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Volume II

Policies and Procedures of the Administrator

DEPARTMENT OF HOUSING
AND URBAN DEVELOPMENT

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Volume II

Policies and Procedures
of the Administrator

UNITED STATES DEPARTMENT OF JUSTICE
OFFICE OF THE ATTORNEY GENERAL



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INTRODUCTION

SCOPE

Volume II of the Manual series contains four types of material: (1) organizational and functional statements, (2) policies, standards, and procedures of general applicability to all components of the Housing and Home Finance Agency, (3) instructions issued by the Administrator with respect to the Central Office program operations of the Office of the Administrator, Community Facilities Administration, and Urban Renewal Administration, and (4) delegations of authority issued by the Administrator.

Part 1, Organization of the Housing and Home Finance Agency, contains (a) the definitive organizational statements for the Office of the Administrator, the Community Facilities Administration, and the Urban Renewal Administration, and (b) descriptive statements, drawn from official sources, of the organization of the other components of the Agency. Part 2 contains more detailed definitive organizational statements covering each of the units in the Office of the Administrator. Part 3 contains administrative policies and procedures of Agency-wide applicability, established by the Administrator pursuant to his responsibility for Agency supervision and coordination. Part 3 issuances should be appropriately reflected in the established manual systems of the constituent agencies. Part 4 contains policies and procedures prescribed by the Administrator with respect to Central Office program operations. Part 5 contains delegations of authority issued by the Administrator.

Each release in this Volume will be approved before publication by the Administrator or his designee.

ORGANIZATION AND NUMBERING

This Volume is divided into Parts, Chapters, and Sections. In Part I, the Chapter breakdown is omitted.

Each delegation of authority reproduced in Part 5 is given a separate Section number.

Sections are numbered in relationship to the rest of the Volume. Where a three digit number is used (e.g., 4-3-2), the first digit indicates the Part, the second the Chapter, and the third the Section. Where a two digit number is used (e.g., 4-2), there is no Chapter breakdown, the first digit indicating the Part and the second indicating the Section.

Pages are numbered consecutively within Sections. The date through which the material has been revised before issuance is shown at the bottom of each page.

MAINTENANCE

Revised pages are sent out under cover of a Transmittal Letter. When changes have been made in accordance with the Transmittal Letter instructions, the check list at the back of the Volume should be initialed. This serves automatically to call attention to missing releases.

Notices of rescissions of other instructions will be published in the transmittal letters for this Volume.

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Section 1

HOUSING AND HOME FINANCE AGENCY

The Housing and Home Finance Agency, created under Reorganization Plan 3, on July 27, 1947, was established to carry out the principal housing and home financing functions of the Federal government.

The Housing and Home Finance Agency consists of the Office of the Administrator and five constituents—the Federal Housing Administration, the Public Housing Administration, the Federal National Mortgage Association, the Community Facilities Administration, and the Urban Renewal Administration. The Housing and Home Finance Administrator, through the Federal National Mortgage Association, also supplies staff services and facilities to the Voluntary Home Mortgage Credit Program, established pursuant to title VI of the Housing Act of 1954.

ADVISORY BOARD FOR AGENCY POLICY COORDINATION

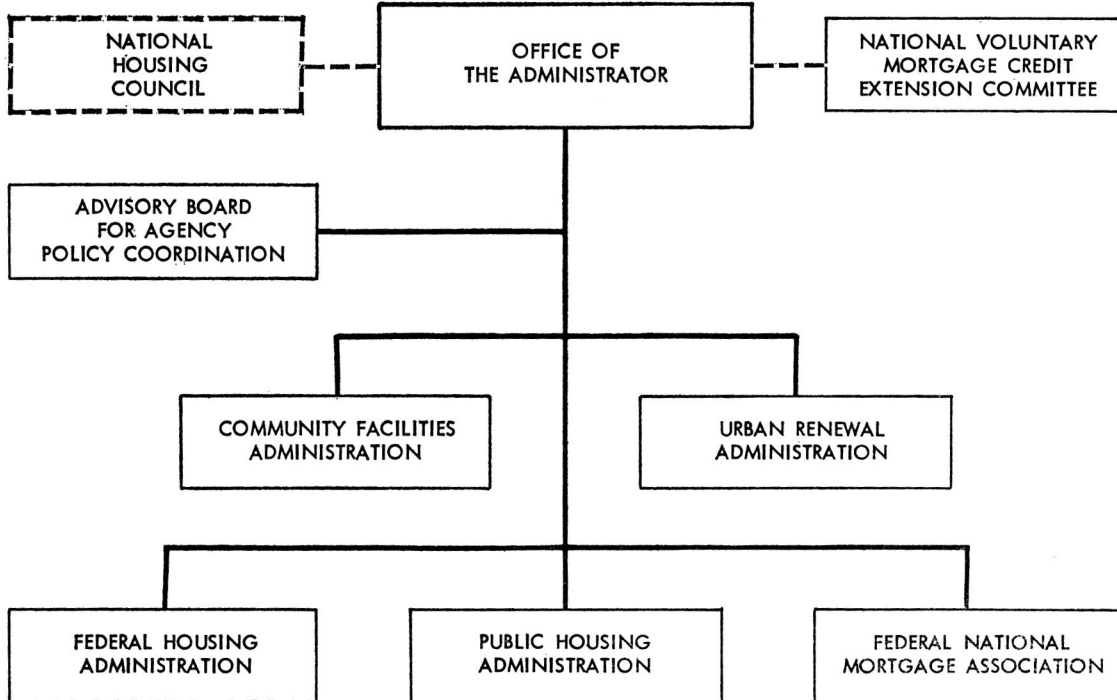
The Advisory Board for Agency Policy Coordination, established by Administrator's Organization Order No. 1 of December 23, 1954, advises the Administrator in respect to major policy matters under his jurisdiction. The Board is composed of the Administrator, as Chairman, and the Heads of the constituents.

NATIONAL HOUSING COUNCIL

The National Housing Council was established by Reorganization Plan 3 of 1947 to promote the most effective use of the Government's housing resources and assure coordination of national housing policies with over-all Government and fiscal policies. The Council is composed of the Administrator as Chairman; the Federal Housing Commissioner; the Public Housing Commissioner; the Chairman of the Federal Home Loan Bank Board; the Secretaries of Defense, Agriculture, Commerce, Labor, and Health, Education and Welfare; and the Administrator of Veterans Affairs.

HOUSING AND HOME FINANCE AGENCY

ORGANIZATION CHART



Section 2

OFFICE OF THE ADMINISTRATOR

The Office of the Administrator is responsible for (1) general supervision and coordination of the constituents of the Agency; (2) approval and certification of workable programs for community improvement; (3) determination that the relocation requirements of section 105(e) of Title I of the Housing Act of 1949, as amended, have been met; (4) administration of the urban studies and housing research program; (5) administration of the mass transportation loan and demonstration grant program established by the Housing Act of 1961; (6) administration of the low income housing demonstration program established by the Housing Act of 1961; (7) administration of the sales program for designated AEC properties pursuant to the Atomic Energy Community Act of 1955 and Executive Order 10657; (8) disposition of Government owned war and emergency housing units; (9) administration of disaster relief activities relating to housing and community facilities, under an agreement with the Office of Emergency Planning; and (10) administration of assigned civil and defense mobilization activities relating to housing and community facilities; and (11) provision of staff assistance in carrying out the Voluntary Home Mortgage Credit Program.

The Office of the Administrator provides administrative staff services to the constituent units. It is responsible for operation of the HHFA Regional Offices, which handle all field activities of the Office of the Administrator, the Community Facilities Administration, and the Urban Renewal Administration.

The functions of the Office of the Administrator are carried on within the organizational framework described below. More detailed information on each of the components of the Office will be found in Part 2. The chart following this Section is the official organization chart of the Office of the Administrator.

IMMEDIATE OFFICE OF THE ADMINISTRATOR

The immediate office of the Administrator consists of the Administrator, Deputy Administrator, Assistant Administrator (Housing for Senior Citizens), Assistant to the Administrator for Consumer and Community Group Relations, Assistant to the Administrator for Inter-group Relations, and two Special Assistants to the Administrator.

OFFICE OF GENERAL COUNSEL

The Office of General Counsel, under the supervision of the General Counsel, with operations carried on under the supervision of the Associate General Counsel and Staff Director, shall provide the legal counsel and assistance required in the formulation and development of the

Agency's policies and programs, in the coordination of Agency-wide legal responsibilities and in the handling of legal and Congressional Liaison matters in the Office of the Administrator; after consulting with the Regional Administrators of the HHFA Regional Offices, advise and make recommendations as to the quality of professional performance of legal activities and uniformity of Regional interpretation of laws and regulations; handle litigation having Agency-wide implications or involving the Office of the Administrator or the constituent units, and litigation involving personnel of the Office of the Administrator or constituent units in an official capacity; prepare proposed Federal legislation and reports, statements, and other materials concerning proposed or pending legislation or executive actions; for such programs as determined by the Administrator and in consultation with the appropriate constituent unit, prepare or review proposed state legislation on local request; prepare or review public regulations; prepare legal instruments, opinions, briefs, and comprehensive studies of basic legal problems in Agency programs and activities and the formulation of Agency policy; and represent the Administrator on litigation, legislation, and other legal matters.

OFFICE OF PROGRAM POLICY

The Office of Program Policy, under the supervision of the Assistant Administrator (Program Policy), shall provide advice and assistance to the Administrator and his staff in the area of program formulation and evaluation. It shall develop information regarding public and private research activities and facilities in areas related to urban and housing problems, identify needs for additional research and develop means of accomplishing needed research, and coordinate research activities within the Agency. It shall direct or carry out comprehensive national studies and analyses in the areas of housing markets and needs, the capital and mortgage market, urban planning, urban economics, public finance, and the needs for and means of providing public improvements and transportation services in urban areas. It shall evaluate the effectiveness of HHFA programs in accomplishing national policy objectives and goals; develop recommendations for improving program effectiveness; develop economic and financial background for HHFA budget assumptions; advise on matters of national economic policy; and, in collaboration with the General Counsel, develop substantive legislative recommendations relating to existing or proposed programs. It shall assemble and develop operating statistics, design methods for improving and collecting needed data, develop the Agency's requirements for Census data, and coordinate the preparation of the HHFA Annual Report. It shall develop and coordinate mobilization and defense plans and other activities necessary to carry out the Agency's assigned responsibilities in this area. It shall administer the low income housing demonstration program authorized by the Housing Act of 1961.

OFFICE OF PUBLIC AFFAIRS

The Office of Public Affairs, under the supervision of the Assistant Administrator (Public Affairs), shall provide advice and assistance to the Administrator and his staff on the public affairs and information policies and activities of the Agency and shall serve as a central point of information for the public on Agency activities and on the housing activities of the Federal Government. It shall coordinate the issuance by the constituents of informational material of general Agency concern; provide creative service, consultation, design and production for visual and audio-visual media used to interpret programs, policies and concepts of the Agency; and shall provide information services generally for the programs and activities of the Office of the Administrator, Community Facilities Administration, and Urban Renewal Administration.

OFFICE OF INTERNATIONAL HOUSING

The Office of International Housing, under the supervision of the Assistant Administrator (International Housing), shall maintain liaison with the Department of State and other Federal government agencies and, through the Department of State, with established international organizations, with respect to international matters affecting housing; facilitate consultation and interchange of information on housing with other governments; furnish technical advice relative to positions on housing matters to be taken by United States delegates to international meetings; provide technical representation at international housing and town planning conferences; provide assistance and technical guidance to foreign missions and visitors; coordinate functions assigned to the Agency in connection with participation in the United States program of international cooperation and technical assistance; assist divisions and constituents of the Agency in connection with export and import controls affecting housing or housing materials and equipment; and assist in the preparation of exhibits of United States housing at international exhibitions.

OFFICE OF TRANSPORTATION

The Office of Transportation, under the supervision of the Assistant Administrator (Transportation), shall be responsible for (1) administration of the mass transportation demonstration grant program under Section 103(b) of the Housing Act of 1949, as amended by Section 303 of the Housing Act of 1961; (2) administration of the program of transportation facility loans under Title II of the Housing Amendments of 1955, as amended by Section 501 of the Housing Act of 1961; (3) assistance to the Urban Renewal Administration in the administration of those phases of the urban planning assistance program under Section 701 of the Housing Act of 1954, as amended by Section 310 of the Housing Act of 1961, that pertain to the preparation of urban transportation plans; and (4) assistance to the Community Facilities Administration in the administration of the program of advances for

public works planning under Section 702 of the Housing Act of 1954, as amended, with respect to advances for the planning of transportation facilities and equipment.

OFFICE OF COMMUNITY PROGRAMS

The Office of Community Programs, under the supervision of the Assistant Administrator (Community Programs), shall be responsible for providing assistance to the Administrator in the administration of certain non-delegable and related retained functions of the Administrator, including (1) the determination that a community's Workable Program for Community Improvement meets the requirements of the law, (2) the certification to URA, PHA and FHA that the Federal aids for which a Workable Program is a prerequisite may be made available, (3) the determination that the relocation requirements of Section 105(e) of Title I of the Housing Act of 1949, as amended, have been met, (4) the certification to the FHA of the eligibility of urban renewal projects under Section 220 of the National Housing Act, (5) the authorization to the PHA of the undertaking of contracts with local housing authorities for the planning and development of low-rent public housing projects, and (6) the coordination of Agency participation in natural disaster relief.

OFFICE OF METROPOLITAN DEVELOPMENT

The Office of Metropolitan Development, under the supervision of the Assistant Administrator (Metropolitan Development), shall assist the Administrator in coordinating and furthering Agency programs and activities related to the planning and development of metropolitan areas. It shall be responsible for: (1) development of Agency policy with respect to metropolitan areas; (2) development, in consultation with the constituents concerned, of policies and criteria relating to the Agency's planning programs, to assure that HHFA-assisted planning conforms to overall policies with respect to metropolitan area development; (3) development, in consultation with the constituents concerned, of criteria for determining the appropriate metropolitan area agencies to be dealt with in the execution of HHFA programs; (4) systematic and continuing review of the adequacy of HHFA programs in metropolitan areas and of the conformance of constituent programs and activities to HHFA metropolitan development policies and criteria; (5) advising HHFA constituents with respect to the conformance of their programs and activities to the metropolitan development policies of the Agency; and (6) participating in HHFA collaboration with other Federal agencies looking toward the establishment of common approaches to metropolitan area planning and development.

OFFICE OF ADMINISTRATION

The Office of Administration, under the supervision of the Assistant Administrator (Administration), shall develop administrative management policies, programs and procedures for Agency-wide application;

provide general supervision and coordination of budgetary, accounting, personnel, organization, and general services policies and activities in the Agency; and provide general administrative services and facilities for the Office of the Administrator and the constituent units.

COMPLIANCE DIVISION

The Compliance Division, under the supervision of a Director, shall be responsible for inspections and reports on the facilities within the Agency designed to assure integrity and effectiveness of operations and activities; and for the conduct of investigations with respect to possible violations and irregularities in the Agency's programs or activities.

AUDIT DIVISION

The Audit Division, under the supervision of a Director, shall be responsible for a program of comprehensive audits of the activities and operating programs of the Office of the Administrator, Community Facilities Administration, and Urban Renewal Administration.

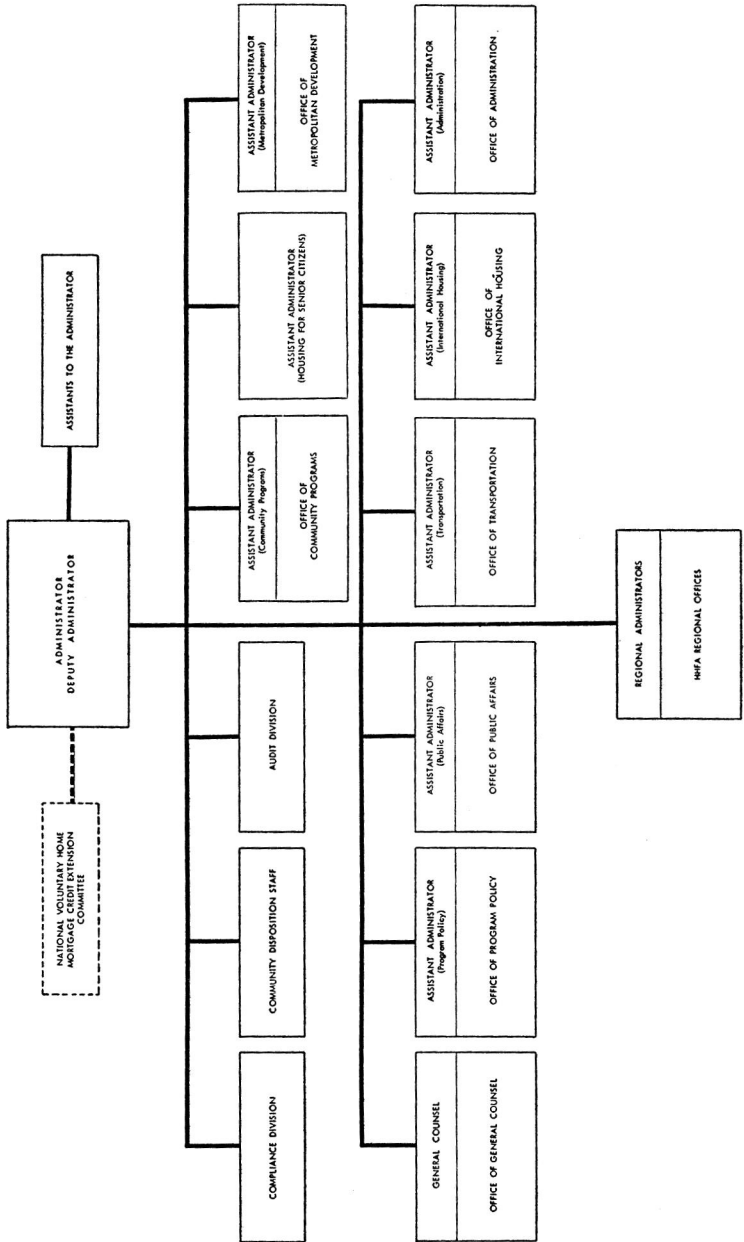
COMMUNITY DISPOSITION STAFF

The Community Disposition Staff, under the supervision of a Director, shall be responsible for the sale of Government-owned properties at Oak Ridge, Richland, and Los Alamos and for the disposition of such other properties as may be assigned to it.

HHFA FIELD SERVICE

The field operations of the Office of the Administrator, Community Facilities Administration, and Urban Renewal Administration programs shall be carried out through the seven HHFA Regional Offices, each of which shall be headed by a Regional Administrator directly responsible to the Administrator. HHFA Regional Offices are located at New York, Philadelphia, Atlanta, Chicago, Fort Worth, San Francisco, and San Juan, Puerto Rico. (See Section 1-10 for geographic jurisdiction of the Regional Offices.)

HOUSING AND HOME FINANCE AGENCY
OFFICE OF THE ADMINISTRATOR
ORGANIZATION CHART



Section 3

FEDERAL FLOOD INDEMNITY ADMINISTRATION

The Federal Flood Indemnity Administration is a constituent of the Housing and Home Finance Agency, established by Administrator's Organization Order No. 1 of September 28, 1956. It is headed by a Federal Flood Indemnity Commissioner appointed by the Administrator.

PROGRAM

The Federal Flood Indemnity Administration is responsible for the administration of the programs of flood insurance, reinsurance, and loan contracts under the Federal Flood Insurance Act of 1956.

ORGANIZATION

The Federal Flood Indemnity Commissioner is responsible for the administration of the programs assigned to the Federal Flood Indemnity Administration.

The Administration consists of the Office of the Commissioner, including the Deputy Commissioner and an Assistant Commissioner; the Office of the Executive Officer; the Division of Law, headed by a Chief Counsel; and the Divisions of Program Studies, Indemnity Operations, and Loan Contract Operations, each headed by an assistant Commissioner.

Deputy Commissioner

The Deputy Commissioner shall assist the Commissioner in the direction and supervision of the Administration's programs and shall act for him in his absence.

Assistant Commissioner

The Assistant Commissioner in the Office of the Commissioner shall maintain contact with representatives of other Federal Government agencies having an interest in the program of the Federal Flood Indemnity Administration, with officials of State and local governments, and with representatives of private insurance and other organizations participating in the Administration's programs and shall provide a central point of information and referral for Members of Congress and the public on the programs of the Federal Flood Indemnity Administration.

OFFICE OF THE EXECUTIVE OFFICER

The Office of the Executive Officer shall prepare estimates of the amount and timing of staff, administrative and program funds, and other resources required in the operation of the Federal Flood Indemnity Administration; prepare program and operating reports and statistics; prepare and coordinate the internal clearance of program and operating procedures; study and maintain control over work methods and systems; study and make recommendations in connection with organizational problems; and maintain liaison with the OA

Division of Administration with respect to administrative management functions.

The OA Division of Administration shall, in addition to its responsibilities in connection with the general supervision and coordination of Agency administrative management functions, provide direct administrative services and facilities to the Federal Flood Indemnity Administration. These shall include services and facilities in connection with budgetary, accounting, audit, organization and methods, personnel, and general services activities.

DIVISION OF LAW

The Division of Law shall provide the legal counsel and assistance required in the formulation and development of the programs of the Federal Flood Indemnity Administration; prepare legal opinions, briefs, and comprehensive studies of legal problems in the formulation and administration of these programs; handle litigation arising out of claims against the Administration. The Division of Law shall, in collaboration with the appropriate program officials, assist the Commissioner and his staff in the development and drafting of legislation and reports on legislation, public regulation, model State legislation, forms of contracts, insurance policies, reinsurance and loan agreements, and other legal documents.

DIVISION OF PROGRAM STUDIES

The Division of Program Studies shall advise and assist the Commissioner with respect to the economic aspects of the programs of the Administration; conduct continuing evaluations of program effectiveness and recommend such changes as appear desirable and appropriate; investigate the practicability of extending insurance coverage to other natural perils; investigate the feasibility of having private insurance companies take over the insurance program, with or without some form of Federal support; investigate the desirability of centralized collection and dissemination within the Federal government of data on floods and flood losses; and prepare materials for inclusion in the Annual Report of the Housing and Home Finance Administrator.

DIVISION OF INDEMNITY OPERATIONS

The Division of Indemnity Operations shall be responsible for the administration and execution of the programs of insurance and reinsurance under the Act; negotiation and conclusion of working arrangements with insurance companies, agents, brokers, and adjustment organizations and recommendations as to compensation to be allowed for their services; continuing supervision of program participants to insure compliance with rules and regulations of the Administration; settlement of claims arising out of insurance or reinsurance; and such other matters relating to insurance and reinsurance as may be required.

The Division shall advise and assist the Commissioner with respect to the determination and acceptance of flood risks in connection with insurance and reinsurance; analyze meteorological, hydrological and engineering data currently available and secure such additional information as may be required through agreement with other Federal agen-

cies or contract, or otherwise; recommend estimated rates and fees for insurance and reinsurance; develop and maintain underwriting standards and procedures and schedules of rates and fees for the guidance of private insurance companies participating in the program; and provide such interpretations thereof as may be required from time to time. The Division shall, upon request, provide similar underwriting services in connection with loan contract operations.

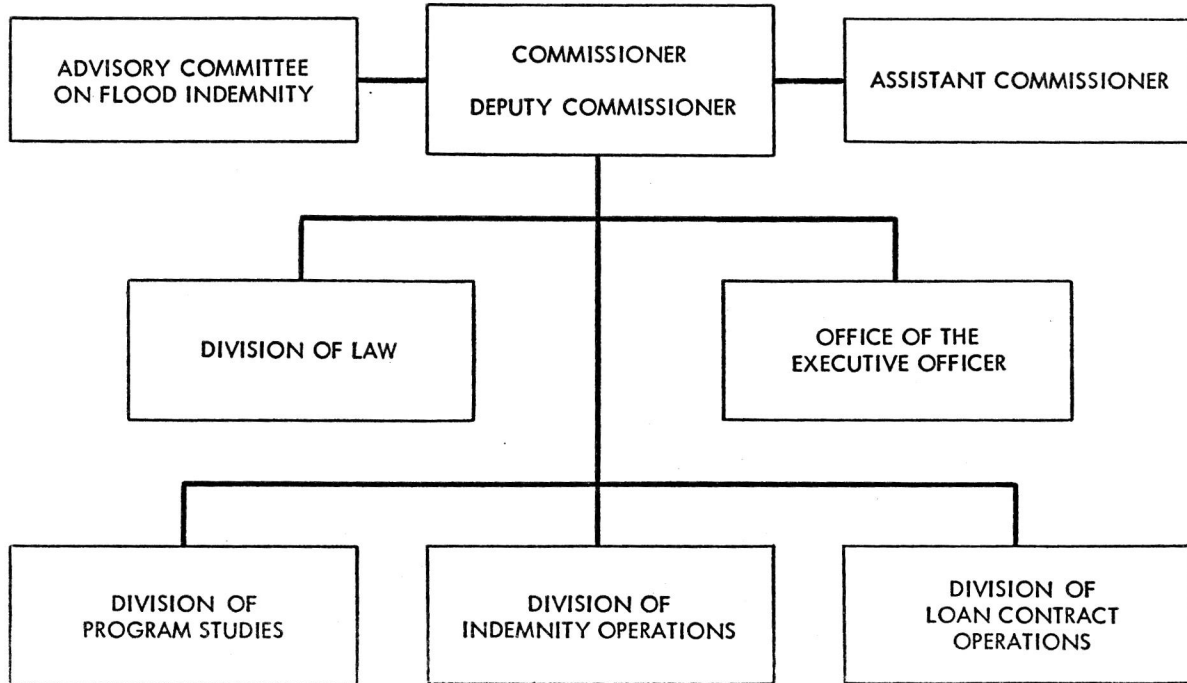
DIVISION OF LOAN CONTRACT OPERATIONS

The Division of Loan Contract Operations shall be responsible for the administration and execution of the program of loan contracts under the Act; negotiation and conclusion of working arrangements with insurance agents, financial institutions and others participating in the loan contract program and recommendations as to the compensation to be allowed for their services; continuing supervision of program participants to insure compliance with rules and regulations of the Administration; making of loans and satisfaction of guarantees; loan servicing; property management and disposition; and such other matters relating to loan contracts and subsequent loans and guarantees as may be required.

ADVISORY COMMITTEE ON FLOOD INDEMNITY

An Advisory Committee on Flood Indemnity advises on the formulation of policies and the execution of functions pursuant to Section 16 of the Act. The Commissioner serves as Chairman.

Housing and Home Finance Agency
FEDERAL FLOOD INDEMNITY ADMINISTRATION
Organization Chart



Section 4

FEDERAL HOUSING ADMINISTRATION

The Federal Housing Administration is a constituent of the HHFA. It is headed by a Federal Housing Commissioner appointed by the President, by and with the advice and consent of the Senate.

Principal purposes of the Federal Housing Administration under the National Housing Act, as amended, are to improve home financing practices, to stabilize the mortgage market, to encourage improved housing standards and conditions, to facilitate home ownership, and aid in the elimination of slums, and blighted conditions and the prevention of deterioration of residential properties. These objectives are accomplished through the insurance of loans and investments made by private financial institutions and investors to finance the production, purchase, repair and improvement of residential properties. FHA itself does not lend money or construct housing.

Special mortgage insurance programs are available to facilitate purchase of homes by servicemen, to provide housing in urban renewal areas, and to provide housing for families displaced by governmental action.

PROGRAMS

The FHA insurance programs are carried out entirely through the voluntary cooperation of private enterprise. Under the several titles of the National Housing Act the programs are:

Property Improvement Loan Insurance

Section 2 of Title I authorizes the FHA to insure qualified lending institutions against loss on loans made to finance the alteration, repair, improvement, or conversion of existing structures, and the building of small new non-residential structures.

Home Mortgage Insurance

Section 203 of Title II authorizes the insurance of mortgages on new and existing one- to four-family dwellings.

Section 203k authorizes the insurance of improvement loans on one- to four-family homes with a longer term and higher amount than that provided under Title I and requiring adequate security.

Section 220 of Title II authorizes the insurance of mortgages for rehabilitation of existing housing and the construction of new housing in slum clearance and urban renewal areas.

Section 220h authorizes the insurance of long term improvement loans on one- to four-family and multifamily structures in urban renewal areas.

Section 221 of Title II authorizes the insurance of mortgages on new homes to assist in relocating families to be displaced as a result of governmental action.

Section 222 of Title II authorizes the insurance of mortgages to finance the construction or purchase of homes by servicemen, with mortgage insurance premiums being paid by the military service of which the mortgagor is a member.

Section 223 of Title II authorizes the insurance of mortgages under Section 203 to finance sales of certain home ownership properties held by Federal, State, or local governments. Mortgages may also be insured on the first resales of such properties, and provision is made for refinancing FHA insured mortgages under this Section which were originally insured under other Sections of the National Housing Act.

Section 233 authorizes the insurance of mortgages on homes or rental housing incorporating new or experimental materials, design, and construction methods and involving experimental neighborhood design.

Section 234 authorizes the insurance of mortgages on individually-owned units in multifamily structures involving undivided (condominium) interest in the common areas and facilities which serve the structure.

Multifamily Housing

Section 207 of Title II authorizes the insurance of mortgages, including construction advances, on rental housing projects of twelve or more units.

Section 223 of Title II authorizes the insurance of mortgages under Section 207 to finance sales, first resales and refinancing—similar in scope and effect to the insurance of home ownership mortgages under Section 203 pursuant to the provisions of Section 223.

Section 213 of Title II authorizes insurance of mortgages on cooperative housing projects of twelve or more units. The section also authorizes FHA to furnish technical advice and assistance in the organization of cooperatives and in the planning, development, construction, and operation of their housing projects.

Section 231 of Title II authorizes the insurance of mortgages on multifamily rental housing for the elderly.

Section 232 of Title II authorizes the insurance of mortgages on nursing homes.

Title VII authorizes the insurance of a minimum amortization charge and an annual return on outstanding investments in rental projects.

Title VIII authorizes insurance of mortgages on rental housing built

on or near military reservations for the use of civilian or military personnel of the Army, Navy, or Air Force, and rental housing for employees of Atomic Energy installations.

Housing for Critical Defense Areas

Title IX authorizes the insurance of mortgages on programmed housing in critical defense areas, provided preference of opportunity to purchase or rent is given to defense workers. Section 903 of this title authorizes insurance of mortgages on one- and two-family dwellings, while Section 908 covers insurance of mortgages on rental projects of twelve or more units.

Insurance Funds

FHA maintains fifteen insurance funds to operate the various insurance programs. The first and largest of these funds is the mutual mortgage insurance fund for the insurance of mortgages on one- to four-family dwellings under Section 203 of Title II. Under this fund, mortgagors may receive as dividends any excess of fees and premiums paid over losses, and necessary reserves.

All of the insurance programs are income-producing. Income is derived from insurance premiums, appraisal and miscellaneous fees, and interest on investments in Government securities.

ORGANIZATION

The Federal Housing Commissioner is responsible for all programs of the Federal Housing Administration. The staff of the FHA includes an immediate staff reporting directly to the Commissioner and a secondary staff reporting to the Commissioner through the Commissioner's immediate staff. The Commissioner, Deputy Commissioner, Assistant Commissioner (Executive Officer), General Counsel, Assistant Commissioners for Field Operations, Multifamily Housing Operations, Technical Standards, Programs, Property Disposition, Audit and Examination, and Administration, and the Assistant Commissioner-Comptroller constitute the Executive Board.

Deputy Commissioner

The Deputy Commissioner assists the Commissioner for general supervision, direction and coordination over operations and activities of the Federal Housing Administration and reviews and approves internal operating procedures. The Deputy Commissioner represents the Commissioner on matters pertaining to the policies and operations of the Federal Housing Administration and serves as Vice Chairman of the Executive Board.

Assistant Commissioner (Executive Officer)

The Assistant Commissioner (Executive Officer) assists the Commissioner in the exercise of his duties and responsibilities and acts as confidential consultant to the Commissioner; represents the Commissioner and FHA in conferences, meetings, and dealings with members of the building industry, lending institutions, other Federal agencies, and other persons representing both public and private nationwide organizations; originates, oversees, or directs special studies pertaining to FHA operations; and acts for the Commissioner in coordination work and unifying efforts on matters of principal importance.

Public Information Officer

The Public Information Officer assists the Commissioner in formulating and carrying out programs of public information on FHA insurance plans, policies, and activities; provides centralized information service for the public, the consumer, and industry, on FHA policies and programs; and coordinates headquarters and field office informational activities to assure effective and uniform information services and liaison with consumers, local lending institutions, builders, manufacturers and distributors of building materials, and others interested in utilizing FHA facilities.

Assistant to the Commissioner (Intergroup Relations Service)

The Assistant to the Commissioner (Intergroup Relations Service) advises and assists the Commissioner and principal staff in the formulation, development, and execution of policy and procedure to encourage full participation of minorities in program benefits; provides professional assistance and guidance to field Intergroup Relations Advisors and advises and assists with the coordination and direction of their activities by the Zone Operations Commissioners; assists in the review and assessment of operations and results for soundness and efficiency in meeting minority group requirements and recommends needed revisions, adjustments or adaptation; represents the Commissioner at conferences, meetings, and conventions as his chief advisor on racial relations and minority group considerations; and maintains liaison with industry and consumer groups and organization leadership, interpreting to them the programs and policies, the reflecting their reactions, viewpoints, and needs.

Defense Coordinator

The Defense Coordinator assists the Commissioner in the administration of FHA's civil defense and emergency housing activities and in overseeing the discharge of FHA's responsibilities under the National Plan for Civil and Defense Mobilization. He represents the Commissioner and serves as liaison with HHHFA, the other constituent agencies,

the Office of Civil and Defense Mobilization, and other Federal, State and local agencies on Civil Defense matters; serves as member of the HHFA Defense Planning Council and as Chairman of the FHA Defense Council.

GENERAL COUNSEL

The General Counsel serves as the principal legal advisor to the Commissioner and all elements of the Federal Housing Administration; supervises and coordinates the legal activities and functions carried out by Federal Housing Administration field Offices; directs the submission of cases to the Attorney General for appropriate legal action; and serves as a member of the Executive Board.

The Office of the General Counsel provides legal advice and services on all phases of FHA activities; interprets provisions of the National Housing Act, as amended, other acts, Executive Orders, etc., and regulations promulgated thereunder; formulates rules and regulations; prepares legal forms and documents; exercises legal supervision and direction over the closing of rental housing cases; advises on control over borrower corporations and legal questions on default and foreclosures and assignment of mortgage notes; conducts legal matters in the sale and management of the Commissioner acquired rental housing projects; provides legal supervision over acquisition, management, and sale of property and issuance of debentures and certificates of claims; and examines title evidence and passes upon its acceptability. It conducts all legal activities affecting the Federal Housing Administration; signs, acknowledges and verifies on behalf of the Commissioner, all declarations, bills, pleas, answers and other pleadings in any court proceedings which are brought in the name of or against the Federal Housing Commissioner, or in which he is named as a party; and prepares cases for submission to the Attorney General for appropriate legal action.

ASSISTANT COMMISSIONER FOR AUDIT AND EXAMINATION

The Assistant Commissioner for Audit and Examination coordinates and supervises the Examination Division and the Audit Division to maintain a continuing independent check on the operations of the Federal Housing Administration and the maintenance of a continuing comprehensive fiscal audit program, both internal and external, including audit of mortgages, multifamily project mortgagors, and rental brokers, for the purpose of providing the Commissioner with continuing assurance of the soundness and integrity of operations and of conformance with prescribed policies, standards, and procedures. He acts for the Commissioner in the determination of noncompliance with statutes, including the criminal statutes, rules, regulations, policies and procedures governing FHA operations and participants in FHA programs; directs remedial action and provides liaison with respect to

investigation requests to, and investigative reports from, the Office of the Administrator, HIFA. He serves as a member of the Executive Board.

Examination Division

The Examination Division conducts comprehensive periodic and special examinations of Federal Housing Administration activities, except those of a fiscal and financial character, for conformity with statutory, regulatory and procedural requirements and with established policies and procedures; and determines and reports on the adequacy of nonfiscal operations of field offices and headquarters divisions, including the conformity of mortgage underwriting and other operations to prescribed policies and procedures.

Audit Division

The Audit Division conducts continuing audits, surveys and examinations of FHA's departmental and field financial operations and activities to assure: (a) compliance with applicable laws, regulations, directives, policies and procedures; (b) protection of public funds, property, and other assets under FHA's control or jurisdiction; and (c) the validity, integrity, and reliability of fiscal information and data reported by FHA as regards public funds and property entrusted to its control. As required, the Division conducts audits of the accounts, statements, and current financial status of private concerns (approved mortgagees) not subject to inspection by Federal or State supervisory organizations who transact business with FHA. The Division conducts audits of FHA operating functions and of private concerns and businesses participating in the FHA programs, to insure the integrity of the accounts, reports, statements, and records of the administration.

ASSISTANT COMMISSIONER FOR TECHNICAL STANDARDS

The Assistant Commissioner for Technical Standards coordinates and supervises the Architectural Standards Division and Appraisal and Mortgage Risk Division, comprising the functions of: establishing and maintaining architectural and engineering standards, methods, procedures, and techniques, including minimum planning requirements, minimum construction requirements, minimum property requirements and procedures, and criteria for rating of physical security, as well as the functions of establishing and maintaining standards, procedures, and techniques for mortgage credit, valuation, land planning and the selection and rating of mortgage risk; determination of acceptability of new materials and methods of construction; and maintenance of continuing research in contemporary residential design and modern methods and techniques. He maintains technical supervision over the underwriting activities in field offices; provides technical advice and assistance to all elements of the Federal Housing Administration; provides technical consultative services to other Government agencies with

respect to housing programs and policies; and maintains liaison with architectural, engineering, and other professional societies. He serves as a member of the Executive Board.

Architectural Standards Division

The Architectural Standards Division establishes and maintains new or improved architectural and engineering standards, methods, techniques, and criteria, including development and maintenance of minimum property requirements and development of rating of physical security. The Division provides architectural and engineering consulting and advisory services to all elements of the Federal Housing Administration, carries on research into contemporary residential design and modern engineering methods and techniques applicable to housing, and maintains liaison with architectural and engineering societies and with public and private groups interested in the advancement of housing standards and conditions.

Appraisal and Mortgage Risk Division

The Appraisal and Mortgage Risk Division develops and maintains standards, methods, techniques, and criteria governing the entire risk rating system of the Federal Housing Administration, including coordination and integration of the rating of physical security and cost estimation. The Division develops and recommends new or improved methods, standards, techniques, criteria, and procedures related to mortgage credit, valuation, land planning, and mortgage risk rating. The Division provides advisory and consulting services to all elements of the Federal Housing Administration in the fields of mortgage credit, valuation, land planning, and risk determination.

ASSISTANT COMMISSIONER FOR PROGRAMS

The Assistant Commissioner for Programs coordinates and supervises the activities of the Program Division and the Research and Statistics Division. He advises and assists in the formulation and development of basic policies and programs of the Federal Housing Administration, evaluates programs of the FHA to determine the extent to which they are achieving the broad purposes of the National Housing Act, and develops recommendations designed to bring about more effective program operations. He maintains liaison with the Office of the Administrator and the other constituent agencies and units of the HHFA, and with other agencies for inter-agency program coordination; and provides consultative and advisory services to all elements of the Federal Housing Administration and to public and private agencies on general economic conditions affecting current, new, or proposed programs. He serves as a member of the Executive Board.

Program Division

The Program Division advises and assists in the formulation and development of basic policies and programs of the Federal Housing Administration; conducts continuing reviews and evaluations of the effectiveness of programs and policies; and assists in the development and evaluation of legislative proposals affecting programs of the Federal Housing Administration. The Division maintains liaison with the Office of the Administrator and the other constituent agencies and units of the HHFA, and with other agencies for inter-agency program coordination. The Division carries out research on economic aspects of mortgage insurance operations and on general economic and housing conditions affecting new or proposed program operations of the Federal Housing Administration.

Research and Statistics Division

The Research and Statistics Division advises FHA officials on the economic aspects of FHA mortgage and loan insurance operations and on economic, housing, and real estate problems which, directly or indirectly, affect FHA operations; conducts analytical studies of individual housing markets as aids in local FHA underwriting operations and the administration of insurance operations; develops techniques to serve the specialized purposes of market analysis for FHA administrative guidance; provides actuarial and financial advice on FHA operations, including such matters as insurance reserves, distribution of dividends, mortality and loss experience, standards of risk selection, and financial market and investment conditions; and compiles, analyzes and interprets statistics on volume and characteristics of FHA operations.

ASSISTANT COMMISSIONER FOR MULIFAMILY HOUSING OPERATIONS

The Assistant Commissioner for Multifamily Housing Operations is responsible for the coordination and supervision of the Rental Housing Division, the Cooperative Housing Division, the Urban Renewal Division, and the Zone Multifamily Housing Offices, and for the direction of the insurance and servicing of multifamily housing mortgages. He serves as a member of the Executive Board.

Rental Housing Division

The Rental Housing Division directs the operation of all rental housing mortgage insurance programs other than urban renewal, and in connection therewith, develops policies, rules, regulations, eligibility requirements, and procedures; provides technical advice and guidance to headquarters and field offices, on-site training, guidance and assistance to field office personnel, and evaluation of field office performance; provides consultative and advisory service to financial institutions and to public and private groups with respect to insurance and servicing; and provides technical direction and supervision to field enforcement

of the labor standards and prevailing wage provisions of the National Housing Act and the Department of Labor.

Cooperative Housing Division

The Cooperative Housing Division directs the operation of the cooperative housing program and in connection therewith, develops policies, rules, regulations, eligibility requirements and procedures; provides technical advice and guidance to headquarters and field offices, on-site training, guidance and assistance to field office personnel, and evaluation of field office performance; provides technical advice and assistance to cooperatives in the organization of mortgagor corporations or trusts, conduct of corporate affairs, and housing project management; and conducts a continuing program of research on cooperative housing.

Urban Renewal Division

The Urban Renewal Division coordinates FHA participation in urban renewal, directs rental project mortgage insurance operations under the urban renewal program, and in connection therewith, develops policies, regulations, and procedures.

Zone Multifamily Housing Offices

The Zone Multifamily Housing Offices conduct multifamily housing mortgage insurance operations and insured project mortgage servicing operations within the geographical zone under his jurisdiction.

ASSISTANT COMMISSIONER FOR PROPERTY DISPOSITION

The Assistant Commissioner for Property Disposition is responsible for the development and recommendation of policies, regulations, eligibility requirements and procedures for the conduct of an efficient and effective property management and disposition program for home and multifamily acquired properties; and provides technical advice and guidance on matters pertaining to property management and disposition activities for the Administration.

ASSISTANT COMMISSIONER-COMPTROLLER

The Assistant Commissioner-Comptroller is responsible for the supervision and coordination of the Comptroller's Division. He supervises all FHA fiscal matters; controls and approves all FHA expenditures; and recommends investment of funds and retirement of debentures. He serves as a member of the Executive Board.

Comptroller's Division

The Comptroller's Division supervises all FHA fiscal matters; develops financial statements; designs fiscal accounting systems, controls, and procedures; controls and approves all FHA expenditures;

determines sufficiency of collections, receipts, and revenues; establishes and maintains systems for billing, collection, deposit, and reporting of revenue; analyzes insurance and other funds to determine availability to meet current requirements; recommends investment of funds and retirement of debentures; determines extent of remaining authority to insure; maintains controls reflecting unencumbered balances of budget allocations, and allotment records reflecting apportionments thereof; controls receipt, examination, certification, and payment by cash or debentures of insurance claims; certifies requests for advances of appropriated funds; and provides machine tabulating and electronic data processing services.

ASSISTANT COMMISSIONER FOR ADMINISTRATION

The Assistant Commissioner for Administration is responsible for a comprehensive program of administrative management and services comprising all personnel policy, procedures and activities; contracting procurement, supply, printing, space management, library, and other office services; management surveys; forms and records management; coordination and maintenance of the FHA manual, directives and other issuances and instructional material, and supervises and coordinates the activities of the Personnel Division, the Budget Division, the General Services Division, and the Management Division. He serves as a member of the Executive Board.

Budget Division

The Budget Division is responsible for the development, direction and execution of all budget activities of the Federal Housing Administration, including the development and formulation of budget estimates, Congressional justifications, requests for apportionments and the control of the expenditure of funds to achieve the Commissioner's objectives with respect to programs and activities, and to meet workload requirements economically and effectively. The Division is also responsible for the preparation of functional statements and organization charts, and for the analysis of the organizational structure for the purpose of making recommendations for changes to improve economy and efficiency.

Personnel Division

The Personnel Division is responsible for FHA personnel activities. The Division develops and installs personnel policies and procedures; analyzes over-all personnel practices and systems; develops statements, handbooks, and other informative and interpretive materials on personnel practices, policies, and management; interprets policies and procedures affecting personnel administration in accordance with statutory and regulatory requirements; recruits, selects, and places employees; develops and operates employee relations and in-service training programs; supervises field service personnel operations; maintains continuing classification and wage administration programs; operates

health and first aid programs; and administers a program of incentive awards to employees.

General Services Division

The General Services Division executes all contracts for services and procurement, including brokers' agreements, contracts for technical and consulting services and materials, equipment and services for the maintenance and operation of acquired properties; executes all agreements for office space and collateral services; procures and issues equipment, material, and supplies, including those used for the maintenance and operation of properties acquired by the Federal Housing Administration; procures utilities and office services for Washington and field offices; issues travel orders; arranges all matters in connection with printing, forms design, and layout and distribution services of the Federal Housing Administration; maintains a centralized stenographic, typing, and machine transcription service; operates a mail and messenger service for the Federal Housing Administration; maintains and controls non-operating files and records and provides library facilities for all elements of the Federal Housing Administration.

Management Division

The Management Division is responsible for direction of management engineering surveys of Washington and field operations and activities; direction of a comprehensive forms and records management program, and coordination and maintenance of the FHA Manual, directives and other issuances and instructional material.

ASSISTANT COMMISSIONER FOR FIELD OPERATIONS

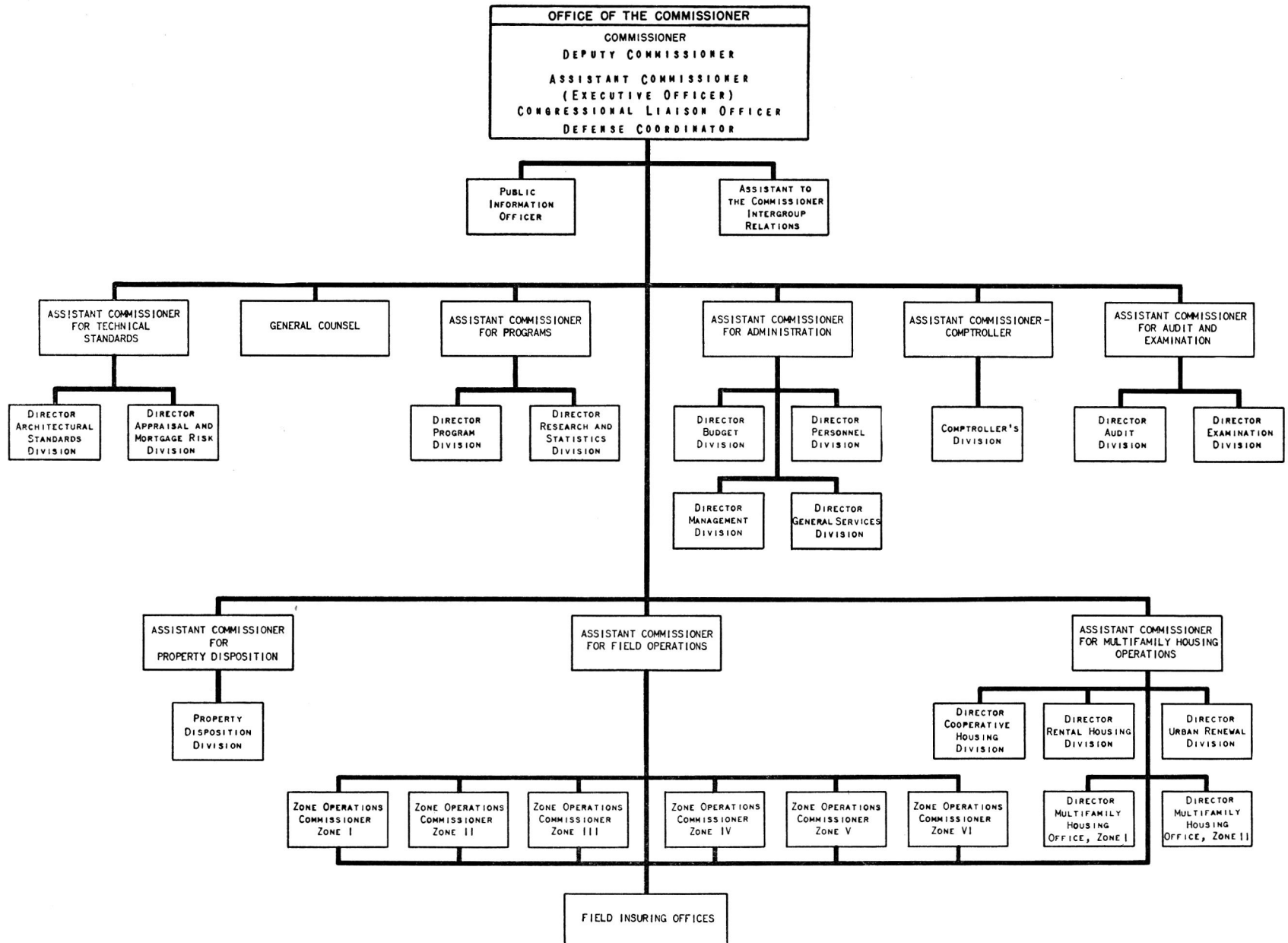
The Assistant Commissioner for Field Operations is responsible for the execution of the field operations of the Federal Housing Administration other than the insurance and servicing of multifamily housing mortgages. He coordinates and supervises the Zone Operations Commissioners of the six geographical regions; develops and recommends policies and operating plans and procedures for the insurance of home mortgages and the insurance of loans under the Title I program; issues or cancels contracts of insurance under Title I of the National Housing Act; approves or cancels the approval of financial institutions as approved mortgages; maintains procedures and manuals governing the conduct of operations in the field, and provides coordination and advice in the development of field procedures. He serves as a member of the Executive Board.

INSURING OFFICES

The Insuring Offices, located at 75 field stations, perform all operations involved in the planning, development, and execution of the FHA programs within the area of their jurisdictions. These offices receive and process applications for mortgage insurance, including determination of valuation, location eligibility, architectural eligibility, land

planning eligibility, and mortgage credit eligibility, issuance of commitments for insurance and changes in terms of commitments, and execution of mortgage insurance contracts. The Insuring Office consents to releases of mortgagors and to releases of portions of mortgaged properties from mortgage liens; authorizes advances of mortgage money during construction; advises mortgagees on all aspects of mortgage servicing; administers special and emergency housing programs; provides advice and assistance on minority group housing problems; supervises and directs property management activities (including rental, management, repair, alteration, and improvement of acquired properties); reviews operations of rental brokers; negotiates and executes contracts for sale of acquired properties, and insures mortgages taken as security in connection with the sale of properties; and supervises operations of approved Title I lenders and dealers, and conducts collection activities on Title I claims.

HOUSING AND HOME FINANCE AGENCY FEDERAL HOUSING ADMINISTRATION ORGANIZATION CHART



Section 5

PUBLIC HOUSING ADMINISTRATION

The Public Housing Administration is a constituent of the Housing and Home Finance Agency. It is headed by a Public Housing Commissioner appointed by the President, by and with the advice and consent of the Senate.

PROGRAM

The Public Housing Administration is responsible for the low-rent public housing program formulated under the United States Housing Act of 1937, as amended, which authorizes Federal financial assistance to local communities "to remedy the unsafe and insanitary housing conditions and the acute shortage of decent, safe, and sanitary dwellings for families of low income . . ." Also included in this program are projects developed by the Public Works Administration before passage of the Housing Act of 1937, and Farm Labor Camps and permanent war housing projects transferred under the terms of the Housing Act of 1950.

ORGANIZATION

Office of the Commissioner

The Public Housing Commissioner is responsible for the administration of all programs of the Public Housing Administration. In her immediate office, the Commissioner has a small staff which is responsible for the liaison activities of the Public Housing Administration with the Congress, coordinating the handling of Congressional communications, and related activity.

Office of the Deputy Commissioner

The Deputy Commissioner is the Commissioner's principal adviser and assistant and serves as Acting Commissioner in the absence of the Commissioner. In his immediate office, the Deputy Commissioner has a small staff which is responsible for controlling Public Housing Administration action in connection with audit findings of concern to the Public Housing Administration and other matters relating to the prevention and correction of improper practices.

Public Affairs Branch

The Public Affairs Branch is headed by a Director, who is responsible for public relations and information activities.

Intergroup Relations Branch

The Intergroup Relations Branch is headed by a Director, who is responsible for matters relating to the participation of minority groups in the various aspects of the development and management of public housing, and for advice and assistance to the Commissioner and key staff in all areas of implementing equal opportunity in housing and employment.

Labor Relations Branch

The Labor Relations Branch is headed by a Director, who is responsible for the administration of various statutory, regulatory, and contractual requirements governing labor standards and wage rates in the development and management of public housing.

Internal Audit Branch

The Internal Audit Branch is headed by a Director, who is responsible for a continuing review and appraisal of all operations of the Public Housing Administration. Factors for appraisal include compliance with policies and procedures, accuracy and reliability of controls, adequate protective methods, causes for variances, proper utilization of manpower, and satisfactory methods of operation.

Legal Division

The Legal Division is headed by a General Counsel, who is the principle attorney of the Public Housing Administration, and is responsible for all legal activities and for matters relating to the financing of low-rent housing.

Administration Division

The Administration Division is headed by an Assistant Commissioner, who is responsible for matters relating to administrative management, including organization planning, budget and personnel administration, accounting and fiscal management, directives management, machine data processing services, the procurement and management of administrative property, and general office services.

Development Division

The Development Division is headed by an Assistant Commissioner, who is responsible for matters relating to the planning, design, and construction of public housing, including development research, methods, and standards.

Management Division

The Management Division is headed by an Assistant Commissioner, who is responsible for matters relating to the operation of public housing, including a program for conducting comprehensive audits of local housing authorities.

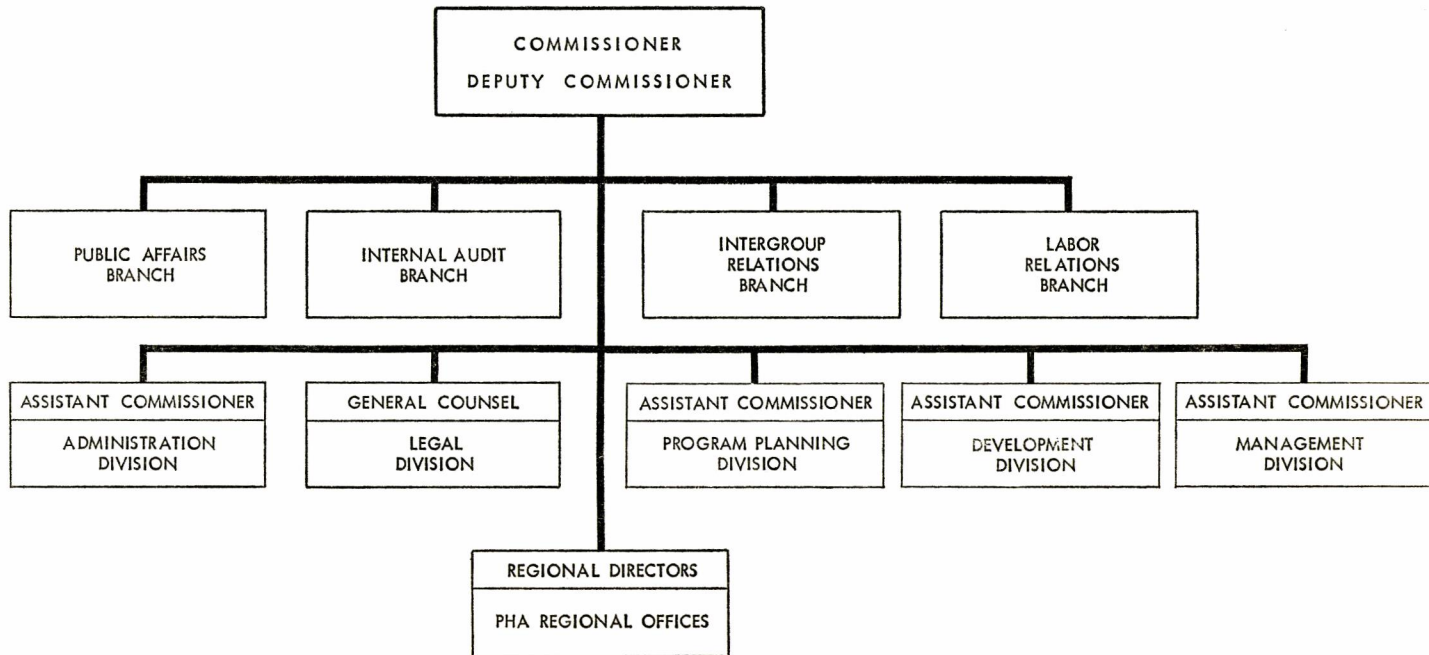
Program Planning Division

The Program Planning Division is headed by an Assistant Commissioner, who is responsible for matters relating to the economic aspects of public housing, including low-income housing needs, income limits, 20% gap determinations, relocation feasibility; administrative and operational statistics; and activities relating to civil defense and disaster relief.

Regional Offices

The programs of the Public Housing Administration are administered through seven Regional Offices located in Atlanta, Chicago, Fort Worth, New York, Philadelphia, San Francisco, and Puerto Rico.

HOUSING AND HOME FINANCE AGENCY
PUBLIC HOUSING ADMINISTRATION
ORGANIZATION CHART



Section 6

FEDERAL NATIONAL MORTGAGE ASSOCIATION

The Federal National Mortgage Association is a constituent of the HHFA. It was originally chartered on February 10, 1938, and was rechartered under the Housing Act of 1954.

PROGRAM

The Federal National Mortgage Association is authorized:

- (1) To provide supplementary assistance to the secondary market for home mortgages by providing a degree of liquidity for mortgage investments, thereby improving the distribution of investment capital available for home mortgage financing.
- (2) To provide special assistance (a) when, and to the extent that, the President has determined that it is in the public interest, for (i) the financing of selected types of home mortgages, pending the establishment of their marketability, originated under special housing programs designed to provide housing of acceptable standards at full economic costs for segments of the national population which are unable to obtain adequate housing under established home financing programs, and (ii) the financing of home mortgages generally as a means of retarding or stopping a decline in mortgage lending and home building activities which threaten materially the stability of a high level national economy; and (b) as otherwise prescribed by law.
- (3) To manage and liquidate the portfolio of mortgages acquired pursuant to contracts entered into between February 10, 1938 and November 1, 1954, and those other mortgages that have been or will be acquired from authorized sources, in an orderly manner, with a minimum of adverse effect upon the home mortgage market and minimum loss to the Federal Government.

CAPITALIZATION

The Association has nonvoting preferred stock which has been subscribed to and is held by the Secretary of the Treasury. The Association also issues nonvoting common stock to mortgage lenders using the facilities of the Secondary Market Operations. Such lenders are required by law to subscribe for common stock to the extent of not more than 2 per cent nor less than 1 per cent of the unpaid principal amounts of mortgages they sell to the Association, as determined from time to time by the Association.

ORGANIZATION**Board of Directors**

The Board of Directors consists of five members, including the Housing and Home Finance Administrator as Chairman of the Board and four members appointed by him from among the officers or employees of the Association, the immediate office of the Administrator, or (with the consent of the head of such department or agency) any other department or agency of the Federal Government. The Board of Directors determines general policies governing the management of the property and business of the Association in accordance with applicable laws.

Office of the President

The President is chief executive officer of the Association, and is responsible for the general supervision of its business and affairs in consonance with general policies established by the Board of Directors.

Office of the General Counsel

The General Counsel is the principal consulting officer of the Association in all matters of legal significance or import. He is responsible for and directs all counsel, employees, attorneys, and agents in the performance of all legal duties and services for and on behalf of the Association.

Office of the Controller

The Controller is responsible for the maintenance of all accounting records of the Association, the preparation and interpretation of all financial and statistical records and related reports, for budget formulation and control, and for the certification of vouchers for payment by the Treasurer.

Office of the Secretary-Treasurer

The Secretary attends and records all meetings of the Board of Directors, maintains official records, is custodian of the corporate seal, and is responsible for procurement and related matters.

The Treasurer is responsible for collection, custody, and disbursement of funds and securities belonging or entrusted to the Association in the conduct of its business. He is also responsible for custody and maintenance of forms of obligations relating to indebtedness of the Association and makes provision for the issuance of notes or other obligations, the payment of interest thereon, and other related matters.

Loan Administration Division

The Loan Administration Division, headed by a Loan Manager, is responsible for the supervision and direction of the purchase, administration, and sale of all mortgages in the Association's portfolio, and for the disposition of security acquired through foreclosure or otherwise.

Examination and Audit Division

The Examination and Audit Division, headed by a Director of Examination and Audit, is responsible for the audit and verification of accounts and records of the Association and its contract servicers, and reporting of deviations from compliance with Association policies and rules and other applicable general or specific statutes and standards.

Personnel Division

The Personnel Division, headed by a Director of Personnel, exercises staff supervision over personnel matters, including classification of positions, transfers, promotions, and training.

Agency Offices

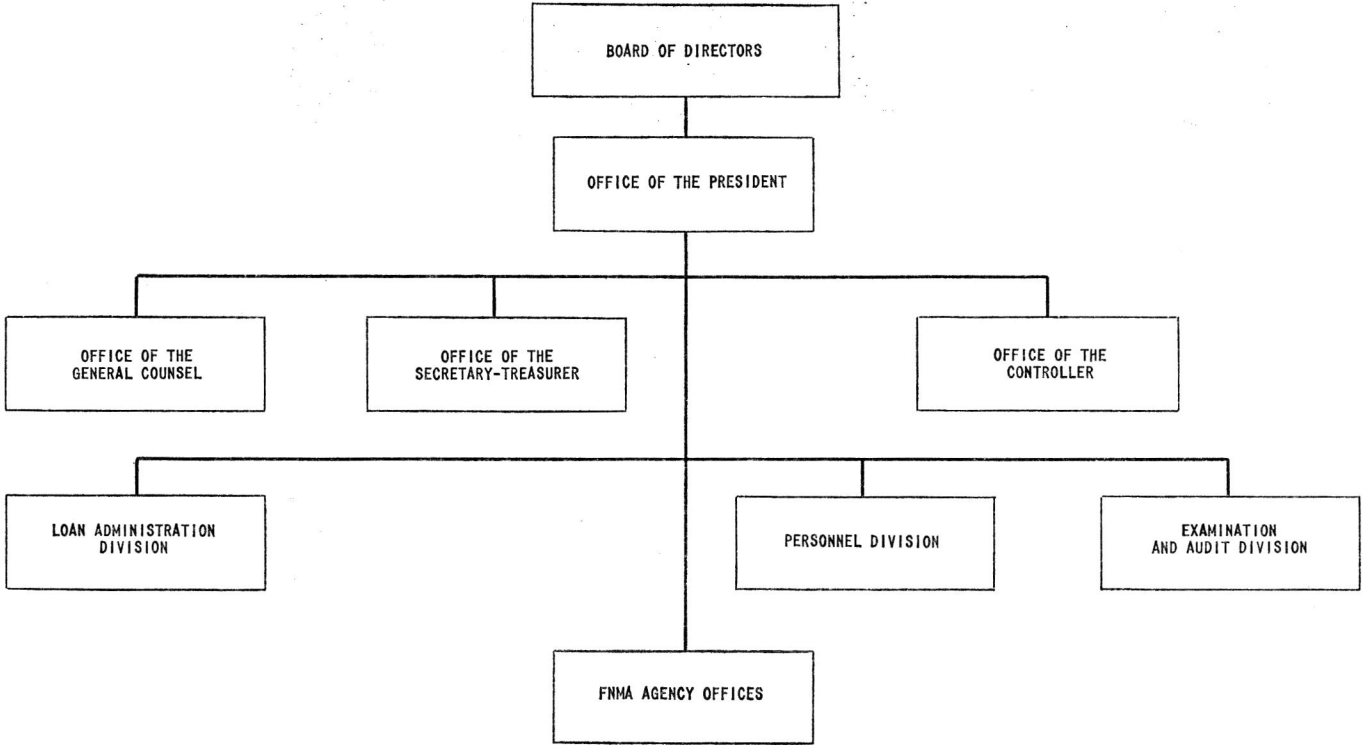
The field organization of the Association consists of five Agency Offices located in Philadelphia, Atlanta, Chicago, Dallas, and Los Angeles. There is also a small Sales Office in New York City. The jurisdictional boundaries of the Agency Offices are uniform with the HHFA Regional Office boundaries (see Section 10 of this Part), except that the Philadelphia Agency Office has jurisdiction over the entire area which corresponds to HHFA Regions I and II.

An Agency Manager is in charge of each Agency Office of the Association. In their respective areas, the Association's Agencies are responsible for discharging the functions of the Association. The chief functions involving the purchase, servicing or administration, and sale of mortgages, include activities such as the following: Examination of mortgage purchases, disbursement of funds, maintenance of necessary records and books of account, supervision of contract services, and disposition of acquired properties. The Agencies maintain contacts with institutions that purchase and sell FHA-insured and VA-guaranteed mortgages.

Voluntary Home Mortgage Credit Program

Under reimbursement arrangements with the Office of the Administrator, the Association, through its Washington and Agency Offices, performs the administrative services in connection with the Voluntary Home Mortgage Credit Program as prescribed in Section 1-9 of this Volume.

Housing and Home Finance Agency
FEDERAL NATIONAL MORTGAGE ASSOCIATION
Organization Chart



Section 7

COMMUNITY FACILITIES ADMINISTRATION

The Community Facilities Administration is a constituent of the Housing and Home Finance Agency, established by Administrator's Organizational Order No.1 of December 23, 1954. It is headed by a Community Facilities Commissioner appointed by the Administrator.

PROGRAMS

The Community Facilities Administration is responsible for administration of the following programs and activities:

- (1) Loans to educational institutions of higher learning to finance student and faculty housing and other related facilities and loans to hospitals for housing facilities for student nurses, interns, and resident physicians, under Title IV of the Housing Act of 1950, as amended.
- (2) Loans to municipalities and other political subdivisions and instrumentalities of States to finance construction of needed public facilities, under Title II of the Housing Amendments of 1955, as amended.
- (3) Advances to State and local governments to maintain a continuing and adequate reserve of planned public works, under Section 702 of the Housing Act of 1954, as amended.
- (4) Loans to private nonprofit corporations, consumer co-operatives, and public bodies or agencies for the provision of housing for elderly persons, under the Housing Act of 1959, as amended.
- (5) Loans and grants to States, political subdivisions, Indian tribes, and private nonprofit corporations to improve opportunities for industrial expansion in redevelopment areas, under the provisions of Sections 7 and 8 of the Area Redevelopment Act of 1961 and delegation of authority from the Secretary of Commerce.
- (6) In cooperation with the Secretary of Commerce, grants to municipalities and other political subdivisions and instrumentalities of States to finance construction of public works in areas of substantial unemployment and in redevelopment areas, under the Public Works Acceleration Act of 1962.

- (7) Under agreement with the Commissioner of Education, performance of certain technical functions in constructing and equipping school facilities for which Federal aid is provided by the Office of Education under the School Construction Act, as amended.
- (8) Under agreement with the Commissioner of Education, performance of certain technical functions in constructing and equipping academic facilities for which Federal aid is provided by the Office of Education under the Higher Education Facilities Act of 1963.
- (9) Under agreement with the Secretary of the Interior, collection, compromise, or release of claims arising under the Alaska Public Works Act.
- (10) Management of the investment portfolio of securities held by the HHFA in connection with Community Facilities Administration programs.
- (11) Management and liquidation of the following programs for which legislative authority has expired: the program of loans and grants for construction of defense community facilities under the act approved September 1, 1951, as amended; the prefabricated housing loan program which provided Federal loans for the production and distribution of factory-built houses and components and for large scale modernized site construction; the war public works program under Title II of the Lanham Act; the program under the Alaska Housing Act of 1949, which provided loan funds to the Alaska Housing Authority for certain housing construction and repair; and the program of Public Agency Loans, which provided for loans to States, counties, municipalities, and other public agencies for needed public facilities, transferred to the Housing and Home Finance Administrator for liquidation under Reorganization Plan 1 of 1957.

Field operations of the Community Facilities Administration programs are carried on through the HHFA Regional Offices.

OFFICE OF THE COMMISSIONER

The Community Facilities Commissioner is responsible for the administration and management of programs delegated and/or assigned to the CFA.

The Deputy Commissioner shall serve as the principal assistant to the Commissioner, sharing with him the direction and supervision of all CFA programs, and shall act for him in his absence with full authority and responsibility for the conduct of the affairs of the Community Facilities Administration.

PROGRAM REVIEW BOARD

The Program Review Board shall consist of the Assistant Commissioner for Program Development, the Assistant Commissioner for

Operations and Engineering, the Assistant Commissioner for Management Control, the Chief Counsel, the Director of Public Affairs, and the Director of Finance. It shall review present and proposed policies of CFA and recommend action to the Commissioner.

CHIEF COUNSEL

The Chief Counsel shall provide legal advice and assistance to the Commissioner and CFA staff. He shall provide continuous communication between CFA and the General Counsel on all legal considerations involved or anticipated in carrying out CFA functions; draft CFA legislative proposals and, as assigned by the General Counsel, prepare reports on general legislation; develop standards and procedures for CFA legal functions in Regional Offices; insure the maintenance of professional competence of CFA and Regional Office legal staffs; request compliance investigations, evaluate findings for recommendations to the Commissioner, and ascertain final disposition of reports for CFA and the Regional Offices.

DIRECTOR OF PUBLIC AFFAIRS

The Director of Public Affairs shall plan and direct the public information program of CFA; perform Congressional liaison activities delegated to CFA; maintain liaison on public information matters with the OA Office of Public Affairs; direct the planning and issuance of CFA technical publications; advise on the intergroup relations aspects of CFA programs; and perform special assignments at the direction of the Commissioner.

DIRECTOR OF FINANCE

The Director of Finance shall direct the administration of the loan management portfolio; provide financial and monetary counsel with respect to bond marketing; advise the Commissioner and Assistant Commissioners on financial policy and standards of analysis thereof; serve as technical financial advisor to the Assistant Commissioners on program and project problems; develop standards and procedures for CFA Regional Office finance functions; and review the professional competence of CFA and regional finance staffs.

DIRECTOR OF ADMINISTRATIVE OPERATIONS

The Director of Administrative Operations shall analyze and control CFA central office administrative budgets; coordinate personnel, travel, and office services activities; supervise mail, file, and document control activities; maintain liaison with the OA Office of Administration on assigned functions; and perform other administrative duties as directed by the Commissioner.

OFFICE OF PROGRAM DEVELOPMENT

The Office of Program Development shall be headed by an Assistant Commissioner for Program Development, who shall serve the Commissioner and Deputy Commissioner in coordinating the day-to-day operational and staff functions; represent the Commissioner with the OA, other Federal agencies, State and local governments, and public institutions for the purpose of identifying requirements and defining them in terms of CFA programs and established HHFA policies; develop and administer new and temporary programs to the point where they become operational and appropriate for decentralization; determine financial and manpower requirements for programs delegated or assigned to CFA, and be responsible for CFA budgeting and programming; develop solutions to policy problems in all CFA programs; coordinate CFA field operations; serve as chairman and direct the functions of the Program Review Board for the purpose of developing and recommending coordinated policy positions and plans for action to the Commissioner and Administrator.

The Office shall have the following Divisions:

Special Projects Division

The Special Projects Division, under a Director, shall direct the implementation of the Academic Facilities Program and such other new or temporary programs as may be assigned or delegated in the future for CFA administration; maintain liaison with other departments and agencies in the planning and development of assigned or delegated programs; advise and consult with operating divisions with respect to the history and background of programs which are in the process of developing into a permanent or ongoing status; and coordinate CFA field operations.

Budget and Requirements Division

The Budget and Requirements Division, under a Director, shall conduct comprehensive studies and analyses required to keep the Commissioner advised of the needs for carrying out CFA programs; review and analyze budgetary estimates and needs and work programs; and develop estimates of financial and manpower requirements for CFA programs. It shall be responsible for liaison and coordination with the OA, other Federal agencies, State and local governments, and public institutions, in order to identify and define manpower and financing requirements in terms of CFA programs and established HHFA policies. It shall develop timely and comprehensive budgetary reports relating obligation and expenditure of funds to approved programs, and shall serve the Program Review Board in developing coordinated positions and plans of action.

OFFICE OF MANAGEMENT CONTROL

The Office of Management Control shall be headed by an Assistant Commissioner for Management Control, who shall evaluate the effectiveness of CFA programs and policies in meeting program objectives;

conduct organizational and performance studies of CFA programs and policies, and studies of program impact; direct a management and progress reporting system for the purpose of providing essential data to the Commissioner and Assistant Commissioners for decision making, program direction, and field evaluation; develop costs, statistical data, and performance standards for guidance of agency and field personnel in the planning and direction of programs and projects; direct the evaluation of field program performance and make recommendations for correcting deficiencies; review reports of audits of CFA programs and projects and initiate or coordinate corrective actions; maintain liaison in auditing matters with OA and GAO; direct and coordinate the preparation and maintenance of CFA directives; and conduct special investigations, internal surveys, and inquiries at the direction of the Commissioner.

The Office shall have the following Divisions:

Evaluation Division

The Evaluation Division, under a Director, shall evaluate the effectiveness of CFA programs and policies in meeting program objectives. It shall conduct organizational and performance studies of CFA programs and policies, and studies of CFA program impact. It shall review reports of audits of CFA programs and projects, initiate or coordinate corrective action, and maintain liaison on these matters with the OA Audit Division and GAO. It shall direct the evaluation of field program performance and make recommendations for correcting deficiencies.

Statistics and Reports Division

The Statistics and Reports Division, under a Director, shall develop and maintain systems for uniform field and central office statistical functions; maintain program records and prepare reports of program status and accomplishment; and develop costs, statistical data, and standards for guidance of CFA and field staff in planning and direction of programs and projects.

Directives Division

The Directives Division, under a Director, shall provide centralizing coordination and direction of preparation and maintenance of CFA manuals and directives, including technical and program policies and procedures; and shall develop and maintain uniform systems and procedures for field and central office control.

OFFICE OF OPERATIONS AND ENGINEERING

The Office of Operations and Engineering shall be headed by an Assistant Commissioner for Operations and Engineering, who shall direct the administration of continuing and stabilized programs assigned to CFA; provide program, technical, and management engineering direction to Regional Directors of CFA in the execution of assigned

or delegated programs; provide technical engineering assistance to the Assistant Commissioner for Program Development for new or temporary programs; advise the Commissioner, Deputy Commissioner, and Assistant Commissioners on the technical engineering aspects of CFA programs; evaluate the professional competence of operational and regional engineering staffs; and be responsible for the development of procedures for labor standards enforcement.

The Office shall have the following Divisions :

Engineering Division

The Engineering Division, under a Director, shall advise on engineering policy and standards of analysis thereof; serve as technical and management engineering adviser on program and project problems; develop standards and procedures for CFA engineering functions in Regional Offices; review the professional competence of regional engineering staffs; and maintain continuing liaison and advise field engineers on unusually complex and specialized engineering problems encountered during the course of normal operations.

Public Facilities Division

The Public Facilities Division, under a Director, shall be responsible for the effective accomplishment of the programs of Public Facility Loans, Advances for Public Works Planning (including collections thereunder), ARA Loans and Grants, and Accelerated Public Works. It shall develop program policies, standards, and procedures; guide and evaluate Regional Office administration of public facility programs; and process program actions requiring CFA central office approval.

College Housing Division

The College Housing Division, under a Director, shall be responsible for the effective accomplishment of the College Housing Program. It shall develop program policies, standards, and procedures; guide and evaluate Regional Office administration of the program; and process program actions requiring CFA central office approval.

