16	15	93	16	7		
3. Provision of Health Counseling Services																									

* NOTE: The Provision of Counseling Services in Part III would also have listed under it, the High School Hygiene Project Counseling Information, Neighborhood Health Center counseling information, and Hope House information.

PROJECT FUNDING SOURCE

Funding Project	Supplemental		Funding Source I			Funding Source II			Total
	Planned	Actual	Code	Planned	Actual	Code	Planned	Actual	Actual
Health									
Project A									
Project B									
Project C									
Project D									
Health Total									
Education									
Project E									
Project F									
Project 6									
Education Total									
○									
○									
○									
Total									

V . APPENDIX

Yancey

PROJECTS APPROVED BY ELD

- 3.141 Police Community Relations
- 3.142 Police Interns
- 3.143 Police Elementary Education
- 3.151 Youth Activities and Planning
- 3.185 Consumer Protection
- 3.186 Multi-Service Center
- 3.42 Educational Aides
- 3.43 Pre-school expansion
- 3.44 Secondary and continuing education
- 3.61 Health Insurance Designed
- 3.81 Residential Development Designed
- 3.121 Pre-NDF
- 3.83 Rehabilitation of Housing
- 3.84 Demolition: Vacant and sub-standard structure
- 3.101 Community Legal Services
- 3.122 NDP
- 3.123 Relocation Study
- 3.144 PCC Summer Institute on Law and Justice
- 3.181 Total Care for the Aged
- 3.182 Comprehensive Child Care
- 3.184 Juvenile Care and Foster Homes
- 3.202 Cascade Community Center
- 3.201 Transportation Service Center

PROJECTS TO BE APPROVED BY HUD

- 3.21 Employment Relations Commission
- 3.22 Operation Step-up
- 3.51 Community Development Programs
- 3.62 Services for the Mentally Retarded
- 3.82 Housing and Counselling

GDA ADMINISTRATION

FINANCIAL CONTROL SYSTEM	JIM PASCHAL
PERSONNEL	J. A. PAGE
SPACE	J. A. PAGE
EQUIPMENT	J. A. PAGE
FUNDS APPLICATIONS	T. BRUMM
PLANNING PROGRAMS AND BUDGETING	E. C. OGBUOBIRI
PROGRAM EXECUTION AND MANAGEMENT	KEN HAMPTON
PROGRAM MONITORING	E. C. OGBUOBIRI
EVALUATION	E. C. OGBUOBIRI
SYSTEMS DEVELOPMENT	E. C. OGBUOBIRI

GDA PROJECT CODING

Project	1968 Code	1970 Code	HUD-NCA Code
Evaluation	6.735	0-15-01	90
Citizen Participation	None	0-15-01	40
Education Aides	3.42	1-41-01	10
Pre-School Expansion	3.43	1-41-02	10
Secondary and Continuing Education	3.44	1-41-03	10
Elementary Education	3.143	1-41-04	10
FCC Summer Institution on Law and Justice for Teachers	3.144	1-41-05	10
Mental Retardation (a)	3.62	1-41-06	10
Mental Retardation (b)	3.62	1-41-07	10
Cascade Center <i>youth app. sh</i>	3.45	1-41-08 1-41-09	10
Employment Relations Commission	3.21	1-42-01	20
Operation Step-Up	3.22	1-42-02	20
Community Development Program	3.21	1-42-03	21
Health Insurance Design	3.61	1-43-01	11
Police Community Relations	3.141	1-44-01	17
PS-4 Police Intern Program	3.142	1-44-02	17
Community Legal Services	3.101	1-44-03	17
Youth Activities and Planning	3.151	1-45-01	16
Transportation Service Center	3.201	1-46-01	32
Juvenile Care and Foster Homes	3.184	1-47-01	15
Consumer Protection	3.185	1-47-02	15
Multi-Service Center	3.186	1-47-03	15
Total Care for Aged	3.181	1-47-04	15
Comprehensive Child Care <i>nutrition program</i>	3.182	1-47-05 1-47-06	15
Residential Development Prog. Design	3.81	1-51-01	30
Housing Counseling	3.82	1-51-02	30
Rehabilitation of Housing	3.83	1-51-03	30
Demolition of Vacant and Sub-Standard Structures	3.84	1-51-04	30
Comprehensive and Pre-NIP Neighborhood Planning	3.121	1-54-01	33
Neighborhood Development Program	3.122	1-54-02	33
Relocation Study Program	3.123	1-54-03	31

PROGRAM COMPONENT CODES

- 10 Education
- 11 Health
- 12 Family Planning
- 13 Consumer Programs
- 14 Income Maintenance
- 15 Coordinated Social Services
- 16 Recreation and Culture
- 17 Crime and Delinquency
- 20 Manpower and Job Development
- 21 Economic and Business Development
- 30 Housing
- 31 Relocation
- 32 Transportation and Communications
- 33 Environmental Protection and Development
- 40 Citizen Participation
- 90 General Administration

*Component
function
modifies of function
activities of the function*
15-200-511

11 Health

	Function		Modifier
1	Prevent and Control Health Problems	01	Medical - Physical
		02	Dental
2	Treat and Rehabilitate Persons Suffering from Health Problems	03	Mental Illness and Retardation
		04	Alcoholism
		05	Drug Addiction
		06	Food and Drug Hazards
		07	Medical and Dental

12 Family Planning

	Function	Modifier
1	Provide Family Planning Services	None

13 Consumer Programs

	Function		Modifier
1	Improve Consumer Buying Power	01	Food
		02	Clothing
2	Improve Consumer Knowledge of Product Benefits	03	Household Equipment
		04	Housing
		05	Other*
		06	General Home Management

*Automobiles, etc.
Please keep a list of
all objectives put in "other"
category.

14 Income Maintenance

	Function	Modifier
1	Provide Risk Reductions Insurance	None
2	Provide Loan Guarantees	
3	Provide General Support	
4	Provide Retirement Support	
5	Provide Other Special Support	
6	Provide Benefits in Kind.	

15 Coordinated Social Services

15 - 200 -

	Function	Modifier
1	Prevent and Alleviate Social Problems	None
2	Protect Dependent Persons	
3	Improve the Organization and Delivery of Services	

16 Recreation and Culture

	Function		Modifier
1	Provide Participant Recreational Oppor- tunities	01	Parks and Open Spaces
		02	Playgrounds and Athletics
2	Provide Spectator Recreational Oppor- tunities	03	Recreation Centers
		04	Auditoriums, Theaters*
		05	Cinemas
3	Provide Cultural Opportunities	06	Libraries
		07	Museums, Exhibits, Fairs
		08	Historical Sites

*Plays, Music, Dance

17 Crime and Delinquency

Function		Modifier
1 Prevent Crime and Enforce Law	01	Patrol
	02	Community Relations
2 Improve Administration of Civil and Criminal Justice	03	Investigation
	04	Prosecution
	05	Communications
	06	Legal Services
3 Improve Safekeeping and Rehabilitation of Criminals	07	Law Reform
	10	Pre-trial (bail, etc.)
	11	Courts - Judging and Assignment of Punishment
	20	Rehabilitation and Safekeeping
	21	Rehabilitation of Criminals
	22	Safekeeping
	30	Probation and Parole
	31	Probation
	32	Parole

20 Manpower and Job Development

	Function	Modifier
1	Increase Job Skills	None
2	Match Workers and Jobs	
3	Job Development (Restructuring Existing Jobs)	
4	Increase Accessibility to Jobs	
5	Change Recruitment, Advancement Practices	
6	Provide Employee Protection Services	

21 Economic and Business Development

	Functions		Modifier
1	Economic Development	01	Community
2	Create Jobs	02	Individuals and Firms
		03	Producer Co-ops
		04	Minority Groups

30 Housing

	Function		Modifier
1	Improve the Climate for Housing Investment	01	Public
		02	Private
2	Expand the Supply of Housing		
3	Provide Special Purpose Housing		
4	Conserve and Improve Housing Stock		
5	Improve Access to Housing Supply		

31 Relocation

Function	Modifier	
1 Assist in Relocation	01	Housing
	02	Business and Industry
	03	Non-Profit Institutions

32 Transportation and Communications

1	Improve Motor Vehicle Transportation	01	Automobile
		02	Taxi
2	Improve Pedestrian Traffic	03	Jitney
		04	Bus
3	Improve Rail Transportation	05	Street Car
		06	Subway
4	Improve Water Transportation	07	Railroad
		08	Ambulances
5	Improve Air Transportation	09	Other Transportation
		11	Telephone
6	Improve Communications	12	Newspaper
		13	Television
7	Improve Traffic Control Safety	14	Radio
		15	Other Communications
		21	Parking
		22	Highway and Streets
		23	Bridges
		24	Sidewalks , Street Lighting

33 Environmental Protection and Development

Function		Modifier
1	Improve Environmental Design	01 Land Use
		02 New Construction
2	Improve Environmental Safety	03 Existing Buildings
		04 Fire Prevention and Control
3	Improve Environmental Health	05 Disaster Prevention and Control
		06 Water Supply
		07 Water Sanitation, Sewers
		08 Storm Drainage
		09 Air Pollution
		10 Noise Control
		11 Rodents and Pests
		20 Solid Waste Collection and Disposal
		21 Garbage Collection
		22 Refuse Collection (including street and lot cleanings)
		23 Abandoned Automobiles

40 Citizen Participation

	Function	Modifier
1	Encourage Citizen Participation in Planning and Policy Making	None
2	Encourage Other Voluntary Participation	

90 General Administration

	Function		Modifier
1	Provide Administrative Services	01	General
		02	Legal
		03	Financial
		04	Planning, Research and Evaluation
		05	Public Relations and Communications
		06	Maintenance

ACTIVITY CODES

000 Not Applicable

DEVELOPMENT OF RESOURCES

-Manpower Training (001)
002 Training
003 On-the-job Training
004 Work Experience
005 New Careers
006 Institutional Training
007 Vocational Rehabilitation, Retraining

-Land Acquisition and Improvements (100)
101 Land Assembly, Acquisition
102 Land Improvement
103 Demolition
104 Building Construction
105 Building Acquisition
106 Building and Other Structure Improvement or Rehabilitation
107 Other Construction

-Equipment and Other Resources (200)
201 Acquire Machinery - Equipment
220 Books
230 New or Revised Legislation or Executive Authorizations
240 Revised Entrance Requirements
250 Curriculum Development or Revision
260 Increase Staff Numbers or Upgrade Staff Positions

ORGANIZATION AND PROVISION OF SERVICES

-Organization of the Delivery of Services (300)
301 Consolidation
302 Decentralization
303 Consolidation and Decentralization
304 Co-ordination
305 Desegregation
351 Referral and/or Placement
352 Follow-up
353 Counseling
354 Intake, Screening, Diagnosis
355 Outreach to MNR
356 Outreach to Firms/Institutions

-Regulation and Control of Services (400)

- 401 Zoning Regulations
- 402 Licenses and Inspection
- 403 Code Inspection and Enforcement
- 404 Subdivision and Construction Regulations
- 420 Control and Safety
- 450 Equal Opportunity

-Provision of Services (500)

- 501 Clinical Services
 - 502 Workshops, Meetings, Classes, Other Instructional Education Methods
 - 503 Tutorial and/or Remedial
 - 511 Day Care
 - 512 Institutional Care
 - 513 Non-Institutional Care
 - 514 Foster and Other Group Care
 - 515 Emergency Relief
 - 516 Emergency Communications
 - 520 Social Rehabilitation
 - 530 Consumer Co-ops and Credit Unions
 - 540 Transportation Services
 - 545 Recreational and Cultural Services
 - 550 Information, General
 - 551 Market Information
 - 552 Market Investment Analysis
 - 553 Technical Assistance
 - 554 Economic and Social Assistance
-
- 570 General Community Promotion
 - 571 Community Organization
 - 572 Intergroup Relations: Police-Community
 - 573 Intergroup Relations: School-Community
 - 574 Intergroup Relations: Public Service Agencies-Community
 - 579 Equal Opportunity (Other than 305 and 450)

INCOME SECURITY AND ASSISTANCE

-Risk Reduction and Income Replacement (700)

- 701 Insurance - Health
- 702 Insurance - Disability
- 703 Insurance - Survivor
- 704 Insurance - Unemployment
- 705 Insurance - Property
- 706 Insurance - Loans
- 720 Employer Risk Reduction

-Income Support (750)

- 751 Public Assistance
- 752 Aid to Families with Dependent Children
- 753 Aid to the Blind
- 754 Aid to the Aged
- 755 Aid to the Disabled

756 Financial Assistance - Grant
757 Financial Assistance - Loan
758 Reduced Interest
759 Children's Allowance
760 Tax Relief
761 Social Security
762 Pension
764 Work Support Stipend

-Benefits in Kind (800)

801 Supplies, Materials, and Space
802 Food Stamps
803 Meal Programs

804 Surplus Foods
805 Medical Care Coverage
806 Rent Supplement

ADMINISTRATION SERVICES

-General Administration and Support (900)

901 Administration
902 Development and Installation of Information System
903 Operation of Information System
904 Basic Research
905 Applied Research
906 Planning
907 Demonstration
908 Evaluation
909 Equipment Maintenance
910 Building Maintenance
911 Other Maintenance (Roads, Utilities)

-End Results (950)

951 Self Concept (Black Pride, Sense of Worth, Identify)
952 Community Pride

-Project Status*

975 New
976 Continuing Same
977 Continuing Expanded
978 Continuing Reduced
979 Continuing Modified

*To be used only in Project Description Codes

TRANSMITTAL NOTICE CDA-20

MC 3140.5

November 25, 1969

1. Material Transmitted

Circular MC 3140.5, Submission Requirements for Second Year Action Plans.

