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DEPARTMENT OF
HOUSING AND URBAN DEVELOPMENT

SECRETARY'S REFERENCE BOOK

NOVEMBER 1968



EXECUTIVE REFERENCE

Secretary's reference book.

- **ORGANIZATION**
- **FUNCTIONS**
- **STAFFING DATA**
- **KEY PERSONNEL**

pt. 1
DEPARTMENT OF HOUSING
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SALARY SCHEDULE

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pt. 1

GRADE	1	2	3	4	5	6	7	8	9	10
LEVEL I	35,000									
LEVEL II	30,000									
LEVEL III	29,550									
LEVEL IV	28,750									
LEVEL V	28,000									
GS - 18	28,000									
GS - 17	26,264	27,139	28,000	28,000	28,000					
GS - 16	22,835	23,596	24,357	25,118	25,879	26,640	27,401	28,000	28,000	
GS - 15	19,780	20,439	21,098	21,757	22,416	23,075	23,734	24,393	25,052	25,711

FOREWORD

The Department of Housing and Urban Development and its programs are so complex and involve such a diversity of subjects and activities that it is not feasible to summarize them adequately for the needs of a new leadership in one volume of manageable proportions.

This introductory volume, therefore, covers those matters which would appear to be of most immediate interest to a new Secretary: information concerning the Office of the Secretary; the establishment and organization structure of the Department; its current staffing; and its resources in positions at managerial levels and their current status.

Information on other significant areas, such as the Department's budget, its legislative authorizations, and the detailed operations of organization units under the direction of the respective Assistant Secretaries, has been organized in other volumes designed to provide coherence and facility of access.

A description of these related materials and their organization is included in this volume following Tab IV.

Department of Housing and Urban Development
EXECUTIVE REFERENCE
Organization, Functions, Staffing Data and Key Personnel

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THE POST OF SECRETARY

Establishment of the Office

The Department of Housing and Urban Development Act of 1965 (P.L. 89-174) established the Department and placed at its head a Secretary to be appointed by the President by and with the advice and consent of the Senate. Like all Presidential employees, he serves at the pleasure of the President.

Describing the character of the Secretary's office, in addition to his overall function of "supervision and direction" of the Department, the Act says:

"The Secretary shall, among his responsibilities, advise the President with respect to Federal programs and activities relating to housing and urban development; develop and recommend to the President policies for fostering the orderly growth and development of the Nation's urban areas; exercise leadership at the direction of the President in coordinating Federal activities affecting housing and urban development; provide technical assistance and information, including a clearinghouse service to aid State, county, town, village, or other local governments in developing solutions to community and metropolitan development problems; consult and cooperate with State Governors and State agencies, including, when appropriate, holding informal public hearings, with respect to Federal and State programs for assisting communities in developing solutions to community and metropolitan development problems and for encouraging effective regional cooperation in the planning and conduct of community and metropolitan development programs and projects; encourage comprehensive planning by the State and local governments with a view to coordinating Federal, State and local urban and community development activities; encourage private enterprise to serve as large a part of the Nation's total housing and urban development needs as it can and develop the fullest cooperation with private enterprise in achieving the objectives of the Department; and conduct continuing comprehensive studies, and make available findings, with respect to the problems of housing and urban development."

Oath of Office

Since he is "appointed to an office of honor", the Secretary is required to take the following oath of office:

"I, . . . , do solemnly swear (or affirm) that I will support and defend the Constitution of the United States against all enemies, foreign and domestic; and I will bear true faith and allegiance to the same; that I take this obligation freely, without any mental reservation or purpose of evasion; and that I will well and faithfully discharge the duties of the office on which I am about to enter. So help me God."

Salary Level and Pay Periods

The Secretary, like other Cabinet officers, is paid at the rate of Level I of the Executive Schedule--currently, \$35,000 per annum. This rate can be changed only by legislative action. Unlike other employees, his salary is paid twice a month, on the first and 15th days of the month.

Medical Facilities

By tradition, Cabinet officers may use the medical facilities of the Department of Defense. Admission to, for example, Walter Reed or Bethesda Naval Medical Center for hospitalization or out-patient treatment normally is arranged for by the President's personal physician; and in all cases it is essential that the White House be notified prior to admission or at the earliest possible moment thereafter. The hospitalization fee is \$49 a day and covers all charges, including surgery and medication.

The Post of Secretary--Cont'd.

Fringe Benefits and Deductions

The Secretary is automatically covered by the Civil Service Retirement System and cannot waive this coverage. He is also automatically covered in the maximum amount (\$32,000) under the Federal Employees Group Life Insurance program, unless he waives coverage prior to the end of his first pay period or subsequently drops the insurance. He may elect additional optional insurance coverage of \$10,000 with added premiums based on the age of the insured. He is, in addition, eligible to participate in the Federal Employees Health Benefits program. Deductions for these services and for the Federal income tax withholding are made in computing his bi-monthly pay check.

Travel Arrangements

Expenses of official travel are reimbursed to the Secretary under Standard Government Travel Regulations upon filing of vouchers with the Finance staff. Where determined as necessary by the Secretary he may be reimbursed on an actual expense basis (up to a maximum per diem of \$30.00) rather than at the standard \$16 per diem rate.

Secretarial Assistance

The position of the principal secretary to the Secretary of the Department is now classified in grade GS-13 (\$14,409 - \$18,729 per annum). This is the same rate at which comparable positions are paid in the Department of State, Treasury, Justice, Agriculture,

The Post of Secretary--Cont'd..

Interior, and Commerce. In the Departments of Labor, Health, Education and Welfare, and Transportation the top secretary is paid at the rate of the next lower grade, GS-12 (\$12,174 - \$15,828 per annum). The position is vacant in the Post Office Department, but has been reported previously at GS-14 (\$16,946 - \$22,031 per annum); and in the Department of Defense it is classified in GS-15 (\$19,780 - \$25,711 per annum).

Because of the confidential nature of the position it is in Schedule C rather than the competitive career service. It need not--but can--be filled by a career employee. The incumbent in either case is covered by the Civil Service Retirement System and, unless she waives coverage of Federal Employees Life Insurance, is included in that program for coverage in the amount of her annual salary (rounded off to the next highest \$1,000) plus \$2,000. She may also participate in the Federal Employees Health Benefits program.

Secretary's Flag

The Secretary, as a member of the President's Cabinet is given certain privileges, some honorary and others more material in nature.

Among the honors of office there is a specially designed Secretary's Flag, in addition to the Department Flag, bearing the Departmental seal, which is displayed in his immediate office and conference room and in any conference room or auditorium where an official meeting is being conducted and the Secretary is the

principal speaker. (The Under Secretary and Assistant Secretaries also are entitled to flags, differing from the Secretary's Flag.)

Official Limousine

An official limousine and chauffeur are assigned to the Secretary for use in his official capacity. The general rule that Government cars may not be used for transportation between home and office does not apply to the Secretary. The car is equipped with a telephone and a direct line to the White House.

The chauffeur is paid under the Wage Board (i.e., prevailing rate) scale at WB-6, or \$3.20 per hour, or an annual salary of \$6,531. This is the highest rate of the grade. In addition he is paid overtime at the rate of time and a half (\$4.80 per hour). He also receives a yearly allowance of \$125 for uniforms.

The Department of State, Interior, Labor, and Transportation pay their top chauffeurs at WB-7 (\$6,260.80 to \$6,026.40 per annum); the other seven, like HUD, pay WB-6.

Other Special Facilities

Among other special facilities and conveniences available to the Secretary are -

- Special telephones connected directly to the White House in both his office and residence.
- A fully equipped conference room reserved for his use, located within his office suite.
- A private dining room also in the office suite; this is in addition to the larger Secretary's Staff Dining Room located on the second floor of the building, which is available to employees in senior level positions within the Department as approved by the Secretary from time to time.

The Post of the Secretary--Cont'd.

- A fund, limited for the fiscal year 1969 to \$2,500, which is available only on personal authorization of the Secretary for his expenses incidental to official entertainment.
- Personally embossed stationery for his official use. Such stationery is illegal for Government officials generally.
- A master control key which summons elevator No. 4 from wherever it may be located to the point where the key is used. These master keys are held only by the Secretary and the Under Secretary, except that a reserve key in case of loss is kept by the Director, Office of General Services.

POWERS OF THE SECRETARY

General

With the few exceptions noted below, all powers and functions of the Department are vested in the Secretary and may be exercised only by him, or by such officers and organization units and in such manner as he may prescribe.

In this respect the Department of Housing and Urban Development conforms much more closely to the ideal pattern recommended by the First Hoover Commission, and supported with varying degrees of success by Presidents of both parties, than does any other Cabinet Department.

Powers with Respect to Organization

The Secretary's power to organize and reorganize the Department is almost, but not quite, unlimited from a legal standpoint.

By law, the following positions exist in the Department and could not be abolished by action of the Secretary:

- a. An Under Secretary.
- b. Six Assistant Secretaries, one of whom is required by the Departmental Status Act to be "Federal Housing Commissioner", to "...head a Federal Housing Administrator within the Department", and, in addition to such duties and powers as may be prescribed by the Secretary, to "...administer, under the supervision and direction of the Secretary, departmental programs relating to the private mortgage market".
- c. A General Counsel
- d. An Assistant Secretary for Administration
- e. A Director of Urban Program Coordination
- f. A Federal Insurance Administrator

Powers of the Secretary--Cont'd.

Functional Assignments to Assistant Secretaries. In general, the functional assignments now held by Assistant Secretaries reflect the organizational decisions of the Secretary, as do their titles. The organizational titles, "Assistant Secretary for Renewal and Housing Assistance", or "Assistant Secretary for Metropolitan Development", for example, are functional titles assigned by the Secretary, and may be revoked or modified by him at will. The Presidential Commissions in each case merely appoint the person named as "an Assistant Secretary". There are certain qualifications which need to be made to this general proposition, however, as follows:

Assistant Secretary - Federal Housing Commissioner. As noted above, an Assistant Secretary is required by the Act to have the additional title of Federal Housing Commissioner, to head a Federal Housing Administration within the Department, and in addition to any other duties which the Secretary may assign to him to "...administer, under the supervision and direction of the Secretary, departmental programs relating to the private mortgage market."

There exists no definitive legal interpretation of the phrase last quoted above. As a matter of practice, the Federal Housing Commissioner as head of the Federal Housing Administration in the Department has continued to direct the programs of mortgage and home improvement loan insurance which were vested in FHA before the establishment of the Department. New programs have been assigned to this Assistant Secretary from time to time where they employ insured mortgages as an essential element in the financing process involved, as in the case of the Rent Supplement program and the new programs of subsidized assistance to home

Powers of the Secretary--Cont'd.

ownership and rental housing for low and moderate income people enacted in the Housing and Urban Development Act of 1968. In addition, the Assistant Secretary for Mortgage Credit and Federal Housing Commissioner has been assigned various duties of a more general nature, such as serving as principal adviser to the Secretary in connection with such matters as interest rates, the supply of mortgage funds, and liaison with the home building and mortgage lending industries. He has also been assigned responsibility for carrying out the Land Sales Full Disclosure Act, which was part of the Housing and Urban Development Act of 1968.

Since all functions and powers of the former FHA and Federal Housing Commissioner were vested by the Act in the Secretary (and not in the "Assistant Secretary" or the new "Federal Housing Commissioner" or the "Federal Housing Administration within the Department"), it is a reasonable interpretation of the Departmental Act as a whole to delimit narrowly the function or combination of functions that, as a matter of law, must be assigned to the Assistant Secretary with that title. Thus, if the basic section 203 and 207 mortgage insurance programs (concerned as they are with the national flow of mortgage funds, rather than with special purposes) were assigned to the Assistant Secretary who is Federal Housing Commissioner, the provision that there be such an Assistant Secretary and Commissioner would have been given meaningful effect, and the office would not be a hollow shell. Beyond this, it is extremely doubtful whether, as a matter of law, any other specific function would be required to be assigned to this Assistant Secretary, nor would the law preclude any other specific function or

Powers of the Secretary--Cont'd.

functions now so assigned from being withdrawn and assigned elsewhere should the Secretary so determine. In a specific case, therefore, the considerations involved in assigning new or reassigning other existing functions would be practical rather than legal.

Assistant Secretary for Equal Opportunity. An additional position of Assistant Secretary was established in the Department by title VIII of the Civil Rights Act of 1968. While the statutory language does not say so, the Congressional intent appears obvious that the functions established by title VIII should be a principal (though not necessarily the sole) responsibility of an Assistant Secretary. For convenience and economy, the Secretary has also assigned to this Assistant Secretary the related functions of the Department under the Civil Rights Act of 1964 and various Executive Orders dealing with equal opportunity in housing and employment.

Vacant Assistant Secretaryship. Section 1708 of the Housing and Urban Development Act of 1968 established a sixth Assistant Secretary position in the Department. The President has made no appointment to this office, and no functions have been assigned to it by the Secretary.

The statutory language is silent as to any specific duties for this Assistant Secretary, and the reports of both the House and Senate Committees make it clear that he would have any functions and duties that the Secretary might prescribe. Both the Administration's proposal and the Committee reports in both Houses reflect the assumption that this Assistant Secretary would direct the research and development activities of the Department and coordinate the provision of engineering and technical advice on a Department-wide basis. In view of a change

of Administrations and of the fact that this position has never been activitated, there is room for doubt as to how greatly the new Secretary would be constrained by this history in terms of the uses he might elect to make of this Assistant Secretaryship. Clearly he would not be limited to research and development and to technical advice in terms of the functions he could assign to this office. On the other hand, if he chose to omit all or a substantial part of these functions from the duties of such an Assistant Secretary, good Congressional relationships would dictate prior consultation with the ranking members of the House and Senate Committees to avoid a possible adverse reaction

Director of Urban Program Coordination. This statutory position has never achieved the degree of identification and clarity of function which the Act appears to contemplate. The history of this position and the present status of the matter, together with some of the problems involved, are summarized in Background Paper No. 1.

Succession of Powers; Acting Secretary

Executive Order 11274 of March 30, 1966, provides that in the event of a vacancy in the Office of Secretary or during his absence or inability to act, the Under Secretary shall act as Secretary.

In the absence or other inability to act of both the Secretary and the Under Secretary, the Order provides that the Assistant Secretaries and the General Counsel shall act as Secretary in whatever order the Secretary may prescribe from time to time. The Secretary has not issued an order prescribing the sequence of succession.

Whenever no order prescribing this sequence is in effect, the Assistant Secretaries and the General Counsel serve as Acting Secretary in the order in which they took office.

This provision for an Acting Secretary is not deemed to include the Assistant Secretary for Administration, since he is not a Presidential appointee.

Delegations of Authority

Since all powers exercised in the Department are vested by law in the Secretary, a system of delegations of authority is essential to permit subordinate officials to take actions which otherwise could be taken only by the Secretary, and to define the limits of the authority of these officials. The Secretary has delegated to the Under Secretary all of the powers held by the Secretary, with the result that any action requiring the authority of the head of the Department can be validly taken by either the Secretary or the Under Secretary.

Delegations of authority in the Department fall into two general classes:

- (1) Delegations of authorities which are administrative, technical, or ministerial in nature. This consists mainly of certain formal actions which are required by law to be taken by the Head of the Department or someone to whom he has specifically delegated the authority involved, and includes such matters as the power to certify vouchers for payment, act as Contracting Officers on behalf of the Government, authenticate documents, etc.
- (2) Delegations of substantive powers involved in carrying out the programs of the Department.

The remainder of the discussion which follows deals with delegations of the latter class.

The Secretary's power of delegation rests primarily on section 7(d) of the Departmental Act, which reads in pertinent part as follows:

"The Secretary may delegate any of his functions, powers, and duties to such officers and employees of the Department as he may designate, may authorize such successive redelegations of such functions, powers and duties as he may deem desirable, and may make such rules and regulations as may be necessary to carry out his functions, powers, and duties."

The flow of legal authority through delegations is widely assumed--perhaps more than the purely objective facts would merit--to have a significant effect on the flow of power through an organization. The pattern established when HUD became a department created a flow from the Secretary, to Assistant Secretaries, to their headquarters staffs and to Regional Administrators, to Assistant Regional Administrators, and to their regional office subordinates. The flow through (and selective retention of) power at the Assistant Secretary level reflects the fact that in HUD, Assistant Secretaries operate as line officials as well as staff to the Secretary. The redelegation of authority by them to Regional Administrators reflects the fact that under this theory of organization the Regional Administrators are responsible to the Assistant Secretaries for the operation of their respective programs in the field, despite the fact that at the same time they report to and have a direct line of communication with the Secretary. The line of delegation thus both reflects and affects the thinking and the mode of operation of officials at all levels.

The typical pattern in which the Secretary has exercised his authority to delegate may be summarized in these stages:

1. The Secretary has delegated to Assistant Secretaries with respect to particular programs, the powers, functions and duties flowing from the authorizing legislation. In making this delegation, the Secretary may, and often has, reserved to himself certain powers or final actions. Delegations now in effect have delegated virtually all program power except those requiring coordination at the Secretary's level, such as the establishment of income limits, the determination of applicable interest rates discretionary with the Secretary, the issuance of notes to the Secretary of the Treasury in connection with programs financed by borrowings, etc. Program delegations usually take the form of authorizing the Assistant Secretary to exercise all the powers vested in the Secretary by the particular law, with specific enumerated exceptions.

2. These delegations to Assistant Secretaries have authorized their General Deputies to exercise the same powers concurrently with and in the absence of the Assistant Secretaries. They also carry the authority--with or without specified limitations--to make successive redelegations.

Although an objective has been to decentralize authority to the regions, a good deal of authority has nevertheless been retained at headquarters, primarily for approval or reservation of funds and

applications. The current pattern of delegations has restricted the authority of the Assistant Secretaries to delegate such approval powers to their Deputy Assistant Secretaries in charge of major programs, (e.g., the Deputy Assistant Secretaries for Housing Assistance, Renewal Assistance, Community Resources Development). The power of Assistant Secretaries to redelegate to these program Deputies has been restricted to mainly ministerial authorities, because the Secretary wished to assure that policy and major decision-making functions were retained at the Assistant Secretary level.

For decentralized programs the Assistant Secretaries have redelegated program authority to the Regional Administrators who in turn redelegate them to Assistant Regional Administrators with program responsibility (e.g., the Assistant Regional Administrators for Housing Assistance, for Metropolitan Development, for Renewal Assistance, etc.) The critical stages at which delegated authority is most commonly exercised in the field are those involving the approval of applications; the execution of contracts for financial assistance; and approval of requisitions of funds.

3. An important exception to the general pattern described above occurs in the operations of FHA, where the authority to issue commitments to insure and to insure mortgages has been delegated by the Assistant Secretary-Commissioner directly to the Directors of

Powers of the Secretary--Cont'd.

the 76 FHA field insuring offices. In this case, the Regional Administrators are not in direct line of delegation, but exercise certain broad review and control functions over the operation of the insuring offices through the Assistant Regional Administrators for FHA, especially with respect to programs involving multi-family projects, whether or not subsidized.

A list of Secretary's delegations now in effect is available as Background Paper No. 2.

ESTABLISHMENT OF THE DEPARTMENT

The establishment of a Department of Housing and Urban Development as the eleventh Cabinet Department of the Executive Branch was the outgrowth of a long series of actions and developments reflecting the growing national concern over the problems of housing and the urban environment, and the increasing involvement of the Federal Government in the development of national policies and the exercise of national leadership in this area.

In the 1930's, a series of major Congressional actions gave rise to new agencies and new forms of Federal activity connected with housing--notably the establishment of the savings and loan system and the Federal Home Loan Bank Board; the development of mortgage insurance and the establishment of the Federal Housing Administration; and the initiation of subsidized low rent public housing and the creation of the United States Housing Authority.

In 1942, the principal housing programs and agencies of the Government were brought together in a single agency for the first time, through the establishment by the President of the National Housing Agency. This action was taken under the temporary war powers of the President, and was aimed primarily at the more effective prosecution of the war effort.

In 1947, the temporary war agency was replaced by a permanent Housing and Home Finance Agency, brought into being through the exercise of the peacetime reorganization powers of the President.

In 1950, the Federal National Mortgage Association (then in the Reconstruction Finance Corporation) and the Community Facilities Service (then in the General Services Administration) were transferred by Presidential reorganization action to the HHFA.

Throughout this period, and through the balance of the 1950's, the Congress greatly increased the activities and responsibilities of the Federal Government's housing agency. In addition--through the assignment of such functions as urban renewal and grants for comprehensive urban planning--the Congress manifested an evolving though not specifically declared view of the agency as its primary instrument for obtaining advice and for articulating policy in connection with urban problems in the broad, reaching beyond the boundaries of housing as such. This expanding perspective is evident in the opening language of the first major policy statement enunciated by the Congress in this field in the Housing Act of 1949, which although styled a "Declaration of National Housing Policy", begins as follows:

"The Congress hereby declares that the general welfare and security of the Nation and the health and living standards of its people require housing production and related community development sufficient to remedy the serious housing shortage, the elimination of substandard and other inadequate housing through the clearance of slums and blighted areas, and the realization as soon as feasible of the

goal of a decent home and a suitable living environment for every American family, thus contributing to the development and redevelopment of communities and to the advancement of the growth, wealth, and security of the Nation." (Emphasis supplied)

In 1961, the President recommended legislation to establish a Department of Urban Affairs and Housing. In early 1962, when it appeared unlikely that this bill would reach a vote in the House of Representatives, the President submitted a Reorganization Plan to the same general effect, with technical differences due largely to the limitations on reorganization power as compared with what could be accomplished by legislation. The Congress, however, did not permit the Plan to take effect.

In March 1965, the President in a special Message to the Congress on Problems and Future of the Central City and its Suburbs, declared:

"Our urban problems are of a scope and magnitude that demand representation at the highest level of government."

Shortly thereafter legislation was recommended to the Congress to create a Department of Housing and Urban Development. After debate and amendment, the bill was passed by the Congress and signed into law September 9, 1965. By its terms, it became effective sixty days later, on November 9, 1965 (Public Law 89-174, 42 U.S.C. 3531)

In establishing the Department, the Congress characterized its action and intentions as follows:

"DECLARATION OF PURPOSE

"Sec. 2. The Congress hereby declares that the general welfare and security of the Nation and the health and living standards of our people require, as a matter of national purpose, sound development of the Nation's communities and metropolitan areas in which the vast majority of its people live and work.

"To carry out such purpose, and in recognition of the increasing importance of housing and urban development in our national life, the Congress finds that establishment of an executive department is desirable to achieve the best administration of the principal programs of the Federal Government which provide assistance for housing and for the development of the Nation's communities; to assist the President in achieving maximum coordination of the various Federal activities which have a major effect upon urban community, suburban, or metropolitan development; to encourage the solution of problems of housing, urban development, and mass transportation through State, county, town, village, or other local and private action, including promotion of interstate, regional, and metropolitan cooperation; to encourage the maximum contributions that may be made by vigorous private homebuilding and mortgage lending industries to housing, urban development, and the national economy; and to provide for full and appropriate consideration, at the national level, of the needs and interests of the Nation's communities and of the people who live and work in them".

Although legally in existence on and after November 9, 1965, the Department was largely inoperative for a period since the President had not yet appointed a Secretary and other officers provided for in the Act. After nomination by the President and confirmation by the Senate, Robert C. Weaver took office as the first Secretary of the new Department on January 18, 1966. Secretary's Organization Order No. 1, which established the organization of the Department in substantially its present form, was issued February 24, 1966.