Senior Citizens Housing Division

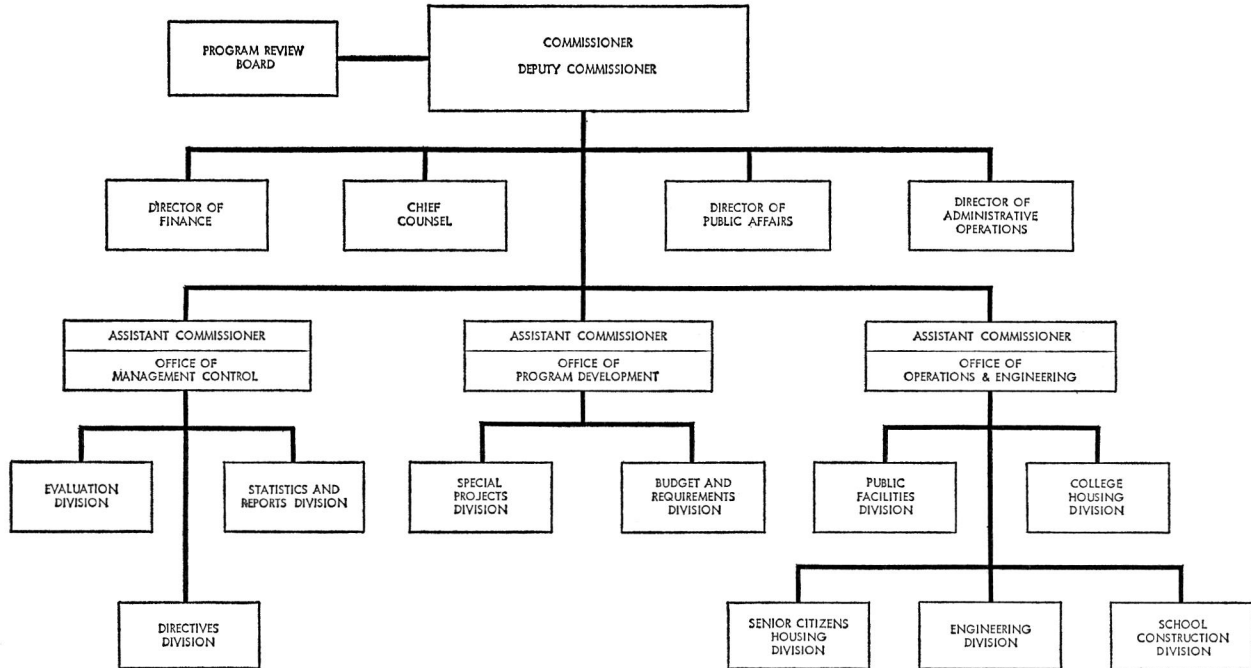
The Senior Citizens Housing Division, under a Director, shall be responsible for the effective accomplishment of the Senior Citizens Housing Loan Program. It shall develop program policies, standards, and procedures; guide and evaluate Regional Office administration of the program; and process program actions requiring CFA central office approval.

School Construction Division

The School Construction Division, under a Director, shall be responsible for the effective accomplishment of HHFA responsibilities under the School Construction Program. It shall develop program policies, standards, and procedures; guide and evaluate Regional Office administration of the program; process program actions requiring CFA central office approval; and maintain liaison with the Office of Education.

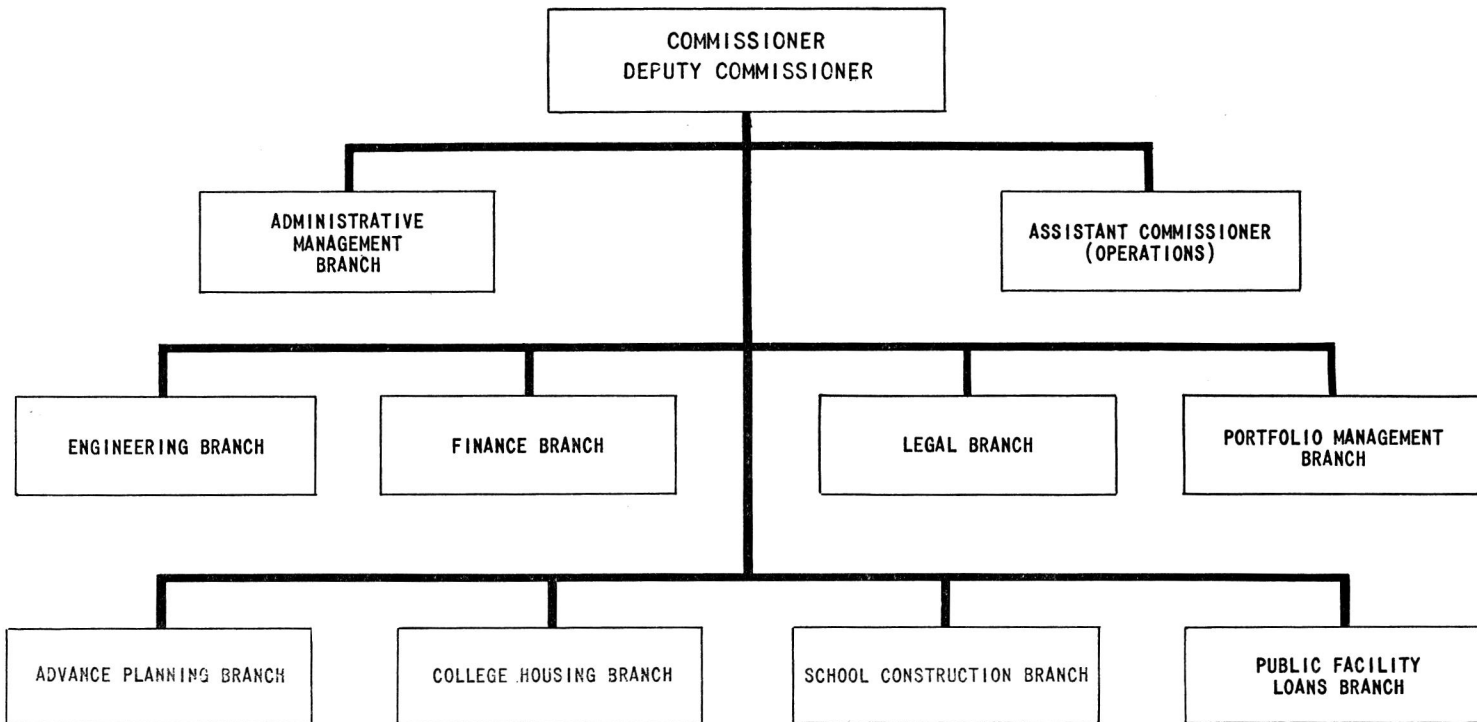
HOUSING AND HOME FINANCE AGENCY
COMMUNITY FACILITIES ADMINISTRATION

ORGANIZATION CHART



Housing and Home Finance Agency
COMMUNITY FACILITIES ADMINISTRATION
Organization Chart

Community Facilities Administration



Section 8

URBAN RENEWAL ADMINISTRATION

The Urban Renewal Administration is a constituent of the Housing and Home Finance Agency, established by the Administrator's Organizational Order No. 1 of December 23, 1954. It is headed by an Urban Renewal Commissioner appointed by the Administrator.

PROGRAMS

The Urban Renewal Administration is responsible for the following programs and activities:

- (1) Administration of the program of slum clearance and urban renewal under Title I of the Housing Act of 1949, as amended; under which planning advances, loans, and grants are made to localities for planning and carrying out programs for the prevention and elimination of slums, blight, and deterioration, through redevelopment, conservation, and rehabilitation.
- (2) Administration of the urban renewal demonstration grant program under Section 314 of the Housing Act of 1954, under which grants are made to public bodies for developing, testing, and reporting on improved techniques for preventing and eliminating slums and urban blight.
- (3) Administration of the urban planning assistance program under Section 701 of the Housing Act of 1954, as amended, under which grants are made to State, metropolitan, regional, local, and other planning agencies to carry out various aspects of comprehensive planning as defined in that Section.
- (4) Administration of the open-space land program under Title VII of the Housing Act of 1961, under which grants are made to States and local public bodies for the acquisition of land for permanent open-space uses.
- (5) Development of technical criteria and standards, and provision of technical guidance, to assist the Administrator in the exercise of his nondelegable and reserved functions concerned with urban renewal, relating to approval and certification of Workable Programs for Community Improvement, approval and certification of relocation plans, and actions pertaining to the FHA Section 220 and 221 programs.

OFFICE OF THE COMMISSIONER

The Urban Renewal Commissioner is responsible for the administration of the programs and activities of the Urban Renewal Administration in accordance with the provisions of the Administrator's Organizational Order No. 1 and delegations of authority by the Administrator.

The Deputy Commissioner shall assist the Commissioner in the direction and supervision of the URA programs, with special responsibility for supervision of the technical standards, field operations, and administrative management aspects of URA programs; and act for him in his absence.

URA POLICY REVIEW COMMITTEE

The URA Policy Review Committee shall consist of URA staff designated by the Commissioner. It shall advise the Commissioner with respect to proposals for technical and administrative policies and standards.

ASSISTANT TO THE COMMISSIONER (INTERGROUP RELATIONS)

The Assistant to the Commissioner (Intergroup Relations) shall advise the Commissioner on intergroup relations considerations and the effects on minority groups of URA program activities. He shall develop policies and standards and evaluate HHFA and local agency operations with respect to these matters. He shall maintain liaison with the Assistant to the Administrator for Intergroup Relations and with public interest and minority representation groups.

DIRECTOR OF PUBLIC AFFAIRS

The Director of Public Affairs shall advise the Commissioner on public relations matters. He shall plan, coordinate, and direct a nationwide public information program to promote a better understanding of URA objectives and accomplishments, through the assembly, preparation, and issuance of public information on current program activities and results and through the development and issuance of educational and technical periodicals and publications. He shall maintain contacts with public officials and private organizations on public relations matters. He shall arrange for public appearances of the Commissioner and other URA officials and direct the preparation of speech and script materials. He shall maintain liaison with the Assistant Administrator for Public Affairs.

OFFICE OF CHIEF COUNSEL

The Office of Chief Counsel, headed by a Chief Counsel, shall provide legal advice and assistance to the Commissioner and staff; develop and recommend standards, methods, and procedures for urban renewal

legal functions in the Regional Offices; perform Central Office legal reviews and make recommendations thereon; provide technical guidance and assistance to Regional Office legal staffs, and appraise the professional adequacy of their urban renewal legal activities; maintain liaison with the HHFA General Counsel on matters of State legislation, administrative law, and legislative reference service; and upon assignment from the HHFA General Counsel, provide legal services in connection with litigation involving URA programs.

OFFICE OF PROGRAM PLANNING

The Office of Program Planning, headed by an Assistant Commissioner for Program Planning, shall study and analyze the causes, effects, and magnitude of slums, urban blight, and deterioration; appraise the effectiveness of various methods of meeting these problems, including specifically the programs administered by URA; and devise new or improved methods of treatment. It shall assist the Commissioner in development of the legislative program; and evaluate program operations and progress, and recommend corrective action when necessary. It shall administer the urban renewal demonstration grant program authorized by Section 314 of the Housing Act of 1954.

The Office shall have the following Branches:

Legislative Policy Branch

The Legislative Policy Branch, headed by a Director, shall assist the Assistant Commissioner in evaluating the need for and developing legislative proposals, preparing data to support the legislative program, and preparing URA comments on pending legislation.

Program Data and Evaluation Branch

The Program Data and Evaluation Branch, headed by a Director, shall develop and administer systems for assembling and recording program data and prepare reports and analyses of program activity and status. It shall evaluate program effectiveness and progress, and recommend new or revised policies or programs.

Demonstration Program Branch

The Demonstration Program Branch headed by a Director, shall assist the Assistant Commissioner in the performance of functions relating to the Section 314 urban renewal demonstration grant program.

OFFICE OF URBAN PLANNING AND COMMUNITY DEVELOPMENT

The Office of Urban Planning and Community Development, headed by an Assistant Commissioner for Urban Planning and Community Development shall advise the Commissioner on the urban planning assistance program authorized by Section 701 of the Housing Act of

1954, as amended; Community Renewal Program activities; the open-space land program authorized by Title VII of the Housing Act of 1961; URA functions with respect to Workable Programs for Community Improvement; and other URA functions involving comprehensive planning and community development activities. It shall develop policies, standards, and methods, postreview Regional Office actions, and render technical advice, guidance, and staff assistance to Regional Offices on these matters.

It shall coordinate URA activities with those of other HHFA constituents and other Federal agencies with respect to related planning functions. It shall maintain primary liaison with national and local planning organizations.

The Office of Urban Planning and Community Development shall have the following organization units:

Division of Urban Planning

The Division of Urban Planning, headed by a Deputy Assistant Commissioner for Urban Planning, shall assist the Assistant Commissioner in the direction and administration of the activities assigned the Urban Planning Assistance Branch and the Community Development Branch.

Urban Planning Assistance Branch

The Urban Planning Assistance Branch, headed by a Director, shall assist in the performance of functions relating to the Section 701 urban planning assistance program, including mass transportation planning functions assigned to URA.

Community Development Branch

The Community Development Branch, headed by a Director, shall assist in the performance of functions relating to Workable Programs for Community Improvement, Community Renewal Programs, and other community development activities.

Open-Space Land Division

The Open-Space Land Division, headed by a Deputy Assistant Commissioner for Open Space Land, shall assist the Assistant Commissioner in the performance of functions relating to the Title VII open-space land program.

OFFICE OF RELOCATION AND REHABILITATION

The Office of Relocation and Rehabilitation, headed by an Assistant Commissioner for Relocation and Rehabilitation, shall advise the Commissioner on matters involving the relocation and rehousing of residents and business concerns displaced from urban renewal project areas; the interim management of acquired real property in project areas; the development of community organization to obtain effective individual and group participation in the achievement of local urban renewal

objectives through the coordinated work of public agencies, business and industry groups, public interest groups, and communitywide, neighborhood, and block organizations of citizens; the sociological aspects of URA programs; the rehabilitation and conservation of neighborhoods and structures; and the development and administration of local building, housing, and other laws, codes, and regulations for adequate standards of health, sanitation, and safety. It shall develop policies, standards, and methods, postreview Regional Office actions, and render advice, guidance, and staff assistance to Regional Offices on those matters. It shall coordinate the URA activities with HHFA constituents.

The Office of Relocation and Rehabilitation shall have the following organization units:

Division of Relocation and Community Organization

The Division of Relocation and Community Organization, headed by a Deputy Assistant Commissioner for Relocation and Community Organization, shall assist the Assistant Commissioner in the direction and administration of the activities assigned the Relocation Branch and the Community Organization Branch.

Relocation Branch

The Relocation Branch, headed by a Director, shall assist in the performance of functions relating to relocation and property management.

Community Organization Branch

The Community Organization Branch, headed by a Director, shall assist in the performance of functions relating to community organization and urban sociology.

Rehabilitation and Codes Division

The Rehabilitation and Codes Division, headed by a Deputy Assistant Commissioner for Rehabilitation and Codes, shall assist the Assistant Commissioner in the direction and administration of the activities assigned the Rehabilitation and Conservation Branch and the Codes and Building Standards Branch.

Rehabilitation and Conservation Branch

The Rehabilitation and Conservation Branch, headed by a Director, shall assist in the performance of functions relating to the rehabilitation and conservation of neighborhoods and structures.

Codes and Building Standards Branch

The Codes and Building Standards Branch, headed by a Director, shall assist in the performance of functions relating to the development

and administration of local building, housing, and other laws, codes, and regulations for adequate standards of health, sanitation, and safety for residential, commercial, industrial, and other structures; and the encouragement of the permissive use of new proven materials, techniques, and methods of construction.

DIVISION OF TECHNICAL STANDARDS

The Division of Technical Standards, headed by an Assistant Commissioner for Technical Standards, shall advise the Commissioner on technical matters and operations; develop technical policies, standards, methods, and guides for the planning and execution of urban renewal projects; postreview Regional Office program actions and render technical assistance; and assist in developing and maintaining a high level of professional competence among technical personnel of the URA and Regional Offices.

The Division shall have the following Officers and Branches:

Chief Finance Officer

The Chief Finance Officer shall assist the Assistant Commissioner in the performance of functions relating to the procurement of funds by local public agencies planning and undertaking urban renewal projects, including Federal and non-Federal funds and non cash local grants-in-aid.

Chief Real Estate Officer

The Chief Real Estate Officer shall assist the Assistant Commissioner in the performance of functions relating to the acquisition of real property in urban renewal project areas, and to other technical real estate matters, such as appraisals, real estate taxes, and title services; and, as requested, shall provide technical assistance with respect to these matters for other URA programs.

Chief Urban Design Officer

The Chief Urban Design Officer shall assist the Assistant Commissioner in the performance of functions relating to the urban design aspects of urban renewal projects.

Project Planning and Engineering Branch

The Project Planning and Engineering Branch, headed by a Director, shall assist the Assistant Commissioner in the performance of functions relating to general neighborhood renewal planning, project planning, engineering and economic aspects of projects, and local zoning, subdivision, and other regulations relating to land usage.

Redevelopment Branch

The Redevelopment Branch, headed by a Director, shall assist the Assistant Commissioner in the performance of functions relating to the

disposal of real property in urban renewal project areas; the evaluation and stimulation of redeveloper activities, participation of financial interests, and encouragement of private low- and middle-income housing in project areas; and the provision of public facilities supporting urban renewal projects.

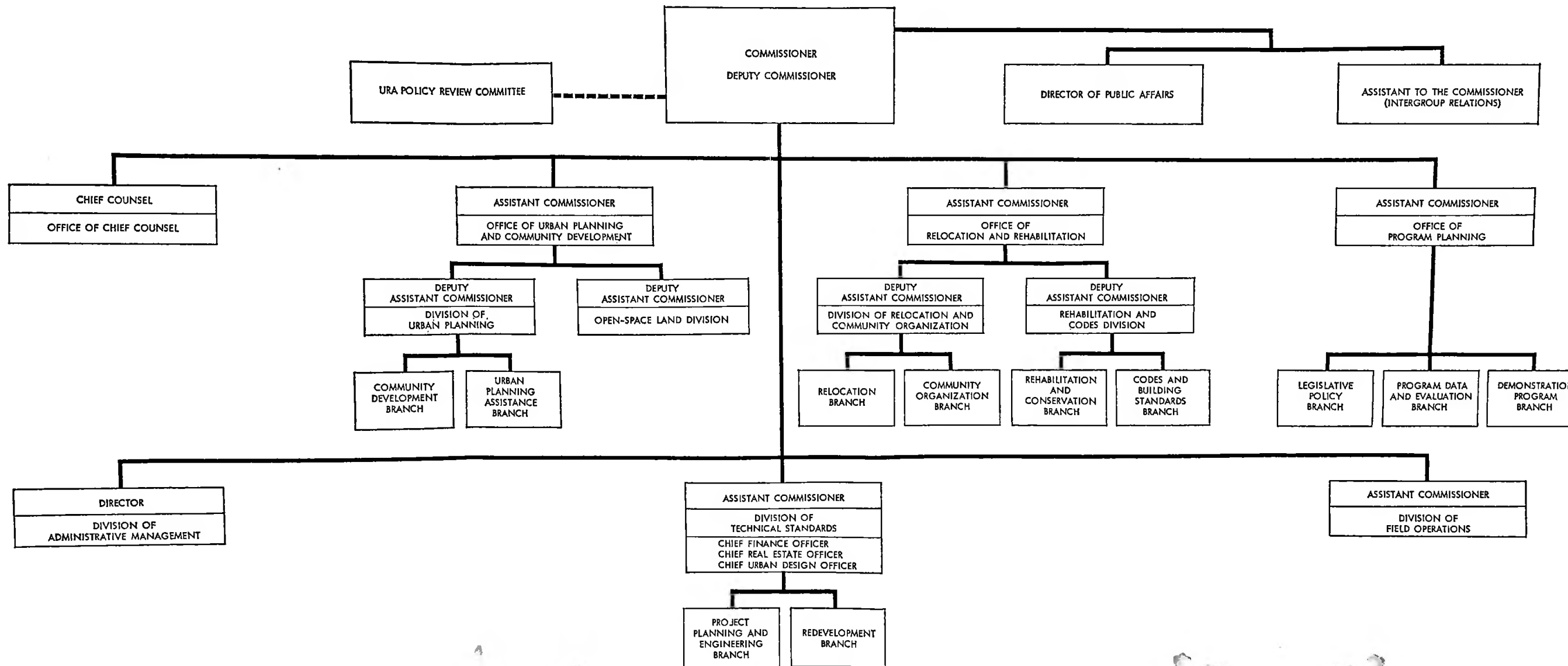
DIVISION OF FIELD OPERATIONS

The Division of Field Operations, headed by an Assistant Commissioner for Field Operations, shall maintain liaison with HHFA Regional Offices to assure integrated and effective program performance. It shall review Regional performance in terms of adherence to operations schedules and program goals, and recommend necessary corrective action. It shall review, coordinate, and expedite Regional program submissions and present recommendations for the Commissioner's action on these matters. It shall perform a continuing review of urban renewal field operations and keep the Commissioner and URA staff currently informed on field operations activities and problems. It shall advise Regional urban renewal staff in the application of URA policy and procedure in specific situations. It shall coordinate the provision of technical assistance to Regional Offices in matters involving program operations and specific operating problems. It shall review proposed policy and procedural issuances for conformance with operations objectives. It shall coordinate urban renewal operations with those of other HHFA constituents.

DIVISION OF ADMINISTRATIVE MANAGEMENT

The Division of Administrative Management, headed by a Director, shall analyze and make recommendations concerning HHFA organization for carrying out URA program responsibilities; conduct programs for development and continuing analysis of management methods and systems in the URA and HHFA Regional Office urban renewal units; develop and coordinate URA intern training programs; and prepare, clear, and maintain issuances of technical and administrative policies, standards, and procedures. It shall develop technical policies, standards, and methods for administrative practices of local agencies and expenditures control aspects of project activity; conduct post-reviews of audit findings and actions thereon; and provide technical advice and assistance to Regional Offices in matters involving fiscal management and eligibility of project costs. It shall formulate URA program and administrative budgets; administer URA budgetary operations functions; and render technical assistance to the Commissioner in connection with Bureau of the Budget and congressional action on these matters. It shall furnish advice and assistance on insurance requirements in connection with program operations. It shall coordinate personnel, travel, and office activities; and supervise mail, file, and document control activities. It shall be responsible for certain administrative functions related to defense planning activities. It shall maintain liaison with the OA and constituents on matters involving Division functions.

HOUSING AND HOME FINANCE AGENCY
URBAN RENEWAL ADMINISTRATION
ORGANIZATION CHART



Section 9

VOLUNTARY HOME MORTGAGE CREDIT PROGRAM

Title VI of the Housing Act of 1954 provides for a Voluntary Home Mortgage Credit Program to encourage and facilitate the flow of private funds for FHA-insured and VA-guaranteed home mortgage loans into areas and communities where there may be a shortage of local capital or inadequate institutional facilities. This assistance is available to minority groups in any area where financing for such housing is not available on terms as favorable as for others. Under the Act, the Housing and Home Finance Agency provides continuing-staff assistance, space, and related facilities.

The Housing and Home Finance Administrator furnishes staff assistance, space, and related facilities to the National Committee and regional subcommittees through the Federal National Mortgage Association under a reimbursable agreement. The members of the National Voluntary Home Mortgage Credit Extension Committee and the regional subcommittees are designated by the Administrator from private industry and serve on a voluntary basis.

ORGANIZATION

The program is operated by the National Voluntary Home Mortgage Credit Extension Committee and the regional subcommittees. These committees have no authority to make loans, but they are committed to assist applicants in placing insured and guaranteed loans with private financing institutions.

NATIONAL COMMITTEE

The National Committee is composed of the Housing and Home Finance Administrator as Chairman, and fourteen voting members appointed by him—two from each of the five major types of mortgage lending institutions, the builders of residential properties, and the real estate boards. There are also advisory members representing the Federal Reserve Board, the Veterans' Administration, the Federal Home Loan Bank Board, and the Federal Housing Administration.

Functions of National Committee

In general, the National Committee is responsible for direction and supervision of the program, and establishment of policies for its operation. It is required to study and review demand and supply of funds for residential mortgage loans in all parts of the country and to correlate

the activities of the regional subcommittees. The Administrator, as Chairman of the National Committee, is required to make an annual report to the Congress of the operations of the National Committee and the regional subcommittees.

In fulfillment of these required functions, the more specific duties of the National Committee and its staff are as follows:

- (1) Formulation of basic policies on the objectives and scope of the program, and guidance of the regional subcommittees in dealing with program problems.
- (2) Supervision of the operations of the regional subcommittees.
- (3) Formulation of the operating procedures for the regional subcommittees.
- (4) The preparation of standard forms (such as application forms and lender reporting forms) to be used in regional subcommittee operations.
- (5) The preparation of explanatory materials and publicity on the program.
- (6) The assembly, summarization, and analysis of statistical and analytical reports on progress under the program and on studies of the demand for and supply of residential mortgage funds in the various areas.
- (7) Consultation with representatives of trade associations and FHA and VA officials to facilitate the operation of the program.
- (8) The correlation of information obtained on intended participation in the program by individual lenders in specific areas with regard to specified types of loans; and use of the information in the organization and maintenance of rosters of lenders willing to participate under the program in specified areas, for the use of the regional subcommittees.

REGIONAL SUBCOMMITTEES

The regional subcommittees are the operating committees, referring applications to participating lending institutions in order to find private financing for the applicants.

Regional subcommittees include representatives of small, medium, and large enterprise, and of various geographical areas. The Chairman of each regional subcommittee is selected by its members.

The geographic jurisdiction of each regional subcommittee corresponds to the standard HHFA regional pattern prescribed in Section 1-10 of this Volume except that no regional subcommittee has been established in Region VII, and VHMCP activities for that region are carried out through the regional subcommittee in Region I. The headquarters of each regional subcommittee correspond to the standard FNMA Agency Office pattern, as prescribed in Section 1-10 of this Volume, with the Region I and Region II subcommittees having headquarters in the FNMA Agency Office in Philadelphia.

Staff Assistance

The Housing and Home Finance Administrator is authorized and directed, under the Housing Act of 1954, to provide the National Committee and the regional subcommittees with suitable office and meeting places and to furnish such staff assistance as may be reasonably necessary for purposes of assisting in the performance of the functions of the program.

Staff assistance to the National Committee is provided by the Federal National Mortgage Association.

Staff assistance to the regional subcommittees is provided by the FNMA Agency Office located in the jurisdiction of the subcommittee except that the Region I and Region II subcommittees receive such assistance from the FNMA Agency Office in Philadelphia. The FNMA Agency Offices are responsible for processing applications received, maintaining contacts with various participating industry groups, compiling statistical and analytical reports, arranging subcommittee meetings, preparing agenda for and minutes of such meetings, and providing members with information to assist them in the performance of their duties.

Section 10

HHFA REGIONAL PATTERN

Regional or field office activities of the HHFA shall be carried out through offices serving the geographic areas and located in the Regional headquarters cities indicated below. This Regional pattern shall be uniformly applied in the conduct of field activities of the Housing and Home Finance Agency, including each of its constituent agencies and each organizational unit of the Office of the Administrator. The geographic jurisdictions of the regional subcommittees of the National Voluntary Home Mortgage Credit Extension Committee also conform to this pattern except that no subcommittee has been established for Region VII, and VHMCP activities for that region are carried out by the regional subcommittee in Region I. The headquarters of these subcommittees correspond to the FNMA Agency Office pattern (see Section 1-6).

REGION HEADQUARTERS CITY	STATES IN JURISDICTION
I New York, New York	Connecticut, Maine, Massachusetts, New Hampshire, New York, Rhode Island, Vermont
II Philadelphia, Pennsylvania	Delaware, District of Columbia, Maryland, New Jersey, Pennsylvania, Virginia, West Virginia
III Atlanta, Georgia	Alabama, Florida, Georgia, Kentucky, Mississippi, North Carolina, South Carolina, Tennessee
IV Chicago, Illinois	Illinois, Indiana, Iowa, Michigan, Minnesota, Nebraska, North Dakota, Ohio, South Dakota, Wisconsin
V Fort Worth, Texas	Arkansas, Colorado, Kansas, Louisiana, Missouri, New Mexico, Oklahoma, Texas
VI San Francisco, California	Alaska, Arizona, California, Hawaii, Idaho, Montana, Nevada, Oregon, Utah, Washington, Wyoming, Guam
VII San Juan, Puerto Rico	Puerto Rico, Virgin Islands

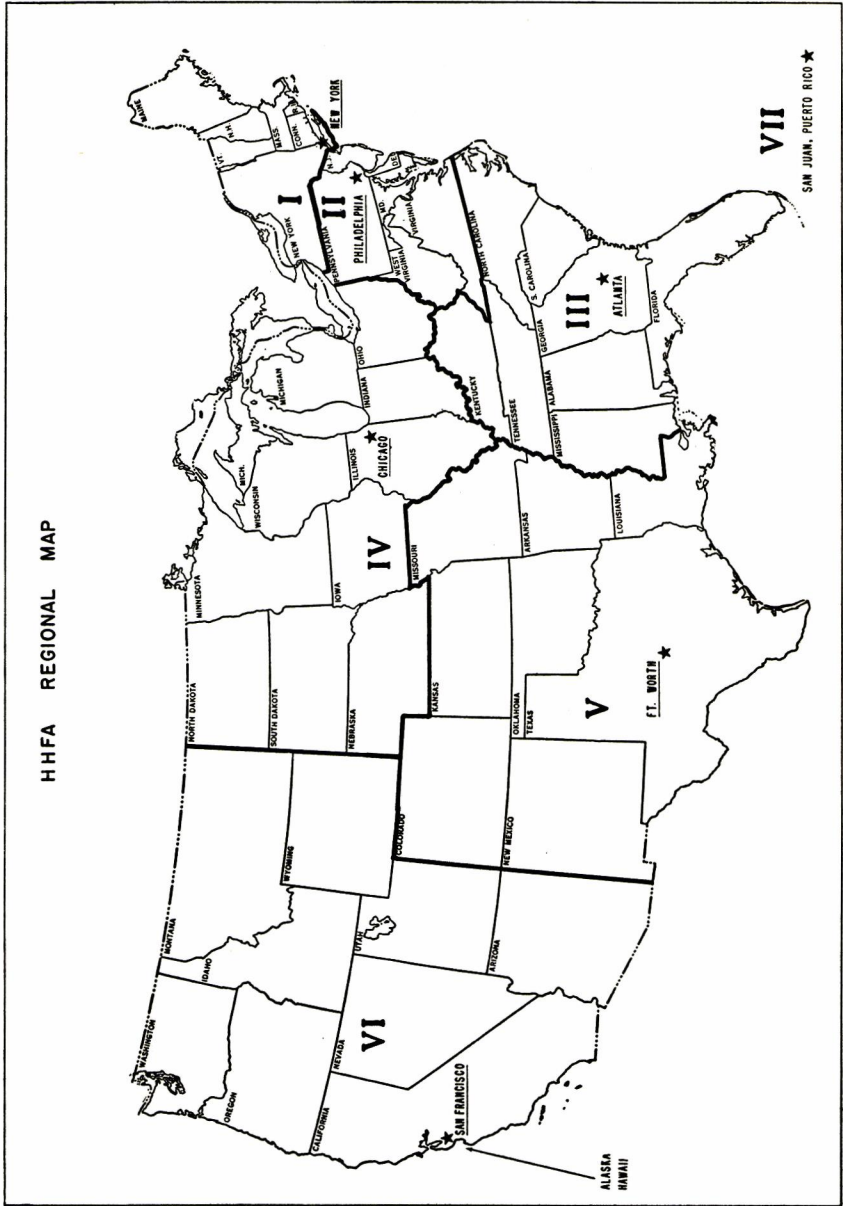
FNMA activities for all of the states included within the boundaries of Regions I, II and VII shall be conducted from the FNMA Agency

Office in Philadelphia, except for such activities as are carried out in the FNMA sales office in New York.

The standard Regional pattern does not preclude the establishment of such sub-offices (including FHA insuring offices) within the prescribed Regional boundaries as may be required by individual units of the Agency providing that the heads of such sub-offices report through the heads of Regional Offices provided for under the standard pattern.

Arrangements for adjustments to the standard Regional pattern shall be coordinated for the Administrator by the Assistant Administrator (Administration). The Assistant Administrator (Administration) shall work with the constituent agencies and the General Services Administration in securing necessary space in headquarters cities.

HHFA Regional Pattern



Section 11

ORGANIZATIONAL TERMS

The following terms shall be used in HHFA Manual issuances and in other internal administrative and program issuances except in such legal documents as delegations, redelegations, and designations in which other terms may be used.

Housing and Home Finance Agency

Office of the Administrator, Central Office, Regions and Field; the constituent agencies and units; and all field offices of any constituent agency or unit.

Agency

Housing and Home Finance Agency

HHFA

Housing and Home Finance Agency

Office of the Administrator

Central Office organizational units described in Section 1-2 of this Volume.

Office of the Administrator, Central Office, Regions and Field

Office of the Administrator, HHFA Regional Offices, and all duty stations in the field reporting to the Office of the Administrator.

HHFA Regional Offices

The seven Regional Offices headed by Regional Administrators as described in Section 2-2-1 of this Volume.

Constituents

Constituent agencies and units of HHFA: Public Housing Administration (PHA); Federal Housing Administration (FHA); Federal National Mortgage Association (FNMA); Community Facilities Administration (CFA); and Urban Renewal Administration (URA).

Constituent Agencies

PHA, FHA and FNMA

Constituent Units

CFA and URA

Heads of Constituents

The Commissioners of PHA, FHA, CFA and URA and the President of FNMA.

Heads of Constituent Agencies

The Commissioners of PHA and FHA and the President of FNMA.

Heads of Constituent Units

The Commissioners of CFA and URA.



Section 1

IMMEDIATE OFFICE OF THE ADMINISTRATOR

The Administrator is the principal spokesman on housing matters for the Executive Branch of the Government, responsible for developing, presenting, and interpreting the legislative program for the Administration, advising the President and the Congress, and informing the public. He is responsible for general supervision and coordination of the constituents of the Housing and Home Finance Agency, and for assuring the administration of the Agency's programs in a manner consistent with Administration housing policies and the intent of the Congress, and in consonance with the broad economic and fiscal policies and programs of the Government.

The Deputy Administrator assists the Administrator in the general supervision and coordination of the functions of the constituents of the Agency, and in the direction and supervision of the functions and activities of the Office of the Administrator. He also acts for the Administrator in his absence, and in such matters as from time to time the Administrator may indicate.

The immediate office of the Administrator also includes the Assistant Administrator (Housing for Senior Citizens) the Assistant to the Administrator for Consumer and Community Group Relations, the Assistant to the Administrator for Intergroup Relations, and two Special Assistants to the Administrator.

Section 2

OFFICE OF GENERAL COUNSEL

The Office of General Counsel shall be headed by the General Counsel of the Housing and Home Finance Agency, who shall serve as the chief law officer of the Agency and report to the Administrator.

The Office of General Counsel shall provide the legal counsel and assistance required in the formulation and development of Agency policies and programs, in connection with the Administrator's responsibilities for Agency supervision and coordination, and in the handling of legal and Congressional liaison matters in the Office of the Administrator. It shall prepare or clear proposed Federal legislation affecting HHFA programs and activities and reports, statements, and other materials concerning such proposed or pending legislation or related executive actions; on local request and in consultation with the appropriate constituent unit, prepare or clear proposed State legislation for OA and constituent unit programs and activities, and advise and consult generally on State legislative activities of the Agency; prepare or clear public regulations of the Administrator or constituent units; prepare legal instruments, opinions, briefs, and comprehensive studies of basic legal problems in Agency programs and activities and formulation of Agency policy; provide legal advice and assistance on administrative operations of the Office of the Administrator and the constituent units; handle litigation having Agency-wide implications or involving programs and activities of the Office of the Administrator or the constituent units, and litigation involving personnel of the Office of the Administrator, constituent units, or HHFA Regional Offices, in an official capacity; after consulting with Regional Administrators, advise and make recommendations as to the quality of professional performance of legal activities and uniformity of Regional Office interpretation of laws and regulations; handle legal aspects of defense functions; provide legal services in connection with the programs administered by OA organization units; and represent the Administrator on litigation, legislation, and other legal matters.

An Associate General Counsel in the immediate Office of the General Counsel shall provide general assistance to the General Counsel, and serve as the immediate representative of the General Counsel on work of the office requiring attention at that level of the organization.

LEGISLATION DIVISION

The Legislation Division shall prepare or review all legislative proposals of the Agency; assist in developing Agency policy on legislative

proposals; represent the Agency in clearance of legislation within the Executive Branch; assist Congressional committees handling proposed legislation; prepare reports of Agency views on pending or proposed legislation affecting Agency programs, including coordinating and resolving differences in views of various units of HHFA; review initial Agency policies and regulations implementing recently enacted legislation; prepare or review interpretations of statutes, particularly where affected by recent enactments; prepare or review proposed State legislation for the Office of the Administrator and constituent unit programs and advise and consult on State legislative activities of the Agency; examine, digest and follow action on pending State legislation for use by interested parts of the Agency; and provide a central legislative reference service for the Office of the Administrator and the constituents covering Congressional and executive action of major interest to the Agency.

OPERATIONS DIVISION

The Operations Division shall prepare legal opinions, briefs, and comprehensive studies with respect to basic legal problems in Agency programs and activities and the formulation of Agency policy; provide legal services required in the performance of the administrative operations of the Office of the Administrator and constituent units; handle litigation having Agency-wide implications or involving programs and activities of the Office of the Administrator or constituent units or their personnel; provide legal services in connection with programs administered by organization units of the Office of the Administrator, and in connection with the Administrator's responsibilities for Agency supervision and coordination and the administration of the executive order on equal opportunity in housing; provide legal services in connection with special problems or new activities; handle the legal aspects of defense functions for the Office of the Administrator and constituent units; and carry out special assignments made by the General Counsel.

Legal Opinions and Administrative Law Branch

The Legal Opinions and Administrative Law Branch shall prepare legal opinions and briefs with respect to basic legal problems in Agency programs and activities and the formulation of Agency policy; conduct comprehensive studies and prepare digests, charts, and summaries from statutes, decisions, and other pertinent materials that relate to various aspects of Agency interest, such as housing finance, construction and appraisals, eminent domain, land use, community planning, zoning, subdivision control, urban renewal and urban planning.

The Branch shall also prepare or assist in preparing reports concerning proposed executive or legislative action involving administrative operations of the Agency; prepare or clear public regulations of the Administrator or constituent units, and delegations of authority, administrative orders, and legal instruments required in administrative operations of the Office of the Administrator and the constituent units;

furnish legal advice and assistance on problems relating to administrative management and operations of the Office of the Administrator and constituent units, including legal advice and assistance on problems involving appropriations; maintain liaison with the legal staffs of other Federal agencies having supervisory or regulatory responsibilities for Federal administrative activities; and provide technical guidance in the maintenance of the OA law library.

Litigation Branch

The Litigation Branch shall handle litigation having Agency-wide implications; litigation, claims and mortgage foreclosures involving programs and activities of the Office of the Administrator or the constituent units; and litigation involving personnel of the Office of the Administrator, constituent units, or HHFA Regional Offices in an official capacity. The Branch shall prepare pleadings and other documents, and maintain liaison with the Department of Justice on such litigation.

Special Programs Branch

The Special Programs Branch shall provide legal services in connection with programs assigned to Office of the Administrator organization units for administration; furnish legal advice and services in connection with the Administrator's responsibilities for the supervision and coordination of the Agency; provide legal advice and services required in the administration of the executive orders on equal opportunity in housing and in employment; handle the legal aspects of defense functions for the Office of the Administrator and the constituent units (including defense mobilization and civil defense); provide legal services in connection with special problems or new activities not falling within the assigned functions of other organization units in the Office of General Counsel; and carry out such special assignments as may be made by the Director of the Operations Division.

The Branch shall also review and consult with Regional Administrators on the professional performance of legal activities in the HHFA Regional Offices and the uniformity of Regional Office interpretation of laws and regulations, and make recommendations to effect improvements or correction of deficiencies.

CONGRESSIONAL LIAISON OFFICER

The Congressional Liaison Officer shall be directly responsible to the General Counsel for (1) providing service to Members of Congress with regard to OA, CFA, and URA programs and responsibilities, including answering requests for information from Members of Congress and keeping them informed of program and legislative plans and actions in which they have an interest; (2) keeping Agency staff informed of Congressional interests and actions affecting HHFA responsibilities; (3) coordinating the Congressional relations activities of the constituent agencies to avoid overlapping effort and assure consistency; and (4)

assisting the General Counsel in coordinating the legislative and other activities of the Office of General Counsel which involve Congressional relations. A correspondence unit in the Office of the Congressional Liaison Officer shall prepare replies to inquiries referred to the Administrator by the White House and general inquiries addressed to the Administrator, as well as replies to inquiries referred by Members of Congress.

Section 3

OFFICE OF PROGRAM POLICY

The office of Program Policy shall be headed by the Assistant Administrator (Program Policy), who shall report to the Administrator. The Assistant Administrator (Program Policy) shall serve as the principal staff adviser to the Administrator in the area of program formulation. In collaboration with the General Counsel, he shall submit substantive legislative recommendations to the Administrator. He shall supervise the activities of the Office of Program Policy, having the following components:

STATISTICAL REPORTS STAFF

The Statistical Reports Staff shall assemble and develop operating statistics for Agency use and publication; design methods for improving and collecting needed data; develop the Agency's requirements for Census data; and coordinate preparation of the HHFA Annual Report.

DEFENSE PLANNING STAFF

The Defense Planning Staff shall develop and coordinate mobilization and defense plans and other activities necessary to carry out functions delegated to the Agency by the Office of Civil and Defense Mobilization.

DIVISION OF PROGRAM EVALUATION

The Division of Program Evaluation shall develop criteria for evaluating, and evaluate, the effectiveness of HHFA programs in accomplishing national policy objectives and goals; and develop recommendations for improving program effectiveness in meeting these objectives and goals.

DIVISION OF HOUSING ANALYSIS

The Division of Housing Analysis shall direct comprehensive national studies and analyses of developments, trends, and problems in the areas of housing markets and needs and the capital and mortgage market, for the purpose of increasing knowledge in these areas and assisting the Assistant Administrator (Program Policy) in policy formation. It shall develop economic and financial background for HHFA budget assumptions and advise on matters of national economic policy as it affects or is affected by Agency activities. The Division shall have the following Branches:

Housing Market and Needs Branch

The Housing Market and Needs Branch shall make comprehensive studies of housing market information and data to determine current and predictable housing needs, demand, and supply; and identify needs for additional or improved data which will improve understanding of the housing market.

Capital and Mortgage Market Branch

The Capital and Mortgage Market Branch shall make comprehensive studies of the capital and mortgage markets; and develop information and data on the availability, flow, and use of funds for housing, mortgage market trends, and proposals for new or improved methods of financing housing construction and home ownership. It shall develop the economic and financial background for HHFA budget assumptions. It shall study and advise on the interaction of policy, objectives, and trends in the areas of Agency interest with national economic, fiscal, and monetary policies, objectives, and trends.

DIVISION OF URBAN STUDIES

The Division of Urban Studies shall direct comprehensive national studies and analyses of developments, trends, and problems in the areas of urban planning, urban economics, and public finance for the purpose of increasing knowledge in these areas and assisting the Assistant Administrator (Program Policy) in policy formulation. Specialists in the office of the Director shall serve as advisers on human aspects of community planning and development, including patterns of population change, neighborhood structure, family adjustment, and related matters, and on the relationships between governmental agencies at the same and different levels as they affect urban problems. The Division shall have the following Branches:

Urban Planning Branch

The Urban Planning Branch shall make comprehensive studies relating to urban economics and the physical form and arrangement of urban areas, including land use patterns, urban design, population growth and distribution, commercial and industrial development, and the provision of community facilities and open space and land reserves.

Public Finance Branch

The Public Finance Branch shall make comprehensive studies of the fiscal base of State and local governments, including revenue sources, debt limitations, and the effects of various development patterns on revenues and expenditures; and study the role of Federal programs pertaining to urban development and housing in supplementing other revenue sources and in strengthening the local economic base.

DIVISION OF PUBLIC IMPROVEMENTS AND URBAN TRANSPORTATION STUDIES

The Division of Public Improvements and Urban Transportation Studies shall make comprehensive national studies and analyses of the needs for and the means of providing public improvements and transportation services in urban areas, including the relationship between land use, comprehensive community planning, and the development of capital improvement programs, the economic aspects of financing and operating essential public facilities, and urban transportation economics and technology. It shall participate in the development of transportation policy as it relates to or affects urban areas.

DIVISION OF RESEARCH

The Division of Research shall develop information relating to public and private research activities and facilities in economic, social, and technological areas related to urban and housing problems; identify needs for additional research in these areas and recommend means of accomplishing needed research; and coordinate generally research activities within the Agency and administer designated research contracts.

Section 4

OFFICE OF PUBLIC AFFAIRS

The Office of Public Affairs shall be headed by the Assistant Administrator (Public Affairs), who shall report to the Administrator and serve as the principal adviser to the Administrator and his staff on the public affairs and information policies and activities of the Agency.

The Assistant Administrator (Public Affairs) shall work with the heads and other key officials of the constituents to achieve a uniform and harmonious presentation of the problems of the Federal Government in relation to the programs and activities of the Agency.

The Assistant Administrator (Public Affairs) shall direct the activities of the Division of Information and the Division of Graphics and Visual Aids.

DIVISION OF INFORMATION

The Division of Information shall provide a central point of information and referral for the public on housing activities of the Government generally, on Agency-wide policies and activities, and on policies and activities of the Office of the Administrator and the constituent units. The Division shall coordinate constituent agency releases on informational material of general Agency concern; and shall provide information services to the Administrator and the staff of the Office of the Administrator. The Division shall also provide the information services or assistance, as needed, to the constituent units and the Voluntary Home Mortgage Credit Program.

DIVISION OF GRAPHICS AND VISUAL AIDS

The Division of Graphics and Visual Aids shall provide a central point of creative service, consultation, design, and production for visual and audio-visual media used to interpret programs, policies, and concepts of the Agency for internal use and public presentation. The Division shall provide liaison and coordination on visual presentations of Agency-wide concern, within the HHFA, with other government bodies, and with private organizations and officials in the housing field. It shall review visual presentations for adequacy of design, format, and appearance; prepare, adapt, and edit copy for visual presentations; and monitor the production of visual materials procured by outside contract and from other sources. The Division shall also provide photographic coverage of Agency activities and serve as a central point of visual and photographic documentation.

Section 5

OFFICE OF INTERNATIONAL HOUSING

The Office of International Housing is headed by an Assistant Administrator who shall serve as the principal staff advisor to the Administrator in the field of international housing and urban development. The responsibilities and functions of the Office are based on Section 604 of the Housing Act of 1957¹ and the AID-HHFA Inter-Agency Agreement dated July 12, 1962.² In carrying out the responsibilities of OIH, the Assistant Administrator or his designee shall serve as the Administrator's representative with government departments and independent agencies and through the Department of State, with international organizations. Working relationships with the Agency for International Development under the Inter-Agency Agreement state that OIH shall provide broad technical support and guidance to AID missions in developing and carrying out overseas programs in housing and urban development. OIH shall serve as Secretariat for the Advisory Committee to AID on Housing and Urban Development.

The Office shall advise the Department of State of the coordinated HHFA position on policy questions in the field of housing and urban development in the conduct of foreign affairs, including the drafting of positions on housing matters to be taken by the U. S. delegates to international meetings and representing the HHFA on inter-governmental committees for the development of U. S. foreign policy. It shall maintain liaison with other government agencies having activities in or an impact on international housing and urban development.

Through the Department of State, the Office shall work with international organizations in all programs related to housing and urban development and shall maintain liaison with non-governmental international organizations for the same purposes. It shall recommend officials of government and private industry to serve on delegations to international conferences and to serve as advisers and consultants to developing countries.

The Office shall exchange information relating to housing and urban development with other nations; make this information available to other U. S. governmental agencies and industries; develop training and orientation programs for foreign visitors to the U. S.; and brief HHFA employees and other persons when required.

In carrying out its international responsibilities and technical assistance functions, the OIH shall draw upon all the available resources and all constituents and other organizational elements of the HHFA.

¹ See Volume I, Section 30-3.1.

² See Volume I, Section 30-3.3.

The OIH shall consist of the following:

DIVISION OF EDUCATIONAL SERVICES

The Division shall develop training programs for foreign individuals and groups visiting the U. S. under the sponsorship of U. S. and foreign governmental agencies, international organizations and private organizations.

The Division, working with these agencies and organizations and in collaboration with private enterprise and educational institutions, shall organize and arrange for persons or groups concerned with housing to attend educational institutions and to participate in training programs in the U. S. or abroad.

The Division shall arrange briefings for HHFA employees and others who have been appointed to serve either individually or as members of country housing teams on overseas assignments. It shall assist governmental and private organizations and U. S. missions in appropriate training of their staffs concerned with international housing and urban development experience. It shall assist U. S. businessmen and others by providing foreign contacts.

The Division shall prepare and distribute publications and information on housing and related matters, arranging for any necessary translation of such materials, to interested organizations concerned with international housing and urban development experience.

The Division shall provide current information on housing and urban development programs in less developed countries to designated cadres of specialists. Such cadres are available to international organizations and the U. S. Government to serve in technical assistance programs.

It draws on all available resources and organizational elements of the HHFA in order to achieve sound results and maximize the benefits of its program to both foreign nationals and the over-all U. S. foreign assistance effort and in order to obtain the maximum benefits of foreign information and experience for domestic housing and urban development programs.

DIVISION OF ECONOMIC SERVICES

The Division shall provide economic and other social-science services to U. S. government agencies, private institutions and to international organizations engaged in overseas housing and urban development programs particularly in less-industrialized nations. The Division shall: collaborate with the appropriate U. S. agencies in the formulation of basic economic and social policies with respect to housing and urban development; participate in developing procedures and criteria governing the application of these policies; and review present assistance and loan programs involving these policy questions in the housing and urban development field at the request of AID.

The Division shall also: keep HHFA, other government agencies and private industry informed of useful economic and social developments; evaluate world-wide economic and social aspects of housing and urban

development; make recommendations as to their usefulness in developing countries; formulate and recommend research programs in appropriate fields; conduct studies as authorized; and supervise research contracts.

The Division shall prepare, upon request, publications, studies, manuals, and other materials dealing with economic and social subjects for U. S. agencies and industry and international organizations. The Division shall prepare, for the Department of State, drafts of documents concerning economic and social matters related to housing and urbanization required in the conduct of foreign affairs and at international meetings. These documents and studies shall, whenever possible, be developed by existing staff of the HHFA. Where special skills, knowledge and experience, not found in the HHFA are required, the Division may arrange for such studies to be conducted by private institutions or consultants after review by the HHFA Coordinating Board for Research, Study, and Demonstration Activities.

DIVISION OF TECHNOLOGICAL SERVICES

The Division shall provide technological services to U. S. government agencies, private institutions and to international organizations engaged in overseas housing and urban development programs, with emphasis on the less-industrialized nations. The Division shall: collaborate with governmental agencies in the formulation of basic technological policies with respect to housing and urban development; participate in developing procedures and criteria governing the application of these policies; and review present or proposed assistance and loan programs involving technological policy questions in the housing and urban development field at the request of AID.

The Division shall keep HHFA, other government agencies and private industry informed of useful technological developments; evaluate worldwide technological aspects of housing and urban development; and make recommendations as to their usefulness in developing countries.

The Division shall: prepare technical publications, studies and manuals for use in developing countries and for use as training aids; issue a catalogue of international projects; formulate and recommend research programs in appropriate fields; conduct studies as authorized; and supervise research contracts.

The Division shall prepare for the Department of State, drafts of documents concerning technological matters related to housing and urbanization required in the conduct of foreign affairs and at international meetings. These documents and studies shall whenever possible be developed by existing staff of the HHFA. Where special skills, knowledge and experience, not found in the HHFA, are required, the Division may arrange for such studies to be conducted by private institutions or consultants after review by the HHFA Coordinating Board for Research, Study, and Demonstration Activities.

The Director of the Division shall represent the HHFA on the U. S. Committee for the International Council for Building Research Studies and Documentation.

Section 6

OFFICE OF ADMINISTRATION

The Office of Administration shall be headed by the Assistant Administrator (Administration), who shall report to the Administrator.

The Office of Administration shall develop administrative management policies, programs, and procedures for Agency-wide application; provide general supervision and coordination of budgetary, accounting, personnel, organization, and general services policies and activities in the Agency; and provide general administrative services and facilities for the Office of the Administrator and the constituent units.

The Assistant Administrator (Administration) shall supervise and direct the activities of the Divisions of Budget and Management, Personnel, Finance and Accounts, and General Services, each of which shall be headed by a Director.

DIVISION OF BUDGET AND MANAGEMENT

The Division of Budget and Management shall assist the Administrator and Deputy Administrator in the formulation and execution of the Agency's budget and management programs; analyze and report on factors affecting Agency program performance and costs; and analyze financial trends and aspects of Agency operations. It shall develop budget and management policies, standards, and procedures; participate in the development and review of legislative proposals affecting Agency functions and programs; and provide a principal point of contact with respect to budget and management functions with the Bureau of the Budget, other executive departments and agencies, and Congressional Committees.

For the Office of the Administrator and the constituent units, the Division shall administer the budget program; review and evaluate organizational structure and program and administrative policies, operations, and procedures; and provide a general point for coordination and control of policy and procedural releases.

DIVISION OF PERSONNEL

The Division of Personnel shall provide advice and assistance on the conduct of the personnel management function in the Agency; report on the effectiveness with which Agency personnel programs are being carried on and make suggestions or recommendations with a view to increased effectiveness; represent the Agency in relationships with

the Civil Service Commission; and serve as a central point of information and referral within the Agency on personnel matters.

For the Office of the Administrator and the constituent units, the Division shall provide personnel services; assist officials in exercising their personnel management responsibilities by providing advice on such matters as staffing, training, supervisory relationships, and other personnel management implications of administrative and program operations, and provide assistance through the maintenance of central services concerned with position classification, recruitment, training, employee services and related personnel activities. In collaboration with officials and employees, the Division shall develop personnel policies and periodically evaluate the effectiveness of these policies and of personnel management activities within the various offices. The Division shall have primary responsibility for operation within the OA of the Federal Employees Group Life Insurance Program.

DIVISION OF FINANCE AND ACCOUNTS

The Division of Finance and Accounts shall be responsible for the development and administration of accounting systems and reports for the Office of the Administrator and constituent unit programs and activities. It shall provide staff supervision over accounting activities in the field; and shall maintain liaison on accounting and fiscal operating matters with other Federal agencies.

The Director of the Division of Finance and Accounts shall serve as Agency Retirement Officer and Agency Insurance Officer, for the preparation of reports and performance of related functions required under Civil Service Commission regulations, in connection with the Civil Service Retirement System and the Federal Employees Group Life Insurance Program. He shall also serve as the Agency's principal point of contact and liaison with the Department of the Treasury with regard to the determination of interest rates by the Administrator, as spelled out in Section 4-1-1 of this volume.

DIVISION OF GENERAL SERVICES

The Division of General Services shall develop policies, standards, and procedures relating to the general administrative services program and the utilization of administrative real and personal property of the Government under the control of the Agency. It shall provide advice and assistance to administrative officials in regard to contractual agreements, records management, library, travel, property supply and control, space management, and printing.

The Division shall advise with and support the constituent agencies in their services programs to assure Agency coordination of interpretation and action under regulatory directives; and shall consolidate Agency reports for submission to control agencies. It shall maintain liaison with the General Services Administration, General Accounting Office, Bureau of the Budget, Executive Office of the President, and

the Post Office Department relative to the various phases of administrative services for the Office of the Administrator and constituents of the Agency; and shall provide Agency representation as a member of the Interdepartmental Motor Equipment Advisory Group.

The Division shall develop plans and procedures to provide an effective Agency relocation program for on-site communications, security, and logistics; and, on relocation matters, shall maintain liaison with the National Security Agency and the Office of Civil and Defense Mobilization.

Section 7

COMPLIANCE DIVISION

The Compliance Division, headed by a Director reporting directly to the Administrator, shall be responsible for the conduct of inspections and preparation of reports as to the facilities within the Agency designed to assure integrity and effectiveness of operations and activities; and for the conduct of investigations and preparation of reports with respect to possible violations of law and regulations and irregularities in the programs or activities of all constituents of the Agency.

OFFICE OF THE DIRECTOR

The Office of the Director shall formulate overall compliance policies; supervise and direct the Agency compliance program; determine the extent and scope of investigations and inspections; review investigation and inspection reports; prepare recommendations to the Administrator; prepare and submit, as the Administrator's designee, referrals to the Department of Justice or other Government agencies of matters involving possible criminality or the need for other action; have responsibility for establishment and maintenance of confidential files, including the integration therein of all investigative material in the constituent agencies and units; prepare periodic overall reports on compliance activities and findings; and maintain compliance liaison with other Government agencies.

Inspection Branch

The Inspection Branch shall be responsible for conducting inspections and reporting with respect to the inspection, quasi-investigative, and other facilities within the Housing and Home Finance Agency designed to assure integrity and effectiveness in the conduct of operations and performance of activities in accordance with established policy and procedures. Upon request of the Administrator, Deputy Administrator, or a constituent head to the Director of the Division, the Inspection Branch shall make special inspections of activities or offices of the Housing and Home Finance Agency.

Investigation Branch

The Investigation Branch shall be responsible for conducting investigations and reporting with respect to possible violations of laws or regulations and other irregularities in connection with Agency programs or activities, including such investigation of possible criminal violations as may be necessary for prompt administrative action or for referral to the Department of Justice or other Government agency. The Branch shall conduct investigations only on specific assignment of the Director of the Division, who shall make such assignments at the request of the Administrator, Deputy Administrator, General Counsel, HHFA, other officials authorized by the Administrator, heads of constituents, and constituent compliance officers designated by the heads of constituents.

Section 8

AUDIT DIVISION

The Audit Division shall be headed by a Director, who shall report to the Administrator.

The Audit Division shall develop audit policies and procedures and administer a program of comprehensive audits of programs and activities of the Office of the Administrator, the Urban Renewal Administration, the Community Facilities Administration, and the HHFA Regional Offices, including audits of local agencies and organizations participating in these programs.

An Administrative Section shall be responsible for providing administrative services to the Division.

The Assistant to the Director for Procedures shall develop audit policies and procedures for new programs and changes and improvements for existing programs; shall evaluate the effects on Agency audit practices of changes in legislation and in operating policies and procedures; shall review project and internal audit reports; and, when necessary, shall initiate improvements in existing scope and procedures pertaining to project and internal audits.

The Director shall supervise the operations of the following Branches and the Regional Audit Offices, Regions I through VI.

INTERNAL AUDIT BRANCH

The Internal Audit Branch shall plan and schedule the comprehensive internal audit program covering the activities of the OA, URA, CFA, and HHFA Regional Offices. This shall include the examination and review of policies, procedures, management controls, and administrative and operating practices. The Branch shall conduct audits and prepare reports on the internal audits of Central Office activities and, when necessary, HHFA Regional Offices; shall make at-site reviews of internal audits by Regional Audit Offices and review and issue audit reports on Regional activities; and shall evaluate replies to internal audit reports to keep top officials informed on actions taken by operating staffs. The Branch shall maintain liaison with representatives of the General Accounting Office and officials of the Central and Regional Offices with regard to the internal audit program.

PROJECT AUDIT BRANCH

The Project Audit Branch shall plan and coordinate comprehensive project audits and shall review the resulting audit reports on operating programs and activities administered by local agencies and organizations participating in OA, URA, and CFA programs; and shall provide assistance to participating agencies in the installation and maintenance of accounting systems. The Branch shall review and coordinate communications from OA officials and heads of HHFA constituents to the General Accounting Office in GAO audit inquiries and reports; shall maintain liaison with officials of the Central and Regional Offices with regard to the project audit program and the interpretation of findings in audit reports; and shall maintain liaison with audit branches of other Federal agencies having responsibilities for similar project audits.

REGIONAL AUDIT OFFICES

In accordance with policy directives issued by the Audit Division, Office of the Administrator, each Regional Audit Office shall plan, conduct, and prepare reports of internal audits of Regional Offices and project audits of operating programs and activities administered by local agencies and organizations participating in OA, URA, and CFA programs, sending these reports directly to the Director of the Audit Division, Central Office. Each Regional Audit Office shall provide assistance to participating agencies in the installation and maintenance of prescribed accounting systems and shall maintain liaison with officials of the Central and Regional Offices and field audit branches of other Federal Agencies having responsibilities for similar audit programs.

Section 9

COMMUNITY DISPOSITION STAFF

The Community Disposition Staff shall be headed by a Director, who shall report to the Administrator.

The Community Disposition Staff shall be responsible for (a) the sale of Government-owned property at Richland, Washington, and Los Alamos, New Mexico;¹ (b) the management, servicing, and liquidation of Government-owned mortgages resulting from the sale of Government property at Oak Ridge, Tennessee;¹ and (c) the management and liquidation of emergency housing properties.²

The Director of the Community Disposition Staff shall formulate policies and procedures for the community disposition program; coordinate Agency activities with those of other Federal agencies having responsibilities in the sales program; and maintain contact with financial institutions to promote the financing of sales and the liquidation of the mortgages acquired by the Agency in the sale of these properties.

There shall be a Community Disposition Field Office, headed by the Field Director (Community Disposition), who shall report to the Director. This office shall be established at Richland, Washington, through June 30, 1963, and at Los Alamos, New Mexico, on and after July 1, 1963.

Operations under the community disposition program at Richland and Los Alamos shall be carried out through the Field Office. All other operations shall be carried out through the Central Office.

¹ Pursuant to the Atomic Energy Community Act of 1955, as amended; Executive Order 10657, as amended; and the Priorities Regulation of the Atomic Energy Commission (Part 130, as amended).

² Pursuant to the Lanham Act, as amended; and the Defense Housing and Community Facilities and Services Act of 1951, as amended.

Section 11

OFFICE OF TRANSPORTATION

The Office of Transportation shall be headed by an Assistant Administrator (Transportation), who shall report to the Administrator. The Deputy Assistant Administrator (Transportation) shall assist the Assistant Administrator and act for him in his absence.

RESPONSIBILITY

The Assistant Administrator (Transportation) shall advise the Administrator and his staff on matters relating to urban transportation and shall administer, in accordance with delegations of authority by the Administrator, the programs and activities assigned the Office of Transportation.

The Office of Transportation shall be responsible for :

(1) Administration of the program of financial assistance to public bodies in providing facilities and equipment for use in mass transportation service in urban areas pursuant to Section 3 of the Urban Mass Transportation Act of 1964.

(2) Administration of the program of mass transportation demonstration, research, and development projects pursuant to Section 6 of the Urban Mass Transportation Act of 1964.

(3) Administration and liquidation of the programs of mass transportation loans and demonstration grants authorized in the Housing Act of 1961.

(4) Liaison with the Department of Commerce with respect to general urban transportation policies and programs and proposed projects in urban areas, pursuant to Section 8 of the Urban Mass Transportation Act of 1964; the Department of Labor with respect to labor standards, pursuant to Section 10 of the Act; and the Department of Health, Education, and Welfare with respect to air pollution control, pursuant to Section 11 of the Act.

ORGANIZATION

The Office of Transportation shall include the Division of Financial Assistance, the Division of Demonstration Programs, and the Administrative Services Division. Legal services shall be provided by the Office of General Counsel.

Division of Financial Assistance

The Division of Financial Assistance, headed by a Director, shall be responsible for the administration of the capital grant and loan programs under Section 3 of the Urban Mass Transportation Act of 1964, including:

1. Development of policies, standards, and criteria with respect to the financial assistance programs.
2. Administrative and technical review of proposals and applications.
3. Supervision of approved projects to assure compliance with contract terms.
4. Evaluation of program performance and results.

Division of Demonstration Programs

The Division of Demonstration Programs, headed by a Director, shall be responsible for the administration of the demonstration, research, and development programs under Section 6 of the Urban Mass Transportation Act of 1964 and Section 303 of the Housing Act of 1961, including:

1. Development of policies, standards, and criteria with respect to such programs.
2. Development of a coordinated program of demonstration, research, and development activities.
3. Administrative and technical review of proposals and applications.
4. Supervision of approved projects to assure compliance with contract terms and technical assistance in the attainment of program objectives.
5. Execution of research projects being carried out by Office of Transportation staff.
6. Evaluation of program performance and results.

Administrative Services Division

The Administrative Services Division, headed by a Director, shall be responsible for:

1. Maintaining status controls on applications and approved projects.
2. Processing project approvals and budgets, contracts and other project documents, financial reports, fund requisition, audit reports, and project settlements.

3. Maintaining project records and statistics; preparing regular and special reports on program status and accomplishment.
4. Arranging for distribution of demonstration and research reports.
5. Providing internal administrative services and maintaining liaison with the Office of Administration in connection with the administrative services provided the Office of Transportation by that office.

Section 12

OFFICE OF COMMUNITY PROGRAMS

The Office of Community Programs shall be headed by the Assistant Administrator (Community Programs) who shall report to the Administrator, with operations carried out under the supervision of a Staff Director.

The Office of Community Programs shall be responsible for providing assistance to the Administrator in the administration of certain non-delegable and related retained functions of the Administrator, including (1) the determination that a community's Workable Program for Community Improvement meets the requirements of the law, (2) the certification to URA, PHA and FHA that the Federal aids for which a Workable Program is a prerequisite may be made available, (3) the determination that the relocation requirements of Section 105 (c) of Title I of the Housing Act of 1949, as amended, have been met, (4) the certification to the FHA of the eligibility of urban renewal projects under Section 220 of the National Housing Act, (5) the authorization to the PHA of the undertaking of contracts with local housing authorities for the planning and development of low-rent public housing projects, and (6) the coordination of Agency participation in natural disaster relief.

The Assistant Administrator (Community Programs) shall serve as the principal staff adviser to the Administrator on the functions assigned the Office, and shall consult with the Commissioners of the constituent agencies on such actions as may be required to facilitate and coordinate these Agency activities.

The Office shall have responsibility for formulating and recommending policies, guidelines, and operating procedures with respect to its functions, including the establishment of standards for certification and recertification of Workable Programs and of requirements for determining the feasibility of relocation pursuant to the provisions of Section 105(c), and evaluation of accomplishments and progress. It shall analyze recommendations on local agency submittals made to the Administrator by the Regional Administrators and constituent Commissioners; and shall work with the Regional Offices to achieve effective and consistent administration of the Workable Program for Community Improvement and urban renewal project relocation in accordance with overall Agency objectives and with prescribed levels of expected performance and accomplishment. It shall develop means for more effective communication of the purposes and objectives of the Workable Program and Agency relocation policy and shall be responsible for the preparation of such reports and analytical studies as may be necessary to keep the Administrator properly advised and to assist him in the exercise of his responsibilities.

Section 13

OFFICE OF METROPOLITAN DEVELOPMENT

The Office of Metropolitan Development, headed by the Assistant Administrator (Metropolitan Development), shall assist the Administrator in coordinating and furthering Agency programs and activities related to the planning and development of metropolitan areas. The Office shall be responsible for :

1. Development of Agency policy with respect to metropolitan areas.
2. Development, in consultation with the constituents concerned, of policies and criteria relating to the Agency's planning programs, to assure that HHFA-assisted planning conforms to overall policies with respect to metropolitan area development.
3. Development, in consultation with the constituents concerned, of criteria for determining the appropriate metropolitan area agencies to be dealt with in the execution of HHFA programs.
4. Systematic and continuing review of the adequacy of HHFA programs in metropolitan areas and of the conformance of constituent programs and activities to HHFA metropolitan development policies and criteria.
5. Advising HHFA constituents with respect to the conformance of their programs and activities to the metropolitan development policies of the Agency.
6. Participating in HHFA collaboration with other Federal agencies looking toward the establishment of common approaches to metropolitan area planning and development.

Relationships with the Office of Transportation

The Office of Transportation is responsible for the administration of transportation programs in accordance with delegations of authority by the Administrator.

The Office of Metropolitan Development shall :

1. Develop, in consultation with the Office of Transportation and the Urban Renewal Administration, policies and criteria relating to metropolitan planning and the determination of appropriate metropolitan area agencies as a basis for coordinating the transportation programs with overall metropolitan area planning and development programs and with the activities of other HHFA constituents and Federal agencies in the area.

2. Review the comprehensive plans of metropolitan areas, as a basis for the Administrator's determination that the comprehensive planning requirements of the transportation programs have been met.
3. Provide, upon request, technical assistance to the Office of Transportation on metropolitan area planning and development problems.

Relationships with the Urban Renewal Administration in the Open-Space Land Program

The Urban Renewal Administration is responsible for the administration of the open-space land program in accordance with delegations of authority by the Administrator.

To assure coordination with other metropolitan area activities, the Urban Renewal Administration shall consult with the Office of Metropolitan Development in the development of policies and criteria relating to metropolitan area planning, area-wide organization, and relationships with other Federal and local planning and development activities in such areas. The Urban Renewal Administration shall obtain the concurrence of the Administrator prior to the issuance of such policies and criteria.

The Office of Metropolitan Development shall collaborate with the Urban Renewal Administration in correlating open-space land activities with other metropolitan programs and with metropolitan agencies and shall, upon request, provide assistance to the Urban Renewal Administration on metropolitan area planning and development problems arising in the administration of the open-space land program.

Relationships with the Urban Renewal Administration in the Urban Planning Assistance Program

The Urban Renewal Administration and the Regional Administrators within their respective regions are responsible for the administration of the urban planning assistance program in accordance with delegations of authority by the Administrator.

To assure coordination with other metropolitan area activities, the Urban Renewal Administration shall consult with the Office of Metropolitan Development in the development of policies and criteria relating to those phases of the urban planning assistance program that pertain to metropolitan areas. The Urban Renewal Administration shall obtain the concurrence of the Administrator prior to the issuance of such policies and criteria.

The Urban Renewal Administration shall keep the Office of Metropolitan Development fully informed on planning activities affecting metropolitan areas.

The Office of Metropolitan Development shall, upon request, provide assistance to the Urban Renewal Administration on metropolitan area planning and development problems arising in the administration of the urban planning assistance program.

Relationships with all HHFA Constituents

The Office of Metropolitan Development is responsible for assisting the Administrator in coordinating Agency policies and activities in metropolitan areas and for providing assistance to such areas in their development programs. HHFA constituent units and agencies shall collaborate with the Office of Metropolitan Development towards this end.

Relationships with HHFA Regional Offices

Regional Administrators shall cooperate with the Office of Metropolitan Development to further HHFA and community objectives in metropolitan areas. The Office of Metropolitan Development shall provide assistance to the Regional Administrators in the latter's carrying out of this function.

Each Regional Administrator shall advise the Administrator of all applications under the urban planning assistance, open-space, community facilities, and other programs that relate to metropolitan areas and metropolitan development, whether such applications originate with metropolitan organizations, states, counties, municipalities, or other agencies.

Section 1

HHFA REGIONAL OFFICES

There shall be seven HHFA Regional Offices, the geographical jurisdictions of which shall conform to the standard HHFA Regional pattern set forth in Section 1-10 of this Volume.

Each Regional Office shall be headed by a Regional Administrator, who shall report directly to the Administrator.

The Regional Administrator shall serve as the representative of the Administrator in the Regional area and be responsible to him for coordinating Agency activities within that area. He shall consult with the heads of constituent agency field offices with respect to matters of major concern or significance to the agency or a community; facilitate the interchange of information among constituent agency staffs; evaluate and report on the overall progress of the national housing program in the Region; represent the Administrator in official and public relationships at the Regional level; and serve as the focal point within the Region for the interpretation of broad housing and community development policies.

The Regional Administrator shall direct the program, staff, and service operations assigned the Regional Office, including the execution of Community Facilities Administration and Urban Renewal Administration programs and the discharge of program responsibilities which the Administrator has not delegated to constituent agencies or units.

PROGRAM RELATIONSHIPS

In the execution of Community Facilities Administration and Urban Renewal Administration programs, the Regional Administrators will look to the Commissioners for leadership and guidance in carrying out program objectives. The Commissioners are responsible for establishing policies and procedures for the administration of the programs under their jurisdiction and for guiding Regional Office implementation of these policies and procedures to see that there is successful prosecution of the programs by the HHFA Regional Offices. The Regional Administrators are responsible for carrying out these activities within the framework of the program policies and decisions of the constituent unit commissioners, who are responsible to the Administrator for the successful administration of the programs assigned them.

Problems involving program operations of the Community Facilities Administration or the Urban Renewal Administration should be taken

up first with those constituents. Ordinarily they will not be presented to the Administrator until there has been full discussion with the Commissioner concerned and agreement that presentation to the Administrator is in order. This is not intended to preclude Regional Administrators presenting directly to the Administrator or his immediate staff, problems involving broad housing policy or Regional coordination of Agency activities.

REGIONAL OFFICE ORGANIZATION

Each Regional Office shall be organized in accordance with the standard organizational pattern shown in the chart following this Section.

Deputy Regional Administrator

The Deputy Regional Administrator shall generally assist the Regional Administrator in the performance of his functions and shall act for the Regional Administrator in his absence.

Special Assistant to the Regional Administrator (Community Programs)

The Special Assistant to the Regional Administrator (Community Programs) shall be responsible for directing and coordinating Workable Program for Community Improvement activities in the Regional Office to assure consistency in objectives and approach, and conformity with policy goals.

Assistant to the Regional Administrator (Intergroup Relations)

The Assistant to the Regional Administrator (Intergroup Relations) shall advise and assist the Regional Administrator and his key staff in coordinating, guiding, implementing, and evaluating basic policy, procedures, plans, and operations so as to maximize opportunities for minority groups to participate equally with all other population elements in the benefits of Agency programs and employment.

Community Requirements Division

The Community Requirements Division shall provide policy and technical advice on the economic phases of Regional Office program operations; review and evaluate the economic aspects of applications for assistance under programs assigned the Regional Office; assist in reviewing the relocation aspects of Workable Programs for Community Improvement, certifications of relocation needs, and relocation plans for urban renewal projects; assist in rendering advice to applicants on the economic considerations involved in planning and development; and

conduct, or participate with the constituent agencies in, locality surveys of housing market trends and related matters of economic significance to Agency programs.

Administrative Division

The Administrative Division shall provide administrative services to the Regional Office; maintain accounting and payroll records; provide personnel services; prepare Regional budget estimates and administer budget allotments; provide general services and facilities; prepare administrative reports; interpret administrative policy and procedures for Regional Office officials; evaluate organizational structure and devise methods and procedures for the improvement of Regional Office operations; and maintain liaison with the Civil Service Commission, General Services Administration and other control agencies relative to administrative operations.

The Division, under the Regional Director of Administration, shall consist of three branches: (1) Budget and Management Branch, (2) Accounting Branch, and (3) General Services Branch.

Legal Division

The Legal Division shall provide legal counsel and assistance in the formulation and administration of Regional Office policies and programs; review the legal aspects of applications for Federal assistance; prepare, and approve the legal aspects of, contracts and related documents in connection with advances, loans, and grants; review, and approve the legal aspects of, contracts, change orders, extensions of time, liquidated damage matters, and claims of contractors and materialmen; interpret Agency regulations; provide legal advice and assistance in connection with the acquisition of real property; prepare deeds, leases, bills of sale, and other agreements in connection with the disposition of Federal real and personal property; handle litigation involving the Regional Office or its personnel in their official capacities; prepare or review proposed State legislation relating to Agency programs and appear before State legislative committees considering such legislation; and maintain liaison with Federal, State, and local officials concerned with the legal aspects of Agency programs.

Community Facilities Division**Regional Director of Community Facilities**

The Regional Director of Community Facilities shall direct Regional Office activities with respect to Community Facilities Administration programs; serve as principal adviser to the Regional Administrator and the Community Facilities Commissioner in the development and operation of these programs within the Region; supervise program operations and evaluate regional performance in the execution of these programs; take or recommend final action on specific projects in accordance with program procedures and delegations; provide technical assistance to

communities and non-profit groups in the development of projects and loans; coordinate Division responsibilities with respect to civil defense, compliance, and fair employment matters; coordinate the handling of matters raised in Congressional and other special inquiries; maintain liaison with the Administrative Division on administrative management matters affecting CFA programs; and advise the Community Facilities Commissioner of policy and procedural instructions which are presenting problems.

Assistant to the Regional Director

The Assistant to the Regional Director of Community Facilities shall be responsible for general coordination and administrative management activities for the Community Facilities Division. He shall provide staff direction and staff assistance in the: development, evaluation, and revision of administrative policies and procedures; surveillance of the status of the operating budget; control of flow of project documents; establishment and maintenance of systems to assure orderly work accomplishment; the preparation of statistical and other reports on program operations; development of workload forecasts for use in relation to budget estimates and operating budgets; maintenance of liaison with the Regional Administrative Division on administrative management matters, including training programs, budget development and execution, personnel activities, etc.

Senior Citizens Housing Operations Branch

With respect to the Senior Citizens Housing Loan Program, the Senior Citizens Housing Operations Branch shall serve as a central point of information and referral for applicants; coordinate applications with other HHFA programs; determine eligibility of applicants and projects; initiate action to secure fund reservations; initiate necessary on-site evaluations and provide technical assistance to applicants; schedule and coordinate evaluation action by technical staffs; coordinate conferences and correspondence with applicants and their representatives; determine that all Regional processing actions have been completed and recommend action to be taken; coordinate project revisions; coordinate post-approval activities, including interim financing and bond closing; coordinate project completion activities, including arranging for and clearing project audits and preparing final project reports; prepare special reports on program operations; and advise the Regional Director of policy and procedural instructions which are presenting problems which should be brought to the attention of the Community Facilities Commissioner.

