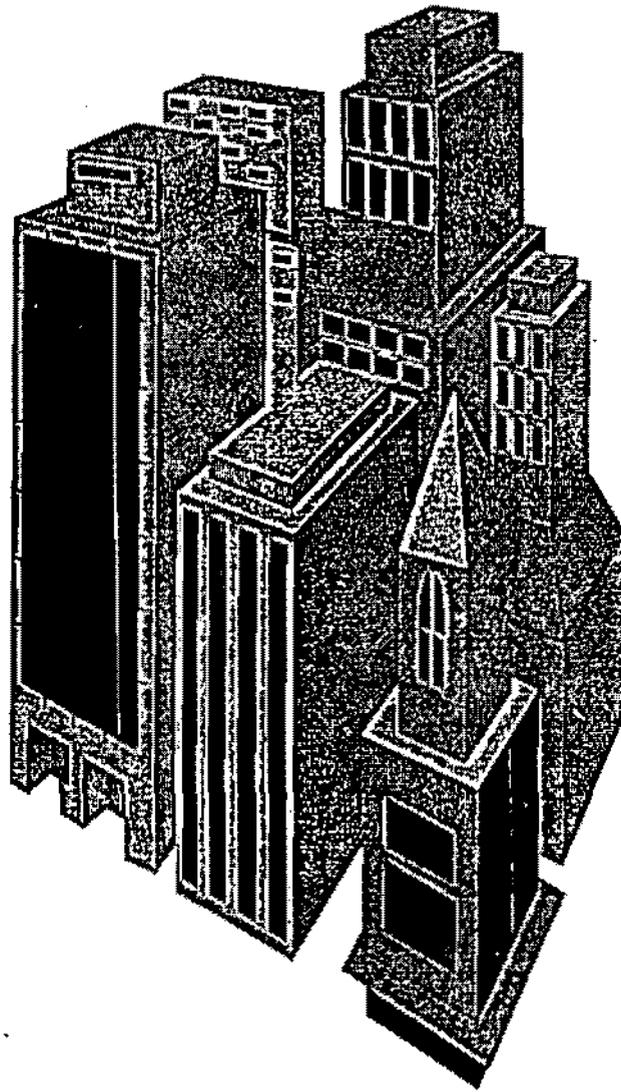


# Troubled Agency Recovery Center



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U.S. Department of Housing & Urban Development  
Administration History Project  
December, 2000  
DOCUMENT # 25

*Template for Creation of the TARCS*

*Fall 1997*

## TARC OVERVIEW

The Public Housing Management Reform Act of 1997, when authorized, will expand the Department's powers for dealing with troubled Public Housing Authorities (PHA), including provisions requiring appointment of either a judicial or administrative receiver after a PHA has been designated as troubled for more than a year.

The Department is establishing an Assessment Center to conduct annual assessments based on physical inspections, a comprehensive independent audit, measurement of performance through a revised PHMAP review and solicit customer service comments. We believe that in the initial phases in this process, the number of troubled PHA's will increase. Due to the complexity and sensitivity posed to the Department in its past work with troubled PHAs, a stronger effort in this area is necessary.

Trusted Agency Recovery Centers will be established in two locations (Cleveland and Memphis). The Centers will report to the PIH/DAS for Troubled Agency Recovery in Headquarters. The TARC's will have a dedicated staff of 205 employees. Each Center will be staffed with 57 people (a total of 114 staff) and each HUB Office will house out-stationed TARC staff (3 per office or 84) and six Headquarters TARC staff.

The DAS and six support staff in Headquarters TARC will provide guidance concerning the availability of TA funds, IQC contractors, training, GTR authority for all IQC contracts, and will measure the overall progress of national trends and recovery efforts.

Any PHA receiving a failing annual assessment score will be referred to a TARC Center. The TARC will maintain all troubled operations of a failing PHA and will develop and implement an intervention strategy to improve the PHAs performance to a passing level.

HQ-6

TARC-57 TARC-57

28 HUB office - (84)  
(3 ea)

#5 ↑  
↑  
Troubled  
Agency

The HUB Offices will continue to work with the PHA on daily non-troubled areas. Staff located at the TARC will work with medium and large troubled PHAs and, where appropriate, will be required to be on-site to work with PHA staff, residents, elected officials and leaders in the community.

TARC staff located in the HUB Offices will perform the same functions as the TARC Center staff but will concentrate on the small troubled PHAs and troubled Section 8 agencies to correct problem areas and improve performance to an acceptable level. If PHA does not receive a passing score on its assessment after one year of recovery action, the Center will recommend to the Assistant Secretary that the Department proceed with judicial or administrative takeover. *> 1 year for improvement*

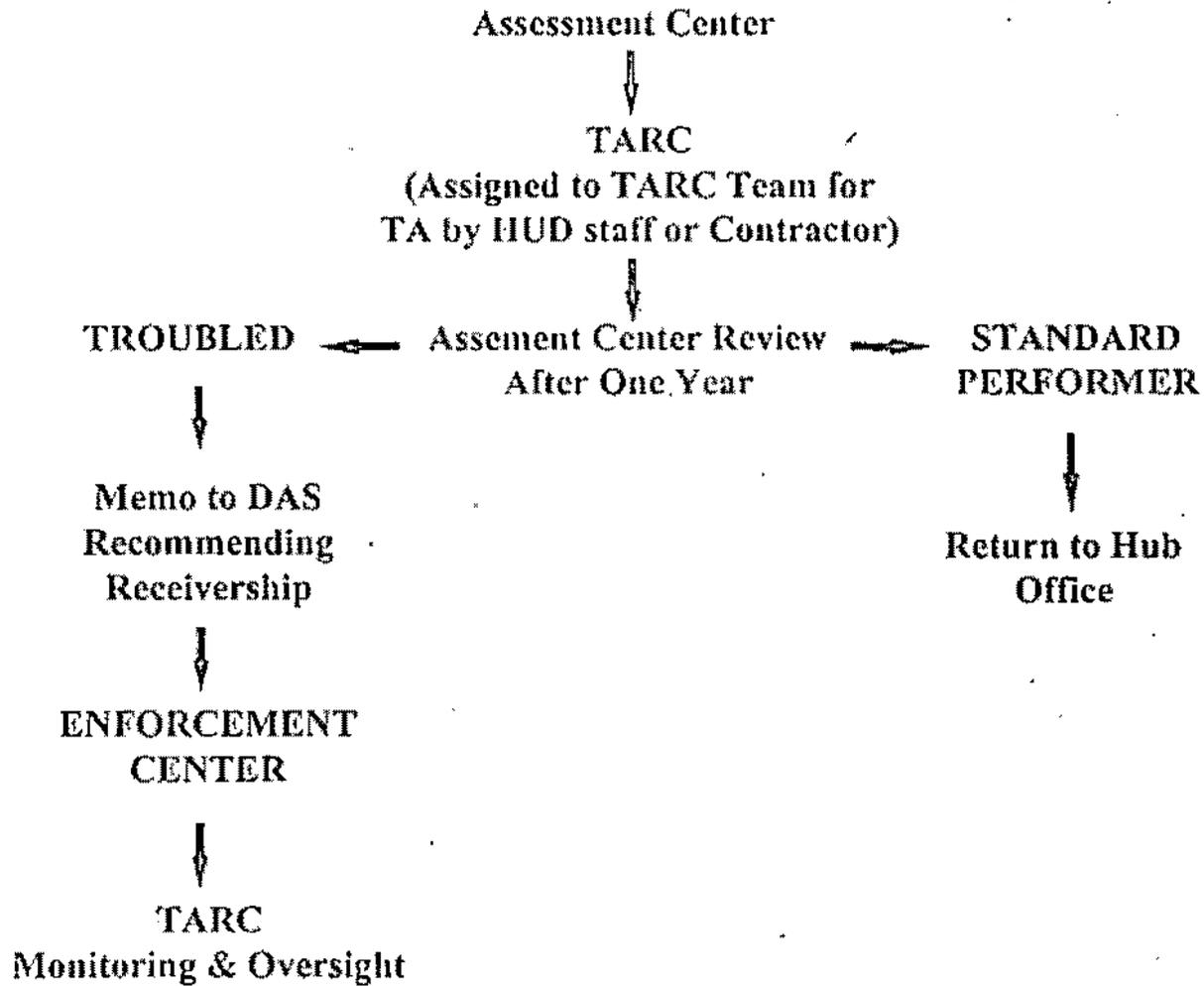
If a PHA makes substantial progress toward becoming a Standard Performer then consideration should be given to allowing the PHA to continue the recovery effort. This will permit the PHA to continue on its own course to recovery. Also, the cost associated with funding receiverships will be eliminated. This factor becomes critical due to budgetary limitations and the anticipated cost, based on past practice, affiliated with other PHAs being placed in the receivership category.

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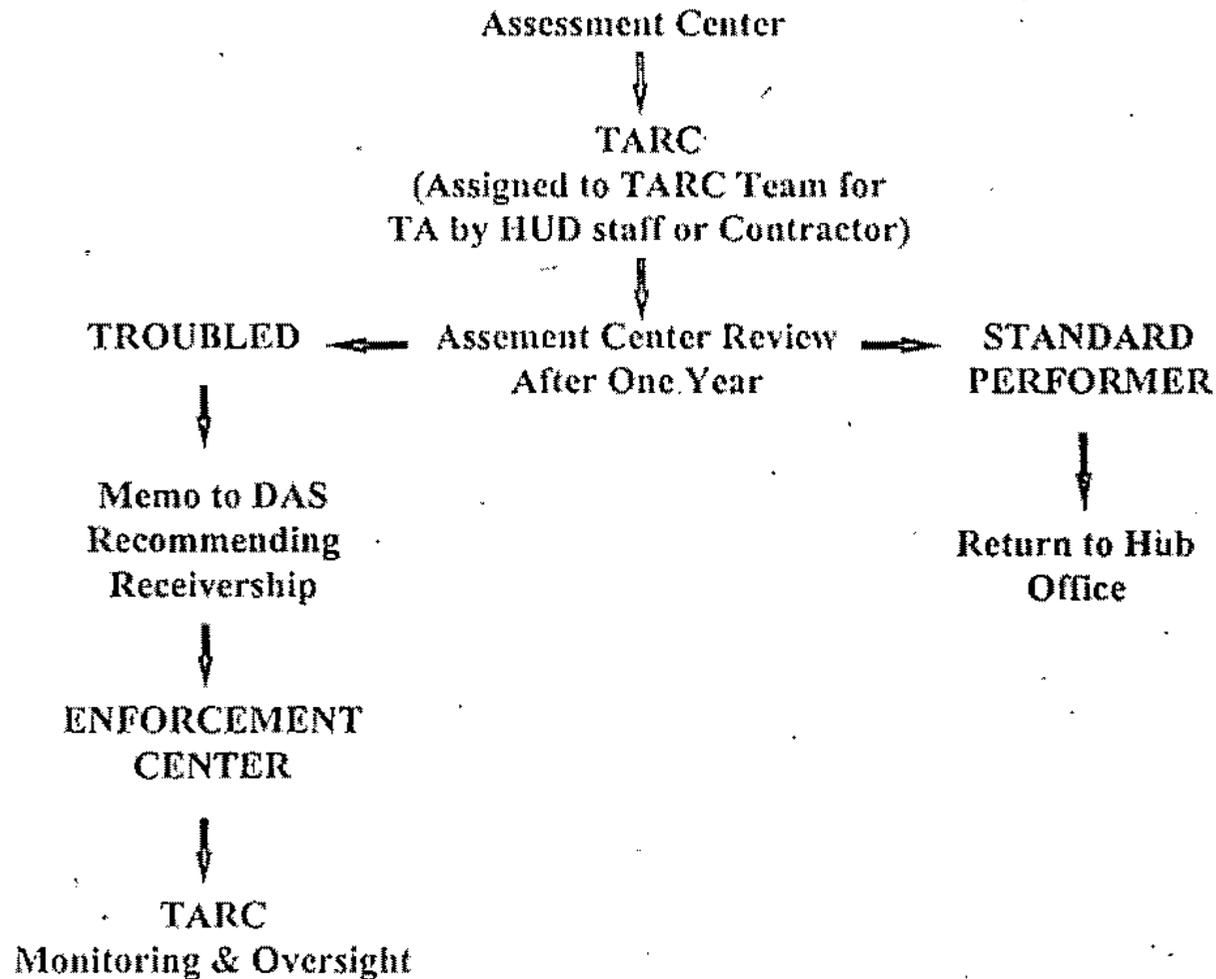
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Troubled Agency Recovery Center  
Workflow Process for  
Medium and Large Troubled PHAs



Troubled Agency Recovery Center  
Workflow Process for  
Medium and Large Troubled PHAs



## BENEFITS

- The development of TARC Centers separates the roles of intervention/recovery and program/management. The TARC will focus solely on the recovery/intervention of small, medium, and large Public Housing Agencies (PHAs). Field office staff will be able to focus on PHAs with declining and borderline troubled scores.

- TARC teams will be established to work with small, medium, large, troubled PHAs and, as appropriate, will be deployed on-site at the PHA to facilitate improved PHA performance through technical assistance.

- TARC representatives will be located in each HUB Office to provide a greater focus to small troubled housing authorities than received in the past. Proximity of the HUB office to these agencies will enable TARC representatives to maintain daily support to facilitate the attainment of passing grades.

- A centralized staff of specialized, housing experts will be available to develop strategies, provide technical assistance, and work on-site with PHAs to increase PHA performance.

- Centralizing the troubled PHA workload to these centers augments HUD's ability to provide a consistent approach to dealing with troubled PHAs and enhances HUD's ability to evaluate performance strategies and utilize "best practices".

- The one year deadline for recovery encourages PHAs to undertake rigorous corrective actions to improve performance with HUD assistance and cooperation. It further encourages standard performing PHAs to stay off HUD's troubled housing list.

- The TARC Centers will improve customer service to the PHAs by providing targeted staff to this endeavor.

- The development of the TARC Centers creates promotional and relocation opportunities for HUD staff.

## STAFFING

Each TARC Center will be staffed with 57 employees consisting of one Director, 2-Deputy Directors, 6-Supervisory PHRS, 41-Public Housing Revitalization Specialists (with sub-specialties of Finance and Budget and Facilities Management), 2-Contract Specialists, 1-Management Information Specialist, and 4-Support staff.

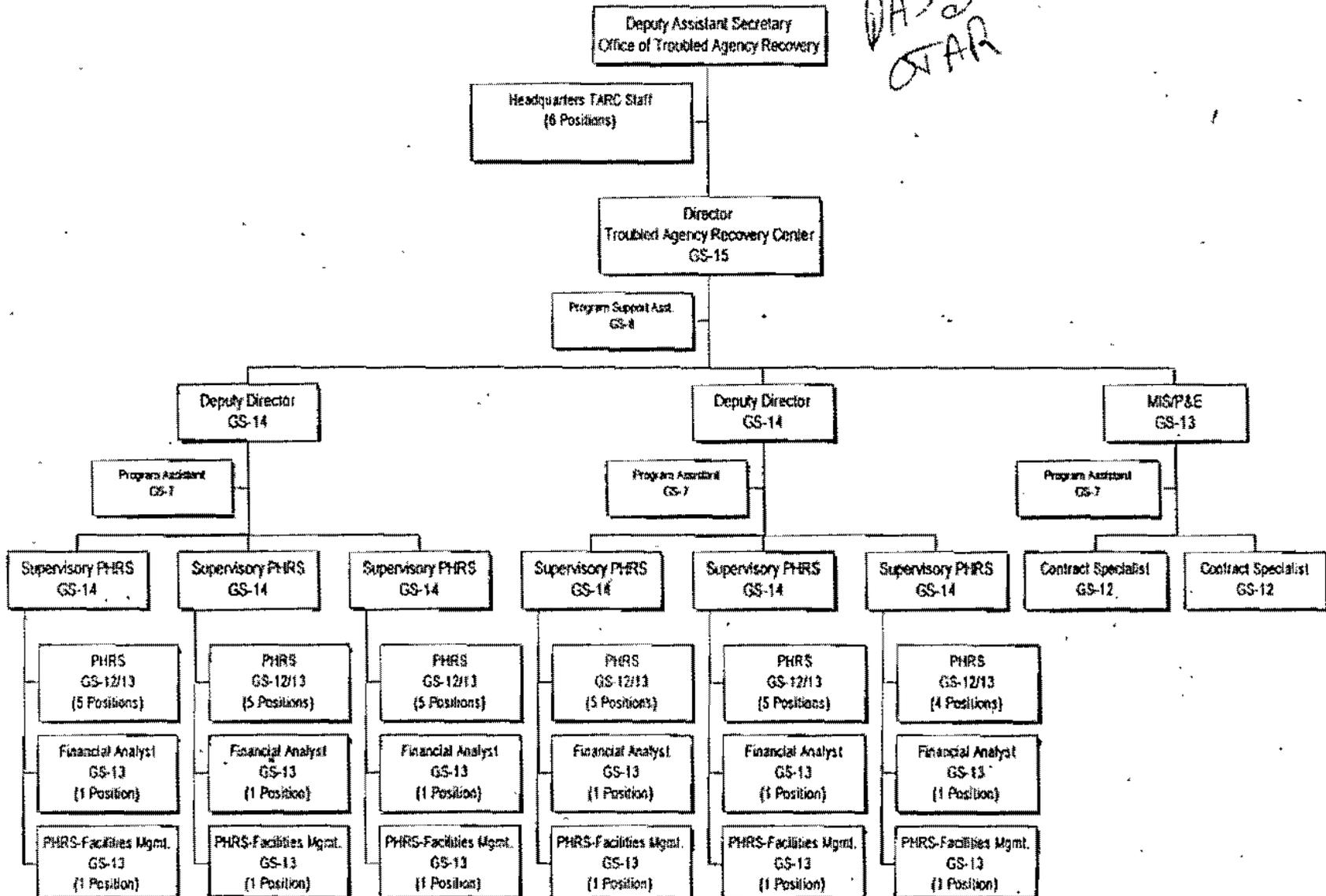
Each Deputy Director will be responsible for three Supervisory PHRSs who will lead teams consisting of 20 to 21 persons in the recovery efforts of medium and large troubled PHAs. These Deputy Directors will also be responsible for 84 field TARC staff which will be located at the HUB Offices that will handle small troubled PHAs.