2. Explanation of Material Transmitted

This Circular states the complete submission requirements for the second year action plans of first round cities.

3. Existing Issuances Affected

None

4. Audience

All first round CDA Directors.

5. Comments

This Circular contains the submission requirements for the second year action plans for all first round cities. Submission requirements for the third and succeeding action year plans for first round cities (and for the second and succeeding action year plans for second round cities) will be prepared early in 1970 after further experience has been gained from the CDA Letter No. 9 quarterly progress reports and monitoring sessions and from the plan submissions under existing requirements.

These second year submission requirements for first round cities call for submission of the second year action plan at least two months before a city expects to begin its second action year. Exact dates for submission will be determined by the Assistant Regional Administrator for Model Cities in consultation with the city.

This submission format does not require a mid-year plan

PROGRAM EVALUATION

QUESTIONS AND ANSWERS ON EVALUATION

Certain words and phrases used in Model Cities evaluation material may be used elsewhere with different meanings. This question and answer article is written to help clarify just what is meant when these terms are used in the Model Cities program. If you have further questions, please let us know. As always, reprints are available upon request.

Q. WHY MUST A MODEL CITY EVALUATE?

A. Each annual plan for a Model City's program must be based on knowledge and analysis of the previous year's experience. Evaluation provides this basis for planning, and also leads to improved project management and coordination during operations.

Q. WHAT IS MODEL CITIES EVALUATION?

A. Evaluation is the process of learning how far the Model City's program and its projects and activities have gone toward meeting objectives and by what means they are achieving the objectives. Evaluation also helps to learn whether the program is operating efficiently and effectively.

Q. WHAT KINDS OF ACTIVITIES ARE INCLUDED IN EVALUATION?

A. Some major categories of evaluation activities include: project monitoring, project evaluation, program evaluation, evaluations of institutions and service delivery systems, administrative and management evaluation, evaluation of the planning process and of the plan (CCDP).

Q. WHAT IS AN "OUTPUT" MEASURE?

A. An "output" measure indicates project activity in terms of some product of the project, such as the "number of houses constructed," "the number of children taught in the special reading class." It does not measure the accomplishment of a project objective because objectives are stated in terms of changes in people. (Number of children *taught* does not determine how much their reading was successfully improved.)

Q. WHAT ARE PRINCIPAL REQUIREMENTS FOR AN EVALUATION PLAN?

A. The evaluation plan must show what will be evaluated, who will do the evaluation, a work program for their tasks, how evaluation will be used for the next year's plan, what budget will be used for the evaluation, how citizens are involved in evaluation, and how evaluation is designed and implemented to meet the particular needs of this model city's program. More details about the elements of an evaluation plan are given in the memorandum on Continuing Planning and Evaluation, May 19, 1969.

Q. WHAT IS THE DIFFERENCE BETWEEN THE CDA INFORMATION SYSTEM AND THE EVALUATION SYSTEM?

A. The CDA prototype information system provides some of the data needed for evaluation, but also provides data for other purposes such as planning and administration. An evaluation system is the way a CDA organizes and performs the analyses of information to learn its *significance*. Evaluation makes judgments about what has happened and attempts to explain causes and effects, which simple data processing cannot do.

Q. HOW DOES THE CDA PROTOTYPE INFORMATION SYSTEM BEING INSTALLED IN FIRST ROUND CITIES HELP WITH EVALUATION?

A. The CDA prototype information system establishes procedures for the analysis of projects to determine data needed. This data includes output measures, characteristics of project participants, measuring whether project objectives are met, and the relation of the project to program objectives. Thus, the information system can provide much of the information necessary for evaluation.

Q. WHAT WILL THE CDA INFORMATION SYSTEM NOT DO?

A. The information system does not provide for analysis and interpretation of data, for evaluation research designs, for evaluation of an agency's delivery system or for many other such things. It provides information for project monitoring and superficial project evaluation. Any city could expand the prototype information system to include definition of data needs and data collection that go beyond the present prototype CDA information system.

Q. WHAT IS PROJECT MONITORING?

A. Project monitoring is learning if a project is in fact doing what it set out to do. It compares actual activity to planned activity including dollar expenditures, numbers and types of persons served, progress against work schedule.

Q. WHAT IS PROJECT EVALUATION?

A. Project evaluation is the analysis of changes in the lives of the particular persons and families who take part in a Model City project, together with an analysis of how the project is being conducted to bring about the changes. (Some projects, such as construction projects, may have no effect on families' lives the first year.) Evaluation also questions whether the objectives were appropriate to the problems, how citizens helped guide the project, what changes were made in agency policies.

Q. WHAT IS PROGRAM EVALUATION?

A. Program evaluation is the analysis of the changes that take place in the conditions of life throughout the Model Neighborhood not just among people involved in specific Model City projects. It attempts to identify how the changes are caused by model city programs. Program level evaluation also includes analysis of strategy, of the extent and depth of citizen participation, of improvements in agency capability, and the like.

Q. HOW IS PROJECT MONITORING DIFFERENT FROM PROJECT EVALUATION?

A. Both project monitoring and project evaluation are considered part of a Model City's evaluation program. Monitoring makes no judgment except whether the project actually did what it set out to do, on schedule and within budget. Evaluation goes beyond this to question whether planned targets were reasonable in light of Model City problems and priorities and resources actually available. It also analyzes such things as: How were objectives achieved? What obstacles were there? Was the achievement worth what it cost?

Q. WHAT IS A PROGRAM OBJECTIVE?

A. A program objective is a statement of an improvement in the conditions of life in the Model Neighborhood, which is intended to be brought about by a group of actions in the Model City program. One program objective might be: "To bring the level of school achievement of Model Neighborhood children up to the level of school achievement of children throughout the city within 5 years."

Q. WHAT IS A PROJECT OBJECTIVE?

A. A project objective is a statement of an improvement that is intended to be brought about for a particular group of neighborhood people served by a particular project. A project objective might be: "To increase the reading level of 50 third-grade children in a special school to the level of children in the city as a whole within one year."

of a form of interim submission from all cities. However, in order to keep fully abreast of continuing planning progress, regional offices may require cities to submit interim drafts of parts of their action plans prior to the first submission. All cities are reminded that a continuing evaluation leading to the second year continuing requirement that must, if it is to be successful, begin early in the first action year. Regional Offices will be instructed to review continuing planning progress with the cities at each of the quarterly meetings held around the CDA Letter No. 9 reports and advise me of both progress and problems.

These requirements do not ask for detailed reports on the progress of programs using supplemental funds in the first action year. However, since knowledge of this progress will be an essential element of our review, it will be very important that cities compile their quarterly reports, called for in CDA Letter No. 9, as fully and accurately as possible. These reports will be reviewed in conjunction with the plans provided under these submission requirements.

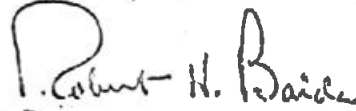
This submission format emphasizes what the cities have learned from their first years of operational experience and how they feel that can improve their comprehensive plans for the second action years.

These submission requirements ask cities to summarize and update the problems, causes, objectives, and strategy from the voluminous Parts I and II submitted under CDA Letter No. 4. This summary will structure these components in a manner similar to the format being used by the second round cities and will become the foundation upon which cities will build their programs for the succeeding action years.

We will be arranging regional meetings to discuss and explain these submission requirements in more detail. In the meantime, if you have any particular questions please discuss them with your Leadman or the Assistant Regional Administrator for Model Cities.

6. Filing Instructions.

File in binder under Category 3140.



Robert H. Baida
Deputy Assistant Secretary for Model Cities

Distribution: List 1, TABS 2-6, List 2, List 4, List 5, TABS 1-3
WICC, MC Professional Staff, Regional Administrators, ARA-MC, Regional
Support Staff, Office of Audit, Office of Financial Systems and Services,
RICC, CDA Directors, Governor's Representatives, Public Interest Groups,
Professional Organizations, Evaluation Contractors and Consultants,
Assistant Secretaries Working Group.

CIRCULAR

MC 3140.5

Date: November 25, 1969

SUBJECT: Submission Requirements for Second Year Action PlansAudience: All First Round CDA DirectorsNote: This Circular contains REQUIRED PROCEDUREA. INTRODUCTION

1. Purpose : This Circular states the complete submission requirements for the second year action plans of first round cities. These submission requirements, in addition to the applicable CDA letters and policy memoranda, are intended to: (a) lead these cities to strengthen the weak parts and build upon the strong parts of the previous year's planning process and action plan and (b) develop a plan for the second action year.
2. Summary of Plan Contents and Submission Schedule: The plans submitted by first round cities for their second action years shall consist of the following information:
 - a. Summary and updating of model neighborhood conditions, objectives, and strategy;
 - b. Description of and major changes proposed in non-programmatic components (administrative structure, citizen participation, resident employment, relocation, and continuing planning and evaluation);
 - c. Description of projects in the second action year;
 - d. Statement of base entitlement;
 - e. Summary of the action plan.

The plan for the second action year is due no later than two months before the start of that year. The contents of this plan will be reviewed in conjunction with the monthly and quarterly progress reports submitted by the city under the requirements of CDA Letter No. 9. An important part of the final review process will be questions and discussions on the achievement of major program objectives. Therefore, the city should be fully prepared to discuss

what impact the accomplishments of high priority projects had on changes in the lives of model neighborhood residents in the first action year.

B. (SECOND YEAR ACTION PLAN)

Cities must continually analyze those problem areas outlined in Section 103(a) of the Demonstration Cities Act which are relevant to the model neighborhood and develop a comprehensive plan to alleviate them over the duration of the Model Cities program. However, each action year's plan should be sharply focused on the problem areas established through the problem analysis, objectives, and strategy determinations as updated for that action year. The second year action plan must build upon the first year's submission and the experience gained by the city. It should show an increasing ability on the part of the city to meet the performance standards described in CDA letters and policy memoranda.

Based on 1st year performance how can show change in strategy & priorities

with local "no problem analysis"

1. Summary and Up-Dating of (Model Neighborhood Conditions) Objectives and Strategy.

a. Model Neighborhood Conditions. Based on the model neighborhood problems and their causes described in the first year's action plan and the experience gained in the first action year, summarize the major problems confronting the model neighborhood, the causes which bring about and sustain these problems, and how these causes are related.

(It is very important that this Statement make clear which of these problems and causes are considered most important. Extensive data (statistical or narrative) is not required in this Summary. Available data should be used, however, to help establish which problems are most important and to measure progress in overcoming them from year to year.)

In addition to summarizing previously described conditions this Statement shall include:

(1) Any major changes in the nature and perception of principal problems and their causes previously identified as confronting the neighborhood.

(2) Any improvements in the measurement of conditions, and in the data necessary to determine baseline

conditions against which progress can be measured.

(3) Any major new problems that have been identified, the causes that bring them about and sustain them, and their relationship to previously defined priority problems and causes.

(4) Any major changes that have been or will be made in the priority ranking of problems and causes and the reasons for these changes.

b. Objectives. Based on the major model neighborhood objectives described in the first year's action plan and on the experience gained in the first action year, summarize the major short and long term objectives the city expects to achieve through its Model Cities plan.

(Objectives should take into consideration existing levels of Federal funds and local administrative performance and capability. Long-term objectives should be stated in relation to the most appropriate time period, recognizing that some objectives may be achievable more quickly than others. The city need not define all objectives with the same level of specificity. HUD's only basic requirements are that objectives stem from a comprehensive analysis of the major social, economic, and environmental problems of the model neighborhood, relate to a statement of priorities concerning these problems, and provide a framework within which the city can develop a precise and realistic strategy or plan of action.)

In addition to summarizing previously described objectives this Statement shall include:

(1) Any major changes and additions that have been made in or are proposed for the principal long-term objectives, including changes in priorities.

(2) The objectives to be accomplished in the second year action plan, indicating those that are the most important among these.

c. Strategy. Based on the major elements of the strategy described in the first year's action plan and on the experience gained in the first action year, summarize the principal elements of the strategy to carry

out the plan. Major changes from the first year's action plan should be specifically noted.