ORGANIZATION OF THE DEPARTMENT

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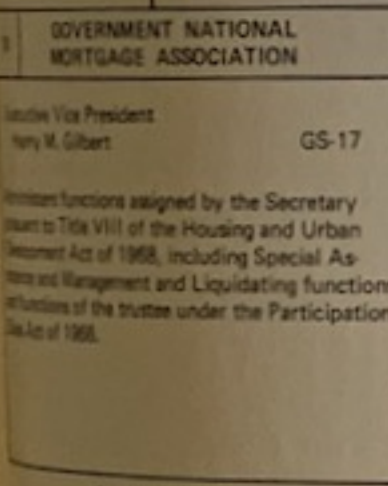
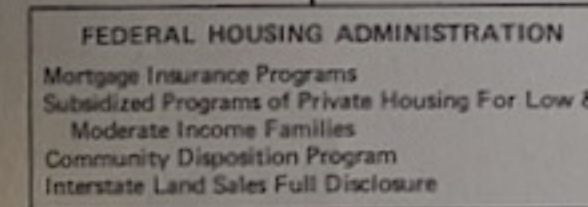
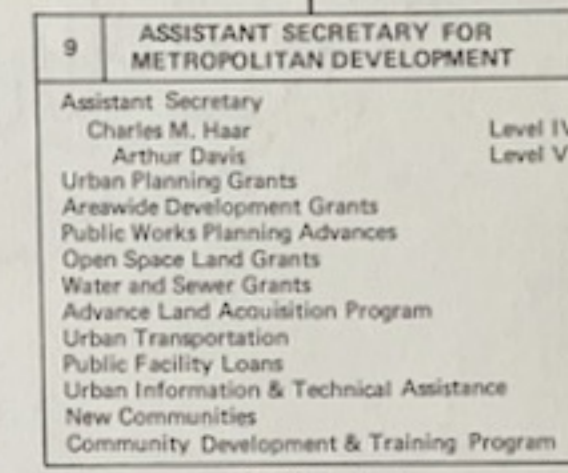
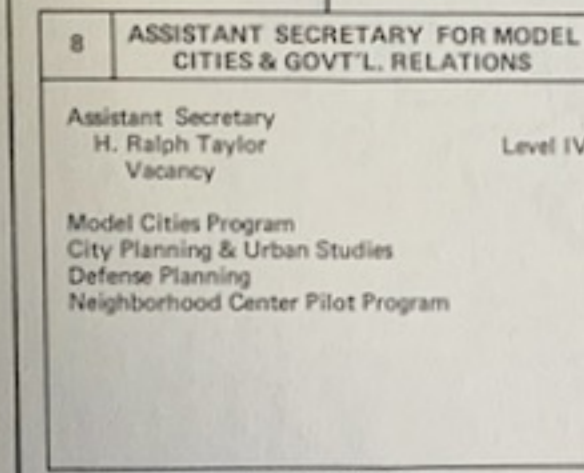
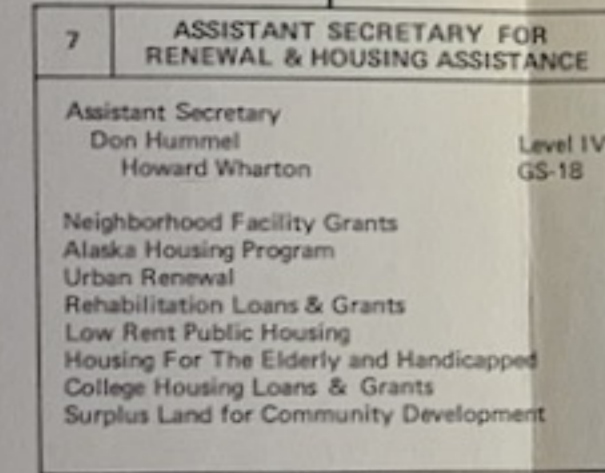
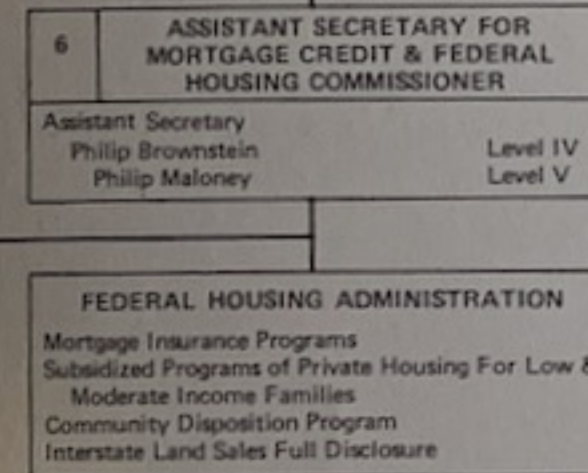
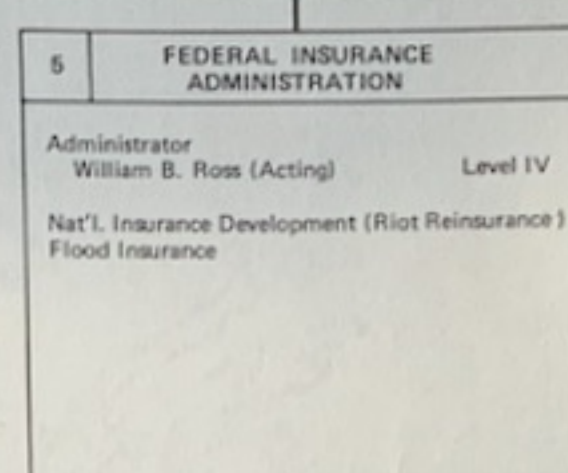
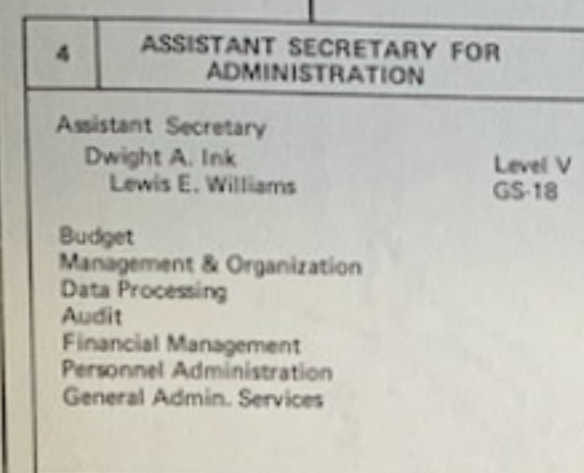
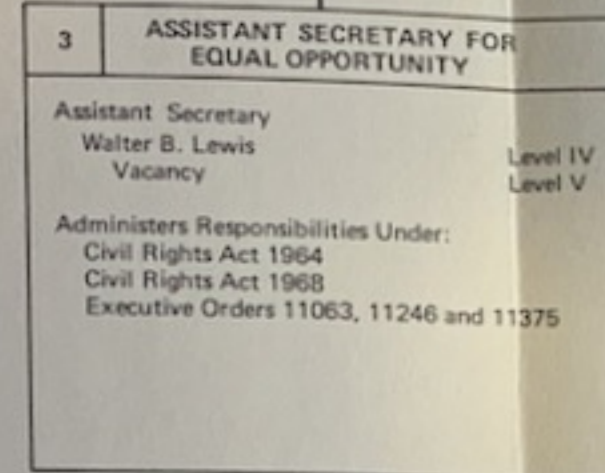
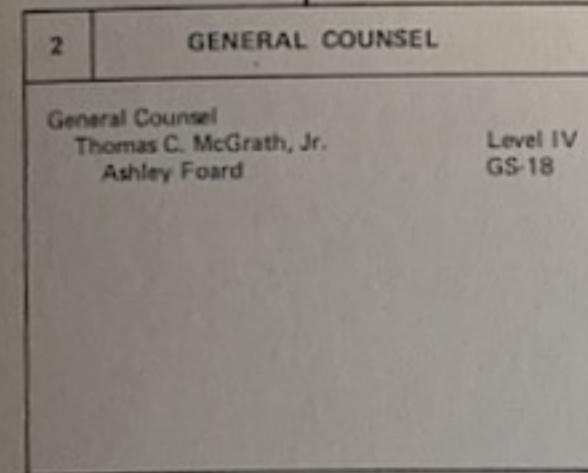
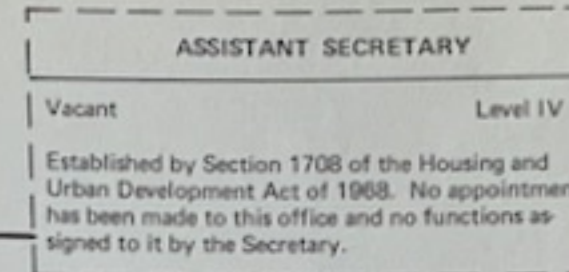
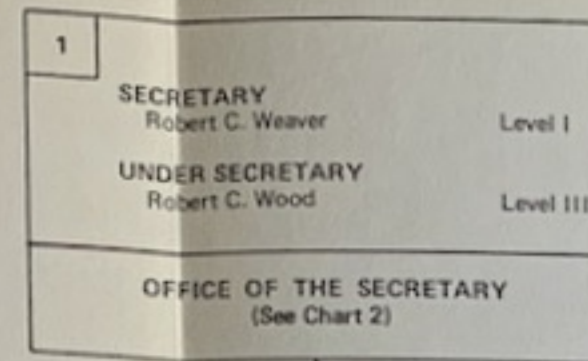
Salary Schedule: Executive and Supergrade	Back of Cover
Overall Organization of the Department	Chart 1
Office of the Secretary	Chart 2
Office of the General Counsel	Chart 3
Equal Opportunity	Chart 4
Administration	Chart 5
Federal Housing Administration	Chart 6
Renewal and Housing Assistance	Chart 7
Model Cities and Governmental Relations	Chart 8
Metropolitan Development	Chart 9
Government National Mortgage Association	Chart 10
Regional Offices	Chart 11
Federal Insurance Administration	Chart 12

Office of the Secretary

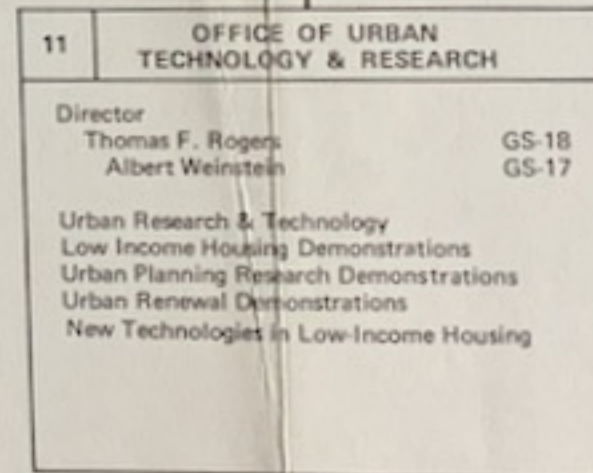
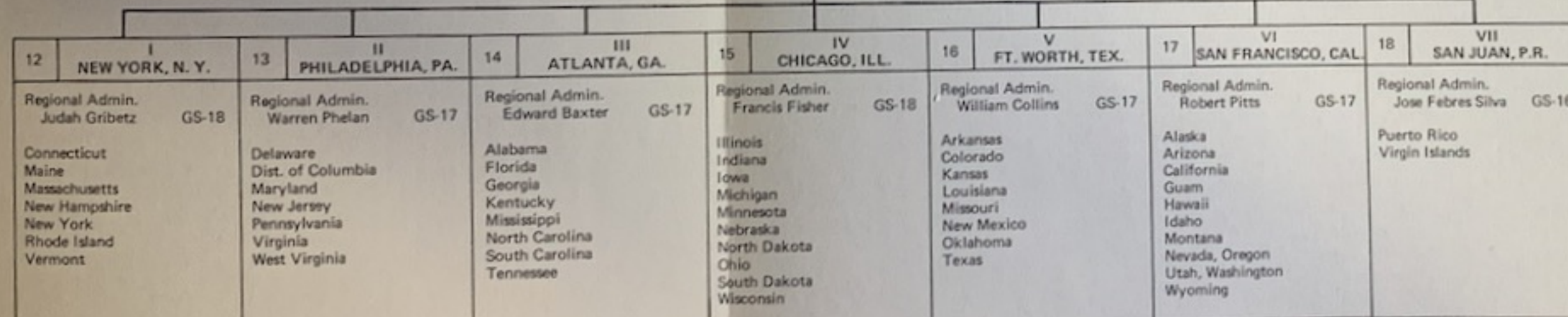
Administrative Officer to the Secretary	3
Office of the Deputy Under Secretary	5
Labor Relations Staff	9
Division of Public Affairs	11
Congressional Services Staff	13
Regional Support Staff	15
Division of International Affairs	17
Division of Inspection	19
Office of Business Participation	23

Research

Office of Urban Technology and Research	
Establishment of the Office of Urban Technology & Research ...	24
1967-1968 Activities	25
Project Obligations Made in Fiscal Year 1968	27
Significant Aspects of the Program's Future	30



REGIONAL OFFICES OF THE DEPARTMENT



STAFFING DATA

BLOCK NO.	LEVEL IV	LEVEL V	GS 18	GS 17	GS 16	GS 15	GS 14	ALL OTHER	TOTAL
1		1	2	5	10	40	30	194	284
2	1		1	2	6	21	35	158	224
3				1		2	2	17	22
4		1	1	3	5	44	58	1010	1122
5						1		3	4
6	1	1		6	11	102	221	7537	7879
7	1	1	1	3	10	49	66	312	443
8	1	1		2	2	27	10	59	102
9	1	3		2	4	28	28	152	218
10				1	1	12	33	900	947
11			1	1	2	5	4	15	28
12			1	1	3	12	35	477	529
13				1	2	11	31	456	501
14				1	1	12	37	506	557
15			1		2	11	32	470	516
16				1	1	11	37	441	491
17				1	2	12	35	436	486
18					1	5	4	110	120
19	Note: Total 268 for line 1 includes one Level I and one Level III position.								
20									
21									
*	(2)	(4)	(1)	(6)	(13)				
TOTAL	5	8	8	33	63	405	698	13,253	14,473

*UNASSIGNED

19 NATIONAL COMMISSION ON URBAN PROBLEMS

Chairman
Paul Douglas

Executive Director
Howard Shuman GS-18

Appointed on January 12, 1967, by President Lyndon B. Johnson to generate ideas and techniques to improve the quality of cities and make them more liveable through a study of areas including building codes and technology, zoning and land use, Federal and local taxes affecting housing and urban growth, housing codes, development standards, and ways to increase the supply of decent housing for low-income families. Authorizing legislation (Sec. 301 HUD October 1965) requires that final report be made on this study by December 31, 1968.

1 SECRETARY
Robert C. Weaver Level I

2 UNDER SECRETARY
Robert C. Wood Level III

3 DEPUTY UNDER SECRETARY FOR POLICY ANALYSIS AND PROGRAM EVALUATION

Deputy Under Secretary
William B. Ross Level V

Advises on program formulation and evaluation. Recommends policies and objectives based on studies and analyses.
Responsible for Departmental PPBS system and design and development of data gathering and reporting systems.

4 DIVISION OF PUBLIC AFFAIRS

Director
Gerald Huard GS-16
Robert Murray GS-16

Provides information, publications and public affairs services on a centralized basis for the entire department.

5 CONGRESSIONAL SERVICES STAFF

Director
Edward Lashman GS-18
Andrew J. Hickey, Jr. GS-16

Provides congressional liaison and relations services on a centralized basis for the entire department.

6 OFFICE OF LABOR RELATIONS

Director
Vacancy GS-16

Develops policies, techniques, standards and procedures to ensure that applicable labor regulations regarding conditions, wages, unions and related labor matters are included and enforced in department contracts.
Encourages labor understanding and support of Department objectives

7 REGIONAL SUPPORT STAFF

Director
Booker T. McGraw GS-16
John R. DeVecchio GS-15

Provides advice, assistance and information regarding the operation of regional offices. Expedites and coordinates regional offices' requests for information and assistance.
Arranges national meetings of regional officials

8 DIVISION OF INTERNATIONAL AFFAIRS

Director
James A. Moore GS-16
Philip F. Patman GS-15

Provides advice and assistance and liaison with Department of State regarding the performance of international activities of the Department and assures proper performance under agreements with AID.

9 INSPECTION DIVISION

Director
William T. Smith GS-17
Charles L. Dempsey GS-15

Conducts and reviews investigations of possible violations and irregularities in programs or activities, criminal violations for referral to the Department of Justice and violations under the Civil Rights Act.

10 OFFICE OF BUSINESS PARTICIPATION

Director
Robert McAuliffe GS-15

Develops plans and programs to promote the knowledge, interest and participation of business and financial interests in department programs and activities.

STAFFING DATA

BLOCK NO.	LEVEL IV	LEVEL V	GS 18	GS 17	GS 16	GS 15	GS 14	ALL OTHER	TOTAL
1				2		5	1	15	24
2						2		12	15
3		1		2	3	9	7	28	50
4					2	7	6	38	53
5			1		1	1		8	11
6					1	1		8	10
7					1	2		2	5
8					1	5	3	14	23
9				1		5	10	58	74
10						1	1	1	3
11									
12									
13									
14									
15									
16									
17									
18									
19			1		1	2	2	10	16
20									
21									
22									
TOTAL		1	2	5	10	40	30	194	284

Note: Total 25 for line 1 includes one Level I position. Total 17 for line 2 includes one Level III position.

DEPARTMENT OF HOUSING
AND URBAN DEVELOPMENT
GENERAL COUNSEL

1	GENERAL COUNSEL
General Counsel Thomas McGrath	Level IV
Deputy General Counsel Ashley Ford	GS-18

2	ASSOCIATE GENERAL COUNSEL FOR GENERAL LEGAL SERVICES
Associate Gen. Counsel Joseph Burstein	GS-16
Supervises the handling of major litigation involving the department and the coordination of legal services and operations at the regional and headquarters levels involving financing, litigation, research and the legal aspects of administrative and program management problems.	

6	ASSOCIATE GENERAL COUNSEL FOR LEGISLATION
Associate General Counsel Hilbert Fefferman	GS-17
Supervises the development, preparation, clearance and presentation of department legislation, the review and coordination of legislative policy and assistance regarding state and local legislation relating to department programs and activities.	

3	ASSISTANT GENERAL COUNSEL FOR LITIGATION & FINANCING
Vacant	
Handles litigation major challenges or interpretations of Federal or state laws and cases having multiprogram implications. Coordinates litigation in the department. Provides advice regarding legal aspects of financing programs.	

4	ASSISTANT GENERAL COUNSEL FOR OPERATIONS & COORDINATION
Assistant General Counsel Paul R. Boesch	GS-16
Coordinates departmental legal policy and reviews the level and quality of legal services in the department. Provides advice and assistance to Regional Counsel and resolves jurisdictional matters. Provides advice and services to programs not assigned to program Associate General Counsel.	

5	ASSISTANT GENERAL COUNSEL FOR LEGAL OPINION & RESEARCH
Assistant General Counsel Edward P. Lovett	GS-15
Conducts research and studies regarding basic legal problems in department programs and activities. Studies, prepares opinions and advises with regard to legal questions and problems arising in development and administration of department programs.	

7	ASSISTANT GENERAL COUNSEL FOR FEDERAL LEGISLATION
Assistant General Counsel Irving P. Margulies	GS-16
Provides advice and coordinates the development, preparation and presentation of department legislation and official reports on legislative proposals. Prepare and review testimony in support of departmental legislation.	

8	ASSISTANT GENERAL COUNSEL FOR LEGISLATIVE POLICY COORDINATION
Vacant	
Prepares and reviews proposed internal regulations and policy issuances which implement new or amended statutes for conformity with legislative interpretation and intent. Prepare and review formal interpretations of basic statutes applicable to department programs.	

9	ASSISTANT GENERAL COUNSEL FOR STATE AND LOCAL LEGISLATION AND LIAISON
Assistant General Counsel Sarah A. Perrin	GS-15
Provides advice, assistance and model legislation to states and localities to aid preparation, development and perfection of enabling and implementing legislation. Maintains central legislative reference service providing information on Congressional and Executive action of major interest.	

10	GENERAL COUNSEL FOR FNMA (GNMA)
Associate General Counsel is the chief legal adviser for the functional area to the program Assistant Secretary, the General Counsel and other department officials, and provides legal services to all these programs (except special legal services performed centrally by other General Counsel units).	

11	CHIEF COUNSEL FOR RENEWAL & HOUSING ASSISTANT
Chief Counsel S. Leigh Curry	GS-16
Associate General Counsel is the chief legal adviser for the functional area to the program Assistant Secretary, the General Counsel and other department officials, and provides legal services to all these programs (except special legal services performed centrally by other General Counsel units).	

12	CHIEF COUNSEL FOR METROPOLITAN DEVELOPMENT
Chief Counsel John A. Bell	GS-16
Associate General Counsel is the chief legal adviser for the functional area to the program Assistant Secretary, the General Counsel and other department officials, and provides legal services to all these programs (except special legal services performed centrally by other General Counsel units).	

13	CHIEF COUNSEL FOR RESEARCH PROGRAMS & ADMINISTRATION
Chief Counsel Charles M. Farbstein	GS-15
Associate General Counsel is the chief legal adviser for the functional area to the program Assistant Secretary, the General Counsel and other department officials, and provides legal services to all these programs (except special legal services performed centrally by other General Counsel units).	

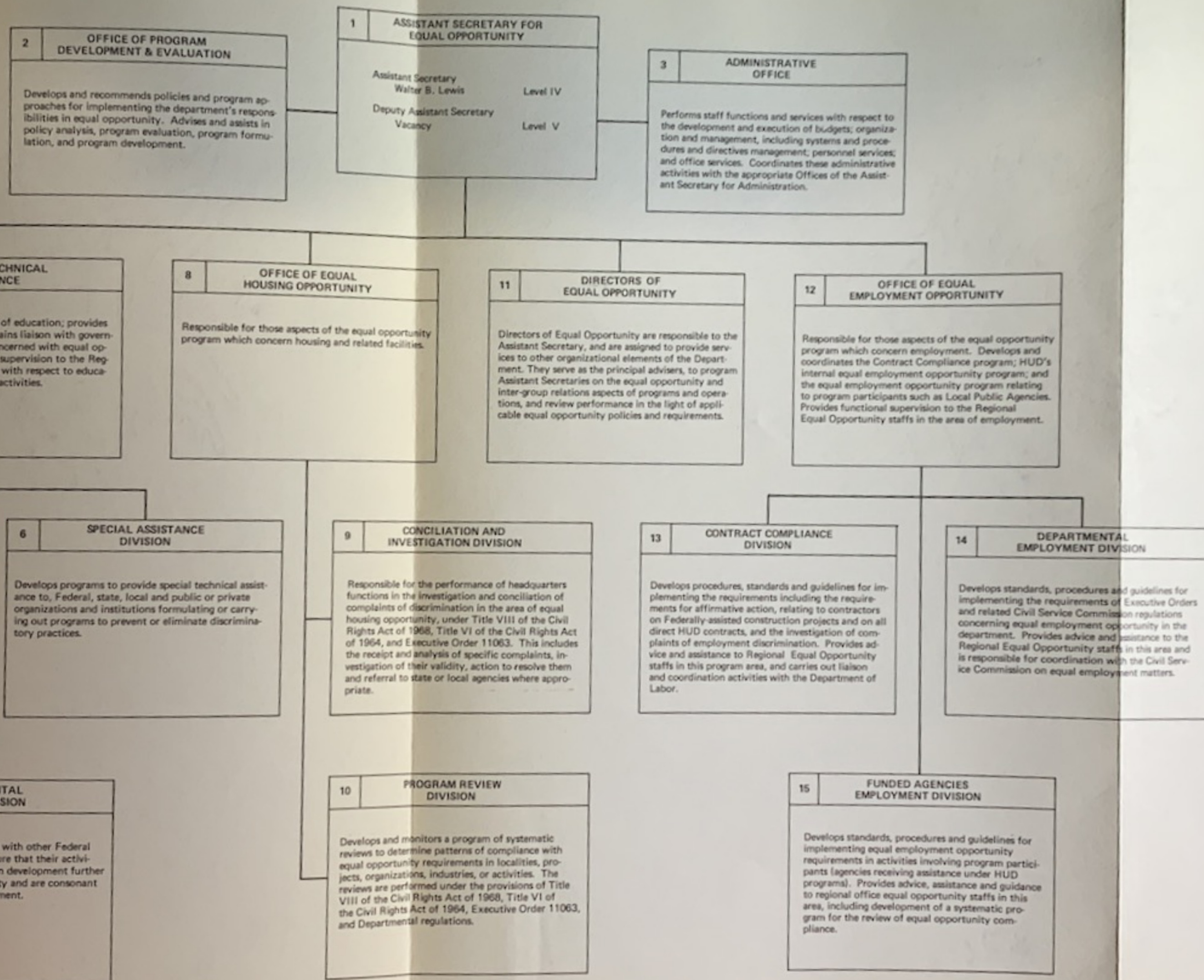
14	CHIEF COUNSEL FOR MODEL CITIES & GOV'T. RELATIONS
Chief Counsel Otto J. Hetzel	GS-15
Associate General Counsel is the chief legal adviser for the functional area to the program Assistant Secretary, the General Counsel and other department officials, and provides legal services to all these programs (except special legal services performed centrally by other General Counsel units).	

15	GENERAL COUNSEL FOR FHA
General Counsel Adolphus M. Prothro John W. Kopecky	GS-17 GS-16
Associate General Counsel is the chief legal adviser for the functional area to the program Assistant Secretary, the General Counsel and other department officials, and provides legal services to all these programs (except special legal services performed centrally by other General Counsel units).	