Each TARC Center will have six teams which will handle the troubled housing workload. The team concept was designed to promote consistency and build efficiencies in the process. Each TARC Center will have a Management Information/Planning and Evaluation Section to handle administrative functions (e.g. travel) and contract administration duties.

The TARC Center workload will be divided geographically (North and South). Each TARC will handle workloads within the jurisdiction of 14 HUB Field Offices. However, The TARC Director would have the flexibility to shift staff between teams and HUB Offices to provide the specific skills needed to address workload.

# Troubled Agency Recovery Center Organizational Structure

*DASO  
OTAR*



## TARC Proposed Jurisdiction Distribution

### CLEVELAND

Baltimore  
Boston  
Buffalo  
Chicago  
Cleveland  
Kansas City  
Michigan  
Milwaukee  
Minneapolis  
Newark  
New York  
Philadelphia  
Pittsburgh  
Seattle

### MEMPHIS

Atlanta  
Birmingham  
Caribbean  
Coral Gables  
Denver  
Fort Worth  
Greensboro  
Jacksonville  
Little Rock  
Los Angeles  
Louisville  
New Orleans  
San Antonio  
San Francisco

## TRANSITION PLAN - TARC

### Opening Statement

Our proposed transition plan is to bring into operation two Troubled Agency Recovery Centers (TARCs) that will be located in Memphis, Tennessee and Cleveland, Ohio. The TARCs are intended to be fully operational by October 1, 1998. These two Centers, will operate under the general direction and guidance of the TARC DAS in Headquarters. TARC staff in the Centers and located in the HUBs will comprise and handle all of the troubled public housing authorities nationwide.

This plan provides for the recruitment and relocation of current Departmental staff to these centers, the re-deployment of existing Field Office Staff to work as out-stationed employees of the TARCs using their existing offices as bases, program training, office space, furniture/equipment, and travel reimbursement.

In order to meet the October 1, 1998, deadline, it will be necessary for the Department to develop a coordinated approach to the HUD Management Reform Plan. In carrying out this reorganization, it will be critical that the Department clearly and definitively outlines the operational and functional changes taking place Department wide.

The approach should encompass all of the new centers and provide specific details regarding the operations and staffing of all current FUB Offices, the nature of positions availability at each Office and the opportunities at each of the new Centers that will result from this reorganization.

## Transition Plan/Timeline

### I. TARC DAS Headquarters

The TARC DAS in Headquarters will serve as the principal point of contact between Headquarters, the two TARC Centers, and the HUB Field Offices in conjunction with troubled PHAs, hereafter referred to as the Field.

The Headquarters TARC, through the DAS, will provide primary direction, leadership, training, legislative advise and policy/technical direction and guidance to the TARC Directors involving matters of troubled agency recovery. The Headquarters TARC will provide guidance concerning the availability of T/A funds, IQC contractors and continue to have GTR authority and responsibility for all IQC contractors. In addition to providing GTR guidance, the Headquarters TARC Office will perform and conduct the needed procurement for developing technical assistance funding in relation to the IQCs.

The Headquarters TARC will be responsible for monitoring and tracking the performance and accomplishments of the TARC Centers. Headquarters will develop statistical reporting and trending procedures for analyzing the recovery process for the Department concerning troubled agency recovery.

The Headquarters TARC staff will be initially available for providing hands-on assistance to the TARC staff to facilitate recovery efforts and processes in troubled agencies.

### II. Hire TARC Directors:

The Department should advertise and complete the hiring of the TARC Directors (2) within 90 to 120 days from the date of this submission. The TARC DAS ought to be the recommending official for the TARC Directors and the Acting General Deputy Assistant Secretary should be the selection official. The TARC Directors should be on-board no later than January 1, 1998 and be available to actively participate in the hiring and staffing of their respective offices.

### III. Hire TARC (Center) Staff:

The Department should advertise and complete the hiring of the TARC staff beginning with the Deputy Directors (4) and Supervisory Public Housing Revitalization Specialists (PHRS) (6). This will allow the TARC Directors to be the recommending official for the Deputy Directors and the selecting official for the Supervisory PHRSs. This process will permit the TARC Directors to be involved with the selection of their respective management teams since they will be responsible and accountable for the operational effectiveness of the Centers. This also allows the TARC management team to be involved in the total implementation process at the very beginning and will increase the overall effectiveness.

Once all of the Supervisory PHRSs have been hired and are in place, selections for the remaining TARC center positions (82 positions) will take place through the merit staffing process.

The TARC staff (84 positions) in the HUB Offices will be merit staffed and outstationed from the TARC Centers. The TARC Deputy Directors should be the recommending officials and the TARC Directors the selecting officials. However, consideration will be given to the recommendations provided by current HUB Directors should the applicant come from that HUB Office.

Workload assignments will be distributed from the TARC Directors and will be based initially on location (North - South) and divided further according to specific HUB jurisdiction in the case of small troubled PHAs. However, depending on the overall needs of the TARCs, this may not be possible.

This phased staffing approach should be completed no later than August 1998, in order to have the TARC fully functional and operational by October 1, 1998. It must be noted that training will occur both during initial staff-up of the centers and throughout the on-going operations of the Centers.

#### **IV. Spacing/Furniture:**

Since specific and available space has not yet been identified in either location, it will be necessary to identify and establish temporary workspaces in order to accommodate the staffing of phase one and two above. As soon as permanent workspaces have been identified, the permanent facilities can be set up and staffed.

The purchasing or redistribution of furniture/equipment will need to be commensurate with space acquisition. Due to the nature of the tasks being performed by TARC staff, it is envisioned that staff will be on travel a substantial portion of each year. Based on this scenario, the TARC Centers will be furnished with docking stations (28 each) as opposed to permanent office settings for each person.

#### **V. Training:**

It is anticipated that staff in the TARC Centers will have a combination of programmatic knowledge of HUD's Public Housing programs and hands-on experience in dealing with issues relating to housing authorities. All new staff will be provided with initial orientation training and more specialized training as needed for troubled PHAs. However, less experienced staff will be required to undergo extensive training. It is further anticipated that a variety of training will be necessary both initially and on an on-going basis. The determination for the type of training will be predicated upon the experience and capability of the incoming staff.

#### **VI. Transfer Troubled PHAs to TARC:**

Once the total universe of current troubled PHAs has been determined, the electronic transfer of files, information, GTM field responsibility and troubled PHAs currently handled in Headquarters by the Office of Troubled Agency Recovery (OTAR), and HUD Field Offices throughout the country will need to occur. It is important that the transfers take place without any disruption to the recovery efforts in place. Once the transfer process has been completed, Headquarters staff and/or Field staff will need to collaborate with and brief, personally or remotely, the newly assigned TARC staff regarding the status of PHAs

under their control. This collaboration will also need to include an evaluation of current recovery efforts underway, identify any modifications which may be needed to enhance the recovery plan/MOA, and provide further guidance concerning additional T/A and/or funding.

It is anticipated that training will take place concurrently with the staffing and transfer of information to the TARC's. It is also anticipated that on-the-job training will also take place and less experienced staff will assist the more knowledgeable staff. This experience will prove invaluable when coupled with a formal training program to produce a more expert team for deployment to the field.

Staff deployment will be predicated upon the number and complexities of troubled PHAs, their respective size, evaluation and/or future needs for T/A, funding, etc. and the overall nature of the recovery effort needed. Experienced staff will be able to be immediately assigned to assist the larger and more complex PHAs.

Simultaneously, the TARC Directors/Deputy Directors will need to develop training and deployment plans for the remaining TARC staff.

## **VII. Assessment Center - Newly designated troubled PHAs**

The Assessment Center will provide assessment result information directly to the TARC Centers, along with a copy to DAS in Headquarters of newly designated troubled PHAs. Assignments will be based on the national North - South distinction. However, once the total number, size and type of troubled PHAs, and location trends become more apparent, it may be necessary to consider alternative workload distributions and assignments.

Due to the uncertainty of the workload based upon new PHMAP indicators and annual evaluations, the distribution of the respective HUB offices to be serviced by each TARC Center may need adjusted. An example would be that if one TARC Center would have an overload of troubled PHAs, the DAS for Troubled Recovery will have the authority to assign workload to the other Center based upon demand. Also, the TARC staff in the HUB offices will be utilized to augment either TARC Center's needs.

53 to ent 7500 Troubled Agencies

## RECOVERY PLAN STRATEGY

The steps for establishing a recovery plan are outlined below. The amount of funding available for technical assistance will be critical to the recovery strategy. Since it is anticipated that the number of troubled agencies may increase from the current 53 PHAs to over 500, it is extremely difficult to project the dollars needed for the recovery effort. In the event that HUD increases its troubled inventory to over 500 PHAs, the current annual funding of approximately \$25,000,000 will clearly not be sufficient to cover the technical assistance needs. A further analysis of this area has been conducted and a preliminary projection has been submitted with this package.

The steps that the TARC Centers will need to take in order to strategically and realistically classify the progress of troubled housing authorities in recovery can be categorized into five distinct stages.

### Stage I--Pre Assessment

Once a PHA has been designated as troubled, the PHA will need to be immediately scheduled for an independent assessment of their management and organizational administration and operations, and particularly the underlying reasons for deficiencies as related to the results of their most recent PHMAP score and confirmatory review. This statutory requirement, dictated by 57 CFR 2160, §113(a), mandates that all newly designated troubled agencies have an independent assessment to verify the score and designation. It is from this assessment, that the initial recovery strategy will be developed by the TARC Centers to assist the PHA in improving their performance and troubled designation.

### Stage II--Intervention and Stabilization

Stage II is characterized by the establishment of a cooperative relationship between HUD, the troubled PHA, public housing residents, City Officials, Board of Commissioners and other officials with an interest

# MOA

in seeing the troubled PHA improve its administration, operations and PHMAP performance. A preliminary Memorandum of Agreement (MOA) is developed between the primary parties and will be used to implement a "road map" or strategic plan to bring about measurable improvements specifically focusing on PHMAP deficiencies (D, E, & F scores), inter-related recovery issues, short term (quick fixes), and long range goals.

During this process, crisis management issues are identified and incorporated into the MOA and overall recovery strategy. Recovery teams are assembled, key executives and administrators are recruited for critical positions within the troubled PHA; technical assistance needs (both internal and external) are determined and clarified.

In some instances, recovery teams will temporarily relocate and work on-site within a troubled PHA. In other instances a receivership may be the best solution and in the best interest of all primary parties. Other models may involve a complete HUD take-over or privatization of the PHA's functions or assets. Each troubled PHA will need to be evaluated on a case by case basis, and an implementation and recovery strategy developed and implemented. This initial phase is critical to implementing realistic and effective improvement strategies in the troubled PHA and measuring positive and systematic changes in direction, which are strategically outlined in the MOA.

## Stage III--Operations Assessment and Strategic Planning

It is during this stage that technical assistance strategies, both internal and external are implemented at the troubled PHA. Actual priorities (political and programmatic) of the troubled PHA are identified, organizational operations are reviewed and streamlined, customer service to residents is evaluated, financial organization and administrative management needs are evaluated and a final MOA is executed between HUD and the primary parties.

This stage has also usually resulted in the establishment of an Executive Advisory Committee consisting of industry experts, city officials, a HUD representative and at least one resident of the housing authority. This committee closely monitors the troubled PHA through its recovery process and MOA and makes remedial and corrective recommendations as needed to HUD, the PHA and the primary parties

throughout the recovery process. Resident communications and public information channels are set into motion, outstanding audit findings, both IPA and IG, are reviewed and strategies are put into place to address each finding on an individual basis. These are referred to earlier in this package as inter-related recovery issues.

#### Stage IV--Intervention, Implementation of Plans and Technical Assistance

This critical stage in the intervention action will be intended to stabilize the management structure and operations of the troubled PHA. The primary focus during the intervention phase will be on specific functions and processes such as operating and capital budget revisions, MIS reporting, procurement and contracting procedures, quarterly PHMAP reporting, inventory controls and other critical areas within the daily operations of the troubled PHA. This stage is also characterized by making determinations concerning outsourcing of some or all of the PHA's functions such as modernization, maintenance, resident initiatives, etc. and outside contractor support in critical areas of the organization and bringing in needed experts from throughout the country, to assist in the recovery of the troubled housing authority. A monthly monitoring process is established to ensure a progressive improvement in performance within the allotted timeframe of 12 months.

#### Stage V--Confirmation and Closeout

This is the final stage of recovery and is characterized by sustainable and measurable improvement in the management, administrative, functional and operational functions of the PHA. Most importantly, however, the PHA is confirmed with a PHMAP score that is in excess of the troubled status percentage and the PHA has stabilized and is moving aggressively in a positive and upward direction.

As stated above, and although this is the basic pattern for each troubled PHA, the strategies employed to meet the ultimate and specific objectives of bringing about individual PHA improvement are uniquely different for each troubled PHA.

The final step in this process will be transition to a HUB in the case of a no-longer troubled PHA, or a recommendation to the Assistant

Secretary for enforcement action and a receivership. In those cases where a receivership is necessary, the TARC centers will continue to monitor recovery progress to some extent as permitted under a Court's decree.

## PERFORMANCE STRATEGY

Each TARC Center should be able to demonstrate quantifiable and measurable levels of effort in being able to successfully complete each of the following processes. This will allow Headquarters and the TARCs to measure progress in each primary area as well as allow the TARCs to develop internal monitoring techniques to improve performance in the primary areas.

1. The total number of PHAs that move from troubled status to standard status within the allotted recovery time frame.
2. The total number of PHAs that show substantial recovery progress within the allotted time frame. \*(This criteria assumes flexibility on the part of HUD to allow a recovery to continue according to some plan or extended time frame vs. referral to enforcement.)
3. The total number of PHAs that are transferred from the TARCs and recommended for enforcement/receivership. \*(A recommendation for enforcement and receivership should be considered as a positive intervention strategy on the part of HUD to improve the performance of a given PHA and improve public trust.)
4. The overall percentage of improvement for troubled PHAs regardless of outcome at the end of the recovery time frame.
5. Each TARC Center should be able to demonstrate quantifiable and measurable levels of effort in completing the preliminary PHA analysis, development of the MOA and recovery plans, requests for contract services (IQC) and technical assistance for the PHA, the completion/negotiations of Cooperative agreements and grants) and progress in monitoring technical assistance grants (GTM role). Since the time frame in which to bring about significant improvements in PHA performance will be so short, it will be critical that these types of items and products move very quickly through HUD channels and are effectively conceived.

6. The development of general tracking and trending reports regarding assigned troubled PHAs that provides quick, reliable information to TARC staff in the Field and Headquarters. Such tracking might include the total number of troubled PHAs coming on in a given year, the number of PHAs scoring between 55 and 60 (60 and 65 under possible future performance reporting), common failed indicators, best practices and failed practices.

**DEPARTMENTAL ENFORCEMENT CENTER  
(DEC)**

**Original Template for DEC Implementation Plan**

**Dated: April 15, 1998**

**U.S. Department of Housing & Urban Development  
Administration History Project  
December, 2000  
DOCUMENT # 26**

# Enforcement Center

## Implementation Plan

*Restoring the Public Trust*

*"Our message is loud and clear: If you're  
going to do business with HUD,  
don't even think about ripping us off."*

*Secretary Andrew Cuomo*

*San Francisco*

*May 9, 1997*

### I. Introduction

HUD 2020 Management Reform Plan, announced by Secretary Cuomo on June 26, 1997, focuses on getting HUD's own house in order, on managing its programs and people more efficiently and responsibly. This plan presents a fundamental management overhaul that aims to bring HUD in line with the times, ensuring its relevance and effectiveness into the 21<sup>st</sup> Century. Everything in HUD will be driven by the twin missions of empowering people and communities and protecting the public trust. The creation of HUD's Enforcement Center will address long standing management deficiencies that have made HUD vulnerable to waste, fraud, abuse and mismanagement, particularly in its housing programs.

Currently, each of HUD's business lines — Public Housing, Housing, Community Planning and Development and Fair Housing and Equal Opportunity — operate independent enforcement functions with different standards and procedures. With the creation of an Enforcement Center, Secretary Cuomo's HUD 2020 Management Reform Plan will dramatically change the way the Department conducts its enforcement functions.

The Department is fully committed to correcting long standing deficiencies by institutionalizing the Department's crackdown on waste, fraud and abuse of its programs.

*Restoring the Public Trust* is the key which drives this effort to clean up HUD's existing portfolio of approximately ten million housing units.<sup>1</sup> HUD is moving quickly to consolidate existing functions and employees and to contract out, where appropriate, to ultimately create a business-like entity to clean up its backlog of troubled assisted housing properties.

HUD is also seeking new legislative tools to strengthen its enforcement ability. HUD's legislative efforts include such reforms as: (a) a one-year mandatory trigger to move troubled large Public Housing Authorities (PHAs) into judicial/administrative receivership; (b) a public housing performance evaluation board to help develop an improved annual assessment system for PHAs, including an expanded PHMAP (Public Housing Management Assessment Program); (c) increased funding for multifamily enforcement; (d) reform of the bankruptcy laws to prevent multifamily owners from hiding behind the law to avoid prosecution by HUD and the Department of Justice, (e) merging the Section 8 Certification and Voucher Programs, and (f) privatize the oversight of HOPE VI construction management and development process.