This statement shall include:

- (1) the basic methods the city is using to carry out its plan;
- (2) the coordination mechanisms;
- (3) the roles the chief executive, agencies and the private sector, residents, the CDA, and other parties are playing in carrying out the plan;
- (4) the methods used for the achievement of institutional changes;
- (5) the use of supplemental funds;
- (6) the allocation or reallocation of local resources;
- (7) the ways employed to achieve broad-based community support;
- (8) the methods used to achieve maximum resident employment.

This summary and updating of problems, causes, objectives, and strategy serves as the foundation upon which the city develops the remaining components of its second year action plan.

2. Description of and Major Changes Proposed in Non-Programmatic Components. The city shall describe its plan of operation in the following areas for the second action year. Major changes from the first year's action plan should be specifically noted.

a. Administrative Structure

This section shall include:

- (1) the overall administrative organization used to implement the plan;
- (2) the staffing pattern of the CDA;
- (3) the fiscal and project monitoring systems;

- (4) the mechanism(s) the city will use to coordinate program efforts;
- (5) the relationship and access of the CDA to the chief executive;
- (6) the extent to which public and private agencies whose cooperation is necessary for the success of the program participate and what additional steps will be taken to secure cooperation where necessary;
- (7) the structure or procedures for fully involving neighborhood residents in continuing planning, coordination, and monitoring;
- (8) the plans for providing training and employing of model neighborhood residents in the on-going administration of the Model Cities program.

b. Citizen Participation

This section shall include a brief description of the citizen participation structure, how it remains responsive to the neighborhood, and what technical assistance is and will be available.

c. Resident Employment

This section shall include a brief statement indicating how the city will provide the training and maximum employment of model neighborhood residents in all aspects and at all occupational levels of the program.

d. Relocation

This section shall include an updating of the comprehensive relocation plan and program. Specific submission requirements are set forth in CDA Letter No. 5.

e. Continuing Planning and Evaluation

This section shall describe how the city intends to carry out continuing planning and evaluation in the second action year. This statement

shall include:

- (1) what it will evaluate and how it will perform the evaluation;
- (2) what agency or person(s) will perform evaluation;
- (3) how it intends to relate the results of evaluation to the job of continuing to improve the plan;
- (4) what work schedule will be followed to insure timely development and approval of the plan for the third action year. (This should include evaluation and continuing planning inputs, citizen consideration, and city government approval.)

This section should also include budgets, where applicable, in accordance with CDA Letter No. 6.

3. Description of Projects in the Second Action Year

In this section, the city is expected to indicate the complete range of projects proposed for the second action year as well as those discontinued from the first action year. This range of projects includes:

- a. Continuing, discontinued, and new projects using supplemental funds.
- b. Continuing, discontinued, and new projects having a substantial impact on the model neighborhood but not using supplemental funds.

(1) Supplemental Funded Projects

(a) For those projects funded wholly or partially from supplemental funds and being continued from the previous action year there must be appropriate budgets, as described in CDA Letter No. 6, and the city shall indicate:

1. Any major changes in the project for the coming action year, including purpose and

beneficiaries, operation, anticipated levels and sources of funding, operating agency, coordination with other projects, and how the progress of the project is measured, supervised and monitored.

2. The schedule of activities for the second action year.

3. How model neighborhood residents of diverse ages and interests participate in and influence the project's planning, evaluation and administration.

4. What opportunity model neighborhood residents have to obtain employment at all levels in the project.

5. If the operating agency is being changed, what are the qualifications of the organization that will operate the project? If it is an existing institution, indicate specific commitment to the Model Cities program (i.e., resources, staff, changed policies and priorities). If a new body is to be used, describe how it will be formed, its organizational structure, its capacity to carry out the project (staff, technical assistance), and why an existing institution is not being used.

(b) In this section, the city shall list all supplemental-funded projects in operation in the first action year but not being continued in the second action year and those projects that will switch to non-supplemental fund sources in the second action year. (See page 9, part 3, 2(c) for the format for describing these latter projects.)

Budget (c) For each new project to be funded wholly or partially with Model Cities supplemental funds there must be appropriate budgets, as described in CDA Letter No. 6, and a project description containing the following information:

1. Purpose and Beneficiaries - What is the project intended to accomplish and who will it directly benefit (quantify if possible)? How does it help carry out the strategy?

2. Content and Operation - What major activities will be undertaken and by whom? Where and how

will services be rendered?

3. Timetable - When will the project start, how long will it last, what is the schedule of activities to be undertaken?

4. Funding - If funding sources in addition to supplemental funds are to be used, indicate the status of applications or funding commitment and what action, if any remains to be taken. Are any problems being encountered? If the project is expected to last more than one year, what are the anticipated future costs and sources of funds? What provisions, if any, have been made to continue the project after Model Cities supplemental funds are no longer available?

5. Project Administration - What are the qualifications of the organization that will operate the project? If it is an existing institution, indicate specific commitment to the Model Cities program (i.e., resources, staff, changed policies and priorities). If a new body is to be used, describe how it will be formed, its organizational structure, its capacity to carry out the project (staff, technical assistance), and why an existing institution is not being used.

6. Coordination - How will this project be related to other program and project activities? How will the city achieve coordination with other activities?

7. Evaluation and Monitoring - How will progress of the project be measured? How will the city provide supervision and monitoring?

8. Citizen Participation - How will model neighborhood residents of diverse ages and interests participate in and influence the project's planning, evaluation and administration?

9. Resident Employment - What opportunity will model neighborhood residents have to obtain employment at all levels in the project? How many residents will be employed?

It is expected in most cases that these project descriptions should not exceed three pages. However, they may be expanded if cities feel this is necessary to adequately

explain particular projects.

(2) Non-supplemental funded projects

(a) For each major continuing project having a substantial impact on the MN, but not using supplemental funds, there must be a brief statement indicating:

1. Any major changes in the project description;
2. What opportunity model neighborhood residents will have to participate in the planning, evaluation, and administration of this project;
3. What opportunity model neighborhood residents have to obtain employment at all levels in the project;
4. How the progress of the project will be measured and monitored;
5. The level of funding.

(b) In this section, the city shall list any major projects having a substantial impact on the model neighborhood, but not using supplemental funds in the first action year, not being continued in the second action year.

(c) For each new major project having a substantial impact on the model neighborhood, but not using supplemental funds and for each project using supplemental funds in the first but not the second action years, there must be a brief statement indicating:

1. The purpose of the project and how it will help carry out the strategy of the plan;
2. Who it will directly benefit (quantify if possible);
3. The operating agency and how this project will be coordinated with related Model Cities activities;
4. How the progress of the project will be measured and monitored;

5. What opportunity model neighborhood residents will have to participate in the planning, evaluation, and administration of this project;

6. What opportunity model neighborhood residents will have to obtain employment at all levels of the project and how many residents will be employed;

7. The level of funding proposed, whether funding has been obtained or committed, what efforts are being made to secure it (including the status of applications) and any problems being encountered.

These project descriptions generally should not exceed two pages.

Because of limited funds, the need to focus second year projects on the causes of priority problems may mean that some projects will need to be deferred. In a separate section cities should list those high priority projects that are scheduled for the third or succeeding action years but which could be started at some earlier time if additional funding were to become available.

Statement of Base Entitlement

The submission must include a listing of the projects which are to be used to establish the base entitlement. Specific submission requirements are set forth in CDA Letter No. 7.

C. SUMMARY OF THE ACTION PLAN

The city shall submit along with the action plan a brief (five page) summary describing important progress, prominent changes in the comprehensive plan, and key programs for the next action year. (This statement will be used to meet requests for information about the city's program.)

D. SUBMISSION FORMAT

All submissions shall follow the format described in this memorandum. They shall also include a table of contents and be:

1. on 8-1/2 X 11 inch paper;

-
2. in three-ring binders;
 3. printed on one side of the page;
 4. numbered according to some consistent pattern.

- J. Compensation for personal services must be comparable to that for similar services in other local governmental agencies on the open market when similar services do not exist in local government.
- K. Eligible costs must adhere to the specifications of CDA #8, part II.
- L. Must be able to with stand periodic audits as set forth by the CDA.
- M. Federal and State employment laws relating to fringe benefits and fair employment adhered to.
- N. A double-entry accrual bookkeeping system

Note!

It is suggested that this check off be time phased so as to come before actual signing of the contract with an operating agency.

March 19, 1970

TO: Paschal

FROM: Brame

SUBJECT: Suggested Check List for Determining Accounting Adequacy of
Operating Agencies

Refer CDA #8, Part II, Chapter 3

- A. Separate functional responsibilities, no one person can have significant control of all phases of a transaction. The Finance and administration staff should be large enough so that only one person handles each of the four following phases of all transactions:
 1. Authorization (signatures) *Two (Fiscal & Administration)*
 2. Records and Documents maintenance
 3. Receipt and Deposit of funds
 4. Disbursement of cash
- B. Record Keeping should be completely done by a person or persons who handle no cash or liquid assets. Disbursements must be supported by invoices or requisitions, which can quickly be traced to the contract or purchase order. Disbursements must be made by pre-numbering.
- C. Personnel who handle cash should have no access to the accounting records.
- D. All mail opened and stamped upon receipt.
- E. Checks and negotiable instruments should have a restrictive endorsement placed upon them when received.
- F. Cash receipts deposited the day received and for the full amount.
- G. A safe or safe cabinet for handling negotiable assets
- H. Bank Statements should be reconciled to the accounting records the day received.
- I. The O/A must file necessary reports to the U.S. Treasury and any duly authorized state or local Taxing entity.
- J. Each O/A and CPO shall retain all its records and support documents referring to the contract for at least three years after the receipt of the final payment.
- K. The chief Fiscal officer and all handling funds under the contract must be bonded. The CDA must be notified of any reduction or cancellation of this bonding.

PROJECT/ACTIVITY ENDORSEMENT SHEET

PROJECT/ACTIVITY TITLE _____

PROJECT NUMBER _____

APPLICABLE CONTRACT PROCEDURE NUMBER _____

APPROVED FOR ANALYSIS (1) _____ Date _____

NOT APPROVED FOR ANALYSIS (1) _____ Date _____
(authorized CPB Working
Committee Chairman)

ANALYSIS APPROVED: (2) _____ Date _____
(CPB Working Committee Chairman)

(3) _____ Date _____
(Authorized CDA Signature and
Title for form only)

(4) _____ Date _____
(CPB Chairman)

(5) _____ Date _____
(Authorized City Government
Official and Title)

(6) _____ Date _____
(HUD Leadman)

DOCUMENTATION WITH ATTACHMENTS 1-9 APPROVED FOR CONTRACT:

(7) _____ Date _____
(Authorized CPB Working Committee
Chairman)

(8) _____ Date _____
(CDA Coordinator)

DOCUMENTATION WITH PROPOSED CONTRACT/AGREEMENT APPROVED:

(9) _____ Date _____
(CDA Attorney (Deputy City Attor-
ney)

(10) _____ Date _____
(CDA Adm. Management Coordinator)

PROJECT/ACTIVITY ENDORSEMENT SHEET CON'T

DOCUMENTATION WITH PROPOSED CONTRACT/AGREEMENT APPROVED:

- (11) _____ Date _____
 (CDA Citizen Participation Coordinator)
- (12) _____ Date _____
 (CDA Systems Manager)
- (13) _____ Date _____
 (CDA Director)
- (14) _____ Date _____
 (CPB Chairman)

Explanation of form: SEE CONTRACT PROCEDURES

Signatures should follow the sequence number except as noted below:

a) For Contract Procedure 1, steps 1, 4, 5, 6 may be omitted

For Contract Procedure 2, steps 1, 6 may be omitted

For Contract Procedure 3, step 1 may be omitted

For Contract Procedure 4, no exceptions

b) Amendments to earlier endorsements suggested later signatories should be addressed to the CDA Systems Manager for appropriate re-cycling.

C

POLICY MEMORANDUM - CLARIFICATION OF SUBMISSION REQUIREMENTS
FOR COMPREHENSIVE PLANS

I. INTRODUCTION

The second and succeeding year's action programs submitted by all first and second round cities shall contain the following information:

1. A description of how the up-dated plan was developed,
2. Changes in model neighborhood conditions and comparisons with the previous year to measure progress,
3. Any changes in what cities want to accomplish and new or revised strategies to accomplish these objectives,
4. Evaluation of, and changes proposed in administration, citizen participation, evaluation and continuing planning,
5. A description of projects in the updated plan and reasons for any changes from the previous year.

A draft of this statement is due at least two months before the next year's program is to begin.

II. SUBMISSION REQUIREMENTS FOR SECOND AND ALL SUCCEEDING YEARS

Each year both first and second round cities will submit up-dated One Year Action Programs and revisions to other parts of their comprehensive plans. These submissions are due at least two months before the next action year is scheduled to begin. They shall be based on the ongoing planning and evaluation of the previous year's experience.

These up-dated One Year Programs should follow the format identified in Chapters 1 and 2 of the First Year Submission Requirements (8/69). They need not repeat descriptive material previously given except where such information is necessary for understanding changes made in the plan for the coming action year. They must include the following information:

1. How was the plan developed?
2. How and to what degree have the model neighborhood conditions described in Chapter 1, Part 2, changed over the last year? Why have these changes occurred?
3. What changes should be made in program objectives and strategy and why?