Public Facilities Operations Branch

With respect to the Public Facility Loans Program, the Program of Advances for Public Works Planning, the Area Redevelopment

Program, and the School Construction Program, the Public Facilities Operations Branch shall serve as a central point of information and referral for applicants; coordinate applications with other HHFA programs and, as appropriate, with other Federal agencies; make project and, as applicable, applicant eligibility determinations; initiate action to secure fund reservations; initiate necessary on-site evaluations and provide technical assistance to applicants; schedule and coordinate evaluation action by technical staffs; coordinate conferences and correspondence with applicants and their representatives; determine that all Regional processing actions have been completed and recommend action to be taken; initiate action on school construction projects for release of funds; coordinate project revisions; coordinate post-approval activities, including interim financing and bond closing and, with respect to the Program of Advances for Public Works Planning, plan abandonment, obsolescence, and collection activities; coordinate project completion activities, including arranging for and clearing project audits and preparing final project reports; prepare special reports on program operations; and advise the Regional Director of policy and procedural instructions which are presenting problems which should be brought to the attention of the Community Facilities Commissioner.

College Housing Operations Branch

With respect to the College Housing Program, the College Housing Operations Branch shall serve as a central point of information and referral for applicants; evaluate long-range housing plans of colleges; coordinate applications with other HHFA programs and, as appropriate, with other Federal agencies; determine the eligibility of applicants and projects; initiate action to secure fund reservations; initiate necessary on-site evaluations and provide technical assistance to applicants; schedule and coordinate evaluation action by technical staffs; coordinate conferences and correspondence with applicants and their representatives; determine that all Regional processing actions have been completed and recommend action to be taken; coordinate project revisions; coordinate post-approval activities, including interim financing and bond closing; coordinate project completion activities, including arranging for and clearing project audits and preparing final project reports; prepare special reports on program operations; and advise the Regional Director of policy and procedural instructions which are presenting problems which should be brought to the attention of the Community Facilities Commissioner.

Academic Facilities Operations Branch

With respect to the Academic Facilities Program, the Academic Facilities Operations Branch shall serve as a central point of information and referral; coordinate applications with other HHFA-administered programs; secure engineering evaluations of applications referred by the Office of Education; initiate necessary on-site evaluations; forward application reports and recommendations to CFA; initiate action

to establish contact with applicants upon referral by OE; maintain appropriate liaison with the Regional Representative of the Office of Education; provide technical assistance to applicants; coordinate conferences and correspondence with applicants and their representatives; determine that all Regional processing actions have been completed and recommend action to be taken; coordinate project revisions; coordinate post-approval activities, including interim financing and loan closing; coordinate project completion activities and prepare final project reports; prepare special reports on program operations; and advise the Regional Director of policy and procedural instructions which are presenting problems which should be brought to the attention of the Community Facilities Commissioner or through him to the attention of the Commissioner of Education.

Loan Management Branch

The Loan Management Branch shall participate in bond closing proceedings to explain to the borrower the requirements of the indenture and Agency loan management requirements, and to assure that marginal cases receive proper Regional Office attention; provide advice or make recommendations to borrowers regarding compliance and operations during loan period; evaluate project operations to assure compliance with requirements; evaluate and recommend the appropriate loan servicing group for each case; consult and advise with the borrowers when a case is about to become or is in default; coordinate the handling of substantive matters on problem cases; and advise the Regional Director of policy and procedural instructions which are presenting problems which should be brought to the attention of the Community Facilities Commissioner.

Finance Branch

The Finance Branch shall participate in conferences with applicants to discuss financial policy and requirements and the methods and feasibility of financing; evaluate the financial aspects of applications; identify problems involved and develop solutions to them or, where no applicable policies and procedures exist, recommend the action to be taken; develop financial terms and conditions; evaluate interim financing arrangements and provide technical guidance for applicants; review the financial aspects of various bond documents; participate in project completion and loan management activities; and advise the Regional Director of policy and procedural instructions which are presenting problems which should be brought to the attention of the Community Facilities Commissioner.

Engineering Branch

The Engineering Branch shall participate in conferences with applicants and their representatives to discuss engineering and architectural policy and requirements; evaluate the engineering and architectural

aspects of applications; develop special terms and conditions relating to engineering and architectural matters; review contract documents; determine that required State and local clearances have been obtained; maintain liaison with applicants and their representatives during the pre-construction and construction periods to assure compliance with requirements; participate in project completion activities; make site inspections; and advise the Regional Director of policy and procedural instructions which are presenting problems which should be brought to the attention of the Community Facilities Commissioner.

Project Planning and Review Section

The Project Planning and Review Section shall participate in conferences with applicants to discuss engineering and architectural policy and requirements; evaluate the engineering and architectural aspects of applications; identify problems involved and develop solutions for them, or, where no applicable policies and procedures exist, recommend the action to be taken; review proposed contract documents, including plans and specifications, to assure conformance with the approved project; determine that required State and local clearances have been obtained; determine that executed contract documents are satisfactory; and, on Federal projects, recommend the architect to be selected, inspect sites, and advise the architect on requirements.

Construction Management Section

The Construction Management Section shall serve, through the Field Engineers, as the local point of contact for CFA between community groups, prospective applicants, and applicants; provide technical advisory services to applicants; provide for the on-site inspection of project construction and equipment; ascertain that proper supervision is provided by applicants, engineers, architects, and contractors; evaluate and, where authority has been delegated, approve change orders; provide liaison with and instructions to applicants and their representatives to assure compliance with construction requirements; as required, evaluate sites, need for projects, and related matters; participate in project completion activities; and, as required, visit sites for loan management purposes.

Urban Renewal Division

Regional Director of Urban Renewal

The Regional Director of Urban Renewal shall direct Regional Office activities with respect to the Title I Urban Renewal Program, the Urban Planning Assistance Program, and the Open-Space Land Program; review local program submissions and take or recommend action on them; prepare reports on urban renewal program activities; review Workable Program for Community Improvement submissions and recommend action in connection with them; and render urban renewal service to localities.

Deputy Regional Director of Urban Renewal

The Deputy Regional Director of Urban Renewal shall provide general assistance to the Regional Director in carrying out urban renewal programs in the Regional Office; and shall act for the Regional Director in his absence.

Intergroup Relations Officer

The Intergroup Relations Officer shall assist the Regional Director and his staff in the intergroup relations aspects of urban renewal programs.

Assistant Regional Director for Special Programs

The Assistant Regional Director for Special Programs shall direct and coordinate Urban Planning Assistance Program, Open-Space Land Program, and Community Renewal Program activities, to assure consistency in objectives and conformity with policy goals.

Community Organization Officer

The Community Organization Officer shall assist the Regional Director and his staff in the community organization and citizen participation aspects of urban renewal programs.

Operations Branch

With respect to the planning and carrying out of Urban Renewal, Urban Planning Assistance, and Open-Space Land projects and activities, and for Workable Programs for Community Improvement, the Operations Branch shall provide liaison with Local Public Agencies and localities; schedule and coordinate visits of Field Representatives and Site Representatives and coordinate these with visits of technical staff; and perform local program evaluation, statistical, reporting, processing, and control activities.

Area Coordinators

Within the Operations Branch, Area Coordinators shall, within an assigned geographical area, supervise Field Representatives and Site Representatives and coordinate their activities.

Local Program Review and Evaluation Section *

The Local Program Review and Evaluation Section shall (1) through a Program Evaluation Unit, review, analyze, and evaluate Regional Office and local agency operations and performance; (2) through a Statistical Analysis and Reports Unit, assemble, record, analyze, and

* Implementation of this pattern in all Regions awaits the completion of necessary staffing arrangements.

report data concerning program submissions, the planning and carrying out of approved activities, and HHFA actions thereon; and (3) through a Processing and Control Unit, control and coordinate the flow of program documents and submissions, coordinate technical reviews, and prepare action documents for submission to the Regional Director.

Planning Branch

The Planning Branch shall provide assistance to local bodies on the planning aspects of local Workable Programs for Community Improvement and the planning and engineering aspects of urban renewal projects; review the planning and engineering aspects of program submissions, and make recommendations as to their technical feasibility and acceptability; and give technical advice to localities with regard to community planning.

Rehabilitation and Conservation Branch

The Rehabilitation and Conservation Branch shall coordinate Regional Office activities concerned with the rehabilitation of properties and the conservation of neighborhoods, including the review and evaluation of local project proposals involving rehabilitation and conservation; and review and advice on the adequacy of local codes and ordinances as aids to rehabilitation and conservation activities.

Real Estate Acquisition Branch

The Real Estate Acquisition Branch shall perform all technical real estate functions of the Regional Office in connection with the acquisition of real property for urban renewal projects; provide advice and assistance to Regional Office officials and to local bodies in land acquisition matters; and assist in expediting local acquisition programs.

Real Estate Disposition Branch

The Real Estate Disposition Branch shall perform all technical real estate functions of the Regional Office in connection with the disposition of real property for urban renewal projects; provide advice and assistance to Regional Office officials and to local bodies in land disposition matters; and assist in expediting local disposition programs.

Relocation Branch

The Relocation Branch shall provide advice and assistance to local bodies with respect to the development and execution of plans and the fulfillment of requirements concerned with the relocation of families displaced from urban renewal areas, the making of relocation payments pursuant to Section 106(f) of the Housing Act of 1949, as amended, and the management of acquired real property in project areas. It shall review local submissions and make recommendations with respect to their technical feasibility and acceptability.

Fiscal Management Branch

The Fiscal Management Branch shall coordinate the review of all project budgets and cost estimates and requests for budget revisions; review and evaluate administrative practices of Local Public Agencies; maintain surveillance of the financial position of projects by continuing review and analysis of financial reports and reports of physical progress; review and evaluate financial plans for projects and coordinate the review of all LPA requests for funds; review project audit reports and initiate corrective actions; prepare program budget estimates with respect to Regional requirements for loan and grant funds; and advise Regional Office staff with respect to financial aspects of project planning and execution, including availability of local grants-in-aid and general financial position of municipalities.

FIELD OFFICES

Offices and the headquarters of field employees reporting to Regional Offices are identified by the name of the City in which they are located—for example, *Richmond Office*—and are referred to collectively as *field offices*. Field offices may be established and abolished by Regional Administrators on the basis of local program requirements and within available budgetary and staffing limitations.

SEATTLE AREA OFFICE

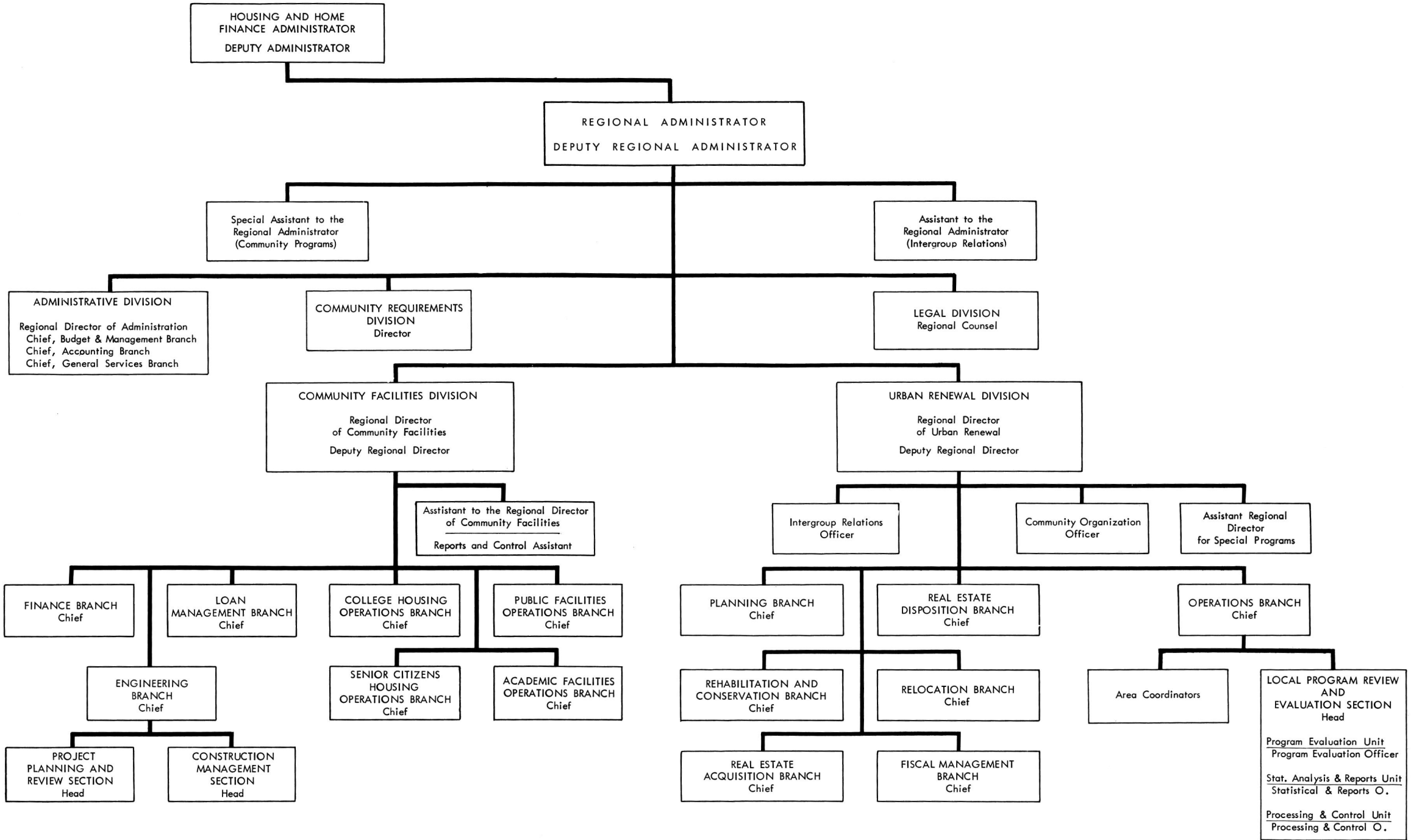
The Seattle Area Office shall be headed by the Director for Northwest Operations, Region VI.

The Director for Northwest Operations shall be responsible, under the general supervision of the Regional Administrator, Region VI, for the operations of the Community Facilities Administration programs in Alaska, Northwest Idaho,¹ Montana, Oregon, and Washington.

The Seattle Area Office shall follow the community facilities program procedures for Regional Offices, as prescribed in the Manual and Regional Circular series, and references to "Regional Office" and Regional officials and staff units contained therein shall be construed to mean the Director and his staff. Correspondence and inquiries concerning community facilities programs in the area served by the Seattle Office shall be sent direct to the Director for Northwest Operations.

The other responsibilities of the Seattle Area Office, including those for Agency supervision and coordination and the urban renewal programs, shall be prescribed by the Regional Administrator, Region VI, and administrative services for all Seattle Area Office operations shall be provided by the Regional Office at San Francisco.

¹ Counties of Adams, Benewah, Bonner, Boundary, Clearwater, Idaho, Kootenai, Latah, Lemhi, Lewis, Nez Perce, Shoshone, Valley and Washington.



Part 2. Organization of the Office of the Administrator**Chapter 2. OA Field Organization****Section 2****REGIONAL OFFICE ORGANIZATION**

Each Regional Office of the Office of the Administrator shall be headed by a Regional Representative who, within the functional framework established in Section 2-2-1 of Volume II of the OA Manual, shall have operating responsibility within his Region for all programs assigned to the OA Field Service. Each Regional Office shall contain the following principal organization units:

- Engineering Branch
- Community Requirements Branch
- Legal Branch
- Administration Branch

ENGINEERING BRANCH

The Engineering Branch, headed by a Regional Engineer and under the general functional direction of the Commissioner, Division of Community Facilities and Special Operations, shall: review the engineering aspects of the applications for Federal assistance under programs assigned to Regional Offices; review plans and specifications, the engineering aspects of professional service and construction contracts, and related construction documents, including change orders and requests for payment; provide appropriate supervision and inspection of construction and other developmental operations; and furnish technical advice to field staff.

COMMUNITY REQUIREMENTS BRANCH

The Community Requirements Branch, headed by a Regional Program Analyst, and under the general functional direction of the Assistant Administrator (Plans and Programs), shall: develop, maintain, and analyze data on local defense-related needs for housing (including college accommodations) and, in collaboration with the Engineering Branch, community facilities; conduct locality surveys in connection with critical area designations and subsequent programming action; maintain continuing liaison with public and private organizations concerned with local housing and related operations; advise local field staff as to the economic aspects of all Regional Office program operations; review and evaluate the economic aspects of applications for loans and grants under programs assigned to Regional Offices.

LEGAL BRANCH

The Legal Branch, headed by a Regional Counsel, shall provide the legal counsel and assistance required in the formulation and development of Regional Office policies and programs. The Branch, under the general functional direction of the General Counsel, shall handle all legal matters in connection with the programs and operations assigned to the

Region, including: review of the legal aspects of applications for Federal assistance; preparation and legal approval of contracts and related documents for and respecting advances, loans, and grants; legal review and approval of architectural and engineering contracts, construction contracts, change orders, extensions of time, liquidated damage matters, and claims of contractors and materialmen; interpretation of Agency regulations; legal advice and assistance in connection with the acquisition of real property; and preparation of deeds, leases, bills of sale, and other agreements in connection with the disposition of Federal real and personal property. In addition, the Branch shall handle litigation involving the Regional Office or its personnel in their official capacities; prepare or review proposed State legislation relating to Agency programs and appear before State legislative committees considering such legislation; and maintain liaison with Federal, State, and local officials concerned with the legal aspects of Agency programs.

ADMINISTRATION BRANCH

The Administration Branch, headed by a Regional Administrative Officer and under the general functional direction of the Assistant Administrator (Administration), shall provide a complete program of administrative services, including: maintaining the accounting and payroll records of the Region; providing complete personnel services; preparing regional budget estimates and administering budget allotments; providing general services and facilities such as the procurement and control of supplies, equipment and office space, maintaining property accountability records, and providing records management, travel, messenger, distribution, and related administrative services; preparing required administrative reports; interpreting administrative policy, and procedures for Regional Office officials; evaluating the organizational structure and devising methods and procedures for the improvement of regional office operations; and maintaining liaison with the Civil Service Commission, General Services Administration and other control agencies relative to administrative operations.

OTHER FUNCTIONS

For the time being, the organizational placement of the control, financial analysis, and Advance Planning liquidation functions in the regional offices will not be standardized on a national basis. It is recognized that wide variations exist in the several regional offices with respect to financial analysis and related workload and in arrangements for handling such activities as: loan review; development of financing plans; analysis of securities, evaluation of anticipated revenues, expenditures, and bond indebtedness; determination of the fiscal capacity of public and private applicants for federal assistance; servicing of approved loans; and Advance Planning liquidation operations. Accordingly, each Regional Representative shall be responsible for arriving at and advising the Central Office of the particular organizational or functional arrangements now in effect or to be adopted to facilitate the most effective handling of these activities within his Region.

Part 2. Organization of the Office of the Administrator**Chapter 3. FNMA Organization****Section 1****FEDERAL NATIONAL MORTGAGE ASSOCIATION**

The Federal National Mortgage Association, chartered on February 10, 1938, under Title III of the National Housing Act, as amended, provides a Government financed secondary market for the purchase and sale of certain FHA-insured and VA-guaranteed mortgages.

CAPITAL STOCK

The Housing and Home Finance Administrator on behalf of the United States is the sole stockholder of the Association. He is responsible for appointing the members of the Board of Directors from the officers and employees of the Housing and Home Finance Agency (including those of the constituent agencies of the Housing and Home Finance Agency), except that, as required by statute, one of the members of the Board is appointed by the Administrator of Veterans' Affairs from among the officers and employees of the Veterans Administration.

BOARD OF DIRECTORS

The Board of Directors, consisting of not less than five persons, determines general policies governing the management of the property and business of the Association in accordance with applicable laws. The Board of Directors appoints the principal officers of the Association.

CHAIRMAN OF THE BOARD

The Chairman presides at all meetings of the Board of Directors. He is responsible for general supervision over the business and affairs of the Association.

PRESIDENT

The President is chief executive officer of the Association. Subject to the general supervision of the Chairman and in consonance with general policies established by the Board of Directors, he carries out or directs the business and affairs of the Association.

GENERAL COUNSEL

The General Counsel is the principal consulting officer of the Association in all matters of legal significance or import. He is responsible for and directs all counsel, employees, attorneys, and agents in the performance of all legal duties and services for and on behalf of the Association.

CONTROLLER

The Controller is responsible for the maintenance of all accounting records of the Association, the preparation and interpretation of all

financial and statistical records and related reports, and the certification of vouchers for payment by the Treasurer.

SECRETARY-TREASURER

The Secretary-Treasurer attends and records all meetings of the Board of Directors, maintains official records, is custodian of the corporate seal, and is responsible for procurement and related matters. He is responsible for collecting, custody, and disbursement of funds and securities belonging or intrusted to the Association in the conduct of its business.

LOAN MANAGER

The Loan Manager is responsible for the supervision and direction of purchase, administration, and sale of all mortgages in the Association's portfolio, and for the disposition of security acquired through foreclosure or otherwise.

CHIEF AUDITOR

The Chief Auditor is responsible for the audit and verification of accounts and records of the Association and its contract servicers, and reporting of deviations from compliance with Association policies and rules and other applicable general or specific statutes and standards.

BUDGET OFFICER

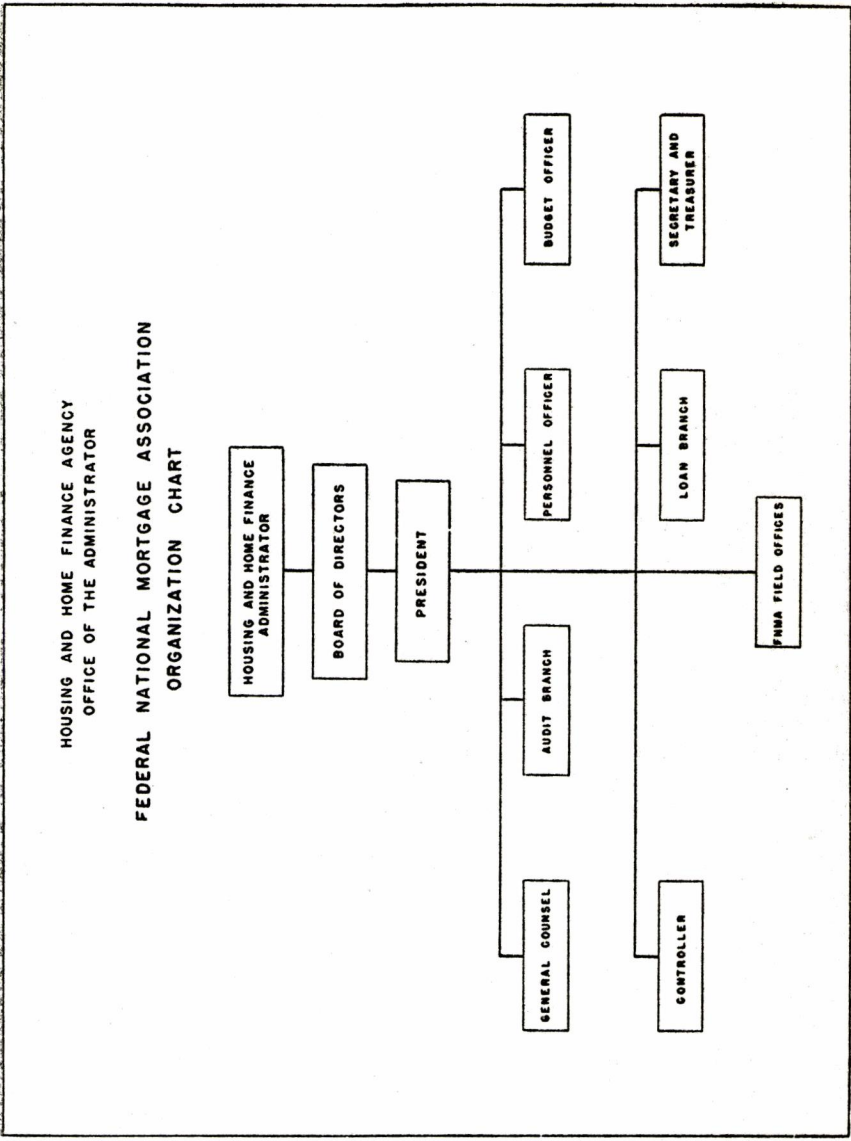
The Budget Officer is responsible for the coordination and direction of all activities in connection with the formulation, consolidation, and presentation of the Association's budgets and maintains controls on disbursement of funds.

PERSONNEL OFFICER

The Personnel Officer exercises staff supervision over personnel matters, including classification of positions, transfers, promotions, and training.

AGENCY MANAGERS

An Agency Manager is in charge of each field Agency office of the Association. In their respective areas, the Association's Agencies are responsible for discharging the functions of the Association. The chief functions involving the purchase, servicing or administration, and sale of mortgages, include activities such as the following: Examination of mortgage purchases, disbursements of funds, maintenance of necessary records and books of account, supervision of contract servicers, and disposition of acquired properties. The Agencies maintain contacts with institutions that originate FHA-insured and VA-guaranteed mortgages of the types that are purchased and sold through the facilities of the Association's secondary market.



INFA ADMINISTRATIVE
POLICIES AND
PROCEDURES

3



Section 1

STANDARDS OF CONDUCT

PURPOSE

This section prescribes standards of conduct, in addition to those prescribed by statute, for employees of the Housing and Home Finance Agency in connection with outside employment, financial and other interests, gratuities, and the conduct of certain aspects of Government business. It also contains standards relating to representative appearances of former employees.

As used in this Section, the term *employee* means any officer or employee of the Housing and Home Finance Agency, including the Office of the Administrator and each of the constituents, except experts, advisers, consultants, and part-time and intermittent employees.

Additional guides applicable to Presidential appointees are contained in Executive Order 10939.

The maintenance of high moral and ethical standards in the public service is essential both to efficiency in the conduct of Government business and to assuring the confidence of the public in their Government. Unwavering integrity and standards of behavior that reflect credit on the Government are required of all members of the public service.

The elimination of conflicts of interest in the Federal service is one of the most important objectives in establishing general standards of conduct. A conflict of interest situation may be defined as one in which a Federal employee's private interest, usually of an economic nature, conflicts or raises a reasonable question of conflict with his public duties and responsibilities. The potential conflict is of concern whether it is real or only apparent.

It is essential that consideration be given to two key objectives: (1) ethical standards of the Federal Government must be beyond reproach; (2) the Federal Government must be in a position to obtain the high quality personnel needed for effective, representative government in the modern age.

Legislation has been enacted to prohibit specific activities of Federal employees which might result in conflicts of interest. The basic provisions of this legislation are summarized in Exhibit A, and they should be carefully reviewed by all employees.

Over and above the statutory limitations, however, there are fundamental moral and ethical considerations which must govern the conduct of Federal employees. As has been said by the Attorney General of the United States:

Apart from statute, there are certain principles of fair dealing which have the force of law and which are applicable to all officers of the Government. A public office is a public trust. No public officer or employee can lawfully engage in business activities which are incompatible with the duties of his office. He cannot in his private or official character enter into engagements in which he has, or can have, a conflicting personal interest. He cannot allow his public duties to be neglected by the reason of attention to his private affairs. Such conflicts of interest are not tolerated in the case of any private fiduciary, and they are doubly proscribed for a public trustee. (40 Op. A.G. 187)

These principles have been stressed by the Congress in a Concurrent Resolution outlining a code of Ethics for Government Service (Exhibit B) and in the Standards of Conduct for Civilian Employees prepared by the Civil Service Commission at the direction of the President.

OUTSIDE EMPLOYMENT

In the absence of some condition which in a particular case distinguishes public service from other types of employment, Federal employees are entitled to the same rights and privileges as all other citizens. There is, therefore, no general prohibition against Federal employees engaging in outside employment if they wish to or if they feel the economic need for doing so.¹

An employee may not, however, engage in outside employment which may: (a) interfere with the efficient performance of the employee's official duties, (b) bring discredit upon, or cause unfavorable and reasonable criticism of, the Government or the Agency, or (c) reasonably result in, or reasonably be construed by others as involving, a conflict of interest between the private interest of the employee and his official duties and responsibilities.

Outside Employment Which is Not Permitted

No employee shall engage in any outside employment when:

- (1) The activities involved may be construed by the public to be the official acts of the Agency or the employment may in any way involve the use of public office for private gain.
- (2) The connections to be established or property interests to be acquired may result in conflict between the private interest of the employee and his official duty, tend to bias his judgment, or cause any loss of impartiality.

¹ The term employment as used herein means the performance of services in an employer-employee relationship, or in the conduct of a private business, or as an independent contractor.

- (3) The employment may involve the use of information secured as the result of employment in the Agency to the detriment of the Agency or the public service or may involve any undertaking to give preferential treatment to any person, corporation, public agency, or group.
- (4) The employment may tend to bring criticism on or cause embarrassment to the Agency or have any adverse effect on the confidence of the public in the integrity of the Government, or result in the making of a Governmental decision outside official channels.
- (5) The employment may interfere in any way with the proper and efficient discharge of the duties and responsibilities of the employee's official position or may impede government efficiency or economy.

No employee shall maintain a publicly listed or identified place of business for the pursuit of the professional field in which he is employed by the Agency.

Outside Employment Requiring Prior Approval

Outside employment in the same professional field as an employee's official position or in activities related to HHFA programs is particularly open to misunderstanding. The same is true of employment by other public jurisdictions because of the nature of HHFA's relationship to agencies of State and local governments.

No employee shall, therefore, engage in outside employment falling into the following categories, except as provided under the heading "Teaching, Writing, and Lecturing," below, without the prior approval of the constituent director of personnel¹:

- (1) Employment related to or similar to the substantive programs conducted in any part of the Housing and Home Finance Agency. This provision is intended to cover, but is not limited to, the broad fields of real estate, mortgage lending, property insurance, construction, construction financing, and planning.
- (2) Employment in the same professional field as that of the individual's official position.
- (3) Employment, including appointments without compensation, by another governmental body.

Teaching, Writing, and Lecturing

Teaching, writing, and lecturing by Federal employees are generally to be encouraged so long as the laws and regulations pertaining to stand-

¹As used in this Section, the term "constituent director of personnel" means the OA Director of Personnel, for the Office of the Administrator, Community Facilities Administration, and Urban Renewal Administration, and the chief personnel officers of each constituent agency.

ards of conduct are observed. These activities frequently serve to enhance the employee's value to the Government as well as to increase the spread of knowledge and information.

However, when the subject matter (a) is devoted substantially to the specific duties of an employee's position or (b) draws substantially upon official data or ideas which have not become part of the body of public information and are not available to others upon request, prior approval of such activity by the constituent director of personnel is required.¹

An employee may use his name and title in connection with articles for publication which bear upon his work in the Agency by submitting the article first to the constituent director of personnel for approval of the activity and then to the constituent information officer for approval of the substance, prior to publication.

MEMBERSHIP IN ORGANIZATIONS

An employee may not, in his official capacity as an officer or employee of the HHFA, serve as a member of a non-Federal or private organization except where express statutory authority exists, or statutory language necessarily implies such authority. However, an employee may serve in an individual capacity as a member of a non-Federal or private organization, provided that:

- (1) his membership does not involve him in any of the conditions (1) through (5) listed under "OUTSIDE EMPLOYMENT", above; and
- (2) his official title or organizational connection is not shown on any listing or presented in any activity of the organization in such a manner as to imply that he is acting in his official capacity.

FINANCIAL AND OTHER INTERESTS

An employee may not, in his official capacity as a Government employee, participate in any matter on behalf of the Government in the consequences of which he, his spouse, minor children or business associates have a financial interest.

An employee may not (a) have financial interests that conflict or may reasonably be construed by others to conflict, with his responsibilities and duties as a Federal employee, or (b) engage in, directly or indirectly, financial transactions as a result of, or primarily relying upon, information obtained through his employment. Aside from these restrictions and the following specific rules, an employee is free to engage in lawful financial transactions to the same extent as any other citizen.

¹ In the case of officers subject to the provisions of Executive Order No. 10939, clause (a) of this sentence is changed to read (a) *is devoted substantially to the responsibilities, programs, or operations of the Agency.*

In addition, such officer may not receive compensation for any consultation, lecture, discussion, writing, or appearance if either clause (a) as amended, or clause (b) is applicable thereto.

Common stock of the Federal National Mortgage Association shall not be acquired by an employee of the Housing and Home Finance Agency or by the spouse or minor child of such employee.

No employee shall be an officer or director of any organization which is an FHA-approved mortgage or lending institution or which services mortgages or other securities for the Agency. An employee may hold stock or shares in such an organization provided his official duties are such that the holding will not create or tend to create a conflict of interest.

GRATUITIES AND GIFTS

No employee shall solicit, accept, or agree to accept, directly or indirectly, anything of economic value as a gift, gratuity, or favor, which might reasonably be interpreted by others as being of such nature that it could affect his impartiality, from any person, corporation, public agency, or group, if the employee has reason to believe that the person, corporation, public agency, or group:

- (a) Has or is seeking to obtain contractual or other business or financial relationships with the Agency.
- (b) Conducts operations or activities which are regulated by the Agency.
- (c) Has interests which may be substantially affected by such employee's performance or non-performance of his official duty.
- (d) Is in any way attempting to affect the employee's official actions.

Although under the foregoing criteria, the acceptance of any gift, gratuity, or favor directly or indirectly affecting an employee's official responsibilities would be clearly adverse to the public interest, this need not preclude the exchange of usual social courtesies which are entirely free from any improper or embarrassing implications.

No employee shall receive compensation or anything of monetary value, other than that to which he is duly entitled from the Government, for the performance of any activity during his service as such employee, and within the scope of his official responsibilities. This prohibition shall not be construed to preclude the acceptance of awards for meritorious public contributions given by public service or civic organizations.

FAVORITISM

No employee shall accord preferential treatment to any person, corporation, public agency, or group in the conduct of official business except in the manner and to the extent prescribed by specific statutes or regulations.

No employee shall discriminate for or against any person having business before the Agency because of race, color, creed, sex, or national origin.

No employee shall give or use information acquired by means of his position to advance the private interests of himself, his family, associates, or friends, nor shall he recommend or suggest the use of any particular or identified non-governmental intermediary to deal with the Agency, or any device or product tested by or for, or used by, the Agency, except as required by his official duties.

CONDUCTING GOVERNMENT BUSINESS

The manner in which an employee conducts himself on the job is frequently relevant to the proper, economical, and efficient accomplishment of his official duties and responsibilities. In addition, those employees who are in direct contact with the public play a most significant role in determining the public's attitude toward the Federal service, both by the manner in which they serve the public and the way in which they conduct themselves generally in the view of the public.

Each employee must conduct himself in such a manner that the work of the Agency is effectively accomplished and must also observe the requirements of courtesy, consideration, and promptness in dealing with or serving the public or the clientele of the Agency.

Embarrassment to the Agency will be avoided by conducting government business on those premises where such business is normally transacted and through the proper official channels. Particular care must be exercised when the negotiations are being carried on with non-governmental personnel.

No employee shall use Federal property of any kind for other than officially approved activities.

ADVISERS, CONSULTANTS AND TEMPORARY EMPLOYEES

Conflict of interest laws are applicable to persons employed by the Agency as advisers, consultants, experts, and members of advisory committees. This legislation establishes a category of personnel, termed "special Government employees," consisting of those employed by the Government to perform temporary duties on a full-time or intermittent basis for not more than 130 days in any period of 365 consecutive days. Most advisers, consultants, experts, and advisory committee members employed by this Agency fall in this category of "special Government employee." Although the provisions which this legislation applies to special Government employees are somewhat less restrictive than those applied to regular Government employees, it is important that special Government employees understand clearly the nature and extent of these limitations. The provisions are summarized in part B of Exhibit A, and are explained in detail in the President's Memorandum of May 2, 1963, entitled "Preventing Conflicts of Interest on the Part of Special Government Employees" (Exhibit C). A copy of the President's Memorandum shall be given to each special Government employee upon appointment by the Agency. The Memorandum shall also be distributed

to all regular employees of the Agency who are charged with the supervision of special Government employees.

Consultants, advisers, and experts shall be required to complete and keep current a *Statement of Employment and Financial Interests* (Standard Form 68) prior to appointment to the Agency. This statement shall be forwarded to the chief legal officer of the agency concerned for information and advice as to possible conflicts of interest.

Appointing officers shall in all cases see that experts, advisers, and consultants are furnished with a copy of these Agency regulations and other pertinent material governing standards of conduct.

PENALTIES

Penalties for violations of statutory restrictions are expressly prescribed by the appropriate sections of the conflict of interest legislation.

Administrative penalties for violating the preceding provisions of this Section may include official reprimand, suspension, demotion, or separation.

RESPONSIBILITY OF EMPLOYEES

Each employee of the Housing and Home Finance Agency is responsible for complying with the provisions of this Section.

For the protection equally of the Agency and its employees, it is desirable to establish as a matter of record the fact that employees recognize the necessity of eliminating or preventing conflicts between their private interests and their public responsibilities. Each new employee will, therefore, be required to file, with the constituent director of personnel, Form HHFA-8, *Certification of Private Business and Financial Interests*, prior to entrance on duty.

Under *Item 1*, the employee shall list all outside employment which requires prior approval of the constituent director of personnel:

- (1) Employment related to or similar to the substantive programs conducted in any part of the Housing and Home Finance Agency. This provision is intended to cover, but is not limited to, the broad fields of real estate, mortgage lending, property insurance, construction, construction financing, and planning.
- (2) Employment in the same professional field as that of the individual's official position.
- (3) Employment by another governmental body.

Outside employment as a teacher, writer, or lecturer does not require prior approval of the constituent director of personnel except as provided under the subhead *Teaching, Writing, and Lecturing*, above. When prior approval is required such employment should be listed under Item 1; otherwise it should be listed under Item 2.

Under *Item 2*, the employee shall list all other outside employment.

Under *Item 3*, the employee shall list any financial or other interests which relate directly or indirectly to the substantive programs conducted in any part of the Housing and Home Finance Agency, including real estate holdings other than the employee's own home or summer residence.

The signed and completed certification shall be treated in all respects as confidential information and shall be available only to such persons as may need such information in the performance of their official duties for the Government.

In the event that further action is required with respect to any stated employment, interest, or activity, the employee will be notified of such action promptly. It should be noted that employment listed under Item 1 requires prior approval of the constituent director of personnel (See above).

Certificates shall be supplemented, using Form HHFA-8 as necessary to keep them current at all times.

RESPONSIBILITY OF SUPERVISORS

Supervisors, on the basis of information supplied through the constituent director of personnel or through any other source, shall be responsible for guarding against the making of assignments which might involve a possible conflict of interest.

Supervisory officials are expected to exercise diligence to the end that the activities of the individuals under their supervision do not result in criticism of or embarrassment to the Agency. Supervisors concerned are therefore requested to review and endorse or otherwise note Form HHFA-8 when such forms are submitted upon the appointment of new personnel.

If, through any source, a supervisory official receives information indicating a violation of this Section, such information shall be reported immediately, by memorandum, to the constituent director of personnel. (See also Section 3-1-2 of this Volume, relating to referrals to the Compliance Division.)

RESPONSIBILITY OF THE DIRECTOR OF PERSONNEL

Each constituent director of personnel and constituent agency Assistant Commissioner for Administration is responsible to the head of his constituent for the general administration of the conflict of interest program under this Section. This shall include responsibility for making determinations regarding the applicability of the procedures and the extent of disciplinary action to be taken or recommended in individual cases.

In making determinations in such cases the constituent director of personnel shall be guided by this Section and by the decisions of the Outside Activities Committee. He will refer to the Outside Activities

Committee, through the executive secretary, cases requiring new policy judgments or advice on interpretation of existing policy and other cases required by these procedures to be referred to the Committee.

Each constituent director of personnel shall semi-annually, in June and December, (1) call the attention of the employees of his constituent to the provisions of this Section and any supplementary instructions issued by the constituent and (2) submit a report summarizing any unusual or difficult cases of conflict of interest to his constituent head, with a copy to the Outside Activities Committee.

Questions relating to the interpretation or application of this Section to specific outside interests or activities should be taken up in writing with the constituent director of personnel.

RESPONSIBILITY OF THE OUTSIDE ACTIVITIES COMMITTEE

The Outside Activities Committee shall provide policy guidance in the administration of this Section and reach decisions in cases of appeals from determinations of the constituent directors of personnel. The Committee shall not, however, review matters concerned with a consultant's, adviser's, or expert's Statement of Employment and Financial Interests except at the request of the chief legal officer concerned.

The Outside Activities Committee shall, from time to time, review the effectiveness of these policies and shall recommend to the Administrator such new or revised policies as may appear desirable.

The OA Director of Personnel shall serve as executive secretary to the Outside Activities Committee, advise the committee regarding the administration of the Section and regarding proposed changes in the policies and procedures relating to Standards of Conduct and provide necessary staff services for the Committee.

The Outside Activities Committee shall consist of the Assistant Administrator (Administration), who shall serve as chairman; the HHFA General Counsel, who shall serve as vice chairman; and a representative designated by each of the Commissioners of FHA, PHA, CFA, and URA, and the President of FNMA. The chairman or vice chairman and any two members shall constitute a quorum.

RESPONSIBILITIES OF CONSTITUENT AGENCIES

The differing responsibilities of the constituent agencies within the Housing and Home Finance Agency may render certain other activities questionable in the light of their respective programs. Supplemental instructions, consistent with the policies set forth above, may therefore be issued by the Office of the Administrator and each constituent agency.

EXHIBIT A**General Provisions of Conflict of Interest Legislation**

Federal legislation pertaining to conflict of interest is contained in Public Law 87-849, which came into force on January 21, 1963. One of the main purposes of the new legislation was to help the Government obtain the temporary services of persons with special skills whose principal employment is outside the Government. Public Law 87-849 does this by imposing lesser restrictions on these employees than on the Government's regular employees.

Restrictions on both groups of employees, however, are far-reaching in many aspects, and employees who have any question about the law's application to their own situations should take care to review the full provisions of Public Law 87-849.

The law makes a clear distinction between two categories of employment. Persons employed on a full-time or intermittent basis for not more than 130 days in any period of 365 are defined as "special Government employees;" all other employees are considered regular employees.

- A. A regular employee of the Government is in general subject to the following major restrictions:
1. He may not, except in the discharge of his official duties, represent anyone else before a court or Government agency in a matter in which the United States is a party or has an interest. This prohibition applies both to paid and unpaid representation of another (18 U.S.C. 203 and 205).
 2. He may not participate in his governmental capacity in any matter in which he, his spouse, minor child, outside business associate or person with whom he is negotiating for employment has a financial interest (18 U.S.C. 208).
 3. He may not, after his Government employment has ended, represent anyone other than the United States in connection with a matter in which the United States is a party or has an interest and in which he participated personally and substantially for the Government (18 U.S.C. 207 (a)).
 4. He may not, for 1 year after his Government employment has ended, represent anyone other than the United States in connection with a matter in which the United States is a party or has an interest and which was within the boundaries of his official responsibility during the last year of his Government service (18 U.S.C. 207 (b)). This temporary restraint of course gives way to the permanent restraint described in paragraph 3 if the matter is one in which he participated personally and substantially.

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5. He may not receive any salary, or supplementation of his Government salary, from a private source as compensation for his services to the Government (18 U.S.C. 209).
- B. A special Government employee is in general subject only to the following major restrictions:
1. (a) He may not, except in the discharge of his official duties, represent anyone else before a court or Government agency in a matter in which the United States is a party or has an interest and in which he has at any time participated personally and substantially for the Government. (18 U.S.C. 203 and 205).
(b) He may not, except in the discharge of his official duties, represent anyone else in a matter pending before the agency he serves unless he has served there no more than 60 days during the past 365 (18 U.S.C. 203 and 205). He is bound by this restraint despite the fact that the matter is not one in which he has ever participated personally and substantially.
 2. He may not participate in his governmental capacity in any matter in which he, his spouse, minor child, outside business associate or person with whom he is negotiating for employment has a financial interest (18 U.S.C. 208).
 3. He may not, after his Government employment has ended, represent anyone other than the United States in connection with a matter in which the United States is a party or has an interest and in which he participated personally and substantially for the Government (18 U.S.C. 207 (a)).
 4. He may not, for 1 year after his Government employment has ended, represent anyone other than the United States in connection with a matter in which the United States is a party or has an interest and which was within the boundaries of his official responsibility during the last year of his Government service (18 U.S.C. 207 (b)). This temporary restraint of course gives way to the permanent restriction described in paragraph 3 if the matter is one in which he participated personally and substantially.

There are certain exceptions to the prohibitions listed above which are contained in Public Law 87-849; for purposes of brevity they are not listed here. Employees who believe that these exceptions may apply to them should review the full provisions of the law, and the Attorney General's Memorandum of January 28, 1963, 28 F.R. 984-89.

EXHIBIT B

Resolved by the House of Representatives (The Senate concurring), That it is the sense of the Congress that the following code of Ethics should be adhered to by all Government employees, including officeholders:¹

CODE OF ETHICS FOR GOVERNMENT SERVICE

Any person in Government service should:

1. Put loyalty to the highest moral principles and to country above loyalty to persons, party, or Government department.
2. Uphold the Constitution, laws, and legal regulations of the United States and of all governments therein and never be a party to their evasion.
3. Give a full day's labor for a full day's pay; giving to the performance of his duties his earnest effort and best thought.
4. Seek to find and employ more efficient and economical ways of getting tasks accomplished.
5. Never discriminate unfairly by the dispensation of special favors or privileges to anyone, whether for remuneration or not; and never accept, for himself or his family, favors or benefits under circumstances which might be construed by reasonable persons as influencing the performance of his governmental duties.
6. Make no private promises of any kind binding upon the duties of office, since a Government employee has no private word which can be binding on public duty.
7. Engage in no business with the Government, either directly or indirectly, which is inconsistent with the conscientious performance of his government duties.
8. Never use any information coming to him confidentially in the performance of governmental duties as a means of making private profit.
9. Expose corruption wherever discovered.
10. Uphold these principles, ever conscious that public office is a public trust.

¹ House Concurrent Resolution 175, 85th Congress, adopted July 11, 1958.

EXHIBIT C**The President's Memorandum of May 2, 1963****[PREVENTING CONFLICTS OF INTEREST ON THE PART OF SPECIAL
GOVERNMENT EMPLOYEES]**

Memorandum to the Heads of Executive Departments and Agencies

INTRODUCTION

Over the past twenty or more years departments and agencies of the Government have made increasing use of temporary or intermittent consultants and advisers who serve individually or on advisory bodies. The employment of highly skilled persons on a temporary or intermittent basis is in the interest of the Government and provides it with an indispensable source of expert advice and knowledge. However, since such persons have their principal employment outside the Government, conflict of interest problems arise from time to time.

More particularly, many persons serving the Government temporarily or intermittently are individuals with specialized scientific knowledge and skills whose regular work is in industry, research institutes or educational institutions. An individual employed by a university may act as an intermittent consultant not only for the Government but for a private firm and either his university or the firm or both may be engaged in work for or supported by the Government. A consultant to the Government may have other financial connections with firms doing business with the Government in the general area of his expertise and, therefore, his consultancy. The many possible interrelationships between a consultant's service to the Government and his own and his employer's or client's financial interests demonstrate that conflicts of interest problems may often arise.

The temporary or intermittent adviser or consultant and the department or agency which employs him both must be alert to the possibility of conflicts. It is, of course, incumbent upon the adviser or consultant to familiarize himself with the laws and regulations which are applicable to him. The responsibility of the department or agency is equally great. It is important that it oversee his activities in order to insure that the public interest is protected from improper conduct on his part and that he will not, through ignorance or inadvertence, embarrass the Government or himself. It must assist him to understand the pertinent laws and regulations. It must obtain from him such information concerning his financial interests as is necessary to disclose possible conflicts. It must take measures to avoid the use of his services in any situation in which a violation of law or regulation

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is likely to occur. And it must take prompt and proper disciplinary or remedial action when a violation, whether intentional or innocent, is detected.

Prior to January 21, 1963, the date on which P.L. 87-849 (76 Stat. 1119) came into force, the restraints imposed by the conflict of interest laws on temporary or intermittent employees of the United States were largely the same as those imposed on persons regularly employed by the Government. However, in enacting P.L. 87-849, Congress recognized that these restraints were unduly restrictive, as applied to temporary and intermittent employees, and hindered the Government in obtaining expert services for special needs. Congress dealt with these difficulties in the new statute by establishing a category of persons designated "special Government employees," and by making the restrictions imposed upon their private activities considerably less extensive than those applied to regular employees.

The term "special Government employee" is defined in new section 202 of Title 18, United States Code, which was enacted as a part of P.L. 87-849. The term includes, among others, officers and employees of the departments and agencies, including the District of Columbia, who are retained, designated, appointed or employed to serve, with or without compensation, for not more than 130 days during any period of 365 consecutive days, either on a full-time or intermittent basis, under any type of appointment of whatever duration.

The enactment of P.L. 87-849 has made it necessary for the departments and agencies utilizing temporary or intermittent personnel to revise their conflict of interest regulations with regard to such personnel. While the problems arising from the employment of such personnel will undoubtedly vary from one Government organization to another, and different regulations may in some instances be appropriate or necessary, I believe it is desirable to achieve the maximum uniformity possible in order to insure general standards of common application throughout the Government. This memorandum is designed to achieve that purpose. It supersedes my Memorandum of February 9, 1962 to the Heads of Executive Departments and Agencies, entitled "Preventing Conflicts of Interest on the Part of Advisers and Consultants to the Government" (27 F.R. 1341), which is hereby rescinded.

CONFLICT OF INTEREST STATUTES

P.L. 87-849 repealed the six basic conflict of interest laws which were discussed in my Memorandum of February 9, 1962, and replaced them with six new sections of Title 18 numbered 202, 203, 205, 207, 208 and 209. Sections 203 and 205 contain prohibitions affecting the activities of Government employees in their private capacities. As

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already noted, the prohibitions applicable to special Government employees are less stringent than those which affect regular employees—*i.e.*, those who are appointed to serve more than 130 days a year. Section 207 contains prohibitions affecting the activities of persons who leave the service of the Government. It applies with the same force to former special Government employees as to former regular employees. Section 208 sets forth a restriction on the activities of a Government employee in performing his functions as such. This section also applies with the same force to both categories of employees. Section 209, which prohibits a regular employee's receipt of compensation from private sources in certain circumstances, specifically excludes special Government employees from its coverage.

The new sections are set forth in full in the appendix to this memorandum. It will be noted that all but 18 U.S.C. 202, which is devoted to the definition of terms, carry criminal penalties. The restraints imposed by the four criminal sections which are applicable to temporary and intermittent advisers or consultants, and to other persons falling within the definition of a special Government employee, are considered below.

18 U.S.C. 203 and 205. These two sections in general operate to preclude a regular Government employee, except in the discharge of his official duties, from representing another person before a department, agency or court, whether with or without compensation, in a matter in which the United States is a party or has a direct and substantial interest. However, the two sections impose only the following major restrictions upon a special Government employee:

1. He may not, except in the discharge of his official duties, represent anyone else before a court or Government agency in a matter involving a specific party or parties in which the United States is a party or has a direct and substantial interest and in which he has at any time participated personally and substantially in the course of his Government employment.

2. He may not, except in the discharge of his official duties, represent anyone else in a matter involving a specific party or parties in which the United States is a party or has a direct and substantial interest and which is pending before the agency he serves. However, this restraint is not applicable if he has served the agency no more than 60 days during the past 365. He is bound by the restraint, if applicable, regardless of whether the matter is one in which he has ever participated personally and substantially.

These restrictions prohibit both paid and unpaid representation and apply to a special Government employee on the days when he does not serve the Government as well as on the days when he does.

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Each department and agency should observe the following rules in obtaining and utilizing the services of a consultant, adviser or other temporary or intermittent employee:

(a) At the time of his original appointment and the time of each appointment thereafter, the department or agency should make its best estimate of the number of days during the following 365 on which it will require the services of the appointee. A part of a day should be counted as a full day for the purposes of this estimate, and a Saturday, Sunday or holiday on which duty is to be performed should be counted equally with a regular work day.

(b) Unless otherwise provided by law, an appointment should not extend for more than 365 days. In cases where an appointment extends beyond that period, an estimate as required by paragraph (a) should be made at the inception of the appointment and a new estimate at the expiration of each 365 days thereafter.

(c) If a department or agency estimates, pursuant to paragraph (a) or (b), that an appointee will serve more than 130 days during the ensuing 365, the appointee should not be carried on the rolls as a special Government employee and the department or agency should instruct him that he is regarded as subject to the prohibitions of sections 203 and 205 to the same extent as if he were to serve as a full-time employee. If the estimate is that he will serve no more than 130 days during the following 365 days, he should be carried on the rolls of the department or agency as a special Government employee and instructed that he is regarded as subject only to the restrictions of sections 203 and 205 described in paragraphs 1 and 2 above. Even if it becomes apparent, prior to the end of a period of 365 days for which a department or agency has made an estimate with regard to an appointee, that he has not been accurately classified, he should nevertheless continue to be deemed a special Government employee or not, as the case may be, for the remainder of that 365-day period.

(d) An employee who undertakes service with two departments or agencies shall inform each of his arrangements with the other. If both his appointments are made on the same date, the aggregate of the estimates made by the departments or agencies under paragraph (a) or (b) shall be deemed determinative of his classification by each. Notwithstanding anything to the contrary in paragraphs (a), (b) or (c), if after being employed by one department or agency, a special Government employee is appointed by a second to serve it in the same capacity, each department or agency should make an estimate of the amount of his service to it for the remaining portion of the 365-day period covered by the original estimate of the first. The sum of the two estimates and of the actual number of days of his service to the first department or agency during the prior portion of such 365-day period shall be deemed determinative of the classification

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of the appointee by each during the remaining portion. If an employee undertakes to serve more than two departments or agencies, they shall classify him in a manner similar to that prescribed in this paragraph in the case of two agencies. Each agency which employs special Government employees who serve other agencies shall designate an officer to coordinate the classification of such employees with such other agencies.

(e) In the case of a person who is serving as a member of an advisory committee, board or other group, and who is by virtue of his membership thereon an officer or employee of the United States, the requirements of paragraphs (a), (b), (c) and (d) should be carried out to the same extent as if he were serving the sponsoring department or agency separately and individually.

(f) The 60-day standard affecting a special Government employee's private activities before his department or agency is a standard of actual past service, as contrasted with the 130-day standard of estimated future service discussed above. As appears from paragraph 2 above, a special Government employee is barred from representing another person before his department or agency at times when he has served it for an aggregate of more than 60 days during the past 365. Thus, although once having been in effect, the statutory bar may be lifted later by reason of an intervening period of non-service. In other words, as a matter of law the bar may fluctuate in its effect during the course of a special Government employee's relationship with his department or agency.

(g) A part of a day should be counted as a full day in connection with the 60-day standard discussed in paragraph (f), above, and a Saturday, Sunday or holiday on which duty has been performed should be counted equally with a regular work day. Service performed by a special Government employee in one department or agency should not be counted by another in connection with the 60-day standard.

To a considerable extent the prohibitions of sections 203 and 205 are aimed at the sale of influence to gain special favors for private businesses and other organizations and at the misuse of governmental position or information. In accordance with these aims, it is desirable that a consultant or adviser or other individual who is a special Government employee, even when not compelled to do so by sections 203 and 205, should make every effort in his private work to avoid any personal contact with respect to negotiations for contracts or grants with the department or agency which he is serving if the subject matter is related to the subject matter of his consultancy or other service. I recognize that this will not always be possible to achieve where, for example, a consultant or adviser has an executive position

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and responsibility with his regular employer which requires him to participate personally in contract negotiations with the department or agency he is advising. Whenever this is the case the consultant or adviser should participate in the negotiations for his employer only with the knowledge of a responsible government official. In other instances an occasional consultant or adviser may have technical knowledge which is indispensable to his regular employer in his efforts to formulate a research and development contract or a research grant and, for the same reason, it is in the interest of the Government that he should take part in negotiations for his private employer. Again, he should participate only with the knowledge of a responsible Government official.

Section 205 contains an exemptive provision dealing with a similar situation which may arise *after* a Government grant or contract has been negotiated. This provision in certain cases permits both the Government and the private employer of a special Government employee to benefit from his performance of work under a grant or contract for which he would otherwise be disqualified because he had participated in the matter for the Government or it is pending in an agency he has served more than 60 days in the past year. More particularly, the provision gives the head of a department or agency the power, notwithstanding any prohibition in either section 203 or 205, to allow a special Government employee to represent before such department or agency either his regular employer or another person or organization in the performance of work under a grant or contract. As a basis for this action, the department or agency head must first make a certification in writing, published in the FEDERAL REGISTER, that it is required by the national interest.

Section 205 contains three other exemptive provisions, all of which apply to both special and regular Government employees. The first permits one Government employee to represent another, without compensation, in a disciplinary, loyalty or other personnel matter. The second permits a Government employee to represent, with or without compensation, a parent, spouse, child, or person or estate he serves as a fiduciary, but only if he has the approval of the official responsible for appointments to his position and the matter involved is neither one in which he has participated personally or substantially nor one under his official responsibility. The term "official responsibility" is defined in 18 U.S.C. 202 to mean, in substance, the direct administrative or operating authority to control Government action. The third provision removes any obstacle in section 205 to a Government employee's giving testimony under oath or making statements required to be made under penalty for perjury or contempt.

18 U.S.C. 207. Section 207 applies to individuals who have left Government service, including former special government employees. It prevents a former employee from representing another person in

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connection with certain matters in which he participated personally and substantially on behalf of the Government. The matters are those involving a specific party or parties in which the United States is also a party or has a direct and substantial interest. In addition, section 207 prevents a former employee, for a period of one year after his employment has ceased, from appearing personally for another person in such matters before a court, department or agency if the matters were within the area of his official responsibility at any time during the last year of his Government service. It should be noted that a consultant or adviser usually does not have "official responsibility."

For the purposes of section 207, the employment of a special Government employee ceases on the day his appointment expires or is otherwise terminated, as distinguished from the day on which he last performs service.

18 U.S.C. 208. This section bears on the activities of Government personnel, including special Government employees, in the course of their official duties. In general, it prevents a Government employee from participating as such in a particular matter in which, to his knowledge, he, his spouse, minor child, partner, or a profit or non-profit enterprise with which he is connected has a financial interest. However, the section permits an employee's agency to grant him an *ad hoc* exemption if the interest is not so substantial as to affect the integrity of his services. Insignificant interests may also be waived by a general rule or regulation. Whether an agency should issue a general rule or regulation and, if it does so, what standards it should set are questions which should be resolved by each agency in the context of its particular responsibilities and activities.

The matters in which special Government employees are disqualified by section 208 are not limited to those involving a specific party or parties in which the United States is a party or has an interest, as in the case of sections 203, 205 and 207. Section 208 therefore undoubtedly extends to matters in addition to contracts, grants, judicial and quasi-judicial proceedings, and other matters of an adversary nature. Accordingly, a special Government employee should in general be disqualified from participating as such in a matter of any type the outcome of which will have a direct and predictable effect upon the financial interests covered by the section. However, the power of exemption may be exercised in this situation if the special Government employee renders advice of a general nature from which no preference or advantage over others might be gained by any particular person or organization. The power of exemption may of course be exercised also where the financial interests involved are minimal in value.

ETHICAL STANDARDS OF CONDUCT

Aside from the conflict of interest laws, there are elementary rules of ethics in the conduct of the public business by which all those who

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serve the Government are bound. That an individual may serve the Government only occasionally and for brief periods does not relieve him from the obligation to abide by those rules. That he may be needed to bring rare or specialized talents and skills to the Government does not mean that he should be considered for a waiver. The people of the nation are entitled to ethical behavior of the highest order in the conduct of their Government's affairs, from the occasional employee no less than from career personnel.

Although any discussion of standards of ethics is of course applicable to all special Government employees, it is especially important in connection with the work of advisers and consultants. The following remarks are therefore concerned with them in particular.

Inside Information. The first principle of ethical behavior for the temporary or intermittent consultant or adviser is that he must refrain from any use of his public office which is motivated by, or gives the appearance of being motivated by, the desire for private gain for himself or other persons, including particularly those with whom he has family, business or financial ties. The fact that the desired gain, if it materializes, will not take place at the expense of the Government makes his action no less improper.

An adviser or consultant must conduct himself in a manner devoid of the slightest suggestion that he is exploiting his Government employment for private advantage. Thus, a consultant or adviser must not, on the basis of any inside information, enter into speculation, or recommend speculation to members of his family or business associates, in commodities, land or the securities of any private company. He must obey this injunction even though his duties have no connection whatever with the Government programs or activities which may affect the value of such commodities, land or securities. And he should be careful in his personal financial activities to avoid any appearance of acting on the basis of information obtained in the course of his Government work.

It is important for consultants and advisers to have access to Government data pertinent to their duties and to maintain familiarity with the Government's plans and programs and the requirements thereof, within the area of their competence. Since it is frequently in the Government's interest that information of this nature be made generally available to an affected industry, there is generally no impropriety in a consultant's or adviser's utilizing such information in the course of his non-Government employment after it has become so available. However, a consultant or adviser may, in addition, acquire information which is not generally available to those outside the Government. In that event, he may not use such information for the special benefit of a business or other entity by which he is employed or retained or in which he has a financial interest.

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In order to avoid any actual or potential abuse of information by a consultant or adviser, departments and agencies should, through information programs, make every effort to insure to the maximum extent possible that all firms within an industry have access to the same information that is available to a consultant or adviser who is employed by any of them. In addition, regular Government employees should avoid divulging confidential information to him unnecessary to the performance of his governmental responsibility, or information which directly involves the financial interests of his employer. Consultants and advisers should be instructed that information not generally available to private industry must remain confidential in their hands, and must not be divulged to their private employers or clients. In cases of doubt they should be encouraged to confer with the chief legal officer or other designated agency official who can assist in the identification of information not generally available and in the resolution of any actual or potential conflict between duties to the Government and to private employers or clients.

Occasionally an individual who becomes a Government consultant or adviser is, subsequent to his designation as such, requested by a private enterprise to act in a similar capacity. In some cases the request may give the appearance of being motivated by the desire of the private employer to secure inside information. Where the consultant or adviser has reason to believe that the request for his services is so motivated, he should make a choice between acceptance of the tendered private employment and continuation of his Government consultancy. In such circumstances he may not engage in both. Furthermore, he should discuss any such offer of private employment with the chief legal officer of his Government agency whether or not he accepts it.

At times a private enterprise or other organization urges the appointment of one of its employees or members to a particular Government consultancy. The departments and agencies should discourage this practice. Any initiative in connection with the appointment of consultants, or in securing the names of qualified persons, should come from the Government.

Abuse of Office. An adviser or consultant shall not use his position in any way to coerce, or give the appearance of coercing, another person to provide any financial benefit to him or persons with whom he has family, business or financial ties.

Gifts. An adviser or consultant shall not receive or solicit anything of value as a gift, gratuity, or favor for himself or persons with whom he has family, business or financial ties if the acceptance thereof would result in, or give the appearance of resulting in, his loss of complete independence or impartiality in serving the Government.

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INDUSTRY, LABOR, AGRICULTURE OR OTHER REPRESENTATIVES

It is occasionally necessary to distinguish between consultants and advisers who are special Government employees and persons who are invited to appear at a department or agency in a representative capacity to speak for firms or an industry, or for labor or agriculture, or for any other recognizable group of persons, including on occasion the public at large. A consultant or adviser whose advice is obtained by a department or agency from time to time because of his individual qualifications and who serves in an independent capacity is an officer or employee of the Government. On the other hand, one who is requested to appear before a Government department or agency to present the views of a non-governmental organization or group which he represents, or for which he is in a position to speak, does not act as a servant of the Government and is not its officer or employee. He is therefore not subject to the conflict of interest laws and is not within the scope of this memorandum. However, the section of this memorandum headed "Ethical Standards of Conduct" sets forth rules of ethics by which he should be guided even though not in the status of a Government official, and the agency before which he appears should call that section to his attention.

The following principles are useful in arriving at a determination whether an individual is acting before an agency in a representative capacity:

(1) A person who receives compensation from the Government for his services as an adviser or consultant is its employee and not a representative of an outside group. However, the Government's payment of travel expenses and a *per diem* allowance does not by itself make the recipient an employee.

(2) It is rare that a consultant or adviser who serves alone is acting in a representative capacity. Those who have representative roles are for the most part persons serving as members of an advisory committee or similar body utilized by a Government agency. It does not follow, however, that the members of every such body are acting as representatives and are therefore outside the range of the conflict of interest laws. This result is limited to the members of committees utilized to obtain the views of non-governmental groups or organizations.

(3) The fact that an individual is appointed by an agency to an advisory committee upon the recommendation of an outside group or organization tends to support the conclusion that he has a representative function.

(4) Although members of a governmental advisory body who are expected to bind outside organizations are no doubt serving in a representative capacity, the absence of authority to bind outside groups

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does not require the conclusion that the members are Government employees. What is important is whether they function as spokesmen for non-governmental groups or organizations and not whether they can formally commit them.

(5) Where an adviser or consultant is in a position to act as a spokesman for the United States or a government agency—as, for example, in an international conference—he is obviously acting as an officer or employee of the Government.

ADMINISTRATIVE STEPS

All departments and agencies of the Government shall

(1) bring this memorandum to the attention of all special Government employees who serve them as advisers or consultants, of such other special Government employees as they may determine and of all regular employees who supervise such advisers, consultants and others;

(2) review their existing rules and regulations and make appropriate revisions or issue new rules and regulations to promote the policies set forth in this memorandum; and

(3) take such other measures as may be appropriate to impress upon the consultants, advisers and other special Government employees referred to in subdivision (1), and upon Government officials with whom they work, that they have a responsibility to avoid situations in which a potential conflict of interest may exist. These individuals should also be cautioned to avoid situations in which a special Government employee might be thought to be influencing governmental action in matters with regard to which he has a financial or other personal interest, or to be using inside information for private gain.

While it would be highly desirable, in order to minimize the occurrence of conflicts of interest, for departments and agencies of the Government to avoid appointing to advisory positions individuals who are employed or consulted by contractors or others having a substantial amount of business with that department or agency, I recognize that the Government has, of necessity, become increasingly concerned with highly technical areas of specialization and that the number of individuals expert in those areas is frequently very small. Therefore, in many instances it will not be possible for a department or agency to obtain the services of a competent adviser or consultant who is not in fact employed or consulted by such contractors. In addition, an advisory group may of necessity be composed largely or wholly of persons of a common class or group whose employers may benefit from the advice given. An example would be a group of university scientists advising on research grants to universities. Only in such a group can the necessary expertise be found. In all these circumstances, particular care should be exercised to exclude his employer's or clients' contracts or other transactions with the Government from the range of the consultant's or adviser's duties.

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DISCLOSURE OF FINANCIAL INTERESTS

In order to carry out its responsibility to avoid the use of the services of consultants or advisers in situations where violations of the conflict of interest laws or of these regulations may occur, each department or agency of the Government shall, at the time of employment of a consultant or adviser, require him to supply it with a statement of all other employment. The statement shall list the names of all the companies, firms, State or local governmental organizations, research organizations and educational or other institutions which he is serving as employee, officer, member, director, adviser or consultant. In addition, it shall list such other financial information as the appointing department or agency shall decide is relevant in the light of the duties the appointee is to perform. The appointee may but need not be required to reveal precise amounts of investments. Each statement of private employment and financial interests should be forwarded to the chief legal officer of the department or agency concerned, for information and for advice as to possible conflicts of interest. In addition, each statement should be reviewed by those persons responsible for the employment of consultants and advisers to assist them in applying the criteria for disqualification which are set forth in this memorandum. Such statements should be kept current throughout the period during which the consultant is on the Government rolls.

LEGAL INTERPRETATION

Whenever the chief legal officer of a department or agency or his designee, believes that a substantial legal question is raised by the employment of a particular consultant or adviser he should advise the Department of Justice, through the Office of Legal Counsel, in order to insure a consistent and authoritative interpretation of the law.

This memorandum shall be published in the FEDERAL REGISTER.

JOHN F. KENNEDY

THE WHITE HOUSE,
May 2, 1963.

APPENDIX

18 U.S.C. 202. *Definitions.*

(a) For the purpose of sections 203, 205, 207, 208 and 209 of this title the term "special Government employee" shall mean an officer or employee of the executive or legislative branch of the United States Government, of any independent agency of the United States or of the District of Columbia, who is retained, designated, appointed, or employed to perform, with or without compensation, for not to exceed one hundred and thirty days during any period of three hundred and sixty-five consecutive days, temporary duties either on a full-time or intermittent basis, or a part-time United States Commissioner. Notwithstanding the next preceding sentence, every person serving as a part-time local representative of a Member of Congress in the Member's home district or State shall be classified as a special Government

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employee. Notwithstanding section 29 (c) and (d) of the Act of August 10, 1956 (70A Stat. 632; 5 U.S.C. 30r (c) and (d)), a Reserve officer of the Armed Forces, or an officer of the National Guard of the United States, unless otherwise an officer or employee of the United States, shall be classified as a special Government employee while on active duty solely for training. A Reserve officer of the Armed Forces or an officer of the National Guard of the United States who is voluntarily serving a period of extended active duty in excess of one hundred and thirty days shall be classified as an officer of the United States within the meaning of section 203 and sections 205 through 209 and 218. A Reserve officer of the Armed Forces or an officer of the National Guard of the United States who is serving involuntarily shall be classified as a special Government employee. The terms "officer or employee" and "special Government employee" as used in sections 203, 205, 207 through 209, and 218, shall not include enlisted members of the Armed Forces.

(b) For the purposes of sections 205 and 207 of this title, the term "official responsibility" means the direct administrative or operating authority, whether intermediate or final, and either exercisable alone or with others, and either personally or through subordinates, to approve, disapprove, or otherwise direct Government action.

18 U.S.C. 203. *Compensation to Members of Congress, officers, and others in matters affecting the Government.*

(a) Whoever, otherwise than as provided by law for the proper discharge of official duties, directly or indirectly receives or agrees to receive, or asks, demands, solicits, or seeks, any compensation for any services rendered or to be rendered either by himself or another—

(1) at a time when he is a Member of Congress, Member of Congress Elect, Resident Commissioner, or Resident Commissioner Elect; or

(2) at a time when he is an officer or employee of the United States in the executive, legislative, or judicial branch of the Government, or in any agency of the United States, including the District of Columbia, in relation to any proceeding, application, request for a ruling or other determination, contract, claim, controversy, charge, accusation, arrest, or other particular matter in which the United States is a party or has a direct and substantial interest, before any department, agency, court-martial, officer, or any civil, military, or naval commission, or

(b) Whoever, knowingly, otherwise than as provided by law for the proper discharge of official duties, directly or indirectly gives, promises, or offers any compensation for any such services rendered or to be rendered at a time when the person to whom the compensation is given, promised, or offered, is or was such a Member, Commissioner, officer, or employee—

Shall be fined not more than \$10,000 or imprisoned for not more than two years, or both; and shall be incapable of holding any office of honor, trust, or profit under the United States.

(c) A special Government employee shall be subject to subsection (a) only in relation to a particular matter involving a specific party or parties (1) in which he has at any time participated personally and substantially as a Government employee or as a special Government employee through decision, approval, disapproval, recommendation, the rendering of advice, investigation or otherwise, or (2) which is pending in the department or agency of the Government in which he is serving: *Provided*, That clause (2) shall not apply in the case of a special Government employee who has served in such department or agency no more than sixty days during the immediately preceding period of three hundred and sixty-five consecutive days.

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18 U.S.C. 205. *Activities of officers and employees in claims against and other matters affecting the Government.*

Whoever, being an officer or employee of the United States in the executive, legislative, or judicial branch of the Government or in any agency of the United States, including the District of Columbia, otherwise than in the proper discharge of his official duties—

(1) acts as agent or attorney for prosecuting any claim against the United States, or receives any gratuity, or any share of or interest in any such claim in consideration of assistance in the prosecution of such claim, or

(2) acts as agent or attorney for anyone before any department, agency, court, court-martial, officer, or any civil, military, or naval commission in connection with any proceeding, application, request for a ruling or other determination, contract, claim, controversy, charge, accusation, arrest, or other particular matter in which the United States is a party or has a direct and substantial interest—

Shall be fined not more than \$10,000 or imprisoned for not more than two years, or both.

A special Government employee shall be subject to the preceding paragraphs only in relation to a particular matter involving a specific party or parties (1) in which he has at any time participated personally and substantially as a Government employee or as a special Government employee through decision, approval, disapproval, recommendation, the rendering of advice, investigation or otherwise, or (2) which is pending in the department or agency of the Government in which he is serving: *Provided*, That clause (2) shall not apply in the case of a special Government employee who has served in such department or agency no more than sixty days during the immediately preceding period of three hundred and sixty-five consecutive days.

Nothing herein prevents an officer or employee, if not inconsistent with the faithful performance of his duties, from acting without compensation as agent or attorney for any person who is the subject of disciplinary, loyalty, or other personnel administration proceedings in connection with those proceedings.

Nothing herein or in section 203 prevents an officer or employee, including a special Government employee, from acting, with or without compensation, as agent or attorney for his parents, spouse, child, or any person for whom, or for any estate for which, he is serving as guardian, executor, administrator, trustee, or other personal fiduciary except in those matters in which he has participated personally and substantially as a Government employee, through decision, approval, disapproval, recommendation, the rendering of advice, investigation, or otherwise, or which are the subject of his official responsibility, provided that the Government official responsible for appointment to his position approves.

Nothing herein or in section 203 prevents a special Government employee from acting as agent or attorney for another person in the performance of work under a grant by, or a contract with or for the benefit of, the United States provided that the head of the department or agency concerned with the grant or contract shall certify in writing that the national interest so requires.

Such certification shall be published in the FEDERAL REGISTER.

Nothing herein prevents an officer or employee from giving testimony under oath or from making statements required to be made under penalty for perjury or contempt.

18 U.S.C. 207. *Disqualification of former officers and employees in matters connected with former duties or official responsibilities; disqualification of partners.*

(a) Whoever, having been an officer or employee of the executive branch of the United States Government, of any independent agency of the United States, or of

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the District of Columbia, including a special Government employee, after his employment has ceased, knowingly acts as agent or attorney for anyone other than the United States in connection with any judicial or other proceeding, application, request for a ruling or other determination, contract, claim, controversy, charge, accusation, arrest, or other particular matter involving a specific party or parties in which the United States is a party or has a direct and substantial interest and in which he participated personally and substantially as an officer or employee, through decision, approval, disapproval, recommendation, the rendering of advice, investigation, or otherwise, while so employed, or

(b) Whoever, having been so employed, within one year after his employment has ceased, appears personally before any court or department or agency of the Government as agent, or attorney for, anyone other than the United States in connection with any proceeding, application, request for a ruling or other determination, contract, claim, controversy, charge, accusation, arrest, or other particular matter involving a specific party or parties in which the United States is a party or directly and substantially interested, and which was under his official responsibility as an officer or employee of the Government at any time within a period of one year prior to the termination of such responsibility—

Shall be fined not more than \$10,000 or imprisoned for not more than two years, or both: *Provided*, That nothing in subsection (a) or (b) prevents a former officer or employee, including a former special Government employee, with outstanding scientific or technological qualifications from acting as attorney or agent or appearing personally in connection with a particular matter in a scientific or technological field if the head of the department or agency concerned with the matter shall make a certification in writing, published in the FEDERAL REGISTER, that the national interest would be served by such action or appearance by the former officer or employee.

(c) Whoever, being a partner of an officer or employee of the executive branch of the United States Government, of any independent agency of the United States, or of the District of Columbia, including a special Government employee, acts as agent or attorney for anyone, other than the United States, in connection with any judicial or other proceeding, application, request for a ruling or other determination, contract, claim, controversy, charge, accusation, arrest, or other particular matter in which the United States is a party or has a direct and substantial interest and in which such officer or employee of the Government or special Government employee participates or has participated personally and substantially as a Government employee through decision, approval, disapproval, recommendation, the rendering of advice, investigation or otherwise, or which is the subject of his official responsibility—

Shall be fined not more than \$5,000, or imprisoned not more than one year, or both.

A partner of a present or former officer or employee of the executive branch of the United States Government, of any independent agency of the United States, or of the District of Columbia or of a present or former special Government employee shall as such be subject to the provisions of sections 203, 205, and 207 of this title only as expressly provided in subsection (c) of this section.

18 U.S.C. 208. *Acts affecting a personal financial interest.*

(a) Except as permitted by subsection (b) hereof, whoever, being an officer or employee of the executive branch of the United States Government, of any independent agency of the United States, or of the District of Columbia, including a special Government employee, participates personally and substantially as a Government officer or employee, through decision, approval, disapproval, recommendation, the rendering of advice, investigation, or otherwise, in a judicial or other proceeding, application, request for a ruling or other determination, contract, claim, controversy, charge, accusation, arrest, or other particular matter in which, to his knowledge, he, his spouse, minor child, partner, organization in which he is serving

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as officer, director, trustee, partner or employee, or any person or organization with whom he is negotiating or has any arrangement concerning prospective employment, has a financial interest—

Shall be fined not more than \$10,000, or imprisoned not more than two years, or both.