STAFFING DATA

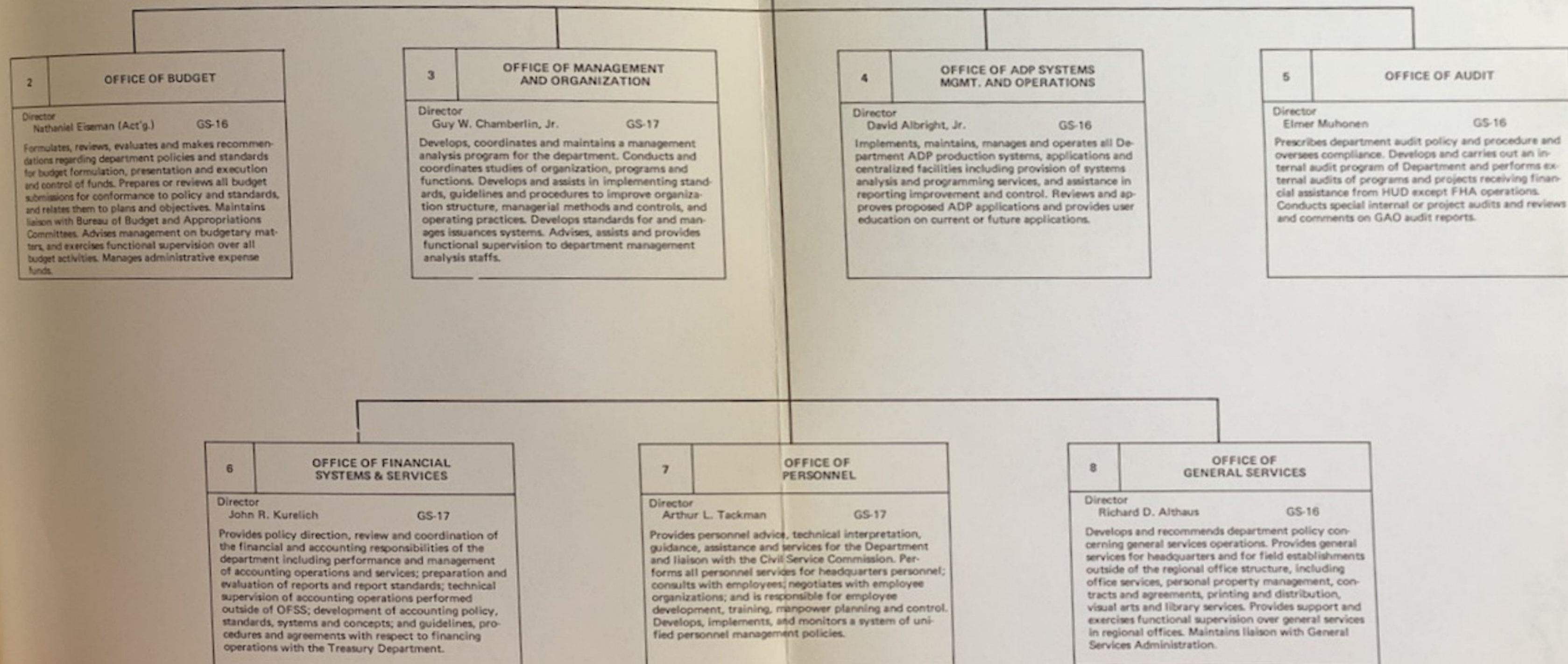
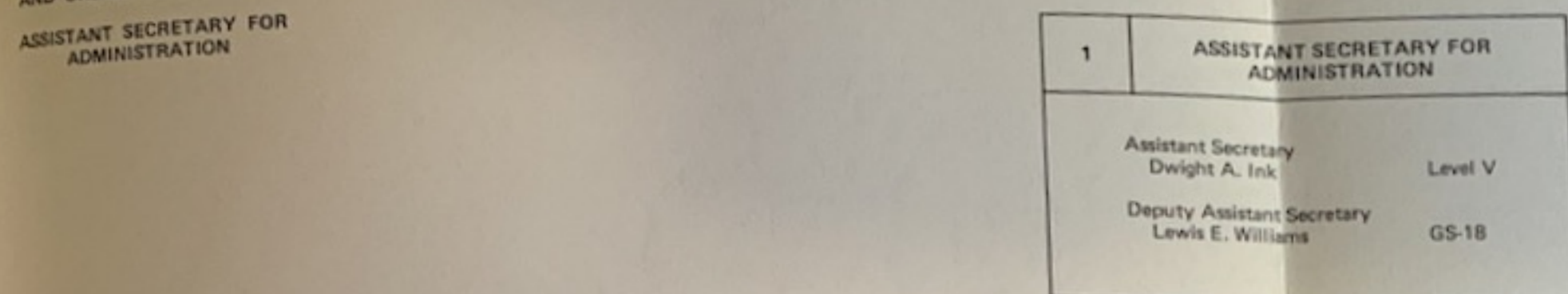
CHART NO. 3

BLOCK NO.	LEVEL IV	LEVEL V	GS 18	GS 17	GS 16	GS 15	GS 14	ALL OTHER	TOTAL
1	1		1				4	11	17
2					1	1	1	2	6
3									
4					1		2	7	10
5						1		2	3
6				1				2	3
7					1		2	6	9
8								2	2
9						1	1	9	11
10						2	3	8	13
11					1	7	9	31	48
12					1		2	6	9
13						1			1
14						2	1	3	6
15				1	1	6	10	68	86
16									
17									
18									
19									
20									
21									
22									
TOTAL	1		1	2	6	21	35	158	224



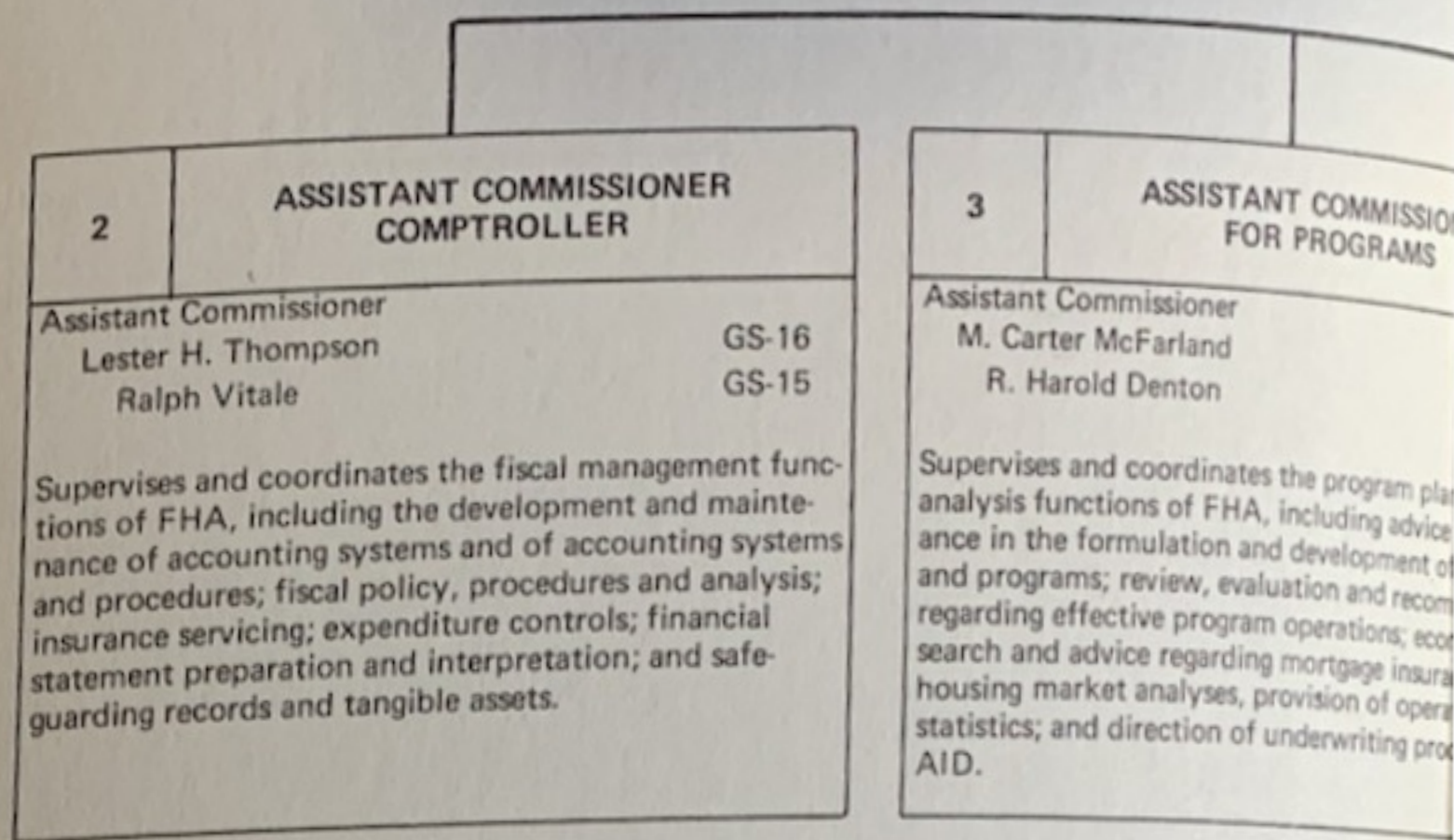
STAFFING DATA

BLOCK No.	LEVEL IV	LEVEL V	GS 18	GS 17	GS 16	GS 15	GS 14	ALL OTHERS	TOTAL
				1		2	2	17	22
2									
3									
4									
5									
6									
7									
8									
9									
10									
11									
12									
13									
14									
15									
16									
17									
18									
19									
20									
21									
22									
TOTAL				1		2	2	17	22



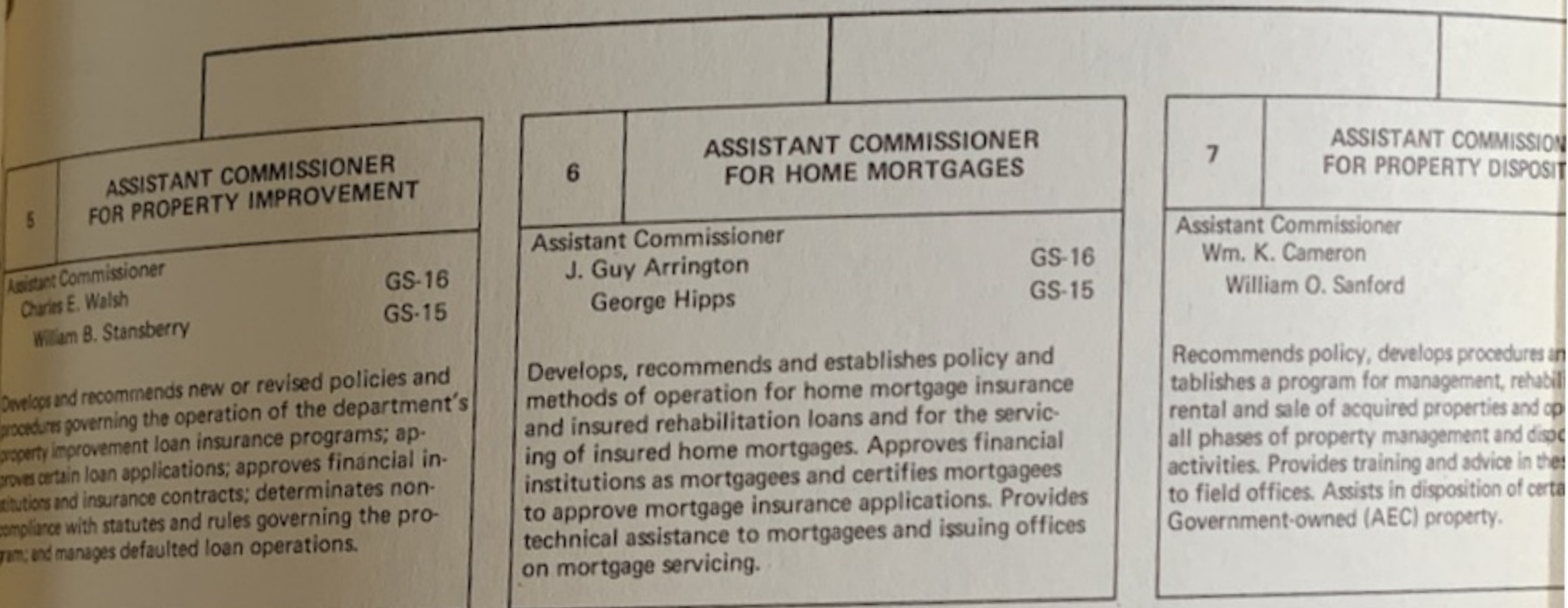
STAFFING DATA									
BLOCK No.	LEVEL IV	LEVEL V	GS 18	GS 17	GS 16	GS 15	GS 14	ALL OTHER	TOTAL
1		1	1			2	1	4	9
2					1	2	4	27	34
3				1		5	4	7	17
4					1	3	6	227	237
5					1	14	18	263	296
6				1		6	8	139	154
7				1	1	8	6	59	75
8					1	4	11	284	300
9									
10									
11									
12									
13									
14									
15									
16									
17									
18									
19									
20									
21									
22									
TOTAL		1	1	3	5	44	58	1010	1122

1
Assistant Secretary
Philip Br...
Deputy Assistant Secretary
Philip Ma...



2	ASSISTANT COMMISSIONER COMPTROLLER
Assistant Commissioner Lester H. Thompson GS-16 Ralph Vitale GS-15	
Supervises and coordinates the fiscal management functions of FHA, including the development and maintenance of accounting systems and of accounting systems and procedures; fiscal policy, procedures and analysis; insurance servicing; expenditure controls; financial statement preparation and interpretation; and safeguarding records and tangible assets.	

3	ASSISTANT COMMISSIONER FOR PROGRAMS
Assistant Commissioner M. Carter McFarland R. Harold Denton	
Supervises and coordinates the program planning and analysis functions of FHA, including advice and assistance in the formulation and development of programs; review, evaluation and recommendations regarding effective program operations; economic research and advice regarding mortgage insurance; housing market analyses, provision of operational statistics; and direction of underwriting procedures.	



5	ASSISTANT COMMISSIONER FOR PROPERTY IMPROVEMENT
Assistant Commissioner Charles E. Walsh GS-16 William B. Stansberry GS-15	
Develops and recommends new or revised policies and procedures governing the operation of the department's property improvement loan insurance programs; approves certain loan applications; approves financial institutions and insurance contracts; determines non-compliance with statutes and rules governing the program; and manages defaulted loan operations.	

6	ASSISTANT COMMISSIONER FOR HOME MORTGAGES
Assistant Commissioner J. Guy Arrington GS-16 George Hipps GS-15	
Develops, recommends and establishes policy and methods of operation for home mortgage insurance and insured rehabilitation loans and for the servicing of insured home mortgages. Approves financial institutions as mortgagees and certifies mortgagees to approve mortgage insurance applications. Provides technical assistance to mortgagees and issuing offices on mortgage servicing.	

7	ASSISTANT COMMISSIONER FOR PROPERTY DISPOSITION
Assistant Commissioner Wm. K. Cameron William O. Sanford	
Recommends policy, develops procedures and establishes a program for management, rehabilitation and sale of acquired properties and coordinates all phases of property management and disposition activities. Provides training and advice in the field to field offices. Assists in disposition of certain Government-owned (AEC) property.	

ASSISTANT SECRETARY FOR MORTGAGE CREDIT & FEDERAL HOUSING COMMISSIONER

ary /Commissioner
stein Level IV
nt Secretary
ey Level V

4 ASSISTANT COMMISSIONER FOR ADMINISTRATION

Assistant Commissioner
Horace B. Bazan GS-16
Joe B. Montgomery GS-15

Supervises and coordinates the administrative management functions for FHA, including budget formulation and execution; personnel administration; auditing of mortgagees and financial institutions; management and organization studies; records, manuals, work measurement and directives systems; contracting for credit reports and in connection with acquired properties; defense and compliance coordination; and operations analysis.

GENERAL COUNSEL FOR FHA

See Block No. 15
Chart No. 3

8 ASSISTANT COMMISSIONER FOR FIELD OPERATIONS

Assistant Commissioner
Vacancy GS-17
Joseph W. Maguire GS-16

Responsible for the execution of all programs in the field. Coordinates and supervises the Regional Operations Commissioners who have direct responsibility for program execution and insurance supervision; and reviews proposed operating plans and procedures which concern field offices.

9 ASSISTANT COMMISSIONER FOR TECHNICAL STANDARDS

Assistant Commissioner
Charles A. Dieman GS-17
Donald C. Jordan GS-16

Establishes and maintains architectural and engineering standards, methods, procedures and techniques, including design, minimum planning, construction and property requirements. Develops standards procedures and criteria for property appraisal and valuation, estimating construction cost, determining credit risk, rating mortgagors and physical security, and granting mortgage credit. Researches new design, methods, techniques and materials.

10 ASSISTANT COMMISSIONER FOR MULTI-FAMILY H'SG.

Assistant Commissioner
Morton W. Schomer GS-17
Robert N. Jones GS-16

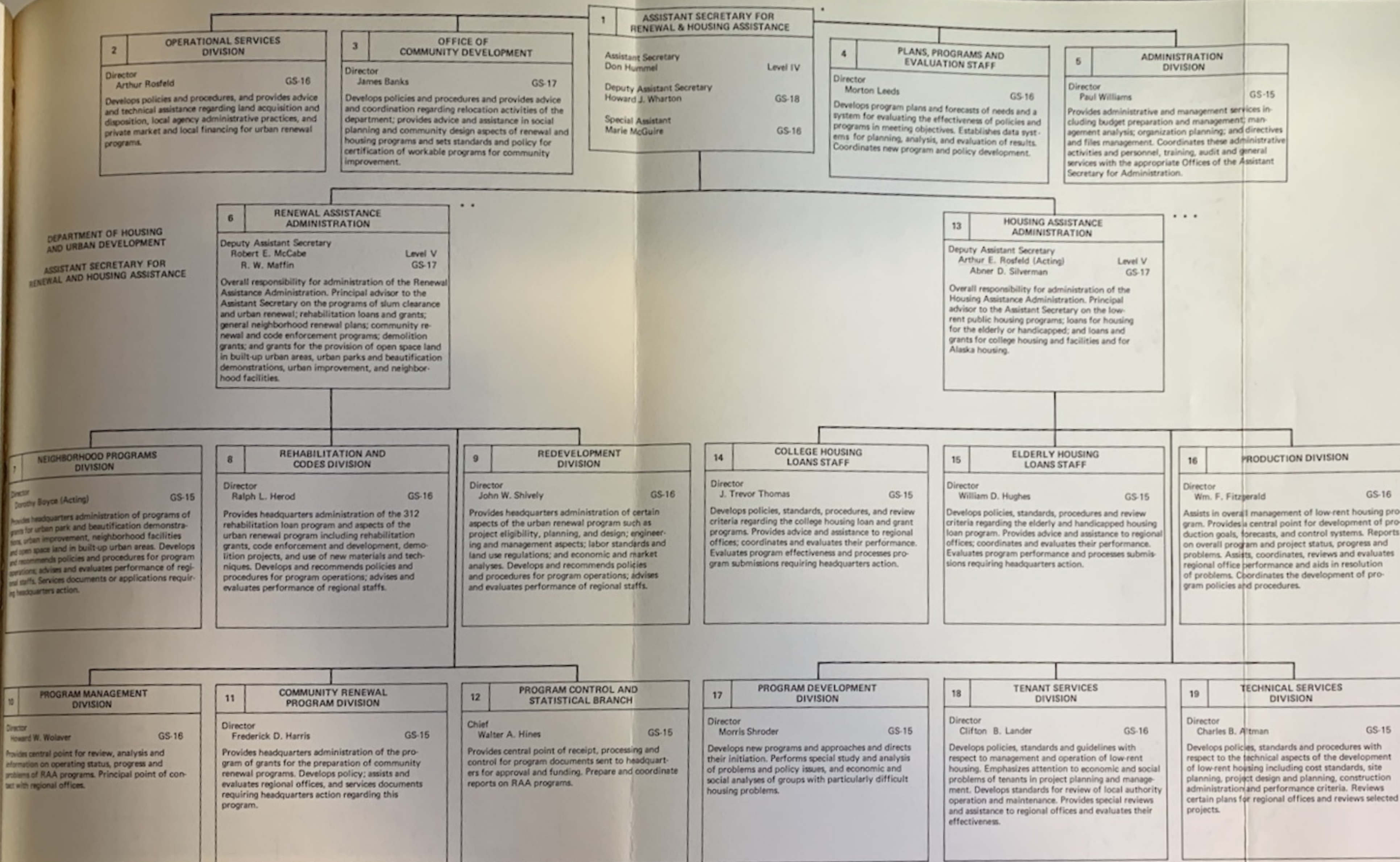
Develops and recommends basic policies, administrative program requirements, and methods of operation for the insured multifamily, housing and medical facilities programs; services insured and government-held project mortgages; and administers the rent supplement, section 236, and management assistance programs.

11 FIELD INSURING OFFICES

Insuring offices, service offices and valuation stations which conduct the operations and functions of FHA programs including property management, mortgage servicing, Title I collections, minority group housing, project mortgage closings, market analyses and public relations. Manages and coordinates all underwriting activities including valuation, mortgage credit, land planning and special engineering services.

STAFFING DATA

BLOCK NO.	LEVEL IV	LEVEL V	GS 18	GS 17	GS 16	GS 15	GS 14	ALL OTHER	TOTAL
1	1	1		1	0	3		14	20
2					1	6	7	837	851
3				1	1	8	12	123	145
4					1	8	17	278	304
5					1	1	1	92	95
6					1	2	0	6	9
7				1	0	3	6	63	73
8				1	2	4	8	160	175
9				1	2	8	34	66	111
10				1	2	12	13	68	96
11						47	123	5830	6000
12									
13									
14									
15									
16									
17									
18									
19									
20									
21									
22									
TOTAL	1	1		6	11	102	221	7537	7879



BLOCK NO.	LEVEL IV	LEVEL V	GS 18	GS 17	GS 16	GS 15	GS 14	ALL OTHER	TOTAL
1	1		1		1	6	1	14	24
2					1	3	7	13	24
3				1		3	5	15	24
4					1	3	4	5	13
5						3	4	44	51
6				1	1	2	1	19	25
7					1	1	2	7	21
8					1	4	3	8	16
9					1	2	5	9	17
10					1	2	6	8	17
11						1		3	4
12						1		20	21
13				1		3	3	52	59
14						1	1	3	5
15						1	1	4	6
16	*Staffing data for Asst. Secy. includes Congressional Services and Problems of Elderly and Handicapped Assistants. **Staffing data for Program Development Staff and Inter-group Relations included ***Staffing data for Inter-group Relations & Statistics Branch included				1	3	5	12	21
17						3	4	13	20
18					1	4	8	39	52
19						3	6	14	23
20									
21									
22									
TOTAL	1	1	1	3	10	49	66	312	443

DEPARTMENT OF HOUSING
AND URBAN DEVELOPMENT
ASSISTANT SECRETARY FOR
MODEL CITIES & GOVERNMENTAL RELATIONS

1	ASSISTANT SECRETARY FOR MODEL CITIES & GOVERNMENTAL RELATIONS	
Assistant Secretary H. Ralph Taylor	Level IV	
Deputy Assistant Secretary Vacancy		

2	FEDERAL RELATIONS STAFF	
Director Harry Greene (Acting)		GS-15
Provides assistance, studies, analyses and recommendations for improving the coordination of Federal urban programs. Develops and coordinates relationships with other agencies whose programs have an impact on community development. Provides a focal point for recording and reviewing interrelationships, and evaluation of coordinating mechanisms. Identifies coordination problems, gaps or inadequacies and recommends solutions. tests new methods of coordinated program delivery.		

3	DEFENSE PLANNING STAFF	
Director		
M. Douglas Stone		GS-15
Jane M. Hinkel		GS-15
Performs program planning and development functions relative to the provision of defense emergency housing in accordance with directive, of Office of Emergency Planning. Prepares operating instructions and guidelines and coordinates defense planning activities both within the Department and with other agencies. Keeps operational elements informed of defense activities and programs and plans for emergency HUD operations.		

4	ADMINISTRATIVE STAFF	
Administrative Officer Charles B. Huyett	GS-15	
Provides administrative and management functions and services including budget formulation and execution; organization management; systems and procedures; directives and management; personnel; and office services. Coordinates these administrative activities with the appropriate Offices of the Assistant Secretary for Administration.		