4. How effectively has the administrative structure, citizen participation mechanism and structure for continuing planning and evaluation worked? What changes, if any, are proposed?
- ✓ 5. Updated project descriptions shall clearly indicate whether funding is being increased, decreased or kept constant. An explanation should be given for each of these decisions. Projects which are to be dropped should be noted and explained. Changes in the direction of projects should be noted and explained.
6. New project descriptions shall include the information required for first year projects.

III. SUBMISSION FORMAT

All submissions shall be:

1. On 8-1/2 x 11 inch paper.
2. In three-ring binders.
3. Printed on one side of the page.
4. Numbered according to some consistent pattern.
5. Indexed.

UNITED STATES GOVERNMENT

DEPARTMENT OF
AND URBAN DEVELOPMENT*Memorandum*

TO : All Second Round CDA Directors

DATE: August 22, 1969

In reply refer to:

FROM : Floyd H. Hyde, Assistant Secretary
Model Cities and Governmental Relations

SUBJECT: Submission Requirements for First Year Comprehensive Plans

I. INTRODUCTION

A. Purpose: The purpose of this memorandum is to simplify the requirements of CDA Letter #4. It makes clear what the first year comprehensive plans submitted by second-round cities should contain and where cities should place their first year planning emphasis.

This simplification of submission requirements is intended to:

- (1) eliminate previous requirements for statements of goals, program approaches, five-year tables, and the statutory checklist;
- (2) reduce the amount of paper submitted and time spent on problem identification;
- (3) place more emphasis on the strategy to carry out the plan;
- (4) make sure that projects are directly related to (a) a statement and analysis of model neighborhood problems, (b) the objectives to overcome or reduce these problems, (c) the causes of these problems, (d) the priorities and relationships among these causes, and (e) a realistic, well thought through strategy.

B. Plan Contents and Submission Schedule: The first year plan submitted by second-round cities shall contain the following information:

1. Mid-Planning Statement:

- (a) how the plan is being developed;
- (b) a summary of model neighborhood problems and the causes of these problems;
- (c) what cities want to accomplish and what strategy will be used to achieve these objectives.

2. First Year Action Plan:

- (a) updated Mid-Planning Statement;
- (b) a description of the projects in the plan;
- (c) a description of the administrative structure, continuing planning efforts and the evaluation plan;
- (d) a relocation plan;
- (e) a statement of base;
- (f) a statement of resident employment.

The Mid-Planning Statement is due no later than the middle of the planning period. The exact submission date shall be determined by the Assistant Regional Administrator for Model Cities in consultation with the city.

The Model Cities Administration and other Federal agencies will review the Mid-Planning Statement at the regional level in order to ensure its consistency with Model Cities policies and objectives and to identify technical assistance needs and anticipated project funding difficulties. Although preliminary efforts toward project and fund identification may begin, detailed project development should not be started until this review has been completed.

The First Year Action Plan is due no later than two months before the end of the planning period.

II. FIRST YEAR SUBMISSION REQUIREMENTS FOR SECOND ROUND CITIES

A. Chapter 1 - Mid Planning Statement (How the plan is being developed, Model Neighborhood Conditions, Objectives and Strategy)

This Statement shall be submitted approximately mid-way in the planning period. The exact date shall be determined by the ARA for Model Cities in consultation with the city. It should be revised, based on Federal reviews and additional experience gained by the city, and submitted in final form as part of the First Year Action Plan.

This Statement should address each of the three parts noted below with primary emphasis on the strategy section. It should not exceed 75 pages.

Part 1. Description of the Planning Process (should not exceed 10 pages)

(a) What methods are being used to develop the plan?

(b) Who has participated in developing this submission? Specifically, how are CDA staff, residents of diverse ages and interests, public and private agencies, consultants, and the mayor or chief executive officer of the city involved in developing the plan? What will be the involvement of these and other relevant groups in the development of the final submission?

(c) What is the citizen participation structure? How does it remain responsive to the neighborhood? What technical assistance is being used?

(d) How has coordination been attempted, what successes have been achieved and what problems remain?

(e) What has been the effect of Federal and State involvement in the development of the plan?

Part 2. Summary of Model Neighborhood Conditions (should not exceed 30 pages)

(a) What are the major problems confronting the model neighborhood?

(b) What are the causes which bring about and sustain these problems and how are these causes related? Have previous efforts been made to eliminate these causes? Why weren't they successful?

It is very important that this Statement make clear which of these problems and causes are considered most important. Extensive data (statistical or narrative) is not required in this Summary. Sufficient data should be used, however, to help establish which problems are most important and to measure progress in overcoming them, from year to year.

Cities must analyze those problem areas outlined in Section 103(a) of the Demonstration Cities Act which are relevant to the model neighborhood and develop a comprehensive plan to alleviate them over the duration of the Model Cities program. However, each action year's plan should be sharply focused. The first year's plan especially should be designed to begin a substantial attack on only the most important causes of model neighborhood problems.

Part 3. Objectives (What is to be accomplished) and Strategy (How is it to be accomplished)

(a) Objectives: In this section the city shall indicate how far it feels it can go in a four to seven year period in overcoming the problems it has identified, taking into consideration existing levels of Federal funding and local capacity. The city should select the exact time period within the four to seven year range that appears most appropriate for each stated objective.

The city need not define all objectives with the same level of specificity. HUD's only basic requirements are that objectives (1) stem from a comprehensive analysis of the major social, economic, and environmental problems of the model neighborhood, (2) relate to a statement of priorities concerning these problems, and (3) provide a framework within which the city can develop a precise and realistic strategy or plan of action for the first and subsequent action years.

The city shall also indicate (1) what objectives have been set for the first year, (2) why it has decided these are the areas in which to make initial improvements and, (3) which are the most important among these objectives.

(b) Strategy: In this section the city shall indicate how it will achieve the objectives it has established. This strategy statement should focus on the plan as a whole and not on individual component areas. It shall describe:

(1) What are the important basic ways the city will carry out its plan?

(2) How does the city plan to achieve program coordination?

(3) What roles are the chief executive, agencies and the private sector, residents, the CDA, and other parties expected to play (separately and jointly)?

(4) What changes will be necessary in institutions and their practices (including local laws and regulations) and how will they be achieved?

(5) How will supplemental funds be used and why for these specific purposes?

(6) How will local resources be allocated or reallocated?

(b) Strategy: In this section the city shall indicate how it will achieve the objectives it has established. This strategy statement should focus on the plan as a whole and not on individual component areas. It shall describe:

(1) What are the important basic ways the city will carry out its plan?

- (7) How will maximum resident employment at all levels be achieved?
- (8) How will broad-based community support be achieved?

B. Chapter 2 - First Year Action Plan: The First Year Action Plan must flow directly from the objectives and strategy established in Chapter 1. The first year projects must be directly related to the causes of the problems identified and the priorities and relationships established among these causes.

Part 1. Up-Dated Mid-Planning Statement

This Statement shall contain any necessary revisions of model neighborhood problems, planning process, strategy and objectives caused by the Federal review and important additional information and experience gained by the city.

Part 2. Projects

The city is expected to indicate the complete range of first year projects. Related projects should be grouped to show how they impact the causes of a particular group of problems. Only those projects included here may be used for purposes of base entitlement. This range of projects includes:

- (a) projects funded wholly or partially by supplemental funds;
- (b) new projects funded from sources other than supplemental funds;
- (c) existing projects that are being substantially changed to accomplish Model Cities purposes;
- (d) major projects that have a substantial impact on the model neighborhood but which will continue in basically an unchanged state.

1. Supplemental Funded Projects

For each project to be funded wholly or partially with Model Cities supplemental funds there must be appropriate budgets, as described in CDA Letter #6, and a project description containing the following information:

- (a) Purpose and Beneficiaries - What is the project intended to accomplish and who will it directly benefit (quantify if possible)? What objectives does it help achieve? How does it help carry out the strategy?

FILL THESE
REQUIREMENT
FOR HUD -
CITY HALL

- (b) Content and Operation - What major activities will be undertaken and by whom? Where and how will services be rendered?
- (c) Timetable - When will the project start, how long will it last, what is the schedule of activities to be undertaken?
- (d) Funding - If funding sources in addition to supplemental funds are to be used, indicate the status of applications or funding commitment and what action, if any remains to be taken. Are any problems being encountered? If the project is expected to last more than one year, what are the anticipated future costs and sources of funds? What provisions, if any, have been made to continue the project after MC supplemental funds are no longer available?
- (e) Project Administration - What are the qualifications of the organization that will operate the project? If it is an existing institution, indicate specific commitment to the Model Cities program (i.e., resources, staff, changed policies and priorities). If a new body is to be used describe how it will be formed, its organizational structure, its capacity to carry out the project (staff, technical assistance), and why an existing institution is not being used?
- (f) Coordination - How will this project be related to other program and project activities? How will the city achieve coordination with other activities?
- (g) Evaluation and Monitoring - How will progress of the project be measured? How will the city provide supervision and monitoring?
- (h) Citizen Participation - How will model neighborhood residents of diverse ages and interests participate in and influence the project's planning, evaluation, and administration?
- (i) Resident Employment - What opportunity will model neighborhood residents have to obtain employment at all levels in the project? How many residents will be employed?

It is expected in most cases that these project descriptions should not exceed 3 pages. However, they may be expanded if cities feel this is necessary to adequately explain particular projects.

2. Non-Supplemental Funded Projects (new, substantially changed, and major continuing projects). For each major project having a substantial impact on the MNC, but not using supplemental funds there must be a brief statement indicating:

- (a) the purpose of the project and how it will help carry out the strategy of the plan;
- (b) the operating agency and how this project will be coordinated with related Model Cities activities;
- (c) the level of funding proposed, whether funding has been obtained or committed, what efforts are being made to secure it (including the status of applications) and any problems being encountered;
- (d) what opportunity model neighborhood residents will have to participate in the planning, evaluation, and administration of this project;
- (e) what opportunity model neighborhood residents will have to obtain employment at all levels in the project;
- (f) how on-going projects have either been changed or if unchanged how they contribute to the program. In either case levels of funding should be noted.

These project descriptions generally should not exceed two pages.

Because of limited funds, the need to focus first year projects on the causes of priority problems may mean that some projects will need to be deferred. In a separate section cities should list those high priority projects that are scheduled for the second or succeeding action years but which could be started at some earlier time if additional funding were to become available.

Part 3. Administrative Structure

Each plan must make clear that adequate administrative machinery exists to carry out the Model Cities program. The statement of administrative structure must describe:

- (a) the overall administrative organization to implement the plan;
- (b) the staffing pattern of the CDA;

- (c) the fiscal and project monitoring systems;
- (d) the capability of the city to implement the program, coordinate program efforts, and undertake continuing planning and evaluation;
- (e) the relationship and access of the CDA to the chief executive;
- (f) the extent to which public and private agencies whose cooperation is necessary for the success of the program are prepared to participate and what additional steps will be taken to secure cooperation where necessary;
- (g) the structure or procedures for fully involving neighborhood residents in continuing planning, coordination, and monitoring;
- (h) the plans for training and employing model neighborhood residents in the ongoing administration of the Model Cities program.

It must also include budgets in accordance with CDA Letter #6.

Part 4. Continuing Planning and Evaluation

Each plan must describe how cities intend to carry out continuing planning and evaluation. This statement shall indicate:

- (a) what they will evaluate and how they will perform the evaluation;
- (b) what agency or person(s) will perform evaluation;
- (c) how they intend to relate the results of evaluation to the job of continuing to improve the plan;
- (d) what work schedule will be followed to insure timely development and approval of the action plan for the succeeding year. (This should include evaluation and continuing planning inputs, citizen consideration, and city government approval.)

Details about these submission requirements are contained in the memorandum on Continuing Planning and Evaluation, dated May 19, 1969.

Part 5. Relocation

The submission must include a comprehensive relocation plan and program. Specific submission requirements are set forth in CDA Letter #5.

Part 6. Statement of Non-Federal Contribution

The submission must include a listing of the projects which are to be used to establish the base entitlement. Specific submission requirements are set forth in CDA Letter #7.

Part 7. Resident Employment

The submission must include a brief statement indicating how cities will achieve the training and maximum employment of model neighborhood residents in all aspects and at all occupational levels of the program.

III. Summary Description of Plan

The city shall submit along with the First Year Action Plan a brief (5 page) summary statement describing the model neighborhood conditions, the planning process used, the strategy, and the key action programs.