(b) Subsection (a) hereof shall not apply (1) if the officer or employee first advises the Government official responsible for appointment to his position of the nature and circumstances of the judicial or other proceeding, application, request for a ruling or other determination, contract, claim, controversy, charge, accusation, arrest, or other particular matter and makes full disclosure of the financial interest and receives in advance a written determination made by such official that the interest is not so substantial as to be deemed likely to affect the integrity of the services which the Government may expect from such officer or employee, or (2) if, by general rule or regulation published in the FEDERAL REGISTER, the financial interest has been exempted from the requirements of clause (1) hereof as being too remote or too inconsequential to affect the integrity of Government officers' or employees' services.

18 U.S.C. 209. *Salary of Government officials and employees payable only by United States.*

(a) Whoever receives any salary, or any contribution to or supplementation of salary, as compensation for his services as an officer or employee of the executive branch of the United States Government, of any independent agency of the United States, or of the District of Columbia, from any source other than the Government of the United States, except as may be contributed out of the treasury of any State, county, or municipality; or

Whoever, whether an individual, partnership, association, corporation, or other organization pays, or makes any contribution to, or in any way supplements the salary of, any such officer or employee under circumstances which would make its receipt a violation of this subsection—

Shall be fined not more than \$5,000 or imprisoned not more than one year, or both.

(b) Nothing herein prevents an officer or employee of the executive branch of the United States Government, or of any independent agency of the United States, or of the District of Columbia, from continuing to participate in a bona fide pension, retirement, group life, health or accident insurance, profit-sharing, stock bonus, or other employee welfare or benefit plan maintained by a former employer.

(c) This section does not apply to a special Government employee or to an officer or employee of the Government serving without compensation, whether or not he is a special Government employee, or to any person paying, contributing to, or supplementing his salary as such.

(d) This section does not prohibit payment or acceptance of contributions, awards, or other expenses under the terms of the Government Employees Training Act (Public Law 85-507, 72 Stat. 327; 5 U.S.C. 2301-2319, July 7, 1958).

Section 2

COMPLIANCE PROGRAM

The Compliance Division in the Office of the Administrator shall serve the Administrator and the heads of constituent agencies and units in the performance of the functions set forth below.

FUNCTIONS OF THE COMPLIANCE DIVISION

The Compliance Division is responsible for the formulation of overall compliance policies and supervision and direction of the compliance program; determination of extent and scope of investigations and inspections; conduct of inspections and preparation of reports with respect to the inspection, quasi-investigative, and other facilities within the Housing and Home Finance Agency designed to assure integrity and effectiveness in the conduct of operations and performance of activities in accordance with established policy and procedures; conduct of investigations and preparation of reports with respect to possible violations of laws or regulations and other irregularities in connection with Agency programs or activities, including such investigation of possible criminal violation as may be necessary for prompt administrative action or for referral to the Department of Justice or other Government agencies; review of investigation and inspection reports received from other Government agencies concerning matters which by statute or agreement are within their jurisdiction to investigate; preparation of recommendations to the Administrator on the basis of facts disclosed by investigations and inspections; preparation for Administrator of referrals to Department of Justice or other Government agencies of matters involving possible criminality or the need for other action; establishment and maintenance of confidential files, including the integration therein of all investigative material in the HHFA constituent agencies and units; preparation of periodic overall reports on compliance activities and findings; and maintenance of compliance liaison with other Government agencies.

Upon request of the Administrator, Deputy Administrator, or head of a constituent agency or unit to the Director of the Compliance Division, the Division shall make special inspections of activities or offices of the Housing and Home Finance Agency. The Division shall not, however, duplicate any activities or functions of a similar nature in the HHFA constituent agencies and units.

The Division shall conduct investigations only on specific assignment of the Director of the Compliance Division, who shall make such

assignments at the request of the Administrator, or in FHA Title I cases, the Assistant FHA Commissioner for Property Improvement.

REFERRALS TO COMPLIANCE DIVISION

All referrals of information, allegations, or complaints for investigation, *except as stated below*, shall be made to the Administrator over the signature of the head of the constituent or the official designated to act for him in his absence.

Exceptions:

- (a) Referrals of FHA Title I cases shall be made directly to the Director of the Compliance Division by the Assistant FHA Commissioner for Property Improvement.
- (b) HHFA Regional Administrators, PHA Regional Directors, FNMA Agency Managers, and FHA Insuring Office Directors shall report directly and immediately to the nearest FBI office by telephone, telegraph, or in person the following matters: embezzlement or alleged embezzlement of Government funds by an employee or by any other person; thefts of Government property by any person; bribery, attempted bribery, or alleged bribery of an agency employee; solicitation of money or a gratuity by an agency employee from any person doing business with the agency; or impersonation or alleged impersonation of an agency employee. Information regarding such direct referrals shall be sent immediately both to the Administrator and to the head of the constituent concerned in double-sealed envelopes marked "Administratively Confidential." (Such direct FBI referrals are authorized in order to expedite certain investigations where quick action may be important.)

Referrals for investigation shall be addressed to the Administrator, attention of the Director, Compliance Division, and sent to the Administrator in double-sealed envelopes marked "Administratively Confidential," for review and transmittal to the Director of the Compliance Division.

In determining whether information, allegations, or complaints shall be referred for special investigation, heads of constituent agencies and units shall be guided by the following criteria governing types of cases which shall be referred immediately upon their receipt to the Administrator:

- (1) Information indicating possible criminal violation, regardless of the source.
- (2) Matters requiring investigation and which are of sufficient seriousness and complexity to require trained investigative staff.
- (3) Other matters of such a nature or of such importance as to justify an objective investigation for the purposes of administrative action.

The requirement that the types of matters set forth above must be referred immediately on their receipt is not intended to exclude the referral of any other cases which the head of a constituent agency or unit may wish investigated by the Compliance Division; nor is it intended to preclude the taking of such concurrent administrative or supervisory action as may be required in the judgment of the constituent head, provided such concurrent action will not prejudice criminal investigation or prosecution.

RESPONSIBILITIES OF CONSTITUENTS

Reports of investigation shall be transmitted by the Director of the Compliance Division to the head of the constituent concerned.

Action on Investigation Reports. Heads of constituent agencies and units shall be responsible for taking appropriate action based on the findings contained in reports of investigation. When the constituent head determines that final disposition of an investigation case has been effected, he shall forward to the Director of the Compliance Division a *Disposition Report*, Form H-1416, (Exhibit A) indicating the action taken.

Action on Inspection Reports. Heads of constituent agencies and units shall be responsible for taking appropriate action based on the findings, recommendations, or other information contained in reports of inspection. Within 45 days after receipt of an inspection report, the constituent head shall transmit to the Deputy Administrator written comments indicating concurrences and/or disagreements with the findings, recommendations, or suggestions contained in the inspection report. The comments shall specify all planned implementation of the inspection report and the anticipated date thereof, as well as the basis for any nonconcurrences.

Copies of all directives, instructions, procedures or other issuances effecting implementation of an inspection report shall be furnished the Deputy Administrator promptly. The Deputy Administrator shall be advised when all action on the inspection report has been completed so that his file may be closed.

Employee Cooperation. Constituent agency and unit heads should instruct their employees to cooperate with members of the Compliance Division staff in making available such information and records as may be requested in the conduct of inspection reviews or investigations. In addition, constituent heads should direct their employees to report immediately any allegations or information concerning possible violations of laws or regulations, or irregularities or fraud which come to their attention.

REFERRALS TO DEPARTMENT OF JUSTICE

All referrals for prosecution or investigation to the Department of Justice (including the Federal Bureau of Investigation) or to other

Federal agencies, excepting referrals of FHA Title I cases and direct referrals as spelled out above under "Exceptions," will be made by the Administrator. A copy of the referral will be sent to the appropriate constituent head.

The Compliance Division shall be the sole liaison office with the Department of Justice concerning criminal matters referred to that Department.

EXHIBIT A

HOUSING AND HOME FINANCE AGENCY
OFFICE OF THE ADMINISTRATOR
COMPLIANCE DIVISION

H-1416
(3-61)

DISPOSITION REPORT

TO : Director, Compliance Division, HHFA

FROM _____

SUBJECT: _____

File No. _____

The Report(s) of Investigation of the Subject Case has-have been reviewed, evaluated, and disposition made as indicated in the check list below. The nature of the Administrative Action is explained under DETAILS.

- 1. Precautionary Measures applied rescinded
- 2. 512 Debarment applied rescinded
- 3. Debarment other than 512 applied rescinded
- 4. Personnel action
- 5. Agency Regulations revised
- 6. Contract with financial institution rescinded
- 7. Cease and Desist Order issued
- 8. Civil Action
- 9. Monetary Recovery - Amount \$ _____ To Agency To Other
- 10. Construction Corrections
- 11. Claims denied Repurchased Amount \$ _____
- 12. Referral to other Agency
- 13. No action warranted
- 14. Other

DETAILS: (Summarize details of action, including names, number of persons and firms involved. If "no action warranted," give reasons.)

Based on the above disposition(s) it is recommended that this case be closed.

Date _____ (signed) _____
Authorized Official

COMMENT: (For use of Compliance Division, HHFA)

Section 3

MANAGEMENT IMPROVEMENT PROGRAM

Executive Order No. 10072 and Title X of the Classification Act of 1949 direct each department and agency head systematically to review the effectiveness of his agency's programs and the economy of its operations. The Bureau of the Budget, in Circular No. A-8, has provided general guides for carrying out agency responsibilities under Executive Order No. 10072 and Title X.¹

PROGRAM OBJECTIVES

The objectives of the systematic reviews required under the management improvement program are :

- (1) To determine program effectiveness, that is:
 - (a) The extent to which long- and short-range objectives and program goals of the Agency are clearly defined for the guidance of operations, are consistent with the intent of the Congress and the program of the President, and are suited to current circumstances.
 - (b) The degree to which objectives and program goals are being met.
- (2) To determine the efficiency and economy of operations, including an appraisal of organization, procedures, and staffing at each level.
- (3) To plan and take improvement action by:
 - (a) Identifying opportunities for improvement in programs and operations.
 - (b) Determining priority of improvement actions in terms of potential economies or better service to the public.
 - (c) Setting time schedules and assigning responsibility and staff to take necessary action in areas selected for priority attention.
- (4) To encourage employee participation in management improvement by identifying, for purposes of recognition and awards, those employees or organization units which have made outstanding contributions to efficiency and economy of operations.

AGENCY RESPONSIBILITIES

The head of each HHFA constituent is responsible for the management improvement program within his constituent.

¹ Supplement 1 to Circular A-8, relating to incentive awards, was rescinded November 30, 1954. The reporting requirements in paragraph 6 of Circular A-8 were rescinded August 11, 1954.

The Administrator's responsibility for Agency-wide coordination of the management improvement program will be carried out with the advice and assistance of the Advisory Board for Agency Policy Coordination.

MANAGEMENT CLEARING HOUSE FILE

To help agencies benefit from each other's efforts to develop better management methods, the Bureau of the Budget has started a collection of agency materials called the Management Clearing House File. The file is intended to meet the expressed need for a central interchange of noteworthy agency management materials.

The file consists of agency materials on specific management systems, techniques, practices, and problem solutions that may be of interest to other agencies. It covers all functions or aspects of the management process, except personnel administration, for which the Civil Service Commission serves as a central reference source.

The file is intended primarily for materials that contribute to advancing the knowledge and practice of management. New concepts, superior applications, outstanding results, effective innovations, and improvements in basic methods are some of the criteria that apply. Items that reflect common application of established management practices normally will not be included in the collection. Materials may be pamphlets, handbooks or other guides, selected portions of agency manuals, study and research reports, staff papers, articles, speeches, illustrative documents, or special compilations on specific subjects. Field as well as headquarters items are appropriate.

The file has been set up as a special addition to the Bureau of the Budget library. Materials in the collection are available for consultation or loan through regular inter-library loan arrangements. The initial collection consists of more than 400 items obtained from 25 agencies, and a subject listing of these is attached to Bureau of the Budget Circular No. A-53, dated May 13, 1961. The Bureau expects to issue additional listings as time and staff permit.

In order that this Agency may contribute to the development of the Management Clearing House File, a permanent procedure for the continuing identification and transmission of appropriate materials shall be established within each constituent. Such materials shall be forwarded to the HHFA Office of Administration, Management Analysis and Procedures Branch, which will have responsibility for screening and transmitting Agency contributions to the Bureau of the Budget.

Part 3. HHFA Administrative Policies and Procedures

Chapter 1: General

Section 4

**DECORATIONS, ETC., TENDERED BY FOREIGN GOVERNMENTS
TO RETIRED PERSONNEL**

In a letter to the heads of executive departments and establishments, dated April 13, 1954, the President has directed that each department and establishment will hereafter be governed by the requirements of the Act of June 27, 1934 (5 U.S.C. 115a¹) with respect to requesting the consent of Congress for retired personnel to accept gifts, decorations, awards, or any other thing tendered to them by a foreign government. The following procedure is established in compliance with the President's directive.

About six weeks before the beginning of the Second Session of the 85th Congress and each alternate Congress thereafter, each constituent of the Agency shall compile and transmit to the Administrator's Assistant for International Housing Activities a list of its retired personnel for whom the Department of State under the provisions of the Act of January 31, 1881 (5 U.S.C. 115²) is holding decorations, orders, medals, or presents tendered them by foreign governments and for the acceptance of which the consent of the Congress is to be requested by the Agency. Such list shall be supported by documentation including the date on which the intended recipient retired, the name of the donor government, the name or title or other identification of the thing to be accepted, and the specific reason for which it was tendered. Each constituent shall also be prepared to provide, on behalf of any such retired person, such further information as the appropriate Committees of the Congress may require with respect to any award tendered to such retired personnel. No request shall be submitted for other than retired personnel.

After such review as he deems necessary, the Administrator will submit such list and documentation to the Secretary of State, who will have prepared an omnibus authorizing bill covering the retired personnel listed by departments and will transmit such bill and consolidated list to the Congress. Before submitting any consolidated list to the Congress, the Secretary of State will review the list in order to ascertain if there is any objection to the acceptance of any award.

¹ Section 115a reads: "The Secretary of State is directed to furnish to the Seventy-fifth Congress and to each alternate Congress thereafter a list of those retired officers or employees of the United States for whom the Department of State under the provisions of section 115 of this title, is holding decorations, orders, medals, or presents tendered them by foreign governments."

² Section 115 reads: "Any present, decoration, or other thing, which shall be conferred or presented by any foreign government to any officer of the United States, civil, naval, or military, shall be tendered through the Department of State, and not to the individual in person, but such present, decoration, or other thing shall not be delivered by the Department of State unless so authorized by act of Congress."

therein proposed from the point of view of the foreign policy of the United States; and if there be any such objection, the matter may be presented to the President for his decision.

Section 2

REGULATIONS GOVERNING THE TENDERING OF FOREIGN DECORATIONS TO RETIRED PERSONNEL

Section 1. The Secretary of Defense shall have the honor to receive from the foreign governments all decorations, medals, and other honors tendered to retired personnel of the United States Armed Forces, and to forward them to the appropriate authorities for their consideration.

Section 2. The Secretary of Defense shall have the honor to receive from the foreign governments all decorations, medals, and other honors tendered to retired personnel of the United States Armed Forces, and to forward them to the appropriate authorities for their consideration.

Section 3. The Secretary of Defense shall have the honor to receive from the foreign governments all decorations, medals, and other honors tendered to retired personnel of the United States Armed Forces, and to forward them to the appropriate authorities for their consideration.

Section 4. The Secretary of Defense shall have the honor to receive from the foreign governments all decorations, medals, and other honors tendered to retired personnel of the United States Armed Forces, and to forward them to the appropriate authorities for their consideration.

Section 5

INCENTIVE AWARDS PROGRAM

The Government Employees' Incentive Awards Act of 1954 established a government-wide program to encourage employees of the Federal Government to seek more effective and economical means of operations. This Act authorizes the payment of cash awards to, and the incurring of necessary expenses for the honorary recognition of, employees who by their suggestions, inventions, superior accomplishments, or other personal efforts contribute to the efficiency, economy, or to other improvements in Government operations, or who perform special acts or services in the public interest in connection with or related to their official employment.

AGENCY POLICY

In order that all HHFA employees eligible for awards shall be treated equitably, the criteria used for determining basic eligibility for awards will be uniform throughout the Agency.

It is the policy of the Agency to provide maximum opportunity to employees, individually as well as in groups, to (1) perform in a manner deserving of special official recognition, and (2) generate ideas, with assurance of optimum Agency use of worthwhile ideas. In addition, employee contributions will be examined to determine their potential applicability to other Federal agencies, and if further adoption is possible, will be made available to appropriate agencies.

RESPONSIBILITY FOR INCENTIVE AWARDS PROGRAM

Responsibilities of the Administrator

The Administrator shall have general responsibility for establishing and operating a plan for the use of incentive awards as an integral part of supervision and management in the Agency, including the development of uniform criteria for awards, the granting of departmental awards to employees, the nominating of employees for awards granted by non-Federal organizations, and the promulgation of policy matters on the Agency-wide program. He shall also have specific responsibility for the operation of an incentive awards program within the Office of the Administrator, the Urban Renewal Administration, and the Community Facilities Administration.

The Assistant Administrator (Administration) shall be responsible to the Administrator for the general supervision and coordination of

the HHFA Incentive Awards Program, having been specifically assigned the following responsibilities:

- (1) Developing and recommending policies, standards and procedures intended to improve and make more consistent the operations of the awards programs within the HHFA.
- (2) Encouraging the fullest possible application of ideas received through the Incentive Awards Program throughout the Agency.
- (3) Reviewing and transmitting to the Civil Service Commission recommendations approved for cash awards in excess of \$5,000.
- (4) Compiling HHFA reports on the Incentive Awards Program, including the annual report required by the Civil Service Commission.

Responsibilities of the Heads of Constituent Agencies

The heads of constituents, or their designees, are responsible for:

- (1) developing their own Incentive Awards Programs, including operating procedures and internal awards organization, consistent with Civil Service Commission instructions as defined in Chapter 451 and Supplement 990-1 of the Federal Personnel Manual; (2) participation in the development of Agency policies and standards to insure uniformity in basic criteria.

ELIGIBILITY FOR AWARDS

All employees of the HHFA are eligible candidates for cash and honorary awards. In addition, former employees or the estates of deceased employees may be considered for awards for contributions made by such persons while employed in the HHFA.

TYPES OF AWARDS

Awards granted within the Agency under the Incentive Awards Program are classified in four main categories: (1) Distinguished Service Award, (2) Length of Service Award, (3) Superior Service Award, and (4) Employee Suggestion Award. Ordinarily, the first and second are honorary; the third and fourth usually are accompanied by cash.

Women in the Agency who have made outstanding professional contributions may be nominated for the Federal Woman's Award for Outstanding Achievement.

An officer or employee deserving a greater public commendation than that which can be accorded by the Agency may be recommended for the President's Award for Distinguished Federal Civilian Service.

The Agency participates in awards granted by non-Federal organizations. These include the National Civil Service League Career Service Award, the Arthur S. Flemming Award, the William A. Jump Memorial Award, and the Rockefeller Public Service Awards.

DISTINGUISHED SERVICE AWARD

The Distinguished Service Award is the Agency's highest award, and is conferred by the Administrator once a year upon a limited number of employees who have made the greatest contributions to the operation of the Agency. This award may be granted in recognition of the same employee contribution for which a cash and/or honorary award has been previously granted.

The Administrator, the Deputy Administrator, or a designated representative (for the OA and the HHFA Regional Offices) and the head of each constituent (including URA and CFA) may nominate not more than three employees a year for this award. Nominations shall be submitted by August 31 of each year through the OA Director of Personnel to an ad hoc selection committee appointed by the Administrator.

LENGTH OF SERVICE AWARD

A Length of Service Award may be granted to an employee after the completion of not less than ten years of Federal service and at five year intervals thereafter. The Service Award consists of an appropriate emblem.

SUPERIOR SERVICE AWARD

The Superior Service Award, which consists of an honorary award accompanied ordinarily by cash, must be initiated by a supervisor of the employee who made the contribution. It may be granted for any type of service or performance of major significance to the Agency which merits special recognition.¹

Superior Service Awards fall into two categories; these are: (1) Sustained Superior Service, and (2) Special Act or Service.

Sustained Superior Service

Sustained Superior Service is the discharge of regular duties which so substantially exceeds normal performance requirements, extending over a considerable period of time, as to merit special recognition. It is emphasized that this type of contribution is characterized by the high level performance of duties over an extended period of time.

To meet the standard for an award, performance should exceed one or more of the major requirements of the position, while meeting normal standards in other aspects. The extent to which performance must exceed requirements in most aspects to merit an award recognition often cannot be established with precision. This is especially true in those areas of performance which are not subject to exact measurement in terms of quantity and quality. Awards committees and supervisors need to exercise considered judgment in making evaluations and recommendations in such cases.

¹ Awards for Outstanding Performance are handled under the separate Performance Rating Plans of the Constituent Agencies.

Award Scale

The amounts of cash awards paid for Sustained Superior Service shall be established on the basis of the following table:

<u>Grade of Employee</u>	<u>Maximum Amount</u>
GS-1 through GS-8	\$200
GS-9 through GS-12	\$350
GS-13 and up	\$500

Special Act or Service

Special Act or Service is a nonrecurring, especially meritorious contribution, achievement, service or performance of an assignment. It may be for example, a specific assignment performed in connection with a special program or activity during an emergency or it may be characterized by creative effort important to operations, research, and administration.

Typical, but not all-inclusive, of this type of contribution are:

- (1) Performance which has involved the overcoming of unusual operating difficulties.
- (2) Original developments or improvements in methods, organization, procedures, or products which result in substantial benefits or savings to the Government.
- (3) Exemplary or courageous handling of an emergency situation, not necessarily related to official duties.
- (4) Initiative and creative efforts which make important contributions to the Agency's programs, such as distinguished authorship.

Deserving contributions which are not cited above should not be excluded from consideration for a Superior Service Award.

A cash award made to a group of employees will be distributed as follows:

- (1) If the employees have contributed on a substantially equal basis to the employee contribution being recognized, each employee will receive an equal share of the total award.
- (2) If the degree of contribution from employees in the group differs materially, each employee will receive a share of the total group award that is in proportion to his particular contribution.

The total of a group cash award shall not exceed the amount authorized for that type of award for an individual, unless specifically authorized by the head of the constituent agency concerned, or his designee for this purpose. When such exceptions are made, the reasons therefor will be fully documented and made a matter of record.

EMPLOYEE SUGGESTION AWARD

A suggestion, contribution, or invention is a proposal expressed in

specific terms which shows how to effect economies in operation, increase production, improve service to the public, or otherwise benefit the Government. It may concern a matter within or outside an employee's job responsibilities.

An idea submitted by an employee will be eligible for an award when it is adopted and actually put into effect, or a determination made that it will be used.

When a suggestion has been made by more than one employee, or by a group of employees, all who have contributed, including supervisors, may share equally or proportionately in awards. The total amount of the cash award shall be the amount authorized for the same type of award if made to an individual. However, where individual shares of such group awards appear inappropriate, exceptions from the scale may be made by the head of the constituent agency concerned, or his designee; in which case, reasons for the deviation shall be fully documented in support of the action taken.

Suggestions on Matters Within Job Responsibilities

In some jobs a major responsibility is to search for ways of conducting Agency business with increased efficiency and economy. Positions such as those of Management Analysts, Program Planners, Classification Analysts, and principal staff positions are in this category. Although suggestions from such individuals are expected as part of their job, these employees are not precluded from awards for suggestions. As a general rule, when an individual in such a position receives an award for a job-related suggestion, the suggestion is of considerable significance and goes beyond the scope of normal expectations.

Suggestions on Matters Outside Job Responsibilities

All suggestions dealing with matters that are not related to or only very indirectly related to the suggester's job requirements, may be considered as the basis for an award.

Intra-Agency Suggestions

When an idea submitted by an employee is considered to have application in other HHFA constituents, it will be forwarded directly to the appropriate agency or agencies or to the OA committee if appropriate, following consideration by the originating agency. If the idea also has application to the employee's own agency and is adopted, the award will be made upon its value to the employee's agency without awaiting the results of the evaluation in other HHFA constituent agencies.

Inter-Agency Suggestions

Suggestions submitted by employees which are considered to have application to departments of the government outside the HHFA and

thereby are eligible for consideration for interdepartmental awards, will be forwarded by the employing constituent agency or by the OA committee as appropriate, to the Civil Service Commission or to the affected Federal department. Specific information as to the activities in other departments where it is believed the employee contribution may be used shall accompany the incentive award file.

Employee contributions coming from other Federal departments and forwarded for evaluation will be reviewed and amounts awarded will be calculated by constituent agencies according to the same standards used for contributions submitted by HHFA employees. The final determination of the contribution will be made by the respective constituent agency.

Reports of action taken on the contributions of employees of other Federal departments forwarded to constituent agencies for evaluation, shall be returned by the respective constituent agencies at the earliest practicable date, but no later than 30 days after receipt, except upon prior approval of extension of that time period. The report will include: (1) the estimated first year net monetary savings, if any, and (2) the amount of the cash award that would be in order for intangible benefits, if any, under HHFA standards. The constituent agency will arrange to remit that amount to the Federal department in which the employee works.

When funds are received from other Federal departments for payment to the HHFA employee such funds shall be placed in a deposit fund account until all such funds are received, at which time a single award payment will be made to the employee.

Award Scales

Tangible Benefits Table

When it has been determined that an employee suggestion is worthy of an award based primarily upon demonstrated savings, the amount to be paid will be set by the following award scale as established by Civil Service Commission regulations:

<i>TANGIBLE BENEFITS</i>	<i>AMOUNT OF AWARD</i>
\$50-\$300	\$15
\$301-\$10,000	\$15 for the first \$300 in benefits and \$5 for each additional \$100 or fraction thereof.
\$10,001-\$20,000	\$500 for the first \$10,000 in benefits and \$5 for each additional \$200 or fraction thereof.
\$20,001-\$100,000	\$750 for the first \$20,000 in benefits and \$5 for each additional \$1,000 or fraction thereof.
\$100,001 or more.....	\$1,150 for the first \$100,000 in benefits and \$5 for each additional \$5,000 or fraction thereof.

Exceptions to this scale may be granted by the head of the particular constituent agency or by the Assistant Administrator (Administration)

as appropriate. When such exceptions are requested, the reasons therefor shall be documented and made a matter of record.

Savings from employee contributions will be calculated on the basis of the estimated net savings (gross savings minus cost of installation if significant) for the first full year of operation. An exception may be made where an improvement with a high installation cost will yield measurable savings continuing more than one year. In these cases, the award may be based on the new average annual savings over a period of years, which may not exceed either the reasonable life of the initial installation or the clearly predictable period of use, whichever is the shorter.

Intangible Benefits

When it is determined that an employee or a group of employees is eligible for a cash award based solely or primarily on intangible benefits derived from a suggestion as defined in this section, the amount of the award paid shall be determined by the following factors:

- (1) The extent of the benefit in terms of its application—i.e. whether it benefits only the immediate office or whether it has general Agency-wide application.
- (2) The value of the benefit in terms of the effect the suggestion has on current methods of operation—i.e. whether it involves only a minor change or whether it involves a significant change affecting a primary program.

REPORTING REQUIREMENTS

The annual report on the operation of the Incentive Awards Program required by the Civil Service Commission shall be forwarded by each constituent to the Assistant Administrator (Administration) by August 15 of each year, in duplicate.

OTHER AWARDS

There are a number of Government-wide awards for which nominations may be submitted by the Administrator to the appropriate awards committees. The major awards of this type include the following:

- President's Award for Distinguished Federal Civilian Service
- Federal Woman's Award for Outstanding Achievement
- National Civil Service League Career Service Award
- Arthur S. Flemming Award
- William A. Jump Memorial Award
- Rockefeller Public Service Award

Announcements of these awards will be forwarded to the constituent agencies as they are received in the Administrator's office. Recommendations for these awards will be submitted by the Assistant

Administrator (Administration) (for the OA and HHFA Regional offices) and by the heads of the constituents, and shall be forwarded through the OA Director of Personnel to an ad hoc selection committee appointed by the Administrator.

CONSIDERATION FOR PROMOTION

Appropriate notation will be made in the employee's Official Personnel Folder of all cash and honorary awards granted him.

When an employee is being considered for promotion in accordance with regular promotion procedures, such cash or honorary awards will be taken into consideration in the ranking or selection process.

SUPERVISORY RESPONSIBILITY AND RECOGNITION

It is the duty of all supervisors to identify those employees and groups of employees whose contributions, acts, service, or superior accomplishments merit special recognition, and to recommend such employees for appropriate awards. Supervisors are also responsible for encouraging employees to submit ideas for consideration under the program.

Supervisors will be given due recognition for the extent to which they are successful in motivating the interest and participation of their employees in the Incentive Awards Program.

PUBLICITY

A program for adequate publicity shall be established within each constituent and the OA committee. Such publicity shall stress the continuing need for employee suggestion, the desirability of increased employee and unit efficiency, and benefits accruing to employees who participate in the program.

Section 6

DISTRIBUTION OF HHFA ADMINISTRATIVE RELEASES

The following HHFA administrative releases are distributed through the OA Division of General Services:

HHFA Manual (Volumes I through VII)
Urban Renewal Manual; LPA Manual; LPA Letters¹
Regional Circulars
Staff Memorandums

INTERNAL DISTRIBUTION POLICY

Constituent agency staff offices should have ready access to the HHFA administrative releases they need in connection with operations. However, distribution should be restricted to actual needs in order to minimize costs of printing and maintenance.

Distribution to constituent agencies will be made on a bulk basis, each constituent making further distribution within its own organization. Each constituent agency should have a central point at which the distribution plan is controlled and from which requisitions for changes in the plan should originate.

Constituent agencies should not stock extra sets of Manual or other releases. When additional distribution is required, the Division of General Services will automatically supply the material already issued prior to the date the new distribution becomes effective.

When the distribution of Manual material is decreased, the constituent agency should send the excess binders and material to the Division of General Services for stock. This does not apply to LPA Letters, Regional Circulars, or Staff Memorandums.

OUTSIDE DISTRIBUTION POLICY

Except for Volume I, the Urban Renewal Manual, and the LPA Manual, HHFA administrative releases will not ordinarily be distributed outside the Housing and Home Finance Agency. Except as specified below, requests for outside distribution should be referred to the Office of the Administrator for reply.

Requests for the LPA Manual for the use of other than HHFA employees should be forwarded to the Urban Renewal Administration.

Outside requests for Volume I and the Urban Renewal Manual should be answered with the information that these Volumes are not available for free distribution, but that they can be purchased on a subscription basis from the Superintendent of Documents, Washington 25, D. C.

REQUISITIONING PROCEDURE

Constituent agencies should use Form H-174, *Requisition for Administrative Releases* (Exhibit A) for requesting changes in the distribution of administrative releases and for ordering separate copies of specific releases.

¹ Internal HHFA distribution of the Urban Renewal Manual, LPA Manual, and LPA Letters is handled on the same distribution list.

Form H-174 should be sent direct to the OA Division of General Services, in duplicate. One copy will be returned to the constituent agency when the order is filled.

The column headed *Bulk Distribution* will be used to request changes in bulk distribution to the constituent agencies.

The column headed *Direct Distribution to Central Office Addressees and Field Offices* will not be used by constituent agencies.

The column headed *Request for Extra Copies of Specific Releases* will be used to order additional copies of individual releases for constituent agency use or to replace shortages in the normal distribution.

Form H-174 may be procured from the OA Division of General Services.

EXHIBIT A

HOUSING AND HOME FINANCE AGENCY OFFICE OF THE ADMINISTRATOR REQUISITION FOR ADMINISTRATIVE RELEASES (Submit in duplicate)						H-178 (4-59) DIVISION OF GENERAL SERVICES USE ONLY	
1. Division of General Services, Office of the Administrator							
2. Ordered By:						DATE RECEIVED	DATE FILLED
						BACK ORDERED	
REQUISITIONING OFFICER (Signature and Title)				DATE		FILLED BY	
TYPE OF RELEASE	BULK DISTRIBUTION		DIRECT DISTRIBUTION TO CENTRAL OFFICE ADDRESSEES AND FIELD OFFICES			REQUEST FOR EXTRA COPIES OF SPECIFIC RELEASES	
	NUMBER OF COPIES NOW RECEIVED	NUMBER OF COPIES REQUESTED	NUMBER OF COPIES NOW RECEIVED	NUMBER OF COPIES REQUESTED	NAME AND ADDRESS TO BE USED ON ADDRESS PLATE	RELEASE NO. AND DATE	NUMBER OF COPIES REQUESTED
VOLUME I							
VOLUME II							
VOLUME III							
VOLUME IV							
VOLUME V BOOK I							
VOLUME V BOOK II							
VOLUME VI							
VOLUME VII							
LPA AND URBAN RENEWAL MANUALS: LPA LETTERS							
REGIONAL CIRCULARS							
STAFF MEMORANDUMS							
REMARKS:							

FHLBB-Washington, D. C.

Section 7

REQUESTS FOR DECISIONS BY THE COMPTROLLER GENERAL; RELIEF OF ACCOUNTABLE OFFICERS; REMISSION OF LIQUIDATED DAMAGES

REQUESTS FOR DECISIONS

Section 8 of the Dockery Act, approved July 31, 1894, as amended (31 U.S.C. 74), authorizes the head of any executive department or other establishment not under any of the executive departments, or disbursing officers, to apply to the Comptroller General for a decision upon any question involving a payment to be made by them or under them.

Section 3 of the act of December 29, 1941 (31 U.S.C. 82d), authorizes certifying officers to apply to the Comptroller General for a decision on any question of law involved in a payment on any voucher presented to them for certification.

Requests to be Prepared for Administrator's Signature

Any request for a decision by the Comptroller General upon questions involving a payment to be made under a constituent agency, other than a question before a disbursing officer or certifying officer for payment or certification or a question which a contracting officer is authorized to submit to the Comptroller General, shall be prepared for the signature of the Housing and Home Finance Administrator, in accordance with the Comptroller General's unpublished decision dated June 22, 1948 (B-55970 and B-56924). The letter requesting such decision shall be forwarded to the General Counsel, Housing and Home Finance Agency, with three carbon copies marked for (1) the Administrator, (2) the General Counsel, Housing and Home Finance Agency, and (3) the OA Central Files, which copy shall be surnamed by both the General Counsel and the head of the constituent agency. Any correspondence with the Comptroller General in connection with such requests shall be submitted in the same manner, unless otherwise authorized or directed by the Administrator.

Requests Made Directly by Disbursing or Certifying Officers

Where a request for a decision is made directly by a disbursing or certifying officer to the Comptroller General, pursuant to the statutory authority cited above, a copy of each unpublished decision rendered by the Comptroller General in reply, together with a copy of such request, shall be furnished to the General Counsel, Housing and Home Finance Agency.

REQUESTS FOR RELIEF OF ACCOUNTABLE OFFICERS

Requests for the relief of accountable officers made under the act of August 1, 1947, as amended (31 U.S.C. 82a-1), shall be prepared for signature by the Housing and Home Finance Administrator, in accordance with the rationale of the Comptroller General's unpublished decision dated June 22, 1948 (B-55970 and B-56924).

Such submissions shall be addressed to the Comptroller General, at-

tention Director, Civil Accounting and Auditing Division. They shall name the individuals involved, specify the amounts and nature of the relief being requested and the authority for granting it, and include a succinct statement of the findings required by the statute. The more detailed facts pertaining to the request for relief shall be set forth in a separate memorandum from the head of the constituent agency to the Administrator. The memorandum and proposed submission shall be forwarded through the General Counsel, Housing and Home Finance Agency, and shall include three carbon copies marked for (1) the Administrator; (2) the General Counsel, Housing and Home Finance Agency; and (3) the OA Central Files, which copy shall be surnamed by both the General Counsel and the head of the constituent agency. Correspondence with the Comptroller General in connection with such requests shall be submitted in the same manner, unless otherwise authorized or directed by the Administrator.

Any request for relief of a disbursing officer made under section 1 of the act of August 11, 1955 (31 U.S.C. 82a-2), shall be processed in the same manner, except that where the Administrator designates some other officer to make the findings and recommendations authorized by the statute, the submission shall be signed by such designee.

Requests for relief of certifying officers made under the act of December 29, 1941 (31 U.S.C. 82c), do not need to be prepared for the Administrator's signature.

REQUESTS FOR REMISSION OF LIQUIDATED DAMAGES

Any request to the Comptroller General under the authority of section 10(a) of the act of September 5, 1940 (41 U.S.C. 256a), for the remission of liquidated damages assessable under a contract entered into by a constituent agency under authority delegated to it by the Housing and Home Finance Administrator, shall be prepared for signature by the Administrator.

Such request shall be supported by a report to the Administrator from the head of the constituent agency, justifying the equitable relief and setting forth the pertinent findings, determinations, and recommendations. Such findings, determinations, and recommendations will be incorporated, ordinarily by reference, into the letter requesting the remission of damages. The report and request shall be forwarded to the Administrator through the General Counsel, Housing and Home Finance Agency, with carbon copies marked for (1) the Administrator; (2) the General Counsel, Housing and Home Finance Agency; and (3) the OA Central Files, which copy shall be surnamed by both the General Counsel and the head of the constituent agency. Correspondence with the Comptroller General in connection with such requests shall be submitted in the same manner, unless otherwise authorized or directed by the Administrator.

CENTRAL SOURCE OF INFORMATION ON COMPTROLLER GENERAL UNPUBLISHED DECISIONS AND REPLIES

The General Counsel, Housing and Home Finance Agency, shall maintain a complete file of all unpublished decisions rendered to the Housing and Home Finance Administrator or to disbursing and certify-

ing officers within the Housing and Home Finance Agency, and on all replies by the Comptroller General to requests made by the Administrator for the relief of accountable officers, and for the remission, under the authority of section 10(a) of the act of September 5, 1940 (41 U.S.C. 256a), of liquidated damages; and, upon request, shall furnish to a constituent agency any information contained in such unpublished decisions or in such replies which is pertinent to matters before such agency.

Decisions rendered by the Comptroller General to the Housing and Home Finance Administrator and replies by the Comptroller General to requests by the Administrator for the relief of accountable officers and for the remission of liquidated damages shall be routed by the OA Mail Room to the General Counsel, Housing and Home Finance Agency.

Section 8

ADVISORY COMMITTEES

The Housing and Home Finance Administrator and the head of each constituent agency of the Housing and Home Finance Agency each is authorized by law to establish such advisory committees as are necessary in carrying out any of his functions, powers, and duties under any statute or other authorization.

STANDARDS AND PROCEDURES

The President's Cabinet has recommended the adoption of uniform standards and procedures for the utilization of advisory committees by all Government departments and agencies. These recommendations are set forth below for application in connection with all advisory committees established by the Housing and Home Finance Agency:

- (1) Advisory committees shall be specifically authorized by law or the head of the department or agency shall find that such committees, or the use of such committees, are in the public interest in connection with the performance of duties imposed by law.
- (2) The functions of such committees shall be solely advisory and any determination of action to be taken, based in whole or in part on such advice, shall be made solely by the proper Government official or officials.
- (3) Committee meetings shall be at the call of or with the approval of a full-time salaried officer or employee of the Government; and the agenda for the meetings shall be formulated or approved by a full-time salaried officer or employee of the Government.
- (4) Committee meetings shall be under the chairmanship of, or conducted in the presence of a full-time salaried Government official. Such Government official shall have the authority to adjourn any meeting whenever he feels that its continuation would not be in the public interest.
- (5) Minutes of each meeting shall be kept which shall contain at a minimum a summary of the matters discussed, and the conclusions reached. The Government representative shall certify that such minutes are accurate.
- (6) Each industry advisory committee shall be, so far as possible in the context of the purpose of the committee, representative of the entire industry or industries, or portions thereof. Such representation shall be accomplished by taking into account such factors as size, location, affiliation, and industrial function of the components represented. Selection of industry members shall, unless otherwise provided by statute, be limited to individuals actively engaged in the industry or industries concerned, except where the department or agency head deems such limitation impracticable for effective committee operation.

The standards and procedures set forth above shall not apply to any advisory committee for which Congress has by statute specified the purpose, composition, and conduct (such as selection of chairman or holding of meetings) unless the Congress has specifically given the President the power to prescribe rules for such committee.

DEFINITIONS

Advisory committee means any ad hoc or standing committee, board, commission, council, conference, panel, task force, or other similar group (including all subcommittees or other subgroups thereof) that is established by the Administrator or the head of a constituent agency to obtain advice or recommendations and that is not composed wholly of Federal employees.

Industry advisory committee means an advisory committee, as defined above, which is composed predominantly of members or representatives of a single industry or industries or portions thereof.

Section 9

REMOVAL OF DOCUMENTS

The President has approved criteria governing the removal of documents by retiring department and agency heads and other officers appointed by the President.¹

As a matter of HHFA policy, these criteria will apply also to all other HHFA officers and employees. HHFA officers and employees other than officers appointed by the President may remove documents only with the written authorization of the Administrator or his designee (in the case of OA, CFA, and URA employees) or of the head of the appropriate constituent agency or his designee. The granting or withholding of this authorization shall be based upon criteria set forth in this Section.

CRITERIA

In general, the removal of public documents is limited by statute; while documents which are truly personal or private belong to the officer or employee concerned and may be removed by him. When documents are a mixture of private and public matters, case-by-case decisions must be made to determine whether a given document may be removed.

Following are the existing statutory, executive, and internal policy limitations upon removal of documents:

- (1) *Material Classified Pursuant to Executive Order 10501*.²—There is no provision for the removal of classified material by a retiring officer, and two separate criminal statutes probably apply to such removals.³ However, limited arrangements for the acquisition and retention of extra copies of classified material by persons outside the Government, including retiring officials, are allowed under the amendment to Executive Order 10501 by Paragraph 2 of Executive Order 10816.⁴ (See Policy Guidelines Applicable to Agency Determination Concerning Removal of Documents, Paragraph (5).)
- (2) *Restricted Data and Other Classified Information*.—Removal of Restricted Data, as that term is defined in the Atomic Energy Act of 1954 (42 U.S.C. 2161-2166), is prohibited, and criminal penalties are imposed for violation of these provisions (42 U.S.C. 2273-2277). Special provisions have been made in 18 U.S.C. 798 for the safeguarding of classified information relating to codes, ciphers, cryptographic systems, and similar devices used in connection with communications intelligence.
- (3) *Records*.—Material which falls under the statutory definition of "records" may be disposed of only through the procedures

¹ Cabinet Paper 59-58/4, approved 7/17/1959 (Privileged).

² 18 F. R. 7049, published 11/10/1953.

³ 18 U.S.C. 2071 and 18 U.S.C. 793.

⁴ 24 F. R. 3777, published 5/12/1959.

specified in the Records Disposal Act.¹ This involves the submission of disposal lists to the Administrator of General Services and the examination of such lists by a joint committee of Congress. Material determined to be "records" may not properly be removed by retiring officers and employees, and removal might constitute a criminal violation under 18 U.S.C. 2071.

- (4) *Confidential Information*.—Many statutes guarantee the confidential nature of certain information supplied to the United States or its officers and make it a crime to disclose such information.² Material containing such information is considered to be official documents, the removal of which would be improper.

Policy Guidelines Applicable to Agency Determination Concerning Removal of Documents

- (1) *Personal Work Aids Which Are Essential to Files*.—No material, even though judged not to be "records," shall be withdrawn if its withdrawal will create such a gap in the files of the agency as to disrupt the proper documentation of its activities as provided for in Section 506 of the Federal Records Act.³ Material in personal work-aids, such as office diaries, logs, memoranda of conferences and telephone calls usually is adequately reflected in agency records; in such cases, removal of these work-aids will not cause disruption and thus generally may be authorized.
- (2) *Personally Addressed Correspondence*.—It is almost impossible to make a rule with respect to correspondence addressed directly to HHFA officers and employees. Much of it relates only to agency business, fully meets the definition of records contained in the Records Disposal Act, and must be treated as official records. However, much of it can be treated as personal or private and deals with either the public activities of the individual not related to his agency or with his purely personal activities. To the extent that material clearly falls within this category, there can be no objection to authorizing removal. However, there is undoubtedly a large body of correspondence which contains material of both types. Here, a delicate judgment as to whether it is preponderantly agency material or personal in nature must be made in each case. In the event it is determined that the material is essentially personal and that removal is authorized, a record should be made of anything contained therein relating to matters involving the official business of the agency.

¹ The definition of "records" contained in the Records Disposal Act (44 U.S.C. 366) includes "all books, papers, maps, photographs, or other documentary materials, regardless of physical form or characteristics, made or received by any agency of the United States Government in pursuance of Federal law or in connection with the transaction of public business and preserved or appropriate for preservation by that agency or its legitimate successor as evidence of the organization, functions, policies, decisions, procedures, operations, or other activities of the Government or because of the informational value of data contained therein. Library and museum material made or acquired and preserved solely for reference or exhibition purposes, extra copies of documents preserved only for convenience of reference, and stocks of publications and of processed documents are not included within the definition of the word 'records' as used in this Act." Extra copies and photostats are not "records" under this definition. The determination of what are "records" is a matter of limited agency head discretion.

² They include confidential statistical information (18 U.S.C. 1905); income tax returns (I.R.C. 6103(a)); information in possession of the Social Security Board (42 U.S.C. 1306); information obtained by bank examiners (18 U.S.C. 1906); and Farm Credit Examiners (18 U.S.C. 1907).

³ 44 U.S.C. 396.

- (3) *Personal Diaries.*—Personal diaries should be regarded as private property. To the extent that they deal with matters of public importance or the affairs of the agency, they ordinarily merely repeat or supplement with personal detail matters as to which records adequate to meet the statutory standards exist. To regard them as records would probably prevent their being kept at all. However, there are in existence “diaries” which, as well as containing the personal notations normally expected, are also in fact collections of Government documents. The propriety of authorizing removal of such “diaries” depends upon propriety of private possession of the documents.
- (4) *Confidential Material.*—Whether or not a departing officer or employee may be authorized to remove extra carbons or other non-record copies of records should depend largely upon whether there is any policy or legal reason why the information contained in them should be regarded as confidential. If they should be so regarded, the responsibility of keeping them confidential should be vested in the Government, not in former officers or employees. In some cases the documents were produced in another agency. It would be appropriate to obtain the views of that agency as to the confidential status of documents before authorizing removal. In some cases regulations may so require. Assuming there are no reasons to keep the information contained in the documents confidential and that record copies exist in the interested agencies, together with such extra non-record copies necessary for the convenient transaction of business, there should be no objection to authorizing the removal of copies.
- (5) *Classified Material.*—Material classified under Executive Order 10501 and Restricted Data under the Atomic Energy Act of 1954, no matter what its form, shall not be removed, and title thereto shall not be transferred from the United States. However, Paragraph 2 of Executive Order 10816 provides limited authority in the head of the agency responsible for the classification of the material to authorize access to and collection of extra copies of classified materials by private individuals, including retiring officials, for historical research purposes. Use of this authority is subject to the qualifications in the Executive Order. Requests for permission pursuant to Executive Order 10816 shall be submitted to the Administrator, Attention: HHFA Document Security Officer.

NATIONAL SECURITY COUNCIL AND CABINET DOCUMENTS

In accordance with the President's directive to retiring agency heads, if any classified documents of the National Security Council are being considered for removal by HHFA officers or employees, or for access by persons outside the Executive Branch under Paragraph 2 of Executive Order 10816, authorization shall first be obtained from the Executive Secretary of the National Security Council with respect to each such classified NSC document; and if any classified or privileged Cabinet papers are being considered for removal, authorization shall first be obtained from the Secretary to the Cabinet.

Requests for authorization in these cases shall be submitted through the Administrator.

EXAMINATION OF DOCUMENTS BEING CONSIDERED FOR REMOVAL

Retiring HHFA officers not appointed by the President and employees are required to consult with the OA Records Management Officer (in the case of OA, CFA, and URA employees) or with the appropriate constituent agency records management officer concerning documents being considered for removal and to arrange for the records management officer to examine such documents in terms of the criteria set for the above, as a condition to authorization of removal. It would be appropriate also for retiring officers appointed by the President to arrange for consultation and examination.

USE OF PRESIDENTIAL ARCHIVAL DEPOSITORIES FOR CONTROL AND DISPOSITION OF PERSONAL PAPERS

The historical importance of personal papers "relating to and contemporary with any President or former President of the United States" authorized to be removed by retiring HHFA officers not appointed by the President suggests that retiring or retired officers possessing such collections arrange for their deposit through the Administrator of General Services, under appropriate restrictions, in either the National Archives or a Presidential archival depository, pursuant to Section 507 of the Federal Records Act (44 U.S.C. 397).

SEGREGATION OF PERSONAL AND PRIVATE PAPERS

Insofar as it is practicable to do so, personal and private material and records will be segregated as they are created and received, and kept separated at all times from the official records of the Agency.

Steps shall be taken by the heads of constituent agencies, or in the case of OA, CFA and URA, the Assistant Administrator (Administration), to throw out personal or gossipy material in files which does not come under the cited definition of "Records."

Section 10

TESTIMONY BEFORE CONGRESSIONAL COMMITTEES

Policies with respect to the testimony of Executive Branch witnesses regarding legislation on budget proposals before Congressional Committees are contained in Bureau of the Budget Circulars No. A-10 and A-19.

These circulars stress the importance of relating the statements made by members of the Executive Branch to the President's legislative and budget programs. They assume that views will be stated and argued forcefully within the Executive Branch; but that once a decision has been made, that decision will be supported at all times.

Witnesses testifying on legislative or budget proposals before Congressional Committees:

1. Shall give frank and responsive answers on all questions of fact which are raised by the Committee.
2. Shall not voluntarily express personal opinions which reflect a variance from the programs and appropriation requests which the President has included in the budget.
3. Shall not express personal opinions, in response to questions, without pointing out (a) the extent to which their opinions may be at variance from the programs and the appropriation requests which the President has included in the budget, (b) the difference between their responsibilities and the responsibilities of the President with respect to the Budget of the United States, and (c) that such personal opinions are not to be construed as a request for additional funds.

Formal testimony to be given by officers and employees of the Housing and Home Finance Agency shall be cleared with the Office of the Administrator. Formal testimony on legislative proposals is cleared through the Office of General Counsel; that on appropriations is cleared through the Director, Division of Budget and Management.

CONFIDENTIAL NATURE OF PRESIDENT'S BUDGET

The Budget and Accounting Act provides for the submission to the Congress of an executive budget. This budget represents the judgment of the President with respect to the financial requirements for all parts of the government except the legislative branch and the judiciary.

Budget estimates and supporting data submitted to the Bureau of the Budget are privileged communications. Such information shall not be

disclosed except on request in formal appropriation hearings or when requested by members of Congress in connection with their consideration of the budget after its transmittal to the Congress by the President.

The President's decisions on the budget and his budget estimates and recommendations are administratively confidential. Such information shall not be disclosed until it is made public through formal transmittal to the Congress by the President. As an exception, data may be presented to the Appropriations Committees, pursuant to arrangements made in specific instances by the Bureau of the Budget, in connection with formal hearings on the budget held prior to transmittal of the President's budget.

DOCTRINE OF EXECUTIVE PRIVILEGE

In a letter to the Chairman of the Special Government Information Subcommittee of the House Committee on Government Operations,¹ the President has stated the basic policy with respect to invoking the doctrine of executive privilege in withholding information from the Congress. The pertinent quotation from the President's letter is as follows:

“As you know, this Administration has gone to great lengths to achieve full cooperation with the Congress in making available to it all appropriate documents, correspondence and information. That is the basic policy of this Administration, and it will continue to be so. Executive privilege can be invoked only by the President and will not be used without specific Presidential approval.”

¹ March 7, 1962.

Section 11

**SALE OF GOVERNMENT-OWNED PROPERTIES AT OAK RIDGE
AND RICHLAND TO HHFA EMPLOYEES**

Section 112 of the Atomic Energy Community Act of 1955, as amended, states:

No officer or employee of the Commission or of any other Federal Agency (including officers and members of the Armed Forces) shall be disqualified from purchasing any property or exercising any right or privilege under this Act, but no such officer or employee shall make any determination as to his own eligibility or priority, or as to valuation, price, or terms of sale and financing of property sold to him.

The Act places no limitations on the types of properties which may thus be purchased by Federal employees. However, because this Agency is the one most directly concerned with the sale and financing of the properties, it is of the utmost importance that adequate safeguards be established to avoid any implication of favoritism or undue advantages to employees who are eligible as purchasers.

An employee of the Housing and Home Finance Agency who is declared eligible to purchase properties offered for sale under the Community Disposition Program shall be deemed eligible only for the purchase and financing of a single or duplex house to be occupied by the employee and his immediate family or a vacant lot on which the employee intends to build a home for such occupancy.

The Director, Community Disposition Program, shall review each transaction involving the sale of property under the program to an employee of the Agency, prior to consummation of such transaction.

Section 12

MONITORING OF TELEPHONE CALLS

The use of devices which record telephone conversations is prohibited by the Federal Communications Commission unless the device transmits an audible warning that the call is being recorded. As a matter of policy, no telephone recording devices of any kind, either mechanical or electronic, will be installed or used by the Housing and Home Finance Agency.

No employee of the Agency shall intercept a telephone conversation without the consent of the parties involved except in connection with investigations related to the National security. No interception shall be undertaken or continued without submitting a justification to the Administrator and through his office obtaining the approval of the Attorney General.

Secretarial assistants may, without making complete or partial verbatim transcripts, take notes of telephone calls for the purpose of setting up appointments and meetings, obtaining letters, reports, documents or other data needed for reference during the call or subsequent thereto, and performing other usual secretarial duties.

Section 13

MANPOWER CONTROLS AND UTILIZATION

INTRODUCTION AND STATEMENT OF PURPOSE

The President, in a message of October 11, 1962 to heads of all departments and agencies, called for a concerted program looking toward improved manpower utilization and increased productivity in the operations of the Federal Government. In directing the various agencies to develop such programs, the President said, in part:

“It is essential that employment plans be scrutinized at every level to make sure that every opportunity for decreases is seized and increases, where necessary, are held to an absolute minimum. This is vital not only because civilian salaries account for a substantial part of the Federal budget, but equally important—especially in such fields as engineering, science, and medicine—because the Federal Government is competing for a scarce supply of manpower. The best utilization of manpower is therefore important not only to keep budget costs down but to maximize our national security and our economic growth.”

The detailed objectives of the manpower utilization program were delineated, at the direction of the President, in Budget Bureau Circular No. A-44 Revised October 31, 1962.

It shall be the policy of the HHFA to give the fullest support to the development and prosecution of this program at all organizational levels and in all operations of the Agency.

RESPONSIBILITY FOR DEVELOPMENT AND ADMINISTRATION OF PROGRAM

Primary responsibility for development and administration of the manpower utilization program has been assigned by the President to the Administrator as head of the Agency, and shall be shared, in his official capacity, by the Deputy Administrator.

Primary responsibility for the program in each of the constituents shall rest with the Commissioner.

Each supervisory official, as part of his basic responsibilities, shall be responsible for making the program effective in the organizational units and operations under his direction.

Individual employees in all operations shall be made aware of their responsibility to contribute, to the extent of their opportunities and abilities, to the achievement of the objectives of the program.

DEFINITION OF "MANPOWER UTILIZATION"

The term "manpower utilization," as used in this policy statement and in the development and administration of the program, shall be construed in its broadest sense. It includes the avoidance of employment of unnecessary personnel; the more effective utilization of existing personnel; increasing the productivity and capabilities of existing personnel by training and other means; improvement of organization, methods and procedures; elimination of duplication or unproductive effort; clarification of policies, objectives and operating instructions; effective use of mechanization; and other approaches of like nature. In short, the object of the manpower utilization program is to maintain a continuous and purposeful search for ways of transacting the public business most effectively at minimum cost.

CONSTITUENT STATEMENTS OF POLICY AND PROCEDURE

Each constituent Commissioner shall issue appropriate policies and procedures for the development and execution of the manpower utilization program under Bureau of the Budget Circular No. A-44, Revised in connection with the matters under his supervision. Such statements shall, as a minimum:

1. Provide for a current re-evaluation of the facilities available to the Commissioner for developing and carrying out a manpower utilization program, and for taking such steps as appear necessary and feasible to strengthen those facilities.

2. Give directions for developing a program for application within the constituent embracing both long range methods and goals and a limited number of immediate undertakings.

3. Provide for continuing participation in the execution of the program and the evaluation of its results by the Commissioner and his top staff.

4. Include appropriate arrangements for full participation in the program by the field offices and field officials of the constituent, especially with respect to the reexamination, simplification and improvement of operating procedures.

5. Establish necessary procedures to assure the closest meshing of the manpower utilization program and its results with the processes of budget formulation and execution, so that maximum benefits are realized from improved measurements of workload and productivity both in estimating and in applying budgetary resources.

6. Establish procedures to carry out the intent of Section 1007 of the Postal Services and Federal Employees Act of 1962, which requires the heads of executive branch activities "to review with meticulous care each vacancy resulting from voluntary resignation, retirement, or death and to determine whether the duties of the position can be reassigned to other employees or whether the position can be abolished without seriously affecting the execution of essential functions." Procedures

shall provide a system of record-keeping and reporting on vacancies filled and abolished.

7. Lay appropriate emphasis on the manpower utilization program as a continuing and permanent feature of current management, as distinguished from a one-time effort to achieve a short-term goal.

8. Provide for the effective use of the incentive awards program as a stimulant to maximum participation by individuals and groups in achieving the objectives of the program.

REPORTING

The OA Division of Budget and Management shall, in collaboration with appropriate staff in the constituents, develop a system of periodic reporting with respect to problems studied and results achieved under the manpower utilization program. These progress reports shall be made available for regular discussion in meetings of the Agency Board for Policy Coordination.

Section 14

ADMINISTRATOR'S CORRESPONDENCE

This Section establishes the procedures to be followed by the staff of the Office of the Administrator and the constituents of the Housing and Home Finance Agency in handling the Administrator's correspondence.

TIME LIMITS

In order to insure a uniform minimum standard of responsiveness to incoming communications, the following time limits shall be observed except where the communication contains a specific reply date.

1. Communications from the Executive Office of the President, Cabinet Officers, and those of an urgent nature (including telegrams) 2 working days
2. Congressional Mail 3 working days
3. Routine Communications 5 working days

Preliminary Acknowledgment

When a complete reply to an incoming communication cannot be made within the time limit allowed, because the reply will require a detailed investigation or similar action, a preliminary acknowledgment shall be sent within the time limit. Such an acknowledgment will remove the correspondence from control for a period of 15 days from the date of acknowledgment. At the end of the 15-day period, the correspondence will be delinquent unless the reply has been completed.

CORRESPONDENCE REQUIRING ATTENTION OF ADMINISTRATOR

Correspondence To Be Prepared for Signature of Administrator

The replies to the following correspondence shall be prepared for the signature of the Administrator, unless otherwise directed:¹

1. Correspondence addressed to the Administrator.
2. Correspondence dealing with the following subjects regardless of the addressee of the incoming communication:
 - a. Policy matters which are Agency-wide in scope or which involve programs or activities of more than one constituent.
 - b. Comments on proposed or pending legislation.

¹ Correspondence concerning reports and other matters related to the General Accounting Office shall be handled according to the procedures prescribed in Section 3-3-2 of this Volume.

Other Correspondence of Interest to Administrator

With regard to correspondence falling into the categories listed below, the heads of constituents shall exercise care to keep the Office of the Administrator generally advised, and, whenever it is deemed necessary or appropriate, to review the proposed replies with that office or to prepare the replies for the Administrator's signature.

1. Comments on or replies to major criticisms or major policy suggestions from organizations and individuals prominent in fields relating to the programs of the Agency.
2. Correspondence with other Federal agencies and departments, apart from normal staff working relationships, and involving program or administrative matters for which policy has not been definitely formulated or involving controversial policy issues.
3. Protests by a member of the Congress over policy or administrative decisions, made by an HHFA official or constituent, involving major policy issues.

Referrals for Administrator's Signature

When an incoming communication requires the preparation of a reply by a constituent for the signature of the Administrator, it will be referred to the appropriate constituent by transmittal slip. The transmittal slip will request that the reply be prepared for the Administrator's signature. In such cases the entire file should be returned to the Immediate Office of the Administrator with the reply, including yellow, blue, and white file copies.

When correspondence of this type is referred to a constituent, it is the responsibility of the constituent to determine whether the reply can be prepared within the time limit; if not, the constituent shall prepare, for the signature of the Administrator, the required preliminary acknowledgment.

CORRESPONDENCE FOR SIGNATURE OF OTHER OFFICIALS

Replies to letters, including Congressional letters, addressed to constituent Commissioners, Assistant Administrators, or other Agency officials, and not dealing with matters requiring the Administrator's signature as specified above, shall be signed by the appropriate official.

In addition, letters addressed to the Administrator or simply to HHFA, and not dealing with matters requiring the Administrator's signature, may be referred to a constituent by transmittal slip for reply.

CONGRESSIONAL CORRESPONDENCE

In addition to the requirements given above, the following procedures apply to the handling of Congressional correspondence.

In all cases where a reply to a Congressional letter is prepared and signed by the head of an HHFA constituent or other HHFA official,

a copy of the reply shall be forwarded to the OA Congressional Liaison Officer.

When a Member of Congress requests that his constituent's communication be returned to him, it shall be enclosed with the reply to the Congressman.

When an individual writes to the HHFA and also to his Congressman, who in turn refers the communication to the Agency, replies shall, whenever possible, be prepared simultaneously to each, indicating in each letter that the Agency is also writing to the other.

When a Member of Congress writes as chairman of a Congressional committee, the reply shall be addressed to him as chairman of the committee.

If a reply is sent to a Member of Congress when he is away from Washington, a copy of the reply shall be sent to his Washington Office.

FOREIGN CORRESPONDENCE

Requests for information or publications from international organizations, representatives of foreign countries in Washington, the United Nations, or individuals or organizations abroad, shall be referred to the Office of International Housing. An interim acknowledgment may be prepared.

However, when foreign correspondence is directed to a constituent, and the subject matter falls entirely within the scope of the constituent's operations, the reply may be prepared by the constituent and routed through the Office of International Housing. An extra copy of the outgoing letter and, when necessary, a reproduced copy of the incoming correspondence, shall be attached for the Office of International Housing. (See the U. S. Government Correspondence Manual for instructions on preparation of foreign correspondence.)

Correspondence with persons in U. S. territories and possessions, including Puerto Rico, Samoa, Guam, Canal Zone, and the Virgin Islands, is not considered foreign correspondence and is not subject to the above restrictions.

CORRESPONDENCE WITH DEPARTMENT OF STATE

All correspondence with Department of State, except that involving daily operating matters below the major policy-determination level carried out pursuant to inter-agency operating arrangements previously made known to the Office of International Housing, shall clear through that Office, with a copy attached for that Office.

ADDITIONAL INSTRUCTIONS

The U. S. Government Correspondence Manual (with HHFA supplements) provides additional detailed instructions to stenographers and typists for the control, preparation and dispatch of communications.

CONTROL OF PRIORITY COMMUNICATIONS

The Mail and Files Section, Division of General Services, Office of the Administrator, maintains a control using Form H-1, *Mail Control*, on the communications specified under the heading "Time Limits" (items 1 and 2) in this Section, and on important mail from heads of Federal, state and municipal agencies and associations, organizations, and private individuals prominent in housing and related fields.

The original of Form H-1 shall be kept in the OA Mail and Files Section. The copies will be attached to the incoming communication. Officials responsible for handling the communication shall keep the Mail and Files Section advised of its status and of final action. Each time the recipient of a communication changes from that shown initially on Form H-1 or the pending status of a communication changes, the person responsible for the change shall note the name and date in the next referral space on the form, or check the appropriate action box, detach one copy, and send it to the Mail and Files Section, OA, for change of record.

The mail control number on Form H-1 shall be typed in the identification line of the file copies of the reply.

Delinquency Reports

Each week the OA Mail and Files Section shall prepare a status report of delinquent mail for each constituent. Communications will be considered delinquent if action has not been completed within the specified time limit. The constituent shall note changes in or comments on the status of communications in the "Status of Reply" column, and return the report to the OA Mail and Files Section for adjustment of control records.

Each month a summary report will be prepared for the Administrator showing the number of delinquent communications each constituent has outstanding.

Part 3 HHFA ADMINISTRATIVE POLICIES AND PROCEDURES

Chapter 2. Personnel Administration

Section 1

PERSONNEL MANAGEMENT WITHIN THE HHFA

This Section sets forth the general principles and practices which have been agreed on as providing the basis—together with Federal laws and regulations—for personnel management activities within the HHFA.

OBJECTIVES OF PERSONNEL MANAGEMENT

The objective of personnel management activity within the HHFA is to (a) recruit and maintain a work force having the highest possible personal and professional qualifications; and (b) provide this force with a work environment most conducive to increasing its efficiency, ability, and will-to-work.

With particular reference to economy of operations within the Agency, a primary objective of personnel management activity will be to assure full utilization of personnel in order that the essential work of the Agency can be carried out with maximum effectiveness and with the smallest possible number of employees.

RESPONSIBILITY FOR MEETING PERSONNEL MANAGEMENT OBJECTIVES

The major responsibility for meeting these objectives rests with the constituent agency heads and with those who direct the work of others.

The nature of the personnel management objectives (concerned as they are with employee efficiency, ability, and will-to-work) indicates the need for placing primary responsibility for personnel management activity in the supervisors—for it is the supervisors who make final selections of employees, make recommendations for promotions or re-assignment, rate performance, determine work methods, and have the day-to-day contact with those they supervise.

Personnel policies and the activities of personnel staffs are important factors in determining staff performance, but the immediate work-environment—created largely by the supervisors—has a more direct and continuing effect on staff efficiency and morale.

This placement of primary responsibility in constituent agency heads and supervisors is in accord with the basic Executive Order which underlies much of the Government's personnel activity—Executive Order No. 9830, issued by the President in May 1947. The Executive Order makes "the head of each agency . . . responsible for personnel management in his agency," and further provides that "personnel management is a primary responsibility of all who plan, direct or supervise the work of Federal employees."

The personnel divisions within the HHFA will have the responsibility for (a) assisting the constituent agency heads and supervisors in carrying out the personnel management responsibilities inherent in

their supervisory positions; (b) working, more specifically, with budget and organization officials and with operating officials to prevent overstaffing, discover ways to reduce personnel, increase utilization and decrease turnover; (c) providing those central services which a personnel staff can provide more economically or effectively; (d) assuring conformance with Federal and Agency regulations on personnel; and (e) evaluating the effectiveness of personnel management activity in the Agency and making recommendations for improvement.

Supervisors can be made increasingly aware of their personnel management responsibilities and given all possible assistance in carrying them out within the framework of existing regulations.

EMPHASIS TO BE GIVEN TO PERSONNEL MANAGEMENT ACTIVITIES

The extent to which the program objectives of the HHFA can be fully carried out depends not only on matters of organization, policy, and procedure, but perhaps to an even greater extent on the ability and the effectiveness of the thousands of employees who in actual fact constitute the Agency.

The time and effort devoted to means for securing qualified employees and establishing conditions conducive to their most effective performance thus contributes directly to the economy of operations and the fulfillment of the responsibilities of the Agency. Specific action can be taken, on a continuing basis, to foster among all supervisors and other employees a recognition of this direct relationship between personnel management activities and the attainment of program objectives.

EFFECTIVE RECRUITMENT

Provision for effective recruitment and selection will assist in meeting the objective of securing persons who are not only qualified for their first positions but who have the potential to make an ever increasing contribution to the work of the Agency. Meeting this objective can include plans for (a) securing accurate information on staff needs sufficiently in advance to permit intelligent planning and orderly recruitment; (b) developing specific, realistic qualification requirements before recruitment is undertaken; (c) developing all possible recruitment sources in those instances where full recruiting authority has been delegated to the Agency; and (d) improving the quality of interviews and reference checks made prior to final selection.

Effective recruitment and selection can also be aided through appropriate and close coordination on recruitment matters among the personnel divisions within the HHFA, particularly with a view to (a) facilitating transfers of qualified personnel and (b) avoiding the need for recruiting by the loan or reassignment, when possible, of existing personnel.

EQUITABLE COMPENSATION

In providing for full compliance with the Federal regulations governing the classification of positions, supervisors as well as other employees should understand (a) the legal requirements governing position classification, (b) the management advantages of a well adminis-

tered classification plan, (c) their own responsibility for participating in the classification function, and (d) the fact that the Agency relies on them for the integrity of position descriptions and that public funds are paid out on that basis.

To the fullest extent possible, systematic reviews of positions should be made often enough to assure that titles and grades of positions are based on current duties, accurately described, and are in conformity with existing classification standards.

In reviewing position descriptions and analyzing organizational relationships, position classification staff members should immediately bring to the attention of their supervisor any apparent conflicts or duplications which might lead to over-staffing in order that appropriate action can be taken.

A close working relationship among the personnel divisions within the HHFA will help to assure consistent allocations of positions within the Agency as a whole. Such consistency is necessary in order to avoid the harmful effects of inconsistent classifications as between the different agencies—including such harmful effects as unfair competition in recruitment, unnecessary transfers, and lowered morale in cases where employees feel that others elsewhere within the HHFA are being paid more for the same work.

INFORMATION TO EMPLOYEES

Positive effort should be made on a continuing basis to keep employees informed on Agency programs and activities and on regulations affecting their conditions of employment. Inefficiency and low morale may result whenever inadequate information is available to employees with respect to their positions, the activities of their Agency, or regulations affecting their employment. Particular attention can therefore be directed to providing employees with current information concerning:

- (1) The duties and responsibilities of their positions, the performance standards which are expected of them, and the relationships of their jobs to other related jobs in the organization.
- (2) The objectives of the manpower conservation and utilization programs, and the responsibility of each employee to cooperate in the program.
- (3) The organization and functions of the various organizational units of which they are a part, and the relation of their positions to the broad functions of the Agency.
- (4) The Federal and Agency regulations, particularly personnel regulations, which directly or indirectly affect them.

STAFF DEVELOPMENT

Supervisors are in a position to assume responsibility for the development of employees to the highest potentiality on the job as the most direct means of achieving efficiency and economy.

Supervisors should be assisted to the extent made possible by available staff, in carrying out these staff development responsibilities by such means as (a) orientation instruction for new employees, both in groups and individually under the direction of supervisors; (b) devel-

opment of supervisory skills in applying techniques of instruction and of supervision; (c) development of employees in specialized subjects, either individually on the job or in groups during official hours; (d) advisory service to employees concerning training available from educational institutions outside of official hours; and (e) extended staff development assistance for those hired on an intern-type basis.

These staff-development activities should be directed towards greater understanding of Agency programs and policies, increased quality and quantity of performance, preparation for promotion, and increased versatility.

STAFF PARTICIPATION

Appropriate participation of employees in the work of the Agency should be encouraged as a recognized means of providing a sense of accomplishment, which in turn usually leads to increased efficiency and job enthusiasm.

Participation can be provided in part by establishing a work environment responsive to suggestions for improving methods of operation. Full and continuing support should therefore be given to plans for stimulating the submission of employee suggestions.

PERFORMANCE STANDARDS

Supervisors should be made aware of the value of establishing performance standards on at least an informal basis for those they supervise.

EVALUATION OF PERFORMANCE

An understanding should be developed among supervisors that continuing employee evaluation, in some form, is a prerequisite of good supervision. An organization needs to have a measure for determining the competence of its employees, employees need to know to what extent they are meeting performance standards, and employees and supervisors alike need employee evaluations as a means of revealing possibilities for improved performance.

PROVISION FOR PROMOTIONS, REASSIGNMENTS, TRANSFERS

Provision for transfers and reassignments will increase the contribution which employees can make to their agency.

As an aid to employees who desire to transfer to other geographical locations and who cannot be placed by their own constituent, procedures should be established to assure consideration of their qualifications elsewhere within the HHFA.

In operating under the Federal regulations governing promotion policy and procedure, recognition should be given the fact that promotional opportunities for employees also exist as between constituents of the HHFA.

It is important that transfers between parts of the HHFA be carried out on a basis of mutual understanding and consideration of the relative needs of the offices concerned. Any proposed transfer must first be discussed between the Personnel Directors of the constituents

concerned rather than with the employee. In this way full consideration can be given to better or equally qualified employees who may be available from the same agency.

Employees should periodically be given an opportunity to add to their personnel files information concerning their training or experience.

RECOGNITION OF MERIT

Every possible means should be taken to reward superior performance on the part of employees. There can be developed an understanding on the part of supervisors on the importance of promoting economy and recognizing merit through such means as deserved praise during day-to-day operations, commendatory memoranda for inclusion in employee files, and recommendations for incentive awards.

Management improvement surveys and other periodic reviews of performance can also be used as a means of discovering and rewarding superior performance, especially such performance as has resulted in greater economy.

Instructions for the administration of an incentive awards program are contained in Section 3-1-5 of this Volume.

SERVICE FOR EMPLOYEES

A paternalistic concern for employee health and welfare should not be substituted for employee initiative and resourcefulness. It is recognized, however, that it is to the advantage of the Government, whenever feasible, to make certain services available to employees. These services may include the following:

- (1) Providing first-aid facilities and additional health facilities to the extent permitted under the provisions of existing directives on employee health.
- (2) Counseling employees, in cases where the administrative or personnel staff can supply appropriate assistance or advice not available from the employee's supervisors.
- (3) Providing collection of payments for group health and group hospitalization plans.
- (4) Providing credit union facilities.
- (5) Sponsoring employee recreation activities, to the extent warranted by existing needs, and providing information concerning recreational opportunities available in the community.

PHYSICAL CONDITIONS OF WORK

Action should be taken to assure that specific and continuing attention is given by supervisors to the improvement, to the extent possible within the Agency's jurisdiction, of physical conditions of work—including considerations of space, light, heat, noise, ventilation, and equipment.

EMPLOYEE SAFETY

Appropriate and continuing safety activity will assure compliance with existing Federal directives.

OBLIGATIONS OF EMPLOYEES

In personnel statements and in other appropriate ways occasion can be taken to remind employees of their responsibilities to their agency and to the Government—including their responsibility to:

- (1) Render a full day's work for a full day's pay.
- (2) Perform at a level of efficiency commensurate with ability.
- (3) Conduct their public and private affairs in a way which will not reflect unfavorably on the Agency and the Federal service.

CONDUCT OF EMPLOYEES

It is important that employees be kept currently aware of the need for strict compliance with the Federal and Agency regulations which affect their conduct—including in particular the regulations with respect to outside employment and business and financial affiliations.

EMPLOYEES AND PUBLIC RELATIONS

There is a need for full recognition of the fact that employees in their official contacts with the public and with other Federal agencies have a direct effect on the reputation of the Agency and the Government as a whole.

Employees in their unofficial contacts outside of the Agency constitute a definite force for good public relations. Present employees, as well as the employees who leave the Agency each year, have unofficial contacts, many with persons working in the field of housing, which directly affect the reputation of the Agency and the extent to which there is an understanding of its various programs.

These considerations provide another reason for selecting high calibre employees, and assuring that they have current information not only concerning their own constituent but the constituents within the HHFA.

REDUCTION IN TURNOVER RATES

Unnecessary turnover of personnel obviously results in high costs to the Agency in terms of the cost of recruitment, the cost of losing experienced personnel, and the cost of breaking in a new employee.

Continuing effort should therefore be made, first to identify the rate of turnover by office, grade levels, etc.; second to determine as exactly as possible the underlying reasons for the turnover; and third, to take immediate measures to reduce the unnecessary turnover to the fullest extent possible.

It is recognized that most of the general principles and practices referred to in this Section can contribute in one way or another to the reduction in the turnover rate.

SECURITY

In assuring full compliance with the spirit as well as the letter of security regulations, all employees should be kept informed concerning those regulations which affect them.

REDUCTIONS IN FORCE

Opportunities should be developed for fully considering involuntarily separated or furloughed employees for those vacant positions in the various constituents within the HHFA which are not being filled by promotion from within.

GRIEVANCE PROCEDURES

Supervisors need to be aware of their responsibility to act promptly on employee suggestions and complaints. In addition, there should be a definite procedure which permits an employee formally to present a grievance, either individually or through representatives of his own choosing, up through a high level supervisory official or board. In the presentation of grievances, employees should be assured freedom from restraint, interference, discrimination, or reprisal.

NONDISCRIMINATION

In assuring full compliance with the spirit as well as the letter of the Federal fair employment regulations, all employees need to be fully informed concerning Federal and Agency regulations on the subject. New employees should be given copies of these regulations when they enter on duty.

Supervisors should be given specific and personal responsibility for assuring full compliance with the regulations; and personnel divisions should have equal responsibility for assuring full compliance.

EMPLOYEE ORGANIZATIONS

Employees shall have the right to join or refrain from joining employee organizations, and appropriate officials shall stand ready to engage in discussions with representatives of bona fide employee organizations. When officers and committee members of employee organizations are called into conference during office hours with responsible officials, they shall be considered as performing official duties.

SEPARATIONS FOR CAUSE

All possible use should be made of probational and trial periods for thoroughly examining the performance and conduct of new employees, with a definite view to separating those who do not meet acceptable standards.

Supervisors should be encouraged to initiate action promptly to reassign, demote, or separate those employees whose performance is not satisfactory.

EVALUATION OF PERSONNEL MANAGEMENT ACTIVITY

There shall be periodic evaluations of the personnel management activity within the Agency. As an aid in such evaluations, current data shall be maintained in the respective personnel divisions with respect to such matters as average salaries, turnover rates, cause of separations, and annual and sick leave rates.