## II. Concept of Operations

The Enforcement Center has the primary responsibility of regaining and maintaining the public trust by consolidating the bulk of HUD's enforcement efforts to bring resolution to the most difficult and most significant outstanding non-compliance issues among recipients of HUD program resources in the areas of Housing, Public and Indian Housing (PIH), Community Planning and Development (CPD), and Fair Housing and Equal Opportunity (FHEO). The Enforcement Center will be responsible for taking aggressive enforcement action on troubled housing and public housing portfolios assigned to the Center and for enforcing compliance with legal requirements under HUD agreements to preserve decent, safe and sanitary housing for low and moderate income households. The Center will also crack down on CPD and FHEO grantees who do not comply with requirements of HUD programs.

### Objectives:

- Aid in reducing the Department's troubled Multifamily housing inventory to a level comparable to or lower than the private sector (that is 5% to 7% of it's housing portfolio) by taking aggressive action on violations referred to the Center;
- Eliminate long-standing, and often unaddressed, breaches found in the Department's troubled housing portfolio which focus on fraud, waste and abuse of HUD program requirements by recipients and other beneficiaries (as noted by GAO's and OIG's respective reports);

<sup>1</sup> Source: HUD 2020 Management Reform Plan, June 25, 1997

### III. Roles and Responsibilities

The Enforcement Center is responsible for enforcement in the following areas:

- Troubled Multifamily properties involving owners, lenders, management agents;
- Single Family participants;
- Public Housing judicial/administrative receivership cases;
- ■ CPD grantees in non-compliance (violations);
- FHEO non-civil rights violations;
- HUD contractors;
- Civil money penalties and fines;
- Suspensions, debarments, civil referrals to DOJ; and,
- Criminal referrals to OIG.

The Enforcement Center works with all Offices within the Department:

**Office of General Counsel:** Center attorneys will work under the supervision of the Center Director and receive professional guidance from the General Counsel (OGC). OGC will provide assistance to the Center Director, where needed, in facilitating support and assistance from other federal, public and/or private relationships.

**Office of Housing:** The Enforcement Center works on a limited number of troubled properties for the Office of Housing. The Enforcement Center will initiate appropriate enforcement actions as approved by Housing and will develop compliance strategies and remedies for Housing field offices to follow on an as needed basis. The Office of Housing will continue to have responsibility for these cases. Additionally, the Center attorneys will provide legal assistance to Housing field staff as required. Once established and operational, the Real Estate Assessment Center (REAC) will be referring troubled cases to the Enforcement Center for action. The Center will be fully responsible for the development, initiation and follow through of all compliance and enforcement strategies on cases assigned to the Center prior to the Real Estate Assessment Center coming on line, as follows: (1) the Center will develop enforcement strategies and will instruct Housing field offices to initiate these enforcement strategies (plans) in the field; (2) Housing field staff will be responsible for administering these enforcement strategies; and (3) the Center will provide direction and guidance to Housing field staff and will monitor their assigned enforcement activities. This

partnership of "dual" enforcement work will require strong communication, cooperation and coordination between the Enforcement Center and the Office of Housing in order to get the job done effectively and efficiently. The enforcement actions taken by the Department must be seamless in design, approach and application.

**Department-wide Relationships:** The Enforcement Center is a Department-wide operation. It is not associated with any one Program Office even though the majority of its inventory may originate from one program area. While it is autonomous, the Center's existence is dependent on referrals it receives from the Assessment Center and Program areas and on field offices in carrying out mandated enforcement actions. It should not be viewed as another independent operational "cylinder" within HUD but as an equal partner with the Program Offices.

The Enforcement Center will be working closely with the Real Estate Assessment Center (REAC), Public Housing Troubled Agency Recovery Centers (TARCs), Field HUBs and Program Center Staff (particularly Senior Housing Program Managers), the Secretary, the Deputy Secretary, the General Counsel, Program Assistant Secretaries, Secretary's Representatives, Senior Community Builders and Coordinators, Congressional Relations, Public Affairs and the Office of the Inspector General.

**Policy Implications:** The Enforcement Center is not responsible for the development and implementation of program policies and procedures; these responsibilities rest directly with the Program Offices and their respective Assistant Secretaries. However, the Center may play a role in identifying program issues (and their resolution) which can impact on program policy developed by the Program Offices.

**Referral Sources:** The Enforcement Center will use the following principal sources of referrals: the Real Estate Assessment Center (REAC), Public and Indian Housing Troubled Agency Recovery Centers (TARCs), Principal Staff, including the CPD and FHEO Assistant Secretaries, Housing Senior Program Managers and other field staff, the Office of the Inspector General (OIG audits referred to the Center by the Program Offices), emergency referrals, suspension and/or debarment referrals from field offices and a toll free 800 telephone number.

**Enforcement Authority:** The Enforcement Center has the authority to handle enforcement cases through five basic tracks:

- **Program Agreements:** Ensure that owners, grantees, PHAs, and other program participants come into compliance with legal agreements, requirements and statutes.
- **Criminal and Civil Enforcement:** Initiate, as necessary, appropriate civil referrals to the Department of Justice (DOJ) and/or criminal referrals to the Office of the Inspector General (OIG).
- **Emergency Situations:** Undertake immediate and necessary enforcement and/or compliance actions to rectify emergency conditions.

- **IG Audits:** At the request of the Program Offices, intervene where recipients have failed to comply and/or resolve audit findings.
- **Suspensions and Debarments:** Initiate debarment and suspension actions referred by field offices; handle Limited Denial of Participation (LDPs) appeals and Multifamily Previous Participation (2530) appeals.

## IV. Organizational Structure

The Enforcement Center will be composed of seven (7) functional divisions reporting to the Office of the Director. The divisions are as follows: Administrative and Management Services, Contract Oversight, Information and Technology, Operations, Compliance, Legal, and Departmental Tracking.

For Fiscal Year 98, the Center will be staffed with 204 FTEs as follows:

Office of the Director	--	4
Divisions:		
Administrative & Management	--	11
Contract Oversight Division	--	8
Information & Technology	--	3
Operations Division	--	117
Compliance Division	--	10
Departmental Tracking	--	7
Legal Division	--	44
<b>Total</b>		<b>204 FTEs</b>

**Office of the Director:** The Office of the Director has overall responsibility for the activities of the Center. The Director has administrative supervision and provides operating direction to Center attorneys. The Director has 3 immediate staff, including a Deputy Director (SES) and two Enforcement Assistants.

**Administrative and Management Services Division:** This Division will be responsible for various functions supporting the overall operations of the Center, including: (1) staff training, orientation and enforcement type courses; (2) budget/finance management; (3) administrative and personnel support services; (4) field coordination, particularly with Secretary's Representatives and Community Builders; (5) public information resources; and (6) management planning.

The Division will also be responsible for the preparation of performance measures, management plans and strategic planning, meeting GPRA requirements, employee performance evaluations (EPPES), internal controls, FOIA requests, enforcement

contact for field office communications regarding any enforcement actions taken against troubled projects. The goals of the Operations Division are to:

- Reduce the Department's troubled housing inventory to an acceptable level, that is, 5% to 7% of its portfolio by taking appropriate, prompt and effective enforcement actions where owners do not cooperate in a recovery strategy;
- Assist the Office of Housing in restoring the stock to decent, safe and sanitary housing by developing appropriate enforcement and recovery strategies where owners are cooperative; and,
- Crack down on owners who have put properties in jeopardy by engaging in waste, fraud, or abuse.

**Compliance Division:** This Division will be responsible for Department-wide handling of debarments, suspensions, appeals of Limited Denials of Participation (LDPs), and appeals of denials of participation stemming from the Previous Participation process. Consolidation of the Departmental sanction processes will be a critical role of the Enforcement Center as it will be able to take prompt and effective action against those who abuse any of HUD's programs. In addition, the Compliance Division will have the authority to levy and collect fines against property owners who fail to submit annual financial statements to HUD.

**Legal Division:** The Legal Division will be responsible for all legal enforcement actions for the Center. This includes initiating administrative actions and taking steps to effect receivership, criminal referrals to OIG and/or civil referrals to the DOJ. This Division will also provide a variety of support services to the National Enforcement Advisory Board, the Center Director, the Multifamily Recovery Teams, PIH TARC's and the Center's Compliance and Operations Divisions. Additionally, Center attorneys will also be providing legal advice and guidance to Program field staff (CPD, FHEO, PIH and Housing) on an as needed basis, and will monitor contracts that provide legal services to carry out the Center's mission.

**Department Tracking Division:** The Departmental Tracking Division will be responsible for collecting, tracking, monitoring and reporting on all enforcement actions throughout the Department. The tracking function will require the Division to work with the Program Offices in Headquarters and in the field to develop the types of information to be collected for each program area. Liaison Officers will be responsible for implementing this enforcement tracking system, training Headquarters and field staff on the system, maintaining and managing the system and for the preparation of enforcement performance reports to the Secretary, the Center Director and the National Advisory Board and other entities as needed. The Departmental Tracking Division will work closely with the Information & Technology Division and the Operations Division on quality control responsibilities – timeliness of actions, consistency of application,

monitoring field actions and performing other activities to verify the quality and effectiveness of the Center's enforcement efforts.

**Center Locations:** On November 12, 1997, Secretary Cuomo announced that the Enforcement Center (EC) and the Real Estate Assessment Center (REAC) will be located in Washington, D. C. for at least the first two years. After the first two years, the Department will review the status and location of each Center.

While the Enforcement Center will have its Headquarters in Washington, D. C., there will also be five satellite offices established in the following locations: New York, Atlanta, Ft. Worth, Chicago and Los Angeles. Each satellite office will be headed by an Operations Oversight Manager who reports directly to the Operations Director in Headquarters. These satellite offices will have two Enforcement Teams, headed by Team Leaders, for a total of ten (10) teams. Each team will be composed of seven (7) Enforcement Analysts and two (2) Operations Assistants. Two Center attorneys and a contract advisor will also be outstationed to each satellite office.

The five satellite locations were selected on the basis of workload concentrations, particularly in the Multifamily portfolio, location of Multifamily and Public Housing Hubs, cost savings associated with travel, close proximity to troubled sites and Center contractors and staff knowledge of and experience with troubled sites and related real estate conditions.

**Center Director:** Initially, the Center will be headed by a Special Agent on a 18 month detail assignment from the Federal Bureau of Investigation (FBI). On July 29, 1997, Secretary Cuomo named Special Agent, Edward J. Kraus, who was formerly Assistant Special Agent in Charge of the FBI's Chicago Division, to head the Enforcement Center. Mr. Kraus assumed his duties in Headquarters on September 8, 1997. The Director of the Enforcement Center is designated as Principal Staff.

**National Enforcement Advisory Board (NEAB):** A National board of advisors<sup>2</sup> will be formed to provide a forum for the housing industry to provide ongoing feedback, to the Secretary and the Enforcement Center on its performance and its enforcement efforts. The National Enforcement Advisory Board (NEAB) will be composed of 12 "stakeholders" from the housing industry (three from each of the following areas: private, non-profit, public sectors, and tenant and/or resident organizations).

Members will be appointed by the Secretary for a term of three (3) years -- consecutive appointments are allowed at the discretion of the Secretary. Initially, one-third of the

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<sup>2</sup> It should be noted that the National Enforcement Board is different from the proposed Performance Evaluation Board of Advisors to be established for the Troubled Agency Recovery Centers (TARCs) in PI-1. The PIH Board is designed to (1) improve performance measurements; (2) develop a system for site inspections; and (3) develop a more effective oversight process for all Public Housing Authorities, as outlined in the proposed legislation.

Board membership will serve for a one year period; another third for two years and the remaining third for 3 years. Individuals, corporate executives, partners, investors, public and/or elected officials, and tenant organizations by virtue of their ownership positions who currently have business with the Department involving a "failed" or troubled project are prohibited from membership for as long as the project remains troubled. Resident organizations are excluded from this prohibition. The Director of the Enforcement Center will be responsible for coordinating Board meetings and activities. Board meetings will be scheduled bi-annually once the Center becomes fully operational. The Secretary or his/her designee will chair all scheduled Board meetings.

**Operational Schedule:** It is the Enforcement Center's goal to become fully operational by September 1, 1998. The activities during Phase One will include establishing Headquarters and the five Satellite Offices, staffing and training personnel, providing orientation sessions to field staff, obtaining space and equipment, awarding contracts and conducting enforcement activities in coordination with the Office of Housing until such time that the Center is fully operational and ready to accept workload responsibilities from Multifamily Housing. The Center will also focus on the development and implementation of enforcement policies and procedures, roles and responsibilities in enforcement, performance measures, quality controls, front end risk assessments, strategic planning and workload management.

## V. Coordination and Operational Relationships

### A. Internal Coordination:

The Enforcement Center is a Department-wide operation. It is not associated with any one Program Office even though the majority of its inventory may originate from one program area. While it is autonomous, the Center's existence is dependent on referrals it receives from the Real Estate Assessment Center and Program areas and on field offices in carrying out mandated enforcement actions. It should not be viewed as another independent operational "cylinder" within HUD but as an equal partner with the Program Offices.

The Enforcement Center will be working closely with the Real Estate Assessment Center (REAC), Public Housing Troubled Agency Recovery Centers (TARCs), Field HUBs and Program Center Staff (particularly Senior Housing Program Managers), the Secretary, the Deputy Secretary, the General Counsel, Program Assistant Secretaries, Secretary's Representatives, Senior Community Builders and Coordinators, Congressional Relations, Public Affairs and the Office of the Inspector General.

**Program Protocols:** The Enforcement Center will notify individual Program Offices in Headquarters and their counterparts in the Field (Hubs and Program Centers), as well as the appropriate Secretary's Representatives and Senior Community Builders in the field, of enforcement actions taken against their projects assigned to the Center. Those Housing field staff conducting enforcement activities will be reporting to and

operating under the direction of the Enforcement Center. Enforcement related actions include but are not limited to:

- Enforcement actions issued against all relevant parties;
- Responses (or lack of response) and/or corrective actions taken by participating parties;
- Civil referrals to DOJ and criminal referrals to the OIG, as appropriate;
- Relevant Congressional and other public/private inquiries; and,
- Suspensions/Debarments associated with the project.

Field Offices issuing Limited Denials of Participation (LDPs) and 2530 notices will notify the Enforcement Center of such actions and will provide periodic 2530 status reports on progress made to correct identified problem areas.

**Intake Process:** Upon receipt of an enforcement referral, the Center will initiate a review and evaluation of the case to resolve the related enforcement issues. Due diligence may include: (1) an on-site physical inspection of the property; (2) a request for information and all related project files from the appropriate Field Office; (3) a site visit; and/or (4) consultations with the U.S. Attorneys on enforcement actions. Due diligence will be completed as quickly as possible after receipt of the referral; generally within 10 days of receipt.

Each project case assigned to the Enforcement Center must have a complete, comprehensive, accurate and up-to-date Project File and administrative record that enforcement staff can rely on to make critical recommendations on the course of action to take.

**Relocation Process:** The Enforcement Center will rely on the Property Disposition Hubs in Atlanta and Ft. Worth when relocation is required.

**Emergency Resolution Process:** The Secretary and Principal Staff may, at any time, refer an emergency to the Center for immediate attention. The Enforcement Center is being designed to also assist in emergency cases affecting residents or where the Secretary has determined it necessary to involve the Enforcement Center. The Center will be able to provide employees as a rapid response team within hours. These employees will be trained and able to provide the Department, Community or residents vital guidance in matters of housing as well as virtual office services via laptops, including but not limited to CEmail, Internet, fax and other critical wireless services.

**Audit Resolution Process:** This process involves audits conducted by the Office of the Inspector General. At present, each Program Office handles their own audit cases.

Audit resolutions will continue to be accomplished by the current procedure of obtaining management decisions agreed to between the IG and the affected Program Office. However, the Office of the General Counsel will assume a new responsibility of facilitating achievement and implementation of management decisions. When audit resolution leads to a management decision involving enforcement, that is, the recipient of grant funds does not adhere to the audit findings, the action will be referred to the Enforcement Center.

Referrals of this nature from Principal Staff should be referred to the Enforcement Center only if the audit addresses non-compliance on the part of the recipient of HUD funds who has failed or refuses to take the necessary corrective actions. The recipient must be notified of (1) the non-compliance issues; (2) the appropriate correction action needed to be taken; and (3) referral to the Enforcement Center if the corrective actions are not done within a cure period.

**Suspensions/Debarments:** All HUD-related suspensions and debarments will be handled by the Center. Referrals will be made by Program Staff.

### **Office of Housing - Multifamily Protocol:**

There are three phases of implementation for the Enforcement Center. Phase One is the implementation of the Center which is currently underway. While the Enforcement Center is not accepting referrals during this phase, the Center will provide assistance to Multifamily Hubs in handling their enforcement actions. Phase Two is when the Enforcement Center is fully operational (September 1, 1998) but prior to the REAC being capable of producing total aggregate scores. During this phase, the Enforcement Center will accept property referrals from Multifamily Hubs. Phase Three is when both the Enforcement Center and the Real Estate Assessment Centers are fully operational. During this phase, the Real Estate Assessment Center will score the physical and financial condition of properties and flag conditions that indicate possibility of compliance breaches, performance deficiencies or risk. The scores and flags will determine which properties will be assigned to the Enforcement Center and which to the Multifamily Hub based upon risk management criteria.