IV. Submission Format

All submissions shall follow the format described in this memorandum. They shall also include a table of contents and be:

- A. on 8-1/2 x 11 inch paper;
- B. in three-ring binders;
- C. printed on one side of the page;
- D. numbered according to some consistent pattern;

Gancy

PROJECT ANALYSIS

**MODEL CITIES
PORTLAND, OREGON**

PROJECT TITLE New Project Documentation

PROJECT NUMBER _____

PROJECT STATUS **New** February 14, 1970
 Expanded

OPERATING AGENCY CDA & CPB

PLANNING COMPONENT _____

ADMINISTRATIVE NUMBER _____

PROGRAM ACCOUNT Program Administration

CITIZENS' WORKING COMMITTEE _____

PROJECT FUNDING	100% SUPPLEMENTAL	USING SUPPLEMENTAL	USING CATEGORICAL	OTHER	TOTAL
Anticipated					
Affirmed					

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1) Purpose and Beneficiaries

- What is the project intended to accomplish?
- Who will participate?
- Who are the target group?
- Who are the beneficiaries?
- Give quantitative answers where possible.

2) Content and Operation

- What are the functional elements of the project?
- For each of the functional elements, what are the key activities?
- Who is responsible for performing each function or for carrying out each key activity?
- What services will be rendered if they are different from the functions?
- Where will the services be rendered?
- How will the services be rendered?

3) Time Table

- When will the project start?
- How long will it last?
- Show each activity to be undertaken in a time frame.

4) Funding

- Will non-supplemental funds be used in addition?
- If yes, what is the status of applications and funding commitment?
- What actions, if any, remain to be taken?
- Are any problems being encountered?
- If project will last more than a year, what are the anticipated future costs and sources of funds?
- What provisions, if any, have been made to continue the project when Model Cities supplemental funds are no longer available?

5) Project Administration

- What are the qualifications of the operating agency?
- For an existing institution indicate any commitment to the Model Cities Program such as resources, staff, changed policies and priorities.
- For a new institution, show organizational structure, capacity to carry out the project (staff, technical assistance) and explain why our existing institution is not being used.

6) Coordination

- How will this project be related to other program and project activities (considering common objectives, related outputs, and related inputs or resources)?
- How will CDA achieve coordination with other agencies?

7) Monitoring and Evaluation

- How will the progress of this project be measured?
- How will CDA provide monitoring and supervision?
- (Who will carry out the evaluative activities?)

8) Citizen Participation

- What are the citizen participation functions?
- What citizen participation functions are promoted by this project?
- How are these functions specifically promoted?

9) Resident Employment

- What opportunity for MN resident employment exists at all levels of this project?
- How many residents will be employed?

10) Budget

- Itemize the cost for carrying out key activity and summarize budget on budget forms and make reference to any budget attachments.

Time Table

- When will each activity start?
- When will each activity end?

Administration

- Show Organization structure as it relates to this project.
- State affirmative action to be taken with respect to resident recruitment, hiring, training, and assignment for each position in the organization structure.
- Give a salary for each position and the job description for that position.
- Describe briefly the financial accounting system to be used by the agency in carrying out this project.
- What additional resources will the agency be able to contribute to the project?
- For each activity indicate the staff responsible and the type of resources to be committed.

Budget

- Item by item, what dollars, manpower, man hours, equipment will be committed to complete each key activity?
- Summarize data on recommended budget forms.

- h) Project/Activity Analysis approval date by City Council _____
- i) Project/Activity Analysis approval date by HUD _____

j) Categorical Funds application begun _____ completed _____

k) Funds application submitted to:

- _____ on _____ (Fed. _____ State _____ Other _____)
- _____ on _____ (Fed. _____ State _____ Other _____)
- _____ on _____ (Fed. _____ State _____ Other _____)
- _____ on _____ (Fed. _____ State _____ Other _____)

l) Application approved by:

- _____ on _____ for \$ _____
- _____ on _____ for \$ _____
- _____ on _____ for \$ _____
- _____ on _____ for \$ _____

6. Contract/Agreement Preparation:

Project documentation signed by:

- CPB Working Committee Chairman on _____
- CDA Program Coordinator on _____
- CDA Attorney on _____
- CDA Administrative Management Coordinator on _____
- CDA Citizen Participation Coordinator on _____
- CDA Systems Manager on _____
- CDA Director on _____
- CPB Chairman on _____

7. Contract/Agreement signed by:

- CDA Director on _____

City Mayor on _____

Operating Agency on _____

Target date for Contract/Agreement to be fully executed _____

8. Copies of executed Contract sent to:

CDA on _____

Operating Agency on _____

City on _____

HUD/MCA on _____

Related Program and Project Objectives/Strategies

- What Program objectives are served by this project?
- What are the Program strategies served by this project?
- What are the project objectives?

Evaluative Requirements and Procedures

- What questions must be answered about this project?
- Who is responsible for answering these questions?
- When will these questions be answered?
- What data are needed to answer these questions?
- What are the sources of these data?
- What forms are required for collecting data?

Information Requirements and Reporting Procedures

- What information about this project is required by CDA?
- When must this information be made available to CDA?
- In what manner or form must this information be transmitted?

System Summary

- Show a block diagram picture, where applicable, indicating mechanical linkages between the various functional elements of this project, and between these elements and other projects.

IN SOCIAL PROGRAM

Initial Conditions and Problem Analysis

- What are the initial conditions?
- What are the manifestations of the problems which this project is designed to solve?

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E. J. 118

AGREEMENT BETWEEN THE
CITY OF PORTLAND AND THE
CITY-COUNTY COUNCIL ON AGING
OF PORTLAND AND MULTNOMAH COUNTY

THIS AGREEMENT entered into this 5th day of ~~FEBRUARY~~ MARCH, 1970, by and between THE CITY OF PORTLAND, herein referred to as "CITY" and the

AGENCY, herein referred to as the "AGENCY",

W I T N E S S E T H :

WHEREAS the City has entered into a contract with the United States of America for a grant to conduct a comprehensive City Demonstration Program for a certain area (referred to as the Model Neighborhood) pursuant to Title I of the Demonstration and Metropolitan Development Act of 1966, and

WHEREAS the Agency was created by intergovernmental agreement of the City and the Agency, and is delegated the responsibility of planning and coordinating programs to benefit the aged within the City of Portland and Multnomah County, and

WHEREAS there is available to the City from the Agency, a grant in the amount of \$13,291 to conduct planning and coordinate programs for the Agency within the Model Neighborhood, said grant requiring a local share in the amount of \$5,458 which local share may be provided from Model City funds,

NOW, THEREFO the parties hereto do r ually agree as follows:

I

SCOPE OF SERVICES: The Agency shall perform all services necessary under the provisions of this contract and shall perform and carry out in a satisfactory and proper manner the following:

a. The duties of the Agency as described in Exhibit "A" hereof.

II

LABOR STANDARDS: The Agency shall, in its performance of its duties under this agreement, comply with the provisions of Exhibit "B" hereof.

III

TIME OF PERFORMANCE: The services of the Agency are to be commenced as soon as practical after the execution of this contract and shall be undertaken and completed in such sequence as to assure their expeditious completion in the light of the purposes of this contract, but in any event all of the services required hereunder shall be completed in accordance with Part 3 of Exhibit "A".

IV

COMPENSATION AND METHOD OF PAYMENT: The agency shall be compensated by the City for their full costs for performance hereunder, said full cost not to exceed the sum of \$

a. Such funds as the City may receive from the Oregon State Program on to provide the services of the Agency hereunder, shall be transferred to the Agency.

b. Such funds as the City may receive through the Model City Program to provide the services of the Agency hereunder, sha be paid to the Agency on a three month basis on account of work done hereunder upon receipt by the City of a request for reimbursment from the Agency and the report contained in "c" below.

c. The Agency shall at the end of each three month period report to the City, in form satisfactory to the City, its expenditures, projection of expenditures, and accomplishments hereunder.

d. The report and request for payment shall contain a statement that the work reported has been completed in conformance with this Agreement, and the request for reimbursement shall state that the Agency is entitled to receive compensation therefor.

V

The Agency shall:

a. Make payments promptly as due, to persons supplying labor for the prosecution of the work provided for in this contract.

b. Not permit any lien or claim to be filed or prosecuted against the City on account of any labor furnished.

c. Pay to the State Tax Commission all sums held from employes pursuant to ORS 316.711(5). No person shall be employed under this contract for more than eight (8) hours in any one day or forty (40) hours in any one week, except in cases of necessity, emergency, or where the public policy absolutely requires it, and in such cases, the laborer shall be paid at least time and one-half for all overtime in excess of eight (8) hours a day and for work performed on Saturday and on any legal holiday specified in ORS 189.010, except Veterans Day.

d. This contract may be canceled at the election of the City for any wilful failure or refusal on the part of the Agency to perform faithfully the contract according to its terms. The contract may be canceled at the election of the Agency for any wilful failure or refusal on the part of the City to perform faithfully the

contract according to its terms.

e. The Agency shall promptly, as due, make payment to any person, or co-partnership, association or corporation furnishing medical, surgical and hospital care or other needed care and attention, incident to sickness or injury to the employe of the Agency, of all sums which the Agency agrees to pay for such services, and all moneys and sums which the Agency collected or deducted from the wages of its employes pursuant to any law, contract or agreement for the purpose of providing or paying for such services.

VI

This contract may be cancelled at the election of the City upon fifteen(15) days notice to the Agency if the anticipated grant funds or any part thereof for any reason, are not then immediately available to the City.

CITY OF PORTLAND

BY _____
MAYOR

BY _____

APPROVED AS TO FORM:

BY _____

BY _____

BY _____

TITLE

EXHIBIT "A"

1. PURPOSE AND BENEFICIARIES.

The purpose of this program is to establish a plan for the delivery of the services to the aging which services are described in 3.181, Total Care For The Aging, of the Model City Plan. The beneficiaries of the program are as described in the Model City Plan 3.181, Total Care For The Aging.

2. CONTENT AND ORGANIZATION.

The City-Council on Aging of Portland and Multnomah County will execute the project. For that purpose, it will, according to the budget, establish the positions of Planning Coordinator and Planning Assistant. Through this staff, the Council on Aging will prepare a plan for delivery of services in cooperation with a sub-committee of the Model City Citizens Planning Board called "Subcommittee for Older Adults." The Council on Aging will actively recruit older adults in the Model Neighborhood to become members of the committee and with the committee will develop the plan. The plan will be consistent with the scope of 3.181 but will include such other programs for the elderly as the subcommittee may recommend. The plan will also include linkages with agencies capable of operating the programs and propose applications by operating agencies to grant sources for categorical funds to operate the programs.

The Council on Aging will submit to the subcommittee and the City monthly and quarterly reports describing the progress achieved and including recommendations. The Council on Aging with the subcommittee will prepare a plan for the second year Model City Action Program (3.181) to serve elderly Model Neighborhood residents. The agency will cooperate with those organizations presently serving the elderly in the

Portland Metropolitan Area.

3. TIMETABLE.

This project will commence upon execution of an agreement with the City. The Agency, however, will not obligate funds for personnel prior to approval by the City so that maximum coordination between the City and the Council may be achieved. The plan will be completed by June 30, 1970, or such date thereafter as the City may approve. This timetable anticipates a five month project period with a possible three month extension according to need and fund authorization from the Oregon State Program on Aging.

4. PROJECT ADMINISTRATION.

The project will be executed by the City-County Council on Aging of Portland and Multnomah County, which is an agency established by intergovernmental agreement to plan, coordinate, and operate programs for the elderly in the City of Portland and Multnomah County. The City of Portland is the administering agency.

5. COORDINATION.

The City (the project grantee) and the City-County Council on Aging, will achieve close coordination and cooperation in this planning project through the staffing pattern. The planning assistant will be furnished office space at the Model City office and there will be in close communication with the Subcommittee for Older Adults, the CDA staff and the CDA Director. The staff will work for and be responsible to the City-County Council on Aging which Council has area-wide responsibility for coordinating this effort with the efforts of the private sector and the efforts of the State of Oregon regarding programs for the aged. The City-County Council on Aging's area-wide

responsibility will in turn insure that the Model City staff will be kept informed of opportunities for program coordination. In addition thereto, all progress reports and funding requests will be prepared for the City by the City-County Council on Aging.

6. EVALUATION AND MONITORING.

The basis for evaluation will be (1) establishing a subcommittee for older adults; (2) the number of older adults involved in planning and evaluation of the programs; (3) the number of Model Neighborhood residents who participate in funding projects; (4) the number of proposals written; (5) the number of proposals funded.

7. CITIZEN PARTICIPATION.

All projects will be presented to and approved by the subcommittee and the Citizens Planning Board. All monthly and quarterly reports will be presented to the Subcommittee for Older Adults and the Social Services Working Committee for review and recommendation.

8. RESIDENT EMPLOYMENT.

This project will hire two persons. They will both be Model Neighborhood residents. The coordinator is a resident of the Model Neighborhood and is presently on the Model City staff. The position, Planning Assistant, will be filled as soon as possible and in that regard this and other job positions which become open will (1) be advertised in the Model City area; (2) all Model Neighborhood residents will be given an opportunity to apply; (3) a member of the Model City Planning Board will participate in applicant screening, and may make recommendations to the Director of the Agency.