Part 3. HHFA Administrative Policies and Procedures

Chapter 2. Personnel Administration

Section 2

FINANCIAL RESPONSIBILITIES OF EMPLOYEES

The Housing and Home Finance Agency expects its employees to conduct their financial affairs in accordance with accepted ethical standards. Those employees who are paid from funds which are not subject to customary legal means of garnishment are under special obligation.

The way in which an individual employee manages his financial affairs becomes a matter of concern to the Agency when:

- (1) The attitude of the employee toward his personal financial obligations tends to bring the Federal service into public disrepute.
- (2) The Agency is placed under significant administrative expense because of complaints of creditors, salary garnishment, or levy against salary.
- (3) Financial irresponsibility is reflected in job performance, or when an employee in a position of trust makes himself subject to coercion.
- (4) The employee fails to meet his tax or other obligations to the Federal, state, or local governments.

INDEBTEDNESS TO GOVERNMENTAL UNITS

Whenever the Agency receives formal notice of tax delinquency or other similar government indebtedness on the part of an employee, the employee shall be required to explain such delinquency and to make satisfactory arrangements with the governmental jurisdiction involved for the liquidation of the indebtedness. Non-payment of governmental obligations shall be considered a very serious indicator of financial irresponsibility.

When an employee of this Agency owes Federal taxes or other debts to the Government, he should pay such debts when due or make satisfactory arrangements for payment with the agency concerned.

It is the policy of the Federal Government to cooperate with state and local Governments in taxation matters. As a part of this cooperation, the Agency upon request, furnishes state and local taxing jurisdictions with employee earnings information.

OTHER INDEBTEDNESS

The HHFA will not act as agent for the collection of claims of debts against its employees. When a claim is received from a non-government source it should be brought to the attention of the employee with the expectation that he take the matter up with the creditor, and if the claim is just, arrange a satisfactory settlement.

Willful neglect in debt matters reflects on the fitness of an employee and will be sufficient cause for administrative action.

EVALUATION FACTORS

In determining what action is appropriate under policies of this Section, it is to be assumed that the employee intends to meet his just financial obligations, and that in most instances the failure to do so is the result of poor management or misfortune rather than willful neglect or dishonesty. Poor financial management, however, may subject the employee to disciplinary action when it results in criticism of the Agency, administrative expense, or below standard job performance. Severe personal misfortune shall be considered as a mitigating circumstance in the evaluation of the financial responsibilities of an employee.

Firms or persons who supply goods or services are not relieved of their responsibility for investigation before extending credit, and over extension of credit shall be considered as an evaluation factor in deciding the degree of disciplinary action to be taken, if any.

When a claim of debt is disputed by an employee, the Agency can not undertake to determine whether or not the debt is just, nor will any part of this policy be interpreted or applied to coerce an employee into the payment of unjust or disputed debts or to prevent an employee from the exercise of his legal rights and free access to the courts or other legal processes in settling his financial difficulties without prejudicing his status as an employee.

DISCIPLINARY ACTIONS

Neglect in debt matters may be sufficient cause for disciplinary action. Such disciplinary action may range from official reprimand to dismissal in accordance with the evaluation factors above and the facts of the individual case.

Indebtedness to Federal, State, or local governments are considered a particularly serious matter. The nature of the disciplinary action shall reflect this seriousness. Except in cases of severe personal misfortune, a failure to pay Federal income taxes which results in a levy against salary will in all cases subject the employee to disciplinary action.

RESPONSIBILITIES OF CONSTITUENT AGENCIES

Separate instructions in accordance with this policy shall be issued by each constituent agency and the Office of the Administrator. Copies of these instructions and any future revisions should be forwarded to the Assistant Administrator (Administration).

Section 3

EQUAL EMPLOYMENT OPPORTUNITY

The policies and procedures which are to govern employment activities in the Housing and Home Finance Agency (HHFA), consisting of the Office of the Administrator (OA), the Federal Housing Administration (FHA), the Public Housing Administration (PHA), the Federal National Mortgage Association (FNMA), the Community Facilities Administration (CFA), and the Urban Renewal Administration (URA), are established under the authority of Executive Order 10925 of March 6, 1961, 26 F.R. 1977 (hereinafter referred to as the "Executive Order"), and the regulations of the President's committee on Equal Employment Opportunity (hereinafter referred to as the "President's Committee"), dated July 20, 1961, 26 F.R. 6579.

POLICY

It is the policy of the Housing and Home Finance Agency to assure that equal opportunity in employment, consistent with applicable law and Federal employment regulations, shall be afforded to all qualified persons. No Agency official shall discriminate against any employee of applicant for employment because of race, color, creed or national origin. In addition, a positive program shall be pursued to broaden employment opportunities for members of minority groups and to utilize fully the skills and talents of all citizens.

CONTINUING REVIEW OF EMPLOYMENT POLICY

The head of each constituent agency or unit shall provide for a continuing review of employment policies and practices to insure consistency with the spirit and the letter of the Executive Order and shall take positive measures to eliminate any discrimination, direct or indirect, disclosed through such review. Such measures shall include a requirement that in active recruiting programs for positions at all levels of employment positive efforts shall be made to recruit minority group candidates.

INFORMAL DISCUSSION AND SETTLEMENT

The presentation of grievances alleging discriminatory employment practices, for the purpose of informal settlement, shall be actively encouraged to the end that the spirit of the Executive Order shall be preserved by voluntary Agency action. Nothing in this regulation shall be construed to prohibit a supervisor, the Employment Policy Officer,

any Deputy Employment Policy Officer, or any personnel officer, before the filing of a complaint pursuant to the provisions herein, from discussing grievances of this nature with an employee or an applicant for employment. However, all such employees or applicants for employment shall be advised of the existence of these formal complaint procedures and in no instance shall such an employee or applicant for employment be discouraged from pursuing such formal procedures.

DESIGNATION AND DUTIES OF THE EMPLOYMENT POLICY OFFICER

(a) The Deputy Housing and Home Finance Administrator shall act as Employment Policy Officer for the Housing and Home Finance Agency, and as such is hereby delegated full operating responsibility under the supervision of the Housing and Home Finance Administrator (hereinafter referred to as "Administrator"), for carrying out the employment policies and procedures expressed in the Executive Order, the regulations of the President's Committee and the provisions herein.

(b) The Employment Policy Officer shall advise the Administrator with respect to the preparation of policies, procedures, rules, regulations, reports and other matters dealing with the exclusion and prohibition of discrimination under the Executive Order. He shall also appraise the personnel operations of HHFA at regular intervals to assure continuing conformity to the policy expressed in the Executive Order and shall recommend to the Administrator such action as may be required.

(c) The Employment Policy Officer shall be responsible for the processing of all complaints of alleged discrimination in personnel matters within HHFA and shall make recommendations to appropriate administrative officials for such corrective measures as he may deem necessary.

(d) The Employment Policy Officer shall, from time to time, consult with the Commissioners of the constituent agencies or units and the President of FNMA, in carrying out his responsibilities under these Policies and Procedures.

(e) In addition, he may consult with the President's Committee or its staff concerning methods, techniques, policies, procedures and regulations for making effective the nondiscriminatory employment policy and in seeking guidance and advice with respect to proposed disposition or resolution of complaints.

(f) The Employment Policy Officer shall keep a complete file on each complaint processed in HHFA.

DESIGNATION OF DEPUTY EMPLOYMENT POLICY OFFICERS

The following are hereby designated Deputy Employment Policy Officers:

Office of the Administrator

The General Counsel

All Regional Administrators

The Director of Northwest Operations

Federal Housing Administration

The Deputy Commissioner
The Assistant Commissioner (Executive Officer)
The Assistant Commissioner for Field Operations
The Assistant Commissioner for Multifamily Housing
The Assistant Commissioner for Property Disposition
The Assistant Commissioner—Comptroller
The Assistant Commissioner for Audit and Examination
The Assistant Commissioner for Technical Standards
The Assistant Commissioner for Programs
The General Counsel
All Zone Operations Commissioners
All Field Office Directors

Public Housing Administration

The Deputy Commissioner
All Regional Directors

Federal National Mortgage Association

The Vice President
The General Counsel
All Agency Managers

Community Facilities Administration

The Deputy Commissioner

Urban Renewal Administration

The Deputy Commissioner

WHO MAY FILE A COMPLAINT

Any aggrieved employee or applicant for employment who believes he has been discriminated against because of race, color, creed, or national origin, may file a written signed complaint. The complaint must be filed, in quadruplicate, within ninety (90) days from the date of the alleged discrimination unless such time is extended by the Employment Policy Officer, a Deputy Employment Policy Officer, or the Executive Vice Chairman of the President's Committee (hereinafter referred to as the "Executive Vice Chairman"), for good cause shown. The complaint may be submitted by an authorized representative of the aggrieved individual. Each complaint shall:

- (a) Specify whether the alleged discrimination is based on race, color, creed or national origin.
- (b) Disclose the specific action or personnel matter about which the complaint is made.
- (c) Identify the position involved, its grade, and the unit or office in which located.
- (d) Identify the official responsible for the action, if known.
- (e) Give the date of the action.

- (f) Contain all factual information which the complainant may have to support the allegation of discrimination.
- (g) Set forth the relief to which the complainant feels he is entitled.

COMPLAINT PROCEDURES

(a) Complaints may be filed with the Employment Policy Officer, with the Deputy Employment Policy Officer having immediate jurisdiction over the employee or applicant for employment, or with the President's Committee.

(b) Complaints filed with the Employment Policy Officer, or referred to him by the Executive Vice Chairman, may be processed by him but ordinarily will be referred to the appropriate constituent agency or unit in which the complainant is employed or seeks employment, for appropriate action. If the complainant is employed or seeks employment in the immediate Office of the Administrator, the complaint may be referred to the General Counsel for appropriate action.

(c) Complaints referred to the General Counsel by the Employment Policy Officer or filed with the General Counsel, shall be processed by him.

(d) Complaints filed with or referred to the Deputy Commissioners FHA, PHA, CFA or URA, or the Vice President of FNMA may be processed by them or referred to any other Deputy Employment Policy Officer in the constituent agency or unit in which the complainant is employed or seeks employment, for appropriate action.

(e) Complaints filed with any other Deputy Employment Policy Officer shall be processed by such Officer.

(f) The Deputy Commissioners of FHA and PHA, and the Vice President of FNMA may assume jurisdiction of any case pending in their respective agencies or transfer jurisdiction to any other Deputy Employment Policy Officer within their respective agencies where they consider it necessary or appropriate in order to achieve the purposes of these Policies and Procedures.

(g) Complaints filed with the President's Committee may, pursuant to its regulation, be referred to the Employment Policy Officer for consideration, or may be processed by the Executive Vice Chairman. The latter may also assume jurisdiction of any case pending before HHFA where he considers it necessary or appropriate in order to achieve the purposes set forth in the Executive Order.

(h) A copy of all complaints filed with HHFA shall forthwith be transmitted to the Executive Vice Chairman by the officer with whom it is filed. Where complaints are filed with a Deputy Employment Policy Officer, he shall also forthwith transmit a copy of the complaint to the Employment Policy Officer. Where complaints are filed with a Deputy Employment Policy Officer other than a Deputy Commissioner of FHA, PHA, CFA, URA, or the Vice President of FNMA, a

copy of the complaint shall also be forwarded to the appropriate Deputy Commissioner or the Vice President of FNMA, as the case may be.

(i) An incomplete complaint shall be returned to the complainant for completion with a written notice of the specific reasons for returning it.

ACTION BY THE HHFA

(a) Upon the receipt of a complaint which meets the standards of this procedure, the Officer processing the complaint, or someone designated by him, shall undertake immediately to investigate the issues presented, and shall develop a complete case record, including an adequate transcript or agreed summary of any hearing.

(b) Whenever necessary or appropriate for a full development of the case, the investigation shall include an appraisal of employment practices in the organizational segment or unit in which the alleged discrimination occurred.

NEGOTIATION AND SETTLEMENT

(a) After completion of the investigation, the Officer processing the complaint shall make an effort to dispose of the matter informally. All information developed by Agency investigation and pertinent to the complaint shall be made available to the complainant in the form of a written statement except to the extent that the Executive Vice Chairman determines that any investigative report or portions thereof shall not be disclosed for reasons of national security.

(b) If a settlement of the complaint is negotiated by a Deputy Employment Policy Officer he shall within 10 days file a report with the Employment Policy Officer containing the information required in reports filed under section 18. The report of a successful negotiation shall also contain the signed concurrence of the complainant.

(c) Where the settlement is negotiated by a Deputy Employment Policy Officer other than the Deputy Commissioner of a constituent agency or unit or the Vice President of FNMA, a copy of the report shall also be filed within the same period of time with the appropriate Deputy Commissioner or the Vice President of FNMA, as the case may be.

(d) If the informal negotiations do not result in a settlement, the complainant shall be informed in writing of his right to a hearing. If the complainant desires a hearing, he must submit a written request for same within 10 days after receipt of the written notification of his right to a hearing.

HEARING

(a) A hearing shall be held at the written request of the complainant in any case not disposed of by informal means. Hearings shall also be held where the Officer processing the complaint believes that additional

proceedings are necessary in order to clarify the issues. The hearing shall be held by the Officer processing the complaint or someone designated by him, at a convenient time and place. The notification of a hearing date must be received by the complainant at least 15 days in advance of the date selected.

(b) At such hearing, the HHFA shall produce any witnesses under its jurisdiction, upon a showing satisfactory to the hearing officer of reasonable necessity therefor, and the rights of confrontation and of cross-examination (insofar as may be necessary for a development of the facts) shall be preserved. The Agency shall develop all facts to resolve the issues. Any requests for the attendance of necessary witnesses shall be made in writing by the complainant at least 10 days prior to the date of the hearing. The hearing shall be informal and the hearing officer shall make his proposed findings and recommended conclusions upon the basis of the record before him.

DISMISSAL OF COMPLAINTS

Where a complainant fails to appear at a hearing without good cause shown, or fails within 60 days to furnish requested information or to otherwise pursue his complaint, or where the complainant requests a withdrawal of his complaint in writing, the case may be closed, with appropriate written notice to the complainant. A case may be processed to completion even though a complainant has requested withdrawal. If a complaint is dismissed by a Deputy Employment Policy Officer, or withdrawn by written request of complainant, the Deputy Employment Policy Officer shall within 10 days file a report with the Employment Policy Officer containing the information required in reports filed under section 18. A copy of the report shall also be filed within the same period of time with the appropriate Deputy Commissioner or the Vice President of FNMA, as the case may be.

FINDINGS AND RECOMMENDATIONS

(a) In all cases except where a complaint has been settled by negotiation, findings and recommendations shall be prepared by the Officer processing the complaint. Copies of same shall be immediately forwarded to the Employment Policy Officer and to the Deputy Commissioner of the appropriate constituent agency or unit or the Vice President of FNMA, as the case may be. Within 5 days after the receipt of such findings and recommendations the Deputy Commissioner of the appropriate constituent or the Vice President of FNMA, as the case may be, shall submit his recommendations on the disposition of the complaint to the Employment Policy Officer.

(b) The Administrator or the Employment Policy Officer may refer a case to the Executive Vice Chairman for study and recommendations prior to any decision. The findings and recommendations of the Employment Policy Officer shall accompany such referral.

FINAL DECISION AND NOTIFICATION

(a) The Employment Policy Officer shall make the final decision in the disposition of all cases where a settlement has not been negotiated pursuant to provisions hereinbefore set forth, except in those instances in which he has conducted the investigation and made the findings and recommendations, in which case the Administrator shall make the final decision. Where the Administrator or the Employment Policy Officer has referred the case to the Executive Vice Chairman for review and advisory opinion, such final decision may be made only after receipt of the recommendations of the Executive Vice Chairman. Further, such final decisions shall be reconsidered whenever reconsideration is recommended or ordered by the Executive Vice Chairman.

(b) The complainant shall receive written notice of the final decision on his complaint and shall also be advised in such written notification of his right to secure a review by the Executive Vice Chairman if the decision is adverse in whole or in part.

(c) Within 5 days after receipt of a written request from the complainant for a review of his case by the President's Committee, the Administrator or the Employment Policy Officer shall transmit a copy of the complete file on the case to the President's Committee.

(d) Where the complainant is an employee or an applicant for employment in a constituent agency or unit, a copy of the final decision shall be furnished to the Deputy Commissioner of the appropriate constituent agency or unit or the Vice President of FNMA, as the case may be.

PROCESSING OF COMPLAINTS AND TIME LIMITATION

Within 30 days from the receipt by HHFA of a complaint, which meets the standards of this procedure, or within such additional time as may be allowed by the Executive Vice Chairman for good cause shown, the HHFA shall process the complaint and the Employment Policy Officer shall submit to the Executive Vice Chairman a report on disposition of the complaint. Where a hearing is held the report on disposition of the complaint shall be submitted to the Executive Vice Chairman within 60 days after the receipt thereof.

REVIEW

Pursuant to the Regulations of the President's Committee on Equal Employment Opportunity:

(a) The Executive Vice Chairman will accept for review any case coming within the purview of Part II of Executive Order 10925, upon the written request of the complainant made to the Employment Policy Officer. Such request must be made by the complainant within 30 days of the date of the final decision by the Administrator or the Employment Policy Officer, unless the Executive Vice Chairman shall waive such time limitation upon good cause shown.

(b) The Executive Vice Chairman may also review any case reported to him after final disposition by the HHFA and may remand the case to HHFA for reconsideration.

(c) In connection with his review, the Executive Vice Chairman may secure such additional information, hold such hearings, make such findings and issue such recommendations and orders, as may be necessary or appropriate.

PROCESSING OF COMPLAINTS BY EXECUTIVE VICE CHAIRMAN

The Executive Vice Chairman pursuant to the Committee's regulations may process complaints filed with him or over which he has assumed jurisdiction. When the Executive Vice Chairman processes complaints filed with him or over which he assumes jurisdiction, he may conduct such investigations, hold such hearings, make such findings, and issue such recommendations and orders as may be necessary or appropriate.

RIGHT TO COUNSEL

Parties to any of the aforementioned proceedings shall have the right to be accompanied, represented, and advised by counsel, or by any other qualified representative.

REPORT TO THE PRESIDENT'S COMMITTEE

The Employment Policy Officer shall submit to the Executive Vice Chairman a report of the final disposition of each complaint processed by HHFA. The report shall contain the following :

- (a) A copy of the complete case record, if requested by the Executive Vice Chairman.
- (b) A summary of the complete case record, which shall include the following :
 - (1) The name and address of the complainant ;
 - (2) The date on which the complaint was filed with or referred to HHFA and, where the complaint was filed with HHFA, the name and title of the officer with whom it was filed ;
 - (3) A summary of the complaint indicating the specific type or types of discrimination alleged ;
 - (4) A summary of the results of any appraisal of employment practices and the significant facts disclosed by the investigation and any hearings ;
 - (5) A statement describing disposition of the complaint. If the complaint was withdrawn, the reason for withdrawal should be included ;
 - (6) The date of disposition of the complaint.

DISSEMINATION OF INFORMATION

A copy of these Policies and Procedures shall be posted on all employee bulletin boards and all bulletin boards which are used to announce Federal examinations and job opportunities; where bulletin boards are not used, this statement of Policies and Procedures shall be made available to all personnel. Similar publication shall be made of the names and addresses of the Executive Vice Chairman, the Employment Policy Officer and of the Deputy Employment Policy Officer with whom a complaint may be filed. Information concerning HHFA's non-discrimination policy and procedures shall be published at least annually in any employee bulletins or newsletters that are issued.

PENDING CASES

These procedures shall also apply to cases pending under Executive Order 10590, as amended, and the regulations promulgated thereunder.

Part 3. HHFA Administrative Policies and Procedures

Chapter 2. Personnel Administration

Section 4

FEDERAL SERVICE FUND-RAISING POLICY

The policies and procedures of this Section are established under the authority of regulations issued by the Office of the President's Adviser on Personnel Management in the White House directive on Fund-Raising within the Federal Establishment dated June 27, 1956, and the implementing Procedural Guide dated August 21, 1956.

POLICY

It is the policy of the Housing and Home Finance Agency to assure that every employee shall have full opportunity to learn about the services to the nation provided by, and the needs of, those agencies which want his help; that every employee shall decide for himself which agencies he designates; and that every employee shall have the option of disclosing his contribution, or keeping it confidential.

PROCEDURES

With the exception of emergency and disaster appeals, there shall be in the Housing and Home Finance Agency not more than three solicitation periods each year. These will provide for the needs of the following broad groups of fund-raising organizations: (1) local community needs (Community Chest) in the Fall; (2) national welfare and emergency relief (American Red Cross, service to our Armed Forces) in March; and (3) national health agency needs for research, care of the stricken, and health education (American Cancer Society, American Heart Association, National Society for Crippled Children and Adults, etc.) during the period from December 15 to January 31.

Other recognized national agencies which do not fit these broad categories, i.e., "Crusade for Freedom," shall be afforded an opportunity to participate during one of the established solicitation periods.

The Federal Overseas Fund Campaign Plan, issued October 23, 1956, will be followed in any territorial or overseas installation not included in the regular fund drives of the HHFA.

Each constituent agency shall issue such regulations as are consistent with the White House directive on Fund-Raising within the Federal Establishment and the implementing Procedural Guide.

A copy of the individual constituent agency regulations shall be furnished the Director of Personnel, Office of the Administrator. The Administrator will issue regulations governing the application of this policy to the Office of the Administrator, the Community Facilities Administration, the Urban Renewal Administration, and the Federal Flood Indemnity Administration.

Part 3. HHFA Administrative Policies and Procedures

Chapter 2. Personnel Administration

Section 5

HHFA MERIT PROMOTION PROGRAM AND GUIDELINE

The Housing and Home Finance Agency hereby establishes a planned program for the filling of positions by the promotion of employees who have rendered efficient service and who have demonstrated potentiality for advancement.

This Section outlines the promotion policy of the Housing and Home Finance Agency under the Federal Merit Promotion Program established by the Civil Service Commission. The heads of constituent agencies will be responsible within their organization for the administration of the promotion plans developed under the guidelines contained in this Section.

The promotion guideline establishes a policy framework for promotion actions within the Agency. Determinations regarding the method to be used in filling positions, e.g., promotion, reassignment, new appointments are a function of management. When an employing office chooses to fill a position by an accession action, qualified employee applicants from constituent organizations within the Housing and Home Finance Agency shall be given consideration over outside applicants.

OBJECTIVES

The objectives of this program are to promote the effective and efficient administration of the Government's housing programs through (1) attraction and retention of highly qualified employees (2) selection of well qualified persons to fill vacancies (3) greatest possible use of talents of all employees (4) opportunity for employee development and (5) a high level of employee performance.

POLICY

As a public agency, the Housing and Home Finance Agency will continually strive to select highly qualified persons for all positions. The Agency will systematically consider qualified employees for advancement as position vacancies occur. Although it will look first to its own employees for candidates for vacancies, management reserves the right to appoint qualified applicants when such appointments will be in the best interest of the Agency.

In considering applicants and employees the Agency will be governed by Civil Service Commission Regulations, the Veteran's Preference Act and the Federal Employment Policies regarding non-discrimination as to race, color, religion, political affiliation, or national origin. All promotions shall be made in accordance with the guidelines set forth in this Section and the promotion plans hereinafter required. In compliance with standards issued by the Civil Service Commission, this policy statement will be made available to all employees of the Agency.

PROMOTION PLANS

The constituent agencies and the Office of the Administrator (for the Office of the Administrator, Community Facilities Administration, and Urban Renewal Administration) shall develop promotion plans in accordance with this Section and the Civil Service Commission's Regulations.

The individual promotion plans shall affect areas of consideration which are as broad as practicable—broad enough to assure that supervisors will be able to choose from among well qualified candidates. On the other hand, the plans must be practical of administration, must consider the feasibility of transfers between different geographical locations, and must recognize the difficulties of interchange between certain occupational groups.

Management will consult employees and representatives of employee groups in the development and installation of all promotion plans.

QUALIFICATION STANDARDS

Qualification requirements will be realistic and related to the work requirements of the position to be filled; due consideration should be given, however, to demonstrated employee potential. The latter factor is most properly emphasized where the vacancy under consideration is a professional position at the beginning levels. Qualification requirements for many positions may go beyond experience and training factors and should recognize the importance of personal characteristics in the performance of such positions.

No qualification standards will be established which are lower than the qualification requirements of the Civil Service Commission. Qualification standards may be more restrictive than those of the Civil Service Commission since they will apply to specific agency positions, while those of the Civil Service Commission apply to Government-wide classes of positions.

The Agency endorses the development of written qualification statements for specialized jobs and written performance requirements for most positions. Promotion plans shall make plain the following minimum respective responsibilities of the employee, the supervisor and top management:

- (1) Employees have responsibility to see that management is notified of their current education, training and experience record.
- (2) Supervisors have a responsibility for encouraging and assisting their employees in preparing for more responsible positions, for advising employees regarding their performance and for recommending employees for advancement.
- (3) Management has responsibility for overseeing the technical administration of the promotion plan and for maintaining records specifically designed to insure systematic consideration of qualified employees.

OTHER PROMOTION PLAN REQUIREMENTS

In addition to the requirements outlined above, promotion plans shall :

- (1) Provide that individual promotion actions shall be documented to show that each selection for promotion was made in accordance with the required promotion plan.
- (2) Provide for the prompt release from former positions all employees selected for promotion; generally a two weeks release period after selection will be recognized as appropriate.

SUBMISSION OF PROMOTION PLANS AND CIVIL SERVICE INSPECTION

The effectiveness of promotion plans established under these guidelines will be evaluated basically through the reports of the Inspection and Audit Staff of the Civil Service Commission. A copy of each promotion plan established within the Housing and Home Finance Agency shall be submitted to the Administrator.

DEPARTMENT OF CHEMISTRY

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Section 6

HHFA CAREER EXECUTIVE DEVELOPMENT PROGRAM

This Section establishes the general policy for Career Executive Development Programs in the Housing and Home Finance Agency. The policy is based upon the President's memorandum of February 5, 1960 (Exhibit A) and policy instructions of the President's Advisor on Personnel and the Civil Service Commission. Executive development as used in this Section refers to a planned program of training and assignments designed to improve the readiness of upper grade and executive personnel for executive assignments within the HHFA. The Agency recognizes that there must be a plan for the orderly development and, as necessary, replacement of its career managers.

Each policy or non-career executive should regard the training and development of career executives and of other career employees as a significant part of his continuing job responsibility. The needs of the various organizations within the HHFA for executive talent vary widely. Similarly, the developmental program for each executive and potential executive will vary and must be keyed to individual needs.

PROGRAM

Career Executive Development Programs within the HHFA shall conform to the requirements of the President's program and shall contain the following program elements:

- (1) An inventory of executive replacement needs.
- (2) A system for the identification of the potential executives and an executive replacements pool.
- (3) A system of appraisal for executives and their potential replacements.
- (4) Planned development and training for executives and executive replacements.

Although all Agency programs must contain the elements indicated above, individual constituent organizations should design their programs to meet their specific training and replacement needs.¹ Replacement plans should not publicly list or otherwise indicate the specific replacement for executive positions by name or position. It is, however, expected that the overall constituent program and the individual development plans for executive replacements will be flexible and under continuous review to meet changing program needs.

In addition to the development of executives for the effective management of a particular program of operation, each career development program should provide the executives with a broad understanding of:

- (1) HHFA Programs.
- (2) Current problems of the urban community.

¹ Each constituent agency shall issue a specific policy and program statement within 90 days of the issuance of this Section. A copy of this statement shall be forwarded to the Assistant Administrator (Administration).

ADMINISTRATION

The Assistant Administrator (Administration) is responsible for the administration of the HHFA Career Executive Development Program. The head of each constituent agency shall designate a member of his immediate staff to be responsible for the career executive development program within that constituent.¹

Periodic reports concerning the overall executive development accomplishments and concerning any of the individual portions of the HHFA or constituent programs shall be made as appropriate and as specifically required.

¹ Such designation should be made within 30 days after the issuance of this Section. A copy of the designation letter shall be forwarded to the Assistant Administrator (Administration).

EXHIBIT A

THE WHITE HOUSE
WASHINGTON

February 5, 1960

TO THE HEADS OF EXECUTIVE DEPARTMENTS AND AGENCIES

Our government faces the possible loss of two-thirds of its top career managers over the next ten years. A survey of 751 career officials in grades GS-16, 17 and 18, indicates that two out of every three will be eligible for retirement during the next decade. Further, two out of every five will be eligible for retirement by 1963. In addition, of course, there will be certain losses because of death, disability and resignation. This situation emphatically and clearly points to the importance of instituting a positive program which will assure the filling of the anticipated vacancies with persons of outstanding leadership ability, creative imagination and sound judgment.

Upon each of us rests the responsibility for seeing to it that the critically important functions of the top career management positions continue to be carried out by persons of the highest competence. Nothing less will satisfy our obligation to the American people for effective and efficient administration of their government's programs.

To properly discharge this responsibility, careful planning will be needed in each agency and on a government-wide scale. Employees with executive potential in positions below the top career levels must be identified, trained and developed over a period of time to increase their capacity to perform the complex functions of career managers.

The success or failure of our efforts to identify, select and develop competent career managers will determine the future effectiveness of government operations, both here and abroad. I have asked my Special Assistant for Personnel Management to provide leadership to the departments and agencies in taking such steps as may be necessary to see to it that we continue to have the best available executive talent for these top civil service posts. He will work with you and the Civil Service Commission toward this goal.

EXHIBIT A (Page 2)

- 2 -

In the last analysis, however, the results of the quest for topnotch administrators in the career service will depend on the steps each agency takes to find persons of executive potential and to train and develop them for the responsibilities that lie ahead. I know each of you shares my concern that the ablest persons are selected for top career civil service positions. I expect you to give personal leadership towards the achievement of this objective within your organization.

A handwritten signature in cursive script, likely belonging to a high-ranking official, positioned below the main text block.

Section 7

HHFA TRAINING POLICY

This Section sets forth the general training and employee development policy of the Housing and Home Finance Agency.

HHFA TRAINING NEEDS

Training and employee development are fundamentally management methods for improving the efficiency of agency operations. Employees will, as a matter of course, receive the basic on-the-job training required to meet normal employment requirements.

Many of the activities of the Agency are in a developmental phase. Social, physical, political, and economic forces have made for change and innovation in the housing and community development fields in recent years. New jobs with unusual combinations of skill requirements have emerged; such positions are frequently peculiar to the Agency. Along with the development of new employment areas in the Housing Agency, the need for similarly skilled personnel has, in local government and in the housing industry, greatly increased. Training arrangements are needed to keep employees abreast of these rapidly changing developments in the subject matter areas of the Agency's interest. Related changes in the actual content of occupations and constantly changing work methods also involve Agency training responsibility.

Technical training and professional development alone, however, will not meet our management needs inherent in the continuing movement of technical employees to management jobs. Training is normally required to help these employees apply the new and quite different skills required to become an effective supervisor or manager.

Finally, experience indicates that planned training programs will help to attract and retain the highly skilled professional staff required by the Agency.

BASIC AUTHORITY

The training and employee development policy of the Housing and Home Finance Agency is based upon the White House Directive of January 11, 1955, the Government Employees Training Act of 1958 (P.L. 85-507), and the needs, organization and resources of the Agency.

The January 11, 1955, White House Directive requires the Administrator to:

“formulate and maintain a systematic plan of action for the development, training and effective use of his manpower resources, including periodic inventory of training needs and of progress in meeting them; “stimulate and encourage employee development and training both through individual self-improvement and through officially sponsored activities, to meet immediate and long-range service needs;

“see that specific development and training opportunities are provided as required to help employees at all levels perform their work in the best known ways and adapt themselves to changing program needs;

“make full use of existing training facilities and services within the Federal Government, including cooperation with and participation in appropriate interagency employee development and training activities.”

Section 2, of the Government Employees Training Act, states:

“(1) that, in order to promote efficiency and economy in the operation of the Government and provide means for the development of maximum proficiency in the performance of official duties by employees thereof, to establish and maintain the highest standards of performance in the transaction of the public business, and to install and utilize effectively the best modern practices and techniques which have been developed, tested, and proved within or outside of the Government, it is necessary and desirable in the public interest that self-education, self-improvement, and self-training by such employees be supplemented and extended by Government-sponsored programs, provided for by this Act, for the training of such employees in the performance of official duties and for the development of skills, knowledge, and abilities which will best qualify them for performance of official duties;

“(2) that such programs shall be continuous in nature, shall be subject to supervision and control by the President and review by Congress, and shall be so established as to be readily expandable in time of national emergency;

“(3) that such programs shall be designed to lead to (A) improved public service, (B) dollar savings, (C) the building and retention of a permanent cadre of skilled and efficient Government employees, well abreast of scientific, professional, technical, and management developments both in and out of Government, (D) lower turnover of personnel, (E) reasonably uniform administration of training, consistent with the missions of the Government departments and agencies and, (F) fair and equitable treatment of Government employees with respect to training; and

“(4) that the United States Civil Service Commission shall be responsible and have authority, subject to supervision and control by the President, for the effective promotion and coordination of such programs and of training operations thereunder.”

AGENCY POLICY

It is the policy of the Agency to provide for the training and development of employees as a integral part of its responsibility for the effective conduct of its affairs and the attainment of its program goals. The Agency recognizes the primary obligation of its employees for self-development but at the same time it affirms its responsibility to encourage and recognize employee efforts toward self-development and, where appropriate, to supplement these efforts through Agency-sponsored training programs.

In carrying out the responsibility of the Agency to provide training, every effort shall be made to utilize the best modern training practices and techniques and to so administer its training programs to assure reasonable equality of opportunity for consideration and selection for training. Programs shall be based upon established training needs and include provisions for evaluation as an integral part of the management of employee development in the Agency.

Training programs will be planned so that public funds allocated to training shall provide the Government the greatest possible return on each training investment. In keeping with this aim, the Agency will consider both the immediate and long range training needs in committing such funds. Only that training which meets established needs and is related to job performance will, therefore, be authorized.

RESPONSIBILITIES OF CONSTITUENT AGENCY HEADS

Employee training and development is the responsibility of the head of each constituent agency, who is expected to give active leadership to his staff in establishing training programs and, within available means, to provide funds, facilities, and administrative arrangements for the conduct of training programs to meet training needs. This responsibility shall include:

- (1) The determination of the training needs.
- (2) The establishment and operation of training programs to meet these needs.
- (3) The determination of the kinds of training to be provided and the training facilities to be used.
- (4) The selection and assignment of employees for training.
- (5) The evaluation of the results of training.
- (6) The issuance of a detailed employee development policy and procedure in compliance with this Section, the regulations of the Civil Service Commission and the Bureau of the Budget, and the Government Employees Training Act of 1958.
- (7) The establishment and maintenance of adequate training records.
- (8) The proper reporting, through the Administrator, of training activities as required by the Civil Service Commission, this Section, or other authority.
- (9) The exchange of training information within HHFA and, when practicable, the cooperation with other HHFA organizations in the support of joint training efforts as required by this Section and the Government Employees Training Act.

COORDINATION OF TRAINING ACTIVITIES AND INFORMATION

As outlined above, the heads of the constituent agencies have primary responsibility for training activities in their organizations. There are, in addition, training responsibilities which must be handled on a coordinated Agency-wide basis. These include:

- (1) Exchanging of information concerning training techniques and methods.
- (2) Reporting training programs which, although designed for the use of one constituent, can be made available to appropriate employees from other parts of the HHFA and other agencies.

- (3) Providing leadership in the establishment of agency-wide training programs designed to meet common training needs.
- (4) Furnishing reports of training progress as required by law, regulation, or requested by appropriate authority.
- (5) Designating HHFA personnel to be trained in facilities outside the HHFA whenever: (a) there is a numerical limitation placed on the designation of candidates; (b) there is a request for the approval or direct designation by the Head of the Agency, or; (c) the Civil Service Commission or other organizations responsible for the training require a coordinated submission.
- (6) Requesting exceptions to the training law or regulation to the Civil Service Commission.

HHFA Training Coordination

The Assistant Administrator (Administration) is primarily responsible for the overall coordination of training in the HHFA. In carrying out these responsibilities, he may establish such ad hoc and permanent intra-agency committees as he determines necessary. The OA Division of Personnel will provide staff assistance to such committees.

Intra-Agency Training

The Government Employees Training Act requires the Agency to explore the possibility of developing and presenting in-service training before turning to training facilities outside the Government. The Agency will, therefore, take all reasonable steps to combine the training efforts of constituents whenever HHFA-wide or combined training programs are economically and administratively feasible.

Interchange of Technical Training Information

The HHFA Personnel Advisory Committee is hereby designated as the facility for the interchange of information concerning training techniques, training methods and experiences, and similar matters between those within HHFA charged with the direction of training activities.

Open Training Programs

Whenever a constituent determines that a training program may be made available on either a non-reimbursable or reimbursable basis to employees outside the constituent administering it, first priority shall be given to employees of the HHFA before the employees of other Federal establishments are admitted.

Constituent agency heads shall notify the Administrator through the Assistant Administrator (Administration) whenever there is established a training program which may be made available to other constituent employees or Federal employees of other agencies. The Office of the Administrator will notify all constituents and, when appropriate, the Civil Service Commission of the training programs.

USE OF OUTSIDE TRAINING FACILITIES

The Housing and Home Finance Agency will use training facilities outside the Government only when such facilities will best and most economically meet the established training needs.

Although the first purpose of all training is the fulfillment of identified training needs, the Agency recognizes that training, including outside training, may also provide incentive and motivation for employees and an opportunity for the Agency to recognize and further develop employees of outstanding potential.

Criteria for the Determination to use non-Government Training Facilities

Although the determination to use a non-Government training facility and the selection of such facility are the responsibility of the constituent agency head, this Section provides certain criteria for making this determination and for the selection of such facility.

In deciding to use non-Governmental training facilities there should be a positive finding that:

- (1) Inquiry has failed to disclose the availability of suitable and adequate training within the Government.
- (2) It will be more economical, practical, or more effective to train outside rather than within the Government.
- (3) The establishment of in-service training to meet the identified training need by the constituent or in cooperation with other HHFA organizations would not be practicable.
- (4) In-service training would unnecessarily duplicate or compete with programs available in established educational institutions.
- (5) Consideration has been given to the utilization and availability of fully trained employees.

In addition to these positive findings, outside facilities will not be used:

- (1) To train for promotion when qualified employees are already available;
- (2) To qualify employees for positions requiring an academic degree;
or
- (3) To provide training when fully comparable training is reasonably available within the Government.

Selection of non-Government Training Facilities

No non-Government training facility shall be selected which discriminates on the basis of race, creed, color or national origin in the admission or subsequent treatment of students.

Ability to meet the Agency's training needs effectively, economically, and in timely fashion will be the principal criterion for selection of outside training institutions. A reasonable effort should be made, however, to distribute training contracts among equally acceptable training institutions.

Academic training will ordinarily be obtained from recognized accredited institutions. Competitive bids, though not required by law, will be obtained when substantial contracts are to be let for group training, provided the bid procedure is practical in terms of the specific training need to be met.

Selection Policy

There shall be equal opportunity in training, both in-service and out-service, for all employees without regard to race, creed, color, national origin or sex. Constituent agency policy shall make this clear, and shall contain objective criteria for the selection of employees for training in government and non-government facilities.

Selection of Trainees

Selection criteria shall include considerations relative to employee needs, the employee's potential for absorbing the training, and the extent to which the Agency will benefit from the selection.

In addition, the policy statement shall require that before an employee is selected for non-Government training, the constituent Agency shall consider the following:

- (1) There is reasonable probability that the need for services of the employee will continue and the employee will be available to perform these services.
- (2) The employee desires the training and has the capacity to benefit.
- (3) The skills, abilities or knowledge the employee will acquire will be reasonably utilized upon return to regular duty.
- (4) The employee is not receiving a disproportionate share of training at the Agency's expense.

FINANCING TRAINING

Constituent agency policy and procedures shall include criteria for the payment of the employee's training expenses. The following shall be considered in making payments for training:

- (1) The extent to which the training is required to meet the needs of the organization.
- (2) The extent to which the employees will receive such tangible benefits as degrees, licenses, admittance to professional organizations, etc., not necessary for the performance of his Agency duties.
- (3) The extent to which the Agency resources permit it to meet their basic training needs.

Generally, the Agency will pay only tuition and related fees for after hours courses.

Per Diem Payments

Whenever per diem would be authorized under Government Travel Regulations and regularly paid to Agency travelers, a per diem rate shall be established that will adequately reimburse the employee for expenses incurred. In no event shall the rate be higher than the regular rate of per diem.

Consideration shall be given to adjusting the per diem rate downward (1) when room, board, or other services are provided under the auspices of the Government, (2) when fees cover significant costs usually included in per diem, or (3) in other similarly unusual circumstances.

Payment of Tuition and Fees

Tuition and fees paid by the Agency in behalf of an employee will not exceed the charge paid for non-Federal students in a similar course of instruction. Such payments will ordinarily be made directly to the institution, rather than by reimbursement to the employees.

Constituent agency policy may provide for the recapture of portions of fees and tuitions paid by the Agency when an employee fails to satisfactorily complete training. Employees must be informed prior to the beginning of training of this condition. The progress of employees in long term training will be checked periodically, and training will be terminated if there is not satisfactory progress.

ACCEPTANCE OF CONTRIBUTIONS, AWARDS, AND PAYMENTS

Generally, constituent agency heads, or their designees, may approve the acceptance of a contribution, award, or payment in connection with training in non-Government training facilities if the organization granting the contribution has been determined by the Secretary of the Treasury to be exempt from taxation under the Internal Revenue Code. Such contribution may not be a reward for services rendered the contributing organization and shall meet the requirement of the Civil Service Commission and the Training Act.

REPORTS

The reports required by Section 18(a) of the Government Employees Training Act and made to the Civil Service Commission shall be prepared for each fiscal year and shall reach the Assistant Administrator (Administration) by July 31 of the succeeding fiscal year.

Such other reports that shall be required by the White House, the Congress, the Civil Service Commission, or the Administrator will be requested on a case basis.

Section 8

HHFA EMPLOYEE-MANAGEMENT COOPERATION POLICY

AUTHORITY

The policies governing employee-management cooperation in the HHFA are established under the authority of Executive Order 10988¹ dated January 17, 1962, and the President's Memorandum dated May 21, 1963 prescribing "Standards of Conduct for Employee Organizations and Code of Fair Labor Practices,"² together with guidelines and regulations issued by the Civil Service Commission and other appropriate Federal authority. These policies shall govern the Agency's officers in dealings with its employees, and employee organizations³ representing such employees, on and after July 1, 1962, except that policies with respect to the Standards and the Code are effective on and after May 21, 1963.

PURPOSE

The President in the Order finds that participation of employees in the formulation and implementation of personnel policies affecting them contributes to effective conduct of public business.

The Order points out further that the efficient administration of the Government and the well-being of employees call for orderly and constructive relationships between employee organizations and management officials. In order to assure effective employee-management cooperation in the public service, there is required, and is included in the Order, a clear statement of the respective rights and obligations of employee organizations and agency management.

In line with HHFA's constant effort to provide an environment which will promote the effectiveness and well-being of its employees, the Agency will at all times carry out its policy of affirmative willingness to give careful consideration to those employee organizations seeking recognition and, once recognition has been accorded, to support a climate of cooperation in working with their representatives concerning all pertinent personnel policies and practices, matters affecting working conditions and, as appropriate, grievances.

The Order clearly delineates areas of employee-management cooperation and restates areas of activity in which management has fixed responsibility, as follows:

- (1) Employee-management cooperation applies to such matters as

¹ Hereafter referred to as "the Order."

² Hereafter referred to respectively as "The Standards" and "The Code." See Exhibit A.

³ For definition of "employee organizations," see Section 2 of the Order.

grievances, personnel policies and practices, or other matters affecting general working conditions of employees.

- (2) Management has, and continues to retain, discretion and policy as to the mission of the Agency, its budget, its organization, and the assignment of its personnel, and the technology of performing its work.

In order to attain optimum effectiveness in employee-management cooperation, effort should be made by both management and employee organizations to carry out pertinent activities at the local unit level.

EMPLOYEE PARTICIPATION

All employees of the Agency are appraised (1) of their right, freely and without fear of penalty or reprisal, to form, join, and assist any employee organization or to refrain from any such activity, and, except for those employees described under the heading "Conflict of Interest Restrictions," to participate in the management of the organization and to act in the capacity of an organization representative, including presentation of its views to officials of the executive branch, the Congress, or other appropriate authority; and (2) that no interference, restraint, coercion, or discrimination will be practiced within the Agency to encourage or discourage membership in any employee organization.

Conflict of Interest Restrictions

The rights of employees described above do not extend to participation in the management of an employee organization, or acting as a representative of any such organization, where such participation or activity would result in a conflict of interest or otherwise be incompatible with law or with the official duties of an employee.

A conflict-of-interest precludes, as a minimum, the following Agency officers from management or representative participation in any employee organization:

- (1) Officials listed in the *Congressional Directory* and the *Government Organization Manual*, as well as officials reporting directly to such listed officials.
- (2) Heads of field establishments, as well as officials reporting directly to heads of field establishments.
- (3) Employees engaged in Federal personnel work in other than a clerical capacity, and employees substantially concerned with personnel policy formulation and execution.

Membership in Employee Unit with Exclusive Recognition

No unit will be established for purposes of exclusive recognition which includes:

- (1) *Any managerial executive.*

This includes officials listed in the *Congressional Directory* and

the *Government Organizational Manual*, as well as officials reporting directly to such listed officials; and heads of field establishments and officials reporting directly to heads of field establishments.

- (2) *Any employee engaged in Federal personnel work in other than a purely clerical capacity.*

This includes other administrative or professional employees sharing responsibility in the development and execution of personnel policies and procedures.

- (3) *Both supervisors who officially evaluate the performance of employees and the employees whom they supervise.*

Supervisors for this purpose are employees, regardless of grade, who as a minimum regularly assign and review the work of, as well as evaluate the performance of, two or more employees.

- (4) *Both professional employees and nonprofessional employees unless a majority of such professional employees vote for inclusion in such unit.*

For this purpose "professional" includes all employees classified in the General Service (GS) at grade GS-9 and above; and "interns" or "trainees," regardless of grade, provided they are in a line of work in which the normal line of advancement is to the GS-12 level or above.

RECOGNITION OF EMPLOYEE ORGANIZATIONS

Upon request by an employee organization, informal recognition will be accorded to such organization as a representative of its member employees, and formal or exclusive recognition will be accorded to an employee organization in a unit, as set forth under the heading "Unit Determination," in conformity with the requirements specified in the Order.

Recognition of an employee organization will be continued so long as the organization satisfies the criteria applicable to such recognition. An individual constituent agency or the OA, as appropriate, shall not be required to determine whether an organization should become or continue to be recognized as the exclusive representative of the employees in any unit within 12 months of a prior determination of exclusive status with respect to such unit.

In the event that an employee organization is considered to be so subject to corrupt influences or influences opposed to basic democratic principles that recognition or continued recognition would be inconsistent with the objectives of the Order, the matter will be discussed jointly by the Administrator and the heads of the constituent agencies in order to consider appropriate action to be taken pursuant to the Standards.

Informal Recognition

An employee organization meeting the requirements of the Order will be accorded informal recognition as representative of its member employees, and the individual constituent agency or the OA, as appropriate, shall receive the views of the organization on matters of concern to its members as provided in the Order.

Formal Recognition

An employee organization meeting the requirements of the Order will be accorded formal recognition as the representative of its member employees in a unit, and the individual constituent agency or the OA, as appropriate, shall receive the views of, and consult with, such employee organizations in the formulation and implementation of personnel policies and practices, and matters affecting working conditions that are of concern to its members, as provided in the Order.

National Level; Formal Recognition by Constituent Agency or OA

If an employee organization meets the requirements of the Order for formal recognition at the national level, the individual constituent agency or the OA, as appropriate, may accord such recognition. The Administrator will be notified whenever an employee organization has been accorded formal recognition at the national level by a constituent agency.

National Level; Formal Recognition—Agency-Wide

If Agency-wide formal recognition at the national level is requested, the matter will be discussed jointly by the Administrator and the heads of constituent agencies or their representatives and a determination made by the Administrator.

Exclusive Recognition

When an employee organization has been accorded exclusive recognition, that employee organization will be the representative of all the employees in the appropriate unit. Such employee organization will be given the opportunity to be represented at discussions between management and employees or employee representatives concerning grievances, personnel policies and practices or other matters affecting general working conditions of employees in the unit, and will be permitted to negotiate agreements, as provided in the Order.

Initial Agreements

Whenever any basic or initial agreement is entered into with an employee organization as the exclusive representative of employees in a unit subject to the requirements described in the Order, the Administrator will be so notified.

Such agreements will expressly state that management retains the right (1) to direct employees, (2) to hire, promote, transfer, assign, and retain employees in positions within the individual constituent agency or the OA, as appropriate, and to suspend, demote, discharge, or take other disciplinary action against employees, (3) to relieve employees from duties because of lack of work or for other legitimate reasons, (4) to maintain the efficiency of the Government operations entrusted to it, (5) to determine the methods, means and personnel by which such operations are to be conducted, and (6) to take whatever actions may be necessary to carry out the mission of the individual constituent agency or the OA, as appropriate, in situations of emergency.

In addition, such agreements shall expressly state that in the administration of all matters covered by the agreement, officials and employees are governed by the provisions of any applicable existing or future laws and regulations, including policies set forth in the Federal Personnel Manual and agency regulations, and the agreement shall at all times be applied subject to such laws, regulations, and policies.

Grievance Procedures Inclusion

Agreements entered into or negotiated with an employee organization which is the exclusive representative of employees in an appropriate unit may contain provisions, applicable only to employees in the unit, concerning procedures for consideration of grievances, as provided in the Order.

Advisory Arbitration Inclusion

Procedures established by an agreement with an exclusively recognized unit may also include provisions for advisory arbitration of grievances confined to interpretation or application of agreements, or of individual constituent agency, OA, or Agency-wide policy, and invoked only with the approval of the individual employee(s) concerned.

Whenever decisions or recommendations resulting from advisory arbitration of grievances are approved, the Administrator will be so notified.

UNIT DETERMINATION

In reaching decisions concerning the Agency's responsibility for defining and making determinations as to the appropriateness of units for purposes of formal or exclusive recognition, the Order and the guidelines furnished by the Civil Service Commission include the following points:

- (1) There must be a "community of interest" among the employees of the proposed unit.
- (2) No unit shall be established solely on the basis of the extent to which employees in the proposed unit have organized.

- (3) Very small units should be avoided, in the interest of efficiency and convenience in dealing with employees.

In line with the foregoing, the following policies will be observed in determining appropriate units in the Agency:

- (1) Units will be contained within the separate organizational structures of the Office of the Administrator and the individual constituent agencies.
- (2) Units should preferably be further contained within the separate field establishments and central offices of the Office of the Administrator and the constituent agencies.
- (3) Generally, in the field service first consideration will be given to recognition of a unit in which all employees of the particular field establishment who are eligible under the Order and Agency policy may join.

Advisory Arbitration in "Exclusive" Unit Determination

Acceptable methods of determining the extent of membership or the support of an employee organization requesting exclusive recognition include (1) obtaining evidence that a majority of the unit's employees are members of the employee organization; or (2) receiving written authorization by a majority of the employees of the unit; or (3) holding an election.

In its responsibility for determining whether a unit is appropriate for exclusive recognition and whether an employee organization represents a majority of the employees in such unit so as to be entitled to such recognition, the individual constituent agency or the OA, as appropriate, and the employee organization shall, whenever possible, agree on a procedure for ascertaining the extent of membership or support of the unit. If agreement cannot be reached, and the employee organization has not already done so, the individual constituent agency or the OA, as appropriate, may request the Secretary of Labor to nominate from the National Panel of Arbitrators maintained by the Federal Mediation and Conciliation Service one or more qualified arbitrators to investigate the facts and to issue an advisory decision as to unit appropriateness, to conduct or supervise an election, or to make other appropriate advisory determinations as to majority representation, as provided in the Order.

USE OF OFFICIAL TIME AND FACILITIES FOR EMPLOYEE ORGANIZATION ACTIVITIES

Official Consultations

Officially requested or approved consultations and meetings between management officials and representatives of recognized employee organizations shall, whenever practicable, be conducted on official time. However, the individual constituent agency or the OA, as appropriate, may require that negotiations with an employee organization which

has been accorded exclusive recognition be conducted during the non-duty hours of the employee organization representatives involved in such negotiations.

Solicitation of Memberships; Collection of Dues

Solicitation of memberships, collection of dues (except as provided by the regulations of the Civil Service Commission), and other internal employee organization business will be conducted during non-duty hours (during lunch periods or before or after working hours) of the employees concerned.

Use of Facilities

Recognized employee organizations may be permitted to use Agency facilities under the following conditions:

- (1) The facilities requested are necessary to the employee organization.
- (2) Other employee organizations in similar circumstances are given similar treatment.
- (3) The facilities are used subject to specific and reasonable conditions established to assure that such use (a) will not impair the orderly execution of the Agency's mission and (b) will be subject to the same degree of budget and management controls as Agency use of the same facilities.

Upon request from appropriate employee organizations and subject to the foregoing conditions, the following may be permitted:

- (1) Use of Government property for employee organization meetings during non-duty hours of the employees concerned.
- (2) Use of Agency bulletin boards.
- (3) Use of Agency intra office messenger system for distribution of employee organization materials.

STANDARDS OF CONDUCT AND CODE OF FAIR LABOR PRACTICES

Pursuant to Section 13 of the Order, the President's Memorandum of May 21, 1963, prescribed the Standards and the Code (see Exhibit A) for application by all agencies subject to the Order and all employee organizations accorded recognition under the Order.

Standards of Conduct for Employee Organizations

An employee organization requesting recognition will meet the requirements for adoption of the Standards by furnishing:

- (1) A written statement that the employee organization is a member of the AFL-CIO and that it is governed by and subscribes to the AFL-CIO Codes of Ethical Practices; or

- (2) A copy of the employee organization's constitution and by-laws which contain explicit and detailed provisions covering the Standards; or
- (3) A copy of the employee organization's rules and regulations which have been officially adopted by the membership, and which contain explicit and detailed provisions covering the Standards.

The Administrator is responsible for providing and applying such policies and procedures as may be necessary to implement the Standards for Agency-wide and OA use. The head of each constituent agency is responsible for providing and applying such additional policies and procedures as may be necessary to implement the Standards in that constituent. Such procedures shall provide that the Administrator and the heads of constituent agencies will jointly discuss all matters related to alleged or actual non-compliance with the Standards on the part of an employee organization requesting or accorded recognition and that the Administrator will determine the appropriate action to be taken pursuant to the Standards.

Code of Fair Labor Practices

The Administrator and the heads of constituent agencies and units shall at all times be cognizant of the provisions of the Code and shall insure that:

- (1) Actions of the Agency do not violate the Code;
- (2) Appropriate actions are taken to correct any violations of the prohibited agency management practices described in the Code; and
- (3) The Administrator is kept informed of developments which may give rise to questions concerning the prohibited agency management practices and employee organization practices described in the Code.

Likewise, employee organizations requesting or accorded recognition by the Agency are expected to:

- (1) Refrain from actions in violation of the code; and
- (2) Take appropriate actions to correct any violations of the prohibited employee organization practices described in the Code.

The Administrator is responsible for providing and applying fair and adequate procedures, pursuant to the Code, for Agency-wide and OA use. The head of each constituent agency is responsible for providing and applying such additional fair and adequate procedures, pursuant to the Code, for use in that constituent. These procedures shall cover the filing, investigation, and processing of complaints of violations of Section 3.2 of the Code and shall cover all cases, except as provided in subsections (a) (2) and (c) of Section 3.3 of the Code, whether initiated by employees, the Agency, or an employee organization accorded recognition. Such procedures shall provide that:

- (1) Whenever a complaint is not informally adjusted and entails the services of a hearing officer or panel of such officers, such officer(s) shall be responsible directly to the Administrator or the head of the constituent agency as appropriate; and
- (2) Whenever the nature of a complaint is such as to merit consideration of a uniform Agency-wide policy in connection with its disposition, the matter shall be brought to the attention of the Administrator and the heads of constituent agencies, for joint consideration and determination by the Administrator as to appropriate action to be taken pursuant to the Code.

Any strike, work stoppage, slowdown or related picketing engaged in as a substitute for any such strike, work stoppage or slowdown against the Government of the United States on the part of an employee organization accorded recognition will be jointly considered by the Administrator and the heads of constituent agencies and a determination will be made by the Administrator as to the appropriate action to be taken without regard to the limitations of Sections 3.3 and 3.4 of the Code.

INAPPLICABILITY OF EXECUTIVE ORDER 10988

If it is considered that any provision of the Order (except Section 14) cannot be applied in a manner consistent with national security requirements and considerations to any office, bureau or entity within the Agency primarily performing intelligence, investigative, or security functions, the matter will be discussed jointly and determination reached by the Administrator and the heads of constituent agencies.

ISSUANCE OF REGULATIONS AND PROCEDURES

In addition to the policies established in this Section, the Administrator and the heads of constituent agencies will issue such supplementary regulations and procedures as are necessary to implement the Order.

REVIEW OF POLICIES, REGULATIONS, AND PROCEDURES

The OA Director of Personnel and the chief personnel officers of the constituent agencies shall periodically meet to: (1) conduct reviews of the effect of the application of the Order on the Agency's employee-management relations; (2) consider, in the light of existing practices and needs, changes or additions in Agency policies in areas of Agency discretion under the Order; and (3) make appropriate recommendations to the Administrator and the heads of constituent agencies. Approved changes or additions will be promulgated by amendment or revision of these policies.

EXHIBIT A**STANDARDS OF CONDUCT FOR EMPLOYEE ORGANIZATIONS AND CODE OF FAIR LABOR PRACTICES**

Section 1.1 Purpose and Scope. These Standards of Conduct for Employee Organizations and the Code of Fair Labor Practices in Employee-Management Cooperation in the Federal Service are issued pursuant to Executive Order No. 10988. Their purpose is to assist in securing the uniform and effective implementation of the policies, rights, and responsibilities described in the Order by fixing more definitely the responsibilities of employee organizations and agencies, providing more detailed criteria for the protection of rights secured under the Order, and establishing procedures in both of these areas which will assure a necessary measure of uniformity within the Executive Branch of the Federal Government.

Section 1.2 Definitions

- (a) "Order" means Executive Order No. 10988.
- (b) "Agency," "employee organization," and "employee" have the same meaning as in the Order.
- (c) "Agency management" includes the agency head, and all management officials and representatives of management having authority to act for the agency on any matters relating to the implementation of the agency employee-management cooperation program as established under the Order.
- (d) "Recognition" means recognition which is or may be accorded to an employee organization pursuant to the provisions of the Order.

Section 1.3 General Responsibilities of the Civil Service Commission. The Civil Service Commission, in accordance with the provisions of section 12 of the Order, shall be responsible for the dissemination of information with respect to the Standards of Conduct and Code of Fair Labor Practices, and shall insure an adequate exchange of information between agencies as to its application and enforcement.

Part A**STANDARDS OF CONDUCT FOR EMPLOYEE ORGANIZATIONS**

Section 2.1 Application. The provisions of this Part are applicable to all agencies subject to the provisions of the Order and to all employee organizations accorded recognition under the Order.

Section 2.2 Standards of Conduct. No agency shall accord recognition to any employee organization unless the employee organization is subject to governing requirements, adopted by the organization or by a national

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or international employee organization or federation of employee organizations with which it is affiliated or in which it participates, containing explicit and detailed provisions to which it subscribes calling for the following:

- (a) The maintenance of democratic procedures and practices, including provisions for periodic elections to be conducted subject to recognized safeguards and provisions defining and securing the right of individual members to participation in the affairs of the organization, to fair and equal treatment under the governing rules of the organization, and to fair process in disciplinary proceedings;
- (b) The exclusion from office in the organization of persons affiliated with Communist or other totalitarian movements and persons identified with corrupt influences;
- (c) The prohibition of business or financial interests on the part of organization officers and agents which conflict with their duty to the organization and its members; and
- (d) The maintenance of fiscal integrity in the conduct of the affairs of the organization, including provision for accounting and financial controls and regular financial reports or summaries to be made available to members.

Section 2.3 Adoption of Standards. No agency shall deny, suspend, or withdraw recognition by reason of any alleged failure to adopt or subscribe to standards of conduct as provided in section 2.2 of this Part unless it has first notified the organization and the national or international organization with which it is affiliated of such alleged deficiency and has afforded the organization a reasonable opportunity to make any amendments or modifications or take any action that may be required. In the event that any question arising under any provision of section 2.2 is not resolved in a mutually acceptable manner, the agency shall consult with the Secretary of Labor prior to making a final determination that an organization has failed to comply with such provisions.

Section 2.4 Procedure for Denial, Suspension or Withdrawal of Recognition

- (a) An employee organization which has adopted or subscribed to standards of conduct as provided in section 2.2 of this Part shall not be required to furnish other evidence of its freedom from influences described in section 3(a) of the Order unless (1) the agency has cause to believe that the organization has been suspended or expelled from or is subject to other sanction by a parent employee organization or labor organization or federation of such organizations with which it had been affiliated because it has demonstrated an unwillingness or inability to comply with

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governing requirements comparable in purpose to those required by section 2.2 of this Part, or (2) recognition in any form has been denied, suspended, or withdrawn by any other agency pursuant to this Part or section 3(a) of the Order and such denial, suspension, or withdrawal remains in effect, or (3) there is reasonable cause to believe that the organization, notwithstanding its compliance with section 2.2 is in fact subject to influences such as would preclude recognition pursuant to the Order.

- (b) In any case where additional evidence is required pursuant to (1), (2), or (3) of subsection (a) of this section, the agency shall not deny, suspend, or withdraw recognition on the basis of the exception stated in section 3(a) of the Order unless it has afforded the employee organization an opportunity to present to the agency such reasons or considerations as it has to offer relating to why recognition should not be denied, suspended, or withdrawn. If this opportunity is requested, the agency shall promptly hold a hearing. Upon request the agency shall make available to the employee organization for use in the hearing a concise and accurate summary of the facts on which the agency intends to rely in reaching its decision, together with a statement of the reasons for the agency action. In lieu of a summary statement, the agency may make available to the employee organization the entire report of the agency investigation. In any dispute over the accuracy or sufficiency of information so provided, the final determination shall be made by the agency head. The employee organization shall have an opportunity to be present at the hearing, to be represented by counsel, and to offer such oral and documentary evidence as may be relevant to the issue or issues in controversy. Any determination to deny, suspend or withdraw recognition shall be made in writing by the agency head.
- (c) The agency may consult with the Secretary of Labor before instituting any proceedings pursuant to clause (3) of subsection (a) of this section and shall consult with the Secretary of Labor prior to taking any final action with respect to the denial, suspension, or withdrawal of recognition.
- (d) Where an agency determination denying, suspending or withdrawing recognition of an employee organization is made in accordance with subsections (b) and (c) of this section after consultation with the Secretary of Labor, any other agency may thereafter deny, suspend or withdraw recognition as to such employee organization or subordinate affiliate thereof without regard to the procedures prescribed in subsection (b) if such other agency has afforded such employee organization or subordinate affiliate thereof an opportunity to present such reasons and

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considerations as it may have to offer as to why such prior determination should not be followed, and such agency, on the basis of such submission and after consultation with the Secretary of Labor, finds that further procedures are unnecessary.

Section 2.5 Effective dates.

- (a) The provisions of this part, other than section 2.4(b) and (c) as hereinafter provided, shall become effective immediately. No later than 6 months from such effective date, each agency shall adopt such permanent procedures as may be necessary to implement this Part. Insofar as may be practicable and appropriate, agencies shall consult with representatives of recognized employee organizations in the formulation of such procedures. Copies of any implementing regulations shall be made available to recognized employee organizations upon request.
- (b) Prior to the adoption of such permanent procedures, in making determinations under the Order with respect to employee organizations which seek or have been accorded recognition, no agency shall deny, suspend or withdraw such recognition on the basis of the exception stated in the Order except in accordance with procedures conforming as nearly as possible to the requirements of section 2.4(b) and (c) of this Part.

Part B**CODE OF FAIR LABOR PRACTICES**

Section 3.1 Application. The provisions of this Part are applicable to all agencies subject to the provisions of the Order and to all employee organizations accorded recognition under the Order.

Section 3.2 Prohibited Practices.

- (a) Agency management is prohibited from:
 - (1) Interfering with, restraining or coercing any employee in the exercise of the rights assured by Executive Order No. 10988, including those set forth in section 1 of the Order;
 - (2) Encouraging or discouraging membership in any employee organization by discrimination in regard to hiring, tenure, promotion or other conditions of employment;
 - (3) Sponsoring, controlling or otherwise assisting any employee organization, except that an agency may furnish customary and routine services and facilities pursuant to section 10 of the Order where consistent with the best interests of the agency, its employees and the organization, and where such

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services and facilities are furnished, if requested, on an impartial basis;

- (4) Disciplining or otherwise discriminating against any employee because he has filed a complaint or given testimony under the Order or under the Standards of Conduct for Employee Organizations or Code of Fair Labor Practices;
 - (5) Refusing to accord appropriate recognition to an employee organization qualified for such recognition;
 - (6) Refusing to hear, consult, confer or negotiate with an employee organization as required by the Order.
- (b) Employee organizations are prohibited from:
- (1) Interfering with, restraining or coercing any employee in the exercise of the rights assured by Executive Order No. 10988, including those set forth in section 1 of the Order;
 - (2) Attempting to induce agency management to coerce any employee in the enjoyment of his rights under the Order;
 - (3) Coercing or attempting to coerce, or disciplining, any member of the organization as punishment or reprisal for, or for the purpose of hindering or impeding his discharge of his duties owed as an officer or employee of the United States;
 - (4) Calling or engaging in any strike, work stoppage, slowdown, or related picketing engaged in as a substitute for any such strike, work stoppage or slowdown, against the Government of the United States;
 - (5) Discriminating against any employee with regard to the terms or conditions of membership because of race, color, creed, or national origin.
- (c) No employee organization which is accorded exclusive recognition shall deny membership to any employee in the appropriate unit except for failure to meet reasonable occupational standards uniformly required for admission, or for failure to tender initiation fees and dues uniformly required as a condition of acquiring and retaining membership, but nothing contained in this subsection shall preclude an employee organization from enforcing discipline in accordance with procedures under its constitution or bylaws which conform to the requirements set forth in section 2.2(a) of the Standards of Conduct for Employee Organizations.

Section 3.3 General Procedures for Enforcement.

- (a) Each agency shall provide fair and adequate procedures for the filing, investigation, and processing of complaints of violations of

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section 3.2 which will cover all cases, except as provided in subsection (c) of this Section, whether initiated by employees, an agency, or an employee organization, as follows:

- (1) In cases initiated by an employee or several employees with the same complaint, in which the matter in issue is subject to an applicable grievance or appeals procedure within the agency, such procedure shall be the exclusive procedure used.
 - (2) All cases not covered by subsection (a)(1) and (c) of this section shall be processed under procedures which shall include provisions for the informal resolution or adjustment of complaints where possible; for the designation of an impartial hearing officer or panel of such officers; and, in cases where it appears that there is substantial basis for a complaint and the matter is not informally adjusted, for an opportunity for a hearing before a hearing officer or panel of such officers upon notice, for the right to be represented by counsel, and for findings of fact, or for findings of fact and recommendations, by such officers or panel. Such procedures shall not, however, be available for the rehearing of issues processed under the provisions of the Standards of Conduct or Section 11 of the Order. In performing the function provided for in this subsection, hearing officers shall be responsible directly to the agency head.
- (b) Hearings held pursuant to subsection (a)(2) shall be informal, but rights of confrontation and cross-examination shall be preserved so far as may be necessary for the development of the facts, and the findings of fact or findings of fact and recommendations of the hearing officer or panel shall be based upon the record developed in the hearing. Copies of such findings of fact or findings of fact and recommendations shall be made available to the parties. In any proceeding under this section, the complainant or respondent shall be entitled to receive a concise and accurate summary of the facts relating to the complaint, and upon which the agency intends to rely, together with a statement of the reasons for the agency's action. The agency may, in lieu of a summary statement, make available to the complainant or respondent the entire report of the agency's investigation of the complaint. In a case in which the complainant or respondent is provided with a summary statement, the hearing officer shall have the right, upon request, to examine the entire record in such case, including all data gathered pursuant to an investigation, to determine that the summary is fair and accurate.
- (c) Cases involving any strike, work stoppage, slowdown or related picketing engaged in as a substitute for any such strike, work

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stoppage or slowdown, shall be covered by such procedures and subject to such remedies and sanctions consistent with law as the agency head determines to be appropriate to the situation without regard to the limitations of this section or section 3.4.

Section 3.4 Final Decision and Notice. All final decisions shall be in writing and shall be furnished to the organization and the national or international organization with which it is affiliated. Such decisions shall include a statement of the findings and reasons in support of the decision. If the decision is that agency management has engaged in a prohibited practice, the agency shall immediately take necessary action in accordance with the decision to remedy the violation. If the decision is that an employee organization has engaged in a prohibited practice, the agency head shall notify the employee organization of the existence of such violation and request appropriate corrective action. Failure of an employee organization to comply with such request after the date on which it becomes effective shall be grounds for the withholding, or suspension of recognition until the violation has been remedied, or for the withdrawal of recognition in appropriate cases as determined by the agency head.

Section 3.5 Effective Date.

- (a) The provisions of section 3.2 of this Part shall be effective immediately. No later than six months from such effective date, each agency shall adopt permanent procedures to implement this Part. Insofar as may be practicable and appropriate, agencies shall consult with representatives of employee organizations in the formulation of such procedures. Copies of any implementing regulations shall be made available to recognized employee organizations upon request.
- (b) In making determinations under section 3.2 prior to the adoption of such permanent procedures, agencies shall as nearly as possible conform to the basic procedural requirements of this Part, and in no case where an opportunity for hearing, or a final notice as described in section 3.4, is required under this Part shall an agency withhold, suspend, or withdraw recognition without an opportunity for such hearing or without such a final notice.

Section 9

PERFORMANCE REQUIREMENTS FOR NORMAL WITHIN-GRADE SALARY INCREASES

AUTHORITY

The policies governing employee performance requirements for normal within-grade salary increases in the Housing and Home Finance Agency (HHFA), consisting of the Office of the Administrator (OA), the Federal Housing Administration (FHA), the Public Housing Administration (PHA), the Federal National Mortgage Association (FNMA), the Community Facilities Administration (CFA), and the Urban Renewal Administration (URA)¹ are established under the authority of the Federal Salary Reform Act of 1962 (P.L. 87-793),² the President's Memorandum to Heads of Departments and Agencies³ of October 11, 1962, Executive Order 11073 of January 2, 1963, and guidelines and regulations issued by the Civil Service Commission and other appropriate authority.

These policies shall govern the Agency's officers and employees on and after March 1, 1963.

PURPOSE

The Act and the President's Memorandum strongly emphasize the responsibility of management in each Government agency for increasing employee productivity and organization effectiveness. To this end, the Act provides that when an employee completes an appropriate period of service in his grade, he shall be advanced in salary to the next higher rate within his grade when "his work is of an acceptable level of competence as determined by the head of the department." It is the purpose of this issuance to establish policies as a basis for administrative procedures relating to this matter issued by the organizations within the HHFA.

POLICIES

Responsibilities of Supervisory Staff

The new directives place greater management responsibilities upon supervisors, particularly in the area of effective leadership. Within-grade salary increases under the new Act are to be awarded only when

¹ Hereafter referred to as "the Agency," or "the Administrator" (for the OA, CFA, and URA), and "the heads of constituent agencies" (for the FHA, PHA, and FNMA).

² Hereafter referred to as "the Act."

³ Hereafter referred to as "the President's Memorandum."

the work of otherwise eligible employees is of an acceptable level of competence, and this will call for considered judgments by supervisors of the effectiveness of their employees' work.

Since within-grade increases are to be granted on the basis of an appraisal of the employee's performance, effective leadership by supervisors requires that they be continuously aware of their employees' performance and productivity, and that they take the proper steps to inform employees of this evaluation. When an employee's work shows promise or is at an acceptable level, he should be so informed, for effective leadership involves encouragement as well as correction, and an employee's potential can be developed by the right kind of guidance. At the moment that an employee's level of competence falls below an acceptable level, however, the supervisor has a special responsibility to counsel the employee, clearly identifying the areas of deficiency and the extent to which they must be corrected in order to merit a within-grade salary increase at the conclusion of the normal waiting period. Supervisors shall counsel such employees preferably at a time no later than 60 days prior to the normal effective date of the increase. In turn, the "acceptable level of competence" of each supervisor will be determined to a significant extent on the basis of the performance and development of the employees under his authority and the general effectiveness of his operation.

"Acceptable Level of Competence"

The term "acceptable level of competence," as used in the Act, connotes a level of competence above the minimal level required for a "satisfactory" rating under the Performance Rating Act of 1950. The term is not, therefore, necessarily synonymous with a "satisfactory" rating; essentially it is clearly above what constitutes sufficient competence to warrant job retention.

At the same time, it must be recognized that the factors involved in determining an employee's "acceptable level of competence" will vary from job to job depending on the nature of the job, particularly with regard to the consequences of error, organizational environment, and the mission of the office or Agency.

But while the criteria may vary, an important essential is that the supervisor's approach and attitude be consistent. This might be summed up in the following question which supervisors should continually keep in mind—"Is this employee, in his position, making the kind of positive contribution to the operation of the work force which truly warrants an increase in pay?"

The concept of a "positive contribution" includes, but is not limited to, consideration of such elements as efficiency, initiative, flexibility, productivity, dependability, judgment, work relationships, conduct and others. In addition, where specific performance standards have been established for a position, such standards, including additional

implementing directives, memoranda, or oral instructions, will generally serve as the basis for establishing an acceptable level of competence.

Under the Act, an employee whose performance during a pertinent period of service does not measure up to the concept of the "positive contribution" at the time of determination shall not be eligible for a within-grade salary increase until there is evidence that his performance matches this standard.

ACTION ON DENIAL OF WITHIN-GRADE SALARY INCREASES

An employee whose work is determined to be at an unacceptable level of competence at such time as he is otherwise eligible for a within-grade salary increase shall, as promptly as possible but no later than the end of the pay period in which such within-grade salary increase would have been effective, be notified in writing of the determination and its consequences. (However, failure to notify the employee does not alter the fact that his performance is of an unacceptable level of competence, nor does it permit the processing of a within-grade salary increase.) The notice shall contain, as a minimum, the information required by pertinent Civil Service regulations and shall embody the following principles:

1. Upon his timely request (within ten days), a fair, impartial and objective review of the determination made of the employee's performance during the completed waiting period will be conducted. The review level shall be sufficiently high in the organization to insure that the viewpoints of top management, as well as these policies, are reflected in the determination. Formal hearing, grievance or appeal procedures as in an adverse action situation will not be employed in making a level-of-competence determination.
2. The employee may make a presentation to the review official orally and in writing. In requesting a review and in making any presentation, the employee shall have freedom from restraint, interference, coercion, discrimination, or reprisal.
3. If a review indicates a favorable determination, he shall be so notified in writing and advised that such determination will supersede the earlier one and have a retroactive effect.
4. If a review results in no change in determination, he shall be so notified in writing and advised that his performance will be continuously evaluated. At such time as his work attains an acceptable level of competence, the employee will be so notified, and the increase will be granted effective beginning with the first day of the next pay period.
5. The determination in any reconsideration will normally be made within thirty days of the request, and no further appeal will be entertained.

In order to encourage employees who have been denied increases to bring their performance up to an acceptable level of competence, a further review of such an employee's performance shall be made by his supervisor no later than 90 days after the effective date of the denial of the increase, and the results of such review discussed with him. Within the remaining period of 52 weeks from the date of the denial of the increase, the supervisor shall periodically, on an informal basis, conduct further reviews of the employee's performance in the light of acceptable level of competence requirements.

ISSUANCE OF REGULATIONS AND PROCEDURES

In addition to the policies established in this issuance, the Administrator and the heads of constituent agencies separately will issue such supplementary regulations and procedures as are necessary to implement these policies, the Act, the President's Memorandum, and guidelines and regulations issued by the Civil Service Commission and other appropriate authority.

REVIEW OF POLICIES, REGULATIONS AND PROCEDURES

The HHFA Personnel Advisory Committee will periodically: (1) consider, in the light of existing practices and needs, changes or additions in Agency policies in areas of Agency discretion under the Act or the President's Memorandum, and (2) make appropriate recommendations to the Administrator and the heads of constituent agencies. Approved changes or additions will be promulgated by amendment or revision to these policies.

Section 10

PERFORMANCE REQUIREMENTS FOR QUALITY WITHIN-GRADE SALARY INCREASES

AUTHORITY

The policies governing employee performance requirements for quality within-grade increases¹ in the Housing and Home Finance Agency (HHFA), consisting of the Office of the Administrator (OA), the Federal Housing Administration (FHA), the Public Housing Administration (PHA), the Federal National Mortgage Association (FNMA), the Community Facilities Administration (CFA), and the Urban Renewal Administration (URA)² are established under the authority of the Federal Salary Reform Act of 1962 (P.L. 87-793),³ the President's Memorandum to Heads of Departments and Agencies of October 11, 1962,⁴ Executive Order 11073 of January 2, 1963, and guidelines and regulations issued by the Civil Service Commission and other appropriate authority.