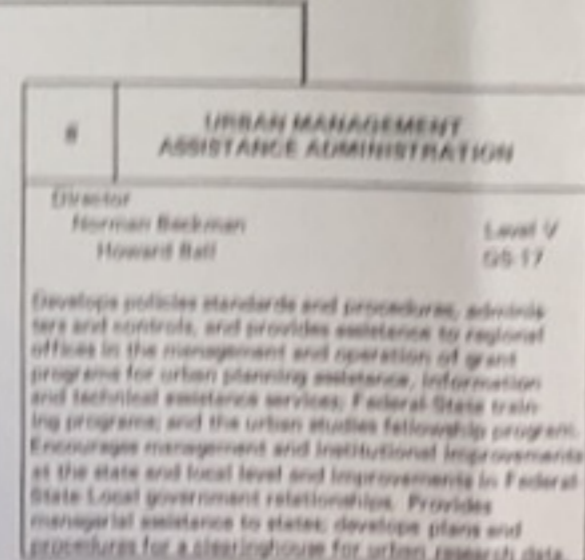
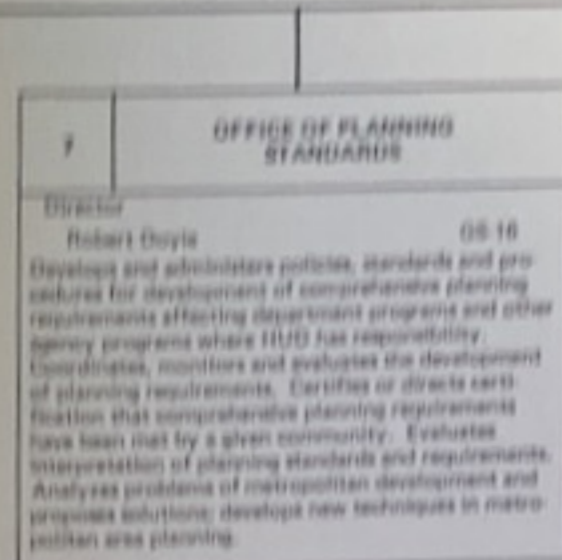
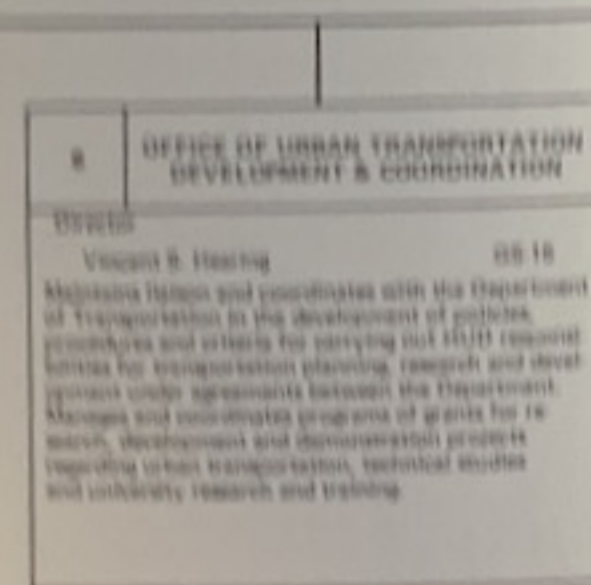
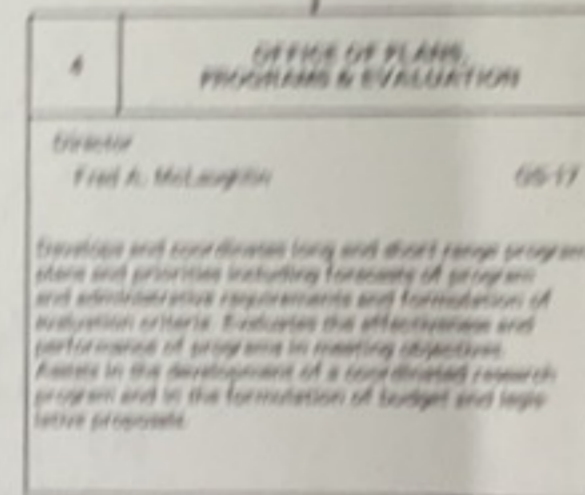
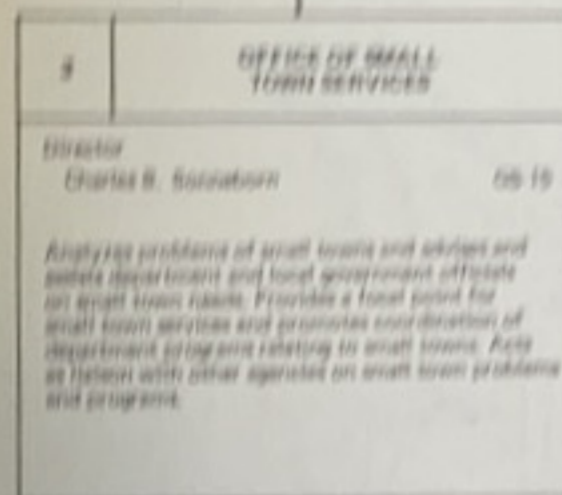
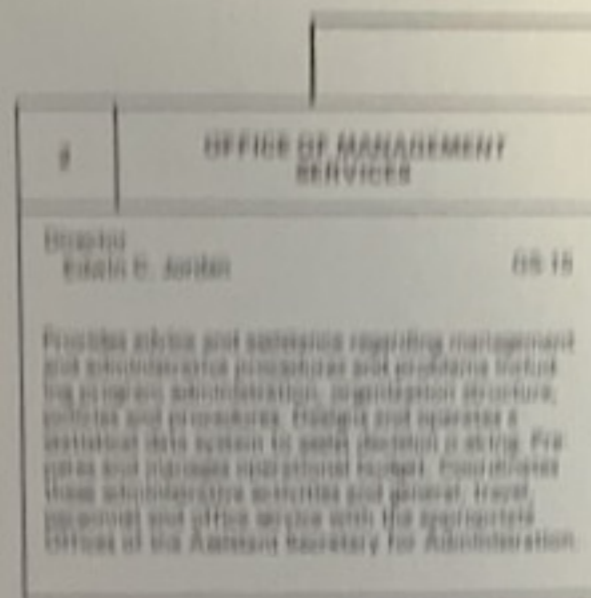
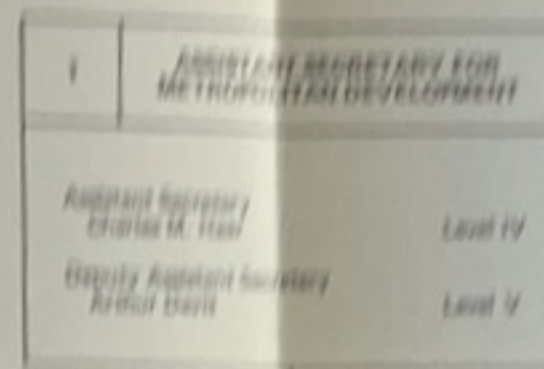
6	NEIGHBORHOOD CENTERS STAFF
Director Vacancy	
Provides staff assistance in the administration of the Neighborhood Centers Pilot Program. Director serves as the working level chairman of the program's inter-agency committee.	

5	MODEL CITIES ADMINISTRATION	
Director Walter G. Farr John A. Buggs	Level V GS-17	
Overall management responsibility for the Model Cities Administration. Principal adviser to the Assistant Secretary for the Model Cities and Neighborhood Centers Pilot Programs.		

DIVISION OF PROGRAM DEVELOPMENT & EVALUATION	
7	
Director Bernard Russell Lawrence Houstoun	GS-17 GS-16
Develops policies, standards and criteria for the development and evaluation of all aspects of the model cities program. Evaluates program development and execution, and coordinates Department organizational elements involved in the program to produce balance and conformity with applicable statutory requirements and program policies.	

8	DIVISION OF PROGRAM OPERATION & TECHNICAL ASSISTANCE	
Director John W. McLean	GS-16	
Provides guidance to regional offices in the development and execution of the model cities program including review of applications, integration and coordination of component programs, and technical assistance to state and local agencies in the development and administration of comprehensive programs. Reviews proposed model cities programs for conformance to statutory and other criteria.		

STAFFING DATA									
BLOCK NO.	LEVEL IV	LEVEL V	GS 18	GS 17	GS 16	GS 15	GS 14	ALL OTHER	TOTAL
1	1			1		3		7	11
2						2	1	2	5
3						1	1	3	5
4						1	1	11	13
5		1		1				3	5
6									
7				1	1	14	5	20	41
8					1	6	2	13	22
9									
10									
11									
12									
13									
14									
15									
16									
17									
18									
19									
20									
21									
22									
TOTAL	1	1		2	2	27	10	59	102



STAFFING DATA

WEEK NO.	LEVEL IV	LEVEL V	GS-15	GS-17	GS-18	GS-19	GS-20	GS-21	ALL OTHERS	TOTAL
1	1	1					1	8	11	
2							1	6	22	30
3							1	1	1	3
4				1			1	3	15	15
5		1			3	8	7	40	60	
6						4	2	10	16	
7					1	3	5	11	20	
8		1		1		10	3	39	54	
9										
10										
11										
12										
13										
14										
15										
16										
17										
18										
19										
20										
21										
TOTAL	1	3		2	4	28	28	152	218	

DEPARTMENT OF HOUSING
AND URBAN DEVELOPMENT
GOVERNMENT NATIONAL MORTGAGE ASSOCIATION

BOARD OF DIRECTORS

GOVERNMENT NATIONAL
MORTGAGE ASSOCIATION

President
*Raymond W. Lapin Level V
Executive Vice President (Act'g.)
Harry M. Gilbert GS-17

1 VICE PRESIDENT
(FISCAL MANAGEMENT)
James W. Considine GS-16

4 VICE PRESIDENT
*Harry Bivens GS-16

2 OFFICE OF THE
COMPTROLLER
John L. Burke GS-15

3 OFFICE OF
EXAMINATION & AUDIT
Alexander J. Sternberg GS-15

7 OFFICE OF THE
GENERAL COUNSEL (GNMA)
*Robert N. Reid
See Block 10
Chart No. 3

8 OFFICE OF THE
SECRETARY TREASURER
Arthur Hemstreet GS-16

5 OFFICE OF LOANS
Frank W. Pence GS-15

6 OFFICE OF PERSONNEL
Glendon D. Willey GS-14

9 GNMA AGENCY
(FIELD) OFFICES
Agency Office
Atlanta William D. Cornwell GS-15
Chicago Ralph J. Grutsch GS-15
Dallas Hughes A. King GS-15
Los Angeles Allan E. Arneson GS-15
Philadelphia Kevin E. Keegan GS-15

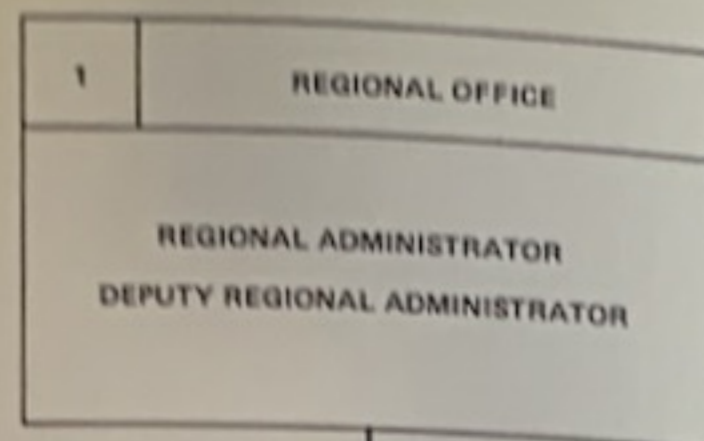
NOTE: This Chart reflects staffing as of October 5, 1968, related to the organization of the Federal National Mortgage Association immediately prior to the operation of title VIII of the Housing and Urban Development Act of 1968, which divided the former FNMA into two new corporate entities: a private corporation retaining the name FNMA, and a Government National Mortgage Corporation within the Department retaining those functions which remain in the Secretary. Working relationships between the two during the period of reorganization are detailed in an Intercorporate Functional Agreement dated September 1, 1968, and a Memorandum of Agreement Between the Secretary and the Federal National Mortgage Association, approved the FNMA Board on October 30, 1968.

The organizational form of the new GNMA within the Department is under study and has not been formally established by the Secretary as of the date of this chart.

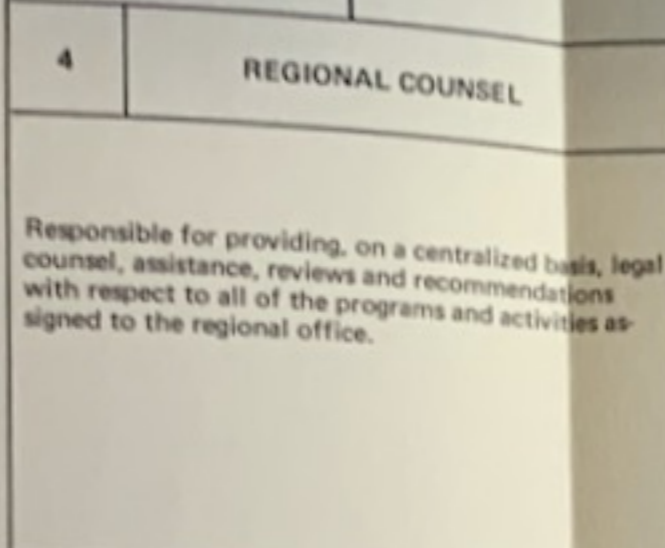
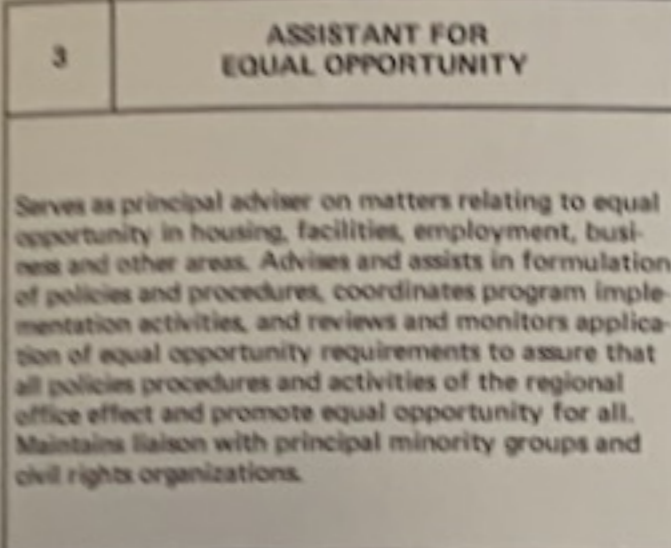
STAFFING DATA

BLOCK NO.	LEVEL IV	LEVEL V	GS 18	GS 17	GS 16	GS 15	GS 14	ALL OTHER	TOTAL
1				1	1	2	1	9	14
2						1	3	23	27
3						1	2	5	8
4						1		4	5
5						1	1	10	12
6							1	5	6
7									
8						1	1	14	16
9						5	24	830	859
10									
11									
12									
13									
14									
15									
16									
17									
18									
19									
20									
21									
TOTAL				1	1	12	33	900	947

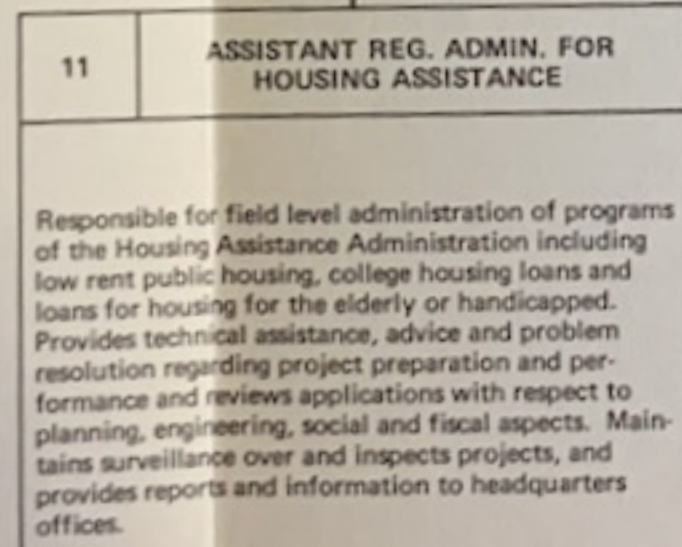
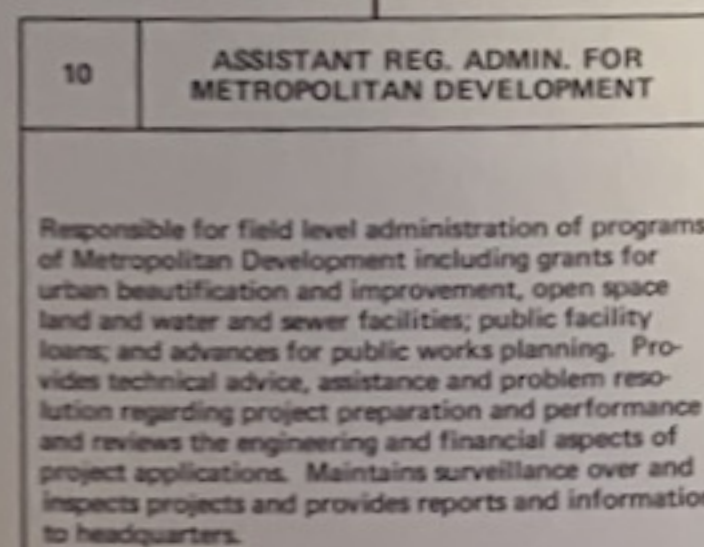
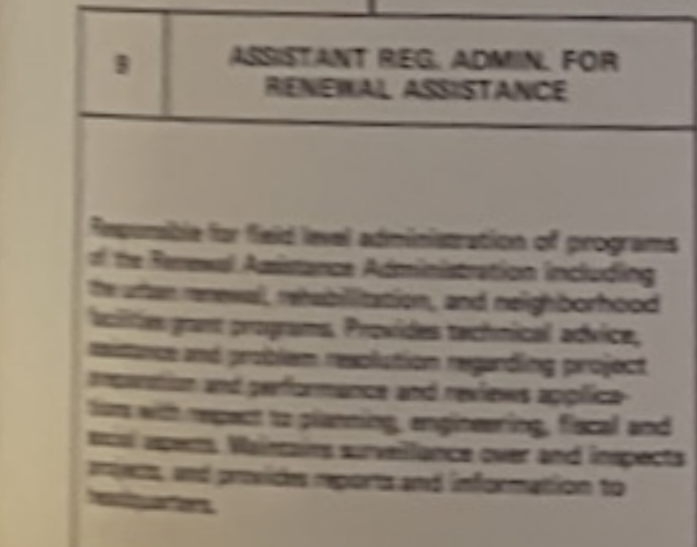
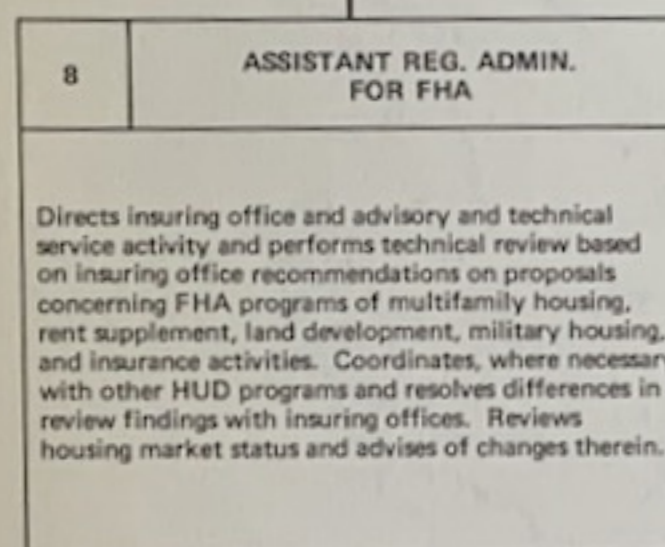
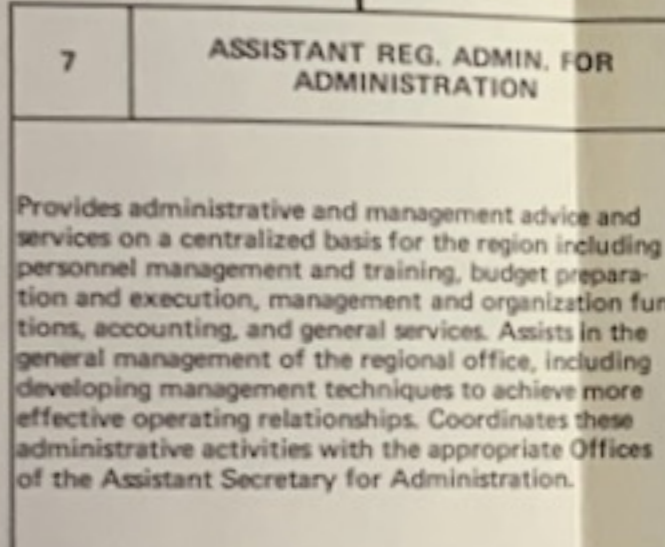
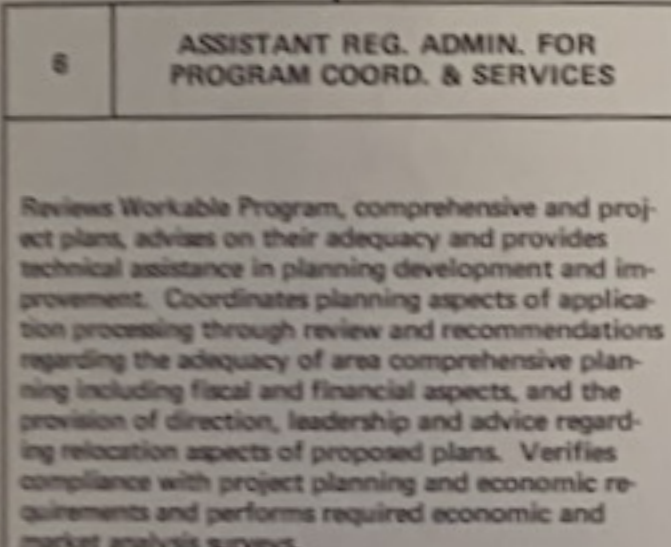
*OFFICER OF PRIVATE FNMA
AS OF DATE OF THIS CHART



SPECIAL ASSISTANT
FOR PUBLIC AFFAIRS



ASSISTANT REGIONAL
ADMIN. FOR MODEL CITIES



REGION I

BLOCK NO.	GS GRADE					9 15 16	TOTAL
	18	17	16	15	14		
1	1	1		2	1	3	8
2				1		1	2
3				1	1	12	14
4				1	6	49	56
5				1	8	7	16
6				1	2	37	40
7				1	1	52	54
8			1	1	3	10	15
9			1	1	7	136	145
10				1	3	30	34
11			1	1	3	140	145
TOTAL	1	1	3	12	35	477	529

REGION II

BLOCK NO.	GS GRADE					9 15 16	TOTAL
	18	17	16	15	14		
1		1	1		1	5	8
2					1	1	2
3				1		13	14
4				1	4	33	38
5				1	5	6	12
6				2	3	49	54
7				1		46	47
8			1	1	2	10	14
9				1	7	132	140
10				1	3	46	50
11				2	5	115	122
TOTAL		1	2	11	31	456	501

REGION III

BLOCK NO.	GS GRADE					9 15 16	TOTAL
	18	17	16	15	14		
1		1	1		1	3	6
2					1	2	3
3					1	15	16
4				1	5	31	37
5				1	5	10	16
6				2	4	57	63
7				1	1	43	45
8				2	2	11	15
9				1	8	121	130
10				1	4	46	51
11				3	5	167	175
TOTAL		1	1	12	37	506	557

REGION IV

BLOCK NO.	GS GRADE					9 15 16	TOTAL
	18	17	16	15	14		
1	1		1	1	1	3	7
2						3	3
3						13	13
4				1	2	38	41
5				2	3	16	21
6				2	4	40	55
7					2	50	52
8				2	2	9	13
9			1	1	8	95	105
10				1	4	57	62
11				1	6	137	144
TOTAL	1		2	11	32	470	516