MODEL CITIES ADMINISTRATION
LABOR STANDARDS PROVISIONS

1. OPPORTUNITIES FOR RESIDENTS

In all work made possible or resulting from this Contract, affirmative action will be taken to ensure that residents of the model neighborhood area are given maximum opportunity for training and employment and that business concerns located in or owned in substantial part by residents of the model neighborhood are to the greatest extent feasible, awarded contracts.

2. EQUAL OPPORTUNITY

A. During the performance of this Contract, the Contractor agrees as follows:

(1) The Contractor will not discriminate against any employee or applicant for employment because of race, color, religion, sex, or national origin. The Contractor will take affirmative action to ensure that applicants are employed, and that employees are treated during employment without regard to their race, color, religion, sex, or national origin. Such action shall include, but not be limited to the following: Employment, upgrading, demotion, or transfer; recruitment or recruitment advertising; layoff or termination; rates of pay or other forms of compensation; and selection for training, including apprenticeship. The Contractor agrees to post in conspicuous places, available to employees and applicants for employment, notices to be provided setting forth the provisions of this nondiscrimination clause.

(2) The Contractor will, in all solicitations or advertisements for employees placed by or on behalf of the Contractor, state that all qualified applicants will receive consideration for employment without regard to race, color, religion, sex or national origin.

(3) The Contractor will send to each labor union or representative of workers with which he has a collective bargaining agreement or other contract or understanding, a notice to be provided advising the said labor union or workers' representatives of the Contractor's commitments under this section, and shall post copies of the notice in conspicuous places available to employees and applicants for employment.

(4) The Contractor will comply with all provisions of Executive Order 11246 of September 24, 1965, and of the rules, regulations, and relevant orders of the Secretary of Labor.

(5) The Contractor will furnish all information and reports required by Executive Order 11246 of September 24, 1965, and by rules, regulations, and orders of the Secretary of Labor, or pursuant thereto, and will permit access

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to his books, records, and accounts by HUD and the Secretary of Labor for purposes of investigation to ascertain compliance with such rules, regulations, and orders.

(6) In the event of the Contractor's noncompliance with the nondiscrimination clauses of this Contract or with any of the said rules, regulations, or orders, this Contract may be canceled, terminated, or suspended in whole or in part and the Contractor may be declared ineligible for further Government contracts or federally assisted construction contracts in accordance with procedures authorized in Executive Order 11246 of September 24, 1965, and such other sanctions may be imposed and remedies invoked as provided in Executive Order 11246 of September 24, 1965, or by rule, regulation or order of the Secretary of Labor, or as otherwise provided by law.

(7) The Contractor will include the portion of the sentence immediately preceding paragraph (1) and the provisions of paragraphs (1) through (7) above and paragraph 3 below in every subcontract or purchase order unless exempted by rules, regulations, or orders of the Secretary of Labor issued pursuant to section 204 of Executive Order 11246 of September 24, 1965, so that such provisions will be binding upon each subcontractor or vendor. The Contractor will take such action with respect to any subcontract or purchase order as HUD may direct as a means of enforcing such provisions, including sanctions for noncompliance: Provided, however, that in the event a Contractor becomes involved in, or is threatened with, litigation with a subcontractor or vendor as a result of such direction by HUD, the Contractor may request the United States to enter into such litigation to protect the interests of the United States.

B. Non-Segregated Facilities. The Contractor certifies that he does not maintain or provide for his employees any segregated facilities at any of his establishments, and that he does not permit his employees to perform their services at any location, under his control, where segregated facilities are maintained. The Contractor covenants that he will not maintain or provide for his employees any segregated facilities at any of his establishments, and that he will not permit his employees to perform their services at any location, under his control, where segregated facilities are maintained. As used in this paragraph the term "segregated facilities" means any waiting rooms, work areas, restrooms and washrooms, restaurants and other eating areas, timeclocks, locker rooms and other storage or dressing areas, parking lots, drinking fountains, recreation or entertainment areas, transportation, and housing facilities provided for employees which are segregated by explicit directive or are in fact segregated on the basis of race, creed, color, or national origin, because of habit, local custom, or otherwise.

3. SPECIAL USE OF TERM

Notwithstanding Section 100 of the Grant Agreement and Section 100 of the Supplementary General Conditions, the term "Contractor" may include an "Operating Agency" as defined in the Grant Agreement and an "Agency" as defined in the Supplementary General Conditions.

CITY CONTRACTS ADMINISTRATION
 SUPPLEMENTARY GENERAL CONDITIONS
 FOR CONTRACTS WITH OPERATING AGENCIES AND CONTRACTORS*

The following conditions take precedence over any conflicting conditions in the Contract:

SEC. 1. Restriction on Disbursements. -- No money under this Contract shall be disbursed by the Agency to any contractor except pursuant to a written contract which incorporates the applicable Supplementary General Conditions and unless the contractor is in compliance with HUD requirements with regard to accounting and fiscal matters, to the extent they are applicable.]**

SEC. 100. Definitions. -- As used in this Contract:

(A) Agency means an entity, whether public or private, which has the responsibility for administering a project or activity.

(B) Area means the model neighborhood designated in the Program.

(C) Contractor means an entity, other than an Agency (except as noted in the Labor Standards Provisions) that furnishes to the City or to an Agency services or supplies (other than standard commercial supplies, office space or printing services).

(D) HUD means the Secretary of Housing and Urban Development or a person authorized to act on his behalf.

(E) Program means the Comprehensive Demonstration Program approved by HUD as the same may from time to time be amended.

SEC. 101. Records. --

(A) Establishment and Maintenance of Records. -- Records shall be maintained in accordance with requirements prescribed by HUD or the City with respect to all matters covered by this Contract. Except as otherwise authorized by HUD, such records shall be maintained for a period of three years after receipt of the final payment under this Contract.

(B) Documentation of Costs. -- All costs shall be supported by properly executed payrolls, time records, invoices, contracts, or vouchers, or other official documentation evidencing in proper detail the nature and propriety of the charges. All checks, payrolls, invoices, contracts, vouchers, orders, or other accounting documents pertaining in whole or in part to this Contract shall be clearly identified and readily accessible.

* The conditions must be incorporated in (1) City contracts with operating agencies, (2) City contracts with contractors, (3) Operating agency contracts with contractors.

** The bracketed material should be deleted in contracts with contractors.

SEC. 102. Reports and Information. -- At such time and in such forms as HUD or the City may require, there shall be furnished to HUD or the City such statements, records, reports, data and information, as HUD or the City may request pertaining to matters covered by this Contract.

SEC. 103. Audits and Inspections. -- At any time during normal business hours and as often as the City, HUD and/or the Comptroller General of the United States may deem necessary, there shall be made available to the City, HUD and/or representatives of the Comptroller General for examination all of its records with respect to all matters covered by this Contract and will permit the City, HUD and/or representatives of the Comptroller General to audit, examine and make excerpts or transcripts from such records, and to make audits of all contracts, invoices, materials, payrolls, records of personnel, conditions of employment and other data relating to all matters covered by this Contract.

SEC. 104. HUD Requirements. -- Unearned payments under this Contract may be suspended or terminated upon refusal to accept any additional conditions that may be imposed by HUD at any time; or if the grant to the City under Title I of the Demonstration Cities and Metropolitan Development Act of 1966 is suspended or terminated.

SEC. 105. Conflict of Interest. --

(A) Interest of Members of City. -- No officer, employee, or agent of the City who exercises any functions or responsibilities in connection with the planning and carrying out of the Program, or any other person who exercises any functions or responsibilities in connection with the Program, shall have any personal financial interest, direct or indirect, in this Contract; and the Agency shall take appropriate steps to assure compliance.

(B) The Agency agrees that it will incorporate into every contract required to be in writing the following provision: *

Interest of Contractor and Employees. -- The Contractor covenants that no person who presently exercises any functions or responsibilities in connection with the Program, has any personal financial interest, direct or indirect, in this Contract. The Contractor further covenants that he presently has no interest and shall not acquire any interest, direct or indirect, in the Model Neighborhood Area or any parcels therein, which would conflict in any manner or degree with the performance of his services hereunder. The Contract further covenants that in the performance of this Contract no person having any conflicting interest shall be employed. Any interest on the part of the Contractor or his employees must be disclosed to the Agency and the City. Provided, however, that this paragraph shall be interpreted in such a manner so as not to unreasonably impede the statutory requirement that maximum opportunity be provided for employment of and participation by residents of the area.

* The bracketed material should be deleted in contracts with contractors.

SEC. 106. Opportunities for Residents. -- In all work made possible by or resulting from this contract, affirmative action will be taken to ensure that residents of the model neighborhood area are given maximum opportunities for training and employment and that business concerns located in or owned in substantial part by residents of the model neighborhood are to the greatest extent feasible, awarded contracts.

SEC. 107. Discrimination Prohibited. --

(A) In all hiring or employment made possible by or resulting from this Contract, there (1) will not be any discrimination against any employee or applicant for employment because of race, color, religion, sex, or national origin, and (2) affirmative action will be taken to ensure that applicants are employed, and that employees are treated during employment without regard to their race, color, religion, sex, or national origin. This requirement shall apply to but not be limited to, the following: employment, upgrading, demotion, or transfer, recruitment or recruitment advertising; lay-off or termination; rates of pay or other forms of compensation; and selection for training, including apprenticeship. There shall be posted in conspicuous places available to employees and applicants for employment, notices to be provided by HUD setting forth the provisions of this clause. All solicitations or advertisements for employees shall state that all qualified applicants will receive consideration for employment without regard to race, color, religion, sex or national origin.

(B) No person in the United States shall, on the ground of race, color, religion, or national origin, be excluded from participation in, be denied the benefits of, or be subject to discrimination under any program or activity made possible by or resulting from this Contract. The Agency and each employer will comply with all requirements imposed by or pursuant to the regulations of HUD effectuating Title VI of the Civil Rights Act of 1964.

[(C) The Agency hereby agrees that it will incorporate into any contract for construction work, or modification thereof, as defined in the regulations of the Secretary of Labor at 41 CFR Chapter 60, which is paid for in whole or in part with funds obtained pursuant to this Contract, the equal opportunity clause which is a part of the labor standard provisions attached hereto.

The Agency further agrees that it will be bound by the equal opportunity clause and other provisions of 41 CFR Chapter 60 with respect to its own employment practices when it participates in federally assisted construction work: Provided, That if the Agency so participating is a State or local government, the above equal opportunity clause is not applicable to any agency, instrumentality, or subdivision of such government which does not participate in work on or under the contract.

The Agency agrees that it will assist and cooperate actively with HUD and the Secretary of Labor in obtaining the compliance of contractors and subcontractors with the equal opportunity clause and the rules, regulations, and relevant orders of the Secretary of Labor, that it will furnish HUD and the Secretary

of Labor such information as may require for the supervision of such compliance, and that it will otherwise assist HUD in the discharge of its primary responsibility for securing compliance.

The Agency further agrees that it will refrain from entering into any contract or contract modification subject to Executive Order 11246 of September 24, 1965, with a contractor debarred from, or who has not demonstrated eligibility for, Government contracts and federally assisted construction contracts pursuant to the Executive Order. In addition, the Agency agrees that if it fails or refuses to comply with these undertakings, the City may take any or all of the following actions: Terminate or suspend in whole or in part this Contract; refrain from extending any further assistance to the Agency under the program with respect to which the failure or refusal occurred until satisfactory assurance of future compliance has been received from such Agency; and refer the case to the Department of Justice for appropriate legal proceedings.

SEC. 108. Labor Standards. -- There shall be included in all construction contracts, made possible by or resulting from this Contract, with private entities the applicable labor standards provisions, if the work being carried on is not otherwise subject to provision of Federal law imposing labor standards on federally assisted construction and in the case of residential projects if the project is designed for the residential use of eight or more families^{**}

SEC. 109. Copyrights. -- If this Contract results in a book or other copyrightable material, the author is free to copyright the work, but HUD reserves a royalty-free, nonexclusive, and irrevocable license to reproduce, publish, or otherwise use, and to authorize others to use, all copyrighted material and all material which can be copyrighted.

SEC. 110. Patents. -- Any discovery or invention arising out of or developed in the course of work aided by this Contract shall be promptly and fully reported to HUD for determination by HUD as to whether patent protection on such invention or discovery shall be sought and how the rights in the invention or discovery, including rights under any patent issued thereon, shall be disposed of and administered, in order to protect the public interest.

SEC. 111. Political Activity Prohibited. -- None of the funds, materials, property or services provided directly or indirectly under this Contract shall be used in the performance of this Contract for any partisan political activity, or to further the election or defeat of any candidate for public office.

SEC. 112. Lobbying Prohibited. -- None of the funds provided under this Contract shall be used for publicity or propaganda purposes designed to support or defeat legislation pending before the Congress.

** The bracketed material shall be deleted in contracts involving construction, rehabilitation, alteration or repair work with private entities. The attached labor standards provisions shall be inserted in lieu of Sections 107 and 108. In contracts for such work with public entities, only sections 1 - 3 of the labor standard provisions should be included.