These policies shall govern the Agency's officers and employees on and after June 1, 1963.

PURPOSE

The Act and the President's Memorandum strongly emphasize the responsibility of management in each Government agency for increasing employee productivity and organization effectiveness.

In addition to insuring its goal by the requirement that an employee's work must be of an acceptable level of competence in order to merit a normal within-grade salary increase, the Act provides an equally important means of encouraging excellence in employee performance by authorizing additional increases to employees "in recognition of high quality performance above that ordinarily found in the type of position concerned." The statutory and Civil Service limitations in the awarding of quality increases are as follows:

- (a) Increases may be made only within the limit of available appropriations.
- (b) Increases may be granted to a specific employee no more often than once every 52 weeks.

¹ Hereafter referred to as "quality increases."

² Hereafter referred to as "the Agency," or "the Administrator" for the OA, CFA, and URA), and "the heads of constituent agencies" (for the FHA, PHA, and FNMA.)

³ Hereafter referred to as "the Act."

⁴ Hereafter referred to as "the President's Memorandum."

- (c) There is no provision for increases beyond the maximum rate in each grade of the General Schedule.
- (d) For eligibility, there must be a finding that (1) the employee concerned has been performing the most important functions of his job in a manner that substantially exceeds normal requirements, so that, when viewed as a whole, his work performance is of a high degree of effectiveness; and (2) the employee's high level of effectiveness has been sustained to the extent that it gives promise of continuing at a high level.

It is the purpose of this issuance to establish policies relating to quality increases as a basis for administrative procedures issued by the constituent organizations within the Agency.

POLICIES

Responsibilities of Supervisory Staff

The recognition and encouragement of high quality performance is as important to organization effectiveness as is the correction of below average performance. Highly capable employees, given the proper environment, can determine in a large measure the efficiency and productivity of the work unit. Responsibility for creating this proper environment, however, rests to a very great extent on the immediate supervisor. By his actions and his attitudes, by his understanding of the needs of employees, and by his ability to give the proper kind of encouragement he can enable employees to develop their full capacities. In doing so, the supervisor, the employee, and the organization will benefit.

The quality increase provides the supervisor with another means (in addition to cash or honorary awards) for rewarding and encouraging high quality performance. Its use will require, however, considerable discretion on the part of the supervisor, if only because the benefits of the quality increase can be considerable over the long run of time. His recommendation, therefore, of the proper reward is an important one.

In considering whether the appropriate award should be that of a quality increase, the following standards shall be observed.

Definition

The statutory standard for a quality increase is "high quality performance above that ordinarily found in the type of position concerned." In applying this standard, the supervisor will need to satisfy himself that while the performance need not represent such perfection as to be impossible of attainment by a well-qualified employee, his performance of the most important functions of his job is *characteristically* in a manner that *clearly* exceeds performance ordinarily found in the type of position concerned, so that, when viewed as a whole, his work performance exceeds "medium," "average" or "typical" work to such

an extent that the employee clearly merits faster-than-usual salary advancement.

Initiating Responsibility

The immediate supervisor, having a detailed working knowledge of job requirements and the manner of work performance, usually will be the person best qualified to initiate a recommendation (for review and approval by appropriate higher authority) of a quality increase. Recommendations must be in writing and must show *in specific terms* why performance can be characterized as high quality performance above that ordinarily expected in the position concerned. The official initiating the recommendation must also certify that he believes that the employee's high quality performance is likely to continue in the future.

Supervisors who are initiating a recommendation for a quality increase usually will have full knowledge of the employee's performance and work record. Such supervisors, however, may wish to discuss the proposal for a quality increase with their personnel offices prior to making the recommendation to be sure that all available information which might have some bearing on the proposal has been considered.

Eligibility

To warrant a quality increase, the employee's performance *in position and grade* on a full-time or non-full-time basis in a permanent position in the classified service must:

- (1) Be sustained at a clearly defined high level for a reasonable period of time, preferably for at least three months.
- (2) Give definite promise of continuing at the high level.

Quality increases are in addition to regular within-grade increases. In other words, an employee who receives a quality increase does not thereby start a new waiting period to meet the time requirements for a regular within-grade increase; the time spent in the previous step will be included in the computation of the next regular increase.

The timing of normal within-grade salary increases, therefore, should ordinarily not act to cancel, postpone, or accelerate the supervisor's determination (and recommendation to appropriate authority) that a quality increase is warranted at a given time to an eligible employee. The quality increase is apart from normal within-grade increases, and is to be granted solely on the basis of the criteria discussed above.

Relation to Incentive Awards

The new quality increase authority gives departments a device specially geared to recognize and reward employees on a continuing basis for high quality performance. However, incentive awards will continue to be available for granting monetary as well as honorary

recognition for excellence in performance and in some cases will be a more appropriate form of recognition and reward.

As a general guideline, quality increases will be the method used for recognizing employees, either individually or as a group, whose work meets the standard of high-quality performance discussed above. On the other hand, incentive awards will continue to be used in cases where a lump-sum reward has special advantages to the agency or the employees. Such cases might be those where an employee would enjoy the benefits of an additional within-grade increase for an insufficient length of time or where the employee's contribution is such that a lump-sum payment is a more fitting recognition.

It is clear, of course, that incentive awards will be the only choice in the case of non-recurring achievements, special work situations of limited duration, recognition of group achievement, employees in positions not subject to the Classification Act, as well as employees in the top step of a grade.

A combination of a quality increase and a lump-sum award could be used where the circumstances warrant simultaneous recognition of both types of achievement.

ISSUANCE OF REGULATIONS AND PROCEDURES

In addition to the policies established in this issuance, the Administrator and the heads of constituent agencies will each issue such supplementary regulations and procedures as are necessary to implement these policies, the Act, the President's Memorandum, and guidelines and regulations issued by the Civil Service Commission and other appropriate authority.

No later than June 30 of each year, the Administrator and the heads of the constituent agencies shall notify the employees under their jurisdiction of the number of quality increases granted during the preceding twelve months.

REVIEW OF POLICIES, REGULATIONS AND PROCEDURES

The HHFA Personnel Advisory Committee will periodically: (1) consider, in the light of existing practices and needs, changes or additions in Agency policies in areas of Agency discretion under the Act or the President's Memorandum, and (2) make appropriate recommendations to the Administrator and the heads of constituent agencies. Approved changes or additions will be promulgated by amendment or revision to these policies.

Section 1

ADMINISTRATIVE CONTROL OF FUNDS

SCOPE AND AUTHORITY

This regulation is issued pursuant to Section 3679, Revised Statutes, as amended, and Bureau of the Budget Circular No. A-34, *Instructions Relating to Apportionments and Reports on Budget Status*, and shall be applied by the constituent agencies in accordance with the requirements hereinafter set forth. For the purpose of this regulation, the Office of the Administrator shall include the Community Facilities Administration and the Urban Renewal Administration and shall be considered as a constituent agency. It shall be the responsibility of the head of each constituent agency to issue supplemental instructions required to implement fully the provisions of this regulation.

Since the Administrator, Housing and Home Finance Agency, is responsible for reporting information on violations of Section 3679, Revised Statutes, as amended, to the President and the Congress, it is essential that Agency procedures for the administrative control of funds be coordinated to as great an extent as is possible, consistent with the characteristics of constituent agency operations. Therefore, any proposed new implementing systems of administrative control and proposed revisions to existing implementing systems contemplated by the heads of constituent agencies pursuant to this regulation should be submitted to the Office of the Administrator, Agency Budget Officer, for review and approval prior to issuance.

APPORTIONMENT PROCEDURES

The constituent agencies will submit requests for apportionments and reapportionments and status reports as required in Bureau of the Budget Circular No. A-34. These requests and reports shall be submitted to the Administrator.

The apportionments made by the Bureau of the Budget will be transmitted by the Office of the Administrator to the constituent agencies.

CONTROL OF APPROPRIATED FUNDS AND ADMINISTRATIVE EXPENDITURES

Coverage

The following paragraphs shall apply to all appropriations and other authorizations made available to constituent agencies from the General and Special funds of the Government, and to all statutory limitations for administrative expenses placed on Business Enterprise or Revolving funds available to such agencies.

Administrative Control Under Apportionments

The head of each constituent agency shall designate in writing the official responsible for the allotment of funds. The latter shall be responsible for limiting allotments or other authorizations within the amounts apportioned and to levels compatible with assignments of program responsibilities consistent with the need for providing effective and efficient control over apportionments. He shall designate allottees and each person so designated shall restrict obligations and expenditures to the amounts available in the respective allotments issued to him, and shall insure that funds allotted to him are obligated or expended only under the terms of the allotment document and with the approval of properly authorized officials. In those instances where an allottee is authorized to suballot funds, such suballotments shall not exceed in total the amount available in the parent allotment, and the suballottee shall restrict obligations and expenditures to the amounts available in such suballotments. Before obligations or expenditures are incurred, appropriate authorization or approval shall be secured from the person to whom the funds therefor are allotted (or suballotted). Allottees (or suballottees) shall be responsible for obligations and expenditures authorized or approved by them.

All such allotments and suballotments of funds shall be made a part of the formal accounting records of the constituent agencies and these records shall currently reflect the status of such funds. Any official having authority to incur obligations and commitments or make expenditures against constituent agency funds shall be responsible for the prompt transmission of all obligation, commitment, and expenditure documents to the official responsible for maintaining the accounts.

The head of each constituent agency shall designate in writing the official responsible for maintaining the formal accounts. Such official shall maintain or supervise the maintenance of accounts and records of all funds of the constituent agency, including the allotment accounts, and shall publish periodic reports showing the status of the various appropriation, apportionment, allotment, and suballotment accounts. He shall be responsible for notifying the allottee and other appropriate officials when it appears, from data available to him, that the allotment is likely to be exceeded.

Control of Apportionments Consisting of All or Part of Estimated Reimbursements, Transfers, and Income

Allotments or other authorizations to create obligations or make expenditures shall not be in excess of the amounts apportioned. Whenever estimated reimbursements, transfers, income, etc., have been included in the amounts apportioned, obligations or expenditures shall not exceed the amounts which will actually be realized.

The total amount allotted from each fund or appropriation must not exceed the cumulative amount apportioned for use through the end of the current period. This does not preclude the issuance of annual allotment advices with appropriate limitations to give effect to periodic

apportionments. However, where apportionments are based in whole or in part on estimated reimbursements, transfers, income, etc., the amount available for allotment may be less than the amount apportioned for use through the period, since it may not be certain that all of the estimated reimbursements, transfers, income, etc., will be realized. In such cases, the unrealized items shall be analyzed to determine what assurance there is that the estimated amounts for such items will actually be earned, and the amount available for allotments should then be established accordingly. Generally, for reimbursements expected from other Federal agencies, a firm agreement with the contracting agency authorizing specific performance will constitute sufficient assurance that the reimbursement will actually be realized. For estimated receipts from non-Federal sources, each constituent agency shall develop and include in its instructions appropriate standards governing the allotment of anticipated receipts. These instructions shall specify how the amount available for allotment is established, who is making primary allotments, and how it is assured that allotments are kept within the available amount.

Administrative Control for Purposes Other Than Apportionments

In addition to the allotments and suballotments established for the purpose of controlling apportionments, it may be desirable to establish further administrative controls for purposes other than apportionments. When such a need exists, classifications or sub-divisions below apportionment control levels may be established.¹ In such cases, although the provisions of Section 3679 are inapplicable, the classifications shall be specifically provided for, and distinguished from allotments and suballotments, in instructions issued to supplement this Section.

Classifications or sub-divisions of allotments and suballotments set up pursuant to the previous paragraph may be issued to administrative officials by either the allottee or the allotter. Such classifications or sub-divisions may be in terms of personnel ceilings or other authorizations or may be operating budgets for specific purposes other than apportionment control.

When dollar amounts are used in such classifications or sub-divisions, the recipient should be advised that, while deviations from administrative limits are not subject to Section 3679, Revised Statutes, as amended, they will be subject to administrative review and such action as may be appropriate under the circumstances.

Although an over-obligation or over-expenditure of such a classification or sub-division does not itself constitute a violation of Section 3679, Revised Statutes, as amended, an obligation or expenditure in excess of the allotment or suballotment from which the classification or sub-division is derived would constitute a violation of that Section. It is essential, therefore, that an adequate system of reporting on internal control be prescribed. This system must provide the allottee or suballottee with timely information on the status of the classifications or sub-divisions below the allotment or suballotment level.

¹ See Decision of the Comptroller General B-132861, October 4, 1957 (37-220), to the Housing and Home Finance Administrator.

CONTROL OF PROGRAM FUNDS**Coverage**

The following paragraphs shall apply to all program funds. For the purposes of this regulation, these include all funds available to constituent agencies other than those defined in the first paragraph under "Control of Appropriated Funds and Administrative Expenditures," above.

Administrative Control Under Apportionments

The expenditure of program funds shall be limited by the head of the constituent agency to the amounts available under apportionments made by the Bureau of the Budget. It shall be the responsibility of the Controller or other duly designated official to maintain such records as are necessary for the proper control of program funds under apportionments, to provide internal reports at least monthly on the status of such funds, and to inform the head of the constituent agency whenever it appears, from data available to him, that the apportionment is likely to be exceeded. Program funds may be allotted whenever needed to secure effective control, and under such circumstances the Controller or other designated official shall prepare and issue such allotments within the amount available under apportionments. When program funds are allotted, it shall be the responsibility of each allottee to restrict program expenditures to the amount available under his allotment.

VIOLATIONS AND REPORTS

Under the provisions of Section 3679, Revised Statutes, as amended, and Bureau of the Budget Circular No. A-34, Section 15, which describes the violation and information to be reported on violations, the following responsibilities are assigned:

- (1) Any employee having knowledge of any violation shall immediately report such violation to the official designated in the following subparagraph.
- (2) The head of the constituent agency shall designate in writing an official who shall be responsible for determining and immediately informing the head of the constituent agency of all violations of Section 3679, Revised Statutes, as amended, or of these regulations.
- (3) The head of the constituent agency shall promptly submit after disclosure of a violation, a report to the Administrator setting forth the information required under Bureau of the Budget Circular No. A-34, Section 15.
- (4) The Administrator shall furnish to the President, through the Director of the Bureau of the Budget, and the Congress, information of violations as prescribed by Section 3679, Revised Statutes, as amended, and Bureau of the Budget Circular No. A-34, Section 15.

Section 2

**GENERAL ACCOUNTING OFFICE SURVEYS AND AUDITS AND
RELATED ADMINISTRATIVE REPORTS**

PURPOSE

The General Accounting Office, during the conduct of surveys or audits of local housing authorities, local public agencies, and HHFA Central and Regional Offices, writes letters of inquiry to the Administrator and heads of constituents requesting written responses to questions of fact or policy, or both. When the audits are completed the General Accounting Office prepares proposed reports and sends copies to the Administrator and the appropriate constituent for review and comments. Upon return of the proposed reports and HHFA comments, the General Accounting Office prepares and submits final audit reports to the Office of the Administrator for distribution.

This Section establishes a uniform policy and procedure for consideration of these letters of inquiry and the audit reports, including where appropriate, the initiation of follow-up action and the subsequent filing of a statement of views and results with the Bureau of the Budget as required by Bureau of the Budget Circular No. A-50.

POLICY

General Accounting Office reports, although varying in form and scope, often contain independent reviews of executive branch operations as well as significant findings. In some cases, suggestions and recommendations are offered for changes in laws, policies, methods, and procedures.

Findings, suggestions, and recommendations in the reports will be given careful consideration by the respective constituents. The Agency is not obliged to accept these findings, suggestions, and recommendations. However, systematic consideration of the reports should result in constructive action on every recommendation where such action is appropriate from the viewpoint of the executive branch. The head of each constituent shall provide for the systematic consideration of all General Accounting Office reports on the work of his constituent—both those on which Agency statements are required to be submitted to the Bureau of the Budget and those additional General Accounting Office reports on which Agency statements are not required. When review in the constituent indicates that action would be appropriate, the head of the constituent shall promptly initiate such action.

PROCEDURE

Letters of inquiry and audit reports will be reviewed by the Office of the Deputy Administrator for the purpose of (1) evaluating the significance of the principal findings for the Administrator where the findings warrant such action, (2) advising the constituent concerned of any special interest the Administrator may have in the matter, and (3) conferring, where necessary, with the OA Compliance Division.

Two copies of all proposed communications from OA officials and the heads of constituents replying to letters of inquiry or commenting on audit reports shall be sent through the OA Audit Division to the Deputy Administrator, for clearance. These responses will be examined to assure that (1) the Agency position is consistent, (2) the replies are pertinent and responsive, and (3) the Administrator is kept informed, about matters on which he may be questioned by the General Accounting Office, the Bureau of the Budget, and Congressional committees.

Where the General Accounting Office requests a reply to a letter of inquiry by a specific date, and the reply cannot be made within the period specified, a letter of acknowledgement should be written by the addressee to the General Accounting Office explaining the situation and advising approximately when the reply will be received. Where no specific date is mentioned for a reply, every effort should be made to reply as soon as possible, and, where the reply cannot be made within 30 days, an explanatory letter should be dispatched to the General Accounting Office similar to that indicated above. A copy of the acknowledgement should be sent to the Deputy Administrator.

By agreement, the Housing and Home Finance Agency is committed to comment to the General Accounting Office on drafts of final audit reports within 30 days. Constituents' proposed comments on these drafts shall be submitted for clearance to the Office of the Deputy Administrator 10 days prior to expiration of the 30-day period.

Unless specific request is made for them, copies of incoming letters from the General Accounting Office need not be forwarded to the Office of the Administrator with the responses.

REPORTS ON IMPLEMENTATION OF GAO AUDIT RECOMMENDATIONS

Final GAO audit recommendations and the Agency's comments on them shall be analyzed by the constituents to determine the items on which HHFA comments indicated that action would be taken.

SUBMISSIONS TO THE BUREAU OF THE BUDGET

The Administrator is required to comment to the Bureau of the Budget on GAO reports addressed to the Congress, to a Congressional committee, or to the Administrator by the Comptroller General within 60 days of the formal transmittal to the Agency.

Comments are not required on reports addressed to subordinate officials of the Agency, or transmitted by subordinate officials of the General Accounting Office, unless specifically requested by the Bureau of the Budget, or when none of the points mentioned below is applicable to the report.

Comments, in the form of a memorandum from the head of the constituent to the Administrator, shall be submitted in an original and 5 copies to the Deputy Administrator within 50 days after formal transmittal of the GAO report. The Audit Division will prepare the transmittal letter to the Director of the Bureau of the Budget for the signature of the Administrator.

Comments shall cover the following points regarding the General Accounting Office report:

- (1) If specific recommendations to the President, to the Congress, or to the Bureau of the Budget are included in the report, the comments should indicate Agency views on them and state what events, if any, have taken place with respect to the subject concerned since the time the report was prepared.
- (2) If the report contains financial statements which are accompanied by a qualified audit opinion, or a disclaimer of opinion—as distinguished from an unqualified opinion—that they fairly present the financial position and results of operations, the comments should explain the steps being taken to remove the difficulties insofar as they are within the power of the Agency to correct.
- (3) If the report indicates a violation, the comments should state the Agency's views thereon, and if a violation of law is established, state what is being done to prevent recurrence. If additional Agency action is required (as in the case of violations of the Antideficiency Act, Section 3679 of the Revised Statutes, as amended), the comments should indicate the status of action in this respect.
- (4) If the report contains significant findings or recommendations to the Agency, the comments should give a brief statement of Agency views on them and the current status of the matter. It will not be necessary to cover those findings where the report itself indicates that sufficient corrective action has been taken.

The comments required above relate to the actual report, not to preliminary drafts. However, where the final report and the preliminary draft are substantially the same, copies of the comments to the General Accounting Office on the draft may be submitted to the Bureau, but Bureau of the Budget Circular No. A-50 also requires the submission of any of the additional data required above. If such copies are used, a transmittal memorandum from the head of the constituent to the Administrator shall be prepared including such additional data as required. If action is incomplete at the time the statement is made to the Bureau of the Budget, a supplementary statement should be made when the matters outstanding are disposed of. If more than one item requiring action is pending, supplementary statements shall be made as action is completed on each item.

SPECIFIC REPORTS TO MEMBERS OF CONGRESS AND CONGRESSIONAL COMMITTEES

Occasionally Members of Congress and Congressional committees request the Administrator to express facts in writing on a General Accounting Office report. In such cases the request will be referred to the head of the constituent concerned, who will prepare a reply for the signature of the Administrator in an original and 6 copies. The Administrator will transmit 2 copies to the Member of Congress or the committee and 2 copies to the Bureau of the Budget pursuant to Bureau of the Budget Circular No. A-50. Where the communication to the

committee includes an expression of views on proposed or pending legislation, it will be subject to coordination and clearance in advance in accordance with regularly established procedures. Similarly, where a statement of Agency views deals with matters pertaining to other agencies or with executive budget policies, 4 copies of the proposed communication will be transmitted by the Administrator to the Bureau of the Budget, for coordination in advance of transmittal to the committee.

Section 3

RETIREMENT FUND REPORTS

The Civil Service Commission requires annual submission of a consolidated agency report on Standard Form 2807-2, *Annual Summary of Retirement Fund Transactions*. The Director, Division of Finance and Accounts shall be responsible for preparing and submitting the consolidated report. The procedures herein are established to assure his receipt of data needed for its preparation. As used herein, the term *constituent* includes the Office of the Administrator. For retirement purposes, an intra-agency transfer is a transfer of an employee between constituents of an agency in which his *Individual Retirement Record*, Standard Form No. 2806, is sent to the hiring constituent rather than to the Civil Service Commission.

QUARTERLY REPORT OF INTRA-AGENCY TRANSFERS

The Civil Service Commission reconciles with its master accounts all entries on the consolidated annual summary except those on lines 4A and 8A which show intra-agency transfers as reported by the releasing constituents and as reported by the hiring constituents. Since each intra-agency transfer must be reported by both of the participating constituents, the agency total on line 4A for transfers in must be the same as that on line 8A for transfers out.

To simplify reconciliation of these amounts and to localize differences, the retirement officer of each constituent shall submit to the Agency Retirement Officer for each calendar quarter a statement prepared in accordance with Exhibit A. Reports should be submitted in an original only by the end of the month following the close of the quarter. Cumulative totals for the year shown on the fourth quarter report shall be entered on lines 4A and 8A of the annual summary.

The retirement officer of each constituent shall be responsible for obtaining and consolidating, as necessary, reports covering both the central and field offices, submitting only one report for the constituent for each quarter. Any intra-agency transfer between a constituent's field service and the field or central office of another constituent shall be included in the quarterly reports and annual summary. Transfer of an employee between the field and central offices of the same constituent should not be included.

The quarterly reports should be prepared on the basis of Standard Form 2807, *Registers of Intra-Agency Transfers*, and then proved against the constituent's accounts. If the Agency Retirement Officer

finds discrepancies between subtotals reported by two constituents, he will request the retirement officers to reconcile their reports by reference to the intra-agency registers. Errors in such registers must be corrected by issuance of revised registers to assure notification of everyone concerned. Reports can be balanced only if transfers are processed during the same quarter by the two constituents concerned. Special care should be taken with respect to transfers made at the end of a quarter to assure uniform treatment wherever possible. If an employee is separated from one constituent on the last day of a quarter and hired by another on the first day of the next quarter, the hiring constituent should make special mention of the transfer on its report for the previous quarter since it cannot be included thereon as a transfer-in during that quarter.

ANNUAL SUMMARY OF RETIREMENT FUND TRANSACTIONS

The retirement officer of each constituent shall submit to the Agency Retirement Officer not later than March 1 of each year a report in an original and one copy on Standard Form 2807-2, *Annual Summary of Retirement Fund Transactions*, prepared in accordance with the Retirement Accounting Manual. An original and one copy of each attachment also is required. It should be noted, however, that intra-agency transfers in and out as reported by any one constituent will not usually balance. Retirement Officers shall consolidate reports, as necessary, from their central and field offices and submit only one consolidated summary.

EXHIBIT A

CUMULATIVE QUARTERLY REPORT OF INTRA-AGENCY TRANSFERS

BY: Office of the Administrator

FOR: Period of January 1, 1955 through June 30, 1955

	<u>Number of Employees Transferred</u>	<u>Cumulative Total of Retirement Account Balances For Transferred Employees</u>
INTRA-AGENCY TRANSFERS INTO OA -		
From FNMA	2	\$ 1,200.10
From FHA	2	800.35
From PHA	1	<u>120.05</u>
TOTAL, INTRA-AGENCY TRANSFERS INTO OA		<u>\$ 2,120.50</u>
INTRA-AGENCY TRANSFERS OUT OF OA -		
To FNMA	1	\$ 415.30
To PHA	1	105.12
To FHA	2	<u>510.18</u>
TOTAL, INTRA-AGENCY TRANSFERS OUT OF OA		<u>\$ 1,030.60</u>

Signed: *John Smith* Date: July 5, 1955
 Retirement Officer,
 Office of the Administrator

Part 3. HHFA Administrative Policies and Procedures

Chapter 3. Budget and Fiscal Administration

Section 4

RECOVERY OF ERRONEOUS PAYMENTS TO EMPLOYEES

These regulations govern the recovery of erroneous payments to employees, pursuant to Public Law 497, 83rd Congress, and Budget Bureau Circular A-14, September 3, 1954. They were approved by the Director of the Bureau of the Budget on November 26, 1954.

OFFICE OF THE ADMINISTRATOR

The OA Fiscal Officer, and in his absence the Deputy OA Fiscal Officer, shall be responsible for the collection of erroneous payments to employees of the Office of the Administrator in accordance with the procedure prescribed by these regulations.

Determination

Upon discovery of an erroneous payment to an employee a statement of fact shall be prepared by the OA Fiscal Officer setting forth the details of the transaction or situation which resulted in such erroneous payment and amount due the Office of the Administrator.

The original of the statement properly certified shall be sent to the employee with a request that arrangements for settlement be made within a specified time limit. A copy of the statement and of the request shall be sent to the Director, Audit Branch.

Collection

After the employee accepts the statement of fact and the request referred to in the preceding paragraph, he and the OA Fiscal Officer shall jointly develop a plan for repayment either in a lump sum or, if this would create a hardship, by scheduled deductions from the gross pay of the employee. Each installment deduction shall be reasonable in amount, and may not exceed two-thirds of the gross basic compensation of the employee for the pay period, if he is expected to remain on active duty during the period of time necessary to repay his indebtedness. The employee shall agree in writing to the schedule of deductions.

The amount of the indebtedness shall be collected in installments deducted from each pay check for succeeding pay periods pursuant to the schedule referred to above.

If the anticipated period of employment will not permit collection through reasonable installments, or if employment should terminate for any reason before the collection has been completed, the amount of the indebtedness may be recovered from any subsequent payment due the employee.

If the employee does not answer the request referred to above within the specified time period the OA Fiscal Officer shall so notify the Assistant Administrator (Administration). He shall also notify the employee of the appeal procedure described below.

Appeal

If an employee disagrees with the statement of fact setting forth the amount of his indebtedness to the Office of the Administrator he may appeal such finding in writing to the Assistant Administrator (Administration). In the event the Assistant Administrator (Administration) can not reconcile the difference he shall submit the facts, including the employee's appeal, to the Administrator with a recommendation.

The collection of an erroneous payment shall not affect an employee's right to claim a refund of the amounts deducted from his compensation or otherwise paid to the Office of the Administrator.

While an appeal is pending no deductions shall be made from the compensation of an employee, if it is anticipated that employment will continue for a period of time sufficient to recover the erroneous payment should the appeal be denied.

If employment is terminated or expected to be terminated for any reason while an appeal is pending, the amount of the indebtedness shall be deducted from any payment due the employee, and held in escrow by the Office of the Administrator until an official determination has been made.

FEDERAL HOUSING ADMINISTRATION

The Comptroller, and in his absence the Deputy Comptroller, shall be responsible for the collection of erroneous payments to employees of the Federal Housing Administration in accordance with the procedure prescribed by these regulations.

Determination

Upon discovery of an erroneous payment to an employee a statement of fact shall be prepared by the Comptroller setting forth the details of the transaction or situation which resulted in such erroneous payment and amount due the Federal Housing Administration.

The original of the statement properly certified shall be sent to the employee with a request that arrangements for settlement be made within a specified time limit. A copy of the statement and of the request shall be sent to the Director, Audit Division.

Collection

After the employee accepts the statement of fact and the request referred to in the preceding paragraph, he and the Comptroller shall jointly develop a plan for repayment either in a lump sum or, if this would create a hardship, by scheduled deductions from the gross pay of the employee. Each installment deduction shall be reasonable in amount, and may not exceed two-thirds of the gross basic compensation of the employee for the pay period, if he is expected to remain on active duty during the period of time necessary to repay his indebtedness. The employee shall agree in writing to the schedule of deductions.

The amount of the indebtedness shall be collected in installments deducted from each pay check for succeeding pay periods pursuant to the schedule referred to above.

If the anticipated period of employment will not permit collection through reasonable installments or if employment should terminate for

any reason before the collection has been completed, the amount of the indebtedness may be recovered from any subsequent payment due the employee.

If the employee does not answer the request referred to above within the specified time period the Comptroller shall so notify the Assistant Commissioner for Administration. He shall also notify the employee of the appeal procedure described below.

Appeal

If an employee disagrees with the statement of fact setting forth the amount of his indebtedness to the Federal Housing Administration he may appeal such finding in writing to the Assistant Commissioner for Administration. In the event the Assistant Commissioner for Administration can not reconcile the difference he shall submit the facts, including the employee's appeal, to the Commissioner with a recommendation.

The collection of an erroneous payment shall not affect an employee's right to claim a refund of the amounts deducted from his compensation or otherwise paid to the Federal Housing Administration.

While an appeal is pending no deduction shall be made from the compensation of an employee, if it is anticipated that employment will continue for a period of time sufficient to recover the erroneous payment should the appeal be denied.

If employment is terminated or expected to be terminated for any reason while an appeal is pending, the amount of the indebtedness shall be deducted from any payment due the employee, and held in escrow by the Federal Housing Administration until an official determination has been made.

PUBLIC HOUSING ADMINISTRATION

The Comptroller, and in his absence the Deputy Comptroller designated as Acting Comptroller, shall be responsible for the collection of erroneous payments to employees of the Public Housing Administration, except employees paid by the San Diego Area Office, in accordance with the procedure prescribed by this section.

The Special Field Representative, and in his absence the Acting Special Field Representative, shall be responsible for the collection of erroneous payments to employees paid by the San Diego Area Office and for otherwise performing the functions of the Comptroller as prescribed by this Section.

Determination

Upon discovery of an erroneous payment to an employee a statement of fact shall be prepared by the Comptroller setting forth the details of the transaction or situation which resulted in such erroneous payment and amount due the Public Housing Administration.

The original of the statement properly certified shall be sent to the employee with a request that arrangements for settlement be made within a specified time limit. A copy of the statement and of the request shall be sent to the Director, Audit Branch.

Collection

After the employee accepts the statement of fact and the request referred to in the preceding paragraph, he and the Comptroller shall jointly develop a plan for repayment either in a lump sum or, if this would create a hardship, by schedule deductions from the gross pay of the employee. Each installment deduction shall be reasonable in amount, and may not exceed two-thirds of the gross basic compensation of the employee for the pay period, if he is expected to remain on active duty during the period of time necessary to repay his indebtedness. The employee shall agree in writing to the schedule of deductions.

The amount of the indebtedness shall be collected in installments deducted from each pay check for succeeding pay periods pursuant to the schedule referred to above.

If the anticipated period of employment will not permit collection through reasonable installments, or if employment should terminate for any reason before the collection has been completed, the amount of the indebtedness may be recovered from any subsequent payment due the employee.

If the employee does not answer the request referred to above within the specified time period the Comptroller shall so notify the Assistant Commissioner for Administration. He shall also notify the employee of the appeal procedure described below.

Appeal

If an employee disagrees with the statement of fact setting forth the amount of his indebtedness to the Public Housing Administration he may appeal such finding in writing to the Assistant Commissioner for Administration. In the event the Assistant Commissioner for Administration can not reconcile the difference he shall submit the facts, including the employee's appeal, to the Commissioner with a recommendation.

The collection of an erroneous payment shall not affect an employee's right to claim a refund of the amounts deducted from his compensation or otherwise paid to the Public Housing Administration.

While an appeal is pending no deductions shall be made from the compensation of an employee, if it is anticipated that employment will continue for a period of time sufficient to recover the erroneous payment should the appeal be denied.

If employment is terminated or expected to be terminated for any reason while an appeal is pending, the amount of the indebtedness shall be deducted from any payment due the employee, and held in escrow by the Public Housing Administration until an official determination has been made.

FEDERAL NATIONAL MORTGAGE ASSOCIATION

The Controller of the Federal National Mortgage Association, and in his absence the Acting Controller, shall be responsible for the collection by erroneous payments to employees of the Association in accordance with the procedure prescribed by these regulations.

Determination

Upon discovery of an erroneous payment to an employee a statement of fact shall be prepared by the Controller setting forth the details of the transaction or situation which resulted in such erroneous payment and amount due the Association.

The original of the statement properly certified shall be sent to the employee with a request that arrangements for settlement be made within a specified time limit. A copy of the statement and of the request shall be sent to the Chief Auditor.

Collection

After the employee accepts the statement of fact and the request referred to in the preceding paragraph, he and the Controller shall jointly develop a plan for repayment either in a lump sum or, if this would create a hardship by scheduled deductions from the gross pay of the employee. Each installment deduction shall be reasonable in amount, and may not exceed two-thirds of the gross basic compensation of the employee for the pay period, if he is expected to remain on active duty during the period of time necessary to repay his indebtedness. The employee shall agree in writing to the schedule of deductions.

The amount of the indebtedness shall be collected in installments deducted from each pay check for succeeding pay periods pursuant to the schedule referred to above.

If the anticipated period of employment will not permit collection through reasonable installments, or if employment should terminate for any reason before the collection has been completed, the amount of the indebtedness may be recovered from any subsequent payment due the employee.

If the employee does not answer the request referred to above within the specified time period the Controller shall so notify the Vice President of the Association. He shall also notify the employees of the appeal procedure described below.

Appeal

If an employee disagrees with the statement of fact setting forth the amount of his indebtedness to the Association he may appeal such finding in writing to the Vice President. In the event the Vice President can not reconcile the difference he shall submit the facts, including the employee's appeal, to the President of the Association with a recommendation.

The collection of an erroneous payment shall not affect an employee's right to claim a refund of the amounts deducted from his compensation or otherwise paid to the Association.

While an appeal is pending no deductions shall be made from the compensation of an employee, if it is anticipated that employment will continue for a period of time sufficient to recover the erroneous payment should the appeal be denied.

If employment is terminated or expected to be terminated for any reason while an appeal is pending, the amount of the indebtedness shall be deducted from any payment due the employee, and held in escrow by the Association until an official determination has been made.

Section 5 FICA TAX DEDUCTIONS

Internal Revenue Bulletin #4, issued January 25, 1954, contains Revenue Ruling 54-40 as follows:

“Cost-of-living allowances, paid to certain civilian employees of the Government of the United States stationed outside the United States, are not ‘wages’ subject to the withholding of income tax at the source under section 1622 of the Internal Revenue Code. Whether such allowances are ‘wages’ subject to Federal employment taxes is to be determined, under section 1420(e) of the Code, by the head of the Government agency involved.”

In accordance with section 1420(e) of the Internal Revenue Code (Section 3122 of the Internal Revenue Code of 1954) it has been determined (1) that cost-of-living allowances paid to civilian employees of the Housing and Home Finance Agency stationed outside the continental United States or in Alaska are not “wages” subject to Federal employment taxes, and (2) that payments which are compensatory in nature, such as a “post differential” paid to employees for service at a post where conditions of environment have been deemed to warrant the payment of additional compensation as a recruitment incentive, are “wages” and therefore subject to Federal employment taxes. Thus, the status of the cost-of-living allowance and of the post differential for purposes of the Federal Insurance Contributions Act is the same as for purposes of income tax withholding, i.e., the cost-of-living allowance is not subject to either of the two taxes and the post differential is subject to both of them.

THE NATIONAL ARCHIVES

THE NATIONAL ARCHIVES IS A FEDERAL AGENCY OF THE U.S. DEPARTMENT OF THE INTERIOR, WHICH IS A PART OF THE EXECUTIVE BRANCH OF THE FEDERAL GOVERNMENT.

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Section 6

FINANCIAL REPORTING REQUIREMENTS

Section 1311 of the Supplemental Appropriations Act, 1955, as amended, provides among other things, that:

- (1) Obligations shall consist only of specified types of items, all of which shall be supported by documentary evidence. (7 GAO 2510.20(a)).
- (2) Reports on obligations shall be certified by certain designated officials to the head of the agency. (7 GAO 2510.20(c)). 7 GAO 2520.40 prescribes the format to be used for the certifications to the Administrator.
- (3) The head of each Federal agency shall designate the officials who shall certify the annual reports.
- (4) The head of the agency shall certify to the Bureau of the Budget in connection with budget submissions as required in Section 21 of Budget Bureau Circular A-11. This certification will be based on the individual certifications described above.

The Director Division of Finance and Accounts shall be responsible for the preparation of the certifications by the Administrator of the Housing and Home Finance Agency and shall retain the individual certifications in his files. The following procedures are established for carrying out this activity.

APPROPRIATED FUNDS

Two copies of the certification of the Administrator shall be sent to the Director, Division of Finance and Accounts together with one copy of Standard Form 133 prepared as of the end of each fiscal year. This method of certification shall be used for all accounts which are reported to the Treasury Department as required by Treasury Circular 965.

REVOLVING FUNDS

The reports on the following accounts shall be in the form of a statement of financial condition under the concepts of Treasury Circular 966:

- (1) Public enterprise funds
- (2) Intragovernmental revolving funds

The reports for these funds shall consist of one copy of Standard

Form 220 "Statement of Financial Condition" supported by appropriate schedules as required for obligations and obligated balances listed in 7 GAO 2510.20(a), together with two copies of the certification to the Administrator.

The certifications to the Bureau of the Budget by the Administrator are required to be submitted as early as possible and in no event later than November 1 of each year. For this reason the certifications required above must be submitted to the Director, Division of Finance and Accounts no later than October 15.

ALLOCATIONS FROM OTHER AGENCIES

Allocations under the control of the spending agency shall be certified to the agency from which the funds were advanced no later than September 1.

DESIGNATION OF CERTIFYING OFFICIALS

The following officials of the HHFA are designated to make the certification prescribed in 7 GAO 2520.40:

Office of the Administrator—Director, Division of Finance and Accounts

Federal Housing Administration—Comptroller

Public Housing Administration—Comptroller

Federal National Mortgage Association—Comptroller

The responsibility for making such certifications may not be redelegated, but it may be exercised by persons acting in the place and stead of the officials designated above during their absence.

The certifications and signatures may appear either on the statement itself, on the separate exhibit of footnotes in the case of revolving funds, or on a separate sheet. Both copies of the certifications shall be manually signed except that in cases in which photographic copies of the statements are submitted the photograph of the original signature will suffice.

OBLIGATING PROCEDURES

Procedures for recognizing and recording obligations and liabilities shall contain adequate provisions to assure full compliance with Section 1311(a) of the Supplemental Appropriations Act, 1955.

Section 7

ANNUAL PRELIMINARY BUDGET ESTIMATES

The purpose of this procedure is to provide for the orderly development, review, and consolidation of the annual preliminary budget estimates in such manner as to assure that the Administrator's recommendations reflect the best information available from and the best judgment of the constituents and OA divisions with operating functions.¹

PURPOSE OF ANNUAL PRELIMINARY BUDGET ESTIMATES

Annual preliminary budget estimates are made in the Spring of each year to provide the President with advance estimates of the receipts and expenditures of the Government during the fiscal year for which the President's next budget will be prepared, and to permit the establishment of broad limits for programs of the Government during such fiscal year.

The Housing and Home Finance Administrator is required to furnish to the President, through the Bureau of the Budget, recommendations as to the scope, content, rate of progress and cost of the Government's housing and community development program for the coming year, and estimate the effect of that program upon the Federal budget.

APPLICABILITY

This procedure applies to each constituent agency, constituent unit, and OA division with operating functions.¹

GENERAL BUDGET POLICY

The Administrator will inform each Commissioner and division head, by memorandum, of such general budget policies and requirements pertaining to annual preliminary budget estimates as may be adopted by the President and the Bureau of the Budget.

FORM AND CONTENT OF PRELIMINARY BUDGET ESTIMATES

Each constituent and OA operating division will submit annually, by a date to be established by the Director, Budget and Organization Staff, the original and two copies of estimates of program activity for the fiscal year next following the year beginning on July 1. Memorandums will be submitted to the Administrator through the Assistant Administrator (Administration) and will be signed by the head of the constituent or operating division. The estimates will include—

- (1) A concise statement of the economic and program assumptions upon which the estimates are based. This statement will discuss pertinent factors bearing upon program operations, such as (a)

¹ OA divisions to which the procedure applies include the Compliance Division, Community Disposition Staff, VHMCP, and such other units as may be specifically indicated from time to time by the Director, Budget and Organization Staff.

the assumed level of new housing starts, (b) the price and availability of mortgage financing or tax-exempt financing, (c) the demand for assistance under Agency programs, and (d) the general level of program operations (e.g., number and amount of loans, proportionate share of total market, etc.).

- (2) A concise statement of assumptions underlying the estimates with regard to (a) pending appropriations legislation, (b) proposed supplemental estimates, (c) pending substantive legislation. With regard to the latter, the statement should identify which of the pending substantive proposals have been determined to be in accord with the program of the President and indicate the Commissioner's or division head's judgment of the probable chances of passage of each major item, whether in accord with the program of the President or not so in accord.
- (3) An outline of legislative proposals having a significant budgetary impact which, in the judgment of the Commissioner or division head, should be considered for inclusion in the Agency legislative program to be proposed to the next session of the Congress, together with a brief statement of the probable cost thereof during the fiscal year for which estimates are submitted.
- (4) Estimates of key workload data (applications received, commitments undertaken, units started, etc.), administrative and nonadministrative expenses, new obligational authority, and net budgetary expenditures. These estimates, separately identified as existing legislation, pending legislation, and proposed legislation, will be summarized on forms to be prescribed by the Director, Budget and Organization Staff. Each submission will also include an estimate of employment at the end of each calendar quarter during the period considered.

The Budget and Organization Staff shall provide each constituent and operating division with such further information and assistance as may be necessary in the preparation of estimates.

ADMINISTRATOR'S REVIEW

All preliminary budget estimates will be reviewed and consolidated by the Budget and Organization Staff. Obvious differences in method and approach between constituents will be reconciled where such action can be taken without reference to the Administrator.

The HHFA General Counsel shall be furnished with each submission and shall prepare such comments and further information on pending and proposed legislation as he deems necessary. The Assistant Administrator (Plans and Programs) shall be furnished with each submission and shall prepare such comments and further information on economic and program assumptions as he deems necessary. Comments and further information prepared in accordance with this paragraph shall be furnished to the Budget and Organization Staff for incorporation in the summaries and agenda required by the following paragraph.

ADMINISTRATOR'S BUDGET REVIEW BOARD

There is established the Administrator's Budget Review Board, to consist of the Deputy Administrator as Chairman, the Assistant Administrator (Administration) as Vice-Chairman, the General Counsel, and the Assistant Administrator (Plans and Programs). The Director, Budget and Organization Staff, shall serve as advisor to the Board and shall prepare summaries of the estimates and agenda for the Administrator's Budget Review Board. Summaries and agenda relating to programs for which he is responsible shall be furnished to each Commissioner and division head prior to his meeting with the Board.

The Board will establish a schedule for meeting with each Commissioner and division head to ascertain such additional facts and interpretations as it deems necessary for its review. The Board will prepare summaries of budget estimates together with its recommendations for the Administrator.

ADMINISTRATOR'S DETERMINATION

The Administrator will determine, with the advice and assistance of the Budget Review Board, coordinated Agency-wide economic and legislative assumptions and program limits which will constitute the basis for all Agency preliminary budget estimates to be submitted to the Bureau of the Budget. Each Commissioner and division head will be notified by memorandum of the Administrator's determinations.

APPEAL

Within 3 days following dissemination of the Administrator's determinations, any Commissioner or division head may appeal to the Administrator for a redetermination of any substantive matter related to the programs for which he is responsible.

REVISION OF PRELIMINARY BUDGET ESTIMATES

Each constituent and operating division will revise its preliminary budget estimates to conform with the Administrator's statement of budget assumptions and program determinations and submit such revised estimates to the Administrator. The Budget and Organization Staff will review the revised estimates for consistency with the Administrator's determinations and will consolidate the estimates into Agency-wide estimates in such form as requested by the Bureau of the Budget. Revised estimates shall be submitted by a date to be fixed by the Director, Budget and Organization Staff.

REVIEW OF ESTIMATES BY THE BUREAU OF THE BUDGET

If the Bureau of the Budget requests additional data and advice and assistance during its review of the Agency estimates, the Budget and Organization Staff will secure necessary information from the appropriate constituent or operating division. In those cases where the pressure of time will not permit advance consultation with the affected constituent or operating division, the information may be given to the Bureau of the Budget with subsequent advice to the constituent or division.

DISSEMINATION OF PRESIDENT'S DETERMINATIONS

Following the President's determination of the amounts which he has fixed as ceilings and targets for the Agency budget, these ceiling and target figures will be allocated among the constituents and operating divisions by the Administrator. Ceilings and targets as so determined and allocated shall constitute the maximum amounts within which regular budget estimates may be submitted in the Fall, unless a larger amount is specifically authorized by the Administrator.

FIXING OF DATES FOR ACTION

The Director, Budget and Organization Staff is authorized to establish, by memorandum, the specific dates and time periods provided for in this procedure. Other specific requirements may also be adjusted in the same manner, to the extent made necessary by instructions issued by the Bureau of the Budget.

Section 8

ANNUAL REPORT ON FEDERAL AID TO STATES

Treasury Department Circular No. 1014, dated August 8, 1958, requests an annual report on Federal Aid to States, classified by States, Territories and other political subdivisions, to be submitted to the Treasury by no later than September 30 of each year, classified as follows:

- Part A. Direct grants-in-aid to states and local units
- Part B. Federal aid payments to individuals, etc., within the states
- Part C. Shared revenues
- Part D. Grants-in-kind

The requested information will be used for the annual report of the Secretary of the Treasury.

The Director, Division of Finance and Accounts shall be responsible for preparation of the Agency report from the information supplied to him by those constituents which administer grant type programs. Inasmuch as the Treasury requires that the report be submitted by September 30 of each year, the required information from each applicable constituent shall be submitted, in triplicate, to the Director, Division of Finance and Accounts by September 20.

Section 9

DEPOSIT AND PAYMENT OF UNCLAIMED MONEYS

Under previous regulations, claims submitted for amounts which had been deposited by administrative agencies in the Trust Fund Receipt Account 8881 Unclaimed Moneys of Individuals Whose Whereabouts are Unknown (Name of Individual) were settled by the Claims Division, General Accounting Office.

Hereafter, any valid claim for the payment of such amounts shall be processed through the Treasury Department, without settlement action by the General Accounting Office, in accordance with 7 GAO 4060 and the procedures set forth below.

DEPOSITS MADE PRIOR TO JULY 1, 1960

Pursuant to Paragraph 3 of the Comptroller General's Circular Letter B-142380, dated March 24, 1960, the records pertaining to deposits of \$1.00 or more made in the receipt account 868881 prior to July 1, 1960, by the Office of the Administrator, the Federal Housing Administration, and the Public Housing Administration, have been delivered to this Agency by the General Accounting Office and such records will remain in the custody of the Office of the Administrator.

Claims for such deposits shall be forwarded to the Assistant Administrator (Administration), Attention: Division of Finance and Accounts. The Division of Finance and Accounts will verify the amount of the claim against the deposit records and, if proper, process it for payment from the related expenditure account 20X8881 Payment of Unclaimed Moneys, maintained by the Treasury Department or, if of questionable validity, refer it to the Claims Division, General Accounting Office.

DEPOSITS MADE ON AND AFTER JULY 1, 1960

At least once each year, any unclaimed amounts due individuals whose whereabouts are unknown, which have been held in the trust and deposit fund accounts for more than one year, shall be transferred by S.F. 1081, *Voucher and Schedule of Withdrawals and Credits*, as follows:

- (1) Amounts of \$1.00 or more shall be transferred for credit to the Trust Fund Receipt Account 868881 Unclaimed Moneys of Individuals Whose Whereabouts are Unknown (Name of Individual), in accordance with 7 GAO 4060.60. The receipt account symbol shall be suffixed to identify the applicable agency; that is, (01) Office of the Administrator, (03) Public Housing Administration, and (09) Federal Housing Administration. Any claims submitted for such transferred amounts shall be verified by the applicable agency against its deposit records and, if proper, processed for payment. If there is any question of doubt as to the validity of a claim, it shall be referred to the Claims Division, General Accounting Office.

- (2) Amounts of less than \$1.00 shall be transferred for credit to the General Fund Receipt Account 861060 Forfeitures of Unclaimed Money and Property in accordance with 7 GAO 4060.50 and the receipt account symbol shall be suffixed to identify the agency as shown in (1) above.

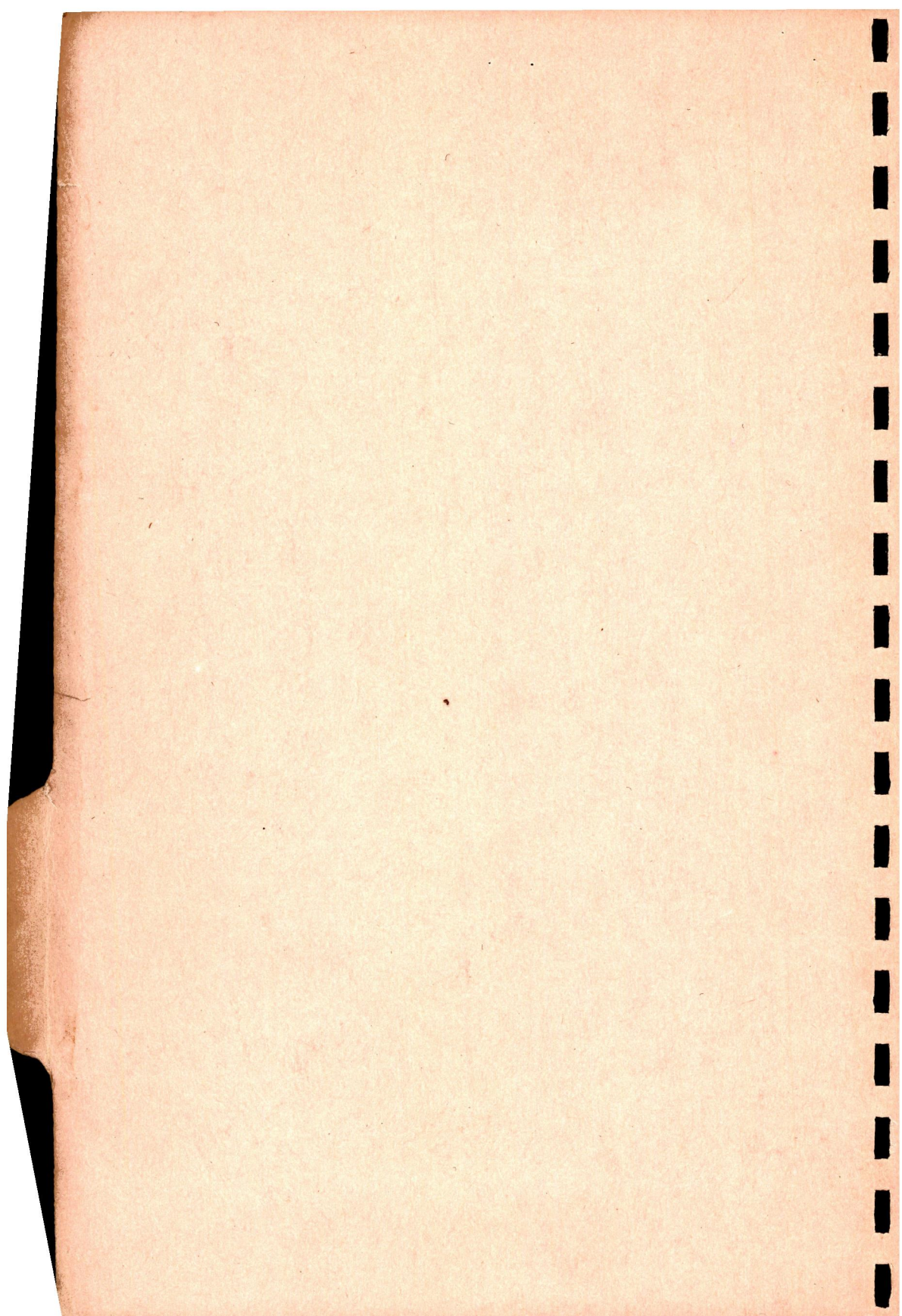
Since the processing and certification of claims against the expenditure account 20X8881 is Washington Office operation and since all such payments will be made through the Treasury Department, Washington, D. C., a Regional or Field Office shall forward any inquiry with respect to such claims to its Central Office.

PROCESSING CLAIMS FOR PAYMENT

Claims shall be processed for payment on S.F. 1166, *Voucher and Schedule of Payments*, prepared in accordance with Paragraph 3 of Treasury Department Circular No. 1047, dated July 13, 1960 and certified by the Authorized Certifying Officer or alternate located in the appropriate agency's Central Office, who has been designated for this purpose in accordance with Paragraph 2 of the Treasury Circular and Paragraph 4 of the Comptroller General's letter B-142380. In spite of the instructions in 7 GAO 5050.70, it has been determined from the General Accounting Office that basic vouchers (S.F. 1034) will not be required, if sufficient information is included on S.F. 1166 for inscription on the check so that the payee can identify the check.

The certified original and three copies of the *Voucher and Schedule of Payments* shall be submitted directly to the Treasury Department, Bureau of Accounts (AD:BB), Washington 25, D.C., where arrangements will be made for payment from account 20 X 8881. After payment, one copy of S.F. 1166 with paid information shown thereon will be returned to the address designated by the agency which submitted the *Voucher and Schedule of Payments*.

4 GENERAL PROGRAM
ADMINISTRATION



Section 1

DETERMINATION OF INTEREST RATES BY THE ADMINISTRATOR

Under certain lending programs administered by OA, URA, and CFA, the Administrator is required to make annual or semi-annual determinations of interest rates to be charged. The provisions of law governing the establishment of such interest rates is related in each case to interest rate determinations of the Secretary of the Treasury.

The following procedures shall govern the processing of documents in connection with the Administrator's determination of interest rates:

(1) Letters from the Secretary of the Treasury advising the Housing and Home Finance Administrator of the rate determined by the Secretary in accordance with statutory requirements, will be referred to the Director, Division of Finance and Accounts.

(2) The Director, Division of Finance and Accounts shall advise the appropriate constituent Commissioner of the rate so established.

(3) Upon receipt of this information, the constituent Commissioner concerned shall make a recommendation to the Administrator with respect to the interest rate to be charged borrowers during the next annual or semi-annual period. This memorandum shall be accompanied by a memorandum for the signature of the Administrator informing the Commissioner of his interest rate determination. These memorandums shall be routed through the Assistant Administrator (Administration), the Assistant Administrator (Program Policy), and the General Counsel.

(4) In addition to copies required by the constituent concerned, copies of the memorandums recommending and making interest rate determinations shall be sent to the Assistant Administrator (Administration), the Assistant Administrator (Program Policy), the General Counsel, and the Director, Division of Finance and Accounts.

(5) The constituent administering the lending program for which a new interest rate determination is made by the Administrator shall be responsible for initiating advice of such determination to the HHFA Regional Offices and prospective borrowers.

Part 4. General Program Administration

Chapter 1. Interest Rates

Section 2

SEMI-ANNUAL DETERMINATION OF INTEREST RATES

Under the provisions of the Housing Act of 1949, as amended, the Administrator is required to make a semi-annual determination of the interest rates to be charged Local Public Agencies for advances and for temporary and definitive loans. The Act provides that the interest rate so charged shall be not less than the going Federal rate, which is established semi-annually by the Secretary of the Treasury.

In carrying out these provisions, the following procedure shall govern:

- (1) Letters from the Secretary of the Treasury advising the Housing and Home Finance Administrator during the months of June and December of each year of the going Federal rate to become effective on July 1 and January 1, will be referred to the Agency Accounting Officer.
- (2) The Agency Accounting Officer shall advise the Urban Renewal Commissioner and the Assistant Administrator (Administration) of the going Federal rate so established.
- (3) Upon receipt of this information, the Urban Renewal Commissioner shall make a recommendation to the Administrator with respect to the rate or rates to be charged for the advances and loans provided for in Sections 102 (a), (b), and (d) of the Housing Act of 1949, as amended. This memorandum shall be accompanied by a memorandum for signature of the Administrator informing the Commissioner of his determination of the interest rate for the six-month period. These memorandums shall be routed through the Assistant Administrator (Administration) and the Assistant Administrator (Plans and Programs).
- (4) The Administrator's action on these recommendations should be taken not later than the effective date of the new rates, i.e., July 1 and January 1 of each year.
- (5) Copies of the memorandum reflecting the Administrator's action shall be sent to the Urban Renewal Commissioner, the Assistant Administrator (Administration), the Assistant Administrator (Plans and Programs), the Chief Counsel, Urban Renewal Administration, the Agency Accounting Officer, and the OA Fiscal Officer. The Urban Renewal Administration shall be responsible for initiating advice of the determination to HHFA Regional Offices.

The Assistant Administrator (Administration) is responsible for HHFA liaison with the Treasury Department in interest rate matters, and requests for information from or conferences with Treasury Department officials on this subject should be made through him.

Section 1

DOMESTIC MATERIALS REQUIREMENTS

This Section governs restrictions on the use of foreign articles, materials, and supplies imposed pursuant to provisions in contracts of the Housing and Home Finance Agency and its constituents in accordance with certain statutory requirements.

BUY-AMERICAN ACT

The Act of March 3, 1933, 47 Stat. 1520, 41 USC 10a, 10b, 10c and 10d, commonly known as the Buy-American Act, requires that Federal departments and independent establishments use, with certain exceptions, domestic articles, materials and supplies and provides, in part, that:

Every contract for the construction, alteration, or repair of any public building or public work¹ in the United States growing out of an appropriation * * * shall contain a provision that in the performance of the work the contractor, subcontractors, material men, or suppliers, shall use only such unmanufactured articles, materials, and supplies as have been mined or produced in the United States, and only such manufactured articles, materials, and supplies as have been manufactured in the United States substantially all from articles, materials, or supplies mined, produced, or manufactured, as the case may be, in the United States except as provided in Section 10a of this title: *Provided, however,* That if the head of the department or independent establishment making the contract shall find that in respect to some particular articles, materials, or supplies it is impracticable to make such requirement or that it would unreasonably increase the cost, an exception shall be noted in the specifications as to the particular article, material, or supply, and a public record made of the findings which justified the exception.

The intent of the above with respect to that part preceding the words "Provided, however" is clarified by 41 USC 10d which provides that it:

* * * shall be regarded as requiring the purchase, for public use within the United States, of articles, materials, or supplies manufactured in the United States in sufficient and reasonably available commercial quantities and of a satisfactory quality, unless the head of the department or independent establishment concerned shall determine their purchase to be inconsistent with the public interest or their cost to be unreasonable.

There shall be no imposition of administrative or contractual requirements by the Housing and Home Finance Agency or any of its constituents, restricting the use of any foreign articles, materials, and sup-

¹ Public use, public building, and public work are defined by the Act to mean use by, public building of, and public work of, the United States, the District of Columbia, Hawaii, Alaska, Puerto Rico, American Samoa, the Canal Zone, and the Virgin Islands. United States means any place in the United States or subject to its jurisdiction.

plies in any non-Federal work, facility, or project for which Federal aid is provided, unless required by law.

The imposition of such requirements is presently required by law in connection with Federal aid contracts of the Public Housing Administration. In addition, the Buy-American Act is applicable to Agency acquisitions and Federal construction contracts, including specifically:

Community Facilities Administration—Federal contracts under the school construction program;

Federal Housing Administration—Federal contracts for the repair and rehabilitation of properties acquired by FHA.

DETERMINATION OF EXCEPTIONS

In addition to the provisions of the Buy-American Act for determining when that Act is applicable, certain supplemental conditions and procedures are prescribed in Executive Order No. 10582 of December 17, 1954 (19 F.R. 8723), including the following:

Sec. 2 (a) For the purposes of this order materials¹ shall be considered to be of foreign origin if the cost of the foreign products used in such materials contributes fifty per centum or more of the cost of all products used in such materials.

(b) * * * the bid or offered price of materials of domestic origin shall be deemed to be unreasonable, or the purchase of such materials shall be deemed to be inconsistent with the public interest, if the bid or offered price thereof exceeds the sum of the bid or offered price of like materials of foreign origin and a differential computed as provided in subsection (c) of this section.

(c) The executive agency concerned shall in each instance determine the amount of the differential referred to in subsection (b) of this section on the basis of one of the following-described formulas, subject to the terms thereof:

(1) The sum determined by computing six per centum of the bid or offered price of materials of foreign origin.

(2) The sum determined by computing ten per centum of the bid or offered price of materials of foreign origin exclusive of applicable duty and all costs incurred after arrival in the United States: provided that when the bid or offered price of materials of foreign origin amounts to less than \$25,000, the sum shall be determined by computing ten per centum of such price exclusive only of applicable duty.

Sec. 3 Nothing in this order shall affect the authority or responsibility of an executive agency:

(a) To reject any bid or offer for reasons of the national interest not described or referred to in this order; or

(b) To place a fair proportion of the total purchases with

¹ As used in this order, the term "materials" includes articles and supplies.

small business concerns in accordance with section 302(b) of the Federal Property and Administrative Services Act of 1949, as amended, section 2(b) of the Armed Services Procurement Act of 1947, as amended, and section 202 of the Small Business Act of 1953; or

- (c) To reject a bid or offer to furnish materials of foreign origin in any situation in which the domestic supplier offering the lowest price for furnishing the desired material undertakes to produce substantially all of such materials in areas of substantial unemployment, as determined by the Secretary of Labor in accordance with such appropriate regulations as he may establish and during such period as the President may determine that it is in the national interest to provide to such areas preference in the award of Government contracts: Provided, that nothing in this section shall prevent the rejection of a bid or offered price which is excessive; or
- (d) To reject any bid or offer for materials of foreign origin if such rejection is necessary to protect essential national security interests after receiving advice with respect thereto from the President or from any officer of the Government designated by the President to furnish such advice.

Sec. 5 * * * In any case in which the head of an executive agency proposing to purchase domestic materials determines that a greater differential than that provided in this order between the cost of such materials of domestic origin and materials of foreign origin is not unreasonable or that the purchase of materials of domestic origin is not inconsistent with the public interest, this order shall not apply.

If, at any time, a determination is made under section 5 of Executive Order No. 10582 by a constituent, a written report of the facts of each case shall be submitted through the Office of the General Counsel, Housing and Home Finance Agency, to the Administrator for signature. Such reports must be submitted in sufficient time to permit the Administrator to forward the report to the President through the Director of the Bureau of the Budget within 30 days after the determination has been made.

FAILURE TO COMPLY WITH BUY-AMERICAN ACT PROVISIONS ¹

If at any time, a constituent finds that in the performance of a contract subject to and containing a Buy-American Act clause there has been a failure to comply with such provisions, the constituent shall report such findings, including the name of the contractor obligated under such contract, in writing to the Administrator. The report shall be forwarded through the Office of the General Counsel, Housing and Home Finance Agency. The Administrator shall then make such find-

¹ The terms of the following two paragraphs shall not be applicable to the Federally-aided low-rent housing program administered by the Public Housing Administration, except that the Public Housing Administration shall advise the OA Compliance Division of all violations of Buy-American provisions imposed pursuant to Section 6(c) of the United States Housing Act of 1937, as amended.

ings public in conformity with the statutory requirement. A copy of the report shall be furnished to the OA Compliance Division.

Under the provisions of 41 USC 10b, no other contract for the construction, alteration, or repair of any public building or public work in the United States or elsewhere shall be awarded to such contractor, sub-contractors, material men, or suppliers with which such contractor is associated or affiliated, within a period of three years after such finding is made public.

Section 2

PHYSICAL INCLUSION OF CONTRACT LABOR STANDARDS STIPULATIONS IN SUBCONTRACTS

The U. S. Department of Labor in a memorandum to all agencies administering statutes referred to in 29 CFR, Subtitle A, Part 5, has called attention to the fact that in many instances the contract stipulations specified in Section 5.5(a)(6) of Regulations, Part 5, are not being physically included in all subcontracts as required by the Regulations. The memorandum points out that: "This practice has occasioned serious and costly violations on the part of many subcontractors and could result in the imposition of sanctions as to the contractors as well as the subcontractors involved."

Section 5.5(a) of the Regulations provides that: "The Agency Head shall cause or require to be inserted in any contract subject to the labor standards provisions of any of the acts listed in § 5.1 the following stipulations or any modifications thereof to meet particular needs of the agency if first approved by the Department of Labor: * * *." Section 5.5(a)(6) provides that: "The contractor will insert in each of his subcontracts the provisions set forth in stipulations (1), (2), (3), (4), (5), and (7) hereof * * *." According to the Department of Labor, incorporation by reference does not constitute compliance with this Section of the Regulations.

In accordance with the foregoing, addressees having programs falling within the scope of the above are requested to take appropriate measures to assure strict compliance with this requirement. In this connection, the Department of Labor suggests that provisions be made to have this contractual requirement explained in detail in the course of preconstruction conferences as well as in any preconstruction letters issued to prospective contractors.

The Department of Labor memorandum also states that contractors who subcontract by means of purchase orders or other informal-type contract forms will be considered in compliance with Section 5.5(a)(6) provided that they attach copies of the appropriate labor standards clauses to the subcontract, and provided also that the subcontractor acknowledges receipt of the labor standards clauses in writing to the contractor awarding the subcontract.

Section 1

**USE OF HHFA, CFA, OR URA IN FALSE ADVERTISING
OR REPRESENTATION, CLAIM, OR FIRM NAME**

This Section calls attention to the statutory limitations upon the use of the name of the Housing and Home Finance Agency or any agency of the Government (which would include the Community Facilities Administration and the Urban Renewal Administration) in false advertising or representations, in certain claims as to Federal requirements, or as a firm name, and prescribes procedures for handling any apparent violations.

18 U.S.C. § 709, as amended, provides in pertinent part:

"Whoever uses as a firm or business name the words 'Housing and Home Finance Agency', 'Federal Housing Administration', 'Federal National Mortgage Association', or 'Public Housing Administration' or the letters 'FHA' or any combination or variation of those words or the letters 'FHA' alone or with other words or letters reasonably calculated to convey the false impression that such name or business has some connection with, or authorization from, the Housing and Home Finance Agency, the Federal Housing Administration, the Federal National Mortgage Association, the Public Housing Administration, the Government of the United States or any agency thereof, which does not in fact exist, or falsely claims that any repair, improvement, or alteration of any existing structure is required or recommended by the Housing and Home Finance Agency, the Federal Housing Administration, the Federal National Mortgage Association, the Public Housing Administration, the Government of the United States or any agency thereof, for the purpose of inducing any person to enter into a contract for the making of such repairs, alterations, or improvements, or falsely advertises or falsely represents by any device whatsoever that any housing unit, project, business, or product has been in any way endorsed, authorized, inspected, appraised, or approved by the Housing and Home Finance Agency, the Federal Housing Administration, the Federal National Mortgage Association, the Public Housing Administration, the Government of the United States or any agency thereof * * *.

"Shall be punished as follows: a corporation, partnership, business trust, association, or other business entity, by a fine of not more than \$1,000; an officer or member thereof participating or knowingly acquiescing in such violation or any individual violating this section, by a fine of not more than \$1,000 or imprisonment for not more than one year, or both * * *.

"A violation of this section may be enjoined at the suit of the United States Attorney, upon complaint by any duly authorized representative of any department or agency of the United States."

The Department of Justice is responsible for enforcing the penal provisions of 18 U.S.C. § 709, but under the last paragraph of the statute the agency involved may request that the United States Attorney institute an injunction action.

Any apparent violation of 18 U.S.C. § 709 noticed by an employee shall be reported to the appropriate constituent unit or OA office head where a program is involved or to the Office of General Counsel where use of the name of the Housing and Home Finance Agency is involved. Such report should include, if possible, the name and address of the person or firm involved; a description of the advertising, representation, or claim constituting the apparent violation; the place and time(s) of the apparent violation; an exhibit such as the brochure, pamphlet, circular, or newspaper clipping in which any written false statement was made; and any information which would indicate whether or not the person or firm knew of the existence of the statutory prohibition.

The appropriate constituent unit or OA office head shall review the information submitted and shall take one of the following actions:

- (1) If it is a first apparent violation and the facts indicate that the violation was unintentional, the case shall be referred to the General Counsel with a recommendation that a warning letter be issued.
- (2) If the apparent violation occurred after the issuance of a prior warning letter, or if the facts fail to indicate that the violation was unintentional, the case shall be referred to the Compliance Division for investigation to determine whether it is a proper case for referral to the Department of Justice for consideration of civil and/or criminal prosecution.

The Office of General Counsel shall be responsible for issuing any letters warning of possible violation of the provisions of 18 U.S.C. § 709. Copies of such letters will be provided to the constituent unit or OA office head concerned and the Compliance Division.

Section 3

GUIDELINES FOR HHFA PROGRAMS IN COMMUNITIES EXPERIENCING ECONOMIC DETERIORATION

There are a number of communities which have experienced serious economic stagnation or decline. Such communities pose a serious problem in the administration of HHFA programs. So that applications from these places may be processed on the basis of consistent assumptions, this section provides a procedure for establishing Agency-wide guidelines.

Frequently these are small communities or towns which have been experiencing substantial losses in population and where prospects for economic revitalization are not bright. Examples of such communities are those whose economy is predicated upon natural resources, such as coal or oil, where the local supply is being exhausted rapidly, or local production is increasingly operating at a competitive economic disadvantage with other areas. Also, there are small agricultural trading centers which cannot compete with larger centers nearby.

In such cases, the following procedure should be employed:

1. Where a constituent field director is processing an application for program assistance in such a locality and has significant doubts about the economic feasibility of the requested aid, he should bring this to the attention of the HHFA Regional Administrator. The HHFA Regional Administrator will communicate with other HHFA constituent field directors to ascertain whether they have active or contemplated programs in the same locality and have similar concerns over the future of the area.

If there is general concern over the future of the area, the HHFA Regional Administrator will arrange for an economic base or comprehensive background study which would provide a common frame of reference for over-all Agency policy.

This study should be prepared in sufficient detail to substantiate a reasonable projection of the future economic life of the area. It should also include an appraisal of the local efforts for economic betterment which may be under way or contemplated, as well as activities under Federal or State programs directed toward this end.

The HHFA Regional Administrator will utilize the services of his Regional Economist, and also may call upon the constituent agencies for information and for staff assistance in conducting such studies.

2. Where a community has been designated as eligible under the Area Redevelopment Act, a preliminary over-all economic development plan usually will have been approved and should be utilized in the study. The OA Office of Program Policy will obtain lists of localities having such plans and make the lists available to the Regional Administrators.

Agency programs should cooperate in these local efforts to the maximum extent practical, where the locality shows promise of developing an effective program toward improving economic conditions. However, the approval of an over-all economic development plan does not eliminate judgments required of HHFA with respect to over-all development prospects and the feasibility of individual projects.

3. Upon completion of the economic base study, the HHFA Regional Administrator will consult with constituent agency field directors to formulate recommendations for an Agency-wide position on the extent and type of HHFA aids to be made available.

The HHFA Regional Administrator and/or the field director of the constituent which is considering the program application in question should consult, wherever possible, with officials of the locality to explain, in rather general terms, the problems raised by the study. Locality officials should be given an opportunity to discuss possible local programs which are intended to overcome the problems revealed in the survey. The adequacy of and progress under these programs should be evaluated. The HHFA representatives should make as effective a presentation as possible of the long-run considerations which the Agency must evaluate.

In light of conclusions reached at such meetings, the HHFA officials will subsequently process the affected applications in the customary manner.

4. It should be kept in mind that the Agency has a responsibility to do all it possibly can to improve the housing and living conditions of all people. At the same time, it should also be understood that in processing applications for specific projects, the limitations discerned as a result of the economic base study must be given due weight.

If the demographic and economic factors indicate a continuing significant decline of the locality and, therefore, only a limited need for new housing, an application involving new housing, community facilities, or other HHFA-aided projects would have to be modified. In some cases, this may result in the approval of smaller size projects than would otherwise be approved. In other cases, it may be feasible to develop programs for the rehabilitation of existing housing for an intermediate term of years, for the use of demountable units, or other short-term housing or public improvement programs.

Section 4

COORDINATING BOARD FOR RESEARCH, STUDY, AND DEMONSTRATION ACTIVITIES

The Coordinating Board for Research, Study, and Demonstration Activities serves to prevent duplication, assure optimum use of funds, and enable coordinated appropriation requests with respect to all Agency programs involving research, studies, and demonstrations.

The Board is composed of the Assistant Administrator (Program Policy), as Chairman, and a representative of each constituent and the Office of Transportation.

ACTIVITIES INCLUDED

Program activities within the purview of the Board include the following:

- (1) Urban Studies and Housing Research.
- (2) Low-Income Housing Demonstration Grants.
- (3) Urban Renewal Demonstration Grants.
- (4) Open Space Studies.
- (5) Urban Transportation Demonstration Grants.
- (6) FHA Experimental Housing and Technical Studies.
- (7) Other contract research or study activities, such as contracts for special statistics or surveys with the Bureau of the Census, contract studies related to land uses, or others which have significance for more than one program.

PROCEDURE

The Board will establish guidelines for the areas of program activity. Proposed projects of a research, study, or demonstration nature will be reviewed by the Board before they are approved. The Board will meet with sufficient frequency to avoid undue delay in clearance of a project.

Section 5

ADP PLANNING COMMITTEE

In about three years the Agency will move into a new building, and for the first time all constituents will be housed under one roof. A necessary, common-sense step at that time will be to provide a single data processing facility to serve the needs of the Agency. Although the exact nature and characteristics of such a data processing center cannot be forecast now in detail, it seems clear that our present planning should take account of the technical resources and requirements of the FHA data processing center, which at present is the most highly developed data processing facility in the Agency. It would appear, therefore, that any steps in this area which are proposed to be taken during the period before the move to the new building should be reviewed on a broad basis to assure that future problems in converting to a single facility will be foreseen and avoided or minimized.

ESTABLISHMENT OF COMMITTEE

To assist in meeting these objectives, there is established an ADP Planning Committee representing each constituent and the OA to advise the Assistant Administrator (Administration), so that he in turn can advise the Administrator and Commissioners concerning the development of plans affecting the Agency-wide use of computer facilities. Any substantial changes in present arrangements for data processing should be discussed in advance with the Committee to assure that the maximum benefits of unified data handling can be realized by the Agency.

MEMBERSHIP OF COMMITTEE

The ADP Planning Committee is composed of the Assistant Administrator (Administration) and representatives designated by each of the constituent Commissioners and the Assistant Administrator (Program Policy). The Assistant Administrator (Administration) shall serve as permanent chairman, but may designate co-chairmen from time to time as subject matter or convenience may require.

Section 6

UTILIZATION OF AGENCY ASSETS

It is the policy of the HHFA that acquired properties and other physical assets under the control of the Agency or any of its constituents be used to the greatest advantage of Agency programs without regard to constituent lines. Any such physical assets shall be made available for consideration and review in connection with any program of the Agency in which they might have potential usefulness. For example, no grant, loan, or guarantee should be made for acquisition, construction, or improvement of real property in a locality where real property is already held by any HHFA constituent unless the Agency-held property has first been considered to ascertain whether it would meet the need. Decision as to utilization of such physical assets shall be made so as to achieve the greatest benefit to the Agency as a whole, at the same time realizing the fair market value of the property for the fund and/or constituent of which the property is an asset.

Each constituent shall be responsible for the development and coordination of procedures for applying this policy to the specific programs for which it is responsible.

Section 1

FOREIGN CORRESPONDENCE CONCERNING HOUSING

Each year many requests for information on various aspects of housing, such as construction, building materials, planning, and financing, are received from foreign countries. The bulk of these are directed to the Office of International Housing of the Office of the Administrator; however, a number of these requests are received by the constituents. This Section prescribes the procedure applicable in handling the latter group of requests.

PROCEDURE

Requests that are received by constituents may be referred immediately to the Office of International Housing for reply. When appropriate and desirable, a reply for interim acknowledgment may be made by the constituent; or the Office of International Housing may be requested to prepare the reply.

In cases where it is believed that a direct reply may be more expedient and desirable; the Office of International Housing should be contacted by telephone, prior to the reply, so that the reply can be as complete and serve as many purposes as possible. Such contact should be made with the Documentation Officer, extension 4077.