#### **Phase One**

During Phase One, the Enforcement Center's capacity to provide assistance to Multifamily Housing will be limited. This is because the Enforcement Center will be devoting considerable resources to completing the process of its formation; e.g., staffing up, training, obtaining physical space and moving in, developing and designing computer systems.

However, the Enforcement Center will provide advice, support and recommendations to Multifamily Housing as it continues to pursue actions against its most troubled properties. All requests to the Enforcement Center for assistance should come from the Multifamily Hub Director(s) or their designee(s). Prior to requesting any legal assistance, Multifamily Housing will first consult with its local Field Counsel and

determine if the Housing Legal Enforcement Contract could provide the needed assistance. Where possible requests for assistance that can be answered readily by telephone will be rendered. Requests for more substantial assistance will be submitted by e-mail to the Enforcement Center Operations Division Director in Headquarters. The Enforcement Center will respond within five working days as to whether it will provide the assistance, and if so, when Housing can anticipate assistance. In all cases, including emergency cases discussed below, MF will remain fully responsible for all troubled projects during this phase.

The Enforcement Center is also available to provide Multifamily Housing with support, advice and recommendations for projects that constitute an emergency. Multifamily Housing should send such requests for support and assistance by e-mail to the Enforcement Center Operations Division Director, specifying the nature of the emergency, e.g., life threatening situations or properties in which conditions exist causing the property to rapidly and/or substantially deteriorate physically and/or financially. The Enforcement Center will immediately respond to such requests and determine what support it will provide.

During this phase, Multifamily Housing will begin the process of identifying the properties to be referred to the Enforcement Center for Phase Two.

### Phase Two

It is anticipated that on September 1, 1998, the Enforcement Center will be fully operational to initially accept and be responsible for 700 referrals from Multifamily Housing. If, after an inventory assessment of the Multifamily Housing portfolio, the Enforcement Center does not have 700 referrals by November 1, 1998, the Enforcement Center, in consultation with Multifamily Housing, will review a variety of possibilities (including a second round of reviews by MF Hubs) for additional referrals. These include: (1) selecting properties identified from office portfolio reviews previously conducted by the Kerry Company; and (2) selecting properties identified as troubled from Multifamily Housing's listing of potentially troubled or troubled properties identified by the Multifamily Hub's and Program Offices (estimated to be 2,265 properties). Should either of these additional methods fail to produce the amount of properties to bring the Center's caseload to 700, then the Enforcement Center may perform an independent analysis on the portfolio. The Enforcement Center Director, in consultation with Multifamily Housing, will select from the analysis the remaining number of properties to bring the Enforcement Center to the required capacity for this phase.

The Enforcement Center will be fully responsible for the 700 properties transferred from Multifamily Housing and will have the lead in conducting due diligence on the properties in consultation with the MF Hubs, and in developing an enforcement plan covering appropriate sanctions (if any) and corrective actions by HUD and the owners including a timetable for completion of all activities. Once the plan has been developed, the Enforcement Center will communicate the plan to the owners and to the MF Hubs in the field. The Enforcement Center will initiate sanctions, if any, called for in the Plan.

Under the supervision of the Enforcement Center, the MF Hub will administer the plan, work closely with Center staff, monitor owner's implementation of corrective actions as outlined in the Plan, and report on the owners' progress in completing the necessary corrective actions. The MF Hub will continue to perform routine asset management tasks for the project and will obtain the Enforcement Center's concurrence regarding servicing actions taken.

If an emergency (as defined in Phase One) arises, the Multifamily Hub will alert the Enforcement Center and the Deputy Assistant Secretary for Multifamily Housing (DAS). If the project is referred to the Enforcement Center for handling, the Enforcement Center will promptly accept the referral if it agrees that an emergency exists. The Enforcement Center may also initiate transfers of projects that it otherwise determines are experiencing emergency conditions and will notify the DAS for Multifamily Housing of such transfers.

The Enforcement Center anticipates the ability to accept additional properties each quarter after the initial caseload of 700 properties is transferred to the Center. In the event that Multifamily Housing is unable to refer the additional properties, the Enforcement Center Director may again select properties through the methods identified above, including the portfolio review.

### Phase Three

Phase Three begins when the Real Estate Assessment Center (REAC) produces annual scores and assessments of properties in HUD's inventory. The Real Estate Assessment Center will score the physical and financial condition of projects and flag conditions that indicate possibility of compliance breaches, performance deficiencies or risk. The scores and flags will determine which projects will be assigned to the Enforcement Center and which to the Multifamily Hub based upon risk management criteria.

All information collected through the Real Estate Management System (REMS) updated by the EC, REAC and Multifamily Hubs on referred properties will be accessible to the Enforcement Center to be used as a basis for developing appropriate enforcement plans.

The Enforcement Center will be fully responsible for the properties assigned to the Center and will have the lead in conducting due diligence on the properties in consultation with the MF Hubs, and in developing an enforcement plan covering appropriate sanctions (if any) and corrective actions by HUD and the owners including a timetable for completion of all activities. Once the plan has been developed, the Enforcement Center will communicate the plan to the owners and to the MF Hubs in the field. The Enforcement Center will initiate sanctions, if any, called for in the Plan. Under the supervision of the Enforcement Center, the MF Hub will administer the plan, work closely with Center staff and report on the owners' progress in completing the necessary corrective actions in a timely manner. The MF Hub will continue to perform

routine asset management tasks for the project and will obtain the Enforcement Center's concurrence regarding servicing actions taken.

The Enforcement Center will continue to accept emergency referrals as outlined in Phase Two.

### Automatic Transfers

Any bankruptcy action which is based on Regulatory Agreement breaches should be immediately referred to the Enforcement Center. These cases involve non-financial bankruptcies in which the owners' response to a compliance request is the filing of bankruptcy.

### Projects Returned to Multifamily Housing

Whenever the Enforcement Center determines that no further enforcement actions are required for a property assigned to the Center (and the property has not been foreclosed), it may return the property to Multifamily Housing. No further enforcement action means no new problems have been identified, no new enforcement actions are required, the corrective action plan is on schedule and the owner is fully cooperating in the process. MH will then have full responsibility for handling the returned project.

### Training

Where possible and appropriate, the Enforcement Center and Multifamily Housing will make every effort to sponsor joint training sessions for their respective staffs on this protocol and on other training efforts designed to build staff capacity and improve skills.

### Departmental Tracking

The Secretary has given the Enforcement Center the responsibility to track all enforcement actions throughout the Department. It is the intention of the Enforcement Center to tailor its enforcement tracking system to individual program components. The Enforcement Center will work with Multifamily Housing to modify REMS to provide the data needed to carry out the Enforcement Center's tracking responsibilities.

### **Housing's Property Disposition Hubs:**

The Enforcement Center and Housing's Property Disposition Hubs have significant cross functional responsibilities. To ensure continuity of enforcement efforts, it is recommended that the Enforcement Center become a client of the Property Disposition Hubs. The Property Disposition Hubs will render services related to mortgagee-in-possession, foreclosure and relocation enabling the Center to focus on startup operations to demonstrate early results to restore the public trust. The Property Disposition Hubs will remain fully responsible for all relocation and property disposition activities. Critical intersections include:

- The handoff of records/files from the Enforcement Center to the Property Disposition Hub for MIP (Mortgagee-in-Possession), foreclosure or relocation. The Enforcement Center will prepare the 21-day Notice of Foreclosure letter and conduct all appeals prior to handoff.
- An appropriate sharing of records and files in the event of criminal or civil action after foreclosure.
- Enforcement Center monitoring to ensue that MIP or foreclosures are followed through expeditiously.
- In the event of bankruptcy, the Property Disposition Hub continues property management and/or servicing and transfers appropriate records and documents to Enforcement Center attorneys.

### **Public and Indian Housing Protocol:**

The process, as defined below, does not alter, to a large degree, the way in which the Office of Public and Indian Housing has handled receivership cases in the past, except that now troubled Public Housing Authorities (PHAs) will be assigned to the Troubled Agency Recovery Centers (TARCs). The protocol makes a distinction between the process to be used with and without the expectation that the proposed Public Housing Management Reform Act will be enacted.

#### **With Legislation:**

- Under the proposed Public Housing Management Reform Act of 1997, Public Housing Authorities (PHAs) will have a one year deadline to correct their troubled status or be placed in judicial receivership (for large authorities) or judicial/administrative receivership (for small authorities).
- Public Housing Authorities referred by the Real Estate Assessment Center will be assigned to one of two PIH Troubled Agency Recovery Centers (TARCs) which will develop and implement an intervention strategy to bring the PHA to passing scores.
- If after the one-year deadline the PHA continues to remain troubled in the TARC, the Assistant Secretary for PIH will refer the troubled PHA to the Enforcement Center to be placed in receivership.

#### **Without Legislation:**

- Without proposed legislation, the TARCs will continue to develop an intervention strategy for troubled PHAs. However, the TARC will not be limited to the one-year deadline as required under the proposed legislation. Therefore, the Assistant Secretary for Public Housing will determine when the

PHA will be referred to the Enforcement Center for receivership action using the following criteria: If a Public Housing Authority improves its score by 50% towards a passing score, the PHA will remain in the TARC for another year.

- Once the PIH Assistant Secretary determines that the PHA will be referred to the Enforcement Center for receivership action, the TARCs will provide the Center with current, accurate and sufficient information for the Enforcement Center to support the request for receivership. Center attorneys will provide guidance to the TARCs in terms of the type of information required to support a receivership or take-over action. PIH will continue to have the responsibility for the troubled PHA throughout the receivership process.
- Enforcement Center attorneys will be available to the Assistant Secretary and TARCs for advice and guidance at any time.
- The Enforcement Center is also available to the PIH Assistant Secretary for take-over or receivership cases referred by the Office of Native American Programs (ONAP).

The Enforcement Center is available to assist PIH, in Headquarters and in the field, to provide receivership services for its programs. Further, Center staff will be available to provide joint training on the protocol for PIH field staff if deemed necessary and appropriate.

### **Community Planning and Development Protocol:**

The process, as defined below, does not alter, to a large degree, the way in which CPD has handled enforcement issues in the past. The Enforcement Center enhances CPD's abilities to obtain voluntary compliance from its grantees rather than be referred to the Center for enforcement action. Where voluntary agreements are not obtained, the Center stands ready to provide both advice and guidance and enforcement strategies which will focus on resolution of the outstanding issues. The process is as follows:

- CPD targets "high risk" projects as it improves monitoring and oversight of project execution and performance.
- CPD Field Offices work with grantees to resolve identified audit findings uncovered in their audits (Single Audit Act and A-133, revised). Findings can include violations of HUD agreements, statutes and regulations, misappropriated and/or undocumented funds, mismanagement, poor accounting systems, civil and/or criminal violations. CPD will refer potential criminal violations to the OIG in the field.
- If Field Office staff are unable to resolve and/or correct audit findings with the grantee, the project is referred to Headquarters CPD for review. Headquarters reviews the findings, consults with the OIG and develops a strategy to resolve outstanding issues with the grantee.

- Upon review of the project, the Assistant Secretary for CPD may determine that the project should be forwarded to the Enforcement Center based on the following conditions:
  - ▶ Dispute: CPD and the grantee are unable to develop and agree upon a corrective action plan to resolve outstanding issues.
  - ▶ Enforcement Action: CPD determines that an enforcement action is required to resolve audit findings or the grantee has failed to comply with audit findings.
  - ▶ A number of actions are available to the CPD Assistant Secretary; they include but are not limited to: reduction in grant funds, withholding of payment, disallowance, suspension or termination of current award, withholding of future awards, administrative claims, administrative hearings before Administrative Law judges (ALJs), recapture or reimbursement of funds, conditioning the use of future grant funds, institute claims collection, and revocation of designation (such as Empowerment Zones).
- Due Diligence: The Enforcement Center will review the project file with the appropriate field staff, collect all relevant information to ensure that the project is complete, current and accurate.
- CPD may designate Headquarters and field office staff to work with the Center on an as needed basis. The Headquarters' designee will be responsible for keeping the Assistant Secretary informed of the status of the project while it is in the Center.
- In cases of potential criminal and/or civil violations, the Enforcement Center will consult with (and refer to) either DOJ or the OIG for appropriate action.
- The Enforcement Center will be responsible for handling cases requiring administrative action or civil action not related to fraud.
- Upon conclusion of the enforcement action, the Enforcement Center will return the project to CPD for continued monitoring and follow-up.

The Enforcement Center is available to assist CPD, in Headquarters and in the field, with enforcement advice and services for its programs. Further, staff from the Center will be available to provide joint training on the protocol for CPD field staff if deemed necessary and appropriate.

### **Fair Housing and Equal Opportunity Protocol:**

The process, as defined below, does not alter, to a large degree, the way in which FHEO has handled enforcement issues in the past for the various fair housing grants it administers. The Enforcement Center enhances FHEO's abilities to obtain voluntary compliance from its grantees rather than be referred to the Center for enforcement action.

Where voluntary agreements are not obtained, the Center stands ready to provide both advice and guidance and enforcement strategies which will focus on resolution of the outstanding issues. The process is as follows:

- The Enforcement Center will be responsible for handling non-civil rights cases requiring administrative action or civil action not related to fraud.
- If FHEO requires additional, audit-related information regarding a grantee to determine whether to exercise its enforcement authority under these grants, it may request assistance from the Enforcement Center. Requests should be made by the Assistant Secretary for FHEO to the Center Director. The Enforcement Center will respond to any request within 10 working days.

### **Real Estate Assessment Center (REAC) Protocol:**

The Real Estate Assessment Center will score the physical and financial condition of projects and flag conditions that indicate possibility of compliance breaches, performance deficiencies or risk. The scores and flags will determine which projects will be assigned to the Enforcement Center and which to the Multifamily Hub based upon risk management criteria.

The Assessment Center will officially notify each project in the HUD inventory of their annual score. Additionally, the Real Estate Assessment Center will notify the Field Offices of those projects within their jurisdictions that are being referred to the Enforcement Center. The Assessment Center will be responsible for notifying the appropriate Congressional delegation of scores received for each project within their State and jurisdictional areas.

## **B. Headquarters/Field Relationships**

### **Field Offices:**

Field Offices will continue to be responsible for projects that are not assigned to the Enforcement Center. Housing Field Offices will continue to be responsible for the marginally troubled properties and for notifying the Enforcement Center of any problems, violations or waste, fraud and mismanagement activities uncovered during the course of routine project monitoring activities. CPD and FHEO Field Offices routinely notify their respective Program Offices in Headquarters where their Assistant Secretaries review and assess identified problems and either refer projects to the Center for enforcement action or provide guidance and direction to the field in resolving the situation at the local level.

**Secretary's Representatives and Senior Community Builders:**  
 Secretary's Representatives and Senior Community Builders/Coordinators will be notified by the Center of enforcement actions taken against projects in their geographic jurisdictions.

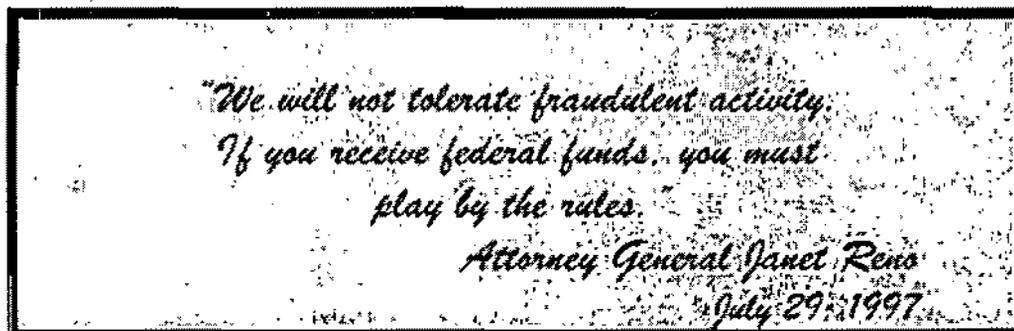
**Congressional Relations and Public Affairs:**

Once a project is assigned to the Enforcement Center, the Center will work closely with Congressional Relations to provide appropriate responses to all Congressional inquiries regarding enforcement actions. Such responses to Congress and the public-at-large will be made according to Federal rules and regulations regarding confidentiality.

**Office of the Inspector General:**

The Enforcement Center is actively working with the Inspector General's Office to develop operating guidelines, authorities and the roles and responsibilities of both organizations regarding the Department's enforcement activities.

**C. Partnership Relationships**



**Department of Justice:**

Secretary Cuomo reached an agreement with Attorney General Janet Reno whereby HUD will coordinate its enforcement efforts to "crack down" on waste, fraud and abuse with the Department of Justice (DOJ).

On March 24, 1997, HUD and the Department of Justice launched "Get Tough," a partnership to crack down on landlords in 50 cities who abuse federal housing programs to enrich themselves while failing to provide safe and decent housing for the poor. Enforcement actions that HUD and the Department of Justice will pursue against bad landlords include: prison sentences, civil fraud judgments, mortgage foreclosures, bans on doing business with the federal government, statutory requirements against equity skimming – loss liability and money laundering offenses; and impose criminal penalties on anyone who obstructs a Federal audit dealing with HUD funding. As part of the "Get Tough" partnership, the U.S. Attorneys will provide HUD with periodic

reports on individuals and organizations charged with federal criminal and civil violations involving HUD programs. The reports will enable HUD to take action against those charged, such as proposing debarments.

On September 17, 1997, Secretary Cuomo and Attorney General Janet Reno announced that attorneys from the Justice Department will be detailed to HUD's new Enforcement Center. The DOJ attorneys will give the Enforcement Center and the Department added expertise in the drive to institutionalize the Department's crackdown on waste, fraud and abuse.