REGION V

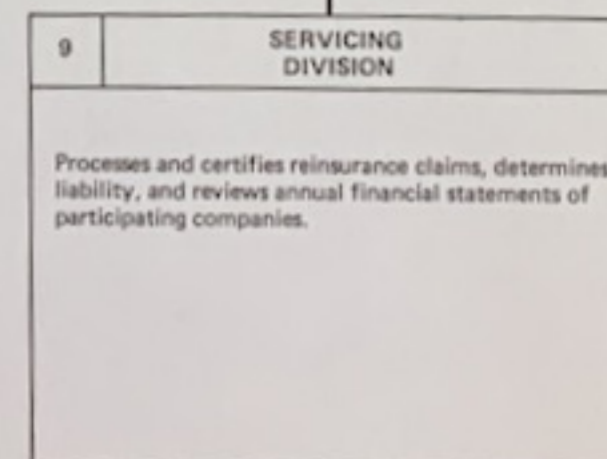
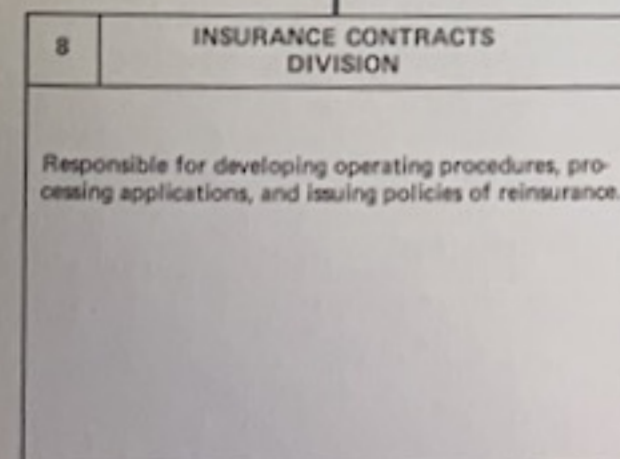
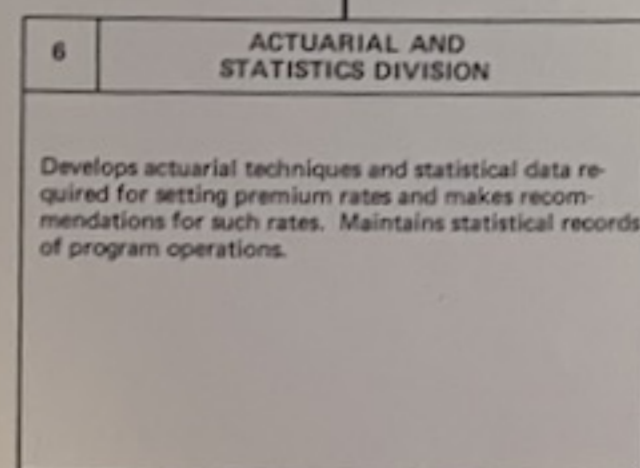
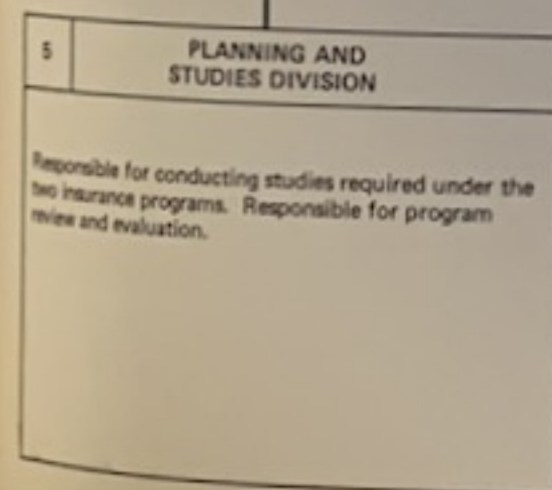
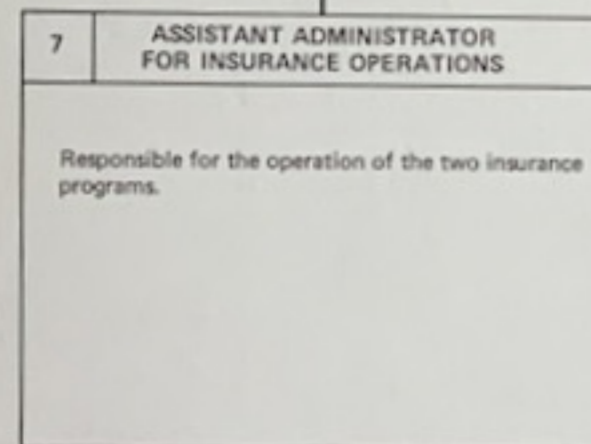
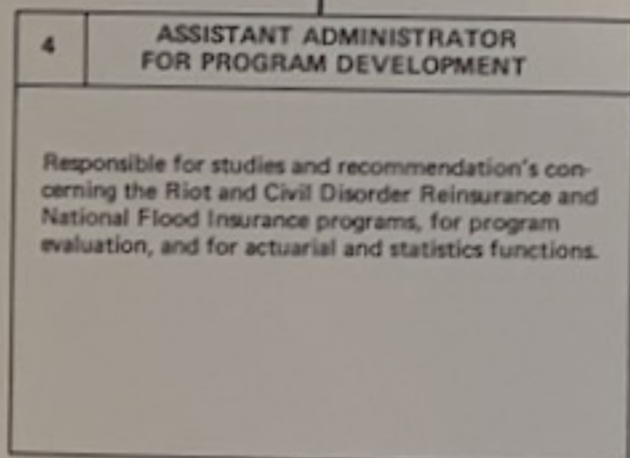
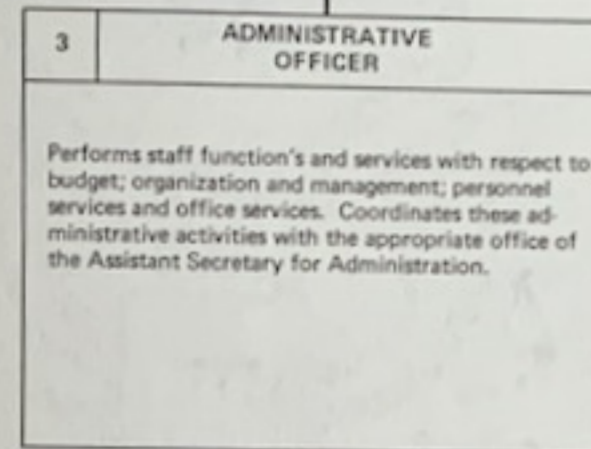
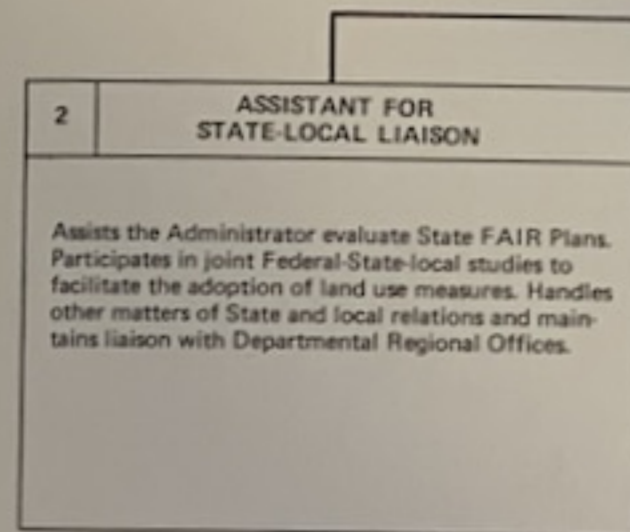
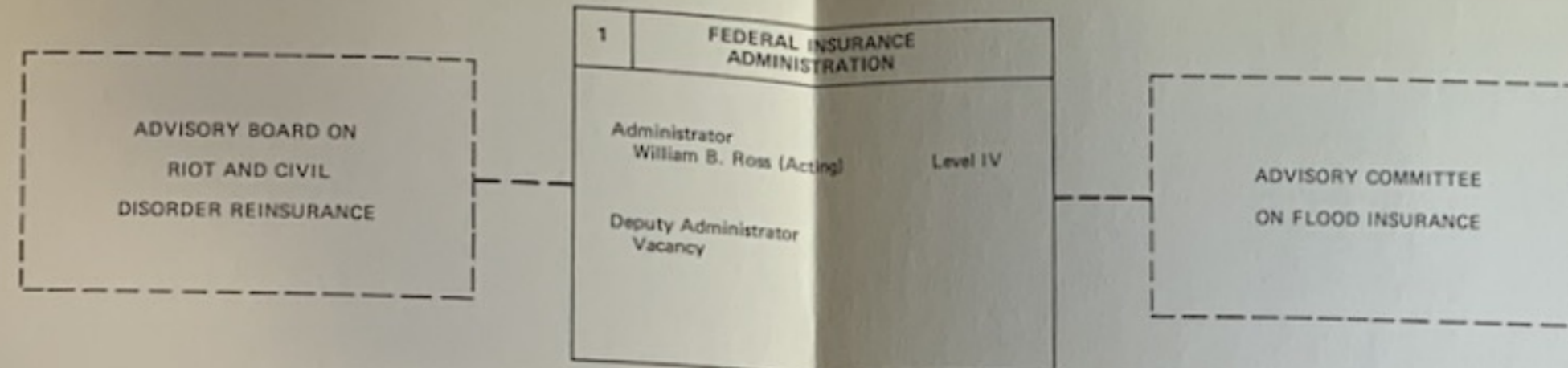
BLOCK NO.	GS GRADE					9 15 16	TOTAL
	18	17	16	15	14		
1		1	1			4	6
2						3	3
3				1		8	9
4				1	5	24	30
5				1	5	8	14
6				1	6	54	61
7				1	4	45	50
8				2	2	8	12
9				1	7	115	123
10				1	5	45	51
11				2	3	127	132
TOTAL		1	1	11	37	441	491

REGION VI

BLOCK NO.	GS GRADE					9 15 16	TOTAL
	18	17	16	15	14		
1		1	1	3	1	14	20
2					1	2	3
3					1	9	10
4				1	6	36	43
5					6	7	13
6				2	4	50	56
7				1	3	59	63
8				2	2	10	14
9			1		4	93	98
10				1	2	60	63
11				2	5	96	103
TOTAL		1	2	12	35	436	486

REGION VII

BLOCK NO.	GS GRADE					9 15 16	TOTAL
	18	17	16	15	14		
1			1	1		3	5
2						3	3
3							
4					1	7	8
5							
6				1	1	8	10
7					1	14	15
8							
9				1		31	32
10						10	10
11				2	1	34	37
TOTAL			1	5	4	110	120



STAFFING DATA

BLOCK No.	LEVEL IV	LEVEL V	GS 18	GS 17	GS 16	GS 15	GS 14	ALL OTHER	TOTAL
1						1		3	4
2									
3									
4									
5									
6									
7									
8									
9									
10									
11									
12									
13									
14									
15									
16									
17									
18									
19									
20									
21									
22									
TOTAL						1		3	4

OFFICE OF THE SECRETARY AND THE
UNDER SECRETARY

Chart 2 shows in functional form the offices attached directly to the Secretary and Under Secretary, and the staffing of these offices as of November 2, 1968.

The various individuals and units making up the Office of the Secretary (which term is used in a collective sense to include the Under Secretary and the staff reporting directly to him) have functioned with a degree of collective identity, although for obvious reasons with a good deal of flexibility. For example, the question of which individuals and functions are most directly supervised by each of the two top officers of the Department has been a matter for arrangement between them. The exception is the Office of the Deputy Under Secretary, for reasons implicit in its title.

The Secretary and the Under Secretary have each had one or more personal and special assistants, varying from time to time in number and in duties. Such assistants are sometimes full-time employees, and sometimes consultants who serve periodically or intermittently.

RESEARCH

UPPER LEVEL
POSITIONS

EXCEPTED POSITIONS

In addition to these individual assistants, the Office as presently constituted includes several organizational units with continuing functional responsibilities. These are:

Deputy Under Secretary
Division of Public Affairs
Office of Congressional Services Staff
Labor Relations
Regional Support Staff
Division of International Affairs
Inspection Division
Office of Business Participation

The workload of these offices varies widely in volume and specific detail from time to time. Their general areas of responsibility and activity are briefly described in the following pages.

RESEARCH

UPPER LEVEL
POSITIONS

EXCEPTED POSITIONS

In addition to the Administrative Officer the staff of this Office as of November 2, 1968 includes 1 professional and 1 clerical employees.

DEPUTY UNDER SECRETARY FOR POLICY
ANALYSIS AND PROGRAM EVALUATION

ORGANIZATION

The Deputy Under Secretary for Policy Analysis and Program Evaluation serves as the general advisor to the Secretary and Under Secretary with respect to overall Departmental policy and its coordination. He participates with the Office of General Counsel in the development of legislative proposals and with the Office of the Assistant Secretary for Administration in the formulation of budgetary requests for the Department.

To these ends, he conducts comprehensive studies and analyses of developments, trends, and problems relating to national housing and community development goals and makes recommendations for changes in program policies and objectives; integrates these studies into policy formulation through the development of a formal planning-programming-budgeting system for the Department; conducts analyses of the housing and mortgage markets; designs or directs the design of data systems to serve the needs of the Department; assembles and evaluates statistical data for Department use; and provides functional supervision for the Secretary with regard to the performance of aforementioned functions throughout the Department.

The Deputy Under Secretary supervises the following organizational units in his office. Each staff is headed by a Director.

Office of Economic and Market Analysis

This office conducts comprehensive studies and analyses in the areas of National and local housing markets and needs, the capital and mortgage markets, and public finance, including economic analysis involving the inter-relationships of housing and capital needs, Department programs, and legislative proposals with the National economy. This office develops policies, standards and procedures for the conduct of comprehensive market analysis for Department programs and exercises functional supervision over the establishment of income limits for Federally assisted housing programs and comprehensive market analysis performed by Regional offices of Economic and Market Analysis.

Program Analysis and Evaluation Staff

This staff undertakes and reviews comprehensive studies and analyses of Department programs and formulates recommendations for program objectives; evaluates the effectiveness of programs in meeting their objectives; identifies and evaluates areas where Departmental policies may be initiated or more effectively implemented; and recommends changes in program policy or emphasis.

Planning-Programming-Budgeting Staff

This staff coordinates the formal PPB system of the Department as part of the Secretary's policy formulation and evaluation system; provides for preparation and review of program memoranda, financial plans and special analytic studies as Department-wide position documents; and provides the identification of the budgetary and financial aspects of the system with the staffs of the Assistant Secretary for Administration.

Data Systems Development Staff

This staff serves as the HUD focal point for policies, guidelines, criteria and standards governing selection, acquisition, and purposes of manual and automated data products, data needs, data systems, and data processing equipment within the Department including the development of concepts, plans, and priorities related thereto. This function complements and provides the policy base for activities of the Reports Management and Control function and the ADP System Management and Operations Office in the Office of the Assistant Secretary for Administration.

Statistical Reports and Analysis Staff

This staff serves as the central unit within the Department for identifying, assembling, analyzing, and disseminating quantitative data needed for Department-wide use and for uses outside the Department. Its reporting and analysis functions complement the development functions of the Data Systems Development Staff.

In addition to the Deputy Under Secretary the staff of this Office as of November 2, 1968 includes 29 professional and 20 clerical employees.

RESEARCH

UPPER LEVEL
POSITIONS

EXCEPTED POSITIONS

LABOR RELATIONS STAFF

The Special Assistant to the Secretary for Labor Relations serves as principal policy advisor and consultant to the Secretary on labor regulations, conditions and trends, wage matters, relations with organized labor and related labor relations activities.

The Special Assistant and his staff are responsible for --

-- Developing procedures for obtaining and disseminating prevailing wage rate determinations required in connection with Department programs.

-- Providing for uniform administration of Department responsibilities under the Davis-Bacon and related labor standards Acts, and applicable regulation of the Secretary of Labor.

-- Developing and overseeing the application of Departmental policies and methods for enforcement of labor standards provisions included in contracts.

-- Handling or arranging for the handling of complaints and inquiries from Members of Congress, labor unions, contractors and other sources concerning labor matters.

RESEARCH

UPPER LEVEL
POSITIONS

EXCEPTED POSITIONS

-- Serving as liaison for the Department with the Department of Labor (except for certain matters dealing with equal employment opportunity, which are assigned to the Assistant Secretary for Equal Employment).

The Special Assistant works with representatives of labor, the building industry, contractors and state and local governments to promote understanding of Departmental objectives and to secure cooperation and support in carrying out labor-related aspects of Department programs.

In addition to the Special Assistant the staff of this Office as of November 2, 1968 includes 6 professional and 3 clerical employees.

RESEARCH

UPPER LEVEL
POSITIONS

EXCEPTED POSITIONS

DIVISION OF PUBLIC AFFAIRS

Press Services Staff

Serving as a link between the press and the Department, the Press Services Staff answers several thousand inquiries a year from the news media, prepares press releases and offers specialized information on HUD programs through press desks serving each Assistant Secretary. Arrangements for press conferences, interviews and speeches of top HUD officials are made by this office. Assistance is also given in the preparation of articles and illustrations for magazines, newspapers and book publishers.

Consumer Services Staff

The Consumer Services Staff helps keep the public informed about the Department's activities. It answers more than 40,000 mail and 20,000 phone inquiries annually and maintains stocks of publications, recent speeches, material on HUD programs and other material needed to handle requests for information. Public interest groups and selected individuals are kept current on developments in housing and urban development by a monthly Newsletter (printed in both English and Spanish) and selective mailings. Additionally, this office arranges speakers for meetings and briefings for groups visiting the Department and staffs a Community Development Information Center (ground floor of the HUD building).

RESEARCH

UPPER LEVEL
POSITIONS

EXCEPTED POSITIONS

Radio and Television Services Staff

The production of all filmed and tape-recorded materials at HUD is supervised by this office. Assistance is given the media and private organizations in preparing materials on housing and urban development.

Publications Services Staff

This office plans and prepares periodicals, reports and studies published by the Department, including a monthly magazine.

In addition to the Director the staff of this Division as of November 2, 1968 includes includes 37 professional and 15 clerical employees.

RESEARCH

UPPER LEVEL
POSITIONS

EXCEPTED POSITIONS

CONGRESSIONAL SERVICES STAFF

The Assistant to the Secretary for Congressional Services serves as the Secretary's principal adviser with respect to Congressional services and is responsible for the provision of services to the Congress for the Department. With the aid of his staff he is responsible for the following activities:

- providing information and answering inquiries from Congressional offices on Department programs and activities.
- informing members of Congress and Congressional committees of programs and legislative plans and actions of the Department in which they have an interest.
- assuring that the principal staff of the Department is kept informed of Congressional views.
- working with the General Counsel in the handling of legislative activities which involve Congressional relations.
- providing an interchange of views in areas of Congressional interest with citizens and public interest groups and with advisory committees established by the Department.

Office of the Secretary & Under Secretary--Cont'd.
Congressional Services Staff--Cont'd.

- contributing to policy formulation through representation of Congressional points of view and the explanation of Department policies to the Congress.
- preparing replies to inquiries referred to the Secretary by members of Congress and the White House.

In addition to the Assistant to the Secretary this Office as of November 2, 1968 includes 5 professionals and 5 clerical employees.

Office of the Secretary & Under Secretary--Cont'd.
Regional Support Staff--Cont'd.

- Assists program Assistant Secretaries on request, in resolving operating problems between headquarters and regional staffs that result from inadequate coordination, misunderstandings or similar causes.
- Prepares special reports on regional problems and performance as requested by the Secretary.

In addition to the Director the staff of this office as of November 2, 1968 includes 3 professional and 1 clerical employees.

DIVISION OF INTERNATIONAL AFFAIRS

This staff advises and assists the Secretary with respect to the Department's international activities. The objectives of HUD's international operations are:

- to acquire, evaluate and disseminate foreign housing and urban information;
- to strengthen HUD decision making on domestic programs by providing operational and policy elements of the Department with relevant foreign experience;
- to build meaningful cooperative relationships with foreign counterpart experience;
- to coordinate the involvement of HUD resources in support of other U. S. Government international programs.

The Division collects, evaluates and disseminates information from other countries regarding innovations and practices in the field of housing and urban development.

The Division supplies support and advice for the Department of State in the formation of policy positions that the United States will assume internationally regarding matters within HUD's competence. It also provides participants for international meetings when appropriate. Under an interagency agreement with AID, it gives technical assistance to that agency and provides similar services to other U. S. government

DIVISION OF INSPECTION

The Division of Inspection is responsible for the development and administration of a program to maintain the integrity of the Department's programs and activities.

Director's Staff. This staff performs all the supervisory, administrative and supporting duties for the Division, including its field staff located in the regional offices. It includes a mail and file room which controls and services over 23,500 files: maintains a data bank on over 325,000 individuals and firms connected with present or past investigations or inspections; and processes some 25,000 pieces of correspondence a year, including 4,000 investigative reports from the Federal Bureau of Investigation.

Investigations Branch. The staff of this Branch is located primarily in the HUD regional centers, with a small supporting group in Washington. While geographically located in the regional offices, these are headquarters employees who report to the Division in Washington. Each regional staff, headed by a field Director, is responsible for maintaining liaison with all HUD program and administrative officials, with the U. S. Attorneys, the Federal Bureau of Investigation, and with other Government agencies and law enforcement officials.

The Investigation Branch conducts investigations of possible violations of law or regulation and other irregularities in the administration of Department programs and 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 agency.

Jurisdiction for investigation is assigned to either the Investigation Branch or other agencies, depending on the nature of the case. Primary responsibility for the investigation of cases involving specific criminal statutes relating to the Department's activities or which are integral to program operations rests mainly with the Division. However, by agreement with the Attorney General, primary jurisdiction for investigations of fraud, false statements and forgeries relating to the FHA was assigned to the FBI. Subsequent agreements assigned to HUD's Investigations Branch primary jurisdiction to investigate all violations of labor standards and prevailing wage rates as they pertain to HUD, including FHA. Additionally, all primary investigations necessary to establish prima facie violations of Federal criminal statutes as well as follow up investigations to determine administrative actions are conducted by the Investigations Branch

Subsequently, where the Department of Justice undertakes prosecution in connection with a criminal violation, the Branch provides support services including the development of additional investigative information on request, making staff available as witnesses for the Government, etc.

Examination Branch. The Examination Branch is responsible for the development and administration of a program to maintain the integrity of programs and activities Department-wide. It does through examinations of selected actual or potential problem areas, reporting to the Secretary and Under Secretary on the integrity and effectiveness of operations and of control procedures

Civil Rights Inspection Branch. This Branch is responsible for:

- (a) Investigation of complaints of discrimination in employment within the Department. These complaints are referred to the Inspection Division by the Assistant Secretary for Equal Opportunity, and the reports of investigation are made to him.
- (b) Periodic or continuing reviews and inspections of the equal opportunity operations and procedures of the Department, as necessary to insure the integrity and effectiveness of such operations and procedures.
- (c) Investigation of specific problems or complaints in the area of equal opportunity when requested by the Secretary, Under Secretary, or Assistant Secretary for Equal Opportunity.

WORKLOAD OF THE INSPECTION DIVISION

Some idea of the volume and distribution of this Division's investigative workload is given by the following summary:

TOTAL INVESTIGATIONS OPENED (Criminal -- excluding FBI investigation)

FISCAL YEAR 1968 AND PROJECTED 1969

	<u>Fiscal 1968</u>	<u>Projected 1969</u>
Federal Housing Administration	344	392
Renewal and Housing Assistance	139	180
Office of the Secretary	2	4
Metropolitan Development	15	16
Model Cities and Governmental Relations	1	0
Federal National Mortgage Association	<u>5</u>	<u>8</u>
TOTALS	506	600
Federal Housing Administration Title I	623	672

In addition to the Director the staff of this Division as of November 2, 1968 includes 47 professional and 26 clerical employees.

OFFICE OF URBAN TECHNOLOGY AND RESEARCH

Prior to mid-1967, Federal research, development and demonstration activities relating to housing, metropolitan growth and urban problems were limited in size, often not related closely to each other, or directly to the Department's most important goals, programs, and problems. Projects were normally awarded in response to unsolicited proposals.

The Federal Housing Administration had an Office of Experimental Housing and Technical Studies Division. Other offices of the Department conducted more or less independently such specialized programs as: the Low-Income Housing Demonstration Program; the Urban Planning Research and Demonstration Program; the Urban Renewal Demonstration Program; Transportation Research; and the study of ways for providing financial assistance in connection with natural disasters.

Establishment of the Office of Urban Technology and Research

In order to create a coordinated and comprehensive research effort, and to lay a sound foundation for its necessary future enlargement, the Secretary in May 1967, established an Office of Urban Technology and Research in the Office of the Secretary, and directed that all but the most closely program-oriented of the Department's R.D. & D programs be transferred to it.

The Director of this Office is the principal advisor to the Secretary on all scientific and technological activities of the Department. The Office (1) serves as a focal point within the Department to coordinate all of its R.D.& D. activities; (2) serves as the principal interface with other Federal Departments and agencies engaged in urban-related research and development work; (3) exercises a line responsibility for the direct administration of certain R.D.& D. projects; and (4) develops the Department's R.D.& D. program-budget and defends it before the Bureau of the Budget and the Congress.