The following example is illustrative of the benefits which can result from such a coordinated reply. A request from a Latin American country might ask for specific information. Materials in Spanish responsive to this request (possibly translations of United States publications) might exist and these materials would probably be known to the Office of International Housing. The help this would render the correspondent is obvious. Or in addition to transmitting some information, it might be possible to refer the correspondent to a local library or other institution which might have additional materials on the subject. On other occasions the correspondent might be referred to a foreign Mission of the International Cooperation Administration for additional assistance. On the other hand, if the request comes from an educational, public or commercial institution, an exchange of publications might be arranged so that the United States would receive information of interest and benefit to it.

Copies of acknowledgements and replies by constituents should be sent in every case to the Office of International Housing.



**2. DESIGNATION OF ACTING ASSISTANT ADMINISTRATOR
(ADMINISTRATION)**

[29 F.R. 13288, 9-24-64]

The officer appointed to the position of Director, Division of Budget and Management, Office of the Administrator, Housing and Home Finance Agency, is hereby designated to serve as Acting Assistant Administrator (Administration) during the absence of the Assistant Administrator (Administration), with all the powers, functions, and duties delegated or assigned to the Assistant Administrator (Administration).

This designation supersedes the designation of Acting Assistant Administrator (Administration) dated May 3, 1951.

(62 Stat. 1283 (1948), as amended by 64 Stat. 80 (1950), 12 U.S.C. 1701e)

Effective as of September 15, 1964.

Robert C. Weaver
Housing and Home Finance Administrator

3. DELEGATION OF AUTHORITY TO DESIGNATE ACTING REGIONAL ADMINISTRATOR AND OTHER ACTING REGIONAL OFFICERS

[27 F.R. 4319]

Each Regional Administrator of the Housing and Home Finance Agency is hereby authorized within his Region to designate the regional officer(s) or employee(s) who shall serve as Acting Regional Administrator during the absence of the Regional Administrator, or as Acting head of an organizational unit of the Regional Office during the absence of the head of the unit, with all the powers, functions, and duties delegated or redelegated or assigned to the position of Regional Administrator or head of the unit, respectively.

This delegation supersedes the delegation to Regional Administrators effective April 1, 1960 (25 F.R. 3428, 4/20/60).

* * *

Effective as of the 4th day of May, 1962.

Robert C. Weaver,
Housing and Home Finance Administrator

4. DESIGNATION OF ATTESTING OFFICERS

[28 F.R. 12638 11/27/63]

Emily A. Amor, Mary F. Dennis, Rosalind S. Jamison, and Elizabeth D. Tihany are hereby designated Attesting Officers for the Office of the Administrator, Housing and Home Finance Agency, and each is authorized to affix the seal of the Housing and Home Finance Agency to such documents as may require its application and to certify that copies of any books, records, papers, or other documents are true copies of those in the files of the Office of the Administrator, Housing and Home Finance Agency.

This designation supersedes the designation effective March 7, 1963 (28 F.R. 2242, 3/7/1963).

(62 Stat. 1283 (1948), as amended by 64 Stat. 80 (1950), 12 U.S.C. 1701c)

Effective as of the 26th day of November, 1963.

Robert C. Weaver
Housing and Home Finance Administrator

5. DESIGNATION OF ACTING COMMUNITY FACILITIES COMMISSIONER

[30 F.R. 971, 1-29-65]

The officers appointed to the following listed positions in the Community Facilities Administration, Housing and Home Finance Agency, are hereby designated to serve as Acting Community Facilities Commissioner during the absence of the Community Facilities Commissioner, with all the powers, functions, and duties delegated or assigned to the Commissioner, provided that no officer is authorized to serve as Acting Community Facilities Commissioner unless all other officers whose titles precede his in this designation are unable to act by reason of absence:

1. Deputy Community Facilities Commissioner.
2. Assistant Commissioner for Program Development.
3. Assistant Commissioner for Management Control.
4. Assistant Commissioner for Operations and Engineering.
5. Chief Counsel.

This designation supersedes the designation effective July 27, 1964 (29 F.R. 10632, July 30, 1964).

(62 Stat. 1283 (1948), as amended by 64 Stat. 80 (1950), 12 U.S.C. 1701e)

Effective as of the 29th day of January, 1964.

Robert C. Weaver
Housing and Home Finance Administrator

Part 5. Delegations of Authority by Housing and Home Finance Administrator

Chapter 1. General Administration

6. DELEGATION OF AUTHORITY TO REGIONAL ADMINISTRATOR, REGION VI, TO DESIGNATE AN ACTING DIRECTOR FOR NORTHWEST OPERATIONS, REGION VI

[27 F.R. 2868]

The Regional Administrator, Region VI (San Francisco), Housing and Home Finance Agency, is hereby authorized to designate by position title the Regional officer or officers who are to serve as Acting Director for Northwest Operations, Region VI, during the absence of the Director, with all the powers, functions, and duties delegated or assigned to the Director.

This delegation revokes paragraph 1, and supersedes paragraph 2, of the delegation effective August 12, 1957 (22 F.R. 5783, July 19, 1957).

* * *

Effective as of the 28th day of March, 1962.

Robert C. Weaver
Housing and Home Finance Administrator

7. DELEGATION TO CONSTITUENT HEADS AND ASSISTANT ADMINISTRATOR (ADMINISTRATION) WITH RESPECT TO PURCHASE OF SURETY BONDS COVERING CIVILIAN OFFICERS AND EMPLOYEES

[20 Fed. Reg. 8733]

Each of the following officers within the Housing and Home Finance Agency:

(Officer)	(Constituent Agency or Office)
Federal Housing Commissioner	Federal Housing Administration
Public Housing Commissioner	Public Housing Administration
President, Federal National Mortgage Association	Federal National Mortgage Association
Assistant Administrator (Administration), Office of the Administrator	Office of the Administrator, including Regional Offices of the Housing and Home Finance Agency

is hereby authorized:

1. To execute the powers and functions vested in the Housing and Home Finance Administrator (as head of an independent establishment) under the provisions of Public Law 323, 84th Cong. (69 Stat. 618, 6 U.S.C. 14), and regulations issued pursuant thereto, with respect to the purchase of blanket, position schedule, or other types of surety bonds covering civilian officers and employees under the jurisdiction of such designated officer, as shown above, who are required by law or administrative ruling to be bonded.

2. To redelegate any of the authority herein delegated to one or more officers or employees under the jurisdiction of such designated officer as shown above.

* * *

Effective as of the 11th day of November, 1955.

ALBERT M. COLE,
Housing and Home Finance Administrator

8. REDELEGATION TO FEDERAL HOUSING COMMISSIONER AND PUBLIC HOUSING COMMISSIONER OF CERTAIN AUTHORITY TO USE TITLE III OF THE FEDERAL PROPERTY AND ADMINISTRATIVE SERVICES ACT OF 1949, AS AMENDED

[27 F.R. 6915]

The Federal Housing Commissioner and the Public Housing Commissioner each is hereby authorized:

1. To utilize the provisions of Title III of the Federal Property and Administrative Services Act of 1949 (63 Stat. 393), as amended, 41 U.S.C. 251, when procuring property and services, except the nondelegable authority to make the determinations or decisions specified in paragraphs (12) and (13) of section 302(c) and the authority under paragraph (11) of section 302(c) with respect to contracts which will require the expenditure of more than \$25,000. This authority shall be exercised in accordance with applicable limitations and requirements of the Act, particularly sections 304 and 307, and policies, procedures, limitations, controls, and reporting requirements prescribed by the General Services Administration.

2. To redelegate to any officer or employee under his jurisdiction any of the authority herein delegated except that under paragraph (11) of section 302(c).

This re delegation supersedes the re delegation effective March 10, 1959 (24 F.R. 5434, July 3, 1959).

* * *

Effective as of March 26, 1962.

Robert C. Weaver
Housing and Home Finance Administrator



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9. REDELEGATION OF AUTHORITY TO USE TITLE III OF THE FEDERAL PROPERTY AND ADMINISTRATIVE SERVICES ACT OF 1949

[27 F.R. 5972]

Each of the following officers within the Housing and Home Finance Agency:

Community Facilities Commissioner

Director, Division of General Services, OA

Director, Property Management Branch, OA

Executive Officer, Division of General Services, OA

HHFA Regional Administrator

Regional Director of Community Facilities

Director for Northwest Operations, Region VI

is hereby authorized to utilize the provisions of Title III of the Federal Property and Administrative Services Act of 1949 (63 Stat. 393), as amended 41 U.S.C. 251, when procuring property and services, except the nondelegable authority to make the determinations or decisions specified in paragraphs (12) and (13) of section 302(c), and the authority under paragraph (11) of section 302(c) with respect to contracts which will require the expenditure of more than \$25,000. This authority shall be exercised in accordance with applicable limitations and requirements of the Act, particularly sections 304 and 307, and policies, procedures, limitations, controls, and reporting requirements prescribed by the General Services Administration.

This redelegation supersedes the redelegation effective March 10, 1959 (24 F.R. 5768, July 18, 1959).

* * *

Effective as of March 26, 1962.

ROBERT C. WEAVER
Housing and Home Finance Administrator

10. DESIGNATION OF ACTING DIRECTOR, COMMUNITY DISPOSITION PROGRAM

[28 F.R. 195]

The Assistant to the Director (Community Disposition) is hereby designated to serve as Acting Director, Community Disposition Program, during the absence of the Director, Community Disposition Program, with all the powers, functions, and duties delegated or assigned to the Director.

This designation supersedes the designation effective April 8, 1960 (25 F.R. 3052, 4/8/60).

(62 Stat. 1283 (1948), as amended by 64 Stat. 80 (1950), 12 U.S.C. 1701e)

Effective as of the 10th day of December 1962.

Robert C. Weaver
Housing and Home Finance Administrator

11. REDELEGATION OF AUTHORITY AND DELEGATION OF AUTHORITY UNDER THE AREA REDEVELOPMENT ACT

1. Redelelegation to Community Facilities Commissioner and HHFA Regional Administrators with Respect to Loans and Grants for Public Facilities.

a. The Community Facilities Commissioner is hereby authorized:

(1) To carry out the provisions of Sections 7 and 8 of the Area Redevelopment Act (Public Law 87-27, 42 U.S.C. 2506 and 2507) by performing the following functions:

(a) Making loans and grants after express authorization by the Secretary of Commerce;

(b) Determining that loans made under Section 7 of the Act are in compliance with the requirements of Sections 7(a)(2), 7(a)(3), 7(a)(4), 7(b), and 7(d);

(c) Determining that grants made under Section 8 of the Act are in compliance with the requirements of Sections 8(a)(2) and 8(c) of the Act; that there is little probability that such projects can be undertaken without the assistance of a grant under Section 8; and that the amount of any grant under Section 8 for a project does not exceed the difference between the funds which can be practicably obtained from other sources (including a loan under Section 7 of the Act) for such project and the amount which is necessary to insure the completion thereof;

(d) Exercising the powers, duties, and functions vested in the Secretary of Commerce by Sections 19 and 21 of the Act in connection with any loans or grants proposed to be made under Section 7 or 8 of the Act.

(2) To exercise in carrying out the foregoing redelegations the powers, duties, and functions vested in the Secretary of Commerce by Sections 12(4), 12(5), 12(6), 12(7), 12(8), and 12(9) of the Act, except the authority under Section 12(9) to procure the services of attorneys by contract.

(3) To redelegate to officers or employees in the Community Facilities Administration any of the authority herein redelegated to the Community Facilities Commissioner.

b. Each Regional Administrator of the Housing and Home Finance Agency is hereby authorized:

(1) To carry out the provisions of Section 7 and 8 of the Area Redevelopment Act by performing the following functions:

(a) Making loans and grants after express authorization by the Community Facilities Commissioner; and

(b) Carrying out the functions redelegated to the Community Facilities Commissioner under subparagraphs 1a(1)(b), (c), and (d) of this redelegation.

(2) To exercise in carrying out the foregoing redelegations the powers, duties, and functions redelegated to the Community Facilities Commissioner under subparagraph 1a(2) of this redelegation.

(3) To redelegate to the Regional Director of Community Facilities Activities the authority redelegated herein except the authority to approve applications, authorize loans or grants and amend or modify the terms thereof.

(4) In the case of the Regional Administrator, Region VI (San Francisco), to redelegate to the Director for Northwest Operations, Region VI, at Seattle, Washington, any of the authority redelegated herein.

c. The authority redelegated herein shall be exercised under the rules, regulations, and policies of the Secretary of Commerce.

This redelegation is effective as of the 25th day of August, 1961.

2. Delegation to Urban Renewal Commissioner and HHFA Regional Administrators with Respect to Urban Renewal and Urban Planning Grant Programs.

a. The Urban Renewal Commissioner and each Regional Administrator of the Housing and Home Finance Agency is hereby delegated the authority vested in the Housing and Home Finance Administrator under Sections 14 and 15 of the Area Redevelopment Act (Public Law 87-27, 42 U.S.C. 1464 and 40 U.S.C. 461, respectively), to be administered in accordance with the delegation of authority to such officers (including authorizations to redelegate) with respect to the slum clearance and urban renewal program and urban planning grant program.

This delegation is effective as of the 1st day of May, 1961.

Robert C. Weaver
Housing and Home Finance Administrator

12. DESIGNATION OF ASSISTANT ADMINISTRATOR (METROPOLITAN DEVELOPMENT) WITH RESPECT TO DISASTER AREAS IN ALASKA

[29 F. R. 4784, 4/3/64]

Victor Fischer, Assistant Administrator (Metropolitan Development), Office of the Administrator, Housing and Home Finance Agency, is hereby designated with respect to disaster areas in Alaska to act as my representative and, as such, is authorized (1) to coordinate the administration of functions vested in me with respect to housing, urban development, and community facilities; (2) to coordinate the functions of the constituent agencies and units of the Housing and Home Finance Agency (the Federal Housing Administration, Public Housing Administration, Federal National Mortgage Association, Community Facilities, and Urban Renewal Administration); and (3) to act as my liaison representative with the Office of Emergency Planning and other Federal departments and agencies and with state and local agencies and officials.

Effective as of March 31, 1964.

ROBERT C. WEAVER
Housing and Home Finance Administrator

13. DELEGATION OF AUTHORITY TO EXECUTE CONTRACTS FOR AUDITS OF PROJECTS FINANCED UNDER ACCELERATED PUBLIC WORKS PROGRAM

[28 F.R. 7802 7/31/63]

Each Regional Administrator of the Housing and Home Finance Agency, each Regional Director of Community Facilities, and the Director for Northwest Operations, Region VI, at Seattle, Washington, is hereby authorized to execute contracts for audits of projects financed with grants-in-aid under section 202(e) of the Housing Amendments of 1955, as amended by section 5(b) of the Public Works Acceleration Act (42 U.S.C. 1492(e)).

(62 Stat. 1283 (1948), as amended by 64 Stat. 80 (1950), 12 U.S.C. 1701c).

Effective as of the 23rd day of July, 1963.

Robert C. Weaver
Housing and Home Finance Administrator

14. DESIGNATION OF ACTING ASSISTANT ADMINISTRATOR (COMMUNITY PROGRAMS)

The officer appointed to the position of Deputy Assistant Administrator (Community Programs) is hereby designated to serve as Acting Assistant Administrator (Community Programs) during the absence of the Assistant Administrator (Community Programs), with all the powers, functions, and duties delegated or assigned to the Assistant Administrator (Community Programs).

(62 Stat. 1283 (1948), as amended by 64 Stat. 80 (1950), 12 U.S.C. 1701c)

Effective as of the 5th day of January 1964.

Robert C. Weaver
Housing and Home Finance Administrator

15. DESIGNATION OF REPRESENTATIVES TO THE OFFICE OF THE FEDERAL REGISTER

The employees listed below are hereby designated Office of the Administrator, Housing and Home Finance Agency, representatives to the Office of the Federal Register, pursuant to 1 CFR § 4.1:

Rosalind S. Jamison,
Office of General Counsel

Liaison Officer,
Certifying Officer, and
Authorizing Officer.

Barnett M. Anceletz,
Office of General Counsel

Alternate Liaison Officer,
Alternate Certifying Officer, and
Alternate Authorizing Officer.

This designation supersedes the designation dated July 16, 1963.

Effective as of the 22d day of September 1965.

Robert C. Weaver
Housing and Home Finance Agency

16. DESIGNATION OF ACTING DIRECTOR, DIVISION OF FINANCE AND ACCOUNTS

[29 F.R. 13921, 10-8-64]

The officer appointed to the position of Deputy Director, Division of Finance and Accounts, Office of the Administrator, Housing and Home Finance Agency, is hereby designated to serve as Acting Director, Division of Finance and Accounts, during the absence of the Director, Division of Finance and Accounts, with all the powers, functions, and duties delegated or assigned to the Director, Division of Finance and Accounts.

(62 Stat. 1283 (1948), as amended by 64 Stat. 80 (1950), 12 U.S.C. 1701c)

Effective as of September 30, 1964.

Robert C. Weaver
Housing and Home Finance Administrator

17. DESIGNATION AND FUNCTIONS OF CONTRACTS COMPLIANCE OFFICER, EMPLOYMENT POLICY OFFICER, AND DESIGNATED REPRESENTATIVE UNDER 5 CFR 1401.20

[29 F.R. 14422, 10-20-64]

1. *Contracts Compliance Officer for the Housing and Home Finance Agency (under regulations of President's Committee on Equal Employment Opportunity codified at 41 CFR Chapter 60), designation and functions.* The Deputy Housing and Home Finance Administrator is hereby designated the Contracts Compliance Officer for the Housing and Home Finance Agency, pursuant to the requirement in the regulations of the President's Committee on Equal Employment Opportunity codified under 41 CFR 60-1.5(b), to execute the powers, functions, and duties prescribed or authorized to be carried out by such Officer under 41 CFR Chapter 60, including the authority under 41 CFR 60-1.24(b) to make the Agency decision on a complaint.

2. *Employment Policy Officer for the Housing and Home Finance Agency (under regulations of President's Committee on Equal Employment Opportunity codified at 5 CFR Part 1401), designation and functions.* The Deputy Housing and Home Finance Administrator is hereby designated the Employment Policy Officer for the Housing and Home Finance Agency, pursuant to the requirement in the regulations of the President's Committee on Equal Employment Opportunity codified under 5 CFR 1401.3(b), to execute the powers, functions, and duties prescribed or authorized to be carried out by such Officer under 5 CFR Part 1401.

3. *Housing and Home Finance Administrator's designated representative to make final decision under 5 CFR 1401.20 (regulations of President's Committee on Equal Employment Opportunity), designation and functions.* The Deputy Housing and Home Finance Administrator is hereby named the Housing and Home Finance Administrator's designated representative empowered under 5 CFR 1401.20 of the regulations of the President's Committee on Equal Employment Opportunity to make the final decision in the disposition of a complaint by an employee or applicant for employment within the Housing and Home Finance Agency.

4. *Supersedure.* This designation supersedes the designation of Acting HHFA Contracts Compliance Officer and Employment Policy Officer effective February 21, 1963.

(Executive Order 10925 of March 6, 1961, 3 CFR, 1961 Supp., p. 86; Executive Order 11114 of June 22, 1963, 3 CFR, 1963 Supp., p. 185; and regulations of President's Committee on Equal Employment Opportunity codified under 5 CFR Part 1401 and 41 CFR Chapter 60)

Effective as of August 24, 1964.

Robert C. Weaver
Housing and Home Finance Administrator

1. DESIGNATION OF ACTING URBAN RENEWAL COMMISSIONER

[30 F.R. 9561, 7-30-65]

The officers appointed to the following listed positions in the Urban Renewal Administration, Housing and Home Finance Agency, are hereby designated to serve as Acting Urban Renewal Commissioner during the absence of the Urban Renewal Commissioner, with all the powers, functions, and duties delegated or assigned to the Urban Renewal Commissioner, provided that no officer is authorized to serve as Acting Urban Renewal Commissioner unless all other officers whose titles precede his in this designation are unable to act by reason of absence:

1. Deputy Urban Renewal Commissioner.
2. Chief Counsel.
3. Assistant Commissioner for Program Planning.
4. Assistant Commissioner for Field Operations.
5. Assistant Commissioner for Technical Standards.
6. Assistant Commissioner for Urban Planning and Community Development.
7. Assistant Commissioner for Relocation and Rehabilitation.

This designation supersedes the designation of Acting Urban Renewal Commissioner effective September 12, 1964 (29 F.R. 12891, September 12, 1964).

(62 Stat. 1283 (1948), as amended by 64 Stat. 80 (1950), 12 U.S.C. 1701c)

Effective as of the 19th day of July 1965.

Robert C. Weaver
Housing and Home Finance Administrator

**2. DESIGNATION OF ACTING ASSISTANT COMMISSIONER FOR
TECHNICAL STANDARDS AND SERVICES**

[26 F.R. 10990]

The officers appointed to the following listed positions in the Urban Renewal Administration, Housing and Home Finance Agency, are hereby designated to serve as Acting Assistant Commissioner for Technical Standards during the absence of the Assistant Commissioner for Technical Standards, with all the powers, functions, and duties delegated or assigned to the Assistant Commissioner, provided that no officer is authorized to serve as Acting Assistant Commissioner for Technical Standards unless all other officers whose titles precede his in this designation are unable to act by reason of absence:

1. Director, Project Planning and Engineering Branch.
2. Director, Real Estate Acquisition Branch.

This designation supersedes the designation of Acting Assistant Commissioner for Technical Standards and Services effective January 24, 1958 (23 F.R. 491).

Effective as of the 23d day of November 1961.

Robert C. Weaver
Housing and Home Finance Administrator

3. DELEGATION OF AUTHORITY TO URBAN RENEWAL COMMISSIONER AND HHFA REGIONAL ADMINISTRATORS WITH RESPECT TO SLUM CLEARANCE AND URBAN RENEWAL PROGRAM, URBAN RENEWAL DEMONSTRATION PROGRAM, AND URBAN PLANNING PROGRAM ¹

[25 F.R. 9874/75]

Compilation and Republication of Delegation of Authority With Respect to Slum Clearance and Urban Renewal Program, Urban Renewal Demonstration Program, and Urban Planning Program

Because of the numerous published amendments to the delegation of authority to the Urban Renewal Commissioner and HHFA Regional Administrators with respect to the slum clearance and urban renewal program, demonstration grant program, and urban planning grant program, the delegation with amendments ¹ is hereby compiled and republished without substantive change as follows:

1. The Urban Renewal Commissioner (herein called the "Commissioner"), and the HHFA Regional Administrator within his respective Region, each is hereby delegated the authority vested in the Housing and Home Finance Administrator to administer the provisions of Title I of the Housing Act of 1949, as amended (63 Stat. 414-421, as amended, 42 U.S.C. 1450-1468), and to administer the provisions of section 312 of the Housing Act of 1954 (68 Stat. 629, 42 U.S.C. 1450 note), with respect to completion of certain projects in accordance with the provisions of Title I in force immediately prior to the effective date of the Housing Act of 1954, except:

(a) The nondelegable final authorities vested in the Administrator pursuant to the second proviso of section 101(c).

(b) The authority to:

(1) Determine the rate of interest on loans and advances under sections 102 (a) and (b).

(2) Issue notes or other obligations for purchase by the Secretary of the Treasury under sections 102 (e) and (f).

(3) Exercise the powers under sections 106 (a) and (b) and the power to sue and be sued under section 106(c).

(4) Find that a State or local low-rent housing program in connection with which urban renewal project land is to be used as a site for a State

¹ Delegation effective Dec. 23, 1954, published at 20 F.R. 428, Jan. 19, 1955, as amended at 20 F.R. 4275, June 17, 1955; 21 F.R. 1468, March 7, 1956; 21 F.R. 3038, May 5, 1956; 21 F.R. 5385, July 18, 1956; 21 F.R. 5471, July 20, 1956; 22 F.R. 2887, April 24, 1957; 22 F.R. 4105, June 11, 1957; 23 F.R. 1202, Feb. 26, 1958; 23 F.R. 1611, March 6, 1958; 23 F.R. 4820, June 28, 1958; 23 F.R. 8413, Oct. 30, 1958; 23 F.R. 9078, Nov. 21, 1958; 23 F.R. 9399, Dec. 4, 1958; 24 F.R. 242, Jan. 9, 1959; 24 F.R. 5815, July 21, 1959; 24 F.R. 8451, Oct. 17, 1959; 24 F.R. 9634, Dec. 2, 1959; 25 F.R. 991, Feb. 4, 1960; 25 F.R. 1081, Feb. 6, 1960; 25 F.R. 3227, April 14, 1960; 25 F.R. 3773, April 29, 1960; 25 F.R. 9735, Oct. 11, 1960; 28 F.R. 2933, March 23, 1963; 29 F.R. 8153, June 26, 1964; 30 F.R. 6703, May 15, 1965; and 30 F.R. 12502, September 30, 1965.

or locally assisted low-rent housing project has the same general purposes as the Federal low-rent program, and find that under such State or local program there are assurances equivalent to those under the Federal program that the local contribution to such project will be made during the entire period the project is used as low-rent housing, pursuant to section 107.

(e) In the case of the Commissioner, the authority to:

(1) Execute legends on bonds, notes, or other obligations evidencing loans made pursuant to Title I, indicating acceptance of such instruments and payments therefor.

(d) In the case of the HHFA Regional Administrator, the authority to:

(1) Approve applications for Federal loan or grant assistance, and make allocations of funds and authorize contracts and commitments therefor.

(2) Make reservations of capital grant funds.

(3) Suspend or terminate Federal loan or grant assistance, except the cancellation of reservations of capital grant funds in connection with the termination of Federal assistance under a contract for an advance.

(4) Make determinations with respect to noncompliances or defaults under contracts for Federal loan or grant assistance.

(5) Approve the following documents:

(A) Final Project Reports.

(B) Redevelopment Plans, Urban Renewal Plans, or Development Plans for educational institutions or hospitals under section 112, except revisions in approved Redevelopment, Urban Renewal, or Development Plans which do not involve actions reserved under this delegation to the Administrator and/or the Commissioner.

(6) Make determinations with respect to the eligibility of and percentage of allowance for non-cash local grants-in-aid, except revisions in an approved percentage of allowance which do not involve actions reserved under this delegation to the Administrator and/or the Commissioner.

(7) Make determinations with respect to the uncollectibility of Federal advances, in accordance with section 103(b).

(8) Determine interest rates for computing amounts in lieu of carrying charges to be included in Gross Project Cost with respect to local expenditures for project undertakings, under section 110(e).

2. The Commissioner, and the HHFA Regional Administrator within his respective Region, each is further authorized to administer the

provisions of section 701 of the Housing Act of 1954, as amended (68 Stat. 640, as amended, 40 U.S.C. 461), with respect to urban planning, except, in the case of the HHFA Regional Administrator, the authority with respect to studies, research, and demonstration projects, under the last proviso in section 701(b).

3. The Commissioner is further authorized to administer the provisions of section 314 of the Housing Act of 1954, as amended (42 U.S.C. 1452a), with respect to the urban renewal demonstration program.

4. The Commissioner is further authorized to:

(a) Designate any officer or employee of the Urban Renewal Administration to be acting head of any subunit of said Administration with power to perform the functions of the appointed head of the unit during the absence of the appointed head of the unit.

(b) Approve a Redevelopment Plan or an Urban Renewal Plan as required by the proviso under section 220(d) (1) (A) of the National Housing Act, as amended (12 U.S.C. 1715k(d) (1) (a)).

5. The Commissioner is authorized to redelegate to:

(a) The Deputy Urban Renewal Commissioner any of the authority hereby delegated to the Commissioner except the authority respecting designations of acting heads of subunits of the Administration.

(b) Such officers and employees of the Urban Renewal Administration as he may designate any of the authority hereby delegated to the Commissioner except the authority respecting:

(1) Reservations of grant moneys.

(2) Allocations of advance, loan, or grant funds.

(3) Designations of acting heads of subunits of the Administration.

6. Each Regional Administrator is authorized to redelegate to the Regional Director of Urban Renewal in his Region any of the authority hereby delegated to the Regional Administrator except the authority to:

(a) Approve applications for the survey and planning of an urban renewal project, the feasibility survey of an urban area, or the preparation or completion of a General Neighborhood Renewal Plan, and make allocations of funds and authorize contracts and commitments therefor.

(b) With respect to section 701 urban planning grants, approve applications and make allocations of funds authorizing Federal contracts.

Issued as of the 14th day of October 1960.

NORMAN P. MASON
Housing and Home Finance Administrator

5. DELEGATION OF AUTHORITY WITH RESPECT TO OPEN SPACE LAND AND URBAN BEAUTIFICATION AND IMPROVEMENT

[30 F.R. 11156, 8-28-65]

1. The Urban Renewal Commissioner (herein called the "Commissioner"), and the HHFA Regional Administrator within his respective Region, each is hereby authorized to execute the powers and functions vested in the Housing and Home Finance Administrator under Title VII of the Housing Act of 1961, as amended by Title IX of the Housing and Urban Development Act of 1965 (42 U.S.C. 1500), with respect to open-space land and urban beautification and improvement except, in the case of the Regional Administrator, the authority to:

(a) Approve applications for grant assistance, and make allocations of funds and authorize contracts.

(b) Approve the conversion from the HHFA-approved open-space use of open-space land for which a grant has been made under Title VII.

(c) Approve the disposal or transfer of any interest acquired in open-space land for which a grant has been made under Title VII.

(d) Suspend or terminate grant assistance.

(e) Make determinations with respect to noncompliances or defaults under contracts for grant assistance.

(f) Enter into contracts to make grants for activities to develop and demonstrate new and improved methods and materials, and execute powers and functions relating to such contracts, under the proviso in section 706.

(g) Provide technical assistance to State and local public bodies and undertake studies and publish information, under section 708.

2. The Commissioner is further authorized to redelegate to one or more employees in the Urban Renewal Administration any of the authority herein delegated to the Commissioner.

3. Each Regional Administrator is authorized to redelegate to the Regional Director of Urban Renewal in his Region any of the authority herein delegated to the Regional Administrator.

This delegation supersedes the delegation effective April 4, 1964 (29 F.R. 4840).

(62 Stat. 1283 (1948), as amended by 64 Stat. 80 (1950), 12 U.S.C. 1701c)

Effective as of the 10th day of August 1965.

Robert C. Weaver
Housing and Home Finance Administrator

6. DELEGATION TO URBAN RENEWAL COMMISSIONER, HHFA REGIONAL ADMINISTRATORS, AND REGIONAL DIRECTORS OF URBAN RENEWAL TO EXECUTE REQUISITION AGREEMENTS

The Urban Renewal Commissioner, and the HHFA Regional Administrator and the Regional Director of Urban Renewal within his respective Region, each is hereby authorized to execute requisition agreements under section 102(c) of the Housing Act of 1949, as amended (42 U.S.C. 1452(c)), securing the payment of the principal of and interest on preliminary loan notes each of which provides that it shall not be valid until the paying agent has executed an agreement appearing on the note to act as paying agent, and under which requisition agreement the United States, among other things:

1. Pledges the full faith and credit of the United States to the aforesaid payment and agrees under section 102(c) of the Act that the payment agreement set forth under subparagraph 2 below shall be construed separate and apart from the pertinent loan contract and shall be incontestable in the hands of a bearer; and

2. Agrees to evidence its promise to pay or cause to be paid each such note by a payment agreement executed on behalf of the United States by the facsimile signature of the Housing and Home Finance Administrator holding office on the date of sale by the local public agency of the particular notes, in substantially the following form:

PAYMENT AGREEMENT

Pursuant to section 102(c) of the Housing Act of 1949, as amended (42 U.S.C. 1452(c)), the United States *hereby unconditionally agrees* that on the Maturity Date of the within Preliminary Loan Note it will pay or cause to be paid to the bearer thereof the principal of and interest thereon, upon the presentation and surrender of such Note to the Paying Agent designated therein, *and the full faith and credit of the United States* is pledged to such payment. Under section 102(c) of the Act, this Agreement shall be construed separate and apart from the loan contract referred to in the within Note and shall be incontestable in the hands of a bearer.

IN WITNESS WHEREOF, this Agreement has been executed on behalf of the United States by the duly authorized facsimile signature of the Housing and Home Finance Administrator, as of the Date of Issue of the within Note.

UNITED STATES OF AMERICA
By (Facsimile Signature)
Housing and Home Finance Administrator

This delegation is effective as of the 10th day of October 1961.

Robert C. Weaver
Housing and Home Finance Administrator

**7. DELEGATION OF AUTHORITY WITH RESPECT TO URBAN PLANNING
GRANT PROGRAM—NEW YORK CITY METROPOLITAN REGION (NEW
YORK, CONNECTICUT, AND NEW JERSEY)**

[27 F.R. 10235]

1. The Regional Administrator of the Housing and Home Finance Agency, Region I (New York), is hereby authorized to administer the provisions of section 701 of the Housing Act of 1954, as amended (40 U.S.C. 461), with respect to grants for transportation planning for the New York City metropolitan region, encompassing portions of the states of New York, Connecticut, and New Jersey.

2. The delegation with respect to the urban planning grant program, published at 25 F.R. 9874, 9875, October 14, 1960, as it applies to the HHFA Regional Administrator, Region I (New York) and Region II (Philadelphia), is modified accordingly.

* * *

Effective as of the 18th day of October, 1962.

Robert C. Weaver
Housing and Home Finance Administrator

8. DELEGATION OF AUTHORITY TO URBAN RENEWAL COMMISSIONER, HHFA REGIONAL ADMINISTRATORS, AND REGIONAL DIRECTORS OF URBAN RENEWAL TO EXECUTE REQUISITION AGREEMENTS SECURING BONDS

[28 F.R. 11655, 10/31/63]

The Urban Renewal Commissioner, and the HHFA Regional Administrator and the Regional Director of Urban Renewal within his respective Region, each is hereby authorized to execute requisition agreements under section 102(c) of the Housing Act of 1949, as amended (42 U.S.C. 1452(c)), securing the payment of the principal of and interest on bonds evidencing a definitive loan under section 102(a) of said Act, and, as an incident to the security and marketability of such bonds, securing the payment of premiums and the cost of the redemption of bonds and the fees and charges of paying agents, each of which bonds provides that it shall not be valid until the paying agent has executed an agreement appearing on the bond to act as paying agent, and under which requisition agreement the United States, among other things:

1. Pledges the full faith and credit of the United States to the payment of the principal of and interest on such bonds, and agrees under section 102(c) of the Act that the payment agreement set forth under subparagraph 2 below shall be construed separate and apart from the pertinent loan contract, including the specific loan payment contract under such requisition agreement, and shall be incontestable in the hands of a bearer; and

2. Agrees, as an incident to the security and marketability of such bonds, to pay or cause to be paid the premiums and cost of the redemption of the bonds and the fees and charges of paying agents, and also agrees to evidence its promise to pay or cause to be paid each such bond, including the interest thereon, by a payment agreement executed on behalf of the United States by the facsimile signature of the Housing and Home Finance Administrator holding office on the date of sale by the local public agency of the particular bonds, in substantially the following form:

PAYMENT AGREEMENT

Pursuant to section 102(c) of the Housing Act of 1949, as amended (42 U.S.C. 1452(c)), the United States hereby unconditionally agrees that on the maturity of the within Bond, and on the respective dates established for the payment of the interest thereon, it will pay or cause to be paid to the bearer or registered owner of either or both said Bond or interest thereon, as the case may be, the principal of and interest on such Bond, upon the presentation and surrender of such Bond or the uncanceled interest coupons

appertaining thereto, if any, as the case may be, to the Paying Agent or the alternate Paying Agent identified therein; and the full faith and credit of the United States is pledged to such payment. Under section 102(c) of the Act, this Agreement shall be construed separate and apart from the loan contract and the specific loan payment contract evidenced by the Requisition Agreement referred to in the within Bond, and shall be incontestable in the hands of a bearer.

In witness whereof, this Agreement has been executed on behalf of the United States by the duly authorized facsimile signature of the Housing and Home Finance Administrator, as of the date of the within Bond.

UNITED STATES OF AMERICA
By (Facsimile signature)
Housing and Home Finance Administrator

(62 Stat. 1283 (1948), as amended by 64 Stat. 80 (1950), 12 U.S.C. 1701e)

This delegation is effective as of the 31st day of October, 1963.

Robert C. Weaver
Housing and Home Finance Administrator

9. DELEGATION OF AUTHORITY WITH RESPECT TO URBAN PLANNING GRANT PROGRAM—PORTION OF CINCINNATI METROPOLITAN AREA IN KENTUCKY

[29 F.R. 12754, 9/9/64]

The Regional Administrator of the Housing and Home Finance Agency, Region IV (Chicago), is hereby authorized to administer the provisions of Section 701 of the Housing Act of 1954, as amended (40 U.S.C. 461), with respect to Project No. Ky. P-28 and all future grants for metropolitan planning within that portion of Kentucky located in the Cincinnati metropolitan area.

The delegation with respect to the urban planning grant program, republished October 14, 1960 (25 F.R. 9874), as amended, as it applies to the HHFA Regional Administrator, Region IV (Chicago) and Region III (Atlanta), is modified accordingly.

(62 Stat. 1283 (1948), as amended by 64 Stat. 80 (1950), 12 U.S.C. 1701c).

Effective as of the 1st day of July 1964.

Robert C. Weaver
Housing and Home Finance Administrator

10. DELEGATION OF AUTHORITY TO URBAN RENEWAL COMMISSIONER AND HHFA REGIONAL ADMINISTRATORS WITH RESPECT TO REHABILITATION LOANS

[30 F.R. 9024, 7/17/65]

1. The Urban Renewal Commissioner, and the HHFA Regional Administrator within his respective Region, each is hereby delegated the authority with respect to rehabilitation loans vested in the Housing and Home Finance Administrator under section 312 of the Housing Act of 1964 (42 U.S.C. 1452b), including the authority to use the services of any local public or private agency or organization under section 312(f), but excepting the authority to:

(a) Determine the rate of interest on loans, under section 312(e)(3).

(b) Delegate to or use as agent any Federal or local public or private agency or organization, under section 312(f).

(c) Sue and be sued, pursuant to section 312(e) of the Housing Act of 1964 and section 402(c)(3) of the Housing Act of 1950, as amended (12 U.S.C. 1749a(c)(3)).

2. The Urban Renewal Commissioner is authorized to redelegate to one or more employees in the Urban Renewal Administration any of the authority herein delegated.

3. Each Regional Administrator within his respective Region is authorized to redelegate to the Regional Director of Urban Renewal and to one or more employees in the Urban Renewal Division any of the authority herein delegated.

(62 Stat. 1283 (1948), as amended by 64 Stat. 80 (1950), 12 U.S.C. 1701c)

Effective as of the 17th day of July, 1965.

Robert C. Weaver
Housing and Home Finance Administrator

11. DELEGATION OF AUTHORITY WITH RESPECT TO URBAN PLANNING PROGRAM—PORTION OF ST. LOUIS METROPOLITAN AREA IN ILLINOIS

[30 F.R. 14176, 11/10/65]

The Regional Administrator of the Housing and Home Finance Agency, Region V (Fort Worth), is hereby authorized to administer the provisions of Section 701 of the Housing Act of 1954, as amended (40 U.S.C. 461), with respect to grants for metropolitan planning within that portion of Illinois located in the St. Louis metropolitan area.

The delegation with respect to the urban planning program, republished October 14, 1960 (25 F.R. 9874), as amended, as it applies to the HHFA Regional Administrators, Region V (Fort Worth) and Region IV (Chicago), is modified accordingly.

(62 Stat. 1283 (1948), as amended by 64 Stat. 80 (1950), 12 U.S.C. 1701c)

Effective as of the 8th day of November 1965.

Robert C. Weaver
Housing and Home Finance Administrator

12. DELEGATION OF AUTHORITY TO URBAN RENEWAL COMMISSIONER AND HHFA REGIONAL ADMINISTRATORS WITH RESPECT TO GRANTS FOR NEIGHBORHOOD FACILITIES

[30 F.R. 14570, 11/23/65]

1. The Urban Renewal Commissioner, and the Regional Administrator within his respective Region, each is hereby authorized to execute the powers and functions vested in the Housing and Home Finance Administrator under sections 703 and 705 of the Housing and Urban Development Act of 1965 (P.L. 89-117), 42 U.S.C. 3103 and 3105, with respect to grants for neighborhood facilities except (a) the authority to sue and be sued, pursuant to section 705 of the said 1965 Act and section 402(c)(3) of the Housing Act of 1950, as amended (12 U.S.C. 1749a(c)(3)), and (b) in the case of the Regional Administrator the authority to make reservations and allocations of grant funds and to authorize contracts.

2. The Urban Renewal Commissioner is authorized to redelegate to one or more employees in the Urban Renewal Administration any of the authority herein delegated to the Commissioner.

3. Each Regional Administrator is authorized to redelegate to the Regional Director of Urban Renewal in his Region any of the authority herein delegated to the Regional Administrator.

(62 Stat. 1283 (1948), as amended by 64 Stat. 80 (1950), 12 U.S.C. 1701c)

Effective as of the 17th day of November, 1965.

Robert C. Weaver
Housing and Home Finance Administrator

1. DELEGATION OF AUTHORITY WITH RESPECT TO HOUSING FOR EDUCATIONAL INSTITUTIONS

[27 F.R. 6294]

The delegation of authority to the Commissioner, Community Facilities and Special Operations, effective June 2, 1954 (19 F.R. 3240, 6/2/1944), is revised to read as follows:

The Community Facilities Commissioner is hereby authorized:

1. To execute the powers and functions vested in the Housing and Home Finance Administrator under Title IV of the Housing Act of 1950, as amended (64 Stat. 77, as amended), 12 U.S.C. 1749-1749c, with respect to the program of loans for housing for educational institutions except the power (a) to determine the rate of interest on loans and (b) to issue notes or other obligations for purchase by the Secretary of the Treasury; and

2. To redelegate to one or more employees in the Community Facilities Administration any of the authority herein delegated except the power to authorize loans.

* * *

Effective as of the 3d day of July, 1962.

ROBERT C. WEAVER
Housing and Home Finance Administrator

2. DELEGATION OF AUTHORITY TO REGIONAL ADMINISTRATORS WITH RESPECT TO HOUSING FOR EDUCATIONAL INSTITUTIONS

[25 F.R. 5801]

Each Regional Administrator of the Housing and Home Finance Agency, in carrying out the program of loans for housing for educational institutions on behalf of the Housing and Home Finance Administrator through the Community Facilities Administration, is hereby authorized, under Title IV of the Housing Act of 1950, as amended (64 Stat. 77, as amended, 12 U.S.C. 1749-1749e) :

1. To approve applications, authorize loans, and execute loan agreements, involving loans for student and/or faculty housing and for other educational facilities;

2. To amend or modify any such loan agreement;

3. To redelegate to the Regional Director of Community Facilities Activities the authority delegated herein except the authority to approve applications, authorize loans and amend or modify the terms thereof; and

4. In the case of the Regional Administrator, Region VI (San Francisco), to redelegate to the Director for Northwest Operations, Region VI, at Seattle, Washington, any of the authority delegated herein.

This delegation supersedes the delegation effective April 9, 1960 (25 F.R. 3090, April 9, 1960).

* * *

Effective as of the 1st day of July 1960.

NORMAN P. MASON

Housing and Home Finance Administrator

PERIODIC ESTIMATE FOR PARTIAL PAYMENT

The contractor will request periodic payments by submitting Form CFA-208, *Periodic Estimate for Partial Payment*, to the architect in an original and four copies. The contractor's estimate should cover only work performed and material supplied by the contractor and his subcontractors since his last request. Units of work and costs will be taken from Form CFA-207, *Schedule for Contract Payments*, as approved by the Regional Office.

Periodic Payments During Construction

The architect will be responsible for reviewing the statements regarding work performed and material supplied on the basis of his inspections. If he agrees with the estimate, he will sign the original of Form CFA-208. He will send the original and three copies of Form CFA-208 to the Field Engineer.

Except with respect to the final payment, which shall be processed in conjunction with the Final Project Report, the Field Engineer shall review the contractor's statement of work performed and materials supplied against his own knowledge of the project and the architect's semi-monthly reports. If he concurs he shall sign Form CFA-208, and send the original and two copies to the Regional Office.

After approval by the contracting officer, Form CFA-208 shall be given to the Administrative Branch for payment.

CONSTRUCTION CONTRACT CHANGES

Any change in the approved contract documents, including but not limited to revision in plans, specifications, scope of work, and time of completion, requires issuance of Form CFA-202, *Contract Change Order* (Exhibit A).

The approved plans and specifications must be considered adequate to provide minimum school facilities unless unusual circumstances arise which require contract change orders, such as:

- (1) A necessary item omitted from the original plans through oversight.
- (2) An error in the original design.
- (3) A change necessary to avoid hazards to the health or safety of the students.
- (4) A change which will materially reduce maintenance costs.
- (5) A structural change made necessary by unforeseen conditions developed during actual construction.
- (6) A substitution as a result of material shortages.

Proposed contract changes shall be prepared by the architect on Form CFA-202, *Contract Change Order*, in sextuplicate, and shall be submitted to the Field Engineer with one copy of a sketch showing the

change and a statement of the reasons for the change. The contractor's signature shall be obtained by the architect prior to submitting the proposal. If the contractor refuses to agree to the change, the architect shall also furnish a statement giving the reasons. If the Field Engineer is unable to resolve the issue, it shall be referred to the Regional Office.

The *Contract Change Order* shall be reviewed by the Field Engineer who shall sign it if satisfactory and send it to the Regional Office.

The contracting officer may approve proposed contract changes which do not involve a project change for which clearance by the local representative or the Commissioner of Education is required. The applicable types of changes set forth in Section 5-2-2 govern this determination.

The Regional Office shall obtain any required clearance by the local representative of the Office of Education. Upon receipt of clearance, the case shall be submitted to CFA for referral to the Office of Education. The submission shall include the architect's statement and the *Contract Change Order*.

If the necessary approvals are obtained, the contracting officer shall execute the *Contract Change Order* which shall be distributed as follows:

Original—Fiscal Project File

Signed Copy—Contractor, *page 1 only*

Conformed copy—Project folder, Field Engineer, architect, and CFA

CHANGES IN PROJECTS

For the appropriate changes, the procedure prescribed in Section 5-2-2 for non-Federal projects is applicable to Federal projects, except that:

- (1) Changes requiring clearance by the Commissioner of Education shall be processed by memorandum through CFA.
- (2) Changes in the latest approved estimate of any line item or the total cost shall be recorded on Form CFA-805, *Record of Project Costs* (See Exhibit B). Form CFA-805 shall be prepared in triplicate by the Chief, Public Facilities Operations Branch, and shall be numbered consecutively for each project. The original shall be sent to the project file and copies to CFA and the Regional Administrative Division.

In the event the change causes an increase in project obligations, a prevalidation of funds shall be secured on Form CFA-811 from the Administrative Division. An original and one copy shall be furnished to the Administrative Division, which shall return the original as evidence of the availability of funds. (See Exhibit A, Section 5-3-2). The original shall be filed in the project folder with the document effecting the change.

DISPUTES RELATIVE TO CONSTRUCTION

When a dispute with a contractor concerning questions of fact arises which cannot be resolved by mutual agreement, the contracting officer shall take the following measures before rendering his decision in writing to the contractor as provided for under Section 6(a) of Standard Form 23-A, *General Provisions of the Construction Contract*.

1. The Chief, Engineering Branch, shall review the circumstances and submit a full report which will include the following information in addition to other documentation pertinent to the case:
 - a. Chronological tabulation of pertinent events, actions taken, and/or circumstances leading up to the dispute, with supporting documentation as exhibits.
 - b. References to the particular sections of the contract provisions, conditions, specifications, and/or drawings relative to the dispute.
 - c. Any and all information relative to the dispute such as clerk-of-the-works daily log; field notes; Field Engineers' statements and inspection reports; A/E inspection reports and statements; change orders; periodic payments to the contractor; the contractor's position in the matter; and other pertinent data or documentation.
 - d. Conclusions.
 - e. Recommendations.
2. The contracting officer, who is usually the Regional Director, shall arrange a hearing at which the contracting officer or his duly authorized representative shall be present as well as the contractor or his duly authorized representative and any other technical or legal assistants either party shall wish to have in attendance.

The Regional Administrator, or whomever he may designate to represent him, shall be invited to attend any and all such hearings.

In addition to the above mentioned parties, the following persons may be required for the particular case:

- a. The project architect or engineer.
 - b. The Chief, Engineering Branch or his authorized assistant.
 - c. The Regional Counsel.
 - d. The Field Engineer assigned to the project.
 - e. Any other necessary technical or other personnel.
3. An accurate record of the hearing shall be made for the project and file records.
 4. Upon consideration of all the documentation and additional facts presented at the hearing, the Contracting Officer shall reduce his decision to writing to the Contractor in accordance with Section 6(a), of *General Provisions of the Construction Contract*.

PARTIAL USE PRIOR TO COMPLETION

If any portion of the facility is to be used before final completion of the project, that portion shall be inspected by the architect, the Field Engineer, the local representative of the Office of Education, and the contractor.

A check list of any corrective or incomplete items shall be prepared by the architect and furnished the contractor at this time with a copy for the Field Engineer.

Following inspection, a letter shall be prepared (Exhibit C), signed by the Field Engineer and the local representative of the Office of Education, requesting permission from the contractor to use the facilities prior to actual completion of the contract. The letter shall be prepared in six copies. The original shall be furnished the contractor, with copies to the architect, Regional Office, Field Engineer, local representative of the Office of Education, and CFA.

The contractor's letter of consent to the request for partial use shall be sent to the Regional Office and a copy sent to the local representative of the Office of Education.

INSURANCE COVERAGE

At least two weeks prior to partial use or final inspection, the Field Engineer shall compute the amount of insurance necessary to cover the buildings and equipment and shall supply the Regional Office with Form CFA-507, *Determination of Insurable Value*, in duplicate.

The Regional Director shall advise the local representative of the Office of Education of the minimum amount of insurance that should be carried by the local educational agency. Under no circumstances shall the Field Engineer notify the Office of Education or the local educational agency directly of his estimate of the amount of insurance.

INSPECTION, CLEARANCE, AND TRANSFER OF COMPLETED FACILITY

Final inspection shall be made simultaneously by the Field Engineer, the architect, and the local representative of the Office of Education upon notification by the architect that the project is completed and ready for final inspection. The contractor and a representative of the applicant agency should be present.

If items of construction are found incomplete or unsatisfactory, a check list shall be prepared and presented to the contractor for remedial action with a copy for the Field Engineer. The Field Engineer shall be responsible for determining that all defects are corrected before the contractor is released.

When all defects have been corrected, the Field Engineer shall prepare a final inspection report, using Form CFA-850, *Contract and Project Completion Report*.

This report shall also contain a statement recommending transfer of the completed facility to the Office of Education and indicating the willingness of the local representative of the Office of Education to accept custody.

The Field Engineer shall send the original and three copies of CFA-850 to the Regional Office.

Following final inspection and prior to final payment under the construction contract, the Field Engineer shall obtain Form CFA-212, *Contract Release*, in quadruplicate, from the contractor.

Following final acceptance and prior to final payment under the architect's contract, the Regional Office shall obtain Form CFA-206, *Architect/Engineer's Contract Release* (Exhibit D), in quadruplicate, from the architect.

A delivery and acceptance document (Exhibit E), evidencing formal delivery by HHFA and acceptance by the Office of Education shall be prepared jointly by the Field Engineer and the local representative of the Office of Education, and countersigned by the Regional Director. The delivery and acceptance document shall be prepared in quintuplicate. The equipment inventory on Form CFA-225 (see Section 5-3-4) shall be attached to, and form a part of, the delivery and acceptance document. At the time of final acceptance of the fully completed project, the Regional Office shall notify the applicant so that authority for construction access to the project may be withdrawn.

DISPOSITION OF GUARANTEES AND BONDS

Guarantees or bonds issued for roofs, boilers, electrical appliances, and similar items for projects shall be transferred to the local representative of the Office of Education for further disposition to the operating agencies at the time of acceptance of the facility. This does not include construction contracts even though these contain the usual one-year warranty on adequacy of construction.

Regional action on Federal schools after transfer to Office of Education shall be confined to assistance requested by that office during the usual one-year warranty period.

FINAL PROJECT REPORT

Upon receipt in the Regional Office, the Engineering Staff shall review the final inspection report and the supporting documents.

The approval of Form CFA-850, in conjunction with the certification of the Field Engineer of the final Form CFA-208, *Periodic Estimate for Partial Payment*, shall constitute Regional Office acceptance of the work performed under the contract.

CLOSING DOCUMENTATIONS

Close-out documents shall be distributed as follows :

	CFA	OE ¹	RO	Field Engineer	Contractor	Architect	Total
CFA-206	1		1 ²	1		1	4
CFA-212	1		1 ²	1	1		4
CFA-225	2	3 ²	1				6
CFA-850	2 ²		1	1			4
Delivery and acceptance	2	2 ²	1				5

¹ Local Representative of the Office of Education
² Original

1. DELEGATION OF AUTHORITY TO COMMUNITY FACILITIES COMMISSIONER WITH RESPECT TO PUBLIC FACILITY LOANS PROGRAM AND ACCELERATED PUBLIC WORKS PROGRAM

[27 F.R. 10598]

The Community Facilities Commissioner is hereby authorized:

1. To execute the powers and functions vested in the Housing and Home Finance Administrator with respect to the public facility loans program authorized under section 202(a)-(d) of the Housing Amendments of 1955, as amended (42 U.S.C. 1492(a)-(d)), except the powers (a) to determine the rate of interest on loans, (b) to issue notes or other obligations for purchase by the Secretary of the Treasury, and (c) to make loans for transportation facilities and equipment under section 202(a)(2);

2. To execute the powers and functions vested in the Housing and Home Finance Administrator with respect to the program of grants-in-aid authorized under section 202(e) of the Housing Amendments of 1955, as amended by section 5(b) of the Public Works Acceleration Act (42 U.S.C. 1492(e));

3. To redelegate to one or more employees in the Community Facilities Administration any of the authority herein delegated except the power to authorize loans or grants-in-aid.

This delegation supersedes the delegation to the Community Facilities Commissioner effective November 28, 1955 (20 F.R. 9981, 12/24/55).

* * *

Effective as of the 24th day of October 1962.

Jack T. Conway
Acting Housing and Home Finance Administrator

2. DELEGATION OF AUTHORITY TO REGIONAL ADMINISTRATORS WITH RESPECT TO PUBLIC FACILITY LOANS PROGRAM AND ACCELERATED PUBLIC WORKS PROGRAM

[27 F.R. 10598]

Each Regional Administrator of the Housing and Home Finance Agency is hereby authorized:

1. To approve applications, authorize loans, and enter into or amend or modify contracts, involving public facility loans under section 202(a)-(d) of the Housing Amendments of 1955, as amended (42 U.S.C. 1492(a)-(d));

2. To approve applications, authorize grants-in-aid, and enter into or amend or modify contracts, involving grants-in-aid under section 202(e) of the Housing Amendments of 1955, as amended by section 5(b) of the Public Works Acceleration Act (42 U.S.C. 1492(e));

3. To redelegate to the Regional Director of Community Facilities the authority delegated herein except the authority to approve applications, authorize loans or grants-in-aid, or amend or modify the terms of loans or grants-in-aid;

4. In the case of the Regional Administrator, Region VI (San Francisco), to redelegate to the Director for Northwest Operations, Region VI, at Seattle, Washington, any of the authority delegated herein.

This delegation supersedes the delegation effective July 1, 1960 (25 F.R. 5801, 6/23/60).

* * *

Effective as of the 24th day of October 1962.

Jack T. Conway

Acting Housing and Home Finance Administrator

3. DELEGATION TO COMMUNITY FACILITIES COMMISSIONER TO EXECUTE PUBLIC FACILITY LOAN PROGRAM

[19 Fed. Reg. 7123]

The Commissioner, Community Facilities and Special Operations,¹ is hereby authorized:

a. To execute the powers and functions vested in the Housing and Home Finance Administrator under section 108(a) of the Reconstruction Finance Corporation Liquidation Act (67 Stat. 231, 40 U.S.C., 1952 ed. Sup. I 459), as amended by section 804 of the Housing Act of 1954 (68 Stat. 643), except the power to determine the rate of interest on loans; and

b. In carrying out such functions, to exercise the powers granted by section 205(b)(3) of the Small Business Act of 1953 (67 Stat. 234, 15 U.S.C., 1952 ed. Sup. I 634) pursuant to section 108(e) of the Reconstruction Finance Corporation Liquidation Act, as amended, including the power to execute in the name of the Administrator any necessary written instruments relating to the administration or disposal of real property or of any interest therein.

Effective as of the 2d day of November 1954.

ALBERT M. COLE,
Housing and Home Finance Administrator

¹ Amendment effective July 3, 1962 (27 F.R. 6294) changed "Commissioner, Community Facilities and Special Operations" to read "Community Facilities Commissioner".

1. DELEGATION TO COMMUNITY FACILITIES COMMISSIONER

[22 Fed. Reg. 4676]

The Community Facilities Commissioner is hereby authorized to execute the powers, functions, and duties transferred to the Housing and Home Finance Administrator under Reorganization Plan No. 1 of 1957¹ (22 F.R. 4633, July 2, 1957), with respect to or arising out of (1) the securities and obligations of, loans made to, and contracts or other agreements with, States, municipalities, political subdivisions thereof, public agencies, boards, commissions, or other public bodies, and (2) loans, securities, and obligations acquired in connection with programs of financial assistance for drainage and irrigation projects, except the Administrator's authority to issue notes or other obligations to the Secretary of the Treasury under section 7 of the Reconstruction Finance Corporation Act, as amended (15 U.S.C. 606).

* * *

Effective as of the 1st day of July 1957.

ALBERT M. COLE,

Housing and Home Finance Administrator

¹ See 2-1-10, Volume I, for provisions of Reorganization Plan No. 1 of 1957.

1. DELEGATION OF AUTHORITY TO COMMUNITY FACILITIES COMMISSIONER WITH RESPECT TO ADVANCES FOR PUBLIC WORKS PLANNING (FIRST AND SECOND PROGRAMS)

[30 F.R. 13417, 10-21-65]

The Community Facilities Commissioner in connection with the liquidation of the first and second programs of advances for public works planning is hereby authorized to execute:

1. The functions, powers, and duties under Title V of the War Mobilization and Reconversion Act of 1944, as amended, 50 U.S.C. App. 1671 note, and under the Act of October 13, 1949, entitled "An Act to provide for the advance planning of non-Federal public works," as amended, 40 U.S.C. 451 (which functions were transferred to the Housing and Home Finance Administrator under Reorganization Plan No. 17 of 1950, 64 Stat. 1269, 5 U.S.C. 1964 ed. 133z-15), subject to section 1112 of the Housing and Urban Development Act of 1965, 40 U.S.C. 462 note.

2. The functions, powers, and duties vested in the Housing and Home Finance Administrator under section 702(h) of the Housing Act of 1954, as amended, which subsection (h) was added by section 602 of the Housing Act of 1964, 40 U.S.C. 462(h).

This delegation supersedes the delegation effective January 15, 1965 (30 F.R. 3564, March 17, 1965).

(62 Stat. 1283 (1948), as amended by 64 Stat. 80 (1950), 12 U.S.C. 1701e)

Effective as of the 10th day of August 1965.

Robert C. Weaver
Housing and Home Finance Administrator

2. DELEGATION OF AUTHORITY TO COMMUNITY FACILITIES COMMISSIONER WITH RESPECT TO ADVANCES FOR PUBLIC WORKS PLANNING (THIRD PROGRAM)

[30 F.R. 3565, 3-17-65]

The Community Facilities Commissioner is hereby authorized to execute the functions, powers, and duties vested in the Housing and Home Finance Administrator with respect to the third program of advances for public works planning under subsections 702(a), (c), (g), and (h) of the Housing Act of 1954, as amended (particularly by section 6 of the Public Works Acceleration Act and section 602 of the Housing Act of 1964), 40 U.S.C. 462(a), (c), (g), and (h).

This delegation supersedes the delegation effective October 24, 1962 (27 F.R. 10598, October 31, 1962).

(62 Stat. 1283 (1948), as amended by 64 Stat. 80 (1950), 12 U.S.C. 1701c)

Effective as of the 15th day of January 1965.

Robert C. Weaver
Housing and Home Finance Administrator

3. DELEGATION OF AUTHORITY TO REGIONAL ADMINISTRATORS WITH RESPECT TO ADVANCES FOR PUBLIC WORKS PLANNING (FIRST AND SECOND PROGRAMS)

[30 F.R. 3565, 3-17-65]

Each Regional Administrator of the Housing and Home Finance Agency in connection with the liquidation of the first and second programs of advances for public works planning (under Title V of War Mobilization and Reconversion Act of 1944, as amended, 50 U.S.C. App. 1671 note, and Act of October 13, 1949, entitled "An Act to provide for the advance planning of non-Federal public works," as amended, 40 U.S.C. 451; and pursuant to section 702(h) of the Housing Act of 1954, as amended, which subsection (h) was added by section 602 of the Housing Act of 1964, 40 U.S.C. 462(h) (herein called the "Act")) is hereby authorized within the Region:

1. To amend or modify agreements with public agencies for planning advances.

2. To make determinations concerning the liability of a public agency for repayment of an advance, including:

a. To determine the proportionate amount of an advance repayable pursuant to section 702(h)(1) of the Act, 40 U.S.C. 462(h)(1), if the public agency undertakes to construct only a portion of the public work planned.

b. To terminate all or a portion of the liability for repayment of an advance pursuant to section 702(h)(2) of the Act, 40 U.S.C. 462(h)(2).

c. To terminate an agreement for an advance pursuant to section 702(h)(2) of the Act, 40 U.S.C. 462(h)(2).

3. To redelegate to the Regional Director of Community Facilities any of the authority delegated herein.

4. In the case of the Regional Administrator, Region VI (San Francisco), to redelegate to the Director for Northwest Operations, Region VI, at Seattle, Washington, any of the authority delegated herein.

(62 Stat. 1283 (1948), as amended by 64 Stat. 80 (1950), 12 U.S.C. 1701c)

Effective as of the 15th day of January 1965.

Robert C. Weaver
Housing and Home Finance Administrator

4. DELEGATION OF AUTHORITY TO REGIONAL ADMINISTRATORS WITH RESPECT TO ADVANCES FOR PUBLIC WORKS PLANNING (THIRD PROGRAM)

[30 F.R. 3565, 3-17-65]

Each Regional Administrator of the Housing and Home Finance Agency in carrying out the third program of advances for public works planning under section 702 of the Housing Act of 1954, as amended (particularly by section 6 of the Public Works Acceleration Act and section 602 of the Housing Act of 1964), 40 U.S.C. 462 (herein called the "Act"), is hereby authorized within the Region:

1. To approve applications of, authorize advances to, and execute agreements with, public agencies and Indian tribes, involving advances to aid in planning proposed public works.

2. To amend or modify agreements for planning advances with public agencies and Indian tribes.

3. To make determinations concerning the liability of a public agency or Indian tribe for repayment of an advance, including:

a. To determine the proportionate amount of an advance repayable pursuant to section 702(h)(1) of the Act, 40 U.S.C. 462(h)(1), if the public agency or Indian tribe undertakes to construct only a portion of the public work planned.

b. To terminate all or a portion of the liability for repayment of an advance pursuant to section 702(h)(2) of the Act, 40 U.S.C. 462(h)(2).

c. To terminate an agreement for an advance pursuant to section 702(h)(2) of the Act, 40 U.S.C. 462(h)(2).

d. To determine the amount of the advance which the public agency or Indian tribe is relieved of liability to repay pursuant to section 702(g) of the Act, 40 U.S.C. 462(g), if construction of the planned public works project or a portion thereof is initiated as a result of a grant under the Public Works Acceleration Act.

4. To redelegate to the Regional Director of Community Facilities the authority delegated herein except the authority to approve applications, authorize advances, and amend or modify agreements for planning advances.

5. In the case of the Regional Administrator, Region VI (San Francisco), to redelegate to the Director for Northwest Operations, Region VI, at Seattle, Washington, any of the authority delegated herein.

This delegation supersedes the delegation effective June 4, 1963 (28 F.R. 5486, June 4, 1963).

(62 Stat. 1283 (1948), as amended by 64 Stat. 80 (1950), 12 U.S.C. 1701e)

Effective as of the 15th day of January 1965.

Robert C. Weaver
Housing and Home Finance Administrator

1. DELEGATION OF AUTHORITY WITH RESPECT TO THE ALASKA HOUSING PROGRAM

[20 Fed. Reg. 3241]

1. The Community Facilities Commissioner (hereinafter called "Commissioner") is hereby delegated the authority to execute the powers and functions relating to the Alaska Housing Program vested in the Housing and Home Finance Administrator (hereinafter called "Administrator") under the provisions of the Alaska Housing Act, 63 Stat. 57, 59-60 (1949), as amended, 48 U. S. C., 484-484c; and the Independent Offices Appropriation Act, 1955, 68 Stat. 272, 295-6, (1954), 12 U. S. C. 1701g-5; except the authority to:

a. Authorize new or increased commitments of loan funds;

b. Amend or modify loan authorizations or any requirement or condition therein where such action may materially affect adversely the interests of the Administrator;

c. Consent to the release or substitution of collateral where such action may materially affect adversely the interests of the Administrator; and

d. Determine the rate of interest on any notes or other obligations which may be purchased from the Alaska Housing Authority.

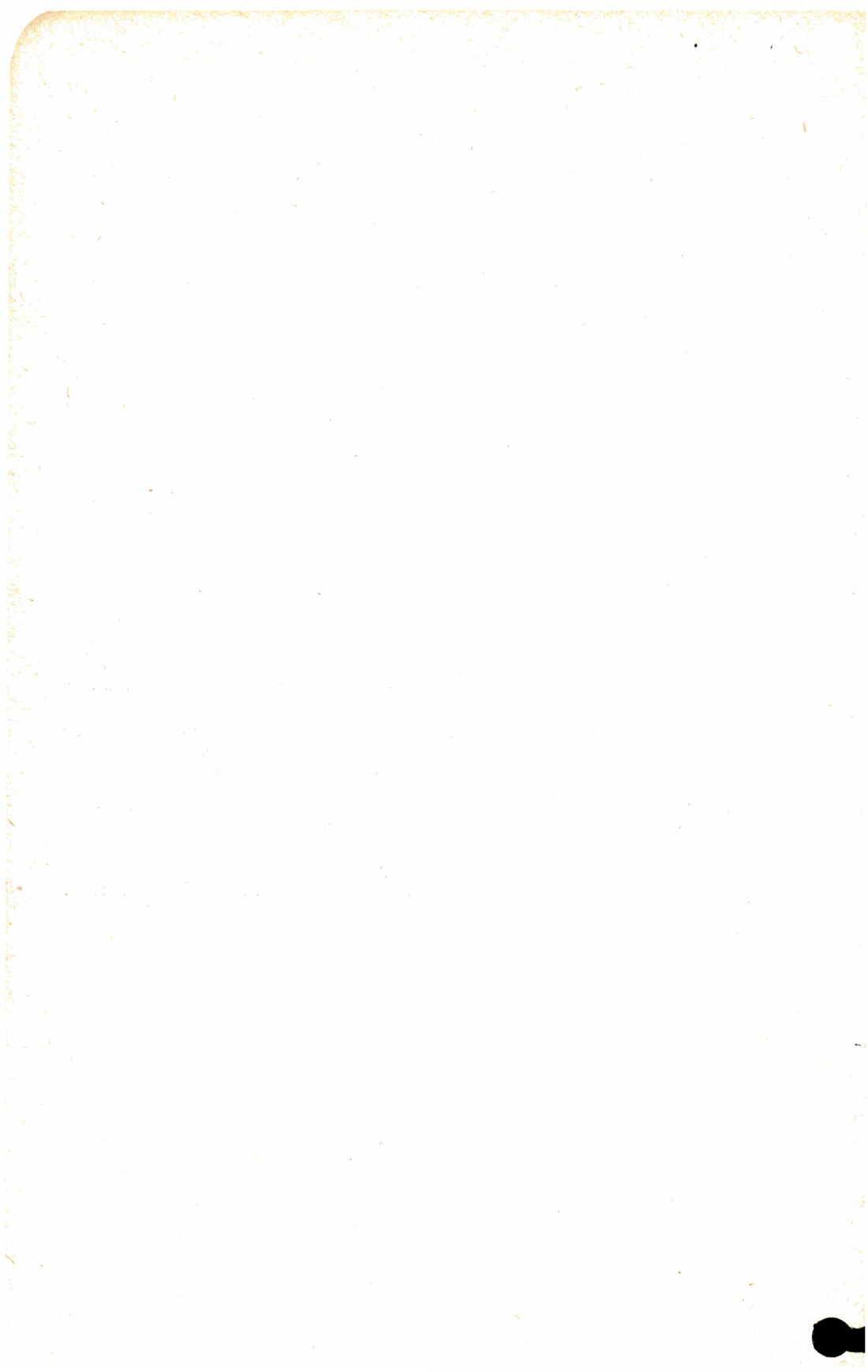
2. Any instrument or document executed by the Commissioner purportedly under the authority of this delegation shall be conclusive evidence of the authority of the Commissioner to act for the Administrator in executing such instrument or document.

3. This delegation of authority supersedes the delegations to the Commissioner, Community Facilities and Special Operations, and the Director, Special Operations Branch, effective October 3, 1952 (17 F. R. 8885, October 3, 1952).

Effective as of the 12th Day of May 1955.

ALBERT M. COLE,

Housing and Home Finance Administrator



**2. REDELEGATION OF AUTHORITY WITH RESPECT TO CERTAIN CLAIMS
HELD BY SECRETARY OF INTERIOR UNDER ALASKA PUBLIC WORKS ACT**

[29 F.R. 13580, 10-2-64]

The Community Facilities Commissioner is hereby authorized to execute the functions, powers, and duties vested in the Secretary of the Interior, and delegated to the Housing and Home Finance Administrator, with respect to the collection, compromise, or release of claims or obligations arising from agreements entered into by the United States of America under section 5 of the Alaska Public Works Act, as amended (63 Stat. 627, as amended; 48 U.S.C. 486).

(Delegation of Authority from Secretary of Interior to Housing and Home Finance Administrator effective April 17, 1964, 29 F.R. 5516, April 24, 1964)

Effective as of the 2nd day of October, 1964.

Robert C. Weaver
Housing and Home Finance Administrator

3. REDELEGATION TO REGIONAL ADMINISTRATOR, REGION VI, WITH RESPECT TO CERTAIN CLAIMS HELD BY SECRETARY OF INTERIOR UNDER ALASKA PUBLIC WORKS ACT

[30 F.R. 2628, 2-27-65]

The Regional Administrator, Region VI (San Francisco), Housing and Home Finance Agency, in carrying out the functions of the Secretary of the Interior under section 5 of the Alaska Public Works Act, as amended (63 Stat. 628, as amended, particularly by Public Law 88-229; 48 U.S.C. 486c), is hereby authorized:

1. To collect, compromise, or release any claim against or obligation of an Alaska public body held by the Secretary of the Interior in connection with a Federal agreement providing public works for such public body.

2. To redelegate to the Director for Northwest Operations, Region VI, at Seattle, Washington, any of the authority herein redelegated.

(Delegation of authority from Secretary of Interior to Housing and Home Finance Administrator effective April 17, 1964 (29 F.R. 5516, April 24, 1964))

Effective as of the 1st day of February 1965.

Robert C. Weaver
Housing and Home Finance Administrator

1. DELEGATION OF AUTHORITY WITH RESPECT TO PREFABRICATED HOUSING LOAN PROGRAM

[20 Fed. Reg. 3241]

1. The Community Facilities Commissioner (hereinafter called "Commissioner") is hereby delegated the authority to exercise the powers and functions relating to the Prefabricated Housing Loan Program vested in the Housing and Home Finance Administrator (hereinafter called "Administrator") under the provisions of Reorganization Plan No. 23 of 1950, 64 Stat. 1279-80; the Independent Offices Appropriation Act, 1952, 65 Stat. 268, 287-8 (1951), (12 U. S. C. 1701g-4); the Defense Housing and Community Facilities and Services Act of 1951, 65 Stat. 293, 295, 311-2 (1951), as amended, 42 U. S. C. 1591c, 12 U. S. C. 1701g, 1701g-1 to 1701g-3; and the Independent Offices Appropriation Act, 1955, 68 Stat. 272, 295-6 (1954), 12 U. S. C. 1701g-5; except the authority to:

- a. Authorize new or increased commitments of loan funds;
- b. Amend or modify loan authorizations or any requirement or condition therein where such action may materially affect adversely the interests of the Administrator;
- c. Consent to the release or substitution of collateral where such action may materially affect adversely the interests of the Administrator;
- d. Determine the rate of interest on loans;
- e. Issue notes or other obligations to, or for purchase by, the Secretary of the Treasury; and
- f. Exercise the powers under subsections 402 (a) or 402 (b) of the Housing Act of 1950, 64 Stat. 48, 78-9 (1950), 12 U. S. C. 1749a, granted to the Administrator by section 502 of the Defense Housing and Community Facilities and Services Act of 1951, 65 Stat. 312, as amended, 12 U. S. C. 1701g-2, or the powers to prescribe rules and regulations or to sue and be sued under subsection 402 (c) of the said Housing Act of 1950, 64 Stat. 79-80, 12 U. S. C. 1749a.

2. Any instrument or document executed by the Commissioner purportedly under the authority of this delegation shall be conclusive evidence of the authority of the Commissioner to act for the Administrator in executing such instrument or document.

3. This delegation of authority supersedes the delegations to the Commissioner, Community Facilities and Special Operations, and the Director, Special Operations Branch, effective December 22, 1951 (16 F. R. 12918, December 22, 1951).

Effective as of the 12th day of May 1955.

ALBERT M. COLE,
Housing and Home Finance Administrator

2. DELEGATION OF AUTHORITY TO TAKE CERTAIN ACTIONS IN CONNECTION WITH CERTAIN PREFABRICATED HOUSING LOANS

[17 F. R. 11454, 11455 (1952)]

1. The Regional Representative and the Regional Administrative Officer, Region VII, Office of the Administrator, Housing and Home Finance Agency, San Francisco, California, and each of them together with their respective duly appointed successors in office, is hereby authorized to take the following actions on my behalf in connection with any loan assigned to said Regional Representative for disbursing, servicing, and collection and which has been authorized by me for the purpose of providing financial assistance for the production or distribution of prefabricated houses or housing components, for related purposes, or for modernized site construction, namely:

- a. To authorize disbursement of funds pursuant to any such loan;
- b. To release to Borrower insurance funds representing payments on insured losses, and to endorse without representation, recourse or warranty checks received in payment thereof;
- c. To consent to or approve of any matter concerning which Borrower's Loan Agreement, or any other agreement of Borrower, requires the prior written consent of the Administrator with respect to (1) increases in compensation, salaries, commissions, bonuses and gratuities; (2) employment of personnel at salaries in excess of those specified; (3) withdrawal of funds, net profits or net earnings; (4) declaration or payment of dividends or distribution or issuance of capital stock or changes in capitalization; or (5) purchase or acquisition of fixed assets or capital improvements in excess of amount stipulated;
- d. To make bookkeeping corrections of accounts with Borrower in connection with erroneous overpayments or underpayments and to make such remittances or demand such additional payments as may be necessary to effect the corrections, provided that such corrections do not involve any compromise or settlement;
- e. To approve ultimate investors or permanent mortgagees making permanent conventional mortgage loans (not insured by Federal Housing Administration) and to accept and release collateral on the basis of satisfactory commitments from ultimate investors or permanent mortgagees so approved or approved by Federal Housing Administration;
- f. To determine the qualifications of Borrower's Engineer and other parties whose certifications are to be submitted in connection with loan disbursements, and approve or reject certifications on the basis thereof;
- g. To take whatever other action or give whatever other approval or consent may be authorized herein, expressly or by implication, in accordance with and as limited by instructions and all amendments thereto, heretofore or hereafter issued by the undersigned or any of his duly authorized agents or officers in connection with any such

loan (hereinafter referred to as "Instructions" and designated in loan documents as "Disbursement and Servicing Terms and Conditions" or as "Disbursement Procedures" or with some other similar title), in order to effect or complete any such authorized action, approval or consent excluding, however, any acceleration of the loan, unauthorized release or substitution of collateral, extension of time for payment of principal or interest, forgiveness or waiver of any default or breach of covenant, or institution of or participation in any judicial proceedings, reorganization plans or assignments for the benefit of creditors;

h. To take all actions delegated in the Power of Attorney, a copy of which is annexed hereto as Appendix A, to the extent authorized herein and in accordance with and as limited by Instructions: *Provided*, That any party relying upon said Power of Attorney shall not be obligated to look to or determine the Regional Representative's or Regional Administrative Officer's compliance with this Delegation of Authority or the Instructions: *Provided*, That the foregoing delegations of authority shall be subject to:

i. A determination by the Regional Representative or Regional Administrative Officer that such consent, approval, or action will not materially affect adversely the interest of this Agency or increase the amount of the Loan Authorization, with respect to the exercise of the powers delegated in paragraphs b, c, d, e, g and h above;

ii. The condition that no such consent, approval or action shall require or have the effect of amending or modifying the Loan Authorization, any amendments thereto, the provisions of any note or collateral, or the Instructions, but shall come within the terms, conditions and limitations thereof.