Four Assistant United States Attorneys have recently been detailed to the Department of Housing and Urban Development (HUD) to assist in getting the Enforcement Center up and running. The ultimate goal of the detail is to assist in improving the quality of investigations and case preparation, so that if a case is eventually referred for litigation to the United States Attorney's office, the referral package will be solid. To this end, the four Assistant United States Attorneys will be acting in an advisory capacity.

The Assistant United States Attorneys hope to assist in providing training in advocacy, discovery, negotiations and evidence to enable HUD attorneys to assist DOJ attorneys in litigating HUD cases. Additionally, the Assistant United States attorneys will be focusing on training for Enforcement Center field staff on the importance of creating and preserving the administrative record to avoid situations where HUD field personnel take positions that are inconsistent and harmful to the eventual litigating of the fraud case.

Finally, the Assistant United States Attorneys hope to spread the word to all HUD employees in promoting the department of Justice's Affirmative Civil Enforcement (ACE) Program. Most U. S. Attorney's offices now have ACE attorneys who are anxious to prosecute civil fraud cases and have many avenues for doing so, including the False Claims Act. HUD appears to be fertile ground for such litigation.

Combining the Center's legal knowledge of housing law (Legal Division), AUSA expertise in case preparation, and the overall leadership of a FBI Special Agent will greatly improve the quality of HUD's referrals to the Department of Justice.

#### **Other Federal Agencies:**

The Enforcement Center will actively pursue the assistance of other Federal agencies as it builds an aggressive operation to "crack down" on waste, fraud and abuse. The Center Director will be responsible for developing and maintaining liaisons with other Federal agencies in order to seek investigative, technical, training and litigation support, as necessary, for both individual enforcement cases and for overall operational support and assistance.

U. S. Department of Housing and Urban Development

# CONTINUUM OF CARE

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## Helping Homeless People Reach Self-Sufficiency

October 2000

U.S. Department of Housing & Urban Development  
Administration History Project  
December, 2000  
DOCUMENT # 27

## Introduction

The Department of Housing and Urban Development's (HUD) Continuum of Care program has dramatically changed the way this nation is addressing homelessness. The Continuum has provided communities with an innovative planning tool and the resources necessary to begin to meet the critical needs of homeless persons -- as a result well over 300,000 have been moved from homelessness to permanent housing.

Homelessness is caused by an array of complex economic, social, and health factors far beyond the control of any single Federal Department or any single sector of society. Although, some would argue that the only measure of success in ending homeless is a reduction in the numbers of homeless persons visible on the streets, another important measure of success is the number of persons who, having been homeless, are now living stable, self-sufficient lives. While the Continuum of Care is certainly helping communities build a foundation for preventing homelessness, its target is those who have become homeless -- helping them rebuild their lives.

When homelessness first emerged as a widespread problem in the early 1980s, the solution was thought to be simple: get people out of the cold and into emergency shelters. The result, as the decade ended, was that hundreds of thousands of people remained homeless. In response, the Continuum of Care strategy -- HUD's framework for managing and awarding homelessness assistance -- was implemented in 1993 and fundamentally challenged both the perceptions of and solutions to homelessness while revolutionizing America's response to the problem in three fundamental ways:

**First, it redefines homelessness as more than simply a housing problem -- and re-focuses attention beyond "band-aid" fixes to long-term solutions.** In partnership with other Federal agencies, HUD conducted an exhaustive study entitled *Priority: Home! The Federal Plan to Break the Cycle of Homelessness* which acknowledged that homeless people need housing, as well as often needing other support services including job training, drug treatment, mental health services, and domestic violence counseling.

**Second, it encourages communities to develop a comprehensive plan --** The Continuum restructures the relationship among federal, state and local governments, nonprofits, and other community stakeholders by engaging citizens in a common planning process to craft a comprehensive system of housing and services for homeless persons.

**Third, it then awards "performance-based grants."** A successful Continuum of Care includes: (1) outreach; (2) emergency shelter; (3) transitional housing with appropriate services; and (4) permanent housing or permanent supportive housing. While not all homeless people need access to each component, all four must be present and coordinated within a Continuum of Care. A winning application is one that focuses on a coordinated community-based strategy that emphasizes independence and self-sufficiency to the maximum extent possible.

## History

The first targeted federal funding for homeless assistance came in 1987 when Congress passed the Stewart B. McKinney Act. However, the Continuum of Care initiative followed President Clinton's May 1993 Executive Order calling for a "single coordinated Federal plan for breaking the cycle of existing homelessness and for preventing future homelessness." The Interagency Council on the Homeless, chaired by the Secretary of HUD and co-chaired by the Secretaries of the Department of Health and Human Services and the Veterans Administration, was charged with carrying out the mission by reviewing existing programs and identifying areas for improvement. The Continuum of Care emerged from this interagency effort. The primary initiator was HUD's Office of Community Planning and Development (CPD), under the leadership of then-Assistant Secretary Andrew Cuomo. CPD had the lead administrative role in both staffing the Interagency Council and operating HUD's homelessness assistance programs.

The process began in June, 1993 when CPD conducted the first of 18 interactive forums throughout the country to solicit comments and insights from the homelessness assistance community. By the time the last of these forums was held in February 1994, HUD had heard from thousands of not-for-profit providers of services and housing, advocates, economic and community development leaders, state and local government officials, and homeless and formerly homeless persons. To supplement the input from the forums, HUD sent a questionnaire asking for recommendations to more than 12,000 organizations and individuals. HUD then completed an analysis of the problem and, in cooperation with its federal partners, crafted a plan of action, entitled *Priority: Home!! The Federal Plan to Break the Cycle of Homelessness*.

Both forum participants and survey respondents reported that there was little or no comprehensive planning at the local level, that their efforts to address homelessness remained fragmented, and invariably their focus was on short-term emergency assistance. HUD, which administers more than 80 percent of the targeted homeless funds, proposed a two-fold response. First, implement the Continuum of Care as a new, seamless system for providing both housing and services to help homeless people – with a special emphasis on achieving independence and self-sufficiency. Second, increase federal funding to adequately address the problem of homelessness. This two-track proposal was adopted as the centerpiece of the Federal Plan.

It is one thing to propose a new policy; it is another to implement it. A new set of administrative procedures and program reforms was required. Instead of focusing solely on the quality of an individual project with no connection to the larger community's efforts to address homelessness, CPD staff developed ways to reduce fragmentation at the local level. They retooled programs and, within the limitations of the existing statutes, creatively designed a process that provided incentives for collaborative planning and local priority setting – but still ensured that national performance measures would be met.

## **Accomplishments**

Put simply, the Continuum of Care save lives. People who are homeless are the poorest of the poor -- people who literally have no where else to go. More than 400 partnerships across the country have replicated the Continuum of Care, and each one has a story to tell about people who have been rescued from joblessness, abuse, violence, drugs, and even death as a result of the care and services of the Continuum system. In Boston, a man who was living in "the weeds" received help for a medical condition and is now a shelter volunteer living in his own apartment. A woman in Alexandria, Virginia who had been homeless and addicted to drugs for years was helped to overcome her substance abuse problem and develop new job skills through a HUD-funded transitional housing program. Today she is drug free, cares for her children, works as a Federal contractor, and owns her own home. In Colorado, a veteran who had spent 18 years on the streets received support from Continuum of Care programs which allowed him to obtain a home and rebuild his relationship with his family. And for children who are homeless -- who often cannot go to school -- the Continuum of Care is helping them get off to a better start in life.

The number of homeless persons being assisted in transitional housing -- which is the first step toward independence -- increased from 45,000 in 1992 to over 200,000 in 1999. The number of homeless children being assisted increased from 6,500 in 1992 to over 245,000 in 1999. Every number has a face, and every face has a story.

Nearly as important as what the Continuum is accomplishing is how it is accomplishing its goals -- by bringing people with energy and vision together, focusing them on common goals, and rewarding innovative solutions. In any given community, HUD encourages and funds an array of programs that provide mental health services, health care, substance abuse treatment, and day care services -- all connected to housing. Federal dollars are maximized by local dollars. Agencies are working together -- not at cross-purposes. The Continuum saves lives by holding communities accountable -- and then demanding results.

In South Bend, Indiana, for example, the Center for the Homeless has used HUD's assistance to develop a comprehensive, holistic services model to prepare guests for independent living. In Washington, D.C., Community Family Life Services (CFLS), an active partner in the DC Partnership for the Prevention of Homelessness Continuum, has a model job training program -- called Third and Eats Restaurant -- which employs and trains formerly homeless persons in the culinary arts. Upon graduation, these persons obtain employment through CFLS's cooperative agreements with businesses such as the Marriott Corporation and the Hard Rock Café.

Again, the Continuum of Care is helping people believe for the first time -- after years of neglect, after years of mounting tragedies and days when it seemed like a losing battle -- that we can make a difference in the lives of homeless people. And, in the end, that may be its greatest accomplishment.

The overall focus of Continuum of Care is to help communities and States establish a full continuum of housing and services designed to assist homeless individuals and families in accessing permanent housing and achieving self-sufficiency. The three most important performance measures related to accomplishing this goal are as follows:

**The number of communities which have replicated the Continuum of Care approach.** Since 1993, HUD's primary strategy has been to foster the Continuum of Care by including it within the framework of the agency's Consolidated Plan, undertaken by every large community and State in the nation. As a result, 83 percent of the U.S. population currently resides in communities with Continuum of Care strategies. HUD's target for the year 2002 is 90 percent. As of 1999, 668 cities, 2,211 counties and two territories were covered by Continuums (many continuum partnerships include multiple counties).

**The number of transitional and permanent housing units linked to supportive services.** Increasing the number of formerly homeless persons in programs that provide transitional and permanent housing with supportive services (e.g. job training, counseling and mental health services) is a clear indicator of success. With the inception of the Continuum of Care, HUD has significantly increased the number of these units (units with services) funded. As of 1999, approximately there are 230,000 such units in projects funded by HUD. This figure is up from an estimated 164,000 in 1996. The number is expected to grow to nearly 250,000 by the end of 2000.

**The number of formerly homeless persons moving from transitional housing to permanent housing.** Helping more homeless people access and remain in permanent housing is the ultimate goal of the Continuum of Care effort. Transitional housing provides shelter and supportive services for up to two years, although clients are often ready to move well before the end of the two-year time limit. It is critical that permanent housing be available when persons are ready to move from transitional housing. Well over 300,000 people have moved to permanent housing a result of HUD's Continuum of Care funding. The number of persons with disabilities – including mental illness, substance addiction, HIV/AIDS, other physical disabilities – being assisted increased from 2,816 in 1992 to over 130,000 in 1999.

Additionally, HUD strongly encourages communities to bring supplemental resources to bear in assisting homeless persons. HUD provides additional points during the competitive review process to applications based on the amount of leveraging from non-McKinney resources obtained for proposed projects. These supplemental resources provide a vital source of assistance to the projects. Examples of supplemental resources include: donated buildings, equipment, materials, and services, such as transportation, health care, and mental health counseling.

In 1999, every dollar of funding awarded by HUD was matched by more than \$2.00 in resources provided by communities through leveraging (nearly \$1.8 billion compared to

\$38 million in 1992). The Barnard-Columbia report suggests that one of the keys to the increase in leveraging is the inclusive process required to develop a thorough continuum.

### **Beyond Homelessness – the Continuum of Care in Other Contexts**

Since 1994, more than 500 communities nationwide have replicated the Continuum of Care model. For example, in Southern California nearly 40 cities and counties, including the City and County of Los Angeles have developed a single Continuum.

While the Continuum is designed to assist communities in addressing the problem of homelessness, it also is a powerful model for how government can move from imposing “solutions” to using its resources to empower local communities in addressing difficult social problems. The Continuum of Care demonstrates that decision-making can be shifted to the local level, while at the same time maintaining national standards and increasing performance.

Essentially, the Continuum restructures the relationship among federal, state and local governments, non-profits and other community stakeholders by engaging them in a collaborative planning process. Enormous benefits have been cited by communities as a result of coordinated planning. The comprehensive and coordinated approach in dealing with social issues can be applied to other areas where the solution to complex problems requires full participation from those affected by the problem and a broad cross section of the community, which has a vested interest in helping to resolve those problems. Issues such as welfare reform, assisting public housing residents in becoming more self-sufficient, and implementing Empowerment Zones and Enterprise Communities are just a few examples.

Today, we are hearing from communities that they are using the Continuum of Care approach to bring other resources to the table and to plan for their use. In Phoenix, Arizona, for example, the continuum process is used to plan the use of Emergency Shelter Grant

## **Appendix: Chronology of the Continuum of Care**

**May 1993:** President Clinton issues Executive Order calling for a federal plan to address homelessness. By February 1994, HUD holds Forums in 18 cities to obtain citizen input.

**February 1994:** Clinton Administration proposes the FY1995 budget, requesting a \$1 billion increase in funding and the consolidation of five different homeless programs.

**May 1994:** Federal Plan released and HUD announces new Continuum of Care policy.

**October 1994:** Congress provides strong bi-partisan support for this new Federal homeless policy, approving \$1.12 billion in FY 1995 funding, up from \$571 million, stating, "the Committee is strongly supportive of the continuum concept...it is an approach that embodies the best of reinventing HUD by streamlining program administration and giving decision makers at the local level more authority to develop their own strategies to address homelessness."

**February 1995:** HUD announces the first Continuum of Care competition, and makes available \$900 million, based, in part, on how well a community develops a Continuum strategy. HUD issues single, unified Notice of Funding Availability (NOFA) for all homelessness assistance programs.

**March-April 1995:** HUD puts in place an innovative competition support system to educate and build capacity at the local level, including 42 application workshops; establishment of a national customer information center and 1-800 line; and, development of an instructional video.

**July 1995:** HUD announces the first Continuum of Care awards for 818 grants within 228 communities, including 52 rural areas, and, for the first time, all 50 States.

**April-September 1996:** HUD pushes decision-making to the local level, and rewards communities for developing an effective Continuum of Care and identifying proposed projects for funding in priority order. The Barnard-Columbia Center study is issued.

**December 1997:** A Congressional report states, "consolidating the (HUD) homeless programs has improved their operation and administration." HUD awards \$700 million to 302 Continuums.

**October 1998:** Congress approves a \$975 million appropriation for the HUD's homelessness assistance programs in FY 1999, an 18% increase from FYs 1996-1998.

**December 1998:** President Clinton announces \$700 million in 1998 Continuum grant awards.

**February 1999:** President requests \$1.129 billion for HUD's homelessness assistance programs in his FY 2000 budget proposal.

**December 1999:** President Clinton announces \$750 million in 1999 Continuum grant awards.

### HUD's SuperNOFA of Funding Availability

HUD now publishes its competitive grant Notices of Funding Availability at one time in a "Super Notice of Funding Availability. Formally grant program funding opportunities were announced at various times during the year. They often had varying policies and requirements for applications for what was a program requirement, a late application, due date and submission requirements. With the SuperNOFA, the Department has established standardized policies and language for the following items:

- (1) *Common policy for all competitive grants on deadline times or acceptance of applications in HUD Headquarters and Field Offices.*

Prior to the SuperNOFA application submission deadlines would vary by office. Often applications submitted on the same day for different programs would be accepted in one office as being on time while in another office it would be considered late, causing confusion as to why the times varied among offices within HUD. The SuperNOFA policy fixed this problem by establishing a deadline time of 12 midnight in Headquarters and 6:00 PM in Field Offices regardless of the program.

- (2) *Common policy for Submission Procedures for all applications.* The SuperNOFA established a HUD-wide policy for acceptance of mailed applications and hand-carried applications; what rules we would follow in cases where an application was sent on time, but not delivered through no fault of the applicant; and procedures for applications that were hand-carried to HUD Offices.

- (3) *Establishment of 5 basic criteria for rating and ranking applications – Capacity of the Applicant and Organizational Staff to Perform the Work; Need/Extent of the Problem; Soundness of Approach; Leveraging Resources; and Comprehensiveness and Coordination.*

The SuperNOFA established universal factors for award. No matter what the program, applications for assistance would be judged on the past experience of the applicant and their staff to do the work for which they were requesting funding; the problem the applicant was trying to address; the approach to the work as evidenced by the proposed activities, budget and time frame for completing the work; the extent to which funds were leveraged—the more leveraging, the more points; and how the applicant coordinates its program to other on-going plans and programs within the community.

- (4) *Encouragement of applicants to participate in Departmental Policy Initiatives.*

Applicants who include work activities that enhance visibility in new construction or substantial rehabilitation projects; use PATH (Partnerships for Advanced Technology in Housing) technology advances in implementing their programs; establish Neighborhood Networks and/or participate in the Twenty/20 Education Communities Initiative and/or increase access to computers and computer technology to Bridge the

Digital Divide; and/or develop Healthy Homes in their applications would receive a greater number of points than applicants that did not do this.