The Office currently has a total staff of 32 of which 20 are professional.

The Department had appropriated \$11.0 million for general research alone (the total for all R.D.& D. activities is appreciably higher) in Fiscal Year 1969, in comparison with \$0.5 million in Fiscal Year 1967 and \$10.0 million in Fiscal Year 1968. The Bureau of the Budget recommended \$25.0 million for Fiscal Year 1970.

1967 - 1968 Activities

In the past twenty months, considerable progress has been made in laying a foundation for a comprehensive R.D.& D. program by establishing new policies, creating more effective management tools, and initiating

new projects. The following are examples:

- (1) Procurement Policy - The Department has moved strongly toward the conception and development of a comprehensive R.D.& D. program closely related to the Department's most important and urgent needs and utilizing primarily competitive bidding procedures to select those to carry out its professional studies.
- (2) Internal Management - The formulation, review and selection of R.D.& D. projects is accomplished on a Department-wide basis under the leadership of the Office of Urban Technology and Research. Research Coordinators representing each major component of the Department express the research needs of the operating programs and other responsibilities of their respective office; as a body, the Research Coordinators participate with the Director of the Office of Urban Technology and Research in the process of determining the Department's program-budget-apportionment.

Department Circular No. 3600.2, of July 23, 1968, provides new Departmental guidelines for the formulation of an integrated research program-budget estimate. Initially, composite plans for each program are submitted in broad terms; later review of complete project plans allows the careful selection of those projects judged to be of greatest value to the Department.

III STAFFING

UPPER LEVEL
POSITIONS

EXCEPTED POSITIONS

- (3) Development of Program Planning Budgeting System (P.P.B.S.) Structure - A P.P.B.S. framework has been developed for the Department's R.D.& D. program. Since the basic purpose of research is to help the Department improve its efficiency and effectiveness, the framework is keyed directly to the basic goals and missions of the Department. The first overall P.P.B.S. study, based on the framework, is now in preparation.
- (4) Research and Development Contract Management - An intra-Department group has been studying the methods used to manage the Department's R.D.& D. projects. Its report, to be issued shortly, is expected to suggest implementation of uniform contracting procedures, a management information system to provide information on a timely basis, and other needed management techniques.
- (5) "Loop Closing" - A study is being made to determine how best to formalize the procedures by which the results of R.D.& D. activities influence the efficiency and effectiveness of the Department's operating programs.

Project Obligations Made in Fiscal Year 1968

A total of \$15,500,000 (including Transportation) was obligated for some 100 projects in Fiscal Year 1968. A few examples of the more significant projects are described briefly in the following paragraphs:

- (1) Urban Institute - The Department awarded the first contract to the newly formed Urban Institute. It was created with the principal objective of building a continuing, interdisciplinary capability to study complex urban problems as a whole, including their relationship to Federal, State and local institutions, organizations, policies and programs. The Institute will become a center of knowledge about city problems; will be oriented to problem solving in the cities; and will develop new knowledge useful to this and other Departments having urban concerns.
- (2) "In-Cities" Experimental Housing Project - In Fiscal Year 1968 this Project was the principal R. & D. effort initiated and directed toward the Departmental goal of assuring decent housing for our lower-income families. Zoning ordinances, building codes, craft labor rules, financial policies, city administrative practices, etc., all serve as difficult obstacles to the prompt introduction of housing innovations which could reduce both cost and construction time. The experiment, consisting of a group of interrelated sub-experiments to be conducted in each of 10 - 20 cities, is designed to measure the character and magnitude of such constraints, to determine their influence, and to learn the extent to which they will yield in the presence of information and experience.
- (3) Model Cities Evaluation - An overall Departmental plan was developed to evaluate the impact of the Model Cities program on local residents, institutions and organizations. A number of R. & D. projects were

III STAFFING

UPPER LEVEL
POSITIONS

EXCEPTED POSITIONS

initiated to provide information needed for such an evaluation, including the design, development and testing of prototype City information procedures; a study of the planning and decision making process in selected cities; and resident observer studies in which model neighborhood residents will be trained and will work with professionals to study the effect of the program on their neighborhoods.

- (4) University Summer Studies - During the summer, studies in specific subject areas were conducted at nine universities. Each study brought together a multi-discipline team from within the host University, other Universities, members of city governments and representatives of community interests. The studies generally addressed how to make more effective use of scientific and technological tools in the design and operations of cities; how to make use of, and organize, their local communities' physical and social resources for stabilizing and obtaining increased security of these communities; and what organizational and administrative methods can improve the provision of urban services.

- (5) Public Utilities - The cost of providing essential municipal services is oftentimes so great that the provision of other services is seriously limited. Three contracts have been awarded to the Atomic Energy Commission to study problems related to basic

services: the technical and economic factors involved in the volume reduction of solid waste through underwater combustion and collection of the residue, using the sewer system for disposal; less expensive and more efficient ways of constructing small horizontal tunnels for water, sewer, and other utilities systems; and the possibility of supplying large quantities of thermal energy (heat), now generated by nuclear power plants as a wasted by-product, for city use.

The Department is also involved in active cooperative R.D. & D. activities with the Departments of Commerce; Defense; Health, Education and Welfare; the Bureau of the Census, the Atomic Energy Commission and the Office of Economic Opportunity.

Significant Aspects of the Program's Future

In the next year or so, the following appear to be the most important matters requiring the attention of the Department in the R. & D. area:

--Further developing administrative mechanisms designed to assure that R. & D. results are utilized promptly and effectively by the operating program managers.

--Attending to the successful execution of the large, pioneering "In-Cities" experimental housing project.

--Developing a major innovative housing program responsive to Section 108 of the 1968 Act--an experimental undertaking potentially ten times the size of the In-Cities experiment.

--Improving or creating institutional relationships to draw upon the technological skills of the Universities and of scientists, engineers, architects, planners and others, both for advice and for active participation in urban research efforts.

--Encouraging by all available means a broadening of the country's urban-related R. & D. professional base, including the development of programs, funding and organizational competence at the State and local level.

--Improving communication and coordination among and between all Federal Departments and agencies having urban-related R. & D. activities.

Successful solution of these problems, in addition to the energetic pursuit of the research efforts already under way, can be expected to require substantial growth in the professional and administrative staff now assigned to this area of activity in the Department.

STAFFING

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APPOINTMENTS MADE BY THE PRESIDENT WITH ADVICE AND
CONSENT OF THE SENATE

<u>TITLE</u>	<u>NAME</u>
<u>Level I - \$35,000</u>	
Secretary	
<u>Level III - \$29,500</u>	
Under Secretary	Robert C. Wood
<u>Level IV - \$28,750</u>	
General Counsel	Thomas C. McGrath
Assistant Secretary for Mortgage Credit and Federal Housing Commissioner	Philip N. Brownstein
Assistant Secretary for Renewal and Housing Assistance	Don Hummel
Assistant Secretary for Model Cities and Governmental Relations	H. Ralph Taylor
Assistant Secretary for Metropolitan Development	Charles M. Haar
Assistant Secretary for Equal Opportunity	Walter B. Lewis
Assistant Secretary*	Vacant

Except as noted in the next paragraph, the functional titles shown above for Assistant Secretaries are assigned in Organization

*An additional Assistant Secretary position was established by section 1708 of the Housing and Urban Development Act of 1968. There has been no appointment to this office, and no functions have been assigned to it by the Secretary. The Committee reports indicate that this position would be used to supervise the research programs and the engineering and technical services of the Department, but this explanatory statement is not reflected in the statutory language and is not legally binding on the Secretary.

EXCEPTED POSITIONS

Appointments Made by the President with
Advice and Consent of the Senate--Cont'd.

Orders of the Secretary. The commission signed by the President in each case appoints the individual simply as "an Assistant Secretary of the Department of Housing and Urban Development."

With respect to the title of Assistant Secretary for Mortgage Credit and Federal Housing Commissioner, the descriptive language "for Mortgage Credit" was added by the Secretary. However, the Departmental Status Act requires that there be in the Department "... a Federal Housing Commissioner ... who shall be one of the Assistant Secretaries ...". This portion of the title, therefore, can be regarded as statutory.

Recess Appointments

Recess appointments are appointments made by the President during the adjournment of the Senate to positions requiring Senate confirmation.

Only one officer of the Department is serving under a recess appointment: Mr. Walter B. Lewis, Assistant Secretary for Equal Opportunity. Mr. Lewis' nomination to this position was sent to the Senate, but was not acted upon before the 90th Congress adjourned. Subsequently the President appointed him Assistant Secretary.

Under the law, if an individual serving under a recess appointment is to continue in the office his nomination must again be sent to the Senate within 40 days after the Senate again meets.

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APPOINTMENTS BY THE SECRETARY

GENERAL

The Exercise of Appointing Authority

Appointing authority is the legal power to make appointments to positions in the Department, and embraces the power to reassign, promote, demote and dismiss as well as the power to make the original appointment.

Appointing authority is vested by law in the Secretary, and may be exercised only by him (or a person duly acting as Secretary) except to the extent that he may delegate such authority to other officers and employees of the Department.

The personnel delegations presently in effect in HUD authorize:

- (a) The Assistant Secretary for Administration, and through him the Director of Personnel, or his designee, to take final action with respect to headquarters positions and employees in Grades GS-1 through GS-15, or equivalent rates, and Wage Board positions and employees at all grades, except in both cases positions and employees in FHA.

- (b) The Regional Administrators, or their designees, to take final action with respect to Regional Office positions and employees exclusive of FHA in Grades GS-1 through GS-15, or equivalent rates, and Wage Board positions and employees at all grades; provided, however, that at Grades GS-14 and GS-15 prior Central Office counterpart or program head approval must be obtained.
- (c) The Assistant Secretary for Mortgage Credit and Federal Housing Commissioner, or his designee, to take final action with respect to FHA positions and employees at Grades GS-1 through GS-15, or equivalent rates, and Wage Board positions and employees at all grades; provided, however, that prior approval of the Secretary, or his designee, is required for all positions and employees in Grades GS-16 and above or in Schedule C, and positions and employees to head first-line field establishments regardless of grade.

These delegations can be extended, modified or withdrawn by the Secretary at any time.

Required Clearances; Commitments and Announcements

Civil Service regulations provide that all appointments and assignments to positions in Grades GS-16, GS-17 and GS-18 (\$22,835-\$28,000 per annum) be made only after the Commission has approved

EXCEPTED POSITIONS

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Appointments by the Secretary--Cont'd.

the grade level of positions and the qualifications of the proposed appointees. Appointments and assignments to competitive positions in the Executive Salary Schedule (Levels I through V) also require Commission approval of the candidates' qualifications.

Under certain circumstances security investigations are required in accordance with Executive Order 10450. Because of the necessity for obtaining these approvals of positions and candidates, and the fact that the Department has little or no control over the time involved neither firm commitments for employment nor announcement of key appointments should be made by any official or employee of the Department until the required clearances have not only been provided but received. This is a practical rule of thumb, and to disregard it can lead to serious embarrassment for candidates, for the Secretary, and for the White House. Except where special arrangements are desired on a case basis, the Office of Personnel arranges for official notification to candidates for employment and for reporting dates as soon as clearances are completed.

Reassignments and Separations

Career employees in competitive positions can be reassigned to positions of equal rank and pay, for which they are qualified. A career employee in such a position is not subject to reassignment to a position which would result in loss of rank or pay; or to

EXCEPTED POSITIONS

termination of services except under serious charges, or by virtue of a disability retirement, or reduction in force brought about by reorganization or curtailment of functions or funds. If action based on charges is proposed it is considered an adverse action, against which the employee has appeal rights, depending on the circumstances, within the Department, to the Civil Service Commission, and to the Courts.

Some positions in the Government are exempt by statute or regulation from application of the rules affording career employees protection from arbitrary dismissal, although the separation of the incumbents of such jobs still follows an orderly process prescribed by the Civil Service Commission. Most of these excepted positions are of a policy-making or confidential nature; some involve the advocacy of policy. It is essential that the individuals serving in them have the personal confidence of those who appoint them. Lack of such personal confidence therefore is an acceptable basis for taking action to terminate the services of employees in these positions, or to reassign them to other available positions in HUD for which they meet Civil Service qualification standards. The general rules governing the separation of non-career employees are summarized in the following section.

EXCEPTED POSITIONS

PROVISIONS FOR SEPARATING EMPLOYEES SERVING IN EXCEPTED POSITIONS
(Non-Career, Schedule A (other than Attorneys) and Schedule C)

The following are the basic provisions for separating from HUD employment any employees serving in excepted (i.e., non-competitive) positions. It must be emphasized, however, that their application in specific cases may involve exceptions to the rules and procedures cited here. The procedures governing separation, demotion, or reassignment of employees are established by law and regulation and create employee rights which can be enforced. Procedural errors may serve as a basis for employee appeals to the Civil Service Commission and the courts, and have often resulted in nullification of the action taken.

Separation Procedures

An employee may be removed by the appointing officer when the employee's qualifications or working relationships required for the position change or cease (or when the Civil Service Commission revokes the exception of the position and thereby places it back in the career service). There are essentially three types of procedures prescribed for the removal of employees from excepted positions. The kinds of cases and the procedure required in each are summarized below:

GROUP 1

Coverage: All non-veterans (except for the special situation described in Group 3 below), and veterans with less than one year of current continuous Federal service (except for the special situation described in Group 2 below).

Procedure: The employee must be given written notice prior to separation date. Reasons for the proposed action are not required to be specified. The employee has no legal or procedural protection beyond such notice. It has been the practice of HUD to give 30 days advance notice whenever possible.

GROUP 2

Coverage: Veterans with one year or more of current continuous service; or with less than one year but with status in his present position (i.e., having been assigned to a competitive position, which was converted to an excepted position during his incumbency).

Procedure: The employee must receive not less than 30 days advance written notice of the intended action, specifying the reasons for it. He has the right to answer in writing and in person. He must then receive a written decision from the Department, which must include information as to his right to appeal personally and in writing to the Civil Service Commission. If the Commission entertains the appeal it may (a) uphold the decision of the Department; (b) order the employee's reinstatement, if the position from which he was separated still exists, or (c) order that he be offered a position of like rank and salary. The separation may be made effective while still under appeal; however, back pay from the effective date of the action appealed has been awarded in such cases where the position of the employee was finally sustained. While there is no statutory right of appeal to the courts from the action of the Commission, such cases have been litigated and an appeal may be made by any employee who raises a question which the court agrees to review.

GROUP 3

Coverage: Non-veterans with status, who continue to serve in a position which is changed from competitive to excepted, for so long as they continue to serve in that position.

Procedure: The employee must receive advance written notice of the action, specifying reasons for it. He has a right to answer in writing, and must receive a final written decision from an appropriate official of the Department, whether or not he has made a written answer. This decision is final.

Provisions for Separating Employees
Serving in Excepted Positions--Cont'd.

Salary Savings and Highest Rate Provision

An employee who is reduced in rank from a position above GS-18 to GS-18 or under, may have his salary in the reduced grade set at the step nearest his previous salary.

An employee in GS-18 or under who is reduced in grade, and who served the preceding two years in HUD in grades higher than the reduced grade, may retain his present salary for two years.

An employee in GS-18 or under who is reduced in grade, and who served the preceding two years in HUD, may have his salary in the reduced grade set at the step nearest his previous salary.

KINDS OF POSITIONS--APPOINTMENT AND TENURE

For purposes of appointment and tenure, each position in the executive branch of the Federal service is assigned to one of the categories or sub-categories described below. The Assignment of a position may be changed by an official personnel action to reflect changed circumstances, correct a previous error, or for similar reasons; however, at any given point in time each position is recorded as falling in one of the following groups:

1. Competitive positions, to which appointment is made only after the successful completion of an examination prescribed by the Civil Service Commission. (The form of examination prescribed may or may not be a competitive process, but this has no bearing on the status of the position.) An appointee to a competitive position is eligible for Civil Service status following successful completion of a probationary period of one year. The majority of positions falls in this group.
2. Excepted positions are those excepted from the competitive service by statute or by specific authority of the Civil Service Commission. Appointment to an excepted position does not confer or provide eligibility for competitive status; conversely, it does not deprive of competitive Civil Service status employees who have already achieved

such status in other positions. Excepted positions may be:

- (a) Statutory. Positions established by law to which the appointments are to be made by the Secretary of a Department are sometimes excepted by express language, such as provision that they shall be appointed "without regard to the provisions of the civil service laws". There are no such statutory positions in the Department at the present time. Positions filled by appointment of the President with confirmation by Senate are not, of course, in the Civil Service system.
- (b) Non-career executive positions. These are positions in Grades GS-16, GS-17 and GS-18 under the Executive Assignment System for which competitive procedures are not required (as contrasted with career executive positions in these grades). These positions are excepted from the competitive service by authority of the Civil Service Commission, and typically carry significant responsibility for policy determination or advocacy.
- (c) Schedule A includes positions, neither policy-making nor confidential, for which it is not practicable to examine.

Special note concerning attorneys. The largest single group of positions in Schedule A consists of attorneys. While all attorney positions are in Schedule A, and are thus technically in the excepted service, they are by universal practice and acceptance treated as a separate competitive service within that schedule. Thus the ordinary rules for separation of employees from excepted positions as outlined herein are, in the case of attorneys, applied only to those who (in addition to being in Schedule A as are all attorneys) also occupy positions which because of policy-making or similar responsibilities are also classified as non-career executive assignments or as Schedule C. There are three such positions currently in the Department, and they are so identified in the appropriate lists of excepted positions.

- (d) Schedule B. This Schedule consists of positions, neither policy-making nor confidential, for which the Commission determines it is not practicable to hold a competitive examination. Its most common use is for 90-day appointments for students in a professional field of study at the college level who are employed under a work-study program. There are no employees in HUD at the present time in this Schedule.

- (e) Schedule C. This Schedule includes policy-making, policy-advocating, and confidential positions below Grade GS-16, and some positions in the Executive Salary Schedule which are established under Presidential (not legislative) authority. Confidential assistants and secretaries to the Secretary, Under Secretary, Deputy Under Secretary, and Assistant Secretaries typically are appointed under Schedule C authority.
- (f) W.A.E. ("When actually employed"). This term designates another major group of positions excepted from the competitive service, and applies principally to experts and consultants employed on a temporary or intermittent basis and paid only for those days on which they actually work for the Government

The following pages list the excepted positions now authorized by the Civil Service Commission, and the incumbents of those positions now filled.

Non-Career, Schedule A (other than Attorneys) and Schedule C
(From information available as of November 30, 1968)

Position Title	Grade	Incumbent	Type of Appointment	Personal Status		Veteran		Years Service
				Yes	No	Yes	No	
OFFICE OF THE SECRETARY								
Federal Insurance Administrator	Level IV	Vacant	Sch. C.					
Deputy Under Secretary for Policy Analysis and Program Evaluation	Level V	William B. Ross	Sch. C	X		X		16
Assistant to the Secretary for Congressional Services	GS-18	L. Edward Lashman, Jr.	NEA		X	X		4
Executive Assistant to the Secretary	GS-17	Jay Janis	NEA		X	X		6
Special Assistant to the Secretary	GS-17	John Frantz	NEA	X		X		31
Director, Office of Equal Opportunity	GS-17	Vacant	NEA					
Special Counsel and Assistant to the Under Secretary	GS-17	Vacant	NEA					
Director, Inspection Division	GS-17	William H. T. Smith	Sch. A		X	X		3
Director, Division of International Affairs	GS-16	James A. Moore	NEA		X	X		12
Director of Public Affairs	GS-16	Gerald Huard	NEA		X	X		11
Deputy Director of Public Affairs	GS-16	Robert Murray	Taper*		X		X	4
Deputy Assistant to the Secretary for Congressional Services	GS-16	Andrew I. Hickey	NEA	X		X		22
* Temporary appointment, pending establishment of a register								

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* Temporary appointment, pending establishment of a register

Non-Career, Schedule A (other than Attorneys) and Schedule C
 (From information available as of November 30, 1968)

Position Title	Grade	Incumbent	Type of Appointment	Personal Status		Veteran		Years Service
				Yes	No	Yes	No	
OFFICE OF THE SECRETARY (continued)								
Director of Regional Support	GS-16	Booker T. McGraw	NEA	X			X	27
Special Assistant for Labor Relations	GS-16	Vacant	NEA					
Special Assistant to the Secretary	GS-15	Vacant	Sch. C					
Administrative Assistant to the Secretary	GS-15	Vacant	Sch. C					
Special Assistant to the Under Secretary	GS-15	Preston Brown	Sch. C		X		X	1
Special Assistant to the Under Secretary	GS-15	Vacant	Sch. C					
Special Assistant to the Under Secretary	GS-15	John E. Zuccotti	Sch. C		X		X	2
Deputy Director, Division of International Affairs	GS-15	Philip Patman	Sch. C		X		X	14
Director, Office of Business Participation	GS-15	Robert F. McAuliffe	Sch. C		X	X		2
Special Assistant to the Director of Public Affairs	GS-15	Vacant	Sch. C					
Special Assistant to the Under Secretary	GS-14	Ruth Prokop	Sch. C		X		X	7
Congressional Liaison Assistant	GS-14	Walter Hasty	Sch. C		X	X		6
Executive Secretary to the Secretary	GS-13	Vacant	Sch. C					

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EXCEPTED APPOINTMENTS--EXISTING OR AUTHORIZED

Non-Career, Schedule A (other than Attorneys) and Schedule C

(From information available as of November 30, 1968)

Position Title	Grade	Incumbent	Type of Appointment	Personal Status		Veteran		Years Service
				Yes	No	Yes	No	
OFFICE OF THE SECRETARY (continued)								
Congressional Liaison Assistant	GS-13	Vacant	Sch. C					
Congressional Liaison Assistant	GS-13	Vacant	Sch. C					
Private Secretary to the Under Secretary	GS-12	Astrid Gram	Sch. C		X		X	6
Executive Secretary	GS-11	Vacant	Sch. C					
Secretary to the Assistant for Congressional Services	GS-9	Vacant	Sch. C					
Confidential Assistant and Private Secretary	GS-9	Vacant	Sch. C					
Private Secretary to Deputy Under Secretary for Policy Analysis and Program Evaluation	GS-9	Vacant	Sch. C					
Secretary and Confidential Assistant to the Director of Public Affairs	GS-9	Vacant	Sch. C					
Secretary to the Director of Regional Support	GS-8	Sara L. Goins	Sch. C	X			X	13
Secretary to the Director, Office of Equal Opportunity	GS-8	Jean Lovejoy	Sch. C	X			X	7

Non-Career, Schedule A (other than Attorneys) and Schedule C
 (From information available as of November 30, 1968)

Position Title	Grade	Incumbent	Type of Appoint- ment	Personal Status		Veteran		Years Service
				Yes	No	Yes	No	
		<u>OFFICE OF GENERAL COUNSEL</u>						
Deputy General Counsel	GS-18	Ashley Foard	NEA	X			X	33
General Counsel, FHA	GS-17	Adolphus M Prothro	NEA	X		X		34
Chief Counsel, Renewal Assistance Administration	GS-16	S. Leigh Curry	NEA	X		X		17
Private Secretary to the General Counsel	GS-11	Vacant	Sch. C					
			</					

Non-Career, Schedule A (other than Attorneys) and Schedule C
(From information available as of November 30, 1968)

Position Title	Grade	Incumbent	Type of Appointment	Personal Status		Veteran		Years Service
				Yes	No	Yes	No	
ASSISTANT SECRETARY FOR MORTGAGE CREDIT AND FEDERAL HOUSING COMMISSIONER								
Deputy Assistant Secretary for Mortgage Credit	Level V	Philip Maloney	Sch. C	X		X		27
Executive Assistant Commissioner	GS-17	Vacant	NEA					
Assistant Commissioner for Technical Standards	GS-17	Charles A. Dieman	NEA	X		X		24
Assistant Commissioner for Multifamily Housing	GS-17	Morton W. Schomer	NEA		X	X		16
Assistant Commissioner for Field Operations	GS-17	Vacant	NEA					
Assistant Commissioner for Programs	GS-17	M. Carter McFarland	NEA	X			X	26
Assistant Commissioner for Property Improvement	GS-16	Charles W. Walsh		X		X		27
Assistant Commissioner for Home Mortgages	GS-16	J. Guy Arrington		X		X		29
Assistant to the Commissioner for Inter-group Relations	GS-15	Arthur J. Bradford	Sch. C	X		X		10
Assistant to the Commissioner for Special Projects	GS-15	Vacant	Sch. C					
Special Assistant for Elderly Housing	GS-15	Vacant	Sch. C					

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Non-Career, Schedule A (other than Attorneys) and Schedule C
 (From information available as of November 30, 1968)