3. The City should submit an evaluation plan within sixty days of the date of contract. The plan should satisfy the requirements and reflect the concerns stated in the Continuing Planning and Evaluation memorandum of May 19, 1969. No significant monies can be spent in evaluation contracts until the plan is approved. However, money can be spent for hiring staff, starting basic evaluation processes, and small amounts for consulting services in developing the plan.

PROJECT ANALYSIS

**MODEL CITIES
PORTLAND, OREGON**

PROJECT TITLE Evaluation of Portland Model Cities Program & MN services
PROJECT NUMBER 2-01
PROJECT STATUS **New**
 Expended
OPERATING AGENCY Portland City Demonstration Agency
PLANNING COMPONENT Systems
ADMINISTRATIVE NUMBER 1100
PROGRAM ACCOUNT Evaluation
CITIZENS' WORKING COMMITTEE Executive Committee

PROJECT FUNDING	100% SUPPLEMENTAL	USING SUPPLEMENTAL	USING CATEGORICAL	OTHER	TOTAL
Anticipated					
Affirmed					

Program Goals:

To document in a concise and readable form the levels of achievement and the essential characteristics of programs, projects, and services which impact on the quality of life of Portland Model Neighborhood (MN) residents so as to provide decision makers and planners with better guidelines for future actions.

Program Objectives

To document the levels of achievement and the essential characteristics of as many programs, projects, and services (that impact on the quality of life of MN residents of Portland, Oregon) as possible within the limits of available resources.

Project Goals

Same as program goals with priority given to First Year Action Programs, projects, and services funded by U.S. Dept. of Housing and Urban Development/ Model Cities Administration Supplemental Grant.

Project Objectives

Same as program of objectives but restricted to First Year Action Programs, projects, and services funded by U.S. Dept. of HUD/MCA Supplemental Grant.

Purpose and Beneficiaries

The purpose of this evaluation effort is to provide relevant decision makers and planners with better guidelines and insight for future action. The evaluative reports will primarily be for the information and use of the Portland City Demonstration Agency (CDA), the Portland Citizen Planning Board and its planning working committees. Agencies whose services impact on the model neighborhood will also receive reports.

Scope and Content

The scope of activities undertaken in the name of evaluation will be limited to fulfilling those functions hereinafter identified as evaluative functions under the heading of Project Elements. Each function will be accomplished by a set of key activities to be hereinafter specified.

Within the evaluative process, one of the functions will provide a mechanism for determining and refining the scope and content of overall evaluation on a continuing basis.

A project will be evaluated with respect to (a) its plan, (b) its implementation, and (c) its followup. In general, three types of evaluation will be used, namely: (1) CDA staff evaluation, (2) MN residents' testimony and (3) external evaluation form within or outside of the Portland Metropolitan area will be sought when necessary.

Rationale for Anticipated Success

Systems approach will be used in coordinating evaluative activities. Qualified staff is already available and more are being recruited. The Systems Manager who will coordinate evaluative activities has a Ph. D degree in Electrical Engineering with a strong background and experience in systems methods and computer technology. Although he is present only one half of the time, he will be backed up by a full-time staff with training and experience in Government, Business Administration, Accounting, Statistics, and use of electronic accounting machines. Addition of more staff is planned within the Systems Group.

The CDA staff is supported by HUD technical assistance and technical assistance from Battelle Memorial Institute (Northwest Lab.) and others within the consulting community. The services of Portland State University Dept. of Urban Studies which prepared a subjective evaluation of the Portland Model Cities Planning Year will be utilized; at the moment this department is not involved only because they have not been contacted.

Strong interest of Portland CDA in the involvement of MN residents in evaluative activities show promise that needed supplemental data for evaluation will be more readily generated with residents' support. Strong agency involvement is also planned so as to facilitate data-resource coordination.

CDA Prototype Information System developed by CONSULTEC (under contract with HUD) and installed in Portland CDA office provides a framework for storage, maintenance, and retrieval of evaluative data.

The three-phase, three-part evaluation prescribed under "Scope and Content provides adequate checks and balances for minimizing the effect of value judgements which are ever-present in social systems. Planning evaluation affords a chance for detecting major planning errors and correcting them before project goes into execution. Implementation evaluation will provide information for alternative courses of action on-line. Follow-up Evaluation will assist in arresting the decay of the impact of a terminated project due to poor follow-up.

A project will be considered unqualifiedly successful if there is positive (favorable) appraisal concurrently from:

- Model Neighborhood Residents' Testimony
- CDA Staff Evaluation
- External Evaluation

Evaluation

Evaluation of Portland Evaluation plan will be carried out in three parts:

- (1) CDA Staff Evaluation
- (2) Model Neighborhood Residents' Evaluation
- (3) External Evaluation

CDA Staff Evaluation will be guided by HUD Memorandum of May 19, 1969 on Evaluation, among other questions and criteria pertaining to Portland CDA's needs.

Model Neighborhood Residents' evaluation will be considered favorable if the Executive Committee of CPB approves of the plan.

For external evaluation Portland CDA will rely on HUD/MCA critique and HUD's response to CDA's request for funds to support evaluative activities. Considered opinions of consultants will also be documented.

Citizen Participation

MN residents will be given priority in recruitment, employment and training pertaining to evaluation.

CPB will be represented in key decisions pertaining to evaluation.

Information

Evaluation will be supported solely by the CDA Information System. All evaluative reports will also be fed back into the information system. Agencies on the CDA's mailing list for quarterly reports will also receive evaluative reports, except where bulkiness of report discourages automatic mailing. In particular, all members of the Citizen's Planning will receive copies of any evaluative report. All information needed for evaluation will be coordinated by an appropriate evaluative function (see project elements).

Time Table

See attachment 1

Administration

See attachment 2

Budget

See attachment 3

Elements (Project Elements by Functions)

- 2-01-01 Identification of components to be evaluated
- 2-01-02 Generation of evaluative questions, criteria, and indices
- 2-01-03 Identification of Data Sources and Data Forms
- 2-01-04 Collection and checking of evaluative data
- 2-01-05 Analysis of data and documentation of conclusions and recommendations
- 2-01-06 Distribution of evaluative reports (feedback into the information system)

Elements with Process-Output Measures

2-01-01

- _____ No. of first year action capital projects
- _____ No. of first year action non-capital projects or activities
- _____ No. of capital projects not funded by HUD-MCA
- _____ No. of non-capital projects, activities, or services not refunded by HUD-MCA

2-01-02

- _____ No. of man-hours expended per month

2-01-03

- _____ No. of sources identified
- _____ No. of sources within MN
- _____ No. of data forms designed
- _____ Maximum length of data forms
- _____ Minimum length of data forms
- _____ Man-hours expended per month

2-01-04

- _____ No. of persons employed
- _____ No. of MN blacks employed
- _____ No. of MN non-blacks employed
- _____ Man-hours expended per month
- _____ Dollars spent per month
- _____ No. of components with adequate data collected

2-01-05

- No. of components covered by evaluative reports
- No. of man-hours expended on evaluative report preparation
- No. of first year action capital projects reported upon
- No. of first year action non-capital projects reported upon
- No. of capital projects reported upon but not funded by HUD-MCA
- No. of non-capital projects reported upon but not funded by HUD-MCA

2-01-06

- No. of reports distributed
- Dollars cost of distribution per report

Elements with Key Activities

2-01-01

- 01 Prepare or update a list of projects, activities, or services to be evaluated and rank by priority

2-01-02

- 01 Prepare or update a set of questions to be answered on each item selected for evaluation indicating where necessary each question, a list of variables to be monitored in answering the question; the questions should cover planning, implementation, and follow-up

2-01-03

- 01 For each evaluative question and for each item to be evaluated, specify essential data elements, data sources including alternative sources and cost where applicable
- 02 Design necessary forms and format for receiving data

2-01-04

- 01 Organize data collection teams and method of collecting data
- 02 Collect, check and store evaluative data

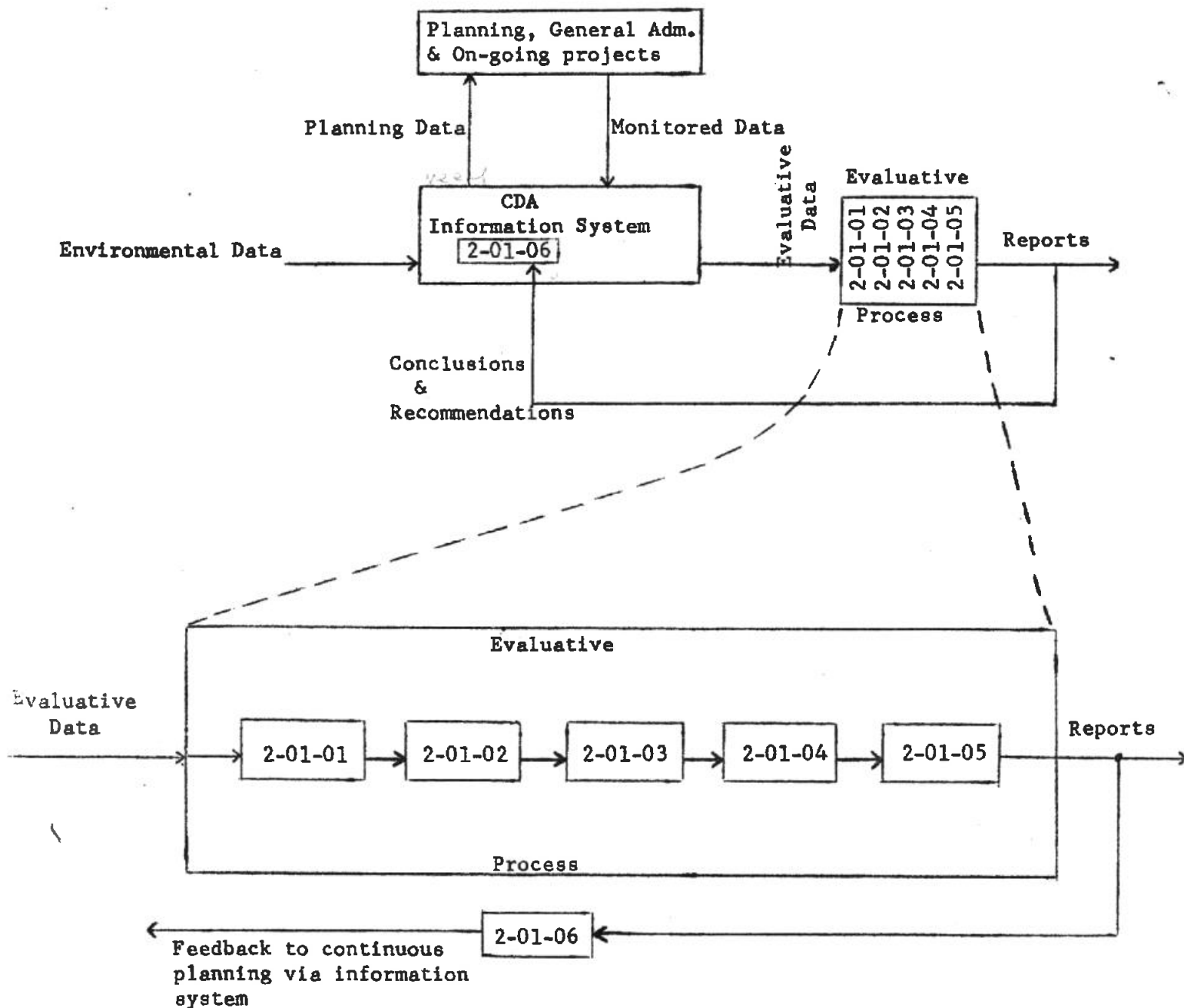
2-01-05

- 01 Have CDA staff analyze data and document conclusions and recommendations
- 02 Have MN residents analyze data and document conclusions and recommendations
- 03 Have external agency analyze data and document conclusions and recommendations
- 04 Bind separate documentations into one report and adjudicate differences

2-01-06

01 Mail reports to relevant agencies; where report is bulky, notify certain agencies of availability of such reports so that they can elect to request them specifically.

System Summary Showing Linkages



Time table for evaluative activities Portland NCP first year of action starts August 26, 1969, numbers are in weeks from beginning of action year

Activity Code	Week								
	Start	End	Start	End	Start	End	Start	End	
2-01-01-01	7	7	19	19	31	31	43	43	
2-01-02-01	7	8	19	20	31	32	43	44	
2-01-03-01	8	9	20	21	32	33	44	45	
2-01-03-02	8	9	20	21	32	33	44	45	
2-01-04-01	10	11	22	23	34	35	46	47	
2-01-04-02	10	11	22	23	34	35	46	47	
2-01-05-01	12	13	24	25	36	37	48	49	
2-01-05-02	12	13	24	25	36	37	48	49	
2-01-05-03	12	13	24	25	36	37	48	49	
2-01-05-04	12	13	24	25	36	37	48	49	
2-01-06-01	14	14	26	26	38	38	50	50	51 52

↑ Quarterly Report ↑ Quarterly Report ↑ Quarterly Report ↑ Quarterly Report Annual Report

Explanation of Time Table

Evaluative activities are cycled every 12 weeks. Thus it is possible to evoke evaluative reports for quarterly progress reporting. Certain evaluative questions which require longer data cycles like 24 weeks will not be answered in the first quarter. Thus on week 14 from August 26, at least one item identified by activity 2-01-01 will be evaluated. The next evaluative report is due on week 26. In week 52, there will be a composite annual report and the quarterly cycles will continue from then on.