- (5) *Established policy for eligibility based on program statutory and regulatory requirements for the program they were requesting funding.* This policy made it clear that applications could be rejected from funding consideration if the applicant was not an eligible to apply for funding or proposed activities or projects did not meet program requirements as established by regulation or statute.
- (6) *Established uniform threshold requirement for compliance with Fair Housing and Civil Rights Laws.* This policy stipulated that an applicant's funding request would not be rated and ranked if they had been charged with a systemic violation in a Fair Housing Act lawsuit filed by the Department of Justice; are a defendant in a Fair Housing Act lawsuit filed by the Department of Justice alleging an on-going pattern or practice of discrimination; and/or received a letter of non-compliance findings under Title VI, Section 504, or section 109, unless the charges had been resolved to the satisfaction of the Department prior to the application deadline.
- (7) *Established additional threshold requirements for compliance with the Americans With Disabilities Act of 1990, and if applicable to the program, compliance with Section 3 of the Housing and Urban Development Act of 1968 for providing economic opportunities for Low and Very-Low Income Persons; and Affirmatively Furthering Fair Housing.* Prior to the SuperNOFA there were inconsistencies in the application of these requirements.
- (8) *Established uniform policy for the application of requirements under the Uniform Relocation Assistance and Real Property Acquisition Act of 1970, as amended, and the government-wide rule in 49 CFR Part 24.* This policy clearly established that relocation requirements covered any person who moves permanently from real property directly because of rehabilitation or demolition for an activity undertaken with HUD funds.
- (9) *Established uniform policy for use of Standard Forms in the application submission.* Prior to the SuperNOFA use of these forms varied among program offices and many offices were not in compliance with the law for Certifications of Payments to Influence Federal Transactions (HUD-50071) and if engaged in Lobbying, disclosure of such activities on Standard Form LLL.
- (10) *Clarified applicability of environmental requirements under 24 CFR Part 50 and Part 58.*
- (11) *Clarified applicability of OMB Circulars and provided information on how to obtain copies.*
- (12) *Established Uniform Policy for Bonus Points in Rating Applications.* Prior to the

SuperNOFA, many programs had escalated the number of bonus points to 100 or more additional points for various and sundry items. This was confusing to applicants. The SuperNOFA established a uniform policy that up to two (2) bonus points would only be awarded to applicants that proposed projects/activities in Federally Designated Empowerment Zones (EZs), Enterprise Communities (ECs), Urban Enhanced Enterprise Communities (EECs) or Strategic Planning Communities which serve the residents of these designated areas. The policy also required receipt of a certification from the EZ/EC, EEC or Strategic Planning Community for the bonus points to be awarded.

- (13) *Established a policy covering grant negotiations.* Established a policy that HUD may negotiate the final amount of the grant awards and if negotiations could not successfully be completed or the requested information was not provided to HUD, the Department had the right to withdraw the offer and award funds to the next highest ranking applicant and proceed with negotiations with that applicant.
- (14) *Established a Uniform Policy for Correction of Deficient Applications.* Prior to the SuperNOFA, various NOFAs issued by the Department defined technical deficiencies in application submissions differently. The SuperNOFA established a single consistent definition for what HUD could ask an applicant to correct in an application consistent with the requirements of 24 CFR Part 4, Subpart B. This definition of correctable deficiencies would be used by all competitive grant programs within the Department.
- (15) *Established a Uniform Policy for Adjustments to Funding.* The SuperNOFA established a uniform basis on which all adjustments to funding amounts requested in applications would be determined. These determinations are based on equity in the distribution of funds, adherence to statutory or regulatory eligibility requirements; ability to offer an applicant less than requested if there are not enough funds remaining to offer the full amount; and the ability to offer a grant to an applicant in the event HUD had made an error and an applicant was not previously funded who should have been funded.
- (16) *Clarified Existing Prohibitions on Lobbying.* The SuperNOFA used plain language to uniformly state for grantees and staff existing prohibitions set forth in the Department of Interior and Related Agencies Appropriations Act for Fiscal Year 1991 (the Byrd Amendment) which prohibits recipients of Federal contracts, grants or loans from using appropriated funds for lobbying the executive or legislative branches of the Federal Government in connection with a specific contract, grant or loan.
- (17) *Stated existing requirements for documentation and public access under Section 102 of the HUD Reform Act of 1989 and the regulations codified in 24 CFR Part 4, Subpart A in a uniform manner.*

- (18) *The SuperNOFA established a common set of standard application forms for the Department that would apply for all applicant submission in addition to program specific forms.* Prior to the SuperNOFA, program areas had "tweaked" all the Standard Forms used in the Department or did not ask applicants to submit all the required certifications. The SuperNOFA established a common set of forms for the Department and also clarified to the applicants and staff their purposes and use.
- (19) *Established Review Process to Ensure Consistency and Integrity.* Each section of the SuperNOFA was reviewed and approved by a joint committee consisting of HUD's Office of General Counsel (Ethics Law, Administrative Law, Regulations Division, Environmental Law, and Civil Rights Law); Program staff, and Office of the Secretary, Deputy Chief of Staff for Programs and Policy. The review was for legal accuracy, program requirements and clarity, plain language, and consistency in the application of requirements and the phrasing of requirements. In addition to these one-on-one reviews, the entire document was placed in Department Clearance as well as clearance with the Office of Management and Budget.

#### **Users Guide to HUD Programs and the SuperNOFA Process**

As part of the SuperNOFA initiative to make programs more accessible to potential HUD applicants and the communities in which they live and work, HUD developed a guidebook that explained in plain language, the various grant programs that HUD offers to communities. The guidebook, entitled Connecting With Communities: A User's Guide to HUD Programs and the SuperNOFA Process, is an attempt to de-mystify the grant programs of HUD, explain the difference between formula and competitive grant programs in lay terms, and identify at a glance what programs various types of applicants could apply for. The guide also provided examples of how communities could use both formula and competitive grant programs to create affordable housing, bring jobs and economic development activities into neighborhoods and communities, and provide linkages to transportation and social services needed by community residents. This guidebooks has become a valuable resource for potential grantees and individuals to learn about our programs, who to contact to get more information and local HUD office address and phone number information.

## CONSOLIDATED PLANNING/COMMUNITY CONNECTIONS, Application No. 573

1. Describe the purposes, scope, and nature of your program or policy initiative, including the specific problem it addresses. (This statement will serve as a summary of your program that will be made available to the public, press, and other jurisdictions.)

Americans have become disconnected from government. Maybe it happened in the long lines at the DMV in the age of the ATM...or when government seemingly failed to solve problems...Whatever the reason, the alienation is real. Government needs "reinvention" to reduce this alienation, replace bureaucracy and process with performance and product, and to finally implement community-based, comprehensive planning. *Community Connections*, developed by HUD's Office of Community Planning and Development (CPD), fundamentally alters the relationship between government and its citizens and among the levels of government. By replacing 12 separate reporting requirements with a single Consolidated Plan, by developing new computer-generated maps to track performance rather than process, and by involving citizens in a meaningful way to address local problems comprehensively, *Community Connections* aims to achieve four central objectives:

**Restoring Civic Society**--Restructuring relationships and communication between government and people.

**Reinventing Government**--Redesigning Federal, state, and local government relations, moving focus from process to performance.

**Revitalizing Urban Policy**--Enabling communities to implement comprehensive, holistic planning strategies.

**Furthering Academic Research and Policy Making**--Creating a national network/database of needs, policies, plans, and actual performance in nearly 1,000 communities.

Before *Community Connections*, HUD mandated 12 separate bureaucratic housing and community development applications/reports from every State or locality. Separate programs frustrated comprehensive community development. Communities had no means to share information. Citizens were rarely involved, nor could evaluators determine accomplishments.

*Community Connections* has begun to change these relationships: the Consolidated Plan established performance measures that trigger funding to insure accountability and results for over \$10 billion in CPD-funded programs. CPD also developed a computer software program to visualize a community's conditions, utilizing mapping software, demographic/census data, and information on CPD-funded activities. These maps replace bureaucratic verbiage with specific projects in identifiable neighborhoods. Now citizen participation can be accomplished electronically from homes, libraries--anywhere there's a computer terminal, television, or telephone.

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2. Please list in order of priority the most important goals or objectives of your program or policy.

**Restoring Civic Society.** If America's Founders were sitting around a table today debating how democracy should work, one can only imagine what they'd design. Their government would not speak in acronyms or govern through sparsely attended government hearings. In an age when a person can use technology to withdraw money from a bank on almost any street corner, their government would be just as accessible and accountable. *Community Connections* seeks to begin that relationship. Using the computer to provide access and connections, it offers performance charts and clear maps, instead of yesterday's Federal bureaucracy and forms. It translates local strategies into clear descriptions of specific projects to help each neighborhood with identifiable performance measures. Proposed maps are widely distributed, so that all citizens can participate in the planning process. Citizens can access the Consolidated Plan off the Internet, through a CPE-provided toll-free number, and soon at City Halls, libraries, and schools across the country. Interested citizens and community organizations can purchase their own copy of the mapping software from CPD for \$125, thereby providing them with an even greater ability to participate effectively in community-wide planning.

**Reinventing Government.** We must open lines of communication not just among government and citizens, but also among different levels of government. Most people do not trust government to effectively deliver a single service-- we must restore government's credibility. Under the Consolidated Planning process, CPD folded 12 separate planning, application and reporting requirements into one, reducing paperwork by thousands of pages and enabling communities to design unique solutions for unique problems. In exchange for added local flexibility, state and local governments must establish specific benchmarks and performance measures. And they must show their citizens how every dollar is being spent through innovative maps and readable charts. Under this new initiative, funds will be drawn down by communities using an on-line automated reporting system tied to locally established performance measures. As funds are accessed for a specific project, both the local plan and the national database will be automatically updated. This new relationship between CPD and state/local governments moves the focus from paperwork and process to performance and product.

**Revitalizing Urban Policy.** Part of the citizen alienation from government is a reflection of government's seeming failure to implement solutions to problems in distressed areas. Thirty years of experience trying to address the problems of distressed communities has generated near unanimity that problems must be addressed holistically. It makes no sense to plan for housing and for homelessness, for economic and community development, each in isolation. Yet while there is general agreement that comprehensive planning is desirable in theory, we have never made it happen. *Community Connections* does it, linking concepts of comprehensive planning with actual government programs. It enables localities to plan comprehensively to address local needs, with funding driven by community-developed coordinated strategies. The Consolidated Planning process also requires substantive input from every segment of a community: residents, business, charitable groups, community organizations, City Hall. Officials from neighboring suburbs, the

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county, and the state are in the same room so that resources can be coordinated across a range of issues, lessons learned from past efforts, and future strategies put into place -- true comprehensive planning.

**Furthering Academic Research and Policymaking.** The final component is to provide for information sharing and a basis for research and analysis. *Community Connections* creates a national network/database for community development, sharing "best practices" for practitioners and a national database for researchers and evaluators. *Community Connections* has already linked nearly 1,000 city, county, and State governments and has housing and community development for the entire nation on one unified system. New York, Los Angeles, and Toledo all use the same CPD-provided software system. By accessing the national network/database created by CPD, academics, researchers, students, and community residents can study trends, analyze data, and compare performance among communities. An unlimited number of databases from State/local governments, Federal agencies, non-profits, associations, and other groups can easily be added to the mapping software, turning it into an even more powerful tool for performance comparisons and data collection.

3. Please describe the **target population** served by your program or policy initiative. How does the program or policy initiative **identify and select** its clients or consumers? How many **clients** does your program or policy initiative currently serve? What percentages of the **potential clientele** does this represent?

The target population is the community residents served by CPD funds, awarded to almost every community in the nation, including nearly 1,000 states, cities, and counties which receive funding on an annual basis. These communities use the Consolidated Planning process to access over \$10 billion from a wide range of CPD programs: Empowerment Zones & Enterprise Communities, Community Development Block Grant (CDBG), HOME, Emergency Shelter Grant, and Housing Opportunities for People with AIDS (HOPWA), as well as numerous programs to address homelessness. In addition, more than 13,000 small communities and 10,000 nonprofit agencies receive CPD funding, sometimes indirectly through states or localities. Prior to receiving funds, communities must submit plans which demonstrate how the proposed economic development, housing, and homeless activities work together to meet community needs. Community residents, who participate in the Consolidated Planning process, often represent neighborhood groups, nonprofits, the homeless, housing interests, businesses, schools, libraries, children's issues, as well as environmental and health care groups. They may work for community organizations, or they may volunteer to advocate certain activities.

An outreach effort is underway to expand the groups participating in the Consolidated Planning process. Targeted groups include public housing authorities, libraries, schools, architects, builders, city planners, and academics. More than 900 public housing authorities recently received the Consolidated Plan mapping software/databases. CPD also will be sending information to universities, colleges, libraries, and schools about *Community Connections*. Lesson plans, tailored to the mapping software, are being developed for political science and

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government classes in middle and high schools. Libraries will be encouraged to become the neighborhood hub for people -- who do not have access to a computer -- to use the mapping software/databases.

4. What is the program's current operating **budget**? What are the program's funding sources (e.g., local, state, federal, private)? What percentage of annual income is derived from each? Please provide any other pertinent budget information. Federal, state, local, or tribal government institutions must currently provide at least 50 percent of ongoing funding.

Development costs for Community Connections totalled \$330,000, however, its implementation actually saved money by reducing paperwork and increasing staff efficiency within CPD. The Consolidated Plan enabled CPD to administer 82% more in program funds with 20% fewer staff. In 1992, a staff of 1,088 administered a program budget of \$5.5 billion, compared to a staff of 918 and a program budget of \$10 billion in 1995. Sales of the *Community Connections* software and databases are anticipated to make a profit for the federal taxpayer beginning this year, as HUD has initiated a process to secure bids from outside computer companies to joint venture in developing the next generation of software and distributing it nationwide. The Software Publishers Association (which includes corporations such as Microsoft on its Board) has already assisted HUD in this endeavor.

5. Briefly describe the **composition, role, and reporting relationships** of any government departments, boards, or communities involved in the policy-setting or administration of your program or policy initiative. Include any sub-contractual relationships with outside organizations or individuals. (Please attach an organization chart after your answer to question 17 to show the current number, responsibilities, and reporting relationships of key program employees or staff.)

Community Connections is the creation of HUD's Office of Community Planning and Development (CPD), under the direction of Assistant Secretary Andrew Cuomo. In order to develop and implement Community Connections, Cuomo reorganized the office to establish a single data processing unit within a newly-created Office of Executive Services. The Office received line authority over CPD's employees in the field, thereby enabling comments and concerns from those dealing with HUD customers on a daily basis to be quickly incorporated into system changes. Development of the Consolidated Plan involved one-on-one consultations in a series of conferences with over 10,000 individuals and groups and nearly 1,000 state and local governments, as well as consultations, testing, focus groups, and training of state/local governments throughout the process. In addition, Cuomo developed a separate Consolidated Planning Task Force that cut across program lines to map key data and develop future generations of the software.

6. What and how was the program or policy initiative originally **conceived** in your jurisdiction? Please describe any specific incidents or circumstances that led to the initiative. What individuals or groups are considered the primary **initiators**. Please substantiate the claim that one or more government institutions played a formative role in the program's development. (If your innovation

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is an adaptation or replication of another innovation, please identify the program or policy initiative and jurisdiction originating the innovation. In what ways has your program or policy initiative adapted or improved on the original innovation?)

Assistant Secretary Andrew Cuomo conceived the Consolidated Plan as a result of his discussions with elected officials, community and citizen groups, and CPD staff across the nation. Early in 1993, Cuomo began a process to consult with over 10,000 community leaders to identify concerns about the federal government. These consultations (through one-on-one meetings and a series of conferences, culminating in a national conference in Washington, D.C. attended by the Vice President, Cabinet officials, and over 2,000 community leaders) provided striking evidence of a disconnect between CPD programs and local needs. Regulations required localities to submit over 1,000 pages of paper and 12 separate applications, plans, and reports to CPD each year, just to access funding under four formula programs. Regulations and procedures made it difficult for localities to link their housing and community development activities. Separate program competitions stymied coordination of local homelessness efforts. This resulted in communities receiving more funding than they needed to address the problems of one sub-population of homelessness (e.g. substance abusers), and less than they needed for other sub-populations (e.g. the mentally ill). Cuomo instituted a series of internal task forces which mixed CPD employees from different program backgrounds, grade levels, and areas of the country to brainstorm about systemic changes in CPD's approach. Rather than relying on ideas from headquarters staff whose responsibilities are segmented by program, field staff -- who deal with a broad range of issues on a daily basis - played a large role in policy. After the working groups, we centered program implementation in the newly-created Consolidated Planning Task Force.

7. Please identify the key milestones in program or policy development and implementation and when they occurred (e.g., pilot program authorization enacted by State legislature in June 1986; pilot program accepted first clients, September 1986; expanded program approved by legislature in July 1987.) How has the implementation strategy of your program or policy initiative evolved over time?

**March--December 1993:** Met with community leaders across the country and obtained ideas on comprehensive, less bureaucratic approach to planning.

**January 1994:** Began work on computer mapping software.

**March 1994:** Discussed approach at national conference, distributed draft guidelines and HUD publication From Vision to Reality about the Consolidated Planning process.

**June 1994:** Completed computer mapping software.

**July 1994:** Conducted first training session, 40 followed.

**July 1994:** Distributed software and draft guidelines to communities and guidelines to states.

## **CONSOLIDATED PLANNING/COMMUNITY CONNECTIONS, Application No. 573**

**August 1994:** Issued draft regulations for Consolidated Planning.

**October--December 1994:** Reviewed over 1,000 comments from over 120 individuals and groups. Discussed each recommended change. Revised regulations.

**November--December 1994:** Prepared first Consolidated Plan based on draft regulations.

**January 1995:** Issued first Consolidated Plan rule and guidance for review of plans to field offices.

**January 1995:** Continued training in all 40 field offices. Developed automated reporting system.

**August 1995:** Completed and approved 928 Consolidated Plans for entitlement communities.

**August 1995-present:** Began training on automated reporting system.

**August 1995:** Began work on new version of new computer software for residents.

**November 1995--April 1996:** Completed executive summaries/maps of 928 Consolidated Plans. Placed 579 of them, so far, on HUD's home page on Internet.

**April 1996:** Completed new version on computer software for residents.

8. Please describe the most significant obstacle (s) encountered thus far in your program. How have they been dealt with? Which ones remain?