2. The powers herein delegated to the aforesaid officers and their respective successors in office may not be delegated or redelegated by them, or any of them.

Effective as of the 18th day of December 1952.

RAYMOND M. FOLEY,
Housing and Home Finance Administrator

APPENDIX A

POWER OF ATTORNEY

Know all men by these presents, that Raymond M. Foley, Housing and Home Finance Administrator, does hereby nominate, constitute and appoint M. Justin Herman, Regional Representative, and Kirke M. Decker, Regional Administrative Officer, both Region VII, Office of the Administrator, Housing and Home Finance Agency, San Francisco, California, and each of them and their respective duly appointed successors in office, his true and lawful attorney for him and in his name, place and stead, in connection with any loan for the production or distribution of prefabricated houses or housing components, for related purposes, or for modernized site construction, as authorized by Title V of the Defense Housing and Community Facilities and Services Act of 1951 (Pub. Law 139, 82d Cong.; 65 Stat. 293, 311; 12 U.S.C., 1946 ed. Sup. V 1701g-4).

1. To assign, reassign, reconvey, endorse, and transfer without representation, recourse, or warranty, and surrender, satisfy, discharge, release, subordinate and cancel, or accomplish any of them in whole or in part: notes; checks; drafts; bonds; real estate mortgages and deeds of trust; contracts for the sale of prefabricated houses, housing components, sections or panels; chattel mortgages; beneficial interest under trust instruments; leases; accounts receivable; inventory liens; warehouse receipts; policies of insurance or rights thereunder; policies guaranteeing or insuring real estate titles, mortgages and deeds of trust, or any of them, or rights thereunder; and indemnity or surety bonds or rights thereunder; all or any of which may be assigned or endorsed to or held by Housing and Home Finance Administrator, or by the aforesaid Regional Representative in behalf of said Administrator.

2. To assent to or request any such abovementioned assignment, re-assignment, reconveyance, transfer, surrender, satisfaction, discharge, release, subordination, and cancellation, or any of them in whole or in part.

3. In connection with deeds of trust or other trust instruments or agreements under which the Administrator is a beneficiary or assignee of beneficiary, or where the Administrator, or Regional Representative, is a holder of any note, notes, bonds, instrument or instruments issued pursuant thereto or secured thereby: (a) To accept or join with others in the acceptance of resignations of trustee or trustees; (b) to remove or join with others in the removal of any trustee or trustees; (c) to select and designate persons or corporations as original substitute or successor trustee or trustees; and (d) to appoint, consent to or approve of the appointment, or join with others in the appointment, consent to or approval of appointment of substitute or successor trustee or trustees.

Further giving and granting unto his said attorneys, and each of them, full power and authority to do and to perform all and every act and thing requisite, necessary and proper to be done for the purpose of effecting the granted powers, including, but without limiting the generality of the foregoing, the execution and delivery of release deeds, satisfaction pieces, requests for full reconveyance, assignments, discharges, subordinations and such other documents as may be appropriate or necessary to effectuate the foregoing, hereby ratifying and confirming all that said attorneys, or either of them, shall lawfully do or cause to be done under this power.

All documents and instruments executed pursuant to this Power of Attorney shall be signed in the following form:

HOUSING AND HOME FINANCE ADMINISTRATOR,

By _____
*Housing and Home Finance Agency, His
 Attorney-in-Fact.*

with insertion therein of official title of attorney in the space provided under the signature.

The Power of Attorney shall continue in force until revoked by a revocation recorded in Santa Clara County, California, and in any other county where this Power may be recorded, provided always that any revocation shall not prejudice or affect anything lawfully done or cause to be done by either said attorney prior to the recording of any such revocation hereof.

The powers herein granted may not be delegated or redelegated.

In witness whereof, Raymond M. Foley, Housing and Home Finance Administrator, has caused this Power of Attorney to be executed on his behalf, and the seal of said Administrator to be affixed hereto, this 12th day of December 1952.

RAYMOND M. FOLEY,
Housing and Home Finance Administrator

3. DELEGATION OF AUTHORITY TO REGIONAL ADMINISTRATOR, REGION VI, WITH RESPECT TO MANAGEMENT CONTRACT WITH ALASKA STATE HOUSING AUTHORITY UNDER PREFABRICATED HOUSING LOAN PROGRAM

The Regional Administrator, Region VI (San Francisco), Housing and Home Finance Agency, is hereby authorized:

1. To exercise the functions, powers, and duties of the Government, including those specified for performance by the Community Facilities Commissioner, under the management contract dated December 1, 1964, as amended, between the United States of America (acting through the Housing and Home Finance Administrator and signed by the Community Facilities Commissioner) and the Alaska State Housing Authority concerning the Aleutian Homes prefabricated housing project, Kodiak, Alaska.

2. To redelegate to the Director for Northwest Operations, Region VI, at Seattle, Washington, any of the authority herein delegated.

(Defense Housing and Community Facilities and Services Act of 1951, as amended, 42 U.S.C. 1591c, 12 U.S.C. 1701g, 1701g-1 to 1701g-3; Independent Offices Appropriation Act, 1955, 12 U.S.C. 1701g-5; section 502(a) of Housing Act of 1948, as amended, 12 U.S.C. 1701c)

Effective as of the 1st day of October 1965.

Robert C. Weaver
Housing and Home Finance Administrator

Part 5. Delegations of Authority by Housing and Home Finance Administrator

Chapter 9. Housing for the Elderly

1. DELEGATION OF AUTHORITY WITH RESPECT TO LOANS FOR HOUSING FOR THE ELDERLY

[26 F.R. 4346]

1. The Community Facilities Commissioner is hereby authorized:

(a) To execute the powers and functions vested in the Housing and Home Finance Administrator under section 202 of the Housing Act of 1959 (73 Stat. 667, 12 U.S.C. 1701q) except (1) the power to determine the rate of interest on loans and (2) the power to sue and be sued.

(b) The redelegate to one or more employees under his jurisdiction any of the authority herein delegated except the power to authorize loans.

2. The delegation to the Director, Division of Housing for the Elderly, effective October 12, 1960 (25 F.R. 9932, October 18, 1960), and the designations of Acting Director, Division of Housing for the Elderly, effective October 12, 1960, and January 30, 1961 (25 F.R. 9932, October 18, 1960, and 26 F.R. 1202, February 10, 1961); are hereby revoked.

Effective as of the 14th day of May 1961.

JACK T. CONWAY
Acting Housing and Home Finance Administrator

2. DELEGATION OF AUTHORITY TO REGIONAL ADMINISTRATORS WITH RESPECT TO LOANS FOR HOUSING FOR THE ELDERLY OR HANDICAPPED

[30 F.R. 6555, 5-12-65]

Each Regional Administrator of the Housing and Home Finance Agency is hereby authorized under section 202 of the Housing Act of 1959, as amended (73 Stat. 667, as amended, 12 U.S.C. 1701q):

1. To execute loan agreement and regulatory agreements and amendments or modifications of loan agreements and regulatory agreements.

2. To authorize an increase of not to exceed 10 percent in the amount of the loan and to authorize such amendment of the loan agreement as is necessary to effectuate the authorized increase in the amount of the loan.

3. To execute amendments or modifications of notes, mortgages, and other collateral security instruments.

4. To redelegate to the Regional Director of Community Facilities the authority delegated herein except the authority to authorize an increase in the amount of the loan.

5. In the case of the Regional Administrator, Region VI (San Francisco), to redelegate to the Director for Northwest Operations, Region VI, at Seattle, Washington, any of the authority delegated herein.

This delegation supersedes the delegation effective May 5, 1964 (29 F.R. 5921, May 5, 1964).

(62 Stat. 1283 (1948), as amended by 64 Stat. 80 (1950), 12 U.S.C. 1701c)

Effective as of the 8th day of July 1964.

Robert C. Weaver
Housing and Home Finance Administrator

1. DELEGATION OF AUTHORITY TO PUBLIC HOUSING COMMISSIONER ¹

[13 F.R. 4612-4613 (1953)]

* * *

1. The Public Housing Commissioner is hereby authorized, subject to the supervision of the Housing and Home Finance Administrator:

a.² To execute the powers and functions vested in the Administrator under the provisions of Public Laws 781 and 849 (76th Cong.), as amended, and Public Laws 9, 73, and 353 (77th Cong.), as amended, and of Title II of Public Law 266 (81st Cong.), including the power to make findings and determinations thereunder; and powers and functions vested in the Administrator as a result of Reorganization Plan No. 17 of 1950 (64 Stat. 1269) over and relative to those Public Works Projects undertaken under Title II of Public Law 849, as amended, and equipment therefor which are listed in the Appendix to this delegation or as said Appendix may from time to time be amended;

b.³ To execute the powers and functions vested in the Administrator in connection with the revolving fund established under the heading "Housing and Home Finance Agency, Office of the Administrator, revolving fund (liquidating programs)" in Title II of the Independent Offices Appropriation Act, 1955, with respect to any functions heretofore or hereafter delegated to the Public Housing Commissioner or otherwise vested in the said Commissioner;

c. With respect to powers and functions delegated in subparagraph "a" and powers and functions otherwise vested in the Commissioner by or pursuant to law, to execute the powers and functions vested in the Administrator pursuant to the provisions of the First War Powers Act, 1951, the act of August 7, 1946 (Pub. Law 657, 79th Cong.), and the Contract Settlement Act of 1944, as such acts have been or may be amended, including the power to make findings, determinations, and settlements thereunder; and

d. To redelegate any of the authority herein delegated to and vested in the Commissioner to such officers and employees of the Public Housing Administration as he may select.

2. Any instrument or document executed by the Public Housing Commissioner, or by any officer or employee to whom the authority has been redelegated, purporting to relinquish or transfer any rights, title, or interest in or to real or personal property under the authority of this delegation shall be conclusive evidence of the authority of such Commissioner, officer or employee to act for the Housing and Home Finance Administrator in executing such instrument or document.

¹ Excerpt from Organization Description, Including Delegations of Final Authority, published in the Federal Register of January 21, 1950, as amended August 5, 1953. Subsequently amended May 5, 1954 (19 Fed. Reg. 2599); July 1, 1954, 19 Fed. Reg. 4115; June 1, 1955, 20 Fed. Reg. 3837; and Jan. 1, 1957, 22 Fed. Reg. 12.

² Subparagraph 1(a) amended to read as set forth in the text effective May 5, 1954, 19 Fed. Reg. 2599.

³ Subparagraph 1(b) inserted effective July 1, 1954, 19 Fed. Reg. 4115.

3. There are hereby transferred to the Public Housing Administration, to be used and employed in connection with the powers and functions herein delegated over and relative to the Public Works Projects and equipment listed in the Appendix hereto (as it may from time to time be amended), the records now being used or held by the Office of the Administrator, Housing and Home Finance Agency, in connection with such Projects and equipment.

* * *

Effective as of the 5th day of August 1953.

ALBERT M. COLE,
Housing and Home Finance Administrator

APPENDIX

PUBLIC WORKS PROJECTS UNDERTAKEN UNDER TITLE II OF PUBLIC LAW 849 (76th CONG.), AS AMENDED (SO-CALLED LANHAM ACT), AND EQUIPMENT THEREFOR, RESPONSIBILITY FOR WHICH IS TRANSFERRED TO THE PUBLIC HOUSING COMMISSIONER

Region II

(1) Conn. 6-216-F, Windsor Locks, Conn. (Sewer main connecting PHA Projects No. Conn. 6151, 6152 and 6081 to Windsor Locks sewer system.)

(2) Maine 17-146-F, South Portland, Maine. (Combined sewer to serve PHA Project No. Maine 17033.)

(3) N. Y. 30-210-F, Mineville, N. Y. (Water and sewer facilities to serve PHA Project No. N. Y. 30102.)

(4) Del. 7-108-F, Wilmington, Del. (Water facilities to serve PHA Project No. Del. 7035.)

(5) Md. 18-153-F, Cabin John, Md. (Sewer facilities to serve PHA Projects No. Md. 18131 and 18132.)

(6) Md. 18-205-F, Indian Head, Md. (Sewer facilities to serve PHA Project No. Md. 18272.)

(7) Md. 18-206-F, Indian Head, Md. (Water line, electric power line, and access road to serve PHA Project No. Md. 18272.)

(8) N.C. 31-229-F, Wilmington, N. C. (Sewer facilities to serve PHA Project No. N. C. 31027.)

Region IV

(9) Ohio 33-227-F, Windham, Ohio. (Sewer and water facilities to serve PHA Project No. Ohio 33049.)

2. DELEGATION OF AUTHORITY WITH RESPECT TO EMERGENCY HOUSING PROPERTIES

[25 F. R. 2654]¹

1. The Director, Community Disposition Program, is hereby authorized to execute the powers and functions vested in the Housing and Home Finance Administrator under the provisions of Public Law 781, 76th Cong. (54 Stat. 883); Public Law 849, 76th Cong., as amended (Lanham Act, as amended, 42 U.S.C. 1521), and Reorganization Plan No. 17 of 1950 (64 Stat. 1269); Public Laws 9, 73, and 353, 77th Cong., as amended (55 Stat. 14, 198, and 818, as amended); and Title II of Public Law 266, 81st Cong. (63 Stat. 659).

2. Any instrument or document executed by the Director, Community Disposition Program, purporting to relinquish or transfer any rights, title, or interest in or to real or personal property under the authority of this delegation shall be conclusive evidence of the authority of such Director to act for the Housing and Home Finance Administrator in executing such instrument or document.

3. The Director, Community Disposition Program, is further authorized to execute contracts for necessary expenditures (other than for purely personal services) in connection with emergency housing properties involved under paragraph 1, as authorized under the heading "Housing and Home Finance Agency, Office of the Administrator, revolving fund (liquidating programs)" in Title II of the Independent Offices Appropriation Act, 1955 (12 U.S.C. 1701g-5).

4. The Director, Community Disposition Program, is empowered to authorize the publication in newspapers of advertisements, notices, or proposals in connection with these properties (in compliance with 44 U.S.C. 322 and 324 and 7 GAO 5200).

Effective as of the 26th day of April 1960.

NORMAN P. MASON
Housing and Home Finance Administrator

¹ Amended effective April 26, 1960, 25 Fed. Reg. 4521.

1. DELEGATION OF AUTHORITY WITH RESPECT TO DISPOSITION OF CERTAIN GOVERNMENT-OWNED PROPERTY AT AEC COMMUNITIES OF OAK RIDGE, TENNESSEE; RICHLAND, WASHINGTON; AND LOS ALAMOS, NEW MEXICO

[28 F.R. 4777, 5/11/63]

The delegation of authority with respect to the disposition of certain Government-owned property at the AEC communities of Oak Ridge, Tennessee, and Richland, Washington, as revised effective December 10, 1962 (28 F.R. 195, 1/8/63), is hereby revised to read as follows:

1. The Director, Community Disposition Program, is hereby authorized to execute the powers, functions, and duties transferred to the Housing and Home Finance Administrator under Executive Order 10657 of February 14, 1956 (21 F.R. 1063, 2/16/56), as amended by Executive Order 10734 of October 17, 1957 (22 F.R. 8275, 10/22/57), and Executive Order 11105 of April 18, 1963 (28 F.R. 3909, 4/20/63), with respect to the disposition of certain Government-owned property at the Atomic Energy Commission communities of Oak Ridge, Tennessee, Richland, Washington, and Los Alamos, New Mexico, pursuant to the Atomic Energy Community Act of 1955, as amended (42 U.S.C. 2301), except the Housing and Home Finance Administrator's power to make the finding required under section 51 of the Act (42 U.S.C. 2341).

2. The Field Director (Community Disposition) and the Liaison Officer (Community Disposition) each is hereby authorized on behalf of the Housing and Home Finance Administrator to:

a. Execute any deed, contract to purchase (installment contract of purchase), offer, acceptance, or other form of contract of sale, or other instrument, in connection with the disposition of the Government's interest in property at such communities, or lease of such property.

b. Make the finding concerning the availability of financing on reasonable terms from sources other than the Housing and Home Finance Agency pursuant to section 62 of the Atomic Energy Community Act of 1955, as amended (42 U.S.C. 2362), in connection with the disposition of the Government's interest in such property.

c. Endorse any checks or drafts in payment of insurance losses on which the United States of America, acting by and through the Housing and Home Finance Administrator, his successors, or assigns, is a payee (joint or otherwise) in connection with the disposition of the Government's interest in property at such communities or lease of such property.

3. The Director, Community Disposition Program, the Field Director (Community Disposition), and the Liaison Officer (Community Disposition), each is hereby authorized to execute any contract for advertising in connection with the disposition of such property, under Rev. Stat. 3828, 44 U.S.C. 324.

(Sec. 4 of E.O. 10657, 21 F.R. 1063 (2/16/56); sec. 12 of P.L. 600, 79th Cong. (5 U.S.C. 22a(3)))

Effective as of the 11th day of May, 1963.

ROBERT C. WEAVER

Housing and Home Finance Administrator

3. DESIGNATION OF ACTING FIELD DIRECTOR (COMMUNITY DISPOSITION)

[28 F.R. 4777, 5/11/63]

George Gregory Moen, Realty Specialist, is hereby designated to serve as Acting Field Director (Community Disposition) during the absence of the Field Director (Community Disposition), with all the powers, functions, and duties delegated or assigned to the Field Director (Community Disposition).

The designation of Acting Field Director (Community Disposition), effective December 10, 1962 (28 F.R. 195, 1/8/63), and the designation as Acting Community Disposition Supervisor, Oak Ridge, Tennessee, effective October 17, 1959 (24 F.R. 8451, 10/17/59), are hereby revoked.

(62 Stat. 1283 (1948), as amended by 64 Stat. 80 (1950), 12 U.S.C. 1701c)

Effective as of the 11th day of May, 1963.

ROBERT C. WEAVER
Housing and Home Finance Administrator

4. DESIGNATION AND DELEGATION OF AUTHORITY WITH RESPECT TO APPRAISAL OF CERTAIN FEDERAL PROPERTY IN COULEE DAM AND GRAND COULEE AREAS, STATE OF WASHINGTON

[22 Fed. Reg. 7777]

The Federal Housing Commissioner is hereby designated and, as the designee of the Housing and Home Finance Administrator, is hereby authorized to exercise the power vested in the Administrator under section 5 of the Coulee Dam Community Act of 1957 (Public Law 85-240) to determine the appraised values of certain Federal property in the Coulee Dam and Grand Coulee areas, State of Washington, at the request of the Secretary of the Interior.

Effective as of the 19th day of September, 1957.

WALKER MASON,
Acting Housing and Home Finance Administrator

5. DESIGNATION AS APPRAISERS TO DETERMINE APPRAISED VALUE OF CERTAIN FEDERAL PROPERTY AT BOULDER CITY, NEVADA

[23 Fed. Reg. 7609]

The appraisers of the Federal Housing Administration under the direction of the Federal Housing Commission¹ are hereby designated as appraisers to determine the appraised value of certain Federal property at Boulder City in the State of Nevada at the request of the Secretary of the Interior, pursuant to section 3 (d) of the Boulder City Act of 1958 (Public Law 85-900).

* * *

Effective as of the 26th day of September 1958.

WALKER MASON,
Acting Housing and Home Finance Administrator

¹The words "Federal Housing Commission" were corrected to read "Federal Housing Commissioner" in 23 Fed. Reg. 7714, October 4, 1958.

**6. REDELEGATION OF AUTHORITY WITH RESPECT TO GREENTOWN
PROJECTS AND SUBSISTENCE HOMESTEADS**

[29 F.R. 13226, 9-23-64]

The Director, Community Disposition Staff, is hereby authorized to execute the functions, powers, and duties vested in the Public Housing Commissioner with respect to greentown projects and subsistence homesteads under the Act of June 29, 1936, 49 Stat. 2035; the Act of May 19, 1949, 63 Stat. 68; section 4(b) of Reorganization Plan No. 3 of 1947, 61 Stat. 955 (5 U.S.C. 133y—133y-16 note); and any other law or executive order relating to or affecting the said functions, powers, and duties.

(Public Housing Commissioner's delegation of authority to Housing and Home Finance Administrator effective August 29, 1964, 29 F.R. 12596, September 4, 1964)

Effective as of the 23d day of September 1964.

Robert C. Weaver
Housing and Home Finance Administrator

**1. DELEGATION OF AUTHORITY WITH RESPECT TO URBAN MASS
TRANSPORTATION**

[29 F. R. 16879, 12-9-64]

1. The Assistant Administrator (Transportation) is hereby authorized to execute the powers and functions vested in the Housing and Home Finance Administrator under:

(a) The Urban Mass Transportation Act of 1964 (78 Stat. 302-308, 49 U.S.C. 1601-1611) (including the authority under section 6 of the Act to execute contracts for mass transportation research, development, and demonstration projects);

(b) Section 202 of the Housing Amendments of 1955, as amended (42 U.S.C. 1492), with respect to undisbursed loan commitments for mass transportation made on or before July 8, 1964;

(c) Section 103(b) of the Housing Act of 1949, as amended (42 U.S.C. 1453(b)), with respect to the balance of funds obligated for mass transportation demonstration grants on or before July 8, 1964; except the power to:

- (1) Authorize loans and grants;
- (2) Determine the rate of interest on loans;
- (3) Approve the undertaking of mass transportation research, development, and demonstration projects.
- (4) Determine that there exists adequate comprehensive and transportation planning pursuant to sections 3(c), 4(a), and 5 of the Urban Mass Transportation Act of 1964.

2. The Assistant Administrator (Transportation) is further authorized to redelegate to one or more employees under his jurisdiction any of the authority herein delegated.

3. This delegation supersedes the delegation effective November 20, 1962 (27 F.R. 11441, 11/20/62).

(62 Stat. 1283 (1948), as amended by 64 Stat. 80 (1950), 12 U.S.C. 1701c)

Effective as of the 9th day of December 1964.

Robert C. Weaver
Housing and Home Finance Administrator

2. DESIGNATION OF ACTING ASSISTANT ADMINISTRATOR (TRANSPORTATION)

[28 F.R. 3183, 4/2/63]

The officer appointed to the position of Deputy Assistant Administrator (Transportation) is hereby designated to serve as Acting Assistant Administrator (Transportation), during the absence of the Assistant Administrator (Transportation), with all the powers, functions, and duties delegated or assigned to the Assistant Administrator (Transportation).

In the absence of the Deputy Assistant Administrator (Transportation), David J. Speck, Attorney-Adviser, Office of General Counsel, is hereby designated to serve as Acting Assistant Administrator (Transportation) with all the powers, functions, and duties delegated or assigned to the Assistant Administrator (Transportation).

This designation supersedes the designation effective December 13, 1962, (27 F.R. 12494, 12/18/62).

(62 Stat. 1283 (1948), as amended by 64 Stat. 80 (1950), 12 U.S.C. 1701c)

Effective as of the 28th day of March, 1963.

ROBERT C. WEAVER
Housing and Home Finance Administrator

3. DELEGATION OF AUTHORITY TO REGIONAL REPRESENTATIVES TO PERFORM FUNCTIONS IN CONNECTION WITH DEFENSE HOUSING AUTHORIZED UNDER HHFA REGULATION CR 3

[18 Fed. Reg. 6324 (1953)]

The delegation of authority to Regional Representatives effective May 8, 1953 (18 F. R. 2676) is amended to read as follows:

1. Each Regional Representative of the Office of the Administrator, Housing and Home Finance Agency, is hereby authorized, in his respective region, to take any action which it is necessary or appropriate for the Housing and Home Finance Administrator to take in the administration of Housing and Home Finance Agency Regulation CR 3 (as amended and revised July 18, 1952, 17 F. R. 6585, with any subsequent amendments thereto) with respect to releasing applicants or their successors from their obligations under CR 3:

- (a) To hold for rent structures containing one-family dwelling units,
- (b) To hold any dwelling units for sale, and
- (c) To exclusively offer any dwelling units to eligible defense workers.

2. Each Regional Representative is further authorized to redelegate to such officers or employees under his jurisdiction as he may designate any of the authority hereby delegated to him.

* * *

Effective as of the 2d day of October 1953.

ALBERT M. COLE,
Housing and Home Finance Administrator

1. DELEGATION OF AUTHORITY TO PUBLIC HOUSING COMMISSIONER

[16 F. R. 12236 (1951)]

The Public Housing Commissioner is hereby authorized, subject to my supervision, to execute the powers and functions vested in me under the provisions of title III of Public Law 139, 82d Congress, including the power to make findings and determinations thereunder, with respect to housing and to utilities at the site of, or in connection with, such housing. The Public Housing Commissioner is hereby further authorized to redelegate the authority delegated to him hereunder to such officers and employees of the Public Housing Administration as he may select.

Any instruments executed by the Public Housing Commissioner, or by any officer or employee to whom the authority has been redelegated, purporting to convey any rights, title, or interest in or to real or personal property under the authority of this section, shall be conclusive evidence of the authority of such Commissioner, officer, or employee to act for the Housing and Home Finance Administrator in executing such instruments.

Effective as of the 23d day of November 1951.

RAYMOND M. FOLEY,
Housing and Home Finance Administrator

2. DELEGATION OF AUTHORITY WITH RESPECT TO PERFORMANCE OF CERTAIN FUNCTIONS IN CONNECTION WITH APPROVED DEFENSE COMMUNITY FACILITIES PROJECTS

[17 F. R. 4469 (1952)]

1. Each Regional Representative of the Office of the Administrator Field Service, the Area Representative in charge of the Savannah River Area Office, and each person serving, pursuant to due authorization, as an Acting Regional Representative is hereby authorized to take the following actions, on behalf of the Administrator, in connection with defense community facilities projects to be financed in whole or in part by the Housing and Home Finance Agency under the authority of section 304, Title III, Public Law 139, 82nd Congress (Defense Housing and Community Facilities and Services Act of 1951, approved September 1, 1951) :

A. Execute offers to public and nonprofit agencies, for projects and in amounts approved by the Housing and Home Finance Administrator;

B. Execute waivers with respect to contracts resulting from acceptance of offers of the type described in subparagraph A above; and

C. Authorize payments under any contracts (including amendatory, supplementary and superseding contracts) resulting from acceptance of offers of the type described in subparagraph A above.

2. The authority hereby delegated shall be exercised under the general supervision of the Administrator and in conformity with applicable law, orders and regulations.

3. The authority herein delegated may not be redelegated.

Effective as of the first day of May 1952.

RAYMOND M. FOLEY,
Housing and Home Finance Administrator

**3. DELEGATION OF AUTHORITY WITH RESPECT TO ADMINISTRATION
OF TITLE IV OF DEFENSE HOUSING AND COMMUNITY FACILITIES
AND SERVICES ACT OF 1951**

[17 F. R. 2293]

1. The Director, Division of Slum Clearance and Urban Redevelopment, Office of the Administrator, Housing and Home Finance Agency, is hereby authorized:

A. To execute and carry out the powers and functions vested in the Housing and Home Finance Administrator under Title IV of the Defense Housing and Community Facilities and Services Act of 1951 (Pub. Law 139, approved September 1, 1951), including the power to administer the program authorized under such Title IV, with the exception, however, of (1) the power to obtain money from the Treasury of the United States under section 404 of such act, and (2) the approval of, and the allocation of funds for, any project to be undertaken pursuant to such Title IV; and

B. To redelegate any of the authority hereby delegated to and vested in the Director to such qualified officers and employees as he may select.

2. Any instrument or document executed by the Director, or by any officer or employee duly authorized through a redelegation of authority by the Director, purporting to convey any right, title or interest in or to real or personal property under the authority of this order, shall be conclusive evidence of the authority of such Director, officer or employee to act for the Housing and Home Finance Administrator in executing such instrument or document.

3. The authority hereby delegated shall be exercised under the general supervision of the Administrator and in conformity with applicable law, orders and regulations.

Effective this 15th day of March 1952.

RAYMOND M. FOLEY
Housing and Home Finance Administrator

4. DELEGATION OF AUTHORITY WITH RESPECT TO PERFORMANCE OF CERTAIN FUNCTIONS IN CONNECTION WITH APPROVED DEFENSE COMMUNITY FACILITIES PROJECTS

[18 Fed. Reg. 8813]

1. The Commissioner, Community Facilities and Special Operations¹ (hereinafter called "Commissioner"), is hereby authorized to take the following actions, on behalf of the Housing and Home Finance Administrator (hereinafter called "Administrator"), in connection with defense community facilities projects to be financed in whole or in part by the Housing and Home Finance Agency under the authority of Public Law 139, 82d Congress (Defense Housing and Community Facilities and Services Act of 1951, approved September 1, 1951, 42 U. S. C., 1946 ed. Sup. V 1591-1592o), as amended, or as it may be amended (hereinafter called the "Act"):

a. Waive compliance with special conditions in any contracts (including amendatory, supplementary and superseding contracts) with public and non-profit agencies, entered into under the authority of the Act for the financing of defense community facilities projects, where it is determined that the Government's interests will not thereby be jeopardized, and authorize payments under any such contracts;

b. Decrease the amount of any grant allotment, provided, however, that no major change in project scope is involved;

c. Approve changes in project financing involving increases in the amount of financial participation by the applicant;

d. Take all other actions requisite or needed in the administration of the program authorized under the Act with respect to the financing of defense community facilities projects, except the approval of proposed projects, the allocation of loan and grant funds therefor, and any actions which would result in an increase in the approved total project cost or in allocated loan or grant funds respectively, or in a major change in project scope; and

e. Redelegate any of the authority herein delegated to such officers and employees of the Office of the Administrator as he may select.

2. This delegation of authority is not intended to revoke, repeal or supersede in any way the delegation, effective May 1, 1952, to Regional Representatives, of authority to take various actions in connection with defense community facilities projects, which was published at 17 F. R. 4469 (May 15, 1952).

* * *

Effective this 29th day of December 1953.

ALBERT M. COLE,
Housing and Home Finance Administrator

¹ Amendment effective July 3, 1962 (27 F.R. 6294) changed "Commissioner, Community Facilities and Special Operations" to read "Community Facilities Commissioner".

1. DELEGATION OF AUTHORITY WITH RESPECT TO REVISED CMP REGULATION NO. 6 OF THE NATIONAL PRODUCTION AUTHORITY

[18 F. R. 123 (1953)]

1. The following officials of the Housing and Home Finance Agency are hereby delegated the authority of the Housing and Home Finance Administrator under Delegation No. 14 of the National Production Authority, as amended March 6, 1952, to authorize construction schedules, to make allotments of controlled materials, and to apply or assign to others the right to apply DO ratings and allotment numbers and symbols for procurement of building materials (other than controlled materials) and building equipment, in accordance with the provisions of Revised CMP Regulation No. 6, and to approve or disapprove applications for adjustment or exception under the provisions of Revised CMP Regulation No. 6, for the residential construction indicated below, subject to such instructions or directions as the Administrator may deem advisable:

a. To the Public Housing Commissioner and his designated representatives with respect to the construction of multiunit residential structures by Federal, State, and local public agencies.

b. To the Assistant Administrator, Plans and Programs, of the Housing and Home Finance Agency with respect to all other construction of multi-unit residential structures not included in subparagraph a. above and with respect to the construction of 1- through 4-family residential structures.

2. The CMP Appeals Board of the Housing and Home Finance Agency is hereby delegated authority to hear and determine appeals from administrative actions taken by the officials designated in paragraph 1 of this delegation and in connection therewith to grant such relief as may be deemed appropriate under the provisions of Revised CMP Regulation No. 6 to the extent permitted by the availability of controlled materials.

3. This delegation supersedes the delegation of authority to officials of the Housing and Home Finance Agency with respect to CMP Regulation No. 6, effective April 22, 1952 (17 F. R. 3567), which is hereby revoked.

Effective as of the 6th day of January 1953.

RAYMOND M. FOLEY,
Housing and Home Finance Administrator

1. DELEGATION TO DEPUTY ADMINISTRATOR TO APPROVE CERTAIN POSITION CLASSIFICATION AND PERSONNEL ACTIONS AND TO AUTHORIZE OR APPROVE TRANSFER EXPENSES

The Deputy Housing and Home Finance Administrator is hereby authorized, with respect to employment and other personnel matters within the central and field offices of the Office of the Administrator, the Community Facilities Administration, the Urban Renewal Administration, and the Federal Flood Indemnity Administration, and the HHFA Regional Offices, to take all position classification and personnel actions affecting wage board positions and employees and positions and employees in General Schedule grades, and to authorize or approve expenses of such employees and their immediate families on transfer from one official station to another for permanent duty.

* * *

Effective as of the 18 day of June, 1957.

ALBERT M. COLE,
Housing and Home Finance Administrator



24 CFR 12

March 16, 1971

John F. Kennedy



2. DELEGATION OF AUTHORITY TO TAKE CERTAIN POSITION CLASSIFICATION AND PERSONNEL ACTIONS; AUTHORITY TO REDELEGATE

1. The Assistant Administrator (Administration) and the Director of Personnel, Office of the Administrator, each is hereby authorized, with respect to matters within the central and field offices of the Office of the Administrator, the Community Facilities Administration, the Urban Renewal Administration, and the HHFA Regional Offices, to take final position classification and personnel actions affecting a wage board position or employee, or a position or employee in General Schedule grades, except when such action constitutes appointment to a position in General Schedule grade GS-12 or above or promotion to a position in General Schedule grade GS-10 or above or, in the case of the Director of Personnel, classification action affecting a position in General Schedule grade GS-15 or above.

2. The Director of Personnel is hereby authorized to redelegate to the Chief, Classification Branch, or a position classification specialist or classification operations assistant, any of the authority delegated to him under paragraph 1 above to take final position classification actions.

This delegation supersedes the delegation of authority effective August 4, 1961.

(12 U.S.C. 1701c; 5 U.S.C. 1102; 5 U.S.C. 22a)

Effective as of the 27th day of April 1964.

ROBERT C. WEAVER
Housing and Home Finance Administrator

3. DELEGATION OF AUTHORITY TO REGIONAL ADMINISTRATORS TO TAKE CERTAIN PERSONNEL AND POSITION CLASSIFICATION ACTIONS

Each Regional Administrator of the Housing and Home Finance Agency is hereby authorized:

1. To take final personnel action with respect to the appointment, position change, detail, or separation, of a wage board employee or an employee in General Schedule grades GS-1 through GS-12, except that prior Central Office approval is required for:

(a) a position change involving a change in official duty station to or from the Region.

(b) a detail to or from the Region.

(c) appointment or promotion to, or separation for cause from, a position of attorney or intern.

2. To take final classification action with respect to a position in General Schedule grades GS-1 through 7, or with respect to the establishment of an additional identical position to a position in General Schedule grades GS-8 through GS-12 which has been designated by the Central Office as appropriate for such establishment.

3. To take final classification action with respect to the change of title or series of a position in General Schedule grades GS-8 through GS-12 to conform to:

(a) standards issued by the Civil Service Commission.

(b) requirements of the Central Office Classification Branch resulting from its classification inspection or survey.

(c) requirements of the Civil Service Commission resulting from its classification inspection or survey, subject to prior approval of such classification action by the Central Office Classification Branch.

This delegation supersedes the delegation of authority effective April 27, 1964, pertaining to the same subject matter.

(12 U.S.C. 1701c; 5 U.S.C. 1102; 5 U.S.C. 38; and 5 U.S.C. 22a)

Effective as of the 9th day of August, 1965.

5. DELEGATION OF AUTHORITY TO ORDER OR APPROVE OFFICIAL OVERTIME WORK OR TO REQUIRE WORK ON A HOLIDAY

Each of the following listed officers in the Office of the Administrator is hereby authorized to order or approve official overtime work, or to require work on a holiday designated by Federal statute or Executive Order, by full-time employees working under his supervision :

1. Community Facilities Commissioner.
2. Urban Renewal Commissioner.
3. Deputy Administrator.
4. General Counsel.
5. Assistant Administrator (Administration).
6. Assistant Administrator (Community Programs).
7. Assistant Administrator (Housing for Senior Citizens).
8. Assistant Administrator (International Housing).
9. Assistant Administrator (Metropolitan Development).
10. Assistant Administrator (Program Policy).
11. Assistant Administrator (Public Affairs).
12. Assistant Administrator (Transportation).
13. Director, Compliance Division.
14. Director, Community Disposition Staff.
15. Director, Audit Division.

Each officer listed above is further authorized to redelegate any of the authority herein delegated to one or more employees under his administrative jurisdiction.

This delegation supersedes the delegation effective March 30, 1964.

(Secs. 201 and 302 of Federal Employees Pay Act of 1945, as amended, 5 U.S.C. 911 and 922; 5 CFR Part 25, Subpart C; Sec. 502(a) of Housing Act of 1948, as amended, 12 U.S.C. 1701c)

Effective as of the 16th day of July 1964.

Robert C. Weaver
Housing and Home Finance Administrator

**6. DELEGATION TO CHAIRMAN, OA INCENTIVE AWARDS COMMITTEE,
TO GRANT CASH AWARDS UNDER INCENTIVE AWARDS PROGRAM**

The Chairman, OA Incentive Awards Committee, is hereby authorized, under the Government Employees Awards Act, as amended (5 U.S.C. 2121-2123), and applicable regulations of the Civil Service Commission, to grant cash awards:

1. Not exceeding \$400 for suggestions;
2. Not exceeding \$300 for special acts or service;
3. Not exceeding \$500 for sustained superior service of employees in grades GS-1 through GS-13 in accordance with the following schedule:

Grade of Employee	Maximum Amount of Award
GS-1 through GS-8	\$200
GS-9 through GS-12	\$350
GS-13	\$500

when such suggestions, special acts or service, or sustained superior service benefit or affect the central or field offices of the Office of the Administrator, the Community Facilities Administration, the Urban Renewal Administration, or the Department of Housing and Urban Development Regional Offices.

This delegation supersedes the delegation effective October 2, 1965.

(Section 502(a), Housing Act of 1948, as amended, 12 U.S.C. 1701c)

Effective as of the 23 day of November 1965.

Robert C. Weaver
Housing and Home Finance Administrator

7. DELEGATION TO REGIONAL ADMINISTRATORS WITH RESPECT TO AWARDS UNDER THE INCENTIVE AWARDS PROGRAM

Each Regional Administrator is hereby authorized to grant cash awards in amounts not exceeding \$100 each for suggestions when such suggestion benefits or affects the operations of his Regional Office, pursuant to the provisions of Public Law 763, 83d Congress (5 U.S.C. 2121), and applicable regulations of the Civil Service Commission.

* * *

Effective as of the 24th day of October, 1957.

ALBERT M. COLE,
Housing and Home Finance Administrator

8. DELEGATION OF AUTHORITY TO EXECUTE LEASES AND CONTRACTS

[24 Fed Reg. 444]

The Director, Division of General Services, the Director, Property Management Branch, and the Executive Officer, Division of General Services, Office of the Administrator, Housing and Home Finance Agency, each is hereby authorized to execute leases and contracts (except for purely personal services).

This delegation of authority supersedes the delegation to the Director, General Services Branch, and to the Assistant to the Director, General Services Branch, effective July 14, 1955 (20 F.R. 5030).

* * *

Effective as of the 14th day of January 1959.

ALBERT M. COLE,
Housing and Home Finance Administrator

9. DELEGATION OF AUTHORITY WITH RESPECT TO BUY AMERICAN ACT

[25 F.R. 10483]

The Director, Division of General Services, the Director, Property Management Branch, the Executive Officer, Division of General Services, Office of the Administrator, and each HHFA Regional Administrator is hereby authorized within his jurisdiction to determine the nonapplicability of the Buy American Act of March 3, 1933, as amended, 41 U.S.C. 10a-10d, and to make determinations as to exceptions to the Act as follows:

1. *Nonapplicability.* To determine that particular articles, materials, or supplies of the class or kind to be acquired for public use or the articles, materials, or supplies from which they are manufactured are not mined, produced, or manufactured, as the case may be, in the United States in sufficient and reasonably available commercial quantities and of a satisfactory quality.

2. *Exceptions.* To determine under the Act and Executive Order 10582, dated December 17, 1954, 19 F.R. 8723, as a condition precedent to the purchase of materials of foreign origin for public use, that the price of like materials of domestic origin is unreasonable.

This delegation supersedes the delegation effective January 14, 1959.

Effective as of the 13th day of October 1960.

NORMAN P. MASON
Housing and Home Finance Administrator

9. DELEGATION OF AUTHORITY WITH RESPECT TO NONAPPLICABILITY OF BUY AMERICAN ACT TO PURCHASE OF CERTAIN SUPPLIES OF FOREIGN ORIGIN

The Director, Division of General Services, the Director, Property Management Branch, the Executive Officer, Division of General Services (OA, HHFA), and each HHFA Regional Administrator is hereby authorized within his jurisdiction (for the purpose of determining non-applicability of the provisions of the so-called Buy American Act, Title III of the Act of March 3, 1933, as amended, 41 U.S.C. 10a-d) to determine on behalf of the Housing and Home Finance Administrator that particular articles, materials, or supplies of the class or kind to be acquired for public use or the articles, materials, or supplies from which they are manufactured are not mined, produced, or manufactured, as the case may be, in the United States in sufficient and reasonably available commercial quantities and of a satisfactory quality, such determination to be in the following form:

“Corresponding articles, materials, or supplies are not mined, produced, or manufactured in the United States in sufficient and reasonably available commercial quantities and of a satisfactory quality.”

This delegation supersedes the delegation to the Director, General Services Branch, the Assistant to the Director, General Services Branch, and each HHFA Regional Administrator, effective January 31, 1958.

* * *

Effective as of the 14th day of January, 1959.

ALBERT M. COLE,
Housing and Home Finance Administrator

**10. DELEGATION TO DIRECTOR, GENERAL SERVICES BRANCH, OA,
TO EXECUTE CERTIFICATES OF NEED FOR SPACE**

The Director, General Services Branch, Office of the Administrator, is hereby authorized to execute, on behalf of the Housing and Home Finance Administrator, the certificates of need for space for permanent activities of the Housing and Home Finance Agency required to be submitted to the Administrator of General Services, for transmission to certain Congressional committees, by section 411(e)(3) of the Public Buildings Act of 1949, as amended (40 U.S.C. 356(e)(3)).

* * *

Effective as of the 19th day of April 1955.

ALBERT M. COLE,
Housing and Home Finance Administrator

11. DELEGATION OF AUTHORITY TO AUTHORIZE OR APPROVE TRAVEL ON PER DIEM BASIS; TO ISSUE AND ACCOUNT FOR UNITED STATES OF AMERICA TRANSPORTATION REQUESTS; AND TO AUTHORIZE ADVANCES OF TRAVEL FUNDS

1. The Assistant Administrator (Administration), the General Services Director and HHFA Building Coordinator, the Director, Property Management Branch, and the Executive Officer, Division of General Services, Office of the Administrator, Housing and Home Finance Agency, each is hereby authorized to authorize or approve travel on a per diem basis for the central and field offices of the Office of the Administrator, the Community Facilities Administration, the Urban Renewal Administration, and the HHFA Regional Offices.

2. The Director, Division of Finance and Accounts, and such employees of the Division of Finance and Accounts, Office of the Administrator, Housing and Home Finance Agency, as the Director, Division of Finance and Accounts, may designate, each is hereby authorized to issue and account for books of United States of America Transportation Requests in the custody of the Office of the Administrator.

3. The General Services Director and HHFA Building Coordinator, the Director, Property Management Branch, and the Executive Officer, Division of General Services, each is hereby authorized to issue and account for United States of America Transportation Requests assigned to the Division of General Services.

4. The Director, Division of Finance and Accounts, and each authorized Certifying Officer is hereby empowered to authorize advances of funds as deemed advisable for official travel and to take such action as is required to assure that funds so advanced are recovered.

5. This delegation supersedes the delegation effective January 14, 1959.

(Section 502(a), Housing Act of 1948, as amended, 12 U.S.C. 1701c; Standardized Government Travel Regulations, as amended; 5 GAO 2000)

Effective as of the 2d day of October 1965.

**12. DELEGATION OF AUTHORITY WITH RESPECT TO ENDORSEMENT
OF CHECKS OR DRAFTS**

The OA Fiscal Officer is hereby authorized to endorse checks or drafts on which the United States of America, acting by and through the Housing and Home Finance Administrator, his successors, or assigns, is a payee (joint or otherwise).

Effective as of the 20th day of December, 1957.

ALBERT M. COLE,
Housing and Home Finance Administrator

13. DELEGATION TO OA FISCAL OFFICER¹ TO ASSIGN AND SELL FHA DEBENTURES

The OA Fiscal Officer, Housing and Home Finance Agency, is hereby authorized to assign and sell to the Federal Housing Commissioner, for the account of the Housing and Home Finance Administrator, any Federal Housing Administration debentures of any series title to which is held by the Housing and Home Finance Administrator, the Housing and Home Finance Agency, or the Community Facilities Administration.

* * *

Effective as of the 13th day of December, 1957.

ALBERT M. COLE,
Housing and Home Finance Administrator

¹ See 5-15-16, which continues in effect to the Director, Division of Finance and Accounts, OA, delegations to the OA Fiscal Officer.

14. DELEGATION TO DIRECTOR, DIVISION OF FINANCE AND ACCOUNTS, TO EXECUTE CERTAIN AMENDMENTS TO NOTES HELD BY SECRETARY OF THE TREASURY (URBAN RENEWAL, COLLEGE HOUSING, AND PUBLIC FACILITY LOAN PROGRAMS)

The Director, Division of Finance and Accounts, Office of the Administrator, Housing and Home Finance Agency, is hereby authorized to execute, on behalf of the Housing and Home Finance Administrator, amendments reducing the principal amount of notes issued by the Administrator and purchased by and held by the Secretary of the Treasury pursuant to agreements between the Administrator and the Secretary of the Treasury under the following programs:

- Urban renewal loans, 42 U.S.C. 1452(e) and (f),
- College housing loans, 12 U.S.C. 1749(c), and
- Public facility loans, 42 U.S.C. 1493.

The Director, Division of Finance and Accounts, is authorized to execute such amendments when he determines that the principal amount of any such note is in excess of the current anticipated loan requirements under any particular program.

* * *

Effective as of the 27th day of January, 1959.

NORMAN P. MASON,
Housing and Home Finance Administrator

15. DELEGATION TO OA FISCAL OFFICER¹ WITH RESPECT TO ADJUSTMENT OF AMOUNT OF INTEREST ON LOANS OR ADVANCES

1. The OA Fiscal Officer, with respect to program accounts of the Office of the Administrator, the Community Facilities Administration, or the Urban Renewal Administration, and each Regional Administrator except the Regional Administrator, Region VII (Puerto Rico), with respect to program accounts of the Community Facilities Administration or the Urban Renewal Administration, is hereby authorized to adjust the amount of interest on the debt due the United States in the event that there is a repayment in full of a loan or advance and the final payment of interest is not more than \$2.00 greater or less than the proper amount, when in his opinion such adjustment is justified by reason of error, inadvertence, or deviation from prescribed procedure.

2. Each Regional Administrator is hereby authorized to redelegate to one or more employees under his jurisdiction the authority herein delegated.

* * *

Effective as of the 23d day of April, 1958.

ALBERT M. COLE,
Housing and Home Finance Administrator

¹ See 5-15-16.

16. CONTINUATION IN EFFECT OF DELEGATIONS TO OA FISCAL OFFICER

[23 Fed. Reg. 8270]

The delegations of authority heretofore made by the Housing and Home Finance Administrator to the OA Fiscal Officer¹ of the Office of the Administrator are continued in effect to the Director, Division of Finance and Accounts of the Office of the Administrator, Housing and Home Finance Agency.

Effective as of the 1st day of October 1958.

ALBERT M. COLE,
Housing and Home Finance Administrator

¹ For delegations to OA Fiscal Officer heretofore made see 5-2-4, 5-15-4, 5-15-12, 5-15-13, and 5-15-18.

5/15/59

17. DELEGATION OF AUTHORITY TO REGIONAL ADMINISTRATORS TO TAKE FINAL ACTION WITH RESPECT TO CERTAIN ADMINISTRATIVE MATTERS¹

1. Each Regional Administrator of the Housing and Home Finance Agency is hereby authorized to take the following actions with respect to administrative matters:

- a. Authorize or approve except on an actual subsistence expense basis: (1) official travel necessary in connection with regional activities by employees (except himself) under or detailed to his administrative jurisdiction; (2) travel expenses of new appointees, or of employees on transfer from one official station to another (including transfer from one department to another) for permanent duty, to or in positions up to and including General Schedule grade GS-12 under his administrative jurisdiction, and transportation expenses of the family, household goods, and personal effects of such an appointee or employee; and (3) travel expenses of employees in positions up to and including General Schedule grade GS-12 under his administrative jurisdiction en route to or from a detail to another region.
- b. Authorize advances of funds necessary for official travel and take such action as is required to assure that funds so advanced are recovered. (Sections 13.1 and 13.2 of Standardized Government Travel Regulations, as amended.)
- c. Issue and account for U. S. A. Transportation Requests. (5 GAO 2020.10.)
- d. Execute contracts and agreements for supplies, equipment, and services (except purely personal services) necessary for the operation and maintenance of field offices in the Region. (Section 502, Housing Act of 1948, as amended (12 U.S.C. 1701c).)
- e. Certify to the Civil Service Commission the accuracy of employee retirement accounts and records. (Page R5-95, CSC Federal Personnel Manual.)
- f. Certify to the necessity of official long-distance telephone calls placed through official telephone facilities. (Section 4 of Act of May 10, 1939 (31 U.S.C. 680a).)
- g. Certify to agreement or reconciliation of Treasury Statement of Transactions with the Agency's records. (7 GAO 7040.40.)
- h. Order or approve official overtime work or require work on a holiday designated by Federal statute or Executive order. (Sections 201 and 302, Federal Employees Pay Act of 1945, as amended (5 U.S.C. 911 and 922).)

¹ Delegation amended under paragraph 1 and subparagraph 1a by Amendment signed by Administrator Robert C. Weaver, April 27, 1964.

**Delegation to Regional Administrators to Take Final Action
With Respect to Certain Administrative Matters**

- i. Administer oaths required in connection with employment matters. (Section 206, Independent Offices Appropriation Act, 1944 (5 U.S.C. 16a).)
- j. Redesignate any of the authorities delegated in the foregoing items "a" through "i", in whole or in part, when such action is determined to be necessary for the efficient administration of the activities affected. (Section 502(a), Housing Act of 1948, as amended (12 U.S.C. 1701e).)

2. This delegation of authority supersedes the similar delegation to each Regional Administrator, dated November 16, 1955, and the amendments thereto, dated February 28, 1958, and March 24, 1958.

Effective this 13th day of October, 1959.

NORMAN P. MASON
Housing and Home Finance Administrator

**18. DELEGATION OF AUTHORITY TO REGIONAL ADMINISTRATORS
TO EXECUTE CERTAIN CONTRACTS AND AGREEMENTS WITH
RESPECT TO ADMINISTRATIVE MATTERS**

[22 Fed. Reg. 1876]

Each Regional Administrator of the Housing and Home Finance Agency (except the Regional Administrator, Region VII (Puerto Rico))¹ is hereby authorized to take the following actions with respect to administrative matters within the Region under his jurisdiction:

1. Execute contracts and agreements for supplies, equipment, and services (except purely personal services) necessary for the operation and maintenance of field offices in the Region, and

2. Redelegate to Regional Office officers or employees any of the authority herein delegated.

This delegation of authority supersedes the delegation effective August 14, 1953 (18 F.R. 6812, 10/28/1953).

Effective as of the 20th day of March, 1957.

ALBERT M. COLE,
Housing and Home Finance Administrator

¹ See 5-15-16.

19. CONTINUATION IN EFFECT OF CERTAIN DELEGATIONS TO REGIONAL REPRESENTATIVES

[19 Fed. Reg. 9305]

The delegations of authority heretofore made by the Housing and Home Finance Administrator to Regional Representatives of the Office of the Administrator are continued in effect to Regional Administrators¹ (including Acting Regional Administrators) of the Housing and Home Finance Agency.

Effective as of the 23d day of December 1954.

ALBERT M. COLE,
Housing and Home Finance Administrator

¹ See Housing Administrator's Reorganization Order No. 1, Vol. I, Section 2-1.3.

20. DELEGATION TO FIELD DIRECTOR (COMMUNITY DISPOSITION) TO TAKE ACTION WITH RESPECT TO CERTAIN ADMINISTRATIVE MATTERS

The Field Director (Community Disposition) is hereby authorized to take the following action with respect to administrative matters under his jurisdiction:

1. Order or approve official overtime work by employees. (Section 201, Federal Employees Pay Act of 1945, as amended, 5 U.S.C. 911)
2. Administer oaths required in connection with employment matters. (Section 206, Independent Offices Appropriation Act, 1944, 5 U.S.C. 16a)
3. Certify to the necessity of official long-distance telephone calls placed through official telephone facilities. (Section 4 of Act of May 10, 1939, 31 U.S.C. 680a)
4. Redelagate any of the authorities delegated under items 1 through 3 above. (Section 502(a), Housing Act of 1948, as amended, 12 U.S.C. 1701c)

The delegation to Community Disposition Supervisors effective May 10, 1956, is hereby revoked.

Effective as of the 10th day of December 1962.

Robert C. Weaver
Housing and Home Finance Administrator

21. DELEGATION OF AUTHORITY TO CERTIFY TO NECESSITY OF USE OF TELEPHONE FOR OFFICIAL LONG-DISTANCE CALLS; AUTHORITY TO REDELEGATE

The Director, Division of Finance and Accounts, Office of the Administrator, is hereby authorized to certify that the use of the telephone for official long-distance calls was necessary in the interest of the Government.

The Director, Division of Finance and Accounts, is further authorized to redelegate the authority herein delegated to one or more employees under his administrative jurisdiction.

(Section 4 of Act of May 10, 1939, (31 U.S.C. 680a) ; 7 GAO 5530.10; Section 502(a), Housing Act of 1948, as amended (12 U.S.C. 1701c))

Effective as of the 7th day of August, 1964.

Robert C. Weaver
Housing and Home Finance Administrator

22. DELEGATION OF AUTHORITY TO DESIGNATE CERTIFYING OFFICERS

The Assistant Administrator (Administration) and the Director, Division of Finance and Accounts, each is hereby authorized to designate certifying officers for the Office of the Administrator, including Regional Offices of the Housing and Home Finance Agency, and to revoke such designations, in accordance with Public Law 389, 77th Congress, approved December 29, 1941 (31 U.S.C. 82b), Treasury Department Circular No. 680, Revised, and 3 GAO 4520.

This delegation supersedes the delegation effective May 22, 1953.

Effective as of the 25th day of August, 1961.

Robert C. Weaver
Housing and Home Finance Administrator

23. DELEGATION WITH RESPECT TO PUBLICATION IN NEWSPAPERS OF ADVERTISEMENTS, NOTICES, OR PROPOSALS

[24 Fed. Reg. 443]

1. The Director, Division of General Services, the Director, Property Management Branch, and the Executive Officer, Division of General Services, Office of the Administrator, each is hereby empowered to authorize the publication in newspapers of necessary advertisements, notices, or proposals.

2. Each Regional Administrator, Regional Engineer, and Director, Administrative Management, HHFA Regional Office, and the Director for Northwest Operations, Region VI, is hereby empowered to authorize the publication in newspapers of necessary advertisements, notices, or proposals with respect to program activities within his jurisdiction.

3. The exercise of the authority delegated herein is subject to the provisions of 7 GAO 5200.

This delegation of authority supersedes the delegation respecting the same subjects effective August 10, 1957 (22 F.R. 6451), as amended effective March 5, 1958 (23 F.R. 1612, March 6, 1958).

* * *

Effective as of the 14th day of January 1959.

ALBERT M. COLE,
Housing and Home Finance Administrator

[25 Fed. Reg. 4404]

24. DESIGNATION AS LEGAL CUSTODIAN OF RECORDS

The Director, Records Management Branch, or, in the absence of that officer, the Assistant Director is hereby designated as the legal custodian of the records of the Office of the Administrator (including those of the Community Facilities Administration and the Urban Renewal Administration).

* * *

Effective as of the 18th day of May 1960.

NORMAN P. MASON

Housing and Home Finance Administrator

25. DELEGATION OF AUTHORITY WITH RESPECT TO EMPLOYEE TRAINING

Each officer listed below is hereby empowered to authorize the training of employees serving in the central or field offices of the Office of the Administrator, Community Facilities Administration, Urban Renewal Administration, or HHFA Regional Offices, by, in, or through a Government facility on a reimbursable basis or a non-Government facility other than a foreign government or international organization, or instrumentality of either, subject to the Government Employees Training Act and implementing orders and regulations and to the conditions specified in each case below:

1. The Deputy Administrator.

2. The Assistant Administrator (Administration), provided that the training authorization does not involve: a training period in excess of 120 hours for an individual employee; an estimated cost exclusive of compensation, per diem, and transportation in excess of \$500 on account of an individual employee; or the employment of an instructor at a fee in excess of \$300.

3. The Director of Personnel or the Employee Development Officer, provided that the training authorization does not involve: a training period in excess of 80 hours for an individual employee; an estimated cost exclusive of compensation, per diem, and transportation in excess of \$300 on account of an individual employee; or the employment of an instructor at a fee in excess of \$200.

4. Each Regional Administrator, within his jurisdiction, provided that the training authorization does not involve: a training period in excess of 80 hours for an individual employee; an estimated cost exclusive of compensation, per diem, and transportation in excess of \$300 on account of an individual employee; or the employment of an instructor at a fee in excess of \$200.

Effective as of the 24th day of January, 1961.

LEWIS E. WILLIAMS

Acting Housing and Home Finance Administrator

**26. DELEGATION OF AUTHORITY TO REQUEST TREASURY DEPARTMENT
DESIGNATION OF OA EMPLOYEES AS CASHIERS**

The Assistant Administrator (Administration) and the Director, Division of Finance and Accounts, each is hereby authorized to request the Treasury Department to designate recommended employees in the Office of the Administrator, including Regional Offices of the Housing and Home Finance Agency, as cashiers and to request the revocation of such designations, in accordance with Executive Order No. 6166, as amended, 5 U.S.C. 124, note; Treasury Department Circular No. 1030, as amended; and 7 GAO 2720.

Effective as of the 25th day of August, 1961.

Robert C. Weaver
Housing and Home Finance Administrator

**27. DELEGATION TO CHAIRMAN, OA INCENTIVE AWARDS COMMITTEE,
TO GIVE OUTSTANDING PERFORMANCE RATINGS TO EMPLOYEES
IN GRADES BELOW GS-13 AND TO WAGE-BOARD EMPLOYEES**

The Chairman, OA Incentive Awards Committee, is hereby authorized to give outstanding performance ratings to employees in grades below GS-13 and to all wage-board employees in the central and field offices of the Office of the Administrator, the Community Facilities Administration, the Urban Renewal Administration, and the HHFA Regional Offices, in accordance with the Performance Rating Act of 1950, as amended (5 U.S.C. 2001), and the OA Performance Rating Plan.

This delegation supersedes the delegation effective October 6, 1961. (Section 502(a), Housing Act of 1948, as amended, 12 U.S.C. 1701e)
Effective as of the 2d day of October 1965.

Robert C. Weaver
Housing and Home Finance Administrator

**28. DELEGATION OF AUTHORITY WITH RESPECT TO PUBLICATION BY
A RESEARCH CONTRACTOR OR ITS TECHNICAL PERSONNEL**

The Assistant Administrator for Program Policy is hereby authorized to grant to a research contractor or its technical personnel permission to issue a publication concerning, or based in whole or in part on the results of, research or studies performed under an OA contract, prior to six months from date of submission of the full report, such publication in all other respects to be in accordance with the Publication Article of the research contract: *Provided*, That the Assistant Administrator for Program Policy determines in the particular case that such accelerated publication is in the public interest.

This delegation is effective as of the 5th day of March, 1962.

Robert C. Weaver
Housing and Home Finance Administrator

29. DESIGNATION OF HHFA LIAISON OFFICER WITH THE COMMISSIONER OF PATENTS

Rosalind S. Jamison, Head Attorney, Administrative Law Section, Office of General Counsel, is hereby designated Housing and Home Finance Agency Liaison Officer with the Commissioner of Patents, pursuant to the regulations concerning inventions made by Government employees (37 CFR § 300.10, 27 F.R. 3289, April 6, 1962).

Effective as of the 7th day of May, 1962.

Robert C. Weaver,
Housing and Home Finance Administrator

30. DELEGATION OF AUTHORITY TO DETERMINE WHETHER EMPLOYEE'S WORK IS OF ACCEPTABLE LEVEL OF COMPETENCE AS CONDITION OF WITHIN-GRADE INCREASE IN COMPENSATION

1. The incumbent head of each organizational unit listed in Volume II, Policies and Procedures of Administrator (Part 1 as to Community Facilities Administration, Urban Renewal Administration, and HHFA Regional Offices; and Part 2 as to Office of the Administrator), is hereby authorized, with respect to the employees within the organizational unit and under his supervision on the eligibility date, to determine whether the work of each subordinate employee is of an acceptable level of competence, as a condition of a within-grade (or step) increase in compensation under section 701(a)(B) of the Classification Act of 1949, as amended (5 U.S.C. 1121(a)(B)).

2. The incumbent immediate supervisor of the head of each organizational unit listed in Volume II, Policies and Procedures of Administrator (Parts 1 and 2 as shown under paragraph 1 above), is hereby authorized, with respect to the heads of organizational units under his supervision on the eligibility date, to determine whether the work of each subordinate head of an organizational unit is of an acceptable level of competence.

3. The officer next in line of supervision over the officer making the initial determination is hereby authorized to determine upon reconsideration whether the employee's work is of an acceptable level of competence.

4. An officer duly designated to serve in an acting capacity as the officer authorized under paragraph 1, 2, or 3 above is hereby authorized in the circumstances specified in the designation to make the determinations under paragraph 1, 2, or 3 of this delegation. If there is a vacancy in the position of an officer authorized hereunder or such officer is absent and there is no duly designated acting officer, the officer next in line of supervision over the officer authorized under paragraph 1, 2, or 3 above is hereby authorized to make the determinations under paragraph 1, 2, or 3 of this delegation.

5. This delegation supersedes the delegation effective October 4, 1963. (Section 502(a), Housing Act of 1948, as amended, 12 U.S.C. 1701c) Effective as of the 2d day of October 1965.

Robert C. Weaver
Housing and Home Finance Administrator

32. DELEGATION OF AUTHORITY WITH RESPECT TO SETTLEMENT OF CLAIMS UNDER 28 U.S.C. 2672 (FEDERAL TORT CLAIMS ACT)

[28 F.R. 8230 8/9/63]

The Assistant Administrator (Administration), Office of the Administrator, Housing and Home Finance Agency, is hereby authorized to consider, ascertain, adjust, determine, and settle any claim under 28 U.S.C. 2672 (Federal Tort Claims Act) for money damages of \$2,500 or less for injury or loss of property or personal injury or death caused by the negligent or wrongful act or omission of any employee in the central or field office of the Office of the Administrator, the Community Facilities Administration, the Urban Renewal Administration, the Voluntary Home Mortgage Credit Program, or an HHFA Regional Office.

Effective as of the 9th day of August, 1963.

Robert C. Weaver
Housing and Home Finance Administrator

33. DELEGATION OF AUTHORITY TO GRANT QUALITY (OR ADDITIONAL WITHIN-GRADE OR STEP) INCREASES IN COMPENSATION

The Director, Division of Personnel, Office of the Administrator, is hereby authorized to grant a quality (or additional within-grade or step) increase in the basic rate of compensation of employees in positions up to and including General Schedule grade 12 in the central or field offices of the Office of the Administrator, the Community Facilities Administration, the Urban Renewal Administration, or the HHFA Regional Offices, under section 702 of the Classification Act of 1949, as amended (5 U.S.C. 1122), and applicable regulations of the Civil Service Commission (5 CFR Part 531, Subpart D).

(Section 502(a), Housing Act of 1949, as amended, 12 U.S.C. 1701c)

This delegation supersedes the delegations effective August 21, 1963 and December 22, 1964.

Effective as of the 22d day of December 1964.

Robert C. Weaver
Housing and Home Finance Administrator

Region V

(10) Kans. 14-263-F, Sunflower Village, Kans. (Recreation facilities to serve PHA Project "Sunflower Village".)

(11) Wyo. 48-113-F Cheyenne, Wyo. (Fire station to serve PHA Project "Frontier Park Villa".)

Region VI

(12) La. 16-266-F, New Orleans, La. (Sewer facilities to serve PHA Project No. La. 16103.)

Region VII

(13) Calif. 4-468-F, Vallejo, Calif. (One 500 gpm triple combination fire truck mounted on Ford chassis, including accessories. Serves PHA Project No. Cal. 4211.)

(14) Calif. 4-628-F, Unit 1, Long Beach, Calif. (Nursery school to serve PHA Project No. Cal. 4790.)

(15) Calif. 4-543-F, Alameda, Calif. (School site only. Site acquired from PHA but not being used. Located at 1061 Stalker Way.)

(16) Calif. 4-918-F, Vallejo, Calif. (Fire station located at 330 Rodgers Street near Sears Point Road in PHA Federal Terrace Projects No. Cal. 4083 and 4084, including three 500 gpm triple combination pumps and accessories.)

(16A)¹ Calif. 4-659-F, Units 1, 2 and 3, Child Care Facilities, San Diego, Calif. (Three Standard Type FWA Nursery (Child Care) Schools with partial equipment, each to accommodate 60 children. Unit No. 1 is located at 3345 Riley Street, Unit No. 2 at 3460 Kenyon Street, and Unit No. 3 at 3000 Chapman Street, all within the Frontier Village Housing Project.)

(16B)² Calif. 4-454-F, near Vallejo, Calif. (Parcel of land containing 0.771 acres, located in the southeast corner of the former Olympic Elementary School Site, Calif. 4-454-F, and in the Chabot Terrace PHA Project No. Cal. 4211, Vallejo, Calif., on which site a PHA Child Care Center is located.)

Region VIII

(17) Mont. 24-106-F, Anaconda, Mont. (One 500 gpm pumper, including accessories to serve PHA Project No. Mont. 24021.)

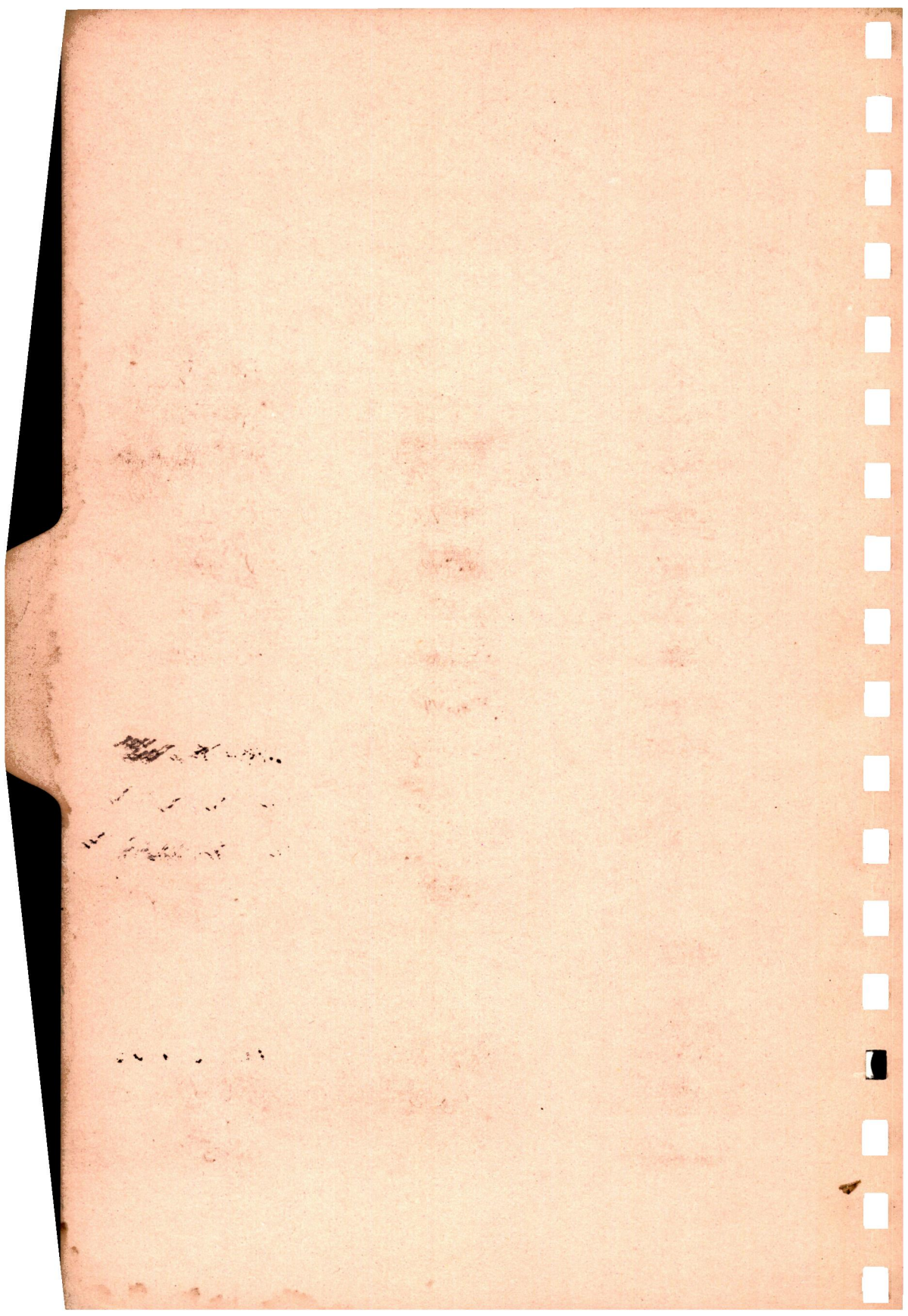
(18) Oreg. 35-165-F, Astoria, Oreg. (Sewer facilities to serve PHA Project No. 35253.)

(19) Wash. 45-257-F, Spokane, Wash. (Sewer facilities to serve PHA Project No. 45035.)

¹ Item (16A) added effective June 1, 1955, 20 Fed. Reg. 3837.

² Item (16B) added effective January 1, 1957, 22 Fed. Reg. 12.

INDEX



TRANSMITTAL CHECK LIST

Upon receipt of each transmittal letter, the recipient will place his initials in the blank following the appropriate number. A break in the continuity of transmittal letters received will indicate missing changes.

TL No.	Initials	TL No.	Initials	TL No.	Initials
P- 1	✓	P-18	MBH	P-35	TR 2/1/55
P- 2	MB	P-19	MBH	P-36	TR 2/1/55
P- 3	MB.	P-20	MBH	P-37	TR 2/1/55
P- 4	MB.	P-21	MBH	P-38	TR. 3-21-55
P- 5	ES	P-22	MBH	P-39	TR-3-14-55
P- 6	ES	P-23	MB.H	P-40	TR-5-11-55
P- 7	ES	P-24	BWR	P-41	TR-5-27-55
P- 8	ES	P-25	BWR.	P-42	TR-6-23-55
P- 9	ES	P-26	TS 6/15/53	P-43	TR-9-2-55
P-10	ES	P-27	✓	P-44	TR-10-20-55
P-11	✓	P-28	TS 8/27/53	P-45	TR-10-24-55
P-12	✓	P-29	TS 11/12/50	P-46	TR. 1-24-56
P-13	MBH	P-30	K.P. 4/2/54	P-47	TR- 2-7-56
P-14	MBH	P-31	K.P. 5/4/54	P-48	TR- 2-10-56
P-15	not correct MBH	P-32	K.P. 6/2/54	P-49	TR- 3-1-56
P-16	MBH	P-33	K.P. 6/15/54	P-50	TR 4-9-56
P-17	MBH.	P-34	T.R. 11/30/54	P-51	TR-5-26-56

TL No.	Initials	TL No.	Initials	TL No.	Initials
P-52	TR-6-21-56	P-75	gag 7-17-58	P-98	See 5/31/59
P-53	JSM 12-13-56	P-76	gag 9-18-58	P-99	See 11/17/59
P-54	JSM 12-13-56	P-77	gag 10-3-58	P-100	See 11/17/59
P-55	JSM-1-22-57	P-78	gag 10-28-58	P-101	See 2/4/60
P-56	JSM 2-11-57	P-79	gag 12-2-58	P-102	See 2/4/60
P-57	JSM 4-26-57	P-80	gag 2/2/59	P-103	See 2/4/60
P-58	JSM 4-26-57	P-81	gag 2/2/59	P-104	See 2/4/60
P-59	JSM 4-26-57	P-82	gag 2/2/59	P-105	See 2/4/60
P-60	gag 6-13-57	P-83	gag 2/2/59	P-106	See 2/4/60
P-61	gag 6-13-57	P-84	gag 2/2/59	P-107	See 2/4/60
P-62	Emp 4/26/57	P-85	gag 2/2/59	P-108	See 2/4/60
P-63	gag 8-19-57	P-86	gag 2/2/59	P-109	See 5/19/60
P-64	gag 8-19-57	P-87	gag 2/2/59	P-110	See 5/19/60
P-65	gag 9-6-57	P-88	gag 2/2/59	P-111	See 5/19/60
P-66	gag 9-17-57	P-89	See 4/1/59	P-112	See 5/19/60
P-67	gag 11-5-57	P-90	See 4/6/59	P-113	See 5/19/60
P-68	gag 11-5-57	P-91	See 5/20/59	P-114	See 5/19/60
P-69	gag 3-16-58	P-92	See 5/27/59	P-115	See 5/19/60
P-70	gag 3-16-58	P-93	See 7/8/59	P-116	See 5/19/60
P-71	gag 3-16-58	P-94	See 7/24/59	P-117	See 5/19/60
P-72	gag 9-11-58	P-95	See 7/24/59	P-118	T.R.R. 9-1-60
P-73	gag 11-23-58	P-96	See 8/31/59	P-119	" "
P-74	gag 11-23-58	P-97	See 8/31/59	P-120	" "

TL No.	Initials	TL No.	Initials	TL No.	Initials
P-121	T.R.R. 9-1-60	P-138	gt 1/8/62	P-155	Ly 9-26-62
P-122	" "	P-139	gt 1/25/62	P-156	BJ-10-15-62
P-123	" "	P-140	gt 5/1/62	P-157	BJ-11-7-63
P-124	GEB 9/16/60	P-141	gt 30/Mar/62	P-158	BJ 2-15-63
P-125	DeB 10/19/60	P-142	gt 30/Mar/62	P-159	BJ -1-12-64
P-126	DeB 10/19/60	P-143	gt 4/12/62	P-160	BJ -4-14-64
P-127	DeB 11/3/60	P-144	gt 5/29/62	P-161	gB 6-18-64
P-128	DeB 11/3/60	P-145	lt 9-5-62	P-162	gB 6-19-64
P-129	DeB -7/1/61	P-146	lt 9-5-62	P-163	gB 6-19-64
P-130	DeB -3/8/61	P-147	lt 7-6-62	P-164	gB 6-20-64
P-131	DeB -5/9/61	P-148	cc 1/7/63	P-165	D.Y. 2-2-65
P-132	DeB -6/30/61	P-149	cc 1/7/63	P-166	D.Y. 2-2-65
P-133	DeB 8/29/61	P-150	rg 3/29/63	P-167	D.Y. 3-2-65
P-134	DeB 11/1/61	P-151	rg 3/29/63	P-168	D.Y. 3-2-65
P-135	DeB 10/30/61	P-152	rg 4/1/63	P-169	D.Y. 3-2-65
P-136	DeB 11/15/61	P-153	rg 7/3/63	P-170	D.Y. 3-2-65
P-137	gt 1/3/62	P-154	BJ 9-11-63	P-171	D.Y. 3-2-65

TL No.	Initials	TL No.	Initials	TL No.	Initials
P-172	D.H. 3-2-65	P-189		P-206	
P-173	D.H. 3-2-65	P-190		P-207	
P-174	D.H. 3-2-65	P-191		P-208	
P-175	D.H. 4-21-65	P-192		P-209	
P-176	D.H. 6-3-65	P-193		P-210	
P-177	D.H. 6-24-65	P-194		P-211	
P-178	D.H. 6-24-65	P-195		P-212	
P-179	E.P. 7/24/65	P-196		P-213	
P-180	E.P. 8/19/65	P-197		P-214	
P-181	P.C. 10/27/65	P-198		P-215	
P-182	P.C. 10/27/65	P-199		P-216	
P-183	P.C. 10/27/65	P-200		P-217	
P-184	P.C. 10/27/65	P-201		P-218	
P-185	P.C. 1/18/66	P-202		P-219	
P-186	P.C. 1/18/66	P-203		P-220	
P-187		P-204		P-221	
P-188		P-205		P-222	

MULT-O RING BINDER

TO OPEN - press bottom
levers together with slight
clockwise motion.

TO CLOSE - press top *levers.*

Manufactured By
BEAVERITE PRODUCTS Inc.
BEAVER FALLS, N. Y.

MULT-O
RING BINDER

TO OPEN - press bottom

levers together with slight
clockwise motion.

TO CLOSE - press top levers.

Manufactured by

BEAUBRITTE PRODUCTS, INC.

BETTER FALLS, N. Y.

DATE

ISSUED TO