Need for Initial High Level of Effort

It is not expected that function 2-01-04 will be carried out successfully in the first two quarterly reports. Consequently, the first two quarterly reports may not be able to answer all questions raised by function 2-01-02.

A massive data collection effort within the first three quarterly reports will facilitate the evaluation within the 4th and subsequent quarters. Thus all supportive efforts for building adequate data base be carried out with great emphasis in the first three quarters. It is therefore necessary to support initial CDA staff efforts with substantial contract services and outside technical assistance.

Administration

The evaluative activities will be programmed, monitored, and coordinated by the systems group under the systems manager. At least one CDA program specialist (analyst) will be assigned full-time to monitoring all evaluative activities, analyzing associated information needs and seeing that evaluative reports are prepared on schedule. A program specialist (Data Systems) will be hired as soon as one is available to plan for automatic data processing which will cope with inevitable rapid growth of data handled.

Before or immediately after contract is signed with an operating agency or before any substantial monies are transferred into the accounts of an operating agency, the CDA Adm. Management Coordinator will evaluate the financial control system of the operating agency to determine its adequacy. Alternative arrangements or concentrated training program programs may be carried out to offset any inadequacies. Contract procedures are designed to provide adequate checkpoint for this action.

Responsibilities for evaluative activities are then as follows:

<u>Activity Code</u>	<u>Responsible Personnel</u>
2-01-01-01	Systems Manager + CPB Executive Committee suggestions from HUD leadman will be useful input
2-01-02-01	Systems Analysts + appropriate project coordinator + appropriate CPB working committee + MN residents. Contract services will be used to improve evaluation standards and set criteria
2-01-03-01	Data Systems Specialist + Systems Analyst + Information Coordinating Task Force + Consulting Services
2-01-03-02	Data Systems Specialist + Project Coordinator + contract services for design and supply of forms
2-01-04-01	Data Systems Specialist + Citizen Participation (CP) Coordinator + Project Coordinator + appropriate CP working committee + MN organizations + agencies owning data + contract services to design collection methods
2-01-04-02	Operating Agency + Data Systems Specialist + Project Coordinator
2-01-05-01	Systems Analyst
2-01-05-02	CPB + other MN CPO's
2-01-05-03	Agency to be determined as need arises by CDA + CPB
2-01-05-04	Systems Analyst
2-01-05-04	Adm. Management Coordinator

It is planned that during the week of October 27, Portland CDA will enter into contract with Battelle NW Lab. to improve upon the above basic plan within a period of eight weeks. Their role will cover, but not necessarily be, responsibilities, and work program, and budget.

It has become a standard in the Portland CDA that a set of evaluative questions, criteria and indices relating to a given project of activity be part of the documentation of the project or activity. This provides the operating agency with information for possible self-evaluation which can avert major departures from project goals or objectives. The inclusion of such questions to each project documentation is a kind of "success planning".

A. Related Evaluation Questions

Planning

01. What are the problems
02. What are the purpose, goals & objectives of the project
03. What is the target group or beneficiaries
04. What is the level of effort planned for attack. (money, manpower, goals)
05. What is the essential strategy (list of projects) planned
06. Are goals realistic and are projects related to needs
07. What is the extent of citizen participation and agency cooperation
08. How was the Operating Agency chosen
09. Is the Operating Agency qualified

Execution

- 11 Management: Is project proceeding according to plan
 12. Are expenses running according to budget
 13. Is level of effort adequate (\$, manpower, materials)
 14. Is the operation efficient

constraints	cost/services
delivery style	cost benefit
 15. Is the operating agency competent
- 21 Impact: What is the level of process outputs
 22. Who are the immediate beneficiaries (by characteristics)
 23. Are the beneficiaries the originally planned target
 24. What is the level of citizen participation
 25. Who are the beneficiaries in the long run
 26. What is the attitude of the beneficiaries

- 31 Follow-up Is project to be continued -- how and why
32. What effort is being taken to continue project
33. How are beneficiaries sustained after project influence

B. Related Evaluation Criteria, Indices & Measures.

The set of related evaluation questions, by implication, specify the evaluation criteria.

C. Evaluation Data Elements and Data Sources.

<u>Question Code</u>	<u>Data Elements</u>	<u>Existing Sources</u>	<u>Supplemental Sources</u>
1	MN Characteristics	Agency Records	
	Population Characteristics	Agency Records	
2, 3	Project Analysis	PIS	None
4	Expenditures	CDA & Operating Agency	
	Manpower	CDA & Operating Agency	
	Goals	PIS	
5	List of Projects	PIS	
6	Initial Conditions	Agency Records	
7	Participant Characteristics	Agency Records	

<u>Question Code</u>	<u>Data Elements</u>	<u>Existing Sources</u>	<u>Supplemental Sources</u>
8	Contract Procedures	CDA Files	None
9	Agency Characteristics	CDA Files	None
11,12	Actual/Planned	Computed	
13	Expenditures	Agency Records	Special Audits
	Manpower	" "	" "
	Project Output Values	" "	" Studies
14	Cost/Unit Served	Computed	
	Cost/Benefit	Computed	
21	Process Outputs & Supporting Lists	Agency Records	
22	Participant Characteristics	Agency Records	Special Surveys
23	Actual/Planned	Computed	
24	Participant Characteristics	Agency Records	
25	Participant Characteristics		Projections
26	Participant Attitude	Agency Records	Attitude Surveys
31	Agency Attitude		Special Survey
32	Project Work Program	Agency Records	Special Survey
33	Project Work Program	Agency Records	Special Survey

Use standard forms CDA Letter No. 6

Attachment	1
Attachment	2b
Attachment	3a
Attachment	3b
Attachment	4

Final budget is pending technical assistance to be rendered by Battelle North West Institute which refines this basic statement to a point where any budget statement made at this time will be subject to modification.

J L

CITY DEMONSTRATION AGENCY
ADMINISTRATIVE PROCEDURE CHECKLIST
CONTRACTS FOR MODEL CITIES PROGRAM

STAFF USE
3 PAGES -

A - Use of Contracts

HUD requires contracts for disbursement of funds for projects and activities
Cooperation agreements accepted between public entities
Contracts are with City of Portland by Council, for Model Cities

B - Preparing for Contracts

Project must be in Comprehensive City Demonstration Program
Project documentation to be cleared by CDA, and approved by CPB
Any substantial changes must be re-approved by CPB, Council and HUD.
Availability of funds to be confirmed by CDA
Operating Agency (O/A) confirmed by CDA, with CPB approval
O/A to agree to conduct project as proposed
O/A to agree to comply with HUD labor and general contract provisions
O/A to agree to provide internal control, accounting, and reporting
O/A to agree to give CDA work program and operating budget
O/A to agree to give CDA reports on work accomplished and financial data
O/A to agree to cooperate in evaluation efforts

C - Signing Contracts

CDA and City Attorney to develop contracts, review with O/A
Contracts to be submitted to City Council for approval
Contracts to be submitted to O/A for signature
Copies of contracts to be filed with Auditor, Mayor, CDA, and HUD (2)

D - Service Under Contract

O/A to inform CDA of anticipated service (scope and dollars, monthly & quarterly)
CDA to review and send monthly requisition to Auditor for service in advance

E - Monitoring and Payment for Services

O/A submits monthly invoice or billing to CDA
O/A to provide CDA with report on work accomplished and dollars spent
CDA to review reports and certify compliance with contract and program
CDA to attach tally sheet to invoice or billing and send to Auditor
Auditor to issue payment to O/A, using money from Model Cities Fund
CDA to summarize data and include in reports to HUD, CPB and City
CDA to prepare special reports for Mayor and City Council as needed

F - Evaluation

CDA to evaluate action and results and review with CPB and committees
Evaluation data to be considered for project modification
Evaluation data to be used for planning future action programs

(CDA-City Demonstration Agency
CPB-Citizens Planning Board)
1/13/70

PROJECT/ACTIVITY ENDORSEMENT SHEET

PROJECT/ACTIVITY TITLE _____

PROJECT NUMBER _____

APPLICABLE CONTRACT PROCEDURE NUMBER _____

APPROVED FOR ANALYSIS (1) _____ Date _____

NOT APPROVED FOR ANALYSIS (1) _____ Date _____
(authorized CPB Working
Committee Chairman)

ANALYSIS APPROVED: (2) _____ Date _____
(CPB Working Committee Chairman)

(3) _____ Date _____
(Authorized CDA Signature and
Title for form only)

(4) _____ Date _____
(CPB Chairman)

(5) _____ Date _____
(Authorized City Government
Official and Title)

(6) _____ Date _____
(HUD Leadman)

DOCUMENTATION WITH ATTACHMENTS 1-9 APPROVED FOR CONTRACT:

(7) _____ Date _____
(Authorized CPB Working Committee
Chairman)

(8) _____ Date _____
(CDA Coordinator)

DOCUMENTATION WITH PROPOSED CONTRACT/AGREEMENT APPROVED:

(9) _____ Date _____
(CDA Attorney (Deputy City Attor-
ney)

(10) _____ Date _____
(CDA Adm. Management Coordinator)

PROJECT/ACTIVITY ENDORSEMENT SHEET CONT

DOCUMENTATION WITH PROPOSED CONTRACT/AGREEMENT APPROVED:

- (11) _____ Date _____
 (CDA Citizen Participation Coordinator)
- (12) _____ Date _____
 (CDA Systems Manager)
- (13) _____ Date _____
 (CDA Director)
- (14) _____ Date _____
 (CPB Chairman)

Explanation of form: SEE CONTRACT PROCEDURES

Signatures should follow the sequence number except as noted below:

- a) For Contract Procedure 1, steps 1, 4, 5, 6 may be omitted
 For Contract Procedure 2, steps 1, 6 may be omitted
 For Contract Procedure 3, step 1 may be omitted
 For Contract Procedure 4, no exceptions
- b) Amendments to earlier endorsements suggested later signatories should be addressed to the CDA Systems Manager for appropriate re-cycling.

ORDINANCE NO. 189500

An Ordinance authorizing a contract between the City and the City-County Council on Aging of Portland and Multnomah County to provide planning of programs for the aged in the Model City Area, authorizing drawing and delivery of warrants, and declaring an emergency.

The City of Portland ordains:

Section 1. The Council finds that the State of Oregon has made available to the City a grant in the amount of \$13,291 for planning of programs for the aged in the Model City Area; that Model City grant funds in the amount of \$5,458 will be available for the same purpose; that the City-County Council on Aging of Portland and Multnomah County has been designated by the City as the organization to plan and coordinate projects for the aged in the City and it is therefore appropriate that said agency conduct the planning for the City in this regard; that the Model City Citizens Planning Board has authorized such a planning project and that Exhibit "A" attached hereto is an appropriate form of agreement for the City to enter into for said purposes; now, therefore, to provide planning of programs for the aged within the Model City Neighborhood, the Mayor and Commissioner of Public Affairs hereby are authorized to execute on behalf of the City an agreement similar in form to Exhibit "A" attached to the original only hereof, which by this reference is made a part hereof; the Mayor and Auditor hereby are authorized to draw and deliver warrants pursuant to said contract on the Model City Fund appropriation Administration, Other Services(6683.399).

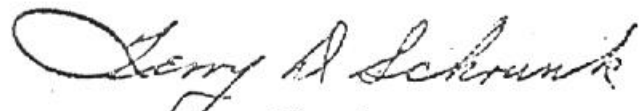
Section 2. Inasmuch as this ordinance is necessary for the immediate preservation of the public health, peace and safety of the city of Portland in this: In order that the

ORDINANCE No.

project described in Section 1 hereof may commence without undue delay; therefore, an emergency hereby is declared to exist and this ordinance shall be in force and effect from and after its passage by the Council.

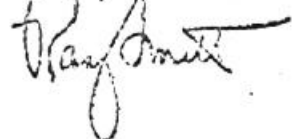
Passed by the Council, FEB 19 1970

MAYOR SCHRUNK
DCJ: ep
2/19/70



Mayor of the City of Portland

Attest:



Auditor of the City of Portland

PORTLAND MODEL CITIES

FIRST YEAR ACTION PROGRAMS

approved June 1969

by the Department of Housing & Urban Development

Portland Model Cities Agency
Room 210 --- 5329 N.E. Union Ave.
Portland, Oregon 97211
Ph. 288-6923