We have faced three key obstacles: government's lack of credibility with people, its focus on process rather than product, and its structural resistance to comprehensive planning. First, government at all levels has become incredibly arrogant, in part because it does not see taxpayers as customers. The Consolidated Plan empowers these customers, giving them the tools they need to question, to demand, to influence, and to change the way government services them. Some elected officials and government workers fear this empowerment. Second, each level of government suffers from inertia created by years of paperwork requirements. Not only were some local civil servants resistant to changing existing procedures, but they had adopted an "entitlement mentality" that assumed funding should be based on filling out forms, rather than performance. Third, government at all levels is structured to operate in separate cylinders in which community development programs are separate from affordable housing programs which are separate from homelessness, economic development, and numerous other programs. This "stovepipe mentality" hinders coordination and comprehensive planning and creates a situation in which funding is made available to communities based on program structure rather than local needs. Thus, both national and local bureaucrats resisted efforts to work with their colleagues in other programs to create comprehensive strategic plans for their locality.

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We have overcome these obstacles by creating a product with value on the local level. Through significant amounts of CPD-sponsored training and gradual efforts to give local officials and government workers "ownership" of the Consolidated Plan, more and more officials discovered that the Consolidated Plan could work for them: providing greater local flexibility and efficiency, improved planning to meet local needs, and offering a mechanism to show citizens what has been accomplished in local neighborhoods. When elected officials and government workers experience the results of their efforts, their attitudes, as well as their behaviors, change.

The biggest challenge for Columbus/Franklin County, OH, was not how to get more people involved, but how to manage the large number who wanted to participate. One participant said, "(Our) time had been used effectively... (we) created a new, useful product." Another said, "It was particularly interesting to see central city neighborhood advocates and suburban officials getting to know each other and working together." For the first time, the State of New Hampshire brought together three state agencies to coordinate resources for community development. Cameron Whitman, senior legislative counsel at the National League of Cities, called the Consolidated Planning process a "fantastic planning tool. It really has made things easier." Detroit Mayor Dennis Archer said he "resisted the process" at first only to call it "a valuable experience, with or without the possibility of federal funds. The community believes in what we're doing now." Wisconsin Governor Tommy Thompson praised the Consolidated Plan for "reducing paperwork and duplication of efforts and encouraging greater coordination between various state and local agencies." Karen Stokes, executive director at the Coalition for Low Income Community Development, described it as a "tool that will really empower citizens." And, urban columnist Neal Peirce has written that the Consolidated Plan "can only grow in breadth and versatility" for communities using it.

9. What other significant **individuals or organizations** have been most significant in a) program development, and b) on-going implementation and operation? What **roles** have they played? What individuals or organizations are the **strongest** supporters of the program or policy initiative and, why? What individuals or organizations are the **strongest critics** of the program or policy initiative and why? What is the nature of their criticism?

Significant individuals in program development and implementation include CPD's new Office of Executive Services and members of CPD's Consolidated Planning Task Force, who have day-to-day responsibility for implementation. The strongest supporters now are (a) State and local elected officials and interest groups who for the first time have the ability to cut through paperwork and plan comprehensively to address unique local needs; (b) urban planners and organizations such as the American Institute of Architects and the American Planning Association, which have been given the opportunity to see their more theoretical concepts applied on a national level; (c) community groups and citizens who have previously been left out of the governmental process and now have the tools to participate meaningfully in local governance; (d) academics who now have access to a national database regarding revitalization needs and activities across the nation. The strongest critics are (a) employees who identify with specific programs that have now been subsumed under a more comprehensive approach; (b) interest

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groups that had been directly involved in creation of the previous planning and application requirements; and (c) local community development directors who resist having to work cooperatively with their counterparts in housing, transportation, economic development, etc.

10. What are the three most important measures you use to evaluate program success. In qualitative or quantitative terms for each measure, please provide the outcomes of the last full year of program operation and, if possible, at least one prior year.

The three most important evaluation measures for *Community Connections* are performance, community participation, and replicability to local circumstances.

### Performance

Using the Consolidated Planning process, CPD now practices front-end monitoring. We work to prevent problems rather than punish waste after it has occurred. One of the best examples of this process is in the 72 Empowerment Zones and Enterprise Communities -- targeted areas in cities using coordinated interagency funding, private sector dollars, and nonprofit resources for revitalization in distressed neighborhoods. These communities have submitted detailed "benchmarks" or performance measures for each economic development activity. Funding is triggered by their successful completion of each benchmark. They are leveraging billions of dollars in private and public funding, tracked and compiled on the mapping software and databases. Detroit has more than 10 companies moving or expanding into distressed neighborhoods, creating more than 1,200 jobs. A new pharmacy opening in Philadelphia will hire 40 people, and a child care initiative is underway to provide day care for children of parents taking jobs -- some for the first time. An Atlanta recycling company is renovating a vacant plant and hiring 125 Zone residents. The rehabilitation of Atlanta's Fulton Cotton & Bag Mill will provide commercial and office space and 130 units of low-income housing. Cleveland is making loans for six economic development projects that normally would not have received financing because of their inner-city location. An industrial fabrics manufacturer, the Harry Miller Company, is opening in Boston's inner city, hiring 82 people. In short, the Consolidated Plan helps ensure that tax dollars pay for performance, not process.

In addition, Consolidated Planning has enabled communities to address problems, such as homelessness, in a comprehensive fashion. The Plan requires a community to develop a "Continuum of Care" system that looks at the entire problem, identifies needs, and funds specific programs to fill gaps and help move homeless people toward independent living. Community-based partnerships, including non-profits, the private sector, and homeless advocates, have developed local strategies that begin with emergency shelters, but also include counseling, job training, mental health and other health care, as well as transitional and permanent housing. A University of Maryland study has shown that the system works. The number of people moved into transitional or permanent housing has increased 14 fold from 1992--fourteen times the progress with only three times the funding. This systemic approach has enabled localities to shift funding from emergency to permanent measures to help homeless people move to self-sufficiency.

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### Community Participation

Murcie, IN, never thought 700 people would show up for a series of public forums on its Consolidated Plan, but they did. More than 650 people attended in Buffalo, NY. Spokane County, WA, brought in over 250 groups to develop its Consolidated Plan. More than 189 agencies, 24 county departments, and 108 community groups were consulted by San Bernardino, CA. Burbank, CA, mailed a survey to 41,000 people; Portland, ME, to 29,000. These efforts -- representing just a few of the communities revolutionizing their citizen involvement process -- greatly surpass previous attempts at community participation.

### Replicability

One clear measure of success is the ability and willingness of others to expand on the Consolidated Planning process through local initiatives. Summit County, Ohio, has incorporated all charitable social service funding in its overall strategy plan and has plotted this funding source on maps. The State of North Carolina is using local-access cable TV to encourage community participation and explain funding plans. Harris County, Texas, has placed its entire Consolidated Plan on its own Internet Home Page and is encouraging residents to comment via computer.

11. What would you describe as the program's or policy initiative's most important achievement to date?

The most important achievement of the Consolidated Plan has been to improve communication and reduce the alienation between government and people. We have done this by creating a multi-dimensional communication system, *Community Connections*, that provides information that's easy to obtain and easy to read. Reinventing relations among Federal, State, and local governments and enabling comprehensive planning are key elements, as is the creation of a national database. Taken together, *Community Connections* becomes a powerful tool for residents or anyone interested in community development. The national database allows them to compare and ask probing questions: "Why doesn't my city have as much economic development funding as "x" city?" Maps, showing the need for a job training site or a health clinic, can be designed on the software. Normally buried in a thick document, the facts are clearly displayed on the maps for all to see. Then, when it's time for the next community meeting, residents are prepared to make their case, arguing perhaps for better coordination of existing resources or urging State/local government to apply for federal assistance.

12. What would characterize as the program's most significant remaining shortcoming?

The most significant shortcoming is that the Consolidated Planning process still only relates to CPD funding. To truly enable comprehensive planning, we need to coordinate funding among all federal agencies. This is currently underway in the 72 Empowerment Zones/Enterprise Communities; CPD and the U.S. Department of Transportation are about to undertake a demonstration in six cities linking regional transportation planning under the Intermodal Surface

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Transportation Efficiency Act (ISTEA) with the Consolidated Plan. However, there is far more to be done. Only when information from all sources -- Federal, State, and local -- is easily accessible can the most effective comprehensive planning take place.

13. If your program or policy initiative has been formally **evaluated or audited** by an **independent** organization or group, please provide the name, address, and telephone number of a contact person from whom the materials are available. Please summarize the principal findings of the independent evaluator(s) and/or auditor(s).

Not applicable.

14. How do you believe the principal problem(s) addressed by your program or policy initiative will evolve over the next **five years** and how is your program going to respond?

People will continue to demand something for their money, both from the private sector and from government. The problem is government has not kept pace with the private sector. *Community Connections* can step up the pace with the growth of its national database, both in the amount of information as well as in its use. By incorporating data from other federal agencies, nonprofits, and the private sector, *Community Connections* could serve an unlimited number of purposes: guide private sector investment, record data on criminal incidents, become a memory bank for researchers and students, or exchange best practices and innovative ideas. As stated earlier, an enhanced national database will enable comprehensive planning, coordinating limited resources for the best results. CPD recently published a request for a wide variety of groups to advise us in how to make the next generation of software more useful to a wider range of applicants.

In terms of government relations, most observers of public policy believe that the next five years will see a transition away from categorical federal aid programs toward flexible block grants. By definition, block grants do not specify in advance the specific uses of the funds provided. Although block grants can provide increased flexibility for local governments to address local problems, block grants present significant challenges in the areas of citizen access to information, and accountability for results. The Consolidated Planning process anticipates the trend toward block grants and addresses these challenges by permitting tracking of proposed and actual uses of block grant funding. By emphasizing performance measures, the system allows localities and citizens to plan and evaluate block grant activities, without sacrificing the flexibility of the block grant model. Without the performance-oriented planning and evaluation system offered by Consolidated Planning, there is little assurance that replacing categorical aid programs with block grants will make a meaningful difference in outcomes for local grantees.

15. To what extent do you believe your program or policy is potentially **replicable** within other jurisdictions and why? To your knowledge, have any other jurisdictions or organizations established programs or implemented policies modeled specifically on your own?

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The most exciting thing about *Community Connections* is that we fully expect local participants to develop uses those of us who designed the system never even thought of. Fairfax County, VA, recently introduced a service modeled on the Consolidated Plan. As a means to disseminate information about a proposed rapid transit system through Northern Virginia, the county created an on-line community hearing to review the proposed extension. Users can take a simulated ride along the proposed and alternate routes, examine station design prototypes, access budget information, and e-mail comments directly back to local officials. *Community Connections* is a flexible, easy-to-customize tool for which applications are limited only by the ingenuity of local planners and citizens. For example, a police department could load data on criminal incidents to graphically target public safety resources, and --with the input of local residents-- build a community policing strategy around the resulting information. With data on local environmental conditions, brownfields, and other environmentally sensitive sites can be mapped and tracked. Or, businesses could use the demographic data built into the system as a marketing tool to plan the introduction of retail or other commercial services into inner cities often overlooked by traditional marketing means. As part of its support system, CPD has a development team to provide assistance to users seeking to expand the applications of the Consolidated Planning process. Other examples of its replicability are found in the answer to question ten.

16. Has the program or policy initiative receive any awards or other honors? Yes...No x. If yes, please list and describe the awards or honors and the sponsoring organizations.

17. Has the program received any press or other media coverage to date? Yes x. No... If yes, please list the sources and briefly describe relevant coverage.

GEORGE Magazine, March/April 1996

The magazine wrote: "It's a way for the public sector to reconnect with the alienated masses, he (Cuomo) says...to reengage them in the process of governing, to make turgid bureaucratic language as easy to understand as a video game...One day, he (Cuomo) imagines, such maps will document every dollar the Federal government spends -- enabling the public to ignore the tricky mach of politicians and finally figure out for themselves what they really get for their taxes."

Government Executive, January 1996

The article opened: "If you build it, and they don't come, go out and get them. That's the philosophy behind a new effort at the Department of Housing and Urban Development to increase citizen participation in community planning." Government Executive said the "centerpiece of Community Connections is the mapping software package the department will provide to community groups and citizens for a subsidized price of \$125."

Mary McGrory Columnist, Washington Post, April 7, 1996

In a column entitled "The Homeless and the Heartless," McGrory made the case for continued homeless assistance, based on the success of the Consolidated Planning process. "...HUD goes to the city or town and asks what it needs...No longer are great behemoth programs wheeled out of

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Washington and planted in some locale that doesn't particularly want them, except for the money...Localities have to have plans that dovetail with the plans of other organizations. HUD money is just a part of the budget."

Architecture Magazine, January 1996

The three-page article with 5 four-color maps was written with architects and planners in mind. It said: "Community Connections was designed to be as open and flexible as possible to encourage information exchange. For example, the new software allows a city planner to add projects funded by other agencies or institutions to its databases, in order to determine how much money is being invested in the community."

National Journal, October 7, 1995

From the article: "Andrew Cuomo has this dream. In it, average citizens eagerly take part in making crucial decisions about the futures of their communities and -- even greater fantasy -- their governments help them do it."

Neal Peirce, urban affairs columnist, September 25, 1995, and October 1, 1995

From the first of two columns: "...so anyone can see in City X, here's where most poor people live, here are the biggest pockets of blacks or Hispanics. Here's high joblessness, here's subsidized or public housing. And then logical questions can be posed -- 'How is it community development money is going heavily into middle-class areas and missing certain very low-income ones that may need it more?'"

Federal Computer Week, March 4, 1996

The article said: "The system...is an early hit among lower governmental units that work with HUD... (it) is the foundation on which HUD has built its effort to meet the National Performance Review goals of streamlining operations and improving service to lower-level governments and the public."

Government Computer News, November 21, 1994

Federal Computer Week, November 7, 1994

Banker & Tradesman, November 2, 1994

American Banker, October 27, 1994

Information Week, October 3, 1994

Computerworld, October 3, 1994

PC Week, September 26, 1994

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# community 2020

## TOPICS:

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**NEW: Connecting People to Work: A Technical Guidebook for Using Data Analysis and mapping as Tools to Develop Local Strategies.** [This guidebook](#) is for local community development officials and their partners, to help them use information as a tool for connecting people with jobs. Using Community 2020 software, the guide leads the reader step by step through the process of gathering information and developing strategies that are based on the facts in specific locations. This is an excellent example of partnering.

**Demonstration Guide.** Do you want to learn Community 2020 software but have only two hours to spare? Would you like a script for demonstrating the software to colleagues? Get the [Community 2020 Demonstration Guide](#) for Community Builders and Public Trust Officers. Go through this brief and user-friendly guide and you'll be a 2020 expert in no time!

**Visit the Map Gallery!** Community 2020 maps created for a range of purposes are being shown in the [Online Map Gallery](#). These are excellent examples of how Community 2020 has been used to display a wide range of information.

**You can now update your Community 2020 data online.** The [Community 2020 data updates](#) are now available for downloading into Community 2020.

**Download and map crime data using C2020 software.** Visit the [Crime Mapping Research Center](#) at the National Institute of Justice. The goal of this Center is to promote, research, evaluation, develop, and disseminate GIS (geographic information systems) technology and spatial analysis of crime. You can import crime data from this site and then map it using the "geocoding" tools of C2020 software.

**Muncie Neighborhood Studies makes use of Community 2020 Software!** This is a great application of Community 2020 Mapping Software developed by *Teresa Jeter-Newburn, Community Builder Fellow*, the Ball State University 3rd year Planning Department class, and the City of Muncie, Indiana. They developed a hard copy report, a CD, and a web site for the study. "It is precisely the application we had in mind in developing Community 2020," says Dick Burk, director of the team that developed HUD's Community 2020 software. The project has won a 1999 HUD Best Practices Award. [Check it out!](#)

**Neighborhood Network.** Obtain the [latest update](#) on the locations of the Neighborhood Networks nationwide [can be obtained at this site.](#)

We recommend you review download to update your 2020 the instructions.

**U.S. Department of Housing & Urban Development  
Administration History Project**

December, 2000

DOCUMENT # 30



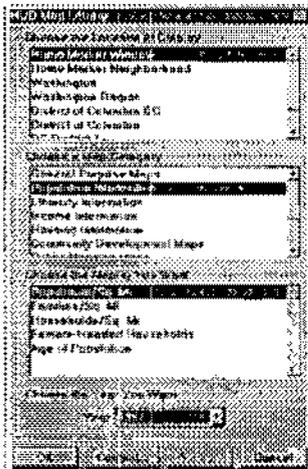
## Overview of Community 2020™ Software

### The Basic Package

HUD's **Community 2020™** software is a multi-faceted planning, mapping and communication package. Not only can it provide geographic information that *allows citizens to see where their tax dollars are being spent locally*, it can provide citizens with HUD program information in a format that *facilitates greater citizen participation*. Using **Community 2020**, community-based organizations, state and local governments, housing authorities, and non-governmental organizations can design their own projects with easy-to-use planning and application computer screens.

Community 2020 Version 2.0 was designed by HUD in partnership with Caliper Corporation of Newton, Massachusetts. It builds on the success of version 1.0, which received wide acceptance since its release in July 1997. **Community 2020** is a fully functional GIS software containing a built-in database of 640 Census data elements. The software provides ease of use, convenient data access, and all the power of Caliper Corporation's Maptitude® Geographic Information System for Windows. Caliper and HUD designed **Community 2020** to put the power of Geographic Information Systems (GIS) into the hands of individuals involved in the process of local community development.