Position Title	Grade	Incumbent	Type of Appointment	Personal Status		Veteran		Years Service
				Yes	No	Yes	No	
OFFICE OF THE ASSISTANT SECRETARY FOR RENEWAL AND HOUSING ASSISTANCE								
Deputy Assistant Secretary for Housing Assistance Administration	Level V	Vacant	Sch. C					
Deputy Assistant Secretary for Renewal Assistance Administration	Level V	Robert C. McCabe	Sch. C	X		X		22
Deputy Assistant Secretary for Renewal and Housing Assistance	GS-18	Howard Wharton	NEA	X			X	33
General Deputy, Renewal Assistance Administration	GS-17	Robert Maffin	NEA		X	X		4
General Deputy, Housing Assistance Administration	GS-17	Abner Silverman	NEA	X		X		30
Director, Office of Community Development	GS-17	James G. Banks	NEA	X			X	24
Assistant to the Assistant Secretary on Problems of the Elderly and the Handicapped	GS-16	Marie McGuire	NEA		X		X	7
Assistant Commissioner for Program Planning(Obsolete Position)	GS-16	Sol Ackerman	Sch. C		X		X	11
Special Assistant to the Assistant Secretary	GS-15	Robert W. Notti	Sch. C		X	X		10
Deputy Assistant for Problems of the Elderly and the Handicapped	GS-15	Moses Gozonsky	Sch. C		X	X		12

Non-Career, Schedule A (other than Attorneys) and Schedule C
 (From information available as of November 30, 1968)

Position Title	Grade	Incumbent	Type of Appointment	Personal Status		Veteran		Years Service
				Yes	No	Yes	No	
OFFICE OF THE ASSISTANT SECRETARY FOR RENEWAL AND HOUSING ASSISTANCE (continued)								
Staff Assistant to Deputy Assistant Secretary, HAA	GS-12	Vacant	Sch. C					
Private Secretary to the Assistant Secretary	GS-11	Margaret E. Gooding	Sch. C	X			X	21

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Non-Career, Schedule A (other than Attorneys) and Schedule C
 (From information available as of November 30, 1968)

Position Title	Grade	Incumbent	Type of Appointment	Personal Status		Veteran		Years Service
				Yes	No	Yes	No	
OFFICE OF THE ASSISTANT SECRETARY FOR MODEL CITIES AND GOVERNMENTAL RELATIONS								
Director, Model Cities Administration	Level V	Walter Farr	Sch. C		X	X		9
Deputy for Model Cities and Governmental Relations	GS-17	Vacant	NEA					
Deputy Director, Model Cities Administration	GS-17	John A. Buggs	NEA		X		X	1
Director, Program Operations and Technical Assistance	GS-16	John W. McLean	Taper *		X	X		7
Special Assistant to the Assistant Secretary	GS-15	James A. King	Sch. C		X		X	5
Congressional Services Officer	GS-15	Horace Cherry	Sch. C		X		X	3
Special Assistant to the Assistant Secretary	GS-13	Vacant	Sch. C					
Private Secretary to Assistant Secretary and Governmental Relations	GS-11	Virginia Battle	Sch. C	X			X	16
* Temporary appointment, pending establishment of a register								

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Non-Career, Schedule A (other than Attorneys) and Schedule C
 (From information available as of November 30, 1968)

Position Title	Grade	Incumbent	Type of Appointment	Personal Status		Veteran		Years Service
				Yes	No	Yes	No	
OFFICE OF METROPOLITAN DEVELOPMENT								
Director, Office of Urban Transportation Development and Liaison	Level V	Vacant	Sch. C					
Director, Community Resources Development Administration	Level V	Arthur A. Davis	Sch. C	X		X		22
Deputy Assistant Secretary for Metropolitan Development	GS-18	Vacant	NEA					
General Deputy, Community Resources Development Administration	GS-16	Robert M. Paul	NEA		X	X		10
Special Assistant to the Assistant Secretary	GS-15	Vacant	Sch. C					
Special Assistant to the Assistant Secretary	GS-14	Vacant	Sch. C					
Assistant to the Assistant Secretary	GS-13	Barbara M. Hogan	Sch. C		X		X	1
Staff Assistant for Metropolitan Development	GS-11	Vacant	Sch. C					
Private Secretary to the Assistant Secretary	GS-11	Ruth Y. Clark	Sch. C	X			X	17
Private Secretary to the Director, Urban Transportation Administration	GS-9	Marlys M. Dengler	Sch. C	X			X	19

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Non-Career, Schedule A (other than Attorneys) and Schedule C
 (From information available as of November 30, 1968)

Position Title	Grade	Incumbent	Type of Appoint- ment	Personal Status		Veteran		Years Service
				Yes	No	Yes	No	
<u>GOVERNMENT NATIONAL MORTGAGE ASSOCIATION</u>								
President, Federal National Mortgage Association	Level V	Vacant	Sch. C					
Technical Assistant to the President	GS-14	Vacant	Sch. C					

-11-

POSITION LEVELS AND RATES OF PAY

The great majority of all positions in the Department fall into one of three major categories for purposes of grade level and compensation:

- The Executive Level positions, established to accommodate mainly the Cabinet, sub-Cabinet, bureau head, and similar positions.
- The so-called "supergrades": three classified grades designated as GS-16, 17 and 18, which were created above the older classified structure which was topped by grade GS-15.
- The regular classified positions, ranging from GS-1 through GS-15.

These groups are briefly characterized and their rates of compensation given below.

Executive Pay Levels. The Federal Executive Salary Act of 1964 established the Federal Executive Salary Schedule with pay divisions from Level I through Level V, and specified the positions for inclusion at each level. Additional positions have been added to the Schedule from time to time.

The Act further provides that, in addition to the positions specifically designated and those added by subsequent legislation, the President may establish positions for not more than 34 individuals at Levels IV and V "when he considers that action necessary to reflect changes in organization, management responsibilities, or workload in any Executive agency".

Position Levels and Rates of Pay--Cont'd.

The salaries attaching to these levels under present law are as follows:

Level I	\$35,000
Level II	\$30,000
Level III	\$29,500
Level IV	\$28,750
Level V	\$28,000

The Act creating the Department places the position of Secretary in Level I; the Under Secretary in Level III; the General Counsel and the Assistant Secretaries (except for the Assistant Secretary for Administration) in Level IV; and the Assistant Secretary for Administration in Level V. In addition, the Secretary is authorized (apart from any positions that may be established under the Presidential authority cited above) to fix the compensation of not more than seven other positions in the Department at Level V.

Supergrades. Positions classified in GS-16, GS-17 and GS-18 are numerically restricted by law. The existing statutory authorization is for not to exceed 2,577 such positions (with exceptions allowed for engineering research and development positions; professional positions in medicine and the natural and physical sciences; hearing examiners; and a specified number of positions in certain agencies). HUD has 117 supergrade positions.

Position Levels and Rates of Pay--Cont'd.

The table on the following page shows the number and the organizational distribution of Executive Level and supergrade positions now in the Department.

POSITIONS

EXECUTIVE POSITIONS IN HUD (as of November 15, 1968)

	Executive Salary Act					Classification Act		
	Level					Grade		
	I	II	III	IV	V	18	17	16
<u>Office of the Secretary</u>								
Immediate Office	1	-	-	-	-	1	2	0
Other Staff Offices	-	-	-	-	-	0	2	6
National Commission on Urban Problems	-	-	-	-	-	1	1	1
Office of General Counsel	-	-	-	1	-	1	2	8
Office of the Under Secretary	-	-	1	-	1	0	3	3
Office of Urban Research & Technology	-	-	-	1	-	1	1	2
Federal National Mortgage Association	-	-	-	-	1	-	1	3
Federal Insurance Administrator	-	-	-	1	-	-	-	-
Assistant Secretary for Administration	-	-	-	-	1	1	3	5
Assistant Secretary for Equal Opportunity	-	-	-	1	1	-	-	-
Assistant Secretary for Mortgage Credit and FHA Commissioner	-	-	-	1	1	0	6	11
Assistant Secretary for Metropolitan Development	-	-	-	1	2	1	1	6
Assistant Secretary for Model Cities and Government Relations	-	-	-	1	2	0	4	4
Assistant Secretary for Renewal and Housing Assistance	-	-	-	1	2	1	3	10
<u>Regional Offices</u>								
Region I						1	1	3
Region II						-	1	2
Region III						-	1	2
Region IV						1	-	3
Region V						-	1	2
Region VI						-	1	2
Region VII						-	-	1
TOTALS	1	0	1	8	11	9	34	74 = 117

Regular Classification Grades GS-1 through GS-15. The great majority of both professional and clerical positions in the Department are classified in the regular grades GS-1 through GS-15. The Classification Act and related legislation state the policy that Federal pay should be based on equal pay for substantially equal work for all employees, and that Federal pay rates should be comparable with those of private industry for the same levels of work. Pay rates for each grade are established by legislative action, and may be adjusted by the Congress either upward or downward, while the grade levels, per se, remain constant. The legislation provides for annual pay comparability surveys of the private sector as against the Federal Government to provide a basis for adjustments in the pay structure. Within each grade, including for this purpose grades GS-16 and 17, there is a specified range of pay rates providing periodic step increments which increase in dollar amount and time intervals with the length of time in the grade. A chart on the following page shows the grade and salary structure of positions covered by the Classification Act.

SCHEDULE OF ANNUAL SALARY RATES BY GRADE

GENERAL SCHEDULE

Rates Within Grade & Waiting Period for Next Step Increase											Amount of Within Grade Increase
52 Weeks			104 Weeks			156 Weeks					
1	2	3	4	5	6	7	8	9	10		
1	\$3,889	\$4,019	\$4,149	\$4,279	\$4,408	\$4,538	\$4,668	\$4,798	\$4,928	\$5,057	\$129-130
2	4,231	4,372	4,513	4,655	4,796	4,937	5,078	5,219	5,360	5,501	141-142
3	4,600	4,753	4,907	5,060	5,214	5,367	5,521	5,674	5,828	5,981	153-154
4	5,145	5,316	5,487	5,658	5,829	6,000	6,171	6,342	6,513	6,684	171
5	5,732	5,924	6,115	6,307	6,498	6,690	6,881	7,073	7,265	7,456	191-192
6	6,321	6,532	6,743	6,955	7,166	7,377	7,588	7,799	8,010	8,221	211-212
7	6,981	7,214	7,447	7,680	7,913	8,146	8,379	8,612	8,845	9,078	233
8	7,699	7,956	8,213	8,470	8,727	8,984	9,241	9,498	9,755	10,012	257
9	8,462	8,744	9,026	9,308	9,590	9,872	10,154	10,436	10,718	11,000	282
10	9,297	9,607	9,917	10,227	10,537	10,847	11,157	11,467	11,777	12,087	310
11	10,203	10,543	10,883	11,223	11,563	11,903	12,243	12,583	12,923	13,263	340
12	12,174	12,580	12,986	13,392	13,798	14,204	14,610	15,016	15,422	15,828	406
13	14,409	14,889	15,369	15,849	16,329	16,809	17,289	17,769	18,249	18,729	480
14	16,946	17,511	18,076	18,641	19,206	19,771	20,336	20,901	21,466	22,031	565
15	19,780	20,439	21,098	21,757	22,416	23,075	23,734	24,393	25,052	25,711	659
16	22,835	23,596	24,357	25,118	25,879	26,640	27,401	28,000	--	--	761
17	26,264	27,139	28,000	--	--	--	--	--	--	--	875
18	28,000	--	--	--	--	--	--	--	--	--	

UPPER LEVEL
POSITIONS

Wage Board Rates. Blue collar workers are paid under a wage board schedule based on surveys of prevailing wage rates conducted approximately once a year. Only a small percentage of HUD employees (such as duplicating machine operators, etc.) are in blue collar jobs.

Pay Procedures. HUD paydays are at the close of every two-week period. Salary checks issued on a Friday cover not the immediately preceding two weeks, but for most employees the two-week period next before that time. The two-week lag is provided to allow time for posting and making adjustments to accommodate last-minute changes, and reduces substantially the cost of the payroll operation.

Deductions are made before checks are issued for the withholding of retirement payments; Federal income tax and, as authorized, State income taxes; life insurance and health benefits premiums; U. S. savings bonds deductions; United Givers Fund; and union dues for those members requesting such deductions.

LIST OF EXECUTIVE LEVEL AND SUPERGRADE POSITIONS IN HUD

(By Organization, Title, Grade, and Name, with Summary Totals)

OFFICE OF THE SECRETARY

Level I
Secretary

Level III
Under Secretary

Robert C. Wood

Level IV
Assistant Secretary*

Vacant

Level V
Deputy Under Secretary for Policy Analysis
and Program Evaluation

William B. Ross *✓ m*

GS-18

Assistant to the Secretary for Congressional Services L. Edward Lashman

GS-17

Executive Assistant to the Secretary

Jay Janis

Director, Office of Economic and Market Analysis

Henry Schechter

Director, Inspection Division

William H. T. Smith

Special Counsel and Assistant to the Under Secretary

Vacant

Director, Program Analysis and Evaluation Staff

Jerome Pickard

GS-16

Director of Regional Support

Booker T. McGraw

Special Assistant for Labor Relations

Vacant

Director of Public Affairs

Gerald Huard

Deputy Director of Public Affairs

Robert Murray

Deputy Assistant to the Secretary for
Congressional Services

Andrew Hickey

Director, Division of International Affairs

James Moore

Director, Data Systems Development Staff

Roderick Symmes

Director, Planning, Programming and Budgeting

Robert Colwell

Systems Staff

Wayne Daugherty

Director, Statistical Reports and Analysis Staff

*New Position (Housing and Urban Development Act of 1963); so far
undesignated.

NATIONAL COMMISSION ON URBAN PROBLEMS

GS-18

Executive Director, National Commission on
Urban Problems

Howard Shuman

GS-17

Adviser to the Commission for Low Cost Housing
(Deputy Executive Director)

Vacant

GS-16

Assistant to the Commission for Demography and
Local Revenues

Allan Manvel

OFFICE OF GENERAL COUNSEL

Level IV

General Counsel

Thomas C. McGrath

GS-18

Deputy General Counsel

Ashley Foard

GS-17

Associate General Counsel (Legislation and Policy
Regulations)

General Counsel (FHA)

Hilbert Fefferman

Adolphus Prothro

GS-16

Assistant General Counsel for Operations and
Coordination

Assistant General Counsel for Federal Legislation

Assistant General Counsel for Metropolitan
Development

General Counsel, FNMA

Paul Boesch

Irving Margulies

John Bell

Vacant

GS-16 (Cont'd)

Associate General Counsel (FHA)
Associate General Counsel (Chief Counsel, RHA)
Associate General Counsel (General Legal Services)
Chief Counsel, MD

John Kopecky
S. Leigh Curry
Joseph Burstein
Vacant (Obsolete
position)

ASSISTANT SECRETARY FOR ADMINISTRATION

Level V

Assistant Secretary for Administration

Dwight A. Ink

GS-18

Deputy Assistant Secretary for Administration

Lewis Williams

GS-17

Director, Office of Financial Systems and Services
Director, Office of Management and Organization
Director of Personnel
Director, Office of Budget

John Kurelich
Guy Chamberlin
Arthur L. Tackman
Vacant

GS-16

Director of Audit
Budget Officer
Director, Office of General Services
Deputy Director of Personnel
Director, Office of ADP Systems Management and
Operations

Elmer Muhonen
Nathaniel Eiseman
Richard Althaus
Robert Mello
David Albright

ASSISTANT SECRETARY FOR EQUAL OPPORTUNITY

Level IV

Assistant Secretary for Equal Opportunity

Walter B. Lewis

Level V

Deputy Assistant Secretary for Equal Opportunity

Vacant

ASSISTANT SECRETARY FOR MORTGAGE CREDIT & FHA COMMISSIONER

Level IV

Assistant Secretary for Mortgage Credit and
Federal Housing Administration Commissioner

Philip N. Brownstein

Level V

Deputy Assistant Secretary for Mortgage Credit
and Deputy FHA Commissioner

Philip J. Maloney

GS-17

Executive Assistant Commissioner
Assistant Commissioner for Technical Standards
Assistant Commissioner for Multifamily Housing
Assistant Commissioner for Field Operations
Assistant Commissioner for Programs
Assistant Commissioner for Property Disposition

Charles Dieman
Morton Schomer
Vacant
M. Carter McFarland
William Cameron

GS-16

Assistant Commissioner for Administration
Assistant Commissioner -- Comptroller
Assistant Commissioner for Home Mortgages
Assistant Commissioner for Property Improvement
Deputy Assistant Commissioner for Technical Standards
Deputy Assistant Commissioner for Multifamily Housing
Deputy Assistant Commissioner for Programs
Deputy Assistant Commissioner for Field Operations
Director, Project Mortgage Servicing Division
Director, Architectural Division
Regional Operations Commissioner FHA, Region VI
Director, Low and Moderate Income Housing
Division

Horace Bazan
Lester Thompson
J. Guy Arrington
Charles Walsh
Donald Jordan
Robert Jones
R. Harold Denton
Joseph Maguire
Marsh Cunningham
S. Porter Driscoll
Vacant

Morton A. Baruch

ASSISTANT SECRETARY FOR RENEWAL AND HOUSING ASSISTANCE

Level IV
Assistant Secretary for Renewal and Housing
Assistance

Don Hummel

Level V
Deputy Assistant Secretary, Housing
Assistance Administration

Vacant (Arther E.
Rosfeld, Acting)

Level V
Deputy Assistant Secretary, Renewal
Assistance Administration

Robert E. McCabe

GS-18

Deputy Assistant Secretary

Howard Wharton

GS-17

General Deputy, Renewal Assistance Administration
General Deputy, Housing Assistance Administration
Director, Office of Community Development

Robert Maffin
Abner Silverman
James Banks

GS-16

Deputy Director, Office of Community Development
Director, Operational Services Division
Director, Plans, Programs and Evaluation Staff
Director, Program Management Division
Director, Neighborhood Programs Division
Director, Rehabilitation & Codes Division
Director, Redevelopment Division
Assistant to the Assistant Secretary for
Problems of the Elderly and Handicapped
Director, Tenant Services Division, HAA
Director, Production Division, HAA
Project Manager, Surplus Land for Community
Development

Vacant
Arthur E. Rosfeld
Morton Leeds
Howard Wolaver
Richard Ives
Ralph Herod
Vacant

Marie McGuire
Clifton P. Lander, Jr.
William Fitzgerald

John Clinton

ASSISTANT SECRETARY FOR METROPOLITAN DEVELOPMENT

Level IV

Assistant Secretary for Metropolitan Development

Charles M. Haar

Level V

Director, Urban Management Assistance
Administration ** (Proposed)

Vacant

Level V

Office of Urban Transportation Development
and Liaison *

Vacant

Level V

Director, Community Resources Development
Administration

Arthur A. Davis

(Designated Acting Deputy Assistant Secretary MD)

GS-18

Deputy Assistant Secretary

Vacant

GS-17

Director Office of Plans, Programs and Evaluation
Deputy Director, Urban Management Assistance
Administration ** (Proposed)

Fred McLaughlin

Vacant

GS-16

Director, Engineering Division
Director, Community Facilities Division
General Deputy, Community Resources Development
Administration
(Designated Acting Director)

Paul Walker

Leo Morris

Robert Paul

Director, Plans, Programs and Evaluation Staff
Director Division of Metropolitan Area Analysis
Director Division of Planning Standards MD

Vacant

Vacant

Robert Doyle

* Obsolete; function transferred to DOT.

** These two positions are proposed for establishment pursuant to reorganizations recently approved by the Secretary. Norman Beckman, designated for the Level V position, is still carried in the obsolete Level V position of Director, Office of Intergovernmental Relations, and Urban Program Coordination to be superseded by the new position; and Howard Ball, present encumbers the GS-17 position of Deputy Director, Office of Intergovernmental Relations and Urban Program Coordination now assigned to MD.

ASSISTANT SECRETARY FOR MODEL CITIES AND GOVERNMENTAL RELATIONS

Level IV

Assistant Secretary for Model Cities and
Governmental Relations

H. Ralph Taylor

Level V

Director, Model Cities Administration

Walter Farr

GS-17

Deputy for Model Cities and Governmental Relations
Deputy Director, Model Cities Administration
Director Program Development and Evaluation

Vacant
John Buggs
Bernard Russell

GS-16

Director, Program Operations and Technical Assistance

John McLean

Deputy Director for Program Development
Chief, Federal, State and Local Tax Study

Lawrence Houstoun
Vacant

ASSISTANT SECRETARY FOR URBAN TECHNOLOGY AND RESEARCH

GS-18

Director Office of Urban Technology and Research,
Office of the Secretary

Thomas F. Rogers

GS-17

Assistant Director for Research Planning and
Coordination, Office of Urban Technology and
Research, Office of the Secretary

Albert Weinstein

GS-16

Director, of Technology, Office of Urban Technology
and Research
Urban Research and Technology Director (Utilities)

James R. Simpson
Richard M. Michaels

FEDERAL INSURANCE ADMINISTRATOR

Level IV

Vacant

GOVERNMENT NATIONAL MORTGAGE ASSOCIATION*

Level V

President, Federal National Mortgage Association

Vacant

GS-17

Executive Vice President

Harry Gilbert

GS-16

Secretary-Treasurer

Vacant

Vice President (Fiscal Management)

James Considine

REGIONAL OFFICES

GS-18

Regional Administrator, Region I

Judah Gribetz

Regional Administrator, Region IV

Francis Fisher

GS-17

Regional Administrator, Region II

Warren Phelan

Regional Administrator, Region III

Edward Baxter

Regional Administrator, Region V

William Collins

Regional Administrator, Region VI

Robert Pitts

Deputy Regional Administrator, Region I

Anne Roberts

GS-16

Regional Administrator, Region VII

Jose Febres-Silva

Deputy Regional Administrator, Region III

Charles Adams

Deputy Regional Administrator, Region II

Vacant

Deputy Regional Administrator, Region IV

Don Morrow

Deputy Regional Administrator, Region V

Leonard Church

Assistant Regional Administrator for RA, Region VI

James Richardson

*These positions were established in FNMA and are not current.

GS-16 (Cont'd)

Assistant Regional Administrator for Renewal
Assistance, Region I

Assistant Regional Administrator for Renewal
Assistance, Region IV

Assistant Regional Administrator for Housing
Assistance, Region I

Assistant Regional Administrator for FHA,
Region I

Deputy Regional Administrator, Region VI

Assistant Regional Administrator FHA, Region II

Assistant Regional Administrator FHA, Region III

Assistant Regional Administrator FHA, Region V

Assistant Regional Administrator FHA, Region IV

Assistant Regional Administrator FHA, Region VI

Charles Horan

A. Dean Swartzel

Herman Hillman

Ralph Morhard

Ward Elliott

William T. Stansbury

Harold Albright

Asa B. Hatcher, Jr.

James L. Smith

Arthur L. Timmel

OFFICE OF THE GENERAL COUNSEL
Supergrade Positions - Schedule C & Schedule A

(Statutory)

Level IV

General Counsel

Thomas C. McGrath

GS-18

Deputy General Counsel

Ashley Foard *

GS-17

Associate General Counsel (Legislation and
Policy Regulations)

Hilbert Fefferman

General Counsel (FHA)

Adolphus M. Prothro *

GS-16

Assistant General Counsel for Operations
and Coordination

Paul Boesch

Assistant General Counsel for Federal
Legislation

Irving Margulies

Assistant General Counsel for Metropolitan
Development

John Bell

Associate General Counsel (FHA)

John Kopecky

Associate General Counsel, (RHA)

S. Leigh Curry *

Associate General Counsel (General Legal
Services)

Joseph Burstein

Chief Counsel, MD

Vacant (Obsolete
position)

General Counsel, FNMA

Vacant

All attorney positions are by law included in Schedule A, as explained in the section on excepted appointments, but they may be designated as Schedule C or Non-Career Executives by the CSC if they are policy-making or confidential jobs. This list includes all attorney positions in grade GS-16 and above. The three positions marked (*) have been designated by the Civil Service Commission for occupancy by non-career assignment.