**Community 2020** provides a "HUD Map Library" that allows even the first-time user to access the data easily and make over one hundred maps with no more than three clicks of the mouse. The resulting maps are produced on the screen and allow the user to explore and quickly learn the software.



In addition to the full GIS functions, the latest 2.0 version of **Community 2020** comes with census data for the whole country and makes geographic information for most of HUD's housing and community development programs widely available for the first time. FHA single- and multi-family, Section 8 and public housing, along with Empowerment Zones and Enterprise Communities, and many of HUD's competitive programs are all included in the software.

An added feature in the 2.0 version is the **HUD Query Builder** which lets users retrieve and display information describing HUD activities within a user-defined area. **Community 2020** retrieves relevant data records and makes it easy to access detailed information on one or more activities, as well as generate map displays and reports that describe HUD funding, insurance and loan guarantees. **Community 2020** can easily import almost any spreadsheet or database information that local and state agencies produce.

### Origins

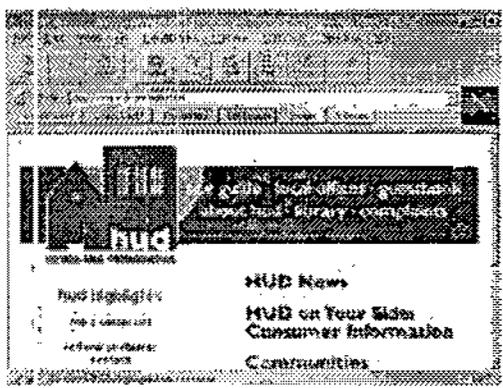
Community 2020 is a trademark of the United States Department of Housing and Urban Development.  
Maptitude is a registered trademark of Caliper Corporation.



**Extensive Data Library.** The following information can be displayed on maps: streets, highways, cities, towns, counties, states, congressional districts, census tracts, block groups, zip codes, MSAs, ADIs, DMAs, low and moderate income areas, CRA underserved areas.

Empowerment Zones, Enterprise Communities, detailed Census and demographic data, HUD community development and public housing data for urban and rural areas, and Section 8 data.

Community 2020 software helps local organizations understand the kind of activities that are supported by HUD funding. Easily understood maps and screens replace dull, often incomprehensible data. Customized computer screens for each program allow users to map program expenditures and access information about future projects in their neighborhood. Users can also learn about some of the regulatory issues that pertain to each program and how to apply for program funds. Pop-up project screens provide the user with glossaries to explain program jargon and to facilitate design of neighborhood improvements and projects.



### Updates and Community 2020 as a Platform on the Internet

The World Wide Web lets citizens learn more about their community. HUD's award-winning Home Page provides a rich background of information about housing, community development, and environmental issues. In addition to information about how HUD works with communities, citizens can access even more HUD program information about how their tax dollars are being used in their community. HUD also provides information on new program funding and how to apply through the Notices of Funding Availability (NOFAs), when applicable. In the

future, look for more about using **Community 2020** software, data updates, and other **Community 2020** tools on HUD's Home Page.

### "Mapping Your Community" Data Catalogue

In conjunction with the Urban Institute, HUD has published "**Mapping Your Community**," a comprehensive catalogue of state and local information that can be used with **Community 2020** software. Users can incorporate local data into the software and perform an analysis of their community.

"**Mapping Your Community**" also provides a catalogue of the various data sources in tabular form detailing at where to look for a specific category of information. Models for how to use such information and illustrative case studies show how other local governments around the country have used GIS to address important local concerns.



To help users better understand the process of using GIS to their advantage, "**Mapping Your Community**" provides examples of how other communities have integrated geographic analysis into their strategic plan. Accessing that data is essential to getting a complete picture of the community or neighborhood's assets and qualities. "**Mapping Your Community**" will help **Community 2020** software users to understand which data may help with their concerns and how to access it. The publication is available by simply calling the Community Connections Hotline at **1-800-998-9999** and asking for the **Community 2020** Help Desk.

## Community 2020 at HUD

**Community 2020** software is being made available to all HUD Headquarters and Field Office staff accessible via the internal electronic HUD network. The census data and numerous geographic data files with information on street names and local landmarks are available on local area networks (LAN). However, other information will be available via the HUD Home page. HUD employees will be able to use this information to expand their partnership with local and state government agencies. **Community 2020** software represents a unique opportunity for HUD Field Office staff to augment their program knowledge with 21st Century technologies.

### Training

The Community Connections Division of the Office of Community Planning and Development has developed a training curricula for grantees, non-profit organizations, and local HUD Field Office staff to learn **Community 2020** software. Community Connections staff have provided numerous on-site training workshops to acquaint users with both the technical and functional aspects of the system. The training is designed to explore ways **Community 2020** software can help government and citizens analyze and share information about their communities and plan activities to meet their needs.

In 1997, HUD conducted 39 **Community 2020** training workshops beginning in June and running through December. Since 1998, HUD has conducted 14 training workshops for the Community Builders and has scheduled 10 additional training sessions for the balance of the calendar year. At the conclusion of the training, participants can use the **Community 2020** software and follow the step-by-step instructions and tips of the Training Manual to master basic features and advanced topics. Grantees also learn how to display the components of their Consolidated Plans. These workshops are part of HUD's overall effort to provide communities with 21st Century tools for revitalization.

Currently (fall 1998), **Community 2020** staff have embarked on another training vehicle to provide to HUD Grantees and others interested in learning how to use the software. In 1999, HUD will introduce a **Computer Based Training (CBT) CD-Rom**. This CBT CD-Rom will be designed to showcase and train users in various features of the software that include many basics elements of the live training that is currently provided to users of the software.

### Pricing & Availability

There are numerous GIS packages already on the market, but no desktop package is available at the very affordable price of HUD's **Community 2020** software. The basic package is available for \$249. This package includes all of the program information, the basic mapping and database software, and the 640 census elements for the total United States. HUD program information is broken down into four regional segments of the nation (Western, Eastern, Southern, or Central). After users specify their regional area of interest, they will receive that quarter of the country's HUD program information. For buyers that need all four regional program data sets, the total charge is \$299. Bulk sales discounts are available. The software can be ordered by calling **1-800-998-9999**.



## press release

HUD News

HUD No. 00-294

**Further Information:**

In the Washington, DC area: 202/708-0685

Or contact your local HUD office

For Release

Saturday

October 14, 2000

### HUD TENANTS KICK-OFF NATIONWIDE CELEBRATION OF NATIONAL NEIGHBORHOOD NETWORKS WEEK

#### President Clinton Honors HUD's Neighborhood Networks Week

WASHINGTON - Residents of more than 200 HUD-assisted and public housing complexes in all 50 states, the District of Columbia and Puerto Rico today launched the first-ever celebration of "National Neighborhood Networks Week" from October 14 through October 22, 2000.

Neighborhood Network Centers enable residents of HUD housing to acquire computer skills, enroll in distance learning courses and "surf" the Internet. Since 1995, HUD has provided technical assistance to help open more than such 1,100 community technology centers.

"Neighborhood Networks Week provides a forum to showcase how our centers are helping conquer the digital divide, build relations with residents, better lives and improve properties," Cuomo said. "They prove the point that HUD's housing developments provide more than shelter. They are rich in services that address the educational, social, physical, cultural and technology needs of the people who live in them. A HUD building is not a liability to a community, but a great, great asset."

Events during National Neighborhood Networks Week include a ceremony in Green River, WY, to honor a 97-year-old computer class graduate, a pumpkin art contest in Grand Forks, ND, a Kids Against Drugs police officer appreciation ceremony in Tulsa, OK, a spaghetti supper in Knoxville, TN, and a computer art contest in Fort Smith, AK.

HUD officials also joined the celebrations. Cuomo opened the first Neighborhood Networks Center at the Santo Domingo Pueblo in NM, Federal Housing Administrator William Apgar visited a computer lab in Washington, DC, and Assistant Secretary for Public and Indian Housing Harold Lucas cut the ribbon on a new lending library at a center in Largo, MD.

During the week, residents can also participate in a number of interactive webcasts at the 1,100 Neighborhood Networks Centers. The National Zoo in Washington is having a webcast on Monday telling participants everything they want to know about its Orang Utans Learning Project. NASA is putting one of the nation's first Latino astronauts on-line on Tuesday. On Thursday Monster.com is staging a national job "cyber-fair" and the San Francisco Exploratorium is hosting a national discussion on breast cancer research on Sunday.

Neighborhood Networks Centers are the result of voluntary collaborations between the residents and managers of a HUD complex and local private sector partners. HUD's community partners include local businesses, non-profits, educational institutions, faith-based organizations, civic organizations, foundations, hospitals, community clinics, and federal and state government agencies.

In addition, following President Clinton's "New Markets Tour" in 2000, a number of national partners have begun providing resources to Neighborhood Networks Centers, including Cisco, Hifusion, Enron, Lightspan, Northpoint, PowerUP! And Technology for All.

For a complete listing of events during National Neighborhood Networks Week, visit [www.hud.gov/neighborhoodnetworks](http://www.hud.gov/neighborhoodnetworks).

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HUDWEB

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# the daily focus

for friday, october 13,2000

- National Neighborhood Networks Week Begins Tomorrow
- New York HUD Outreach Touches Thousands of Potential Homebuyers

HUD's first-ever national Neighborhood Networks Week begins tomorrow, October 14th, and Secretary Cuomo has encouraged all community technology centers to highlight the good work of this unique grassroots effort.

The week's theme is "Conquering the Digital Divide: Delivering the Promise of Technology to America's Families." Through October 22nd, more than 100 community technology centers will host a variety of special events -- such as open houses, health fairs and art shows -- honoring the thousands of hardworking staff, volunteers, community leaders and business partners who have helped us help HUD residents conquer the digital divide.

During Neighborhood Networks week, HUD residents in all 1,000 centers will have a chance to participate in interactive webcasts and chats with pioneers in online education, space exploration, job training and health care:

**Monday, October 16th at 6:30 p.m., EDT** -- Urang Ulan Learning Project of the Nat'l Zoo.

**Tuesday, October 17th at 5:00 p.m., EDT** -- Astronaut Danny Olivas of NASA -- one of the first Latinos in space.

**Thursday, October 19th at 5:00 and 6:00 p.m., EDT** -- Chat with Experts at Monster.com -- resume and interview tips.

**Sunday, October 22nd at 2:00 p.m., EDT** -- Women's Health - Breast Cancer -- the San Francisco Exploratorium.

*(To participate in the Neighborhood Networks Week Webcasts, centers will need both Windows Media Player and Real Player multi-media software. To download software, please go to the website at [www.hud.gov/neighborhoodnetworks](http://www.hud.gov/neighborhoodnetworks).)*

HUD's Neighborhood Networks initiative has sponsored community technology centers in every state in the nation, helping thousands of residents become comfortable with computer technology, participate in lifelong learning activities, transition from welfare to work, and transform their lives. HUD's Neighborhood Networks week is an excellent opportunity to learn more about this initiative, and for local centers to highlight these grassroots efforts to conquer the digital divide and help all Americans reach their economic and human potential.

For a complete inventory of HUD's community technology centers and more information regarding the Neighborhood Networks initiative, contact Christine Pelosi in the Office of Special Actions at (202) 708-2046 or visit [www.hud.gov/neighborhoodnetworks](http://www.hud.gov/neighborhoodnetworks).

HUD's New York State Office played an active role in the recent FNMA/NY Knicks Homebuyer Fair -- a major event and a major success for potential homebuyers.

The September 21st event was attended by 8000 people. Several thousand families and individuals received personal advice and guidance concerning HUD/FHA housing programs, thousands of pieces of literature explaining HUD/FHA programs and the homebuying process were distributed, and more than 900 Homebuyer Education Learning Program (HELP) applications were submitted.

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The one-stop mortgage center pilot sites have confirmed the value of the information centers concept. In South Dakota, for example, the Oglala Sioux Tribe Partnership for Housing created a homebuyer program in which almost 200 tribal members participated in credit counseling and another 82 individuals have been pre-qualified for loans through HUD's Section 184 Indian Loan Guarantee Program. The program offers a federal guarantee to private lenders for home loans made to tribal members, tribes and Indian Housing Authorities on tribal and individual allotted trust lands and lands in Indian areas. Some 775 loans have been guaranteed under the program, which began in 1994.

"By making the mortgage process more user-friendly and accessible to Native Americans and Alaskan Natives, as well as more attractive to private lenders, we plan to revolutionize homeownership in Indian Country," Cuomo said. "Never before has there been such an integrated effort involving HUD, Treasury, tribal governments and the private sector to raise Native American homeownership rates."

Homeownership in Indian Country is historically low. Although nearly 67 percent of Americans now own their homes, that number is less than 33 percent for Native Americans. Higher lender transaction costs, higher infrastructure costs and meager savings combined with a lack of credit history contribute to the low homeownership rate.

While in Santo Domingo, Cuomo and Summers also participated in a ribbon-cutting ceremony to celebrate the completion of an Indian housing development financed by the Low Income Housing Tax Credit program. The development contains 20 new rental units, and is the first housing development built on New Mexico Pueblo land using the tax credits.

[Click here for a full list of Secretary Cuomo's new initiatives and partnerships for Indian Country.](#)

**HUD's Neighborhood Networks Week 2000 - October 14th through 22nd - is now underway across the nation. The week's theme, "Conquering the Digital Divide: Delivering the Promise of Technology to America's Families," was underscored by Secretary Cuomo as he kicked off the week with this special webcast message.**



Thank you very much for allowing me to join you by these extraordinary means as we kick off HUD's Neighborhood Networks Week.

As the technology that is allowing you to watch this message proves, we are living in a revolutionary time in this country. New discoveries are changing the way we work, we learn, we interact, and they have fueled the greatest economic expansion in our nation's history. We are now living in the strongest economy in history.

The question we as a nation will have to answer is, "How do we use this technology and is it a uniter or a divider?"

The answer depends on what we do with it and how we manage it and how we deploy it.

If we harness the Internet, we can bring the greatest teachers in the world into the most isolated parts of this nation - making sure all our children receive a quality education and have the skills they need to compete in the new economy. If we do it right, businesses can operate and thrive in places where it was impossible just years before.

On the other hand, if we do not make sure that all Americans have access to the Internet, that all Americans know how to use it, people and places struggling to make it in the high-tech economy will fall even further behind than ever before. The information superhighway is a great thing - IF you are on it. If you are not on it, you will be left behind at a hundred miles an hour.

That's our challenge and that's why President Clinton called on HUD to share these new technologies; to create digital opportunity for people and places left behind. During this past Spring, on the New Markets Tour, President Clinton called for expansion of HUD's Neighborhood Networks initiative to 1,100 community technology centers by the Spring of 2001.

Today, six months ahead of schedule, HUD has met that challenge. Thanks to the tireless efforts of our local and national partners, we have more than 1,000 community technology centers serving HUD residents all across this great country.

Neighborhood Networks Week provides a forum to showcase how these centers are a centerpiece for conquering the digital divide, building relations with residents, bettering lives and improving properties. They prove the point that HUD's housing developments provide more than shelter. They are rich in services that address the educational, social, physical, cultural and technology needs of the people who live in them. A HUD building is not a liability to a community; it is a great, great asset.

Highlighting Neighborhood Networks Week are a number of special distance learning opportunities. We have arranged for HUD residents in all of our centers to participate in interactive webcasts and chats with pioneers in online education, space exploration, job training, and health care. You can learn about the Orang Utans at the National Zoo this Monday [October 16] or chat with one of the first Latino Astronauts on Tuesday [October 17]. On Thursday, you can get job advice from Monster.com, and on Sunday you can find out about the latest in breast cancer research and treatment. I hope that you will take advantage of these unique opportunities.

Again, I congratulate the thousands of hardworking staff, volunteers, community leaders and business partners who answered our national call to action and helped us reach this great goal of over 1,100 community tech centers. I salute the tens of thousands of HUD residents who have come to centers to learn how to use the new technology - how to use it for homework, for job training, for lifetime learning, and just for fun.

We must continue to do everything in our power to allow all Americans to lend their talents and their skills to the great enterprise of building our future together.

Have a great week.

Thank you.

Andrew Cuomo,  
Secretary

[Note: The actual webcast is available at <http://www.iti-corp.com/hud/archive/misc-10-12-00/main.asp> in order to view and participate in the Neighborhood Networks Week Webcasts, both Windows Media Player and Real Player multi-media software are required. To download this software, go to <http://www.hud.gov/neighborhoodnetworks/softinfo.html>.]

Through October 22nd, HUD residents in all 1,000 centers will have a chance to participate in interactive webcasts and chats:

Today, Monday, October 16th at 6:30 p.m., EDT - Orang Utan Learning Project of the National Zoo.

Tomorrow, Tuesday, October 17th at 5:00 p.m., EDT - Astronaut Danny Olivas of NASA - one of the first Latinos in space.

Thursday, October 19th at 5:00 and 6:00 p.m., EDT - Chat with experts at Monster.com - resume and interview tips.

Sunday, October 22nd at 2:00 p.m., EDT - Women's health - breast cancer - the San Francisco Exploratorium.

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MIND EXPANDER: For information on previous Electronic Education Programs, please visit the Office of Administration's web site at (<http://hudweb.hud.gov/po/afee/eed.htm>).

# the daily focus

for tuesday, october 17, 2000

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# New Markets: The Untapped Retail Buying Power In America's Inner Cities

**Andrew Cuomo, Secretary**

U.S. Department of Housing and Urban Development



July 1999

U.S. Department of Housing & Urban Development  
Administration History Project  
December, 2000  
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# NOW IS THE TIME:

## Places Left Behind in the New Economy

April 1999



U.S. Department of Housing & Urban Development  
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December, 2000  
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