HUD EXECUTIVE AND SUPERGRADE POSITIONS
(BY GRADE)

LEVEL I - \$35,000

Secretary

LEVEL III - \$29,500

Under Secretary

Robert C. Wood

LEVEL IV - \$28,750

General Counsel (OGC)¹

Thomas C. McGrath

Assistant Secretary for Equal
Opportunity (EO)

Walter B. Lewis²

Assistant Secretary for Mortgage Credit
and Federal Housing Commissioner (FHA)

Philip N. Brownstein

Assistant Secretary for Renewal and
Housing Assistance (RHA)

Don Hummel

Assistant Secretary for Metropolitan
Development (MD)

Charles M. Haar

Assistant Secretary for Model Cities
and Government Relations (MCGR)

H. Ralph Taylor

Assistant Secretary³

Vacant

Federal Insurance Administrator

Vacant - Schedule C

LEVEL V - \$28,000

Deputy Under Secretary for Policy
Analysis and Program Evaluation (OS)

William B. Ross² - Schedule C

Assistant Secretary for
Administration (ADM)

Dwight A. Ink

Deputy Assistant Secretary for Equal
Opportunity (EO)

Vacant

Office of Urban Transportation Develop-
ment and Liaison

Vacant

¹For full organizational title see attached list

²Veterans Preference

³New position (Housing and Urban Development Act of 1968); so far
undesignated

Deputy Assistant Secretary for
Mortgage Credit

Deputy Assistant Secretary, Housing
Administration (RHA)

Deputy Assistant Secretary for
Renewal Assistance Administration
(RHA)

Director Office of Intergovernmental
Relations and Urban Program Coordina-
tion (Director, Office of Urban
Management Assistance Administration,
proposed)

Director, Community Resources
Development Administration (Designated
Acting Deputy Assistant Secretary) (MD)

Director, Model Cities Administration
(MCGR)

Director, Urban Transportation
Administration*

One position available for designation

GS-18 - \$28,000

Assistant to Secretary for Congressional
Services (OS)

Executive Director, National Commission
on Urban Problems

Deputy General Counsel (OGC)

Deputy Assistant Secretary for
Administration (ADM)

Deputy Assistant Secretary for RHA (RHA)

Deputy Assistant Secretary,
Metropolitan Development (MD)

Director Office of Urban Technology
and Research (UTR)

Philip J. Maloney² - Schedule C

Vacant - Schedule C

Robert E. McCabe² - Schedule C

Norman Beckman²

Arthur Davis² - Schedule C

Walter Farr² - Schedule C

Vacant

Vacant

L. Edward Lashman² (NEA)⁵

Howard Shuman²

Ashley Foard (NEA)

Lewis Williams

Howard Wharton (NEA)

Vacant

Thomas F. Rogers

⁴Formerly assigned to President FNMA

⁵Non-Career Executive Assignment

*Obsolete, function transferred to DOT

Regional Administrator, Region I	Judah Gribetz ²
Regional Administrator, Region IV	Francis Fisher
<u>GS-17 - \$22,264 - \$28,000</u>	
Executive Assistant to the Secretary (OS)	Jay Janis ²
Director, Office of Economic and Market Analysis (OS)	Henry Schechter ²
Director Inspection Division (OS)	William H. T. Smith ²
Special Counsel and Assistant to the Under Secretary	Vacant
Director, Program Analysis and Evaluation Staff (OS)	Jerome Pickard ²
Adviser to the Commission for Low Cost Housing (Deputy Executive Director) National Commission on Urban Problems	Vacant
Associate General Counsel (Legislation and Regulation) (OGC)	Hilbert Fefferman ² - Schedule A
General Counsel, FHA (OGC)	Adolphus Prothro ² (NEA)
Special Assistant to the Secretary (OS)	John Frantz ² (NEA)
Director, Financial Systems and Services (ADM)	John Kurelich ²
Director, Office of Management and Organization (ADM)	Guy Chamberlin ²
Director, Office of Personnel (ADM)	Arthur L. Tackman ²
Director, Division of Budget and Management (ADM)	Vacant
Director, Office of Equal Opportunity (EO)	Vacant
Executive Assistant Commissioner (FHA)	Vacant
Executive Vice-President (FNMA)	Harry Gilbert

Assistant Commissioner for Technical Standards (FHA)	Charles Dieman ² (NEA)
Assistant Commissioner for Multifamily Housing (FHA)	Morton Schomer ² (NEA)
Assistant Commissioner for Field Operations (FHA)	Vacant
Assistant Commissioner for Programs (FHA)	M. Carter McFarland (NEA)
Assistant Commissioner for Property Disposition (FHA)	William Cameron ²
General Deputy, Renewal Assistance Administration (RHA)	Robert Maffin ² (NEA)
General Deputy, Housing Assistance Administration (RHA)	Abner Silverman ² (NEA)
Director, Office of Community Development (RHA)	James Banks (NEA)
Director, Office of Plans, Programs and Evaluation (MD)	Fred McLaughlin ²
Deputy for Model Cities and Governmental Relations (MCGR)	Vacant
Deputy Director, Model Cities Administration (MCGR)	John Buggs (NEA)
Director, Program Development and Evaluation (MCGR)	Bernard Russell ²
Deputy Director, Office of Intergovernmental Relations and Urban Program Coordination (Proposed Deputy Director Urban Management Assistance Administration) (MCGR)	Howard Ball ²
Assistant Director for Research Planning and Coordination (UTR)	Albert Weinstein ²
Regional Administrator, Region II	Warren Phelan ²
Regional Administrator, Region III	Edward H. Baxter ²
Regional Administrator, Region V	William Collins
Regional Administrator, Region VI	Robert B. Pitts

Deputy Regional Administrator, Region I	Anne Roberts
GS-16 - \$22,835 - \$28,000	
Director of Regional Support (OS)	Booker T. McGraw (NEA)
Special Assistant for Labor Relations (OS)	
Director of Public Affairs (OS)	Gerald Huard ² (NEA)
Deputy Director for Public Affairs (OS)	Robert Murray (TAPER) ⁶
Deputy Assistant to Secretary for Congressional Services (OS)	Andrew Hickey ² (NEA)
Director, Division of International Affairs (OS)	James Moore ² (NEA)
Director, Data Systems Development Staff (OS)	Roderick Symmes ²
Director, Planning, Programming and Budgeting Systems Staff (OS)	Robert Colwell ²
Director, Statistical Reports and Analysis Staff (OS)	Wayne Daugherty ²
Assistant to the Commission for Demography and Local Revenues, National Commission on Urban Problems	Allen Manvel
Assistant General Counsel for Operations and Coordination (OGC)	Paul Boesch - Schedule A
Assistant General Counsel for Federal Legislation (OGC)	Irving Margulies - Schedule A
Assistant General Counsel for Metropolitan Development (OGC)	John Bell - Schedule A
Associate General Counsel, FHA (OGC)	John Kopecky ² - Schedule A
Associate General Counsel, RHA (OGC)	S. Leigh Curry ² (NEA)

⁶Temporary appointment pending establishment of Civil Service register

Associate General Counsel, (General
Legal Services) (OGC)
Chief Counsel, MD (OG)

Director of Audit (ADM)

Budget Officer (ADM)

Director, Office of General Services
(ADM)

Deputy Director of Personnel

Director, Office of ADP Systems
Management and Operations (ADM)

Assistant Commissioner for
Administration (FHA)

Assistant Commissioner
Controller (FHA)

Assistant Commissioner for Home
Mortgage (FHA)

Assistant Commissioner for Property
Improvement (FHA)

Deputy Assistant Commissioner for
Technical Standards (FHA)

Deputy Assistant Commissioner for
Multifamily Housing (FHA)

Deputy Assistant Commissioner for
Programs (FHA)

Deputy Assistant Commissioner for
Field Operations (FHA)

Regional Operations Commissioner
FHA, Region VI⁷

Secretary-Treasurer (FNMA)*

Vice-President (Fiscal Management)

Joseph Burstein - Schedule A

Vacant - Schedule A (Obsolete
position)

Elmer Muhonen²

Nathaniel Eiseman

Richard Althaus²

Robert Mello²

David Albright²

Horace Bazan²

Lester Thompson

J. Guy Arrington² (NEA)

Charles Walsh² (NEA)

Donald Jordan²

Robert Jones²

R. Harold Denton

Joseph Maguire²

Vacant - Schedule A

Vacant

James Considine

⁷To be superseded by ARA for FHA, Region VI; pending CSC approval
*These positions were established in FNMA and are not current.

Director, Project Mortgage Servicing Division (FHA)	Marsh Cunningham
Director, Architectural Division (FHA)	S. Porter Driscoll ²
Deputy Director Office of Community Development (RHA)	Vacant
Director, Operational Services Division (RHA)	Arthur Rosfeld
Director, Plans, Programs and Evaluation Staff (RHA)	Morton Leeds ²
Director, Program Management Division (RHA)	Howard Wolaver ²
Director, Neighborhood Programs Division (RHA)	Richard Ives ²
Director, Rehabilitation and Codes Division (RHA)	Ralph Herod
Director, Redevelopment Division, RHA	Vacant
Assistant to the Assistant Secretary for Problems of the Elderly and The Handicapped (RHA)	Marie McGuire (NEA)
Director, Tenant Services Division, HAA (RHA)	Clifton P. Lander, Jr. ²
Director, Production Division, HAA (RHA)	William Fitzgerald
Director, Engineering Division (MD)	Paul Walker ²
Director, Community Facilities Division (MD)	Leo Morris ²
General Deputy, Community Resources Development Administration (MD) (Designated Acting Director)	Robert M. Paul ² (NEA)
Director, Plans, Program and Evaluation Staff (MD)	Vacant
Director, Division of Metropolitan Analysis (MD)	Vacant
Project Manager, Surplus Land for Community Development	John Clinton

Director, Division of Planning
Standards

Director, Program Operations and
Technical Assistance (MCGR)

Director, Low & Moderate Income
Housing (FHA)

Deputy Director for Program Development
(MCGR)

Chief, Federal, State and Local Tax
Study (MCGR)

Director of Technology (UTR)

Urban Research and Technology
Director (UTR)

Regional Administrator, Region VII

Deputy Regional Administrator,
Region III

Deputy Regional Administrator,
Region II

Deputy Regional Administrator,
Region IV

Deputy Regional Administrator,
Region V

Assistant Regional Administrator for
RA, Region VI

Assistant Regional Administrator for
RA, Region I

Assistant Regional Administrator for
RA, Region IV

Assistant Regional Administrator for
HA, Region I

Assistant Regional Administrator for
FHA, Region I

Deputy Regional Administrator,
Region VI

Robert H. Doyle²

John McLean² (TAPER)

Morton A. Baruch

Lawrence Houstoun²

Vacant

James R. Simpson²

Richard M. Michaels²

Jose Febres-Silva²

Charles Adams

Vacant

Don Morrow²

Leonard Church²

James Richardson

Charles Horan

A. Dean Swartzel

Herman Hillman²

Ralph Morhard

Ward Elliott

Assistant Regional Administrator
for FHA, Region II

William T. Stansbury

Assistant Regional Administrator
for FHA, Region III

Harold Albright

Assistant Regional Administrator
for FHA, Region IV

James L. Smith

Assistant Regional Administrator
for FHA, Region V

Asa B. Hatcher

Assistant Regional Administrator
for FHA, Region VI

Arthur L. Timmel

ORGANIZATION SYMBOLORGANIZATION DESIGNATION

ADM	Administration
EO	Office of Equal Opportunity
FHA	Federal Housing Administration
HAA	Housing Assistance Administration
MCCR	Model Cities and Government Relations
MD	Metropolitan Development
OGC	Office of General Counsel
OS	Office of the Secretary
RAA	Renewal Assistance Administration
RHA	Renewal Housing Administration
UTR	Urban Technology and Research

SIGNIFICANT INFORMATION FOR APPOINTING OFFICERS AND NEW APPOINTEES

There are a number of aspects of Federal employment which are of personal interest and concern both to new appointees, and to those who are discussing possibilities of appointment or employment with potential candidates. Most of these deal with systems, such as leave and retirement, which cannot be described fully in a brief summary. The highlights which will be of most interest and use to high level people new to Government service are summarized in the following pages.

LEAVE AND OTHER BENEFITS

Leave

The Secretary and all other officials appointed by the President with salaries above the highest rate under the Classification Act (\$28,000) are excluded from the coverage of the Annual and Sick Leave Act which applies to most employees of the executive branch. The rationale for their exclusion is that, unlike individuals in less responsible Government positions, they are essentially in duty status and subject to call regardless of where they are at all times. It is their privilege to determine when and for how long they can absent themselves from their offices for personal reasons of relaxation or medical attention, and it is the responsibility of each to keep his superior officer informed of his whereabouts so that he is available upon call.

In HUD these officials include, in addition to the Secretary, the Under Secretary, the program Assistant Secretaries, and the General Counsel.

All other full-time employees (and part-time employees with a regularly scheduled tour of duty) are covered by the Annual and Sick Leave Act. Full-time employees earn annual leave at the following rates:

<u>Years of Creditable Service</u>	<u>Annual Leave Earned Per Pay Period</u>
Less than 3	4 hours
Three, but less than 15	6 hours
Fifteen or more	8 hours

Sick leave is accrued without regard to years of service at the rate of four hours every pay period.

Civil Service Retirement

Most employees are covered by the Civil Service Retirement System, to which both the employees and the Government contribute. Brochures describing the operations and benefits of the system are available from the Office of Personnel and from the Civil Service Commission.

Regardless of his length of service, an employee who is separated from the Government rolls, or who is transferred to a Federal position which is not subject to Civil Service Retirement deductions, may

receive a lump-sum refund of his credit if his separation and application for refund both take place at least 31 days prior to any annuity for which he may be eligible and he is not reemployed within 31 days in a position subject to Civil Service retirement deductions.

Under Civil Service retirement provisions, an employee reaches mandatory retirement at age 70, and is entitled to an immediate annuity if he meets specified conditions including the completion of 15 years of service. He is eligible for optional retirement and an immediate annuity at age 62 with five years of civilian service; at age 60 with 20 years--including five years of civilian--service; or at age 55 with 30 years, including five years of civilian service, and again, meets other specified conditions.

Disability retirement is provided for upon meeting specified conditions, after five years of civilian service.

Social Security

Under some conditions, an employee may be covered by the Social Security Act. Most of those under social security are temporary or intermittent employees.

Life Insurance

Most employees are covered automatically by Federal Employees' Group Life Insurance beginning on the day they enter Federal employment,

for life insurance and accidental death and dismemberment insurance. The cost is shared by the Government and the employee on a one-third, two-thirds basis unless he waives coverage before his first pay day. Coverage ceases 31 days after he leaves the Department even to transfer to another Federal agency; but in most situations he can reactivate it (in another agency) or if he leaves Government service, can convert to an individual policy of life insurance without the necessity of undergoing a physical examination. For employees separating for retirement, protection continues in most cases without further cost to the employee, but with coverage decreasing at the rate of 2 percent a month until it reaches 25 percent of the original coverage.

Health Benefits

The Federal Government provides health protection programs which are within the range of benefits provided by plans in the private sector. New and prospective employees should be aware of the various options as to coverage which are available. Information is available from the Office of Personnel or the Civil Service Commission.

Travel and Moving Expenses; Per Diem Allowances

The Government has very specific rules covering all aspects of travel by its employees. In general, employees traveling on official business are provided with travel authorizations covering the purchase of tickets and are reimbursed for incidental expenses such as lodging, meals, etc., at the rate of \$16 a day. (Under unusual circumstances the Secretary can authorize payment for actual expenses incurred up to \$30 a day.) A HUD Handbook on Travel (2300.2) provides authoritative and detailed information on travel and moving expenses and the conditions and circumstances under which reimbursement for such costs can be approved.

It is important to note that newly appointed employees who must travel to their first official duty stations receive no reimbursement for travel or the transportation of household goods unless they are employed in manpower shortage occupations designated by the Civil Service Commission.

EQUAL EMPLOYMENT OPPORTUNITY

Executive Order 11375 of October 13, 1967, states: "It is the policy of the Government of the United States to provide equal opportunity in Federal employment for all qualified persons, to prohibit discrimination in employment because of race, color, religion, sex, or national origin, and to promote the full realization of equal employment opportunity through a positive, continuing

program in each executive department and agency. The policy of equal opportunity applies to every aspect of Federal employment and policy and practice." Subsequently added to the list of items for which discrimination is proscribed, are lawful political affiliations, physical handicap and marital status.

It is the policy of the Department that these requirements be met in the spirit and the letter, and HUD's record in this field compares favorably with that of the Government as a whole.

POLITICAL ACTIVITY OF GOVERNMENT
EMPLOYEES (HATCH ACT)

With the exceptions noted below, the Hatch Act prohibits partisan political activity on the part of the Department's employees --as with other, specific exceptions--it prohibits such activity for all employees of the executive branch. The prohibition applies to part-time, temporary and intermittent as well as full-time, permanent employees; but experts and consultants paid on a per diem basis, when actually employed, or without compensation are subject to the Act only on those days when they are on active duty.

In general, officials who are appointed by the President by and with the advice and consent of the Senate and who are responsible for making national or international policy determinations regarding the administration of Federal laws are exempt from these restrictions.

Significant Information for Appointing Officers
and New Appointees--Cont'd.

In HUD, the following officials are in the exempt category: The Secretary, Under Secretary, six program Assistant Secretaries, and the General Counsel

Not exempt from Hatch Act provisions are: the Deputy Under Secretary, the Federal Insurance Administrator, the Assistant Secretary for Administration, Deputy Assistant Secretaries, and all other lower-ranking employees.

CONFLICTS OF INTEREST

The Department has issued Standards of Conduct Regulations pursuant to Executive Order 11222, dated May 8, 1965, and to Civil Service Commission Standards issued under authority of the Executive Order. These standards place upon employees the general responsibility for avoiding any involvement that might tend to damage the Department's image, and they also reflect the specific provisions of the criminal statutes (Title 18 U.S. Code, Sections 201-209) proscribing certain actions by present and former Government officials and employees.

CONDUCT AND RESPONSIBILITIES OF EMPLOYEES

Prohibited Activities in General. Employees are required by the Standards to avoid any action which might either result in or create the appearance of using public office for private gain; giving preferential treatment; impeding efficiency or economy; losing independence or impartiality; making decisions outside Departmental channels; utilizing confidential information to further their private interests; or affecting adversely public confidence in the integrity of the Government.

Gifts and Entertainment. With certain reasonable exceptions, employees may not accept gifts, entertainment, loans, or anything of monetary value from any person who has contractual or business relations with the Department.

Dual Compensation. The law provides that a Government employee may not receive compensation from any other source for the services rendered by

him in that capacity; nor may he be compensated more than once by the Government for such services. Thus, for example, an employee of the Department serving as a member of the Board of Directors of a Government corporation or of a special Commission receives no additional compensation for such services.

Outside Employment. Advance approval must be secured for outside employment in the same professional field as the employee's Government service or for employment by a State or local governmental body. It has been the consistent practice of the Department to construe this requirement broadly so as to avoid situations which could give rise to a question of conflict of interest.

Membership in Organizations. An employee may not serve in his official capacity as a member or officer of a non-Federal or private organization unless authorized by statute or (in certain rare instances) by a specific finding of the Secretary. Otherwise, official relationships of individuals with non-Federal or private organizations are as liaison representatives of the Department. An individual may hold membership in outside organizations in his individual capacity (such as in the generally recognized professional associations) where his membership is not contrary to the general standards and where his name or title is not used in such a way as to imply he is acting in his official capacity.

Temporary-Consultants and Advisers (Special Government Employees). A special Government employee--an adviser or consultant who is employed for less than 130 days in any 365-day period--is subject to some of the restrictions on regular

employees, including the prohibition against using his employment for private gain, using inside information, and receiving or soliciting gifts from persons dealing with the Department. In general, private employment and certain financial restrictions do not apply.

Disclosure of Financial and Employment Interests. Full time Department employees (including Presidential appointees) who are responsible for making decisions or taking action in regard to contracting and procurement, in administering or monitoring grants and subsidies, or in regulating or auditing a non-Federal enterprise are required to file statements (on Form HUD-844) disclosing their outside employment and financial interests. Similarly, all special Government employees file such statements (on Form HUD-844A). These statements are reviewed to assure that there are no real or apparent conflicts of interest and are held in confidence by the Department. Required statements are filed upon entrance of the employee on duty and are brought up to date annually.

Restrictions on Partners of Employees. The criminal statute prohibits a partner of an officer or employee of the Government, including a special Government employee, from acting as agent or attorney before the Government for other than the United States in connection with any particular matter with respect to which the officer or employee or special Government employee has dealt, or which was within his official responsibility.

DIVESTITURE OF CONFLICTING INTERESTS

Where it is shown by an employee's statement or by any other disclosure that an employee has a conflicting interest, the employee is required to divest himself of such interest within 60 days after notification that a

conflict exists. Divestment may be by disposing of the interest or in certain cases by placing it in a trust the provisions of which have been approved by the Department. (Reasonable periods for divestiture have been negotiated in the past in the case of difficult-to-recruit new employees.)

CONDUCT AND RESPONSIBILITIES OF FORMER EMPLOYEES

Former employees and former special employees of the Department are subject to specific statutory limitations with respect to their employment after they have left Government service. A former employee is prohibited (by 18 U.S.C. 207) from acting as an attorney or agent for anyone in connection with a matter in which the United States is a party or has a substantial interest and in which the former employee participated personally and substantially as a Government employee. This applies to such specific matters as contracts, grants, etc., and is a permanent bar.

Additionally, a former employee is barred for one year after his Federal employment has ceased from appearing as agent or attorney for another person before any court, department, or agency in connection with a matter in which the Government has an interest and which was within the area of his official responsibility at any time within one year prior to the end of such responsibility.

Because of these prohibitions, all entering employees are furnished with the Standards and are briefed as to the particular limitations to which they would be subject in later employment. (This has sometimes made recruitment

difficult, but, in view of the specific and technical prohibitions in the criminal law, the information should, in all fairness, be made available before employment is accepted.)

COUNSELLING

The General Counsel is the Department Counselor responsible for coordinating counselling services of the Department with respect to standards of conduct. The Assistant General Counsel for Operations and Coordination and the Associate General Counsel for Mortgage Credit are Deputy Counselors in Washington and the Regional Counsels are Deputy Counselors in their respective regions. They are responsible for interpreting the Standards and are available to give advice and guidance to current and prospective employees on questions of conflicts of interest.

Additional information available from Transition Officer or the Office of General Counsel:

1. Executive Order 11222, issued by the President 5/8/65
2. 18 U.S.C. 201-209 (Criminal Statute)
3. Department Regulations on Standards of Conduct
4. Form HUD-844: Employee's Confidential Statement of Outside Interests
5. Form HUD-844A: Temporary Employee's and Consultant's Confidential Statement of Outside Interests

11/15/68

OTHER REFERENCE MATERIALS

Summary of Program Status, Activity, and Budget Proposals for the Fiscal Year 1970

This volume includes a brief description of each program in the Department; pertinent highlight data with respect to past and current activity under the program; and the program levels and fund authorizations to be included in the Budget for submission to the Congress in January. It also provides summary tables of program levels, appropriations, operating expenses and staffing on a Department-wide basis.

Legislative and Budgetary Authority Background Materials

This volume provides in summary form the history of the legislative authorities under which the Department operates; the history of appropriations or other funding of such authorities; the present status of current authorizations, including expiration dates and other statutory limits on program size or duration; and a description of the process through which the budget and legislative programs of the Department, under existing practice, are developed.

Organization of H.U.D.--Functional Statements

This is a reference volume which consists of an indexed compilation of outstanding Secretary's Organization Orders and memoranda setting forth in detail the organization of the Department and the assignment of functions at each level in the headquarters and regional offices.

Assistant Secretary Briefing Volumes

Separate briefing volumes have been prepared for the use of incoming Assistant Secretaries in each of the program areas, namely:

- Assistant Secretary for Equal Employment
- Assistant Secretary for Mortgage Credit and
Federal Housing Commissioner
- Assistant Secretary for Renewal and Housing
Assistance
- Assistant Secretary for Model Cities and
Governmental Relations
- Assistant Secretary for Metropolitan Development

A separate briefing volume is also provided for the General Counsel.

While all these volumes will be provided and available to the Secretary and Under Secretary, it is recognized that collectively they are too voluminous for their extensive personal use. These volumes are designed primarily to be of assistance, along with more general material, to the Assistant Secretaries as they take office.

Background Papers

A series of background papers have been prepared covering a wide range of policy, organizational and program issues. These papers have been numbered for convenience of reference. A list of background papers and their reference numbers immediately follows this page.

As this volume is presented, all background papers have been prepared in initial draft and are in the process of final editing. It is anticipated that all will be available in final form before December 31, 1968.

BACKGROUND PAPERS

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Federal Insurance Administration	3
Commission on Mortgage Credits and Interest Rates	4
National Goals Concept	5
Capability to Deal with Low and Moderate Income Housing Problems	6
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Defining Department Objectives and Role in Connection with Urban Planning	9
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Advisory Committees to the Secretary	16
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State of ADP: Management Information Program	18
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National Advisory Commission on Low Income Housing	21
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